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INDICE

GUIDE TURISTICHE ITALIANE E TEDESCHE IN UNA PROSPETTIVA TRADUTTOLOGICA*

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This paper is part of a large-scale project concerning the textual analysis of a corpus of German and Italian travel guides as well as of a bidirectional parallel corpus of Italian translations of German travel guides and German translations of Italian travel guides. The aim of the project is to analyze the information structure of the textual genre "travel guide" as well as to foreground and emphasize its unique features. The paper presents a first exploratory study of the bidirectional parallel corpus, illustrating and explaining some adaptations of the source texts which result in typical shifts of emphasis in the target texts.

1. **Introduzione**

Questo contributo si inserisce in un progetto di ricerca di più ampio respiro incentrato sull'analisi linguistico-testuale di un corpus di guide turistiche italiane e tedesche. L'obiettivo specifico del progetto è l'analisi della struttura informativa delle guide intese come genere testuale, ponendo l'accento sulle forme di focalizzazione, messa in rilievo ed enfasi dei contenuti. L'ipotesi di lavoro è che la distribuzione degli elementi salienti all'interno dei testi sia caratterizzata da simmetrie e asimmetrie fra una lingua e l'altra: le prime da rapportarsi alle funzioni dominanti della guida turistica, ovvero, nella terminologia di Reiß ([2]2000)[1], alle funzioni informativa e persuasiva, le seconde attinenti alle convenzioni testuali e soprattutto alle peculiarità culturali dei destinatari. Il percorso metodologico che si intende seguire in una prima fase del progetto consiste nell'analisi delle traduzioni in italiano di guide

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[1] Reiß, sulla scia del modello della comunicazione di Bühler (1934), propone la seguente tipologia testuale: testi con funzione preminentemente informativa; testi espressivi, che privilegiano la funzione estetica; testi operativi, che hanno funzione preminentemente persuasiva (cfr. Reiß [2]2000: 82-85).

turistiche tedesche e delle traduzioni in tedesco di guide italiane, al fine di individuare un insieme di parametri per uno studio contrastivo delle guide redatte in ciascuna delle due lingue.

Di seguito si presentano i risultati di un primo spoglio esplorativo ristretto al confronto fra sette guide turistiche aventi come tema la Sardegna. Oggetto del confronto sono 1. le due guide tedesche, *MarcoPolo Sardinien* (=MPDE) di Hans Bausenhardt ([13]2010) e *Merian live! Sardinien* (=MDE) di Friederike von Bülow ([2]2011) e le rispettive traduzioni in italiano, *Marco Polo Sardegna* (2011) (=MPIT) e *Merian Sardegna* (2010) (=MIT), e 2. la guida italiana, *Mondadori Sardegna* (=GMIT) di Fabrizio Ardito et al. ([10]2010) e la sua traduzione in tedesco, *VIS-À-VIS Sardinien* (2011) (=GMDE). Quest'ultima è una traduzione per così dire "mediata", in quanto si basa a sua volta sulla traduzione inglese *Eyewitness Travel Sardinia* (2011) (=GMEN) e non sull'originale italiano. Pertanto, nel confronto tra il testo di partenza (TP) e il testo di arrivo (TA) si prenderanno in considerazione sia la traduzione tedesca sia quella inglese. Il lavoro qui presentato si articola nei seguenti paragrafi:

1. le origini della guida turistica;
2. la redazione delle guide turistiche;
3. le caratteristiche funzionali della guida turistica;
4. la traduzione delle guide turistiche.

Nelle conclusioni (6.) ci si soffermerà su alcune differenze linguistiche e culturali quali emergono da questa indagine preliminare.

2. **Le origini della guida turistica**

Le origini della guida turistica possono essere fatte risalire all'antichità greco-romana e alla cultura ionica dell'Asia minore. Già allora infatti si registrano, sia pure in scala non rapportabile ai canoni attuali, spostamenti legati ad occasioni di speciali di raduno, quali i giochi olimpici o ai pellegrinaggi ai luoghi di culto. I primi esemplari avevano tuttavia funzioni meramente pratico-orientative, quali l'organizzazione della circolazione di uomini e merci via terra

e via mare, ma non offrivano informazioni tecniche relative al viaggio stesso. Rispetto a questi primi testi già la letteratura di viaggio di lingua greca di poco posteriore offre vere e proprie descrizioni degli itinerari e delle destinazioni; l'opera più conosciuta di questo periodo è la guida di Pausania, scritta tra il 170 e il 180 d.C., contenente non solo descrizioni di monumenti siti in Grecia, Siria, Egitto, Libia e Italia meridionale, ma anche informazioni storiche e mitologiche legate a quelle località.

In epoca di Roma imperiale, nella quale era consuetudine delle famiglie aristocratiche spostarsi in estate nelle località di villeggiatura, erano molto diffusi i cosiddetti *itineraria*, che anch'essi hanno ben poca affinità con le guide "classiche": contenevano infatti semplicemente l'elenco dei collegamenti stradali, nonché informazioni sulle stazioni per il cambio dei cavalli e sulla distanza che intercorreva tra una stazione e l'altra. Indicazioni dello stesso tipo esistevano anche per le rotte marittime.

Nel Medioevo, epoca in cui la motivazione degli spostamenti era soprattutto di matrice religiosa, proliferarono itinerari e guide per i pellegrini, che offrivano consigli per il percorso da seguire e informazioni sulle distanze. La prima guida pubblicata in veste tipografica apparve nel 1495 ad opera del monaco Hermann Künig, che descrisse il percorso da Vach in Baviera a Santiago de Compostela.

Nell'Umanesimo riprese la tradizione delle relazioni di viaggio e degli itinerari: nel 1501 apparve la prima mappa stradale dell'Europa centrale, opera del fabbricante di bussole Erhard Etzlaub (1462-1532) di Norimberga. Successivamente presero forma due tipi di guide turistiche: da un lato quelle che contenevano proposte di itinerari ed erano mosse da intendimenti pratici; dall'altro quelle che contenevano descrizioni di città e regioni ed erano destinate non solo ai viaggiatori, ma anche − a partire dalla fine del sec. XVI − ad un pubblico più ampio.

Nel periodo tra il sec. XVI e il sec. XVIII il viaggiare in terre lontane, ma ricche di tradizioni culturali entrò a far parte di un modello educativo ad uso dei giovani aristocratici europei,

soprattutto britannici, che nel cosiddetto *Gran Tour* attraverso l'Europa continentale si accostavano ai modelli di bellezza classica, oltre che ai centri di potere e alle regole della diplomazia. Scompare insomma l'idea del viaggio motivato dalla devozione sostituita da quella dello spostamento dettato da esigenze di natura culturale e laica. Si sviluppa di conseguenza una vera e propria letteratura di viaggio arricchita da schizzi, disegni ed epistolari che ancora oggi costituiscono una preziosa testimonianza per gli studiosi. Anche le guide si adeguano al nuovo obiettivo del viaggio, dedicando molta attenzione alla descrizione delle opere classiche e del loro contesto culturale con l'intento di spronare i destinatari alla visita delle vestigia del passato e di allontanarli dalle tentazioni mondane (cfr. Meyer 1995: 85-86).

La guida turistica come la conosciamo oggi si sviluppa e si diffonde nel corso del XIX secolo, quando si profila una nuova categoria di viaggiatori, appartenenti alla borghesia, che intraprende il viaggio, oltre che per arricchire le proprie conoscenze, come forma di svago e per puro diletto. Le guide dedicate da John Murray (1836) e Karl Baedeker (1842)[2] alla Germania e in seguito ad altre destinazioni turistiche rappresentano i modelli di maggior successo di questo tipo di testo.

3. **La redazione delle guide turistiche**

Generalmente gli autori delle guide turistiche appartengono alla stessa comunità linguistico-culturale dei destinatari (lettori/acquirenti). Se da un lato infatti il turista è mosso dal

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[2] Baedeker esordisce come editore di guide turistiche nel 1835 con il viaggio lungo il Reno basato su una precedente guida pubblicata da J.A. Klein nel 1828 (*Rheinreise von Mainz bis Köln, Handbuch für Schnellreisende*) di cui, alla morte dell'autore, acquisisce i diritti nel 1832. Nel 1842 pubblica un *Handbuch für Reisende durch Deutschland und den Oesterreichischen Kaiserstaat* (Manuale per viaggiatori in Germania e nell'Impero austriaco), che si ispira dichiaratamente al precedente *Handbook for Travellers on the Continent* di Murray. Cfr. Pretzel 1995: 62-64.

desiderio di evasione e sceglie quindi un ambiente – geografico, ma anche culturale – che si differenzi da quello proprio, dall'altro viene attratto da caratteristiche compatibili con il bagaglio di esperienze acquisite e quindi rassicuranti (cfr. Wetzel 1994: 71-73). All'autore della guida turistica spetta pertanto il compito di mediare tra il nuovo da scoprire e il noto da consolidare.

Karl Baedeker, le cui guide, a partire dal 1861, sono state tradotte in inglese e in francese, aveva capito l'importanza di questo aspetto psicologico: le edizioni inglesi e francesi delle sue guide, infatti, non furono mai semplici traduzioni dal tedesco, ma vennero adattate e modificate secondo i gusti e gli interessi dei nuovi destinatari (cfr. Hinrichsen 1991: 21).

Nel novero delle più note guide sulla Sardegna in originale e in traduzione attualmente disponibili sul mercato librario italiano e tedesco[3] rientrano, oltre a quelle esaminate in questo contributo, le edizioni italiane delle guide inglesi *Guide EDT, Lonely Planet e Rough Guides* e le edizioni tedesche delle guide inglesi *Lonely Planet* e *National Geographic-Spirallo*. È interessante notare che la traduzione in tedesco mediata dall'inglese ovvero la *Guida Mondadori* menzionata nel paragrafo precedente[4], è l'unica guida italiana disponibile in lingua tedesca.

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[3] Sia delle guide turistiche in generale sia di quelle dedicate in particolare alla Sardegna il mercato dispone di un'ampia gamma. Si va dalle guide classiche, indirizzate ad un pubblico eterogeneo (p.es. *Baedeker*, *Marco Polo*, *Merian*, *Polyglott* in Germania, le guide nelle varie collane del *Touring Club*, le *Guide Mondadori*, *De Agostini* ecc. in Italia), alle guide alternative, sviluppatesi soprattutto a partire dagli anni Settanta-Ottanta (p.es. le guide dell'editore Michael Müller o del gruppo editoriale Reise Know-How in Germania, la collana "Guide per viaggiare" dell'editore *Polaris* in Italia), a guide per destinatari specifici (p.es. famiglie con bambini), o incentrate su temi specifici (p. es. viaggi in moto, in barca, con camper, o anche trekking o biking ecc.).

[4] L'edizione tedesca della *Guida Mondadori Sardegna* è pubblicata da Dorling Kindersley, un editore inglese con sede succursale a Monaco di Baviera; le traduzioni tedesche delle guide sono basate sempre sulle edizioni inglesi.

4. **Le caratteristiche funzionali della** *guida turistica*

Al tema del viaggio è dedicata una vasta e differenziata gamma di generi testuali che, a titolo indicativo, possono essere classificati in sei macroambiti (cfr. Link 1963, Calvi 2000):

documentazioni di viaggio scientifiche e divulgative, p.es. A. von Humboldt;[5]

diari, relazioni, descrizioni e racconti di viaggio, che riportano le esperienze di un viaggio realmente avvenuto, p.es. D.H. Lawrence, E. Jünger;[6]

novelle e romanzi di viaggio, che ruotano attorno a un viaggio reale o fittizio, p.es. J. Conrad;[7]

guide e manuali turistici;

annunci pubblicitari da parte di agenzie, *tour operator*, enti pubblici;

articoli e servizi informativi concernenti l'organizzazione turistica (catene alberghiere, trasporti, flussi turistici) pubblicati nelle sezioni economiche di quotidiani e riviste.

    Sulla guida turistica, il genere testuale oggetto del nostro contributo, negli ultimi decenni si sono focalizzati diversi studi linguistici che hanno portato a una caratterizzazione dei suoi tratti salienti (p.es. Klein 1985, Enkvist 1991a, Enkvist 1991 b, Adamzik 1993, Pretzel 1995, Ramm 2000, Calvi 2000, Neumann 2003, Nigro 2006, Santulli 2007, Fandrych/Thurmair 2011: 52-72).

    Essa viene identificata come un genere testuale complesso ed eterogeneo, che presenta un basso livello di standardizzazione; più propriamente può essere considerata un'unità funzionale superiore, un 'supertesto' (*Großtext*) che abbraccia quattro sottogeneri (*Subtextsorten*), ossia generi testuali caratterizzati ciascuno da una

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[5] Di A. v. Humboldt, vedi il volume illustrato *Vues des Cordillères et Monuments des Peuples Indigènes de l'Amérique* (1810).

[6] Di D.H. Lawrence si ricorda *Sea and Sardinia* (1921), di E. Jünger, *Am Sarazenenturm* (1956).

[7] Il rimando è al capolavoro di J. Conrad, *Heart of Darkness* (1899).

funzione dominante (cfr. Fandrych/Thurmair 2011: 52), come riportato di seguito:

Testi di orientamento (*Orientierungstexte*): servono ad un primo orientamento globale, contengono spesso giudizi di valore e svolgono una funzione implicitamente appellativa;

Testi di supporto pratico (*Ratgebertexte*): fanno riferimento ai diversi aspetti pratici (p.e. modalità di viaggio, sicurezza, scelta dell'alloggio ecc.) e svolgono una funzione di ausilio nella pianificazione e realizzazione concreta del viaggio;

Testi di supporto alla visita (*Besichtigungstexte*): descrivono in modo dettagliato oggetti e ambienti di vario genere e contengono spesso un (implicito) invito all'azione, giacché strutturano e modellano la sequenza dell'osservazione, la focalizzazione dell'attenzione e infine lo spostamento del lettore/visitatore nello spazio. I testi descrittivi evidenziano in modo prototipico la struttura iconica fondata sul principio "*stop-look-see*": al turista viene suggerito prima dove fermarsi, successivamente dove guardare e in terzo luogo che cosa vedere. La guida turistica acquisisce in tal modo anche una funzione di indirizzo, nel senso che il destinatario in sostanza viene sollecitato a prendere visione di ciò che la guida gli suggerisce (cfr. Enkvist 1991a: 9, Enkvist 1991b: 9);

Testi di approfondimento (*Hintergrundtexte*): offrono un quadro sommario di informazioni più approfondite su determinati argomenti storici, culturali, storici ecc. ritenuti rilevanti dall'autore/dagli autori della guida.

Ovviamente la classificazione di cui sopra è prevalentemente teorica, poiché in realtà i confini dei singoli sottogeneri testuali restano di fatto sfumati (cfr. Fandrych/Thurmair 2011: 54)[8]; la

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[8] Anche il geografo Albrecht Steinecke (1994: 19-21), seppure in una prospettiva diversa, nella sua caratterizzazione delle guide turistiche propone uno 'schema a quattro campi' (*Vier-Felder-Schema*); a ciascuno di essi corrisponde una specifica funzione all'interno della struttura globale della guida turistica e nel loro insieme sono riconducibili a due piani funzionali: il piano dell'orientamento (*Orientierungsebene*) e il piano della trasmissione dell'informazione (*Vermittlungsebene*). Al primo

guida turistica, ovvero l'insieme dei sottogeneri di cui si compone, è finalizzata a persuadere il turista (cfr. Introduzione, §1), da un lato, a preferire una determinata guida turistica anziché un'altra (motivazione estrinseca, dettata dalla concorrenza editoriale) e, dall'altro, a visitare determinati luoghi, ad ammirarne particolari caratteristiche, ricchezze ecc. (motivazione intrinseca, propria della guida come genere).

5. **La traduzione delle guide turistiche**

La traduzione interlinguistica, come è stato rilevato da House (1997, cfr. anche Gutt 2000: 47-54, Nord [3]2007: 248-263), è guidata sostanzialmente da due principi:

a.) l'adesione alla struttura del TP, in modo da suscitare nel ricevente un effetto straniante (*overt translation*);

b.) l'adeguamento del TP alle convenzioni proprie della cultura dei destinatari, in modo che nella loro percezione il testo si configuri come un originale (*covert translation*).

La scelta tra questi due principi non è arbitraria, ma è subordinata al livello di equivalenza funzionale tra TP e TA: dipende cioè dalla corrispondenza tra i rispettivi contesti pragmatico-comunicativi (Koller [7]2004: 248-252). La traduzione delle guide turistiche si configura come *covert translation*, tesa principalmente a un'equivalenza pragmatica che comporta l'adattamento del TP in base alle diverse esigenze dei riceventi del

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corrispondono 1. l'orientamento geografico (*Wegweiser*) tramite materiale cartografico e 2. l'animazione (*Animateur*), ossia le informazioni che permettono al turista di organizzare e realizzare i propri interessi e attività di svago (sport, corsi di lingua, vita notturna ecc.) nel luogo di destinazione; al secondo corrispondono 3. l'organizzazione del viaggio (*Organisator*), ossia la programmazione dell'itinerario, la scelta dell'alloggio ecc. e 4. l'interpretazione (*Interpret*), ossia la presentazione degli aspetti culturali e sociali della destinazione tramite la selezione di determinati luoghi e monumenti da visitare, nonché del tipo e quantità di informazioni fornite.

TA e può richiedere anche adattamenti parziali, come si vedrà in seguito.

Si è già rimarcato che la funzione primaria delle guide turistiche è quella informativa, a cui si associa tuttavia la funzione persuasiva; a quest'ultima funzione nelle guide da noi prese in esame è da rimandare p. es. l'uso nel testo originale e, coerentemente, in quello tradotto, di superlativi, di costrutti iperbolici e metaforici:

> "traumhafteste Orte", "spannendste Sehenswürdigkeiten", "Europas höchste Dünen", "Traumwelt", "ein einmaliges Erlebnis" (MPDE: 4-5);
> "i luoghi più suggestivi", "le più appassionanti attrazioni", "le dune più alte d'Europa", "un mondo di sogno", "un'esperienza unica" (MPIT: 4-5);
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> "Puderzuckerstrände, auf die das kristallblaue Meer schwappt, Sonne am strahlendblauen Himmel" (MDE: 39);
> "Spiagge di sabbia finissima bagnate da acque cristalline" (MIT: 39);
>
> "Il suo mare [...] è stato dichiarato tra i più puliti d'Italia", "La costa sud-occidentale [...] è una delle più spettacolari e meglio conservate dell'isola", "La leggendaria trasparenza del mare di Sardegna"; (GMIT: 126, 52, 168)
> "[...] the nearby seaside is the cleanest in Italy", "The southwestern coast is one of the most unspoiled on the island", "The legendary allure of the beaches in Sardinia"; (GMEN: 126, 52, 168)
> "Nirgendwo in Italien ist das Meer so sauber wie bei Bosa", "Die Südwestküste ist eine der unberührtesten der Insel", "Die legendäre Schönheit der sardischen Strände" (GMDE: 126, 52, 168).

La corrispondenza funzionale tra TP e TA è inoltre alla base di alcuni procedimenti di adattamento quali p.es. *aggiunte* di

informazioni (5.1.) volte all'integrazione "del sapere enciclopedico" del destinatario; *omissioni* di informazioni (5.2.) considerate ridondanti per il destinatario, e *sostituzioni* (5.3.), di alcuni segmenti del TP con altri elementi più consoni all'universo culturale del destinatario, o di descrizioni di persone e modi di vivere stereotipici con descrizioni più generiche.[9]

5.1 *Aggiunte*

Le informazioni aggiunte nelle traduzioni inglese e tedesca sono volte prevalentemente a spiegare (a) *realia*, p.es. "domus de janas" ("house of fairies", "rock-cut tombs"; "Feenhaus"; "Felsgräber", GMEN/DE: 32) o, viceversa, (b) a specificare immagini generiche del TP:

> […] mentre a Mamoiada i famosi mamuthones sfilano durante il carnevale coperti dalle loro *maschere grottesche*. (GMIT: 95)[10]

> At Mamoiada the Mamuthones lead the Mardi gras processions wearing *forbidding masks, cow bells and sheepskins*. (GMEN: 95)
> In Mamoiada führen die Mamuthones jährlich *mit hölzernen Masken, Kuhglocken und Schaffellen* die Karnevalsumzüge an. (GMDE: 95)

In alcuni casi le aggiunte contengono informazioni di tipo amministrativo-giuridico:

> Le dieci spiagge della Sardegna da non perdere. […] La più rosata. La spiaggia dell'isola di Budelli, formata da pezzi di

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[9] In questo contributo, i termini "adattamento", "aggiunta", "omissione" e "sostituzione" hanno un significato meramente operativo; per la discussione sulla differenziazione delle varie categorie di traduzione rinviamo a Reiß 1971 e a House 1997.

[10] I corsivi negli esempi, se non indicato diversamente, sono delle autrici.

conchiglia, coralli e microorganismi marini ha incredibili riflessi rosa (GMIT: 19)

Sardinia's ten best beaches. […] Best coral beach. The beach on the island of Budelli consists of pieces of shells, coral and marine micro-organisms, *Now, however, landing on the island is forbidden.* (GMEN: 21)

Die zehn besten Strände Sardiniens. […] Die schönsten Korallen. Der Strand auf der Isola di Budelli besteht aus Korallenresten, Muschelteilen und Meeresmikroorganismen. *Inzwischen ist das Betreten der Insel verboten.* (GMDE: 21)

5.2 *Omissioni*

Le omissioni ricorrenti nelle traduzioni inglese e tedesca della *Guida Mondadori* riguardano soprattutto (a) specificazioni concernenti quantità e misura, oppure (b) informazioni legate al contesto socioculturale italiano e quindi rivolte a quel determinato *target*:

(a)

Le acque cristalline del Mar Mediterraneo lambiscono *i 1849 km di* costa che si rompono in una quantità impressionante di scogli e isolette *(per la precisione 462)*. (GMIT: 18)

Washed by the clear blue waters of the Mediterranean, Sardinia offers a varied coastline of sculpted cliffs and coves. (GMEN: 20)

Das klare blaue Wasser des Mittelmeeres formte eine Küste mit unzähligen Klippen und Buchten. (GMDE: 20)

(b)

Certi campeggi […] dispongono anche di un certo numero di bungalow in muratura, con servizi privati e angolo cottura, ma i prezzi sono decisamente alti, *specialmente nel mese di agosto.* (GMIT: 169)

Some camp sites also have a small number of bungalows or chalets with a bathroom and kitchen area. These are often very attractive but the prices can be steep. (GMEN: 169)

> Einige Plätze vermieten auch Bungalows mit Bad und Kochnische. Die Preise sind teilweise horrend. (GMDE: 169)

Nei testi contenenti suggerimenti concreti, inoltre, alcuni commenti, evidentemente considerati troppo soggettivi, vengono omessi nelle traduzioni inglese e tedesca:

> Extra. Generalmente sono considerati extra il consumo di bevande durante il pasto, il consumo di bevande o altri prodotti contenuti nel frigobar o il servizio in camera, il telefono, *che può avere dei ricarichi imbarazzanti* e, in qualche caso, anche l'aria condizionata. (GMIT: 169)
>
> Extras. Generally speaking, you will pay separately for drinks consumed with your meal, anything taken from the minibar in your room, room service and telephone calls. In some cases air conditioning may be charged as an extra. (GMEN: 169)
>
> Extras. Meist sind Getränke zu den Mahlzeiten nicht im Pauschalpreis enthalten, ebenso wenig Getränke aus der Minibar, Zimmerservice und Telefonate vom Zimmer. Zuweilen wird die Klimaanlage extra berechnet. (GMDE: 169)

Sono sistematicamente omessi anche i passi che (a) evidenziano in modo critico il rapporto egemonico dell'Italia nei confronti della Sardegna e (b) contengono stereotipi riguardanti la Sardegna, l'Italia, i paesi mediterranei o i rispettivi abitanti:

> (a)
> Die Küstengebiete, die fruchtbaren Ebenen, die Bergbauregionen gehörten nacheinander den Puniern, Römern, Byzantinern, Pisanern und Genuesen, den Spaniern *und schließlich den Italienern vom Festland.* (MPDE: 8)
>
> Le zone costiere, le pianure fertili, le aree minerarie furono colonizzate prima da Fenici, Romani, Bizantini, poi da Pisani, Genovesi e Spagnoli. (MPIT: 8) [omesso: *e infine dagli italiani della Penisola*].

(b)

Die Hauptmahlzeit auf Sardinien ist das Abendessen, 'la cena'. Es findet zwischen 19.30 und 23 Uhr statt. Mittags gehen die Sarden normalerweise nicht außer Haus essen, da die 'mamma' für die ganze Familie den 'pranzo', das Mittagessen, kocht. (MDE: 16) [omesso per intero in MPIT].

Anche nell'intervista all'autore della guida Marco Polo, che chiude il volume, nell'edizione italiana è riscontrabile l'omissione di un passo (evidenziato in corsivo):

Und was gefällt Ihnen nicht [an Sardinien]? – *Der sehr lockere Umgang vieler Sarden mit dem Müll*, die vielen Waldbrände und die wuchernden Neubauten an Stränden […] (MPDE: 130) E cosa le piace meno [della Sardegna]? – [omesso: *Il rapporto molto disinvolto di molti sardi con l'immondezza*] I numerosi incendi nei boschi e i nuovi complessi edilizi che deturpano le spiagge […] (MPIT: 126)

5.3 *Sostituzioni*

5.3.1 *Informazioni target-oriented*

La guida *Mondadori* dedica ampio spazio alle informazioni storiche sulla regione, strutturate in un ordine temporale che va dalla Preistoria al presente (GMIT: 31-45). Nell'edizione inglese, in particolare nella descrizione degli eventi relativi agli ultimi trent'anni, sono presenti alcuni adattamenti *target-oriented*: non sono riportate in generale informazioni sportive o politiche considerate irrilevanti o negative per un ricevente britannico o statunitense[11], mentre sono state inserite notizie ritenute d'interesse

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[11] Si tratta dell'informazione che nel 1983 l'Italia, tramite l'*Azzurra* dello Yacht Club Costa Smeralda partecipa per la prima volta all'America's Cup

per quel *target* specifico quali p.es. l'accordo sardo-americano relativo allo sfruttamento delle risorse aurifere della Sardegna, la tassazione di seconde case, yacht e aerei privati introdotta nel 2006 per i non residenti, e l'informazione sull'introduzione dell'euro in Italia nel 2002 (GMIT: 45). Nell'edizione tedesca, traduzione "fedele" della versione inglese, considerato il *target* diverso, questo adattamento può produrre un effetto straniante.

Nelle prime pagine della guida *Marco Polo* viene descritto il momento dell'arrivo (ideale) del turista nell'isola. La percezione della destinazione turistica, prima che visiva, è acustica ("Dopo una notte di navigazione il frastuono dei motori del traghetto si affievolisce [...]", p. 8), tattile ("si percepisce la brezza che soffia dalla terraferma", p. 8), olfattiva ("un misto di profumi di mirto, lentischio, corbezzolo, cisto, ginepro, rosmarino e altre piante aromatiche tipiche della macchia mediterranea della Sardegna", p. 8). Nella versione originale tedesca, invece, l'impatto olfattivo è affidato ad arbusti mediterranei più generici: "einen warmen Duft von Macchia, von Thymian, Myrthe, Rosmarin und vielen anderen aromatischen Kräutern Sardiniens" (MPDE: 8). Nella traduzione italiana di questo testo di orientamento iniziale, fortemente evocativo, la sostituzione consiste in un adattamento del TP all'immaginario del destinatario.

Soprattutto nei testi di orientamento il TA ricorre a uno smorzamento dell'aggettivazione emotivo-enfatica che nell'originale tedesco è spesso espressa da sequenze di due o più aggettivi:

Grotta de Su Marmori. Sie zählt zu den *größten und beeindruckendsten* Grotten der Insel. (MDE: 7)
Grotta Su Marmori. È una delle grotte *più grandi* dell'isola. (MIT: 7)
Es ist schon eine *elitäre, künstliche* Welt, die der Ismaelitenprinz Karim Aga Khan in den 1960er Jahren für sich und andere betuchte Erholungssuchende schuf […] (MDE: 5)

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(GMIT: 45), e quella relativa al ritiro della NATO dalla base militare de La Maddalena.

Un luogo sicuramente *esclusivo*, creato negli anni Sessanta del secolo scorso dal principe ismaelita Karim Aga Khan per sé e per tutti quelli che possono permetterselo. (MIT: 5)

Anche alcune sequenze di due o più nomi in tedesco, la cui funzione è marcatamente evocativa, vengono sostituite da nomi o sintagmi che (a) caratterizzano una determinata attività, o (b) smorzano la forza evocativa dell'originale:

(a)
Hirten & Schafe (MPDE: 17)
Pastorizia (MPIT: 20)

(b)
Sinishalbinsel. Einsame Steppenlandschaft mit *Reitern, Schafen und Flamingos*. (MPDE: 4)
Penisola del Sinis. Paesaggio solitario e stepposo per *cavalcate in mezzo alla natura*.

5.3.2 *Rappresentazioni stereotipiche*

Nella guida *Marco Polo* alcuni adattamenti ricorrono nella rubrica dedicata alle raccomandazioni sulle cose da evitare in Sardegna: la guida tedesca presenta cinque punti[12], il primo dei quali rassicura il turista tedesco sulla sicurezza della destinazione mediterranea. Il brano, ricco di stereotipi etnici, si commenta da sé:

Die beim Besuch von Mittelmeerländern üblichen und oft ziemlich übertriebenen Ängste vor Dieben, Räubern, Betrügern und Machos können zu Hause bleiben. Die Sarden sind fast immer herzlich und hilfsbereit, sofern ihnen Respekt

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[12] La rubrica è intitolata "Bloß nicht!" I punti elencati sono i seguenti: "Überall Nepp und Betrügerei befürchten"; "Gepäck im Auto lassen"; "Organisierte Busausflüge"; "Mit dem Feuer spielen"; "In der Saison einfach drauflosfahren" (MPDE: 132).

entgegengebracht wird. Nepp und Betrügereien sind selten, denn sie widersprechen dem sardischen Ehrenkodex. Besonders in den Dörfern und Kleinstädten leben die Menschen noch immer sehr stark in ihrem traditionellen Wertesystem, wo persönliche Ehre, Familie, Sippe und Freundschaft unantastbar sind. (MPDE: 132)[13]

Questo passo è omesso per intero nella traduzione italiana, che pur contiene un'analoga rubrica intitolata "Da evitare" con sei raccomandazioni, ovvero quattro di quelle contenute nel TP ("partire senza prenotazione in alta stagione", "giocare con il fuoco", "bagagli e oggetti in auto", "gite organizzate in autobus"), alle quali se ne aggiungono altre due ("dimenticare l'ombrellone" e, curiosamente, evitare "la strada statale 597", definita "una delle più pericolose della Sardegna", MPIT: 123).

Anche nella guida *Merian live!* troviamo frequentemente rappresentazioni stereotipiche della vita italiana in generale e sarda in particolare: in una prospettiva quasi etnografica l'originale tedesco descrive il rito italiano del caffè mattutino al bar:

Einen normalen Arbeitstag beginnen die Sarden anders, als es bei uns üblich ist. Oder können Sie sich vorstellen, jeden Morgen in einer Bar um die Ecke einen Espresso zu trinken? Was diese Sitte angeht, sind die Sarden dann wieder ganz italienisch, auch wenn sie es nicht immer sein wollen. Stellen Sie sich morgens also einfach einmal in eine Bar und beobachten die Menschen, wie sie ihren Tag beginnen. Meist stehen sie an der Theke und rühren scheinbar Unmengen von

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[13] "Potete lasciare a casa la paura di diventare vittime di scippatori, ladri, truffatori e macho che colpisce spesso in modo esagerato chi visita un paese del Mediterraneo. I sardi sono quasi sempre cordiali e disponibili, se vengono trattati con rispetto. Furti e imbrogli sono rari in quanto vanno contro il codice d'onore sardo. Soprattutto nei paesi e nelle piccole città le persone vivono ancora fortemente ancorate al loro sistema di valori tradizionali all'interno del quale l'onore, la famiglia, il parentado e l'amicizia sono intoccabili." (trad. nostra)

Zucker in ihre kleine Espressotasse, um deren Inhalt dann in ein oder zwei Schlucken zu leeren. (MDE: 15)[14]

Nell'edizione italiana il brano è molto più sintetico; viene meno la prospettiva "etnografica", che è sostituita dall'immagine suggestiva della vacanza estiva al mare: "La mattina appena svegli potete godervi la colazione nel vostro hotel o nel bed & breakfast in cui soggiornate. In alternativa potete prendere un espresso in un bar, magari sulla spiaggia." (MIT: 15)

Come ogni guida turistica che, in quanto prodotto commerciale, deve promuovere un *brand* dai tratti ben definiti, anche la *Guida Mondadori* non rinuncia all'uso degli stereotipi, sebbene con una minore componente etnica rispetto alle guide tedesche. Nel testo di orientamento iniziale è impiegato un linguaggio fortemente evocativo:

> Tra le tante sensazioni che si provano quando si sbarca in Sardegna per la prima volta, forse quella che colpisce di più è dovuta all'unicità di quest'isola. Lontana, in mezzo al mare, la Sardegna è stata per millenni ai margini della storia e dei commerci del Mediterraneo: un mondo a parte, splendido e peculiare. (GMIT: 13)

Nella traduzione inglese, e di conseguenza in quella tedesca, lo stile evocativo-narrativo del TP è sostituito da una descrizione sintetica:

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[14] "I sardi cominciano una normale giornata di lavoro in modo diverso rispetto a noi: o potete immaginarvi di prendere ogni mattina il caffè al bar sotto casa? Riguardo a questa usanza, quindi, i sardi sono del tutto italiani, anche se non sempre vogliono esserlo. Andate la mattina in qualche bar e mettetevi a osservare come le persone iniziano la propria giornata. Per lo più stanno al banco e sembra che versino quantità incredibili di zucchero nella loro tazzina, per poi berne il contenuto in un sorso o due." (trad. nostra)

The very isolation of this large island set in the middle of the Mediterranean has shaped its unique character. For thousands of years Sardinia has stood on the sidelines of mainstream Mediterranean historical events, remaining a singular world to itself. Even the Romans found it a difficult place to subdue. (GMEN: 15)

Seinen einzigartigen Charakter verdankt Sardinien seiner isolierten Lage im Mittelmeer. Seit Jahrtausenden bildet die Insel – von den wichtigen historischen Ereignissen im Mittelmeer relativ unberührt – eine Welt für sich. Selbst die Römer hatten Schwierigkeiten, Sardinien zu unterwerfen. (GMDE: 15)

6. **Conclusioni**

Da questo primo confronto a carattere esplorativo emerge che:
- nelle guide turistiche italiane gli elementi di enfatizzazione hanno generalmente maggiore forza evocativa, mentre in quelle tedesche si riscontra la preferenza per figure retoriche già largamente diffuse nel linguaggio comune e quindi più stereotipiche. Poiché questo fenomeno si può osservare sia nei testi tedeschi originali sia nelle traduzioni tedesche, sembrerebbe una caratteristica propria del linguaggio turistico tedesco; una considerazione analoga perviene lo studio contrastivo di Eva Stoll (2001: 348) di un corpus di dépliant turistici in tedesco, italiano, francese, spagnolo e inglese;
- le guide tedesche contengono un insieme di stereotipi incentrati sul complesso tematico natura-cultura-gente, mentre la guida Mondadori usa prevalentemente stereotipi incentrati sul paesaggio. Sarebbe interessante approfondire l'analisi degli stereotipi, chiedendosi se tendenzialmente le rappresentazioni stereotipiche vengano usate con maggiore frequenza nelle guide dedicate a destinazioni estere rispetto a quelle dedicate ad una destinazione "domestica". Alcuni studi evidenziano infatti che processi di stereotipizzazione – o perlomeno di semplificazione – sono indubbiamente ricorrenti nelle guide dedicate a destinazioni

estere[15], ma sono presenti anche in guide dedicate ad una destinazione "domestica" (cfr. Steineke 1994: 24-25).

Per quanto concerne inoltre i procedimenti di adattamento del testo nella LA, possiamo osservare che le aggiunte sono riscontrabili solo nella traduzione IT→TED, mentre le omissioni compaiono, seppure con motivazioni diverse, nelle traduzioni in entrambe le direzioni. Gli adattamenti riscontrati nelle versioni inglese e tedesca della *Guida Mondadori* riguardano aspetti prettamente informativi, mentre quelli effettuati nelle traduzioni italiane delle guide tedesche *Merian* e *Marco Polo* sono volti principalmente alla sostituzione di passi stereotipici o denotanti una distanza culturale troppo marcata.

* Presentiamo qui la versione rielaborata di una relazione tenuta nell'ambito del XII Convegno internazionale *Da Ulisse a ... Il viaggio verso le Terre Felici*, Imperia 6-8 ottobre 2011; la sua stesura è frutto della collaborazione delle due autrici, che firmano insieme il paragrafo 1; del paragrafo 2 è responsabile Livia Tonelli, dei paragrafi 3-6 Tania Baumann.

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[15] A questo proposito abbiamo già citato Calvi per le guide italiane dedicate alla Spagna, ma rappresentazioni analoghe sono documentate per le guide tedesche dedicate a Sicilia, Maiorca, Marocco e altre destinazioni mediterranee nel volume curato Popp (1994). Per le rappresentazioni di Monaco di Baviera secondo una prospettiva italiana vedi Agreiter (2000).

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INVISIBILITY CLOAKS AND MAGIC BELTS: GARMENTS AND FASHION ACCESSORIES IN THE MIDDLE HIGH GERMAN DIETRICH CYCLE

Chiara Benati

"Laurin der kunheit vorgaz, / iz woste nicht, wo iz waz. / Ez greyf zcu den syten sin, /do iz weste eyn helkeppelin, / der vil kleyne recke, / daz her sich da myte bedecke, / daz sin der Berner nicht ensach" *(Laur. 453-459). Shortly before being overcome in the one-to-one fight against Dietrich, Laurin has recourse to a stratagem which can save his life: he produces from his pocket a small invisibility cloak and covers himself with it, so that neither Dietrich nor anyone else can see him. Passages as this mentioning or describing (magic) garments and fashion accessories are quite frequent in the Middle High German Dietrich cycle. In some cases, thanks to their magic powers, clothes and accessories even play an important role in the development of the narrative by helping or strengthening the hero or his enemies. In this paper these passages are analyzed and attention is given not only to garments and accessories and their function in the narrative, but also to their descriptions and to the terms used to identify them, so as to ascertain if these reflect the fashion of the period in which the texts were composed or written.*

1. **The Dietrich Cycle**

Theodoric the Great (471-526), king of the Ostrogoths and conqueror of Italy, is one of the most important characters of the medieval heroic tradition. This Amal king serves as inspiration not only for the Middle High German hero Dietrich von Bern (Verona) and for the protagonist of the Old Norse *Þiðreks saga* but also for a series of shorter texts belonging to the German, English and Scandinavian language areas, the largest part of which were composed in the 13th century.[1]

This narrative material is very likely to have been first developed by the Goths, but it reached its peak of popularity in Germany, where the majority of the preserved Dietrich epic comes from. Apart from a series of historical texts – both Latin and vernacular – narrating the

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[1] See also Heinzle 1999, 1.

life and deeds of Theodoric the Great, which often contaminate historical evidence with legendary elements, and can therefore be classified as pseudo-biographical,[2] three main narrative cores can be identified in the Dietrich cycle:

1. The so-called "historical Dietrich epic" (German *historische Dietrichepik*), constituted mainly by three Middle High German poems: *Dietrichs Flucht* (*DietrFl.*), *Rabenschlacht* (*RaSchl.*) and *Alpharts Tod* (*AlpT.*). Despite its name, this group of texts presents a strongly transformed version of the historical truth: here Dietrich is not the conqueror of Italy but the legitimate heir of a kingdom situated in the Northern part of the country, who has been usurped by his uncle Ermenrich. The name of one of Theodoric's ancestors – traditionally hostile to his relatives – replaces here that of his historical opponent, Odoacer. Exiled from his kingdom, Dietrich takes refuge at the court of Attila (German: Etzel), king of the Huns, and repeatedly tries to win back his kingdom, until – after 30 or 32 years – he is finally able to defeat Ermenrich and return to his homeland.

2. The *aventiurehafte Dietrichepik* ("adventurous Dietrich epic"), a large group of texts which, lacking any historical basis, narrate Dietrich's enterprises against fantastical opponents such as dwarfs, giants and dragons.[3] Seven texts are traditionally classified as belonging to the adventurous Dietrich epic: *Goldemâr*, *Eckenlied*, *Laurin* (*Laur.*), *Rosengarten* (*Ros.*), *Sigenot* (*Sig.*), *Virginal* (*Virg.*) and *Wunderer* (*Wund.*). In addition to these, Heinzle includes in this context one more poem, preserved fragmentarily and known as *Dietrich und Fasold*.[4]

3. The texts dealing with Dietrich's end concern the *damnatio memoriae* suffered by Theodoric as a consequence of the tension with the Roman Catholic Church, which characterized the last years of his kingdom.

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[2] The life of Theodoric is narrated in the Latin *Gesta Theoderici* and in the *Kaiserchronik* and the *Weltchronik* by Heinrich von München, both in Middle High German.

[3] The Middle High German term *aventiure*, from which the adjective *aventiurehaft* derives, is a loanword from Old French *aventure* and entered German at the end of the 12th century as a consequence of the strong influence of chivalric culture.

[4] Heinzle 1999, 99.

Dietrich is, therefore, either sunk into the crater of a volcano (Gregory the Great's *Dialogues*), brought to Hell (*Þiðreks saga*) or rescued by a trick (*Wartburgkrieg*).[5]

2. **Garments and Fashion Accessories in the Corpus**

Quite frequently garments and fashion accessories are mentioned and described in the texts of the Middle High German Dietrich epic. The following study will identify the relevant passages, analyze the vocabulary of garments and discuss both their function in the narrative and the possibility that they reflect the fashion of the time the texts were composed or written.

2.1 *Which garments and which accessories?*

The typology of the garments and fashion accessories present in the analyzed corpus is necessarily strongly influenced by the very nature of the texts constituting it. In particular, two specificities of the Dietrich poems exert influence on the selection of the pieces of clothing: plot and gender of the characters.

The plot of the Middle High German Dietrich poems is centred on a series of fights, duels and tournaments. Given this importance of combats in the development of the plot, it is not surprising that particular attention is paid to armour and weapons. When a new opponent is introduced, his battle outfit is usually described in some detail. This is, for example, the case for the dwarf Laurin, come to avenge the destruction of his rose garden by Dietrich and his companions:

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[5] See also Cometta 1994.

Sich du qwam geriten	See there came riding
eyn getwerg mit swinden siten,	very quickly
daz waz Laurin genant.	a dwarf named Laurin.
Eyn sper vurt iz an siner hant,	He held in his hand a spear
bewonden wol mit golde,	covered in gold,
also iz eyn konig furen solde.	as adequate for a nobleman.
Vorne an dem spere sin	At the top of his spear
do swebit eyn panir sidin,	there waved a silk flag
dar an zcwene winde.	representing two hounds
Sam sy liffen swinde	following quickly
in eynem witen walde	their prey
noch eynem wilde balde.	into a wide forest.
stunden sy, sam sy lebeten	The flag moved
da sy an dem panier swebeten.	so that they seemed to be alive.
Sin ros was zcu den siten wech	His horse was piebald
unde in der grozze also eyn rech,	and was about as big as a roe deer.
dor uffe eyn decke guldin	On the back of the horse lay a golden cover
dy gap in dem walde lichten schin	shining in the forest
von deme gesteyne also der tag.	as the bright day because of precious stones.
Der zcaum, der an dem rosse lag,	The bridle on the horse
der waz rot guldin,	was of red gold,
alz in der cleyne Laurin	the small Laurin
hatte in der linken hant,	held it in his left hand,
do her dye zcwene forsten vant.[…]	when he found the two noble men.[6]

More than 100 lines are dedicated to this detailed description of every single element of Laurin's military equipment: spear (*spere*), flag and coat of arms (*banier*), horse and harness (*zoum*, *satel*, *satelboge*, *stegereife*), greaves (*beingewant*), breastplate (*brünne*), belt (*gürtelin*), sword (*swert*), tabard (*wâpenrock*), helmet (*helm*) and shield (*schilt*). Each of these elements is depicted in its colour, ornament and, in some cases, value, origin and particular (strategic and magic) properties.

A similar – slightly shorter – description of a knight's equipment is to be found in *Virginal*. At the beginning of the poem, Hildebrand

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[6]Lienert *et al.*, 2011, 16. Unless otherwise indicated, all translations from Middle Low German are my own.

and the young Dietrich, who still doesn't know what adventure is, move towards the forests of Tirol to fight against the pagan Orkise, who had brought death and devastation in the land of Queen Virginal. This pagan villain is extraordinarily strong and well equipped:

Der heiden was unmâzen starc.
bezzer vil wan tûsent marc
sô was sîn harnesch reine.
sîn ros daz was unmâzen guot
(ez lief reht als ein schibe tuot
über stocke und über steine,
sô er in die wilde reit),
sîn harnesch lieht und veste,
mördeclîchen daz er streit.
[…]

er hete ein swert unmâzen guot:
der knopf und daz gehelze
von alsô klârem golde was;
lûter als ein spiegelglas
glizzen ime in die velze.
sîn helm von klârem golde schein,
sô er reit in die wilde;
dar an lac manec edel stein
verwürket in diu bilde.
dâ zuo vuorte er einen schilt,
dar an von rôtem golde was
gestrichen manec edel wilt.
Sin brünje alsô herte was
von klârem stahel, als ich las,
sî eime keiser zæme

ze tragen wol in sînre nôt.
er wær verdecket vür den tôt,
und obe ez alsô kæme
daz er in strîte müeste sîn.
die ringe wâren veste:
reht als sî wæren rôtguldîn,
gâben sî ir gleste.[…]

The pagan was immensely strong.
Much better than one thousand war-
horses, so was his good armour.
His horse was extraordinarily good
(it ran just like a wheel,
over bushes and rocks,
when he rode it in wilderness),
his armour shining and resistant:
he fought to kill.

He had an extraordinarily good
sword: the knob and the hilt
were of shining gold;
brighter than a mirror,
they shone to him in the mountains.
His helmet shone of clear gold,
when he rode in wilderness;
many precious stones lay there
to form an image.
In addition to that he had a shield
on which many noble beasts
were gilded in red gold.
His breastplate of clear steel was so
hard, as I have read,
that it could have been worn by an
emperor,
if the situation had required.
He was protected against death.
And if this had come,
it should have been in battle.
The rings were strong
and shone exactly
as if they had been of red gold.

er vuorte ein sper wîz unde rein, daz was lûter von helfenbein: drin in vil süezer wîse ein nahtegal sô lûte sanc, swann erz vuort an der hende, dazz in dem walde suoze erklanc und in der steines wende. ir stimme diu gap süezen dôn, wan sî mit grôzen listen was in daz sper verwürket schôn.	He had a spear, white and good, as clear as ivory: inside it a nightingale sung aloud in such a sweet way, that it resonated sweetly in the forest and towards the mountains, whenever he took it in his hand. Its voice gave out a sweet sound, because it had been manufactured astutely in the spear. [7]

The pagan's suit of armour is described in full detail and appears to be as effective and sumptuous as Laurin's: armour and weapons (sword, spear) are not only extremely strong and resistant but also very precious because of the materials employed (e.g. gold and gems) and the peculiarity of their manufacture. So, for example, the pagan's spear is not only good and solid, but it also produces a sweet sound, similar to a nightingale's song, which can resonate in the forest, whenever it is grasped at.

The gender of the characters portrayed constitutes the second specificity of the Dietrich epic with regard to the selection of garments mentioned and described in the poems. As stressed by Brüggen in respect of German courtly literature of the 12th and 13th century, Middle High German poets paid particular attention to women's fashion, while only rarely the same space is dedicated to men's clothing.[8] In contrast to courtly literature, in the poems of the Middle High German Dietrich epic female characters play, on the whole, a quite marginal role. Women are hardly mentioned in the text belonging to the pseudo-historical branch of the Dietrich tradition, whose plot is centred on Dietrich's exile and attempt to win back his kingdom, without any concession to romance. Somehow women are more present in Dietrich's adventures, since some of them are determined by the protagonist's wish to help a woman in need (*Virginal*, *Wunderer*), by the glove of defiance thrown by a lady (Kriemhild in *Rosengarten*) or are in some way connected to the

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[7] Zupitza 1968, 1-2.
[8] Brüggen 1989, 100.

narrative scheme of a maiden in danger (*Laurin*). Some of these "active" women are described by their physical appearance and, consequently, by their clothing as well. This is, for example, the case of Kriemhild's companion, the future duchess of Brabant, in *Rosengarten A*:

Kriemhilt diu küneginne dô niht langer beit, mit ir juncvrouwen si sich dô bereit Diu junge herzoginne gienc ir an der hant, die wollte si ze wîbe geben deme von Brâbant. [diu selbe juncvrouwe truoc ein kleit an, dadurch dâ schein ir lîp, der was sô wolgetân. Ir arme wâren wîz, blanc als ein hermelîn. under den juncvrouwen mohte si diu schœnste sîn.]	Kriemhild, the queen, didn't wait any longer then: she prepared herself together with her maidens. The young duchess walked at her side: she wanted to give her in marriage to the duke of Brabant. (This very maiden wore a dress which gave a glimpse of her well-built figure. Her arms were white, as clear as an ermine. She could be the most beautiful among the maidens.)[9]

The focus of this description is the maiden's beauty, rather than her outfit, which is only hinted at. The only relevant feature of the dress (*kleit*) mentioned in this passage is that it lent a glimpse of her beautiful and shapely figure, while all other details such as colour, fabric, length and shape are considered unimportant and, therefore, not included in the text.

Some more details can be found in a passage of *Laurin* describing a group of women. The dwarf-maidens living in Laurin's hollow mountain are portrayed in these terms:

Do quam Kunhilt dy kunegin mit mancher kurczer	Künhild, the queen, came then with many small dwarf-maidens,

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[9] Holz 1982, 18.

getwergin.	
Dy waren schone und wol getan,	who were beautiful and well-shaped.
dy trugen riche cleyder an	They wore rich clothes
von phellel und von syden.	of purple and silk
Do waz daz beste gesmide,	and, on these, jewels of silver,
daz man von golde	gold and precious stone,
addir von gesteyne tragen solde.	the best one could have.[10]

Not only do we get to know here that these dwarf-maidens were beautiful and well-shaped but also that they wore rich and sumptuous clothes made of precious fabrics, such as silk (*syden*) and purple (*phellel*), which were traditionally used for people of imperial, royal or other high rank. The opulence suggested by this detail is further reinforced by another element of the girls' outfits: their jewels (*gesmide*), which were the best one could have.

Taking into consideration the specificities of the Dietrich epic as far as both plot and gender of the characters are concerned, we expect to find references to men's garments, in particular those which were worn with the armour, and only occasionally to women's items of clothing and accessories.

2.2 *The function of garments and accessories in the Dietrich cycle*

The garments and accessories mentioned seem to have three major functions in the corpus. The first of these functions is clearly exemplified by the passages quoted above: the description of rich and sumptuous pieces of clothing and/or military equipment contributes to the general atmosphere of the poems by giving dignity and importance to the characters owning them. This is extremely significant in those texts of the adventurous Dietrich epic where the protagonist is confronted with fantastic, non-human creatures. If, in fact, the praise and exaltation of the opponent's value constitute a stereotype of heroic literature, aimed at highlighting the hero's own strength, they are far

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[10] Lienert *et al.*, 2011, 102.

more important when the enterprise's difficulty is not immediately evident, as, for example, in case of a fight against a dwarf. Duelling with a dwarf could have appeared quite an easy task and, as such, not worth being told, if this small opponent had not had some peculiarity or magical power compensating his size and making him worthy to be one of Dietrich's opponents.[11] The above-mentioned description of Laurin's military equipment and the emphasis given to its preciousness and refinement is not only a narrative device employed to praise Dietrich's small opponent and, through him, the Veronese himself. In addition to that, one particular accessory – Laurin's magic belt – plays a fundamental role in this process of underlining the difficulty of Dietrich's enterprise: far from being simply a "knight in miniature", Laurin represents a real danger for the hero and his companions, because he wears a magic belt conferring on him a strength equal to that of twelve men (*da von iz hatte zcwelf manne craft*) which has always allowed him to be victorious in battle. If this were not enough, Laurin can take recourse to another magical garment of great strategic value:

Ez greyf zcu den syten sin, do iz weste eyn helkeppelin, der vil kleyne recke, daz er sich da myte bedecke daz sin der Berner nicht ensach.	He caught on his side where he had a small invisibility cloak, the very small warrior, in order to cover himself with it, so that the Veronese did not see him.[12]

During the fight with Dietrich he wears a small cloak (*helkeppelin*) rendering him invisible to his opponent,[13] who, in the version of the story preserved in the Danish ballad *Dværgekongen Lavrin*, will be

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[11] See also Wessels 1966, 350.

[12] Lienert - Kerth, 2011, 50.

[13] In one particular version of the poem, the so-called *jüngere Vulgat-Version*, characterized by the addition of a prior event to the main plot, this invisibility cloak has already been mentioned in this first part of the narration, where Laurin, invisible by means of it, is able to approach and kidnap Lady Künhild, the sister of Dietleib, one of Dietrich's companions.

able to guess his position only by looking at the movement of the grass.[14]

The motif of invisibility is also present in another passage of the *Laurin*: after Dietrich has defeated the dwarf and agreed to spare his life, he and his companions are – according to the narrative scheme of the treacherous invitation – attracted and locked into the dwarf's underground palace, the hollow mountain (*hohle berg*). Once they are there, thousands of dwarfs attack them taking advantage of the darkness. The Veronese warriors are able to escape this trap only thanks to a magic belt which Master Hildebrand gives Dietrich:

Nim hin daz gurtelin, daz saltu gurten um dynen lib, so seyst du an der selben zcit dy getwerge in deme berge wol. Vor war ich daz sprechen sol.	Take this small belt and wear it around your waist. In this way you will immediately see the dwarfs in the mountain. I can say this in truth.[15]

This magic belt belongs to a category of accessories which play a role in the development of the narrative, since their acquisition represents an important turning point in the plot. The insertion of this belt into the narration constitutes, here, the physical and tangible representation of a supernatural force – such as magic or witchcraft – necessary to turn the tide and solve an apparently desperate situation. In this case, the reference to a specific piece of clothing has a particular function in the narration, since this garment becomes the visual expression of an external help given to one or other character and sets, therefore, the basis for the future development of the narration.

The third function of the items of clothing in the Dietrich epic could be defined as "symbolic".[16] Some passages of the poems analyzed mention garments or accessories hinting at one particular

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[14] Benati 2003, 218.

[15] Lienert *et al.*, 2011, 136.

[16] The symbolic value of clothing in literature has been extensively studied in Raudszus, 1985 where a wide spectrum of different symbolic functions of clothing is described. When referring to garments which have a "symbolic" value within the Dietrich epic, I refer to what he calls "*Signalfunktion*" (191-194).

situation or condition which could be visually represented by a particular outfit. So, for example, the army of 1,100 men moving towards Verona in *Alpharts Tod* is characterized by the black cassock (*swartz kotten*) they wear over their shining armour (*liechte ringe*):

Da hyeß der monch Ylsam uff blasen sin her horn.	Then Ilsan the monk let blow the horn.
Da hette er der synen da keyn verlorn.	He had not lost any of his men.
Da samelt er der synen da eylff hondert man,	There he gathers eleven hundred men of his
dye aber den liechten ringen drungen swartz kotten an.	who, over the shining rings, wore black cassocks. [17]

The very name of this garment is sufficient to suggest to the audience that this rank of men was actually composed of monks, the brethren of Ilsan, Hildebrand's brother, since the Middle High German term *kotte* is always – apart from a few dialectal exceptions – used to refer to an ecclesiastical garment.[18] Also the chromatically contrasting reference to the black cassock and the clear and shining armour suggests the peculiarity and unconventionality of this character who is monk and warrior at the same time.

Ilsan's monastic condition is symbolically indicated by garments in one passage of *Rosengarten D* as well:

Dô trat vür die porten der münech Ilsân.	Then Ilsan the monk arrived at the gates.
dô truoc er ob den ringen eine grâwe kutten an.	Over the rings he wore a grey cassock.
dô truoc er ob den beinen zwô dicke grâwe hosen.	On his the legs he wore a pair of heavy grey trousers.
[...]	[…]
Nu wil ich iuc]h gerne helfen', sprach der münech Ilsân,	"Now I would like to help", said Ilsan the monk,
'nu luo]get mich, her Dietrîch, waz	"Have a look now, Lord Dietrich,

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[17] Lienert –Meyer 2007, 75.
[18] See also Grimm, 11, coll. 2891-2898.

ich ze strîte hân', dô zôch er] abe die kutten und warf sie in daz gras: hei,] wie wünneclîche der münech gewâfent was! 'Was traget ir under den hosen?' sprach meister Hiltebrant. 'daz tuoni ich, lieber brode, mîn alt sturmgewant.' dô schouwete der von Berne des müneches Ilsân swert: 'eines vrischen predegerstabes sît ir wol gewert.	what I have to fight!" Then he took the cassock off and threw it in the grass: oh, how extraordinarily equipped was the monk! "What do you wear under the trousers?", asked master Hildebrand. "I do that, dear brother, my old equipment." Then the Veronese looked at the sword of Ilsan the monk: "You are well worth a new preacher's rod."[19]

The grey robe worn over the armour constitutes the visual representation of the religious role Ilsan is ready to put aside in order to fight on Dietrich's side. The scene of the undressing with the monk's cassock thrown in the grass clearly symbolizes this (temporary?) abandonment of the monastic condition to join the Veronese and his companions. However, if behaviour of this kind appears fully legitimate in a situation such as the one described in *Alpharts Tod*, where Dietrich was fighting against the usurper Ermenrich trying to win back his reign, in a context like this – a tournament organized as a series of duels between the heroes of two different factions aimed at winning a rose garland and the kiss of a beautiful girl – it acquires a farcical, if not obscene, connotation.

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[19] Holz 1982, 85-86.

3. **The Terminology of Garments and Accessories in the Dietrich Cycle**

An investigation of the Middle High German terminology employed to indicate garments and accessories can be helpful in ascertaining if they, in some way, reflect contemporary fashion. The analysis of both the historical and adventurous Dietrich poems has allowed an identification of a rather small corpus of terms belonging to the semantic field of fashion and clothing. These can be further divided into two groups: terms indicating garments and accessories themselves and terms referring to the textiles and materials these items of clothing are made of. Another clothing-related semantic subfield is represented by adjectives denoting colour, which deserves special attention and will not be treated in this study. Moreover, since the focus of this research is clothing and fashion in the Middle High German Dietrich epic, none of the terms referring exclusively to the heroes' weapons and military equipment will be included in this corpus.

 Garments and accessories

Thirteen terms referring to garments and accessories could be identified in the Middle High German Dietrich poems. They will, here, be listed alphabetically and analyzed taking into consideration their meaning(s), connotations and, when semantically relevant, their etymology. All occurrences of each term will, moreover, be presented together with an indication of the poem and line (or stanza and line) where they can be found.

gewant: not only does this neuter (nt.) noun (n.) indicate generically any kind of garment or fabric used to produce clothing, but it can also be employed in the meaning of "armour, military equipment".[20] In a context such as that of the Dietrich epic, where clothing and military equipment are often mentioned together, it is not always possible to understand the exact meaning of each occurrence.

Clearly referring to clothing:

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[20] See also Lexer 1, col. 975 and Grimm 6, coll. 5236-5287.

Virg. 1029, 4: *von sîde ein kostberlîch gewant* ("of silk a precious *gewant*").

Laur. 1051: *sy taten ane phellel gewant* ("they wore purple *gewant*");

Of uncertain interpretation:

AlpT. 405: *Er hyeß im balde brengen raß, harnesch und gewant* ("he ordered that horse, armour and *gewant* be brought to him soon");

Virg. 577, 9: *welhz dunket iuch ein rîch gewant?* ("which one seems to you a rich *gewant*?");

Virg. 579, 2: *ich wil ouch kleiden in mîn gwant* ("I want to put on my *gwant* as well");

Virg. 580, 11: *daz dunket mich ein rîch gewant* ("this seems to me a rich *gewant*").

gürtel, gurtel: feminine (f.) n., (diminutive *gürtelin*, nt. n.) "belt" worn around the waist by both men and women.[21] As pointed out by Brüggen on the evidence of German courtly literature of the 12th and 13th century, belts had a particular decorative value and were often extremely valuable with gemmed buckles and bands made of silk, gold and silver threads or of precious metal components.[22] A small belt with sapphires and rubies is described in *Virg.* 578, 7 and following: *dar ûf ir kleinen gurtel small / sapphire und rubbîne, / dâ von erliuhte berc unt tal / von ir glanzen schîne.* ("There, on their small, thin belt, sapphires and rubies, because of them both mountains and valleys shone, because of their bright splendor.")[23]

Laur. 187: *dar umbe lag ein gurtelin;* ("there lay a *gurtelin*");

Laur. 1327: *Nim hin daz gurtelin;* ("take the *gürtelin*");

DietrFl. 669: *zu den claidern edl gurtl guot,* ("in addition to the clothes a good noble *gurtel*");

Wund. 19, 2: *mit einem gürtel kleyn.* ("with a small *gürtel*").

handschouh: masculine (m.) n., compound of *hant* "hand" and *schouch* "shoe", meaning "gloves", covering hand, wrist and forearm. This particular garment is usually not mentioned in large

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[21] See also Lexer, 1, col. 1125.

[22] Brüggen 1989, 90-94.

[23] Zupitza 1968, 107.

literary descriptions of medieval clothing. They are, on the other hand, quite frequently present in lists of female accessories together with mirrors, rings, brooches and hair slides. In men's clothing they were part of hunting equipment and distinguished messengers and ambassadors.[24] The term occurs only once in the corpus analyzed, in *Virg.* 450, 8: *zwên handschouhe in der hende* ("two *handschouhe* in the hand"), and the context suggests it could refer to hunting gloves.

helkeppelin: nt. n., diminutive form of *helkappe* "invisibility cloak".[25]

Laur. 456: *do iz weste eyn helkeppelin* ("where he knew there was a *helkeppelin*").

Laur. 713: *uf saczte ich ir eyn helkeppelin* ("I put my *keppelin* onto her").

hemd: nt. n. indicating the underwear – usually of silk – worn by women and knights directly against the skin.[26] In this corpus of texts, the term occurs only once and it refers to a man's garment worn under the hauberk (*halsperge*).

RaSchl. 650, 5: *Daz tet ein hemde sidine* ("a silk *hemd* did this").

hose: f. n. always used in plural (*hosen*) to indicate a stocking-like garment, usually of refined wool cloth, covering men's legs from the thigh or knee down to and including the foot. These *hosen* were often attached to a pair of short pants called *bruoch*,[27] which are, however, never mentioned in the Dietrich epic.

RosD. 97, 3: *dô truoc er ob den beinen   zwô dicke grâwe hosen* ("he wore a pair of heavy grey *hosen* on the legs");

RosD. 105, 1: *Was traget ir under den hosen?'   sprach meister Hiltebrant* ("What do you wear under the *hosen*? said Master Hiltebrant").

huot: m. n. "hood", a head covering worn by men and women. In contrast to the *hûbe*, this head covering did not adapt to the form of the head, but had a tip pointing upwards. Hoods were usually made

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[24] Brüggen 1989, 222.

[25] See also Benecke *et al.*, 1, col. 787.

[26] See also Brüggen 1989, 71, 100, 223 and Grimm 10, coll. 980 and following.

[27] See also Lexer 1, coll. 368 and 1344 and Brüggen 1989, 103-104.

of silk and decorated with gold, pearls and precious stones.[28] A silk hood is mentioned in the only occurrence of this term in the corpus.

Virg. 837, 10: *vor der sidin huote* ("in front of the silk *houte*").

kleit: nt. n. generically indicating any piece of clothing, both men's and women's. In the Middle High German Dietrich epic, the term often appears in the plural (*kleider*) and in connection with adjectives expressing a positive, but extremely general, positive opinion, like *rîch* "rich" or *best* "the best".

Laur. 991: *dy trugen riche cleyder an* ("and wore rich *kleider*");

DietrFl. 669: *zu den claidern edl gurtl guot* ("in addition to the *kleidern* a good noble belt");

Virg. 134, 3: *legt an iur besten kleider* ("put on your best *kleider*");

Virg. 196, 5: *daz nie soum gewan ir kleit* ("that her *kleit* never had a hem");

Virg. 681, 5: *sî truogen diu aller besten kleit* ("they wore all the best *kleit*");

Virg. 1051, 3: *er gap in ros und kleider* ("he gave them horse and *kleider*");

Wund. 142, 4: *hiengen jnn ir cleidt* ("they tore her *cleidt*").

kotte, kutte: f. n. indicating originally a cheap and not particularly refined fabric, which was used, among other things, for cassocks worn by monks and nuns. Already in the Middle High German period, this had become the main meaning of the term. The f. n. *kappe* also occurs as synonym of *kotte*.[29]

AlpT. 1839: *dye aber den liechten ringen drungen swartz kotten an* ("who, over the shining rings, wore black *kotten*");

RosD 97, 2: *dô truoc er ob den ringen   eine grâwe kutten an* ("over the rings he wore a grey *kutten*");

RosD 104, 3: *dô zoch er] abe die kutten   und warf sie in daz gras* ("then he took the *kutten* off and threw it in the grass").

rock: m. n. of uncertain origin appearing in Old High German from the 9th century onwards (*roch, rocch, rogh, rokk* and *hroch*). The term can be used to indicate the main piece of clothing of both men and women without distinction: the man's is a sleeved, tight

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[28] See also Brüggen 1989, 227.

[29] See also Grimm 11, coll. 2891-2898.

garment covering the upper part of the body, while the woman's is an outer garment covering the body from the shoulders to the feet.[30] In the corpus analyzed the term occurs only once, in *Wunderer*, where it refers to the white garment, embellished with pearls, worn by *fraw* Seld on her arrival at Etzel's court.

Wund. 16, 1: *Den rock den sie an hette* ("the *rock* which she was wearing").

tesche, tasche: f. n. "bag", diminutive: *teschelîn*, nt. n. The single occurrence in the corpus, in *DietFl.* 662, suggests bags could be precious fashion accessories: the one mentioned here is made of gold (*guldein*) and decorated with precious stones; not too big and not too small, it is worn with a belt (hanging from it?), according to the courtly fashion, as the poem says (*alz man ze hofe gern tuot*).

DietFl. 666: *die guoten tarschal guldeinn* ("the good golden *tarschal*").

wâpenroch, wâfenroc, wapen rack: m. n. referring to the cloak – usually of silk and with precious decoration – worn by knights over their armour.[31]

AlpT. 418: *Sye gap im eyn wapen rack, der was gut gnug* ("she gave him a *wapen rack*, which was adequately good");

AlpT. 487: *sin wapen rack myt dyren, myt golde wol dorchleyt* ("his *wapen rack* finely embroidered in gold with animal ornaments");

Laur. 201: *Sin woppin rog way siden* ("his *woppin rog* was of silk");

Sig. 61, 2: *Gar rûhe was sîn wâfenroc* ("his *wâfenroc* was quite unrefined");

Walb. 2590: *recht alz der waffen roch* ("as the *waffen roch*").

zendelkleit: nt. n., compound of *zendel, zindel* and *kleit*. The m. n. *zendel* indicates a light silk fabric, similar to taffeta. A *zendelkleit* is, therefore, a woman's dress made of this particular fabric.[32]

Virg. 578, 4: *diu ziehens über diu zendelkleit* ("they put on the *zendelkleit*").

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[30] See also Grimm 14, coll. 1092-1095.

[31] See also Lexer 3, col. 632.

[32] See also Lexer 3, col. 1122 and Grimm 31, col. 1387.

Textiles and materials

As far as the semantic subfield of textiles and materials is concerned, the following eight lexemes (nouns and adjectives) have been identified in the corpus:

baldekîn, beldekîn: m. n. indicating a precious type of moire cloth of silk and gold thread. The term comes from *Baldac* (Baghdad), from where this material originally came, even though it was, later, used to indicate less valuable fabric employed to produce both clothes and blankets.[33]

> *DietrFl.* 656: *phelle unde paldegin* ("purple and *paldegin*");
> *Virg*. 579, 4: *in vrische niuwe beldekîn* ("in fresh new *beldekîn*").

hermelîn, harmlin: nt. n., diminutive form of *harme* "ermine". In the corpus analyzed this noun can refer to both the living animal and its fur, one of the most common symbols of royal dignity, as witnessed by *Virg.* 1029, 2: *Der vürste und ouch diu künegin / kleiten sich von hermelîn / nâch küneclîchen êren.*[34]

> *RosA* 171, 3: *in pfeller und in hermelîn,   vil rîchheit lac daran* ("in purple and in *hermelîn*, a great abundance was there");
> *Virg.* 654, 3: *von wîzem hermîne* ("of white *hermîne*").
> Referring to the living animal:
> *Virg.* 352, 7: *diu dâ hât daz hermelîn / daz spilt in ir schôze?* ("who has the *hermelîn* playing on her lap").
> *DietrFl.* 655: *zobl und harmlin* ("sable and *harmlin*").

pfellel, pfeller, phelle: m. n. referring to a refined silk (but probably also wool) cloth. The etymology of the term, a loanword from Middle Latin *palliolum* (diminutive from *pallium, -i*), suggests this fabric was originally used for both liturgical and secular official garments.[35] This noun was at first only indicating this particular type of textile, without any reference to a specific colour, with time it was more and more often combined with colour adjectives

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[33] See also Lexer 1, col. 114.
[34] Zupitza 1968, 188: "The princes and the queen put on ermine furs in conformity to their royal dignity."
[35] See also Grimm 13, col. 1665.

meaning "red, purple-red, crimson" and became a synonym for "purple", as witnessed by the adjective *phellôlin*, "crimson".[36]

DietrFl. 656: *phelle unde paldegin* ("*phelle* and moire silk cloth");

Laur. 1051: *sy taten ane phellel gewant* ("they wore *phellel* clothing");

RosA 171, 3: *in pfeller und in hermelîn, vil rîchheit lac daran* ("in *pfeller* and in ermine, a great abundance was there");

RosD 31, 3: *diu linde ist unbehangen mit pfeller alsô rôt,* ("the linden tree is decorated with red *pfeller*");

RosD 32, 4: *darûf lît pfeller und sîde, daz besserz nie enwas* ("there lay *pfeller* and silk the best that ever existed").

scharlach: nt. or m. n. "scarlet".[37] The origin and exact nature of the textile defined by this term have been investigated by generations of scholars. In the 20th century, this extended scholarly interest resulted in two contrasting theories. According to the first and oldest theory, the term derives from Persian *sak¢irlāt* (or from one of its diachronic and/or diatopic variants), which various Persian dictionaries define as "warm woollen broadcloth" or "scarlet-coloured cloth".[38] Accepting this theory, we should assume European scarlet was the imitation of a luxurious textile from the Islamic East, probably Persia. More recently a different etymology of the term was proposed. According to this second theory, scarlet was of Flemish origin. If it were so, the term would derive from the Flemish compound *scarlaken, schaerlaken, scaerlaken* (< *schaer* "shear" and *laken* "cloth"), meaning "a cloth to be shorn, or re-shorn".[39] As convincingly demonstrated by Munro, none of these explanations is fully satisfying since, independently from the etymological origin of the term, scarlet was mainly characterized by its being dyed with a colour obtained from the desiccated eggs of various insects of the Coccidae family.[40] The high cost of scarlet and, consequently, its function as a status symbol were, therefore,

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[36] See also Lexer 2, col. 235.

[37] See also Lexer 2, col. 663 and Grimm 14, col. 2200.

[38] See for example Vullers 2, 303-304; Johnson 1852, 705; Wollaston 1889, 1131.

[39] See also Weckerlin, 1905, 12-13.

[40] Munro 1983, 13-17 and Munro 1994.

mainly due to the costs of this particular dyestuff and only secondarily to those of the precious English wools used in weaving it. Consistently with this, Munro also puts forward a hypothesis to explain the etymology of the word: in Medieval Latin, in Romance languages and in English the term for "scarlet" derived from the Arabic name for an ancient Islamic textile dyed in kermes, *sik¢lat* or *sik¢lātūn*. Even though it was made of silk and not of wool, this had taken its name from that of a late Roman or Byzantine woollen textile decorated with seals and rings, the *sigillatus* (Greek σιγιλλατον). Later, this very kermes-dyed silk was also – probably under the influence of Italian *scarlatto* – called *sakirlat*. Apart from English, all Germanic languages (German *Scharlach*, Dutch *scharlaken*, Swedish *scharlakan*) seem to have contaminated Arabic *sik¢lātūn* with Old High German *scharlachen*, a term appearing for the first time in the *Summarium Heinrici* (between 1007 and 1032) as a vernacular rendering of Latin *rasilis* "shorn, shaved cloth".[41]

> *DietrFl.* 657: *und manigen guoten scharlach,* ("and much good *scharlach*").

sîde: f. n. "silk", loanword from Latin *seta* (probably already deriving from Oriental languages).[42]

> *RosD* 32, 4: *darûf lît pfeller und sîde,   daz besserz nie enwas* ("there lay purple and *side*, the best that ever existed");
>
> *Virg.* 1029, 4: *von sîde ein kostberlîch gewant* ("a precious cloth of *side*");

sidîn: adj. from *sîde* "of silk, made of silk".

> *Laur.* 201: *Sin woppin roch was sidin* ("his cloak was *sidin*");
>
> *RaSchl.* 650, 5: *Daz tet ein hemde sidine* ("a *sidine* shirt did this");
>
> *Virg.* 678, 11: *daz aller schœnste sîdîn werc* ("the most beautiful *sîdin* work");
>
> *Virg.* 679, 11: *daz aller schœnest sîdîn werc* ("the most beautiful *sîdin* work");
>
> *Virg.* 837, 10: *vor der sîdîn huote* ("in front of the *sîdîn* hood").

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[41] Munro 2007, 63-66.
[42] See also Grimm 16, col. 174.

zobel: m. n. "sable". In the Middle High German Dietrich epic this
term is always used to indicate sable fur, rather than the living
animal.

DietrFl. 655: *zobl unde harmlin* ("*zobel* and ermine").

4. Conclusion

With this study I have tried to give an account of the role played in the
Middle High German Dietrich epic by garments and fashion
accessories. Even though a group of poems mainly centred on duels
and military enterprises could appear unlikely to contain references to
fashion, an accurate analysis of textual evidence has allowed me to
demonstrate that clothing is not only frequently mentioned in the texts
of the Dietrich cycle, but, in some cases, it is even functional to the
narrative development of the plot.

This analysis of textual evidence has been conducted on different
levels. Firstly, the relationship between the Dietrich epic and clothing
has been investigated from a macroscopic point of view, taking into
consideration the contexts in which garments and fashion accessories
appear both in the historical and the adventurous Dietrich epic. This
has allowed the observation that long and detailed descriptions of
military equipment and clothing tend to be more frequent in the poems
narrating Dietrich's adventures against fantastic opponents, such as
giants, dwarfs and dragons. In this respect they contribute to create a
rich and fantastic atmosphere, to give dignity to Dietrich's opponents,
and thus to stress his military value. This is in fact one of the main
functions of the insertion of garments and accessories in the Dietrich
poems. Some items of clothing have magic powers, and therefore do
not simply represent a knightly status symbol, but also play a role in
the narrative, since their possession can overturn a fight, and thus
constitute a turning point in the narration.

On the microscopic level, the Middle High German terminology
for garments and fashion accessories employed in the poems of the
Dietrich cycle has been analyzed in detail. A corpus of twenty-two
terms – mainly nouns – referring to clothing has been identified in the
texts under consideration. This corpus could be divided in two
semantic subfields: nouns indicating types of garments and
accessories and nouns and adjectives for materials and textiles.

The present lexical investigation has pinpointed that the Middle High German Dietrich epic clearly reflects (at least to some extent) some trends of medieval fashion (e.g., the use of decorative accessories such as belts and bags). In one passage the medieval poet himself comments on the custom – which he calls "courtly fashion" – of wearing belts and bags on clothes. On the other hand, no detailed description of single garments is given: none of the texts analyzed contains information on hems, cuts or sleeve forms. Beauty and luxury are the only features considered relevant in the Dietrich epic. For this reason, the variety of terms referring to different fabrics should not, in my opinion, be considered representative of a real fashion habit: the presence of *scharlach* rather than *phelle* in a certain passage is not necessarily significant of the use of one particular fabric for one specific garment. All materials mentioned have a high symbolic value and a luxury connotation (ermine furs, and precious, sometimes exotic, textiles). Bearing this in mind, the selection of this or that term can be ascribed to stylistic (poetic variation) and metrical reasons, as witnessed by the fact that many terms appear at line end, in rhyming position.

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LA GRANDE GUERRA DEI POETI

Maria Rita Cifarelli

The last three decades have witnessed the reassessment and expansion of the canon of First World War poetry; a process which has inevitably led critics to reconceptualise war and the vocabulary of war. The paper retraces the crucial phases of the critical debate around the construction and reception of this canon. It aims to show how discussions about this poetic production, which partakes of both cultural memory and literary tradition, have been subject to opposed ideological readings and heated debates over the role, function and language of war poetry.

> The war, people said, had revived
> their interest in poetry
> (Virginia Woolf, *To the Lighthouse* 110)

Commentando la grande produzione poetica degli anni di guerra Arthur Waugh e Edmund Gosse rilevavano che "the chief literary effect of the conflict had been not so much an improvement in poetry as an improvement in the poets themselves" (Hibberd 15). Secondo i dati raccolti da Catherine Reilly (1978) circa 2225 poeti – calcolando solo quelli britannici e irlandesi – scrissero poesie di guerra e circa cinquanta antologie furono pubblicate nel periodo che va dal 1914 al 1922. Il fatto che nella memoria collettiva e nelle odierne antologie si ricordi un piccolo numero di questi poeti[1] – per lo più coloro che si opposero alla guerra, ma non solo – non toglie importanza al fenomeno, ma invita a qualche riflessione sui momenti che hanno segnato il consolidamento di questa produzione, molto varia per tipologia e qualità, nel canone letterario del Novecento.

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[1] Nel 1985, nel giorno della commemorazione dell'Armistizio, nel Poet's Corner di Westminster Abbey è stata scoperta una lapide in ricordo di sedici *war poets* : Richard Aldington, Laurence Binyon, Edmund Blunden, Rupert Brooke, Wilfrid Gibson, Robert Graves, Julian Grenfell, Ivor Gurney, David Jones, Robert Nichols, Wilfred Owen, Herbert Read, Isaac Rosenberg, Sigfried Sassoon, Charles Sorley, Edward Thomas.

Non potendo dar conto in dettaglio della lunga storia di continua ridefinizione del ruolo e dei confini di questo corpus poetico, si affronteranno qui solo alcuni nodi concettuali inerenti al dibattito critico sulla definizione e composizione del genere. Come si è consolidata letterariamente la figura del poeta di guerra e che ruolo hanno avuto le raccolte antologiche pubblicate in modo costante dal 1914 in poi? Quali sono state le inclusioni e le esclusioni e quali i criteri di selezione? Che influenza hanno avuto le riletture critiche che nel tempo, e soprattutto negli ultimi trent'anni, hanno trasformato la composizione del canone e la sua ricezione?[2]

Nel 1942 Robert Graves poneva già una discriminante affermando che di poesia di guerra si può parlare solo a partire dalla prima guerra mondiale: "The 'war poet' and 'war poetry' (…) were terms first used in World War I and perhaps peculiar to it" (Das 5). Non solo perché a scrivere furono, per la prima volta, i soldati stessi, ma anche perché la dimensione collettiva di questa poesia, evidente nella volontà di porsi al di sopra della singola esperienza dando testimonianza di un trauma condiviso, tracciava un percorso completamente diverso dall'individualismo più o meno eroico che aveva caratterizzato la produzione lirica tardo ottocentesca e i cui echi erano ancora vicini: dalle *Barrack-Room Ballads* (1892) di Richard Kipling fino a *A Shropshire Lad* (1896) di A. E. Housman o alla produzione poetica, per lo più scritta dai civili, negli anni della Guerra Boera (1899-1902).

Nelle prime settimane di guerra la necessità di un recupero e consolidamento di quelle strutture e figure simboliche attorno alle quali andavano riorganizzati il consenso emotivo e l'unità spirituale delle masse trovò nella figura del *poet-soldier* la sua icona. Quando il giorno di Pasqua del 1915 il Reverendo Inge recitò dal pulpito della cattedrale di St Paul la poesia di Rupert Brooke, "The Soldier", di fatto saldava simbolicamente in un'unica figura i valori culturali, civili e nazionali per i quali quella guerra andava combattuta. Alla morte di Brooke il commosso necrologio di Winston Churchill sul

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[2] Una delle più recenti e documentate riflessioni su questi temi è quella di Santanu Das (2013) nel suo saggio "Reframing First World War Poetry".

Times completava la consacrazione pubblica e andava diritto a colpire l'emotività nazionale.

"Over the next three years, the 'poet-soldier' would morph into 'soldier-poet', and by the 1930s he had become, according to Edmund Blunden, 'as familiar as a ration card'" (Das 5). La tempestività con cui la poesia si legò all'esperienza bellica è documentata dalla grande quantità di liriche che celebrarono, ricorrendo a un immaginario antico e 'rassicurante', l'inizio della guerra. Nel patriottico lirismo di Rupert Brooke, Rudyard Kipling, e persino di Sigfred Sassoon, Julian Grenfell, Isaac Rosenberg, così come nella produzione di tanti minori che si cimentarono in liriche improntate a un patriottismo più di maniera che di sostanza, riemergevano i tradizionali *topoi* poetici legati all'opposizione pace/guerra, consolidatisi da tempo nel vocabolario dell'emotività nazionale e ora ripresi e strumentalizzati alla nuova situazione. Nell'arco di due anni l'esperienza della guerra avrebbe completamente svuotato queste liriche di ogni residua illusione sul senso della guerra e la figura del *soldier-poet* avrebbe assunto il carattere tragico che la rappresentazione del trauma collettivo che si stava consumando, richiedeva.

Le prime antologie uscirono già nel 1914 – *Poems of the Great War* e *Songs and Sonnets for England in War Time* – ma in questo caso si trattava di pubblicazioni sostenute e incoraggiate dalla propaganda governativa che contava sulla predilezione del pubblico per le raccolte di versi, sulla scia del grande successo di *Georgian Poetry*, l'antologia curata da Edward Marsh e Rupert Brooke e pubblicata nel 1912. Per dar conto di questa popolarità basti ricordare che la prima edizione di *Georgian Poetry* vendette 15.000 copie e la seconda, nel 1915, 19.000 copie. Un termine di paragone si può avere ricordando che *The Waste Land* di T.S. Eliot riuscì a vendere 443 copie in diciotto mesi.

La figura del soldato poeta comincia ad apparire nel 1916 nel titolo della raccolta curata da Galloway Kyle con lo pseudonimo Erskine Macdonald, *Soldier Poets*: *Songs of the Fighting Men* seguita l'anno successivo da *More Songs by the Fighting Men*. Le due antologie parlavano ancora di singoli uomini, di combattenti,

non evidenziando un corpus unico a cui riferire la produzione lirica nel suo complesso e nella sua prefazione Kyle dichiarava che le poesie raccolte "define, record and illustrate the aspirations, emotions, impressions and experiences of men of all ranks" (Silkin 70). La necessità di sottolineare il contributo di tutte le classi era in realtà solo propaganda dato che la maggioranza dei testi raccolti (quarantaquattro su settantadue) erano scritti da ufficiali o comunque da militari appartenenti alla media o alta borghesia.

Secondo Das (2013, 5) il primo consapevole accenno a un genere da contrassegnare con i termini "war poetry" e "war verse", destinati a radicarsi ma anche a stimolare un vivace dibattito critico, si può far risalire al saggio di Marion Scott "Contemporary British War Poetry, Music and Patriotism", pubblicato sul *Musical Time* il 1 marzo 1917 in cui l'autrice rilevava "an 'enormous increase in poetic output' related to the war, ranging 'from genius to the doggerel'" (Das 2013, 5).

Dal 1918 in poi si moltiplicarono le antologie che raccoglievano e diffondevano liriche di guerra tracciando le fondamenta del genere e delineando il profilo identitario del poeta di guerra come figura letterariamente, ma soprattutto socialmente, riconosciuta. La definizione non fu però unanimemente accettata nemmeno tra i poeti e se da un lato alcuni, come Ivor Gurney, che sembra sia stato il primo ad autodefinirsi tale, si riconobbero in questa categoria (tanto che Gurney con questo appellativo si firmò a partire dal 1923), altri come Wilfred Owen preferirono evitarla riconducendo l'attenzione sulle qualità letterarie e sulla "verità" della testimonianza piuttosto che sul contesto a cui la poesia si riferiva. Mentre nelle lettere del 1917 Owen parlava ancora di "war impressions" e "war poem", nella prefazione del 1918, che doveva aprire la raccolta delle sue poesie, si riferiva solamente al ruolo del poeta e al compito della poesia.

In modo analogo Edward Thomas, in una articolo sulla poesia di guerra del 1914, si distaccava polemicamente dall'idea del poeta "prophet, … champion and consoler", così definito nella prefazione alla prima antologia di guerra e sottolineava che il vero poeta non tratta del "raw material of public events". Negli anni del "rampant

patriotism of the 'bardic' phase" (Cook 218) Thomas si collocava sul crinale di un "subtle (private) patriotism" contro il "deliberate (public) patriotism".

> The worst of the poetry being written today is that it is too deliberately, and not inevitably, English. It is for an audience: there is more in it of the shouting of rhetorician, reciter, or politician than of the talk of friends and love. (Cooke 218)

Thomas non fece in tempo a diventare "trench poet" perché morì pochi mesi dopo il suo arrivo al fronte e per anni le sue poesie, scritte prima di partire per la Francia, non furono inserite nelle antologie perché non ritenute poesie di guerra anche se *Poems*, prima raccolta delle sue liriche, fu pubblicata nel 1917, sei mesi dopo la sua morte e la successiva, *Last Poems* nel 1918. Finché si identificò la poesia di guerra come poesia che nasceva dall'esperienza diretta della trincea e dal coinvolgimento nei campi di battaglia, poeti come Thomas soffrirono, all'interno del genere, di una marginalità che cominciò ad allentarsi solo negli anni '60. Nel 1964 alcune poesie furono incluse nell'antologia di Brian Gardner *Up the Line to Death* e nel 1965 in quella curata da I. M. Parson *Men Who March Away*. In questo caso il principio organizzativo della raccolta consisteva nel testimoniare diverse fasi dell'evoluzione dell'atteggiamento dei poeti nei confronti della guerra, seguendo non tanto un principio cronologico quanto piuttosto un percorso intellettuale ed emotivo.

Già a partire dagli anni dell'immediato dopoguerra il dibattito critico sul ruolo e la funzione di quello che si andava costituendo come un vero e proprio sottogenere portò a continui riaggiustamenti, con esclusioni e inclusioni che si giustificarono spesso per motivi completamente diversi. Il nodo cruciale che si andava delineando era come e con quali criteri selezionare all'interno di una produzione così vasta e differenziata le voci più rappresentative e letterariamente mature. Si attivò un processo selettivo che procedeva per sottrazione più che per inclusione e che inevitabilmente dette origine a posizioni contrapposte sull'importanza da attribuire alla

profondità della testimonianza – e dunque alla guerra – piuttosto che alla dignità estetica – e dunque alla poesia. L'influenza degli intellettuali modernisti nella definizione del canone poetico e il loro rifiuto del sentimentalismo georgiano, tornato più che mai protagonista nelle poesia di guerra, condizionarono la ricezione e valutazione estetica di liriche che apparivano troppo segnate, nella forma, dalle convenzioni del passato, e nei contenuti dalla violenza del presente: poesie che non potevano giustificarsi esteticamente solo perché frutto della guerra ma che non potevano nemmeno essere completamente dissociate dal contesto in cui erano state prodotte

> It is natural to feel an impulse of charity towards the poems written by young men who have fought or are still fighting; but in the case of Mr Sassoon there is no temptation to indulge in this form of leniency, because he is so evidently able-bodied in his poetic capacity and requires no excuses to be made for him. At the same time, it is difficult to judge him dispassionately as a poet, because it is impossible to overlook the fact that he writes as a soldier. (Woolf 1987, 269)

Nell'esitazione di Virginia Woolf si manifestavano sentimenti ambigui e controversi che oscillavano tra il rispetto dovuto a tanti giovani combattenti e il disagio di ritrovare in un poeta come Sassoon un'esposizione emotiva che contrastava con un'idea di poesia intellettualmente distaccata e formalmente distillata, in grado di elevare la sofferenza al di sopra della miseria del martirio

> There is a stage of suffering, so these poems seem to show us, where any expression save the barest is intolerable; where beauty and art have something too universal about them to meet our particular case. Mr Sassoon sums up that point of view in his 'Dead Musician'. Not Bach or Beethoven or Mozart brings back the memory of his friends, but the gramophone does it bawling out 'Another little drink won't do us any harm'. Mr Sassoon poems are too much in the key of the gramophone at

present, too fiercely suspicious of any comfort or compromise, to be read as poetry; but his contempt for palliative or subterfuge gives us the raw stuff of poetry. (Woolf 1987, 270)

Posizione condivisa da John Middleton Murry che in un articolo del 1918 riteneva che Sassoon avesse scritto soltanto dei "versi", "the raw data for poetry but not poetry in itself", proprio perché mancava di "intellectual remoteness". (Hibberd 14) Sulla stessa linea T.S. Eliot, recensendo *Naked Warriors* su *The Egoist* nel 1919, esprimeva invece il suo apprezzamento per la poesia di Herbert Read perché non era né "Romance nor Reporting", priva quindi sia del sentimentalismo di Brooke che del realismo di Sassoon.

Caso esemplare di questa difficoltà dell'establishment letterario ad accettare una poesia che formalmente si collocava all'interno di una solida e riconoscibile tradizione letteraria, da cui però si distaccava per l'uso realistico e violento delle immagini e del linguaggio, è evidente nel caso di Wilfred Owen. Anche per lui il riconoscimento fu tutt'altro che immediato. Solo quattro delle sue poesie furono pubblicate nel corso della sua vita. Nel 1919 Edith Sitwell ne pubblicò alcune in *Wheels* e nel 1920, insieme a Sigfried Sassoon, selezionò alcuni testi dai manoscritti e li pubblicò in un volume che fu ristampato nel 1921. John Middleton Murry che fu uno dei suoi primi estimatori, scrisse nel 1919 nel saggio "The Condition of English Poetry" che "Strange Meeting" era una delle più belle poesie di guerra e che Owen era a suo avviso "the greatest poet of the war" poiché non aveva approfittato della guerra come occasione per esprimersi ma si era lasciato saturare da quella tremenda esperienza. Owen "bowed himself to the horror of war until his soul was penetrated by it, and there was no mean or personal element remaining unsubdued in him" (Hibberd 15). Nonostante ciò non ci furono altre ristampe fino all'edizione curata da Edmund Blunden nel 1931.[3] Pochi anni dopo, nel 1935, il riconoscimento più significativo fu quello di Stephen Spender che definì Owen "the most useful influence in modern verse",

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[3] Anche le poesie di Isaac Rosenberg vennero pubblicate solo nel 1937.

riconoscendo nella sua poesia, impegnata nella denuncia politica, nell'indignazione morale e nella celebrazione dell'uomo comune, un esempio di poesia civile su cui anche altri giovani poeti, come Auden e McNeice, si stavano formando (Perkins 166). Solo dagli anni '30 in poi la rivalutazione critica della sua poesia rimase costante e si consolidò anche grazie all'apprezzamento di poeti come Dylan Thomas negli anni '40 e Philip Larkin negli anni '60. Per Larkin Owen rimaneva "the only twentieth century poet who can be read after Hardy without a sense of bathos" (Hibberd 10).

Le prova di quanto forti restassero però le riserve del vecchio establishment letterario è documentata dall'esclusione delle poesie di Owen dall'*Oxford Book of Modern Verse,* curato da W. B.Yeats e pubblicato nel 1936. L'ormai celebre motivazione addotta da Yeats era che "passive suffering is not a theme for poetry" (Allison 2006, 208), a cui si aggiunsero altre inequivocabili osservazioni che appaiono in una corrispondenza privata:

> He is all blood, dirt, and sucked sugar stick … he call poets 'bards', a girl a 'maid' & talks about 'Titanic wars' There is every excuse for him but none for those who like him". (Yeats 1940, 113)

Yeats in realtà escluse le liriche di tutti i poeti di guerra tranne "The End of a War" di Herbert Read. Questa drastica scelta determinò reazioni imbarazzate e stimolò un vivace dibattito critico all'interno del quale era leggibile la polarizzazione generazionale, ideologica e letteraria, che si andava affermando in quegli anni. Polemicamente schierato contro Yeats, C. Day Lewis non esitò a tracciare una nuova genealogia poetica riconoscendo in Owen, Hopkins e Eliot i poeti più influenti per la sua generazione.

La posizione di Yeats è stata analizzata, nelle sue implicazioni ideologiche e letterarie, nel saggio di Allison (2006), che riporta i commenti dei critici a lui contemporanei e si addentra nell'analisi del concetto di "passive suffering" contrapposto a quello di sofferenza attiva, al limite anche auto-distruttiva, ma comunque in grado di consentire il rispetto dell'individualità e soprattutto la scelta

del proprio destino: opzione questa che per i soldati portati al massacro sul Fronte Occidentale, non era certamente praticabile. L'idea di un eroismo individuale, nutrito di astratti echi letterari, configurava una visione del sentimento patriottico e del concetto di gloria decisamente premoderno e incapace di confrontarsi con la realtà della guerra. "Yours is patriotism of the fine sort – patriotism that lays burdens upon a man, and not patriotism that take burdens off" (Allison 213) aveva scritto Yeats nel 1901 esprimendo la sua ammirazione per il secondo volume di poesie di Newbolt, *The Island Race*.

Ancora negli anni '60 in uno dei primi studi completamente dedicati al gruppo dei *war poets*, *English Poetry of the First World War* (1964), il critico americano John H. Johnston, tornò sul problema del registro poetico che la poesia di guerra richiedeva sostenendo che nessuno di questi poeti, eccetto David Jones, era riuscito ad esprimere una visione epica del conflitto e che molto limitata doveva considerarsi la qualità letteraria delle loro liriche. A Johnston rispondeva polemicamente il critico inglese Donald Davie con un articolo sul *New Statesmen* in cui affermava che "the war poets had to be understood in terms of British social history and not in those of aridly academic criticism" (Hibberd 18) giustificando le inadeguatezze formali di alcune liriche come elementi non fondamentali all'interno di una produzione complessiva che aveva contribuito a creare un immaginario simbolico profondamente legato ad uno dei momenti più tragici nella storia e nell'esperienza collettiva della nazione. In questo caso il ruolo e la funzione della poesia di guerra andavano ricollocate all'interno del processo di costruzione della memoria culturale del Novecento, in quella "recognisable structure of feeling" (Das 4) in cui si fondono testimonianza storica e letteratura.

L'idea che la poesia di guerra potesse funzionare anche come spazio in cui si saldavano testimonianza e memoria e in cui il linguaggio potesse esprimere, con la stessa violenza che aveva interiorizzato in guerra, la deflagrazione di valori, miti e linguaggi della modernità sarebbe diventata con gli anni un'altra importante linea interpretativa.

In un saggio illuminante sulle configurazioni culturali che determinarono la persistenza di linguaggi e simbologie a volte contrapposte, Jay Winter (2013) riparte ad esempio dalla posizione di Yeats, sottolineando come la poesia di Owen si collocasse, per ragioni storiche e culturali, "within a linguistic grammar and register of emotion"(243) decisamente diversi da quello di Yeats e di altri scrittori in Irlanda e sul continente: " the British register of what came early on to be termed 'war poetry' moved 'beyond glory', or in Yeats's language, beyond the 'tragic joy' he believed to be at the heart of poetry. Tragic joy was not the register of Owen or of much of British war poetry, because life in the trenches had blown such notions to pieces".

Nonostante avesse passato gran parte degli anni di guerra a Londra, scrivendo la 'sua' poesia di guerra,[4] Yeats condivideva secondo Winter

> a poetic and literary space closer to that found in France than to that found in Britain during and after the war. Many Irish and French writers still saw 'glory' in war, in part because both adapted a revolutionary rhetoric to the issues of the day, and in part because Roman Catholicism kept the notion of 'glory' alive among communicants and freethinkers alike in both civil war Ireland and France. (Winter 244)

Quando Yeats si rivolgeva dunque ai protagonisti dell'insurrezione del 1916 scrivendo "a terrible beauty is born", si collocava

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[4] Già nel febbraio 1915 Yeats si era espresso chiaramente rispetto al ruolo della poesia in tempo di guerra in *On Being Asked for a War Poem (*Yeats,1982*, 175): "I think it better that in times like these/A poet's mouth be silent, for in truth/ We have no gift to set a statesman right;/He has had enough of meddling who can please/ A young girl in the indolence of her youth,/Or an old man upon a winter's night."
Silenzio interrotto nel 1918 con la poesia "An Irish Airman Foresees His Death" scritta per commemorare la morte del maggiore Robert Gregory, figlio di Lady Gregory.

all'interno di una tradizione romantica che aveva trovato nella rivolta insurrezionale una sua identità civile ed estetica e che accomunava Irlanda e Francia ma che rimaneva marginale in Gran Bretagna

> War poetry in England had the room to move beyond glory because British, political, religious, military and literary traditions created an entirely different cultural environment out of which poetic and prose reflections of the Great War emerged. (Winter 245)

Lo svuotamento semantico del concetto di gloria – che Yeats poneva ancora a fondamento della sua valutazione estetica della poesia di Owen – era dunque avvenuto, secondo Winter, non come conseguenza della Guerra ma come risultato di un lungo processo di indebolimento ideologico e culturale iniziato fin dai tempi della guerra di Crimea e della guerra Anglo-Boera. L'inno di Elgar "Land of Hope and Glory" del 1902 che tornava a insistere sulle figure dell'onore e della gloria, non rappresentava che il fragile e puramente ideologico tentativo di riportare in vita un set di immagini e valori che stavano inesorabilmente svanendo e a cui l'esperienza di guerra avrebbe dato il colpo finale.

La pubblicazione delle memorie di Robert Graves (*Good-Bye to All That*, 1929) e di Siegfried Sassoon (*Memoirs of an Infantry Officer*,1930), le antologie curate da Frederick Bereton (*Anthology of War Poems*, 1930) e Robert Nicholls (*Anthology of War Poetry 1914-18,* 1943), che per prime delineavano i confini del genere, dettero il via a una riflessione critica che con gli anni si fece più meditata e costante. Studi, tributi[5] e saggi critici, si moltiplicarono dagli anni '60 in poi, contribuendo a ridefinire ed ampliare il canone. Grande influenza ebbero le antologie di L.M. Parson, *Men Who March Away* del 1965, di B. Gardner *Up the Line to Death:*

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[5] Nel 1962 Benjamin Britten rendeva omaggio alle vittime della seconda guerra mondiale con il suo *War Requiem* in cui il testo latino si alternava ai versi di nove poesie di W. Owen (1962).

War Poets 1914-1918 del 1964 (che includeva anche poeti americani e canadesi) e il *Penguin Book of First World War* curato da Jon Silkin nel 1979, preceduto dal volume di saggi *Out of Battle. The Poetry of the Great War* (1972).

Ma ancora una volta fu il dibattito critico sulla posizione da attribuire alla lirica e ai poeti di guerra nel canone novecentesco che registrò gli interventi più polemici. La corrente antimodernista trovò una sua voce in Philip Hobsbaum che nel 1961 affermò che se Thomas, Owen e Sassoon fossero sopravvissuti alla guerra il corso della poesia inglese sarebbe stato diverso. Non condizionata dal cosmopolitismo e dalla sperimentazione modernista, avrebbe potuto svilupparsi seguendo una linea che egli definiva più "naturale" e che andava da Hardy, a Thomas fino a Larkin e oggi, potremmo aggiungere, fino a Andrew Motion,[6] che non ha mai nascosto il suo apprezzamento per la poesia di Thomas. Il fronte modernista, da parte sua, ribadiva l'apprezzamento per poeti che, indipendentemente dalla loro esperienza sui campi di battaglia, affrontavano il tema della guerra all'interno di una sperimentazione formale rigorosa. T.S. Eliot, che giudicò *Antwerp* di Ford Madox Ford "the only good poem I have met with on the subject of the war" (Ford ix), scrisse un'entusiastica prefazione alla riedizione nel 1961 di *In Parenthesis* di David Jones.

> *In Parenthesis* was first published in London in 1937. I am proud to share the responsibility for that first publication. On reading the book in typescript I was deeply moved. I then regarded it, and I still regard it, as a work of a genius. (…) Here is a book about the experience of one soldier in the War of 1914-18. It is also a book about war, and about many other things also, such as Roman Empire, the Arthurian Legend and divers matters which are given association by the mind of the reader. (…) When *In Parenthesis* is widely enough known – as it will be in time – it will no doubt undergo the same sort of

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[6] "Edward Thomas has been very important to me (…) I wrote my graduate thesis on his work in the 1970, and subsequently published it as a book". (Das 259)

> detective analysis and exegesis as the later work of James Joyce and Ezra Pound. (Eliot vii)

Costruito a strati, come un grande palinsesto, questo lungo poema mescolava generi e linguaggi, intrecciando i ricordi della guerra con una fitta rete di riferimenti intertestuali, letterari e mitici. Con lo stile e il tono di un'epica moderna, scritto negli anni tra le due guerre, *In Parenthesis* guardava al passato ma si proiettava obliquamente verso un futuro già pieno di ombre. Al suo interno il grande affresco sulla guerra, rappresentata come "circostanza estrema", diventava anche una lunga riflessione sulla memoria culturale della guerra nella storia della civiltà occidentale. Opera colta e complessa, nata sulla scia della grande sperimentazione modernista, *In Parenthesis* pur collocandosi in una posizione eccentrica rispetto alla maggior parte delle poesie di guerra, rendeva testimonianza della grande varietà di stili e linguaggi che caratterizzarono la poesia della Grande Guerra in Inghilterra.

Sempre in bilico sull'esile crinale che separa esperienza, letteratura e memoria, questa produzione poetica ha continuato a sollecitare negli ultimi decenni dibattiti, riletture critiche e riadattamenti che hanno portato il canone a riaprirsi, includendo più che sottraendo. Opere di fondamentale importanza, come quelle di Paul Fussell, Samuel Hynes e Jay Winter, hanno intrecciato la storia culturale alle trasformazioni dell'immaginario letterario mentre studi divenuti ormai classici e basati su nuovi approcci critici, hanno contribuito a modificare l'interpretazione dei testi:

> we have moved from a moral register of the 'truth of war' to an exploration of textual complexity and wider socio-cultural contexts; there is closer interrogation of the relationship between poetic form and historical, political and psychic processes; and far greater attention is being paid to question of difference (class, nationality, gender and sexuality among others). (Das 7)

Contemporaneamente il corpus dei testi primari è stato completamente riformulato con l'inserimento di opere scritte da coloro che sperimentarono la guerra su fronti diversi e che attraverso la poesia raccontarono la *loro* guerra: civili, donne, obiettori di coscienza, non solo inglesi ma anche americani, irlandesi, scozzesi, gallesi e di altri paesi dell'Impero. L'inclusione di questi testi, in cui la narrativa principale non è ancorata all'esperienza della trincea, ma si intreccia con altre forme di guerra o di opposizione alla guerra, ha determinato un'espansione del canone che ha di nuovo riaperto interrogativi su cosa si intenda oggi per *First World War Poetry*.

Secondo Jon Stallworthy il termine è diventato così elastico da dover essere usato "in a sort of quotation mark" (Das 8). Se dal punto di vista letterario rimane stabilmente ancorato alle liriche dei sedici poeti di guerra e a quelle dei grandi poeti (da Hardy a Kipling, Eliot, Pound) che con più profondità esplorarono la dimensione epistemologica, morale e linguistica della violenza e del conflitto, dall'altro sta anche ad indicare una produzione poetica a lungo inesplorata che costituisce un archivio storico e culturale ancora in gran parte da decifrare. E' importante dunque mantenere, come suggerisce Santanu Das, "an expansive definition and a flexible critical framework alert to different political, cultural and historical trajectories. All First World War poetry was not written by 'war poets', just as all poetry written by the war poets is not war poetry" (Das 8).

In un suo saggio del 1999 James Cambell sottolineava polemicamente come non fosse accettabile che l'unica voce che avesse diritto ad essere ricordata fosse quella di coloro che scrissero dalle trincee, né tantomeno che questo potesse costituire un parametro indispensabile nel giudizio critico.

La tendenza a riconsiderare la produzione poetica degli anni di guerra, superando i vincoli imposti da considerazioni di tipo estetico e formale, ha consentito di approfondire la conoscenza del ruolo e della funzione della poesia nel contesto sociale. Nella sua antologia *Voices of Silence: The Alternative Book of First World War Poetry,* Vivien Noakes (2006) ha raccolto testi poetici pubblicati nei quotidiani, nei giornali distribuiti nelle trincee e negli ospedali, nelle

riviste clandestine degli obiettori di coscienza, o inseriti nei *gift books* o in piccole pubblicazioni locali o messi a commento delle immagini delle cartoline postali. Un importante lavoro di documentazione e di storia sociale che dimostra la straordinaria diffusione della poesia nella cultura inglese dell'epoca e il suo ruolo di interprete del sentimento identitario nazionale

> During the First World War, poetry became established as the barometer for the nation's value: the grater the civilization, the greater its poetic heritage. That choice was wisely made because, as Owen implied, poetry was the art in which Britain could confidently claim supremacy over its enemies. (Kendall xv)

L'identificazione della poesia con i tratti fondamentali del carattere nazionale trovò nelle celebrazioni per il terzo centenario della morte di Shakespeare, nel 1916, un momento di profonda riaffermazione. Nell'opera di Shakespeare si individuava quello che fu definito "'a repository and guarantor of moral value'. Poets were able to identify themselves as inheritors of a tradition expressing and embodying the very ideals that were threatened by foreign antagonist" (Kendall xvi).

Con molto equilibrio l'antologia curata da Kendall (2013) documenta e connette queste diverse linee di indagine, tracciando un percorso che va da Hardy, Kipling, Yeats fino a una scelta di "Music-Hall and Trench Songs": non tralasciando le poetesse, i civili, i pacifisti e naturalmente i *war poets*.

Due processi sembrano dunque affiancarsi negli ultimi decenni: da un lato il consolidamento e definitivo accreditamento letterario dei *war poets* e dall'altro la riformulazione del campo della *war poetry,* la cui tendenza all'inclusività è sinteticamente ed efficacemente espressa nel commento di Michael Longley: "If the cosmos of a poem is the Great War, then that's it" (Das 160). Che questa possa essere l'ultima parola sulla collocazione di poesie così diverse nel canone della letteratura di guerra è, come insegna la storia, altamente improbabile.

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EL ADVERBIO *OBVIAMENTE*: EVOLUCIÓN DIACRÓNICA Y EXPANSIÓN GEOGRÁFICA DE UN ANGLICISMO DE FRECUENCIA*

Simona Cocco

Frequency Anglicisms are a type of syntactic variation that occurs when the use of a syntactic structure increases as a result of the influence of the English language on another. In Spanish the increasing use of passive forms instead of active ones, changes in the position of adjectives and the use of adverbs in -mente instead of adverbial locutions, are generally considered as frequency Anglicisms. An increase in the use of the Spanish adverb obviamente*, due to the influence of the English* obviously*, has been recognized by authors such as Vázquez Ayora (1977) and Pratt (1980) and confirmed by small corpus based studies on Anglicisms in specialized texts (Gómez Capuz 2001; Rodríguez Medina 2002). In this paper the use of* obviamente *will be analysed in the most important reference corpora of Spanish Language (CORDE, CREA, CORPES), paying special attention to diachronic, diatopic and text type variations.*

1. Introducción y marco teórico

Los anglicismos de frecuencia pertenecen a la categoría de los *anglicismos sintácticos*, que incluye "todo tipo de influencia -directa o indirecta- ejercida por la estructura sintáctica de la lengua inglesa sobre la española" (Medina López 1996 72) y atañe tanto a las relaciones semánticas como a los aspectos morfológicos.[1]

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* Parte de los datos aquí presentados se analizaron también en un estudio anterior, cfr. Cocco 2009.

[1] Los anglicismos sintácticos han sido objeto de menor atención con respecto a los lexicales y semánticos "quizás por la dificultad que entraña fijar el grado de penetración de una lengua en la sintaxis de otra" (Rodríguez Medina 2002 150); se han dedicado a ellos si bien de manera marginal (Pratt 1980; García Yebra 1982; Lorenzo 1987, 1991; Gómez Capuz 1992, 1993, 1994; Pountain 1994; Medina López 1996). Los han estudiado más detenidamente García González (1997-1998), Rodríguez Medina (1999, 2000-2001, 2002) y Fernández Marrero (2008).

Existen dos principales tipos de anglicismo sintáctico: con la etiqueta de *anglicismo de innovación sintáctica* se indica la introducción de elementos sintácticos nuevos en una lengua. Entre estos se encuentran las variaciones dentro del sistema preposicional y del uso de partículas o construcciones oracionales (Rodríguez Medina 1999, 2001 y especialmente 2002 151).

Con la etiqueta de *anglicismo de frecuencia* se indica un aumento en el uso de algunos elementos sintácticos ya presentes en la lengua receptora (Rodríguez Medina 2002 151) como el aumento de adjetivos calificativos antepuestos al verbo con respecto a los pospuestos; el uso del gerundio en casos donde sería preferible recurrir a construcciones no verbales o el uso de la forma pasiva en el lugar de la activa (Pratt 1980 209-212; Medina López 1996 72-77; Rodríguez Medina 2002 152-155); Fernández Marrero 2008).

A la influencia del inglés se debería también el aumento en el uso de adverbios que terminan por -mente (Vázquez Ayora 1977 116; Lorenzo 1996 92; Gómez Capuz 1998 146, 2001 47; Zaro-Truman 1999 249; Rodríguez Medina 2000 230), ya que es cierto que la derivación adverbial mediante este sufijo en español presenta "más restricciones que el proceso análogo en inglés con el sufijo -ly",y además el español presenta una "marcada tendencia a sustituir los adverbios largos […] por locuciones adverbiales" (Gómez Capuz 2001 48).

El presente trabajo se detiene en el adverbio *obviamente*, para el cual autores como Vázquez Ayora y Lorenzo (cfr. Gómez Capuz 2001 48) consideran muy alta la posibilidad de que se trate de un calco del inglés *obviously*, sobre todo cuando se encuentra en posición inicial o final. De hecho, en esa posición sería más natural recurrir a una "construcción impersonal con el verbo ser donde el adverbio se convierte en el adjetivo correspondiente", concretamente a la locución adverbial *es obvio que* (Gómez Capuz 2001 49).

Principal responsable del incremento de la forma en -mente sería el lenguaje periodístico,[2] cuyo papel de favorecedor de la entrada de anglicismos ha sido estigmatizado con frecuencia (Lázaro Carreter 1998; Grijelmo 2001; cfr. también García González 1997-

1998; Alvarez 2003, 2004). No hay que olvidar que las grandes agencias internacionales, como la *Associated Press*, la *United Press* o la *Reuters* suelen publicar las noticias en inglés, y que a menudo los artículos se escriben a partir de los llamados *takes* (cfr. García González 1997-1998).

Es comprensible que la semejanza formal entre *obviamente* y *obviously* pueda favorecer, por parte de los redactores, el uso del adverbio en el lugar de la locución adverbial correspondiente, a pesar de las recomendaciones de la RAE o de los libros de estilo de periódicos y revistas (cfr. Gómez Capuz 1992b; Martínez Albertos 2008).

Sin embargo, reconocer los anglicismos de frecuencia puede resultar una tarea poco ágil debido a que se trata de formas ya previstas por el sistema, y a menudo es "difícil afirmar que tal o cual uso se desvía, por influencia del inglés […] de la norma establecida" (Lorenzo 1996 615). Más específicamente, puede resultar "difícil determinar cuándo un adverbio oracional inglés no puede ser traducido por un adverbio en -mente" (Gómez Capuz 2001 48).

Para la identificación de los anglicismos sintácticos de frecuencia, Medina López señala la presencia de "un rasgo de indudable relevancia dentro de este tipo de fenómenos: el estadístico", es decir, "la frecuencia de aparición que un giro sintáctico tiene en un mensaje determinado" (1996 73). Además, tiene un papel fundamental el "tipo de escrito en el que se presenta (lenguaje periodístico, jurídico, informático)" (Medina López 1996 73). Por tanto, gracias al análisis de "estos dos factores (frecuencia y medio) se podrían establecer las posibles interferencias sintácticas del inglés sobre la estructura oracional española" (Medina López 1996 73). Siempre según este autor, es también necesario tener en cuenta "el nivel de contacto en las zonas americanas y en el español peninsular europeo" y "contar con estudios más amplios y exhaustivos que pusieran de relieve el auténtico impacto de la sintaxis inglesa sobre la lengua española" (1996 73).

A la luz de lo dicho, el presente trabajo quiere evaluar desde un punto de vista estadístico el uso del adverbio *obviamente*[23] en el conjunto de los corpus RAE (CORDE, CREA, CORPES), y seguidamente valorar eventuales diferencias en su frecuencia de uso en el español peninsular y americano y, por lo que se refiere al medio textual, en los textos periodísticos.

2. **Corpus**[3]

La *Real Academia Española* permite consultar en línea y de manera gratuita su base de datos, la cual, en la actualidad, está constituida por 584 millones de formas y representa el "mayor conjunto de registros léxicos de la historia de la lengua española […] fuente obligada para cualquier estudio diacrónico relacionado con la lengua española" (RAE).

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[2] No se pretende realizar una revisión bibliográfica relativa al adverbio en español; por lo tanto se remite a Kovacci (1999). Se destaca, además, un creciente aumento de la atención de los expertos sobre el uso de adverbios como marcadores de modalidad y evidencialidad (López Ferrero 2002: 165; entre otros se señalan Matte Bon 1995; Fuentes–Alcaide 1996; Ferrari Gallardo 1999; Laca 2000, Estrada 2008; Landone 2009. *Obviamente*, desde un punto de vista pragmático, pertenece a aquellos marcadores que permiten expresar a quien pronuncia un enunciado, sus sentimientos personales, juicios subjetivos y valoraciones relativas al contenido preposicional del enunciado mismo. Por lo tanto, se trata de un marcador de la actitud intencional del hablante. Más específicamente pertenece al subgrupo de los *marcadores de modalidad epistémica*, que refuerzan el valor de verdad. Los adverbios que se incluyen en este grupo (*claramente, indudablemente*, *ciertamente*, *verdaderamente*, *evidentemente*, *obviamente*) presuponen la verdad de la oración que modifican e indican la fuente en que se basa dicha presuposición: la evidencia o el conocimiento compartido (Kovacci 1999). Para un análisis contrastivo con el italiano, se remite a Lenarduzzi 2004. Oncins Martínez 2009 propone un interesante estudio sobre el adverbio *dramáticamente* como anglicismo semántico de *dramatically.*

[3] Para los datos sobre el corpus <http://www.rae.es>.

Está dividido según un criterio cronológico: los textos a partir de los orígenes hasta 1975 están recogidos en el *Corpus diacrónico del español* (CORDE, 250 millones de formas), mientras que los textos posteriores a 1975 hasta 2004 han sido recogidos en el *Corpus de referencia del español actual* (CREA, 160 millones de formas).

Además, a partir de 2013 es posible consultar, de forma provisional, también el *Corpus del español del siglo XXI* (CORPES, 174 millones de formas)[4] que de momento permite el acceso a textos recogidos a partir de 2001 hasta 2012.

Se presenta ahora en detalle la composición de los corpus. El CORDE está constituido exclusivamente por textos escritos, en prosa y verso, de todas las variedades geográficas, históricas y genéricas según la siguiente distribución: 97% libros y 3% prensa; según un criterio geográfico, o sea, 74% España, 25% América y 1% español sefardí (CORDE).

En el CREA, en cambio, hay un 10% de transcripciones de textos orales mientras que el otro 90% está constituido por textos escritos. De estos últimos, un 49% son libros, un 49% prensa periódica mientras que el 2%, denominado miscelánea, recoge textos de otro origen como folletos, prospectos, correos electrónicos etc. En cuanto a la repartición geográfica, el 50% del material procede de España mientras que el otro 50% de Hispanoamérica (CREA).

También el CORPES está formado por un 10% de textos orales y por un 90% de textos escritos, con la siguiente distribución: un 40% de libros, 40% de publicaciones periódicas, 7,5% material de Internet y 2,5% miscelánea. En cuanto a la repartición geográfica, el 30% del material procede de España mientras que el otro 70% de América. El material producido en América se clasifica, a su vez, en la siguientes zonas: andina (Perú, Ecuador, Bolivia), Antillas (caribeña: Cuba, Puerto Rico, Santo Domingo), caribe continental

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[4] Hay que tener en cuenta que el CORPES es un corpus de referencia semiabierto. Actualmente se puede consultar la versión beta 0.7, que seguirá incrementándose de 25 millones de formas por año hasta 2018, cuando alcanzará los 400 millones de formas.

(Colombia, Venezuela), chilena (Chile), Estados Unidos, México y Centroamérica (México, Guatemala, El Salvador, Costa Rica, Panamá) y Río de la Plata (Argentina, Uruguay, Panamá). Incluye también, por primera vez en un corpus RAE, textos correspondientes a Guinea Ecuatorial y a Filipinas.

A nivel temático hay dos bloques, ficción y no ficción, que se distribuyen en las siguientes áreas: ciencias y tecnología, ciencias sociales, creencias y pensamiento, política, economía, comercio y finanzas, artes, ocio, vida cotidiana, salud, novela, teatro, relatos y guiones.

Los textos reciben también una caracterización por género textual: novela, cuento, teatro y guiones para los textos de ficción; noticias y reportajes, opinión para periódicos y revistas; prosa académica y no académica; entrevistas, conversaciones, etc. para orales; texto escrito para ser leído (noticias de radio o televisión), etc.

En todos los corpus es posible afinar la búsqueda gracias a la aplicación de los filtros autor, obra, cronológico, medio, geográfico, tema.

3. **Metodología**

La presencia del adverbio *obviamente* se ha comprobado en los tres corpus utilizando sus respectivos módulos de búsqueda.

Teniendo en cuenta el hecho que, en el CORDE como en el CREA, el uso de las mayúsculas o minúsculas tiene un valor distintivo, para obtener el número total de ocurrencias ha sido necesario utilizar el carácter comodín "*" (*bviamente); luego se ha distinguido entre ocurrencias con inicial mayúscula o minúscula.

En el CORPES esto no ha sido necesario ya que, en su módulo de búsqueda, es posible detectar las ocurrencias con mayúsculas marcando la casilla *Grafía original.*

La investigación se ha realizado primero sobre todo el corpus, seleccionando en CORDE y CREA el filtro (*todo el corpus*), y seguidamente aplicando restricciones progresivas, mediante el uso de filtros relativos a la procedencia geográfica y al medium textual.

En CORPES se ha aplicado el filtro *origen* seleccionando España y América, excluyendo por tanto los textos procedentes de las nuevas zonas incluidas en el corpus, o sea Guinea y Filipinas.

Más específicamente para averiguar la hipótesis de Pratt, por la que el fenómeno de los anglicismos sintácticos "parece más difundido en América que en España" (1980 280) se ha decidido aplicar el filtro geográfico (todos vs. España) en CORDE y CREA, (América vs. España) en CORPES.

Para analizar la frecuencia de *obviamente* en el lenguaje periodístico en CORDE y CREA se ha aplicado el filtro medio (periódicos y revistas), obteniendo de esta manera un sub-corpus prensa (PR). En el CORPES se ha seleccionado el filtro *prensa*.

Para terminar, debido a que la presencia de anglicismos sintácticos se considera como un fenómeno en aumento, se ha aplicado el filtro cronológico para valorar la variación diacrónica en el CREA, seleccionando los segmentos temporales citados a continuación: 1975-1979, 1980-1984, 1985-1989, 1990-1994, 1995-1999, 2000-2004.

En el siguiente párrafo se presentan y analizan los resultados del análisis, con especial atención al uso de *obviamente* en posición inicial que, como dicho, se considera como índice de anglización.

4. **Análisis y discusión**

A la luz de cuanto emerge de la revisión bibliográfica, y en particular en Medina López (1996 73), para comprobar si *obviamente* es un anglicismo de frecuencia se realizará un análisis cuantitativo y se contrastarán las siguientes hipótesis:

- las ocurrencias de *obviamente* serán más numerosas en CORPES con respecto al CREA y en CREA con respecto al CORDE (hipótesis 1) debido a la creciente influencia del inglés;

En particular la frecuencia del adverbio en posición inicial, índice de anglización, será:

- mayor en CORPES y CREA que en el CORDE (hipótesis 2);

- mayor en el subcorpus "americano" (AM) que en el subcorpus español (ES) (hipótesis 3)

- mayor en el subcorpus prensa (PR) que en los otros medios (hipótesis 4).

Para comprobar la primera hipótesis se ha introducido, ya sea en el CORDE como en el CREA, **bviamente* como término de búsqueda, mientras que en CORPES se ha introducido o*bviamente* sin seleccionar la opción *grafía original.*

Los resultados confirman ampliamente la hipótesis 1, pues se verifica un neto aumento del número de ocurrencias totales en el CORPES (3644) y CREA (3296) con respecto al sub-corpus CORDE (55). El dato resulta aún más significativo si se considera que la amplitud del CREA es inferior con respecto a la del CORDE.[5] Por lo que se refiere al CORPES es aun más significativa ya que se trata de datos relativos a un período muy breve (2001-2012).

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[5] Tampoco la ausencia en este último de un corpus oral incide en el resultado. En efecto, si se excluyen del cómputo del CREA los datos relativos al sub-corpus ORAL (472), la distancia con el CORDE sigue siendo, en cualquier caso, significativa (2086 vs. 55).
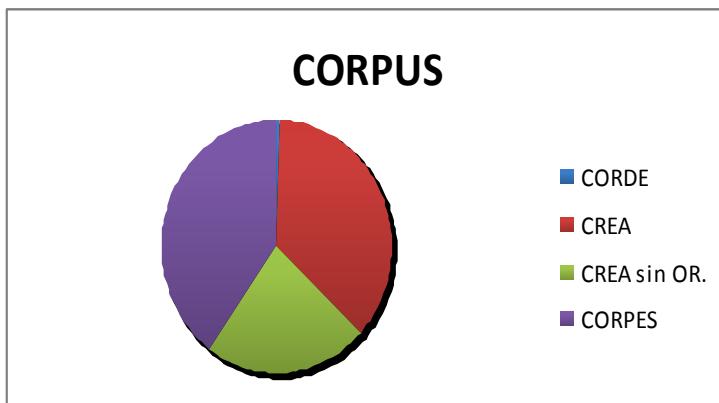
Figura 1. *_bviamente_ en el CORDE (n= 55), en el CREA (n=3296; sin el corpus oral N=2086) y en el CORPES (N= 3644)

Dada la magnitud del aumento de casos en el CREA, se ha considerado interesante verificar la evolución diacrónica de la variación, aplicando el filtro cronológico y segmentado la búsqueda en periodos más breves:
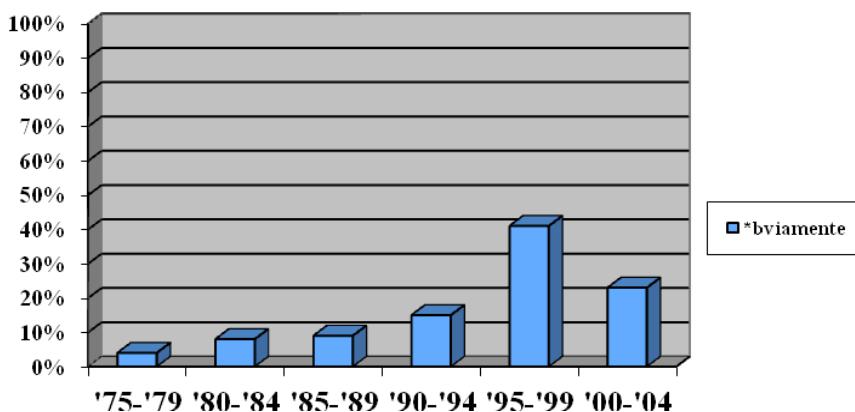

Figura 2. Distribución cronológica de *_bviamente_ en el CREA

En este caso los resultados -expresados como porcentaje con respecto al número total de ocurrencias- certifican un constante aumento del uso del adverbio *obviamente*, con un pico del 41% en el quinquenio 1995-1999 (Fig. 2).

En CORPES es posible obtener directamente un gráfico que muestra la distribución por período de la forma buscada sin especificar la grafía (Fig. 3):
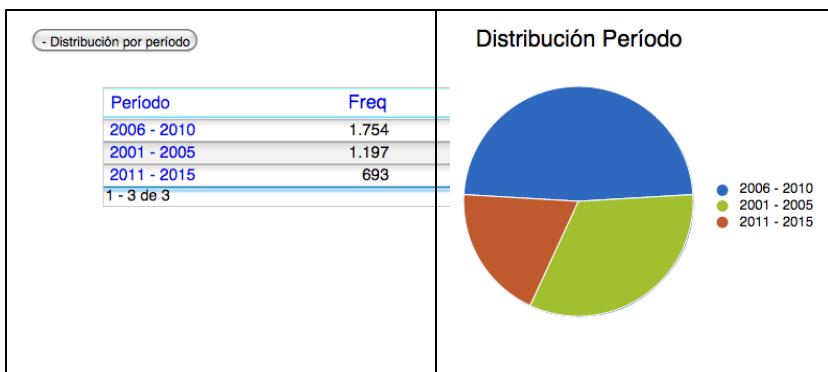

Figura 3. Distribución de *obviamente* (todas las grafías) en CORPES

También en este caso se registra un uso creciente del adverbio con una frecuencia absoluta de 1.197 en el período 2001- 2005 (frecuencia normalizada de 17,47 por millón de ocurrencias), de 1.754 en el período 2006-2010 (frecuencia normalizada de 18,37 por millón de ocurrencias). Por lo que se refiere al período 2011-2015 hay que tener en cuenta que actualmente el corpus recoge las formas solo hasta el 2012 y por esto los datos pueden considerarse solo indicativos. En este sentido la frecuencia absoluta de 693 ocurrencias no debe interpretarse como una inversión de tendencia, sobre todo si se observa la frecuencia normalizada por millón con un valor de 22,60.

Para verificar el uso del adverbio en posición inicial (hipótesis 2), este se ha introducido, como término de búsqueda, con mayúscula inicial en CORDE, CREA y CORPES, en este último se ha elegido la opción *grafía original* (Fig. 4):

Figura 4. *Obviamente* **en posición inicial absoluta en el CORDE y en el CREA y CORPES**

También la hipótesis 2 queda validada, pues se observan evidentes variaciones, con un porcentaje significativo del 36% tanto en el CORPES como en el CREA con respecto al 16% del CORDE.

A continuación, se ha procedido a verificar en el CREA la evolución diacrónica de la variación, aplicando, también en esta ocasión, el filtro cronológico y segmentando la búsqueda en períodos más breves (Fig. 5):
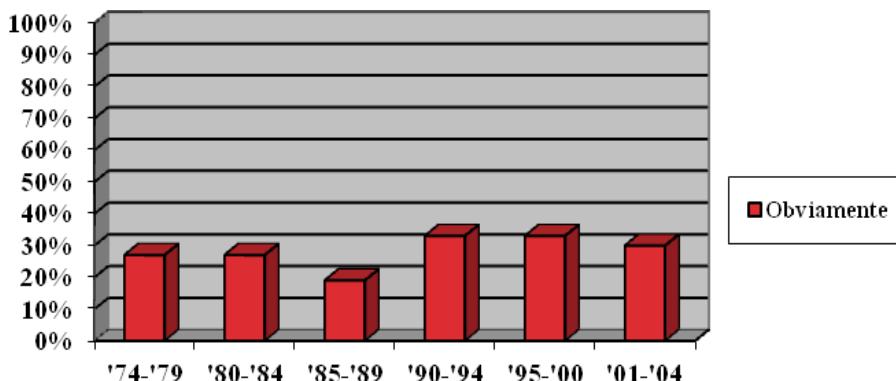
Figura 5. Distribución cronológica en posición inicial (CREA)

También en este caso la hipótesis 2 queda confirmada, si bien se observe una mayor homogeneidad en la frecuencia entre los distintos segmentos temporales.

En el CORPES la distribución cronológica en posición inicial es la siguiente (Fig. 6):
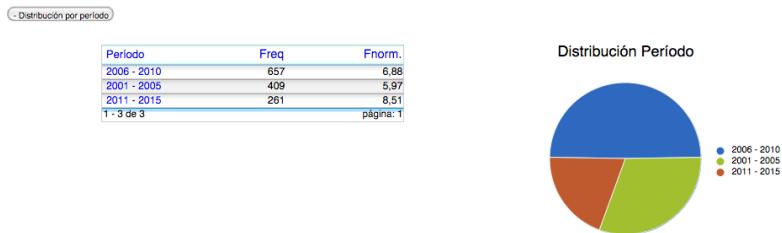
**Figura 6. Distribución cronológica en posición inicial (CORPES)**

También en este caso se registra un incremento en la frecuencia de uso con 409 ocurrencias en el período 2001-2005, 657 ocurrencias en el período 2006-2010. Por lo que se refiere a los datos del período 2011-2015 (261) hay que tener en cuenta que en realidad los datos, actualmente, incluyen solo los de 2011 y 2012. Si se tiene

cuenta de la frecuencia normalizada también en este caso se confirma una valor creciente como esperado (8,51 por millón de ocurrencias).

Por lo que se refiere a la hipótesis 3, es decir, la presumible mayor frecuencia de obviamente en el subcorpus americano (AM), las búsquedas se han realizado en CORDE y CREA aplicando el filtro geográfico y seleccionado la voz España:

El resultado obtenido se ha restado entonces del total de las ocurrencias, para obtener así los datos relativos al resto de los países presentes en el corpus (Argentina, Bolivia, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, EEUU, España, Guatemala, Honduras, México, Nicaragua, Panamá, Paraguay, Perú, Puerto Rico, República Dominicana, Uruguay, Venezuela).

La primera comprobación se ha realizado sobre el total de las ocurrencias, utilizando nuevamente el término de búsqueda *bviamente*.

En el caso del CORDE la distribución resulta casi homogénea (49% de las ocurrencias en España y 51% en América), pero sigue siendo significativa, si se tiene en cuenta la composición del corpus que, como dicho, recoge el 74% de textos en España y el restante 25% en América.

En el caso del CREA, por el contrario, la distancia entre subcorpus americano y peninsular se amplía notablemente a favor del subcorpus americano (66% AM vs. 34% ES) como puede comprobarse en la figura 7:
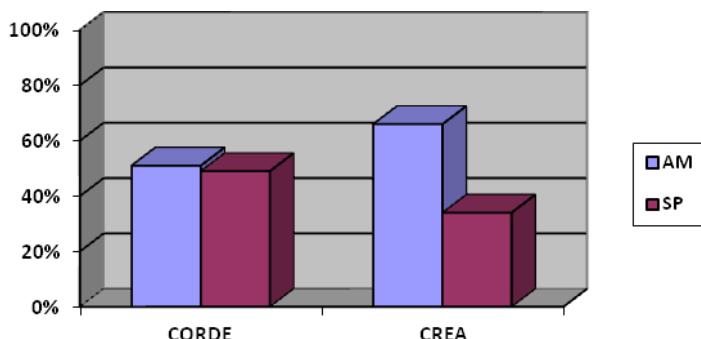
Figura 7. Distribución geográfica de *bviamente

También en CORPES la distribución geográfica de las dos formas de *obviamente* (con o sin mayúscula) confirma valores más altos en América con respecto a la península, como se puede apreciar en la figura 8:
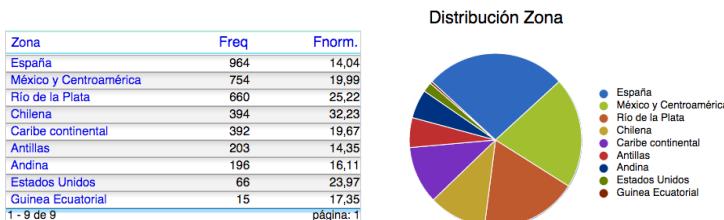
Figura 8. Distribución geográfica de *obviamente* en el CORPES

La distancia porcentual sigue siendo significativa si se limita la búsqueda al adverbio en posición inicial (hipótesis 3). En el CORDE se rastrea el 67% de las ocurrencias en posición inicial en el subcorpus AM y el 33% en el subcorpus ES. En el CREA se rastrea el 70% de las ocurrencias en el subcorpus AM y el 30% en el subcorpus ES. En ambos casos, por tanto, se confirma la hipótesis 3 (Fig. 9):

81
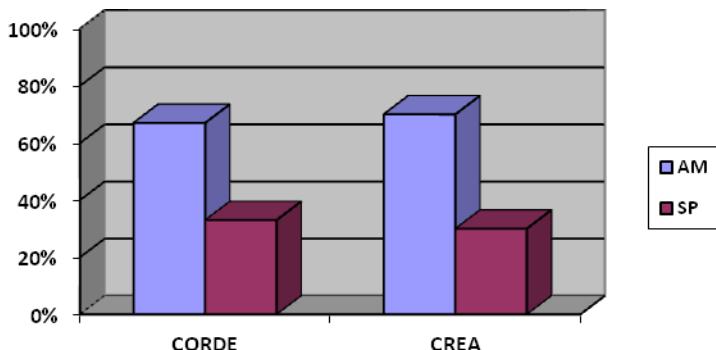
Figura 9. Distribución de *Obviamente* en posición inicial

En CORPES la distribución de *Obviamente* en posición inicial es la siguiente (Frecuencia absoluta: 1.327; frecuencia normalizada: 6,80 casos por millón) (Fig. 10):

Zona	Freq	Fnorm.
España	352	5,12
México y Centroamérica	275	7,29
Río de la Plata	234	8,94
Caribe continental	149	7,47
Chilena	142	11,61
Antillas	81	5,72
Andina	57	4,68
Estados Unidos	34	12,35
Guinea Ecuatorial	3	3,47
1 - 9 de 9		página: 1

Distribución Zona

Figura 10. Distribución de *Obviamente* en posición inicial en CORPES

Como se puede apreciar en la figura 9, también en este caso se confirma una frecuencia mayor del adverbio en posición inicial en el

conjunto de los países americanos con respecto al español peninsular.

El último análisis llevado a cabo se refiere a la frecuencia del adverbio en el subcorpus prensa (PR). Dada la disparidad entre CORDE y CREA en relación a esta categoría -ha de recordarse que representa el 3% del total en el CORDE y el 49% en el CREA- se procede a analizar simplemente los datos para cada corpus, sin efectuar una comparación entre ambos. Luego se analizarán los resultados en el CORPES.

El primer control se ha realizado para el término de búsqueda *bviamente*. En el caso del CORDE ninguna de las ocurrencias se adscribe a la categoría PR, pero esto podría deberse a la composición del corpus.

Por lo que se refiere al CREA, el 41% de las ocurrencias de *bviamente* se encuentra en el subcorpus PR, mientras que el resto se distribuye entre el subcorpus LB (libros; 44%), el OR (14%) y el MS (miscelánea: 1%). Si se separan los resultados del corpus PR en sus dos componentes, periódicos y revistas, se observa una notable diferencia en la distribución: el 72% de las ocurrencias, en efecto, se encuentra en la categoría periódicos y solo el 28% en la categoría revistas (Fig. 11):
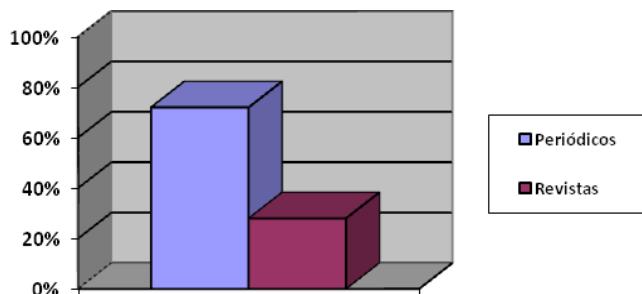

Figura 11. Distribución de *bviamente* en el CREA subcorpus PR

En las actuales circunstancias, no resulta posible establecer con certeza en qué medida la diversa distribución entre periódicos y

revistas deba ser achacada a la composición del corpus. En la descripción del CREA, en efecto, no se especifica el porcentaje atribuible a cada uno de sus dos componentes.

En CORPES es posible aplicar el filtro *soporte* para obtener datos relativos a la categoría *prensa* para todas las formas de *obviamente*. En este caso el resultado es muy interesante con el 61% de ocurrencias (frecuencia absoluta 2.207 ocurrencias, frecuencia normalizada de 11,34 casos por millón).

El siguiente paso ha sido analizar la aparición del adverbio *obviamente* en posición inicial, índice de anglización, posición para la cual se presume una frecuencia mayor. Se ha verificado el dato primero en el subcorpus prensa del CREA (hipótesis 4), (Fig. 12):
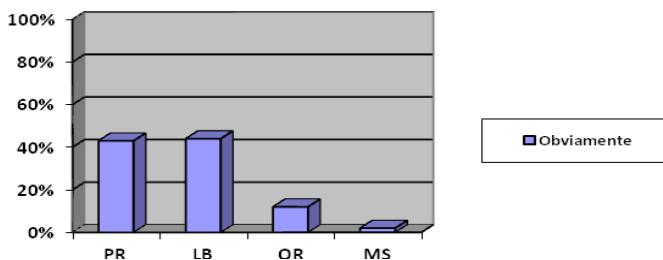
Figura 12. Distribución de *Obviamente* en el CREA subcorpus PR

En este caso, la hipótesis 4 no queda validada. Los datos, efectivamente, revelan una distribución más bien homogénea del adverbio entre las categorías prensa (43%) y libros (44%), mientras que las restantes ocurrencias se distribuyen entre la categoría oral (12%) y la categoría miscelánea (2%). En el caso de *obviamente*, por tanto, el análisis cuantitativo parece no confirmar la extendida percepción del papel impulsor de la prensa en la difusión de los anglicismos.

Es diferente la situación en el subcorpus *prensa* del CORPES, en el cual la frecuencia absoluta del adverbio en posición inicial es de 823 (frecuencia normalizada: 4,22 casos por millón) sobre un total de 1327 representando el 62% del total. En el subcorpus *libros* la frecuencia es del 37,5% (frecuencia absoluta 497), en el

subcorpus *internet* es de 0,5%. Como puede apreciarse en la figura 13, en este caso la hipótesis 4 queda validada:
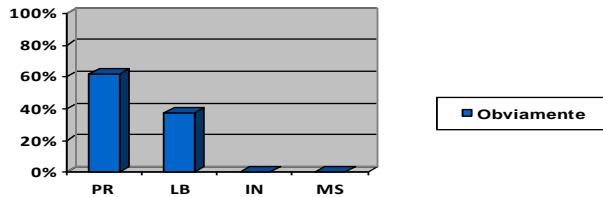
Figura 13. Distribución de *Obviamente* en el CORPES subcorpus PR

Se ha considerado interesante examinar también para el subcorpus PR la incidencia de la variable geográfica. Los resultados obtenidos para el término de búsqueda **bviamente* son los siguientes: el 31% de las ocurrencias se registra en el subcorpus PR España y el 69% en el subcorpus PR América (Fig. 14):
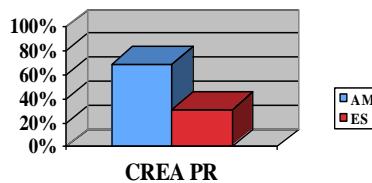
Figura 14. Distribución de **bviamente* en CREA con los filtros geográfico y medio

También en el caso del sub-corpus PR, pues, se manifiesta una mayor frecuencia del adverbio en el subcorpus americano con

respecto al peninsular. Dicha tendencia se confirma también para el adverbio en posición inicial (hipótesis 3), como muestra la figura 15:
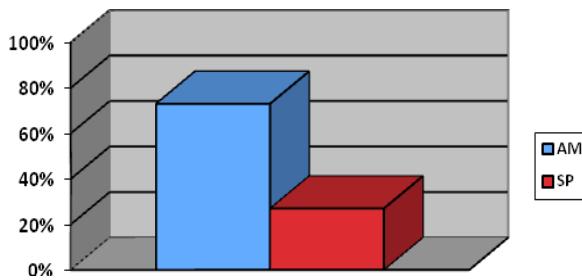
Figura 15. Distribución de *Obviamente* en posición inicial con los filtros geográfico (AM vs. ES) y medio (PR)

La hipótesis 3, por lo tanto, se confirma también para el subcorpus PR. Más aún, en el caso del adverbio en posición inicial, el margen entre el subcorpus americano y el subcorpus peninsular es mayor, con un 73% en el subcorpus PR América y un 27% de ocurrencias en el subcorpus España.

La hipótesis 3 queda confirmada también en el caso del subcorpus prensa del CORPES, como puede apreciarse en la figura 16:

Figura 16. Distribución de *Obviamente* en CORPES en posición inicial, con los filtros geográfico (Zona) y medio (PR)

Como se puede apreciar en la figura 16, también en este caso se confirma una frecuencia mayor del adverbio en posición inicial en el conjunto de los países americanos con respecto al español peninsular.

Conclusiones

En el presente estudio se ha pretendido examinar el uso de *obviamente* en los corpus RAE (CORDE, CREA, CORPES) teniendo en cuenta los tres factores considerados por Medina López como fundamentales para la identificación de los anglicismos sintácticos, esto es, la frecuencia, la variable geográfica y el medium textual.

El análisis diacrónico confirma un notable aumento en la frecuencia del adverbio *obviamente* en el CORPES con respecto al CREA y en CREA con respecto al CORDE (hipótesis 1).

También en relación con la posición inicial, que se considera como índice de anglización, queda confirmada una frecuencia mayor en CORPES y CREA que en CORDE (hipótesis 2) y en el subcorpus americano con respecto al peninsular (hipótesis 3).

Por lo que se refiere a la hipótesis 4 -que preveía una frecuencia mayor del adverbio en posición inicial en la prensa con respecto a los otros medios de comunicación- queda validada por lo que se refiere al CORPES, sin embargo, no queda validada por lo que se refiere a CORDE y CREA por razones diferentes.

Si en el CORDE el resultado puede interpretarse en función de la disparidad existente en el corpus, en el caso del CREA, por el contrario, resulta de difícil lectura, dada su homogeneidad. Por lo que se refiere a *obviamente*, en el corpus CREA, los datos parecen pues no confirmar que la prensa constituya el principal vehículo de difusión de los anglicismos, a pesar de que esta sea una convicción muy difundida. Naturalmente, no cabe excluir que el uso "anglizante" del adverbio se haya difundido también a los otros medios a partir del lenguaje periodístico.

Resulta, en cualquier caso, confirmada, para el subcorpus prensa, sea en el CREA sea en el CORPES, la mayor presencia de

obviamente en posición inicial, en el subcorpus americano con respecto al subcorpus del español peninsular.

A luz de lo dicho, el análisis cuantitativo del corpus RAE (CORDE, CREA, CORPES) confirma la hipótesis que el uso de *obviamente*, en lugar de *es obvio que*, en posición inicial es un fenómeno creciente y presenta todos los rasgos indicados por Medina López (1996) para la identificación de los anglicismos de frecuencia.

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THE POWER OF PARALLELISM

John Douthwaite

The aim of this article is to illustrate how powerful a tool parallelism can be. To do so the first part of the article will expound the nature of parallelism, as developed by Jakobson (1981). The second part will offer an analysis of a short extract of five lines from Act V Sc. 1 of Shakespeare's The Merchant of Venice *where parallelism constitutes the principal linguistic constructional device, deployed with extreme frequency, and accounting in great measure for the intensity of the effects of Bassanio's renowned speech.*

1. **The nature of foregrounding and parallelism**

Foregrounding is the general linguistic technique by which a marked linguistic expression is produced in order to make that expression convey a different meaning from the meaning that its synonymic, 'equivalent' unmarked construction would have conveyed.

This preliminary definition immediately requires explanatory extensions.

First, by "linguistic expression" and "linguistic construction" is meant any verbal and non-verbal device, or rather set of devices, employed by communicants to create a message. On the one hand, there exist the devices made available by code: phonology, graphology, grammar and semantics. On the other hand there are the myriad of devices made available by other linguistic and non-linguistic sources – pragmatics being in the vanguard for its richness, proxemics being a cogent instantiation of a non-verbal device.

Clearly, a set of devices is always at work in any utterance, for grammar, graphology (written texts) or phonology (spoken texts), pragmatics, genre conventions, cultural norms, to mention but a few, are concurrently at work in any utterance, interacting in a variety of sophisticated, complex ways.

Second, by 'unmarked' is meant the 'standard' or 'normal' linguistic form generally employed to convey a given concept or

message in a given speech community. In Standard English, this corresponds, at a most basic level, to the active SVO (subject-verb-object) construction for the affirmative: 'Max kissed Elisabeth'. The 'marked' alternative would be 'Elisabeth was kissed by Max'. In 'normal' circumstances, where no particular emphasis is intended, the unmarked construction is generally employed.

Note that my deployment of the term 'standard' has no 'prescriptive' implication, no idea of 'correctness'. It is more of a statistical fact, one of use: people generally express a given meaning in a given form in a given language, language variety or idiolect. They have been 'taught' to do so. It is a cultural fact.

When, instead, something 'more' or something 'different' is intended than, to keep to our original illustration, the expression of the concept that human being a carried out action b on human being c, (i.e. more than what is conveyed by the literal meaning of the unmarked form 'Max kissed Elisabeth'), then a 'variation' of the unmarked form can be employed. For instance, the passive may be employed when the focus of interest is not on the agent (Max) but on the patient (Elizabeth), to use Halliday's (Halliday and Matthiessen: 2004) terminology. Stated differently, while the conceptual or ideational content is identical in the active and passive forms, the communicative value attributed to the single items of information constituting the concept/message changes. In the passive format, the noun phrase "Elisabeth" is signaled as being more important than the noun phrase "Max" by dint of its realizing the function grammatical subject and the pragmatic status 'theme' (Halliday and Matthiessen: 2004) and by virtue of being located in first position in the sentence (graphology), in contrast to the active form, where "Max" is signaled as being more important information by dint of the very same three linguistic criteria or devices.

Note that foregrounding does not tell us *why* a given form assigns a different set of values to the information in that given expression. That is to say, it does not tell us what the message conveyed by the 'deviant' form is. It only tells us that in that part of the text we must look for some meaning which goes beyond the literal. To seek that answer one must employ the same inferential

engine one employs in processing any linguistic expression (Douthwaite: 2000; Sperber & Wilson).

The next question is: how is foregrounding achieved? Two basic techniques may be employed: deviation and parallelism.

Perception is an extremely rapid process (Douthwaite 1990). This must be so if we are to survive in the 'hostile', multi-faceted, ever-changing, ambiguous world which surrounds us. Just think of crossing the street in the rush hour in a big town. This task which we seemingly carry out effortlessly and without conscious reflection is, instead, a typically complex task since there are hundreds of signals reaching the body at any second in time. Furthermore, the brain takes time to process a signal. Hence, the brain cannot handle all the incoming signals. Thus, it has developed strategies to cut down the number of signals it must process to avoid being overloaded and consequently grinding to a halt.

One essential premise of the strategies that have been developed is the assumption of a 'normal' world. When we cross a road in England we assume that cars will be driving on the left. This helps us cut down the number of signals to be processed by eliminating unlikely alternatives, such as the cars coming from the right constituting an immediate danger, since I can predict that those coming from the left will be the first to pose a threat to my life. Those coming from the right will become dangerous once I reach the center of the road. Furthermore, the brain ignores signals which are not relevant to the achievement of the goal in hand, such as the colours and makes of the vehicles going by, the number of people standing near me and walking by, and what they are wearing. Ridiculous as this example might seem, it nevertheless constitutes a true and accurate picture of perception. Life consists of a myriad of 'minute' signals of great importance, their relative importance depending on our pre-set goal. A feeling of increased heat might flag the danger of my hand going too near the gas or a pan I do not know is hot. This helps account for why processing is unconscious, automatic. We attribute little importance to those 'normal, everyday signals, such as cars driving on the left hand side of the road, (bar when we have to cross the road).

The result, as Shklovsky pointed out, is one of habituation. We create standard reactions (responses to problems, such as crossing the road, getting dressed, eating), and these desensitize us to the world. We begin taking things for granted, from the 'small' things such as the light coming on every time I touch the switch to the 'big' things such as my wife and child loving me. This makes me appreciate the world less (going to that beach two hundred miles away from home becomes less exhilarating) and also makes me less alert to changes in the world. It makes me 'conservative', less 'active', less 'critical'.

Again following Shklovsky, to avoid habituation the solution lies in 'impeding' standard processes of perception, in the first instance by attracting attention in order to slow down perception, make it more conscious and oblige the brain to ponder over what is happening.

The basic technique standardly employed to achieve this goal is deviation, that is to say, deliberately committing a 'mistake' (i.e doing something 'non-standard'), since the unusual, the unexpected, attract our conscious attention and interrupt standard processing. For instance, when I walk onto the beach in mid-august wearing my swimming trunks nobody takes any notice of me because I am abiding by standard practice. If, instead, I walk into the classroom in mid-January to deliver a lesson wearing only my swimming trunks, then people will stop whatever they are doing and stare, wondering what on earth is happening. Stated differently, normal processing is interrupted and the perceiver seeks the cause of the unusual behavior he has encountered. He asks himself if the teacher has gone mad, if carnival has come early that year, and so forth. He thus attributes far greater importance to that signal (the teacher's dress mode) than the signal would have received had it been produced in a context in which it was 'expected' behaviour (the beach in summer).

Parallelism (some form of linguistic repetition in two or more parts of the text, as will be illustrated in part 2) is the second technique that may be employed to produce foregrounding. In actual fact parallelism is a sub-division of deviation, since one is taught at school not to repeat but to use some synonymic form. Using

parallelism conveys the author's intention to draw the reader's conscious attention to two (or more) parts of the text because they are related in some indirect, implicit, non-literal way. The meaning of the two parts is non-literal and is greater than the sum of the two parts interpreted independently.

Thus, foregrounding is a technique to draw the reader's attention to a certain portion (or portions) of the text to indicate that something 'special' is happening there, that that part of the text 'means' more than what it conveys at a literal level.

Foregrounding does not, however, tells us how to interpret the deviation. To do that, the entire inferential engine mentioned above must be put into action. It should nevertheless be noted that in many cases the type of deviation used may provide a strong clue as to the meaning the deviation intends to convey.

Deviation may be realized by bending or breaking any type of rule – linguistic or non-linguistic. The passive consists of bending the rule. An utterance such as 'Black is beautiful' (Douthwaite: 2000) breaks a grammatical rule. Swearing in church breaks a social rule. Thus deviation is a question more of degree than of absolutes. It ranges from codified foregrounding, namely structures defined by the code as marked, as was our example of the passive voice, to structures which are totally deviant, as in the sentence "Marry I will not".

Interpreting foregrounding consists of three stages. The first stage consists in recognizing that the text contains a given deviation. The second consists in identifying the precise linguistic nature of the foregrounding technique employed, since this might well provide a clue aiding interpretation. The third is interpreting the instantiation of foregrounding in the text in context.

Let me illustrate the interpretative process using an instantiation of codified foregrounding.

[1a] Joseph stole the money.
[1b] It was Joseph who stole the money.

The preliminary point to note is that the quantity and quality of information in sentences 1a and 1b is identical (as is the case with the active versus passive forms of a sentence). Both sentences 'contain' three concepts (an agent, a process and a goal) and the locutionary force (Austin) of both sentences is identical. Stated differently, there is no semantic difference between the two sentences. However, in this case there is a radical syntactic difference between the two examples and what must be accounted for is what difference in meaning this radical structural difference gives rise to in communication.

1a is an unmarked sentence and 1b a marked variant termed a 'cleft sentence'. The unmarked, or kernel, sentence is realised by a main clause which in turn is realized by three phrases. Since the three clause constituents are at the same level in the rankscale (Douthwaite 2000) then they are of equal value, i.e. the three phrases have equal informative weight, bar the subject which, by grammatical definition and secondly because in this case it performs the pragmatic function of theme (see above), is slightly more important as information than the other two phrases.

In [1b], the cleft variant, the syntactic structure changes. It consists of two clauses, the main clause and a rankshifted relative clause ("who stole the money"), embedded in the main clause and postmodifying (hence specifying) the head of the noun phrase "Joseph". By definition, situating information in a clause which has been rankshifted down (i.e. downgraded) signifies attributing less importance to that information compared to conveying that same information at a higher level in the rankscale (viz. a non-rankshifted clause, as is 1a). Furthermore, a postmodifier conveys information which is less important than the head of the phrase it modifies, thereby diminishing the importance of the information it conveys compared to the rest of the information in the main clause even further.

Hence, the kernel sentence conveys three important pieces of information – an agent ("Joseph"), a material process ("stole") and a goal or patient ("the money"), all of which have approximately the same value as information. Instead the 'deviant' version signals that

the two pieces of information concerning the material process and the goal are far less important than the information concerning the agent since the two have been placed in a downgraded clause.

Note that it is a question of speaker choice – the speaker chose to express his message in one linguistic form rather than in another, with consequences to meaning. To again put it with Shklovsky, speaker choice is "motivated".

If we now turn to the high level constituents in the main clause of the kernel sentence – "It was Joseph" – then we find it is composed of three constituents. "It" is technically termed 'anticipatory it' and represents a 'dummy subject' since it is semantically empty (just as a pacifier is 'empty', its function being to give the baby the impression that food is being given to it in order to calm it down), and is merely a 'structural prop' since a finite verb phrase requires a subject in English. The 'real' subject comes later – "Joseph". Hence the first constituent is informationally void. The second constituent - the verb phrase – is a copula, and again almost informationally void, as may be seen by considering the two sentences 2a and 3a:

> [2a] Stephen is rich.
> [2b] Stephen rich.*
> [3a] Stephen poisoned his rich father.
> [3b] Stephen his rich father.*

The copula in 2a can be omitted without any substantial loss of meaning since the information it conveys is readily recoverable form the rest of the clause, as in 2b, whereas deleting the lexical verb "murdered" from 3a would render the sentence 3b incomprehensible, demonstrating that all three informative elements (agent, process and goal) are important. This leads us to the conclusion that in the clause "It was Joseph" there is only one constituent which conveys any information – "Joseph". Hence the importance of the real agent has been increased compared to the other two constituents in the clause. The cleft sentence thus produces a dual syntactic operation. Two concepts have their

informative power diminished by being 'relegated' to a rankshifted (relative) clause while concurrently the informative power of the third concept has been increased by being the only piece of 'real' information in the (non-rankshifted) main clause of which it is a constituent.

The second syntactic operation – that of constructing a clause where only one constituent has any informative value – is bolstered by phonology, for the noun phrase "Joseph" receives nuclear stress showing it is the focus of the clause (hence the most important information in that clause).

Having shown how value accrues to information which differs from the value that that same information would standardly be attributed were the linguistic structure to be unmarked, we now turn to interpreting the utterance. Broadly speaking, the standard, unmarked version has three equally important informative elements whereas the non-standard cleft version has only one important informative element, which is consequently heavily stressed.

The 'standard' use to which a cleft sentence is put in communication is that of (strong) denial accompanied by (strong) counter-proposal. The prototypical use of this construction may be illustrated by my previous example of a mini-conversation between A and B:

[4a] John stole the money.
[4b] It was Joseph who stole the money.

In conclusion, while the quality and quantity of the information are the same in both unmarked and marked versions, the unmarked versions 1a and 4a affirm the existence of a given state of affairs while the marked versions of the same statements forcefully deny that given state of affairs exists and affirm the existence of a different state of affairs. Let us now briefly examine the fully deviant example introduced above (with apologies to Shakespeare and sweet Kate – *The Taming of the Shrew*):

[5] Marry I will never!

This utterance violates standard word order (syntagmatic order) in Standard English, as comparison with the 'normal form shows: "I will never marry". In the deviant utterance the lexical verb has been fronted (i.e dislocated left to sentence-initial position). Thus it comes to 'illegally' occupy informationally strong graphologically first and pragmatically thematic position, thereby attributing great emphasis to the concept it expresses. However, dislocating the lexical verb leaves the negative adverb in sentence-final position, which Halliday dubs 'end focus', namely the final slot in the sentence or clause which by dint of being the final element receives greater emphasis than the other constituents in the sentence/clause, (bar the constituent occupying thematic position, which is standardly the subject in an English sentence/clause), emphasis which in an unmarked sentence it would not receive.

Stated differently, fronting the lexical verb assigns greater emphasis to the verb that it would normally have in the sentence but at the same time that operation also produces a by-product, that of creating a new focal point in the sentence, the negator, through its coming to occupy end focus. Thus, with regard to interpretation, the lexical verb and the negator become extremely important information-wise. The effect is thus to underscore the concept of the speaker having absolutely no intention whatsoever of marrying by placing great stress on the words "marry" and "never".

In addition, the emphasis created by the syntactic device of dislocation is bolstered by an unusual intonation pattern. The sentence starts in high key (instead of mid key, as is 'normally' the case), drops to low key (signaling lesser importance), then ends on high key (instead of low). High key is accompanied by greater volume and greater length, thereby increasing the greater emphasis bestowed upon constituents by syntax even further.

We have thus seen how a 'non-standard' construction, or 'deviation', can create a message which is different from that conveyed by the standard construction despite the fact that the surface meaning of the two constructions is identical. The same applies to instances where parallelism operates. Extra, non-literal

meaning is created by deploying a construction exhibiting parallelism compared to one where parallelism is absent.

2. **Parallelism in *The Merchant of Venice***

2.1 *Background to the scene*

Bassanio has been able to court the rich heiress Portia in Belmonte by using the funds supplied to him by his good friend the Venetian merchant, Antonio, and is successful in his venture to wed Portia. In order to help his friend Bassanio, Antonio has lent him money despite all his funds having been invested in mercantile ventures, this state of affairs having obliged Antonio to, in his turn, borrow the money he has lent Bassanio from the Jew, Shylock. Shylock has made Antonio promise he will forfeit a pound of his flesh should he fail to honour his debt. Antonio's ships are all reported as having sunk, leaving Antonio a ruined man. Shylock insists on having his forfeit of a pound of Antonio's flesh, though Portia offers to compensate Shylock with ten times the amount Antonio owes Shylock. Since Shylock, the Jew, hates Antonio, the rich Christian, he stubbornly refuses to accept compensation in money. When Bassanio discovers this he immediately returns to Venice, leaving his newly-wed wife alone, in order to try to help Antonio. Before Bassanio leaves Portia, she entrusts Bassanio with a ring, saying

> This house, these servants, and this same myself,
> Are yours, my lord's. I give them with this ring,
> Which when you part from, lose, or give away,
> Let it presage the ruin of your love,
> And be my vantage to exclaim on you.
> (Act III, Sc. 2)

In extracting this promise from Bassanio, Portia has actually set a trap for her spouse to test his worth. Unbeknown to all except her maid Nerissa, Portia disguises herself as a male lawyer named Balthazar and goes to the Venetian court where she brilliantly and

successfully defends Antonio against Shylock, saving the former's life. When Bassanio asks Balthazar what payment he wishes in exchange for his precious services, Balthazar refuses money, however much he is offered, and asks Bassanio 'only' for the ring which, lo and behold, Portia has given him. Terror-stricken, Bassanio desperately pleads with Balthazar to accept some other form of recompense. When Balthazar stubbornly refuses, Bassanio is obliged to give the former the ring, since Balthazar has, after all, saved the life of his best friend and benefactor. Portia hurries home and changes back into her real clothes, preceding Bassanio's arrival. The latter is in a high state of apprehension, for he must now explain to Portia why he has done the only thing she had asked him not to do, not knowing, of course, that Balthazar is actually Portia in disguise. The mini-text I will now analyse is thus the first part of Bassanio's explanation-justification of his apparently untrustworthy behavior which risks forfeiting Portia's hard-won love.

2.2 *Analysis of the mini-text*

> If you did know to whom I gave the ring,
> If you did know for whom I gave the ring,
> And would conceive for what I gave the ring,
> And how unwillingly I gave the ring,
> When naught would be accepted but the ring,
> You would abate the strength of your displeasure.

The text is realized by a single sentence. The most palpable feature at first glance is that the first five lines end with the verbatim repetition of the noun phrase "the ring" (parallelism realized by graphological, phonological, lexical and syntactic repetition – direct object at line end, thus in salient, emphatic end focus). What this striking feature of five lines out of six ending in exactly the same way makes us reflect on is why this should be so from a structural standpoint. This leads to the realisation that those first five lines apparently (and also actually, in one sense) constitute one syntactic

unit by dint of being clauses which are in a position of subordination to the clause realised in the final line, another syntactic unit, constituting the main clause of the sentence. Furthermore, the lines are written in characteristic Shakespearean iambic pentameters. Lines 1-5 are all regular, whereas the phonological patterning is broken in the sixth line, which has 11 syllables (thanks to the three syllables of "displeasure" – an extra unstressed syllable ending the word: 'dis-**PLEA**-sure') in opposition to the regular ten syllables of the first five lines.

Hence, at the highest level of abstraction, the text is divided into two parts: subordinate clauses-main clause.

The second feature to note is that all five lines of the first section thus identified, (i.e. identified as subordinate clauses), begin with conjunctions: "if", "and" and "when", ('hence' they are subordinate clauses, the coordinating conjunction conjoining subordinate clauses), while the final line begins with a noun phrase realized by a pronoun and functioning as subject of the clause. This characteristic confirms the subdivision of the text into two parts.

It should further be noted that in the subordinate clauses the function subject is realized only twice and is therefore not a distinguishing feature in the creation of this macro instance of parallelism. The phenomenon of variation within parallel units is termed 'internal deviation'. Namely, within a global or higher-level or macro-instance of parallelism, there may exist one or more deviations from the global linguistic pattern creating that (macro) instance of parallelism.

This applies to the second feature noted in the preceding paragraph: all first five lines begin with a conjunction, but within that global linguistic pattern there are 'variants' (internal deviations) – two lines starting with "if", (a subordinating conjunction), two with "and", (a coordinating conjunction), and one with "when" (another, but different, subordinating conjunction), suggesting further internal subdivisions, a constructional point I develop in the next paragraph.

The third feature to note is that the noun phrase "the ring" is preceded four times out of five by the same subject "I" and by the

same lexical verb "gave", while in the fifth line the lexical verb preceding the noun phrase "the ring" is "accepted" and the subject is realized by the noun phrase "naught". Thus the fifth line within this sub-section exhibits two 'internal deviations' from the previous four. This creates a further sub-division within this first part.

Stated differently, the first five lines – the five subordinate clauses – constituting the first of the two major sections of the extract consist in their turn of two sub-sections: the first four lines forming the first sub-section and the fifth line forming the second sub-section of the first five lines.

This further sub-division is confirmed by diverse other linguistic characteristics. First, as we will see later, the fifth line is not, strictly speaking, a subordinate clause, (though it is in a position of subordination to another clause), whereas the four previous lines do all realise the function subordinate clause (i.e. clauses in a position of subordination to the main clause). Second, line five contains the negator "naught", the only negative noun in the extract, thereby distinguishing it from the rest of the text. (Being an adverb, "unwillingly" does not belong to the same word class as "naught". For the time being we may therefore classify it as 'different' from the negator, thereby confirming the role of "naught" as an internal deviation.) Third, and an extension of the first point, namely that line five also differs semantically from the previous four because the lexical verb deployed is "accepted", while the lexical verb employed in the first four lines is "gave", pinpoints the third difference between the first four lines and the fifth: the fact that "accepted" is the result of "gave" indicates a change in agent from giver to receiver. Fourth, yet another difference between the two sub-sections, and connected to the third difference, is that the lexical verb in line five is in the passive voice whereas the lexical verb in the first four lines is in the active voice. Fifth, and finally, in line five the deployment of the passive has brought about the suppression of the agent (a point I will take up when talking about vagueness below).

Nevertheless, it should be noticed that the lexemes 'give' and 'accept' belong to the same semantic field, thus 'uniting' the first five lines rather than dividing them.

To anticipate a crucial global point concerning the nature of the writing, one fundamental trait of the text is that there is a continual dual and opposite linguistic process at work – on the one hand the text is continuously subdivided into smaller parallel units, (i.e. into separate units), through internal deviation, as we saw above with our two examples of internal deviation, while on the other hand those very same units are 'united' to each other through the parallel linguistic features they share. Thus in the first subsection of the extract, consisting of lines 1-5, lines 1-4 are divided from line 5 by a difference in lexical verbs, voice, and presence/absence of the agent, while at the same time they are united by the fact that both lexical verbs belong to the same semantic field.

Such an operation is possible because of the nature of language and communication. An utterance is realized by the concurrent operation of a myriad of linguistic devices. Such devices may work together to produce a single message or to convey multiple messages. Multiple messages need not be coherent - they may be contradictory, or counterposed, as hypothesized by Bakhtinian with his concepts of polyphony and dual voice.

This underlying trait of dividing and concurrently uniting through the deployment of parallelism is central to the message Bassanio is attempting to convey. As will be underlined later, this is an operation of linguistic mimicry.

This 'divisive' feature of 'opposing' verbs (in this specific case) brought to the surface another linguistic characteristic of the text, namely the one and only instantiation of the passive voice, which in its turn brought about the discovery of the suppression of the agent. Indeed, as we will see, the suppression of a myriad of linguistic constituents is another global feature of the text, with far-reaching constructional consequences and effects.

In the case of line 5, the deletion of the subject is "motivated" (in the Russian Formalist sense of the term – Douthwaite 2000) in two ways. The first is technical: it enables the construction of

linguistic parallelism. Note the alternative if the active had been employed: 'He would accept naught but the ring'. This would have had many consequences, including the transformation of the clause from subordinate to main, the disappearance of the initial conjunction and the introduction of the subject pronoun "he" in first position, thus making the construction similar (hence parallel) to the last line, and thereby creating a radically different (and somewhat contradictory) *overall* division of the extract, with section one consisting of the first four lines and section two of the final two lines, which is obviously counter-intuitive:

> He would accept naught but the ring,
> You would abate the strength of your displeasure.

The second "motive" is communicative. The entire conversation between Bassanio and Portia in Act V Sc. 1 is based on a 'deceit', (albeit a well-intentioned 'deceit', since women were not allowed to plead in court); namely Bassanio does not know the "civil doctor" to whom he gave the ring entrusted him by Portia as a marriage pledge with the stricture never to "part" from it, "lose" it or "give it away" (Act III, Sc. 2) was not the male lawyer Balthazar but was in actual fact the rich female heiress and wife Portia who had disguised herself as lawyer Balthazar. Hence, suppression of the agent of the action of the act of accepting parallels (i.e. mimics) Bassanio's ignorance of the real identity of Balthazar. It also conveys Bassanio's interpretation of the event as justification: the identity of the agent is not important; what is important is that the act carried out by the agent, which consisted of the saving of his friend Antonio's life; this action was so important that the reward Bassanio was asked for as recompense could not be refused.

To move to a higher plane of generalization for one moment and anticipate a macro-point, or theme, of the play which I will touch on later, suppression of the agent, and the 'deceit' this embodies, also mimics gender roles and the questioning of those roles in the play – the fact that women are denied the opportunity to play certain roles in society by dint of their gender.

The vastness and importance of the macro-constructional device of employing one or more linguistic elements in an utterance which unite and another or other, (or even the same), linguistic elements which divide may be confirmed and developed by returning to the second major feature outlined above, namely that the first five lines all begin with a conjunction. It must be realized that, as implied earlier, this linguistic trait is actually a *collection* of three characteristics: there is an overall feature – a conjunction in line-initial position 'uniting' the first five lines – which, concurrently, exhibits internal deviation – two subordinating conjunctions in line-initial position, "if", followed by two coordinating conjunctions, "and", followed by another, but different, subordinating conjunction, "when". Shakespeare is here deploying both word class (and lexical selection), sequencing (word class order – subordinating, coordinating, subordinating) and number (two, two one) to create patterning within the higher-order pattern.

This specific example further contributes to demonstrating the manifest fact that there is heavy patterning within patterns, as the analysis will continuously bring to light. As the argument proceeds, what we shall discover is that the feature of patterns within patterns progressively breaks the text down into ulterior, smaller subsections, a crucial macro characteristic of the text.

Thus, the extract begins with two virtually identical lines, and the similarity between lines progressively decreases until the final macro-contrast – the move from subordinate clause to main clause – is made.

However, dense *internal patterning* (patterns within patterns) is accompanied by dense *cross-patterning* through the six lines. By cross patterning I mean that a given feature which typifies a given subsection may also be found in one or more other different subsections creating yet another parallel relationship, one which cuts across units which have already been identified as parallel. Examples of this macro-characteristic abound in the excerpt and the effects will be explained as we encounter them.

So far, we have identified macro-constructional features and devices: progressive subdivision achieved by internal patterning and

cross-patterning, hence the use of multiple linguistic devices to create both cohesion and division. We may now continue our journey into uncovering the specific linguistic features of the extract.

We have already seen that the first subsection of five lines can be further sub-divided into two sections: the first four lines and the fifth. However, that first subsection can, 'alternatively' and concurrently, in its turn be divided into three subsections (internal patterning): i) the first two lines, ii) the third and fourth lines, iii) the fifth line.

> If you did know to whom I gave the ring,
> If you did know for whom I gave the ring,

The only difference between the first two lines is between the two prepositions that govern the prepositional phrases: "to" and "for". Bar one word, the first two lines constitute literal repetition, hence a sub-section on their own.

With regard to effect, two linguistic characteristics are crucial here. First, reference is opaque. Indeed, the reference remains opaque throughout Bassanio's speech, deliberately so for rhetorical effect, namely to achieve a climax. Secondly, opacity teams up with Gricean implicature (1989), for, with a knowledge of co-text, namely what has happened in the play so far, it is sufficient for the audience to hear the 'opaque' first two lines to understand that Bassanio is implying that what Portia deems a 'negative' action on his part is actually defensible, justifiable, positive. Namely, the illocutionary force of his lines (or macro-message) is that of rejecting Porta's accusation of betrayal, infidelity, unreliability. The actual absence of a participant (the suppression of the identity of the person with whom or for whom Bassanio supposedly betrayed from the linguistic construction Bassanio deploys) embodies or mirrors the concept of lack of importance of that participant in order to focus the receiver's attention on the cause rather than on the causer. There is also a third effect, a contextual one, namely the setting up of an opposition between the two opaque referents which the

audience know are Antonio, Bassanio's friend who lent Bassanio the money to go and woo Portia, and Balthazar, the lawyer who defended Antonio, saving him his life. This, of course, helps set up the irony of the scene: Bassanio wishes to reveal the truth at the end of his speech for emotional and argumentative effect, while the audience, and Portia, already know that Balthazar is not Balthazar but Portia herself and who the two referents of the two prepositional phrases ("to whom", "for whom") are. Thus poor Bassanio being in the dark about the general situation is able to confidently deploy his rhetoric to what he hopes will be great effect, while Portia and the audience smile inwardly at his plight.

Opacity is further exploited through the deployment of the phonological system. Nuclear stress is given to the pronoun "whom" in both lines through greater volume, higher pitch and greater length. This effect is increased because attention is further drawn to the two pronouns through the contrast in prepositions which introduce the word – as we have seen, the only difference between the two lines. Expectations are heightened so the delaying effect is more powerful in creating the climax which comes in line six (to anticipate the argument).

We now turn to lines 3-4:

> And would conceive for what I gave the ring,
> And how unwillingly I gave the ring,

These two lines together form a unit because they are introduced by the (same) coordinating conjunction "And", contrasting with the previous two subordinating conjunctions. They too exhibit the verbatim repetition of "I gave the ring". They thus constitute the second subsection in this threefold division.

However, there are also important and arresting differences between line three and line four, (viz. internal deviations), despite the fact they form a unit (through parallelism).

Line four is noticeably shorter, due to the fact that there is no verb phrase, (deletion again, i.e parallelism), Secondly, line four has no prepositional phrase as a clause constituent. Thirdly, line four

contains an adverb phrase ("how unwillingly"), a syntactic category which none of the preceding three lines contain. Fourthly, line four also contains a "Wh-" word, but this word begins with the letter "h" ("how") and not the letter "w" ("whom", twice and "what"), as do the preceding three lines.

Several points ensue from the observations in the previous paragraph. First and foremost, as mentioned above, the extract starts with almost verbatim parallelism, but as Bassanio's speech proceeds, the differences between lines become greater, despite the persistence of intensive parallelism. The first major function of progressive differentiation within the first part of the extraction is to pave the way for the climax of the second section, the main clause, which constitutes the key point, or punch-line, of Bassanio's message. Second, the specific differences pinpointed will lead to the identification of new parallel structures. Third, these latter instantiations of parallelism will consist of cross-patterning, hence their treatment will be delayed for one moment while we complete our analysis of the division of the first part of the text into three subsections: lines1-2, lines 3-4, and finally line 5, to which we now return:

When naught would be accepted but the ring,

Here the features of i) constituting a subordinate clause, ii) beginning with a conjunction, and iii) ending with "the ring" clearly make this line a component of the first part of the overarching subdivision of the sentence into subordinate clause and main clause. However, there are striking differences between this line and the preceding four, a sufficient number of which have already been identified to justify the conclusion that line five thus forms the third of the tri-partite division of the first sub-section.

Thus, so far, we have identified three major subdivisions:

a) lines 1-5 and line 6 – the highest level of generalization, the overall basic structure;

b) lines 1-5 divided into i) lines 1-4 and ii) line 5; iii) line 6;

c) lines 1-5- divided into i) lines 1-2, ii) lines 3-4, iii) and line 5; iv) line 6;

In other terms, we have identified heavy internal patterning within patterns, constituting a complex structure. We now turn to cross-patterning – features which belong to one of these subdivisions and which characterize that sub-division, but are also employed in another, in a different or 'alien', sub-division.

We have seen that lines one and two form a unit and lines three and four form a unit.

However, the first three lines are also related:

> If you did know to *whom* I gave the ring,
> If you did know for *whom* I gave the ring,
> And would conceive for what I gave the ring,

The linguistic characteristics they share include: i) beginning with a conjunction, ii) the embedded clause "I gave the ring" in final position" iii) a prepositional phrase of two words preceding the final embedded clause, ('preceding' on the syntagmatic axis, since, structurally speaking, the prepositional phrase is actually a constituent of the embedded clause), the two words being the preposition and a relative pronoun (or a "Wh-" word to put it with pedagogical grammar, which has the advantage here of drawing our attention to the novel point that alliteration is one of the mechanisms employed to achieve parallelism in this specific case, as well as in other cases), iv) the verb phrases are realized by an auxiliary verb and a lexical verb, v) three synonyms: "know" (twice) and "conceive" – not only are they synonyms, but they also create the same global implicature of the extract: if you 'understand' what I am saying (the explicit part of the message), then you will accept my explanation (the implicit part of the message, or conversational implicature of the final line, in Gricean terms).

We may here add that the major division into two parts (subordinate clauses introduced by conjunctions followed by the main clause) thus embodies the *modus ponens* form of expounding

what the speaker believes is a valid argument. For what Bassanio is doing here is, indeed, presenting a 'logical' argument to persuade his interlocutor, the irony being that he is reduplicating – without success – the same task Portia had carried out - successfully - earlier in defence of Antonio when the task is (in one sense) redundant since Portia knows full well Bassanio is right, since Balthazar was Portia in disguise.

Indeed, viewed in the light of the action of the play, this scene is parallel to Antonio's 'trial' scene. Both Bassanio and Balthasar/Portia argue a case. The *modus ponens* mode of Bassanio's speech thus mimics a trial scene. However, while Portia wins her case, Bassanio loses his, in a world where females were generally excluded from the public sphere. This constitutes an important social comment on the author's part.

This macro example of parallelism thus takes us far beyond the relatively narrow confines of the extract we are analyzing, bringing up the vast issue of gender inequality in *The Merchant of Venice*. A discussion of this theme would take us to an even higher level of generalization which goes beyond the scope of this essay, the ramifications of this issue in the play having taken up many studies. (See, for instance, Adelman, Coolidge, Hyman, Kahn, Newman, Patterson, Traub.) The key point I wish to make is that parallelism occurs at all levels, and the instantiation I have just identified is at the macro-level of plot. We therefore return to the linguistic analysis of parallelism in the target extract.

Thus, we have identified another 'parallel unit', lines 1-3. However, these three lines also exhibit internal deviation. First, as we have already seen, line three differs from lines 1-2 because the lexical verb is different (even if it does belong to the same semantic field). As stated earlier, different linguistic mechanisms employed in the same utterance can lead to different communicative results, and even viewing the same item in its different functions can lead to different results, as is the case here. Second, the tenses are different: lines 1-2 are in the past simple, line three in the present conditional. Third, in the first two lines the function grammatical subject is realized in the superordinate clause, while in the superordinate

clause in line three the function subject is suppressed. Fourth, lines 1-2 begin with a subordinating conjunction, line three with a coordinating conjunction. The reader will have noted that a number of these points have been made previously. The key point here, however, is not the identification of the linguistic mechanisms *per se*, but the variety of textual and communicative uses each instantiation of each mechanism is put to, since this enables the receiver to comprehend the intensity of the overlap, namely the extensiveness of internal patterning and of cross-patterning. I will, from now on, try to reduce repetition to a functional minimum, relying on the reader to take previous points as given.

Additionally, these specific differences lead to the discovery of both obvious and unsuspected similarities creating a new parallel unit – lines 2-3:

> <u>If</u> you did know for whom I gave the ring,
> <u>And</u> would conceive for what I gave the ring,

The three similarities highlighted by the colour scheme have already been expounded. What is important, however, is that they also exemplify the phenomenon of deletion (in this case through ellipsis), since line 3 actually 'hides'

> If you <u>did</u> know for <u>whom</u> I gave the ring,
> [And] If you <u>would</u> conceive for <u>what</u> I gave the ring,

Namely, the presence of the coordinating conjunction "And" in line three is a linguistic 'trick', hiding the further 'trick' that the subordinating conjunction "if" has been suppressed, as has the verb phrase "would conceive".

Having uncovered this linguistic fact, we may now argue that in the 'restored' version, the coordinating conjunction "and" could be omitted without any loss of or addition to semantic meaning, and the common features rendering lines 2-3 parallel would almost double (from four common characteristics to seven), as would verbatim repetition (from six words to eight words, an increase of 33%).

Stated differently, in one sense, Shakespeare is pulling the structural wool over our eyes through suppression hiding the most intense linguistic feature exploited in this extract: parallelism. This would appear to be contradictory: if I wish to establish cross-connections, then the more instantiations of parallelism I employ the more cross-connections I establish. Yet here is Shakespeare diminishing the 'visible' use of the very device that forms the key to his strategy here. I will develop this aspect further below.

Line four may also be considered a unit in its own right for one very simple, and even surprising, reason, given that we are taking examining a 'poetic' text, one written in blank verse – this is the only line where standard word order is not respected. "And how unwillingly I gave the ring" is a marked construction conveying great emphasis in *lieu* of the unemphatic standard version 'I gave the ring extremely unwillingly'. Emphasis is achieved by fronting the adverbial phrase "how unwillingly". (I will return to this point later.)

Lines 4-5 may also be seen as constituting a unit.

> And how unwillingly I gave the ring,
> When naught would be accepted but the ring,

In addition to conjunction, alliteration, (letter "w"), and literal repetition, the most important linguistic trait making of the two lines one unit is the fact that line 5 is actually the subordinate clause to line 4, (i.e. line 4 is the superordinate clause and line 5 is in a relationship of subordination to it) as the following transformation shows:

> I gave the ring extremely unwillingly,
> When (since) naught would be accepted but the ring,

Indeed, one might even make out a case for hypothesizing the first four lines as multiple realization of the subordinate clause and the fifth line as the subordinate clause of all four subordinate clauses represented by lines 1-4.

However, the matter is complicated further by lines two and three being related by dint of the verbatim repetition of the preposition "for".

Thus there are cross-overs between lines one, two and three, and a further cross-over between lines two and three. These overlie the three basic "strong" patterns listed above, rendering the picture far more complex than the initial picture described with the three basic patterns.

Developing this analysis further, lines 2-4 may also be considered as forming a unit:

> And would conceive for what I gave the ring,
> And how unwillingly I gave the ring,
> When naught would be accepted but the ring,

The colour scheme shows that lines 3-5 share three linguistic features in common; conjunction ("And", "When"), alliteration ("w"), and literal repetition ("the ring"). However, the scheme also shows that lines 3 and 5 share a further two characteristics in common – they both have a verb phrase in the conditional tense (though one is active, the other passive), they both exhibit lexical verbs in the superordinate clause which are not "gave", thus making a unit of lines 3 and 5.

What the last few examples illustrate is dense cross-patterning at work. Indeed, I have not identified all the examples of parallelism in the text. For instance, in the major examples I ignored the phenomenon of alliteration, which the last example treated above uncovers as being a further important symbolizing device – each of lines 3-5 exhibits two instances of word play on the letter "w". One might further note that the progressive modifications of the propositional phrases in lines 1-3 and their 'brother' adverbial phrase in line 4 constitute yet another linguistic trait creating parallelism and that the lines exhibit internal deviation:

> If you did know to whom I gave the ring,
> If you did know for whom I gave the ring,

> And would conceive for what I gave the ring,
> And how unwillingly I gave the ring,

In lines 1 and 2, the prepositional complement is realized in both cases by the lexeme "whom". Instead, in lines 2 and 3 the prepositional complement is realized by "whom" and "what" respectively, a slightly weaker link since in place of verbatim repetition we find repetition of word class. However, the link between lines 2 and 3 is reinforced by verbatim repetition of the preposition "for" in opposition to the preposition "to" in line 1. Instead, in line 4 the prepositional phrase is transformed into an adverb phrase, "how unwillingly", with the "wh-" word being realised by the lexeme "how", which, although different a word, nevertheless belongs to the "wh-" word class and contains the letter "w", albeit as final letter and not initial letter. Thus the parallelism is solid. This is an important fact because all four lines thus appear to have an identical or extremely similar construction:

"Wh-" phrase + I gave the ring

This is an important linguistic fact, because one is induced by this 'linguistic act' into believing that parallelism accounts for the sequencing, when, in actual fact, the difference in line 4, with the absence of the prepositional phrase, is brought about by the selection of an emphatic expression employing the linguistic device of fronting (Douthwaite 2000) which serves the communicative purpose at hand. Stated differently, what we have here is another linguistic 'trick'. Or, if one prefers, extreme mastery over the language translated into an extraordinarily sophisticated and complex text.

Such sophisticated skill is also borne out by the operation of deletion, an important constructional device I drew attention to earlier. Indeed, if one were to 'reinstate' a number of the linguistic items that have been suppressed in order to 'standardise' the Shakespeare's original (hence, 'de-poeticise' it), then the result

would be something like this (the words signaled in red being those that have been 'restored' in the process of normalisation):

If you did know the person   to whom I gave the ring,
If you did know the person   for whom I gave the ring,
If you would conceive   for what reason I gave the ring,
And if you would conceive   how unwillingly I gave the ring,
          When naught would be accepted but the ring,
   You would abate the strength of your displeasure.

Several points emerge from this synthetic text. Although Shakespeare has created an incredible number of parallel structures in such a short text, he has actually deliberately diminished the number of parallelisms that it could have contained, eliminating rather obvious instantiations, to boot, 'obvious' when a scholar examines the text critically and in depth. Lines 3 and 4 are the most important instantiation of this phenomenon, for the suppression of "if you" in line 3 and "if you would conceive" in line 4 clearly masks the fact that the first four lines are all subordinate clauses to the main clause. Such suppression also helps hide the fact that line five is not a subordinate clause to the main clause. The form in which lines 1-4 appear, (achieved through deletion), induce one to hypothesise line five as being parallel to lines 1-4, hence a subordinate to the main clause, while the reconstruction of the text demonstrates line 5 is actually subordinate to lines 1-4.

    Suppression in general may be hypothesized as performing three major functions in the extract. First, it contributes to the general flow identified above of gradual, increasing differentiation between the lines. Secondly, it suppresses material which is less important information from the standpoint of the message to be conveyed. Third, the 'restored' version would totally ruin the blank verse scheme, as I illustrate below. To show how this works, however, we must turn to one area of language which I have only touched on fleetingly, phonology. Indeed, the thrust of this article is parallelism. However, parallelism does not work alone. Time and space do not permit full treatment of parallelism, let alone of the myriad of other

devices deployed in the text. Hence other devices are treated only when crucial to the point at hand.

The first example is the 'suppression' of the noun 'reason' in line 3. This would obviously upset the equilibrium of the final part of the first three lines which consists of:

prepositional phrase realized by preposition plus "wh-" word, followed by "I gave the ring".

The inclusion of the lexeme "reason" would therefore destroy the equilibrium created by syntax, number of syllables, rhythm and stress pattern. (I deal with intonation below.) The same stricture applies to the non-inclusion of "the person" in lines 1 and 2. Furthermore, the expression "the person" is informationally redundant since it is highly unlikely that Bassanio will have given the ring to a dog, and even less so to an inanimate object such as a book or a car, an option which the text implicitly excludes in any case through the deployment of the lexeme "whom".

All first five lines consist of five unstressed syllables followed by five stressed syllables, (iambic pentameter), while the final line consists of eleven syllables. This scheme thus reflects the most basic sub-division of the text – lines 1-5 (subordinate clauses) and line 6 (main clause, which being more important than the subordinate clause by grammatical definition also contains an extra syllable, thereby exploiting the cognitive metaphor SIZE IS IMPORTANCE. Syllabic parallelism presumably accounts for choices such as "did know" as opposed to the regular form of the past simple and the non-use of the lexeme 'person' in line 1.

The function of the sound scheme (intonation pattern) is to highlight important parts of the message. Here, the first two lines perform the most crucial task of all (aided and abetted by the syntax, by verbatim repetition, and so forth):

If you did know to WHOM I gave the ring,
If you did know for WHOM I gave the ring,

The only difference in the first two lines lies in the selection of preposition. The lines thus exploit the general principle that what changes is more important than what remains identical. Hence, the prepositional phrase is signaled as constituting the most important information. In speech this is conveyed by the intonation pattern – a short pause before the preposition then nuclear stress (i.e the focus) falling on the "wh-" word through a rising tone to high pitch, together with an increase in both volume and length. This clearly sets up a contrast between the two referents. It immediately begins to build up the climax, both through the semantic content and through the *modus ponens* format ('If you knew *x* you would not get angry …'), demonstrating how vague reference plays an important role in building up a climax through suppression of information.

This point takes us to pragmatics, and in particular to the exploitation of the Gricean maxims of quantity and manner (sub-maxim: be orderly). In fact, the elimination of ambiguity through supplying the identity of the referents (the Gricean quantity maxim) would make the entire speech fall absolutely flat, destroying the climax, as in the following synthetic reconstruction:

If you did know I gave the ring to Balthazar,
If you did know I gave the ring for Antonio,
If you would conceive I gave the ring to Balthazar for having saved Antonio's life,
If you would conceive how unwillingly I gave the ring,
Because Balthazar would accept naught but the ring.

This synthetic version of the original speech has already totally failed at line three, if not at line 1, since line 3 should in fact be line 1 (Gricean manner maxim, sub-maxim: be orderly) for it conveys the basic message, rendering lines 1 and 2 redundant (Gricean quantity. Secondly, if one begins to be explicit in one's communicative style, then line 4 is no longer acceptable, for it remains inexplicit as well as pragmatically inefficacious, (it violates the Gricean manner, sub-maxims: avoid obscurity/ambiguity), since the information it contains should constitute a premise and not a

post-hoc justification. Finally, line four also interrupts the information flow, (Gricean manner maxim, sub-maxim: be orderly), for logically speaking, line 5 is the justification for line four. Stated differently, in an explicit, formal argument, lines 1 and 2 would disappear and lines 3-5 would appear in the order 5-3-4: 'Because Balthazar had saved Antonio's life and because he would accept no payment but the ring, I gave him the ring unwillingly'.

Stated differently, an explicit version would provide the explanation succinctly and clearly, (Gricean quantity and manner maxims), and, above all, unemotionally (appropriacy to context – a formal or legal argumentative style would be appropriate. On appropriacy to context, see Douthwaite 2000.)

Instead, the inexplicit Shakespearean version has many high-level textual and psychological functions. First, it creates interest by arousing curiosity, precisely because it delays revealing the relevant information, providing it piecemeal so that the listener is obliged to pay attention and ask herself what the point is, thereby preventing an immediate explosion the second she discovers her husband has done the one thing he should not have done. Second, it involves the audience more through the emotional delivery and the emotions expressed. Third and fourth, expressing emotion has two major functions: to demonstrate a high degree of commitment to what the speaker is saying, that is to say, to transmit to the hearer the enormous importance to the speaker of the concept he/she is conveying through those very words and to testify to the truth of his words. Given human make-up, a sterilized, unemotional, rational presentation would fail to affect the audience so deeply.

The penultimate point I wish to make is that while there is a very strong contrast between part A (lines 1-5) and part B (line 6) of the text, nevertheless, cross-patterning also characterizes the two parts: i) the subject pronoun "you" appears twice in part A and once in part B; ii) the present conditional also appears twice in part A and once in part B; iii) two 'negative' words appear in part A ("unwillingly", "naught"), and one in part B ("displeasure", having greater affinity with "unwillingly" both lexemes are negators by dint of a negative prefix); iv) the repetition of the modal auxiliary

"would" automatically means duplication of alliteration of the letter "w". Four instances of parallelism in seven words is no mean linguistic feat.

Thus, just as section A exhibits division and unity, so the relationship between part A and part B also exhibits division and unity.

So we come to the final major observation – the effect of such intensive and complex parallelism. I have hinted at the explanation earlier. This lies in the way the mind works, in human psychology and emotion when what is at stake is an important value, a central issue in a person's life such as one's job or the things a person holds nearest and dearest – deep and long-lasting personal relationships.

Poor Bassanio is rightfully dreading Portia's reaction when she discovers he no longer has the ring she gave him, given that it represents the most important thing for her. In addition to expecting a virulent and radical reaction – Porta had threatened to dam up the river of her love for Bassanio had he not respected her wish, and Bassanio knows Portia is no weak woman – Bassanio also knows what all humans know. When something radical affects a relationship, then the consequences are not simply dire, but take an enormous amount of time to rectify, if rectification is indeed possible in the first place. Thus, if I come home to my wife who has discovered I have been unfaithful to her and say 'Oh, it was just a fling, it only happened because I was drunk out of my head – it won't happen again, darling', then my (understandably) un-understanding wife is likely to only throw a few plates at my head, if I am extremely lucky. Repairing as much of the damage as one possibly can will take a lot of explaining, a great deal of self-criticism and self-dispraise, for psychological and emotional wounds take a long time to heal (my act having deeply threatened the Other's security and identity, including her belief in her own powers of observation, analysis, judgement, her faith in the Other, her underlying ideology – the way she sees and interacts with people, to name but a few psychological traits and abilities endangered by my action). Rationality, if it be at all relevant as a strategy, will do little to help in a situation of this kind.

To move from psychology and emotion back to its reflection in linguistics and communication, Bassanio's selected line of argument, or strategy, thus excludes an explicit, succinct explanation of the three line type examined above. He correctly opts for opacity, gradual revelation and repetition. Boxing would be an apt metaphor. You punch your adversary several times - an uppercut to the jaw, two quick straight jabs, a left hook, another right to the jaw, then a pile driver which sends him to the floor for the count. This is parallelism, in language.

Most centrally, the great sophistication of the line structures I have tried to illustrate enable the deployment of phonology to highlight the central informational aspects to be conveyed, and the emotions Bassanio is experiencing, emotions which testify to the truthfulness of his claims and argument, for he manages to transmit both his fear and his desire and the great intensity of both emotions.

This brings us to the constant interplay of division and unity throughout his speech. On the one hand, this reflects the structure of his argument – if … then…. On the other hand, it reflects his division between his love for his wife and his love for his friend, without whom there would have been no wedding. It reflects his desperate desire to justify his action while knowing it is in one sense wrong. It mirrors his opposed emotions of fear and desire. The constant interplay of division and unity reflects the basic contradiction in which Bassanio finds himself – he wants both worlds and cannot have both worlds – for many reasons, and the concomitant conflictual thoughts and emotions the two worlds involve.

3. **Epilogue**

The objective of this paper has been to demonstrate linguistic parallelism at work in a text where it is exploited with extreme intensity, as is the case with Bassanio's speech. But it would be diminishing the writing if one were not to point out that parallelism is constantly at work throughout the play at two levels.

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First of all, parallelism is realized at the macro-level of plot. The 'ploy' (viz. textual and theatrical device) of the ring is, in fact, duplicated in another couple. Gratiano, Bassanio's friend who has accompanied Bassanio to Belmonte, has fallen in love with Nerissa, Portia's maid, and they too have married. Nerissa, too, has given a ring to Gratiano and made him promise never to part with it. At Antonio's trial Nerissa, too, is disguised as a male, impersonating Balthazar/Portia's clerk, and like Balthazar "he" too demands a ring as payment for his services, obliging Gratiano to give him/her the ring which she, Nerissa, had given Gratiano. (On interpretations of the ring as a plot device with 'circular' [viz. parallel] repercussions, see Kahn: 1985 and Newman: 1987. For another interpretation of 'circularity' in the play, see Siemon: 1970.)

Act V scene I thus consists of a delightfully comic denouement as the two women run rings round the supposedly 'superior' class of men. The parallel plot thus highlights the theme of gender inequality touched on above, making short shrift of women's supposed inferiority.

Secondly, linguistic parallelism is at work at middle and low levels of generalization. The speech examined above is of parallelism at the local level. However, there are echoes (viz. parallels) throughout the play using some of the linguistic instantiations present in Bassanio's speech. His speech does not end there, however. Portia again demonstrates her mental and linguistic prowess by thoroughly rejecting, nay demolishing Bassanio's rhetorically well-argued speech by employing the very same linguistic tools against him.

What the preceding point shows is that the division into macro- and micro-levels should not be taken literally, as if the two were independent, watertight compartments. It will be noted that in the gender game played out in the play, Portia uses a 'traditional' female argument – male infidelity – to attack her 'adversaries'. As will be seen in the last line of the quotation from Portia's speech below in reply to Bassanio's defence, she accuses Bassanio of giving the ring to a woman (i.e. an indirect accusation of unfaithfulness). This scuppers Bassanio totally, for a) the argument

evokes the culturally stereotypical image of the female in Elizabethan society, and b) this consequently deflects his attention away from the fact that Portia and Nerissa might in fact be 'different' from the conservative mental model he has of the female and which governs his behaviour toward that sex. Stated differently, Bassanio is defeated because his world view of the female is that of the traditional male, whereas Portia is much more 'in advance' of that traditional model of femininity. In yet other words, his ideology blinds him to reality. In support of my argument I might quote Valerie Traub's (2001: 135) comments on women in Elizabethan society: "Because men have only women's word for the legitimacy of their children, and because patrilineal authority is necessarily transmitted through women's reproductive bodies, men are represented as particularly susceptible to female deception". Indeed, the speech with which this paper ends is instant demonstration of Traub's thesis: Portia deliberately plays on Bassanio's fear of deception (role reversal again, since in this case he is the one accused of infidelity).

To return to the issue of rhetoric, I will leave the reader to analyse the speech herself, simply inviting her to note just how close the parallelism is to Bassanio's speech, how intense the parallelism is, and how intensely Portia's speech exudes emotion. It thus paves the way for the revelation which will come to Bassanio, and all the other males present, as a tremendous shock. An emotional shock for the male characters, and an ideological shock for players and audience at the global level, questioning as the revelation does, the entire male-female relationship[1].

> If you had known the virtue of the ring,
> Or half her worthiness that gave the ring,
> Or your own honor to contain the ring,
> You would not then have parted with the ring.

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[1] I repeat that my treatment of the macro-level is indeed *en passant*, for many hypotheses have been made about gender and sexual relationships in the play, as the references provided will show.

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What man is there so much unreasonable,
If you had pleased to have defended it
With any terms of zeal, wanted the modesty
To urge the thing held as a ceremony?
Nerissa teaches me what to believe:
I'll die for't but some woman had the ring.

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ADŪNĪS:
DUE CANTI SULLA DONNA E SULL'UOMO,
TRE SOGNI E TRE SPECCHI

Manuela E.B. Giolfo

Through a bio-bibliographical introduction about the author and his works, as well as a critical discussion of Adūnīs' New Poetry and its cultural background, this paper presents the short series of eight poems "Two Songs on Woman and Man, Three Dreams and Three Mirrors" – belonging to the collection of poems The Stage and the Mirrors, *first published in 1968. The eight poems constitute a short but precious cycle, complete in itself, and represent an interesting example of themes and style within the work of the sophisticated Syrian-Lebanese poet in the years when he devised and experimented the new forms and new contents of what for him should be the "modernity" of Arabic poetry, suspended between East and West.*

1. ʿAlī Aḥmad Saʿīd Isbir[1]

Nasce nel 1930 a Qaṣṣābīn, una cittadina nella Siria nord-occidentale a pochi chilometri a sud di al-Lāḏiqiyya (Laodicea, oggi Latakia). Pubblica le sue prime poesie a diciassette anni, utilizzando lo pseudonimo di Adūnīs, pseudonimo che rimanda tanto alla civiltà greca che alle civiltà semitiche preislamiche,[2] con il quale firmerà tutta la sua produzione letteraria.

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[1] Per approfondomenti bio-bibliografici, si veda: Adonis, *Libro delle metamorfosi: poesie scelte 1957-1997*, a cura di F. Al Delmi e S. De Zan. Roma, Fondazione Piazzolla, 1998 e Adonis, *Ecco il mio nome*, a cura di F. Corrao. Roma, Donzelli, 2009.

[2] Adūnīs può essere infatti assimilato alla divinità egizia Osiride, dio della morte e dell'oltretomba, alla divinità babilonese Tammūz - dio il cui culto è associato a quello della dea mesopotamica della fecondità, della bellezza e dell'amore, l'Inanna sumera, l'Ištar babilonese e l'Astarte fenicia e cananea -, al dio fenicio Baʿal, alla divinità aramea Hadad, all'etrusco Atunnis, all'anatolico Sandan di Tarso e anche al frigio Attis, tutte divinità legate

Adūnīs e i suoi "Due canti sulla donna e sull'uomo..."

Di famiglia alauita, appartiene alla stessa minoranza sciita cui appartiene la famiglia degli Assad. Il padre – che si dedica alla coltivazione di alcuni appezzamenti di sua proprietà e contemporaneamente ricopre il ruolo di *imām* locale per le sue vaste conoscenze religiose – lo inizia alla lingua del Corano, alla letteratura araba classica e ai grandi mistici della tradizione musulmana. Studia al Liceo francese di Ṭarṭūs (la Tortosa del tempo delle crociate) e quindi al Collegio di Stato di al-Lāḏiqiyya. Si iscrive all'Università di Damasco nel 1950. La prima raccolta di poesie *Qālat al-arḍ* "Disse la terra" risale al 1952. Si laurea in lettere e filosofia nel 1954. Incarcerato per sei mesi a causa della pubblicazione di suoi scritti fortemente critici nei confronti tanto delle convenzioni letterarie quanto della struttura sociale e politica siriana e rilasciato nel 1956, si trasferisce nella capitale del Libano, Paese di cui acquisisce la nazionalità.

A Beirut, nel 1957 pubblica la raccolta di poesie *Qaṣā'id ūlā* "Prime poesie" e fonda, assieme al poeta siro-libanese Yūsuf al-Ḫāl,[3] la rivista letteraria *Ši'r* "Poesia", che propone la liberazione dal giogo della tradizione tanto sul piano del pensiero che su quello della forma, la rivalutazione della poesia araba contemporanea e l'apertura alla poesia occidentale. La rivista, in cui compaiono in traduzione, tra gli altri, lavori di J.R. Jimenez, E. Pound, T.S. Eliot, S.-J. Bonnefoy, E. Sitwell, R. Char, P. Claudel, J. Supervielle, J. Prévert, W.B. Yeats, P.-J. Jouve, F. Garcia Lorca, H. Michaux, O. Paz, E.E. Cummmings, A. MacLeish e R. Frost, si espone a forte

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alla rinascita e alla fertilità. Soprattutto nell'attuale Siria, era identificato come Adon "Signore", stesso termine utilizzato nell'ebraico Adonai "mio Signore". Senza dubbio, nell'immaginario occidentale, il termine rimanda immediatamente all'estetica, all'arte e in particolare alla poesia, dall'*Adone* di Giambattista Marino, alle cantate di Pietro Metastasio, all'*Adonais* di Percy Bysshe Shelley.

[3] Considerato uno dei maggiori esponenti della *qaṣīdat al-naṯr* "poema in prosa", Yūsuf al-Ḫāl nacque a Homs in Siria nel 1917 ma si trasferì fin da piccolo in Libano a Tripoli. A partire dal 1948 lavorò nella Segreteria Generale delle Nazioni Unite a New York, sezione Pubblicazioni e Stampa. Rientrò in Libano nel 1955, dove morì nel 1987.

critica soprattutto a causa della poesia sperimentale in essa pubblicata.[4] Nel 1958 pubblica la raccolta di poesie *Awrāq fī al-rīḥ* "Fogli nel vento".

Nel 1960, grazie ad una borsa di studio del governo francese, Adūnīs si trasferisce per un anno a Parigi. Rientrato a Beirut, nel 1961 pubblica *Aġānī Mihyār al-dimašqī* "I canti di Mihyār il damasceno". Si tratta di una raccolta di poesie unificata da una parte da un unico tema metafisico-esistenziale e dall'altra da aspetti formali che segnano una rottura definitiva con il passato, tanto della poesia araba quanto della poesia dell'autore stesso. La rivista *Ši'r* cessa di essere pubblicata nel 1964 e alla ripresa della sua pubblicazione nel 1967, Adūnīs non farà più parte del comitato di redazione. Nel 1965 esce la raccolta di poesie *Kitāb al-taḥawwulāt wa-al-hiğra fī aqālīm al-nahār wa-al-layl* "Il libro delle metamorfosi e della migrazione nelle regioni del giorno e della notte". Il suo forte sentimento nazionalistico di stampo pan-arabo, attraverso il quale egli guarda agli Arabi come ad una Nazione, trova sbocco nel quotidiano beirutino *Lisān al-Ḥāl* "La parola del vissuto" e nel periodico letterario *Mawāqif* "Posizioni", da lui stesso fondato nel 1968 e da lui diretto fino al 1994. In quest'ultimo Adūnīs continua la pubblicazione di poesia sperimentale.[5] Attraverso l'uso di termini che possono essere interpretati al contempo come termini comuni e come termini tecnici della mistica islamica (come per esempio il termine *ḥāl* o il temine *mawāqif* che compaiono nei titoli delle riviste e che possono indicare tappe di un cammino spirituale), le poesie di Adūnīs continuano ad esprimere gli ideali nazionalistici del poeta, comparendo in combinazione (più implicita che esplicita) con la sua visione mistica. Attraverso l'uso di tali termini volutamente ambigui, Adūnīs diviene un importante esponente della corrente neo-mistica all'interno della poesia araba

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[4] Cfr. S. Moreh, *Modern Arabic Poetry 1800-1970: The Development of its Forms and Themes under the Influence of Western Literature*. Leiden, Brill, 1976, pp. 278-280; 285; 288.

[5] R. Snir, "Mysticism and Poetry in Arabic Literature". *Orientalia Suecana* XLIII-XLIV (1994-5), 165-175. V. *Sufi Terms in the Service of Social Values*, 171-3.

moderna, corrente che raggiunge l'affermazione negli anni Settanta.[6] È nel 1968 che Adūnīs pubblica a Beirut *Al-masraḥ wa-al-marāyā* "Il teatro e gli specchi", da cui è tratto il breve ciclo di otto poesie che presentiamo qui in traduzione italiana.

Nel 1971 è nominato professore di letteratura araba all'Università libanese di Beirut. Nello stesso anno pubblica il saggio critico *Muqaddima li-al-ši'r al-'Arabī* "Introduzione alla poetica araba" *e* la raccolta poetica *Qabr min aǧl Niyū Yūrk* "Una tomba per New York". Nel 1973 consegue il dottorato all'Università Saint-Joseph a Beirut con una tesi su *Al-ṯābit wa-al-mutaḥawwil* "Il fisso e il mutevole" nella cultura araba. Il lavoro, consistente in un'analisi dell'influenza negativa esercitata sulla creatività araba sia dal dogmatismo religioso sia da una certa concezione dell'Islām, sarà pubblicato in tre volumi a Beirut nel periodo 1974-78. A partire dagli anni Settanta, oltre che in Libano, insegna in varie università, in Siria, Francia, Svizzera e Stati Uniti. In particolare, nel 1976 è *visiting professor* all'Università di Damasco e nel periodo 1980-81 è professore di arabo alla Sorbona. Tra il 1971 e il 1985 pubblica a Beirut quattro raccolte di poesie: *Waqt bayna al-ramād wa-al-ward* "Tempo tra la cenere e le rose" nel 1971, *Mufrad bi-sīgat al-ǧam'* "Singolare in forma di plurale" nel 1975, *Al-mutābaqāt wa-al-awā'il* "Le risonanze e le origini" nel 1980 e *Kitāb al-ḥiṣār* "Il libro dell'assedio" nel 1985.

Nel 1985 si trasferisce definitivamente a Parigi, dove vive tuttora. Dal 1986 è delegato permanente della Lega araba presso l'UNESCO. Tra il 1987 e il 1995 pubblica altre quattro raccolte di poesie: *Šahwa tataqaddam fī ḫarā'iṭ al-mādda* "Desiderio che avanza nelle mappe della materia" a Casablanca nel 1987, *Iḥtifā'an bi-al-ašyā' al-wāḍiḥa al-ġāmiḍa* "Celebrazione delle cose chiaroscure" a Beirut nel 1988, *Abǧadiyya ṯāniya* "Secondo alfabeto" a Rabat nel 1994 e *Al-kitāb* (Il Libro) a Londra nel 1995.

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[6] A. Butt, "Adunis, Mysticism and the Neo-Sufi Trend". In: *Poets from a War Torn World*. SBPRA, 2012, 2-7.

Nel 1995, su pressione del governo siriano, viene radiato dall'Unione degli Scrittori Arabi.[7] Nel 1997 il governo francese gli conferisce il titolo di *Commandeur des Arts et des Lettres*. Tra le opere recenti ricordiamo le raccolte di saggi *Mūsīqā al-ḥūt al-azraq* "La musica della balena azzurra" del 2002 e *Al-muḥīṭ al-aswad* "Oceano nero" del 2005. Il poeta riceve numerosi premi e riconoscimenti internazionali, tra cui in Italia il Lerici, il Feronia, il Nonino, il Mondello, il Flaiano e il Grinzane Cavour. Nel 1995 vince il *Prix Méditerranée* e nel 2011 il Premio Goethe.

Se nella sua poesia e nei suoi scritti Adūnīs ha sempre affermato che solo un cambiamento radicale in ogni aspetto della vita araba potrebbe portare gli arabi nel XX secolo e che solo allora essi sarebbero in grado di contribuire allo sviluppo dell'umanità e della civiltà mondiale,[8] nell'agosto del 2011, in un'intervista con il quotidiano kuwaitiano *al-Ra'y al-ʿām* "L'opinione pubblica", Adūnīs lanciava un appello per le dimissioni del Presidente siriano Baššār al-Asad a causa del suo ruolo nella guerra civile siriana. Invitava tuttavia l'opposizione ad adottare una rigorosa ideologia secolare e la criticava per essere frammentata e dominata da gruppi religiosi, aggiungendo che la soluzione appropriata per la Siria sarebbe quella di istituire uno stato civile in cui religione e politica fossero finalmente separati.[9] In un articolo dell'*Economist* del 13 Luglio 2013,[10] si legge che, dopo aver dichiarato nel 2006 l'"estinzione" degli arabi dovuta alla paura della libertà che ha fatto perdere loro la volontà creativa di cambiare il mondo, Adūnīs non si dimostra affatto contento della cosiddetta "Primavera araba". Già nel 2013 il poeta invitava l'opposizione a evitare la violenza e ad

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[7] Cfr. Y.M. Ibrahim, "Arabs Split on Cultural Ties to Israel", *The New York Times*, 7 Marzo 1995.

[8] Cfr. A. al-Udhari (a cura di), *Victims of a Map*, London, Saqi Books, 2005 [1984], p. 87.

[9] <http://english.ahram.org.eg/NewsContent/2/8/18147/World/Region/Prominent-Syrian-poet-Adonis-urges-Assad-to-step-d.aspx>.

[10] "Constitution-building: The long march", *The Economist*, 13 Luglio 2013. <http://www.economist.com/news/special-report/21580628-after-revolution-comes-slow-business-devising-machinery-change-long>.

impegnarsi in un dialogo con il regime, ma soprattutto accusava i rivoluzionari di cercare di rovesciare i governanti piuttosto che di cercare il cambiamento dall'interno. Utilizzando lo stesso linguaggio di potere utilizzato dai regimi che essi oppongono, diceva Adūnīs, essi rischiano di sostituire un tipo di assolutismo con un altro: l'ideologia di Stato con il dogma religioso.

Tra le opere di Adūnīs tradotte in lingua italiana, *Introduzione alla poetica araba*,[11] *Desiderio che avanza nelle mappe della materia*,[12] *Libro delle metamorfosi: poesie scelte 1957-1997*,[13] *Memoria del vento*,[14] *Nella pietra e nel vento*,[15] *Siggil*,[16] *La preghiera e la spada*,[17] *Cento poesie d'amore*,[18] *Libro delle metamorfosi e della migrazione nelle regioni del giorno e della notte*,[19] *Oro, incenso & Siria*,[20] *La musica della balena azzurra*,[21] *In*

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[11] Adonis, *Introduzione alla poetica araba*, trad. di F. Del Vescovo e L. Cabria. Torino, Marietti, 1992.

[12] Adonis, *Desiderio che avanza nelle mappe della materia*, trad. di F. Al Delmi. Genova, San Marco dei Giustiniani, 1997.

[13] Adonis, *Libro delle metamorfosi: poesie scelte 1957-1997*, a cura di F. Al Delmi e S. De Zan. Roma, Fondazione Piazzolla, 1998.

[14] Adonis, *Memoria del Vento*, trad. di V. Colombo. Parma, Guanda, 2005 [1998].

[15] Adonis, *Nella pietra e nel vento, a cura di* F. Corrao. Messina, Mesogea, *1999*.

[16] Adonis, *Siggil*, a cura di A. Cima, trad. di F. Al Delmi. Novara, Interlinea, 2000.

[17] Adonis, *La preghiera e la spada*, trad. di R. Carifi. Parma, Guanda, 2002.

[18] Adonis, *Cento poesie d'amore*, trad di F. Al Delmi. Parma, Guanda, 2003.

[19] Adonis, *Libro delle metamorfosi e della migrazione nelle regioni del giorno e della notte*, trad. di F. Al Delmi. Milano, Mondadori, 2004.

[20] G. Limonta e Adonis, *Oro, incenso & Siria*, trad. di F. Al Delmi e G. Redolfi. Milano, Mondadori, 2005.

[21] Adonis, *La musica della balena azzurra*, trad. di F. Al Delmi. Parma, Guanda, 2005.

onore del chiaro e dello scuro,[22] *Oceano Nero*,[23] *Beirut: La non-città*[24] e *Ecco il mio nome*.[25]

2. La "poesia nuova" di Adūnīs

Se la letteratura araba è normalmente divisa in Pre-Islamica (500-622), Omayyade (622-750), Abbaside (750-1258), Mamelucca (1258-1516), Ottomana (1516-1798) e Moderna (a partire dal 1798),[26] secondo Badawi[27] la letteratura araba moderna nasce da un conflitto tra Oriente e Occidente. A partire dal XIX secolo, "*the ignorance of the West and western cultural values which reigned supreme in the Arab world of the eighteenth century had now given place both in Egypt and in Syria to an almost obsessional preoccupation with these values.*"[28] Se il primo periodo della poesia araba moderna è stato caratterizzato dall'ideale romantico, che ha raggiunto il suo apice nel periodo tra le due guerre mondiali, uno dei fattori che hanno maggiormente contribuito alla caduta di tale ideale, oltre al diffondersi del realismo sociale e del pensiero nazionalista marxista e arabo, è stata la conoscenza della poesia post-romantica occidentale acquisita dai nuovi poeti arabi nel periodo che va dal 1930 al 1950 e in particolare dei simbolisti francesi e di T.S. Eliot.[29]

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[22] Adonis, *In onore del chiaro e dello scuro*, trad. di F. Corrao. Milano, Archivi del '900, 2005.

[23] Adonis, *Oceano nero*, trad. di F. Al Delmi. Parma, Guanda, 2006.

[24] Adonis, *Beirut: La non-città*. Milano, Medusa Edizioni, 2007.

[25] Adonis, *Ecco il mio nome*, a cura di F. Corrao. Roma, Donzelli, 2009.

[26] Per una presentazione della poesia araba classica e della poesia araba moderna si rimanda rispettivamente a D. Amaldi, *Storia della letteratura araba classica*. Bologna, Zanichelli, 2004 e a I. Camera d'Afflitto, "Introduzione alla poesia araba moderna", in Eadem, *Letteratura araba contemporanea*, II ed., Roma, Carocci, 2007, pp. 101-154.

[27] M.M. Badawi, *A critical introduction to Modern Arabic Poetry*. Cambridge, Cambridge University Press, 1975, p. 13.

[28] Ibid.

[29] Ibid. pp. 223-224.

Adūnīs e i suoi "Due canti sulla donna e sull'uomo..."

Nel presentare Eliot al pubblico arabo in un suo lungo articolo pubblicato nel 1946 in *al-Katīb al-Miṣrī*, Luwis ʿAwad spinge il lettore arabo ad apprezzare un "*new poetic method*", che definisce "*obscure*", "*allusive*" e che "*does not conform to the familiar patterns of the traditional verse we know*".[30] La rivista letteraria *Šiʿr*, fondata da Adūnīs assieme a Yūsuf al-Ḥāl, fu appunto una delle riviste che negli anni Cinquanta pubblicarono in arabo opere poetiche e di critica letteraria di T.S. Eliot. Fu soprattutto l'attacco che il poeta statunitense sferrò nei confronti della poesia romantica inglese che i poeti arabi fecero proprio e che applicarono nei confronti della loro stessa poesia romantica, sperimentando al contempo le novità strutturali e stilistiche proprie di Eliot, l'uso del mito, dell'allusione e del monologo interiore.

Ma è sicuramente sulla base di un più ampio interesse nei confronti della poesia moderna occidentale in generale che si riscontra l'influsso di altri poeti occidentali sulla poesia araba moderna, per esempio l'influsso di Saint-John Perse su Adūnīs, la cui poesia ci pare riflettersi come in uno specchio nelle parole di Perse:

[…] Par la pensée analogique et symbolique, par l'illumination lointaine de l'image médiatrice, et par le jeu de ses correspondances, sur mille chaînes de réactions et d'associations étrangères, par la grâce enfin d'un langage où se transmet le mouvement même de l'Être, le poète s'investit d'une surréalité qui ne peut être celle de la science. […] Lorsque les philosophes eux-mêmes désertent le seuil métaphysique, il advient au poète de relever là le métaphysicien; et c'est la poésie, alors, non la philosophie, qui se révèle la vraie 'fille de l'étonnement' […].[31]

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[30] Cfr. N. ʿArīḍa, *Arwāḥ Ḥāʾira*, New York, 1946.

[31] Dal discorso ufficiale proferito da Saint-John Perse a Stoccolma il 10 Dicembre 1960, in occasione del premio Nobel per la letteratura, che gli fu conferito: "*for the soaring flight and the evocative imagery of his poetry which in a visionary fashion reflects the conditions of our time*". <http://www.nobelprize.org/nobel_prizes/literature/laureates/1960/perse-speech-fr.html>.

La rivista d'*avant-garde Šiʿr*, in mano ai nuovi poeti arabi simbolisti o surrealisti, è senz'altro un importantissimo strumento di diffusione di idee anti-romantiche e anche della convinzione che l'arte dovrebbe prendere le distanze da ogni diretta connotazione ideologica e politica. La rivolta della nuova poesia non si è limitata al rifiuto dello stile e dei temi cari al romanticismo, ma ha rivoluzionato gli schemi propri alla poesia araba: dal fatto che il verso dovesse essere diviso in due emistichi aventi tutti la stessa rima all'interno del componimento, al fatto che esso dovesse essere composto in uno degli schemi metrici della poesia araba preislamica, corrispondenti ciascuno ad un certo numero e ad una sequenza di piedi fissati una volta per tutte.

I nomi legati ai primi esperimenti del "verso libero" (*al-šiʿr al-ḥurr*) − e cioè di una poesia composta, con o senza rima, utilizzando come unità di base un singolo piede (*tafʿīla*) invece che un singolo metro − sono quelli della poetessa Nāzik al-Malāʾika e del poeta Badr Šākir al-Sayāb, entrambi iracheni, e risalgono al 1947.[32] Tuttavia, molti giovani poeti arabi, tra i quali Yūsuf al-Ḫāl, condussero nello stesso periodo esperimenti sulla forma poetica approdando indipendentemente a risultati simili. Malgrado la ricerca dei giovani poeti fosse primariamente di tipo formale, è innegabile che ad essa si accompagnasse un allontanamento dai temi cari al romanticismo.[33]

Ulteriore evoluzione del "verso libero" (*al-šiʿr al-ḥurr*) è il "poema in prosa" (*qaṣīdat al-naṯr*) e la "poesia in prosa" (*al-šiʿr al-manṯūr*), legata ai nomi di Yūsuf al-Ḫāl e di Adūnīs. Le nuove forme poetiche − nate sotto l'influenza della poesia occidentale e aspramente criticate dall'*establishment* letterario arabo, fortemente

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[32] L'uso del verso libero apparve per la prima volta nel 1947 nelle poesie *Hal kāna ḥubban* "Era forse amore?" di al-Sayāb (1926-1964) e *Al-kūlīra* "Il colera" di al-Malāʾika (1922-2007). Gli sforzi innovativi dei due poeti non possono considerarsi indipendenti, essi infatti erano soliti incontrarsi a Bagdad per discutere di poesia e scambiarsi opinioni circa la possibilità di nuove forme prosodiche.

[33] Cfr. M.M. Badawi, *A critical introduction to Modern Arabic Poetry*. Cambridge, Cambridge University Press, 1975.

conservatore − non fanno uso dei metri tradizionali, non utilizzano anzi alcuno schema regolare, ma si basano piuttosto sull'eufonia, sul ritmo, sull'immagine e solo occasionalmente sulla rima o l'allitterazione.

Secondo Adūnīs, che fa costantemente riferimento a Suzanne Bernard[34] nei suoi scritti di poetica, la forma libera della "poesia in prosa" è il mezzo più adatto all'espressione della sensibilità moderna. È implicito che a tale graduale rivoluzione formale siano profondamente legati atteggiamenti e prese di posizione sempre più rivoluzionari nei confronti della cultura araba tradizionale e delle sue convenzioni, non esclusivamente letterarie. Badawi sottolinea che "*[...] the formal rebellion was by no means a mere matter of the external form of the verse, but was intimately associated with a more general attitude towards traditional Arab society and culture.*"[35] Tuttavia, già nel saggio "Un tentativo di definire la nuova poesia", inizialmente pubblicato su *Šiʿr* nel 1959,[36] Adūnīs afferma qualcosa di ancora più profondo circa la nuova poesia, quando scrive che:

Forse il modo migliore di definire la nuova poesia è dire che è una visione. Per sua natura una visione è un salto fuori dai concetti del presente. È pertanto un cambiamento nell'ordine delle cose e nel modo di guardare ad esse. Quindi a prima vista la nuova poesia appare essere una rivolta contro le forme e i metodi della poesia antica, un rifiuto dei suoi stili e delle sue convenzioni, che non sono più necessari.[37]

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[34] S. Bernard, *Le Poème en Prose de Baudelaire jusqu'à nos jours*. Paris, 1959.

[35] M.M. Badawi, *A Short History of Modern Arabic Literature*. Oxford, Oxford University Press, 1993, p. 74.

[36] Lo stesso saggio è stato riproposto nel 1971 con il titolo "Esplorando un mondo che ha costantemente bisogno di esplorazione", titolo che può essere ricondotto al surrealista francese René Char, tanto alla sua esplorazione delle immense possibilità della lingua quanto alla sua "esplorazione dei sogni".

[37] Adūnīs, *Zaman al-šiʿr* "Il Tempo della Poesia". Bayrūt, 1972, p. 9.

Ciò per quanto riguarda la forma, che è appunto l'apparenza, ma, per quanto riguarda il contenuto – che costituisce il suo livello più profondo –, la nuova poesia esprime le ansie esistenziali del poeta, ansie che da una parte sono legate alla sua epoca e alla società in cui egli vive, ma dall'altra emergono dal suo io come problematiche eterne. Adūnīs afferma infatti che:

La nuova poesia emana da una sensibilità metafisica, che avverte le cose attraverso una modalità rivelatoria. Una modalità adeguata alla loro essenza e alla loro vera natura, le quali non possono essere catturate attraverso la ragione e la logica, ma solo attraverso l'immaginazione e i sogni. Da questo punto di vista, la nuova poesia è la metafisica dell'esistenza umana.[38]

La ricerca formale di Adūnīs ha molto a che vedere con la poesia dei mistici islamici, intesa come tentativo di esprimere l'inesprimibile: l'ineffabile esperienza dell'Essere. È infatti l'intuizione metafisica, ben lontana dallo psicologismo e dal soggettivismo, che egli si sforza di rappresentare attraverso una tecnica che, benché svincolata dagli schemi prosodici tradizionali, rifiuta ogni tipo di semplificazione linguistica e strutturale.

L'opacità e l'illogicità della nuova poesia sono in Adūnīs una conseguenza del fatto che la visione poetica è rivelazione, rivelazione attraverso la parola e l'immagine di ciò che la parola e l'immagine svelano e velano al contempo. La poesia come visione e rivelazione fa uso del linguaggio e al contempo si rivolta contro di esso in quanto strumento che non può accedere se non ai fenomeni. Il linguaggio della nuova poesia visionaria e metafisica può esistere quindi solo al di là della convenzione formale. È sulla base di tali rivoluzionarie e profondissime riflessioni sul rapporto tra poesia e linguaggio che si può affermare con Badawi che "*with Adunis it can be said that modernism in modern Arabic poetry has been achieved*."[39]

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[38] Ibid., p. 10.

[39] M.M. Badawi, *A Short History of Modern Arabic Literature*. Oxford, Oxford University Press, 1993, p. 75.

D'altronde, la commovente traduzione inglese[40] dell'ultima poesia contenuta nella raccolta *Al-masraḥ wa-al-marāyā* "Il teatro e gli specchi", recita:

> *Histories are mirrors*
> *Civilizations are mirrors*
> *They are all breaking...*
> *I can hear voices singing in my ashes*
> *I can see them walking like children of my country.*

Queste poche righe, che alludono al Paese e alla cultura originaria del poeta tanto quanto all'universo metafisico di T.S. Eliot,[41] profetizzano che la scomparsa – o meglio, in termini mistici, l'annichilimento – dell'ordine attuale è necessaria perché possa nascere un ordine nuovo. Se è vero che il modernismo è qualcosa che i poeti arabi "*absorbed when they fell under the spell of such major 'modernist' figures in twentieth-century Western poetry*",[42] fu proprio durante gli anni Sessanta – e specialmente tra i poeti i cui nomi sono associati alla rivista letteraria libanese *Ši'r* - che "*modernity or newness became a positive value in itself.*"[43]

3. **Due canti sulla donna e sull'uomo, tre sogni e tre specchi**

Come afferma Badawi,[44] "*[...] it can safely be said that during the second half of the twentieth century a new and crucial phase in the*

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[40] M.M. Badawi, *A critical introduction to Modern Arabic Poetry*. Cambridge, Cambridge University Press, 1975, p. 239.

[41] Nella traduzione inglese di M.M. Badawi, i versi di Adūnīs ne riportano inevitabilmente alla mente alcuni di T.S. Eliot (*Prufrock and Other Observations*: *The Love Song of J. Alfred Prufrock*, 124-126): *I have heard the mermaids singing, each to each. / I do not think that they will sing to me. / I have seen them riding seaward on the waves /.*

[42] M.M. Badawi, *A Short History of Modern Arabic Literature*. Oxford, Oxford University Press, 1993, p. 74.

[43] Ibid.

[44] Ibid., p. 73.

pursuit of modernity in modern Arabic poetry set in. At no other period in the history of Arabic poetry has the call for modernity been louder or more persistent." Se gli anni Cinquanta sono quelli della fondazione di nuove riviste letterarie che ospitano sperimentazioni poetiche e traduzioni dalle maggiori esperienze contemporanee occidentali, gli anni Sessanta sono quelli di una nuova produzione poetica in lingua araba che rappresenta un taglio netto con la tradizione. Come sottolinea Badawi,[45] "*[...] Arab poets needed time to digest earlier phases of European poetry before being able to respond favourably to the avant-gard obscure and sophisticated verse produced in twentieth-century Europe.*"

In particolare, le opere degli anni Sessanta di Adūnīs rappresentano un taglio netto tanto con la tradizione araba quanto con la sua stessa produzione poetica precedente. È proprio sulla base dei traguardi poetici raggiunti da Adūnīs negli anni Sessanta che si può affermare che "*his influence on the subsequent development of contemporary Arabic poetry is probably greater than that of anybody else [...]*".[46]

Il gruppo di otto poesie che va sotto il titolo di "Due canti sulla donna e sull'uomo, tre sogni e tre specchi", appartenenti alla raccolta *Il teatro e gli specchi* pubblicata a Beirut nel 1968[47] e presentate qui per la prima volta in traduzione italiana, costituiscono un breve ma prezioso ciclo compiuto in se stesso e un esempio interessante per temi e stile dell'opera del raffinato poeta siro-libanese.

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[45] M.M. Badawi, *A Short History of Modern Arabic Literature*. Oxford, Oxford University Press, 1993, p. 74.

[46] Ibid., p. 75.

[47] Nella raccolta di Adūnīs, *Il teatro e gli specchi 1965-1967* (المسرح والمرايا 1967-1965). Bayrūt, Dār al-Ādāb, 1968, il breve ciclo di otto poesie (pp. 26-35) va in realtà sotto il titolo "Il tempo frantumato" (الزمان المكسور). Successivamente, nell'edizione dell'opera completa di Adūnīs, *al-Ātār al-kāmila* "Resti completi". Bayrūt, Dār al-'Awda, 1971, lo stesso breve ciclo (pp. 293-302) compare sotto il titolo "Due canti sulla donna e sull'uomo, tre sogni e tre specchi" (أغنيتان عن المرأة والرجل وثلاثة أحلام وثلاث مرايا).

Adūnīs e i suoi "Due canti sulla donna e sull'uomo..."

Emerge subito in esse, come nelle opere più significative di Adūnīs, una duplicità di componenti. Da una parte la profonda conoscenza della – e la provenienza dalla – tradizione poetica araba, testimoniata non solo dall'evocazione di palmeti, cavalcature, talismani, gelsomini, razzìe, ampolle, caraffe, bricchi, incenso, cupole e gemme, ma anche dall'utilizzo di una lingua araba letteraria che rimane distaccata e distante dal linguaggio quotidiano. Un linguaggio "elevato", un classicismo grammaticale e sintattico che dimostra di continuare ad ammirare la lingua araba in quanto linguaggio intellettuale e cerebrale. Adūnīs stesso lo ha descritto attraverso le parole di Jacques Berque come un linguaggio che "discende sulla vita ma non ascende da essa".[48] L'avventura linguistica del poeta siro-libanese, come afferma Salma Jayyusi:

[...] arises from the very heart of the classical tradition at its best, and it exhibits great affinity with the diction of the Islamic mystics [...]. Writing in a diction as far removed from common speech as possible, he shunned direct statement and invested his language with mystery, obliquity, and connotativeness, always creating new combinations of words that contravened the conventional, logical sentence order.[49]

Oltre all'utilizzo di una lingua araba che volutamente rimane legata ai canoni di un arabo classico "illuminato dal genio del poeta" – genio che Badawi individua nella riscoperta del potenziale "moderno" della lingua araba, fatto di possibilità connotative, significati dimenticati e dimensioni metaforiche latenti[50] -, nel breve ciclo presentato in questo articolo si riscontra anche l'utilizzo – anche questo "illuminato" – dell'antichissima tecnica del *waṣf* "descrizione". Un esempio ne è l'uso di sequenze di similitudini concatenate – che ho cercato di mantenere nella traduzione in italiano – che si sviluppano a partire da un oggetto primario per esplorarne altri come immagini tanto autonome quanto orbitanti

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[48] Adūnīs, "Arabic poetry and the problem of innovation". *Šiʿr* 21, 1962.

[49] J.K. Jayyusi (a cura di), *Modern Arabic Poetry: An Anthology*. New York Oxford, Columbia University Press, 1987, p. 27.

[50] Cfr. M.M. Badawi (a cura di), *Modern Arabic Literature*. Cambridge, Cambridge University Press, 1992, p. 164.

attorno al primo, come nella quarta poesia della breve serie: *Abito il volto di una donna* /[donna] *che dimora in un'onda* / [onda] *sospinta dalla marea verso una spiaggia* / [spiaggia] *che ha perso tra le sue conchiglie il porto.*

Di contro, vi è un'aderenza profonda alla cultura poetica del novecento europeo. Questa modernità espressa in un linguaggio a tratti asciutto e scarno, sofisticato ma lontano dalla vuota forbitezza e dal tono aulico o sentimentale della poesia araba precedente, tanto da richiamare piuttosto Kavafis o Ungaretti, è ancor prima che una modernità nella forma una modernità di temi, di significati. Alcuni di questi, che ricorrono come trame interne a tutte le poesie – a volte in modo evidente e dichiarato persino nei titoli – sono il tema del Sogno e quello dello Specchio, peraltro veri e propri *leitmotiv* della letteratura del Novecento. Inutile qui ricordare l'importanza simbolica di tali temi nel pensiero moderno, da Freud a Baltrušaitis,[51] da Schnitzler a Borges. Tuttavia, è interessante notare come anche qui il sogno e lo specchio divengano simboli di un'introspezione, di una ricerca di sé, della propria interiorità e della propria identità, di qualcosa di sconosciuto e inconoscibile. Due temi, il sogno e lo specchio, che attengono alla fuggevolezza della visione: queste poesie sono infatti tutte costruite per giustapposizioni di immagini, evocazioni di oggetti, di azioni, di gesti, che appaiono per scomparire subito dopo: *ho intravisto*; *mi sono dissolto*; *nel quale naufragano*; *così come siamo sorti siamo tramontati*; *siamo apparsi e scomparsi*; *si incrina la notte*; *vedo l'infanzia / di sfuggita.*

La tematica del sogno è rappresentata efficacemente dalle immagini potentemente arealistiche e arazionali, né vi è alcuna volontà di esplicitare o spiegare al lettore ciò che si presenta come assurdo. Piuttosto vi è lo sforzo di evocare, attraverso immagini che trovano un non meglio definito legame nel subconscio, percezioni della realtà psicologica e ontologica. Ciò lascia ampio margine

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[51] Come si legge sul risvolto dell'edizione Adelphi (2007) de *Lo specchio: rivelazioni, inganni e science-fiction* di J. Baltrušaitis, "la catottrica non è soltanto una scienza delle riproduzioni esatte della realtà, è anche scienza di un surrealismo visionario".

all'interpretazione soggettiva, ma ha sicuramente a che fare con una ricerca di se stessi e dell'altro, che appare come perduta sia nel tempo sia nello spazio. È importante sottolineare qui che Adūnīs mette in guardia contro un uso non controllato delle immagini, le quali non dovrebbero mai giungere a dominare completamente il componimento poetico. Egli infatti ritiene che "la grandezza e l'importanza delle immagini è condizionata dalla capacità di queste di svelare la luce della visione poetica".[52]

Il tema della città, che appare fugacemente nella prima delle otto poesie, costituisce anch'esso un autentico simbolo modernista. Introdotto dal poeta iracheno al-Sayyāb come simbolo di sterilità, aridità e squalllore e giustapposto all'immagine del suo villaggio natale Ǧaykūr, simbolo di innocenza, fertilità e abbondanza, è stato ripreso – sempre in connotazione negativa - da altri poeti modernisti. Nel primo "Canto dell'Uomo", il riferimento alla città può essere interpretato come simbolo di quell'Occidente che il poeta "porta con sé" e dal quale non può più o non vuole più sganciarsi.

Nella poesia di Adūnīs troviamo molti topoi che rimandano al contempo ad un immaginario occidentale e ad un passato per noi esotico, quali quello del viaggio, del girovago, del viandante e dei Magi erranti. Vale la pena di notare che *al-raḥīl* "il viaggio" è una delle "tappe obbligate" del componimento politematico preislamico (*qaṣīda*), la cui struttura tematica convenzionale è stata codificata nel IX secolo. Il viaggio, elemento fondante per l'antica società beduina, rappresentato in massima parte non nel momento dell'accadimento bensì rivissuto attraverso la memoria, viene affrontato dal poeta per mezzo della sua "cavalcatura". La stessa *qaṣīda*, dal verbo *qaṣada* "dirigersi verso", è la metafora di un viaggio, scandito da tappe obbligate che portano ad una meta, lo scopo (*qaṣd*) del componimento stesso, normalmente l'encomio di un *sayyid* "signore" (capo tribù) o di un re. Il primo tema, il preludio amoroso (*nasīb*) prevede che il poeta ritorni sul luogo dov'era un tempo l'accampamento dell'amata. Accampamento e amata non ci sono più, sono "scomparsi", ne rimane solo il ricordo (secondo

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[52] Cfr. Adūnīs, *Zaman al-šiʿr* "Il Tempo della Poesia". Bayrūt, 1972, pp. 231-232.

tema). Il viaggio segue quindi alla "liberazione" (*taḫalluṣ*) dalla "nostalgia" provocata dagli "spazi vuoti" dell'accampamento, dove in un tempo passato, anche remoto, il poeta aveva incontrato l'amata.

In *Due canti sulla donna e sull'uomo, tre sogni e tre specchi*, il personaggio dell'Uomo ha a che fare con la "nostalgia" – che nella prima poesia "'sella' come propria cavalcatura" piuttosto che "liberarsene". Ha a che fare con l'anelito verso il "ritorno", ma anche con un viaggiare "disorientato", "errante" e "dimentico". Ciò che nel breve ciclo si riferisce alla Donna, invece, ha più a che fare con l'attesa, l'aspettare il ritorno di qualcuno, il proteggere, l'infanzia, il donare.

Le otto composizioni si presentano come un dialogo tra i due protagonisti. Il dialogo appare però solo alla lettura della serie dei componimenti ma mai all'interno di questi. Ciascun componimento, apprezzabile anche in se stesso, separatamente dagli altri, vive come fosse una monade, isolato da distanze vuote e silenziose. Più che un dialogo, si potrebbe dire che l'insieme delle otto poesie rappresenti un "metadialogo" tra due incomunicabilità complementari o un dialogo tra archetipi, chiusi ciascuno nel proprio universo solipsistico, in attesa di un incontro che non avviene se non attraverso un introspettivo intravedere. L'Uomo e la Donna hanno al contempo un che di antico e di surreale, i personaggi non sono caratterizzati attraverso la loro individualità, bensì incarnano più degli archetipi che dei tipi umani.

La trama è assente o solo evocata per accenni imprecisi e lascia il posto ad un sentimento, anche questo molto moderno, di assenza, di perdita e di vuoto che pervade lo spazio delle composizioni. Il racconto di ciò che i protagonisti vedono o sognano è il racconto di due incomunicabilità e di due assenze. È come se i due personaggi si percepissero solo attraverso l'immagine che hanno dell'altro, senza potersi raggiungere. L'intera serie è permeata dalla nostalgia.[53] L'Uomo e la Donna appaiono come pianeti che si muovono su orbite distanti, mondi isolati dal silenzio, visioni fuggitive, canti

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[53] Nella mistica sufi, la nostalgia è l'anelito che prova la creatura, "il relativo finito", verso "l'assoluto infinito" da cui è attratta.

innalzati nel buio del vuoto. Il casuale e estemporaneo incontro tra la Donna e l'Uomo nelle vuote distanze cosmiche diventa, nella terza poesia, un evento tanto miracoloso e sacro quanto la nascita del Messia.

La volontà di evocare dei contenuti di introspezione e di analisi esistenziale passa attraverso l'uso di una costruzione del testo tutta svolta per immagini. I due *sogni ad occhi aperti della donna nel caffè* rappresentano lo sforzo di ricreare attraverso immagini ciò che viene evocato in modo non analitico e non strutturato anche da parte del soggetto. Da una parte vi è il tentativo di creare attraverso immagini non strutturate e giustapposte uno stato di percezione visionaria che rimane tra il sogno e il ricordo, dall'altra lo sforzo di fermare in immagini evocative quel flusso di coscienza, quei collegamenti inconsci non comunicabili, ciò che non è propriamente pensiero né è sogno bensì coincide con la nostra stessa percezione del mondo.

Il flusso delle immagini risulta frammentato, così come frammentato è il respiro poetico, ritmato da accensioni appena evocate che subito si spengono per lasciare il posto ad altre. Tale brevità, tale voluto non soffermarsi, genera la sensazione dell'estemporaneità e dell'inaccessibilità, di un breve accendersi, di un'inafferrabile intermittenza. Un'intermittenza, un "tempo frantumato"[54] che non perviene a ritrovare il senso degli

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[54] La tematica del "tempo" nella poesia araba contemporanea è ampiamente trattata nel saggio di S.K. Jayyūsī, "Contemporary Arabic Poetry: Vision and Attitudes", in R.C. Ostle (a cura di), *Studies in Modern Arabic Literature*. London, SOAS, 1975. 46-68. Riferendosi ai poeti dell'*avant-garde*, Jayyūsī (p. 59) afferma che "*They might have had in mind Saint John Perse's application of time in his poetry. [...] 'Nothing in the drama of his time is alien to him [the poet]'.*" e aggiunge che "*The philosophy of Bergson concerning time, the element which helps us to become aware of our spiritual life, and Proust's magnificent treatment of memory and recapturing of lost time, then James Joyce's experiment in Ulysses, and his description of the 'amorphous quality of inner experience, the boundless of the stream of time by which the soul is borne along', all these may have exerted their influence on the more sophisticated poets, either directly or indirectly [...]*". Tuttavia, il fatto che nella prima pubblicazione di المسرح والمرايا

avvenimenti attraverso la memoria. Come nel sogno, l'autore focalizza l'attenzione su singoli oggetti o azioni che però risultano decontestualizzati, nel senso che non viene precisato o caratterizzato il contesto, mentre ogni parola concorre a creare il mosaico di percezioni che il poeta vuole far esperire al lettore.

Franco Loi[55] afferma che "occorre leggere questo poeta siriano come una voce nostra, come un'anima delle nostre". Tuttavia, e non solo a mio avviso,[56] tutta la vita del poeta e la sua produzione poetica e critica fanno piuttosto di lui una figura a cavallo di due universi, quello orientale e quello occidentale. Ciò mi pare d'altronde coerente con il suo affermare che affinché ciascuna cultura possa contribuire allo sviluppo della civiltà umana occorrerebbe esplorare la propria eredità culturale, sfruttarne gli aspetti positivi e unirli quindi agli aspetti positivi di altre civiltà.[57] Egli non è tuttavia solo un "ponte" tra civiltà. Infatti, oltre a creare un nuovo linguaggio poetico, profondamente radicato nella cultura araba e al contempo adeguato ad esprimere la sensibilità contemporanea, attraverso la sua poesia esistenziale-metafisica Adūnīs ha voluto porsi come un "velo", termine utilizzato dalla

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"Il teatro e gli specchi" (Beirut, 1968) il ciclo delle otto poesie denominato in *al-Ātār al-Kāmila* - l'edizione dell'opera completa di Adūnīs (Beirut 1971) - *Due canti sulla donna e sull'uomo, tre sogni e tre specchi* andasse sotto il titolo di الزمان المكسور "Il tempo frantumato" è un fatto emblematico di una concezione del tempo in Adūnīs che denuncia l'impossibilità o l'incapacità di approdare a ciò a cui Proust si riferisce come "il tempo ritrovato".

[55] Franco Loi, introduzione a Adonis, *Libro delle metamorfosi: poesie scelte 1957-1997*, a cura di F. Al Delmi e S. De Zan. Roma, Fondazione Piazzolla, 1998, p. 10.

[56] Al proposito si veda ad esempio: S. Zeghidour, *La poésie arabe moderne entre l'Islam et l'Occident*. Paris, Karthala, 1982 e A. Mengozzi, "Corde di una sola chitarra. Poesia e poetica araba, Oriente e Occidente in Adonis", in M.S. Da Re, F. Melzi d'Eril e F. Zicchiero (a cura di), *Poesia e poetiche da Oriente a Occidente*. DINTORNI, 5 (2008), 71-92.

[57] Cfr. A. al-Udhari (a cura di), *Victims of a Map*. London, Saqi Books, 2005 [1984], p. 87.

letteratura mistica musumana a rappresentare l'esperienza delle due facce della realtà, un ''velo'' tra l'esser nel mondo e l'Essere.

4. **Da "Il teatro e gli specchi" (المسرح والمرايا)**

<div align="center">

الزمان المكسور
Il tempo frantumato
أغنيتان عن المرأة والرجل وثلاثة أحلام وثلاث مرايا
Due canti sulla donna e sull'uomo, tre sogni e tre specchi[58]

I
أغنية للرجل
جانبيّاً،
رأيتُ وجهكِ مرسوما على جذْع نخلةٍ
ورأيتُ الشمس سوداء في يديكِ،
فأسرجتُ حنيني إلى النخيلِ، حملتُ الليل في سلةٍ،
حملتُ المدينةْ
وتناثرتُ حول عينيكِ، أستطلعُ وجهي –
رأيتُ وجهكِ جوعاناً كطفلٍ،
حوّطتُه بالتعاويذِ
وفتَّتُ فوقه ياسمينةْ.

Canto dell'uomo
*Ho intravisto
il tuo volto disegnato sul tronco di una palma,
poi il sole nero nelle tue mani.
Allora ho sellato la mia nostalgia verso il palmeto, ho portato con
me la notte in un cestino,
ho portato con me la città.
Mi sono dissolto attorno ai tuoi occhi, cercando il mio volto -
Ho visto il tuo volto, affamato come un bimbo,
l'ho circondato di talismani
e l'ho cosparso di petali di gelsomino.*

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[58] Le otto poesie che compongono il breve ciclo sono tradotte dall'arabo dall'autrice del presente articolo.

II
أغنية للمرأة
جانبِيّاً
رأيتُ وجهكَ شيخاً
سرقَتْهُ الأيام والأحزانُ
جاءَني حاضناً قواريرَه الخضراء يستعجل العشاءَ الأخيرَا
كلّ قارورةٍ خليجٌ وأعراسُ خليج ومركبٌ
تغرق الأيام فيه وتغرق الشُّطَآنُ
حيثُ تَسْتَكْشِف النوارسُ ماضيها ويَسْتَشْعِرُ الغَدَ
الربانُ
جاءَني جائعاً، مددتُ له حبّي
رغيفاً ودورقاً وسريراً
وفتحتُ الأبوابَ للريح والشمس، وشاركته العشاء
الأخيرَا.

Canto della donna

Ho intravisto
il tuo volto invecchiato,
saccheggiato dai giorni e dalle tristezze.
Mi è venuto incontro portando tra le braccia le sue verdi ampolle,
supplicando l'ultima cena.
Ogni ampolla è un mare agitato - e sirene marine e bastimenti -
nel quale naufragano i giorni e naufragano le spiagge,
là dove i gabbiani vanno alla ricerca del loro passato e il timoniere
avverte già il domani.
Mi è venuto incontro affamato, io gli ho porto il mio amore
quale pane e caraffa e giaciglio.
Ho spalancato le porte al vento e al sole e sono rimasta con lui
per l'ultima cena.

III
المجوس
(حلم للرجل)
كان في وجهكِ المسافر، في وجهيَ

نجمٌ، وكان ليلٌ يجوسُ
وتَلاقَتْ يدانا
تَلاقَتْ خُطانا
وتَلاقَتْ رؤانا
وهَبَطْنا، رأينا وغبنا
وظهرنا وغبنا
وأتى بعدنا المَجُوسُ.

I Magi
(Sogno dell'uomo)
Splendeva sul tuo volto girovago, sul mio volto,
una stella. La notte spiava.
Le nostre mani si sono incontrate,
si sono incontrati i nostri passi,
si sono incontrati i nostri sogni.
Poi è sceso il nostro crepuscolo, così come siamo sorti siamo
tramontati,
siamo apparsi e scomparsi,
e i Magi hanno seguito la nostra luce.

IV
وجه المرأة
(حلم للرجل)
سَكنتُ وجه امرأة
تَسكُن في موجةٍ
يقذفها المدُّ إلى شاطِئ
ضيّع في أَصدافه مرفأه.
سكنتُ وجه امرأة
تُميتني، تُحبُّ أن تكونْ
في دميَ المُبحِر حتى آخر الجنونْ
مَنارةً مطفأه.

Volto di donna
(Sogno dell'uomo)
Abito il volto di una donna

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che dimora in un'onda
sospinta dalla marea verso una spiaggia
che ha perso tra le sue conchiglie il porto.
Abito il volto di una donna
che mi fa morire, le piace scorrere
nel mio sangue che naviga fino all'estrema follia
a faro spento.

V
الطريق
(حلم للرجل)
الطريقُ امرأه
وضعَتْ راحَةَ المسافرِ في راحةِ العشيقْ
ملأتْ راحةَ العشيقْ
بالحنين وأصدافهِ،
امرأة
حُلْمٌ صيَّرَتْهُ امرأه
مركباً ضيّقاً كالجناحْ
لابساً وردةَ الرياحْ
ناسياً مَرفَأْه.

La strada
(Sogno dell'uomo)
La strada è una donna
che ha posto la mano del viandante nella mano dell'amante.
Ha colmato la mano dell'amante
di desiderio e di conchiglie.
Una donna,
un sogno che una donna ha trasformato
in una barca stretta come ala
che sfida la rosa dei venti
dimentica del porto.

VI
مرآة لحظة ما
(أغنية الرجل في الليل)
صاعِدٌ؟ كيفَ؟
لا جبالكِ من نار
ولا في ثلوجها أدراجُ
لكِ في وجهيَ الكَتُوم
رسالاتُ حنينٍ
وفي دمي أبراجُ
كلما قلتُ: أصعَدُ
انكَسَر الليلُ
وضاقَ الحنينُ والمعراجُ.

Lo specchio di un istante
(Canto dell'uomo nella notte)
Salire? E come?
Le tue montagne non sono di fuoco
né vi sono scalini sui loro ghiacci.
Per te sul mio volto silenzioso
sono scritte parole di malinconia
ma nel mio sangue si ergono baluardi.
Ogni volta che dico: "Salgo"
si incrina la notte
e si fa più aspra l'ascesa
e il desiderio.

VII
مرآة للكرسي
(حلم يقظة للمرأة في المقهى)
كُرْسِيّكَ الشائخُ كان طفلاً
أعطيتُه يَدِيٌ
عقدينْ دميتينْ – كم تَدَلَّى
وجاعَ، واسترسل حولَ صدري
كم طاف واستراح في عينيٌّ.
لو يُنسَخُ الكرسيُّ، لو يَصيرْ

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مُسافِراً، أو نظرةَ خجوله
لقلتُ في أهْدابِكَ الخجوله
أَلمحُ كلَّ ليلٍ
طفولةَ الكَرسيِّ، كلَّ ليلٍ
سهرتهُ،
وألمحُ الطفُولَه.

Lo specchio della sedia
(Sogno ad occhi aperti della donna nel caffè)
La tua vecchia sedia era un bimbo
al quale ho dato le mie mani
come fili di marionette – quanto vi si appese,
sentì fame e si accomodò sul mio petto.
Quanto si rigirò, per poi riposarsi nei miei occhi.
Se la sedia si potesse trasformare, se diventasse
un viandante, o uno sguardo timido
allora direi che tra le tue ciglia timide
vedo ogni notte di sfuggita
l'infanzia della sedia, ogni notte
che trascorro insonne, e vedo l'infanzia
di sfuggita.

VIII
مرآة للوقت
(حلم يقظة للمرأة في المقهى)
أدْعوكَ، أيَّامي بلا حارسٍ
وهذه المسافة المقفرهْ
وليمةٌ للحلم، عيدٌ من الحنينِ من أشجارهِ المثمره
أدْعوكَ أن تحضره.
ساريةُ الأحزان مرفوعةٌ
يا ليتَ لو ترتاحُ، لو تنحني
كالغُصن في رياحِها المضمره
وها هو الإبريق مرثيّةٌ
أو زهرةٌ،
والشايُ نافورةٌ

Adūnīs e i suoi "Due canti sulla donna e sull'uomo..."

أدعوكَ أن تصغيَ، هذا الصدَى
يجيئنا بالعُشْبةِ المُسكره.
... وغرّب الوقت، الحَنينُ ارتدى
ثيابَنا
صارَ البخورَ الذي
يلفُّ أهدابَنا
يخرجُ من قبّةٍ
قديمةٍ
تخرُجُ من جوهره.

Lo specchio del tempo
(Sogno ad occhi aperti della donna nel caffè)
Ti invito, i miei giorni non hanno guardiani
e questa distanza deserta
è un banchetto per il sogno, una festa fatta di nostalgia per i suoi
alberi pesanti di frutti.
Ti invito a venire.
La scia della tristezza si è sollevata:
magari potesse riposare, magari si piegasse
come un ramo ai suoi venti segreti.
Ecco, il bricco è un canto funebre
o un fiore
e il tè una fontana.
Ti invito ad ascoltare, questa eco
porta con sé erba intossicante.
... Si fa sera,
il desiderio ha indossato
i nostri abiti.
È diventato l'incenso che
avvolge le nostre ciglia.
Si effonde da una cupola
antica
che sporge da una gemma.

Manuela E.B. Giolfo

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SEXUALDELIKTE UND IHRE AHNDUNG IN WESTGERMANISCHEN RECHTSQUELLEN

Claudia Händl

This paper discusses rape in Anglo-Saxon, Langobardic and Middle Low German legal texts. It addresses questions of terminology, as well as cultural and legal aspects, in particular the legal consequences for offenders and victims. In some cases a consideration of legal texts of other West Germanic peoples leads to a more nuanced picture of similarities and differences in the various cultural and linguistic ambits, and indicates possibilities for further investigations.

In relation to language, the paper demonstrates that the vernacular terminology of these texts makes use of specialized and common terms, the legal meaning of which only emerges from the context. The focus is here on the strategies of terminological contextualization and differentiation each Germanic language adopts in the specific case.

From the point of view of the history of culture and law, it is principally notable that all these sources are familiar with forced sexual intercourse and treat it as a punishable crime. While in older texts sexual violence against women is usually considered a crime for which a monetary compensation is exacted, different according to family and status of victims, more recent texts dictate in all instances severe penalties for demonstrated rape, thus revealing a radical change of attitude towards offenders.

Zusammenfassung

In der vorliegenden Untersuchung zum Sexualdelikt der Notzucht in westgermanischen Quellen werden die Ausprägungen des Delikts im angelsächsischen, langobardischen und mittelniederdeutschen Bereich anhand ausgewählter Texte untersucht, wobei neben terminologischen Fragestellungen auch kultur- und rechtshistorische Aspekte behandelt werden, insbesondere was die rechtlichen Folgen für Täter und Opfer betrifft. Ein gelegentlicher Seitenblick auf Rechtstexte anderer westgermanischer Völkerschaften dient dazu, Gemeinsamkeiten und Unterschiede in den verschiedenen Sprach-

und Kulturräumen deutlicher herausarbeiten und Möglichkeiten weitergehender Untersuchungen aufzeigen zu können.

Was den sprachlichen Aspekt der Untersuchung betrifft, wird gezeigt, dass die benutzte volkssprachliche Terminologie sich sowohl aus juristischen Fachbegriffen als auch aus allgemeinen Termini, deren rechtliche Bedeutung erst aus dem Kontext hervorgeht, zusammensetzt, wobei in den untersuchten Texten die unterschiedlichsten Strategien zur terminologischen Kontextualisierung und Differenzierung eingesetzt werden, die sich auch der in den verschiedenen germanischen Sprachen angelegten Möglichkeiten der Neuformungen mittels hergebrachter Wortbildungsmuster bedienen.

Aus kultur- und rechtshistorischer Sicht ist vor allem bemerkenswert, dass alle untersuchten Gesetzestexte den Tatbestand des gewaltsamen Erzwingens einer sexuellen Handlung kennen und als ein zu ahndendes Delikt behandeln. Während in den älteren Texten sexuelle Übergriffe einer weiblichen Person gegenüber im Allgemeinen durch Kompensationszahlungen und Strafgelder geahndet werden, die je nach Stammesrecht und Standeszugehörigkeit des Opfers unterschiedlich ausfallen, sehen die jüngeren Texte in allen Fällen eine harte und strenge Bestrafung eines erwiesenen Notzuchtverbrechens vor und zeigen somit eine radikal gewandelte Einstellung dem Täter gegenüber.

0. Vorbemerkung

Mein Beitrag steht im Zusammenhang eines umfangreicheren Forschungsvorhabens, das sich mit Rechtsvorstellungen und Rechtsterminologie in westgermanischen Rechtsquellen auseinandersetzt und dabei insbesondere der Frage nachgeht, inwieweit man auf der Basis von Rechtstexten Rückschlüsse auf bestimmte gesellschaftliche Entwicklungen und sprachliche Phänomene ziehen kann.

Für die Erforschung von Sexualdelikten und ihrer Ahndung bei den Westgermanen bieten die Quellen bekanntlich reichhaltiges Material, doch muss ich mich im Rahmen des zur Verfügung

stehenden Raums hier auf die Diskussion eines einzigen Delikts in ausgewählten Quellen beschränken.

Ich wähle das Delikt der Notzucht, das im gewaltsamen Erzwingen einer sexuellen Handlung, insbesondere der Vergewaltigung, besteht. Dieses Verbrechen findet in zahlreichen westgermanischen Rechtsquellen Erwähnung, die eine Reihe von unterschiedlichen Rechtstermini für dieses Delikt belegen und über die Art und Weise seiner Ahndung Rechenschaft ablegen.

Meine Aufmerksamkeit gilt den Ausprägungen des Delikts, wie sie in den verschiedenen Quellen beschrieben sind, den rechtlichen Folgen für Täter und Opfer und, was die volkssprachlichen Belege betrifft, die benutzte Terminologie.

Der auch in der heutigen Rechtsprechung noch benutzte deutsche Rechtsterminus *Notzucht* löst frühere Termini wie *notnunft* seit der ersten Hälfte des 13. Jahrhunderts ab: seit Gustav Wahls Untersuchung der Geschichte des Terminus[1] gilt als ältester Beleg *noitzoch* in einer Kölner Urkunde von 1227.

1. Das Delikt der Notzucht in den angelsächsischen Quellen

Eine Durchsicht der angelsächsischen Rechtsquellen auf der Basis der vorliegenden Ausgaben[2] ergibt, dass das Delikt des gewaltsamen Erzwingens einer sexuellen Handlung (d.h. Notzucht) zum ersten Mal in Ælfreds Gesetzen, in Kap. 11, 25 und 29[3], belegt ist. Bemerkenswert ist, dass in Kap. 11 nicht nur vom Delikt der Vergewaltigung einer freien Frau und der Ahndung dieses Verbrechens die Rede ist, sondern auch von gewalttätigen Übergriffen in der Absicht, eine Frau zu vergewaltigen: solche

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[1] Gustav Wahl. „Zur Geschichte des Wortes Notzucht". *Zeitschrift für deutsche Wortforschung*, 9 (1907), 7-18.

[2] Felix Liebermann. *Die Gesetze der Angelsachsen*. Bd. I-III. Halle 1903-1916; F.L. Attenborough. *The Laws of the Earliest English Kings*. Cambridge, Cambridge University Press, 1922; A.J. Robertson. *The Laws of the Kings of England from Edmund to Henry I*, Cambridge, Cambridge University Press, 1925.

[3] Texte zitiert nach Attenborough 1922 (Anm. 2).

Übergriffe bedingen wie das Verbrechen der Vergewaltigung selbst einen Rechtsanspruch des Opfers auf Kompensationszahlungen:

Ælfred 11

*Gif mon **on** cirliscre fæmman **breost gefó**, mid v scill. [fíf] [scillingum] hire gebete.*

„Wenn jemand an die Brust einer gemeinfreien Jungfrau fasst, büße er ihr mit 5 Schillingen."

§ 1. *Gif he **hie oferweorpe** 7 **mid** ne **gehæme**, mid x scill. [tīen] [scillingum]gebete.*

„Wenn er sie niederwirft, jedoch nicht beschläft, büße er mit 10 Schillingen."

Auch die Ahndung der vollzogenen Vergewaltigung erfolgt durch Bußen nach dem Kompositionenprinzip:

Ælfred 11 § 2

*Gif he **mid gehæme**, mid LX scill. [sixtegum] [scillingum] gebete.*

„Wenn er sie beschläft, zahle er 60 Schillinge."

Einer gemeinfreien jungen Frau stehen bei erzwungenem Geschlechtsverkehr 60 Schillinge Kompensation zu, wenn sie noch Jungfrau ist, aber nur die Hälfte dieser Summe, wenn sie zuvor schon erwiesenermaßen Geschlechtsverkehr mit einem anderen Mann hatte:

Ælfred 11 § 3:

*Gif oðer mon **mid hire læge ǽr**, sie be healfum ðæm ðonne sio bot.*

„Wenn ein anderer Mann zuvor mit ihr gelegen hat, dann sei die Buße die Hälfte davon."

Dabei hat die Frau das Recht, gerichtlich mit einem Reinigungseid gegen eine Verleumdung vorzugehen, die darauf zielt, die ihr zustehende Kompensationszahlung zu vermindern:

Ælfred 11 § 4:

Gif hie mon teo, geladiege hie be sixtegum hida, oððe ðolige be healfre þære bote.

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> „Wenn sie [solch früherer Unkeuschheit] geziehen wird, reinige sie sich mit [Eid von] 60 Hufen [Land], oder gehe [des Empfangs] jener Buße um die Hälfte verlustig."

Ist das Opfer eine junge Frau höheren Standes, so erhöht sich ihr Recht auf Kompensationszahlung in Relation zu ihrem Wergeld:

> Ælfred 11 § 5:
> *Gif borenran wifmen ðis gelimpe, weaxe sio bot be ðam*
were.

> „Wenn dies einer Frau von höherer Geburt angetan wird, soll die Kompensationszahlung ihrem Wergeld entsprechend erhöht werden."

Der Vergewaltigungsversuch an einer gemeinfreien Frau wird also je nach Schwere mit einem Zwölftel bzw. einem Sechstel der Kompensation für die durchgeführte Vergewaltigung geahndet, die Kompensationszahlung für die versuchte oder gelungene Vergewaltigung ist an das Opfer selbst zu leisten.

Ælfred 18 behandelt schließlich den Sonderfall der versuchten Notzucht an einer Nonne:

> [*Be nunnena andfencgum*]
> *Gif hwa nunnan mid* **hæmeðþinge** *oðð̵e* **on hire hrægl** *oðð̵e* **on hire breost** <u>butan hire leafe</u> **gefó**, *sie hyt twybete swa we ær læwdum men fundon.*
> „[Über das Anfassen einer Nonne]
> Wenn jemand einer Nonne in der Absicht, Geschlechtsverkehr mit ihr zu haben, ohne ihre Erlaubnis entweder an ihr Kleid oder an ihre Brust fasst, so sei das doppelt so bußpflichtig, wie wir vorhin über eine Person des Laienstandes bestimmt haben."

Die entsprechende Kompensationszahlung ist dabei doppelt so hoch angesetzt wie bei einer dem Laienstand angehörenden Frau, was sich einerseits durch den wachsenden Einfluss der Kirche in der angelsächsischen Gesellschaft, andererseits durch die Abwesenheit männlicher Verwandter der Frau, welche die Angegriffene schützen

könnten, erklärt, ein Umstand, der eine höhere Bußzahlung als Abschreckungsmaßnahme in Betracht zieht.

In den eben diskutierten Fällen wird kein besonderer Rechtsterminus für den erzwungenen Beischlaf gebraucht, sondern das einfache Verb (*ge-*)*hæmen* „beischlafen"; dass es sich um Geschlechtsverkehr unter Gewaltanwendung handelt, wird aus den in Ælfred 11 und 11 § 1 behandelten, die Vergewaltigung vorbereitenden Delikten offensichtlich. Analog ist im Fall von Ælfred 18 dem Kontext zu entnehmen, dass *hæmeðþing* „Geschlechtsverkehr", im Grunde ein Kompositum ohne den Beigeschmack eines Delikts, gewaltsam weil ohne das Einverständnis der Frau stattfinden soll und es sich entsprechend um ein zu ahndendes Verbrechen handelt.

Doch finden sich in Ælfreds Gesetzen auch Belege für einen präzisen Fachterminus für das Delikt der Notzucht, der entsprechend auch ohne den Kontext unmittelbar als Bezeichnung für ein Verbrechen verstanden werden kann:

> Ælfred 25
> [*Be ceorles mennenes **nydhemede***]
> *Gif mon ceorles mennen **to nedhæmde geðreatað**, mid v scill. [fíf scillingum] gebete þam ceorle; 7 LX scill. [sixtegas] [scillingas] to wite.*
> „[Über die Notzucht an der Sklavin eines Gemeinfreien]
> Wenn jemand die Sklavin eines Gemeinfreien zur Notzucht zwingt, büße er dem Gemeinfreien mit 5 Schillingen; und [bezahle] 60 Schillinge als Strafgeld […]"

> § 1. *Gif ðeowmon ðeowne **to nedhæmde genede**, bête mid his eowende.*
> „Wenn ein Sklave eine Sklavin zur Notzucht zwingt, büße er mit seinem Zeugungsglied."

> Ælfred 29
> *Gif mon ungewintrædne wifmon **to niedhæmde geðreatige**, sie ðæt swa ðæs gewintredan monnes bot.*

„Wenn jemand eine unerwachsene weibliche Person zu Notzucht drängt, sei das [so hoch zu büßen] wie die Buße für einen Erwachsenen."

Der *Terminus technicus* für das Verbrechen lautet demnach *niedhæmed* „Vergewaltigung; erzwungener Beischlaf; ‚Not-Koitus'", ein Kompositum aus *nied*, *nyd* „Zwang, Gewalt" und *hæmed* „Geschlechtsverkehr, Koitus".

Die Rechtssituation in den ersten beiden Fällen betrifft den erzwungenen Geschlechtsverkehr mit einer Sklavin; die Ahndung des Delikts hängt von der gesellschaftlichen Stellung des Täters ab: ein freier Mann kommt mit einer Kompensationszahlung von fünf Schillingen an den Besitzer der Sklavin und mit einem zwölfmal so hohen Strafgeld (das wohl an den König zu leisten war) davon; ist der Täter ein Sklave, büßt er mit einer Gliederstrafe mit eindeutigem Bezug auf das Delikt, nämlich mit Kastration.

Der dritte Fall behandelt den erzwungenen Geschlechtsverkehr mit einer nicht erwachsenen weiblichen Person: in diesem Fall wird die gleiche Buße fällig wie bei einer erwachsenen Frau, die, wie wir oben gesehen haben, in Ælfred 11 § 2-5 je nach den entsprechenden Umständen festgelegt ist.

Weitere Belege für den erzwungenen Geschlechtsverkehr und seine Ahndung finden sich in den Gesetzen Æþelræds und Knuts, wobei im Terminus *niedniman* „gewaltsam wegnehmen/gewaltsam [zur Frau] nehmen" auch die Konnotation des Frauenraubs mitschwingt. In den oben angesprochenen Fällen handelt es sich um erzwungenen Geschlechtsverkehr schlechthin, in den Gesetzen Æþelræds und Knuts scheint es sich um erzwungenen Geschlechtsverkehr im Sinne einer Raubehe zu handeln. Dies erklärt auch den terminologischen Unterschied in den Belegen:

> Æthelred VI, 39
> *7 gif hwa nunnan **gewemme** oþþe wydewan **nydnæme**, gebete þæt deope for Gode 7 for worolde.*

> „Und wenn jemand eine Nonne verführt[4] oder eine Witwe vergewaltigt, leiste er tiefe Buße nach kirchlichem und nach weltlichem Recht."

Diese Stelle ist ein interessanter Beleg dafür, dass die Ahndung von Sexualdelikten im Lauf des Mittelalters zunehmend in die kirchliche Jurisdiktion fällt – im konkreten Fall ist der Täter angehalten, sowohl nach kirchlichem als auch nach weltlichem Recht Buße zu leisten. Wenn in diesem Fall genaue Angaben zu Art und Höhe der Bußleistung fehlen, darf man unter Umständen daraus schließen, dass Æþelræd ergänzende Normen aufnimmt, während die ‚Basisnorm' als bekannt vorausgesetzt wird. Es scheint Konsens darüber bestanden zu haben, wie im Fall eines auf eine Ehe zielenden erzwungenen Geschlechtsverkehrs mit einer freien Frau vorzugehen war und es galt nun, Sonderfälle – die Rechtssituation von Nonnen und Witwen – zu reglementieren.

Um Sonderfälle handelt es sich auch in Knuts Gesetzen: es geht nicht generell um freie Frauen, sondern um Witwen und junge Mädchen:

> Knut II, 52: *Be widewan.*
> *Gyf hwa wuduwan* **nydnæme**, *gebete þæt be his were.*
> „Von Witwen.
> Wenn jemand eine Witwe gewaltsam [zur Frau] nimmt (d.h. in Eheabsicht vergewaltigt), büße er mit seinem Wergeld."

> Knut II, 52 § 1: *Mæden.*
> *Gyf hwa mæden* **nydnæme**, *gebete þæt be his were.*
> „Jungfrauen.
> Wenn jemand eine Jungfrau gewaltsam [zur Frau] nimmt (d.h. in Eheabsicht vergewaltigt), büße er mit seinem Wergeld."

Dass der Täter in beiden Fällen mit seinem Wergeld büßt, bedarf also einer besonderen Erwähnung im Gesetzestext. Es darf angenommen werden, dass es sich im Fall des erzwungenen

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[4] Ai. *gewemmen* entspricht lat. *violare* und könnte je nach Kontext auch mit „verletzen" oder mit „vergewaltigen" wiedergegeben werden.

Beischlafs mit einer verheirateten Frau automatisch um ein anderes Delikt handelte, nämlich das des außerehelichen Beischlafs mit einer verheirateten Frau, was nach angelsächsischem Recht dem Delikt des Ehebruchs gleichzusetzen ist. Dass Frauenraub und Vergewaltigung in Eheabsicht im Fall einer Witwe auch vermögensrechtliche Folgen für das Opfer haben konnten, geht aus einer eindeutigen Rechtsvorschrift in Knuts Gesetzen hervor:

> Knut II, 73, § 2
> *7 ðeah heo neadnumen wyrðe, ðolie ðæra æhta, buton heo fram ðam ceorle wille eft ham ongean 7 næfre eft his [no] wyrðe.*
> „Und selbst wenn sie (die Witwe) mit Zwang zur Frau genommen wird, verliere sie die Güter [aus erster Ehe], wenn sie nicht von dem [zweiten] Manne wieder zurück heim will und niemals späterhin die Seine wird."

Es konnte gezeigt werden, dass die angelsächsischen Gesetze den Tatbestand des gewaltsamen Erzwingens einer sexuellen Handlung kennen, als Verbrechen behandeln und eine Ahndung des Delikts vorsehen, und zwar mit Maßnahmen, die mit Ausnahme von Æthelred VI, 39 detailliert beschrieben werden. Nicht nur die Vergewaltigung selbst, sondern auch schon den Versuch wird geahndet, die Beurteilung der Tat wird je nach dem Stand des Opfers als ehrenkränkendes Delikt oder als Eigentumsdelikt vorgenommen, die Strafe bzw. Buße nach der gesellschaftlichen Stellung sowohl des Täters wie des Opfers bemessen.

Ferner wurde dargelegt, dass in den Gesetzestexten verschiedene Strategien zur terminologischen Differenzierung und Kontextualisierung eingesetzt werden. Neben dem Gebrauch allgemeiner Termini, deren rechtliche Relevanz erst aus dem Kontext hervorgeht, wie etwa des Verbs (*ge-*)*hæmen* „beischlafen" oder des Substantivs *hæmeðþing* „Geschlechtsverkehr", deren juristische Bedeutung erst in der Kombination mit Hinweisen auf ein gewaltsames Vorgehen bzw. ein fehlendes Einverständnis der betroffenen Frau offensichtlich wird, finden sich spezifische Rechtstermini, deren juristische Bedeutung als Bezeichnung eines

zu ahndenden Delikts sich aus der Zusammensetzung allgemeinsprachlicher Elemente ergibt, wie insbesondere am Beispiel des Substantivs *niedhæmed* „Vergewaltigung; erzwungener Beischlaf, ‚Not-Koitus'" (*nied* „Zwang, Gewalt" + *hæmed* „Geschlechtsverkehr, Koitus") und des Verbs *niedniman* „gewaltsam wegnehmen/gewaltsam [zur Frau] nehmen" (*nied* „Zwang, Gewalt" + *niman* „nehmen") deutlich geworden ist.

2. Das Delikt der Notzucht in den langobardischen Quellen

Bevor ich auf die langobardischen Gesetze zu sprechen komme, möchte ich hier einen kurzen Hinweis auf das Delikt der Notzucht in der *Lex Frisionum* geben. Der volkssprachliche Terminus *notnumft*, in anderen Quellen für den gewaltsamen Raub von Frauen mit erzwungenen Beischlaf zwecks Eheschließung belegt, erscheint in diesem ältesten Rechtstext der Friesen als Titel VIII *De notnumfti* in Bezug auf jegliche geraubte Sache überhaupt, für die die Zurückgabe *in duplo* vorgesehen ist, dazu 12 Schillinge/Solidi als Friedensgeld (*fredum*), d.h. als Strafgeld an den König. Darauf, dass der Terminus nicht dem altfriesischen Sprachstand entspricht und unter Umständen, wie schon Krogmann zu bedenken gibt[5], auf Beamte Karls des Großen, die mit der Aufzeichnung der Gesetze beauftragt waren, zurückgehen könnte, kann ich hier aus Platzgründen nicht weiter eingehen. Festhalten möchte ich einstweilen nur, dass das Delikt des Frauenraubs mit erzwungenem Geschlechtsverkehr hingegen unter dem Titulus IX *De farlegani* „Von unerlaubtem Beischlaf" im achten und neunten Abschnitt behandelt wird: im Falle einer geraubten und vergewaltigten Jungfrau hat der Täter ihr dreifaches Wergeld zu entrichten: ein Wergeld steht der geschädigten Frau als Komposition zu, eines dem König als Strafgeld und das dritte dem Vater bzw. Vormund des Mädchens:

> *Lex Frisionum* IX, 8-9:

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[5] Vgl. Willy Krogmann. „Entstehung und Eigenart der *Lex Frisionum*". *Philologia Frisica* 214 (1962), 76-103, ebd. S. 92 ff.

8. *Si quis puellam virginem rapuerit et violatum dimiserit, componat ei weregildum eius, sive nobilis sive libera fuerit, ad satisfactionem, et ad partem regis similiter; (9.) tertium weregildum patri sive tutori puellae*.[6]

Auch in den anderen frühen westgermanischen, in lateinischer Sprache aufgezeichneten Volksrechten wird das Delikt des sexuellen Übergriffs einer Frau gegenüber, sei es mit, sei es ohne gewaltsame Entführung, im allgemeinen durch Kompensationszahlungen und Strafgelder geahndet, die je nach Stammesrecht und Standeszugehörigkeit des Opfers unterschiedlich ausfallen. Einen Überblick über das Strafmaß geben hier ältere kulturgeschichtliche und rechtshistorische Forschungen, wie etwa Jacob Grimms Aufsatz „Über die Notnunft an Frauen" von 1841[7] oder Rudolf His' Darstellung der Geschichte des deutschen Strafrechts von 1928.[8]

Ich selbst habe mich bisher, was diese Art der Gewaltanwendung Frauen gegenüber in lateinischsprachigen Rechtstexten betrifft, eingehender nur mit den langobardischen Gesetzen beschäftigt, ansonsten meine Untersuchung auf Rechtstexte in der Volkssprache konzentriert. Ohne hier ins Detail zu gehen, möchte ich im Zusammenhang des vorliegenden Beitrags darauf aufmerksam machen, dass in den langobardischen Gesetzen eine Kompensationszahlung an die geschädigte Frau selbst erst spät, durch eine Verfügung Luitprands (Kap. 31), die Kapitel 186 „De violentia" in Rotharis Edikt ergänzt, allerdings nur im Ausnahmefall und keineswegs in voller Höhe vorgesehen ist, während zuvor die Kompensationszahlungen ausschließlich an die Sippe der Frau bzw. an ihren Vormund und die Strafzahlungen an den König geleistet

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[6] Ich zitiere den Text nach der Ausgabe Karl August Eckhardt / Albrecht Eckhardt (Hgg.). *Lex Frisionum* (MGH Fontes iuris XII). Hannover, Hahnsche Buchhandlung, 1982.

[7] Jacob Grimm. „Über die Notnunft an Frauen". *Zeitschrift für deutsches Recht und deutsche Rechtswissenschaft* 5 (1841), 1-29.

[8] Rudolf His. Geschichte des deutschen Strafrechts bis zur Karolina. Unveränderter reprografischer Nachdruck der Ausgabe München und Berlin 1928. München, Oldenbourg, 1967, v.a. S. 28-48.

werden.[9] So muss ein Mann, der eine Frau zum Geschlechtsverkehr zwingt, um sie so gegen ihren Willen zur Frau zu nehmen, nach Rotharis Edikt 900 Schillinge, also die volle Höhe der für eine gegenüber einer Frau begangenen *iniuria* vorgesehenen Bußzahlung, für dieses Vergehen entrichten. Die Zahlung geht zur Hälfte an den männlichen Verwandten, der zur Tatzeit die Muntgewalt über die Frau hatte, und zur Hälfte an den König. Hat die Frau keine Verwandten, geht das Bußgeld in voller Höhe an den Königshof.

> Edictum Rothari 186:
> *De uiolentia. Si uir mulieri uiolentias fecerit, et inuitam tullerit uxorem, sit culpabilis sold. nongentos, medietatem regi et medietatem parentibus mulieris: et si parentes non habuerit, ipsi nongenti solidi ad curtem regis exegantur. Et mulier ipsa licentiam habeat cum omnes res suas proprias, quae ei lege perteneunt, elegendum, qui mundium eius in potestatem debeat habere, uult ad patrem si habuerit, uult ad fratrem, uult ad barbanem, uult ad manum regia, in ipsius mulieris sit potestatem, ubi sibi ipsa elegerit.* [10]

Im Kapitel 31 von Luitprands Gesetzessammlung wird die Höhe des von Rothari festgesetzten Bußgelds für dieses Vergehen bestätigt, doch wird der Teil der Norm, der sich auf die Aufteilung des Bußgeldes bezieht, zugunsten der geschädigten Frau modifiziert: eine Frau, die nicht unter der Muntgewalt des Vaters oder Bruders steht, hat Anrecht auf 300 Schillinge der Bußzahlung, während dem Vormund 150 Schillinge für die Mühe, das Bußgeld einzutreiben, zustehen. Der König bekommt weiterhin die Hälfte der

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[9] Siehe Claudia Händl. „Regelverstöße und ihre Ahndung in den Gesetzen der Langobarden. Überlegungen zur rechtlichen Stellung der Frau in der langobardischen Gesellschaft". *Lingua e Diritto. La Lingua della Legge, la Legge nella Lingua. Publifarum*, 18, veröffentlicht am 13/03/2013, letzter Zugriff 29/09/2014, url: http://publifarum.farum.it/ezine_articles.php?id=2 34

[10] Die langobardischen Gesetze werden hier und im Folgenden zitiert nach der Ausgabe Friedrich Bluhme (Hg.). *Leges Langobardorum* (MGH LL IV). Hannover, Hahn'sche Buchhandlung, 1868.

Gesamtsumme. Sind Vater oder Bruder Rechtsvormund der Frau, so können sie nach Belieben den nicht dem König zustehenden Teil der Buße zwischen sich und der geschädigten Frau aufteilen; in diesem Fall hat die Frau allerdings keinen Rechtsanspruch auf eine geldwertige Kompensation.

Von freien Männern verübte Vergewaltigungen werden grundsätzlich nur mit Bußgeldern geahndet, und zwar je nach Standeszugehörigkeit des Opfers. Wie ich vorher ausgeführt habe, beträgt das Bußgeld bei diesen Sexualdelikten bei freien Frauen 900 Schillinge (vgl. Rothari 186 und 187). Wer hingegen eine fremde Aldin, das heißt die frei geborene Tochter einer Freigelassenen, vergewaltigt, büßt mit 40 Schillingen (vgl. Rothari 205), während die Buße im Falle einer Freigelassenen oder einer Sklavin 20 Schillinge beträgt (vgl. Rothari 206 und 207). Wer dem Entführer einer Aldin oder Sklavin Zuflucht gewährt und sich ihrem Herrn oder ihren Verwandten, die ihre Herausgabe fordern, entgegenstellt, wird mit einer Buße belegt, deren Höhe der für eine Vergewaltigung vorgesehenen Kompensationszahlung entspricht (vgl. Rothari 208-210).

Die langobardischen Gesetze enthalten also den Tatbestand der Vergewaltigung, belegen aber keinen volkssprachlichen Fachterminus dafür.

Was den volkssprachlichen langobardischen Rechtswortschatz betrifft, ist im Bereich der Sexualvergehen bekanntlich das Rechtsfachwort *anagrip/anagrif(t)* belegt, das wohl ursprünglich, wie in anderen Volksrechten, das auf eine sexuelle Handlung ausgerichtete Betasten bezeichnet und, wenn diese Handlung ohne Einwilligung der Frau vollzogen wird, als eine auf eine Vergewaltigung zielende ‚Vorbereitungstat' einzustufen ist. Wie oben gezeigt werden konnte, kennen auch die angelsächsischen Gesetze einen solchen Tatbestand (siehe etwa Ælfred 11), überliefern dafür aber keinen eigenen juristischen Fachterminus. Die *Lex Baiuvariorum* hingegen belegt dafür in VIII, 3 den volkssprachlichen Terminus *horcrift*, das „unzüchtige Antasten" (zusammengesetzt aus *hor* „Unzucht" + *crift* Verbalabstraktum zu *grifan* „betasten, angreifen"), das wie das in der Folge behandelte

gewaltsame Entkleiden einer Frau (VIII, 4: *himilzorun* „Gewandzerrung") als ein auf eine Vergewaltigung zielendes/vorbereitendes Delikt behandelt und mit einer Kompositionszahlung geahndet wird.

> VIII, 3:
> *Si quis propter libidinem liberae manum iniecerit aut virgini seu uxori alterius, **quod Baiuuarii horcrift vocant**, cum VI solidis conponat.*

> VIII, 4:
> *Si indumenta super genucula elevaverit, **quod himilzorun vocant**, cum XII solidis conponat.*[11]

Das in den langobardischen Gesetzen belegte Delikt der *anagrip/anagrif(t)* ist nicht nur in sprachlicher Hinsicht bedeutsam, als zusammengesetztes Verbalabstraktum mit graphischer Oszillation in den Textzeugen zwischen <p>, das auf den unverschobenen labialen gemeingermanischen Plosivlaut verweist, und <f> bzw. <ph>, das auf den verschobenen Spiranten hindeutet, sondern gibt zudem Aufschluss über Normen des sozialen Zusammenlebens und eröffnet Einsichten in die sich wandelnde Rolle der Frau in der langobardischen Gesellschaft. Auch in den langobardischen Gesetzen stellt das Delikt, wie im angelsächsischen, im bairischen und im altfriesischen Kulturraum, einen eigenen Bußtatbestand dar, für das nach den langobardischen Gesetzen nicht nur eine Bußzahlung als Kompensation zu leisten, sondern auch Fehdegeld (*faida*) zu bezahlen ist. Die vorgesehene Ahndung des Vergehens impliziert somit sowohl eine Verletzung der Ehre der Frau wie auch eine Verletzung der Sippenehre, die auch dann, wenn es aufgrund einer Übereinkunft zwischen dem Täter und der Sippe der Frau zu einer Ehe zwischen dem Täter und dem Opfer kommt, vom Täter durch die Bußzahlung wiederhergestellt werden muss. Analysiert man den Begriff im

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[11] Ich zitiere den Text der *Lex Baiuvariorum* nach der Ausgabe Ernst von Schwind (Hg.). *Leges Baiwariorum* (MGH LL nat. Germ. V 2). Hannover, Hahn'sche Buchhandlung, 1926.

Kontext der Gesetzesartikel, in denen er belegt ist (Rothari 188, 189, 190; Luitprand 127), wird deutlich, dass dieses mit den Worten Bruckners „unkeusche Betasten eines Weibes"[12] zur Zeit der Niederschrift der langobardischen Gesetze bereits einen besonderen Rechtsfall, nämlich den der (ehelichen oder außerehelichen) sexuellen Verbindung ohne vorherige Erlaubnis der Sippe der Frau, aber mit ihrem eigenen Willen, beschreibt. *anagrip/anagrif(t)* steht in den langobardischen Gesetzen somit für eine „eigenmächtige eheliche oder außereheliche Verbindung" ohne Zustimmung der Sippe bzw. des Vormunds,[13] wobei sich ein eventuelles Einverständnis zwischen Täter und Frau keinesfalls als strafmindernd auswirkt:

> Rothari 188
> *Si puella libera aut vedua dine volontatem parentum ad maritum ambolaverit, libero tamen, tunc maritus, qui eam accepit uxorem, **conponat anagrip solidos viginti et propter faida aliûs viginti**;* […]
>
> Rothari 189
> *De fornicationis causa. Si puella aut mulier liberam voluntariae fornicaverit, cum libero tamen homine, potestatem habeant parentes in eam dare vindictam. Et si forte ambarum partium steterit, ut ille, qui fornicavit, eam tollat uxorem, **conponat pro culpa, id es anagrift, solidos viginti**; et si non convenerit, ut eam habeat uxorem, **conponat solidos centum, medietatem regi et medietatem at quem mundius de ea pertenuerit**.* [...]

Dass in diesem Fall der volkssprachliche Rechtsterminus Eingang in den lateinischen Text der langobardischen Gesetze gefunden hat,

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[12] Wilhelm Bruckner. *Die Sprache der Langobarden. Quellen zur Sprach- und Culturgeschichte der Germanischen Völker.* LXXV. Straßburg, Trübner, 1895, unveränderter Nachdruck Berlin, Walter de Gruyter, 1969, S. 202.

[13] So auch Florus van der Rhee. *Die germanischen Wörter in den langobardischen Gesetzen.* Rotterdam, Drukkerij Bronder-Offset N.V., 1970, S. 29.

kann mit der besonderen Relevanz dieses Delikts und seines gesellschaftlichen Kontextes erklärt werden: zum einen wollte man nicht darauf verzichten, diesen Tatbestand in die Rechtsaufzeichnungen aufzunehmen, zum anderen bot die lateinische Sprache kein geeignetes Äquivalent für den langobardischen Rechtsbegriff an. Bemerkenswert ist, dass hier, anders als sonst üblich in den lateinischen Aufzeichnungen germanischer Stammesrechte, auf den Einsatz einer Formel vom Typ „*quod ... vocant*" oder „*quod ... dicunt*", um den volkssprachlichen Begriff in den lateinischen Text einzufügen, verzichtet wird. Ich möchte dies mit der Besonderheit dieses Delikts erklären, dessen Bezeichnung sich in der langobardischen Gesellschaft zur Zeit Rotharis bereits zu einer Spezialbedeutung entwickelt hatte, die offensichtlich auch der romanischen Bevölkerung im Langobardenreich geläufig war. In dieser veränderten Bedeutung des Delikts, das sich von dem ursprünglichen gemeingermanischen Delikt des unzüchtigen Anfassens als Vorbereitungstat für eine Vergewaltigung zu einer Strategie entwickelte, eine Frau gegen den Willen ihrer Sippe heiraten zu können, liegt der gesellschaftlich relevante Unterschied darin, dass es nun um keine Gewalttat gegen eine weibliche Person mehr geht, sondern um eine Verletzung der Rechte des Vormunds und damit der ganzen Sippe der betroffenen Frau.

3. Das Delikt der Notzucht im *Sachsenspiegel*

Die Entscheidung, im Rahmen meines Forschungsvorhabens volkssprachlichen Texten den Vorzug zu geben, bedeutet, dass ich mich, abgesehen von der angelsächsischen Überlieferung, weitgehend auf relativ späte Texte stützen muss. Neben dem bekanntesten volkssprachlichen westgermanischen Rechtstext des Hochmittelalters, dem *Sachsenspiege*l Eikes von Repgow, erweist sich eine Untersuchung des Delikts der Notzucht in den altfriesischen Quellen als besonders aufschlussreich, wie eine erste Analyse der nach der lateinischsprachigen *Lex Frisionum* und vor dem Ende des 13. Jahrhunderts abgefassten altfriesischen

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Rechtstexte ergeben hat,[14] doch würde eine Untersuchung des Delikts an verheirateten Frauen, Mädchen und Witwen, für das die überlieferten friesischen Rechtstexte Fachtermini vor allem im verbalen Bereich belegen,[15] den Rahmen dieses Beitrags sprengen.[16] Festhalten möchte ich hier vorläufig, dass schon Notzuchtversuche als zu ahndende Delikte gelten. In den altfriesischen Quellen werden sie eindeutig als ehrenkränkende Delikte dargestellt, vom „unzüchtigen Griff" (*bāsfeng*)[17] – innerhalb oder außerhalb der Kleider – über den Kleiderraub bis aufs (durchscheinende) Hemd zur „Entblößung (einer Frau)" (*ble(s)zene*), auch durch Zerschneiden der Kleidung, wobei als besonders schweres Vergehen in diesem Zusammenhang der sog. *dīcrāf* „Raub der die Schamgegend bedeckenden Kleider" (wörtlich: Damm-Raub; Raub an der Dammgegend) gilt.[18] Schwer bestraft wird die Vergewaltigung einer Frau: ein mitteloser Vergewaltiger muss mit der Todesstrafe rechnen.

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[14] Ich folge in der Definition dieser chronologischen Obergrenze Munske, der für seine vergleichende wortgeographische Untersuchungen die späteren Texte (die bis zur Mitte des 16. Jahrhunderts reichen) ausschließt, siehe Horst Haider Munske. *Der germanische Rechtswortschatz im Bereich der Missetaten. Philologische und sprachgeographische Untersuchungen. I. Die Terminologie der älteren westgermanischen Rechtsquellen*, Berlin – New York, Walter de Gruyter, 1973, S. 79-96.

[15] Belegt sind überwiegend Verben oder verbale Fügungen wie (*a/an*) *nêde nima*, *nêda*, *nêdgia* „notzüchtigen", seltener findet man den nominalen Fachausdruck *nêdmonda* (osterlauwerssch) / *nêdmond* (westerlauwerssch) „Vergewaltigung, Notzucht".

[16] Eine detailliert Untersuchung des Delikts der Notzucht in den altfriesischen Quellen ist in Ausarbeitung und soll andernorts veröffentlicht werden.

[17] Zur Höhe der Buße für dieses Vergehen siehe Klaas Nauta. *Die altfriesischen allgemeinen Busztaxen. Texte und Untersuchungen*. Assen, van Gorkum, 1941, S. 128.

[18] Zum Rechtsterminus *dīcrāf* siehe W. van Helten. „Zur altfriesischen Lexikologie". *Zeitschrift für deutsche Wortforschung* 7 (1905/06), 270-290, ebd. S. 278 f.

Im Allgemeinen kann man feststellen, dass sich in den späteren westgermanischen Quellen, im Vergleich zu frühen, in englischer oder auch lateinischer Sprache aufgezeichneten Texten, eine radikal gewandelte Einstellung gegenüber Notzuchtdelikten abzeichnet. Ich möchte dies im Folgenden am Beispiel des zwischen 1220 und 1235 im niederdeutschen Sprachraum entstandenen *Sachsenspiegel*s Eikes von Repgow, eines der ältesten Rechtsbücher in deutscher Sprache, zeigen.[19]

Das Verbrechen der Notzucht im *Sachsenspiegel*, das im Landrechtteil an mehreren Stellen behandelt wird, gehört der Gruppe der „Ungerichte" an, jener Vergehen, die im Gegensatz zu den Bußsachen bei Verurteilung die Todesstrafe oder Gliederstrafen mit sich bringen und nicht mit Bußgeld oder Wergeld gesühnt werden können.

> *lantreht* II 13 § 5:
> *De den man sleit oder vet oder rovet oder bernet sunder mordbrant,* **oder wif oder maget nodeget,** *unde vredebrekere, unde de in overhure begrepen werdet,* **den scal men dat hovet af slan.**[20]

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[19] Ich möchte hier nicht weiter ins Detail gehen, was Autor, Entstehung, Umfeld, Funktion, Rezeption und Überlieferung dieses Werks betrifft. Erste Hinweise finden sich in den einschlägigen Lexikonartikeln, siehe vor allem Ruth Schmidt-Wiegand. „Eike von Repgow". *Die deutsche Literatur des Mittelalters. Verfasserlexikon*, 2. Aufl. hg. Kurt Ruh et al., Bd. II Berlin – New York, Walter de Gruyter, 1980, Sp. 400-409; Rolf Lieberwirth. „Eike von Repgow (um 1180-nach 1233)". *Handwörterbuch zur deutschen Rechtsgeschichte*. 2. Aufl. hg. Albrecht Cordes et al., Bd. I, Berlin, Erich Schmidt Verlag, 2008, Sp. 1288-1292. Eine überblicksartige Darstellung zur rechtlichen Stellung der Frau im Landrechtteil des *Sachsenspiegels* bietet Mariella Rummel. *Die rechtliche Stellung der Frau im Sachsenspiegel-Landrecht*. Frankfurt am Main – Bern – New York – Paris, Verlag Peter Lang, 1987, in der S. 199-203 auch das Delikt der Notzucht behandelt wird.

[20] Ich zitiere hier und im Folgenden nach der Ausgabe Karl August Eckhart (Hg.). *Sachsenspiegel Landrecht* (MGH, Fontes Ivris Germanici Antiqui. N.s. Tomi I Pars I. Hannover, Hahn'sche Buchhandlung, 1955.

> „Wer einen Mann erschlägt oder gefangen setzt oder ausraubt oder brandschatzt ohne Mordbrand, **oder eine Frau oder eine Jungfrau vergewaltigt**, wer den Frieden bricht und wer beim Ehebruch ergriffen wird, **dem soll der Kopf abschlagen werden**."

Der Tatbestand wird hier durch das Verb *nodegen* „notzüchtigen, vergewaltigen" ausgedrückt: wer eine Frau oder ein Mädchen zum Geschlechtsverkehr zwingt, dem soll das Haupt abgeschlagen werden, wie einem Mörder, Räuber, Friedensbrecher oder einem *in flagranti* ertappten Ehebrecher.

In diesem Zusammenhang steht auch *lantrecht* III 1 § 1:

> *Umme nener hande ungerichte scal men op howen dorpbuw, it ne si dat dar maget oder wif inne **genodeget** werde oder **genodeget** in gevuret si, dar scal men over richten, oder men untredet dat mit rechte. Wert aver dar over gerichtet, dennoch jene vore kumt unde sek der **not** untredet, men ne gilte's eme doch nicht, went men it nicht untredede er dar gerichte over ginge. Al levende dink, dat in der **notnunft** was, dat scal men unthoveden.*

> „Wegen keines Verbrechens soll man Gebäude im Dorf niederreißen, es sei denn, dass eine Jungfrau oder eine Frau darin **vergewaltigt** worden ist oder **vergewaltigt** dorthin gebracht worden ist. Darüber soll man richten, oder man bestreite es [zuvor] mit den dafür vorgesehenen Rechtmitteln. Wird aber darüber gerichtet, obwohl jener [d.i. der Beschuldigte] vor Gericht erscheint und die **Vergewaltigung** bestreitet, so ersetze man ihm den Schaden dennoch nicht, weil er keinen Einspruch erhob, bevor das Gericht darüber erging. Allen Lebewesen, die bei der **Vergewaltigung** zugegen waren, soll man den Kopf abschlagen."

Die Ahndung der erwiesenen Vergewaltigung hat sich nach Ausweis des *Sachsenspiegels* im Vergleich zu den bisher behandelten

Rechtssituationen im Zusammenhang mit Notzuchtdelikten der älteren Zeit radikal geändert: nicht nur wird der Täter mit dem Tode bestraft, sondern auch das Haus, in dem die Vergewaltigung stattgefunden hat oder wohin die vergewaltigte Frau gebracht wurde, wird gewüstet. Alle Lebewesen, die bei der Vergewaltigung anwesend waren – und sie also nicht verhindert haben – sollen enthauptet werden.

Die in diesem Artikel benutzten Fachtermini für das Delikt sind das Verb *nodegen* „vergewaltigen" (zweimal in der Form des Partizip Präteritums) und die Substantive *not* und *notnunft*, beide in der Bedeutung „Vergewaltigung", was im Falle von *not* nur aus dem Kontext abzulesen ist.

Die besondere Schwere des Vergehens wird dadurch unterstrichen, dass ausdrücklich betont wird, dass die Wüstung bei keinem anderen Verbrechen statthaft ist.

Einen besonderen Rechtsschutz genießen diejenigen, welche dem Notruf einer Frau folgen und einen mutmaßlichen Vergewaltiger – der als Friedensbrecher bezeichnet wird – festnehmen: selbst wenn dieser später nicht gerichtlich überführt werden kann, dürfen sie wegen ihres Eingreifens nicht belangt werden:

> *lantrecht* III 1 § 2:
> *Alle de deme geruchte volgen, halden se op den klegere unde den vredebrekere, dennoch he nicht verwunnen wert, se ne scolen dar nene not umme liden, deste se ene vor gerichte brengen.*
> „ Alle, die dem Notruf folgen, sollen keinen Nachteil davon haben, wenn sie den Kläger und den Friedensbrecher festhalten und dieser dann nicht überführt wird, wenn sie ihn vor Gericht bringen."

Die Vergewaltigung einer Frau gilt nach Ausweis des *Sachsenspiegels* als Friedensbruch, weshalb dieses Delikt auch dann als solcher geahndet wird, wenn das betroffene Opfer eine Frau ist, die einer rechtsunfähigen Gesellschaftsgruppe ohne Wergeld angehört:

lantrecht III 45 § 11

*Ane wergeld sin unechte lude; doch swe er enen gewundet oder rovet oder dodet, oder **unechte wif nodeget** unde den vrede an ene brikt, men scal over ene richten na vredes rechte.*

„Rechtsunfähige Leute sind ohne Wergeld; doch wer einen von ihnen verwundet oder beraubt oder tötet oder eine **rechtsunfähige Frau vergewaltigt** und den Frieden an ihnen bricht, über den soll man nach Friedensrecht urteilen.“

Auch in diesem Fall wird als Fachterminus für das Delikt das Verb *nodegen* „vergewaltigen“ benutzt.

Interessant ist der folgende Artikel, der festlegt, dass mit der Todesstrafe selbst derjenige zu rechnen hat, der eine fahrende Frau oder seine Konkubine zum Geschlechtsverkehr zwingt:

lantrecht III 46 § 1:

*An varendeme wive unde an siner amien mach de man **not dun** unde sin lif verwerken, of he se **ane eren dank beleget**.*

„Eine fahrende Frau und seine Konkubine kann ein Mann **vergewaltigen** und dabei sein Leben verwirken, wenn er sie **gegen ihren Willen beschläft**.“

Die in diesem Artikel benutzten Fachtermini für das Delikt sind die Verbalphrasen *not dun* „vergewaltigen“ und *ane eren dank belegen* „ohne ihre Zustimmung beschlafen“.

Wichtig für eine angemessene Strafverfolgung des Verbrechens ist das Verhalten der geschädigten Frau während und unmittelbar nach der Tat. Nach Ausweis des *Sachsenspiegels* muss die vergewaltigte Frau sofort nach der Tat Klage erheben, die Beweisführung ist im Detail festgelegt:

lantrecht II 64 § 1:

*Wif oder maget, de **not** vor gerichte klaget, se scolen klagen **mit geruchte** dorch de hanthaften dat unde dorch de **not**, de se dar bewisen scolen.*

„Frauen oder Jungfrauen, die wegen einer **Vergewaltigung** vor Gericht klagen, sollen mit „Gerüfte“ (d.h. Notruf) die

> Klage erheben wegen der handhaften Tat und der Nötigung/Notzucht, die sie da beweisen sollen."

Der hier eingesetzte Fachterminus für das Delikt ist das Substantiv *not*, das je nach Kontext mit „Vergewaltigung" oder „Notzucht" oder auch „Nötigung" wiedergegeben werden kann.

Die geschädigte Frau muss den Beweis für die Vergewaltigung in erster Linie selbst erbringen; dazu gehört, dass sie während oder unmittelbar nach der Tat schreiend auf ihre Situation aufmerksam macht. Diese Hilferufe bzw. das Klagegeschrei, das dazu dient, sich in der Nähe befindliche Personen zum Eingreifen zur Verhinderung der Tat bzw. zum Verfolgen des Missetäters zu veranlassen, ist unter dem Rechtsterminus des „Gerüfte"[21] bekannt und entspricht dem eben zitierten *geruchte*.

Da im Fall eines Notzuchtverbrechens die unmittelbare Klageerhebung vorgesehen war, eine Frau sich jedoch nicht selbst vor Gericht behaupten konnte, sondern einen Vormund benötigte, konnte der Richter eigens einen Vormund für die erforderliche Klage bestellen, wenn der rechtmäßige Vormund der geschädigten Frau nicht zur Stelle war:

> *lantrecht* I 43:
> *An **nothafteger klage**, dar se nicht to kampe geit, mut wol de richtere vormunde geven den vrowen, unde in aller hanthaften dat, dar se eres rechten vormunden nicht ne hevet to hant. […]*
> „Bei **Klage um Notzucht**, wenn sie nicht zum [gerichtlichen] Zweikampf führt, kann der Richter den Frauen ohne weiteres eine Vormund bestellen, wie bei aller handhaften Untat, wenn sie ihren legitimen Vormund nicht zur Verfügung haben. […]."

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[21] Siehe Heiner Lück. „Gerüfte". *Handwörterbuch zur deutschen Rechtsgeschichte*. 2. Aufl. hg. Albrecht Cordes et al., Bd. II. Berlin, Erich Schmidt Verlag, 2012 , Sp. 259-264

Offensichtlich sollte es keine Verzögerungen geben, da die Folgen des Verbrechens wohl nur unmittelbar nach der Tat für Zeugen sichtbar waren.

Um diesen speziellen Typ der Klageerhebung zu charakterisieren, wird ein Adjektiv benutzt, das mit Hilfe des Suffixes *–haft-ig* vom Substantiv *not* im fachspezifischen Sinn von ‚Notzucht' abgeleitet ist.

Die besprochenen Artikel des *Sachsenspiegels* sehen eine harte und strenge Bestrafung eines erwiesenen Notzuchtverbrechens vor und zeigen somit eine radikal gewandelte Einstellung dem Täter gegenüber. Auch wenn der Täter ein freier Mann ist, kann er, wenn er als überführt gilt, die Tat nicht mehr, wie in der Frühzeit üblich, mit Kompensationszahlungen sühnen, sondern muss mit der Todesstrafe selbst dann rechnen, wenn er eine sogenannte rechtlose Frau vergewaltigt. Solange die Vergewaltigung einer – freien – Frau in erster Linie als eine Minderung ihres Wertes und als Angriff auf die Sippenehre gesehen wurde, konnte das Verbrechen nach dem Kompositionenprinzip geahndet werden. Wenn nun auch für einen freien Mann für das Delikt der Vergewaltigung die Todesstrafe vorgesehen ist, so spricht dies dafür, dass nun auch andere Faktoren eine wichtige Rolle spielen; man darf einerseits mit dem wachsenden Einfluss der Kirche, die auf harte Bestrafung aller Sittlichkeitsdelikte drängte, rechnen, kann die Änderung aber sicher auch mit einem zunehmenden Interesse der Staatsgewalt zur Zeit der Entstehung des *Sachsenspiegels* an der Erhaltung des öffentlichen Friedens erklären, wie die etwa zeitgleich entstandenen Reichsgesetze wie der *Sächsische Landfriede*[22] von 1221 oder die *Treuga Heinrici*[23] von 1224 nahelegen. Nicht zuletzt darf diese

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[22] *Monumenta Germaniae Historica Constitutiones et acta publica imperatorum et regum inde ab a. MCXCVIII usque ad a. MCCLXXII (1198-1272),* hg. Ludwig Weiland. Hannover, Hahn'sche Buchhandlung, 1896, Bd. II, Nr. 280.

[23] *Monumenta Germaniae Historica Constitutiones et acta publica imperatorum et regum inde ab a. MCXCVIII usque ad a. MCCLXXII (1198-1272)*, hg. Ludwig Weiland. Hannover, Hahn'sche Buchhandlung,1896, Bd. II, Nr. 284.

Entwicklung jedoch auch als Hinweis auf eine sich wandelnde Stellung der Frau in der mittelalterlichen westlichen Gesellschaft verstanden werden, in einer Zeit, in der zumindest in Adelskreisen Frauen immer häufiger Einfluss auf gesellschaftliche und politische Ereignisse nahmen.

Wie gezeigt werden konnte, werden auch im *Sachsenspiegel* verschiedene Strategien zur terminologischen Differenzierung und Kontextualisierung eingesetzt. Zum einen ist der Gebrauch allgemeiner Termini zu beobachten, deren rechtliche Bedeutung erst aus dem Kontext hervorgeht, wie etwa des Substantivs *not*, das allgemeinsprachlich die Bedeutungen „Not, Bedrängnis, Zwang, Mühe, Anstrengung" abdeckt, in der juristischen Terminologie hingegen die Bedeutung „Vergewaltigung, Notzucht" annimmt, die sich erst im Zusammenhang eines gewaltsamen Vorgehens bzw. eines fehlenden Einverständnisses der betroffenen Frau ergibt, wie auch im Fall der Verbalphrase *ane (eren) dank belegen* „ohne (ihre) Einwilligung beschlafen" ersichtlich wird. Daneben werden spezifische juristische Termini eingesetzt, die sich sowohl auf das Delikt selbst, wie im Fall des Verbs *nodegen* „notzüchtigen, vergewaltigen" oder des Substantivs *notnunft* „Notzucht, Vergewaltigung, als auch auf das entsprechende Gerichtsverfahren zur Ahndung des Delikts, wie beim Rechtsbegriff *nothaftege klage* „Klage wegen Vergewaltigung", beziehen können.

4. Ergebnisse

In der vorliegenden Untersuchung zum Sexualdelikt der Notzucht und ‚vorbereitenden Taten' in westgermanischen Quellen wurden die Ausprägungen des Delikts im angelsächsischen, langobardischen und mittelniederdeutschen Bereich anhand ausgewählter Quellen untersucht, wobei neben terminologischen Fragestellungen auch kultur- und rechtshistorische Aspekte behandelt wurden, insbesondere was die rechtlichen Folgen für Täter und Opfer, aber gegebenenfalls auch für Zeugen oder Helfer betrifft. Ein gelegentlicher Seitenblick auf Rechtstexte anderer westgermanischer Völkerschaften diente dazu, Gemeinsamkeiten und Unterschiede in den verschiedenen Sprach- und Kulturräumen deutlicher

herausarbeiten und Möglichkeiten weitergehender Untersuchungen aufzeigen zu können.

Was den sprachlichen Aspekt der Untersuchung betrifft, konnte gezeigt werden, dass die benutzte volkssprachliche Terminologie sich sowohl aus juristischen Fachbegriffen als auch aus allgemeinen Termini, deren rechtliche Bedeutung erst aus dem Kontext hervorgeht, zusammensetzt, wobei in den untersuchten Texten die unterschiedlichsten Strategien zur terminologischen Kontextualisierung und Differenzierung eingesetzt werden, die sich auch der in den verschiedenen germanischen Sprachen angelegten Möglichkeiten der Neuformungen mittels hergebrachter Wortbildungsmuster bedienen.

Aus kultur- und rechtshistorischer Sicht ist vor allem bemerkenswert, dass alle untersuchten Gesetzestexte den Tatbestand des gewaltsamen Erzwingens einer sexuellen Handlung kennen und als ein zu ahndendes Delikt behandeln. Während in den älteren Texten sexuelle Übergriffe einer weiblichen Person gegenüber im Allgemeinen durch Kompensationszahlungen und Strafgelder geahndet werden, die je nach Stammesrecht und Standeszugehörigkeit des Opfers unterschiedlich ausfallen, sehen die jüngeren Texte in allen Fällen eine harte und strenge Bestrafung eines erwiesenen Notzuchtverbrechens vor und zeigen somit eine radikal gewandelte Einstellung dem Täter gegenüber: wie vor allem die einschlägigen Artikel im *Sachsenspiegel* gezeigt haben, kann der überführte Täter, auch wenn er ein freier Mann ist, die Tat nicht mehr mit Kompensationszahlungen sühnen, sondern muss mit der Todesstrafe selbst dann rechnen, wenn er eine sogenannte rechtlose Frau vergewaltigt. In allen Fällen, in denen der Täter ein Bußgeld an die Sippe der Frau zu entrichten hat, impliziert die Ahndung des Vergehens einen Tatbestand, der sowohl eine Verletzung der körperlichen Unversehrtheit und der Ehre der Frau wie auch eine Verletzung der Sippenehre mit sich bringt. In zunehmendem Maße spielen weitere gesellschaftliche Faktoren bei der Buß- bzw. Strafbemessung eine Rolle: es zeichnet sich einerseits ein wachsender Einfluss der Kirche auf den profanen Lebensbereich ab, die auf eine harte Ahndung aller Sexualdelikte drängte und damit

auch auf die Bestrafung von sexuellen Gewalt gegen Frauen; andererseits wird deutlich, dass sexuelle Übergriffe jeder Art auf weibliche Personen in den verschiedenen Gesellschaften zunehmend als Friedensbruch gesehen wurden, die einen Eingriff nicht nur der Sippe der Frau, sondern auch der Staatsgewalt nötig machten. Die harten Maßnahmen, die vor allem spätere Gesetzestexte wie der *Sachsenspiegel* vorsahen, dürfen meines Erachtens allerdings nicht darüber hinwegtäuschen, dass es in der gesellschaftlichen Wirklichkeit wohl nicht immer leicht war, einen Täter letztendlich zur Verantwortung zu ziehen: zieht man den extrem formalen Charakter des Gerichtsverfahrens und der Beweisführung in den verschiedenen Volksrechten der Germanen in Betracht, bei denen ein nicht *in flagranti* ertappter Angeklagte sich etwa verfahrenstechnisch durch Reinigungseid exkulpieren konnte, während die angegriffene Frau die erlittene Aggression konkret nachweisen musste, darf man damit rechnen, dass schriftlich fixierte Norm und gesellschaftliche Wirklichkeit nicht immer Übereinstimmung fanden.

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POINT OF VIEW IN WILLIAM TREVOR'S
"THE DRESSMAKER'S CHILD": A STYLISTIC ANALYSIS

Ilaria Rizzato

My paper seeks to provide a stylistic analysis of William Trevor's short story "The Dressmaker's Child", with a special focus on the linguistic expression of point of view as a key stylistic choice in text. The theoretical framework for this analysis is provided mainly by two texts: Paul Simpson's Language, Ideology and Point of View *(1993), which develops the modal grammar proposed by Fowler and Uspensky into a comprehensive model for point of view identification and analysis; and John Douthwaite's "A Stylistic View of Modality" (2007), which complements Simpson's model by extending the notion of modaliser and by emphasising the role of pragmatics in text construction and processing. The analytic tools provided by these texts are used to account for the perspective represented in the story and to explain a number of effects it produces in text. Some possible applications of this type of analysis are also suggested.*

The expression of point of view[1] has long been a major concern in linguistics. This research topic has been formalised by Fowler's (1966, 1986) and Uspensky's (1973) works on literary texts, and continued in more recent times through a variety of approaches and fields of inquiry[2]. Since its very beginning, stylistics has emphasised

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[1] The study of point of view in language aims at "exploring the ways in which things are 'made to look' in language" and focuses "on language as representation, as a projection of positions and perspectives, as a way of communicating attitudes and assumptions" (Simpson 1993, 2). This area of research is also referred to through cover terms such as evaluation, modality, appraisal and stance. In this essay, point of view is preferred over these options because of its established usage in stylistics in connection with literary texts, as is the case with the present analysis. For a more extensive treatment of relevant definitions, see "Evaluation: an Introduction" (Hunston and Thompson 1999).

[2] Point of view is a major concern of stylistics, discourse analysis, critical linguistics and translation studies on manipulation, to mention but a few

the importance of the expression of point of view, as Leech and Short's manifesto *Style in Fiction* (1981/2007) testifies. The main focus of stylisticians in this area appears to be on how the perspective constructed in text influences meaning making and on how meaning is perceived by the reader. Thus, this type of analysis brings into light significant aspects of text construction and processing that may find useful applications in a variety of text-based activities, such as translation, both at preparatory and productive level, criticism, especially if based on close readings of texts, and a wide range of forms of creative writing. In this connection, this essay seeks to highlight how a number of elements of point of view are used to shape text and produce specific effects in a story by one of most distinguished contemporary Irish authors.

The theoretical framework for this analysis is provided mainly by two texts: Paul Simpson's *Language, Ideology and Point of View* (1993), which develops the modal grammar proposed by Fowler and Uspensky into a comprehensive model for point of view identification and analysis; and John Douthwaite's "A Stylistic View of Modality" (2007), which complements Simpson's model by extending the notion of modaliser and by emphasising the role of pragmatics in text construction and processing. Particularly, Simpson's volume explains the significance in terms of point of view of some specific linguistic categories, including deixis, Discourse Presentation, modality, transitivity and pragmatic concepts such as presupposition, implicature and defeasibility. Thus, he provides a set of linguistic elements which are commonly associated with the expression of point of view and which usually construct certain types of perspectives – with the aim of producing certain types of effects – in text. Douthwaite's paper, on the other hand, shows how linguistic categories or items not directly associated with point of view, and therefore considered "neutral" in the main modal grammars, may function as strong expressions of point of view (or modalisers) in actual communication, that is, through the interaction with the context in which they appear.

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approaches to language research, thus intersecting a variety of genres and text types.

Turning to the text under analysis, the selection of this particular short story is motivated by the belief that the perspective created in text is particularly effective and functional to the narrative. Hence, this analysis aims to highlight the point-of -view-related linguistic elements concurring to this positive result. First published in *The New Yorker* in 2004, "The Dressmaker's Child" is the opening story in the 2007 collection *Cheating at Canasta*, including eleven stories already appeared in periodicals, together with the then unpublished "Old Flame". As the title suggests through the mention of "cheating", the collection presents a gallery of liars, actors, make-believers, and the protagonist of the story is in no way inferior to his fellows in the book. The reader is made aware of this, and of a number of further significant aspects of the character's worldview, thanks to the particular perspective created in text, which this essay will try to illustrate. A remarkable contribution to the construction of such a perspective is given by the very first paragraph:

> Cahal sprayed WD-40 on to the only bolt his spanner wouldn't shift. All the others had come out easily enough but this one was rusted in, the exhaust unit trailing from it. He had tried to hammer it out, he had tried wrenching the exhaust unit this way and that in the hope that something would give way, but nothing had. Half five, he'd told Heslin, and the bloody car wouldn't be ready. (Trevor 1[3])

The reader is immediately told who is going to occupy the most prominent position in the story: Cahal. His name occupies a place to which remarkable salience is attached in a clause, that of theme, which, in Hallidayan terms, represents "the point of departure of the message" (Halliday and Matthiessen 2004, 64). But this clause is the very first one in the very first sentence of the very first paragraph, which gives it notable graphological prominence. Thus, "Cahal" is foregrounded through thematic and graphological prominence as the point of departure of the message, of the sentence and of the story.

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[3] As all quotations are from Trevor 2007, henceforward only page numbers will be shown.

The reader is also immediately told what Cahal does for a living: the mention of WD-40, bolts, his spanner, exhaust units and the car to be fixed proves he is a car mechanic. This very early mention is also announcing that his job must be important to the story, along with the other job indicated so far – that of the dressmaker referred to in the title. And a first meaning that may be inferred at this very early stage is that a working class milieu is being evoked. Moreover, Cahal is an Irish name, which, with all likelihood, introduces an Irish environment. The first paragraph is thus providing the coordinates for locating the protagonist in space, time and social class.

This paragraph also assigns Cahal an extremely important function. What has developed under the reader's eyes in these few lines is a third person narrative, or heterodiegetic narration, in Genette's words (1980), usually associated with "an invisible, 'disembodied', nonparticipating narrator"[4] (Simpson 1993, 51). The last sentence in the paragraph, however, features at least two elements contradicting this view. The first is the adjective "bloody", a strong value judgement, which implies that somebody's values are being expressed (Hunston and Thompson 1999, 5); in this case, it can be only Cahal's, who names the car "bloody" because it won't get fixed in time for him to abide by the agreement with his customer Heslin. Moreover, the adjective "bloody" is a swear word, usually associated with spontaneous forms of communication, especially oral (rather than written third person narrative), and with the expression of strong emotion (rather than with the detached attitude of a nonparticipating narrator). This signals that the narrator is not "disembodied" at all; rather, he is taking on the expression of Cahal's feelings and opinions by using what are represented as the actual words thought by the character.

This relates to the second element in contrast with the traditional view of the nonparticipating narrator, namely, the Discourse Presentation categories used. The introduction of Cahal's "real"

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[4] By contrast, a first person narrative is usually associated with the expression of thought and feelings on the part of the narrator, who is a character participating in the story.

words in a third person narrative and the use of backshifted tense (such as "he had told") signal this is an instance of Free Indirect Thought. This mode of thought presentation, along with its speech counterpart, is a powerful tool for aligning the narrator's perspective with that of a character and is regarded as "a fusion of narratorial and character voices" (Simpson 1993, 21). This means that the narrative is filtered by Cahal's psychological perspective, which makes him a Reflector of fiction (Simpson 1993, 51). In other words, the narrative is originated by the limited perspective of one character and shaped by his or her values and opinions.

Also Free Direct Speech contributes to establishing Cahal's perspective in the last sentence of the paragraph. The words actually spoken, "half four", are deprived of quotation marks, which blurs the boundaries between the source of the narrative and the source of the words, thus emphasising the above-mentioned fusion of narratorial and character voices; moreover, they are followed by the reporting clause, which realises a marked structure[5] placing further emphasis on them. This choice, when compared to the indirect option available "He'd told Heslin that the car would be ready by/at half four" is much more elliptic and therefore more effective in its mimesis of spoken language and of the immediacy of thought.

The psychological point of view strongly signalled by the last sentence extends to the previous sentences in the paragraph, as they are consistent with the value system introduced (that of a mechanic trying to fix a car as quickly as possible, as the lexical choices in the field of mechanics also prove) and with the register adopted. As for the latter point, the sentence

> He had tried to hammer it out, he had tried wrenching the exhaust unit this way and that in the hope that something would give way, but nothing had. (1)

presents at least two elements that may be referred to Cahal's perspective and related use of register. First, repetition of "he had

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[5] "The most neutral ('unmarked') ordering is Sayer-Process-Quoted" (Bloor and Bloor 1995, 122).

tried" is a violation of the Gricean quantity maxim (Grice 1975)[6]. Text could have read "He had tried to hammer it out and wrench the exhaust unit" without the semantic meaning of the sentence being in the least changed. Repetition of the verb phrase mimics the reiteration of his attempts and creates the implicature that Cahal is expressing his annoyance and frustration about their being unsuccessful. Similarly, the adverbial expression "this way and that", which is made up of deictics pointing to Cahal as the reference point in space, and which retains a very colloquial flavour, again suggests that Cahal's actual thoughts in that situation are being accessed. Stylistic choices on the level of syntax and of register are therefore helping construct the Reflector's viewpoint (Douthwaite 2007).

We will see these devices at work throughout the story, as Cahal's perspective is the framework encompassing the largest part of the narrative. This does not mean that the whole text maintains this kind of focalisation[7]. Rather, there are two moments, one of which immediately follows, when the narrator's point of view shifts to Narratorial mode[8] and adopts the external, bird's eye view more usually associated with third person narrative:

> He was a lean, almost scrawny youth, dark-haired, his long
> face usually unsmiling. His garage overalls, over a yellow T-

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[6] On Gricean theory of conversational implicature and its applications to text analysis, see Grundy 2000.

[7] Point of view usually shifts in the course of a narrative.

[8] The second moment is when the question of the Virgin's statue at Pouldearg is explained (see note 10). Being the only two moments in which Narratorial mode is adopted, they stand out in this narrative. In other words, they are foregrounded because they deviate from an established pattern in this text (Douthwaite 2000). Narratorial mode features the detached, "disembodied" view of the narrated material that is typical of third person narrative, as opposed to Reflector mode, in which narrator's and character's viewpoint coincide; Reflector mode is usually a temporary choice against the background of Narratorial mode. The unmarked choice for a character's viewpoint to be aligned with the narrator's is first person narrative (Simpson 1993, 51).

shirt, were oil-stained, gone pale where their green dye had been washed out of them. He was nineteen years old. (2)

The external angle adopted in this sequence allows the reader to get a fuller picture of the character, as a detached narratorial position makes it possible to reveal information about Cahal he would be unlikely to mention about himself in naturally occurring thought or conversation. But the narrative soon returns to its "internal" perspective. A passage follows in which a Spanish couple enters the garage and asks Cahal for a lift to the statue of the Virgin Mary at Pouldearg. The dialogue is followed by a sequence introducing Cahal's perspective as a Reflector again:

> The woman's black hair was silky, drawn back and tied with a red-and-blue ribbon. Her eyes were brown, her teeth very white, her skin olive. She wore the untidy clothes of a traveller: denim trousers, a woollen jacket over a striped red blouse. The man's trousers were the same, his shirt a nondescript shade of greyish blue, a white kerchief at his neck. A few years older than himself, Cahal estimated they'd be. (3)

The first two sentences provide a physical description of the woman. The second sentence is made up of three coordinated clauses presenting the same structure: Noun phrase/Subject + Verb Phrase/Predicator (ellipted in the second and third clause) + Adjectival Phrase/Subject Attribute. The parallel structure, made more compact by ellipsis and by minimal coordination through commas rather than "and", assigns special emphasis to the elements in focus in each clause: "brown", "white" – further emphasised by its premodifier "very" – and "olive". These are all adjectives describing her appearance and the extra focus they gain makes the implicature arise that there is something special about her looks. What is presumably special about brown eyes and olive skin and teeth looking very white against a dark complexion is that they appear unusual to an Irish young man who has not seen much of the

world outside his garage and is more accustomed to fairer skin and eye colour. Thus, even this external description of the woman, although not explicitly attributed to Cahal, must be counted as mediated by his perspective. Similar considerations may be made for the next two sentences, describing her clothes and then the Spanish man's. The fact that three sentences are devoted to the woman's description and only one to the man's, and that the latter contains very generic reference such as "the man's trousers were *the same*" and "a *nonedescript* shade of greyish blue" (my emphasis), signals that the narrator's (hence Cahal's) gaze dwells more on the lady. The flouting of the Gricean maxims of quantity and manner makes the implicature arise that Cahal has a preference for the woman and is attracted to her. Another important element in the development of the story is suggested very obliquely through the protagonist's point of view.

The closing sentence in this paragraph follows a pattern already established at the end of the story's incipit: the technique of Free Indirect Thought is used to introduce Cahal's mental activity, thus signalling that the whole sequence is spoken from his perspective:

> A few years older than himself, Cahal estimated they'd be. (3)

In this sentence the unmarked order of constituents is again subverted, as subject attribute "a few years older than himself" is usually positioned after the copula, whereas here it is placed in thematic position. This may well be representative of the immediacy of the thought itself, which gets a prominent status with respect to the mediated element of the reporting clause. The contraction "they'd" also helps imitating the less articulate nature of thought.

The same strategy is employed in the next passage, where Cahal is again assigned the role of Reflector:

> He could charge them fifty euros, Pouldearg there and back, Cahal considered. He'd miss Germany versus Holland on the television, maybe the best match of the Cup, but never mind that for fifty euros. (3)

Once again the main thought is thematised ("He could charge them fifty euros"), rather than being placed after the reporting verb ("Cahal considered") as would be the case with an unmarked sentence. In addition, the phrase "Pouldearg there and back" is not clearly integrated in sentence structure, thus imitating the spontaneous flow of mental activity. Even the second clause in the second sentence, "never mind that for fifty euros", seems to provide access to the actual words occurred in Cahal's mind. Moreover, Cahal's focalisation also introduces elements of his cultural and ideological background that are relevant to the story's development: the importance he attaches to the 50 euro reward, which strongly motivates him to accept the job, and his interest in football, presumably overcome only by that in money.

The following dialogue between Cahal and his father is also key to the view the reader gets about the story and the characters:

> "What they want with Pouldearg?"
> "Nothing, only the statue."
> "There's no one goes to the statue these times."
> "It's where they're headed."
> "Did you tell them, though, how the thing was?"
> "I did, of course."
> "Why they'd be going out there?"
> "There's people takes photographs of it." (4-5)

The technique characterising the entire sequence is Free Direct Speech. Its free form is determined by the total absence of reporting clauses, which deprives text of narratorial control and suggests that the conversation is developing undisturbed under the reader's eyes[9].

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[9] "The basic principle of Free Direct presentation is the removal, wholly or in part, of the authorial and orthographic clues which accompany a straightforward Direct presentation. A consequence of stripping away these clues is that the reported material, to varying degrees, is liberated from narratorial control. In terms of speech presentation, this often results in

The impression of realism this conveys is further emphasised by the mimesis of the spoken medium detectable at many levels of language. Lexis is characterised by the repetition of low-register verbs such as "go" and by simple and referential vocabulary, including "the thing" instead of, for example, its hyponym "the question". As for grammar, typical elements of the oral medium are used, including contractions, non-standard forms such as a singular verb for "people", the lack or incorrect sequencing of auxiliaries in questions ("What they want with Pouldearg?","Why they'd be going out there?") and the reiterated omission of the relative pronoun "who" ("There's no one goes to the statue these times.", "There's people takes photographs of it.")

The matter-of-factness deriving from this faithful representation of an oral exchange in a similar context, along with the absence of the narratorial modality which reporting mechanisms are apt to convey, concur to give the sequence what Paul Simpson defines as a neutral shading in his modal grammar of point of view (1993, 55). What is neutral in the passage is the attitude expressed by the narrator, who abstains from opinionating on the narrative, so that readers are encouraged to elaborate meaning on their own to form their own view and interpretation of narrated events. In this case, readers know from previous co-text that Cahal has given the Spanish tourists no explanation about the statue. Consequently, when his father asks Cahal whether he has told them "how the thing was" and he confirms, readers realise there is, in Gricean terms, a flouting of the quality maxim or, to put it simply, that Cahal is lying. In other words, his lie is recovered by inference by the readers, who know the previous context. This being a conclusion the readers reach for themselves, rather than receiving it from explicit text, its communicative effect is likely to be more successful than a simple statement of the same meaning (Simpson 1993,122). Moreover, the neutral shading displayed is representative of our Reflector's attitude towards his father: he abstains from opinionating as a narrator because he knows he is lying and provides his father with as

characters 'speaking for themselves' within dialogues that contain little, if any, authorial interference" (Simpson 1993, 23).

little information as possible not to give himself away here or at a later stage – a rule liars should always observe.

It is also worth noticing that the clause "how the thing was" is a superb example of indeterminacy, given the already mentioned versatility of the term "thing" and the minimal information conveyed by the verb "be". In this way, suspense is kept intact about a matter which must be paramount about the ongoing events, as the preceding text suggests. Explanation is provided in the following paragraph, where the narrator tells us that the statue the Spaniards want to visit in Pouldearg was said to weep when penitents asked for pardon of their sins, and that its cult was dropped after a curate had proved that her tears were mere raindrops. The passage introduces the important themes of deception and self-deception: nature had deceived people, or people had deceived themselves, into believing that a miracle had been going on, a situation which will soon find a relevant parallel in Cahal's behaviour. This portion of the narrative is different from the rest as it features very formal language, mainly of Latin origin, and is entirely told through the Discourse Presentation technique of Narrative Report, providing a narratorial detachment which is extremely rare in this story[10]. In other words, the predominant use of Free Indirect Discourse and Reflector mode has created a secondary norm in text (Leech and Short 2007), and deviation from the norm foregrounds the deviating passage and its meaning (Douthwaite 2000).

The narrative then returns to its dominant techniques; Free Indirect Discourse and Reflector mode now interact to represent how Cahal lies to himself to justify his mean conduct towards the Spanish couple:

> It wouldn't be hard to stretch the journey by four or five miles, and if they were misled by the names they'd heard the statue given in Dublin it was no concern of his. (6)

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[10] See note 8.

This sentence is rich in evaluative language: a cleft structure ("it wouldn't be hard to stretch the journey") is used, which is in itself evaluative (Hunston and Thompson, 1999) by allowing two elements to be placed in focus rather than just one as in an unmarked clause (Douthwaite, 2000); by the same token, negatives are an evaluative choice as they create emphasis in comparison to the corresponding positive option – "it would be easy", "it is somebody else's concern" (Hunston and Thompson 1999, 21); the adjective "(not) hard" expresses positive assessment of a situation in which the driver stretches the journey to justify the cost of the ride; the negative hypothesis "if they were misled" is subverted by the closing remark "it was no concern of his". All the above-mentioned material obviously points to the Reflector Cahal as the source of evaluation, whose dishonest intentions are unambiguously declared along with his attempt to play down his own responsibilities in lying to the Spaniards. "It was no concern of his", moreover, retains some flavour of the spoken language in spite of third person usage and the past tense in line with narratorial position, thus making the representation of his thoughts more realistic.

The journey to Pouldearg with the couple is all filtered by Cahal's perception and consciousness, and also Narrative Report is used as well as Free Direct and Indirect Speech to picture him as a Reflector[11], as the following excerpt exemplifies:

> He turned out onto the Loye Road. Spanish was spoken in the back of the car. The radio wasn't working or he'd have put it on for company. The car was a black Ford Cortina with a hundred and eighty thousand miles on the clock; his father had taken it in part exchange. They'd use it until the tax disc expired and then put it aside for spares. (7)

The first sentence, thanks to the directional verb "turn out", establishes Cahal driving his car as the deictic centre in the sequence

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[11] This further strengthens the hypothesis that a linguistic element or strategy not directly associated with the expression of point of view may turn out to be highly evaluative in context (Douthwaite 2007).

(Simpson 1993, 15). The next four sentences are not explicitly related to one another through conjunction; rather, they are simply separated by full stops. What establishes a connection among them is Cahal's train of thoughts: hearing a foreign language spoken makes him think of the radio; the fact that it is not working makes him think that the car is old; the car's age makes him think of what is going to happen when it is used up. And the consistency and realism with which this is carried out is remarkable: putting the car aside for spares is exactly what any professional car mechanic would do!

As text progresses, Cahal's viewpoint becomes more and more prominent:

> The girl clapped her hands, and he could see her smiling in the rearview mirror. God, a woman like that, he thought. Give me a woman like that, he said to himself, and he imagined he was in the car alone with her, that the man wasn't there, that he hadn't come to Ireland with her, that he didn't exist. (8)

The locative phrase "in the rearview mirror" introduces his visual perspective, which is followed by an indication of what is going on in his mind, this time through Free Direct Thought. Once again the Quoted precedes the Process, both with "God, a woman like that" and "Give me a woman like that", and punctuation signalling Direct Speech is avoided to facilitate the merging of narratorial and character's voices. Moreover, Cahal's indulging in such a train of thoughts leads to the introduction of another character, his girlfriend Minnie Fennelly, whose evaluation on the part of our Reflector is not exactly the one a girlfriend would wish to receive:

> He was going with Minnie Fennelly, but, no doubt about it, this woman had the better of her. (9)

After the visit to the statue, the account of the back journey becomes more and more associated with the topics of loving couples and marriage:

> They brought up the man they'd met in the public house in
> Dublin. They kept repeating something, a gabble of English
> words that still appeared to be about getting married. In the
> end, it seemed to Cahal that this man had told them people
> received a marriage blessing when they came to Pouldearg as
> penitents.
> "Did you buy him drinks?" he asked, but that wasn't
> understood, either. (10)

Here modality is key in representing Cahal's difficulty making sense
of his guests' words. The perception modalisers "appeared" and
"seem" represent his uncertainty about the real meaning they are
trying to express, which is underlined by the noun "gabble" in
relation to their English words and by the phrase "In the end",
emphasising the effort the whole process has required. Eventually,
however, his understanding of the situation seems to increase to the
point that he suggests a humorous interpretation of the events they
are reporting. His question about the drinks, the relevance of which
escapes the Spaniards' comprehension, makes the implicature arise
that the man in the pub has made up a story about marriage blessings
and Pouldearg to please them and sponge a couple of drinks off
them. But this failure in conversation puts an end to the exchange
and soon the couple engage in a more rewarding occupation:

> They weren't talking anymore; when he looked in the mirror
> they were kissing, no more than shadows in the gloom, arms
> around one another. (11)

The narrative keeps on being consistently carried out from Cahal's
perspective, as the indication of his perception ("he looked in the
mirror") reminds us. This is extremely important for preparing the
main turn in the story: given both his visual perspective – he is
looking in the mirror rather than keeping his eyes on the road – and
his psychological perspective – he is a teenager with a soft spot for
the Spanish girl catching a glimpse of her kissing her fiancé in the

back seat – he inevitably gets distracted, which will have fatal consequences:

> It was then, just after they'd passed the dead trees, that the child ran out. She came out of the blue cottage and ran at the car. (11)

Another cleft structure introduces the main event in the tale. "Then" carries the focus in the first segment, the more so as it is preceded by scantly informative linguistic material (the dummy subject "it" and the verb "was") and followed by a comma. Moreover, the following rankshifted clause expands the notion of "then" by linking it to a spatial consideration ("after they'd passed the dead trees"). The clause between commas itself, separating the it-clause from the that-clause, is representative of the distance actually run by the Reflector before the main happening, the dead trees providing an ominous foreboding of what is to follow. The suddenness with which the girl appears is rendered through the use of monosyllabic words only ("the child ran out") and by the powerful effect achieved by the use of the definite article. "The" is in fact a trigger of strong existential presupposition: by saying "the child", a speaker presupposes that a child exists and that it is that one in particular (Simpson 1993, 115). In other words, a speaker uses "the" because s/he takes for granted that the noun it refers to is known to her/himself and the addressees, or, to put it shortly, that it is given information (Bloor and Bloor 1995, 66). Excluding the title, however, the child has never been mentioned before in the story. Therefore the use of the linguistic resources to point at given information when the information is actually totally new and unrelated to previous co-text has the strong effect of making the child appear suddenly and unexpectedly before the eyes of the reader, so that s/he experiences some of Cahal's astonishment and bewilderment.

The following clause compound again underlines, through the use of very short and structurally essential constituents, how quickly everything happens and how out of control everything is for the driver: the child is the only Actor in the sentence, performing two

intentional material processes, suggesting that she deliberately approaches the moving vehicle (Bloor and Bloor 1995, 111). In this sentence, however, the reader again experiences deception. The first time one reads this section, in fact, it is natural to make sense of "out of the blue" as a unit in itself and thus to understand that she appeared suddenly and unexpectedly on the road. As one reads on, however, one realises that "blue" is a premodifier of "cottage", thus merely indicating the colour of the building of her provenance. A trick played by the writer to bring the leitmotiv of cheating to the level of information status, and to warn his audience that nobody is safe from deception.

Then the narrative starts to foreground Cahal's active mind again:

> He'd heard of it before, the child on this road who ran out at cars. It had never happened to himself, he'd never even seen a child there any time he'd passed, but often it was mentioned. He felt the thud no more than a second after the headlights picked out the white dress by the wall and then the sudden movement of the child running out. (11)

Through the description of his mental activity, introduced by verbs of perception such as "heard", "he'd […] seen", "felt", the reader is informed that Cahal is acquainted with the existence of a child running at cars in the area, that he recognises this is the child in question, and above all that he clearly, though briefly, perceives the impact of her body against his car. In this way, when he drives on and the text goes: "He saw something white lying there but said to himself he had imagined it," the reader is also informed as to how strong Cahal's self-deception can be.

The state of confusion Cahal falls into after the accident is well represented in the passage recounting the next morning, when Cahal tries to ease his mind by thinking of the football match he had finally watched the night before, only to be overwhelmed by anxiety again.

> In the very early morning, just after half past one, Cahal woke up and couldn't sleep again. He *tried to recall* what he'd seen of the football, the moves there'd been, the saves, the yellow card shown twice. But nothing *seemed* quite right, as if the television pictures and snatches of the commentary had come from a dream, which he *knew* they hadn't. […] He should have stopped; he *didn't know* why he hadn't. He *couldn't remember* braking. He *didn't know* if he'd tried to, he *didn't know* if there hadn't been time. (12)

The passage is dense with epistemic modalisers (italicised), especially with negative polarity (couldn't remember, didn't know), all lowering the commitment the Reflector expresses towards the modalised propositions. These are all markers of what Simpson calls negative shading in narrative, where negative refers to the fact that the narrator, in this case the Reflector, presents the narrative material as uncertain, doubtful, unreliable (Simpson 1993, 53). Another marker of such polarity is the use of comparators, such as "as if" or "like", of which we have an example in this excerpt: "as if the television pictures and snatches of the commentary had come from a dream". Comparison also denies the quality of the narrative material, as it projects a different conceptual framework on it. The effect the combination of these linguistic resources has on the reader is that of conveying a nightmarish feeling of precariousness about both the narrated events and the reliability of the narratorial voice. Suffice it to say that the prototypical author for this kind of shading is Franz Kafka (Simpson 1993, 70).

Then Cahal's nocturnal reflections move on to the child's mother:

> He'd seen the woman who lived there a few times when she came in to the shops, a dressmaker they said she was, small and wiry with dark inquisitive eyes and a twist in her features that made them less appealing than they might have been. When her child had been born to her, the father had not been known—not even to herself, so it was said, though possibly

> without justification. People said she didn't speak about the
> birth of her child. (13)

This is the first mention of the dressmaker in the story, and its salience for Cahal is underscored by the marked structure in which "a dressmaker" is placed: although it functions as subject attribute, it is thematised in the clause, which both expresses emphasis and connects this clause to the previous one, by referring to "the woman", and to the following further realisations of subject attribute, "small and wiry", thus contributing to a strongly cohesive sentence, representative of the associations the protagonist makes while thinking. The following physical description, "small and wiry with dark inquisitive eyes and a twist in her features", offers a sombre, grotesque picture of her, which is foregrounded by alliteration of the sound /w/, to be found in "wiry", "with", "inquisitive" and "twist". As to the rumours, Speech Presentation is again an important element in suggesting opinion. In this case, it is the community's opinion, not Cahal's, as emphasised by the reporting verb "say", which is repeated three times, two of which in connection with "they" and "people," the remaining one being part of an agentless passive clause[12]. In relation to the father who had not been known, "not even to herself" echoes the actual utterance pronounced by gossips, which is foregrounded both graphologically through punctuation (a dash and a comma distinctly isolating it in the sentence) and syntactically by its upshifting to the level of clause, which confers extra informative salience[13] on it. The word "herself" carries the main focus in this unit, its importance being increases by quantitative comparison: it is the only disyllable after a sequence of three monosyllables and before a sequence of four. The stress on the pronoun conveys the blame she is charged with by her

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[12] "When her child had been born to her" is a marked option if compared to the more straightforward "When she had had a child", foregrounding her lack of control over this important event in her life, as she is represented as a mere Beneficiary in the process.

[13] For the importance of rankscale manipulation for meaning making, see chapter 4 in Douthwaite 2000.

community. Cahal's opinion, however, seems to diminish the harshness of people's judgement by introducing an element of doubt: the adversative conjunction "though", the epistemic adverb "possibly" and the prepositional phrase "without justification".

Again, sequencing amplifies meaning through relevant associations, as the next paragraph starts with a foreshadowing of the child's destiny in line with Cahal's fears:

> "One day that kid'll be killed," he heard Fitzie Gill saying, and someone else said the woman wasn't up to looking after the kid. The child was left alone in the house, people said, even for a night while the woman drank by herself in Leahy's, looking around for a man to keep her company. (14)

Through what should be by now a familiar strategy, the Quoted is given special emphasis by right dislocation and by the alliterative pattern repeating /d/, /k/ and /l/ sounds, which further emphasises the prominence the words have. Moreover, it is the only example of Direct Speech in the paragraph, which also distinctly foregrounds it. The alliterated succession of monosyllables has a very strong effect, representative of the impression the words had on Cahal, who still remembers them and the person who pronounced them. The Sayers of the remaining reported clauses are unspecified and information is provided in a more oblique way through the use of Indirect Speech introduced by the reporting clauses "someone else said" and "people said," thus giving the impression that Cahal's connection with such utterances is less vivid and straightforward.

In addition, it may be worth noticing that repetition of the verb "say" plays two important functions in this excerpt. First, like many other lexical choices, it signals the limited vocabulary a teenage uneducated mechanic presumably has at his disposal, which further underscores Cahal's role as a Reflector. Second, it is part of a foregrounding device based on parallelism, as the use of the same verb emphasizes the similarity among the three clauses 'he heard Fitzie Gill saying', 'someone else said' and 'people said'. Turning to what is different in the clauses, a climactic structure may be

identified, as the number of people expressing judgment on the child and her mother increases from one ("Fitzie Gill") to some ("someone else") to a multitude ("people"), which is representative of the increasing criticism being moved to the dressmaker.

As days go by without news of the accident spreading, Cahal starts indulging in the self-deceiving idea that the child may not have been killed in the accident. This disposition, however, is changed when he and Minnie meet the dressmaker in a bar.

> "Will I make your wedding dress for you?" the dressmaker offered. "Would you think of me at all when it'll be time you'd want it?"
> And Minnie Fennelly laughed and said no way they were ready for wedding dresses yet.
> (16)

This is the first time the dressmaker appears as a character directly participating in the narrative. Significantly, she addresses Minnie Fennelly instead of Cahal. What is also unexpected is her asking about her wedding dress, which abruptly brings the topic of marriage back. The girl's response exploits a free indirect form which makes her contribution extremely vivid: although third person is used, "no way" retains the directness and conciseness of a spontaneous answer, reinforced by the absence of "that" after the reporting verb "said" and by the fact it is not well integrated in the grammar of the sentence. Once again, style expresses point of view (Douthwaite 2007): the foregrounding of these words is representative of the special meaning they acquire for Cahal as a foreboding of his rejection on the part of Minnie.

When the body of the child is finally discovered, the transitivity pattern employed emphasises her lifelessness:

> The dressmaker's child was found where she'd lain for several days, at the bottom of a fissure, half covered with shale, in the exhausted quarry half a mile from where she'd lived. (18)

"Was found", "covered" are the processes of which she is a mere object, whereas the process "she'd lived", of which she is actor, is represented as more distant on a temporal plane by the use of the past perfect, and less important in the sentence by being downshifted, as it is placed within a relative clause embedded in a prepositional phrase, which in turn belongs to another prepositional phrase (Douthwaite 2000, 286).

This, however, is not the end of Cahal's trouble. One night, while he is on his way to meeting Minnie Fennelly, he finds out the dressmaker is there and wants to talk to him. At first she invites him to her place, only to meet with his refusal. Then she turns to the night of the accident:

> "I didn't go to them [the police] any quicker for fear they'd track down the way it was when the lead would be fresh for them. D'you understand me, Cahal?" (19) […]
> "I swear before God, what's happened is done with. Come back with me now, Cahal."
> "Nothing happened, nothing's done with. There was Spanish people in the car the entire time. I drove them out to Pouldearg and back again to Macey's Hotel."
> "Minnie Fennelly's no use to you, Cahal." (21)

Free Direct Speech in its neutral polarity leaves disturbing truths for the reader to elaborate: that she has not reported her daughter disappearance for the police not to track Cahal, an appalling statement on the part of a mother who has lost her child that way; that she is willing to forget everything and take Cahal to her place – quite a puzzling invitation; that Cahal keeps on lying, especially to himself, by denying the accident before a woman who seems to be perfectly aware of the events. The closing remark, apparently unrelated to the rest of the conversation, as Minnie has hitherto not been mentioned in this dialogue, begins to cast some light on the previous remarks. The dressmaker has saved Cahal from jail, wants him home with her and believes Minnie not to be the right girl for

him. Although Cahal is not acquainted with the Gricean maxim of relevance, the connection does not escape him; and in the next paragraph, where a description of her from his spatial and psychological point of view unfolds, he strikes a comparison between her and the Spanish girl, thus implying the sexual connotation of his judgement:

> He had never seen the dressmaker up close before. She was younger than he'd thought, but still looked what she was—a fair bit older than himself, maybe twelve or thirteen years. The twist in her face wasn't ugly, but it spoilt what might have been beauty of a kind, and he remembered the flawless beauty of the Spanish girl and the silkiness of her hair. The dressmaker's hair was black, too, but wild and matted, limply straggling, falling to her shoulders. The eyes that had stared so intensely at him in the Cyber Café were bleary. Her full lips were drawn back in a smile, one of her teeth slightly chipped. Cahal walked away and she did not follow him. (21)

The passage still features Cahal as the Reflector of fiction. His spatial perspective is established by deixis, indicating his closeness to the dressmaker at the beginning ("up close") and movement away from her at the end ("walked away," "she did not follow him"). In between, we have a description of the woman the point of reference of which is always Cahal, either in space, time and/or psychological situation.

This encounter marks the beginning of an obsessed state of mind on Cahal's part, brilliantly suggested by the opening of the next paragraph:

> That was the beginning; there was no end. In the town, though never again at night, she was always there: Cahal knew that was an illusion, that she wasn't always there but seemed so because her presence on each occasion meant so much. (21)

In the first sentence, the two main clauses, connected only by a semi-colon, with their parallel structures emphasise this is a turning point in the story. She begins to haunt him, and he gets to know from rumours and gossip that her life has taken a new direction thanks to a more sober and respectable conduct. He also changes his ways, causing his astonished family to search for an explanation. His own preoccupations, however, are well expressed by the next paragraph:

> During all this time – passing in other ways quite normally – the child was lifted again and again from the cleft in the rocks, still in her nightdress as Cahal had seen her, laid out and wrapped as the dead are wrapped. If he hadn't had to change the wheel he would have passed the cottage at a different time and the chances were she wouldn't have been ready to run out, wouldn't just then have felt inclined to. If he'd explained to the Spaniards about the Virgin's tears being no more than rain he wouldn't have been on the road at all. (22)

The fronted adverbial sets a long time span as a framework for the clauses to follow, where repetition is the keyword. Linguistic repetition ("again and again", "wrapped as the dead are wrapped") is representative of the repetitiveness with which such images haunt his mind. Even the next two sentences, both containing a conditional structure, present the incidents occurred on that night as negative possibilities, thus suggesting that he thinks over and over again of what might have been. And a further sign of his obsession is that the news of Minnie's wedding is reported in relation to the time of the drive to the statue.

> When a little more than a year had passed since the evening he'd driven the Spanish couple out to Pouldearg, he attended Minnie Fennelly's wedding to Des Downey, a vet from Athenry. (23)

Immediately after this disclosure, a revelation in line with Cahal's remorseful reflections follows:

> The dressmaker had not said it, but it was what there had been between them in the darkened streets: that he had gone back, walking out as he had wanted to that night when he'd lain awake, that her child had been there where she had fallen on the road, that he had carried her to the quarry. And Cahal knew it was the dressmaker, not he, who had done that. (23)

The last sentence in the paragraph provides a solution to the mystery, but not to the young man's problems. And it does not put an end to Cahal's deception and self-deception either. He never confesses the truth to anybody, but he starts visiting the Virgin of Pouldearg to ask for forgiveness, also experiencing the view of teardrops on the statue's face:

> Once when he was at Pouldearg Cahal noticed the glisten of what had once been taken for tears on the Virgin's cheek. He touched the hollow where this moisture had accumulated and raised his dampened finger to his lips. It did not taste of salt, but that made no difference. (23)

Whether the tears are real or not does not make any difference in the story, just as lying or telling the truth does not make any difference in Cahal's community. The only one who is able to perceive the difference is the reader, because s/he has access to Cahal's point of view.

For a full recognition of the import of this representation of point of view, a few conclusive remarks may be needed. This analysis has attempted to illustrate how the protagonist's point of view is constructed and sustained throughout the story. This choice of point of view is an unusual one, because third person narratives normally avail themselves of a similar alignment of narrator and character viewpoint to a much lesser extent than this story. Thus, as a deviation from a genre-related norm, it may take extra effort to be

consciously acknowledged. This may not seem to be the case in Joycian prose, for example; but there the rules of textual presentation are more blatantly unattended, which signals deviation from a norm more clearly. Here we do not have the degree of ellipsis characterising many famous excerpts from *Ulysses* or *Finnegan's Wake*[14]. But we do have marked choices producing particular effects at a pragmatic level, as the examples cited above have hopefully demonstrated. For this reason, I believe that this analysis may have shed some light on aspects of Trevor's texts that may otherwise be difficult to identify. For the same reason, I think an analysis aimed at highlighting how point of view is represented in this as well as in other texts may provide a useful toolkit for those who work on text and need to identify this important constitutive element in it. For example, I believe this theoretical and practical exercise may be of extreme importance for translators and interpreters, who need to understand and render not only the semantic, but also the pragmatic and textual aspects of the source text[15]. This type of analysis may also serve as a basis for critics who are concerned with close analyses of texts. Even those professionals who wish to transpose written text into a different form, for example by turning a novel or a short story it into a film or play, may profit from this analysis because the perspective on the narrated material is undoubtedly one of the main features to be transposed. Most importantly, the elements of point of view identified in this analysis

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[14] "Stream of consciousness, or 'interior monologue' as it is otherwise known, may be characterized as a form of Free Direct Thought which displays ellipsis. A little crude and simplistic, to be sure, but at least it is a definition which is related explicitly to stylistic criteria. A further implication of the use of FDT is that if it is sustained over a period the narrative gradually switches to first-person focalization. As Booth observes, 'any sustained inside view, of whatever depth, temporarily turns the character whose mind is shown into a narrator' (1961:164)." (Simpson 1993, 25). Simpson also relates the technique of Free Indirect Discourse to the so called "indirect interior monologue" (26).

[15] For a treatment of the semantic, pragmatic and textual aspects of meaning in translation, see House 1997.

do not realise their functions only in this text. Rather, they work in similar ways in literary, non-literary and multimodal texts. Hence, an in-depth comprehension of the angle of telling represented in text is an asset in a number of communicative situations and contexts, and may therefore find useful applications in a variety of forms of communication.

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PERO NI QUE WHAT I AM? FRONTERAS Y GRAMÁTICAS DE LA NEGACIÓN

Laura Sanfelici

If it is true that the concept of grammar can be associated with the concept of frontier only in a symbolic sense, it is certainly true that a frontier has its own grammar, that of territorial borders and limits. Spanish goes beyond this, making a distinction between línea, *the physical and juridic frontier that separates Mexico from the United States, and* frontera, *the area of two thousand miles where myriad exchanges take place everyday. In addition to these, there is the* frontera móvil *that follows Latinos wherever they reside in the United States. As a result, they live in a condition of biculturalism that stems from their "bisensibilismo". Both however require an instrument, namely a language, with its own grammar, in order for them to be expressed. This article, using the insights of contact linguistics, investigates where some Hispanic women writers of the United States are on this frontier in terms of their linguistic choices. In this way, linguistic choice deconstructs cultural hegemony and constructs new forms of relations between peoples and cultures.*

1. Los límites

Límites territoriales, barreras, fronteras. La lengua española, según Mike Davis (2001), va más allá, distinguendo entre *línea*, la frontera física y jurídica que separa México y Estados Unidos y que Gloria Anzaldúa define como "*una herida abierta, donde el tercer mundo raspa contra el primero y sangra. Y antes de que se pueda formar una crosta, vuelve a sangrar, y la sangre vital de dos mundos confluye a formar un tercer país, una cultura fronteriza*" (Anzaldúa 3), y la *frontera*. La *frontera* es un área de 2000 millas cuadradas interesada en cotidianos intercambios económicos. Tampoco se puede olvidar la que el mismo Davis define como una frontera móvil, que persigue como una sombra a todos los latinos dondequiera que ellos residan en los Estados Unidos, sea en Los Ángeles, en Nueva York o en Chicago. La *frontera* existe y atraviesa toda ciudad norteamericana que vive desde hace décadas el

fenómeno de la "latinización", como se podría decir a través de un neologismo, la revolución social y demográfica capaces de cambiar para siempre la sociedad estadounidense. Es el mundo del mestizaje, de lo híbrido, de la pertenecencia a dos mundos, o quizá a ninguno de los dos. O a un tercero, resultado de una síntesis. Villanueva define esta condición como *biculturalismo* o *bivisualismo*, o sea la capacidad de considerar una cosa desde dos puntos de vista. Introduce también el concepto de *bisensibilismo*, es decir "*la doble sensibilidad, que voy a llamar 'bisensibilismo', que ha sido engendrada por nuestra circunstancia bicultural*" (Villanueva 54), una bisensibilidad capaz de negociar las culturas, de articular un código pluralista a través del cual expresarse, aceptándose con orgullo, porque significa ser el producto de una "doble alma" (Sanfelici 12) reconociéndose, como tal, capaz de superar las barreras del rechazo *a priori* de la cultura adquirida, para proponer una nueva realidad a través de la renovación de las tradicionales formas expresivas, fundiendo en el cuerpo vivo de la lengua pasado y presente. Solo de esta manera la cultura del mestizaje podrá alcanzar una dignidad literaria, una consagración oficial que la podrá emancipar de los *suburbs* norteamericanos.

El propósito de este artículo es analizar cómo, a través de la lengua, algunas autoras latinas han expresado su sentido de pertenencia, y una nueva "gramática" capaz de expresarla. Una cultura y su lengua, entonces, fruto del contacto entre el inglés y el español en los Estados Unidos. Se trata de un fenómeno amplio y complejo, pero también interesante y original. Comprenderlo significa superar la noción de monoliticidad del código lingüístico dentro de un análisis pragmático. Tenemos que observarlo y estudiarlo en el intercambio lingüístico cotidiano entre individuos, grupos sociales y comunidad, además de describir su léxico, fonética, morfología y sintaxis por áreas geográficas, generaciones de hispanohablantes y estratificaciones sociales. Podemos decir, en primer lugar, que la americanización no ha funcionado. La solución no es "americanizar" sino comprender y armonizar. Crear una cultura más grande en la que todos se reconozcan. Salir del dualismo "anglo/hispano" para combatir la construcción de falsas identidades es como volver al punto

de partida, al concepto de frontera, a la noción que todo Latino atraviesa y, al mismo tiempo, representa:

> La lengua es una marca de frontera, y el origen de la creación de la identidad. La existencia de las lenguas hace inevitable las fronteras entre individuos y comunidades, que son, no obstante, atravesadas por estos mismos individuos diferentes. La lengua es el primer elemento diferenciador, que a su vez es posible denominar frontera móvil que se fabrica al activar los dispositivos del lenguaje, cualquier lenguaje, que se desvanece con el silencio. La lengua es el primer instrumento de comunicación entre los hombres, lo que une y separa al mismo tiempo, al igual que una frontera, todas las fronteras. El interés de la analogía entre lengua e identidad, mediatizada por su esencia fronteriza permanente, reside en el poder significante que la primera adquiere por lo que se deriva de su esencia mutante y su capacidad para desplazarse con todos sus *portadores*, al igual que para contaminarse sin dejar de permanecer tal cual es. (Gras Balaguer 76)

Lengua e identidad, identidad y cultura, cultura e identidad cultural. El cuadro parece bastante complejo, sobre todo si tenemos en cuenta, escribe Torres, la condición fronteriza en la que lengua e identidades conviven:

> Lenguas e identidades viven en una permanente condición fronteriza, con distintos grados, obviamente en función de circunstancias concretas. El encuentro con el otro produce cada vez más impacto y la noción de *extranjero* se vuelve problemática. Lenguas e identidades están en constante creación y cambio. Sus fronteras, sus márgenes, se vuelven centro: centro del desafío, objeto del deseo de transgresión, necesidad de paso. (Torres Torres 11)

Se habla también de identidades mestizas, híbridas, interculturales; se hace referencia a una doble sensibilidad, al biculturalismo, al bilingüismo. Hay que considerar el lenguaje al mismo tiempo creador y producto de la cultura; reflejo y germen creador de un pueblo. La cultura es la capacidad del hombre no sólo de adaptarse al ambiente, sino también de adaptarlo a su vez, transformando la naturaleza. Nace con Barth (1994) una nueva concepción de cultura, que considera la identidad dentro de las relaciones entre los grupos sociales. La identidad es el resultado de un complejo entramado de auto-identidad y de hetero-identidad, es decir definida por los demás. De acuerdo con esta teoría, cualquier identificación es al mismo tiempo una diferenciación. Siempre Barth subraya la intención que está en la base de todo proceso de identificación, el perfilarse de un límite entre distintos grupos de una frontera. La etnicidad, resultado final del proceso de identificación, es nada más la organización social de las diferencias culturales. La etnicidad no se explicaría simplemente a través del estudio de los elementos que constituyen una cultura, sino a través de mecanismos en los que las estrategias interactúan, con una serie de estrategias para crear diferencias. Se trata, en fin, de la construcción de verdaderas fronteras.

Toda lengua es una frontera. Una frontera móvil que el sujeto lleva dentro de sí mismo, elemento concreto de diferenciación con los demás. De herramienta de comunicación entre los individuos, entonces, pasa a ser posible símbolo de incomprensión, división. Pero la lengua es también una de las columnas sobre las que se apoya el concepto de identidad, vehículo privilegiado de transmisión cultural.

En los Estados Unidos, sobre la base del origen latino y de la lengua común, 50 millones de personas se definen a través de diferentes apelativos. Los más difundidos, *Hispanic* y Latino. Pero la pregunta es: ¿es todavía legítimo hablar de Hispanics o Latinos? Arturo Madrid, intelectual chicano, sostiene que históricamente:

> Los latinos no han formado nunca parte de la 'comunidad imaginada' de Estados Unidos. Y las pocas veces que se los imaginó como parte de ella fue por defecto, es decir en unos términos que los definían como no asimilables a las coordenadas de esa comunidad imaginada norteamericana. (Pastor, en línea)

Es un proceso de *defining out*, a través del cual el individuo se define en contraste con el así llamado *mainstream*. El *in-group (us) and out-group (them).* Además, la comunidad hispana en los Estados Unidos es todo menos homogénea. Sería más apropiado hablar de grupos nacionales, por ejemplo cubanos, puertorriqueños, mexicanos, dominicanos, etc. Y aún así, hablar de los puertorriqueños de Puerto Rico y de Nueva York no es lo mismo. Para éstos, de hecho, se ha creado un nombre *ad hoc*: *Neo-Ricans*.

Para ir más allá del *Census Bureau*, hay que tomar en consideración otras definiciones. Al día siguiente del tratado de Guadalupe-Hidalgo los habitantes del sur-oeste se convirtieron en *Hyphenated-Americans*: *Latin-Americans*, *Spanish-Americans*, *Spanish-surname*, *Spanish-speaking*, *Mexican-Americans*. En el lenguaje cotidiano, en cambio, surgieron con el tiempo otros apelativos para definirlos: Chicanos, La Raza, Greaser, Pochos, Cholos, Pachucos. Si los Chicanos son los recién llegados de México, los Pochos, en cambio, son los "mexicanos americanizados", por haber nacido en los Estados Unidos y por sentirse "más de acá que de allá". Ha explicado bien la diferencia Ernesto Galarza en Barrio Boy (1972). Pocho es el desarraigado de sus tierras y sus raíces. Su figura es dibujada magistralmente por José Antonio Villareal en la novela Pocho (1959). El Pachuco es el *outsider*, el que rechaza la cultura de origen sin aceptar la nueva. A los Puertorriqueños, que se han establecido en el área de Nueva York, se les llama Spics. Esmeralda Santiago, en su autobiografía nos explica, a través del diálogo entre ella siendo niña y su padre, el origen del término:

-Nosotros los llamamos gringos, ellos nos llaman spiks.

-¿Qué quiere decir eso?
- Bueno, se sentó, puso sus codos sobre sus rodillas y miró el suelo como si estuviera abochornado, "hay muchos puertorriqueños en Nueva York, y cuando un Americano les habla, dicen: 'Ay no spik inglis', en vez de 'Ai dont spik inglish'. Se burlan de nuestro acento. (Santiago 80)

El idioma como expresión y vehículo cultural, la lengua, otra vez más, como expresión y vehículo cultural, el idioma como una de las barreras principales entre los WASP y los Latinos.

2. **La gramática de frontera**

¿Qué español usan las autoras latinas en los Estados Unidos? Es más, ¿escriben en español? Cabe desambiguar, en primer lugar, el concepto de español en los Estados Unidos, cuyo análisis se ve afectado, como afirma Lipski, del estéril debate que tiene como objeto el *Spanglish* y su dignidad. Sería imposible profundizar ahora en el tema de la polémica, pero cabe preguntarse si es verdad lo que dice Lipski:

> En el exterior, es generalizada la opinión que los dialectos hispano-americanos se van convirtiendo en híbridos parcialmente acriollados, resultado de una comunidad que habla español a la vez que piensa en inglés. En realidad, la situación es muy otra, ya que existen grandes cantidades de norteamericanos hispanohablantes cuyo dominio del castellano no se distingue en absoluto del habla de los respectivos países ancestrales, salvo en el caso de unos préstamos léxicos del inglés. Siempre es posible señalar el lenguaje de algunas personas en el que se destacan ejemplos de la descomposición del sistema gramatical y aun fonológico del español de acuerdo con los patrones del inglés, de manera que habría que admitir la eventualidad de una transformación en híbrido bilectal a largo plazo. Pero son casos realmente excepcionales; el español—producto de inmigración

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constante así como de reproducción natural en suelo estadounidense—mantiene sus bases fundamentales a la vez que se compenetra con la lengua inglesa y la cultura anglonorteamericana. (Lipski 2003)

Esmeralda Santiago en la prefacción de *Cuando era puertorriqueña*, en cambio afirma que:

Cuando escribo en inglés, tengo que traducir del español que guarda mis memorias. Cuando hablo en español, tengo que traducir del inglés que define mi presente. Y cuando escribo en español, me encuentro en medio de tres idiomas, el español de mi infancia, el inglés de mi madurez y el espanglés que cruza de un mundo al otro tal como cruzamos nosotros de nuestro barrio en Puerto Rico a las Barriadas de Brooklin. (Santiago XVII)

El mismo Spolsky, cuando habla del language shift se refiere al pasaje lento y gradual que incluye fases de diglosia y bilingüismo:

In a simple model, the first generation of immigrants starts to pick up the new language outside the home, but generally do not switch until children start to acquire proficiency and commitment to the new language in school or in contact with their peers. The second generation then is bilingual, and the third, unless there is continuing contact with the first generation monolingual, tends to switch completely to the new language. (Spolsky 44)

Sin embargo, para muchos el *Spanglish* no es solo un fenómeno lingüístico y la voz de la comunidad hispanohablante en los Estados Unidos, es una metáfora para una nueva forma de vida, un espacio cultural cuyas fronteras, casi como una paradoja, parecen no tener límites. Con el fenómeno de la globalización, todo se convierte en *Spanglish*: razas, naciones, lenguas. El *Spanglish* como producto,

entonces, lo encontramos en el cine, en los anuncios, en la música, en la literatura.

Sin valorar el fenómeno y con con la mera intención de enfocarlo desde la perspectiva del contacto de lenguas, podemos relacionarlo con préstamos léxicos del inglés, cuando la forma fonética del inglés es adaptada a la fonología de la lengua receptora, como en el caso de *troca* (*truck* en inglés y camión en español), *lonche* (*lunch* en inglés y almuerzo en español); los calcos, como en el caso de escuela alta (*high school* en inglés), préstamos semánticos, como en el caso de "ordenar una pizza" en lugar de encargar una pizza, o no "realicé que", en lugar de no me di cuenta (del inglés *to realize*). A veces engloba a toda una estructura sintáctica, como "te llamo para atrás" en lugar de "te vuelvo a llamar" (del inglés *I call you back*). Muchos estudiosos identifican el *Spanglish* con la "mezcla de códigos" (*code mixing*) y el "cambio" o "alternancia de códigos" (*code switching*). En el primer caso, el bilingüe incorpora elementos de una lengua en la otra, sin separar completamente los dos códigos; en el segundo caso, el hablante puede pasar rápidamente y sin esfuerzo de un código al otro. Se habla de "mezcla de códigos" en referencia a los cambios intraoracionales, como en el caso de "I visit mi abuelo at the weekends" y de "cambio de códigos" en alusión a los interoracionales*: it's been a long time since we last met*. ¿Cómo estás?

Appel y Muysken (1996), en su estudio sobre el uso lingüístico en las comunidades bilingües, aplicando el marco funcionalista de Jakobson (1960), sugieren una serie de funciones de la alternancia de códigos: referencial, cuando implica la poca familiaridad de parte del hablante para tratar un tema concreto; la función directiva, que implica directamente al oyente; la función expresiva, enfatizada por Poplack (1980), en la que los hablantes enfatizan una identidad mixta a través del uso de dos lenguas en el mismo discurso. Si se cambia el tono de la conversación, la función puede ser fática. Cuando se usa la alternancia de códigos para comentar las lenguas implicadas se hace un uso metalingüístico de la alternancia. El uso poético, para concluir, implica juegos de palabras, chistes, etc.

Aplicando el estudio del contacto de lenguas a la producción de algunas autoras latinas, veremos que la función que cumple en ellas la alternancia de códigos es la expresiva.

Para concluir el tema del *Spanglish*, cabe preguntarse si se debe concebir como una nueva lengua como afirma Torres:

> […] de la misma manera que los especialistas proponen criterios de distinción entre *lengua* y *dialecto*, también los proponen para determinar si una variedad lingüística surgida de otras dos constituye un nuevo idioma o no. Se dice que es necesario que esa variedad presente unas características estructurales manifiestamente diferentes de las propias de las lenguas que le dan origen; asímismo, se considera un requisito que haya llegado a una cierta estabilidad formal, y que ocupe todas las funciones sociales, no únicamente las del ámbito familiar y coloquial; en alguna medida, debe tenerse en cuenta además la opinión de los hablantes sobre el estatus de su variedad. ¿De qué manera encajan los criterios anteriores con el *Spanglish*? ¿Es realmente tan importante poner una etiqueta a unos hechos lingüísticos? ¿No pueden los membretes, en ocasiones, convertirse en una especie de trampa? (Torres, en línea)

En conclusión, siempre Torres explica que hay que esperar y ver si el Spanglish desarrolla un proceso de gramaticalización y de expansión en sus dominios de uso para que pueda llegar a ser considerado una lengua. Su futuro está en las manos de quienes lo hablan. Por ahora, lo que se puede afirmar es que se trata de una variedad y cuya utilización no debe considerarse como un desconocimiento del inglés porque "*ser multilingüe y multidialectal es, a veces, una necesidad, y siempre una virtud*" (Torres, en línea).

3. **Gramática y literatura**

Ana Lydia Vega, a través de un cuento muy conocido, *Pollito Chicken*, analiza lúcida y tajantemente las dos culturas que se contraponen: la latina y la anglosajona. A través de este cuento humorístico, su contribución al debate acerca de la identidad lingüística resulta imprescindible. El idioma que la autora usa en el cuento es emblemático para explicar la laceración profunda de quien, por un lado, quiere renegar de sus humildes orígenes intentando asimilar una cultura y unos valores que nunca le podrán pertenecer totalmente. La lengua que usa en el cuento –una mezcla de inglés y español- es emblemático para describir la confusión mental de la protagonista; en un pasaje continuo entre inglés y español la autora se mueve dentro de dos hemisferios que componen el mundo cultural de la protagonista. El objetivo del trabajo es subrayar como Suzie, este es su nombre, inmersa en un mundo bilingüe, con matices de mejora o peyorativos muy marcados en cada uno de los idiomas, elige la lengua materna, el español, en los momentos culminantes del sentimiento, tanto positivo como negativo: miedo, soledad, rechazo, alegría, sorpresa o placer sexual. El inglés, por contra, se usa en situaciones de trabajo, institucionales, dentro de un mundo ordenado y organizado. La trama es muy simple, dando la ocasión, sin embargo, para reflexiones para nada banales. Suzie Bermúdez, de origen puertorriqueño pero residente hace tiempo en Nueva York, poco a poco ha ido renegando sus orígenes, no solo tiñiéndose el pelo, sino también apropiándose, poco a poco, de los valores de la sociedad norteamericana y no perdiendo nunca la oportunidad para rebajar su tierra de origen. De vacaciones en Puerto Rico, observa su isla con superioridad, fingiendo incluso que no entiende el español. Pero cuando un *latin lover* isleño la invita a una copa, bajo los efectos del alcohol, se abandona a su yo más profundo, tanto que el camarero afirma: "La tipa del 306 no sabe si es gringa o pueltorra, bródel. Pide room service en inglés legal pero, cuando la pongo a gozal, abre la boca a grital en boricua". (Vega 80).

Ana Lydia Vega expresa la identidad bilingüe y bicultural de la protagonista a través de la alternancia entre inglés y español en la narración, que cumple una función expresiva, incluyendo también rasgos típicos de la pronunciación puertorriqueña, como símbolo de la identidad isleña.

Entre dos culturas se coloca también Gloria Anzaldúa, "norteada", como afirma ella misma, por todas las voces que le hablan simultáneamente:

> Because I, a mestiza
> continually walk out of one culture
> and into another
> because I am in all cultures at the same time,
> *alma entre dos mundos, tres, cuatro,*
> *me zumba la cabeza con lo contradictorio.*
> *Estoy norteada por todas las voces que me hablan*
> *Simultáneamente* (Anzaldúa 77)

Como afirma Paola Zaccaria (2000), Anzaldúa, posicionándose en la frontera desde el mismo título de la obra no contrapone "borderlands" a "frontera", el objetivo de la repetición lingüística es la armonización de los dos idiomas, lengua al lado de lengua y lengua contra lengua. El concepto de frontera se convierte en una herramienta de destrucción de las ideologías de las culturas hegemónicas y construcción de nuevas modalidades relacionadas entre pueblos y culturas. Porque, como dice la misma Anzaldúa, para vivir in the Borderlands tienes que vivir sin fronteras, para convertirte en una encrucijada.

> To live in the Borderlands means you
> are neither hispana india negra española
> ni gabacha, eres mestiza, mulata, half-breed
> caught in the crossfire between camps
> while carrying all five races on your back
> not knowing which side to turn to, run from;

[…]

To survive the Borderlands
you must live sin fronteras
be a crossroads.(Anzaldúa 194-195)

Anzaldúa no solo utiliza la expresión borderlands para definir la frontera física sino también las fronteras psíquicas y abstractas que hay, por ejemplo las entre culturas, etnias y sexos; en estos casos escribe Borderlands con mayúscula. El *ni* y el *neither* niegan una identidad fija. Se describe la autora a través de lo que *no* es. El mismo proceso que desarrolla Sandra María Esteves, que, después de la negación, va más allá preguntándose "*Pero ni que* what am I?" En la misma pregunta sobre su identidad encontramos la negación:

Being *Puertorriqueña Dominicana*
Born in the Bronx, not really *jibara*
Not really *hablando bien*
But yet, not *Gringa* either
Pero ni portorra, pero si portorra too
Pero ni que what am I?
Y que soy, pero con what voice do my lips move? (Esteves 26)

Como afirma Skar (2001), su nacimiento en Nueva York indica una falta de reconocimiento con la realidad rural, del jíbaro puertorriqueño. Cuando dice "not really hablando bien" hace referencia a su español que ya no es el de la isla. Pero tampoco se siente "gringa". Quizá la respuesta se encuentre en la misma pregunta, en la que mezcla los dos idiomas, tal como se mezclan las partes que forman su identidad.

El uso de las partículas negativas traducen su *defining out* y de una identidad que se autodefine a través de lo que no es. Es la nueva gramática de la identidad de frontera, que usan también Aurora Levins Morales y Rosario Morales en *Child of las Américas*:

I am not African. Africa is in me, but I cannot return.
I am not taína. Taíno is in me, but there is no way back.
I am not European. Europe lives in me, but I have no home
there.
I am new. History made me. My first language was spanglish.
I was born at the crossroads
And I am whole. (Levins Morales y Morales 50)

4. **Conclusión**

Si es verdad que el concepto de gramática solo se puede usar junto al de frontera en sentido simbólico, no se puede negar que la frontera tiene su propia gramática. Como afirma Gras Balaguer (2002) la primera frontera es la lengua, y la lengua se representa en el habla. Que es la primera portadora de diferencias. En cuanto al habla se refiere y según lo que en ella se afirma, yo soy artífice de mi proprio lenguaje. A través del habla descubrimos a los otros sujetos y lo que nos diferencia de ellos. El habla desvela la soledad, el aislamiento, pero también el proprio espacio interior que nos une al otro, para comprenderlo permitiédonos relacionarnos con él. Es más. A través del habla cada cual es libre de determinar fronteras, definir espacios físicos y temporales, afirmando o negando lo que se es, pero nunca rechazando lo que se fue, porque siempre forma parte de su ser que se transforma cada día, como han demostrado Ana Lydia Vega, Gloria Anzaldúa, Sandra María Esteves, Aurora Levins Morales y Rosario Morales.

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SAGGEZZA E DEBOLEZZE FEMMINILI NELLA SCHWEDISCHE GRÄFIN VON G*** DI CHRISTIAN F. GELLERT

Serena Spazzarini

This paper investigates how Christian F. Gellert (1715-1769) in Leben der schwedischen Gräfin von G*** *(1747-48) presents a character "whom the reader can attempt to emulate" (Linda M. Marlow) and while doing this produces a Moral Novel.*

Secondo Johann Andreas Cramer (1723-1788), primo biografo ufficiale di Christian F. Gellert, questi elaborò il suo unico romanzo con "il desiderio di usare di questo genere letterario per un insegnamento morale": se da un lato, però, il Professore di Estetica e Retorica adottò questo genere per agevolare una comprensione più immediata dei concetti, fatto che ribadì durante la prolusione che tenne a Lipsia nel 1751[1], con la *Schwedische Gräfin*, come sostiene Bernd Witte, egli optò per un genere che riteneva appropriato al destinatario ideale della propria narrazione, la donna.[2] Con un romanzo epistolare, inoltre, Gellert poteva avvalersi dello stesso criterio "di genere" anche per lo stile – differenziato – delle lettere introdotte, un criterio che il Professore espose nel dettaglio all'interno del trattato di stile che pubblicò nel 1751.[3] A evitare che la lettrice non fosse esposta a una lettura pericolosamente emozionale, inoltre, secondo Wolfgang Bunzel, Gellert troncherebbe ogni momento di *Spannung*[4], di quella tensione dunque che avrebbe forse invalidato un'educazione sentimentale equilibrata e ragionevolmente controllata,

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[1] La prolusione recava il significativo titolo *Von dem Einflusse der schönen Wissenschaften auf das Herz und die Sitten*. Cfr. Gellert, *Gesammelte Schriften*, p. 89.

[2] Cfr. Witte, *Die Frau, die Schrift, der Tod*, p. 128; cfr. anche Witte, *Der Roman als moralische Anstalt*, p. 152.

[3] Cfr. Ebrecht, p. 84.

[4] Cfr. Bunzel, p. 382.

e che avrebbe compromesso la realizzazione di quella che Erich Schön definì "Aufklärung der Affekte".[5] In questo che, come ricorda ancora Witte, lo stesso Gellert identificò essere una sorta di "catechismo",[6] ogni riflessione, giudizio o commento da parte dei personaggi – in modo particolare della narratrice –, mirano così a educare il lettore implicito, una fanciulla che nel romanzo poteva trovare utili ragguagli su come comportarsi nelle relazioni sociali e, soprattutto, nella vita matrimoniale.[7] Il romanzo si proponeva quindi come una sorta di manuale di utili consigli pensato per chi, come ogni altra donna dell'epoca, non doveva diventare una "Gelehrte von Profeßion",[8] ma piuttosto ricercare la propria realizzazione personale all'interno del chiuso ambiente domestico. La contessa svedese è dunque un personaggio concepito per rappresentare un tipo di donna che, rispettando le norme morali, osservando con convinzione i precetti religiosi e dando prova di saper dominare impulsi ed emozioni con lucida ragionevolezza, dimostrasse come si potesse vivere secondo decoro e armoniosa concordia.

Il racconto autobiografico della contessa ha inizio con l'accenno all'educazione ricevuta, l'unico aspetto della propria infanzia che l'anziana signora riferisce nel dettaglio. In una condizione di "Vollwaise", la piccola orfana viene così affidata alle cure dei cugini – come il padre nobili di campagna – i quali, senza cedere a un atteggiamento affettuosamente indulgente, le permettono di sviluppare quelle facoltà intellettuali che le consentiranno di essere padrona del proprio destino.[9] Se, però, da un lato il metodo pedagogico seguito dal cugino mira a un tipo di educazione che non

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[5] Schön, p. 38.

[6] Witte, *Der Roman als moralische Anstalt*, p. 160. Per la lettera in cui si trova questa definizione, cfr. C. Gellert, *Gesammelte Schriften*, p. 213.

[7] Ogniqualvolta l'autore risponde alle numerose lettere che giovani (uomini e donne) gli inviano, non si stanca mai di incoraggiarli al matrimonio, che reputa un dovere morale. (Cfr. Witte, *Der Roman als moralische Anstalt*, p. 160).

[8] Cfr. Martens, p. 526.

[9] Cfr. Bunzel, p. 389.

si limita ad addestrare la bambina alle faccende domestiche,[10] dall'altro lato, dalle riflessioni dell'anziana signora emerge l'inadeguatezza della cugina nel processo educativo della fanciulla: a differenza del marito, la cugina considera "pedanterie" tutte quelle nozioni intellettuali che la giovane può apprendere,[11] mentre l'uomo intende in realtà mitigare l'inclinazione femminile a dedicarsi a faccende frivole,[12] pienamente in sintonia con la teoria del *Geschlechtscharakter,* tanto fortunata all'epoca.[13] Nonostante il biasimo della protagonista, Bunzel intuisce però il piano generale secondo il quale Gellert ha caratterizzato il suo personaggio, e individua in questa conciliazione di opposti criteri la realizzazione di un bilanciato sviluppo intellettuale e morale della protagonista.[14]

Sarà tuttavia il racconto della vita della donna a dimostrare quanto un'educazione così concepita possa giovare: con una misurata ellissi, al ricordo della fanciullezza l'autore accosta il racconto del fidanzamento e successivo matrimonio con il conte, permettendo anche a un lettore distratto di verificare i benefici dell'educazione ricevuta dalla fanciulla. Il conte infatti non badò alla scarsa ricchezza dell'allora sedicenne, ma decise di sposarla per il contegno e le qualità morali che la stessa gli dimostrò di possedere.[15] Come da bambina, anche nell'educazione sentimentale la contessa si dimostrerà essere un'allieva ideale, avendo un cuore che mai si è lasciato corrompere da una passione passeggera e fuggevole. Nonostante le ottime premesse lascino presagire una vita coniugale priva di disordini emotivi, ben presto la contessa deve confrontarsi con la precedente fidanzata del marito, Caroline, una donna di rango sociale inferiore dalla quale il conte ebbe un figlio. Venendo a conoscenza del fatto che l'uomo, se solo avesse ottenuto l'autorizzazione della corte, avrebbe sposato l'amata, la contessa dimostra comprensione e compassione nei confronti della

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[10] Gellert, *Leben der Gräfin*, p. 5.
[11] *Ibid.*
[12] Cfr. *ivi*, pp. 5-6.
[13] Dülmen van, p. 21.
[14] Cfr. Bunzel, p. 389.
[15] Gellert, *Leben der Gräfin*, pp. 7-8.

sventurata.[16] In questo episodio Gellert, denunciando l'iniquità di un rigore sociale che stabilisce dei limiti ai sentimenti, anticipa le tensioni su cui ben presto si svilupperanno tante delle trame dei *bürgerliche Trauerspiele*. Nemmeno un decennio dopo la pubblicazione della *Schwedische Gräfin*, nel panorama culturale di lingua tedesca trovano infatti accoglienza i primi drammi borghesi, come la *Miß Sara Sampson* (1755) di Lessing e la *Lucie Woodwil* (1756) di Pfeil, e vengono dati alle stampe i primi saggi critici sul genere[17]: se, però, nei primi drammi borghesi tedeschi il contrasto di classe non sfocia in un aperto dissidio, risolvendosi per lo più in un conflitto interiore dei personaggi, sarà proprio Lessing, questa volta con l'*Emilia Galotti* (1772), a recuperare il tema affrontato nella *Schwedische Gräfin*, portandolo alle estreme (mortali) conseguenze.

E proprio dimostrando (e anticipando) la medesima forza di volontà che caratterizzerà Emilia Galotti poco prima di morire, la giovane contessa diventa responsabile della cacciata dei conti dalla corte e della forzata chiamata alle armi del marito: nonostante l'iniziale sforzo per non cedere alle lusinghe mondane e al fascino tentatore del principe,[18] la donna si mostra infatti risoluta e ne rifiuta le *avances*.[19] Di fronte alla virtù, l'obbedienza alla corte perde emblematicamente ogni diritto prioritario e, paradossalmente, il timore della disapprovazione della corte, quello stesso timore che aveva obbligato il conte a rinunciare all'amore per Caroline,[20] coincide ora con una rinuncia volontaria.[21] Il conte, che per vendetta del principe viene mandato in guerra e si troverà a dover affrontare una condanna a morte, non rimpiangerà mai la scelta della moglie, che ha saputo essere così virtuosa.[22] Esposta al rinnovato pericolo di

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[16] *Ivi*, pp. 16-17.

[17] Risale al 1755 il saggio di Gottlob Benjamin Pfeil intitolato *Von dem bürgerlichen Trauerspiele*.

[18] Gellert, *Leben der Gräfin*, p. 22.

[19] *Ivi*, pp. 22-23.

[20] *Ivi*, p. 16.

[21] *Ivi*, p. 23.

[22] *Ivi*, p. 25.

diventare preda del principe,[23] inoltre, la contessa decide senza esitazione di fuggire e così difendere la propria virtù. Convinta di essere vedova, la contessa si rifugia in incognito ad Amsterdam accompagnata dal Signor R**, il miglior amico del marito. In compagnia di quest'ultimo, un personaggio che spesso la critica ha definito come autoritratto dello stesso Gellert,[24] la donna ospiterà il figlio di Caroline, il piccolo Carlson. In una condizione anomala di parità sociale,[25] ben presto la storia d'amore che nasce tra lei e il Signor R** si concretizza felicemente in un matrimonio. Al momento dell'inaspettato ritorno a casa del conte dalla prigionia, di fronte alla fedeltà incondizionata dimostrata dal marito, la narratrice esterna il suo rammarico per non aver saputo aspettare con ugual pazienza e rassegnazione[26]: sia il rimpianto della protagonista, sia la benevolenza che il conte le manifesta, però, sembrano non togliere nulla alla "colpa" della donna. Con il rientro del conte si assiste così a un ristabilimento dei legittimi ruoli, al ritorno a un tenero rapporto di amicizia e alla dimostrazione di affetti sinceri. Sebbene la critica abbia spesso biasimato questa logica, secondo la quale il sentimento si sottomette alla contingenza,[27] è pur vero che Gellert ha descritto questa storia sentimentale seguendo il modello della *vernünftige Liebe*, di quell'amore assennato che incontrava il consenso sulle pagine delle più diffuse e lette *Moralische Wochenschriften* dell'epoca.[28]

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[23] *Ivi*, p. 27.

[24] Cfr. Spaethling, p. 227.

[25] Gellert, *Leben der Gräfin*, pp. 36-37.

[26] *Ivi*, p. 108.

[27] Cfr. Mog, pp. 71-129 e Brüggemann, pp. 62-74.

[28] Secondo una definizione che si può ancora leggere in un fascicolo della *Freymäurer*, possiamo rintracciare il paradigma di questa storia sentimentale: "Vernünftige Liebe [sei] eine solche Neigung, wobey man auf seine Umstände, auf seine Pflichten, auf die Gesetze der Religion und der Tugend sieht, wenn man bereitwillig ist, sich an jemandes Vollkommenheiten zu vergnügen. Bey einer solchen Liebe werden alle die Unordnungen wegfallen, die man sonst dieser Gemüthbeschaffenheit zueignet" (Martens, pp. 244-245).

Gellert narra poi una storia d'amore infelice destinata a fallire, in cui i protagonisti cadono vittima delle loro passioni smodate: si tratta infatti della relazione che si sviluppa tra Carlson e Mariane, una fanciulla abbandonata in un convento in tenera età che, in realtà, è la secondogenita di Caroline e del conte, e dunque sorella dell'amato. E' proprio attraverso la narrazione della passione fulminea e sventurata dei due giovani che Gellert rende la contessa un personaggio verosimile e tanto più attendibile nella veste di narratrice: dopo il racconto equilibrato e sereno dell'educazione e degli affetti più intimi, l'anziana signora riferisce della vicenda infelice dei due giovani lasciando intuire, attraverso una sintassi incalzante e a tratti spezzata, l'inquietudine e la pena che agitano il suo animo. Questa diversa modalità espressiva influenza inoltre la percezione del lettore, prima rassicurato nel leggere la pacata descrizione della relazione con il Signor R** e poi predisposto, invece, a disapprovare l'intera vicenda sentimentale dei due fratelli. Quando la morte imprevista di Carlson, giudicata provvidenziale dalla narratrice, sembra determinare una nuova situazione di equilibrio, nel suo "catechismo" Gellert inserisce un'ulteriore prova del fatale rischio a cui si espone chi, come Mariane, non riesce a superare il dissidio tra ragione ed emozioni: la giovane vedova decide infatti di sposare il migliore amico di Carlson e, quando scopre che in realtà l'uomo è il responsabile dell'assassinio dell'amato, non regge all'emozione e si suicida.

Nella seconda parte del romanzo la contessa non è più narratrice assoluta in prima persona poiché il conte, con due dettagliate lettere scritte durante la prigionia e il successivo racconto della permanenza in Siberia,[29] si profila come il secondo narratore. In questa seconda parte, inoltre, anche un'altra donna condividerà l'istanza narrativa con la contessa: sarà infatti Amalie, vedova del governatore di Siberia e poi moglie di Steeley – il compagno di viaggio e amico del conte – a raccontare la propria vita e, per la prima volta nella letteratura tedesca, a descrivere con insolita dovizia di particolari psicologici un approccio amoroso, come commenta Eric Schön.[30]

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[29] Cfr. Bunzel, p. 385.
[30] Schön, p. 41.

Con l'unione tra Amalie e Steeley la narratrice manifesta, inoltre, l'ultima rilevante riflessione personale, in cui dichiara una piena approvazione per un matrimonio che si fonda su basi stabili e reciproco affetto. Nonostante gli eventi portino alla morte del conte e a un nuovo matrimonio con il Signor R**, non si ravvisa più alcun giudizio netto da parte della narratrice e infatti il lettore, giunto a questo punto della sua "catechesi", può giudicare con autonomia di giudizio gli eventi. Verso la fine del romanzo, una volta ricevute le scuse formali del principe, il conte muore e la contessa, rifiutata la proposta del principe stesso di diventare sua moglie, si sposa nuovamente con il Signor R** compiendo, però, la volontà del marito.[31] Così facendo, ora la contessa non solo rispetta la volontà del defunto, ma ne segue l'esempio: come quest'ultimo aveva rifiutato una promozione a generale e la carica di ambasciatore all'estero, così ora la contessa rinuncia alla proposta di matrimonio di un principe, preferendo rifugiarsi in affetti sicuri e valori veri. Figlia del suo tempo, la contessa non disillude le aspettative culturali del pubblico, né tradisce la traiettoria esistenziale socialmente stabilita per una donna, e perciò realizzerà la propria identità sociale ancora come moglie.

La contessa, una *Figur* a tutto tondo di cui l'autore ha esibito anche il lato più fragile (e debolmente "femminile"), è un personaggio decisamente verosimile: come a proposito precisa Linda Marlow, "a character who is totally perfect, who is never forced to actively work through problems in order to obtain a morally acceptable solution, is not a character whom the reader can attempt to emulate".[32] Lontana dall'essere un mostro di virtù, la contessa si configura quindi come un personaggio "medio", in grado di suscitare quel misurato grado di immedesimazione che avrebbe sicuramente giovato all'intenzione dell'autore di fornire con il suo romanzo un "insegnamento morale".

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[31] Gellert, *Leben der Gräfin*, p. 109.
[32] Marlow, p. 25.

La Schwedische Gräfin *di C.F. Gellert*

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Catherine Weldon in *The Ghost Dance*:
A Stylistic Analysis

Elisabetta Zurru

An excerpt from Derek Walcott's 2002 play The Ghost Dance *will be subjected to stylistic analysis to uncover the multilayered linguistic devices used by the author to depict the profound link between the main character of the play, Catherine Weldon, and the Native American struggle against white expansion in the West of North America in the 1890s.*

1.   Introduction

In his description of the possible variants of what he defines as "discourse architectures" of drama, Short (1996:169) identifies prototypical drama as manifesting at least two levels of discourse:

   1. Addresser 1 (playwright)/ Addressee 1 (audience and/or readers)
   2. Addresser 2 (characters)/ Addressee 2 (characters)

and underlines that the second level of discourse, namely character(s)-to-character(s) talk, is *embedded* in the first level of discourse, that between the playwright and the readers/audience (ibid.).
   He further distinguishes between this two-level discourse architecture and a three-level structure, where a third, intermediate level is created between playwright-readers/audience on the one side, and character(s)-character(s) on the other, namely narrator-narratees. The insertion of a narrator clearly distances the playwright from the audience/readers, and strengthens the fictional aspect of the play (ibid.).
   Short also claims that "in well-constructed dramatic dialogue everything is meant by the playwright, even when it is apparently unintended by the character" (Short 1996: 178), although he also

concedes that it might be possible to make inferences which the writer did not apparently intend.

However, if a) the play is "well-constructed" and shows a two-level structure rather than a three level architecture, and b) the analysis to which it is subjected is a stylistic analysis, the possibility of drawing inferences unintended by the playwright decreases greatly, because stylistics is focussed on a detailed and thorough investigation of the linguistic choices made by authors to create and convey meaning in their texts, thus guiding their readers towards logical interpretations of those texts (ibid.).

With regard to which specific object of analysis should be selected when subjecting a dramatic text to stylistic exploration, Short (1981) pointed out that accuracy in the analysis of a play is almost impossible to obtain when considering a particular staging of that play rather than its script, unless there is the absolute certainty that all those who will read the analysis have seen that very same performance. This is because, although the script and the performance are both essential to the final dramatic effect, all performances are different, so that the script of the play remains the only "stable" text which can be accurately analysed. In addition, in his later work on drama (cf. Short 1998), while underlying that performance should not be neglected or belittled in any way, he brings the argument further by claiming that a detailed linguistic analysis of the script of the play might in fact lead to a profound understanding of drama by showing that scripts are indeed very rich in terms of indications as to how the play should be staged.[1]

This being the premise, the aim of this article will be to analyse, through stylistics (Culpeper et al. 1998; Douthwaite 2000; McIntyre 2006; Simpson 1993; Short 1996), one extract from the script of *The*

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[1] The analysis of the script VS analysis of the performance debate is ongoing. McIntyre, for example, has recently suggested that a compromise might be that of analysing a recorded performance of a play, such as a film, because it represents as stable a text as the script (cf. McIntyre 2008). Focusing on this debate is, however, beyond the scope of my investigation. Suffice it to say that the stance adopted by Short (1981) and Short (1998) will also be adopted in this article.

Ghost Dance (2002), a two-act play by Derek Walcott, in order to identify what linguistic choices have been made to delineate the commitment to and involvement in the Native American cause of Catherine Weldon, the main character of the play, based on the white woman who abandoned her life in the East and travelled to the Dakotas in 1889 in order to (unsuccessfully) try and help Sitting Bull and the Sioux, by acting as Sitting Bull's secretary and interpreter (Pollack 2002).

Although the insertion of this historically-grounded figure in Walcott's works has received some scholarly attention (Bensen 1994; Wollard 2009), very little consideration has been given to the *linguistic* choices made by the author/playwright to create the strong connection between Catherine Weldon and the Native American struggle in *The Ghost Dance*, which is precisely what this article aims at investigating in a systematic and detailed way through stylistics.

2.   **The play**

Although *The Ghost Dance* was first staged in 1989, and its final and revised script was completed in 1995, it was published only in 2002 (Walcott 2002). This play is therefore the result of a long process of reworking. In this light, it is also noteworthy that *The Ghost Dance* does not represent Catherine Weldon's first appearance in a work by Walcott. She had also been introduced in the famous 1990 poem *Omeros*, which was the last book Walcott published before being awarded the Nobel Prize in Literature in 1992 (http://www.nobelprize.org/nobel_prizes/literature/laureates/1992/walcott-bibl.html; 5.11.2014).

In fact, just as Walcott reworked the entire 2002 play, he also re-defined and developed the figure of Catherine during the years between *Omeros* and *The Ghost Dance*: in the previous work, she was one of the many invited guests appearing every now and then throughout the poem; in the latter work, she becomes the main character.

In particular, in *Omeros* her figure is introduced as a device to recall the Native American genocide during the colonizing enterprise carried out by the US Government. In turn, this genocide is compared on more than one occasion (cf. Walcott 2003: 278; 352) with the massacre of the Aruaks, the indigenous population of St. Lucia, Walcott's native island. Therefore, the presence of Catherine in *Omeros* allows Walcott to explore an issue which is of paramount importance in postcolonial literature: the (re)construction of an accurate collective memory through the reference to (sometimes, the uncovering of) the disastrous consequences of colonization – of *any* colonizing enterprise – among which the annihilation of entire peoples and of their cultures cannot but be listed. In this specific case, the fate of the Aruaks is compared to that of the Native Americans: both populations had been living on their lands for hundreds of years before European colonization reached those very same lands and took possession of them.

Therefore, in *Omeros*, Catherine's story is a cameo[2] which allows Walcott to include this tragic parallelism among the many themes traced in the poem and which offers him the opportunity to present Catherine as his guide in his journey through the Dakotas and his alter-ego (Walcott 2003: 300; 352); at the same time, she is presented as an "eye-witness" of the Native American genocide whose words are able to construct and convey the idea that time and history are unstoppable forces destined to repeating themselves in a tragic circularity (cf. Zurru 2010).

However, approximately in that same period (notice that *The Ghost Dance* was staged for the first time in 1989, one year before the publication of *Omeros*), Walcott must have decided that Catherine's story on the one hand and the Native American history on the other deserved more than a cameo, and wrote a two-act play focused on the Native American religious movement *The Ghost Dance* (see below) and whose main character is Catherine Weldon.

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[2] Hamner (1997: 94) considers the insertion of the figure of Catherine Weldon in *Omeros* as further evidence of Walcott's interest in bringing peripheral characters to the centre, so much so that he defines the whole poem as an "epic of the dispossessed".

Unsurprisingly, Walcott himself describes *The Ghost Dance* as a play which deals with "disenfranchisement and deprivation" (Walcott 2003, foreword). It is this disenfranchisement and this deprivation, which seem to echo the disenfranchisement and deprivation of all the victims of colonization, that Walcott describes through Catherine's words and actions in the play.

In the following section a brief excerpt taken from the last but one conversation involving Catherine is presented (the argumentation built up in this exchange is reinforced in the final conversation, but no significant new information is added.)

3. **The Text**

MCLAUGHLIN
[29] Where will you be going now, Mrs. Weldon?

CATHERINE
[30] I wish it were in those white hills to join them.

MCLAUGHLIN
[31] What would be the point of that? [32] You'd freeze to death.

CATHERINE
[33] Hallucinatory autumn, phantom spring,
the immaculate annihilation of deep winter,
to summer, sitting by the door, a distant cousin,
shucking cobs in a basin, the wife I was,
golden and ripe, growing up in the Dakotas,
with a brown firm husband, coming through the corn
with a brace of partridge over his shoulder,
to that girl, drowsing in midsummer's fire.
[34] I know that he'll not come through the charred corn
with a brace of partridge over his shoulder;
[35] I have arrived at that natural acceptance,

[36] through nature, [37] not through Progress. [38] I can stand now

 at the dead centre, [39] at the heart of Time
 where Time itself becomes a Ghost Dancer,
 [40] and everything that seemed surely insubstantial
 returns, [41] and that is the joy of the Ghost Dance,
 [42] that they, [43] the Sioux, [44] if they believe in nature,
 [45] must first die to return. [46] Just like the seasons.
 [47] I was mad once. [48] But this bright interval
 is as lucid as a shaft of summer light
 on a cabin's kitchen floor, [49] when I was
 what Lucy called me, [50] "Bright Hair Who Loves Us."
 (Walcott 2002: II, 8; 243-44)[3]

4. **The Text: contextualisation**

The Ghost Dance owes its title to the homonymous phenomenon which, as the narrator Omeros himself claims in the 1990 poem (Walcott 2003: 368), "tied the [Indian] tribes into one nation" between 1890-91. This was a religious movement which spread among the Native American tribes of the Plains, predicting that they should dance in order to meet their recently dead relatives and their ancestors, while waiting for the arrival of a messiah who would pave the way for the apocalypse, namely a wave that would destroy every trace of human life apart from those of the Native Americans (Pollack 2002). Despite the similarity of the basic concepts of this religion with those of the Catholic belief,[4] its rapid spread among

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[3] Sentences have been numbered for ease of reference. Since only [35]-[50] will be subjected to stylistic scrutiny for reasons of space, in [35]-[45] and [48]-[50], given the length and complexity of the internal structure of these sentences, each segment between commas is also numbered.

[4] A similarity (and paradox) which Catherine unsurprisingly underlines in the play: "First, we preach the Resurrection and the life,/ of a Second Coming, of a pale-faced Messiah/ […]/ When they go a little further, as all converts do,/ […]/ you turn and call them crazy" (Walcott 2002: 226). In

the Native Americans of the Plains was viewed with great suspicion by the white population. Not only was this religious belief creating common ground among the tribes, but it was also accompanied by the belief that, if the Native Americans wore the "Ghost Shirts", they would be insensitive to bullets (cf. Pollack 2002: 114). This soon became an easy excuse for the American army to attack, because they were afraid of an uprising possibly deriving from this new belief.

This being a necessarily brief overview of the historical context against whose backdrop the play is set, the excerpt presented above is a conversation between Catherine and James McLaughlin, the white agent of the Indian police (cf. Walcott 2002: 119) who was in charge of Sitting Bull's reservation. This conversation takes place soon after Sitting Bull's death, when both Catherine and McLaughlin are leaving the reservation.

5.   The text: General features of the passage

Due to limitations of space, only [35]-[50] will be scrutinised.

This portion of the text represents the final part of Catherine's turn (Herman 1998: 24) in the conversation she is having with James McLaughlin. Unsurprisingly, she is speaking in the first person. What stands out, however, is that the deictic item "I" is deployed four times in a relatively brief segment. Although she makes two third person references (McIntyre 2006: 96), namely "they, the Sioux" and "Lucy", Catherine clearly represents the deictic centre (ibid.: 92) of the turn. Furthermore, since person deixis is to be listed among the indicators of viewpoint in dramatic texts (ibid.), this recurrence of the first person deictic "I" indicates that it is from her own point of view that Catherine is speaking.[5]

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this respect, it is significant that in the play the same actors who perform the church congregation also perform the ghost dancers.

[5] Bensen (1994: 119-20) also points out that, although the story told in *The Ghost Dance* is the story of Sitting Bull, Kicking Bear and, by extension, of the Native American tribes, it is Catherine who tells *their* story through *her* viewpoint.

At a general level, the syntactic structure of this portion of the text appears to be "chopped up". This impression is created through a range of foregrounding devices (Douthwaite 2000). First of all, the choppiness of clauses from [35] to [46] is created on a graphological level,[6] by the commas continually interrupting the flow of the sentence (cf. Douthwaite 2000: 277 ff.). This operation creates a number of phrases rankshifted up (ibid.) to the level of clause or sentence, which, as we shall see shortly, will turn out to constitute examples of foregrounding; coordination is another important foregrounding device employed: the subsequent clauses, [40] and [41], exhibit the repetition of the conjunction "and" in clause initial position, which gives the impression that the two clauses are conveying two connected ideas of equal importance.[7] As we shall see in detail in the following section, however, this is far from being the case, since [41] constitutes, in actual fact, an anaphoric reference to [40]. All these devices create foregrounded structures: the phrases [36], [37], [39], [50] are foregrounded by having been rankshifted up to the level of clause, while [46] is upshifted to the level of sentence, and the coordinated clauses [40]-[41] are foregrounded by virtue of showing a parallel[8] initial structure through conjunction (*viz.* parallelism). Therefore, while the overall style of the above passage is clearly not conversational (formal language, metaphors, syntactic length and complexity are more often associated with writing than with speech; cf. Short 1996: 185), the style of [35] to [46] appears to be conversational, reproducing the flow of the character's words.

The turning point is represented by [47]. This very short, simple, grammatically correct, declarative sentence in the past tense, expressing something which no longer exists, namely Catherine's

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[6] McIntyre (2006: 52) also points out that graphology, and graphological deviation in particular, can be used in texts, including dramatic texts, to create particular viewpoint-related effects.

[7] On the topic of equivalence and subordination in connection with information distribution and rankshift see Douthwaite (2000: 286 ff.)

[8] Parallelism and deviation represent the main high-order foregrounding devices (ibid.: 37).

madness, is indeed followed by a linguistic style which is less conversational. [48]-[50] is a complex sentence, as defined by Arts and Arts (1982), which is divided into three clauses only, while the preceding sentence [38]-[45] had been divided, through the deployment of commas, into six clauses. I now turn to a more detailed account of the text.

6.　　The text: A closer analysis

[35] is a main clause containing an anaphoric reference, "that", referring back to the death of Catherine's husband reported in [34] ("I know that he'll not come through the charred corn/ with a brace of partridge over his shoulder"). The third constituent of this clause is the prepositional phrase (PP) "at that natural acceptance", where the prepositional complement (Arts and Arts 1982: 125-126) "that natural acceptance" is assigned end focus (Douthwaite 2000: 314), which makes it more salient, thus pushing the inevitability of Catherine's reaction to her husband's death to the foreground. To be precise, the PP occupies end focus by dint of the inclusion of the comma immediately following it, which "detaches" [36] ("through nature") from [35], upshifting this second PP to the level of verbless clause (Arts and Arts 1982: 164). This choice shows the combined action of two foregrounding devices. On the one hand, as is usually the case with upshifting (Douthwaite 2000: 283), the insertion of the comma turns the sentence into a marked structure (the unmarked version being "I have arrived at that natural acceptance through nature"), which therefore constitutes an instantiation of deviation (ibid.: 37); on the other hand, rankshift impacts on information value, namely on the degree of importance of the information conveyed by a certain linguistic structure, by impacting on information distribution, and, more specifically, on segmentation (ibid.: 283-287). In other words, Douthwaite (ibid.) traces the relation between rankshift and foregrounding starting from the premise that the salience of a certain piece of information is not so much linked to content, but to the way that information is presented, or packaged, in the text. In particular, given that the information

conveyed by those segments which are higher on the rankscale is weightier than the information conveyed by those segments which are lower down the rankscale, then, as a general principle, the information value of a segment which is upshifted from a lower level (e.g. phrase) to a higher level (e.g. clause) is increased.

In addition to what has been stated above, the repetition of the lexemes "natural", as premodifier of the Head Noun "acceptance" in [35], and "nature" in [36], strengthens the idea of the inevitability (*viz.* the naturalness) of human resignation before death. Indeed, as was implicit in the preceding argument, [36] and [37] are two PPs upshifted to the level of verbless clause whose syntactic structure is parallel but oppositional, one representing the negation of the other. They clarify that what helped Catherine accept her faith was nature, not progress, and, in so doing, create a mutually exclusive relation which a) reminds readers of the opposition between "Native Americans"[9] and "Westerners"[10] underlying the whole play and b) clarifies with whom Catherine sides.

However, [36] and [37] do not constitute the only segments in the text analysed where Catherine's alliance with the Native Americans is referred to and brought to the forefront. In fact, it is precisely around this extra meaning (Fowler 1996: 92 ff.) that the remaining portion of the text revolves.

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[9] Although Catherine regularly uses the term of address "Indian[s]" throughout the play, the term "Native American[s]" will be used in this article, unless Catherine's (or Walcott's) words are quoted. The rationale behind this choice is not to disrespect or distance myself from Walcott's selection and deployment of this term in his literary work, but to avoid using a term of address which might be perceived as negatively value-loaded, hence inappropriate, in a scholarly article. It goes without saying that no value-judgement is meant to be attached to this term.

[10] The term of address "Westerners" is employed here as a synonym of 'white population', in order to underline their sharing of the set of cultural, social and moral values, as opposed to the values of the Native American tribes, typical of the so-called "Western world", although technically the Native Americans were the people occupying the western part of North America in 1890-1891. No value-judgement is meant to be attached to this term, which is exclusively used as a referring expression.

We now turn to the linguistic devices employed to create it. [38]-[45] is the longest sentence in the extract considered and has an extremely complex structure. As in [35], the grammatical subject in [38] is the person deictic "I". Catherine is therefore the person who performs the action described in the clause. However, the action described is that of standing, which involves immobility – an action which denies action. This, in turn, further recalls Catherine's impossibility to fight against what is one of the most natural phenomena in life, namely death, except through a "natural acceptance". Notwithstanding that, the dynamic modality (Palmer 2001: 10) expressed in [38] is meant to underline that "the natural acceptance" arrived at by Catherine has in actual fact strengthened her ability to face "Time" and to "stand at [its] heart". This is further underlined by the fact that the proximal time deictic adverb "now" (Simpson 1993: 14), which is the counterpart of the distal time deictic "then" (ibid.) – namely "before I arrived at that natural acceptance" – is given graphological salience (Douthwaite 2000: 207). It occupies end-position in the line thanks to the clause having been "interrupted" by the enjambement and the subsequent PP ("at the dead centre") having been placed in line-initial position in the following line. In this way, the deictic adverb is made to foreground the idea of a newly-gained consciousness which has arisen from the adherence to a natural lifestyle, such as that of the Native Americans', in opposition to a more progress-driven approach to life, such as that of the Westerners.

[39] is a PP realising exactly the same function as the PP in [38], namely adverbial. Multiple realisation (ibid.: 346-347) thus constitutes parallelism. This device creates a striking effect, since the noun "heart" is usually synonymous with "life", rather than with "death" (the fact that "dead centre" is an idiomatic expression meaning "the exact centre" should not prevent us from noticing the oxymoron created between both denotative and connotative meanings of "heart" and "dead"). More specifically, [39] is a PP upshifted to the level of verbless clause with the wh- clause as postmodifier of the Head ("heart") of the noun phrase (NP) "the heart" which realises the prepositional complement. As mentioned

above, the fact of having raised a phrase to the level of clause increases the value of the information conveyed by that grammatical unit, namely that the abstract entity "Time" has been turned into a human subject, into a "Ghost Dancer". However, distinctions of value can be identified within the phrase itself, since the postmodifier – the wh- clause "where Time becomes a Ghost Dancer" – has been downgraded to the level of word (see Douthwaite 2000: 279), thereby diminishing the information value of that clause. However, this downgrading operation is fully offset by having made the clause graphologically salient through its occupying an entire line, thereby restoring a relationship of equality between the two elements. In addition, the "synonymity" of the two entities "Time" and "Ghost Dancer" is further underscored on a graphological level through the use of capital letters unrequested by the graphological/syntactic/lexical system of the English language ("*T*ime", "*G*host *D*ancer").

[40] and [41] are two coordinated main clauses with a parallel initial structure (since, as pointed out above, both begin with the coordinating conjunction "and"), and are thus presented as two related pieces of information having the same information value. In actual fact, the structure built up through these coordinated clauses is ambiguous, since [40] might be related to either [39], ("where Time itself becomes a Ghost Dancer, and [where] everything that seemed surely insubstantial returns"), or to [41]. In turn, the demonstrative pronoun "that" in [41] is both an anaphoric reference to clauses [38]-[39] and [40], and a cataphoric reference to [42]-[45]. Since a pronoun cannot perform both operations at the same time (Saussure [1916] 1983), this implies that the clause is syntactically ill-formed, hence foregrounded.[11] The foregrounding operation is further developed in [42], where the repetition of the

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[11] It could be argued that this could simply be a "grammatical mistake". However, given that Derek Walcott is a Nobel Prize winning writer and that this play certainly exhibits the "well-constructed dramatic dialogue" referred to in the Introduction (also, but not exclusively, in consideration of the long process of reworking it was subjected to), it is reasonable to deduce that it was a purposeful choice.

demonstrative pronoun "that" is employed as an anaphoric reference to the subject of the preceding clause. [42] to [45], indeed, represent the explanation of the subject of [41], and could cover the function subject itself: "That they, the Sioux, if they believe in nature, must first die to return is the joy of the Ghost Dance".

[42]-[45] is thus a repetition of the subject of [41]. Furthermore, it is attributed greater information value by having been foregrounded through having been assigned a position which it usually does not occupy (since the subject in an English sentence generally precedes the predicator (Arts and Arts 1982), it does not follow it). In addition, if we look at the internal structure of the clause, we can note that [43] constitutes an inner parallelism because, being an instantiation of apposition, it is itself a "repetition" of the preceding subject "they", just as the clause in which it is inserted, [42]-[45], is, structurally speaking, a "repetition" of [41]. Stated differently, the structure built by [42] and [43] does not so much exhibit multiple realisation, but is redundant. Indeed, multiple realisation, by definition, implies that a clause or phrase function be realised more than once in the same sentence by different linguistic elements rather than by the repetition of the same linguistic (ibid.: 346). Furthermore, either [42] or [43] could cover the function subject, and one can replace the other, implying that the insertion of [43] does not respond to any syntactic requirement. In other words, the NP "the Sioux" is assigned far greater importance than it would have if the preceding pronoun "they" had not been employed, so that the importance Catherine attaches to this people is highlighted (*viz.* foregrounded).

[44] is a subordinate clause which, together with [43], splits the that-clause "that they must die to return" into two parts, detaching the subject from the predicator. By repeating the subject ("they") of the that-clause [42] in [43], and by interrupting that very same that-clause through the insertion of the subordinate clause [44] ("if they believe in nature"), the final part of the that-clause ([45]) does not graphologically appear to have a subject. This foregrounding operation highlights [45], giving the information it contains inordinate importance, an operation which is bolstered by its

occupying the graphologically important beginning of the line. It can in fact be concluded that the oxymoron "must first die to return" represents the key concept of the sentence.

At this point, if we consider co-text, we realise that both lexemes "die" and "return" had already been employed: "*dead* centre" ([38]) and "everything that seemed surely insubstantial *returns*" ([40]). We then realise that "the dead centre", which is presented in a relation of synonymy with "the heart", was not a purposeless choice at all. "Time" is "turned" into a dead entity in order to allow "everything that seemed surely insubstantial" to return, the latter representing a reference to the spirits of dead people for whose *return* the Ghost Dance was performed. In other words, what the passage suggests is that Time itself cannot return before having been turned into a ghost, for only after death can the Ghost Dance be danced and the dead (Time included) allowed to return.

Stated differently, not only does the fact of turning the concept of time into a figure which is so bound to the Native American culture underscore once again Walcott's tendency to celebrate, by having the marginalised move to the centre, the "dispossessed" (Hamner 1997), but it also makes the stance the character has adopted obvious. This device makes it crystal clear on which side of the fence Catherine stands: she has embraced the Native American cause completely, and adopted their concepts to describe even her own reality.

[46] offers a confirmation of this reading. In this case, a phrase is rankshifted up to the level of sentence, thereby increasing its information value greatly. Other foregrounding operations here include: a) the only content word is "seasons"; b) the sentence occupies the end of the line; c) brevity (in stark contrast with the lengthy complexity of [38]-[45]); d) "seasons" occupies end focus and is the last word in the line. Together, these four devices render the lexeme "seasons" perceptually salient. In other words, the reader is being invited to give great importance to the entire segment, and to pay particular attention to the lexeme "seasons".

The fact that Catherine speaks of "seasons", is indeed a confirmation of her adherence to the Native Americans' lifestyle,[12] in this case to their way of interpreting the passing of time. This thesis is supported by the co-text: earlier in the play Catherine had

[12] It might be argued that the deployment on the part of Catherine of this culture-bound concept is, in actual fact, a stereotyped formula meant to describe the Native American tribes as "exotic" people. I believe, however, that this is not the case. Walcott, as a writer typically considered to be postcolonial, and who, beyond labels, has experienced colonialism first hand, writes about and against many and diverse forms of imperialism and colonialist quest and conquest. As mentioned in section 2 above, the native population of Walcott's home island was exterminated during French and English colonialism in the Caribbean. By the same token, the native American tribes were pursued, forced to travel westwards and to leave the places they had been living in for hundreds of years, or, to paraphrase Catherine, hundreds of winters (in some cases, as during the so-called "Trail of Tears", the forced trip westward brought about the death of thousands of Native Americans; cf. http://www.cherokee.org/AboutTheNation/History/TrailofTears/ABriefHistoryoftheTrailofTears.aspx; 5.11.2014); their number has been reduced dramatically and their identity has been almost completely erased by the US government, namely by an ex colonized country which has "inherited [its] empire's sin" (Walcott 1990: 354), by colonizing and forcing another people to live in small reservations, because Americans were afraid of its "incivility" and, more importantly, wanted to take possession of its lands. Catherine, however, is not presented by Walcott as being part of the latter group, in spite of the fact that Walcott believed her to be an American woman coming from Brooklyn (she came, in fact, from Switzerland – cf. Pollack 2002). He presented her first in *Omeros* and then in *The Ghost Dance* not because she was part of the colonizing group, but because she tried to oppose that very same colonizing group she was born into, siding with the Sioux, living in the reservation with them, helping Sitting Bull understand the exact nature of the government's "proposals" to purchase their lands, acting as his interpreter and his secretary (Pollack 2002). For all these reasons, I believe that her deployment of the Sioux "tongue" in Walcott's works is the confirmation of her deep understanding of their lifestyle, of her will to help, support and, possibly, save them, rather than the evidence of any "exotic view" of them she might have.

claimed "Time is the difference between us and the Indians. They think in seasons. We think in days" (Walcott 2002: 148). This claim is made by Catherine while talking to McLaughlin in a previous exchange. Here, just as in the extract which is being examined, a clear-cut opposition is expressed between Catherine's and McLaughlin's (hence the Westerners') and the Native Americans' notions of time. More specifically, two quite different spans of time are referred to through linguistic means. To start with, the two sentences which follow the sentence "Time is the difference between us and the Indians", namely "They think in seasons. We think in days", have exactly the same structure (subject + predicator + complement, with the nouns "seasons" and "days" realising the function prepositional complement), but the sequencing of the information (Douthwaite 2000: 287) is reversed in comparison to that of the PP "between us and the Indians", thus building a chiasmus:
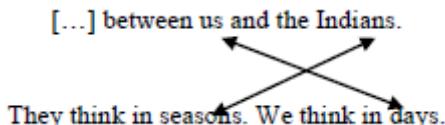
"[s]easons" and "days" are then syntactically linked and directly compared, in order to make the difference more transparent: months against hours (the implicit suggestion being that the Western time is accelerated and more rapidly "consumed").

Readers are thus implicitly led to consider that Native Americans divide their existence into spans of time constituted by three months, each possessing order and fixed, predictable characteristics (the heat being typical of the summer and the snow being typical of the winter, taking the Dakotas into account, obviously), according to the natural sequence of the seasons. Westerners are instead implicitly depicted as having shorter lives in one sense, divided into short spans of time rapidly following one another, in a situation where no exact prediction can be made, for days cannot share the same general degree of expectation that can be

assigned to seasons (summer days are usually sunny and hot, but rain cannot be excluded *a priori*).

Intertextuality provides further evidence. Catherine expresses a similar view in *Omeros*, when she claims that "Life is so fragile. It trembles like the aspens. All its shadows are *seasonal*, including pain" (Walcott 2003: 308; my emphasis). Here again "seasonal" evokes the difference between the Native American and the Western notion of time expressed in the passage from *The Ghost Dance* above.

It should be clear by now that the deployment of the lexeme "season" on three different occasions on the part of Catherine is an reiterated sign of her adherence to the Native American culture, despite the fact that she formally includes herself together with McLaughlin in the "us" linked the Western idea of time, and despite (or maybe, because of) the fact that the encapsulation of time is one of those highly culture-bound concepts which, more than many other cultural elements, distinguish one culture from another.

As previously suggested [47] represents a turning point, further confirming our thesis. Indeed, Catherine claims she had been mad once, and we may hypothesize that distal time deictic "once" (which is reinforced by the predicator in the past tense "was") means "before I shared the Native American way of life".

[48] begins with a contrastive conjunction and marks the switching to the present tense ("*But* this bright interval *is* […]"), which signal a change in respect of [47]. Even without going too deeply into the analysis, it can be observed that in the last part of the extract the distinction between the madness of the past and the consciousness of the present is achieved at the lexico-pragmatic level, with the construction of the opposition madness/brightness reached through a number of positively value-loaded lexemes and phrases: "bright interval", "lucid", "shaft of summer light", "Bright hair".

In particular, [50] represents the most salient part of the sentence. First of all, it is foregrounded graphologically, by the inverted commas, by the comma preceding it in [49] and by being the final clause in the sentence (hence highly salient); secondly, it is

foregrounded syntactically, since it is realised by an NP upshifted to the level of clause. [50] also represents the Native American name that another character of the play, a Native American girl converted to Christianity named Lucy, has given Catherine. Brightness is thus part of this name. The adjective "Bright" is indeed the premodifier in the NP 'Bright hair', which is a synecdoche for Catherine herself. The fact that this figure of speech might also constitute a reference to Catherine's bright hair being one of the elements which distinctively marked her as a white woman living among the Native Americans does not counterpoint this argument, since the denotational meaning of the premodifier in [50] is strengthened by the semantic field of brightness built in [48]-[50]. By calling herself by her Native American name and by linking it to the positively value-loaded description of her life among them ("as lucid as a shaft of summer light on a *cabin's kitchen floor*, when I was […] 'Bright Hair Who Loves Us.'"), which led her to brightness and away from madness, Catherine further confirms her total involvement with the Native American cause, in spite of the inevitability of their fate.

It is also interesting to notice that the system of reference to this character diverges in the two works to a great extent. While in *Omeros* essentially two terms of address are employed ("Catherine" and "Catherine Weldon"), in *The Ghost Dance* many more terms are used instead: "Catherine", "Catherine Weldon", "Mrs. Weldon", "Mrs. Catherine Weldon", "Kitty", "Kitty Weldon", "Lady from the East", "The Bright Hair Who Loved Us", "Bright Hair Who Loves Us".

Since the name of a person is an integral part of that person's identity, it is logical to hypothesise that, through this device, Walcott intended to build a more complex character in *The Ghost Dance* than that he had constructed in *Omeros*, the many traits of whose identity could not be defined by two names (this reading being supported by Walcott turning her into the main character of the play).

Furthermore, we should also consider that Walcott might have been aware of the name Sitting Bull gave Catherine, namely *Toka heya mani win*, "Woman walking ahead" (Pollack 2002). Walcott

performs the same operation: he gives *his* Catherine a name. But, rather than underscoring her courage in walking ahead of her time in order to help Sitting Bull,[13] as the latter did, Walcott stresses what he probably thought was the reason that led the real Catherine to try and help Sitting Bull and his people: the love she felt for them. The same love that encouraged her to leave her home, and the certainty of a life in the East, to go westwards in the desperate attempt to beat the time that was walking ahead and the progress that required Native Americans' lands to be "requisitioned" and the Native Americans themselves to be "assimilated".

7.   **Conclusion**

The figure of Catherine Weldon is referred to by Derek Walcott in two of his works. In both cases she acts as the means through which Walcott describes the Native American genocide by the American Government, the historically-grounded reference to the tragic consequences of any colonising enterprise being an issue of paramount importance in his writing, so much so that the motivation for his Nobel Prize in Literature in 1992 was "for a poetic oeuvre of great luminosity, *sustained by a historical vision, the outcome of a multicultural commitment*" (http://www.nobelprize.org/nobel_prizes/literature/laureates/1992/walcott-facts.html my emphasis; 5.11. 2014).

While in *Omeros* she is Walcott's guide and alter-ego and needs to be reassured by the narrator about the ending of the tragedy ("See, it's finished. It's over Catherine, you have been saved"; Walcott 2003: 368), in *The Ghost Dance* she is turned into a complex main character, whose name possesses many variants corresponding to the many traits of her highly developed personality. More importantly,

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[13] In order to help Sitting Bull, Catherine performed a number of actions which were considered aberrant at the time, from leaving her son in Brooklyn the first time she travelled to the Dakotas to living in Sitting Bull's cabin with the rest of his family and wives. For these actions Sitting Bull gave her the name "woman walking ahead", while the press of the time labelled her as "Sitting Bull's white squaw" (Pollack 2002).

she becomes the character who delineates the gulf between the Native American and the Western ways of interpreting reality (e.g. the (inevitable) passing of time), and, in so doing, declares her complete adherence to the Native Americans' natural lifestyle, which allowed her to gain a new perspective that she puts in stark contrast to the madness preceding her coming to the Dakotas.

To sum up, the stylistic analysis of the extract from *The Ghost Dance* selected for scrutiny in this article showed that a rich array of foregrounding devices were deployed by the author to outline the deep involvement with the Native American cause of the main character of the play, which mirrors the unconditional commitment of the real Catherine Weldon to this struggle, which ultimately led her to abandon the East and move to the West to live among the Sioux and try, albeit unsuccessfully, to protect and save them.

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