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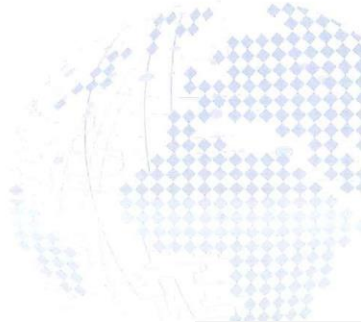




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**Stance and Engagement in Egypt's Argument before the ICJ on Israeli Practices  
in Palestinian Territories: A Linguistic Analysis of Interactional Metadiscourse  
Markers**

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**Abstract:** The present study examines the interactional metadiscourse markers employed in the oral argument presented by Yasmine Moussa, Legal Advisor in the office of Egyptian Minister of Foreign Affairs, before the International Court of Justice (ICJ) concerning Israeli policies and practices in the occupied Palestinian territories. Using Hyland's (2005a) model of interactional metadiscourse markers, it also examines the frequency of occurrence of the interactional metadiscourse markers used in the data as well as their functions. Results reveal that the two categories of interactional metadiscourse markers provided by Hyland (2005a), namely stance and engagement, are employed in the data as well as the four subcategories of stance markers. These are: hedges, boosters, attitude markers, and self-mention. Of the five subcategories of engagement markers, only four have been found in the data. These are: directives, questions, shared knowledge, and personal asides. The data also reveals that stance markers outnumber engagement markers, and that attitude markers are the most frequently occurring stance markers whereas the most frequently occurring engagement marker is shared knowledge. All the interactional metadiscourse markers used in the data serve to persuade members of the ICJ to issue a ruling to make Israel end its occupation of Palestinian territories.

**Keywords:** metadiscourse markers, ICJ, Egypt's argument, Israeli occupation, persuasion

### **1) Introduction**

Language is part and parcel of political discourse as it expresses the viewpoints and messages of national and international politicians. It is also “the primary mode of communication in the gentle art of persuasion” (Charteris-Black, 2011, p. 2). Indeed, one vital function of language in political discourse is persuasion of the viewpoints and stances of world leaders and countries on various issues and events. To attain the goal of persuasion, the language employed in different political fronts is carefully chosen and structured. In other words, politicians use linguistic tools, such as word choice, discourse strategies and metadiscourse markers, as persuasive devices that help convince an audience of specific ideologies or stances, adopt a certain viewpoint, or take a particular action.

The Israeli-Palestinian conflict is one of the most important events that has caught international attention due to its humanitarian, geographical and diplomatic implications. The latest ongoing conflict between Israel and the Palestinian militant group, Hamas, which is known as the “7 October attack” due to the attacks launched by Hamas against Israel on 7 October, 2023, garnered wide attention from the domestic and global communities. On the world stage, there have been various reactions that reveal disparate views of the conflict. While some countries, such as the U.S., the U.K., France, and Australia, support Israel and assert its right to defend itself, others, such as Russia, Turkey, China, Egypt, United Arab Emirates, Qatar, Syria, Saudi Arabic and Iraq, condemn Israel's violence against innocent Palestinians. Because of the severe and escalating situation in Gaza, the international community sought to exercise legal pressure on Israel to stop its attacks against the Palestinian people. In this respect, the UN General Assembly requested an advisory opinion from the ICJ on the legal consequences of Israel's occupation of Palestine and its policies and practices against Palestinians. Representatives from 52 countries gave oral arguments that reveal the different views held by these countries regarding the conflict in the occupied Palestinian territories.

### **2) Aims of the Study**

International rejection of Israeli practices against civilians in the Gaza Strip has driven some countries to file a complaint against Israel in the ICJ in which representatives of a number of countries, including Egypt, presented oral arguments against Israel's policies and genocide against Palestinians. One important presentation before the ICJ is the one made by Egypt's representative, Yasmine Moussa, Legal Counsellor at the Cabinet of Foreign Affairs Minister, as it included various metadiscourse markers that reflect Egypt's outright rejection of Israel's policy of killing, displacement, and occupation to persuade the ICJ to assert the sovereignty of Palestine and Palestinians' right to self-determination, and declare Israeli practices illegal. In this respect, the present study examines the metadiscourse markers employed in the oral argument presented by Yasmine Moussa regarding Israel's practices in Gaza to express Egypt's stance on the issue and persuade the international community to force Israel to stop its military operations in the Gaza Strip as they violate international humanitarian law and obligations. Accordingly, it attempts to answer the following research questions to investigate how persuasion is realized:

- 1- What are the interactional metadiscourse markers used in Yasmine Moussa's oral argument before the ICJ?
- 2- What is the frequency of occurrence of interactional metadiscourse markers in the data?
- 3- What are the functions of the interactional metadiscourse markers used in the argument presented by Egypt's representative at the ICJ?

### **3) Data and Methodology**

The data of the study consists of the oral argument presented by Egypt's representative at the ICJ and Legal Advisor in the office of the Foreign Affairs Minister, Yasmine Moussa, before the ICJ in the public sitting held on 21 February, 2024 at the Peace Palace in The Hague, the seat of the Court in the Netherlands, regarding the Advisory Proceedings on the legal consequences arising from the policies and practices of Israel in the occupied territories of Palestine, including East Jerusalem. The transcript of Moussa's oral argument was obtained from the website of the International Court of Justice.

To answer the research questions and realize the aims of the study, Hyland's (2005a) model of interactional metadiscourse markers is employed as it is

comprehensive and includes markers relevant to expressing stance and engagement in spoken discourse. To analyze the data, the metadiscourse markers used in the data are identified and categorized based on Hyland's (2005a) model. The study also adopts the quantitative and qualitative approaches. The quantitative approach is used to identify the frequency of occurrence of interactional metadiscourse markers in the data and their percentages. The qualitative approach is used to investigate the functions of the identified metadiscourse markers, and how they achieve persuasion. Examples of the different interactional metadiscourse markers used in the data are provided and interpreted. In these examples, the markers are underlined.

#### **4) Theoretical Background**

##### **4.1) The Israel-Hamas War**

The current ongoing conflict in Gaza started when Hamas, the Palestinian militant group which governs Gaza, launched surprise air, land and sea attacks, known as Operation Al-Aqsa Flood, against Israel on October 7, 2023. At dawn on 7 October, the Hamas-led gunmen fired more than 5000 rockets from the Gaza strip towards Israel, conducted attacks in border areas and attacked military bases. This resulted in killing around 12000 people (Israeli civilians, foreign nationals, and members of the security forces), and seizing hundreds of hostages. According to Hamas, the attacks on October 7 were a necessary step to resist Israeli occupation of Palestinian territories, Judaization of the Al-Aqsa Mosque, arrest of Hamas leaders, the blockade of the Gaza strip, and expansion of illegal settlements (Byman & Holtz, 2023; Haboush & Topcu, 2024; Schwarz & Wille, 2024; United Nations Human Rights, 2023).

Following the October 7 attacks, Israel started one of the most destructive bombing campaigns and military attacks against the Gaza strip targeting over 2.3 million innocent Palestinian civilians in Gaza with the stated goals of destroying Hamas' military and governing capabilities and releasing hostages. As a result of Israel's indiscriminate attacks against Gaza, Israel tightened its unlawful blockade on Gaza, killed and injured thousands of Palestinians most of whom are women, children and older persons. Israeli airstrikes targeted residential buildings, heavily populated areas, hospitals, and a number of UNRWA (United Nations Reliefs and Works Agency) headquarters. Thousands were also missing, trapped under rubble, and

forcibly displaced. Israel's tightened blockade and severe practices resulted in a humanitarian crisis in Gaza as basic necessities were cut off, the infrastructure was destroyed, the healthcare system collapsed, and famine occurred as Israel has continued to prevent humanitarian aids, deliveries and supplies by closing the Rafah border crossing (Gritten, 2024; Hanbali, 2024, United Nations Human Rights, 2023).

In reaction to the ongoing Israel-Hamas war, there have been many pro-Palestinian demonstrations sweeping around the globe calling for a ceasefire in Gaza. The war has also triggered varying international reactions, revealing the disparate views of the countries in the world. While around forty-four countries, including the United States, Canada, the United Kingdom, Australia, and New Zealand, condemned Hamas, considered the attacks acts of terrorism, and said that Israel has the right to defend itself, others, such as Egypt, Jordan, Kuwait, and Saudi Arabia, support Palestinians and hold Israel responsible for the attacks. Countries also pushed for a ceasefire, de-escalation, and a return to negotiations and peace talks. On March 25, 2024, the UN Security Council passed resolution 2728 demanding an immediate ceasefire during Ramadan, and the unconditional release of hostages. In addition to diplomatic cutoffs, countries also started taking legal actions to hold Israel accountable for the violence and deadly actions in Gaza. This was initiated by South Africa which filed a genocide case against Israel before the International Court of Justice on December 29, 2023, and requested emergency measures to cease hostilities and force Israel to halt its military operations in the Gaza Strip, stop killing Palestinians, and allow access to international humanitarian aids in Gaza (Basaran, 2023; Corder, 2024; Waldo et al., 2023; United Nations, 2024 a, b).

A number of countries decided to follow suit and filed declarations of intervention to join South Africa's genocide case against Israel at the ICJ. These countries are: Nicaragua, Belgium, Ireland, Colombia, Turkey, Libya, Egypt, Maldives, Mexico, Chile, Palestine, and Spain. This case is a step further to attempt to stop the illegal Israeli practices against Palestinians. On December 30, 2022, the UN General Assembly requested the ICJ to provide an advisory opinion regarding the legal consequences arising from Israel's violation of the Palestinian peoples' right to self-determination and its 57-year occupation of the West Bank, East Jerusalem and Gaza. During the hearings, 52 states and three international organizations, namely the League of Arab States, the Organization of Islamic Cooperation, and the African

Union, participated in the proceedings and presented oral arguments which started on Monday, February 19, 2024 at the Peace Palace in the Hague.

#### 4.2) Persuasion

Persuasion is an essential component of human interaction because the different ways language is used are essentially persuasive in nature as various persuasive strategies are employed to change the attitudes of interlocutors or affect the ideologies, beliefs and extent of agreement (Kashiha, 2022). This is indicated by Virtanen and Halmari (2005, p. 3) who hold that persuasion refers to “all linguistic behavior that attempts to either change the thinking or behavior of an audience, or strengthen its beliefs, should the audience already agree”. That persuasion is a purposeful attempt to influence an audience is indicated by O’Keefe (2002, p. 5) who views persuasion as “a successful effort at influencing another mental state through communication in a circumstance in which the persuadee has some measure of freedom”. These definitions imply that the audience or addressee, whether active or inactive, visible or invisible, actual or implied is essential in the process of persuasion because, along with the situational context in which persuasion occurs, it can influence and facilitate the process of persuasion (D. Aljazrawi & Z. Aljazrawi, 2019; Kashiha, 2022).

The notion of persuasion is closely related to the study of rhetoric introduced by Aristotle, the Greek philosopher, who introduced three persuasive appeals which are considered pillars of persuasion in human interaction. These are: *logos*, *pathos*, and *ethos*. *Logos* is concerned with the rational or logical appeals, and deals with providing a rationale and evidence for propositions to convince audiences of the arguments made. *Pathos* refers to emotional or affective appeals, and is concerned with stirring the addressees’ emotions. It is realized by using engagement markers and attitude markers to persuade an audience by appealing to their emotions. *Ethos*, or credible appeals, deals with presenting an addresser’s stance. In this case, persuasion is achieved by appealing to the speaker’s credibility and authority (D. Aljazrawi & Z. Aljazrawi, 2019; Kashiha, 2022; Mai, 2016).

To persuade audiences of particular viewpoints, stances or ideologies, speakers or writers use different rhetorical strategies, one of which is metadiscourse (D. Aljazrawi & Z. Aljazrawi, 2019). Hyland (2005b) maintains that metadiscourse is

one rhetorical strategy used to realize persuasion as it – metadiscourse – promotes logical appeals by linking ideas and arguments, implies a speaker’s or writer’s credibility by enhancing his/her competence and authority, and signals respect by acknowledging a recipient’s point of view (Hyland, 2005b, Sanford, 2012). Thus, metadiscourse “contributes to the rational, credible, and affective appeals which have characterized persuasive discourse since the time of ancient Greece” (Hyland, 2005b, p. 63).

#### **4.3) Metadiscourse**

The term “metadiscourse” was first coined by the structural linguist Zellig Harris in 1959 to understand language in use as language is not just used to exchange information but also builds a relationship between addressers, their texts and audience as it expresses “the personalities, attitudes and assumptions of those who are communicating” (Hyland, 2005b, p. 3). The concept was further developed at the hands of a number of linguists (Crismore, 1989; Hyland, 2005b; Vande Kopple, 1985; Williams, 1981) who analyzed the linguistic features that convey a position, facilitate communication, build a relationship with audiences, or persuade them of certain views (Albalat-Mascarell, 2023; Lai, 2023; Chen & Li, 2023). In other words, metadiscourse is concerned with how language is used to refer to itself. Thus, it is considered “discourse about discourse” or “talk about talk” (Hyland, 2005b, p. 16).

Metadiscourse serves a functional purpose in language as it helps speakers/writers express their stance towards propositions, negotiate meaning and engage with audiences or text receivers. (Abusalim et al., 2022; Kashiha, 2022). This is indicated by Hyland (2005b, p. 37) who holds that metadiscourse is “the cover term for the self-reflective expressions used to negotiate interactional meanings in a text, assisting the writer (or speaker) to express a viewpoint and engage with readers”. Thus, metadiscourse helps understand discourse in different contexts by analyzing the devices used to compose well-structured spoken or written texts that engage audiences, and show how speakers and writers take up positions, express their views, and align with their addressees in different contexts. In other words, metadiscourse reflects the various ways addressers interact with addressees through the use of language (Alyousef, 2015; Hyland, 2010, 2017).



To conduct a metadiscourse analysis of spoken and written texts, a number of metadiscourse models have been proposed. These include: Adel (2006), Crismore (1983, 1989), Crismore et al. (1993), Dafouz (2003, 2008), Hyland (1998, 1999, 2005 a, b), and Vande Kopple (1985, 2002). In Hyland’s (2005a) model, adopted in the present study, metadiscourse falls into two categories: the interactive and the interactional., both of which are key features of communication and are expressed by using a number of markers (Chen & Li, 2023). Interactive metadiscourse is concerned with the flow of information in a text, and shows how discourse is organized coherently and convincingly using various elements so that the audience are directed through the text because their interests, needs and previous knowledge have been accommodated (Chen & Li, 2023; Hyland, 2017; Savijoki, 2023).

Interactional metadiscourse focuses on how speakers and writers conduct interaction by commenting on their messages, and expressing their positions regarding the propositions or issues discussed as well as others who have viewpoints on these issues (Hyland, 2005a, Koutchade, 2021). The interactional dimension of metadiscourse is evaluative and engaging as it shows how addressers evaluate their messages to express their stance towards what is being said as well as how they engage with their addressees (Liukonen, 2018; Paltridge, 2012). Accordingly, interactional metadiscourse is divided into two categories: stance and engagement. Each of these categories is further divided into sub-categories to realize the goal of interactional metadiscourse, namely expressing speakers’ and writers’ views and stances, and engaging audiences in the discourse. Hyland’s (2005a) model of interactional metadiscourse is shown in figure (1).

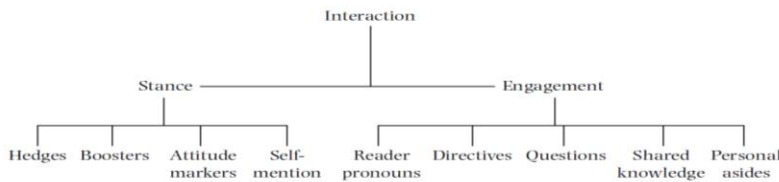


Figure (1): Hyland’s model of interactional metadiscourse markers

According to Hyland (2005a), stance is considered “an attitudinal dimension and includes features which refer to the ways writers present themselves and convey their judgements, opinions, and commitments” (p. 176). Stance is divided into four sub-categories, namely hedges, boosters, attitude markers and self-mention. Hedges are words or phrases addressers use to withhold full commitment to a proposition and recognize alternative voices and viewpoints. Hedges allow information to be presented as an opinion rather than a fact, and imply that a proposition is based on reasoning and not certain knowledge. Hedging devices include adverbs (e.g. *perhaps*, *may be*, *almost*), prepositional phrases (e.g. *in general*, *in my view*), and epistemic modal verbs (e.g. *might*, *may*) (Hyland, 2005a, Liukonen, 2018).

Boosters express the speakers’ and writers’ certainty and complete commitment to different propositions, thereby averting conflicting views by shedding light on shared experiences that make the audience come to the same conclusion reached by addressers. Therefore, boosters such as “*demonstrate*”, “*obviously*”, “*clearly*”, “*certainly*”, “*always*”, “*never*”, and “*actually*”, underline shared information and engagement with addressees (Chen & Li, 2023; Hyland, 2005a; Savijoki, 2023).

Attitude markers show the speaker’s and writer’s affective, rather than epistemic, stance or attitude towards the proposition. They convey agreement, surprise, obligation, importance, frustration, preference and so on rather than commitment. In other words, they are concerned with addressers’ judgements, feelings and affective positions. Attitude markers are realized by the use of comparatives, subordination, progressive particles, attitude verbs (e.g. *agree*, *prefer*), sentence adverbs (e.g. *hopefully*, *unfortunately*) and adjectives (e.g. *appropriate*, *remarkable*, *logical*) (Hyland, 2005a, Kashiha, 2022; Shen & Tao, 2021).

Self-mention refers to the author’s presence in the text “to present propositional, affective and interpersonal information” (Hyland, 2005a, p. 181). It is realized by using possessive adjectives as well as the singular and plural forms. The former includes first person pronouns such as “*I*”, “*my*”, and “*mine*”. The latter is an indication of the country, government or institution represented by the speaker such as “*America*”, “*we*”, “*our*”, and “*ours*”. Addressers consciously use self-mentions to emphasize their personal stance and authorial identity (Chen & Li, 2023; Liukonen, 2018; Mai, 2016).

Unlike stance, which has to do with writer-oriented features of interaction, engagement is concerned with reader/hearer-oriented features and is considered “an alignment dimension where writers acknowledge and connect to others, recognizing the presence of their attention, acknowledging their uncertainties, including them as discourse participants, and guiding them to interpretations” (Hyland, 2005a, p. 176). Engagement has two main purposes, the first of which is establishing solidarity with readers/hearers by meeting their expectations and addressing them as participants. Second, engagement helps speakers and writers position their audience by pulling them “into the discourse at critical points, predicting possible objections and guiding them to particular interpretations with questions, directives and references to shared knowledge” (Hyland, 2005a, p. 182). Engagement has five sub-categories: reader pronouns, directives, questions, shared knowledge, and personal asides.

Reader pronouns serve to grab the attention of the audience and establish solidarity with them by including them in the discourse and addressing them directly to show that they have similar goals because they have similar ways of understanding and seeing matters. This sub-category is realized by using inclusive *we*, *our*, the second person pronoun “*you*” and its possessive adjective “*your*”.

Directives are instructions to the audience to carry out an action and see things or interpret an argument in a certain way. They are expressed by using imperatives, modals of obligation (e.g. *must*, *should*, *ought*), and predicative adjectives that express the writer’s/speaker’s judgement of importance/necessity (e.g. *it is important to understand/know*, *you should note/remember that*).

Questions are an important strategy of engaging the audience in the discourse and persuading them to adopt the speaker’s/writer’s viewpoint by addressing them as being interested in exploring the issue that the question raises so that they reconsider their views upon sharing the addresser’s views and following their arguments to answer the question.

Appeals to shared knowledge are markers used to make the audience identify with the addresser’s views and agree with them by asking them to recognize something, such as an issue or an act, as accepted or familiar. This helps establish solidarity with the audience and position them within boundaries of understandings and agreements. Shared knowledge expressions are signaled through adjectives (e.g.

*obvious*), adverbs (e.g. *of course, obviously*) and verb phrases (e.g. *we all know, as is clear, as we are familiar*).

Personal asides are used to interrupt the argument to add a personal comment or view on what is said. They do not add information to the argument or lead to propositional development but help develop the relation between the addresser and the audience by indicating that both parties are involved in the issue and thus have shared understanding and common ground. Asides are expressed using adverbs (e.g. *incidentally*) and prepositional phrases (e.g. *by the way, in the meantime, meanwhile*) (Hyland, 2005a, Hyland & Jiang, 2016; Kashiha, 2022; Liukonen, 2018).

The role of metadiscourse in achieving persuasion has been examined in different genres including academic writing (e.g. Alghazo et al., 2021; Carrio-Pastor, 2016, 2019; Del Saz, 2011; Farahani, 2018; Gillaerts & Van de Velde, 2010), media discourse (Abdullah et al., 2020; Dafouz-Milne, 2008; Kuhl & Mojud, 2014; Makkonen-Craig, 2011; Noorian & Biria, 2010), business discourse (Ho, 2016, 2018; Mur-Duenan, 2007; Neff & Dafouz, 2008) and political discourse in which the focus has been mainly on examining metadiscourse in political speeches (Abusalim et al., 2022; Albalat-Mascarell & Carrio-Pastor, 2019; Esmer, 2015; Etemadfar & Namaziandost, 2020; Liukonen, 2018; Sari, 2014; Sukma, 2017; Yipei & Lingling, 2013). To the researcher's knowledge, no studies have investigated metadiscourse in oral arguments made in international organizations like the ICJ. Therefore, the present study fills this gap by examining interactional metadiscourse markers in the oral argument presented by Egypt's representative at the ICJ and legal advisor in the office of Egypt's Foreign Minister, the functions of these markers, and how they help realize persuasion.

## **5) Analysis**

In this section, Hyland's (2005a) interactional metadiscourse markers employed in Yasmine Moussa's oral argument before the ICJ on Israeli practices in Palestinian territories are analyzed to examine their functions and show how they help realize persuasion.

Hedges, boosters, attitude markers and self-mentions are the interactional metadiscourse markers used to express Egypt's stance and viewpoint towards the

events in Gaza as well as certainty regarding the truth of the propositions made. The use of hedges is shown in example (1):

**Example (1)**

...it is universally recognized that a State may not gain title to territory through any use of force, regardless of its purported legitimacy...The argument that a State may exercise self-defense against a territory under its own military occupation and effective control is counter-intuitive.

In this example, the modal verb “may” is used as a hedging device to present Egypt’s view on Israeli policies. The argument is presented as an opinion to criticize Israeli practices and show that Egypt believes that Israel has no right to use force whether to occupy a territory or exercise self-defense against helpless civilians whose lands are occupied.

Example (2) demonstrates the use of boosters in the analyzed data.

**Example (2)**

Israel’s brutal onslaught continues to rage in occupied Gaza, where 29,000 innocent civilians have been killed and almost 2.3 million people forcibly transferred and displaced...Israel is deliberately and wantonly creating conditions of life that are intended to make life in Gaza impossible... all while the Security Council repeatedly fails to call for a ceasefire, in callous disregard for Palestinian life.

In example (2), the boosters “forcibly”, “deliberately” and “wantonly” are used to shed light on the atrocities perpetrated by Israel against Palestinians, and underscore Israel’s insistence on destroying all aspects of life in Gaza purposefully and continuously. The adverb “repeatedly” is used to show that although Israel has been carrying out inhuman deeds that violate international law in Gaza for many years, no ceasefire was achieved or called for on the part of the Security Council. These boosters function as reminders of the inhumanity and brutality of Israel’s practices in Gaza and the failure of the international community to end the suffering

of Palestinians. Accordingly, they highlight shared experience and information, and indicate the speaker's certainty of the truth of what is said and full commitment to it.

Attitude markers are used to persuade members of the ICJ of Egypt's stance towards the goings-on in Gaza at the hands of Israelis. The use of attitude markers is shown in example (3).

### **Example (3)**

The Middle East region yearns for peace and stability and a just, comprehensive and lasting resolution to the Palestinian-Israeli conflict, based on...the establishment of a viable Palestinian State on the pre-1967 lines, with East Jerusalem as its capital... One only needs to look at Israel's vicious, wholesale destruction of Gaza today... to realize the extent of Israel's transgression of this principle. Israel's prolonged occupation is therefore illegal, per se, and is an ongoing, internationally wrongful act that must be immediately brought to an end by Israel, by immediately ending the occupation.

In this example, attitude markers are employed as a persuasive strategy to highlight the gravity of Israeli policies which defy shared international values. The markers "just", "comprehensive", "lasting", and "viable" express the speaker's attempt to rely on shared goals to persuade the ICJ of the necessity to end the war in Gaza. Thus, these markers denote the positive effect desired not only by Egypt but also by many countries worldwide. Their use reflects Egypt's stance and desire to make the ICJ, as an international organization, and the international community adopt the same stance. The attitude markers "vicious", "wholesale", "illegal", "internationally", "wrongful", and "immediately" are used to foster Egypt's attitude and stance as they serve to stress the unacceptability of Israel's practices and acts against Palestinians as they breach international humanitarian law. Accordingly, these markers help achieve consensus that Israel must end its occupation of Palestinian territories.

The use of the interactional metadiscourse marker of self-mention is shown in example (4).

**Example (4)**

Egypt submits that the proposition that occupation is, merely, a de facto situation whose legality cannot be called into question is seriously flawed... In Egypt's view, it is clear that under international law, the territorial status of the West Bank, including Jerusalem, and the Gaza Strip cannot lawfully be altered through armed conflict... Egypt submits that Israel's indefinite occupation amounts to a nullification and denial of the Palestinian people's inalienable right to self-determination.

Plural self-mentions are used in the above example by mentioning the country that Yasmine Moussa represents. "Egypt" is used to show that Moussa's statement before the ICJ represents Egypt's position regarding the Israeli-Palestinian conflict. This self-mention is used to emphasize Egypt's rejection of any attempt to legalize Israeli occupation of Palestine, its firm belief that the conflict in Palestine cannot be resolved by force, and that Israel's practices are an indication of its stark denial of Palestinians' right to self-determination.

All subcategories of engagement, except for reader pronouns, have been found in the data. They are used to include the audience, i.e. members of the ICJ, in the discourse to gain their support and coax them to take effective measures to end Israeli practices against Palestinians. Example (5) demonstrates the use of directives in the data.

**Example (5)**

Egypt respectfully submits that the Court should advise the General Assembly that: (1) the prolonged Israeli occupation is, per se, a continuing violation of international law... Israel - as the wrongdoing State - is obliged to make full reparation through restitution, compensation and satisfaction... by ceasing immediately and unconditionally its unlawful occupation of Palestinian territory.

In this example, the modal "should" is used as a directive to position members of the ICJ and guide them through a line of reasoning that would make them give their advisory opinion regarding the legal consequences arising from Israel's policies and



practices in Palestine, and rule that Israel must end its occupation of Palestine because it breaches international law, and must also make reparation for the wrongful acts and the damage that happened in Palestinian territories.

Questions are an important engagement interactional metadiscourse marker which is employed to construct dialogic involvement with the audience. The type of questions found in the data is rhetorical questions which are asked to hit home a particular message and not to elicit an answer. This is shown in example (6):

**Example (6)**

How can such practices - which have been described by a number of participants as “crimes against humanity” - how can they be consistent with any notion of human rights and human dignity in the 21st century?...Distinguished Members of the Court, for how much longer do the Palestinian people need to wait before they are able to exercise their legitimate rights under international law? For how much longer will the United Nations continue to manage the humanitarian impacts of Israeli violations, without addressing their root cause?

Rhetorical questions are employed, in the above example, as a convincing strategy to urge members of the Court to adopt Egypt’s stance, which is also adopted by many other countries, towards the Israel-Palestine conflict. They are food for thought for members of the ICJ so that they would consider the issue in question in light of the argument presented. To this end, the rhetorical questions employed highlight the mismatch between Israel’s deeds – which are considered crimes against humanity – and the notions of human rights and dignity. They also serve to urge the Court to rule in favor of Palestinians by showing that they have already been suffering for years from all sorts of inhuman Israeli practices, yet the UN never addressed the root cause of the conflict to bring it to an end.

Shared knowledge is used in the data as a persuasive strategy to urge the audience to identify with the views presented by drawing on their common knowledge and understandings. Example (7) demonstrates the use of this interactional metadiscourse marker.

**Example (7)**

Numerous resolutions of the General Assembly and Security Council affirmed the illegality of Israel’s settlements... considering them invalid and a flagrant violation of the Fourth Convention... Security Council resolution 298 stated that “all legislative and administrative actions taken by Israel to change the status of the City of Jerusalem... are totally invalid and cannot change that status... The Security Council also declared in relation to Jerusalem in resolution 478 (1980) that Israeli “legislative and administrative measures . . . are null and void... Israel remains in defiance of these and subsequent resolutions, including resolution 2334 (2016) and numerous General Assembly resolutions in addition to the provisions of the Geneva Conventions previously described.

In this example, the speaker, Yasmine Moussa, appeals to the shared knowledge of members of the ICJ by referring to different resolutions adopted by the General Assembly and Security Council as well as provisions of the Geneva Conventions in order to accentuate the importance of the points raised and justify the stance that Egypt adopts by providing evidence that proves the truth of the propositions made, and showing that they are based on binding resolutions passed by international institutions. The aim is to persuade the Court to come to the same conclusions regarding the illegality of Israel’s practices in Gaza by pointing out previous resolutions and presupposing that members of the Court agree with, and accept, these resolutions.

Personal asides are used to connect with the audience and provide a remark on what has been said, as shown in example (8).

**Example (8)**

There is, also, no support for the proposition that Israel was acting defensively in 1967...Even if the claim of self-defense were valid-which clearly is not the case - a decades-long occupation is not reconcilable with the customary international law conditions of necessity, immediacy and proportionality.

In example (8), the personal aside “which clearly is not the case” is employed to digress from what is said to directly address the audience – members of the Court –

in a more personal way to offer a meta-comment on what is said regarding Israel's claim of self-defense. The aside serves to ascertain complete rejection of Israel's claim that its attacks against innocent Palestinians in 1967 and later on were self-defensive.

### 6) **Results and Discussion**

Quantitative analysis of the interactional metadiscourse markers found in Yasmine Moussa's oral argument before the ICJ reveals that the total number of stance markers is 95 (75% of the total number of interactional discourse markers which is 126) while the total number of engagement markers is 31 (25% of the total). That stance markers are more commonly used than engagement markers indicates that Egypt is more concerned with voicing its views about Israeli policies and deeds in Gaza and making its stance clear than with including the audience in the argument. It could be that Egypt's focus is on presenting its stance on the issue in question and providing evidence to prove its propositions, thereby justifying and legitimizing its demands that the Court passes a judgment that would make Israel end the war in Gaza. In other words, by presenting its position and stance evidenced by facts concerning Israeli atrocities in the Gaza Strip, Egypt seeks to engage members of the Court by focusing their attention on Israel's inhuman practices and guiding their interpretations of the issue which in turn will have an effect on their judgment based on their conviction of the stance adopted by Egypt as well as other countries. Table (1) presents the frequency of occurrence of the subcategories of the interactional metadiscourse markers of stance in the analyzed data.

Table (1): Frequency of occurrence of the subcategories of stance markers

<b>Interactional Metadiscourse Markers</b>	<b>Subcategories</b>	<b>Frequency of Occurrence</b>	<b>Percentage</b>
Stance	Hedges	6	6%
	Boosters	34	36%
	Attitude Markers	48	51%
	Self-mention	7	7%
<b>Total</b>		95	100%

As shown in table (1), attitude markers are the most frequently occurring subcategory of the interactional metadiscourse marker of stance (48 occurrences, 51%) followed by boosters (34 occurrences, 36%) then self-mentions (7 occurrences, 7%) and hedges (6 occurrences, 6%). This indicates that attitude markers are the stance markers that help achieve persuasion most by focusing on conveying Egypt's affective stance and position towards the Israel-Hamas war, signaling common attitudes and values, and relying on logical reasoning and acceptance of proven propositions to convince members of the ICJ to agree with the viewpoints presented by Egypt regarding Israel's practices. Persuasion is also enhanced by using boosters, which are the second most commonly occurring metadiscourse marker of stance. They are used to express conviction and present Egypt as positive and committed to the propositions made, thereby shutting down conflicting views by highlighting the negative future consequences of the war in Gaza, and stressing the necessity and moral obligation of ending it. Self-mention and hedges occur less frequently than attitude markers and boosters which indicates that Egypt's representative is less concerned with creating authorial presence since she is already expressing Egypt's views on the issue. The focus is also on presenting facts, rather than a personal opinion, regarding the Israeli-Hamas war to portray the negative doings of Israel so as to convince the Court of the necessity of taking defensive measures to counteract Israel's violent policies and stop its war crimes.

Table (2) presents the number of occurrences of the subcategories of the interactional metadiscourse marker of engagement in the data.

Table (2): Frequency of occurrence of the subcategories of engagement markers

<b>Interactional Metadiscourse Markers</b>	<b>Subcategories</b>	<b>Frequency of Occurrence</b>	<b>Percentage</b>
Engagement	Directives	8	26%
	Questions	5	16%
	Shared knowledge	16	52%
	Personal asides	2	6%
<b>Total</b>		31	100%

Table (2) shows that the most frequently occurring engagement marker is shared knowledge (16 occurrences, 52% of the total number of engagement markers which is 31) followed by directives (8 occurrences, 26%) then questions (5

occurrences, 16%) and personal asides (2 occurrences, 6%). Heavy use of the subcategory of shared knowledge compared to the other subcategories of engagement markers reflects a desire to attain persuasion by stimulating the audience's shared knowledge directly and explicitly by presupposing that the arguments made present commonly known facts about Israel's dark deeds in the Gaza Strip, and that members of the ICJ will identify with the views presented by Egypt's representative because they hold similar beliefs about humanitarian issues. Therefore, they are expected to agree with the viewpoints presented and come to the same conclusions arrived at by all the countries that support Palestine. Accordingly, shared knowledge, as an engagement marker, represents an emotional appeal as the speaker seeks to engage the audience in the argument and obtain their support by appealing to their knowledge and understandings of the tragic plight of Palestinians living under Israel's illegal occupation.

That directives are the second frequently occurring engagement marker following shared knowledge indicates that they are employed as a persuasive strategy to shape the thoughts of members of the ICJ by giving them indirect commands which help raise their awareness of the different aspects related to the Israel-Hamas conflict, and make them see the situation in such a way that would make them rule that Israel's occupation of Palestinian territories is unlawful and violates international law.

Questions, which are the third commonly occurring subcategory of engagement, are a powerful engagement and persuasive technique as they are used to capture the attention of the Court whose members are invited, via the rhetorical questions posed, to re-consider and think about the Israeli-Palestinian issue in light of the arguments presented not only by Egypt but also by all pro-Palestine countries.

Personal asides are the least frequently occurring engagement markers as the concern is not with digressing from what is said to offer a personal comment, remark or opinion. Rather, the focus is on presenting solid arguments backed by evidence to prove that Israel is committing genocidal acts in Gaza and should be held accountable for war crimes.

## **7) Conclusion**

Employing Hyland's (2005a) model of interactional metadiscourse markers, the present study has examined the interactional metadiscourse markers employed in

Yasmine Moussa's oral argument before the ICJ regarding Israeli policies and practices against Palestinians in the Gaza Strip. The study has attempted to answer three research questions, the first of which pertains to the interactional metadiscourse markers used in the data. The study reveals that the two categories of interactional metadiscourse, namely stance and engagement, are used. The subcategories of stance provided by Hyland (2005a) are employed in the data. These are: hedges, boosters, attitude markers, and self-mention. Of the five subcategories of engagement given by Hyland (2005a), four have been found in the data. These are: directives, questions, shared knowledge, and personal asides.

Concerning the second research question, which is concerned with the frequency of occurrence of the interactional metadiscourse markers used in the data, it has been found that stance markers outnumber engagement ones (95 occurrences, 75% vs 31 occurrences, 25%). Regarding the subcategories of stance, attitude markers occur more frequently followed by boosters, then self-mentions and hedges. As for the subcategories of engagement markers, shared knowledge is the most frequently occurring engagement marker followed by directives, questions and personal asides, respectively.

The third question is concerned with the functions performed by the interactional metadiscourse markers employed in Yasmine Moussa's oral argument before the ICJ. It has been found that they are generally used to persuade members of the ICJ of the stance adopted by Egypt and other pro-Palestine countries regarding the Israel-Hamas war, show that Israel has committed war crimes against Palestinians, and underscore the necessity of ending Israel's occupation of Palestine.

Concerning the functions of the subcategories of stance, the data reveals that hedges are used to criticize Israel's practices in Gaza, and assert that it has no right to occupy Palestinian territories or use force against Palestinians. Boosters are used to show certainty of the truth of the propositions made concerning the illegal and unhuman deeds of Israel in the Gaza Strip. Attitude markers are employed to refer to shared goals so as to ascertain the illegality of Israeli occupation. Self-mentions help emphasize Egypt's rejection of Israel's policies and practices in Gaza.

As for the subcategories of engagement, it has been found that directives are used to convince members of the ICJ, through a line of reasoning, that Israel should be charged with genocide in Gaza. Rhetorical questions serve as eye openers to the

abusive Israeli deeds against innocent Palestinians. Shared knowledge is a persuasive strategy used to convince the Court of the legitimacy of the demands made to force Israel to end its occupation of Palestinian territories by appealing to shared human values and showing that Israel's practices breach these values. Personal asides are employed to make a personal comment which emphasizes full rejection of Israel's unfair and inhuman practices against Palestinians.

The present study has investigated the interactional metadiscourse markers, their frequency of occurrence, and functions in the oral argument presented by Egypt's representative at the ICJ. Future research can compare and contrast the metadiscourse markers employed in the arguments presented by other representatives to examine how markers help deliver the different views of countries which support or oppose the Israeli-Hamas conflict. Future research can also examine the metadiscourse markers used in social media platforms to show users' stances towards the Israel-Palestine issue. Moreover, metadiscourse markers used in the various demonstrations to denounce Israeli practices in Gaza can be examined. Research can investigate the interactional metadiscourse markers used to construct Israeli and Palestinian identity in various discourses, including political speeches, interviews, press conferences, and hearings before international organizations such as the Security Council, the World Court, and the International Criminal Court (ICC).



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Field Code Changed

## **Studying Political Caricatures from a Pragmatic Perspective**

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**Abstract:** Expressing one's opinion is not limited to the written form only. It could be in a form of an illustration or a caricature using a sarcastic image to express an opinion. These caricatures could be political, and the main purpose of a political caricature is to criticize a certain political situation in a sarcastic way. This paper aims at analysing four different caricatures from different online newspapers which are *The Guardian*, *The New York Times*, *The Arab Weekly*, and *The Week*. These caricatures describe and present the same situation in Gaza a decade ago from 2014 till 2023. The analysis is done from a pragmatic perspective through Speech Acts Theory, Gricean maxims, irony, and rhetorical devices along with the features of political caricatures. The findings show that the caricatures under study are composed of a variety of direct and indirect speech acts implying death, hunger, revenge, violence, and others. In addition, they show the impact of flouting the maxims of quality and quantity on expressing the message behind each caricature. Moreover, the use of exaggeration and analogy plays a significant role in understanding the cartoonists' opinions along with irony as well. In the end, the cartoonists succeed in convincing their audiences using ethos, pathos, and logos.

**Key Words:** Aristotelian Appeals, Grice's Maxims, Political Caricatures, Pragmatics, Speech Acts Theory

### **Introduction**

There are many ways to express political satire; caricature or cartooning is one of these most significant ways especially in newspapers and magazines. "Caricature is one of the forms of non-oratorical rhetorical messages used in visual communication (visual commentary)" (Ahmad, 2020, p. 2). Newspapers and magazines use humorous caricatures to portray political events representing real-life or fictional characters to reflect certain ideologies. Over the recent years, there has been an interest in research on caricatures, however, it was limited to semiotics. On the other hand, studying caricatures from a pragmatic perspective is still limited. Caricatures or cartoons "refer



more specifically to a style or technique of exaggerating or distorting the subject” (Moore, 2011, p. 13). They have specific features such as exaggeration, symbolism, analogy, irony, however, exaggeration, symbolism, and stereotypes are the most principal features. Firstly, exaggeration plays a vital role in any caricature because it could be expressed in facial expressions, forms, sizes, fonts, and actions. In other words, exaggeration is essential to any caricature as it makes the caricature more vivid. Secondly, using symbols in caricatures is another important feature. Gadalla (1998, p. 67) states that “symbols such as Uncle Sam, Russian Bear and British Bulldog represent concepts, ideas, and notions”. “It is important to note that if the reader is unfamiliar with the symbols the cartoonist use, the caricature will be total nonsense” (Razzaq, 2022, p. 2). Finally, the use of stereotypes is significant because it is based on typical physical appearance and typical behaviour patterns. Caswell (2004, p. 20) defines a stereotype as "something that has no individuality or varying".

Therefore, this paper aims at studying the political caricatures found expressing one of the cruellest events taking place in the world over a decade and more, particularly in the Middle East, which is the genocidal actions by Israel towards Palestinians in Gaza to be displaced from their own lands. This study is based on analysing four caricatures from different reputable online newspapers such as *The Guardian*, *The New York Times*, *The Arab Weekly*, and *The Week* to express the same point of view from different parts of the world. The analysis also employs Speech Acts Theory, Gricean maxims of cooperation, irony, and rhetorical devices in order to explain how political caricatures portray political events from a sarcastic point of view to help in understanding the cruelty of the real-life event or situation. Moreover, the study helps in providing a pragmatic analysis of political caricatures to express the significance of pragmatic tools in transmitting the communicative message behind such caricatures.

## **1. Theoretical Background**

In this section, Speech Acts Theory, Gricean maxims, humour, irony, and rhetorical devices are explored.

### **1.1 Speech Acts Theory**

Speech acts are simply the actions performed through utterances. Speech acts theory has been first developed by the philosopher J.L. Austin. According to him, “not all ‘sentences’ are (used in making) statements: there are, traditionally, besides (grammarians’) statements, also questions and exclamations, and sentences expressing commands or wishes, or concessions.” (Austin, 1962, p. 1). Paltridge (2006) also mentions “such acts refer to the speaker's communicative intension which is interpreted by the hearer” (p. 55). Moreover, Austin (1962) uses “the term ‘speech act’ to refer to an utterance and the ‘total situation’ in which the utterance is issued” (p. 52). In other words, a speech act is an utterance that states a function in communication. Furthermore, Austin (1962) has proposed the notion of performatives which maintains that statements are only used to describe or state, but also to perform action.

Based on Austin’s classification of illocutionary acts, Searle (1976 &1979) proposes a classification of five different types of acts as follows:

1. Declarations: They bring about some alteration in the status or condition of the referred to object and tend to rely on elaborate extra-linguistic institutions (declaring war christening, firing from employment).

For example, I now pronounce you husband and wife.

(The speaker alters the external status or condition of an object or situation)

2. Assertives: They commit the speaker to the truth of the expressed proposition, such as statements of facts, assertions, conclusions, and descriptions.

For example: The earth is flat. It was a warm sunny day.

(The speaker asserts a proposition to be true, using such verbs as: Affirm, Believe, Conclude, Deny, Report)

3. Expressives: They express a psychological state, such as thanking, apologizing, welcoming, congratulating, etc.

For example: I'm really sorry. Congratulations.

(The speaker expresses an attitude to or about a state of affairs, using such verbs as: Apologize, Appreciate, Congratulate, Deplore, Detest, Regret, Thank, Welcome)

- 4. Directives: They are attempts by the speaker to get the hearer to do something, such as orders, commands, requests, suggestions, and they can be positive or negative.

For example: Gimme a cup of coffee. Make it black. Don't touch that.

(The speaker tries to make the hearer do something, with such words as: Ask, Beg, Challenge, Command, Dare, Invite, Insist, Request)

- 5. Commissives: They commit the speaker to some future course of action, such as promises, threats, refusals.

For example: I'll be back. We will not do that.

(The speaker commits himself (or herself) to a (future) course of action, with verbs such as: Guarantee, Pledge, Promise, Swear, Vow, Undertake, Warrant).

(Searle,

1979, pp. 12-18)

According to Yule (1996), Searle provides a description of the five general functions of speech acts in Table (1):

Table 1

A Description of the Five General Functions of Speech Acts

Speech Act Type	Direction of Fit	S=Speaker; X=Situation
Declarations	Words change the world	S crosses X
Representatives	Make words fit the world	S believes X
Expressives	Make words fit the world	S feels X
Directives	Make the world fits words	S wants X
Commissives	Make the world fits words	S intends X

**Table 1.** Description of the five general functions of speech acts. Adapted from “*Implicature: Pragmatics*” by G. Yule, 1996, p. 55

### 1.2 Gricean Maxims

According to Grice (1989), Maxims are classified into:

a. Maxim of Quantity

1. Make your contribution as informative as is required (for the current purposes of the exchange).
2. Do not make your contribution more informative than is required.

b. Maxim of Quality

1. Do not say what you believe to be false.
2. Do not say that for which you lack adequate evidence.

c. Maxim of Relation

1. Be relevant.

d. Maxim of Manner

1. Avoid obscurity of expression. (Avoid being unclear).
2. Avoid ambiguity.
3. Be brief. (Avoid unnecessary prolixity).
4. Be orderly. (Be organized). (Grice, 1989, p. 26)

According to Grice, the four maxims regulate conversation in the sense that they constitute a general principle which participants are expected to observe. In some circumstances, “speakers may not follow the expectations of the cooperative principle” (Yule, 1996, p. 39). In other words, they may deviate from the norm whether on purpose or without intention to do it. Such deviation has more than one type such as: “violating the maxims, flouting the maxims, infringing the maxims, opting the maxims, and suspending the maxims” (Thomas, 1995, p. 64).

### 1.3 Irony

It is one of the main features of caricature to express the cartoonist or the caricaturist opinion concerning a political event taking place in real-life. It could be found through flouting the maxims of quality, relation, and manner. It is implied and understood from the communicative meaning portrayed in the caricatures. Pollard (1970, p. 67) defines it as "the usage of distortion as a weapon, total distortion in the form of inversion, adding that it includes in its effect implication, insinuation, and omission".

According to Hutcheon (1995, pp. 43-53), there are certain functions of irony, which include; "Reinforcing" to underline a point, "Complicating" to express the richness of interpretation, "Lucid" to express teasing and playfulness as well as to irresponsibility and trivializing, "Distancing" to refuse being pinned down, "Self-Protective" to be a defence mechanism, "Provisional" to entail disapproving, hypocrisy, and deception, "Oppositional" to indicate insults, and offence, the "Assailing" to show an attack or a leaping on something, and finally the "Aggregative" function.

#### **1.4 Rhetorical Devices**

The function of rhetorical devices is to persuade the readers or audiences. Brochers (2013, p. 40) states that "according to Aristotle, a statement is persuasive and credible either because it is directly self-evident or because it appears to be proved from other statements that are so". In either case, it is persuasive because it manages to make sense to the audience (readers/ listeners). Aristotle (1967) presents three different persuasive strategies: Logos, Pathos, and Ethos. The aim of the three appeals is to persuade or convince the addressee to "reach out of free choice a goal desired by the addresser" (Poggi, 2005, p. 298). Logos can be the rational arguments, the logical consequence, or the beliefs. Pathos deals with emotions or the speaker's ability to control emotions, "manifested by either pleasant or unpleasant feelings. These values are emotionally loaded, therefore, pathos are triggered whenever they are invoked. Once the pathos trigger is pulled, the addressee may feel an urgent desire to achieve the goal or goals in question." (Poggi, 2005, p. 314). Ethos deals with "attracting the addressee's attention to the credibility and truthfulness of the addresser." (Abouelenine, 2021, p. 189)

Another type of rhetorical devices is metaphors which are included in all areas that involve human interaction or experience. "A metaphor is an implied analogy which

imaginatively identifies one thing for another.” (Razzaq, 2022, p. 6). Metaphors help a lot in understanding the point of view of the caricaturist through the presence of symbols as well. According to Kövecses (2010, p. 64), symbols in general and cultural symbols, in particular, may be based on well-entrenched metaphors in a culture.

## **2. Review of Literature**

In this section, a review of some previous empirical studies of political caricatures are presented.

In 2023, a study by Khurram Shahzad, Shamas Ul Din, and Farooq Ahmad on the representation of political ideologies through political cartoons in the Pakistani English newspaper "Dawn". The focus of this study is on uncovering the hidden purpose of print media through multimodal analysis of selected political cartoons through applying Machin's (2007) theoretical framework to provide a qualitative analysis.

Ahmed (2020) conducted a study which dealt with 2018 Egyptian presidential elections by applying Semiotics. The focus of this study is to address a major question on how caricature represents the picture of the 2018 Egyptian presidential election, as the caricature poses a specific type of media messages in which it reflects the public opinion about the candidates and the electoral process.

Such studies focus on expressing the impact of political caricatures on understanding ideologies through Semiotic and Mutlimodal analysis. However, the present study tackles the importance of political caricatures from a pragmatic perspective applying Speech acts theory, Gricean maxims, Irony, and rhetorical devices.

## **3. Methodology**

In this section, a qualitative analysis is employed along with a descriptive one to express the impact of applying pragmatic tools to the analysis of political caricatures to understand the underlying message portrayed by the caricaturists. It represents the data of the analysis along with the analytical framework.

### **3.1 Data of the Analysis**

The analysis is based on a qualitative approach to investigate the impact of applying pragmatic theories to political caricatures. These caricatures are published in online

newspapers, namely *The Guardian*, *The New York Times*, *The Arab Weekly*, and *The Week*. They represent the suffering of the Palestinians from 2014 till 2023. The four caricatures under study are selected according to certain criteria to meet the purpose of the research. Such criteria include: a) they must have a chronological order to show the ongoing attacks towards the Palestinians a decade ago, from reputable newspapers presenting different points of view, b) expressing the current situation in Gaza through vivid illustrations c) employing irony, metaphors, and d) including texts or dialogues to be analysed.

### 3.2 Analytical Framework

The analysis of the caricatures under study is based on the following:

- a. Speech act theory to express the impact of direct and indirect acts on expressing the message or the opinion of the caricaturists.
- b. The flouting of the maxims of cooperation by Grice, particularly the maxims of quality, relevance, and quantity.
- c. The impact of irony in showing the caricaturists opinions through speech acts, exaggeration and analogy along with the functions of irony.
- d. The significance of the use of rhetorical devices such as the use of symbols, metaphors, and Aristotelian appeals.

## 4. Analysis and Discussion

### 4.1 Caricature 1



[Ben Jennings on the Israel-Hamas war – cartoon | Ben Jennings | The Guardian](#)

### Description

This caricature is drawn by Ben Jennings in 2023 in *The Guardian*. It discusses the current situation in Gaza during the war between Hamas and Israel. In this caricature, there are 4 persons. It looks like a family which is composed of a father, a mother, a son, and a baby. They are gathering around a table with empty plates, and they are hungry waiting to be served. They are staying in the street with no home or roof. In other words, it looks like they are homeless. On the top of their heads, there is a shadow of a missile. The dry land is a symbol for hunger and famine. There is exaggeration in the facial expressions of the family members. They have wide eyes to express astonishment because of the source of the shadow which is a missile. They are sad that they are about to die hungry. The analogy in this caricature is represented in the missile which is presented as a substitute for the food they are waiting for. The message underlying this caricature is the consequence of the current war in Gaza, Palestinians are suffering from famine and killing.

### **Speech Acts**

For the caption “IT LOOKS LIKE WE WON’T BE HUNGRY FOR MUCH LONGER”, the caricaturist uses an assertive speech act because it is based on the description of the situation that they are going to be bombed. Therefore, they are going to die and won’t be hungry anymore.

### **Gricean Maxims**

The caricaturist flouts the maxim of quality and relevance to attract the viewers’ attention to what is happening in Gaza and how the Palestinians are suffering. The maxim of quality is flouted because the semantic meaning of the assertive act is that they are going to have food to eat. However, in reality, they are going to be bombed. Moreover, the flouting of the maxim of relevance is presented in the situation itself as they are going to die so they are not going to be hungry anymore. They have nothing to do except for accepting the situation to die.

### **Irony**

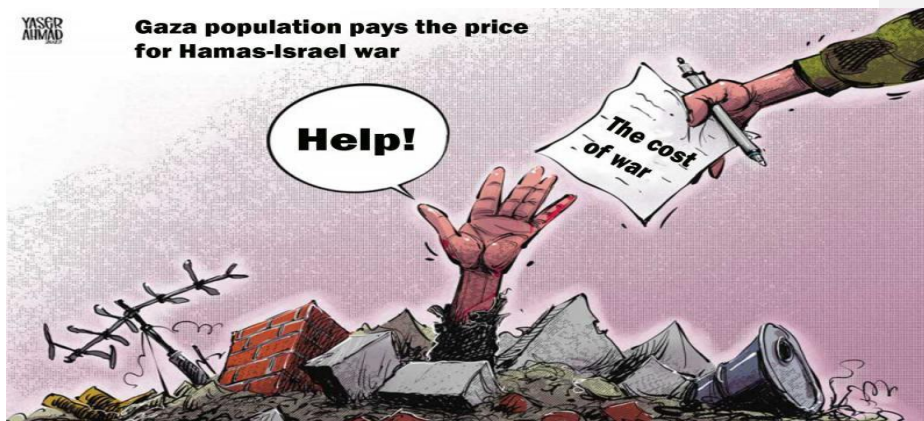


Irony is implied from the whole or the communicative situation. There is a reinforcing irony to express the point of view of the caricaturist which is famine and killing. They got used to the scene of dying hungry and having missiles around them everywhere.

### Rhetorical Devices

The caricaturist has portrayed this caricature for *The Guardian* which is a reputable newspaper. Therefore, he applies the logos as the logical consequence of war is famine and death. He focuses on the pathos to touch the feelings and emotions of the viewers regarding the genocide which is taking place there. In other words, the caricaturist applies pathos to play on the emotions of the viewers to sympathize with the Palestinians and to push on their countries to stop such attacks and genocidal actions.

#### 4.2 Caricature 2



[Gaza population pays the price for Hamas-Israel war | Yasser Ahmed | 2023-10-12 | AW \(theArabweekly.com\)](#)

### Description

This caricature drawn by Yasser Ahmed in October 2023 was published in *The Arab Weekly*. It also describes the current situation in Gaza. It includes a bleeding hand emerging from the rubble and another hand holding a paper and a pen. The surroundings represent a complete destruction of all facilities and means of life in Gaza. In other words, there is no fuel, no electricity, internet, homes, food, or water based on the communicative situation. The paper and pen have more than one

representation. They could be the flyers thrown over the Palestinians in the Gaza strip to evacuate or to be bombed. They could be the peace treaty to release some hostages from both sides – Hamas and Israel. They could represent the Israeli revenge on the Palestinians as a consequence to Hamas' attack on the 7<sup>th</sup> of October 2023. The caricaturist's message is to show that those who are paying the price of war are the civilians.

### **Speech Acts**

In this caricature, caption plays a vital role in understanding the message that caricaturist wants to convey. He uses the directive act in "HELP" in a speech bubble to show that the Palestinians are asking for saving lives, and support to end the war or to cease fire. They are asking the world to interfere and support them. Moreover, the caricaturist uses the assertive act "THE COST OF WAR" to express that if the Palestinians want support, they have to pay the price for the war. They are not going to get help for free; they have to consider the consequences of it. Furthermore, there is another caption "GAZA POPULATION PAYS THE PRICE FOR HAMAS-ISRAEL WAR". It is a declaration to express the fact that the people are dying and suffering from the current situation.

### **Gricean maxims**

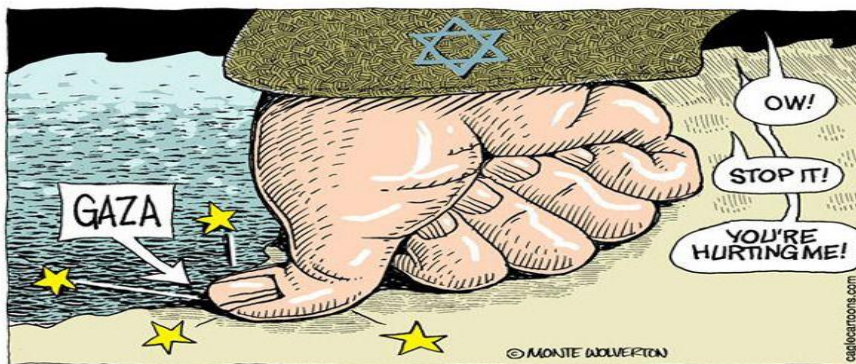
The caricaturist flouts the maxims of quality and quantity in "help" and "the cost of war". Such deviation attracts the viewers' attention to reconsider the situation. It is not directed to Arab because such a war is special for religious purposes. However, it is directed to the rest of the world which asks for freedom, liberation, and humanitarian concepts and actions. They need to support and help Palestinians to have the right of living and to stop the genocidal actions which are happening in Gaza.

### **Rhetorical Devices**

The caricaturist uses exaggeration in more than one aspect. He uses analogy to compare between asking for help and paying for a service. This is significant because according to Israel, this is the natural price for a war which was started by the Palestinians. So, it is normal to suffer from genocide and famine. Moreover, the use

of pathos is significant because the caricaturist built his argument on the emotions of the viewers to persuade them concerning the consequences of any war.

#### 4.3 Caricature 3



#### [Political cartoon Gaza Israel War | The Week](#)

##### **Description**

This caricature is drawn by Monte Wolverton in 2014 and was published in *The Week*. It describes the situation in Gaza ten years ago. It includes a pressing hand on a coast to crush it. This pressing hand has the star of Israel, so it represents Israel. The coast represents Gaza. The caricaturist uses many elements to support his point of view concerning how the civilians in Gaza are crushed by Israeli military.

##### **Speech Acts**

The caricaturist built his argument to support his point of view on the caption. It includes a directive act "STOP IT" because the Palestinians are being bombed, burnt, and killed by Israel. Therefore, they need Israel to stop all acts of destruction and

genocide. Moreover, there is another speech act used to support the message conveyed which is an expressive one “OW” and “YOU’RE HURTING ME”. This act expresses the feelings of Palestinians as a result of all the actions done by Israel.

### **Gricean Maxims**

In this caricature, the caricaturist flouts the maxim of quantity. The significance behind such flouting is that he wants to attract the viewers’ attention to the situation of Gaza. Palestinians are exposed to killing by Israeli forces. Such action is not supposed to be only hurting, but also killing.

### **Irony**

The caricature has “Reinforcing and Assailing” features of irony. Reinforcing feature is found to help the caricaturist express his feelings and opinion on what is happening in Gaza starting from killing, bombing, destruction, genocide, and famine. Moreover, assailing function is presented to focus on the act of crushing Palestinians in Gaza. It expresses the attack done by the Israeli military to get rid of the people in Gaza.

### **Rhetorical Devices**

The caricature has many elements that help the viewer get the message conveyed. These elements include exaggeration and analogy. Exaggeration is found in the big size of the hand. It indicates the harm that the Palestinians are facing. Moreover, the size of Gaza cannot be seen which shows the amount of destruction and killing that resulted in shrinking the spot. Also, the size of the hand presents the power of Israel over Gaza and which is more powerful than the other. On the other hand, there is symbolism which is represented in the hand as well. Such hand symbolizes the weapons to destroy Gaza and the Palestinians. Furthermore, the caricaturist succeeds in expressing his point of view through logos and pathos. For the logos, he portrays the consequences of the Israeli attacks over Gaza through the crushing and squeezing hand. For the pathos, he includes the direct speeches to force the viewers to imagine the situation in Gaza and how the people there are suffering.

## **4.4 Caricature 4**



[Opinion | On the Gaza Protests - The New York Times \(nytimes.com\)](#)

### **Description**

This caricature is portrayed by Partick Chappatte in 2018 published in *The New York Times*. It describes the protests by Palestinians who got kicked out of their country and could not return back to even part of it “Gaza”. The Palestinians are standing in front of Israeli soldiers, who are pretending to protect the borders between them and the Palestinians. On the other hand, the Palestinians are unarmed, carrying protest posters and flags, and walking in front of the wired borders while the soldiers are holding shooting guns directed towards them. The message that the caricaturist wants to convey is that Palestinians are fighting unarmed and asking for their legal rights to return to their country as admitted by the soldiers in “non-violence”.

### **Speech Acts**

The caricaturist uses the directive act “THE NON-VIOLENCE MUST STOP IMMEDIATELY” to indicate that the Palestinians are unarmed, and Israeli soldiers do not want this. The use of the directive verb “must” indicates obligation and that it is mandatory to stop the non-violent protests.

### **Irony**

Reinforcing and provisional features of irony are found. Reinforcing is employed to support the point of view of the caricaturist which is that the owners of the land are fighting unarmed to have their occupied land back. Also, provisional features indicate the hypocrisy of the army and Palestinians' rejection to surrender as they denounce non-violent protests.

### **Rhetoric Devices**

The caricaturist succeeds in conveying his message through exaggeration and stereotypes. Exaggeration is found in the number of both the Palestinians and the soldiers. The Palestinians' number is huge compared to the number of the soldiers

opposing or threatening them. This has two implications. Firstly, the number of Palestinians is huge, and they are the true owners of the land and are peacefully protesting and asking for their legitimate right of return. Secondly, Israeli soldiers are armed and only two of them are threatening the lives of hundreds of Palestinians thanks to the weapons that the soldiers are holding. On the other hand, the caricaturist employs logos and pathos to support his argument. Logos could be used as the viewers are able to predict the consequence of the protests and they know that the soldiers are going to use violence to stop the non-violence. Pathos could be tackled in attracting the viewers' attention to the actual situation in Gaza. The unarmed people, who are asking for the right to return to their homes, are facing armed soldiers that would kill them.

**Statistical Results of the Analysis**

Pragmatic Notions	Frequency	Percentages
Speech acts (7)		
Assertives	2	28.5%
Declarations	1	14%
Directives	3	43.5%
Expressives	1	14%
Flouting of Maxims (5)		
Quality	2	40%
Quantity	2	40%
Relevance	1	20%
Irony (5)		
Reinforcing	3	75%
Assailing	1	25%
Provisional	1	25%
Rhetoric Devices (14)		
Logo	3	21.5%
Pathos	4	28.5%
Exaggeration	3	21.5%
Analogy	2	14%
Symbolism	1	7.25%
Stereotypes	1	7.25%

According to the statistics provided, the selected political caricatures show:

1. The analysis of the selected political caricatures shows that caricatures employ different speech acts. The majority are directives 43.5%.
2. The flouting of the maxims of quality and quantity have the highest percentage of occurrence (40%) each to attract readers attention to the current situation.

3. Reinforcing is the only function of irony with the highest percentage of occurrence (75%) to attract the readers and viewers' attention to imagine and visualize the reality and cruelty of the situation of the Palestinians.
4. The use of rhetorical devices is significant and the highest is exaggeration 21.5% to help the viewers imagine the cruelty of the situation.
5. Finally, most caricaturists persuade their readers using pathos, which appeals to the audience's emotions 28.5%.

## **5. Conclusion**

The analysis shows that the caricaturists succeed in conveying their points of view and their own opinions concerning the situation in Gaza from 2014 till 2023. They applied many linguistic tools to express their ideas such as: The analysis of the selected political caricatures shows that caricatures employ different speech acts, for example, assertives, as in "it looks like we won't be hungry for much longer and the cost of war", expressives as in "ow and you're hurting me", directives as in "help, stop it, and the non-violence must stop immediately", and declarations as in "Gaza population pays the price for Hamas-Israel war". Moreover, the analysis shows the flouting of the maxims of quality, quantity, and relevance to help in proving the arguments of the caricaturists portrayed in the caricatures under study. Furthermore, the use of reinforcing, assailing, and provisional features of irony explains the impact of employing irony in attracting viewers' attention. In addition, the caricaturists use exaggeration and analogy to express their points of view clearly. Finally, most caricaturists persuade their readers using logos and pathos either separately or in pairs to attract their attention, emotions, and predict the consequences of the actions taken.

The analysis could be on more caricatures to express the impact of applying pragmatic tools to caricature analysis with the help of other tools such as inference and intension, and humour. It could be applied to other political events like elections or mems created on social media platforms.



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A Review of

*AI Literacy in K-16 Classrooms*<sup>®</sup>

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This publication offers a comprehensive exploration of AI literacy, presenting a diverse collection of articles and case studies that stimulate both thoughtful reading and robust discussion. Beyond the confines of the educational sphere, the book delves into the multifaceted implications of AI, providing a rich resource for a broad audience.

After completing this book, I've become convinced that AI literacy should be a cornerstone of education, from kindergarten through university. This realization is central to why I've chosen to discuss it today. The title of the book "AI Literacy in K-16 Classrooms" is trying to convince the readers that AI literacy is pivotal for navigating the digital age. It calls for fostering a comprehensive understanding of AI from foundational to advanced levels, to empower individuals to be active participants in shaping the future. The main clear message from the introduction and the conclusion of the book is that cultivating AI proficiency from kindergarteners to university students, equips learners with the skills to contribute to societal progress, economic growth, and personal fulfillment. The message of the book is valuable especially in time that AI technology continues to evolve rapidly.

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<sup>①</sup>*AI Literacy in K-16 Classrooms*, First Edition (Edited by Davy Tsz Kit Ng , Jac Ka Lok Leung Maggie Jiahong Su , Iris Heung Yue Yim Maggie Shen Qiao , Samuel Kai Wah Chu ) ISBN: 978-3-031-18879-4. Book link : <https://doi.org/10.1007/978-3-031-18880-0>

Given the imperative to instill AI literacy across all educational levels, as discussed earlier, the absence of AI curricula in Egyptian media schools, as highlighted by El-Saman (2024), is particularly alarming. This obvious gap in AI education, particularly within universities, necessitates the development of effective teaching strategies that the chapter 13 of the book offers a promising framework for addressing this challenge.

The book started with providing a comprehensive overview of AI literacy and examining the current educational landscape from fundamental AI concepts to practical K-16 classroom applications. Through proposed instructional designs, the authors create a roadmap for educators to equip students with essential AI skills, they offer a comprehensive roadmap for navigating the complexities of AI integration from tool utilization to critical thinking.

Drawing upon a robust foundation of scholarly research, the publication incorporates a comprehensive array of citations from books, journals, and reports. Each constituent article and case study within this volume offers a unique perspective and methodological approach to the multifaceted domain of AI literacy, collectively contributing to a nuanced understanding of critical issues in the field.

The publication is structured into four primary sections: an introductory chapter, followed by three thematic parts. Part One presents four articles that explore the conceptual framework of AI literacy. Part Two offers four chapters dedicated to the integration of AI literacy within K-16 education. Finally, Part Three comprises three articles focused on the role of AI literacy for instructional designers.

Part I: Conceptualizing AI Literacy lays the groundwork for understanding AI literacy, providing essential theoretical underpinnings for subsequent discussions on educational applications. This section establishes a foundational understanding of AI literacy. It begins by introducing key research questions and outlining the book's structure. Subsequent chapters examine the historical context of AI education, differentiating it from AI literacy. The concept of AI literacy is then expanded to encompass its relevance in various life domains, including living, work, learning, and societal contributions. The final chapter provides a comprehensive overview of the current landscape of AI literacy, examining existing frameworks, educational initiatives, and policy developments.

Part III: AI Literacy for Instructional Designers focuses on the role of instructional designers in fostering AI literacy. It emphasizes human-centered design principles, including ethical considerations and the importance of understanding learners' needs and backgrounds. The section also highlights the crucial role of educators in developing AI digital competencies to effectively integrate AI into their teaching practices.

Of particular interest for the subsequent discussion is Part II: K-16 AI Literacy Education. It explores the practical application of AI literacy across different educational levels, examining its implementation in early childhood, primary, secondary and nanoengineering undergrounds education. This section provides insights into the challenges and opportunities of integrating AI literacy into existing curricula and pedagogical practices.

In this way the part addresses the critical question of why AI education should extend beyond computer science disciplines and presents a compelling argument for the universal nature of AI literacy, asserting its foundational importance for all learners. It starts with distinguishing between AI literacy and digital literacy. AI literacy focuses on the harms of AI technology on the moral powers of persons specifically given the timely nature of these harms.

This stance aligns with the increasing consensus that recognizes AI education as an indispensable core competency. Notably, this part emerges at a critical juncture where the academic community grapples with the challenge of establishing a unified framework for AI literacy. Echoing the concerns raised by Long and Magerko (2020), the book acknowledges the significant gap in defining and operationalizing AI literacy competencies.

The part 1 of the book acknowledges the need for tailored content and pedagogical approaches across different educational levels, and emphasizes the importance of introducing AI concepts early in childhood and extending its reach to ensure a comprehensive and inclusive approach to AI literacy. While the compelling case for AI literacy requires no further justification, the article 3 in part 1 explores deeper by outlining four key domains where AI knowledge is essential: AI for Living, or everyday life, the workplace, education, and societal contributions. This comprehensive approach underscores the pervasive influence of AI and its potential to enrich various aspects of human experience.

Regarding AI for Living, the part calls for holistic approach that addresses not only the technical aspects of AI but also its ethical, social, and economic implications. The ubiquitous nature of AI in contemporary society necessitates a universal approach to AI literacy. The book calls educators to prioritize the development of AI competencies.

Under subtitle “AI for workplace”, the book underscores the transformative impact of AI on the contemporary workplace, demanding a workforce equipped with a sophisticated skill set. While concerns about job displacement are legitimate, the potential for AI to catalyze innovation, enhance productivity, and create new opportunities is equally significant. To thrive in this evolving economic landscape, educational institutions must cultivate a workforce characterized by AI literacy, critical thinking, and adaptability. The article necessitates a holistic approach that encompasses not only technical proficiency but also a deep understanding of AI's ethical, social, and economic implications.

Regarding its argument about AI for Societal Good, the article 3 in part 1 underscores AI's potential as a catalyst for addressing global challenges, emphasizing its transformative power across domains such as sustainability, healthcare, accessibility, culture, and humanitarian aid. To harness AI's full potential for social good and align with the UN Sustainable Development Goals. In this area, educational institutions must equip future generations with advanced AI competencies to create a more equitable and sustainable world.

The book acknowledges the significant challenges students encounter when attempting to effectively integrate AI tools into their learning processes. This comes in accordance with researches such as (Vincent-Lancrin & van der Vlies, 2020; Zhang et al., 2021) who consider technological proficiency, effective communication, and collaborative skills as the main obstacles that impede student success. To address these challenges and unlock the full potential of AI in education, the authors suggest the implementation of personalized instruction, intelligent tutoring systems, and adaptive learning environments.

The authors referred to many empirical evidence strongly supports the correlation between AI competency and enhanced learning outcomes. This comes in line with (Hwang et al., 2022) argument that students who possess strong AI skills are

more likely to excel academically, develop critical thinking abilities, and demonstrate increased problem-solving capabilities.

The second part of this article explores the benefits of AI literacy across different educational levels. It begins by outlining why AI education is essential for fostering digital citizenship and improving society. Then, it looks into specific reasons for teaching AI to kindergarteners, primary and secondary students, and non-computer science university students.

The book proposes that early childhood is a prime stage for cultivating AI literacy, given the prevalence of AI-driven toys. By coupling children's innate curiosity, AI literacy can be effortlessly integrated into their learning experiences to foster essential skills.

The article underscores the critical role of AI literacy in primary and secondary education. The book refers to the significant knowledge gap that persists among students. To address this gap, the authors emphasize the imperative of integrating AI ethics and cultivating appropriate mindsets within the curriculum in primary and secondary education. The article added that educators should focus on problem-solving, interaction, and communication skills in relation to AI tools and develop students' ability to critically evaluate, collaborate, and utilize AI ethically. Beyond mere consumption, students should be empowered to become active creators and problem-solvers in the AI domain.

Recognizing the evolving workforce demands, part 1 of the book emphasizes the need for AI literacy among university students for both STEM and non-STEM disciplines. It demands for empowering students to excel in tasks such as translation, image editing, and data analysis. As demonstrated by the success of the "AI for All" curriculum in Hong Kong, which produced initiatives like the AI-powered trash-collecting boat and AI-enhanced scarecrow, this part concludes that AI education can drive innovation and societal impact. To meet the industry's need for AI-proficient graduates, universities should increasingly offer diverse AI programs. The authors point out that the technical skills and applications should be the emphasize of AI curricula to meet industry demands and to align with employer needs through learning. They refer to curriculum about Python, machine learning, robotics, data science, to provide in-demand AI expertise.

The concluding chapters emphasize the need for a holistic approach to AI education. Recognizing the diverse needs of learners and the rapid evolution of technology, the book calls for ongoing research and collaboration among educators, policymakers, and technologists. This book's conclusion aligns perfectly with our perspective that AI literacy is indispensable in today's world.

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## Using Machine Learning in Predicting Social and Religious Tolerance

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**Abstract:** This study aims at highlighting the relationship between a person's value system (or core values) and his(her) tendency to tolerate others who are "different" in race, nationality and/or religion. To achieve its goal, the study uses a *Computational Approach* to analyze and model data from eastern and western values surveys, extract core values from this data using Factor Analysis, calculate a Tolerance Index, and finally predict a person's tolerance level from his (her) set of core values using Machine Learning (Artificial Neural Networks). The main distinctiveness of this research lies in applying machine learning to detect the main cultural values that could be considered as the main determinants of a person's tolerance towards socially and religiously different others. The results show that the most important core values in determining social and religious tolerance are *Humanism*, *Conservatism*, and *Wisdom*, resp. These results could be validated since they well match the theoretical background in the field of Toleration.

**Keywords:** Tolerance, Religious Tolerance, Machine Learning, Artificial Intelligence, Culture, Value System.

### 1. Introduction

Whether a virtue or an attitude, tolerance is a normative concept that relates to the cultural norms in a society (Forst, 2013). It includes acceptance of and respect for people with different cultural, religious, racial and political backgrounds accompanied by allowing them to maintain and express their values, beliefs and culture (Moore & Walker, 2011).

Tolerance occurs only when there is diversity because it is only when confronting diversity that our acceptance of others is truly tested (Witenberg, 2002). According to

the source of diversity, tolerance is viewed as religious, political, racial, social, cultural, etc. Moreover, tolerance is related to and highly dependent on the value system and cultural norms in each society.

Values are general orientations toward basic aspects of life. They constitute abstract principles that guide behavior (Kluckhohn, 1951). Lying at the core of any culture (Hofstede, 2003), values are implicit and remain invisible till they become evident from observed behavior. Hence, culture manifests itself in explicit elements, but at its core lies *a value system* that characterizes this culture. Individuals carrying a specific culture usually tend to classify any phenomena into good or bad and right or wrong in a particular way that reflects their cultural orientation. Values are also defined as “an organized set of preferential standards that are used in making selections of objections and actions, resolving conflicts, invoking social sanctions, and coping with needs or claims for social and psychological defenses of choice made or proposed” (Rokeach, 1979, p. 20).

“A *Value System*, then, gives stability to a culture. It justifies its bearers' actions or thoughts and re-assures them that they are behaving as their society expects. Behavior significantly deviating from the norms established by value system enacted in the society will be met by threats and punishments. On the other hand, behavior conforming to the norms will be rewarded in a variety of ways. Analytically, a value system plays an important role in preserving a society” (Tawadros A. , 2012, p. 41).

This study focuses on the main *cultural stimuli* of tolerance. Hence, the main *research questions* are as follows:

- Can machine learning be used to predict tolerance level of survey respondents based on their responses to other value-survey items?
- What are the *core values* underlying a specific culture that have the most significant effect on a person's tendency to tolerate other people who are different in religion, nationality and/or race?

Moreover, the research hypotheses are as follows:

- Hypothesis (I): Machine Learning techniques can be used to predict tolerance level of respondents based on their core values.

- Hypothesis (II): There are ties between some core values underlying a person's culture and his/her tendency to tolerate different others.

To answer these questions and test the research hypotheses, the researcher used the following *research methods*:

- Conduct an empirical study on a sample of 360 persons, who respond to a designed questionnaire that merges Schwartz's Value Survey (as a western value survey), with Chinese Value Survey (as an eastern value survey) and some selected questions from the World Value Survey.
- Use a *Computational Approach* to analyze and model data, extract core values using Factor Analysis, and calculate a Tolerance Index.
- Use Machine Learning (Artificial Neural Networks) to predict a person's tolerance level from his (her) set of core values.

## 2. Literature Review

Values are central to the organization of people's social and personal lives, scientific research in the social sciences fields view them as influencing both attitudes and behaviors. This view was behind the motivation for many scholars in different fields to classify values and study their effect on the economic, social, or political behaviors of humans.

Researchers such as Rokeach (1973), Hofstede (1984) and Schwartz (2006) tend to measure and extract basic human values using surveys. Schwartz (2006) developed a 21-statements survey, and identified ten distinct value orientations (basic human values) from the responses to these statements, namely: 1. Self-Direction, 2. Stimulation, 3. Hedonism, 4. Achievement, 5. Power, 6. Security, 7. Conformity, 8. Tradition, 9. Benevolence, 10. Universalism.

On the Eastern side, the Chinese Value Survey (CVS), developed by Bond and his colleagues, complements survey instruments constructed by western researchers to tap concerns fundamental to the eastern worldview. Based on the claim that the instruments used in cross-cultural research are all western, and hence they may themselves be culture bound, therefore, the CVS was designed to be used with people

living in geographical regions where Eastern life values are prominent (Hofstede & Bond, 1984).

To develop this “Eastern” values survey, Bond asked several Chinese social scientists to prepare in Chinese a list of at least 10 fundamental and basic values for Chinese people. This procedure yielded 40 basic values that were translated to English afterwards. These 40 values are: 1. Filial piety (Obedience to parents, respect for parents, honoring ancestors, financial support of parents), 2. Industry (Working hard), 3. Tolerance of others, 4. Harmony with others, 5. Humbleness, 6. Loyalty to superiors, 7. Observation of rites and rituals, 8. Reciprocation of greetings and favors, gifts, 9. Kindness (Forgiveness, compassion), 10. Knowledge (Education), 11. Solidarity with others, 12. Moderation, following the middle way, 13. Self-cultivation, 14. Ordering relationships by status and observing this order, 15. Sense of righteousness, 16. Benevolent authority, 17. Non-competitiveness, 18. Personal steadiness and stability, 19. Resistance to corruption, 20. Patriotism, 21. Sincerity, 22. Keeping oneself disinterested and pure, 23. Thrift, 24. Persistence (Perseverance), 25. Patience, 26. Repayment of both the good and the evil that another person has caused you, 27. A sense of cultural superiority, 28. Adaptability, 29. Prudence (Carefulness), 30. Trustworthiness, 31. Having a sense of shame, 32. Courtesy, 33. Contentedness with one’s position in life, 34. Being conservative, 35. Protecting your “face”, 36. A close, intimate friend, 37. Chastity in women, 38. Having few desires, 39. Respect for tradition, 40. Wealth. The CVS was then developed by asking respondents to indicate on a 9-point scale the level of importance of each of these values was to them personally (Tawadros A. S., 2023).

Tolerance indicators are also calculated from surveys. Political tolerance, for instance, is measured through questions like: Should the most disliked group be allowed to hold public demonstrations? (Stouffer, 1955). However, Social tolerance is usually measured through the World Value Survey (WVS) data, since it includes several items about attitudes towards people who are different than oneself in one or more aspects. This includes the classical ‘neighbor question’, where respondents are asked to say whether they would object to have people who are different than themselves in some respects as neighbors (Widmalm & Oskarsson, 2008). In this research, a closer

look has been made at attitudes towards immigrants and people with different religion and/or race.

Several studies highlighted the interlinkages between values and tolerance. For instance, Marina Marchenoka examined the problem of tolerance theoretically with respect to humanism in modern society and discovered interconnections between them (Marchenoka, 2017). Another study conducted a qualitative research using focus group discussions and in-depth interviews with 21 participants from Muslim families who have family members of different religions in Tana Toraja, Indonesia, to study the effect of applying moderate religious values and local wisdom on tolerance (Pajarianto, Pribadi, & Sari, 2022).

As a branch of Artificial Intelligence, machine learning proved to be effective in determining patterns in data, classification, and prediction. Inspired by human brain neural structure, Artificial Neural Networks (ANNs) become one of the most powerful tools in machine learning that can be used in a wide range of tasks. ANNs are biologically inspired computational models that are used to mimic the human brain in the learning process. Among the various types of ANNs, the Multi-Layer Perceptron (MLPs) are the most used for a wide variety of problems and research fields. MLPs are based on supervised learning process.

Machine learning techniques have also enabled innovative ways to conduct cross-cultural research to study attitudes of people from different cultures. Examples include – among others – studying the association between colors and emotions (Jonaskaite, et al., 2019); conducting machine learning analysis of dozens of languages at Princeton University, which reveals that the meaning of words is significantly shaped by culture, history and geography, this finding held true even for some concepts that would seem to be universal, such as emotions, landscape features and body parts (Thompson, Roberts, & Lupyan, 2020); detecting sexual orientation from faces by extracting facial features from more than 35,326 faces using neural networks (Wang & Kosinski, 2018); trained a deep-learning model to predict whether or not World Values Survey respondents perceived unethical behaviors as justifiable, on the basis of their responses to 708 other items. The model identified optimism about the future of humanity as one of the top predictors of unethicality (Sheetal, Feng, & Savani, 2020).

It could be concluded from this literature review that although there is a wide range of research that discussed the cultural stimuli to tolerance, most of them used a qualitative analysis and/or a theoretical approach. Moreover, although machine learning and AI techniques have been widely used in cross-cultural, psychological and behavioral research, it is scarce to find studies that used these techniques in predicting tolerance based on cultural traits or core values.

Hence, the significance and distinctiveness of this study lies in applying machine learning to predict religious and social tolerance from core values, i.e., to computationally and empirically test the interlinkages between core human values and tolerance.

### **3. Methodology**

#### **3.1. The Extraction of Focal (Core) Values**

Focal Values are those core values about which numerous values do cluster. These core values are inferable from groupings of values, and they are used to justify and explain less-central values (Albert, 1956). The researcher designed a questionnaire of (101) items, as in Appendix (A), that mixes:

- Schwartz's value survey (21 statements),
- with CVS (40 values), and
- some selected items from the WVS (40 items).

The survey was translated into Arabic by the researcher and was conducted on a sample of 360 university students in Egypt. The sample included both genders (male and female) from different areas in Egypt with different educational fields.

To extract the principal core values governing respondents' culture, the researcher employed an exploratory Principal Components Factor Analysis for each of the following survey items:

- The 40 items (values) of CVS.
- The 21 statements of Schwartz Survey.

Based on the results of the two principal component analyses, we have two sets of core values extracted from the two sets of questions, which can be compared and analyzed.

### 3.2. Predicting Tolerance

To calculate a Toleration Index from selected questions from the WVS, the researcher employed the concept of applying grid/group cultural analysis to the WVS conducted by Chai, Liu and Kim (2009). They applied the grid/group analysis introduced by Mary Douglas (1982) on a selected set of items from the WVS and classified the grid/group properties for each individual question whether it is 'high' or 'low' (Chai, Liu, & Kim, 2009).

Employing the same concept to tolerance, the researcher classified 10 items from the WVS whether they indicate 'high' or 'low' in tolerance, as shown in Table (1).

The Toleration Index (TOL) is then calculated from the normalized values of these ten items' data as shown in the following equation:

$$\text{TOL} = \mathbf{V016} + \mathbf{V106} + \mathbf{V107} + (1 - \mathbf{V037}) + (1 - \mathbf{V039}) + (1 - \mathbf{V041}) + \mathbf{V154} + (1 - \mathbf{V155}) + (1 - \mathbf{V156}) + (1 - \mathbf{V210})$$

Eq (1)

The calculated Toleration Index takes a value that ranges from zero, which means no toleration at all, up to ten, which means complete toleration.

Finally, Artificial Neural Networks (ANNs) are used to test whether we can predict respondent's toleration level if we know their core values extracted from CVS and Schwartz items or not.

Items		Toleration	
		High	Low
1.	V016. Tolerance and respect for others	Yes (1)	No (0)
2.	V106. Trust: People of other religions	Yes (1)	No (0)
3.	V107. Trust: People of other nationality	Yes (1)	No (0)
4.	V037. People you would not like to have as neighbors [People of a different race]	No (0)	Yes (1)
5.	V039. People you would not like to have as neighbors [Immigrants]	No (0)	Yes (1)
6.	V041. People you would not like to have as neighbors [People of a different religion]	No (0)	Yes (1)
7.	V154. Only acceptable religion is mine	Strongly Disagree (1)	Strongly Agree (0)
8.	V155. All religions should be taught in public schools	Strongly Agree (0)	Strongly Disagree (1)
9.	V156. People from other religions are probably as moral as us	Strongly Agree (0)	Strongly Disagree (1)
10.	V210. Violence against other people	Unjustifiable (0)	Justifiable (1)

Table (1): Toleration Index Calculation Matrix

#### 4. Results

##### 4.1. The Extraction of Focal (Core) Values

###### 4.1.1. Schwartz Values:

The data from the twenty-one items of Schwartz Survey are analyzed using principal component analysis which was rotated orthogonally using Varimax rotation. The results showed Six factors with eigenvector greater than one, accounting for 52.5 percent of the variance. A scree test was conducted to estimate the minimum number of distinct factors, as shown in Figure (1). Five factors were evident from the plot. A varimax rotation of five factors was performed, and all items had absolute loadings greater than 0.40. Table (2) shows the five extracted factors, together with the items that lie under each factor or component [**Note:** Items written in red with (-) sign indicates that these items have negative factor loading].



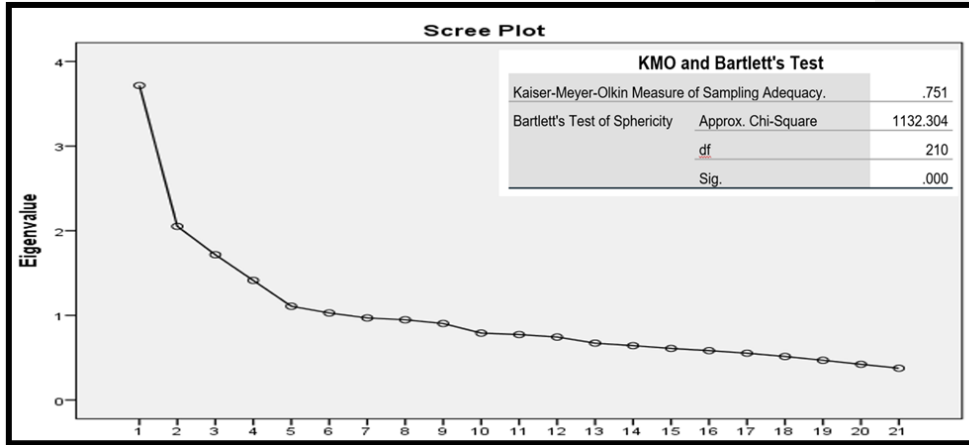


Figure (1): Scree Plot of Schwartz Survey Items

Therefore, the 21 statements of Schwartz Values Survey produced five distinct and statistically independent Core values as shown in Table (2).

F_SH_1: Altruism / Humanism	F_SH_2: Individualism
<b>Benevolence, Universalism, Social Security</b>	<b>Self-Direction, Stimulation</b>
<p><b>G2 (-)</b> It is important to him to be rich. He wants to have a lot of money and expensive things.</p> <p><b>G3</b> He thinks it is important that every person in the world should be treated equally. He believes everyone should have equal opportunities in life.</p> <p><b>G8</b> It is important to him to listen to people who are different from him. Even when he disagrees with them, he still wants to understand them.</p> <p><b>G12</b> It's very important to him to help the people around him. He wants to care for their well-being.</p> <p><b>G14</b> It is important to him that the government ensures his safety against all threats. He wants the state to be strong so it can defend its citizens.</p> <p><b>G18</b> It is important to him to be loyal to his</p>	<p><b>G1</b> Thinking up new ideas and being creative is important to him. He likes to do things in his own original way.</p> <p><b>G6</b> He likes surprises and is always looking for new things to do. He thinks it is important to do lots of different things in life.</p> <p><b>G11</b> It is important to him to make his own decisions about what he does. He likes to be free and not depend on others.</p> <p><b>G15</b> He looks for adventures and likes to take risks. He wants to have an exciting life.</p>

<p>friends. He wants to devote himself to people close to him.</p> <p><b>G19</b> He strongly believes that people should care for nature. Looking after the environment is important to him.</p>	
<b>F_SH_3: Self-Development</b>	<b>F_SH_4: Conservatism</b>
<b>Achievement, Power</b>	<b>Conformity, Tradition</b>
<p><b>G2</b> It is important to him to be rich. He wants to have a lot of money and expensive things.</p> <p><b>G4</b> It's important to him to show his abilities. He wants people to admire what he does.</p> <p><b>G9 (-)</b> It is important to him to be humble and modest. He tries not to draw attention to himself.</p> <p><b>G13</b> Being very successful is important to him. He hopes people will recognize his achievements.</p>	<p><b>G7</b> He believes that people should do what they are told. He thinks people should follow rules at all times, even when no-one is watching.</p> <p><b>G16</b> It is important to him always to behave properly. He wants to avoid doing anything people would say is wrong.</p> <p><b>G17</b> It is important to him to get respect from others. He wants people to do what he says.</p> <p><b>G20</b> Tradition is important to him. He tries to follow the customs handed down by his religion or his family.</p>
<b>F_SH_5: Self-Indulgence</b>	
<b>Hedonism, Personal Security</b>	
<p><b>G5</b> It is important to him to live in secure surroundings. He avoids anything that might endanger his safety.</p> <p><b>G10</b> Having a good time is important to him. He likes to “spoil” himself.</p> <p><b>G21</b> He seeks every chance he can to have fun. It is important to him to do things that give him pleasure.</p>	

Table (2): The Five Factors or Components of Schwartz Survey Items.

**4.1.2. Chinese Values Survey (CVS):**

The data from the forty basic values of the CVS were also analyzed using principal component analysis which was rotated orthogonally using Varimax rotation. The results showed Twelve factors with eigenvector greater than one, accounting for 66.1 percent of the variance. A scree test was conducted to estimate the minimum number of distinct factors, as shown in Figure (2). Four factors were clearly evident from the

plot and the fifth seemed possible. A varimax rotation of five factors was performed, and almost all items had absolute loadings greater than 0.40. Table (3) shows the five extracted factors, together with the items that lie under each factor or component.

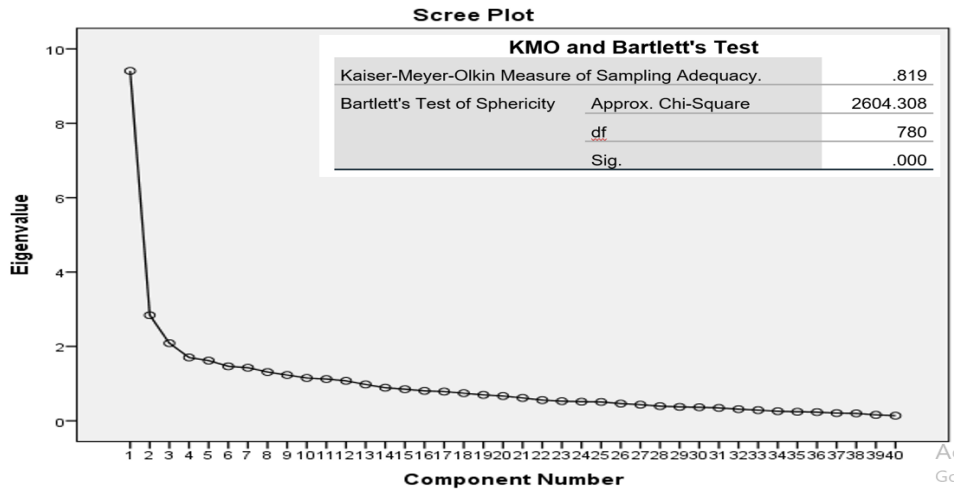


Figure (2): Scree Plot of Chinese Value Survey Items

<b>F_CVS_1: Altruism/Humanism (Jen)</b>	<b>F_CVS_2: Righteousness (Yi)</b>
1. Filial piety, 2. Industry (Working hard), 3. Tolerance of others, 4. Harmony with others, 5. Humbleness, 9. Kindness (Forgiveness, compassion), 11. Solidarity with others, 13. Self-cultivation, 21. Sincerity, 31. Having a sense of shame, 36. A close, intimate friend.	10. Knowledge (Education), 15. Sense of righteousness, 18. Personal steadiness and stability, 19. Resistance to corruption, 24. Persistence (Perseverance), 25. Patience, 27. A sense of cultural superiority, 28. Adaptability, 30. Trustworthiness, 33. Contentedness with one's position in life, 37. Chastity in women.
<b>F_CVS_3: Wisdom</b>	<b>F_CVS_4: Conservatism</b>
12. Moderation, following the middle way, 20. Patriotism, 22. Keeping oneself disinterested and pure, 23. Thrift, 29. Prudence.	7. Observation of rites and rituals, 8. Reciprocation of greetings and favors, gifts, 35. Protecting your "face", 39. Respect for tradition.
<b>F_CVS_5: Social Order (Li)</b>	
6. Loyalty to superiors, 14. Ordering relationships by status and observing this order, 16. Benevolent authority, 26. Repayment of both the good and the evil that another person has caused you, 32. Courtesy, 34. Being conservative, 38. Having few desires,	

40. Wealth.

Table (3): The Five Factors or Components of CVS Items.

**4.2. Machine Learning**

**A) Cluster Analysis:**

After calculating the pre-defined Toleration index (Eq. 1), a two-step cluster analysis is performed using IBM SPSS<sup>①</sup> to classify respondents or cases based on their tolerance level. Two clusters are detected; Cluster 1 – mid-tolerant respondents – with average toleration level equals to 6.2 comprises 49.7% of the sample, and Cluster 2 – highly-tolerant respondents – with average toleration level equals to 7.7 comprises 50.3% of the sample.

Based on Silhouette measure of cohesion and separation, the quality of the clusters proved to be good, as shown in Figure (3). Hence, each case is classified based on the toleration level to Cluster1 or Cluster2. Now, an ANN is used to predict the cluster to which a case belongs based on the values of the 10 core values extracted from CVS and Schwartz Values Survey.

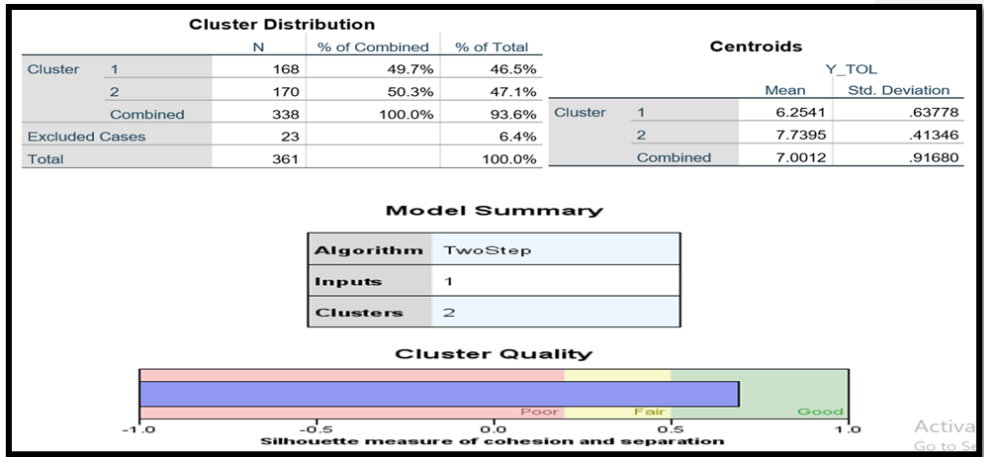


Figure (3): Toleration Index Cluster Analysis Output

① IBM Corp. Released 2021. IBM SPSS Statistics for Macintosh, Version 28.0. Armonk, NY: IBM Corp.

**B) Artificial Neural Network Model-1:**

The data are divided into a training set (~70%) and a testing set (~30%), and then a Multi-Layer Perceptron (MLP) model is used using SPSS. The resulting ANN is constituted of an input layer, 1 hidden layer, and an output layer; the hidden layer contains 4 units excluding the bias unit. The Hyperbolic Tangent function is used as an activation function for the hidden layer, and a SoftMax function is used as an activation function for the output layer. Figure (4) shows the resulting ANN.

The results show that around 73% of the predictions of toleration clusters using this ANN model were correct. Figure (5) shows the Receiver Operating Characteristic (ROC) Curve, in which the Area Under the Curve (AUC) equals 0.685. Therefore, we can claim that the resulting ANN model can be used fairly well to predict toleration clusters from the 10 core values extracted from the two values' surveys. Finally, the most important core values in predicting toleration, as shown in Figure (6), are: F\_CSV\_4, F\_SCH\_4, F\_CVS\_1, F\_SCH\_2, F\_CVS\_3, resp.

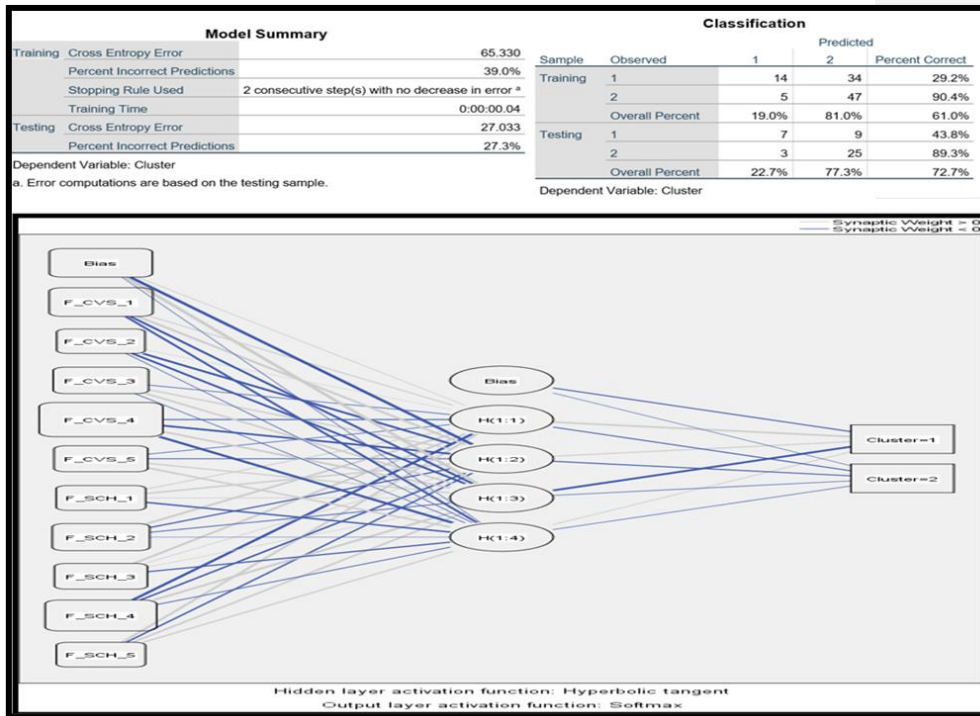


Figure (4): The ANN for Predicting Toleration from 10 core values.

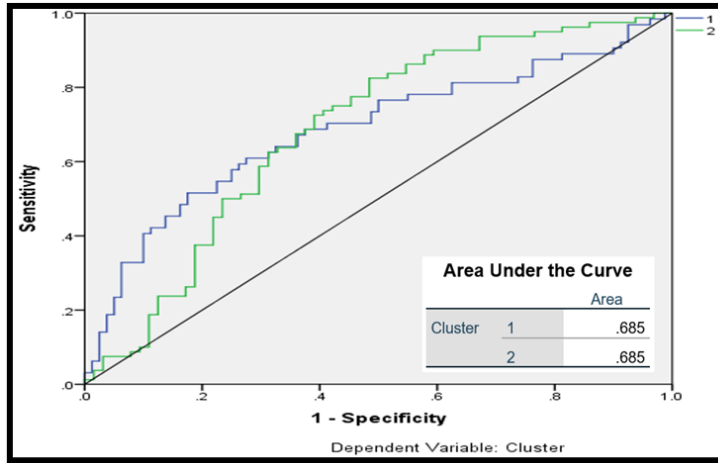


Figure (5): The ROC Curve of the ANN in Figure (4).

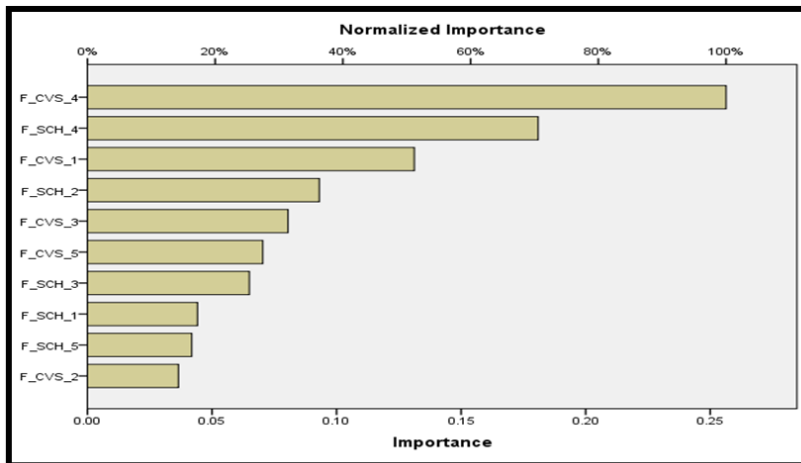


Figure (6): The most important Core Values in predicting Toleration.

**C) Artificial Neural Network Model-2 (Selected Core Values):**

Based on Model-1 results, the researcher tried to fit another ANN model with only the pre-defined five core values. The resulting ANN is constituted of an input layer, 1 hidden layer, and an output layer; the hidden layer contains 4 units excluding the bias unit. The Hyperbolic Tangent function is used as an activation function for the hidden layer, and a SoftMax function is used as an activation function for the output layer. Figure (7) shows the resulting ANN.

The results show that, using the new ANN model, around 74.5% of the predictions of toleration clusters were correct. Figure (8) shows the ROC, in which the Area Under the Curve (AUC) equals 0.84.

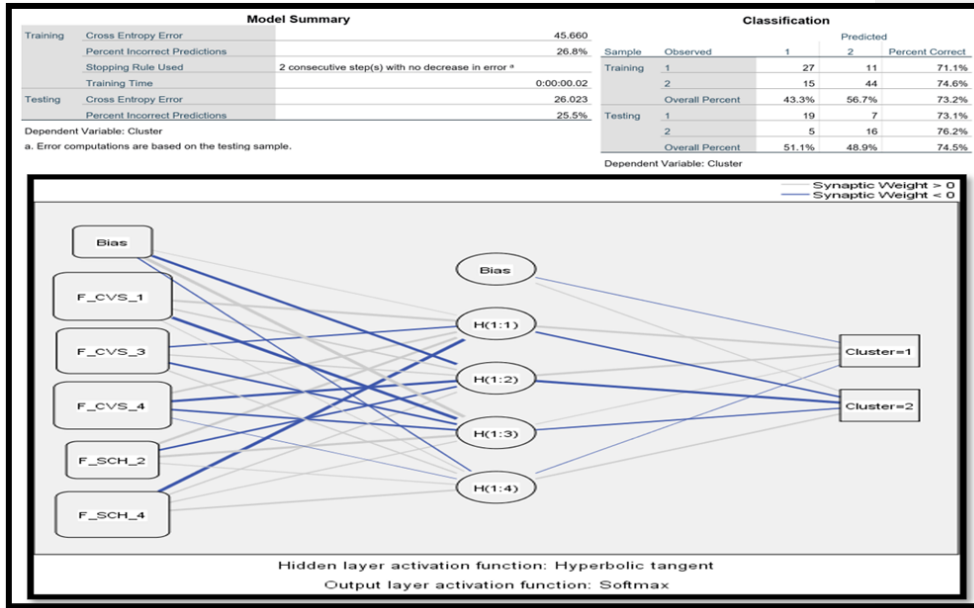


Figure (7): The ANN for Predicting Toleration from 5 core values.

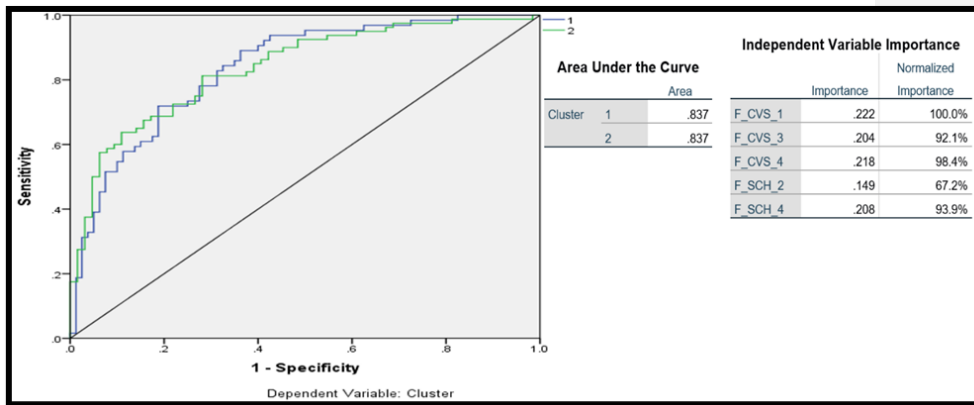


Figure (8): The ROC Curve of the ANN in Figure (7) and Variable Importance

Based on these results, we can claim that the resulting modified ANN model can be used very well to predict toleration clusters from the 5 core values extracted from the two values' surveys.

Hence, Hypothesis (I): Machine Learning techniques can be used to predict tolerance level of respondents based on their core values, is accepted.

Finally, the most significant core values in predicting toleration are F\_CVS\_1: Humanism (100%), F\_CSV\_4: Chinese Conservatism (98%), F\_SCH\_4: Schwartz Conservatism (94%), F\_CVS\_3: Wisdom (Chih) (92%), and F\_SCH\_2: Individualism (67%), resp.

This result aligns with the findings of previous theoretical studies in literature, among whom: Widmalm and Oskarsson (2008), Marchenoka (2017), and Pajariato, Pribadi and Sari (2022), which gives a proper validation for the ANN model developed in this study.

Hence, Hypothesis (II): There are ties between some core values underlying a person's culture and his/her tendency to tolerate different others, is accepted.

## 5. Conclusion

Although machine learning plays a significant role in providing insights, identifying patterns, and facilitating informed decision-making in the context of political tolerance, its usage has been limited to fields like sentiment speech/rhetoric analysis, social media monitoring, predictive analytics for electoral outcomes, early warning systems for conflict prevention, policy impact assessment.

The main distinctiveness of this research lies in applying machine learning to detect the main cultural values that could be considered as the main determinants of a person's tolerance towards socially and religiously different others.

Using machine learning techniques, the researcher reached an ANN Model that can train the computer to predict tolerance level of an individual from the set of core values he/she believes in. The model showed that the most important core values in determining Tolerance are *Humanism (Jen)*, *Conservatism*, and *Wisdom (Chih)*, resp.



Therefore, it could be claimed that these core values alone can be used to assess a person's tolerance level.

In Chinese philosophy, the main concept of Jen (wren) refers to benevolence, love, altruism, kindness, perfect virtue, goodness, human-heartedness, and humanity (Chong, 1999). Generally, it refers to the ethics that makes a person distinctively Human like filial piety, forgiveness, harmony with others, kindness, having a close friend, cultivation, etc. Moreover, Chih refers to moral wisdom; the source of this virtue is knowledge of right and wrong. It includes Moderation, following the middle way, Patriotism, Keeping oneself disinterested and pure, Thrift, and Prudence.

Conservatism refers to restraining one's behavior to comply with the norms and traditions governing each society. This includes basic values like preserving rituals, respect for tradition, the reciprocation of gifts, protecting one's face, the need for belonging to a society or community and being respected inside this local community.

The results of the computational analysis made in this study align well with the findings of most theoretical research in the literature of tolerance and its linkages with basic values as previously discussed in section 2. This leads to accepting research hypotheses regarding the effectiveness and validity of using Machine Learning techniques in studying the cultural stimuli for tolerance.

It could, then, be concluded that enforcing moral, humane and altruistic values in a society that preserves norms and traditions can guarantee high levels of tolerance in this society.

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**Appendix**

**The Applied Questionnaire**

**Here is a list of qualities that children can be encouraged to learn at home. Which, if any, do you consider to be especially important? Please choose up to five!**

S	Quality	S	Quality
V12.	Independence	V18.	Determination, perseverance
V13.	Hard work	V19.	Religious faith
V14.	Feeling of responsibility	V20.	Unselfishness <b>“Generosity”</b>
V15.	Imagination	V21.	Obedience
V16.	Tolerance and respect for other people	V22.	Self-expression
V17.	Thrift, saving money and things		

**Please select any group of people that you would not like to have as neighbors**

S	Group	S	Group
V36.	People with criminal record	V41.	People of a different religion
V37.	People of a different race	V42.	Heavy drinkers
V39.	Immigrants/foreign workers	V43.	Extremists
V40.	Homosexuals	V44.	People who speak a different language

**How much do you trust people from each of these groups? [1 = Trust completely, 2 = Trust somewhat, 3 = Do not trust very much, 4 = Do not trust at all].**

V102	Your family	1	2	3	4
V103	Your neighborhood	1	2	3	4
V104	People you know personally	1	2	3	4
V105	People you meet for the first time	1	2	3	4
V106	People of another religion	1	2	3	4
V107	People of another nationality	1	2	3	4

**How strongly you agree or disagree with each of the following statements? Please circle one answer in each line across [1 = strongly agree, 2 = agree, 3 = undecided, 4 = disagree, 5 = strongly disagree].**

V153	Whenever science and religion conflict, <i>religion</i> is always right.	1	2	3	4	5
V154	The only acceptable religion is my religion.	1	2	3	4	5
V155	All religions should be taught in our public schools.	1	2	3	4	5
V156	People who belong to different religions are probably just as moral as those who belong to mine.	1	2	3	4	5

**For each of the following actions, please detect whether you think it can always be justified, never be justified, or something in between [1 = Never justifiable, and 10 = Always justifiable].**

V200.	Stealing property	1	2	3	4	5	6	7	8	9	10
V201.	Cheating on taxes if you have a chance	1	2	3	4	5	6	7	8	9	10
V202.	Someone accepting a bribe in the course of their duties	1	2	3	4	5	6	7	8	9	10
V203.	Homosexuality	1	2	3	4	5	6	7	8	9	10
V204.	Abortion	1	2	3	4	5	6	7	8	9	10
V205.	Divorce	1	2	3	4	5	6	7	8	9	10
V206.	Sex before marriage	1	2	3	4	5	6	7	8	9	10
V207.	Suicide	1	2	3	4	5	6	7	8	9	10

V208	A man who beats his wife	1	2	3	4	5	6	7	8	9	10
V209	Parents who beat their children	1	2	3	4	5	6	7	8	9	10
V210	Violence against other people	1	2	3	4	5	6	7	8	9	10

**Please read each description and think about how much this person is or is not like you. Circle one answer in each line across: [1 = very much like me, 2 = like me, 3 = somewhat like me, 4 = a little like me, 5 = not like me at all].**

<b>G1</b> Thinking up new ideas and being creative is important to him. He likes to do things in his own original way.	1	2	3	4	5
<b>G2</b> It is important to him to be rich. He wants to have a lot of money and expensive things.	1	2	3	4	5
<b>G3</b> He thinks it is important that every person in the world should be treated equally. He believes everyone should have equal opportunities in life.	1	2	3	4	5
<b>G4</b> It's important to him to show his abilities. He wants people to admire what he does.	1	2	3	4	5
<b>G5</b> It is important to him to live in secure surroundings. He avoids anything that might endanger his safety.	1	2	3	4	5
<b>G6</b> He likes surprises and is always looking for new things to do. He thinks it is important to do lots of different things in life.	1	2	3	4	5
<b>G7</b> He believes that people should do what they are told. He thinks people should follow rules at all times, even when no-one is watching.	1	2	3	4	5
<b>G8</b> It is important to him to listen to people who are different from him. Even when he disagrees with them, he still wants to understand them.	1	2	3	4	5
<b>G9</b> It is important to him to be humble and modest. He tries not to draw attention to himself.	1	2	3	4	5
<b>G10</b> Having a good time is important to him. He likes to "spoil" himself.	1	2	3	4	5
<b>G11</b> It is important to him to make his own decisions about what he does. He likes to be free and not depend on others.	1	2	3	4	5
<b>G12</b> It's very important to him to help the people around him. He wants to care for their well-being.	1	2	3	4	5
<b>G13</b> Being very successful is important to him. He hopes people will recognise his achievements.	1	2	3	4	5

<b>G14</b> It is important to him that the government ensures his safety against all threats. He wants the state to be strong so it can defend its citizens.	1	2	3	4	5
<b>G15</b> He looks for adventures and likes to take risks. He wants to have an exciting life.	1	2	3	4	5
<b>G16</b> It is important to him always to behave properly. He wants to avoid doing anything people would say is wrong.	1	2	3	4	5
<b>G17</b> It is important to him to get respect from others. He wants people to do what he says.	1	2	3	4	5
<b>G18</b> It is important to him to be loyal to his friends. He wants to devote himself to people close to him.	1	2	3	4	5
<b>G19</b> He strongly believes that people should care for nature. Looking after the environment is important to him.	1	2	3	4	5
<b>G20</b> Tradition is important to him. He tries to follow the customs handed down by his religion or his family.	1	2	3	4	5
<b>G21</b> He seeks every chance he can to have fun. It is important to him to do things that give him pleasure.	1	2	3	4	5

**Imagine an Importance Scale that varies from 1 to a maximum of 10. (1) stands for “of no importance to me at all, and (10) stands for “of supreme importance to me.” Give one number to each item below to express the importance of that item to you personally.**

1. Filial piety (Obedience to parents, respect for parents, honoring ancestors, financial support of parents)	2. Industry (Working hard)	3. Tolerance of others	4. Harmony with others	5. Humbleness
6. Loyalty to superiors	7. Observation of rites and rituals	8. Reciprocation of greetings and favors, gifts	9. Kindness (Forgiveness, compassion)	10. Knowledge (Education)
11. Solidarity	12. Moderation, following the	13. Self-	14. Ordering relationships	15. Sense of



with others	middle way	cultivation	by status and observing this order	righteousness
16. Benevolent authority	17. Non-competitiveness	18. Personal steadiness and stability	19. Resistance to corruption	20. Patriotism
21. Sincerity	22. Keeping oneself disinterested and pure	23. Thrift	24. Persistence (Perseverance)	25. Patience
26. Repayment of both the good and the evil that another person has caused you	27. A sense of cultural superiority	28. Adaptability	29. Prudence (Carefulness)	30. Trustworthiness
31. Having a sense of shame	32. Courtesy	33. Contentedness with one's position in life	34. Being conservative	35. Protecting your "face"
36. A close, intimate friend	37. Chastity in women	38. Having few desires	39. Respect for tradition	40. Wealth

## **The Proximization of Threat in Anti-Plastic Discourse: A Linguistic Analysis**

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**Abstract:** Plastic pollution is a serious environmental issue that constitutes a grave threat to life on Planet Earth. Due to its durability and versatility, plastic has become part and parcel of every aspect of our lives, revolutionizing several fields like medicine, technology and various industrial sectors. The problem with plastic is that it does not readily decompose, which results in the accumulation of plastic litter in terrestrial areas as well as on sea and ocean floors where it degrades very slowly into smaller particles called “microplastics”, causing the death of many marine creatures through ingestion, suffocation or entanglement. The present paper presents a qualitative and quantitative linguistic analysis of a Ted Talk about the grave consequences of plastic pollution delivered by Patricia Villarrubia-Gómez, a researcher and PhD candidate who is concerned with the environmental impact of plastic pollution. Using the proximization theory proposed by Cap (2013), the paper aims to analyze the lexico-grammatical items enacting the categories of proximization. The analysis reveals that the speaker uses spatial, temporal and axiological proximization in order to draw the threat of plastic pollution closer to her audience in an attempt to solicit their approval of the preventive measures she proposes to neutralize the negative effects of plastic pollution.

**Key Words:** Plastic Pollution, Proximization Theory, Spatial Proximization, Temporal Proximization, Axiological Proximization

### **1. Introduction:**

Plastic pollution is a most pressing environmental issue that constitutes a serious threat to life on Earth. Horrifying amounts of plastic litter are now covering large parts of land as well as sea and ocean floors. The problem is that plastic is now part

and parcel of our lives. Due to its durability and versatility, plastic has revolutionized various fields like medicine and technology. It is used in the manufacturing of medical devices, technological devices, toys, food wrapper, plastic bottles, etc. Hence, plastic has become almost indispensable.

The main problem with plastic is that it does not readily decompose; it needs years and years to degrade, so it accumulates in terrestrial areas and on sea and ocean floors. The amount of plastic that is dumped into landfills and waterbodies is gigantic, and with the passage of time, plastic degrades into smaller particles called microplastics found in the air we breathe, the water we drink and the food we eat. In the marine environment, plastic poses a major threat to marine creatures, causing the death of a big number of them through ingestion, suffocation or entanglement. Plastic, indeed, is a serious threat to life on Earth.

Using the proximization theory proposed by Cap (2013a), the present study aims to analyze the proximization of the threat of plastic pollution in a Ted Talk delivered by Patricia Villarrubia-Gómez, a researcher and PhD candidate who is mainly concerned in her research with the environmental impact of plastic pollution. The text analyzed highlights the threats that plastic pollution poses to human health and the environment as well as the measures proposed by the speaker to preempt the negative consequences of this environmental crisis. Even though the proximization theory was originally meant to analyze the proximization of threat and legitimization issues in political discourse, Cap (2013b) suggests that it can be used to analyze various texts that belong to different types of public discourse (p. 294). Cap himself analyzes the proximization of threat in texts that tackle the issues of cancer (medicine), climate change (environment) and cyber threats (technology). Proximization is mainly about narrowing the distance between a threat and the addressee(s), and the main aim of proximization, whether in political texts or other types of texts, is soliciting the audience's legitimization of the preventive measures that the speaker/writer proposes in order to preempt the future consequences of a certain threat.

## **2. Research Objectives:**

Using the proximization theory proposed by Cap (2013) to analyze Patricia Villarrubia-Gómez's Ted Talk, in which she proximizes the threat of plastic pollution

and highlights its grave consequences, the present paper aims to answer the following questions:

- 1- What are the types of proximization (i.e., spatial, temporal or axiological) employed by the speaker in order to narrow the distance between the audience and the threats posed by plastic pollution?
- 2- What are the lexico-grammatical categories used by the speaker to enact the different types of proximization?
- 3- How do the types of proximization employed by the speaker help the speaker legitimize the preventive measures she proposes in order to combat the danger of plastic pollution?

### **3. Data and Methodology:**

The text analyzed in this paper is a Ted Talk delivered by Patricia Villarrubia-Gómez, a researcher and PhD candidate who is mainly concerned in her research with the environmental impact of plastic pollution and who has a number of key publications in the field (The Stockholm Resilience Centre, n.d.). In the text analyzed, the speaker sheds light on the threats that are posed by plastic pollution to our environment and how it is likely to have catastrophic impacts on our planet.

The text analyzed comprises 1166 words and has been selected for analysis for a number of reasons. Firstly, the speaker is a specialist in environmental issues, which makes the speech ripe with insights that are intended to arouse the audience's fear and push them to take action and accept the measures proposed by the speaker to end the plastic pollution crisis. As Cap (2017b) puts it, the success of fear-based legitimization relies on the credibility of the speaker (p. 10). Second, even though the speaker is a specialist, she knows how to adapt her speech to suit ordinary, non-specialist audiences, which could have an impact on persuading them to take the necessary precautions to save the environment from the anticipated catastrophic effects of plastic pollution. Third, the speech is quite recent; it was delivered in 2022 (two years ago), which makes it relevant and gives the listeners the opportunity to think about the impact of plastic pollution in the third decade of the new century. Fourth, the speech features the categories of the proximization theory significantly,

which helps generate the audience's fear and make them feel the imminence of the threat posed by plastic pollution, thus urging them to take action either via changing their consumption patterns or accepting the initiatives and precautionary measures that could be legally taken by concerned international bodies.

For the analysis to be conducted, the video of the speech is downloaded from YouTube, and then the text is transcribed in a Microsoft Word document. Tags are created for the three types of proximization and their subcategories, and the different categories of proximization are highlighted in the Word document and are traced using the "Find" tool. Examples of spatial, temporal and axiological proximization are analyzed, and statistics are made based on the numbers of the different proximization categories to show which proximization categories are employed by the speaker, which of them are particularly focused on, what kind of impact these proximization categories could have on the audience and how far they could convince the audience of the necessity of saving the world from plastic pollution.

#### **4. Theoretical Background:**

##### **4.1. Plastic Pollution:**

Plastic pollution is now a most pressing environmental threat to life on Planet Earth. Moore (2024) defines plastic pollution as the "accumulation in the environment of synthetic plastic products to the point that they create problems for wildlife and their habitats as well as for human populations". The use of plastic is almost a century old, but the production of plastic was ramped up after World War II; it increased from 2.3 million tons in 1950 to 448 tons in 2015 (Grover, 2023, p. 1). Now, more than 460 million tons of plastic are produced annually to be used in various applications (IUCN, 2024). Plastic is now part and parcel of human life for it is involved almost in every aspect of it. Plastic has transformed fields like the industry of medicine and technological applications. It is now involved in almost in every facet of our life (e.g., food and drink containers, food preservation wrap, toys, applications in construction and the manufacture of clothing, cosmetics, toothpaste, fishing nets, disposable masks from the Covid-19 pandemic, etc.).

Sembiring (2023) holds that there are two reasons why plastic has invaded our planet: intrinsic property and external influences. The intrinsic property has to do with the beneficial property of plastic which is characterized by its versatility, lightness, durability, resistance to some chemicals, good safety and hygiene property for food package and excellent thermal insulation (pp.10-11). In addition, plastic is characterized by the cost-effectiveness of its production (Galloway et al., 2019, p. 132). External influences include economic growth, lifestyle, urbanization and technological advancement (Sembiring, 2023, p. 11). Sembiring suggests that the rise of the middle class, in regions like East Asia, leads to a shift from focusing on export-led development to consumption-driven growth, which leads to having more interest in products of comfort (e.g., buying plastic-wrapped food from the supermarket instead of going to the traditional market where plastic wrap is hardly used) (p. 11).

The intrinsic properties of plastic make it almost indispensable. Before the invention of plastic, materials like metal, clay and glass were used, but they were all heavy and rigid. Some types of plastic which are now used are stronger than steel but also much lighter, and they can be rigid or bendable, which makes it possible to form them in any shape (The Human Journey, n.d.; Thompson & Pahl, 2019, p. 178). This leads to overreliance on plastic which can easily replace other materials in many industries.

However, this overreliance on plastic is causing much harm almost to all living creatures. For one thing, the production of plastic consumes crude oil and other non-renewable resources (Sembiring, 2023, p. 9). In addition, the amount of plastic which is dumped daily into landfills and oceans is unimaginable. According to the U.S. Department of State (n.d.), as a result of waste mismanagement, almost 11 million metric tons of plastic are dumped into the ocean every year. The amount of plastic that ends up in the environment every year mounts up to 20 million metric tons and is expected to increase drastically by 2040 (IUCN, 2024). Plastics are usually used for a short time before they become waste and accumulate in landfills and aquatic systems (Ficzkowski & Krantzberg, 2023, p. 28). The main problem with plastic is that it is resistant to degradation (Thompson & Pahl, 2019, p. 178), and hence, it needs 100 to 1000 years (or more) to decompose into microplastics (EPA, n.d.; Ficzkowski & Krantzberg, 2023, p. 28), causing biodiversity loss and ecosystem

degradation (IUCN, 2024). Even when it is broken into smaller pieces that can be hardly seen using a microscope, these tiny pieces, known as “microplastics”, become absorbed into the blood of living organisms (The Human Journey, n.d.). Microplastics are particles that range in size from five millimeters to one nanometer, and they are found in every ecosystem on the planet (EPA, n.d.). Single-use plastic is particularly a problem. It constitutes almost 50% of all the plastic produced (The Human Journey, n.d.). Much of the world’s plastic pollution is the result of single-use products like bottles, caps, cigarettes, shopping bags and straws (IUCN, 2024), and only 9% of manufactured plastics is recycled (Kosior et al., 2019, p. 156) with the rest accumulating in landfills and aquatic systems.

Even though plastic is everywhere, it particularly poses a threat to marine life. Due to its durability and strength, plastic debris is ubiquitous, and it constitutes almost 60-90% of the litter that accumulates in the marine environment (Chin & Fung, 2019, p. 24). Moreover, even the plastic dumped in landfills makes its way to the ocean (The Human Journey, n.d.), and because ultraviolet radiation (UR) plays a key role in the fragmentation of plastic, plastic needs much more time to degrade at sea level since UR is rapidly absorbed by water (Ficzkowski & Krantzberg, 2023, p. 28). Due to ocean currents, tides and winds, plastic can be transported to remote regions which are far from the original source, and due to its degradation-resistant nature, plastic debris often accumulates in the marine environment, breaking down into microplastics (Chin & Fung, 2019, p. 22). It is predicted that by 2050, the plastic dumped into waterbodies will far outweigh the fish themselves (Center for Biological Diversity, n.d.). The crisis stems from the fact that plastic travels through the food chain, which results in human beings eating, drinking and inhaling hundreds of tiny plastic particles every day for those particles find their way into drinking water supplies and the air. Hence, carcinogenic chemicals found in plastic products can leak into tap water, causing “developmental, reproductive, neurological and immune disorders” (IUCN, 2024). Microplastics also float in the air like dust and are eventually inhaled by human beings (The Human Journey, n.d.). Moreover, microplastics have been found in human liver, kidneys and placentas (EPA, n.d.). In addition to the health risks, plastic pollution affects those relying on marine resources either as a source of income, with various marine creatures losing their lives to plastic

ingestion, suffocation, or entanglement, or as food, with all the microplastics they have in their bodies (Ficzkowski & Krantzberg, 2023, p. 28). Thompson and Pahl (2019) explain that in addition to damaging fisheries and reducing catches, plastic pollution can result in damaging vessels; ropes and other types of plastics are frequently caught in fishing gear (p. 180). The negative impacts that plastic pollution has on fisheries and small enterprises could eventually lead to negative effects on a country's economy and trade systems (IUCN, 2024). Studies also show that women are more likely to suffer from the toxicity of plastic pollution due to their exposure to makeup and skincare products, which makes them prone to miscarriages and cancer (Ficzkowski & Krantzberg, 2023, p. 28).

In addition to the direct risks that plastic pollution poses to human health, it also has a negative impact on wildlife and climate change. Thousands of seabirds, sea turtles, seals and other marine mammals are killed by plastic as a result of ingesting it, suffocating or becoming entangled in it (Center for Biological Diversity, n.d.; EPA, n.d.; Moore, 2024; IUCN, 2024). Some of these creatures, like sea turtles, mistake floating plastic garbage for food, and they choke when they eat it. Other creatures, like seabirds, ingest plastic, which reduces the storage volume of their stomachs, leading to their starvation. Marine mammals ingest and get entangled in plastic debris, which leads to the injury and death of several endangered species (EPA, n.d.). In terms of climate change, plastic production has an impact on cumulative gas emissions (Thompson & Pahl, 2019, p. 179; Ficzkowski & Krantzberg, 2023, p. 27). Plastic production in 2019 was responsible for 3.4% of global greenhouse gas emissions, with 90% of these emissions coming from producing plastic from gas fuels, and the percentage of greenhouse gas emissions resulting from producing plastic is expected to double by 2060 (EPA, n.d.). Abrupt changes in climate also result from the ongoing changes in ecological ecosystems, some of which are the result of plastic pollution, which results in increasing atmospheric carbon (Ficzkowski & Krantzberg, 2023, p. 27). Moreover, oceans serve to mitigate the impacts of climate change, having already "absorbed 20%-40% of all anthropogenic carbon emitted since the dawn of the industrial era" (Ficzkowski & Krantzberg, 2023, p. 28), but now these oceans themselves are suffocating as a result of the accumulation of plastic. This shows how plastic pollution and climate change are interconnected.



One major problem caused by plastic pollution is that many countries lack the facilities and capacities to deal with it. Its impact is mainly felt by developing countries (IUCN, 2024), especially in Asia and Africa, where garbage collection systems are inefficient or even nonexistent (Parker, 2024). The problem is deepened due to the transfer of plastic waste to countries with poor infrastructure that is not sufficient to manage the waste. On the other hand, it is not recommended to burn plastic waste as this would result in emitting toxic fumes (Sembiring, 2023, p. 9). Steps need to be taken in order to save our planet from the threat of plastic pollution such as reducing the production of plastic products, changing consumer behaviour and developing robust infrastructure that is capable of managing plastic waste (IUCN, 2024). In addition, a global treaty guided by the United Nations needs to be signed to end the crisis of plastic pollution (Parker, 2024).

#### **4.2. The Proximization Theory:**

Cap (2013b) holds that Critical Discourse Studies (CDS) is among the most vigorously developing interdisciplinary areas of research that lie at the intersection between contemporary linguistics and social sciences (p. 293). The cognitive-linguistic approach to CDS emphasizes the conceptual nature of meaning construction as it focuses on “the conceptual import of linguistic choices which are potentially ideological”, hence offering “a new and promising lens on persuasive, manipulative and coercive properties of discourse, worldview and conceptualization” (Cap, 2017a, p. 17; Cap, 2018, p. 92). Cognitive Linguistics itself is not a theory, but a paradigm which comprises several theories, and hence, it offers CDS with several tools that can be used in the critical analysis of discourse (Hart, 2018, p. 77). The cognitive-linguistic approach to CDS focuses not just on the meaning of words and their grammatical constructions but also on the context (e.g., culture and language) in which they function (Kaal, 2023, p. 128). Hart (2018) explains that there is a shift in focus in cognitive linguistics to the interpretation stage of analysis for the cognitive-linguistic approach to CDS “addresses the cognitive-semiotic processes involved in understanding discourse and the fundamental role that these processes play in the construction of knowledge and the legitimation of action” (p. 77). Legitimization is one of the main goals of public discourse.

Cap (2017b) defines “public discourse” as “communicated issues of public culture and public concern that affect individuals and groups in a given civilization”. It is understood as “a collection of voices on top issues of politics, economy, law, education, and other areas of public interest and participation” (p. 1). In addition to political discourse, public discourse also includes various voices of non-governmental bodies and “grass-roots” initiatives, and it aims to receive people’s approval of policies involving both the speaker and the addressee(s) in a joint course of action through “maximizing the number of ‘shared visions’, that is, common conceptions of current reality as well as its desired developments” (Cap, 2017b, p. 2). That is, through public discourse, public leaders seek the approval of their addressee(s) to legitimize their intended policies and action.

Public communication is coercive by necessity, partly because it depends on “the strategic stimulation of affect”, and hence, it involves legitimization (Cap, 2017b, p. 2). Legitimization can be defined as “a linguistic enactment of the speaker’s right to be obeyed” (Cap, 2008, p. 22; Cap, 2017b, p. 2). In an act of legitimization, the speaker assumes a certain political or social role as well as a particular authority through which he/she provides reasons for why he/she should be obeyed, including “the awareness and/or assertion of the addressees’ wants and needs, reinforcement of the global and indisputable ideological principles, charismatic leadership projection, boasting about one’s performance, positive self-presentation and many more” (Cap, 2008, p. 22). The ultimate objective of legitimization is mobilizing the public around a common goal (Cap, 2017b, p. 3).

One of the most effective linguistic strategies of legitimization is the proximization of threat. As Cap (2008) puts it, proximization, which is a recent cognitive-pragmatic development, is “a heavily legitimization oriented strategy” (p. 28). The form “proximising” (i.e., bringing closer) first appeared in Chilton (2004) to explain how political speakers seek to attain legitimization by presenting a certain situation as a proximal or imminent threat to their audience. According to Chilton, the speaker and hearer are placed at the “deictic center” inside a political entity and conceptualize external phenomena in terms of the physical distance between them and the deictic center (p. 58). The term “proximization” was first coined by Cap (2006) “to mark *an organized, strategic deployment of cognitive-pragmatic construals in*

*discourse*” (Cap, 2013b, p. 295). It was originally proposed to analyze patterns of coercion in the US’ anti-terrorist discourse following 9/11.

Proximization is a discursive strategy of constructing crises and threats through “presenting physically and temporally distant events and states of affairs (including “distant”, i.e. adversarial, ideological mind-sets) as directly, increasingly and negatively consequential to the speaker and her addressee” (Cap, 2013a, p. 3). Through presenting distant threats (whether physical or ideological) as encroaching on the territory of the speaker and his/her addressees, the speaker may be trying to achieve a number of goals, chief among which is soliciting the audience’s legitimization of the preventive measures proposed by the speaker to neutralize the negative impact of the “foreign”, “alien” and “antagonistic” entities (Cap, 2013a, p. 3; Cap, 2013b, 294-295). In other words, the core idea of proximization is that “the construed vision of foreign entity encroaching upon a home territory of the speaker and her audience prompts issues of preventive response and its justification” (Cap, 2013a, p. 4). Central to the proximization theory is the cognitive pragmatic concept of discourse space (DS) which refers to “a particular kind of mental space people open up in performing discourse in which the ‘world’ described in the discourse is represented” (Cap, 2023, pp. 137-138). Proximization presupposes the distinction between the Us camp (positioned at the center of the DS) and the Them camp (positioned at the periphery of the DS). Cap (2022) explains that proximization is achieved through presenting the “remote Them” (referred to as ODCs, i.e., outside-deictic-center) as moving closer to, and eventually threatening, the “central Us” (referred to as the IDCs, i.e., inside-deictic-center, meaning the speaker and his/her addressee(s)) (Cap, 2017a, p. 21; Cap, 2022, p. 29; Cap, 2023, p. 138). Figure (1) is an illustration of Cap’s representation of the DS (Cap, 2017b, p. 5):

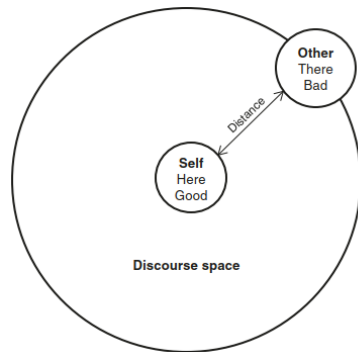


Figure (1): Discourse Space (DS)

Since proximization is a “process by which negatively evaluated entities, objects, or concepts are represented by the speaker as advancing from the periphery of the deictic space to the centre” (Browse, 2018, p. 160), it involves “a forced construal of *movement* of the antagonistic *Them* entities in the direction of the *Us* entities” (Cap, 2022, p. 29). Hence, proximization involves coercive powers for, through evoking closeness of the external threat and hence arousing the audience’s fear and anxiety, it enables the speaker to legitimize the actions they are intending to take as preventive measures to stop *Them*’s intrusion, hence serving sociopolitical goals (Cap, 2014, p. 17; Cap, 2022, p. 29). The success of proximization depends on the construal of a potential clash between the *Us* (IDC) entities and the *Them* (ODC) entities (Cap, 2008, p. 33).

Cap recognizes three dimensions of proximization: spatial, temporal and axiological. For the purpose of analyzing proximization in discourse, Cap (2013a) proposes the spatial-temporal-axiological (STA) proximization model. This model of analysis examines the lexico-grammatical choices made by a speaker/writer in an attempt to proximize a certain threat, in terms of the cognitive categories of space, time and value, as moving closer towards the speaker and his/her addressee(s). The importance of lexico-grammatical choices stems from the fact that they help establish

the deictic center and the periphery of the DS as well as “*help impose, in the service of socio-political legitimization, symbolic construals whereby the peripheral entities cross the distance in discourse space to permeate the deictic center*” (Cap, 2013a, p. 9). Cap (2006) argues that the speaker’s success or failure to attain legitimization depends on his/her ability to follow a tripartite proximization strategy to indicate the conceptual shift of antagonistic and alien entities onto the speaker’s (and the addressees’) physical territory in the deictic center from which they both view external events (pp. 7-8).

#### **4.2.1. Spatial Proximization:**

Cap (2013a) defines spatial proximization as “a forced construal of the Discourse Space (DS) peripheral entities encroaching *physically* upon the DS central entities located in the deictic center of the space” (p. 74). In other words, it is “a forced construal of *Them* entities encroaching physically on the *Us* entities in the deictic center of the DS” (Cap, 2022, p. 30). Spatial proximization can be achieved through using certain lexical forms which result in a “gradual narrowing of the physical distance between IDCs and ODCs” (Cap, 2013a, p. 75). Spatial proximization presupposes a geographical and geopolitical distance, in addition to an ideological distance, between the IDCs (which are placed in the deictic center and characterized by positive values) and the ODCs (which are placed at the periphery of the DS and characterized by negative values and destructive character) (Cap, 2013a, p. 74). The threat the ODCs pose to the IDCs urges the speaker to take preventive measures for which he/she needs to solicit legitimization from his/her addressee(s). This is because spatial proximization “involve[s] strong fear appeals” (Cap, 2013a, p. 74). It generates the addressee’s fear through presenting a certain threat as imminent, and “the construal of imminent danger paves the way for legitimization of preventive measures” since public audiences are usually reluctant to accept radical policies unless they are a response to a danger which is consequential to individuals (Cap, 2017b, p. 9). Such imminent threats require immediate preemptive action, and the speaker, in some cases, tries to solicit the audience’s legitimization of such action through conflating the current threat with an actual past disaster. As Cap (2017b) puts it, the speaker draws an analogy between the current threat and a past event “to endorse credibility of future visions” which “involve construals of future events as

personally consequential, thus strengthening the fear appeals” (p. 44). Cap (2013a) argues that spatial proximization is effective since the speaker presents the threat not only as inevitable but also as fast, instilling fear in the heart(s) of the addressee(s) (p. 80). Hence, spatial proximization pushes the addressee(s) to approve of the preventive measures proposed by the speaker.

Cap (2013a) proposes a number of lexico-grammatical categories of spatial proximization which denote both the IDCs and the ODCs as construed in physical terms (p. 108). These include:

- (1) Noun phrases (NPs) construed as elements of the deictic center of the DS (IDCs)
- (2) Noun phrases (NPs) construed as elements outside the deictic center of the DS (ODCs)
- (3) Verb phrases (VPs) of motion and directionality construed as markers of movement of ODCs towards the deictic center
- (4) Verb phrases (VPs) of action construed as markers of impact of ODCs upon IDCs
- (5) Noun phrases (NPs) denoting abstract concepts construed as anticipations of impact of ODCs upon IDCs
- (6) Noun phrases (NPs) denoting abstract concepts construed as effects of impact of ODCs upon IDCs

El-Zouka (2020) proposes two more categories that can be added to the spatial proximization framework (p. 13):

- (7) Verb phrases (VPs) marking acts of resistance of ODCs
- (8) Noun phrases (NPs) denoting goals of IDCs and the strategies of confronting ODCs

The verb phrases in category (7), if found in a text, indicate that the IDCs are not passive but rather have a positive reaction to the threats posed by the ODCs (El-Zouka, 2020, p. 13).

#### **4.2.2. Temporal Proximization:**

Temporal proximization refers to points in time when past or future actions by entities construed in spatial dimension took/will take place (Cap, 2013a, pp. 27-28). It

is “a forced construal of “now”, the speaker’s present, as the central point and event frame on the time “axis”” (Cap, 2013a, p. 85). “Now” refers to the momentousness of the present, defined by past events or anticipated events in the near future (Cap, 2013a, p. 85). Temporal proximization presents a threat not only as imminent but also as “momentous”, requiring an immediate response and unique preventive measures (Cap, 2013b, p. 295; Cap, 2017, p. 17; Cap, 2023, p. 138). Both spatial and temporal proximization involve strong fear appeals, and hence, they help the speaker, through an analogy between the current situation and an actual disaster that took place in the past, to gain support for the preventive measures he/she proposes to neutralize the threat (Cap, 2013b, p. 296; Cap, 2017b, pp. 16-17). MacDonald and Hunter (2019) explain that temporal proximization situates events in relation to the present time of the speaker, either in terms of past events which might affect the present or anticipated future events resulting from events taking place in the present (p. 73). Temporal proximization involves a compression of the time axis, resulting in a partial conflation of the three timeframes: either a past-to-present conflation, which is a construal of past events performed by ODCs as affecting the speaker’s present, or a future-to-present conflation, which is a construal of future events performed by ODCs stemming from the present context (Cap, 2013a, pp. 85-86). Both shifts urge the speaker to take preventive measures either to neutralize the effect of past events on the present (retrospective) or to prevent current scenarios from affecting the speaker’s near future (prospective) (Cap, 2013a, p. 86). Figure (2) is an illustration of Cap’s (2013b) representation of the two shifts on the time axis (p. 86):

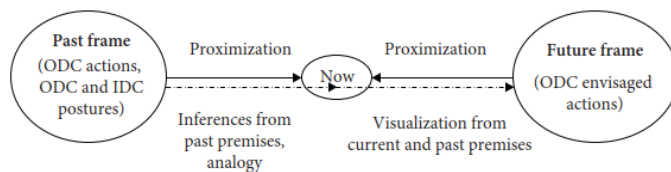


Figure (2): Centralizing “now” for momentousness: two temporal proximization shifts

Based on the two types of shifts involved in temporal proximization (past-to-present and future-to-present), the lexico-grammatical categories proposed by Cap

(2013a) to indicate temporal proximization are of two types: “real time” (RT) lexico-grammatical markers (denoting “events as happening at dated points in time”) and “construed time” (CT) lexico-grammatical markers fitting these points and events “into preferred temporal frames” through analogy and other means (p. 111). Cap explains that RT lexico-grammatical markers do not only denote actual past events for they can also denote future point-in-time events. Such events are durative in the sense that “they can be construed as occurring anytime between now and the infinite future” (Cap, 2013a, p. 112). Cap (2022) argues that both retrospective and prospective conceptualizations result in shrinkage of the temporal aspect, causing the “Now” frame and the actions it subsumes to be critical to the future course of events (p. 77). This shrinkage of the time axis is one of the coercive functions of a text, resulting in the centralization of the present timeframe with the aim of “strengthening the sense of momentousness of the current state of affairs” and persuading the audience to approve of the preventive measures proposed by the speaker (Cap, 2022, p. 76).

Cap (2013a) proposes a number of lexico-grammatical categories which denote temporal proximization (p. 114). These are:

- (1) Noun phrases (NPs) involving indefinite descriptions construing ODC actual impact acts in alternative temporal frames
- (2) Discourse forms involving contrastive use of the simple past and the present perfect construing threatening future extending infinitely from a past instance
- (3) Noun phrases (NPs) involving nominalizations construing presupposition of conditions for ODC impact to arise anytime in the future
- (4) Verb phrases (VPs) involving modal auxiliaries construing conditions for ODC impact as existing continually between the now and the infinite future
- (5) Discourse forms involving parallel contrastive construals of oppositional and privileged futures extending from the now

#### **4.2.3. Axiological Proximization:**

Cap (2013a) argues that axiological proximization serves to keep up the attempt to attain legitimization when other means do not seem to work (p. 94). He explains that



axiological proximization involves a conflict between the “home values” of the IDCs, located in the deictic center of the DS, and the alien, antagonistic values of the ODCs, located at the periphery of the DS (p. 94). Hence, it can be defined as “a forced construal of a growing ODC-IDC ideological conflict which, in time, may lead to a physical clash” (Cap, 2013a, p. 119). Accordingly, it is concerned with the opposing values held by the central IDCs and the peripheral ODCs. This is because the construction of the ideological conflict “draws upon patterns of bipolar axiological representation and proximization” (Cap, 2017b, pp. 46-47). While the conflict is initially presented as ideological, the speaker, through axiological proximization, can present ODC values as having the potential to materialize (physically) in the speaker’s and addressees’ territory (Cap, 2017b, p. 17; Cap, 2022, p. 30), hence leading to a physical conflict. MacDonald and Hunter (2019) explain that axiological proximization can cooperate with spatial and temporal proximization to “heighten the immediacy of the ideological encroachment” (pp. 73-74), which may easily lead to a physical conflict. Therefore, axiological proximization serves to legitimize preventive actions that could be proposed by the speaker to prevent the adversarial values of the ODCs from materializing in the deictic center. Cap (2013a) proposes a number of lexico-grammatical markers of axiological proximization (p. 121). These are:

- (1) Noun phrases (NPs) construed as IDC positive values or value sets  
(ideologies)
- (2) Noun phrases (NPs) construed as ODC negative values or value sets  
(ideologies)
- (3) Discourse forms involving linear arrangement of lexico-grammatical phrases  
construing materialization in the IDC space of the ODC negative ideologies

Previous studies using the proximization theory have mostly focused on political texts in which the speaker tries to legitimize the measures taken to protect the Self from the enemy (Abdelateef, 2020; Cap, 2008; Cap, 2013b; Cap, 2017a; Cap 2023; El-Zouka, 2020; El-Zouka, 2023). The proximization theory has also been used to analyze other types of public discourse like texts about diseases, climate change and cyber threats (Alshanawani, 2021; Cap, 2014; Hamid, 2021). To the best of the researcher’s knowledge, the proximization theory has not been applied to any texts tackling the threat of plastic pollution. Hence, this research aims to apply the

proximization theory to a Ted Talk in which the speaker, who is a researcher concerned with environmental issues, highlights the dire consequences of plastic pollution in an attempt to investigate how the speaker proximates the threat of this environmental crisis and hence justifies the measures she proposes to neutralize its effects.

### **5. Analysis:**

Cap (2017b) states that analyzing a text using the proximization theory and the STA model must involve three interrelated levels. The first level is the conceptual level of organization of the DS where the IDCs (home entities), the ODCs (alien, antagonistic, Other) entities and the negative impact of the ODCs on the IDCs need to be determined. The second level is the lexical categories which enact the strategic changes of the organization of the DS. The third level is the coercion level: how the text is considered an example of soliciting legitimization from the public via pushing them to approve of the preventive measures proposed by the speaker (p.32).

Cap presents several analyses of the proximization of threat in political discourse, particularly in the US anti-terrorism discourse after 9/11. In political discourse, it is quite easy to determine the IDCs entities (the self, e.g., the US) and the ODCs entities (the Other, e.g., Saddam Hussein). There are other types of discourse where determining the IDCs and ODCs is not that easy, and a case in point is climate change discourse. Cap (2017b) holds that the construal of threat in this kind of discourse is not clearcut since the IDCs and ODCs are not quite obvious and need to be precisely defined. The solution is to assign the role of ODCs to public actors, institutions and industry who are partly responsible for the climate change crisis and the role of IDCs to ordinary people who can be considered the “real self” entity (p. 42). Eventually, action needs to be taken to combat the devastating effects of climate change.

Similarly, in anti-plastic discourse, there are no clear IDCs and ODCs. Hence, like in climate change discourse, the IDCs role can be assigned to entities affected by the negative consequences of plastic pollution (e.g., environment, Planet Earth, developing countries, ordinary people), and the ODCs role can be assigned to the parties responsible for the manufacture and accumulation of plastic in the environment (e.g., “rich countries”, “fossil fuel companies”, and “consumers” who

refuse to change their plastic consumption patterns). In the text analyzed, those IDCs and ODCs constitute the first level of analysis (i.e., the organization of the DS). The second level of analysis is the lexico-grammatical items enacting the IDCs and ODCs, and these are analyzed in detail in the following subsections. The third level of analysis is the coercion level where the speaker highlights the grave consequences of plastic pollution in an attempt to convince her audience that initiatives need to be taken by international bodies to uproot the problem and persuade them to change their plastic consumption patterns. The following subsections present an analysis of the text under study in an attempt to investigate how the lexico-grammatical choices made by the speaker enact the central (IDC) and peripheral (ODC) elements of the DS and how the proximization of threat is intended to legitimize the speaker's call for exerting our utmost efforts to save the planet from plastic pollution.

#### **5.1. Spatial Proximization:**

The main goal of spatial proximization is construing the ODCs as moving closer towards the deictic center of the DS with the possibility of materializing in the deictic center and threatening the IDCs. The lexico-grammatical items enacting the categories of spatial proximization in the text contribute to narrowing the distance between the ODCs (i.e., plastic pollution and the sectors causing it) and the IDCs (i.e., ordinary people and the environment), arousing the audience's fear of the consequences of the crisis. Examples include:

1. Plastics and their chemical additives are really a climate problem.
2. Plastics contribute to climate change.
3. For 99% of all plastics, the starting point is fossil fuel hydrocarbons. Oil, gas and coal are extracted and refined to produce plastic and other synthetic chemicals. And those processes generate greenhouse gases such as CO<sub>2</sub> and methane.
4. [T]he production of single-use plastic alone will contribute to more than 10% of all greenhouse gas emissions by 2050.
5. And the thing is that our use of plastic last[s] often just a few minutes or a few hours. Then, we throw them away.

6. And so, huge amounts of plastics are illegally incinerated, informally dumped or get lost at sea. And as a result, millions of tons of plastic every year get into our environment.
7. And this process of breaking down emits powerful gases such as methane, ethylene and CO2.
8. It means that microplastic can also impair the growth and the photo synthesis capacity of phytoplankton, which are the microorganisms producing much of the oxygen we breathe. But also microplastics can have toxic effects on zooplankton, and the health of these organisms are essential for the functioning of all aquatic food webs.
9. And given how plastics impact the climate and the world's social ecological system, this would spell a catastrophe.

In the selected examples above, the lexical items enacting the categories of spatial proximization employed by the speaker are underlined. NPs which belong to Category (1) are “our environment”, “sea”, “the growth (of phytoplankton)”, “the photo synthesis capacity of phytoplankton”, “the microorganisms producing much of the oxygen we breathe”, “zooplankton”, “the health of these organisms (zooplankton)”, “the functioning of all aquatic food webs”, “the climate” and “the world’s social ecological systems”. These are the categories that are located in the deictic center of the DS and towards which the ODCs (i.e., the threats of plastic pollution) are moving. These categories would be seriously affected if action is not taken to stop plastic pollution. Hence, something has to be done in order to save the environment and all the useful organisms without which life is impossible and bring the problem of plastic pollution to an end or else the universe would suffer immensely. Category (2) of spatial proximization includes the NPs “plastics”, “their chemical additives”, “fossil fuel hydrocarbons”, “plastic”, “other synthetic chemicals”, “those processes”, “powerful gases”, “greenhouse gases”, “this process of breaking down”, “CO2”, “methane”, “single-use plastic”, “more than 10% of all greenhouse gas emissions”, “our use of plastics”, “them (plastics)”, “huge amounts of plastics”, “millions of tons of plastic”, “methane”, “ethylene”, “microplastics” and “this (the impact of plastic on the climate)”. Category (2) includes the items which constitute grave threats to life on Planet Earth, all of which are the result of plastic pollution like gas emissions, methane and CO2. Single-use plastic is particularly

detrimental to the environment as it is used once and shortly afterwards is thrown away to accumulate in the environment whether in terrestrial areas or on sea and ocean floors. Microplastics are the result of the degradation of the accumulated plastics, and they are particularly harmful to marine creatures since they are usually mistaken for food, and they harm those creatures through ingestion, suffocation or entanglement. The lexico-grammatical items of Category (2) are highlighted by the speaker as the sources of threat that we need to combat to neutralize their effects on our lives. Category (3) of spatial proximization includes the VPs “are extracted”, “[are] refined”, “generate greenhouse gases”, “throw them (plastics) away”, “are illegally incinerate”, “[are] informally dumped”, “get lost”, “get into our environment” and “emits powerful gases”. The lexico-grammatical items of Category (3) indicate the motion of the ODCs from the periphery of the DS towards the deictic center where they can very soon materialize and hence threaten the IDCs. They show how the threat of plastic pollution is encroaching upon our lives, affecting our environment (polluting the air when incinerated, accumulating in terrestrial areas, getting dumped into the sea, etc.). Category (4) includes VPs which indicate the impact of the ODCs on the IDCs. These include items like “contribute to climate change”, and “impact the climate”. These are the anticipated effects of the problem of plastic pollution should it remain unresolved. Category (5) includes the NPs that represent the anticipation of impact of the ODCs on the IDCs like “a climate problem” and “climate change”. The lexico-grammatical items of Category (5) are likely to have effects which are represented by the NPs which belong to Category (6). These include “toxic effects (on zooplankton)” and “a catastrophe”. These are likely to be the end result of plastic pollution should no action be taken to avoid its grave consequences.

However, in addition to highlighting the drastic effects of plastic pollution, the speaker also offers a ray of hope represented by lexico-grammatical items which belong to Categories (7) and (8). Some of these items are included in the following sentences:

10. Worldwide entrepreneurs and companies are creating new designs and material that can substitute traditional single-use plastic, and social movements are consolidating and educating people to reduce their plastic

footprint and pressuring local and world policy makers to enact strong policies.

11. And scientists are collaborating more than ever, communicating the urgency to limit not only the volume but the chemical diversity of plastics.
12. And early this year, representatives from over 170 nations at the UN Environment Assembly adopted an initiative to end plastic pollution, committing all these countries to participate in creating, by 2024, a legally binding agreement that addresses the full life cycle of plastics from production to design to disposal.

Category (7) includes the VPs “are creating new designs”, “are consolidating”, “[are] educating people”, “[are] pressuring”, “are collaborating”, “communicating” and “committing”. All these VPs indicate acts of resistance; they shed light on the efforts exerted by scientists and environmentalists to combat plastic pollution and neutralize its effects. Category (8) includes the NPs “an initiative to end plastic pollution” and “creating [...] a legally binding agreement”. These items indicate the goals of the IDCs and the strategies followed to combat the ODCs (plastic pollution and its effects).

## **5.2. Temporal Proximization:**

The aim of temporal proximization in the analyzed text is to present the threats posed by plastic pollution not only as imminent but also as momentous, hence generating strong fear appeals to persuade the audience to accept the preventive measures proposed by the speaker like changing their plastic consumption patterns and accepting the initiatives she suggests should be taken by international bodies. There is no past-to-present conflation in the text as the speaker does not draw an analogy between present and past plastic pollution consequences. The speaker focuses on the consequences plastic pollution is likely to have in the near future unless preemptive measures are taken. As a result, the text does not display any examples of Category (1) of temporal proximization; there are no examples of NPs construing the impact of ODCs in alternative timeframes. The text does not include examples of Category (2) either; there is no contrast between past events and any events presented in the present perfect that may extend to have negative consequences in the future. Lexico-grammatical items of Category (5) are also missing in the analyzed text; no

contrastive construals of oppositional and privileged futures are found. The text displays examples of Categories (3) and (4) of temporal proximization as shown in the following sentences:

1. [P]lastic pollution is starting to change the processes that allow the Earth's climate system to work.
2. Plastics contribute to climate change.
3. [O]ur use of plastic last often just a few minutes or a few hours.
4. And that generates further emissions.
5. Once plastic[s] enter the environment, landfill, are dispersed in soil or water, they start a process of breaking down into micro and nanoparticles.
6. But microplastics risk affecting this marine snow and potentially decreasing the capacity of the ocean to absorb and sequester carbon from the atmosphere.
7. [F]ossil fuel companies see hydrocarbon as their primary growth sector, projecting a 30% increase of virgin plastic for single-use plastic just in the next five years.
8. We already see an accelerating pace in producing and releasing new chemicals because there are many many kinds of plastic, each one the result of a different chemical formula.
9. [M]icroplastics can be decreasing the reflecting property of snow and ice, potentially accelerating the melting of the glaciers and polar ice.
10. [I]t (plastic) will remain in the environment for centuries, degrading ecological processes.
11. [T]he production of single-use plastic alone will contribute to more than 10% of all greenhouse gas emissions by 2050.
12. On the surface of microplastics, new microbial communities can grow.
13. [M]icroplastic can also impair the growth and the photo synthesis capacity of phytoplankton.
14. [M]icroplastics can have toxic effects on zooplankton.
15. And given how plastics impact the climate and the world's social ecological system, this would spell a catastrophe.

The text includes a future-to-present shift, presenting the present as the Real Time, indicated by the word “now”, and the future as the Construed time (CT) indicated by the items “2024” and “2050” which refer to the near future. This symbolic compression of the time axis highlights the need to take immediate action to prevent the negative consequences that the ODCs (i.e., plastic pollution and its causes) are likely to have in the near future and is indicated by items of Categories (3) and (4). Sentences 1-9 include a number of nominalizations which indicate undesired actions taken by the ODCs (i.e., “pollution”, “change”, “use”, “emissions”, “breaking”, “affecting”, “decreasing”, “increase”, “producing”, “releasing”, and “melting”). Being derived from verbs, these nominalizations indicate action of the ODCs. Hence, they highlight the threat that the planet is now facing as a result of plastic pollution for they shed light on the likely consequences of this pollution in the near future, stressing the urgency to take preemptive measures. Cap (2022) explains that the role of nominalization in the proximization of threat is conflating the present and the future through representing “an objectified entity that exists at the present moment and presages an ominous future” (p. 75), which plays a significant role in generating the addressees’ fear and winning their approval of the speaker’s suggestions to neutralize the threat. Sentences 9-15 include VPs with modal auxiliaries which highlight the possibility of plastic pollution having drastic consequences in the near future (the VPs including the items “can be decreasing”, “will remain”, “will contribute”, “can grow”, “can also impair”, “can have”, “would spell”). These VPs indicate the anticipated catastrophic impacts of plastic pollution on the environment in the near future (e.g., causing more gas emissions, creating more microbial communities, etc.). The lexico-grammatical items enacting Categories (3) and (4) of temporal proximization in the text contribute to the compression of the time axis through a future-to-present shift where the dire consequences of plastic pollution that are likely to affect our planet in the future stem from the present context. The imminence and momentousness of this threat need to be addressed through preventive measures or else the environment shall very soon pay a costly price.

### **5.3. Axiological Proximization:**

The axiological proximization of threat results from a clash between the home values and ideologies of the IDCs and the alien and antagonistic ideologies and values



of the ODCs. This clash can eventually lead to a physical conflict should the ODC values be allowed to materialize in the home territory of the IDCs. Compared to spatial and temporal proximization, axiological proximization features the least in the text analyzed. The conflicting parties in the text are not clearly defined unlike, for example, in the anti-terrorist speeches analyzed by Cap where the IDCs and the ODCs are clearcut (the US vs. Saddam Hussein, terrorist organizations, etc.). In the text analyzed, the IDC role is assigned to Planet Earth (the environment, the human race and other species), and the ODC role is mainly assigned to plastic pollution. As a result, there is no clear ideological conflict between the IDCs and the ODCs. However, in addition to plastic pollution, the ODC role can be assigned to “rich countries” and “fossil fuel companies” as they are partly responsible for this environmental crisis. There are no examples of Category (1) of axiological proximization, which has to do with the positive values of the IDCs, in the text. There is only one example of Category (2), which has to do with the negative values of the ODCs, in the sentence “this is one of those hypocrisies of globalization where rich countries outsource their problems to low-income countries. And we know that these countries do not have the capacity nor the technology to deal with them in a soundly manner”. The word “hypocrisies” indicates a negative value that characterizes rich countries which are partly responsible for the plastic pollution crisis as they only care about industry and making profits and outsource their plastic litter to poor countries where it cannot be recycled and is left to accumulate, polluting the environment. There are no examples of Category (3) in the text.

**6. Findings and Discussion:**

In the text analyzed, the speaker makes use of the three types of proximization in an attempt to convince her audience of saving Planet Earth from the grave consequences of plastic pollution. The speech includes 259 examples of proximization, 235 (almost 90.73%) of which are examples of spatial proximization, 23 (almost 8.88%) examples of temporal proximization and only one (almost 0.38%) example of axiological proximization. Table (1) shows the percentage of each type of proximization used by the speaker:

Type of Proximization	Category of Proximization Type	Number of	Percentage
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		Instances	
Spatial Proximization	(1) Noun phrases (NPs) construed as elements of the deictic center of the DS (IDCs)	67	25.86%
	(2) Noun phrases (NPs) construed as elements outside the deictic center of the DS (ODCs)	108	41.6%
	(3) Verb phrases (VPs) of motion and directionality construed as markers of movement of ODCs towards the deictic center	34	13.12%
	(4) Verb phrases (VPs) of action construed as markers of impact of ODCs upon IDCs	3	1.15%
	(5) Noun phrases (NPs) denoting abstract concepts construed as anticipations of impact of ODCs upon IDCs	10	3.86%
	(6) Noun phrases (NPs) denoting abstract concepts construed as effects of impact of ODCs upon IDCs	2	0.77%
	(7) Verb phrases (VPs) marking acts of resistance of ODCs	7	2.7%
	(8) Noun phrases (NPs) denoting goals of IDCs and the strategies of confronting ODCs	4	1.5%
Temporal Proximization	(1) Noun phrases (NPs) involving indefinite descriptions construing ODC actual impact acts in alternative temporal frames	--	--
	(2) Discourse forms involving contrastive use of the simple past and the present perfect construing threatening	--	--

	future extending infinitely from a past instance		
	(3) Noun phrases (NPs) involving nominalizations construing presupposition of conditions for ODC impact to arise anytime in the future	16	6.17%
	(4) Verb phrases (VPs) involving modal auxiliaries construing conditions for ODC impact as existing continually between the now and the infinite future	7	2.7%
	(5) Discourse forms involving parallel contrastive construals of oppositional and privileged futures extending from the now	--	--
Axiological Proximization	(1) Noun phrases (NPs) construed as IDC positive values or value sets (ideologies)	--	--
	(2) Noun phrases (NPs) construed as ODC negative values or value sets (ideologies)	1	0.38%
	(3) Discourse forms involving linear arrangement of lexico-grammatical phrases construing materialization in the IDC space of the ODC negative ideologies	--	--
Total		259	100%

Table (1): The types of proximization used in the text analyzed

The analysis shows that the proximization of threat in the text is mostly dependent of spatial proximization, particularly Category (2) which alone constitutes 41.6% of the categories of proximization in the text. Cap (2022) argues that even though the use of

proximization in a text normally involves the use of the three types of proximization (i.e., spatial, temporal and axiological), a speaker might focus more on of these types at the expense of another if this serves his/her goal (i.e., legitimization) (p.31). Spatial proximization, particularly Category (2) which is extensively used by the speaker, seems to be the most needed type of proximization in this text in order to open the audience's eyes to the types of ODCs (sources of threat) that they need to combat in order to save the earth (e.g., the accumulation of plastic in the environment, single-use plastic, the countries and sectors which do not mind polluting the environment as they only care about profit, etc.). Another point that is worth noting is that all the categories of spatial proximization are employed by the speaker, which is not the case for temporal and axiological proximization. Only two categories of temporal proximization are used and not as extensively as the categories of spatial proximization. Axiological proximization in particular is almost missing in the text, being represented by only one instance in the whole text. This could be due to the fact that the IDCs and the ODCs are not very clear in the text; it is the whole planet against an environmental threat, a non-tangible one. Accordingly, it seems that spatial proximization, among the three types of proximization, is the most suitable for fear-generation and drawing the threat of plastic pollution closer to the audience (i.e., proximizing it). This could be effective in convincing the audience of the necessity of taking all the preventive measures needed to save Planet Earth from this threat.

## **7. Conclusion:**

This paper presents an example analysis of the proximization of threat in anti-plastic discourse. Using the proximization theory proposed by Cap (2013a), the paper presents an analysis of a Ted Talk delivered by scientist and environmentalist Patricia Villarrubia Gómez who sheds light in her speech on the environmental threats of plastic pollution and the catastrophes it could lead to if the problem remains unresolved. Regarding the first research question, which is concerned with the types of proximization (i.e., spatial, temporal or axiological) employed by the speaker, the analysis reveals that the speaker makes use of the three types of proximization but makes extensive use of spatial proximization in her attempt to narrow the distance between the threats of plastic pollution and the audience. Temporal proximization indicates the imminence and momentousness of the threat, warning the audience that

the negative consequences of plastic pollution are anticipated to be felt in the near future. Axiological proximization is almost missing, with only one instance featuring in the text due to the type of threat proximized (i.e., an environmental issue). Concerning the second research question, which is concerned with the lexicogrammatical categories of proximization used in the text, the speaker makes use of all the categories of spatial proximization, relying on their effects of generating the audience's fear of the plastic pollution crisis. Only two categories of temporal proximization are used for their effect of compressing the time axis to stress the imminence of the threat and hence the necessity of combating plastic pollution. As far as axiological proximization is concerned, the speaker makes use of only one instance which belongs to the second category (i.e., negative values of the ODCs) in order to criminalize the countries and companies which contribute to the crisis of plastic pollution as they only care about profit. Regarding the third research question, which is concerned with legitimization through the proximization of threat, the speaker presents her cause of the necessity of plastic pollution as necessary, legitimizing, through the proximization of threat, the preventive measures she proposes to end the crisis in an attempt to solicit her audience's approval of accepting such measures as changing their plastic consumption patterns as well as any initiatives that could be taken by concerned international bodies to end the crisis.

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汉语转品辞格与阿语转连修饰的翻译问题 --对比研究

" Translation Issues of Enallage Between Arabic and Chinese (Comparative Study)"

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**Abstract:** The phenomenon of enallage is one of the significant rhetorical devices in the Arabic language, characterized by its depth and comprehensiveness due to the eloquence and beauty of Quranic texts. Enallage appears in Arabic in various forms, including changes in pronouns, verbs, and numbers, which adds diversity and richness to linguistic expression. In contrast, enallage is very rare in the Chinese language and is often addressed only briefly in Chinese rhetorical literature. In Chinese, enallage is limited to changes in word types, such as converting verbs to nouns, adjectives to verbs, or nouns to verbs, for rhetorical purposes such as drawing attention, emphasizing a point, highlighting contrasts, achieving variety and renewal, psychological impact, and other rhetorical functions. This research conducts a comparative study between Chinese and Arabic. The study aims to compare different definitions of the phenomenon of enallage in both languages, as well as to compare the types and rhetorical functions of enallage. The research also includes an applied study by analyzing and translating sentences containing the phenomenon of enallage from Chinese to Arabic and vice versa, highlighting the issues of translating enallage from and to Arabic. This will contribute to enhancing our understanding of how this phenomenon is used in both languages and achieving a deeper understanding of the rhetorical methods employed.

**Keywords:** Chinese enallage, Arabic enallage, Rhetoric, comparative study

摘要:

转连修饰是阿拉伯语中的一种重要修辞现象，其深度和全面性得益于《古兰经》的修辞性和美学。阿拉伯语中的转连修饰表现为多种形式，包括代词、动词和数字的变化，这为语言表达增添了多样性和丰富性。相比之下，转品辞格在中文中非常稀少，且在中文修辞书籍中通常只被有限地讨论。在中文中，转品辞格局限于词类的转换，例如将动词转为名词、形容词转为动词，或名词转为动词，这主要用于修辞目的，如引起注意、强调观点、突出对比、实现多样性和创新，以及心理影响等。

本研究对汉语转品辞格与阿语转连修饰之间进行比较性研究。研究旨在比较两种语言中对转品现象的不同定义，以及比较转品的类型和修辞功能。研究还包括通过分析和翻译包含转品现象的句子从中文到阿拉伯语以及反向翻译，突出转品翻译的问题。这将有助于提高我们对两种语言中该现象使用方式的理解，并深入理解所采用的修辞方法。

**关键词：**汉语转品，阿语转连，修辞学，对比研究

## 一、汉语转品辞格与阿语转连修饰的定义

### 1.1 汉语中的转品辞格定义

陈望道（2008）：“转品就是说话上把某一类品词移转作别一类的品词来用的，名叫转品，又可称为词类活用。修辞上有意从这一属类转成别一属类来用的，便是转品辞。”<sup>①</sup>

“转品就是在句子中改变词语惯用的词性，临时赋予其他词性的用法。常用的如，将形容词用作动词、名词用作动词等。脱离语境，这些词语又恢复本身的用法，因此转品只是为了追求一定的语言艺术效果而使用的临时用法，并非增加该词的语法特征。”<sup>②</sup>

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<sup>①</sup> 陈望道. 修辞学发凡, 上海: 复旦大学出版社, 2008: 9.

<sup>②</sup> 高琴. 浅析流行歌曲中的传统化修辞, 保定学院中文系 河北, 2011年, [中图分类号]: H315[文献标识码]: A [文章编号]: 1002-2139(2011)-05-0150-01

有些学者从修辞角度进行理解和定义。比如胡裕树从修辞角度定义为：“甲类词在特定的条件下，为了修辞的需要，偶尔用作乙类词，这就是活用。”还有黄伯荣和廖序东认为：“词的活用是一种特殊的用法，在特定的条件下，为了表达的需要，临时借来一用。”<sup>①</sup>

**总而言之：**转品，即词类的活用，是汉语诗歌中的一种重要语言现象。通过改变词语的惯用词性，赋予其新的语法功能，诗人能够在简洁的语言中创造出更加丰富的意义和联想，增强诗歌的表达效果。

## 1.2阿语的转连修饰定义：

(1) 《لسان العرب》<sup>②</sup> 《阿拉伯之舌词典》中的“الالتفات”

转连解释如下：“لَفَتَ وَجْهَهُ عَنِ”  
“لَفَتَ”意为把脸转离众人；“التفت”表示转向某物；“التفت إليه”意为把脸转向它。

(2) 在修辞学家看来，“الالتفات”

**转连**的一般概念是：从一种意义转向另一种意义，或从一个小主题转向其他主题，或从一种表达方式转向另一种表达方式。

"أن المفهوم العام للالتفات عند البلاغيين هو: التحول من معنى إلى آخر، أو عن صغير إلى غيره، أو عن أسلوب إلى آخر" □

<sup>①</sup> 谢文乾. 古汉语“词类活用”研究综述. 兴义民族师范学院2011(3): 39.

<sup>②</sup> انظر مادة (لفت) في: لسان العرب، الجزء رقم 13، لابن منظور، والصاحح للجوهري، وكذلك القاموس المحيط.

<sup>③</sup> فتح الله احمد سليمان، الأسلوبية مدخل نظري دراسة تطبيقية، مكتبة الآداب، القاهرة، مصر، (دط)، 2004، 223.

意思是说：在修辞学家看来，“转连”的普遍概念是：从一个意义转向另一个意义，或从一个话题转向另一个，或从一种表达方式转向另一种表达方式。

(3) “الالتفات”

**转连**是一种风格转变现象，演讲者通过这种转变在每一种表达形式和每一个语境中实现一种意义，从而使文本具有益处。

و الالتفات هو: "ظاهرة تحول اسلوبي يقوم به منشئُ الخطاب على نحو يحقق من خلاله في كل صيغة، وفي كل سياق دلالة تزول على النص بالفائدة"<sup>①</sup>

简单来说，阿拉伯语中的“الالتفات”

**转连**是从一种特定状态转移到另一种引人注目的状态，因为它脱离了表面意义。这种转变通常是为了达到说话者的特定目的。

“الالتفات”

**转连**的语言意义主要围绕转变、偏离和从一种状态向另一种状态的变化。

### 1.3汉语转品辞格与阿语转连修饰定义的对比分析：

1. 阿拉伯语的转连“الالتفات”是一种语境和意义的转换，通常涉及从一种语法状态到另一种语法状态的转变。它更关注表达方式的变化。相比之下，汉语的“转品”更偏向于词类的转换，即在不改变词语原有含义的基础上，而通过临时改变词性来实现特定的艺术效果。
2. 在“الالتفات”转连中，转变通常发生在整体语境或句子结构上，意图通过视角或话题的切换打破听者或读者的预期。而“转品”则是通过对个别词语的词性活用来达到表达的简洁和丰富性，这种转变主要依赖于词语本身的灵活性。

总体来说，尽管阿语“الالتفات”转连和汉语“转品”都属于修辞手法，并且都涉及某种语言转换，但它们的作用机制、应用方式和文化背景各不相同。

## 二、汉语转品辞格与阿语转连修饰的格式：

### 2.1汉语中的转品辞格的格式

① عباس يونس الحداد، الأنا في الشعر الصوفي، ابن الفارض أتمودجا، دار الحوار، سوريا، 2009، ص 105

汉语转品（或称“词性转换”），即词类的活用，是汉语诗歌的语言优势之一。词语被活用之后，一方面，词语的含义得到增值，意义变得更加丰富；另一方面，活用的词语给人以新奇的刺激，启发读者去咀嚼被活用的词的内在含义，引发读者丰富的联想，促使读者去体会诗人的用心。“词类的活用或曰转品，在中国古已有之；转品能使语言得到最大限度的简洁，同时又不失诗意醇厚。”<sup>①</sup>

例23，在歌曲《菊花台》中，“**是谁在阁楼上冰冷地绝望**”<sup>②</sup>，其中“冰冷”原本是形容词，但在这里用作副词修饰动词“绝望”，从而形成了修饰状语的效果。这种用法不仅赋予了词语新的用法，还通过简洁明了的句子表达了丰富的情感，使听众感受到一种深刻的“绝望”。

**“是谁”**

：指不明确的某个人，有一种不确定性，可能是某个正在承受痛苦和绝望的人。  
**“在阁楼上”**

：阁楼通常是一个较为狭窄、封闭的空间，这里暗示着一种隔绝与孤独的环境，象征着主人公处于一种与世隔绝的状态。  
**“冰冷地”**

：冰冷不仅仅指物理上的寒冷，还包含了心理上的冷漠、无情和痛苦的感受。

**“绝望”**：指的是一种极度的悲伤、无助和没有希望的状态。

这句歌词通过描写一个人独自待在寒冷的阁楼上，陷入绝望的情绪，表现出极度的孤独和悲伤。阁楼的冰冷不仅仅是环境的寒冷，更象征了心境的冷漠和孤立无援，仿佛陷入了一个没有温暖、希望和安慰的境地。

例24，在歌曲《发如雪》中，“**我等待苍老了谁**”，

<sup>③</sup>其中“苍老”作为形容词用作动词，表现出一种使动的意味，将原本静态的状态转化为一种动态的过程。

**“我等待”**：表达了“我”在持续等待的状态中，隐含着一种期待、盼望的情感。**“苍老了”**：指时间的流

<sup>①</sup>

张智中. 毛泽东诗词当中叠字、对偶、转品的英译, 湖南工程学院学报第19卷第3期9月2019年

<sup>②</sup>高琴. 浅析流行歌曲中的传统化修辞, 保定学院中文系 河北, 2011年,本人只引用了例子, 但是解释是本人自己解释的。

<sup>③</sup> 同上

逝和岁月的侵蚀，原本是形容人变老的过程。“谁”：指代不明确的某个人，可能是“我”在等待的人，也可能是“我”自己。这句歌词通过表达“我”一直在等待的过程，并且在漫长的等待中，自己或者等待的那个人都已经苍老了。这里有一种“等待中消耗了时光”的意味，仿佛“我”在漫长的岁月中始终怀揣着希望，但却随着时间的推移，等待的结果却未曾到来。诗句可以理解为一种等待中的失落和无奈，同时也暗示了岁月的无情，等待的过程让人不知不觉中变得苍老。

例25，在歌曲《花海》中，“**静止了，所有的花开，遥远了，清晰了爱**”<sup>①</sup>，这里的“苍老”和“清晰”都是将形容词转化为动词的用法，呈现了静态的美转变为动态的美。

这些例子展示了汉语转品的丰富表现力，通过灵活的词性转换，能够在有限的语言表达中展现无限的情感和意境。

#### “静止了”

：表示时间或场景停滞不前，仿佛一切都凝固在某个时刻。“**所有的花开**”：指的是花朵开放的景象，可以理解为美好的事物或情感的绽放。 “**遥远了**”

：表示某种情感、记忆或者人变得遥远，似乎已经离开当下。“**清晰了爱**”：意味着即使这些情感变得遥远，但爱依然清晰可见，更加明了。

这句歌词描绘了一幅宁静而美丽的场景：所有的花都静止在盛开的时候，仿佛时间冻结在那个美好的瞬间。这种静止不仅是对外界的描绘，也是对内心的一种映射。随着时间的推移，美好的景象变得遥远，但在回忆中，这份“爱”却更加清晰可见。虽然现实中“花开”的瞬间已经过去，但爱在心中变得更加清晰和确定。

在毛泽东诗词中，也常有转品运用。例26，“**粪土当年万户侯**”（《沁园春·长沙》）<sup>②</sup>中的“粪土”。“粪土”原本是名词，表示“粪便与泥土”。诗人将其用作动词，意为“**视如粪土**”，这样使得语气更加强烈、诗意更加鲜明，充分表现了对封建贵族的蔑视。

<sup>①</sup> 同上

<sup>②</sup>张智中. 毛泽东诗词当中叠字、对偶、转品的英译. 河南大学外语学院, 河南开封475001; 2. 中原工学院外语系, 河南郑州450007)

粪土原意是“粪便和泥土”，在这里用作动词，表示“视为粪土”。当年：指过去的时代。万户侯：指拥有万户封地的贵族，即封建社会中极为显赫的贵族阶层。

这句诗的意思是：把当年的富贵权贵视为粪土。这句诗反映了毛泽东对封建贵族和旧社会权力的蔑视，表现了对过去豪门贵族生活的不屑一顾和鄙弃态度。

例27：在毛泽东的诗《沁园春·雪》中，“数风流人物，还看今朝”<sup>①</sup>这一句中的“风流”再次展现了词语转品的妙用。“风流”在传统意义上是形容词，用来描述一个人风度翩翩、才华横溢、富有魅力。它经常用于赞美那些有独特风采和非凡才华的人，如“风流才子”或“风流佳人”。在这句诗中，“风流”由形容词转化为名词，指代“有才华的英雄人物”或“在历史上具有非凡成就的人物”。通过转品，“风流”不再是对个体特质的描述，而成为一个代表英雄群体的代名词，用以泛指那些在历史长河中对社会产生深远影响的伟大人物。

## 2.2 阿语转连修饰的格式 (أنواع الالتفات في اللغة العربية)

阿语转连修饰在《古兰经》指的是语言或叙述从一种方式转变为另一种方式，或从一种状态转变为另一种状态，如前所述。这种修辞手法多用于以下情况：

### 2.2.1 代词的转连修饰 (الالتفات في الضمان)

修辞学家一致认为转连“الالتفات”常见于代词的使用中，它表现为在叙述或表达中从第一人称转换到第二人称，从第一人称转换到第三人称，从第二人称转换到第一人称，从第二人称转换到第三人称，从第三人称转换到第一人称或第二人称。条件是第二个代词指代的对象与第一个代词指代的对象相同。由此产生了六种不同的代词的转连修辞方式。

如扎姆哈沙 (الزمخشري) 所述，语言中进行这种转换的好处在于通过改变表达方式，使听者和说话者从单一风格中解脱出来，保持新鲜感和活力。这一点得到了哈兹姆·卡尔塔吉尼 (القرطاجني) 的肯定，他说：“人们对持续使用第一人称或第二人称代词会感到厌倦，因此会从直接称呼转为第三人称代词。同样地，说话者在代词的使用上进行变化，有时使用‘我’来表示自述，有时使用‘你’来把自己当作对话者，有时使用

<sup>①</sup> 同上



‘他’来把自己当作旁观者。因此，连续使用第一人称或第二人称代词的语言并不讨喜，最好在它们之间进行转换。”<sup>①</sup>

### (1) 从第一人称转换到第二人称的 (الالتفات من المتكلم إلى الخطاب)

这种修辞方式的巧妙之处在于激励听众倾听说话者的言语，例1：《古兰经》中《雅辛章》第22节：“我为什么不崇拜那位创造我的主呢？你们终将归于他。”  
“الالتفات” 表现在从 (ومالي لا أعبد الذي فطرني وإليه ترجعون) 这里的转连 “الالتفات” 表现在从 “我为什么不崇拜” 的第一人称转变为 “你们终将归于他” 的第二人称。原本的表达应该是 “我终将归于他”，以与第一人称保持一致，但这里为了强调修辞效果，转变为第二人称，目的是激发听众对说话者的关注，因为他正在与他们对话，从而引起对听众的特别关注和重视。因此，这里的表达是在说话者自我劝诫的背景下展开的，他实际上是为了劝诫他的族人，巧妙地表达了他对他们的关切，然后转向直接对他们讲话，以此吓唬他们，并邀请他们归向真主。

例2:

وَأَوْرَثْنَا الْقَوْمَ الَّذِينَ كَانُوا يُسْتَضْعَفُونَ مَشَارِقَ الْأَرْضِ وَمَغَارِبَهَا الَّتِي بَارَكْنَا فِيهَا<sup>١</sup> وَتَمَّتْ كَلِمَتُ رَبِّكَ الْحُسْنَىٰ  
"عَلَىٰ بَنِي إِسْرَائِيلَ بِمَا صَبَرُوا<sup>٢</sup> وَدَمَّرْنَا مَا كَانَ يَصْنَعُ فِرْعَوْنُ وَقَوْمُهُ وَمَا كَانُوا يَعْرِشُونَ  
(سورة الأعراف: 137)

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我使被欺负的民众，继承了我曾降福其中的土地的境。以色列的后裔，能忍受虐待，故你的主对他们的最佳诺言已完全实现了；我毁灭了法老和他的百姓所构造的，和他们所建筑的。<sup>②</sup>

<sup>①</sup> "الالتفات في البلاغة العربية ونماذج من أسرار بلاغته في القرآن الكريم" د. طاهر عبد الرحمن فحطان أستاذ مشارك بقسم اللغة

العربية - كلية التربية - جامعة صنعاء - مجلة الدراسات الاجتماعية، المجلد 10، العدد 19، يونيو 2005م، منهاج البلاغ وسراج الأديباء لحازم القرطاجني ص 348.

<sup>②</sup> الترجمة العربية- محمد مكي- نسخة 1443هـ ترجمة معاني القرآن -

艾鲁斯

①الالوسي (愿安拉怜悯他) 在解释中提到: “在这节经文中, 从第一人称‘我主的良言’转为第二人称‘你主的良言’, 如同泰比所言, 这是因为前面部分讲述的是众所周知的历史故事, 但至于安拉至高无上的能力和完成他所应许的事, 这对于他 (愿安拉赐他平安) 而言是已知的。”②

这种转品强调安拉在这一问题上已经履行了对先知的承诺, 同时也确认了安拉对穆罕默德 (愿安拉赐他平安) 的承诺的完整性。这种修辞手法用于赋予言辞更多的重视和关注, 并吸引听众或读者的注意。

## (2) 从第一人称转变为第三人称的 (الالتفاف من أسلوب المتكلم إلي الغائب)

这种修辞方式在《古兰经》中非常常见, 例3:

(إِنَّا أَعْطَيْنَاكَ الْكَوْثَرَ، فَصَلِّ لِرَبِّكَ وَانْحَرْ)

《古兰经》中《库瑟尔章》第1节和第2节: “我们确实赐给你库瑟尔 (丰盈的恩惠), 所以你应当为你的主而祈祷, 并宰牲祭。”

“在这里, 首先以第一人称“我们赐给你”进行表达, 然后转为第三人称“为你的主”, 而不是“为我们”。这种修辞手法的转变出现在“我们赐给你”和“为你的主”中。其目的在于让听众理解说话者的意图, 无论他是在场还是不在场。其修辞上的奥秘在于激励听众为了主的权利而进行祈祷, 因为谁养育你, 谁就值得崇拜。”③

例 : 4

فَلْيَأْتِهَا النَّاسُ إِلَى رَسُولِ اللَّهِ يُكَلِّمُكُمْ جَمِيعًا الَّذِي لَهُ مُلْكُ السَّمَاوَاتِ وَالْأَرْضِ ۖ لَا إِلَهَ إِلَّا هُوَ يُحْيِي وَيُمِيتُ ۗ فَاتَّقُوا اللَّهَ بِاللَّهِ  
وَرَسُولِهِ النَّبِيِّ الْأُمِّيِّ الَّذِي يُؤْمِنُ بِاللَّهِ وَكَلِمَاتِهِ وَاتَّبِعُوهُ لَعَلَّكُمْ تَهْتَدُونَ

① محمود شهاب الدين أبو النشاء الحسيني الالوسي (1217-1270 هـ)، (1803 - 1854م)، مفسر، ومحدث، وفقهه، وأديب، وشاعر، ②

مؤلف روح المعاني في تفسير القرآن العظيم والسبع المثاني. والمعروف بـ (تفسير الالوسي)

③ روح المعاني في تفسير القرآن العظيم والسبع المثاني ، لالوسي 54 - 55

④ "وجه بلاغية ودلالية في سورة الكوثر" د. عمر الكبيسي، مجلة جامعة عجمان للعلوم والتكنولوجيا، العدد الثاني ص 184. 2002م

在《古兰经》中，《阿拉夫章》第158节：“人们啊，我确实是安拉的使者，向你们所有人发来的……所以你们要信仰安拉和他的使者。”

这节经文中的修辞转变从“我确实是安拉的使者”（إِنِّي رَسُولُ اللَّهِ إِلَيْكُمْ جَمِيعًا）转变为“所以你们要信仰安拉和他的使者”（فَأْمِنُوا بِاللَّهِ وَرَسُولِهِ），这是符合《古兰经》神奇的语境的。这种转品（从第一人称转变为第三人称的）包含两个修辞目的：

1. 突显先知（愿安拉赐他平安）的特质，这些特质是他真实性的最有力证明。
2. 排除对他个人的偏见，表明他的使命是为了传播那些在经文中提到的特质。

### (3) 从第二人称转变为第一人称的 (الانتفات من الخطاب إلى المتكلم)

例5: قُلْ اللَّهُ أَسْرَعُ مَكْرًا إِنَّ رُسُلَنَا يَكْتُبُونَ مَا نُمَكِّرُونَ

《尤努斯章》第21节的经文：“你说：安拉的诡计更快，我们的使者记录你们的诡计。”

在这节经文中，开始使用的是第二人称的表达“你说：安拉”，然后转变为第一人称的“我们的使者”，仿佛安拉自己也在以被对话者的身份自述。修辞上的奥秘在于威胁那些以诡计对付安拉的异教徒，因为安拉的诡计比他们的诡计更为迅速和有效。

例6: وَأَسْتَغْفِرُوا رَبَّكُمْ ثُمَّ تُوبُوا إِلَيْهِ إِنَّ رَبِّي رَحِيمٌ وَدُودٌ

另一个例子是《胡德章》第90节：“你们应当向你们的主请求宽恕，然后向他悔过，因为我的主确实是宽容和慈爱的。”

在这节经文中，开始部分使用的是第二人称的表达“你们应当向你们的主请求宽恕”，然后在结尾转变为第一人称的“我的主确实是宽容和慈爱的”。如果按照表面意思，应该说“你们的主”，修辞上的奥秘在于暗示“你们的主”和“我的主”是同一个主。

### (4) 从第二人称转变为第三人称的 (الانتفات من الخطاب إلى الغائب)

例7: هُوَ الَّذِي يُسَيِّرُكُمْ فِي الْبَرِّ وَالْبَحْرِ طَحَّى إِذَا كُنْتُمْ فِي الْفُلْكِ وَجَرَيْنَ بِهِمْ بِرِيحٍ طَيِّبَةٍ وَفَرِحُوا بِهَا جَاءَتْهَا رِيحٌ غَاصِفٌ وَجَاءَهُمُ الْمَوْجُ مِنْ كُلِّ مَكَانٍ وَظَنُّوا أَنَّهُمْ أُجِيطَ بِهِمْ دَعَوُا اللَّهَ مُخْلِصِينَ لَهُ الدِّينَ لَئِن أَنْجَيْتَنَا مِنْ هَذِهِ لَنُكَفِّرَنَّ مِنَ الشَّاكِرِينَ

这个例子是《尤努斯章》第22节的经文：“直到你们在船上，风平浪静地驶过他们。”这节经文中，开始使用的是第二人称的表达“如果你在船上”（حَّى إِذَا كُنْتُمْ فِي الْفُلْكِ），然后转变为第三人称的“风平浪静地驶过他们”（جَرَيْنَ بِهِمْ بِرِيحٍ طَيِّبَةٍ）。按照表面意思，应该说“风平浪静地驶过你们”，这种从第二人称转为第三人称的修辞手法是为了在文中突出对异教徒行为的尊重和惊叹，因为与信徒和异教徒的对话在《古兰经》中出现，例如“他是引导你们在陆地和海上的”（《古兰经》）。如果用“风平浪静地驶过你们”，则会对所有人进行责备。因为他们在登船时担心会遭遇灾难和风暴，所以使用了对在场者的呼唤；而当风平浪静地行驶时，安拉则用第三人称来提醒他们。

例8: ذَلِكُمْ بِأَنكُمْ آتَّخَذْتُمْ آئِلَاتِ اللَّهِ هُزُورًا وَغَرَّكُمْ الْحَيَاةُ الدُّنْيَا فَالْيَوْمَ لَا يُخْرَجُونَ مِنْهَا وَلَا هُمْ يُسْتَعْتَبُونَ

045:035

那是由于你们把真主的迹象当作笑柄，尘世的生活欺骗了你们的缘故。今日，他们不被放出火狱，也不得邀恩。

在这节经文中的“الاتفات”是从第二人称代词转变为第三人称代词。具体表现在以下几点：

1. **对听众的直接呼唤：**开始时，安拉用“ذَلِكُمْ”（即“你们”）来直接责备和指责那些怀疑者，突出直接的谴责和责备。
2. **转变为第三人称：**接着，表达转变为第三人称代词，如“لَا يُخْرَجُونَ”（他们将被不会被释放）和“لَا هُمْ يُسْتَعْتَبُونَ”（他们也不会被要求赎罪），这表明他们无法改变自己的命运，也不会被要求道歉。

这种转品“الاتفات”手法的作用在于强调与听众的距离，避免直接影响他们，从而加强信息的力量，表明他们处于一个无法改变或找到逃生机会的境地。

(5) 从第三人称转变为第一人称的 (الاتفات من الغيبة إلى المتكلم)

例9: ”وَأَوْحَىٰ فِي كُلِّ سَمَاءٍ أَمْرَهَا وَزَيَّنَّا السَّمَاءَ الدُّنْيَا بِمَصَابِيحَ“

在《古兰经》《福斯拉特章》第12节的经文中：

041:012

他在两日内创造了七层天，他以他的命令启示各天的居民，他以众星点缀最低的天，并加以保护。那是万能的、全知的主的预定。

这节经文展示了一种修辞上的转品“الالتفات”，即从第三人称转变为第一人称的风格。这种修辞手法改变了表达的方式。在这一节中，我们可以看到：

1. **第三人称的表达：** 经文的前半部分使用了第三人称代词，指的是安拉，暗示安拉是启示每个天空的命令的人，而“我们装饰”表明安拉是装饰世界的天空的，采用了间接的表达方式。
2. **转变为第一人称：** 在“我们装饰”中，使用了第一人称复数“我们”，这种表达方式直接强调了说话者（安拉）的角色，并加强了对所做行为的强调。

这种从第三人称到第一人称的转变加强了对安拉作为行为实施者的伟大性的确认，显著展示了安拉的能力和权威。这个修辞手法在阿拉伯修辞中非常有效，通过改变表达方式对读者或听众产生更强的影响。

例10: وَقَالَ اللَّهُ لَا تَتَّخِذُوا إِلَهَيْنِ إِلَّا مَا هُوَ إِلَهٌُ وَجِدْ فَإِنِّي فَازٌ هَبُونَ

《古兰经》《蜜蜂章》第51节的经文中：

016:051

真主说：你们不要崇拜两个主宰，应受崇拜的，只是一个主宰。所以你们应当只畏惧我。

这节经文中展现了转品“الالتفات”这一修辞手法，即从第三人称转变为第一人称。具体可以解释如下：

1. **第三人称的表达：** 在经文的前半部分，使用了第三人称来指代安拉，如“安拉说”（ قَالَ اللَّهُ لَا تَتَّخِذُوا ）和“他只有一个神明”。在这里，安拉的提及是间接的。
2. **转变为第一人称：** 在经文的后半部分，表达转为直接的第一人称，即“唯有我，你们应当畏惧我”（ فَإِنِّي فَازٌ هَبُونَ ）。使用了第一人称代词“我”，直接表明安拉是说话者，并要求人们只敬畏他。

这种转变加强了神圣信息的力度，突出了安拉作为直接命令者的地位，加深了对神的单一性的确认，并强调了对安拉的敬畏。这种修辞手法使得信息更加有力，对读者或听众的影响更为深远。

#### (6) 从第三人称转变为第二人称的 (الالتفات من الغيبة إلى الخطاب)

例10: "مَالِكِ يَوْمِ الدِّينِ \* إِيَّاكَ نَعْبُدُ وَإِيَّاكَ نَسْتَعِينُ"

在《古兰经》第1章第4-5节的经文中：

"إِيَّاكَ نَعْبُدُ وَإِيَّاكَ نَسْتَعِينُ \* مَالِكِ يَوْمِ الدِّينِ"

可以观察到从第三人称到第二人称的转变：

1. **第三人称的表达：**在经文的第一部分，“مَالِكِ يَوْمِ الدِّينِ”使用了第三人称的表达方式来指代安拉（上帝）作为“审判日的主宰”。这种表达方式是间接的，显示出对安拉的描述而不是直接对话。
2. **转变为直接的第三人称：**在经文的第二部分，“إِيَّاكَ نَعْبُدُ وَإِيَّاكَ نَسْتَعِينُ”，使用了第二人称代词“إِيَّاكَ”，直接对安拉说话，表明信徒与安拉之间的直接和亲密关系。这里使用了“我们崇拜你”和“我们请求你的帮助”来表明直接的崇拜和寻求援助。

通过直接向安拉表达崇拜和寻求帮助，信徒能够更明确地表达自己的需求和愿望。

"وسر هذا الالتفات أن الحامد لما حمد الله تعالى ووصفه بعظيم الصفات، بلغت به الفكرة منتهاها فتخيل نفسه في حضرة الربوبية فخاطب ربه بالإقبال، ولذلك تخلص الكلام من التناء إلى الدعاء، والدعاء يقتضي الخطاب" □.

例11: وَأَدُّنْ مِنْ اللَّهِ وَرَسُولِهِ إِلَى النَّاسِ يَوْمَ الْحَجِّ الْأَكْبَرِ أَنَّ اللَّهَ بَرِيءٌ مِنَ الْمُشْرِكِينَ وَرَسُولُهُ فَإِنْ تُبْتُمْ فَهُوَ خَيْرٌ لَكُمْ وَإِنْ تَوَلَّيْتُمْ فَأَعْلَمُوا أَنَّكُمْ غَيْرُ مُعْجِزِي اللَّهِ وَبَشِّرِ الَّذِينَ كَفَرُوا بِعَذَابٍ أَلِيمٍ

009:003

（这是）从真主及其使者在大朝之日传示众人的通告：真主及其使者对于以物配主者是无干的。如果你们悔过，那对于你们是更好的，如果你们背离，那末，须知你们不能逃避真主的谴责。你以痛苦的刑罚向不信道者报喜吧。

الالتفات في البلاغة العربية ونماذج من أسرار بلاغته في القرآن الكريم" د. طاهر عبد الرحمن قحطان أستاذ مشارك بقسم اللغة ①

العربية - كلية التربية - جامعة صنعاء - مجلة الدراسات الاجتماعية، المجلد 10، العدد 19، يونيو 2005م

可以观察到从第三人称到第二人称的明显转变：

1. 第三人称的表达：

“وَأَدَانِي مِّنَ اللَّهِ وَرَسُولِيَّ” 和 “مِنَ الْمُشْرِكِينَ” 和 “أَنَّ اللَّهَ بَرِيءٌ مِّنَ الْمُشْرِكِينَ” 使用了第三人称，间接提及安拉和使者，传达了他们的声明和立场。

2. 转变为直接的第三人称：

“فَاعْلَمُوا أَنَّكُمْ غَيْرُ مُعْجِزِي اللَّهِ” 和 “فَإِن تُبْتِغُوا فَهَوْ خَيْرٌ لَّكُمْ”

使用了第二人称，直接对那些悔改或拒绝悔改的人发话，强调他们应当意识到自己的处境和行为后果。

通过从第三人称转变为第二人称，信息直接传达给目标受众（那些需要悔改的人），从而增强了信息的紧迫性和直接性。这种转变使得警告和劝告更加有力 and 清晰，提醒那些拒绝悔改的人，他们将无法逃避安拉的惩罚，并鼓励悔改以获得好处，另外直接的呼唤使得信息更加贴近受众，增加了对个人行为后果的关注，促使他们认真对待悔改和信仰的要求。

2.1.2 动词的转连修饰 (الانفصالات في الأفعال)

在动词的用法中，修辞转品可以发生在过去时到未来时、未来时到过去时、未来时到命令式、以及从过去时到命令式等不同形式之间。以下是一些例子：

(1) 从过去时到未来或现在时的转换

在阿拉伯语中，可以使用现在时来表达发生在过去的事件，以使事件的画面感更强，仿佛它正在听者面前发生。这种手法称为“将过去带入现在”

或“用现在时描绘过去”，这是一种转类修辞手法（从过去到现在的转类），用于赋予叙述或描述更多的生动性和现实感。

例12: وَإِذْ يَتَحَاوَرُونَ فِي النَّارِ قِيْقُولُ الضُّعْفَاءُ لِلَّذِينَ اسْتَكْبَرُوا إِنَّا كُنَّا لَكُمْ تَبَعًا فَهَلْ أَنْتُمْ مُعْتَدُونَ عَلْنَا نَصِيبًا مِّنَ النَّارِ (سورة غافر: 47)

在《古兰经》中，真主说：“他们在火狱中彼此争论，软弱者对自高自大的说：

“我们曾追随你们，你们能替我们分担一部分火刑吗？”（غافر

47节）。这里使用了现在时的“争论”（يَتَحَاوَرُونَ）和“说”

（يَقُولُونَ），尽管这个事件已经发生在过去，这样做是为了突出场景的生动性，使其仿佛出现在听者眼前。

这里事件以过去时“وَإِذْ”开头，然后使用现在时的“يَتَحَاوَرُونَ”来表达过去发生的对话，这赋予了场景一种仿佛正在发生的现实感。

修辞妙处在于使读者或听众感到事件仿佛就在眼前，从而增强文本的影响力，并更加吸引注意力。

例13: وَاللّٰهُ الَّذِيۡ اَرْسَلَ الرِّيۡحَ فَثَبَّيرُ سَحَابًاۙ فَسُقَّطُهُۥ اِلَىۡ بَلَدٍ مَّيِّتٍۙ فَاحْيَيْنَاۤ بِهٖۙ الْاَرْضَۙ بَعْدَ مَوْتِهَاۙ كَذٰلِكَۙ نُنۡشِرُكَ  
الآية (٩) من سورة فاطر

“035:009

真主使风去兴起云来，然后，把云赶至一个已死的地方，而借它使已死的大地复活。死人的复活就是这样的。”

（《创造者》9节）这节经文中存在着从动词“发出”（过去时）到“翻涌”（现在时）的转变。其修辞意义在于通过现在时表达过去的事件，营造出一种持续性、更新性，并且将画面感生动地展现在读者眼前，仿佛这一切正在发生。这种手法在《古兰经》中频繁出现，修辞学家认为，用过去时描述未来事件在表达上更具震撼力，如在此节经文中，过去时不仅强化了事件发生的确定性，还增强了其修辞效果。

## (2) 从未来或现代时到过去时的转换

将动词从未来时转到过去时是修辞中称为“转品”的一种技巧，这赋予文本力量和吸引力。这种技巧用于通过过去时形式表达将来发生的行为，从而赋予该行为更强的确定性和强调性。正如伊本·阿西尔 (ابن الأثير) 所指出的那样，用过去时来描述尚未发生的未来行为更具修辞性和确定性，因为它表现出该行为已经发生的含义，给人一种未来行为已确定会发生的印象，尤其是当这个行为是重要或重大的事情时。

“这种修辞手法表达了深刻的意义，并赋予文本一种生动的力量和强调感，使得要传达的想法更加清晰和有影响力。”<sup>①</sup>

例14:

قوله تعالى: "وَيَوْمَ يُنْفَخُ فِي الصُّورِ فَنُزِعَ مَنْ فِي السَّمَاوَاتِ وَمَنْ فِي الْأَرْضِ" (سورة النمل، الآية 78).

“在经文

“在号角吹响的那天，天上和地上的一切都会惊恐万分”（《古兰经》蚂蚁章78

اسلوب الالتفات في خطب الإمام الحسن، أعداد المدرس المساعد: حوراء غازي عناد السلامي، قسم علوم القرآن الكريم، كلية الفقه،  
جامعة الكوفة، العراق، عن دار نشر نجف: العتبة الحسينية المقدسة، مركز الإمام الحسن (ص) للدراسات المتخصصة، 2018-  
1439هـ، الطبعة الأولى، مقتبس من المثل السائر في أدب الكاتب والشاعر- أبو الفتح ضياء الدين نصر الله بن محمد بن محمد  
بيروت/ 1995م بن الأثير بن عبد الكريم الموصلي (637هـ-). تحقيق: محمد محيي الدين عبد الحميد. المكتبة العصرية -



节) 中, 描述了一个未来事件。这里使用了现在时动词“يُنْفِخُ” (吹响) 来指代未来的事件, 然后转用过去时动词“فَفَزِعَ” (惊恐万分), 使得这一事件更加有力且确定。

扎马赫沙里 (الزمخشري) 对此进行了分析, 他在解释这节经文时, 关注到了这种风格上的转变。他提出了一个问题: 为什么在“يُنْفِخُ”之后没有继续使用现在时动词“يُنْفِخُ”, 而是改用了过去时的“فَفَزِعَ”? 他的回答是, 这种使用方法具有修辞上的“独特之处”, 即表明恐惧是确凿无疑的, 仿佛它已经发生。因此, 过去时动词成为了确认未来事件必然发生的一种手段。”<sup>①</sup>

这样从现在时到过去时的转换强化了文本的确定性。过去时动词在未来语境中, 使事件带有了确定无疑的性质, 给读者留下了深刻的印象。这种表达方式在事件发生之前就已经使它显得不可避免且确定无疑。

### (3) 从未来或现代时到命令式的转换

“有时, 文本开始时使用现在时动词, 表示当前或将来的状态。然后在同一语境中转为祈使句形式。这种转变并不总是有明确的特定目的, 但它反映了不同的修辞效果, 包括强调、夸张、嘲讽或强调承诺。在《古兰经》的例子中, 这种转变反映了强调力度的增加, 特别有助于增强文本的影响力和强调所需的意义。”<sup>②</sup>

例15:

قوله تعالى: "قال إني أشهدُ اللهَ وأشهدوا أني بريء مما تشركون من دونه فكيدون جميعاً ثم لا تتظنون" (سورة هود، الأيتان 54 و55)

在《古兰经》呼德章第54和55节中: “他说: 我让真主作证, 你们也作证, 我对你们所崇拜的那些偶像毫无关系。你们都来对付我吧, 不要等待。”这里, “أشهدُ” (我让真主作证) 使用了现在时动词形式, 但在“أشهدوا” (你们作证) 中转为祈使句。原本预期的是“وأشهدكم” (我让你们作证), 以使动词形式相一致。然而, 在这段经文中, 使用了祈使句形式“أشهدوا”。这种转变反映了重要的修辞目的,

① اللغات في البلاغة العربية ونماذج من أسرار بلاغته في القرآن الكريم" د. طاهر عبد الرحمن فحطان أستاذ مشارك بقسم اللغة العربية - كلية التربية - جامعة صنعاء - مجلة الدراسات الاجتماعية، المجلد10، العدد 19، يونيو 2005م، مقتبس من الكشاف /3 ط. 2010. دار المعرفة بيروت.

② اللغات في البلاغة العربية ونماذج من أسرار بلاغته في القرآن الكريم" د. طاهر عبد الرحمن فحطان أستاذ مشارك بقسم اللغة العربية - كلية التربية - جامعة صنعاء - مجلة الدراسات الاجتماعية، المجلد10، العدد 19، يونيو 2005م، مقتبس من الكشاف /3 ط. 2010. دار المعرفة بيروت.

即夸张和尊重。使用祈使句形式在这里增加了声明的重量，增强了宣誓的严肃性和重要性。

在伊玛目哈桑的演讲中（مما ورد في خطب الإمام الحسن），这种转连也有出现，例：  
: 16

(ألا وإن ما تکرهون في الجماعة خير لكم مما تحبون في الفرقة ألا وإنی ناظر لكم خير من نظرکم لانفسکم، فلا تخالفوا أمری ولا تردوا علی رأی)①

他在呼吁进行圣战时说：“你们应该知道，集体中你们厌恶的事物比分裂中你们喜爱的事物对你们更有好处。你们要知道，我对你们的关怀比你们对自己更好，所以不要违背我的命令，也不要拒绝我的意见。”

在这段演讲中，“不要违背”（لا تخالفوا أمری）和“不要拒绝”（ولا تردوا علی رأی）使用了命令句形式。然而，这些祈使句实际上传达了陈述的意义，这种形式的使用旨在强调对命令的严格遵守，即跟随我们的指引，你们将找到正确的道路。伊玛目通过这种方式强调了正确的道路与指导依赖于不违背和不拒绝他的命令。他将两个命令结合起来，意在确保他们能够得到指导和正道。

#### (4) 从过去时到命令式的转换

在阿拉伯语中，从过去时转换为命令式是一种不常见的修辞手法。因为阿拉伯人在讲话时倾向于使用最简单、最清晰的表达方式，以确保听众能够理解。然而，这种手法在《古兰经》以及阿拉伯人的演讲中偶尔会被使用，以实现特定的修辞目的，例如强调或急切要求。以下是一个例子：

例17: 真主说: "قُلْ أَمَرَ رَبِّي بِالْقِسْطِ وَأَقِيمُوا وُجُوهَكُمْ عِنْدَ كُلِّ مَسْجِدٍ وَادْعُوهُ" (الأعراف: 29)

在这节经文中，如果保持一致的表达方式，可以说: "أمر ربي بالقسط وأمرکم أن تقيموا" "وجوهکم"。然而，从过去的陈述句转换为命令句的目的在于强调建立祈祷的重要性，这是真主对其仆人最重要的命令之一。

这种类型的转品"الالتفات"只有对修辞学和语言学有深刻理解的人才能使用，因为它需要洞察修辞的秘密并理解其目的。在此转换中的修辞奥秘在于敦促穆斯林真诚地向真主祈祷并忠实地履行其命令。

#### 2.1.3 数字的转连修饰 (الالتفات في الأعداد)

أعلام الهداية، الإمام الحسن المجتبي: المجمع العالمي لأهل البيت، ط1، ليلي، ١٤٢٢هـ.

在数词中的转折体现为从单数到双数，再到复数的转换，反之亦然。数词中的转品可以分为六种类型：从单数到双数的转品、从单数到复数的转品、从双数到单数的转品、从双数到复数的转品、从复数到单数的转品和从复数到双数的转品。

### (1) 从单数到双数的转连 (الانتقال من خطاب المفرد إلى خطاب المثنى)

在相同的语境中，讲话从对一个人的形式转换为对两个人的形式。例18:

في الآية الكريمة من سورة يونس: "قَالُوا أَجِئْتَنَا لِنَأْوِتَنَّ عِمَّا وَجَدْنَا عَلَيْهِ ءَابَاءَنَا وَتَكُونَ لَكُمَا الْكِبْرِيَاءُ فِي الْأَرْضِ وَمَا نَحْنُ لَكُمَا بِمُؤْمِنِينَ" (الآية 78)

他们说：你到我们这里来，想使我们抛弃我们的祖先的宗教，而让你俩称尊于国中吗？我们绝不会信任你俩。

这里明显出现了从单数代词到双数代词的转换。经文开头的“你到我们这里来”以单数形式指向穆萨先知（愿他平安），而随后转为双数形式“让你俩称尊于国中吗”，这是指穆萨和他的兄弟哈伦（愿他们平安）。

这一修辞转换的奥妙在于斥责和否定，表明他们拒绝了他们认为的穆萨和哈伦试图在地上控制和自大。这里从单数到双数的转换不仅增强了抗议和否认的力度，还进一步突出了反对者眼中对这两位先知的假想意图的描绘。这种转换不仅增加了修辞的层次感，还强化了对深层含义的强调，使读者或听者注意到话语中对话和互动的转变。

### (2) 从单数到复数的转连 (الانتفات من خطاب المفرد إلى خطاب الجمع)

在相同的语境中，讲话从对一个人的形式转换为对几个人的形式。例19: سورة  
(الآية 1) "يَا أَيُّهَا النَّبِيُّ إِذَا طَلَّقْتُمُ النِّسَاءَ: الطلاق

先知啊！当你们休妻的时候

这里显示了从单数形式到复数形式的转换。在经文的开头，讲话以单数形式对先知（愿他平安）说：“ يَا أَيُّهَا النَّبِيُّ ”，然后转变为复数形式“ طَلَّقْتُمْ ”（“你们离婚”），这包含了先知和他的民众。

这种修辞转换的奥妙在于强调和提示主题的重要性，讲话不仅针对尊贵的先知，还包含了他的民众。这表明这些规定和教导不仅限于先知，而是适用于所有

信徒。这种修辞加强了讲话的重要性，使所提到的事项成为需要所有人关注和执行的普遍问题。

### (3) 从双数到单数的转连 (الالتفات من خطاب المثني إلى خطاب المفرد)

在相同的语境中，讲话从对两个人的形式转换为对一个人的形式。例19: سورة 19: **طه** (الآية 49) "فَمَنْ رَبُّكُمَا يَا مُوسَىٰ":

他说：“穆萨啊！谁是你俩的主？”

这里显示了从双数形式到单数形式的转换。在“رَبُّكُمَا”中，讲话是针对穆萨和他的兄弟哈伦（愿他们平安）的，但随后突然转为单数，这种转换特别针对穆萨“موسى”（愿他平安）。

这种修辞转换的奥妙在于特别强调穆萨，而不忽略哈伦的涵盖，这反映了穆萨身上的更大责任和角色，无论是在接受启示还是在警惕避免陷入错误时。这种类型的修辞转换增加了演讲的修辞效果，加强了讲话的心理影响，并特别突显了穆萨所面临的极其重要的内容。

### (4) 从双数到复数的转连 (الالتفات من خطاب المثني إلى الجمع)

在相同的语境中，讲话从对两个人的形式转换为对几个人的形式。例20:

وَأَوْحَيْنَا إِلَىٰ مُوسَىٰ وَأَخِيهِ أَنْ تَبَوَّءَا لِقَوْمِكُمَا بِمِصْرَ بَيْوتًا وَأَجْعَلُوا بُيُوتَكُمْ قِبْلَةً وَأَقِيمُوا الصَّلَاةَ  
وَبَشِّرِ الْمُؤْمِنِينَ (سورة يونس الآية 87)

我曾启示穆萨和他的哥哥说：“你俩当为自己的宗族而在埃及建造些房屋，你们应当以自己的房屋为礼拜的地方，你们应当谨守拜功，你应当向信士们报喜。”这里显示了从双数形式“تَبَوَّءَا”到复数形式“أَجْعَلُوا”的转换。在这节经文中，首先以双数形式对穆萨和他的兄弟哈伦（愿他们平安）讲话，然后转为复数形式。

根据扎尔卡什的观点 (الزركشي)

①，这种修辞转换的奥妙在于使用双数形式的智慧，因为穆萨和哈伦是负责建立

①

扎尔卡什 (الزركشي) 是伊斯兰传统中杰出的学者之一，他的全名是巴德尔·丁·穆罕默德·本·阿卜杜拉·扎尔卡什。扎尔卡什以其在古兰经学、圣训学和伊斯兰法学方面的渊博知识而闻名。他最著名的著作之一是《古兰经学的证据》，这本书从不同的角度探讨了古兰经学，如古兰经的奇

先知使命和制定律法的人，因此特别针对他们。之后转换为复数形式，则是将指令扩展到他们的民众，使所有信徒都受到这一指导，从而加强了信息的重要性，并强调了神圣命令对所有信徒的普遍性。

#### (5) 从复数到单数的转连 (الالتفات من خطاب الجمع إلى المفرد)

在相同的语境中，讲话从复数的形式转换为单数的形式。例21:

وَأَقِيمُوا الصَّلَاةَ وَبَشِّرِ الْمُؤْمِنِينَ (سورة يونس الآية 87)

“你们应当谨守拜功，你应当向信士们报喜。”

显示了从复数形式“أقيموا”到单数形式“بشر”的修辞转换。在这节经文中，讲话首先以复数形式对信徒们说“أقيموا”（建立礼拜），然后转为单数形式“بشر”（宣告喜讯）。这种修辞转换的奥妙在于与现实的契合，表明最终的引导和喜悦仅来自于真主。虽然对信徒们的祈祷指令以复数形式发出，但预示和引导的最终结果则掌握在真主手中。这种转换反映出，虽然指导和鼓励来自于先知（愿他平安），但真正的引导和结果则依赖于真主，这增强了谦逊和对真主的依赖感。

#### (6) 从复数到双数的转连 (الالتفات من خطاب الجمع إلى المثني)

在相同的语境中，讲话从复数的形式转换为双数的形式。例22:

يُمْعَشِرَ الْجَنِّ وَالْإِنْسِ إِنْ أَسْتَطَعْتُمْ أَنْ تَنْفُذُوا مِنْ أَقْطَارِ السَّمُوتِ وَالْأَرْضِ فَانْفُذُوا لَا تَنْفُذُونَ إِلَّا بِسُلْطَنِ قِبَائِي  
ءِ الْآءِ رَبِّكُمْ تَكْتَبَانِ (سورة الرحمن - الآية 33-34) ①

迹性、解释学、诵读和传述的科学。此书是研究古兰经学的重要资料，对伊斯兰思想产生了深远的影响。

ملحوظة: تفسير الآيات القرآنية السابقة هي ترجمة عن تفسير العلماء للقرآن الكريم، من موقع "الجامع التاريخي لتفسير القرآن الكريم"، يمكن الاطلاع عليه عبر هذا اللينك:

提示：前述《古兰经》经文的解释是根据学者对《古兰经》的解读翻译的，源自网站“古兰经注释汇编”，可通过以下链接查看：

<https://www.tafasir.online/ar?books=169&aya=3&sura=4>

精灵和人类的群众啊！如果你们能通过天地的境界，你们就通过吧！你们必须凭据一种权柄，才能通过。你们究竟否认你们的主的哪一件恩典呢？

这里显示了从复数形式到双数形式的修辞转换。开始时，神明以复数形式对精灵和人类说：“耶，精灵与人类的群众” **يُمَعِّشِرَ** **الْجِنِّ** **وَالْإِنْسِ**،但在“زَبْرًا”（你们的主）中转为双数形式，这指向精灵和人类作为两个不同的类别，强调真主是精灵和人类的主。

这一节经文的修辞奥妙在于对能力的夸大。将讲话从复数形式转换为双数形式，突显了真主对精灵和人类的宏大能力，并质疑对无法否认的恩惠的反驳。这种转换展示了真主的能力超越了所有想象，并强调了被造物在面对或实现真主要求时的无能。

### 2.3汉语转品辞格与阿语转连修饰的格式对比分析

阿拉伯语和汉语的转品格式完全不一样的：

阿拉伯语有：

- **代词转连**：在代词的使用中，可以在第一、第二、第三人称之间转换，共有六种转品方式。这种转品通常用于增强表达的活力和多样性。
- **动词转连**：主要在动词的时态和语式之间发生转换，如从过去时转换到未来时，从未来时转换到命令式等。这些转品增加了表达的灵活性和修辞效果。
- **数字转连**：涉及单数、双数和复数之间的相互转换，共有六种类型的转品。这种转品用来丰富数词的表达，增强表达的生动性。

汉语只有：

- **词性转品**：汉语的转品仅涉及词性之间的转换。例如，将名词用作动词、将形容词用作名词等。汉语的转品主要关注词的语法功能转换，而不涉及人称、时态或数词的变化。

阿拉伯语的转品更加侧重于修辞的灵活性和多样性，而汉语的转品则更加注重表达的精炼和表现力。

### 三、汉语转品辞格与阿语转连修饰的修辞功能与效果

阿拉伯语与汉语中的转品辞格（الالتفات）在修辞功能和效果上各具特色，具体体现在以下几个方面：

#### 3.1阿语转连修饰的修辞功能与效果

1. **增强表达的多样性和灵活性：**

- **代词转连：**通过在不同人称代词之间的转换（如从第一人称到第二人称或第三人称），阿拉伯语可以丰富叙述的层次，使表达更具活力。例如，在叙述中从讲述自己转到讲述他人，可以更清楚地传达感情或观点。
- **动词转连：**在时态或语式的转换（如从过去时到未来时、从未来时到命令式），可以增强语言的表现力。例如，通过这种转换，可以体现时间的流逝或动作的紧迫感。
- **数字转连：**通过单数、双数、复数的变化，使数词的表达更加生动，反映不同的数量关系，从而提升表达的精确性和修辞效果。

## 2. 修辞的强调和突出：

- **修辞效果：**阿语转连常用于宗教讲话和演讲中，通过转品的修辞手法来突出某些概念或情感，增加语言的节奏感和韵律美。例如，代词的转换可以增强某一部分的重点，或者动词时态的转换可以加强语义的对比。

## 3. 引起读者或听者的注意：

- **情感表达：**通过转连，阿拉伯语能够在情感表达上做到细腻且具有冲击力，例如通过变化的代词强调个人情感的变化，或者通过动词的时态变化增强故事的动感。

## 3.2 汉语转品辞格的修辞功能与效果

### 1. 丰富语言的表现力：

- **词性转品：**汉语通过将名词转化为动词，或将形容词转化为名词等，能够以简洁的方式表达复杂的概念。例如，将“红色”作为名词来表示颜色的本质，将“冰冷”作为副词来修饰动词，能够赋予语言新的层次和表现力。

### 2. 增强句子的生动性和紧凑性：

- **表达简化：**汉语中的词性转品可以使表达更加简洁且富有表现力。例如，使用形容词作为动词可以简化句子结构，使描述更加直接而富有动感。

### 3. 创造诗意和美感：

- **诗词创作：**汉语转品常用于诗词创作中，通过词性转换，使句子富有韵律感和诗意。例如，使用名词作为动词可以在诗歌中创造出独特的意象和美感，增加诗句的艺术性和表达的深度。

总而言之

从语义角度看：在这两种语言，阿语转连和汉语转品增强了意义，并通过增加新的表达层面来丰富文本。

从语用角度看：转换用于引导注意力或改变对话的进程，以突出某个特定点或澄清某种立场。

从修辞功能看：阿语转连和汉语转品在构建文本的说服力和美感方面发挥着重要的修辞作用。

#### 四、汉语转品辞格与阿语转连修饰在翻译过程中的问题

在阿拉伯语与汉语的翻译过程中，转品的翻译是一个挑战，因为两种语言的修辞系统存在差异。这个过程需要注意以下几点：

首先：深入理解转品在两种语言中的运作方式及其修辞目的。必须了解修辞背景，实现清晰的表达并突出意图。在翻译过程中，翻译者需要理解原文中转品的修辞目的，并寻求在目标语言中找到合适的表达方式。转品有时用于引导读者注意特定点或强调特殊意义。在翻译中，翻译者应确保这些点在目标语言文本中依然明确和强调。这可能需要使用目标语言中的不同修辞工具，以确保传达原文中的意图。

其次：平衡忠实性与适应性。翻译者应尽力保持原文的修辞效果，同时调整表达方式，以适应目标语言的文化和语言环境。例如，转品有助于丰富文本的表达多样性，通过在代词、时态或不同风格之间的转换来实现。在阿拉伯语和汉语之间的翻译中，重要的是传达这种多样性，以保持原文的生动性和灵活性。同时，转品用于实现文本中的特殊美学和修辞效果。在翻译中，必须保持这些效果，以确保目标文本具有与原文相同的吸引力。这也要求翻译者在目标语言中使用等效的表达方式，例如重新排列句子或调整代词结构，以适应目标语言的特点。

##### 4.1汉语转品辞格译成阿语问题的难点及其解决对策：

###### 4.1.1转换不同词类的翻译问题（例如将名词转换为动词）：

在汉语中，语言转化往往是间接的，并可能涉及将词汇从一种词类转换到另一种词类，而在阿拉伯语中，语言转化依赖于在代词或时态之间的直接和明显的变化。这种差异可能会导致翻译过程中失去部分修辞效果。例如：



“夫释缚脱艰，全真导气，拯黎元于仁寿，济羸劣以获安者，非三圣道则不能致之矣。”<sup>①</sup>

《黄帝内经素问注》序释义：

要解除疾病的缠绕，摆脱疾病的痛苦，保全人体的真精，通导人体的元气，拯救百姓使他们都得到长寿，帮助瘦弱有病的人获得平安，离开了古圣贤的医学理论就不能达到这个目的。

阿拉伯语翻译为：

اتباع تعاليم الحكماء الثلاثة القدامي هو السبيل الوحيد لتحرير الناس من قيود الأمراض والتخلص من معاناتها، والحفاظ على الحيوية والنشاط وجعل حياتهم طبيعية، وإنقاذ عامة الشعب ليتمتعوا بالعمر المديد، ومساعدة الضعفاء والمرضى ليتمتعوا بالصحة والسلامة.<sup>②</sup>

这个例子的转品体现在于：

(1) 形容词转品为名词的处理：

“艰”和“真”原来是形容词转为名词，与“缚”和“气”

对举。阿拉伯语翻译为：“艰”译为“قيود”“真”译为“الحيوية”

(2) 形容词转品为动词的处理：

“全”原来是形容词转为动词（يحفظ），与“导”对举。阿拉伯语翻译为：译为“الحفاظ علي”

(3) 名词性隐喻的处理：

“羸劣”作为形容词转为名词性隐喻。阿拉伯语翻译为：الضعفاء والمرضى

#### 4.1.2 代词和时态表达的翻译问题：

汉语中通常省略代词和时态，依赖句子的排列和上下文来传达意思。而阿拉伯

<sup>①</sup>李照国. 中医英语翻译技巧, 北京: 人民卫生出版社, 2001:

287. 引用于《翻译适应选择论下《内经》转品辞格英译探析》袁

谧, 姚欣, 南京中医药大学外国语学院, 江苏 南京 210023, 时珍国医国药 2014 年第 25 卷第 5 期

<sup>②</sup> 本人自己翻译

语则大量依赖代词和时态变化。这种差异使得在翻译时，完全传达依赖于这些修辞元素的转折变得困难。例如：

浑浑革至如涌泉，病进而(色) (危) 弊; 绵绵其去如弦 绝死。——  
《素问·脉要精微论篇第十七》<sup>①</sup>

释义: 脉来刚硬过甚，势如涌泉，这是病情加重，到了危险地步;  
若脉来似有似无，其去如弓弦断绝，那是必死的。

阿拉伯语翻译为:

"إذا كان نبض المريض قويًا وقاسيًا كجريان الينابيع<sup>②</sup>، فهذا يدل على تفاقم الحالة المرضية ووصولها إلى مرحلة خطيرة. وإذا كان النبض ضعيفًا ومقطعًا مثل خيط القوس المقطوع، فهذا يعني أن الحالة قد وصلت إلى مرحلة الموت المحتم<sup>③</sup>."

从这段中文文本及其翻译可以看出以下几点:

#### 1. 中文中代词的缺失:

- 在中文文本中，没有直接使用代词。中文往往省略代词，依赖于语境和句子结构来传达意思。在这里，文本通过比喻（如“如涌泉”和“如弦绝”）来表达脉象的状态。
- **挑战:** 在翻译成阿拉伯语时，译者需要加入代词来明确文本所描述的对象（即患者）“المريض”以及对状态的描述。

#### 2. 中文中缺乏明确的时态变化:

- 中文文本并未通过使用不同的时态来准确地指出时间，而是依赖于语境来描述当前状态及其变化。中文中，状态描述是概括性的，没有详细的时态说明。

<sup>①</sup> 郭蔼春. 黄帝内经素问白话解. 北京: 中国中医药出版社, 2012

<sup>②</sup> ، يُستخدم "نهر الينابيع" 《黄帝内经》 أو "كتاب السأل" الذي هو جزء من 《素问》 في النصوص الطبية الصينية، مثل <sup>③</sup> للتعبير عن القوة الشديدة أو النشاط الحيوي في النبض. مثلاً، يُستخدم لوصف نبض قوي يشير إلى حالة صحية خطيرة أو تفاقم نهر الينابيع" هو تعبير مجازي يعبر عن التدفق القوي والحيوية. "المرض، أي أن

<sup>④</sup> 本人自己翻译

- **挑战:** 在阿拉伯语中，通常需要更明确地指出时间。因此，在翻译时，需要明确状态的时间（如“تفاقم”（恶化）和“وصلت”（到达））以确保意义清晰。

### 3. 文化与修辞翻译的挑战:

- **比喻:** 中文文本使用了修辞比喻，如“如涌泉”（像泉水涌出）和“如弦绝”（像断掉的弦），这些比喻对阿拉伯读者来说可能不太熟悉。翻译时可能需要解释这些比喻，或者用阿拉伯文化中更易理解的比喻进行替代。
- **修辞:** 在阿拉伯语文本中，由于代词和时态的使用，对脉象的间断或连续的修辞表达可能会更加清晰。

#### 4.1.3文化和历史差异的问题：中文中的“转品”

可能反映出与中文文学和文化表达相关的修辞结构，这些表达方式与阿拉伯语的语境截然不同。这可能导致在阿拉伯语中难以找到合适的对等表达来反映相同的效果和表达方式。例如：

“阴阳者，(有名而无形)，数之可十，(推)(离)之可百，(数)(散)之可千，推知可万，万之大不可胜数，然其要一也。”<sup>①</sup>

《素问·阴阳离合论篇第六》释义：

阴阳是有名无形，它的变化是无穷无尽的，由一可数到十，由十又可分到百，由百可散为千，由千又可推到万，由万再推演下去，是数不尽的。(虽然变化无穷)但是，它的根本规律却只有一个。

阿拉伯语翻译：

الين Yin والينغ Yang □ هما ذو اسم ولكن بلا شكل، يتعددان بعدد لا يحصى؛ إذ يمكن حسابهما إلى عشرة، ثم يمكن تفصيلهما إلى مئة، ومن المنة يمكن تقسيمهما إلى ألف، ومن الألف يمكن التوسع إلى عشرة آلاف، وهكذا حتى تتعذر عدّه. وعلى الرغم من هذا التنوع اللامحدود في التغيرات، فإن القاعدة الأساسية لهما تبقى واحدة. □

<sup>①</sup> 郭蔼春. 黄帝内经素问白话解，北京：中国中医药出版社，

2012. 引用于《翻译适应选择论下《内经》转品辞格英译探析》袁

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通过这段翻译，可以看出以下几点：

- **文化概念的差异：**
  - **中文文本：** 涉及与阴阳有关的深刻哲学概念，这些概念具有中国文化特有的哲学和经验维度。阴阳是道家和儒家哲学的一部分，具有一系列文化和象征意义。
  - **阿拉伯文翻译：** 阿拉伯读者可能对阴阳哲学背景了解不够，阴阳如何影响对自然和宇宙的理解，这可能会阻碍对文本的全面理解。
- **修辞手法的差异：**
  - **中文文本：** 使用了特定的修辞结构，反映了哲学思考，如抽象描述和涉及无限变化的数字（从一到无限）。这些结构在中国文学中具有文化和经验的深层次。
  - **阿拉伯文翻译：** 中文的修辞形式可能很难直接翻译成阿拉伯语。在这种情况下，可能需要重新措辞以适应阿拉伯文学风格，并使其对阿拉伯读者而言易于理解。
- **表达抽象概念的差异：**
  - **中文文本：** 以中国文化固有的方式表达抽象概念（如阴阳的无形），这些抽象被视为自然和哲学的事实。
  - **阿拉伯文翻译：** 可能需要进一步解释这些抽象概念，以帮助传达意义。在这个例子中，提供关于中国哲学中阴阳如何被理解的额外解释可能是有益的。
- **哲学解释的挑战：**
  - **中文文本：** 包含需要对中国哲学有深刻理解的哲学概念。

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هما مفهومين متقابلين ولكن متكاملين في فلسفة الطاوية والكونفوشيوسية. هما يعكسان قوة أو عنصرين يانغ Yang و Yin Yin اللين: يمثل الخصائص الأنثوية، متضادين في الطبيعة، لكنهما لا يتواجدان بشكل منفصل، بل يتعاونان ويعتمدان على بعضهما البعض يُعتبر رمزاً للأرض، والماء، والهدوء، "يرتبط بـ"الظل" و"الليل" و"الهدوء" و"البرودة السلبية، الظلام، البرودة، الرطوبة، والداخلية والحياة الداخلية يرتبط بـ"النور" و"النهار" و"الحركة". يانغ: يمثل الخصائص الذكورية، الإيجابية، الضوء، الحرارة، الجفاف، والخارجية يُعتبر رمزاً للسماء، والنار، والنشاط، والحياة الخارجية." و"الحرارة

ترجمة الباحث نفسه<sup>③</sup>

- **阿拉伯文翻译:** 可能需要提供额外的信息, 以帮助阿拉伯读者正确理解这些哲学思想。

这段翻译尝试通过文化和哲学的背景, 展现了中文与阿拉伯语之间在概念理解和表达上的差异。

#### 4.1.4 汉语转品译成阿语的其解决对策:

1. **情境解释:** 在必要时在翻译中插入解释或补充, 以突出在阿拉伯语中不明显的修辞转变。
2. **文化适应:** 使用阿拉伯文化表达方式, 尽管修辞风格不同, 但可以产生类似的效果。
3. **创造性修改:** 采用创造性翻译的方式, 以在目标文本中表达出转品的相同效果或目的。

#### 4.2 阿语转连修饰译成汉语的难点及其解决对策

##### 4.2.1 代词转连的翻译问题

在阿拉伯语中, 转品通过改变代词 (如第一人称、第二人称和第三人称) 来显著增强修辞效果或引导注意力。相比之下, 汉语中代词的使用较少且不够明确, 日常交流中经常省略代词, 这使得翻译过程变得复杂。例28:

مثال في " اللهب المقدس " تلك المناجاة التي يناجي الشاعر من خلالها محبوبته " سلوى " <sup>①</sup>: يقول

سلوى أناديك سلوى مثلهم خطأ لوأنهم أنصفوا كان اسمك الرمق

يا فتنة الروح ، هلا تذكرين فتى ما ضره السجن إلا أنه ومق

解释:

مقتبس من " جمالية الالتفات في الخطاب الشعري عند مفدي 2 ص 1991 اللهب المقدس المؤسسة الوطنية للكتاب الطبعة الثانية <sup>①</sup>

2013 زكريا " أ . إبراهيم طيشي - جامعة ورقلة - مجلة علوم اللغة العربية وآدابها - العدد الخامس

诗人说：我呼唤“萨罗”，并提到这样称呼她是错误的，因为真正适合她的名字是“余命”（الرمق）。（الرمق هو بقية）“余命”根据词典中指的是生命的最后一息<sup>①</sup>，这表明了她在诗人心中的重要地位。诗人继续对她表达感情，给她赋予了一个新的称号：“灵魂的魅惑”（فتنةالروح）。然后他鼓励她记得他，但这次诗人并没有像第一句中那样使用第一人称（“我呼唤你”），而是转向了第三人称的用法，当他说“难道你不记得那个少年吗？”时，他选择了转变视角。这种转变的好处在于，诗人希望将情景从直接表达转向间接表述，这样更适合描述他对她的感受。如果他用第一人称“难道你不记得我吗……”，诗句将失去许多美感和优雅。此外，诗人想用“少年”来描述自己，这种描述在这种情境下是合适的且受欢迎的。

在翻译这首诗时，译者必须仔细理解诗歌的语境和代词转换的转品目标，因此可以将其翻译如下：

我呼唤你“萨罗”，像他们那样称呼你是错的。

若他们公正些，你的名字应是“余命”。

哦，灵魂的魅惑，你还记得那少年吗？

监禁并未困扰他，唯有思念折磨着他的心。

这段译文保留了原诗的情感表达和意象，同时尽量贴近汉语的表达方式，突出了“萨罗”这个名字不够贴切，“余命”更能体现对方在诗人心中的重要地位。第二句转向对“灵魂的魅惑”的呼唤，表达了诗人深沉的思念和内心的痛苦。

#### 4.2.2时态转连的翻译问题

在阿拉伯诗歌中，使用“الالتفات”

**转连**进行时态转换是一种修辞手法，它为文本增添了活力和动态感，从而增强了读者与文本的互动，为叙事增添了深度和多样性。在时态之间进行转换，例如从过去转到未来，或者将过去与现在结合起来，这些都用于通过富有表现力

<sup>①</sup> ، ترجمة الباحثة نفسها363ص 28 ج 1965 الزبيدي تاج العروس تحقيق عبد الستار أحمد فراج مطبعة حكومة الكويت

的方式展示时间变化或事件的进展。在汉语中，挑战在于没有像阿拉伯语那样直接通过动词变位来明确表示时间。汉语更多地依赖于上下文和时间线索来说明时间变化。这使得在翻译中传达时态转换的“الانتفات”变得复杂，因为这需要寻找其他方式来传达时间感。

#### مثال على استخدام الانتفات لتغيير الزمن في الشعر العربي:

في قصيدة للشاعر محمود درويش، يقول:

"سأحيا غداً، سأحبّ غداً، سأبكي غداً،

ولن يبقى مني غداً غير ما صنعت يداي".<sup>①</sup>

在一首马哈茂德·达尔维什的诗中，他说：

明天我将活着，明天我将爱，明天我将哭泣，

而明天只会留下我双手所创造的。<sup>②</sup>

在这段文字中，诗人使用了将来时态来表达他的期望和即将采取的行动，但他将这些与现在和过去的结果和行为联系起来，创造了一种时间上的动态顺序，增强了叙述的流动性以及紧张和期待的感觉。

在中文诗歌中，这种动态性可能通过视觉图像或描述性语句来表达，而不是通过动词的时态变化。这使得阿拉伯诗歌的翻译变得极为困难，因为时间上的转折需要重新表达，以保持原文的效果。

#### 4.2.3数量转连的翻译问题

改变数量例如从单数变为复数或从双数变为单数等，这需要译者在翻译时高度集中，不仅要理解原文，还要了解文本的文化背景，才能正确翻译。

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البيتين الشعريين اللذين ذكرتهما هما من قصيدة محمود درويش بعنوان "سأحيا"، وهي جزء من مجموعته الشعرية "ورد أقل". في <sup>①</sup> هذه القصيدة، يستعرض درويش تأملاته حول الحياة والمستقبل بأسلوب يعكس الأمل والقلق، مستخدماً الانتفات بين الأزمنة للتعبير عن استمرارية الحياة ومرور الزمن.

<sup>②</sup>本人自己翻译

例如：

مولاي يا من عرفنا البشر عندكم و طاب في ربعم شدو وتغريد  
وعاودتنا ابتسامات بجنتم وكم تقاسمنا هم و تهيد  
ما لذة العيد إلا في دياركم فكل أيامنا في تونس عيد  
أنى نزلت بها أشعر بعافية كان تونس للأعمار تجديد<sup>①</sup>

我们尊敬的主人，因您的光辉，人们在您的土地上感到心旷神怡，歌声悠扬。

在您的乐土中，笑容重现，我们分享了多少忧愁与欢乐。

节日的喜悦唯有在您的国度可见，在突尼斯，我们的每一天都像节日。

无论何时到达那里，我都感到身心康健，仿佛突尼斯能为生命带来新生。<sup>②</sup>

在这些诗句中，诗人表达了他对突尼斯土地及其领导人的喜悦之情。在那里，他享受歌唱和欢呼的乐趣，并重新找回了曾经失去的微笑。他感到只有在这个地方才会感受到节日的快乐，突尼斯的每一天都像节日一般。在前三句诗中，诗人通过使用“我们”的复数形式（如“عرفنا، عاودتنا، أيامنا”）表达了他所感受到的集体喜悦。但在第四句中，诗人转而使用单数形式来表达他个人的感受，当他踏上突尼斯的土地时，他感觉自己焕发了活力，仿佛这片土地给他带来了新的生命。这种“الاتفات”转连使诗人能够表达出个人独特的内心感受，因为在之前的句子中，他谈论的是一种普遍的、他人与他共享的状态。因此，在前面使用复数形式是合适的，而表达个人感受时使用单数形式则更加贴切。

通过这种翻译，保持了原诗的表达方式，并尽可能传达了诗人在不同句子中使用复数和单数表达的意义和效果。

#### 4.2.4 传达转连修辞效果的问题

① 98 ص 1966 مفدى زكريا، دار النشر تونس سنة تحت ظلال الزيتون للكاتب

② 本人自己翻译



在翻译中，传达如转折等艺术手法的美学和修辞效果是一个重大挑战，尤其是当转连旨在创造美学效果或给读者带来惊喜时。在阿拉伯文学中，转折常常用于突然改变时间、风格或受众，从而为文本增添活力和动态性，并以意想不到的叙事手法给读者带来惊讶。

在翻译成中文时，由于两种语言在修辞和表达方式上的差异，实现相同效果可能非常困难。中文在创造美学效果时主要依赖于语境、修辞图像和文化暗示，这使得在翻译中传达这些突如其来的变化时，难以保持相同的准确性。

在古斯顿·卡夫菲斯 (C.P.

Cavafy) 的诗《等待野蛮人》中，运用了“转连”这一修辞手法来创造紧张和惊讶的效果。诗人首先描绘了人们对野蛮人即将到来的预期和准备，然后突然转向揭示事实：他们根本不会到来。这种突如其来的转变让读者感到意外，并反映了空虚和焦虑的状态。

#### قصيدة "في انتظار البرابرة" للشاعر قسطنطين كفافيس

"لماذا تحوّل فجأة هذا الكدر،

وأضحت الوجوه جادة ومتجهمة؟

لماذا تفرغ الشوارع والساحات

والناس يعودون الى بيوتهم،

غارقين في التفكير؟

لأن البرابرة لم يصلوا"<sup>2</sup> ③

#### 诗中写道:

بارباروس، والتي "βάρβαρος" البرابرة هما الشعوب الغير متحضرة أو الشعوب البدائية، يعود أصل الكلمة الى اليونانية القديمة<sup>①</sup> كانت تُستخدم للإشارة إلى الأشخاص الذين يتحدثون لغات غير مفهومة أو غير يونانية، وبالتالي يُنظر إليهم على أنهم غير متحضرين واستخدمها الشاعر في هذه القصيدة يُستخدم للإشارة إلى مجموعة غير محددة أو مجموعة مهددة التي يتوقع الناس قدومها، ويستخدم ( 野蛮人 الشاعر هذا المفهوم لخلق تأثير درامي يتعلق بالمخاوف والانتظارات، لذلك تترجم الى اللغة الصينية )

قسطنطين كفافيس (1863-1933) هو شاعر يوناني من أصول يونانية مصرية، ويعد واحداً من أبرز شعراء الأدب اليوناني<sup>②</sup> في انتظار البرابرة" هي واحدة من أشهر قصائد كفافيس. نُشرت لأول مرة في عام 1904. القصيدة تعكس بأسلوبها الساخر " .الحديث والمرير الانتظار العيبي لشعب مدينة ما للغزو الوشيك من البرابرة

<sup>①</sup> <https://www.bayanemarrakech.>

“为什么这突然间变得混乱，  
而面孔变得严肃而凝重？  
为什么街道和广场空荡荡的，  
人们回到家中，  
沉浸在思考中？  
因为野蛮人没有来。”<sup>①</sup>

在这个例子中，“转连”展示了如何通过突然的叙事转变来使读者感到惊讶，从而反映出人们所经历的焦虑和期待。诗人通过在预期状态（野蛮人的到来）和实际状态（他们没有到来）之间的转变，创造了戏剧性的效果，体现了人们所处的矛盾情感和紧张状态。

在将这些诗句翻译成中文时，翻译者需要仔细选择能够传达相同惊讶和紧张感的表达方式。翻译者可能会依赖于语言结构的变化或使用能够表现紧张和惊讶的视觉意象。有时，可能需要添加文化解释或进行创意调整，以保持原文本的美学效果。这种方法上的差异使得传达修辞效果成为真正的挑战，因为翻译者需要对两种语言及其文化有深入的理解，以选择最佳的策略来实现类似的效果。

#### 4.2.5阿语转连修饰译成汉语问题及其解决对策：

1. **寻找修辞对等：**尝试在目标语言中使用类似的修辞手法，以尽可能接近原文的效果。
2. **解释和澄清：**在目标文本中添加说明，以突出原文本中的修辞转变。
3. **创意调整：**使用自由翻译，捕捉效果的核心，即使这需要在语言结构上进行调整。
4. **提供创新解决方案：**有时，原文本中的修辞变化没有直接翻译。此时，翻译者可以提供创新解决方案，反映原文本的修辞和美学效果，例如使用其他语言工具来适应目标语言的上下文。

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<sup>①</sup> 本人自己翻译

总而言之

：从阿拉伯语到中文以及从中文到阿拉伯语的转品翻译，不只是词语的转化，还需要对两种语言之间文化和修辞差异的深刻理解。通过使用合适的策略，如情境解释和文化适应，可以克服许多这些问题，从而实现更接近原文的翻译，同时保持预期的修辞效果。

## 五、结论

- (1) 在汉语转品辞格和阿语转连修饰中，“转品-转连”作为一种修辞手法，虽然表面上表现为词类或表达方式的转换，但其核心目标都是为了实现特定的表达效果和意义深化。在阿拉伯语中，“الانفتاح”转连被定义为从一种意义或表达方式转向另一种，以增强文本的引人注目和意义丰富性。在汉语中，转品则是通过改变词语的惯用词性，临时赋予其新的语法功能，从而追求语言艺术效果。这种手法在两种语言中的应用，均体现了语言表达的灵活性和创造性。通过转品，作者能够在有限的表达形式中，赋予语言更加丰富的情感和意义，从而增强了文本的艺术表现力和感染力。
- (2) 汉语转品辞格与阿语转连修饰虽然表现形式不同，但都展现了语言表达的灵活性和艺术性。在阿拉伯语中，转连修饰广泛应用于代词、动词和数字的使用中，通过在代词、时态和数词间的转换，赋予语言更强的表现力和多样性。而在汉语中，转品辞格主要体现在词类活用中，通过改变词语的词性，诗人能够在简洁的表达中创造出丰富的意义和联想效果。这种手法不仅丰富了语言的表达层次，还能够激发读者的联想与思考，从而深化文本的艺术价值。
- (3) 转连修饰在阿拉伯语和汉语中的运用，展现了语言在表达多样性和灵活性方面的巨大潜力。在阿拉伯语中，转连修饰通过代词、动词和数字的转换，丰富了叙述的层次，增强了表达的表现力和灵活性，同时也常用于强调和突出某些概念或情感，使语言更具节奏感和韵律美。同样的，阿拉伯语的转连修饰能够细腻地表达情感，吸引读者或听者的注意力，从而增强语言的感染力，而汉语中的转品辞格则通过词性转换，赋予语言新的表现力和美感。它不仅能丰富语言的表达层次，还能够使句子更加生动和紧凑。特别是在诗词创作中，汉语转品辞格能够创造出独特的诗意和艺术效果，提升诗句的深度和美感。
- (4) 汉语转品辞格与阿语转连修饰的翻译问题存在许多挑战，这主要是由于两种语言在修辞系统和表达方式上的显著差异。在翻译过程中，译者必须深入理解两种语言的转品运作方式及其修辞目的，并在忠实于

原文的同时做出适当的调整，以适应目标语言的文化和语言特点。译者需要在代词、时态、数量、词类转换等方面作出明智的选择，以确保目标文本在传达原文的情感、意图和美学效果的同时，能够流畅自然且符合目标语言的表达习惯。这不仅要求对语言技巧的掌握，还需要对两种文化的深刻理解，从而实现翻译的平衡性和创造性。

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**Cultural Encounters on Stage:  
Tawfiq al-Ḥakīm's *Hamlet* Revisited in *Qālibunā al-masrahī***

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**Introduction**

While engaged with "Towards an Egyptian Theatre: Syncretic Aesthetics in the Works of Tawfiq al-Ḥakīm and Yusuf Idris," co-authored with a colleague from AOU-Egypt, I was particularly impressed by Tawfiq al-Ḥakīm's remarkable creativity and resourcefulness in fostering connections between local and global literary traditions. This theme resonated with the focus of the 2024 ACLA conference. Consequently, I opted to revisit al-Ḥakīm's *Qālibunā al-masrahī* again and to conduct a thorough analysis of another excerpt - i.e. *Hamlet* - reworked and included in this seminal theatrical project, in a way that fit the theme of the panel which is "Local/Global Literatures and Cultures".

Tawfiq al-Ḥakīm (1898-1987), is a towering writer, critic, and theorist, whose literary and theoretical work offers a rich and complex exploration of the postcolonial experience including the cultural encounters between the local and the global. His innovative literary style, his critique of colonialism, along with his exploration of cultural hybridity and identity make him a leading figure in the history of Arabic literature and a valuable contributor to the broader field of postcolonial studies. In addition, al-Hakim played a pivotal role in decolonizing Egyptian theatre as many of his plays challenge the dominant colonial narratives, subvert stereotypes, celebrate Egyptian heritage, and introduce new themes and forms that reflect the experiences and aspirations of Egyptians.

Furthermore, many of his plays negotiate cultural encounters and negotiations across languages, traditions and varied historical experiences. Cultural encounter is used in this paper to showcase al-Ḥakīm's navigation of the intricacies of the local and the global theatrical conventions and how they overlap and transform each other, and how they compete and grapple with one another in co-constitutive contact zone. It also refers to al-Hakim's grappling with the sense of self and cultural identity



particularly kindled by the spirit of nationalism which was sweeping the Arab world in the 1950s and 1960s and the pride in the rediscovered Egyptian heritage.

The awakening of the pride of indigenous roots coincided with postcolonial and anticolonial calls by intellectuals like Franz Fanon (1925-1961) who encouraged native writers and thinkers to delve deep into the “dignity, glory and solemnity” of the past and to use the past “with the intention of opening the future” (210, 232). Al-Ḥakīm responded to such local and global stimuli by turning to his indigenous performance traditions “as a counter-balance to the ... almost total dependence upon European models” (Amine and Carlson 72). He took the past as the cultural frame of reference and hybridised what he resurrected from the indigenous folk theatrical conventions with what he borrowed from the Western theatrical forms and came up with his own theatrical mold, which exists in the liminal space between the indigenous and Western theatrical traditions. His mold inextricably involves the interplay between European epistemology and the pursuit of a distinctive local identity. Al-Ḥakīm’s literary processes of decolonization of the Egyptian stage included not only negotiation, appropriation, and revision of many canonical plays, but also dismantling of the European theatrical conventions and models. They also interrogate the supremacy of the canonical discourses in terms of language, point of view, dramatic structure, and characterization.

### **1. Aims of the Paper**

The aim of the research paper is to examine al-Ḥakīm’s *Qālibunā al-masraḥī* as a site for cultural encounters between local performative elements and the European ones. The paper, also, investigates how these cultural encounters that occur in all the excerpts he reworked in *Qālibunā al-masraḥī* (including *Hamlet*) are central to Pratt’s “contact zone” and Anzaldúa’s “borderlands” as all the excerpts show processes of negotiation, interaction, and meaning-making that highlight al-Ḥakīm’s co-presence, and his endeavours to “recreate local identity” (Tiffin 17). Moreover, the paper aims to examine counter-discursive strategies that al-Ḥakīm uses to subvert the canonical literary texts he revisited in *Qālibunā al-masraḥī*.

In *Qālibunā al-masraḥī*, al-Ḥakīm challenges the long-standing European theatrical discipline in his reworking of many canonical plays. In this regard, the study takes *Hamlet* as a touchstone, though not Shakespeare’s *Hamlet* but al-Ḥakīm’s

appropriated and produced in *Qālibunā al-masrahī*, translated into Arabic by Khalil Mutran. The theoretical concepts of appropriating, cultural encounters, contact zone, borderlands, and counter canonical texts are employed to describe how al-Ḥakīm “dislocate[s] these classics from their authenticity as European classics and mixes them with indigenous ontology and epistemology which led to the emergence of his theatrical mold (Hasabelnaby 3). In this way, the playwright makes his play bear what Louis Owens refers to as “the burden of one's own experience” (xiii). In other words, the research paper explores the cultural contact that takes place in *Hamlet* in terms of Egyptian culture specifics. The paper concludes that instead of being owned by the Western theatrical dramaturgy with its hegemonic forms of colonizing the stage, al-Ḥakīm owns it through the strategies of appropriation and indigenization.

The researcher chose *Hamlet* out of the seven excerpts visited by al-Ḥakīm because it is an Elizabethan tragedy that is still suitable for the postcolonial times. The power struggles depicted in *Hamlet* are often mirrored in the context of colonial oppression. Claudius's usurpation of the throne is analogous to colonial takeover highlighting the moral ambiguities of authority and legitimacy. Hamlet can be viewed as a symbol of resistance against oppressive structures; and his indecision may reflect the paralysis experienced by people in colonized / postcolonized nations who still face systemic injustice. Ophelia can be reinterpreted as a representation of marginalized voices; and her silence can represent the silencing of women and many disenfranchised groups. By employing Arabic, the play becomes more accessible to Egyptian / Arab readers / audiences. Moreover, using traditional storytellers serves as a form of resistance against the elitism associated with Shakespearean productions. By exploring power dynamics, cultural identity, and ethical dilemmas, al-Hakim's appropriation not only critiques historical injustices but also resonates with contemporary struggles for agency and representation.

## **2. Theoretical Underpinnings**

Al-Ḥakīm's approach to cultural encounters in theatre goes beyond simply depicting a clash between the East and West. As he delves deeper in the understanding of the complexities involved, his literary texts become contact zones or borderlands i.e. sites where different cultural and artistic aesthetics, forms, molds, and ideas meet and negotiate with each other. The concept of “contact zone” introduced

by Mary Louise Pratt in *The Art of the Contact Zone* (1991) is an important term which captures the complex dynamics that arise when cultures encounter each other. Pratt defines the “contact zones” as “social spaces where cultures meet, clash, and grapple with each other, often in contexts of highly asymmetrical relations of power, such as colonialism, slavery, or their aftermaths as they are lived out in many parts of the world today.” In the paper under study, the researcher regards these “zones” not only as social spaces but as artistic ones where literary texts travel from one culture and language to another, affecting and being affected by each other. Literature in general and theatre in particular can be regarded as “contact zones” which allow artistic, creative cultures, previously separated, come together and establish ongoing relations. Since historically speaking, these “zones” have grown out of colonial domination, they have been characterized by “conditions of coercion, radical inequality and intractable conflict” (Pratt 6).

As for the concept of borderlands, it is used in this paper as a cross-cultural metaphor, which emphasizes the notions of hybridity within cultures, literary genres, and languages. It is a term of translation for imagining connections between cultures and consequently their literatures. Borderlands literally speaking refers to the in-between places, the contact zones which are characterized by the flow of people, capital, information, and cultural products across borders, physical or otherwise, both within and between cultures. Figuratively, borderlands suggest those spaces, moments, and situations where preexisting lines of demarcation are crossed, blurred, disrupted, and where new ones are continually being mapped. From the cultural perspective, borderland implies hybridity and theoretical space that allow for a creative construction of identity. As Renato Rosaldo observes, “the borders between nations, classes and cultures ... seem to be a little of this and a little of that, and not quite one or the other” (209), which is the case of *Hamlet* as revisited and appropriated by al-Ḥakīm which is “not quite one or the other” but something new.

In the literary “contact zones” and “borderlands”, al-Ḥakīm like many other postcolonial writers engage in a process of negotiation between the local and the global. His dramaturgy exhibits “interplay of indigenous and European aesthetics” (Abdel Hafeez and Abd Elhafeez 387). In his literary production, al-Ḥakīm appropriates traditions of colonial theatre and produces texts that affirm the uniqueness of the indigenous culture and reduce the European elevation. Bill Ashcroft

et al. observe that appropriation is used to “describe the ways in which post-colonial societies take over those aspects of the imperial culture – language, forms of writing, film ... to resist its political or cultural control” (15). Al-Ḥakīm in *Qālibunā al-masrahī* appropriates seven excerpts from canonical plays, alter them to satisfy the local readers / audience, and thus “reverse the orientation of power in the relationship” between the colonizer / colonized, global / local (Ashcroft et al 209).

The appropriation and interplay have allowed him to create “discursive stratifications and ephemeral formations” (Derrida 1994, 118) that produce “canonical counter discourse” (Tiffin 22). Gilbert and Tompkins have defined “canonical counter discourse” as the “process whereby the post-colonial writer unveils and dismantles the basic assumptions of a specific canonical text by developing a ‘counter’ text that preserves many of the identifying signifiers of the original while altering, often allegorically, its structures of power” (16). The researcher will focus in part 5 on how al-Ḥakīm engages with *Hamlet* to challenge its colonial legacies and creates a new narrative that not only reflects local perspectives and experiences but also privileges the indigenous mold with its performers over the European dramaturgy. Thus, al-Ḥakīm destabilizes our understanding of *Hamlet* along with the other excerpts in *Qālibunā al-masrahī*. He also offers a more local interpretation which challenges Eurocentric dominance in theater and highlights the potential for cultural encounters which enrich our understanding of classic works.

### 3. *Qālibunā al-masrahī*: A Site for Cultural Encounters

*Qālibunā al-masrahī*, a theatrical mold retrieved from the Egyptian soil, can be rightfully described as a site for cultural encounters between the local and the global. In other words, it is a contact zone of exchange and dialogue between the seven excerpts appropriated from canonical Western plays and al-Ḥakīm’s postcolonial dismantling of them. *Qālibunā al-masrahī* can also be considered a borderlands narrative as he challenges European hegemony through counter-discourse and offers an alternative view of the self/other interrelationship by revisiting and reworking timeless themes within a traditional mold. This cultural mediation practices have definitely created new artistic spaces which is neither Western nor Egyptian. In other words, *Qālibunā al-masrahī* synthesizes globalism and localism to create an alternative theatre, which is hybrid in nature and explores and articulates cultural interactions and revisions of power relations across cultures and languages.

Al-Ḥakīm in *Qālibunā al-masrahī* works across-borders of different epistemologies and artistic practices belonging to self and other. In the Introduction of this book, which represents al-Ḥakīm's theatrical manifesto, he contributed to the heated debate that was ignited in Egypt as well as the other Arab countries about the possibility of returning to an authentic state and creating a theatrical "mold" that is rooted in the "tapestry of our soil and cultural inheritance" (12-13)<sup>①</sup>. To respond to this debate, he experimented with both the Western and Egyptian theatrical traditions and created cultural, artistic, and aesthetic links and encounters between the Egyptian traditional theatrical forms – which were regarded as an othered discourse – and the Western aesthetics.

He suggested a theatrical "mold" that relied primarily on the Egyptian traditional folk enactment of the storytelling, recitation, impersonation, and improvisation, derived from the rich oral tradition of *al-ḥakawātī*<sup>②</sup>, *al-muqallid*<sup>③</sup>, and *al-maddah*<sup>④</sup> and originated *al-muqallida*, female impersonator (15). The rationale behind resurrecting these traditional figures, as he contends, is,

[T]hese three traditional figures in their plain attires, the attires of blue collars in factories, of peasants in fields, can move smoothly and go anywhere, with no décor, props, costumes, or accessories ... Just with the help of the great texts in their heads and hearts, they can reach all classes of society bearing the finest fruits that arts and intellect can yield. (17)

Al-Ḥakīm did not shy away from the fact that his theatrical mold could be perceived as "primitive", but as he confirms, despite its primitiveness, "back then [the three performers] gave people the wildest fun" with their storytelling that had hypnotizing effect on the audience (13). Additionally, it is characterized by

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<sup>①</sup> All excerpts from *Qālibunā al-masrahī* are translated by the researcher.

<sup>②</sup> *Al-ḥakawātī* is a public teller of tales. The etymological root of the word *al-ḥakawātī* lies in the term *hekaye*, which is a form of oral storytelling that has a long tradition in the Arabic culture.

<sup>③</sup> Among the *al-ḥakawātī* (storytellers/impersonators) who performed in medieval marketplaces, many exhibited exceptional skills in mimicry. As a result, the terms *al-ḥakawātī* and *muqallid* (imitator) are often used interchangeably.

<sup>④</sup> *Al-maddah* is another popular entertainer who sings praises of the Prophet Mohamed and his family.

simplicity, intimacy between the performer and audience, familiarity, and closeness. As al-Ḥakīm explicates, “our theatre would be very similar in its simplicity to *ḥakawātī*, *al-muqallid* and *al-maddah*’s performances”; it is the simplicity that facilitates “the live communication between art and people” (15), and between audience and performers.

Contrary to the practices of realist drama which pretends that the performance is a real-life event and that the actors are being their characters; in rewriting the excerpts from the seven canonical plays, he made the performers not hide behind these pretenses but show awareness of the artificiality of the event throughout the show. Al-Ḥakīm emphasizes that in his mold, the audience remain fully aware of the performers’ walking in and out of characters; and that the performers do not lose their identity. He takes *al-muqallid* as an example:

*Al-muqallid* slips smoothly from one character to another, emphasizing the distinctive features of each character, that are different from other characters in tones, gestures, inherent feelings, and way of thinking. He is both attached to and detached from the character he is impersonating simply because he lives with us, in his normal clothes and his real name... He holds a hidden magic feather informing us, "I'm So-and-so, but I'll show you now who is Hamlet? ... Look carefully." And when we look at him as he shapes the character and creates it, we feel that we too, in the depths of ourselves, have participated with him in the process of creation, and have risen above the level of sleepy audience. (18)

In involving the audience in “the process of creation,” al-Ḥakīm aspires to raise them above what he describes as “the level of sleepy audience” (13) and turn them into “Spect-Actors,” a term created by Augusto Boal, the Brazilian theatre director. In *Theatre of the Oppressed*, Boal used the term to activate audience and turn them into protagonists capable of taking action and finding their own ways out of their powerlessness (xxi).

It is worth to note that al-Ḥakīm did not write original plays to put his theatrical initiative into practice, but he forms a meaningful theatrical blend between the European canonical plays and his new mold. In other words, he “poured” excerpts from *Agamemnon*, *Hamlet*, *Don Juan*, *Peer Gynt*, *The Cherry Orchard*, *Six Characters in Search of an Author*, and *An Angel Comes to Babylon* in “his mold” to showcase how his “mold” can accommodate European canonical plays, and how the

traditional performers would be able to “carry the banners of Aeschylus, Shakespeare, Moliere, Ibsen, Chekov, Pirandello, and Dürrenmatt” (16). Hence, as he states, his theatrical mold could “break the wall between the masses and the grand world arts” and “simplify the mediums that carry the most refined of arts and the finest human intellect to the masses in their neighborhoods and villages” (16-17, 21).

Al-Ḥakīm concludes his Introduction by asserting that advocating for an indigenous theatrical tradition does not necessitate a complete disregard for Western theatrical practices. On the contrary, he states, “to be part of the march of civilization with all its developments and advances” (21), all theatrical traditions must go hand in hand. So, he explicitly advises readers and writers to maintain the dialogue between the East and West to contribute to “general human intellectual activity” (*Thawrat al-shabāb* [*The Revolt of the Young*] 24). Thus, the cultural encounter in his theatrical initiative has manifestations of mutual understanding and empathy to bridge cultural gaps.

#### **4. *Hamlet* Revisited: A Local Perspective**

Scholarship on postcolonial Shakespeare brings to the fore the significance of appropriating Shakespeare’s plays and synchronizing them with local ones to serve the local needs. Having been regarded as a “a privileged site of authority”, “a mask for the dominant ideology”, “a tool used to promote ‘authentic’ version of British culture”, and “embodiment of the conservative politics, imperialism, and patriarchalism of a previous age” (Cartelli 1; Godiwala 42, 46), al-Ḥakīm – like many postcolonial writers – has visited and re-visioned *Hamlet* to illustrate the dynamics of exchange and mobility in the circulation of ideas and genres.

Loomba and Orkin observe that intellectuals and artists from the colonized world responded to Shakespeare in a variety of ways,

sometimes they mimicked their colonial masters and echoed their praise of Shakespeare; at other times they challenged the cultural authority of both Shakespeare and colonial regimes by turning to their own bards as sources of alternative wisdom and beauty. In yet other instances, they appropriated Shakespeare as their comrade in anti-colonial arms by offering new interpretations and adaptations of his works. (2)

In the re-visioning process of excerpts from *Hamlet* along with the other excerpts, al-Ḥakīm “turned to his own bard ... and appropriated Shakespeare” to challenge the cultural hegemony Shakespeare’s play represents. To encourage his readers’ / audiences’ critical reflection on cultural encounters taking place in *Hamlet*, al-Ḥakīm poured it into the mold of dramatic storytelling, which foregrounds the role of the traditional performances. Thus, *Hamlet* becomes a contact zone and a borderlands narrative with its navigation between theatrical traditions, pushing the boundaries of theatrical expression and suggesting that these traditions are fluid and constantly evolving. It is worth to note that al-Ḥakīm preserves some of the identifying signifiers of the canonical text but gave himself the liberty to drastically modify other major signifiers. Unlike Nigerian writer Femi Osofisan's *The Chattering and the Song* (1977) or the Kuwaiti writer Sulayman Al-Bassem's *Al-Hamlet Summit* (2002), al-Ḥakīm did not alter the play's title. He also left the original geographic locale unchanged. However, he modified the narrative construction along with the visual representation. Since the dismantling process in *Hamlet* is broad; so, my field of inquiry falls into the size and genre of the play, the manipulation of narrative, and performative conventions of *Hamlet*.

One major counter-discursive intervention is the size of the appropriate play. Instead of concentrating on one rewriting project, *al-Ḥakīm* uses selected portions of the master narrative. The appropriated play *is* most radically reduced into two scenes only out of 20 scenes in five acts in the original play. By minimizing the selected portions into Scene 1 and 2 from Act I, al-Ḥakīm marginalizes the canonical text, subverts the overwhelming centrality of Hamlet in Western drama, and deconstructs the play’s codes as an Elizabethan tragedy; thus, giving it less eminence and status.

Another counter-discursive strategy is reworking the play to fit the Egyptian culture. Reading the excerpt below from introductory lines of the appropriated *Hamlet* takes us to a performance aesthetically specific to the Egyptian culture as it starts with *al-ḥakawātī* who is aware not only of his role and position as a performer but also of the audience:

*AL-ḤAKAWĀTĪ: I am ḥakawātī... (He mentions his real name). I will show you a play by the author Shakespeare called Hamlet... Once upon a time dear esteemed audience, in the country called Denmark, there was a king who had a beautiful wife and a righteous son named*



"Hamlet." He also had an evil brother who wanted to usurp both his throne and his wife... This brother stalked him one day while he was sound asleep in the garden of the palace and poured poison in his ear and murdered him ... Then he married his widow and ascended his throne... Prince Hamlet was, of course, deeply saddened by his father's death and his mother's quick marriage to his uncle ... One night Hamlet learned that his father's ghost had appeared wandering around the palace, and when he met it, he learned the secret of the crime ... And since that night, he has been living a turbulent life, drenched between doubt and certainty, seeking truth to begin his revenge<sup>①</sup>... (58)

*Al-ḥakawātī*'s commencement of the story of *Hamlet* in this very Egyptian ritualistic fashion has more than one dramatic function. It reflects his role as a storyteller who creates a literary complexity that prepares the readers/audience to conceive of such vast doings taking place in the short period of time of the appropriated play. It also serves to decenter both the canonical play and the figure of the prince. Moreover, it recreates and refashions the literary genre of the original text as a tragedy in general and as a revenge tragedy in particular; and creates a new generic mode.

Despite the references *al-ḥakawātī* made to Hamlet's revenge, his uncle as a villain, the crime committed, and the appearance of his father's ghost, al-Ḥakīm's reworking of *Hamlet* presents a light, new dialectical version of the tragic play. Beginning the narration with the stock phrase, "once upon a time," *al-ḥakawātī* transports the readers/audience to the mythical, fascinating atmosphere of folktales. This phrase opens the gate to the world of magic where their mood is completely immersed in the fantasy and the supernatural that disconnect them from their mundane world. This fantastical atmosphere fills readers/audience with curiosity and eagerness but marks a drastic shift from the conventionally solemn and sombre atmosphere of an Elizabethan tragedy to one full of enthusiasm and zeal. This shift from tragedy to fantasy facilitates for the audience acknowledging that the playwright is al-Ḥakīm and not Shakespeare.

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<sup>①</sup> The excerpts from *Hamlet* are rendered back into English by the researcher with reference to the original play written in English.

In addition, al-Ḥakīm reconfigures the tragedy of *Hamlet* into the fabulous world of fantasy. Thus, the action is neither serious nor complete and lacks magnitude. Moreover, the play fails to arouse pity or fear in the audience; and consequently, does not create the effect of purgation or catharsis of these strong emotions. The protagonist lacks the necessary attributes to be viewed as a tragic figure and is reduced to a risible figure as a result. Furthermore, the appropriated play lacks all conventions of Elizabethan revenge tragedy like play-within-a play, blood-filled conclusions, corpses, etc.

*Al-ḥakawātī* is fully aware that storytelling constitutes a continuous interaction with the audience. So, after the introductory note in which he – like a spoiler – divulges all plot elements, modulates his voice, and speculates, “how did Shakespeare manage to draft his immortal masterpiece from this simple tale?” To which he responds, “this is what we are going to watch right now from *al-muqallid* and *al-muqallida*’s impersonation.” Then he directs his gaze to *al-muqallid*, saying, “You can start first ... come closer then, and tell the honorable audience who you would impersonate ... and start by introducing yourself” (58).

It is clear that *al-ḥakawātī* – along with the other performers – dominates the audience’s visual focus as they exist both visually and aurally; thus, forcing the audience to remain active and engaged. Drawing the audience’s attention to their corporal presence is highly significant in the reconstruction of their subjectivity. In front of the audience’s eyes, *al-muqallid* and *al-muqallida*’s bodies metamorphose into multiple personae as they impersonate all male and female characters. Throughout the two scenes, they vacillate between their authentic personae and the characters they inhabit; thus emphasizing the performativity of the body and defying the audience’s expectation for unified subjects.

*AL-MUQALLID*: I am *al-muqallid* ... (*He mentions his real name*). I will impersonate Hamlet, his father, his uncle, the King of Denmark, Polonis, the elderly Lord Chamberlain, Horatio, Hamlet’s friend, Laertes, the son of Polonius, Francesco and Marcellus, then all the courtiers ... and many more.

*AL-ḤAKAWĀTĪ*: And you, madam ... Introduce yourself.

*AL-MUQALLIDA*: I’m *al-muqallida* (*She mentions her real name*), I will impersonate Hamlet’s mother, Gertrude the Queen, and Hamlet’s beloved, Ophelia, daughter of Polonis, and other ladies. (58-59)

The above excerpt highlights al-Ḥakīm's use of the three performers which is central and intrinsic to the action rather than operating as uninvolved, neutral of the nameless chorus. Their interaction with each other concentrates the audience's attention on their own presence, in a self-referential technique that calls attention to itself as a play; and consequently, brings them in and involves them actively in the play. This self-referential technique is used by al-Ḥakīm to create a more immersive and thought-provoking experience for the Spect-Actors, who become fully aware that they are watching a play, and this awareness allows them to reflect on the broader cultural and social implications of the play.

Unlike the traditional role of chorus in dramatic works of art, al-Ḥakīm's three performers are fully integrated in the actions of the plot. They mediate between the audience and the action. While *al-muqallid* and *al-muqallida* impersonate all male and female roles, it is *al-ḥakawātī* who plays various dramatic functions. In addition to being the storyteller, he is "the show manager who monitors and gives it the proper direction," "the director who assists *al-muqallid* in understanding the characters." Furthermore, *al-ḥakawātī* enunciates the stage directions to fill in gaps in the appropriated narrative. For instance, in the original play, we have the stage direction stating [*Enter Horatio and Marcellus*] (Shakespeare I.i.16). In the appropriated text, *al-ḥakawātī* comments, "Here enter Horatio and Marcellus who proclaim ..." (61). Sometimes *al-ḥakawātī* adds lines that are not in Shakespeare's text like, "here is Hamlet standing alone speaking to himself" and "here's the queen, Hamlet's mother, trying to appease him" (75). Therefore, *al-ḥakawātī* is the most immediate point of reference for the indigenous audience. His position and the different dramatic roles he plays encourages an intimate relationship with them that enables him to guide the audience into the fluid time and space of the appropriated play. *Al-ḥakawātī* creates the play's frame, but since he sometimes plays the role of the storyteller, this dual role then – along with the different roles impersonated by *al-muqallid* and *al-muqallida* – complicates the spectators' points of views; thus, creating multiple levels of meanings.

Placing great emphasis on the indigenous performers leads to the muting of Shakespeare's dramatis persona. This muting can be interpreted as a form of resistance against the dominant narrative that has historically marginalized the native voices. It also allows al-Ḥakīm to focus on authentic representations of his

community and to center the experiences of the traditional performers. The excerpt below elucidates how *al-ḥakawātī*, in describing the temporal and spatial setting of the play, takes over and silences Francisco and Bernardo:

*AL-HAKAWĀTĪ: Great ... let's start the play! ... which begins in a paved place in front of the palace ... which is both a house and a castle at the same time ... Now it's night ... midnight ... Francisco is the watchman ... at this moment, Bernardo, his comrade approaches ... whom of course he cannot recognize because of the darkness. Now it's al-muqallid's turn; you can start now ... impersonate Bernardo when Francisco is getting nearer to him, and tell us about their dialogue ... (59-60)*

*Al-muqallid and al-muqallida* too, in slipping from one character to another, strip the characters they impersonate of their tangible support indicated in the original text:

*AL-HAKAWĀTĪ: [impersonating Bernardo as he approaches his comrade]*

Who is there?

- Nay, answer me. Stand and unfold yourself
- Long live the king!
- Bernardo?
- He.
- You came most carefully upon your hour.
- 'ts now struck twelve. Get thee to bed, Francisco.
- For this relief much thanks. 'tis bitter cold,
- And I am sick at heart.
- Have you had a quiet guard?
- Not a mouse stirring.
- Well, good night.
- If you do meet Horatio and Marcellus,
- The rivals of my watch, bid them make haste.
- I think I hear them. Stand, ho! Who is there?

*AL-HAKAWĀTĪ, here enter Horatio and Marcellus ... saying ... (60-*

*61)*

In this short scene, Bernardo, Francisco, Horatio, and Marcellus are prevented from having a voice; and consequently eclipsed, and muted. Their presence is diminished while giving the traditional performers resonant voices to narrate from their own

perspectives. From their first appearance, the indigenous performers defy Shakespeare's authority by disrupting the normality of the master text; hence, destabilizing the power structure of the original text. This is a powerful intervention in the colonial relation in which the centre is silenced, and the periphery is empowered. So, the subaltern is speaking. After being suppressed and muted, after being deprived of agency and voice, *al-ḥakawātī*, *al-muqallid*, and *al-muqallida* are identified; and once they speak, they cease to be subaltern; thus, subverting the authority of the characters that used to have hegemonic power.

Using indigenous performers as a performative strategy challenges the stasis and fixity of performing the canonical play as their tone, inflection, gesture, voice, and stance dislocate the canonical text and transpose it into Egyptian theatrical space signified by folk conventions. Therefore, al-Ḥakīm's revisionist improvisational approach and lack of regard for naturalistic conventions such as the fourth wall allows his mold to "interrogate received Western models and valorize oral cultures that were negated by colonial cultures" (Godiwala 38).

## Conclusion

In conclusion, al-Ḥakīm's appropriation of Hamlet offers a compelling example of how postcolonial literature can challenge Western cultural hegemony. By appropriating European theatrical conventions and incorporating local performative elements, al-Ḥakīm creates a hybrid performance that resists the dominant narrative and celebrates cultural diversity. Using the concepts of contact zones, borderlands narrative, and counter-canonical texts provides a valuable framework for understanding the complex interplay between global and local cultures in al-Ḥakīm's play's *Hamlet*. Al-Ḥakīm's role as a postcolonial playwright emerges here by creating a theatrical mold that hybridises two performative approaches in a way that interrogates the cultural supremacy of the text and offers new insights for performative Egyptian intervention. It is this reposition that serves the needs of al-Ḥakīm's decolonization of the Egyptian stage.

Al-Ḥakīm's recovery of the indigenous theatrical mold and applying it to *Hamlet* brings an Egyptian perspective of theater as a genre which challenges Western theory, since it acknowledges how the literary genre moves beyond the limits of the literary to include the folk tradition as performance. The choice of indigenous

performers gives cultural weight to the way in which *Hamlet* is (re)constructed; and helps al-Ḥakīm in his indigenization and Egyptization processes. The performers break this canonical play open to “decolonizing performatives” which “disrupt[s] the operations of coloniality” (Sandoval et al 1) through representing modes of performance that present cultural encounters.

Al-Ḥakīm exercises agency by shifting the focus of *Hamlet*. The staging of the first two scenes only, and having the *al-ḥakawātī*, *al-muqallid*, *al-muqallida* in their regular attires subvert and appropriate the master text, allowing for a considerable power shift towards the indigenized play. In addition, dispensing *Hamlet* with the conventions of oral dramatic heritage undermines the genre of tragedy. Thus, the appropriated play displaces the centralized, dominant voice of Shakespeare’s masterpiece.

The potent underlying indigenous features and techniques that call for de-centred dramatics which places *Hamlet* outside the dominant Western tradition definitely pave the way for Egyptian literary and cultural independence. By blending of oratory with *Hamlet*, al-Ḥakīm shows how an indigenous theoretical paradigm can become the vessel for the understanding of a Western canonical text. The use of the three performers is significant in the play as they make the Egyptian readers/audience appreciate their position as insiders, and not outsiders. In so doing, al-Ḥakīm returns the power of the past to his people.

I would like to conclude by confirming that the stature and role of al-Ḥakīm as a de-colonizer of Egyptian stage must be acknowledged and appreciated. Not only did he indigenize and Egyptize *Hamlet* as a canonical text, but also he creates a powerful subaltern voice that strikes back against the empire. With this final note, I recommend that Egyptian playwrights continue what al-Ḥakīm started. Playwrights should invest time and efforts to understand and appreciate indigenous Egyptian drama.

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**Humanizing Artificial Bodies: Empathy and Camaraderie in Kazuo Ishiguro's  
*Never Let Me Go* (2005) and *Klara and the Sun* (2021)**

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**Abstract:** Influenced by the massive rise of technology and digitization in the twentieth century, the Japanese-American writer Kazuo Ishiguro deals with the developments and repercussions of technology that particularly has to do with human replicas, whom he probingly assesses their influence on human society and human relationships. His two novels, *Never Let Me Go* (2005) and *Klara and the Sun* (2021) present a wide array of human emotions that clones



and “Artificial Friends”, as referred to in the latter, can practice in a world that is replete with illness, dysfunctional relationships, social ills and death. The Post-human Turn in humanities and literature questions the endurance of human agency and its role in controlling the governing state of affairs. With the advent of technology, the age-long central role of human beings has become more subsidiary, and more non-human creatures and inventions have started to take center-stage in the contemporary world. Notwithstanding the fact that they continuously struggle to survive in a world that does not wholeheartedly acknowledge them, these clones and Artificial Friend(s) are, ironically, presented as more humane than humans. The relegation of humans to the background and the centralization of post-humans brings the hidden psychological complexities of the latter to the limelight. As such, in the aforementioned novels, *Never Let Me Go* and *Klara and the Sun*, Ishiguro illuminates the sufferings, mishaps and, most importantly, the sense of empathy and solidarity that these post-humans can possibly form and express to counter the wrongdoings and evil tendencies that humans exhibit.

**Keywords:** solidarity, cyborgs, humanization, empathy, post-human agency.

## **I. Introduction**

With the fast-growing interest in technology and the ever-increasing scientization of humanity, the human, as an autonomous being, has been relegated to the background and, instead, science, technology and cybernetics have taken center-stage. While there are two diametrically opposing views of the “post-human”- one that celebrates the “post-human” agent, and one that utterly disparages it- critical post-humanism views the post-human agent as a vehicle for empowerment and an emblem of human values. It rather promotes the controlling power of the “post-human” and portends the gradual eradication of the “human.” This dialectic relationship between the “human”, “nonhuman” and the “post-human” has been a subject of profound investigation in the field of literary and sociological studies. Different definitions were given to the “nonhuman” and the “post-human” and, although they are sometimes used interchangeably, each has its own distinct interpretation in literature. While the “nonhuman” refers to anything that is not given

human qualities, in terms of physicality, the “post-human” refers to inventions or creations that belong to a different world that lies beyond the human realm.

While their definitions sometimes overlap, the “Non-Human Turn” in humanities does not investigate the development of the human, and does not look beyond his existence, but it is “expressed most often in the form of conceptual or rhetorical dualisms that separate the human from the nonhuman---variously conceived as animals, plants, organisms or climatic systems” (Grusin 2). Critical post-humanism does not examine the human in isolation, but it rather “claims that the human can no longer be seen as an exceptional being, but as an assemblage, co-emerging with other species with whom the planet is shared” (Kumbet 1). This definition of post-humanism, therefore, deconstructs what “humanism” is all about. Humanism, as a philosophical notion, is destabilized as “in the parlance of earlier literary, philosophical and theological texts, the human frays into gradations of subhuman, inhuman, and superhuman --- the bestial, the daemonic, or the divine” (Clarke 141). Therefore, critical post-humanism postulates that the post-human has gained a firm foothold in the contemporary era, to the extent that it can overpower the authority and confidence of the “human”, which, accordingly, drives the latter to become highly dependable on genetically-created objects and cyborgs. Therefore, humans are no longer viewed as the sole arbiters of their own experiences, nor are they regarded as heroes or saviors in their own right. However, humans are only “a by-product” of the overall story; in other words, they have recently assumed the less powerful opposite of the binary opposition between humans/post-humans (Herbrechter 5). Before the emergence and popularity of the “Post-Human Turn” in the twentieth-century, the German philosopher, Friedrich Nietzsche, cast doubt on the importance of human agency, claiming that “human intellect” is “wretched, shadowy ... aimless and arbitrary” (Nietzsche 42). Influenced by Nietzsche, the French critic Michel Foucault subverts the importance of “Man” as the age-long representative of force, power and action. In *The Order of Things*, Foucault’s perception of the human’s critical faculties is highly attributable to Nietzsche; the former directly asserts that “contemporary thought is dedicated to go beyond man ... the promise of the superhuman signifies first and foremost the imminence of the death of Man” (21). In *The Cambridge Companion to Nietzsche*, the strong impact that Nietzsche had on

Foucault is shown in how “Foucault applauds Nietzsche’s announcement of the disappearance of Man as the standard-bearer of an-all-too-serious anthropocentrism” (Magnus and Higgins 328). Despite the fact that the “Anthropocene”, as a geological concept, centralizes the role of humans and acknowledges their influence on the environment, it is also recognized for its belief that “humans must now be understood as climatological or geological forces on the planet that operate just as non-humans, independent of human will, belief, or desires” (Grusin 1). Anthropocentrism is originally an anthropological and philosophical concept that asserts the power of humans over other species, and that, in the former’s encounter with the environment and other non-human creatures, they reign supreme. However, from an ontological perspective, with time, humans started to lose their power and, accordingly, their influence gradually diminished. This explains how the definition of the “human” has been altered altogether in humanities, and how post-humans, as technology-based individuals, have now become center-staged.

Moving from the human to the post-human, the latter has taken a significantly different route, resulting in the decentering of the human and the celebration of artificial bodies and cyborgs. Dealing with post-humans entails the existence of creatures and objects that lie beyond the human world; “[it] aims to decenter the human by terminally disrupting the scripts of humanism” (Clarke and Rossini 141). The Japanese-American writer, Kazuo Ishiguro, writes about a world that has become highly saturated with post-humans, who are left in a state of uncertainty, evolving into amiable and good-natured humanoids. These human replicas or humanoids are post-human creations who are socially branded as “sub-humans” by human beings, irrespective of the fact that they can sometimes form a very tight friendship with one other. Drawing on the theoretical framework of “critical post-humanism” that empowers post-human agents and endows them with all human attributes, in his two novels, *Never Let Me Go* (2005) and *Klara and the Sun* (2021), Ishiguro presents a tale that is charged with emotions, tracing the human/post-human interaction and also highlighting the innate goodness of clones in the former and “artificial friend(s)” in the latter.

## **II. Post-human Agency, Knowledge and Sentimentality**

The two novels by Ishiguro undermine the centrality of Man, who has always been viewed as the most active, sharp-witted arbiter throughout the history of humanity. Countering “humanism”, as a movement that crystallizes the role of Man, post-humanism placed the fundamentals of humanism on a shaky ground. In other words, the two novels undermine the basic values of humanism and negate the fact that there are certain characteristic features that, if collectively present, will “make us humans ... they are characteristic of us as a species, and they largely differentiate us from other species” (Copson, Donnellan et al., 24). During the age of Enlightenment, the English philosopher John Lock re-visited the term “tabula rasa”, which dates back to ancient Greece, and which describes the preliminary stages of the infant’s mind after birth. Throughout the history of philosophy, there has been two major schools of thought: empiricism and rationalism. While the former believes that knowledge and sensory experiences are interlocked, the latter affirms that knowledge is directly intertwined with rational thinking. Philosophers who advocate the notion of “tabula rasa” are in favor of the former as they believe that human beings are initially born ignorant, and they only gain knowledge through experiential learning and empirical interaction. In his essay, “An Essay on Human Understanding”, Lock contends that “we shall not have much reason to complain of the narrowness of our minds, if we will but employ them about what may be of use to us; for of that they are very capable” (25). This notion of “tabula rasa” can be applied to the mental and cognitive state of the clones in *Never Let Me Go* and the keenly observant and quick-witted humanoid, Klara, in *Klara and the Sun*. The story of *Never Let Me Go* revolves around the lives of clones, who are trained to become carers and eventually donors before they meet their deaths. The novel is narrated from the viewpoint of Kathy, who starts the novel as a carer, narrating her experience at Hailsham, the school where all clones receive education and training to become donors. At the very beginning of the novel, before it is revealed that the narrator of the story is a clone herself, Kathy explains how clones “aren’t machines. You try to do your best for every donor, but in the end, it wears you down” (*Never* 1). Ironically, the post-human world is known for the dominance of “machines” and the gradual extinction of humans. However, Ishiguro creates a narrative that is poignantly intertwined with the daily struggles that clones go through, who are in themselves replicas of human beings. The clones, Kathy, Ruth and Tommy, who are all students at Hailsham, are post-human agents,

trying relentlessly to overcome pain and marginality, and also trying to understand the world around them through the experiences they encounter.

Although Kathy is a post-human creation, she emphasizes that she is not equated to a “machine” that keeps on working tirelessly. In *Never Let Me Go*, Ishiguro re-visits the concept of the “human” and re-evaluates its position in society. He subverts the fact that a “human” is only defined in terms of his/her agency and capability, and he instead gives voice to species who are lost in the shadows, highlighting “human entanglements with other species and agencies in technologically saturated environments” (Kumbet 6). Ishiguro undermines any boundaries between humans and clones as he endows the latter with mental acuity and artistic genius, showing how they create “paintings, drawings, pottery; all sorts of ‘sculptures’ ... they were [the] only means of building up a collection of personal possessions” (*Never* 16). The idea of “creativity” is very important at Hailsham and is deemed one of the central skills upon which clones are assessed at school. Through Ishiguro’s narrative that is filled with Kathy’s nostalgia for her memories at Hailsham, she gives an account of all the practices and relationships that shaped Hailsham as an educational institution for clones. One’s own ability to “create”, invent and imagine grants one a sense of individuality and autonomous thinking, which Ishiguro attributes to these clones. Through art, there is an intertwining between the cognitive and artistic processes, which illustrates how “creativity becomes an essential ingredient in defining the clones’ inner world since this unveils and translates their soul: emotions reveal their human nature, nullifying the mind-body divide” (Ulmer et al., 183). Art acts as a springboard that helps clones like Kathy, Ruth and Tommy express themselves and, therefore, it gives them a sense of freedom that contrasts with their physical entrapment at Hailsham.

An insight into the psyche of humanoids and their inborn good-nature is presented in Ishiguro’s *Klara and the Sun*, which tells the story of Klara, a sun-powered robot, or as she is referred to in the novel, an “artificial friend”, who is purchased by Josie and her mother. From the beginning of the novel, when she was still on display at the store, Klara is described as a keen-sighted, observant and a very empathetic “artificial friend”, who “unlike most AFs .... longed to see more of the outside” (*Klara* 8). Klara’s curiosity, deep understanding and analysis of her

surroundings render her a “human, endowed with ‘intentionality’, which is an essential trait of humanity and its consciousness” (Scribano and Korstanje 243). Unlike *Never Let Me Go*, in this novel, Ishiguro presents the close friendship that develops between a humanoid and a human. *Klara and the Sun* is not about “human” relationships among “post-humans”, but it is rather about how an artificial creation has the capability to exhibit immeasurable kindness that falls out of human capacity. This novel reflects a new prism through which the humanoid can be evaluated and looked at. It is not only Klara who is interested in mingling with the “outside” world that she sees through the window of the store, but also parents buy artificial friends for their children to keep them company. While this window where she is displayed can be viewed as a spatial barrier that separates her from the outside world, it is equally a connector that instills in her the desire to penetrate the world and interact with the passers-by. As such, knowledge is not innately engraved in the consciousness of Klara or the clones, but it is rather acquired through experience, interaction and exposure.

### III. Overcoming Marginality through Camaraderie

By the middle of the twentieth-century, Foucault introduced a concept called “biopolitics”, which refers to the interference of governmental bodies in regulating and controlling people’s bodies and lives. This relationship between one’s biological existence and governmentality constitutes what bio-politics is about, which Foucault defines as “the entrance of the living species into the calculus of political rationality” (Lemm and Vatter 14). The ambiguity of the cyborgs’ social position in the contemporary period left them in a state of uncertainty, oscillating between their categorization as “living species” or as Man’s inanimate invention. In Donna Haraway’s “Cyborg Manifesto”, she proposes that a cyborg is a “hybrid of machine and organism, a creature of social reality as well as a creature of fiction. Social reality is lived social relations, our most important political construction” (5). Through Haraway’s perception of the cyborg’s position, it can be deduced that, although they are “created” or “replicated”, they are still active participants in their own social reality, which makes them artificial creations with human qualities. Therefore, since they forge “social relations”, they straddle two different worlds; the dystopian world of technology and machinery and the human world of social reality. In so saying, the

concept of “biopolitics” can be applied to the condition of these post-human agents in the two novels, rendering them post-humans who still fall under the hegemony of people and the social stereotypes inflicted on them. Ishiguro delineates this ambiguous position ascribed to them to depict how, although they are not socially categorized as human beings, their humanity and altruism are exceptionally incomparable. Kathy starts to realize her marginal position and difference from other humans when Madame visits Hailsham to view and collect the artwork done by clones. Kathy starts to realize her idiosyncrasy, believing that “there are people out there, like Madame, who don’t hate you or wish you any harm, but who nevertheless shudder at the thought of you ... and who dread the idea of your hand brushing against theirs” (*Never* 29). However, this sense of inferiority, or rather peculiarity, is instantly countered by Ishiguro’s attempt at humanizing these clones. As the novel progresses, Kathy recounts Tommy’s romantic interest, breakup and reunion with Ruth. Between love and friendship, Kathy herself develops an interest in Tommy. This complex love triangle demonstrates the emotional side of these clones and how, no matter how much they try to retain their love and friendship, they are destined to meet their fates. However, this sense of loneliness and marginality never ceases to tie them together and create a kind of friendship that perpetuates, in spite of all the challenges they go through. At the beginning of the novel, Kathy contends that, notwithstanding the fact that they might differ, they have “grown up together at Hailsham”, and “knew [and] remembered things no one else did” (*Never* 9). Throughout the novel, there is an emphasis on the bond between Kathy, Ruth and Tommy, and how, no matter how their relationship is sometimes threatened by some impediments, they are all grouped together. Accordingly, on account of their awareness of their oddity, an intense sense of camaraderie grows among the three, propelling them to unite together in the face of all the discriminatory practices that are carried out against them.

#### **VI: Post-human Spaces: A Vehicle for Empowerment**

In his book, *The Future of Post-human Space-Time* (2006), Peter Baofu provides a different definition of space and time, emphasizing that these two co-dependent notions are fluid and changing, liable to mutation depending on the changing nature of world politics and demographic distribution. Baofu speculates that

space and time will eventually be altered and distorted after the dominance of cyborgs and humanoids. He contends that “space and time will not last, to be eventually superseded by post-humans in different forms ... thus, even the physical existence of space-time cannot last forever, with ever more transformations in the process” (8). In *Never Let Me Go*, Ishiguro traces the development of these clones, along with the challenges, changes and troubles they meet throughout their stay either at Hailsham or the Cottages. As two central spaces in the novel, Hailsham and the Cottages represent different stages in the lives of clones. When they reach their teenage years, they move to the Cottages where they start to mingle with older clones, who are also known as the “veterans.” The Cottages acts as a transitional phase in the lives of clones; it transports them from their childhood years at Hailsham to the hospital where they officially become “donors.” As they slowly learn about their fate, students at Hailsham were initially oblivious to their own fate. When they learn about the truth of their origins and the role they were “invented” to play in life, Miss Emily explains that, as the head guardian of Hailsham, she intends not to talk about their inexorable fate, hoping that they will at least embrace what they temporarily have. Miss Emily admits to Tommy that she “lied to [him] [and] fooled [him]”, but she also tells him how she “sheltered [him] ... and gave [him] [his] childhood” (*Never* 179). Merging the reality of the world with Ishiguro’s overt call for the rights of these post-humans, or perhaps “sub-human” creatures, he links the fall of Hailsham to the dreariness of the future. After Kathy, Ruth and Tommy leave Hailsham, they learn about its closing, which symbolizes the cessation of any future care for these clones, and the annihilation of any kind of “refuge” for them. Ishiguro envisions a future that is devoid of humanity and empathy, which he imparts through the words of the Madame: “I saw a new world coming rapidly. More scientific, efficient, yes. More cures for the old sicknesses. Very good. But a harsh cruel world” (*Never* 182). The cruelty of the future heralds the dominance of a dystopian world, which, will though bring in many technological advancements, will equally yield the most adverse effects on humanity.

The behavioral changes these clones, particularly Ruth, encounter when they move to the Cottages attest to the well-delineated life sketch that Ishiguro draws for these clones. As a typical teenage student, Ruth changes when she moves to the



Cottages, which is akin to the university level, and starts to act differently as she tries ceaselessly to mingle with the “veterans” there. Kathy reflects on her friendship with Ruth at the Cottages, realizing how “those early months at the Cottages [were] a strange time in [their] friendship”, and how they “quarrel[led] over little things, but at the same time [they] confid[ed] in each other more than ever” (*Never* 86). Their growing sense of empathy towards one another is best expressed in their pre-completion stage when they approach their death, after dealing with the intolerable pain of organ donation. When Ruth is about to “complete”, Kathy could not leave her bedside and she held tightly to her hand, which “squeez[ed] whenever another flood of pain made her twist away” (*Never* 158). Ishiguro accentuates the kind of nonverbal language that these clones exclusively communicate through with each other. This is demonstrated in the eye language between Kathy and Ruth when the latter is on her deathbed. After calling the nurse to bring more painkillers for Ruth, Kathy explains how they looked sharply at each other, and, although Ruth did not utter a word, Kathy “knew what her look meant ... my hope was that with our gazes locked as they were for those few seconds, she’d read my expression exactly as I’d read hers” (*Never* 158). As they are fully aware of their fates, these clones cling to any hope, irrespective of how slim it is, just to enjoy some more time together.

This pinch of hope is represented in Norfolk, which is described in the novel as the “lost corner ... where all the lost property found in the country ended up” (*Never* 49). Clones have high hopes that they will find in Norfolk what they lost or what, more precisely, they never initially possessed. Kathy and Ruth start to come up with their own interpretation of the mysterious space of Norfolk, which they always find missing from Miss Emily’s calendar collection. They do not only form fantasies about the place, but they hail it as a place of retrieval, gain and resolution. On their trip to Norfolk, Kathy and Ruth believe that they might find their “possibles”; the original human they replicate. As a space that counters their strict, regulatory educational institutions where they were brought up, Norfolk is a hope-inspiring one where they believe they will understand their true selves and resolve their identity crisis. Since these clones have no knowledge about their past, “what they are looking for is [a] missing (primal) memory which exists even before their existence”, and their attempts at trying to find out their originals turn out to be “disillusioning” (Tseng 110). The

idea of predestination and the power of fate is obviously shown when Miss Lucy, the guardian at Hailsham, tells the clones blatantly: “none of you will go to America, none of you will be film stars ... your lives are set out for you. You’ll become adults, then before you’re old, before you’re even middle-aged, you’ll start to donate your vital organs. That’s what each of you was created to do” (*Never* 58). Their knowledge of their own fate binds Kathy, Ruth and Tommy together until they reach the stage of completion and die. Ishiguro presents how love, friendship and tolerance stem from empathy and, more importantly, from sharing the same trying circumstances and the same dismal fate.

Throughout the novel, there is a contrast between life inside and outside of Hailsham. Hailsham, as a school that is limitedly for clones, is deemed an inversion of reality; an eccentric place that gathers idiosyncratic students together. The dichotomy between the “normal” and the “alien” runs throughout the novel. Kathy is aware of the fear and repulsion that humans feel towards herself and her fellow clones, and she even compares clones to “spiders”, believing that “Madame was afraid of us. But she was afraid of us in the same way someone might be afraid of spiders ... it had never occurred to us to wonder how we would feel, being seen like that, being the spiders” (*Never* 29). Kathy imbibes her own peculiarity since she takes pride in her achievements as a carer for other ‘donors’, which shows how “there is something obtuse and even self-harmingly complacent about Kathy’s account of an atrocity in which she is also a victim --- the compulsory farming of ‘clones’ for body parts to allow non-clones (‘normals’) to live longer” (Bennett 16). In Chapter 6, Kathy affirms that any place that lies beyond the borders of Hailsham is a “fantasy land”, and she emphasizes her ignorance of the outside world by explaining how she and her fellow clones “had only the haziest notions of the world outside and about what was and wasn’t possible there” (*Never* 49). Between two opposing worlds lie these clones, who straddle two different realms that leave them totally lost, unable to properly identify themselves. Ishiguro employs Kathy as a representative of all other clones who have the very same feelings, concerns and thoughts that she speaks out. Through Kathy, Ishiguro gives voice and recognition to “duplications” who are endowed with human characteristics and who, unconsciously, “adop[t] the euphemistic language of discrimination ... (‘normals’ for the privileged natural-born people in a society;

‘completing’ for the death of a clone whose vital organs have been harvested” (Bennett 3). This sense of loss is demonstrated in Kathy’s interest in the song “Never Let Me Go” that she listens to and imagines that it is a song from a mother to her newly born baby, imploring him/her to hold on to her. This is not only a demonstration of human impulse, but it is also a pitiful scene of the motherly instincts that are denied to female clones like Kathy. This explains how the title itself does not merely refer to the song that Kathy plays in the novel, but it rather carries an earnest imploration to “never let go”, either of the memories, bygone friendships, or deceased clones who were lost to donation. Towards the end of the novel, Kathy contemplates her future and reflects on her past, awaiting the time of her “completion”, after which her life ends.

The store in *Klara and the Sun* can fairly be compared to Hailsham in *Never Let Me Go*. In spite of all the false beliefs they had at Hailsham, Kathy, Ruth and Tommy still hold tightly to the memories they made at the school, especially after they leave and mingle with the world. Both Hailsham and the store serve as spaces of “otherness”; in other words, they are places that are particularly constructed to accommodate people who share common idiosyncrasies. Once these “othered” people, or humanoids, step out of their “homes”, they become either fascinated or, conversely, discouraged by the outside world that has long been unknowable for them. When Klara leaves with Josie and her mother, it is her first time to get wholly immersed in a world that is dominated by humans. Throughout her stay at the store, she only saw replicas of herself; other artificial friends who belong to different models. However, after she moves with Josie, she experiences how challenging it is to deal with humans, and notices how daily interactions are far more difficult than merely watching them through the window. Klara narrates how Melania Housekeeper, the one who takes care of Josie and Mother’s house, “shortened the time [Klara] spent with Josie ... and, initially, she even attempted to prevent [her] coming into the kitchen for the mother’s quick coffee and Josie’s breakfast” (*Klara* 52). When Manager, the unnamed human woman who takes care of the store, comments on Klara’s observable intelligence and sharp eye, Klara asserts that “a child like that, with no AF, would surely be lonely” (*Klara* 11). Since the fundamentals of humanism are shaken and new spaces have been created to accommodate these

humanoids, a growing sense of camaraderie is formed and cemented between humans and post-humans.

## VII. The Human/Post-human Conflict

These AFs also long for company and their sense of loneliness is no less agonizing than that of children, who opt for the company of a robot. The sense of estrangement that annoys and takes hold of Kathy and her friends at Hailsham in *Never Let Me Go* is also featured in *Klara and the Sun*, which renders the latter a novel in which “the theme of loneliness is more central ... and investigated in a more fundamental way ... Klara navigates a sea of human solitude, where the desire to love and be loved is forever frustrated and no relationship ... seems permanent” (Bennett 222). Instead of being a tool that causes separation from the outside world, like most technological inventions, Klara connects with humans and brings them together through her high emotional and intuitive faculties. One of the downsides of technology is the process of “lifting”, which is a process of genetic transformation that young children go through to become more intelligent. Josie, the fourteen-year-old girl who goes with her mother to buy Klara from the store, is eventually “lifted”, but, her friend, Rick, is “unlifted”, thereby leading to his exclusion from all institutions and events that are only reserved for “lifted” students. While “lifted” students are given more opportunities and privileges than those who are “unlifted”, they are bound to eternally suffer from chronic illnesses that eventually lead to their death. When Rick’s mother says that she wishes to send him away to Atlas Brookings College so that he can undergo the genetic process of “lifting” and leave her alone, Klara is surprised that “someone would desire so much a path that would leave her in loneliness ... I didn’t think that humans would choose loneliness” (*Klara* 152). In spite of the differences between them, both Klara and Josie are extremely lonely, and, while the former exhibits boundless compassion and love, the latter is utterly inappreciative of what Klara does to her. Ironically, instead of choosing a fellow human, these children choose to befriend artificial friends to keep them company and alleviate their pain, which foretells the eventual eradication of humans and the impending advent of a futuristic world. Rick tells Klara how agonizing it feels that he

does not belong to other kids, and how he feels inferior, telling Klara “you are super-intelligent and I am an idiot kid who hasn’t even been lifted” (*Klara* 125). When Klara lives with Josie, she learns that Josie has a sister, named Sal, who died earlier after being lifted. However, because of the gross discrimination that “unlifted” students are subjected to, Josie’s mother induces Josie to undergo this genetic process to become more intelligent and quick-witted.

Since Josie’s mother is fully aware that she might lose her daughter on account of this genetic transformation, she decides to resort to Mr. Capaldi, a man whom the mother hires to duplicate Josie and “get her portrait done ... there has been a long break on account of her health, but she’s stronger now and so I want her to go in for another sitting” (*Klara* 150). Ishiguro reflects on the complexity of the mother-daughter relationship by revealing how Josie’s mother chose to let her daughter undergo this genetic enhancement process, yet she still cannot come to terms with the fact that she can live without her. The rigid caste system that distinguishes between “lifted” and “unlifted” students is nothing but a reflection of the oppressive social hierarchy that permeates society, and which also brings in some questions about human/machine boundaries that put the latter in jeopardy when trespassed. As hard-hearted as it seems to be, Josie’s mother wants Klara to “train” herself to become Josie so that she can compensate for her loss after she dies. This idea of Klara becoming another Josie is a complete eradication of the former’s identity, making it another replica of a human, as in the case of *Never Let Me Go*, and discarding her sentience altogether. Reason is no longer exclusively associated with humans, but humanoids as well can masterfully perform the very same duties allotted to humans. In light of these paradoxes that expose the helplessness of both humans and post-humans, Ishiguro examines the pitfalls of technology and, also, prophesizes the bleak and humanity-free future that is likely to take place. However, he still aims to present how these post-humans deserve to be placed on a par with human beings.

Klara in the story is more than a humanoid or an artificial invention; she rather emblemizes all the basic human emotions that are, ironically, nonexistent among humans. Since she regards the sun as her deity, Klara implores the sun to cover Josie and help her overcome her illness. As a means of sustenance, nourishment and religious escapism, the sun’s “special nourishment proved as effective for Josie as for

Begger Man, and after the dark sky morning, she grew not only stronger, but from a child into adult” (*Klara* 285). The notion of “love” is re-forged and re-evaluated in this novel; Ishiguro offers a deep understanding of what everlasting love means and how far it is central to the human experience in general. Since Rick remains to be “unlifted”, which does not place him on a par with Josie, they both drift apart after they join college. The importance of love is also shown in Klara’s plea to the sun to save Josie, telling him that the bond between Josie and Rick is both strong and unbreakable. However, after Josie’s cure, Rick vents to Klara about his relationship with Josie, telling her “when you passed it on that Josie and I really loved each other, that was the truth at the time. No one can claim you misled or tricked them. But now we’re no longer kids, we have to wish each other the best and go our different ways” (*Klara* 288). Ishiguro questions the essence of love and provides a new lens through which love can be assessed, making it possible for an electronic invention to be the savior of a human’s life. The fact that Josie is cured at the end, which spared the mother and Mr. Capaldi the need to replicate her, also re-assesses the replaceability of humans in one’s life. Towards the end of the novel, Klara reflects on her entire journey ever since she left the store and went with Josie, expressing her pleasure that she did not have to replicate her. On account of her very remarkable observational skills and intelligence, Klara believes that no one would replace Josie for her mother and Melania Housekeeper, especially after the pain they went through when they lost Sal, Josie’s sister, before. Klara experiences familial love throughout her stay with Josie, which is, again, another form of love that Ishiguro presents in the novel through the eyes of an artificial friend. She comments on the bond between Josie and her mother saying: “I would never have reached what they felt for Josie in their hearts” (*Klara* 302). Compared to humans, and even specialists like Mr. Capaldi, Klara notices from the beginning how the idea of creating a “duplicate” of Josie is non-viable. Josie eventually manages to circumvent her lethal illness, which was almost incurable, only through Klara’s intervention. Ishiguro presents how human’s potential for love and kindness is inversely proportional to those of robots; while humans’ innate goodness can diminish, robots’ kindness endures immeasurably.

The ending of both novels, *Never Let Me Go* and *Klara and the Sun*, is piercingly poignant as it unleashes the helplessness, victimization and loneliness of

these post-human agents, who were initially created to provide aid, either socially or medically, for human beings. *Klara and the Sun* ends with Klara's loneliness in the yard, having no other companions but the sun. The mystical relationship she has with the sun endows her with faith, resilience and a positive mindset. This transcendental image of the sun also signifies the need to either ameliorate or transcend the ills of the future, which can possibly be done through faith and the pervasiveness of humanity. Towards the end of the novel, Klara is visited by Manager whom she tells about all the happy memories she had with Josie, irrespective of the fact that she was sometimes exposed to negligence and marginality. The fact that Ishiguro presents how an "artificial" creation can have this immense religious faith sheds light on the amiability and humanity of Klara, who tells Manager that "the sun was very kind to me. He was always kind to me from the start. But when I was with Josie, once, he was particularly kind" (*Klara* 300). The ending of the novel does not only signify the potentialities that Klara innately possesses and can channel through the human sphere, but it also subverts human autonomy and independence, which are two vital notions that humanists have long called for and centralized throughout history. It is not the mother or Melania Housekeeper who intervene to help with the healing process of Josie, but, ironically, it is the "human-made" invention that calls upon divine intervention to cure her. Klara's spiritual power and moral compassion demonstrate how "post-humanism calls into question the conventional assumptions about human autonomy, rationality, and agency ... in doing so, post-humanism has opened up a wide range of questions in the twenty-first century that call for the reexamining of representations of life, bodies, and volition" (Clason and Demson 2). It is not only a re-examination of human nature or a negation of post-human monstrosity, but the novel also brings to light a new perception of religion and spirituality through Klara's unalloyed good-heartedness and intriguing journey from the store to Josie's household. This new perspective of religion, which is presented by a post-human, shows how "artificial intelligence [in the novel] acquires some sort of consciousness and is rendered as a kind of technological semi-human who barely resembles the human being, but at the same time presents its all too human characteristics" (Benedikter 159). This, therefore, demonstrates how critical post-humanism encourages the humanization of post-human creatures by giving them a human

identity that is not only limited to physical shape or moral qualities, but also by proving how they can still have their own deity and religious affiliation.

### VIII. Conclusion

Both novels, *Never Let Me Go* and *Klara and the Sun*, chronicle the lives of either human replicas or post-human agents that tell their stories and reveal their own confusions, miseries and unheard feelings. Instead of knowing about either Kathy or Klara from the point of view of a human, Ishiguro provides readers with a different worldview that is described and seen from the perspective of “post-humans.” The novels depict different types of ‘post-human’ characters: genetically engineered clones designed as human replicas and Klara, an artificial creation with an unexpected capacity for empathy and compassion. The two novels re-evaluate the meaning of love, camaraderie and friendship in a rapidly changing, contradictory world that both centralizes and, conversely, peripheralizes post-humans. Despite the fact that the two novels entirely focus on the role of Klara and Kathy, they also trace how these two characters are marginalized on account of their “non-human” affiliation. However, both novels ultimately present them in a very self-denying image that makes them more of “heroines” in their own right, who had to take into stride many obstacles and nuisances to either help alleviate the pain of their fellow clones, as in the case of *Never Let Me Go*, or accompany and heal humans like Josie in *Klara and the Sun*. The contradictions that underlie the novels are also demonstrated in the representation of both the downsides and upsides of technology. While Ishiguro laments the absence of humanity in a future that will, perhaps, be dominated by post-humans and artificial intelligence, he also posits a different positive facet of this technological breakthrough, showing how they, paradoxically, embody the goodness of humanity. The two novels demonstrate the indispensability of these artificial beings, disproving the concept of “anthropocentrism” that grants human beings supremacy over all non-humans. Therefore, through the employment of critical post-humanism as a main theoretical framework that crystallizes the leading role that post-humans play in the contemporary era, *Never Let Me Go* and *Klara and the Sun* are deemed literary “tour de force” that offer a new definition of love, faith, companionship and, most



importantly, re-evaluate the meaning of “humanity” in a “post-human”, human-free world.

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**Der Pyramidenbau und die altägyptische Medizin als Symbole des Wertes  
„Fleiß“ in der deutschen Kinder- und Jugendliteratur anhand von Werken von  
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**Abstract:** Values taking a very important possession in our life, especially if the child gains them in early childhood, for this reason, this article is leand on the importance of values in german children's and young adult literature and to what extent imagination contributes to the achievement of children's and young people's ideas. It examines how this literature not only entertains children and young people, but also serves as a means for the transmission of moral and ethical orientation. The article analyzes how the author brings values such as diligence through ancient Egyptian events and characters in her works, in addition, she clarifies the importance of socialization in order to learn values. In addition, the influence of society can be illustrated by historical contexts in the works. This study emphasizes children's and young adult literature as a means of supporting moral action. It shows the role of literature in reflecting values and how people act in different and complex situations. This work is also intended to show the role that ancient Egyptian culture reflects in the representation of the value system, especially in children's and youth literature.

**Keywords:** Kinder- und Jugendliteratur, Fantasie, Wertesystem, Sozialisation, Fleiß

### **1. Einleitung**

Werte in der Kinder- und Jugendliteratur spielen eine zentrale Rolle bei der Vermittlung von moralischen und ethischen Grundsätzen an Kinder und Jugendliche. Durch die Handlungen und die handelnden Figuren in den literarischen Werken werden viele Tugenden wie Fleiß, der freundliche Umgang mit Menschen u.a zum

Ausdruck gebracht. Dabei beschäftigt sich Kinder- und Jugendliteratur oft auch mit komplexen Themen, um diese auf eine unterhaltsame und verständliche Weise den Kindern und Jugendliche zu veranschaulichen und ihnen eine Orientierung und Inspiration zu geben.

Rosa Naumann, die Autorin von Kinder- und Jugendliteratur, wurde im Jahr 1951 geboren. Sie studierte Englisch und Geschichte in Berlin. Als junges Mädchen lebte sie mit ihren Eltern in Ägypten. Ihr erstes Buch „Verschollen in der Pyramide“ erschien im Jahr 2005. Es folgen zwei weitere Romane „Das Versteck in der Mumie“ und „Gefahr für Nofretete“. In allen ihren Werken ist die Handlung im alten Ägypten verortet.

Die vorliegende Arbeit beschäftigt sich mit einem wichtigen Wert, nämlich dem Fleiß, der im Mittelpunkt mehrerer Werke von Naumann steht. Der Roman „Verschollen in der Pyramide“ handelt von dem Mädchen Setha. Ihr Vater ist einer der Auserwählten, die im Grabkammer des Pharaos arbeiten dürfen. Vor dem Weihefest verschwindet ein Mann spurlos. Beim Weihefest sieht Setha ihren Vater nicht und muss feststellen, dass auch ihr Vater verschwunden ist. Setha und ihr Freund übernehmen durch spannende Handlungen die Verantwortung, Mehdud zu finden. Der zweite Roman „Gefahr für Nofretete“ erzählt von einem abenteuerlichen und mutigen Kind namens Mentu. Sein Vater arbeitet als Leibwächter der Königin Nofretete. Eines Tages wird Nofretete entführt. Mentu und seine Schwester Kawit übernehmen die Verantwortung, die Verschwörungen im Palast zu entdecken, ihren Vater vom Gefängnis zu befreien und Nofretete zu finden.

In den genannten Werken laufen die Handlungen auf mehrere Ebenen. Auf der ersten Ebene herrscht die Fantasie in der altägyptischen exotischen Kultur. Auf der realen Ebene werden einige ethischen Werte durch moralisch geprägte Situationen vermittelt. Diese Situationen spielen sich in einer allegorischen Ebene ab. Der Wert steht hierfür im Prozess der Sozialisation und gilt als ein Teil der Selbst- und Weltdeutung. Die moralische Ebene steht nicht nur für die Verschärfung des Problembewusstseins über Sozialisation, sondern auch für das fehlende Bewusstsein von den erwünschten Werten in der Gesellschaft. Deshalb beschäftigt sich die vorliegende Arbeit mit beiden Ebenen. Der erste Teil befasst sich mit dem Begriff der Fantasie in Kinder- und Jugendliteratur und der altägyptischen Kultur. Der zweite Teil ist der Sozialisation als Rahmen für die Vermittlung von Werten gewidmet.

Im Folgenden werden zentrale Begriffe für die Arbeit wie Kinder- und Jugendliteratur und Phantastik definiert.

## 2. Theoretische Grundlage

### 2.1. Kinder- und Jugendliteratur

Die Diskussionen über den Begriff Kinder- und Jugendliteratur und die Differenzierungen des Begriffs von anderen Literaturformen ist kein aktueller, dennoch wichtiger Tatbestand. Das führt zu wissenschaftlichen Debatten über den literarischen Begriff, denn „*die Literatur ist nicht das Buch als Medium, sondern ist eine Formmöglichkeit von mehreren Medien der Literatur*“ (Vgl. Fohrmann/Müller 1995, zit.n. Kurwinkel/Schmerheim 2020: 3). Zum anderen ist der Begriff *Kinder- und Jugendliteratur* eng mit dem Wandel der Bedeutung der Termini Kind, Kindheit und Jugend verbunden, die verschiedene Altersabstufungen umfassen. Außerdem verschwindet seit den 1990er Jahren die Grenze zwischen Kinder- und Jugendliteratur und der Erwachsenenliteratur, so dass andere Formen wie „Crossover Literatur“ und „All-Age-Literatur“ an Existenz gewinnen (Vgl. Beckett 2010, zit.n. Kurwinkel/Schmerheim 2020: 3). Der Begriff „Kinder und Jugendliteratur“ steht auch in enger Verbindung mit dem Begriff *Kinder- und Jugendmedien* (Kurwinkel/Schmerheim 2020: 3).

Im Folgenden werden die Begriffsgeschichte, unterschiedliche Ansätze der Systematisierung von dem Begriff „Kinder- und Jugendliteratur“ vorgestellt. Darüber hinaus werden zentrale Aspekte der gegenwärtigen Kinderliteraturforschung dargestellt.

Der Begriff *Kinder- und Jugendliteratur* ist zweideutig. Einerseits kann sie als „Literatur für Kinder“ (Kurwinkel/Schmerheim 2020: 3) verstanden werden. Andererseits lässt sie sich als „Literatur von Kindern und Jugendlichen“ (Kurwinkel/Schmerheim 2020: 3) betrachten. Obwohl es von Kindern und Jugendlichen verfasste Literatur wie „**Tagebuch der Anna Frank**“ gibt, dominiert die erste Bedeutung (Vgl. ebda.). Darüber hinaus wird ausgeblendet, dass es eine große Anzahl von Werken gibt, die von Kindern und Jugendlichen mit Hilfe von Erwachsenen geschrieben werden (Vgl. Gubar 2009; vgl. Grenby 2011, zit.n. Kurwinkel/Schmerheim 2020: 3). Zurzeit wird Kinder- und Jugendliteratur als

Oberbegriff in Bezug auf die gesamten literarischen Werke, die für nicht erwachsene Textadressaten geschrieben werden, benutzt. Zum einen kann Kinder- und Jugendliteratur von Erwachsenen geschrieben werden, zum anderen wird sie von Kindern und Jugendlichen gelesen. Unter dem Begriff Kinder- und Jugendliteratur können alle Gattungen und Genres, die in der Literatur für Erwachsene gefunden werden kann, einbezogen werden. Zur Kinder- und Jugendliteratur gehören im weiteren Sinne „mündlich erzählte Geschichten“ (Ong 1988 zit.n. Kurwinkel/Schmerheim 2020: 3), wie auch jene, die nicht schriftlich verfasst worden sind. Ferner zählen hierzu auch veröffentlichte kinderliterarische Manuskripte und Egodokumente (z.B. Tagebücher und Briefe). Kinder- und Jugendliteratur ist eine „Formmöglichkeit“ oder „Schreibweise“ von und in Kinder- und Jugendmedien; als Medium wird darunter „ein konventionell [...] als distinkt angesehenes Kommunikationspositive“ (Wolf 2002, zit.n. Kurwinkel/Schmerheim 2020: 3) verstanden. Das bedeutet, dass verschiedene semiotische Systeme im Einzelfall wie im Bilderbuch oder Film ineinandergreifen oder kombiniert werden können.

## 2.2. **Fantasie**

Die Fantasie spielt eine wichtige Rolle in der Kinder- und Jugendliteratur, weil sie als Grundwesen des literarischen Werkes gilt. Fantasie leistet einen Beitrag zur Erregung von Unterhaltung beim Lesen bei den Kindern und Jugendlichen.

Das Wort „**Phantastik**“ stammt von dem Griechischen „phantastikós“ und bedeutet Imagination oder Vorstellung. Im weiteren Sinne bedeutet phantastische Literatur nach Nünning (2013) jede Art von Literatur, die ein experimentales und belegbares Weltbild des Lesers anders abbildet. Darunter stehen Science Fiction, Fantasy, Legende, Horror und Märchen. Im engeren Sinne enthält die phantastische Literatur ein Konflikt zwischen dem dargestellten Weltbild des Lesers und den Ereignissen, die sich nicht in diesem Weltbild erklären lassen. Die meisten Definitionen beruhen auf einem Ordnungskonflikt als ein zentrales Merkmal der Fantasie. Es ist schwer, den Begriff Fantastik in der Literaturtheorie zu erfassen, weil sie von der Subjektivierung des Wirklichkeitsbegriffs bestimmt wird (Vgl. Nünning 2013: 598). Die Erzähltechnik (z.B. erzählerische Unzulässigkeit, Plot) spielen eine Rolle bei der Darstellung des Konflikts bei dem Leser (Vgl. Ebd. 2013: 599). „Zudem muss zwischen Phantastik als Genre (Gattung, Literatur.) und als übergreifender

ästhetischer Kategorie unterschieden werden“ (Ebd. : 599). Fantasie ist die Fähigkeit kreativ zu imaginieren, wie die Dinge sein sollen oder wie sie hätten sein können. Hierin stellen sich Menschen eine Welt vor, die anders wäre: Welten, wo Pferde und Schweine fliegen, Honig in den Flüssen fließt, die Welt aus Süßigkeiten besteht, die Bäume sprechen etc. In früher Zeit der Kindheit bilden sich die Kinder Fantasiewelten vor, in denen sie eine bestimmte Weile leben. Am Anfang sind diese Fantasiewelten sehr primitiv und kurzlebig, aber dann werden sie komplizierter und raffinierter, bis zu den komplexen Rollenspielfantasiewelten der Jugendlichen und Erwachsenen.

### **3. Ägypten als Ort des Erzählens**

Die altägyptische Zivilisation ist eine der ältesten Zivilisationen. Dennoch ist sie heute noch ein Teil moderner Kulturen und ein Motiv in den Werken mancher Autorinnen und Autoren. Die altägyptische Zivilisation war sehr faszinierend von Symbolen und Ritualen, die einer ganze Lebensgestaltung voller Geheimnisse und Mysterien formierte.

*Ägypten* gilt als Symbol der „*Weisheit*“ (Butzer 2012: 6). Als Land weist es viele Zeugnisse der Zivilisation und Ausgangspunkt des Geheimwissens auf. Isokrates schätzt „die vorbildhafte Zivilisation und weise Ordnung des Pharaonstaates“ (Butzer 2012: 6f). Platon betrachtet die ägyptischen Priester als Bewacher des Wissens und erkennt die musische Erziehung der Jugend an. Darüber hinaus gilt ihm Ägypten als „das Land der Schrifterfindung“ (Ebd: 6f). Ägypten gilt auch als Symbol des Geheimnisvollen. Herodot beschreibt „die Kulte des Landes als das faszinierend Andere, Fremde“. Plurarch betont die Symbolbildung der wesentlichen Esoterik. Charakter der Religion „insofern ihre Gotteslehre eine in Rätseln gesetzte Weisheit enthält“ und sowohl „*Sphinx*“ als auch die Hieroglyphen, die schon Diodorus Siculus als Geheimschrift interpretierte, werden bis in die Neuzeit als Symbole einer rätselhaften antiken Kultur verstanden (Ebd: 6).

### **4. Sozialisation**

Sozialisation ist sowohl für den Einzelnen als auch für die Gesellschaft wichtig, da die Gesellschaft ein Mitglied für jedes darin geborene Kind für seine Umgebung



verantwortlich macht und dem Kind daher die Erwartungen der Gesellschaft vermittelt, um sich auf sein Verhalten verlassen zu können. Es muss Kriterien erwerben, um das Verhalten der anderen zu berücksichtigen. Die Bedeutung der Sozialisation liegt dabei im Folgenden: Sozialisation ist der Vorgang, durch den das Individuum in eine soziale Gruppe integrieren wird und die gesellschaftlichen Normen, Werte, Handeln, Verhalten und Fertigkeiten der Gesellschaften erwerben kann. Außerdem ist es der Prozess, in dem Menschen die Regeln und Sitten der Gesellschaft anerkennen, um sich in der Gesellschaft zu handeln. Sozialisation entsteht in der Kindheit sowie Menschen erwerben sie lebenslang und sie bildet sich durch unterschiedliche Einflüsse wie Familie, Schule, Medien und andere soziale Institutionen. Mit Hilfe der Sozialisation erwirbt das Individuum seine Identität, Selbstbewusstsein, seine soziale Kompetenz und sein Verhalten, die für gemeinsames Leben in der Gesellschaft wichtig sind. Einerseits spielt die Sozialisation eine große Rolle bei der Entwicklung der Persönlichkeit des Individuums. Ein neugeborenes Individuum wird im Erwachsenenalter feststellen, dass diese Werte und Überzeugungen im Kindesalter in ihm geformt wurden und ihm eine bestimmte Mentalität und Persönlichkeit geben wird, die auf der Verknüpfung kultureller Werte, Gefühle und Ideen mit den Fähigkeiten und Bedürfnissen des Menschen basiert. Das Individuum lernt Kultur und Fähigkeiten wie Sprache und manuelle Geschicklichkeit, die es ihm ermöglichen, ein effektives Mitglied der menschlichen Gesellschaft zu werden. Sozialisation vermittelt grundlegende Disziplinen der frühen Jahre eines Individuums. Sie ist ein komplexer Prozess in einem komplexen System der Gesellschaft, die durch Spezialisierung und Arbeitsteilung gekennzeichnet ist. Andererseits hilft die Sozialisation dem Individuum, die Fähigkeit zu erwerben, in einer Gemeinschaft zu leben und mit der Gesellschaft, in der es lebt, umzugehen, wie zum Beispiel im Umgang innerhalb Familie, Freunde und Verwandte, außerdem hilft sie ihm, die Gesetze und die Ordnung seiner Gesellschaft aufrechtzuerhalten. Sozialisation macht das Individuum psychologisch normal, indem es die Fähigkeit besitzt, seine Pflichten gegenüber der Gesellschaft zu erfüllen und zu tun, was das Individuum wünscht und was es anstrebt (Vgl. Niederbacher 2011: 15).

## 5. Wertesystem

Es wird der Begriff *Wert* definiert, um die Bedeutung des Wortes *Wert* näher zu erkennen. Der *Wert* wird in drei Unterbegriffe geteilt *moralischer Wert*, *persönlicher Wert* und *kultureller Wert*. Der moralische Wert beschäftigt sich mit der moralischen Bedeutung oder dem ethischen Inhalt eines Verhaltens, Zustands oder einer Entscheidung. Moralische Werte gelten für das Individuum als Orientierung seines Verhaltens und seiner Handlung, aber der persönliche Wert bezeichnet die subjektive Bedeutung der Beziehung, Handlung oder des Verhaltens, die zu dem Individuum gehören. Persönliche Werte werden als individuelle und unterschiedliche Werte von einer Person zur anderen berücksichtigt, der kulturelle Wert bezieht sich auf die Vorstellungen, Normen, Prinzipien und Praktiken einer bestimmten Gesellschaft, Kultur oder Gemeinschaft und sie stellen die Handlungen, Verhalten und sozialen Interaktionen des Individuums in seiner Umgebung dar (Vgl. Trebeß 2006: 427- 429)

Werte spielen in unserem Leben eine wichtige Rolle. Sie gestalten die gewünschten Verhaltensweisen in der Gesellschaft und des Individuums. Werte geben uns Orientierungshilfen für den Umgang mit dem eigenen Ich und den anderen. Persönliche Werte beschäftigen sich damit, wie das Individuum sein Leben formiert. Sie gelten als Basis für die soziale Mitarbeit in der Gesellschaft. Laut Tegeler (2017) ist Wertebildung ein langer Vorgang, in dem Menschen, sowohl Wertebewusstsein, Werthaltung und Wertekompetenz als auch wertorientiertes Verhalten ausbauen. Die Grundlagen dieser Werte stecken in Kindheit und Jugend. Man kann sagen, dass Werte die Identität einer einzelnen Person gestalten und Orientierung für eigne Verhalten, den Lebensstil, und die Umwelt miteinander geben (Vgl. ebd.). Das Wertebewusstsein betrifft die Leistung, die eigenen Werte zu reflektieren und die Werte anderer Menschen zu orientieren. Persönliche Werthaltung schildert die Bedeutsamkeit eines Wertes für eine einzelne Person und wirkt, wie sie das Leben orientiert und prägt. Die geteilten Grundwerte in der Gesellschaft bilden die Grundlage für den sozialen Zusammenhalt und gesellschaftliche Zusammenarbeit. Wertekompetenz ist die Fähigkeit mit verschiedenen und konkurrierenden Werten aufbauend umzugehen, in dem das eigene Wertesystem entwickelt (Vgl. Tegeler 2017: 8). Ein Wertesystem steht für Leitung des Menschen. Man verwendet das Wertesystem, um Entscheidungen zu treffen, zuzustimmen und abzulehnen. Es

besteht aus Idealen, Grundregeln und Überzeugungen, die zu richtigen Sichtweisen und Handlungen führen. Wertesystem spielt eine Rolle, sie versteckt darin, wie Menschen zu denen in ihrer Umfeld stehen, außerdem anderer Kulturen, Religionen und Meinungen. Ein Wertesystem hilft Menschen sein Ziel und Zugehörigkeitsgefühl zu finden. Es prägt das ethische moralische Standbein für jede Gesellschaft und schafft eine Verknüpfung zwischen Vergangenheit und Gegenwart.

Vor diesem Hintergrund ist es wichtig zu erwähnen, dass die altägyptische Gesellschaft von strengen Wertesystemen geprägt war. Einige dieser Grundwerte der altägyptischen Kultur zeigen sich in Werten wie Ehre, Familieneinheit, Loyalität, Gleichheit, Zusammenarbeit und Religiösität. Diese Werte sind ein Mittel, um Lehren und Ideale zu vermitteln. Außerdem etablieren sie die Strukturen der Gesellschaft. Dieses altägyptische Wertesystem erkennt man im europäischen Wertesystem wieder. Es gilt als zentrales Element des europäischen Identitätsraums und zeigt die Basen der europäischen Gesellschaft. Das europäische Wertesystem besteht aus einer Reihe von umfassenden Werten wie Demokratie, Solidarität, Menschenwürde, Rechtsstaatlichkeit und Vielfalt. Dies sind gemeinsame Referenzpunkte für alle europäischen Länder, Staaten, Institutionen und Bürger.

### **5.1. Fleiß als zentraler Wert in der altägyptischen Kultur**

Fleiß bedeutet „Arbeit“ (Höffer 1997: 73). Sie nimmt einen wichtigen Platz im menschlichen Leben ein, da sie das Tätigkeits- und Produktionsfeld ist, in dem sich die Fähigkeiten und Kompetenzen des Einzelnen zeigen. Arbeit ist die Hauptquelle, aus der der Einzelne seinen Bedarf an Ausgaben für seinen Lebensunterhalt bezieht. Arbeit ist auch das Feld, in dem sich der Einzelne mit anderen trifft. Die Grundlage für den Erfolg bei der Arbeit ist, dass man sie mit voller Aufrichtigkeit und Sorgfalt ausführt und Zusammenarbeit und Solidarität unter den Mitgliedern eines Teams wesentlich sind, um den Höhepunkt des Erfolgs und der Entwicklung zu erreichen, insbesondere in der Teamarbeit. Ehrlichkeit in der Arbeit trägt zum Fortschritt von Nationen und Einzelpersonen bei. Wer, der irgendeine Arbeit verrichtet, egal wie klein oder groß, der sollte daran interessiert sein, sie zu meistern und nicht von der Anstrengung übrig zu lassen (Vgl. Höffer 1997: 73).

Naumann stellt anhand einiger Symbole der altägyptischen Zivilisation die Wichtigkeit des Wertes von Fleiß in der Gesellschaft vor. Die Schriftstellerin stellt diese Beispiele jedoch in den Kontext der Beherrschung der Arbeit und des Fleißes dar, was zu einem fast vollständigen Bild führt, aus dem das Kind echte Werte lernen kann. Im Folgenden werden einige Beispiele aus ihren Werken vorgestellt:

### **5.2. Der Pyramidenbau zur Vermittlung vom Wert Fleiß**

Die Pyramiden sind eines der wichtigsten sieben Weltwunder. Sie wurden als Grabstätte für Könige und Königinnen erreicht. Obwohl tausende von Jahren seit ihrem Bau vergangen sind, sind die Pyramiden bis heute die stärksten Symbole der altägyptischen Zivilisation. Im Werk *Verschollen in der Pyramide* erwähnt die Autorin den Bau der Cheops-Pyramide und durch dieses einzigartige ägyptische Symbol vermittelt sie den Wert von Fleiß bei der Arbeit und die Wichtigkeit der Arbeit für den Einzelnen und die Gesellschaft. Im Folgenden wird dieser Wert angezeigt:

Die **Pyramide** wird als Symbol der Vollkommenheit, Vornehmheit und Standhaftigkeit erkannt. Maßgebend für die Symbolbildung sind die monumentale Größe der Pyramide, ihre zur Spitze hin sich verjüngende Form und der Fakt ist, dass die Pyramide von oben von der Sonne beschienen wird und keinen Schatten wirft. Die Symbolik der Pyramide lässt sich nicht von der des Obelisken trennen, weil die Ägypter lange Zeit nicht zwischen diesen beiden Strukturen unterscheiden (Vgl. Butzer/ Jacob 2012: 330)

**„die Grabstätte des Pharaos“ (Naumann 2005: 9)** Die Pyramide als Grabstätte für den Pharaos muss in ihrer Konstruktion großartig und vergleichbar sein. Dies erfordert eine mit Fleiß durchgeführte Arbeitsleistung. **„Es sieht aus, als ob sie gegen die Sonne stößt“ (ebda.).**

Ein Mensch, der seine Arbeit liebt, kann etwas so Wunderbares bauen, dass es die anderen fasziniert. **„genossen sie die Überfahrt und konnten den Blick nicht von der Pyramide wenden, die hoch in den Himmel hinaufragt“ (ebda.).**

Um ein historisches Wahrzeichen von solcher Größe und Luxus zu bauen, sind kompetente und qualifizierte Bauarbeiter erforderlich, daher hebt die Autorin den hochqualifizierten Arbeiter hervor, auf den man sich beim Bau eines solchen

Gebäudes verlassen kann. **„Heute Morgen hat uns jemand aus der Wäscherei erzählt, dass der vermisste zu den besonders guten und zuverlässigen Handwerkern gehört, die in der Pyramide arbeiten dürfen“ (ebda.: 15).**

Ameisen sind eine der besten sozialen Gemeinschaften in Bezug auf Organisation, Kommunikation, Ausdauer, Ernsthaftigkeit und Planung. Die Welt der Ameisen ist eine ideale Welt, die Ordnung, Kooperation und Konstruktion repräsentiert, sie ist der menschlichen Welt in Organisation und Konstruktion sehr ähnlich. Dies veranlasst die Autorin, den Bau der Pyramide mit einer Ameisenkolonie zu vergleichen, denn Ameisen sind sehr aktive Wesen, die nicht müde werden. Davon kann man den Wert harter Arbeit lernen. **„Die gesamte Pyramide hatte zuvor wie ein riesiger Ameisenhaufen ausgesehen, auf dem es allerdings sehr geordnet zugeht. Jetzt begann der Ameisenhaufen erst weit unterhalb der Mitte, da die Verkleidungsblöcke bis dorthin bereits glatt poliert waren. Auch die Rampen waren bis zu dieser Stelle von oben nach unten abgebaut worden. Auf den verbliebenen Rampen und den neu aufgebauten Gerüsten waren nur noch die Arbeiter tätig, die die bereits eingefügten Verkleidungsblöcke zuschnitten und mit Sand und Schmirgelsteinen polierten“ (ebda.: 17)**

Gruppenarbeit ist ein Weg, um Ziele zu erreichen und die Arbeit zu leisten. Eine Hand allein erreicht große Ziele nicht, die Zusammenhalt und Anstrengungen erfordern. Das basiert auf dem Austausch von Rollen. Dies ist der Kern der Gruppenarbeit. Ferner diszipliniert die Gruppenarbeit den Menschen und lehrt ihn edle Werte. Wenn sich ein Mensch mit anderen zusammenschließt, um ein bestimmtes Ziel zu erreichen oder eine erforderliche Arbeit zu leisten, ist er bestrebt, eine gute Beziehung zu anderen aufzubauen. Darüber hinaus verkürzt die Gruppenarbeit Entfernungen, spart Zeit und Mühe und ist auch die Stärke der Gesellschaften und Staaten. Ein Staat, dessen Mitglieder kooperativ sind, hat ein gutes Ansehen unter den Nationen. **„Die Schlitten kamen ins Stocken und der gesamte Betrieb wurde aufgehalten, bis Männer mit Wasserkrügen herbeieilten. Sie schütteten mehr Wasser auf die spiralförmig um die Pyramide herumlaufenden Rampen, damit die Schlittenkufen besser glitten“ (ebda.: 18).**

Die Autorin hat den Wert „Gruppenarbeit“ nicht aus den Augen verloren. Durch die vorherige Situation ist die Aufgabenverteilung unter den Arbeitern beim Bau der

großen Pyramide klar und dies unterstreicht die Wichtigkeit des Wissens darüber unter den Kindern.

Als Bau mit dieser Größenordnung muss eine große Anzahl von Räumen und Gängen enthalten, die einem König entsprechen. Die alten Ägypter waren der Überzeugung, dass nur der König die Geheimnisse der Pyramide kennt. Dies hebt die Autorin in der folgenden Situation hervor: **„aber wer weiß, ob sie alle Gänge und Kammern kennen. Nicht einmal wir kennen uns überall aus, obwohl wir jeden Tag dort arbeiten. Die Pyramiden ist ein heiliger Ort, sie ist das Ewige Haus für unseren Pharaon. Er allein wird wissen, wie viele Gänge und Kammern es dort gibt“** (ebda.: 24)

Was die Autorin damit sagen will, ist folgendes: Wer seine Arbeit liebt, meistert sie jederzeit, um die gewünschten Ziele zu erreichen. **„Wir arbeiten von früh bis spät“** (ebda.: 25)

Harte Arbeit hat sicherlich einen Einfluss. Ein Bau mit dieser Größe und dem Einfallsreichtum hat einen Einfluss auf die Kinder und ihre Vorstellungskraft. Damit die Protagonistin die Gedanken ihres kleinen Bruders beschäftigt, beginnt sie ihm zu erklären, was sie von Bauarbeitern und riesigen Steinen, die beim Bau der Pyramide verwendet wurden, sieht: **„Um ihn aufzumuntern, erzählte sie ihrem Bruder von den Arbeitern an der Pyramide, von den riesigen Kalksteinblöcken, die mehr als zehn Tonnen wogen, der Grabkammer und den vielen verborgenen Gängen“** (ebda.: 32). Das hat die Schriftstellerin hier gelobt, um Kindern den Wert des Fleißes zu vermitteln.

Wie die Vorgänger sagten **„Ohne Fleiß kein Preis“**. Diejenigen, die hart arbeiten, gewinnen am Ende. Sie ernten, was sie verdienen müssen, als Gegenleistung für die Mühe, die sie erlitten haben, um die gewünschten Ziele der Arbeit zu erreichen: **„Endlich hatte sie einen guten Blick auf den Ausgang der Pyramide. Zuerst kamen die Baumeister, das entnahm Setha aus den Begrüßungsrufen einiger Menschen, die in der Nähe standen. Dann folgten die Handwerker, Steinmetze und Arbeiter, die sich – wie ihr Vater- durch besondere Geschicklichkeit hervorgetan hatten und deshalb in der Pyramide arbeiten durften. Jeder trug als Erkennungszeichen seiner Tätigkeit ein Arbeitsgerät in der Hand. Da wurden**

**unter den freudigen Zurufen der Zuschauer Dechseln, verschiedenste Meißel, Hobelgeräte, Äxte, Sägen, Winkel und poliersteine geschwungen“ (ebda.: 42f).** Hier erklärt die Autorin, wer hart am Bau der Pyramide gearbeitet hat, hat vom König vor allen Menschen eine Belohnung und Ehre erhalten. Dies zeigt, wie wichtig die harte Arbeit ist und dass die Kinder die Wichtigkeit harter Arbeit die daraus resultierenden Erfolg oder schwerwiegenden Konsequenzen im Falle von Faulheit in einer keinen Phase erkennen sollten.

Dieser Fleiß hat auch die Auswirkung, dass die Arbeiter im Roman sich sehr vieles mit dem Bau der Pyramiden beschäftigen, dass sie eben auch Wissen erworben haben, wie es in der Pyramide aussieht. Im Folgenden wird das näher erklärt:

Die Geheimnisse der Arbeit sind immer für diejenigen, die hart gearbeitet haben, denn Mühe und harte Arbeit machen Menschen Experten für das, was auf sie gerichtet ist: **„Wir haben in der Sargkammer gearbeitet und kennen uns gut in der Pyramide aus“ (ebda.: 48).** Hier stellt sich heraus, dass die Bauarbeiter so hart gearbeitet haben, dass sie alles wissen, was sich in der Pyramide befindet. Dies zeigt Geschick bei der Arbeit, da die Pyramide ein riesiges Gebäude ist. Über das Innere der Pyramide zu wissen, zeugt für Aufrichtigkeit und harte Arbeit bei der Konstruktion.

Wie bereits erwähnt wird, ist derjenige, der die Geheimnisse der Arbeit kennt, auch derjenige, der hart daran gearbeitet hat. Hier wird deutlich, dass die beiden Protagonisten die Wände der Pyramide getappt werden, deshalb müssen sie die Wände in der Pyramide markieren, um sich nicht in der Pyramide zu verirren: **„Wir werden unseren Weg markieren und natürlich viele Fackeln mitnehmen. So viele, wie wir tragen können“ (ebda.: 54)**

Mit harter Arbeit kann man ein Meisterwerk schaffen, dass die Pyramide mit ihrer Ungeheuerlichkeit und ihrer Größe den Himmel sogar den Mond erreicht: **„Der Mond saß auf der Spitze des königlichen Grabmals, als stünde er mit ihm in geheimnisvollem Bund“ (ebda.: 58).**

Dies weist auf die Schutzelemente der Pyramide hin, die fehlende Beleuchtung der Pyramide von innen bedeutet, sie vor Eindringlingen zu schützen: **„Es ist so furchtbar dunkel hier und die Luft ist unerträglich“ (ebda.: 71).**

Der fleißige Vater erzählt seiner kleinen Tochter, was sich in der Pyramide befindet: **„Das muss der Aufgang zur Sargkammer des Pharaos sein“, Sagte Setha "Mein Vater hat mir oft davon erzählt“ (ebda.).** Die Erklärungen des Vaters, sollen in Erinnerung seiner Tochter bleiben. Das hilft später der Tochter, um ihren verschollenen Vater zu retten.

Wie bereits über die Methoden zum Schutz der Pyramide erwähnt, erscheint hier eine neue Methode, um sie von innen zu schützen: **„Bevor sie nach oben gingen, malte Setha einen Strich an beide Wände. Nach etwa 50 Schritten veränderte sich der Gang, er wurde sehr schmal und hoch. Meketre leuchtete nach oben, konnte aber die Decke nicht genau erkennen, das Licht war zu schwach“ (ebda.: 74).**

Da die alten Ägypter an die Idee der Unterwelt glauben, betont die Autorin hier, dass die Bauarbeiter etwas gebaut haben, das in seiner Meisterschaft mit der Unterwelt vergleichbar ist: **„Schließlich war dies ein Ort der Unterwelt“ (ebda.: 75).**

Die Geheimnisse des Pyramidenbaus beschränken sich nicht nur auf die äußere Form, dieser Satz erklärt die Geheimnisse des Pyramidenbaus von innen und die Pyramide enthält geheime Räume von innen: **„Als Meketre fest auf die Markierung drückte, gab die Wand nach. Unter kräftigem Schieben öffnete sie sich ein Stück“ (ebda.: 79).** Der vorherige Satz zeigt auch die Geschicklichkeit und den Einsatz besonderer und ausgeklügelter Strategien beim Bauen.

Die Autorin erzählt von zahlreichen Geheimnissen über die geheimen Räume und Gänge, um der Fleiß beim Bau der Pyramide zu betonen: **„Unten angekommen fanden sie sich in einem kleinen, leeren Raum. Eine niedrige Türöffnung führte in einen schmalen Gang. Sie mussten gebeugt gehen, weil die Decke sehr niedrig war“, „Der Gang endete an einer Wand. Kurz davor lag auf der rechten Seite eine weitere, sehr kleine Kammer“ (Naumann 2005: 89).**

Im folgenden Beispiel weist das Wort **„Genehmigung“** an sich auf Wichtigkeit eines solchen Gebäudes hin und darauf, dass jeder, der eine Genehmigung zum Betreten der Pyramide besitzt, als einer der kompetenten Personen gilt: **„Vielleicht kennt Anukis einen Baumeister oder Handwerker im Pyramidendorf mit Genehmigung für das Ewige Haus“ (ebda.: 91).** Damit erklärt die Autorin, dass nicht jeder die Pyramide betreten kann, wenn er keine Genehmigung dafür hat.



Wie hier erwähnt, der Verlustzustand, den die Protagonisten des Werkes aufgrund der Techniken zum Schutz der Pyramide von innen erlitten haben: **„Der Gang erscheint mir steiler als zuvor“ (Naumann 2005: 92)** und das betont die Autorin weiterhin: **„Und er ist auch schmaler! Ob das überhaupt der richtige Gang ist“ (ebda.: 92)**, wie ein Labyrinth gehen die Gänge auseinander und Markierungen ist es unmöglich herauszukommen: **„Mir ist aber auf dem Weg in die unvollendete Kammer keine weitere Abzweigung aufgefallen. Wir müssen sorgfältig die Wände ableuchten, ob wir eine Kreidemarkierung entdeckten“ (ebda.)**

Für alles hat einen Anfang und ein Ende und das Ende des Baus der Pyramide ist die Abgabe an den König und der Austritt der Arbeiter aus der Pyramide und ein Beweis für das System der alten Ägypter, dass die Autorin hier erwähnt, dass ein Ausgangstor für die Arbeiter, die hart beim Bau der Pyramide gearbeitet haben, gebaut wurde **„Das ist der Gang für die Arbeiter, die nach der Versiegelung der Sargkammer der Königs die Pyramide auf diesem Weg verlassen müssen.“ (ebda.: 95)**

Als eines der Weltwunder und eines der Mysterien der Neuzeit schwankt die Schriftstellerin zwischen klarem und nüchternem Stil, um den Fleiß der Arbeiter beim Bau der Pyramide immer wieder zu beschreiben. Für Kinder und Jugendliche stellt die Pyramide ein fruchtbares Material für die Vorstellungskraft dar, ihre Konstruktion bleibt ein Rätsel, aber die Autorin versucht, die Baumaschinen der Pyramide in einfachen und klaren Wörtern zu beschreiben und durch einfache Situationen zu erstellen, damit sie einen Imaginationsprozesses bei Kindern erzeugt. Auf der anderen Seite verkörpert die Schriftstellerin einen der wichtigsten Werte **Fleiß und harte Arbeit**. Durch einige einfache Situationen hat die Autorin diesen wichtigen Wert, der für den Einzelnen und die Gesellschaft sehr wichtig ist, gezeigt. Von hier aus kann das Kind seine Vorstellungskraft entwickeln und einen wichtigen Wert lernen.

### **5.3. Die altägyptische Medizin zur Vermittlung vom Wert Fleiß**

Die altägyptische Zivilisation war nicht nur eine Zivilisation des Baues von Pyramiden und Gräbern, sondern die alten Ägypter praktizieren auch auf vielen anderen Gebieten, von denen die Medizin war. Darin haben sie in jeder ihrer Fachrichtungen einen Abdruck hinterlassen. Die altägyptische Medizin gilt für die Welt als eine der ältesten medizinischen Wissenschaften unter den alten

Zivilisationen. Die Schriftstellerin hat ein so wichtiges Element in ihren Werken nicht übersehen, da sie die Wichtigkeit der Medizin weiß. Rosa Naumann webt den Fleiß der alten Ägyptern in Medizin zwischen den Zeilen ihrer Werke, wie im Folgenden ausgeführt wird.

Obwohl die altägyptische Zivilisation eine der Zivilisationen der frühen Zeit ist, jedoch hat die Autorin auf die damalige große Entwicklung in der Medizin hingewiesen. Sie nimmt Bezug auf die medizinischen Salben, Pulver und Heilmittel, die die alten Ägypter verwenden, um die verschiedenen Schmerzen zu lindern und zu heilen, sowie die Rolle der Ärzte und Heiler/innen.

Der Fleiß und die Entwicklung in der Wissenschaft der Medizin wird hier abgebildet, da die einfachen Leute verschiedene medizinische Heilkräuter tragen, die verschiedene Schmerzen behandeln **„Ich habe wirksam Heilkräuter gegen Schmerzen dabei, die lasse ich hier“ (Naumann 2005: 13)**. Das Wort **Heilkräuter** weist hier auf den Fleiß und die Klugheit der alten Ägypter hin, dass das Volk medizinische Informationen über die Heilkräuter und ihre Wirkungen auf Schmerzen kennen.

Durch harte Arbeit hat der altägyptische Arzt zur Erfahrung von Medikamenten und Kräutern, die für alle Krankheiten geeignet sind, erreicht **„und gab ihm von dem neuen Pulver“ (ebda.: 32)** Hier kommt eine neue Form von Medikamenten, nämlich der Pulver, er wird im Werk als ein Mittel gegen Bauchschmerzen verwendet. Dies zeigt die Varietät der Formen der benutzten Medikamente und den Fleiß des ägyptischen Arztes. Trotz der frühen Zeit und der Primitivität von Materialien haben die altägyptischen Ärzte Medikamente als Pulver erfunden.

Der altägyptische Arzt hat in der früheren Zeit einen hohen Stellenwert genossen. Er wird mit Ehrfurcht und Respekt betrachtet. **„Ich habe Nebet zu der Heilerin im Nachbardorf geschickt, die weiß sicher Rat“ (ebda.: 63)**

Die Autorin verdeutlicht hier den Fortschritt und Fleiß der alten Ägypter bei der sorgfältigen Untersuchung des menschlichen Körpers **„Die Heilerin begann das Kind mit sicheren Griffen zu untersuchen. Sie fühlte Stirn und Puls, unter den Ohren, Achseln und in der Leistenengegend, tastete den Bauch ab und schaute mit einem schmalen Holzspatel in seinen Hals“ (ebda.: 64)**

Nach der sorgfältigen Untersuchung kommt die Diagnose **„Ich glaube, er hat Gift im Körper“ (ebda.)** Aufgrund der damaligen Entwicklung der Medizin konnte die Heilerin entdecken woran der Kleine leidet, nämlich ist Gift.

Der Fleiß der Ärztin wird hier gezeigt, indem sie die Familie des kleinen Kindes genaue Anweisungen gibt, um das Gift aus dem Körper des Kleinen zu entfernen. Das Werkzeug *„Schnabelgefäß“* zeigt die Sorge der Ärztin um das Kind, denn sie möchte dem Kind das Trinken erleichtern **„Dagegen hilft nur eins: viel trinken und erbrechen, das Gift muss raus. Es ist gut, dass er bis jetzt schon so viel herausgebrochen hat. Die Wärme wird aus seinem Körper weichen, wenn ihr regelmäßig kühle feuchte Tücher um die Arme und Beine des kleinen wickelt. Achtet unbedingt darauf, dass Hatu trinkt. Nimmt er in den nächsten Stunden kein Wasser zu sich, wird er sterben. Ihr müsst ohne Unterbrechungen an seiner Seite sein und jede Gelegenheit nutzen, ihm Wasser zu geben. Ich habe ein Schnabelgefäß dabei, das wird Hatu das Trinken erleichtern“ (ebda.)**. Diese Situation verdeutlicht die wichtige Rolle des Arztes in der Gesellschaft und das kommt vor, wenn die Heilerin der Familie die Anweisungen gibt.

Hier wird klar, wie gut die Laien über die Basen der Medizinwissenschaft und die erste Hilfe kennen und wie sich um die anderen kümmern und helfen, aber am Ende kehren sie immer zu den Experten zurück **„Entschuldigt, Hoheheit, es muss sein, murmelte Mentu. Falls es eine Giftschlange war, fügte er hinzu. Er blickte den Prinz besorgt an. Wir müssen zum Palast, um die Wunde verbinden zu lassen, damit kein Schmutz hineingerät“ (Naumann 2011: 11).**

Es ist hier deutlich, dass der Arzt durch den Korb voller verschiedener Arten von Salben vorbereitet ist. Dies zeigt die Professionalität des Arztes und er ist auf jeden Notfall bereit. Diese Situation veranschaulicht auch den Fleiß des altägyptischen Arztes bei der Herstellung verschiedener Salben und Tinkturen für jede Verletzung **„Einer der Wächter war bereits vorausgeeilt, um den Arzt zu informieren. Er kam ihnen mit einem Korb voller Heilsalben und Tinkturen aus der Empfangshalle entgegen“ (ebda.)**.

Hier wird deutlich, wie der Arzt daran interessiert ist, mit den Schmerzen umzugehen, nicht nur dies, sondern auch den psychischen Zustand des Patienten zu erhalten

**„Während er die Bisswunde mit einer Heilsalbe betupfte und sorgfältig mit einer weißen Leinenbinde umwickelte, fragte er den Prinzen, wie die Schlange ausgesehen hatte“ (ebda.: 12).**

Ärzte haben eine hohe Stelle in der altägyptischen Gesellschaft, die nicht übersehen werden kann und dies hat die Schriftstellerin hier gezeigt, dass der Arzt eine Bote hat, um den kranken König zu untersuchen und ihn bei seiner schweren Krankheit zu begleiten **„Während sie eine Säulenhalle und mehrere prächtig ausgestattete Räume durchquerten, erläuterte der Arzt, dass er einen Boten in den Palast des schwer kranken Pharaos Echnaton geschickt habe, wo ihm seine Gemahlin Nofretete gerade einen Besuch abstattete“ (ebda.).**

Es wird hier gezeigt, dass niemand das Schlafmittel entdecken konnte, außer den Ärzten. **„Wie soll man da herausfinden, ob ein Schlafmittel oder so etwas darinnen war? Und wenn, könnte es nicht geruchlos gewesen sein? Soweit ich weiß, sind manche Mittel tatsächlich geruchlos, antwortete Kaaper. Aber wenn sich eingetrocknete Reste von einem Schlafmittel wie Mohn an dem Becher befinden, können bestimmte Leute das feststellen. Ich werde den Becher einem Arzt zur Untersuchung vorlegen“ (ebda.: 19)** Dies zeigt die Professionalität der Ärzte dieser Zeitalter und sie waren in der Lage, ein Schlafmittel zu erfinden, das sonst niemand entdecken kann.

## **6. Fazit**

Im Roman nimmt die Autorin Bezug auf die medizinischen Salben, Pulver und Heilmittel, die die alten Ägypter verwenden, um Schmerzen zu behandeln, sowie die Rolle der Ärzte und Heiler/innen. Es wird betrachtet, dass die altägyptische Zivilisation und ihren Fortschritt in medizinischen Wissensbereich, wodurch sie in der Lage waren, Heilmittel gegen verbreitete Krankheiten in den Gesellschaften zu entwickeln. Hierbei wird die Relevanz von Ärzten in den Gesellschaften hervorgehoben wie auch ihre Kompetenz mit Behandlungsmitteln umzugehen, oder auch unterschiedliche Arten von Medizin und medizinischen Werkzeugen zu erstellen. Durch diese Ideen versucht die Autorin die Ideen von Fleiß, Fortschritt und harter Arbeit Kinder und Jugendliche zu vermitteln und ihre Bedeutung hervorzuheben: Ärzte bilden ein Symbol für Fleiß und Erfolg.

Daraus kann die Schlussfolgerung gezogen werden, dass Fleiß und harte Arbeit wichtige Tugenden sind, die zur persönlichen Entwicklung und zum Erfolg führen und zum allgemeinen Wohlbefinden beitragen. Durch Geduld, Beharrlichkeit und Entschlossenheit können Menschen ihre Ziele erreichen, ihre Geschicklichkeiten verbessern und die Hindernisse bewältigen. Zusammenfassend lässt sich sagen, dass die Bedeutung des Fleißes in vielen Kulturen und Gesellschaften geschätzt wird, weil Fleiß nicht nur individuellen Erfolg realisiert, sondern auch zur Verbesserung und Entwicklung der Gesellschaft führt. Letztendlich ist Fleiß ein fundamentaler Wert, der dazu beiträgt, ein menschenwürdiges und sinnvolles Leben zu haben.

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## 伍麦叶王朝哈里发世袭制的形成及其特征

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**Abstract:** With the emergence of the hereditary system of the caliphate in the Umayyad dynasty, the succession to the position of Arab caliphate transitioned from the consultative election system during the period of the four caliphs to the inheritance system based on blood relationship. The formation of the hereditary system of the Umayyad Dynasty went through the period of the Abu Sufyan family and the Marwan family. The general process was from Muawiyah created a new model of hereditary succession by supporting Yazid as the crown prince, to Abdul Malik's succession and the position of the Umayyad Caliph was successively inherited within the Marwan family, which made it more stable. Its formation was a new historical process, which requires a profound struggle with traditional political forces and was implemented in the form of war. It was also closely related to the consolidation and development of the Arab monarchy. The Umayyad caliphate succession system has significant characteristics, showing the mutual conversion between the consultative election system and the hereditary succession system, the transition from enthroning one crown prince to multiple crown princes, and the contradiction between brothers inheriting the throne from each other and the father passing the throne to his son.

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**Keywords:** Umayyad Dynasty, Early Islam, Four Caliphs

伊斯兰教兴起前的阿拉伯半岛（以下简称为“半岛”）没有统一的单一国家，劫掠和血亲复仇式的征伐成为部落间关系的常态，社会内部日渐分化导致底层民众生活艰难。外有东罗马帝国和波斯帝国围困，它们对半岛的侵蚀使之沦为大国竞逐的战场。依附于这两大帝国的加萨尼王国（*الغساسنة مملكة*）<sup>①</sup>和莱赫米王国（*المناذرة مملكة*）<sup>②</sup>随之建立。伊斯兰教兴起前半岛的政治状况，主要是由半岛境内的宗教和贸易因素使然，同时受制于阿拉伯部落和王国以及其他一些外来因素影响。

公元570年穆罕默德（Muhammad）

<sup>③</sup>出生于麦加古莱氏部落哈希姆家族，据说由于受到安拉的启示，从610年开始他在麦加秘密传教。但当他的传教活动对以多神崇拜为中心的麦加既有宗教格局造成影响，尤其越来越危及麦加权贵和富商利益的时候，遭到古莱氏等社会上层阻挠，被迫于公元622年迁往麦地那。在麦地那使者进行了一系列卓有成效的工作，以穆罕默德为核心的麦地那伊斯兰政权顺势建立，此举进一步满足了广大民众寻求社会变革的愿望。麦地那政权建立预示着阿拉伯人开始崛起，此后新生政权相继被四大哈里发和伍麦叶家族统治，也就是在这两个政权统治期间，阿拉伯哈里发的继承从协商选举制演进到世袭继承制，伍麦叶王朝时期成为哈里发世袭制形成的关键期。

伊斯兰教初期穆罕默德及其圣门弟子是穆斯林社会事务的管理者，重要事情的解决皆依赖于协商。先知个人更是拥有崇高威望，以至于当他逝世后麦地

①

该王国由属于南方阿拉伯人分支的加萨尼部落建立，公元3世纪末离开也门，迁至叙利亚南部的豪兰和巴尔加一带建立国家。从4世纪开始，加萨尼人逐渐改信基督教的分支一性派，成为拜占庭帝国的附庸。

②

该王国由莱赫米人建立，莱赫米人与加萨尼人一样，同为南方阿拉伯人的分支。公元3世纪初离开也门，迁至幼发拉底河西岸，依附于波斯帝国。

③

穆罕默德（Muhammad），伊斯兰教先知，是阿卜杜拉和阿米娜的儿子。约公元570年出生，632年6月逝世。

那政权一度陷入艰难境地，由此产生的“继承人问题”困扰着整个穆斯林社会。鉴于哈里发继承问题在伊斯兰教和穆斯林社会中所表现的重要性，以及所涉及历史上诸多疑难问题，因此笔者从该选题出发去深入研究伊斯兰的哈里发继承制，尤其关注伍麦叶王朝哈里发世袭制的形成。本文引用阿拉伯文材料作为主要参考资料，但也引用了一些重要中文译著和其他相关成果，使该研究能够深入推进。

### 一、前伍麦叶王朝时期四大哈里发的协商选举

先知穆罕默德逝世后，围绕先知权力的继承麦地那穆斯林主要分裂为迁士、辅士和阿里三派，凭借各自优势和自身功劳，他们力争都想担任哈里发。紧急召开的塞吉法会议（اجتماع السقيفة）上，艾布·伯克尔被推选为第一任哈里发。当艾布·伯克尔病重的时候，经过深思熟虑，指定欧麦尔担任第二任哈里发，众人纷纷效忠。欧麦尔被一个波斯仆人暗杀后，他让奥斯曼、阿里、泰勒哈、祖拜尔、阿布都·拉赫曼·本·奥夫和赛耳德六人共同商议决定哈里发继承人事宜，最终奥斯曼当选。到奥斯曼统治末期，哈里发被暴乱分子刺杀，在场群众拥戴阿里为第四任哈里发。

四大哈里发是通过选举的方式而继任的，在大家普遍同意的基础上，通过宣誓效忠确认了继承权。可以说，他们继位获得多数人的认可，协商方式的运用也使得整个过程显得较为民主。但这一继承方式的缺陷是，当时对于遴选哈里发继承人之事没有提前布局，更没有一种特定的继承规则存在，因而这种继承制度是非系统性和非组织性的。艾布·伯克尔当选哈里发是在穆罕默德逝世的紧急关头，在塞吉法会议上被众人推举上任的，显得仓促和突然，在此之中辅士和迁士激烈争锋体现出继承人问题上的巨大矛盾，阿里的缺席和延迟效忠也为穆斯林的团结埋下隐患。欧麦尔的继任是艾布·伯克尔病重时有意安排的结果，即使有圣门弟子对此表示担忧，但他毅然委任了他。哈里发奥斯曼的继任也是欧麦尔遇刺后身体越来越垂危时做出的决定，虽然六人选举小组的出现使此次选举有条不紊，但到最后关头，任由阿布都·拉赫曼一人主导了选举结果。阿里继位是在奥斯曼被刺的紧急关头被迫拥立的，是特殊情况下的临危受命。

四大哈里发的继任是协商选举（或推举）的结果，同阿拉伯部落传统和伊斯兰教精神相一致的协商思想主导了选举进程。从伊斯兰教方面，《古兰经》中提及了“协商”和“服从主事人”思想。真主说：“他们的事物，是由协商而决定

的。”<sup>①</sup>；“你当与他们商议公事。”<sup>②</sup>；“信道的人们啊！你们当服从安拉，应当服从使者和你们中的主事人。”<sup>③</sup>从阿拉伯传统方面，当时的阿拉伯社会存在阿拉伯部落的“长老会议”（المجلس），以及凌驾于部落之上的麦加贵族会议（الملا）。这些机构中一般都会坚持协商原则，重要的事务由其成员集体商议决定，这些都可看作是带有朴素民主性质的咨议性机构。

## 二、穆阿威叶当政及其立储制度的出现

四大哈里发之后，穆阿威叶建立伍麦叶王朝。穆阿威叶出身伍麦叶家族，系艾卜·苏飞扬之子。伊斯兰教兴起后，穆罕默德的传教引起以艾卜·苏飞扬为首的伍麦叶家族的公开反对与迫害，先知光复麦加后全体被迫加入伊斯兰教。欧麦尔时期穆阿威叶开始担任叙利亚总督，到奥斯曼时期权高位重。经过处心积虑地多年经营，穆阿威叶在沙姆地区建立起根基牢固的统治基业，其后奥斯曼被刺杀及其阿里统治以来，打着为奥斯曼复仇的旗号，公开与阿里政权相抗衡。661年阿里逝世后，穆阿威叶迫使让哈桑放弃哈里发的权位要求，叙利亚的阿拉伯战士伺机将他拥立为哈里发，以大马士革为中心的伍麦叶王朝随即建立。

穆阿威叶时期政权模式发生新的变化，随之而来的是立储制度的出现。我们不知道穆阿威叶是怎样同意采用世袭制的，在这方面说法不一。他为他儿子耶齐德立储是为了防止穆斯林内部的混乱和他们的分裂，尤其是，他见证了没有立储的奥斯曼·本·阿凡被杀后所发生的事情，他也见证了每当新任哈里发产生之时穆斯林内部所发生的冲突和分歧。对此穆阿威叶说到：“的确我害怕，在我之后是我使穆罕默德的稳麦成为像没有人照看的绵羊一样”。<sup>④</sup>

穆阿威叶致力于寻求确保权力安全转移的新制度，通过为子立储能够维持政治的稳定，另一方面也能保持稳麦的统一，这也是伊本·赫乐敦所认为的。他认为，穆阿威叶效忠他儿子为王储是维护稳麦的统一和联合，现状的好转，如果效忠其他人会引起穆斯林事务的混乱。同样作为最强大的古莱氏部落中的伍

<sup>①</sup> 《古兰经》，马坚译，中国社会科学出版社，1981年，第42章，第38节。

<sup>②</sup> 同上：第3章，第159节。

<sup>③</sup> 同上：第4章，第59节。

<sup>④</sup> 泰伯里：《泰伯里历史——众先知和帝王史》（تاريخ الطبري- تاريخ الرسل）（第五册），埃及麦阿里夫出版社，1971年，第304页。

麦叶人，他们不希望王权离他们而去，值此为了保留他们的王权，他们同意让耶齐德继任。<sup>①</sup>

对于该制度的实施，穆阿威叶并非唯一主事者，他身旁的人在他采取这项决定过程中发挥重要作用。更多的历史学家倾向于是穆基拉·本·舒尔卜——穆阿威叶之前的库发总督——规劝了他，他是建议穆阿威叶在他之后任命耶齐德为哈里发的第一人。

<sup>②</sup>关于穆基拉·本·舒尔卜建议穆阿威叶为耶齐德立储的时间方面存在分歧，大致是在穆基拉担任库发总督期间（662-670年）。<sup>③</sup>

676年穆阿威叶实施了这项决定。

穆阿威叶宣布效忠耶齐德为王储的决定得到沙姆人支持，也获得伊拉克人的效忠，但却遭到麦地那人反对。在麦地那伍麦叶政权反对派势力包括侯赛因·本·阿里、阿卜杜拉·本·祖拜尔、阿布都·拉赫曼·本·艾布·伯克尔、伊本·欧麦尔等圣门弟子的后裔们。他们以先前的惯例为原则，让穆阿威叶在三件事中做选择：第一，像先知穆罕默德那样他没有为任何人立储，也没有让任何人继承他，于是麦地那人选择了艾布·伯克尔；第二，像艾布·伯克尔那样从古莱氏部落中选出继任者；第三，像欧麦尔那样任命多位候选人，然后在他们之中选出一位继任者，但前提是排除自己的儿子和兄弟。

<sup>④</sup>与他们争论无果的情况下，以刀剑相威胁，穆阿威叶用胁迫的方式获得对耶齐德的效忠。从此哈里发权位继承进入世袭制阶段。

### 三、麦尔旺当选哈里发以来世袭制更趋稳固

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（突尼斯）伊本·赫勒敦：《历史绪论》（上卷），李振中译，宁夏人民出版社，2015年，第295页。

<sup>②</sup> 优素福·伊布拉欣·马哈茂德·沙班：《阿拔斯王朝的王储职位继承：伊历132-334年》（ولاية العهد وولاية العبد: هفي العصر العباسي: 334-132），约旦大学硕士学位论文，1995年，第49页。

<sup>③</sup> 巴德尔·本·哈利勒·阿拉维、哈鲁德·丙特·萨利姆·巴哈氏万：（استحداث الخليفة معاوية بن أبي سفيان لنظام ولاية العهد وردود الأفعال التي واجهته），《文学与社会科学杂志》，2014年，第97页。

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（英）威廉·穆尔：《阿拉伯帝国》，周术情、吴彦、李婧、郑丽君译，青海人民出版社，2006年，第232-233页。

耶齐德之后，按照世袭原则，耶齐德之子（即穆阿威叶·本·耶齐德）顺利继位。穆阿威叶二世逝世时，面对后继无人的残局和对哈里发继承人没有做出安排的情况下，穆斯林社会陷入群龙无首的局面。沙姆的阿拉伯人围绕哈里发职位的斗争日趋激烈，盖斯部落损害了依赖也门人的伍麦叶人的统治，聚集在达哈克·本·盖斯的领导下，向阿卜杜拉·本·祖拜尔表示效忠。同时凯尔卜人也在扎比耶集会，其中一伙人倾向于哈立德·本·耶齐德·本·穆阿威叶，另一伙人则倾向于麦尔旺·本·哈克木。由于年龄和年老资格麦尔旺当选哈里发，同时也同意，在麦尔旺之后让哈立德·本·耶齐德和奥麦尔·本·赛耳德·本·阿绥继任哈里发。

麦尔旺·本·哈克木执政以来，他毅然决定废黜哈立德·本·耶齐德及其奥麦尔·本·赛耳德的王储职位，确立了他的两个儿子阿卜杜·马立克和阿卜杜·阿齐兹的哈里发继承人地位。

①他同时为他的两个儿子诉诸立储，那是为了避免像穆阿威叶·本·耶齐德逝世后权力真空及其斗争的出现，同时更为重要的是，他想把哈里发职位传于自己儿子世袭想法的考虑。685年5月，麦尔旺·本·哈克木突然离世，

②他儿子阿卜杜·马立克正式效忠为哈里发，哈里发世袭制就此固定下来。③

阿卜杜·马立克统治以来，他决定在他之后同时拥立自己的俩儿子瓦利德和苏莱曼为哈里发继承人，由此阻止了哈里发职位在他兄弟家庭中的传承。阿卜杜·马立克逝世后，瓦立德顺利继位。继瓦立德和苏莱曼之后，阿卜杜·马立克的另外俩儿子耶齐德二世和希沙姆先后继任哈里发。

当伍麦叶人的哈里发职位因穆阿威叶二世的逝世而寿终正寝的时候，麦尔旺·本·哈克木当选哈里发维护了伍麦叶王朝的统一。在此之后，通过父传子的世袭模式使麦尔旺人把哈里发职位保留在了麦尔旺·本·哈克木的儿子阿卜杜·马立克·本·麦尔旺，及其阿卜杜·马立克·本·麦尔旺他儿子和孙子辈之中。阿卜杜·马立克之后由于他的四个儿子（即瓦立德、苏莱曼、耶齐德和希沙姆）先后继任哈里发，因此他便获得“列王之王”的称号。

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① 泰伯里：《泰伯里历史—众先知和帝王史》（تاريخ الطبري- تاريخ الرسل）（第五册），埃及麦阿里夫出版社，1971年，第610页。

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一些资料提及麦尔旺·本·哈克木之死是由哈立德·本·耶齐德的母亲造成的，是她想要为废黜了王储职位的她儿子进行报仇所导致的。另说，麦尔旺·本·哈克木死于瘟疫。参见北京大陆桥文化传媒编译：《当世界提起阿拉伯》，世界知识出版社，2005年，第65页。

③ 纳忠：《阿拉伯通史》（上卷），商务印书馆，1997年，第254页。

#### 四、伍麦叶王朝哈里发继承制的特征

伍麦叶王朝哈里发世袭制的确立与阿拉伯君主制政权的巩固和发展保持同步，同时以战争的方式得到落实，与传统势力进行深刻较量。与之前有所不同，穆阿威叶建立的伍麦叶王朝是一个王权制国家，通过制度建设使哈里发的集权统治得以实现。哈里发个人权力增长之后，以强权为依托，为子立储的计划顺利实施。耶齐德继位后硝烟四起，“卡尔巴拉惨案”<sup>①</sup>是反耶齐德政权中的小插曲，以阿卜杜拉·本·祖拜尔为首的希贾兹传统势力与耶齐德之间的公开较量则是反耶齐德政权的重要力量。麦尔旺·本·哈克木继位后通过传位于子回归世袭制的老路，其子阿卜杜·马立克成功挫败以阿卜杜拉·本·祖拜尔为首的希贾兹势力，以及帝国官方语言阿拉伯化政策的实施和伊斯兰货币的流通使用，使阿拉伯君主制政权得到巩固。在此之后，哈里发可在家族内更轻易地安排继承人事宜，子承父业变得名正言顺。

纵观伍麦叶王朝的哈里发继承，呈现以下特征：

##### （一）协商选举制与世袭继承制轮回转换

伍麦叶王朝是从四大哈里发时期的共和政体向君主政体过渡的阶段，但转型期的政治制度并不稳固，由此使得伍麦叶王朝的哈里发继承呈现出协商选举制与世袭继承制交叉现象。穆阿威叶建立伍麦叶王朝以来，开启哈里发世袭制的先河，但当时的阿拉伯人对世袭继承鲜有耳闻，在巨大的争议声中，穆阿威叶为耶齐德立储的计划得到实施。耶齐德之后，按照世袭制原则穆阿威叶二世继位。穆阿威叶二世年少和多病的弱势条件可能使他能够成功继位的重要条件，这恰恰也是既得利益者维护自身利益与权利的现实需要。

穆阿威叶二世之后穆阿威叶开创的世袭制出现反转。穆阿威叶二世后继无人及其对继承人事宜没有作出应有安排的情况下，王朝内部出现权力斗争局面。哈里发继承问题最终以协商选举的方式得到解决，在部落原则影响下麦尔旺·本·哈克木以年长和老练的优势获胜。麦尔旺·本·哈克木之后，阿卜杜·马立克成功继位。阿卜杜·马立克即位后父死子继的世袭原则确立，他的四个儿子先后继任哈里发，从此世袭制成为哈里发继承的重要模式。

<sup>①</sup>

阿里次子侯赛因在卡尔巴拉（Karbalā，今伊拉克境内）的遇难事件。参见金宜久主编：《伊斯兰教辞典》，上海辞书出版社，1997年，第301页。

综上，艾卜·苏飞扬时期伍麦叶王朝的世袭制是不稳固的，当穆阿威叶二世之后伍麦叶人的哈里发职位出现空缺，于是辗转回归至协商选举模式之中，直到麦尔旺家族统治时期，特别是阿卜杜·马立克统治以来世袭制得到确立。

## （二）从拥立一位王储向多位王储转变

立储制度成为哈里发世袭制的重要内容，是确定下一任哈里发继承人选的主要路径。伍麦叶王朝的立储从艾卜·苏飞扬家族到麦尔旺家族呈现不同面貌。艾卜·苏飞扬家族时期是立储制度的开创阶段，在百般努力下穆阿威叶成功为自己儿子立储，此后正式效忠耶齐德为哈里发。耶齐德·本·穆阿威叶之后穆阿威叶·本·耶齐德继位，这是基于他父亲任命他为王储时，为他所立的盟约为基础的。<sup>①</sup>紧接着，除沙姆和西伽兹以外地区相继完成对他的效忠。

艾卜·苏飞扬家族时期往往拥立一位王储，但到麦尔旺·本·哈克木统治时期开始向拥立两位王储转变。穆阿威叶二世时期因没有拥立王储而出现哈里发继承人断裂之后，按照扎比耶会议决定，麦尔旺·本·哈克木成功当选哈里发，同时同意拥立艾卜·苏飞扬家族的哈立德·本·耶齐德和奥麦尔·本·赛耳德分别为第一、二王储。684年麦尔旺·本·哈克木继任哈里发，继位之初麦尔旺许诺拥立哈立德·本·耶齐德为王储，但到伊历65年（约公元685年）他又重新回归世袭制，宣布拥立他的两个儿子阿卜杜·马立克和阿卜杜·阿齐兹为王储，这是世袭制原则下同时为两人立储。

在此之后，为了保证王位的顺利传承，麦尔旺人往往拥立多位王储。阿卜杜·马立克即位后，<sup>②</sup>分别拥立自己两儿子瓦利德和苏莱曼同为王储。<sup>③</sup>苏莱曼之后，欧麦尔·本·阿卜杜·阿齐兹继任哈里发，但同时拥立耶齐德·本·阿

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<sup>①</sup> 瓦吉·鲁特福·塔利卜·苏甘：《伍麦叶时期的王储职位继承》（ولاية العهد في العصر الأموي），巴勒斯坦纳布鲁斯国立成功大学硕士学位论文，2005年，第60页。

<sup>②</sup>

麦尔旺在世时曾故意排挤和胁迫哈立德，等他逝世后伍麦叶家族曾向年幼的哈立德效忠，但他表示无意从政，遂自行放弃了哈里发继承权。伍麦叶家族随之拥戴阿卜杜·马立克为哈里发，他兄弟阿卜杜·阿齐兹被确认为阿卜杜·马立克的继承人。参见钱学文：《简明阿拉伯伊斯兰史》，宁夏人民出版社，2005年，第121页。

<sup>③</sup>

704年阿卜杜·马立克想立自己儿子瓦立德为王储，要求他兄弟阿卜杜·阿齐兹放弃王位继承权，遭到拒绝，阿卜杜·阿齐兹不久病故，这使得阿卜杜·马立克顺利地将瓦立德立为法定继承人。参见钱学文：《简明阿拉伯伊斯兰史》，128页。



卜杜·马立克为第二王储。耶齐德二世时期，耶齐德效忠希沙姆·本·阿卜杜·马立克和瓦利德·本·耶齐德分别为第一、二王储。瓦立德二世时期，同时效忠他的儿子哈克木和奥斯曼分别为第一、二王储。其中哈克木是女奴所生的儿子，于是在立储方面瓦立德二世超越了其他哈里发的做法。在此之后，耶齐德·本·瓦利德·本·阿卜杜·马立克（即耶齐德三世）杀害瓦立德二世后成功上位，这使得瓦立德二世的儿子们丧失哈里发继承权。耶齐德三世即位后，同时效忠伊布拉辛·本·瓦利德和阿卜杜·阿齐兹·本·哈查只·本·阿卜杜·马立克分别为第一、二王储。阿卜杜·马立克和瓦立德二世效忠的两位王储同为自己的儿子；耶齐德二世效忠的两位王储中只有一人是他自己儿子，另一人是他兄弟；苏莱曼和耶齐德三世效忠的两位王储是他兄弟和他叔叔的儿子。

### （三）兄弟相继与父传子之间矛盾交错

伍麦叶人的哈里发职位主要在艾卜·苏飞扬家族和麦尔旺家族中传承。艾卜·苏飞扬家族的世袭制拥立一位王储，这有利于维护王权的稳定，避免了各继承人之间的权力之争。但它的另一短板是，一旦哈里发后继无人及其没有提前立储的情况下，往往容易引发骚乱和动荡。进入麦尔旺家族统治以来，麦尔旺人吸取艾卜·苏飞扬家族的哈里发继承弊端，同时拥立两位王储，这有利地避免了哈里发继承中后继无人现象的出现。但当每位哈里发上任后，都想把哈里发继承权保留在他儿子们中间，他们都想废黜他兄弟的哈里发继承权而改立自己儿子为王储，于是拥立多位王储的世袭制模式暗含兄弟相继与父传子之间的矛盾纠纷。

麦尔旺·本·哈克木继任哈里发后，违背扎比耶会议决定，同时拥立自己儿子阿卜杜·马立克和阿卜杜·阿齐兹为王储。阿卜杜·马立克即位后，致力于废黜他兄弟阿卜杜·阿齐兹的王储职位，以便拥立自己儿子为王储。阿卜杜·马立克的这一计划得到哈查只·本·优素福等人的支持。为了立储之事阿卜杜·马立克给他兄弟阿卜杜·阿齐兹写信，但遭到阿卜杜·阿齐兹的拒绝，同样他也拒绝为瓦利德·本·阿卜杜·阿齐兹立储。当他向他兄弟要求这件事的时候，阿卜杜·阿齐兹回应到：“如您考虑瓦利德那样，我考虑我儿子艾比·巴克尔·本·阿卜杜·阿齐兹”<sup>①</sup>。在此之后，阿卜杜·阿齐兹先于阿卜杜·马立克逝世，

<sup>①</sup> 泰伯里：《泰伯里历史——众先知和帝王史》（تاريخ الطبري- تاريخ الرسل）（第六册），埃及麦阿里夫出版社，1971年，第414页。



①由此推动了阿卜杜·马立克为子立储目标的实现。紧接着，他便拥立自己的两个儿子瓦利德和苏莱曼为王储。

阿卜杜·马立克有四个儿子先后继任哈里发，于是父传子与兄弟相继之间的矛盾变得更加明显。瓦立德·本·阿卜杜·马立克（瓦立德一世）时期，瓦立德·本·阿卜杜·马立克迫使他兄弟苏莱曼让位失败导致苏莱曼的直接上台。苏莱曼继位后清除他兄弟时期的所有人员，并决定效忠他儿子艾尤卜为接班人。但伊历98年（约公元717年）艾尤卜逝世导致这项任务失败，为此苏莱曼让欧麦尔·本·阿卜杜·阿齐兹继任哈里发，在他之后让耶齐德·本·阿卜杜·马立克继任。鉴于阿卜杜·马立克家族势力的强大和受阿卜杜·马立克儿子们排挤，导致欧麦尔·本·阿卜杜·阿齐兹的逝世（720年逝世）和耶齐德·本·阿卜杜·马立克（耶齐德二世）顺利继位。耶齐德·本·阿卜杜·马立克即位后，迫于他兄弟穆斯林·本·阿卜杜·马立克的压力，只好效忠他的另一兄弟希沙姆·本·阿卜杜·马立克为王储，任命自己儿子瓦利德·本·耶齐德（瓦立德二世）为第二王储。希沙姆·本·阿卜杜·马立克让瓦利德·本·耶齐德让位的失败及其他的逝世（743年逝世），导致瓦利德·本·耶齐德继位。瓦利德·本·耶齐德即位后，同样致力于效忠自己儿子为王储，但瓦利德·本·耶齐德的被杀导致耶齐德·本·瓦利德·本·阿卜杜·马立克（耶齐德三世）上台。

### 结语

伊斯兰教圣人穆罕默德逝世后，艾布·伯克尔继承先知权力成为首任哈里发，在此之后欧麦尔、奥斯曼和阿里依次继任。四大哈里发的继承无先例可循，与阿拉伯部落传统和伊斯兰教精神相一致，体现出非系统性和非组织性的特征。伍麦叶王朝建立以来一种新的继承制应运而生，首任哈里发穆阿威叶以强权为依托，成功为耶齐德立储首创世袭继承新模式，它的出现毕竟在很大程度上有效维护了阿拉伯伊斯兰国家的统一和政治稳定。但艾卜·苏飞扬时期的世袭继承制并不稳固，特别是阿卜杜·马立克统治以来哈里发世袭制得以确立。与此同

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阿卜杜·阿齐兹逝世之时，阿卜杜·马立克正考虑让儿子瓦立德继承王位。有人认为阿卜杜·阿齐兹死于意外，但也有人认为是被毒死的。参见Ramli Omar, *the Umayyad succession to the Caliphate from the first civil war to the end of the Umayyad dynasty*, University of St. Andrews, 1997, pp81.

时，它的形成伴随权力博弈，通过战争的方式而落实，与阿拉伯君主制政权的巩固和发展保持同步。与之前有所不同的是，麦尔旺家族统治后哈里发的继承从艾卜·苏飞扬时期拥立一位王储向同时拥立多位王储过渡，于是哈里发的继承呈现出兄弟相继与父传子之间相互交错的情形。多位王储的拥立可以保证王位的顺利传承，避免了后继无人现象的出现，但当各继承人一旦争权夺利，就很容易造成动荡不安局面的出现。

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简析中国网络小说——玄幻小说

A Brief Analysis of Chinese Cyber Novels – Fantasy Novels

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**Abstract:** Along the 21st century, the fantasy elements in literature and art have been increasing, especially with the rapid rise of cyber literature. The imagination is no longer restricted by the logic of reality, but in the form of fantasy, it has expanded an extremely free imaginative space. Chinese cyber fantasy novels are the products of the new era of cyber literature. It can also be said that fantasy novels only became popular because of the influence of the characteristics of the times, the prominence of social problems, and the marginalization of traditional literature. It has developed rapidly in the past ten years, and fantasy novels have a profound impact on the formation of the values, outlook on life, and world view of the younger generation. In this article, the author will discuss the definition of fantasy novels, the origin of fantasy novels, the development overview of fantasy novels, and the characteristics of fantasy novels.

**Key Words:** Chinese Cyber Novels; Martial Arts Novels; Entertainment; Myth; Hero

**摘要:**

21世纪以来，文学艺术中的幻想因素，几乎是与日俱增，尤其是网络文学的迅猛兴盛，想象力几乎不再受现实逻辑制约，而是以玄幻的形式，拓展出无比自由的想象空间。中国网络玄幻小说（以下玄幻小说）是新时代网络文学的产物，又不妨说只因为时代特征的影响，社会问题的凸显，传统文学的边缘化，玄幻小说才盛行。近十几年发展快速，玄幻小说对年轻一代价值观、人生观、世界观的形成影响极为深刻。本论中笔者将探讨玄幻小说的定义、玄幻小说的探源、玄幻小说发展概况、玄幻小说的特征。

**关键词:**

中国网络玄幻小说；武侠小说；娱乐性；神话；英雄

21世纪以来，文学艺术中的幻想因素，几乎是与日俱增，尤其是网络文学的迅猛兴盛，想象力几乎不再受现实逻辑制约，而是以玄幻的形式，拓展出无比自由的想象空间。中国网络玄幻小说（以下玄幻小说）是新时代网络文学的产物，又不妨说只因为时代特征的影响，社会问题的凸显，传统文学的边缘化，玄幻小说才盛行。近十几年发展快速，玄幻小说对年轻一代价值观、人生观、世界观的形成影响极为深刻。

玄幻小说的趣味除了与其他通俗文学相似的内容外，出乎寻常的臆想和强大的兼容性是它区别于其他通俗文学形式的突出特点；这也形成了玄幻小说在创造自身趣味上的优点。

本论中笔者将探讨玄幻小说的定义、玄幻小说的探源、玄幻小说发展概况、玄幻小说的特征。

### 一、什么是玄幻小说？

“玄幻小说”这个名词作为一种正式的名谓，大约出现在上世纪九十年代的后期。“玄幻”这个词一般都认为来自香港通俗小说家黄易的《月魔》。“玄”字出自老子《道德经》第一章“玄之又玄，众妙之门”，形容道的微妙无形，后多形容非常奥妙，不易理解。许慎《说文》中这样解释：“玄，幽远也”；“‘幻’就是虚幻、不真实，突出其和现实世界的差异。”<sup>①</sup>

人们常常把玄幻中所建构的世界也现实世界完全不同的，在玄幻这个世界没有不可能发生的事情；其中不仅不受自然界规律、社会世界理性法则和日常生活规则的制约，而且恰好是完全颠倒了自然界和社会世界的规范，它被称为架空世界。从诞生至今，对“玄幻小说”学界一直没有给出一个明确的定义，主要的观点有：

“‘玄幻小说’一词，据我所知自出中国香港。我所见到的最早的玄幻小说，是1988年香港“聚贤馆”出版的黄易的《月魔》……赵善琛先生在序言中写道：‘一个集玄学、科学和文学于一身的崭新品种宣告诞生了，这个小说种我们称之为‘玄幻’小说’。这是‘玄幻小说’一词首次亮相，并有了明确的定义”<sup>②</sup>；范伯群、孔庆东在《通俗文学十五讲》中的第十二讲亦科亦幻的科幻小说中也提到了“黄易发明了一种‘玄幻小说’”<sup>③</sup>

<sup>①</sup> 陶东风：《中国文学已经进入装神弄鬼时代？——由“玄幻小说”引发的一点联想》-当代文坛-2006第5期-第8页。

<sup>②</sup> 叶永烈：《奇幻热、玄幻热与科幻文学》-中华读书报-2005-7(27)第14页。

<sup>③</sup> 范伯群、孔庆东：《通俗文学十五讲》-北京大学出版社-2003-第274页。

“玄幻小说是90年代中后期新兴的一种故事类文本，它往往脱胎于或借鉴于武侠小说、科幻小说、神话小说、传奇小说、西方魔幻小说，其间借助于大量缺乏现实的、自然的和传统文化的立足点而自行编造的仙佛魔鬼、巫师超人等内容来讲述超现实空中具有超现实超自然能力和情感的主角们的传奇经历，以随意性很大的曲折离奇的编造情节为推进故事的主要方式的一种纯娱乐故事文本。”<sup>①</sup>

“所谓‘玄幻小说’，又称‘奇幻文学’，它的架构或取自武侠小说，或引入西式魔幻题材，佐之以修仙、道术、鬼怪、魔法、幻想和神话等超自然元素，不受现实的科学逻辑约束，是武侠小说或科幻小说的变种。”<sup>②</sup>

“玄幻小说是一种文学类型，以玄学为基础，以形而上的观念思维为主导，进行超自然力量演绎的一种小说题材。与科幻、奇幻、武侠等幻想性质浓厚的类型小说关系密切”<sup>③</sup>

“凡是区别于现实的，具有某种寓言性质、游戏性质的小说，即为玄幻小说”<sup>④</sup>

“目前各家媒体谈论的‘奇幻文学’是特指最近几年来先在网络上流行、后来被纸媒体认可的一种新文学类型。”<sup>⑤</sup>

“我们最后给玄幻小说开出这样一个关键词的清单：商业目的浓厚、以网络为依托、融合东西方各种奇幻元素、日渐本土化、创作主体想象力的完全发挥、却反科学逻辑。”<sup>⑥</sup>

通过上文的分析我们可以看出上面所列的定义分别注意到了玄幻小说的一些重要特征：网络载体的、幻想性、超现实性、超自然性、不受现实科学逻辑的约束等。目前中国奇幻文学与传统通俗文学、民间文学、严肃文学之间存在着

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<sup>①</sup> 余芳、徐筱虹：《关于玄幻小说的特点和定义》-江西教育学院学报(社会科学)-2006(10)-第102页.

<sup>②</sup> 戴婧婷、荣郁：《玄幻小说：80后的速食读本》-中国新闻周刊-2006(1)-第74页.

<sup>③</sup> 百度百科.玄幻小说[EB/OL].:百度百科,2023-3-2:

<sup>④</sup> 黄孝阳.漫谈中国玄幻[G]//2006中国玄幻小说年选·序.广州：花城出版社，2006.

<sup>⑤</sup> 陶东风：《中国文学已进入装神弄鬼时代？由“玄幻小说”引发的一点联想》-当代文坛-2006(5)-第8页.

<sup>⑥</sup> 张赞：《无意义的意义之躯——对当代玄幻小说 审美无意义的白思》-重庆三峡学院学报-2009(5)-第30页.

裂痕，我们应该正确的，多角度结合去重新定义玄幻小说，这对修复通俗文学、民间文学、严肃文学、以及玄幻类文学研究有积极的影响。

## 二、玄幻小说探源

从某种程度上讲，玄幻小说之前的非现实主义小说包括国内外的神话、奇幻小说、武侠小说都是玄幻小说的源头，它们丰富的想象为玄幻小说提供了创作思维方式和素材资源，文学领域外异媒介的影响也不能忽视。

武侠小说是玄幻小说的前身，甚或广义层面可以将玄幻归入武侠。准确来讲，玄幻小说是属于网络时代的武侠小说，一方面继承武侠小说的发展脉络，一方面接受来自国外以及其它艺术形式的影响融合而成。玄幻小说与武侠小说的发展和文体变化有着非常重要的联系。因此，要理清玄幻小说的发展脉络以及其构成的内在机理，必须先介绍武侠小说的文体演变。

武侠小说的“侠”这一概念，最早见于《韩非子·五蠹篇》“儒以文乱法，侠以武犯禁。”，一直到西汉《史记·游侠列传》“侠”的基本特征才较为精细地勾勒出来——

言必信、行必果、诺必诚，敢于牺牲生命去救助他人，却不自我夸耀。武侠小说的“武”就是武器、招式与对战，“侠”则是形而上的价值追求；武与侠结合，其魅力在于超越，武超越的是人身体的局限，侠超越的是社会秋绪。

中国武侠小说从古至今经历了三大演变，就是古代武侠小说、旧派武侠小说、新派武侠小说。古代武侠小说是指从先秦两汉至清代末年的武侠小说，主要经历了五个阶段，其特点就先从受“志怪小说”的神奇、夸张等浪漫主义创作手法的影响、吸收了一些荒诞、幻化等消极的东西；然后形成一个流派，其创作的主题大都是以歌颂侠客义士见义勇为、打抱不平等侠义行为为主，其艺术技巧以政事、爱情为主要线索，其人物塑造运用了浪漫主义的表现手法；再写出唐朝人和事；以通俗市语为主，内容具有强烈的市民意识；最后出现了一批长篇通俗的武侠小说，而短篇武侠小说提出了“情侠类”小说的名称，同时出现了以“剑侠”命名小说专著。

武侠小说所谓“旧派”和“新派”，此说最早应是梁羽生在1956年10月5日的《新晚报》上发表的《谈新派武侠小说》中提出了“思想性”与“艺术性”的特点，且提到当时出版界已有“新派、旧派”之说，并扼要说明了“新派武侠”与“旧派武侠”之别。

所谓旧派武侠小说大致从清代末年开始，随着政治局势急速变化，一部分知识分子开始利用被赞扬的武侠小说揭露清王朝的腐败，后来经过一段时间舆论



的酝酿，正式揭开了武侠小说新的繁荣序幕。它与古代武侠小说不同于：一、描写侠客义士个人的恩怨行为及奇特的遭遇；二、描写武林各派之间的争斗或因争强好胜而侠士之间展开的打斗为小说的主要线索；三、追求曲折奇幻的故事情节、制造困惑人的悬念为主要艺术特征；四、写多个义侠人物和多个斩邪除恶的故事；五、援爱人侠，援情人事。

新派武侠小说是在中国旧派武侠小说基础上在香港和台湾兴起的，其开山始祖是梁羽生和金庸。新旧派武侠小说根本上的区别是在于它们的观念、表现手法及艺术风格的不同。新派主要的特点有：一、思想观念的变化；二、注重侠士们独立人格的刻画；三、武侠小说与爱情小说的结合；四、以突出主要人物和围绕主要人物展开的故事情节，做为主要线索；五、武侠小说与推理小说的紧密结合。总而言之，新派武侠小说与古代和旧派武侠小说相比，较为突出的特点，就是将艺术性、娱乐性和哲理性较好地统一起来，使读者不但具有享受感，还能从中得到一些启发。<sup>①</sup>

从武侠到玄幻，武侠小说是变革，而不是进化或者升级；就在这个变革不一定朝着所谓正确的方向发展，而是在时代语境、大众心理、文学载体等多种因素作用下结合而成，中国武侠小说的发展进入玄幻时代。

武侠小说的武没落，但在于刀剑相斗的武术想象已无法满足读者的阅读欲望；而玄幻小说的武是抽象化兼超越性的力量，抽象化是指玄幻小说中不论是功法的修炼，还是比斗场景，超越性指向玄幻小说主角对力量的极度渴求。侠的衰微揭示时代观念的巨变，“武侠小说的根本观念在于‘拯救’，‘写梦’与‘圆梦’只是武侠小说的表面形式，内在精神是诉求他人拯救以获得新生和在拯救他人中超越生命的有限性”<sup>②</sup>，玄幻小说的核心是个体，也就是主角自身，它也离不开拯救，但拯救的对象不是他人，而是自我。武侠小说和玄幻小说都是媒介文学，这是两者的共同之处；武侠小说依托报刊杂志，玄幻小说依托网络；而在消费经济及网络媒介的时代，商品性、娱乐性的特征较之武侠小说更为深刻且无处不在，对玄幻小说自身的影响也更为深切。

### 三、玄幻小说发展概况

1996年随着西方魔法类经典《哈利波特》、《魔戒》系列等作品被引入中国并产生热烈讨论，改编自这些小说的系列电影在大陆的热映，国内掀起了一阵“魔幻”

<sup>①</sup> 曹亦冰：《论中国武侠小说从古至今的演变》-明清小说研究-2003(1)-第74-92页。

<sup>②</sup> 陈平原：《小说的类型研究——兼谈作为一种类型的武侠小说》-上海文学-1991(5)-第74页。

、“奇幻”的浪潮。这股浪潮激发了中国人阅读和创作类似作品的热情，中国玄幻小说由此诞生了。

20世纪80年代末，互联网开始进入中国的家庭。中国网络小说的元年、中国网络文学发展的起点，一般追溯到1997年小说网站“榕树下”的建立，并将1998年台湾写手蔡智恒（网名痞子蔡）在BBS上连载的《第一次亲密接触》认定为第一部网络小说，随后一大批写手涌现而出，诸如安妮宝贝、萧鼎等，其作品风格各有特色，引起广泛关注，至今网络小说发展以趋于完善。2000年10月由小书亭、石头书城、书情小筑等个人书站组建了网络书站的幻剑书盟，这些网站迅速发展成为目前的主流玄幻文学网站。2002年5月，“起点中文网”成立，起点中文网长期致力于挖掘与扶持网络文学作家，为读者提供优质且丰富的网络文学作品。

传统的纸媒玄幻小说作家中当以黄易、龙人、莫仁为代表；他们的作品并不是首发于网上，而是在出版为实体书之后被上传到个人网站或免费空间上，供众多读者阅读和点击，受到了极大的关注。同时，罗森在台湾鲜网上连载他的玄幻小说《风姿物语》，虽然当时没有为大陆读者所见，但仍被部分读者称做“玄幻小说的始祖”<sup>①</sup>。

上述所提出的阶段，也就是1997年至2002年是中国玄幻小说的萌芽时期，这个时期网络文学尚处于初步发展阶段，能够在线创作的主要是一些文学青年，他们通常具备一定的文学基础，写作多出于个人兴趣和爱好。此阶段的网络文学质量总体上保持稳定，作者们虽然拥有一定的文学素养和创作追求，但由于创作环境相对自由，作品往往缺乏精细打磨，呈现出较为随意的风格。因此，这一时期的作品多为初步的探索和尝试，虽然有一定的文学素养，但高质量的作品相对较少。

网络书站的合并风潮过后，虽然还有相当一部分中小型书站仍在运作，但绝大部分的读者和点击量都流向了“起点中文网”、“幻剑书盟”、“17K小说网”这三家大型网站。从2003年始，各大网站的玄幻小说都表现出其包涵的文本题材的丰富性。

此期，玄幻小说不满足于只对西方魔幻小说进行模仿，在广泛学习中国古代神话、西方魔幻小说与电影、日式动漫、网络游戏与电玩以及香港无厘头剧的基础上，展现出自己的本土特色，产生了一些类型化的小说，例如老猪的《紫

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<sup>①</sup> 微风推文：《说说大神罗森经典神作<风姿物语>为什么被称为玄幻小说始祖》-搜狐-2024-03-03-[https://www.sohu.com/a/761418627\\_121698175](https://www.sohu.com/a/761418627_121698175)

川》中通过对人族与魔族之间战争的描述，在插科打诨中探讨了人性和种族问题，塑造了紫川秀这个既讨喜又带有悲剧色彩的痞子英雄形象。

萧鼎的《诛仙》“较好地处理了继承和创新的关系，它继承了中国传统小说的某些艺术手法，如全知视角，生动的人物形象与摇曳多姿的情节等，但又有所突破，如采用了蒙太奇手法等。”<sup>①</sup>它在玄幻的外衣下包裹蕴含着一个至情至性的传统爱情故事。在玄幻小说领域，老猪的《紫川》，玄雨的《小兵传奇》、萧鼎的《诛仙》三本连同《飘渺之旅》被称为“网络四大奇书”，横扫各大网络小说网站。

此后玄幻小说形成了两个阵营。唐家三少、我吃西红柿、天吞土豆、辰东、梦入神机五人并称“中原五白”。“中原五白”之白有两层含义，一是当时五位作者都大体能够分在玄幻领域，而玄幻至于网文的地位，在当时可以称为中原，是网文的最核心，五位不仅皆有几部经典小说在握，同时坚持创作，保持着稳定的写作能力，有着超高的人气和作品阅读量；二是五位主要写或者当时正在写“小白文”，主要指作品文笔通俗，情节流畅，读者的阅读体验以“爽”为主。“中原五白”的小说创作具有典型的网络文学特征，以营造阅读爽点，满足读者欲望为主要追求，所以更符合网络文学商业化特征，更受读者的欢迎。

猫腻、愤怒的香蕉、烽火戏诸侯、烟雨江南被称为“四大文青”。首先我们要明白什么是文青，文青本来是指喜欢文化艺术的青年人，可后来文青在网上却变得。四位的文笔功底绝对是网文最顶尖的；他们挖掘人、思索社会问题以及探讨生命意义，他们的创作往往带有哲学思考和反思，让读者在阅读时也能感受到思想的冲击；他们不满足于市场化需求，而是坚持自我表达，守护文学情怀；他们的故事常常具有非线性叙述，能够牢牢吸引读者注意力，同时保持深刻的内核；创作文字富有韵味，讲究语言表达的艺术性。前两者，一个代表着以文学性为主，一个探寻商业写作的无限可能，一个眷恋纯文学的温情，在网络世界坚守文学情怀。

2003年到2013年期间玄幻小说进入快速发展期。它的内涵和外延不断扩大并被确立，它已经不同于黄易所创造的“玄幻系列”，而是在广义上取代了以往单纯指向的“玄理”、“奇幻”、“科幻”类的文体。从内容上包括和取代了所有的幻想小说类别，写作模式被固定下来，其文类特点也被网络写手和网络传播媒介所接受。由于它的阅读无限制，加上读者和写手版权意识的单薄，功利心的趋势下出现了很大一批人物情节设定相似，甚至作品名相似的一类作品。

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<sup>①</sup> 胡燕：《奇诡荒诞至情至性——评价玄幻武侠小说〈诛仙〉》-当代文坛-2006(5)-第65页。

2015年至今玄幻小说进入知识产权时代，大量的经典网文作品被购买版权，改编为动漫、影视剧、游戏等文化产业，开启网文“知识产权”时代。大量的资本以直接或间接的方式参与网文的价值挖掘，作为知识产权产业链的玄幻小说，它大源头进入文本再生产时期，改编为影视剧、动漫、游戏，以全新的面貌再次引发全网的消费狂欢。

玄幻小说从最初的萌芽发展至如今知识产权时代，始终独占网络文学诸多文类的顶峰，保持其独一无二的地位。这不仅因为自己的品性与网络时代的诸多特征彼此契合，更在于有诸多写手不断拓展文本内容的书写边界，同时为读者提供源源不断的文本更新，在数量以及质量上满足读者的阅读期望，与读者构建良好阅读关系，适应并利用网络世界的规则。

#### **四、玄幻小说的特征**

由于所处的后现代文化背景，玄幻小说的审美特征在其形成过程中天然的受到不少非文学要素的影响。这就让我们必须注意到社会经济发展、文化转型等因素对其产生的影响。传播媒介的革命性变化给玄幻小说带来了“超文本”式的跳跃思维及交互性体验；消费主义思潮又使文学艺术“降格”为可供娱乐的消费品；狂野的想象力催生了玄幻小说的各种新题材，却又将其束缚在这个怪圈中。玄幻小说带着后现代社会消费品的种种特点向我们走来，我们在考察审美特征的时候需要多加关注非文学元素在其中发挥的作用。

##### **• 新媒介传播下的交互性特点**

文学在经历了口传、印刷等传播形式后终于拥有了新的伙伴，即网络这种全新的传播媒介。文学自此跑步进入了“网络时代”。虽然文学借助新的媒介进行传播，但就其描写人、反映人的本质来说，并没有发生重大改变。尽管网络文学是作者耽于幻想的产物，描绘的世界和现实世界有很大出入，但依旧带着现实的影子，是对现实世界的某种反映，是作者对于生活的思考。同时有一个伴随而来的现象值得我们注意，传播介质的改变使“交流”或曰“互动”成为了焦点，给创作、发表、接受的整个过程带来了不小的改变。文学通过网络传播，阅读活动的顺利进行不仅对网络作品的创作和人的主观阅读意愿提出了要求，它还必然要求一套标准化设备，即可以联网或者具有存储功能的电脑或手机。这样才能达到读者与作者“交互”的目的。

在网络文学发展的初期阶段，电脑和手机都算是稀罕物件，普及率并不高。因此《第一次的亲密接触》、《告别薇安》等代表作品虽然首先通过网络传播并赢得赞誉，但它们的印刷品阅读率依然大大强于在线阅读率。读者的阅读习惯并没有发生根本性的转变，他们依旧青睐纸本。时代的发展给文学的网络传

播的普及带来了福音。电脑和手机愈来愈廉价，人们通过网络直接阅读网络文学作品的成本直线下降，响应人数剧增。

网络及相关设备的普及使网络文学创作和阅读的门槛都降到了有史以来的最低，设备对网络文学传播的制约已经不复存在。在当下，只要你有兴趣、有时间，随时都可以参与网络文学的创作和阅读，“在网上，没人知道你是一只狗”<sup>①</sup>。个人网站尤其是之后博客、微博的出现，是网络时代人们的个性书写得到了空前的开发和解放。这些发展都在客观上促进了网络文学的普及，使网络文学真正地深入生活、深入人心。

网络文学作为一种新兴的文学样式，与传统的纸面文学相比，有许多新的特征。第一，作者的匿名性。由于首先发布于网络而不是付诸于出版物，作者在参与读者的意见之后，可以随时增删和修改。第二，读者与作者的身份互换。网络作品一般都拥有自己的书评区，供读者间相互讨论。在这里读者变为了作者，对于作品提出修改意见。作者也会不时地参与或者引导讨论，在交流过程中，会根据与读者的讨论结果，调整故事走向，作者变为了读者。第三，网络语言的运用。由于网络语言的高度流行化和意义高度精炼化，网络作者们越来越喜欢利用流行的网络语言来表达观点抒发情感，另有一番趣味。第四，创作风格随意。绝大多数网络作家并不是科班出身，很少受到传统创作规矩的束缚，给文学创作带来了一股野蛮之风。

新的传播方式带来了网络文学创作方式的变化。网络文学中出现了“超文本写作”、“接龙写作”、“集体协作”等全新的创作方式。在整个写作过程中，读者和作者更是频繁的换位，显示出网络创作的交互性。

“超文本写作”是首先发生于中国国外的一种创作方式。在这种写作方式下，文本被附加了许多链接，随意点击这些链接就会产生完全不同的内容，文本因此具有了相当的随机性，读者也在阅读中通过点击，获得不同的文本，得到了参与创作的快感。由于对技术水平要求较高，这种创作方式没有流行于国内的作者间。“接龙写作”是作者给出开头和相关背景介绍，要求他人补全余下内容的一种创作方式。这种方式需要多人参与，由于各人有各人的想法，要做到使整个故事既符合逻辑又有良好可读性，还是很有难度的，因此对于参与者的文

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<sup>①</sup> "On the Internet, nobody knows you're a dog "

是一句互联网上的常用语，因为《纽约客》1993年7月5日刊登的一则由彼得·施泰纳创作的漫画标题而变得流行。这则漫画中有两条狗：一条坐在计算机前的一张椅子上，与坐在地板上的另一条狗说出了漫画的标题：“在互联网上，没人知道你是一条狗”。

学修养要求较高，普及开来也有很大难度，属于一种实验式的创作方式。“集体协作”或者说“协同写作”是这三种方式中被运用得最多的一种创作方式，指多人参加同一部作品的写作。

新的传播方式及新的阅读设备，让网络文学在接受上也产生了一些变化。传统的印刷品质量大、体积大、携带不便，而现在只要一张小小的手机内存卡就能存储海量的文字资料，满足读者的阅读需求。随着阅读软件的发展和完善，网络小说的随身阅读更是极为便利，其提供的书签、批注等功能更使电子阅读在易用性方面发生了飞跃。这种飞跃也使得读者在等车、步行、排队等众多情况下，电子阅读也能顺利展开。

网络时代的电子阅读越来越呈现出“碎片化”的特点。网民的单次阅读持续时间短、阅读内容少，他们在很大程度上只是将网络文学作为一个信息获取想象空间的渠道，而不是一个能引发思考的引子。因此，这也就注定了最畅销的网络文学必然是些能满足大家在较短时间内实现心理满足和达到获取信息、知识的目的的网络文学作品，而不是能引起大家深入思考的那些。网络文学之所以只适合网络阅读，是因为网络的自由平等的特质要求以它为根基的网络文学在发展中必须充分考虑网民的要求，满足网民的合理要求。网络文学创作中的交互性是其最根本的特征，脱离了在这个特征的网络文学就再也不能称之为网络文学。

网络的出现确实给作者与读者间的交流带来了极大的便利，促进了读者与作者的互动，使得网络文学的创作和接受都带有双方合理的影子。

- 消费主义思潮中玄幻小说的娱乐性

在现实社会中，随着日常生活的进一步审美化，艺术离我们越来越近，然而其中最严肃的那部分似乎离我们越来越远。如果用几个词表示其休闲内容的话，该提出的是娱乐、时尚和狂欢，而这些也正是消费主义思潮中，玄幻小说所着力为读者提供的内容。

消费主义是西方工业化后期兴起的思想浪潮。伴随着消费主义而来的还有资本主义机器大生产，各种工业品被生产出来填充着我们的生存空间。在消费主义的刺激下，人们的日常生活也发生了巨大的变化。在消费主义的影响下，作为精英文化的文学也愈来愈分化在精英与大众之间徘徊，在娱乐与休闲日盛的大趋势中，更是出现了网络文学这一支最近十多年来才兴起的新军。

消费主义引起的文学内部的变化还不止于此，消费主义盛行来的文化工业的繁荣才是引起文学内部变化的更大推手。大众的诉求由原先的从文学中生发人性、找寻真理转为在文学中寻找放松、娱乐、休闲的机会。文学从一个人人虔



敬的偶像转变为一个人人都能消费、都想消费的符号。文学领域所分化出的网络文学正是在这样的背景下诞生，其最初的目的很大程度上就是为了满足人们释放欲望，舒缓压力的需求，满足大众在“赛博广场”上的游荡和狂欢行为。

在消费时代里，人们被要求进行过度消费，这就促成了身边物品的快速更换，“恋物癖”似乎在也没有市场了。人类对于物品的依赖和亲近关系随着数量越来越多、越来越频繁的物品更换而损耗殆尽。在物品的来来去去中，人们的消费在某种意义上说趋向符号化，“人们在消费中的满足感，就有赖于拥有或消费被社会约束的、合法的（所以稀有或被限制）文化商品。”<sup>①</sup>由此人们的消费越来越有某种“俱乐部”式的集群化的势头。在评价一个人时，更多地借助观察他的消费对象，因此“你就是你所消费的”。这也解释了为什么玄幻小说的读者会成为朋友，甚至有人因为读同一本玄幻小说而恋爱、结婚。

在消费时代，人们追求强烈的个性、独特的风格，因此时尚备受瞩目。玄幻小说的风靡正是时尚在文学领域的表现。

人们以阅读和参与玄幻小说创作为时尚，玄幻小说就是在这种背景下发展和演进的。然而时尚有其鲜明的区分度，就如迈克·

费瑟斯通批评流行音乐一样，“‘流行’本身是双向的：一旦青少年将这个市场向下传递给了更小的少年乐迷或儿童流行爵士乐爱好者，向上传递给了成年人和中年人，青少年自己就不再对斯蒂瓦（Rod Stewart）或甲壳虫乐队感兴趣了。”<sup>②</sup>时尚一旦由一个小众圈子传播开来，出于警觉和与其他圈外人士作区分的目的，原有的时尚很快就销声匿迹、无人问津，取而代之的是新的时尚开始流行。

玄幻小说的创作也带有类似时尚在传播中所具有的特点。一个新的题材的出现，某种文学惯例的跟随者和拥护者。大热之后，大量的模仿之作也必然导致了审美疲劳。至此，人们合力确立了一个文学惯例，紧接着又合理将它摧毁，然后继续寻找下一个可供模仿和复制的目标，如此周而复始，循环往复。这也说明了为何玄幻小说的题材会出现得这么快、这么多，从西方玄幻到东方仙侠再到网游题材等。时尚深藏着模仿和分化两种相反的趋势，它越是大众化、越是被扩张，就越导致了它自己的毁灭，将来肯定还会有更多玄幻小说的新类型等待人们去建立和摧毁。

<sup>①</sup> [英]迈克·费瑟斯通：《消费主义与后现代主义》-译林出版社-2000-第130页。

<sup>②</sup> [英]迈克·费瑟斯通：《消费主义与后现代主义》-译林出版社-2000-第135页。

玄幻小说其题材风格各异，各有特点，却更像是东拼西凑的大杂烩，很难说它具有怎样的独特风格。费瑟斯通也认为“消费文化将使生活方式不再需要任何内在的一致性”<sup>①</sup>，玄幻小说的这种杂糅起来的无风格的特征使得我们很难将其分类。

在网上发表作品，网络编辑纷纷强调一个爽字，感官享受被提高到无以附加的地步，因为不让读者爽，就意味着没有订阅，没有人给作者报酬。爽字代表着流畅的行文、高潮迭起的同时节奏还要快，场景的变换和目标的变换使人目不暇接。消费社会中，网络文学很大程度是为了满足读者的猎奇心理、不切实际的幻想和日益膨胀的欲望。读者滚动鼠标在满屏幕的文字中寻找自己的high点，读者和作者双方都借此完成了代入，在大段大段的文字中倾泻自己的欲望。网络文学寄托了新一代年轻人对生活的改造理想，既然在现实社会里无法达成心愿，那便在游戏、在想象里进行。在这种意义上说，网络文学中的许多作品都可以视作是逃避现实之作，是现实和理想的妥协。

网络文学作为“一种以娱乐为目的，‘快餐式’为特征的‘三消’（消遣、消闲、消费）文化”<sup>②</sup>，其中的暴力和身体书写有着极大的分量。这个特点在玄幻小说的创作中表现得尤为明显。

玄幻小说中的暴力因素可以分为两类，即小说人物的语言暴力和行文内容的暴力。小说人物的语言暴力还可以细分为两种。第一种，粗口脏话。作品通过小说人物之口骂出脏话，其中又分两种。一种是现实里的脏话，并无新鲜。另一种则是网络风传所流行的话语的直接引用或者化用。第二种体现是行文语言及内容上的暴力。

玄幻小说在追求轻松愉快、放飞自由心灵，释放压抑已久的欲望后，读者并不能得到真正意义上的精神解脱，甚至更加孤独寂寞。网络小说在提供了一个虚拟世界供读者舒缓压力和逃避现实的同时，又留下了一个需要逃离虚拟困境的精神废墟。在一个娱乐至死的时代里，应该考虑怎样才能更有意义的活着。玄幻小说想要有更大的发展，那么对人生意义的放逐及对人性思考的缺失等写作上的缺憾是不能不加以弥补的。

- 玄幻小说的类型化特点

<sup>①</sup> [英]迈克·费瑟斯通：《消费主义与后现代主义》-译林出版社-2000-第175页。

<sup>②</sup> 傅守祥：《审美化生存：消费时代大众文化的审美想象与哲学批判》-中国传媒大学出版社-2008-第35页。



玄幻小说自发端开始，类型化就是其最大的特点之一。它类型化不仅确立了其发展初期的基本规范和写作流程，也促成了数量增多，使其迅速壮大。在最热门的玄幻小说写作模式中，经常包含这样几个因素，即神话、英雄、成长与游历。

### 一、神话

每个民族的神话都是对于初民的原始生活及原始心理的反映，是其童年生活的写照，也是各国文学赖以生长的土壤。玄幻小说在发展过程中，从神话里吸取了很多养分。玄幻小说对于神话的回归，更像是出自人们对现代生活的叛逆。人们在疯狂的物质追求中希望将精神由世俗世界转移到想象中的神国，现代都市人想要从快节奏、高压力的生活中脱身的愿望得到满足。在后现代社会中，人的本真被摧毁，人的生活经历碎片化，人类生的意义被质疑，人们希望通过回归神话这种怀旧式的行为，来抵抗这个异化了的社会。

玄幻小说想做的并不仅是重述神话，它还借由神话及民间传说的外壳表达了一些与以往不同的内容。在神话中，神秘而强大的神灵拥有着人类远不能及的力量和智慧，受到了人的尊崇和膜拜，神人的关系是神灵与信众的关系。玄幻小说中，神的地位受到了普遍挑战，他们不再是高高在上居于神国，人对于神不再是只能顶礼膜拜，处处可见人类对于神灵的反抗，作品中叙述人类修炼成神的情节，现代都市人对于权威的厌恶和恶意都集中发泄在了神灵身上。人神关系的改变反映了人类想要得到生活的自主权，对于异化的拒绝，对于人生命运的抗争。现代人的努力强化了一直以来人定胜天的理念，坚定了人的全面自由发展才是第一位的信念。如烟雨江南在17K小说网的《罪恶之城》中的李察·阿克蒙德对于世界规则的解析，耗尽心力，不仅仅是为了自身的强大，也是要弄清楚世界之秘。

### 二、英雄

英雄向来都是故事中热烈歌颂的。在玄幻小说中，传统高大全式的英雄并不多。玄幻小说中，刻画最多的英雄形象无疑是一些另类英雄，他们没有传统里的英雄那么热血和古道热肠，没有那么力敌八方、光明正大。正相反大多数情况下，玄幻小说中所认同的英雄甚至显得有些猥琐和卑鄙。

在英雄绝迹的年代，人们呼唤英雄。然而大家所期待的英雄再也不是脚踏五彩祥云，容不得丝毫黑暗的热血英雄，人们能够忍受黑暗、猥琐、暴力等等品质显现在英雄人物身上。英雄的形象从传统上锄强扶弱、伸张正义的道德楷模，变化为不择手段，最后获得绝大利益的成功者。

人们对于英雄的认识发生了极大的改变，这些改变源于现代社会只以成败论英雄，弱肉强食的丛林法则，大家认可赢者通吃的法条，因此英雄弘扬自由正义的面貌中也散出阵阵黑气。

玄幻小说所刻画英雄，还有一个特点，那就是大多为草根出身，从一介平民成长为霸主般的存在。作者这样刻画，还是为了满足现代人心中那种自恋情结，使普通读者在阅读过程中有强烈的代入感，体会一把由普通人占到巅峰的感觉。现代人心中充满了对失败和死亡的焦虑和恐惧，所以在现实社会中难以满足他们虚幻的膨胀感的时候，只能将这些忧虑寄托于小说中，由小说的草根英雄来代替他们取得成功、完成心愿。草根英雄的形象也正符合现代人注重人格平等的精神要求，因而得到了读者的认同。在整个大环境的影响下，英雄定义已经发生了重大改变，他变得比任何时候都要更平凡、和普通人更接近。

玄幻小说中这些另类英雄的产生，是和现代人英雄观的改变密不可分的。注重实际的现代人将成功和英雄等价，也体现了他们对于成功的渴望。小人物迅速成为英雄，不仅努力却能取得成功是人类惰性的明证，同时也证实了商业社会的浮躁性。

### 三、成长与游历

玄幻小说中，几乎每一部作品都会涉及到成长与游历这一主题。主人公经过惊险的游历得到成长，经历一段成长过后，出于探索新世界和外界推动力的原因，他们又离开家进行游历，就此成长与游历二者不断往复，构成了一个循环。小说中有关成长与游历的话语得到不断加强，是和80后这一代人的成长轨迹密切相关的。

80后一代正是在这样一种一天一变的环境中成长起来的。少年时代的物质充满并没有给他们带来足够的满足感；在成长的过程中，他们越来越希望取得事业的成功和社会的认可，陷入到了对于人生价值的苦苦追求中。商业社会的冷酷让他们看到了人情冷漠，可实实在在的生活压力又逼得他们不得不与厌倦了的事情发生联系，渴望被理解和认同的感觉空前强烈。玄幻小说的出现使得他们找到了一个认同感能够被满足的地方。作者以主人公传奇般的崛起让读者在书中人物成长的同时，在强烈的代入感下得到了满足，甚至那些最阴暗、最血腥、最暴力的部分也在小说中得到了现实。六道连载于逐浪小说网的《坏蛋是怎样炼成的》中的主人公谢文东由原本文弱、听话但被人欺负的好学生成长为心狠手辣、满手血腥的黑道大哥；煮剑焚酒的《黑道学生》中讲述的是天门九哥在海州不小心杀了高官子弟的儿子，被逼无奈之下跑到南吴逃难，并且在南吴开创了属于自己的一片天地的故事。

成长与游历主题反映了现代年轻人对于实现梦想，幻想拥有超能力去经历冒险、改变世界的愿望。现实世界中实现不了这些愿望，他们便转而指向虚拟世界，玄幻小说为当下年轻人提供了梦寐以求的狂欢盛宴。

类型化在玄幻小说的发展初期确实起到了非常重要的推动作用。然而随着玄幻小说的不断发展，这种类型化越来越制约了玄幻小说的进一步发展，小说变成了瞎说。要彻底摆脱这种窘境，网络写手们还是要加紧自身写作水平的提升，不是一味的模仿商业上最成功的作品，而是要坚持自己的个性化道路。

玄幻小说第一部作品，是萧鼎在2003年出版《诛仙》，出版于被称作网络小说发展元年的2005年，引起极大的反响，胡燕在2006年发表的评价《玄幻小说诛仙》中认为“《诛仙》良好的处理继承和创新的关系，不但继承了中国传统小说的艺术手法，譬如全知视角，生动的人生形象与摇曳多姿的情节等，但同时又不同于传统小说，加入很多传统小说所不具备例如蒙太奇手法等。”<sup>①</sup>在中国传统的武侠小说中，武功境界和道德境界是不可分离的，德行也是武之精髓，原本道家、佛家的修炼便是跳出红尘的清修，成仙之后更是无欲无求的心境，可是《诛仙》中却把凡尘世俗的大千世界的喜怒哀乐都表现在这些修行之人身上，修行的高低和道德的层次不再相辅相成，但又在人性、良知上表现了一种坚持，因而使人物拥有了一种大善大恶而又并不颓败的人格力量，这正符合了青年读者群的价值期待和心理情感的时代中心意识。它具有开放的结构以及无限延伸的空间，以张小凡为中心人物，但并没有中心事件，在描写一系列事件过程中穿插若干个扑朔迷离的小故事，形成网络式的格局，而传统武侠小说大多以夺宝报仇为中心。

从武侠小说到玄幻小说，一方面是武侠小说自寻出路，寻求转型与突破；另一方面则是时代语境的推波助澜。

### 结论

玄幻小说流行是时代特性决定的，在物质化主导的当下社会中，人精神层次的欲望使玄幻小说成为大众情绪的载体，玄幻小说的现象意义大于它的文学价值，跨界的特性决定玄幻文学研究要从更广的视野出发，结合社会现象，理性客观的对玄幻小说进行评判。

玄幻小说既不同于精英文学，又不同与传统通俗文学，它是一个综合性的大杂烩，同时又有着传统通俗小说那种游戏化、媚俗化的特点，是一种典型的消费文学形式。玄幻小说的兴起绝不是一个偶然，是有着其深刻的社会背景的，

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<sup>①</sup> 胡燕：《奇诡荒诞至情至性——评价玄幻武侠小说〈诛仙〉》-当代文坛-2006(5)-第64-65页。

这些背景包括网络的蓬勃发展、经济利益的刺激和受众的追捧等。当然最主要的原因还是受众的因素，所以必须加强对玄幻小说受众的研究，以指导其继续发展。

玄幻小说现在主要还是以一种文学现象、市场现象出现在研究者的面前。而不是一种传播现象。这导致没有传播理论的支持，玄幻小说的传播缺乏理论性的指导，认真研究受众的个体特征、社会文化特性。只有把握玄幻小说手中的结构特征、行为特征和文化特征，了解受众对玄幻小说的使用需求，才能使玄幻小说的文化价值、市场价值得到体现，是玄幻小说可以良性发展。

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“伊斯兰国”还是“达伊什组织”？

——兼论专有名词翻译的政治正确性原则

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**Abstract:** “Islamic State” as a proper noun has appeared in various translations in Chinese media. The differences of translation is not only because of the evolution of the name of the organization itself, but also because of the different standards of translation in the press and academic circles. If we follow the “adaptation to original names” principle, it seems that we should translate it as “Islamic State”(“伊斯兰国”), but taking the terrorist nature of this organization identified by international community into consideration, the translation should be politically correct, and “Islamic State” should not be recognized as a “state”, but should be called as an ‘organization’, so the accurate translation should be “达伊什组织”(Daesh organization).

**Keywords:** "Islamic State", Daesh organization, proper noun, translation, political correctness

内容提要

“伊斯兰国”作为一个专有名词在国内的媒体上出现了各种不同的译法，其原因既有该组织本身在名称上的演变，但也有国内新闻界和学术界在翻译该名词时标准不统一的因素。按照名从主人的原则，似应译为“伊斯兰国”，但从国际社会对该组织恐怖主义性质的认定，则应该体现一种正确的政治观念，不应承认其为“国”，而应称其为“组织”，故准确的译法应为达伊什组织。

关键词 “伊斯兰国” 达伊什组织 专有名词 翻译 政治正确性

“伊斯兰国”恐怖组织在全世界都已经是一个耳熟能详的名称。人们对它的关注大多是在政治和宗教的层面，因为它对国际政治和宗教方面产生了深远的影响。提到“伊斯兰国”，人们首先联想到的就是一个臭名昭著、极端邪恶的具有宗教和政治性质的恐怖主义组织，然而它的名字中却包含了一个“国”字，似乎它是一个国家，但国际社会鉴于其恐怖主义性质又不愿意承认其为“国”，更愿意把它当作一个政治组织或宗教团体。因此，从学理上来梳理这一专有名词

的变化历程，探究这一专有名词的翻译问题，对于我们认清它的本质，具有重要的意义。

## 一、 几易其名

“伊斯兰国”这一专有名词的指代对象，由于该组织自身的变化及其自我宣称的变化，在翻译上也呈现了不同的形态。“伊斯兰国”并非一开始就自诩为“国”的，而是从一个很小的组织发展起来的，最早起源于约旦的一个组织。1999年，约旦伊斯兰激进分子阿布·穆萨布·扎卡维 (مصعب أبو الزرقاوي) 在约旦建立了“جماعة التوحيد والجهاد” (Jama'at al-Tawhid wal-Jihad)，翻译为中文应为“统一圣战组织”，它就是“伊斯兰国”组织最早的前身。这一组织当时的目标是推翻“叛教”的约旦政府的统治，然后进一步控制黎凡特地区

①。在美国入侵阿富汗之后到2003年伊拉克战争之前，这一组织的恶名并未远扬，扎卡维带领其组织在伊朗、伊拉克的库尔德地区、叙利亚和伊拉克的逊尼派三角地带之间活动，组织小规模的行为，与其它极端组织进行联系。

2002年，统一圣战组织在约旦安曼暗杀了美国驻约旦的高级外交官劳伦斯·福利，引起了美国方面的关注。2003年3月美国发动伊拉克战争，在阿拉伯国家人民对战争性质的质疑和反对，这为扎卡维所领导的统一圣战组织提供了发展的机会。该组织多次绑架人质、暗杀伊拉克官员、发布斩首视频、炸死数百名什叶派平民、挑动伊拉克内战等行动，不仅在阿拉伯国家而且在国际上都名声大噪<sup>2</sup>，使得许多具有极端主义思想的人们“慕名而来”，加入这一组织。

这一组织由于成员的增加，开始需要更多的资源来继续其运行，并继续扩大其影响力。而与此同时，1999年就曾与扎卡维见过面的基地组织首领本·拉登的势力在美军进入阿富汗之后大大被削弱，本·拉登也不愿其影响力在伊拉克地区被他人胜出，此前一直与扎卡维有所接触，希望扎卡维能够对他和基地组织宣誓效忠

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① "The War between ISIS and al-Qaeda for Supremacy of the Global Jihadist Movement". Washington Institute for Near East Policy. June 2014. Retrieved 14 February 2015. p.1-2.

② Richard Boucher (15 October 2004). "Foreign Terrorist Organization: Designation of Jama'at al-Tawhid wa'al-Jihad and Aliases". United States Department of State. Archived from the original on 11 July 2007.



①。两股势力一拍即合，2004年，扎卡维宣誓效忠本·拉登，统一圣战组织也因此并入基地组织名下，经过8个月的协商讨论，改名为“تنظيم قاعدة الجهاد في بلاد الرافدين” (Tanzīm Qā'idat al-Jihād fī Bilād al-Rāfidayn)，按照其字面的意思，中文应译为“两河流域国家基地组织”。它在国际上常常被简称为“QJTR”，其英文的完整译名为“The Organization of Jihad's Base in the Country of the Two Rivers”，简称为“TQJBR”。同时，又因为这一组织是基地组织在伊拉克的分支，因此又被称为“Al-Qaeda in Iraq”，即“伊拉克基地组织”，英文简称为“AQI”，但这一组织自己从未使用或是承认过这一名称。两个组织的合并使得扎卡维获得了更多的资助、后勤和招募渠道，以及方便的关系网络。在这一阶段，这一组织的目标是将美军驱逐出伊拉克，然后在伊拉克建立一个逊尼派的哈里发国家，然后再把势力范围向周边邻国扩大。

2005年，“伊拉克基地组织”策划了安曼爆炸案。2005年11月9日，约旦首都安曼的三座酒店发生连续三起爆炸，导致56人死亡，300多人受伤。约旦国王阿卜杜拉二世随后立即发表声明，强烈谴责这三起连环炸弹袭击，表示了打击恐怖组织的决心。11月10日，数十万名约旦人走上安曼的街头向遇难者表示同情以及向阿卜杜拉国王表示支持。11月11日，有大约2,000名民众游行穿过安曼的大街，抗议这些攻击行动。许多人高呼反对基地组织及扎卡维的口号。这次恐怖袭击被认为是“伊拉克基地组织”决策的重大失误

②，约旦民众对于扎卡维的态度发生了明显的转变。根据皮尤全球民意调查，认为自杀式爆炸袭击“可以接受”的约旦居民，在2005年为57%，安曼爆炸事件发生后，这一数据迅速地下降到29%，更重要的是，约旦民众们“恨屋及乌”，他们对扎卡维的反感仇恨的情感进一步扩展到了对本·拉登和基地组织的反感，约旦对本·拉登的支持率从2003年的56%下降到2007年的20%<sup>③</sup>。

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① "The War between ISIS and al-Qaeda for Supremacy of the Global Jihadist Movement". Washington Institute for Near East Policy, June 2014. Retrieved 14 February 2015. P. 2

② Brian Fishman, *Using the Mistakes of al Qaeda's Franchises to Undermine Its Strategies*, *Annals of the American Academy of Political and Social Science*, 2008, p48.

③ Pew Global Attitudes Report 2005, 转引自Fawaz A. Gerges, *the rise and fall of alqaeda*, Oxford University Press, 2005.



为了与这一错误的决策做切割，同时也是为了使这一组织显得更加“伊拉克化”<sup>①</sup>，安曼爆炸事件两个月之后，扎卡维决定再一次更换组织名称。2006年初，扎卡维整合吸纳了几个伊拉克的反政府组织，同时把他所领导的这个组织更名为“شورى المجاهدين في العراق مجلس”，即“伊拉克圣战者协商委员会”，英文译名“Mujahideen Shura Council”，简称“MSC”。2006年6月，扎卡维在伊拉克的一次美军空袭中被炸死，阿布·艾尤卜·穆哈吉尔继任为该组织领导人，但扎卡维更改组织名称、扩大组织规模的策略并没有改变，他的继任者继续推行着他的这一策略。

2006年10月15日，穆哈里·朱巴里以新闻部长的身份，发表了题为“伊拉克伊斯兰国正式成立”的声明<sup>②</sup>。“伊拉克伊斯兰国”，其阿文名称为“دولة العراق الإسلامية”，英文翻译为“The Islamic State of Iraq”，简称“ISI”。随后，扎卡维的继任者，阿布·艾尤卜·穆哈吉尔宣布效忠伊拉克伊斯兰国的埃米尔阿布·阿卜杜拉·拉希德·巴格达迪，但该组织的实际权力依然是由穆哈吉尔把持。这里值得注意的是，“baya”只能是个人对个人的效忠，一个组织不会向另一个组织宣布效忠。穆哈吉尔宣布效忠伊拉克伊斯兰国的埃米尔巴格达迪，这意味着扎卡维对于本·拉登的宣誓效忠的无效，也就是说，这一团体试图通过这一系列的操作，与基地组织进行切割，表明过去8年间这一团体实际上并未服从于基地组织的命令<sup>③</sup>。同时，这个名称的改变，也意味着这一团体不再愿意把自己定义为“组织”，其野心昭然若揭，那就是他们意图在伊拉克地区建立一个国家。此外，这位实际由穆哈吉尔控制的傀儡领袖使用了“巴格达迪”这个名字，“巴格达迪”(البغدادي)这个词是伊拉克首都“巴格达”(بغداد)的属格形式，可以翻译为“巴格达的、巴格达出身的”，这似乎是试图向国际社会特别是阿拉伯世界的民众传达一个信

<sup>①</sup> Brian Fishman, *Using the Mistakes of al Qaeda's Franchises to Undermine Its Strategies*, *Annals of the American Academy of Political and Social Science*, 2008, p49.

<sup>②</sup> Muharib al-Juburi, “al-I’alan an qiyam dawla al-Iraq al-Islamiyya,” October 15, 2006, <https://nokbah.com/~w3/?p=536>, 转引自“The War between ISIS and al-Qaeda for Supremacy of the Global Jihadist Movement”, Washington Institute for Near East Policy, June 2014. Retrieved 14 February 2015. p.3.

<sup>③</sup> See “The War between ISIS and al-Qaeda for Supremacy of the Global Jihadist Movement”, Washington Institute for Near East Policy. June 2014. Retrieved 14 February 2015. p.3.



## 二、“达伊什”组织译名的使用与传播

“达伊什”这一名称是  
داعش (“Daesh”) 的音译，这一词是取“伊拉克和沙姆伊斯兰国”的阿拉伯语名称  
 (“الدولة الإسلامية في العراق والشام”) 中每个单词的首字母组合成的词，将 “دولة”  
dowla (国家) 中的“د”， “إسلامية” islaamiyya (伊斯兰教) 中的“ا”， “عراق”  
iraaq (伊拉克) 中的“ع”， “شام”  
”shaam (沙姆) 中的“ش”，组成单词“داعش”，英文则转写为 “Daesh”。

尽管“Daesh”一词的构造方式看上去非常类似于英文中常用的首字母缩写的方式，但根据媒体的报道，“Daesh”一词的最先使用者并非西方人，而是叙利亚活动家、叙利亚总统巴沙尔·阿萨德的支持者哈立德·哈吉·萨利赫

①。他在2013年5月27日第一次使用这一名称来表达他对这一组织的反抗与蔑视  
②。在阿拉伯语中，“داعش” (达伊什) 与“践踏者” (داعس) 谐音，与该组织践踏  
人权、漠视生命、滥杀无辜的行为极为吻合，因此这一称呼出现以后，得到阿  
拉伯媒体和民众的认可和赞赏，逐渐流传开来，阿拉伯媒体此后基本上都喜欢  
用这一词来称呼该组织，因为这样不仅符合该组织的极端主义和恐怖主义的本  
质，而且可以避免用“伊斯兰”来称呼该组织，从而把大众的伊斯兰宗教信仰和  
这一组织区分开来。

①

见“海湾在线”和“国家 (alwatannews)”等媒体的报道，详见<http://alkhaleejonline.net/articles/1420105887301063200/%D8%A3%D9%88%D9%84-%D9%85%D9%86-%D8%A3%D8%B7%D9%84%D9%82-%D8%A7%D8%B3%D9%85-%D8%AF%D8%A7%D8%B9%D8%B4-%D9%84%D8%A7%D9%84%D8%AE%D9%84%D9%8A%D8%AC-%D8%A3%D9%88%D9%86%D9%84%D8%A7%D9%8A%D9%86-%D9%86%D8%AF%D9%85%D8%AA-%D8%B9%D9%86%D8%AF%D9%85%D8%A7-%D8%A7%D8%B3%D8%AA%D8%AE%D8%AF%D9%85%D9%87-%D8%A7%D9%84%D8%A3%D8%B3%D8%AF/>  
<https://www.elwatannews.com/news/details/668075>

② ٢٠١٥ مايو، “الوطن”，تعرف من أين جاء لفظ “داعش”؟ وماذا يعني؟، لطفي سالماني

١٢، <https://www.elwatannews.com/news/details/668075>

2014年8月，埃及伊斯兰法制委员会（الإفتاء دار شوقي إبراهيم عبد الكريم المصرية）的大穆夫提邵基·阿拉姆（علام）表示，不应该使用“伊斯兰国”一词来形容该组织，而是建议使用“دولة المنشقين عن القاعدة في العراق والشام”（伊拉克与沙姆地区基地异见者国）这样的称呼<sup>①</sup>。埃及外交部甚至曾经对外国记者发布了一个备忘录，要求他们重新考虑对那些进行恐怖活动的特定组织的称呼方式，建议外国记者们使用恐怖主义者（terrorists），行刑者（executioners），刺杀者（assassins），谋杀者（murderers）这一类词汇称呼恐怖组织

<sup>②</sup>，以避免把“伊斯兰”这一概念与恐怖组织联系在一起。

而西方媒体提到该组织时，使用的名称非常多样，或是直接按照直接翻译的方式，称其为“伊斯兰国”，或是用“ISIS”或“ISIL”这类缩写来指代这一组织，又或是使用“极端组织”、“组织”这类较为含糊的名称代指，这种名称的多样和不统一也给观看媒体报道的民众带来许多困惑。联合国之前的文件中称这一组织为“ISIL”，联合国秘书长潘基文也曾用“Un-Islamic Non-State”（非伊斯兰的非国家）来称呼这一组织

<sup>③</sup>。美国、英国的媒体之前曾经用“ISIS”和“ISIL”这两个称呼。在这两个称呼中，“ISIS”相对更加流行，因为对于说英语的人来说，这一名称更加易读、更加朗朗上口，并且因为与西方人熟悉的古埃及女神伊西丝（Isis）重名而变得相对容易记忆，也有人更倾向于“ISIL”，即“Islamic State in Iraq and the Levant”的缩写，因为“شام”即沙姆一词与英语中的“Levant”一词的语义更加对应，美国前总统奥巴马也曾使用ISIL这一名称。英国前首相卡梅伦则在2015年12月正式宣布，英国政府将使用“Daesh”一词称呼该极端组织，并敦促其他国家和媒体避免使用“伊斯兰国”这种表达，因为“这一邪恶的宗教组织并非伊斯兰教的

<sup>①</sup> محمد عبد اللطيف، ٢٠١٤ أغسطس ٢٦، القدس، دار الإفتاء المصرية تعلن الحرب على "داعش"،

<sup>②</sup> Adam Taylor, Egypt to foreign journalists: Don't call them 'ISIS' fighters, call them 'eradicators', The Washington Post, July 6, 2015,

[https://www.washingtonpost.com/news/worldviews/wp/2015/07/06/egypt-to-foreign-journalists-dont-call-them-isis-fighters-call-them-eradicators/?utm\\_term=.3f5ffa9c15bc](https://www.washingtonpost.com/news/worldviews/wp/2015/07/06/egypt-to-foreign-journalists-dont-call-them-isis-fighters-call-them-eradicators/?utm_term=.3f5ffa9c15bc)

<sup>③</sup> 见“秘书长对安理会高级别首脑会议关于外国恐怖主义者的发言”（Secretary-General's remarks to Security Council High-Level Summit on Foreign Terrorist Fighters），2014.9.24，

<https://www.un.org/sg/en/content/sg/statement/2014-09-24/secretary-generals-remarks-security-council-high-level-summit>

真正代表，”所以应该改换其名称，以免民众错误理解其中的含义。卡梅伦的做法显然考虑到了政治正确的原则。

当然卡梅伦并非这一译名的首创者，只不过他作为政府首脑，代表了英国政府的立场。在卡梅伦之前，法国、澳大利亚等国已经开始提倡使用“Daesh”一词。2014年9月，法国外交部长洛朗·法比尤斯在巴黎召开的伊拉克和平与安全国际会议上表示，希望记者们和新闻媒体使用“Daesh”一词称呼该组织，因为它“是一个恐怖组织而非国家，”他表示，“我并不建议使用‘伊斯兰国’这一名称，因为这一名称模糊了伊斯兰、穆斯林和伊斯兰主义者之间的界限。阿拉伯人使用‘Daesh’一词称呼该组织，而我会称呼他们为‘达伊什的凶手们’。”<sup>①</sup>自此次国际会议的共同声明之后，便有越来越多的西方媒体使用了“Daesh”这个译名来指代这一组织。美国在2014年12月也开始加入使用新译名的行列。美国陆军中将詹姆斯·特里在五角大楼举行的新闻发布会上宣布，应中东地区国家要求，美方今后将不再使用“伊斯兰国”极端组织的称呼，而以“Daesh”组织取而代之。2015年1月，时任澳大利亚总理的托尼·艾伯特也宣布使用“Daesh”一词。中国国内的媒体也开始相应地将译名改为“达伊什”组织。与此相对，该极端组织本身却十分反感别人用“达伊什”这个译名来称呼自己，威胁要“割掉那些用这个名称的人的舌头”<sup>②</sup>。

“达伊什”一词的使用受到许多国家和媒体认同，特别是受到阿拉伯世界的肯定，因为它与“ISIS”、“ISIL”这类相对中立的缩写不同，在阿拉伯语的语境中带有贬义，包含着明确的立场。尽管在阿拉伯语中原本并没有“داعش”一词，但其词根与阿拉伯语中“دعس”

(意思为：踩、踏)听起来非常相似，因此“داعش”一词在阿拉伯人的想象中变被赋予了其谐音词

داعس (Daes) 的含义，即“践踏者”。此外，也有媒体报道称“داعش” (Daesh) 容易让人联想到“داحس” (Dahis) 一词，进而联想到贾希利叶时期的由于两匹名叫“داحس”和“الغبراء”的骏马赛跑之争而引发的两个部落之间长达40年的战争，“داحس”一词在阿拉伯文化中又可以代指“挑起不合者”的含义

<sup>①</sup> Wassim NASR, EI, EHL, Daech, comment appeler les jihadistes en Irak et en Syrie

?, 法国24小时新闻台, 2014年9月17日报道, 网址<http://www.france24.com/fr/20140916-daech-etat-islamique-EI-hollande-fabius-france>.

<sup>②</sup> "Is it IS, ISIS, ISIL or maybe Daesh?". Ynetnews. 9 December 2014.

①。这两个谐音词在阿拉伯语中都带有否定的负面含义，因此，对这一名称的使用也成为对该组织自称“哈里发国”的抵制与反抗。使用达伊什（“Daesh”）这一名称的各国的政府和媒体都认为，这个名称能够揭露该组织的真实面目。因为该组织充斥着其野心的名称也是极端组织宣传圣战思想、吸引成员、煽动他人进行恐怖袭击时非常重要的一环。

### 三、 专有名词翻译的信息传递与政治正确性原则

尽管多国领导人曾公开倡议使用“达伊什”的译名来称呼该极端组织，但很多国家的媒体依然坚持使用“Islamic State”、“ISIS”、“ISIL”等词，也有些新闻媒体可能注意到了使用该名称可能会引起的概念上的误解，不再直接使用这一名称，而是在该名称之后加上“group”一词，或是加上某些解释性的限定词，使用“Islamic State group”（伊斯兰国组织）、“so-called islamic State”（所谓的伊斯兰国）、“self-styled Islamic State”（自封的伊斯兰国）等词，以示对该组织合法性的否认，但也有一些新闻媒体会直接使用“Daesh”这个词来代指该极端组织。例如BBC就曾明确表示不愿意使用“Daesh”一词，因为这“有损新闻媒体公正中立的立场”<sup>②</sup>。还有许多记者也表示不愿意使用“Daesh”来称呼该极端组织，其中有的人从实用角度考虑，认为使用这一带有贬义性质的词语“对实际打击该极端组织并无助益”<sup>③</sup>，因此不必为此大费周章；有的人认为拒绝使用“伊斯兰国”这个称呼“是在否认该组织确实建立起国家的事实”<sup>④</sup>，并且认为，“与政治家希望人们用负面的目光看待这一组

① "Islamic State, Daesh or Isis: the dilemma of naming the extremists". *The Week*. 2 December 2015. <http://www.theweek.co.uk/isis/62422/islamic-state-daesh-or-isis-the-dilemma-of-naming-the-militants>.

② "Islamic State, Daesh or Isis: the dilemma of naming the extremists", *The Week*, 2 December 2015. <http://www.theweek.co.uk/isis/62422/islamic-state-daesh-or-isis-the-dilemma-of-naming-the-militants>.

③ "Islamic State, Daesh or Isis: the dilemma of naming the extremists". *The Week*. 2 December 2015. <http://www.theweek.co.uk/isis/62422/islamic-state-daesh-or-isis-the-dilemma-of-naming-the-militants>.

④ Amanda Bennett, "Daesh? ISIS? Islamic State? Why what we call the Paris attackers matters", *The Washington Post*, November 25, 2015. [https://www.washingtonpost.com/news/in-theory/wp/2015/11/25/daesh-isis-islamic-state-why-what-we-call-the-paris-attackers-matters/?utm\\_term=.4a3bba1bb3c6](https://www.washingtonpost.com/news/in-theory/wp/2015/11/25/daesh-isis-islamic-state-why-what-we-call-the-paris-attackers-matters/?utm_term=.4a3bba1bb3c6).

织的意愿不同，新闻界和学术界的传统是使用组织对自己的称呼而非其他，并且在该称呼造成混淆或者歧义时进行解释<sup>①</sup>。英国反恐智库Quilliam在其题为《伊斯兰国：现代吉哈德主义的变换面孔》的报告中提到，决定使用该组织对自己的命名即“伊斯兰国”来称呼这一极端组织，尽管文章强调，这一极端组织并不具有“国家”的合法性，属性也并非“伊斯兰的”<sup>②</sup>，却依然使用了“伊斯兰国”的译名。

然而，以这种貌似“公正中立”的立场，处理该极端组织名称的翻译并不可取。新闻媒体和学术界从真实性和客观性方面出发，似乎向民众传递了真实可靠的信息，但把一个“既不伊斯兰，也非国家”的组织称呼为“伊斯兰国”，无疑是对“真实可靠”原则的违背，也容易使民众对该组织的合法性感到模糊。

从新闻媒体的影响力方面看，主流媒体的国际新闻报道不只单纯传递了信息，也主导着舆论，新闻报道的用词影响甚至操纵着人们的思想意识。从某种意义上讲，新闻报道引导着人们看待问题的方式，甚至潜移默化地决定了人们如何思考问题。新闻报道在为人们提供信息的同时，又约束着人们的思想和认识。因此，新闻媒体选择使用“伊斯兰国”还是“达伊什”的译名，其实在某种程度上是能够影响人们对待它的认识和观感。

极端组织为了集中力量、发展成员，为了让自己的极端思想和主张为更多人所接受，为了煽动他人进行恐怖活动，要做宣传工作。在进行这种宣传活动时，他们的用词无不反应了他们极端的政治倾向。而与此同时，如果世界上其他主要新闻媒体在称呼这些极端组织时，也与他们的宣传机构使用相同的用词，特别是用他们自封的名称来称呼他们，不但会给民众们造成概念上的混淆，也可以说在无形中承认了这些极端主义和恐怖主义组织的合法性。本来应该承担起谴责、警示作用的各国新闻媒体的新闻报道，正中恐怖组织下怀，成为了极端组织宣传自己的另一种途径。而相比恐怖袭击造成的伤亡，意识形态的传播更加难以控制。

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<sup>①</sup> Amanda Bennett, “Daesh? ISIS? Islamic State? Why what we call the Paris attackers matters”, *The Washington Post*, November 25, 2015. [https://www.washingtonpost.com/news/in-theory/wp/2015/11/25/daesh-isis-islamic-state-why-what-we-call-the-paris-attackers-matters/?utm\\_term=.4a3bba1bb3c6](https://www.washingtonpost.com/news/in-theory/wp/2015/11/25/daesh-isis-islamic-state-why-what-we-call-the-paris-attackers-matters/?utm_term=.4a3bba1bb3c6).

<sup>②</sup> Saltman Erin, Winter Charlie, *Islamic State: The Changing Face of Modern Jihadism*, London: Quilliam, p.13.



在新闻报道中，专有名词的翻译很多时候并非纯粹的语言之间转换对应，而是与意识形态、政治倾向紧密相关。“达伊什”组织宣称要建立一个“纯净的”、有伊斯兰教法统治的“哈里发国”，凭此借口在伊拉克和叙利亚地区攻城略地，肆虐一方，大肆杀害平民和异教徒，对伊拉克多个族裔和宗教团队犯下的各种罪行，包括杀人、酷刑、折磨、强奸、性奴役、强迫改变宗教信仰以及强征儿童入伍，他们将千年古迹炸为平地，肆意破坏文物，试图清除他们所到之处的其它文明，“达伊什”组织种种令人发指的罪行，无疑显示了其“无道”与“不义”，因此，这一组织所宣扬的意识形态和政治、宗教理念无疑是应该被贬斥和谴责的，这一组织对自我名称的定义也是不应该被附和、复制的。国际社会应该站在正确的政治立场上摒弃极端组织的自我定义，而采取正确的译名和译法，以正视听，对民众进行正确的引导。

### 结语

在选择“伊斯兰国”还是“达伊什”译名的问题上，中文媒体如果考虑到政治正确的原则，就应该弃前者，而取后者，以彰显我们反对极端主义和恐怖主义的立场，因为这个将自己命名为“伊斯兰国”的恐怖组织，既非“伊斯兰”，也非“国家”，而仅仅只是一个恐怖主义组织，这已经有了国际社会的共识。尤其是在达伊什组织的主题力量已经被消灭的情况下，基本没有可能成为一个“国”，我们为什么还要称其为“伊斯兰国”？因此，翻译界应该树立起专有名词翻译的政治正确性原则，以后在遇到类似的情况时要考虑这一翻译原则，而不能只考虑“名从主人”的原则，机械地复制非法组织的自我定义，以免给读者造成概念上的混淆。希望这一篇论文不仅能够帮助读者理解“达伊什”组织译名的来龙去脉，使之成为“约定俗成”的译法，而且也希望翻译界能够接受政治正确性的原则，作为专有名词翻译的重要原则之一。



附录：达伊什组织名称变化

年份	阿文名称	拉丁字母转写	英文名称	英文缩写	中文译名
1999-2004	جماعة التوحيد والجهاد	Jama'at al-Tawhid wal-Jihad	Organization of Monotheism and Jihad	JTJ 或 Jama'at	统一圣战组织
2004-2006	تنظيم قاعدة الجهاد في بلاد الرافدين تنظيم القاعدة في العراق	Tanzīm Qā'idat al-Jihād fi Bilād al-Rāfidayn	The Organization of Jihad's Base in the Country of the Two Rivers/al-Qaeda in the Land of Two Rivers	QJTR/TQJBR/AQI/al-Qaeda in Iraq/AQ	两河流域国家圣战组织，伊拉克基地组织
2006	مجلس شورى المجاهدين في العراق	Majlis Shura al-Mujahedin	Mujahideen Shura Council	MSM	圣战者协商委员会
2006-2013	دولة العراق الإسلامية	Dawlat al-'Iraq al-Islāmiyah	Islamic State of Iraq	ISI	伊拉克伊斯兰国
2013-2014	الدولة الإسلامية في العراق والشام	ad-Dawlat al-Islamiyat fi al-'Iraq wa-sh-Sham	Islamic State of Iraq and al-Sham/Islamic State of Iraq and the Levant	ISIS/ISIL/Daesh	伊拉克和沙姆地区伊斯兰国 伊拉克和黎凡特伊斯兰国 达伊什组织
2014至今	الدولة الإسلامية	ad-Dawlat al-Islamiya	The Islamic State	IS	伊斯兰国

**Peculiarità stilistiche de "Il Porto Sepolto" di  
Giuseppe Ungaretti**

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**Abstract :** This article extracted from my master thesis intends to examine "*Il Porto Sepolto*" (*The Buried Port*) by Giuseppe Ungaretti, from a structural - thematic perspective and from the point of view of language and words with a stylistic perspective. Ungaretti was an Italian poet born in Alexandria of Egypt to parents from Lucca, who later was educated in Paris. The study starts from the analysis of the roots of the poet, a precursor of the poetic movement of Hermeticism. Roots deeply set in Egypt, his birthplace, marked by the presence of the desert and of the Nile, but also in Italy, the land of his parents that later welcomed him, and in France, at that time a cultural crossroads of extraordinary importance, country that put him in contact with the poetry of Baudelaire and, above all, of Mallarmé. From this cultural synthesis, which does not exclude the influence of Futurism, emerges the collection entitled "*Il Porto Sepolto*", a diary in verses that describes, albeit not in a systematic way, the devastating and traumatic experience of the First World War, in which the poet-soldier Ungaretti participated, and, above all, that examines the human condition.

**Keywords:** Giuseppe Ungaretti – *Boried Port* - Renewal of the Italian poetic language - Stylistic peculiarities – Ungarettian wordings

**Abstract:** Il presente articolo intende esaminare "*Il Porto Sepolto*" di Giuseppe Ungaretti in un'ottica stilistica. Ungaretti è un poeta italiano nato ad Alessandria d'Egitto da genitori lucchesi e formatosi a Parigi. Lo studio parte proprio dall'analisi delle radici del poeta, precursore della corrente poetica dell'Ermetismo: dalle radici che affondano nell'Egitto, sua terra natia, luogo contrassegnato dalla presenza del deserto e del Nilo; ma anche nell'Italia, terra dei genitori, che lo accolse più avanti nel tempo; e in Francia, a quel tempo crocevia culturale di straordinaria importanza, che lo mise in contatto con la poesia di Baudelaire e, soprattutto, di Mallarmé. Da questa sintesi culturale, che non esclude anche l'influenza futurista, emerge la raccolta intitolata "*Il Porto Sepolto*", diario in versi che descrive, sia pure non in maniera sistematica, l'esperienza devastante e traumatica della Prima Guerra Mondiale, a cui il poeta-soldato Ungaretti partecipò, e soprattutto la condizione umana.

**Parole chiave:** Giuseppe Ungaretti - il Porto Sepolto - Rinnovamento del linguaggio poetico italiano – Peculiarità stilistiche – La parola ungarettiana

### **Introduzione**

Ungaretti nasce ad Alessandria d'Egitto ed a 24 anni lascia l'Egitto e si stabilisce a Parigi dove conosce Papini, Soffici e Palazzeschi che lo invitano a collaborare a "Lacerba" allo scoppio della guerra. Viene chiamato alle armi e viene mandato sul Carso, soldato semplice del diciannovesimo Reggimento di Fanteria. Nel dicembre del 1916 pubblica "*Il Porto Sepolto*" a Udine in edizione limitata di 80 copie con l'aiuto di Ettore Serra, giovane ufficiale del Commissariato.

Nel 1942 l'editore Mondadori pubblica tutte le sue opere con il titolo "*Vita d'un uomo*". Muore a Milano il 02 giugno 1970.

L'oggetto di tale ricerca si concentra su quella raccolta di poesie della versione definitiva pubblicata nel 1969 dall'Arnaldo Mondadori con il libro intitolato "*Vita di un uomo. Tutte le poesie*" con alcune varianti del poeta. In questa edizione, l'opera comprende trentatré poesie.

"*Il Porto Sepolto*" di Ungaretti è una raccolta poetica che porta delle varie innovazioni stilistiche nata in un clima bellico. Il poeta modificò in profondità il modo di fare poesia nei primi anni del Novecento.

La raccolta è il capolavoro del poeta, uno dei vertici della poesia italiana di tutti i tempi. Egli rinnova la poesia italiana sia dal punto di vista formale e tematico che linguistico. Sconvolge i canoni lirici tradizionali, distruggendo il verso. Rifiuta le consuete strutture ritmiche e strofiche e abolisce la punteggiatura. Usa gli spazi bianchi come pause che creano ovviamente una sensazione esplosiva. La parola ungarettiana è pregnante e colpisce fin dall'inizio.

In questo studio, metto in evidenza le particolarità stilistiche sia tematiche e linguistiche che formali della raccolta poetica, rivelando le innovazioni poetiche.

La poesia è rarefatta e priva di forma. Questa poetica non apporta delle modifiche e delle innovazioni solamente sul piano strutturale, ma anche su quello linguistico.

Ungaretti introduce nella poesia italiana delle autentiche innovazioni formali e lascia al mondo poetico italiano un modello stilistico rimasto insuperato nella produzione poetica a lui suggestiva, una lirica in grado di accostarsi ad una poesia intima.

Ungaretti usa delle semplici parole adeguate al momento storico della Prima Guerra Mondiale, ma nel contempo significative. Il valore della vita appare contrapposto al suo annullamento, alla morte insomma e forse anche alla poetica narrativa perché la morte è un momento naturalmente triste che simboleggia la negazione dell'esistenza ed elimina anche la continuità della poetica stessa.

In effetti, questo sentimento doloroso è accompagnato da uno stile particolare. Il poeta, usando la brevità dei versi, riesce a rendere pregevole magistralmente la parola poetica che appare sempre in una posizione di

assoluta centralità. La morte appare un segreto nella nostra vita, così come la poesia ungarettiana diventa un segreto da interpretare.

### 1. Aspetti tematici

In questa sezione, parlerò delle varie caratteristiche tematiche de "*Il Porto Sepolto*", portando degli esempi evidentemente chiari estratti dall'opera. Tali estratti sono ovviamente dei campioni che riflettono praticamente le tematiche principali delle poesie ungarettiane.

La raccolta è caratterizzata da molteplici aspetti tematici fra cui vengono, in primo luogo, i ricordi del poeta. Oltre a questi ricordi, si può aggiungere la tematica della vita e della morte, della parola e del silenzio, della leggerezza e della pesantezza e quindi della luce e del buio.

Ad esempio, nella poesia intitolata "IL PORTO SEPOLTO" [1] che porta un titolo zero cioè lo stesso della poetica "*Il Porto Sepolto*" (p.23), il tema fondamentale dei versetti è la poesia come immersione nelle profondità dell'io, l'ascolto delle radici nascoste della vita e la disperazione della poesia al lettore.

La poesia resta in Ungaretti come un mistero insondabile. Non trova nulla all'animo umano perché il cuore dell'essere umano è un segreto che non esaurisce. Esiste un miscuglio tra luci e ombre.

In questi primi versi della poesia eponima troviamo una tematica che riguarda le luci, la leggerezza.

Vi arriva il poeta  
e poi torna alla luce  
e li disperde (p.23)

Nei versi finali, invece, troviamo il contrasto: la pesantezza. Si tratta di una tematica fondamentale dell'opera.

Di questa poesia  
mi resta  
quel nulla (p.23)

Quindi, secondo Ungaretti, la poesia deve comprendere un segreto così come la nostra vita che porta un mistero inesauribile.

Infatti, i ricordi si incrociano con le altre tematiche. La dicotomia della leggerezza e della pesantezza è una tematica essenziale ne "*Il Porto Sepolto*".

*"Il titolo, Il Porto Sepolto, implicitamente allude alla pesantezza, o, a guardar meglio, a una commistione tra pondus e levitas: il porto è infatti una struttura architettonica che unisce terra e mare, una struttura che rinvia alla pesantezza dei moli e dei frangiflutti, ma al contempo abbraccia e si compenetra con l'elemento equoreo, che si connette al campo semantico della leggerezza."* [2]

La contraddizione esistente tra le tematiche dell'opera di Giuseppe Ungaretti ne "*Il Porto Sepolto*" verte anche sulla parola e sul silenzio così come la vita e la morte o la leggerezza e la pesantezza come lo afferma Daniela Baroncini che collega il tipo di questa scrittura con il tema della parola e del silenzio nel senso che c'è un rapporto tra la parola e il silenzio, tra i versi scritti come blocchi e gli spazi bianchi. [3]

In effetti, si tratta di una contraddizione tra il grido e il silenzio. A questo proposito, si può dire che la formazione del poeta – nato e cresciuto ad Alessandria d'Egitto nel quartiere periferico di Moharrem Bek – è tra l'oasi e il deserto egiziano da una parte e gli studi giovanili e l'esperienza parigiana delle avanguardie dall'altra. È un influsso molto evidente.

Il deserto e il mare sono in continuo contatto e contrasto. Il primo è statico e sembra immutabile. Sembra un luogo di ispirazione poetica che canta la sorte umana, la morte, e l'atro, invece, è in agitazione e rinnovamento. Ungaretti dice:

*"Sono d'Alessandria: altri luoghi d'oriente possono avere le mille e una, Alessandria ha il deserto, ha la notte, ha il nulla ha i miraggi, la nudità immaginaria che innamora perdutamente e fa cantare a quel modo senza voce che ho detto."* [4]

I temi principali dell'opera provengono ovviamente dall'ispirazione poetica del poeta Ungaretti. Egli nasce e cresce nel deserto in cui sorge l'ispirazione e la tematica della contraddizione: la vita e la morte o la luce e il buio. Ungaretti dice: *"Due almeno degli elementi che contribuiscono a formare la mia ispirazione mi vengono dal deserto e sono il sentimento della schiavitù carnale [...]. L'elemento di vita e anche l'elemento tragico del deserto è la luce [...]. Tutto è precario. Ero in preda, in quel paesaggio, di quella presenza, di quel ricordo, di quel richiamo costante, della morte [...]."* [5]

Ungaretti nasce in una famiglia da Lucca e si contrappone in due paesaggi assai diversi. Il primo paesaggio è desertico e il secondo, invece, è pieno di segni d'arte e della presenza molto innovatrice e civile dell'uomo. Il paesaggio del Carso è un deserto di verde e quindi cadono tronchi e alberi interi e vite umane.

La tematica principale sorta dal paesaggio di nascita del poeta, viene anche dalla sua esperienza bellica.

*"[...] questo tema della morte, vista come naufragio dei sogni nella guerra interiore, con la complementare esperienza della morte quotidiana nella guerra fisica, durante il periodo sul fronte carsico e poi francese."* [6]

Secondo Ungaretti, la vita comprende la morte. L'esperienza bellica della morte quotidiana spinge il poeta-soldato all'amore per la sopravvivenza. Questo elemento tematico appare essenziale nella poetica ungarettiana così come emerge sia nella poesia "SONO COME UNA CREATURA" [7] (La morte / si sconta/ vivendo) sia in "VEGLIA" (Ho scritto/ lettere piene d'amore/ Non sono mai stato/tanto/attaccato alla vita). (p.25)

Baroncini afferma che la sua poesia è quella : *"[...] dell'essenzialità fulminea, dei bianchi eloquenti, cannubio inedito di assenza e presenza, annientamento e affermazione dell'essere, oblio e memoria, percezione del nulla e slancio vitale."* [8]

Leone Piccioni alla prefazione nel libro, oggetto dello studio che introduco, afferma che *"il deserto in cui si muove, s'agita da bimbo e da*

*ragazzo dove colloca i suoi primi fantasmi, è un deserto - si veda, di continuo, nel suo lessico – pieno di miraggi e di oasi."* [9]

Possiamo dire che la nuova musicalità di Ungaretti nasce dalla sua origine dal deserto. Il deserto ha un senso di silenzio, di vuoto e di morte. È un luogo pieno di immagini oltre alla sensazione di una profonda solitudine.

In poche parole, *"Ungaretti poteva a ragione scoprire già nella tradizione i precorrenti (immagini, ricordi, sensazioni) della sua poesia [...]"* [10]

Osserviamo evidentemente tali ricordi nei seguenti quattro canti: IN MEMORIA (p.21), VEGLIA (p.25), SILENZIO (p.33), ed I FIUMI (pp.43-45). In queste poesie, *"[...] il poeta Ungaretti scopre se stesso, le proprie origini, la propria psicologia, il proprio pensiero, la propria arte."* [11]

Fin da piccolo, Ungaretti non vive una vita facile. La sua è una vita assolutamente dura. Egli perde il padre quando ha solo due anni. Ogni settimana va con sua madre alla tomba del padre per ricordarlo. Quindi, da bimbo, la sua vita è ben legata ai ricordi.

In "SILENZIO" (p.33) si nota una vera e propria riflessione sull'origine e sull'influsso del poeta per quanto riguarda il tema fondamentale dell'opera legato ovviamente al tipo della scrittura caratterizzato dagli spazi bianchi.

In tale poesia, Ungaretti descrive Alessandria d'Egitto, città natale del poeta, come una città piena di sole in un silenzio assoluto dove si sente il limbo delle cicale. ( Nel cuore durava il limbo/ delle cicale/ Dal bastimento/ verniciato di bianco/ ho visto/ la mia città sparire).

Egli ricorda la sua terra nativa e la avvicina al doloroso presente.

*"Domina anche qui la presenza lancinante del sole, di cui nell'anima rimane il ricordo nell'assordante suono delle cicale e negli occhi il bianco della nave."* [12]

Il Silenzio è un ricordo di un passato strabiliante e gioioso che riemerge sullo sfondo buio del presente drammatico. È come una luce nel buio.

*"[...] Egli ha sempre mantenuto un caro ricordo: di uomo legato alla città che lo ha visto nascere e crescere; di poeta che ha trovato, nei paesaggi che la cingono, i primi temi d'ispirazione (il deserto con i suoi figli beduini, i miraggi), [...]"* [13]

I ricordi di Ungaretti penetrano non solo nella sua mente, ma anche nel suo cuore. Lo accompagnano in tutti i momenti e non se ne distaccano mai nel corso della sua vita. Tali ricordi non sono provvisori. Infatti, vivono dentro di lui fino alla sua morte.

I ricordi ungarettiani hanno un significato più ampio di quello che immaginiamo nella parola stessa. Essi hanno un significato profondo così come le sue parole semplici trovate nelle poesie ermetiche: parole considerate brevi e semplici, ma comprendono un senso profondamente denso ed una grande sensazione umana.

Nella poesia intitolata "SILENZIO" (p.33), il poeta parla della sua appartenenza e tratta il suo ricordo nostalgico della sua terra natia: Alessandria d'Egitto. È una poesia nostalgica e autobiografica per eccellenza.

Il poeta ricorda il passato lieto nel presente infelice. È, senz'altro, una contraddizione poetica assai evidente fin dall'inizio. Sulle alture del Carso durante i combattimenti scrive tal ricordo, iniziando con (Conosco una città) (p.33), Alessandria d'Egitto che rappresenta la sua terra natia.

Il ricordo ungarettiano in questa poesia è molto profondo e affettuoso. Il suono delle cicale penetra nella sua anima quotidianamente. È una nostalgia armonica, emotiva e continua per tutta la vita del poeta. La sua conoscenza della città, dove nasce e cresce, vive dentro di lui e cresce con il passar del tempo.

La visione, la conoscenza decisiva, il suono e il color bianco della nave costruiscono un aspetto molto importante nel corso della narrazione poetica di Ungaretti. Egli vive, non sente; conosce, non sa da nessuno; e finalmente sente il suono che si ripete nelle sue orecchie. Questa profondità e densità è molto precisa, descrittiva, numerosa di dettagli: suoni, colori e luci.

L'esordio de "*Il Porto Sepolto*" è la poesia "IN MEMORIA" (p.21) in cui il poeta ricorda il suo caro amico che "*S'è ucciso. Sul comodino aveva posato la sigaretta. L'anno trovato morto, vestito, steso sul letto, sereno, sorrideva. Hanno trovato la sigaretta spenta sul comodino. Aveva distrutto tutte le sue carte, manoscritti di novelle e di poesia, nel più puro francese [...]*" [14]

Il ricordo di Mohamed Sceab non è casuale o capita improvvisamente secondo le circostanze. Però, possiamo dire che l'amico, per Ungaretti, vive ancora e vivrà per sempre nel cervello e nel cuore. Racconta, con dei termini ben selezionati e delle parole assai semplici e dei versi molto brevi e significativi, Mohamed Sceab e dichiara la sua provenienza e il motivo di suicidarsi.

Ungaretti vuole non solo ricordare e raccontare poeticamente il suo amico, ma ha l'intenzione di andare al di là di questo. Egli parla esplicitamente del suo amico Sceab, il primo arabo nella poesia italiana, e vuole commemorarlo per tutta l'umanità.

Sono tanti e precisi gli aspetti che testimoniano la condizione e l'esistenza del suo caro amico: il titolo stesso della poesia "IN MEMORIA" (p.21) e poi il sottotitolo con il luogo e la data della scrittura del canto.

Oltre a ciò, il ricordo del nome della via (a Parigi / dal numero 5 della rue des Carmes) e (riposa nel camposanto d'Ivry sobborgo). (p.21). Il nome della via, dove abitano insieme tutti e due, e quello del cimitero, dove è sepolto Sceab, forniscono gli elementi essenziali di una testimonianza efficace e reale nella storia e nella memoria dell'umanità intera.

Il poeta vuole accennare il destino di chi ha l'intenzione di vivere e interagire in un'altra cultura. Sceab mutando il suo nome in un altro

francese, Marcel, non si sente un cittadino francese e non può cantare le sue sofferenze come Ungaretti per salvarsi. Per il poeta scrivere poesie è uno sfogo interiore dello spaesamento e delle amarezze della vita.

Si può notare un'altra tematica assai importante la quale riguarda l'umanità e il destino delle persone. Dalla poesia intitolata "IN MEMORIA" (p.21) Ungaretti desidera veramente rendere eterno il suo amico di cuore. E lascia a tutte le prossime generazioni mettere luce alla sorte e al costo di chi vuole vivere in un'altra patria. Il costo è perdere la propria vita.

*"[...] e il ricordo dei miei giovani compagni che furono suicidi, sono ricordi che mi rimarranno sempre nella mente tra gli stimoli più commoventi del mio animo."* [15]

Ultimamente, tale tematica (l'immigrazione) è attualissima e assai presente e ci sarà per sempre sulla Terra: l'integrazione di migranti si ripete fino ai nostri giorni d'oggi.

*"[...] una testimonianza sulla crisi della civiltà che saranno preoccupazioni ungarettiane maturate più tardi."* [16]

Bisogna accennare che Ungaretti stesso fa il percorso migratorio ma non ha lo stesso destino di suicidarsi, essendo un poeta e sapendo mettere le sue emozioni nella scrittura oltre a ritrovare la propria patria d'origine.

Ungaretti riesce ad eternare con le sue parole poetiche il suo amico dicendo (forse io solo / so ancora / che visse). (p.22). Infatti, è una testimonianza drammatica che rimane nella memoria dell'umanità e nel frattempo convive con il poeta.

La poesia intitolata "VEGLIA" (p.25) testimonia la condizione umana drammatica della Prima Guerra Mondiale. Essa tratta il ricordo di un compagno del poeta in trincea da una parte e dare luce al destino che l'uomo riceve a causa delle cattive abitudini da un'altra parte.

In tale poesia, Ungaretti mette in risalto il tema bellico attraverso l'esperienza tragica della Guerra e il contatto quotidiano con la violenza e con la morte. Il suo compagno viene ucciso durante un combattimento. Anche questo compagno resta e vivrà nel cuore del poeta tutti i giorni. Questa volta, resta con il cadavere sulla terra senza averlo ancora sepolto per mettere in evidenza una sorte che riguarda tutti gli uomini soprattutto nei momenti della guerra.

*"[...] si introduce il tema bellico, che farà pensare al diario di guerra, dell'esperienza in trincea. Il nuovo scenario irrompe e s'accampa drammaticamente ancora sotto il segno della morte: e ancora una volta ad essa il poeta oppone l'esperienza, la consolazione, la vita della scrittura [...]"* [17]

Tali momenti vengono creati dagli uomini e sono loro che ne pagano le conseguenze. Il cadavere insepolto mette luce e la maggior concentrazione dei lettori a queste azioni tragiche e alle sofferenze umane. Egli usa delle parole semplici, ma che riflettono la tragedia e il suo peggior stato d'animo.

Fra gli elementi della natura in questa poesia è la luna, anzi la luna piena ha un senso profondo nell'indizio ungarettiano. (Volta al plenilunio)



(p. 25) è un modo di fare la testimonianza temporale della morte feroce del suo amico.

Questa scelta del momento è preciso per evidenziare che tutta l'umanità passa a questa sorte cioè alla morte. La morte è un concetto tragico e un destino per tutti gli uomini. Però, la morte del compagno è feroce a causa di un fatto umano: la Guerra, i combattimenti. La luna piena diede luce non solo al cadavere di Ungaretti in quel momento ma a tutta l'umanità. La luna diventa in un certo momento completa con le sue luci perfettamente luminose e poi se ne va e gira e rigira così come il destino degli uomini che, in un certo momento, se ne vanno e muoiono e vengono sepolti. La vita muta sempre, non è mai intatta.

La parte finale della poesia rispecchia il valore della vita, il significato della vita da parte del poeta. Egli dice: (non sono mai stato / tanto / attaccato alla vita). (p.25). Essa riflette, quindi, la natura degli esseri umani che non può comprendere certe cose o certe emozioni o certi sensi della vita, solo dopo essere perduti.

C'è da accennare infine che il titolo "VEGLIA" (p.25) rispecchia il sentimento turbato nell'anima del poeta. La veglia agitata e non è mai considerata temporanea o provvisoria, ma è dura e continua nella mentalità e nel cuore di Ungaretti.

Il suicidio del suo amico Scaab e la morte del suo compagno in Guerra riflettono le condizioni dure della morte e che prima o poi tutti saranno massacrati e suicidati e la luna piena, con le sue luci, testimonia questo pensiero poetico assai nobile.

L'appartenenza di Ungaretti non è solo alle persone care inserite nel suo cuore, ma anche alle sue terre su cui vive una vita non facile. La sua è una vita piena di sofferenze ed è legata proprio alle persone con cui ha un rapporto caloroso e affascinante.

In questo caso, lui è un testimone vero e proprio delle due vicende dolorose. Non può salvare né l'uno né l'altro. È un dolore rigoroso. Racconta, ricordando dei sentimenti e delle emozioni con delle espressioni e dei termini di tristezza poiché perde i due suoi cari e non possono ritornare alla vita.

È una disperazione che gli fa ricorrere all'uso di certe parole semplici perché egli scrive nel momento della Guerra e nel frattempo sono ben significative.

Sentito il valore della vita e forse anche così come quello della poetica narrativa perché la morte è un momento naturalmente triste che diventa contro l'esistenza, contro la vita e contro la continuità. La morte è un segreto nella nostra vita così come la poesia ungarettiana.

È una testimonianza per dire che questo amico, il cittadino del mondo, non sopporta lo spaesamento e si suicida e l'altro invece muore tragicamente. È la miglior documentazione nella storia dell'umanità delle due vicende.

L'identità ungarettiana è formata e ben legata a questa appartenenza alle sue terre, a tutte le sue esperienze tanto che vive per lunghi periodi in tre continenti: l'Africa, l'Europa e l'America del Sud.

Dall'alto della collina di Cotici, guardando il fiume dell'Isonzo, Ungaretti scrive "I FIUMI" il 16 agosto del 1916 (p.43). Tale poesia si considera la più importante nel percorso ungarettiano nella vita perché ricorda i quattro fiumi i quali rappresentano le tappe della sua vita usando propriamente una tecnica narrativa tipica del flashback di un racconto breve così come i suoi versi prevalentemente brevi.

*"[...] il poeta presenterà sempre i fiumi come la propria carta d'identità [...]."* [18]

Essi riassumono le fasi che lo formulano come un uomo saggio o un poeta. Il ricordo è caratterizzato dalle tracce narrative tipiche di un racconto: l'uso dell'io narrante, la tecnica del flashback ed i simboli metaforici che riflettono l'autobiografia del poeta. Tutti questi elementi rendono la poesia più narrativa reale di un vero e proprio racconto da cantare.

Praticamente nel mezzo del racconto poetico, dopo aver iniziato con le sue azioni, i suoi movimenti della mattina, usa il passato compiuto per l'avvicinamento all'attuale presente.

L'ordine normale e adeguato alle fasi della vita del poeta riflette la precisione narrativa del suo racconto: dalle origini, dalla nascita, passando alla formazione culturale a Parigi fino all'Isonzo, in Friuli Venezia Giulia. I fiumi, ognuno ha un ruolo nella sua esistenza di persona o di poeta. Figura i fiumi come se fossero le persone che lo fanno nascere e crescere: (mi ha visto, nascere e crescere) (p.44).

Egli usa l'elemento deittico (Questo e Questi) per indicare che questi quattro luoghi riferiscono come un collegato positivamente sotto forma di coincidenza, inclusione e vicinanza. *"Avvalorano inoltre la sostanza diaristica e documentaria del libro"* [19]

Oltre a voler risaltare la testimonianza del luogo della sua esistenza, ogni fiume ha un proprio ruolo nella formazione del poeta: il Serchio riferisce alle origini, la terra degli antenati; il Nilo riferisce alla sua nascita dai suoi genitori ad Alessandria d'Egitto; la Senna riferisce alle persone o meglio dire i letterati che esercitano influenza su di lui; e alla fine l'Isonzo che lo sta guardando come se fosse un amico per raccontargli la sua storia e la sua esistenza.

*"[...] è una poesia che tutti conoscono ormai, è la più celebre delle mie poesie: è la poesia dove so finalmente in un modo preciso che sono un lucchese, e che sono anche un uomo sorto ai limiti del deserto e lungo il Nilo. E so anche che se non ci fosse stata Parigi, non avrei avuto parola; e so anche che se non ci fosse stato l'Isonzo non avrei avuto parola originale."* [20]

Le acque dei fiumi di Ungaretti simboleggiano ovviamente l'elemento essenziale della vita dell'essere umano in generale e le esperienze del poeta, attraverso il ricordo dei quattro Fiumi legati alla sua anima, in particolare. In un altro senso, egli non è in grado di vivere senza il sentimento caloroso accompagnato per sempre da tali esperienze che lo formano.

I quattro fiumi che il poeta ricorda nella poesia hanno un significato per lo più della volontà nella vita da un lato e delle numerose esperienze caratterizzate da una grande amarezza da un altro lato.

Posso dire, alla fine di questa sezione di studio, che i ricordi degli amici, delle persone e dei luoghi arricchiscono le tematiche della poesia e costruiscono evidentemente la vita di Ungaretti: *Vita di un uomo*.

## 2. Aspetti strutturali

In questa parte del mio studio, verranno trattate le caratteristiche de "*Il Porto Sepolto*" da un punto di vista strutturale. Ungaretti riesce a modificare i versicoli della poesia italiana nei primi anni del Novecento. Egli distrugge i canoni della struttura poetica italiana a quell'epoca. La struttura modificata dal poeta nella poesia italiana rende difficile e ambiguo il significato al lettore. Il poeta è un testimone vero e proprio della ferocia della Prima Guerra Mondiale (luglio 1914 - novembre 1918) e vuole segnalare all'umanità, con delle parole semplici, significative e allusive, i danni inferti dai combattimenti sia sull'animo che sul territorio.

*"Dall'esperienza della guerra nascono le liriche del Porto Sepolto (la prima è datata 22 dicembre 1915) come esatto ed asciutto diario cronologico-spirituale, testimonianza umana e poetica di una riconquista: quella del canto, della parola sillabata."*[21]

La poetica ungarettiana è generalmente considerata autobiografica, incentrata su qualche aspetto dell'esistenza del poeta stesso, sui suoi sentimenti, sulle sue emozioni, sulle sue esperienze di vita e sui suoi dolori. Quindi, non è una poesia astratta, ma è la poesia dell'uomo, della sua esistenza concreta.

*"[...] la storia della sua poesia non sarebbe stata altro che un diario, la storia della propria vita, un'autobiografia scritta, pur d'impeto, sempre, e di necessità."*[22]

È una scrittura poetica caratterizzata da un filone diaristico legato all'esperienza bellica a partire dalla maggior parte dei titoli. In ciascuna poesia, in calce al titolo, vengono scritti il luogo e la data esatta della scrittura. L'ordine delle poesie non asseconda alle date della scrittura né ai luoghi in cui sono scritte.

*"L'esibizione di indicazioni di data e luogo in calce ai testi può paradossalmente convivere con - e anzi favorire/legittimare - una estrema rarefazione degli indici di situazionalità all'interno delle poesie."*[23]

Le indicazioni della data e del luogo in cui vengono scritte le poesie rappresentano una dimensione extratestuale. La dimensione è, quindi, uno spazio-temporale molto precisa. A livello formale il genere poetico-lirico dell'opera è di un diario in versi.

Ogni poesia ne "*Il Porto Sepolto*" è scritta con l'indicazione di una sola data e il lettore praticamente pensa che la composizione si realizza in una sola giornata. Infatti, vediamo alcune poesie in calce hanno la stessa data. Dunque, le date sono quasi casuali. In alcuni casi, le indicazioni diaristiche della poesia non hanno una precisa valenza sia biografica che storica. Il "*LINDORO DEL DESERTO*" (p.24) ad esempio fu datata il 22

dicembre non ha nessun riferimento alla guerra. Invece, "VEGLIA" (p.25) è datata in trincea il giorno successivo dopo un lungo periodo di riposo.

Possiamo dire che il diario in versi del poeta sembra uno stilistico elemento strutturale de "Il Porto Sepolto". Esso rappresenta un racconto poetico delle esperienze del poeta-soldato per cui utilizza la tecnica del flashback come si nota evidentemente in "I FIUMI". *L'importanza le deriva: dal flashback sulle proprie esperienze di arte e di vita a cui dà luogo l'incontro contingente di Ungaretti con l'Isonzo, [...]* "[24]

Riguardo alla rottura della struttura ritmica e linguistica, si può dire che penetra il mistero delle cose attraverso la nuova parola poetica del primo Novecento. Dobbiamo tener conto che la sua poesia verte sulla "parola" e non dipende assolutamente dal discorso.

Possiamo dire che si tratta di una parola incisa o scolpita come quella sulle tombe o su altri monumenti per commemorare o celebrare persone o avvenimenti.

Si nota che il poeta si concentra *"nel distruggere il verso, nel cercare i nuovi ritmi, prima di tutto mirò alla ricerca dell'essenzialità della parola, alla vita segreta."*[25]

Dunque, possiamo dire che la sua nuova poesia è caratterizzata dalla brevità del verso basandosi sulla parola.

*"[...] la scelta di una brevità di verso e di composizione, che dalla tecnica si trasferisce nel linguaggio alla sostanza espressiva con uno scavo nel linguaggio, spinto fino a toccare il nucleo originario della parola."*[26]

Tale raccolta poetica, caratterizzata dall'uso dei versi brevi e degli spazi bianchi che colpiscono fin dall'inizio, effettua, inoltre, una vera e propria rivoluzione in: punteggiatura, rime, strofe, metro e numero dei versi. Teneva insomma alla semplificazione della sintassi. Essa è:

*"[...] capace di prescindere del tutto dalla versificazione tradizionale italiana per rifondarne una tutta personale o tutt'al più, di partire a volte da versi regolari italiani solo per frantumarli in più versi brevissimi, che non sono semplicemente versi, quanto nuclei elementare del discorso (pochissime parole o una parola isolata), esaltati proprio dal loro isolamento tipografico."*[27]

Lo spazio bianco tra le strofe dà una visione estremamente drammatica al lettore in alcune poesie. Il lettore dovrebbe avere una pausa per poter continuare la lettura. Ad esempio, in "VEGLIA" (p.25), la poesia è divisa in due strofe. La prima racconta la scena drammatica del cadavere-amico del poeta. Ungaretti scrive lettere piene d'amore. La seconda strofa raccontò in tre versetti l'attaccamento del poeta alla vita. Tra il dramma e il valore della vita o meglio dire la bellezza di essere sopravvissuti dovrebbe pensarci mediante gli spazi bianchi.

*"[...] spezzare il metro significava, per Ungaretti, isolare la parola, la sillaba meglio, lasciarla vibrare - come straniata dal suo logoro uso quotidiano - nel vuoto metrico, nello iato della distassia, come fosse pronunciata per la prima volta, come se tornasse, [...]"*[28]

La brevità dei versi riflette spesso l'oscurità e l'incomprensibilità. La parola poetica appare sempre in una posizione di assoluta centralità. Rifiuta la lunga narrazione e impiega parole semplici e versi brevi. Una sola parola può costituire un verso per esprimere lo stato d'animo del momento. Baroncini dice in questo ambito che *"Egli ha rinnovato in maniera radicale il linguaggio lirico italiano. Ha inventato profondamente il linguaggio poetico con l'abolizione della punteggiatura, la disarticolazione sintattica, la frantumazione del verso in nomadi verbali rarefatte sino al silenzio. Così sillabata, staccata in pause e come sospesa nel vuoto [...]"* [29]

La brevità non riguarda solo i versi ma anche i blocchi di versi, le strofe. In "MALINCONIA" (p.37) troviamo la parola "Mondo" che costruisce un solo verso e anche un'intera strofa.

Una sola parola nella poetica di Ungaretti è in grado di comporre una visione completa del poeta nei riguardi della nostra vita. Inoltre, troviamo in "FRATELLI" (p.39) una sola parola che ha la stessa funzione precedente.

*"Si sa che tra la parola e ciò che si vuol dire c'è sempre un divario enorme, anche quando magari sembri piccolissimo. [...] Dirò dunque che cercavo l'approssimazione meno imprecisa, la riduzione, per quanto possibile, di quel divario ineliminabile."* [30]

Da Mallarmé, Ungaretti prende la frantumazione metrica e sintattica con l'uso dei bianchi che assumerono importanza e colpirono dall'inizio, o alla prima lettura.

Baroncini afferma che *"l'eloquenza dei bianchi che accentuano l'assolutezza della parola circondandola di silenzio risale a Mallarmé"* [31]

L'influsso di Mallarmé è evidente nella forma e nel mistero della parola. La poesia deve avere un segreto.

La brevità dei versi rimanda anche all'Haiku giapponese divulgato in Italia dalla rivista "La Diana" diretta dal suo amico Gherardo Marone.

Dai silenzi di Mallarmé e dall'abisso di Baudelaire nasce la poesia ungarettiana e tenta di illuminare l'oscurità ed esplorare un mistero inafferrabile.

Gli spazi bianchi nelle pagine dei componimenti poetici del poeta colpiscono fin dall'inizio ciascun lettore. Quindi, le parole sono isolate e circondate da un mistero, dal pieno e dal vuoto, dalla presenza e dall'assenza, dall'essere e dal nulla.

*"I bianchi in effetti, assumono importanza, colpiscono fin dall'inizio; la versificazione li pretese, come silenzio intorno, in modo abituale [...]"* [32]

Ungaretti utilizza dei versi spezzati. I futuristi sono i primi a spezzare i versi. Marinetti nel Manifesto dei futuristi esalta la distruzione della sintassi, l'immaginazione senza fili, le parole libere. Tutto questo lo notiamo ne "Il Porto Sepolto" in particolare la disarticolazione metrica della sintassi, l'assenza della punteggiatura e l'uso insistito dell'analogia.

Le poesie sono suddivise in blocchi di versi. Tra questi blocchi esistono degli spazi bianchi che causano delle pause al lettore per l'ammirazione, pensando a questi blocchi di storie piene di vicende umane.

La punteggiatura assente - ma si esclude la presenza di pochi interrogativi - crea un'atemporalità. Infatti, la presenza della punteggiatura crea un ritmo del tempo e la sua assenza sembra un segno dell'immersione in un tempo diverso, infinito e assoluto.

La funzione della punteggiatura si riassume in spaziare e ritmare il pensiero del poeta. La distruzione della punteggiatura implica la volontà di dissolvere il tempo quotidiano e di inserire le immagini poetiche in una atemporalità in assoluto.

Infatti, la mancanza dell'uso della punteggiatura nei versi, eccetto in pochissimi casi, provoca un'incomprensibilità oltre al mistero perché manca l'intonazione e la melodia dell'enunciato. La poesia non ha le variazioni di tono e non distingue i tipi di frasi diversi: dichiarativa, interrogativa, oppure imperativa ed i valori illocutori relativi.

*"Sul piano interpuntivo, i componimenti di Ungaretti si caratterizzano sin d'allora per l'assenza dei normali segni d'interpunzione (virgole, punti...). Cadono i punti necessari sul piano tonale. Sono dei segni interpuntivi che provocano l'intonazione. Si tratta di una sommersa potenzialità del tutto implicita e mentale."* [33]

In altre poesie, troviamo la mancanza dell'uso del punto interrogativo. In "A RIPOSO" (26), ad esempio, non si usa perché si tratta di un invito da parte del poeta per andare nei campi. Quindi, può darsi che si tratta di una convocazione a una passeggiata all'inizio della poesia.

Si osserva che, dal punto di vista formale, le maiuscolizzazioni tendono ad evidenziare i sottintesi punti fermi. Quindi, ogni componimento poetico è preceduto da un titolo le cui lettere sono maiuscole e un sottotitolo per evidenziare la data e il luogo della scrittura.

Leggendo queste liriche, sentiamo una lentezza estrema causata dalle singole parole. Egli distrugge la punteggiatura e si affida alla forza evocatrice della parola che costituisce una illuminazione della realtà umana. Non è una illuminazione completa perché, secondo Ungaretti, rimane sempre un segreto.

In effetti, le lettere maiuscole attirano l'attenzione e fanno pensare a lungo il lettore. Si usano anche le maiuscole con la stessa funzione all'inizio di ciascuna strofa.

Alla fine di questa parte, vorrei parlare dell'ordine delle poesie che ha, senza dubbio, un significato profondo: la poesia d'incipit e quella d'explicit appaiono come due dediche ai suoi due carissimi amici.

*"La calcolata organicità della costruzione e distribuzione dei testi colpisce innanzi tutto: precede una dedica "in morte del fratello Moammed Sceab" In memoria, chiude l'invio: "Gentile/ Ettore Serra."* [34]

Le due prime e ultime poesie dell'opera riguardano delle questioni di poeticità. Nel mezzo dell'opera si sentono delle memorie d'infanzia, dei sogni, delle speranze e anche delle illusioni.

Il poeta Ungaretti ha il talento di sfogarsi attraverso la scrittura poetica invece del suo amico. Sceab non è capace di integrarsi nella società francese. Questa poesia rappresenta non solo l'inizio della poetica, ma anche il destino sofferente delle persone immigrate.

È una crisi di integrazione. Il suo amico non è morto in guerra, ma in un vicolo parigiano. Ungaretti vuole iniziare la sua opera con una dedica in morte dell'amico per mettere in evidenza sin dall'esordio il problema della morte, una delle tematiche principali dell'opera.

### 3. Lingua e parola

In questa sezione del mio studio, parlerò delle caratteristiche che riguardano le novità poetiche del capolavoro del poeta Giuseppe Ungaretti sia a livello della lingua che a quello della parola.

*"Il Porto Sepolto"* viene scritto durante i combattimenti della guerra per cui *"induceva Ungaretti a riflettere sull'invecchiamento della parola poetica e di conseguenza, sulla necessità di un rinnovamento del linguaggio."* [35]

Ungaretti nella poetica de *"Il Porto Sepolto"* racconta, attraverso i versi caratteristici del movimento ermetico, i vari momenti drammatici occorsigli, ricordandone tutti i particolari e tutte le emozioni suscitate, caratterizzati dalla contrapposizione tra la speranza e la delusione, tra la vita e la morte, tra la luce e il buio. I suoi versi usano un linguaggio particolare in cui la parola poetica appare come avvolta da un segreto inesauribile.

Il significato della poetica ungarettiana sembra difficile, ambiguo e oscuro per il lettore che legge per la prima volta senza sapere benissimo in quale contesto storico, culturale e tematico viene scritta.

La linguistica, però, è semplice e spontanea. Egli propone una poesia con difficoltà e oscurità solo nel significato. La difficoltà sorge da numerose complicatezze psicologiche e dalla novità strutturale delle poesie.

Ungaretti vede che la poesia è poesia quando porta in sé un segreto. Se è decifrabile nel modo più elementare non è più poesia. Anche la poesia che pare semplice è una poesia che contiene un segreto con difficoltà da scoprire.

A questo proposito, IL PORTO SEPOLTO (p.23) alla prima lettura non si capisce a quale porto indica il poeta neanche il rapporto tra quel porto e il contesto storico, ma comprendendolo, il significato della poesia diventa più semplice: si riferisce al porto di Alessandria d'Egitto dove il poeta nasce e vive la sua infanzia.

La vita nel deserto è in effetti oscura così come il linguaggio del poeta. Il mondo desertico ungarettiano è considerato come un'invenzione dell'uomo e il punto d'appoggio sarebbe il mistero che c'è in noi.

La parola del poeta in questo senso tende a suonare di silenzio nel segreto dell'anima umana come ad esempio nella poesia intitolata

(LINDORO DI DESERTO) in cui le parole suonano in un silenzio: (Dondolo di ali in fumo/ mozza il silenzio degli occhi). (p.24).

In tale poesia, il poeta soffre in trincea nel deserto. Il silenzio degli occhi è una sinestesia, occhi immersi nella tenebra e non si vede nulla, ma si affianca l'udito. Nello stesso tempo si aspetta il momento dell'alba.

"*Il Porto Sepolto*" racconta poeticamente l'esperienza di Ungaretti durante la Prima Guerra Mondiale. Il poeta registra le sue sensazioni, i suoi ricordi, le sue riflessioni, le sue origini, la sua identità e la condizione umana a quel periodo orribile.

La poesia ungarettiana " [...] *si volge, sin dall'inizio, verso quel punto, quel nome, nel quale la ricerca dell'interno (del profondo, del sepolto, dell'innanzi nascita) converga con la quiete dell'oltre, con l'esodo: il viaggio verso il "dentro", l'identità, e verso l'alterità, l'ulteriorità [...] di memoria e oblio, della parola alle radici dei significanti [...]*" [36]

La parola poetica del poeta ha una prospettiva verticale e orizzontale. In "*Il Porto Sepolto*" Ungaretti scava negli abissi delle sue origini e del suo "dentro". Si tratta di una discesa in profondità dalla quale riemerge tornando alla luce. Esso è un movimento in maniera verticale.

Possiamo notare nella poesia precedente "IN MEMORIA" (p.21) la parola (discendente) con lo stesso movimento e coincide con il senso semantico della raccolta. In questa poesia, il movimento è in maniera orizzontale: di luogo in luogo. Il tema della morte o del suicidio del suo amico Sceab che vive a Parigi senza patria e senza lingua materna è essenziale nella poetica.

Ungaretti registra anche in "VEGLIA" (p.25) l'essenza della vita. L'orrore della guerra non elimina la vitalità del poeta. In altre poesie, come "LINDORO DI DESERTO" (p.24), "FASE D'ORIENTE" (p.27), "TRAMONTO" (p.28), "MALINCONIA" (p.37), "LA NOTTE BELLA" (p.48), e "ATTRITO" (p.52), il poeta esalta la vita.

Il poeta non registra le azioni belliche in tante poesie. Ne troviamo soltanto in "VEGLIA" (p.25) e "PELLEGRINAGGIO" (p.46). Nella prima poesia il poeta passa la notte accanto a un cadavere per cui scrive all'ultima strofa:

ho scritto

lettere piene d'amore (p.25)

Ungaretti si sente la necessità di scrivere. Nella seconda poesia camminando tra le trincee, il poeta scrive:

ore e ore

ho strascinato

la mia carcassa

usata dal fango (p.46)

Sono pochissimi i versi de "*Il Porto Sepolto*" che conservano i metri tradizionali come (sciogliere/ il canto) (p.21) è un quinario e (Fra l'aria/ del meriggio) (p.32) è un settenario.

Fra gli aspetti linguistici va ricordato l'uso del sostantivo assoluto sia astratto sia concreto senza un articolo e in particolare quello determinativo. Lo osserviamo nella poesia d'incipit de "*Il porto sepolto*"



"IN MEMORIA" (p.21): (emiri di nomadi/ mutò nome/ appassito vicolo in discesa); "LINDORO DI DESERTO" (p.24) (Dondolo di ali in fumo/ Sino alla morte in balia del viaggio/ in braccio mi sporgo/ di lind'oro) notiamo questa omissione dell'articolo nel titolo. Questa tecnica caratterizza il linguaggio ermetico e enigmatico del poeta. In vari versi della raccolta, notiamo evidentemente e in modo abbondante l'omissione dell'articolo come in "TRAMONTO" (p.28) (sveglia oasi); in "A RIPOSO" (p.26) (in sorsi d'ombra lilla); in "FASE D'ORIENTE" (p.27) (di germogli di desiderio); in "ANNIENTAMENTO" (p.29) (di verde in verde/ diffuso di grilli/ cuore/ di spinalba/ di asfalto azzurro/ in volo di nubi); in "STASERA" (p.31) (Balastrata di brezza); in "FASE" (p.32) troviamo nell'ultimo verso questa mancanza dell'articolo (arance e gelsumini); in "PESO" (p.34) (senza miraggio); in "RISVEGLI" (p.36) (di care cose consuete/ gocciolate di stelle); in "MALINCONIA" (p.37) (di corpi a pien'anima presi/ Abbandono dolce di corpi/ labbra rapprese/ in tornitura di labbra lontane/ voluttà crudele di corpi estinti/ in voglie inappagabili/ Mondo/ di pupille amorose); in "FRATELLI" (p.39) (Parola tremante/ Foglia appena nata/ Fratelli); in "PELLEGRINAGGIO" (p.46) (Ungaretti/ uomo di pena) e in "LA NOTTE BELLA" (p.48) (di cuore a nozze).

Oltre alle poesie, si osserva nei titoli l'eliminazione degli articoli. Nella maggior parte dei titoli non troviamo l'uso degli articoli eccetto in pochi casi come "IL PORTO SEPOLTO" (p.21), "C'ERA UNA VOLTA" (p.40), "SONO UNA CREATURA" (p.41), "I FIUMI" (pp.43-45) e "LA NOTTE BELLA" (p.48).

Si nota anche un abbondante uso assoluto dell'articolo indeterminativo come ad esempio nel primo verso di "VEGLIA" (p.25) (Un'intera nottata); in "C'ERA UNA VOLTA" (p.40) (ha un declivio/ come una dolce/ in un caffè remoto/ con una luce fievole); in "I FIUMI" (pp. 43-45) notiamo questo uso abbondante in (in un'urna d'acqua/ e come una reliquia/ come un suo sasso/ come un acrobata/ e come un beduino/ una docile fibra/ una corolla) e in "PELLEGRINAGGIO" (p.46) lo troviamo in (come una suola/ o come un seme/ ti basta un'illusione/ un riflettore/ mette un mare).

"*Il porto sepolto*" è caratterizzato dallo stile nominale. In alcuni versi non si usa un verbo: in "Lindoro di deserto" (p.24) (Sino alla morte in balia del viaggio); in "DANNAZIONE" (p.35) (Perché bramo Dio?); in "MALINCONIA" (p.37) vediamo una mancanza del verbo alla prima strofa della poesia (Calante malinconia lungo il corpo avvinto/ al suo destino/ Mondo); in "FRATELLI" (p.39) troviamo una strofa intera senza un uso verbale (Parola tremante/ nella notte) e nell'ultima strofa troviamo una sola parola senza un verbo (Fratelli); in "SONO UNA CREATURA" (p.41) nella prima strofa costruita da otto versi, troviamo solo l'uso nominale (Come questa pietra/ del S. Michele/ così fredda/ così dura/ così prosciugata/ così refrattaria/ così totalmente/ disanimata) e in "DISTACCO" (p.53) nelle due strofe troviamo lo stesso in (Eccovi un uomo/ uniforme) e (Eccovi un'anima/ deserta/ uno specchio impassibile).

Si usa il sostantivo al plurale al posto del singolare. Questo dà un effetto evocativo di generalizzazione e indeterminazione. Tale effetto viene rafforzato con l'omissione dell'articolo.

La parola di Giuseppe Ungaretti nella raccolta poetica è caratterizzata da molteplici aspetti. Fra questi aspetti, viene in primo luogo, la parola cosiddetta scolpita nel senso incisa. Essa scava nella memoria dell'umanità ed illumina gli aspetti più segreti ed intimi della realtà umana. È come se fosse la luce nel buio.

Ungaretti scrive nelle trincee. Egli è immerso nel fango e nei rifiuti fra gli animali come i topi e gli insetti e fra i cadaveri insepolti.

Infatti, è un'esperienza orribile che ci rivela il rapporto degli esseri umani fra la vita e la morte. La sua è un'esperienza drammatica al fronte: circondato e asfissiato dalla morte.

La parola di Ungaretti ne "*Il Porto Sepolto*" è caratterizzata da una semplicità assoluta. Egli scrive in trincea, tra la vita e la morte, usando parole semplici, ma nel contempo significative e intense. Queste parole rispecchiano proprio lo stato d'animo del soldato-poeta in modo preciso ed efficace. Baroncini afferma da "Ungaretti commenta Ungaretti:

" [...] *io devo dire in fretta perché il tempo poteva mancare [...] se devo dirlo in fretta lo devo dire con poche parole, e se lo devo dire con poche parole lo devo dire con parole che avessero avuto un'intensità straordinaria di significato.*[37]"

Ungaretti è in grado di scegliere, in queste circostanze, una parola pregnante e di emergere dalla pagina bianca e dal silenzio per raccontare l'orrore, le sensazioni, il dramma e il sogno. La parola sembra raccontare l'esperienza bellica perché viene scritta mentre egli, poeta-soldato, si trova al fronte. Diciamo nel pieno delle operazioni terribili.

Quindi, il poeta-soldato Ungaretti scrive ed è consapevole che la sua vita si sarebbe spezzata da un momento all'altro. Proprio per questo tanto più "attaccato/alla vita". (p.25)

La parola poetica ungarettiana ha il potere di eternare la memoria dell'amico Sceab oltre ad alcuni luoghi. "*Il Porto Sepolto*" inizia con "IN MEMORIA" (p.21) e finisce in "COMMIATO" (p.58). Nella poesia d'incipit ricorda il suo amico Sceab ed eterna la sua esistenza tramite le sue parole che scavano nella sua memoria così come scavano sulla lapide del defunto.

E forse io solo  
so ancora  
che visse (p.22)

Queste parole poetiche scavano nella memoria dell'umanità non solo nella memoria del poeta. È un tema globale, quello dell'integrazione degli immigrati in un'altra società. È il caso del suo amico Mohamed Sceab che si suicida perché non si abitua alla vita in Francia.

"*Il Porto Sepolto*" con le sue poesie eterna le persone con cui vive il poeta attraverso il ricordo dei loro nomi e dei luoghi in cui sono vissuti. C'è da accennare che il suo amico Mohammed Sceab è il primo arabo

ricordato nella poesia italiana. Anche il ricordo dell'indirizzo dell'albergo dove sta con lui a Parigi. È una novità sul lato della parola poetica.

I luoghi nella poesia possono essere testimoni degli avvenimenti gravi di cui racconta Ungaretti. Inoltre le parole poetiche raccontano. Possiamo notare che vi sono delle tracce narrative ben chiare.

La parola poetica di Ungaretti è uno sfogo della sua sofferenza. È una poesia dell'uomo di pena. È, quindi, l'unica via della sua salvezza dalla spietatezza dei comportamenti umani. Egli sa sciogliere il canto del suo abbandono:

E non sapeva

sciogliere

il canto

del suo abbandono (p.21)

La poesia ungarettiana è sorta da una immediatezza nuova e in grado di stupire e di esprimere la verità e realtà vissuta. È una poesia scavata nella memoria dell'umanità che illumina gli aspetti più segreti ed intimi della realtà umana. In altre parole, essa è come se fosse la luce nel buio.

Baroncini dice:

*"La poesia è dunque discesa nell'abisso, illuminazione dell'oscurità, tentativo di esplorare un mistero inafferrabile" [ ... ] [38]*

In "COMMIATO" (p.58) si sente anche evidentemente il concetto della parola scavata:

in questo mio silenzio

una parola

scavata è nella mia vita

come un abisso

Queste parole nascono dal cuore e si scolpiscono nella mente del poeta come epigrafi su un granito molto duro. Ungaretti all'epoca pensa con Serra di stamparle in forma epigrafica.

Lo scenario del funerale o del ricordo degli amici o dei luoghi ungarettiani è ben legato alla parola scavata così come alla pietra che è una sintesi della memoria.

*"Quelle poesie nate dal cuore, mi si scolpivano nella mente, parola per parola, come epigrafi, e come in un granito durissimo." [39]*

Non è una parola normale, ma scava nell'animo del poeta così come nel lettore. Anche se la brevità è una delle caratteristiche fondamentali della poesia ermetica ungarettiana, essa riesce a lasciare tracce nell'animo del lettore. È una parola insolita sul terreno della lingua e della tradizione italiana. Appare matura e improvvisa. La parola colpisce fin dall'inizio. C'è da dire che gli spazi bianchi aiutano a realizzare questa sensazione.

Si sa *"che il primo Ungaretti, sulle orme di Mallarme', è continuamente alla ricerca della parola essenziale. La ricerca della parola nucleare è per lui strettamente legata alla ricerca del ritmo del suono." [40]*

Egli deve dire in fretta e in poche parole. Tale parola ha anche un'intensità straordinaria di significato. Il poeta sceglie con accuratezza e attenzione ogni parola. Per lui l'asciuttezza del linguaggio si deve sposare

alla precisione lessicale. È una poesia versa sulla scelta della parola intensa e scolpita.

La parola può emergere dallo spazio bianco ed essere sillabata come se fosse nuova. Sembra come fosse pronunciata per la prima volta.

La parola scavata è caratterizzata dall'intensità. Il poeta scrive mentre si trova in trincea. Cerca una parola intensa densa di significato.

*"La parola intensa si osserva. L'uso di poche parole piene di significato che dessero la sua esperienza di quel momento."* [41]

La "VEGLIA" (p.25) rappresenta il capolavoro di intensità espressiva ed emotiva che raggiunse il vertice dell'arte del silenzio.

In questa poesia ci colpisce la parola scavata, lapidaria e scolpita. La visione funebre si trasforma in un inno straordinario alla vita.

Possiamo dire che la parola non c'è ancora. La guerra rivela il linguaggio. È un linguaggio scarno, fulmineo, nudo e estremamente intenso. Ungaretti dice:

*"le mie prime preoccupazioni furono di cogliere la parola in istato di crisi, di farla con me soffrire, di provarne tutta l'intensità, di alzarla come una ferita di luce nel buio."* [42]

La scrittura di carattere frammentario e momentario è sorta nell'orrore della trincea e in mezzo agli uomini soli in un paese nudo, terribile e di pietra. Quindi, emergono il senso e il bisogno di una parola straordinariamente assoluta, definitiva e fiorita. Sceglie una parola che è in grado di sorprendere. Daniela Baroncini nel suo saggio afferma che il poeta *"Inventa una parola prosciugata, ma non inaridita, risplendente di meraviglia anche nel buio della trincea."* [43]

La parola poetica di Ungaretti assume all'elemento della pietra e alle modalità di restituzione dell'immagine visiva e quindi ha un valore iconico a livello stilistico, oltre a quello tematico.

Quindi, la parola scavata detta anche incisa si declina su più livelli di senso: dal piano tematico a quello linguistico-sintattico, a quello grafico-visuale.

La pietra rimanda ad una dimensione immobile, porta fuori dal tempo. Inoltre, ne ricorda il transito inesorabile, tramandando la memoria delle civiltà umane, soprattutto attraverso le rovine e i monumenti funerari. In "SAN MARTINO DEL CARSO" (p.51) il poeta ricorda le rovine:

Di queste case  
non è rimasto  
che qualche  
brandello di muro

Le numerose iscrizioni incise sulla pietra dai soldati costituiscono la traccia e la memoria tangibile dei caduti. Per il resto, la natura epigrafica della raccolta poetica è evidente sin dalla poesia d'esordio mediante la dedica in memoria di Mohamed Sceab.

In (quando trovo una parola/ scavata) l'impiego del verbo (scavare) ne potenzia la natura aurorale e primigenia poiché rimanda ancora una volta al tema dell'iscrizione.

La parola scavata nella memoria umana così come nell'animo del poeta è legata alla pietra. La pietra viene connessa al concetto di memoria. In "SONO UNA CREATURA" (41) Ungaretti descrive la pietra "fredda", "dura", "prosciugata", "refrattaria" e "disanimata". In questo componimento la pietra diventa una negazione della vita.

La pietra potrebbe tramandare l'illusione duratura della nostra presenza sulla terra. La pietra della lapide funeraria e soprattutto la scrittura epigrafica incisa sopra di essa consentono dunque di conservare memoria dell'assenza, opponendo alla dialettica finito/infinito la dilatazione indefinita della testimonianza poetica e umana.

Hans Belting, nel suo studio *Antropologia delle immagini*, sottolinea il legame tra immagine e scrittura mediante l'iscrizione, rilevando inoltre come alle immagini sia connaturata una contraddizione ineliminabile, ovvero esse rendono visibile l'assenza fisica di un corpo trasformandolo in una presenza iconica. Ciò avviene attraverso un medium-la pietra, il bronzo o la fotografia- che possiede l'unica presenza possibile che è difatti l'assenza del vero oggetto. Questo meccanismo secondo Belting è particolarmente evidente nei monumenti funebri, laddove l'immagine mostra la sua natura precipua di assenza radicale. [44]

Il morto è sempre un assente. La morte è un'assenza intollerabile che si vorrebbe colmare per mezzo di un'immagine. Per questo, gli uomini collocano i loro morti in un luogo ben determinato (la tomba) e dato loro, attraverso l'immagine, un corpo immortale.

C'è da accennare al riguardo che le pietre nell'Antico Egitto sembrano dure nel deserto per assicurare l'eternità della tomba ai defunti ponendo ogni cura nella resistenza d'un nome scolpito e nella durata evocatrice tra i vivi.

Possiamo dire che si tratta del risalto visivo conferito alla parola scavata nello spazio bianco della pagina. Al di là della valenza spaziale che il segno grafico viene in questo modo ad acquisire sulla carta della lezione mallarmeana e delle avanguardie storiche.

Il potenziamento visivo della parola è raggiunto anche attraverso una accentuazione del suo legame con le immagini e dunque del rilievo iconico che assume nel testo.

La parola epigrafica viene legata alla tematica essenziale dell'opera: la dicotomia del buio e della luce così come l'oscillazione tra la morte e la vita, la delusione e la speranza, la realtà e il sogno. Si deve accennare che il buio ha il sopravvento. Tale binomio richiede l'utilizzo delle parole adeguate sia allo stato d'animo del poeta che alla realtà vissuta con un po' di fantasia.

Il poeta abbonda il lessico con il riferimento alla dicotomia principale dell'opera. Egli utilizza sostantivi per mettere in evidenza la morte. A questo livello lessicale, ricordiamo delle parole come "morte, buio, camposanto, fumo, sonno, notte, ombra, cenere, nuvole e tenebre".

Per quanto riguarda l'uso dei sostantivi che fanno riferimento alla vita, osserviamo (vite, acqua dei fiumi, luna, sole e stelle). Ungaretti sente

l'armonia con la natura e ne parla per esaltare il valore della vita e ovviamente per liberarsi dalla gravità della guerra.

I verbi utilizzati rispecchiano evidentemente la morte e la vita, di cui ricordo (suicida , vivere, riposa, visse, ho vissuto, vivendo, nascere, illuminarsi).

Gli attributi sono realmente adeguati all'uso duplice dell'oscurità e dell'illuminità. Egli ricorda: (massacrato, digrignata, morto). Questi participi passati sono usati con funzione aggettivale.

I versi ungarettiani sono scarni ed essenziali. Appaiono sempre in una posizione di centralità.

La scrittura poetica ungarettiana risulta influenzata anche dal futurista Marinetti attraverso "[...] *la disarticolazione metrica della sintassi, l'assenza di punteggiatura, l'uso dell'analogia.*" [45]

Infatti, l'uso del laconismo ha un valore semantico nella poesia ungarettiana.

*"L'estrema laconicità di questi versi potenzia la parola mostrando con evidenza la volontà di costruire una partitura del silenzio che non dissolve, ma al contrario racchiude il senso del segreto inesauribile dell'essere."* [46]

La brevità dei versi "E così si è trovato il mio linguaggio: poche parole piene di significato[...]" [47]

Il poeta ricerca la parola essenziale legata alla ricerca del ritmo, del suono, tant'è vero che "*I versicoli di una sola parola peraltro sono uno dei tratti più peculiari ed estremi della versificazione ungarettiana.*" [48]

La sua parola non esalta le azioni belliche, non usa dei termini o onomatopee relative alla guerra o ai suoni della battaglia. Il valore dei suoni nelle poesie è essenziale perché abbandonano la metrica tradizionale.

Le parole che raccontano la morte sono connesse alla vita. Possiamo dire che dalla morte deriva una allegria molto feroce. Esiste un binomio tra sorriso amaro e umanità dolente. Bisogna vivere nonostante tutto il dolore, stringendo i pugni.

In "ANNIENTAMENTO" (p.29) troviamo un segnale molto evidente per quanto riguarda la parola incisa sulla pietra:

Ho sulla labbra  
il bacio di marmo

Possiamo dire che Ungaretti usa soltanto le parole necessarie come quelle incise sulle pietre nel senso che non si toglie niente per rendere il discorso oscuro e non si aggiunge nulla per renderlo chiaro.

Le parole poetiche di Ungaretti riguardanti le pietre e le acque hanno un significato semantico: sembrano un sollievo dalla fatica, dal dolore e dalla sofferenza delle vicende umane e una testimonianza al dramma della Guerra. Il poeta è estraneo dagli intrighi delle vicende umane.

La scrittura ungarettiana è una pratica e una esigenza per sfogarsi. Il pianto del poeta non si scioglie e si pietrifica dentro di lui e rimane in silenzio.

Nella poesia intitolata "SONO UNA CREATURA" (p.41) e dopo lunghi giorni terribili Ungaretti si contrae in un pianto che è una pietra:  
come questa pietra  
è il mio pianto  
che non si vede

In questa poesia, il pianto sembra invisibile. Il poeta allude ad un pianto interiore, si pietrifica in una condizione di sofferenza. Avverte un peso fortissimo sul suo cuore.

Le parole ungarettiane relative alla notte e al buio sono un emblema alla illusione di un tramonto sulle vicende umane che causano i conflitti.

Le altre parole, invece, relative al sole e alla luce danno la speranza della continuazione del ciclo. Corrispondono alla rinascita. Ungaretti cerca sempre di trovare pace interiore nell'immediatezza della sua parola nuda.

La parola del poeta scava e vaga. È caratterizzata dalla semplicità assoluta di un linguaggio elementare, dall'immediatezza e dalla purezza. È una parola libera-nuda spogliata dell'uso dell'aggettivo per cui essa conserva il suo valore fondamentale e il suo impatto sul lettore.

Quindi, evidenzia l'impatto semantico delle poesie eliminando in tantissimi casi l'uso aggettivale. Il poeta a volte preferisce utilizzare il participio passato che ha una funzione statica di attributo e quella dell'azione verbale implicita.

La Guerra e le condizioni difficoltose inducono a Ungaretti di utilizzare un linguaggio nuovo dopo aver pensato all'invecchiamento della parola poetica. Il poeta narra la sua condizione e la sua sofferenza, usando la parola autonoma e libera.

L'autonomia e la libertà della parola ungarettiana ne "*Il Porto Sepolto*" compongono liriche brevi e scarse caratterizzate dalle pause focalizzando l'attenzione sul singolo vocabolo. Sottolineano, quindi, l'impatto semantico poetico.

Ungaretti usa la parola come segno evocativo, isolata nella pagina bianca e come un frutto di una meditazione interiore dopo il balenare del segno linguistico nella sua mente. La parola diventa come simbolo di un infinito e misterioso abisso che circonda l'esistenza umana.

La parola scaturisce da momenti di silenzio meditativo. Essa è un'apparizione improvvisa. Questa scelta risale all'esperienza bellica del poeta: deve dire in fretta perché il tempo può mancare in maniera tragica. Prendo un esempio in "FRATELLI" (p.39) in cui il poeta nella seconda strofa dice: (La parola tremante/ nella notte).

Quindi, il poeta deve esprimere con poche parole che hanno un'intensità strabiliante di significato. Le poche parole nascono piene di significato che esprimono la condizione del poeta in quel tempo.

La brevità e l'immediatezza autobiografica de "*Il Porto Sepolto*" vengono fuori da qualsiasi disegno e struttura. Si tratta di una rivoluzione della parola: l'evocatività dei bianchi eloquenti e l'essenzialità fulminea. Gli spazi bianchi accentuano l'assolutezza della parola e la laconicità dei versi.

La brevità, l'immediatezza e la semplicità comunicativa costringe Ungaretti ad usare delle strutture ripetute. Questo è evidente in "IL PORTO SEPOLTO" (p.21); "SAN MARTINO DEL CARSO" (p.51) e "I FIUMI" (pp.43-45).

La ripetizione sta nell'uso del complemento partitivo "Di", il verbo "restare o rimanere" e il quantificatore che indica esiguità "quel nulla/ qualche brandello/ neppure tanto".

In "VEGLIA" (p.25) si sente l'esigenza della scrittura immediata: in una notte nella condizione assai drammatica del poeta vengono scritti dei componimenti che rappresentano l'importanza dell'immediatezza della parola.

Bisogna accennare alle parole chiamate vuote come "di" "del" e "e" che Ungaretti utilizza in moltissimi casi. Egli intende comporre poesie con parole pure fino alle parti più piccole. Queste parole vuote di minime brevità strofiche allentano il ritmo e causano il silenzio.

Si nota un'armonia tra la parola poetica e la vita. In "I FIUMI" (pp.43-45), ad esempio, troviamo una celebrazione da parte del poeta alla sua identità, alle sue origini e alla sua esperienza vitale. Ungaretti dice:

*"mi avviene in guerra di avere una sorta di carta d'identità; i segni che mi serviranno a riconoscermi [...]: sono fiumi, sono i fiumi che mi hanno formato.[...] Questa è la poesia dove so finalmente in un modo preciso che sono un lucchese, e che sono anche un uomo sorto ai limiti del deserto e lungo il Nilo. E so anche che se non ci fosse stata Parigi, non avrei avuto parola; e so anche che se non ci fosse stato l'Isonzo non avrei avuto parola originale." [49]*

Le parole in "I FIUMI" rappresentano le testimonianze dell'identità ungarettiana: la prima testimonianza è l'Isonzo, Ungaretti si riconosce come una fibra rispecchiandosi nelle acque del fiume; il Serchio, la seconda testimonianza che rappresenta la memoria dei suoi antenati toscani e le loro abitudini impresse nei suoi genitori. Riconosce la gente toscana come sua indicando quindi le sue radici; la terza testimonianza dell'infanzia e della crescita del poeta, è il Nilo dov'è nato e cresciuto in Egitto e la Senna, la quarta testimonianza che simboleggia Parigi in cui ha approfondito l'esperienza letteraria, poetica e stilistica.

Queste parole rispecchiano la molteplicità delle conoscenze profonde e delle esperienze frammentarie del poeta accompagnate da una notevole nostalgia.

In "VEGLIA" (p.25) è evidente l'uso delle parole semplici ma in contrasto, nel senso che nella prima parte della poesia indicano la drammatica morte del compagno anonimo in una veglia silenziosa, militare, funebre e notturna.

Nella seconda parte, invece, indicano la bellezza della vita. Emergono dei sentimenti positivi legati al significato della vita.

Le parole ungarettiane ne "*Il Porto Sepolto*" sono connesse alla morte e al buio. Quindi, sono connesse ai sentimenti negativi e allo stato d'animo del poeta. In "DORMIVEGLIA" (p.42) il poeta scrive:  
il lastricato



di pietra di lava  
delle mie strade

In queste parole, si nota che c'è uno stretto rapporto tra le tematiche principali dell'opera: il buio e la morte attraverso la parola che scava nella memoria, usando il termine "pietra". Si tratta di immagini di guerra oltre alle memorie, ai ricordi e alle testimonianze delle vicende.

La "SONNELENZA" (p.50) assume tratti di conseguenza diretta degli eventi in "DORMIVEGLIA" (p.42). Dunque, rappresenta un punto di incontro con il senso semantico di sonno/notte. Il senso è totalmente opposto in "VEGLIA"(p.25) e "RISVVEGLI" (p.36).

Le parole ungarettiane tanto scavate nell'anima e nella memoria sono ben legate alla tematica dell'abbandono notturno e del percorso semantico sonno/notte.

Il poeta è cosciente del risveglio doloroso sulla sua anima e avrà un impatto sulla notte e sulla sonnolenza.

Le parole in "LINDORO DI DESERTO"(p.24) (Sino alla morte in balia del viaggio/ Abbiamo soste di sonno) indicano che Ungaretti si aspetta di morire durante quel viaggio pericoloso.

Nonostante il pericolo e la grave sofferenza, c'è una possibilità di riposo durante le soste, quando (Il sole spegne il pianto) o quando la luce illumina la nostra natura per cui si conclude la sofferenza.

Il sole o la luce rappresenta la vitalità. Ungaretti abbraccia la luce del sole:

Da questa terrazza di desolazione  
in braccio mi sporgo  
al buon tempo

La luce ha un senso semantico: il sollievo e la speranza di un altro giorno senza perderla mai dopo il sonno o il buio.

Il lessico nella poetica ungarettiana non sembra altisonante, ma i termini utilizzati sono ben scelti ed evocano nel lettore immagini precise. Ogni parola o ogni sillaba ha un grande valore.

Ungaretti usa dei sostantivi concreti piuttosto che astratti.

Per quanto che riguarda gli aggettivi, sono usati in modo limitato sia nei titoli sia nei versi. L'aggettivo "quieto" in "I FIUMI" (pp.43-45) indica una situazione pacifica e calma. Il titolo "LA NOTTE BELLA"(p.48).

Il lessico ungarettiano ne "*Il Porto Sepolto*" è dirompente e scandito. Il poeta riesce a cambiare totalmente la poesia italiana. Le parole vengono dette immediatamente.

Ungaretti ricorda delle persone care usando il passato prossimo in "MEMORIA" (*l'ho accompagnato*) (p.21) e in "VEGLIA" (ho scritto) (p.25) per mettere le azioni in vicinanza con il presente e per indicare che dureranno per sempre nella sua anima.

Con un particolar stile e con una coincidenza poetica, il poeta ricorda i fiumi: (Questo è il Serchio/ Questo è il Nilo/ Questa è la Senna/ Questi sono i miei fiumi , contati nell'Isonzo). (pp.44-45).

Anche bisogna accennare lo stile linguistico dell'uso dell'aggettivo possessivo in (I miei fiumi/ di gente mia campagnola/ e mio padre e mia

madre) (p.44). In effetti, questo uso indica il riferimento che il parlante fa a sé stesso poiché parla di una sua vera e propria esperienza reale. I fiumi diventano simbolicamente i Suoi, sarebbe solo lui che ce li ha. Essi penetrano nella sua anima. È pienamente una fase d'amore.

Dal punto di vista sintattico, mette in risalto l'uso del presente alla prima e all'ultima parte della poesia "I FIUMI". E il passato prossimo nel mezzo della storia: (ho ripassato, le epoche/ hanno attinto, duemil'anni/ mi ha visto, nascere e crescere/ mi sono rimescolato/ e mi sono conosciuto). (p.44).

Egli usa il presente perché descrive la sua condizione, la sua situazione iniziale e finale precisamente attuale. In altre parole, dà una visione generica del suo stato attuale. E l'uso del passato prossimo da parte del poeta ha una funzione assai particolare. E così come in "SILENZIO", il poeta usa il verbo al presente coniugato con "io" per dare una maggior testimonianza al fatto e alla storia che verrà raccontata. Nell'ultima strofa (*ho visto*) (p.33) rispecchia al lettore lo stesso valore.

La sintassi è estremamente semplice e le proposizioni subordinate non sono tante. La coordinazione prevale sulla subordinazione in tutte le poesie. La coordinazione è usata 42 volte nelle 33 poesie. L'uso dei versi spezzati e singole parole nelle pagine bianche richiede un'esigenza necessaria di congiunzioni coordinate.

Per ricapitolare, potrei dire che la parola scavata di Ungaretti in "*Il Porto Sepolto*" è ben legata alla vita e alla morte come esattamente all'acqua e alla pietra. È una coincidenza totale tra la consapevolezza e l'ignoranza da un lato e la veglia e il sonno da un altro lato.

### Conclusioni

La poetica de "*Il Porto Sepolto*" ottiene delle varie innovazioni stilistiche molto evidenti. Ungaretti effettua una rivoluzione poetica ai primi anni del Novecento: la rarefazione della scrittura, la frantumazione dei versi, i vocaboli staccati in pause e sospesi nella pagina bianca.

Essa è una poesia che appare come un diario della guerra in versi in cui egli combatte. Il poeta racconta una dura e orribile esperienza, dando una forte soggettività nella narrazione. Contiene, quindi, delle caratteristiche tipiche di un racconto: l'uso dell'io poetante, la tecnica del flashback e l'uso dei tempi all'indicativo che descrivono la situazione piena di amarezze.

La parola poetica ungarettiana, cosiddetta scolpita, scava nella memoria dell'umanità e illumina gli aspetti intimi e enigmatici della realtà umana. Ungaretti usa una parola scavata senza orpelli. Essa è precisa e essenziale.

Le tematiche della raccolta sono varie, universali e ripetibili in tutti i tempi.

La lingua sembra difficile e oscura per il lettore solo per la prima volta e coincide con le numerose complicatezze psicologiche del poeta. La difficoltà nasce dalla mancanza del sapere il contesto storico in cui vengono scritte le poesie, oltre a quella dell'uso della punteggiatura e alla brevità dei versi.

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**Investigating the strategies of translating interjections as phonological translation in Disney's book "365 stories for girls"**

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**Abstract:** Interjections are semantically rich and phonologically based, but no specific attention is given to them in translation studies. This research tackles an issue which is the difference between using phonological translation, transcription, and other strategies in translating interjections for Arab children. Translating interjections requires strategies combine transferring sounds as same as the meaning of that sound such as phonological translation and transcription. Phonological translation is based on replacing the sounds from the source language into the closest sound or an equivalent sound in the target language. While, transcription is done by transferring the same sound from the source language to the target language. The analysis will follow Cuenca (2006) six strategies of translating interjections. A distinction is frequently made between the transfer of meaning only and transfer of the sound only and transfer the meaning with the same sound and the same effect. For that, interjections follow different translation techniques. Therefore, translating these interjections need an effort to deliver the intended emotive effect to make the target reader (children) interact depending on the intended meaning and effect of the source text. Cuenca's strategy of translating interjections with a dissimilar form but with the same meaning is a source of phonological translation, the translator tries to mimic the phonological features of the source interjection by replacing it with an existing interjection in the target language. This strategy is the most appropriate strategy for translating the interjections, because it serves the same meaning and gives the same effect on the Arab children.

**Keywords:** Interjections, phonological replacement, transcription, Arab children

### **1. Introduction**

According to Cuenca (2000) Interjections are “Communicative units ( i.e. utterances or words) which can be autonomous syntactically, and complete semantically” (P. 332). Hence, as the definitions vary, it seems that interjections are both theoretically and descriptively challenging to language and translation. There are similar word forms or word-formation processes regarding interjections, but



conditions of use are not the same. Because of this grammaticalized nature, “Interjections are taken as idiomatic units or routines, syntactically equivalent to a sentence.” (Cuenca, 2002, P. 21). Interjections is challenging in translation because the translator has to consider the effect as same as the meaning of the sound used in the source text. A distinction is often made between transferring the meaning and transferring the sound in translation. Hence, this is exactly the reason behind making interjections follow different strategies in translation and these strategies are related to phonological translation and transcription because interjections are sounds that have meanings and both of them (phonological translation and transcription) are based essentially on translating sounds.

According to Catford (1995) phonological translation is replacing the sound from the source language to the closest sound or in an equivalent sound in the target language. (P. 23) This issue would be interesting to be discussed because a lot of interjections are not translated based on a particular fixed interpretations. To transfer the sound from the source language to the target language, this issue requires either phonological translation or transcription. In phonological translation, the translator simply changes some consonants or vowels into the closest sound or an equivalent sound in the target language. While in transcription, the translator simply transfers the same sound from the source language to the target language. According to Harvey (2000), transcription is a some kind of transliterating or borrowing.

According to Fernandes (2006), phonological replacement is a procedure in which a TT name or interjection attempts to mimic phonological features of a ST name or interjection by replacing the ST name or interjection with an existing name or interjection in the target language which somehow invokes the sound image of the SL interjection being replaced. Phonological replacement must not be confused with transcription. The latter involves adaptation of a SL interjection to the phonology/morphology of a target language while the former involves the replacement of a SL interjection with a TL interjection which is phonemically/graphologically analogous (i.e. equivalent) to it. In transcription, an attempt is done to transcribe an interjection from a particular target alphabet or language in the nearest equivalent letters or alphabet. In other words, this procedure occurs when an interjection is transliterated to the target language system (Hermans, 1988, p. 13). The usage of the term “transcription” therefore varies, in that Newmark uses the latter as synonym for “adoption”, “transfer” or “loan-words” from that created by Newmark in 1988 (Fernandes, 2004, p.44-57).

Children enjoy the sound amusing effects of the interjections that are translated using phonological translation because it helps them to understand the foreign interjections in their own language and to preserve the exact contextual meaning and effect of the original text. Hence, the translator has to put in mind the aim of securing an equivalent effect on readers (Newmark, 1982). Hence, the present

study will focus on using phonological translation in translating the interjections of Disney's book "365 stories for girls" a story a day.

### **1.1 Research objectives**

This study aims at analysing the phonological translation at translating the interjections in Disney's book "365 stories for girls" from English into Arabic which address the Arab children. Also, it aims at distinguishing between transcription and phonological translation through identifying the different strategies used in translating interjections. Additionally, this study aims at determining which strategy is more preferable in translating the English interjections into Arabic to influence children.

### **1.2. Research questions**

- 1) what are the strategies used in translating interjections?
- 2) which strategy is more preferable in translating the interjections?
- 3) How far does phonological translation affect the Arab children?

## **2. Review of literature**

This section will tackle eight main points related to what will be analysed beginning with short story, children literature, interjections, strategies of translating interjections, phonological translation, transcription, problems of translating interjections, and ended up with phonological translation vs. transcription.

### **2.1. short story**

According to Jones (1968) the story is an ingenious statement of feeling. That feeling is made or imagined. In addition, Jones (1968) says it is a short fictional tale that seeks to combine features, theme and effect. The modern English story, not decided to make lifestyle more entertaining by inventing exotic plots. Instead, modern story writers have attended base their narratives on their own experience; here the most target is way more on the less spectacular aspect of life, on the importance underlying what is trivial. He emphasises that the results of such perceptive writing are that the perfection of form, the harmony at theme and structure, and precision of favour to reveal the subtleties of the human mind and human behaviour (Jones, 1968).

According to Marilyn Singer (2000) "short story is, in some ways, like a photograph a captured moment of time that is crystalline, although sometimes mysterious, arresting, though perhaps delicate" (Singer, 2000). Also, she argues that while a photo may or may not suggest consequences or gives a moral lesson, a short story always does. the story's moment of time something significant, something unchangeable has occurred. The change may be understated or noticeable, but it is definite and definitive. Singer (2000) specified that "In addition, while it's the audience that supplies the rear story for a photograph, it's the author who must give the audience a beginning, middle, and end of a short story. Without that structure, the piece is not a brief

story in the least but a scene, a vignette, a fragment-evocative, yes, but not emotionally or psychologically satisfying". According to Hansen (2019) short story is abbreviated fictional prose narrative and in fact, the novel is longer than it and usually contains only a few characters. The short story has a single effect conveyed in only one or a few momentous episodes or scenes. Before the 19th century, the short story was a uniquely modern genre, the fact is that short prose fiction is nearly as old as language itself. Humanity has enjoyed across history different forms of short stories: jests, jokes, learned digressions, simple allegorical romanticisms, moralizing fairy tales, quick myths and a brief overview of folklore. None of these creates a short story as it has been defined since the 19<sup>th</sup> century, but they do create a large part of the setting from which the modern short story arose.

According to Hansen (2019) as a genre, in the middle of the 20th century the short story gained comparatively little critical attention and the most useful method work was mostly constrained by area or age. Irish writer Frank O'Connor tried in his 'The Lonely Voice' (1963) to explain the genre by suggesting that stories are the simplest way to "submerged populations" to handle a dominating community. Most other theoretical discussions, however, were predicted in a method or another on Edgar Allan Poe's thesis that stories must have a compact unified effect. Edgar Allan Poe was the generator of the short story and he argued that "short story is a short narrative text in prose designed to produce a single dominant effect" (Poe, 1842). Poe argued that a literary composition (short story) should be short enough for a reader to end in one sitting.

The mantle was taken over by authors such as Edgar Allan Poe and Nathaniel Hawthorne, helping establish two distinct lines of the brief past, which continued well into the sixties and seventies. Although they all stroked in the unreal or ridiculous, a divergent aesthetic between Poe and Hawthorne contributed to a distinction between short stories perceived to be "Poe" literature and short stories seen as "Hawthorne" entertainment (Ostdick, 2016). So, this type of short story in this research is entertainment or Hawthorne" type because it is a kind of children literature.

## **2.2. Children's literature**

The body of written works and associated with illustrations added so as to entertain or instruct children. The genre includes a variety of works, including world literary classics, picture books and readable stories written solely for young people, and fairy tales, slugs, fables, folk songs and other primarily orally transmitted materials (Fadiman, 2017).

A general definition of children literature can be summarized as the literature that seeks for children in their growing years and is suitable for their age and stage of mental and psychological development. This includes written

material for children that are not yet interested in adult literature or do not yet possess adult reading skills (Bika'ee, 2003).

According to Grenby (2014), in the 18<sup>th</sup> and 19<sup>th</sup> centuries, he examines the connections between fiction and morality. He describes that children's book historians have often seen two forces – realism and didactics of the first and fantasy and fun of the second - as being constant in children's literature competition. In fact, it was always a blurred line between fantasy and didacticism. In their supposedly rationalist and educational books, even the pioneers in "new" children's literature in the middle of the 18<sup>th</sup> century would often include fantastic elements. The literature of children which first began to emerge in the 18<sup>th</sup> century was far from fantastic. The fairy tales of Charles Perrault, first Published in France in 1690s and in English in 1729 became one of the most popular classics of middle-class and upper-class communities. In addition to the supernatural features, they had morals. Also, although Lockean educators also rejected fairy tales, new adaptations have been printed particularly for children over century. Likewise, Arabian Nights' Entertainments were rabidly picked up by a young crowd following their first appearance in English at the beginning of the 18<sup>th</sup> century. At the end of the century, they were published with added didacticism in editions designed especially for children. Richard Johnson, the author of *The Oriental Moralist* or *The Beauties Of The Arabian Nights Entertainment* (1791), acknowledged that he had inserted other ideal reflections everywhere their story accepted and altered their tales considerably... to reinforce the young heart against the experiences of sin.

The children's literature became a thriving, detached and protected part of the British Publication sector by the end of the 18<sup>th</sup> century. About 50 children's books is released last year, mostly in London, as well as in the Edinburgh, York and Newcastle regional centres. Such books may look pretty bland compared to today's expectations, and also very moralizing and pious. But the books clearly intended to entertain its readers, with fun stories and attractive characters, lovely writing tone, or magnificent illustrations and eye-catching page layouts. (Grenby,2014).

### **2.3. Interjections**

According to Thawabteh (2010), there are two different points of views as far as interjections are concerned. Interjections known as they are "semantically rich and have a definite conceptual structure which can be explicated" (wilkins 1992, p. 120). By contrast, Goffiman (1998, p. 100) claims that an interjection is "a ritualized act." It follows then that interjections are not part of the language, and are analysed in terms of the socio-communicative roles they play, rather than any linguistic content they may have" (Wharton, 2003, as cited in Thawabteh, 2010). Regardless of being

(not) part of the language, interjections are notable ways by which we communicate every subtle nuance of our emotions. As a point of departure, it is necessary to propose a conceptual framework regarding interjections both in English and Arabic (Thawabteh, 2010). "There are free-standing interjections which are common as back-channels or attention signals, especially forms like *wow*, *gee* or *jeez* and *whoa*" (Norrick cited in Thawabteh 2007, p. 6, *italics in original*).

According to Aijmer (2002), it is true that translation may be a cognate of the interjection in the source language (Aijmer, 2002) and hence potential translation with minimal difficulties. For example, the English 'wow' corresponds to Arabic 'wāw' in phonological terms. However, only morphophonological, and not semantic or pragmatic cognate terms can be linked (Thawabteh, 2010). While it is used in English to "express surprise at something or to assert agreement or disagreement with what has just been saying" (Collins 1995, P. 1140), This is used in Arabic for guttural sounds, for example, to yell at a baby not to grab the hair of its mothers (Farghal 1998, P. 157). There are various interjections between different languages. (Wierzbicka, 1992, P. 160). For translators, the cultural features of interjections may cause serious problems. (Farghal and Borini, 1996, p.14). Since there are interjections which reveal the state or behavior of the speaker (Wierzbicka, 1992, P. 62), they need to be carefully translated. The translator should try his utmost to find a suitable equivalent to preserve its original significance and effect.

#### **2.4. Strategies for translating interjections**

Cuenca (2006) gives six strategies for translating interjections: -1- Literal translation -2- Translation by using an interjection with dissimilar form but the same meaning -3- Translation by using a non-interjective structure with similar meaning -4- Translation by using an interjection with a different meaning -5- Omission -6- Addition of elements (Cuenca 2006:27).

#### **2.5. Phonological translation**

Catford (1995:23) defined phonological translation and he stated that in phonological translation, "The Source Language (SL) phonology is replaced by equivalent target language (TL) phonology. The replacements are done only in grammatical or lexical changes as the result from phonological translation". That means is the phonology source language changes by equivalent Target Language phonology, only done in grammatical or lexical (Catford, 1995). In the same book, according to Catford (1995), phonological translation is "Restricted translation in which the source language (SL) phonology of a text is replaced by equivalent target language (TL) phonology" (Catford, 1995, P. 56). According to Baiatunnisa (2010) "The restriction of translation in source language (SL) phonology text restored by equivalent

target language (TL) phonology. From the statement above, the meaning of phonological translation divided into five main types, as following:

2.5.1 Basis for translation equivalence in phonological translation is source language (SL) and Target Language (TL) phonological units to the same phonic substance.

2.5.2. In phonological translation, as in translation at other levels, one must distinguish between formal correspondence and translation equivalence.

2.5.3. Thus, phonological translation is considered to be analogous "total translation", with more than one phonological translation equivalent to any source language (SL).

2.5.4. Phonological translation, including total translation, may require a rank change or the regrouping and re-organization of material characteristics in the target language formal units (TL).

2.5.5. Phonological translation is practiced intentionally by actors and mimics when they assume a foreign, or dialectal, pronunciation (Baiatuunnisa, 2010). This may be called only phonological translation, since it substitutes the target language phonology with an analogous source language phonology from the previous point of view (lexis and grammar remain unchanged). The phonological translation is the way the sound can be written in translated words without changing. The phonological translation, as mentioned earlier, is substituted only by grammatical or lexical phonology as an approximation of a translation process from the source language (SL) phonology. And phonological translation happens when the translator cannot locate the correct target term.

## **2.6. Transcription**

According to Fernandes (2004) transcription is a procedure in which an attempt is made to transcribe an interjection in the closest corresponding letters of a different target alphabet or language. In other words, this procedure occurs when an interjection is transliterated to the target language system (Hermans, 1988, P. 13). Nevertheless, the usage of the word "transcription" varies from what Newmark used (1988, P. 75) in so far as "transcription is seen as a synonym for "adoption", "transfer" or "loan-words" (Fernandes, 2004 p.44-57))

## **2.7. Problems of translating interjections using transcription**

The problems of translating interjections may arise from consonant and vowel sounds differentiation between Arabic and English languages. There are 5 vowels in English (or 6 if the letter y is included) (Sánchez et al., 2019). Six more recurrent vowels and two rare vowels are in the language of Arabic. This is one of the reasons why it is difficult to translate Arabic interjections into English. Worth to mention that the various forms in which Arabic sounds are created are challenging for English-speakers to vocalize. Chohan and Talib

2020 explain that Arabic speakers are used to make epiglottis, something English speakers are not used to when they communicate. The English alphabet includes 20 consonants, 24 consonants and 6 vowels which can generate 22 vowel phonemes/sounds. Arabic has just 8 vowel phonemes and 28 consonants. While consonants are widely employed in Arabic, English uses more consonant clusters (phoneme groupings) in word formation. Chohan and Talib 2020 further discuss the consonant clusters in Arabic. Some Arabic words at the beginning of the phrase use two consonant clusters, rarely a three-consonant. Arabic does not always have clusters at the end of the phrase. On the contrary, English might have three or four consonant clusters at the end.

Hence, the problems of transliterating the interjections may arise from lack of sounds whether it was in the target language or the source language. Therefore, the source language may have some sounds that do not exist in the target language or the target language may have no equivalent to the source languages letter (Chohan and Talib, 2020).

### **2.8. Phonological Translation vs Transcription**

According to Fernandes (2006), Phonological replacement is a procedure in which a TT interjection attempts to mimic phonological features of an ST interjection by replacing the ST interjection with an existing name in the target language which somehow invokes the sound image of the SL interjection being replaced. Totally unnecessary to confuse phonological replacement with transcription. The latter involves the adaptation of a SL interjection to the phonology/morphology of a target language while the former involves the replacement of a SL interjection with a TL interjection which is phonemically/graphologically analogous (i.e. equivalent) to it. While transcription is a procedure in which an attempt is made to transcribe an interjection in the closest corresponding letters of a different target alphabet or language. In other words, this procedure occurs when an interjection is transliterated to the target language system (Hermans, 1988, P. 13). Nevertheless, the usage of the word "transcription" varies from what Newmark (1988) used in so far as "transcription" is seen as a synonym for "adoption", "transfer" or "loan-words" (Fernandes, 2004, p.44-57).

### **3. Description of the corpus**

The corpus consists of 7 short stories taken from "365 stories for girls, a story a day" book, this book was published by Disney on January 1, 2000. The book was written in English and translated into Arabic. The Arabic version was supervised by Dalia Mohamed Ibrahim. The Arabic Version was Published by Nahdet Misr Publishing House in January, 2015 upon agreement with Disney Enterprises, INC., 114 Fifth Avenue, New York, NY 10011 - 5690, USA.

The aim of this collection of stories is to introduce young girls to a wide collection of stories, gathered from many sources. This book takes girls on adventures such as searching with Cinderella for a lost ring, meeting Tinker Bill's sister, playing croquet with Alice and the Queen of Hearts, discovering Paris with Marie, and more. The stories incorporate moral values and cover many cultures and heritages.

The 7 short stories in this book are based on characters from Walt Disney movies. The first story "Countdown to Midnight" was taken from Lilo & Stitch movie that was released in 2002 by Walt Disney (Disney Wiki), the story is about the New Year's Eve. The events are all about Lilo and Stitch's decision to sleep/not sleep in the New Year's Eve.

The second story is "A Mouse in The House" which was taken from Alice in Wonderland movie released by Disney in July 26, 1951. The story goes around Alice telling her sister about her dream. While she was narrating, she found a mouse in the teapot and this is what she dreamed about. After that she hoped to dream again so, the mouse could follow back where he belongs.

The third story is "Flower's power", it was taken from Bambi movie that was released by Disney in 1942 (Disney Wiki). The tale of a youthful deer experiencing childhood in the woods. It is spring, and all the creatures of the woodland are energized by the backwoods' most recent birth, a buck grovel his mom has named Bambi. The creatures are more energized than expected as Bambi's ancestry implies he will acquire the title of sovereign of the backwoods.

The fourth story is "Death-Defying Dale", it was taken from Mickey & Friends movie that was released by Disney. This story is about Dale (The Chipmunk) who visits the circus outside his tree. And when they got there, Dale saw a bag of peanuts, then he hurried over to the peanuts. Suddenly, he got disrupted by an elephant, lion, and the trapeze artists, and faced all of them bravely, in that moment, he was defying the death, and finally he fell right into a bucket of popcorn.

The fifth story is "The shadow game", it was taken from Toy Story movie that was released by Disney/Pixar on November 1995 (Disney Wiki). The story is about Jessie who suggested to her friends playing the shadow game, and the one who makes the more horrible shadow than the other is the winner, and at the end Jessie wins.

The sixth story is "I Choose Archery", it was taken from Brave movie that was released by Disney in 2012 (Disney Wiki). This story is about Merida who was a young adventurous princess. She refuses her mother's desires because Merida did not want to get married so, she decided to choose archery challenge and the winner will engage her. Although no one can succeed except her, what happened was unexpected, Dingwall hit the bull's-eye. But Merida



did not give up and she declared that she will shooting for her own hands, and at the end she hits all three bull's-eyes.

The seventh story is "Pink or Blue?", this story was taken from The Sleeping Beauty movie which was released on January 29, 1959 by Disney. This story is about the wedding of prince Philip and princess Aurora and the three fairies Flora, Fauna, and Merryweather.

The rationale for choosing the 7 stories is that they have a lot of interjections that reflect the choice of the translator to use phonological and/or transcription strategies.

#### 4. Methodology

This analysis of the study will adopt Cuenca (2006) who differentiates between six strategies for translating interjections: 1- Literal translation which is a source of transcription 2- Translation by using an interjection with dissimilar form but the same meaning which involves phonological translation. 3- Translation by using a non- interjective structure with similar meaning which is a source of phonological translation 4- Translation by using an interjection with a different meaning which involves phonological translation. And the last two techniques are 5- Omission, and 6- addition.

#### 5. Analysis

##### 5.1. Translation of interjections by transcription:

Example I:

ST: "Aroooooo!" the elephant trumpeted. With a flick of her trunk, she flung Dale away.

TT: "أروووووو!" أصدرت الفيلة صيحة قوية. وقذمت تارك بسرعة بخرطومها في قوة.

The translator chooses to translate "Aroooooo!" interjection literally because it is a sound of an animal and there is no equivalent to this sound in Arabic language. Hence, the translator resorted to imitate the sound in the target language which is a source of transcription. Such translation might not be appropriate for the Arab children because Arabic language does not have written animal sounds and even if it has this written sounds, animals do not sound the same in every language because each language has two letters or more that do not exist in the other language (Geikhman, fluentu, 2019 ). However, the Arab children can catch the meaning from the context.

Example II:

ST: "Eeek!" Dale squeaked as he sailed through the air.

TT: "ايبيك!" صرخ تارك وهو يطير في الهواء.

Same as above the transcription of the sound might not indicate the same effect on the Arab children. The Arabic language has an equivalent for this interjection "اااااا" which refers to fear and surprise. But the Arab children do not know what "ايبيك" means or it refers to what.

Example III:



the Arabic language but with different form. The translator adheres to use phonological translation for interjections according to Fernandes (2006) Phonological replacement is a procedure in which a TT interjection attempts to mimic phonological features of a ST interjection by replacing the ST interjection with an existing interjection in the target language. hence, the strategy of translating interjection with dissimilar form and the same meaning is a source of phonological translation. By using this strategy, the meaning becomes clear and obvious and also have the same effect on the Arab children.

Example II:

ST: **Er, I mean**, like a baby.

TT: أأأ... أعني، مثل الطفل.

"Er," interjection in the English language is used to express the hesitation (Merriam Webster's Collegiate Dictionary). In Arabic language the interjection that express the state of hesitation is "أأأ" which express tension in speaking, The translator resort to replace the source language interjection by an existing interjection in the target language to clarify the meaning and to make it easier for children to catch the meaning and have the same effect on them. The translator attempts to mimic phonological features of a ST interjection by replacing the ST interjection with an existing interjection in the target language as Fernandes (2006) has mentioned about the phonological translation.

Example III:

ST: **CLANG!** Suddenly, everything went black.

TT: طراخ! وفجأه أظلمت الدنيا.

CLANG! is an interjection in English language used to make a loud metallic ringing sound (Merriam Webster's Collegiate Dictionary). This interjection has its equivalent in the Arabic language so the translator resort to use to add clarity to the meaning of the text and to make it appropriate and familiar to the Arab children.

Example IV:

ST: **"WHAM!"** She accidentally hit her own head!

TT: "طراخ" ضربت رأسها بدون قصد.

"WHAM!" interjection is used to express the loud sound of a solid blow (Merriam Webster's Collegiate Dictionary). It is translated to "طراخ" which is familiar to the Arab children.

Example V:

ST: **"Ouch!"** Rapunzel cried.

TT: "أي!" صاحت رابونزيل.

"Ouch!" interjection is used to express sudden pain (Merriam Webster's Collegiate Dictionary). In Arabic language, the interjection "أي" is continuously used to express the pain. So, the translator uses the strategy of translating interjection with dissimilar form but the same meaning makes the meaning clear and have the same effect on the Arab children.

Example VI:

ST: "**Hooray!**" the monkeys cheered.

TT: هللت القرد "مرحي!"

"Hooray!" interjection is used to express joy, approval, or encouragement (Merriam Webster's Collegiate Dictionary), but in this context it expresses joy. The equivalent interjection that exist in Arabic language and refers to happiness and joy is "مرحي!". Therefore, the translator used it to make it easier for Arab children to understand the meaning and to transfer the same effect on them.

Example VII:

ST: "**Ugh!**" Thumper wrinkled his nose. "what's that smell?"

TT: قلص أنوبة أنفه وقال: "يع!" ما هذه الرائحة.

"Ugh!" interjection in English is used to indicate the sound of a cough or grunt or to express disgust or horror (Merriam Webster's Collegiate Dictionary), but in this context it refers to disgust. The translator opted for "يع" which is an existing interjection in the Arabic language that refers to expressing disgust.

Example VIII:

ST: "Sorry," Bambi told Flower. "I, **Uh**, think my mother's calling me". "Me, **Uh**, too," Faline gasped.

TT: قال باميي لزهرة: "أسف. أنا، احم، اعتقد ان أمي تناديني". وقالت ريم وهي تلهث "وأنا، احم، أيضًا.

"Uh" interjection in English is used to express hesitation and the translator adheres to translate it as "احم", it is a sound in Arabic language to clear the throat and it indicates hesitation. The translator resorts to use it instead of "أأأأأأ" to add more clarity to the meaning and because it is stronger in expressing hesitation. Therefore s/he also uses an interjection with dissimilar form but the same meaning.

Example X:

ST: "**Rrrrrrrr**," she roared.

TT: وصاحت بصوت يشبه الزئير: "عأأأأأأ".

The translator here tries to translate it phonologically, the English letter R" is not the same "ر" in Arabic letters. Hence, it does not convey the same sound. As it said before in this paper that animals do not sound the same in every language because each language has two letters or more that do not exist in the other language. Therefore, the translator tries to mimic the phonological features of the English written animal sound and to make it as close as possible to this sound as a source of phonological translation.

### 5.3. Translation by using a non-interjective structure with similar meaning:

Example I:

ST: "**Hey!**" the cowboy cried. "Now why would you do that?"

TT: صاح راعي البقر: "ما هذا! لماذا فعلت ذلك؟"

“HEY!” interjection is used specially to call attention or to express interrogation (Merriam Webster's Collegiate Dictionary) hence, the translator uses the meaning of the interjection and s/he translated it as a question which is non-interjective structure. It gives the same meaning, but did not have the same effect on the children.

Example II:

ST: **Oh, no!** He spun around and lifted his tail and buried his head in fear.

TT: "يا الهى" و استدار ورفع ذيله ودفن راسه في خوف.

"Oh," interjection is used to express an emotion (such as surprise or desire) or in response to physical stimuli (Merriam Webster's Collegiate Dictionary). The translator chooses to use non-interjective structure. This translation serves the same meaning of surprising.

Example III:

ST: But before the game could begin, “**Crunch!**” “**Crunch!**” sound of leaves made the friends turn.

TT: ولكن قبل أن تبدأ اللعبة، استدار الأصدقاء بسبب صوت الأوراق وهي تنكسر بهدوء.

“Crunch!” “Crunch!” interjection is used to mimic a sound created by cracking or crushing. The translator has translated the meaning of the interjection with a non-interjective structure, but a complete sentence. This translation gave the same meaning but will not give the same effect to the Arab children which make them imagining the state of crashing by imitating its sound.

Example IV:

ST: “**Whew!**” Thumper waved his paw in front of his face. "you should warn us before you let out that kind of stink!"

TT: قال أرنبية وهو يلوح بيده أمام وجهه: "باللهول!" "يجب ان تحذرننا قبل ان تطلق مثل هذه الرائحة الكريهة!"

“Whew!” as an English interjection is used to express amazement, discomfort. In Arabic language, there is no interjection could serve the same meaning, that being the case that the translator resorted to find a word (non-interjective structure) that serve the same meaning as "باللهول" which expresses the amazement.

Example V:

ST: “**Ta-da!**” Liio emerged with a huge plate of something steaming and cheesy.

TT: ظهرت ليلو ومعها طبق هائل من شيء يخرج بخاراً ويحتوي على الجبن "ها هو!"

“Ta-da!” as an English interjection is used to call attention to something remarkable (Merriam Webster's Collegiate Dictionary), thus the translator chooses to use (Demonstrative pronoun + pronoun) to form a sentence that indicates the exact meaning of the source interjection but in fact the effect of the English interjection when it transferred as a non-interjective structure in the target language, it lost the

intended effect of calling attention and calling for being surprised because if s/he translated it as "ترالالال!" it would be more appropriate and wield its surprise effect.

#### 5.4. Translation by using an interjection with a different meaning:

Example I:

ST: "Yeeeehah!" jessie exclaimed loudly. She flapped her arms up and down".

TT: صاحت جيسي: "هههههههه!" قامت بتحريك ذراعيها لاسفل واعلى.

This English interjection is used as an imitation of the cowboys (Merriam Webster's Collegiate Dictionary), and it is translated as "هههههههه!" but this interjection exists in the Arabic language with different meaning which refers to happiness but here the meaning in this context is different because the sound in this context refers to imitate the cowgirl voice who calls the horse to move. then, this translation did not transfer the same meaning or the same effect on the Arab children. If s/he uses "هههههههه!" it could be more appropriate because in this context, the cowgirl calls the horse to move and it will have the same effect on the Arab children.

Example I:

ST: "Oh no!" Mushu shouted. Think you're tough, do you?"

TT: صاح موشو: "حسناً!" تعتقد انك شاب قوي، اليس كذلك؟

This English interjection is used to express an emotion (such as surprise or desire) or in response to physical stimuli (Merriam Webster's Collegiate Dictionary), but the translator replaced it with an interjection with different meaning and gives different effect which is not appropriate for this context in Arabic language "حسناً" because it refers to confirmation so it indicates different meaning.

Example II:

ST: "Ooh!" The fairies gasped. "perfect!" declared the father.

TT: قالت الجنيات: "يا الهى!" وقال والدها "رائع!".

The Arabic interjection "يا الهى!" does not fit the original meaning of the source text because its meaning indicates seeking help from god which does not fit the context and it is more standard Arabic.

#### 5.5. Omission:

Example I:

ST: Pumbaa blinked. Thank", he said "Er!" what is it?

TT: نظر بومبا للهدية ثم قال "شكراً" ولكن ما هذا؟

This interjection omitted by the translator which downgrades the effect of a spoken language. .

Example II:

ST: "Gee", Timon said. "Nice thought and, all, Simba, but it's a little high for me".

TT: قال تيمون: "فكرة جميلة للغاية يا سيمبا ولكنه عال جدا بالنسبة لي".

The interjection in English language is used as an introductory expletive or to express surprise or enthusiasm (Merriam Webster's Collegiate Dictionary). The translator omitted this interjection which affects the effect of surprise.

Example III:

ST: "**yoo-hoo!**". She called as she dashed from the coach.

TT: وصاحت وهي مندفعة من العربية.

The translator uses the omission strategy here. Such an omission devoids the context from the sense of moving.

Example IV:

ST: When suddenly - **Splash!** - a raccoon landed in my tub!

TT: عندما سقط فجأة في حوض الاستحمام أحد حيوانات الراكون.

The imitated sound of falling of something in the water was omitted in the Arabic version which made the context loses its effective sound.

### 5.6. Addition:

Example I:

ST: "**Yuck!**" Thumper hated to go to bed, even if at bedtime.

TT: "يع!" هذا مقرف. فقد كان يكره خباط البيات الشنوي حتى في أوقات النوم.

"Yuck!" as an interjection is used to express rejection or disgust. The translator was not satisfied with replacing the interjection with the existing interjection in the target language, but s/he also added some words (demonstrative and adjective) to clarify the meaning and making it more appropriate and easier for the Arab children.

Example II:

ST: "**Hmm,**" the prince said, stepping forward.

TT: قال الأمير وهو يتقدم خطوه للأمام: حسنا فهمت.

"Hmm," interjection expresses the action or process of thinking (Merriam Webster's Collegiate Dictionary). Although Arabic language has an equivalent interjection that serves the same meaning and effect which is "امممم", the translator uses two words to convey the meaning instead of replacing it with an equivalent interjection. However, s/he also failed in transferring the same meaning and the same effect by this strategy.

For an indicative reference to the strategies used in translating interjections, the following table shows a total number of 32 interjections and shows the number of recurrence of each strategy is used:

Literal translation (Transcription)	Dissimilar form but the same meaning (phonological translation)	Using a non-interjective structure with similar meaning	Using an interactive structure with different meaning	Omission	Addition of elements
7	9	5	3	5	3

Figure (1) Number of recurrence of each strategy.

The strategy of translating interjections with dissimilar form but the same meaning is a source of phonological translation, because the translator tries to mimic the phonological features of the source interjection by replacing it with an existing interjection in the target language. This strategy is the most appropriate strategy for translating the interjections and the most prominent one, because it serves the same meaning and gives the same effect on the Arab children and the meaning becomes more appropriate and clearer for them. The strategy of transliteration failed to convey the intended effect on the Arab children and failed to influence the Arab children because of their misunderstanding of the English interjection when transliterated.

### **6. Conclusion**

In conclusion, interjections are essential prerequisite of speech that are used in order to convey the meaning and the intended effect, they play a big role in delivering the intended feeling to the reader. Therefore, translating these interjections need an effort to deliver the intended emotive effect to make the target reader (children) interact depending on the intended meaning and effect of the source text. A distinction is frequently made between the transfer of meaning only and transfer of the sound only and transfer the meaning with the same sound effect. This then makes interjections follow different translation techniques and these are related to phonological translation and transcription, as interjections have meaning and both (phonological and transcriptions) are based on translations of sounds. There are techniques of the strategy of phonological translation used by the translator in translating the interjections mentioned by Cuenca (2006). The first one is translating interjections with a dissimilar form but with the same meaning which is a source of phonological translation, the translator tries to mimic the phonological features of the source interjection by replacing it with an existing interjection in the target language was the most appropriate strategy for translating the interjections and the most prominent one, because it serves the same meaning and gives the same effect on the Arab children and the meaning becomes more appropriate and clearer for them. The second strategy that involves phonological translation is translation by using an interjection with a different meaning, and in translating interjection, the main aim is to transfer the sound and to convey the same effect of the source text. Transcription involves Cuenca's first strategy for translating interjections which is Transliteration. The translator in this strategy simply tries to imitate the sound by transcribing it in the Target language. In other words, s/he simply changes some consonants or vowels to the closest alphabet or letters in the target language, whether or not this interjection exists in the target language. However, the strategy of transliteration failed to draw the same effect on the Arab children because they do not know the English interjections. The translator simply changes some consonants or vowels to the closest alphabet or letters in the target language.



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