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Linguistic Studies

An Error analysis of the Grammatical Errors of Egyptian EFL Learners and a Suggested Program for Enhancing their Grammatical Competence

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Abstract

The present study sought to highlight and categorize EFL Egyptian learners' grammatical errors for identifying the linguistic deficits that are interfering with their ability to produce well-structured grammatical sentences. The study also aimed at proposing an integrative instructional program for overcoming grammatical errors. The methodology adopted for data analysis was surface strategy taxonomy proposed by Dulay, Burt, and Krashen (1982). They classified grammatical errors as those of addition, omission, misformation, and misordering. The study comprised two hundred freshmen college students learning English as a foreign language. Each student was asked to write three essays on three different topics about 250 words. The findings revealed that errors pertaining to verb formation and tenses were the most frequent grammatical errors and the majority of them fell in the two categories of substitution and omission. A key finding reached by this study was that interlingual and intralingual transfer seemed to have a great impact on EFL students' learning of grammar. The study proposed an instructional program that is based on a discourse-based grammar model incorporating input-based and output-based pedagogical techniques. The purpose of the proposed program is to naturally expose learners to the target language and provide them with several opportunities for using it in real life situations. The study points to the importance of teaching grammar for performing communicative purposes to enhance learners' native-like competence.

Keywords: Error analysis- discourse-based grammar- grammatical errors- interlingual transfer- intralingual transfer

Introduction

Second language acquisition research has pointed to the importance of learning grammar for being central to L2 learning and fundamental for successful communication. SLA learners could not express their ideas well without using correct grammatical structures. Grammatical competence contributes in significant ways to developing productive language skills, particularly writing. Thus, mastering grammar is essential for producing well-structured sentences and coherent ideas.

One of the factors that render L2 grammar challenging to EFL learners is the effect of L1 on L2 learning. Mastering L2 grammar entails the acquisition of grammatical rules and sentences structures. It also requires putting such rules into practice so as to know their correct usage and function which are fundamentally different from their native language. Some EFL learners find difficulty in acquiring the grammar of the target language as while learning certain target language structures, they tend to use L1 language patterns and rules causing L2 erroneous forms and structures. The first language (L1) of a learner is likely to have an impact on L2 acquisition by acting as a source of interference when areas of discrepancy between the two languages are encountered (Ortega & Celaya, 2019). In other words, they tend to transfer L1 processing mechanisms to L2 seeking to process target language forms, whether those mechanisms are compatible with the L2 form system or not (Saigh and Schmitt, 2012, p.1). Therefore, EFL learners do not only need to learn target grammatical rules and structures, but they also need to adopt a new processing strategy for acquiring them.

Many EFL learners encounter numerous grammatical difficulties especially when it comes to applying grammatical rules in writing. Many of them do not manifest sufficient levels of grammatical competence and others are not interested in learning writing because of the grammatical mistakes they make (Widiati and Cahyono, 2016). Grammar teaching methodologies employed in many EFL educational settings focus on explaining decontextualized grammatical rules that should be memorized through mechanical drills and exercises (Nunan and Carter, 2001). Thus, grammatical rules are taught in many EFL classes on the sentence rather than the discourse level. This teaching approach does not allow learners to know their real usage and are thus unable to use them for communicative purposes. The present study sought to suggest a proposed discourse-based grammar program that aims at helping learners perceive the communicative functions of grammar structures and use them in real life situations.

2. Literature Review

This section discusses the Fundamental Difference Hypothesis, three major error theories and empirical studies investigating the factors that affect L2 learning.

2.1 Fundamental Difference Hypothesis

The Fundamental Difference Hypothesis (FDH) formulated by Bley-Vroman (1990) sheds light on the main features of foreign language learning. It was originally postulated in the context of the theory of Universal Grammar, which provides valuable insight into the field of foreign language acquisition. Bley-Vroman's (1990) FDH posited that the principles of UG immensely affect child language acquisition. However, it does not have an impact on adult language acquisition as adults have no longer access to UG. Alternatively, they utilize domain-general problem-solving mechanisms. Adults have also an indirect access to UG through L1 grammar. Therefore, they tend to transfer L1 inappropriate forms to L2. These instantiations of language transfer formulate one of the basic assumptions underlying the study.

2.2 Major Approaches to the Study of Learners' Errors

2.2.1 Contrastive Analysis

The phenomenon of language interference that reflects how two languages affect each other when they come in contact has dominated the field of second language acquisition for decades. This sheds light on the underlying premise of the contrastive analysis hypothesis formulated by (Lado, 1957). It claims that it is likely to predict the areas of language difficulty encountered by L1 learners by systematically comparing between the two languages and cultures. Learning problems are not likely to occur in the areas where the two languages and cultures are similar. Conversely, the areas where there are differences, learning difficulties are to be anticipated. This results in making interlingual errors that are made due to the effect of L1 on L2 learning (Richard, 1974). Thus, the greater the similarity between the two languages, the lesser the degree of the expected learning challenges.

Contrastive analysis gained much importance in examining learners' errors during the "40's" and "50's". Later on, some shortcomings of contrastive analysis have been identified. Contrastive analysis was primarily used to predict language errors and difficulties based on the degree of similarities and differences between the two languages. Contrastive analysis was later criticized relying on the fact that it focused mainly on the discrepancies between L1 and L2 and ignored other factors that may influence EFL learners' production such communicative strategies and L2 rules overgeneralization. It also predicted some learning difficulties which did not appear in learners' production and conversely it did not predict several language problems which were evident in their output. Later SLA research highlighted that other errors could also be found in EFL

learners' production irrespective of their L1. They could be affected by other linguistic, psychological and pedagogical factors (Fisiak, 1981).

2.2.2 Interlanguage Theory

The concept of interlanguage was proposed by Selinker (1972) who posited that learners' language could be considered as a distinct dynamic linguistic system that is based on learners' attempts to produce target language forms. Interlanguage refers to EFL learners' grammatically independent system that has a structurally immediate status between their native and target languages (Fang, 2007). The underlying premise of interlanguage is that learners are no longer considered as producers of erroneous structures, but as active participants going through the systematic stages of acquisition (Fang & Xue-mei, 2007).

2.2.3 Error Analysis

Current SLA research points to other factors that cause L2 erroneous structures other than L1 transfer. This allows for predicting language difficulties encountered by EFL learners and paying much attention to them. This has given rise to error analysis which involves a systematic description and classification of learners' errors manifested in spoken or written output. According to this theory, L1 transfer is not the only reason for making errors. Such errors are caused due to intralingual interference. Richards (1971) classified intralingual errors as follows:

Overgeneralization refers to the usage of a syntactic rule beyond its common usages. Ignorance of rule restrictions occurs due to learners' ignorance of the exceptions of some of TL rules.

Incomplete rules application occurs due to learners' failure of applying the target rules completely.

False concept hypothesized errors are made when learners do not totally understand the differences between certain target language items leading to faulty conceptualization (Ellis, 1996).

Corder (1967) sheds light on learners' positive cognitive contribution to learning. He argued that learners are involved in a language discovery process in which they form hypotheses relying on language input and test them in their speech production. From this perspective, errors are a significant aspect of learners' language, without which language development cannot be attained. Corder (1967) used the term "transitional competence" to refer to learners' language developing mechanisms. Thus, learner's errors manifest the difference between their transitional competence and their target language proficiency.

Relying on Chomsky's (1965) perspective of L1 acquisition, Corder (1967) argued that as for the child acquiring the first language, language develops in a more or less fixed patterns. Thus, learners may possess an "inbuilt syllabus" which determines the sequence of the target language acquisition system. Accordingly, examining learners' errors could significantly provide a valuable insight into learners' inbuilt acquisition system.

2.3 Experimental Studies Investigating the Factors that Affect L2 Learning

One of the main factors that render L2 grammar challenging to EFL learners is that there is substantial evidence that L1 grammar is likely to influence the development of EFL grammatical abilities. In this context, Pasaribu (2021) examined EFL learners' grammatical errors evident in 26 narrative stories through conducting an error analysis. The results point to first language interference as the main underlying reason of the identified errors. Saidani and Djelloul (2020) examined the impact of L1 transfer on Algerian EFL learners' writing accuracy and reached different results. They found that students made interlingual as well as intralingual errors. The erroneous usage of different L2 syntactic structures and word formation reflected the overgeneralization errors

resulted from students' ignorance of L2 grammatical rules. In a similar study, Ibrahim, Nehal, Raheem (2021) conducted a study in which they sought to identify and categorize misformation errors in ESL postgraduate learners' writings. The errors were attributed to an erroneous choice of tenses and a violation of subject-verb agreement rule. The results also pointed to L2 rules overgeneralizations and students' insufficient knowledge of the rules governing the use of L2 grammar including tenses, prepositions and pronouns. The findings also revealed that L1 transfer was one of the reasons behind students' errors.

Khatter (2019) conducted a study that sought to investigate and analyze the most frequent and common written errors. The findings reflected that mastering L2 writing is quite challenging for the students. The results also indicated that Interlingual and intralingual transfer was the main source behind most of the written errors. In a similar context, Jodai (2012) examined the impact of Computer Assisted Language Learning (CALL) to identify the kinds of errors written by Persian adult EFL learners. The results of the study revealed that intralingual transfer was the main source of the errors.

In view of the above studies, It could be concluded that interlingual as well as intralingual transfer are likely to affect L2 acquisition. Thus, in the present study, transfer errors and developmental ones are expected to be found in Egyptian EFL learners' writing.

3. Research Question

The present study sought to identify and categorize the errors found in Egyptian EFL writing and propose an integrative instructional program for avoiding EFL learners' grammatical errors and enhancing their grammatical competence. To that end, the following research question was formulated:

What categories of grammatical errors appeared in English writing by university students who are L1 speakers of Arabic? This question is divided into two sub-questions:

1-Which error categories are frequently dominant in Egyptian EFL writing?

2-What is the suggested instructional approach for overcoming Egyptian EFL learners' grammatical errors and developing their grammatical abilities?

4. Study and Analysis

This section focuses on the research methodology, the participants, data collection procedures, steps for data analysis and categorization and the activities designed for the proposed discourse-based grammar program.

4.1 Participants

Two hundred and fifty students participated in the present study. They were freshmen college students learning English as a foreign language studying at the Department of English Language and Literature, Faculty of languages, AlMadeena Academy. Their age ranged from 17-20.

4.2 Data Analysis

Surface strategy taxonomy proposed by Dulay, Burt, and Krashen (1982) was adopted for data analysis. They classified language errors as those of addition, omission, misformation, and misordering. Addition is indicated by the presence of an unwanted item in a sentence. Omission is signified by the absence of a required element in a sentence. Misformation is manifested in using erroneous forms of certain morphemes or structures. Misordering is reflected in a misplacement of certain words in a sentence.

4.3 Data Collection Procedures

The grammatical errors were freely produced. The students were asked to write three essays about 250 words on three different topics. They were importing goods through air transportation, techniques for stress management and the effect of technology on the different fields of peoples' lives. Students' essays were marked individually. The researcher went through each student's paper and recorded the incorrect grammatical

errors made by each student. All the grammatical forms were analyzed according to the above mentioned categories. Exact erroneous grammatical structures more than once by the same student was counted as one mistake. A total of 1000 grammatical errors were examined.

4.4 Reliability

A second analyst categorized samples of the collected errors using the same categorization criteria. The percentage of agreement in categorizing the same samples of errors between the two analysts was computed and disagreements were resolved by discussion.

5. Results

In this section the results of the data analysis are presented as per typology of grammatical mistakes.

5.1 Typology of Grammatical Mistakes

Based on the findings of the study, the total number of the grammatical errors made by the students was 1000 errors. The numbers of the identified errors were 412 (Misformation : 41.2%) , 330 (omission :33%), 168 (addition : 16.8%), and 90 (misordering : 9 %).

Table 1

Typology of grammatical mistakes

No	Types of errors	Total	Percentage
1	Misformation	412	41.2%
2	Omission	330	33%
4	Addition	168	16.8%
5	Misordering	90	9%
	Total	1000	100%

Tables 2, 3, 4, and 5 show the types of grammatical errors the participants made in their essays and some examples taken from their productions.

Table 2

Misformation errors

Number 412	Misformation	Manifestations
60 14.5 %	1-Using a singular verb with plural subjects.	<i>Soft drinks increases the diabetes risk some people believes these factors leads to serious consequences a lot of defects becomes common among children</i>
50 12.1%	2-Using a plural verb with a singular noun.	<i>A soft drink have high acidity level The climate do not allow people to cultivate these kinds of crops.</i>
48 11.6 %	3- Using the present continuous tense instead of the present simple tense	<i>although they are affecting only the adults Many authors are discussing the negative effects of chemicals on human health.</i>
46 11.1%	4- Using the past simple tense instead of the present perfect tense	<i>Air transport was used for many years.</i>
40 9.7%	5- Adding the –s morpheme to irregular plural nouns.	<i>Equipments Informations</i>

38-9.2 %	6- Using a noun instead of a verb	<i>This reliefs stress.</i>
40 9.7 %	7- Using verbs instead of nouns	<i>We cannot deny the exist of other factors.</i>
37 8.9 %	8-Using the past tense after if conditional type 1	<i>If people played sports, this will reduce stress.</i>
27 6.5%	9-Using incorrect pronouns	<i>People eat vegetables as it is healthy</i>
26 6.3%	10-Using present simple tense after modal verbs.	<i>Drinking soft drinks can leads to health problems. Stress may harms your health.</i>

Table 3
Omission errors

Number	Omission	Manifestations
85 25.7 %	1- The omission of the inflectional morpheme -s to indicate the present simple tense.	<i>It discuss the global warming that's caused by air transport. This affect your health. It meet citizen's needs.</i>
80 24.2%	2-The omission of the inflectional morpheme -s to show the plurality of a noun.	<i>there are three main way to deal with stress This essay will first discuss 3 main advantage followed by an analysis of 3 main disadvantage. we will talk about many merit of air transport</i>
71 21.5%	3- The omission of verb to be as a main verb	<i>1-Social media useful 2-Technology important in all fields</i>
53 16%	4-The omission of verb to be in the passive voice	<i>where they can not cultivated or not grown at that time of the year</i>
41 12.4%	5- The omission of articles with singular nouns	<i>..usage of some chemical substances in preservation process Importing fruits and vegetables is ..important process This result in... bad behavior.</i>

Table 4
Addition errors

Number	Addition	Manifestation
94 56 %	Adding the inflectional morpheme -s to singular nouns	<i>a useful benefits a great disadvantages</i>
74 44%	The addition of the definite article <i>the</i> when referring to abstract nouns	<i>the Life is so easy and little bit comfortable when the technology was easily finding and available all of the time.</i>

Table 5
Misordering errors

Number	Misordering	Manifestations
90 100 %	1-The permutation of certain adverbs	<i>If you too much drink soft drinks, it will not be good for health." Always these chemical materials are harmful They cause often harmful effects on health.</i>

6. Discussion and Conclusion

This section discusses the results of the data analysis with reference to the two research sub-questions addressed in the study.

6.1 The First Research Sub-question

In relation to the first research sub-question inquiring about the errors categories that were frequently dominant in Egyptian EFL writing, the findings revealed that the highest proportion of errors pertained to verb formation and tenses and the most dominant error categories were misformation and omission. The following section presents an analysis of the identified errors according to the adopted taxonomy.

6.1.1 Misformation

The most dominant type of errors fell in the category of misformation. This was evident in using singular verbs with plural subjects and using plural verbs with singular nouns. This could be referred to a developmental error that could be attributed to overgeneralization manifested in extending the use of the inflectional morpheme -s beyond its common usages. Other grammatical errors that fell in the category of misformation was evident in using incorrect pronouns, the past simple tense instead of the present perfect and the past tense after if conditional type 1. These errors could be attributed to an incomplete application of English grammatical rules which indicated learners' insufficient levels of linguistic competence.

Interlingual transfer from Arabic to English was evident in adding the plural morpheme -s to collective nouns that are grammatically singular in English, but plural in Arabic. Another interlingual error that fell in the category of misformation was the incorrect usage of the present progressive instead of the present simple tense. This could be attributed to the fact that the present simple tense in Arabic is equivalent to both present simple and present continuous tenses. Thus, some Egyptian EFL learners tended to overuse the present progressive when using the English language.

Other errors that fell in the category of misformation could be attributed to faulty categorization which is an intralingual error in which learners incorrectly classify target language items and do not fully understand the difference between certain L2 structures. Using present simple tense instead of an infinitive verb after modal verbs was another intralingual error that could be due to learners' ignorance of rule restrictions regarding modal verbs usage. Another intralingual error was evident in the inability of students to differentiate between different parts of speech manifested in using nouns instead of verbs and vice versa.

6.1.2 Omission

The deletion of the inflectional morpheme -s to indicate the present simple tense was one of the grammatical errors that fell in the category of omission. This could be attributed to an intralingual transfer manifested in an incomplete application of the subject verb agreement rule. Errors pertaining to the deletion of verb to be was one of the most common omission errors that could be attributed to transferring Arabic rules to English causing erroneous grammatical errors. Arabic also does not employ present "to be". The nominal sentence in Arabic is equivalent to the English simple sentence that includes verb "to be". It is omitted in Arabic, but must be used as a main verb in English. Thus, transferring this Arabic rule to English could be one of the reasons of omitting verb to be in English sentences.

The omission of the inflectional morpheme -s to show the plurality of a noun and the deletion of verb to be in the passive voice could be regarded as developmental errors attributed to an incomplete rules application.

One of the manifestations of L1 interference was the omission of the indefinite article (a/an) when referring to singular nouns. Arabic does not have an equivalent article for the English indefinite articles a and an. Thus, the nonexistence of the indefinite articles in Arabic might have led students to omit the indefinite articles in their writing.

6.1.3 Addition

Adding the inflectional morpheme -s to singular nouns was one of the errors that fell in the category of addition which entails the presence of an unwanted item in a sentence. This could be considered a developmental error represented in overusing specific grammatical rules of the target language which is considered an incorrect application of them. Another manifestation of L1 interference was the addition of the definite article (the) when referring to abstract nouns. This reflects learners' particular way of processing English grammatical rules that is affected by their own native language. In Arabic, abstract nouns are preceded with a definite article. Thus, some students unnecessarily added the definite article (the) when referring to abstract nouns in English.

6.1.4 Misordering

Another error category identified in the study was misordering manifested in the erroneous placement of certain adverbs. This could be attributed to an incomplete application of the rules of the target language.

6.2 The Second Research Sub-question

With regard to the second research sub-question on the suggested instructional technique for overcoming Egyptian EFL learners' grammatical errors and enhancing their linguistic competence, the following program was proposed.

6.2.1 A Proposed Integrative Program for Overcoming Students' Grammatical Errors through Employing Discourse-based Grammar Approach

One of the techniques that could help enhance EFL learners' grammatical competence and help them overcome their grammatical errors could be through employing discourse-based grammar approach that was first proposed by Celce-Murcia and Olshtain (2005) who posited that language learners should be exposed to authentic L2 material and should be provided with ample opportunities for using TL structures in real life situations. Discourse includes spoken and written language in which form and meaning are closely related to external communicative purposes (Celce-Murcia and Olshtain, 2005). The underlying premise of this model is concentrating on the meanings of syntactic structures within discourse, rather than on language as structure governed by strict rules.

Through employing this pedagogical approach, language input is analyzed for identifying its communicative function and main grammatical features and other syntactic structures that cluster around them for performing other minor language functions were focused on (Mohamed, 2014). Learners should be exposed to oral and written discourse that reflects real manifestations of language use. Learners should get to know how L2 native writers and speakers use language to convey meanings, express feelings and present points of view through grammar. Thus, this approach focuses on the grammatical function of language as well as its sociocultural and pragmatic ones (Farrokhi et al., 2018).

6.2.2 Implementation Procedures of the Discourse-based Grammar Program

The proposed discourse-based grammar program should last for 12 sessions and each session should last for 120 minutes. Reading tasks combined with instructional communicative activities should be introduced in place of grammar classes. The implementation of the program should be done through two phases, i.e., input-based and output-based techniques. Each phase should last for 6 sessions. The input-based technique should be conducted through asking students to read and analyse 3 short stories in 3

consecutive sessions and watch 3 short movies in other 3 sessions. The output-based technique is based on engaging students in spoken activities that should be done in 3 sessions and other writing activities that should be done in 3 other sessions.

6.2.2.1 Implementing the Discourse-based Grammar Program through a Written Input-based Technique (3 sessions)

Reading authentic L2 material could help them understand the form and functions of the grammatical structures. This helps raise their grammatical awareness and activate their mental grammar (Krashen, 1988). This could also create optimum conditions for helping them overcome their grammatical errors.

The first step for employing the input-based technique is providing students with multiple short stories to choose from. They should be highly engaging and relevant to their lives and interests. They need to understand 80-90 percent of the story without dictionaries. The second step is to create quality reading time in class for sustained silent reading. This could be done through allocating 60 minutes for students to read quietly on their own. Teachers could use a stop watch so as to make the reading sessions competitive by challenging students to finish the story before the time is up. Through reading the given stories, students will be able to learn how grammatical structures are used in authentic contexts.

Eliciting Target Grammatical Structures from the Students

The teacher should elicit the usages of target grammatical structures like the present simple and the present continuous tenses through the following input-based activity:

The teacher should divide the students into groups and give each group 3 flash cards written on them 3 of the functions of the present simple tense. They will be asked to extract from the story the exact tense that reflects the given functions and provide some examples. Examples of these *functions could be habitual actions or occurrences, permanent situations and things that are generally true*. The other group will be given 3 other flash cards written on them 3 functions of the present continuous exemplified in *immediate events taking place in the current moment, temporary events and future plans*. The students who will be able to match the given functions with the appropriate tense will be the winner group and will receive a prize. The teacher should monitor the students while doing this activity, listen to the answers of each group, correct any mistakes and reward the students who will win. The teacher then should ask the two groups to work together to compare between the forms and functions of the two tenses. The above steps should be repeated in the other two sessions for the purpose of teaching other grammatical structures.

6.2.2.2 Implementing the Discourse-based Grammar Program through an Oral Input-based Technique (3 sessions)

A scene-based teaching strategy should be implemented through providing learners with the real life usages of problematic grammatical structures like the present perfect tense and if conditionals as identified in the error analysis. Exposing learners to real life situations is likely to help them internalize the target structures and know their actual usages. This could also create optimum conditions for their retention and production.

Students should be asked to watch a short movie that should last for 60 minutes. The teacher should write some of the target tenses on the board (like the present perfect) and ask students while watching the movie to infer their functions and mention some retrieved examples that reflect their communicative purposes. They could be exemplified in describing something that happened at some unknown time in the past and actions which happened in the past, but have an effect on the present. After watching the movie, the teacher should discuss with the students the elicited functions and retrieved examples. Thus, the movie should be used as a guide to help students match the target tense with its

authentic usages and functions. The above steps should be respectively repeated in the subsequent two sessions for the purpose of teaching other problematic grammatical structures.

6.2.2.3 Implementing the Discourse-based Grammar Program through a Spoken Output-based Technique (3 sessions)

Students should be involved in output-based tasks, i.e., role play activities. They should be asked to choose selected parts of the short story or scenes of the movie and act them out in front of the class. These role-plays should be recorded and listened to later. All video tapes will be watched and students should vote on the best acted out scene in terms of grammatical accuracy. Students should receive feedback from the teacher and their peers on their language focusing primarily on the grammatical structures used. Students should be asked to correct the grammatical errors based on the given feedback.

6.2.2.4 Implementing the Discourse-based Grammar Program through Written Output-based activities

Students should be engaged in output-based activities. They should be asked to write a short film review including the theme, plot, characters and dialogue. Students should be asked to choose a film they watched in the classroom. As a first phrase, teachers should provide them with a sample of a film review. Students should be divided into groups and each group should read it in detail and answer some questions about the theme, characters and plot. Each group will then be asked to write a short paragraph about one aspect of the film such as characters or theme. All the written paragraphs should be stuck on the wall so as each group of the students should give feedback on the others' work in terms of grammar and sentences' structures.

7. Recommendations for EFL Teaching

The study suggests employing discourse-based grammar technique in L2 pedagogical settings for overcoming EFL learners' grammatical errors. This technique is likely to help them know the use of the target language in real life situations and this in return creates optimum conditions for enhancing their native-like competence.

The findings of the study lend significant perspectives to the field of L2 pedagogy in that they could help EFL teachers identify learners' common grammatical difficulties so that they could adopt better instructional practices. For instance, some Arabic EFL learners face considerable difficulty with the subject verb agreement rule. Hence, EFL teachers of Arabs and material designers for Arab countries should pay more attention to the kind of the teaching instruction and the content of the material given to this particular group of students.

The study recommends that material designers and instructors should draw learners' attention to the main discrepancies between English and Arabic grammar including the structure of the sentences, tenses, verbs, articles, pronouns, adverbs and adjectives. This could be implemented through providing them with authentic examples that highlight the differences between English and Arabic grammatical systems. This could be done through providing students with written and oral discourse material that present naturally occurring data and real life manifestations of these differences. Finally, teachers should raise students' awareness of the causes of their errors and the interference of the Arabic language in EFL learning. This in return could reduce the grammatical errors that result from L1 negative transfer. This could also contribute in significant ways to the provision of linguistic development and grammatical accuracy.

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Another Look at Thematization of Complement in English from Functional Linguistic Perspective

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Abstract: This paper tries to re-examine the issue of a new topic that is complements in English sentence construction in terms of Theme and Rheme. It presents an overview on the sentential complement as a universal linguistic phenomenon in natural languages across the globe. The paper adapts 'Systemic Functional Linguistics' to discuss two important linguistic concepts of discourse known as 'Theme' and 'Rheme' which other linguists handle them as topic of a sentence in a text (what is new) and the additional part (what is given) respectively. The study which focuses on analysing complements in terms of their Thematic and Rhematic functions discovers that complement in English sentence structure plays an important role in describing or adding new information to the other main parts of a sentence. In its analysis, this paper discovers cases in which the fronting of the complement in a theme position is taken place, highlighting the role of the context in thematizing complements in sentences. It further shows that all kinds of complement are in Thematic rather in Rhematic position. Having analysed many examples, the paper concludes that thematizing of complement in a sentence has distinct syntactic, pragmatic, and semantic functions.

Keywords: Theme, Rheme, complement, sentence, and context.

1. Introduction

The functions of complement in sentence construction have attracted the attention of many grammarians from both descriptivist, formalist and functionalist stocks, as its roles transcend beyond what other parts of sentences arguments such as subjects, objects or verbs that are the major constituent of a sentence performed in achieving meaningful communication. Traditionally, the term "complement" refers to a major constituent of sentence or clause structure that signals the complete meaning of the verb (Crystal, 2008:92). The basic idea of complement is to complete the meaning of the clause that it belongs (Quirk et al., 1985:65).

Many researches on complementization in English are dominated by the perspectives of the syntactic analysis which the complement from the notion phrase structure rule (Radford, 2009). These forms of analysis in many instances lack descriptive and explanatory adequacy to adequately explain the function of complement as it function goes beyond ideational to interpersonal function from the perspective of systemic functional linguistics since it involves pragmatic functions (Bedu, 2010).

In view of this, the present study sets to approach complements in English to highlights some essential features of complements such as their forms, meanings and functions in English language communication. The data utilized in this paper are driven from different sources such as grammar books and the British National Corpus (BNC) to answer the following two research questions:

- 1- Can the complement take a Theme position instead of its Rheme position?
- 2- What are the purposes behind such transferring?

To facilitate the process of finding the origins of the examples used in this study from the British National Corpus (BNC), the author puts the symbol (BNC) in front of each example and also wrote the link at the references section.

Literature Review

Syntactic function is the most abstract level in syntactic analysis (Bedu 2010). It deals with the assignment of syntactic functions such as Subject, Predicate, and Object in a clause. They are sort of formally-predetermined rooms in the linear syntactic organization of a clause. From descriptive grammarian focus, scholars identify three properties of complements given by Huddleston (1984:263): (a) the occurrence of a complement of a given kind depends on the presence of a verb of an appropriate subclass; (b) complements are obligatory with certain verbs; (c) prototypical complements are realised by NPs or Adj Ps. However, the term “complementation”, in transformational grammar slightly differs from the above as it refers to the generation of complements, such as obligatory verb complements that are immediate parts of the verb phrase.

General overview of Complements in the Syntax of English

The term complementation as put forward by Quirk et al. (1985), refers to the function of a part of a phrase or clause which follows a word and completes the specification of the meaning relationship which that word implies. Most of sentences produced consist of five components or “five functional categories of clause constituents” with three of them further subcategorized (Quirk et al., 1985:750). These five constituents are arranged variously to form different shapes of sentences. English sentences are based on the permissible combinations of the following seven functional patterns:

1. SV Subject-verb
2. SVO Subject-verb-object
3. **SVC Subject-verb- complement**
4. SVA Subject-verb- adverb
5. SVOO Subject-verb-indirect object-direct object
6. **SVOC Subject-verb-direct object-complement**
7. SVOA Subject-verb-direct object-adverb

As shown from the above classification, there are two types of complements; the subject complement (**SVC**) and the direct object complement (**SVOC**).The subject complement, for Kolln (1999), can come either after the verb *Be* or after the Linking Verbs, as in:

1. a. She is a student. (S+ Be+ C)
- b. He became a teacher. (S+ linking verb+ C)

Moreover, Bernard (2006) argues that subjective complements, can be either a predicate noun or a predicate adjective, as in the following examples:

2. a. Tom is *a professor*. (*a professor* is a noun)
- b. Tom is *intelligent*. (*intelligent* is an adjective)

The second type of complement mentioned in the diagram is the direct object complement. The direct object complements normally follow verbs listed in dictionaries as transitive such as, *make, heard, awoke, write, see, paint, break ...* etc. as in the following examples:

3. a. She made her mother *happy*.

- b. He had written a letter *to explain his idea about the issue*.
- c. They saw the boy *playing in the garden*.

The direct object complements, for Firsten and Killian (2002:278), can be classified into seven distinct types: Noun phrase, Adjective phrase, Base verb phrase, Infinitive verb phrase, -ing verb phrase, Past participle phrases and Prepositional phrases. The most problematic type from these seven types is when the direct object complement comes as a noun phrase because it is difficult to distinguish between the direct object complement and the direct object which comes after indirect object as in the following examples:

- 4. a. They gave John **a present**. (SVOO)
- b. They chose John **a leader** of the team. (SVOC)

The above two sentences seem to be similar because they contain transitive verbs followed by two nouns. But actually, they are very different because the first sentence (a.) contains two objects; an indirect object (*John*) and a direct object (*a present*) while the second sentence (b) contains one direct object only (*John*) and a direct object complement (*a leader*).

In addition to the two main complements mentioned above, there are other sub-types of complements such as; the verb complement and the adjective complement. In the case of the verbs that need complements to complete their meaning, Celce-Murcia (1983:629) affirms that it is difficult to find a rule for the kind of complements that comes with specific verbs because the relation of the verb to complement type seems arbitrary. The kind of the complement that a verb triggers can be predicated depending on the meaning of the verb. For this reason, verbs that share similar functions likely require the same kind of complement. Moreover, Celce-Murcia (ibid) divides verb complements into five types; that- clause complementation, infinitive complement, gerund complementation, tenseless subjunctive complements and non-participle constructions.

The other kind of complement is the adjective complement which is used to refer to the clause or phrase that modifies an adjective or adds to the meaning of the adjective, such as;

- 5. I am happy *they got married*.

Adjective complement always follows the adjective and it can be a noun clause or a prepositional phrase, such as:

- 6. We were happy *by the news*.

After giving a brief about the structure and the types of complements, it is necessary to shift to explain the functions of complements in English.

3. Functions of Complements in English

Complements have a general purpose that is to qualify, describe or provide additional meaning to other words in a sentence. Ralph (1958:128) shows that the function of complement is most widely recognized where complements are nominal, or objects. For example, the subject complement describes the subject of the sentence and similarly the adjective complement describes or adds to the meaning of the adjective. Herbst (1983:113), in his classification of prepositional adjective complementation, argues that

the particles have semantic functions such as; experience, goal, reference, and topic, for example:

7. a. He was keen *to complete his work in time*.
- b. They were happy *that they pass the exam*.

the *to-clause* in (a) expresses the speakers' attitudes towards the likelihood or desirability of completing his work in time, while in (b), it expresses the speakers' attitudes towards the truth of passing the exam. Thus, as Dixon's third criterion states, complement clauses "will always describe a proposition", which can in turn be "a fact, an activity or a potential state".

Functional Linguistic Approach to English Complement Construction

Every language theory has a certain way to identify the function of an argument or constituent. Often it involves both semantic and syntactic analysis, but it mainly relies on syntactic operation. Pragmatically, every piece of information which is available in a clause is essential, but if it can be dropped off and the clause still represents a logical proposition, that information is considered to be syntactically non-essential and optional. Dropping off an element from a clause is then one of syntactic techniques to identify whether or not a piece of information is essential. When a Predicate has two essential Arguments, every language theory has its own way to identify which Argument syntactically functions as Subject. Because both have different syntactic relation to the Predicate, the other Argument must not function as Subject and must have a different syntactic function in the clause.

From functionalists' point of view, Halliday and Matthiessen (2004, p.122) define Complement as "an element within the Residue that has the potential of being Subject but is not; in other words, it is an element that has the potential for being given the interpersonally elevated status of modal responsibility — something that can be the nub of the argument".

4. Theme and Rheme in English

In 'Systemic Functional Linguistics', Halliday sees language as a social semiotic that does its function in society. For him, "Theme extends from the beginning of the clause and up to (and including) the first element that has a function in transitivity" (Halliday, 1994:53). The term 'Transitivity', for Halliday, refers to set of options relating to cognitive content, the linguistic representation of extralinguistic experience that are available for the speaker to choose according to factors such as; feelings, thoughts and perceptions (Halliday 1976:199). Halliday describes the Theme-Rheme dichotomy as; first, the 'theme' is marked in intonation as a separate tone unit, frequently followed by a brief pause, second, only the basic elements of the kernel structure can become topic themes: the process (main verb), the participants (subject and object) and the circumstantial factors (adverbials). Thus, according to Halliday (1994), the Theme of a clause "ends with the first constituent that is either participant, circumstance, or process" (Halliday, 1994:52) and Rheme is "the remainder of the message" (Halliday, 1994:67).

Halliday's model of context consists of three strata: context of culture (genres), the context of situation (register), and text in context. For him, context of situation consists of three variables: field (what is happening), tenor (nature of the participants), and mode (is it spoken or written or both). These three variables (field, tenor, and mode) are closely linked to the metafunctions of language which are: ideational, interpersonal, and textual

metafunctions, as the following table shows:

<u>Context</u>	<u>Language</u>
Genre	Text
.....
Theory of register	Metafunctions
Field	Ideational
Tenor	Interpersonal
Mode	Textual

Figure (1): Context in Systemic Approach (Granato and Parini 2011:71)

Halliday shows that these three metafunctions are linked with the three lines of meaning in a clause: *subject*, *actor*, and *theme*. In other words, analysing a sentence like:

8. The boy rode his bike down the street.

can be illustrates the following table:

Metafunctions					
Experiential (Ideational)	Actor (participant)	Process (material)		Goal (participant)	Circumstance
	The boy	Rode		his bike	down the street
Interpersonal	Mood		Predicator	Complement	Adjunct
	Subject	Finite			
	The boy	(did)	rode	his bike	down the street
Textual	Theme	Rheme			
	The boy	rode	his bike	down the street	

Table (1) Three Metafunctions at Clause Level (Thompson, 2013)

The ideational or experiential function of language is represented in terms of *happenings* (process), the action "rode", the entities (the actor and the goal) is represented by the participants in the happenings (*the boy, his bike*), and the *circumstantial features* "down the street". The *interpersonal* function deals with the grammar of sentences and it represented by the subject (the boy), finite verb (did), predicator (rode), complement (his bike), adjunct (down the street). Textual function deals the 'thematic structure' and it divides the text to *theme* and *rheme*, or *old* and *new*.

5. Thematisation of Complements

The concept of thematization involves process of shifting various sentence elements to the initial position plus any grammatical changes within a sentence, which are caused by such a movement (Rzayev et al. 2007:247). The aim of such process is to direct the attention of the receiver of the message to the parts the sender wishes to emphasize. According to Grzegorek (1984), there are four main types of thematization in English:

- (1) passivization,
- (2) clefts and pseudo-clefts,
- (3) topicalization, left dislocation, focus movement, and

(4) presentation sentences with proposed expressions.

Functional grammarians explain that these four types of thematization are used to specify a special linguistic phenomenon related to information-structure. Thematization is mostly seen as the grammatical process which indicates new information or contrast to a presupposition in the clause. Besides pragmatic functions, thematization can be categorized by syntactic properties like fronting that means a certain constituent of the sentence can be moved to the initial position of the sentence to specifically add information value to the preposition of the unmarked structure as explained in Functional Grammar by Dik (1989). This suggests that every sentence and every word can hold a definite message or aim within the same sentence structure. Functionalists further assert that the syntactic arrangement of the components of the sentence structure can reflect different kinds of messages. Thus, it can be said that the word order of every sentence is purposeful, especially the main discourse functions of fronting are: organizing information flow to achieve cohesion and expressing contrast (Biber et al., 1999:900 and Hanny and Mackenzie, 2002).

Halliday (1994) believes that each clause conveys a message that has two parts, i.e., what comes first or the *theme*, and what comes last or the *rheme*, and the theme usually constrains given information and the *rheme*, new information. Speakers within their communication, focus on topics more than others during their speeches. Thus, to focus on a topic is to front it. The topic that is focused on is the *Theme*, while the rest of the speech, related to the topic is the *Rheme*. This idea was supported by Huddleston (1984:454) who explains that the effect of thematic fronting is to assign greater prominence to the element concerned than it would typically have in an unmarked construction, and in many cases, certainly, the fronted element can be thought of as corresponding to the topic.

9. Soldiers **kill the protesters in the morning** in Egypt. (Unmarked construction)

10. **The killing of the protesters in the morning** was done by the soldiers in Egypt. (Marked construction)

The process of fronting that contrasts the structures in (9) and (10) above is predicate fronting. Similarly, the process of fronting can also be applied to complements. A complement is a word which completes the meaning of the verb of incomplete predication. Complement can be in form of:

a. Noun

11. Mary is a *teacher*.

b. Adjective

12. Tom looks *attractive*.

c. Adverb

13. Water is *everywhere*.

Apart from examples in 11-13, there are kinds of complements which scholars dub as subject complement and object complement as exemplified in 14 (a & b) below:

14. a. Othman is *my friend* or He looks *tired*.

b. We elected him *our president* or the name of my teacher *Ilker*.

If a speaker wants to give a complement more important within a sentence, s/he will start with it. The search in the British National Corpus (BNC) shows various examples in which the thematization of complements takes place. Fronting of all kinds of complements with its purposes is going to be discussed in the following sections

5.1 Subject complement in theme position

Thematization of complement is related to *relational* process. According to Downing and Locke (1992:112), relational process are those types of verbs in which there is a characterization or identification of a participant, such as *be, seem, stand, lie, become, turn* or *get*. These verbs constitute subject complement. English sentence that includes a subject complement starts with a subject, verb and a subject complement which comes after the subject to describe it in the sentence, such as:

15. a. His name is *John*.
- b. John was *a doctor*.
- c. John looks *busy*.

The structures in (15a-c) above begin with the subject “*his name*, and *John* in (15 a and b and c)”; they are logically and normally denoted by the *theme* or the topic of the sentences. The predicate with the word in italic are the complement that functional grammarians considered as the Rheme of the text as they add more information to the theme. In 15 (a) and (b), the predicate nominative renames the subject while in 15 (c), the predicate is an adjective modifying the subject.

But the phenomenon of fronting allows the rest of the constituents to move their positions within a sentence, and thus, the theme is not always performed by a subject. Sometimes language users may introduce their sentence with a subject complement, such as:

16. **Albert** his name was, and **he** greeted her with a kiss when he opened the door to us. (BNC)

17. **Inspector** comes up and says, ‘What are you doing here?’ — **McLeod**, his name was. (BNC)

In the above two structures, thematizing of the subject complement has the following purposes:

- 1) To attract the listener to hear the complement before the subject.
- 2) To assure definitely the person's name as Albert in (16) or McLeod in (17) and not other names.
- 3) To assure to the listener that the name has a special importance in the mind of the speaker as something fix and unforgettable.
- 4) Syntactically, to assure that 'Albert' it is the subject of the following sentence 'he' as in (16) and 'McLeod' is the subject of the former sentence 'Inspector' as in (17).

Another case which demands fronting the subject complement before the subject is the interrogative structure as in (18) and exclamation sentence as in (19).

18- Tom, his name was? **How do you know that?**

19. Gazing down, Luke thought how **beautiful** she was despite the tear-stains and the swollen eyelids. (BNC)

Another case related with thematizing the **subject complement in the form of adjective** can be shown in the following sentences:

20. a. **A silly little bitch** she had been, pleading with him to let her live, and promising that if he did she would say nothing and leave Vienna at once, never to return. (BNC)
 b. **A dull cool summer** it had been, as different as could be from the year before. (BNC)

The structures in (20) show that the head of the complement *bitch* in (a) is preceded by a determiner and modifiers (*silly, little*), and the head *summer* in (b) is preceded by a determiner and modifiers (*dull, cool*) are typical cases of thematization. The fronting is happened because the head is preceded by one or more adjectives and the speaker wants attract the focus of the hearer on these adjectives as a kind of suspense. Such configuration amplified the assumption that theme is always what is being talked about by the speaker.

Similarly in the next two examples, the speaker starts with the subject complement '**More serious**' before the subject as a way of exaggeration for the seriousness of the actions in (a) and the instances in (b) as it is illustrated below:

21. a. More serious were Aurangzeb's actions against non-Muslims. (BNC)
 b. More serious were instances when a group of villagers raided a nearby district for cattle. (BNC)

Within that configuration in the above structures, *theme* is the starting point for the message; it is what the clause is going to be about in which the subject complement '**More serious**' serves the same function as given information.

Grammarians posit that subject complement can also take the form of prepositional phrase in a sentence like this:

22. The bird (S) is **on the tree**.

To cross-check whether the subject complement of such a type is fronted or not, one would take Huddleston's (1984:458) hypothesis in which he looks at the non-WH interrogative versions of sentence construction as illustrated in the following examples:

23. a. The key he was looking for was **inside the clock**.
 b. **Inside the** clock was the key he'd been looking for.

The two structures have the same form of the direct question as in (24) below:

24. Was the key he was looking for **inside the clock**?

In this case, from the two corresponding structures in (23), the sentence in (23.b) is derived from (23.a) because it does not have no direct interrogative counterpart.

Huddleston (1984:458) shows that it has no direct interrogative counterpart because the kind of thematic reordering it exhibits is restricted to declaratives.

Other examples may have different situation, such as:

- 25. a. The best place for it was **inside the clock**.
- b. **Inside the clock** was the best place for it.

The sentence (25.b) at first glance appears to be derived from (25.a), but applying the direct question method shows that they have two separated forms of interrogatives:

- 26. Was **the best place for it** inside the clock?

That is corresponding to (25.a), and the following question:

- 27. Was inside the clock **the best place for it**?

That is corresponding to (25.b), so, this difference shows that (25.b) does not derive from (25.a) by a reordering of the functions.

5.2. Object complement in theme position

In the case of object complement, Rzayev et al. (2007:185) show that the object prefers a final or a post-verb position in the clauses of all lengths. This is in accordance with its Rhematic function in the communicative structure of a sentence. There are seven kinds of object complement as indicated in the following examples:

- 28. a. They chose John **a leader of the team**. (Noun phrase as DOC)
- b. We painted the house **peach**. (Adjective phrase as DOC)
- c. I *promised* John **to go**. (Infinitive verb phrase as DOC)
- d. I saw the boy **playing with his friends**. (-ing verb phrase DOC)
- e. I heard the president **proclaim the war against terrorist**. (Base verb phrase DOC)
- f. I saw the president **interviewed by CNN**. (Past participle phrase as DOC)
- g. The teacher organised the exams **in the old building**. (Prepositional phrases as DOC)

Language users may deviate from these norms and use the sentences as in the following:

- 29. **For one thing, the group did not choose the name, which came from a reviewer's description of a painting by Monet**. (BNC)
- 30. Both countries also enjoy the full support of Britain and the US — **a point** you chose to ignore. (BNC)
- 31. **Answering two questions**, I would like to hear from you now, why and how did you act like this.
- 32. **To say** the same thing I will not repeat at all.
- 33. **Playing Monopoly** last time I saw him. (BNC)

Examining the above examples shows that the aim behind complement in theme position is:

- 1) To attract the listener to hear the complement before the subject, as in all the above sentences.
- 2) To assure definitely that the 'one thing' (the theme and the reason) is behind not choosing him as in (29),
- 3) To assure to the listener that the action is what attracts the speaker as in (31).
- 4) semantically, to assure that 'a point' in (30) which is the subject of one sentence has equal meaning with the whole former sentence 'Both countries also enjoy the full support of Britain and the US', and starting with the complement 'a point' comes to thematize it and at the same time to focus on the opinion of the speaker regards the former sentence.

5.3. Verb complement in theme position

The nature of verb complement depends on the nature of the verb in a sentence. Examples of the five types of verb complements suggested by Celce-Murcia's (1983:629) are:

34. a. We knew *that the news is true*.
- b. They insist *that this student sign up for a counsellor*.
- c. He wanted *to be a minister*.
- d. The thief denied *stealing the car*.
- e. I prefer *swimming in the river*.

Speakers sometimes change the position of verb complements in a frontal place in the sentence, as the following examples show:

35. **To be a free-dinner** kid was to enjoy a full stomach every single day of the week, puddings and all. (BNC)

In the structure (35), the speaker thematize the complement '**To be a free-dinner**' because it is the topic of the whole sentence, and to attract the listener to its importance behind the occurring of the main action that is 'enjoy a full stomach ...etc.' From the above structure, the example shows marked theme of information in the flow of discourse as it has some form of organization whereby it fits in with, and contributes to, the flow of discourse .

5.4. Adjective complement in theme position

Adjective complement can be fronted to the theme position as in the following:

36. *That he had gone* was odd= (from: It was odd *that he had gone*)
37. *Whether she can do it* is questionable= (from: It is questionable *whether she can do it*)

Examining the above sentences shows that thematizing process is happened for two reasons: first, the adjective complements (*that he had gone*) as in (36) and (*Whether she can do it*) as in (37), refer to the subject of the original sentence (it), and thus they were replaced by it. This replacement comes from the speaker to assert that the description of the adjective, (*he had gone*) in (36) and (*she can do it*) in (37) are more important than the adjective itself. Secondly, this type of sentence is used for the function of exclamation. Another example related to the same case is the following:

38. But, gentlemen, **of this** I am certain, the Conservative Party has been a good

thing for this country and it is our business today, and as long as we can, to keep that...etc. (BNC)

The use of the words *this* or *that* in a front position is functional as they refer to something mentioned in previous discourse. These words make the addressee understand the information as something not new, but as the theme of the sentence.

Thus, putting the complement at the beginning of a sentence has a function in communication. As Ralph (1958:134) shows, a complement cannot be described in terms of fixed positions. Moreover, the syntax of a sentence plays an important role in communication because by the syntactic form it will be possible to see the constituents which have more important role than others. This idea was shared by Rzayev et al. (2007:188) who state that there is no one-to-one correspondence between the syntactic and the communicative functions of syntactic elements. Accordingly, each syntactic element can be a carrier of different communicative function. To conclude, according to the syntactic form, a complement can be recognized because it cannot be described in terms of fixed positions. Finally, it can be said that both of "Theme" and "Rheme" are means of connecting ideas, but not in all cases, they overlap with the so-called "topic" and "focus".

6. Conclusion

The results of the analysis show that Thematization of complement occurs in contexts where clauses are related either to one context, that is the previous context or the next context, or with both contexts. Although the normal position of complements is a final position, complements can be put at the beginning of a sentence for a specific function in communication which can develop the ways of improving communication in the light of knowing the potential of these complements which are used in most of sentences. This paper has also shown the ways of how language users can make a distinction between Theme and Rheme and how they can get benefit from this distinction in conducting semantic analysis of single sentences and bigger texts. Moreover, this paper concludes that the syntactic, as well as the semantic analysis of a sentence, plays an important role in the communication because by the syntactic form it will be possible to see the constituents which have more important role than others. Some of the functions of thematizing a complement in a sentence can be summarized as follows:

- 1- To attract the listener to hear the complement before the subject.
- 2- To assure definitely that the information in the complement is fixed and non-changeable in the mind of the speaker.
- 3- To assure the listener that the information in the thematized complement has a special importance in the mind of the speaker as something fixed and unforgettable.
- 4- Syntactically, to assure that the elements of the thematized complement are related to other elements of the following or the former sentence.
- 5- Using the terms 'one thing', two things, something, ...etc in a thematized complement attracts the listener to focus on the theme and the reason that will be mentioned in the next sentence.
- 6- Semantically, using the terms '*point*', *view*, *opinion*, *idea*, *at the beginning of* , a thematized complement summarizes the information in the whole former sentence, and at the same time to reflex the opinion of the speaker regards the former sentence.

All the above mentioned functions enhance including these forms of organization

whereby it fits in and can contribute to the flow of discourse as a main function in communication.

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Varietà di lingua nel romanzo di “*Quer pasticciaccio brutto de via Merulana*” di Carlo Emilio Gadda

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Abstract: This article focuses on the lexical components active in Gadda’s novel “*Quer pasticciaccio brutto de via Merulana*”. The novel is an exceptional example of plurilingualism, therefore Gadda mixes technical terms, literary elements, Latinisms, Greek terms, new forms, and foreign words and phrases (English, French, German, Spanish). Further the collection of Italian dialects (Roman, Milan, Neapolitan, Venetian), the study intends to provide a stylistic analysis of the innovation of Gadda’s expression in the lexicon. The results of this linguistic fieldwork sets out to demonstrate also the lexicon and terms of the technical-scientific language of Gadda: for example terms and phrases of physics, engineering, mathematics, medicine, chemistry, biology, mechanics, geology, geography, astronomy, philosophy, theology, linguistics and rhetoric; as Gadda has a competence of the technical terms because of his studies as an electrical engineer at the Polytechnic and later his practical experience. It is an analysis, even elementary, of the linguistic composition of Gadda’s prose that can be used to understand the technique of his experimentalism, and how much he knew how to treasure every experience to enrich it and vary it on wider stylistic networks. This linguistic material mixes many ingredients such as: technical and scientific languages, various registers of speech, vernacular, jargons, archaisms, Latinisms, mixed with words of Gadda’s creativity, creating what the French called *pastiche*.

Key words: pastiche, Gadda, plurilinguismo, dialetti, neologismi, termini tecnici

1. Introduzione

Gadda rappresenta le vicende degli episodi della vita reale come un “groviglio inesplicabile” in balia del caos. Egli vede il mondo come un garbuglio, un caos, un groviglio; o gnommero che alla romana vuol dire gomitolo; e per raffigurare questo pasticciaccio si usa di una speciale scrittura basata sulla commistione dei linguaggi: unendo forme colte del linguaggio con forme dialettali; la forma arcaica con quella della lingua di tutti i giorni; termini tecnici, scientifici e burocratici con forme di espressioni popolari.

Il plurilinguismo gaddiano merita centinaia di sottili analisi linguistico-stilistiche, che sporgono la commistione tra le varietà di un italiano colloquiale, tecnicizzante, aulico, burocratico, neologista, gergale, incluso degli pseudoforestierismi e dei forestierismi. Ulteriormente la raccolta dei dialetti italiani (romanesco, napoletano, veneto, milanese) che ha sviluppato gli studi su Gadda e quelli critici che hanno colto delle novazioni dell’espressione gaddiana nel lessico. Cesare Segre dice che ‘come se in ogni punto della pagina gaddiana convergessero tutti i motivi dell’atto creativo’ e Mengaldo, dall’altro conto, nota che ‘a fronte di una abbondante dissipazione linguistica, Gadda struttura il suo periodare “a singhiozzi”, prediligendo la giustapposizione di gnommeri sintattici, fondata sulla scarsa subordinazione, la contrapposizione di brevi elementi, lo stile nominale’ (Novelli, 2008). La ricchezza di figure retoriche di ripetizione di suono segna il passaggio dagli elementi costruttivi a quelli emotivi nel testo, ben notati

via 'l'interpunzione che frantuma, le serie di aggettivi collegati per asindeto, le inversioni. Secondo Mengaldo e Coletti, la forza straripante della modernità e ricchezza stilistica di Gadda ne segna anche i limiti narrativi. Gadda, in quanto erede degli Scapigliati, dal punto di vista dell'impianto narrativo si limita a "dilatare e giustapporre poemetti in prosa". Senza che questo confuta un dovuto riconoscimento: Nessun prosatore dell'Italia moderna possiede una lingua altrettanto ricca, innovativa, idiosincratca, infine esplosiva' (ibidem).

Quer pasticciaccio brutto de via Merulana è l'opera di Gadda che più fortemente rappresenta un frantumato di società, anche attraverso un intenso contributo delle voci dei vari personaggi messi in scena, imparagonabilmente maggiore rispetto agli altri testi narrativi dell'autore. Il paragone ad esempio con *la Cognizione del dolore*, l'altra opera di larga ampiezza scritta da Gadda, manifesta a prima vista le diverse modalità rappresentative: basta anche solo mostrare il differente peso che i dialoghi hanno nei due romanzi, percepibile a prima vista. Quantunque, anche nel *Pasticciaccio* è molto notevole la presenza di una voce narrante fortemente distinta, caratterizzata dal peculiare plurilinguismo dell'autore, che pure in questa situazione non rinuncia affatto a valersi di quell'ampio repertorio lessicale confacente alla sua scrittura.

Il critico Albert Sbragia ha descritto Gadda con l'autore italiano più intraducibile, a causa del suo stile di scrivere così difficile, e del suo uso di pasticcio delle lingue tra quale latino, spagnolo, greco, francese, italiano in tutti i suoi registri e i dialetti come milanese, fiorentino, romanesco, veneto, napoletano (Sbragia, 1996:6-9).

La parola "pastiche" si usa per descrivere un testo letterario in cui si fondono dei molteplici generi di provenienza disparata, attraverso calchi e imitazione di stili e forme di diversa origine.

In primo luogo, esistono tanti componenti lessicali del pastiche linguistico, che sono attivi nel romanzo; cito alcuni di questi elementi:

2. Dialetti

Si nota l'uso gaddiano, a lui specifico, del dialetto nelle sue opere. Il linguista Claudio Marazzini dice intorno all'utilizzo di Gadda del dialetto:

Un uso diverso del dialetto [...] negli scrittori 'mistilingui' come Carlo Emilio Gadda. Nella sua pagina si affollano i più vari elementi. Non c'è solo dialetto, ma una varietà: lombardo nell'*Adalgisa* e nella *Cognizione del dolore*, fiorentino nelle *Favole* e in *Eros e Priapo*, romanesco e molisano, con qualche battuta in veneto, in *Quer pasticciaccio brutto de via Merulana*. È il 'multilinguismo' o pastiche gaddiano: attraverso un processo di straniamento, materiali eterogenei convergono nella pagina dello scrittore, con esiti espressionistici (Marazzini, 2004:205-206).

Il *pasticciaccio* è un romanzo della narrativa del Novecento in cui i dialetti hanno il peso superiore. Accanto al romanesco, ci sono il napoletano del Commissario Fumi, il veneziano della Contessa Menegazzi, e il miscuglio molisano-romanesco di Ingravallo, frequenti toscanismi, alcuni lombardismi ed anche un piemontesismo. In tutt'e due i casi, il dialetto può trascendere dal dialogato alla narrazione, non solo attraverso il modulo del discorso indiretto libero. Qualche esempio del napoletano: 'o collega suo'¹ (223), 'no speci-ale favore' (223) (l'artificio grafico serve alla riproduzione della pronuncia napoletana); 'Titubavan tutti nu poco' (224). Elementi romaneschi: 'sventolaveno e traballaveno appena se moveva come du foje de broccolo' (223).

¹ Gli esempi tratti dal romanzo *Quer pasticciaccio brutto de via Merulana* (edizione Pdf del 1957), Aldo Garzanti Editore, I Grandi Libri Garzanti.

Con il dialetto romanesco si sente e appare la paura degli abitanti dopo il furto dei gioielli della signora Menegazzi. Tale paura si manifesta durante l'interrogazione di una ragazzina che forse aveva visto il responsabile del delitto:

Di', di' pupa mia bella! nun piagne, che co te ce sta mamma tua che te vo tanto bene, tiè, le scoccò du baciozzi, nun te spaventà der dottore. Er dottor Ingarballo nun è un dottore de quei brutti, che so' tanto cattivi, poveretti, de quei che te fanno la bua su la lingua. È un dottore cor vestito nero, ma è tanto bono! (72).

In una scena del romanzo, descrivendo l'ambito del locale, il dialetto esce dall'ambito del discorso e infila di nuovo la narrazione stessa. Pare che all'improvviso Gadda inserisca delle frasi in dialetto come: *'Er pollice l'aveva infilato ner buco d'una tavoletta e coll'atre dita l'istessa mano strigneva un mazzetto de pennelli, da spennellà co la tintura nun se sa che pezzo de pelle, si gnente gnente j'avesse trovato un quarche strugnocolo, a quarchiduna' (124).*

Una caratteristica particolare del *Pasticciaccio* è il fatto che il dialetto non è attribuito continuamente ad un personaggio. Matt dice che in alcuni brani la narrazione procede utilizzando pienamente il romanesco, senza che ciò si possa spiegare con l'adozione del punto di vista di uno degli attori del dramma (Matt, 2012:23). In alcuni casi la voce narrante sembra lasciar posto a 'un narratore sconosciuto, persona incolta, normalmente inserita nel mondo dialettale romanesco' (Cane, 1969:114). È ciò che capita, per citare solo il caso più notevole, nella descrizione del funerale di Liliana, in cui, 'oltre che nell'uso del dialetto, la popolarità della voce narrante si manifesta nel modo semplicistico di vedere le cose'(Matt, 2011:192). In tutte le pagine di questo tipo, il discorso non è condotto integralmente in puro romanesco, ma è contaminato da continui frammenti di italiano. Il carattere di narrazione in romanesco indica un uso del dialetto non esclusivo, ma dominante, ad esempio: *'du fojacci de bandone pe parafanghi ripitturati de nero cor pennello' (223).*

Il milanese può apparire tramite termini di origine milanese o comunque di area settentrionale che compaiono nel romanzo; come si può vedere dal seguente elenco: *stravento* s.m. 'vento che spira di traverso' (117); *rubalizio* s.m. 'furto' (23); *furugozzo* s.m. 'frenesia' (105); *sarecchia* s.f. 'tipo di falce' (130); *grangia* s.f. 'capannone agricolo' (200); *incavagnato* agg. 'intrecciato' (203); *pantegana* s.f. 'topo di fogna' (163); *pirolare* v.intr. 'girare su sé stesso' (33); *lumatina* s.f. 'guardatina' (190); *biroccio* s.m. 'barroccio' (183).

Il milanese appare anche attraverso intere frasi, in brani in cui sembra di sentire la voce dell'autore, che commenta sarcasticamente il regime fascista: *'nemmeno gli riusciva di consolarsi con quel proverbio che aveva udito a Milano da una ragazza, al dispensario celtico di via delle Oche: "I òmen hin semper bèi"'.¹ (11).* Qui il punto di vista è quello di Ingravallo, trattasi di un sostituto di Gadda.

Un altro esempio: *'co in coppa a 'a capa 'o fez, co 'o pernacchio dell'Emiro. E- miro de sàbet gràss'² (108).*

In altri episodi, l'inserzione milanese intrica la prospettiva del racconto, essendo del tutto inadeguata rispetto ai personaggi o agli ambienti oggetto di rappresentazione, e risultando anche non ben spiegabili come commenti fuori campo del narratore: *'Dentro, lo si intuiva, lo si annasava, ci doveveno aver bevuto e ttrincato, masticato mortadella, pitturato i labbri d'Olévano, 'a m l'è bon chel Lambroesk chè, al va giò ch'al par on oli'' "sè, ad rècin," fumato popolari, starnutato, scaracchiato, vomitato l'Olévano e la*

¹ 'Un proverbio intende che: all'uomo non manca la bellezza; la squisitezza delle forme è ultimo pregio nell'uomo'.

² La frase in milanese sposta la focalizzazione in direzione dell'autore.

mortadella' (224); *'la Camilla, forse, ne disponeva, glie ne poteva dare: ghe ne podeva dà... on po d' moneda*' (212).

Un altro caso notevole è la presenza dei fiorentinismi, che appaiono in tutte le opere gaddiane, particolarmente quando l'autore vuol rendere un tono comico o ciarliero.

Sono abbondanti le parole fiorentine nel *Pasticciaccio*, ne cito quelle comuni in italiano: *alido* s.m. 'siccatà' (148); *battima* s.f. 'battigia' (83); *aggeggiare* v.intr. 'darsi da fare' (50); *bacìo* (a bacìo) loc.avv. 'in direzione del nord' (164); *bercio* s.m. 'grido' (197); *boce* s.f. 'voce' (128); *berciare* v.intr. 'gridare' (217); *bischero* agg. 'stupido' (65); *bruzzico* (a bruzzico) loc.avv. 'prima dell'alba' (159); *buzzino* s.m. 'pancetta' (172); *catorbia* s.f. 'carcere' (130); *bubolare* v.intr. 'tremare dal freddo' (180); *casigliano* s.m. 'coinquilino' (18); *ciarpa* s.f. 'sciarpa' (16); *chiassetto* s.m. 'vicoletto' (54); *cintolo* s.m. 'fascia' (179); *chiù* s.m. 'assiolo' (157); *culaia* (a culaia) loc.avv. 'che minaccia pioggia' (183); *dolco* s.m. 'tempo mite' (204); *impazzare* v.intr. 'impazzire' (59); *guindolo / guindolo* s.m. 'arcolaio' (123); *mutolo* agg. o s.m. 'muto' (127); *pinzare* v.tr. 'pungere' (220); *risecco* agg. 'avvizzito' o 'inaridito' (234); *ruspi* pl.m. 'denaro' (71); *sciàvero* s.m. 'ritaglio di stoffa' (130); *stiacciato* agg. 'schiacciato' (205); *sdrucio* s.m. 'sdrucitura' (200); *strullo* agg. 'sciocco' (117); *stiantare* v.intr. 'schiantarsi', 'morire' (74); *torbo* agg. 'torbido' (123); *veggio* s.m. 'scaldino' (86); *versiera* s.f. 'strega' (122).

Oltre a questi vocaboli fiorentini, appaiono dei toscanismi morfologici, quali l'articolo *i*: *d'i' ccavallo*: 'alla bocca d'i' ccavallo' (167), *su i' mmuso*: 'non si sa che sponga su i' mmuso dalla bizza' (167), *a i' sudicio*: 'come una ghiandolina di piccione morto da buttare a i' sudicio' (195); il pronome relativo *icché*: 'ne facesse un po' icché voleva' (129), 'Icché non pol fare la paura' (131); il pronome personale *e'*, singolare o plurale: 'E' s'era involato' (162); 'e' dicevano' (228); la desinenza in *-ano* della sesta persona dell'indicativo in un verbo di coniugazione diversa dalla prima: 'ogni cunetta, come dicano loro, ogni zanella' (131); il participio passato a suffisso zero: *maglie buche*: 'un cumulo di stracci, panni, golfoni e maglie buche a ritingere' (117).

3. Termini tecnici

Il *Pasticciaccio* è molto ricco di termini appartenenti ai linguaggi settoriali, impiegati in maniere e con funzioni diverse.

Si può dividerli in due linee maggiori: tecnicismi scientifici e tecnicismi umanistici. Appartengono al primo: termini e locuzioni della chimica, della fisica, dell'ingegneria, della matematica, della medicina, dell'astronomia, etc. Appartengono al secondo: termini e locuzioni della filosofia, della teologia, e altri.

Cerco di sottolineare in breve la differenza tra i linguaggi settoriali, il gergo ed i registri.

3.1 Linguaggi settoriali

Le lingue specialistiche, denominati *linguaggi settoriali*, si definiscono come una modalità di comunicarsi ed esprimersi particolarmente di un ambito specialistico, specificamente di natura scientifica o tecnica (si parla del linguaggio tecnico-scientifico, della burocrazia, della medicina, della pubblicità, della politica, dello sport, anche del giornalismo ecc.). Con quella definizione, il linguaggio settoriale ha delle somiglianze con i 'gerghi' professionali e di mestiere, di cui rappresenta un'evoluzione, nonostante se ne distingua per la maggior precisione (per evitare eventuali equivoci) e in alcuni casi per la formalizzazione esplicita. Alcuni termini delle lingue straniere si usano nei linguaggi settoriali senza adattamento all'italiano, formandosi nuove parole tramite l'uso degli affissi: ad esempio il suffisso *-ite* nel settore della medicina che indica un'inflammazione

acuta, e si usano termini della lingua comune ma con un significato differente (ad esempio *interesse* in economia), creandosi sigle che sono utilizzate come parole intere (per esempio *TAC* che è nota come *tomografia assiale computerizzata*). (cfr. Rovere 2010).

3.2 Il gergo

Dall'Altro lato dei linguaggi settoriali è il gergo. Il gergo è una lingua fornita di un lessico particolare che viene usato da specifici gruppi di persone – sociali o professionisti- in certe condizioni o contesti, per fare la comunicazione ambigua agli estranei e mettere in rilievo l'affiliazione al gruppo. Il gergo perciò si presenta come un cifrario segreto o piuttosto un codice interno di un gruppo che esclude gli altri dalla comunicazione e dona ai suoi eloquenti il senso di coerenza e identità interna, conseguentemente della loro operosità e condivise esperienze della vita comune.

Il gergo si manifesta su tutti i piani linguistici. Sul piano fonetico, ad esempio, si inserisce *r* o *l* : *pelanda/pelandra* per 'mantello', *cospa/crospa* per 'casa'; scambio delle consonanti velari di *k* e *g* con *t*, *p*, *b* o *f*: come *calchi/balchi* per 'occhi', e *morchi/morfire* per 'mangiare'; scambio tra le vocali *i/u* e *i/a*: per esempio *spiga/spago* per 'paura'. Sul piano lessicale vengono usati prestiti di altre lingue: «come dall'arabo *zaraffo* 'complice', *gaffa* 'guardia'; dal tedesco *fraula* 'donna' (dal tedesco 'Fräulein), *spillare* 'giocare' dal 'spielen'; e dalla lingua dei rom: *gagio* 'una persona non rom', *slenza* 'acqua'. Sul piano morfosintattico si rilevano: costruzione della negazione con *bus*, *buschia* postposto: come *impeltre bös* 'non capisco'; metatesi *antefo* per 'fante', cioè 'servo'; uso costante dei suffissi: p.e. *rufaldo* 'ladro', *fangose* 'scarpe', *verdosa* 'erba', *bernarda* 'notte', *birbone/barone* 'vagabondo' e desuffissazione: p.e. *pula* 'polizia', *caramba* 'carabinieri'» (ibidem).

Bisogna in ogni modo sottolineare che i linguisti italiani rivelano la differenza tra le due categorie: chiamano *lingue specialistiche* quelle varietà che prevedono un alto grado di specializzazione (matematica, medicina, linguistica, informatica) e *lingue settoriali* quelle che riguardano settori e ambienti di lavoro non specialistici (lingua della pubblicità, dei giornali, della televisione). Entrambe le categorie si possono riassumere sotto l'iperonimo di lingue speciali o sottocodici. Le differenze di sottocodice appaiono soprattutto nella semantica e nel lessico: «ogni settore di attività e di esperienze con una sua sufficiente caratterizzazione o specializzazione sociale e culturale» (Garajová 2014: 60-61). 'Dunque le varietà collegate all'argomento sono chiamate *lingue speciali* o *sottocodici*, *lingue specialistiche* o *linguaggi settoriali*, e quelle collegate al livello di formalità della comunicazione sono chiamate *registri*' (ivi. 57-58).

3.3 I registri

L'alterazione di registro (cosiddetta anche variazione stilistica), come dice Garajová (2014: 59-60), «scaturisce dalla peculiarità della condizione e dal ruolo mutuo degli interlocutori ed è legata al grado di formalità o informalità attinente alla situazione socievole e al grado di attenzione e di controllo che gli interlocutori collocano nel compiere la produzione linguistica. Il livello della formalità si lega pure con le condizioni sociali e culturali: una situazione è tanto più formale quanto più è centrata sul rispetto e l'esecuzione accurata di norme di comportamento in vigore nella società, ed è tanto più informale quanto meno coinvolge per realizzare le norme codificate di comportamento.

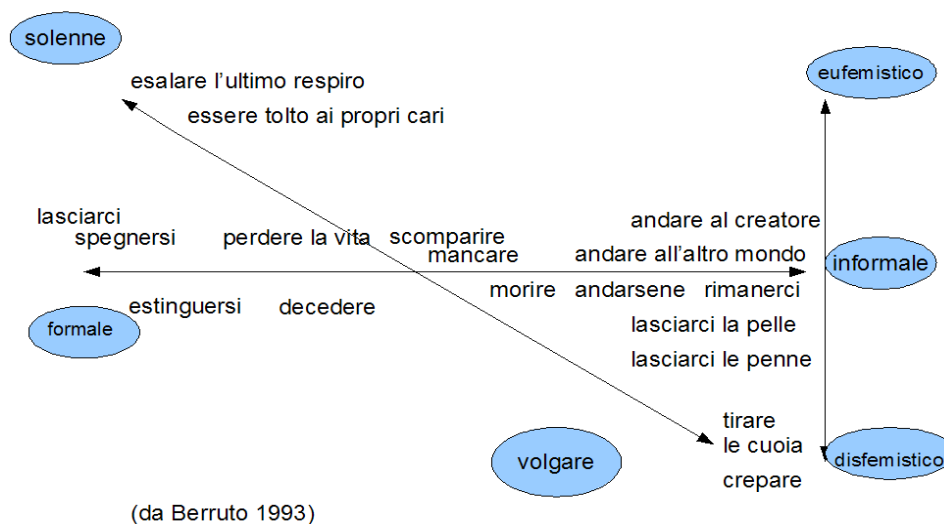
Il contesto formale esige l'uso di un registro formale e controllato - al contrario di occasioni informali di un registro informale e trascurato- in cui viene adoperata la forma scritta della lingua ha un grado di formalità più alto (eccetto le condizioni di scrittura spontanea e rapida, come quelle della comunicazione mediata dal computer), quelle

situazioni in cui si usa la lingua parlata di solito cocordono con gli usi informali: p.e le forme usate per esprimere una richiesta, ordine o informazione hanno varie forme a seconda del grado di formalità della situazione comunicativa: *apri la porta- aprireresti la porta? - ti piace aprire la porta? - non dimenticare di aprire la porta - si prega di aprire la porta*; al riguardo delle forme di saluto: *ciao, buon giorno, ossequi*; ugualmente le forme allocutive che esprimono il rapporto degli interlocutori: *'tu' x 'Lei' x 'Ella'*; *Anna, signora Anna, signora Rossi*».

Lungo la sbarra alle cui estremità si trovano i registri più formali e quelli informali si inquadrano altre varietà di registro con varie gradazioni. Il registro per lo più informale (ma non definitivamente) usato nella comune conversazione quotidiana è la lingua colloquiale.

Possiamo notare l'esempio seguente, ritratto da Berruto (1993: 37-92), che “rapresenta la variazione diafasica del concetto di ‘morire’ in rapporto ai tre assi che caratterizzano il registro. Sull’asse orizzontale si trovano i registri sulla scala dalla formalità all’informalità, l’asse trasversale ha per i due poli registri solenne e volgare e l’asse verticale offre una gamma di registri dal eufemistico al disfemistico. Nel punto di intersezione dei tre assi (nel disegno il punto di intersezione è soltanto ipotetico poiché per le ragioni pratiche l’asse verticale è disegnato come spostato dagli altri due) esistono *morire e mancare*, che si considerano le forme neutre, diafasicamente non marcate. Bisogna osservare che l’elenco non è comunque chiuso e il posto di ogni forma nel diagramma non è fisso o immutabile, siccome la percezione di ogni termine accetta uno spostamento verso l’alto o il basso”.

Diversi registri per ‘morire’



(Figura 1: illustra la variazione dei registri della parola “morire”)

Si può ora sintetizzare gli aspetti essenziali dei registri. Queste caratteristiche differenziali sono sul piano della morfosintassi e riguardano quindi il lessico, la pronuncia, la pragmatica, l’articolazione testuale.

Nei registri formali osserviamo spesso le forme fonetiche non marcate, la pronuncia è più curata e la velocità della parlata è ridotta. Il lessico, soprattutto quello dei registri elevati (ad esempio aulici) è rappresentato da una vasta collezione di termini specifici o aulici

(*conferire con, recarsi, adirarsi*), parole dotte, forestierismi, e lessemi arcaizzanti o almeno letterari (*qualora, onde, affinché, altresì, redarguire, parimenti*). Fondamentalmente sono frequenti i sinonimi differenziati per registro: nel paio di sinonimi, per es., *cibarsi e mangiare, milite e soldato* ecc., il primo elemento è di registro formale, il secondo è di registro medio; regolarmente in *rompiscatole e seccatore, venire giù e scendere*, il primo termine è di registro informale e il secondo di registro medio. Si trovano anche serie di sinonimi con varie gradazioni che si spostano dal polo di informalità verso il polo di formalità, come per esempio: *automobile, autovettura, macchina, auto*.

Nei registri informali invece presentano tratti fonetici marcati, con chiara intromissione di uno sfondo dialettale. Nel lessico informale osserviamo i termini generici (*faccenda, cosa, tizio*), parole espressive (*zucca*), disfemismi (*casino*), parole abbreviate (*prof, bici, tele*), e per la elevata emozionalità anche le onomatopee (*squash, bang*). Sul livello testuale è frequente la minore complessità sintattica del periodo, la scarsa pianificazione testuale, false partenze, cambiamenti di progettazione; le frasi sono spesso brevi ed ellittiche; all'opposto di quello del registro formale in cui è più elevata e complessa la sintassi, assieme alle frasi subordinate esplicite ed implicite e pochi cenni all'ambito situazionale.

3.4 Tecnicismi scientifici

3.4.1 Chimica: *sesquiossido* s.m. 'ossido la cui molecola è formata da tre atomi di ossigeno e due di metallo' (196); *lipoide* s.m. 'sostanza analoga ai lipidi' (191); *papaverina* s.f. 'alcaloide dell'oppio usato in farmacologia' (101); *proteina* s.f. 'sostanza organica azotata' (133); *peptone* s.m. 'prodotto della demolizione di sostanze proteiche' (222); *biossido* s.m. 'Composto formato da un atomo di un metallo (o di un non metallo) e due di ossigeno' (88); *silice* s.f. 'diossido di silicio' (87); *blu di metilene* loc.s.m. 'tipo di colorante' (196); *urea* s.f. 'sostanza azotata presente nell'organismo umano' (191); *anidricità* s.f. 'assenza di acqua' (64); *aminoacido* s.m. 'composto organico' (191); *ebanite* s.f. 'sostanza derivata artificialmente dalla gomma' (202); *carbonioso* agg. 'che contiene carbone' (91); *colloide* agg. 'in chimica, sistema costituito dalla dispersione di una sostanza colloidale solida (S), liquida (L) o gassosa (G) (fase dispersa) in un'altra (fase disperdente), anch'essa allo stato solido, liquido o gassoso (→ colloidale, stato)' (173); *ippurico* agg. 'di amminoacido presente nell'urina di alcuni animali' (213); *etilico* agg. 'in chimica, di composto la cui molecola contiene il radicale etile; alcoolico' (163).

3.4.2 Fisica: *polarizzarsi* v.intr. pron. 'subire un processo di polarizzazione' (70); *elettrone* s.m. 'particella subatomica con carica negativa' (223); *energia cinetica* loc.s.f. 'energia di un corpo in movimento' (122); *viscosità* s.f. 'grado di scorrevolezza di un fluido' (235); *tempuscolo* s.m. 'intervallo di tempo infinitesimale' (164); *candelaggio* s.m. 'misura di intensità luminosa in candele' (116); *vacuo torricelliano* loc.s.m. 'vuoto che si crea all'interno di un barometro, al di sopra del mercurio' (203); *induzione* s.f. 'modificazione che determinate proprietà di un corpo subiscono per la vicinanza di un altro corpo' (109); *wayne* s.m. 'unità di misura della viscosità' (64); *coulombiano* agg. 'relativo alle teorie di Coulomb' (221); *newtoniano* agg. 'relativo alle teorie di Newton' (203).

3.4.3 Matematica: *lemniscata* s.f. 'tipo di curva' (203); *triangolo isoscele* loc.s.m. 'triangolo che ha due lati uguali' (195); *asteroide* s.m. 'figura geometrica a forma di stella a quattro punte' (50); *apotema* s.m. 'segmento di perpendicolare tracciato dal centro ad

un lato di un poligono regolare' (195); *azimut* s.m. 'angolo compreso tra un punto dato e un piano di riferimento' (110); *trigono* s.m. 'triangolo' (162); *diedro* s.m. 'spazio compreso tra due semipiani che si originano dalla stessa retta' (210); *parallelepipedo* s.m. 'poliedro le cui facce sono costituite da parallelogrammi' (192); *scalenoedrico* agg. 'che ha forma di scalenoedro' (196); ellittico agg. 'che ha forma di ellisse' (86); *scalenoide* agg. 'che ha forma asimmetrica' (191).

3.4.4 Meccanica, tecnica: *biella* s.f. 'elemento che collega due parti di una macchina' (186); *collettore di scarico* loc.s.m. 'condotto per lo scarico all'esterno' (161); *autoclave* s.f. 'contenitore metallico per la sterilizzazione' (117); *carda* s.f. 'macchina per la cardatura' (132); *eccentrico* s.m. 'piastra rotante' (134); *impanatura* s.f. 'filettatura' (188); *induttanza* s.f. 'rapporto tra il flusso di induzione e l'intensità della corrente' (114); *molazza* s.f. 'impastatrice meccanica' (134); *indotto* s.m. 'parte di una macchina elettrica' (109); *martinicca* s.f. 'freno che nei veicoli a trazione animale viene azionato a mano' (205); *pantografo* s.m. 'dispositivo per la presa di corrente che si trova nel tetto dei treni elettrici' (131); *frizione* s.f. 'dispositivo che consente il cambio delle marce in un autoveicolo' (224); *trasformatore* s.m. 'macchina elettrica che trasforma la corrente alternata' (63); *verricello* s.m. 'piccolo argano' (173); *valvola* s.f. 'dispositivo che serve a regolare il passaggio di liquidi in una sola direzione' (186); *statore* s.m. 'parte fissa di una macchina elettrica' (109); *watt* s.m. 'unità di misura della potenza elettrica' (90); *dieletrico* agg. 'relativo a bassa conducibilità elettrica' (64); *nichelato* agg. 'ricoperto da uno strato di nichel' (54).

3.4.5 Medicina

Nel romanzo sono abbondanti i termini appartenenti al lessico medico, quindi presenterò una breve introduzione al linguaggio medico.

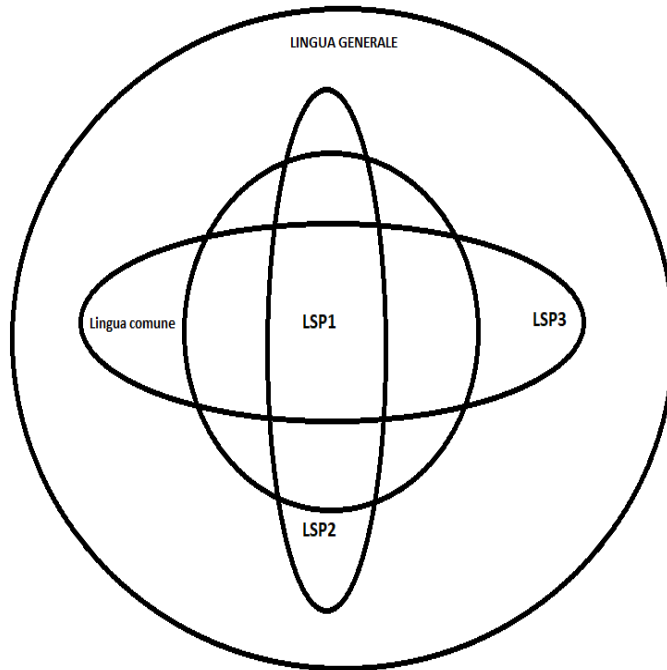
3.4.5.1 Il linguaggio medico

Il linguaggio medico, come linguaggio tecnico-scientifico, è un esempio caratteristico di lingua speciale: con questo concetto, la varietà funzionale intende una lingua naturale, collegata a un ambito di conoscenze o a una sfera di attività specialistiche, impiegata, nella sua interezza, da un gruppo di parlanti più limitato della totalità dei parlanti la lingua di cui quella speciale è una varietà, per soddisfare i bisogni comunicativi e referenziali di quel determinato settore specialistico.

A livello lessicale, la lingua speciale è composta da una collezione di corrispondenze aggiuntive a proposito di quelle comuni e generali della lingua; e a livello morfosintattico, composta da un gruppo di correzioni, ricorrenti con regolarità, all'interno di forme disponibili della lingua. Particolarmente, nel lessico che si accentra la specificità disciplinare nei confronti di altre lingue speciali: tramite il lessico, gioca un rilevante ruolo discriminante, che illustra l'individualità di un sottocodice scientifico nei riguardi della lingua comune¹.

C'è, dunque, una stratificazione orizzontale che illustra i linguaggi tecnico-scientifici nei diversi settori specialistici, e anche la lingua comune.

¹ Cfr. G. C. Gensini, *I medici e le parole*, disponibile a <http://www.giorgiofontana.net/alessia/unpassoavanti/medicina/1%20medici%20e%20le%20parole.pdf>.



(Schema che espone il rapporto esistente tra lingua generale, lingua comune e lingue speciali¹).

3.4.5.2 Termini della medicina

basioglossa s.m. ‘muscolo situato alla base della lingua’ (167); *borborigmo* s.m. ‘brontolio dello stomaco’ (234); *capillizio* s.m. ‘cuoio capelluto’ (167); *algolagnico/algolagnico* agg. ‘caratterizzato da algolagnia’ (130); *cachettico* agg. ‘estremamente deperito’ (233); *acromegàlico* agg. ‘affetto da acromegalia’ (38); *auricolare* agg. ‘dell’udito’ (114); *astenia* s.f. ‘condizione di debolezza patologica’ (112); *carotide* s.f. ‘arteria del collo’ (49); *derma* s.m. ‘strato interno della pelle’ (14); *antilòbo* s.m. ‘sporgenza cartilaginea posta davanti al lobo dell’orecchio’ (112); *apoplettico* agg. ‘affetto da aplopesia’ (71); *dispensario celtico* loc.s.m. ‘centro di sanità pubblica specializzato nelle malattie veneree’ (11); *clorosi* s.f. ‘tipo di anemia’ (41); *affettività* s.f. ‘complesso di pulsioni affettive’ (4); *cicatrizzazione* s.f. ‘formazione di una cicatrice nella guarigione di una ferita’ (100); *eredoluetico* s.m. ‘persona affetta da sifilide congenita’ (38); *epigastro* s.m. ‘zona dell’addome in cui risiede lo stomaco’ (23).

3.4.6 Geologia: *corindone* s.m. ‘tipo di pietra preziosa’ (196); *diorite* s.f. ‘tipo di roccia’ (149); *peperino* s.m. ‘tipo di roccia’ (191); *corniola* s.f. ‘tipo di pietra preziosa’ (195); *arenaria* s.f. ‘tipo di roccia’ (215); *crosoberillo* s.m. ‘tipo di minerale’ (156); *spinello* s.m. ‘tipo di minerale’ (156); *tormalina* s.f. ‘tipo di minerale’ (107); *cristallografico* agg. ‘relativo alla cristallografia’ (196); *tellurico* agg. ‘sismico’ (81).

3.4.7 Geografia: *geodesia* s.f. ‘disciplina che studia la forma della terra e la posizione dei punti sulla sua superficie’ (146); *cirro* s.m. ‘tipo di nube’ (160); *grecale* s.m. ‘vento di

¹ (cfr. Cabré 1998: 126).

nord-est' (34); *geodeta* s.m. 'studioso di geodesia' (146); *monsone* s.m. 'vento tropicale' (67); *geodetico* agg. 'calcolato secondo i principi della geodesia' (146).

3.4.8 Astronomia: *equinoziale* agg. 'proprio di un equinozio' (117); *ellisse* s.f. 'orbita di un corpo celeste intorno a un altro' (130); *gravitatorio* agg. 'relativo alla forza di gravità' (130); *equinozio* s.m. 'giorno in cui il sole si trova sull'equatore celeste' (198); *fotosfera* s.f. 'strato del sole' (224); *orbitazione* s.f. 'moto orbitale' (203); *orbitare* v.intr. 'muoversi secondo un'orbita' (123); *orbitale* agg. 'relativo all'orbita di un corpo celeste' (164).

3.4.9 Biologia: *fibrilla* s.f. 'costituente elementare di una fibra' (70); *tegumento* s.m. 'tessuto che riveste un organo' (86); *amebico* agg. 'relativo ad ameba' (120).

3.5 Termini umanistici

3.5.1 Filosofia: *ethos* s.m. 'norma di vita' (85); *logos* s.m. 'linguaggio in quanto attività del pensiero' (202); *sorite* s.m. 'polisillogismo' (57); *volizione* s.f. 'atto della volontà che porta al compimento di una data azione' (150); *maieutica* s.f. 'metodo dialettico che consente di far pervenire l'interlocutore ad autonoma consapevolezza' (102); *eleatico* agg. 'relativo all'eleatismo' (82); *escatologico* agg. 'che riguarda il destino ultimo dell'uomo' (166); *eleatico* agg. 'relativo all'eleatismo' (83); *teoretico* agg. 'che riguarda il problema della conoscenza' (3).

3.5.2 Linguistica, retorica: *apòcope* s.f. 'caduta di una sillaba in fine di parola' (152); *dittongo* s.m. 'unione di una vocale e una semivocale' (185); *etimo* s.m. 'forma da cui deriva una data parola' (34); *arsi* s.f. 'accento ritmico' (187); *ipotiposi* s.f. 'figura retorica attraverso la quale si rappresenta qualcosa in modo visivo' (39); *giambo* s.m. 'piede formato da una sillaba breve e una lunga' (185); *toponomastica* s.f. 'insieme di toponimi di una zona' (230); *agglutinante* agg. 'di lingua, la cui morfologia funziona per giustapposizione di elementi autnomi nel corpo delle parole' (180); *trocàico* agg. 'formato da trochei' (162).

4. Forestierismi

Il forestierismo è una parola, locuzione, o anche costrutto sintattico, introdotti in una lingua da una lingua straniera, sia nella forma originaria, sia con adattamento alla struttura della lingua d'arrivo.¹

Sono frequenti le parole e frasi in lingua straniera in tutte le opere di Gadda. Sono presenti alcuni termini in inglese nel *Pasticciaccio*: *holding* (39), *mindings* (144), *cost insurance free* (186), *flint* (196), *tight* (38), *vegetables* (24), *pipe-line* (59), *clacson* (161), *shampoo* (163), *boxer* (105), *pointer* (149), *cracking* (122), *free along bank* (186), *bulldog/bull-dog* (92). È attinta la parola *toboga* (228) dall'inglese americano.

Sono presenti anche termini e locuzioni in francese: *au ralenti* (131), *du vieux terroir* (204), *anisette* (61), *en passant* (193), *caveau* (75), *élite* (69), *bleu* (15), *dessous* (41), *loisir* (128), *trop-plain* (221), *refrain* (131), *coûte que coûte* (73), *foulard, foulards* (15), *bouquet* (158), *chez nous* (73), *bonbons* (189), *pensif* (144), *haute pâte* (160), *béchamelle* (187), *empâtée* (204), *nuits de Saint Petersburg* (87), *cherchez la femme* (4), *taxi* (63), *l'espace d'un matin* (64), *mi-carême* (158), *hélas* (183), *loisir de siéger* (133), *manicure*

¹ Cfr. http://www.treccani.it/vocabolario/forestierismo_%28Sinonimi-e-Contrari%29/. (Aprile 3, 2019).

(88), *négligé* (15), *du côté de chez madame* (18), *soufflé* (87), *trousse* (87), *téléphone avec la manivelle* (202).

Il francese può apparire anche in lunghe citazioni esplicite, come nel passo seguente:

L'effetto che la resurrezione in parola cavò di sue viscere [...] fu quello che si verifica ogni volta [...]: conglomerare le tre balie – da Carlo Luigi de Secondat de Montesquieu con sì chiaroveggente capa sceverate, libro undecimo capitolo sesto del suo trattatello di ottocento pagine circa l'esprit de lois – irremovibile camorra. In un tale evento, «le même corps de magistrature a, comme exécuteur des lois, toute la puissance qu'il s'est don- née comme législateur. Il peut ravager l'État» (intendete? Ravager l'État!) «par ses volontés générales et, comme il a encore la puissance de juger, il peut détruire chaque citoyen par ses volontés particulières»: particulières a lui, cioè al sullodato corps. (61-62).

Il tedesco si ritrova anche in discorsi diretti: *'Il cannocchiale foca s'era creduto allora in dovere di riferire all'amministrazione – "Verwaltung, Verwal- tung!... Wo ist denn die Verwaltung? drüben links? Ach so!..."* (80); *«"Jedes Jahr ein Kind, jedes Jahr ein Kind..." gli cantava quel tedesco, ad Anzio: che pareva una foca»* (10); o nella citazione di un proverbio: *«keine Rose ohne Dornen»* (183).

Alcuni espressioni o vocaboli in spagnolo completano il registro dei forestierismi del *Pasticciaccio*: *cuidado* (234), *prensa* (39), *desde Italia* (39), *desde la misma Italia* (39). Potenziali prestiti da altre lingue sono limitati a parole già ben adattate in italiano, come il russo *wodka* (163), il turco *harem* (127), e l'urdu *maharagia* (197, 104).

5. Termini latini

Una costituente fondamentale degli elementi del plurilinguismo gaddiano è il latino, un'ingrediente attiva nella maggiore parte delle opere di Gadda, specialmente *la Cognizione del dolore*, *Eros e Priapo e il Pasticciaccio*. In pochissimi casi Gadda cita esplicitamente testi latini, mentre più frequenti sono le citazioni implicite; l'autore più approfittato come fonte è l'amatissimo Orazio, ma molto vivi nella memoria di Gadda sono anche Virgilio, Cicerone, e Catullo. Il latino si svela una componente piuttosto rilevante pure nel *Pasticciaccio*, in particolare, chiaramente, in quelle pagine in cui la narrazione è più distante dalla rappresentazione degli ambienti popolari e lascia spazio ad un registro elevato (Matteis, 1985:100-101).

In alcuni casi, si tratta di espressioni usate più o meno comunemente in italiano nel linguaggio intellettuale: *ad hoc* (213), *agnus* (150), *ab aeterno* (87), *ad audiendum verbum* (118), *ad libitum* (74), *adnuente* (adnuo) (103), *asperges in nomine Domini* (71), *coeli jucundum lumen et auras* (187), *consule* (74), *coram* (202), *Corpus Domini* (113), *crescite vero in gratia* (167), *do ut des* (116), *de jure decreto* (161), *de moribus, de temporibus* (144), *domum relapsa* (166), *Dominicus* (34), *evasi, effugi* (84), *extra muros* (74), *facio* (37), *fama volat* (35), *filius* (180), *gradus ad Parnassum* (110), *illis temporibus* (223), *ipso facto* (221), *homines consulares, homines praetorii* (62), *pro forma* (74), *de Quo* (67), *sine qua non* (64), *in facto* (73), *in loco* (9), *in utroque* (7), *manu armata* (54), *more insolito* (154), *mos* (80), *sui generis* (193), *primum vivere* (61), *quondam* (128), *Commodatam repetunt rem* (70), *gentes* (70), *item* (81), *quondam* (128), *manet sub jove frigido* (71), *memento* (131), *motu proprio* (180), *non datur casus, non datur saltus* (155), *ora et labora pro nobis* (223), *pater patriae* (234), *rictus* (121), *saepe proposui venire ad vos* (168), *sic et simpliciter* (122), *sic: nec aliter* (81), *sive* (114), *ubique* (73) (cfr. Ceccotti e Sassi, 2002:17-113).

In un solo caso una locuzione comune viene stravolta: *more insolito*: ‘disse Fumi pensoso, invitante, tuffandosi di tutta lingua nel cia di Lanciani, more insolito. Ma la canestra delle albicocche era vuota, omai’ (154).

Gadda è infleuzato dai classici latini riflettendosi sulla sua scrittura: *Manet sub Jove frigido*: ‘*Che pesavono più loro che du rognoni a Natale. «E mo indove so’ annati?» pensavono. «Che ce lo sa, er cacciatore?» Manet sub jove frigido. A quali nozze ha mai adibito la sposa, la validità carnale e dotale de su’ moje?’* (71), da Orazio; *coeli jucundun lumen et auras* (187), da Virgilio; *non datur casus, non datur saltus* (155), da Kant.

Vale la pena qui di notare la lettura presentata da Aldo Pecoraro (1998, 195) di questo brano nel suo scritto su Gadda proponendo che il richiamo al testo del Carmen oraziano sottintenda un’accusa indiretta al Balducci: ‘venator tenerae coniugis immemor’ come recita il verso seguente a quello citato: Gadda quindi richiama la citazione latina non solo per rilevare la bassa materialità dei pensieri del parentado della vittima, ma per comunicare una riprensione non dichiarata al marito che egli aveva trascurato.

Appare anche il latino cristiano: *Fiat lux!* (167), *asperges in nomine Domini* (71); o pseudo come: *non-confiteor* (103). Riguarda al latino scientifico la locuzione *plexus haemorrhoidalis medii* (186).

In altri due casi compare il latino epigrafico: nel primo caso, un’iscrizione letta da Liliana durante una visita ad un museo, e da lei non compresa, assume la funzione di chiave di lettura per l’intera esistenza della donna: ‘*Evasi, effugi: spes et fortuna valet: nil mihi vobiscum est: ludificate alios*»: *al museo lateranense: un sarcofago: Liliana aveva ritenuto chella frase: lo aveva pregato di tradurla*’ (84).

Il secondo brano assume invece la funzione comica, in cui si vede il carabiniere Farafilio compitare con poco successo l’iscrizione posta nell’edicola dei due Santi, che mette a dura prova le sue capacità di lettura:

Sotto alle figure dei due, nei du cartigli ondegianti l’un su l’altro in esergo, il tombolotto di Farafilio petri pervenne a leggere, col dischiudere e richiudere i labbri mutamente, spiccicandoli a pena senza dar parola di fuori: «Crescite vero in gratia et in co... co... cococcione Dò-mi-ni Preti Sec. Ep.» [...] «Saépe.» così lesse il Farafilio, «proposùì venire ad vos et pro-hi-bitus» (così mentalmente) «sum usque ad kuc Paul ad Rom.» Con che fu certo essersi meritato il diploma: di licenza elementare. (167-168).

si rivela anche un gioco di parole pseudolatineggiante *Facta factorum* (37), come storpiatura della locuzione *sancta sanctorum*, con cui si beffeggia al ministro fascista Facta (Matt, 2012:214).

Lo scrittore Roberto Almagioni (2009) ha pubblicato un saggio intitolato “*la memoria del latino nella produzione di C. E. Gadda*” in cui parla del rapporto tra Gadda e la lingua latina esprimendo il suo parere che il latino per Gadda fosse uno strumento di evasione dalla realtà malinconica, cercando di trovare un mondo nobile e puro. Almagioni vede che lo sperimento latino di Gadda si spezza in corsi di diversa direzione, e non fluisce in un movimento univoco, esponendo una precisa schematizzazione delineatasi in tre linee inconfondibili ma tra loro incrociatesi:

- 1) usare espressioni semplici in latino di gusto più medievale che classico;
- 2) usare termini italiani che sono corrispondenti a voci latine a livello strutturale-linguistico, intanto che il senso semantico originale a volte viene indotto a forza in nuovi versi;
- 3) utilizzare figure retoriche come i giochi di parole e metafore, che implicano un fondo latino, maggiormente già incorporato in uno sperimento letterario, simile al caso degli effetti dell’epigramma di Catullo su Gadda (Almagioni, 2009).

6. Termini greci

Compagiono anche, in modo discontinuo, espressioni greche, che sono traslitterate o no: *ethos* (85), *epos* (14, 19, 34), *pathos* (61, 85), *pragma* (73, 122), *logos* (202), *παντα δε πολεμος* (83), *συμπάθεια* (85), *εξωτερικό* (120).

7. Neologismi

Neoformazione o neologismo è una parola derivata o composta di recente formazione in una lingua, ad esempio genitoriale da genitore.¹

Il presente studio intende rispondere all'esigenza di fornire un'analisi esauriente di un fenomeno pervasivo e intricato, quale è quello della creatività neologica di Gadda, che offre una molteplicità di spunti di ricerca, e di ordine linguistico, stilistico e sociolinguistico.

Con uno sguardo piuttosto versatile, che privilegia però in primo luogo una prospettiva di tipo linguistico sostanziata dalle più recenti acquisizioni sull'argomento della creatività lessicale nell'ambito delle diverse branche degli studi di linguistica, si tenterà di proporre un'articolata classificazione su base formale, di tutte quelle unità lessicali in qualche misura interessanti ai fini della ricerca.

Il *pastiche* linguistico di Gadda è completato da numerose neoformazioni, che non possiamo calcolare, perciò non posso dare conto in modo soddisfacente dell'intero repertorio di invenzioni lessicali presenti nel *Pasticciaccio*; per questo motivo, mi limiterò a citare alcuni esempi, scelti tra quelle che appaiono con ragionevole sicurezza come creazioni di Gadda, sufficienti a dare almeno un'idea dei principali sistemi di formazione delle parole attivati dall'autore.

Sono molto diffusi i suffissati: *disingorgativo* agg. 'che libera da un ingorgo' (222); *bersagliata* s.f. 'corsa' (189); *benemeritardo* agg. 'degnò di benemerenzà' (159); *pandemonismo* s.m. 'presenzà di più entità malefiche' (200); *topaziesco* agg. 'relativo a un topazio' (209); *patateria* s.f. 'l'averè un viso che ricorda una patata' (193); *semaforismo* s.m. 'tendenzà di amministratori pubblici a collocare semafori ovunque' (131).

In alcuni casi si deriva tramite un nome proprio: *ingravallesco* agg. 'proprio di Ingravallo' (11); *doncicciano* agg. 'proprio di don Ciccio (Ingravallo)' (11); *federzonite* s.f. 'tendenzà del ministro Federzoni a imporre norme severe per la salvaguardia della moralità pubblica' (74).

Non sono assai comuni i prefissati: *increduto* agg. 'che non si può credere' (196); *devestizione* s.f. 'lo spogliare' (127); *dispicciare* v.tr. 'staccare fuori' (85); *tripotente* agg. 'che ha un triplice potere' (62). Notabili anche i composti ricavati attaccando il prefisso iterativo *ri-* ad un sostantivo: *rinodo* s.m. 'nuovo nodo' (195); *ribega* s.f. 'nuova bega' (58).

Sono molto frequentissimi anche i parasintetici: *avvinellato* agg. 'caratterizzato da una bevuta di vino' (127); *accileccare* v.tr. 'mettere in difficoltà' (4); *depentolato* agg. 'tolto da una pentola' (139); *disillibarsi* v.intr.pron. 'perdere la verginità' (128), *disillibatore* s.m. 'chi fa perdere la verginità' (128); *dekirkegaardizzare* v.tr. 'privare di un'aura esistenzialista' (122); *infiascabile* agg. 'che si può dare a bere' (196); *detopaziato* agg. 'derubato di topazi' (156).

Assai numerosi i composti *grosso modo* simile quelli formati da due basi italiane: *domicilioaggredito* agg. 'che ha subito un'aggressione in casa' (156); *cortovestito* agg. 'che indossa un vestito corto' (167); *slogamascelle* agg. 'che porta allo slogamento delle mascelle' (170); e sono rari quelli che combinano un confisso di origine classica con una

¹ Cfr. www.treccani.it (Marzo 5, 2019).

parola italiana: *cancerologia* s.f. ‘oncologia’ (88); *bananifero* agg. ‘che porta banane’ (197); *criptorutto* s.m. ‘rutto che viene trattenuto’ (158). Assai pochi anche i composti formati da due confissi, il cui significato si capisce dalle locuzioni idiomatiche alle quali accennano: *cinobalanico* agg. ‘approssimativo, da cialtrone’ (73); *capillotomico* agg. ‘eccessivamente minuzioso’, da spaccare il capello in quattro’ (155).

Si rintracciano con frequenza i participi presenti con funzione aggettivale: *premeditante* (109), *sonnecchiante* (154); *ammanettante* (130); *racchetante* (134). Capita anche che il participio ricavato da un verbo inesistente: *cannocchialante* (214).

Un altro caso comune nelle opere gaddiane e anche nel *Pasticciaccio* è l’esistenza del modello della fusione di due vocaboli per mezzo di un trattino, si possono ritrovare alcune tipologie ricorrenti di «costruzioni giustappositive» come le definisce Roscioni (1995, 11).

Matt (2012:210-211) vede che le fusioni di sostantivi sembrano rispondere a tre tipi di accostamento semantico: Il caso più semplice prevede che i due termini indichino elementi o qualità che si riuniscono (lo schema logico è quindi “X e Y”), ad esempio: *duodeno-fegato* (87), *baritono-soprano* (19), *polizia-carabinieri* (116), *moralità-individualità* (85), *manucaptazione-prolazione* (123), *felicità-facilità* (195), *papaverina-eroina* (101), *pantaloni-giacca* (165), *sollecitudine-devozione* (15); in un’occasione, il ‘corto circuito lessicale’ coinvolge tre sostantivi: *derubanda-sevizzianda-iugulanda* (16) (Contini, 1989:22).

Il secondo ed il terzo caso prevedono un rapporto più stringente tra i due termini, schematizzabile con la formula “X è anche Y”: *camera-studio* (86), *collega-avversario* (118), *cacciatore-viaggiatore* (100), *teriezioni-invocazioni* (15), *Idea-Pollice* (144), *dei-bestie* (180), *recuperatore-salvatore* (198), *bottega-laboratorio* (157), *maestra-sarta* (158), *maga-tintora* (127), *pollo-campione* (119), *sposo-studente* (110), *sarta-sibilla* (124), *radioamatore-pescatore* (203), *laboratorio-bettola* (122), *studente-sposo* (110), *superbrigadiere-centauro* (133), *referto-sintesi* (105), *preti-stregoni* (180), *piscina-trappola* (220), *valore-lavoro* (196); oppure con la formula “X è come Y”: *centauro-saetta* (130), *locomotore-pialla* (131), *maresciallo-diavolo* (214), *occhi-gemme* (121), *occipite-jungla* (221), *sfilatino-scarpa* (134). Altri due casi eccezionali sono *maremmano-spinone* (187), in cui i due termini costituiscono gli elementi di un ibrido, e *crepuscolo-alba* (87), il cui schema logico è “X causato da Y” (e traducono la parola macedonia *maremmone*, certamente coniata da Gadda) (cfr. Matt, 2012:211-212). Un caso a parte è *topo-topazio* (162), forma inserita nella rievocazione di un sogno del brigadiere Pestalozzi, in cui il gioco di parole è alla base della costruzione immaginaria del sogno.

Meno frequente è l’adesione di aggettivi, quasi tutti rispondenti allo schema più semplice, “X e Y”: *monosillabico-agglutinante* (180), *aspirante-espilante* (80), *ossequenziale-scaricabarilistico* (62), *ammogliati-brustolati* (82), *trubadorico-mandrillico* (231), *ipocarducciano-iposaffica* (131), *politico-totalitario* (131). L’unica eccezione è quella di *ipotiposi digito-interrogativa*: ‘Amico, che amico! amico ‘e chi?’» *Raccolte a tulipano le cinque dita della mano destra, altalenò quel fiore nella ipotiposi digito-interrogativa tanto in uso presso gli Apuli* (39), bizzarra definizione per un gesto che attraverso l’uso delle dita funge da domanda.

Capita anche in alcune espressioni pseudoscientifiche che gli aggettivi fusi tra loro possano essere anche tre o quattro, ed esempio: *linguatico-palatali-faringo-esofagici* (37); *cloro-bromo-jodica* (220).

Un atro caso caratteristico del *Pasticciaccio* e della maggioranza delle opere di Gadda, è quello degli alterati,¹ considerato un tipo di infrequenza lessicale. Ecco un gruppo di forme atipiche, probabilmente frutto dell'inventiva di Gadda: *baffosetti* (216), *codonzolo* (220), *cavolazzo* (124), *carezzaccia* (12), *affrescone* (165), *bugiole* (195), *cannarelle* (201), *ciabattazze* (221), *cupidoni* (149), *cioccolatinone* (173), *bafficci* (87), *caffettieruzza* (222), *cannòlo* (234), *catenaccino* (222), *caramellozza/-e* (195, 197), *ditonzoli* (165), *ditoncello* (166), *facciazza* (188), *frustataccia* (213), *gingilluccio* (196), *farabuttelli* (122), *ferraiolotti* (165), *linguacciotto* (171), *liruccia* (123), *maritone* (7), *maramalduccio* (54), *nasazzo* (28), *occhierugioli* (32), *orticolo* (191), *pitalaccio* (194), *peptoncello* (133), *polpettuola* (158), *pitalone* (193), *remunerazioncella* (149), *ragionieretto* (57), *sbadigliaccio* (215), *sfilacciatella* (155), *spumiccia* (42), *stradiccia* (130), *stagionatuzza* (74), *singhiozzuccio* (152), *strizzatona* (149), *tartufone* (63), *stufone* (115), *temporalino* (12), *tontarella* (43), *testoncello* (224), *torroncello* (225), *trenetto* (229), *virgoluccia* (105).

Un altro caso, indipendentemente, rappresentato dalle coppie di vocaboli cromatici, un vero e proprio tratto distintivo della prosa gaddiana. Possono essere due (o tre) termini fusi, indicanti colori diversi, che coesistono nell'oggetto descritto, ed esempio: *verde-nero* (117), *olivastrò-bianco* (120), *abbronzato-rosso* (129), *verdolino-azzurro* (51), *bleu-nero* (129), *bianco-azzurri* (216), *avorio-paglia* (220), *grigio-argento* (200), *grigioverde-nero-argento* (186).

Altre volte il secondo membro della coppia determina con più precisione la tonalità indicata dal primo, ad esempio: *giallo-bruno* (233); *verde-bruno* (16); *verde-stinta* (124); o presenta un termine di paragone: *giallo-paglia* (221); *bigio-topo* (196), *verde-cenere* (203). Meno frequentemente si dà il caso di univernazione grafica: *rossoverdi* (137), *gialloverdi* (220).

Occasionalmente, ad essere uniti sono verbi: *nevicando-piovendo* (17); o avverbi: *legalmente-militarmente* (183).

Va notata nel *Pasticciaccio* l'esistenza di un certo numero di pseudodialettismi, o neoformazioni su base dialettale (come *cucchiarasse* 'prendere col cucchiaino': 'Don Ciccio si cucchiarò in bocca la magra minestrucola' (133) e *magnaro*: 'intrappolate a vite con tutta la lor ciccìa nei vortici della gran fiera magnara' (220)). Sono parole che convergono a tutti gli effetti alla rappresentazione degli ambienti romani (Matt, 2006:81).

8. Conclusioni

Scopo di questo studio era cercare di far emergere gli aspetti linguistici del plurilinguismo nel *Pasticciaccio* un romanzo poliziesco in cui l'ambiente dove si consumerà il delitto è una periferia di Roma. I personaggi di Gadda non erano tutti uniformi; ognuno aveva la sua maniera di parlare, la sua storia, il suo linguaggio, e in seguito, la sua propria realtà.

Linguisticamente e stilisticamente, il modello del *Pasticciaccio* pare comunque, almeno a giudicare dai fatti, eccezionale; e la più interessante sperimentazione gaddiana e un rappresentante assai espressivo dell'attività plurilinguistica della letteratura italiana.

Cerco di sottolineare le conclusioni alle quali sono riuscita ad arrivare:

- Nel *Pasticciaccio* sono presenti diverse forme e maniere caratterizzate ognuna da un suo stile. Include mescolanza in modo frequente, confusioni degli stili, coesistenza del triviale e dell'aulico, del tragico e del comico nella stessa frase, nella stessa pagina.

¹ (Ling.) si dice di nome o aggettivo derivato da un altro nome o aggettivo per mezzo di un suffisso che di norma ne modifica il significato nella qualità, nella quantità, nel tono (p.e. *gatto*: *gattaccio*, *gattone*, *gattino*; *bello*: *bellino*, *bellocchio*): i diminutivi, gli accrescitivi, i peggiorativi e i vezzeggiativi sono degli alterati. Si veda a <https://www.garzantilinguistica.it/ricerca/?q=alterato>, (Febbraio 10, 2019).

- Nella sua pagina si affollano i più vari elementi. Non c'è solo dialetto, ma una varietà: romanesco, napoletano, molisano, fiorentino e milanese.

Abbiamo notato l'uso particolare gaddiano del dialetto nel *Pasticciaccio*: il dialetto fluisce dall'ambito del discorso e infiltra di nuovo la narrazione. Pare che il narratore immetta improvvisamente delle frasi in dialetto. Il dialetto è più emotivo, e espressivo, che la lingua standardizzata e la lingua letteraria. Gadda ha dato ai lettori un'altra prospettiva della lingua letteraria italiana ribaltando le regole, i codici e le strutture stabilite formano una realtà maggiore, più fertile e più espressiva, adoperando più forme per liberare la loro fantasia. Con l'uso metodico dei dialetti viene distinta la parlata dei personaggi, ovvero si rifletteva il punto di vista di chi osserva la scena in discorso indiretto. I dialetti vengono usati anche nel discorso del narratore ma per descrivere il personaggio che appare sulla scena.

Relativamente i dialetti a volte corrispondano a quelli ipotizzati come nativi dei personaggi, non si tratta soltanto di un uso mimetico: accanto ad effettuare una funzione antiretorica contro l'italiano vuoto e ridonante del fascismo, i dialetti interagiscono con il linguaggio letterario, creando un singolare pastiche.

Ho studiato gli altri elementi principali del plurilinguismo del *Pasticciaccio* esaminando i termini latini e greci, i tecnicismi, i forestierismi, le neoformazioni. I codici linguistici che si intricano sono usati a livello alto ed è facile di perdersi tra i linguaggi usando tanti registri e neologismi inventati da Gadda. Il plurilinguismo nel *Pasticciaccio* rappresenta un portavoce della pluridiscorsività sociale, della moralità, dell'opinione dell'autore sulla società, sulla politica e sulla religione. Gadda voglia cogliere la vita fino in fondo, ponendo dunque la sua attenzione all'uomo "concreto" e al suo posto nel mondo, alle sue vicende ed episodi quotidiani in tutti i loro aspetti, comportamentali, psicologici, linguistici.

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Bewerten als ein sprachliches Handeln in deutschen politischen Reden Eine textlinguistische Analyse

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Abstract: Values are an important part of our life; whether in everyday life or in public life, it is a humane action. In politics, language comes primarily as a means of communication, which is intricately connected with politics. The present study attempts to deal with linguistic evaluation in political speeches based on a speech by German Chancellor Angela Merkel on the occasion of the UN Conference on climate Change and climate protection. In order to present a meaningful analysis of the linguistic evaluation and a presentation of the values, sublimates the need for a short presentation about the function of the values as well as types and classification of the evaluations. The focus of the present study is on the German political speeches, in particular the speech of the Federal Chancellor. The reason for choosing the speech to be studied is the fact that linguistic use in the field of politics plays a significant role due to the close relationship between language and politics. Another reason is the importance of values in our lives; therefore, as a recipient, one should have value judgments about current events. The present research paper is not about quantitative analysis or analysis methods, but about a careful selection of text documents of a political speech, which serve as the basis of a linguistic analysis. Thus, the types of linguistic assessment and the classification of assessment types according to Schlobinski and Läser will be presented shortly. As a result, the evaluation is also discussed as one of the dominant speech acts and several linguistic means on the different language levels, so that the evaluation can be understood as much as possible from a linguistic point of view.

Keywords: Bewerten, Bewertung, sprachliches Handeln, Sprechhandlung, politische Rede.

Abstrakt: Werte sind ein wichtiger Bestandteil unseres Lebens; ob im Alltag oder im öffentlichen Leben, es ist ein humanes Handeln. In der Politik ist Sprache in erster Linie ein Kommunikationsmittel, das eng mit der Politik verbunden ist. Die vorliegende Studie versucht, sich mit sprachlicher Bewertung in politischen Reden auseinanderzusetzen, basierend auf einer Rede von Bundeskanzlerin Angela Merkel anlässlich der UN-Konferenz zu Klimawandel und Klimaschutz.

Um eine aussagekräftige Analyse der sprachlichen Bewertung und eine Darstellung der Werte darzustellen, sublimiert die Notwendigkeit einer kurzen Darstellung über die Funktion der Werte sowie Arten und Klassifizierung der Bewertungen. Der Schwerpunkt der vorliegenden Studie liegt auf den deutschen politischen Reden, insbesondere der Rede des Bundeskanzlers.

Der Grund für die Wahl der zu untersuchenden Rede ist die Tatsache, dass der Sprachgebrauch im Bereich der Politik aufgrund der engen Beziehung zwischen Sprache und Politik eine bedeutende Rolle spielt. Ein weiterer Grund ist die Bedeutung von Werten in unserem Leben; Daher sollte man als Empfänger Werturteile über aktuelle Ereignisse haben.

In der vorliegenden Forschungsarbeit geht es nicht um quantitative Analyse oder Analysemethoden, sondern um eine sorgfältige Auswahl von Textdokumenten einer politischen Rede, die als Grundlage einer sprachlichen Analyse dienen. So werden in Kürze die Arten der sprachlichen Leistungsbeurteilung und die Klassifizierung der Leistungsbeurteilungstypen nach Schlobinski und Lärer vorgestellt. Infolgedessen wird die Bewertung auch als einer der dominanten Sprechakte und mehrerer sprachlicher Mittel auf den verschiedenen Sprachniveaus diskutiert, so dass die Bewertung aus sprachlicher Sicht so gut wie möglich verstanden werden kann

Schlüsselwörter: Bewerten, Bewertung, sprachliches Handeln, Sprechhandlung, politische Rede.

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Einleitung

Werte sind ein wichtiger Bestandteil unseres Lebens; sowohl im Alltag als auch im öffentlichen Lebens ist es ein menschliches Handeln. In der Politik kommt die Sprache in erster Linie als ein Kommunikationsmittel, das mit der Politik eng verbunden ist. Bewertung in den politischen Reden anhand einer Rede der Bundeskanzlerin Angela Merkel anlässlich der UN-Konferenz zum Thema Klimawandel und Klimaschutz zu beschäftigen.

Um eine sinnvolle Analyse des sprachlichen Bewertens und eine Darstellung der Werte vorzustellen, sublimiert den Bedarf einer kurzen Darlegung über die Funktion der Werte sowie auch Typen und Klassifikation der Bewertungen. Der Schwerpunkt der vorliegenden Untersuchung liegt auf den deutschen politischen Reden insbesondere die Rede der Bundeskanzlerin.

Als Grund der Auswahl der zu untersuchenden Rede ist die Tatsache, dass der sprachliche Gebrauch im Bereich der Politik eine erhebliche Rolle hat, durch die enge Beziehung zwischen Sprache und Politik. Ein weiterer Grund ist die Wichtigkeit der Werte in unserem Leben; deswegen soll man als Rezipient Werturteile über die aktuellen Ereignisse haben.

In der vorliegenden Forschungsarbeit handelt es sich nicht um quantitative Analyse bzw. Analyseverfahren, sondern um eine sorgfältige Auswahl von Textbelegen einer politischen Rede, die als Basis einer linguistischen Analyse. Es werden also die Typen des sprachlichen Bewertens und die Klassifikation der Bewertungstypen nach Schlobinski und Lärer in Kürze dargestellt. Dadurch wird auch das Bewerten als ein der dominierenden Sprechhandlungen und eine Reihe von sprachlichen Mitteln auf die verschiedenen Sprachebenen besprochen, damit das Bewerten wie möglich auf linguistische Ebene verstanden werden kann.

1.

Zum Begriff

Bewerten

Im alltäglichen Sprachgebrauch heißt "bewerten" (im Sinne von "einschätzen", "beurteilen"), einem Objekt einen mehr oder weniger großen Wert beimessen. Es gab verschiedene Auseinandersetzungen mit der Untersuchung der Wertung und ihre Problematik; diese auseinandersetzung Untersuchungen stoßen auf unterschiedlicher Theorien über die Begriffe „Wert“ und Bewerten“, die zu den grundlegenden Begriffen der Wertlehre gezählt werden.

Als sprachwissenschaftlicher Terminus wird „Wert“ erst von de Saussure konzipiert und verwendet, als er Werte im Zusammenhang mit dem Sprachsystem durchgeführt: „die Sprache ist nichts anderes als ein System von bloßen Werten“ (Saussure, 2001, 132). Da eine Sprache ein System ist, das eine Struktur hat, soll man die sprachlichen relevanten Eigenschaften und den Stellenwert sprachlicher Elemente nur in Bezug auf ihre

Beziehung zu anderen Elementen des Systems betrachten. Laut de Saussure ist ein sprachliches Element in erster Linie nur durch seine Position im sprachlichen System (Valeur) bestimmt.

Man muss auch zwischen dem Begriff „Bewerten“ und „Beurteilen“ unterscheiden: Ziel eines Sachurteils ist eine wissenschaftliche Aussage über einen Ist-Zustand, die über die Fächergrenzen hinweg überprüfbar ist. Ein Beispiel dafür: Jeder redet gern über das Wetter. Wie lässt sich nun ein Sachurteil über das Wetter fällen? Wenn wir diesen Gegenstand wissenschaftlich betrachten, brauchen wir überprüfbare Messgrößen. Ein Sachurteil über das Wetter können wir uns also dann erlauben, wenn wir das heutige Wetter zum Beispiel durch Temperatur und Luftfeuchte messen. Wollen wir uns mit der Frage „Sind die Löhne in Deutschland gerecht?“ beschäftigen, so messen wir zum Beispiel die Einkommensverteilung durch Verteilungsmaße.

Im Gegensatz zum wissenschaftlichen Sachurteil stellt das Werturteil unter dem Operator „Bewerten“ eine Aussage dar, die eine persönliche Meinung, eine Einstellung wiedergibt. Aber Achtung: Dies bedeutet nicht einfach, einen Gegenstand unter ein simples „Gut“ oder „Schön“ zu stellen. Ein Werturteil ist qualitativ immer dann besser, wenn die Begründung komplex und angemessen ist.

„Heute ist schönes Wetter“ reicht also als Werturteil nicht aus - „Das Wetter ist schön, da es schon lange nicht mehr so viele Sonnenstunden gab“ ist als Werturteil deutlich besser. Ebenso ist „Die Einkommensverteilung ist ungerecht“ kein gutes Werturteil - argumentiert mit Gründen: „Die Einkommensverteilung ist ungerecht, da sie die ärmeren Bevölkerungsschichten vernachlässigt.“ Ein Werturteil stellt die Frage: Was ist erwünscht / unerwünscht? und führt treffende Gründe und Kriterien für dieses Urteil an.

Sprachhandlung wird nach Glück (2000, 628) als eine alternative Eindeutig zu Sprechakt; Dieser Begriff steht aber nach Bußmann (2008,674) für die illokutionäre Akte. Dieser Ausdruck wird gebraucht, um die Zweckcharakteristik des sprachlichen Handelns hervorzuheben, sowie auch die Handlungsqualität und den besonderen Stellenwert dieser Form von menschlicher Tätigkeit zu unterscheiden.

2. **Typen des sprachlichen Bewertens**

Die sprachlichen Bewertungen lassen sich also in zwei Typen untergegliedert; man bewertet etwas oder einen Sachverhalt entweder positiv oder negativ. Im Folgenden werden die zwei Typen des Bewerten kurz erklärt.

a. **Positives Bewerten**

Es muss nicht direkt mit positiven Werturteilen bewertet werden, es könnte auch durch aufgrund eines positiven Werturteils als eine Zurückweisung einer positiven Bewertung betrachtet werden; dadurch kommt eine propositionale semantische Struktur einer Bewertung vor. Im Folgenden sind einige Äußerung aus dem untersuchten Korpus, die positiv betrachtet werden können:

- (1) *„... nach der Coronapandemie auch für innovatives Wachstum nutzen“*
- (2) *„Wir sind aktiv mit dabei..“*
- (3) *„Wir haben eine erfolgreiche Partnerschaft mit Kolumbien, mit der wir gemeinsam mit Norwegen und dem Vereinigten Königreich den Schutz der Wälder voranbringen.“*

b. **Negatives Bewerten**

Äußerungen, die einen negativen Werturteil durch eine Negation oder andere sprachliche Mittel haben, betrachtet man als eine negative Bewertungen. So lassen sich beispielsweise die folgenden Äußerungen als negative Bewertungen:

- (4) „Es geht um nicht mehr und nicht weniger als die Transformation unserer ganzen Lebens- und Wirtschaftsweise.“
 (5) „Meine Damen und Herren, wir werden allein mit staatlichen Aktivitäten nicht vorankommen.“
 (6) „Dass die Auswirkungen des Klimawandels verheerend sind, wissen wir.“

Es gibt noch weitere zweiseitige Bewertungen, die in einer komplexen Bewertung aufweisen können; wie in dem ersten Beispiel, da die Transformation entweder negativ oder positiv bewertet könnte. Hartmut Lenk nannte diesen Typ der Bewertungen als *ambivalente Bewertung*:

„Bei manchen komplexer strukturierten Bewertungshandlungen mit in sich widersprüchlichen Stellungnahmen kann man auch von einem ambivalenten oder Sowohl als-auch-Bewerten sprechen“ (Lenk, 1999:88-89).

Solche ambivalente Bewertungen könnten aber noch unterschiedliche Hintergründe haben. In diesem Zusammenhang kommen aber meistens „*widersprüchliche Beschaffenheit oder entgegengesetzten potenziellen Folgen des Bewertungsgegenstandes*“ (ebd. S. 89). Es könnte auch sein, dass diese Bewertungen aufgrund von einer ausgeprägten Ungewissheit des Bewertenden oder Kommentators über das zu Bewertende.

3. **Bewerten in den politischen Reden**

Politische Reden sind ein wichtiger Teil der Kommunikation in einer Gesellschaft und ein beliebtes Mittel, das Politiker und Parlamentsabgeordneten meistens benutzen, um ihre Wähler und ihr Publikum zu gewinnen.

Eine politische Rede zu halten ist auch eine Art und Weise der Sprechhandlung, mit der man anderen Menschen seine Ideen vorstellen und sie überzeugen kann. Durch Sprache kann man auch eine Situation oder einen Sachverhalt bewerten bzw. be- oder verurteilen. So hat auch Grünert Politik mit Sprache verbunden:

„*Politisches Handeln wird durch (mit) Sprache entworfen, vorbereitet, ausgelöst, von Sprache begleitet, beeinflusst, gesteuert, geregelt, durch Sprache beschrieben, erläutert, motiviert, gerechtfertigt, verantwortet, kontrolliert, kritisiert, be- und verurteilt. Politisches Handeln ist mit sprachlichem Handeln, ist mit Kommunikationsprozessen verbunden. Politisches Handeln geht nicht im sprachlichen Handeln auf, aber es ist grundsätzlich angewiesen auf den Austausch von Signalen*“ (Grünert 1984, S. 29)

Unter diesen sprachlichen Handeln steht das Bewerten, das durch verschiedene Mechanismen zum Ausdruck gebracht werden kann. Der Mechanismus des Bewertens enthält viele weitere zu analysierende Einzelprozeduren (wie etwa Vergleichen, Einordnen, Kontrollieren, Kontrastieren, Beurteilen).

In der vorliegenden Untersuchung scheinen der Text und die politische Rede neben dem „Bewerten“ als Begriffe zu erklären. Aus kommunikativ orientierten Richtung stützt sich der Begriff „Text“ in sprechakttheoretischer Hinsicht auf Sprechakttheorie von Austin und Searle. Brinker stellte in diesem Hinblick, dass der Text „*nicht mehr als grammatisch verknüpfte Satzfolge, sondern als (komplexe) sprachliche Handlung, mit*

der der Sprecher oder Schreiber eine bestimmte kommunikative Beziehung zum Hörer oder Leser herzustellen versucht. (Brinker 2010: 15)

Brinkers Definition vom Begriff „Text“ stimmt mit dem Verständnis des Terminus „Text“ der vorliegenden Untersuchung überein. Die Definition scheint besonders für diesen Gegenstand besonders geeignet, weil die politische Reden grundsätzlich eine Kommunikationsbeziehung zwischen dem Produzenten und Rezipienten darstellt. Der Text wird also in diesem Zusammenhang als eine kommunikative Einheit angesehen, die mehrere sprachliche Handeln beinhaltet. Es gibt also verschiedene sprachliche Handeln in einem Text in einer politischen Rede, unter anderem ist das Bewerten, das durch bestimmte sprachliche Mittel rechtfertigt werden kann.

Laut Brinker sind mündliche Äußerungen, insbesondere monologische, auch mit dem Begriff „Text“ verbunden. Der Text wird in diesem Fall als eine sprachliche und kommunikative Einheit betrachtet. Brinker definiert den „Text“ als eine begrenzte, grammatisch und thematisch zusammenhängende Folge von sprachlichen Zeichen (Brinker, 2010: 19-20).

Laut Sandig hat ein Text typischerweise folgende Eigenschaften: Er ist sprachlich, monologisch und schriftlich fixiert, er hat ein Thema, besteht aus mehreren Sätzen, diese sind untereinander verknüpft und bilden einen sinnvollen Zusammenhang; er ist in der Regel irgendwie individuell. Ein Text hat eine Funktion [...]; mehr am Rande: ein Text ist irgendwie abgeschlossen und in eine Reihenfolge gebracht (Sandig 2006: 310).

Bevor der Frage nachgegangen wird, wie das, was wir als Rezipienten von politischen Äußerungen als Bewertungshandlungen verstehen, linguistisch modelliert werden kann, seien hier zunächst einige authentische Äußerungen von der vorigen Bundeskanzlerin als Beispiele aufgeführt, die vermutlich die meisten Rezipienten sicher auch ohne Kenntnis des kontextuellen Zusammenhangs, in denen diese Sätze geäußert wurden, als Bewertungshandlungen akzeptieren werden.

- (7) „Das Pariser Abkommen ist ein sehr wichtiges Zeichen für die ganze Weltgemeinschaft.“
- (8) „wir sind aktiv mit dabei ...“
- (9) „Wir wollen die notwendige wirtschaftliche Erholung nach der Coronapandemie auch für innovatives Wachstum nutzen...“
- (10) „Wir stehen vor einer globalen Herkulesaufgabe. Es geht um nicht mehr und nicht weniger als die Transformation unserer ganzen Lebens- und Wirtschaftsweise.“
- (11) „Mit all diesen Maßnahmen unterstreichen wir, dass wir an einem Erfolg der COP26 interessiert sind,...“

Die Tatsache, dass man diese Äußerungen als Bewertungshandlungen verstehen kann, muss also in ihrem propositionalen Gehalt begründet sein (Lenk, 1999:87-88). Propositionale Gehalte der Beispieläußerungen (1) und (2) lassen sich als Äquivalenzrelation der Art $x = y$ beschreiben. Dabei ist das Prädikat y ein Wertausdruck. In der Äußerung (3) wird deren bewertender Charakter durch die Bedeutung des Adjektivs „innovativ“ konstituiert: bezeichnet wird ein Prozess, in dessen Ergebnis ein mit einem positiven Werturteil verknüpfter Zustand eintritt.

In der Äußerungen (4) wird beispielsweise explizit mithilfe lexikalischer Ausdrücke bewertend prädiziert; beispielsweise das Wort „Herkulesaufgabe“, das *Schwierigkeit* bedeutet und mit Zusammenhand mit dem Adjektiv „global“, verwendet die Bundeskanzlerin Merkel im ersten Abschnitt ihrer Rede. Dieser Ausdruck wird sicherlich

negativ konnotiert und trägt insgesamt zur negativen Evaluation der Lage des Klimawandels in der ganzen Welt. Diese negative Tatsache wird auch durch weitere lexikalische Einheiten wie „*wir stehen vor...*“ und „*...Transformation unserer ganzen Lebens- und Wirtschaftsweise.*“, das Wort Transformation bedeutet in diesem Kontext den Zwang einer Umform des Lebens und durch diese Bedeutung wird negativ bewertend. Sowie auch das Verb „stehen“ mit der Präposition „vor“, das eine Konkurrenz mit dem Klimawandel ausdrückt. Zusätzlich durch eine syntaktische Form durch die Adjektive mit dem Komparativsatz „*Es geht um nicht mehr und nicht weniger als...*“, der die Konkurrenz und Problemstellung verstärkt. In der Äußerungen (5) betont die Bundeskanzlerin Angela Merkel die Unterstützung und das Interesse ihres Landes auf den Erfolg der vorigen UN-Klimagipfel durch die Benutzung des Verbs „unterschrieben“. Die Benutzung dieses Verbs in diesem Zusammenhang gehört zu der lexikalischen Ebene als ein Mechanismus der Bewertung.

Demzufolge kann das Bewerten also in verschiedenen Formen in einem Text einer politischen Rede realisiert werden – sowohl als eine Sprechhandlung als auch ein sprachliches Handeln. Im folgenden Teil werden die Formen des Bewertens in deutschen politischen Reden thematisiert.

4. **Realisierung des sprachlichen Bewertens**

Offenbar sind Objekte oder irgendwas einer Person von großer Bedeutung; sie haben beispielsweise einen mehr oder wenigen Wert. Diese Feststellung hat natürliche verschiedene Konsequenzen, wenn man jedes Objekt oder jede Person zum Wissensbestand hat und zunächst eine Vorstellung dafür hat. Deshalb kann man davon ausgehen, dass ein Zusammenhang mit einem Objekt von Wissen zu einer Bewertung erworben werden kann; dann nannte Sandig „Bewertungswissen“ 1993,160. Als Folge dafür würden Bewertungen entweder explizit oder implizit grundlegend als bewertete Sachverhalte oder als eine Bewertung nach einem Wissensbestand durchgeführt.

Man spricht also von der Art und Weise der Bewertung bzw. die Mechanismen des Bewerten. Da das Bewerten ist nicht nur eine mentale Operation, sondern auch eine explizite und implizite Verbalisierung, obwohl eine mentale Bewertung eine Grundfunktion hat, kann sie aber sprachlich offenkundig realisiert werden. Mechanismen des sprachlichen Bewerten lassen sich auf drei Ebenen klassifiziert: lexikalisch, morphosyntaktisch und stilistisch.

4.1 Eine Rede der Bundeskanzlerin Angela Merkel als Beispiel

Die als Beispiel untersuchte Rede ist von der Bundeskanzlerin Angela Merkel. Sie hat diese Rede am 22. April 2021 anlässlich der Konferenz „Leders‘ Summit on Climate“ gehalten. Adressaten (Rezipienten) sind die Teilnehmer an dieser Konferenz aus verschiedenen Staaten. Das Thema dieser Rede geht um das Problem des Klimas in der Welt und die Mühe von Deutschland und der europäischen Union, der Welt beim Problem des Klimawandels zu helfen. Die Bundeskanzlerin versucht in dieser Konferenz eine Stellungnahme haben und die Rolle ihres Landes und der europäischen Union, um Lösungen für den Klimawandel zu finden. Da Deutschland ein der größten Industrie Länder in der Welt, muss es also eine Rolle spielen, einen Einfluss üben und eine Unterstützung bei der Klimafinanzierung leisten. Im Folgenden werden die thematische Struktur sowie auch eine Darstellung sprachlicher Ebenen des Bewertens, die in der untersuchten Rede Merkels vorkommen.

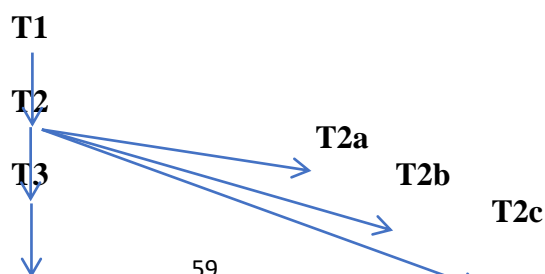
4.2 Thematische Struktur der untersuchten Rede

Eingeleitet wurde diese Rede mit der Begrüßung Merkels an die Teilnehmer, insbesondere den USA-Präsidenten Joe Biden begonnen. Danach drückt Merkel ihre Freude aus, dass die USA an dieser Konferenz teilnehmen, weil die Welt ihr Mitwirken und Hilfe bei diesem Problem des Klimas braucht. Sie stellt die Teilnahme der USA als eine Bedingung für die Erfüllung des Pariser Abkommens und diese Teilnahme gilt als ein wichtiges Zeichen für die ganze Weltgemeinschaft. Merkel stellt die Aufgabe der Weltgemeinschaft dar, um dieses Problem zu lösen und bezeichnet es als ein „Herkulesaufgabe“, denn es geht um eine „Transformation“ der ganzen Lebens- und Wirtschaftsweise aller Welt. Die Hauptrolle und die wichtige Aufgabe tragen die Industrieländer, die große Emittenten sind. Merkel hat Deutschland als ein Beispiel dargestellt, wo ungefähr 40% der Emissionen seit 1990 schon reduziert wurden. Merkel erklärte auch, dass die EU bis 2050 klimaneutral wird und bis 2030 mindestens 55% der Emissionen als im Jahr 1990 reduziert werden.

Im weiteren Verlauf dieser Rede bestätigte die Bundeskanzlerin, dass die EU insbesondere Deutschland vereinbart hat, ihre Aufgabe zu machen, sogar hat Deutschland ein Klimaschutzgesetz für eine Klimaneutralität beschlossen. Die EU stellt einen Emissionshandel für die Bepreisung der CO₂-Emissionen in der Industrie in Europa, sowie auch einen nationalen Emissionshandel in Deutschland im Bereich des Verkehrs und der Wärme. Die Kohle für Deutschland gilt als ein wichtiger Energieträger und wird Kohle nur bis 2038 benutzen, denn Deutschland wird anstatt davon bei der Stromerzeugung erneubare Energie investieren. Nach Merkel hat Deutschland bereit 46% und wird bis 2030 bis 65% gesteigert, damit sie ein innovatives Wachstum der Wirtschaft zu verwirklichen. Im weiteren Verlauf argumentierte Merkel, dass die biologischer Vielfalt geschützt werden muss. Die Bundeskanzlerin bestätigte die Rolle der Entwicklungsländern bei der Klimafinanzierung, wenn sie Solidarität brauchen; in diesem Fall hat Deutschland ihren Anteil auf 4 Milliarden Euro jährlich bis 2020 verdoppelt. Am Ende der Rede stellt die Bundeskanzlerin ihr Interesse am Erfolg der COP26-Konferenz in Glasgow dar und bestätigte auch die Bereitschaft von Deutschland für den 12. Petersberger Klimadialog.

Um die thematische Entfaltung der Rede Merkels einfach darzustellen und für einen internen thematischen Aufbau oder eine thematische Strukturierung der Rede, kann man sie mit der Hilfe der folgenden Grafik ansehen:

- T1 – Teilnahme der USA und ihr weltweites Mitwirken
- T2 – Problematik des Klimawandel in der ganzen Welt
- T2a – Reduzierung der CO₂-Emissionen in Deutschland
- T2b – Plan der europäischen Union für weniger Emissionen
- T2c – Investitionen in erneubaren Energien
- T3 – Wirtschaftliche Erholung durch Klimaneutralität
- T4 – Einfluss des Klimawandels auf die biologische Vielfalt
- T5 – Unterstützung der Entwicklungsländer und Industrieländer für die Klimafinanzierung
- T5a – Maßnahmen für den Erfolg des Klimadialogs
- T5b – Rolle von Großbritannien und Vorbereitung für nächste COP - Konferenzen



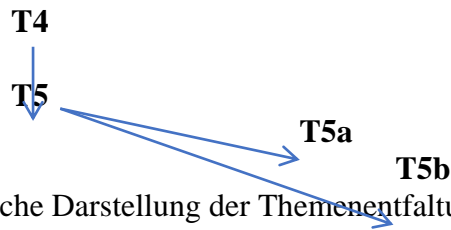


Abbildung 1: Schematische Darstellung der Themenentfaltung der Rede Merkels
 Durch die vorige Darstellung der thematischen Strukturierung der Rede Merkels kann man herausfinden, wie die Bundeskanzlerin Angela Merkel das Thema des Klima thematisiert hat und auf die Kernstellen dieses Thema durch eine politische Stellungnahme als Vertreterin Deutschland bewertend eingegangen hat.

4.3 Realisierungsebenen des Bewertens in dieser Rede

A) Auf lexikalischer Ebene

An dieser Stelle falle sowohl *evaluative* Lexeme auf, die im Kontext einem Objekt, auf das sie sich beziehen einen bestimmten Wert zuschreiben, als auch *deskriptive* Lexeme, deren Funktion in erster Linie in der semantischen Beschreibung eines Objektes besteht. Evaluative und deskriptive Wörter können Substantive (Erholung, Verlust), Verben (reduzieren, verdoppeln), Adjektive (globale, innovative) und sogar Partikeln (schon, auch) sein. Die lexikalischen Einheiten, die zu einem bewertenden sprachlichen Handeln dienen, werden in den folgenden Wortarten erklärt:

- **Substantive:** in der untersuchten Rede Merkels kommen verschiedene Substantive vor, die zu einem Gebrauch als Objekte einer bewertender Handlung benutzt werden. Beispiel dafür ist die Äußerung der Bundeskanzlerin Angela Merkel anlässlich der UN-Klimakonferenz: „*Wir stehen vor einer globalen Herkulesaufgabe. Es geht um nicht mehr und nicht weniger als die Transformation unserer ganzen Lebens- und Wirtschaftsweise.*“; sie verwendete den Substantive „Herkulesaufgabe“, um die Krise und Problematik des Klimawandels zu betonen, sowie auch „Transformation“ als eine Beschreibung der Situation des Lebens in der ganzen Welt wegen des Klimawandels.

- **Verben:** Dazu kommen auch enge Verben im Vordergrund als evaluative oder bewertende Lexeme in der Rede Merkels. Außerdem fällt es bei der Analyse auf, dass einige Verben (Präsens oder Perfekt) mit bewertender Bedeutung auftreten; Beispiele dafür:

(12) „*Deutschland hat seine CO2-Emissionen bereits um 40 Prozent gegenüber 1990 reduziert*“

(13) „*Wir haben in Deutschland in diesem Zusammenhang unsere Klimafinanzierung bis 2020 auf vier Milliarden Euro pro Jahr verdoppelt*“

(14) „*Mit all diesen Maßnahmen unterstreichen wir, dass..*“

(15) „*Wir haben im letzten Jahr, 2020, bereits 46 Prozent Strom aus erneuerbaren Energien erzeugt und wollen das bis 2030 auf 65 Prozent steigern.*“

Sowie auch Partizip Präsens wie „*und werden auch in den kommenden Jahren unseren fairen Beitrag leisten*“. Somit können diese Verben die evaluative Funktion übernehmen; sie treten dann in den syntaktischen Funktionen auf, die zum Adjektiv charakteristisch ist.

- **Adjektive:** Es gibt eine umfangreiche Gruppe von Adjektiven in der untersuchten Rede Merkels, die zu einer Beschreibung der Klimasituation dienen. Beispiele dafür kann man aus den oben erwähnten Beispielen wieder führen. Die Bundeskanzlerin benutzte das Adjektiv „global“, um die schwierige Situation des Klimawandels und seine Gefahr auf die ganze Welt zu bestätigen; da die Folgen der Transformation im Leben aller Menschen nicht nur in Deutschland oder in Europa

betreffen. Deswegen erklärte sie weiter durch das Adjektiv „ganz“ in der Äußerung „...unserer ganzen Lebens- und Wirtschaftsweise...“, damit sie den anderen Staaten oder Teilnehmern dieser Konferenz aufmerksam zu machen, dass sie alle gemeinsam stehen müssen, um Lösungen für dieses globale Problem zu finden und die gemeinsame Aufgabe aller Länder besonders die Entwicklungsländer zu betonen.

Dazu können Bewertungen durch grammatische Erscheinungen unterstützt werden; beispielsweise durch die Form der Komparation der Adjektive, die einer bewertenden Bedeutung dienen können. Diese bewertenden Bedeutungen könnten aber natürlich im Kontext einer politischen Reden befindliche Bewertungen modifiziert, verstärkt oder sogar abgeschwächt werden. Durch die Komparation erstellt man einen Vergleich zwischen zwei oder mehreren Situationen, wie die globale Wirkung von dem Klimawandel in einem Jahr und in einem vergangenen oder zukünftigen Zeitraum. Beispiele dafür sind einige Äußerungen der Bundeskanzlerin Angela Merkel in ihrer Rede über die klimatische Wirkungen und die Bemühungen der europäischen Union insbesondere Deutschland wie in den Folgenden:

(16) „*Es geht um nicht mehr und nicht weniger als die Transformation unserer ganzen Lebens- und Wirtschaftsweise.*“

(17) „*Die Europäische Union wird bis 2050 klimaneutral sein - das gilt natürlich auch für die Bundesrepublik Deutschland. Und bis 2030 wollen wir mindestens 55 Prozent weniger Emissionen haben als 1990.*“

(18) „*In Deutschland ist Kohle heute noch ein wichtiger Energieträger.*“

Dazu kann man weitere Wortarten als bewertende Lexeme zählen wie Partikeln und Adverbien. Zu erwähnen aber sind einige Lexeme, die entweder ideologischer Wortschatz, tagespolitische Prägungen oder die als Fachbegriffe bezeichneten Lexeme; Beispiele für ideologischen Wortschatz sind: *Glaubwürdigkeit und Ambitionen*. Fachbegriffe wie *Reduktionsziele, Emissionen, Klimaneutralität und Wachstum*. Tagespolitische Prägungen wie *Leitmarkierung, Vertragsstaaten, Zielerreichung, Partnerschaft, Steuergelder und Klimaschutzgesetz*.

Evaluative Wörter werden nach einer ihren Benutzung von politischen Rednern gemessen; daneben spielen die Weltanschauung eines Rezipienten und seiner Einstellung beim Verstehen diese bewertende oder evaluative Wörter. Deswegen variiert sich die Bewertung vom Rezipienten zu Anderen und kann jeder eine diverse Stellungnahme zu selben Lexemen haben.

B) Auf morphosyntaktischer Ebene

Morphologisch sowie auch syntaktisch kann man verschiedene Weisen der Bewertung finden. Bewertungsmittel können beispielsweise durch Tempus oder Modus realisiert. Futur I bspw. kann eine **Vermutung** der Sprechers drücken (Engel, 2000:646).

(19) „*Die europäische Union wird bis 2050 klimaneutral sein.*“

(20) „*Wir leisten von deutscher Seite einen beträchtlichen Beitrag und werden diesen bis 2025 auf sechs Milliarden Euro erhöhen.*“

In beiden letzten Beispielen versucht Merkel ihre Hoffnung auf eine bessere Lage des Klimas in den nächsten Jahren durch die Unterstützung von den Industrieländern insbesondere von der Europäischen Union zu beschreiben; sie drückte das mit dem Gebrauch des Futurs in diesen Äußerungen; das gilt aber als eine positive Bewertung für die klimatische Lage in der Zukunft. Diese bewertende Leistung entsteht durch die Prophezeiung eines Emittenten und seine Signalisierung eines Bewertens als Reaktion von den Rezipienten.

Man kann auch einen Sachverhalt oder eine Situation durch das Modus wie im Fall des Konjunktivs II bewerten. Konjunktiv II, wie das Futur I, kann eine **Vermutung** und **Distanzierung** ausdrücken:

(21) „Dann würden wir uns gern dem europäischen Mechanismus anschließen.“

In dieser Äußerung stellt die Bundeskanzlerin die positive Seite bzw. die Vorteile der europäischen Maßnahmen gegen den Klimawandel, den man folgen soll, um die weltweite Aufgabe zu erfüllen.

Des Weiteren kommen weitere morphologische Mittel, die als bewertende Elemente benutzt werden können; Beispiele dafür sind die **Präfixe** und **Suffixe**: *unstrittig*, *multipolar* und *weltweit*. Es kommt also ein neuer Werturteil durch eine Präfigierung mit einem Basis; in den letzten Beispielen haben die Präfixe un- und multi- neue bewertende Einheiten gebildet. Das Präfix un- negiert also die Wortbildungsbasis; dadurch kann man sowohl positive als auch negative Bewertungen oder Evaluationen bewirken. Es kommt aber darauf an, welches Präfix wird gesetzt und es hängt jeweils von dem Werturteil der Basis ab, d.h. die Präfigierung mit einem Präfix wie *un-* bei einer Basis wie *vernünftig* trägt mit einem positiven Wert zu einem negativen Wert wie *unvernünftig*.

Durch **Komposita** kann man nicht nur neue Wörter mit anderer Bedeutung bilden, sondern auch sogar etwas bewerten; einige Wörter haben ein negatives oder positiven Werturteil und dabei ergibt sich produktive bewertende Bedeutung durch zwei oder mehr dieser Wörter zusammensetzen. Beispiele dafür sind:

(22) „...Wege zu finden, um zur Klimaneutralität zu kommen.“

(23) „Für mich ist wichtig, dass wir bis 2030 den Waldverlust global stoppen.“

In der ersten Äußerung (16) bilden die zwei Wörter „Klima“ und „Neutralität“ ein Kompositum, das durch den positiven Werturteil des Wortes „Neutralität“ eine positive Bewertung der Ziele der Staaten, um das Problem des Klimawandels zu lösen. In der zweiten Äußerung (17) konnte andererseits das mit dem Wort „Wald“ zusammengesetzte Wort „Verlust“ eine negative Bewertung darstellen.

Ein weiteres Mittel, das man auf der morphologischen Ebene finden kann, ist der **Vergleich**. Durch Vergleich kann man zwei Sachverhalte oder Situationen zusammen stellen und daraus dem Rezipienten eine bestimmte Bedeutung oder einen Werturteil zeigen und vermitteln. Beispielsweise sind die folgenden Äußerungen:

(24) „Und bis 2030 wollen wir mindestens 55 Prozent weniger Emissionen haben als 1990.“

(25) „Es geht um nicht mehr und nicht weniger als die Transformation unserer ganzen Lebens- und Wirtschaftsweise.“

(26) „...in der Dekade des Handelns, in der Dekade, in der wir jetzt leben, national ambitionierter zu sein.“

Durch die beiden Äußerungen (18) und (19) ist es klar, dass die politischen Rednerin unterschiedliche morphologische Mittel benutzen, um ihre Stellungnahme vorzustellen. Andererseits kann der Genitiv als attributive Konstruktion wie in der letzten Äußerung (20) vorkommen, die in der Lage ist, bewertendes Mittel darzustellen kann.

C) Auf stilistischer Ebene

Im Deutschen steht eine Menge stilistischer Mittel wie Metaphern, Vergleiche, rhetorische Fragen; sie können auf bestimmter Art und Weise bewertend betrachtet werden. In der untersuchten politischen Rede von der Bundeskanzlerin Angela Merkel wurden Metaphern und Vergleiche als elementare und komplexe Bewertungen aufgedeckt; im Folgenden stehen einige Beispiele dafür:

- (27) „Wir 22 wollen die notwendige wirtschaftliche Erholung...“
- (28) „Wir stehen vor einer globalen Herkulesaufgabe.“
- (29) „Mein klares Plädoyer ist, in der Dekade des Handelns, in der Dekade, in der wir jetzt leben, national ambitionierter zu sein, aber global Instrumente zu finden, die nicht nur Steuergelder einsetzen, sondern auch wirtschaftlich vernünftig sind. Und das ist für mich die CO₂-Bepreisung.“

Zu den Funktionen der Metaphern bspw. neben der Selbstdarstellung ist es, dass sie auch im Sinne der Rhetorik eine argumentative Funktion habe (vgl. Sowinski). Dadurch spielen Metaphern eine erhebliche Rolle bei der Bewertung wie in den letzten Beispielen.

5. Klassifikation des Bewertens anhand der untersuchten Rede

Bewertungen können in einer einfachen Form dargestellt werden; genau wie in den letzten Teilen des sprachlichen Bewertens auf die sprachlichen Ebenen durch Adjektive, Substantive oder Verben. Diese einfache Formulierung oder Konstitution des Bewertens nennt man, nach den folgenden Klassifikationen von Schlobinski und Läger, elementare Bewertung. Auf der anderen Seiten können sprachliche Bewertungen noch komplexer formuliert werden. Das wird aber auf die pragmatische Ebene durch propositionale Sprechhandlungen oder durch andere komplexe Konstruktionen. Solcher Typ des Bewertens nennt man komplexe Bewertungen.

Zu einer inhaltlichen Analyse schlägt Schlobinski (1996:178) eine siebenpunktige Ordinalskala vor, mithilfe deren Bewertungen nach expliziten und impliziten positiven bzw. negativen eingestuft werden können.

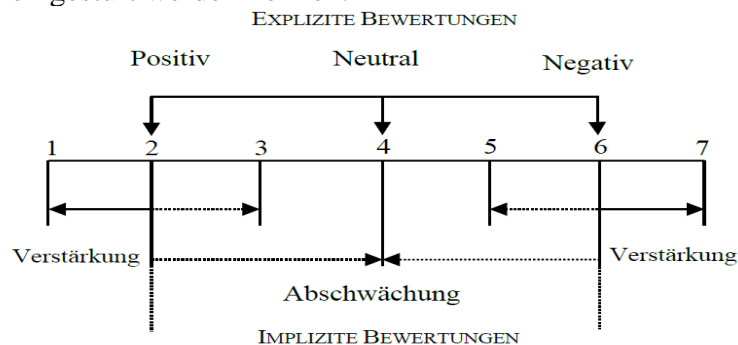


Abbildung 1: Ordinalskala zum inhaltsanalytischen Ordnen der Bewertungen nach Schlobinski (1996: 179) (Hervorhebung nach Waliszewska 2016)

Des Weiteren unterscheidet Läger (1994:135) sechs Arten der Realisierung sprachlicher Bewertungen:

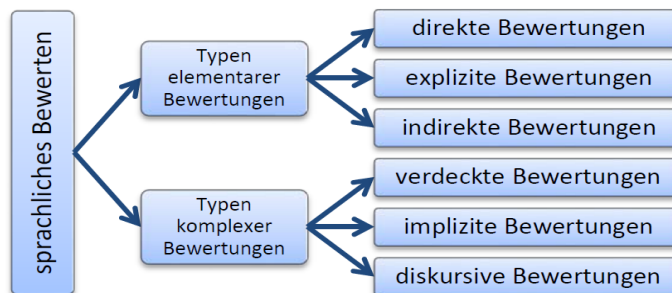


Abbildung 2: Klassifikation der Formen der sprachlichen Bewertung nach Läger (1994: 135)

Demzufolge kann man herausfinden, dass ein sprachliches Bewerten in verschiedene Untertypen gegliedert werden kann; egal ob es elementar oder komplex ist. Das Bewerten ist auf jeden Fall ein Bestandteil von den kommutativen Ereignissen oder Sprachhandlungen im Alltag bzw. im öffentlichen Leben.

6. Fazit und Ergebnisse

Zusammenfassend kann gesagt werden, dass Bewerten in verschiedenen Stellen und Formen in den politischen Reden und auf verschiedene Ebene vorkommen kann. Durch die vorliegende Untersuchung wurde auch festgestellt, dass man unterschiedliche sprachliche Mittel benutzt, um einen Sachverhalt oder irgendwas zu bewerten. Es gibt auch zahlreiche Formen des Bewerten, die auf die sprachliche Ebenen ermöglicht werden können.

Durch eine textlinguistische Analyse können die Möglichkeiten des Bewertens als eine Sprechhandlung gezeigt werden. So eine Analyse könnte anhand eines Korpus wie die Rede Merkels dargelegt, da Merkel sowohl als Bundeskanzlerin als auch eine Person, die meistens präzise sprachliche Formulierung benutzt.

Dadurch lassen sich zentrale Elemente des sprachlichen Bewertens herauskristallisieren, die die Bewertung als eine der dominierenden Sprechhandlungen in politischen Reden darstellt.

Demzufolge sind die sprachlichen Bewertungen sowohl im Wortschatz auf der Ebene der Lexik als auch im morphologischen und syntaktischen Bereich zu finden. Auf dieser Art und Weise werden Bewertungen elementarisch klassifiziert.

Die explizit oder implizit ausgedrückten Bewertungen lassen sich mithilfe unterschiedlicher Indikatoren in einer sprachlichen Äußerung zu erkennen.

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Literature Studies

A Comparative Study of Foucauldian Models of Discipline in Nazik Al-Malaika's "Cholera" and Camisha Jones's "On Working Remotely"

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Abstract: The Foucauldian conceptualizations of the disciplinary mechanisms implemented by the medical supervision of contagions and disability are noticeable in both Nazik Al-Malaika's "Cholera" and Camisha L. Jones's "On Working Remotely & No Longer Commuting with Chronic Pain." Written by an Iraqi poet about the 1947 cholera epidemic in Egypt, Al-Malaika's poem illustrates the characteristics of the social quarantine dictated by disciplinary governments. In *Society Must Be Defended* (2003), Foucault postulates that the confinement of citizens is a precautionary measure by which state power aims to overrule death. The ungovernability of death redirects power towards a dominance over the living. Jones's poem, compounding disability and a pandemic, depicts the intersectional disciplinary schemes which regulate illnesses during the Covid-19 crisis in the U.S. The poet's personal experience with hearing loss and chronic pain informs her knowledge of disciplinary mandates. Published in 2021, the poem evidences that governmental control over subjects naturally evolves into a morbidity-regulating biopower. Foucault's discussion of "panopticism" in *Discipline and Punish* (1995) suggests that the disabled speaker in the poem is an ungrudging perpetuator of an abstruse surveillance system. In addition, the poem proves the continuation of state regulation of plague-ridden places that is delineated in Al-Malaika's poem. Despite the contextual and authorial differences, both poems portray illness as an instrument wielded by disciplinary authorities in the 20th and 21st centuries.

Keywords: state power; contagions; disability; biopower; panopticism

The Foucauldian conceptualization of the power politics immanent in the medical supervision of contagions and disability offers insight into the two poems "Cholera" by Nazik Al-Malaika (1923-2007) and "On Working Remotely & No Longer Commuting with Chronic Pain" by Camisha L. Jones. Inspired by radio reports about the cholera epidemic that was ravaging Egypt, the Iraqi poet Al-Malaika published her poem "Cholera" in late 1947. Translated into English by Husain Haddawy and Nathalie Handal and published in *The Poetry of Arab Women* (2001), the poem offers a concrete account of the calamitous event. Despite Al-Malaika's physical distance from the pandemic in Egypt, her dejected speaker depicts the ruthlessness of cholera while unknowingly illustrating the characteristics of the social quarantine dictated by the government. A variance of time, place, and ideology divides Al-Malaika's and Jones's poems. In 2021, Jones discusses the advantageous facet of the COVID-19 crisis. The American writer of colour's experience with hearing loss and chronic pain largely informs her work; her poem tacitly promotes disability justice while illuminating the implications of pandemic-induced state measures. The speaker's pre-pandemic commute to work bespeaks the politicization of the disabled body which promotes its economic productivity by enforcing its subjection; Jones's poem features the disciplinary mechanisms that are used to supervise both disability and pandemics; it is a testament to the subtlety of the disciplinary manoeuvres which the disabled community experiences during a global pandemic. Foucault's discussions in *Discipline and Punish* (1995) and *Society Must Be*

Defended (2003) suggest that the disabled speaker in the poem is an ungrudging perpetuator of an intricate surveillance system.

In his collection of lectures *Society Must be Defended*, Foucault postulates a rivalry between state power and death-ushering contagions: “Now that power is decreasingly the power of the right to take life, and increasingly the right to intervene to make live ... death becomes, insofar as it is the end of life, the term, the limit, or the end of power too” (248). The development from autocracy towards egalitarian systems has actuated states to defend their subjects’ lives, which Foucault designates as: “the right to make live and to let die” (241); accordingly, the rife death accompanying contagions deals a blow to the sovereignty of the state. Along the same vein, Al-Malaika’s speaker defines cholera as “the vengeance of death” (177). The revenge of the pandemic is, thus, against the dominion of the state: “Death was the moment when we made the transition from one power – that of the sovereign of this world – to another – that of the sovereign of the next world” (Foucault, *Society* 247). The speaker’s exclamatory invocation of Egypt, in the final line of Al-Malaika’s poem, communicates the ascendancy of death over the autonomy of the country: “O Egypt, my heart is torn by the ravages of death” (177). In the poem, the word “death” is repeated twenty-two times, while “dead” recurs six times, thus accentuating the predominance of death. The extermination brought about by death is evident in the speaker’s grief-stricken remark: “You have left nothing but the sorrows of death” (177). The brutality of extinction is emphasized by the animal imagery inherent in the word “claws” which is attributed to cholera. The anthropomorphism in the lines: “This is what the hand of death has done” and “Cholera has raised its head” (176) suggests the indomitability of the contagion. The statements “this is what death has destroyed” and “this is what death has done” underline the supremacy of death. The alliteration of “dawn”, which recurs in the first and third lines of the second stanza, and “death” disrupts any anticipations of salvation.

In retaliation for the brutalities of cholera, the state attempts to conceal any evidence of its defeat by the paramountcy of death, an action which results in what Foucault perceives as the privatization of death: “Power has no control over death, but it can control mortality. And to that extent, it is only natural that death should now be privatized and should become the most private thing of all” (*Society* 248). In “Cholera” the plague victims are “mourned/ without a eulogy or a moment of silence” (Al-Malaika 176). The traditional death rituals, which could be seen as a public testament of the triumph of death, are abandoned because “[p]ower no longer recognizes death. Power literally ignores death” (Foucault, *Society* 248). Claimed by death, the deceased are considered private individuals for whom the state is unaccountable. The interiority of the grief caused by the plague is notable in the phrase “a soul crying in the dark,” which indicates that the manifestations of mourning are kept out of sight. Similarly, the lines: “In every heart there is fire / in every silent hut, sorrow” (Al-Malaika 176) are suggestive of unannounced grief since private feelings and abodes are normally unexposed. It is, therefore, inferable that death is the “the moment when the individual escapes all power, falls back on himself and retreats, so to speak, into his own privacy” (Foucault, *Society* 248).

According to Foucault, state power, compromised by its loss of supremacy over death, is systemically reinforced by its overseeing dominance over mortals. It becomes a power that “exerts a positive influence on life, that endeavors to administer, optimize, and multiply it, subjecting it to precise controls and comprehensive regulations” (*History* 137). As power becomes a life-endowing entity, governments are intent on “the acquisition of power over man in so far as man is a living being” (*Society* 239). The medical supervision of contagions is one of the primary disciplinary methods by which

states exert control over their subjects. The surveillance of individuals is carried out by their enclosure in specified places. Quarantine, apart from being a medical necessity, is attributable to state-enforced confinement and partitioning; the curtailment of mobility grants the state the ability “at each moment to supervise the conduct of each individual” (*Discipline* 143). Al-Malaika’s poem implies that its speaker is isolated behind a closed door. The phrase “cave of corpses and terror” (176)¹, in the third stanza, is an allusion to the speaker’s seclusion. The repetition of “silence” five times throughout the poem - notwithstanding the described “cries” and “wails” - is a further indication of the isolation experienced by the speaker. Describing the silence as “cruel” and “bitter,” in the third and fourth stanzas, evidences the speaker’s repression. The progression of time - indicated by the lines: “It is night” and “It is dawn” - suggests that the speaker is interminably preoccupied with observing an invariable scene; as Foucault argues, the quarantine “is the protected place of disciplinary monotony” (*Discipline* 141). The one-word title of the poem further suggests the uniformity of its content and the constancy of the speaker’s focus.

From a disciplinary perspective, the verbs “listen” and “look” (Al-Malaika 176), in the first and second stanzas, are references to the surveillance which the state exercises. In addition, the verbs imply that the speaker’s observations of the outside world are through a window. Being non-action verbs, they suggest that the speaker is riveted to the spot. Undertones of helplessness are emphasized by the pitiable hyperbole: “my heart is torn” (177). The absence of the first-person voice from the poem is an allusion to the lack of agency. The powerlessness of the people is further emphasized as the speaker mentions a “peasant woman” and parentless “children” (177) who are commonly associated with frailty. The observations made about the devastation caused by the plague suggest that while the raging pandemic is potent, the speaker is immobilized. The only accomplishable actions are those which the “gravedigger” and the “muezzin,” who succumb in the fourth stanza, can carry out; however, given their demise, death reigns supreme. The described scene, therefore, exhibits a classic model of discipline which is described by Foucault as follows: “It is segmented, immobile, frozen space. Each individual is fixed in his place. And if he moves, he does so at the risk of his life, contagion or punishment” (*Discipline* 195). Although the phrase “mourning processions” could imply the absence of enclosure, the presumption is refutable by the line: “They are dead, dead, dead” (Al-Malaika 176). The emphatic statement suggests that the violation of the established system is punishable by death. The plague-stricken country, where state power battles death, embodies a primitive disciplinary model where life is “reduced to its simplest expression” (Foucault, *Discipline* 207). The shortness of the lines and the simplicity of the speaker’s expression are a reflection of the dismantled existence in the country where death overrules state authorities.

Foucault postulates that the development of disciplinary mechanisms results in a new “technology of power” which he calls a “‘biopolitics’ of the human race” (*Society* 242). The aforementioned power to “make live and let die” “the right to make live and to let die”² evolves into a zeal “to ensure, sustain, and multiply life, to put this life in order” (*History* 138). Unlike unrefined disciplinary models which focus on adventitious events such as pandemics, biopolitics can be considered a regulatory system that addresses all the biological processes of the population, including its natality and mortality rates, as well as its average life expectancy. Concerned with the problem of morbidity, biopolitics includes biological disabilities within its field of intervention. According to Foucault,

¹ In 2021, psychiatrist Arthur Bregman coined the term “cave syndrome” to refer to a self-imposed isolation that springs from pandemic-related anxiety.

² See above, p.3.

states regard disabilities as “endemics” which could be defined as ineradicable illnesses; unlike epidemics, which have countless death tolls, endemics pose a permanent threat as they “sapped the population’s strength, shortened the working week, wasted energy, and cost money, both because they led to a fall in production and because treating them was expensive” (*Society* 244). To deal with these endemics, the state does not only resort to charitable institutions, but also to “subtle mechanisms that were much more economically rational than an indiscriminate charity” (244).

These mechanisms are glaring in Jones’s poem in which the speaker decries her obligation to commute to work, despite her disability. The poem illustrates that the speaker’s job is a pragmatic injunction that kills two birds with one stone; it enlarges the wage-earning class, allowing the disabled employees to make a living, thus eliminating their need for charity. Additionally, it is “an indispensable element in the development of capitalism” (Foucault, *History* 141). Politically speaking, this system enforces the politicization of disabled bodies and their subjection to the state:

This political investment of the body is bound up in accordance with complex reciprocal relations, with its economic use; it is largely as a force of production that the body is invested with relations of power and domination; but on the other hand, its constitution as labour power is possible only if it is caught up in a system of subjection. (*Discipline* 25-6)

The alliteration in “pierced with pain,” “pressure,” and “punctured” emphasizes the poignancy of the speaker’s subjugation. Describing the layers of clothes as “oppressive”, the speaker in Jones’s poem alludes to the constraints imposed by this disciplinary model. The implementation of this disciplinary mechanism is achieved by means of schedules; the speaker in Jones’s poem feels bound by the train, bus, and metro timetables, as well as her work schedule. The characteristic monotony¹ of the timetable manages to establish a routine, thereby bridling employees and securing their susceptibility to scrutiny. To put it in Foucault’s words: “The *time-table* is an old inheritance ... Its three great methods – establish rhythms, impose particular occupations, regulate the cycles of repetition ...” (*Discipline* 149). Additionally, as part of a disciplinary mechanism, the timetable is predicated on a principle of efficiency and productivity: “Time measured and paid must also be a time without impurities or defects; a time of good quality, throughout which the body is constantly applied to its exercise” (151).

Jones’s poem describes a lot of toing and froing as the speaker mentions various means of transportation - such as the train, the bus, the metro, and the car – as well as her hurried steps, her late-night walks when she goes back home from work, and her waits at the stations. The capitalist state benefits economically from the speaker’s compulsory reliance on public means of transportation; her delighted statement: “i keep my cash / it doesn’t load my metro card and then another card when the first one’s lost” reveals her financial obligations. Evidently, the disciplinary system which she obeys monopolizes her time, thus allowing itself to monitor all her activities. Although burdened with a disabled body, the speaker is impelled to commute to work because she is incapable of rebelling against her prescribed role. As Foucault explains: “Discipline increases the forces of the body (in economic terms of utility) and diminishes these same forces (in political terms of obedience)” (*Discipline* 138). That is, the body has a physical capacity to work, but it lacks the moral energy to resist its subjection².

¹ See above, p.4.

² Jones remarks that the COVID-19 quarantine induced her realization that her pre-pandemic commute to work has demonstrated the inefficacy of disability justice, thus suggesting the inequities of biopolitics. Working remotely opens vistas of freedom from conformity ahead of her: “May we not return to ‘normal’

Foucault attributes this compliance to state dictates to “the power of the Norm” (*Discipline* 184). The speaker’s state-mandated pre-pandemic routine suggests that it was fashioned for able-bodied individuals; the speaker’s compliance is exacted by the lack of any alternatives that are tailored for the disabled. The outbreak of the pandemic relieves her of the commute to work; the pandemic, therefore, replaces the crude disciplinary model illustrated in Al-Malaika’s poem with Foucault’s model of “panopticism,” which is one of the instruments of biopower. Panopticism can be defined as a tactics of power that allows governments “to obtain the exercise of power at the lowest possible cost (economically, by the low expenditure it involves; politically, by its discretion, its low exteriorization, its relative invisibility, the little resistance it arouses)” (218). Jones’s poem illustrates the merits of panopticism. Like Al Malaika’s speaker, Jones’s persona becomes cooped up indoors because of the pandemic: “... i sit / and continue to sit / in this chair then that one.” The consistency of the speaker’s habits, implied by the word “continue,” is redolent of Foucault’s contention that a quarantine engenders a “disciplinary monotony¹” (*Discipline* 141).

However, unlike the speaker in “Cholera”, who is solely preoccupied with the pandemic, Jones’s speaker divides her time between a “computer screen” and some restful time near a window, to which the speaker resorts when she needs to “escape” the “demands” of the screen. The transparency of these objects allows the “disciplinary gaze” (*Discipline* 174) to maintain its surveillance of the confined subjects. While it is surmisable that Al-Malaika’s speaker watches the ravages of cholera from a window that epitomizes her confinement, Jones’s speaker perceives the window as a diversion, which bespeaks the discretion of panopticism. The speaker’s relief of her commute to work, apart from revitalizing disability justice, could be an indication that she condones the governmental disciplinary strategies. Foucault postulates that panopticism impels the watched subject to “assume responsibility for the constraints of power” as “he inscribes in himself the power relation in which he simultaneously plays both roles; he becomes the principle of his own subjection” (203). That is, the speaker’s perpetuation of the disciplinary system is, in fact, one of its underlying schemes. The rest that the speaker enjoys while working remotely is her reward for sustaining her visibility. Therefore, panopticism involves a tacit agreement between a government and its subjects that guarantees “the automatic functioning of power” (201).

Therefore, the subtlety of panopticism results in the amelioration of the speaker’s grievances and her willingness to comply with the system. In addition, the speaker’s opportunity to work remotely is economically advantageous since it turns the wheels of capitalism and limits the disabled’s need for pensions. Her exultant statement: “i rest / and i rise” is an allusion to her conciliation as well as to the personal development facilitated by panopticism. While the classical model of discipline involves the reduction of life to its “simplest expression,”² panopticism is able to “strengthen the social forces – to increase production, to develop the economy, spread education, raise the level of public morality; to increase and multiply” (Foucault, *Discipline* 208); it allows a government to control its subjects without impeding progress or stalling production. While in Al-Malaika’s poem, the progression of life is arrested by the prevalence of death, as is indicated by the phrase “without future” (176), Jones’s poem ends on a progressive note that indicates the speaker’s hope for advancement, as she claims that her body “whispers the way forward.” However, the empowerment inherent in the speaker’s ability to work

and its toxic expectations of productivity and hustle. May we all listen to the body for sustainable ways forward.”

¹ See above, p.4.

² See above, p.4.

remotely constitutes a threat to power. As Foucault argues, "What is at stake, then, is this: how can the growth of capabilities be disconnected from the intensification of power relations?" ("Enlightenment" 48). A possible answer to Foucault's question lies in the subjects' awareness of the indispensability of state power.

While the five stanzas of "Cholera" are a reiteration of the deleterious effects of the pandemic on Egypt, Jones's poem is a personalized vent of the speaker's experience with disability before and after the COVID-19 pandemic. The recurrent use of the first-person voice in Jones's poem indicates the speaker's heightened awareness of the particularity of her situation. According to Foucault, this is attributable to "the appearance of a new modality of power in which each individual receives as his status his own individuality, and in which he is linked by his status to the features, the measurements, the gaps, the 'marks' that characterize him and make him a 'case'" (*Discipline* 192). That is, this variety of power categorizes individuals according to their characteristics, thus orchestrating their distinctive self-conceptions. Unlike "Cholera," Jones's poem does not lend any attention to the effects of the pandemic as it centres solely around the speaker's plight. The speaker's heightened consciousness of her disability leads to her belief in her dependence on the state, which consequently breeds her yielding subjection to it. In other words, "the power of the modern state to produce an ever-expanding and increasingly totalizing web of social control is inextricably intertwined with, and dependent upon, its capacity to generate an increasing specification of individuality in this way" (Tremain 6).

The subjectivity of experience is essentially a power strategy which warrants the speaker's subjection to governmental power. Arguing that this form of power subjectifies individuals, Foucault remarks that: "There are two meanings of the word 'subject': subject to someone else by control and dependence; and tied to his own identity by a conscience or self-knowledge" ("Subject" 781); both meanings of the word denote the subjugation of individuals. Nevertheless, it is undeniable that the "subjectification" of individuals confers on them the privileges of citizenship; the availability of a remote job in Jones's poem is one of its results. The speaker's gratitude for the possibility of working remotely - which obliterates her initial indignation - signifies that a discreet exercise of power can maintain its authority over the behaviour of subjects. That is, "the production of these seeming acts of choice (these *limits* of possible conduct) on the everyday level of the subject makes possible the consolidation of more hegemonic structures" (Tremain 8). Moreover, the speaker's unabashed reference to her disability throughout the poem indicates that the process of individualization, despite its demarcating effects, does not lead to stigmatization. The uncapitalized first person pronouns in the poem could be seen as an allusion to the equivocation of individualization; the speaker's selfhood, which is affirmed by the repetitive use of pronouns, is, nonetheless, undermined by her subjugation to the state.

In contrast, "Cholera" lacks similar subjectification. The descriptions "countless" and "without number" (Al-Malaika 176), in the second stanza, are used to describe the plurality of pandemic victims, indicating an identity-effacing collectivism. In addition to the absence of the first-person voice from the poem, the indeterminate words "a soul," "a voice," and "a corpse" in the lines "a soul crying in the dark," "A voice cries in every place," and "Everywhere lies a corpse" (176) imply the incorporeality of the subjects. The personification of cholera suggests that the anonymity of its victims contributes to the predominance of the pandemic.¹ While the blanket title of Al-Malaika's poem spotlights the pandemic, the title of Jones's poem foregrounds her distinctive chronic illness. More importantly, her conviction at the end of the poem that she can "listen to the body that's

¹ See above, p.3.

carried [her] here” implies that her individuality has led to the prioritization of her needs. Whereas “Cholera” is an unfaceted poem whose despondent speaker emphasizes the static circumstances engendered by the plague, Jones’s poem, written as a stream-of-consciousness monologue, celebrates the speaker’s deliverance from her predicament. The speaker’s newly earned freedom is reflected in Jones’s subversion of the rigidity of stanzaic organization and her use of informal structures. It is, thus, notable that individualization could be more emancipatory than inimical.

The two poems, thus, illustrate two models of discipline which arouse divergent responses. “Cholera”, unlike Jones’s poem, does not refer to any governmental interventions. However, the close reading of the poem could reveal that the speaker is confined within a closed space while the government is interlocked in a battle against the contagion. It is, thus, evident that in 1947, the state had to resort to rudimentary measures of enclosure to contain the pandemic. The absence of references to state action implies either the speaker’s lack of political awareness or the internalization of the necessity of confinement. The verb “protests,” in the line “Humanity protests against the crimes of death” (Al-Malaika 176), suggests that any signs of unrest are spurred only by the domineering pandemic. In “What is Enlightenment?” Foucault’s discussion of Kantian philosophy describes a pre-Enlightenment state of immaturity which “makes us accept someone else’s authority to lead us in areas where the use of reason is called for” (34).

On the other hand, Jones’s speaker is visibly indignant due to the coercion she encounters as a disabled citizen. Her dissatisfaction is a manifestation of a development from the state of immaturity: “Humanity will reach maturity when it is no longer required to obey, but when men are told: ‘Obey, and you will be able to reason as much as you like’” (36). The freedom to reason does not pose a threat to authority because it is “a use of reason in which reason has no other end but itself” (36). Before the onset of COVID, Jones’s speaker had obeyed a social paradigm that compels disabled individuals to practice onsite jobs; however, her realization of the unfairness of the situation testifies to her reasoning capacities. Her compliant commutes to work evidence that “reason must be free in its public use, and must be submissive in its private use” (36). While the “public use” of reason results in the speaker’s ability to express her discontentment, its “private” use leads to her submission to employment regulations. That is, reason is privately acquiescent when a person “has a role to play in society and jobs to do” (36). According to Foucault, Kant proposes a social contract that would reinforce the public use of reason without impairing the mechanisms of power.

To put it in Foucault’s words, it is “what might be called the contract of rational despotism with free reason: the public and free use of autonomous reason will be the best guarantee of obedience, on condition, however, that the political principle that must be obeyed itself be in conformity with universal reason” (37). The implementation of ingenious panoptic strategies, as depicted in Jones’s poem, results in the placation of the speaker. The rationality of the imperative to work remotely – despite being prompted by the pandemic - accords with the public use of reason which had catalyzed demands for disability justice, thus guaranteeing the subjects’ compliance. The efficacy of panopticism lies, thus, in its justifiability; being a “functional mechanism that must improve the exercise of power by making it lighter, more rapid, more effective, a design of subtle coercion” (Foucault, *Discipline* 209), it entails an ambivalent relation between power and its subjects. Foucault recommends that individuals should free themselves from “the intellectual blackmail of ‘being for or against the Enlightenment’” (“Enlightenment” 45). By the same token, the subjects of panopticism tolerate its supremacy.

The analyzed poems embody two specimens of pandemic literature that demonstrate the development of power strategies. The primitive disciplinary mechanism

depicted in Al-Malaika's "Cholera" results in the powerlessness of the speaker and the suspension of progress. Governmental control over subjects evolves into a morbidity-regulating biopower. Fostered by technological advancements – as it is a computer screen which allows Jones's speaker to work remotely – biopower employs panopticism to sustain its surveillance of subjects and enhance their capabilities, thereby guaranteeing both economic advancement and social amity. Predicated upon the subjects' unspoken consent to its subtle mechanisms, panopticism is an expedient power scheme which does not depend on enclosed spaces to enforce discipline; its self-operating surveillance system produces individuals who, in addition to being politically conscious, demonstrate a willingness to cooperate with disciplinary paradigms.

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A Foucauldian Reading of Utopias/Dystopias in Selected Novels by Margaret Atwood

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Abstract: The purpose of this study is to examine the validity of utopian systems by investigating Margaret Atwood's *The Handmaid's Tale* (1986), *The Testaments* (2019) and *The Heart Goes Last* (2015). Set in different ages, the selected novels discuss the changes that happen in the lives of different characters who live in utopian societies that eventually turn into dystopias. The theoretical framework applied in this study is Michel Foucault's theory of power specifically the concepts of surveillance, discourse, and governmentality. 'Surveillance' is the continuous observation and assessment of citizens. 'Discourse' is the language that shapes a society's relationships and constitute knowledge and meaning. Lastly, 'governmentality' is implementing certain rules and regulations in order to manipulate the minds of the citizens. These three concepts allow the people in authority to control the lives of the citizens. The study proves the futility of applying utopian systems in the real world as they always fail and turn into dystopias instead.

Keywords: dystopia, discourse, surveillance and assessment, governmentality

1. INTRODUCTION

The concept of a utopia has been a debatable issue ever since its emergence in Plato's *Republic*. The word utopia "stems from the two Greek words eutopos, meaning "the good place," and ou-topos, meaning "no place"" (Gulick 5). Hence, the ambiguity or the confusion of understanding of the word is raised. How can the "the good place" be a "no place" that does not exist at the same time? This suggests the duality of meaning of the word. "Does the choice of this particular term mean that any society that strives for perfection is doomed inevitably to fail, to cease to exist, and thus, ironically, to make More's term accurate after all?" (Gulick 5). Thus, a utopia is the perfect, ideal place which operates successfully and at the same time, does not exist. Moreover, a utopia is usually characterized by being remote and isolated from other countries of the real world. It is not a place that has a certain location or can be reached by any means of transportation.

Ever since Plato's introduction of the notion of a utopia, thinkers and writers have attempted to offer their different visions of utopias which aim at creating a better world. Nevertheless, history has shown that the different utopian visions have never proved to be a success. Contrary to expectations, the result has always been a dystopia. In general, citizens in a dystopian society suffer from the living conditions that are being imposed on them. Some dystopian novels focus on the oppression of a certain social class or gender whilst others portray the social conditions that all citizens suffer from. Whether the formation and implementation of a utopian society within the ruling system is beneficial or not is a controversial issue that needs investigation, yet writers are still trying to create utopias. "If utopia could be thought of as the dream of heaven realized on Earth- as originally set out in Thomas More 1516 work of that name- dystopia represented a version of hell as a projected societal future" (Domingo 725). This means that although creating a utopia is supposed to achieve the vision of the people in authority of heaven on

earth, a dystopia results in creating hell instead of the promising future they had in mind. As a result, a utopia and a dystopia may be considered as polar opposites such as Heaven and Hell. While a utopia is intended to become a Paradise-like society in which life is perfect, a dystopia is a miserable place in which life becomes unbearable (Pospíšil 14). In other words, a dystopia is not only the opposite of the utopia, but also a failed attempt of creating a utopian society

Since the paper discusses dystopian novels of the Canadian author Margaret Atwood, it is important to foreground Atwood's definition of the terms utopia and dystopia. Atwood believes that within each utopia, there is a hidden dystopia and within each dystopia, there is a concealed utopia. As a result, Atwood has coined a new word 'Ustopia' which combines both words utopia and dystopia. "Ustopia is a word I made up by combining utopia and dystopia- the imagined perfect society and its opposite- because, in my view, each contains a latent vision of the other" (Atwood, *Dire Cartographies* 8). Thus, according to Atwood, a utopia and a dystopia are interrelated in the sense that each one of them contains elements of the other.

Michel Foucault discussed the concept of power in many of his books such as *Discipline and Punish: The Birth of the Prison* and *The History of Sexuality*. Nevertheless, he does not provide a straightforward answer to the question 'what is power?' Instead, he provides several definitions of the term. He believes that there is no one concrete definition of power as it operates on so many levels and is omnipresent in all kinds of relationships such as the relationship between an employee and his boss, a child and its mother, a husband and his wife. For the purpose of this research, Foucault's theory of power will be examined to prove that utopian systems eventually result in dystopias that cannot be implemented in real life. This will be achieved by specifically analysing Foucault's concepts of Discourse, Surveillance and Governmentality in the novels *The Handmaid's Tale* (1986), *The Testaments* (2019) and *The Heart Goes Last* (2015) by Margaret Atwood.

2. FOUCAULT'S CONCEPT OF DISCOURSE

The term discourse has a wide range of definitions. Discourse can mean verbal communication or conversation, a formal written text on a certain subject or a unit of text that linguists use to analyse written sentences or utterances (Mills, *Discourse* 2). Also, "discourse is a set of sanctioned statements... that have a profound influence on the way that individuals act and think" (Mills, *Discourse* 62). This means that discourse has a direct effect on the actions and behaviours of people. Accordingly, the individuals can be controlled and manipulated through discourse. Throughout his works, Foucault does not provide only one solid meaning of discourse, but he rather defines it on different levels. In *The Archaeology of Knowledge*, Foucault mentions that he has added several meanings to the word discourse "treating it sometimes as the general domain of all statements, sometimes as an individualizable group of statements, and sometimes as a regulated practice that accounts for a certain number of statements" (80). According to Foucault, this means that discourse refers to the statements which have meaning and effect. By "individualizable group of statements", he means a number of similar statements that can be grouped together to form a specific type of discourse such as feminine discourse or racist discourse. In his definition of discourse, Foucault sheds light on the relationship between discourse and power. In one of his works, he mentions that power produces a certain kind of discourse that is used as the one and only truth for the operation of a certain society. Furthermore, Foucault "thinks of discourse (or discourses) in terms of bodies of knowledge" (McHoul and Grace 26). This means that Foucault's definition of the term discourse is not only confined to the words that have meaning and effect. He

rather views the term in a wider sense that moves the concept away from just a group of words or utterances that are related to “language (in the sense of a linguistic system or grammar) and closer towards the concept of discipline” (McHoul and Grace 26). As the discourse is produced by the people in authority through legal entities such as schools, universities and laws, citizens who are less powerful than those in authority should use it as the sole truth (Foucault, *Power/Knowledge* 94). The following is a discussion of the concept of discourse in Atwood’s selected novels in light of Foucault’s theory of power. The three main points that will be focused on are propaganda, play on words by creating new words and eliminating old ones, and usage of specific terms instead of the literal meanings of the words.

Discourse in Atwood’s Dystopias

The concept of discourse is an important element in the dystopian societies in Atwood’s selected novels. In order to manipulate the citizens’ minds, the people in authority produce certain discourse that serves the government’s purpose and motivations. “The effect of this discourse...is the development of a whole new realm of discourse attending to the definition of what is ‘normal’ and what is not, what is available for individuals to do, think, say and be and what is not” (Clegg 32). As such, discourse serves as a means for those in authority to control the citizens. Discourse always imposes on the citizens certain ideas as normal and others as incorrect or abnormal. Because some words in the discourse allowed by the government disappear and new ones emerge, the actions of the citizens start to differ from what they were usually used to before this change in discourse happens. Thus, the citizens start to use new words while old words disappear. It is also important to highlight that discourse maintains the power relations within a dystopian society. Specific discourse that is created by the authorities and used within a dystopia serves as a hindrance to the rise of an opposing strategy or stream of thought that may challenge the power of the people in authority.

The Use of Propaganda to Manipulate Citizens

Firstly, the term propaganda means communicating specific information that may not be necessarily true to make people believe and internalize certain ideas as true. Mostly, propaganda in dystopian societies is used to incorporate inaccurate and untrue concepts and ideas into the minds of the citizens in order to easily manipulate them. The use of propaganda to manipulate the people’s minds is an important characteristic of a dystopian society which is apparent in Atwood’s selected novels. In *The Handmaid’s Tale*, propaganda is used to control the kind of information that citizens are exposed to. Offred narrates that on the day of the Ceremony, Serena Joy, the Commander’s Wife, allows her and the other servants to watch the news on television. However, “[t]he televised broadcasting she is allowed to watch is state-controlled and broadcasts only government-friendly content and at the same time it does not reveal any negative news of the wars the republic is involved in” (Pettersson 9). This shows that in order to manipulate the minds of the citizens, the government only provides the kind of news that they want the citizens to know or believe in. Thus, the news does not give any negative information about the war that Gilead is involved in as a means of keeping the citizens ignorant of what is really taking place in this war. Also, this news “does not show any news of an organized resistance” (Pettersson 9) against the government of Gilead. Consequently, the citizens believe that they live in peace and there are no opposing thought groups fighting for the destruction of Gilead. Offred narrates “who knows if any of it is true? It could be old clips, it could be faked. But I watch it anyway, hoping to be able to read beneath it. Any news, now, is better than none” (Atwood, *Handmaid’s Tale* 82). Because Serena Joy is

the one in charge in the house, she is allowed to choose the kind of shows and news that the members of her household can watch. As such, Serena Joy serves as the government's mouthpiece in the house of Commander Fred. She ensures that her household members watch the fake news which is being aired on the television. As Serena Joy believes the fake news herself, she expects Offred and the Marthas to believe that the news is true.

Similarly, in *The Testaments* there are important incidents that highlight the effect of propaganda on the citizens. For example, Agnes realizes that the story of the death of the first husband of Paula, her stepmother, is untrue. The well-known story that was known in Gilead is that the Handmaid in Paula's house was "dangerously unbalanced and had stolen a skewer from the kitchen and killed Commander Saunders in an unprovoked attack. The Handmaid has escaped, but had been caught and hanged, and her dead body had been displayed on the Wall" (Atwood, *Testaments* 305). Nevertheless, after joining Ardua Hall, Agnes finds a blue folder that contains crime records of some of the Wives. When she reads the folder, she realizes that the truth is totally different than the story that had been circulated among the citizens in Gilead. The truth about the death of Paula's first husband is that Paula and Commander Kyle, Agnes' father, "had been having an affair" (306) even before the death of Agnes' mother. The story recorded in the folder that Agnes has access to when she joins Ardua Hall was as follows:

Paula had befriended the Handmaid and offered to help her escape from Gilead since she knew how unhappy the girl was. She'd even provided her with a map and directions, and names of several Mayday contacts along the way. After The Handmaid had set out, Paula had skewered Commander Saunders herself. That was why she'd had so much blood on her, not from putting his trousers back on. In fact, he had never taken them off, or not on that night. She'd bribed the Martha to back up the murderous Handmaid story, combining the bribe with threats. Then she'd called the Angels and accused the Handmaid, and the rest had followed. The unfortunate girl was found wandering the streets in despair, since the map was inaccurate, and the Mayday contacts turned out not to exist. (Atwood, *Testaments* 306)

The fact that the truth about the story of the death of Paula's husband has been hidden proves that in the Gilead society, propaganda is used to manipulate the truths and convince the citizens of untrue stories as being true. Thus, this proves that the people in authority manipulate the truths to serve their own benefits. The people in authority do not want other Wives to be motivated to get rid of their husbands and have affairs with other men. The authorities in Gilead want all people to think that Gilead citizens are happy with their lives. As a result, they hid the truth about the death of Commander Saunders, Paula's first husband, and communicated a lie that they want all people to believe.

Likewise, propaganda is used in *The Heart Goes Last*. Charmaine and Stan's first encounter with the Consilience/Positron project is through an advertisement on TV. Everything they get to know about the project is through the media. For example, all the ads on TV always focus on how this project is beneficial to the society. "Help solve the nation's problems of joblessness and crime while solving your own! Accentuate the positive" (Atwood, *Heart Goes Last*, 35). This proves that through propaganda, the founders of the project will attempt to persuade the citizens with certain ideas. The above-mentioned quote asserts that the Consilience/Positron project will solve all the nation's problems along with the problems of the individuals. As such, it is only natural that helpless people like Charmaine and Stan will be convinced that this project is their safe haven.

Play on Words as a Method of Control

Secondly, another essential characteristic of dystopian societies is the play on words. In most dystopian societies, the people in authority control the discourse used in order to manipulate the minds of the citizens. This happens through eliminating old words and forbidding their usage and creating new words. Thus, the ideas and concepts in the minds of the citizens become twisted and deviate from their original meaning. In his concept of discourse, Foucault argues that the emergence of new words and the disappearance of others do not happen haphazardly. On the contrary, the people in authority produce their own system of discourse to be able to control the actions and behaviours of the citizens. The act of eliminating words and creating new ones can be referred to as “verbal hygiene” (Cavalcanti 154). This verbal hygiene is an act of filtering the existing language or discourse that is being used by the citizens. Its aim is to make the citizens use the appropriate kind of words instead of using inappropriate words that may oppose the motives and benefits of the people in authority. This verbal hygiene makes the citizens embrace the new discourse created by the people in authority. As the whole style of living is being altered, it is only natural to use a new set of discourse that is in line with the new living system.

In *The Handmaid's Tale*, those in control restrict and prohibit the use of certain words according to their own benefits. The authorities in Gilead prevent the use of certain words to indoctrinate the people with certain ideologies. As Gilead is a patriarchal society, it always blames women for all the shortcomings of society. This is apparent in the fact that people should not call men who are unable to have children as “sterile”. It is a forbidden word. Offred narrates her experience as the doctor calls some men ‘sterile’. She says, “[o]r they’re sterile.” I almost gasp: he’s said a forbidden word. Sterile. There is no such thing as a sterile man anymore, not officially. There are only women who are fruitful and women who are barren, that’s the law” (Atwood, *Handmaid's Tale* 61). Because Gilead is a patriarchal society, the government ensures that men are never responsible for anything that harms society. As such, if a Handmaid fails in providing the Commander with children, it is because this Handmaid is barren and not because the Commander is sterile.

Furthermore, the Gildean governing system creates new words to describe some professions. For example, in *The Testaments*, the group of girls whose job is to attract Canadians to join Gilead are named “Pearl Girls” (Atwood, *Testaments* 44). Daisy describes them as “the young women in long silvery dresses and white hats who called themselves Pearl Girls and said they were missionaries doing God’s work for Gilead” (44). The name given to these missionary girls along with their costumes evoke feelings of purity and innocence to those who deal with them. This makes it easier for these girls to manipulate the minds of the Canadians and convince them to join Gilead.

Another technique of the play on words in dystopian societies is focusing on and repeating certain words. This also happens to convince the citizens with certain concepts that the people in authority want to propagate. In *The Heart Goes Last*, the authorities describe the Consilience/Positron town as “[a]n ultra, ultra important experiment; the think-tankers use the word ultra at least ten times” (Atwood 49). The repetition of the word “ultra” in this quote is intended by the authorities to convince the citizens of the extreme importance of the project. Moreover, they say, “[i]f it succeeds – and it has to succeed, and it can succeed if they all work together – it could be the salvation, not only of the many regions that have been so hard-hit in recent times but eventually, if this model comes to be adopted at the highest levels, of the nation as a whole” (Atwood 49). This foregrounds that by using certain words, the authorities attempt to persuade the citizens that this project is the solution for all their problems. The repetition of the word “succeed” sheds light on the importance of this project. For Charmaine and Stan, this

project becomes the haven that will snatch them away from their insecurities and problems.

Usage of Specific Terms

Thirdly, dystopian societies also tend to use specific terms to serve their own purposes. Instead of using the literal meanings of words, they use their metaphorical meanings to cover up for the real actions happening in these societies. The following quotation shows that the society of Gilead uses specific terms to describe people's professions:

The servants who are employed by the Wives are called the 'Marthas', the 'Aunts' are those women who educate and instruct the handmaids and the 'Jezebels' are the official prostitutes for men of higher classes. The 'Econowives' of the lower classes do not have servants and so they have to take up the role of both Wife and Martha. Lastly, there is a group of older and/or rebellious 'Unwomen', who are not fit to bear children and who are used as 'disposable workers' to clear the colonies of toxic waste. (Desmet 70)

This quote shows that specific terms such as 'Marthas', 'Aunts', 'Jezebels' and 'Econowives' are used to describe certain professions. These professions do not exist outside of the society of Gilead. As a result, those in authority use these specific terms to manipulate the citizens into believing that their jobs, despite existing only in these particular societies, are very important and beneficial to the welfare of the society.

Atwood also uses the same technique of labelling entities to serve the authorities' own purposes in *The Heart Goes Last*. This is obvious as the police in Consilience/Positron is called "Surveillance" (Atwood, *Heart Goes Last* 68). This implies that the job of the police is just to view or monitor the people's actions in order to prevent any crime from taking place. In other words, the police acts as the citizens' own safety guards. The two couples who live together in the same house are known as the "Alternates" (57). As the events of the novel unfold, the reader gets to know that Charmaine's "Special Procedure" (188) is a process of killing people. This shows that the authorities attempt to brainwash the people's minds by using words that are not harsh to cover up for their horrendous acts. Also, the creation of new words is important in dystopias. The government in dystopian societies start to form new terms that they use as labels for certain objects. For example, in Consilience/Positron they name the currency used "Posidollars" (57) which is a combination of both the words Positron and dollars.

These examples from Atwood's selected novels highlight Foucault's concept of discourse within power. "Foucault focuses on the range of professional discourses that increasingly limit, define and normalize the 'vocabularies of motive' (Mills 1940) ...for making sensible and accountable what it is that people should do, can do and thus do" (Clegg 32). The techniques of propaganda, play on words and the usage of specific terms form the new discourse that the government imposes on society to exploit the citizens and control what they should and should not do. Consequently, the new set of words which is introduced serves the government's real, hidden purposes and motivations, which the citizens are unaware of. As such, Atwood manages to portray that the manipulation of language by those in authority "is a vital prerequisite for the achievement of power" (Gulick 103).

3. FOUCAULT'S CONCEPT OF SURVEILLANCE

In addition, Foucault argues that one way of exercising power over others is by constantly surveying their actions and monitoring them. "Foucault (1977) sees the methods of surveillance and assessment of individuals that were first developed in the state institutions such as prisons, as effective tools developed for the orderly regimentations of

others” (Clegg 30). Thus, Foucault regards the surveillance and assessment of individuals that were incorporated in prisons as effective tools or methods for incorporating order in a society. Similarly, Atwood’s novels show how the surveillance and assessment of citizens help in maintaining an organized and disciplined society. The three main points that will be examined in Atwood’s novels are: the Panopticon Procedure as a means of monitoring citizens, the physical and verbal barriers that citizens face and the citizens’ fear of punishment as a result of committing crimes or errors.

The Panopticon Procedure

The concept of Panoptism was firstly used in schools and barracks to ensure the implementation of order then it became generalized later on (Foucault, *Power/Knowledge* 71). It is mainly based on the idea of isolation and enclosure of a certain group of people from their surroundings. As such, the Panopticon is:

an annular building; at the centre, a tower; this tower is pierced with wide windows that open onto the inner side of the ring; the peripheric building is divided into cells, each of which extends the whole width of the building; they have two windows, one on the inside, corresponding to the windows of the tower; the other, on the outside, allows the light to cross the cell from one end to the other. All that is needed, then, is to place a supervisor in a central tower and to shut up in each cell a madman, a patient, a condemned man, a worker or a schoolboy. (Foucault, *Discipline and Punish* 200)

This means that the Panopticon serves as a means of surveying individuals whether a prisoner, a madman, a patient, a worker or even a pupil. Because of its architectural divisions, the Panopticon allows the authority in charge to control the activities and actions of the prisoners. Although most of the time the individuals may not be spied upon or monitored, their behavior is controlled as they believe that those in power are constantly monitoring their actions. Consequently, implementing the Panopticon procedure in any utopian society helps in controlling and manipulating the behaviours of the citizens and makes applying the system implemented by the government easier.

The Panopticon Procedure in Atwood’s Dystopias

In light of Foucault’s concept of surveillance and assessment, one of the features of a dystopian society is the implementation of the Panopticon procedure. Unfortunately, citizens who live in a dystopian community are always under constant surveillance. Everything they do is monitored. Their actions are recorded. It is as if each person is constantly imprisoned in a Panopticon-like milieu where all his/her actions are being monitored. For example, in *The Handmaid’s Tale*, Offred explains that the door of her room in the Commander’s house must not be totally shut. This is because she must not have any private life. Her everyday activities, if there are any, must be known to everybody in the house. Offred narrates that “Cora brings my supper, covered, on a tray. She knocks at the door before entering. I like her for that, it means she thinks I have some of what we used to call privacy left” (Atwood, *Handmaid’s Tale* 65). This shows that although, privacy is now an unknown concept in Gilead, some of the Marthas still treat the Handmaids in a humane manner as if they still have privacy as they used to before living in Gilead.

Likewise, the confinement of citizens in a panopticon- like milieu is also portrayed in *The Heart Goes Last*. This is evident in the fact that Charmaine mentions that members of the police, named Surveillance, are always riding black cars in the streets of the town in order to constantly monitor and assess the actions of the citizens even in the streets. It is also

worth mentioning that when Stan casually sees a black Surveillance car in the street near his house, he feels tensed and does not know how to act. One morning, while he was raking some leaves in the lawn near his house, Stan sees “the odd black Surveillance car, gliding past silently as a shark. Is it protocol to give them a friendly wave?” (Atwood, *Heart Goes Last* 96). This shows that even a trivial act such as waving to the Surveillance cars is accurately calculated by Stan as he fears that this may be the wrong action. As a result, “Stan has decided against it: better to pretend they’re invisible. Anyway, who’s inside? Those cars may be remote-controlled, like drones” (Atwood 96). Thus, Stan pretends that these cars are invisible and goes on with raking the lawn.

In the same way, the technique of the Panopticon is shown in the very first chapter of *The Testaments*, when Aunt Lydia, one of the founders of Gilead, mentions that she has to avoid the surveillance cameras while writing her testaments. “That’s enough inscribing for today. My hand hurts, my back aches, and my nightly cup of hot milk awaits me. I’ll stash this screed in its hiding place, avoiding the surveillance cameras- I know where they are, having placed them myself” (Atwood, *Testaments* 5). This quote serves as a confession from the people in authority that all places, including where they live, are being continuously monitored.

Physical and Verbal Barriers in Atwood’s Dystopias

Moreover, to limit the capabilities and creativity of the citizens, those in authority impose particular physical and verbal barriers on the citizens. The fact that citizens are being monitored all the time and the different barriers they face allow the government to oppress the citizens and ensure their obedience. This is similar to what Foucault believes which is that “[o]bedience’ is central to an analysis of the production of power in organizations” (Clegg 38). This means that exercising power over others helps in making the subjects or citizens obedient.

In *The Handmaid’s Tale*, Atwood manages to portray the different kinds of barriers that are being imposed on the citizens. The Handmaids are faced with different kinds of physical and verbal barriers:

Physical barriers such as soldiers and barricades prevent free movement from place to place. Linguistic barriers are also abundant because written words do not exist in this world, having been replaced by less “dangerous” images. Finally, Offred’s restrictive clothing, her “wings”, forms a barrier, limiting her vision and perception and thus controlling her behavior. (Gulick 25)

This proves that the physical and verbal barriers that are imposed on the Handmaids affect their behaviours. Because a Handmaid feels incarcerated, she will always seek help to attain her freedom and break-free from all these barriers and restrictions.

Atwood also successfully shows that characters in *The Heart Goes Last* are faced with different kinds of barriers. For instance, the first encounter of Charmaine and Stan with the Consilience/Positron project was through an advertisement on TV. They only got in real contact with the founders of the project during the introductory workshops prior to joining the project. Afterwards all the meetings that took place in Consilience/Positron were through TVs. The citizens never attended any meetings in reality. Also, all the news that the citizens get about the town are communicated to them through advertisements on TV. Televisions here serve as the barrier that detaches citizens like Charmaine and Stan from those in authority. “On the evening before the December 1 switchover day, there’s another Town Meeting. Not that anyone actually meets up: they watch on closed-circuit TV, whether they’re inside Positron Prison or out of it” (Atwood, *Heart Goes Last* 107).

This quotation proves that televisions served as barriers for the citizens. Through their advertisements and meetings on TVs, those in charge manage to control the minds of the citizens and convince them that this project is very beneficial.

The Citizens' Fear of Punishment

As a result of the constant surveillance and assessment, the citizens start to internalize a feeling of fear of being punished by the government. Thus, the citizens start to undertake certain actions and abandon others in an attempt to spare themselves the harsh consequences that would follow their wrongdoings. This is in alignment with Foucault's concept that whether they are really being monitored or not, the citizens start to adopt a certain docile behavior which is exactly what the government seeks to achieve to keep its subjects obedient. This happens mainly because constant surveillance of the citizens creates a hierarchy of power in which citizens are the weakest and those in authority are the strongest entity (Foucault, *Discipline and Punish* 191).

In Gilead, the Handmaids are not supposed to ride trains or the subway. Offred narrates that they are "not allowed on, there are Guardians now, there's no official reason for us to go down those steps, ride on the trains under the river, into the main city. Why would we want to go from here to there? We would be up to no good and they would know it" (Atwood, *Handmaid's Tale* 31). This shows that the Handmaids need official permits to pass through certain areas of Gilead. Also, the quote implies that they are always being monitored. This proves that even though they are not being currently under surveillance, those in authority would know that the Handmaids have broken the rules. As Offred and her twin Handmaid fear being punished for breaking rules, they opt for not passing through this restricted area of Gilead.

Hence, Foucault's concept of the surveillance and assessments of citizens is applied in the selected novels of Atwood. In both the dystopian societies of Gilead and Consilience/Positron, citizens are enclosed within the dystopian societies without having any contact with or knowledge of the outside world. They live in a Panopticon-like milieu in which they are always being monitored and assessed. Also, the citizens face physical and verbal barriers that limit their freedom and actions. As a result of their entrapment and constant surveillance, the citizens' actions are always controlled as they fear being punished for their wrongdoings. "Disciplinary power is itself invisible yet renders its subjects hyper-visible in order to tighten its grip" (Heyes 173). This means that even though surveillance may sometimes be invisible, the citizens feel that they are always being monitored. Thus, their actions are calculated.

4. FOUCAULT'S CONCEPT OF GOVERNMENTALITY

Additionally, it is customary for any society to operate according to certain rules and systems dictated by its government. These rules help in maintaining order and preventing chaos within a society. Similarly, in dystopian societies, the government controls the citizens by implementing a set of rules and laws that serves its own interests and benefits. These laws help the government control the actions of the citizens and manipulate their minds in order to make them compliant and obedient. In his article, "The Subject and Power", Foucault, explains "'Government'" did not refer only to political structures or to the management of states; rather, it designated the way in which the conduct of individuals or of groups might be directed: the government of children, of souls, of communities, of families, of the sick" (790). As explained in this quote, the word 'government' does not only refer to political issues, but it also refers to how the conduct and behavior of some individuals or groups can be controlled or managed. Also, the term governmentality means: "the means by which that shaping of someone else's activities is

achieved” (Mills, *Michel Foucault* 47). This means that governmentality means the way by which a person’s activity is shaped or constructed. Also, governmentality seems to make the laws enforced by the authorities as laws constructed for the public good of the people. Thus, in order to control the citizens and prevent anyone from deviating, the government imposes a set of laws that ensures the obedience and conformity of all people. The government will not succeed in totally controlling the citizens except by implementing certain techniques.

Governmentality in Atwood’s Dystopias

Atwood manages successfully to adopt Foucault’s concept of Governmentality in her dystopian societies by shedding light on some techniques such as stratifying society into different social classes, withholding information from the citizens, disallowing the individuality of citizens and the citizens’ fear of the outside world.

Stratifying Society into Different Classes

Firstly, stratifying the social classes into the all-knowing, powerful government and the amenable citizens is achieved in dystopian societies through labelling people according to their categorical classification. Consequently, some people are treated better than others according to the social class that they belong to. In order to ensure that order and discipline are maintained within the dystopian societies, Atwood divides citizens in each novel into several classes. For example, in Consilience town in *The Heart Goes Last*, citizens are either civilians for a month, prisoners for another month or people in authority such as the founders of the Consilience/Positron project. In addition, in both *The Handmaid’s Tale* and *The Testaments*, Gilead operates by stratifying society into social classes with one specific class being dominant over the others. It is mainly governed by the Commanders who are being helped by the Aunts and the Wives. The Wives’ power lies only within the household by commanding the Marthas and Handmaids. The role of the Aunts may be considered more extensive as they are responsible for teaching the Handmaids and they also handle their issues after being assigned to the families of the Commanders.

Withholding Information from Citizens

Secondly, power and knowledge co-exist together. There is no power without knowledge and no knowledge without power. Thus, in dystopias, the people in authority are always powerful as they have a huge amount of knowledge of what is happening in society as a whole. They always know the hidden motives and secrets of creating this dystopian society. As a result, those in authority tend to withhold certain information from the people in order to make them ignorant and eventually weak.

We should admit rather that power produces knowledge...that power and knowledge directly imply one another; that there is no power relation without the correlative constitution of a field of knowledge. (Foucault, *Discipline and Punish* 27)

This quote reflects Foucault’s belief that the relationship between knowledge and power is intertwined. Thus, people in authority are always knowledgeable and powerful as opposed to the citizens who are always unknowledgeable and eventually weak.

As a lot of information is withheld from the Handmaids, sometimes they do not even ask questions, because they know that they will not be provided with satisfying answers. For instance, Offred mentions that when she finds that her twin Handmaid who accompanies her to the shopping trips has been replaced, she does not ask where did the older one go.

This woman has been my partner for two weeks. I don't know what happened to the one before. On a certain day she simply wasn't there anymore, and this one was there in her place. It isn't the sort of thing you ask questions about, because the answers are not usually answers you want to know. Anyway there wouldn't be an answer. (Atwood, *Handmaid's Tale* 19)

This shows that the authorities are in control of the kind and amount of information that is communicated to the people. As Offred knows that she will not be provided by a proper answer to this question, she chooses to remain silent and not ask about the other Handmaid.

Furthermore, Agnes narrates that even when she joined Ardua Hall, she could not have full access to all the information she wants. Only the Aunts had access to all bloodline information. Thus, only the Aunts knew the original families of the Handmaids. Thus, when Agnes finds her bloodline file on her desk, she still cannot know who her parents are:

The name underneath had been blanked out, using heavy blue ink. There was an updated notation, however: Mother of Agnes Jemima, now Aunt Victoria. Escaped to Canada. Currently working for Mayday terrorist intelligence. Two elimination attempts made (failed). Location currently unknown. Underneath that, it said Biological Father, but his name, too, had been redacted. There was no picture. The notation said: Currently in Canada. Said to be a Mayday operative. Location unknown. (Atwood, *Testaments* 330)

This quotation proves that only those in authority have full data of anything in Gilead including bloodlines. Even though Agnes is a Supplicant, she still cannot be provided with full information regarding her parentage. All the information she gets from this file is that both her biological mother and father are in Canada, working for the terrorist group Mayday, who attempts to overthrow the government of Gilead.

Similarly, in *The Heart Goes Last*, Charmaine does not know why she is doing the Special Procedure. She does not know what happens to the bodies after this procedure is undertaken. She just does what she is instructed to do. In fact, Charmaine is an embodiment of the obedient citizen who does not question the authorities. In addition, when Charmaine finds out that she will relocate her husband, Stan, she starts wondering what kind of crime did he commit. This shows that as a citizen, Charmaine is supposed to obey the orders of the authorities even if it was to kill her own husband. She thinks about not performing the Special Procedure on Stan; however, she fears the consequences of disobeying those in authority. Thus, she relocates him.

Thirdly, despite their attempts in seeking perfection, dystopian societies do not allow for individuality or dissent. All people are supposed to be similar in every aspect. Irving Howe writes that dystopian books "try to present a world in which individuality has become obsolete and personality a sign of subversion. The major figures of such books are necessarily Grotesques" (308). This shows that in dystopian societies, individuality is a sign of disobedience. Anyone who tries to be different or distinguish herself or himself from the rest of the society, will be breaking the rules. Thus, this person should be punished. For example, in *The Handmaid's Tale*, citizens are supposed to wear clothes of certain color according to the social class they belong to. As such, all Commanders, Wives and Handmaids wear similar clothes. "There are several umbrellas in it: black, for the Commander, blue, for the Commander's Wife, and the one assigned to me, which is red" (Atwood, *Handmaid's Tale* 9). This shows that each category of citizens is identified by a certain color. The choice of the color is also controlled by the authorities. The

citizens do not choose the color they prefer, but rather they have to give in and accept whatever is being chosen for them.

Likewise, Charmaine and Stan in *The Heart Goes Last* are equally prevented from being distinguished like Offred. When they join the prison as prisoners, they are forced to wear the orange outfits just like everybody else. Moreover, the founders of the project encourage the citizens to “[w]ork with like-minded others” (Atwood, *Heart Goes Last* 35). Although working with like-minded people is used by the authorities as a motivator, it in fact prevents the citizens from standing out among the crowds. Instead of choosing the job they like, the citizens will be forced to work with people with similar abilities. Thus, the chance of becoming better than the others is very minimal.

Prohibiting Individuality and Dissent of Citizens

Fourthly, not only do dystopian societies prevent individuality and dissent, but also they instill fear of the outside world in the citizens. Anything that lies outside the borders of the towns becomes hideous and harmful. As a result, citizens are totally convinced that their state and place which they live in is the best for them. For example, in Gilead, women who are unable to conceive are transferred to the colonies. They become labelled as the ‘Unwomen’. Thus, the Handmaids are always threatened with being transferred to the colonies if they fail to have children. Offred narrates how afraid she is when the doctor tries to seduce her into having a physical affair with him. She says, “[h]e could fake the tests, report me for cancer, for infertility, have me shipped off to the Colonies, with the Unwomen” (Atwood, *Handmaid’s Tale* 61). It is obvious that ‘the Unwomen’ are considered a taboo. They are something to be ashamed of. Consequently, the Handmaids are convinced that their condition is better than that of the Unwomen.

Moreover, the isolation of the citizens from their outer surroundings helps in instilling a feeling of fear in the citizens. This is in keeping with Foucault’s concept of enclosure which means the confinement of each city by a wall or barrack to isolate the citizens from the outside world. For instance, in *The Testaments*, Becka informs Agnes that at a certain point in time, they should leave Gilead in order to visit Canada with the “Pearl Girls” (291) to convince Canadians to join Gilead. Agnes replies “[w]e go outside Gilead? Isn’t it scary to be that far away? Isn’t Gilead really big?” It would be like falling out of the world, for surely Gilead had no edges” (291). Due to their lack of knowledge, citizens in Gilead not only fear the outside surroundings of Gilead, but they also believe that the world ends within the borders of the city. They believe that nothing exists outside of Gilead as this is the only world they know. However, as Becka has joined Ardua Hall much earlier than Agnes, she knows more information about the outer surroundings of Gilead. Becka even tells Agnes ““Gilead is smaller than you think”... “It has other countries around it” (Atwood, *The Testaments* 291). The idea that there are other countries outside and around Gilead is alien to Agnes. It is very difficult for her to believe that Gilead is not the whole world and that there are other countries in the world.

Similarly, Atwood manages to portray Charmaine and Stan’s fear of the outside world. The reason that makes Charmaine and Stan join the project is because they are seeking safety. Living in their car, they always feel unsafe and insecure. They always run away from thugs and thieves. “Their car is the only barrier between them and gang rape, and not just for her, she says, considering what’s out there roaming around in the night...” (Atwood, *Heart Goes Last* 12). This shows that having limited choices, Charmaine and Stan choose to sign up for the Consilience/Positron project as it will save them from the horrendous fate that awaits them while living in their car. In this town, they have a totally different life. Thus, they avoid going back to this insecure milieu. Finally, by following

these techniques, the government ensures that the citizens will never have the courage to rebel against or overthrow the ruling system as they do not have the power or information required for such an act.

5. CONCLUSION

After analysing Margaret Atwood's novels *The Handmaid's Tale*, *The Testaments* and *The Heart Goes Last* in light of Michel Foucault's theory of power, it is worth mentioning that the endings of the three novels prove that societies built on the utopian concept fail and turn into dystopias. It is important to note that *The Testaments* and *The Heart Goes Last* end by the disintegration of the dystopian societies. However, *The Handmaid's Tale* has an open ending that keeps the readers gripped until they find out about the disintegration of Gilead in *The Testaments*. Nevertheless, what happens to Offred, whether she lives or dies, remains a mystery.

As the main focus of this research is applying Michel Foucault's theory of power and examining its application in the dystopian societies created by Margaret Atwood in the selected novels, it is important to discuss Michel Foucault's view about the creation of utopias. In one of his lectures, he mentions that:

Power must [be] analysed as something which circulates, or rather as something which only functions in the form of a chain. It is never localised here or there, never in anybody's hands, never appropriated as a commodity or piece of wealth. Power is employed and exercised through a net-like organisation. And not only do individuals circulate between its threads; they are always in the position of simultaneously undergoing and exercising this power. They are not only its inert or consenting target; they are always also the elements of its articulation. In other words, individuals are the vehicles of power, not its points of application. (Foucault, *Power/Knowledge* 98)

This quotation explains Foucault's point of view that individuals are the vehicles of power in society or are the means through which power is being operated, exercised and practiced. They help both directly and indirectly in the application of power in a society. As power is inherent in all types of different relationships, the position of power always shifts within the relationship. Foucault believes that power is not stagnant. On the contrary, it transfers from one entity to the other. This means that in a dystopian society, power will sometimes be with the government and at other times, the citizens will be more powerful than the government. This happens according to the current situation within the society itself. For example, when a dystopian society is firstly created, the government is the most powerful entity. However, after the downfall of a certain system or government, the citizens become more powerful than the government which has been overthrown. This is similar to what happens exactly in the dystopian societies in Atwood's selected novels. Both Gilead and Consilience/Positron start off as very powerful societies that control and manipulate the citizens. Later on, these dystopian societies disintegrate, and the citizens become more powerful than the people in authority.

Furthermore, Foucault defines utopias as a "society perfected or the reverse of society, but in any case, these utopias are spaces that are fundamentally and essentially unreal" (Hurley 178). This quote shows that Foucault does not believe that utopias could be applied in real life. He believes that utopias are fictional places that are unreal and cannot be applied in real life. After reading many of Foucault's books, articles, lectures, and interviews, it is concluded that Foucault never called for the creation of a utopia. However, his writings and lectures propose that he was in favour of the systems or means of forming utopias in order to ensure discipline and order in a society. Thus, his theory of

power, which is used throughout this research, shows that Foucault believes that it is possible to apply order and discipline in a society in real life.

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Migration, Memory, and Mobility in Vassanji's *No New Land*

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“We are but creatures of our origins, and however stalwartly we march forward, paving new roads, seeking new worlds, the ghosts from our pasts stand not far behind and are not easily shaken off” (Vassanji 1991, 8).

The rampant migration of individuals is a global trend in the twentieth and twenty-first centuries. This tendency to move and find a new home is both voluntary and forced. In other words, the movement of individuals across borders can be politically or economically motivated, and sometimes it is both. Unfavorable political conditions amplify the economic benefits of migration to another country. This pursuit of better prospects intersects with the challenges of acculturation and acclimatization. As Rukhsana Ahmed and Luisa Veronis comment, "The process of migration represents a transition in place, space, and culture for immigrants." As immigrants strive to integrate with the foster culture, they also experience the strain of their own culture.

This essay will attempt to examine the environmental and cultural conflicts that Asian and African immigrants confront in Canada, followed by the triumph of their socio-cultural mobility. It intends to highlight the immigrants' efforts to reconstruct a similar land that lies in the past using collective cultural memory, and their ability to find a connecting line between both their homeland and their foster land. It will study the interplay between assimilation of the present and preservation of their past. The essay will address the question of how immigrants strive to strike a fine balance between their past and present and how they reclaim their culture in memories and everyday lives. The present essay aims to find answers to the above-mentioned questions with reference to M. G. Vassanji's *No New Land* in the light of immigrant experience. As Sadan and Pushpendra ascertain, "The idea of belonging encompasses home, memory, place, intersectionalities with identities, becoming, and heterogeneity" (19). This essay attempts to connect these points of home, memory, belonging, and mobility.

The essay will incorporate concepts such as memory, social capital, diaspora, secularism, and more. Nergis Canefe argues that "In the diaspora, exile leads to a particular and highly political genre of remembrance of personal, communal, and national histories" (156). However, the need to integrate also becomes urgent and important. As a result, the immigrants' journey ahead is dotted with both memories and hopes. Furthermore, the society that absorbs the immigrants, in turn, saturates them with its culture and values. François Héran claims, "All societies face a major problem: how to absorb the constant influx of two categories of newcomers, namely children on one hand and immigrants on the other. This presupposes in both cases a work of socialization and integration, which can be accomplished through habits over time or by more forceful (policy) interventions" (160).

Moyez G. Vassanji is a writer who writes for a large audience. His literary works span across centuries and travel across continents. Vassanji is the author of nine novels, three non-fiction works, and two collections of short stories. His work has gained international acclaim and has also been translated into a few other languages. Vassanji embarked on writing his first novel, *The Gunny Sack*, in 1980, which was published in 1989, and it is the first novel about Indians in Africa. Ariel Bookman (2014) remarks, "In

his novels, stories, and travel writing, which recreate the lives of South Asian migrants in India, East Africa, and North America from the nineteenth century to the present, Vassanji examines how subjects whose lives have been shaped by migration narrate their individual, familial, and communal pasts" (189). He scrutinizes themes of identity, displacement, individual vs society, cultural hegemony, and race relations. Moreover, he attempts to preserve and resurface oral histories and mythologies that have long been submerged.

No New Land, written in 1991, is set in Toronto and portrays a group of immigrants from East Africa and other parts of the world trying to adapt to life in a new land. The novel exhibits an array of immigrants' lives with a special focus on the Lalanis, their past, present, and future aspirations. Although the narrative is centered on the Lalanis, other characters such as Esmail, Jamal, and Nanji also represent the major theme and contribute to the experience. It is an insightful narrative juxtaposing an individual's ability to "try and triumph" alongside "adapt or perish." Michael Thorpe, in his review of the novel, says, "No New Land, with quiet humor and wisdom, gives deep insight into the strains and promises of immigration" (757). Undoubtedly, it is also a sort of fictional documentary rendering the lives of minority immigrants and Canada's multicultural policies.

Although the Lalanis belong to the fictional Shamsi community, which is an Asian-African shopkeeper community, they represent all minority immigrants in Canada, especially those from Asia, Africa, and the Caribbean who are new to the country. These immigrants often feel like outsiders due to the foreign and intimidating nature of their new surroundings. Even before arriving in Canada, the Lalanis are anxious about their future, which is compounded by their previous humiliation in London and their subsequent flight to Canada. As they adjust to their new home, they fear that "every step [will be] a mystery and trap, fraught with belittling embarrassments, and people waiting to show you up" (35). Their struggles are rooted in their unfamiliarity and cultural alienation, as they stand out due to their appearance and ways of life. As a result, they are intimidated by the new ways of their adopted country, given that their lifestyles are markedly different.

However, the Lalanis conquer their fear in the hope of better prospect. As soon as they arrive, they are confronted with the bitter cold winter of Canada. Despite this, they carry their resolve to attain their Canadian dream. This immigrant dream is reflected through Zera's eyes as she takes stock of her sister's apartment. "The next morning, in Roshan and Abduls Don Mills apartment, the sun shining brightly, deceptively, through the balconys sliding doors, an abundant breakfast on the table - with toast and eggs and juice and jam and parathas - Zera practically danced through the two kitchen doorways, going out this one and in the other, saying wow, this is big, gorgeous, a refrigerator, a television, new sofas, dinette" (Vassanji 37). This breakfast spread not only shows measure of superiority of the Asians settled in Canada, but also the mixture of two different cultures, where toast represents one, and the parathas represents the other. This maiden breakfast in Canada also assures the Lalanis the coexistence of past and present in their future. Furthermore, the cold winter of Canada is metonymy for the social climate also, and the 'sunshine' in Roshan's apartment indicates warmth and optimism.

The Sixty-nine Rosecliffe Park where the fictional narrative is principally set is of considerable significance. It is the abode of the immigrants that provide them shelter, community, and courage. It can be compared with the towers of Brick Lane by Monica Ali where the Asians immigrants live. However, there is one contrast where Ali deliberately identifies the limitations of the Brick Lane accommodation, Vassanji in *No New Land* glorifies the Rose Cliffe Park buildings. In fact, he is able to convert the

drabness of the decrepit buildings into the bustling and animated edifice. He describes, "On the side facing the valley the drive itself is lined by apartment buildings identified only by their numbers - the famed Sixty-five, Sixty-seven, Sixty-nine, and Seventy-one of Rosecliffe Park whose renown, because of their inhabitants' connections, reaches well beyond this suburban community, fuelling dreams of emigration in friends and relatives abroad" (1). Vassanji romanticises Rosecliffe Park and treats it as an important character. The physical concrete structure stands for hope, promise, and warmth for the minority immigrants. Vassanji annotates:

Sixty-nine Rosecliffe Park. The name still sounds romantic, exotic, out of a storybook or a film. Sometimes it's hard to believe you are here, at this address, sitting inside, thinking these thoughts, surrounded by luxury: the carpeting, the sofas, the telephone, the fridge, the television - yes, luxuries by Dar standards things you could not have owned in a lifetime. (58)

The immigrants toil hard to achieve socio-cultural integration in all aspects of life. Zera tries to wear Western yet modest clothes in order to fit in the society. Besides clothes, food habits, and other socio-cultural idiosyncrasies, the immigrants also modify their thoughts and actions. For instance, Fatima works in a drug store after school, not only for income but also to become independent in a Canadian sense, "Her mother Zera had phoned her at the drugstore, where she worked after school, to tell her it had arrived, meaning the long-awaited letter from the university, and Fatima took off" (Vassanji 2). The letter is a metaphor for Fatima's aspirations and limitations. She is very hopeful and eager to know and build her future. However, the letter disillusioned Fatima.

The immigrants strive for social recognition. Gottfried Schweiger observes, "A good life is therefore a life with sufficient recognition, and a just society should not only pay attention to a fair distribution of material goods but also make recognition possible for all and protect against experiences of misrecognition and nonrecognition" (3). Shopping is a Canadian ritual which the immigrants intend to practice religiously. They frequent malls just to socialize. It is not just to purchase the essentials, but also they find it a recreational habit for assimilation. Though the immigrants are market shocked by the high prices, they are able to find comfort in the different denominations:

What would immigrants in Toronto do without Honest Eds, the block-wide carnival that's also a store, the brilliant kaaba to which people flock even from the suburbs... The dazzle and sparkle that's seen as far away as Asia and Africa in the bosoms of bourgeois homes where they dream of foreign goods and emigration. The Lalanis and other Dar immigrants would go there on Saturdays, entire families getting off at the Bathurst station to join the droves crossing Bloor Street West on their way to that shopping paradise. (Vassanji 40)

The Lalanis, like others, soon fall in step and march towards a better future. They live in the realization that "After their initial excitement, the days of wonder when every brick was exotic and every morning as fresh as the day of creation, came the reckoning with a future that they'd held at bay but was now creeping closer. They had come with a deep sense that they had to try to determine it, this future, meet it partway and wrest a respectable niche in this new society" (Vassanji 42). They are determined to learn, adjust, and adopt new ways in order to become Canadians. However, like others, they encounter several challenges in settling down economically and socially. As a part of the Rosecliffe Park community, they navigate their way forward with moral support and recommendations. M. Reza Nakhaie and Abdol Mohammad Kazemipur explain the significance of social capital, "Social networks and associational membership with shared identity and interests, which are often found in clubs and informal groups, are all

incubators of social relations and depositories of social capital" (419). The Lalanis and their friends build up their new lives on this social capital.

The community solidarity acts as a fulcrum in supporting and giving the immigrants' sanity. Despite rejection from Canadian employers, economic desperation, and racism, they find solace in telling and listening to each other. "Canadian experience is the trump they always call, against which you have no answer. Or rather you have answers, dozens, but whom to tell except fellow immigrants at Sixty-nine" (Vassanji 43). For adult immigrants, language fluency becomes a challenge. Nurdin is unable to secure a job because of his lack of Canadian experience and poor English language skills. Andreea Cervatiuc observes, "Immigrants do not have the luxury to interact with whom they choose, as their opportunities to practice English are generally limited. Nurdin, Romesh, Nanji, Jamal, and others all struggle to find economic means" (254). However, Jamal, a professional lawyer, also improvises to earn his livelihood. He sells samosas to retailer shops, "Someone who had advised on the criminality of shady shopkeepers and corrupt cabinet ministers, helped to produce amendments and draft papers on emergency procedures, was now emerging from a Don Mills elevator, clutching the same briefcase that had hidden secrets of the state but was now hiding samosas destined for sale at the nearest tuck-shop" (Vassanji 71). This characterizes the common struggle of immigrants to find better opportunities.

In the process of assimilation, immigrants undergo disillusionment and deconstruction of their value and ideological systems. In addition to various changes in the lives of immigrants, one of the noteworthy characteristics of this assimilation is the reversal of gender roles, where the woman of the house becomes the breadwinner, and the man of the family assists in household chores. While Zera goes out to work, Nurdin tries to find a job and compensate for his unemployment by being complacent and helpful at home. "You clean up, do laundry, do anything, so as not to appear useless" (Vassanji 44). This not only reveals the tendency to embrace change but also the negotiation between tradition and transformation.

Gillian Brock perceives, "immigrants are often eager and highly motivated to belong, and keen to embrace the national identity in efforts to integrate" (38). Vassanji depicts how immigrants evolve as proud and tall Canadians, despite the hurdles and ordeals. He narrates the arrival of the Lalanis, "Three years had passed since that blustery winter night when the Lalanis stood outside the Toronto airport, contemplating a mode of transportation. Much had happened in that period and there was, in a sense, no looking back. The children were well on their way, Canadians now, or almost" (Vassanji 115). Fatima and Hanif, the Lalanis' children, find their way in their new world. They make friends, and going to school gives them an advantage in integrating and assimilating. The children, who represent the new peer group and generation gap, occupy an important space in Rosecliffe Park. Fatima and Hanif grow beyond their past and labor to assimilate and not stand out. They also succeed in their acclimatization, "One envies these children, these darlings of their mothers, objects of immigrant sacrifice and labor, who speak better-sounding if not better English: one envies them their memories when they are grown-up" (Vassanji 63). Nonetheless, the young generation of immigrants feel trapped between two worlds and two lives as they try to balance their private and public lives.

The children outmanoeuvre their parents and outgrow their family traditions. The children feel caged in their past and their families. For instance, Fatima despises and resents her life, "She was ashamed of this little Paki-shitty-stan of Don Mills, as she called it. She didn't belong here, she would pull herself out of this condition: everything about her attitude suggested that. ... Where had she picked up this abrasiveness, this shrillness, this hatred of her origins?" (Vassanji 166). Fatima stands for the aspirations

and frustrations of all immigrant children who yearn to distance themselves from their past and coalesced with the future of their foster country.

The conflict between past and present is a very important slice of an immigrant experience. Nanji represents the inner ordeal of the immigrant in assimilation, "It seems," he told Jamal, "that to become westernized, which is what we've opted for by coming here, we have to go back and battle by battle relive all their battles - spiritual struggles. How can you otherwise assimilate generations of experience - only now we've reached the Age of Reason ... But isn't that better, Nanji? Our God is not dead, we are better off - Can we survive here, with our God ... Can He survive?" (Vassanji 76). This dialogue between Nanji and Jamal forms the base for the rest of the essay where the Shamsis and other Asian immigrants endeavor to preserve their past.

The conflict reaches a climax when the immigrants establish consensus between their nostalgia and aspirations. The intriguing trait of the minority immigrants is how they want both to assimilate and to stand apart. This is explicit in Esmail's footwear, "Esmail, a little over average height, looking taller for the thick-soled shoes, which many Dar men wore for that purpose, and in a very conspicuous beige Kaunda suit, which they had all bought in a frenzy of African patriotism in Dar but now wore proudly in Toronto to set themselves apart" (Vassanji 94). Esmail intends to showcase his ethnic origins in civic space like many others.

The gregarious tendency of the community keeps the members warm against the cold climate outside, both literally and metaphorically. The Sixty-nine Rosecliffe park is more than a concrete structure. It is made up of people, their cultural habits, belief systems, and their aspirations. The inhabitants amuse each other, care for one another, share each other's memories and fears. They create an ecosystem of heterogeneity in harmony. They represent a microscopic view of the macrocosm. Vassanji catalogues their quotidian lives:

If you are suddenly out of toilet supplies, you can ton down to the first floor and buy them at almost all hours from an apartment there. There are places to order snacks or go and eat them. There is an open house on the eighteenth floor every Saturday night, where over a spectacular view of the valley, with its orange-lighted highway, you can play cards, chew the fat with compatriots, or tease the women, and consume tea and samosas, which you have to buy there. There are babysitters on every floor, and housesitters; accounting or legal advice, a nurse, a genuine practitioner of folk medicine who will pray or knead your pains away. (Vassanji 62)

The immigrants try to reconstruct their old lives in their new world. They create their socio-cultural symmetry by constructing figurative spaces, "Of course, the Shamsis of Dar had recreated their community life in Toronto: the mosques, the neighbourhoods, the clubs, and the associations" (Vassanji 170). In addition to recreating, the immigrants also realize the urgency of preserving their tradition and past. It is not just their present they are careful about, but their future as well. Their children symbolize their future, and consequently, they also keenly protect their children from culture shock. "This is the kind of thing we have to steer our kids from, Zera said, elaborating on her previous remark" (Vassanji 54). This does not only signify their insecurities but also their endeavor to preserve their cultural legacy.

The Mukhi and the makeshift mosque of the Shamsis represent their religious and moral capital. It assures the newcomers and keeps the community together, "on weekend evenings most Dar Shamsis went to the mosque, held at a school gym on Eglinton Avenue, a destination every bus driver on the 26 routes had come to recognize, at which he would let off nervous newcomers whether the stop button had been pressed or not. ...

At the mosque a mukhi sat presiding from under a basketball ring” (Vassanji 67). The mosque becomes a place for gaining social capital and sharing their common beliefs.

Bender Courtney and Pamela E. Klassen quote Charles Taylor, “Taylor’s *A Secular Age*, in which he argues that a secular “modern social imaginary” robustly undergirds and shapes the conditions through which people can be religious in both intimate and public arenas, has inspired academic blogs and much scholarly rethinking of the structures of religious identity in secular societies” (10). The immigrants try hard to cling to their religious and cultural roots. The Hijab is a religious capital – as Vassanji portrays a girl wearing Hijab to her Quran class, and deconstructing the stereotypical image by her Canadian accent and her views on hockey. Vassanji observes, “Take this girl in hijab, standing in the elevator, head covered, ankles covered, a beautiful angular face, long body, who could have come straight from northern Pakistan. But when she unveils her mouth, out flows impeccable Toronto English, indistinguishable from that of any other kids, discussing what? - Last night’s hockey game. In her arms, covered with a decorated green cloth, is a heavy book also apparently in hijab. ... She’s on her way to Quran class, on the fourteenth floor” (Vassanji 64). The Quran class symbolizes a community-specific space which they construct to foster and tend their inherited value system.

The difference between preservation and protection is erased eventually when the immigrants begin to protect their religious and cultural identity. The immigrants deem it as their duty to protect their God, culture, their memories, and so on. The immigrants become more possessive of their religion and God. When the proselytizers visit Rosecliffe Park with Bibles, the residents welcome them but discourse their religious views with endorsements and fortitude, “We also have a God. We have a Pope too” (Vassanji 49). They do not antagonize the foster country, nevertheless, attempt to hold their socio-cultural and religious identity.

Remembering the past becomes one of the conscious endeavours of the immigrants. Emma Bond observes, “The body at once occupies the here and now of lived embodiment, but also functions as a carrier of memories and imprints from other times and spaces” (15). The immigrants bring memorabilia and tokens from their past to remind them who they are and where they have come from. For example, Zera brings Haji Lalani’s photograph to her new home. Typically, photographs are significant tokens from the past. Haji Lalani’s photograph is a portal which teleports Nurdin to his past, “The photograph on the wall, its face, intruded into his consciousness at this moment, eyes boring into him from the side, and he shuddered. His father’s photograph, taken in the 1940s, was one of the prized possessions Zera had brought from Dar” (Vassanji 83). The gaze of Nurdin’s father in the photograph performs a mystic surveillance and increases his sense of guilt.

Similar to the fixed gaze of Haji Lalani from the photograph, the serene gaze of Goddess Lakshmi helps the residents in self-regulation. The Goddess Lakshmi idol also acts as a religious icon and anchor to her believers. Her watchful gaze keeps the residents reassured and balanced. Vassanji describes the statue of Goddess Lakshmi overlooking the community, “Under the serene gaze of this Aphrodite or Lakshmi, some male inhabitants of Sixty-nine would gather in the mornings to discuss life and politics, while their wives or mothers would be out at work or rolling chappatis upstairs in the apartments or, to be fair, out on their own breaks. This was the Don Mills A-T, men sitting in a circle on the goddess platform, and standing around, sipping tea, sharing snacks, chatting” (70). This convivial habit makes the minority immigrants the center of a welcoming circle.

The necessity and strain to preserve one's past and tradition becomes more difficult as the immigrant community is heterogenous – several religions and cultures. Therefore, the struggle of the immigrants is not just against the Canadian culture, but also to distinguish against all other diverse culture. Sixty-five Rosecliffe Park acts as a monument of multiculturalism and pluralism. It is a mosaic space standing for multiplicity and diversity. The inhabitants come from different racial origins and speak different tongues, “Here a dozen races mingle, conversant in at least as many tongues” (Vassanji 59). The food cooked in Sixty-five Rosecliffe Park also symbolise pluralism and variety. Vassanji lists out:

The cookers at Sixty-nine are on, full blast. Saucepans are bubbling, chappatis nest warmly under (cloth covers, rice lies dormant and waiting. Whatever one thinks of the smells, it must be conceded that the inhabitants of Sixty-nine eat well. I Chappatis and rice, vegetable, potato, and meat curry, rice cooked the Goan, Madrasi Hyderabadi, Guja Rati, and Punjabi ways, channa the Caribbean way, fou-fatu the West African way. (64)

Vassanji uses food as a cultural capital throughout the novel. From chappatis tiffins to chai and samosas, the narrative is dotted with gustatory imageries. It does not only confirm the identity of the residents of Rosecliffe Park, but also stands for a means of livelihood, religious taboo, and communal solidarity. The trade of food is remarkable as it denotes double sustenance – the seller and the buyer. For instance, Sheru Mama supplying chappatis for her family's sustenance, “Now on the fourteenth floor, Sheru Mama dispenses chappatis at four for a dollar, cheaper wholesale. Sheru Mama makes hundreds of chappatis every day and babysits two toddlers at the same time, while husband Ramju helps with the dishes and puts the required dollop of margarine over every chappati. Her customers tend to be single men who will eat a chappati with a pickle, or butter and jam, or curry canned in the U. S” (Vassanji 60).

Similarly, Gulshan Bai is one of the residents of Sixty-nine Rosecliffe Park who uses her cooking skills to earn her livelihood. Vassanji accentuates by calling her trade a local industry, “On the sixth floor, well along the corridor and away from the bustle of the elevators, runs the major local industry. Here one Gulshan Bai prepares full meals for two, to take out” (Vassanji 59). This also helps the immigrants in buying affordable food which reminds them of their past.

Furthermore, this food acts as a token of several belief systems, like the ‘halal meat’ which some of the immigrants yearn for and, according to their habits from the past, try to perform in their back courtyard, “Apparently a gang of boys had come upon a site covered with blood and feathers in Rosecliffe Park, behind one of the apartment buildings” (Vassanji 60). This underscores both nostalgia and their struggle to keep up their practices against the altered present. Food also bestows individuals the opportunity to socialize and mingle.

Julianne Newmark argues, “senses of belonging as practice rely much more on the mutuality of experience in place than on any (impossible) melting down of ethnic, religious, and cultural differences” (3). The immigrants celebrate by coming together and talking about their past. Talking about their past becomes their pastime, “All this playing card and chatting and discussing silly topics while glugging tea by the gallon and eating samosas - is not Canadian” (Vassanji 128). The open house on the eighteenth floor represents a space where immigrant residents of the Rosecliffe Park can be their past selves and distance themselves from their everyday efforts to become a proper Canadian. It is a space of their own where they remember, relish, and rejuvenate their cultural ties, “they would go up to the eighteenth floor to the open house, to watch people playing cards and to chitchat over tea, to find out the news in Dar - the status of roads and food

prices and the dollar price - all, reassuringly, bad” (Vassanji 68). The subject of their tête-tête reinforces their pledges with the former selves.

The immigrants’ insecurities and consternations are constant. They are afraid for their children's generation, and as a result, they invite Zera’s spiritual master, the Missionary. They summon him all the way from Tanzania. They feel lost and unhappy. Their invitation relays the immigrants’ mood, “An ardent request was submitted by Zera and his other former pupils, begging him to emigrate. We are desperate for guidance, they said. Life here is full of pitfalls. Children come home from school with questions we can’t answer. And want to celebrate Christmas” (Vassanji 67). In due course, the spiritually inclined members constitute a group and work a solution for their mystical qualms. This local chapter of the Missionary represents the keepers of moral responsibility. Vassanji narrates their preparations of the grounds, “The local chapter of Missionary’s followers, a group of women, had started regular evening meetings at the Lalanis’. They discussed and meditated, but mostly they liked to discuss” (175). This visit of the Missionary acts as a renewal of moral energy for the immigrant community in No New Land. Further, this fortifies them against their dilemmas and trepidations.

To conclude, as Lina Samuel ascertains, “The ways in which diasporic identities are constructed is dependent upon how 'traditional' culture is incorporated and how the group itself is inserted into the country of settlement” (95). The immigrants succeed both in assimilation and reclaiming their past. The novel ends with thoughtful lines summing up the immigrants’ resolve and approach, “Missionary had exorcized the past, yet how firmly he had also entrenched it in their hearts. Before, the past tried to fix you from a distance, and you looked away; but Missionary had brought it across the chasm, vivid, devoid of mystery. Now it was all over you. And with this past before you, all around you, you take on the future more evenly matched” (Vassanji 206).

In conclusion, this essay aimed to explore the experiences of Asian and African immigrants in Canada and their efforts to navigate the cultural and environmental conflicts that they face. Through the analysis of M. G. Vassanji's *No New Land*, the essay highlighted the immigrants' attempts to balance assimilation with the preservation of their cultural heritage. Concepts such as memory, social capital, diaspora, and secularism were examined to shed light on the immigrants' experiences of home, belonging, and mobility. The essay also discussed the challenges of integration and the role of society in shaping the immigrants' journey. Ultimately, this essay emphasizes the importance of understanding the complexities of immigrant experiences and the need for a more inclusive and supportive society that values and respects cultural diversity.

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**EL CONCEPTO Y LA FUNCIÓN DE LA LITERATURA FEMENINA ENTRE LA LITERATURA
ESPAÑOLA Y LA ÁRABE**

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Abstract: This paper aims to define the concept and function of feminist literature written in the Spanish and Arabic languages through a comparative inferential approach. Moreover, it deals with the points of view presented by critics about the origin of the name of this literary genre. Further, the study attempts to clarify the doubts that usually accompany reading or hearing the term "feminist literature" by illuminating the origin of the term, the existence of non-feminist literature and the classification criteria in Spanish and Arabic feminist literature. Comparing the assumptions of Spanish critics and writers with their Arab counterparts led to the conclusion that there are three terms that should be conceptualized and defined: "feminist literature", "women's literature" and "literature written by women." Additionally, from a literary perspective, genres should not be classified on the basis of the author's gender, because the term "feminist literature" would serve, conversely, as a kind of audience guidance that would make this type of writing unacceptable to a stratum of readers. It should be noted that when literary criticism is directed towards a political or ideological movement (as the case of feminism), it pays more attention to the stereotypical and cultural image of women without worrying about the aesthetic value of the artwork.

Keywords: women's literature, feminism, feminist literature, women's rights, comparative literature

RESUMEN:

Este trabajo objetiva concretar el concepto y la función de la literatura femenina tanto escrita en español como en árabe¹ a través de un método argumentativo comparativo. Además trata las perspectivas presentadas por la crítica sobre el origen de la denominación de dicho subgénero literario. Pretende esclarecer las dudas que suelen acompañar la lectura del término 'literatura femenina' sobre el origen del término, la existencia de literatura no femenina y el criterio clasificador en la literatura femenina española y árabe. La comparación de opiniones de críticos y escritores españoles con sus homólogos árabes ha llevado a concluir que hay que concretar el concepto de tres términos: literatura feminista, literatura femenina y literatura escrita por mujeres. Así mismo desde el punto de vista de literario no debería categorizar los géneros literarios a base del sexo de su autor. En caso contrario, sería una etiqueta comercial que sirve de orientación para el público lo que haría que este tipo de escritura no se topara con sus respectivos lectores. Cabe asegurar que cuando la crítica literaria va dirigida hacia un movimiento político o ideológico (como es el caso del feminismo) atiende más a la imagen estereotipada y cultural de la mujer sin preocuparse por el valor estético de la obra artística.

PALABRAS CLAVES: literatura femenina, literatura escrita por mujeres, feminismo, derechos de la mujer, literatura comparada

¹ Debido a la diferencia ortográfica entre ambos idiomas se adopta en este trabajo el sistema de transliteración del texto árabe de Javier Bezos cuando sea necesario transliterar textos en su lengua original, en este caso, la árabe: Bezos, Javier (2005). "Transliteración de las letras árabes". Recuperado el 12 de octubre de 2022 de <http://www.texnia.com/archive/TransArabe.pdf>

Introducción

El presente trabajo pretende llegar a través de un método argumentativo comparativo a un término que describe o define la literatura femenina buscando las características comunes que agrupan una ristra de términos y acuñaciones hasta el momento pertinentes a este tipo de escritos. Del mismo modo objetiva concretar un concepto del término y el criterio con el que se puede calificar una obra literaria con femenina o no, lo cual nos da una pista de saber hasta qué punto este tipo literario cumple con su función y compromiso social. De ahí, el presente trabajo procura dar respuestas a las siguientes preguntas:

¿Se puede asegurar que la literatura no femenina será incapaz de cumplir con esta función? ¿La literatura femenina española y la árabe tienen el mismo criterio clasificador? ¿Cuál es la base conceptual que dio lugar a este subgénero literario? ¿No contradice el hecho de bautizar un género literario propio con el principio de la igualdad y, por lo tanto, intensifica el carácter discriminatorio entre el género femenino y masculino?

No cabe duda de que la literatura femenina o la literatura escrita por mujeres es una búsqueda de identidad y un “intento de rescatar las vivencias femeninas” y plantea “una serie de problemas que constituyen reflexión sobre la situación social y económica de la mujer” (Potok-Nycz, 2003). Así que este tipo de escritura era una reacción y respuesta en su sentido básico a la ontología heredada que consideraba a la mujer como suplemento del hombre, costilla de Adán que debía obediencia al marido, y el hombre se suponía que ocupaba un lugar similar al de Dios. Tal como afirma San Pablo en su Epístola a los Efesios: “Las casadas estéis sujetas a sus maridos como al Señor, porque el marido es cabeza de la mujer, como Cristo es cabeza de la Iglesia... Y como la Iglesia está sujeta a Cristo, así las mujeres a sus maridos en todo” (5:22; 24-5) (Guerra, 2007, pág. 10). El caso de la mujer árabe, en general, y egipcia, en particular, no dista mucho de la realidad de la mujer occidental, aunque en la mayoría de las veces la situación de la literatura femenina en Egipto no parte de paradigmas religiosos sino de un pensamiento tribal patriarcal e interpretaciones tergiversadas de las fuentes del islam. De esta forma se experimenta que la mujer en los países árabes no sufría tal grado de opresión, por lo menos a nivel teórico, tal como asegura Bahira Abdulatif¹ (2017):

Se parte de la postura conservadora que rechaza al feminismo laico, tachado de ser importado de la experiencia de las mujeres occidentales, cuya imagen judeocristiana de pecadora, y su historia, plagada de discriminación, distan mucho de la trayectoria de las mujeres en el Islam, algo que es verdad a nivel teórico, aunque la realidad lo desmienta (pág. 351).

La mirada a la mujer occidental se va modificando con el paso del tiempo, pero no del todo, ya que la presencia de las mujeres en la literatura varía según la época. Al comienzo, las autoras estaban ocultas bajo seudónimos o recluidas en sus hogares. Con el movimiento feminista, se logró dar paso a obras fundamentales para el arte literario y a una escritura diversa, alejada de una visión divisoria de géneros.

Para las escritoras del siglo XIX había dos opciones: cambiar su identidad o llevar una vida de encierro. De ahí, se ve que varias obras publicadas a nombres masculinos son de escritoras que recurrieron a esta salida con el fin de evitar prejuicios de desprecio contra la literatura femenina y de encontrar la posibilidad de publicar sus escritos, como

¹ Bahīra^{ht} ‘Abdullatīf es una de las autoras cuyo nombre suele aparecer transliterado por sí misma de esta forma: Bahira Abdulatif. Así se reconoce con esta misma forma sin necesidad de ser transliterado a través del sistema de Javier Bezos anteriormente indicado.

las hermanas británicas Charlotte, Emily y Anne Brontë (Charlotte, autora de *Jane Eyre*, Emily, de *Cumbres borrascosas* y Anne, de *La inquilina de Wildfell Hall*), quienes publicaron sus libros con los nombres de Currer, Ellis y Acton Bell, respectivamente; George Eliot, el británico, era Mary Ann Evans, autora de la novela *Middlemarch: un estudio de la vida de provincia*, publicada en 1874 y considerada como una de las mejores obras de la literatura inglesa; George Sand era la francesa Amantine Dupin, una de las autoras más prolíficas de su época. Escribía historias de amor y de diferencias de clase, criticando las normas sociales; incluso, en los años 1990, Joanne Rowling, “la escritora británica escondió su primer nombre, Joanne, por sugerencia de la empresa que publicó sus historias sobre Harry Potter, para que los libros fueron leídos por los niños” y repite el mismo proceso con su primera novela policial titulada *The Cuckoo’s Calling* que ha sido publicada bajo el seudónimo masculino, Robert Galbraith, para escapar de las expectativas.

De entre las figuras femeninas que publicaban bajo seudónimos masculinos en la literatura española sobresalen Agar Eva Infanzón Canel (Coaña, Asturias, 30 de enero de 1857-La Habana, Cuba, 2 de mayo de 1932) con el seudónimo de Ibo Maza y Fray Jacobo; Carmen de Burgos y Seguí (Almería, 10 de diciembre de 1867-Madrid, 9 de octubre de 1932) con el seudónimo de Gabriel Luna y Perico el de los Palotes; Caterina Albert (La Escala, 1869-1966), más conocida por el seudónimo de Víctor Català; y Cecilia Böhl de Faber y Ruiz de Larrea (Morges, Cantón de Vaud, Suiza, 25 de diciembre de 1796-Sevilla, España, 7 de abril de 1877) que firmaba sus obras bajo el seudónimo de Fernán Caballero. Entre otras escritoras del siglo XX eran Lucía Sánchez Saornil (Madrid, 13 de diciembre de 1895 – Valencia, 2 de junio de 1970) que firmaba sus escritos con el seudónimo de Luciano de San-Sao; María del Carmen Gutiérrez Sánchez, más conocida como Carmela Gutiérrez de Gamba (1921 – Madrid, 31 de julio de 1984) con el seudónimo de Miguel Arazuri y André Ronsac; María Luz Morales Godoy (A Coruña, 1889 – Barcelona, 1980) con el seudónimo de Jorge Marinada, etc.

A pesar de existir obras publicadas bajo seudónimos masculinos, con el siglo XX la literatura femenina empezó a asumir iniciativas que presentaron la mujer a través de la voz femenina, como *Una habitación propia* (1928), de Virginia Woolf, y *El segundo sexo* (1949), de Simone de Beauvoir (Guerra, 2007, pág. 8).

La etiqueta de la literatura femenina española

Según la taxonomía de Elaine Showalter (1979) y (1981) en cuanto a la crítica feminista, hay dos tendencias: la mujer como lectora (crítica feminista) y la mujer como escritora (la ginocrítica). A la primera tendencia pertenecen las obras “que consideran las imágenes y estereotipos de la mujer en literatura, las omisiones y las falsas concepciones sobre las mujeres en la crítica y la mujer-corno-signo en los sistemas semióticos”(Showalter, 1981, pág. 245, citado por citado por Suárez Briones & Fariña Busto, 1994); y la segunda se asocian “con la mujer como productora del significado textual, con la historia, temas, géneros, de la literatura escrita por mujeres” (Showalter, 1979, pág. 128, citado por Suárez Briones & Fariña Busto, 1994). Desde este punto de vista la literatura femenina se refiere a las obras escritas por mujeres y tratan temas relacionados con la mujer y/o defienden sus derechos sin ser necesariamente dirigidas a mujeres. Este es el concepto que responde a la necesidad de que este tipo de obras fuera existente, que a su vez, se plasma en la escasez de escritoras, la carencia de una voz del mismo género que expresaría sus asuntos íntimos o/y grita por conseguir su emancipación de la cultura patriarcal. La obra de arte en ese entonces se hacía el comunicado y el mensaje dirigido a la ideología patriarcal que materializó el silencio y convirtió lo íntimo en algo público y transferible, tal como lo comenta Aiudi (2020): “la escritura de mujeres

fue mudándose a temas que rompieron con un esquematismo e hicieron de lo íntimo una narrativa de algo compartido”. El nuevo género no se limitaba a cuestionar la imagen androcéntrica y tradicionalmente heredada de la mujer, sino que pretendía presentar otra nueva carente de pasividad y contradicciones:

Las autoras no solamente problematizaron el haber sido escritas desde el patriarcado, sino que, al mismo tiempo, se esforzaron por romper con los modelos «femeninos» que, por estar insertas en esa hegemonía, ellas mismas habían contribuido a crear. Ver sus propias contradicciones y cuestionarlas fue uno de sus principales objetivos literarios.

Marina Fe (Turriza, 2022), catedrática de la Facultad de Filosofía y Letras de la Universidad Nacional Autónoma de México (UNAM), asegura la relación entre la escritura femenina y el género de su autor, en el sentido de que la denominación de ésta viene por el género de éste. Y añade que se nota que durante el siglo XX se observó una irrupción de la palabra escrita por mujeres en espacios antes reservados sólo para la opinión masculina. Lo mismo dice la académica Susana Henao Montoya (Turriza, 2022) que confirma la importancia de existir un espacio literario para las mujeres con el fin de proveer una perspectiva femenina del mundo por lo que se describen de forma distinta las experiencias políticas, sociales y culturales. Esta teoría fue justificada por el concepto con el que la escuela de Constanza interpreta el proceso de la lectura (Hermosilla Álvarez & Cepedello Moreno, 2013) y (Hernández-Santaolalla, 2010, págs. 198-204), ya que considera la lectura como un espacio intersubjetivo compartido por el escritor y el lector. Es decir, el texto no suele encerrar todas las significaciones de su componente, sino que son el resultado de una interacción entre texto y recepción, donde se interfieren la intención de la persona que escribe y la del que lee, quien, a partir de los huecos textuales, activa su personal imagen de mundo (Iser, 1987, págs. 264 y 289, citado por Hermosilla Álvarez & Cepedello Moreno, 2013).

Al momento en que la mayoría de las voces vinculan el término de la literatura femenina con su autoría, Ana Lena Rivera Muñiz (Turriza, 2022) atribuye el término de la ‘literatura femenina’ a la clasificación de *marketing* por separar los escritos propicios al gusto femenino de otros que no lo son. De ser así, “la autora hace énfasis en que esta distinción únicamente ha afectado a las lectoras, pues realmente nadie ha hablado de la existencia de una “literatura masculina” como concepto” (Turriza, 2022).

La literatura femenina no trataba solamente temas de familia y de ámbito doméstico, sino que también se extendió a abordar desde una perspectiva femenina otra índole de temas, como la sexualidad, el erotismo, la maternidad, el aborto, los femicidios y/o las presiones que implican elegir una profesión. Temas en los que directa o indirectamente se encuentran implicados todos los miembros de la familia y de la sociedad en aras de mostrar al público nuevas miradas sobre el universo femenino y hacer explícita la subordinación de la mujer al hombre. Una vez la literatura escrita por mujeres conlleva el pensamiento feminista y propaga sus ideas era allí donde se dio origen a una tendencia contraria dentro y fuera del campo literario que evoca el pasado fantástico de felicidad y la figura del ángel de un hogar feliz, presentados en nuevas escrituras y propagados en las redes sociales. Una ola parecida empezó durante la década de los años sesenta que sostenía una perspectiva alternativa contraria a aquella que muchas escritoras feministas luchaban por establecer.

Puede que el término ‘literatura femenina’ empezó a relacionarse con connotaciones negativas tanto en la literatura hispanoamericana como en la española debido a la referencia que éste hiciera a la llamada novela ‘rosa o romántica’ o a la novela

de masas cuyos personajes treintañeras viven en una ciudad entre amigas, -a veces, el trabajo - y relaciones fallidas buscando una relación adecuada. A este tipo de personajes sólo le preocupan las relaciones de parejas y su estatus en las redes sociales. Según las obras en el auge del mercado popular y la confirmación de los académicos especialistas, entre ellos sobresale María del Mar Ramos Cambero (2020, pág. 9), de que estereotipos de género y estrategias de *marketing* están detrás de su *best seller*. Los personajes femeninos de la mayoría de estas historias suelen encuadrarse en unas cuantas necesidades muy banales (cf. Cambero, 2020). Tal vez esta suerte de obras dio luz roja a algunas escritoras para replantear sus ideas acerca del término de ‘literatura femenina’. Por ejemplo algunas escritoras, como Almudena Grandes, Rosa Montero, Rosa Regàs o Ana María Matute, entre otras, prefirieron desligarse de este término.

Otras escritoras jóvenes, como Jenn Díaz (Iglesia, 2016), rechaza que se asocie el concepto de la literatura femenina con las figuras superheroínas ni personajes feministas o que sus obras se dirijan a mujeres aunque defiende el feminismo emancipatorio y asegura “que en los grupos de lectura, las lectoras son mujeres y, más en concreto, señoras” (Iglesia, 2016). Jenn Díaz adopta una actitud muy acertada cuando no niega ser feminista, pero no quiere condicionar sus escritos para dejar puerta abierta a lectores masculinos e interpreta el porqué de su actitud al decir que Matute y Martín Gaité fueron “feministas sin saberlo”, de ahí será muy bien dejar la clasificación a los lectores que construirán sus definiciones a partir del texto literario. Del mismo modo muestra que para el público clasificar una obra literaria con femenina no es lo mejor; y propone: “Si me hubieran definido como la nueva Delibes, de la misma escuela que Matute o Martín Gaité, para el público yo habría tenido una posición superior” (Citado por Iglesia, 2016). La ausencia del concepto de literatura masculina pone en peligro de marginalidad o inferioridad varias obras categorizadas -aunque sea con fines mercantiles- como femeninas. Díaz se opone al concepto de la literatura femenina y al mismo tiempo declara que ella es autora de literatura femenina siempre que dicho concepto no implique inferioridad.

Otra actitud será la de Marta Sanz (2015) que considera urgente escribir desde su clase y desde su género. Adopta una perspectiva femenina y feminista a la vez, puesto que cree que la voz femenina debería seguir marcando su terreno y al público aún le urge saber la diferencia entre machismo y feminismo; siendo este último el remedio de corregir la situación social:

Y con el feminismo la gente ni siquiera sabe lo que es. Hay mujeres y hombres que oponen feminismo y machismo, considerándolo categorías equivalentes. El machismo es un estado cultural, pervertido, consecuencia de un dominio ejercido a lo largo de muchos siglos por el hombre hacia la mujer. Y el feminismo es un movimiento intelectual articulado precisamente para corregir todo ese estado de cosas.

Según las palabras de Sanz, el feminismo y la etiqueta de literatura femenina no conllevan connotaciones negativas a sus obras, sino que tal vez funcionen como eslogan en su posible campaña frente al machismo dominante. Aunque Jenn Díaz (Iglesia, 2016) menciona a Lara Moreno y Cristina Morales como “mujeres que huyen del cliché de lo femenino”, la misma Lara Moreno asegura que el feminismo está también en su última novela¹. Pero se define su perspectiva de abordar el tema del feminismo como actitud general de defender la igualdad, es decir, sus ideas feministas no parten del movimiento

¹ Se refiere a la novela *La ciudad* (2022), un relato sobre la violencia y su relación con la cotidianidad y la desigualdad social.

político sino de un valor moral que le acompaña desde que tenía uso de razón “sin saber que era feminismo” (Moreno, 2021). Y declara la propia escritora que cuando se habla de feminismo se habla de la igualdad exclusivamente, El feminismo, sin saber que era feminismo”. En otras palabras, cuando la literatura aborda temas femeninos no parte del movimiento político sino de una mujer que ha sido involucrada en “una pelea constante contra la injusticia, contra ciertos sometimientos que vienen desde la cuna” (Moreno, Lara Moreno: «El machismo que hay en la literatura es el mismo que el que hay fuera», 2021).

Según parece, Jenn Díaz, Marta Sanz y Lara Moreno separan el concepto de la literatura femenina del movimiento político del feminismo. En el sentido de que Jenn Díaz afirma su actitud personal como feminista pero no desea clasificar sus obras como femeninas. En cambio, Marta Sanz considera urgente escribir desde la condición de ser mujer para salvar los derechos de la mujer anteriormente conseguidos. Lara Moreno subraya el precepto que avala Jenn Díaz al hablar de Ana María Matute y Carmen Martín Gaité cuando comenta que fueron feministas sin saberlo (Iglesia, 2016). A su vez Moreno pretende escribir literatura defendiendo a las mujeres sin intenciones preestablecidas de ser feminista sino de escritor que expone la realidad social (Moreno, Lara Moreno: «El machismo que hay en la literatura es el mismo que el que hay fuera», 2021), de ahí presenta su novela, *La ciudad* (2022), como “un relato sobre la violencia y su relación con la cotidianidad y la desigualdad social” (Moreno, 2022) que cuenta la historia de tres mujeres muy diferentes, una española, Oliva, y dos inmigrantes, Damaris y Horía, con un punto en común: la violencia. Cristina García Morales adopta una actitud parecida al concepto de la literatura femenina y el feminismo de Lara Moreno que en su *Lectura fácil* (2014) “narra la historia de cuatro mujeres con discapacidades intelectuales -Marga, Nati, Patricia y Àngels- que comparten un piso tutelado en la Barcelona de los movimientos sociales, el paro, los desahucios y la "okupación" (Morales, 2019).

Por todo ello y tomando como referencia la actitud de varias escrituras que vuelven a revisar y valorar la asociación del término de literatura femenina con sus propios escritos Cambero (2020) concluye que la labor investigadora tiene que “incrementar los estudios culturales que nos permitan aproximarnos a la perspectiva de las personas que consumen un libro” (pág. 9) y con ello, “valorar, desde un planteamiento filosófico, la redefinición no solo de la identidad femenina, sino del concepto de sujeto moderno en este tipo de literatura” (pág. 9).

La etiqueta de la literatura femenina árabe

La literatura femenina desde el punto de vista de la crítica literaria árabe se refiere a cualquier obra literaria que se centre en la lucha de las mujeres por la igualdad y trata los temas que conciernen a su situación social. Aunque estas dos características son suficientes para marcar una barrera divisoria entre un género literario y otro, algunos críticos y escritores prefieren llegar un poco más allá de los rasgos puramente objetivos asociando la creación literaria con el género/sexo de su autor e, incluso, a veces, con el de su lector. De ahí se amplía el concepto de la literatura femenina para caber cualquier obra literaria escrita por mujeres que las defiende a ellas y trata de temas tan femeninos que se adecuarían en la mayoría de las veces al gusto del lector femenino. En este terreno surge una tendencia que confirma la existencia de la etiqueta de la literatura femenina resaltando su aportación intelectual y artística sin que esto se relacione con el sexo de su autoría (Hāfīz, 2018). Otra tendencia rechaza dicha etiqueta basándose en la teoría de que una obra literaria no debería clasificarse según el sexo de su autor, sino más bien según sus rasgos artísticos y sus temas tratados. Una obra literaria presentaría un valor humano, carácter que no debería depender del sexo del autor. A esta tendencia pertenecen Šīrīn Al-

Mallawānī, crítica, quien insiste en rechazar la categorización androgénica de la literatura femenina; e 'Ibrāhīm 'Abdulmaǧīd, novelista, quien asegura que “cualquier intento de poner etiquetas o límites a la obra artística significa abortarla”¹ (Ḥusnī & Bašīr, 2022).

Al margen de este debate sobresale quien separa el término “literatura femenina/الأدب النسائي” de “literatura feminista/الأدب النسوي-الأنثوي”, modo con el cual señala con el primer término a la literatura escrita por mujeres; y con el segundo, a la literatura que trata temas puramente femeninos. Aquella que defiende y lucha por la igualdad, un rasgo que se interpreta con preceptos políticos e ideológicos del movimiento feminista (Ḥāfīz, 2018). A pesar de que dichos términos son puramente árabes, se basan en equivalentes occidentales; españoles, femenino y feminista; e ingleses, *female literature* y *feminist literature*. Esta bifurcación acarrearía rasgos distintivos que generan dos etiquetas con sus respectivas condiciones. La condición de la literatura femenina, es decir, escrita por mujeres, no tiene por qué tratar asuntos específicamente femeninos, sino que podría extenderse a todos los temas de valor universalmente humano. En este caso, sería conveniente quitar esta etiqueta para que este tipo de obras se exponga a la crítica literaria sin discriminación previa teniendo en cuenta la inexistencia de la etiqueta adversa, es decir, la de la ‘literatura masculina’. Hay que poner de manifiesto que, en las obras escritas por mujeres, si realmente el sexo del autor influye en el aspecto técnico o estilístico del relato, será, en este caso, un factor negativo que condicione la capacidad creativa del autor, los recursos narrativos y la variación técnica y estilística de la propia obra artística, ya que cualquier iniciativa creativa brota desde una fuente única acuñada por el sexo de su creador. Dicho de otra forma, condicionar la obra artística con el sexo de su autor abortará cualquier iniciativa innovadora, lo que hace siempre de este tipo de obras una opción distinta de creación artística limitada y, hasta cierto modo, inferior, a las etiquetas o categorías restantes, opinión que comparten varios escritores, como Ibrahim Abdulmaguid (Ḥusnī & Bašīr, 2022) que declara que “cuando encuentra el título de la literatura femenina (الأدب النسائي) o la literatura limpia (الأدب النظيف), no la lea”.

La otra posible etiqueta es la literatura que trata asuntos relacionados con lo femenino sin atender a su autoría. En este caso el valor de la obra radicaría en el poder de sus rasgos artísticos tanto técnicos como estilísticos de su autor sea cual sea su sexo. Si el origen de acuñar literatura femenina fuera eso, lograría más prestigio y autonomía tal como ocurre con los subgéneros narrativos, con las novelas de ciencia ficción, las de intriga, las picarescas, e incluso, la literatura infantil que se caracteriza por temas educativos y vocacionales, y se dirige a clase específica de lectores. A partir de este precepto se consideran literatura femenina aquellas obras de temática femenina o defienden a la mujer, aunque estén escritas por hombres. En este sentido se incluyen varias obras del patrimonio literario árabe que datan de principios del siglo XX, como la novela más prestigiosa y reconocida por los críticos, *Zaynab: manāzir wa ajlāq riḥīyya*^{ht} (1913)², del autor Muḥammad Ḥusayn Haykal; *Sara* (1938), de 'Abbās Maḥmūd Al-'Aqqād, *Zuqāq al-Midaq* (1947)³, *Bidāya*^{ht} *wa-nihāya*^{ht} (1949)⁴, *Bayna al-qaṣrayn* (1956)⁵, *Qaṣr al-Šawq* (1957)⁶ y *Aṭ-tukkariyya*^{ht} (1957)⁷, de Naǧīb Maḥfūz; *Al-'alrd*

¹ Traducción realizada por el investigador

² El título en español es *Zaynab: Escenas y costumbres rurales* y su título original en árabe es “مناظر زينب وأخلاق ريفية”

³ El título en español es *El callejón de los milagros* y su título original en árabe es “زقاق المدق”.

⁴ El título en español es *Principio y fin y el original árabe*, “بداية ونهاية”.

⁵ *Entre dos palacios* cuyo título original árabe es “بين القصرين”

⁶ *Palacio del deseo* cuyo título original en árabe es “قصر الشوق”

⁷ *La azucarera* y su título original árabe es “السكرية”

(1954), de Aḥmad Aš-šarqāwī, entre otras.¹ Este tipo de obras escritas por hombres tratan asuntos variados entre ellos la situación de la mujer, como esposa, madre, divorciada, hermana, hija, etc. Es innegable el papel que desempeñaban en defender a la mujer egipcia en aquel entonces y será injusto ignorar este papel por el hecho de que sus autores no son mujeres. Rīm Basyūnī (Hāfīz, 2018), escritora egipcia y docente de sociolingüística, expresa su actitud frente a la clasificación de la literatura femenina diciendo: “la literatura no debe clasificarse porque trata del alma humana en general”². En el mismo sentido dice Šīrīn Al-Mallawānī (Ḥusnī & Bašīr, 2022) que la clasificación de las obras escritas por mujeres a base del género de su autor oprime a las mujeres:

La literatura femenina es considerada uno de los términos polémicos que más atención ha cobrado desde los años noventa, sobre todo después de que su uso se extendiera mucho con el surgimiento de algunas plumas de mujeres en varios países árabes, pero este término no fue capaz de reconciliar los diferentes puntos de vista sobre él, especialmente por parte de las propias escritoras.

La literatura femenina podría ser una etiqueta mercantil no un género literario que implicaría teorización crítica porque la crítica literaria pretende valorar la producción literaria en sí, no al género de su propio autor. Por otra parte, si la producción literaria se ve siempre influenciada por el género de su autor, se afectaría su valor artístico, ya que, de una forma u otra, llegará el momento en que se agotan las variables que se basan en este factor invariable, cosa que muchas veces da lugar a obras estereotipadas. Aunque algunas escritoras apoyan la etiqueta de la literatura femenina, reconocen que no todos los escritos de mujeres se limitan a defender a la mujer ni a presentar mundos exclusivamente femeninos. He aquí Doḥá ‘Ašī (Hāfīz, 2018), escritora egipcia, que declara que:

No se debería poner todas las obras escritas por mujeres bajo una sola clasificación debido a los mundos y experiencias de las mujeres. Pues, hay algunas escritoras que extraen sus temas de mundos específicamente femeninos, mientras que otras adoptan un enfoque totalmente distinto, similar o cercano al mundo de los hombres, como la literatura de las cárceles y centros de detención.

A pesar de que ni hay quien garantice que la literatura de las cárceles y centros de detención fuera exclusiva de escritos por hombres, se puede decir que es allí donde se aclara la idea de que una obra literaria debería ser valorada sin basarse en el género de su autor, ya que el origen declarado de aparecer este tipo de escritos era que la mujer se expresara y corrigiera su imagen preestablecida por la sociedad machista, por una parte, y, por otra, que la mujer tenga la misma oportunidad que el hombre para hablar de sus mundos inexploradamente femeninos. Pero a simple vista la clasificación de las obras literarias basadas en sus objetivos ideológicos contradice con la intención creativa de la obra narrativa, puesto que esta suele presentar un mundo más o menos completo y un discurso contextualizado a fin de que la mimesis se concluya por el lector, no se presenta a él; de no ser así, sería el ensayo el género más idóneo de hacerle llegar el mensaje al

¹ Para tener una idea sobre el trayecto histórico de la literatura femenina árabe véase Bahira Abdulatif, “Feminismo y la literatura femenina árabe”, en *Actas de los Simposios de la Sociedad Española de Estudios Árabes*, Vol. II, Robert Pocklington ed., Almería 2017.

² Traducción realizada por el investigador. El texto original es: “لا ينبغي تصنيف الأدب لأنه يتناول النفس الإنسانية بشكل عام”.

lector. La narrativa, el ensayo y la poesía son géneros bien edificados depende de la técnica y la forma de expresión.

La literatura feminista (الأدب النسوي) es la otra denominación propuesta por Širīn 'Abu An-naġá (Ĥāfīz, 2018). Pero la escritora egipcia intenta separar esta etiqueta de aquella (literatura femenina o escrita por mujeres) acertando en este caso al sacar el sexo del autor del parámetro de la literatura feminista, ya que ella asegura: "No todo lo escrito por una mujer se considera literatura feminista. La literatura feminista es aquella que lleva una idea y una visión, independientemente del género de su autor, sobre todo porque hay hombres que llevan el pensamiento feminista" (Ĥāfīz, 2018). Además, señala 'Abu An-naġá (Ĥāfīz, 2018) que la literatura escrita por mujeres se limita a aquellas obras que pertenecen a su escritor sin presentar necesariamente pensamiento ni tendencia ideológica femenina.

Lo que en 1985 dijo Ana Ramos de que "durante los últimos veinte años, no se ha publicado una sola colección de cuentos en la que al menos uno no esté consagrado al problema de la condición femenina en la nueva sociedad árabe", confirma que la cuestión de la mujer en el mundo árabe ha experimentado grandes avances a partir de los años 60. Cosa que avala la idea de que el movimiento feminista no era más que una respuesta a los llamamientos del mismo en Occidente. De la misma manera confirma Carmen Gómez Camarero (1992, pág. 130) la similitud entre los casos de las escritoras occidentales y árabes por ser como exiliadas en sus propias sociedades. Elaine Showalter declara que la literatura escrita por mujeres se consideraba en ese entonces como subcultura no por ser inferior sino por ser oprimida (Camarero, 1992, pág. 130). La opresión según la escritora y poetisa catalana, Marta Pesarrodana, no era prohibir escribir a la mujer, sino que esa se debería a la falta de encontrar estudios críticos sobre la literatura escrita por mujeres. Así cita Carmen Gómez Camarero (1992) las palabras de un periodista tunecino que daba la razón por la falta de estudios críticos sobre la literatura femenina: "porque la crítica esencialmente masculina la ha dejado al margen durante mucho tiempo. Quizá ¡por misoginia!" (pág. 131). O a lo mejor el retraso ha sido originado por concretar el concepto de la literatura femenina, ya que la crítica árabe tuvo que discernir entre la literatura femenina (الأدب النسائي) y la literatura feminista (الأدب النسوي) (Abdullatif, 2017, pág. 368). Es relevante que una gran parte de la labor crítica subyace en el concepto del género al que pertenece la obra literaria porque cada género literario implica actitudes y criterios específicos de la crítica. Cabe decir a la vez que una de las tareas básicas de la crítica ante una obra literaria es buscar su mensaje, "disecciona el texto, atrapa el contenido escrito entre líneas y confronta el documento con el momento histórico en que fue escrito y con las diferentes épocas en que luego es leído" (Ruiz, 2018, pág. 85). Revelar la intención del autor o el mensaje de la obra cierra el camino la interpretación creativa de la crítica. Así es. Un crítico comparte al escritor en la creación del mensaje de su obra a través de su aportación analítica e interpretativa de su texto. Si el crítico piensa que no va a aportar nada nuevo en la interpretación de una obra literaria, quizá no tendrá interés de estudiarla. Tal como dijo Alonso Zamora Vicente (Citado por Villanueva, 2016): "Un crítico que no sea creador también pierde bastante el tiempo" (pág. 302). El escritor genio no facilita información sobre su escrito para dejar margen y oportunidad a que la revele la crítica. Con las ideas preestablecidas sobre una obra literaria se originan barreras que obstaculizan la labor intelectual de la crítica.

La literatura femenina como etiqueta mercantil

Para irnos de una forma más ordenada nos vemos obligados a separar los elementos constituyentes de una obra literaria como un acto comunicativo formado por tres elementos básicos: el emisor, que es el escritor; el receptor que es el lector; y el

mensaje que es, en este caso, la obra literaria. Se nota que los dos elementos que pueden calificarse con femenino o masculino son el escritor o el lector. Y esto nos pone ante una pregunta: ¿la literatura es femenina debido al género de su lector? La verdad es que algunos críticos suponen este planeamiento por el *marketing* editorial debido al hecho de que las mujeres representan el gran sector que compra libros y son “las grandes prescriptoras de lectura”, ya que las mujeres compran para leer, para regalar y para los hijos. Esto significa que las editoriales venden más si dirigen las campañas de *marketing* literario a las mujeres. (Muñiz)

La escritora española, Ana Lena Rivera Muñiz (Turrisa, 2022) señala que la categorización de los escritos femeninos ha sido meramente comercial asociando el término de la ‘literatura femenina’ con “aquellos escritos que son leídos mayoritariamente por mujeres”. Eso quiere decir que la separación de las obras partiendo de dicho criterio depende de los gustos sólo con base en factores de género relacionados con qué es aquello que se considera masculino o femenino. En este texto sobresale el crítico sirio Abdullah Abuhaif que supone que los términos de literatura femenina y feminismo parten de bases del análisis psicológico, puesto que aparecieron cuando Lacan replanteaba las teorías de Freud. Las perspectivas de la escritura femenina y el análisis psicológico han sido desarrolladas más tarde por Jacques Derrida, Helene Cixous, Julia Kreisteva y Luce Irigaray (Cfr. Guerra, 2007, págs. 43-75).

Muchos críticos árabes también aseguran que muchas obras que pertenecen a la literatura femenina últimamente buscan la fama y/o el dinero o compartir ambos propósitos por el escritor y la editorial. Atribuir totalmente la literatura femenina a objetivos mercantiles no es del todo justo, pero una parte de ella actualmente sí. De ahí, no dista de la realidad el crítico egipcio Ḥusayn Ḥammūda^{ht} (Ṣadā Al-balad, 2021) al decir: “la mala escritura, bajo la apariencia de “literatura de mujeres”, representa un fenómeno claro, que tiene la misma difusión que cualquier otro fenómeno”. En su opinión, son meramente casos individuales que con el paso del tiempo y la conciencia lectora, este tipo de obras, va para menos hasta desaparecerse. Sin negar los propósitos mercantiles dice el escritor y el poeta Yusrī Ḥasan (Ḥusnī & Bašīr, 2022) que no deberíamos generalizar este fenómeno, y si esto pasa bajo la etiqueta de la literatura femenina, suceden casos iguales con la literatura escrita por hombres. Es decir, las obras de baja calidad buscan cualquier etiqueta bien propagada bajo la cual podrán ser publicadas, especialmente con las nuevas tecnologías de telecomunicaciones con las cuales cualquiera puede realizar los trámites de publicación bajo la etiqueta que quiera sin control a través de las páginas web y las redes sociales. Pero este fenómeno no le es preocupante porque comparte con Ḥammūda^{ht} la conclusión de que al final se queda de dichas obras las que tienen valor. Esto es un caso común en casi todas las culturas, sobre todo, a través de unas agencias profesionales de realizar campañas de publicidad para productos literarios menos prestigiados. Casos que han sido científicamente estudiados por Paul Du Gay (1997) que “subraya que la representación, en general, y el lenguaje empleado por la publicidad, en particular, apelan no tanto a decisiones racionales y lo que entendemos por necesidades “reales”, sino que más bien operan en la fantasía y el deseo del consumidor” (Cambero, 2020, pág. 73), y por otra parte dice en este sentido Darío Villanueva (Del Aguila, 2022) sobre casos parecidos en la literatura española:

Sin embargo, esos textos, aunque se presenten con el rubro de «novelas», no tienen ninguna voluntad de trascendencia ni perdurabilidad. Simplemente, se limitan a contar una historia. Muchas veces, recurren a estrategias de tipo policial o de intriga. Son novelas que casi siempre comienzan con un asesinato para captar la atención del lector durante un cierto tiempo. Y, según

lo considero yo, son textos de usar y tirar. Son absolutamente fungibles. Una vez que han salido y han alcanzado éxito de ventas, desaparecen de los anaqueles de las librerías y, lo que es más grave, no vuelven a ser reeditados, y ya nadie se acuerda de ellos. Además, la industria proporciona inmediatamente otros textos que vienen a sustituir a esos. Y a estos textos sustitutorios les ocurrirá exactamente lo mismo que a los anteriores. (pág. 151)

Esta tendencia no se limita a la crítica masculina, sino que algunas críticas y escritoras no tardan en interpretar este fenómeno con el hecho de que el cambio de vida en las sociedades árabes se refleja en la vida literaria, cosa que hace que algunos pretendan alcanzar fama y prestigio social, y llenar el vacío -participando en encuentros y conferencias literarias- entrando a la fuerza en el mundo de la escritura para ganar premios, elecciones y una posición que da influencia, dinero, viajes, prestigio y arrogancia. Y comenta Kamilia ‘Abdulfattāh (Ḥusnī & Bašīr, 2022) que “tratar la literatura -el pensamiento y el arte- desde un punto de vista comercial y material, es la primera razón por la que prevalece el fenómeno de la mala escritura entre muchas mujeres -y también hombres- bajo el manto de la literatura”. Tanto Suhīr Al-muṣādqa^{ht} como Kamilia ‘Abdulfattāh, entre otros, hablan sobre el fenómeno desde una perspectiva social asegurando que los fines comerciales de parte de autores o editoriales no son específicos de la literatura escrita por mujeres, sino también por hombres aunque hacen hincapié en que “la vida literaria ha sido invadida por muchas mujeres que sufren de vacío, ya sea por haber llegado a cierta edad, o por el torbellino de su vida personal y sus problemas sociales” (Ḥusnī & Bašīr, 2022) teniendo en cuenta, que el *internet* como arma de doble filo; por una parte “se ha convertido en un espacio abierto donde las mujeres pueden hacer en público todo lo que tienen prohibido en una sociedad que les cierra las puertas a cal y canto” (Abdullatif, 2017, pág. 379), y por otra, se considera una puerta sin control ninguno para escritos de poca calidad y clasificaciones individuales subjetivas carentes de aprobación de la crítica literaria.

De hecho, algunas obras femeninas lograron gran valor por la crítica literaria, cuya creatividad artística fue innovadora y reconocida gracias a las cuales sus autoras se hicieron famosas, como Rashá ‘Adlī, Rīm Basyūnī, Nūr ‘Abdulmağīd, entre otras. Con este éxito podría atribuirse la etiqueta de literatura femenina a los gustos de los lectores, en el sentido de que a las mujeres les gusta un tipo de escritos y a los hombres les gusta un carácter determinado de obras. De ser así, hubiera existido la etiqueta de Literatura Masculina. Pero, según Muñiz, “no se habla de Literatura Masculina, por lo que entendemos que la etiqueta Femenina no se refiere a esto porque los gustos no son excluyentes, las mayorías no clasifican y la unanimidad en gustos no existe” (Muñiz). En este sentido cabe decir que Elaine Showalter (Awad, 1991, pág. 43) dividió la crítica de la literatura femenina en dos clases: la primera se ocupa de las mujeres como lectoras; y la segunda de las mujeres como escritoras o, según su propia terminología, crítica androcéntrica y ginocéntrica (Redondo, 2008, pág. 414). Resulta muy claro que las mujeres desde el punto de vista de la primera clase se consideran consumidoras de la literatura masculina, mientras que la segunda clase se ocupa del texto, la temática, la estructura, técnicas, etc., de las obras escritas por mujeres y se extiende hasta la psicología de la creatividad femenina. Y añade Yusuf Nour Awad (1991, pág. 43) que este tipo de crítica se amplía de día en día incluyendo más obras, pero insiste en que dicha crítica se centra más en la política feminista que en aspectos estéticos. Un rasgo relevante

en la primera novela feminista de los años 60, *Al-Bab Al-Maftuh*¹ 1960 (*La puerta abierta*), de Latifa al-Zayyt (1924-1996), novelista y militante del Partido Comunista Egipcio que no se consideraba de gran calidad desde un punto de vista de la crítica de aquel entonces. La obra de Al-zayaat refleja el mensaje subjetivo de su propia autora, ya que narra su propia experiencia en la lucha contra la sociedad patriarcal. Presenta la lucha de una mujer de la clase media por conseguir sus derechos y su propia personalidad. Según Mercedes del Amo (2014), la novela tenía como objetivo recuperar “los éxitos conseguidos en los años cincuenta, tras la Revolución de los Oficiales Libres (1952), en las reivindicaciones feministas (derechos políticos fundamentalmente)” (pág. 272).

A esta clase de obras siempre se le atribuye el matiz subjetivo y el desvalor creativo, como sucede con la producción literaria de la escritora egipcia Nawal al-Sa`dawi, (1931-2021), psiquiatra y novelista y una de las figuras feministas que lideraban la segunda ola del feminismo egipcio, cuyos escritos le ponían siempre en choque con las direcciones generales y las figuras sociales de la sociedad egipcia hasta el punto de ser encarcelada por romper tabúes de carácter tanto religioso como sexual. La visión clásica desde la cual escribía Nawal al-Sa`dawi hizo que se exiliara a Estados Unidos después de la disolución de la Asociación de Solidaridad con la Mujer Árabe al que dirigía, porque sus obras no solamente defendían a la mujer ni buscaban soluciones para su situación en Egipto, sino que atacaban fundamentos muy arraigados en la población egipcia tanto musulmana como cristiana.

La obra novelística de Nawal al-Sa`dawi perteneciente al feminismo, como *Mujer en punto cero*, pone en tela de juicio el valor creativo y estético de la novela feminista, puesto que el discurso narrativo prevalecía propagar sus ideas y principios vitales sin dedicarse a aspectos técnicos. A este mismo punto confirma Mercedes del Amo (2000):

Si literariamente esta obra tiene serias inconsistencias, desde el punto de vista del feminismo militante es valiente y muy clarificadora. Para Nawal al-Sa`dawi lo importante son las ideas que quiere destacar, aunque sufra la técnica narrativa, porque estamos ante una autora de ensayos novelados más que ante una novelista (pág. 40).

La obra de Al-Saadawy muestra un matiz de ataques a las jerarquías sociales y rebeldía contra los temas tabúes de la época, como la necesidad sexual de la mujer. Por su posición más radical “en su lucha por conseguir los derechos y la libertad de la mujer y a diferencia de su predecesora Latifa al-Zayyat, en sus novelas la lucha de la mujer no se dirige contra la sociedad, sino contra el mismo hombre” (Camarero, 1992, pág. 135). De ahí sus obras produjeron “gran controversia entre los críticos literarios que consideraban sus obras como panfletos políticos que como literatura” (Ibrahim al-Arris, 1988, citado por Camarero, 1992, pág. 135).

La dirección de la escritura de Al-Saadawy se aleja de la de Radwa Ashur que, según Mercedes del Amo (2000), aspiraba “a dar las razones de la caída de la civilización árabe en al- Andalus y a advertir a los lectores contra la repetición de los errores” (págs. 40-41) a través de su trilogía localizada en Al-Andalus (*Granada* (1994), *Morayma* (1995) y *El éxodo (al-Rahil* 1995). Se puede tomar el carácter de la obra de Ashur como modelo de la literatura escrita por mujeres que entraron en escenario literario a través de su producción literaria, no a través de ser mujer.

Por consiguiente, cuando se habla de la literatura femenina, hay que concretar el concepto si este término se refiere a la literatura escrita por mujeres, a la literatura

¹ El título de la novela se reconoce en fuentes españolas con la transliteración arriba mencionada. Lo mismo ocurre con los nombres siguientes: Latifa al-Zayyt, Nawal al-Sa`dawi y Radwa Ashur

dirigida a lectores femeninos por los temas tratados o a estas obras que defienden los derechos de la mujer y que suelen partir de ideología feminista. Pues, cada uno de los conceptos anteriormente mencionados estará sujeto a criterios y valores específicos de la crítica, en el sentido de que según el primer concepto los escritos no suelen abordar necesariamente temática femenina ni ser dirigidos a mujeres y, según el segundo y el tercer concepto, la autoría no debería limitarse a escritoras femeninas ni el tercer concepto les priva a los hombres la lectura de ese tipo de obras. Con todos los conceptos los lectores y los críticos tanto femeninos como masculinos dirán su palabra sobre la obra literaria si no es por ser destinatario, será por ser socio que comparte una comunidad social con el otro sexo. Tomo de prestado la hipótesis del novelista Jenn Díaz cuando atribuye todo el valor al texto artístico dejando aparte el sexo del autor. De no ser así cómo clasificamos las obras de los escritores el francés, Gustave Flaubert, y el ruso, León Tolstói, que penetraron en el universo de la mujer. Y sobre las obras del escritor austríaco, Stefan Zweig, concluye Díaz diciendo:

[...] si *Veinticuatro horas en la vida de una mujer* o *Cartas a una desconocida* hubieran sido escritos por una mujer, incluso habrían pasado por literatura rosa. Una cosa es la mirada femenina o masculina y otra el sexo del autor (Citado por Iglesia, 2016).

Es evidente que la ficción no debería quedarse desvinculada del contexto psicológico, político y social. Las intimidades son escritas, visibilizadas, cuestionadas, y la figura del «ángel del hogar» queda desarticulada. Sin embargo, surge un nuevo problema con otras formas de escritura fuera del campo literario. En su artículo «Feministas aguafiestas», Sara Ahmed afirma que las diferentes escrituras que repensaron la imagen de «el ángel del hogar», como esa forma de manifestar la infelicidad, tuvieron un resultado social contradictorio. Muchas mujeres realizaron una lectura de tipo lineal, según la cual leyendo o cuestionando los patrones establecidos, encontrarían «guiones de felicidad». Sin embargo, el feminismo y las narrativas repiensen las tareas y las desigualdades económicas en función del género, pero sin constituirse como nuevas recetas para la felicidad ni estableciéndose como imposiciones. Traen a la superficie esas «ideas ocultas» bajo los signos públicos de felicidad. En este sentido, una de las reacciones contemporáneas que se manifiesta en las redes sociales es la de la reivindicación del hogar «como elección». Una elección que supone una forma de nostalgia hacia un «pasado mejor». La afirmación «soy una ama de casa feliz» se constituye, actualmente, como una nueva forma de rebelión. Nuevas escrituras evocan aquella fantasía de felicidad que el feminismo habría venido a arruinar. Si Sara Ahmed pretende mostrar una opinión contra el feminismo, otras escritoras árabes oponen la existencia del término de literatura femenina, como Dalāl Ḥatim (‘Abbās, 2006), escritora siria, que anuncia que no hay literatura femenina y otra masculina, sino que hay literatura y talento, y reconoce que hay situaciones e historias en las que la mujer es más capaz de exteriorizar el interior de las mujeres, y que los hombres son más capaces de describir los casos pertinentes a los hombres, excluyendo modelos, como Yusuf Idris¹, que supieron adentrarse en mundos femeninos y explorar sus sentimientos íntimos. Adoptan la misma actitud de Dalāl Ḥatim Nadiá Ḥust, Hayfā’ Baytār, Magda^{ht} Ḥammūda^{ht} y Lubná Yasīn que declara a la hora de describir su última novela, *Rağul al-marāyá al-muhaššama^{ht}* (El hombre de los espejos rotos), (2019): “Este término es inaceptable para mí. Lo que quería

¹ Es un escritor egipcio cuyo nombre ha sido reconocido en fuentes españolas con la transliteración arriba mencionada.

enfaticar a través de mi novela es que nuestras sociedades han sido condenadas por lo que no está en ellas, distorsionando así el rostro de su generosidad"¹ (Al-Ahram, 2013). Yasīn no solamente rechaza el término sino que también renuncia la literatura feminista por tratar asuntos de los hombres en su antedicha novela al contrario de lo que anteriormente hacía en sus obras anteriores.

Al momento en que Dalāl Hātīm rechaza la clasificación de literatura femenina, insiste en que no se debería llevar lo que escribe una escritora a asuntos puramente femeninos, sino de la sociedad en que vive, ya que es parte de las preocupaciones generales, y se supone que no debemos limitar las preocupaciones en esta área solamente. Nadiā Hust, apoya esta opinión a través de negar la existencia de una escuela de literatura femenina en el mundo de la literatura, pero no descarta utilizar el término de literatura escrita por mujeres como “método de trabajo de la crítica si la evaluación es para estudiar ciertos rasgos en una realidad concreta y con condiciones claras” (‘Abbās, 2006). Él rechaza completamente el concepto de literatura femenina, y piensa que “repetir este concepto no significa añadir valor a las mujeres y elevar su estatus, sino disminuirlo y devolverlas al harén de la literatura femenina.

Magda^{ht} Hammūda^{ht} cree que este término no debería llevar connotaciones racistas ni separatista, sino sería una clase que agrupa todo lo que está escrito por mujeres y la existencia de la creación femenina. Hay que alejarse de aquel movimiento que adopta un punto de vista unilateral y alimenta la hostilidad entre hombres y mujeres (‘Abbās, 2006). Tras una breve exposición de las opiniones actuales sobre la literatura femenina y la interpretación de su concepto y función política y social se puede dar una respuesta a las preguntas al principio mencionadas:

- **Pregunta:** ¿se puede asegurar que la literatura no femenina será incapaz de cumplir con esta función?

- **Respuesta:** No se puede confirmarlo de una forma total, ya que hay casos que rompen la lógica. Pues, Yusuf Idris es un caso excepcional que pudo abordar casos extremos del alma femenina mientras que las novelas de masas populares no han podido acertar al volver otra vez con los temas de la novela femenina hasta siglos atrás donde se presentaban heroínas obsesionadas por encontrar una pareja o por sus contactos y *status* de las redes sociales.

- **Pregunta:** ¿Tienen la literatura femenina española y la árabe el mismo criterio clasificador?

- **Respuesta:** Hay un debate bastante largo acerca de la base del concepto en ambas culturas. A pesar de que se ha tratado desde varias perspectivas las opiniones de los críticos y escritores y escritoras españolas como hemos visto anteriormente tienen equivalentes en la cultura árabe.

- **Pregunta:** ¿Cuál es la base conceptual que dio lugar a este subgénero literario?

- **Respuesta:** Al principio era la búsqueda de la identidad femenina y tener voces femeninas encargadas de presentar a las mujeres con el fin de cambiar la imagen estereotipada de las mujeres de aquel entonces. Los asuntos de mujeres y el mundo lector femenino era otra base en la que subyacía el término de la literatura femenina. En cambio la literatura feminista radicaba en defender la igualdad y los derechos de la mujer. Esto es evidente tanto en la tradición literaria española como en la árabe.

- **Pregunta:** ¿No contradice el hecho de bautizar un género literario por separado con el principio de la igualdad y por lo tanto intensifica el carácter discriminatorio entre el género femenino y masculino?

¹ Traducción realizada por el investigador. El texto original árabe es: “ هذا المصطلح غير مقبول بالنسبة لي. ما أردت “تأكيد من خلال روايتي أن مجتمعاتنا أديننت بما هو ليس فيها، فتشوه وجه عطائها”

- **Respuesta:** Hay dos opiniones: una cree que sí, y confirma que la intención de clasificarlo lo pondría en un nivel inferior; y otra responde de una forma negativa e insiste en que la mujer tiene que seguir escribiendo desde su papel de mujer para hablar de sí misma y corregir las ideas preestablecidas por el régimen patriarcal.

Conclusiones

Tras un recorrido entre críticos y escritores y rastrear concepto y función del término en la literatura de ambas lenguas se puede llegar a las conclusiones siguientes:

- La escasez de la producción literaria de la mujer no debería llevarse a la responsabilidad/enemistad del hombre ni a considerarlo siempre implicado en esta cuestión, ya que dicha escasez podría devolverse a múltiples factores en cuya gran mayoría figura la propia mujer.
- La gran parte de quienes rechazan la clasificación de la literatura a base del sexo de su autor no niega la escritura femenina ni desvalora su aportación creativa y estilística, sino que apoya la categorización a partir del propio producto no del productor. Considera que en el terreno de la crítica lo que es permitido es poner la obra literaria en tela de juicio, no el género de su propio autor.
- Lo que se ha acordado tras un largo debate en Occidente y Oriente es que la literatura feminista se basa en los principios del movimiento feminista, y se refiere a cualquier obra literaria que se centre en la lucha de las mujeres por la igualdad y humanice a las mujeres en lugar de formularlas en una imagen estereotipada.
- La literatura femenina desde el punto de vista del género de su autor debería ser una etiqueta/clasificación comercial, no crítica ni literaria, a no ser que el concepto de la literatura femenina se base en la temática abordada o al sector de lectores, y, en este caso, bajo esta etiqueta escribirían no solamente escritoras sino también escritores.
- La promoción de la literatura escrita por mujeres no debería partir del odio, ataque o la enemistad del hombre porque en el mundo de la literatura lo que cuenta no es el propio escritor sino lo que éste presenta y aporta al arte y a los lectores.
- Cuando la crítica literaria va dirigida hacia un movimiento político o ideológico, como era el caso de la crítica femenina en Estados Unidos durante los años 70, atiende más a la imagen estereotipada y cultural de la mujer sin preocuparse por el valor estético de la obra artística, y esto contradice con el valor artístico de la obra literaria.
- La comparación del concepto y las características de la literatura femenina con su contraparte árabe nos llevó a descubrir muchos aspectos comunes de este género literario, teniendo en cuenta las diferentes dimensiones culturales y sociales de la cultura española y árabe.

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La natura umana nella tragedia di 'Delitto all'isola delle capre' di Ugo Betti

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Abstract: The present study analyzes the representation of human nature in "Delitto all'isola delle capre" (1948) by Ugo Betti. The aim of this article will be achieved through a critical and analytical study of the tragedy: to show the co-presence of Good and Evil, as essential entities in the Bettian man, who carries with him the condemnation of a sin and an existential guilt so much heavy as possible expiation. In fact, Betti's characters face their existence, characterized by the perennial conflict between the real and the ideal that is both aspired to and impossible to achieve, in a state of solitude and anguish that leads them to perform the lowest actions of human nature. However, it is in this scenario of humanity that the writer allows us to glimpse a glimmer of light for his characters, through a hope in religion which however points to a probable, and therefore not certain, way out in the world of the afterlife and not in earthly life because the Bettian God is a God who silently witnesses human decay.

Keywords: Good - Evil - guilt - anguish - resignation – religion

Abstract: Il presente studio analizza la rappresentazione della natura umana in 'Delitto all'isola delle capre' (1948) di Ugo Betti. Attraverso uno studio critico ed analitico della tragedia, verrà raggiunto lo scopo di tale articolo: mostrare la compresenza del Bene e del Male, come enti imprescindibili nell'uomo bettiano, il quale si porta dietro la condanna di un peccato e di una colpa esistenziale tanto pesante quanto di possibile espiazione. I personaggi bettiani infatti affrontano la loro esistenza, caratterizzata dal perenne conflitto tra il reale e l'ideale tanto aspirato, quanto impossibile da raggiungere, in uno stato di solitudine e di angoscia che li porta a compiere le azioni più infime della natura umana. Tuttavia, è in questo scenario dell'umanità che lo scrittore lascia intravedere uno spiraglio di lume per i suoi personaggi, attraverso una speranza nella religione che però punta ad una probabile, e dunque non certa, via d'uscita nel mondo dell'aldilà e non nella vita terrena perché il Dio bettiano è un Dio che assiste in silenzio al disfacimento umano.

Parole-chiave: Bene – Male – colpa - angoscia – rassegnazione - religione

Nel seguente articolo verrà analizzata la rappresentazione della natura umana attraverso lo studio della tragedia teatrale 'Delitto all'isola delle capre' (1948) di Ugo Betti.

La scelta del titolo, in particolar modo del termine 'tragedia' anziché 'dramma' si rifà alla scelta di marcare il carattere esistenziale della condizione umana, contenuto nell'opera dello scrittore. Alcuni critici¹ infatti hanno scelto di denominare lo scritto bettiano con il termine 'dramma' in quanto seppur iniziando male, l'opera ha un esito positivo: la morte della figura del seduttore delle donne, Angelo. Tuttavia, nell'epilogo dell'opera non vediamo che la tragedia dell'esistenza umana, del personaggio bettiano

¹ Vedi Sergio Torresani, *Il teatro italiano negli ultimi vent'anni (1945-1965)*, Gianni Mangiarotti Editore, Cremona, 1965, p. 59; Ruggero Jacobbi, *La 'pagina teatrale' di Ugo Betti*, in *Ugo Betti*, Bulzoni Editore, Roma, 1981, p. 55

che, come altri suoi confratelli, non si riconcilia, e non può in alcun modo riconciliarsi, con il mondo¹ perché tutti i personaggi bettiani sono colpevoli allo stesso modo.

L'opera, composta da tre atti, narra la vicenda di tre donne che vivono in una casa in rovina, circondata da una brughiera: Agata, la quale vi è giunta per prima assieme al marito, la figlia Silvia e la cognata Pia. Un giorno il marito di Agata è fuggito, senza dare più notizie di sé. A rompere ora questa solitudine ecco sopraggiungere Angelo: uno strano individuo, sfacciato, remissivo, furbo; una a una esse cadono in dominio del forestiero. La tragedia si consuma quando Angelo scende in un pozzo e la scala gli scivola; le donne potrebbero salvarlo gettandogli una corda, ma dapprima esitano, poi assistono agli sforzi disperati di lui, infine alla sua agonia. E quando Pia e Silvia si allontanano, Agata rimane ferma, come impietrita e desidera possedere l'uomo per l'eternità poiché egli ormai è tutto suo.

Risiede in quest'opera il nucleo forse più chiaro e rappresentativo della natura umana dell'intera opera teatrale dello scrittore. Nei personaggi bettiani vediamo apparire un dualismo antitetico caratterizzato dalla scoperta di aspirare al Bene e all'amore e alla consapevolezza della propria debolezza che non permette a queste auliche aspirazioni di realizzarsi.² La loro natura umana infatti è divisa tra il Bene e il Male, poiché in essi risiedono le due parti come enti imprescindibili ed allo stesso momento inconciliabili nel regno terreno quale è il mondo in cui vivono i personaggi. Si tratta di un contrasto tra il peso della colpevolezza derivante dalle azioni commesse (connessa dunque all'essenza esteriore dell'uomo) e l'attrazione per l'ideale limpido dei sentimenti a cui tende l'esistenza interiore dell'uomo. Un divario che il personaggio bettiano avverte in sé tra realtà e aspirazione³; si osservino le seguenti parole di Agata, ormai consapevole insieme alle altre donne della morte di Angelo:

Agata: ... Però non è dipeso da noi. Questa cosa...
doveva accadere. Ormai è accaduta.

Silvia (*tremando*): Mamma, tu lo sapevi. Tu potevi impedirlo...

Agata: (*come assorta*): No, non potevo.⁴

Il conflitto tra il reale, caratterizzato dalla colpevolezza della donna di aver assistito inerte alla morte dell'uomo nel pozzo, e l'ideale aspirato, dell'innocenza e del Bene, risulta evidente nelle parole della donna: ella non commette l'omicidio dell'uomo volontariamente, si tratta infatti di una caduta accidentale nel pozzo, quella di Angelo, ma il suo tradare nel soccorrere l'uomo rivela quella parte oscura della donna che lei stessa sembra rifiutare quando afferma che il tutto è accaduto senza dipendere dalla sua volontà. Eppure è stato l'istinto di sopravvivenza di Agata il motore principale, quello che ha azionato l'ingranaggio della morte di Angelo, la donna infatti decide di non gettare la corda nel pozzo all'uomo perché crede che questa sia l'unica via d'uscita all'imminente catastrofe che era in procinto di colpire le tre donne.

Il Male di cui parla lo scrittore nelle sue opere risulta essere come una presenza che incombe perennemente sui personaggi, è un qualcosa che colpisce l'intera condizione umana e non si tratta di un Male le cui origini sono da attribuire alla società e all'ambiente, dunque alla realtà esterna all'uomo, come il pensiero positivista filosofico dell'Ottocento affermava, ma piuttosto si tratta di un Male derivante dall'interno dell'uomo, dalla sua stessa indole. Una posizione questa che risulta molto affine a quella

¹ Gian Battista De Sanctis, *Senso della crisi in Ugo Betti*, in *Studi sul teatro*, Edizioni A. Longo, Ravenna, 1968, p. 233.

² Cfr, Sergio Torresani, *Op. Cit.*, p. 59.

³ Carla Apollonio, *La proposta drammaturgica del teatro di Ugo Betti*, in *Ugo Betti*, Istituto di studi pirandelliani, Bulzoni Editore, Roma, 1982, p. 17

⁴ Ugo Betti, *Delitto all'isola delle capre*, Cappelli Editore, Bologna, 1957, scena seconda, p. 1212.

di un altro importante letterato russo, Dostoevskij, e di cui Ugo Betti afferma di esserne stato influenzato nei suoi anni di formazione.¹ Il Male così diviene frutto di una libera scelta dell'uomo e non di un'imposizione derivante dall'esterno, esso inoltre non viene inteso come assenza di bene, ma un atto consapevole di rivolta e di rinnegamento nei confronti di una possibile positività; l'atto di Agata infatti è un atto chiaro e scelto, si tratta quindi di un atto negatore (poiché la donna nega la salvezza ad Angelo) e distruttore.

La vedova sceglie la distruzione, dimostrando che il male non rappresenta la debolezza e la fragilità, ma qualcosa di più potente e imponderabile, surrogato di una realtà e soprattutto di un'assoluta volontà di arbitrio, ne consegue che il male non può essere altro che il figlio della libertà, esattamente come sosteneva l'autore russo che Betti tanto ammirava². Per questo motivo la scelta tra bene e male spetta unicamente all'uomo, il quale è per forza chiamato a prendere posizione come se da lui dipendesse il suo stesso destino ed è proprio qui che risiede la tragedia della libertà, poiché la libertà per Agata e le altre due donne risiede nel non salvare Angelo³.

Lo scrittore, così, mostra la presenza del male come un qualcosa di insito nella più profonda e interiore natura dell'individuo, divenendo dunque una presenza costante che incombe ed aleggia sul mondo dei personaggi bettiani.

Ed è solamente in quest'ottica che risulta allora chiaro l'atteggiamento di quiete della donna dopo l'accaduto:

Agata (*con cupa veemenza*) Quante cose che non puoi sopportare. Fortunamente ci sono io per questo. E poi tra poco anche lui si calmerà, perché a un certo punto, quando le cose sono certe, si ridiventa tranquilli.

La madre si rivolge alla figlia sconvolta dal corpo in fin di vita dell'uomo nel pozzo con lo scopo di rassicurarla sul fatto che dopo che l'uomo avrà emesso l'ultimo respiro, l'intero ordine verrà ristabilito. Ciò che colpisce in queste parole è l'atteggiamento di quiete ed indifferente di Agata; l'atto depravato della donna sembra essere sfociato nel nulla perché ha ormai oltrepassato il punto di non ritorno, la donna rappresenta così il male che, dopo aver annientato ogni cosa che gli sta intorno, annienta anche se stessa in una fiammata di indifferenza.⁴ L'indifferenza porta il suo cuore a mutarsi in deserto arido e vuoto, esattamente come la terra in cui vive, rendendo così quest'ultima emblema della condizione esistenziale della donna e diviene simbolo di una morte che va oltre quella fisica, quella morte chiamata spirituale dal critico Toscano nel suo saggio *Il senso della vita e della morte nel dramma bettiano 'Delitto all'isola delle capre'*.⁵

In *Religione e teatro*, Betti fa delle riflessioni riguardanti il bisogno dell'uomo di assicurarsi determinate speranze nella religione⁶ e chiarisce il suo bisogno di rappresentare la vita in un teatro che fosse specchio della realtà, l'autore dunque non mira tanto la propria attenzione tanto sulla religione in sé, ma sul carattere religioso della vita, promuovendo così un'investigazione nella coscienza e nell'interno del suo personaggio. La tragedia di *'Delitto all'isola delle capre'* si risolve nella rappresentazione del peccato di cui è l'uomo

¹ Gaetana Marrone, *La sfida del giocatore bettiano: morale, divinità, mistero*, Annuali d'italianistica, Vol. 25, 2014, p. 326.

² Davide Orlandi, *Il male in Dostoevskij*, p. 32, consultato il 05 settembre 2022. <https://www.pensierofilosofico.it/articolo/Il-male-in-Dostoevskij/190/>

³ Sergio Torresani, op. cit., p. 88.

⁴ Cfr. Davide Orlandi, op. cit., p. 14.

⁵ Pasquale Toscano, *Il senso della vita e della morte nel dramma bettiano 'Delitto all'isola delle capre'*, in *Ugo Betti*, op. cit., p. 106.

⁶ Cfr. Gaetana Marrone, op. cit., p. 1.

il principale ed unico responsabile; ogni isante che passa aggroviglia la matassa, fonda la responsabilità: ormai non è più uno scherzo. Non si può salvare il giovane, lo si poteva prima¹:

Silvia: Sì. (*Un silenzio*) Mamma, ho un po' paura.

Agata: Sai bene che è uno scherzo.

[...]

Silvia: Mamma, non ha più parlato? (*Per la prima volta elle getta un'occhiata verso il pozzo*)

[...]

Pia: (*entrando e bisbigliando angosciosamente*) Non posso più sentirlo! Non dobbiamo tardare, è pericoloso. Buttategli la corda!

Agata: Buttagliela tu.²

Pia: io ho paura, sembra feroce, impazzito. Ho paura.

È attraverso queste brevi battute, fatte di pochissimi parole, che lo scrittore trasmette il senso di responsabilità per la colpa che da semplice 'scherzo' diviene un peccato mortale.

Si può affermare che il cuore dell'intera opera pulsa nella colpevolezza di Agata, dettata come ribadito in precedenza da un istinto di sopravvivenza, nel suo desiderio più oscuro di far morire Angelo; un desiderio questo che risiede nel pozzo più profondo dei sentimenti umani e sarà proprio il pozzo a fare da tomba all'uomo. Sempre Ugo Betti, in *Acque turbate*, si domanda attorno all'origine del male e del peccato:

“com'è possibile che io, non avendolo voluto (il male), debba esserne ugualmente responsabile? [...]

Come è stato permesso che il bene ed il male siano così simili, e ugualmente naturali alle cose?”³

Da queste parole emerge un sentimento di dubbio sul senso intero della vita, sembra quasi che sia la vita a costringere alla colpa, una colpa che incombe sempre come un peccato originale sui personaggi bettiani, un fagotto che essi si portano dietro, come un qualcosa di contratto, ancor prima di essere commesso, quasi fosse una condizione di nascita presente nell'uomo.

Questo stato di colpevolezza assume nella tragedia dell'autore dei tratti di istintività primordiale⁴, qui infatti sono presenti le passioni carnali che dominano l'animo delle tre donne, quasi in uno stato di selvatichezza, le quali sono travolte dalla fremente sensualità di Angelo; i caratteri della loro persona sembrano simili a quelli degli animali che abitano la loro isola. Ed infatti sono anche le capre un punto cruciale nell'opera bettiana, è infatti a causa loro che il terreno è brullo, non coltivato ed arido poiché esse brucano ogni cosa. La loro presenza nell'opera è misteriosa ed inquietante e anche quando si parla della possibile violenza che sarebbe scaturita dall'uomo, nel caso fosse riuscito ad uscire dal pozzo (*Vi mangio il cuore! Vi sbrano!*⁵), l'immagine delle capre ritorna nell'opera. Agata infatti sostiene che la morte di Angelo sarebbe dovuta accadere per ristabilire l'equilibrio e l'ordine che si erano persi, altrimenti l'uomo le avrebbe squartate il pelo come alle capre e le avrebbe sottomesse, a quattro gambe⁶. Questa simbiosi tra l'uomo e l'animale sembra riflettere per alcuni tratti le caratteristiche delle donne: elle vivono sole e bramano nel loro

¹ Giovanni Battista De Sanctis, *Betti tra favola e realismo*, in *Studi sul teatro*, Op. cit., p. 251.

² Ugo Betti, Op. cit., scena seconda, pp.1205-1208.

³ Elisa Ciofini, *La regale ingiustizia, ovvero il teatro di Ugo Betti*, Il rifugio dell'ircocervo, consultato il 03 settembre 2022. <https://ilrifugiodelircocervo.com/2021/07/02/la-regale-ingiustizia-ovvero-il-teatro-di-ugo-betti/>

⁴ Sergio Torresani, op. cit., p. 86.

⁵ Ugo Betti, Op. cit., scena seconda, p. 2110.

⁶ Cfr, Ivi, scena seconda, p.p. 1211-1212.

animo l'azione più infima dell'umanità, cioè quella di togliere la vita ad un altro essere, esattamente come le capre distruggono ed annientano tutto ciò che è linfa vitale nel terreno dove risiede l'abitazione delle donne.

A questo punto sorge spontaneo domandarsi quale risultato abbia apportato la ricerca bettiana nella ricerca e nella scoperta dell'animo umano: secondo Sergio Torresani, l'autore vede alla base di ogni errore umano, frammisto alla più perversa volontà, la presenza di una sconsolata desolazione, della miseria, della solitudine e dell'angoscia¹. Lo scrittore indaga in modo spietato l'animo umano dei suoi personaggi, addentrandosi anche nei loro pensieri più inconfessabili, conducendo così un'inchiesta che ricorda molto quella pirandelliana, ma che si differenzia da quest'ultima per quanto concerne il risvolto delle vicende: Betti fa in modo che il suo personaggio si confessi attraverso uno stato di perenne e tragica sensazione di sgomento che lo accompagna per tutta l'opera, una specie di malinconia esistenziale² che si traduce in un dolore implacabile che sovrasta l'uomo, abbandonato in una specie di spazio nero che è la sua esistenza.

Ne risulta una perenne sensazione di angoscia nei personaggi bettiani, la cui esistenza è caratterizzata da un'angoscia perenne, o meglio da un'angosciata solitudine; essi sono soli, individualmente responsabili, nella loro battaglia terrena per la libertà della colpa. De Sanctis, in *Betti tra favola e realismo*, afferma che le azioni dei personaggi del drammaturgo fanno sì che ognuna di quelle figure abbia la propria crisi, che la fa scendere dal piedistallo³, esse cioè sono colpite tutte, nessuna esclusa, da una crisi o una colpa, la quale non può che distruggere qualunque forma di eroismo nell'opera teatrale. Si tratta quindi di figure anti-eroiche, quelle predilette dallo scrittore, le quali sembrano gettate nel mondo ed abbandonate al loro destino.

Le figure bettiane sembrano rispecchiare il concetto tanto caro a Schopenhauer della vita intesa come dolore⁴ e vivono un'esistenza caratterizzata da un sentimento di sgomento e di angoscia che nasce nel momento in cui l'uomo è consapevole della possibilità della libertà. Questa 'vertigine', scaturita dalla consapevolezza della libertà di poter scegliere e dunque di agire⁵, provoca in Agata la presa di coscienza del fatto che tutto è possibile, ma quando tutto è possibile, è come se nulla fosse possibile; leggendo le poche, ma incisive parole della donna sopraccitate [Silvia (*tremando*): Mamma, tu lo sapevi. Tu potevi impedirlo.../ Agata: (*come assorta*): No, non potevo.], si comprende così il sentimento di angoscia e di consapevolezza avvertito da Agata di non poter fare nulla.

L'angoscia diviene per i personaggi bettiani un'esperienza intrinseca ed inevitabile nell'esistenza umana, che viene vissuta sotto la terribile ombra di una costante solitudine, rappresentata nell'opera, in primis nella casa in cui vivono le donne, per scelta di Agata, la quale vi si era trasferita la donna per sfuggire al mondo della città:

Agata: Fui io [...] Gli (al marito) proposi... – io avevo un po' di denaro – gli proposi di lasciare tutto: la città, i compromessi: una rivincita contro il mondo⁶.

La solitudine in cui vivono le donne sembra bloccarle dal poter proseguire o prendere azione per le questioni che riguradano la loro esistenza: Silvia vorrebbe ripartire e riprendere gli studi che aveva abbandonato, ma non riesce ad andarsene dalla casa, vorrebbe partire, ma poi ritorna:

¹ Sergio Torresani, op. cit., p. 58

² Gaetana Marrone, *Poesia Domus Mundi in Ugo Betti*, Sage Journals, Vol. 43, consultato il 28 settembre 2022. <https://journals.sagepub.com/doi/abs/10.1177/001458580904300104p.83>

³ Giovanni Battista De Sanctis, op. cit., p. 35.

⁴ Gianluca Mariotti, *La crisi delle certezze dell'uomo tra il 1800-1900*, p. 4, consultato il 24 settembre 2022. http://didattica1.weebly.com/uploads/1/9/1/7/19170051/g_mariotti.pdf

⁵ Cfr, Kirkegaard S., *Il concetto dell'angoscia. La malattia mortale*, Sansoni Editore, Firenze, 1965, p. 179.

⁶ Ugo Betti, Op. cit., scena quarta, p. 1173.

Angelo: cioè la nostra cara non partirà: né questa sera né mai. Edoardo viene: e torna via solo, il vecchiccio. Silvia rimane qui, buona, calma. (*Una pausa*) Noi quattro¹.

Agata, Silvia e Pia rimangono nella loro solitudine esistenziale, arrivando persino a mutare nel loro aspetto fisico (come nel caso di Pia), per tutta la tragedia, e sarà solo nel momento in cui si sarà consumato l'intero peccato che Silvia e Pia decideranno di fuggire e di abbandonare la casa desolata. Così, dopo la caduta di Angelo, nel suo ultimo disperato tentativo di arrampicarsi per risalire dal pozzo, sarà Agata l'unico personaggio a rimanere nella casa e sulla scena, diventando così emblema di un'esistenza solitaria, ma necessaria, quasi di una colpa da espiare, in attesa della catastrofe finale:

Agata: [...] e ora occorre che qualcuno, qui, resti quieto e pensi. È un ingrato compito, lo prendo su di me. (*Travolta un attimo*) Credete che anche io non tremi? (*Vincendosi e bisbigliando*) [...]. La casa e il pozzo non tarderanno a crollare².

Agata decide di rimanere quasi per ricercare il riscatto dal peccato commesso, per espiare la propria colpa. Eppure, quando la donna, decide di lanciare la corda nel pozzo ad Angelo, dopo la partenza di Silvia e Pia, quasi ad essere forse più giusta con l'uomo, abbiamo un atto 'benevolo' arrivato ormai troppo tardi e allora viene da domandarsi perché la donna abbia deciso di essere più giusta con un Angelo ormai morto invece che vivo. Forse perché come affermava il francese e saggista e romanziere Albert Camus, verso i morti non ci sono obblighi, ci lasciano liberi e possiamo scegliere noi il momento³, il momento nel quale intervenire.

Di fronte al disfacimento dell'esistenza umana rappresentata nell'opera bettiana risulta inevitabile ricercare la presenza di Dio nella tragedia umana. Dio diviene presente negli scritti dell'autore, ma non si tratta di un principio operante nella vita umana; egli osserva da lontano la tragedia umana e non interviene, abbandonando così l'uomo (nel nostro caso il personaggio di Agata) a se stesso, al caos che è l'esistenza, e portando quest'ultimo a ristabilire l'ordine.

Si tratta di un Dio, quello bettiano, che arriva dopo il disfacimento dell'uomo che non previene i flagelli che colpiscono l'esistenza umana, un Dio che, secondo Giorgio Fontanelli, arriva dove ormai è deserto⁴. La Provvidenza divina fa sempre da sfondo all'opera bettiana; Dio, seppur in silenzio, è presente:

Angelo: [...] Nasce il peccato, è vero; ribolle il nero lievito della terra. Io stesso sono un grandissimo peccatore, il nero lievito della terra mi chiama verso la donna più e più volte in un solo giorno; [...] è stato proprio, l'Ente creatore a creare il mondo della materia per compiacere l'anima eterna, la quale voleva desiderare e amare, e le occorreva un oggetto. E il peccato, che è? Il mezzo con cui viene saziato e così vinto, quest'innamoramento dell'anima. [...] Ma questo è certo: che la nostra salvezza è nel peccato⁵.

Angelo, un nome questo non causale, quello scelto dal dramaturgo, ricorda la figura del diavolo, l'angelo decaduto dalle sfere celesti per aver voluto equipararsi a Dio. L'uomo dialoga con le donne per quanto riguarda il concetto del peccato e afferma che è in esso che risiede la salvezza, ed è in questo passo che appare quel barlume di luce che Ugo Betti lascia ai suoi personaggi, essi, cioè, possono sperare in una salvezza ultraterrena che derivi dall'espiazione del peccato commesso sulla terra, apportando così una via d'uscita, una

¹ Ivi, scena settima, p. 1199-1200

² Ivi, atto III, scena seconda, p.1212.

³ Fabio Ciriachi, Considerazioni di un nauseato, in *Esistenzialismo (Kasparhauser)*, n. 7, 2014, p. 65.

⁴ Giorgio Fontanelli, *Il teatro di Ugo Betti*, Bulzoni Editore, Roma, 1985, p. 90.

⁵ Ugo Betti, op. cit., scena terza, p. 1170.

salvezza¹, a quelle figure tanto tormentate. Non a caso il critico Pasquale Tuscano afferma che il pozzo è il quinto personaggio dell'opera, una figura muta ed emblematica, presente sempre sulla scena come un personaggio fisso²; esso sarà il motivo salvifico del destino della donna, in esso risiede il peccato di Agata di aver lasciato morire Angelo e in esso risiede la salvezza e la catarsi della donna.

Dunque, l'opera bettiana non è che la rappresentazione della tragedia umana, intesa come derivante dal conflitto interiore tra l'essenza esteriore e quella interiore dell'uomo. Nell'uomo risulta risiedere così quella che è per lo scrittore la vera tragedia della libertà: il Male, in quanto inteso come atto di libera scelta e di fronte al quale il Dio bettiano rimane in silenzio.

Inevitabile così è stato il rimando alla colpevolezza umana, la quale viene descritta, nell'opera dello scrittore, come una condanna che incombe su tutti i personaggi bettiani, nessuno escluso, fino a sfociare in tratti distruttori e animaleschi, esattamente come quelli caratterizzanti le capre, da qui risulta più che mai giustificata la scelta del drammaturgo di porre nel titolo dell'opera, quasi come protagonisti, le capre.

¹ Carla Apollonio, op. cit., p. 23.

² Pasquale Tuscano, op. cit., p. 106.

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**Fantasie in Hans Dominiks Roman, „Der Brand der Cheopspyramide“ (1926)
zwischen Science Fiktion und Erinnerungskultur**

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Abstract: The novel "The Fire in the Pyramid of Cheops" (1926) by German writer Hans Dominik between science fiction and cultural memory. The research deals with the novel "The Fire in the Pyramid of Cheops" by German writer Hans Dominik, who is considered in German literature as one of the most important pioneers of literature of future novels. That novel was written in 1926 and Dominik imagines the struggle of three global powers in order to obtain the secret of atomic energy, namely Europe, the United States and the Kingdom Islamic fundamentally represented in the kingdom of Caliph Abd al-Rahman in Andalusia. When the novel was published, atomic energy had not yet been discovered, and the position of Muslims on the map of world powers - after the fall of the Ottoman Caliphate - did not indicate the possibility that Muslims would be employed as one of the scientific and civilized forces in conflict in order to obtain atomic energy. And the novel, in its weaving of this conflict within the event of the novel, nourishes its imaginary tributaries of the concept of cultural memory, where Dominik adopts German European cultural memory and using the anachrony in the narrative construction of this conflict to obtain the weapon of the future.

Keywords: narratology; fantasy; culture of remembrance; anachrony

Abstrakt: Fantasie in Hans Dominiks Roman „Der Brand der Cheopspyramide“ (1926) zwischen Science-Fiction und Erinnerungskultur. Der Beitrag befasst sich mit der Fantasie im Roman „Der Brand der Cheops-Pyramide“ des deutschen Erfolgsautors Hans Dominik, der in der deutschen Literatur als einer der wichtigsten Wegbereiter der sogenannten Zukunftsromane gilt. Dieser Roman, in dem der Wettstreit dreier Weltmächte zur Erlangung des Geheimnisses der Atomenergie, nämlich Europa, der USA und des islamitischen Reiches des Kalifen Abd Rahman in Andalusien, dargestellt wird, wurde 1926 geschrieben. Damals war die Atomenergie noch nicht entdeckt worden. Aber auch die Position der Muslime auf der weltpolitischen Landkarte nach dem Untergang des osmanischen Kalifats durch Ausrufung der Republik Türkei im Jahre 1923 – geben keinen narrativen Anlass, die Muslime als narrative Mittstreiter um die Atomenergie in die Handlung einzufügen. Die Fantasie, wie sie Dominik im Roman darstellt, lebt neben der Science-Fiction von weiteren kulturellen Quellen des kulturellen Gedächtnisses, für das Dominik, sowohl deutsche als auch gesamteuropäische Erinnerungsorte in der narrativen Anlage des Wettstreits um die „Zukunftswaffe“ einsetzt.

Schlüsselwörter: Erzählforschung – Erinnerungsorte – Anachronie

Hans Dominik (geb. 1872 in Zwickau – gest. 1945 in Berlin), gelernter Elektrotechniker, begann seine literarische Tätigkeit als Science-Fiction-Autor mit „technischen Märchen“

(Päch, 1977, p. 246)¹. Sie kamen später in Form von Bestseller-Science-Fiction-Romanen und Sachbüchern zur vollen Geltung. Die Idee, „technische Märchen“ (Dominik, 1942, p. 26, 114) zu schreiben, entstand unter dem Einfluss des eigenen Vaters. Auch als Wissenschaftsjournalist war Dominik für mehrere Zeitungen tätig. Dominik gehört zu den bedeutendsten deutschsprachigen Vertretern der sog. Zukunftsliteratur. Ab 1904 war er selbständiger Ingenieur und Schriftsteller. Auf dem Gebiet des fantastischen Zukunftsromans gilt er als einer der Großen dieses Genres.

Fantasie als narrative Textstruktur, die unterschiedlichen Texttypen und -sorten und Kunstrichtungen angehören kann, ist griechischer Etymologie und bedeutet so viel wie „Vorstellung“, „Einbildung“ und „Erscheinung“ (Kluge, 2011, p. 277). Mit diesen drei Wörtern ist das Wesen der Fantasie skizziert: Vor den Augen des Betrachters erscheint etwas, das sich im Innern bildet und sich als wahr vorstellen will:

Fantasie ist – um mit Bernhard Rank zu sprechen – in erkenntnisphilosophischer Hinsicht jenes kognitive Vermögen, sich einen Gegenstand auch ohne dessen direkte Präsenz vorstellen zu können. (Rank, 2006, p. 11)

Kennzeichen jedes Fantastischen ist, dass das Kausalitätsprinzip von Raum und Zeit in eine Gegenwelt transformiert ist (Herstatt, 2015, p. 154), die als fiktive Wirklichkeit des Fantastischen narrativ bestehen bleiben kann, wenn sein Wirklichkeitsstatus durch glaubhafte Narration für den Leser nicht in Frage gestellt wird. (vgl. Wunsch, 1997, p. 262). Eine solche narrative Glaubhaftigkeit kann zustande kommen, wenn im literarischen Text Elemente des Fantastischen so miteinander verknüpft werden, dass sie von unserer gegenwärtigen Wirklichkeit abweichen und gleichzeitig eine Ersatzwirklichkeit schaffen, die die empirische Gegenwartsfremdheit und Wirklichkeitsferne als zwei Voraussetzungen fantastischen Erzählens mit neuer Fantasiekraft füllt. Diese neue Wirklichkeit des Fantastischen lebt in Hans Dominiks Roman „Der Brand der Cheopspyramide“ von zwei Aspekten: Science-Fiction und Erinnerungskultur.

Science-Fiction

Erstdruck des Romans erschien 1925/26 beim Scherl-Verlag in Berlin. In einer 2017 beim Mosaik Verlag erschienen neueren Ausgabe des Romans wird das Buch als „Sci-Fi-Roman“ titulierte mit dem Zusatz „Gefahr der Atomzertrümmerung“.² Science-Fiction (wörtlich: wissenschaftliche Dichtung) hat sich zuerst in den USA in den 30er Jahren gegen andere Bezeichnungen durchgesetzt und löste in den 1950er Jahren in Deutschland andere ältere Bezeichnungen wie ›technischer Zukunftsroman‹, ›technische Utopie‹ u. ähnliche größtenteils ab. (Nagl, 1998, p. 26396)

Science-Fiction lebt somit von einer noch nicht erfüllten Zukunft, indem das narrative Geschehen vor allem Erfindungen dominieren, die in der Realzeit noch nicht existieren. Somit wird die Fantasie beschwichtigt, indem der Leser seine Weltanschauung gegenüber dem Möglichen und scheinbar Unmöglichen überdenkt.

Von der Fantasy und der Horrorliteratur als andere Formen der fantastischen Literatur unterscheidet sich die Science-Fiction durch ihre „rationale oder pseudorationale Begründung ihrer phantastischen Inhalte.“ (Nagl, 1998, ebd.) Um die narrativ geschaffene neue Wirklichkeit glaubhaft zu gestalten, soll das Fantastische dieser Wirklichkeit in anderen Welten oder Zeiten – vor allem in der Zukunft – als rational denkbare Möglichkeit eingesetzt werden. (Vgl. Nagl, ebd.)

¹ Dort auch ausführliche biografische Informationen über Hans Dominik.

² Zitiert wird hier jedoch nach der unzensurierten Originalfassung von Null Papier Verlag aus dem Jahr 2019, die hier durch „Brand+Seitenzahl“ abgekürzt wird.

Was sich als Science-Fiction in diesem Roman erweist, lässt sich in den folgenden Zeilen zusammenfassen. Der Roman beginnt mit einem "schwarzen Donnerstag" (Brand, p. 115), dem Todestag Elias Montgomerys, des großen englischen Erfinders., den "kaum ein Bewohner der zivilisierten Welt [...] nicht kannte" (ebd., p. 13), um den sich "schon bei seinen Lebzeiten ein Sagenkreis" bildete (ebd.), „dem es gelungen ist, das Problem der Atomenergie zu lösen.“ (Ebd.)

Es gelingt dem Kalifen Abdurrhman, durch die Hilfe seiner Verbündeten und späteren Geliebten, der in London lebenden russischangehörigen Baronin Jolanthe von Karsküll, den Wunderapparat Montgomerys in seine Gewalt zu bringen. Er beauftragt alsdann den berühmten Physiker Ibn Ezer, der an der Universität in Kairo tätig ist, das Rätsel des Apparats zu lösen. (Ebd., p. 468) Nach dem Tod des Engländers Montgomery haben nun die Deutschen, vertreten durch die Riggers-Werke, auf dem Gebiet der Atomenergie wieder die Führungsposition. (Brand, p. 70) In Deutschland hat man „viele Jahre hindurch Millionen in die Aufgabe gesteckt, das Problem der Atomenergie zu ergründen“. (Ebd.)

Zur gleichen Zeit versuchen die Amerikaner ein Experiment zur Erprobung der Macht der Atomenergie. Aber „jetzt war es für jeden Fachmann klar, daß es viele Millionen und lange Arbeit kosten würde, um die verhängnisvollen Folgen dieses Experimentes zu beseitigen“ (Brand, p. 145).

Europa gelingt es aber inzwischen, durch die Hand des Deutschen Friedrich Eisenecker eine tödliche Waffe herzustellen, welche sich der Technik der Atomenergie bedient. Dieser Eisenecker hat als jahrelanger Mitarbeiter der deutschen Riggers-Werke auf der fiktiven Nordseeinsel Warnum an der Gewinnung der Atomenergie gearbeitet.

Zwar gelang es Eisenecker zwar schon vorher, das traditionsträchtige Motiv jedes Alchemisten in die Tat zu umsetzen, und zwar Gold in seinem Privatlaboratorium zu gewinnen: „Der Jahrhunderte alte Traum der Alchimisten wäre also in Erfüllung gegangen“ (Brand, p. 67). Denn Gold verleiht, wie sich Alchemisten immer vorstellten, seinem Besitzer nicht nur Veredelung, sondern auch ewiges Leben. Diese Vorstellung assoziiert Gold mit der Sonne. Da das Gold als Materie das Unendliche, Ewige und das Göttliche darstelle, sei der Kreis, wie die Sonne, der Sinnbild von Gold (Vgl. Bachmann und Hofmeier, 2000, p. 11), welches „feuerbeständig, sehr schwer, von ungetrübter Leuchtkraft und schon seit Jahrtausenden mit dem Göttlichen eng verbunden ist“ (Ebd.) Das mag erklären, warum die Ägypter die Leiber ihrer Götter aus Gold gestalteten. (Ebd.)

Was Eisenecker zu erreichen versucht, ist jedoch etwas, „welches das Gold wertlos machen [muss]“ (Brand, p. 34). Das Gold an sich ist nicht das eigentliche Ziel Eiseneckers, denn Gold zu gewinnen, ist lediglich der Zweck zu etwas Höherem, nämlich der Gewinnung der Atomenergie, genauso wie das Endziel der Alchemisten nicht darin besteht, Gold herzustellen, weil es ein Mittel dazu, etwas Höheres zu erreichen, nämlich dem Stein der Weisen, der jemanden dazu ermöglichen soll, Vollkommenheit zu erreichen. Der Apparat von Montgomery, wodurch Atomenergie hergestellt werden soll, übernimmt der alchemistischen Symbolik entsprechend, die Funktion des Lapis philosophorum, des Steins der Weisen, der die Wandlungssubstanz darstellt, welche „unedle Metalle in edle transmutiert“ (Schütt, 2000, p. 44) und dessen Besitzer die ewige Glückseligkeit und Vollkommenheit beschert, weil er weder rostet noch fault, sich nicht verflüchtigt und sich nicht verändert und nicht altert. (Ebd., 2000, p. 59 und 65).

Die Europäer, nachdem sie nun eine bessere tödliche Waffe in der Hand besessen haben, stellen ein Ultimatum an den Kalifen Abdurrhman, um Spanien zu verlassen. Die Europäer wissen aber nicht, dass der Kalif Abdurrhman das Geheimnis dieses Wunderapparats durch den ägyptischen Wissenschaftler Ibn Izer habe lösen lassen

können. Es bleibt dabei nicht, denn dieser habe zwölf weitere Apparate herstellen können, welche dazu ausreichen würden, ganz Europa zu zerstören, wie Baronin Jolanthe meint:

Bis dahin würde der Anschein entstehen, dass es sich hier um ein Gleichgewicht des Schreckens entgegengesetzter politischer und kultureller Kräfte handle, denn Europa braucht das Rätsel des Apparats zu lösen, um die iberische Halbinsel für Europa von den Mauren zurückzugewinnen, die schon seit fünf Jahren auf der iberischen Halbinsel als Sieger sind. (Brand, p. 170).

Von der Atomzertrümmerung sowie von der Atomenergie als Zukunftserfindung und deren Gebrauch für friedliche und auch militärische Zwecke wusste man im Jahr 1926, als Hans Dominik seinen Roman „Der Brand der Cheopspyramide“ schrieb, noch nichts Konkretisiertes. Erst Mitte November 1942 gelang es Enrico Fermi mit seinem Mitarbeiterteam den ersten Versuchs-Kernreaktor zu konstruieren. Mit dem Chicago Pile No.1 (CP-1) ist es gelungen, die erste kontrollierte Kettenreaktion in Gang zu setzen. (Vgl. Cooper, 1989, p. 60).

„Eine neue Welt sollte sie [diese neue Energiequelle] bringen... ein Paradies auf Erden, den Beginn eines neuen Zeitalters. Das Ende der Kohlenzeit... neues Leben, neue Lebensmöglichkeiten, den Beginn einer neuen Wirtschaft. Möglichkeiten, die das Auge blendeten, Möglichkeiten, die die kühnste Phantasie übertrafen“ (Brand, p. 17f.)

Über Zukunftserfindungen hinaus treten ebenso Zukunftsvorstellungen und politische zukunftsweisende Konzeptionen auf. Hauptthema ist dabei das zersplitterte „altersschwache (Brand, p. 178) morsche Europa“ (Brand, p. 26), das „selbst die letzte, größte Schmach, die Besetzung Spaniens bis zu den Pyrenäen durch das mauretanische Reich, es nicht vermocht [hat], diesen Staatenklüngel zu sprengen, die europäischen Staatsmänner zu europäischem Denken zu erziehen.“ (Brand, p. 25). Die Uneinigkeit Europas wird beklagt:

„Aber da haben wir wieder einmal das jämmerliche Schauspiel der europäischen Uneinigkeit, der Eifersüchteleien kleinlicher Köpfe. Der Gedanke, daß es sich heut bei den politischen Weltkonstellationen nicht mehr um England oder Deutschland oder irgendeinen anderen Teil des europäischen Staatenbundes dreht, sondern nur noch um Europa auf der einen, die anderen Weltteile auf der anderen Seite. (Brand, p. 25)

Diese heute als Selbstverständlichkeit der europäischen Politik angesehene Einigkeit Europas ist trotz „Hoffnungen auf die Gründung des europäischen Zollverbandes“, „der alle Industrien Europas zu einem einzigen mächtigen Block verschmelzen sollte“ (Brand, p. 26) leider immer noch so vielen fremd geblieben“ (Brand, p. 25). Bemerkenswert, dass eine europäische Zollunion erst fast vierzig Jahre nach dem Erscheinen des Romans, nämlich am 1.7.1968 vereinbart worden ist, „zunächst unter den ursprünglichen EWG-Mitgliedstaaten (Belgien, Deutschland, Frankreich, Italien, Luxemburg, Niederlande) [...], 1973 auf Großbritannien, Dänemark und Irland, 1981 auf Griechenland, 1986 auf Spanien und Portugal und schließlich 1995 auf Finnland, Österreich und Schweden ausgedehnt.“ (Alpmann, 2004, Stichwort: Zollunion).

Zukunftserfindungen

In diesem Roman aus dem Jahr 1926 ist vom „Helikopterflieger in Spähkörben“ (Brand, p. 14) zu lesen, der in späteren Ausgaben des Romans durch den später erfundenen „Hubschrauber“ ersetzt worden ist. Bekanntlich wurde der erste wirklich flugfähige Hubschrauber von L. Bréguet und R. Dorand konstruiert. Der Erstflug des sogenannten Gyroplane-Laboratoire, des ersten, praktisch einsetzbaren Hubschraubers der Welt, erfolgte im Jahr 1935. Die Flugleistung wurde jedoch wenig später durch eine Konstruktion von H. Focke weit übertroffen (Focke-Wulf Fw 61; Erstflug 1936; bereits

1937 Höhenrekord über 2400 m). (Brockhaus, 2004, Stichwort: Hubschrauber) Diese neue Schreibform in den späteren Ausgaben des Romans trägt dem Fantastischen im Roman leider nicht genügend Rechnung.

Auch im Roman ist von der ›Potomac‹, dem großen Transatlantikschiiff zu lesen, das auf dem Fluge nach Amerika war. (Brand, p. 112). Die Maschine überflog „das Eismeer zwischen Island und Grönland“ (Brand, p. 121) in einer Fahrzeit von genau vierundzwanzig Stunden von Hamburg bis hin zu den Niagarafällen (Brand, p. 112).

Erinnerungskultur als Fantasiemittel

Der zweite Kunstgriff zur Erzeugung des Fantastischen im Roman ist der Einsatz von Erinnerungskultur und Erinnerungsorten. Fantasie, deren zentrale Bestandteile Gedächtnis und Erinnerung sind (Huber, 2018, p. 94), ist eine Grundeigenschaft jeder Erinnerungskultur. In Erinnerungsorten vermischen sich nämlich individuelles Gedächtnis mit familiärem, mit kollektiven, mit sozialem, mit nationalem bis hin zu einem gesamten kulturellen Gedächtnis. In jeder Art von diesen Gedächtnissen gibt es imaginäre Freiräume für eigene Interpretationen, denn „ein Erinnerungsort erhält seine Bedeutung u.a. durch den sich immer neu formierenden realen, sozialen, politischen, kulturellen oder imaginären Raum, in dem er steht.“ (Leonhard, 2002, p. 35). In den Köpfen und Seelen, in der Fantasie „kann sich neu ereignen, was abgeschlossen und erledigt schien.“ (Brummer, 2010, p. 614). Je weiter ein Erinnerungsort transgenerationell ist, desto freier werden diese Fantasieräume. In diesem Roman tritt eine Reihe von Erinnerungsorten als Mittel zur Erzeugung von Fantasie hervor.

Dabei wird das Fantastische mit der historischen Realität so verwoben, dass der Fiktionalität des Fantastischen keinen Abbruch getan würde. So ist der Kalif Abdurrrhman, wie er im Roman dargestellt wird, ein Nachkomme jener muslimischen Herrscher, die gerecht regierten und Toleranz gegenüber einheimischen christlichen und jüdischen Einheimischen zeigten, was allgemein der historischen Realität entspricht¹:

Dieser kluge Abdurrrhman vermeidet alles, was auch nur den Anschein einer Bedrückung erwecken könnte. Unsere religiösen Einrichtungen und Sitten, unsere bürgerlichen Gebräuche, Spiele und Feste, alles wie früher! Jeder kann unbehindert seinen Geschäften nachgehen. Auch die Steuern nicht höher als früher, nur mit dem Unterschied, daß sie jetzt in maurische Kassen fließen. Strengste Manneszucht der Truppen. Größte Zurückhaltung des Militärs im öffentlichen Leben. Das ist ja die teuflisch schlaue Politik des Kalifen, alles zu vermeiden, was Unzufriedenheit erregen könnte. (Brand, p. 185 f.)

A. Alchemie als Erinnerungsort

Der Roman, dessen Hauptfigur der Kalif Abdurrrhman sich zum Vollender der Alchemie entwickelt, weist einen alchemistischen Aufbau auf. Alchemie, in der das Gold seit jeher ein Symbol für das exklusive Mittel zur Erfüllung vieler fantastischen Träumereien das Hauptmotiv darstellt und nicht das Endziel, sondern eigentlich ein Mittel zu grenzenlosem Höherem ist, besitzt nicht nur in der Literatur, sondern auch im **kollektiven Weltkulturgedächtnis** Europas ihren Ehrenplatz: „Unbestritten ist [...], dass die Alchemie ein wesentliches Kapitel europäischer und islamischer (übrigens auch indischer und chinesischer) Kulturgeschichte gewesen ist.“ (Schmieder, 2005, p. 13). Die Alchemie als Erinnerungsort der Weltkultur schafft eine imaginäre Welt, die eine neue fiktive Realität erzeugt, welche sich einerseits mit der tatsächlichen auseinandersetzt und neue Realität durch Transmutation als Hauptmotiv der Alchemie, sowohl die materielle als auch die des Geistes, zumindest imaginär anzulegen versucht. In diesem Roman ist

¹ Zu den verschiedenen Positionen über die islamische Herrschaft in Spanien im Mittelalter siehe Turkí, 2014.

Veredlung des Menschen als Inkarnation der Alchemie das Hauptmotiv¹. Dabei entsteht eine Gedankenwelt voller spannungsgeladenen Fantasie, die sich nicht durch Okkultismus erfüllt, sondern – wie im Fall dieses Romans – durch erinnerungskulturelle Elemente. Dabei übernimmt die Atomenergie, wie oben erwähnt, die symbolische Funktion eines Steins der Weisen, welcher dessen Besitzer Ewigkeit verleihen soll, was zum Schluss narrativ erfüllt wird. Der Schauplatz dieser atomaren Fantasien spielt sich durch und in einem weiteren Erinnerungsort der menschlichen Kultur ab, der Cheopspyramide.

B. Die Cheopspyramide als raumbestimmender Erinnerungsort

Die Cheopspyramide als eins der Alten Sieben Weltwunder ist ein Erinnerungsort, nicht nur des Weltgedächtnisses, sondern auch des zeitgenössischen Kulturgedächtnisses. Das Interesse an den Pyramiden, allen voran der Cheopspyramide, hat – wie es für Erinnerungsorte typisch ist – einen transgenerationellen Charakter. Es überdauerte kulturgeschichtlich seit der Antike Generationen. Die Begeisterung für die Cheopspyramide hörte niemals auf und mündete schließlich in die sogenannte „Pyramidologie“ ein. Gemeint damit sind „jene mystischen, esoterischen und kosmologischen Deutungen und die Vermessungen rund um die Cheopspyramide“ (Elnaggar, 2022, ferner vgl. Dudley, 1999, p. 203)². Die Pyramidologen gehen davon aus, dass die Cheopspyramide aus einem sehr speziellen Grund an einem ganz besonderen Platz errichtet worden sei. (Dudley, 1999, p. 201) Es entstanden ein Pyramidenkult sowie apologetische Auseinandersetzungen (Vgl. ebd., p. 201-224; ferner: Borchardt, 1922), was mitunter als „Pyramidenquatsch“ (Kleppisch, 1927, p. 13 und 17) etikettiert wurde.³ Dabei wurde der Fantasie aller Art, ob wissenschaftlicher oder literarischer, keine Grenzen gesetzt. Aus fantasierenden und alchemistischen Gründen platziert Dominik daher die Handlung in der Cheopspyramide, von der behauptet worden sei, dass die Geheimnisse der Alchemie dort aufbewahrt worden seien. (Schütt, 2000, p. 202)

D. Pseudo-Reconquista als zeitgestaltender Erinnerungsort

Ein wesentliches Fantasiemittel ist die Zeitgestaltung des Romans, welche sich erneut mit der Erinnerungskultur korrespondiert. Die Romanhandlung spielt sich durch die narrative Umkehr der geschichtlichen Erinnerungsorte in einer fiktiven Reconquista-ähnlichen Zeit ab, ohne dabei die realhistorische Reconquista selber zu sein. Es ist nämlich ist die Zeit der Besetzung Spaniens, das seit fünf Jahren [...] in maurischer Hand ist“ (Brand, p. 26). Die Maurer sind „bis zu den Pyrenäen“ gelangt. (Brand, p. 25) Diese fiktive Zeit ist mit der realgeschichtlichen Zeit der Reconquista nicht vereinbar, da die im Roman auftretenden materielle Gegebenheiten wie Erfindungen und Alltagsgegenstände für die damalige Zeit unmöglich sind. Es wird anstatt dessen eine neue fantastische Parallelwelt zur realen Gegenwart heraufbeschwört, um die fantastische Bandbreite zu vergrößern, indem der Leser beliebig seine eigene fiktive gegenwärtige Welt konstruieren kann. Reconquista als traditionsträchtiger Erinnerungsort bietet dabei genug freie Räume, die mit Fantasie gefüllt werden können.

Die Reconquista war nämlich kein lokaler Krieg der Katholischen Könige zur Rückeroberung Spaniens, sondern sie wird als ein gesamteuropäischer Heiliger Krieg aufgefasst. Papst Urban II, der zum ersten Kreuzzug aufrief, rechnete diesen ersten Kreuzzug als Ausweitung der Reconquista außerhalb der iberischen Halbinsel. (Vgl. Haverkamp, 2005, p. 3) und setzte diesen mit der Reconquista gleich. (Vgl. Steiner, 1957,

¹ Näheres dazu: Elnaggar, 2022

² Dort auch ausführliche Informationen über Entstehung und Entwicklung eines Pyramidenkults seit Mitte des 19. Jahrhunderts bis in die Gegenwart, (p. 201-224)

³ Ausdruck von Borchardt in einem Brief an Kleppisch am 30. Oktober 1921, mit dem er manche Theorien über den Bau der Cheopspyramide mit mystischem Gedankengut bezeichnet. (Sieh: Kleppisch, 1927, p. 13, ferner p. 17)

p. 130). Die Reconquista im Sinne eines Heiligen Krieges entwickelte sich im Hochmittelalter mehr und mehr zu einem religiösen Erinnerungsort im kollektiven Gedächtnis des christlichen Europas, was Papst Alexander II. veranlasste, ihr den Charakter eines Kreuzzugs zu sprechen und gewährte allen Teilnehmern, die in Spanien gegen die Muslime kämpften, Ablass. Eine Kreuzzugsbulle, wodurch zusätzliche Privilegien wie beispielsweise päpstliche Lehen in Aussicht gestellt wurde, wurde außerdem erlassen: „Die kriegerischen Auseinandersetzungen mit den Muslimen untermauerte der Papst in seiner Urkunde außerdem theoretisch und hob sie damit auf eine höhere Ebene. Deshalb spielte diese Bulle zugleich eine herausragende Rolle als unverzichtbares Instrument zur Fortführung und Forcierung der Reconquista.“¹

Die Reconquista als Teil nicht nur des spanischen, sondern auch des europäischen kollektiven Gedächtnisses, erfüllt dabei die Doppelfunktion von Erinnerungsorten als Träger der sowohl traumatischen als auch triumphalen Ereignisse einer Nation, was der Fantasie zusätzlichen narrativen Nachschub verleihen könnte, da durch die große Zeitspanne von der Eroberung der iberischen Halbinsel bis zu ihrer Rückeroberung sehr viele freie imaginäre Räume geöffnet werden können, die bis heute an Validität nicht einbüßte, wie einem Spiegel-Wikileak-Zitat eines Beraters der türkischen Regierungspartei AKP zu entnehmen ist, der überspitzt und ironisch sagte: "Wir wollen Andalusien zurück und uns für die Niederlage bei der Belagerung Wiens 1683 revanchieren." (Der Spiegel 28.11.2010) Mit diesem Wikileak-Zitat „lässt sich ein Bogen über das Mittelmeer und die Jahrhunderte spannen.“ (Barbato, 2013, p. 130)

Erzählerische Unzuverlässigkeit als Fantasiemittel

Auf der anderen Seite bietet diese Pseudo-Reconquista als Zeitkonstrukt narrative Gelegenheit, mit erzählerischer Unzuverlässigkeit durch verschiedene Zeitreferenzen mit Fantasie spielerisch kreativ umzugehen. Die Bezeichnung „erzählerische Unzuverlässigkeit“, die auf den englischen Begriff ‚unreliable narrator‘ von Wayne C. Booth zurückgeht und in dessen Buch „The Rhetoric of Fiction“ (1961) zu lesen ist, bedeutet jene „Diskrepanz zwischen den Intentionen und dem Wertesystem des Erzählers und dem (Vor)Wissen und Normen des Lesers“ (Nünning, p. 777). Diese erzählerische Unzuverlässigkeit manifestiert sich an verschiedenen Stellen des Romans, wodurch Verfremdungseffekt erzielt werden soll, der sich daraus resultiert, dass die realgeschichtlichen Parameter mit der narrativen Welt nicht korrespondieren bzw. nicht korrespondieren können und somit einen Verstoß gegen die logische Zeitrechnung bildet, womit absichtlich die logozentrisch orientierte Erfahrung der Welt (Lehmann, 2003, p. 33 f.) überschritten wird.

Diese zeitlichen und daher kausallogischen Vorstöße im Roman sind laut realgeschichtlicher Chronologie folgendermaßen:

Erstens taucht im Roman die realhistorische Bezeichnung „Spaniole“ (Brand, p. 191) auf, d.h. jene Nachkommen der 1492 aus Spanien vertriebenen Juden. Daraus muss der Leser die Handlung nach dieser Zeitrechnung lokalisieren. Die anderen Handlungsstränge stimmen – aus der Perspektive der erzählerischen Unzuverlässigkeit – mit dieser Zeitrechnung nicht überein.

An einer anderen Stelle wird eine andere historisch spätere Erinnerung heraufbeschwört, nämlich die Anrede Friedrichs des Großen an seine Offiziere vor der Schlacht bei Leuthen, bei der im Siebenjährigen Krieg am 5.12.1757 die Österreicher unter Karl von Lothringen besiegt wurden. (Brand, p. 225).

¹ www.leben-im-mittelalter.net/geschichte-des-mittelalters/hochmittelalter/die-kreuzzuege/kreuzzuege-spanien.html?eprivacy=1

Dominik setzt zum dritten Mal im Roman diese beabsichtigte zeitliche und faktuale Unzuverlässigkeit fort, um beim Leser keinen Zweifel an seiner erzählerischen Unzulässigkeit aufkommen zu lassen. Es ist die dem Veröffentlichungsdatum des Romans im Jahr 1926 am nächsten bestimmbare Zeitreferenz, nämlich die Eröffnung des Suezkanals:

„Das ägyptische Kalifat und das große islamitische Reich in Asien, welches die Länder vom **Suez-Kanal**¹ bis nach Turkestan umfaßte“ (Brand, 174), gehören zu jenen drei islamitischen Reichen, welche als Verbündete in Frage kämen, im Besitz des Wunderapparats Montgomerys zu sein. Für den damaligen Leser des Romans war bekannt, dass der Suezkanal am 17. November 1869 eröffnet wurde, also müsste sich die Romanhandlung um diese Zeit des neunzehnten Jahrhunderts abspielen. Damals waren realhistorisch gesehen aber nicht nur die muslimischen Araber aus der iberischen Halbinsel nach der Reconquista längst vertrieben, sondern es begann zu dieser Zeit bereits eine große europäische Kolonialwelle, infolge derer fast die ganze arabische Welt besetzt gehalten wurde. Eine Gefahr kann sie folglich nicht mehr darstellen.

Diese drei Zeitreferenzen widersprechen deutlich einer zeitlogischen Erfahrungswelt des Lesers und ersetzt diese durch eine andere narrative Realität. Wiederrum handelt es sich um einen verfremdenden Effekt, denn im Roman wird diese neue narrative Realität so zusammengesetzt, dass sich die Eroberung der iberischen Halbinsel durch die maurischen Waffen zum fünften Male jährte (Brand, p. 81). Mit dem Wunderapparat Montgomerys muss dieser Zustand geändert werden: „Die Hoffnung Europas klammerte sich an diesen Apparat“, um dadurch „die iberische Halbinsel für Europa zurückzugewinnen.“ (Brand, p. 170). Es handelt sich also um eine zweite Reconquista, die in der Handlung an die historische einerseits erinnert und sie gleichzeitig durch faktuale Unzulässigkeit verfremdet.

Anachronismus als fantasierendes Gestaltungsmittel

Es liegt auf der Hand, dass hier von Dominik diese faktuale und faktische Unzuverlässigkeit beabsichtigt wird, welche einer „babylonischen Erzählverwirrung“ gleichkäme, bei der der Leser kein richtiges Zeitverhältnis der erzählten Handlung herstellen kann. Riskiert Dominik dadurch als unzuverlässig abgetane Erzähler die narrative Glaubwürdigkeit seines Textes? Denn der „kontrastive oder dissonante Bezug zwischen [der Erzählung und der Geschichte] ist wesentlich für den narrativen Text, und diesen Bezug zu beseitigen, indem man eines seiner Glieder eliminiert, heißt den Text nicht ernst nehmen und ihn zerstören.“ (Genette, 2010, p. 18)

Mit dieser faktualen Unzuverlässigkeit, welche in eine scheinbar erzählerische Unzulässigkeit einmündet, will Dominik eigentlich etwas anderes, nämlich einen Verfremdungseffekt zu erzielen. Um Verfremdung, die ja Grundeigenschaft jeder ästhetischen Fiktion ist (vgl. Alber, 2017, p. 134), zu verstärken, werden Anachronien als Stilmittel eingesetzt. Eine Anachronie ist „ein Fehler in der zeitlichen Abfolge oder Überlagerung von Geschehnissen, Gebräuchen, Denkformen, Personen und Gegenständen“ (von Wilpert, 2001, p. 23). Dabei fehlen logische Zeitbezüge, was unmöglich macht, sie in einer widerspruchsfreien Chronologie der Realgeschichte zu verorten. Im Roman werden **vorgreifende Anachronien**, d.h. die Verlegung von Personen oder Geschehnissen in frühere Zeiten, zu denen sie noch gar nicht lebten bzw. erfunden waren (vgl. von Wilpert, 2001, ebd.), was Dominik mit der Pseudo-Reconquista zur vollen narrativen Geltung brachte. Es werden aber **auch rückgreifende Anachronien** eingesetzt, d.h. Erneuerung längst überlebter Geschehnisse (vgl. von Wilpert, 2001, ebd.), wie mit dem Rückkehr-Epilog des Kalifen Abdurrrhaman der Fall ist.

¹ Vom Verfasser hervorgehoben.

Dominik setzt verschiedene metatemporale¹ Fantasiemittel wie Zukunftserfindungen bzw. -vorstellungen sowie erinnerungskulturelle Anachronien ein, um dem Leser eine neue narrative Welt zu vermitteln, die Fantasie an das Hauptmotiv anknüpft, indem weniger auf die Realgeschichte als vielmehr an eine unzeitliche Botschaft das Augenmerk gerichtet werden soll. Dadurch wird dem Thema des Romans Nachdruck verliehen, indem der Leser durch eine scheinbar unzuverlässige Narration auf eine verborgene Welt hinter dieser fantastisch-fiktiven Welt aufmerksam gemacht wird, nämlich auf eine Welt, der die Gefahr der Atomenergie ausgesetzt wird, die er auf die Menschheit kommen sieht. Dabei wird das Hauptmotiv des Romans erneut unterstrichen, nämlich die Veredlung des Menschen durch Selbstdisziplin und verantwortungsbewussten Umgang mit Technik.

Der offene Schluss des Romans ist ein letzter metafiktionaler Kunstgriff, der einerseits mit dem Hauptmotiv korrespondiert und wodurch andererseits dem Fantastischen im Roman kein Ende gesetzt wird, denn „eine Bedingung, Phantastik als Gattung gelten zu lassen, ist, dass der Konflikt verschiedener fiktiver Welten offen, einsichtig und nachvollziehbar ist. Es gibt hier keine goldene Mitte. Fallen die verschiedenen fiktiven Welten in einer zusammen, ist das Phantastische zu Ende.“ (Herstadt, 2015, p. 154)

Das aus einer einzigen Seite bestehende Schlusskapitel des Romans ist in Form eines Epilogs geschrieben, in dem die proleptische Rückkehr des Kalifen Abdurrahaman prophezeit wird, welcher unter seinem Volk als Erinnerungsort weiterlebt. Dieser zu neuem Ruhm wiedererstandene veredelte Mensch, dem an keinem Konflikt zwischen politischen Größen wie Europa und der islamischen Welt oder keinem religiösen Kampf zwischen Muslimen und Christen gelegen ist, sondern an dem Hauptziel jedes wahren Adepten, der die alchemistische Transmutation erringt und die Veredlung des Menschen vollzieht. Dieser metafantastische Romanschluss ist – überspitzt ausgedrückt – ein Aufruf zu einer neuen wahren Reconquista des Geistes durch Veredlung des Menschen!

Fazit und Ausblick

Die dem Roman innewohnende narrative Ambivalenz, die durch anachronische Strukturen entsteht, fördert eine Fantasie, welche nicht nur von dem Vorhandensein der zeitlichen und logischen Dissonanz lebt, sondern auch von einer spannungsvollen und bis zum Ende hin narrativ dynamisch wirkenden Fantasierung von Anachronien, in deren Rahmen und Verlauf ein neues Verständnis, eine neue Erfahrung, und eine neue Erkenntnis von Gegenwart und Zukunft herbeigeführt werden.

Eine ausführliche Untersuchung der Rolle metatemporaler und metafiktionaler Erzählstrukturen in der Fantasieliteratur sowie die Funktion der Erinnerungskultur als Mittel zur Fantasiegestaltung würden die Erzählforschung um aufregende Aspekte bereichern.

¹ Richardson schlägt den Begriff „metatemporal“ vor, um beide „unusual and impossible temporalities“ (ungewöhnliche und unmögliche Zeitlichkeiten) abzudecken (Richardson, 2000, p. 30).

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丝路视野下中阿关系史的部分难题新视角探究

A New Perspective on Some Problems in the History of Sino-Arab Relations from the Perspective of the Silk Road

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Abstract:

This small paper deals with some difficult problems in the early stages of the history of medieval Chinese-Arab relations. Mainly limited to three problems; the first is whether the Islamic prophet Muhammad (PBUH) sent envoys to China. The 2nd is the authenticity of the well-known statement in Arab history and the hadith that is generally popular among Chinese Muslims and academic circles: "Seek knowledge even if you have to go as far as China"? The 3rd is, when was Islam introduced to China? It can be said that these and other related topics till now have not reached a convincing answer in the history of Sino-Arab relations since ancient times, especially the problem of the introduction of Islam into China. The main reason for picking these three questions is that Chinese scholars and even Arab scholars have been searching for answers from a historical perspective. Of course, this approach is logical. However, at least as far as I know, previous scholars did not enough cite Arabic historical documents and linguistics to explore the answer. In addition, this small paper also provides novel ideas for senior scholars, that is, to explore the answer to this topic by combining bilaterally related historical documents and linguistics. For this reason, the author first discusses these three topics in the traditional way and then uses the logical development of historical events and the meaning embedded in the language to solve and provide fresh viewpoints and conclusions.

Keywords: Hadith science, Sino-Arab Relations, Silk Road, Islam in China

本小论文讲述中世纪中国阿拉伯关系史初期的一些难题。主要限于三个难题；第一是伊斯兰圣人穆罕默德是否向中国派遣使节。第二是，在阿拉伯历史上较为著名的说法乃至中国穆斯林和学术界普遍流行的圣训：“学问，哪怕远在中国亦当求之”的真实性？第三是，伊斯兰何时传入中国？。

可以说，这些等相关话题在中阿关系史上自古以来是至今还没达到一个可说服力的答案，尤其是伊斯兰传入中国的这个难题。挑这三个问题的主要原因是这些问题一直以来是中国学者乃至阿拉伯学者也罢从历史角度去深入搜求答案。当然这个方法是与理相符。可是，最起码据我所知，前辈学者没有引用阿拉伯历史文献和语言学去探究答案。另外，本小论文也向前辈学者能提供新颖的思路，也就是将双边相关的历史文献和语言学来探究本话题的答案。为此，笔者先依靠传统的方式来论述这三个话题后，再以历史事件的逻辑发展及其语言所内藏的含义来解决并提供新鲜的观点和结论。

在本论文当中我们主要论述了两个大问题，第一是，伊圣人在世期间是否与中

国建立外交关系，或者说，是否向中国派遣了使节？第二是，‘求学问，哪怕远在中国亦当求之’的圣训真相？实际上，在回答此两个问题之前，必定先讨论若干相关其他问题，比如：圣人在世期间是否听到过中国？若是，那他有没有联系过中国？如果联系了，此种联系的情形如何？在本论文中，笔者力图回答此类等相关问题。

关键词： 中国阿拉伯关系 丝绸之路 中国伊斯兰教，圣训学

一、穆罕默德向中国派遣使节？

据知，穆罕默德在公元 610 年开始传播伊斯兰教的活动。早期的传播活动‘阿文称：达瓦 – الدَّعْوَة’，即：传教活动，他向阿拉伯半岛境内的麦加城市及向来自半岛各地的部落等人开始达瓦。虽然伊圣人不识字，但从世俗观念可以说是一位福慧双修，口齿伶俐，具有智慧、热爱学习、充满求知的人。在开始宣教之前，由于麦加坐落在半岛的核心中，也是蒙昧时代所有部落的神圣之地，各个部落每年在朝觐时候来朝拜。因此在这里先知穆罕默德见到了很多阿拉伯部落长并听到了其他部落和异族的消息。他知道了长期占领半岛最东北部的波斯帝国，了解控制埃及和半岛西北部沙姆地区等地的罗马帝国，也了解了阿比西尼亚阿克苏姆王国的实际情况。

此外，据阿拉伯史学家所传述的健全信息，先知在 12 岁时（也就是 583 年左右），随他的伯父前往沙姆地区经商。¹他在沙姆经商期间，目睹了很多异族和来自各地的商人，找到了很多阿拉伯半岛外出产的很多商品，比如说：珠帘、丝绸纺织物、等。伊圣人在 25 岁左右（另一说是 28 岁）（也就是 596 或 599 年前后）与富孀哈迪哲（خديجة）结婚。婚后不久，他与一些古来氏部落驼队再一次赴沙姆地区经商。据历史学家所记，这一地区很早是丝绸之路的重要驿站。这一次，他又目睹了沙姆地区的很多外国商人。当然，那时不能确定有没有见到了来自中国经商的商人或者使团，但确定的是，这一地区是丝绸之路的驼队聚集点或者终点之一。在这里，部分商品继续运往大秦，部分寄往西南部勿斯里（今：埃及），另一部分会被伊圣人和阿拉伯半岛商人运到麦加等半岛境内的区域。

《古兰经》告诉我们半岛内部的居民为了获得他们的日常生活物品是通过每年的两场驼队，一场是冬天往南妄古代发达的王国的旅行。此次旅行名为：冬季驼队或冬天的旅行。二是向北的夏季旅行，前往沙姆地区，名为：夏季驼队或夏天的旅行。史学家又告诉我们，先知对周边地区和帝国的实情很清楚。他在 40 岁接受了安拉的天启，令他传达伊斯兰的使命，成为最后一位使者。由于当时伊圣人在民间中以智慧、正义等优美的品质而闻名，所以当时很多薄弱的仆人等身份低微的人接受了伊斯兰教。但麦加境内等周边的很多部落反对他的。他的门徒遭到宗教迫害，遭受严刑拷打。在这个困境下，伊圣人令他们前往阿比西尼亚国王，他描述这个国王为：“是个享受公正，不欺负任何人的君主。”²逃避到阿克苏姆王国的这一团队大约十年后才回到麦地那。

1【古阿文獻】伊聖人去沙姆經商的傳述非常著名的典故，很多史學家和聖人傳記學者傳述這一典故，最著名是伊本·希沙姆（ابن هشام）著：《伊本·希沙姆聖人傳記》（*al-Ssīrah al-Nnabawīyyah li ibn Hishām – السيرة النبوية لابن هشام*），黎巴嫩，阿拉伯書出版社，（دار الكتب العربية），1990 年，第 204~207 頁。

2【古阿文獻】薩利赫·本塔哈（صالح بن طه）編：《聖人傳記健全的傳述》，（*Subul al-Ssalām min Ṣaḥīḥ Sīrai Khair al-Anām – سُبُل السَّلَام مِن صَحِيح سِيرَةِ خَيْرِ الْأَنْعَامِ*）古拉巴印書館和遺產印書社（مكتبة الغرباء (والدار الأثرية)），二版，2007 年，第 139 頁。

这里必须指出的是，伊圣人于 622 年迁移到麦地那，伊斯兰史学家们指出麦地那阶段是阿—伊哈里发国的真正开始，是伊斯兰前与伊斯兰后的历史分界线，蒙昧时代与伊斯兰时代的界限。在这一阶段中，古来氏等周边的阿拉伯部落均反对伊圣人的宣教，不受一些有地位身份的族长等大人物的欢迎，在穆斯林的人数不断增长情况下，他们一直想消除这个威胁，想与他交战，后来伊圣人无奈与他们产生了几场战役，但最后这些反对者都以战败告终。伊圣人在 627 年与麦加签署了和约，向周围的国王和酋长开始寄发了书信。¹²据最权威的圣人传记的著作——《尘封的天醇》一书记载圣人寄发的八封国书，这些书信按顺序是阿克苏姆国王内古斯（阿文：النجاشي，英文：Armah）（614~631 年在位）、埃及拜占庭帝国的总督穆嘉伟吉斯（المقوقس；据说名为是居鲁士‘不是波斯帝国的居鲁士’，是亚历山大的总督或他人）、库思老（كسرى 590~628 年在位）、拜占庭帝国的希拉克略（هزقل، 610~641 年在位）、阿拉伯海湾东部部长：穆尼吉尔·本·萨维（المنذر بن ساوي）等半岛境内其他城邦的长官和酋长国。³

到这，我们不得不讨论一个必须探究的问题，当时伊圣人对周围国家的情况有这么清楚并有充分和详细地了解，同时，《古兰经》也启示了他这些国家和不同民族的一些概况，那末，为何没有向中国寄送同样的国书呢？此外，《古兰经》为什么没有记述与中国有关的消息？笔者认为，这些问题十分客观，值得使研究这一时期历史的学者去思考。对于这些问题，我们所拥有的中文材料讲到了一些观点，在讨论这些观点之前，先将探究阿文史料有没有记载关于伊斯兰入华的问题。第二，中国普遍使用且非常著名的‘圣训’：“求知吧！哪怕远在中国。”这句话到底是伊圣人说的还是谁说的？

实际上，本问题至今还是需要辩论的大问题，特别是近代阿拉伯史学家。部分学者确定伊圣人当时肯定与中国取得了联系，并要寄发了国书。这些学者认为，他在世期间，派使节到达中国，团长是伊圣人伯父‘瓦哈布·本·阿比·卡布沙（وهب بن أبي كبشة）’。⁴事实上，提及此事件的史学家未提到他们的证据，他们从哪得了如此重要的信息，我们一无所知，他们只说据‘中文史料’。笔者搜集了大量中世纪和近代的历史资料，未找到一个令人说服的证据。马平先生在他的《简明中国伊斯兰教史》一书中，注意到这个问题，他简短地谈了这个问题，认为既然伊圣人了解到了当时周边的大国，也就是波斯帝国和罗马帝国，而当时中国的唐朝也是闻名于世的大国，按逻辑，圣人同样应该将书信发给中国皇帝。他又认为这个事件可能被失记或忽视了记载。未记载也是有可能的，而未被记载不意味着不存在或没有发生。⁵他还引用东方学者威尔斯（H. G. Wells）在《世界史纲》（*The Outline of History*）一书中说：“628 年，伊圣人派一批大食人带着他赠送给唐太宗的书信，从麦地那

1【注】有部分學者對每一封書信的頒發日期，說法紛紜。但大部分認為是在 627 年開始。

2【古阿文獻】阿克拉姆·迪亞編（أكرم ضياء）編：《聖人傳記：以傳述家批評法企圖向聖人傳記傳述的評述》（*al-Ssīrah an-Nabawiyyah al-Sahīhah : Muhāwakah li-Tatbīq Qawā'd al-Muhaddithīn fī Naqd Rivāyāt al-Sīrah an-Nabawiyyah – السيرة النبوية الصحيحة: محاولة لتطبيق قواعد المحدثين في نقد روايات السيرة النبوية*），麥地那，沙特，名言和百科印書館（مكتبة العلوم والحكم），1995 年，第二卷，第 454 頁。

3【中國】為更多詳解參見：《中國伊斯蘭教百科全書》一書‘致鄰國君王書’一條下，專門論述了該重要歷史性的大事件。編委會編：《中國伊斯蘭教百科全書》，成都，四川出版集團·四川辭書出版社，2011 年版，第 749 頁。

4【埃及】穆罕默德·阿卜杜勒·法赫米（محمد عبد اللطيف فهمي）編：《穆斯林商人將伊斯蘭教傳入中國》（*al-Tujār al-Muslimūn Yanqilūn al-Islām ila al-Ṣīn – التجار المسلمون ينقلون الإسلام إلى الصين*），埃及，伊斯蘭國家銀行雜誌，（مجلة البنوك الإسلامية）年期刊，1981 年。

5【中國】馬平主編：《簡明中國伊斯蘭教史》，銀川，寧夏人民出版社，2006 年，第 8 頁。

附近红海的延布（亦译：扬布）港埠（ميناء ينبع）出发到了汉府（广州），后来到了长安，受到唐太宗的热情接待。”他又补充：“这一使团比拜占庭 635 年派遣的聂斯托利使团还早七年。”¹

在这一方面，中国史料给予我们一个新的证据，据《唐会要》一书中所记的消息：“唐贞观二年六月十六日（628 年）敕[chì]诸蕃使人，所娶得汉女为妾[qiè]者，并不得将还蕃。”²这说明，在伊斯兰教早期曾经有阿拉伯人在中国，他们享受了一定的地位，中国官方政权允许他们娶汉女。在这个基础上，我们能确定伊圣人在世期间和早期正统哈里发统治期间已有不少阿拉伯人前往中国。

此外，伊斯兰在阿拉伯半岛传播较早，大概是 630 年也门亚丁和萨那的波斯总督巴赞（Bādhān - بادن）归信了伊斯兰教，他和属下所有的也门人成为穆斯林。³ 不仅也门人，当时阿曼人也归信了伊斯兰教。这些区域正如我们上面详细地讲述是赴中国的主要港埠，蒙昧时代的阿拉伯商人从这里出发到达印度和中国，起航的舰队不少，每年应该有不少也门和阿曼南方前往中国经商。从此可知，圣人活着的时候有很大可能穆斯林商人去往中国进行贸易。中国人应该也了解到了该宗教的出现，及某些常识，皇帝有可能与这个宗教的使者得到了某一交流。非正式的伊斯兰传播的开始是国家使节前往中国经商。

在另一方面，我们必须去思考的一个问题，是阿拉伯半岛境内的商业活动大半是依靠从外国引进的货品，圣人知道在征服阿拉伯半岛后最大抵抗力量并要阻止伊斯兰的传播的是波斯帝国和罗马帝国，也就是占领半岛整个北方区域的两大帝国。这预示着在半岛北方的丝路及其在半岛内陆不同的支路将来会堵塞，使商业活动的畅通构成了不安定的因素。这正是伊圣人去世前一年所发生的事件，被伊圣人派遣前往拜占庭管辖的沙姆区布斯拉（بُصْرَى）古城送书信的使者在路上被贾萨妮（الغسانى）总长杀害。伊圣人与拜占庭的军队在今位于约旦王国木塔地区相战，该战役叫作‘木塔战役’（غزوة مؤتة）（629 年末）。从此，半岛北路的商队停止了几年。但是此事件根本没有影响到向半岛内陆的商业活动和商品的自由流通和运输，半岛内的不同支路照常未遭受停止。原因是该战役发生前，伊圣人与住在阿拉伯半岛东部和也门南部众部落加强了关系，这些区域的诸多部落早已归信伊斯兰教，所以从东部和南部来回的商队未停止，与北方恰恰相反。

马平先生将这两个证据与中国穆斯林民间当中普遍流行的四贤传教士典故联结在一起，认为这些证据与这个典故基本相吻合。⁴ 上述讲到了伊斯兰教在阿拉伯半岛出现前，中阿商业贸易的关系连续不断，部分阿拉伯商人早在中国定居，与中国汉女通婚。甚至阿拉伯人在中国都市长安定居。这可以说明，当时的阿拉伯人从阿拉伯半岛南部和东部是这些区域和码头起航前往中国，圣人在世期间亦是如此。然而，这些商业旅行不是由先知指挥的，或者他对这些一无所知，《圣人传记》著述中没有记录这些商业活动，这些码头被当地部落所控制。客观地说，伊圣人在世期

1 【英國】威爾斯 (H. G. Wells) 主編：《世界史綱》(The Outline of History)，出版社和年代不詳，應該是 1951 年重版，第 29 章，第 580 頁。【注】要指出的一個小疏忽，馬平先生在上述的書說引處是第七十章記載，參閱原英文版應該是在第 29 章，而不是第七十章。除非馬平先生所引用的版本不是英文原本，而是可能是中文譯本。

2 【古漢文獻】《唐會要》，一百卷。

3 【古阿文獻】伊本·希沙姆著 (ابن هشام) 著：《伊本·希沙姆聖人傳》(al-Sīrah al-Nnabawiyah li ibn Hishām – السيرة النبوية لابن هشام)، 穆斯塔法·哈拉比印書館 (مكتبة ومطبعة مصطفى البابي الحلبي وأولاده) (بمصر)، 二版，開羅，1995 年，第 69 頁。

4 【中國】同上：馬平：《簡明中國伊斯蘭教史》，第 8 頁。

间阿拉伯商人到了中国，但由于没有明显的阿文史料证据，我们还是保持怀疑的态度，等待在文献中发现新的记载。

二、‘学问·虽远在中国，亦当求之’，这段‘圣训’的真实性

笔者一到中国时，发现此圣训是中国穆斯林民间最多使用的圣训，至今中国穆斯林乐意地表示伊斯兰圣人曾赞扬过他们的祖国。中国学术界，及政治家当中，同样地普遍使用此段圣训，他们觉得这段话最代表中阿双方悠久而遥远的友好往来。

由于此圣训的重要性以及离不开我们现在所讨论的问题的性质，我们将考证此圣训的由来，如果确定是伊圣人说过的语，那么这可加强圣人向中国派遣使节的观点，至少能给予新的证据。首先要从圣训学的角度来研究此圣训的真相，再去分析它在历史中能不能存在的根据。

此圣训的中文已有不同的译法，但文体大致相近，其中有：“学问虽远在中国，亦当求之”，“知识，哪怕远在中国，亦当求之。”，“知识虽远在中国，应以当求之”等。第一句文体是使用最多且普遍的译法。此圣训至今引起着圣训学家的争议和辩论，他们对待这段圣训有三种不同的主张，**第一种**：它是‘无根无据的圣训’（حديث لا أصل له），亦‘不真实的圣训’（حديث باطل），支持这种判定的学家是伊本·希伴（ابن حبان）¹。**第二种**：持这种主张的是伊本·焦齐（ابن الجوزي），他认为此圣训是杜撰或编造的圣训（حديث موضوع）。²即：不是圣人所讲的，而是某人编撰的。第二种判断是由于此圣训的传述系统诸多，彼此可以加强彼此，可以达到‘优良圣训’的等级（حديث حسن），此说法是哈菲兹·美兹（الحافظ المزي）的判断。³接近这种判断是扎哈比（الذهبي）的说法，他认为，此圣训的传述系统及其传述人数甚多，一部分是薄弱的圣训线索，另一部分是可接受的圣训线索。⁴**第三种**判断是白哈吉（البيهقي），认为此圣训的正文是流传通认的（متنه مشهور），但传述系统均是薄弱的（ضعيف السند）。⁵除此之外，近代著名圣训大学家伊玛目·阿尔巴尼（الإمام الألباني）搜集了此圣训的各种传述系统及其正文，后来判断此圣训为羸弱且无根无据的圣训（حديث لا أصل له）。⁶伊玛目阿尔巴尼是近代圣训学家最权威的伊斯兰教学者，他的圣训判断得到公认，且可信可靠。总之，该圣训从圣训学所判断而言，是无根无据的圣训（حديث لا أصل له），或可以说是杜撰的圣训（حديث موضوع）。因此，从圣训传述学的判断及其学者的说法来看，伊圣人没有说过这种话，这是后人所编造的名

1【古阿文獻】薩哈維（السخاوي）著：《流傳順口的聖訓及其真相》（*al-Maqāṣid al-Hasanah fī Bayān Kathīr min al-Aḥādīth al-Muṣṭaharah ‘ala al-Asīnah - المقاصد الحسنة في بيان كثير من الأحاديث المشتهرة - على الألسنة*），阿拉伯書籍印書社（دار الكتب العربية），貝魯特，1985年，第1卷，第121頁。

2【注】同上。

3【古阿文獻】蘇優提（السيوطي）編錄：《聖訓大集》（*Jam‘ al-Jawāmi‘ alma‘rūf bi ‘al-Jāmi‘ al-Kabīr*），艾孜哈爾出版社（المطبعة الأزهرية），開羅，二版，2005年，第1卷，第673頁。

4【古阿文獻】傑拉西（الجراحي）著：《向順口的聖訓消除質疑》（*Kashf al-fā‘ wa Muzīl al-Ilbās ‘amma Ishṭuhira min al-Aḥādīth ‘ala Alsinatī al-Nnās - كشف الغاء ومزيل الإلباس عما اشتهر من الأحاديث على السنة - المكتبة المقدسية*），馬格迪西印書館（المكتبة المقدسية），1932年，第1卷，第139頁。

5【古阿文獻】哈菲茲·易臘奇（الحافظ العراقي）著：《聖訓充足之書》（*Kitāb al-Mughnī ‘an Hamī al-Asfār fī al-Asfār - كتاب المغنى عن حمل الأسفار في الأسفار*），伊本·哈茲姆出版社（دار ابن حزم），貝魯特，首版，2005年，第1卷，第16頁。

6【沙特】阿爾巴尼（الألباني）編：《弱而無力和杜撰捏造之聖訓及其惡劣影響》（*Silsilat al-Aḥādīth al-Ḍa‘īfah wa al-Mawḍū‘ah wa Atharuhā al-Sayy‘ fī al-Oūmmah - سلسلة الأحاديث الضعيفة والموضوعة - وأثرها السي في الأمة*），利亞德，沙特，知識出版社（مطبعة المعارف），1992年，第600~604頁

言。

尽管如此，我们还是要从另外一个角度去看待此段圣训，即用史学家的视角来看待。在我们承认圣训学家对此圣训的结论和判断的同时，要从历史学去深入研究，它会给予我们一个新的历史结论，也就是我们假定此段圣训是毫无根据的编造，是被名为“艾布·艾提卡 - أبو عاتكه”所编造的或是无名者所编造的话语，但是它是否是给予伊斯兰兴起之后在阿拉伯文献中最早记录中国的文本呢？

笔者认为，如果我们探究并确定此圣训的由来就可以确定该文本算是最早记录中国的信息。为了达到这个目的，首先要认清艾布·艾提卡这个人的经历，进而，可以切确该谚语的由来及其大致编造的时间。令人遗憾的是，对艾提卡这个人物的生活等相关的信息，消息缺乏不足，只能说他是属于圣人再传弟子的等级（من طبقة التابعين），也就是说圣门弟子后的第一代，大概生活于七世纪末八世纪初。从研究上述的圣训我们可以得知，艾布·艾提卡听到了艾乃斯·本·马利克传述了这圣训。艾乃斯在 610 年生于麦地那，是圣人最亲近的弟子，亦是众圣门弟子最后去世的一个，在回历 93 年/公元 711 年在伊拉克巴士拉城市归真。¹我们可以推算艾布·艾提卡这个人应该活动于七世纪末八世纪初，在艾乃斯去世前听到了，即 711 年前听到了或编造了上述的谚语。如果这假设得到确定的话，我们必定会得以阿拉伯文献中最早记录中国的文本，或至少最早提及中国文本之一。这文本比我们在下来的文章将论述的屈底波（今译：古太白）攻克喀什葛尔的消息还要早几年。

除此之外，在某种意义上讲，此谚语塑造了早期阿拉伯史学家乃至整个穆斯林对中国的积极印象。一方面，此谚语的内容将学问和知识与中国联结在一起，有意或无意地指示中国是一个拥有知识、文化和历史的国家，如果想求学就必须到那里。另一方面，形容中国为一个很遥远的国度，就好像是地球上离阿拉伯半岛最遥远的国度。这些含义和积极的印象，随着时间的变迁，使前往中国的阿拉伯商人数日益增长，使阿拉伯文献中所记载中国的信息越来越丰富，在阿拉伯人的脑海中根深蒂固。这些含义植根于阿拉伯思想中，使中国成为具有文明、科学和历史等其他积极内涵的标志之国。此含义和意义，让研究中世纪中阿关系史的学者看待此关系时积极且友好。

三、伊斯兰教何时传入中国？

这一问题至今还是令中国和阿拉伯学术界，乃至中国与英国古代关系史、中阿关系史等古代关系史的研究者最瞩目的大问题之一。从古至今，此问题得到了回族等其他中国穆斯林少数民族的关注。曾经也得到了一定的推论和结论。但令人遗憾的是，至今未得到一个准确的说法。

上面我们得出一个非常重要的结论，可以当作本问题的入门，是中国船只通过海路到了阿拉伯半岛各种码头和港埠，半岛境内的阿拉伯也使用了诸多从中国进口来的货物和饰品。以当时阿拉伯启航技术发达，他们在这一方面超越了当时的大帝国并享受优势，中阿双方之间的贸易运动，船舶和货物反复不绝。笔者还是觉得穆斯林很大可能在先知穆罕默德在世后期通过海路到达了中土，只不过这些穆斯林是正式的身份还是一般的身分是至今不能确定的事。因为我们还没有一个确定此事发生的物质证据。下面将一步一步来证明此看法。

从伊圣人去世那一年以来，穆斯林开始了解放阿拉伯半岛运动，这个运动持续了几十年的时间，此时期在历史上称为：正统哈里发时期，伊圣人第一继承者是艾

1【古阿文獻】紮哈比（الذهبي）著：《名人傳略》（*Sīyar A‘alām al-Nnubalā’* - سير أعلام النبلاء），哈迪斯出版社（دار الحديث），開羅，2005年，第4卷，第417~422頁。

布白克尔（632~634 年在位），第二继任：欧迈尔·本·哈塔布（634~644 年在位），第三，继任奥斯曼·本·阿帆（644~656 年在位），最后是伊圣人的堂弟及女婿阿里·本·艾比·塔利布（654~661 年在位）。由于第三任哈里发奥斯曼被刺杀，圣门弟子之间产生了巨大的政治性问题，导致国家的各个部门动荡不安。阿里去世之后，阿拉伯帝国开始了另一种统治制度，从哈里发协商选举制转变为世袭统治制度，开始了倭马亚王朝和阿巴斯王朝（白衣大食和黑衣大食两国）。

在正统哈里发期间，由于先知在世期间除非必要禁止穆斯林记载圣训，以避免《古兰经》与圣训等其他话语乱作一团，混胡不清。因此，早期的阿拉伯哈里发帝国所发生的很多事情和军事概况没有被圣门弟子记载，一百年后左右才开始被记录。当时所记录的消息大半靠记忆或者一些分散不全的纸张文本。此外，伊斯兰前，除阿拉伯半岛南部外，并没有建立过一个大的文明国家。阿拉伯人对管理一个国家没有什么可观的经验。随着时间的推移，他们从被解放的地区和人民吸取经验而学会了管理的技能和方法，但他们缺乏很多管理国家最基础的工具，比如，缺乏了拥有国家的文书和案牍，记载国家不同军事和国家的财务事宜等工具，因而导致阿拉伯帝国早期的历史事件、政治、经济、文化等社会情况很多方面被忽视，很多重要事件无意地被忽视了记录。因而，阿拉伯史学史较为晚一点才真正的开始记录历史。比如，在第二位哈里发统治期间，穆斯林与波斯帝国在伊拉克地区相战，该战役名为卡迪希亚（معركة القادسية）。据十世纪史学家麦斯欧迪所记，他传述在艾布拜克尔（第一位哈里发）统治期间哈立德·本·瓦利德（خالد بن الوليد）问阿卜杜勒·买西河·本·阿木尔·本·布盖拉（عبد المسيح بن عمرو بن بُقَيْلَة）哈里发，问了他：“‘据你所知，在这边有什么？’他答道：‘这些要塞后面曾经有中国船舶到来的地方。’”¹

虽然如此，当时的缺乏消息不意味着绝对没有发生过，在阿拉伯文献中我们还是能找到了一些启示，来证明当时伊斯兰早期进入了中国的事件。据阿拉伯地理学家迪马施基（1256~1327）所著述的《时代精华》一书中记载，‘在第三任哈里发期间，伊斯兰教到了这些地区（指：占波‘越南古城’）’。²据笔者所知，此文本算最早提及这一阶段的，讲述传播伊斯兰教活动的初期。我们知道占婆是越南的古代港埠，离中国边境很近，下一港埠是中国广府（广州）。意味着伊斯兰教确是在奥斯曼哈里发期间曾经传入中国。³可惜的是，关于这个问题而言，中世纪文献中几乎没有比这个更早的文本。基于这一历史事实，也就是正统哈里发期间阿拉伯文史料的贫乏信息情况下，我们不得不去引用中国史料来证明伊斯兰教传入中国的时间。尽力从新的角度去深入论述此大问题。

关于伊斯兰教入华，中国史料有五种不同的说法，简略如下：

1、隋开皇年间说

据中国明清史料所记，在开皇年间，圣门弟子之一，明史文献称之为：‘撒阿的翰葛尔斯’来了中国传教。《明史·西域传》云：“隋开皇(581-604)中,其国撒哈八撒阿的翰葛尔斯,始传其教入中国。”⁴从这一段话可得知，名为：“撒哈八撒阿的翰葛尔斯（الصحابي سعد بن أبي وقاص）”，他曾经到中国传播伊斯兰教。据伊斯兰教史学

1【古阿文獻】同上，阿文本：《黃金草原與珠璣寶藏》，第一卷，第 118 頁。

2【古阿文獻】迪馬施基（الدمشقي）著：《時代精華》（*Nukhbat al-Dahr fi 'Ajāyb al-Bar wa al-Bahr – نخبة الدهر في عجائب البر والبحر*），皇家科學院出版社印，聖彼得堡，德國，1865 年，第 168 頁。

3【埃及】優素福·薩克爾（يوسف صقر）編：《中國與阿巴斯王朝關係—早中兩期，750~945 年》（*al-'Alāqāt bayna al-Dawlah al-'Abbāsīyyah wa al-Šīn – العلاقات بين الدولة العباسية والصين*），現代印書館（المكتبة العصرية），貝魯特，2011 年，33 頁。

4【古漢文獻】《明史·列傳第二百二十·西域四》；亦參見：《皇明世法錄》。

家记载，这一说法不符合事实，被所有史学家所否认。原因是，当时先知穆罕默德还没有接受安拉的启示，在隋开皇去世六年（610年）后才开始受到安拉的启示。按逻辑伊斯兰教的传播活动根本没有开始。先知怎能这么早就令他的门徒萨德赴中国呢？此外，所记载的名为萨德的圣门弟子在595年出生，十岁左右的年龄就能涉水前往中国完成如此沉重的任务不符合逻辑。显然这说法遭受中国境内外史学家的彻底否定。实际上，在隋朝传入中国的宗教是祆教而非是伊斯兰教。¹

2、唐武德年间说

该说法产生在唐武德年间（618~626），伊斯兰教在该皇帝统治期间传入中国。据明朝期间何乔远所编的《闽书》一书中所记：“默德那国有吗喊德圣人。生隋开皇元年。圣真贤美，其国王聘之……门徒有大贤四人，唐武德中来朝，遂传教中国。一贤传教于广州，二贤传教于扬州，三贤、四贤传教于泉州。”²唐武德年间先知穆罕默德刚迁徙到麦地那。当时大多数周边阿拉伯部落还是在反对新成立的国度的状态下，不断攻击穆斯林群体，与他们几次相战。在此困境下，先知忙于半岛内的军事诸多威胁，无法考虑向半岛外派遣使节传播伊斯兰教活动。

3、唐贞观年间说

此说法在中国境内外学者亦有支持者。此说法内，分成三种不同的说法，一是唐贞观元年、二年和六年。各有学者所引用的文献有：第一，贞观元年（627年），中国近代学者徐珂：《清稗类钞》一书，认为：“回教之传中国也，实由穆罕默德之舅幹葛士所输入，航海东来，止于广东。度其时，当在唐贞观初年。”³第二，贞观二年（628年）的学者有中国近代学者张星娘和英国学者威尔斯等学者在《西来宗谱》、《回回来源》、《中西交通史料》、《世界史纲》等著作支持此说法。张星娘先生在他的著作中引用的这些书所记述的有趣典故。简略谈到中国皇帝在梦中见到了怪物，这个怪物要袭击他，在此困境中来了一位骑马的阿拉伯半岛仙人拯救了他。醒后询问了他的大臣，才知道这位是阿拉伯半岛的圣人，便命令他的大臣与阿拉伯联系。因此，伊圣人在628年初向中国派遣了由三位圣门弟子组成的使团，团长是先知的母舅：万朶斯。他们在贞观二年迎接了从麦地那附近扬布港埠（ميناء ينبع）起航的使节，皇帝允许该使团在广府（广州）设立礼拜寺，又准许使节自由地传教。

实际上，该典故的部分细节有不同的传述，但总体内容接近。拜德尔丁·本·海伊·悉尼认为，该典故有不同的传述，这使我们怀疑此典故的真实性。他又认为，此典故的细节与汉明帝在这个日期五个世纪前梦见金色佛像，就向天竺派遣了出使，带回一座大佛像，令人崇拜。此典故与上述的典故非常相似，只有后者进行稍微修改。⁴第三，贞观六年（633年）的说法：即公元633年前后，记载于《天房正学》一书，云：“大人道号旺各师，天房人也，西方至圣之母舅也。奉使护送天经而来，于唐贞观六年（633年），行抵长安。唐太宗见其为人耿介，讲经论道，有实学也。再三留驻长安，因敕建大清真寺，迎使率随从居之……太宗后敕江宁、广

1【埃及-中国】拜德尔丁·本·海伊·悉尼“中国籍”（بدر الدين بن حي الصيني）编：《中国阿拉伯关系》（*al-'Alāqāt Baina al-'Arab wa al-Ṣūn - العلاقات بين العرب والصين*），埃及復興印書館（المكتبة العصرية），1951年版，第144页。

2【古漢文獻】《閩書》卷七《方域志》“靈山”條。

3【英國】威爾斯（H. G. Wells）主編：《世界史綱》（*The Outline of History*），出版社和出版日期不詳，‘應該是1951年的再版’，第29章，第580頁。

4【埃及-中国】同上：《中国阿拉伯关系》，第153页。

州，亦建清真寺分驻。”。1这里所写得‘旺各师’应该是先知的母舅瓦格斯（سعد بن أبي وقاص），‘天经’指的是《古兰经》。在此三种的说法中，也就是所说发生在先知在世期间的所称为‘使节’。实际上不一定是真实的使节，很可能是当时富有的阿拉伯商人，他们在隋朝已享有某种地位，后来新的唐朝政权成立后，很大可能想与他们建立某种友好关系，鉴于他们以前的身份，就开始出现定居不归的现象，在中国娶汉女，生了混血的子女。这些商人必定在中国政权面前在某意义来讲有一定的特殊优待。另外，此三种说法中值得注意的是，记录这些说法的均是清代的史学家，即是很晚记载的，无疑比不上更早记录的消息，因此部分学者对这些说法还是保持怀疑的态度。

4、唐永徽二年说

此说法得到很多学者的支持和赞成，是由于在古汉文献中有确切的记载，搜索中文的文献时获得了两次不可置疑的记载。一是《旧唐书》云：“唐高宗永徽二年（651年），大食王噶密末赋遣使中国，自云有国已三十四年，历三主矣”²。此段文本不仅简略告诉我们该阿拉伯帝国的噶密末赋（埃米尔·穆敏妮；信士们的长官）已派遣了使节到中国，又告诉我们该国的一些情况，此国从三十四年成立的时间，历任三位哈里发。二是《册府元龟》又确定此消息云：“永徽二年八月“大食国始遣使朝贡”³。

除了上述的说法之外，有些学者认为伊斯兰入华的时间应该晚到8世纪中甸。这种说法亦有部分学者的支持。据《明史·西域传》一书云：“其教传入中国的时间，当在唐肃、代二宗朝。”⁴据此文本伊斯兰教入华应该在八世纪下半叶。此外，东方学者基布（Gibb）认为，伊斯兰教在中国传播是在元朝期间。⁵当然此说法是按逻辑来说的，应该指的是伊斯兰和穆斯林在中国分布发展的过程，并非指的是伊斯兰教传入中国的开始。此文本确切地记载中阿之间产生有外交的关系。只不过我们不能绝对地确定是此日期为传入中国的开端。

实际上，去深入思考并分析上述的说法前，务必明白“伊斯兰教传入中国”的这一句话的真正含义，到底所指的含义是什么？这里可以假设几种含义，第一假设：指的是第一位阿拉伯穆斯林踏入中国土地？第二假设：第一个从阿拉伯哈里发国赴华‘朝贡’的使团？第三假设：第一位信奉伊斯兰教的中国人？或伊斯兰教在中国民间开始传播，或开始认识到了伊斯兰教。这些事情需要提前分得清楚才能决定伊斯兰教入华的具体日期。在这些假设和问题基础上，能得到一个确切上述一个问题的答案。

第一假设：如果以第一个穆斯林踏入中国当作为伊斯兰宗教传入中国的标志的话，那就是这个时间按上面所论述的，应该是在先知生前发生的事，大致在628年和632年之间。在此几年当中，半岛整个南部已归信伊斯兰教，很大可能也门或阿曼籍穆斯林商人到达中国。基于此，笔者赞同将最早伊斯兰教传入中国的确定时间应该是在公元628年后。该说法是二十世纪初编辑的《二十世纪阿拉伯百科全书》

1【古漢文獻】藍子義著：《天房正學·旺各師大人墓誌》卷七。

2【古漢文獻】《舊唐書·大食傳》卷一百九十八。

3【古漢文獻】《冊府元龜》卷九八。

4【古漢文獻】《明史·西域傳<地理考證>》

5【英國】H. A. R. Gibb: *Mohammedanism: A Historical Survey*, (London, Oxford University Press, 2nd ed. 1962, P.21.

所支持的，尽管所提及的圣门弟子名字无法考订。¹

第二假设：是第一位正式以穆斯林身份进入中国。那就是伊斯兰教正式传入中国在唐永徽二年的说法才是最切确的说法，尤其是此说法已有中阿双方的文献的明确记载的文本。据此假设我们将 651 年为伊斯兰教传入中国的标志。

第三假设：第一位信奉伊斯兰教的中国人。此假设在缺乏史料的记录下，是无法确定的。但是我们还是可以将此说法或假设分成两种说法。一是，第一位信奉伊斯兰教的中国人，第二是，混血出生的第一位穆斯林华人，这两种假设。实际上，两种假设还是不能确定时间。可以预测的是在唐朝初期开明政策下，准许夷国人与中国汉女同婚的情况下，能说此事发生了很早。大致在唐朝初期内。当时随着阿拉伯穆斯林涌向中国来经商，第一阶段阿拉伯穆斯林留居中国而不归的现象就开始。他们在中国，娶中国女人，他们的中国部分亲戚很可能被这些夷国阿拉伯人所信奉的宗教教规受到某种影响，而归信伊斯兰教了。伊斯兰教就这样缓慢地开始被周边的环境公认，不少中国人开始认识到了阿拉伯穆斯林及他们所信奉的宗教而归信了伊斯兰教。这两种假设的结论便是不迟于 7 世纪后期。

第四假设：阿拉伯史学家一般以军事方式征服某地方当作伊斯兰传入此地的标志。譬如，伊斯兰教传入埃及的标准日期是阿穆尔·本·阿索（عمرو بن العاص）征服了埃及的日期，当作伊斯兰教传入埃及的标志，即 641 年。据此假设可以弥补了另一种的假设，也就是在阿拉伯史料不少次记录的‘征服喀什葛尔并攻克中国’标题（فتح الصين）。与此假设相比而言，伊斯兰教传入中国的这种方式是军事方式，则此假设是用了经商和外交的和平方式。泰伯里在他的名著《泰伯里通史》一书中，在“屈底波征服喀什葛尔并攻克了中国”大标题下，叙述了此事件。据这位著名的史学家记载此事件发生在回历 96 年，即等于公元 715 年左右。²基于这种的推论可以将伊斯兰教传入中国的第二日期晚后变为 715 年。

第五假设：指的是在中国民间传播并被本地人开始接受而归信伊斯兰的。此事不可能突然发生，则需要一个过程才能到达结果。特别是当时阿拉伯商人只聚集在南方海边的港埠，住在藩坊的藩客³，除非有生意以外很少与周围社会打交道。因为这个原因和实际情况，这个过程要花很长时间，很可能大约一个多世纪中国本地人才被伊斯兰教和穆斯林日常和风俗习惯产生了影响。

除上所述，值得一提的事，伊圣人及其弟子们在麦加时，遭受压迫和折磨，在此困境下，他令弟子们前往半岛红海对面的古阿比西尼亚王国。他们分两趟前往阿比西尼亚王国。据先知所知，该国王享受正义，不欺负他人。据传，迁移到阿比西尼亚的有两个团队，第一团是在 615 年七月左右。第二次具体在 619 年左右前往阿比西尼亚。后者的旅行团分成两团，一团是从舒伊白港埠起航⁴，另一团是从也门港埠起航要前往回到麦地那，只不过海风不顺迫切前往阿比西尼亚。这里要注意的是，是否在也门的那一团中，有没有人是从也门亚丁或其他附近港埠前往中国的早期穆斯林？尤其是该团有中国四贤典故中的瓦格斯的亲兄弟，叫：阿米尔·本·艾比·瓦格斯（عامر بن أبي وقاص），而不是经常所指的是萨德·本·艾比·瓦格斯（سعد بن أبي وقاص）。是因为萨阿德·本·艾比·瓦格斯根本没有前往阿比西尼亚也没去过也

1【埃及】穆罕默德·法裡德·瓦基迪（محمد فريد وجدي）單編：《二十世紀阿拉伯百科全書》（*Dāirat Ma'ārif al-Qarn al-'Ishrīn* – دائرة معارف القرن العشرين），貝魯特，知識印書出版社（دار المعرفة للطباعة والنشر），第三版，1971 年版，第 5 卷，第 616 頁。

2【古阿文獻】泰伯裡（الطبري）著：《歷代先知和帝王史》（*Tārikh al-Rusul wa al-Mulūk* – تاريخ الرسل والملوك），遺產印書社（دار التراث），貝魯特，1967 年，第 6 卷，第 500 頁。

3【注】譯為：外國人在唐朝期間的住宅。

4【注】舒伊白港埠是沙特吉達港埠在歐斯曼哈裡發期間替代的麥加古代港埠。

门。¹如果该假设正确的话，我们能得出新的结论，即伊斯兰教传入中国的时间应该在隋恭帝杨侗末年（619 年左右）。据笔者所研究，此说法是一个新的结论，在这问题上算是新的突破。

总而言之，对伊斯兰教传入中国的具体时间还是个众口纷纭的难题，各执一词。不过笔者认为说法不一致的根源是在于对“伊斯兰教传入中国”的这一句话的真正理解。根据所指的含意大概就可以指定具体的时间。上述详细地论述此种含意的若干假设，每一假设的推论指某日期。虽说上述的诸多证据和推论，此问题至今引起诸多中国内外学者的分歧。希望上述的这些推论给予后来的学者有所帮助，让此问题更清晰一点。

结论

本小论文中论述了前贤们在阿拉伯帝国早期所忽视了的三个上述的问题。穆罕默德圣人在建立早期阿拉伯帝国时，特别重视建立良好的国际关系。他派遣了一些圣门弟子前往阿比西尼亚等古邻国。在研究过程中又探讨了先知生前是否向中国派遣使节的大问题。因为这问题与‘伊斯兰教入华的问题’相连，又与中国阿拉伯什么时候建立关系有密切相关，所以，对于详细地论述。中国境内外的学者还是没有切确的说法。笔者认为，此问题要按‘伊斯兰入华’这一句话的含意能确定大抵什么时候伊斯兰教传入中国，相继能解决中阿交换使节的问题。伊斯兰教传入中国的含意可以指的六个含意，1- 第一个穆斯林踏入中国，很大可能发生在先知生前，大概是在 618 年或 628 年左右两个日期。前者也就是 618 年是学者在这一方面的新的假设，据知，没有其他学者提出来。新的突破还是笔者提出的瓦格斯这个人不是熟知的萨德，但可能是阿米尔.本.艾比. 瓦格斯的亲兄弟。因为据阿拉伯史料记载萨德根本没有离开阿拉伯半岛，而后者去过了阿比西尼亚，可能在去阿比西尼亚前，到过中国？是不能确定的事宜。但这个可能还是存在的。2- 第二假设，指的是中阿双方第一次交换使节，据史料所记应该是在永徽二年，公元 651 年。其他假设还是值得注意。3- 第一位中国籍信奉伊斯兰教。不论这位中国人是本地人，还是由通婚而出生的中阿孩子。4- 第三伊斯兰教在中国普遍扩展等含意。

与上面所提到相关的问题就是一直以来被很多阿拉伯和外国学者，特别是中国学者和中国穆斯林少数民族的老百姓是普遍流行的圣训。在引用阿拉伯伊斯兰圣训学后，就得出了一个结论，就是这份说法非是伊斯兰教圣人所说，而是杜撰的说法。在同时，尽管这份说法并不是圣训，但是在中国阿拉伯关系史和之间的文化关系意义重大。

summary

This short paper discussed the three above-mentioned problems that the previous scholars ignored in the early days of the Arab Empire. The Prophet Muhammad placed special emphasis on establishing good international relations when building the early Arab empire. He sent some companions (Ṣaḥābā) to ancient neighboring countries such as Abyssinia. In the process of research, I discussed the big question of whether the

¹【古阿文獻】古爾圖比 (القرطبي) 著：《先知眾門弟子傳記大全》(al-Istī'āb fī Ma'rifa' al-Aṣḥāb - الاستيعاب في معرفة الأصحاب)，時代印書社 (الدار العصرية)，貝魯特，首版，1992 年，第 2 卷，第 799 頁。

Prophet sent envoys to China. Because this issue is connected with the "Islam entry into China" and is closely related to when China and Arabia will establish relations, so it is necessary to discuss it in detail. Scholars inside and outside of China still have no definite statement. The author believes that this problem should be based on the meaning of the phrase "Islam entered into China" to determine when Islam was introduced to China, and to solve the problem of China-Arab exchanges of envoys one after another. The meaning of "Islam entered into China" can refer to six meanings, 1- The first Muslim stepped into China, which probably happened before the Prophet's lifetime, probably around 618 or 628. The former, that is, the year 618, is a new hypothesis of scholars in this regard, and as far as is known, no other scholars have put forward it. The new breakthrough is the author's suggestion that Waqas is not the well-known Sa'ad (سعد بن أبي وقاص), but may be the brother of Āmir bin Abby Waqas (عامر بن أبي وقاص). Because according to Arabic historical records, Sa'ad did not leave the Arabian Peninsula at all, and the latter went to Abyssinia, maybe before going to Abyssinia, he went to China? It is an uncertain matter. But this might still exist. 2- The second hypothesis refers to the first exchange of envoys between China and Arab states. According to historical records, it should be in the second year of Yonghui (永徽二年), AD 651. Other assumptions are worth noting. 3- The first Chinese national to believe in Islam. It doesn't matter whether the Chinese is a local, or a Chinese-Arab child born through intermarriage. 4- The meaning of the third Islam is generally expanded in China.

The problem related to the above mentioned is that it has been widely popular by many Arab and foreign scholars, especially Chinese scholars and ordinary people of China's Muslim minority. After citing the Arab Islamic Hadith, a conclusion was drawn, that is, this statement is not said by the Islamic scholars, but a fabricated statement. At the same time, although this statement is not a hadith, it is of great significance in the history of Chinese-Arab relations and the cultural relationship between them.

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基于文学社会学评《我不是潘金莲》中的中国社会与政治腐败

Chinese political and social corruption through a critique of the novel "Chinese-style divorce" from the perspective of the sociology of literature

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基于文学社会学评《我不是潘金莲》中的中国社会与政治腐败

摘要:

《我不是潘金莲》是刘震云创作中的一个最重要作品；在这部作品刘震云通过叙述了一个被丈夫污蔑为“潘金莲”的女人故事来客观地反映了中国日常生活的问题与政治的腐败；尤其刘震云一般在展开其创作的故事情节时常常使用“因小到大”的过程；从家庭的小问题就反映了中国社会里面的大问题；这样的作家揭露了中国社会与政治的体制。

本论从文学社会学角度来批评《我不是潘金莲》这部作品所涉及到的中国社会生活问题及政治腐败，主要讨论下面的重点；文学社会学的定义、文学与社会生活之间的互相影响、怎么使用文学与社会之间的关系来深刻地描写社会，也怎么解决社会问题、从文学社会角度客观地反映出来《我不是潘金莲》中的社会现象；即中国社会生活及政治腐败、解释出来刘震云怎么使用本创作的方法“因小到大”来反映阶级矛盾、也解释作家怎么使用荒诞讽刺与幽默以便深刻地反映《我不是潘金莲》里的中国社会生活及政治腐败，讨论作品怎么体现社会学的特点。

一、讨论以《我不是潘金莲》为主题的前研究论文：

以前，有很多研究论文关注分析《我不是潘金莲》，例如；

- 1- 江松的“女性主义视域下的《我不是潘金莲》探析”；论文深刻地反映女性内心的呐喊，也从性别差异的现象来探讨女性主义色彩，也揭示了女性主体意识觉醒。
- 2- 白明利的“真做假时假亦真,无为有处有还无--小说《我不是潘金莲》的精神现象学分析”，该论文从精神分析的角度来运用现代哲学理论，分析出来《我不是潘金莲》者不小说。
- 3- 陈金钊的““实用”法律观所衍生的悲剧——以电影《我不是潘金莲》为样本的分析”论文，该论文解释出来法律的缺点 也揭示了这样的缺点怎么威胁社会的安全和稳定。
- 4- 陈光的“《我不是潘金莲》的叙事分析”论文；该论文从叙事题材处理、叙事视点利用与叙事语言的选择三方面来分析小说。

关键词:

文学社会学 刘震云 《我不是潘金莲》 社会问题 政治腐败

• 文学社会学的定义

我们为了给文学社会学一个定义，首先要提出来文学和社会学的定义，后来提出来文学社会学的定义；文学是一种艺术形式，文学的表现形式是；诗歌、小说、散文、戏剧、报告、寓言与童话等 文学的表现形式，文学主要反映社会的真实面貌，既反映一定时期和一定地域的社会生活。

社会学是一门主要注意研究社会现象、社会问题 社会事实、社会结构、历史和社会里的文化现象的科学，社会学分为很多的专业例如；文化社会学、经济社会学、应用社会学、网络社会学家庭社会学、恐怖主义社会学与语言社会学等

那么文学社会学是一门把文学和社会学融合在一起的跨学科 也是一种批评视角，既从社会学的视角来研究文学活动。文学社会学主要重视文学所表达的社会事实的总体条件及其作用。

批评家和研究生从文学社会学这个批评视角来研究、阅读和分析文学创作中的社会面貌、社会改变、历史及社会问题，我们这样使用社会学视角来研究别的艺术种类，就是文学，因此可以说这样的研究种类就变为跨学科研究。

• 文学社会学的起源:

文学社会学最早可以追溯到 19 世纪的法国思想家卢梭*；他最早注意到了文学与艺术、历史及社会之间的内在联系，他创造了很多解释了社会、艺术和文学之间的关系的创作例如《论科学和艺术》。

1920 年文学社会学已经进入中国，中国作家通过在《新中国》杂志里出版的《新文学概论》文章开始介绍了西方的社会学思潮，然后 19 世纪 30 年代中国文学家介绍了马克思的文学社会学思潮，然后这个思潮 改为一个文学研究视角。

• 文学与社会学之间的关系，及互相影响:

上述笔者提出了文学和社会学的定义，从两门科学的定义本人 意识到文学和社会学之间有密切的关系。实际上，文学与社会学之间从最早有密切的关系，**原因就是:**

1- 文学和社会学两门学科是人类学科:

两个科学关注人和所发生在社会的问题。文学主要注意描写人 这个人在社会上活着了，这个人肯定遇到社会问题，所以文学创作中必须描写社会背景、社会面貌、社会在不同时期的情况及改变 来表示人在社会生活情况下怎么过日子，怎么处理社会生活中的问题，还描写人的性格和思想方法怎么在任何社会情况下可以发生改变了。

2- 中国文学随着社会的改变而改变:

中国文学最早是社会生活的反应，文学随着社会的发展而发展的，中国社会的历史分为两个主要部分，1919 年之前后的中国社会，下面本人再解释 1919 年之前后的中国社会与文学的密切关系；

一、1919 年之前的中国社会与文学的关系:

1919 年之前的中国社会可以分为中国原始社会和中国封建社会；

❖ 中国原始社会与文学的关系:

中国原始社会始于大约 170 万年前的元谋人，那时候社会生活很简单，人们那时没领悟自然现象，他们对自然现象觉得害怕，他们幻想着征服自然，所以他们创造了神话传说以便反映他们的感情、他们遇到的社会问题及现象，也他们怎么克服这些社会困难。那时神话传说依靠了口语，因为文字那时没出现了。

神话传说故事的主要人物都是英雄人物，在神话传说里作者将人物描述为具有强力为征服自然力量，这样神话传说美化了围绕人们的社会现象，也以人物美化为英雄人物，从这儿浪漫主义出现了。

* 雅克·卢梭（法语：Jean-Jacques Rousseau, 1712 年 6 月 28 日—1778 年 7 月 2 日），是启蒙时代的法国与日内瓦哲学家、政治理论家、文学家和音乐家，出身于当时还是独立国家的日内瓦。

实际上，中国最早的文学创作肯定了文学和社会之间的最早密切关系，例如《山海经》这个创作是先秦时期出现的最早神话，它的内容十分广泛，因为内容包括神话、民俗、宗教、传说、礼仪 天文、历史、地理、动物、植物与医药等。

《山海经》反映了许多民间传说的妖怪、原始社会和文化的信息。《山海经》对我们提出了中国神话最早分类，《山海经》也记载了民族之间的战争神话，在一定程度上反映了中国的原始社会、历史和文化的的主要特点。

从上述的引文笔者看到中国文学出现的原因就是原始社会和语言的发展，这是文学和社会最早的关系。中国原始社会上的浪漫主义产生的原因是中国的社会条件。

❖ 中国封建社会与文学的关系：

中国封建社会自（公元前 475 年战国时期到 1912 年清朝）当时的社会是阶级社会的，这是因为“中国封建社会以农立国，土地是最基本的生产资料 and 主要财富，土地所有制是封建制度的基础”，在中国封建社会时期，地主占有土地，赶走原来的土地所有者，然后把土地租佃给这些无地农民，由农民自行开发与耕种，缴纳地租^{*}，所以当时社会分为两个阶级就是：地主阶级和农民阶级每一个阶级有不同的社会结构、教育方法和思想等，随着社会和经济的发展，两个阶级之间的矛盾和冲突增加了，这导致了封建社会的崩溃。

这个时期的文学形式反映了封建社会的所有生活方面，这个时期的文学创作让我们好像看到了封建社会的文化、历史、传统习俗 主要哲学思想、社会特点及社会的一些问题，例如：《诗经》 《左传》、《战国策》、《楚辞》、《三国》，《水浒》、《聊斋志异》与《红楼梦》等，这些作品都具有历史性的，因为它们反映了封建社会的历史（王朝的历史），上述的作品也反映了封建王朝的文化及每一个王朝的社会面貌，例如《诗经》；这个作品深刻反映了从殷周时期到春秋中叶时期的社会生活的各个方面；它反映了中国封建社会中的劳动生活、战争生活、传统习俗、婚姻，甚至动物、植物及天象等方面。

笔者认为古代文学创作的大概部分主要具有历史性的，创作也具有浪漫主义的；这是为了两个原因：第一：作家为满足统治者 而歪曲了社会现实，也反映虚假的社会，以及美化了过去和自然 第二：中国的封建社会与西方世界隔绝，这是因为当时的统治者不要西方的自由思想进入中国。

1840 年（鸦片战争时期）封建社会结束了，作家开始觉得自由 其中鲁迅，是第一个作家在 1918 年创造了一个具有现实主义和人道主义的作品就是《狂人日记》，在这个作品中他反映了他对封建社会的恨增，他也通过这个作品反映了这个社会怎么改变人的心理和性格。

二、1919 年之后的中国社会和文学之间的关系：

1919 年 5 月 4 日是中国社会历史最重要的日子，在这个日子“五四运动”在北京发生了，以青年学生为主，工人、下阶层人和市民参加这个运动，这个运动是为

^{*}赵庆云：《试论中国封建社会的主要特点》，来源：《史学理论研究》2021 年第 4 期，2021-08-26。

反对帝国主义与封建主义而爆发的运动，农民的起义和资产阶级的革命都改变了封建制度的阶级斗争。

从这个运动之后，中国社会开始跟西方国家社会交流，西方的自由思想、新社会思潮（妇女解放、教育发展等）与文艺新思潮(现实主义、人道主义、象征主义与现代主义等)越来越进入中国。

从五四运动以来具有新风格的小说开始出现了，例如鲁迅的《阿 Q 正传》、《祝福》、《孔乙己》和《故乡》，巴金的《激流三部曲》，《爱情三部曲》和《憩园》等，老舍的《骆驼祥子》和《子夜》等，这些作品都对旧社会、旧制度作出深刻的控诉，这些作品也描写中国人在封建社会中怎么失去他们的价格和尊严、妇女在这个社会中怎么失去了她的尊严和实体。

1949 年 10 月 1 日中国成为中华人民共和国，中国进入了社会主义的时期，50 年代的开头经济、社会、手工业和农业都发展了 人民的收入增长了，这当然丰富文学创作，有很多的作品在这个时期描写了中国社会各个方面的发展，文学题材也随着社会、经济和农业的发展而多样化和蓬勃发展的；例如农村题材创作“《卖烟叶》、《实干家潘永福》等”、革命历史创作“《红旗谱》、《铁路游击队》、工业题材创作“《上海的早晨》、《三家巷》”等 这些创作描写了社会变革对传统农村、经济、历史等的全面冲击 也描写新社会的面貌及社会的新结构（没有阶级的社会）。

1966 年毛泽东发动了“文化大革命”的政策，这是为了两个原因；第一：对共产党内外的资本主义分子作斗争，第二：维护与巩固他在党内的权力。毛泽东的政策对当时中国社会的各个方面是完全错误的，在“文化大革命”下“四人帮”集团出现了，这个集团对人民犯下了罪行，这个时期的事件影响了社会，社会过了 10 年内乱。

上述提出的社会动荡对文学有大的影响，这个是文学停止的阶段，因为毛泽东那时提倡两个文学理论就是：“高大全”与“三突出”这两个理论对中国文学产生了毁灭性的影响，在林彪、“四人帮”的残酷压迫下，许多优秀的作家被迫害致死，那时候浪漫主义的创作传播了，现实主义的创作少出现了。

1976 年 10 月 6 日，“四人帮”审判了，然后文学创作再次开始复活了，很多的现实主义、人道主义和象征主义的文学创作出现了，伤痕文学和反思文学也由于“四人帮”的结束出现了，例刘心武于 1977 年 11 月创造的《班主任》小说，这个作品描写“四人帮”对青年灵魂造成的内伤，卢新华也于 1978 年 8 月 11 日创造的《伤痕》小说，这个小说也反映了人的思想的内伤。

80 年代中国社会是中国的一个活跃时代，过去中国社会系统是附于政治系统的，但是 80 年代社会的自主性增加了，同时外资的大量涌入了中国、中国知识与文化界繁荣了。那么关于当时的文学界；改革、寻根、现代派、先锋、新写实、新历史等文学潮流出现了，当时的文学创作例如；韩少功《爸爸爸》，残雪《山上的小屋》，马原《冈底斯的诱惑》等，都代表寻根文学和现代文学。

80 年代末 90 年代初，中国社会发生伟大的改变，90 年代中国传媒例如电视、书报杂志与电子媒体等都发展了，在这个社会情况下，全球化这个概念进入中国社会各种各类的领域，文学也受到全球化的影响，所以文学创作结构和文学的因

•“四人帮”：是由王洪文、张春桥、江青、姚文元的四个人在文化大革命时期构成的集团。

•“三突出”：是文化大革命的文艺理论，提倡在创造一个作品，作品里的人物需要是正面人物，正面人物也需要是英雄人物。

•“高大全”：是文化大革命的文艺理论，提倡主要人物要发起高、大、全的角色。

素改变了；主题、题材、叙述等的创作手段发生了变化，旧的文学创作加以新的因素。中国作家越来越受到西方写作的新观念和新文学思潮。

80年代末90年代初有很多的文学创作反映了全球化对社会的影响，例如：刘震云的《手机》，它反映了手机这个全球化的形式怎么破坏了很多的中国丈夫关系。

20世纪，中国和世界许多国家进行交流了，所以中国跃升为世界上第二大经济体。在全球化思想的传播下；中国的经济、社会、法律和文化问题都与全球化有紧密相关系。

21世纪的开头，特别在2003年以来中国遭受了非典病毒。很多中国人因受非典病而死亡了，这场病毒震撼了中国社会，文学创作特别报告文学反映病毒的创伤事件，例如《人民日报》；它描写新冠病毒对社会和人民的影响。还有《非典危机》小说，它描写了非典病毒怎么给人民的的生活和精神带来新的冲突，也反映普通人们在抗击病毒的日常生活。

2013年9月和10月由中国国家主席习近平分别提出建设“一带一路”的合作倡议[•]。这合作倡议的目的是增加中国与有关国家之间的文化、经济、政治交流，这个合作倡议不仅影响了中国社会，而且影响了世界国家的社会。随着“一带一路”倡议的出现，文学就受到这个政策的影响，还有新的文学种类随着“一带一路”政策的宣言而出现，就是“丝路文学”，“丝路文学”，都属于“沿着丝绸之路的国家的文学”[•]；“丝路文学”创作以丝绸之路为背景或反映出来事件在丝绸之路上发生了；例如《马可·波罗行记》、《西游记》和《伊本·巴图塔游记》等。

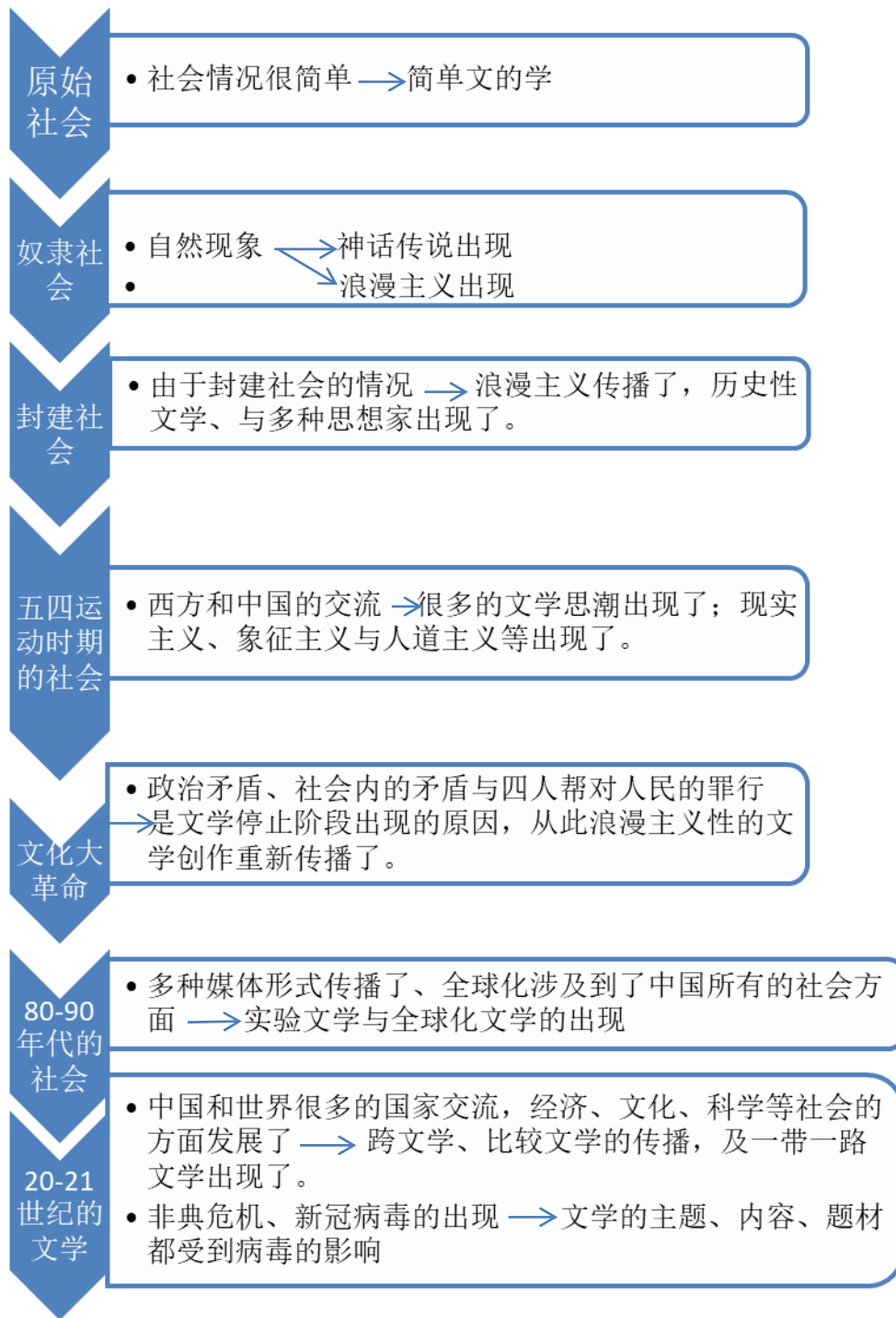
2019年12月，新冠病毒在中国出现了，中国社会和全世界国家的社会都受到了这个病毒的影响；所以中国和其他国家的经济、生活水平、游览等方面受到负面影响、中国人民与世界上的人民开始在新冠时代生活了，人民的生活从那时完全改变了。

值得注意的事，当中国社会面临危机时，报告文学就传播起来当时有很多的报告文体反映出来社会在这个危机下的情况，例如《人民日报》出发的高乔的“新冠病毒溯源，该查的是美国”的报告文体，它反映新冠病毒的事件。

从上述的引文笔者看到，从中国古代社会到中国目前的社会，文学与社会学之间有密切的关系，及有互相影响；随着时代的发展，社会在发展，文学也随之发展；文学进入的每一个新阶段，都是社会条件变化的结果，文学的新种类也是社会改变的结果，下个图形表示笔者的意思；

• “一带一路”合作倡议：既“21世纪海上丝绸之路”这个倡议依靠中国与有关国家之间有双合作平台

• 参见张明廉对丝路文学及多民族文学的思考。<http://chinawriter.com.cn> 2015.7.9



3-作家、读者和社会之间的关系

笔者认为任何文学作品都与三个因素相关联：就是作家(发件人)、读者(接受者)和社会生活(共同因素)；关于作家他受到了他自己成长的社会环境的影响，他也受到围绕他的社会问题和社会现象的影响，从这点他取得他的创作题材，也开始创造他的文学作品；作家的作品也肯定反映出来社会生活现象。

作家一出版了他的创作，读者就开始受到作者的生活经验，因此，作家的角色是唤醒读者的意识、让读者熟悉围绕他的社会问题及现象，让读者有解决这些问题的未来愿景，所以笔者看到作家和读者之间有共同的因素就是社会生活，同时作家、读者和社会现象是三个构成文学文本上下文的因素。

一般而言社会对作者的影响就是给他经验、心智自主为构成好文学作品。

4-社会学与文学批评之间的密切关系:

社会学对文学批判与研究有直接的影响；社会学对文学批判性阅读的形成做出了贡献，因为它推动批评家从外部研究文本；批评家对任何文学文本进行批评时，首先要收集有关作家自己的社会环境、围绕文本的社会条件与问题；这是因为诗人和作家不会写与他们的社会条件相矛盾的文本，如果他们的社会处于战争或战争状态诗人或者作家不会表达奢侈和自由的生活。因此批判性研究关注社会对文本的影响。

上述笔者概述了社会和文学之间的密切关系，两个学科之间有互相的影响，但是文学创作不能脱离社会而形成，**那么两个学科之间的主要区别是什么？**

社会学不关注人在社会里的行动、思想及感情，不关注个人的问题和自己的困难，它所表达的是社会，与人在社会的反映，那么文学而且主要注意叙述人在社会生活里的情况、思想和行为。

目前有很多的文学批评家依靠文学社会学来批评文学创作，笔者在这个论文将依靠文学社会学来批评《我不是潘金莲》¹中的中国社会与政治腐败。

笔者主要将依靠布迪厄*这个社会学家的反身性理论、“习性”(habitus)理论来批评《我不是潘金莲》；布迪厄的反身性理论注重个人经历，也重视这个经历怎么对实践活动有大的影响，并塑造他对社会的看法，那么“习性”理论注重社会行动者怎么受到围绕他的社会情况影响，也注意社会行为者对其所遭受的社会现象的反应。

笔者首先将依靠布迪厄的反身性理论来解释作者的个人经历也解释围绕作者的社会状况，因为社会状况对他肯定有大的影响，这当然对实践活动(创造“我不是潘金莲”)有大的影响，然后笔者将依靠布迪厄的“习性”(habitus)理论来分析小说；也就是说通过分析小说的对话叙述来解释作品怎么反映中国社会体制、社会问题社会现象、法律与政治的腐败，后来笔者再一次将依靠反身性理论来解释这些社会现象怎么对小说中的人物性格发生了改变，最后笔者再解释小说怎么与社会学发挥相同的作用；既修理社会的缺点与改善社会的情况。

•反身性理论与《我不是潘金莲》的作家社会环境:

笔者依靠迪厄的反身性理论来提出作家的经历，也围绕他的社会面貌怎么塑造他的性格，这当然对他创造作品过程有影响；刘震云 1952年5月生于河南省延津县，1978年刘震云在河南的一所中学当老师，早上给学生上课，晚上复习，同年考入了北京大学中文系，1982年刘震云毕业了，同年在《农民日报》工作，从那时候他开始创造了文学创作。

刘震云从1987年开始在《人民文学》发表了他最早的文学创作就是：《塔铺》、《一地鸡毛》、《温故一九四二》等作品。刘震云2011年当中国人民大学文学院教授，2012年他创造了《我不是潘金莲》。

¹-刘震云：《我不是潘金莲》，长江文艺出版社，2012年7月出版。

* 布迪厄: Pierre Bourdieu (1930-2002) 当代法国著名社会学家，1954年毕业于巴黎高等师范学院。布迪厄著述达340余种，社会学涉及人类、教育、历史、政治、哲学、美学、文学、语言学等领域，他的创作有《阿尔及利亚的社会学》《实践理论概要》、《再生产》、《背井离乡》等。

• “习性”(habitus)理论: 该字是布氏界罗马文所改用而来，的确具有习惯、习性的意味，但是却不是单纯反射性的习惯，而是一个透过长时间生活实践，累积下来的，视为理所当然的一种习性。“习性”也是社会行动者通过他在他所生活的社会世界的社会场域中的存在而获得的永久和可转移的倾向系统。

综上所述，我们可以得出刘震云从1952年到1978年在河南省生活了，他是农民的孩子，所以他从小的时候到青年时亲眼目睹了中国农村社会中发生的一切历史事件、问题、困难、文化与那里的农人思想等。

他自己的人生像一个农民一样，饱受贫困之苦，他靠自己顽强的斗志，也靠着姥姥5元救济款的学费，这样作家靠着农民式不要命的拼搏；他上学、参军、进入北京大学的中文系得到成为中国最有名的作家之一。

笔者认为作家以他在农民社会的经验作为创作的题材，所以他的创作的大部分都深刻地反映农村社会的生活面貌、现象与问题。笔者通过读了刘震云的很多小说理解了刘震云怎么受到农民社会的影响；他创造的《故乡天下黄花》（1991年）、《故乡面和花朵》（1993年）、《故乡到处流传》（1999年）、《我叫刘跃进》（2007年）、《一句顶一万句》（2009年）、《我不是潘金莲》（2012年）都反映作家怎么使用他在农村长时期生活的经验，把这个经验放在他的小说里，上面笔者提出的刘震云小说都反映了中国农村里的小人物或底层人的生活态度，也反映作家所见、所感与所闻的中国农民的所有痛苦、所有社会现象、所有社会生活的问题、所有农村文化等。

关于作家创造《我不是潘金莲》的原因，就是为反映他在农村看到的社会与法律的弊端对农村社会的影响，作家创造这个作品为提高舆论、提高读者的意识；意思就是对读者提供了很重要的社会问题和现象，也让读者领悟这样的现象对人的思想和行为怎么有大的影响，同时让读者考虑这个问题的解决，这样笔者来肯定文学现象实际上是一种社会现象。

值得一说，《我不是潘金莲》这个作品会起着重要作用来纠正社会和政治目前的腐败，并实现人的重建。

• 围绕《我不是潘金莲》的社会与政治背景:

一、《我不是潘金莲》的社会背景:

1—“生二胎孩子”的社会问题:

《我不是潘金莲》反映“生二胎孩子”的社会问题对中国人特别农民的坏影响；这个社会问题的根源可以追溯到1979年6月。当时陈云等人提出生育组织计划，以控制人口增长，该计划有利于国民经济发展计划，有利于保护母亲和儿童的健康，有利于广大群众的生产、工作和学习，提倡“只生一个孩政策”想法，然后在1979年10月“一胎化”这个计划生育的政策开始实行的，政府当时开始给予只生一个孩子的丈夫某种物质奖励。

那么政府对出生二胎孩子的家庭发出很多的制裁例如：面临巨额罚款甚至减工资或失业，如果出生二胎孩子的家庭没有能力支付罚款，计划生育官员就会把他们的房子拆除，或收到这个家庭的家具或电器。

这些制裁的坏结果就：

- 1—中国的计划生育政策导致超过9000万儿童独自出生。
- 2—当时很多的妇女在怀孕后期堕胎。
- 3—由于传统习俗农村家庭更喜欢有男性；这导致选择性堕胎和杀害年轻女孩，最后男女人数的不平衡数字导致人们的走私和卖淫。

二、“饿死事小，失节事大”的社会背景:

“饿死事小，失节事大”这个成语也对《我不是潘金莲》的主人公有大的影响。实际上这个成语是儒家的一个礼教，指旧时女子应该守贞节，女子宁愿死也不能丧失节操。贫困饿死是小事，失节事情是很大的事。

这个成语宋代以前传播了，这个成语包括寡妇女，如果她再一次结婚了，这样这个妇女按这个儒家的礼教是失去了贞操的妇女 这个儒家的礼教到目前向农民有巨大的影响。

二、围绕《我不是潘金莲》的政治背景:

全国人民代表大会是《中华人民共和国宪法》规定的中华人民共和国最高国家权力机关，大会的职权就是：任免权、修改宪法 立法权与重大事项决定权等。第一届人大会议于 1954 年召开，目前人大会议一般在每年 3 月召开。

实际上，人大会议的筹备和召开对官员们来说非常重要，中国政府为大会的召开采取了很多的预防措施。

上面笔者解释了《我不是潘金莲》这部作品通过其主题、内容 人物对话反映社会和政治现象。下面笔者来提出小说的内容，后来通过《我不是潘金莲》里的对话叙述来提出《我不是潘金莲》里的中国社会和政治的腐败。

《我不是潘金莲》的内容:

《我不是潘金莲》小说讲述了一对夫妻的故事；李雪莲这个妇女因为生了二胎孩子，也因为笔者上述解释的(1979年)中国计划生育政策的处罚，李雪莲和她的丈夫秦玉河觉得害怕，所以他们俩办了假的离婚，然后他的丈夫欺骗了她，也把这个假的离婚改成了真的离婚，他也去跟别的女儿结婚了。

按照中国的结婚和离婚法，第一个孩子和秦玉河住在一起，第二个孩子和李雪莲住在一起，然后李雪莲为跟丈夫复婚，她去了法院告状，但是法院判定了李雪莲跟秦玉河的离婚是真的离婚，这是因为离婚证是真的，然后李雪莲见面了秦玉河试一试跟他解决他们的问题，但是他却在人们面前叫她“潘金莲”，这种名声后来将伴随着李雪莲屈辱的一生，这件事对李雪莲是不可忍的，所以她首先想杀害她的丈夫和法院院长，然后她改变了她的想法，也开始走了一条漫长二十年的告状之路；告状层级从县法院、县长、市长、省长 一直到全国人大，最后她被他们都骗了人，还被他们骗了身，最终她被他们都真成了“潘金莲”，她失望了，也决定了吊在树上，当时她见面了果园主人，他对李雪莲的话让李雪莲绝处逢生，让她不要吊在树上。

《我不是潘金莲》对话叙述里的社会与政治的腐败:

下面笔者通过小说的对话叙述来解释社会与政治的腐败，同时依靠布迪厄的“习性”理论来解释社会行动者（对话叙述里的人物）怎么受到围绕他们的社会情况的影响，也注意社会行为者（李雪莲）对其所遭受的社会现象的反应。

1 —“**只生一个孩政策**”与社会的腐败

在中国“只生一个孩政策”这个社会现象实际上对中国人有 坏的影响，所以人开始找到非法律的方法来解决这个问题，这件事情是通过小说里的对话出现的，例如：

作家在小说里的叙述部分：“二胎时非法的，如秦玉河是个农民，罚几千块钱，也能把孩子生下来，但秦玉河是化肥厂的职工 如生下二胎，除了罚款，还会开除公职”。

李雪莲和丈夫的对话也提出了“只生一个孩政策”对人的影响 例如李雪莲对丈夫的对话：“孩子在肚子里侏我呢，我带把他生下来。”

秦玉河：“不能生。生下他，我就被化肥厂开除了”

李雪莲回答说：“镇上赵火车这么干过，自俩就没关系，我生下孩子，孩子就成了我一个人的，跟你也没关系了。大儿子归你，剩下的孩子归我，一人一个，不就不超生了吗？”

秦玉河说：“但也不能因为孩子，自俩就离婚呀”。妻子说：“子也跟赵火车一样，等孩子上了启口，自俩再复婚，孩子是在离婚时生的，复婚等于一人带一个孩子。那条政策也没规定，双方有孩子不能结婚，结婚后不再生就是了。”¹

上面的对话是小说的中心事件，上面的对话也对读者提供人怎么开始犯法以便解决这样的问题，这个方法在中国社会开始传播了。

2—中国社会里贿赂的盛行:

小说提供了中国社会里的人怎么通过贿赂来实现自己的利益。该贿赂现象通过小说里的很多事件表现出来的，例如：

- 作家自己描写李雪莲去王公道家的这个事件时说：“李雪莲拍王公道家的门，手都拍酸了，李雪莲来时背了半布带芝麻，拎着一只老母鸡”。
- 李雪莲对法院专委说：“上午我去了你家，给你家背了一包袱棉花，拎了两只老母鸡”，法院长对她说：“快去把你的棉花和老母鸡临走”，那时李雪莲说：“你老婆当时答应我了，说你管这事儿”。
- 王法院长去李雪莲家以便问她如何她今年去不去北京告状的时候。他对李雪莲说：“我给你带来一条猪腿”，然后王法院长对王法院长关于李雪莲说：“为了哄住她，二十年来，她可没少得东西。光猪腿，我给她送过十七八个”，“都见大家给当官的送东西。哪见过当官给一个农村妇女送东西？”。

从上述笔者可以说中国社会里的小层人和大负责人互相贿赂来实现自己的利益，这个社会现象在中国传播了，也对人民的态度和行为有坏的影响。

3—互不信任的危机:

小说的故事事件依靠主要思想就是互不信任的危机，从小小说的开头到小说的结尾都展示了互不信任的危机，小说里面的叙述表达笔者的看法，例如：

- 王公道对李雪莲说：“已经证明了二十年，今年突然说不证明。谁信呢？”
- 李雪莲说：“我不告诉你了，今年我想通了。”
- 王公道对李雪莲说：“你要这么说，还是要告状，大表姐，你张口就是瞎话呢”²。
- 李雪莲回答说：“谁给你说瞎话了，我说实话，你不信。”
- 李雪莲对大头说：“本来我不准备再告状了，说给他们，他们就是不信”。
- 李雪莲对市长说：“我跟他们说过两回，我今年不告状了，他们不信”。
- 市长回答说：“像我小时候，说真话，当权者不信哩”。
- 李雪莲对赵大头说：“本来我不准备再告状，说给他们，他们就是不信，把我当成了骗子。”
- 李雪莲在故事的结尾说：“出门告状不丢人，让人把人骗了，让人把人睡了，又让全天下的人知道了，今后我可怎么活呀？”。

4-政治制度的腐败:

《我不是潘金莲》的小说通过李雪莲和其他人物之间的关系表达了中国社会里面的政治制度腐败，下面笔者再说明小说怎么揭露了中国所有的政治制度腐败现象：

- 小说故事通过市长蔡富邦、县长史为民、法院院长昀正义、法院专委董宪法、法院法官王公道、新县长郑重和市长马文彬揭示了政客怎么滥用职权，他们也诬陷无辜百姓，例如：市长蔡富邦，他一看到了李雪莲在市政府门口坐着，头顶一个“冤”字，他也为了进行“精神文明城市”创建活动，而让几个

¹—刘振云：《我不是潘金莲》，6—7页。

²- 刘振云：《我不是潘金莲》，20页

警察把她架走，以“扰乱社会秩序罪”^{*}把李雪莲关进了拘留所，而这一切为保住政治地位。

- 小说故事也揭露了政治人怎么贿赂公众获得自己的利益；这是通过王公道和李雪莲之间的对话表达了；王公道贿赂了李雪莲，以便劝她不去告状了。

贾聪明和赵大头之间的地场也揭露了政治人怎么贿赂公众以获取利益；贾聪明为解决李雪莲对前夫的告状问题，他想了一个办法就是让李雪莲跟赵大头结婚，这样李雪莲不再告状，实际上贾聪明要和市长互相利益；市长要保持他在工作的地位，但是李雪莲的问题威胁他的地位，而贾聪明要市长帮助他当法院副院长，所以贾聪明见面赵大头，也跟他商量关于李雪莲的事，他说服了赵大头结婚李雪莲以便拒绝她再一次告状，他也对赵大头说如果他能将李雪莲搞定，让她不告状了，县长和市长就会帮助他的儿子在畜牧局当临时工 赵大头同意了，也和李雪莲做了关系。

从上述我们可以说政治家和中国的政治制度丰富了腐败 上述的政治家都为维护自己的地位，不管李雪莲的主要问题 他们的唯一问题在于怎么停止李雪莲不再告状，以便维护他们的政治权力，他们也将李雪莲关起来就是害怕自己与前任一样丢了乌纱而使尽各种手段。

- 小说故事反映政治负责人怎么使用非法方法来恐吓李雪莲并压制她的声音，例如：郑县长为了确保李雪莲不再告状的话 他要让她写个不再告状的保证书，他对李雪莲说：“我相信你，那就写个保证书吧，如果再告状，就得承担法律责任 事情没那么严重，也就是个形式”，李雪莲对他说：“我有冤可以不申，但不能给你写保证书，一写保证书，好像是我错了，不是二十年全都错了，你们拿这张纸，就能把我抓起来”从这样的对话我们可以注意到公民怎么被迫放弃权利。
- 刘振云在小说中通过全国人民代表大会的领导人对话来深刻地揭露了中国社会和政治的腐烂，好像作家把这个人物来表达他个人对中国社会所遭受的政治和社会腐败程度的看法，领导人的对话好像总结了中国政治制度所有的缺陷和错误，他对参加人说：“贪污腐化，不正之风是扩大人民群众意见最大的方面，这两颗毒瘤不摘除，我们的党和国家早晚会完蛋，我们党是执政党，我们党的宗旨，要求我们时刻要把群众的利益放到首位。但有些人是不是这样呢？贪污腐化，不正之风，就是把自己的利益，放到了党和群众的利益之上。他当官为了什么？不是为了给人民当公仆，而是为了当官做老爷，为了发财，为了讨小老婆。我们还有什么个人利益不能放弃呢？今天上午一个妇女，告状告到了大会党，她被警卫人员，当作恐怖分子，一个农村妇女离婚，竟搞了大会党，这么小的事，怎么就搞到大会当了呢？是要把小事故意搞大吗？不，是我们的各级政府，政府的各级官员 并没有把人民的冷暖疾苦放到心上，层层不管，层层推诿 层层习难，一个妇女要离婚，要状告七八个人，从他那个市的市长，到她那个县的县长，又到法院院

* “扰乱社会秩序罪”：中国刑法中妨害社会管理秩序罪的一种。主要特征是：（1）侵犯的客体是社会秩序的正常管理活动。（2）在客观方面表现为在首要分子的纠集下，聚众扰乱国家机关、企业事业单位和人民团体的正常活动，致使工作、生产、营业和教学、科研等无法进行。（3）主观方面是故意，行为人一般是为了通过聚众捣乱，给政府或有关单位施加扭力，以实现个人的无理要求。

长，法官等等，使谁把她逼上梁山的呢？不是我们共产党人，是那些喝着劳动人民的血”。

大会党的领导人好像总结了小说故事的情节，也好像深刻揭露执政党的劣势和短板，他也说明一个很重要的事实——就是；领导人对人民事务缺乏兴趣，加剧了政客与人民之间的紧张关系，也会导致个人和社会的不稳定。

- 刘振云也通过李雪莲的故事来解释体制怎么能杀人；在故事的结束我们看到了李雪莲怎么由于所承受的压力和迫害，让她产生了自杀的观念。

从上述我们可以说政治家和中国的政治制度丰富了腐败，上述的政治家都为维护自己的地位，不管李雪莲的主要问题，他们的唯一问题在于怎么停止李雪莲不再告状以便维护他们的政治权力，他们也将李雪莲关起来就是害怕自己与前任一样丢了乌纱而使尽各种手段。

总地来说笔者看到作者通过《我不是潘金莲》来提倡执政党是该坚持国家、民族的利益。

• 中国社会现象和政治制度的腐烂对李雪莲性格的改变：

上述笔者提出的中国社会和政治的腐烂肯定改变主人公的性格；李雪莲由于“生二胎孩子”的政策从一个朴实的村妇变身为狡猾诡诈的女人；她为了生下二儿子，说服丈夫欺骗了法律。

领导人对李雪莲的事务缺乏兴趣，就加剧了政客与她之间的紧张关系，也会导致李雪莲的性格变得更加自信，并决心实现自己的权利。

在故事的结束，由于承受了很大的政治和心理压力，最终她的性格变得更加软弱，直至想到了自杀。

在这个作品李雪莲当然代表了普通的中国农村人，也代表普通人怎么受到政治和社会现象的腐烂的影响，这个影响当然改变了人的性格，如果社会里的人民性格变得更糟，这将导致社会崩溃。

总结：

笔者从文学社会学的角度，特别反身性理论和习性理论来分析刘振云的《我不是潘金莲》的内容、对话叙述与主人公的性格。

从分析小说的过程，笔者发现很重要的事实，就是文学作品发起的作用跟社会学的一样；他们俩涉及到任何社会里的最重要现象和问题，同时两门学科接触这些社会现象对人的影响，两门学科也对解决社会里的问题有巨大的作用。

在《我不是潘金莲》中作家代表社会学家来深刻地揭示所有发生在中国的社会现象、社会政治制度的腐烂、社会制度问题，这些现象和问题当然改变了社会制度的特征，也当然改变了社会里的人物性格。

社会学不仅提出社会里的现象和问题，而它也提供问题的解决方案，那么关于《我不是潘金莲》，笔者认为作者也通过小说的对话叙述会提供社会现象的解决方案；这当然通过在小说里隐含的作者的立场出现了，例如：在这部作品，我们可以意识到作者对领导人的性格隐含的立场，我们通过大会议的领导人可以看到作者对传播于社会的现象和问题所隐含的立场。

值得一说，《我不是潘金莲》不仅注意提出社会现象和问题——而更注意的事就是深刻地反映人的性格怎么在这样的社会发生了改变，例如：该作品揭示李雪莲的性格在社会问题中怎么改变。

笔者认为文学作品比社会学书对提出社会现象和解决社会问题更重要的，因为文学作品比社会学有一种神奇的能力，可以很容易地进入人们的心态和感受，所以它对社会的改变具有更大的能力。

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新冠疫情下汉语术语的演变
The Development of The Chinese Terms During The Novel Coronavirus Epidemic

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Abstract: The vocabulary of modern Chinese is always in a dynamic change, and they create new words directly with the continuous emergence of a large number of new things. The COVID-19 epidemic in 2019 has had a huge impact on social development. Due to the gradual changes in the appearance of words due to the new epidemic, among the part of the vocabulary that has developed and enriched, the most striking is the new term. This research takes the new epidemic as the background, investigates the Chinese terms related to the new epidemic, and analyzes the evolution of Chinese terms caused by the epidemic. This research is based on materials such as the "Chinese-English New Coronary Dictionary", "World Intellectual Property Organization Database (Wipo)" and "Chinese-English Vocabulary for Fighting the New Coronary Pneumonia Epidemic" published by Fudan University Press. This paper first defines the concept of the term, and also summarizes the unique characteristics of the term. Secondly, the evolution of Chinese terminology is analyzed from two aspects of situational composition and semantics. Firstly, the formal composition of Chinese terminology is divided into compound words, contraction words, borrowed words and homophonic words. Then, the semantic aspects of Chinese terms are divided into new words with new meanings, old words with new meanings, old words regenerated and rhetorical semantics. This paper adopts the research method combining application research and analysis research.

Keywords: Epidemic, Terminology, development, Structure, Semantic meaning

摘要:

现代汉语的词汇始终处在一种动态变化之中，它们直接随着大量新事物的不断涌现而创造新的词语。2019年新冠疫情为社会发展带来了巨大的影响。由于新冠肺炎疫情逐渐使词语面貌发生很大的变化，而发展丰富的这部分词汇中，最引人注目的是新词术语。

本文以新冠疫情为背景，将相关新冠疫情的汉语术语进行考察，分析因疫情产生的汉语术语的演变。本文以复旦大学出版社版的《汉英新冠词典》、《世界知识产权组织数据库》和《抗击新冠肺炎疫情汉英对照词汇》等资料为基础。本文首先界定了术语的概念，还概括了术语的独特特征。其次把汉语术语从形势构成和语义两个方面的演变进行分析。先把汉语术语的形式构成分为混合词、缩合词、借用词和谐音词。然后把汉语术语的语义分为新词新义、旧词新义、旧词再生和修辞语义。本文采取应用研究与分析研究相结合的研究方法。。

[关键词]：疫情 术语 演变 构成 语义

一、术语的概念及其特性：

1.1 术语的概念

如果要给术语下定义的话，我们不妨采用现行有关国家标准中的定义：“在特定专业领域中一般概念的词语指称”⁽¹⁾。从国家标准关于术语的定义不难看出，术语和普通词汇一样，都以语言单位作为“基质”。

术语又称专业语言、技术用语，是指特定事物的统一的业内称谓。《现代汉语词典》（第6版）也将术语定语为“学科中的专门用语”⁽²⁾。术语可以是词，也可以是词组，用来正确标记生产技术、科学、艺术、社会生活等各个专门领域中事物、现象、特性、关系和过程。

1.2 术语的特性

学者们关于术语的特性开展不少研究，中国科技术语的订名应体现：科学性、系统性、单义性、简明性、中文特性和国际性。

(1) 科学性。科学性就是从科学概念出发，准确反映所指事物特征，根据概念的全部特征来掌握事物的内涵，借以做出确切的定义。如：“石油、火箭”是中国自己创造的术语，“激光、电视”是意译外国的科技术语。(2) 系统性。系统性就是在一个学科、以至相关领域中，术语不是孤立的、随机的。(3) 单义性。单义性就是术语是单一的、专用的，理论上讲任何一个概念只能有一个专门固定的术语，即“一词一义”，这样才能确切表达意思，避免发生歧义。如：“电子计算机和电脑”。(4) 简明性。简明性是指术语简单明了，尽可能简短，但又不应该简化到人们不好看懂。如：“点阵、阻尼”等术语就是范例。(5) 中文特性。中文特性是指术语订名要体现汉语表意文字特点，一看有中国味。而且符合汉字发展规律。要采用通用汉字，不要用生僻字和造新字。如：“电动机”比“马达”好。(6) 国际性。国际性就是指术语订名要尽可能采用国际通用的术语和符号，由中文译成的外文要与外文术语的本来概念一致，这样才有利于国际学术交流、发展中国科学事业和发展国际贸易。如：“计算机辅导设计”

二、新冠疫情下汉语术语的演变

汉语术语和其他名词一样，一直处在不断的变化之中。由于大量新事物，旧术语、旧概念的不断改变，新术语、新概念的不断产生发展，导致了现在术语与原来术语之间的差异。

新冠疫情所造成的影响不仅限于人类健康及其社会与经济生活，还延伸到了人们的语言。新冠疫情期间创造的术语比一般词汇都发生了一些变化。本文从形式构成的变化、从语义的变化来阐释汉语术语演变的规律。

2.1 汉语术语从形态构成的演变

⁽¹⁾ 全国术语标准化技术委员会，《理论与应用》，北京，中国标准出版社，2000年。

⁽²⁾ 冯志伟，《现代术语学引论》，增订本，北京，商务印书馆，2011年。

汉语术语有基本的语言结构，新冠疫情爆发了之后，汉语在术语构词方面必然存在着变化，导致产生了新的术语。术语构成方式的演变主要可细化为混合词、缩合词、借用词和谐音词等。下面主要解释汉语术语从形态构成的演变。

2.1.1 混合词

混合词是把两个词各取一部分混合在一起而产生的新词。在疫情危机中，不但使用单词表示这个疫情的情况，而且出现了一些新造的词语组合，由两个词汇混合而成的新术语。如：

- “信息疫情”。这个术语由“信息”和“疫情”，两者是独立的词汇，都有自己的语义，疫情爆发了之后，这两个词汇混合而成的“信息疫情”是指与某词危机相关而内容往往不实的信息在媒体和网上泛滥。这个新术语用于描述当下正迅猛扩散的有关冠状病毒的新闻。

- “远程健康”。所谓“远程健康”是指应用 ICT 技术为异地患者提供远距离卫生健康服务。这里我们把“远程”和“健康”两个词汇的一部分合在一起，这样就组成了“远程健康”这个新术语。

- “动态清零”。这个术语由“动态”和“清零”两个词汇混合而成的“动态清零”新术语。“清零”就是从有到无的过程，就是把疫情消灭的过程。但是这个消灭仅仅指某地某时刻发生的某一起疫情。“动态”就是疫情发生与清零是在不断变化的。“动态清零”根本宗旨就是发现一起疫情，扑灭一起疫情，不让疫情在当地“生根”。

- “居家办公”。这个术语由“居家”和“办公”，两者有自己的语义，而把它们合在一起构成“居家办公”新术语，是指特定情况下，上班族居家基于互联网处理办公事务的一种办公模式。新冠肺炎到来，中国以及世界各国公司采取这类方式办公。

由此可见，混合词是将两个单词的部分成分相接合，形成了与新冠疫情相关的新术语。但是新术语的词义没有改变。之所以将两个单词混合成为另一个新的概念。

2.1.2 缩合词

缩合词是由表示事物的全称术语缩减几个语素，再按原来的次序组合成的词。新冠疫情期间，汉语缩合有几个形式，本人把最常用的来解释。第一形式就缩略组合式。即取每个词语的第一个字，或取两个词的首字和尾字形词了新词。如：

- “新冠”。这个术语是“新型冠状病毒肺炎”的简称，世界卫生组织命名为“2019 冠状病毒病”。“新型冠状病毒指的是新型冠状病毒肺炎,是一种新发急性传染性疾病。这里把“新型”和“冠状”两个词汇缩合而成“新冠”新术语。

- “密接”。所谓“密接”是“密切接触者”的简称，这里把“密切”和“接触者”两个词汇缩合而成“密接”新术语。它指是与新冠病毒确诊者或疑似病例有密切接触的人群。即在一同一个空间、同一个单位、同一座建筑、同一栋楼，发病前 4 天，跟这些病人相处的人。

- “疫控”。疫控是“疫情防控”的缩合词，这里把“疫情”和“防控”两个词汇缩合而成“疫情防控”新术语。它指立用单位宣传栏开展新冠病毒和呼吸道传染病防治知识健康宣传。

除了缩略组合式以外，还有数字总结式。即得出共有字的总数，并把共有字放在数字的后面。如：

- “三查”。所谓“三查”是全面开展健康甲明卡核查、体温检测筛查、医学巡查。这里总结了三个检查构成“三查”新术语。

- “四早”措施。所谓“四早”是早发现、早报告、早隔离、早治疗。这里总结了四项措施应该早地发生而“四早”新术语。

- “四必须”。必须严格督促就诊和陪诊人员做到“口罩必戴、体温必监、健康码必查、行程码必看”这里四个必须没提到而总结了构成“四必须”新术语来表示。

上述的列子都算是新术语，本文注意的并不是新术语，而是构造那些术语的形式构成。并且两者的缩合形式附着力很强一般不需要加连字符，新词的形态结构一般比原词短，但会尽量保留原词的基本形式。

2.1.3 借用词

所谓借用词就是借用外来词汇或其它专业词汇来表达某种语义。某些外来词虽然已经归化，语义相对固定，但在某些特定场合，它们可以被借用来表达新的概念。这种借用换个角度理解，似乎也是转用。新冠疫情期间，汉语从各种语言如，英语、德语、法语、韩语、意大利语等借用很多与疫情相关的术语。如：

- “冠状病毒”。“冠状”这个术语是法语单词（*Couronne*）的拉丁原型，原有冠状物之意。在日常生活中大多数法国人使用（*coronavirus*）这个术语，但其实从科学层面来讲，这个词代表了整个冠状病毒家族。在初步判定病原体为新型冠状病毒之后，变为“新型冠状病毒感染的肺炎”或“新型肺炎”，最终确定为“新型冠状病毒肺炎”，简称“冠状病毒”。

- “群体免疫”。这个术语原来是英语科学术语（*Herd Immunity*），而不是目标或策略，汉语借用而使用。“群体免疫”是指人群或牲畜群体对于传染的抵抗力。对于新冠流行的最主要预防措施或扼制手段，就是接种新冠疫苗，使人群中大多数人具有对新冠感染的抵抗力。

- “新冠肥”。这个术语来自德语，（*Corona speck*）在德语里面是培根的意思，有时也会暗指像培根上的脂肪。疫情期间指很多人身体上因为居家隔离长出来的肉。

- “新冠笨蛋”。这个术语同时被英语和德语（*Covidiot*）所借用。指的是疫情期间把超市里东西买光，以及继续开派对到处乱晃的居民。

从上述列子可以看到，新的外来术语就能在短时间内迅速地深入社会生活的各个角落，极大满足了新造词的创造和使用者的要求。

2.1.4 谐音词

谐音是指使用一个形式替另一个形式。疫情期间用这种方式创造了新术语。本文把谐音方式分为汉字谐音和数字谐音两类，下面的术语有意识地利用音同或音近的汉字或数字去替换固定形式的一个或几个语素。

(1) 汉字谐音。谐音式新闻标题利用汉字音同字不同的特点，在切合新闻事实的前提下，进行合理转换，达到增强新闻标题抒情色彩，赋予其深刻内涵的目的。如：

- “战疫”。谐音式新闻标题《战“疫”》，采用了“战疫”的谐音来代替“战役”原来词汇，在抗疫报道中最为常见。新冠肺炎疫情是全人类需要共同面对的挑战。习近平总书记强调，要坚决打赢疫情防控的人民战争、总体战、阻击战。新闻标题中将防疫、抗疫称为战“疫”，生动形象，简明扼要。

- “抗疫”。这里用“疫”字相关的谐音来代替“抗议”原来词汇。新冠肺炎疫情发生以来，新闻战线全力投入报道，传播抗疫正能量，大量与疫情相关的新闻信息见诸网络，在百度搜索引擎输入“抗疫”关键词。但是，值得注意的是，当“抗疫”、战“疫”成了新术语。

(2) 数字谐音。下面的例子都是与疫情防控相关的健康管理措施。如：

- “2+14”。这项措施指核验2天内新冠病毒核酸检测阴性。结果为阴性的，纳入14天日常健康检测。日常健康检测期间，在3、14天各进行一次核酸检测，结果为阴性的，结果日常健康检测。

- “3+11”。这项措施指3天居家健康观察+11天日常健康检测（起始日从离开风险区日算起），在第1、3、7、14天进行核酸检测，第14天和同住家属一同进行核酸检测。出现发热、咳嗽、咽痛、腹泻、嗅觉减退等症状时转为“14+7”健康管理措施。

- “7+7”。这项措施的意思是7天集中隔离观察+7天居家健康观察，7天集中隔离观察期间第1、3、7各进行一次核酸检测，居家健康观察期间第2、7天各进行一次核酸检测。

- “14+7”。这项措施指14天集中隔离+7天居家健康观察，在集中隔离观察期间第1、3、7、14天进行核酸检测，居家健康观察期间第2、7天各进行一次核酸检测。

2.2 汉语术语从语义的演变

汉语中概念性词汇（特指或泛指）依然使用同一词汇。但新冠疫情爆发后，语义受限后的特指可能就要变成另一词汇。还有一些词汇，虽然表达的概念与过去是相同的，但语义中它们变成新的术语有独特的概念。通过各种不同的情况创造了更多的新术语。下面主要解释汉语术语从语义的演变。

2.2.1 新词新义

新词因为其“新”，往往具有不稳定性，所以对于此类词汇也要随着它在原语中的变化而变化。在医学、社会、经济和教育等方面，对此有疫情中出现的新型病毒和其感染疾病的新术语具有自身的概念，这类术语在汉语中原来没有，也不存在，在此期间而出现了。如：

- “奥密克戎”。这个术语是2019新型冠状病毒变种。最早于2021年11月9日在南非首次检测到。因为“奥密克戎”毒株为新冠病毒的变异株，因此感染的患者通常症状较轻，重症情况较少见。

• “指示病例”。这个术语是指在一起爆发疫情中符合病例定义、最早发现和报告的病例。“指示病例”是爆发调查中最重要指示之一，为追踪疫情传播链、分析疫情爆发原因和提出控制措施等，提供最直接和最关键的线索和提示。

• “复工复产”。这个术语指企业恢复正常生产经营活动。2020年2月3日，中央提出“要在做好防控工作的前提下，全力支持和组织推动各类生产企业复工复产”。2020年3月4日，中央强调“根据疫情分区分级推进复工复产”。2020年4月8日，中央首次提出“全面推进复工复产”。⁽¹⁾

• “时空伴随者”。这个术语于2021年7月出来的。是指本人的电话号码，被新冠疫情防控系统核查出与确诊病例的关联电话号码，存在时空伴随状态，本人的绿色健康码就会变成带有警告性质的黄色码，并被系统标记为“时空伴随”的人员。

总之，随着疫情的发展，在疫情发展的每一个阶段，都会有与之相适应的新术语有新而独特的概念，并影响人们的交际活动。

2.2.2 旧词新义

旧词新义，也称“转用”，是指词本身内部结构形式不发生变化，而意义发生改变，这使得词汇在表达的运用上更加灵活和多样。所谓转用，也就是给既有词汇赋予新义，使之表达一个新的概念。本文把术语的新义分为扩义、狭义和转义。

(1) 扩义。它是“词义所指称的客观事物的范围由小变大的结果，也就是词的某个意义由原来的表示种概念，扩展为表示类概念的变化和发展”⁽²⁾。如：

• “方舱医院”。这个术语指新冠肺炎疫情暴发后，依托会展中心、体育场馆等改造修建，用于集中收治新冠肺炎轻症患者的临时医院。“方舱医院”原为解放军野战机动医疗系统的一种，由若干可以移动的模块建成。启用方舱医院是我国公共卫生防控与医疗的一项重大举措，有效缓解了新冠肺炎患者“收治难”问题，使轻症患者能够得到及时有效治疗。这里把“方舱医院”这个术语的特指变成泛指。

• “静默”。字典里的解释是指寂静；没有声音；安静；肃立不作声等。疫情期间主要指封控区人员禁止出户，管控区人员禁止出单元，全体市民非必要一律不出门不上街不到公共场所。这里把“静默”这个术语的特指变成泛指。

• “封锁”。事务访问某数据对象前要对该数据对象加锁，获得该数据对象的控制权，是实现并发控制的一种手段。此次疫情是它成了热词。新型冠状病毒肺炎疫情控制过程中，各地采取的人员流动限制包括个体隔离、疫点和疫区的封锁、非疫区的人员流动限制等。这里把“封锁”这个术语的特指变成泛指。

(2) 狭义。它是指词义所指称客观对象的范围由大到小的变化，事实上“就是词的一个意义由表示类概念，变成为表示它的种概念的演变和发展”⁽³⁾

(1) 汉语盘点，《2020年度中国媒体十大新词语发布》，中华人民共和国教育部，2020年。

(2) 葛本仪，《现代汉语词汇学》，济南，山东人民出版社，2001年。

(3) 葛本仪，《现代汉语词汇学》，济南，山东人民出版社，2001年。

•“社交疏远”。最初用在 1957 年，原本是一种态度而非物理距离，指的是交际中冷漠或故意试图与他人疏远，而现在我们都将其理解为自己与他人之间保持物理距离以避免感染。这里把“社交疏远”这个术语的泛指变成特指。

•“碰肘”。跟用同一只手与对方拍掌再举手相击一样，最早 1981 年是队友之间的庆祝动作，而不像现在成了问候朋友、同事或陌生人时避免用手直接接触的一种方式。这里把“碰肘”这个术语的泛指变成特指。

(3) 转义。它是指词义在发展演变过程中，由甲义转变为己义。如：

•“自我隔离”。是把部分的事实从意识境界中加以隔离，不让自己意识到，以免引起精神上的不愉快。最常被心理隔离的是与事实相关的个人感觉部分，因为此种感觉易引不安。新冠肺炎为 2019 年爆发，病情分析：因为这个疾病的话，它是很有它具有很强的传染性的，所以这种情况的话，自我隔离的话就是在自己的房间中不要出去。最少隔离 14 天。带上口罩，不要接触别人。这里把“自我隔离”这个术语的特定含义转变另一含义。

•“压茬”。这个术语原形容农民种稻子一茬茬地种。在疫情期间指划分区域，分区分批实施筛查，循序渐进清除病毒。这里把“压茬”这个术语的特定含义转变另一含义。

2.2.3 旧词再生

疫情产生的大语境，使原本一些非常普通的概念也具备了特定的含义。尽管这些伴随疫情产生的附加语义在疫情之后会消失，但它们在特定时期承载的特定事件的信息，也应是语言工作者的研究对象。如：

•“疫情”。原体指各种传染病造成的大流行，但此次所说的“疫情”，其内涵受到性限定，特指“新冠病毒感染”的蔓延。“疫情”这个术语在此次新冠疫情期间重新被大量使用。

•“大流行病”。是指某疾病的发病蔓延迅速，涉及地域广，人口比例大，在短时间内可以越过省界国界甚至洲界形成世界性流行。由于国际间交流的日益增多，各种流行病在世界范围内的传播速度也不断加快。“大流行病”这个术语在此次新冠疫情期间重新被大量使用。

•“非典”。是指传染性的非典型肺炎是一种呼吸道传染性疾病，致病病原体为 SARS 冠状病毒。这个术语是 2002 至 2003 年使用的高频词，之后因此公共卫生事件的平息，使用频率下降。在此次新冠疫情期间，因常被人拿来和此次疫情比较探讨，“非典”这个术语重新被大量使用。

2.2.4 语义修辞

语义修辞是依靠语义手段以取得积极的表达效果的一种修辞现象。它利用言语单位语义特点及相互关系构成的一类修辞方法。本文选择一种疫情期间演变的语义修辞来解释就是“隐喻”。

“隐喻”是指以另一事物来指称、诠释和建构当前事物。在新闻报道中，隐喻不仅是一种修辞手段，更是媒体赖以构建意识形态、影响公众的重要工具。从汉语修辞的角度，根据本体的不同，可将疾病隐喻分为两类：

(1) 以疫情为本体的隐喻

1) “恶魔”隐喻。是指将疫情喻为妖魔鬼神等人类熟知的“恶魔”意象。如：

- “疫情是魔鬼，我们不能让魔鬼藏匿。”⁽¹⁾
- “疫魔无情，医护温暖却长存心间。”⁽²⁾

上述的例子以疫情为本体的隐喻，用“魔鬼”这个词汇来形容疫情。这种语义修辞以构建意识形态、影响公众的重要工具。

2) “自然现象”隐喻。将疫情隐为某些恶劣的自然现象。如：

- “让合作的阳光驱散疫情的阴霾。”⁽³⁾
- “风雨同行，共克时艰。”⁽⁴⁾

上述的例子以疫情为本体的隐喻，用“阳光”、“风雨”这两个词汇来形容疫情。这种语义修辞以构建意识形态、影响公众的重要工具。

(2) 以疫情防控为本体的隐喻

1) “考试”隐喻。是指将疫情防空喻为一场“考试”，将疫情带来的人员求治及社会治理问题喻为“考题”，将取得的抗疫成果喻为“答卷”。如：

- “疫情大考中国答卷的世界形象。”⁽⁵⁾
- “答好疫情防空和经济社会发展这两张“考卷”。”⁽⁶⁾

上述的例子以疫情防控为本体的隐喻，用“大考”、“考卷”这两个词汇来形容疫情。这种语义修辞以构建意识形态、影响公众的重要工具。

2) “比赛”隐喻。是指将疫情防空喻为“比赛”，用“比赛”的概念来认知疫情防空。如：

- “科学与新冠病毒的竞赛。”⁽⁷⁾
- “与死神拔河，与时间赛跑。”⁽⁸⁾

上述的例子以疫情防控为本体的隐喻，用“竞赛”、“赛跑”这两个词汇来形容疫情。这种语义修辞以构建意识形态、影响公众的重要工具。

(1) 《央广网》2020-01-30

(2) 《南方新闻网》2020-02-27

(3) 《人民日报》2020-03-25

(4) 《中国青年报》2020-02-18

(5) 《求是网》2020-04-11

(6) 《中国青年报》2020-03-26

(7) 《中国新闻周刊》2020-02-10

(8) 《中国青年网》2020-04-09

结语

本文主要研究新冠疫情下汉语术语的演变。首先解释术语的概念及其特性，然后把汉语术语的演变进行分析。对于汉语术语来说，它的演变有很大原因，其演变方式也可能有多种。有的从形式构成方面的演变出现在混合词、缩合词、借用词和谐音词等。有的从语义方面的演变出现在新词新义、旧词新义、旧词再生和修辞语义等。

本人通过收集与新冠疫情的术语达成了一些结论：随着时代的发展，人们观察研究的深入，认知能力的提高，有些术语得到了进一步的演变，最终成了现代标准的术语。通过新冠疫情下汉语术语的演变，我们也充分意识到疫情对现代汉语术语的影响。如何在重大突发事件发生了巨大而迅速的变化，就能在短时间内迅速地深入社会生活的各个角落，极大满足了新造词的创造和使用者的要求。这是一个深入研究的课题。尽管事件仓促，新术语也有不够，但是它是一个有益的尝试，本人希望此次与疫情相关的术语能为今后研究提供一点有益的参考。

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Translation Studies

SOCIOLOGICAL DIMENSION IN THE TRANSLATION OF SYRIAN REFUGEES' VOICES

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Abstract: The process of translation is lodged within social contexts. This starts with people who carry out the translation process as they belong to particular social system and further proceeds to the translation itself that is embedded in social institutions. These social institutions regulate different aspects of the process of translation, such as the choice, the output, and the dissemination of translation. Consequently, this leads to the translation strategies used in the translation itself. Investigating the agencies and agents involved in the translation process helps in realizing the translator and the researcher as constructing and constructed forces in society. This social dimension is not entirely remote from the cultural dimension since it is almost impossible to describe society adequately without culture and culture without society. Translating the voices of Syrian refugees with perspectives arising from miseries associated with war zones invites the receivers of these narratives to learn a lot about the catastrophic consequences of armed conflicts, and highlights the sociological role played by the different agents involved in the process of translation. Bourdieu's (1977) sociological notions of *field* and *habitus* have contributed much to the investigation of translation practices by translation agents and their role in submitting to or refuting the social norms that regulate their translation behaviors. This research seeks to explain how Bourdieu's notions of *field* and *habitus* can be employed in translation studies to account for the process of translation, and the role played by translation agents in this process.

Keywords: Sociological Dimension, Translation, Field, Habitus, Syrian Refugees

1. Introduction

According to Wolf (2011), the “sociological turn” in translation studies attempts to highlight the social influences around translation as an output activity. Concerns such as the role of translators as agents in the process of production, the process of production itself, the social factors influencing the process of translation, the network or the bonds between different actants, whether humans or non-humans, have invited the interest of different translation scholars, for example, Wolf (2011 & 2014) and Baker (2016) into the “sociological turn”.. That is to say, the contextual construct of translation has expanded to include the roles of the different agents involved in the process of translation (Chesterman, 2001). The emergence of the sociological turn in translation studies has, therefore, been reflected in scholars' interest in examining the impact of social actions on translation as a network. Network here refers to the group of actors/actants surrounding the translation process, whether human or non-human. This social dimension is not completely remote from the cultural dimension. According to Pym (2006) “[w]e talk, too readily, about ‘sociocultural’ or ‘social and cultural’ approaches, contexts, factors, whatever. [...] No doubt the ‘social’ is also the ‘cultural’, in the sense that both are opposed to the ‘eternal’ or the ‘ontological’” (p. 14). Consequently, the rise of turns in translation studies TS and the shift from text bound approach to a contextual approach confirms the interdisciplinarity of TS. This paper is primarily concerned with the

sociological turn that sees translation as a social condition and translators as social agents. Out of this “sociological turn” in translation studies, sociological approaches started to emerge and tackle translation as a social practice that provides research questions and theoretical frameworks that lead translation studies onward. “Sociological turn” deals with translation as a social condition and translators as translation agents. Bourdieu is among the many scholars of sociology, for example, Luhmann (1984) and Latour (1998), who have contributed to the field by introducing methods of inquiry in translation studies. Bourdieu plays a major role by developing the notions of *field* and *habitus* to address sociological factors, such as the role played by translators as agents in the process of translation (Buzelin, 2005). The main structure of the habitus is the outcome of objectifying the social structure to the point of individual subjectivity. Therefore, habitus is like the structural conditions in which it appeared. Bourdieu explains that habitus relies primarily on history and individual memory. For example, a certain act or behavior is internalized into a society's structure when the original motive of that act or behavior is no longer recollected and is socialized into people of that culture. Bourdieu's concept of *field* seeks to facilitate the systematic investigation of any social order. A field is described as a “network, or a configuration, of objective relations between positions” (Bourdieu & Wacquant, 1992, p. 97). The field is similar to a game. In the process of analyzing a field, the places that are held by individuals or groups are comprehended by examining their positions in the structure of power, as well as by investigating their objective relation to other positions, for instance, subordination, domination, homology, etc. (Bourdieu & Wacquant, 1992, p. 97). To do this, an identification of what is at stake in the field is necessary, such as the degree to which people are invested in the game and why; and how the game and the figures involved acquire the status of doxa, acceptance of the world as it is. Fields exist within other fields. Although any given field has its own independence and logic, it is nonetheless impacted by the thinking of broader fields. It is this interrelated and embedded nature of the fields that allows for an analytical synthesis of how broader social structures and relationships influence the particular relationships of interest to the analyst (Dick, 2008). In developed societies, fields are so diverse and tangled; accordingly, the developed habitus will be involved in a condition where it is out of place (Bourdieu & Wacquant, 1992). Under such conditions, those holding dominated positions may feel forced to either defend their positions or move up the social order (Bourdieu, 1984).

2. Bourdieu's Theory of Practice

Bourdieu's Theory of Practice involves structures that Bourdieu describes as the “products of historical practices and are constantly reproduced and transformed by historical practices whose productive principle is itself the product of the structures which it consequently tends to reproduce” (2004, p.118). Bourdieu's theory of practice sets up a relationship between the structure, habitus, and practice of an individual agent. According to Bourdieu (1977), the families we live in, the company we work for, or the school we attend are all examples of a structure. Habitus is the social and cultural conventions we acquire from the structure, and practice is our socializing process guided by habitus. Therefore, the two central terms in the theory of practice are *habitus* and *practice*. Habitus is “a structuring structure” that organizes practices and our perception of practices. Practice refers to what people do or an individual's performance in everyday life. Bourdieu coins the term *habitus* to refer to patterns of thought and behavior that are deeply internalized structures. These mental structures are representations of the external social structures people are in interaction with on a daily basis. These internal structures inform our practice and drive us to behave in accordance with social and cultural

conventions. For instance, our family represents the external social structure we live within, and it teaches us to respect our elder, and we internalize this and interact with the elders with respect spontaneously. Another important notion in Bourdieu's theory (1977) is the notion of *field*. Field is a network of relations that exists apart from individuals' will and consciousness because individuals internalize many things during their socializing process, so the network of relations exists apart from individuals' consciousness. These networks are not only interactions or ties among individuals, but they could also be among people, also referred to by Bourdieu as agents or institutions constrained by field. These fields could be religion, education, or a field of business. In other words, a field is a social setting that hosts individuals with different habitus, which means different ways of thinking and speaking, and there are also rules within the field that are determined by the same institution. A case in point would be working for a certain company that represents a field; this company has its own set of rules and regulations which govern individuals' behavior like dressing in a certain way. Under these fields, subfields can exist with rules known as "field-specific" rules, and they change when the fields change. Rules, also known as doxa, are not always stated as they are mutually understood, recognized, and internalized by agents. Consequently, these rules become involuntary. It is important to note that rules vary with social fields even if they share the same social structure. Fields keep changing, yet they are autonomous, and this means that upon comparing two social fields, they can be independent of each other. Fields are influenced by the social space around them; there is a huge influence from external factors like politics, for instance. There is a constant struggle between internalized social traditions and the different external factors; however, the boundaries of social fields are not fixed but rather flexible; for example, if someone decides to challenge certain traditions (handshake) and people become convinced by this challenge, social field can change, which confirms its flexibility. Therefore, Bourdieu's sociology provides researchers of translation with conceptual tools to observe translations not simply from a linguistic angle but also from a social perspective that stresses the impact of social settings, social surroundings, and external powers on the production and circulation of translated works. Translation fields are dynamic and keep changing from one period of time to another, thus, bringing changes to the inclinations of translation agents (Hanna, 2016). In short, the dynamics of the field or social space under which translation agents function are likely to impact their choice of work for translation and also the ways the produced translation disseminates in its space of production.

3. The Translation of Syrian Refugees' Voices

In mid-March 2011, Syrian events took place in Syria in the form of demonstrations that led to serious confrontations between the protestors and the police forces. Due to the ongoing tension and the absence of a solution in the early stages of the crisis, the situation developed and paved the way for the military groups to engage in a struggle with the Syrian government forces and later to an international intervention that caused more damage to Syria. These conflicts in Syria caused serious destruction of Syrian houses and infrastructures, health problems, torture, mass deaths, and the disappearance of basic human needs that has resulted in a dreadful humanitarian catastrophe (Howard & Hussain, 2011; Pantti, 2013). Many Syrians have been forced to flee their hometowns, seeking refuge beyond the Syrian borders. The United Nations High Commissioner for Refugees has reported that, since the beginning of actions in Syria in 2011, Syrians have been forced to leave their hometowns to find safer places around Syria or its neighboring countries. An annual report of 2017, the UNHCR demonstrates that over 5.2 million Syrians are refugees in Egypt, Turkey, Lebanon,

Jordan, and Iraq, not to mention Syrian refugees in European countries. It is also stated on the UNHCR's website that internally relocated Syrians are estimated to be 7 million people. Many Syrian refugees have landed in neighboring countries with health conditions pertinent to "trauma and substandard living conditions including physical and mental health problems" (Souaiby, et al., 2016, p. 85). Media reports about the Syrian situation and its influence on Syrians have been the headlines of mass media, forming the perception of the national and international public reading about or following the escalations of this series of events about the Syrian crisis.

As a form of expression, translating the voices of Syrian refugees with perspectives arising from miseries associated with war zones "offers insight, comfort, encourages empathy and gives voice to the voiceless" (Norie, 2015). Narrating stories and real-life experiences about Syrian tragedies invites the audiences directly to witness realities that are not dictated through news media that might actualize victims as simple numbers and portray war as a game. The receivers of these narratives learn a lot about the catastrophic consequences of armed conflicts from the viewpoint of victims of conflicts. These told narratives import the tragic oppression of war on humankind (Forché, 1993; Norie, 2015). Since we live in a time characterized by the absence of empathy and human connection, it becomes vital to get the opportunity to listen to voices that awaken the minds to the tragic happenings of man-made catastrophes. These voices intensify feelings of compassion for others and enhance an understanding of the agony of warfare victims. This opportunity is presented by Syrian voices, or others voicing Syrians, shared through online platforms, which gives insights into the suffering of the Syrian refugees during the Syrian crisis. These shared narratives aim to raise awareness about war atrocities and provoke sympathy for Syrian victims. The strength of these shared narratives rests not only in their power to register the suffering of Syrian refugees, which might help in curing their injuries, but also in the responsibility it carries in raising the awareness of the target receivers of atrocities against mankind and in rousing protective actions to ward off such practices when they happen (Forché, 1993). The function of documenting human abuses under the conditions of warfare and forced exile is acknowledged in several media platforms that record atrocities against mankind. In response to the Syrian crisis, the international community has started to focus on containment and humanitarian aid. Therefore, addressing the refugee crisis and their living status has taken priority over resolving the Syrian conflict. These documented realities provide a rich source of knowledge that depicts the tough conditions and difficult circumstances which these refugees have faced. The translations presented of these documented realities narrate stories about oppression, torture, imprisonment, and loss, to name a few. These translations bear witness to the hard times when mankind is mistreated in nearly different parts of the world, including Europe, the Middle East, and Africa. The significance of the talks documented in the online knowledge-sharing platform TED.com lies in their capacity to present human violations and voice the victims who resisted all the odds and strove to confront them.

Representing Bourdieu's theory of practice, the translation of a Syrian refugee talk featured in the online network TED.com is a case in point. Feras is a Syrian refugee and filmmaker who tells harrowing stories about displacement and his devastated community at an official TED conference. Feras talks about real-life superheroes who go beyond all possibilities to support Syrian refugees. The official talk is presented in English, and it is translated into several languages, including Arabic. The Arabic translation is carried out by Nawal Sharabati, a US citizen of Palestinian descent. Translation, in this sense, is a network of relations that exists apart from individuals' consciousness because individuals internalize many things during their socializing process. Translation is not only

interactions or ties among individuals; it further exists among agents or institutions constrained by a field. Simply put, translation, which is a social setting, involves individuals with different habitus, like the sender, producer, or translator of the text, with different ways of thinking and speaking. There are also rules within the field, and these rules are determined by the same institution, in this case, TED.com.

4. Conceptualization of the Translator's Habitus

On account of understanding Bourdieu's notion of habitus, this section attempts to demonstrate how a translator's habitus can be conceptualized by drawing upon Simeoni's (1998) social and professional habitus. Simeoni (1998) points out that "becoming a translator is a matter of refining a social habitus into a special habitus" (p.19). However, Simeoni has not indicated distinguishing features between both types of habitus, and this idea is further developed by Meylaerts (2010) into initial and professional habitus. Therefore, indicating that initial habitus is a primary part of the translator's habitus. It reflects the "individual's mental and physical structures as shaped by early socialization within structures of family, class, and education" and is "of primary importance for developing a sense of what is perceived as appropriate behavior" (Meylaerts, 2010, p. 2) in real practices. Meylaerts (2010) explicitly refers to professional habitus by stating that "the transposability of dispositions acquired through experiences related both to other fields and to a translator's larger life conditions and social trajectory may play a fundamental role in a translator's habitus" (p.15). In other terms, professional habitus is shaped by translators' later professions or primary professions.

Taking this as a starting point, the current paper attempts to further investigate the two types of a translator's habitus, the initial and the professional, with the translator of Feras's TED talk as a demonstrative example. Drawing upon Meylaerts' (2010) suggestion that a translator's initial habitus is shaped by his/ her early socialization related to family, class, and education, this study attempts to highlight that the professional habitus of a translator is likely to be related to the translators' later professions, and particularly those a translator becomes involved in as his/her primary profession. Given that most translators are simultaneously writers, journalists, editors, historians, teachers, etc., and not professional *translators*, discussions of translators' professional habitus must include both the habitus of the profession of translation and the habitus of the profession of any parallel discipline where the translator is occupied in, as translation is seen as "a field subject to so many invasions and interferences from adjacent fields" (Simeoni 1998, 24). Meylaerts (2010) suggests that experiences in different other fields are undoubtedly contributing elements to translators' "mental and behavioral schemata" (p. 5).

4.1 The Initial Habitus of the Translator

The social trajectory of Nawal Sharabati, the translator of Feras's talk, indicates that she is a Palestinian who was born, raised, and received part of her education in Palestine. In 1986, she obtained her bachelor's degree, majored in economics from BirZeit University Palestine, and got employed for years of her life in Ramallah until 2005. Her work experience started in 1986, teaching science and math at Modern Community College in Ramallah, Palestine. Then, for seven years, she was a teacher at the Ministry of Education (MOE) in 1995 in Hebron, Palestine. A career shift took place in her life, and she held a financial officer position, then an account administrator in the finance department for around ten years at BirZeit University.

Later she moved to the USA to obtain several studies in various fields. In 2010, she received a certificate in information technology, followed by a certificate of

professional, written, and oral, interpersonal communication in 2011 from Northeast Wisconsin Technical College. Later, Sharabati participated in a translation certification program and became a certified translation professional CTP holder in 2015. Since then, she has been a self-employed professional. Sharabati has volunteered as a professional translator in a variety of humanitarian organizations. In 2014, she participated with The Rosetta Foundation as a translator of social services. Also, she joined Global Voices Online as a translator and an editor of social services in 2014 and till the present time. In 2015, she contributed to the translator's program at TED conferences for educational purposes as a translator and a reviewer till today. In 2018, she joined Translators without Border until present time, translating health-related matters. This volunteering experience has demonstrated cultural and social sensitivity when dealing with diverse ethnic groups through her translation projects.

4.2 The Professional Habitus of the Translator

By profession, Sharabati is a self-employed volunteer translator. She has been trained as a translator and has volunteered in several humanitarian organizations, aiming to foreground characters and events and to attract readers' immediate attention. This internalized style of translation has become part of her professional habitus. Speaking of her TED story, Sharabati says, "accidentally, I have joined TED via Amara to learn how to subtitle a video from English into my native Language. I began to browse TED.com, and I liked it so very much". In her TED experience, she was responsible for the translation of 244 talks, English into Arabic and vice versa. Sharabati transcribed 13 talks, translated 159 talks, and reviewed 72 talks by other translators. Her volunteer translation incorporated 115 TED stage talks, 82 TEDx talks, 25 TED-Ed originals, 12 TED institute talks, and 10 other different talks. Architecture, wildlife, women's rights, innovation, motherhood, and humor are among the diverse topics she translated. When Sharabati performs the role of a translator, her volunteering nature is her professional habitus. This professional habitus interferes with her translation and allows her much freedom in rewriting the story. As can be assumed from the translated talk, Sharabati's professional training and practice as a volunteer translator in humanitarian organizations have impacted her translatorial behavior, and her professional habitus as a translator is conspicuously affected by her profession as a self-employed translator. In addition, her Palestinian lineage, along with her American citizenship, have left heavy imprints on structuring her initial and professional habitus, which shaped her perception and action and regulated her translation activity. The reporting field habitus makes her convinced that the original stories of Syrian refugees are significant, or in other words, these stories should be voiced to outreach various communities. Sharabati's professional training and experiences as a translator arm her with the needed skills and techniques for this contribution. All these serve to explain Sharabati's set of dispositions in the process of translation. The set of dispositions acquired through the translator's initial and professional habitus are reflected in the text choice and the acquired translation strategies. Sharabati's choice to translate this Syrian refugee talk could partly be attributed to her lifelong struggle to help shape a national identity. The selected translation strategies attempted by translators are also attributed to the translator's purpose in translation. Would Sharabati adopt a transparent, fluent style to minimize the strangeness of the foreign text for target readers, therefore, domesticating the TT? Alternatively, would the translator produce a TT that deliberately breaks target conventions by retaining the foreignness of the original text, thus foreignization? It is noted that it would be hardly possible to draw a clear demarcation line between the two types of habitus, and there must be an overlapped area between both initial and professional habitus. However, a

translator's professional habitus is of high relevance to the set of dispositions structured by the translator.

5. Sample Analysis of Sharabati's Translation Resulting from her Habitus

For the purpose of investigating Sharabati's behavior in her translation of Feras's TED talk, a sample analysis of her translation is presented in table (1). It is important to note that the author of the ST is originally Syrian, and the ST is in English. Therefore, foreignization and domestication will be confusing to distinguish in the TT.

Table 1: The Translation of Feras' TED Talk and Translation Strategies

Source Text	Target Text	Translation Strategy
I documented stories of Syrians who opposed the Assad regime, in 2011...	وثقت قصص السوريين الذين عارضوا نظام الأسد، ف عام ٢٠١١.	Domestication
Khalid was one of the heroes in my first feature film, "Last Men in Aleppo."	كان خالد أحد الأبطال في فيلمي الطويل الأول، "آخر الرجال في حلب".	Domestication
It's a story of an extraordinary woman who founded an underground hospital in eastern Ghouta.	إنها قصة امرأة متميزة التي أنشأت مستشفى أرضي في الغوطة الشرقية.	Domestication

Based on the sample analysis given in table (1), it is noted how Sharabati adopts, almost in her translation, the domesticating strategy while translating Feras's TED.com talk. Therefore, it can be argued that Sharabati's beliefs are reflected in her translation practices.

6. Conclusion

To conclude, the use of the concept of *field* inspires us to consider the autonomous nature of any social setting that we attempt to analyze. We can investigate the diversifications through which the social order is composed, and how these diversifications strive for dominance and authority within certain contexts. Furthermore, the concept of *habitus* enables us to examine how the translator's trajectories are demonstrated in the TT, i.e., her habitus, being structured and shaped through initial and professional internalized socialization, influences her practices in translation. Investigating and conceptualizing the translator's habitus aims to acknowledge the functional mechanisms of the translation process within the social settings that identify the position of the habitus within the contexts in which it works. Also, in this paper, factors influencing translation decisions have been addressed. In the direction of the translators' habitus, incorporating life and intellectual trajectories, impacting translators' behavior in translation, has been presented for further study. This further confirms that Bourdieu's (1977) theory is significant when applied to translation research and that, as Bourdieu suggests, all social agents are endowed with habitus. Habitus is not natural but acquired through past, personal, and social experiences, education, training, and individual history. The acquired dispositions are inscribed in the agents and "remain unnoticed until they appear in action" (Bourdieu 1990, p.139).

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Narrative of LGBTQ Representations in Disney Cartoons

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Abstract: The aim of this paper is to examine the features of the narratives of Disney cartoons directed to LGBTQ in both Western and Eastern multimedia platforms. Disney has been severely criticized for the lavish hidden references to LGBTQ, swear words, and inappropriate images. More obviously, most of the animated movies at Disney+ channel have been recently adapted to overtly include same-sex affection scenes. However, such pro-gay, or lesbian animation directed to children has received a ferocious backlash from the East, which calls for censoring inappropriate contents to maintain the social and religious norms. Such cross-cultural differences between the Western and Eastern societies raise ceaseless heated conflict to signify the emergence of a public narrative (Baker, 2018). The Arab resistance and dispute have not been resolved until Disney announces that any LGBTQ scene in Disney films will be censored to meet the regulatory requirements of Middle East and conservative markets (Daily Mail, 2022) and (Boundingintocomics, 2022). For the purpose of this study, the corpus is taken from different English and Arabic multimedia websites to compare between the narratives which tackle LGBTQ embodiment in Disney movies. Therefore, the data includes English and Arabic news articles, discussions in blogs and tweets, and videos circulated online to address this issue. The data is analyzed in terms of the four features of the narrative theory: relationality, causal emplotment, selective appropriation, and temporality (Baker 2006, pp.50-70).

Keywords: narrative theory; public narrative; Disney; LGBTQ.

Introduction

Since the launch of Disney+ channel in November 2019, and collaboration with American animation studios, mainly Pixar and Marvel, the integration of LGBTQ representations in cartoons has increased. Disney officially announces that it addresses diversity via its platform, though many families heap criticism on the inappropriate shows streaming on Disney+ (BBC, 2020). In a similar context, members of Western LGBTQ communities celebrate this media sensitive content, which is still debatable in the Middle East. The conflict between the East and West over normalizing same-sex relations in animation targeting children looms ahead rapidly on different multimedia websites. This in turn creates a public narrative between these two different societies. As Baker (2006) puts it, public narratives “are stories elaborated by and circulating among social and institutional formations larger than the individual, such as the family, religious or educational institution, the media, and the nation” (p.4). That is to say, Disney movies which present LGBTQ scenes, have been the concern of different socio-religious associations and news agencies in the two cultures. News dissemination and exchange of public views on social media outlets give the topic a currency in the West and East. Hence, two opposing perspectives on these LGBTQ scenes have become widely spread nationally and internationally to mark changes in the public narratives circulated. More importantly, the role of translators in disseminating this public narrative is accentuated to designate how the inclusion of LGBTQ elements in Disney movies would be dealt with in the Middle East via the narrative features.

The aim of this paper is to describe how the four narrative features are devised, when the English narratives about LGBTQ representations in Disney cartoons are

introduced in different Arabic socio-religious contexts. Investigating the changes caused by the four features in the Arabic narratives would emphasize “direct involvement of translators and interpreters” (Baker 2010, p. 3). This would highlight the Middle East stance towards the public narrative of Disney’s LGBTQ elements in children movies. Finally, to the best of my knowledge, researching LGBTQ narratives translated from English into Arabic and vice versa has gained little attention in translation studies, whereas most of research has been extensively discussed from literary translation perspectives (Salem, 2013) and (Mazzei, 2007); even recent studies have tackled LGBTQ representations in other language pairs (Baer, J. B. and Kaindl, K. 2018).

In the current study, I will attempt to answer the following questions:

1-How does the Arabic narrative promote the fueling conflict between the East and West over LGBTQ representations in Disney?

2-To what extent do the Arabic narratives serve to underpin the moral agenda of the East?

LGBTQ in Translation Studies

The representations of LGBTQ have recently gained attention of translation studies from different perspectives. Harvey (1998) is one of the pioneering translation scholars who deals with queer representations by examining the literary works written by gay authors translated from French into English, and vice versa. His theoretical framework analyses “camp talk”, the so-called queer language between homosexuals, as a reflection of their “sexual identity” (p.298). Therefore, he investigates irony of “camp-talk” in the speech exchanged between two gay characters on two levels: lexico-prosodic and text-pragmatic. He finds that in both English and French original texts hyperbole and intertextuality are overtly used when homosexual characters use gender-specific terms and word choices attributing to feminine traits, as in the use of emphatic lexical items, or French loan words intentionally left untranslated (Harvey,1998, pp.299-309). Formal and low register is manifested to mark physical relations between gay characters. Politeness theory and face threatening act is utilized to verify the use of explication and underpin the implicit references in the original texts to physical affairs between homos in the English target text (Harvey, 1998, pp.315-317). However, the translation from English into French of camp talk undertones the vulgarity of physical references (Harvey, 1998, pp. 308-311), due to the French cultural and political resistance to queers and homosexuals (Harvey, 1998, pp. 311-312).

Tierney (2020) discusses the translation of theoretical works from English into French, in for promoting and disseminating the queer theory in France. Tierney (2020) highlights that the first book; *Butler’s Gender Trouble*, gives credit to the origin of queer theory to the French theory of French Feminism, which is derogated by the French translator in her preface to the translation (p.259). Moreover, Tierney (2020) bestows that translation of issues related to identity, gender, and queer sexualities is always politically oriented. For that reason, the translation of Butler’s groundwork of queer theory, as stated previously, is intentionally delayed for 15 years, as it calls for amending legislations to accept hetro/homosexual practices (Tierney, 2020, pp.258-260). On the other hand, the ideological issues of queer terms in the translation of *Epistemology of the Closet* from English into French are given emphasis by means of footnoting, integration of intertextuality, explaining the etymology of queer English neologism in simple French ‘locale’ (Tierney, 2020, p.262). The research ends with future implications to draw on AVT to examine queer representations and create a pedagogical and methodological paradigm in TS to disseminate/restore queer ideologies (p.263).

Guo (2020) discusses socio-culture concepts related to homosexuality, gay, and lesbian, and queer as non-normative sexual relations to underline the role of translation in

Sinicized culture (p.345). His paper (2020) juxtaposes resistance in history to queer affairs, with respect to the religious norms of Buddhism, with dissemination and Sinicization of LGBTQ ideologies through scholarships to signal Chinese modernity (pp.346-348). Guo (2020) underpins the shift of focus in translation studies to relate the early discussions of gender ideologies and social movements of minorities to deal with rights of gays and lesbians, as post-marxist moves in China to engage sexuality to politics (pp. 152-154).

Flotow and Scott (2018) examine gender and sexuality as inseparable from translation studies (pp.42-44). They shed light on the role of translation in outlining the development of the translation and scope of the term gender. They highlight that when this term encapsulates normalization of heterosexuality, resistance of religious entities in Beijing, Latin America, and Vatican has sparked. Meanwhile, the UN puts gender definition in official documents as a term only referring to one of the two sexes (Flotow and Scott, 2018, p.46). In turn, oppositions of other sex orientation of minorities keep calling for radical changes in civil rights to acknowledge the inclusion of homosexuals, transsexuals, and bisexuals (Flotow and Scott, 2018, p. 47). However, their approach to the study of gender and sexual identity, in translation studies, is obviously to support issues of women equality with men and derogate the biological role of women in an attempt to liberate them from male dominance. Through a linguistic lens, gender and sexuality stamp the language as indicated in the translation of official Arabic documents to make it a hard mission for the translator to adapt the translation to meet the gender requirements (Flotow and Scott, 2018, p.48). Further discussion of the complexity of the term gender is significant in accordance with politics, cultural diversities, and translation technologies (Flotow and Scott, 2018, p.52). The broad sense of the term gender incorporates concepts that may be inappropriate to other cultures as “heteronormativity, or queer, or other GLBTQI” that are universal terms but local in their free practices (Flotow and Scott, 2018, pp. 52-53).

Issues of readership of gay and queer concepts across cultures have been touched upon in translation studies (Baer, 2018, pp. 42-48). After the dissolution of the Soviet Union, Russian agencies allowed the translation of Western literature about homosexual, gay and queer into Russian. Same-sex minorities enjoyed freedom of expression till Russia has fallen under the reign of Putin. Terms like gay and queer are no longer translated in the press in some national newspapers due to censorship (p.48). However, Baer (2018) examined 20 interviews with Anglophone gay actors, politicians, writers, and other celebrities in a Russian journal called *Kvir*, by such interviews the Russian journalist aimed to promote and normalize homosexuality. The emphasis of these interviews was on the existence of same sex affairs enjoyed by the interviewed celebrities who have their prestige and influence worldwide. The core of the interviews was to support and represent minorities in a way to signal their sexual identities (Baer, 2018, pp.49-52).

Santaemilia (2018) pinpoints the queering of the translation of Spanish literature into English. He highlights cases of explication of sexual desires and erotic extracts versus desexualized content to undertone vulgarity of pornography in the source text (pp.12-15). On the other hand, the discussion of the subtitling of the American TV show into Spanish marks obvious cases of censorship/self-censorship by ‘mitigating’ or omitting explicit profane sexual references (p.17). He concludes his research by signifying political ideologies of queering translation where translation of discourse on sexuality and same-sex desires allows the rewriting of the original work in the TL. Issues of civil marriage of homosexuals, acceptability of transgendered or bisexual identities are against ethical and moral norms of certain cultures (pp.20-21).

Finally, Li (2020) examines Chinese gay literature within Baker's (2006) narrative model. He investigates the translation of a Chinese gay-oriented novel into English in 1990/95 and 2017, with special focus on explications of homosexual context and gay references (Li, 2020, p.158). Then he discusses the adapted version of the English novel into media content in the forms of a Chinese movie with English subtitles and fansubbed TV series and stage performance (p.158). Li (2020) investigates the framing and labeling of homosexuality in both the English written translation and the fansubbed movie. He finds that the space and temporal frames of the English editions of the Chinese novel have more obvious embodiment of homosexual and same-sex affection between gays. The American society welcomes the flagrant book covers which are intentionally made fussy and blur in the Chinese original editions (Li, 2020, pp. 163-164). Framing by labelling in the English translations reflects the intolerance of homosexuality in China in the 1990/1995 editions, whereas the English subtitling of the movie, TV series, and stage performance reflect social acceptance and normalization of gay affairs (Li, 2020, pp.165-169). Then, Li (2020) discusses the effect of re-examining the English written and visual retranslation of the Chinese narrative via temporal and labelling frames. Finally, he emphasizes the striking changes that have occurred in the Chinese society for propagating gay ideologies in Asia, and highlights the challenges of the identity of gays as Chinese minorities (pp.167&169).

Narrative Theory in Translation Studies

Baker (2006) designates a sociocultural approach to Translation Studies to discuss original narratives and analyze their suggested elaborations in their translations (Baker, 2010, p.349). Although Baker's (2006) model is based on the narrative diachronicity of both Somers and Gibson (1994) and Bruner (1991), it gives more insights into the narrative model with in-depth analytical tools to supersede the pure linguistic and descriptive translation analysis of ST and its TT (pp.50-51). It integrates multimedia narrative analysis to examine the way narratives operate and change in two different cultural contexts (Baker, 2010, p.349). In its broad sense, the term narrative refers to "everyday stories" in the whole world, as they disseminate in a 'dynamic' and 'subtle' way to change mindsets (Baker, 2006, p.3). In other words, re-narrated stories are impacted by the indigenous ideological stances, political affiliations, power, and identity of their "text producers" (Baker, 2006, p. 145).

Moreover, Baker's narrative model maps out four types of narratives through which translators and interpreters intervene: ontological, public, conceptual, and meta. Ontological narratives are subjective narratives which suggest self-reflection of personal stories, which might have originated in history, like autobiographies, and still influence the world (Baker, 2006, p.4). Public narratives are stories which are widely and rapidly disseminated and polarized among social institutions to affect the whole 'nation' (Baker, 2006, pp.4&33). As to conceptual, or the so-called disciplinary narratives, they represent scholars' explorations in a certain field. (Baker, 2006, pp.5&39). Finally, meta-narratives are abstract and globally vested such as the ones about "Enlightenment and Modernity" (Baker, 2006, p.45).

Furthermore, Baker elaborates the four narrative features of narrative namely temporality, relationality, causal emplotment, and selective appropriation. Highlighting that they all have the function of providing "a constraint and ...a resource for elaborating new narratives" (Baker 2006, p.66). First, temporality means the arrangement of "a set events" in a certain timeline that is different from their original sequence, which indicatively makes the readers "attribute blame, responsibility, victimhood or credit to

various protagonists” (Baker, 2018, p.186). In other words, this new timeline gives significance to the context of the re-narrated events and the involved participants. The translation of an old original narrative, in a certain timeline, weaves the new configuration of the target narrative (Baker 2018, pp.186-187). Translated narratives, or the so-called target-narratives, can also replace original narratives temporally and spatially by verbal and non-verbal elements to integrate multimodal reflection of the story timeline (Baker, 2018, p.187).

Second, Baker (2006) emphasizes that relationality means “that every event has to be interpreted within a larger configuration of events” (p.82). In other words, the weight a narrative gains in context opens up the original narrative to more interpretations. The target narrative is barely rendered as the original to highlight the integration of other underlying narratives the dislocation of which would make it insignificant (Baker, 2018, p.187).

It can be drawn on to inject a target text or discourse with implicit meanings derived from the way a particular item functions in the public or meta-narratives circulating in the target context, thus obscuring or downplaying its relational load in the source environment. (Baker 2006, p.66)

To explain this, Baker (2006) discusses the semantic meaning and use of loaded words in original narratives, in the case of the Palestinian documentary of Jenin, which were intentionally replaced by direct less emphatic lexical items in the English subtitles, as an example of anti-Muslim narrative in the West (pp.64-66). Relationality is underpinned when the information represented in a source narrative loses its weight, with respect to the translation agency’s agenda, in a way to lessen the intensity of the target narrative events or participants by replacing semantically loaded words and aspects of emphatic language with much more simple direct language (Baker 2006 pp. 64-66).

Third, causal emplotment means incorporating a set of events into a discursive narrative to highlight its moral value/reason, aiming at changing mind sets and steering public opinion (Baker 2006, p.67). Target narratives introduce other forms of causal emplotment as marked by the translators’ use of TL equivalents to give weight to the events signaled in the new narrative (Baker, 2006, pp. 69-70). Fourth, selective appropriation means the selection of some events and deselection of others for maintaining a “thematic thread” (Baker 2006, p. 72). Translators either use the feature of selection appropriation intentionally or unintentionally, as manifested by the use of strategies like omission, addition, foregrounding, or backgrounding (Baker 2014, p.167). In sum, Baker (2006) highlights that by these features translators almost ‘invent’ a new narrative to reinforce an opposite stance to a designated enemy in a certain culture, or society (p.75). In the following section, I will attempt to discuss the research corpus and design.

Methodology & Corpus

Corpus of the study

The corpus of this study includes news articles/reports, which are collected from both English and Arabic multimedia news websites from 2017 till 2022, that disseminate narratives of LGBTQ representations in Disney movies in Western communities and the Middle East.

The articles/reports are mainly selected to cover news stories about two main scenes in two of Disney’s movies. The first one is “Beauty and the Beast”, which was displayed on Disney’s screen in 2017, as the adapted live-action movie of the old version that was premiered in 1991. The aim of the film remake is to retell the same story in the same tone via Disney’s latest technologies, which are more advanced than the ones utilized in 1991 classic movie (The Walt Disney Company, 2017).

However, this adaptation subtly features Disney's first movie to portray gay affairs on Disney+ channel (Attitude, 2017). Condon, the movie director, creates an LGBTQ-oriented subplot to normalize a queer relation between two male characters: LeFou and Gaston in the movie (Attitude, 2017). Criticism has been directed against Disney's first representation of LGBT community in "Beauty and the Beast" for giving a minor role to the 'first' gay character as: "[t]heir someone who is an antagonist, the right-hand man of a cruel villain...LeFou does everything to get his attention" (Al Sayed, 2019).

Meanwhile, circulation of the official statements of the film makers in English and Arabic news websites emphasizes that the subtle inclusion of the gay character is intentional: "the movie's writers and producers have developed the admiration felt by sidekick LeFou ... for Gaston...LeFou's gradual reconciliation with his sexuality acts [is] a way of increasing LGBT visibility on screen" (The Guardian, 2017). Consequently, calls for banning the film in the Middle East countries emerged.

The second movie is "Lightyear" which is produced by Disney and Pixar in 2022. It is a Toy Story franchise and a science fiction film that features space rangers in a long trip trying to save the planets. Unlike, the subtle integration of queer affairs in "Beauty and the Beast" 2017, "Lightyear" is classified as incorporating clear references to homosexuality. The movie ends with a scene of two women, as newlywed couple embracing each other and holding their baby. Buzz's coworker is a successful space ranger; she proudly announced at the end of the space trip that she finally settled down with a same-sex female to have a family. Paradoxically, Buzz; the hero of the movie, is represented as a disoriented fuzzy straight male for lacking such queer feelings (Reuters, 2022). Accordingly, many Middle East countries called for censoring these scenes, but their requests were turned down until the issue was highly escalated and the movie was officially banned (Reuters, 2022).

For the purpose of this study, the texts under study are originally selected as they are written in their designated culture: in English and Arabic and are not considered direct translations.

I exclude the analysis of photos and videos in the news articles, as they do not indicate any of the queer or homosexual oriented scenes in the two movies. Therefore, intersemiotic and multimodal analysis would not be significant in the current research. Meanwhile, English news articles/reports are collected from three news websites: Reuters and the Daily Mail, which are British, and Euronews; a French news agency that provides English news. On the other hand, the Arabic news articles/reports are taken from Alyoum Alsabi; an Egyptian newspaper, and Ammoon; a private Jordanian news website.

Theoretical Framework and Procedures of Data Analysis

The theoretical framework of this study is based on Baker's (2006) narrative model.

I select the four narrative features mainly: temporality, relationality, causal emplotment, and selective appropriation to be examined in the Arabic news articles/reports as compared with their English original narratives, to highlight how the Arabic target narratives operate differently. The analysis of LGBTQ narratives in English and Arabic news articles is discussed in chronological order: from the oldest to the most recent. First, I will give examples of news extracts about LGBTQ narratives in "Beauty and the Beast"; then, I will discuss the different positions in the English and Arabic selected articles/reports about Lightyear. The time span between the two movies is five years from 2017 to 2022, in which Disney promotes LGBTQ inclusion and manifestation gradually. Therefore, the research design is set to identify the significance of every narrative feature in the data, to show how the conflict between the East and West over the inclusion or censorship of LGBTQ content in Disney's movies is heated.

English and Arabic Narrative of LGBTQ Representations in Disney Beauty and the Beast Gay Scene: Western's Normalization vs. Middle East Conservatism

In this section, I will discuss how the four features interplay in the Arabic narrative, as compared with their English originals, to configure the Middle East standpoint against the West's pro-homosexual integration in Disney cartoons.

Example 1

Once Beauty and the Beast was premiered in 2017, Disney confirmed that the sexual implications to a pro-gay affair between two male characters was intentional. The two features of selective appropriation and causal emplotment in the following example are indicative in highlighting the different stance in the West and the East towards the 'gay scene'

Disney puts 'gay scene' in Beauty and the Beast: Character of LeFou set to explore his

sexuality and feelings for leading man Gaston in new film

Mr Condon said: 'He's confused about what he wants. It's somebody who's just realising that he has these feelings. It is a nice, exclusively gay moment in a Disney movie' Mr Condon said the character, played by Josh Gad, is part of a 'watershed moment' for Disney. He said: 'The studio is sending out a message that this is normal and natural – and this is a message that will be heard in every country of the world, even countries where it's still socially unacceptable or even illegal to be gay.' (Daily Mail,2017).

لأول مرة.. ديزنى تتخلى عن العفة وتضع مشهدا عن الشواذ جنسيا بفيلم "Beauty and the Beast" المخرج يصف المشهد الحصرى بلحظة فاصلة فى تاريخ الشركة.. ويؤكد: رسالتنا ستصل للعالم حتى الدول المعارضة للمثلية

أكد موقع الديلى ميل أن شركة ديزنى قررت وضع مشهد عن الشواذ جنسيا لأول مرة فى عمل فنى، حيث يتضمن فيلم "Beauty and the Beast"، مشهدا يظهر الميول الجنسية الشاذة لشخصية LeFou الذى يجسدها الممثل جوش جاد والمقرر أن يلعب دورا رئيسا فى تحريك شخصية "جاستون" لمواجهة الوحش ومحاولة القضاء عليه (Alyoum Alsabi, 2017).

Causal emplotment is manifested when the Arabic narrative is weaved by using extremely strong loaded words to refer to Disney's movie as a taboo in several phrases. First, the headline portrays Disney as turning profane: "تتخلى عن العفة" (relinquishing its chastity). Second, the phrase "gay scene" is depicted in the Arabic narrative as "شواذ جنسيا" (homosexual) trice, to highlight that such affairs are morally and socially rejected in the Arab world. The word 'gay' in English is not as strong as homosexual; in Arabic the word "شواذ" is derived from "شذ" (irregularity), and the plural form of the adjective "شاذ" which means a "psychic sexual" (Hans Wehr, 1994, p. 539). It is a strong word that has a negative connotation in the Middle East. It is used to signal a state of sexual deviation. The medical definition of the term "sexual deviation" refers to a "sexual behavior or fantasy ... which is morally, biologically, or legally sanctioned" (The Free Dictionary online). Therefore, this Arabic word indicates that homosexuality in Eastern conservative communities is obviously condemned. LeFou, who is celebrated boastfully by the film makers and gay groups abroad, is entirely rejected by depicting him as someone who has "ميول جنسية شاذة" (homosexual orientations). The repetition of the word 'شاذ' (homosexual) in the Arabic narrative is for derogating any sexual deviation by whoever belongs to any of these sex categories: lesbian, gay, bisexual, transsexual, or queer (LGBTQ). On the contrary, in some Western societies, the term 'homosexual' is

always replaced by the other aforementioned gender identities, as it is the “clinical term, coined in the field of psychology, for people with a same-sex sexual attraction... [and]...is often associated with the idea that same-sex attractions are a mental disorder, and is therefore offensive” (LGBTQ Glossary online). Similarly, pro-LGBTQ hold that the word ‘homosexual’ violates human rights and should be preferably replaced with “gay and lesbian,” whereas the term is still “acceptable in many non-English-speaking contexts” (UN Migration Glossary of Terms, 2021, p.2).

Meanwhile, the same anti-homosexual stance is reinforced by the device of selective appropriation in the Arabic narrative. The omission of relatively short strings of events, which subtly spreads the normalization and acceptance of gay representations and practices in Disney’s animation, is underlined. The English narrative highlights a turning point in Lefou’s personality, when he unconsciously tends “to explore his sexuality and feelings” towards Gaston. More emphatically, the gay scene is portrayed as “nice,” “normal and natural.” The use of selective appropriation in the Arabic narrative is also exemplified by foregrounding Disney’s agenda in the Arabic headline *رسالتنا ستصل للعالم* "رسالتنا ستصل للعالم" , حتى الدول المعارضة للمثلية" while it occurs at the end of the lead paragraph in the English narrative: “this is a message that will be heard in ... even countries where it’s still socially unacceptable or even illegal to be gay.” Foregrounding is most probably for drawing the attention of conservative families to monitor the media content on Disney+ channel and to realize its planned pro-LGBTQ agenda. Omission of the word ‘unacceptable’ and replacement thereof with ‘معارضة’ (anti-gay), is another instance of selective appropriation which in turn accentuate an opposition to the Western homosexual ideologies.

Meanwhile, the same binary opposition between the East and West stance regarding gay scenes in “Beauty and the Beast” is maintained after one year. The English narrative reinforces the integration of gay scenes in the adapted live movie of “Beauty and the Beast”, as if homosexual affection is normal. However, this is overblown by the East, as indicated by strong lexical choices.

Example 2

Disney’s live-action remake of “Beauty and the Beast” ... featured a fleeting gay romance that was met with applause by LGBT activists but caused an outcry in more conservative countries...threatening to ban the film. (Reuters, 2018)

والسؤال الذي يطرح نفسه حاليًا هل ستدخل ديزني معركة مع مثلي الجنس، أم ستتراجع من أجل إرضائهم... التوقعات تشير إلى أن ديزني ستتراجع خاصة أنها لها أكثر من سابقة في التلميح في عدد من أفلامها لبعض الإيحاءات الجنسية في عدد من أشهر أفلام الرسوم المتحركة التي أنتجتها، فالعام الماضي فتح الكثيرون النيران على ديزني حينما قررت وضع مشهد عن الشواذ جنسيًا لأول مرة في عمل فني، في فيلم "Beauty and the Beast" في نسخته الحية، والذي كان يتضمن مشهدًا يظهر الميول الجنسية الشاذة لشخصية LeFou الذي جسدها الممثل جوش جاد حيث كانت شخصيته تكتشف أن لديها مشاعر خاصة. (Alyoum Alsabi ♀, 2018)

Tracing the feature of causal emplotment in the Arabic narrative and the event of re-narration might be significant in this rhetorical question: “هل ستدخل ديزني معركة مع مثلي” (Will Disney be in a battle with gays and lesbians, or will it retreat to satisfy them?). This question may indicate interweaving the Middle East’s utter resistance to LGBTQ embodiment in “Beauty and the Beast”. The scene that the English and Arabic narratives refer to is the one in which LeFou flatters Gaston’s appearance, while he was singing and dancing in the ballroom with another man (The Daily Mail, 2017). Although the language of the song is not foul, viewers of different ages can sense the implicit reference to LeFou’s gay attitude. Consequently,

representation of the East's disapproval to gay scenes is emphasized by causal emplotment in: "فتح الكثيرون النيران على ديزني" (many people opened fire on Disney), to have the same indication of resistance. Finally, the only sentence in the news, which refers to LeFou's implicit homosexuality in the English narrative, is again disparaged contemptibly by the East as exemplified in "ميول جنسية شاذة" (having homosexual orientations), and "الشواذ جنسياً" (homosexuals). Finally, temporality is signaled in the English and Arabic narratives to show two opposite positions and inclinations of their related agendas, a year after showing the movie in different countries. The conflict between the Middle East news agencies and the Western ones has ended by accentuating extreme and steadfast rejection of the controversial scenes to either force Disney to cut them, or to ban the whole movie.

Combating LGBTQ: Lightyear Heating the Conflict

Lightyear is a breathtaking animation for children, which ends with an insinuating scene in which the heroine introduces to Buzz her 'wife'. In exploring the utilization of the narrative features in the Arabic target narratives on "Lightyear", the conflict has gained more weight in the Arabic narratives to emphasize an opposite standpoint to homosexuality.

Example 1

The following example highlights that selective appropriation is invariably interwoven with causal emplotment in Arabic to signal the Arab resistance to play Lightyear in UAE movies, as the most flagrant same-sex cartoon.

The United Arab Emirates on Monday banned Walt Disney-Pixar's animated feature film "Lightyear" from screening in cinemas because it features characters in a same-sex relationship. The film would not be licensed for screening in the country as it violated the nation's media content standard, the Ministry of Youth and Culture's media regulatory office wrote on Twitter. (Reuters, 2022)

أكد مكتب تنظيم الإعلام في الإمارات سحب فيلم الأنيميشن Lightyear، من الأسواق، وذلك بعد أن تم طرح العمل للعرض، ومن ثم قامت الجهة المسؤولة بمنع عرض العمل، بعد أن أكدت عدة دول في الخليج منع عرض العمل، الذي كان من المقرر بدء عرضه في 16 يونيو الجاري، وذلك بسبب المشاهد التي تخل بقيمة ومبادئ المجتمعات العربية، العمل من إنتاج شركتي ديزني و Pixar. وتابع البيان: "ويؤكد المكتب التزام كل الأفلام في دور السينما بالدولة للمتابعة والتقييم قبل موعد عرضه للجمهور لضمان سلامة المحتوى المتداول وفق التصنيف العمري الملائم" (Alyoum AlSabi, 2022)

As the two narratives are juxtaposed, the English news objectively states the announcement of banning the movie in UAE. However, the Arabic narrative draws on the moral and legal obligations of banning Lightyear in the Middle East countries by means of the addition strategy: "وذلك بسبب المشاهد التي تخل بقيمة ومبادئ المجتمعات العربية" (this is due to scenes that violate the values and principals of the Arab communities), and highlighting the role of the Culture's media regulatory office: "لضمان سلامة المحتوى المتداول" (to guarantee that the disseminated media content is safe and appropriately classified according to the viewers' age). This addition also incorporates the feature of causal emplotment, by which Disney is represented as indignant to the moral values of the other by stamping its own homosexual ideologies on the East.

In addition, causal emplotment, selective appropriation and relationality are highlighted in the Arabic narrative to weave an anti-same sex agenda in the Middle East.

Example 2

In the film, Buzz's close friend is a female space ranger who marries another woman. A scene showing milestones in the couple's relationship includes a brief kiss... "We're not going to cut out anything, especially something

as important as the loving and inspirational relationship that shows Buzz what he's missing by the choices that he's making. (Reuters, 2022)

وفي قصة الفيلم، تتزوج صديقة باز المقربة من امرأة أخرى، ويتضمن مشهد في الفيلم قبلة عابرة بينهما... وتحدثت رئيسة ديزني في مقطع الفيديو المسرب من أحد اجتماعات الشركة عن سعي ديزني لوضع أكبر عدد ممكن من المحتوى الداعم لمجتمع الميم (LGBT)، وهو مصطلح يشير إلى مجتمع مثلي الجنس والمتحولين جنسياً في أفلام ديزني، إذ تريد إحدى أكبر شركات الترفيه في العالم أن تصبح هذه الشخصيات موجودة في كل أفلام ديزني. (Ammoun, 2022)

The inappropriate scene in *Lightyear*, which includes a kiss between two lesbians, is depicted in the English narrative as a 'milestone,' whereas in the Arabic it is referred to as "قبلة عابرة" (a brief kiss). More significantly, the English narrative reinforces Disney's resilience to remove any obscene content by quoting the producer's statement, which indicates that homosexuality in Disney's agenda is 'important' and 'inspirational.' Not to mention, that such emotive epithets are omitted in the Arabic narrative to undervalue Disney's malignant, which in turn marks the use of selective appropriation. In addition, the Arabic narrative shifts to scornfully accentuate the flagrant inclusion of profane scenes by referring to Disney's president of General Entertainment Content video, in which she revealed the channel's policy. The Arabic narrative refers to this announcement to unfold the intentionally substantial embodiment of homosexuality in all Disney's movies: "سعي ديزني لوضع أكبر عدد... لمجتمع الميم: (Disney strives to include as much pro-LGBT content as possible). Relationality; henceforth, is underpinned by the semantically loaded words in Arabic to warn the viewers of Disney's inevitably immoral agenda.

Findings and Discussion

Having discussed the narrative of LGBTQ representations in Disney's movies: "Beauty and the Beast" (2017) and "Lightyear" (2022), I tend to answer the following research questions:

1-How does the Arabic narrative promote the fueling conflict between the East and West over LGBTQ representations in Disney?

Examining the four narrative features, which have been subtly interwoven and overlapping, highlights the tension between the East and West, which in turn has unleashed a determinate and planned incorporation of homosexual ideologies via Disney's animation to be persistently spread in the Middle East. The conflict between the Middle East and the West over LGBTQ has been morally emphasized by calling for removing inappropriate content that may propagate homosexuality directly or indirectly. Resistance of the Arabs has been always contrasted with West's resilience over censorship of such obscene and sensitive content in the two movies. Such binary opposition between the Eastern and Western cultures would give full account of the escalation of the LGBTQ issue in Disney from the perspective of the conservative Middle East societies.

Addressing the second question of this study; To what extent do the Arabic narratives underpin the moral agenda of the East? one can say that the extracts that were selected from the English narrative to be re-narrated in Arabic have been invariably acknowledging the deeply rooted social and religious norms of the Arabs. The Arabic news websites with their translators and editors have weaved new narratives that have discursively structured how Disney's taboo concepts in the two movies were stigmatized in the current study. The same anti-homosexuality agenda has been shared in the Middle East news websites to eradicate the spread of same-sex ideologies in the Arab culture. Therefore, the Arabic narratives have sent clear moral messages to their readership to

reinforce holding the same socio-religious beliefs and traditions to fight against homosexuality.

Conclusion

The English news articles/reports represent the gender identity of film directors and producers typically. Their comments, which support gay and queer minorities, are widely circulated by Reuters, Daily mail, and Euronews. On the other hand, Arabic news articles/reports in Alyoum Alsabiṣ and Ammoun downgrade LGBTQ inclusion and normalization in these Disney animations. Henceforth, the Arabic narratives represent opposition to homosexual references in the two movies. In sum, Arabic narratives launch a counterattack on Disney and shift the focus of the original English narratives by marking the resistance of LGBTQ embodiment in Disney's animations.

Further discussion of the narrative of LGBTQ in children animation needs to be developed in Translation Studies from different perspectives. Holding Baker's (2006) paradigm, future research can adopt framing and labelling tools. Audio Visual Translation (AVT) can implicate how LGBTQ concepts are handled in multimedia content (Flotow & Josephy-Hernández 2018) and (De Marco, 2006). Localization of multimedia content by amateur translators who may propagate the same LGBTQ concepts might be another area for investigation. Re-examining the uncontrollable circulation of news in both official and unofficial websites; in the globalization era, would bring about issues of re-narration ethics in Translation Studies (Baker, 2008).

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Analyzing the Encoding/Decoding of the Transnational Audiovisual Discourse of ISIS in Netflix's *Caliphate*

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Abstract: Reception studies have become an essential element in the audiovisual translation research. In fact, the transnational turn in the study of media audiences has led to a reciprocity between reception studies and audiovisual translation research. This study aims at conducting a semiotic analysis of the Arab viewers' reception of the Arabic subtitling of Netflix's Swedish series *Caliphate*. Hence, the study poses the question of how the Arab audience incorporate the dominant audiovisual discourse about ISIS, which is semiotically encoded by Netflix through the medium of subtitling. To better understand Netflix's dominant ISIS discourse, the study examines the socio-political context involved in the framing of this televised discourse. The study is product-oriented since it investigates the reception of Netflix's ISIS audiovisual discourse by transnational audience. This investigation is conducted through applying Hall's (1973) Encoding/Decoding model. The model assesses how audiences play an active role in decoding the media messages and discourses that target them. Decoding takes place within a milieu of ideological, political, social and economic contexts. The interplay between these contexts defines how audiences can choose to either incorporate or to resist the ideologically-driven messages delivered to them in the form of audiovisual discourses. This study proves that as part of the broader transnational audience, Arab audience subscribes to a preferred reading of the ISIS audiovisual discourse formed by Netflix.

Keywords: Audiovisual Discourse - Caliphate-Decoding-Encoding-ISIS-Netflix-Reception Studies-Stuart Hall -Transnational Audience.

Introduction

The rise of Netflix as one of the most influential media networks worldwide signifies the emergence of a new type of audiovisual discourse. The network that operates in 190 countries and has around 220 million subscribers relies in its content creation on the architecture of a transnational audiovisual discourse. This kind of discourse suits the global character of the network, whose shows are translated through subtitling or dubbing into five to seven languages by the network itself and to many more by independent individuals and groups from all around the world.

Before the rise of Netflix and transnational media networks, the media scene was dominated by centered (linear) media. There are three main features that draw a distinction between centered media outlets and decentered ones. First, centered media was characterized by a media content that was primarily directed towards and concerned with a local and national audience. On the contrary, decentered media, especially the networks with a transnational appeal like Netflix, target a global audience. Second, the cultural context of the centered media shows was defined in line with the concept of national identity, while transnational media functions within a global context on both the cultural and the ideological levels. To elaborate, Vertovec (2009) claims

Transnationalism describes a condition in which, despite great distances and notwithstanding the presence of international borders

(and all the laws, regulations and national narratives they represent), certain kinds of relationships have been globally intensified and now take place paradoxically in a planet-spanning yet common – however virtual – arena of activity. (P.199)

This shows how transnationalism has functioned as the main pillar of modern global media outlets in general, and of Netflix in particular. Third, in terms of media practices, centered media producers were more powerful than their audience. This is opposite to the present media scene where audience exercise more power and control over the media content delivered to them.

Netflix and the Age of Transnational Media

As mentioned before, Netflix's rise marked the emergence of transnational media outlets. Before the appearance of transnational media, TV was viewed as a tool of ideological dominance. This is due to the fact that power lied with media producers. Media production operated in a linear manner, where programs were produced to be presented to a local audience within a specific time schedule set by the producers. Illustrating the national frame within which media operated, Chalaby (2005) says

For much of its history, television has been closely bound to a national territory. Broadcasters exchanged programmes and set up international associations, but operated within national boundaries. Their signal covered the length and breadth of the country, from the nation's capital the remotest parts of the countryside. Foreign broadcasters were not allowed to transmit on national territory and attempts to do so were seen as breaches of sovereignty. Television was often tied up with the national project and no other media institution was more central to the modernist intent of engineering a national identity. (P.1)

Furthermore, Turner (2009) states that during the age of centered linear media, televised broadcasting was seen as part of the national, cultural or developmental policy objectives of governments. However, internet allowed for a new type of media. This new type of media gave audience more freedom, and more power and control over the media content.

Whereas centered media was characterized by nationalism, which, as Mihelj (2011) points out, acted as both a specific type of discourse and a principle of legitimation, decentered media is distinguished by its focus on cultural diversity and pluralism. To elaborate, Jenner (2018) demonstrates two important points in relation to the transition from centered to decentered media. This first point is

the re-considerations of identity in the 1990s, which focussed more on cultural diversity and pluralism and brought with it changes in representation. The second point is an increased amount of options for viewers, who may easily shift between Welsh, Arabic and English-language programming. This suggests a conceptualisation of television that is, on the one hand, increasingly transnational. On the other hand, there is also a distinct move towards different modes of representation and increased demands on PSB in Europe to represent immigrant groups and construct 'the nation' with an emphasis on diversity and pluralism. (P.204)

Apparently, the rise of transnationalism led to the emergence of universal media networks. Netflix is seen as one of the biggest representatives of transnational media.

Since Netflix positions itself as a transnational media outlet, it highlights the significance of accessibility and immediacy. Plothe and Buck (2019) show how both these features are instrumental in Netflix's media production. The media content Netflix produces is broadly accessible worldwide at any time of the day across global time zones. Another feature that shapes Netflix's production is what Jenner (2018) describes as the 'grammar of transnationalism'. Arguably, Netflix's productions include textual features which make texts appealing and comprehended globally and not confined to a single nation or region. This is opposite to the concept of grammars of nationhood, where Mihelj (2011) shows that media organizations develop sets of norms and ways to successfully represent the national identity of the local audience they address. The last feature that influences Netflix's media production is the domestication of its media production through translation. Although Netflix is a transnational media network that targets a transnational audience, there is a language barrier that the network still has to overcome.

The Netflix Audience: Transnational Audience and Audiovisual Discourse

It is conceivable to comprehend the dynamics of audience formation. This cannot be attained except through the concept of audienceship. According to Li (2009), audienceship is distinguished from audience in that the former is mainly concerned with the context for the viewing process, while the latter is involved with the context of the viewer. In defining audienceship, audience is not viewed from a personal or individualistic perspective, but rather through the scope of the specific practices and processes that contribute to the formation.

The deterritorialization of media was done with the aim of addressing a global audienceship during what Athique (2016) describes as a "sudden shift towards a transnational media order" (p.66). This shift is broadly identified on the grounds of a new global media frame. Castells (1997) explains that the globalization of media has led to the de-nationalization of information. As a consequence, there had to be a change in the perceptions of viewing and defining media on the one hand, and audience on the other. In contrast with the traditional view of televised media as a tool for engineering and reflecting national identity, transnational media focused on developing content that suits the global nature of its audience. This is why it is essential to begin with defining the transnational audience since the comprehension of this type of audience paves the way for understanding of the transnational audiovisual discourse.

In the age of transnational media, audience is seen as active agents. This view, as Appadurai (1996) puts it, is due to the empowerment of the audience, or the media consumers. This empowerment has taken place as a result of the expansion of media access and control over content enjoyed by media consumers. In her demonstration of this new transnational turn in media audience, Hill (2018) explains,

attention is paid to the transnational turn in media audiences for global formats and local series, signalling an increasing range of audio-visual content available to consumers, fans and publics, including translations, subtitling and fan subbing of fiction and non-fiction television and social media. In relation to transnational audience engagement with screen culture there is an increasing significance of distribution contexts, and place and time, to researching media audience. (p.4)

Hence, researching audience is vital as the standpoint for investigating transnational media discourse.

According to Abercrombie and Longhurst (1998), audiences are largely shaped and influenced by social and cultural transformations, new technologies, work patterns and media content. This explains how transnational audience both constructs and is constructed by what Couldry (2012) labels the decentered media. Decentered media, which is represented by Netflix in this research, depends on three major elements in its conceptualization, perception and creation of its transnational audience. These elements, as Jenner (2018) elaborates them, are quality, genre and a global system of values. Highlighting these elements allows for fully discerning and understanding Netflix's transnational audience and the transnational audiovisual discourse that is designed to target it (audience).

Quality and Genre

There are many instances that show how Netflix foregrounds quality and genre for the purpose of attracting fans on a universal scale. (Algorithm of genre ch7) One way through which Netflix seeks to highlight quality is its production of works that have serious topics such as political thrillers and documentaries. Another mean for producing high quality shows is through historical drama. The production of *The Crown* marks Netflix's employment of history as a method of attracting global audience. History here functions as a media genre. It is no viewed from the scope of a national history confined to a specific nation, instead it is perceived from the scope of a media genre that aims at gaining more viewers globally. To explain why *The Crown* enjoyed a huge global success Jenner (2018) explains

As the international success of *Downton Abbey* indicates, British history can sell in transnational territories where British history is not 'our' history. *The Crown* is largely concerned with palace intrigue and the story of a young woman who is trying to assert herself as a public figure and in her relationship with her husband, who struggles with the power his wife holds. This aligns it with *Downton Abbey* and *The King's Speech*, which often focus on more 'private' concerns over broader political contexts. (p.228)

Jenner (2018) demonstrates that a similar treatment of history takes place in Netflix's American fantasy drama *Stranger Things*, in which fantasy elements are utilized in order to avoid reference to American domestic or foreign politics in the 1980s.

An International Value System

To gain a transnational appeal, Netflix follows a strategy of championing and promoting values that have a global resonance. Fostering these values and principles enables Netflix to be perceived as an organization that plays an active and a positive role before the public. More importantly, it enables the network to act as an international entity whose presence transcends national borders and is not bound by national identities. The questions remains of what specifically are these values championed by Netflix. Breidenbach and Zukrigl (1998) state that there is a global reference system of values like human rights, feminism and democracy. This reference system is widely accepted and subscribed to globally because it reflects the values hailed by Western culture and by the dominant Western nations. Evidently, a global agenda including these values is often imposed by Western nations through affiliate global entities and organizations such as the UN and the European Union.

However, Netflix's promotion of global values does not mean that cultural differences are totally omitted or suppressed in its works. In fact, Mihelj (2011) elaborates that globalization cannot exist and thrive without cultural differences. Still, it can be said that Netflix's productions foreground cultural differences but within a liberal frame. Netflix's value system that engages with cultural differences appears in numerous productions by the network as Jenner (2018) explains

The value system is depicted in series like *Orange is the New Black*, but also other series like *Grace and Frankie*, *Chicas Del Cable* (Cable Girls, Netflix, 2017–) or *GLOW*. All feature female leads operate under broadly feminist frameworks. This broad framework also accounts for the importance of cultural differences within texts. (P.230)

Clearly, Netflix employs these liberal principles in gaining international momentum. Now that the basic elements of Netflix's conceptualization of a transnational audience are explained, it is time to move to the network's transnational audiovisual discourse.

Corpus & Methodology

There has been an evolution in the field of media studies. This evolution has taken place in accordance with the shift away from centered media to decentered one. This shift necessitated a new method of researching and examining audiovisual media discourse. During the age of centered media, audiovisual discourse, as Abercrombie and Longhurst (1998) clarify, was investigated through a behavioral paradigm that applies quantitative methods to study the impacts of media on its audience. This research paradigm focuses primarily on the negative effects of media content on the audience. For example, it is concerned with the negative effects of pornography or violence on young and adult viewers.

Nevertheless, the appearance of modern transnational media required a new research paradigm that pays attention to the more power gained by viewers. A new research model had to be developed to focus not on the audiovisual discourse through the scope of media production, but rather through that of media reception. In the 1970s, a media paradigm was developed by the cultural studies scholar Stuart Hall. It highlights the active role played by audience in their reception of audiovisual media discourse and messages. To elaborate, Hill (2018) demonstrates

This critical approach to media and its encoded messages pays attention to interpretation and meaning, often using qualitative methods to analyse how people decode media in multiple ways, including the incorporation of, or resistance to, ideologically framed content by powerful institutions. Abercrombie and Longhurst recognise the significance of the incorporation/resistance paradigm within media and cultural studies research, for example regarding gender and audience research. (P.5)

Hence, the encoding/decoding or incorporation/resistance model developed by Hall (1973) allows for a better understanding of the dynamic process of media production, circulation and reception. In addition, it allows for investigating the interplay between the encoding done by media producers and the decoding done by its audience.

The paper investigates the ISIS audiovisual discourse in Netflix's production *Caliphate*. The series is a 2020 production. It belongs to the thriller genre since it revolves around a looming ISIS attack on Sweden. The series is selected for analysis as it tackles themes related to the global rise of ISIS and targets a transnational audience. In addition, the series is subtitled to Arabic by Netflix, since Arab audience is considered to be part of the broader transnational audience the network addresses.

Analysis through Encoding/Decoding

The analysis is divided into four subsections. Each subsection includes one of the themes that are employed by Netflix in the construction of the transnational audiovisual discourse about ISIS. The first subsection tackles the scenes that refer to women's right, highlighting women abuse as a basic component of the ISIS discourse. The second subsection highlights the theme of intolerance, showing that the ISIS discourse formed by Netflix is highly intolerant and alienating. The third subsection deals with the theme of global terror. In its encoding of the ISIS transnational audiovisual discourse, Netflix focuses on portraying ISIS as a global terrorist group. The last theme that is utilized in the encoding of the ISIS discourse is the one of fanaticism. Netflix stresses this theme to reflect the ISIS discourse in a completely negative manner.

In each subsection, several scenes that reflect the tackled theme are selected for analysis. Since the analysis deals with an audiovisual discourse, the scenes are displayed in figures which include the Arabic subtitling of the scenes. Applying Hall's (1973) model, the encoding process is analyzed through firstly examining the event that is displayed in the scene. The event is explained within the dramatic context of the series in order to comprehend its significance and relation to the highlighted theme. Next, the motives of Netflix which lie behind the selection of this event for the encoding of the ISIS audiovisual discourse are discerned for the purpose of gaining a better insight into the encoding process. This way, encoding extends to cover the ideological aspect, focusing on the ideological background of the events that are being transmitted through the scenes. The encoding is thus analyzed from a dramatic aspect, focusing on the event and the dramatic context, and from a linguistic aspect focusing on the discursive features through the subtitled words that appear in each of the analyzed scenes. In addition, the discursive features extend to cover the paralinguistic dimension in the analysis. Since the investigation is conducted semiotically, both the linguistic and paralinguistic features are highlighted. These two steps mentioned above constitute the encoding process.

Decoding, on the other hand, is analyzed in terms of the reading that the event receives by the Arab audience as part of a broader transnational audience. To elaborate, the event in the subtitled scene should, according to Hall (1973), receive either a preferred, negotiated, or an oppositional reading. In Netflix's *Caliphate*, It is shown that the audiovisual discourse of ISIS receives a preferred reading in accordance with the reading generated by transnational audiences globally. This conclusion stems from the fact that the encoding process is based on attributing ISIS with negative values that are normally condemned and opposed by either entities or individuals worldwide. Hence, decoding, as

Hall (1973) states, is in a cyclical relation with encoding. The generation of meaning by audience during the decoding process is a continuum of the encoding process and a reflection to it.

Hall's Encoding/decoding Media Paradigm

Since Hall's (1973) Encoding/Decoding model is utilized in the analysis of Netflix's transnational discourse of ISIS in its production *Caliphate*, more attention has to be paid to the analytical frame of this model. Understanding how this model works is essential before conducting the actual analysis. In fact, Hall's (1973) model was developed to tackle a point of weakness in the conventional models of media analysis. According to Procter (2004), conventional models of analyzing media discourses suggest that media communication occurs in a linear manner where the media message or discourse moves in a fixed and transparent way from the sender to the receiver. This conventional model works with the assumption that audience members are receivers who passively get the message in its fixed and transparent manner. Nevertheless, Hall (1973) challenges this mass media conventional model.

Hall (1973) challenges the conventional mass media model on the grounds that meaning is not necessarily fixed, that the message is not necessarily transparent and that the audience is not made of passive viewers. Hall (1973) attributes these features of media communication to the audiovisual nature of the media messages. Media messages according to Hall (1973) are communicated through a sign system, leading to the formation of an audiovisual discourse that can be either accepted or contested by the viewers. Adopting a semiotic approach to the analysis of audiovisual media discourse, Hall (1973) emphasizes the socio-political frame within which this media discourse is constructed and received. Hall (1973) argues

though I shall adopt a semiotic perspective, I do not regard this as indexing a closed formal concern with the immanent organisation of the television discourse alone. It must also include a concern with the 'social relations' of the communicative process.(E/D73:1)

Clearly, Hall (1973) views media reception from the scope of media consumption, where audience members actively engage with the media message. This engagement highlights the social and political dimensions of media audiovisual discourse since audience's consumption of and reaction to this discourse is shaped by their socio-political affiliations and tendencies.

Viewing media communication process in a circular form instead of the conventional linear one has led to considering media reception as an act of consumption where viewers take part in the production and the reproduction of the meaning embedded in the media audiovisual discourse. In elaborating this process of media consumption, Procter (2004) explains that, "for Hall 'consumption determines production just as production determines consumption' (P.255). In fact, Hall (1973) suggests that the encoding and decoding of media audiovisual discourse is done within the frame of over-determined and autonomous moments. To elaborate, Hall (1973) claims that encoding and decoding are over-determined, in Althusser's words, since they are not influenced by a single factor or

aspect like the economy, but they are rather influenced by varying factors such as the economic, political, social, ideological and religious ones. In addition, encoding and decoding are autonomous in that they are not influenced by a single specific factor.

To clarify the active process of decoding media audiovisual discourse by audience, Mambrol (2020) poses the example of the media coverage of the 9/11 attack against the World Trade Center in New York in 2001. Mambrol (2020) explains that while media coverage of the event was the same worldwide, displaying it as an act of terror that draws sympathy from audience, the reactions to the event were not identical globally. It is shown that audiences in countries which include an anti-American sentiment on the public level did not view the event tragically like audience in the US and in Western countries did. Hence, decoding audiovisual media discourse is subject to the cultural context of the audience, including the audience's ideological, social and political affiliations and conditions.

According to Hall (1973), encoding media audiovisual discourse occurs due to the occurrence of the material media event or media production. However, the media event is not the sole element shaping the encoding of media audiovisual discourse since this discourse is also influenced by the numerous discourses and narratives relevant to the media event. Furthermore, Mambrol (2020) shows that institutional-societal relations of production integrate with the audiovisual discourse to form the process of encoding. In other words, for media events to reflect or signify meaning, they are encoded discursively through a set of codes or system of signs including for example videos, eyewitness accounts, and media narratives.

The ISIS discourse architected by Netflix in the Swedish series *Caliphate* is analyzed in this paper through the encoding/decoding model. This is done to demonstrate that in its encoding of the ISIS discourse, Netflix targets a transnational audience. Although the series is subtitled into Arabic, the analysis shows that the reception of the Arab audience and its decoding of the ISIS audiovisual discourse in the series is in line with the broader reception of the same discourse by the transnational audience.

Analysis

Based on Hall's (1973) analytical model of media communication, decoding audiovisual discourse is an active process involving the audience's social position. Decoding can lead to either a preferred, a negotiated, or an oppositional reading of the audiovisual discourse. The aim of this part of the research is to illustrate how Netflix in *Caliphate* encodes a subtitled audiovisual discourse which targets generating a preferred reading by its transnational audience.

The preferred reading of media messages is generated through a discourse that is described as a common sense discourse. Common sense discourses are spontaneous and unconscious ideological messages produced by the dominant cultural and social order, including powerful media network entities such as Netflix. In fact, the audiovisual discourse about ISIS in *Caliphate* gains its global hegemony from the dominance of the global anti-ISIS sentiment. Moreover, decoding is done hierarchically

where viewers subscribe to the dominant meaning and reading architected by the encoders.

In its encoding of a subtitled audiovisual discourse about ISIS, Netflix focuses on four themes that enjoy a global resonance in order to fit its transnational audience. Netflix has woven its ISIS audiovisual discourse around the themes women's rights, tolerance and coexistence, global terror and fanaticism. Each of the four themes is embedded within the global discourse of human rights promoted by the West.

Women's Rights

Apparently, the theme of women's rights is so prominent in Netflix's *Caliphate*. ISIS is depicted as being an extremely radical terrorist group whose ideology is based on discriminating and suppressing women. This part analyzes encoding/decoding of the theme of women discrimination in *Caliphate*. Each scene is analyzed semiotically and discursively to cover the paralinguistic features as well as the linguistic/discursive ones.



Screen Capture (1): “Caliphate”, episode 7, min 18.06

Arabic Subtitling	Translation to English
تقول إنك تحتاجين لمُحرم، وإنه يجب عليك أن تتزوجي	She says you need a 'Mahram', and you have to get married.

In the above frame from the seventh episode, Lisha, the younger sister of Sulle, is taken to Raqqa, the stronghold of ISIS in Syria, after she has been brainwashed by ISIS affiliates in Sweden. There, she is put in what seems to be a guesthouse made especially to shelter women coming from other countries to join ISIS. These guesthouses or women camps have been under media spotlight since the emergence of ISIS in the global arena.

In her first encounter with the women camp's manager, Lisha is informed that she will be forced to marriage since she has to be under the authority of a “Mahram”. The word "محرم" appears in the subtitling of the scene. It is a term that belongs to Islamic Sharia law. According to Kamali (2019), the term refers to the close male relatives to women. The title assigns its male holder the status of guardianship of the female in several situations like in marriage. The title is held by men who are not entitled to marry the woman like her father, uncle, brothers and half-brothers.

Paralinguistically, Lisha is seen as both passive and helpless. She is dressed in a black dress that covers her whole body except for her face. This strict dress code is employed by the producers as part of the encoding

process to reflect the radicalism of ISIS and the group's discrimination of women's freedoms. Furthermore, Lisha's facial expressions reflect her idleness and confusion, which indicate her feeling of loss and despair under the rule of ISIS.

Clearly, the scene is part of the encoding process as it promotes the view of ISIS as a radical Islamic movement whose sole aim is to oppress women and dominate them. This element of female oppression is an instrumental aspect of the audiovisual discourse of ISIS presented in the Netflix series. This way, Netflix guarantees that this discourse would be decoded by its transnational audience as a preferred reading, hence gaining more popularity worldwide.



Screen Capture (2): "Caliphate", episode 2, min 6.45

Arabic Subtitling	Translation to English
مدان بتهمة اعتداء و اغتصاب عدة نساء و سرقة و محاولة قتل	Convicted with assault, rape of multiple women, theft, and a murder attempt.

The above frame highlights female discrimination in the audiovisual discourse of ISIS from the second episode of the series. In the subtitled scene Fatima, the Swedish police investigator, is presenting a brief to her superiors about Swedish male nationals who joined ISIS in Syria. One of the ISIS members, Ahmed Mohamadi, is said to be previously convicted with rape, robbery and an attempted murder. This criminal record helps in the negative portrayal of ISIS and in the encoding of an audiovisual discourse that cannot be but condemned by audience. Therefore, the scene guarantees that decoding receives a preferred reading by audience.

In terms of the paralinguistic features, Fatima's facial expressions are pale and upset, reflecting her feeling of disgust at the atrocious crimes of ISIS members. Moreover, her tone of voice is down, demonstrating the general feeling of depression resulting from the rise of ISIS terror acts in the Western hemisphere.

Intolerance



Screen Capture (3): “Caliphate”, episode 4, min 14.33

Arabic Subtitling	Translation to English
أنت لست مسلماً	You are not a true Muslim



Screen Capture (4): “Caliphate”, episode 4, min 14.37

Arabic Subtitling	Translation to English
إنك تكره الإسلام	You hate Islam

The theme of tolerance and coexistence lies at the heart of Netflix’s audiovisual discourse about ISIS. In the series, ISIS is depicted as an intolerant movement that spreads terror and violence in the name of Islam. The two frames above are from the fourth episode of *Caliphate*. In this scene Sulle, the Swedish Muslim faculty student who is being brainwashed by ISIS, has a heated debate with her parents about the status of Islam and Muslims in Sweden. In the heated encounter, Sulle accuses her father of being non-Muslim and of detesting Islam because of his liberal and secular views and affiliations.

As far as the non-verbal features are concerned, Sulle’s facial expressions are emotionless, which reflects the mixed feelings of confusion and intolerance held by her. Her tone of voice, on the other hand, is challenging and emphatic, signifying her adoption of the radical and extremist thoughts promoted by ISIS. Finally, her hand gestures in the scene are firm and aggressive, showing the extreme nature of the ISIS audiovisual discourse. Apparently, the paralinguistic features in this scene contribute to encoding the audiovisual ISIS discourse.

The scene includes the accusation subtitled into Arabic. Sulle tells her father, “انت لست مسلما”, “انك تكره الاسلام”. In return, both her parents emphasize that ISIS is a terrorist group that murders Muslims and non-Muslims. Finally, Sulle states that ISIS only murders ‘Murtadeen’, Muslims who decide to convert from Islam. The encounter illustrates an ISIS discourse that promotes hate and intolerance. The thoughts fostered by this discourse are extremely negative and hostile to the extent that the majority of viewers would normally stand against them, what guarantees a preferred reading of Netflix’s discourse within the frame of decoding media messages.

Global Terror

The theme of global terror is fundamental in the construction of an audiovisual discourse about ISIS. The group is known globally for its terror acts. Gerges (2017) explains that ISIS’ terror activity was concentrated in the Middle East, coinciding with the climax of events during the Arab Spring in 2011. However, Gerges (2017) illustrates that the group shifted their attention towards targeting Western nations in the name of their war against secularism and liberalism.



Screen Capture (5): “Caliphate”, episode 4, min 38.58

Arabic Subtitling	Translation to English
هذا ما نفعله باعداء الله	That is what we do to the enemies of Allah

In the above frame from the fourth episode, a group of ISIS soldiers are seen with their infamous black customs committing a beheading against what they call an ‘enemy of Allah’. The infamous act of beheading and the negative labelling of the victim as an enemy of Allah are two popular elements of the encoding of the ISIS transnational discourse. This is due to the fact that the terrorist group has an alienating dogma that is based on the annihilation and destruction of the ‘other’.

The paralinguistic features in the scene reflect the violent nature of the terror group, which contributes to the encoding of the ISIS audiovisual discourse. This is evident in the rough tone of voice of the group leader while declaring the execution of the victim. Furthermore, the face covering of the ISIS members hides any facial expressions, thus promoting the view of ISIS as an emotionless group whose savageness is apparent to everyone.



Screen Capture (6): “Caliphate”, episode 2, min 12.36

Arabic Subtitling	English Translation
و من يقول ان عليك اتباع القانون السويدي و ليس الشريعة	And whoever says that you should follow the Swedish Law and not the Islamic Sharia Law



Screen Capture (7): “Caliphate”, episode 2, min 12.39

Arabic Subtitling	English Translation
ليس مسلماً	Is not a Muslim



Screen Capture (8): “Caliphate”, episode 2, min 12.41

Arabic Subtitling	English Translation
بل هو عدو للإسلام	He is indeed an enemy of Islam

The last subtitled scene that illustrates the discourse woven around ISIS as a violent group that promotes and commits global terror acts is from the second episode. In the above frames, Sulle is seen while she is watching one of the videos that spread the ISIS fundamentalist ideology.

In the scene, a radical Imam is addressing Swedish and western viewers in what seems to be a brainwashing activity. He states that in Sweden there is a war against Islam and its teachings by the enemies of Allah. The Imam's facial expressions are unamiable, showing the tough nature of his talk in which he accuses the Swedish society and Law of being anti-Muslim. His tone of voice is equally condemning and rough as he employs it in making his accusations. This discourse of hatred and hostility is depicted as belonging to ISIS in an attempt by Netflix to encode a media message that can gain a preferred reading by the transnational audience.

In all the three preceding scenes ISIS is depicted as a terrorist group that relies on a discourse of hate and violence in widening its global terror activity. Netflix employs this discourse in encoding a media message that fits its transnational audience.

Fanaticism

The theme of fanaticism is dominant in the ISIS audiovisual discourse encoded by Netflix. In the series, Netflix highlights the fanatical ideology of ISIS in a big number of scenes. The emphasis on the fanatical ideology of ISIS serves to encode a media message that can directly be decoded within the frame of a preferred reading by transnational viewers. This explains the recurrent reference to death in the name of Islam and for the purpose of getting into heaven in the afterlife.



Screen Capture (9): "Caliphate", episode 8, min 34.42

Arabic Subtitling	Translation to English
سيجلدوننا حتي الموت	They will flog us till death

In the above frame from episode eight of the series Husam informs Pervin that under the rule of ISIS they can be publicly flogged until death in the market. Pervin's facial expressions are sad and reflect her depression in the face of the rule of ISIS in Raqqa. Husam's tone is low and quiet, illustrating the tragic end that awaits the innocent people who are ruled by ISIS. Mentioning this punishment is done within the frame of constructing an ISIS discourse characterized by brutality and savageness. In fact, Kamali (2019) illustrates that flogging is considered as a method of punishment for several crimes under Islamic Sharia Law such as adultery and slander.



Screen Capture (10): “Caliphate”, episode 7, min 29.02

Arabic Subtitling	English Translation
سيقتلوننا ان لم نتزوجي	They will kill us if you don't get married

In the above frame from the seventh episode Pervin tells Lisha, the adolescent who escaped from her family in Sweden to join ISIS in Raqqa in Syria, that the latter has to get married soon or otherwise they will all get killed. The scene does not go deeper to explain why Pervin and Lisha could be under the threat of getting killed by ISIS. In other words, there is no mentioning of any specific Sharia Law rules that could justify the killing of the two women. Yet, the focus here by Netflix is on the construction of this bloody image of ISIS. This negative portrayal facilitates the decoding process, guaranteeing that it would be done within the frame of a preferred reading. The negative portrayal of ISIS is seen in the paralinguistic feature of the facial expression. Pervin's facial expression is pale and depressed, indicating her life under the fanatical authority of ISIS.



Screen Capture (11): “Caliphate”, episode 8, min 46.17

Arabic Subtitles	English Translation
حان وقت الموت. أراك في الجنة	Time to die. See you in heaven



Screen Capture (12): “Caliphate”, episode 8, min 47.09

Arabic Subtitling	English Translation
سنفجر أنفسنا	We will blow ourselves up

The reference to suicide attacks is instrumental in constructing a hostile and horrific discourse about ISIS. The above frames from the last episode of *Caliphate* show Kerima while texting and then calling her friend Sulle to inform her of the suicide bombing she is about to commit in a place full of innocent individuals. The scene illustrates how ISIS takes advantage of Muslim adolescents who live in the West by brainwashing them and recruiting them in terror attacks. This theme of exploitation is instrumental in the encoding of the ISIS audiovisual discourse by Netflix. It guarantees that the discourse is decoded as a preferred reading by transnational audience.

Conclusion

In the past few years, Netflix has emerged as one of the most popular and powerful media outlets around the world. The network has gained this popularity as a direct result of the recent developments in the media scene. The fact that Netflix operates through the internet medium means that the audience have the power of selecting what to watch and when to watch it. This new age of decentered media requires a research paradigm that takes into account the role of the audience in dealing with media audiovisual discourse.

This paper applied Hall’s (1973) encoding/decoding paradigm. This analytical model foregrounds the role of the audience in generating meaning. While traditional media models highlight the role of media producers as the most essential in both the generation and the reception of media discourse, Hall’s (1973) model focuses on the significance on the audience members and on the means through which they receive and process media discourses. Since this paper investigates the way transnational audience (Arabs as an example) receive the ISIS audiovisual discourse in Netflix’s *Caliphate*, the encoding/decoding model is employed in the analysis.

Apparently, the ISIS audiovisual discourse formed and promoted by Netflix is characterized by features that gain this discourse a preferred reading by the transnational audience of *Cliphate*. It is illustrated that the ISIS discourse is characterized with women discrimination, fanaticism, terrorism and intolerance. These four aspects constitute the main pillars upon which the ISIS discourse is formulated by Netflix.

It is found that in its encoding of the ISIS audiovisual discourse, Netflix relies on the elements of genre, quality, and global human values. The reason behind the foregrounding of these elements is that they secure the decoding of Netflix’s ISIS audiovisual discourse within the frame of a preferred reading. This means that Arab

audience, as part of a broader transnational audienceship, subscribe to a preferred reading of the series by incorporating the audiovisual discourse promoted by the network.

The analysis of the encoding/ decoding processes is done on two levels. The first level tackles the dramatic aspect of the selected subtitled scenes. On this level, the event in the scene is analyzed within the dramatic context. This allows for a better understanding of the media events that contribute to the making of the ISIS audiovisual discourse. Moreover, the processes are discerned on the discursive level, including both the linguistic and paralinguistic dimensions of this level.

It is found that the ISIS audiovisual discourse is dramatically woven around events that reflect the savageness and brutality of the terrorist group. For instance, the events revolve around the oppression of women, the planning of terrorist attacks in Western countries, and the radicalization of Muslims adolescents in the West. All these events serve to conceptualize and ISIS audiovisual discourse that is characterized with brutality and intolerance. In addition, the paralinguistic features in the analyzed scenes further the negative portrayal of ISIS in Netflix's *Caliphate*.

To summarize, Netflix's ISIS audiovisual discourse is constituted with the purpose of addressing a transnational audience. The role of Arabic subtitling does not transcend being a medium through which the discourse is channeled. The focus of the study is on the reception of the ISIS audiovisual discourse by the Arab audience as a representative of transnational audience.

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Investigating the Translation of Certain Features of Idiomaticity into English in Ahmed Mourad's Novel *Vertigo*: A Cultural Approach

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Abstract: The present study tackles the problem of translating idiomaticity as a feature of style, from Arabic into English, in Ahmed Mourad's novel *Vertigo* (2011/2014) in light of Warren's classification of idiomaticity features within language (2005). The objective of the study is to analyze the translation of idioms and collocations as two distinct features of idiomaticity as suggested by Warren (2005). The study also draws heavily upon the classification of idioms proposed by Enani (2000, 2012) in order to identify the Arabic idioms in the source text. The study, thus, addresses a main question: to what extent is the usage of idioms and collocations as features of idiomaticity retained or distorted in the target text as compared with the source one? To answer this question, the study attempts to explore the various strategies adopted by the translator, Robin Moger, when handling those features. For identifying those strategies, the study draws heavily on Baker (1992). In addition to investigating the translator's rendering of the source text idiomaticity features, the study examines his use of English idioms in the target text as translation of source text non-idioms. The findings of the study show cultural and idiomaticity losses in the target text with the strategy of paraphrasing being the mostly adopted strategy by the translator as far as idiomaticity features are concerned. The findings also indicate the translator's opting for compensation in order to make up for some idioms lost in the target text.

Keywords: literary translation, idiomaticity, idioms, collocations

1. INTRODUCTION

The present study starts from the realization that translating idiomaticity is among prominent translation problems, especially when translation occurs between two distinct languages like English and Arabic which diverge both linguistically and culturally. Various scholars have studied the issue of idiomaticity, but they have tackled it from different points of view. On the one hand, idiomaticity is sometimes equated with the study of idioms in the sense of fixed, non-compositional expressions. On the other hand, idiomaticity is regarded as a property that is not confined only to those expressions which are generally identified and classified as idioms, but as a property of various forms of expressions which reflect the idiomatic and natural usage of language among native speakers.

The current study draws heavily upon the identification and characterization of idiomaticity as suggested by Warren (2005) who advocates the later viewpoint that idiomaticity is not a property limited to idioms proper. Hence, idiomaticity, as also adopted within the scope of this study, is observed to comprise various features with varying degrees of their syntactic fixedness and semantic non-compositionality. Starting from this point, the present study attempts to explore certain features of idiomaticity in a translated work of art, namely Ahmed Mourad's novel *Vertigo* (Mourad, 2011/2014), dealing with each feature as having its own characteristics that should be taken into account in the process of translation.¹

1.1 Objectives of the Study

The main objective of the present study is to analyze the translation of certain features of idiomaticity into English in Ahmed Mourad's novel *Vertigo* (2011/2014). Drawing upon Warren's classification of idiomaticity features (2005), the study investigates the usage of two distinct features of idiomaticity, namely idioms and collocations, in the source (Arabic) text, and how they have been retained or distorted in the target (English) text. The study compares the selected idiomatic expressions in the source text along with their English translation in order to explore the various strategies adopted by the translator with special reference to Baker (1992). In this way, the study also explores the similarities and dissimilarities between the meanings and cultural connotations conveyed by the source text idiomaticity features and their English translation as provided in the target text. Moreover, the study aims to investigate cases where the translator has attempted to compensate for any idioms lost in the target text by utilizing target language idioms as translation of source text non-idioms.

1.2 Research Questions

The present study addresses the following questions:

1. To what extent is the usage of idioms and collocations as features of idiomaticity retained or distorted in the target text as compared with the source one?
2. Which translation strategies has the translator adopted (as exemplified in Baker (1992)); and which is mostly adopted by him?
3. To what extent has the translator followed the compensation strategy, as suggested by Baker (1992), to deal with any idiomatic loss in his translation?

2. LITERATURE REVIEW

This section provides a theoretical background to the topic of the study undertaken. It presents Warren's approach to idiomaticity (2005) since it is the one adopted within the scope of the study. Then, it examines the distinctive characteristics of idioms and collocations from both syntactic and semantic viewpoints as well as discusses the main difficulties involved in rendering them from one language into another and the suggested strategies to overcome these difficulties, with special reference to Baker (1992).

2.1 Defining Idiomaticity

In her article "A Model of Idiomaticity", Warren (2005) argues that idioms in the sense of opaque or non-compositional expressions "do not contribute to the idiomaticity of a text in any important way" (p. 35). As she (2005) illustrates, presence of such idioms in a text does not necessarily make it idiomatic and their absence does not necessarily make it unidiomatic. Therefore, inspired by Pawley and Syder's discussion and identification of nativelike expressions of language (2013), Warren (2005) holds that idiomaticity "should be characterized as nativelike selection of expressions" (p. 51).

Nativelike selection is explained by Pawley and Syder (2013) as the ability of native speakers to convey their meanings by expressions that are not only grammatical but also nativelike. As they (2013) argue, it means how native speakers select expressions or sentences that are "natural and idiomatic from among the range of grammatically correct paraphrases" (p. 191). For instance, Pawley and Syder (2013) illustrate that "English-time telling conventions do not allow expressions like *It's four and a third*, though that would be the idiomatic Egyptian Arabic expression for 4.20" (p. 225). According to this, it can be said that an expression is idiomatic if it is judged by native speakers as "usual, natural, and commonly acceptable" (Kavka & Zybert, 2004, p. 55).

Based on this view of nativelike selection of expressions, Warren (2005) postulates that idiomaticity "involves knowing which particular combinations are *conventional* in a language community although other combinations are conceivable [emphasis in original]" (p. 40). She (2005) thus considers expressions such as *to get up in the morning*, *to brush*

teeth, and *to polish shoes* to be as idiomatic as idioms in the sense of fixed, non-compositional expressions. Generally speaking, Warren does not reduce idiomaticity to idioms proper, but rather deals with idioms as a subcategory of multiword expressions that reflect idiomaticity within language. Therefore, idioms in the sense of fixed, non-compositional expressions are regarded by her as equally idiomatic as other categories of idiomatic expressions which are more syntactically flexible and semantically analyzable.

2.2 Features of Idiomaticity

Warren (2005) observes that “features of idiomaticity can be found on different levels, ranging from discourse to phrase levels” (p. 51). She (2005) proposes four categories of idiomaticity features within language. She (2005) argues that the “very manner in which information is presented in a text may be language specific” (p. 37). Hence, the first feature that reflects idiomaticity within language is termed by her (2005) *preference for discourse structure*. These features of discourse structure include, for instance, the way in which each language handles direct and indirect discourse as well as the identification of participants, whether by nouns, pronouns, or substitute reference (Nida & Taber, 1982).

The second feature of idiomaticity introduced by Warren (2005) is what she refers to as *language-specific propositional expressions*. She includes in this category proverbs, clichés, allusions, and formal idioms. As for the third idiomaticity feature, it is termed by her *expressions in social interaction*. Those idiomatic expressions, according to her (2005), “are performative in that they are not used *about* particular situations but *in* particular situations [emphasis in original]” (p. 39). Warren (2005) gives some examples of this category of idiomatic expressions such as *excuse me*, *can I help you*, and *many happy returns*.

Warren (2005) observes that “knowing a word involves knowing what other words it can combine with to form syntactic units” (p. 40). Hence, the last feature of idiomaticity is termed by her (2005) *combinatory potentials of words*. Combinations of words, according to her, are divided into *open combinations* and *restricted combinations*. By open combinations, she refers to those free combinations of words such as *drink plus liquid*, *see plus visible phenomenon*, and so forth, whereas she differentiates between two categories of restrictions. On the one hand, there are words that require certain meanings such as *commit plus immoral act* or *look forward to plus positive situation*. On the other hand, there are words which require certain lexical items as their collocates. This later kind of restriction, according to Warren, represents fixed phrases which are in turn divided into *transparent combinations* and *opaque combinations*. In her view, transparent combinations refer to what is traditionally termed *collocations*, while opaque combinations refer to idioms proper or as she terms *bona fide idioms*. Thus, Warren considers open combinations of words to be as idiomatic as restricted word combinations including both transparent collocations and opaque idioms or bona fide idioms as termed by her.

Based on Warren’s categorization (2005), the current study is mainly focused on analyzing the translator’s rendering of restricted combinations of words, with idioms and collocations being two distinct sets. Since there are various types of idioms and collocations, and which have not been discussed in detail in Warren’s approach to idiomaticity, this study provides a short review on idioms and collocations with particular reference to English and Arabic.

2.2.1 Idioms

The term idiom is defined in *A Dictionary of Linguistics and Phonetics* as a sequence of words which is semantically and often syntactically restricted, so that they function as a single unit. From a semantic viewpoint, the meanings of the individual

words cannot be summed to produce the meaning of the **idiomatic** expression as a whole. From a syntactic viewpoint, the words often do not permit the usual variability they display in other contexts [emphasis in original]. (Crystal, 2008, p. 236)

It seems that the above definition more or less coincides with the definition put forth by Hossam al-Dein (1985) as part of his analysis of the features and characteristics of idioms in Arabic. It needs be mentioned that he uses the Arabic term *التعبير الاصطلاحي* as an equivalent to the English term *idiom*. He (1985) states that *التعبير الاصطلاحي*, an idiom, is "نمط تعبيرى خاص بلغة ما يتميز بالثبات، ويتكون من كلمة أو أكثر، تحولت عن معناها الحرفى إلى معنى مغاير اصطاحت عليه الجماعة اللغوية" (ص. 34).

A fixed expression peculiar to a language, and consists of one or more words whose literal meaning has changed to an idiomatic one shared by the language community (All translations from Arabic are my own).

Hossam al-Dein (1985) further explains,

"يتميز التعبير الاصطلاحي بالثبات وعدم التغيير فى تركيبه من ناحية وفى دلالاته من ناحية أخرى" (ص. 38).

An idiom is characterized by fixedness and invariability in its syntactic as well as semantic structure.

In his treatment of idioms in relation to translation, Enani (2000, 2012) illustrates that Arabic idioms show a great deal of correspondence to the categorization of idioms in English. He classifies Arabic idioms into three main categories: (a) pure idioms, (b) semi idioms, and (c) metaphoric idioms. He (2012) refers to pure idiom as *المصطلح البحت*, which is defined in his own words as:

"المصطلح الذى لا يمكن تبريره منطقيًا، لأنه لا ينقسم ولا يتفتت إلى العناصر التى يتكون منها" (ص. 113).

An expression that cannot be understood logically because it is not divided into its component elements.

As for semi idioms, Enani (2012) observes that they are closely related to pure idioms, but each semi idiom often includes a word that refers to the overall meaning of the idiom, whether explicitly or implicitly. As he (2012) puts it,

"أما النوع الثانى فهو قريب الصلة بهذا النوع (البحت)، ولكنه قد يتضمن كلمة ما أو إشارة إلى المعنى العام الذى يرمى إليه" (ص. 113).

The second type is related to this pure type, but it may contain a word or a hint that refers to its general, intended meaning.

The last category proposed by Enani (2000, 2012) is that of metaphoric idioms which are based on metaphors, whether dead or live. As far as the present study is concerned, it draws heavily upon Enani (2000, 2012) in order to identify the Arabic idioms in the source text.

2.2.1.1 Translating Idioms. The fact that idioms cannot be analyzed as consisting of the sum total of the parts, but must be treated as semantic units means it is not always possible to find an idiom in another language with equivalent meaning and form (Nida & Taber, 1982). The form of an idiom, as argued by Larson (1998), is "natural to the language in which it occurs but would not sound natural if translated literally into the other language" (p. 157). Baker (1992) highlights five main strategies for translating idioms as follows:

1. Using an idiom in the target language which not only conveys the same meaning as that of the source language idiom, but consists of equivalent lexical items as well.
2. Using a target language idiom which has a meaning similar to that of the source language idiom, but consists of different lexical items.
3. Paraphrasing which means to convey the general meaning intended by the idiom.
4. Omission which means that a source language idiom may sometimes be omitted altogether in the target text.

5. Compensation. By compensation, Baker (1992) means that “one may either omit or play down a feature such as idiomaticity at the point where it occurs in the source text and introduce it elsewhere in the target text” (p. 78).

2.2.2 Collocations

A collocation is defined by O’Dell and McCarthy (2008) as “a pair or group of words that are often used together” (p. 6). Similarly, Brashi (2005) describes a collocation, both in English and Arabic, as “the habitual co-occurrence of two or more words together in a language, the meaning of which can be deduced from at least one component of the combination” (p. 33). In this respect, Baker (1992) illustrates that every word in a language has a different set of collocates, which is referred to as *range* or *collocational range*. Range is defined by her (1992) as “the set of collocates, that is other words, which are typically associated with the word in question” (p. 49).

Accordingly, collocations differ from language to language since different words are combined to indicate the same meaning. As exemplified by Baker (1992), the English verb *to deliver*, whose Arabic dictionary equivalent is يُسَلِّمُ, collocates with a number of nouns, for each of which Arabic uses a different verb as follows: (a) the English collocation *to deliver a letter* is equivalent to the Arabic collocation يُسَلِّمُ خَطَابًا (literally: to deliver a letter), (b) *to deliver a speech* is equivalent to يُثَلِّقُ خُطْبَةً (literally: to throw a speech), and (c) *to deliver news* is equivalent to يُنْقَلُ أَخْبَارًا (literally: to transfer news).

Moreover, Baker (1992) describes collocations as “flexible patterns of language which allow several variations in form” (p. 63). As she (1992) explains, when two words collocate, “the relationship can hold between all or several of their forms, combined in any grammatically acceptable order” (p. 48). For example, she (1992) illustrates that *achieving aims*, *achievable aims*, and *the achievement of an aim* are all acceptable in English. However, Baker argues that words sometimes collocate with other words in some of their forms only. For instance, she illustrates that although *bend rules* is an acceptable English collocation, *unbendable rules* is not acceptable, but rules are described as being *inflexible*. On the above account, it seems that syntactic flexibility and semantic transparency are the two main criteria by which collocations and idioms are distinguished (Grimm, 2009). It might be worth mentioning in this context that the two Arabic terms المتصاحبات (Hafiz, 2004) and المتلازمات اللفظية (Ghazala, 2007) are used interchangeably to refer to what is generally termed collocations in English.

2.2.2.1 Translating Collocations. Baker (1992) summarizes the common problems that collocations pose in the process of translation and discusses some of the actual strategies employed by translators to overcome these problems. One of the common problems in translating collocations as examined by her is that translators may misinterpret a collocation in the source text due to interference from their native language, and, therefore communicate the wrong meaning in the target text. To deal with this problem, Baker suggests that as long as a collocation can be found in the target language which conveys the same meaning or a similar meaning to that of the source language collocation, the translator should not be confused by differences in the surface patterning between the source and target collocations.

Another problem faced by translators, as discussed by Baker (1992), is that of culture-specific collocations, that is, collocations which reflect the cultural setting in which they occur. Therefore, Baker (1992) suggests that the translation of culture-specific collocations may involve increase in information since “unfamiliar associations of ideas cannot simply be introduced in a target text without giving the reader some hint as to how to interpret them” (p. 60). In addition to the above problems, the translator, as argued by

Baker (1992), may be encountered with the use of unusual combinations of words in the source text. She suggests that this kind of collocation may be highlighted by means of an interjection from the translator in order to retain the wish of the source text author to communicate an unusual image.

Briefly, the “combination which forms a semantically correct meaning in one language may not do so in another” (Larson, 1998, p. 159). On that account, it is crucial for translators to take account of “collocational meaning rather than substituting individual words with their dictionary equivalents” (Baker, 1992, p. 53).

3. METHODOLOGY

Methodologically speaking, the present study is mainly concerned with investigating the strategies adopted by the translator, Robin Moger, in rendering idioms and collocations into English in Mourad’s novel *Vertigo* (2011/2014). The study is conducted within a comparative framework adopted to identify the similarities and dissimilarities between the source text idiomaticity features and their English translation as provided by Moger in the target text. With a view to achieving this, the meanings of those source text idiomaticity features as well as their translation in the target text are investigated in both monolingual and bilingual dictionaries.

As far as idioms are concerned, the study identifies the Arabic idioms according to the three types of idioms discussed by Enani (2000, 2012), namely pure idioms, semi idioms, and metaphoric idioms as mentioned before. Then, they are compared with their English translation in order to identify the various strategies sought by the translator. With regard to collocations, it goes without saying that Arabic is rich in various forms of collocation, which cannot be investigated fully in the space of a single study. The scope of the present study is, thus, confined to investigating the translation of one collocation type, namely Arabic noun plus adjective collocations.

It is noteworthy that the novel entails many examples of those idiomatic expressions, but citing all these examples is a massive task. In this regard, the current study is aimed at a qualitative analysis of the corpus. This means that the study is based on selected examples of the above mentioned idiomaticity features. Those examples chosen for analysis are representative of the different difficulties faced by the translator in question and, therefore, show the various strategies adopted by him to overcome those translation difficulties. For identifying the strategies followed by the translator, the study draws heavily on Baker (1992) as mentioned in the previous section. The comparison of the source and target text expressions, thus, fulfills the purpose of the study of identifying whether the translator has maintained equivalent idiomaticity in the target text.

4. SAMPLE ANALYSIS

The selected examples of idioms and collocations are analyzed in this section with a primary aim of investigating how their usage as features of idiomaticity in the source text has been maintained or lost in the target text. For these patterns of idiomatic expressions, the following dictionaries have been consulted: *A Dictionary of Modern Written Arabic* (Wehr, 1976), *A Dictionary of Egyptian Arabic: Arabic-English* (Badawi & Hinds, 1986), *Oxford Collocations Dictionary* (2003), *Cambridge International Dictionary of Idioms* (2004), *Dar El-Ilm’s Dictionary of Collocations* (Ghazala, 2007), and *معجم التعابير الاصطلاحية في العربية المعاصرة* (فايد، 2007).

4.1 Idioms

Example 1

لا ينام قبل السادسة صباحًا، ولا يخرج من الفرح إلا بذكرى فتاة جميلة يظن أنها تتبعه بنظراتها طوال الوقت، مكتفياً بتصويرها بورترية لعله يلقاها ثانيًا، يريها لزملائه ويضيف من عنده بعض الرتوش وكأنها من طلبت منه صورة ورقم تليفونه وماتت في دبابيه.. (مراد، 201، ص. 8)

He never got to sleep before six in the morning and never left a wedding without the memory of a beautiful young woman whose gaze, or so he thought, had followed him around all night. Taking a shot of the woman's face in case he met her again, he would show it to his colleagues, with his own embellished commentary, hinting that it was she who had requested the photo and his telephone number and *fallen head over heels in love*. (Mourad, 2011/2014, p. 2)

"(فلان) ميت في دبايب رجلي (فلانة): يهيم بها حياً، ولهان" (فايد، 2007، ص. 484).
 (فلان) ميت في دبايب رجلي (فلانة): to be in love with, passionately in love.
 "Be head over heels (in love): to be in love with someone very much, especially at the beginning of a relationship. It is obvious that they are head over heels in love with each other" (Cambridge, 2004, p. 181).

In the above example, the translator is encountered with the Egyptian Arabic idiom *ماتت في دبايبه*. As quoted above, it is a colloquial idiom which is used in the context of love to mean that someone is deeply in love. It is, thus, evidently clear that this source language idiom, in its idiomatic sense, has nothing whatever to do with the meaning of either *ماتت*, literally died, or *دبايبه*, literally his teddy bears. Accordingly, it represents a typical example of pure idioms defined before as idioms whose idiomatic senses cannot be understood from the literal senses of their separate components.

Scrutinizing the translation in question, it turns out that the translator has utilized the target language idiom *to fall head over heels in love*, which conveys nearly the same meaning as the source language idiom, albeit with a different image. Thus, he has resorted to Baker's strategy (1992) of using an idiom in the target language that has a meaning similar to that of the source language idiom, but contains different lexical items.

Example 2

أحمد: ما تشغلش بالك بي.. شوف انت حالك بس.. صحيح.. لسة مفيش حاجة كده ولا كده؟
 عمر: يا ابني البنات على قفا مين يشيل المهم النفس (مراد، 2014، ص. 125).

You shouldn't worry yourself over me. Look after yourself. Now then, have you got anything on the go yourself?

Plenty of girls, man. But who's up for it? That's the question (Mourad, 2011, p. 110).

قفا: nape; على قفا مين يشيل: plentiful, abundant (Badawi & Hinds, 1986, p. 712).

"(كذا) على قفا من يشيل: كثير جداً، أكثر من المطلوب" (فايد، 2007، ص. 334).

(كذا): very much, more than enough.

In the example quoted above, the translator has dealt with the colloquial idiom *على قفا مين يشيل*, which is used in Egyptian Arabic, as illustrated above, to mean very much of something or more than enough. Since syntactic fixedness and semantic non-compositionality are the basic criteria by which idioms are identified, this source text expression provides a typical example. That is, in addition to its fixed form, its idiomatic sense is nothing to do with the literal meanings of its component words. Due to this non-compositionality, it can be regarded as a pure idiom.

In the novel under study, this pure idiom has been rendered as *plenty of girls*. Thus, the translator has opted for the strategy of paraphrase as discussed by Baker (1992). In this case, the translation expresses only the general meaning of the source text idiom and fails to match or reflect its idiomaticity. In other words, the translator has given priority to meaning over form or idiomaticity, which results in cultural and idiomaticity losses.

Example 3

غسل وجهه، وغمس أصابعه في علبه الجل التي لا تفارقه.. صفف شعره وتأكد من لمعته.. لبس الحثة اللي على الحبل.. كتب ورقة لعمر.. (مراد، 2014، ص. 189).

Washing his face, he dipped his fingers in the tub of gel that never left his side, combed through his hair and checked its sheen. *He threw on whatever clothes were clean and dry* and wrote a note to Omar... (Mourad, 2011/2014, p. 166).

"لبس (فلان) الذي على الحبل: تأنق في ملبسه" (فايد، 2007، ص. 438).

لبس (فلان) الذي على الحبل: elegantly dressed.

The translator, in the above example, is faced with the idiom *لبس اللي على الحبل*, which is used in Arabic in order to tell that someone is wearing elegant and attractive clothes. Despite its fixed form, this idiom can be included in the category of semi idioms since one of its components, the word *لبس*, is used in its literal sense. As used in the novel, this Arabic idiom indicates that Ahmed, the character referred to, wears like this especially because he wants Ghada, his beloved, to notice him and be attracted to him.

Scrutinizing the translation in question, it turns out that the translator has resorted to Baker's strategy of paraphrase (1992). But, it seems that the translator, maybe unacquainted with the source language idiom, has misinterpreted its meaning and therefore has communicated a literal, unintended meaning in the target text. Accordingly, not only idiomaticity has been lost as a result of translating a source text idiom into a target text non-idiom, but also the intended meaning has been changed from wearing fashionable clothes or the best clothes someone has to just wearing clean and dry clothes.

Example 4

أصبح انعزالياً.. يرفض ويعدل أي مقال لا يعجبه بروح الديكتاتور، ولا يأبه برأي أحد.. يسهر في المكتب كثيراً ويغيب عنه أيضاً كثيراً.. رحل عن جريدته كثيرون ممن لم يتحملوا سلوكه، وكان رأيه دائماً أن الباب يفوت جملاً بهودج يحمل عروساً. (مراد، 2014، ص. 234)

He became a recluse, rejecting and amending any article that displeased him in the manner of a dictator, deaf to anyone else's opinion. He frequently worked late in his office and just as frequently was absent altogether. Many left the paper, unable to bear this behavior, though he always said, "*leave if you want! The door is wide enough for you all*". (Mourad, 2011/2014, p. 207)

السكة تقوت الجمال: (literally, the way permits the passage of the camel): no one is forcing (you) to stay! (Badawi & Hinds, 1986, p. 173).

As quoted above, the Egyptian Arabic idiom *الباب يفوت جملاً* is used as an angry way to tell someone to leave a place as no one is forcing them to stay there. It can be observed that this idiom involves a metaphor but one which is dead in the sense of being part of the lexicon of Arabic and, therefore, is common to native speakers without giving much attention to the comparison. In addition to the difficulty of translating an idiom from a different culture, the translator here is faced with another difficulty resulted from the hyperbole created by the source text author. That is, Mourad (2014) has extended the image of the idiom *الباب يفوت جملاً* into *الباب يفوت جملاً بهودج يحمل عروساً*. Accordingly, the translator has to tackle not only the problem of rendering an idiom into a totally different culture, but also the problem of preserving the humorous and exaggerated effect reflected by that hyperbole.

The translator in question has paraphrased the meaning of this source language idiom as *leave if you want! The door is wide enough for you all*. He has thus retained the image of the door and, at the same time, the general meaning can still be understandable to the target readers. However, since a source text idiom has been translated into a target text non-idiom, a loss of idiomaticity has occurred in the target text. In addition, there is a loss of the humorous and exaggerated effect created by the hyperbole of the source text idiom.

Example 5

تخللت هذين الأسبوعين أحداث كثيرة.. علم الكازينو بوفاة جودة المفاجئة.. لملموا من بعضهم حق الخارجه، وجاءت من صاحب الكازينو نفحة هزيلة لا تليق بالعهرة الطويلة.. تم دفن جودة في مقابر باب النصر.. لم يحضر الجنزة كثيرون.. جمع صغير من أهل الحي وبعض العاملين في الكازينو وصديق أو اثنان.. معارف بعدد شعر رأس جودة.. لأنه أصلع.. ذلك كان كل ما جمعه طوال سنين عمره التي تعدت الستين.. (مراد، 2014، ص. 180)

The two weeks that followed were marked by many developments. The casino found out about Gouda's sudden death and some of the employees did a whip around for the cost of the funeral, including a derisory sum from the owner that was unworthy of their long acquaintance.

Gouda was buried in the Bab el-Nasr cemetery. Not many turned up to the funeral. There was a small group from his neighborhood, a few employees from the casino and a friend or two. *No more than the hairs on Gouda's head, and he was bald.* This was all he managed to gather around him in the course of a life that had lasted more than sixty years. (Mourad, 2011/2014, pp. 157-158)

The idiom in the above example is *بعدد شعر رأس* which is used in Arabic to tell that someone has very many or much of something (El-Batal, 2013). The researcher considers it a metaphoric idiom since it suggests some likeness or analogy between a large amount of something and someone's hair. This idiom is "often used to scold a person with little experiencing for pretending to be knowledgeable" (El-Batal, 2013, p. 23). However, it can be observed that this is not the meaning intended by the author in the above context. The change of meaning is evidently clear from the extension of the image of the idiom as introduced by the author. In other words, Mourad (2014) has added the phrase *لأنه أصلع*, literally because he is bald, which gives the opposite meaning and, at the same time, creates an additional sense of humor which catches the reader's attention as well. This extension of image is, thus, very important not only due to its stylistic effect, but also since it results in a change of the meaning of the source language idiom altogether.

Analyzing the translation in question, it turns out that the translator, Robin Moger, has preserved the metaphoric image of the source text idiom in the target text and the target readers can still get the intended meaning from the metaphor presented. Hence, the translator has given the target readers a taste of the source culture and its language without distorting the meaning intended by the author. On the other hand, there is a distortion of idiomaticity since this translation does not reflect the occurrence of a source text idiom.

Example 6

مش هيوافق .. الواد ده عنده ميول سياسية.. (مراد، 2014، ص. 55).

He won't play ball. The guy likes to play politics (Mourad, 2011, p. 43).

وافق: to agree (with something or somebody); to be agreed, unanimous, of the same opinion, concur (Wehr, 1976, p. 1084).

Play ball: "to agree to do what someone asks you to do, or to agree to work with someone in order to achieve something together" (Cambridge, 2004, p. 21).

Scrutinizing the translation in the above quoted example, it turns out that the translator has provided a target language idiom where there is no idiom in the source text. That is to say, he has utilized the English idiom *play ball* which conveys more or less the intended meaning of the Arabic word *يوافق*. Thus, he has attempted to compensate for the cultural and idiomaticity losses resulted from his opting for paraphrase when translating the majority of the source text idioms by preserving idiom usage as a feature of idiomaticity in his translation in general.

Example 7

ولثم خده بقبلة مبللة.. بس أنا يا حمادة عاتب عليك.. (مراد، 2014، ص. 150).

He gave his cheek a damp kiss. But *I am going to have to give you a piece of my mind...* (Mourad, 2011/2014, p. 130).

عانتب على: to blame, censure, reprove, scold (somebody for) (Wehr, 1976, p. 589).

Give somebody a piece of your mind: "to speak angrily to someone because they have done something wrong. I have had enough of him coming home late. I am going to give him a piece of my mind when he gets in tonight" (Cambridge, 2004, p. 297).

In the above quoted example, the translator has utilized the target language idioms *to give somebody a piece of your mind* in a place where there is no idiom in the source text. In other words, he has opted for this English idiom as a translation of the source text phrase *عانتب عليك* which literally means *I blame you*. Accordingly, this example, like the previous one, shows that whereas the translator has lost a number of idioms in his translation, he has attempted to gain some. His resorting to compensation, thus, helps maintain the stylistic effect of idiom usage as a feature of idiomaticity in the target text in general.

4.2 Collocations

Example 1

عرق غزير علا جبهته اختلط بشعره فعبث به في كل اتجاه.. (مراد، 2014، ص. 118).

Thick sweat covered his brow, mingling with his hair and sending it sticking out in all directions (Mourad, 2011/2014, p. 103).

قطعة من اللافا البركانية سقطت على رأس أحمد أطفأها/العرق الغزير.. (مراد، 2014، ص. 168).

A dollop of lava fell onto Ahmed's head and was extinguished by his *copious sweat*... (Mourad, 2011/2014, p. 146).

ضغظت على زر العذاب الذي يبعث تلك الموسيقى الرتيبة على سبيل تسلية المنتظر، في حين تصيب جبين أحمد بعرق غزير.. (مراد، 2014، ص. 121).

She pressed the torture button that transmits monotonous music for the amusement of the waiting caller while *Ahmed's forehead dripped with sweat*... (Mourad, 2011, p. 106).

عرق: sweat, perspiration (Wehr, 1976, p. 607).

غزير: much, plentiful, copious, abundant, ample (Wehr, 1976, p. 672).

It is observed in the example right above that the Arabic noun *عرق*, literally sweat, collocates with the adjective *غزير*, literally abundant. These literal meanings constitute the total meaning of the Arabic collocation *عرق غزير*. This Arabic collocation is, thus, mainly characterized by transparency or compositionality of meaning. However, it has an equivalent English collocation where the adjective is not translated literally. That is, the equivalent English noun *sweat* collocates with the adjective *heavy* (*Oxford Collocations*, 2003). In this case, though both source and target language collocations convey the same meaning, the English adjective is not a literal translation of the Arabic adjective. This indicates that the collocational ranges of the Arabic and English equivalent nouns *عرق* and *sweat* are not identical.

Analyzing the translation in question, it is evidently clear that the translator has not opted for this target language equivalent when handling the source text collocation, yet he has sought different renderings. In the first statement, he has employed the adjective *thick*, literally *كثيف* or *غليظ*. As for the second statement, the translator has opted for a literal translation of the source adjective; that is, he has employed the adjective *copious* as translation of the Arabic adjective *غزير*. In these cases, despite not providing the target language equivalent collocation *heavy sweat*, the translator has preserved the collocation form in the target text while, at the same time, has conveyed more or less the intended meaning of the source text collocation. As for the last case, the translator has utilized the English verb plus preposition plus noun collocation *to drip with sweat* as provided in *Oxford Collocations* (2003), which conveys more or less the same meaning as

the source text collocation عرق غزير, albeit with a different image. Thus, the source language collocation has been replaced by a target language collocation which is equivalent in meaning but not in form. In this case, the stylistic effect of using collocation as a feature of idiomaticity has been maintained in the target text, yet with a different collocational pattern.

Example 2

كان بداخله شعور بزحزحة هم ثقيل من فوق صدره كاد يقصم ظهره.. (مراد، 2014، ص. 297).

He had a sensation of some *onerous care* shifting off his chest after threatening to break his back (Mourad, 2011/2014, p. 260).

Example 3

كانت تغط في نوم ثقيل وتشخر في عمق.. (مراد، 2014، ص. 118).

Sunk in sleep, she snored deeply (Mourad, 2011/2014, p. 103).

Example 4

رد عليه الرجل بابتسامة صفراء: إنت سمعك ثقيل؟ (مراد، 2014، ص. 139).

The man gave an unpleasant smile. *Hard of hearing*, are you? (Mourad, 2011, p. 121).

هم: anxiety, concern, solicitude; worry, care; sorrow, grief, affliction, distress (Wehr, 1976, p. 1033).

هم كبير/ثقيل: serious worry (Ghazala, 2007, p. 1515).

ثقيل: heavy; weighty, momentous, grave, serious, important, burdensome, troublesome, cumbersome, oppressive; ثقيل السمع: hard of hearing (Wehr, 1976, p. 104).

نوم ثقيل/عميق: heavy sleep (Ghazala, 2007, p. 1240).

It is observed in the above quoted examples that the Arabic adjective ثقيل/ثقيلة, whose literal meaning is heavy, collocates with a number of nouns where it conveys different senses. As quoted above, when it collocates with هم, it means serious; when it collocates with نوم, it means deep; and lastly when it collocates with سمع, it refers to someone who is hard of hearing. Those collocations, thus, reflect partial compositionality because one of their components, that the adjective ثقيل/ثقيلة, conveys a figurative, non-literal sense. However, the meaning of the collocation can still be understood from the other component, that is, the noun which is used in its literal sense.

On the above account, the source text adjective is translated into English using different adjectives depending on the noun with which it collocates. When it collocates with هم, literally worry, it is translated into any of the adjectives *big, considerable, great, major, and serious* (Oxford Collocations, 2003). Similarly, Ghazala (2007) utilizes the English collocation *serious worry* as equivalent to the Arabic هم ثقيل. With regard to نوم ثقيل, it has an identical English collocation where the equivalent noun and adjective are collocated to convey the same meaning. That is, the English adjective *heavy* collocates with the noun *sleep* to indicate a similar meaning to that of the Arabic نوم ثقيل (Ghazala, 2007, Oxford Collocations, 2003). As for سمع ثقيل, it is translated by the English adjective *hard of hearing* as illustrated above.

Scrutinizing the translation in question, it turns out that the translator has conveyed the intended sense in each case. In the first example above, he has translated هم ثقيل as *onerous care*, which preserves the same meaning in the target text. As for the second example, instead of translating the Arabic noun plus adjective collocation نوم ثقيل into its identical English collocation *heavy sleep* where both Arabic components are translated by their English dictionary equivalents, the translator has provided a different collocational pattern. That is, he has utilized the verb plus preposition plus noun collocation *to sink in sleep* which is typical of the target language (Oxford Collocations, 2003) and, at the same time, conveys a meaning more or less similar to that of the source text collocation. Accordingly, the stylistic effect of collocation usage as a feature of idiomaticity has been preserved in the target text, though with a non-equivalent form or,

in other words, with a different image. In the last statement, the translator has translated *سمعتك ثقيل* into the English adjective *hard of hearing*. Therefore, he has communicated a similar meaning without preserving the collocation form in the target text.

Example 5

حتى أتى يوم تغيرت فيه رئاسة الجريدة.. قرار مفاجئ من رئيس التحرير أيده فيه سريعاً رئيس مجلس الإدارة: لقد اكتفيت بما صنعت.. سأخرج وصفحتي ببيضاء.. (مراد، 2014، ص. 289).

Then one day the position of editor changed hands; an unexpected decision by the editor, quickly endorsed by the head of the paper's board of directors: I am happy with what I achieved. I can leave with *a spotless reputation*... (Mourad, 2011/2014, p. 253)

صحيفته ببيضاء: his reputation is good; he has noble deeds to his credit, he has a noble character (Wehr, 1976, p. 86).

"صفحة (فلان) ببيضاء: مشهور بحسن السمعة" (فايد، 2007، ص. 277).

صفحة (فلان) ببيضاء: he is famed for good reputation.

As quoted above, the noun plus adjective collocation *صفحة ببيضاء*, literally white page, is used in Arabic in order to refer to someone who has a good reputation. In this regard, it is characterized by figuration since its meaning is not composed of the literal meanings of its separate components. Analyzing the translation in question, it is clearly observed that the translator has provided the adjective plus noun collocation *spotless reputation* which is used in English to describe someone who has a good reputation (Cambridge, 2008). In this target language collocation, the adjective *spotless*, which literally means perfectly or extremely clean, is used figuratively in the sense of being good in behavior (Cambridge, 2008). In this case, providing this target language collocation, even though neither of its components is a literal translation of the component parts of the Arabic collocation *صفحة ببيضاء*, conveys a meaning similar to that of the Arabic collocation as intended in this particular context. Therefore, the translator has made up for the loss of the cultural-specific image of the Arabic collocation by providing an English metaphoric collocation of similar meaning.

5. FINDINGS AND CONCLUSION

The findings of the study point to the translator's use of the translation strategies suggested by Baker (1992) as far as idiomaticity features are concerned with the strategy of paraphrase being the mostly adopted one by him, which answers the second question of the study. The extensive use of paraphrase has led to cultural and idiomaticity losses in the target text. The translator has also made use of the strategy of compensation - which is suggested to make up for the idioms lost in translation- in order to gain some idioms in the target text. This, therefore, answers the third question addressed in the study. Consequently, these findings lead to the conclusion that the usage of idioms and collocations as features of idiomaticity has been maintained to some extent in the target text as compared with the source text, which provides the answer to the first and main question addressed in the present study.

Hence, analyzing Moger's translation of idioms, the present study concludes that although Arabic and English have different cultural traditions, it is possible to find equivalent idioms in both languages. However, in most of the cases, the equivalent idioms do not consist of equivalent lexical items. Yet, this indicates that although Arabic and English are linguistically and culturally different, the same meaning may be expressed in both languages by means of an idiom. Concerning collocations, the study indicates that due to differences in the collocational ranges of equivalent source and target language words, Arabic noun plus adjective collocations can be translated by English adjective plus noun collocations whether the Arabic adjective is translated literally or not. The study also reveals that Arabic noun plus adjective collocations may be translated by

other collocational patterns in English without distortion in meaning. It is, thus, hoped that the main objectives of the study have been achieved through the analytical exemplification of each of the translation strategies followed by the translator, Robin Moger, as far as the selected idiomaticity features are concerned.

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Notes

¹ The present study is based on the researcher's MA thesis (Afify, 2018).

Investigating the Use of Superordinates to Solve the Problem of Non-equivalence in the Arabic Subtitles of the Documentary *David Attenborough: A Life On Our Planet* (2020)

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Abstract

This study investigates how the concept of semantic relations is used in Translation Studies (TS) to solve the problem of non-equivalence. It specifically examines how ‘superordinates’ are used in the translation process to overcome the problem of lack of hyponyms in the Target Text (TT). The study attempts to answer the following questions: how do semantic relations contribute in solving the problem of non-equivalence? And how is the strategy of ‘translating by using the superordinate’ is utilized in the Arabic subtitles? The study investigates the use of superordinates to solve the problem of non-equivalence by using Baker (2018) Equivalence theory in the analysis of the Arabic subtitles of the documentary *David Attenborough: A Life On Our Planet* (Fothergill et al., 2020). The study reaches the following findings: after analyzing 12 biology and nature related terms, 9 instances appeared to include a maintained or added superordinate to the literally translated or transliterated hyponym. In the rest of the 3 instances, the superordinate did not completely replace the hyponym in the TT. Instead, other strategies were adopted, like paraphrasing. This indicates that Baker’s (2018) equivalence strategy of ‘translating by using the superordinate’, does not necessarily indicate that the superordinate will frequently replace the missing hyponym in the TT. However, sometimes the superordinate is added to the transliterated or literally translated hyponym in the TT to act as a short in-text explanation to help familiarize Arab viewers with biology and nature related terms.

Keywords: Semantic relations, Translation, Hyponym, Superordinate, Terms, Non-equivalence

1. Introduction

Words are but dots that interlink with a larger network of other dots. This interlink stands as a solid proof to the existence of a world that includes universal principles of language (Storjohann, 2016). One of the aspects that connects lexemes or lexical units together is meaning relations; a field concerned with pragmatic relation as hyponymy, antonymy, synonymy etc. (Storjohann, 2016). These categories enable linguists to identify the semantic relations between words. For instance, one relation that connects words is antonymy or the relation of binary opposition (love and hate). There is no doubt that these semantic relations help translators in overcoming the problems of non-equivalence between source and target texts. It helped scholars in the field of TS, such as Baker (2018), in constructing strategies based on the very foundational methodologies of these relations. Another type of semantic relations is the relation between superordinates and hyponyms, where the hyponym is a word or phrase that is more specific than its superordinate, as in the relation between the word tree and apple orchards, where apple orchards are a type of trees, making the apple orchard the hyponym and tree the superordinate. This type of semantic relation is the focus of this study, which is to investigate how superordinates are used to overcome the problem of non-equivalence on

the word level in the subtitles of the documentary *A Life on Our Planet* (Fothergill et al., 2020) from English to Arabic.

This study aims to examine how translators use semantic relations to overcome the problem of non-equivalence on the word level. It aims to investigate how Baker's (2018) strategy of 'translation by a more general word (superordinate)' can be adopted in subtitles to overcome the problem of nonequivalence on the word level. Consequently, this study aims to answer the following questions: How do semantic relations contribute in solving the problem of non-equivalence? How is the strategy of 'translating by using the superordinate' is utilized in the Arabic subtitles?

2. Key concepts

Before starting the process of analysis, the study will touch upon important key concepts. The four main concepts discussed in this section are: semantic relations with a special focus on the relation of superordinates and hyponyms, the equivalence theory in translation, subtitling as a form of audiovisual translation and the genre of documentaries as media outlets.

2.1 Semantic Relations

Semantic relationships have to do with associations that exist between the meaning of words, phrases, and sentences (Murphy, 2003). This study focuses on associations of meaning on the word level. There are different types of semantic relations such as synonymy, antonymy, polysemy, hyponymy, and metonymy. The first type of semantic relations is synonymy. According to Murphy (2003), synonymy is the semantic equivalence between lexical items. An example of synonymous words is big and large. The second type of semantic relations is antonymy, where the relation between two words exists in the fact that they contain opposite meanings, such as, the relation between the words big and small. There are three types of antonymy: complementary or contradictory antonyms, relation antonyms, and gradable or scalar antonyms. In complementary or contradictory antonyms, the relation between words is concerned with the fact that a word holds the properties that the other word does not include as in the words complete and incomplete. As for relation antonyms, in the relation between words, the presence of a semantic property in one member implies the presence of another semantic property in the other member, like buy/sell, taller/shorter, and teacher/student. The final type of antonyms is gradable or scalar antonyms, where the word pair contrast in the degree of possession or certain semantic property. For example, note the words, hot and cold, big and small, and strong and weak. The third semantic relation is homonymy, which is the relation that exists between two or more words which belong to the same grammatical, category. They may have the same spelling and may or may not have the same pronunciation. An example of such relation exists in the word lie (to rest or to not tell the truth), and in the verb bear where it could be (give birth or tolerate). The fourth relation is hyponymy, which is the focus of this study, where a hyponym is a word includes the meaning of the other words. The term that includes in its meaning the meaning of the other terms is called the general term or superordinate or hypernym. The superordinate includes in its meaning other terms that are more specific or hyponyms. An example of such relation exists between the word vehicle and the words bus, car, lorry and van, where all these terms are specific terms or a type of the general term vehicle. The fifth type is polysemy, where a semantic relation exists between a word and its multiple conceptually and historically related meanings. For instance, the word foot is a polysymus, where it could refer to the foot of a human being, chair, or table. The final

type is metonymy, where a relation exists between two words where one word is used as a metaphor for the other like using the word cops in place of policemen.

2.2 Equivalence

Theoreticians in the 1950s and 1960s started to develop a more systematic analysis to translation which is more descriptive; their discussion of translation revolved around key linguistic issues, such as, meaning and equivalence. Jakobson (1959) sets the corner stone for equivalence in meaning, stating that there is no full equivalence between code-units. According to Jakobson (1959), translation between languages includes substituting messages in one language with separate codes for entire messages in another language. These code units are different because they belong to different sign systems or languages that perceive reality in a different way. This discussion focuses on the differences between structures and terminologies of source and target languages. However, it does not put into the frame the problem of non-equivalence between languages, which has been later discussed and developed by various scholars in the field of translation. This includes Eugene Nida's formal and dynamic equivalence (1964), Peter Newmark's semantic and communicative translation (1981) and Baker's Equivalence (2018).

2.2.1 Nida's (1964) Equivalence

When it comes Nida (1964), he introduces two types of equivalence: formal equivalence and dynamic equivalence. These two orientations were used by Nida (1964) as a replacement to the old notions of 'literal', 'free' and 'faithful translations. First, Nida (1964) defines formal equivalence as a type of equivalence that focuses on the message itself in both form and content. It is most applicable when the receptor's language closely matches the elements of the source language. It is thus a type of equivalence that is more oriented towards the source text's structures. It is also a type of translation that includes a lot of scholarly footnotes and gloss translations and it is mostly used in the translation of academic and legal texts. Second is dynamic equivalence, which is later referred to as functional equivalence. In this type of equivalence, the effect of the translated message on the target text receptor should be the same as that of the source text's receptor. It is where the message has to be tailored to the linguistic needs of the target audience and aims to sound as a natural in the target language and text. This receptor oriented approach avoids any type of foreignness in the target text.

2.2.2 Newmark's (2001) Semantic and Communicative Translation

On the other hand, Newmark (2001) states that the effect of Nida's equivalence is an illusion and that the gap between source and target languages will remain to be the focus of translation studies. Therefore, he suggests narrowing the gap by using other terms as a replacement to the old terms. These terms are semantic and communicative translations. First, communicative translation attempts to provide the target audience with the same effect of the source text and it is similar to Nida's dynamic equivalence. Second type of translation is semantic translation, which is a translation that attempts to render as closely as possible the semantic and syntactic structures of the source language, and of course, as far as the target language allows. In this type of translation, the exact contextual meaning of the original is provided in the target text. Newmark's semantic translation also holds similarities to Nida's formal equivalence. The differences between Nida's and Newmark's concepts is that Newmark believes that no translator is capable of producing the same effect on the target readers and asks the question of what type of readers is Nida's dynamic equivalence is directed at? And whether they should be handed everything on a silver plate? This brings up the argument supported by Newmark (2001),

which signifies literal translation as the best approach as long as the same effect is achieved in the target text.

2.2.3 Baker's (2018) Equivalence

Like Nida (1964) and Newmark (2001), Baker (2018) discusses the concept of equivalence thoroughly in her book "In Other Words." Baker (2018) argues that equivalence is relevant because it is influenced by various linguistic and cultural factors. Her approach is structured around the different levels of equivalence: equivalence on the word level, equivalence above the word level, grammatical equivalence, textual equivalence, pragmatic equivalence, and semiotic equivalence. This brings to light the importance of other levels of equivalence that were not mentioned in the previous theories of equivalence; levels that pass beyond words and structures. At the word level equivalence, Baker starts by highlighting that there are some problems of non-equivalence translators face in the translation of terms. She lists them into eleven problems. Furthermore, she lists common strategies that translators use in order to overcome the previous eleven problems. Moving on to grammatical equivalence, Baker highlights the diversity of grammatical categories across languages and the difficulty of finding an equivalent in the target text. She further stresses that the change of grammatical structures affects the way information is perceived. Therefore, the translator must use strategies that would help them overcome this problem like addition and omission. As for the textual level of equivalence, Baker (2018) refers to the equivalence that has to be achieved between source and target texts on the level of cohesion and information and how the choice of the translator to maintain or remove cohesive ties affects the understanding of the text. Finally, pragmatic equivalence deals with the idea of implicature, which is based on Grice's pragmatic theory of implicature, where Baker highlights that the term refers to the implied meaning and not the literal one. Therefore, the job of the translator is to find the implied meaning that the text has, if it includes one, and not the surface meaning. She emphasizes that the role of the translator is to deliver this implied meaning across languages to make it accessible to the target audience.

2.3 Documentaries

Documentaries differ in their form and content than various genres of fiction such as science fiction films, horror films, adventure films and others. Documentaries are defined as representations of the world humans live in (Nichols, 2001). They provide, in fact, a particular perspective of the world that a person did not encounter before despite the concept being familiar. Therefore, in the judgement of a documentary, aspects, like fidelity to the original and sameness of the purpose of the original, are always taken into view. In addition, a documentary includes pictures or interviews with people involved in real events to report factual information concerning a subject and they include six different types: poetic, expository, participatory, observational, reflexive, and performative.

First, a poetic documentary focuses on the mood, tone, and juxtaposition of imagery and usually have little to no explicit narrative content. In a poetic documentary, the director composes visually striking images that tell a story without the need for verbal context. The second type of documentaries is expository documentaries, where it sets a specific point of view or argument about a subject and it often includes the 'voice of god' voiceover. In this type of documentary, the footage mainly asserts the information being said; these images and footage are usually archival footage, b-rolls, and enactments of events. Third are participatory documentaries, where the documentary is considered an interaction between filmmakers and their subject or speaker. In this kind of documentary,

the cinematographers and the interviewees are of equal importance. For this reason, participatory documentaries are considered interactive ones because they allow the engagement of subjects and the capturing of real emotions or responses on camera. Another type of documentaries is observational documentaries. In observational documentaries, the maker of the documentary acts as a fly on the wall; it is where the subject is observed in real life without an interruption. The documentary filmmaker in this type of documentary does not interrupt the flow or order of the subject's life, but instead captures it in its raw form. As for reflexive documentaries, they focus on the relation between the filmmaker and the audience. In this type of documentary, the filmmaker will shoot the behind-the-scene style footage and present the entire film in this style. Finally, performative documentaries are usually about how the filmmaker is involved with their subject. It is where the personal experience of the subject leads to discovering larger perspectives related to politics, history, or a group of people (Nichols, 2001).

2.4 Subtitles

Generally speaking, subtitling is a form of audiovisual translation where an oral output is transformed into written output on screen (Díaz Cintas, 2009). It is one of the most common forms of audiovisual translation along with dubbing and voiceover. The process of subtitling involves presenting written text at the bottom of the screen. According to (Díaz Cintas & Remael, 2007, p.5) it “gives an account of the original dialogue exchanges of the speakers as well as other linguistic elements which form part of the visual image (inserts, letters, graffiti, banners and the like) or of the soundtrack (songs, narration, voiceover).” In addition, there are certain guidelines that govern subtitling as a form of translation (Díaz Cintas & Remael, 2007). These guidelines vary according to the genre and customers. However, there are some guidelines to subtitling that are considered universal like using simplified grammatical and lexical items and omission of interactional speech features and intonation to avoid long subtitles (Díaz Cintas & Remael, 2007). In addition to the guidelines, there are strategies that are used by translators in the process of subtitling like Gottlieb's (1992) subtitling strategies: expansion, paraphrase, transfer, imitation, transcription, dislocation, condensation, decimation, deletion, and resignation. These strategies show the various methods that translators adopt while trying to translate the oral output into a written one at the bottom or side of the screen.

Despite the clear guidelines and strategies that govern the mainstream subtitling practice, still other forms of subtitling exist such as fansubbing, which emerged in an attempt to localize Japanese anime into other languages and cultures (Gonzalez, 2009). It is also a form of subtitling adopted by fans who objected to the professionally subtitled anime that followed mainstream subtitling conventions in the translation of these Japanese genres (Gonzalez, 2009). The cause of this objection is that mainstream subtitling neglects the cultural references in these animations. Therefore, fansubbers started to adopt other strategies in their process of subtitling; for instance, the use of different fonts to match the visual aesthetics, the use of colored pale white instead of snow bright white, the use of translator's footnotes and glosses, and the use of different layout and positioning of subtitles (Gonzalez, 2009).

3. Methodology and data

3.1 Data description

The data chosen for this study is the documentary *David Attenborough: A Life On Our Planet* (Fothergill et al., 2020), which is a feature documentary that is an hour and 23 minutes long. This documentary takes the life of the 93-year-old biologist Attenborough

as a testimony to the natural changes that undertook planet Earth due to global warming. Since global warming is the main focus of nearly all nations around the world, it becomes a necessity to raise awareness about its dangers. Therefore, the Arabic subtitles of the film help equip Arab viewers with the right terms in Arabic to also be able to raise awareness about this matter. Therefore, the documentary is an ideal corpus to investigate how nature and biology related terms (hyponyms) are translated into Arabic through the usage of the strategy ‘translating by using the superordinate’.

3.2 Methodology

As mentioned earlier, this study aims to investigate how the semantic relation of ‘superordinates and hyponyms’ could be used to overcome the problem of non-equivalence on the word level in translation studies (TS). Therefore, this study uses Baker’s (2018) Equivalence and specifically the strategy of ‘translating by using the superordinate’ to further analyze how this semantic relation is further adopted in solving the problem of non-equivalence in the translation process. According to Baker (2018),

translating by using the superordinate’ is one of the common strategies that translators use while “dealing with many types of non-equivalence, particularly in the area of propositional meaning. It works equally well in most, if not all, languages, since the hierarchical structure of semantic fields is not language-specific. (p. 26)

It is the strategy where the superordinate completely replaces the hyponym in the TT. The terms that do not have an equivalent in the Arabic language and their context are displayed in a table along with their translation to allow an easier follow up of the analysis and comparison process. The timing of the occurrences of these terms in the documentary is provided in the table to allow an easier process of locating these terms in the documentary for readers. Then, the study investigates how the superordinate is used in the translation process: observe whether the hyponym is replaced with a superordinate in the TT or the superordinate is added to the source’s transliterated or literally translated hyponym in the TT.

4. Analysis

4.1 Superordinate Added to the Transliterated or Literally Translated Hyponym

Source text	Target text	Timing
This particular one has a scientific name of <i>Tiltonicerus</i>	كان لهذا الكائن تحديدا اسما علميا وهو "تيلتانيسوريس"	Minute 7:41

This part of the analysis, includes all the instances where the superordinate was added by the translator to the literally translated or transliterated hyponym in the target text. Each word, and the sentence it was mentioned in, is provided in the table. The analysis includes a description of the general context within which the term appeared.

Table 1

In this part of the documentary, Attenborough describes how the fossil of the *Tiltonicerus* got its name, saying that it got the name because it was found in the village of Tilton, which is located in the middle of England. If the translator maintained the word or the name of the creature ‘*Tiltonicerus*’, without mentioning that it is an actual creature, Arab viewers might think that the reference here is to the shell of the creature and not the existence of the actual creature 180 million years ago. Especially that in this part of the documentary, Attenborough was holding the shell of the creature while talking about its

history. Therefore, the translator opted for adding the superordinate 'الكائن' to the transliterated hyponym in the sentence to highlight that Attenborough is talking about an actual creature that use to live on earth and its origin.

Table 2

Source text	Target text	Timing
We found <i>Humpbacks</i> off Hawaii only by listening out for their calls	كنا نعثُر على الحيتان الحدياء بالقرب من "هاواي"	Minute: 25:28

In this example, 'Humpbacks' refers to a type of whales that own a long pectoral fin and a knobbly head, giving them the appearance of a humpbacked animal. If the translator resorts to only using the word 'الحدياء', the Arab viewer might only get the reference of the appearance, but not the actual reference to the animal. Especially that in this part of the documentary, there was not yet a clear visual reference to the animal. Therefore, the superordinate 'الحيتان' is added to identify that 'الحدياء', which is a hyponym to the superordinate whales, is a type of whales and not just a description of appearance. Therefore, in this part, the superordinate 'whales' is added to the literally translated

Source text	Target text	Timing
<i>Mangroves</i> and coral reefs along thousands of miles of coast have harbored nurseries of fish species	ووفرت أشجار المانغروف والحيود المرجانية الممتدة لمسافة آلاف الكيلومترات من الساحل مأوى للعديد من أنواع السمك	Minute: 11:11

hyponym in the target text in order to help Arab viewers identify this type of whales.

Table 3

In this part of the documentary, Attenborough describes the importance of plants and reefs in harboring homes for different types of fish species, further emphasizing the natural balance that planet Earth falls into in order to maintain the wheel of land and sea life. In the ST, the narrator does not use the word 'trees' to describe that 'Mangroves' are a type of trees. Instead, he just directly calls them 'Mangroves'. However, if the same method is adopted with Arab viewers and readers of the subtitles, where the translator would just simply say 'ووفرت المانغروف' it might not give the viewer a clear distinction that what the narrator is mentioning is a type of tree, which grows between the highest tidal level and the same level or higher than sea level, and not just another type of reefs. Therefore, in order not to confuse the Arab viewer with this unfamiliar type of tree, the translator of the documentary opted to further identify the word 'Mangroves' by adding the word (superordinate) 'tree' in Arabic 'أشجار المانغروف' to help Arab viewers recognize its function.

Source text	Target text	Timing
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Here, the superordinate is added to the transliterated hyponym 'Mangroves' in the process of translation to help Arab viewers identify that the plant that the narrator is talking about is a type of tree that exists and has a function in maintaining a stable sea life.

Table 4

Throughout the north frozen soils thaw, releasing <i>methane</i>	في كل أرجاء الشمال ستذوب التربة المنجمدة وستطلق غاز الميثانين	Minute 50:17
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In this part of the documentary, Attenborough describes that with the increase of heat levels on earth, frozen soils will melt and start releasing methane, which is a type of

Source text	Target text	Timing
People had never seen <i>pangolins</i> before on television. They have never seen <i>sloths</i> before...	إذ لم يرى الناس أكل النمل الحرشفي على التلفاز من قبل لم يروا حيوان الكسلان من قبل	Minute 15:45

greenhouse gas that is stronger than carbon dioxide. Even though Attenborough does not say the ‘methane gas’ to describe that methane is a type of gas in this mentioned instant, the translator, however, opted for adding the superordinate ‘غاز’ to the transliterated hyponym ‘الميثانين’ to help Arab viewers identify that methane is a type of gas.

Table 5

Both terms, ‘pangolins’ and ‘sloths’, occur in the same instant, where Attenborough was describing the revolutionary invention of the TV and how it helped displaying the life of the wilderness to people who have not experienced it before. He is saying that people were allowed to see animals that they have not seen before and appreciate the beauty of the wilderness, all thanks to this invention. In the translation of the first word ‘pangolins’, the translator, like the previous examples, adds the superordinate ‘أكل النمل’ to the hyponym ‘الحرشفي’ to help Arab viewers identify that the mentioned animal is a type of an ant eater animal and not just another animal. By opting

Source text	Target text	Timing
The <i>Maasai</i> word “Serengeti” means “endless plains”	تعني كلمة "السرينغيتي" بلغة "الماساي" الحقول غير المحدودة.	Minute 17:17

for this structure, the translator allowed a more of an accurate description of the animal and its type. As for the translation of the word ‘sloth’, even though it already has an equivalent in the Arabic language, which is ‘الكسلان’, the translator still went for adding the superordinate ‘حيوان’ to avoid viewers confusing the term ‘الكسلان’ with the quality of being lazy. Again, the superordinate is added to the literally translated hyponym in the target text.

Table 6

Here, Attenborough starts talking about the ‘Serengeti’ plains and what the word actually means in the ‘Maasai’ language. In the original utterance, Attenborough does not use the word ‘language’ to identify that Maasai is a language, because in English it is common to just say that someone is saying something in Arabic or in English without having to refer that they are languages and the inference process would not be affected for English listeners. However, this pattern is rarely used in the Arabic language and instead it should be identified that what the speaker is talking about is a language. Therefore, the translator added the superordinate ‘لغة’ to the transliterated hyponym ‘الماساي’.

4.2 Same Structure of the ST Superordinate + Hyponym is maintained in the TT

This section of the analysis shows that even when the pattern of superordinate +

Source text	Target text	Timing
It is a <i>creature</i> called <i>Ammonite</i>	هذا كائن يدعى <i>الأمونية</i>	Minute 7:24

hyponym was found in the source text, the translator also opted for mimicking the same structure into the target text. Out of the 12 instances, this was done twice in the translation of the terms ‘ammonite’ and ‘Serengeti’.

Table 7

In this part of the documentary, Attenborough takes a piece of fossil and starts talking about its history. He starts to mention its name, how it eats, and where its fossils

Source text	Target text	Timing
The Maasai word “ <i>Serengeti</i> ” means “endless <i>plains</i> ”	تعني كلمة “ <i>السرينغيتي</i> ” بلغة “ <i>الماساوي</i> ” <i>الحقول</i> غير المحدودة.	Minute 18:41

commonly found. In order to highlight that ‘ammonite’ use to be a living creature, Attenborough adds the superordinate ‘creature’ in his speech to help viewers understand that it uses to be a living thing. Therefore, the same pattern is mimicked in the translation process by translating this pattern literally and adding the superordinate ‘كائن’ to the transliterated hyponym ‘الأمونية’ to help Arab viewers understand that the fossil they are seeing on screen use to be the shell of a living creature.

Table 8

In this part of the documentary, Attenborough explains what does the word ‘Serengeti’ mean in Maasai, which means ‘endless plains,’ and thus highlighting through this that ‘Serengeti’ is a type of plains, making ‘plains’ the superordinate and ‘Serengeti’ the hyponym. The same pattern is also used in the process of translation, where the

Source text	Target text	Timing
Scientists call it the <i>Holocene</i>	يطلق عليه العلماء “ <i>العصر الحديث</i> ”	Minute 10:07

superordinate word ‘*الحقول*’ is added as a description to the hyponym ‘Serengeti’ in the target text.

4.3 The ST hyponym is Paraphrased into the TT

This section of the analysis analyzes the three instances where the translator uses the strategy of paraphrasing in the translation of the source text’s hyponyms. This strategy occurred in the translation of the terms ‘Holocene’, ‘monoculture’, and ‘greenhouse gas’.

Table 9

A <u>monoculture</u> of oil palm	أجزاء كاملة مزروعة فقط بنخيل الزيت	Minute 33:07
A <u>greenhouse gas</u> many times more potent than carbon dioxide	وهو غاز دفيء أقوى كثيرا من ثاني أكسيد الكربون	Minute 50:88

Towards the beginning of the documentary, Attenborough describes the different life stages and extinction that planet earth went through before reaching the current life stage, which is called by scientists the ‘Holocene’. In fact, the word ‘Holocene’ has two commonly used translations in Arabic, which are ‘العصر الحديث’ and ‘العصر الهولوسيني’. Despite the first translation ‘العصر الهولوسيني’ falls under the pattern of superordinate being added to the transliterated hyponym that the translator often used in the translation process throughout the film. Instead, the translator opts for using the paraphrased version of translation, which is ‘العصر الحديث’, and this could have been done by the translator to identify that the stage humans are living in on earth is the latest after the last extinction planet earth went through. This is because the word ‘الحديث’ indicate that it is the latest, which helps the Arab viewers relate with the meaning faster and easier.

As for the second term ‘monoculture’, towards the middle of the documentary, Attenborough starts warning viewers that humans endangered biodiversity and other important types of trees for the sake of monoculturing certain type of trees like palm trees. Here, the word ‘monoculture’ is generally translated into Arabic as ‘زراعة أحادية’. The translator opted for paraphrasing the term ‘monoculture’ within the sentence and described areas which held different types of plants as areas that turned into ‘complete areas’ of palm trees or ‘أجزاء كاملة’ from planted palm trees to extract palm oil for human consumption. The translator paraphrases this to further emphasize the vastness of the areas that have been monocultured into areas for planting palm trees for human consumption.

When it comes to the final term ‘greenhouse gasses’, it actually is translated into Arabic as ‘غازات الاحتباس الحراري’, but maybe due to the little space for characters that subtitles provide, the translator opted for the shorter paraphrased version of the translation of the term, which is ‘غازات دفيئة’. Through opting for this translation, the translator does not only use a fewer number of characters in the subtitles, but also delivers the message and meaning in an easier and quick way.

5. Conclusion

In her description of the strategy ‘translating by using the superordinate’, Baker (2018) states that the superordinate is used in the TT to solve the problem of non-equivalence by replacing the hyponym of the ST with the superordinate in the TT. However, in the case of this documentary, after analyzing the 12 nature and biology related terms, instances of translation in the subtitles show that the superordinate does not frequently completely replace the hyponym in the TT. Instead, it can be added to the transliterated or literally translated hyponym in the TT to help Arab viewers identify and relate to new terms. As discussed, in the translation of the 12 nature and biology related terminology, 7 instances occurred where the superordinate was added to the literally translated or transliterated hyponym in the TT, 2 instances occurred where the pattern of superordinate added to the hyponym was maintained into the TT when found in the ST, and three instances occurred where the translator paraphrased those instances. This means that the superordinate was added to the hyponym 9 times out of the 12 instances. In addition, and as results revealed, there were not any instances where the superordinate completely replaced the hyponym in the TT. The above results indicate the following

findings: First, the superordinate was used in the subtitles as a form of explanation to help Arab viewers identify with the nature and biology related terms. Second, this form was created and maintained in the TT when found in the ST because it acts as a short form of in text explanation and thus goes along with the idea of having to avoid long explanations in subtitles; because according to the universal subtitling guidelines, long subtitles are to be avoided (Díaz Cintas & Remael, 2007). Third, the idea of adding the superordinate to the hyponym in the TT further emphasizes the nature of the Arabic language, which is a language that prefers explicating. Finally, the translator opted for paraphrasing in the remaining instances also to abide by the subtitling guidelines of avoiding long subtitles, therefore, the terms were paraphrased into the form of short translations in the TT and sometimes when provided with two equivalences for the same term, the translator would opt for the shorter version, like in the translation of the term ‘greenhouse gasses’ where the translator opted for the shorter version of ‘غازات دفيئة’ instead of ‘غازات الاحتباس الحراري’, even though the second translation is the one most commonly found in Arabic.

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Gender Representation in the Arabic Dubbing Disney Animation: A Feminist Perspective

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Abstract: The study aims at understanding how the developments in gender representation are transferred linguistically into the Arabic dubbed versions of the films and recognizing the extent to which these translations may affect the discursive construction of gender in the dubbed films. In order to explore the changes in the representation of gender in the Arabic dubbed Disney films, the study focuses on answering the two main research questions: how is gender textually represented in the three selected Arabic dubbed films in comparison to their original animations? and how far is Disney's gender representation in the original films is discursively reflected in the Arabic dubbing? The study focuses on analysing three themes: gender roles, gender identity, and gender relations in the Arabic dubbing, produced by Masreya Media, of Snow White and the Seven Dwarfs (1937), Mulan (1998), and Frozen (2013). To answer the research questions, the study adopts the first two dimensions of Fairclough's (2013) Critical-Discourse-Analysis (CDA) three dimensional model, which perceives any communicative event consisting of three interconnected aspects: text, discursive practice, and social practice, as the methodological framework for the analysis. As for the first dimension, text, the study uses Van Leeuwen's (2008) socio-semantic Social Actors Inventory as a tool of analysis. For the second dimension, discursive practice, the study adopts Sunderland's (2004) four sets of gendered discourses. The findings involve differences in gender representation in some scenes in the dubbed versions of the three films, which have implications on the discursive representation of gender in the Arabic dubbing.

Keywords: Audiovisual Translation, Critical Discourse Analysis, Disney, dubbing, gender representation

1. INTRODUCTION

Representation, as defined by Hall (1997), is "the production of the meaning of the concepts in our minds through language" (p. 15). Hall (1997) adds that representation "connects meaning and concepts to cultures" (p.15). This means that representation reflects cultural and societal beliefs and can never be neutral. It is how a given society portrays and perceives concepts.

On the other hand, the concept of gender, as opposed to sex, was not introduced until the 1970s, when Stoller (1968) pointed out the distinction between sex and gender, setting a new horizon for other research. When defining them, Eckert and McConnell-Cinet (2003) state that sex is "a biological categorization based primarily on reproductive potential, whereas gender is the social elaboration of biological sex" (p.10). In other words, sex is something we are born with; whereas gender is a learned behaviour, which is both taught and enforced by society. This means that gender, as a social factor, reflects the roles of women and men that are established by the society. Therefore, gender is not something we have, but something we *perform* in society (Butler, 1990).

Each society has a particular viewpoint towards the roles played by women and men, and has specific expectations of them (Bell et al., 2006). These expectations depend on cultural, political, economic, social, and religious factors (Bell et al., 2006). Customs,

law, class, ethnic background, and prejudice of a particular society are factors which also have a certain disposition towards women and men. All these factors construct particular attitudes and behaviours towards gender. Films are one of the forms of representing these attitudes and behaviours. In addition, the way female characters are represented in films “reflect and perpetuate the status and options of women in today’s society” (Kord & Krimmer, 2005, p.1), and play an active part in creating female role models. Accordingly, it is important to examine the way in which women are represented in films in order to understand women’s position in different societies.

1.1. Research Objectives

This research investigates how gender is linguistically represented in the Arabic dubbing of three Disney animations: *Snow White and the Seven Dwarfs*, *Mulan*, and *Frozen*. It pays particular attention to gender as a socially-constructed factor of societal implications that may be transferred to Arab viewers through dubbing.

The aim of this study is to draw attention to gender issues in Audiovisual Translation, dubbing in particular. More specifically, the present study focuses on the linguistic manifestations of gender in the three Arabic dubbed Disney princess films against the original English animations. Using a socio-semantic approach, it aims at investigating the adopted linguistic choices when transferring the three gender themes: gender roles, gender identity, and gender relations, through dubbing, in order to study how gender representation was transferred from the English originals to the Arabic dubbing, and whether the representation in the Arabic dubbed version is similar to that in the English original or not.

Moreover, this study aims at investigating how dubbing may or may not contribute to transmitting gendered discourses from one culture to another. This is realized through discursive analysis of the three selected films, in order to trace the development of gender representation in the dubbed Disney animations across the three Disney periods, in comparison to their original equivalents.

1.2. Research Questions

The present research, in exploring gender representation in the Arabic dubbing of three selected Disney animations, answers the following questions:

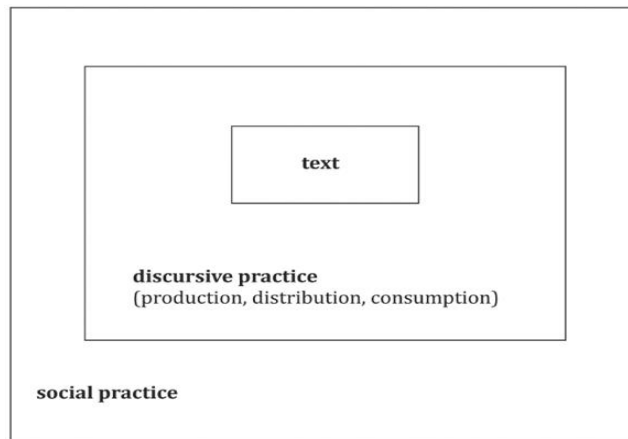
1. How is gender textually represented in the three selected Arabic dubbed films in comparison to their original animations?
2. How far Disney's gender representation in the original films is discursively reflected in the Arabic dubbing?

2. CORPUS

The main corpus of the study includes twenty two extracts from each of the three Arabic dubbed Disney princesses’ animations: *Snow White and the Seven Dwarfs*, *Mulan*, and *Frozen*. These three films are selected because each is a representation of its Disney era: the Golden Age, the Renaissance, and the Revival respectively. The extracts are selected according to three themes: gender roles, gender identity, and gender relations. Although the study mainly focuses on female protagonists' representation in the three movies (i.e. Snow White in *Snow White and the Seven Dwarfs*, Mulan in *Mulan*, and both Elsa and Anna in *Frozen*), it is important to study other female characters and the protagonists' relation to male characters in the films. It is worth mentioning that the dubbing of the three films is produced by *Masreya Media*, which "is responsible for managing all Arabic dubbing for Disney in both Egypt and Lebanon" (masreyamedia.tv).

3. METHODOLOGY

The main theoretical settings of the study are the first two dimensions of Fairclough's (2013) three-dimensional model of Critical Discourse Analysis (CDA). Fairclough's (2013) model of CDA, as depicted in figure 1, consists of three interrelated processes of analysis that represent the three dimensions of the model: text analysis (descriptive), discursive analysis (interpretation), and social analysis (explanation). The first dimension is concerned with studying the text *per se*. For the first dimension, the study uses Van Leeuwen's (2008) Social Actors Network as the tool of analysis. The second dimension, which is concerned with analysing the discursive practice within the text, the study adopts Sunderland's (2004) four sets of gendered discourses for the



analysis.

The first dimension of Fairclough's (2013) CDA model is text analysis. It is concerned with describing linguistic characteristics in a text. When performing text analysis, the study adopts Van Leeuwen's (2008) Social Actors Network. Van Leeuwen (2008) draws on a socio-semantic inventory; creating a "network" in which social actors can be represented in discourses verbally or visually. Van Leeuwen (2008) divides this network into categories, as illustrated in figure 2. The present study uses only one of these tools: Inclusion and exclusion. Such a tool of analysis is used in addressing the first research question, through identifying the textual representation of gender in the dubbing of the three selected Disney animations, in comparison to the original English animations.

Figure 1. Fairclough's (2013) three-dimensional model.

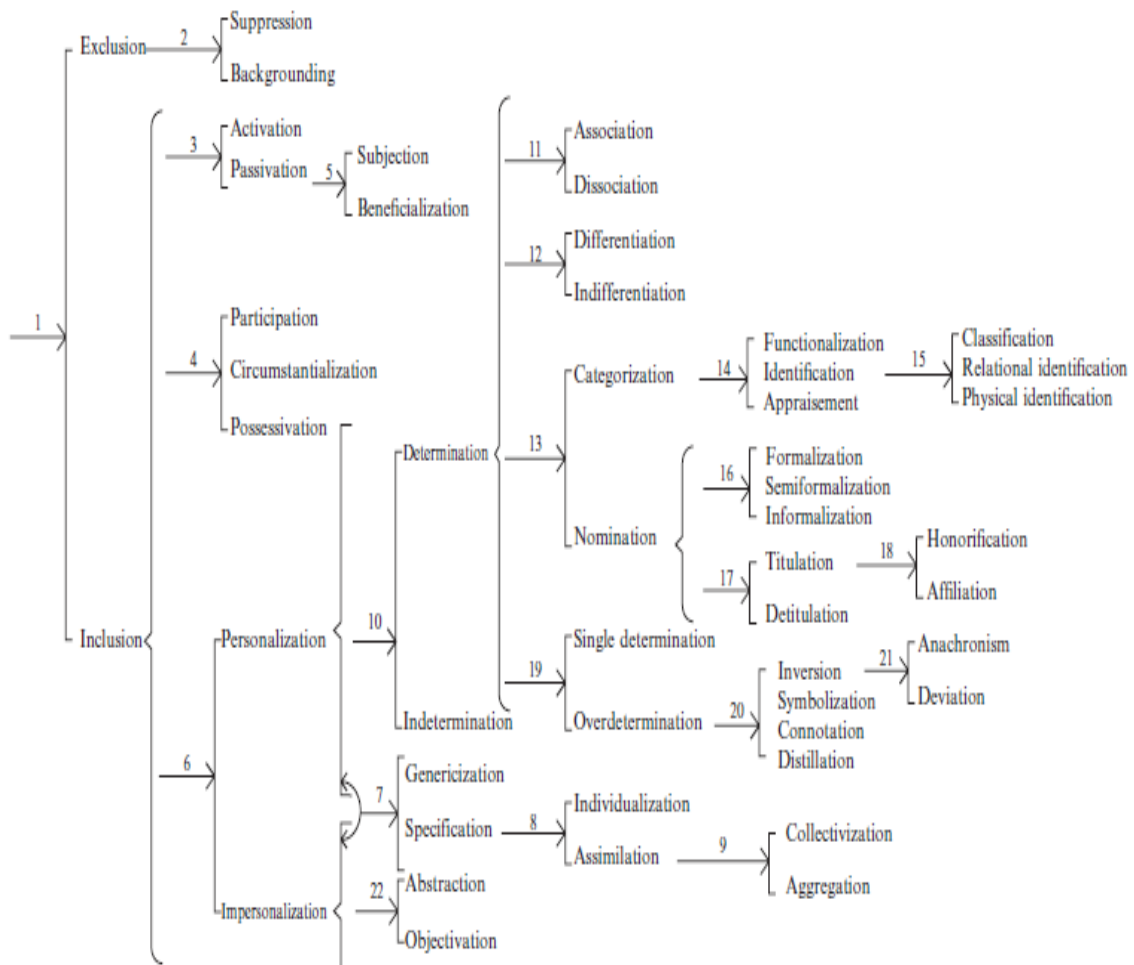


FIGURE 2. VAN LEEUWEN'S (2008) SOCIAL ACTORS NETWORK (P.52)

The second dimension of Fairclough's model is concerned with perceiving discourse as a discursive practice. As a tool for such a discursive analysis, the research adopts Sunderland's (2004) four classifications of gendered discourses. Sunderland (2004) divides gendered discourses into four main sets: traditionally gendered discourses, feminist discourses, non-androcentric discourses, and subversive discourses. In the first set, called “traditionally gendered” discourses, all traces of familiar, traditional gendered stereotypes can be found. Female characters are portrayed in a domestic setting, carrying out domestic tasks, like feeding and clothing, and playing supportive roles in the story. As for the second set, female characters are presented in “progressive ways”. This means that in feminist discourses, the female protagonist can be represented as a strong, independent woman, who struggles against traditional constraints or male protagonists engaging in “non-masculine” traditional gendered activities. The third set, “non-androcentric discourses”, involves women and men participating equally in the plot of the story. Women are not outnumbered by men’s presence and activities. ”. The fourth, and last, set referred to as “subversive discourses”, counters traditionally gendered discourses and challenges the familiar, patriarchal discourses. Such discourses are perceived as the “reworkings” of other traditional discourses from a new perspective. Sunderland's (2004)

four sets are used to define the discourses adopted in each of the three selected films, in comparison to the English original animations. This helps trace the development that took place in gender representation in the dubbed versions.

The following steps are taken to collect and analyse the required data. First, scenes in which the three themes, gender identity, gender roles; and gender relations are manifested, are highlighted and extracted from both the Arabic dubbing and the English source. Second, text analysis is performed. Each Arabic extract is compared to its English equivalent according to the used tools from Van Leeuwen's (2008) Social Actors Network. This step helps define gender representation textually in the three films.

4. ANALYSIS

This section starts with the text analysis, drawing upon inclusion and exclusion the selected tools from Van Leeuwen's (2008) Social Actors Network, to trace gender representation on the textual level. Then, the second part deals with the discursive analysis using Sunderland's (2004) four sets of gendered discourses. The selected scenes are categorized and discussed pertaining to the four sets of Sunderland (2004) and based on the conducted text analysis, following Fairclough's (2013) CDA model.

4.1. Textual Analysis

This subsection is divided into two sections. The first section is for inclusion and the second one is for exclusion. These are one of the tools of Van Leeuwen's (2008) Social Actors Network. Examples of the selected scenes are provided and discussed. Because of the current study's limitations, examples are selected and included to help in contrasting representation of gender in the two versions of the films, with significance allotted to the research's objectives. The analysis investigates the highest percentage in the scenes in order to understand the nature of such representation and whether it matches with gender representation in the original films.

4.1.1. Inclusion

Inclusion is one of the chosen tools from Van Leeuwen's (2008) Social Actors Network. It can be understood as a resource that gives social actors prominence through making their visibility apparent and could be viewed as the macro-category for all the model's categories. In the corpus, it is realised through any reference made to the social actors using lexical items, nouns, pronouns, demonstratives, or phrases.

In the corpus of the selected twenty two scenes from each film, in comparison to their male counterparts in the films, female characters' inclusion in the discourse of the Arabic dubbing of *Snow White and the Seven Dwarfs* (1937) represents 58.8%, whereas male characters' inclusion represents 41.1%. In *Mulan* (1998), the films' characters' inclusion percentage is 50.2% for female character and 49.7% for male characters. Lastly, in *Frozen* (2013) female characters' percentage of inclusion is 71.4%, which is much more than male characters' inclusion that is only 28.5% of the selected scenes. Accordingly, females' inclusion increases most in *Frozen* (2013), and decreases most in *Mulan* (1998). On the other hand, male characters' inclusion increases most in *Mulan* (1998), and decreases most in *Frozen* (2013).

In *Snow White and the Seven Dwarves* (1937), female characters are included fifty times within the selected twenty two scenes, whereas males are included only thirty five times in these scenes. However, females were only included in the scenes using lexical items, nouns, pronouns, demonstratives, or phrases that either deal with domestic activities, their physical appearance, their negative attributes, or their love interests. Such inclusion excludes women's agency to only these topics, and defines their representation in the film accordingly. The example below demonstrates female characters' inclusion in the Arabic dubbing compared to the original animation.

Example 1.

Film	Time	Source Text (ST)	Target Text (TT)
<i>Snow White and the Seven Dwarfs</i>	00:00:33:40	- Doc: Why, i-it's a girl! - Happy: She's mighty pretty. - Sneezzy: She's beautiful. - Bashful: Just like an angel.	- دوک : دي بنت حلوة آه -هابي : تبقى مين - دوک: دي بنت زي فلقة القمر - سنيزي: منتهى الحسن والجمال - باشفول: جمالها رباني.. آه زي الملاك تمام

Example one is an example of inclusion in *Snow White and the Seven Dwarfs*. When the dwarfs encounter Snow White for the first time, they find her sleeping in their beds. They start describing her beauty to each other. Such inclusion is added in both the Arabic and English versions, through the use of adjectives. However, it is apparent that Snow White's physical description is more elaborate in the Arabic translation. This appears in the Arabic sentences "اه حلو بنت دي" (which literally translates back into: "that's a very beautiful girl) that adds an adjective describing Snow White's beauty to its original "it's a girl", and "رباني جمالها" (that literally translates back into: "oh! How divine is her beauty!) that does not have an English equivalent in the original film. Such descriptions in the Arabic dubbed version add more emphasis to the character's appearance that actually exceeds its counter description in the original film, highlighting the societal focus in the Arab world on women's physical appearance and increasing gender stereotyping in the film.

In *Mulan* (1998), although male characters are more represented in number of characters in the film, their inclusion in the events is much less than that of female characters. The total of female characters' inclusion in the discourse of the selected scenes is 177, while of male characters is 175. It is important to highlight that Mulan is counted as a female when she is addressed as a female in the scenes, and as a male in the scenes in which she disguises herself as a man. As the main character, Mulan is included in scenes in which she is constantly and explicitly reminded of her role as a female in a misogynist society. Also, other female characters in the film focus on reminding Mulan of her gender role. However, unlike Snow White, Mulan is included in scenes, in which she tries to challenge gender stereotypes and understand her true identity.

Example 2.

Film	Time	Source Text (ST)	Target Text (TT)
<i>Mulan</i>	00:00:08:57	Speaking without permission.	إممم ، اتكلمت بدون إذن

An example of Inclusion appears in *Mulan*. In the scene in which the Matchmaker calls Mulan's name, Mulan responds to her and the Matchmaker gives the above reply. In the Arabic translation, the Matchmaker includes Mulan in her criticism through the use of the feminine third person suffix "ت" in "اتكلمت" (which translates back into: "hm, she spoke without permission), whereas in the English original, the Matchmaker excludes her through using nominalisation in "speaking". Such inclusion restores Mulan's agency in the Arabic context, as it has been inferred in the translation through inclusion that she is a rebel from the very beginning of the film. Such characterization of Mulan in the Arabic

dubbing as a female who defies gender roles and constitutes her true identity, reflects the development of gender representation from Disney's Golden Age, which is evident in Snow White, to Disney's Renaissance, represented in Mulan.

Lastly, in *Frozen* (2013), female characters are included 195 times in the discourse of the selected scenes, while male characters' inclusion is only 75 times. The inclusion of Anna and Elsa, the two main female characters in the film, highlights their characters' dimensions.

Example 3.

Film	Time	Source Text (ST)	Target Text (TT)
<i>Frozen</i>	00:00:15:30	Don't let them in. Don't let them see. Be the good girl you always have to be	لا تكشفني سر الجليد كوني كما شُعبك يريد

This scene takes place at the beginning of the film, in which Elsa reminds herself of her responsibilities. On the textual-analysis dimension, she includes herself in the Arabic translation through the use of only two verbs with female self-agency like "تكشفي" and "كوني" (which both translate back into: "Don't you reveal" and "You have to be"). Elsa is more included in the English scene through the use of the verb "don't" in "don't let them in", "don't let them see", and the verb "be" in "be the good girl", and the second person pronoun "you" in "you always". Accordingly, and in light of Leeuwen's CDA model of social actors, Elsa is more included in the English scene than in the Arabic dubbing. This highlights an issue of representation; especially that Elsa is represented as a progressive character in the English original. The Arabic film's representation of Disney's Revival era, then, fails to echo the development that took place in Disney's gender representation in *Frozen* when it comes to including female characters in the discourse of the scenes.

4.1.2. Exclusion

Exclusion takes place when social actors are absent from the text. It could take place through radical exclusion, backgrounding, and suppression. Radical exclusion occurs when social actors and their roles are not mentioned anywhere in the text, leaving no traces behind. Backgrounding is when social actors are excluded from a given role, but mentioned elsewhere in the text. Lastly, suppression occurs when social actors are not referenced in the text, though their roles are included.

In *Snow White and the Seven Dwarfs* (1937), female characters' percentage of exclusion is 66.6%, while male characters' percentage is 33.3%. In *Mulan* (1998), females exclusion percentage from the discourse is 70%, while males are only excluded 30% from the film's discourse. However, in *Frozen* (2013), males' exclusion percentage is 55.5% compared to that of female characters', which is 44.4%. *Frozen* (2013) is the only film in which the percentage of males' exclusion is more than females' exclusion. Females are most excluded from *Mulan* (1998) and least excluded from *Frozen* (2013). On the other hand, males are most excluded from *Frozen* (2013) and least excluded from *Mulan* (1998). The number of examples used in this subsection is divided as follows: four from *Snow White and the Seven Dwarfs*, one from *Mulan*, and one from *Frozen*. The underlying exclusion pattern within the three films shows the following results.

Female characters exclusion from the discourse of *Snow White and the Seven Dwarfs* is ten times more than that of male characters' who are excluded only five times. Male characters are radically excluded from the scenes that tackle domestic activities. Female characters, on the other hand, are backgrounded in the scenes and replaced with either a physical description, or a generalisation of all women.

Example 4.

Film	Time	Source Text (ST)	Target Text (TT)
<i>Snow White and the Seven Dwarfs</i>	00:00:08:37	The Huntsman: -She's mad! Jealous of you! She'll stop at nothin'! Snow White: But-- But who? The Huntsman: The Queen! Snow White: The Queen?	الصيد: مجنونة وحاقدة عليكي وتتمنالك الموت سنو وايت: قصدك ..قصدك مين؟ الصيد: الملكة سنو وايت: الملكة؟

The evil Queen is backgrounded by the Huntsman in the English scene, where he refuses to kill Snow White and confesses to her that the Queen paid him to kill her. He describes the Queen as mad and jealous, then only mentions the Queen's name later. The Queen's backgrounding in the translation is similar to that in the original animation in reflecting the Queen's role as the antagonist in the film's plot. However, the translated version emphasizes the Queen's wickedness through the translation of "she'll stop at nothing" to "وتتمنالك الموت" (translated back into: she wishes you dead), which defines the Queen's role in the dubbed film more clearly than in the original animation.

In *Mulan* (1998), female characters are excluded 14 times, while male characters are only excluded six times. In most of the cases, female characters are equally excluded from both the English and the Arabic scenes.

Example 5.

Film	Time	Source Text (ST)	Target Text (TT)
<i>Mulan</i>	00:00:05:55	This is what you give me to work with? Well, honey, I've seen worse We're gonna turn this sow's ear into a silk purse	هي دي بسلامتها بنتك. ياما شوفت من ده كثير أنا هعملها عروسة..تصلح لأمير

Mulan is backgrounded in many scenes where she could have been more included. In the song "Bring Honour to Us All", the hairdresser describes the change she will make to Mulan's appearance, Mulan is more included in the Arabic translation in the example through the use of the pronouns "هي", "دي", and "ده" (translate back respectively into: she, this woman, this thing), and the lexical item "بنتك" (your daughter). However, she is backgrounded throughout the rest of the song. Mulan's inclusion in the Arabic scene endorses the Renaissance era's feminist agenda, and highlights the development of Disney's gender representation even more than the original film.

Lastly, male characters are excluded five times from *Frozen*, while female characters are excluded only four times.

Example 6.

Film	Time	Source Text (ST)	Target Text (TT)
<i>Frozen</i>	00:01:06:02	She is engaged to someone else , okay?	إنها مخطوبة لغيري

Kristoff tells the trolls that Anna is engaged to "someone else" (لغيري), when they were trying to get Kristoff to marry Anna. In this scene, Kristoff does not name the person Anna is engaged to. Prince Hans in this example is suppressed in both versions.

Male characters exclusion from the scene supports the film's feminist and subversive discourse, in which female characters are more prominent in the discourse.

4.2. Discursive Analysis

Using the same extracts used in the text analysis, the discursive analysis is carried out using Sunderland's (2004) four sets of gendered discourses: traditionally gendered discourse, feminist discourse, non-androcentric discourse, and subversive discourse. This section categorizes the three films according to these different discourses. Relevant issues from the three films will be discussed in each category.

4.2.1. Traditionally gendered discourse

According to Sunderland (2004), traditionally-gendered discourses are those including traditionally gendered themes and plot, in which females play the traditional damsel-in-distress roles and males play the roles of guardians and protectors.

Snow White and the Seven Dwarfs (1937) is set as a traditional Disney fairy tale, characterizing its Disney's Golden Age era. It laid out a theme for later films of its era, and the roles that females and males play in them. Love is the main theme in the film around which all the songs in the film revolve. This theme is presented in relation to the fact that a female character is the protagonist of the film. This is highlighted in the Arabic translation, more than the English source, when the disguised Queen tells Snow White " لا يخلو قلب بنت من الحب. كل البنات كده " (translated back to: a girl's heart is not without love. All girls are like this). It appears that the only progress made in Snow White's story line is through love and marriage. She meets Prince Charming and loves him at first sight. She is immediately taken with him and her whole life alters as a result of this encounter. She waits for him to rescue her from the malicious evil Queen, who is jealous of her beauty. The film ends with a traditional happy ending as Prince Charming saves Snow White from her deep sleep with a kiss.

Another characteristic of traditionally gendered discourses is the focus on female appearance, rather than her personality. *Snow White and the Seven Dwarfs* is plotted around the idea that the Queen's self-worth is based on her appearance, through being the "fairest of them all". All the film's characters are traditionally "white" with no emphasis on their social or cultural background. Both the Queen and Snow White are subjected to the male gaze by the mirror, representing patriarchy and judging women by their appearance. This creates envy from the Queen, as she values herself through being physically attractive. In addition, being the protagonist of the film, Snow White is the only nominated character using a proper noun. However, her name is also an indicator of the focus on her physical appearance, as she is described through her name "as fair as the white snow", which was at the time of the film's production an indicator for her beauty by society. Snow White is often classified based on her age, appearance, and class. There is also more emphasis on these classifications in the Arabic version. This appears in the title of the film in which Snow White is referred to in Arabic as "الأميرة الصغيرة" (the little princess). Snow White's class is more emphasized in the Arabic version, maintaining the image of a traditional Disney "princess". In most of the scenes, Snow White is referred to through her physical attributes, for instances when the dwarfs first see her sleeping in their cottage, they focus on describing her beauty. The Queen also refers to Snow White as "الحلوة" (beauty).

Sunderland (2004) characterizes traditionally gendered discourse with the inclusion of many divisions of labour discourses, in which women are portrayed as "damsels-in-distress", "inside-the-house" people and men as "house-hold" heads. Division of labour discourse indexes "what men and boys actually do, occupationally and in terms of other activities, and the importance attributed to this" (Sunderland, 2004, p. 150). In *Snow White and the Seven Dwarfs*, women's roles are prominent only in

domestic settings. Snow White identifies herself as a happy homemaker, and waits for Prince Charming to give her a reason worth living for. Her inclusions and activations are only within scenes in which we see her happily doing domestic tasks, such as cooking, cleaning, washing, and taking care of the seven dwarfs. She does all these tasks while smiling, singing, and dancing along. On the other hand, male characters are included in the film as protectors, saviours, and guardians of Snow White. The dwarfs' and Prince Charming's identities appear in the actions they take in the plot. Prince Charming is portrayed as the perfect male by Snow White and his inclusion in scenes always has an immediate effect on her. He brings her back to life with a kiss. Even the seven dwarfs, with their different characters, are portrayed as the guardians of Snow White. She follows all the orders without complaining at all, reinforcing the notion that males are the protectors and females are fragile and in need of protection. It conveys what "proper" gender roles of the time were, being released in 1937. This shows how *Snow White and the Seven Dwarfs* (1937) uses many obvious stereotyped roles for both the men and women, falling under the traditionally gendered discourse set.

Although the theme and the plot of *Mulan* (1998) are not traditional, Mulan is constantly reminded by her family and society of her duties as a female. They force her to focus on bringing honour to her family through finding a good husband.

In *Mulan* (1998), male characters describe the desired physical appearances and personalities of their loved ones. This is depicted in the songs of the film. In the song "Bring Honour to Us All", females describe how a girl should behave to find a husband and bring honour to her family. The constant repetition of the phrase "ترفعي راسنا بين الناس" (bring honour to us all) serves in reminding Mulan of her role as a woman. On the other hand, in another song "A Girl worth Fighting For", male characters describe their dream girls' appearances and personalities. Men only focus on describing their ideal woman as looking good, being able to cook well, and being able to reinforce men's masculinity. In both songs, the only focus is on girls' behaviour and appearance. Moreover, male characters brag about their physical strength like in Yao's description of himself as "ملك الصخرة" (the king of the rock).

Although Mulan's personality is not traditional, her society still encourages her to abide by specific characteristics. Similar to that in *Snow White and the Seven Dwarfs* (1937), the notion of femininity is portrayed in a form in which women's roles are excluded to being domestic, obedient, calm, and beautiful, as described in the songs. Figures representing such characteristics are Mulan's mother and grandmother, whose main role is to guide Mulan on how to be "feminine". Women are perceived as unequal to men. This appears in men's reaction of disgust when Mulan counters their description of a perfect woman in "A Girl Worth Fighting For", saying "ليه ما تقولوش عليها .. رأيها دايمًا مفيد؟" (translated back to: why don't you call her smart with a sound opinion?) (min. 00:00:46:05). In addition, being a woman is demeaning and degrading in some scenes in the English source that were omitted in the Arabic translation.

Mulan (1998) is full of clear division of labour discourses that Mulan always tries to defy. Men are depicted as guardians and protectors. They fight for women and protect them from the enemy. Male characters are activated in scenes in which they are portrayed as decision makers. Mulan's father, Fa Li, always dictates the family on what they should do. All the women in the family are obliged to follow his decisions without questioning them. This appears when Fa Li decides to go to war after being called upon by the army and only Mulan argues with him about it. Women's roles in the film are to take care of domestic activities, give birth, and raise their children. They are dependent and other-centred. They are only responsible for bringing honour to their families, through getting married. Accordingly, Mulan is always activated in the scenes in which she is dictated to

her society on how she would honour her family through marriage. Such characteristics are personified in Mulan's mother and grandmother. They represent the traditionally gendered females in the film, who are always other-centred, and play supporting roles to men.

The only character who started with a traditionally gendered personality in *Frozen* (2013) is Anna. At the beginning of the film, she is depicted as the stereotyped princess, who is looking for her "prince charming". This appears in the song "For the First Time in Forever", in which she sings about meeting her dream lover and falling in love with him at first sight. In the song, she admits that her dream is "crazy", and she is widely criticized for her immature views towards love in the film by both her companion, Kristoff and her sister, Elsa. Both princesses, Elsa and Anna, are appraised by their physical appearance. Such description appears in the scene of the coronation day when the public see the princesses' beauty and appearance. Anna is also physically identified by the trolls when they first see her with Kristoff. However, such description, based on the princess's physical appearance, does not have an effect on the plot of the story.

4.2.2. Feminist discourse

Sunderland (2004) defines feminist discourse as the discourse in which "there is evidence of struggle against patriarchal practices, and/or these practices are critically presented, and/or an individual girl or woman is represented in a particular progressive way" (p. 154). She adds that the ways in which a feminist discourse is manifested is "through explicit inclusion of women where it is not necessary to the plot, and counter stereotypical characterization of women) (Sunderland, 2004, p. 155).

The implicit critique of Grumpy's sexist assumptions is manifested in *Snow White and the Seven Dwarfs* (1937) as an example of a feminist discourse. Such critique is depicted through the characterization of Grumpy, being always annoyed with everything without a reason. He always criticizes women, but when the rest of the dwarfs ask him for a rational reason, he never finds one. Also, Grumpy is depicted as noticeably uneducated, as he makes a lot of grammatical mistakes in his speech, which makes him less reliable for the audience, and more of a comic relief in the film. The other dwarfs do not support Grumpy's sexist comments on Snow White and women, and he ends up liking Snow White, trying to protect her from the evil Queen, and grieves her "death" like the rest of the dwarfs, when she eats the poisoned apple.

In *Mulan* (1998), the film's feminist discourse manifests itself in many forms. The plot and themes of the story reflect Mulan's struggle against patriarchal practices, presenting these practices critically. The film is a representation of Disney's Renaissance era. Its plot revolves around a Chinese teenage girl named Mulan, who fails to bring honour to her family by fulfilling her role, which is getting married and following the norms of her society. As the country enters into a war with the Huns, her father gets called to fight. Knowing that her father would not survive the war, Mulan disguises herself as a man and goes to war. Mulan strikes the killing blow to Shan Yu, the Huns' leader. She is recognized for her achievements as a person, rather than a woman or man, by the emperor, and she returns home to her family, resolving the theme of identity. The film's plot reflects the protagonist, Mulan's, struggle against the norms of her society, in which division of labour discourse is engraved. She is depicted as a counter-stereotypical character, whose sole purpose is to know her true identity, disregarding what her patriarchal society dictates her to be.

Just like Grumpy, another manifestation of a feminist discourse is depicted in the characterization of Shi Fu, the emperor's sexist counsellor. Shi Fu always reminds the characters in the film of their gender roles, but he is ridiculed by them and is represented unfavourably. In addition, Mulan's disguise as a man, her constant attempts to imitate

men, and her criticism of some of their habits, reflect her implicit countering of traditional gendered discourses, constituting important intratextual links, within the film, and intertextual links, throughout Disney films. The accumulations in the film could contribute to the production and recognition of feminist discourses that critique prevalent patriarchal practices.

Disney's Renaissance era, to which *Mulan* (1998) belongs, is characterized by the diversity in its characters' ethnicity. *Mulan* is the first and only Chinese Disney princess. Such depiction involves more representation of characters from different ethnic backgrounds and constitutes a discourse of equality and anti-discrimination in Disney's hypertext.

Mulan's character is represented as more independent and free-spirited than any female character in the film. She has a mind of her own, which appears in the scene in which she argues with her dad about his decision to go to war. The film's translation helps in supporting this feminist discourse, through translating females as less passivated than in the English source. The film sheds light on female's perspective, represented in *Mulan*, through songs. First, getting married is emphasized as shown in the song "Bring Honor to Us All". Second, *Mulan's* struggle to find her true identity is highlighted in the song "Reflection". It also appears in scenes, in which she explains her intentions to everyone else, such as in the scene, in which her true sex is revealed. Her thoughts also appear in her dialogue with Mushu about her decision to join the troops. *Mulan's* activation and agency are met with gratitude from the emperor, who thanks her for saving China, and from her father who acknowledges her in the end as the real honour to their family. Such characterization of *Mulan* as well as the ending of the film point to women's agency and resistance.

Frozen (2013) uses achronological intertextuality to constitute a feminist discourse in the film. Achronological intertextuality, according to Sunderland (2011), is a given text seen in relation to subsequent or prior production. This means that *Frozen* (2013), belonging to Disney's Revival era, is seen in relation to all the Disney hypertext. The film is woman-centred, as it focuses on the relation between the two sisters, Elsa and Anna. Women are casually included in the film's plot, even when it is not necessary. Such inclusion appears in the inclusion of Elsa and Anna's mother whose role is not as prominent as that of their father's, the inclusion of female and male trolls, and the inclusion of a variety of female citizens in Arendelle, the kingdom of both Anna and Elsa. Each of the film's main characters is faced with their own struggles and is in a constant quest to solve them. This is initially realized through the characterization of its protagonists: Elsa and Anna. Elsa is depicted as the more mature, wise sister with a more complicated personality. She appears in the film like a Shakespearean character with a lot of monologues that reflect her inner struggle. Such monologues are used to define her identity and help her understand her powers. This appears in the repeated scenes throughout the film in which she reminds herself of her powers, until her salvation song "Let it Go". In the film, neither Elsa nor Anna is defined by their gender, but they are treated according to their personalities as human beings.

4.2.3. Non-androcentric discourse

The androcentric discourse is when "male as norm" discourse is represented. It is pervasive throughout Disney films. However, in none of the selected films is the discourse entirely androcentric. Non- androcentric discourses are characterized by involving wider gender representations, and including relevant female characters. The three selected films include examples of non-androcentric discourses.

Snow White and the Seven Dwarfs (1937) includes only two female characters:

Snow White and the Queen. The rest of the characters in the film are males. Thus, there is not a wide scope of gender representation in the film. *Mulan* (1998) includes a variety of both female and male characters, other than the film's main characters. Although the number of males is more than females in the film, the presence of females in the plot is apparent throughout the film. Such presence is depicted in the scenes in which females are rushing to meet the Matchmaker. In this scene, many females are present in the plot whether they are brides or town women. Also, women and men are equally present in the festival in which the emperor honours the troops for defeating the Huns. Unlike the other two films, *Frozen* (2013) includes more women than men in its plot. It represents a non-androcentric discourse, in which women are equally or more present in the scenes.

Although Snow White and the Queen are the only two female characters in *Snow White and the Seven Dwarfs* (1937), they both play key roles and are both instrumental to the plot. Snow White is the protagonist of the film, and the Queen is the antagonist of the film. Although male characters are more represented in number of characters in *Mulan* (1998), their inclusion in the events is much less than that of Mulan, the protagonist. Many women are relevant and take part in the plot and change of events. In addition to Mulan's mother and grandmother who play supporting roles to Mulan, the Matchmaker is an important instrument for the change of events. After getting rejected by the Matchmaker, Mulan decides to join the army, instead of her father, through which she is able to discover her true identity. Female and male characters are instrumental in *Frozen* (2013), however female characters play more prominent roles throughout the film. Such importance is highlighted through the main theme and plot of the film that revolve around the two princesses: Elsa and Anna (as discussed in 4.2.2.).

4.2.4. Subversive discourse

Subversive discourses involve counter-narrative discourses to the traditionally gendered discourses. They challenge the traditional, the familiar, and the patriarchal.

Mulan (1998) starts as a traditional Disney fairy tale; however, traces of a subversive discourse is realized from the first scene in the film where the film's protagonist, Mulan, is not white and is represented from a different ethnicity. Such depiction challenges the traditional fairy tale and presents Disney's hypertext with a wider gender representation. On the other hand, *Frozen* (2013) is full of subversive discourses. Unlike Snow White, who falls in love with Prince Charming at first sight and dreams for the rest of the film about meeting him again and marrying him, Anna in the song "For the First Time in Forever" sings about her dream lover and comments that the dream of marrying someone she just met is "crazy". Everyone criticizes her for choosing to marry Prince Hans, whom she has just met. They end up being right when Prince Hans is revealed to be the antagonist of the film. Such counter narrative challenges the traditional Disney fairy tale and the traditional Disney princess films.

A more subversive characterization is that of Elsa. Elsa is characterized as an independent and powerful queen, who single-handedly changes the course of events of the film many times. First, Elsa accidentally covers Arendelle with ice, then she runs away and accepts her powers. Secondly, she accidentally harms Anna, then sacrifices herself to save her. Lastly, she saves the city from the ice and from Prince Hans. As for male characters, at the beginning of the film, Prince Hans is presented as the stereotyped "prince charming" of the story until a turn of events takes place in which he is revealed to be the villain. This adds depth to his character and challenges the traditional, shallow, stereotyped, perfect "prince charming". The ending of the film is subversive, as for the first time in Disney history, aside from Disney/Pixar work, a female character is saved by another female character, other than a male.

5. CONCLUSION

The dubbing of *Snow White and the Seven Dwarfs* (1937) reflects and indicates society's focus on female's physical attributes and classification, and males' functions as depicted through their roles and jobs. This disseminates the ideology that men have better relations with each other, and women are powerless social actors who are mostly associated with home context, with limited relations and job opportunities.

The dubbing of *Mulan* (1998) depicts females as more of agent/active social actors than in the previous Golden Age era. It also reflects society's constant evaluation of women's behaviour and physical appearance. On the other hand, males are also judged by society based on their physical strength. The film reflects the ideology that both males and females are bound to society's stereotyping; and are also required to challenge it.

The Arabic dubbed version of *Frozen* (2013) does not reflect female agency in which females are depicted as more decisive, powerful, intellectual, and successful social actors, holding high status positions. However, unlike the previous two eras, females are not portrayed as homemakers. This may indicate a feminist-oriented ideology in the film and reflects the development of women's representation in the social structure.

5.1. Suggestions for Further Research

The limitations mentioned in the previous section open the way to further readings of Disney films to be carried out:

1. Further research needs to be undertaken pertaining to the difference between dubbing gender representation in Disney into Modern Standard Arabic (MSA) and Egyptian colloquial. This might help to broaden the understanding of representation within the same language, through different dialects;
2. Further research needs to extend to analysing the non-verbal dimension of the films in relation to gender representation. Such multimodal approach to investigating representation would be interesting, especially in the study of Disney films;
3. Further research needs to focus on the translation of other forms of representation in Disney film, such as representation of minorities and representation of social classes. Any of these given forms present an interesting study to further investigate social actors' representation in Disney films;
4. Further effective linguistic tool-kits are recommended to investigate the reception of Disney films and their effect on an audience from different age groups in the Arab world. In other word, a study of Fairclough's third dimension related to social practices in discourse would make an interesting study for the investigation of gender representation in Disney films and its implications upon the audience in the Arab world.

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The Translator's Ideology and Socio-Cultural Factors in the Translations of Taha Hussein's *The Days- A passage to France* and *The Fulfilled Promise*

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Abstract: The aim of the present paper is to compare the translations of the third volume of *The Days – A Passage To France* (1976) by Kenneth Cragg, and *The Fulfilled Promise* (2016) by Mohammed Enani to reveal the effect of each translator's ideology and sociocultural background on his view of Taha Hussein's work and his choice of translation strategies. The choice of the two translations stems from the fact that the two translators represent different ideologies. The comparison of the two translations is done in the light of Lefevere's concept of "Rewriting" and its influential elements that include poetics, ideology as well as the universe of discourse. The comparison relies also on Venuti's strategies of domestication/foreignization as well as Toury's norms theory. Analyzing the formal elements, stylistic devices and cultural elements in the two translations, the paper contends that every translator rewrites the S.T. according to his ideology and sociocultural background. The study concludes that since Cragg belongs to a Western sociocultural background and ideology, he is not as keen as Enani to preserve the Arabic language poetics or Arab culture. This is shown by his misunderstanding of meaning and vocalization as well as disregard of the salient features of Taha Hussein's literary style. It also finds out that since Enani is a professional Arab translator, he not only accounts for most cultural specific references in the S.T., but he also gives due attention to maintaining the distinctive features of Taha Hussein's literary style .

Keywords: Rewriting concept, poetics, ideology, universe of discourse, Domestication/Foreignization strategies, Norms Theory.

Introduction :

An overview of Taha Hussein's life, style and writings:

In his book, *To Taha Hussein in His Seventieth Birthday: Studies Dedicated by His Friends and Students*, Abd El-Rahman Badawy (1962) mentions that Taha Hussein was born on 14th of November, 1889 in Izbet El-kilo near Maghagh's village in Minya. Hussein contracted ophthalmia in 1895 and was [administered Shasham which is an oil traditionally believed to cure eye diseases]. Consequently, Hussein got blind. Then, he memorized the Qur'an [at the Qur'an teaching school in his village]. Later in 1902, he left his village to Cairo where he studied at Al-Azhar. In 1908, when the Egyptian University was established, Taha Hussein joined it and enjoyed attending the classes of Islamic and ancient civilizations as well as the literatures of geography and history at the university. In 1914, he obtained a doctorate degree for a dissertation entitled "*The Memory of Abi El-Alaa Al-Ma'arri*" and it was the first doctorate to be granted by an Egyptian University. The university then sent Hussein in November of the same year on an education mission to France. In 1917, Hussein managed to obtain the license degree in Arts from Sorbonne. In the same year, he married a French lady named Suzanne Bresseau. In 1918-1919, he managed to finish his doctoral dissertation about Ibn Khaldoun at the Sorbonne University.

As for Taha Hussein's style, Jonathan Ngaté (1990) affirms that Hussein admired Voltaire and his style bears resemblance to that of Voltaire's. Taha Hussein, as Enani mentions in his introduction to the translation of *The Fulfilled Promise* (2016), adopts

"repetition as a technical tool ... sometimes as the musical repetition with variation, or even as in poetry where we have incremental repetition" (pp.23,24).

تحدث البدرأوي زهران (1982) عن التكرار كأحد سمات أسلوب طه حسين قائلاً :

تجد الأذن سرعة استجابة للنغمة العامة في الأسلوب ، فاختيار كلمات بعينها ورفضها بطريقة بعينها أعطي هذا الأثر الصوتي الذي أسهم فيه التنوع والبعد عن الاتجاه التقليدي.

قد يحقق غرضه هذا عن طريق التكرار البعيد عن الرتابة ، معتمداً على التنوع بين الكلمات والملاءمة بين التعبيرات وأغراضها . وقد يحقق غرضه عن طريق اختيار كلمات مترادفة متتابعة بطريقة متنوعة تستجيب لها الأذن . وقد يحقق غرضه السالف عن طريق المخالفة بين الجمل باستعمال الكلمات المتضادة والجمل المتقابلة فيحمل الأذن على الاستجابة ، للأثر الدلالي المتلائم مع التعبير (ص 25-26) .

Hussein's repetition is described by El-Badrawy Zahran (1982);

El-Badrawy mentions that repetition is not monotonous as it depends on the diversification of words and the appropriateness of the expressions to their purpose. Repetition takes the form of lexical, phrase and sentence repetition. He points out that Hussein's lexis is characterized by using consecutive synonymous and antonymous words that would appeal to the ear. Hussein's syntax uses long, balanced and antithetical statements. He also uses alliteration (25-26; my translation).

Taha Hussein's writings are classified by Jones Marsden and Hamdy Sakkut (1982) , into books of literature, criticism, history, education, literary works such as novels, short stories and poetry, translated works as well as articles, studies and reflections. In addition to that there are also collaborative writings either school or non-school books as well as books he edited, reviewed and supervised. What concerns us in this paper are *The Days* and *The Fulfilled Promise* which are categorized under books of literature. Hussein released *The Days* in three parts, the first part in 1929, the second in 1940 and the third in Beirut in 1972 under the title "*The Memoirs of Taha Hussein*". In 1949, he published *The Fulfilled Promise*.

Background about the two novels subject to the comparison and their translations:

يقول دكتور درويش (2017) في المقدمة النقدية لقصة الأيام للمصنف الثالث الثانوي إن الجزء الثالث من الأيام – رحلة إلى فرنسا يصور المشكلات التعليمية والعملية المختلفة التي يواجهها الطلاب المصريون الذين يتلقون تعليماً تقليدياً عندما يدرسون بطريقة حديثة في الجامعات الغربية ثم يسلط الضوء على عشق طه حسين للتعليم الحديث .

In his critical introduction to *The Days* studied by third year secondary school students, doctor Darwish (2017) states that The third volume of *The Days-A Passage To France* highlights the various educational and practical problems encountered by Egyptian students who are taught traditionally when they acquire modern education at Western universities and then unfolds Taha Hussein's adoption of this modern education (my translation).

This volume was translated by Kenneth Cragg in (1976) who was a British orientalist and scholar. He mentions in the introduction to his translation that it was published by E.J. Brill with the help of a grant from Pembroke College, Cambridge in addition to a supporting grant

from the University of Sussex, England. Cragg also states that this volume links two cultures, one is that of the Arab World of Egypt and the other is that of the Mediterranean World of the West and he calls this "An Occidental Direction" (pp.7,10). The focus on the idea of the Occident as opposed to the Orient could be considered as one of the reasons behind translating this volume. It is not separable from the Western ideology of choosing for translation the Arabic literary texts that comply with their stereotypical representation of Arabs and Arab culture (Faiq, 2004). As for Trevor Le Gassick's (1980) review of Cragg's translation, he lamented the fact that it abounds in mistranslations due to "misunderstanding of meaning and vocalization" (p.55).

The Fulfilled Promise, as Maher Shafik states in an article entitled *Taha Hussein Addresses The English Through The Fulfilled Promise* published in *Al-Shark Al-Awsat* newspaper, is considered one of Taha Hussein's Islamic writings which include "Ala Hamish Assira", "AL-Sheikhan", "AL-Fitna al-Kubra", "Mir'at al-Islam" and others. He notes that *The Fulfilled Promise*, is not a novel, but a representation of a historical period in a narrative style taking the form of drama. It portrays the internal conflict of the individual between old beliefs and the new religion and the dialogues between non-believers and believers. The story also highlights historical events such as the attempt of the Abyssinian King Abraha to demolish Al-Kabba and the abortion of his endeavour. Shafik believes that Taha Hussein presents all these events as a literary figure, a historical researcher and a prominent rhetorician (Shafik,2016).

As for the translation of *The Fulfilled Promise*, it was done by Enani, Professor of English Literature at Cairo University and published in 2016 by the General Egyptian Book Organization. According to (Said, 2010), Enani states in *Al-Akhbar*, in an article entitled, *Egypt Has The World's Best Translators*, that this translation is part of the *1000 Book Project's* translation of contemporary Arabic literature into English. The project came to a halt in 2004 and then was resumed in 2014. It began with the translations of literary works of Salah Abd El-Sabbour, Ahmed Shawki, Edward Al-Kharrat, Mahfouz Abd Al-Raman and Taha Hussein. Enani adds that he has begun translating Taha Hussein's works with *The Fulfilled Promise*. The aim is to acquaint the West with the true spirit of Islam. He opines that Taha Hussein's Islamic works and their translations portray Islam through historical events so that this would help foreigners understand Islam well (Karem, 2016). In his review of the translation of *The Fulfilled Promise*, Shafik states that Enani's translation is a perfect one, faithful to the original. He points out that Enani supplements his translation with an introduction that gives an account of the novel's author and theme. The corpus of the present paper chooses some examples from the two translations that highlight how both translators representing two diametrically opposed ideologies and cultures approach translations of the formal elements: lexis and syntax, stylistic devices : imagery and sound and cultural elements as will be explained in detail in the analysis.

Theoretical framework :

The theory and concepts used in the comparison between the two translations subject of this paper are discussed in this section. The first concept, rewriting, is tackled by Bassnett and Lefevere (1990). They state that as translation is "a rewriting of an original text". According to them, "all rewritings, whatever their intention, reflect a certain ideology and a poetics and as such manipulate literature to function in a given society in a given way" (p.xi). The factors controlling rewriting could be ideological (complying with or contesting the "dominant ideology") or poetological (complying with or contesting the "dominant/preferred poetics"). Lefevere (1992), states that during rewriting, translators' attitudes towards the universe of discourse are informed by the position of the "original

text", the "self-image of the culture" into which the text is translated, the kinds of texts and "the diction" regarded acceptable in that culture, "the audience", and the "cultural scripts" that the audience accepts (p.87).

The second concept is poetics which is divided by Lefevere (1992) into two components. "One is an inventory of literary devices, genres, motifs, prototypical characters and situations, and symbols; the other a concept of what the role of literature is, or should be, in the social system as a whole" (p.26). The third concept is ideology that is defined by Bassnett and Lefevere (1998) "the conceptual grid that consists of opinions and attitudes deemed acceptable in a certain society at a certain time, and through which readers and translators approach text" (p.48). According to Munday (2001), Lefevere thinks that the most important consideration is the ideological one, which denotes the translator's ideology, or the ideology dictated by the patronage. The poetological consideration means the dominant poetics in the T.L. culture. Ideology and poetics govern the translation strategy and the solution to specific problems.

The fourth concept is the universe of discourse, it is defined by Lefevere (1990), as "the whole complex of concepts, ideologies, persons, and objects belonging to a particular culture as acceptable to the author of the original, and that other universe of discourse which is acceptable and familiar to the translator and his or her audience"(p.35). In most cases, translators have to achieve a balance between the universe of discourse favoured by the author and the one agreeable to the translator and his/her audience. The fifth and sixth concepts are domestication and foreignization which are introduced by Venuti (1995), to refer to two strategies in translation. These strategies are related to the selection of the text to translate and the translation technique. On the one hand, domestication is defined as "an ethnocentric reduction of the foreign text to [Anglo-American] target-language values". This involves "translating in a transparent, fluent, invisible style in order to minimize the foreignness of the T.T.". Foreignization, on the other hand, is defined as "an ethnodeviant pressure on target language cultural values to register the linguistic and cultural differences of the foreign text, sending the reader abroad". (p.20)

The theory used in the analysis of the two novels under study is Toury's Norms theory. Norms are defined by Toury (1995) as "the translation of general values or ideas shared by a community - as to what is right or wrong, adequate or inadequate - into performance instructions appropriate for and applicable to particular situations"(p.55). According to Munday (2001), "norms are defined as socio-cultural constraints specific to a culture, society and history" (p.112) and "affect the entire process of translation, including source-text selection" as illustrated by (Hermans, 2004, p.76).

The analysis practical part:

This part concerns itself with comparing the translations of the two novels as regards the formal and cultural elements as well as stylistic devices. As for the formal elements, they are analyzed under the categories of lexis and syntax. The purpose of this analysis is to show how translation choices are intended to reflect the ideology and sociocultural background of each translator which govern these choices. They also highlight how these two factors lead the translator either to choose strategies that maintain the literary style of Taha Hussein and the culture specificity of Arabic or not.

1. Formal elements :

A. Lexis :

In *The Third Part of the Days*, translation of lexis as illustrated by the following shows that Cragg fails to understand the meaning and cultural implication of the Arabic expressions.

Example 1 :

حتي خيل إلي الفتى أنه قد أصبح حافظا أو قريبا من حافظ .
(Hussein, 1976, p.4)

... , that it made me feel I had become a reciter with a vengeance – or nearly so!
(Cragg, 1997,p.269)

Cragg miscomprehends the underlined proper name of the great poet Hafiz. He does not understand that حافظ is a proper name in addition to being a common noun. This is called a referential mistake caused by unawareness of terms, "proper name".

Example 2 :

حتي لقي الفتى ذات يوم في الجامعة فتى كان قد ظفر بالشهادة الثانوية تعلّم في مدرسة الفرير , فكان متقنا للفرنسية .
(Hussein, 1976,p.46)

Then one day I came upon a youth in the University who had succeeded in the secondary certificate and taught in the Frères' school, who was proficient in French.

(Cragg,1997, p.292)

The translator could not understand the vocalization of the underlined Arabic word تعلّم so he produces a wrong translation. The intended meaning is that the young man has studied and not taught at the Frères' school. So, this is considered a referential mistake resulting from misinterpreting the source text meaning.

Example 3 :

فينهره الشيخ بهذه الكلمات : ما شاء الله كان وما لم يشأ لم يكن !

(Hussein, 1976, p.35)

... but the Shaikh reproved me, adding : "What God wills is what is and what God does not will, does not happen"

(Cragg , 1997, p.281)

Cragg uses calque in translating the meaning of the underlined phrase. The calqued expression conveys the meaning but there is still loss of the religious implication especially in this context where Hussein is talking with his Shaikh about whether man is destined or has free will.

Example 4 :

إحداهما لغة الدرس وهي اللغة الفرنسية التي كان الفتى قد أخذ منها بحظ يسير ,
(Hussein, 1976, p.80)

... one the language of instruction namely French, which by good luck I already had,

(Cragg, 1997,p.323)

The translator employs literal translation in translating the underlined expression. He could not understand the meaning of the Arabic expression which means that Taha Hussein has little knowledge of French.

Unlike Cragg, Enani's translation of lexis in *The Fulfilled Promise* as shown by the following examples reveals how he manages to understand the meaning and the cultural implication of the Arabic lexis and thus producing a precise translation reflective of the source text.

Example 1 :

قال الحارث : بعدا لك من فتى يؤثر الغربية علي قرب الدار , ومضر علي قحطان , وقريشا علي عنس .
(Hussein,1995,p.5)

Al-Hareth was furious. "Shame on you" he said.

"How could you prefer life in an alien land to life in your native country? Do you prefer the tribe of Mudar to that of Qahtan, or the tribe of Quraysh to that of 'Ans?

(Enani, 2016,p.27)

Enani uses transliteration in translating the names of the underlined proper nouns as "Mudar", "Qahtan", "Quraysh" and "'Ans" to maintain the Arabic cultural references. He also uses translation by addition by adding the word "tribe" as a domesticating technique to inform the target reader that they refer to tribes. This reflects Enani's ideology which is making the source culture accessible to the target reader without ignoring the cultural specificity of the source text.

Example 2 :

ويعلم محمد وأصحابه أن كلمة هبل ما زالت عالية , وأن عز قريش لا يرام .

(Hussein, 1995, p. 136)

... and so teach Muhammad and his followers that the word of Hubal (a god with an effigy in al-Ka'ba) still reigned, and that the power of Quraysh was unapproachable.

(Enani,2016,p.204)

The translator uses transliteration followed by explanation as he wants to maintain the culture specificity of the word "Hubal" and to illustrate to the target reader that it refers to a god.

Example 3 :

وأن قريشا لن تخرج لتحمي العير فحسب , ...

(Hussein,1995, p.136)

Quraysh would not be out, he thought, only to protect the merchandise-laden camels, ...

(Enani, 2016,p. 203)

Enani employs translation by paraphrase to explain to the target reader the meaning of this underlined culture-specific word. This highlights his ideology of acquainting the target reader with the Arabic culture.

Example 4 :

فرأي الناس أنطاعا من آدم يسع كل نطع منها رجلا وقد ملئت ماء , ...

(Hussein 1995, p.118)

... ,the congregation saw trough-shaped skins filled with water, each big enough to hold the body of an average man, more like huge tubs.

(Enani 2016, p.176)

The translator adopts translation by paraphrase to explain to the target reader the meaning of the underlined culture-specific word "أنطاع".

B. Syntax:

It will be analyzed from the point of view of inversion. Cragg (1988) mostly adopts the inversion of the syntactic structures in his famous translation of the Qur'an entitled *Readings in the Qur'an: Selected and Translated by Kenneth Cragg*. By the same token, he usually adopts the inversion of the syntactic structures in his translation of *The Third Part of the Days*. Inversion could best be illustrated in terms of Mona Baker's (1992) theme and rheme notions. The first concept, the theme is what the clause is about. It has two functions: (a) it acts as a point of orientation by connecting back to previous stretches of discourse and thereby maintaining a coherent point of view, and (b) it acts as a point of departure by connecting forward and contributing to the development of later stretches. This is what the clause is about. At clause level, a speaker announces the topic of his or her message by thematizing it, that is, by putting it in initial position. The second

concept is called the rheme. The rheme is what the speaker wants to transfer about the theme. It is the aim of discourse. In addition to that, it is the leading element in the structure of the clause as a message because it consists of the information that the speaker wants to say to the hearer. According to Baker, the acceptability, rather than grammaticality, of any of the constructions in a certain context depends on how they conform to their "surrounding textual environment". In addition to that, grammaticality does not necessarily entail acceptability or coherence. According to Wang (2014), the overall choice of Themes / Rhemes can reflect an author's intention, the methods of organization and development of the text and the author's rhetorical purpose. The analysis of the translations show how each translator either keeps or inverts theme and rheme positions:

Cragg opts for changing the positions of theme and rheme, thus affecting Taha Hussein's point of view in the source text as shown in the analysis of the examples from *The Third Part of the Days* :

Example 1 :

لم يكد صاحبنا يتصل بالجامعة حتى رثت الأسباب بينه وبين الأزهر , فأصبح لا يمنحه من الوقت إلا أقصره , ولا يعطيه من الجهد إلا أيسره .

(Hussein, 1976, p.9)

My relations with the Azhar began to get very ragged almost as soon as I joined the University. I found myself giving only a minimum of time and the scantiest of effort to my duties there.

(Cragg, 1997, p.251)

Hussein focuses on "joining the University" as a theme not "the deteriorating relations with the Azhar" which is the rheme. Contrary to that, the translator foregrounds "the relations with the Azhar" and backgrounds "joining the University". As a result, the translator affects the unity of the text as well as the intended meaning by foregrounding "the deteriorating relations with the Azhar" which is related in meaning to the sentence that follows it. Cragg's translation does not convey how joining the University is one of the reasons behind Hussein's leaving Al-Azhar which is a main theme in this chapter.

Example 2 :

وظل الفتى واجما لا يرى الحروف ولا يرسمها . ولم يسأله الأستاذ أن ينطق بها ,

(Hussein, 1976, p.44)

Unable either to see or write the letters, I remained completely silent. The teacher did not ask me to pronounce anything,

(Cragg, 1997, p.290)

The writer foregrounds the feeling of the young man as a theme not his inability to see and write the letters which is the rheme, whereas Cragg backgrounds the feeling of the young man and foregrounds his inability to see or write the letters. As a result, the translator affects the organization of the text. The inability to see or write the letters which he foregrounds is complementing the meaning of the sentence that follows as the said sentence refers back to "the letters". The translation does not stress the annoyance of the protagonist due to his inability to see or write the letters. The annoyance is even sensed by the teacher and leads him to give Hussein private lessons.

Example 3 :

وهو لم يعد إلى مصر إلا بعد أن وضعت الحرب أوزارها , وامتاز المنتصر من المنهزم ,
(Hussein, 1976, p.157)

The War had finally terminated by the time I was again in Egypt. Victor and vanquished were now identified

(Cragg,1997, p.398)

Hussein foregrounds the return to Egypt as a theme and backgrounds the termination of war as a rheme. Contrary to that, Cragg foregrounds the termination of war and backgrounds the return to Egypt. So, he changes the organization of the text by foregrounding the termination of war which is related in meaning to the sentence that follows it. The translation interrupts Hussein's narration of the repercussions of World War which is a keyword in the novel.

Example 1 :

وأن قريشا تستطيع أن تعود إلى مكة فتتعم فيها بالسلام والعافية . ولكن قريشا أبت أن تعود كما خرجت وزين لها الشيطان بلسان أبي جهل أن تمضي حتى تأتي بدرا فتنزل بها منتصرة مظهرة للعرب أنها ما زالت قريشا صاحبة العز والمجد والسودد .

(Hussein, 1995,p.136)

Quraysh could now demobilize and return to Mecca to enjoy peace and prosperity. But Quraysh was reluctant to retreat, tracing their steps back to Mecca, as Satan, speaking with the tongue of Abu Jahl, tempted them to proceed to the Oasis of Badr, there to flaunt their arms. They planned to show all Arabs that Quraysh was still as powerful, glorious and dominant as ever.

(Enani, 2016, pp.203,204)

Example 2 :

فهذا عمرو بن هشام يسأله فجأة : ما أخرجك اليوم عنا يا ياسر ؟
(Hussein, 1995, p.27)

Unexpectedly, 'Amr Ibn Hisham asked him, "Why did you arrive so late today, Yasser?"

(Enani, 2016,p.55)

Hussein foregrounds the clause "Amr Ibn Hisham asked him" as a theme and backgrounds the adverb "Unexpectedly" as a rheme. Enani changes the positions of the theme and rheme by foregrounding the adverb. The translation reflects how suddenly 'Amr Ibn Hashim talks to Yasser and breaks the silence that prevails in the place. It is meaningful and idiomatic.

As for the cultural elements, they are referred to by Lefevere (1992) as the universe of discourse which he defines, as "objects, concepts, customs belonging to the world that was familiar to the writer of the original"(p.41). The universe of discourse, in the two novels, is represented by culture specific items which are categorized as "conventional and loaded proper nouns". Aixelá (1996) mentions that conventional proper nouns are meaningless in themselves and are usually "repeated, transcribed or transliterated in primary genres" except if they have a fixed translation. He adds that they include "toponyms, historical fictional and non-fictional names like saints and kings, etc.". Loaded proper nouns are defined by Aixelá as the names that are "expressive" and have "historical or cultural implications" (pp.59-60).

2. Cultural Elements:

A. Conventional proper nouns:

Following are examples of conventional proper nouns from *A passage to France* which Cragg mistransliterates due to misspelling or mispronunciation or mistranslates due to misunderstanding their meaning:

Example 1 :

كان الأستاذ أغنالسيو جويدي شيخا كبيرا نحيف الصوت ضئيله جدا لا يبلغ عنه أقرب الطلاب إليه مجلسا , ...
(Hussein, 1976,p.8)

Professor A.Tuwaitdi, a great scholar, was a slim man with a very feeble voice.
(Cragg,1997,p.250)

Cragg mistransliterates the name of the professor. So, there is a loss in terms of meaning and culture. The name of the professor is important because Hussein admires him and his subject. This is significant since the novel is an autobiography and one of its main themes is Hussein's infatuation with the university and its professors.

Example 2:

وكذلك وجد بين هؤلاء الفتية من كان يذهب مذهب جميل وكثير وكان الحرمان المطلق محتوما عليه ؛ ...
(Hussein, 1976, p.17)

One of us young literati followed the school of Jamil and Kaththar and came under an absolute veto.
(Cragg, 1997, p.260)

The translator mistakenly transliterates the name of the pre-Islamic poet. So, there is a loss in terms of meaning and culture. The name is crucial because Hussein in this chapter depicts how he and his friends adopt different schools of poetry either the pre-Islamic, Islamic or Abbasid school.

Example 3:

والآخر في كلية الآداب بجامعة القاهرة عندما شارك تلميذه في امتحان السيدة سهير القلماوي لدرجة الماجستير، ...
(Hussein, 1976, p.55)

The other time was in the College of Arts of Cairo University when I, as his student, took part in the examination of Miss Subair al-Qalamawi for the M.A. degree.
(Cragg, 1997, p.299)

Cragg wrongly transliterates the name of a prominent Egyptian scholar and writer. Thus, there is a loss in terms of meaning and culture.

B. Loaded proper nouns

Examples of loaded proper nouns which Cragg translated using different techniques:

Example 1:

درس التوحيد بعد أن تصلي الفجر , ودرس الفقه بعد أن تشرق الشمس , ودرس في النحو بعد أن يرتفع الضحي , ...
(Hussein,1976,p.3)

After the dawn prayer came the study of *Tauhid*, the doctrine of the divine unity; then *fiqh*, or jurisprudence, after sunrise ; then the study of grammar during the forenoon,
(Cragg, 1997, p.245)

Cragg opts for transliteration followed by explanation in translating the names of subjects. Thus he conveys the meaning and the cultural specificity of the words to the foreign reader by combining both universes of discourse. This example shows how Hussein gets bored with the traditional subjects of al-Azhar.

Example 2 :

وكان – رحمه الله – قد شرح كتاب ((الكافي في العروض)) حين كان طالبا في الأزهر .
(Hussein, 1976, p.38)

When he had been a student at the Azhar he had written a commentary on *Al-Kafi fi-l-'Arud*, or "Manual of Prosody."

(Cragg, 1997, p.284)

The translator opts for transliteration followed by explanation to translate the literary book. So, he maintains the meaning and the cultural implication. Since Hussein is a prominent man of letters and is influenced by poetry especially that of Abu Nuwas, he mentions the name of this book which concerns meters of Arabic poetry and the word poem in the next example.

Example 3:

ولكنه رجح لغير سبب أن خصمه إنما هو ذلك الطالب الأسود الذي كان ينافسه في دروس النحو,
(Hussein, 1976, p.18)

Though he had no grounds for doing so, he suspected that the perpetrator was the negro student who had been his rival in the grammar studies and who thoroughly hated him.

(Cragg, 1997, p.261)

Cragg uses the word negro, which has derogatory connotation, to translate the colour. It reveals that being a European, Cragg is biased against the black coloured people but in the Arabic text, "الأسود" means the dark skinned student. This is an instance of cultural transplantation. According to *Oxford Living Dictionaries*, Negro is no longer used as well as becomes outdated and offensive in British and U.S English. So, there is loss in terms of connotation and tone. The use of "Negro" portrays Hussein as an arrogant and racist person who looks down on the coloured people.

In *The Fulfilled Promise*, examples of conventional proper nouns such as names of places and a name of a god together with their translations are as follows:

A. Conventional proper nouns:

Example 1:

وبلغا دار أبي حذيفة فأنفقها فيها سائر النهار وشرطوا من الليل يخوضان في أحاديث الدين والدنيا وفي أحاديث تهامة ونجد والحجاز .

(Hussein, 1995, p.13)

These dealt with both mundane and religious topics, especially current affairs of the regions of Tihamah, Najd and al-Hijaz .

(Enani, 2016, p.37)

Enani uses transliteration together with explanation by adding the word "regions" in translating the source text's places. As a consequence, he manages to transfer the meaning and the cultural specificity to the target reader who is unaware that these words refer to regions.

Example 2:

ولكن أبرهة لم يدخل مكة ولم يمسس بيته بسوء

,

(Hussein,1995,p.49)

But Abraha never entered Mecca; he never wreaked havoc, as he had intended , on its sanctuary [Ka'ba] .

(Enani,2016,p.87)

Enani employs transliteration and translation by addition to convey the meaning of the place by explaining to the target reader that the "sanctuary" refers to Ka'ba.

Example 3:

ويعلم محمد وأصحابه أن كلمة هبل ما زالت عالية , وأن عز قريش لا يرام .

(Hussein,1995,p.136)

... and so teach Muhammed and his followers that the word of Hubal [a god with an effigy in al-Ka'ba] still reigned ,

(Enani,2016,p.204)

The translator uses transliteration followed by explanation to unfold the meaning and cultural specificity of the name of a god to the target reader.

In *The Fulfilled Promise* , examples of loaded proper nouns such as a type of cloth, a type of plant and a type of currency are as follows:

B. Loaded proper nouns:

Example 1:

ثم يرد إليه شيء من حياة , فينظر فإذا كفته قد أحضر , وإذا هو من قباطي , فيبكي. ...

(Hussein, 1995, pp.150,151)

... ,then, reviving, saw that his shroud had been prepared. Finding it was made of Coptic linen [fine white linen imported from Egypt] he wept,

(Enani, 2016, pp. 227-229)

Enani adopts translation by paraphrase together with translation by addition to translate the meaning of a fine type of cloth from which the shroud of Khababb is made as opposed to the bad shroud of Hamzah, uncle of the Prophet, though Khabbab has lived in poverty.

Example 2:

فبيكي ويقول : لكن حمزة عم النبي صلي الله عليه وسلم كفن في بردة , ... , حتي جعل عليه إذخر .

(Hussein, 1995, p.150)

"But Hamzah, uncle of the Prophet, had a robe for a shroud. ... and he had to be shrouded in sweet-smelling weeds.

(Enani,2016,p.228)

The translator employs translation by paraphrase to translate a type of plant that has to surround the shroud of Hamzah, uncle of the Prophet because the shroud does not cover him totally. This sheds light on the fact that Islam does not differentiate between the poor and the elite as regards choosing the shroud.

Example 3:

وإن في ناحية بيتي في تابوتي لأربعين ألف وافر , ... , ...

(Hussein, 1995, pp.150,151)

While today I have a coffer in my house containing forty thousand wafis [a wafi is a dirham plus four pence].

(Enani, 2016,p.228)

Enani uses transliteration followed by explanation to translate a type of currency. The use of this currency in this sentence shows that Coptic Linen is a very expensive kind of cloth.

With respect to stylistic devices, they are discussed under the subdivisions of sound and imagery. The first element is sound which, according to El-Badrawy Zahran (1982), stems from adopting rhymed prose, or rhyme in the form of (assonance, consonance and alliteration). It emerges also from using consecutive synonymous and antonymous words, antithetical sentences and parallel structures as well as employing non-monotonous repetition such as [repetition of words, phrases, clauses and sentences] (pp. 25-28). Ibn Fares (1963) mentions that repetition is a distinctive feature of Arabic and one of the norms of the Arabs. Repetition is also one of the features of Arabic language poetics since it is a literary device adopted in Arabic poetry.

The following examples from the two translations show how each translator manages to translate the sources of sound emerging from lexical and phrase repetition:

3. Stylistic Devices :

A. Sound (lexical and phrase repetition):

Following are examples from *The Third Part of The Days* that reveal Cragg's non-observance of sound:

Example 1 :

وكان صاحبنا موزعا بين مذهبين من مذاهب الكتابة في ذلك الوقت . أحدهما مذهب الاعتدال والقصد , ذلك الذي كان الأستاذ لطفي السيد يدعو إليه و يزينه في قلبه . والآخر مذهب الغلو والإسراف , ...

(Hussein, 1976, p.10)

So it came about that I oscillated, as it were, between two literary attitudes at that point - the one the school of moderation and liberation, for which Professor Lutfi al-Sayyid pleaded and which he himself sincerely graced, the other the school of unrestrained exaggeration,....

(Cragg, 1997, p.252)

Cragg uses the strategy of translation by substitution in translating the repetitive word. He conveys the meaning but does not maintain the sound. This sentence is significant as Hussein reveals how he learned criticism and was influenced by two schools of criticism and repeated the word "مذهب" to give an account of each school.

Example 2 :

وانصرف الفتى عن سعد فلم يره إلا بعد عام , بل بعد أكثر من عام ...
قال له وسمع منه , ولكنه لم يقل شيئا ذا بال
ولم يسمع منه شيئا ذا بال .

(Hussein, 1976, p.142)

I departed and I did not see Sa'd again for a whole year, indeed more than a year ... We exchanged a few remarks but nothing worthy of attention.

(Cragg, 1997, p. 383)

The translator adopts the strategy of communicative translation in translating the first phrase and translation by omission in translating the second phrase. The meaning is preserved yet there is loss in terms of the sound and as a consequence of the style.

Contrary to that, the examples of *The Fulfilled Promise* have shown Enani's interest in

maintaining sources of sound:

Example 1 :

قال ياسر دهشا : الأخرة ! ما الأخرة ؟

(Hussein, 1995, p.30)

"The afterlife?" Yasser repeated in astonishment
What afterlife?"

(Enani, 2016,p.59)

Enani adopts the strategy of faithful translation for translating the repetitive word. Therefore, he maintains both the meaning and the sound.

Example 2 :

وقد علمت منذ آخر الصبا وأول الشباب أن لي في قرينتك هذه أربا أي أرب ,
قال عبد الله بن جدعان : لك في قرينتنا هذه أرب أي أرب !

(Hussein, 1995, pp. 44,45)

At that time I also learnt that I have an essential need to fulfil in this city of yours ;... You say you have in our city an essential need to fulfil?" Ibn Jod'aan asked . " What is it ?"

(Enani, 2016, pp. 79,80)

The translator opts for the strategy of faithful translation in translating the repetitive phrase. Thus he keeps both the meaning and the sound.

B. Imagery:

It is the second element of the stylistic devices which Abdallah Ibrahim (2018) states that Taha Hussein in *The Days* portrays abstract images based on what he hears from the surrounding people. To avoid the description of things he does not see or perceive, he recurses to the use of third person.

As for the translation of imagery in *The Third Part of the Days*, Cragg uses various strategies to render it. He usually does not succeed in preserving the meaning and the image as shown in the following analysis of the examples taken from the translation:

Example 1 :

ولم يكن الفتى يضيق بالفقر , ولا بقصر يده عما كان يريد , فقد كان ذلك شيئا مألوفا بالقياس إلي طلاب العلم في الأزهر الشريف .

(Hussein,1976, p.3)

It was not the poverty that oppressed me, nor my inability to do as I pleased. Those were familiar enough in the lot of students seeking knowledge in the noble Azhar.

(Cragg, 1997, p.245)

Cragg rewrites the meaning of the underlined clause due to his misunderstanding. The intended meaning is a metonymy for "the young man's inability to satisfy his needs". Therefore, he does not manage to convey either the meaning or the image.

Example 2 :

وقال للفتى ذات يوم حين أخذ في بعض ذلك : ((لا , لا , لا . دعنا نأكل العيش ..)) ,

فتركه الفتى يأكل العيش . . .

(Hussein, 1976, p.9)

One day, when I had been saying things along that line, he burst out : "No! No! Don't take the bread out of our mouths!" So I left him with his bread . . .

(Cragg,1997, p.251)

The translator employs literal translation to convey the metonymy in the source text which implies seeking livelihood. Consequently, the meaning conveyed is ambiguous.

As for the translation of imagery in *The Fulfilled Promise*, Enani adopts different strategies to translate it. He often manages to preserve the meaning and the image as illustrated by the following analysis of the examples taken from the translation::

Example 1 :

فأطرق الفتى قليلا , وغشيت وجهه سحابة رقيقة عمراء ,

(Hussein, 1995, p.14)

Yasser hung his head a while, and a thin, bashful cloud crept over his face.

(Enani, 2016 , p.39)

Enani adopts faithful translation in translating the underlined metonymy implying shyness. As a consequence, he keeps both the meaning and the image.

Example 2 :

... , وأشرق وجهك حتى كأنه الشمس , ...

(Hussein, 1995, p.24)

... , your face radiant as the sun,

(Enani, 2016, p.52)

The translator employs faithful translation in translating the simile which likens the face to the bright sun. As a result, he conveys both the meaning and the image.

Conclusion and Findings:

To conclude, the comparison is held between the translations of *A passage to France* by the British scholar Cragg and *The Fulfilled Promise* by the Egyptian translator Enani since the two translations reflect two diametrically opposed ideologies. The elements of comparison are the formal and cultural elements as well as stylistic devices. The formal elements are investigated in terms of lexis and syntax. The cultural elements are analyzed under conventional and loaded proper nouns. The stylistic devices are examined under the categories; sound and imagery. Following is a summing up of the comparison between the two translations.

Lexis is the first formal element which, in *A passage to France*, is discussed under the mistranslated words, literally-translated as well as culture-specific expressions. Cragg mistranslated words due to his misinterpretation of meaning and vocalization. He literally translated some expressions due to his inability to understand their meanings accurately. He uses calque to translate a culture-specific expression. The translation of lexis using foreignizing techniques such as literal translation and calque as well as committing mistranslations reveal Cragg's inability to unfold the meaning due to his different sociocultural background and relative unfamiliarity with the Arabic language and culture. His translation reflects his ideology as a Westerner who disregards Arabic literature since he does not manage to check the difficult Arabic words and culture-specific expressions. In *The Fulfilled Promise*, lexis is classified as proper nouns as well as culture-specific words. To translate proper nouns, Enani adopts transliteration that is either followed by explanation or translation by addition. Enani opts for translation by addition, translation by paraphrase as well as transliteration followed by explanation to translate culture-specific words and expressions. The said techniques, Enani employs, are domesticating ones that highlight his ideology to transfer the Arabic culture to the target reader in a manner he/she could identify with. They also shed light on Enani's socio-cultural background as an experienced Muslim translator.

As regards Syntax, it is the second formal element. In *A passage to France*, Cragg often opts for the inversion of syntactic structures that is one of the English norms but his inversion leads to changing Hussein's point of view and disrupting the unity of the text. Enani's inversion does not change Hussein's viewpoint or harm the unity of the text compared to Cragg's. In contrast to Cragg, Enani, in *The Fulfilled Promise*, tries to strike a balance between maintaining and inverting the syntactic structures. In this manner, Enani manages to preserve Hussein's style and bring the text closer to the target reader.

Cultural elements in *A passage to France* are represented in the use of culture-specific items that could be classified as conventional and loaded proper nouns. To translate the conventional and loaded proper nouns, Cragg sometimes mistranslates them due to misspelling or mispronunciation or uses foreignizing techniques such as transliteration without explanation. In *The Fulfilled Promise*, cultural elements are classified into conventional and proper nouns. To translate the conventional and loaded proper nouns, Enani opts for domesticating techniques such as transliteration together with translation by addition and translation by paraphrase. He uses domesticating techniques to explain to the target reader the meaning of culture-specific items in a way s/he could comprehend and at the same time to preserve the Arabic language and culture.

As for the stylistic devices, they are classified as sound and imagery. The first stylistic device is sound which is considered one of the striking features of Hussein's writing style that emerges from repetition. In *A passage to France*, sound emanates from lexical and phrase repetition. To translate the sources of sound, Cragg opts for domesticating techniques such as translation by substitution and communicative translation. Adopting these techniques, Cragg does not convey sound which is a notable feature of Hussein's style but he follows English language rules which do not consider repetition as a basic norm. Thus his translation is described as acceptable. In *The Fulfilled Promise*, sound comes out of lexical and phrase repetition. Enani adopts foreignizing techniques to translate the sources of sound such as faithful translation and maintenance. He opts mainly for faithful translation and maintenance in a bid to preserve sound which is a basic feature of Hussein's style. His translation is described as adequate since he follows Arabic norms by keeping repetition and parallelism that are sources of sound in Hussein's writings.

Imagery is the second stylistic device that is investigated as Hussein's special use of imagery reflects the style of blind writers who depend on non-visual senses to draw abstract images. In *A passage to France*, imagery is represented by the use of image and metonymy. Cragg uses foreignizing technique such as literal translation. He manages to convey the meaning but does not always keep the imagery which is one of the remarkable features of Hussein's style. In *The Fulfilled Promise*, imagery comes out of the use of metonymy and image. Enani employs foreignizing technique such as faithful translation. He mainly opts for faithful translation to maintain the image. Accordingly, Enani is able to preserve both the meaning and the image and sheds light on one of the main features of Hussein's style that is the non-visual imagery.

Based on the above mentioned, Cragg's Western ideology and lack of experience are apparent in his mistranslations due to his inability to fully grasp Hussein's language. His socio-cultural background directs him to adopt domesticating techniques in translating culture specific expressions. Cragg's ideology to present the text as a social document makes him disregard the outstanding features of Hussein's literary style such as sound and

imagery as apparent from the translation strategies he has opted for. Being an experienced Arab translator, Enani is able to understand Hussein's language and produce an accurate translation. Due to his Arab socio-cultural background, Enani could explain the culture-specific words and expressions using both domesticating and foreignizing techniques. This complies with his ideology which is bringing the Arabic and Islamic culture closer to the foreign reader. His keenness to present the text as a piece of literature makes Enani keep Hussein's remarkable features of style, particularly sound and Imagery, as indicated by the translation strategies he adopts.

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La retraduction entre théorie et pratique

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Abstract : Translation has been a long-known field of study, the specific concept and practice of re-translation only began to receive the attention it deserves quite recently, starting in the 1990s in Europe. But still little studied in its specificity in the Arab world, even the term "retranslation" is relatively uncommon, with its floating meaning, calling on multiple questions: Between translation and retranslation, what happened, what changed? Do we retranslate better or differently? Why several translations of the same text? Why do some translations keep their shine and others fade in a short time? Why is a great translation necessarily a retranslation? Or, conversely, why is any first translation never a great translation? This study proposes to underline the importance, the motivations and the challenges of the practice of retranslation according to the point of view of several theoreticians, from Arabic to French or vice versa. This is why the work of the retranlator turns out to be essential for a better reception of the work in the target culture. We will try to present some examples of translation errors appearing in the Arabic novel "El GOAA", "The Hunger" by Mohamed El Bisatie translated into French, by the translator Edwige Lambert, to illustrate the role of retranslation with the aim of a better accomplishment of an Arabic novel, dealing with the tradition and customs of the Egyptian village.

Keywords : plurality of meanings, motivation, issues, principles, purpose

Résumé

Si la traduction est un domaine d'étude connu depuis longtemps, le concept et la pratique spécifiques de la retraduction n'ont commencé à recevoir l'attention qu'ils méritent qu'assez récemment, à partir des années 1990, en Europe. Mais encore peu étudié dans sa spécificité dans le monde arabe, même le terme de « retraduction » est relativement peu commun, avec sa signification flottante, L'absence d'études statistiques en diachronie ne nous permet pas de suivre l'accélération de ce phénomène depuis sa naissance. Ceci fait appel à de multiples interrogations: Entre traduction et retraduction, que s'est-il passé, qu'est-ce qui a changé? Retraduit-on mieux ou différemment ? Pourquoi plusieurs traductions d'un même texte ? Pour quelles raisons certaines traductions gardent-elles leur éclat et d'autres pâlisent-elles en peu de temps? Pourquoi une grande traduction serait-elle (hypothèse et non affirmation) nécessairement une retraduction? Ou, à l'inverse, pourquoi toute première traduction ne serait-elle jamais *une grande traduction* ? Cette étude se propose de souligner l'importance, les motivations et les défis de la pratique de la retraduction selon le point de vue de plusieurs théoriciens, de l'arabe au français. C'est pourquoi le travail du traducteur s'avère indispensable pour une meilleure réception de l'œuvre dans la culture cible. Nous tenterons de présenter un échantillon d'erreurs de traduction figurant dans le roman arabe "*La Faim*", de Mohamed El Bisatie traduit en français, par Edwige Lambert, pour illustrer le rôle de la retraduction dans le but d'une meilleure compréhension d'un roman arabe, abordant la tradition et les coutumes dans un village égyptien.

Mots clés : Pluralité de sens, motivation, enjeux, principes, finalité

Introduction

**« Retraduire sonne donc comme une opération de correction,
de rectification d'un travail qui serait là entre le texte et nous.
On referait un travail déjà fait. »¹**

Le point de départ est une enquête de l'Institut du Monde arabe en France portant sur l'édition française en 1986, recensant 529 ouvrages, concernant le monde arabe, sur 18.800 titres publiés cette année-là. Sur, ces 529 titres, 29 seulement étaient traduits de l'arabe ou à partir d'une autre langue orientale.² Or le plus surprenant s'agissant des flux de traduction du français vers l'arabe c'est que la raison de cette rareté en est la condition du traducteur matériellement parlant : le traducteur est mal rétribué. De plus dans notre culture égyptienne, un "bon traducteur est un traducteur invisible"³. La retraduction nous sort de notre zone de confort littéraire et historique, nous oblige à admettre que nous détestons le changement pour ce qu'il est et nous met face à la relation sentimentale que nous entretenons avec l'œuvre. Une retraduction peut être soit une seconde traduction (par exemple deux traductions françaises d'un même livre anglais qui se sont succédées dans le temps, soit une traduction redoublée (par exemple quelqu'un traduit de l'anglais en français un livre qui était déjà la traduction anglaise, soit même une rétro-traduction (par exemple quelqu'un traduit du français en anglais un livre qui avait déjà été préalablement traduit de l'anglais en français⁴ .

Selon Goethe, toute activité humaine, pour s'accomplir, a besoin de répétition. Et cela vaut pour la traduction en tant qu'opération vitale de redoublement dans sa pratique tenant compte du vocabulaire, de jeux de mots, des métaphores, des images, des registres langagiers et de la structure syntaxique qui concourent au sens.

L'histoire nous montre qu'il existe des traductions qui perdurent à l'égal des originaux et qui, parfois, gardent plus d'éclat que ces derniers. Ces traductions sont ce qu'il est convenu d'appeler de *grandes traductions*⁵.

Avec l'accélération des échanges, la traduction de nos jours fait face à différents modes de communication au plan international: traduction écrite ou orale de textes littéraires; comptes rendus, interprétation lors de rencontres internationales; sous-titrage ou doublage de films. Or, toute mise au point technologique, tout événement d'importance devrait entraîner la participation des traducteurs, ce sont les meilleurs experts et connaisseurs de l'évolution du champ et il semblerait inconcevable de renoncer à leur technicité et savoir. Si la reproduction d'un texte littéraire⁶ dans une autre langue est délicate et

¹ J.P. Courtois, *De la retraduction: Le cas des romans*, Bruxelles, La lettre volée, 2014, p.35.

² *Le Monde arabe dans la vie intellectuelle et culturelle en France*, Colloque, 18-20 janvier 1988, Institut du Monde arabe.

³ Richard Jacquemont, *Traductions croisées Égypte France stratégies de traduction et échange culturel inégal*, Egypte Monde arabe En ligne 15-1611993, mis en ligne le 08 juillet 2000 consulté le 21 décembre. 2022 URL: <http://journals.openedition.org/m/1109,00> <https://doi.org/10.4000/ema.1109>

⁴ *TRADUCTIONS ET RETRADUCTIONS FRANÇAISES DE LA THEORIE DES SENTIMENTS MORAUX D'ADAM SMITH, L'INSOUTENABLE LEGERETE DE (RE)TRADUIRE.*

⁵ Il est à noter que le poème *le Lac* de Lamartine a été traduit en 16 différentes versions réunies dans une série spéciale. Cf., Mohamed Zakareyz Anani, *Session "Shawki et Lamartine"*, Série spéciale, Paris, Octobre 2006, pp.33-103.

⁶ Pour délimiter le cadre de la retraduction de notre étude théorique et littéraire, nous allons aborder ce qui touche à la discipline de la retraduction littéraire, notre domaine d'intervention sans aborder les autres champs, si vastes, de la retraduction.

approximative, on ne peut pas dire pour autant que l'œuvre du traducteur soit comparable à celle de l'auteur, en termes de créativité. Le traducteur littéraire n'est pas véritablement un créateur mais un médiateur doté d'un certain talent et esprit artistique, et sa traduction se doit de rendre aussi fidèlement que possible le message ainsi que les spécificités du texte source voulues par l'auteur, et que le traducteur transmet à son tour, mais qui ne sont pas les siennes propres.

1. Etymologie de « retraduction »

La retraduction est formée d'un substantif féminin, *traduction*, auquel s'est ajouté le préfixe itératif "re", c'est donc la traduction de ce qui a déjà été traduit d'une autre langue. Au sens figuré, c'est la mise en forme d'une nouvelle interprétation. La retraduction est un moment second et essentiel dans l'histoire de la réception d'une œuvre. Elle diffère de la traduction *première* par son statut paradoxal: le simple fait de son existence atteste à la fois de la fragilité de la traduction en tant qu'activité transférentielle et de l'espoir que cette pratique continue d'ouvrir à d'autres sens. Compte tenu de la polysémie du préfixe verbal re- ou r... le terme de retraduction peut prendre trois ou quatre significations différentes, Il peut s'agir d'une pure et simple itération: redire, c'est répéter; et retraduire, c'est donc bien refaire une traduction du même texte original, dont il existe déjà une première traduction. 2°) Mais il peut aussi induire une connotation très marquée de rectification critique : la retraduction rejoint alors la révision et elle débouche sur une « nouvelle traduction » qui s'affiche comme meilleure que la (ou les) précédente(s), dont elle entend avoir corrigé les défauts. C'est d'ailleurs souvent un argument de vente mis en avant par l'éditeur ¹.

2. Traducteur et retraducteur

Si par l'affirmation de « l'effacement du traducteur² », son *invisibilité* en quelque sorte, idée stigmatisante en soi du statut de traducteur, il sera bien présent, par la force des choses pour la retraduction. Retraduire, c'est en effet indiscutablement donner sa propre interprétation du modèle et y substituer sa propre écriture, dans une autre langue.

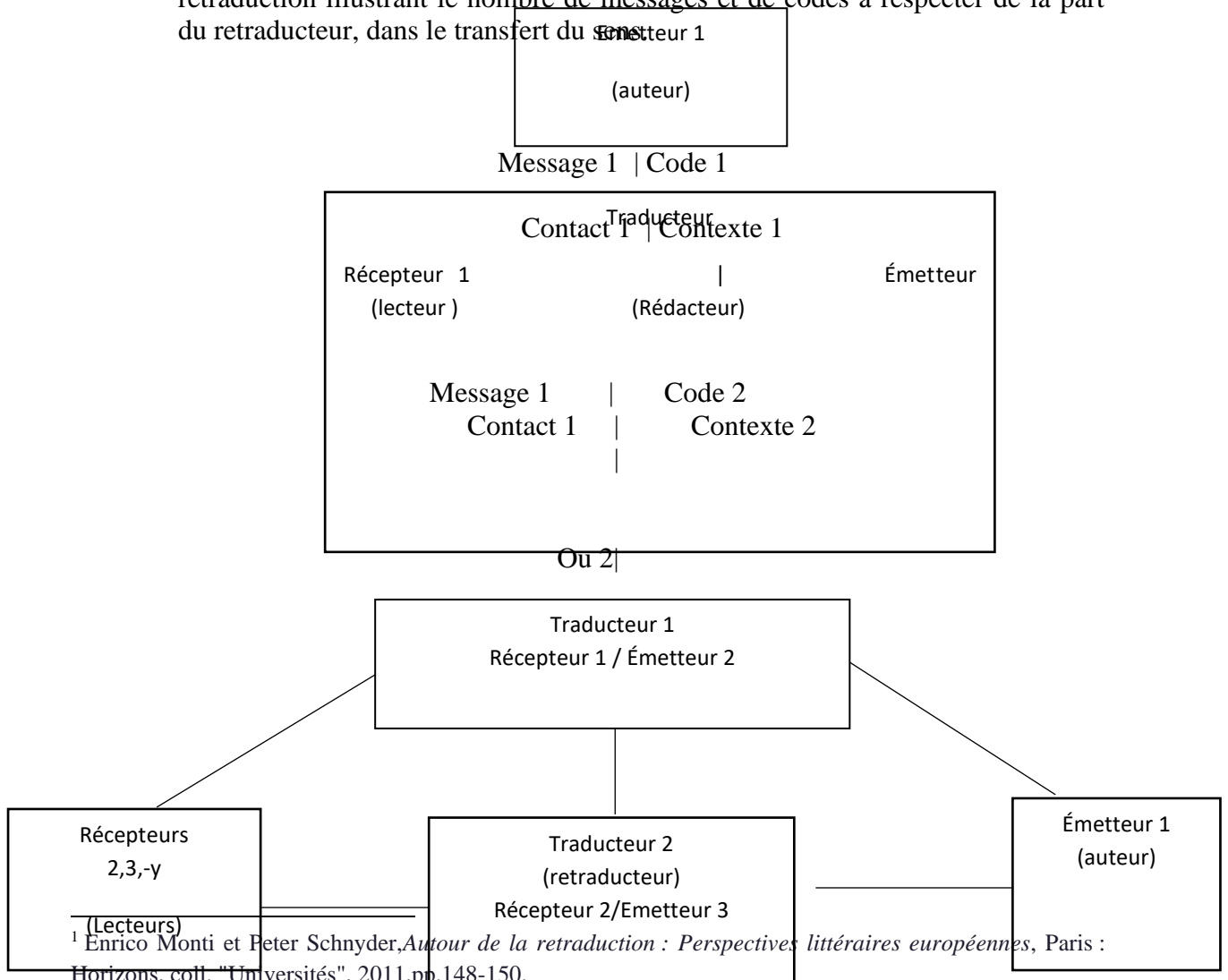
Le concept de retraduction étant un genre didactique dont la multiplicité potentielle vient des fonctions de traducteur, en renforce la position et le statut. Le traducteur est en effet chronologiquement lecteur et rédacteur, lecteur en une langue, rédacteur en une autre, bilingue, et souvent voyageur. Il est aussi spécialiste, connaît et traduit, des données scientifiques, techniques, politiques et culturelles. Le traducteur participe à la diffusion de la connaissance et des témoignages de son époque. Nombreux sont ceux qui ont souligné le rôle de messenger du traducteur. Les retraducteurs s'obligent ou travaillent à la lumière des erreurs des traductions dont ils prennent connaissance, à leur étude stylistique, lexicale ou syntaxique dans la retraduction ce qui différencie les traductions les unes des autres et induit un regard approfondi du retraducteur sur les traductions précédentes. Le retraducteur apparaît donc comme un messenger qui aurait consulté d'autres messagers véhiculant le même message, mais en des

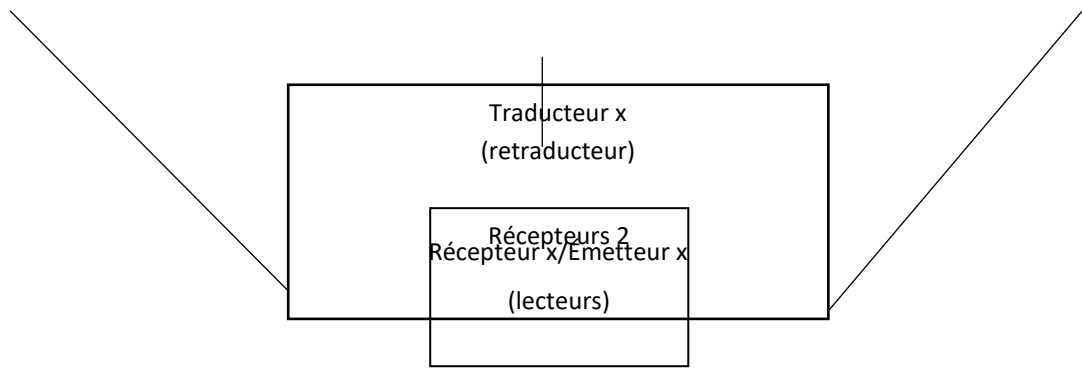
¹ <http://www.granddictionnaire.com/>

² Cf., DURIEUX., *Fondement didactique de la traduction technique*, Paris, Didier, pp.9-11.

temps, des lieux et pour des lecteurs différents. Sa tâche est d'isoler, dans les traductions qui précèdent la sienne, ce qui caractérise les codes et contextes successifs, peut-être pour arriver à une meilleure compréhension du message au travers des versions qu'en ont données les décennies ou les siècles précédents, peut-être pour comparer ces codes et contextes intermédiaires et éliminer tout ce qu'il jugera bon d'éliminer dans sa propre réinterprétation et transmission du sens. En tant que messenger, il s'est d'abord tourné vers l'auteur, mais il doit ensuite se tourner vers les lecteurs. Lecteur, il devient rédacteur pour faire comprendre le message à d'autres lecteurs qui sont aussi les siens, lecteurs de l'original transmis, mais aussi des stratégies de la transmission de l'original. La qualité, l'aspect, de cette transmission, reçue par les lecteurs, varie selon la finalité adoptée par le (re)traducteur¹. Ce dernier peut s'imposer, dans un premier temps, de ne pas regarder les traductions précédentes pour ne pas être influencé ; mais ensuite, il lui est utile voire indispensable de connaître les autres lectures du texte - tout comme les lectures critiques de l'œuvre - ne serait-ce que pour éviter des fautes de compréhension, qui sont généralement moins acceptées lors d'une retraduction.

Voici un schéma de communication dans le passage de la traduction à la retraduction illustrant le nombre de messages et de codes à respecter de la part du retraducteur, dans le transfert du sens



Schéma de la retraduction selon Antoine Berman¹

3. Sur l'hypothèse de la retraduction

"Mais voilà, c'est le mot qu'on emploie spontanément... Quoi qu'on fasse, il y a du soupçon..."²

Toute traduction est défailante. Ce qui signifie que toute traduction est marquée par de la non-traduction. Et les premières traductions sont celles qui en sont le plus frappées. Tout se passe comme si les forces anti-traductives qui provoquent la défailance étaient, ici, toutes puissantes. [...] La retraduction surgit de la nécessité de supprimer, mais au moins de réduire la défailance originelle.

Nous voudrions présenter quelques réflexions sur la modalité des retraductions, à partir de ce qu'on définit comme « hypothèse de la retraduction ». Il s'agit d'une hypothèse avancée par Paul Bensimon et Antoine Berman³ en 1990 : « L'hypothèse de la retraduction serait un mouvement progressif de chaque retraduction vers le texte-source: la première traduction est tendanciellement une traduction-introduction, avec une acclimatation de l'œuvre à la langue et à la culture de départ, alors que les traductions successives sont généralement plus portées à afficher l'étrangeté du texte ». L'hypothèse a suscité un important débat, qui a prévalu aux réfutations, même si elle a été reprise par quelques études. Cette hypothèse trouve bien évidemment quelques confirmations, surtout dans les séries traduites ? du XXe siècle, dues notamment à une professionnalisation progressive de la traduction.

C'est sans doute Antoine Berman qui, le premier, en 1990, a posé explicitement le problème de la retraduction comme « espace d'accomplissement » : Antoine Berman, établit la retraduction comme une critique, qui, dans un sens, dépasse celle de la critique comme remarque, comme travail visant à animer les œuvres de vie. Retraduire, selon lui est « *une activité soumise au temps, et une activité qui possède une temporalité propre : celle de la caducité et de l'inachèvement.* »⁴

Les retraductions ne sont pas les diverses étapes d'une traduction par un même traducteur mais un ensemble d'efforts successifs, pour arriver si possible à une grande traduction, à la fois adéquate dans la langue d'arrivée, et fiable dans son rapport à la langue de départ. Il est utile de retraduire surtout quand une première traduction

¹ <https://doi.org/10.4000/palimpsestes.596>

² Cf., Antoine Berman, *la retraduction comme espace de la traduction*, palimpsestes, 1990, pp.1-7.

³ Cf., *Ibid.Loc.cit.*

⁴ Virginie Douglas, Florence Cabaret, *La retraduction en littérature de jeunesse*, Rouen, 2014.

n'intègre que très partiellement la culture de départ. Elle est ou serait une introduction, une adaptation, soumise à des impératifs socioculturels, soucieuse de plaire aux lecteurs, plutôt que de mettre en avant l'étrangeté, la lettre, la singularité du texte original, en lui restituant toute sa signifiante.

Que retenir de cette hypothèse bermanienne de la retraduction? Elle poursuit les réflexions de Walter Benjamin (1923) sur le littéralisme et sur la survie d'une œuvre littéraire, dans la visée du « pur langage »¹ Elle est comme une résistance, une assimilation complète des œuvres anciennes et des traductions vouées aux oubliettes, c'est comme un prolongement de leur existence auprès de leurs lecteurs. Il n'empêche que certains des concepts de Berman, par exemple, la « *pulsion de traduire* », reste vague, pour emporter une complète adhésion. Une bonne traduction ne peut en tous cas pas se réduire au seul « vieillissement » de la langue mais à l'un des présupposés de l'hypothèse qui constitue une de ses faiblesses majeures : elle présuppose que les productions passées seraient tâtonnements, hésitations, et parfois même "aveuglements" vers toujours une meilleure performance.

Ce qui ressort nettement de l'ensemble de ces réflexions et interrogations, c'est que la retraduction n'est pas tant réalisée compte tenu des défaillances des traducteurs que compte tenu des changements de l'horizon culturel et de traduction, dans lequel elles sont produites; il semblerait que l'appel lancé par Antoine Berman à mieux écouter l'étrangeté de l'étranger, à décentrer la traduction pour qu'elle ne soit pas ethnocentrée, comme le furent **les belles infidèles** à la vie si longue en France ?, ait été entendu et que, depuis quelques années on soit plus sensible à tout ce qui rend l'authenticité d'un texte donné. La retraduction ne peut pas être un retour direct toujours au plus près du texte-source : parce que l'original peut être publié dans une nouvelle édition et parce que l'écriture de cet original a pris une nouvelle place dans le système récepteur. Citons à titre d'exemple : *Traduire Proust* en anglais dans les années 1960 et dans les années 2000, c'est admettre que la compréhension de l'œuvre n'est plus la même.

Ce n'est pas toujours parce qu'une traduction existante est mauvaise ou désuète qu'on désire retraduire : ce peut être tout simplement parce que, en tant que traducteur, on interprète autrement le texte, comme un metteur en scène propose un nouveau spectacle, un exécutant musical la nouvelle interprétation d'un morceau musical.

Michael Oustinoff² nous apprend le rôle capital joué par la retraduction, citant l'exemple dans l'œuvre de Nabokov, ce traducteur russe qui s'est forgé une première langue d'écriture, le russe, à travers les traductions du français et de l'anglais. Puis l'anglais, qu'il se forge d'abord en s'auto-traduisant du russe, devient à son tour langue d'écriture sans compter que, chez lui, auto-traduction et retraduction sont intimement liées dans la mesure où la plupart de ses auto-traductions du russe vers le français étaient la révision d'une première traduction qu'il demandait à un traducteur et qu'il exigeait la plus littérale possible.³ Il se traduisait donc, dans ce sens, par l'intermédiaire d'un autre, Or, il n'en va

¹ Walter Benjamin, *Traduction, Terminologie, Rédaction*, vol. X, n° 2, Association canadienne de traductologie, 1997, p.7.

² Michaël Oustinoff est professeur, traductologue à l'Université Côte-d'Azur et membre du bureau de la revue *Hermès* (CNRS éditions)

³ Irina Mavrodin, *Retraduire Dickens*, table ronde, Actes des Septièmes assises de la traduction littéraire (Arles 1990), Arles, Actes Sud / ATLAS, 1991, p. 77.

pas de même lorsqu'il se traduit lui-même du français vers le russe. Ce qui est intéressant, que la retraduction est donc pour Nabokov une école d'écriture dans la traduction, qu'il s'agisse de se traduire ou de traduire les autres. L'auto-retraduction serait aussi à l'origine, chez lui, d'une critique de la traduction, d'une théorie littéraliste, née à la fois de son expérience de traducteur et d'auto-traducteur. D'où l'importance qu'il accordait à tout ce qui fait le « style » d'un auteur (notion essentielle à ses yeux), ainsi qu'à tous les échos que l'on peut trouver dans une œuvre, renvoyant à d'autres textes de quelque langue-culture que ce soit. Il semblerait que pour lui, style et décentrement aillent de pair- ce qui expliquera que l'auto-retraduction doit être située dans un contexte créatif plus large.

Jean-René Ladmiral lui, évoque la retraduction littéraire, par les entretiens avec les traducteurs et les analyses comparées des traductions qui sont plus fréquents que jamais surtout lorsque la presse culturelle s'attache à une retraduction : avec sa surcharge de « visibilité », celle-ci a la capacité unique de solliciter une réflexion sur la traduction.¹

Pour reprendre les mots de Meschonnic: « *Retraduire suppose sans doute plus fortement encore une théorie d'ensemble que traduire ce qui n'a encore jamais été traduit*² ». Ceci étant dit, la retraduction est souvent un ménage à trois, quatre, cinq, etc., où il faudrait prendre en compte non seulement un texte de départ, mais aussi une série, plus ou moins longue, de textes d'arrivée. De ce point de vue, nous sommes persuadés que l'appropriation d'un texte passe aussi par l'expérience des interprétations précédentes: lectures critiques ou traductions.

4. Motivation de la retraduction

Les éléments de réponse dépendent de plusieurs considérations : des textes, de l'histoire de leurs traductions, de l'état de leur diffusion éditoriale et des traducteurs eux-mêmes. Tout d'abord les traductions existantes sont insuffisantes, parce que les précédentes étaient rédigées dans un état de langue trop daté. De plus, il n'y a pas de traduction définitive d'un texte. Mais ce n'est pas toujours aussi simple: la retraduction ne relève pas toujours d'un « travail du négatif ». Il arrive au contraire qu'on ait le désir de retraduire en vertu d'une identification positive aux traducteurs qui nous ont précédés. L'une des raisons de la réticence envers cette forme de lecture multiple et érudite", au-delà du compréhensible manque de temps. Il arrive même que le phénomène prenne une ampleur considérable, proprement incroyable. C'est ainsi qu'il n'y a pas moins d'une centaine de traductions en coréen de Madame Bovary! *Le Rouge et le Noir* de Stendhal a aussi été maintes fois retraduit en Corée, entre 1950 et 2000. Il existe donc quantité de retraductions, même si bon nombre d'entre elles ne font que se recopier les unes les autres.³

La vieillesse, la mort, la disparition de certaines traductions des catalogues d'éditeurs, cette évolution présumée ne correspond-elle pas aussi au concept de traduction comme transfert linéaire et spatial entre deux langues-cultures ? D'autres approches existent aussi, qui informent sur la traduction, à savoir : la datation (ou l'âge) des traductions ne relève pas d'une remontée mécanique dans le temps, elle est le résultat de la tension entre les traducteurs attachés à la continuité et à la reproduction des normes

¹ Jean-René Ladmiral, *Traduire: Théorèmes pour la traduction*, 2e édition, Paris, Gallimard, 1994, p.16.

² Henri Meschonnic, *Traduire : Écrire ou décrire*, in *Éthique et politique du traduire*, Paris, Verdier, 2007, p.70.

³ Sunheui Park et Sung-Gi Jon, *L'évaluation des traductions coréennes du style indirect libre dans Madame Bovary*, in *Tatiana Milliaressi* (éd.)

de traduction, et ceux qui, à l'opposé, travaillent la rupture et la différence d'avec ces normes.

Quoi qu'il en soit, l'hypothèse de Berman ne suffit pas à justifier toutes les retraductions. Parmi les facteurs les favorisant, on a retenu : les normes de lisibilité en fonction des lecteurs visés; les outils d'aide à la traduction; le contexte et les contraintes idéologiques d'une époque donnée, les visées éditoriales toujours particulières, les politiques éditoriales intégrant les modes de production et de distribution des livres. De plus, entrent en ligne de compte les interprétations des traducteurs et leurs choix ou leurs stratégies ainsi que les registres de langue et les caractéristiques de l'écriture traductive.

Nous devons aussi ajouter que sans les retraductions vers le français, des textes philosophiques comme ceux de Descartes, ou ceux de Schopenhauer en allemand ou de textes religieux comme le Coran, la Bible retraduit plusieurs fois, ou les textes scientifiques, comme ceux de Darwin et de Freud n'auraient jamais vu le jour dans d'autres cultures.

Bref, la traduction qui s'est construite peut s'écrouler, comme toute traduction s'élabore en faisant de la place pour d'autres.

Pour résumer la réponse à cette question, l'une des causes les plus fréquentes est l'insatisfaction vis-à-vis des traductions existantes en raison d'omissions ou de modifications dans les traductions précédentes, ou l'envie de s'affronter soi-même en direct avec le texte source. La retraduction offre aussi une nouvelle opportunité pour qu'une œuvre méconnue puisse être revisitée et réévaluée. Dans cette perspective, le traducteur désire capter le texte source, pour le faire sien. Cela l'opportunité d'une relecture incessante des textes oubliés, grâce aux retraductions, ils continuent ainsi à nous parler de façon directe et ouverte.

5. Modèles de la retraduction

Ainsi donc, la retraduction est toujours d'actualité, et toujours ambiguë - dans sa teneur, sa visée et ses ambitions. De fait, elle peut être comprise de différentes manières:¹

- Soit comme retour à l'original (rétroversion ou rétro traduction) dans certains exercices, par exemple pour vérifier les transformations dues au transfert;
- soit comme traduction d'une autre traduction faite dans une langue différente de celle de l'original: cette traduction intermédiaire, ou pivot, qui semble se répandre avec les langues peu diffusées, permet de relayer l'original à une troisième langue-culture.
- soit comme traduction dans une même langue d'un même texte de départ, réalisée après une autre traduction. C'est ce concept qui nous intéresse ici. Le retraducteur ne lit pas forcément les versions antérieures, d'autant moins accessibles qu'elles sont plus éloignées dans le temps. La retraduction ne concerne pas seulement les textes légitimés dans un système, mais aussi des textes philosophiques, religieux, dramatiques, communautaires, scientifiques (ouvrages de sciences exactes ou essais de sciences sociales). Dans certains cas elle est donnée comme quasi inévitable, dans d'autres elle est perçue comme répétition inutile. La « nouvelle traduction » étant perçue comme plus appropriée aux goûts, aux préférences et à l'état de langue des lecteurs ciblés.

6. Enjeux de la retraduction

¹ Yves Gambier, « *La retraduction: Retour et détour* », *Meta*, vol. XXXIX, n° 3, 1994, pp. 413-417. Nous aborderons dans notre étude la traduction littéraire étant notre spécialité et nous allons laisser de côté les autres genres artistiques.

La retraduction est-elle alors une traduction contre ?

Selon Danica Seleskovitch dans *Le Dilemme terminologique de la retraduction*, « *Il y a beaucoup d'aspects qui doivent être pris en considération, qui expliquent que l'on retraduit mais je crois que l'amélioration de la qualité d'une traduction [...] est certainement un des facteurs les plus importants dans la nécessité de retraduire* »¹

C'est une des possibilités qu'a envisagée Enrico Monti, éprouvé à l'égard des traductions jugées insuffisantes. Celles-ci ne relèvent pas toujours d'un « travail du négatif ». Il arrive au contraire qu'on ait le désir de retraduire, en vertu d'une identification positive par rapport aux traducteurs qui nous ont précédés. Selon Jean Pierre Lefebvre, les retraducteurs seraient souvent moins bien payés que les traducteurs du fait que leur travail serait facilité par les traductions déjà existantes. L'une des raisons de la réticence envers cette forme de cette pratique de retraduction serait une forme de l'angoisse du plagiat, qui agace une grande partie des retraducteurs. Le retraducteur pourrait être poussé à se différencier de ses prédécesseurs jusqu'à introduire des changements forcés, par peur d'être accusé d'avoir copié la traduction existante. Ajoutons, la difficulté de retraduire, après une grande figure de traducteur.

D'autres raisons peuvent être à la base du travail de retraduction, tout en n'impliquant pas nécessairement une insatisfaction à l'égard des traductions existantes mais en vue de donner une nouvelle perspective au texte.

Dans d'autre cas, un Skopos ou objectif final différent de la traduction peut déterminer des retraductions, comme l'adaptation d'œuvres pour la lecture d'un jeune public, par exemple.

Enfin, des raisons d'ordre économique et/ou éditorial peuvent être à l'origine de la pratique de la retraduction : une nouvelle traduction peut être plus rentable que la réédition d'une traduction existante, les stratégies commerciales des éditeurs visant à souligner la nouveauté de l'opération de retraduction pour convaincre les lecteurs qu'ils se trouvent devant une traduction plus authentique que les précédentes.

7. Délai pour la retraduction

Pour reprendre les mots de Laurence Venuti à propos des traductions.

« *Chaque grand livre demande à être retraduit une fois par siècle* »². Il faudrait retraduire les œuvres classiques mais il est difficile de généraliser la fréquence de retraduction tout simplement en raison de multiples facteurs influençant cette pratique, liée à la situation socio-économique ou à des données culturelles déterminant la production de nouvelles traductions : une réévaluation critique de l'œuvre, un regain d'intérêt autour de l'auteur et de sa thématique, une adaptation cinématographique, l'expiration des droits d'auteurs, etc.

8. Orientalisation ou francisation dans la traduction de la littérature égyptienne retraduite

Comment se traduit cette oscillation entre orientalisation ou traduction exotisante, d'une part, entre traduction naturalisante ou transparente, et une traduction française de la

¹ Seleskovitch, D., « *Le dilemme terminologique de la retraduction* », Traduire, 1998, pp. 17-27.

² <https://doi.org/10.4000/palimpsestes.542>.

production arabe moderne, d'autre part ?

Au cours de ces dernières années, les concepts de domestication et d'étrangéisation¹ en traduction, décrivent deux stratégies opposées dans l'art de traduire. Le terme « domestication » est souvent utilisé pour indiquer l'adaptation du contexte culturel ou de termes propres à une culture, tandis que le terme « étrangéisation » est souvent utilisé pour indiquer la préservation du contexte culturel original, comme les lieux, les noms, etc. Ces deux termes ont aussi été adoptés dans des études validant l'hypothèse dite de la « retraduction ».

A vrai dire, cette tension orientalisation/francisation se manifeste d'abord dans les choix de traduction ; les premières œuvres arabes modernes traduites sont celles qui portent le plus en elles cette tension. On ne traduit pas le *Hadith 'Isâ ibn Hisham* de Muwaylihi, mais des œuvres comme *Un substitut de campagne en Égypte*, de Tawfik al-Hakim, (publié en arabe en 1937, en traduction française l'année suivante), et *Le Livre des jours* de Taha Hussein (publié en arabe en 1929, en français en 1947) : c'est-à-dire des écrivains fortement marqués par leurs années de formation en France et à travers toute leur production, les œuvres les plus marquées par ce contraste entre leurs idéaux et valeurs modernistes, de source européenne, et la description d'une société traditionnelle en retard. En comparaison, la position de Mahfouz par rapport à ses cadets, les écrivains de la génération dite des années 60. Au-delà de la diversité de leurs écritures dont on peut prendre la mesure en se reportant aux traductions déjà parues de Gamal Ghitany, Sonallah Ibrahim ou Edouard al-Kharrat, ces auteurs ont en commun d'avoir opéré une transformation radicale des formes, des contenus et de la langue romanesque arabe. C'est en fait la première génération d'écrivains à développer un regard sur soi qui n'emprunte pas les lunettes de l'Occident, à imposer une modernité littéraire arabe originale. A partir de là il est vrai que leurs œuvres sont moins exportables, moins faciles à traduire et se prêtent moins que celles de leurs prédécesseurs à la réception traditionnellement faite à la littérature arabe.²

Compte tenu de la pénurie des études présentées dans cette perspective sur la retraduction en Égypte, nous proposons de prendre le parti-pris d'une orientaliste, dans cette étude, en présentant l'exemple pratique d'une retraduction et de ses raisons, en vue de l'amélioration de la qualité de la traduction. C'est le cas de la traduction française du roman de la littérature égyptienne contemporaine « *La Faim* » « de Mohammed El Bisatie. La traductrice, Edwige Lambert, cherchant à « rendre exotique » le roman arabe dans sa traduction n'a pas réussi à rendre fidèlement la tonalité de la couleur locale du roman originel³.

Regardons quelques exemples concrets extraits de la traduction du roman de Mohamed El-Bisatie, roman unanimement salué à sa parution et nommé en 2009 pour le Prix international du Roman arabe. Son thème central, est la mise en scène de la vie quotidienne d'une famille extrêmement pauvre, dans un village du fin fond de l'Égypte

¹ ECO, Umberto, Dire *presque la même chose – Expériences de traduction*, Paris, Grasset, Paris, 2006.

² Richard Jacquemont, *Traductions croisées Égypte France stratégies de traduction et échange culturel inégal*, Égypte Monde arabe, En ligne le 08 juillet 2000. URL: <http://journals.openedition.org/m/1109,00> <https://doi.org/10.4000/ema.1109>, consulté le 21 décembre. 2022.

³ Nous nous limiterons ici à quelques exemples extraits de la traduction des spécificités lexicales du milieu rural égyptien dans le roman de Mohamed El-Bisatie, par souci de fidélité à la culture source et nous relèverons quelques erreurs de la traductrice. Nous pensons qu'un tel roman a besoin de la retraduction car il dépeint le quotidien et le milieu socio-culturel du villageois, un tableau social nécessitant une grande minutie quant aux moindres détails de traduction que ce soit en français ou dans d'autres langues étrangères.

millénaire oubliée des touristes et du développement.

Suite à la lecture analytique de la traduction, du point de vue socio-culturel, nous avons observé à travers quelques exemples tirés du texte source mis côte-à-côte avec le texte cible, des faits culturels propres à la culture égyptienne. Il y avait certainement, des traits caractéristiques de cette culture similaires à ceux de la culture cible mais il y avait aussi d'autres réalités et des paroles qui n'y existaient pas. La langue d'un pays reflète sa culture. Et quand un auteur écrit un roman dans sa langue maternelle et fait acte de création il utilise un vocabulaire relevant du registre langagier correspondant à la classe sociale désignée spontanément. Il sait que la plupart de ses lecteurs en comprendront le lexique puisqu'ils partagent la même culture. Mais en ce qui concerne la traduction du roman dans une autre langue, les nouveaux lecteurs n'ont pas la même compréhension du vocabulaire, il leur manque des clés et une bonne identification du registre de la langue employé par l'auteur. Regardons ci-dessous quelques exemples d'expressions idiomatiques et leurs traductions.

8.1 Traduction des expressions idiomatiques

Exemple 1:

L'original	La traduction	La traduction proposée
أقطع زراعي أنك ما لمست واحدة الغابة دلوقتي. ص31	Je mettrais ma main à couper que tu n'as jamais touché une femme! P. 34	Je mettrais ma main au feu que tu n'as jamais touché une femme !

La traductrice n'a pas traduit fidèlement cette expression et n'a pas trouvé l'exact équivalent dans la langue d'arrivée. L'expression arabe "أقطع زراعي" désigne être sûr et certain. Elle a traduit littéralement l'expression arabe. L'équivalent de cette expression est "mettre sa main au feu" qui veut dire : être sûr de quelque chose ; affirmer fermement quelque chose ; affirmer ses propos avec conviction ; assurer que la chose est ainsi.

Exemple 2:

L'original	La traduction	La traduction proposée
تقييم معها عجز من قربتها، لسانها طويل، تقول حين تراها ص43	La vieille n'avait pas la <u>langue dans sa poche</u> , à Zaghloul, lorsqu'elle l'avait vu. p.49	la vieille avait une langue de vipère , avait-elle lancé à Zaghloul, lorsqu'elle l'avait vu.

L'expression "بذيء فاحش" "بذيء فاحش" désigne en arabe "تقييم معها عجز من قربتها، لسانها طويل، تقول حين تراها" qui signifie une femme impolie disant frontalement ce qu'elle pense, sans tact ni retenue. Dans le dictionnaire *Le Petit Robert*, l'expression idiomatique française « n'avoir pas la langue dans sa poche » est traduite par *parler avec facilité* et répliquer avec impulsivité. La traduction de l'expression arabe ne semble donc ni correcte ni appropriée. Parmi les autres synonymes de cette expression idiomatique *Le Petit Robert*, indique « une mauvaise, une méchante langue, une langue de vipère une personne qui n'hésite pas à médire, à calomnier. »

8.2 Traduction des expressions religieuses

Que les gens soient musulmans ou chrétiens, dans la société égyptienne, ils emploient souvent dans la vie quotidienne des expressions religieuses. Les expressions religieuses islamiques utilisées dans le roman "*la Faim*" de Mohamed El- Bisatie sont "استغفر الله" "سبحان الله". Si la traduction de ces expressions n'est pas correcte, cela affecte le sens et la connotation religieuse du contexte. Dans ce qui suit, nous allons présenter la traduction erronée de certaines expressions religieuses dans la version traduite du roman.

Exemple 1:

L'original	La traduction	La traduction proposée
وسبحان الله لما يريد ص10	Qu'il plaise à Dieu p.14	Gloire à Allah. Il fait ce qui lui plaît.

Exemple 2:

L'original	La traduction	La traduction proposée
سبحان الله. لم يات الصبي والرابعة أكيد عن قريب. ص37	Prions Dieu ! Il n'a pas encore de fils et il y a sûrement une quatrième épouse pas loin...p.38	Gloire à Allah ! Il n'a pas encore eu de fils et il y a sûrement une quatrième épouse pas loin.

La traduction de l'expression religieuse "سبحان الله" n'est pas correcte parce que l'expression "سبحان الله" veut dire " gloire à Allah" comme nous l'avons dit dans l'exemple précédent. Dans la phrase arabe, l'auteur admire la puissance de Dieu n'ayant pas donné d'enfants à cet homme polygame après son mariage avec trois femmes, alors qu'il l'avait voulu. Le verbe " prier" selon *Le Petit Robert* signifie "s'adresser à Dieu par une prière instante, supplier".

Exemple 3:

L'original	La traduction	La traduction proposée
يا كافر. ص 42	<u>Infidèle ! p.44</u>	mécréant

Dans cet exemple, la traduction de l'insulte "يا كافر" est traduite par " infidèle ". C'est une traduction littérale. Ce qualificatif est défini dans le dictionnaire par « une personne qui adopte une autre religion que celle embrassée ». Cette traduction est évidemment incorrecte et ne rend pas le même sens voulu par l'auteur.

Exemple 4:

L'original	La traduction	La traduction proposée

استغفر الله. دماغك شطحت	Le ciel me pardonne. Vous vous égarez	Qu'Allah me pardonne !
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الله استغفر: C'est demander pardon à Allah.

Ces imprécisions lexicales gomment en quelque sorte une bonne partie culturelle du contexte du roman, ce qui influence la lisibilité et la bonne réception du texte, traduit dans la culture cible.

Traduire un texte, c'est le faire passer d'un univers à un autre et non pas seulement d'une langue à une autre, surtout lorsque le texte à traduire porte, dans sa forme, l'empreinte de l'univers culturel et littéraire que nous cherchons à transférer dans l'autre culture

«Tout traducteur doit s'attendre à ce qu'il y ait dans la langue de départ des mots qui cherchent en vain leur équivalent dans la langue d'arrivée. Ou bien la chose n'existe pas – ou n'est pas reconnue dans l'une des deux cultures – ou bien elle existe dans les deux, mais une langue éprouve le besoin de nommer ce que l'autre passe sous silence»¹.

Conclusion

La retraduction offre une nouvelle opportunité pour qu'une œuvre méconnue puisse être relue et réévaluée et que le lecteur soit éclairé à partir des points de vue du retraducteur.

Traducteurs, réjouissons-nous—de la continuation de la vie des œuvres, et de la transmission de ces traces laissées par les auteurs qui les ont écrites. Notre tâche est de garder vigilance quant à la fidélité de la transcription de leurs récits tout en étant inventifs. L'acte de retraduction est un concept à part entière de ré-écriture à partir d'un texte originel, à entendre et à respecter.

Puisse cette étude ouvrir la voie à d'autres contributions dans la pratique de la retraduction de la littérature arabe classique ou contemporaine, et pour qu'elle soit mieux reconnue dans le champ de la traductologie : en comparant différentes traductions existantes, en retraduisant les œuvres classiques oubliées dans l'histoire ou dans le temps, en améliorant la qualité d'une œuvre déjà traduite.

Ainsi le travail du retraducteur pourra être estimé à son juste titre et valorisé aux yeux des maisons d'éditions, qui y trouveront aussi leur intérêt, matériellement et intellectuellement, en permettant le rayonnement de nouvelles lectures plurielles des chefs d'œuvres littéraires.

Que le lecteur avisé ou non, ait à son tour une-multiplicité de retraductions à explorer lui ouvrant la connaissance du champ littéraire, comme on écoute une nouvelle version musicale, comme on admire une peinture d'aujourd'hui, ou comme on assiste au spectacle à partir d'un texte classique, interprété par de jeunes comédiens.

¹ Vinay, J.P. -Darbelnet, J. *Stylistique comparée du français et de l'anglais*, Didier, 1977.p.68.

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**ANÁLISIS CONTRASTIVO ÁRABE-ESPAÑOL DE LA TRADUCCIÓN DE LOS REFRANES EN
TAXI**

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Abstract: The parables are short units usually of unknown origin, but they are considered an essential pillar of the sociocultural heritage of a spoken community. The translation of parables is not an easy task, since in this case we do not translate a phrase from one language to another, but we transmit a part of a culture to another different. Therefore, to succeed in this task; the translator must be conscious and immersed in the two languages at a linguistic and extra-linguistic level so as not to fall into the trap of having an erroneous or literal translation of these parables. The parables in both Arabic and Spanish have historical and contextual references. The difficulty in transmitting them lies in the fact that these historical references are no longer known and common at the moment in the spoken communities. In this way, translators face a challenge so that the recipient does not have the feeling of reading a translation. To have a good translation, the translator has to be well qualified and well trained in the original language and the target language at a linguistic and cultural level.

Keywords: translation- parables -socio-cultural reference

Resumen : La traducción es una tarea esencial e imprescindible en la vida de los pueblos, ya que es la ventana que nos da una imagen clara de la cultura de otras sociedades. En nuestro trabajo estudiamos un tipo de estas traducciones, la de los refranes, e investigar la forma correcta y apropiada de transmitirlos del árabe al español. También, queremos destacar los retos que enfrentan los traductores a lo largo de este proceso traductológico cultural. Cabe mencionar que cualquier traductor no será capaz de lograr este desafío, ya que en este caso necesitamos a un traductor bien formado con una competencia lingüística y fraseológica para poder transmitir estas referencias culturales entre dos sistemas lingüísticos diferentes. Los refranes son unas unidades breves normalmente de origen desconocido, pero se consideran un pilar esencial del patrimonio sociocultural de una comunidad hablada. La traducción de los refranes es una tarea nada fácil, ya que en este caso no traducimos una frase de una lengua a otra, sino transmitimos una parte de una cultura a otra diferente. Por eso, para tener éxito en esta tarea; el traductor debe ser consciente e inmerso en las dos lenguas a nivel lingüístico y extralingüístico para no caer en la trampa de tener una traducción errónea o literal de estos refranes que carece de su esencia contextual y comunicativa.

Palabras Claves: traducción-refrán-referencia sociocultural

Introducción

La traducción es una tarea esencial e imprescindible en la vida de los pueblos, ya que es la ventana que nos da una imagen clara de la cultura de otras sociedades. En nuestro trabajo estudiamos un tipo de estas traducciones, la de los refranes, e investigar la forma correcta y apropiada de transmitirlos del árabe al español. También, queremos destacar los retos que enfrentan los traductores a lo largo de este proceso lleno de retos. Cabe mencionar que cualquier traductor no será capaz de lograr en este desafío, ya que en este caso necesitamos a un traductor bien formado con una competencia lingüística y fraseológica.

El proceso de traducción, especialmente el relacionado con este tipo de los referentes culturales, necesita siempre un mando eficiente del factor lingüístico de las dos lenguas, además de todos los factores socioculturales de los contextos de la LO y la LT. Esto se debe a los retos que puede enfrentar el traductor al transmitir unos patrones culturales a un lector que en muchos casos no tiene contacto con la lengua del texto original (Hurtado Albir, 2016, p. 25-26).

Entre todos los tipos de traducciones destaca la literaria por ser la más desafiante, ya que en este tipo de traducción el traductor no transmite solo palabras, sino un contexto completo de una lengua a otra intentado al mismo tiempo conservar las connotaciones semánticas que tiene el contexto del texto original. Este tipo de traducción incluye cualquier texto como novelas, cuentos cortos, obras teatrales o poemas. Por eso, los traductores han que tener el conocimiento y las habilidades extralingüísticos para poder llevarnos una traducción fidedigna. Al respecto, es digno de mencionar que todos los textos no son iguales, y que cada uno de estos textos tiene características peculiares. De esta forma, antes de empezar a traducir una obra, hay que leerla de una manera minuciosa para entender el significado, las figuras existentes y los referentes culturales para poder transmitirlos todos al texto meta de una manera correcta.

Los refranes son unas unidades breves normalmente de origen desconocido, pero se consideran un pilar esencial del patrimonio sociocultural de una comunidad hablada. La traducción de los refranes es un procedimiento desafiante, ya que en este caso no traducimos una frase de una lengua a otra, sino transmitimos una parte de una cultura a otra diferente. Por eso, para tener éxito en esta tarea; el traductor debe ser consciente e inmerso en las dos lenguas a nivel lingüístico y extralingüístico para no caer en la trampa de tener una traducción errónea o literal de estos refranes.

Por eso, traducir un refrán de una lengua a otra no es una tarea fácil de lograr, ya que estos refranes representan lo típico de una comunidad lingüística específica. Por lo tanto, si el traductor no tiene la capacidad lingüística y pragmática suficiente para transmitirlos de la LO con el equivalente más adecuado en LT, los lectores extranjeros no pueden entender exactamente su significado en el contexto dado (Santamaría Pérez, 1998, p.301).

Definición y concepto del refrán

los refranes son una categoría de las paremias, las cuales son una parte idéntica de las unidades fraseológicas de una lengua, pero de origen desconocido. Los refranes constituyen del uso común y repetitivo de unos dichos en unas situaciones determinadas donde el hablante quiere captar al mensaje al locutor. Casares es de los primeros investigadores que intenta dar una definición al refrán, ya que afirma que el refrán es una frase íntegra y libre que expresa un pensamiento general en el que "*se relacionan por las menos dos ideas*" (Casares, 1950, p. 92).

Según Sevilla Muñoz, el refrán es un tipo de los enunciados fraseológicos que se caracterizan por ser breves y significativos; y que son comunes por el uso repetitivo en la memoria de los miembros de una comunidad hablada. La peculiaridad de los refranes se debe a que son comunes, repetitivos, sencillos, prácticos, metafóricos y siempre llevan un tema general con un registro coloquial. La autora divide los refranes en cinco subtipos que son: geográficos, supersticiosos, laborales, temporales y meteorológicos (Sevilla Muñoz, 2002, p.86).

Corpas Pastor afirma que los refranes se caracterizan por tener cierto grado relacionado con el nivel cultural de los hablantes de una lengua. La autora demuestra que los refranes son esta categoría de paremias que tiene en su entorno todos los principios que propone Pierre Arnaud de un enunciado fraseológico. Además de los requisitos principales, los

refranes tienen una base metafórica y otras particularidades semánticas y sintácticas (Corpas Pastor, 1996, pp.148-150).

Los refranes se consideran como una fuente principal de la experiencia humana que se basa en las reacciones hacia las situaciones diferentes de la vida diaria. Los refranes siempre son enunciados cortos que llevan un código sabio que se usa en la mayoría de los casos en el contexto coloquial con un plano metafórico y una entonación fónica. Además, dichos refranes siempre ofrecen por sí mismos un mensaje completo, a pesar de ser textos cortos y precisos (Zuluaga, 1980, p.201).

Estos enunciados cortos siempre nos ayudan a salir de las situaciones difíciles de nuestra vida diaria, ya que se consideran como un verdadero reflejo de todos los ámbitos de todas las situaciones comunicativas que tenemos día a día. La aplicación de los refranes tiene una gran variedad temática, ya que hay una multitud de refranes en cada ámbito aparte, sea a nivel social o profesional. En algunos casos, la aplicación de este tipo de enunciados culturales reside en las circunstancias de la comunidad lingüística donde se usa (Cantera, 2002, p.25).

Las dificultades de traducir los refranes

De la traducción de los refranes surge una serie de dificultades ante el traductor literario, el cual podrá superarlos si sabe muy bien las características de estas unidades. Al momento de empezar a transmitir este patrimonio sociocultural, el traductor puede enfrentar unos desafíos que investigamos a continuación:

- El traductor hay de tener un grado de competencia cultural tanto en su LO como en la LT. Esta competencia es imprescindible para que pueda localizar el refrán, comprenderlo, luego intentar transferirlo a su lengua con las mismas connotaciones culturales del texto original. A veces, el traductor queda obligado a hacer unas posibles modificaciones en el discurso para llegar al equivalente apropiado para no desviar del significado de esta combinación fija en su contexto original (Sevilla Muñoz, 1997, p.437).
- Los sistemas lingüísticos y léxicos de las lenguas en la mayoría de los casos no son iguales, por eso el refrán en la LO y su equivalente en la LT suelen sufrir un cambio leve en cuanto al contenido y la forma. Así, la parte difícil reside en encontrar los equivalentes correctos y apropiados para el discurso comunicativo teniendo en cuenta todos los factores culturales del contexto comunicativa (Corpas Pastor, 2003, p.211).
- Cada refrán lleva una combinación de información sociocultural que el traductor tiene que trasladar a otra lengua al buscar a un equivalente adecuado para dar el mismo mensaje. La dificultad reside en que todos sus elementos interrelacionados se pueden actualizar de muchas formas depende de los diferentes discursos (Corpas Pastor, 2003, p.213).
- El carácter tradicional de los refranes, ya que dichos enunciados representan lo típico de una comunidad hablada específica. Por lo cual, si el traductor no posee la competencia lingüística y pragmática suficiente para pasar estas unidades de la LO con el equivalente más apropiado en LT, los lectores extranjeros no pueden comprender correctamente su significado en el contexto dado (Santamaría Pérez, 1998, p.301).
- El matiz idiomático de los refranes, que se considera como el núcleo del significado de cada refrán en su contexto dado. Los componentes de estos refranes carecen de un significado de una forma independiente, por eso si se traducen de forma aislada se quedan vagos en la mayoría de los casos (Zuluaga, 1997, p.634).

- Para llegar a una buena traducción, el traductor tiene que estar bien informado de las dos culturas, tanto la del TO como la del TT; porque en este caso se considera como un mediador entre dos lenguas y culturas diferentes. Por lo tanto, el traductor tiene que estar consciente de que su forma de entender la cultura de la comunidad lingüística del texto antes de empezar el proceso de traducción, no es nada de lujo, sino es un paso esencial para que quien lea el texto después no sienta ninguna diferencia contextual exagerada entre el TO y el TT (Ramírez Jaimez, 2008, p.240).
- La traducción literal de los refranes, porque en este caso; el traductor puede alejarse del significado particular de estos enunciados culturales en su contexto original usando equivalentes inapropiados. Esta traducción literal en algunos casos puede resultar una confusión para el lector si no tiene una idea general respecto a la cultura del TO. De esta forma, el desafío en este caso es intentar lo máximo posible encontrar un equivalente que no sea el literal para conservar el valor léxico de estos refranes (Nida & Taber, 2003, p.113).

Papel del traductor

Newmark afirma que, en el proceso de traducción, el traductor necesita tener una serie de habilidades y conocimientos lingüísticos y extralingüísticos para poder transmitir el contexto cultural del TO en el TM. Para lo tanto, el traductor eficiente se considera como un segundo escritor del texto; por eso este traductor no lee el texto de una manera rápida, sino lee minuciosamente concentrando en los detalles para poder trasladarlos al texto traducido. De esta forma, cada traductor tiene que identificar primero, luego comprender todas las implicaturas existentes en el texto, analizarlas y después interpretarlas mediante los procedimientos de traducción apropiados a otra nueva lengua de un sistema lingüístico diferente (Newmark, 1991, p.28).

El autor demuestra que el traductor es un elemento activo e imprescindible en el proceso de la comunicación entre dos culturas, ya que es el mediador y el responsable de descodificar los mensajes entre los hablantes de dos lenguas y dos culturas diferentes. Por eso, tiene que aprovechar su competencia traductora para superar la diferencia lingüística entre los locutores. En nuestro caso de la traducción literaria, y sobre todo la traducción de los elementos que se consideran referentes culturales de una comunidad hablada, el traductor tiene que dominar bien las dos lenguas a nivel lingüístico y extralingüístico para producir una traducción coherente incluyendo todas las concepciones pragmáticas y socioculturales. Esto se debe a que la traducción de los elementos culturales requiere un alto grado de conocimiento de las dos lenguas, asimismo una inmersión completa de las culturas de estas lenguas.

Es importante subrayar que la eficiencia intelectual del traductor puede ser un factor importante en el proceso de traducción, ya que cada traductor tiene que manejar bien todos los recursos que tiene a mano, y los cuales le ayudarán a tener cumplida con éxito su tarea.

Técnicas de traducción

Las técnicas de traducción que utiliza cada traductor dependen de las características lingüísticas y extralingüísticas de cada texto. Estas técnicas siempre ayudan a los traductores a determinar las equivalencias adecuadas al contexto para las estructuras del TO, asimismo obtener los conectores apropiados para tener una buena traducción (Hurtado Albir, 2001, p.642).

Newmark presentó una propuesta de las técnicas que puede emplear un traductor literario al transmitir elementos de factores socioculturales. A continuación, abordamos estas técnicas (Newmark, 1995, p. 103):

- **Transferencia:** Empleamos esta técnica al querer transmitir un vocablo entre dos textos de diferentes lenguas. Estos vocablos pueden variar entre nombres geográficos, nombres de organismos, nombres de plazas y calles, etc.
- **Equivalencia:** Esta técnica se basa en transmitir una frase de noción cultural del texto original para una frase equivalente en el texto meta. Esta equivalencia puede ser cultural, funcional o descriptiva.
- **Naturalización:** Esta técnica se basa en adaptar a nivel fonético las palabras de una lengua a otra.
- **Traducción literal:** Utilizamos esta técnica cuando el traductor quiere transmitir literalmente una palabra de una lengua a otra. Esto es común y corriente al momento de traducir los nombres de instituciones y organismos internacionales.
- **Omisión:** Los traductores utilizan esta técnica cuando tienen que eliminar algunas palabras o combinaciones que se pueden traducir solo por una palabra.
- **Paráfrasis:** los traductores emplean esta técnica en algunos casos en vez de la traducción literal. Se basa en la explicación de una frase añadiendo unas palabras ampliando el significado para ser claro para el lector en el texto meta.
- **Notas a pie de página:** Se basa en poner información adicional al lector para explicar un elemento cultural, por ejemplo. Se pueden estar en paréntesis en el texto o notas a pie de página.
- **Modulación:** Se usa al hacer un cambio semántico respecto a una frase de una lengua a otro para poder tener la misma connotación del contexto del texto original en el texto traducido.
- **Transposición:** Esta técnica consiste en hacer un cambio gramatical de una frase del TO en el TT.

Análisis de los refranes

Para nuestro estudio, vamos a analizar los refranes sacados de la novela *Taxi* de Khaled Al Khamisi, publicada en el 2006 y traducida al español en el 2009 por Alberto Canto García y Khaled Musa Sánchez. Abordaremos la traducción de estos refranes al español para ver los procedimientos de traducción que han empleado los traductores para transmitir los refranes del árabe al español, también ver si el significado en el contexto sufre de algún cambio que pueda distraer al lector.

	Refrán en TO	Traducción	Técnica usada
1	يا أرض انهدى ما عليكي قدي (ص. 19) ¹	Vigilando las calles (p.13)	Error de traducción
<p>Traducción literal: Tierra, que te destruyes, no tienes a alguien como yo²</p> <p>Este refrán en el contexto árabe se utiliza como una metáfora de aire negativo al indicar a una persona arrogante como si fuera el único en el universo. Si vemos la traducción en español “vigilando las calles”, encontramos que los traductores no han conseguido tener un equivalente en español que da la misma connotación en el contexto árabe. La traducción en español no tiene nada que ver con la esencia del refrán en su lengua original, puesto que es una traducción errónea. Esta traducción errónea puede ser por una malinterpretación de este referente cultural en el texto original, por eso no se puede identificar el</p>			

¹ المعنى: *Egyptian Colloquial Arabic for the advanced learner*, Kamal Al Ekhnawy & Jamal Ali, 2011, p.162: مجازي سلبي لوصف شخص شايف نفسه ومغرور، فلما بيمشي بيكون كأن مفيش حد ماشي غيره

² La traducción literal de los refranes en la tabla de análisis es mi traducción

equivalente adecuado. En este caso, los traductores pueden utilizar la técnica de la traducción literal, y el significado quedará claro para indicar a las personas que tienen aire presumido.			
2	عمر الشقي بقي (ص.27) ¹	Hierba mala nunca muere (p. 18) ²	Equivalencia
<p>Traducción literal: la vida del travieso es larga</p> <p>El refrán en árabe se utiliza en el contexto para referir a una persona con malas acciones, el cual sufre de muchos accidentes y sale intacto, pero sigue igual con sus conductas. En este caso, los traductores han usado un equivalente en español que se usa en el mismo contexto “Hierba mala nunca muere” que es una variante de otro refrán en español “Bicho malo nunca muere”. Se aplica normalmente para referir a las personas de consabida maldad, que persisten en hacer daño y no están dispuestas a mejorar su conducta. Aquí tenemos una contrastación en culturemas entre los refranes, ya que en árabe se usa “عُمر” que es vida, mientras en español se usa el verbo “morir” que es el fin de una vida. Por eso, los dos refranes llevan la misma connotación contextual de ser una cosa difícil de cambiar.</p>			
3	المضطر يركب الصعب (ص.32) ³	Qué alguien a quien se le obliga a hacer algo lo pasa mal (p.21)	Paráfrasis
<p>Traducción literal: el obligado monta a lo difícil</p> <p>Este refrán se usa en el árabe para indicar que una persona ha de tomar una decisión con mucho riesgo por no tener más alternativas. Para pasar el refrán al español, los traductores no han utilizado un equivalente en español, sino han recurrido a la paráfrasis explicando la esencia contextual en el contexto de la LO de que el hombre a veces hace cosas en contra de sus convenciones para escapar de un apuro. En este caso, es digno mencionar que podemos usar un refrán en español que da la misma connotación en el contexto “Quién no se arriesga, no pasa la mar”⁴, ya que es necesario a veces arriesgar algo para conseguir lo que se desea.</p>			
4	حرص ولا تخون (ص.54) ⁵	Uno tiene que andar con ojo (p.35)	Equivalencia
<p>Traducción literal: Ten cuidado, y no pienses que los otros son traidores</p> <p>El refrán en árabe se usa en el contexto para advertir a una persona de tener cuidado al tratar con los otros para evitar cualquier tipo de consecuencias graves. Para transmitir el mismo significado en el contexto del texto objetivo, los traductores han utilizado una locución verbal de registro coloquial “andar con ojo”⁶ que se utiliza en español para expresar que alguien tiene que vivir prevenido o receloso. A pesar de que los traductores no han empleado un refrán equivalente en español, pero el significado queda claro de que cada uno tiene que andar con los ojos abiertos para no caer en cualquier trampa. Cabe mencionar que existe en español un refrán que da el mismo significado del refrán en árabe “El que avisa, no es traidor”⁷.</p>			
5	طبّاخ السم بيدوقه (ص.57) ⁸	Si hubiera sido por algo malo, no habría querido participar en ello	Paráfrasis

¹ Diccionario del habla de vida cotidiana, Mohamed Al Gohary, 2007, p.410: تعبير يطلق على الشخص الذي ينجو من الموت أو الحوادث أكثر من مرة

² <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58871&Lng=0> Consultado el 12/8/2022

³ Egyptian Colloquial Arabic for the advanced learner, Kamal Al Ekhnawy & Jamal Ali, 2011, p.34: ليس لديه خيار آخر لتحقيق ما يريد

⁴ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=59440&Lng=0> Consultado el 12/8/2022

⁵ Egyptian Colloquial Arabic for the advanced learner, Kamal Al Ekhnawy & Jamal Ali, 2011, p.55: يستخدم للنصيحة لتوخي الحذر في التعامل مع الآخرين

⁶ DRAE en línea: <https://dle.rae.es/ojo?m=form2#8B9NZpl> consultado el 18/8/2022

⁷ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58653&Lng=0> consultado el 18/8/2022

⁸ Egyptian Colloquial Arabic for the advanced learner, Kamal Al Ekhnawy & Jamal Ali, 2011, p.87: المعنى مجازي إيجابي لوصف إن اللي بيشتغل في مكان لازم ينوبه فايد له علاقة مباشرة، يعني يجرب على الأقل اللي بيعمله، يعني اللي بيشتغل طبّاخ مثلاً في فندق لازم يدوق الأكل اللي بيقدّمه للزباين

Traducción literal: El cocinero del veneno tendrá que probarlo

Este refrán es muy usado en el árabe, ya que se utiliza para indicar que cualquier persona quien administra una cosa, hay que tener algún beneficio personal. El culturema núcleo en el refrán en árabe es (طباخ) que está relacionado con el verbo en el mismo refrán (يدوق), ya que es norma que el cocinero prueba la comida antes de presentarla a los clientes. La traducción realizada del refrán en el texto español no da la misma carga semántica en el contexto de la unidad en el TO. Los traductores han recurrido a la paráfrasis para transmitir el refrán al español explicando el significado de que la persona ha participado en algo, porque sabe que va a tener algún interés. Cabe resaltar que en español existe un refrán equivalente que da el mismo significado en el contexto “A quien anda con miel, miel se le pega”¹ que se utiliza para aludir a lo difícil que resulta comportarse con rectitud en la gestión de bienes o intereses ajenos, ya que es normal que su administrador obtenga algún beneficio personal.

6	إن عرف السبب بطل العجب (ص.57) ²	Ahora que ya lo sé, no me extraña (p.36)	Paráfrasis
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Traducción literal: Si sabemos la razón, dejamos de sorprendernos

El refrán en árabe es muy usado, ya que se utiliza en el contexto para describir nuestro estado curioso al querer saber algo; y al saber la razón dejamos de preguntar y de extrañar. Los traductores han recurrido a la paráfrasis para llevar el significado al lector de que cuando descubrimos lo desconocido, dejamos de sorprender e interrogar. No usar un refrán equivalente en este caso, no afecta a la comprensión de la unidad en el contexto en español.

7	اللي بيته من قزاز ما يحدفش الناس بالطوب (ص.64) ³	El que tiene casa de cristal, no debe tirar ladrillos a la gente (p.40)	Equivalencia
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Traducción literal: Quién tiene casa de vidrio, no hay que tirar ladrillos a la gente

Este refrán en árabe se usa en el contexto para advertir a una persona débil para no atacar o va en contra de personas con poder, porque al fin se quedará derrotado. También, lo podemos usar en un contexto dando un consejo a alguien de no criticar a los otros por algo, sobre todo si esta persona lo ha hecho antes. Los dos culturemas en árabe (قزاز) و (الطوب) son el núcleo del refrán, ya que podemos usar las piedras o los ladrillos para romper el cristal. Para transmitir este refrán al español, los traductores han utilizado un refrán equivalente que tiene la misma connotación funcional y semántica en el contexto “El que tiene casa de cristal, no debe tirar ladrillos a la gente”⁴ que se usa para indicar a quien tiene faltas, no tiene que criticar a los demás. El refrán en español tiene también los culturemas “cristal” y “ladrillos” como el refrán en árabe.

8	إمشي عدل يحدف عدوك فيك (ص.65) ⁵	Camina recto y perturbarás a tu enemigo (p.42)	Traducción literal
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El refrán en árabe se utiliza en el contexto de disputas o confrontación entre dos personas, ya que se considera como un consejo de comportarse bien evitando cualquier tipo de errores o faltas para no dar la oportunidad a otra persona de dejarnos caer en sus trampas. Los traductores no han encontrado un refrán equivalente en español, por eso han recurrido a la traducción literal del refrán “Camina recto y perturbarás a

¹ <https://cvc.cervantes.es/lengua/refranero/Ficha.aspx?Par=58113&Lng=0> consultado el 18/8/2022

² *Egyptian Colloquial Arabic for the advanced learner*, Kamal Al Ekhnawy & Jamal Ali, 2011, p.15: المعنى حرفي: يعني أي شيء بنعرف سبب حدوثه ما بنستغريش منه

³ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.46): من كانت داره من زجاج فمن الحكمة ألا يرمى الناس بالحجارة؛ لأنهم يقابلونه بمثلها فتتحطم داره، والمراد أنه ينبغي للضعيف ألا يتعرض لما لا يستطيع دفعه فيسبب لنفسه الضرر

⁴ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58680&Lng=0> consultado el 20/8/2022

⁵ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.84): ومعناها: الاستقامة في السير. والمراد هنا: الزم الاستقامة في أمورك تُحَيِّرْ عدوك وتسد في وجهه سبيل الطعن فيك والتَّيْل منك.

tu enemigo”. La traducción literal en este caso no afecta al significado del refrán en el contexto árabe, ya que el mensaje queda claro de alejarse de lo malo, para evitar las conspiraciones de los otros.

9	الدنيا دولاب داير (ص.67) ¹	La vida tiene sus altibajos (p.43)	Paráfrasis
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Traducción literal: la vida es una rueda circulante

Este refrán se emplea en el contexto del texto en árabe para indicar que la vida no va siempre en el mismo recto, es decir, un día bueno y otro malo. Este refrán en árabe se puede decir por otras formas como: ² يوم لك (يوم عليك) y (الدنيا بدل: يوم عسل ويوم بصل)³. Todas estas formas expresan la misma concepción de la inestabilidad de la vida. Los traductores han transmitido este refrán al español mediante la paráfrasis, por eso han utilizado la palabra “altibajos”⁴ que es una referencia a la alternancia de los sucesos prósperos y adversos en un orden de cosas. Los dos culturemas (دولاب داير) y (altibajos) expresan la misma concepción de la inestable que es la vida. En este caso, hay que subrayar que existe un refrán en español que da el mismo significado del refrán en árabe “Pan para hoy, y hambre para mañana”⁵ que se usa ante la inestabilidad de los bienes, por eso hay que ser precavidos.

10	الصبر مفتاح الفرج (ص.74) ⁶	La paciencia es la llave de la felicidad (p.47)	Traducción literal
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Este refrán se usa mucho en árabe, sobre todo en los momentos difíciles o catastróficos para animar a una persona de persistir siguiendo en sus esfuerzos, ya que al fin todo se arreglará. Los traductores no han empleado un refrán equivalente en español, sino han traducido el refrán en árabe literalmente “La paciencia es la llave de la felicidad”. Pese a esta traducción literal, sigue claro el mensaje que lleva el contexto para el lector. Cabe mencionar que existe en español refranes que se emplean en el mismo contexto para recomendar no impacientarse, porque muchas cosas se obtienen al cabo del tiempo y de muchos esfuerzos entre ellos: “Con paciencia todo se logra”⁷ y “A cualquier dolencia es remedio la paciencia”⁸.

11	قدم السبت تلاقي الحد (ص.74) ⁹	Hoy por ti, mañana por mi (p.47)	Equivalencia
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Traducción literal: Presenta el sábado, encuentras el domingo

Este refrán se emplea en el contexto en árabe cuando queremos indicar a una persona que, para cosechar, tiene que sembrar. Es decir, cada uno tiene que echar la mano a los otros cuando lo necesitan, para que le ayuden después. Los traductores han utilizado un refrán equivalente en español que da el mismo significado “Hoy por ti, mañana por mí”¹⁰, ya que el refrán en español se usa para resaltarse que bien ayudarse y complacerse unos a otros, sin olvidar que es natural la correspondencia en nuestra vida diaria.

12	اللي إيده في الميه مش زي اللي إيده في النار (ص.74) ¹¹	No es lo mismo verlo desde fuera que desde dentro (p.47)	Paráfrasis
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Traducción literal: Quién tiene la mano en el agua no es como el que la tiene en el fuego

¹ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.204): والمراد: الدنيا كدولاب الماء الدائر يرفع الكيزان، ثم يخفضها، وهي كذلك للخلق في الرفع والخفض

² الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.491)

³ Ibid., p. 491

⁴ DRAE en línea: <https://dle.rae.es/altibajo?m=form2> consultado el 20/8/2022

⁵ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=59274&Lng=0> consultado el 20/8/2022

⁶ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.257): حكمة جرت مجرى الأمثال عندهم للحث على الصبر على الشدائد

⁷ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58372&Lng=0> consultado el 20/8/2022

⁸ Ibid., consultado el 20/8/2022

⁹ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.257): المرء مَجْزِيٌّ بعمله إن خيرًا فخير وإن شرًا فشر

¹⁰ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58823&Lng=0> consultado el 20/8/2022

¹¹ الأمثال العامية مشروحة ومرتبطة حسب الحرف الأول من المثل مع كشاف موضوعي. القاهرة: مركز الأهرام للترجمة، أحمد تيمور، 2007، الطبعة الخامسة

<p>Este refrán se usa en el contexto para indicar que nadie puede sentir lo que uno está pasando por no ser en la misma situación. También, se puede utilizar en otro contexto para no criticar las decisiones de los otros en algún momento, ya que no sabemos todo lo que ha pasado. Los traductores han recurrido a la paráfrasis explicando el significado del refrán “no es lo mismo verlo desde fuera que desde dentro”, pero el significado queda claro al fin de que nosotros no tenemos los mismos puntos de vista respecto al mismo asunto. En este caso, es digno subrayar que en español existe un refrán equivalente en español al refrán en árabe “Bien juega quien mira”¹ que se emplea para indicar a las personas que solo pretenden dar lecciones sin comprometerse ni cooperar.</p>			
13	إعمل الخير وارميه البحر (ص.74) ²	Al que hace el bien, la vida se lo devuelve (p.48)	Paráfrasis
<p>Traducción literal: Haz el bien y échalo al mar</p> <p>Este refrán se utiliza en árabe al aconsejar a alguien de hacer el bien sin esperar nada de cualquier persona, ya que en algún momento todo el bien que hemos hecho, nos va a devolver. Para transmitir este refrán al español, los traductores no lo han hecho de forma literal “haz el bien y échalo al mar”, tampoco han utilizado un equivalente, sino han traducido la esencia del significado del refrán en el contexto mediante la técnica de la paráfrasis “Al que hace el bien, la vida se lo devuelve” que significa quien hace bien, será compensado. En español existe un equivalente que da el mismo significado en el contexto del refrán en árabe “haz el bien y no mires a quien”³, el que se usa normalmente para animar a las personas de hacer el bien de forma desinteresada y sin esperar nada de nadie.</p>			
14	صاحب بالين كداب (ص.76) ⁴	Quien mucho abarca, poco aprieta (p.49)	Equivalencia
<p>Traducción literal: Quién tiene dos preocupaciones es mentiroso</p> <p>Este refrán se utiliza en el árabe en un contexto con el fin de aconsejar a alguien de solo concentrar una cosa para terminarla bien, luego puede hacer otra, ya que al hacer más de una cosa a la vez nos puede llevar unos resultados incompletos e insatisfechos. Para transmitir el mismo significado al español, los traductores han utilizado un refrán equivalente “Quien mucho abarca, poco aprieta”⁵ que se utiliza en español para indicar a quien, al intentar de realizar varias cosas a un tiempo, no desempeña bien ninguna de las dos. Asimismo, lo podemos aplicar al esfuerzo que, por estar dividido en varios asuntos a la vez, no sale como debiera y no avanzamos en ninguno.</p>			
15	قالوا للأعور حنضربك على عينك قال: أهي خسارته (ص.93) ⁶	Ya no saben cómo machacarnos más (60)	Paráfrasis
<p>Traducción literal: Dijeron al tuerto: vamos a pegar tu ojo. Ha dicho, está malhecha</p> <p>Este refrán se usa en el árabe al indicar que hacer una cosa no resultara nada nuevo. También uno lo puede</p>			

¹ <https://cvc.cervantes.es/lengua/refranero/Ficha.aspx?Par=58271&Lng=0> consultado el 28/8/2022

² الأمثال العامية. أحمد تيمور باشا. مؤسسة هندواوي، 2014 (ص.34): هو مُبالَغَة في الحث على عمل الخير ولو كان ضائعًا عند من صنَّع معه. وبعضهم يرويه: جاري إن ضاع عند العبد ما يُصعق عند الباري

³ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58807&Lng=0> consultado el 2/9/2022

⁴ الأمثال العامية. أحمد تيمور باشا. مؤسسة هندواوي، 2014 (ص.273): ويروى (أبو بالين) والمعنى واحد، والمراد (ما جعل الله لرجل من قلوبين). ويعهم يزيد فيه: (صاحب ثلاثة منافع)

⁵ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=59420&Lng=0> consultado el 2/9/2022

⁶ الأمثال العامية. أحمد تيمور باشا. مؤسسة هندواوي، 2014 (ص.281): أي: تالفة على أي حال، سواء رب عليها أم لم يضرب. يضرب في العقاب الذي لا يفيد، وكذلك في الأمر يحاول إفساده وهو فاسد من قبل

utilizar para indicar su diferencia hacia algo, es decir, que va a haber más de lo que ha visto o de lo que ha sufrido. Los traductores no han utilizado un equivalente en español, tampoco no lo han traducido de forma literal, sino han recurrido a la paráfrasis explicando el significado del refrán en árabe “Ya no saben cómo machacarnos más” que no da la misma concepción del refrán en el contexto árabe, pero el significado es cerca, ya que en el contexto del texto original incita un sentimiento de humillación o indiferencia absoluta hace lo que está pasando mediante el uso del verbo “machacar” en la frase en español enfatiza la carga semántica.

16	الغربال الجديد له شدة (ص.93) ¹	Nuevo rey, nueva ley (p.60)	Equivalencia
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Traducción literal: El nuevo tamiz está bien ajustado

Este refrán se utiliza en el árabe para referir a que las cosas nuevas siempre tienen su aurora que dura un tiempo sea largo o corto hasta que aparezca otra, la cual empieza recibir nuestro interés. También, lo podemos usar al indicar a los nuevos responsables quienes siempre comienzan el trabajo nuevo con decisiones severas, pero con el paso del tiempo todo vuelve a ser como antes. Para transmitir este refrán al español, los traductores han utilizado un refrán equivalente “Nuevo rey, nueva ley”² el cual alude que es normal que resulten cambios o nuevos reglamentos cuando se produce un cambio de poder, por lo que es recomendable adaptarse a ellos lo antes posible.

17	إن فاتك الميري اتمرغ في ترابه (ص.129) ³	Si pierdes ese trabajo, pierdes un chollo (p.85)	Paráfrasis
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Traducción literal: Si te pasa lo militar, envuélvete en su polvo

Este refrán en árabe siempre se utiliza en el contexto de animar a los jóvenes recién graduados de intentar lo máximo para obtener un trabajo en el sector público, ya que es más estable que el privado. El culturema “الميري” es una referencia cultural arraigada y típica de la cultura y sociedad egipcia, ya que es un referente al gobierno o al ejército. Por ser un factor cultural de la lengua original, los traductores no tienen equivalente en español, por lo tanto, han utilizado la paráfrasis transmitiendo el significado del refrán a “Si pierdes ese trabajo, pierdes un chollo” que nos da la concepción de intentar conseguir este tipo de trabajos para salir ganando. El uso de la palabra “chollo” en la traducción en español incita la misma connotación de ser una cosa valiosa o apreciable, por eso no se debe perder la oportunidad de obtenerla.

18	من خاف، سلم (ص.129) ⁴	Pies para qué os quiero (p.83)	Paráfrasis
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Traducción literal: Quién tenga miedo, saldrá intacto

Este refrán se utiliza en árabe en el contexto para resaltar que en algunos momentos tener miedo no es algo malo, sino es una manera que te impide hacer cosas que te pueden llevar malas consecuencias. En otro contexto, lo podemos usar para aconsejar a alguien de pensar bien antes de tomar cualquier decisión, para no arrepentirse después. En español tenemos un refrán equivalente al refrán en árabe, el cual incita la misma concepción semántica en el contexto “Mejor precavido, que arrepentido”⁵ que no alega a las personas de ser miedosos, sino de estar bien preparados antes de tomar un paso en un asunto. También existe otro equivalente “el que avisa no es traidor”. Los traductores no han utilizado ninguno de estos equivalentes

¹ له علاقة يناط بها إذا انتهى العمل به، فإذا قدم تقطعت هذه العلاقة وصار يركن إلى الحائط. وبعضهم يروي له (شدة) والمراد: لكل جديد لذة الأمثال العامة. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.327):

² <https://cvc.cervantes.es/lengua/refranero/Ficha.aspx?Par=59243&Lng=0> consultado el 2/9/2022

³ الأمثال العامة. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.98): الميري صوابه الأميري، ويريدون به الدولة ومناصبها؛ أي: إذا فاتك الاستخدام في هذه المناصب فلا تفتها أنت ولو بالتمرغ في ترابها، فإن العز فيها لا في سواها، وهو مما قيل في زمن كانوا لا يكبرون به إلا الحكام لسلطوتهم واستبدادهم

⁴ الأمثال العامة. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.434): معناه ظهر، عدم الوثوق في ظاهر الأشياء يؤدي إلى النجاة

⁵ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58653&Lng=0> consultado el 9/9/2022

<p>antes mencionados, sino han empleado una frase jocosa, una locución verbal, que se emplea en el español cuando la persona quiere huir velozmente de una situación por miedo o por vergüenza “Pies para qué os quiero”¹. Los traductores han hecho una traducción según la reacción del narrador en una situación con un taxista que está quejando de todo, por eso el narrador decide bajar para no estar enrollado en esto como viene en el texto:</p> <p>وبدأ الزحام يخف تدريجيا وخفت أنا من الإستمرار معه، وقلت لنفسى (من خاف سلم) ونزلت أبحث عن تاكسي آخر²</p> <p>“Además no hay un solo taxista en Egipto capaz de decirle cuánto gana. Todo depende de Dios. El atasco empezó a disminuir gradualmente, y como tenía miedo de seguir con este taxista, me dije a mí mismo «pies para qué os quiero», me bajé y busqué otro”³</p>			
19	هم يضحك وهم يبكي (ص.132) ⁴	Las penas a veces nos hacen reír y a veces nos hacen llorar (p.85)	Traducción literal
<p>Este refrán se emplea en el árabe para referir a una situación donde se mezclan la alegría con la tristeza, y que a veces la persona está desesperada por algo, pero en un momento esta desesperación se convierte en una farsa. En otros casos, lo podemos usar para animar a una persona dejándole claro que la vida nos trae felicidad y pesares. Para transmitir este refrán al español, los traductores han recurrido a la traducción literal “Las penas a veces nos hacen reír y a veces nos hacen llorar”. A pesar de esta traducción literal, el significado queda comprensible en el contexto del texto en español, dando la concepción de que la vida es un ciclo de altibajos. En español, podemos encontrar un refrán equivalente que da el mismo significado en el contexto “Alegrías y pesares te vendrán sin que los busques”⁵, el que indica que no podemos vivir solo momentos tristes, sino también podemos tener uno feliz.</p>			
20	اللي أوله شرط أخره نور (ص. 157) ⁶	Vamos a acordarlo ahora para que luego no haya malentendidos (p.101)	Paráfrasis
<p>Traducción literal: Lo predeterminado, tiene luz en el fin</p> <p>Este refrán se emplea en el árabe cuando dos personas van a ser socios en un proyecto, es decir, como un acuerdo tácito de que lo que van a decir es lo que van a cumplir. También, se usa en el contexto del matrimonio, ya que cuando uno quiere pedir la mano de una chica, siempre lo utilizan antes de acordar sobre lo que va a traer el novio de oro, muebles, etc. Los traductores no han utilizado un equivalente en español para dar la misma connotación, sino han recurrido a la paráfrasis “Vamos a acordarlo ahora para que luego no haya malentendidos” explicando el significado del refrán en árabe. Cabe mencionar en este caso que existe un refrán equivalente en español que da el mismo significado en el contexto “Quién avisa no es traidor”⁷ que se utiliza para advertir a alguien que tiene que respetar lo acordado para no atenerse a consecuencias inesperadas.</p>			
21	الجنزة حارة والميت كلب (ص.171) ⁸	El funeral fue muy tenso, pero trataron a los muertos como a perros (p.110)	Error de traducción
<p>Traducción literal: El funeral está tenso, y el muerto es un perro</p>			

¹ <https://deleahora.com/diccionario/pies%2C-para-qu%C3%A9-os-quiero> consultado el 9/9/2022

² 129 رواية تاكسي، خالد الخميسي، دار الشروق، 2006، ص.

³ Taxi, traducida por Alberto Canto García y Khaled Musa Sánchez, 2009, Almuzara, p.83

⁴ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.460): يقال في المناسبات التي يختلط فيها الحزن على النفس مع الاستهزاء بما الت إليه الأمور

⁵ <https://cvc.cervantes.es/lengua/refranero/Ficha.aspx?Par=58195&Lng=0> consultado el 12/9/2022

⁶ Egyptian Colloquial Arabic for the advanced learner, Kamal Al Ekhawwy & Jamal Ali, 2011, p.121: المعنى مجازي للتنبيه أو التذكير على أن الأمور لازم تكون واضحة. يستخدم في سياق الإتفاق المسبق قبل بدء مشروع، شراكة أو زواج

⁷ <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58653&Lng=0> consultado el 13/9/2022

⁸ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.157): يضرب في الاهتمام بمن لا يستحق

Este refrán se utiliza en el árabe cuando vemos a uno que da mucho interés a unas personas que no lo merecen. También se puede emplear para resaltar un grado de exageración respecto a un asunto normal y corriente. Los traductores han intentado traducir este refrán del árabe al español de una forma literal, sí han tenido éxito en la primera parte del refrán “El funeral fue muy tenso”, pero la segunda parte ha salido errónea y no tiene nada que ver con el significado del refrán en el contexto del TO “pero trataron a los muertos como a perros”, ya que podemos entender que la gente trata a las personas muy mal como los animales, sino el refrán en árabe quiere decir que el muerto no es una persona importante. Si queremos traducir este refrán literalmente, va a ser “El funeral fue tenso, y el muerto es un perro”

22	إيش ياخذ الريح من البلاط (ص.178) ¹	De donde no hay, no se puede sacar (p.114)	Equivalencia
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Traducción literal: ¿Qué puede tomar el viento del suelo?

Este refrán se usa en el contexto para referir a una persona en blanco, el quien no posee nada, por eso nadie puede ganar nada de él. También podemos usar este refrán como una respuesta a alguien que no tiene nada importante, y siempre alega que los otros le envidian, por eso siempre está muy mal. Los traductores han transmitido este refrán del árabe usando un equivalente en español que da la misma carga en el contexto “De donde no hay, no se puede sacar”² que se emplea en una situación comunicativa como una respuesta por lo evidente que es la falta de algo. En otro caso, lo podemos utilizar para referir a alguien de inteligencia modesta.

23	يضرِبُ عصفورين بحجر (ص.194) ³	Matar dos pájaros de un tiro (p.124)	Equivalencia
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Traducción literal: Pegar dos pájaros con una piedra

El refrán en árabe se utiliza en el contexto para referir a una persona que llega a realizar dos cosas al mismo tiempo. El traductor lo ha transmitido a un equivalente total en español que tiene el mismo significado y la misma forma en el contexto del TO “*matar dos pájaros de un tiro*”⁴ como viene en el DRAE “hacer o lograr dos cosas de una vez”. El uso del culturema “pájaro” en el refrán en árabe y en español puede ser un símbolo del valor realizado, ya que no es una tarea fácil matar dos pájaros al mismo tiempo con solo un tiro. Por eso, la metáfora aquí es un reflejo de realizar algo enorme con solo un golpe. En otro caso, podemos usarlo como una indicación a la eficiencia de una persona al estar en una situación difícil de manejar.

Conclusiones

Después de estudiar todos los refranes sacados de la novela *Taxi* de Khaled Al Khamisi y su traducción al español por Khaled Musa Sánchez y Alberto Canto García, vemos que las técnicas de traducción utilizadas en esta categoría de refranes culturales de del árabe al español son las siguientes: la paráfrasis, la equivalencia, la traducción literal. En dos casos, podemos notar una traducción errónea por no interpretar bien el refrán en el contexto del texto original en árabe. Hemos estudiado 23 refranes, las cuales vamos a dividir depende de la técnica usada:

¹ الأمثال العامية. أحمد تيمور باشا. مؤسسة هنداوي، 2014 (ص.115): أي لا يجني الغريم من المفلس إلا الخيبة، فخير ألا يقاضيه

² <https://cvc.cervantes.es/lengua/refranero/ficha.aspx?Par=58444&Lng=0> consultado el 13/9/2022

³ معجم التعبير الإصطلاحي في العربية المعاصرة. محمد داوود، 2003 (ص.342): حقق فائدتين بعمل واحد: شبه من يحقق هدفين في ان واح بصياد يصيد عصفورين برمية حجر واحد

⁴ DRAE en línea <https://dle.rae.es/p%C3%A1jaro?m=form2#8XiFXtj> consultado el 13/9/2022

Técnica	Total de refranes
Paráfrasis	10
Equivalencia	8
Traducción literal	3
Error de traducción	2
Total	23

De esta forma, podemos notar que los procedimientos de traducción más usados en la traducción de los refranes son la paráfrasis y la equivalencia seguidamente. De los 23 refranes, encontramos que los traductores han recurrido en primer lugar a la paráfrasis en 10 refranes donde no se usa un equivalente, sino los traductores han explicado el significado del refrán. En segundo lugar, viene la equivalencia con 8 refranes, donde los traductores han utilizado unos refranes equivalentes en su lengua que dan la misma connotación del refrán el contexto del texto original. En tres casos, los traductores han transmitido los refranes literalmente, pero el significado queda claro para el lector. Cabe mencionar que en dos casos aparecen una traducción errónea del refrán en español. Podemos justificar el error de traducción por no poder interpretar bien estos dos refranes en el contexto en árabe, por eso al momento de transmitirlos al español salen erróneos, lo cual puede producir una confusión en el lector.

La denominación de la paráfrasis y la equivalencia en la traducción de los refranes puede ser un resultado de la naturaleza sociocultural de los refranes, ya que transmitir estas unidades de factor cultural y social no se puede considerar una transferencia de palabras o significado carente de una lengua a otra, sino es un proceso de transferencia cultural entre dos mundos diferentes. Por eso, para decir que los traductores han tenido éxito en su tarea, los lectores no tienen que sentir que leen una traducción.

Al final, y desde nuestro punto de vista, podemos resaltar que el traductor tiene que conocer profundamente las diferencias que existen entre las culturas de la lengua original y la lengua meta para poder ser un buen mediador entre dos comunidades habladas diferentes a nivel lingüístico y extralingüístico. También, tiene que estar bien informado de las teorías de la traducción para tener la capacidad eficiente de escoger la estrategia de traducción adecuada al contexto con el fin de llevar un texto reescrito al lector, y no solo una mera traducción.

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**PROBLEMI DI TRADUZIONE DEGLI STUDENTI DEL DIPARTIMENTO D'ITALIANISTICA
DI MISR UNIVERSITY FOR SCIENCE AND TECHNOLOGY: UNO STUDIO PRATICO**
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Abstract: Translation is an advanced activity in the use of language that requires different language skills. In this article we will address the necessary translation skills, the teaching of this activity and show the curriculum applied in our Department of Italian Language of Misr University for Science & Technology. We will put in place a practicing test in which some students who have a good level and are in the fourth year (2021/2022) to perform translation exercises. Following the execution of these exercises, I examined their skills and their acceptability in practicing translation and to what extent the current curriculum helps them practice translation. There will be a description of the students' performance and an overall assessment of their tests in each exercise. Among the results, the importance of increasing the teaching load of translation in the curriculum stands out in order to increase vocabulary and enhance students' linguistic competence which must be improved and strengthened; and the existence of weaknesses and insufficiencies in the cognitive abilities that are the basis of the practice of their translation, for this reason it is necessary to correct these weak points through the execution of some exercises that promote such abilities.

Keywords: linguistic problems, translation, Italian studies

Abstract: La traduzione è un'attività avanzata nell'uso della lingua che richiede diverse competenze linguistiche. In questo articolo affronteremo le necessarie capacità di traduzione, l'insegnamento di questa attività ed esporremo il curriculum applicato nel nostro Dipartimento di Lingua Italiana dell'Università di Misr per le Scienze & Tecnologia. Metteremo in atto una prova praticante in cui alcuni studenti che hanno un buon livello e sono al quarto anno (2021/2022) a fare degli esercizi traduttivi. Seguito all'esecuzione di questi esercizi, ho esaminato le loro capacità e la loro accettabilità nell'esercitare la traduzione e in che misura il curriculum attuale li aiuta a esercitarsi nella traduzione. Ci sarà una descrizione della performance degli studenti e una valutazione generale delle loro prove in ogni esercizio. Tra i risultati, spicca l'importanza di aumentare il carico didattico della traduzione nel curriculum per aumentare il vocabolario e potenziare la competenza linguistica degli studenti che deve essere migliorata e rafforzata; e l'esistenza di debolezze e insufficienze delle capacità cognitive che sono alla base della pratica della loro traduzione, per questo motivo è necessario correggere queste mancanze attraverso l'esecuzione di alcuni esercizi che promuovono tali capacità.

Keywords: problemi linguistici, traduzione, italianistica

Problems in translation of the students of Italian Department at Misr University for Science and Technology: An applied study

Translation is an advanced activity in the use of language that requires different language skills. In this article we will address the necessary translation skills, the teaching of this activity and show the curriculum applied in our Department of Italian Language of Misr University for Science & Technology. We will put in place a practicing test in which

some students who have a good level and are in the fourth year (2021/2022) to perform translation exercises. Following the execution of these exercises, I examined their skills and their acceptability in practicing translation and to what extent the current curriculum helps them practice translation. There will be a description of the students' performance and an overall assessment of their tests in each exercise. Among the results, the importance of increasing the teaching load of translation in the curriculum stands out in order to increase vocabulary and enhance students' linguistic competence which must be improved and strengthened; and the existence of weaknesses and insufficiencies in the cognitive abilities that are the basis of the practice of their translation, for this reason it is necessary to correct these weak points through the execution of some exercises that promote such abilities.

Keywords: linguistic problems, translation, Italian studies

1-Introduzione

Quando si parla dell'acquisizione di una lingua, si intende un'abilità; e la competenza linguistica del traduttore riferisce alla misura in cui è abile nell'uso della lingua. La competenza consiste in diverse abilità e la competenza del traduttore è la somma delle abilità che possiede, e il livello della sua competenza nell'uso di queste abilità. Questo significa che la competenza del traduttore non è misurata solo dalla dimensione delle sue abilità, ma nella misura in cui è abile nell'usarle, e l'efficienza è raggiunta attraverso la produzione di un'attività praticabile e osservabile. La competenza del traduttore consiste in tre elementi fondamentali: l'elemento cognitivo, l'elemento della sua abilità e l'elemento emotivo; e dipende da una serie di pilastri, la più importante delle quali è la sua capacità di:

- 1- Trasformare il contenuto di conoscenze e competenze in risultati e output professionali e comportamentali;
- 2 - Beneficiare delle esperienze maturate nel portare a termine il lavoro e le mansioni al meglio e nel minor tempo possibile;
- 3- Utilizzo delle risorse di formazione continua e autovalutazione.

In questo articolo cerchiamo di esaminare e valutare la capacità o la disponibilità degli studenti del Dipartimento di esercitare la traduzione, diagnosticare i problemi e gli ostacoli che affrontano e proporre soluzioni per superare le carenze che appariranno nel provvedimento degli studenti. In generale, gli studenti studiano diverse materie di traduzione durante i quattro anni accademici, ma in che misura aiutino gli studenti a esercitarsi nella traduzione? Questa è considerata una fase avanzata dell'uso della lingua, pertanto richiede diverse abilità da parte degli studenti che intendono a seguire questo percorso.

Per quanto riguarda la metodologia, questo articolo comprende due parti principali: la prima costituisce la base teorica della materia e incorpora le capacità di traduttore, l'insegnamento della traduzione e il curriculum applicabile nel Dipartimento; e il secondo comprende l'esperimento svolto dagli studenti. I passaggi metodologici che stiamo sviluppando in questo articolo sono:

- a) indirizzare le competenze necessarie al traduttore; il processo di insegnamento di questa attività e l'attuale curriculum applicato nel dipartimento;
- b) studiare empiricamente la capacità e l'accettabilità degli studenti di praticare la traduzione assegnando alcuni esercizi ad alcuni studenti che hanno un buon livello nella lingua. Attraverso questi esercizi, si presume che saremo in grado di avere un'idea o un indicatore circa la possibilità o la capacità degli studenti verso l'acquisizione/pratica della traduzione. Faremo una riflessione critica sulle prestazioni degli esercizi da parte degli studenti. Inoltre, discuteremo il curriculum utilizzato nel Dipartimento riguardo alla

traduzione. Il corso del Dipartimento di d'Italianistica dell'Università MUST è composto da quattro livelli/otto semestri, in cui viene insegnato l'Italiano fin dall'inizio (fase alfabetica), oltre ad altre materie letterarie, linguistiche, e la traduzione.

2- Competenze

La traduzione richiede diverse competenze ed abilità che il traduttore deve possedere. Queste abilità possono essere sviluppate negli studenti attraverso l'esecuzione degli esercizi ripetutamente fino a raggiungere un livello soddisfacente delle abilità esercitate, poiché ogni esercizio ha l'obiettivo di migliorare una o più abilità. Gli studenti nei programmi di formazione svolgono gli esercizi in classe e anche in modo indipendente, poiché l'orario della lezione è limitato.

Prima di entrare nelle competenze traduttive necessarie, riteniamo opportuno definire la competenza all'interno del contesto traduttivo. L'obiettivo principale della traduzione è quello di consentire la comprensione del contenuto e di evitare incongruenze linguistiche e culturali.

Tanti autori che hanno parlato di competenza traduttiva non possono dare una definizione diretta. Il linguista Bell (1991: 38-41) propone che la competenza traduttiva può delineata in tre prospettive:

- 1- una competenza bilingue ideale che considera chi traduce un sistema idealizzato impeccabile;
- 2- un sistema esperto, che poggia su una base di conoscenze e su un meccanismo di inferenza;
- 3- una competenza comunicativa, che comprende componenti grammaticali, sociolinguistiche, di discorso e strategiche.

Da questa prospettiva si risulta che:

- la competenza traduttiva abbisogna altre competenze oltre quelle linguistiche (conoscenze, abilità, capacità, attitudini);
- la competenza traduttiva comprende elementi diversi (conoscenze linguistiche ed extralinguistiche, capacità di documentazione, abilità nell'uso di strumenti, competenza di transfer, ecc.);
- c'è una differenza tra la traduzione diretta e la traduzione inversa (cfr. Hurtado Albir 2015: 258).

Un altro modello della competenza traduttiva, suggerito da Hurtado Albir (2017), sottopone 5 sotto-competenze:

- A- Una sotto-competenza bilingue: conoscenze principalmente procedurali richieste per comunicare tra due lingue.
- B- Una sotto-competenza extralinguistica: conoscenze principalmente dichiarative sia implicite che esplicite riguardo il mondo in generale.
- C- Una sotto-competenza sulla traduzione: conoscenze principalmente dichiarative sia implicite che esplicite riguardo la traduzione e gli aspetti della professione.
- D- Una sotto-competenza strumentale: conoscenze principalmente procedurali relative all'uso delle fonti di documentazione e delle tecnologie per la traduzione.
- E- Una sotto-competenza strategica: conoscenze principalmente procedurali richieste per accertarsi dell'efficienza dei processi traduttivi e per risolvere eventuali problemi.

Accanto a queste sotto-competenze si associano altri elementi psicofisiologici: componenti cognitive come memoria, percezione, attenzione, emozione; aspetti attitudinali come curiosità intellettuale, perseveranza, rigore, spirito critico, conoscenza e fiducia nelle proprie capacità, conoscenza dei propri limiti, motivazione; meccanismi

psicomotori; abilità come creatività, ragionamento logico, analisi, sintesi (PACTE¹ 2003: 58).

Gli studi del Gruppo PACTE concedono di concludere i punti seguenti:

- la competenza traduttiva è una competenza acquisita distinta dalla competenza bilingue;
- la competenza traduttiva influenza il processo traduttivo e il suo prodotto (qualità della traduzione);
- la sotto-competenza strategica è fondamentale.

All'interno della competenza linguistica del traduttore, spicca la comprensione dell'input (della lingua di partenza) perché è essenziale per svolgere le altre fasi del processo traduttivo. Quindi, conviene sapere come si andranno a strutturare le unità linguistiche per ottenere un discorso coerente e logico e la capacità di trasferire rapidamente il senso dalla lingua di partenza a quella di arrivo. Nella fase di comprensione, è essenziale che il traduttore abbia cultura generale, enciclopedica e conoscenze di base.

2. Didattica

La traduzione può essere acquisita attraverso corsi sistematici di formazione per traduttori o attraverso l'apprendimento autonomo, ovvero lo studente stesso svolge gli esercizi in modo autonomo. E per iscriversi a un corso di formazione o avviare una formazione individuale, lo studente deve possedere le competenze sopra menzionate affinché il processo di apprendimento non venga meno, oltre a utilizzare i supporti tecnologici che promuovono e accelerano il processo di apprendimento. La tecnologia è un fattore essenziale in questo processo, pertanto le facoltà o gli istituti in cui si insegna un corso di traduzione dovrebbero sfruttare i vantaggi offerti dalla tecnologia. Questo può aiutare ad abbreviare i tempi di acquisizione della traduzione perché il materiale scritto o orale può essere facilmente ottenuto, oltre all'utilizzo di attrezzature tecniche: lettori, computer, applicazioni mobili, oltre a enciclopedie digitali e dizionari per lo studio indipendente dagli studenti e la preparazione degli insegnanti.

All'inizio, gli studenti potrebbero incontrare alcune difficoltà linguistiche e culturali. Questi impedimenti derivano da vocabolario limitato, strutture grammaticali, problemi culturali, conoscenza insufficiente di come tradurre i testi e persino i problemi nella lingua madre degli studenti. Tuttavia, se lo studente possiede le competenze strumentali necessarie (ottima padronanza della lingua di partenza, conoscenza della cultura e della civiltà, e conoscenza delle relazioni internazionali, della politica e dell'economia), allora la capacità di tradurre può essere acquisita in tempi relativamente brevi.

Il compito del traduttore dunque, è qualcosa di più profondo della mera e semplice ricerca del corrispettivo del termine nella trasposizione di un testo da una lingua ad un'altra. È qualcosa che va oltre. È una ricerca approfondita, un continuo aggiornamento del proprio bagaglio culturale, un costante ampliamento dei propri orizzonti e dei propri ambiti di conoscenza.

Da tutti i dizionari bilingui risulta apparente che per ogni termine di una lingua ci sia il corrispondente esatto in un'altra. Ma non è così. Innanzitutto bisogna considerare le voci lessicali in tre modi diversi:

- 1) in base al tipo di senso: concreto, figurato, tecnico, colloquiale;
- 2) in base al grado di frequenza: primario (basato solo sul linguaggio moderno); secondario, collocazionale, creato ad hoc;
- 3) in base al tipo di significato: centrale o periferico. (Cfr. Newmark 1998: 59)

¹ Un gruppo di ricerca fondato nel 1997 presso l'Università Autònoma di Barcellona con la precisa finalità di studiare la competenza traduttiva e la sua acquisizione.

La delimitazione per materie dell'insegnamento della traduzione consente al docente di effettuare una selezione di testi più contestualizzata e incentrata sui temi e sui tipi di traduzione pertinenti in cui si lavora su discorsi giornalistici, ufficiali, socioeconomici, ecc., di carattere politico, legale, commerciale, ecc., fornendo agli studenti la terminologia necessaria per la loro prestazione professionale (Cfr. Oliveros e Tardo, 2017: 53).

3-Curriculum del Dipartimento

Gli studenti che si iscrivono al dipartimento d'Italianistica all'Università MUST normalmente provengono dalle scuole secondarie senza una precedente conoscenza della lingua italiana. Nella fase di maturità, l'inglese o il francese viene insegnato per gli studenti di scuola secondaria. Pertanto, nella fase universitaria, le lingue straniere (eccetto l'inglese e il francese) si insegnano dall'alfabeto, cioè gli studenti devono imparare la lingua nei primi due anni perché nel terzo e nel quarto anno molte ore di insegnamento sono dedicate alla letteratura, alla linguistica e alla traduzione.

L'attuale curriculum del dipartimento d'Italianistica di MUST è varia e include materie che mirano all'insegnamento della lingua (grammatica, conversazione, lettura e ascolto, ecc.), materie letterarie (Storia di letteratura, testi critici, poesia, letteratura comparata, ecc.) e materie linguistiche (Stilistica, Linguistica applicata, Semantica, Morfologia, ecc.). Include anche diversi argomenti di traduzione in ogni semestre:

- Il primo corso: *Traduzione I Italiano > arabo* (tre ore settimanali);
- Il secondo corso: *Traduzione II Arabo > Italiano* (tre ore settimanali);
- Il terzo corso: *Traduzione in linguaggi storici (scienze umanistiche e sociali) Italiano > Arabo* (tre ore settimanali);
- Il quarto corso: *Traduzione in linguaggi storici (scienze umanistiche e sociali) Arabo > italiano* (tre ore settimanali);
- Il quinto corso: *Traduzione di documenti* (tre ore settimanali);
- Il sesto corso: *Consecutiva I* (tre ore settimanali);
- Il settimo corso: *Traduzione Scientifica Italiano > arabo* (tre ore settimanali);
- L'ottavo corso: *Seminario della Traduzione* (tre ore settimanali);
- Il nono corso: *Traduzione Consecutiva II* (tre ore settimanali).

Se escludiamo le materie non legate all'italiano (non specialistiche), la percentuale di ore di insegnamento delle materie di traduzione all'interno del curriculum sarà:

- Il primo anno: 10% delle ore di insegnamento del 1° anno.
- Il secondo anno: 20% delle ore di lezione del 2° anno.
- Il terzo anno: 20% delle ore di lezione del 3° anno.
- Il quarto anno: 30% delle ore di lezione del 4° anno.

4- Il corpus

Il nostro studio si rivolge agli studenti del Dipartimento e il curriculum in cui si implementa. Abbiamo provveduto a svolgere alcune sessioni con gli studenti. L'obiettivo di queste sessioni è la valutazione della competenza e accettabilità degli studenti per la pratica di traduzione attraverso lo svolgimento di alcuni esercizi. Attraverso questi esercizi possiamo avere indizi sulle capacità degli studenti e sulle caratteristiche del curriculum utilizzato in merito alle materie di traduzione e alla competenza traduttiva degli studenti.

Il corpus utilizzato in queste sessioni sono testi della stampa che siano considerati argomenti specialistici, ma sono altresì argomenti pubblici che la maggior parte degli studenti può capire facilmente. Questi articoli sono testi della stampa araba e italiana. Per gli esercizi di traduzione, sono utilizzati articoli suddivisi in paragrafi e ciascun paragrafo

ha delle frasi. Il livello di paragrafi e testi utilizzato varia, in genere, tra medio, medio-alto e alto.

5- Il metodo

All'inizio delle sessioni, abbiamo fatto un'introduzione teorica e generale alla traduzione: storia, strategie, attitudini, modalità, ecc.. Quindi, iniziamo con l'esercizio, prima con la differenza/ritardo di una parola e poi con due parole nella stessa lingua (arabo). L'obiettivo principale di questo esercizio di traduzione è allenare gli studenti a migliorare la capacità di leggere e tradurre allo stesso tempo. Quindi, abbiamo iniziato a fare l'esercizio di traduzione dall'arabo in italiano. Dapprima, ci concentriamo maggiormente sulla comprensione perché crediamo che all'inizio sia più facile per gli studenti capire nella lingua di partenza (lingua A) anche se l'espressione nella lingua d'arrivo (lingua B) non arriverà naturalmente. Nella fase successiva, gli studenti effettuano la traduzione dall'italiano (lingua A) all'arabo (lingua B).

Il traduttore deve essere abile nel valutare il senso della traduzione nell'originale e viceversa, al fine di ottenere un linguaggio naturale, correttamente usato in quel contesto.

Il possesso di un ricco glossarietto e la cognizione penetrante della lingua originale sono doti essenziali del traduttore. Oltre a ciò la sua bravura comprende non solo la conoscenza di tutti i mezzi sintattici, ma anche la pratica di utilizzarli con eleganza, flessibilità e concisione. Newmark (1998: 42-43) propone che:

1-Il traduttore deve acquisire la tecnica per muoversi con facilità fra due procedimenti fondamentali: la comprensione, che può richiedere un'interpretazione, e la formulazione, che può richiedere una ricreazione.

2-Deve individuare le opposizioni, i contrasti, l'enfasi presenti nell'originale, deve distinguere i sinonimi usati per fornire informazioni aggiuntive o complementari da quelli usati semplicemente in riferimento a un oggetto o a un concetto menzionato precedentemente.

3-Nella traduzione letteraria, il suo compito più arduo consiste nell'afferrare il ritmo dell'originale.

6- Conclusioni

Gli esercizi sono stati svolti con gli studenti del Dipartimento d'italiano. Gli studenti che hanno partecipato sono sei. Non diciamo che i risultati che ne verranno fuori sono accurati al 100%, ma allo stesso tempo ci danno un indicatore o una guida relativa dell'accettabilità e della possibilità degli studenti di iniziare a praticare traduzione.

Gli esercizi degli studenti del dipartimento sono stati svolti di persona presso la Facoltà di Lingue e Traduzione. Nel primo esercizio iniziamo con il primo paragrafo e poi lo seguiamo uno dopo l'altro. Il rendimento degli studenti in questo esercizio è abbastanza difficile, svolgendo l'esercizio con elenchi di parole in lingua araba e il loro corrispondente in italiano.

Nell'esercizio di traduzione **arabo/italiano**, ogni studente traduce in italiano un paragrafo di 4-5 righe. L'espressione nella lingua d'arrivo è condizionata, sebbene gli studenti comprendano bene il testo originale scritto in arabo, la loro lingua madre. Si osserva che in molti casi gli studenti hanno difficoltà a recuperare dalla memoria gli equivalenti italiani (agilità mentale nella lingua di arrivo), oltre al fatto che la traduzione tende ad essere letterale; ad esempio:

معدل الذكاء Quoziente d'Intelligenza

المدعى العام Pubblico Ministro

منظمة العفو الدولية Amnista Internazionale

محكمة النقض	Corte di Cassazione
منظمة الصحة العالمية للآغذية والزراعة	FAO: Organizzazione per l'Alimentazione e l'Agricoltura
اليونسكو = منظمة الأمم المتحدة للتربية والعلوم والثقافة	Organizzazione delle Nazioni Unite per l'Educazione, la Scienza, e la Cultura
يكسب الرهان	Vincere una scommessa
يقطع علاقاته ب	Rompere i rapporti con
ارتفاع حاد للأسعار	Una forte rialzo dei prezzi
الدول النامية	I paesi in via di sviluppo
انتهاك حقوق الإنسان	Violazioni dei diritti umani
يؤثر بشكل سلبي	Influenzare negativamente

Mounin (1988: 118) dice che: “le civiltà sono spesso impenetrabili fra loro hic e nunc”, il traduttore è assegnato di scegliere tra “trascrivere le parole straniere, tradurle, sostituirle con parole simili, proprie della sua cultura, naturalizzare i termini con un calco, definirle o, come ultima risorsa, parafrasarle; a volte la parafrasi viene aggiunta alla traslitterazione fra parentesi” (Cfr. Newmark: 24-25). Per questo, traslitterazione, calco, traduzione letterale, equivalenza e adattamento vengono considerati fra i procedimenti traduttivi. (Ivi: 29)

Si presume che gli studenti costruiscano, in generale, l'espressione nella lingua di arrivo (la lingua italiana) sulla base della struttura della lingua madre (la lingua araba). Allo stesso modo, riteniamo che l'età degli studenti possa influenzare il modo in cui imparano l'italiano perché iniziano ad acquisirlo nella fase universitaria, cioè in tarda età: a 17 o 18 anni. Cioè, l'acquisizione della lingua straniera viene effettuata, in generale, in base alla lingua madre.

Nell'esercizio della traduzione **italiano/arabo**, ogni studente è responsabile della traduzione di un paragrafo che varia da cinque a sette righe. Si osserva che gli studenti comprendono la maggior parte delle idee del paragrafo che traducono, ad eccezione di alcuni concetti o caratteri che non conoscono e che devono soffermare su di essi. Si segnala inoltre che le espressioni che producono nella lingua di arrivo (l'arabo) non presentano gravi errori e sono vicine alla naturalezza. Troviamo che il rendimento degli studenti italiano/arabo è migliore rispetto a quello in direzione arabo/italiano, anche se hanno avuto il tempo di preparare i paragrafi in entrambi i casi. Ciò è dovuto al fatto che nel primo caso gli studenti esprimono nella lingua straniera, mentre nel secondo caso nella lingua materna. Inoltre, la loro competenza linguistica e il background in lingua straniera sono limitati rispetto alla loro conoscenza e abilità nella loro lingua madre.

L'espressione del testo da parte degli studenti nella lingua target (l'arabo) appare accettabile e coerente. Nei paragrafi che gli studenti trasmettono in arabo trovano parole, acronimi o nomi propri che non conoscono. La comprensione da parte degli studenti dei paragrafi originali è relativa, cioè possono fare una traduzione corretta, ma senza avere un'idea del tutto chiara sull'argomento. Allo stesso modo, oltre agli errori di pronuncia, sono presenti, anche se in misura minore, errori linguistici e di traduzione. L'espressione è influenzata dalla lingua di partenza perché gli studenti traducono in base alla loro lingua madre (arabo); ad esempio:

Corpo elettorale	هيئة الناخبين
Boicottare le elezioni	يقاطع الانتخابات
Indire le elezioni	يدعو إلى انتخابات عامة
Scrutinare i voti	يقوم بفرز الأصوات الانتخابية
Membri della Camera dei Comuni	أعضاء مجلس العموم
Procedura parlamentare	إجراء برلماني

I negoziati di pace sono a un punto morto فشلت مفاوضات السلام تماما

Tornare al dialogo يعود إلى مائدة المفاوضات

I suoi poteri legislativi sono aumentati زادت سلطاته التشريعية

Slogan elettorale شعار انتخابي

Votare يدلي بصوته

Gli studenti affrontano una difficoltà quando traducono questi termini politici. Talvolta questi termini culturali non abbiano equivalenti nella cultura italiana.

Qualche volta gli studenti affrontano delle difficoltà durante la traduzione delle sigle, come negli esempi successivi:

- ANSA = Agenzia Nazionale Stampa Associata (وكالة الأنباء الإيطالية) أنسا

- NATO = Organizzazione del Tratto Nord Atlantico (حلف شمال الأطلسي) الناتو

- AIEA = Agenzia Internazionale per l'Energia Atomica الوكالة الدولية للطاقة الذرية

- CCI = Camera di Commercio Internazionale غرفة التجارة الدولية

- OPEC = Organizzazione dei Paesi Esportatori di Petrolio المنظمة الأمم المصدرة للبترول الأوبك

- CRI = Croce Rossa Internazionale الصليب الأحمر الدولي

- ACC = Alta Corte Costituzionale المحكمة الدستورية العليا

- OIPC = Organizzazione Internazionale di Polizia Criminale (INTERPOL) المنظمة الدولية للشرطة الجنائية (الإنتربول)

()

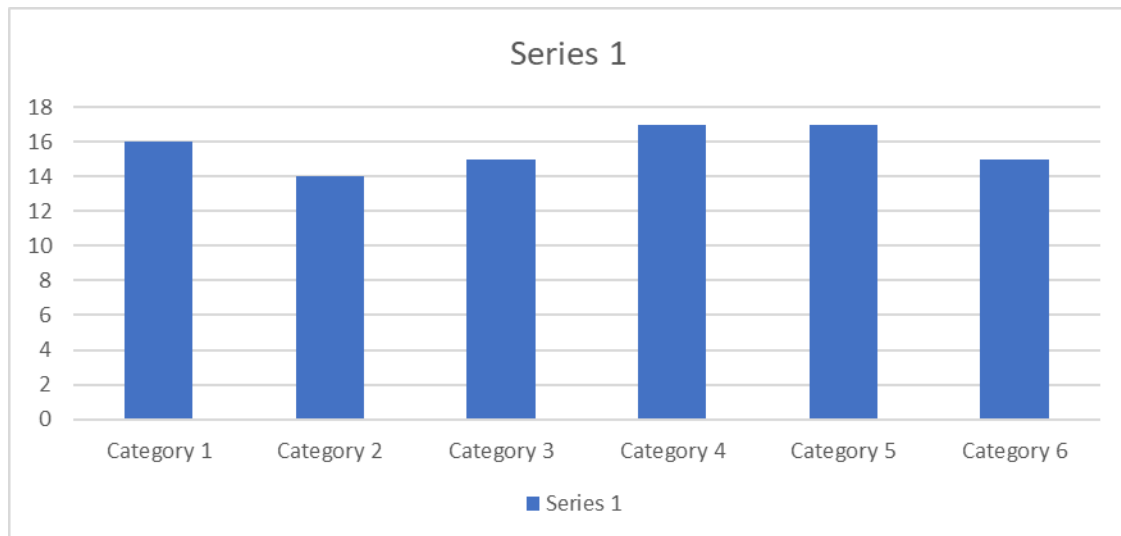
In questi esercizi che svolgiamo con gli studenti, cerchiamo di esplorare fino a che punto siano in grado di intraprendere un breve compito di traduzione. In queste prove ci affidiamo alle conoscenze linguistiche e culturali che gli studenti hanno acquisito durante i corsi accademici, e anche alle loro attitudini personali verso la pratica della traduzione. Allo stesso modo, cerchiamo di sapere in che misura il curriculum partecipi alla formazione traduttiva degli studenti.

Secondo l'esperimento effettuato, si osserva che la conoscenza da parte degli studenti degli affari pubblici e politici è generalmente limitata e la formazione terminologica in queste aree (non molto specializzate) deve essere migliorata. Assumiamo che l'elemento essenziale della differenza tra ogni studente siano le competenze di ciascuno, fondamentalmente, linguistiche e culturali, nonché le attitudini personali.

Credo che l'attuale curriculum del Dipartimento d'Italiano manca di qualsiasi materia relativa all'interpretazione. Solo temi di traduzione sparsi, uno dei quali è ripetuto nel terzo e quarto anno: traduzione di testi scientifici. Il curriculum prevede alcune materie del primo e del secondo anno che riguardano l'espressione orale in generale: conversazione, letture e ascolto, ecc.. Queste materie sono finalizzate all'insegnamento della lingua, nonostante siano di natura orale.

Potremmo dire che il piano di studio del dipartimento è finalizzato alla formazione della traduzione. Contiene materie di vari campi: letteratura, linguistica, traduzione e altre materie finalizzate all'acquisizione della lingua. Il curriculum dovrebbe dedicare un corso alla formazione dell'interpretazione; tuttavia, è possibile che alcuni studenti possano fungere da traduttori o interpreti in futuro in base allo sviluppo (autonomo o sistematico) delle proprie attitudini personali. Cioè, il programma può aiutare in parte alcuni studenti a seguire il percorso del traduttore se hanno le competenze necessarie e attraverso una formazione sistematica o un'autoformazione.

Questo grafico ha una valutazione generale del rendimento degli studenti degli esercizi (**il voto massimo: 20**):



“Valutazione generale degli esercizi svolti dagli studenti”

Partiamo dal presupposto che la maggior parte degli studenti non avessero praticato la traduzione, quindi questa attività sembra a loro insolita. Leggono, scrivono e analizzano, ma quando iniziano a esercitarsi nella traduzione non è facile per loro, poiché questo processo richiede di mettere in pratica diverse abilità e strategie a cui non sono abituati: attenzione, comprensione, analisi, parafrasi, ecc. Si propone di creare nella fase post-laurea un ramo di traduttore specializzato nella formazione di traduttori qualificati nella combinazione di lingua italiano/arabo e arabo/italiano, e un previo esame per selezionare quelli idonei a questa disciplina. Il requisito principale per gli studenti per accedere a questa branca è possedere un buon livello linguistico e culturale (nella lingua di arrivo) e possedere le competenze personali ideali per questa attività.

7- Discussione

Come abbiamo visto nella prova con gli studenti, la traduzione in lingua straniera (italiana) esce con errori linguistici e stilistici, in contrasto con la traduzione in lingua madre (araba) che esce con espressione accettabile, ma con vari errori di significato (semantica) dovuti a problemi di comprensione da parte degli studenti del testo originale in lingua B. Allo stesso modo, è curioso che gli studenti commentino che gli esercizi di traduzione dall'italiano/arabo sono più facili degli esercizi di arabo/italiano nonostante che gli studenti facciano più sforzi nel trasferire il senso in italiano: comprensione, prendere appunti, usare la memoria, prestando attenzione al contesto.

Le attitudini personali, il numero di ore di insegnamento della traduzione nel curriculum (formazione alla traduzione) e la conoscenza degli affari pubblici e politici a livello nazionale e internazionale incidono sulla capacità di traduzione degli studenti. Si osserva una debolezza nella conoscenza da parte degli studenti delle questioni politiche pubbliche, motivo per cui è necessario che gli studenti seguano la stampa digitale o cartacea, ascoltino i giornali alla radio, alla televisione o sull'internet. Ciò approfondisce la cultura generale degli studenti e contribuisce a prepararli a seguire in futuro il percorso dei traduttori e degli interpreti. È importante aumentare il carico di insegnamento della traduzione e delle materie che accrescono il vocabolario degli studenti e migliorano la loro competenza linguistica in generale in modo che possano iniziare ad allenarsi nella traduzione. È inoltre necessario che gli studenti pratichino esercizi che rafforzino l'agilità mentale e la capacità di sintetizzare e analizzare. Si osserva che la comprensione orale della lingua straniera è un punto debole degli studenti, pertanto dovrebbe essere

ottimizzata praticando ascolto e lettura intensivi e facendo esercizi di comprensione della lingua straniera per gli studenti.

Gli studenti che intendono formarsi alla competenza personale linguistica possono beneficiare di alcuni istituti linguistici come l'Accademia della Crusca (1585) e l'Istituto Italiano di Cultura (Il Cairo), ecc.. Attualmente, ci sono diverse risorse multimediali che sono di grande aiuto per l'aspirante traduttore: video, registrazioni, libri, articoli, ecc., che possono essere utilizzati nel processo di apprendimento.

In questo articolo, si vede chiaramente che nel trattare questo studio praticante, non mi sono inoltrata in considerazione approfondita in dettaglio sugli esercizi, però ho tentato di contrassegnare alcune caratteristiche particolari che possano provocare ulteriore curiosità.

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Zensur als Sprachpolitik am Beispiel des utopischen Romans *Der Brand der Cheops-Pyramide* von Hans Dominik

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0. Einleitung

Die vorliegende Untersuchung behandelt die Zensur des Romans *Der Brand der Cheops-Pyramide* von Hans Dominik. Ziel dabei ist, die Eingriffe und Änderungen im Text, die für eine Veröffentlichung nach dem Zweiten Weltkrieg typisch waren, zu analysieren und zu klassifizieren. Dabei wird die Kulturpolitik der Großmächte berücksichtigt, die sich sprachlich in der Zensur niederschlägt. Des Weiteren sollen die Folgen dieser Kultur- und Sprachpolitik auf den Roman bestimmt werden.

Zunächst soll auf das Leben und Werk von Hans Dominik kurz eingegangen werden. Darauf werden die wichtigsten Züge der Sprachpolitik der Nachkriegszeit aufgezeichnet. Dann widmet sich die Abhandlung der Klassifizierung der zensierten Textstellen und schließlich werden die Auswirkungen dieser Eingriffe auf den Text zusammengefasst.

1. Leben und Werk von Hans Dominik

Hans Joachim Dominik wurde am 15. November 1872 in Zwickau geboren. Sein literarisches Talent wurde schon in seiner Kindheit gefördert. So war sein Vater Journalist und Verleger und sein Onkel Theodor Mügge war Romanschriftsteller. Auf dem Gymnasium in Gotha wurde er vom Schriftsteller Kurt Laßwitz inspiriert, der nicht nur sein Mathematik- und Physiklehrer war, sondern auch der Autor des ersten deutschen Science-Fiction-Roman. 1892 studierte Dominik Elektrotechnik an der Technischen Hochschule in Berlin. Er fand 1900 eine Arbeitsstelle bei Siemens & Halske an. Dort wurde er wegen seinem Sprachtalent in das „Literarische Bureau“ der Firma versetzt. Nebenbei schrieb Dominik Zeitungsartikel und Werbeartikel für andere Firmen und populärwissenschaftliche Artikel im *Berliner Tageblatt*. Er hatte die Fähigkeit, technische Sachverhalte verständlich, populär und auch amüsant auszudrücken. Im Jahr 1901 kündigte Dominik und begann als freier Schriftsteller und Journalist zu arbeiten.

In den 20er Jahren des letzten Jahrhunderts brach Dominik mit seinen technisch-utopischen Romanen durch und wurde zum erfolgreichsten deutschen Science-Fiction-Autor. 1922 veröffentlichte er seinen Roman *Die Macht der Drei*. Seine Romane wurden in den 1920er und 1930er Jahren zu Bestsellern. Die Helden seiner Romane waren meist deutsche Wissenschaftler oder Ingenieure, die eine revolutionäre Erfindung gemacht hatten und die am Ende immer gegen eine böse Kraft siegen. In der DDR war er nicht beliebt. Dagegen wurden seine Romane oft und erfolgreich in der BRD aufgelegt und von jungen Menschen gelesen. Die Erzählungen Dominiks fanden das Gefallen der Nazis. Als in der Nachkriegszeit die Romane neu herausgegeben wurden, wurden – den Besatzungsmächten nach – unkorrekte Passagen entschärft. (vgl. <https://www.utd.hs-rm.de/dominik/>)

Zu diesen Romanen gehört auch der vorliegende ausgewählte Roman *Der Brand der Cheops-Pyramide*, der 1925/1926 veröffentlicht wurde.

Der Roman handelt von der Entwicklung der Atomwaffe, die im Erscheinungsjahr des Romans noch eine wissenschaftliche Vorstellung war. Der englische Erfinder Elias Montgomery erfindet den Apparat, der diese enorme Energie auszusetzen vermag. Er stirbt jedoch, ohne die Bedienungsanleitung dieser mächtigen gefährlichen Waffe weiterzugeben. Die Mauren, die derzeit Spanien erobert hatten und ganz Europa bedrohen, sind in der Lage durch eine osteuropäische Spionin die Waffe zu stehlen und

durch den ägyptischen Wissenschaftler Ben Ezer das Geheimnis des Apparats zu lösen. Die einzige Hoffnung sind die Ingenieure der deutschen Riggers-Werke, denen es gelingt, das Geheimnis zu enthüllen und die Cheopspyramide in Brand zu setzen, wobei die enorme Energie der Atomkraft ausgestrahlt wird und ihre verheerenden zerstörerischen Folgen zustande kommen.

Die neuen Auflagen des Romans unterlagen nach dem Zweiten Weltkrieg einer Nachzensur. Später wurde der Roman wieder in seiner Originalausgabe aufgelegt. (vgl. <https://katalog.dnb.de/EN/list.html?key=all&key.GROUP=1&t=Der+Brand+der+Cheops-Pyramide&sortD=-dat&sortA=bez&pr=0&v=plist&submit.x=0&submit.y=0>).

2. Die charakteristischen Züge der Sprachpolitik der Nachkriegszeit

Die Sprachpolitik der Nachkriegszeit fand ihre Anfänge schon vor dem Kriegsende. Noch während des Krieges machten sich die Streichmächte, Amerika, England und Russland, darüber Gedanken, wie sie die deutsche Gesellschaft umerziehen würden. Sie waren sich darüber einig, dass man den deutschen Militarismus und Nazismus beseitigen muss, damit Deutschland nicht wieder den Weltfrieden bedroht. Um das zu erreichen, sollten einerseits Organisationen, Symbole und Gesetze des Nationalsozialismus verboten und andererseits nazistische und militärische Einflüsse aus dem Kulturleben der deutschen Gesellschaft eliminiert werden (vgl. Reichel 2002, 30). Insbesondere die amerikanische Seite bestand darauf, das öffentliche Leben zu entnazifizieren bevor dem deutschen Volke wieder die Selbstregierung eingeräumt werden sollte (vgl. Reichel 2002, 31). Es wurde unter anderem versucht, ein Gefühl der Kollektivschuld aufgrund der Gräueltaten des Naziregimes hervorzurufen. Dadurch sollte auch eine allgemeine Fügsamkeit gegenüber der Besatzung erreicht werden (vgl. Chamberlin 1981, 423). Ferner sollte die faschistische Gesinnung der Vorkriegszeit zu einem kollektiven Verantwortungsgefühl umgeschult und das nationale Selbstgefühl der Deutschen relativiert werden. Insbesondere die Tradition der deutschen Nation sollte so weit wie möglich in den Hintergrund gerückt werden. Damit zusammenhängend ging nach der Niederlage die Demokratisierung und Entnazifizierung Hand in Hand mit der Entpreußung einher (vgl. Möbs 2021, 73). Der Nationalsozialismus wurde besonders von der französischen Besatzungsmacht als ein „Nebeneffekt“ der preußischen Gesinnung betrachtet. Es galt nun diese preußischen Strukturen aufzulösen, genauso wie die hitlerische (vgl. Möbs 2021, 74). Für eine erfolgreiche langfristige Umerziehung wurde in der Nachkriegszeit zielstrebig eine Kulturpolitik eingeführt, die dies garantieren sollte.

Durch Kultur sollten Werte vermittelt werden, um einen großflächigen gesellschaftlichen und politischen Wandel in Bewegung zu setzen. (ebd. 75)

Dabei spielte die Zensur unter anderem eine wichtige Rolle. (ebd. 75)

Was die Zensur betraf, so gab es keine allgemeingültigen Richtlinien. Grundsätzlich hielt man sich aber an folgenden Regeln: Es durften keine Kritik an der Besatzungsmacht geäußert, keine Vergleiche zwischen Alliierten gezogen, keine nationalsozialistischen Terminologien und keine Worte wie Krieg, Hass oder Feind verwendet werden. (ebd. 81)

Es war nun die Aufgabe gesetzt, die Nationalkultur des deutschen Volks zu schwächen und sie durch demokratische Werte zu ersetzen, und zwar durch Kulturtransfer. (ebd. 77)

Die Nationalkultur beschreibt eine kollektive Identität, die sich durch einen „kulturellen Zusammenhang jenseits staatlicher Formationen“ (...) definiert, also ein Kollektiv innerhalb der Nation, mit dem sich Bürger identifizieren und dadurch auch von ihren Nachbarvölkern differenzieren können. (ebd. 76)

Die kulturellen Bemühungen der Siegermächte zur Umerziehung der deutschen Gesellschaft nach der Nazi-Epoche waren sozusagen auch ein Versuch zum Abbau der sprachlichen Manipulation des Nazi-Regimes, dessen Sprachpolitik darauf absah, durch

die Sprache den Menschen zu erziehen und somit auch ihre Realität zu verändern (vgl. Kämper-Jensen 1993, 177). Im Nationalsozialismus wurde Sprache auch als identitätsstiftend angesehen. Sie stärkt den Einzelnen und die Gruppe, indem sie die Zugehörigkeit zu einer Rasse oder Geschlecht festigt, dass gegebenenfalls in einen Fundamentalismus mündet. Dies hat zur Folge, dass rigide Menschen die Chance verspielen, von der Offenheit anderen gegenüber und der Diversität der Menschen zu profitieren (vgl. Krampmann 2004, 410).

Aus soziolinguistischer Sicht ist die Sprache für die Entwicklung eines Sozialgefühls ausschlaggebend. Dies wurde vom Naziregime ausgenutzt und schlug sich in seiner Propaganda-Politik nieder.

Sprachnationalistische Darstellungen gehen über das patriotische Lob des Eigenen deutlich hinaus, indem sie die eigene Sprache (und, in der Folge, die eigene politische, kulturelle und ethnische Gemeinschaft) als einer fremden Sprache überlegen beschreiben, zugleich das sprachlich und kulturell Fremde pointiert bis aggressiv abwerten und eine Gefährdung der Identität und der (moralischen und sittlichen) Integrität der eigenen Sprach-, Volks- und Kulturgemeinschaft durch das Fremde (z.B. durch Fremdwörter) behaupten. (vgl. Gradt 2004, 369)

Die Zensur versucht diesen sprachlichen Effekt umzukehren. Die Streichung bestimmter Passagen bewirkt genau das Gegenteil davon. Das Selbstwertgefühl wird heruntergefahren und die Überlegenheit wird reduziert. Dabei wird darauf geachtet keine Provokation hervorzurufen, um die Umerziehung subtil und unmerkbar durchzuführen.

Um die Umerziehung der deutschen Gesellschaft durchzuführen ist soziologisch eine Änderung der wahrnehmbaren Situation nötig. Dies war auch sprachlich zu implementieren.

Daher sollten institutionelle Bedingungen des Lebens in Deutschland Einfluss auf die Definition der Situation haben in einer nicht diktatorischen Weise, wovon wiederum eine Tendenz in Richtung Demokratie ausgehen sollte. (Gerhardt 2004, 432)

Erwähnenswert ist auch, dass es sich bei der Zensur des vorliegenden Romans um eine Nachzensur handelt. Die Manipulation ist daher nicht vorbeugend, sondern revidiert schon Geschriebenes und passt es neuen Maßstäben an. Dieser nachträgliche Eingriff beeinträchtigt, wie aufgezeigt werden wird, das Konzept des Romans und seine sprachliche und literarische Qualität.

3. Klassifizierung der sprachlichen Zensurformen

In diesem Beitrag werden wie bereits erwähnt die vorgenommenen Änderungen klassifiziert und in ihrem kultur-politischen und linguistischen Kontext erörtert. Formal erfahren die zensierten Auszüge mehrere Änderungsmöglichkeiten. Manchmal werden ganze Passagen gestrichen oder nur einzelne Wörter werden eliminiert. In einigen Fällen werden Wörter mit anderen umgetauscht oder Sätze paraphrasiert.

Auf inhaltlicher Ebene lassen sich weiterhin einige Kategorien vorfinden. So werden einerseits sprachlich-stilistische Änderungen in folgenden Bereichen durchgeführt: bei der Bezeichnung von Erfindungen, bei Anredeformen, zum Abbau der Verherrlichung des Feindes, zur Ernüchterung von Übertreibung, zur Aufhebung von Redundanz, zur Fehlerkorrektur und zur Eliminierung von anstößigen Textpassagen. Andererseits werden Änderungen zur politischen Anpassung unternommen, und zwar bezüglich der kritischen Darstellung der Besatzungsmächte und zur Neupositionierung Europas. Schließlich gibt es Zensureinschnitte, die der kulturellen Umerziehung und dem damit verbundenen Abbau von Nationalgefühl, Militarismus und Nazismus dienen.

Im Folgenden werden die inhaltlichen Kategorien im Zusammenhang mit der formalen Änderungsform und ihrem kulturpolitischen Kontext näher betrachtet.

3.1. Sprachlich-stilistische Änderungen:

3.1.1. Bezeichnung von Erfindungen

Einige Änderungen im Roman beruhen nicht unbedingt auf einen kulturellen Grund oder dienen der Umerziehung. Das Wort *Helikopter* z. B. sowie daraus entstandene Komposita, wie *Helikopterfielger* (14), *Helikopter* (104, 483) und *Helikopterschraube* (488) werden durch das Wort *Hubschrauber* ersetzt. Es ist bemerkenswert, dass dieses Fluginstrument (sowie die Atombombe) zur Entstehungszeit des Romans noch nicht vollkommen erfunden war. Der erste flugfähige Hubschrauber wurde von L. Bréguet und R. Dorand konstruiert (Bréguet-Dorand-Gyroplane; Erstflug 1935). (vgl. Bibliographisches Institut & F. A. Brockhaus AG, Mannheim, 2004). Die Änderung ersetzt die originale Bezeichnung im Roman mit der nach der tatsächlichen Erfindung anerkannten Bezeichnung.

Auf gleicher Weise wird das Wort *elektrische Starklichter* (498) durch *Bryen-Lampe* ersetzt. Starklichter sind eigentlich Gasleuchten, die Flüssigbrennstoff verbrennen. (<https://www.starklicht.com/starklichtlampen-pressure-lamps/> abgerufen am 02.09.2022) Im Science-Fiction-Roman ist die Rede von Starklichtern, die elektrisch bedient werden. Diese werden in der Nachkriegsfassung mit der Bezeichnung für eine elektrische Lampe ersetzt.

Dieser Eingriff ist nicht in einem Science-Fiction-Roman notwendig. Die vom Autor gewählten Bezeichnungen regen die Fantasie des Lesers an. Dagegen schränken die Bezeichnungen aus der Realität die Fantasie ein.

3.1.2. Anredeformen

Bemerkenswert in der Nachkriegsfassung ist die Eliminierung der Anredeformen. In der Originalfassung reden sich die Hauptfiguren in der Form des Adelstandes an: *Baronesse* (20, 21), *Baronin* (an 90 Stellen im Roman), *seine Lordschaft* (20), *Exzellenz* (an 11 Stellen), das Wort *gnädig* in Verbindung mit *Fräulein* oder *Baronin* (an mehr als 40 Stellen), *mein Prinz* (451), die Kennzeichnung des Adelstandes mit der Präposition *von* in *Herr von Iversen* oder *Modeste von Karsküll*, usw.

Als die Weimarer Reichsverfassung am 14. August 1919 in Kraft trat, wurden die Vorrechte und Titel des Adels abgeschafft. Das liegt zeitlich nicht entfernt vom ersten Erscheinungsjahr des Romans. Es handelt sich demnach um eine noch bekannte Anredeform, die schon seit mehreren Jahrhunderten gepflegt und die noch nicht vollständig von der bürgerlichen Anredeform verdrängt wurde.

So entfallen in der Nachkriegsfassung die unterstrichenen Passagen im folgenden Abschnitt:

„...*Wie soll ich Ihnen danken, gnädige Baronin?*“ „*Sire, Sie beschämen mich durch Ihre große Gnade, die ich kaum verdiene.*“ „*Baronin Jolanthe, Ihnen allein verdanken wir diesen Erfolg. [...] Sie haben mir eine große... eine ungeheure Last von der Seele genommen, Baronin.*“ (231)

Die Figur wird aus ihrem gesellschaftlichen Status degradiert und das damit verbunden Gefühl des Stolzes wird beseitigt. Diese Streichung wird konsequent für alle Figuren des Romans durchgeführt. Dabei wird kein Unterschied zwischen den Protagonisten oder Antagonisten gemacht.

Diese Abschaffung der adligen Anredeform wird sogar in den Abschnitten vorgenommen, in denen maurische Herrscher, sei es der Sultan oder sein Bruder der Prinz, in der Handlung tatsächlich vorkommen.

So steht in der Originalfassung in der Szene zwischen Modeste und dem Prinzen folgendes:

„*Nein, Königliche Hoheit haben mich nicht gekränkt ... ich wüßte auch nicht, daß ich mich irgendwie geändert hätte.*“ (153)

In der Nachkriegsfassung heißt es stattdessen: „*Ich fühle mich nicht gekränkt.*“

Die Anrede des Kalifen mit *Königliche Hoheit* entfällt in der Nachkriegsfassung auch im weiteren Verlauf des Romans.

Diese ältere Anredetradition wird vermieden und gleichzeitig die damit verbunden preußische Gesellschaft der Vorkriegszeit. Sie soll nun durch das Bürgertum ersetzt werden, um ein demokratisches Denken einzuleiten. Die Tilgung der Anrede der Hoheiten des Maurischen Staats ist m. E. stilwidrig und literarisch unangemessen. Sie hängt jedoch mit der Absicht der Zensur zusammen, und zwar mit der Desillusionierung des Feindes, auf die im Folgenden eingegangen wird.

3.1.3. Abbau der Verherrlichung des Feindes

In der Originalfassung des Romans ist Spanien von den Mauren bzw. den osmanischen Türken besetzt. Das islamische Reich bedroht ganz Europa und bildet den Antagonisten in den Ereignissen. Trotzdem wird im Roman das Kalifat bzw. der Feind in vieler Hinsicht veredelt. Im Gegensatz dazu werden Europäer und Amerikaner eher kritisiert.

Der Abbau der Verherrlichung vollzieht sich einerseits durch Tilgung einiger Wörter. So werden die maurischen *Heldentaten* (82) in der Nachkriegsfassung einfach durch *Taten* ersetzt. Ebenso wird an anderer Stelle das prächtige Auftreten der mit dem islamischen Reich verbundenen Antagonistin Jolanthe von Karsküll heruntergefahren. Der von Jolanthe benutzt Löffel zum Umrühren ist nun kein *goldener* mehr, sondern ein einfacher Löffel ohne weitere Attribute (36).

Im folgenden Absatz äußert sich der deutsche Ingenieur und Held des Romans Eisenecker zur maurischen Okkupation von Spanien. Dabei werden europäische Besatzungen stark kritisiert hingegen die osmanische verharmlost.

„*Die Geschichte der letzten hundert Jahre zeigt Beispiele viel schlimmerer, viel drückenderer Okkupationen. Noch heute spricht man im deutschen Rheinland mit Grauen von jenen längst vergangenen Zeiten, da dort französische Besatzungen hausten. Noch heute gedenken die deutschen Einwohner von Südtirol mit Abscheu an die Vergewaltigungsversuche der Italiener. Damit verglichen scheint mir die Maurenherrschaft fast milde zu sein.*“ (185)

Bemerkenswert ist, dass die Kritik an die französische Besatzung beibehalten wird, obwohl die Kritik an die Italiener und die Verharmlosung der Mauren in der Nachkriegsfassung nicht mehr vorhanden ist. Im Roman schlechthin wird an keiner Stelle der geo-politische Hinweis auf Frankreich verändert, obwohl sie eine Partei der Besatzungsmächte bildet. Das dieser Teil nicht gestrichen wird, verfestigt die Vorstellung von der Überlegenheit der französischen Besatzungsmacht. M. E. wurde die Kritik an die italienische Besatzung aus einem anderen Grund gestrichen. Es ist dokumentiert, dass nach der Niederlage Deutschlands über 200000 deutsche Frauen von Soldaten der Besatzungsmächte vergewaltigt wurden. Diese brutale Gewalt an Frauen wurde in der Nachkriegszeit vertuscht. Teilweise da die Kritik an die Besatzungsmacht ohne offizielle Abmachung verboten war und auch um das deutsche Volk nicht weiter zu provozieren, sowie um die Umerziehung und die Etablierung des Schuldgefühls reibungslos durchzusetzen.

Die scharfe Kritik des Helden des Romans an ein europäisches Land und die Verherrlichung des islamischen Feindes sind in diesem Teil stark zu erkennen. Der Spanier Don Antonio, mit dem Eisenecker das Gespräch führt, berichtet darüber, wie weise die maurische Besetzung über das Land herrsche. Sie überließen den Spaniern die Verwaltung des Landes, würden sich nicht in die kulturellen und religiösen Angelegenheiten der Menschen einmischen und keine bedrückenden Steuern verlangen,

so dass kein Grund zum Aufstand gegen die Mauren für das Volk bestehe. Dagegen seien die Gräueltaten der französischen und italienischen Besetzungen fest im Gedächtnis der Deutschen verankert (185 f.). In der Nachkriegsphase könnten diese Passagen als scharfe Kritik interpretiert werden und Aufwieglung gegen andere Europäer bewirken. Die Entschärfung dieses Tons ist ein Ziel der Zensur. Gleichzeitig wird der Preis an den gemeinsamen Feind Europas und des Westens, das islamische Reich, gestrichen, damit der Leser nicht illusioniert wird.

Diese Desillusionierung der Überlegenheit des Feindes wird auch an anderer Stelle unternommen, obwohl es sich um die Worte des Kalifen handelt, in denen es legitim ist, seine Soldaten zu preisen.

„Diese tapfersten, besten Soldaten der Welt, wehrlos preisgegeben einer unsichtbaren fürchterlichen Waffe...! Auch der Mutigste muß da den Mut verlieren.“ (366 f.)

Die unterstrichene Phrase wurde durch *tapferen Soldaten* ersetzt. Die Verherrlichung der osmanischen Soldaten wird durch den Gebrauch des Positivs für Adjektive anstelle des Superlativs getilgt. Der Superlativ in *Mutigste* wird jedoch beibehalten, da hier der türkische Soldat als angsterfüllt degradiert wird. Dieser stilistische Eingriff gehört zu den wichtigsten Formen der Zensur im Roman, wie noch gezeigt werden wird.

3.1.4. Ernüchterung von Übertreibung

Es werden am Text einige stilistische Änderungen zur Ernüchterung von Übertreibung durchgenommen, die auf verschiedene Gründe zurückzuführen sind. Dies ist insbesondere an Adjektiven im Superlativ zu erkennen. Sie werden zur Positivform des Adjektivs versetzt.

Die außergewöhnlich schwere atomare Patrone wird als den *kostbarsten Schatz* (461) in den Händen von Ibn Ezer beschrieben. Dieser übertriebene Ausdruck wird in der Nachkriegsfassung nüchtern durch *einen kostbaren* ersetzt.

Gleiche stilistische Änderungen werden im vorletzten Kapitel an der Darstellung der Hochzeitsnacht vom Kalifen Abdurrahman mit der Baronin Jolanthe von Karsküll unternommen. Der folgende Satz wird in der Nachkriegsfassung von allen Übertreibungen entlastet: *Die Hochzeitsnacht! Das schönste Weib, das auf Erden wandelte, in seinen Armen!* (524). Nach der Änderung des Adjektivs und der Streichung der Übertreibung lautet der Satz dann: *Die Hochzeitsnacht! Das schöne Weib in seinen Armen!*

Dieselbe Neutralisierung von Übertreibungen wird auch im letzten Kapitel durchgeführt. Auch hier wird die Figur von Jolanthe übertrieben wie folgt gepriesen: *Von Jolanthe, dem schönsten Weib, dessen Fuß je den Staub der Erde berührt. Dienerin, Geliebte, Königin des Helden.* (530) In der zensierten Fassung heißt es später nur noch: *Von Jolanthe, dem schönen Weib, Dienerin, Geliebte, Königin des Helden.* In diesen Beispielen war die Absicht dahinter, die Veredlung der Antagonistin im Roman zu reduzieren, was mit den politischen Zielen zusammenhängt.

Auffällig ist, dass jede Form der Übertreibung getilgt wird, ohne dabei zu bedenken, dass es sich um ein Science-Fiction-Roman handelt, indem der technischen Fantasie ihren Lauf gelassen werden sollte. Im folgenden Beispiel wird die hohe Geschwindigkeit der Jacht *mit hundert Metern in der Sekunde* (501 f.) in der Nachkriegsfassung gestrichen. Für diese Form des Eingriffs in den Text gibt es keinen sprachpolitischen Grund. Die Änderung erfolgt eher unbeachtet der Natur dieses literarischen Genres. Dies gilt auch für die folgende Klasse der Zensur.

3.1.5. Aufhebung von Redundanz

Im Roman werden viele scheinbar redundante Attribute gestrichen, die im Text keine relevante Information liefern: *tiefen Falten* (103), *älteren Baronin von Karsküll* (274),

schluchzender Ton (523 f.), hohe Felsklippen (291), schönen Augen (400), die arme Modeste (486), die mißhandelten Augen (499 f.).

Ganze Textteile werden ebenso gestrichen, da sie inhaltlich überflüssig sind. Im folgenden Auszug bestätigt der gestrichene Satz in der Originalfassung die Angst eines Wissenschaftlers aus den Riggers-Werken, der nicht mehr bereit ist, die lebensgefährlichen Experimente vor Ort durchzuführen. Diese Wiederholung wird gestrichen.

„*Aber ganz bestimmt. Wären wir auf Warnum geblieben, ich hätte nicht länger mitgemacht. Ich hätte meine Stellung kurzerhand gekündigt.*“ (315 f.)

Der Ausdruck *etwas sehr* wird im folgenden Absatz gestrichen, da es sprachlich unkorrekt ist, und da das Verb *betonte* ohnehin die Bedeutung vermittelt.

„*Ich selbst habe Ihnen nichts gesagt, bin auch überzeugt, daß Herr Eisenecker Ihnen*«, *er betonte das Wort etwas sehr, »nichts gesagt hat.*“ (435)

In einem Dialog zwischen Harder und seiner Tochter Mette äußert sie ihre Befürchtung, ihrer Freundin Modeste von Karsküll und ihrem Verwandten Malte von Iversen könnte etwas Böses zugestoßen sein. Dieser komplette entfallene Satz beteuert noch einmal diese Sorgen: *Gewiß, hoffentlich bald. Die Unruhe peinigt mich sehr.* (478)

Im folgenden Beispiel ist das Partikel *schon* überflüssig, denn die Beschreibung der stark ergrauten Haare spielt auf das Alter der Person an und muss nicht durch ein Partikel bestärkt werden: *Sein Haar war schon stark ergraut, doch straff die Haltung, ungebeugt die Gestalt.* (147)

Im folgenden Auszug wird der Plan zur Entführung Harders von Jolanthe malerisch beschrieben. Sie beschreibt die Neugier der Geißel, wenn sie dem geheimnisvollen Apparat von Montgomery gegenübergestellt wird. Die gestrichene Phrase ist unnötig und fügt keine weitere Nuance hinzu.

„*Ich sehe ihn... den Apparat flüchtig betrachten. Sehe ihn mit immer größer werdendem Interesse die Einzelheiten studieren, sehe ihn die Schrauben und Hebel bewegen... sehe ihn mit allen seinen Kräften darauf stürzen, sein Geheimnis zu lösen, ihn in Tätigkeit zu setzen... Und dann sehe ich...*“ (238 f.)

Auch in den folgenden Beispielen beeinflusst die Auslassung der unterstrichenen Phrasen den Inhalt nicht:

Mette rückt näher an sein Lager heran, neigte sich zu seinem Ohr, erzählte mit fliegendem Atem, was sie und Iversen mit Eisenecker auf der Fahrt verabredet... (380 f.)

Jolanthe sank auf die Knie und griff nach dem Saume seines Gewandes, es zu küssen. (385)

„*Ich selbst! Meine Stimme soll's ihnen künden!*“ (494)

In der kommenden Szene warten Lord und Lady Permroke ungeduldig auf Jolanthe von Karsküll, um die Reise zu beginnen, auf der sie den Apparat Montgomerys besichtigen werden. Der Lord war durch seine privilegierten Beziehungen in der Lage der Baronin Jolanthe eine Besuchserlaubnis zu sichern. Diese kommt jedoch nur knapp vor dem Abfahrtstermin an, daher ist die Passage, die gestrichen wurde, eigentlich überflüssig.

„*Ich begreife unsere Freundin nicht, Ellen. Noch zehn Minuten bis zum Start. In fünf Minuten werden die Laufstege eingezogen. Sie wird zu spät kommen, und sie war doch so begierig auf diesen Ausflug.*“ (91)

Die gestrichenen Passagen mögen vielleicht informativ bedeutungslos sein. Sie spielen jedoch stilistisch eine wichtige Rolle. Sie vermitteln vor allem affektive Merkmale der Charakter. Die Streichung verwandelt den Text in einen sachlichen Bericht, der lebhaft Einzelheiten und Empfindungen verliert.

3.1.6. Korrektur von Fehlern

Einige Änderungen im Text dienen der Korrektur von scheinbar falschen oder unlogischen Sachverhalten. Eine solche Berichtigung wird bei der Amerikareise eingeführt. Die Reise nach Amerika ist eine Gelegenheit der Fantasie freien Lauf zu lassen. Das Flugschiff und die Reise werden ausführlich beschrieben. Sie zeichnen sich vor allem durch Schnelligkeit und Luxus aus. Der Flug an Bord der *Potomac*, des Transatlantikschriffs, wie es im Roman genannt wird, dauert bis zu den Niagara-Fällen 24 Stunden. Der Zustand von Malte von Iversen wird wie folgt dargestellt.

Jetzt saß er, streckte und verschnaufte sich. Die nächsten vierundzwanzig Stunden gehörten ihm. Hier konnte ihm Eisenecker nicht entkommen. (S. 113)

Er ist erleichtert, da er sich von der Verfolgung Eiseneckers ausruhen kann. Denn schließlich wird er nicht vom Flugschiff verschwinden können. Durch eine Panne muss jedoch das Flugschiff notlanden und er verliert Eisenecker aus den Augen. In der Nachkriegsfassung wird *vierundzwanzig* durch *zwölf* berichtigt. Dies ist die korrekte Dauer des konkreten Flugs bis zur Notlandung. Die literarische Darstellung der Empfindungen der Figuren wird verdrängt.

Die Korrektur im folgenden Auszug hängt mit der Kohärenz des Absatzes zusammen. Der unterstrichene Teil, der die lokale Information trägt, wird gestrichen, da er eingeschoben und zusammenhangslos bei der modalen Erläuterung der Hitze wirkt.

Dann, als ob ihm das noch nicht genug, zog er ein rotseidenes Tuch heraus, mit dem er sich Luft zufächelte, während er sich immer mehr vom Ufer entfernte. Und schließlich, als wäre ihm die Hitze ganz unerträglich geworden, entfaltete er ein neues weißes Tuch und führte auch das ans Gesicht. (S. 140)

Es wird auch die Bezugsperson Modestes von Karsküll verändert. Die junge Baroness wird von ihrer Schwester dem Hof in Spanien eingeführt. Sie lernt dort den Prinzen Ahmed, den Bruder des Kalifen, kennen und wird von seiner leidenschaftlichen Zuneigung überrascht. Sie möchte diese ablehnen und weiß nicht, wie sie demgegenüber handeln soll. Sie bekommt eine Idee, sich an ihrer Gastgeberin Fürstin Iraklis zu wenden (150). In der neuen Fassung des Romans wird anstelle dieser ihr Gemahl der Fürst genannt. Dies mag an der Verwandtschaft zwischen ihm und ihrer Stiefschwester Jolanthe liegen. Jedoch ist es eher unwahrscheinlich das sich die junge Frau Modeste bei einer solchen Angelegenheit an einen Mann wendet.

Die folgende Änderung ist diaphasisch. Das Lexem *Lärm* (164) wird durch *Unruhe* ersetzt. Der Minister hält eine Rede vor einer Versammlung von hohen Funktionären und gerühmten Wissenschaftlern. Die mürrische Stimmung wird dadurch erweckt, dass die Engländer nicht in der Lage waren, das Gerät Montgomerys zum Funktionieren zu bringen. Diese Fassung wird in der Originalfassung als *Lärm* beschrieben, was nicht zu dem Status der Anwesenden passt.

Einige weiteren Passagen wurden gestrichen und neu geschrieben. Im folgenden Teil scheint der getilgte Teil unverständlich und wird durch einen einfacheren klaren Satz ersetzt. So heißt es in der Originalfassung:

Das Rätsel war gelöst, die Kräfte des Apparates dienstbar gemacht. Heute noch die des einzelnen hier. Morgen schon die der danach entstandenen. (385)

In der Nachkriegsfassung steht stattdessen: *Heute noch für den Einzelnen hier. Morgen der ganzen Menschheit.*

Anders ist es im folgenden Beispiel. Hier wird eine neue Bedeutung eingefügt, um kohärenter zu wirken. Mette versucht ihren Vater zu überreden mit Eisenecker zu sprechen. Er war einst ihr Geliebter und ein intelligenter Ingenieur an den Werken ihres Vaters. Der Vater befindet sich in einem hoffnungslosen Zustand, denn auch er und seine Mitarbeiter sind nicht fähig, das Geheimnis der Atomkraft zu entdecken. Eisenecker hat die Lösung schon gefunden. Mette bitte ihren Vater daher darum, dieser Begegnung

zwischen ihnen eine Chance zu geben. Die Originalfassung lautet: „*Sprich mit ihm, Vater, und alles wird anders werden.*“ (380) In der Nachkriegsfassung heißt es: „*Sprich mit ihm, nur das eine bitt' ich dich, Vater.*“ Dieser Satz ist aus dem Roman selbst entnommen und wird wenige Zeilen später wiederholt. Die Wiederholung bekräftigt den Wunsch der Tochter.

In den angeführten Änderungen handelte es sich meistens um die Streichung von Wörtern und Phrasen. Im Roman wurden jedoch auch ganze Absätze gänzlich eliminiert, wie sich im Folgenden zeigen wird.

3.1.7. Eliminierung von anstößigen Textpassagen

Nach dem Krieg wurde die Neu- und Wiederauflage von erotischen Literaturwerken verboten (vgl. https://de.wikipedia.org/wiki/Zensur_in_der_Bundesrepublik_Deutschland#1948_bis_1970). Herzog verbindet dies mit dem Wunsch der deutschen Gesellschaft sich von den Gräueltaten des Nazi-Regimes zu distanzieren. Das deutsche Volk wollte Anstand, Sittlichkeit und Moral zeigen und die Jugend zu guten Sitten erziehen. (<https://www.tagesspiegel.de/kultur/kein-sex-vor-der-ehe-am-besten-auch-nicht-danach-3988123.html> abgerufen am 4.2.2023). Dies war auch Teil der Nachzensur von anderen Werken. Anstößige Textpassagen im Allgemeinen wurden zensiert. Im vorliegenden Roman wurde auf jegliche Andeutungen körperlicher Erregung verzichtet – und sei sie auch noch so minimal.

In zwei Absätzen werden die starke Neigung des Kalifen Abdurrahman zu Jolanthe und die des Prinzen Ahmed zu Modeste geschildert. Beide Textpassagen (295, 447) werden komplett gestrichen.

An anderen Stellen im Text werden einige Phrasen, hier die unterstrichenen, getilgt:

Stärker brannte die Glut auf den Wangen Jolanthes. (49)

Mit stillem Entzücken sah er die feine Röte, die bei seinen Worten an ihrem Nacken emporstieg, sich im goldigen Kraus des Haares verlor. (334)

„*Mit Schaudern... mit Entsetzen sah ich, was die Sterne mir offenbarten... in Blitz und Feuer der schönste Leib, der je gelebt ... in die Lüfte gerissen ...*“ (387)

Beim Klang ihrer Stimme war Abdurrahman zusammengezuckt... warf wilde Blicke um sich. Sie legte ihre Hände um seinen Kopf, zog ihn an sich, strich leise darüber... küßte ihm Augen und Mund. „Komm! Es ist Zeit!... Schon neigt sich der Mond.“ Eng umschlungen, als wären sie eins, gingen sie zum Löwenhof zurück, setzten sich nieder auf der Bank. (526)

Jede Beschreibung der Schönheit Jolanthes wird gestrichen, wobei hier anzumerken ist, dass dies auch dazu dient die Verherrlichung dieser Figur zu neutralisieren: *Ein königliches Weib!* (386), *Sah das schönste Antlitz, das je ein Weib geziert* (390), *Das wunderschöne Antlitz* (392).

Das Entfallen dieser Textpassagen dient zwar einem sprachpolitischen Zweck, er beraubt dem literarischen Werk jedoch einen Teil seiner Lebendigkeit und die Gefühlsbetonung.

3.2. Politische Anpassung

Bei der politischen Anpassung handelt es sich um eine neue kulturelle Umstellung zur Einführung der Demokratie und um eine neue Haltung der deutschen Gesellschaft der Besatzungsmächte gegenüber herzustellen. Das Bild der Länder der Besatzungsmächte muss daher einerseits verschönert bzw. entlastet werden. Andererseits muss Respekt und Achtung den Siegermächten gegenüber gezeigt werden. Aus diesem Zweck werden Textpassagen im Roman, die ein verzerrtes Abbild von ihnen hervorrufen könnte, überarbeitet.

Da es sich um eine Nachzensur handelt, wird hier nicht direkte Kritik an die Besatzungsmächte vermieden, sondern Textauszüge, die möglicherweise eine Kritik erwecken könnten, gestrichen oder modifiziert. Die Handlung im Roman ist global. Die

Ereignisse passieren auf vier Kontinenten, und zwar Europa, Afrika, Asien und Amerika. Alle Parteien der Besatzungsmächte sind mehr oder weniger im Roman verwickelt. Am meisten wird England thematisiert. Es bildet das Ebenbild von Deutschland auf politischen und wissenschaftlichen Gebieten. Auch Amerika wird insbesondere auf wissenschaftlicher Ebene in die Handlung des Romans eingebunden, wobei die wissenschaftliche Überlegenheit Deutschlands hervorragt. Auch Russland wird an einigen Stellen erwähnt und zensiert. Frankreich wird nur marginal im Roman behandelt und erfährt keine Zensur.

Im Folgenden soll erörtert werden, wie die Zensur aufgrund der beabsichtigten Zwecke und innerhalb der Handlungsstränge sprachlich erfolgte.

3.2.1. Die Amerikaner

Im Roman tritt Amerika als ein fortschrittliches organisiertes Land mit industriellem und technologischem Potential auf. Nichtsdestotrotz werden schon zu Beginn des Romans die Amerikaner als aggressiv und invadierend dargestellt, wie im folgenden Auszug:

Später noch, als überzudringliche Amerikaner sich nicht scheuten, von oben her einzudringen [...], auch in der Höhe ein hochgeladenes Netz, das tötende Funken auf jedes Fahrzeug warf. (14)

Amerikaner wird daher in der Auflage der Nachkriegszeit durch *Besucher* ersetzt. Das feindliche Bild wird dadurch entschärft.

Im Roman erscheint Amerika an manchen Stellen als Deutschland unterlegen. Es hinkt auf allen möglichen Gebieten – wissenschaftlichen, diplomatischen, journalistischen – den Deutschen hinterher.

Einige Gelehrte hatten sogar von einer hemdsärmeligen amerikanischen Physik gesprochen, wie man in früheren Zeiten wohl ähnlich von der amerikanischen Diplomatie zu sprechen pflegte. (114)

Durch die Streichung des Attributs *amerikanischen* wird die pejorative Beschreibung der amerikanischen Physik und Diplomatie als salopp und formlos getilgt.

Ein weiteres Ereignis im Roman wird instrumentalisiert, um die wissenschaftlichen Fähigkeiten Amerikas zu denunzieren. Der deutsche Ingenieur und Wissenschaftler Eisenecker, der das Geheimnis der Atomenergie schon längst gelüftet und davon profitiert hat, begibt sich nach Amerika, um sich bei einem Experiment als Zuschauer zu beteiligen. Die amerikanischen Wissenschaftler versuchen in diesem Experiment die Kraft der Niagarafälle zu nutzen, um eine Kernspaltung von Quecksilber auszulösen.

Der Versuch Jeffersons... die Riesenenergie der Niagarafälle auf ein wenig Quecksilber loszulassen... er lächelte bei dem Gedanken daran... ein erheiterndes Zwischenspiel, das auf ihn wirken sollte wie der Besuch einer guten Komödie. (117)

Eisenecker amüsiert sich bei diesem Gedanken und später bei der Besichtigung des gescheiterten Experiments. Doch dieser Humor wurde in der Nachkriegsfassung nicht mehr geduldet und die Passage entfällt.

Das Experiment blieb im Roman erfolglos, sogar lächerlich. Das sollte nicht mit den Amerikanern in Verbindung gesetzt werden, daher entfällt das Adjektiv *amerikanisch* in der folgenden Passage.

Um 12 Uhr würden sich 35 Millionen Pferdestärke auf dieses Quecksilber stürzen, würden es... wie die amerikanischen Physiker erwarteten... zertrümmern... in Gold... in Helium... in Nichts. (138)

An anderer Stelle wird der Verweis auf die amerikanische Presse getilgt. Jede geopolitische Determinierung wird gestrichen, wenn sie eine Minderwertigkeit dieser Partei anspielt. Die amerikanische Presse wird im kommenden Absatz als ungenau und unbeholfen dargestellt.

Acht Tage und acht Nächte, in denen die amerikanische Presse sich in Vermutungen und Prophezeiungen überbot. (177)

Die Anspielung auf die Möglichkeit, dass Amerika das Gerät Montgomerys gestohlen hätte, wurde beseitigt, wie im folgenden geänderten Auszug zu erkennen ist: *Amerika? [...] Kamen die ernsthaft für den Diebstahl in Betracht?* (173)

Wie demonstriert, dient hier die Zensur der Aufarbeitung des Amerikabildes, so dass die pejorative Haltung ihr gegenüber getilgt wird.

3.2.2. Die Russen

Die Beziehung Russlands zu den anderen Parteien war nicht unbedingt harmonisch. Sie waren sich jedoch darüber einig, dass sie der gefährlichen Bedrohung der Deutschen ein Ende setzen wollten, indem man sie einer kulturellen Umerziehung unterzieht. Dieses gemeinsame Ziel führt bei der Zensur dazu, dass ein positives bzw. ein neutrales Bild von Russland abgegeben werden sollte.

Eine der wichtigsten Figuren im Roman ist Baronin Jolanthe von Karsküll. Sie ist eine europäische Adelige, die sich mit den türkischen Feinden verbündet und Intrige gegen Europa unternimmt, um dort die maurische Macht zu festigen. Sie ist väterlicher- und mütterlicherseits russischer Abstammung und verbrachte ihre Kindheit bei ihren russischen Großeltern. Als ihr Vater starb, begab sie sich für eine kurze Zeit mit Modeste, ihrer Stiefschwester aus einer zweiten Ehe ihres Vaters, nach Deutschland. Sie ist eine ehrgeizige Person und strebt die Nähe zum Kalifen an. Um dies zu erreichen, scheut sie keine Tat, die diesen Feind Europas unterstützen könnte. Diese Konstellation der Persönlichkeit der Baronin Jolanthe von Karsküll ist sehr kritisch, denn sie steht durch ihre Abstammung stellvertretend für die russische Seite. Die Russen als eine Partei der Besatzungsmächte werden als europafeindlich dargestellt, die sich mit den Mauren aus dem islamischen Reich verbünden. Durch die Streichung vom Adjektiv *russisch* wird versucht, dies zu beschwichtigen, damit Russland im Roman nicht als anti-europäisch hervortritt.

Die Baronin Jolanthe von Karsküll, 28 Jahre alt, Tochter des verstorbenen russischen Obersten Alexander Baron von Karsküll und seiner Ehefrau Sinaide, geborenen Fürstin Iraklis, russische Staatsangehörige, zurzeit wohnhaft in London, Osterley-Park 12, erhält hiermit die Erlaubnis, Montgomery-Hall in Begleitung von Sir Arthur Permbroke am 15. Juni zu besuchen. (21)

Im folgenden Auszug erklärt Modeste von Karsküll, Stiefschwester Jolanthes, die Gründe ihrer Ablehnung des Prinzen Fuad. Sie führt dies auf die unterschiedliche Abstammung beider Schwestern zurück. Dies wird mehrfach sprachlich hervorgehoben. Wörter wie *unsere Naturen*, von *Blute* und *Geschlecht* weisen distinkt auf diesen Unterschied zwischen den Schwestern hin. Der Satz, der ausdrücklich die Zugehörigkeit Jolanthes zur russischen Mutter und die damit verbundene Gesinnung und Verhaltensweise aufweist, entfällt gänzlich. Diese Eliminierung erfolgt zur Verschönerung der russischen Seite. Gleichzeitig wurde dabei ein weiteres Ziel erreicht, und zwar die Entnazifizierung, da der rassistische Ton getilgt wird.

„Jolanthe... du hast es selbst früher so oft gesagt, daß unsere Naturen völlig verschieden sind. Du hast wenig dem von Blute der Karskülls in dir. Du artest mehr nach dem Geschlecht deiner Mutter. Für dich mag die Aussicht, Prinzessin Fuad zu werden, verlockend sein. Bei dir mögen alle Gründe, die dagegen sprechen, zurücktreten. Ich denke anders!“ (203)

Im Roman spielt das Land Russlands eine marginale Rolle. Es wird vor allem als Feind der islamischen Länder dargestellt. Bemerkenswert ist, dass die russische Heldin Jolanthe Intrige gegen Russland im Interesse der Mauren ausführt (157 ff.). In diesem Zusammenhang wird jeder Hinweis auf Russland im Text eliminiert. Jolanthe begibt sich

in der Nachkriegsfassung in ein unbestimmtes feindliches Land und ist dort in der Lage, die Abschriften mit den feindlichen Kriegsplänen zu stehlen.

Als der letzte Krieg gegen die Russen ausbrach, war sie eines Tages aus meinem Hause verschwunden. (157)

Als sie bei ihrer Bitte beharrte, machte ein Adjutant scherzend den Vorschlag, sie möchte doch die russischen Kriegspläne aus Moskau holen und uns bringen. (158)

Die unterstrichenen Wörter werden in der Nachkriegsfassung eliminiert.

Russische Pläne wird nach der Zensur durch *Feind-Pläne* ersetzt: *Man öffnete es, und es waren die Abschriften der russischen Pläne. (159)* Die Zensur beseitigt den russischen Mitspieler trotz seiner marginalen Rolle, die in den Ereignissen nie gegen Europa oder Deutschland handelt, gänzlich aus dem Roman. Ob dies für die Umerziehung nützlich gewesen war, ist fraglich. Vielmehr geht eine wichtige Komponente der Parteien im Roman verloren und verbleicht fast komplett aus der Handlung.

Eine solche Ausgrenzung ist bei der Behandlung der Textpassagen, in denen Engländer vorkommen, kaum möglich, wie nun gezeigt werden soll.

3.2.3. Die Engländer

Die Beziehung zwischen Deutschland und England ist eine der wichtigsten Beziehungen im Roman. Der Wettbewerb um die Entdeckung der Atomkraft spielt sich zwischen diesen beiden Polen ab. England hat dabei den Vorsprung. Der englische Physiker Montgomery hatte einen Apparat entwickelt, mit dem eine Kernspaltung durchgeführt werden konnte. Diese Kernspaltung würde eine enorme Energie freisetzen, die als Waffe benutzt werden oder durch die man Elemente in Gold verwandeln könnte. Doch dieser Wissenschaftler stirbt, ohne das Geheimnis des Apparats weiterzugeben. Auf dem zweiten Platz stehen die Riggers-Werke in Deutschland. Diese wissenschaftliche Institution mit ihren vielen Experten versucht ebenfalls eine Kernspaltung zustande zu bringen. Es gelingt ihnen jedoch zu Beginn nicht. Nur Eisenecker ein ausgetretener Physiker enthüllt das Geheimnis gleichlaufend mit Montgomery, ohne dass jemand davon erfährt. Hier zeigt sich die starke Konkurrenz zwischen den beiden Polen. An dritter Stelle kommen die Amerikaner, die den europäischen Wissenschaftlern in dieser Hinsicht hinterherhinken. Und schließlich ist ein ägyptischer Wissenschaftler Ibn Ezer in der Lage, den Apparat Montgomerys in Gang zu setzen.

Diese wissenschaftliche Konkurrenz zwischen Deutschland und England wird immer wieder im Roman thematisiert. Sie dient dazu Kritik an die englische Politik und Wissenschaft zu üben. Diese Kritik ist nach Kriegsende nicht mehr akzeptabel. Die britische Besatzungsmacht muss ihren Status bewahren. Die folgenden zensierten Auszüge werden zeigen, wie dieses Bild in der Nachkriegsfassung neutralisiert wird.

Ich kann mir denken, Sir Arthur, daß die englische Regierung sich zu einem solchen Schritt nur sehr ungern entschließen würde. Bedeutet er doch zum mindesten für die englischen Physiker das Eingeständnis einer schweren Schlappe. Ganz abgesehen von anderen Gründen, die gegen einen solchen Weg sprächen.» (24)

Anstelle *die englische* wird nun das Possessivpronomen *unsere* eingesetzt. Auch weiterhin im Roman wird jede geo-politische Einordnung, wo nicht unvermeidbar, gestrichen. Die Determinierung der Nationalität hat die Funktion die deutsche Rolle im europäischen Handeln hervorzuheben und gleichzeitig die Rolle anderer Nationen, insbesondere die der Engländer, zu degradieren. Hier werden die englische Regierung und die englischen Wissenschaftler in einer schamhaften Lage dargestellt – sie erhielten eine schwere *Schlappe* (24), wobei die deutsche Seite klar überlegen ist. Durch die Zensur soll die Blamage nicht der englischen Regierung angehaftet werden.

Im folgenden Beispiel wird durch die Streichung Englands aus dem Text die europäische Zugehörigkeit hervorgehoben.

Bei der ungeheuren Wichtigkeit, die der Besitz der Erfindung für Europa, ich betone: nicht nur für England, sondern für ganz Europa hat, dürfte es doch ganz einerlei sein, wer das Geheimnis löst, ein Engländer oder ein Deutscher. (25)

Im letzten Teil stehen deutsche Wissenschaftler den englischen ebenbürtig gegenüber. Dies ist nach der Niederlage nicht mehr angemessen. Die Umerziehung des deutschen Volks, beabsichtigte es den deutschen Stolz zu verdrängen und anstelle dessen ein Schuldgefühl hervorrufen. Der Text verliert diese Spezifizierung und wird ins Allgemeine versetzt. Damit wird einerseits das Selbstgefühl geschwächt und gleichzeitig wird eine provokative überhebliche Geste von den Besatzungsmächten vermieden.

Im folgenden Auszug geht es um den Druck, den die deutsche Regierung und Presse auf die englische Regierung ausübt, um eine wissenschaftliche Zusammenarbeit im Bereich der Atomenergie zu erreichen.

Bedurfte es doch einer ganz besonderen Hingabe, auf dem einmal beschrittenen Wege weiterzugehen, weiterzuarbeiten und ein Ziel zu erstreben, das jener Engländer schon erreicht hatte. [...] „Sie wissen, daß die deutsche Presse es der englischen Regierung seit dem Tode Montgomerys sehr nahegelegt hat, Physiker der Riggers-Werke zum Studium und zur Inbetriebsetzung des Apparates heranzuziehen. Ich kann Ihnen weiter sagen, daß auch unsere Regierung mit einem derartigen Schritt an die englische Regierung herangetreten ist. Heute morgen kam die Antwort: Nein! (51f.)

Die Adjektive *deutsch* und *englisch* entfallen in diesem Auszug und damit auch die Darstellung Deutschlands als ein ebenbürtiges Land, das Druck auf England ausübt.

In der Nachkriegsversion entfällt der folgende Satz vollständig: *Insofern ist es nur vorteilhaft für unser Werk, daß England selbst die Zusammenarbeit ablehnt (53 f.)*. Die vorteilhafte Situation für die Riggers-Werke, dass sie nun die Chance haben, im Bereich der Atomwissenschaft an der Spitze zu stehen, wird ausgesetzt. Dass die deutschen Wissenschaftler einen Vorsprung in diesem Bereich haben könnten, wird somit getilgt. Daher wird auch folgender Satz in der Nachkriegsfassung geändert: *Es handelt sich darum, daß wir es vor den Engländern lösen (S. 55)*. *Vor den Engländern* wird ersetzt durch *schnellstens*. Die Konkurrenz wird aufgehoben. Es wird zu einem gemein europäischen Problem.

Im sechzehnten Kapitel befindet sich die britische Regierung in einer skandalösen Situation. Das Gerät Montgomerys war verschwunden. Die kritische Situation wird in der Nachkriegsfassung beibehalten. Jedoch werden alle geo-politischen Hinweise auf England gestrichen. Im folgenden Beispiel wird der Genetiv gestrichen, damit die englische Wissenschaft nicht herabgewürdigt wird.

Murren, halblaute Zwischenrufe in der Versammlung... ,unmöglich... unerhört... eine Blamage der englischen Wissenschaft vor ganz Europa' ... (164)

Auf den darauffolgenden Seiten (165 ff.) des Kapitels wird jeder Hinweis auf England gestrichen, um diese herabsetzende Darstellung Englands zu umgehen. Phrasen wie *ungeheure Blamage, vernichtendes Armutzeugnis, unsicher (165), schweren Stand (159), dem allseitigen Druck weichend, Diebstahl, trotz aller Sicherungen und trotz aller Wache gestohlen, Vorwürfe, Fahrlässigkeit (169) usw.* werden mit England verbunden. Unter diesem nationalen und internationalen Druck gab die englische Regierung schließlich nach und beschloss, dass nun auch andere Physiker den Apparat untersuchen. In der Nachkriegsfassung gibt es keine Spur davon, dass England diesem Druck nachgibt. Der folgende Paragraf entfällt komplett aus dem Roman.

„Das britische Ministerium hat daher einstimmig beschlossen, der europäischen Bundesregierung ihre Bereitwilligkeit zu erklären, den Apparat Montgomerys durch andere von den Regierungen in Vorschlag zu bringende Physiker untersuchen zu lassen. ...“ (165)

In einem Vergleich zwischen den deutschen und den englischen Physikern, wird die Andeutung, dass *die englischen Physiker den deutschen Gelehrten nachstehen* (172), gestrichen. Auch in den folgenden Auszügen entfällt das Attribut *englisch*. Es wird versucht, jede Diffamierung, Herabsetzung und Kritik an England zu löschen. Der Raub des englischen Apparats von den Engländern ist eine Blamage, daher wird der geo-politische Hinweis beseitigt. Aber auch die Tatsache an sich, dass der Apparat von England gestohlen wurde, ist ein großer Skandal.

Die Notiz eines hiesigen Mittagsblattes, daß die so plötzlich veränderte Sprache der scherifischen Regierung aller Wahrscheinlichkeit nach darauf zurückzuführen sei, daß der englische Apparat von maurischer Seite geraubt sei und sich im Besitz der maurischen Regierung befindet, dürfte jeder Begründung entbehren. (271)

Nur die Anspielung darauf, dass ein englischer Wissenschaftler einen solchen Betrug begehen könnte, wird eliminiert.

„Kaum anzunehmen. Wollte er den Apparat unbrauchbar machen, hätte er ihn ganz vernichten können. Und doch! Wer könnte es sonst gewesen sein? Einer von den Gelehrten, den englischen Physikern? Ebenso ausgeschlossen.“ (312)

Jolanthe die listige Baronin lebt in der englischen Gesellschaft und genießt dort Respekt und Adel-Status. Trotzdem begegnet sie all dem mit Tücke und Betrug und hält die englische Gesellschaft und sogar Regierung zum Narren. Sie benutzt deren Großzügigkeit und Vertrauen, um ihre listigen Pläne auszuführen. Der Spezifizierung auf die englische Gesellschaft wird durch die Streichung des Adjektivs verallgemeinert.

„Ja. Jolanthe besitzt dort ein eigenes Haus. Viele Bekannte in der englischen Gesellschaft. Sie erzählte mir so viel Angenehmes und Schönes darüber, daß ich eigentlich nur deshalb einwilligte, als sie mich vom Tirsenhof holte.“ (331)

Im folgenden Abschnitt werden die osmanischen Wissenschaftler auf Kosten der englischen als geschickter und intelligenter hervorgehoben. Sie nahmen den englischen Apparat in ihren Besitz und sind in der Lage, ihn in Gang zu setzen. Durch die Streichung des Attributs wird der Vergleich und die dahinterliegende Kritik entschärft.

Er überdachte nicht weiter, wie der Apparat in die Pyramide gekommen, dachte nur mit einem Gefühl der Bewunderung, das nicht ganz frei von Neid, daß dem in so kurzer Zeit gelungen, was die Blüte der englischen physikalischen Wissenschaft nicht vermocht. (469)

Wird im Roman das herabsetzende Bild der Amerikaner immer humorvoll wiedergegeben, so ist das bei der Darstellung der Engländer anders. Mit England wird um die Wette gerannt. Sie sind die wahren Konkurrenten der Deutschen. Die Kritik an englische Politik und Wissenschaft ist daher sehr scharf im Roman, um die deutsche Überlegenheit herauszukristallisieren. Die Zensur versucht diese Schärfe zu relativieren, indem die geo-politische Determinierung ausgelassen wird. Auch hier verliert der Text eher Farbe, denn diese Konkurrenz gehört zu den Spannungsmomenten im Roman. Nichtsdestotrotz geht daneben immer der Wunsch hervor, dass sich Europa vereint und ihre Konflikte beiseitelegt, um den Feind, hier die Mauren, gemeinsam zu bekämpfen. Eine weitere Dimension im Roman ist daher Europa, die im Folgenden behandelt werden soll.

3.2.4. Die Neupositionierung Europas

Im Roman wird das Thema eines vereinten Europas angesprochen. Immer wieder wird der Vorschlag gemacht, dass europäische Wissenschaftler gemeinsam das Problem der Atomkraft angehen sollten. Auch politisch wird ein *europäischer Staatenbund* (25) angestrebt. Auch was die Massenmedien anbetrifft, so ist die Rede von einer *europäischen Zeitungsstimme* (114). In diesem Beispiel wird der geo-politische Hinweis auf Europa gestrichen. Die zentrale Rolle Europas wird in der neuen politischen Weltszene nach dem Krieg verschoben. Neben Europa sind nun auch Russland und Amerika wichtige Mitspieler. Die Eurozentrismus im Roman wird so weit wie mögliche aufgelockert, um die anderen Weltmächte nicht auszuschließen.

Im folgenden Beispiel wird Europa auf England und Deutschland eingegrenzt. Durch die Streichung der Attribute ist der kontinentale Bezug umfassender. Gleichzeitig wird die ebenbürtige Gleichsetzung Deutschlands mit England relativiert.

Wir mußten fürchten, daß es den europäischen Gelehrten, englischen und deutschen, doch in absehbarer Zeit gelingen würde, den Apparat Montgomerys in Tätigkeit zu setzen. (229)

Die Streichung des Dativobjekts in der kommenden Infinitivkonstruktion eliminiert ein obligatorisches Satzglied, was den korrekten Satzbau bricht. Sie ist jedoch insofern nötig, da der Raub an sich Kritik an England impliziert. Er bringt die Blamage Englands wieder auf. Die Streichung Europas bewirkt auch hier, dass ihre globale Relevanz in den Hintergrund gerückt wird.

Blieb also nur die Erklärung, der Zweck des Raubes war, England, respektive Europa, die Waffe aus der Hand zu schlagen... (242)

Im folgenden Beispiel träumt Jolanthe triumphierend von der Niederlage Europas im Allgemeinen und Deutschlands im Besonderen. Sie verspottet dabei die Deutschen und stellt sie als schwach, demütig und feige dar. Dieses Bild wird um den unterstrichenen Satz gekürzt, da er für die Nachkriegszeit die deutsche Partei als den starken Hauptfeind darstellt. Die Größe Deutschland wird relativiert. Der Spott wird somit verallgemeinert und bezieht sich auf Europäer schlechthin.

„Ich denke, die werden sich hüten, mein Prinz. Unsere zwölf Apparate, über Europa von unserem Flugschiff abgeworfen... zwölf Warnums... in hundertfacher Größe... halb Europa ein Trümmerhaufen...“ Sie lachte laut auf. „... da werden die Herren das bessere Teil der Tapferkeit wählen. Ihr kühner Mut wird dahinsinken. Der Deutsche! ... Ich sehe ihn schon bleich werden... mit zitternden Knien zurückfliehen, woher er gekommen. Keiner, der es wagen wird, gegen uns zu sein. Der Einsatz wäre zu groß!“ (451)

Harder der deutsche Inhaber der Riggers-Werke, die die Atomenergie freisetzen konnten, äußert in einem überheblichen Ton seine Meinung zu dem Anspruch einiger Länder außerhalb Europas auf das Geheimnis der Atomenergie. Er ist der Meinung, dass Europa zunächst ihre Wirtschaft mithilfe der Energie verbessern sollte, bevor jemand anderes davon profitiert. Die Streichung des folgenden Satzes aus diesem Kontext eliminiert einerseits die überhebliche Haltung Harders. Andererseits wird dadurch der Eurozentrismus aufgehoben.

„Diese Forderungen einiger außereuropäischer Staaten, auch ihnen gleichzeitig die neue Energie dienstbar zu machen, kann ich nur als eine Anmaßung bezeichnen.“ (508)

Eine unmittelbare Kritik an ganz Europa ist im folgenden Abschnitt vorhanden. Die Besetzung Spaniens ist an sich eine Demütigung Europas und die Unfähigkeit Europas sich zur Verteidigung zu verbünden ist ein weiterer Skandal. Das Wort *Schmach*, das eine Entehrung Europas anspielt, wird gestrichen. Ebenso wird die offensive pejorative Bezeichnung der europäischen Staatsmänner als *Staatenklüngel* getilgt.

Selbst die letzte, größte Schmach, die Besetzung Spaniens bis zu den Pyrenäen durch das mauretanische Reich, hat es nicht vermocht, diesen Staatenklügel zu sprengen, die europäischen Staatsmänner zu europäischem Denken zu erziehen. (25)

Die Schmach noch immer nicht getilgt! (120)

Die Zensur bewirkt eine Neupositionierung Europas aus dem Zentrum in die Peripherie, was als Verlust für Europa gelten sollte. Tatsächlich hat Europa im kalten Krieg der Nachkriegszeit nicht mehr denselben Stellenwert.

3.3. Entnazifizierung

Ein Hauptziel der kulturellen Umerziehung Deutschlands nach dem Zweiten Weltkrieg war die Entnazifizierung. Die Zensur des Romans versucht dies zu erreichen, indem das Nationalgefühl der Deutschen abgebaut und die deutsche Tradition verdrängt wird und indem der deutsche Wortschatz von den Ausdrücken des Militarismus geklärt wird.

3.3.1. Senkung des Nationalgefühls

Der Stolz der Deutschen auf ihre Identität und ihr Bezug vor allem zur preußischen Tradition und Tugend sollte minimalisiert werden. In vielen veränderten Passagen tritt dies zum Vorschein; so z. B. im folgenden Satz.

Ich denke in erster Linie an die Physiker der Riggers-Werke in Deutschland, die seit Jahren auf dem gleichen Gebiete arbeiten. (24)

In Deutschland entfällt in der Nachkriegsfassung. Im Roman spielen insbesondere die Riggers-Werke eine große Rolle. Diese wissenschaftliche Institution hat die Aufgabe die Atomenergie zu entwickeln und ist dazu auch durch ihre intelligenten Ingenieure und technologische Ausstattung fähig. Im Roman wird immer wieder betont welche hervorragende Rolle die deutschen Wissenschaftler für Europa spielen. Deutschland war dafür auch berühmt. Die Eliminierung des Quartiers dieser Werke dient dazu, diesen wissenschaftlichen Status der deutschen Gesellschaft zu verbergen und schwächt somit das Nationalgefühl und den Stolz der Deutschen.

Es wird wo immer möglich der Verweis auf Deutschland gestrichen. So auch im folgenden Beispiel:

Goldbarren sind keine allzu häufige Handelsware, und sehr schnell konnte festgestellt werden, daß der Barren vor 46 Tagen bei der Mitteldeutschen Diskontobank in Hannover verkauft worden war. Ich betraute Sie mit der Ermittlung des Verkäufers. (S. 70)

An einer weiteren Stelle wird der Paragraph geändert, um den Verweis auf Deutschland zu beseitigen. So heißt es im Original:

Die Zeitdifferenz von sieben Stunden zwischen Deutschland und Mittelamerika kam ihr bei dem Westflug zugute, so daß sich für die Reise nur eine scheinbare Fahrzeit von siebzehn Stunden ergab. (S.112)

In der Nachkriegsfassung entfällt jeder Bezug auf Deutschland. Dabei wird die Konzentration auf Deutschland als Zentrum der Ereignisse und als Zentrum Europas aufgelöst.

Nach einer Fahrzeit von genau zwölf Stunden sollte sie fahrplanmäßig am folgenden Tage bei den Fällern landen. Die Zeitdifferenz von sieben Stunden zwischen Europa und Mitteleuropa [sic.! Mittelamerika] kam ihr bei dem Westflug zugute.

Die wissenschaftliche Überlegenheit Deutschlands wird im Roman auch so weit wie möglich geschwächt. Im folgenden Satz ist die Rede vom Bau mehrerer Kraftwerke in Spanien im Auftrag einer deutschen Institution. Die Riggers-Werke stehen im Roman für die deutsche Fortschrittlichkeit in Technik und Forschung sowie für wissenschaftliche Überlegenheit. Die Streichung *der Riggers-Werke* eliminiert diese Symbolik.

Seine Gedanken flogen zu der spanischen Halbinsel, flogen zurück durch die Jahre. Zurück zu der Zeit, als er im Auftrage der Riggers-Werke dort die großen Kraftwerke in Segovia, in Zamora und bei La Roda baute. (121)

Dieser wissenschaftliche Vorsprung und die damit verbundene militärische Errungenschaft wird daher an mehreren Stellen gestrichen, wie die folgenden Beispiele zeigen: *Inzwischen ist zu befürchten, daß das Problem von anderer Seite, zum Beispiel in Deutschland, gelöst wird. (228)* Der türkische Kalif und seine Mitarbeiter befürchten, dass die deutschen Forscher vor ihnen das Geheimnis des Apparats von Montgomerys entdecken könnten.

Des Weiteren wird der Rang der Riggers-Werke in der folgenden Passage durch den Eingriff in den Text heruntergefahren. Das Genitiv-Attribut *der Riggers-Werke* entfällt und somit auch der Bezug auf die Physiker, die dort tätig sind. Die Integrität der Deutschen und ihre Unbestechlichkeit wird ihnen nicht länger zugesprochen. Das Ersetzen des Wortes *Deutschen* mit *Gelehrten* ist ein weiterer Eingriff, der diesen Stolz erweckenden Eigenschaften und Tugenden verdecken soll.

„... Können wir vorläufig die Kräfte des Apparates nicht bedienen, so ist doch auch Europa die Möglichkeit verschlossen, das Geheimnis durch die Physiker der Riggers-Werke zu lösen.« »Sollte es nicht möglich sein, Sire, den einen oder den anderen dieser Leute durch hohe Summen zu bestechen und sie zu gewinnen, für uns zu arbeiten?« »Unmöglich! Diesen Deutschen ist mit Gold nicht beizukommen.“ (234)

Bei einer weiteren wichtigen deutschen Figur im Roman, Modeste von Karsküll, wird durch die Zensur versucht, ihre deutsche Natur und Abstammung zu verdrängen. Im folgenden Satz entfällt das Attribut *deutsches* in Bezug auf Blut. Damit werden nicht nur die Standhaftigkeit Modestes und ihre Treue zu ihrer Heimat, die auf ihr deutsches Wesen beruht, geschwächt. Vielmehr könnte diese Wortkombination die Apartheit der Politik des Nationalsozialismus anspielen. Die Streichung dient somit nicht nur der Entpreußung sondern auch der Entnazifizierung.

„Das Ganze müßte, wie ich Modeste kenne, anders angefaßt werden“, fuhr Jolanthe fort. „Ihr kühles deutsches Blut vermag sich nur schwer zu entzünden. Prinz Ahmed... wie ein Feuerbrand müßte er über sie kommen, daß sich an seiner Glut ihr Herz entflammt...“ (327)

Eine Streichung mit gleicher Absicht erfolgt im folgenden Absatz:

Wie hier fortkommen? Modeste sprang auf. Das alte Karsküllsche Blut in ihr wallte auf. Weg von hier! ... Fort aus dieser unwürdigen Gefangenschaft! (443)

Der folgende Auszug weist auf die Verbundenheit Modestes zu ihrer Tradition hin. Er wird gänzlich gestrichen.

„Ob Sie sich in London so wohl fühlen würden, teuerste Baronin? Ich glaube, es wird nicht lange dauern, so sehnen Sie sich nach dem Tirsenhof zurück.“ (331)

Eine weitere Komponente neben der Senkung des Nationalgefühls bei der kulturellen Umerziehung ist die Entmilitarisierung, die im Folgenden behandelt werden soll.

3.3.2. Entmilitarisierung

Die Zensur des Romans bearbeitet auch Textstellen, die den Militarismus Deutschlands widerspiegeln. Der Inhaber der Riggers-Werke, Ingenieur Harder, wird im Roman als *Generaldirektor* (71, 72, 58) bezeichnet. In der Nachkriegsfassung wird diese Berufsbezeichnung durch *Direktor* oder dem Personalpronomen *er* ersetzt. Die originale Bezeichnung enthält die militärische Komponente *General*, auch wenn sie in diesem Kompositum nicht die militärische Bedeutung trägt. Der Charakter Harders jedoch zeigt militärische Züge auf. Er ist ernst, autoritär und lebt nach strikter Ordnung. Der folgende Satz wird komplett gestrichen, da er diese militärische Haltung reflektiert.

Wieder ging eine Bewegung durch die am Konferenztisch Versammelten. Aber der herrische Blick des Generaldirektors, seine befehlsgewohnte Stimme erstickten jeden Widerspruch im Keime. (55)

Der autoritäre Ton der deutschen Figur wird entschärft, um den Militarismus nicht anzuspüren und ihn in den Hintergrund zu drücken. In diesem Zusammenhang wird auch das Wort *Generalgewaltigen* (223), mit dem Harder gemeint ist, zu *Gewaltigen* gekürzt. An einer anderen Stelle wird seine autoritäre gebieterische Haltung entschärft, indem das Wort *herrisch* gestrichen wird: *Ein kurzer, herrischer Abschiedsgruß an die Versammlung. (226)*

An einer weiteren Stelle, werden auch der humorvolle Selbstlob Iversens, sein ehemaliger Beruf und der militärische Dienstgrad, die er einst erfüllte, gestrichen.

„Beachten Sie den schönen Vornamen Malte, bitte! Gewesener Leutnant, gewesener Kaufmann, halb gewesener Rittergutsbesitzer. Die Klitsche ist verpachtet. Jetziger Hauptberuf Sportsmann.“ (58)

Das Attribut *schönen* deutet auf das hohe Selbstbewusstsein der Persönlichkeit und ihren Sinn für Humor hin. Die Aufzählung der verschiedenen Berufe hebt die vielfältigen Fähigkeiten des Charakters hervor. Sie entfallen alle außer dem Beruf, in dem Iversen versagte, nämlich als Gutsinhaber, der sein Land verpachten musste. Der Charakter wird in der Nachkriegsfassung denunziert zu einer erfolglosen fast untauglichen Persönlichkeit. Das dient der Bekämpfung des Nationalgefühls und der Entmilitarisierung.

Auch im folgenden Auszug wird eine militärischer Auftritt Maltes von Iversen zensiert: *Malte von Iversen schlug die Hacken zusammen, machte eine überkorrekte Verbeugung und legte die Hand aufs Herz (382).*

Die Zensur ist sehr genau, in der Entfernung militärischer Terminologie. Im folgenden Satz wird der Begriff *in Zivil* gestrichen. Der Ausdruck impliziert in sich die Abhebung vom Gegenteil, und zwar von der militärischen Kleidung.

Ein Herr in Zivil stand neben ihm, in der anderen Hand des Iversen wohlbekanntes Erkennungszeichen der politischen Polizei. (208)

Zu der gestrichenen Naziterminologie gehört das Wort *Führer* (254, 289), dass durch *Anführer* ersetzt wird. Das ist notwendig, um die Verbindung mit Hitler zu brechen.

4. Ergebnis

Die Sprachpolitik der Nachkriegszeit zielte darauf ab, durch sprachlich-editorische Eingriffe in den Roman Textpassagen zu revidieren, die nicht in Einklang mit den neuen demokratischen Werten der Besatzungsmächte stehen. Die Änderungen im Roman sind jedoch nicht nur darauf bezogen. Einige Änderungen im Text sind rein stilistisch und weisen keine manipulative Absicht auf. Im Folgenden sollen diese Eingriffe kurz zusammengefasst werden.

Die Bezeichnung von neuen Erfindungen, die für Science-Fiction typisch sind, wird verändert und von real vorhandenen Bezeichnungen ersetzt. Dies schränkt die Fantasie des Lesers ein und entreißt dem Roman die fantasievolle Nuance.

Die bürgerliche Anredeform wird auf alle Figuren im Roman ohne Beachtung des sozialen Ranges dieser Figur übertragen. Dies bezweckt die Einführung demokratischer Denkmuster und die Desillusionierung des gemeinsamen maurischen Feindes. Es ist jedoch stilwidrig und literarisch unangemessen, denn die Figuren verlieren ihre spezifischen Eigenschaften und werden vereinheitlicht.

Obwohl das osmanische Reich als ein traditioneller Feind Europas gilt, wird sein Bild in vieler Hinsicht im Roman verherrlicht. So tritt der Feind als ebenbürtige Entität auf und

wird durch seine Ehre im Streit gekennzeichnet. Durch Änderung der Adjektivformen und Auslassungen wird der Versuch unternommen, dieses Bild zu entschärfen.

Übertreibung im Allgemeinen wird im Roman relativiert, indem die Superlativform von Adjektiven in Positiv geändert wird und indem Phrasen mit übertriebener Bedeutung entfallen. Die Änderung erfolgt eher unbeachtet der Natur dieses literarischen Genres, indem Ausführlichkeit und Übertreibung zur Fantasie des Science Fiction gehören. Auch die Aufhebung von anscheinend redundanten Wörtern und Textpassagen hat denselben Effekt auf den Roman. Diese Stellen sind meistens nicht informativ. Sie vermitteln jedoch affektive Momente im Roman. Die Korrektur von anscheinend vorhandenen Fehlern und Sachverhalten zeigt sich in manchen Stellen als stilwidrig und unlogisch. Anstößige Textpassagen werden prinzipiell in der Nachkriegszeit zensiert und gestrichen. Dies beraubt dem Roman jedoch die Gefühlsbetonung.

Eine weitere Achse, die vorwiegend im Roman zensiert wird, ist die politische Anpassung des Textes, so dass das Bild der Besatzungsmächte verschönert und eine demokratische Mentalität eingeführt werden. Von dieser Zensur sind insbesondere die Amerikaner, die Russen und die Engländer betroffen. Das pejorative humorvolle Amerikanerbild wird aufgearbeitet. Die Russen werden durch die Zensur fast gänzlich aus dem Roman verdrängt. Die Kritik an die Engländer, die als echte Konkurrenten der Deutschen im Roman hervortreten, wird durch die Zensur entschärft, indem hauptsächlich die geopolitische Determinierung ausgelassen wird. Doch auch hier verliert der Roman viele Spannungsmomente. Was Europa anbetrifft, so bewirkt die Zensur eine Neupositionierung Europas aus dem Zentrum der Welt in die Peripherie. Dieser Verlust ist zugunsten des neuen Weltsystems, indem Russland und Amerika die Pole der neuen Weltmächte spielen.

Auf der Ebene der Entnazifizierung greift die Zensur ein, um das Nationalgefühl der Deutschen zu senken und eine sprachliche Entmilitarisierung durchzuführen.

Textpassagen die deutschen Fortschritt und Überlegenheit, oder edle deutsche Tugenden aufweisen werden gestrichen. Zur Entmilitarisierung werden militärisch beladene Lexeme getilgt.

Die Zensur neutralisiert den Westen polarisierende Textpassagen und rekonstruiert einen europa- und westenkonformen Text. Da die Zensur kein literarisch kunstvolles Werk ist, verliert der Text bzw. die Handlung teilweise ihre Lebendigkeit und Spannung. Literarische Momente, wie Fantasie, Gefühlsbetonung, Spannung und Humor, werden dadurch zerstört.

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Using Machine Translation Error Identification to Improve Translation Students' Post-Editing Skills

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Abstract: Attempts to investigate challenges facing translation students in post-editing remain limited in literature. This research investigates a common challenge observed during post-editing training using SDL Trados 2021 which is deciding whether to post-edit MT output or translate from scratch. Making such decisions by translation students may need more focused procedures and criteria to improve this decision-making capability. The current research suggests integrating MT error identification proposed by Daems J, Vandepitte S, Hartsuiker RJ and Macken L (2016) as a basic criterion to undertake post-editing process and tested its effects on improving their performance in post-editing process regarding decision making and time consumed. A quasi-experimental approach was adopted, and the experiment was applied on thirty (30) translation students at university level divided into a control group and an experimental group. A pre-test was given to both groups to identify both performance and time consumed in the post-editing process. MT error identification techniques and Statistical MT error types were introduced in a five-day workshop using a task-based approach to instruct the experimental group. The control group received traditional post-editing training with no focus on MT error types. A post-test was administered to both groups to test the improvement in post-editing skills. The findings showed the significant improvement in students' post-editing skills. This research would contribute to enhancing translation training courses provided to cope with the continuous advancement in translation technologies and market needs.

Key words: Machine Translation, Post-editing, Decision making, Error Identification

1. Introduction

The progressively increasing shift from translation to Machine Translation Post-Editing MTPE projects has had a great impact on the market. This shift boosted organizations to try to improve efficiency and reach cost-effectiveness by editing the MT output to create a fluent output; this procedure is known as post-editing (PE). Hence, the translation market has been witnessing a shift from translation to MTPE projects which led to the emergence of new standards for the translation services that defined Post-Editing (PE) as a professional activity. For example, ISO 17100:2015 and ISO 18587:2017 set the requirements for postediting of machine translation output and establish the requirements for this new job description (Ginovart & Oliver, 2020).

Due to the diversity of the translation market and the available possibilities to transfer languages, translators must cope with these changes to provide more services. In addition, the demand for high-quality translation started to decline; meanwhile, increasing the quality of machine translation output increases along with the wide availability of computer-aided translation (CAT) tools. This practical prospect of using Computer-Assisted Translation tools CAT within the translation workflow and how they are integrated (Pym, 2013) and integrating PE as part and parcel of translation training has been raised recently (Bernardini et al., 2020). Also, there are indicators that PE may make

the translation memory as the primary production process in the language industry (Translation Automation User Society [TAUS], 2010).

However, the need of the current translation market increases and has not yet met by training (Cid-Leal et al. 2019; Jia et al. 2019). As translation trainees need to learn how to handle new technologies and to make educated decisions regarding translation; for instance: deciding which translation tool to use and when. There are hesitant steps toward providing PE as a priority in translation training. Although post-editing is necessary as an attempt to cope with the changing nature of translation market, trainees have many challenges to overcome, as they need clear guidance to identify the scope of MT post-editing and what is expected from them. Necessary skills to undertake post-editing have been defined in literature, yet boosting students' skills need more attention in research (Pym, 2013; Rozmyslowicz; 2014; Yamada, 2015).

Translation students and trainees also seem to face challenges in performing post-editing tasks. For instance, trainees were careless and did not change the phrasing of texts if they were accepted (Depraetere, 2010). Moreover, translators are used to apply their skills to generate solutions for problems in translation from scratch not to choose between available solutions (Pym, 2013) which represents an obstacle in making decisions regarding the changes to be made or solutions to be selected. This problem raises an important question; how to overcome the challenges faced by translation students in post-editing to improve their skills and be ready for the translation market demands.

The researcher has also observed the confusion and hesitance in performing post-editing regarding the changes to be made and the acceptance of MT output while training senior year translation students on post-editing using SDL Trados. Some students could not make decisions whether to re translate the text again manually and ignore the translation output of the MT or to perform a post-edit process and asked how they can take these decisions and on what biases. Other students depended on their sense to identify the MT output errors and sometimes made unnecessary changes to accepted translations.

2. Literature Review

2.1 Machine Translation

Machine translation involves the automatic production of a target-language text based on a source-language text (Kenny, 2022). It has existed since the 1950s and started with the rule-based Machine Translation to Statistical Machine Translation and recently the Neural Machine Translation. Although Machine Translation has many social implications, the effect on the translation community is greater. At first, many professional translators considered it as a threat posed to translation industry (Vieiva, 2020). This defensive attitude started to decline after the breakthrough achieved and the progress made in Machine Translation output, and translators started to cope. In addition, Machine Translation is being used broadly and for many purposes such as understanding the content, text publication in other languages and communication as in the translation of emails and chat room discussions. Moreover, the Fully Automatic High Quality Machine Translation FAHQMT emerged to offer translation services of web sites such as Yahoo and Google and in the field of speech recognition as well (Koehn, 2012)

Machine translation involves different approaches according to the way of analyzing source data (input) and then generating the target text (output). One of these approaches is the Rule-Based Machine Translation (RBMT) approach which stratifies combinations of linguistic rules in three stages: analysis, transfer, and generation. It analyzes the morphological features of the ST and adds part of speech tagger followed by selecting words, transferring structure, processing morphological generator, and finally generating the TT. These processes require dictionaries, rules of both SL and TL and

rules directing the machine to relate these two structures together. Another approach is Corpus-Based Machine Translation (CBMT) which uses large amounts of raw data in the form of parallel corpora. This approach is divided into Statistical Machine Translation (SMT) and Example-based Machine Translation. The focus of this research would be paid to former. (SMT) depends on statistical models derived from the analysis of bilingual corpora, and the initial model based on Bayes Theorem proposed by Brown et al. (1990). Mainly, the Statistical Translation model guarantees that MT system produces target hypothesis corresponding to the source sentence. However, this SMT has challenges as the output is unexpected and could be deceiving; languages with significant word order have unsatisfactory results, yet the benefits are emphasized for the European languages (Okpor, 2014).

As Machine Translation is an imperfect technology, as it might produce an accurate and contextually acceptable translation, but it might have a serious error in meaning, an omission, an addition, or a stylistic problem. Hence, post-editing is necessary to fix any errors in the text. The identification of such errors and their revision, or correction, is known as post-editing (O'Brien, 2002). However, performing post-editing requires an evaluation of the Machine Translation output first to check its quality.

A question has been raised, 'How the MT output could be evaluated?'. In fact, both Manual evaluation and automatic evaluation are used to evaluate the MT output; however, the most used two criteria used for evaluating the MT output are fluency and adequacy under manual evaluation (Daems, S; Vandepitte, S; Hartsuiker, R; & Macken, L. 2016).

2.2 Post-Editing

Post-editing (PE) is "the correction of raw machine translated output by a human translator according to specific guidelines and quality criteria" O'Brien (2011: 197–198). While MT has been around for decades, and the use of the technology has grown significantly in the language industry in recent years, PE is still considered a relatively new task. From a scientific point of view, PE is the task that gathers human translators and machines, as well as MT discipline and Translation Studies discipline (Čulo, 2014). Human revision has been known as exploring and discovering errors (Vascon cellos, 1987), PE is an exercise of adjusting predictable and recurring errors and difficulties

Translation Automation User Society (TAUS) developed focused PE guidelines- for 'good enough' and 'publishable' quality- as the first set of available guidelines, in partnership with the Centre for Global Intelligent Content (CNGL), which can be used as a basis on which post-editors in professional environments. The main idea is that it delivers the same information as the source text (Massey et al., 2017). This, eventually, should be reflected in post-editors' skills to identify the PE task requirements.

Generally, the purpose of post editing varies according to its type, the effort and skills needed to perform a post-editing process. Post editing is divided into full and light post editing. Full PE is usually required when the final text is intended for publication. The text must be comprehensible and accurate; grammar and syntax must be flawless. The style of the text is acceptable but does not need to be as good as a human translation. Where low quality is good enough for the final product, light PE aims to make MT output understandable. According to the TAUS3 guidelines, a light post-edited text also needs to convey the same meaning as the source text, but style is not important. The main aspect is that it delivers the same information as the source text (Massey et al., 2016).

2.2.1 Post-editing Skills

Identifying skills required for post-editing has been researched extensively, as researchers have investigated skills to perform post editing task including knowledge of MT technology and systems, perfect command of source language and target language,

expertise in text types or specialized subject knowledge and practicing reviewing texts translated by humans (Wagner, 1987; Johnson & Whitelock, 1987; O'Brien, 2002; Doherty et al., 2013). The most significant skills that have been investigated and defined in literature are; knowledge of error typology, how to correct or ignore errors and making corrections directly on screen (Guerberof et al., 2020; Rico et al., 2013 a,b)

Genovart & Oliver (2020) explored the post editing skills considered capital and necessary as per Language Services Companies, individual professionals and trainers using three online questionnaires. The results showed that practice in post-editing (ISO 18587:2017) covers the three core skills for post editing; (1) capacity to decide when to edit or discard (translating from scratch) an MT result, (2) capacity to identify MT output errors, (3) and capacity to post-edit according to post editing guidelines. These three core PE-related skills were chosen based on the perfect correlation between the three surveyed audiences mentioned above.

De Almeida & O'Brien (2010), for example, suggest that a good post-editor has; 1. The ability to identify issues in the raw MT output that need to be addressed and to fix them appropriately; 2. The ability to carry out the post-editing task with reasonable speed, so as to meet the expectations of daily productivity for this type of activity; 3. The ability to adhere to the guidelines, so as to minimize the number of "preferential" changes, or changes that are not necessary, and which are normally outside the scope of PE.

For example, Popović et al (2014) investigated five types of operations: correcting word form, correcting word order, adding omissions, deleting, additions and correcting lexical choices. They also studied the relationship of these operations with cognitive and temporal PE effort. Sanchez-Gijón (2016) compared the tasks in computer-assisted translation and in MTPE. Hence, the PE task requires similar competences to those in the translation task, except for the instrumental sub competence.

2.2.2 Post-editing effort

Post-editing effort gained great attention in research. Post-editing effort was categorized into temporal, technical and cognitive (Krings, 2001). Cognitive effort is investigated during the translation or post editing process which is considered the most difficult effort to measure (O'Brien, 2005). As for temporal effort such as time consumed to post-edit MT output cannot be the same for different tasks as the specifications in tasks should be the same as assessing the translation quality corresponds with the definition of quality used in the task or project (Colina, 2008). Tezan et.al. (2019) investigated the estimation of Post-Editing Time (PET) using a set of MT error features and suggested that when errors in MT output are known the PET can be estimated with high accuracy. In other words, the time consumed in post-editing could differ for different tasks with different purposes and quality assessment applied and the familiarity of errors occurred in MT output.

2.3 MT Error Identification

Many attempts have been made to identify the MT errors and categorize them. Depraetere (2010) analyzed ten post edited texts done by translation students who are not trained on PE and stressed that MT errors should be included in training to avoid full dependence on MT output. In fact, post editing cannot be considered the same as proof reading as the errors in human translation are different from those in MT output. For instance, spelling and typing errors hardly ever occur in MT output; however, syntactic, and lexical ones are frequently observed in MT output not in human translation (Nitzke, 2016a).

Several error taxonomies have been proposed for detailed analysis of translation quality, the most well-known being the one of Vilar et al. (2006) (Figure 1). It implies

word or phrase-based analysis. Another taxonomy proposed by Daems, et al. (2016) dividing the MT errors into two types; acceptability and accuracy errors. (Figure 2)

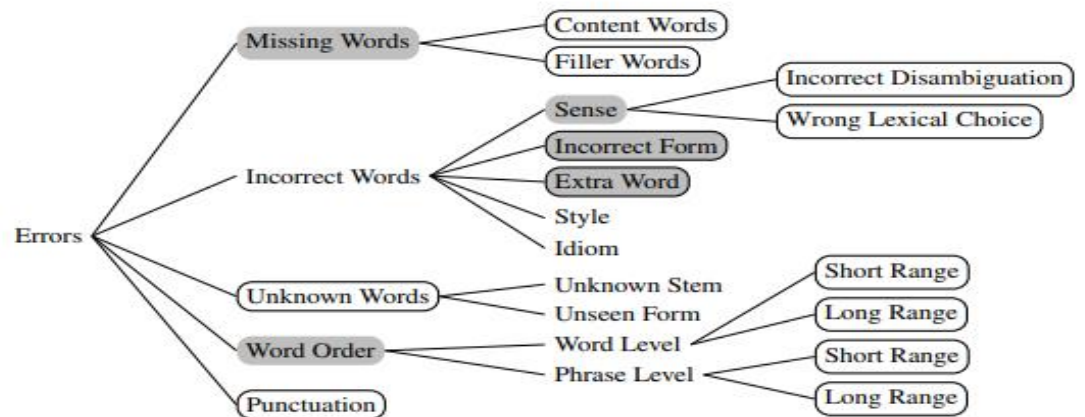


Figure 1. Translation error taxonomy of Vilar et al. (2006); error types, supported by the Prague and Zurich annotations are circled with solid lines and the ones of the Aachen annotation are highlighted with gray.

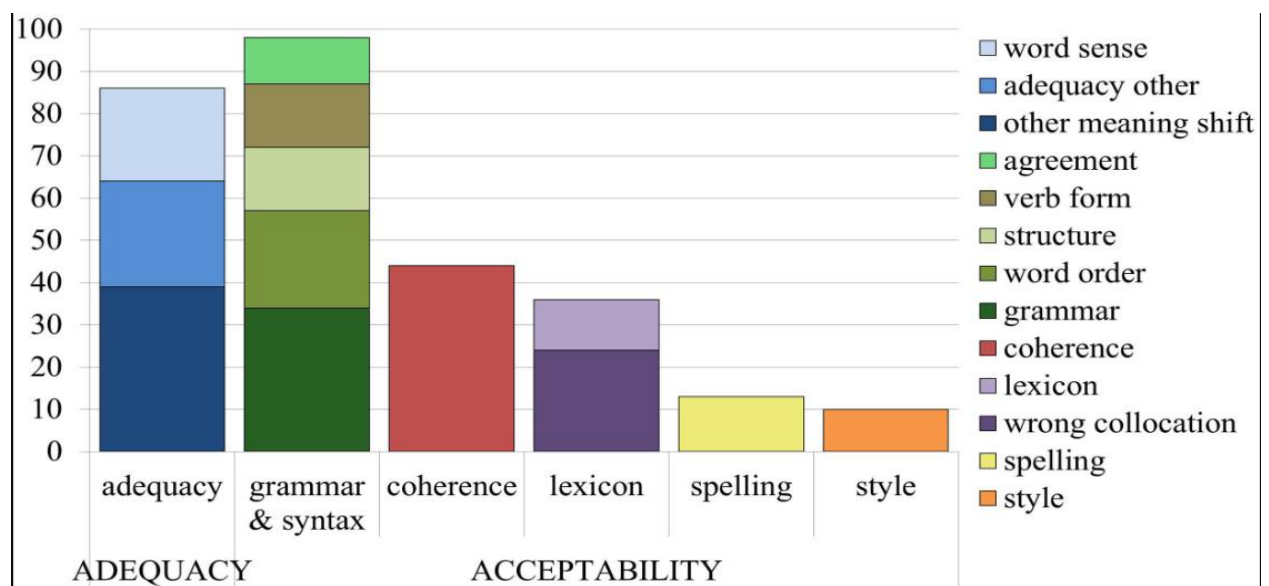


Figure 2 Daems, S; Vandepitte, S; Hartsuiker, R; & Macken, L. 2016

2. Method of the Research

The aim of this research, as previously mentioned, is to investigate the impact of studying Machine Translation (MT) errors on enhancing post-editing skills among translation students. The main question is: Does studying MT error identification enhance translation students' post-editing skills?

The following hypotheses have been examined: (1) Translation students identify MT errors during the post-editing process, (2) translation students make knowledge-based decisions concerning the MT output, (3) and translation students perform post-editing tasks in less time and with less technical effort.

To test the hypotheses and to answer the main question, the current research adopted the quasi-experimental method as it is not possible to randomize individuals or groups participating in this research to avoid the extraneous variables. Quasi-experimental methods test casual hypotheses, offer practical options for conducting

impact evaluations in real world settings, and avoid the ethical concerns that are associated with random selection of participants.

3.1 Participants

Thirty translation students participated in the research; all students are in senior year at the Faculty of Linguistics and Translation, Badr University in Cairo. The selection process observed; language level, technology familiarity, and experience in translation among them. The participants had nearly the same GPA to guarantee the level of language and they are all fairly used to using technology. As experience of participants in translation represents a significant extraneous factor in this research; as the more experienced or professional the translators are, the more likely the post-editing task done is better; even they do not have previous knowledge of post-editing (Ericsson 2003), all selected participants didn't have any working experience in translation. The participants were divided into two groups, an experimental group, and a control group with fifteen students in each.

3.2. The data

MT has limited ability to process certain types of text accurately, as various errors occur in the output (Calude, 2003). Texts selected were compared according to readability, potential translation problems and MT quality. The selected texts required light post-editing and full- post editing to include all types of errors specified and could occur in MT output. The English and Arabic MT output were taken from My Memory- a statistical machine translation- obtained in October 2022. The final corpus consisted of eight texts each containing 50 to 60 sentences. The specifications of the post-editing task were settled as well.

The texts were given to a second and a third professional post-editors to verify their suitability and validity for post-editing. The texts were examined, and the decision was that they need full post-editing. The researcher post-edited the texts to be tested and identified the MT errors and numerated them. Again, the professional post-editors were asked to identify the MT errors in these texts to guarantee the reliability of the texts used in the research. The MT error identification was verified through using inter-rater reliability.

3.3. Error identification

Error identification was based on translation error taxonomy of Vilar et al. (2006) and MT output error classification (Daems, S; Vandepitte, S; Hartsuiker, R; & Macken, L. 2016). The errors were divided into two main categories: accuracy and adequacy. The aim of using this taxonomy is to identify the MT errors to be tested in the pre-test and post-test. These errors are defined in literature as the main MT errors occur during post-editing. Adequacy errors are word sense, meaning shifts, agreement, verb form, structure, word order and grammar. As for acceptability, errors include coherence, lexicon, word collocation, spelling and style.

3.4 Data collection

Data collection was conducted using pre-tests, tasks, and post-tests. As for the data analysis in this research, error analysis was the methodology used in analyzing the data. The error analysis was used since it fit to the characteristics of the data and the nature of this research. Corder (1967) explained that error analysis can deal effectively only with learner production, which suits the output of the participants in this research.

3:5 Procedures

First: Ethical approval was considered as all participants approved to participate in this research, as well as the approval of the School of Linguistics and Translation.

Second: The administration started in September 2022 and ended in December 2022 for an entire academic term. The researcher gave both the control group and the experimental

group a pretest (post-editing task) and analyzed the samples according to the criteria; Error identification, time consumed, and decision making. Then, both groups received training on post-editing using SDL Trados; however, the experimental group received focused training considering the MT error identification supported with examples and application using Task-Based Approach. As for the control group received different tasks on post-editing with no focused training or feedback.

Third: The training introduced to the experimental group was divided into five steps according to cycle of task-based teaching proposed by Li (2013) to suit translation as shown in figure 3.



Figure 3. Cycle of Task-Based Teaching in Translation (Li 2013)

- a) Pre-task stage
In this stage the researcher provided the participants instructions to follow during the post-editing task using SDL Trados. Some options and features had to be revised with students to fulfill the task smoothly using the tool. Students were asked to do practice to make sure that they can perform the task with no technical obstacles or problems. In addition, they were given an introduction on post-editing in general and its types and text types to be post-edited. This provided them with a clearer understanding and more confidence to apply the MT post-editing guidelines.
- b) Task stage
Participants started to work on the tasks individually that were given to them regularly. The following stages were conducted after taking each task.
- c) Reporting stage
The researcher provide feedback on the participants' post-edited texts. During this stage the feedback focused on the error typology identified and discussing them, as well as problems they faced and their solutions
- d) Analysis stage
Participants were asked to give reasons for their decisions regarding changing the translation or accepting it, observing the guidance represented in following SKOPOS theory in those texts.
- e) Revision stage
The researcher provided assistance to participants to enhance the quality of the work.
- f) Reflection stage
In this stage the researcher collected data from observing the participants' behaviors and performance to be used in data analysis.

Fourth: A post-test was given to both control and experimental groups to detect the improvement in post-editing product and the output samples were analyzed to reach conclusions.

3.5. Data analysis

There were some steps in applying the error analysis to analyze the data. The following steps were based on the procedure stated by Corder as quoted by Ellis (1994). The sample tasks assigned to translation students to post-edit were analyzed according to the following:

- 1- Identification of errors: according to the MT errors identified.
- 2- Classification of errors: according to the MT error typology.
- 3- Explanation of errors: calculation how often the errors appear.
- 4- Evaluation: involves tabulating the errors, decision making, and time consumed.
- 5- Drawing conclusions.

In the pre-test translation students in both control and experimental groups performed post-editing for a text from English into Arabic. The errors detected and calculated according to the Machine Translation error taxonomy (Figuer.2)

The data analysis of the pretest for both experimental and control groups showed that they have not identified all MT output errors in the text, have taken needless decisions, have accepted MT output that needed change, have not taken correct decisions regarding the change, and have spent from forty to seventy- five minutes in editing the text.

Post-tests were conducted for both groups and the analysis of participants' products showed the following according to the variables of the research.

First variable: MT error identification

Table 1

MT errors detected by the control group (pre-test and post-test)

Groups	Grammar	Lexicon	word senses	Collocation	Idioms	Coherence	style	register	Deletion	Addition	Meaning shift
Control pretest	40%	73%	33.3%	53.3%	0%	0%	10%	0%	25%	0%	0%
Control posttest	40%	80%	50%	53.30%	0%	25%	25%	0%	30%	0%	0%

Table 1 shows the percentage of MT Error Identification in the control group in the pre-test and post-test. During training participants in the control group did not receive focused training on MT error typology nor training on how to make decisions regarding translation from scratch or post editing.

Table 2

MT errors detected by the experimental group (pretest and posttest)

G r oups	Gramma r	Lexicon	word sense	collocati on	Idioms	Coheren ce	Style	Register	Deletion	Addition	Meaning shift
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Experimental pretest	40%	80%	26.60 %	66.60 %	0%	0%	10%	0%	25%	0%	25%
Experimental posttest	75%	100%	100%	80%	33.3%	90%	85%	40%	47%	75%	50%

This table shows the percentage of MT Error Identification in the experimental group both in pre-test and post-test. Errors such as: coherence, register and style witnessed great improvement, while improvement in identifying grammar, lexicon and word sense errors was good compared to identifying errors related to idioms, deletions and meaning shifts.

Table 3

Mean of MT Error Identification improvement

Group	Mean of MT Error Identification improvement
Control group	27.6
Experimental group	70.4

Table (3) shows the means of the percentages of MT Error Identification improvement among participants in the control group and the experimental group. The progress made by the experimental group was significant and this proves the first hypothesis that Translation students improved their skills in identifying MT errors during the post-editing process.

Second variable: Decision Making

Table 4

Means of Decisions Made in PE in pre-test.

Group	No decision	Needless decision	Correct decision	Incorrect decision
Control	45	12.4	13.5	29
Experimental	45.6	15.8	12.7	25.9

Table 4 shows that participants in both control and experimental groups tended to avoid making decisions and the correct decisions made were few compared to the needless decisions and incorrect ones.

Table 5

Means of Decisions Made in PE in posttest.

Group	No decision	Needless decision	Correct decision	Incorrect decision
Control	41	12	27	20
Experimental	14	9.6	67.5	8.9

Table 5 shows the number of correct decisions made by participants in both the control and the experimental groups exceeding the number of those in the pre-test. It is noticed that participants in the experimental group made more decisions than they did in the pre-test. Also, the needless and incorrect decisions were fewer than before compared to the control group.

Third variable: Time-consumed

Time consumed in the pretest in both groups ranged from 40 to 75 minutes. In the post-test the time consumed had the same range except very few participants who fulfilled their post task in less time than they spent in the pretest. They presented only 20% of the participants in the experimental group.

4. Findings and Conclusions

Coherence, register, and style errors were better identified by participants in the experimental group with a high percentage. It is worth mentioning that these errors are linked to the Target Language, as they paid more attention to the target segments. As SMT does not give accurate results between the languages with different word order (Okpor, 2014), so style and coherence errors occurred in the Arabic target segments. In the pre-test, less attention was paid to these errors as the tendency to accept any translation that delivers the main idea prevailed among the participants, yet in the post-test and after receiving the training this tendency changed to more focus on detecting these errors. As for register, participants considered the register of the target text to be on the same level of the source text.

Also, there was apparent improvement in the identification of grammatical, lexicon and word sense errors among participants in the experimental group rather than those in the control group. Identification of these errors was relatively good compared to other errors in the pretest; however, it became much better in the posttest. It was observed that participants focused first on lexicon and word sense errors in the pre-test and during the training as they think that errors are likely to be related to vocabulary and terms. It might also be the easiest errors to be detected, while after receiving the training the perspective became wider. The least identified errors were idioms, deletions and meaning shifts. These errors are much related to the source text and need source text analysis before moving to the target text. Meaning shifts and idioms were generally very few in the source texts, so the difference between the pre-test and post-test was not very high. As for deletion errors detection was harder because it needed a revision for both source and target segments which was not achieved by all participants who dedicated their efforts to revise the target segments in the first place.

The control group also witnessed improvements in identifying lexicon and word sense errors and in coherence and style. This could be related to the different tasks given to them to post-edit as they were given feedback that helped them to enhance their skills but in a very slow scale.

All in all, the result of the pre-test and source test proved the first hypothesis which is that translation students can identify MT errors during the post-editing process and became familiar with the MT error typology and how to correct them.

Regarding the decision making made by the participants in the experimental group it is logical to have different results due to the progress made in error identification. The decisions made by the experimental group were higher in the post-test than in the pretest. Also, the incorrect decisions became fewer as the awareness of the errors helped in taking correct decisions. Needless decision in the pretest were an indication of unawareness and inability to realize and detect the errors in the target segment. The number of needless decisions was very low after the post-test among the participants of the experimental group. These results proved the second hypothesis that translation students acquire knowledge- based decisions concerning the MT output

By comparing the time consumed in the pre-test and post-test by the participants in the experimental group, it was observed that the time range was nearly the same for the same number of segments. Only twenty percent of them achieved their tasks in less time in post-test; however, the quality of post-editing process is much better. It should be noted that related research in literature had similar results as boosted by Colina (2008) that PE time for MT output cannot be the same for different tasks. Also, Tezan et al. (2019) who tested PE time depends on the quality assessment applied and the familiarity of errors occurred in MT output. The researcher believes that although time consumed in post-test did not decrease with all the extra efforts exerted in MT error identification and the decisions made, it is considered an improvement in performance. Normally, a task achieved with extra effort needs more time than a task achieved with less effort, so if this hard task took same time as the easy one that means the performer saved time. This research is significant as it contributes to the awareness of translators' changing role considering the emerging developments in the MTPE sector. The findings contribute to translation pedagogy literature by adding new ideas to train translation students to cope with the latest development in translation. Future research could be conducted on large number of students and using different text types.

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Contradicciones y Recuerdos incoherentes: en *El Espejismo (As-sarab)* de Naguib Mahfuz: Análisis psicolingüístico de Relevancia Verbal

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Abstract: In this paper we are going to present a psychological analysis of the language of the Egyptian novel *The Mirage*, by Naguib Mahfuz, based on the Principle of Relevance of Sperber and Wilson (1986-1995). In it, we are going to shed light, on the one hand, on the acts that contain contradictions and on the other hand, on the memories that are irrelevant to the context. The study aims to highlight the mechanisms used by the author that allow the scope of verbal relevance despite how complicated it is. In the language of this novel, acts encrypted by contradictions and incoherence of memories abound, due to its psychological nature. That is why it is considered an appropriate text for this analysis of verbal relevance, which will be limited to acts that contain contradictions and memories. Because both contradictions and memories are considered an element of a psychological nature par excellence

Key words: The Mirage, Memories, verbal relevance, Cognitive linguistics, contradictions

Resumen: En este trabajo presentamos un análisis psicológico del lenguaje de la novela egipcia *El Espejismo* de Naguib Mahfuz basándonos en el Principio de la Relevancia de Sperber y Wilson (1986-1995). En el mismo, vamos a proyectar luz, por una parte, a los actos que contienen contradicciones en la obra y, de otra mano, analizaremos los recuerdos irrelevantes que surgen en determinados contextos. En suma, el estudio tiene como objetivo evidenciar los mecanismos usados por el autor que permiten conseguir dicha relevancia verbal a pesar de su complicación teórica. Debido a su carácter psicológico, en el lenguaje de esta novela abundan los actos cifrados por contradicciones y la incoherencia de recuerdos. Así pues, se nos presenta un texto oportuno para el análisis desde la relevancia verbal.

Palabras clave: El espejismo, memoria, relevancia verbal, contradicciones

Introducción

El tema esencial de este estudio es exponer un análisis de la relevancia verbal en la novela egipcia *El Espejismo del Nobel*, de Naguib Mahfuz. En su conjunto, va a limitarse a los actos verbales que contienen contradicciones o recuerdos, ya que los actos que contienen contrariedad suponen ser, lingüísticamente, no relevantes. Del mismo modo, se analizan los actos en los que el personaje recuerda acciones pasadas, y tales recuerdos no tienen relación alguna con la acción presente.

Así que, este texto narrativo nos presenta un campo excelente del estudio de la relevancia verbal. El autor introduce ideas implícitas y cifradas dentro de los actos que contienen tanto contrariedad como recuerdos impertinentes. El objetivo de este estudio radica en

llegar al mecanismo de descifrar la impertinencia, sacando el mensaje oculto. Asimismo, conviene resolver cómo el autor Nobel garantiza la relevancia dentro de enunciados irrelevantes.

Desde los primeros pasos, la obra de Mahfuz trata de una pieza de carácter psicológico en el que se refleja la miseria del hombre que expresa confusión ante sus limitaciones. Sentado lo anterior, Kamel Ro'ba, personaje central de la novela, es el hijo menor y el único que se queda viviendo con su madre divorciada, en ausencia del padre. La cuestión que urge plantear es que la madre es la única fuente de las informaciones que recibe el hijo sobre el mundo. En este sentido la dificultad se adensa puesto que, esta madre inyecta al hijo no poco miedo y timidez, entre tantas cosas, que ella misma sufría. De tal guisa la relación con el mundo se torna complicada para Kamel Ro'ba puesto que sufre contrariedades y vergüenza sexual con su amada esposa. A su vez, su mujer le traiciona con el médico en busca de una propia vida sexual de la que carece. Kamel, nuestro protagonista, encuentra su placer sexual o mejor dicho una especie de auto placer por un lado y por otro, con una viuda mayor que él. El personaje es incapaz de descifrar cual es la causa del sufrimiento en relación a su vida sexual, algo que deja reflejado el autor entre contrariedades y recuerdos, en este orden de cosas se sobre entiende que, es una invitación para que sea el propio lector quien intente descifrar el por qué de este sufrimiento.

El principio de relevancia

El principio de relevancia ha sido desarrollado por Sperber y Wilson (1986), el cual trata de una teoría de cómo la comunicación humana tiene un carácter cognitivo. Los autores de esta teoría proponen que un enunciado es relevante cuando mayor sea su efecto cognitivo y menor sea su esfuerzo de procesamiento mental. Como se puede advertir, se dice que es relevante cuando viene en armonía con el contexto en que nace, pues los aspectos contextuales representan un papel esencial en enlazar los hilos de la comunicación, con el fin de convertir lo irrelevante en relevante. De esta manera, el emisor sabe que el contexto que crea, le ayuda como estímulo a su destinatario a captar el mensaje relevante. El destinatario a su vez, busca en el contexto los estímulos que hacen pertinente el mensaje. Los autores de esta teoría distinguen tres formas de ampliar el contexto: a) Recurrir a la memoria a corto plazo, b) Considerar la memoria enciclopédica aplicada al contexto y al enunciado y c) La relación del proceso comunicativo con el entorno inmediato de los interlocutores, con el fin de añadir información e inferir el supuesto de manera idónea (1994:pp,177-178)

De manera sintética, los mecanismos y estrategias propios de la psicología humana juegan a favor del estímulo (Escandell, 2003), entonces, sentado lo anterior, la relevancia es una tarea tanto del emisor como el destinatario. Lo que puede ser relevante para una persona en un momento dado puede no serlo para otra persona, o puede no serlo para él mismo en otros momentos y circunstancias (Escandell, M. V. 1996:120). A cuanto acaba de apuntarse, hay que añadir que Escandell propone un sistema de deducciones parecido al autómatas con diferentes capacidades: memorizar, almacenar, leer, escribir, comparar y hasta borrar datos. De esta manera, la memoria conecta unos supuestos iniciales y comienza su proceso deductivo. Si ha llegado a algunas contradicciones, entonces las resuelve según la mayor o menor fuerza relativa de los supuestos que han entrado en contradicción (Escandell: 1994:116).

A renglón seguido, para este principio pragmático de carácter cognitivo, una comunicación relevante reside en dos modelos: la codificación y la descodificación de mensajes, la ostensión y la inferencia. Estos dos modelos son complementarios: el

destinatario al recibir el mensaje codificado por el emisor, se esfuerza a descodificarlo. Luego infiere lo que pretende decir el emisor.

Sperber y Wilson se refieren a otros dos conceptos importantes para su teoría: la *explicatura* y la *implicatura*. El término *explicatura* es usado para referirse al contenido lingüístico expresado explícitamente. En contraste, la *implicatura* es la información que debe ser sacada gracias a un conjunto de presuposiciones e inferencias.

A primera vista, la relevancia verbal es una entidad que engloba tanto los enunciados y los fenómenos perceptibles como los recuerdos y pensamientos. Estas consideraciones motivan a que, en esta teoría, cualquier estímulo externo o interno que pueda servir como *input* de un proceso cognitivo se considera relevante dentro de un determinado contexto. Como puede apreciarse, el *input* puede ser un recuerdo, pensamiento o sonido y es relevante cuando viene en relación con una información previamente almacenada, con lo que vincular este input con esa información almacenada producen un resultado. Para ilustrar este hecho, decir que el resultado será relevante solo cuando produce un efecto cognitivo positivo, es decir, una diferencia significativa para la representación mental que un sujeto tiene del mundo. (Sperber y Wilson: 1995).

En grandes rasgos, podemos decir que cada emisor busca ser comprendido siempre y pretende potenciar al máximo la relevancia de su enunciado. La cuestión reside en cómo este emisor maneja las estrategias de la relevancia para dar el apoyo a su destinatario desde el cual pueda procesar óptimamente la información implicada.

La relevancia y la psicología cognitiva

Apenas una mirada fugaz, se aprecia en el presente trabajo, que el análisis une necesariamente la relevancia con la psicología cognitiva. Dicho esto, la psicología cognitiva está dedicada a estudiar cómo el ser humano es capaz de entender, procesar la información del entorno en que vive, elaborar dicha información, retenerla, almacenarla, recuperarla, etc..

Se manera sintética, esta información que había tenido almacenada le puede afectar positiva o negativamente al relacionarla con otra nueva en otro contexto diferente. Asimismo, la psicología cognitiva se encarga de estudiar de cómo la cognición suele anteceder a la conducta, ya que la cognición depende de los pensamientos de la persona y en principio no tanto de los instintos o la necesidad (García García, Emilio, 2007:19).

Para trenzar una respuesta cabal, la mente humana puede relacionar conceptos que parecen en teoría irrelevantes, pero que sí lo son para esta, gracias a que ata cabos entre los datos almacenados y otros nuevos en un determinado contorno. Ya el psicoanálisis fue pionero a principios de s.XX hablando de estos hechos mentales, sostenía que tenemos un inconsciente que, de alguna manera, es independiente al control racional de las personas a la hora de relacionar pensamientos, ideas, etc., por ejemplo, sería el caso de los sueños, los actos fallidos o *lapsus*. Como sabemos, la manera de investigar esta materia, concede una importancia prioritaria a la ciencia, por lo cual en este trabajo hacemos uso de las teorías más modernas de la psicología como es actualmente la psicología cognitiva cuyo origen fue el procesamiento de la información de las computadoras y su comparación con la mente humana a la hora de procesar la información. Por lo tanto, el estudio desde la perspectiva de la psicología cognitiva es imprescindible a la hora de analizar la relevancia lingüística en nuestro trabajo.

Pero volvamos nuevamente a Mahfuz que nos presenta un texto en el que abundan los enunciados contradictorios, algo que convierte el texto en un campo excelente para el estudio de la relevancia verbal. En *El Espejismo*, el personaje Kamel emite enunciados contradictorios. Estos enunciados son reproducidos y son una clara confrontación entre las informaciones almacenadas y las nuevas producidas por su realidad. Se comprenderá

fácilmente que se usa tal contradicción como recurso de suspense que estimula al receptor a atar cabos.

I. La contradicción y la relevancia verbal

El escritor enlaza conceptos lingüísticamente contrarios y, por lo tanto, aparentemente irrelevantes. Huelga señalar que el personaje, Kamel, en determinadas ocasiones se expresa contradictoriamente, pues el protagonista se declara asesino de dos víctimas: *"El suicidio no es el castigo oportuno que merecería un asesino de dos almas, sino él merece un castigo mucho más cruel [...] la verdad es que soy una víctima pero víctima que tiene dos víctimas"* (pp. 6,7)¹. Hasta el momento los aspectos contextuales no presentan ningún papel para descifrar esta contradicción: "víctima-asesino", así que el esfuerzo de procesamiento por parte del receptor, resulta algo inútil. Aquí la contradicción sirve como estímulo para que el lector siga leyendo y descodifique qué relación hay entre ser asesino y ser víctima a la vez. Sabiendo que el emisor pretende decir algo implícito, el lector seguirá esforzándose en entenderlo. El emisor aquí se aleja de uno de los principios de la relevancia con el fin de elaborar un efecto de suspense. Pues bien, en el mismo contexto, el protagonista Kamel expresa unos sentimientos opuestos hacia su madre con un enunciado también impertinente por contradicción:

"En ella yacen mis esperanzas y mis desesperanzas, mi amor y mi odio, ella me ha alegrado más de lo que esperaba y me ha lastimado más de lo que imaginaba. Como si no amara a nadie más que a ella, ni odiara a nadie más que a ella, ¿Habría algo más significativo que el amor y el odio en la vida del hombre?" (p.8)

En este orden de cosas, resultan claras las contradicciones a la hora de describir los sentimientos del hijo. Desde un punto de vista general, estas contradicciones producen una brecha que el lector siente e intuye y esto le estimula a cubrir esos huecos y faltas que no se entienden buscando una lógica que ordene el relato. A pesar del esfuerzo de procesamiento que realiza el lector, es posible que no logre entender lo que comunica el texto, ni la memoria, ni el entorno inmediato sirven para entenderlo. Así que, entendemos que la intención de Mahfuz es empujar al lector a seguir leyendo para descifrar el mensaje.

El narrador llevando la misma dirección del timón sigue mostrando otras contrariedades que siente hacia la madre, tales como los dolores y el alivio de estos mismos dolores al mismo tiempo:

"El miedo ha sido la cosa más profunda en mi vida. Su espesa sombra me ha cubierto el pasado y el futuro, el consciente y el sueño, todo el estilo y la filosofía de mi vida, la salud y la enfermedad, el amor y el odio, [...]. Mi madre era la fuente de estos dolores, pero también era el único alivio de estos (p.21)

Codificadas las informaciones por la contrariedad y la paradoja que nos ofrece el hijo sobre su madre (dolor y alivio), este primero es causado por el miedo sembrado por ella, sin embargo, viene luego que ella también es su alivio. Recorriendo a la memoria a corto plazo, el lector llega al contexto en que la madre implanta el miedo en su hijo dentro de los cuentos infantiles. La madre sin querer ha sido responsable del dolor de su hijo, pero como madre es el refugio de este dolor del que ella misma es la responsable.

¹ Todos los ejemplos proceden de la misma edición. La traducción del árabe al castellano es propia.

Bajo el contexto situacional en el que percibe la atención y sobreprotección de ella, Kamel tiene también dos sentimientos opuestos como se puede advertir en el siguiente monólogo:

"[...] eso me alegra y me entristece a la vez. Te quiero mucho de verdad, y si te preguntaras ¿Por qué ni me muevo? Te contestaría que no sé cómo me muevo en mi vida, ya que detrás de mí hay una madre, una limitada suerte, y ¿Cómo se puede vencer estos obstáculos?" (p.127)

A nadie se le escapa que son conceptos contradictorios, el sentirse alegre y triste en el mismo momento. El hijo se siente alegre por sentirse atendido y es normal que esté alegre. Pero de la misma suerte, él mismo se siente amargado porque percibe la responsabilidad ante el deseo de la amada. Al recurrir a la memoria a corto plazo se deduce el porqué de la tristeza del hijo, pues desde pequeño, el hijo percibía el rechazo de la madre ante la idea de que tenga una pareja. Como cabe esperar, la madre condena este tipo de relaciones, incluso el matrimonio. De esta manera el personaje no puede inclinarse a favor de la relación afectiva y considera a la madre como un obstáculo para su vida emocional. Del mismo modo, la contrariedad está presente en el pensamiento del hijo, sin querer, cada vez que sueña con la amada le aparece la madre: *"El placer de la felicidad imaginaria son perseguidos por una ambigua melancolía desconocida, y mi pensamiento no descarta en ningún momento la querida cara de mi madre [...] y entonces me domina un remordimiento fatal". (p.122).*

Esto nos recuerda al comocido complejo de edipo, podríamos definirlo como los sentimientos, que tienen como característica central la presencia de amor y al mismo tiempo emociones hostiles y agresivas, hacia los progenitores, generalmente ocurre en la infancia aunque se podría vivir en todas las etapas de la vida. Sin duda el relato del escritos está hecho de la misma pasta.

Conforme acabo de apuntar seguro satisfará con creces la lectura de esta novela, continuando con con el análisis, vemos que el placer y la felicidad supuesta se contradicen con la melancolía y el remordimiento. Este placer y felicidad son producidos por la amada, y la melancolía y el remordimiento por la madre. En el pensamiento de Kamel se contradicen los supuestos: amada y madre. El lector va descifrando la disonancia que siente el hijo, lo vemos en la memoria a corto plazo en que se muestra el rechazo de la madre a causa de la relación. En el contexto anterior, el hijo condena el matrimonio de la madre, en principio como consecuencia de que ella misma le inyectara el odio a las relaciones sexuales. En el pensamiento, sin querer, se enlaza con las ideas contrarios.

Asimismo, el personaje lleva dos perspectivas en principio contrarias en la vida. Kamel opina que lo mejor que pueda hacer en la vida es huir de ella: *"[...] igual que esta vida, lo mejor en ella es huir de ella y por eso me dirijo a la taberna pase lo que pase" (p.151).* Nuestro personaje manifiesta que huir de la vida es lo mejor que puede hacer. Por esta contradicción se deduce que la vida es bastante dura para él. En cualquier caso, ir a la taberna tiene relación con huir de la vida. Se comprenderá fácilmente que el personaje encuentra alivio en estar borracho porque le ayuda a seguir inconsciente y no percibir de las miserias de la vida real. El entorno inmediato permite al lector descifrar la relación entre la taberna y huir de su realidad.

Siguiendo su lucha entre lo que debe hacer y lo que quiere hacer, destacamos otras contradicciones de Kamel:

"[...] estoy en constante contradicción: entre conquistar y huir de la vida, entre mi amada y mi madre, entre la adicción del auto

placer y el deseo de dejarlo, y ahora tengo un nuevo conflicto: el deseo de consumir alcohol y el de dejarlo, que me aumenta el cansancio. Me convertí en un columpio que empujan los diablos y tiran los ángeles" (p.138)

Al recorrer de la memoria tanto a corto plazo como la denominada enciclopédica, se descifra la contrariedad constante que siente Kamel. El sexo es tabú, según le transmitió la madre y la sociedad, pero forma parte de la vida del hombre. Él tiene la necesidad de tener una amada y como estamos exponiendo la madre lo rechaza indirectamente. El hecho de consumir alcohol es condenado en el marco religioso egipcio y por lo tanto por la madre, pero Kamel lo necesita para estar evadido de su propia miseria. Así que los diablos representan las cosas prohibidas y los ángeles la intención inocente del hijo de quitarse de hacer lo prohibido, de esta manera, la mente del receptor estará procesando la información para captar lo oculto que hay detrás de dichas contradicciones.

Del mismo modo, Kamel se pregunta cómo recuperar su cuerpo y su deseo, en el sentido de no poder cumplir con su deber sexual como esposo. El problema viene descifrado en la contrariedad supuesta entre el amor y el sexo:

"Es el amor, ¡Pero con mi instinto percibí que debo bajarlo del cielo para que pueda cumplir con mis deberes! Pero ¡¿Cómo?! Ella está en mi corazón como si fuera un ser de las puras nubes. Y yo parezco como un puro alma sin cuerpo, pues ¿Cómo encontraría a mi cuerpo?" (p.251)

Se supone que la relación sexual es un deber corporal. El amor es un concepto espiritual, pues en principio se contradice con la relación sexual. Como Kamel siente amor hacia su esposa, no puede consumar la relación sexual, así que debe rebajar ese amor celestial y, por lo tanto, a la amada de lo puro a lo sucio. El personaje se siente ante su amada, un ser espiritual, pero sin alma, es decir, no se puede mezclar entre el amor y el sexo. En la memoria enciclopédica se aclara la base de esta contrariedad que tiene Kamel almacenada a causa de su madre. El lector recuerda ciertas informaciones como el castigo que recibió al tener sexo con la criada. La madre le hablaba del castigo de Dios por un hecho tan "reprochable", incluso tuvo que ir a pedir perdón a los santos, etc. Estas informaciones almacenadas descifran la contrariedad que siente el personaje entre dos conceptos teóricamente relacionados.

A continuación, el personaje, al fracasar de nuevo al mantener una relación sexual con la esposa que tanto anhela, le atacan dos sentimientos opuestos y expresados en el acto verbal siguiente: *"Una fuerza de nervios me empujó a reírme, en el momento siguiente tuve ganas de llorar" (p.253)*. Ante este tipo de fracaso, le produce risa y llanto al personaje. El personaje es incapaz de clasificar y menos entender lo que realmente sufre. El lector, a su vez, se esfuerza en descifrar lo que quiere comunicar Mahfuz con dicha contradicción. En una situación triste similar es normal que se produzca llanto, mientras no es tan comprensible que se produzca la risa. La situación es contradictoria: él quiere a la esposa y por quererla no puede tener sexo con ella. Es por tanto un ataque de nervios que padece el personaje ante una situación contradictoria.

En otro contexto, Kamel sigue confesando sus sentimientos contrariados hacia la madre. El hijo quiere que la madre siga viviendo con él y, al mismo tiempo, este siente vergüenza de que siga viviendo con él: *"Tengo hacia ella dos sentimientos contrarios: el deseo de que siga viviendo conmigo, claro porque es algo del que me he acostumbrado. La vergüenza dolorosa de que siga viviendo conmigo en la casa matrimonial" (p.255)*.

El hijo está acostumbrado a vivir con la madre y por supuesto espera que siga viviendo junto a él, por lo cual se siente dolorosamente avergonzado al vivir en la casa matrimonial de la madre. De otra mano, el sexo es un gran tabú según la información que dejó la madre almacenada en la memoria del hijo. Por otro lado, a Kamel le da vergüenza que la madre piense que estaría haciendo el amor, ya que vive en la misma casa. Así que la existencia de la madre se contradice con la de la esposa. El receptor capta la contradicción al recurrir a la memoria enciclopédica, gracias a contextos anteriores. Siguiendo su conflicto, Kamel odia que su amada esposa tenga el deseo de tener sexo, porque es algo que contradice con su decencia: "*¿Tendría mi amada este sentimiento salvaje que me empujó a mí a abrazar el auto placer?! ¿Podría tener ese deseo de animales, mi pura y decente amada? Es lo más odiable que se pudiera imaginar*" (p.265). El personaje abraza el auto placer y se siente excitado. Acudiendo a la memoria enciclopédica, se ve que Kamel se vio obligado a ejercer el auto placer por necesidad instintiva y se contradice el instinto con la idea de pureza. Se descodifica que el sentimiento salvaje y animal señalado en el acto es el instinto sexual. Su amada es un ser inocente y puro así que no debe tener tal deseo sexual "que rechaza".

En otra situación, el personaje se queda confundido entre su mujer supuestamente conservadora y una desconocida mujer atrevida. Kamel se siente atraído sexualmente hacia la otra mujer: "*Me fui comparando, sin querer, ese atractivo desfachatez con la agradable conservación de mi amada mujer. De repente negué esa sinvergüenza de comparación que me llenó de ira y asco.*" (p.319). No siente excitación sexual hacia su amada mujer, mientras sí la tiene hacia esta mujer desconocida. La comparación estará descifrada en la atracción sexual de esta mujer e inexistente hacia su esposa. Ambas mujeres son extremadamente diferentes y podríamos decir que hasta contrarias. El hombre niega la comparación porque rechaza cualquier tipo de relación entre la mujer y la esposa y, a su vez, el lector al acudir a la memoria enciclopédica donde se encuentra con la información de que el personaje tiene vinculado el sexo con lo salvaje y animal, condición que cumple la mujer y la esposa no. Siguiendo su confusión, el personaje es totalmente contradictorio. Pues él desea y odia verla a la vez: "*Deseo, sin duda alguna, verla pero eso no lo soporto [...] ella se ha vuelto con los ojos sonrientes y me dominó una ira, no por su vuelta, sino por la alegría que sentí*" (p.325). Kamel espera ver a la mujer, pero del mismo modo no soporta verla. Esta contrariedad es producida porque el siente algo por ella y lo que siente es ambivalente, ya que no debe sentirlo hacia una atrevida y liviana mujer. Lo que tiene almacenado en la memoria enciclopédica se contradice con la alegría que siente en el momento presente. En su memoria, tanto el emisor como el receptor, tiene fijado que sentirse atraído sexualmente fuera de matrimonio es pecado. Al mismo momento se siente satisfecho al ver dicha mujer, y finalmente la ira es producida por la alegría al cometer el supuesto pecado.

Kamel se expresa contradictoriamente, hacia la madre, al revelar la infidelidad matrimonial:

" ¿Por qué soy tan duro con ella? ¿Por qué le tomo la venganza! Aunque solo al pensar en ella me entran las ganas de echarme entre sus brazos arrepentido llorando, ¿Qué amor tan odiable, del que no me encuentro salida!" (p.401)

El entorno inmediato del acto no sirve para descifrar tal relación tan complicada entre tomar venganza a la madre y el deseo de echarse a sus brazos arrepentido. Tampoco el emisor es capaz de descifrar la situación yendo más allá, tan solo la califica como amor odioso. Relaciones que en los ensayos contemporáneos se denominan como relaciones tóxicas o tormentosas, donde una persona ama a otra, pero tiene constantes conflictos y

desazón y la pareja o en este caso la madre y el hijo viven en una continua infelicidad (Pérez del Río, Alba, 2022). En esta obra el protagonista debe acudir a la memoria para entender la relación, hay que señalar que la madre estaba en contra de su matrimonio. La madre le inyectó la idea de que el sexo es hecho odiable, mostrando en todo momento una actitud heretofóbica. El hijo falla en su relación matrimonial por culpa de estas informaciones negativas respecto a la sexualidad almacenadas en su memoria y como consecuencia se venga de la madre que indirectamente fue la responsable de su fracaso matrimonial, pero a pesar de todo sigue siendo su querida madre y el único refugio que tiene. En eso reside la contrariedad de los sentimientos del hijo y, toda es información la va recuperando e interpretada por el lector.

La mujer desconocida es la razón por la cual el personaje se pone elegante y guapo y también por la que se siente avergonzado y culpable: *"Ella fue la razón por la cual me he atendido el peinado y el nudo de la corbata. Me atacó un sentimiento de vergüenza, remordimiento e inquietud"* (p.326)

La razón es la misma en ambos sentimientos: la mujer desconocida y en buena lógica, él quiere gustar a esa mujer. Ella es la razón de su vergüenza porque le incita el instinto, y eso le provoca remordimiento al estar casado y supuestamente traiciona a su mujer a la que tacha de infiel. El lector encuentra lo comunicado en el entorno inmediato, el contexto al que nos referimos es cuando el personaje sale a vigilar a la esposa pero atiende a la otra mujer. Kamel pues, es contradictorio porque hace lo mismo que recrimina a su mujer.

Del mismo modo, sobre este particular, el protagonista tiene dos sentimientos opuestos hacia su esposa: *"La miré de reojo, pues me pareció maravillosamente guapa, pero luego me surgió un repentino deseo de romperle la cabeza con un hacha y dejarla dividida en dos partes"* (p.330). En el contexto situacional, la esposa le parece guapa pero sigue pensando en la otra mujer. Hay una comparación entre ambas que el personaje mantiene en el inconsciente. Esta comparación le hace dudar a Kamel de por qué la esposa está con otro hombre y por esta misma razón le invade el deseo de romperle la cabeza.

Se concluye que el personaje es contradictorio a la hora de calificar sus sentimientos hacia su madre, su mujer y la mujer desconocida. Lo que tiene almacenado el personaje le afecta en el momento presente y le controla y condiciona la vida entre lo que quiere y lo que debe hacer. En este orden de cosas, lo que tiene almacenado es por culpa de la madre y es consciente de eso, por lo cual mantiene sentimientos contradictorios. En cuanto a su esposa, le niega lo que el mismo le gusta hacer y por otra parte, la mujer atrevida (desconocida) le gusta por las mismas razones que niega a su esposa. Tras lo expuesto queda claro que, el protagonista se enfrenta a disonancias cognitivas múltiples. Mahfuz nos presenta un personaje extremadamente contradictorio, y dichas contradicciones son algo que requiere un doble esfuerzo de procesamiento mental, puesto que el procesamiento requiere mucha energía psíquica acudiendo tanto a la memoria a corto plazo como la enciclopédica. Hay otras teorías psicológicas como la teoría de la Gestalt que han hablado de lo incomodo y agotador de tener este tipo de tareas y contradicciones abiertas sin resolver, son situaciones incómodas que las personas intentan cerrar y solucionar pero en ocasiones la "enfermedad mental" o los "síntomas", surgen precisamente cuando la tensión de la contradicción no se llega a resolver (Frank Pearls, 2006).

Expuesto así, a grandes rasgos, el lector se ve empujado por el emisor a atar cabos para cubrir esos huecos que hay entre las incómodas supuestas contradictorios con el fin de descifrar los mensajes.

II. Los recuerdos irrelevantes y la relevancia verbal

En esta parte vamos analizando los enunciados, y para descifrarlos hay que investigar en la memoria del emisor. El hijo tiene almacenado en la memoria informaciones, generalmente por la madre, que le llegan capturando su pensamiento en el momento presente y por lo tanto resultan impertinentes contextualmente:

Del mismo modo, el autor relaciona entre los posibles buenos recuerdos que guarda la madre hacia el padre y que disgustaban al hijo:

"[...] ella se rindió a los amables recuerdos. Decía que él le dedicaba sonriendo unas miradas brillantes [...] me perdí en el desierto de la soñolienta imaginación y sufrí unos sentimientos de sorpresa, confusión y disgusto (p.12)

La madre narra al hijo el amable piropo del padre mientras que el hijo se sorprende, confunde y disgusta. En este sentido y solo a modo de apunte, volveríamos a la teoría del complejo de Edipo de Freud donde el hijo enamorado de la madre (aunque de forma ambivalente) entra en conflicto y rivalidad con el padre por competencia hacia el amor de la madre. El protagonista está sorprendido porque tiene malos recuerdos del padre a causa de la madre. Esta confuso porque la misma persona que le hablaba mal del padre ahora le habla bien. Hablar bien del exesposo le fastidia al hijo, algo que implica tanto el odio hacia el padre como el amor hacia la madre. En definitiva, hablar bien del padre provoca cierto disgusto al hijo por lo que atesora negativamente almacenado por la misma madre con respecto al padre. Así que el hijo niega que la madre tenga buen recuerdo de su matrimonio. Del mismo modo, el supuesto de que el matrimonio implica haber tenido relaciones sexuales entre los padres provoca también sentimientos desagradables al hijo. La situación en que Kamel pregunta a su madre cómo percibía los piropos del padre, y la madre (SI) ¿? escapa de la respuesta, diciendo que le ignoraba. Entonces, el personaje queda confundido si la madre estaría enamorada del odioso exesposo. El hijo se acuerda de su propia reacción ante la amada: "*¿Olvidaría que algún día estaba parado como una estatua mientras el corazón me ardía como una brasa?*" (p. 13). Para encontrar la respuesta, el lector recorre a la memoria a corto plazo y encuentra que la madre decía al hijo que el padre, antes de casarse, le piropeaba, y ella hacia que fingía ignorándolo. Así que coge la comparación entre la situación del hijo enamorado y la de la madre como estímulo.

El hijo está enamorado y por timidez se queda callado, asimismo la madre actúa exactamente igual: está enamorada del padre a pesar de cansarse de él. Más tarde, en la novela, el lector sabrá el mensaje descifrado, que es precisamente lo que pretende el autor.

Continuando con el análisis, observamos un contexto en que el abuelo informa al hijo de que la madre tiene un pretendiente, y en ese instante le ataca al hijo un recuerdo inoportuno:

"La frase de "quiere casarse con tu madre" me paralizó el oído, y se estrelló en mi cerebro, se me hincharon los ojos de sorpresa, miedo y asco [...] me acordé inmediatamente lo de la criada expulsada y se me encogió el corazón en el pecho" (p.57)

Se advierte una relación implícita entre el matrimonio de la madre y el recuerdo de la criada expulsada. En esta relación yace el estímulo de descifrar la sorpresa, el miedo y el

asco que ha tenido el hijo. La criada había tenido una relación sexual con el hijo por lo cual fue expulsada por la madre. La madre regañó al hijo por el hecho llamándolo pecado imperdonable. Ahora bien, si la madre se casa, implica que tendría relaciones sexuales. El sexo queda relacionado en la memoria enciclopédica del hijo como pecado y acto asqueroso. En el mismo contexto, el hijo reprocha a la madre, y le recuerda sus mismas palabras sobre el sexo: "*¿No decías que es una infamia y un pecado?*" (p.58). Si la relación sexual es un pecado y es una infamia, y si el matrimonio implica tener sexo, pues el matrimonio es un pecado. Así que, el hijo niega a su madre haga lo que ella misma le había negado a él.

Kamel ha tenido su primera experiencia sexual con la criada fea y sucia, algo por que queda asociado uniendo el placer sexual con la fealdad y suciedad:

"¿No era un fenómeno temporal y pasajero, sino un secreto profundo, o mejor dicho es una enfermedad profunda! Como si me gustara la fealdad y la suciedad! Al ver un rostro brillante y agradable me domina la admiración, y se enfría mi animalidad. Al encontrarme con un rostro feo y sano me excita..." (p.61)

Podemos obtener una respuesta en los contextos anteriores, donde se advierte que el hijo descubre el placer sexual con la criada fea y sucia y, a pesar de esto, el hijo queda cautivado por el recuerdo de la primera experiencia. El placer sexual que relaciona el narrador en el contexto con "la animalidad" se enfría ante una contraria a la suciedad y fealdad y como si se contradijera la admiración con dicha animalidad. Es decir, el recuerdo del placer sexual lo domina en el presente así, el lector para descifrar esta disconformidad recupera la información de la primera experiencia sexual del personaje.

En tal sentido, cuando el personaje admira a una chica decente y apreciada, le aleja de sus sueños sexuales:

"Me llenó de respeto y admiración, me acordé de ella en plena noche, en mi soledad psicológica. Mientras el delirio de mis sueños sexuales empezó a jugar con mi fantasía, me encontré protestándolo y rechazándolo mucho. Entonces, le he apartado de mi odiable costumbre, convenciéndome con las almas sucias que me encienden los más inferiores sentimientos corporales" (p.93)

Como el auto placer sexual es recordado por el protagonista como concepto odiable, sucio y feo, rechaza y protesta totalmente que su amada forme parte de este placer. A la amada no le excitarían los sentimientos carnales porque tiene el carácter opuesto a las criadas descritas anteriormente. Nos enteramos pues de la relatividad psicológica que tiene el personaje: cuanto más respetada y digna es la admiración a una mujer, menos le excita sexualmente y viceversa.

Cada vez más los muchachos en la escuela bromean con lo del "auto placer", con lo que Kamel se siente fuertemente dolorido: "*Un día oí -En el patio de la escuela- unos alumnos que se insultaban por aquello sin vergüenza, me alarmó mucho y me dominó una dolorosa timidez"* (p.61). Ese "aquello" se refiere al auto placer que realiza Kamel a escondidas por la noche, debido a que es un pecado. Pues lo que bromean los chicos le llega a Kamel con timidez y vergüenza, ya que no tienen la misma información almacenada que tiene él hacia este concepto. Del mismo modo, el acto de rezar está relacionado con el remordimiento de Kamel por dicho pecado que comete: "*Rezar me aumentaba el dolor del alma, por la excesiva costumbre en las horas del placer loco que escapó por la noche*" (p.118). El auto placer es un pecado, según la información

almacenada por la madre. La oración es algo puro y sagrado y por lo tanto viene como contradicción ante cometer un pecado. Hacer las dos cosas opuestas le hace sentir dolor.

El hijo se acuerda de la frialdad de la madre ante la posible idea del matrimonio. Esta frialdad fue relacionada en la mente del hijo con el aumento del miedo y la timidez: *"Esa es la novia de Kamel. Mi madre recibía este tipo de bromas con notable frialdad [...] por eso me aumenta la timidez, la aversión y el miedo, sobre todo hacia las mujeres."* (p.61)

La madre tiene una reacción distinta a otras madres en una situación similar. La frialdad de la madre ante la broma deja al hijo con aun más timidez y miedo. La madre no quiere que se case su hijo e intenta almacenar en la memoria del hijo que casarse es un hecho odiable, y por eso obviamente lo rechaza su madre.

Se presentan la madre y la amada como dos polos opuestos en el pensamiento del hijo. El miedo y el susto domina la relación: madre-amada: *"Con mi amada me persigue el fantasma de mi madre y con mi madre me asusta el de mi amada"* (p.118). En el contexto todavía no hay relación física entre la madre y la amada más que en el pensamiento de Kamel. La madre apuntala la imagen negativa del casamiento en la memoria del hijo, pero Kamel quiere casarse con la amada. Así, la amada y la madre se atropellan en la mente del personaje. Ahora se explica ya fácilmente que el susto domina la relación madre-amada, ya que queda almacenado en la mente del personaje, y el lector a su vez sabe, que la madre odia que el hijo se case.

En la primera visita de la casa paterna, el hijo se alarmó al escuchar el nombre de su padre: *"-Ro'oba bey está en la terraza..."*

Me ensordeció el nombre, pues sentí a mi pesar lo que me relaciona con esta casa" (p.70)

El nombre del padre, que es su propio apellido, se aprecia el calado de la relevancia puesto que le fastidia a Kamel. Esa relación obligada padre/hijo le afecta negativamente al personaje. Sobre este particular, el hijo no quiere tener relación con el padre ni por el nombre. No lo conoce y es el primer encuentro, pero ya le tiene prejuicios por lo que tiene marcado en su memoria. Ese prejuicio negativo se extiende hasta el hermano por el parecido que tiene con el padre:

"Nos visitó mi hermano, la semana siguiente de nuestra visita a mi padre. Al mirarle detenidamente la cara esta vez, me enteré de que es una perfecta copia de mi padre. Entonces, me pregunté por su fama y actitud moral" (p.79)

En su raigambre, el estímulo reside aquí en lo que tiene almacenado en relación a la mala fama y actitud del padre. Se establece una relación entre el parecido y la actitud de la persona. Dados a la unión antes que a la separación vemos que si el hermano se parece al padre pues es posible que tenga esa mala actitud y fama.

En un diálogo entre la amada y el protagonista, la chica le informa, indirectamente, de que el acto de "pedir la mano" debe hacerlo la madre. Al escuchar la palabra "madre" se le encoge el corazón: *"su palabra (por las mujeres) me ha recordado a mi madre, entonces se me encogió fuertemente el corazón de susto"*. (p.218)

La madre es la que debe pedir la mano de la querida, pero al mismo tiempo, el recuerdo de la madre está asociado con el miedo del hijo hacia ella. En su memoria yace el claro rechazo de la madre hacia tal posible relación.

El hijo siente no poca vergüenza por la situación en la que informa a su madre de que se va a casar: *"Me voy a casar... Me suena rara la frase "me voy a casar", la niego y me avergüenzo, como si pronunciara una palabrota ofensiva"* (p.203).

La relación entre el casamiento y la vergüenza está asociada en la memoria enciclopédica del hijo. Recupera el contexto en que el mismo rechazó que se casara su madre. Un

matrimonio implica relación sexual, por lo que es una tremenda vergüenza según lo marcado por el personaje de la madre.

Tras el matrimonio del hijo la madre cambia de actitud. El personaje asocia este cambio con el sexo, es decir, como el hijo no ha tenido todavía una relación sexual con la esposa –hecho que la madre desconoce-la madre está antipática: la madre le trata mal porque su matrimonio implica sexo, hecho que no hizo el hijo. Así que piensa si le dijera la verdad le perdonaría y le volvería a tratar bien: "*¿Tendría que confesarle a ella mis dolores para que sepa que no me había casado de verdad y que soy el hombre más miserable en el universo? ¿Quizás así me perdonaría y vuelve a tratarme como antes?*" (p.275). La madre trataba al hijo antes mejor que ahora. Antes no estaba casado y por lo tanto no mantenía sexo, por eso el hijo tiene almacenado que la madre odia que haga sexo. La madre no perdona que el hijo mantenga relaciones sexuales con la esposa y, de hecho, no las ha tenido, razón por la cual se siente miserable. Él, se lo quiere confesar a la madre para que le perdone. En este sentido podemos observar pues, que la madre es egoísta sin querer.

En otro contexto, se ve una ambigua alegría de Kamel por percibir que la mujer desconocida mayor que él: "*Me enteré de la diferencia de edad entre ella y yo. Me dio mucho placer eso y esperaba volver a ser más joven, un veinteañero*" (p.328). El placer de Kamel también está relacionado con la edad de la mujer. Cuanto mayor sea, más placer tiene. Con estas mimbres, al recorrer a la memoria a corto plazo, se recupera la información de que la sirvienta, con la que había tenido el personaje la primera experiencia sexual, era mayor que él. La experiencia almacenada en su recuerdo sobre el placer sexual, le domina en el momento presente. De este modo se puede descifrar e intuir el deseo de Kamel.

En otra situación donde Kamel se esfuerza en tener relaciones sexuales con Rabab, recuerda la clase por la que había abandonado la facultad: "*[...] me vino de repente el recuerdo del maldito momento de la clase de Discurso de la facultad de Derecho, que me echó fuera de la universidad. Suspiré profundamente en una desesperación mortal*". (p.195). Aquí se establece una comparación cifrada en la mente del personaje. Kamel fracasó en dicha clase por tener que hablar en público. Ese recuerdo del fracaso lo relaciona con una relación sexual también fracasada seguido por la vergüenza en ambas situaciones, supuestamente irrelevantes.

En plena ceremonia de boda, Kamel se acuerda de la madre, algo que, como ya hemos comentado le da vergüenza: "*[...]de repente me acordé de mi madre, ¿Dónde estaría sentada? Me está viendo, sin duda. Me ha dado vergüenza...*" (p.242). El hijo siente vergüenza porque la gente le mira como si fuera un novio, la misma vergüenza al sentir que la madre le está mirando al mismo tiempo. Así, se deduce el lazo entre la vergüenza que sienten el hijo y la madre. El lector extrae de su memoria el miedo que siente la progenitora con respecto al sexo. El matrimonio implica sexo, así pues, el hijo siente vergüenza por esa idea.

En el mismo contexto, nos referimos a la boda, se encontraron las miradas entre el hijo y la madre. En este momento, el hijo se acuerda del primer día de la escuela:

"Se nos encontraron las miradas, intercambiamos una ligera sonrisa, en este momento me acordé de una imagen del remoto pasado, en la que me veo detrás del muro de la escuela primaria. Ella está al otro lado del muro y me mira animándome y despidiéndose de mí. Entonces sentí una punzada en el corazón." (p.243)

El hijo relaciona la noche de su boda con el primer día de escuela. Esa asociación de ideas la recuerda con disgusto. El lector asocia este recuerdo con el personaje y entiende que el

disgusto es producido porque la madre está lejos en ambas situaciones. Aunque la fuente de esta vergüenza es causada por el miedo, ella sigue siendo su refugio emocional. En la primera noche de matrimonio, mientras estaba con la novia, el hijo se acuerda “sin querer” de la madre. Ese recuerdo irrelevante en ese entorno, duplicó a Kamel la vergüenza y la angustia:

"De repente, mi mente se desvió hacia la habitación de mi madre sin motivo alguno. Me pregunté si se había dormido... si imagina lo que estaría haciendo ahora... entonces me aumentó la vergüenza y me sentí ahogado" (p.246)

En la misma primera hora estando a solas, ya los novios, surge la presencia repentina e incomprensible del recuerdo de la madre, surge en un contexto inoportuno que es el dormitorio matrimonial y, este recuerdo le aumenta al novio su vergüenza por lo que va a hacer. La vergüenza al sexo, aunque sea matrimonial, queda nuevamente vinculada por la madre.

El día siguiente de la boda, Kamel al mirar el reloj y se acuerda de la madre, algo por lo que al recordarla se siente tímido:

"Miré el reloj, pues son pasadas las diez, me atormentó despertar tan tarde, en seguida me acordé de mi madre, y me pregunté por lo que estaría pensando ahora al levantarme tarde. Sentí una dolorosa vergüenza". (p.249)

A la mañana siguiente a la boda se despertaron tarde y se hace mención a la progenitora. El recuerdo de ella en este contexto produce nuevamente una vergüenza dolorosa en el hijo. La relación implica que despertar tarde aquella mañana da a entender que los novios durmieron tarde por tener sexo. El hecho de tener sexo con la esposa avergüenza al hijo ante la madre.

El recuerdo de la madre, tras el matrimonio, sigue vinculado con la vergüenza del hijo: *"La verdad es que cada vez me acuerdo de ella, me ataca muy fuerte la vergüenza"* (p.255). La vergüenza siempre está ligada con el recuerdo de la madre. El hijo tiene grabado en la memoria el acoso de la madre por el sexo. A pesar de que él no lo hace, le ataca la vergüenza porque la madre supone que lo hace.

Junto con el recuerdo de la madre, al protagonista le sorprende un recuerdo inoportuno con el entorno inmediato en casa de los suegros:

"Recibí la taza y me la acerqué a la boca, entonces me acordé de la antigua taberna en la calle de Alfi, y se manifestó ante mis ojos la copa del ¡Alcohol! ¿Cómo me vino este recuerdo? ¿Cuál es su motivo?... me sentí sinceramente sorprendido, pero me sentí maravillosamente cómodo" (p.282)

El contexto es cuando el personaje está en casa de sus suegros en una gran reunión familiar. En la reunión se pone muy nervioso y al ofrecerle el café le vino el recuerdo de la taberna. El recuerdo es irrelevante con la situación, por lo que le sorprende. El inconsciente le dirige la mente en ciertas situaciones aunque parezcan irrelevantes. Al tener este recuerdo se siente él cómodo. El alcohol le hace sentir distraído y sentirse distraído le hace sentirse cómodo. El personaje huye de la realidad que él mismo crea. Más adelante, el personaje explica que había olvidado del todo el alcohol desde su matrimonio y hasta el momento en que recibió la taza de café:

"Lo había olvidado totalmente desde mi matrimonio y hasta se manifestó aquel día en la taza de café, pues me vibró hasta la

*profundidad del corazón. Mi madre+mi mujer+ el doctor Amin
Reda=El alcohol" (p.285)*

El personaje se olvida del alcohol desde que se casó. Casarse le ayuda a superar el alcohol puesto que lo sustituyó por una felicidad supuestamente más grande. El personaje no encontró esta felicidad en el matrimonio así que se acordó del alcohol. Por dicha felicidad provocada por el alcohol al personaje le vibra el corazón. La fórmula que hace el personaje incluye sus inquietudes de la vida representadas en la madre que le domina el pensamiento, la mujer que, a pesar de amarla, no la toca, y el médico sabe su tremendo secreto de incapacidad sexual. Esta fórmula tiene como solución el alcohol, es decir, la solución pues, pasa por estar distraído.

Satisfecho, cómodo y feliz por su visita a la tumba sagrada de Om Hashim, a Kamel le ataca un recuerdo que le deja arrepentido y avergonzado:

*"Al entrar en la mezquita mi pecho quedó feliz y alegremente cómodo.
Recordaba cuando andaba tomando la mano de mi madre hacia la
tumba sagrada. Recordaba el día en que me acompañó para que
pidiera perdón por el pecado que sigo cometiendo y acostumbándome.
¡Qué recuerdo! Me dejó en el alma arrepentimiento y vergüenza."*
(p,310)

De alegría y comodidad a arrepentimiento y vergüenza. El personaje va al lugar sagrado en busca de alivio. Se siente cómodo al recordar la primera vez de la visita junto a la madre. La primera visita fue para pedir perdón por el pecado sexual. El lugar sagrado queda almacenado en la memoria por el pecado y la vergüenza.

En pleno acto sexual con la mujer desconocida, Kamel se acuerda de la esposa: *"Me acordé de mi querida esposa con tristeza y disgusto [...] ¡No tardé en hacerla la culpable de toda mi miseria!"* (p. 341). Kamel se acuerda de su mujer mientras está con la amante. Con la amante se siente satisfecho sexualmente, mientras con la esposa no, debido al contexto anterior. La esposa, parece ser, es la responsable de esta traición matrimonial porque no le deja satisfecho. Otra responsabilidad que tiene la esposa es que Kamel conoció a esta mujer mientras estaba vigilando a Rabab a ver si esta se encontraría con otro hombre.

Ante la muerte repentina de la mujer, el esposo se enlaza entre recuerdos supuestamente irrelevantes: *"Los terribles fantasmas de los recuerdos y pensamientos me bailan: un aborto... ¡Rabab estaba encinta! La carta. Este médico joven..."* (p.388)

La mujer murió en un aborto pues ella estaba encinta, aunque sabemos que ella no había tenido relaciones sexuales con el esposo. El esposo la pilló leyendo una carta y sospechaba que fuera de amor... Por otro lado, sabemos que es el médico quien fue el autor del aborto y era el mismo médico quien era el amante. El lector se basa en la memoria enciclopédica para vincular los recuerdos del emisor y así, tanto el emisor y el lector comparten la misma memoria.

El recuerdo de la madre está presente en el contexto de revelar la infidelidad de la esposa: *"Mientras estaba subiendo la escalera, me acordé de mi madre, en este momento me estremecieron todos los músculos. También me dominó un terrible enojo como si fuera un diablo, ¿Qué me enojó?"* (p.394)

De forma clara está cifrado el enojo que siente el hijo al recordar a la madre. El hijo relaciona su madre con la infidelidad de la esposa, y por lo tanto, la muerte de la misma. La infidelidad de la esposa sucedió porque este no era capaz de mantener relaciones sexuales satisfactorias, según dijo el médico en el contexto anterior. La madre es la responsable de la frialdad sexual con la esposa. También está almacenado en su memoria

el odio que tiene la madre hacia la esposa, por lo que su madre se alegraría por esa muerte.

Conclusiones

Al contrario de lo que proponen los autores del Principio de Relevancia, Naguib Mahfuz como comunicador, exige un mayor esfuerzo de procesamiento a su receptor para unir las informaciones. Mahfuz presenta una relación bastante complicada entre madre e hijo y entre hijo y mujer, por lo tanto, la tarea de decodificarla es igual de complicada.

Lo contradictorio hace al enunciado irrelevante y, por lo tanto, incomprendible a primera vista. El lector anda relacionando supuestos desconectados por contradicción, que es una tarea que le exige un considerable esfuerzo de procesamiento. El emisor garantiza que cada vez que entra una nueva información debilita la contradicción y hace más clara la información comunicada o la implicatura. Así que Naguib Mahfuz requiere al lector que este constantemente activo y que esté atento a cada información del texto.

La contradicción nace porque se contradicen los conceptos en la vida del personaje, es decir, contradicción entre lo que quiere y lo que debe hacer. Todo eso se ve reflejado en actos lingüísticamente impertinentes. Estas contradicciones no debilitan la relevancia de modo absoluto, sino que se debilitan y hacen de alguna manera que se esfumen relativamente con el esfuerzo cognitivo reproducido por parte del receptor.

Las contradicciones sirven como estímulo para captar la atención del receptor, teniendo en cuenta que el emisor quiere decir algo que vincula lo contradictorio.

Del mismo modo, los recuerdos, normalmente impertinentes con el entorno inmediato son estímulos para que el lector pueda enlazar el recuerdo y el contexto. Los recuerdos casi siempre están presentes en contextos inoportunos y entornos forenses que el personaje mismo es incapaz de descifrar, preguntándose por qué razón le sale ese recuerdo en este contexto. Esto obliga al lector esforzarse buscando relación entre el recuerdo y el contexto en que nace. La relevancia está garantizada por el autor debido a que mantiene, a lo largo de la novela, una memoria compartida, un contexto común, entre el personaje y su lector.

Un recuerdo se procesa de tal modo irrelevante en entorno forense porque ha sido muy vivido a lo largo de los años de infancia y adolescencia. Así que este recuerdo irrelevante puede causar inquietud o incluso crisis en el momento presente. Pues los recuerdos de Kamel son traumáticos así que son incontrolables en ciertos contextos.

Las informaciones almacenadas en el pasado, siempre por la madre en la memoria del personaje, le salen en forma de recuerdos inoportunos en el presente. Enlazando entre dichas informaciones y el contexto presente llegamos a la relevancia entre este recuerdo y el momento en que se recupera.

Se ve calramente la relación implícita que establece el emisor entre el sexo y el pecado o la culpa. La madre ha sido la responsable de esta relación, así que mientras está presente el recuerdo de la madre se esfuma la capacidad sexual del hijo y viceversa.

Debido a que la información relevante es aquella que mejora o modifica una representación general del mundo, la información que nos ofrece el escritor lo es. Mahfuz invita a su lector a modificar su perspectiva del mundo. *El Espejismo* es una novela que empuja a denunciar la informaciones estereotipada almacenada en nuestra memoria, que es la responsable de contradicciones y recuerdos traumáticos.

La teoría propone que cuanto menos esfuerzo se requiera para captar la implicatura, mayor es la relevancia. Mahfuz demuestra lo contrario, es mayor el esfuerzo de procesamiento que exige a su lector y es mayor también la relevancia de su comunicación.

Un enunciado carente de relevancia por contradicciones o recuerdos impertinentes, contextualmente incita al destinatario a decodificar dicha carencia. Desde el momento en que el lector reconoce la contradicción y los recuerdos impertinentes como estímulo destacable, su mente pone en marcha varios tipos de procesos. Estos procesos empiezan por la descodificación y siguen por otros de naturaleza inferencial, desde la desambiguación y la asignación de referente hasta la identificación de lo comunicado. Se observa como resultado del estudio de la relevancia verbal en el lenguaje de Mahfuz, un equilibrio de peso entre el esfuerzo del procesamiento y las informaciones nuevas obtenidas: cuanta más pesa una información, cuesta más esfuerzo cognitivo.

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Further Evidence for Revisiting the Notion of ‘Genderlect’ in the Discourse of Margaret Thatcher, Giorgia Meloni, and Liz Truss

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1. Abstract: It has been traditionally argued that differences between male and female language usage in interactional communication provide illuminating clues about how men and women are positioned socially. This paper supplements Negm's (1998) research paper entitled “The Notion of Genderlect Revisited”, by broadening the spectrum of male and female interaction to include non-literary discourse. The present study dismantles the notion that male/female varieties of language should be viewed in terms of bifurcation. It reconsiders and challenges the ways in which language form and function can reflect gender diversity, applying the theoretical perspectives of feminist linguists notably those of Robin Lakoff (1975), Dale Spender (1980), and Deborah Tannen (1990). Feminist linguistics examines how sexism manifests itself in discourse and analyses whether gender-based linguistic or verbal style can be distinguished. The discourse samples to be investigated in the present study are selected excerpts of Margaret Thatcher's, Giorgia Meloni's, and Liz Truss's speeches and interviews. Their discourse reveals how consistently their political/social identity, and their gender-related identity are reflected in their discourse. They have been displaying qualities typically associated with men: dominance, control, determination, and confidence. Their voice has become their vital key for maintaining their identity in the male-dominated political world. It is firm, rigid, emphatic, and assertive. The paper then proceeds to discuss the implications of the analysis for stylistics, discourse analysis, sociolinguistics, pragmatics, and TEFL.

Keywords: Genderlect, Feminist Linguistics, Linguistic Sexism, Identity, Ideology

2. Introduction

Early feminist discussions used the terms ‘sex’ and ‘gender’ frequently contrasted with ‘sex’ referring to biological distinctions and ‘gender’ to social constructs. The sex/gender differentiation was asserted in order to claim that the biological difference had been exaggerated in order to uphold a patriarchal system of social power and to convince women that they were inherently more suitable for stereotyped domestic roles. It is believed that this patriarchal ideology pushes both men and women to behave or even speak in a specific way and to have certain expectations, which they then put into practice in their daily lives (Pilcher & Whelehan, 2016, p. 56). Kate Millett (2000, p. 46) identifies this ideological standpoint as she states that both genders are socialized to fundamentally patriarchal systems in terms of “temperament,” “role,” and “status”. As for status, a pervasive assent to the prejudice of male superiority guarantees superior status in the male, inferior in the female. Temperament is the process by which a person's personality is formed along gender stereotypes, according to the needs and ideals of the dominant

group: violence, intellectual ability, power, and efficacy in the male, and complacency, ignorance, docility, and ineffectiveness in the female. Sex role complements this by prescribing a consonant, extremely detailed code of behavior for each sex.

Language can reflect gender differences in social position and the culturally diverse norms attached to men and women. In the study of gender and language, male-female linguistic disparities have been explained in one of three ways: as proof of women's lack of power and inferior position to males (The Deficit Approach); as an illustration of masculine linguistic domination and control (The Dominance Approach); or alternatively, as an illustration of how men and women communicate differently but just as equally (The Difference Approach).

The notion of 'genderlect' has been initiated as a result of the growing awareness of the significant relationship between gender and language in the domains of sociolinguistics and stylistics. Tannen would be the first to relate male and female conversational styles and speech patterns to "cross-cultural communication" (1990, p. 49). Instead of dialects, Tannen claims that women and men speak various "genderlects." The study of 'genderlect' focuses on the diversity of speech as a way of varying gender-related communication. Joan Swan (2004, p. 122) defines 'Genderlect' as "a constellation of linguistic features associated either with female or male speakers." Similarly, according to Griffin (2019, p. 385) 'Genderlect' implies that male and female conversation patterns are better understood as two different cultural dialects.

"The Notion of Genderlect Revisited", a research article by Negm from (1998), is consolidated and supplemented by this paper. Negm's (1998) paper questions the idea of binary thinking in terms of language and gender. In the framework of Hewitt's (1997) approach, it re-examines and refutes the assertion that women's discourse is fundamentally distinct from that of males. Hewitt cites numerous characteristics of competitive style, style that is regarded as being characteristic of men, including interruptions, silence, emphatics, and monopolizing the floor. According to Negm (1998), many techniques and/or tactics of communication utilized by males may likewise be adopted by women. Following the theories of Tannen and Lakoff (1996), who contend that "the writer's realization of his/her characters represents a reality that has direct correlates, if not necessarily direct ones, in more naturalistic texts," Negm (1998) confirms the claim that women may acquire many of the communication strategies and methods used by men. In *The secret Agent* by Joseph Conrad, Mrs. Verloc interrupts her husband, silences him and monopolizes the floor. Henrik Ibsen's *A Doll's House* reveals Nora to be a rebel who questions her husband's morals. She thus asks him to refrain from interrupting her and speaks firmly and forcefully. Likewise, Tennessee Williams's Amanda in *The Glass Menagerie* reveals herself as a mom who orders her son nonstop until he protests. In addition, she forces him to adopt the position of a simple listener.

By expanding the range of interactions between men and women to include non-literary discourse, the current study refutes the claim that male and female linguistic variants should be construed as being bifurcated. Applying the theoretical stances of feminist linguists, particularly those of Robin Lakoff (1975), Dale Spender (1980), and Deborah Tannen (1990), this paper reconsiders and questions the ways in which language form and function might represent gender difference. Firstly, male and female language use and speech patterns exhibit explicit distinctions, according to Lakoff (1975), who summarized these differences as follows: Compared to men, women use more hedges, tag questions, rising intonation, overly polite or proper linguistic forms, and excessively

correct grammatical structures. Secondly, Spender (1980) contends that women facilitate natural conversation. Contrarily, men typically do so by interrupting and taking control. Thirdly, Tannen (1990) claims that since men and women concentrate on various facets of communication, they eventually have conflicting 'genderlect' on the same speech contexts. This genderlect style of cross-cultural communication occurs when men and women converse. Therefore, it is preferable to see masculine and feminine discourse as two unique cultural languages rather than as inferior or superior forms of expression. In this respect, women's rapport speech promotes human connection whereas men's report talk emphasizes status and independence.

Selected excerpts of Margaret Thatcher's, Giorgia Meloni's, and Liz Truss's speeches and interviews will be used as the discourse samples under investigation. Initially, regarding Thatcher, the "Iron Lady of the Western World" (Jan. 31, 1976), she stood in her "chiffon gown," with her "face softly made up," and her "fair hair gently waved," while demonstrating characteristics traditionally associated with the male world: status, authority, persistence, power, and self-assurance. Young (1993, p. 170–1) comments that the fact that she was a woman and entirely inexperienced in the male-dominated realm of high diplomacy was still perceived as posing a threat, but her label, 'The Iron Lady' eliminated it. As nobody who was not portrayed as being made of iron could be too remarkably feminine (As quoted in Charteris-Black, 2011, p. 166). These two words succinctly describe one of her success factors in overcoming the challenge of being a woman in a position of authority. As for Meloni, given that she is a right-wing woman, her political discourse, though, incorporates more of the conventionally vigorous and male identity, which is focused on projecting competitiveness. After Margaret Thatcher and Theresa May, Liz Truss became the third female leader in British history to shatter the gender barriers, however she did so by moving the curve on women's leadership in a political arena with a male preponderance one inch farther. Truss stood up for autonomy, self-reliance, and rights advocacy. For Thatcher, Meloni, and Truss to keep their political persona in the mostly male-dominated political sphere, their voice has become firm, emphatic, and confident. They emphasize the contrast between their own very assertive male position and the ideals that are traditionally expected of women. Their speech style is propelled by this gender disparity, which helps to shape their unique political persona.

3. Research Questions

This study aims to disprove the notion that male and female linguistic varieties should be seen as different from one another. To achieve this objective, the following research questions are addressed:

- 1- What "genderlect" variables can be found in the selected speeches of Margaret Thatcher, Liz Truss, and Giorgia Meloni?
- 2- According to the "Difference Theory," are the features of their discourse typical of a man or a woman?
- 3- How is the speech style of Thatcher, Truss, and Meloni consistent with their sexual and social/political identities?
- 4- Are there strict boundaries between male and female discourse?

4. Research Methodology

This study refutes the assumption that male and female linguistic varieties should be regarded as dichotomous by using feminist linguists' theoretical views, notably those of Lakoff (1975), Spender (1980), and Tannen (1990). Initially, the interplay between language and gender gained interest with Lakoff's publication of *Language and Woman's Place* in 1975. According to Lakoff's "Deficit" perspective, the language differences between men and women serve as evidence of women's lower standing and lack of authority in comparison to males. Moreover, Dale Spender's *Man Made Language* (1980) is often used as an illustration of the "Dominance" perspective. The dominance theory shows how language disparities between men and women are a result of masculine superiority. Furthermore, *You Just Don't Understand: Women and Men in Conversation* by Deborah Tannen (1990) is thought to contribute to the "Difference" perspective. Tannen is concerned with the differences between men's and women's conversational styles. She claims that neither men's dominance nor women's submissiveness can account for these differences. Women and men have distinct but absolutely equal "genderlects."

The discourse samples under analysis include selected excerpts of speeches and interviews by Margaret Thatcher, Giorgia Meloni, and Liz Truss. One important work, *The Collected Speeches of Margaret Thatcher*, edited by Robin Harris in 1997, is used as the basis for the analysis of Thatcher's discourse. Regarding Meloni's discourse, the study is based on two translated speeches that are accessible online, notably those she delivered in 2020 at the Chamber of Deputies and in 2022 at the National Conservatism Conference. As for Liz Truss, the study recognizes three of her significant speeches as instances of her discourse, including the speech at the Centre for Policy Studies in 2020, her first Downing Street address as prime minister in 2022, and the speech at the Conservative Party Conference in 2022.

Margaret Thatcher, Giorgia Meloni, and Liz Truss exhibit traits normally associated with men: status, authority, perseverance, power, and self-assurance. They underline the contrast between the forceful masculine stance and the conventional female norms. This gender discrepancy influences their talking style, which contributes to building their distinct political character.

5. Theoretical Framework

The 'Difference Approach' is frequently associated with Tannen's writings, specifically her (1990) book *You Just Don't Understand: Women and Men in Conversation*. Tannen is concerned with the disparities in conversational style between men and women. She contends that men and women speak in distinct ways. Nevertheless, according to Tannen, these discrepancies cannot be explained by women's submissiveness (Lakoff, 1975) or men's dominance (Spender, 1980). One explanation is the fact that women and men "have different, but equally valid styles" (Tannen, 1990, p. 17). Tannen (1990, p. 49) compares the speech of men and women to a "cross-cultural communication" which is vulnerable to a conflict of conversational styles and techniques. That is, they supposedly speak several 'genderlects' rather than dialects.

This viewpoint holds that until men and women acknowledge their profoundly rooted social and sexual differences, they are destined to misunderstand one another (Crawford, 1995, p. 1). Men and women concentrate on various facets of communication. Tannen asserts that women attempt to forge connections and solidarity while males use discourse to build hierarchy and authority (Wardhaugh & Fuller, 2015, p. 326). For men, conversation is a "contest, a struggle to preserve independence." However, for women,

“conversations are negotiations for closeness ... a struggle to preserve intimacy” (Tannen, 1990, p. 25). Tannen categorizes these conversational differences as follows:

Women frequently emphasize intimacy or connection, seeking toward consensus, and refraining from showing superiority. Men, on the other hand, emphasize independence because it is important in a society where status is valued (Tannen, 1990, p. 27). Symmetry is the key component of female connection. Asymmetry is a key component of male status: People are not all the same and are positioned differently in a hierarchy (Tannen, 1990, p. 30). Additionally, women view their position as symmetrically being one of empathy and understanding, whilst males view it as asymmetrically being one of problem-solver and advisor (Speer, 2004, p. 31).

The terms “rapport-talk” and “report-talk” can also be used to describe gendered-linguistic variations. The language of talk is essentially a language of rapport for the majority of women, serving as a means of creating connections and negotiating relationships. Thus, displaying common interests and matching experiences is given preference. However, for the majority of males, talking is essentially a strategy for maintaining their sense of autonomy, power, and status. This is accomplished through demonstrating one's expertise and by commanding attention through verbal performances like jokes, storytelling, displaying knowledge, or providing detailed reports (Tannen, 1990, p. 91). As confirmed by Lakoff, women's language “submerges a woman's personal identity” by limiting her ability to speak out firmly and by promoting claims that imply triviality and uncertainty regarding the subject-matter she is discussing (Lakoff, 2004, p. 42). In turn, these special speech patterns and interactional practices associated with women are used as justifications for maintaining women in a derogatory position and for failing to treat them as fully human beings (Lakoff, 1973, p. 47). To put it another way, the overall outcome of these inequities is that women are orderly kept away from the positions of power and authority on the grounds that, as evidenced by their linguistic and social behavior, they are incapable of holding such positions (Lakoff, 2004, p. 42).

Women are more likely than males to talk at a lower volume and higher pitch, speak for shorter periods of time, and structure their views as questions. On the other hand, speaking more firmly, for a longer period of time, and louder could fit the macho image better (Tannen, 1990, p. 303-304). Similarly, according to Lakoff (2004, p. 49), more rising intonation is used in sentences by women than by men, functioning as requests for assurance, acceptance, permission, affirmation, and confirmation from others. Coates (1986) claims that the lower pitch levels that are characteristic of some women in politics —Margaret Thatcher being the classic example— contribute to the social acceptability associated with a man's voice. Such women, according to Coates, behave in a way that assimilates to the norms of males, which is a tactic they may be employing to boost their status (Weatherall, 2005, p. 52). Similarly, Wardhaugh (2006, p. 318) indicates that it was said about Margaret Thatcher that her voice was inappropriate for her position as British Prime Minister because it was too shrill. She was instructed to talk more slowly, with a lower voice pitch, a smaller speaking range, and an authoritative, somewhat monotonic manner in order to be taken seriously.

Males are skilled at trying to divert the conversation, match, or derail discussions. But that kind of reaction is unusual for women. They are forced to pay close attention, waiting for their turn. They do “not interrupt with challenges, sidetracks, or matching information” (Tannen, 1990, p. 183). Over and above, one of the primary instances of male authority, according to Spender (1980, p. 87), is the masculine linguistic pejorative,

which is used to control language and so suppress women's meanings and reinforce their muted and submissive nature. Women are not given a fair hearing when they communicate in a manner that does not appeal to men. They “are “queried”, they are interrupted, their opinions are discounted, and their contributions devalued.” Spender (1980, p. 44) elaborates that men may exert power and control over women through interruption. In fact, she justifies this stereotype by claiming that silence is the preferred state for women in patriarchal societies.

Tannen (1990, p. 304) acknowledges that speaking in ways that are traditionally associated with masculinity is a sign of leadership and power. A man's actions that increase his authority also increase his sense of masculinity. However, a woman runs the danger of undermining her femininity in the eyes of others if she adjusts her style to a position of power. This tension between femininity and power is never more important than when women are in political leadership positions. Often, women must decide whether to project the image of a strong leader or a decent lady. A man's value is increased if he projects the qualities of force, rationality, directness, mastery, and power. But nevertheless, a woman is at risk of diminishing her femininity if she comes out as assertive, rational, direct, authoritative, or powerful (Tannen, 1990, p. 307). Margaret Thatcher is an example of a woman who was told to talk more masculinely in order to fill a role that had previously solely been held by males (Wardhaugh, 2006, p. 318).

For women, obtaining power or authority is difficult, and once they do, their path is paved with thorns. Women in positions of power, Tannen (1990, p. 311) explains, experience “a double bind”. This is attributable to the fact that they are perceived as ineffective leaders if they communicate in manners that are typical of women, and they are perceived as insufficient women if they communicate in ways that are typical of leaders. To put it another way, women are supposed to just talk like they always have, but this frequently fails. One obvious step would be for them to adopt a more masculine speech pattern. This doesn't work either because women who talk like men are viewed negatively:

Apart from the repugnance of women's having to do all the changing, this doesn't work either, because women who talk like men are judged differently—and harshly (Tannen, 1990, p. 21).

That is due -in part- to the fact that when women tend to achieve their independence instead of intimacy or interdependence, they defy the expected and stereotyped gender roles. In this respect, Wardhaugh, (2006, p. 318) comments that Margaret Thatcher was so effective that her new speaking manner ended up becoming something of a trademark, appreciated by her supporters and despised by her opponents.

Tannen comes to the conclusion that a huge step toward bridging the communication gap between men and women is to break free from the confines of “a monolithic conversational style” (1990, p. 21) which may be accomplished through having a grasp of each other's conversational styles and the proper communicative alternatives.

6. Data Analysis

Margaret Thatcher understands that effective communication and systematic linguistic choice could become essential to persuading a large enough portion of society of her new powerful and ambitious agenda to transform “Britain from a dependent to a self-reliant society” (1984). As she states:

As the old politicians learnt to use oratory so we must use the instruments now at our disposal. Perhaps a different style, a different technique, but once mastered it is one which enables us to bring the message into every home in a more intimate way than ever before. We must become adept at all of these techniques of communication (Thatcher, 1975, as quoted in Crines & Heppell & Dorey, 2016, p. 201).

Women use more color terminology than men do, and they can distinguish between various hues and shades of the same color with greater accuracy. This shows that women tend to talk about things that are mostly superficial, unimportant, and related to their personal interest, rather than crucial or worldly issues associated with masculinity (Lakoff, 2004, p. 43). Thatcher, on the other hand, perfectly embodies her epithet, "The Iron Lady," as she uses feminine jargons like "red," "chiffon," "gown," "makeup," "soft," "fair," and "hair," while speaking about ideals, freedom, and policy, which are often associated with men rather than women. As she states:

I stand before you tonight in my Red Star chiffon evening gown my face softly made up and my fair hair gently waved, the Iron Lady of the Western World, a cold war warrior, an amazon philistine, even a Peking plotter. Well, am I any of these things? Well yes... Yes, I am an iron lady...if that's how they wish to interpret my defence of values and freedoms fundamental to our way of life... They can call me what they like (Thatcher, 1976, quoted in Crines & Heppell & Dorey, 2016, P. 87).

Men are adept at trying to change the subject, match, or derail conversations. But for women, that type of response is atypical. As they wait for their turn, they are compelled to pay close attention. They don't interject with questions, diversions, or matching details (Tannen, 1990). On the contrary, Margaret Thatcher regularly interrupts her interviewers, for example:

- Douglas Keay, *Woman's Own*: So, they do not hold back ...
Margaret Thatcher: So that they do not hold back the others, but also to try to get them up to standard, but because of this experience, I really began to think that it is our job as Government to see to it that these children do get that basic education (1987).
- Michael Jones, *Sunday Times*: But you are requiring of a ...
Margaret Thatcher: But you cannot if you are a leader, you cannot run away from the difficult decisions (1990).

Another area where disparities are observed in the speech of men and women is the usage of particles that grammarians usually refer to as "meaningless," such as "Oh dear" and "Goodness" (Lakoff, 2004, p. 44). Additionally, contrary to men, women employ more "hedges" or "fillers" such as "I think", "well", "you know" or "kind of", refraining from making declarative or assertive statements (Lakoff, 2004, p.79). Thatcher as well as Meloni and Truss use these particles and hedges to convey, power, authority, certainty, and conviction; they are not void ones as in:

- Oh yes, we have been to the IMF. But unlike the last Government, we went not as a nation seeking help but as a country giving help to others - a much more fitting role for Britain. (Thatcher, 1982, quoted in Harris, 1997, p. 202).

- Well, we in the Conservative Party believe that Britain is still great (Thatcher, 1976, quoted in Harris, 1997, p. 47).
- I think you know I am not a Marxist! So, I do not think that economics determine everything (Thatcher, 1991, quoted in Harris, 1997, p. 482).
- I think we have to focus above all on the world of high finance and the great economic powers that are imposing their will on the nation-states (Meloni, 2020).
- I know that we have what it takes to tackle those challenges. Of course, it won't be easy. But we can do it. We will transform Britain into an aspiration nation (Truss, 2022).

Women tend to use empty adjectives like "divine" and "charming," which lack any sense of power and control in contrast to masculine adjectives like "great" or "terrific" (Lakoff, 2004, p. 45). Thatcher and Truss use traditional male adjectives like "terrific," "great," "destructive," and "dangerous." Thatcher (1978) states that "Envy is dangerous, destructive, divisive - and revealing." Moreover, to show her gratitude, she says: "And may I say thank you ... for getting our Conference off to a flying start with such a terrific speech" (1989). She also frequently uses the word "great." In different instances, she announces that:

- We are fighting as we have always fought - for great and good causes (Thatcher, 1975, quoted in Harris, 1997, p. 21).
- These are the two great challenges of our time - the moral and political challenge and the economic challenge. They have to be faced together and we have to master them both (Thatcher, 1975, quoted in Harris, 1997, p. 33).
- With achievements like that, who can doubt that Britain can have a great future (Thatcher, 1975, quoted in Harris, 1997, p. 34).

In her first Downing Street Address as a prime minister, Truss declares that "what makes the United Kingdom great is our fundamental belief in freedom, in enterprise, and in fair play." She also expresses her authority with adjectives such as "determined," "firm," and "strong," saying that "I am determined to get Britain moving, to get us through the tempest and put us on a stronger footing as a nation" and "I am driven in this mission by my firm belief in the British people" (Truss, 2022).

Compared to men, women use more "tag questions." A tag is less assertive than an outright statement in both usage and syntactic structure. Therefore, a tag question denotes uncertainty (Lakoff, 2004, p. 48). Thatcher, Meloni, and Truss, however, raise the following forceful and relentless questions:

- Do British workers have no deep feelings for freedom, for order, for the education of their children, for the right to work without disruption by political militants? (Thatcher, 1975, quoted in Harris, 1997, p. 19).
- What are our chances of success? It depends on what kind of people we are. What kind of people are we? We are the people that in the past made Great Britain the workshop of the world, the people who persuaded others to buy British, not by begging them to do so but because it was best (Thatcher, 1975, quoted in Harris, 1997, p. 33).
- What is the purpose of continuing this war? ... If it is to win power, then those who wish to do so must be prepared to proceed democratically

through the ballot box and not through the bullet (Thatcher, 1979, quoted in Harris, 1997, p. 104).

- We now stand before the new challenges: how to revive the economy, how to enlarge our liberties, how to restore the balance between trade unions and the community, how to further our European partnership while protecting legitimate British interests, how to simplify the welfare maze which often baffles those who most deserve help, how to regain an underlying sense of nationhood and purpose (Thatcher, 1977, quoted in Harris, 1997, p. 69).
- Why is the family an enemy?... Because it is our identity... so they attack national identity, they attack religious identity, they attack gender identity, they attack family identity (Meloni, 2022).
- Have these people ever seen a tax rise they don't like? Or an industry they don't want to control? ... My friends, does this anti-growth coalition have any idea who pays their wages? It's the people who make things in factories across our country. It's the people who get up at the crack of dawn to go to work (Truss, 2022).

In the sense that it suggests action be taken as a favor to the speaker rather than outright demanding compliance, a request can be perceived as a covert, polite order. A blatant or an overt order, on the other hand, conveys the speaker's power and authority (Lakoff, 2004, p.50). In these instances, Margaret Thatcher and Liz Truss employ overt as well as covert orders:

- We have a message. Go out, preach it, practice it, fight for it (Thatcher, 1979, quoted in Crines Heppell & Dorey, 2016, p. 200).
- It is up to us to give intellectual content and political direction to these new dissatisfactions with socialism in practice, with its material and moral failures; to convert disillusion into understanding (Thatcher, 1977, quoted in Harris, 1997, p. 49).
- We have to move this country in a new direction, to change the way we look at things, to create a wholly new attitude of mind. Can it be done? (Thatcher, 1979, quoted in Harris, 1997, p. 79).
- I ask all who have the spirit - the bold, the steadfast and the young in heart - to stand and join with me as we go forward (Thatcher, 1981, quoted in Harris, 1997, p. 135).
- We must fight for change again – challenging what is unfair and unjust today (Truss, 2020).
- I want to live in a country where hard work is rewarded ... Where women can walk home safely at night... And where our children have a better future. To deliver this, we need to get Britain moving (Truss, 2022).

The majority of men communicate primarily as a way to retain their sense of independence, authority, and prestige. This is done through highlighting one's knowledge and commanding attention through verbal acts like jokes, storytelling, or giving in-depth reporting. However, For the majority of women, talking is fundamentally a rapport-building language that they use to establish connections and negotiate relationships (Tannen, 1990, 91). Through different instances, Thatcher suppress the opposing view to the postulation that the dichotomy of "rapport-talk" and "report-talk" may be employed to express gender variances. When discussing the most recent surveys with the press, Thatcher comments “we never count our chickens before they have hatched, and we don't count No. 10 Downing Street before it is thatched” (Thatcher, 1979, as quoted in Crines

& Heppell & Dorey, 2016, p. 193). She also provides in-depth reporting with accurate figures, factual information, and statistical results. For instance:

The Soviet Union is spending 20 per cent more each year than the United States on military research and development. Twenty-five per cent more on weapons and equipment. Sixty per cent more on strategic forces. Some military experts believe that Russia has already achieved strategic superiority over America. The balance of conventional forces poses the most immediate dangers for NATO (Thatcher, 1967, as quoted in Harris, 1997, p. 40).

In contrast to the postulation that males employ rhetoric to establish authority, whereas women attempt to establish affiliation and unity, through symmetrical intimate style, Thatcher and Truss eloquently emphasize that:

- Where there is discord, may we bring harmony. Where there is error, may we bring truth. Where there is doubt, may we bring faith. And where there is despair, may we bring hope (Thatcher, 1979, as quoted in Harris, 1997, p. 93).
- On high-spending councils, Labor supports the town hall bosses. We stand up for the ratepayers. On de-nationalization, Labor defends state monopoly. We stand up for the customers. On trade union reform, Labor sides with the trade union bosses. We stand up for the members. On council house sales, Labor loves to be the Landlord. We stand up for the tenants. On taxes, Labor wants more of your money. We stand up for the taxpayers (Thatcher, 1984, as quoted in Crines & Heppell & Dorey, 2016, p. 191).
- The status quo is not an option. That is why we cannot give in to the voices of decline. We cannot give in to those who say Britain can't grow faster. We cannot give in to those who say we can't do better. We must stay the course. We are the only party with a clear plan to get Britain moving. We are the only party with the determination to deliver. Together, we can unleash the full potential of our great country. That is how we will build a new Britain for a new era (Truss, 2022).

Additionally, by invoking their own experience and demonstrating that they could relate to their people's circumstances and challenges, Thatcher and Meloni would establish a shared identity or "ordinariness" with people (Crines & Heppell & Dorey, 2016, p. 165) or what is called "rapport" talk in the form of "report" one (Tannen, 1990). In a variety of speeches, Thatcher, Meloni, and Truss address the audiences utilizing phrases such as "we are now the very model of a stable economy," "we are free to do anything we like," "we want to defend the value of the human being," "we will defend God, country and family," "we reversed the National Insurance increase," or as "our future prosperity," "our faith," "our own strength," "our duty," "our unity and determination," "our homeland," "our patriotism," "our purpose," "our task is to counter this drift," and "our share of the common burden." Thatcher also sides with the members of the "silent majority" (Dorey, 2015). For example, as she explicitly conveys:

My policies are based not on some economic theory, but on things I and millions like me were brought up with an honest day's work for an honest day's pay; live within your means; put by a nest egg for a rainy day ... (Thatcher, 1981)

The use of metaphor is essential in describing the difference between men's and women's discourse. Margaret Thatcher, Liz Truss, and Georgia Meloni used metaphors that are frequently used in the world of men, such as fighting, warfare, victory, and adventure. The following are some of Thatcher's, Truss's, and Meloni's metaphorical positions:

- Yet I face the future with optimism ... Just as success generates problems, so failure breeds the will to fight back (Thatcher, 1977, quoted in Harris, 1997, p. 54).
- The right way to attack unemployment is to produce more goods more cheaply, and then more people can afford to buy them (Thatcher, 1978, quoted in Harris, 1997, p. 84).
- All that is necessary for the triumph of evil is that good men do nothing (Thatcher, 1979, as quoted in Harris, 1997, p. 233).
- We are fighting unemployment by fighting inflation ... That is why it is not a question of choosing between the conquest of inflation and the conquest of unemployment (Thatcher, 1981, quoted in Harris, 1997, p. 140-1).
- I have reminded you where the great political adventure began and where it has led. But is this where we pitch our tents? Is this where we dig in? Absolutely not (Thatcher, 1987, quoted in Harris, 1997, p. 284).
- Our main enemy today is the globalist drift of those who view identity, in all its forms, to be an evil to be overcome (Meloni, 2020).
- We did not fight against, and defeat, communism in order to replace it with a new internationalist regime (Meloni, 2020).
- As strong as the storm may be, I know that the British people are stronger (Truss, 2022).
- We will keep an iron grip on the nation's finances (Truss, 2022).

Thatcher, Meloni, and Truss advocate for women's rights, dignity, and equality in every context, while explicitly stating that they are not feminists and that being mothers and housewives comes before being political leaders. Thatcher finds it simple to comprehend the conflict between the feminist and family lobbies—those who think a woman's place is to challenge males in business, politics, and the professions, and those who think her place is in the home. That is because she is someone who has coupled a political career with raising a family. Although Thatcher believes that the house must always be the center of one's life, she also believes that it should not be the border of one's goals (Harris, 1997, p. 395). Additionally, Thatcher (1990) declares that “I want to see more women in public life because this country will be better served if it draws fully on the rich talents of women as much as men.” In a similar vein, Meloni radically reveals that she is “a woman,” “a mother,” and a “Christian” while bearing the weight of being the first woman to lead the country (2022). Furthermore, in a contentious speech, Truss (2020) criticizes pink bus feminism and advocates diverting UK politics from current challenges of race and gender. Truss (2022) describes herself as “Destiny's Child Feminist” in an interview conducted by the BBC. She intends to convey the idea that women should be self-reliant enough to struggle for their own rights and liberties without the need for government protection. They are not always “victims.” Truss continues by saying that she has to fight for her political position, pay increase, and housing prospects while balancing raising her two daughters and pursuing her political career.

7. Conclusion: Summary and Implications

7.1. Summary

This study challenges binary thinking about language and gender. It reconsiders and refutes the idea that women's speech is radically opposed to and distinct from men's. By applying feminist linguistic methodologies, certain aspects of Thatcher's, Giorgia Meloni's, and Liz Truss's discourse have been investigated, illuminating the consistency of their sexual and political identity. Efficiency, tenacity, and decisiveness are characteristics that are typically associated with men as opposed to women. It's not always the case, though, as Thatcher, Meloni, and Truss set out to be exceptional in traits often associated with men, such as leadership, courage, firmness, and determination. They have masculine speech pattern.

7.2. Implications

The first implication of this study is that language is pragmatically employed as a means of disseminating identities and ideologies. To put it another way, discourse is a context in which participants bargain for ideologies and social standing. In discourse, speakers and writers may reflect their identities and attitudes. These attitudes may be ones of integration or solidarity. On the other hand, power relations in discourse might also be evident. As power and solidarity are paradoxically related, the illusion of solidarity may be strategically employed to seize control.

The study also implies that it is more logical to emphasize men and women's shared language usage rather than analyzing or teaching language in terms of bifurcation or discrimination. Social attitudes and issues, such as gender boundaries, roles, and expectancies have long been represented in educational curriculum. One implication of this study is that there should be regulations supporting the use of non-sexist as well as non-bifurcated language in official documents and educational materials.

As for stylistics, in literary works, it is critical to consider the implications of gendered identities and genderlect. In a narrative, for instance, readers might infer the author's gendered identities as well as social and ideological stances not just from the narrator's voice but also from the characters' exchanges with one another. This is due to the propensity of the narrative to alternate between character and narrator focalization.

In the framework of this study, another implication is the notion of interactive meaning. Semantic and pragmatic views are integral to the proper assessment and interpretation of a message. This is because texts and discourses offer indications and cues for interpretation rather than determining how they should be interpreted. This methodology contrasts markedly with the formal analysis of texts that was common until the 1970s. Formal semantics is typically connected with a constrained understanding of sentence meaning. However, there are other categories of meaning that cannot be taken into account in terms of their propositional content. Thus, context is important, as is awareness of how gendered and social identities influence interpretation.

The viewpoint of looking at gender patterns in language can also be useful in a variety of fields, including sociolinguistics, discourse analysis, and conversational analysis. All of these disciplines are connected through communication, which is the language-based interchange of concepts, knowledge, traditions, and ideologies. This highlights how linguistic and social relationships are inherently ideological.

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“一带一路”背景下对外汉语词汇教学技巧探讨
以埃及苏伊士运河大学为例——

**Skills of Teaching Chinese Vocabulary as a Foreign Language
In the light of initiative "one Belt and one Road "**
a case study of Suez Canal University as an example——

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Abstract: The initiative of "one Belt and one road "merges a lot of fields together , language teaching and cultural exchange plays an important role to develop it . Thanks to the initiative of "one Belt and one road " , China and Egypt have been undertaking inclusive cooperation in various fields, particularly in education & language. Vocabulary is the foundation of language learning, which runs through the whole process of teaching , Therefore, people in this field have been paid more and more attention in recent years by making more papers and studies in the field of vocabulary teaching. this paper introduce the functions of teaching Chinese vocabulary in the light of the "Belt and Road" initiative. Using Descriptive method to discuss the characteristics and objectives of vocabulary teaching at different levels in the process of teaching Chinese . also using discovery method to explore the various problems which faces the students ,then using analysis methods to solve those matters and provide solutions accordingly. combined with teaching practice, this paper discusses vocabulary teaching strategies, vocabulary teaching methods and techniques, in order to provide ideas and key references for local Chinese teaching in Egypt.

Key words: One Belt and One Road - Chinese as a foreign language – Semantics- Teaching methods - teaching skills.

摘要

“一带一路”融合了很多领域，推进语言教学和文化交流能起到了重要的推动作用，从而中埃两国在各个领域开展了广泛合作，尤其在教育方面和语言方面，合作的深度和广度都特别大。词汇是语言学习的基础，贯穿于对外汉语教学的整个过程，因此近年来词汇教学越来越受到大家的重视，针对汉语词汇教学的研究也变得越来越多。本文从词汇教学的目标和任务出发，介绍一下“一带一路”倡议下对外汉语词汇教学的功能作用。本人使用描写法讨论汉语教学过程中的不同等级词汇教学的特点与词汇教学的目标。立足于词汇教学技巧研究，以发现法探索学生学习汉语词汇遇到的各种问题，进而使用分析法提出解决问题的不同方法。然后结合教学实践探讨了词汇教学策略和词汇教学的方法与技巧，以此为埃及本土汉语教学提供课堂设计的思路和重点参考。

关键词: 一带一路 对外汉语 词汇学 教学法 教学技巧

本文词语介绍

本文所探讨“一代一路”背景下对外汉语词汇教学技巧，何为？“一代一路”？什么是“对外汉语教学”？“一带一路”与“对外汉语教学”有什么关系？“词汇教学”是什么？它的目的是什么？为了厘清这些术语及其与相关问题的关系，本文围绕其意义和前人研究成果进行综述。

(1) 一带一路：

什么是“一带一路”？“一带一路”原指中国古代建成的“丝绸之路”，包括陆上的丝绸之路和海上的丝绸之路。中国从古代建成“一带一路”的原因是将其作为亚洲与非洲之间的主要贸易通道，目的是将中国产品运输到其他的国家，并带回其他的国家的产品到中国。运输产品时，不同国家的人民进行交流，了解彼此的文化，互相学习彼此的语言，所以“一带一路”促生了很多海洋家、旅行家、探索家，他们沿着“丝绸之路”，发现了新的国家和文化，比如意大利游客马可·波罗¹，沿着“丝绸之路”从罗马到了中国，并撰写了《马可·波罗游记》，为当时亚欧人文交流搭建了桥梁，为跨越不同区域、不同文化、不同宗教信仰，带来文明间的交流提供了互鉴。

近年来，中国通过“一带一路”重振其与亚洲、非洲国家之间的关系，习近平主席²一直坚持“一带一路”倡议，多次在不同国际会议上指出“一带一路”倡议的重要性。2013年10月3日，中国国家主席习近平在印度尼西亚国会发表演讲时首次提出共同建设21世纪“海上丝绸之路”的倡议。³，指出中国愿意同东盟国家加强海上合作。2014年3月27日，习近平主席在联合国教科文组织总部发表演讲时强调，文明因交流而多彩，文明因互鉴而丰富。，并说：“我们应该推动不同文明相互尊重、和谐共处，让文明交流互鉴成为增进各国人民友谊的桥梁、推动人类社会进步的动力、维护世界和平的纽带”。2015年，“一带一路”建设取得实质性进展，促进了沿线各国共同发展，坚持建设“一带一路”不仅有助于促进沿线各国经济繁荣和区域经济合作，而且还能促进世界和平与发展。2018年在中国-阿拉伯国家合作论坛第八届部长级会议开幕式上，习近平主席指出：“阿拉伯国家身处“一带一路”交汇地带，是共建“一带一路”的天然合作伙伴。中方愿同阿方加强战略和行动对接。

2016年中国国家主席习近平访问埃及时，埃及总统塞西对重振“一带一路”表示欢迎，并表明为了实现共同目标、共同命运，埃及支持中国在埃及不同领域进行投资。³

笔者作为埃及人，认为“一带一路”在埃及起到了很大的作用，是中埃两个国家的合作平台，不仅促进了中埃两国经济繁荣，还对发展教育起到了很大的推动作用。通过“一带一路”倡议，汉语开始在埃及流行，埃及人逐渐了解中国伟大的文明和灿烂的文化。“一带一路”也改变中国对埃及是个沙漠国家的传统印象，让更多中国人见证了埃及也是个有城市化和现代化的发展中国家。中埃两国人民通过“一带一路”相互影响，彼此支持。

¹ “马可波罗”意大利旅行家，17岁他出国来到中国，在中国生活几十年了解中国文明、文化、风俗习惯，而在他的作品《马可波罗·游记》记录所见。

² 新华社《习近平谈“一带一路”》主要篇目介绍.2018-11-12

³ ما هو طريق الحرير الذي انضمت له مصر لربط العالم تجارياً؟. أشرف عبد الحميد. ALARABIYA.NET. 2016年1月。

“一带一路”背景下对外汉语教学的发展与词汇教学的发展

“一带一路”是融合了政治经济和教育领域的时代话语，是“丝绸之路经济带”和“海上丝绸之路”的简称，涵盖沿线 65 个国家和地区，通过“一带一路”中国与不同国家在各个方面往来日益频繁，对语言教学和文化交流起到了很大的影响作用。对外汉语教学开展以来，汉语言专业优质人才有了新的发展机遇，“一带一路”倡议开始探索对外汉语教学的创新形式时，推动汉语教学的新发展，扩大了汉语在国际上的影响力，并积极推动汉语教材、师资队伍、课程设置等方面的改革和优化。

通过“一带一路”倡议，汉语语言开始流行，学习汉语的外国人日益增多。汉语与阿拉伯语属于有不同的语系，在词汇方面拥有不同的表达习惯，还包含了自身特有的文化内涵，而在“一带一路”背景下开展汉语词汇教学，可让对外汉语教学工作更好地了解汉语的语言结构特点，进而在教学过程中减少障碍和困难。

“一带一路”背景下对外汉语教学、词汇教学的功能作用

首先，“一带一路”发挥汉语语言的载体功能，开展“一带一路”的目的是推动沿线国家的政治经济文化发展，积极构建经济合作，实现政治互信、文化包容。通过“一带一路倡议”汉语在全世界越来越流行，对外汉语教学融合“一带一路”倡议体系，提高中国和沿线国家人民沟通效率，提高汉语教学技巧，以汉语教学为基础，包括词汇教学，依托语言学与词汇学载体功能推进语言传播，提供汉语语言基础。

其次，构建对外汉语教学体系，“一带一路”沿线多为中西亚、非洲国家，各国语言属于不同的语言体系，涉及不同宗教和文化等多个层面。随着“一带一路”持续推进中非友好关系，汉语与非洲及亚洲不同语言互相影响，因此对外汉语教学和汉语国际教育通过“引进来、走出去”的战略，提高国外留学生的汉语水平，推进汉语、中华文化在亚非国家的影响力，通过语言、文化交流消除彼此隔阂。

其三，加强语言研究，对比不同语言间的差异，特别在词汇对比研究、语法对比研究等方面，积极构建国别化词汇资料库，为汉语教学的开展提供便利条件，同时实现汉语国际教育学术层面的发展。

“一带一路”倡议与（在非洲、在埃及）对外汉语教学的传播

1.韩雪¹在她的文章《“一带一路”倡议下对外汉语教学与文化传播》中指出，“一带一路”倡议的核心在于民心相通，而语言是促进民心相通的重要手段。通过对外汉语教学，能提高非洲留学生的理解能力、交往能力、沟通能力。留学生只有跨越了语言障碍，才能真正体会中国文化，对文化的真正理解还需要留学生深入中国人的实际生活。在教学中，要注重文化的渗透与传播，强化实践教学，优化教学体系，增强汉语的体验性。通过对外汉语教学培养知华、友华的非洲朋友，从而提高中国的文化软实力，促进中非关系健康发展。

¹韩雪《“一带一路”倡议下对外汉语教学与文化传播》以对非洲国家为例.吉林农业科技学报.第30卷第6期.2021年12月。

2.罗建波¹。在他写的文章《优化中国在非洲的软实力》一文指出，在“一带一路”倡议的推动下，中国与非洲贸易与交往增长，促使了非洲留学生来中国学习的热情不断提升，留学生数量持续增加。而且来中国的非洲年轻人无论是什么样的学习目的，但语言都是其必须学习的核心项目，汉语教学面临着新的机遇”。

3.周静涵²在他所写的《“一带一路”背景下对外汉语文化教学的思考》一文中对“一带一路”对汉语教学的功能作用解释道：中国开展“一带一路”致力于推动沿线国家政治经济文化发展，充分利用中国和沿线国家的双边和多边机制，借助既有的区域合作平台，积极构建中国和沿线国家的经济合作，实现政治互信、文化包容、经济互融的利益共同体”。

4.笔者认为，埃及作为非洲国家及“一带一路”沿线国家之一，受到了“一带一路”倡议的深刻影响，“一带一路”倡议促进了中国与埃及交流的快速的发展。在教育方面，“一带一路”倡议吸引了大批埃及学生学习汉语，不仅在埃及国内拥有众多的汉语学习者，而且还有不少埃及留学生选择前往中国学习不同的汉语专业，这些汉语学习者成为了中埃两国文化的传播者。“一带一路”也为埃及汉语教学发展提供不同的奖学金，不仅为学生，而且还为埃及大学教师提供汉语教师奖学金，特别是针对“汉语国际教育”这个专业，让埃及大学教师到中国亲自感触中国文化，变成中国文化大使，回到埃及之后传播中国文化。因此，本人觉得“一带一路”倡议对文化传播有很大的促进作用。

(2) 对外汉语教学

中国语言学家对对外汉语教学定义为：“对外汉语教学指针对外国人的汉语教学，也就是说对母语不是汉语的外国留学生进行汉语教学”。因此，汉语教学是语言教育的一门学科，下面将主要讨论汉语教学的任务、性质、和特点。

早在 1984 年 12 月，中国教育部部长何东昌在外国留学生工作会议的报告中指出，对外汉语教学已经发展成一门新的学科。后来各位语言学家编写关于对外汉语教学的书，对这门学科进行仔细分析，主要的成果如：

1.陈昌³来在他编写的《对外汉语教学概论》一书中对对外汉语教学进行仔细讲解，解释其性质与特征，全面地阐述了对汉汉语教学的学科基本内容。

2.刘珣⁴在其出版的《对外汉语教育学引论》一书对对外汉语教学进行仔细解释，首先介绍了对外汉语教学的学科性质，然后介绍发展溯源，而且介绍对外汉语学科基础及教学方法。

3.赵金铭¹在他编写的《对外汉语教学概论》一书中介绍了对外汉语教学的基本概念与理论，而且将其学术研究成果融入了该书中。该书主要内容包括：对外汉语教

¹ 罗建波. 优化中国在非洲的软实力[J]亚非纵横.2007.

² 周静涵.“一带一路”背景下对外汉语文化教学的思考[J].湖北开放职业学院学报(2021)第34卷第1期。

³ 陈昌《对外汉语教学概论》[M].上海：复旦大学出版社，2005年

⁴ 刘珣《对外汉语教育学引论》[M].北京：北京语言大学出版社 2000年

学的教学设计和大纲、对外汉语教学的基本理论、对外汉语教学的教学法、对外汉语教材的基本理论研究等。

笔者认为各位语言学家对“对外汉语教学”进行全面分析，他们的作品内容很丰富，对未来开展汉语教学研究的相关人员有很大的帮助。

(3) 词汇学

词汇学是语言学的一个分支，主要注重词汇基本知识、词汇来源、词汇形态结构、词汇意义、词汇搭配等领域的研究。研究汉语词汇就是研究汉语词汇的词义、词性质、词与词之间的关系、词汇的构成、词汇的来源语发展等问题。

汉语词汇学研究自 20 世纪 50 年代真正建立以来，已经取得了较为丰富的研究成果。

1. 孙常叙²编写了一本全面研究汉语词汇的书——《汉语词汇》，这本书的内容分为三个部分，论述汉语词汇的性质、结构、词义、造词法，然后探讨了现代汉语词汇的性质以其与古汉语词汇的关系和区别，梳理了汉语同音词、多义词、同义词、近义词和反义词等几种词在汉语词汇里的相对关系，并且解释了汉语方言词汇、专业词汇、同行语词汇和外来语词汇；现代汉语基本词汇以及汉语基本词汇的累积。《汉语词汇》的出版对中国国汉语词汇学的发展起到了重要的推进作用。

2. 周祖谟³在其 2006 年编写《汉语词汇讲话》一书中对汉语词汇进行了深入研究，主要聚焦现代汉语词汇在风格上的多样性、现代汉语词汇的变化和发展、汉语词汇规范化问题等主要问题。

3. 因为词汇学是汉语言学特别重要学科之一，周荐⁴在漫谈汉语词汇研究的理论和方法时针对汉语词汇研究提出了特别重要的建议：

(1) 要注重对中国传统语言学理论和方法的继承，吸收并接收西方理论、把它当成主义。

(2) 重视汉语词汇研究语料，重视语料在历史中的延续性发展。

(3) 多吸收前研究员所传教学理论，学习他们在汉语词汇研究方面的成果。

(4) 教学技巧与词汇教学技巧

教学技巧就是指教师在教学过程中使用的不同方法进行教学，也指教师在教学活动中有效促进学生学习的活动方式。以成功地、创造性地完成既定的教学任务，达到教学目标。

1 赵金铭¹《对外汉语教学概论》[M].北京：语文出版社,2004 年

2. 孙常叙《汉语词汇》[M].吉林：吉林人民出版社，1956 年。

3 周祖谟《汉语词汇讲话》[M].北京：外语教学与研究出版社，2006 年

4 周荐.漫谈汉语词汇研究的理论和方法. 鲁东大学学报(哲学社会科学版). 2021 年 7 月. 第 38 卷第 4 期

词汇教学技巧是指在词汇教学时使用的不同教学方法解释词汇，使用不同活动练习词汇，使用的技能加强记忆词汇。笔者将在本文对词汇教学技巧进行仔细解读和研究。

“一带一路”背景下对外汉语词汇教学

词汇作为一门语言中特别重要的因素，在第二语言教学中连接了语法教学和语义教学。汉语词汇由单音节、双音节组成。此外，汉语词汇中有大量文化背景的成语，为母语为非汉语的学生增加了挑战与困难。随着“一带一路”倡议的实施，词汇教学研究越来越发展，也越来越受到重视。杨惠元¹在针对强化词汇教学淡化句法教学研究时指出，在对外汉语教学中，语法教学应该“强化词汇教学，淡化语法教学”。

“一带一路”背景下对外汉语词汇教学的特点

既然“一带一路”对汉语教学有很大的影响，词汇作为汉语语言的基础也受到其影响，研究汉语词汇的国际研究人员也越来越多，有不少人员针对汉语词汇教学的特点开展了大量的研究，笔者结合前人研究成果，对不同等级的汉语词汇教学的特点归纳如下：

1. 初级阶段汉语词汇教学的特点

词汇数量受到一定程度的控制。针对初级汉语词汇学生的词汇量相对较少，汉语水平也有限，学习的词汇通常是生活中最常用的词语和其基本的意义。这一等级的汉语词汇教学主要聚焦在要求学生掌握汉语词汇的正确读音、正确写字、词汇的用法。

2. 中级阶段汉语词汇教学的特点

中级词汇的范围比初级的要广，词汇量大，有些词汇含有特定的文化内涵，学生第一次接触汉语词汇中的简单的成语，学生开始用语素了解汉语的一个词能造成很多词，一个词汇可以有两个或两个以上的意思。如：“包”这个词，在初级阶段出现在“书包”、“钱包”、“背包”之类词中，而在中级，学生会发现“包”可以有别的意思，比如“包”这个词可以出现在“打包”“包装”等词。

中级阶段的词汇教学不是与初级阶段割裂开的，在中级词汇教学中，要引入学过的初级词汇，用它们来解释词的意义、造例句等。比如，初级阶段学生学形容词“难过”，到了中级阶段可能回遇到“悲伤”、“沮丧”这些词，教师通常会解释这些词都是用来表示难过的意思。这样的词汇教学方法有利于激活学生的记忆。

3. 高级阶段汉语词汇教学的特点

到了高级阶段，学生接触的语言材料与初级、中级阶段完全不同。一般高级综合课教材有作品原貌，如报纸文章、报刊新闻，词汇的选用不受教材编写者控

¹ 杨惠元：北京语言大学汉语速成学院副院长。强化词汇教学淡化句法教学[J]. 语言教学与研究, 2003。

制，往往呈现出成语、同义词、专业术语等，词汇也会具有鲜明的附加色彩、文化内涵，或与特定的社会和时代背景密切相关。

“一带一路”背景下对外汉语词汇教学目标

在对外汉语教学中，词汇教学占据了很重要的部分，以学习词汇的发音、形式和意义为主，词汇学习之所以很重要，是因为它能帮助学生理解阅读材料和听力材料。汉语词汇教学目标指教师要有效地“教”词汇、教师应把握教材内容，把握课文中最重要的词汇与其搭配，准备教学计划才能满足不同学生学习的需要。以教会学生如何学习词汇、积累词汇、扩展词汇和正确运用词汇作为词汇教学目标，但对不同阶段有不同的教学目标。

1. 初级阶段汉语词汇教学目标：

1. 首先要培养学生学好汉语的“辅音”、“母音”、“声调”，培养学生词汇发音正确。
2. 初级阶段汉语词汇教学要求学生掌握日常生活中最常用的一些词语。
3. 培养初级阶段学生理解汉语中基本的汉字部首，因为了解部首能帮助学生理解词的意思，譬如：通过“亻”部首可以理解代表“人”的词语，如：休息的“休”，“你”、“他”。通过“氵”部首可以理解有水的词，如：“海”、“河”、“汗”，通过“艹”可以理解“草”、“花”，通过“木”可以理解“森林”、“树”等。
4. 要培养初级阶段学生清楚地了解基本词汇的固定搭配形式。
5. 培养初级阶段学生了解汉语最基本的语法点，熟习与词汇相关的语法模式使用情景。

2. 中级阶段汉语词汇教学目标

1. 积累词汇。词汇积累越多，对词汇的理解就越高。有丰富的词汇就能确切地表达意思，促进学生对文本的理解。
2. 培养学生明白褒义词用来赞扬的，贬义词用来批评贬低的词汇。
3. 培养学生理解词形和词义、词汇构成、句式特征、掌握语法形式。
4. 培养学生用正确的选词汇搭配，一般来说词汇搭配指词与词之间的习惯连用、词与词之间的语法结构习惯连用。同时也要培养学生注意不同的近义词有不同的词汇搭配。

3. 高级阶段汉语词汇教学目标：

1. 帮助留学生建立语义场意识，高效地扩大词汇量。
2. 培养高级阶段学生能通过上下文语境线索有效地猜测不知道的词义。
3. 培养高级阶段学生利用已经知道的词汇的词义扩展构词语义场。
4. 培养学生对于意思相近的词如同义词辨别细微之处的差异，并正确使用。
5. 帮助学生掌握重点词语的用法，如成语、术语、虚词、固定结构和一些特殊句法，在恰当的语境中正确使用。

“一带一路”背景下对外汉语词汇教学中存在的一些问题

以埃及苏伊士运河大学中文系为例——

在“一带一路”倡议背景下，世界对中华语言与文化的传播起到了很好的助推作用，促进了汉语教学的发展。但“一带一路”沿线国家的语言语系不同于汉语，

而词汇作为汉语语言最重要的基础之一，对母语为非汉语的学生来说，汉语词汇学习是很大的挑战，从而出现不少问题。

笔者在埃及苏伊士运河大学中文系担任汉语语言专业副教授，在工作几年之内，了解了中文系学生的汉语学习情况、记忆词汇的挑战和遇到的困难，基于在苏伊士运河大学工作环境对汉语词汇教学中存在的问题进行总结论述，对此进行了探究与分析，了解了问题的根源，找出了解决问题的办法。此外，针对性地提出了汉语词汇教学的完善策略，以供参考和借鉴。

1. 师生沟通问题

对不会汉语的初级阶段学生来说，无法与不会阿拉伯语的汉语老师进行沟通，这就带来了很大的沟通障碍。在此情况下，汉语教师如何开展词汇教学？如何使汉语词汇教学变得生动有趣？首先汉语教师需要使用情景法，让学生在真实情景中学习词汇。例如，在讲“蔬菜、水果、动物、职业”等词汇时，建议搭配使用图片和PPT进行展示。教师根据词汇的特点设计丰富多彩的课堂活动来练习词汇，保持轻松活泼的课堂氛围，强化学生的理解能力。教师要给学生一些任务操练词汇，比如造句。老师要帮助学生发现并掌握词语的使用规律和使用方法，以此激发学生的学习兴趣。

2. 跨文化交际和语言学习存在困难

王魁京 1年在《对外汉语教学与跨文化问题的多面性》一文中指出，在对外汉语教学中会遇到跨文化交际问题，体现在语音、词汇、语法等方面。随着中国提高“一带一路”倡议的不断推进，汉语越来越流行，中国的方针政策、制度法规给埃及学生的跨文化交流带来交流不便的影响。

我们需要重视跨文化交际，笔者认为汉语教师在讲解词汇语言点时，需要融入优秀的中国传统文化，积极选取优秀传统文化和新时代的好故事作为真实语料，使学生慢慢了解中国、理解中国人的风俗习惯和处事方式，同时了解埃及与中国之间的文化差异。根据学生的文化背景、学习能力和接受程度的差异，跟着孔子“因材施教”，积极引导和鼓励学生²。

3. 教师力量薄弱

埃及苏伊士运河大学中文系汉语教学起步较晚，人才培养体系不够完善，经验也不够丰富，真正满足汉语教学的专业教师人数较少。

不少汉语教师刚成为一名教师，在教学方面缺少经验，需要提高教学水平，需要加强教学研究，必须重视汉语语言理论教学，丰富语言学知识。汉语教师必须加强汉语教学经验积累和教学方法提升。随着“一带一路”倡议的推行，中国为埃及

¹ 王魁京. 1994 对外汉语教学与跨文化问题的多面性. 北京师范大学学报(社会科学版)

² 孔子《论语》

苏伊士运河大学中文系提供很多的教师奖学金，帮助汉语教师学习先进的教学理念和教学方法，加强教学指导力度，提高对外汉语教学能力。除了奖学金之外，还有一系列支持教研活动、教学技能比赛、优秀教案展示等支持奖励举措，无论是中方汉语老师还是埃及本土老师都可以参加，总之每一位老师要努力加强教学能力的提升。

4. 忽略汉语思维习惯训练

笔者发现课堂里教师一般重视解释课文词汇及语法，忽略汉语思维的培养，学生缺乏思维训练，教师没有给学生机会思考。首先，在语言学习上，应注重汉语思维的训练，使学生掌握语言知识的同时，理解汉语思维“怎么用”的表达。再者，学生在实践中学习汉语词汇知识，反复记忆加深印象，学以致用，才能使他们更加深刻地感受到中华文化的魅力所在。教师要多给学生机会思考，可以问学生课本内容相关的话题，让他们思考问题，回答问题，以此在思考中获得对所学词汇新的认识。

5. 教材问题

教材是教学中最重要的部分之一，吕必松教授¹（1993）把第二语言教学的全部教学活动概括为总体设计、教材编写、课堂教学和测试，他认为教材是联结总体设计和课堂教学的纽带。

经过半个世纪的发展，有些教材内容陈旧缺乏创新，实践性较差。随着“一带一路”倡议的不断实施，陈旧的教材不能满足新形势下外国学生的需要，因此研究员不停地改变教材。教师不必严格按照教材的顺序教学，可按照自己的看法与学生的兴趣，把某些教学单元提前，或者推迟，从而达到良好的教学效果。另一方面，教师首先要了解学生的水平，选择适合学生水平的教材。

汉语教师要注意选用适合新形势下的对外汉语教学教材。随着“一带一路”倡议的发展，开发特色创新教材与课程，不仅重视语言教学，还结合中国特色文化优势，以便学生更好学习。

6. 教学方法陈旧

以前汉语词汇教学实践中，所采用的方法较为单一，仍旧以教师为主体，只有教师讲，这种传统的讲授法打消了学生学习热情，失却了学生自主灵活，造成了较大障碍。

我们需要改进现有教学方法。虽然有些旧的教学法依旧可行可是教师也可以共用旧和新的教学法。刘道义²说：“要注意保护传统的但仍有效的方法。仅保护还不够，还需要根据新形势对其加以改革，使其与时俱进，更加符合课程改革的要求”。

¹ 《对外汉语教学研究》吕必松. 北京语言学院出版社 1993。

² 刘道义. 论如何在课程改革中创造性地使用传统的教学法. 2022.

随着“一带一路”倡议与对外汉语教学的发展，教师在沿用旧教学方法的同时，积极吸收创新教学方法，包括新的比赛活动、改变课堂环境、鼓励学生有主动性思考与讲话。

7. 词汇记忆问题

我们都知道，词汇学习与掌握势必要经过由短时记忆到长期记忆的过程，到了中级阶段，词汇量进一步增加，学习挑战很大，很容易造成学生的畏难心理。为了解决这个问题需要一些方法：

1. 教师要实现学生词汇记忆的强化，要实行听写式复现，活动式复现，以此帮助学生激发记忆活性。首先教师结合本课程授学要求，设计一定数量的生词，对词汇进行听写、创建小组抢答、你演我猜等活动形式，激发学生记忆活性。
2. 给学生激发记忆性的任务，如要求学生利用所学的词汇编写作文或者对话情节，并展开小组表演活动，这样能够收获不俗效果。
3. 利用新媒体。21世纪是科技创新的时代，给教师机会应用多媒体技术打造新型课堂，集合图片、动画、视频、手机软件、电子书、电子辞典等多种信息表达形态，构成丰富的内容，以此提升词汇教学的趣味，帮助学生更好地理解词汇在不同语境中的运用，使之记忆力增强。
4. “词不离句，句不离文”，教师要培养学生多阅读、多使用词汇造句，激发脑子里理解词义与猜测词意，提高对词的用法、习惯搭配词汇正确、提高句法功能的认知度，也要开口说话模仿、用手写、听录音练习听力、看文章，多用感官刺激听觉、视觉、触觉，以此来形成感觉记忆。心理语言学和神经语言学的研究表明，词汇是按照某种语义关系储存在大脑中的。所以建立语义关系不仅能够促进词汇记忆，也能促进词汇的提取。

8. 词汇学习脱离语境

我们会发现学生学习的时候，直接背上课文的词汇和短语，认为知道其意思就好，不造句使用、脱离语境，这样记确实很容易忘记。如，非.....不可，如果只了解意思是必须做的，过两天就会忘了，需要把这个短语运用在句子当中，比如：“今天有很重要的会议，我非去不可”，意思就是：不能不去，我必须去。教师需要促进学生注意语境、注意使用新词。

9. 缺乏词汇学习的主动性。

许多学生过分依赖汉语教师，只学习每一天老师布置的十五到二十个单词，很少主动地自己学习新词，很少通过课外读物来扩大自己的词汇量，缺乏自我学习的主动性。

为了解决这个问题，教师在课堂里开展一些活动，如演讲比赛，选取对学生有兴趣的话题，使各位学生积极参与，鼓励学生用汉语思考发言，加强其课堂参与的主动性与合作互动性。教师也可以留下写作文的作业，让学生主动寻找与题目或主题相关的词汇，在课堂外广泛阅读相关文章，或观视频，从而提高阅读能力和写作能力，以此积累更多词汇。

“一带一路”背景下对外汉语词汇教学策略：

为了促进“一带一路”倡议的发展，不断提高学生学习汉语质量和教学水平，教师在教学过程中要教学生怎么学习汉语词汇，怎么实现“识词、辨词、选词、用词”能力。赵金铭指出¹，“对外汉语词汇教学的基本任务是培养外国学生识词、辨词、选词、用词的能力。”。周小兵²也曾介绍过对高级阶段留学生做的调查，绝大多数学生认为生词仍是阅读最大的障碍。为了实现这些能力，要掌握有关汉语词汇的规律性知识，整理词汇的收纳箱，主动地有效地运用。

笔者分析苏伊士运河大学中文系学生在词汇学习的问题以后，依托这些问题搜集整理出来的有关于初级、中级、高级阶段汉语词汇教学策略，指导哪些没有教学经验的汉语老师帮助学生怎么学习词汇，掌握词汇策略，提高词汇记忆效果。

初级阶段词汇教学的策略

1.重视拼音教学

在初级阶段，为了学习词汇，必须首先了解汉语拼音的辅音、母音、声调，教师应该把每一个词语写在黑板上，并加上拼音，让学生多发言多练习，进而正确地读好每一个词。

2.用部首、语素扩充词汇量

学习拼音以后第二步是了解部首，汉字是由部首构成的，因为部首在一定程度上代表了汉字的意义，了解部首就会容易理解一个字的内涵。然后是了解语素，语素是构词的最小单位，汉语词汇中也存在大量可以根据构词语素来讲解的词语，学会了语素的基本词义，学生就会根据语素义去理解记忆更多新词，比如：学习“国”时，学生就可以扩展出“中国”、“泰国”、“法国”、“德国”等等。学习“车”的时，我们可以扩展出“汽车”、“自行车”、“出租车”等等。学生能够根据语素快速地扩大词汇量，进而提高运用汉语的水平。

3.使用词汇的分类讲解

词汇的分类就是属于同样的种类，是词与同样的词之间有关系，如同义关系的“爸爸”、“妈妈”、“哥哥”、“弟弟”、“姐姐”、“妹妹”等都是表示家人的词。反义关系联想到“大”“小”、“美”“丑”、“男”“女”等表征对立关系的词。“东”，“南”，“西”“北”都表示方向的词。

¹ 赵金铭. 对外汉语教学概论. 北京商务印书馆, 2005年。

² 周小兵: 标记性与语言点学习难度. 暨南大学华文学院学报 2006年第4期。

这种方法帮助学生快速地记忆大量的词汇，因为了解一个词会让学生记住更多的词汇。

4. 调动学生的感官

要求外国学生记住汉语词汇的确很难，所以学生为了记住词汇要一边读一边写，让眼、耳、手、脑都调动起来。这种词汇学习策略对初级学习者特别重要，因为能让学生的记忆效率提高很多。

5. 多种教学方法灵活展示词汇

老师对初级学习者，根据课文词汇的特点和意义，选择简单易懂的方法进行展示，帮助学习者理解词意，特别对抽象词汇，教师可以使用情景法，用电脑用图片进行展示；也可以采用实物或动作演示等方式来进行词汇教学。

中级阶段词汇教学的策略

1. 掌握词汇构成方式

中级阶段词汇教学的目标之一是增加词汇量。在教学过程中，教师要让学生掌握汉语词汇的生成规律、构词方式，用语素法培养学生学习构词能力，了解语素之间的关系，了解复合词所具有的可分解性，重视运用构词法熟悉前缀、后缀构成的派生词，理解转义词和词汇搭配，这样能迅速扩大词汇量、也加深对汉语语法结构的理解，提高学习者们的思维能力，大大提高正确运用词汇的能力，提高词汇的学习效率，以达到快速扩大词汇量的目的。

2. 了解褒义词与贬义词

在中级阶段，词汇量开始增加，学生需要了解的词汇越来越多，而且学生在学习词汇的过程中，应该开始了解词是褒义词还是贬义词，教师要仔细地讲词的使用方法，要解释褒义词表示赞扬的，贬义词表示批评贬低的，课堂练习时要培养学生在说话时和写作时选择正确的词汇。

4 激发学生的记忆力

遗忘词汇是学生学习词汇时最大的问题之一，教师应该激发学生记忆，提升学生词汇库。通过多种多样的教学活动，培养学生学习词汇和运用词汇的兴趣，譬如，举行一些词汇记忆的竞赛，召开演讲比赛、看图片描写比赛，并给获胜者奖励，这样会调动学生记忆词汇的积极性。

5. 注重语境

在中级汉语词汇学习中，不少学生只背生词表，试图直接记住词的意思，认为词汇学习就是掌握课文的词汇表，可是这个想法并不完全正确，在学习词汇时必须看词汇在例句中怎么使用，这种认知必须在各种不同语境中运用才能取得。汉语教师必须给学生更多的语言运用机会，通过布置课堂发言、课后写作等方式来训练学生的词汇练习。这就是学生熟练掌握词汇的关键所在。

6.多练习

练习词汇就是为了让学生懂得如何去使用，教师在课堂里要使用不同的教学法强化练习，培养学生的语句能力，老师也可以从练习中得到反馈，了解学生对词汇的掌握程度。词汇训练能增加词汇记忆，这样学生也不容易忘记。

3.高级阶段词汇教学的策略

1.利用语素扩充词汇量

既然语素是词汇最重要的部分，它能够帮助学习者更容易猜测词的意思，理解词义，从而扩大词汇量。在高级阶段词汇教学中，语素教学有助于调动学习者的联想能力。教师要教充分利用语素构词的特点，引导学生理解词中语素的意义，分析构词方式，然后与其他语素相关联，进行词汇扩充或词义猜测练习。

2.进行同义词、近义词辨析

同义词、近义词辨析是词汇教学的重点和难点，通过初级、中级，高级阶段的学生已有一定量的词汇积累，已经有词汇库。教学实践研究表明，词汇是许多二语学习者的主要障碍，对母语为非汉语的埃及学习者来说，在不同的情况下选择正确的用词很难，要从一组意义接近、大同微殊的同义、近义词中选出最恰当的用词几乎是太不容易的事。近义词由于其义近、难辨是学生汉语水平提高的最大的阻碍。所以教师在教学过程中要仔细解释几个近义词的出别，指导学生怎么使用。

3.利用多义词义项之间的关联扩充词汇量

在高级词汇教学中，词汇义项数量的扩充是扩大词汇量的一个方面，这时就要充分利用义项之间的关联，在教学过程中引导学生关注义项之间的关系，在已经学过的义项基础上，通过揭示关联性或相似性联系扩展到新的义项。多义词的关系有：同义关系、反义关系、上下关系，通过词汇间的联想记忆，帮助学生快速地记忆大量的词汇。

4.培养学生的主动性

在高级阶段，很多学生虽然有大量的词汇量，但是缺乏学习主动性，教学应该调动学生语言运用的主动性，应该使用各种教学法调动学生应用词汇的能力。学生在掌握一定的词汇量后，教师就要鼓励其积极运用所掌握的这些词汇，培养学生在口头上能广泛表达自己的思维，并运用词汇量进行书面写作。

一带一路背景下对外汉语词汇教学方法与技巧

汉语教师要利用各种各样的教学法与教学技巧，不断变换教学形式，实现学生灵活式学习和变通式交际，所以汉语教师要用不同教学方法进行教学，也要注意对不同汉语等级的学生采用不同的教学方法。

1.初级阶段最常用的词汇教学方法

1. 情景法包括图片法、视频法

汉语教师在初级阶段讲一些具体名词和动词时可以直接用图片教学，如讲“蔬菜、水果、动物、运动”等，就可以用图片及 PPT 展示对词汇进行诠释。讲抽象词汇呢？可以创设问题情景来讲词汇比如，在讲解“高兴”时，创设贴近学生生活的问题情景：通过考试你会有什么样的感觉？当然高兴，创设情景方法可以激发学生的脑子，产生较高的效能。

2.翻译法：

在初级阶段，教师可以用学生的母语对词汇进行翻译以便学生理解、记住词汇。

3.语法法

词汇教学离不开语法教学，如教师需要给学生解释词性，让学生了解一个词是名词、代词、动词、形容词、副词等等，以便学生容易使用。学生了解词性和 SVO 构成的语法点，就会容易知道怎么造句，把代词当作 (S) 放在前面，(V) 动词放在 (S) 后面，把一些名词当作宾语 (O) 放在句末。

4.听说法与直接法：

对初级汉语学习者教师应该多用听说法，通过反复阅读词汇与简单句形结构培养学生词汇发音正确，也有利于提高学生的听说能力。用直接法就是把需要提供的词汇内容直接解释给学生，通过反复模仿教师的发音、句型直接了解到课的内容。

5.练习法

根据词汇的特点教师要设计丰富多彩的活动来练习词汇，练习法要包括背记、默写、听写、用词造句及演讲比赛等。最终，要让学生在轻松活泼的课堂氛围中学习词汇，并通过任务和作业强化学生获取的词汇信息。

2.中级阶段最常用的词汇教学方法

1.听说法：

在中级阶段要继续使用听说法，培养学生使用词汇，练习口语，进而提高听说能力。

2.阅读法：

中级阶段学生已有一定的词汇基础，为了帮助学生不忘记已经学过的词汇，需要增加词汇量进行扩展阅读。阅读法可以增强学生的学习积极性和信心，让学生使用词汇掌握流利地进行口语表达能力。进而增强学生的汉语学习语感，较少用词错误。

3.词义解释法：

解释词义是非常重要的，而对于抽象名词而言，埃及学生对其理解是有一定难度的。理解词义的最好的方法就是根据词汇的特点来进行释义，比如可以对“自由”解释为：没有外在障碍而能够按照自己的意志进行的行为。汉语教师除了可以通过对词的概念进行必要的解释外，还可以通过利用学生已学过的词汇来解释新的词，比如解释“沮丧”为：表示难过的意思。进而让学生在学学习新词汇的同时，复习巩固已学词汇。

4.列举归类法

在词汇教学中，要培养学生运用列举归类法来连接旧知识与新知识。对学习的知识要进行归纳总结，指导学生回顾、总结、做好词汇的分类，逐渐扩大学生的词汇量。

4. 语境教学法

“词不离句,句不离文”¹, 教师在教学过程中要用语境教学法, 把词汇融合到句子和语篇中, 在语境中实现其交际功能。汉语多义词很丰富, 许多词在不同的语境中表达不同的含义, 所以要培养学生根据语境判断词义, 通过上下文猜测词义, 在语境中理解词义与它的用法, 识记词汇, 达到记忆显得十分重要。

5. 讨论法

在教师的指导下, 汉语中级学生以小组为单位, 使用本课新学的词汇来讨论某个话题。讨论法除了能帮助学生培养口语能力, 还可以有效地提高词汇记忆能力和运用能力。

3. 高级阶段最常用的词汇教学方法

1. 语境教学法

高级词汇需要学生掌握的基础词汇量会很大, 教师为了培养学生根据语境猜测正确词义, 需要在教学中把词汇融入到语篇中, 让学生了解在不同的情况下有些词汇有着不同的意义, 这种教学法有利于激发学生的思考能力, 也能帮助学生激发记忆力。

2. 交际法

在社会语境中运用语言词汇量进行交际能力, 有利于培养用词汇练习口语表达的能力, 并有助于发展学生智力和激发记忆力。

3. 发现法:

教师在高级教学过程中可以提供一些问题情境, 激发学生去发现问题, 让学生使用词汇去思考、表达和讨论一些话题, 而不是把学习的内容直接提供给学生, 二是给学生机会用汉语词汇去思考、发现和解答问题。

4. 比较法:

在高级阶段学生需要学的词汇量比较大, 经常出现近义词和同义词, 在这种情况下可以使用比较法, 使用比较法的目的是联想记忆, 比较同义词、近义词、反义词、多义词等, 以了解其区别。

近义词比较: 汉语的近义词很丰富。汉语教师在解释清楚词义后, 要对两个词的区别进行讲解, 防止学生在使用时出现错误。

反义词对比: 与上一种方法相似, 不过选用的是学习过的反义词。但要注意, 这种方法只限于两个意义完全相反的词进行对比。

5. 任务教学法:

汉语教师对高级阶段学生可以使用任务教学法创设出具体的可操作的一种任务, 学生通过学过的生词表来完成任务, 比如使用某种词表来写作文或者读一篇文章写读后感,

下面笔者将通过几年经验为大家呈现对外汉语课堂词汇教学的一些重点。希望这些重点能为从事对外汉语教学的埃及老师们提供一些课堂设计的思路。

¹ 斯霞: 教育专家, 她主张通过生动活泼的授课, 提高教学效果, 来增加教学内容和识字量, 主张教师必须要有丰富的知识, 尽可能的去满足学生多方面需要, 上世纪五十年代, 她创造出“字不离词、词不离句, 句不离文”的语文随课文分散识字教学法, 高效率地提高了识字教学的质量。

1. 学习和积累词汇是一个长期、艰苦的过程，不能中断，要不然会遗忘。教师要培养学生有强烈的动机和毅力，不停地勤奋努力。教师也要有耐心，要发现学生的进步，及时给予鼓励，增强其信心。
2. 做计划。汉语教师要一直鼓励学生制订学习计划。背生词、定期做练习、阅读、听录音、朗读等等，养成良好高效的学习习惯。
3. 孔子说：“学而时习之，不亦说乎”²所以作为教师，要培养学生经常复习以前学习过的知识，因为经常复习有利于奠定获取的信息。
4. 教师要对每一课的单词进行“诊断”，对教材的单词进行分析、研究，确定一些重要词汇，作为单元词汇教学的核心词汇，在这些词汇上下功夫，重难点突破，把这些词汇作为教学的重点。
5. 鼓励学生用词汇学习的两种办法：第一直接学习词汇，也就是说在教师的指导下学生有意识地进行学习词汇，是通过某本教学材料课文的词使学生读、抄写、背词、造句、掌握词的意义、使用法、而且语用环境进行学习。第二，伴随性词汇学习，就是通过老师建议学生放学回家后读一篇文章、一首诗、听歌曲、看电影或电视节目，伴随性地掌握到一些词语的新知识。
6. 教师要设置合适语境。语境对词汇的发展和记忆有促进作用，学了词语就要运用，可以设计情境，组词成句，组句成一篇文章，在口语会话和书面表达中对词汇加以运用，才能实现其功能与真正的含义，这样使学生掌握词汇的深层次知识。
7. 练习法特别重要，最重要是造句和完成句子的形式。这两种操练形式有利于加强记忆力，减少无效思考时间，提高课堂效率，提高对词汇理解的深度和精细度，使学生不断使用词汇的条件，所以教师要培养学生在课后继续练习。
8. 笔者认为汉语教师按照学生的水平提供 HSK 词汇，以 HSK 大纲为基础，对 HSK1—HSK6 级词汇进行系统化梳理，结合课程需要，逐步融入课堂教学内容，从而 HSK 词汇可以作为学习词汇的基础，扩大学生的词汇量。
9. 思维导图³。笔者认为汉语教师要用思维导图方式来帮助学生快速积累大量词汇。思维导图是以一个语素或者一个词汇作为中心，向外延伸出分支，思维导图有直观性、丰富性、可以有效的调动学生学习的积极性，帮助学生理解词汇的含义及构词能力，进而加深学生对词汇的记忆和复述。
10. 汉语教师在教学过程中要使用现代技术。现代技术不断推动教学变革，由于新冠肺炎病毒的影响，催生了线上上课的各种网站和软件，所以汉语教师要随着条件和环境的变化而改变使用各种新兴教学工具，充分借助纸质或电子词典、词汇手册、阅读器、点读笔、语料库、学习网站等来开展教学。

结语

随着“一带一路”倡议的实施，中国与“一带一路”沿线国家在教育等各方面有了更加紧密的合作，并大大提升了对完汉语的教育质量。本文探讨“一带一路”倡

¹ 孔子：中国古代春秋时期思想家与教育家，儒家学派的主张。

² 《论语》记录孔子的言行，集中体现了孔子的政治、审美、道德伦理和功利等价值思想。

³ 思维导图 MIND MAP:是“描绘大脑的地图”，表达发散性思维的有效图形思维工具。

议下埃及苏伊士运河大学汉语词汇教学。以描写法与分析法展示词汇教学问题，增强了词汇学习的探究性、互动性、趣味性和自主性，以此实现汉语词汇教学目标。

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Ambiguity in Literary Translation: A Semantic Approach of “Ibn Arabi's Small Death” by Mohamed Hasan Alwan

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Abstract: The study focuses on semantic ambiguity in translating “Mawt Sa8er” موت صغير by Mohamed Hasan Alwan (2016) translated by William M. Hutchins (2022) into ‘Ibn Arabi's Small Death’. The study adopts connotation and denotation as the theoretical framework for the analysis using Newmark’s (1988) division of ambiguity in translation into seven types: grammatical, lexical, pragmatic, cultural, idiolectal, referential, and metaphorical. The study attempts to utilize the challenges of ambiguity faced by the translator and to what extent he/she manages to overcome them. This study looks into ambiguity by defining its sources and types, and translation decision-making patterns as well as trying to answer the following research questions: How the translator overcomes the challenges of language ambiguity in the source text? To what extent he/she manages to deliver the cultural context of the ST to the target audience? The study points out the ambiguity intended by the author and how the translator deals with it to convey the same stylistic effect.

Keywords: Ambiguity, literary translation, semantic ambiguity, lexical ambiguity

1. Introduction

Since Ambiguity is inherent in human language, it is often described as a problem, a ‘disease of language’ (Graham, 2001). Translators face the challenge of ambiguity and its resolution in their daily work and have to decide how to tackle the problem of synchronized existence of various distinct senses or different possible interpretations when rendering the meaning in the process of intralingual and interlingual translation which is a complex decision-making process. They are two principal methods of describing the meanings of words. The connotation of a word or term adds elements of emotion, attitude, or color. The meaning or use of denotation and connotation depends partially on the field of study (Rao, 2017). The study tries to define ambiguity, especially in translation about connotation and denotation in a translated historical fiction “Ibn Arabi's Small Death” (Hutchins, 2022) that chronicles the life of the great Sufi master and philosopher Ibn Arabi. Known in the West as ‘Rumi’s teacher’, he was a poet and mystic who proclaimed that love was his religion. Born in twelfth-century Spain during the Golden Age of Islam, Ibn Arabi traveled thousands of miles from Andalusia to distant Azerbaijan, passing through Morocco, Egypt, the Hijaz, Syria, Iraq, and Turkey on a journey of discovery both physical and spiritual. Witness to the wonders and cruelties of his age and being exposed to the political rule of four empires, Ibn Arabi wrote masterworks on mysticism that profoundly influenced the world. Alwan’s fictionalized first-person narrative, written from the perspective of Ibn Arabi himself, breathes vivid life into a celebrated and polarizing figure.

2. Review of Literature

Any speaker of any language has a different range of language varieties; Gumperz (1964) uses the term 'linguistic repertoire' to describe the range of styles that individuals need to fulfill their communicative needs most appropriately. The speaker's ability to

choose the appropriate variety for any particular purpose is part of his or her communicative competence; the choice is not random but is determined by aspects of the social organization of the community and the social situation where the discourse takes place. In this case, the bilingual or the multilingual is not strikingly different from the monolingual; it is simply that a speaker has to choose not only between different varieties of the same language but also between two or more different languages.

Furthermore, David (2006) argues that language choice is triggered by factors such as social status, gender, educational attainment, ethnicity, age, occupation, rural and urban origin, speakers, topic, place, media, and formality of the situation. These findings are supported by Fasold (1990). Coulmas (1997) explains that people make linguistic choices for various purposes. Individuals and groups choose words, registers, styles, and languages to suit their various needs concerning the communication of ideas, the association with and separation from others, and the establishment or defense of dominance. People are endowed with the ability to adjust their linguistic repertoires to ever-new circumstances and construct their languages for certain purposes. Ferrer and Sankoff (2004) find that the language preference of a speaker is influenced by dominant languages.

2.1 Introduction to Ambiguity in Literary Translation

Multiple factors in language contribute to ambiguity. Personal experience and knowledge of the culture that surrounds a language assist in removing language uncertainty. The context of a word can be used to interpret it rather than its literal meaning. Similarly, depending on where it appears in a sentence, the same word can have different meanings and ambiguity leads to misunderstanding at this point. As a result, there should be enough contextual information and cultural context to avoid ambiguities. There are numerous and perplexing vocabularies associated with lexical sense variations. These variations constitute the essence of ambiguity resulting in a critical semantic property (Brinton, 2000).

According to Newmark (1981), any lexical item can be viewed in three ways: dictionary items—sense types (e.g. technical, figurative, colloquial); the four degrees of frequency (e.g. primary, collocational); and the core and peripheral meanings. These meanings may cause problems in translation if a translator is unable to distinguish between them. In translation, there are numerous manifestations of lexical and semantic issues. These issues are likely to result in a syntactic and semantic loss in translation between any two linguistic codes in general, and specifically between Arabic and English, which leads to different kinds of ambiguity.

The structure of the Arabic language makes it difficult to understand. However, it is not only sentence structure that frequently leads to ambiguity; it can also arise from multiple interpretations of a word or its metaphorical meanings. The translator's thorough study and practice may enable him to disambiguate certain aspects of linguistic ambiguity. Furthermore, syntactic ambiguity is a major issue for large-scale grammar that encompasses the representative aspects of natural language. The word order in an Arabic sentence causes several problems at all levels of analysis. When a sentence deviates from its normal order, the meaning cannot be made clear unless the sentence is disambiguated by the act of interpreting an author's intended use of a word that has multiple meanings or spellings (Rahmouna, 2008). Othman et al. (2003) discuss various reasons why Arabic is considered a difficult task "Understanding Arabic sentences is a difficult task. The difficulty comes from different sources: the length of the sentence and the complex Arabic syntax".

The translation is not only a means of collecting tasks that involves moving from one language to a different one, but it is a transfer that suggests a translator leaves

something of himself/herself behind. The translator makes the border crossing with a new dimension of themselves on the opposite side. Therefore, because the translator is in the process of making a text, that text itself creates him with all its concepts and beliefs. The concepts of ethics, identity, and beliefs remain unchanged once they are associated with interpreting as a profession. Nevertheless, they need different connotations once they are related to a nation, a bunch, or a community. The field of translation studies is considered an academic interdisciplinary that thoroughly studies the theory, description, and application of translation, interpreting, and localization. It involves and borrows much from other fields which are somehow a supporter of this discipline. In other words, we cannot analyze any translated text without using another linguistics discipline, and in the study semantics approach is the main focus.

Nida (1964) states “the nature of the message determines the types of 13 translations”. According to this theory, a translation depends on the degree of focus on the form or the content. Thus, it defines two types of translation; a formal equivalence translation in which the form and content of the original message are to be preserved, and a dynamic equivalence translation which focuses on creating an equivalence effect in TL text.

Larson (1984), divides translation methods into two major categories of translation. The first category is a form-based or literal translation while the second category is a meaning-based or idiomatic translation. He further explains these two methods to the faithful translation follow the structure of the SL, and the idiomatic translation tries to convey the meaning intended by the SL writer in a natural form of the receptor language. Newmark (1988) in Suparman (2003) explains that “the translators of literary works mainly have difficulties in translating the linguistic aspects, socio-cultural aspects, and moral aspects implicitly stated in the literary works (e.g. novels)”. In translating literary work, a translator usually has problems or difficulties in the process of translating from the ST workstyles and methods of translation to TT.

2.2 Semantics' Role in Literary Translation

Semantics is the study of the meaning of language, including the logical aspects of meaning (formal semantics), the meanings of words and their relationships (lexical semantics), and the cognitive structure of word meaning (conceptual semantics). In linguistics, semantics is the subfield that studies meaning. Semantics can deal with meaning at the level of words, phrases, sentences, or larger units of speech. One of the important questions uniting different approaches to linguistic semantics is the relationship between form and meaning (Kroeger, 2019; Betti, Igaab and Al-Ghizzi, 2018).

Semantics is concerned with deconstructing words, signals, and sentence structures. It affects our reading comprehension as well as our understanding of other people's words in everyday conversation. Semantics play an important role in our everyday communication, understanding, and learning languages without us even realizing it (Betti and Mahdi, 2021; Palmer, 1997). Semantic studies deal with denotation and connotation which is considered relevant in the study of ambiguity in literary translation. Denotation is when you mean what you say literally while connotation is generated when it means something else, something that may be hidden at first. In other words, denotation characterizes the main aspect of a word's meaning, which is agreed on by everyone while Connotation differs according to the experience of the individual and the emotional associations that the word arouses nevertheless since people have common experiences, some words have shared connotations. Since the meaning of words is not independent but associated by the relation with other words in context; denotation and connotation in semantics are important concepts in analyzing any translated text (Lyons,

1977). Newmark(1988) explains how connotation comments on society and reveals the factors related to society.

The basic standard of translation is that the translated textual content needs to precisely reflect the means of the authentic text. Nothing needs to be arbitrarily added or removed, even though from time to time a section of the meaning can be transposed, that is, translated with a distinctive order (Duff, 2003). Translators frequently hotel to bilingual dictionaries seeing translational equivalents all through the manner of translating texts throughout languages. This is unsatisfactory in the case of English and Arabic as these bilingual dictionaries are used as a substitute and useless in managing semantic fields in a massive variety of cases that lack accuracy. Looking intently at a wide variety of semantic fields in English and Arabic, we shall be amazed at the degree of confusion with which English-Arabic dictionaries take care of the similarities and variations between the English and Arabic field members.

It is a working speculation in linguistics and translation that each language has its semantic shape simply as it has its personal phonological and grammatical structure to the extent that the meanings of the language can't be brought into a one-to-one correspondence with each other. The two languages are semantically non-isomorphic, that is, they have exceptional semantic constructions. The degree of semantic isomorphism between two languages is commonly taken to be established upon the quantity of overlap of the cultures of the two societies.

2.3 Sufism Concept and Believe

Some Sufism concepts can be ambiguous or changeable which may cause difficulties in interpreting them during the translation process. For example, one of the key concepts of Sufism is the concept of "Nafs" which can be translated as either the self, psyche, ego, or soul. In English, there is a similar degree of ambiguity surrounding the term "self," with some people using it to refer to the psychological concept of the self (the definition of which varies), while others simply refer to the conscious "I" or ego. Let me clarify that I use the term "self" in the psychological sense that includes the unconscious mind (Cotterill, 2012). Sufism is a mystical Islamic belief and practice in which Muslims seek to find the truth of divine love and knowledge through the direct personal experience of God. It consists of a variety of mystical paths that are designed to ascertain the nature of humanity and God and to facilitate the experience of the presence of divine love and wisdom in the world.

Schimmel (2022) states that Islamic mysticism is called *taṣawwuf* (literally “to dress in the wool”) in Arabic, but it has been called Sufism in Western languages since the early 19th century. An abstract word, Sufism derives from the Arabic term for a mystic, *ṣūfī*, which is in turn derived from *ṣūf*, “wool,” plausibly a reference to the woolen garment of early Islamic ascetics. The Sufis are also generally known as “the poor,” *fuqarā'*, plural of the Arabic *faqīr*, in Persian *darvīsh*, whence the English words *fakir* and *dervish*. Ibn Arabi is recognized among practitioners of Sufism by the name *al-Shaykh al-Akbar* ("the Greatest Shaykh"; from here the Akbariyya or Akbarian school derives its name), Muḥyiddin ibn Arabi, and was considered a saint. He is also known as *Shaikh-e-Akbar Mohi-ud-Din Ibn-e-Arabi* throughout the Middle East. In medieval Europe, he was known as Doctor Maximus (Greatest Teacher). (Ullah, 2022)

3.1 Research Questions

How does the translator overcome language ambiguity from the source text to the target language?

To what extent he manages to deliver the cultural context of the ST to the TT?

3.2 Methodology

One of the problems that may occur in translation is the improper selection of what seem to be equivalents of the ST words when they may not be true equivalents. This may result from ambiguities in the ST lexemes or syntax. In this regard, Newmark (1988) defines ambiguity as a word or a syntactic structure that has more than one meaning, even in its context. 'In its context' here indicates that a word cannot be considered ambiguous without referring to the context, as each word may be ambiguous out of context. Newmark divides ambiguity into seven types: grammatical, lexical, pragmatic, cultural, idiolectal, referential, and metaphorical.

- **Grammatical ambiguity:** This may occur when sentences have been poorly written, or due to the effect of the use of grammatical and functional words. Prepositions, phrasal verbs, and pronouns can also cause ambiguity.
- **Lexical ambiguity:** This is more common and more difficult to resolve than grammatical ambiguity. Many words have more than one sense (i.e. polysemous) or have literal and metaphorical meanings. Homonymy is also one of the causes of lexical ambiguity.
- **Pragmatic ambiguity:** This arises when the tone or emphasis in an SL sentence is not clear.
- **Cultural ambiguity:** This arises if 'the function or the substance of a cultural feature changes at a point of time and the term remains whilst the period background is not clear in the SL text' (Newmark, 1988). In addition, certain concepts are 'near-internationalisms'; these concepts, however, may have different uses in different languages. For example, the word 'king' in Saudi Arabia does not have the same sense as that of a 'king' in the United Kingdom.
- **Idiolectal ambiguity:** This arises from people perceiving words differently from one another.
- **Referential ambiguity:** All types of ambiguity can be referential; however, Newmark states that he means the ambiguous use of proper names in SL text.
- **Metaphorical ambiguity:** Most sentences can have metaphorical meaning and literal meanings. However, typically only one specific meaning is intended. For example, 'kick the bucket' can refer to the literal meaning of the expression, or to its metaphorical meaning, which is 'to die'.

All these types of ambiguities can be referred to as linguistic ambiguity. Linguistic ambiguity in translation can arise from ambiguity in the ST. If a translator fails to identify and resolve such ambiguity, or due to a lack of full understanding of the ST and the context of its situation, a translator may create an ambiguous translation. Among the various linguistic ambiguities mentioned by Newmark, lexical ambiguity is the most problematic. Lexical ambiguity can be divided into two main categories; one holds that words have lexical ambiguity before their semantic occurrence in a text; the other considers that lexical ambiguity is context-dependent, which means that it occurs due to the effect of the text (Simpson, 1981). Lexical ambiguity can result from either homonymy or polysemy (Newmark, 1988). Examples of problems in translating polysemous and homonymous words are discussed in the following sections.

4. Analysis

This chapter analyses parts of the novel that highlight different types of ambiguity to determine the most prominent type. The analysis is conducted on the novel and the translated book and some examples are selected for this paper.

4.1 Data Description

4.1.1 The Author

Mohammed Hasan Alwan is a Saudi Arabian novelist, born in Riyadh, Saudi Arabia in 1979. He graduated with a doctorate in International Marketing from the

University of Carleton, Canada. Alwan has published five novels to date. Mohammad Hassan Alwan's novel, *A Small Death*, won the 2017 International Prize for Arabic Fiction (IPAF) on April 25 at the Abu Dhabi International Book Fair.

4.1.2 The Translator

William Maynard Hutchins (born October 11, 1944) is an American academic, author, and translator of contemporary Arabic literature. He was formerly a professor in the Department of Philosophy and Religion at Appalachian State University in Boone, North Carolina. As a translator, Hutchins's best-known work is his translation of the Cairo Trilogy by Egyptian Nobel Prize-winner Naguib Mahfouz. This trio of novels is widely regarded as one of the finest works of fiction in Arabic literature. In 2005–2006, Hutchins received a US National Endowment for the Arts grant in literary translation.

4.1.3 Background of the Novel

Ibn Arabi Small Death is one of the important masterpieces of historical fiction that follows the life of the great Sufi master and philosopher Ibn Arabi. He was a poet and mystic who declared that love was his religion. He was known in the West as "Rumi's teacher." Ibn Arabi, who was born in twelfth-century Spain during the Golden Age of Islam, traveled thousands of miles from Andalusia to distant Azerbaijan, passing through Morocco, Egypt, the Hijaz, Syria, Iraq, and Turkey on a physical and spiritual journey of discovery. Ibn Arabi wrote masterworks on mysticism that profoundly influenced the world while witnessing the wonders and cruelties of his age and being subjected to the political rule of four empires. Alwan's fictionalized first-person narrative is written from Ibn Arabi's point of view.

4.2 Findings and Discussions

Ambiguity can be perceived or unperceived. In other words, the translator or the recipient may be unaware of the presence of ambiguity. When creating a text, the author selects words based on his/her communicative intentions and the translator tries to interpret the message intended by the author. What distinguishes literary texts is that they are not straightforward; there are always hidden meanings between the lines. As a result, translating literary texts is a difficult task. According to Bassnett (2005), to produce coherent and accepted translations, translators must be able to correctly interpret literary texts "It is therefore quite foolish to argue that the task of the translator is to translate but not to interpret as if the two were separate exercises". The following are some examples of ambiguity in the Source and Target Text.

4.2.1 Example 1

موت صغي

Ibn Arabi's *Small Death*

Referential ambiguity: Newmark defines referential ambiguity as the ambiguous use of proper names in an SL text. The translator chose to add the name "Ibn Arabi" to the title of the novel as a way to explain to the target reader what the novel is about, however, he left the idea of small death as ambiguous as the original author wants it to be. The question here is whether leaving the concept ambiguous confuses the reader or not.

4.2.2 Example 2

كانت الارحام أوطاننا فاغتربنا عنها بالولادة

ابن عربي

"Wombs are homelands we quit at birth"

ABN ARABI

Lexical ambiguity: Wombs are homeland we exile by birth not quit. Quit has the denotation of the will to leave it, however, humans have no will or knowledge of when or where they are born or die. The main concept of Sufism that the author needs to convey is

lost in translation. He wants to emphasize the fact that we do not have the choice of when to be born or die.

4.2.3 Example 3

أعطاني الله برزخين: برزخ قبل ولادتي و آخر بعد مماتي.
و في الثاني رأيت ابني وهو يدفني. في الأول رأيت أمي وهي تلدني

God granted me two barzakhs. The first liminal period preceded my birth and the second followed my death.

During the initial one, I witnessed my mother give birth to me. During the second, I watched my son bury me.

Lexical ambiguity: The word “Barzakh” has an equivalent in the TT which is “limbo”, but the translator chooses to transliterate the expression, which may cause difficulties for the target reader. The author uses “Barzakh” as a known expression for the source text reader as is mentioned in the Holy Quran. (وَمِنْ وَرَائِهِمْ بَرْزَخٌ إِلَى يَوْمِ يُبْعَثُونَ) ومنه قوله -تعالى-: The target reader faces difficulties in understanding what the translator means especially if he does not explain it or even adds a footnote to explain the expression that would have been useful to the target reader.

4.2.4 Example 4

"كل مكان لا يؤنث لا يعول عليه"

ابن عربي

"Any place that is not feminine in gender is untrustworthy"

IBN ARABI

Lexical ambiguity: مؤنث مكان "مكانة" بمعنى To have a position

The translator lost the deep meaning of Ibn Arabi's quotation in the process of translation and translated the quote literally, causing misunderstanding to the target audience. لا مكان لا يؤنث the intended meaning of Ibn Arabi is grammatical gender, not biological gender. What is your position in this place (life) in worshipping God? If you are in place and you do not know your position and it connotes your mission in life then you are lost.

4.2.5 Example 5

لأني في المرة الأولى قبضت يدي و انت تقرأ فاستعصت عليك القراءة ، و الان بسطتها فقرأت.
- و كيف يمنعني قبضك و يرسلني بسطك يا شيخ؟

- لأني شيخك. جعلني الله مرادك و أنت مردي أقبضك و أبسطك بأمر الله..ثم أرسلك بعد أن تضع قدميك على أول الطريق

"The first time I clenched my fist as you read, and that made it almost impossible for you to read. Now that my fist isn't clenched, you can read."

"How can your clenched fist block me and your open palm set me free, Shaykh?"

"That's because I am your shaykh. God has destined me to be your novice master and for you to be my novice. By God's command, I can clench you tight and spread you wide open.... Once you have set your feet on the beginning of the path, I will send you forth."

Metaphorical ambiguity: the content of metaphorical ambiguity is due to the words having multiple senses or meanings and the particular intention behind the sentence is not made clear. The author intended the ambiguity in this part of the novel to emphasize the importance of the shaykh in the Sufism belief. The shaykh is capable of deciding to whom to deliver the religious knowledge. The translator keeps the same intended ambiguity of the author to keep the readers anxious to find out what the shaykh is capable of.

4.2.6 Example 6

نقرأ رسالة القشيري

حمل الشيخ الرسالة و على وجهه ابتسامه طفيفه وناولها للأحمد ...

“We will read al- Qushayri’s Epistle”

The Shaykh picked up al-Risala with a slight smile and handed it to Ahmed...

Lexical ambiguity: The translator uses loan words and sometimes transliteration of expressions from the ST to TT, however, it confuses the reader when he uses Epistle and then al-Risala when referring to the same book. Referential ambiguity is created here by the translator and not the author.

5. Conclusion

This study attempts to present the importance of being aware of ambiguity as a phenomenon in the language that affects the process of translation decision-making. This ambiguity is related to the semantic denotation and connotation of words in context especially when it deals with the intended meaning of the author about religious and spiritual beliefs. Translating a text from the source language to the target language is not easy. It requires great linguistics and non-linguistics knowledge for the translator to convey the religious and spiritual concepts of the source text. The most dominant type of ambiguity found in this translation is lexical ambiguity. The paper highlights the fact that the causes of ambiguity in the translation are mainly due to the lack of the translators’ knowledge of Sufism concepts and beliefs which is revealed especially when trying to translate Ibn Arabi quotations. The translator uses literal translation most of the time which results in a gap between the ST and TT and this gap leads to ambiguity in the target language.

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