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Journal

Journal

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Editorial

Welcome to the inaugural issue of the WRoCAH Student Journal. We hope that you will agree with us that it's been a long time coming! The WRoCAH network is bursting with potential and our plans for this journal are no less ambitious. We aim to provide a platform for you, our fellow students, to share and showcase your research, your latest discoveries and your burgeoning thoughts both with each other and with the wider academic community. We are looking for articles, book reviews and commentaries which explore all areas of the arts and humanities.

You may already be aware how important it is to get published while doing a PhD, especially for those budding academics amongst us, and while this journal may not yet count towards your REF, we hope that it will be a valuable experience, a handy stepping stone, towards submitting that first article to a professional journal. This Student journal is partly intended as a relaxed space to get that first experience with submitting and receiving objective editorial comments on an academic piece of writing. For each issue, there will be a page on the websites to make comments on articles that you have read and start conversations which may well lead to collaborative projects for the future.

The articles in the present issue, though not deliberately brought together as part of a theme (look out for those in future issues), all show ways of imaginatively adapting our historical, political and cultural heritage to show its continued relevancy for the twenty-first century. They show how culture and ideas cross borders and time periods with increasing flexibility and evermore innovative results. We hope that you will find in them inspiration for your own research and maybe articles for later issues.

This is an entirely voluntary scheme, funded by WRoCAH and generously supported by what has already proved itself to be an amazing team of proofreaders and subeditors making our aim of publishing up to four issues a year well within the limits of the possible. The Student journal is published entirely online on a separate website affiliated to WRoCAH. We expect, over the coming years, to establish a schedule whereby we launch the call for papers at the same time as we publish the latest issue. The contributors of the current issue are very much a model of how we hope to continue, opening the opportunity to publish in the Student Journal to MA, PhD and prospective PhD students from across the White Rose universities to get as wide a readership as possible.

Journal

Reconciling conflicts between the built heritage and sustainability: the adaptive re-use of school buildings

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Introduction

Sustainable development is that which 'meets the needs of the present without compromising the ability of future generations to meet their own needs' and in its most holistic sense, applies to the environment, economy and society.[1] The historic environment can act as a catalyst for the economic and social aspects of regeneration and sustainable development, but redundant and obsolete traditional buildings (those dating to pre-1919, with permeable, breathable materials and solid wall construction), are a threat to both the built heritage and sustainability.[2] Vacancy puts buildings at risk of decay, vandalism, theft and arson, but also has wider impacts in the sustainability of a community, such as neighbourhood blight and depressing local economies.[3] To this end, the government believes that the best way to preserve heritage is to use it because then it can be passed on to future generations, and this also promotes the three aspects of sustainability.[4] However, environmental sustainability is threatened by climate change,[5] which is primarily caused by carbon emissions associated with the burning of fossil fuels.[6] Around 30% of emissions result from our demand for operational energy in buildings[7] so improving energy efficiency, and hence reducing demand, will limit the extent of climate change. Unfortunately, the legislative focus on operational energy use rather than whole-life carbon footprints means measures to improve operational energy efficiency are favoured even if the construction related energy use results in a higher whole-life carbon footprint.

1 World Commission on Environment and Development, 'Our Common Future', (WCED, 1987).
2 Department Of The Environment, *Reusing Redundant Buildings. Good Practice in Urban Regeneration.* ed. By Urbed Ltd (London: H.M.S.O., 1987), p. 3; p. 20; English Heritage, 'The Future of Historic School Buildings', (English Heritage / Department for Education and Skills, nd.).
3 English Heritage, 'Vacant Historic Buildings. An Owner's Guide to Temporary Uses, Maintenance and Mothballing', (London: English Heritage, 2011), p. 2.
4 English Heritage, 'The Future of Historic School Buildings'.
5 English Heritage, 'Climate Change and the Historic Environment', (Swindon: English Heritage, 2008), p. 1.
6 National Atmospheric Emissions Inventory, 'Overview of Greenhouse Gases', NAEI, (2013) <http://naei.defra.gov.uk/overview/ghg-overview> [Accessed 26th January 2015].
7 Committee on Climate Change, 'Meeting Carbon Budgets – 2013 Progress Report to Parliament', (London: Committee on Climate Change, 2013), p. 109; United Nations Environment Programme, 'Buildings and climate change. Summary for decision makers', (Paris: United Nations Environment Programme, 2009), p. 6.

It is widely accepted that continuation of a building's original use is preferable,[8] but adaptive re-use, the act of changing a building so that it can be used in a way not originally intended, is an important solution to the problems resulting from vacancy. Adaptive re-use requires professionals to balance functional, technical and economic considerations with heritage conservation, climate change and sustainable development (Figure 1), within a framework of conflicting legislative requirements and best-practice guidelines. This is a considerable challenge,[9] compounded by a shortage of people with the necessary heritage and conservation skills. Most educational and training courses for the built environment professions (such as architects, building technologists and engineers), focus on modern materials and techniques[10] and consequently, there is a lack of understanding of traditional building pathology and of conservation philosophy which results in inappropriate maintenance, refurbishment and adaptation, putting heritage at risk.[11]

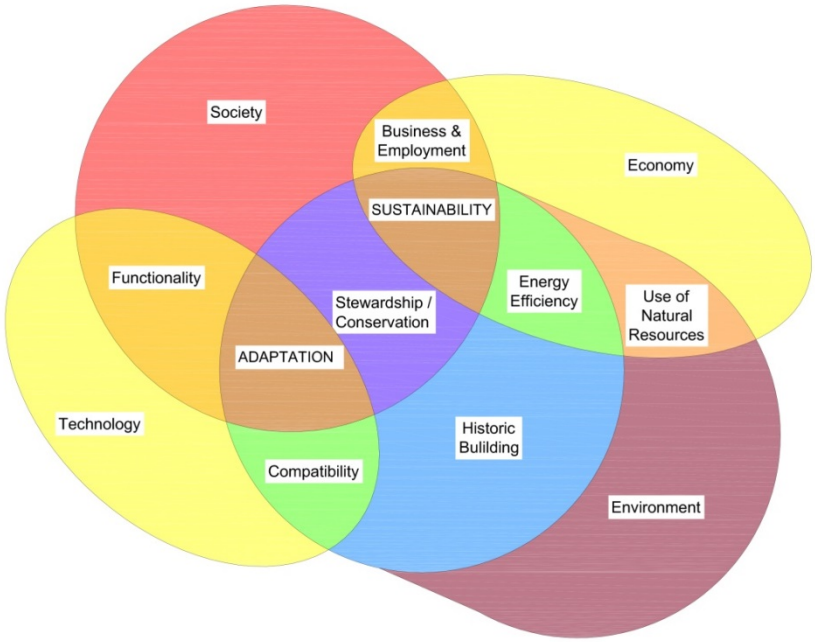

Figure 1: The relationship between adaptation of historic buildings and sustainability
(Author's own diagram inspired by 'The Importance of Environmental Sustainability', (nd.) <http://www.better-life.4utoc.com/saving_the_planet/environment_sustainability.php> [Accessed 26 February 2015] and R. Harrison, and R. Oades, *Heritage and Technology: New Ways of Working in Historic Buildings. ed. by Historic Buildings and Monuments Commission and Lucent Technologies (London: DEGW ETL, 1996),* p. 68). Sustainability includes protection of the environment, and promotion of equitable societies and economic viability, while adaptation needs to balance conservation of historic buildings with environment, society and technology.

8 Sherban Cantacuzino, 'Using and Re-Using Buildings', in *Concerning Buildings : Studies in Honour of Sir Bernard Feilden*, ed. by Stephen Marks (Oxford ; Boston: Butterworth-Heinemann, 1996), p. 158; John Earl, *Building Conservation Philosophy* (Shaftesbury: Donhead, 2003), p. 113; English Heritage, 'The Future of Historic School Buildings'.
9 Ladbury, Daniel and Ian Besford, 'Practical Considerations for the Design and Implementation of Refurbishment Projects of Historic School Buildings', (English Heritage / Mott MacDonald, 2011); Derek Latham, *Creative Re-Use of Buildings* (Shaftesbury, Dorset: Donhead, 2000), p. 41.
10 NHTG, 'Built Heritage Sector Professionals', (London: NHTG, 2008), p. 3; NHTG, 'Traditional Building Craft Skills', (London: NHTG, 2008), p. 3; John Preston, 'The Context for Skills, Education and Training', *Journal of Architectural Conservation,* 12 (2006), p. 35-37.
11 English Heritage, 'Climate Change and the Historic Environment', p. 1; English Heritage, 'Heritage Counts 2013', (English Heritage, 2013), p. 11-12).

Of the many types of vacant industrial, religious and institutional buildings, it is schools that are particularly well placed to benefit local communities through continued use because of their location within communities, and their familiarity to those communities. Since 80% of schools still in use are beyond their shelf-life and providing poor quality learning environments,[12] the number at risk of vacancy could increase dramatically if they are not adapted to overcome obsolescence.[13] This paper therefore examines the opportunities and challenges facing built environment professionals in adapting traditional school buildings for long-term sustainable use, while protecting their heritage significance and complying with climate change legislation that focuses on operational energy efficiency and carbon emissions. It argues that a holistic measure of sustainability with whole-life carbon footprints, and greater consideration for traditional building pathology, will enable adaptive re-use that is more compatible with conservation agendas.

A review of the literature is followed by an outline of the opportunities and challenges in adaptive re-use projects. Best-practice guidelines and the building regulations are then examined, before two case studies demonstrate successful adaptation of traditional school buildings into schools fit for the twenty-first century.

Context

Worldwide concerns about climate change have resulted in a series of international reports, commissions and agreements which in turn have prompted changes and additions to UK legislation.[14] The *National Planning Policy Framework* includes a presumption in favour of sustainable development in the broad environmental, social and economic sense, and recognises the importance of the built heritage within that.[15] The Climate Change Act 2008 and the Energy Act 2011 however, are concerned with maximising operational energy efficiency, the former using The Building Regulations *Approved Document Part L (ADL)* as a vehicle for implementation, and the latter using Energy Performance Certificates (EPCs), and they do not give sufficient recognition to the conflicts with broader measures of sustainability or heritage protection.[16]

Legislation is supplemented by third party documentation, voluntary standards and guidance from English Heritage, BRE and others. These best-practice documents can be categorised into two

12 Anna Scott-Marshall, 'Building a Better Britain', (London: RIBA, 2014), p. 45.
13 Catherine Burke, and Ian Grosvenor, *School* (London: Reaktion Books, 2008), p. 7; English Heritage, 'Refurbishing Historic School Buildings', (English Heritage, 2010), p. 3.
14 Keith Hall, 'Green Building Standards', in *The Green Building Bible: Volume 1*, ed. by Keith Hall (Llandysul: Green Building Press, 2008), p. 107; Designing Buildings Ltd, 'Kyoto Protocol', Designing Buildings Ltd, (2014) <http://www.designingbuildings.co.uk/wiki/Kyoto_Protocol> [Accessed 26th January 2015]; United Nations, 'Earth Summit', UN, (1997) <http://www.un.org/geninfo/bp/envirp2.html> [Accessed 20th January 2015]; World Commission on Environment and Development.
15 DCLG, 'National Planning Policy Framework', (London: DCLG, 2012).
16 Christopher Thompson, 'Minimum Energy Efficiency Levels for Letting Non-Domestic Property in April 2018', Mills and Reeve, (2014) <http://www.mills-reeve.com/minimum-energy-efficiency-levels-for-letting-non-domestic-property-in-april-2018-09-03-2014/> [Accessed 26 February 2015]; HM Government, 'The Building Regulations 2010. Conservation of Fuel and Power. Approved Document L2b', (London: NBS, 2010).

themes. The first details building pathology, sustainable adaptation measures and the impact on historic buildings,[17] and the second explores adaptive re-use of buildings, outlining the challenges, while arguing for the multiple benefits that heritage-led regeneration can bring to the environment, society and the economy.[18]

A smaller number of documents unite legislation, best-practice, sustainable development and adaptive re-use in the context of school buildings. Burke and Grosvenor[19] for example, trace the development of school buildings, discussing the changing educational requirements, adaptability of the built form, and the school's place in its community, while English Heritage[20] provides an outline of the problems emerging for buildings, their importance, and how adaptation can contribute to sustainable development. Ladbury and Besford[21] focus on practical considerations, making reference to the relevant legislation and best-practice guidance. The literature demonstrates an overwhelming number of objectives that are expected to be met in the historic environment and the ways in which the built heritage might be at risk.

Adaptive re-use

The challenges encountered in the adaptive re-use of a school are likely to mirror the reasons for its vacancy, and could support or weaken the case for adaptive re-use:

- Demographic changes impact on both the required capacity and the spaces required within and around a school;[22]
- Government guidelines on space allocations used for limiting construction and life-cycle costs can skew the economic viability of refurbishing schools which are larger than required; [23]

17 Historic Scotland, 'Technical Paper 1: Thermal Performance of Traditional Windows', (Edinburgh: Historic Scotland 2008); Historic Scotland, 'Technical Paper 10: U-Values and Traditional Buildings', (Historic Scotland, 2011);
BRE, 'Breeam Uk Refurbishment and Fit-out 2014', (Watford: BRE Global Ltd, 2014); English Heritage, 'Energy Efficiency and Historic Buildings', (Swindon: English Heritage, 2011); Keith Hall, *The Green Building Bible: Volume 1*. ed. by Richard Nicholls (Llandysul: Green Building Press, 2008); Robyn Pender, Brian Ridout, and Tobit Curteis, *Practical Building Conservation: Building Environment*. (Farnham: Ashgate, 2014); Prince's Regeneration Trust, *The Green Guide for Historic Buildings: How to Improve the Environmental Performance of Listed and Historic Buildings*. ed. by Trust Prince's Regeneration (London: TSO for The Prince's Regeneration Trust, 2010); Neil May, and Caroline Rye, 'Responsible Retrofit of Traditional Buildings', (London: Sustainable Traditional Buildings Alliance, 2012).
18 Deloitte, 'Heritage Works. The Use of Historic Buildings in Regeneration', (Swindon: English Heritage, 2013); Department Of The Environment; English Heritage, 'Regeneration and the Historic Environment. Heritage as a Catalyst for Better Social and Economic Regeneration', (English Heritage, 2005); Harrison, R. and R. Oades, *Heritage and Technology: New Ways of Working in Historic Buildings*. ed. by Historic Buildings and Monuments Commission and Lucent Technologies (London: DEGW ETL, 1996); Latham; John R. Pendlebury, *Conservation in the Age of Consensus* (London ; New York: Routledge, 2009); Lynda H. Schneekloth, Marcia F. Feuerstein, and Barbara A. Campagna, *Changing Places: Remaking Institutional Buildings* (Fredonia, N.Y.: White Pine Press, 1992).
19 Burke and Grosvenor.
20 English Heritage, 'Refurbishing Historic School Buildings'; 'The Future of Historic School Buildings'.
21 Ladbury and Besford.
22 Toby Helm, and Tracy McVeigh, 'Population Rise Will Force Schools to Use empty Shops and Warehouses', The Guardian, (2012) <http://www.theguardian.com/education/2012/jul/21/primary-school-pupils-taught-shops> [Accessed 26 February 2015]; Christine Taylor, 'Adaptive Reuse: How Regulatory Measures Imposed on Physical Characteristics Impact on the Reuse of School Buildings', in *Changing Places: Remaking Institutional Buildings*, ed. by Lynda H. Schneekloth, M Feuerstein and B Campagna (Fredonia, N.Y.: White Pine Press, 1992), p. 353.

- The logistics and economics of upgrading a school in use may reduce the viability of adaptation;[24]
- Changing pedagogies and curricula, along with inclusive approaches to teaching, impact on the size and flexibility of spaces required which can be difficult to accommodate in an existing building (Figure 2).[25] 'Heartspace' and atria for example, have become a standard feature of secondary school design in recent years, performing a role that straddles the social and educational realms.[26] They are often an important part of the environmental strategy but can be difficult to introduce into historic buildings;[27]
- Technical incompatibility relating to IT systems or science and technology facilities which the buildings were not designed to accommodate, can create difficulties with system design, spatial functionality and overheating;[28]
- Legislative requirements for fire, health and safety or accessibility may involve complex engineered solutions, amendments to existing internal layouts or additional accommodation; [29]
- User comfort can be compromised if buildings do not provide adequate levels of heating, cooling, ventilation and daylight, and attempts to treat the symptoms rather than the cause can result in high energy use and operational costs.[30]

In view of the challenges, adaptive re-use must offer advantages over new build and these can be discussed in terms of sustainability and heritage value. The environmental effects for an existing building have already been discharged,[31] and evidence has shown that the embodied energy and carbon emissions associated with demolition followed by rebuilding, is around the same energy as ten years' use.[32] Therefore, re-use has environmental benefits. At the building scale, Carrig Conservation and others found that investment in conserving the built heritage can bring considerable capital cost savings compared to new build (Figure 2), and of the buildings they studied, 80% of those re-used also had lower whole-life costs.[33] Pendlebury acknowledges that economic advantages exist, but is concerned that

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23 Ladbury and Besford, p. 7.
24 English Heritage, 'Refurbishing Historic School Buildings', p. 10; Ladbury and Besford, p. 15.
25 Burke and Grosvenor, p.166; English Heritage, 'Refurbishing Historic School Buildings', p. 10
26 (Education Funding Agency 2014a; 2014b) Education Funding Agency, 'Baseline Design: Superblock Section BB for a 1,200 Place Secondary School', EFA, (2014) <http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/276532/2_01_006_secondary_type_2_1200_section_bb.pdf> [Accessed 5 March 2015]; Education Funding Agency, 'School Building Design and Maintenance', EFA, (2014) <https://www.gov.uk/government/collections/school-building-design-and-maintenance> [Accessed 5 March 2015].
27 Ramboll, 'Elm Court School', Ramboll UK Ltd, (nd.) <http://www.ramboll.co.uk/projects/ruk/elm%20court%20school> [Accessed 26 February 2015].
28 Burke and Grosvenor, p. 154; English Heritage, 'Refurbishing Historic School Buildings', p. 10; Ladbury and Besford, p. 10.
29 Ladbury and Besford, p. 16; Alan Marshall, and Stephen Newsom, 'Fire Protection Measures in Scottish Historic Buildings', in *Fire Protection and the Built Heritage*, ed. by Ingval Maxwell, Audrey Dakin and Neil Ross (Edinburgh: Historic Scotland, 1999), p. 59.
30 P. Fanger, *Thermal Comfort* (Copenhagen: Danish Technical Press, 1970), p. 3 cited in Historic Scotland, 'Technical Paper 14: Keeping Warm in a Cooler House', (Edinburgh: Historic Scotland, 2011), p. 18.
31 English Heritage, *The Heritage Dividend: Measuring the Results of English Heritage Regeneration 1999-2002* (London: English Heritage, 2002), p. 48.
32 Ladbury and Besford, p. 17.
33 Carrig Conservation, McGrath Environmental Consultants, James P McGrath & Associates, and Murrary O'Laoire Architects, 'Built to Last. The Sustainable Reuse of Buildings', (Dublin: The Heritage Council, 2004), p. 4.

commodification of heritage assets could result in inappropriate adaptation.[34] At the wider scale, investment contributes to economic regeneration, particularly in socially and economically deprived areas, by creating employment opportunities and improving the public realm which encourages further investment.[35]

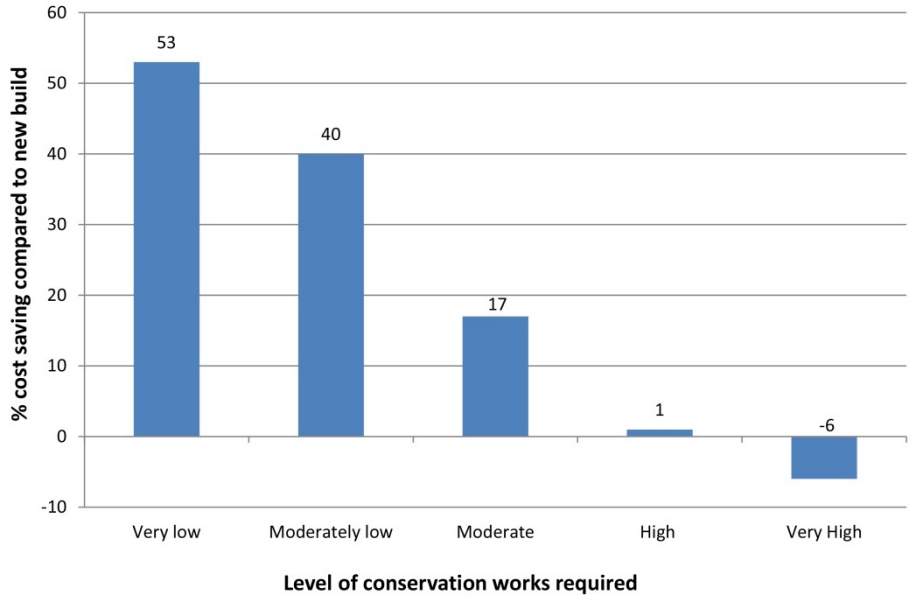

Figure 2: The potential capital cost savings associated with adaptive re-use compared to new build
(Author's own image with data from Carrig Conservation and others, 'Built to Last. The Sustainable Reuse of Buildings', (Dublin: The Heritage Council, 2004), p. 3). As would be expected, the benefits are greatest for those buildings which require the least conservation work (i.e. those that are in the best condition, not necessarily those that have a higher level of significance).

Many older buildings, and particularly school buildings, are valued by communities independently of aesthetic heritage significance which is formally recognised by the designation system. They are instantly recognisable, often a local landmark, and in addition to their educational role, have an important role in providing space for community use.[36] Adapting to ever-changing educational, social and communal needs, schools provide a physical record of the history of education, communities and architecture, and reinforce community identity and social cohesion through shared experience and memory spanning multiple generations.[37]

With so many challenges and opportunities, it is inevitable that compromises will be made in the process of adaptive re-use. These might be functional, technical, operational, legislative (where permitted by the relevant officer) or historical, affecting the significance, authenticity, integrity and performance of the building. Cantacuzino[38] has noted the paradox that saving a building often involves destroying some

34 Pendlebury, p. 121-122.
35 Deloitte, p. 12; English Heritage, *The Heritage Dividend*, p. 8.
36 Burke and Grosvenor, p. 7; English Heritage, 'Refurbishing Historic School Buildings', p. 3; English Heritage, 'The Future of Historic School Buildings'.
37 Burke and Grosvenor, p. 8; p. 10; p. 59;p. 62; p. 189; English Heritage, 'The Future of Historic School Buildings'; Latham, p. 5-6.
38 Cantacuzino, p. 164.

of it and Harrison and Oades[39] accept that 'a broader spirit of compromise may be necessary' than would ordinarily be the case for conservation projects because of the benefits of re-use. The best-practice guidance is instrumental in assisting professionals with this dilemma.

Best-practice

Heritage organisations

English Heritage promotes 'constructive conservation' which is about managing change to maintain and improve historic significance while allowing adaptation to ensure buildings remain in use.[40] Publications encourage the assessment of aesthetic, historic, evidential and communal values in order to make judgements about significance, and of conservation philosophies such as minimal intervention, compatibility, reversibility and authenticity.[41] English Heritage and Historic Scotland generally concur on philosophy and practical adaptation techniques, though Historic Scotland tends to be more progressive and experimental in its approach. Their literature explains building pathology and techniques for measuring performance and condition, and the practical ways in which a building might be adapted for energy efficiency. They caution against the introduction of impermeable materials and modern construction techniques because they may compromise historic fabric and character.[42] The Prince's Regeneration Trust promotes a similar approach, in addition to the implementation of good post-occupancy management, and the use of life-cycle energy assessments.[43]

BRE

BRE's *BREEAM UK Refurbishment and Fit-out* scheme is a voluntary assessment scheme that measures building performance against best-practice sustainable refurbishment with the aim of limiting life-cycle impacts on the environment.[44] Buildings are assessed in ten key areas at refurbishment and operational stages, and in-built flexibility means that beyond the minimum credits that must be achieved in each category, additional measures can be chosen to suit project priorities.[45]

In recognition of the difficulties associated with adapting historic buildings in a sustainable way that is not detrimental to their fabric and character, the latest version includes credits that are tailored to

39 Harrison and Oades, p. 68.
40 English Heritage, 'Refurbishing Historic School Buildings', p. 3.
41 English Heritage, 'Climate Change and the Historic Environment', p. 28-32; p. 45-47.
42 English Heritage, 'Energy Efficiency and Historic Buildings'; English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Roofs at Ceiling Level', (Swindon: English Heritage, 2012); English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Roofs at Rafter Level', (Swindon: English Heritage, 2012); English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Solid Walls', (Swindon: English Heritage, 2012); English Heritage, 'Energy Efficiency and Historic Buildings. Secondary Glazing for Windows', (Swindon: English Heritage, 2012); English Heritage, 'Energy Efficiency and Historic Buildings. insulating Solid Ground Floors', (Swindon: English Heritage, 2012); Historic Scotland, 'Improving Energy Efficiency in Traditional Buildings', (Edinburgh: Historic Scotland, 2011).
43 The Prince's Regeneration Trust.
44 BRE, p. 7.
45 BRE, p. 22; p. 25-26.

reflect the limitations imposed by a building's significance.[46] In the energy category for example, there is a different scale for energy efficiency improvements to designated buildings, and additional credits are available specifically for demonstrating an understanding of the building's significance and an evaluation of which adaptations may and may not be appropriate.[47] It is interesting to note that listed buildings perform better than other building types in this category (Figure 3). The traditional but un-designated stock however, is not able to benefit from the special considerations and allowances, and so these 'general' refurbishment projects may be disadvantaged by the scoring method. They are not only put at risk of inappropriate adaptation, but also of being rated on an unequal footing in terms of performance, potentially making them a less attractive option for adaptive re-use.[48]

	Management	Health & Wellbeing	Energy	Transport	Water	Materials	Waste	Land-use and ecology	Pollution
New Build	1	1	2	3	1	3	1	1	1
Listed Refurbishment	2	3	1	1	2	1	3	2	2
General Refurbishment	3	2	3	2	3	2	2	3	3

Figure 3: The relative ranking of performance for new build, listed refurbishment and general refurbishment projects (which includes non-designated traditional buildings), in each of the ten BREEAM assessment areas
(Kiruthiga Balson, Gavin Summerson, and Andrew Thorne, 'Sustainable Refurbishment of Heritage Buildings – How Breeam Helps to Deliver ', (Watford: BRE Global Ltd, 2014), p. 5. Available at http://www.breeam.com/filelibrary/Brochures/Heritage-Sustainable-Refurbishment-v2.pdf. Reproduced courtesy of BRE).

Yates[49] developed a concept for sustainable housing refurbishment that could be tailored to the adaptive re-use of any building type (Figure 4). It measures the consequences of adaptions on historic fabric and character by reference to regulatory requirements and Eco-homes ratings (the former domestic version of BREEAM ratings). As the scale of adaptation increases, there is move towards sustainability, but greater impact on the heritage value of the building. The 'conservation limit' which is positioned according to the building's significance, determines the point beyond which the significance is compromised, and best-practice in conservation would be to limit adaptation to measures within this limit. It so happens that this is around the level of regulatory compliance.

46 Kiruthiga Balson, Gavin Summerson, and Andrew Thorne, 'Sustainable Refurbishment of Heritage Buildings – How BREEAM Helps to Deliver ', (Watford: BRE Global Ltd, 2014).
47 Balson, Summerson, and Thorne, p. 7.
48 Senior Architectural Systems, 'Breeam', Senior Architectural Systems, (nd.) <http://www.seniorarchitectural.co.uk/support/breeam/> [Accessed 26 February 2015].
49 Tim Yates, *Sustainable Refurbishment of Victorian Housing: Guidance, Assessment Method and Case Studies*. ed. by BRE Trust (Bracknell: IHS BRE Press, 2006), p. 9; p. 14.

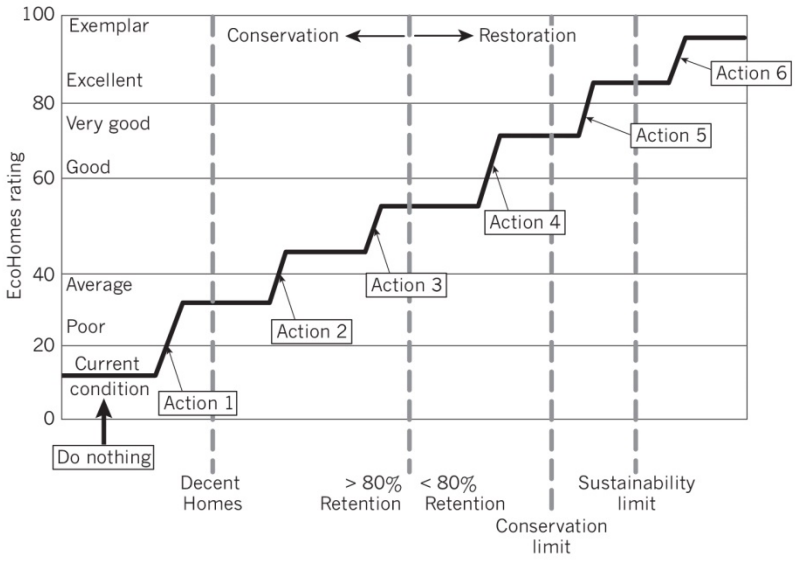

Figure 4: The relationship of adaptation actions with conservation and sustainability limits
(Tim Yates, *Sustainable Refurbishment of Victorian Housing: Guidance, Assessment Method and Case Studies.* ed. by BRE Trust (Bracknell: IHS BRE Press, 2006), p. 9. © IHS, reproduced with permission from BRE FB 14). Actions are progressively more invasive i.e. Action 1 includes installation of an energy efficient lighting system, and Actions 4 and 5 include window replacement, floor insulation and internal and external wall insulation, which, depending on the significance of the building, may be within, or beyond the conservation limit at the point where they meet the regulatory requirements (Tim Yates, p. 14-17).

The Building Regulations

In common with legislation in other European countries, but contrary to the best-practice guidance, The Building Regulations *Approved Document Part L (ADL)* promotes a simplistic approach to reducing environmental impact.[50] It is concerned only with improving operational energy and takes no account of the embodied energy associated with adaptation to achieve this. It demonstrates one way of complying with the energy efficiency requirements, which are triggered when thermal elements are changed, where there is a change of use or energy status, or where consequential improvements are required because of an extension or changes to the capacity of fixed building services.[51] In the case of an extension, 10% of the value of the extension should be spent on improving the fabric and / or service performance of the original building (Figure 5). Heating and lighting are the biggest energy consumers in non-domestic buildings, accounting for 69% of operational energy used.[52] An efficient lighting system would typically save 30% of a non-domestic building's energy usage, and a new heating system could save up to 50% compared to the older systems, reducing the building's energy use by over 40%,[53] providing a compelling case for improving services before fabric. However, when the requirement for improvement is triggered

50 Tina Wik, 'Sustainable Architectural Conservation', in *Imagining Conservation : The Next 20 Years*, ed. by Navin Piplani (York: York Conservation Studies Alumni Association, 2013), p. 62.
51 HM Government, p. 4; p. 8-9.
52 Pender, Ridout, and Curteis, p. 513.
53 Carbon Trust, 'Energy Saving Fact Sheet. Lighting', (London: Carbon Trust, 2005); Rehema, 'Condensing Boilers - the Healthy Way for Energy Efficient Heating' (nd.) <http://www.remeha.co.uk/news/condensing-boilers-the-healthy-option-for-energy-efficient-heating-2> [Accessed 11 March 2015].

by a heating system upgrade, there is no option to make further service improvements, and fabric improvements to walls, floors and roofs should be made first, followed by improvements to windows and doors, ideally to match the lowest permissible level of compliance for new build.[54] This is disadvantageous to traditional buildings because the most sensitive way of conserving them is often through the selection of service improvements which have minimal impact on fabric and character.[55]

No.	Improvement measure
1	Upgrading heating systems more than 15 years old by the provision of new plant or improved controls
2	Upgrading cooling systems more than 15 years old by the provision of new plant or improved controls
3	Upgrading air-handling systems more than 15 years old by the provision of new plant or improved controls
4	Upgrading general lighting systems that have an average lamp efficacy of less than 40 lamp-lumens per circuit-watt and that serve areas greater than 100 m² by the provision of new luminaires or improved controls
5	Installing energy metering following the guidance given in CIBSE TM 39
6	Upgrading ***thermal elements*** which have U-values worse than those set out in column (a) of Table 5 following the guidance in paragraphs 5.12 and 5.13
7	Replacing existing windows, roof windows or rooflights (but excluding display windows) or doors (but excluding high-usage entrance doors) which have a U-value worse than 3.3 W/m².K following the guidance in paragraphs 4.23 to 4.28
8	Increasing the on-site low and zero carbon (LZC) energy-generating systems if the existing on-site systems provide less than 10% of on-site energy demand, provided the increase would achieve a simple payback of 7 years or less
9	Measures specified in the Recommendations Report produced in parallel with a valid Energy Performance Certificate

Figure 5: Fabric and service adaptations suitable for satisfying the consequential improvements requirement when a building is extended
(HM Government, 'The Building Regulations 2010. Conservation of Fuel and Power. Approved Document L2b', (London: NBS, 2010), p. 24.
See http://www.planningportal.gov.uk/uploads/br/BR_PDF_AD_L2B_2015.pdf and http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/). Note that whereas item 6 refers to thermal elements (walls, roof and floor) being upgraded, it appears that for item 7, windows and doors should be *replaced* and not upgraded, which could compromise a traditional building's significance.

The methods specified by *ADL* for calculating fabric heat loss are based on modern construction principles which do not produce accurate results when applied to traditional types of construction.[56] It has been shown that solid walls perform better than the standard computer programmes are able to calculate, in part because of the unknown construction build-up (i.e. how much of the wall is masonry / mortar) but also because permeable materials behave differently.[57] For each of the three main building elements, (walls, roof and windows), there are a number of adaptation options. They have variable degrees of effectiveness in terms of minimising fabric heat loss, but there is no clear relationship between this and the impact on the building's character or fabric (Figure 6). There is no way of improving the u-value (the thermal transmittance, or rate of heat loss) of walls without affecting either character or fabric, but breathable materials carry fewer long-term risks. Research has also proven that relatively non-invasive adaptations can be made to windows to improve their performance,[58] and this is particularly interesting because the figures show that there are four adaptation combinations that equal or out-

54 HM Government, p. 24-25.

55 Jonathan David, *Guide to Building Services for Historic Buildings: Sustainable Services for Traditional Buildings*. ed. by Carbon Trust and Energy Action (London: Chartered Institute of Building Services Engineers, 2002), p. 8.
56 Historic Scotland, 'Technical Paper 10', p. II.
57 English Heritage, 'Climate Change and the Historic Environment', p. 8; Historic Scotland, 'Technical Paper 10', p. 30-32.
58 Historic Scotland, 'Technical Paper 1', p. 13; Chris Wood, Bill Bordass, and Paul Baker, 'Research into the Thermal Performance of Traditional Windows: Timber Sash Windows', (English Heritage, 2009), p. 13.

perform double glazing. These alternatives have minimal impact on historic character and fabric, but have two drawbacks. Firstly, they rely on responsible management of the building, and secondly, the use of shutters, blinds and curtains may not be suitable during the day as they affect natural lighting levels. Secondary glazing with shutters may achieve the best balance as the use of secondary glazing only during the day already exceeds the minimum performance requirement, and if insulated shutters are used at night, this is further enhanced.

This raises interesting questions about adaptation requirements, and the flexibility to accept adaptations that are not operational 'full time.' Since it can be argued that the biggest factor affecting energy use is occupant behaviour[59], a reliance on user intervention may not be deemed acceptable. However, it follows that 'full time' / permanent adaptations made in accordance with the regulations cannot be taken as an absolute measure of energy efficiency either because a well-managed building with a high rate of fabric heat loss may use less energy than a mismanaged comparable building that has been adapted to limit it.

An exemption from the requirements of ADL applies to designated assets and those in conservation areas where compliance would 'unacceptably alter the character or appearance of the buildings'. Special considerations *may* apply to buildings identified in local lists, in sensitive locations and to those which are traditionally constructed. Energy efficiency is expected to be improved as far as practicable, without harming the character or risking long-term fabric deterioration and *ADL* refers to English Heritage's publications for best-practice guidance.[60] For designated buildings, the conservation officer's negotiations could be beneficial in bridging heritage protection and sustainability requirements, but the lack of explicit instruction on whether special considerations apply to non-designated buildings could cause come difficulties. This decision can be determined by a single building control officer, who may not be experienced in conservation issues, but who has the power to encourage or even enforce, a level of energy efficiency adaptation that is detrimental to historic character and fabric, the wider project objectives and its viability.

59 Deloitte, p. 8.

60 English Heritage, 'Energy Efficiency and Historic Buildings'; English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Roofs at Ceiling Level'; English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Roofs at Rafter Level'; English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Solid Walls'; English Heritage, 'Energy Efficiency and Historic Buildings. Secondary Glazing for Windows'; English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Solid Ground Floors'; HM Government, p. 9-10.

Element	Required u-value	Adaptation method	U-value of element after adaptation	Impact on character or fabric	Other
Wall	0.3	50mm rigid insulation board with vapour control layer, mechanically fixed to internal face of wall, on timber battens at 600mm centres, with 12.5mm plasterboard and 3mm skim	0.3	Potential loss of interior details (e.g. cornices, architraves, skirting boards etc). Risk of condensation and thermal bridging	
		150mm sheep's wool fixed internally between timber battens at 600mm centres, with	0.232	Potential loss of interior details (e.g. cornices, architraves, skirting boards etc). Loss of internal space	
		55mm rigid insulation board fixed to wall exterior and finished with 10mm polymer render	0.3	Change to external appearance incl. loss of features. Wall no longer breathable	
		100mm wood fibre board fixed to wall exterior and finished with 15mm lime render	0.26	Change to external appearance incl. loss of features	
Roof	0.16 (ceiling level)	270mm glass / rock wool insulation	0.16	No impact on character. Potential condensation risk to fabric	
		250mm sheep's wool / hemp	0.16	No impact	
		217mm cellulose fibre	0.16	No impact	
Window	1.8	Double glazing	1.2-1.8	Considerable change to character – possible change to frame material, proportions, profile size & design, and different appearance of glass (double reflection and no surface imperfections)	
		Victorian blind and shutters	1.8	Minimal – character retained; reversible adaptations	Reliant on user interaction and may not be suitable for use during the day
		Secondary glazing	1.7	Minimal – character retained; reversible adaptations	
		Victorian blind, shutters and curtains	1.6	Minimal – character retained; reversible adaptations	Reliant on user interaction and may not be suitable for use during the day
		Secondary glazing and insulated shutters	1.0	Minimal – character retained; reversible adaptations	Partly reliant on user interaction and may not be suitable for use during the day
		Draughtproofing	5.4 – no change	Very minimal – character retained; reversible adaptation	Up to 86% reduction in air filtration which reduces the need for heating and lowers the energy requirement

Figure 6: Adaptation options for improving thermal performance to the levels required under *ADL*
(Author's own table with information sourced from Black Mountain, 'Natural Sheep's Wool Insulation', (Bradwell on Sea: Black Mountain Insulation Ltd, nd.); English Heritage, 'Energy Efficiency and Historic Buildings. Insulating Roofs at Rafter Level', (Swindon: English Heritage, 2012), p. 18; English Heritage, 'Draughtproofing', English Heritage, (nd.) <http://www.english-heritage.org.uk/your-home/saving-energy/older-houses/draught-proofing/> [Accessed 11 March 2015]; Historic Scotland, 'Technical Paper 1: Thermal Performance of Traditional Windows', (Edinburgh: Historic Scotland 2008), p. 13; Kingspan, 'Kooltherm K5 External Wall Board', (Leominster: Kingspan, 2011), p. 3; Kingspan, 'Kooltherm K18 Insulated Plasterboard for Mechanically Fixed Dry Lining', (Leominster: Kingspan, 2011), p. 2; Lime Green Products Ltd, 'Warmshell External Wall

Insulation System', (Much-Wenlock: Lime Green Products Ltd, nd.); Nordan, 'Performance: Energy Saving', Nordan, (2013) <http://www.nordan.co.uk/UK/performance/energy_saving.php> [Accessed 1 March 2015]). Note that a lower u-value is better than a higher u-value.

Case studies

Elm Court School, London

The former Strand Grammar School which is located in a conservation area, was built in 1912. It had been vacant since the 1980s prior to its selection for adaptive re-use in the government's Building Schools for the Future programme, through which it was adapted to become a new secondary school, Elm Court, providing places for 100 children with special educational needs. The building was chosen for its architectural merit, its status as a community landmark, and because of its identity as a school.[61]

The strategy was to renovate the deteriorating building externally, but to also introduce new materials and structures, including a glazed stair tower.[62] To the rear of the site, two new buildings were constructed, one for sport and the other for the arts, connected by an amphitheatre, but physically separate from the historic building so as not to compromise its significance (Figures 7, 8 & 9).[63]

Figure 7: The vacant building prior to adaptation (Philip Ives, Marcel Hendricks, and David Tasker, 'Elmcourt SEN School', Slideshare, (nd.) <http://www.slideshare.net/VikkiJacobs/philip-ives-marcel-hendricks-david-tasker> [Accessed 26 February 2015]).

61 English Heritage, 'Refurbishing Historic School Buildings', p. 5; Ramboll; Sarah Richardson, 'Project of the Month: Elm Court School, Lambeth', Building, (2010) <http://www.building.co.uk/news/project-of-the-month-elm-court-school-lambeth/3157428.article#> [Accessed 23 February 2015].
62 English Heritage, 'Refurbishing Historic School Buildings', p. 5; Ives, Hendricks, and Tasker, 'Elmcourt SEN School', Slideshare, (nd.) <http://www.slideshare.net/VikkiJacobs/philip-ives-marcel-hendricks-david-tasker> [Accessed 26 February 2015].
63 Ives, Hendricks, and Tasker; Richardson.

Figure 8: After adaptation, the building retained its architectural aesthetic to the front (jmarchitects, 'Elm Court SEN School, Lambeth', jmarchitects, (2015) <http://www.jmarchitects.net/projects/elm-court/> [Accessed 26 February 2015]).

Figure 9: The original building, with the new sports building, arts building and amphitheatre
(Philip Ives, Marcel Hendricks, and David Tasker, 'Elmcourt SEN School', Slideshare, (nd.)
<http://www.slideshare.net/VikkiJacobs/philip-ives-marcel-hendricks-david-tasker> [Accessed 26 February 2015]).

The design team was conscious of the environmental impact of the materials specified, so existing materials were re-used wherever possible, accompanied by durable, low maintenance new materials, in order to minimise the building's carbon footprint, though the windows were a notable exception.[64] The conservation officer had wanted the original window aesthetic to be retained, but acknowledging that higher thermal and acoustic performance was required, agreed to an alternative specification (Figure 10). A composite window type was selected for the replacement fittings, with an aluminium exterior and timber interior, energy efficient glass and vents at the bottom, but because of their size and the technical requirements they had to be sourced from Germany. The combination of metal, glass and transport does not appear to be a low carbon option,[65] however the windows do provide good levels of day lighting, reducing the need for electric light. The traditional design complements both the original interior

64 'Case Study: Elm Court School', *BSEC 2010: The Journal* (2010) p. 20-21.
65 'Case Study: Elm Court School', p. 21; Ives, Hendricks, and Tasker.

detailing (such as picture rails) and the new finishes. It has been claimed that the building is super-insulated throughout, but Figure 10 appears to provide evidence that the walls are not.[66]

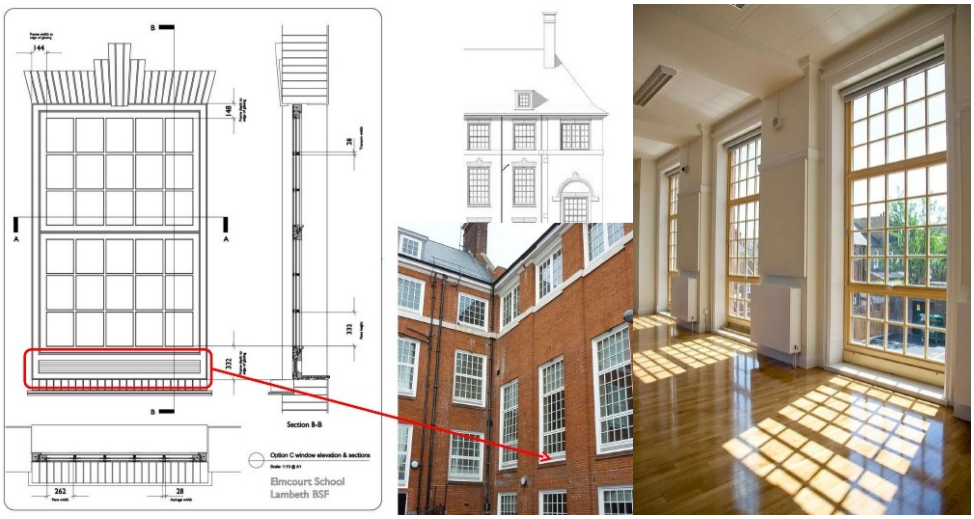

Figure 10: The new windows closely resemble the architectural style of the original and provide good levels of day lighting (Philip Ives, Marcel Hendricks, and David Tasker, 'Elmcourt SEN School', Slideshare, (nd.) <http://www.slideshare.net/ VikkiJacobs/philip-ives-marcel-hendricks-david-tasker> [Accessed 26 February 2015]).

Radical changes were permitted internally, in order to provide light, flexible and visually connected spaces, which proved a challenge to the design team.[67] The original building had a large hall immediately behind the entrance, with intrusive downstand beams, split level floors above, and cellular classroom accommodation accessed from dark corridors (Figure 11).[68] Internal adaptation works included:

- addition of steel trusses to raise the floor and remove the split level;
- removal of downstand beams to the former hall;
- addition of a floor across the hall space to create office accommodation and therapy rooms at the lower level, with an open plan flexible space above;
- creation of an atrium in the middle of the building;
- and new doors to link the atrium to the external quad via the dining hall (Figure 12).[69]

The atrium juxtaposes original architectural features with modern materials such as the ETFE roof, and is an essential part of the ventilation strategy. It draws air through the window vents, across the classrooms, and expels it via the stack effect through vents near the top of the atrium. The thermal mass assisted this process and may also contribute to night-time cooling.[70]

The building retained its architectural aesthetic to the front, with the contrasting yet subservient addition of the glazed stair tower. This is functional and of its time, and is a good solution to complying

66 'Case Study: Elm Court School', p. 21; English Heritage 2010, 5; Ives, Hendricks, and Tasker; Ramboll.
67 'Elm Court's Rebuilt Facilities Have Sustainability Built-In', *Sustainable FM* (2010), p. 14; Ramboll nd.)
68 Ives, Hendricks, and Tasker.
69 'Elm Court's Rebuilt Facilities'; Ramboll; Ives, Hendricks, and Tasker; Richardson.
70 'Case Study: Elm Court School', p. 21; Ives, Hendricks, and Tasker; English Heritage, 'Refurbishing Historic School Buildings', p. 5.

with the fire escape regulations because it involved relatively little disturbance of the fabric compared to accommodating a stair internally, and ensured the viability of the scheme. The external renovation has benefits beyond conservation of the building as it also improves the streetscape.[71]

Figure 11: Section through building prior to remodelling
(Adapted from image by Philip Ives, Marcel Hendricks, and David Tasker, 'Elmcourt Sen School', Slideshare, (nd.) <http://www.slideshare.net/VikkiJacobs/philip-ives-marcel-hendricks-david-tasker> [Accessed 26 February 2015]).

Figure 12: Section through building after extensive remodelling
(I Philip Ives, Marcel Hendricks, and David Tasker, 'Elmcourt Sen School', Slideshare, (nd.)
<http://www.slideshare.net/VikkiJacobs/philip-ives-marcel-hendricks-david-tasker> [Accessed 26 February 2015]).

King Edward VII School, Sheffield

The Grade II* listed King Edward VII School in Sheffield's Broomhill conservation area was built in 1838, remodelled in 1905 and added to throughout the twentieth century (Figure 13). It is considered to be a 'focal building' in the conservation area, and of significant merit[72] but by the twenty-first century, it did not meet the school's needs.[73] Alongside refurbishment of the original building, new accommodation

71 English Heritage, 'Refurbishing Historic School Buildings', p. 5; jmarchitects, 'Elm Court SEN School, Lambeth', jmarchitects, (2015) <http://www.jmarchitects.net/projects/elm-court/> [Accessed 26 February 2015].
72 King Edward VII School, 'Post 16 Prospectus', (nd.); Sheffield LEP, 'Exhibition Display Boards', (2010) <http://www.sheffieldbsfschools.com/schools/KingEdward/Design%20Exhibition/Design_Exhibition_display_boards.pdf> [Accessed 9 March 2015].
73 Sheffield LEP, 'Exhibition Display Boards'.

was built for technology intensive spaces.[74] The concept was for minimal intervention, and the design team, conservation officers and English Heritage worked together to agree a solution[75]

The existing interior was reorganised to provide better accommodation groupings and more legible circulation (Figures 14 & 15). However, the highly significant 1838 entrance area and 1905 hall were retained with some of the later additions to these spaces removed to recover the original design. Sustainability was an important part of the project and energy efficiency measures in the original building included window refurbishment, roof insulation, energy efficient lighting, heating and ventilation systems, and metering.[76] Additionally, materials from the demolished buildings were used in the new building to minimise the embodied energy and carbon footprint of the scheme (Figure 16). The new building is quite dominant in terms of its massing, and this was one of the arguments of the local conservation group, but it has a limited impact on the conservation area.[77]

Compromises are inevitable in adaptive re-use schemes, and construction of the new building kept the original building in use. The re-use is acknowledged as a measure of sustainability,[78] and the conservation officers felt the project achieved a balance between user need and conservation.[79]

Figure 13: The original building dates to 1838 (King Edward VII School, 'Post 16 Prospectus', nd.).

74 English Heritage, 'Successful School Refurbishment Case Studies', (English Heritage, 2011).
75 HLM, 'King Edward VII Upper School and Language College. Planning Application Design Statement', (2010), p. 12; King Edward VII School, 'Post 16 Prospectus', King Edward VII School, 'Prospectus', (nd.). Sheffield LEP, 'Exhibition Display Boards', p. 4.
76 HLM, p. 25; Sheffield LEP, 'Exhibition Display Boards', p. 4; Sheffield LEP, 'Exhibition Introduction' (2010) <http://www.sheffieldbsfschools.com/schools/KingEdward/Design%20Exhibition/Design_Exhibition_Introduction.pdf> [Accessed 9 March 2015].
77 Sheffield LEP, 'Exhibition Display Boards', p. 4; Sheffield Telegraph, 'Planners to decide over school facelift', (2010) <http://www.sheffieldtelegraph.co.uk/what-s-on/planners-to-decide-over-school-facelift-1-1831772> [Accessed 9 March 2015].
78 Sheffield LEP, 'Exhibition Display Boards', p. 2; Sheffield LEP, 'Exhibition Introduction'.
79 Sheffield LEP, 'Exhibition Introduction'; Sheffield Telegraph.

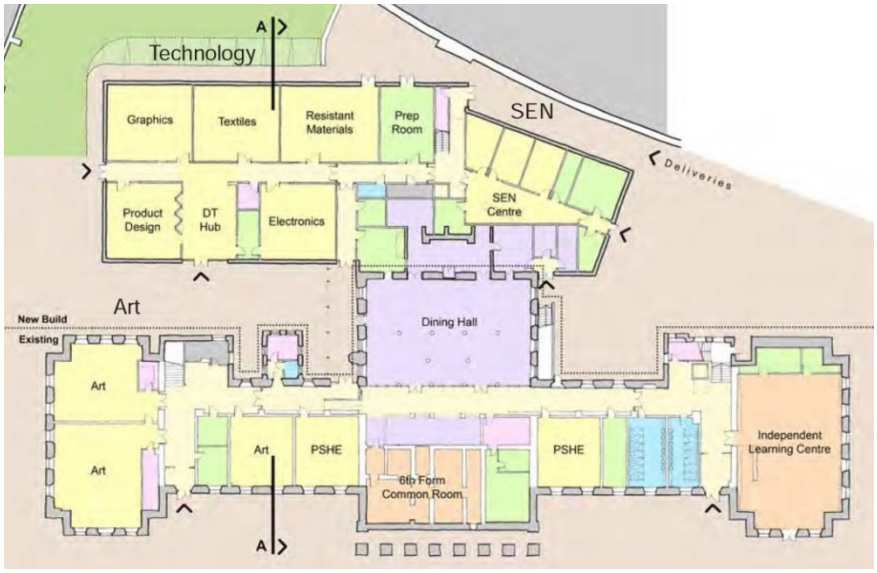

Figure 14: The re-organised interior layout
(Sheffield LEP, 'Exhibition Display Boards', (2010)
<http://www.sheffieldbsfschools.com/schools/KingEdward/Design%20Exhibition/Design_Exhibition_display_boards.pdf>
[Accessed 9 March 2015], p. 4). Image courtesy of Sheffield LEP Ltd and Sheffield City Council.

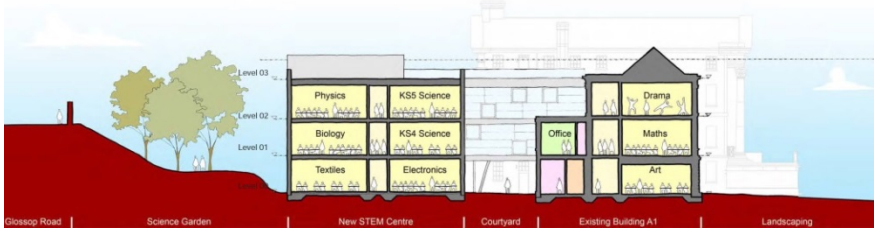

Figure 15: Section through the development
(Sheffield LEP, 'Exhibition Display Boards', (2010)
<http://www.sheffieldbsfschools.com/schools/KingEdward/Design%20Exhibition/Design_Exhibition_display_boards.pdf>
[Accessed 9 March 2015], p. 4). Image courtesy of Sheffield LEP Ltd and Sheffield City Council.

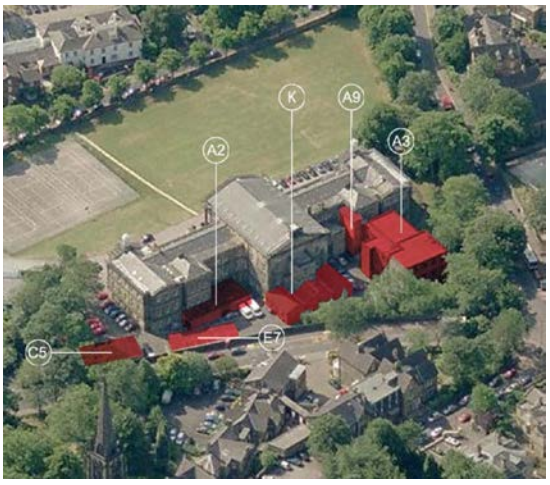

Figure 16: Materials from the demolished buildings (shown red) were used in the new buildings to minimise the embodied energy and carbon footprint of the scheme
(Sheffield LEP, 'Exhibition Display Boards', (2010)
<http://www.sheffieldbsfschools.com/schools/KingEdward/Design%20Exhibition/Design_Exhibition_display_boards.pdf>
[Accessed 9 March 2015], p. 2). Image courtesy of Sheffield LEP Ltd and Sheffield City Council.

Critique

Both buildings achieved a 'Very Good' BREEAM rating and are used by English Heritage as examples of how successful learning environments can be created in older schools.[80] Successes of the projects include: bringing a vacant building back into long term sustainable use and securing the future of a Grade II* listed building, both for their original purpose; safeguarding external fabric and character; integrating modern design into historic settings; creating spatial flexibility; improving energy efficiency; and achieving all of these successes while minimising the life-cycle carbon footprints. However, compromises were made, most notably the loss of the original internal layout and windows at Elm Court School. The works were carried out under previous building regulations and *BREEAM* assessments, and so it would be interesting to compare the outcome with that which would be expected in 2016. The high significance of King Edward VII School would probably be sufficient to protect it from inappropriate adaptation under the current *ADL*, but as Elm Court School is not listed, and only its external appearance was a consideration to the conservation officer, it may be that further energy efficiency adaptations would now be expected. The effective relaxation of *BREEAM* requirements for historic buildings means that both buildings could be eligible to receive additional credits resulting in either a higher score for the same level of adaptation, or the same score for less adaptation. Reconciling the potential contradictions between *ADL* and *BREEAM* would be dependent on the knowledge and negotiation skills of the professionals involved.

Conclusion

Adapting traditional school buildings to meet twenty-first century needs gives conservation professionals exciting opportunities, but the legislative focus on energy efficiency challenges heritage protection and sustainability. Adaptive re-use is an opportunity to:

- Safeguard the built heritage from vacancy and secure its future by improving functionality, comfort and performance;
- Benefit communities by providing school places and community facilities at their heart;
- Capitalise on the favourable economics of re-use so that heritage can act as a catalyst for regeneration, creating sustainable communities.

Most built environment professionals do not have conservation knowledge, and, if operational energy efficiency is prioritised, buildings *and* the broader measures of sustainability are at risk. Where energy efficiency adaptations reach the 'conservation limit,' the scope for meeting the other project objectives may be reduced, thereby limiting or even eliminating, re-use options and regeneration potential. If the 'conservation limit' is exceeded there is a risk of harm to a building's character and fabric. While some

80 English Heritage, 'Refurbishing Historic School Buildings', p. 5; English Heritage, 'Successful School Refurbishment Case Studies'.

compromise to the significance of buildings may need to be made in order to achieve the benefits of adaptive re-use, the narrow definition of energy efficiency makes little sense in the broader measure of a building's life-cycle energy use and carbon footprint, and change to the energy efficiency legislation is essential. Possibilities include:

- Improve understanding of heat loss so that the performance of traditional buildings is not underestimated, as this leads to greater intervention than necessary;
- Greater flexibility to accept alternative adaptation methods so that simple measures such as draughtproofing and secondary glazing are acknowledged as improving energy efficiency;
- Explicit wording on the requirements for undesignated buildings, so that special considerations *should* apply rather than *may* apply. If a building has traditional construction it is just as vulnerable to deterioration from inappropriate adaptation as any other of the same construction, irrespective of significance;
- Shift the focus away from operational energy efficiency to life-cycle energy so that adaptations can be considered in terms of net savings. BREEAM could provide a good model for this.

Together, these changes could result in less invasive adaptation, which aligns with important conservation philosophies such as minimal intervention, compatibility and authenticity. Having recognised the possibilities for improvement, the next challenge is to implement them within the legislative framework derived from international agreements and directives.

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Beauty in the Eye of the Evaluator: Thinking on the Poetic Thought of Richard Payne Knight in *The Landscape*

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In the fourth chapter of *Nature*, published in 1836, Ralph Waldo Emerson resolutely declared the substance of thought in linguistic exchange to be traceable to material concrete reality, the meanings of all words originating in 'sensible things'.[1] Etymologically, however, he was quite mistaken.[2] Notwithstanding, what captured Emerson's attention in the first place was not strictly the 'truth' of a historical linguistic analysis of thought but the path to an objective truth that language makes accessible through a style of poetic thought.[3] Differing only in his preference for secularism over Emerson's pantheistic transcendentalism, modernist philosopher Theodor Adorno in *Aesthetic Theory*, published posthumously in 1970, ends up in approximately the same territory, repositioning truth away from subjective dictation and investing it in a specific object of thought, the artwork.[4] The truth content contained at the heart of Emerson's 'language' and Adorno's 'art' converges at the coordinates determined by poetic thought, while terms used by the two such as 'reason' and 'critique'[5] are performative of and superintend the necessary first steps towards that truth. Late eighteenth-century British scholar of antiquities Richard Payne Knight employs in his expansive didactic poem *The Landscape* the same method of poetic thought intimated in the reason of Emerson and employed by the critique of Adorno, demonstrating how such thought functions in the performance of his critical system of landscape appreciation to extract from its object an expression of truth content as mediated nature. Specifically, Knight's refusal to subscribe to Enlightenment aesthetic practice, and his theories of visual primacy and harmonic intermixture formed in contrast to it, comprises his unique position as a critic to harvest this truth-content from the object of his poem, a generalised yet, as we shall see, unerringly accurate image of the British environment.

Nearly a decade before propounding in-depth his theory of the overpowering visual nature of picturesque beauty achievable within landscape design and painting in *An Analytical Inquiry Into the*

1 Ralph Waldo Emerson, 'Nature', in *The Oxford Companion to American Literature*, ed. by James D. Hart and Phillip W. Leininger, 6th edn (Oxford: Oxford University Press, 1995).
2 James McKusick, *Green Writing* (New York: Palgrave, 2010), pp. 124-125. McKusick proposes Emerson's expectation for the concept of thought or thinking to originate in a concrete object, only to deflate it by relating that its etymology has forever been abstract. Indeed shaping the concept of thinking into words has by and large remained a cerebral pursuit since Proto-Indo-European.
3 J.H. Prynne, 'Poetic Thought', *Textual Practice*, 24 (2010), 595-606. The style of poetic thought here referenced is that addressed by Prynne, who supports Emerson where he writes 'The activity of [poetic] thought resides at the level of language practice and indeed is in the language and is the language' (p. 596).
4 Theodor Adorno, *Aesthetic Theory*, ed. by G. Adorno, R. Tiedemann, and R. Hullot-Kentor (London: Continuum, 2002).
5 Adorno writes: 'Grasping truth content postulates critique. Nothing is grasped whose truth or untruth is not grasped, and this is the concern of critique', p. 128.

Principles of Taste,[6] Knight used his poem *The Landscape* as a base from which to offer a precursory formulation:

> For nought but light and colour can the eye,
> But through the medium of the mind, descry;[7]

The message here appears rather simple, especially from a modern scientific perspective that synonymises colour with the spectrum of all visible light. Merely, we learn that the eye as visual organ sees powered by the mind. Knight's true purpose, though, is to combat the Burkean cult of aesthetic synaesthesia preceding his theories that claimed the eye in its perception to be capable of intuiting smooth or rugged features in a strange associative tactility.[8] What seems like empirical hair-splitting takes on a more weighty implication when we consider that Knight's point was exclusively concerned with a single object: physical reality entailed by landscape as a generalised environment or, in Adorno's term, a 'cultural landscape' originating in the 'the cult of the ruin'.[9] Knight provides an example of his recognition of cultural landscapes at points where he extols the features of dilapidated Gothic castles, especially in scenes where 'Some ancient abbey's walls diffuse their shade; |With mouldering windows pierced, and turrets crown'd'.[10] The inclusion of the ruins of ivy-conquered fortresses and tottering abbeys in the ideal landscapes of this period has received much critical attention as an example of the Gothic Revival, a movement concerned to accrue cultural capital as well as aesthetic renown.[11]

Knight may be disposed by a deep commitment to the framework of his philosophical aesthetics, however, to treat these objects not as nationalistic emblems of a Britain moulded by a succession of conquests, but as material for an imaginative excavation of visually-derived truth content trapped within the mediated landscape as art object. The following stanza builds toward this concept:

> As he who shines supreme in every art,
> That guides the taste, or elevates the heart
> And though successive ages roll away,
> Systems on systems triumph and decay,
> Empires on empires in oblivion fall,
> And ruin spread alternate over all ;
> Still lives unclouded in perpetual day[12]

6 Peter Funnel, 'Visible Appearances', in *The Arrogant Connoisseur,* ed. by Michael Clarke and Nicholas Penny (Manchester: Manchester University Press, 1982), p. 88.
7 Richard Payne Knight, *The Landscape: A Didactic Poem In Three Books,* 2nd edn (London: W. Bulmer and Co., 1795) <https://archive.org/details/landscapedidacti00knig> [accessed 15 December 2015], Book I, ll. 263-264.
8 Funnel, p. 90.
9 Adorno, p. 47.
10 Knight, Book II ll. 281-282.
11 Malcolm Andrews, *The Search for the Picturesque: Landscape Aesthetics and Tourism in Britain, 1760-1800* (Stanford: Stanford University Press, 1990), p. 36.
12 Knight, Book I, ll. 197-205.

That the presence of ruins figures beyond national imperialistic objectives is made evident by the invocation of an almost deified poetic figure hovering over the *momento mori* of a foregone nation. Forced systems like empire crumble whilst a mediating figure retains access to a purer unburdened reality. The poetic thought inspired by Knight's aesthetic system accomplished in these lines correlates with Adorno's hope that if 'building materials have originated from and been integrated into the surrounding landscape, as for instance with chateaux and castles[…] A rationality that embraced these motifs would be able to help heal the wounds that rationality inflicted'.[13] What the rationality established by 'integration' of these features of cultural landscape aims to achieve falls nothing short of Knight's entire aesthetic project: to demonstrate that natural beauty occurs most profitably for aesthetic contemplation where features visually meld and in their fusion obscure both their conjointedness and the artifice allowing it:

> The landscape's greatest art is aptly to conceal;
> To lead, with secret guile, the prying sight
> To where component parts may best unite,
> And form one beauteous, nicely blended whole
> To charm the eye and captivate the soul[14]

Of course, only the skilled eye of a connoisseur steeped in 'every art, | That guides the taste, or elevates the heart' retains the depth of penetration required to detect an abusive sense of 'order'.[15] Positive rationality, then, is upheld and energized by a cognoscente's critique, in turn healing the 'wounds' that correspond to the earlier negative or pseudo-'rational' damage wrought by those who Knight describes as 'improvers', products of Enlightenment thought that seek 'To improve, adorn, and polish […] | But shave the goddess, whom they come to dress'.[16]

Knight was not alone in his criticism of the Enlightenment tendency to mathematically reconfigure and mechanically distort systems demanding more natural effusions, in effect robbing them of a lush ambiguity effected through delicate modulations of sense, taste, and time. Edmund Burke, in his *Reflections on the Revolution in France*, published a few years prior to *The Landscape*, registers his concerns about the same issues. In discussing the proposed formation of France's departments, communes, and regions, Burke in a sober but somewhat biting tone writes that 'The French builders, clearing away as mere rubbish whatever they found and, like their ornamental gardeners, forming everything into an exact level, propose to rest the whole local and general legislature on three bases of three different kinds'[17] where before 'various accidents […] settled their bounds'.[18] The reference to 'ornamental' gardeners, of the same sort that Knight castigates, performs no uncertain work. Implications of excessive decoration or decadence underwrite both Knight and Burke's characterisation of an otherwise innocuous occupation.

13 Adorno, p.47.
14 Knight, Book I, ll. 192-196.
15 Ibid., ll. 197-198.
16 Ibid., ll. 279-280.
17 Edmund Burke, *Reflections on the Revolution in France,* ed. by L.G. Mitchell (Oxford: Oxford University Press, 2009), p. 173.
18 Burke, p. 174.

They clip, shear, curtail, occlude, and deform a natural 'ebb and flow'[19] that prefers a just harmony for its evocation, summarised in Knight's view as 'accidental variety'.[20] This is not to imply, however, Knight condoned an absolute laissez-faire aesthetic attitude despite his preference for 'unshorn' beauty. His was still a system *per se*, functioning on a basis of rule and organisation that achieved certain premeditated and reproducible effects on the viewer, but one that, like Burke's thoughts on tradition and historical conservative order, was distinguished by the disguise of its operation.[21]

The mysterious manner in which the hidden hand of Knight's landscape caresses the viewer in the direction of ruminative aesthetic preoccupation, all the while concealing this very process, leads to an unwitting encounter with the truth lying under its surface.[22] Immediately upon viewing a landscape designated as such, that is, a topography noted as distinct from others, there begins an ulterior and in many ways unconscious process of decoding in the mind of the viewer. Adorno relates the same phenomenon of a mysterious beckoning toward a hidden truth in art where he writes that 'The truth content of artworks is the objective solution of the enigma posed by each and every one […] By demanding its solution, the enigma points to its truth content. It can only be achieved by philosophical reflection'.[23] For Knight, philosophical reflection comes parcelled in the poetic thought that informs the more exacting parts of his delineation of proper aesthetic conventions. While true to say the entire poem attempts to distil an essence of that thought, it is mainly in *An Analytical Inquiry into the Principles of Taste*, published nearly a decade after the raw, inspirited, and polemical concerns formulated in *The Landscape*,[24] that we see a more fully formed presentation of it:

> Even if the landscape scenery should be rendered really beautiful [...] its beauty will be that of a vain and affected coquette; which, though it may allure the sense, offends the understanding; and, on the whole, excites more disgust than pleasure. In all matters of this kind, the imagination must be conciliated before the eye can be delighted[25]

The immoderation of Enlightenment improvement on landscape scenery here mentioned manages to stir the senses, the most immediate and rudimentary of faculties but, for that reason, fails when the higher orders of aesthetic contemplation require stimulation. Were we to exchange Knight's term 'imagination' for Adorno's philosophical 'reflection', both demonstrative of a pivotal meditative interiority, the frameworks undergirding their systems appear symmetrical. The point is that one must reflect subtly,

19 Burke, p. 174.
20 Alan Liu, *Wordsworth*: *The Sense of History* (Stanford: Stanford University Press, 1989), p. 94.
21 Liu, p. 95.
22 Such a motion recalls Martin Heidegger's 'most thought-provoking' from the ninth chapter of his *Basic Writings* (London: Routledge, 1993), that which as it 'withdraws […] keeps and develops its own incomparable nearness' (p. 381) guiding one into thought.
23 Adorno, p.128.
24 To call *The Landscape* 'polemical', although referring to what were incredibly recherché aesthetic debates during the late eighteenth century, is not without justification. The second edition of Knight's didactic poem opens with critiques of critiques that engage with the aesthetic minds of Lancelot "Capability" Brown, William Gilpin, and Humphry Repton.
25 Richard Payne Knight, *An Analytical Inquiry into the Principles of Taste*, 3rd edn (London: Luke Hansard for T. Payne and J. White, 1806) <https://archive.org/details/ananalyticalinq01knig> [accessed 16 March 2015], p. 170.

allotting the mental energy of thought to decipher the enigma presented by an artwork as in the role of a critic, in order to set about gaining access to the truth content it promises.

Thus art beckons thought, and thinking about art is the work of a critic. This sounds at first entirely reasonable, if not self-evident. For Knight just as much Adorno, though, the fact that the critic or viewer plays a part in the operation of the mechanism behind this beckoning is what truly demands explication. As Prynne reveals, poetic thought naturally flourishes in antagonistic struggle, since it is 'brought into being by recognition and contest with the whole cultural system of a language, by argument that will not let go but which may not self-admire'.[26] The conditionality of this statement admits the heightened social position from which Knight forms his aesthetic system; Knight, with his self-styled reputation as a connoisseur of the arcane and an elite visionary arbiter of beauty, enters into the antagonism inherent in poetic thought as a critic par excellence. The whole of *The Landscape* may be viewed, in the essence of its didactic objective, as a self-admiration of Knight's proprietary emphasis on vision, emotion, and an unmediated mediation, the same 'hidden hand' mentioned earlier, in the language of aesthetics. Just as erudition was a necessary precondition to a successfully crafted statement on picturesque beauty in landscape,[27] the art critic, Adorno argues, reserves a special prerogative where it regards unpacking the truth of an artwork: 'Only the pedant presumes to distinguish the beautiful from the ugly in nature, but without such distinction the concept of natural beauty would be empty'.[28] Aesthetic appreciation in Knight's system, no different from the poetic thought that shapes it, relies on an interaction with the inherently dialectical nature of pre-existing claims of value. Adorno and Knight concur where they assert that the art critic commands a principal role in that interaction to contest, to reconcile, and at all ends to shape the truth that emerges from such activity.

Self-admiring or no, what results is an understanding that neither positive nor negative statements from the critic are capable in themselves of capturing beauty or combing through ugliness in a dialectical matrix of thought that necessitates an inherent relationality between the two. In their mutual treatment as part of a critical winnowing of one from the other, a separation that momentarily requires both to be seen in Knight's term as 'harmonious', the objective aesthetic object appears. In a lengthy footnote, Knight is observed teasing out this train of thought where he recalls that 'Rembrandt, Ostade, Teniers, and others of the Dutch painters, have produced the most beautiful pictures, by the most exact imitations of the most ugly and disgusting objects in nature'.[29] Here we see Knight participating in 'the working encounter with contradiction in the very substance of object-reality',[30] attempting to determine how a representational object visually detected modulates the mixture of beauty and ugliness owned by its source. The expositional prose elongates in dry array the poetic thought solidified in the lines it references. Knight's theory of visual primacy re-emerges to instruct that it is only by means of a synthesis of disharmonious elements into a unified whole, occurring in the mind, that the conditions of beauty in

26 Prynne, p. 598.
27 Andrews, p. 4.
28 Adorno, p.70.
29 Knight, *The Landscape,* Book I, p. 22.
30 Prynne, p. 597.

the ugly materials of the Dutch masters can be generated. In the critical distance achieved from a statement on the interplay that results from such harmonious combination, an objective base from which to approach the enigma of the landscape takes shape.

This base allows for an opening of ontological space through which what Adorno refers to as the 'spirit'[31] of an artwork may be confronted. Notably, in his explanation of the relation of the spirit to truth and the methods by which both may be uncovered, Adorno communicates the fundamentals of Knight's harmonising visual aesthetic theory: 'By reading the spirit of artworks out of their configurations and confronting the elements with each other and with the spirit that appears in them, critique passes over into the truth of the spirit, which is located beyond the aesthetic configuration'.[32] The mental extraction of disparate elements from out of a landscape in order to intermingle them imaginatively and visually in the mind's eye greatly corresponds to the 'confrontation' Adorno describes. A unifying example of this can be found where Knight celebrates the Ancient Greek sculptor Lysippus's design

> Pure abstract beauty's fleeting shades to trace,
> And fix the image of ideal grace:
> Combining what he felt with what he saw ;
> And penetrating nature's inmost law:[33]

Total fixity of the visual aesthetic object or, in other words, a final settling of the 'dialectical unsettling'[34] in the process of poetic thought, composes the resolution of the struggle to capture the 'fleeting shades' of beauty, each separate, flickering, and transitory. Adorno's contention that 'what transcends the factual in the artwork, its spiritual content, cannot be pinned down to what is individually, sensually given but is, rather, constituted by way of this empirical givenness'[35] resounds here to show the importance of a comprehensive visual management of an artwork in order to grasp its spirit. Knight confronts that spirit coursing thought the landscape by championing a combination of 'thought' and 'feeling', leading to 'nature's inmost law'. This proclivity for equating thought and feeling to discover the spirit of an artwork, like other Romantic period authors,[36] reveals the method by which Knight realises the 'inmost'[37] place of 'mediate nature', or the truth content of an artwork.[38] Adorno corroborates the possibility of access to truth content through thought and feeling where he writes that 'the strongest buttress of subjective aesthetics, the concept of aesthetic feeling, derives from objectivity, not the reverse'.[39] Thus adherence to the visual primacy of truth interpreted 'through the medium of the mind'[40] determines mediated nature.

31 Adorno, p. 129.
32 Ibid., p. 88.
33 Knight, *The Landscape,* Book I, ll. 71-74.
34 Prynne, p. 599.
35 Adorno, p. 129.
36 David Vallins, *Coleridge and The Psychology of Romanticism* (New York: St. Martin's Press, 2000).
37 Knight, *The Landscape,* Book I, l. 74.
38 Adorno, p. 78.
39 Ibid., p. 164.
40 Knight, *The Landscape,* Book I, l. 264.

As we have seen, the aesthetic system of Richard Payne Knight, in its determination on unmediated visuality, the central station of the critic, and the function of melding and harmonic interplay between isolated features, dilates across time to converge with complementary aspects of Theodor Adorno's own thought, albeit each with its own contemporary objective. By composing *The Landscape*, expressing his critical theory of natural beauty through a style of poetic thought, Knight confronts the mediated quality of a silent nature. Previous Enlightenment period systems of aesthetic thought on landscape stressed the importance of mathematical accuracy and refined proportions determined 'With charts, pedometers, and rules in hand'.[41] As a result, nature found itself divided into symmetrical clumps of byzantine pomp. The problem with this, Knight reveals, is that these systems sought to mediate a nature that was already fully mediated. The framed view from a fixed perspective chosen from a desire to cordon off a visible patch of land from that communicating with it, allowing it physical seclusion and mental space to transmute into a unique art object self-intermingling, made an effort to aestheticize what was already an aesthetic object hopelessly redundant. No tools, at least where their trace would appear visible, are required to coerce the landscape into compliance with art. To even refer to the object by that name, landscape, clues us into its mediated nature: not simply land, but the condition or quality of land, apportioned from and elevated beyond all else. Where Knight inveighs against improvement, we are to understand that in the very performance of aesthetic philosophical critique we are reading, he substitutes for an abstract landscape disconnected by formal rule an image of a Britain that he evokes through critical poetic thought; in *The Landscape,* Knight shows us not simply the formulations of a propriety aesthetic, but *the landscape* per se, the only aesthetic manifestation of natural beauty which it is possible to see unreservedly.

41 Knight, *The Landscape,* Book I, l. 276.

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Journal

Paul Celan and the Poetics of Anxiety

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precarious = the poetic as the precarious

——Paul Celan, 'Drafts', in *The Meridian*[1]

There is something inherently precarious about anxiety. When conceptualizing the dreadful affect in 1844, Søren Kierkegaard posits that anxiety is located in 'the nothing', that is, in an indefinite space of thought that discloses the 'possibility of possibility'.[2] Kierkegaard's short treatise, dominated by theological assertions regarding original sin, establishes an abstract framework that situates itself in the – or *a* – non-place of nothing. Rooted in the rootlessness of futurity, which the Danish philosopher repeatedly names a 'possibility to freedom', anxiety is imagined as a choking feeling that paradoxically looks toward the future: anxiousness is hence mobilised as a primary affective narrowness that necessarily opens itself up.[3] I begin with Kierkegaard's work for three key reasons: first, his locating of anxiety in the/a nothing flags up an ambiguity that mirrors the affect's own inner workings – anxiety is an *anxious* term, being as uneasy in definition as it is in praxis; secondly, the concept's indefinite status brings nothingness and anxiety into proximity with each other; and thirdly, Kierkegaard's argument measures out a conceptual path later pursued by thinkers such as Freud, Lacan, Sartre, and, most importantly for this essay, Martin Heidegger.[4] Listening to the resonances between Kierkegaard and Heidegger, and later Heidegger and Paul Celan, I will read anxiety as a meridian that passes through their work. I argue that anxiety is constitutive of Celan's poetics, perhaps even called for by the poet as he commences his 'wounded' search for reality in the wake of the Shoah.[5]

Let us first stay with Kierkegaard's ontological enquiry. The openness of Kierkegaard's anxiety is positioned in contradistinction to the concept of fear, which in its disclosure of 'something definite' is

1 Paul Celan, 'Drafts', in *The Meridian: Final Version-Drafts-Materials*, ed. by Bernhard Böschenstein and Heino Schmull, trans. by Pierre Joris (Stanford: Stanford University Press, 2011), p. 134.
2 Søren Kierkegaard, *The Concept of Anxiety: A Simple Psychologically Orienting Deliberation on the Dogmatic Issue of Hereditary Sin*, ed. and trans. by Reidar Thomte (Princeton: Princeton University Press, 1980), p. 42. Owing in part to the concept's elusive definition, Princeton University Press's previous edition (1957) opts for "dread" rather than "anxiety".
3 Ibid., p. 109.
4 Cf. Freud, 'Lecture XXXII: Anxiety and Instinctual Life', in *Introductory Lectures on Psychoanalysis*, trans. and ed. by James Strachey (New York: W. W. Norton, 1960), pp. 102–131; Lacan, *The Seminar of Jacques Lacan, Book X: Anxiety*, *1962–63*, trans. by Cormac Gallagher, from unedited and unpublished French manuscript; Sartre, *Being and Nothingness*, trans. by Hazel Barnes (New York: Washington Square Press, 1956).
5 'Wounded by reality and in search of it' [my translation; '*wirklichkeitswund und Wirklichkeit suchend*']. Celan, 'Ansprache Anlässlich der Entgegennahme des Literaturpreises der Freien Hansestadt Bremen', in *Der Meridian und andere Prosa* (Frankfurt: Suhrkamp, 1988), pp. 37–39 (p. 39).

thereby 'altogether different'.[6] Fear manifests itself in relation to the definite, coming into being by finding an object: *that* particular pain, for instance, or *this* particular struggle. Defined as fear's antipode, anxiety is an object-less counter-concept: if anxiety could find an object it would necessarily be "nothingness". As Kierkegaard asks himself: 'What, then, is it? Nothing.'[7] Using this 'Nothing' to account for the spiritual nature of humanity, and to subsequently explore the differences between original and hereditary sin, Kierkegaard's religious text proposes that anxiety – while defined as negation – is not necessarily negative:

> When we consider the dialectical determinations of anxiety, it appears that exactly these have psychological ambiguity. Anxiety is *a sympathetic antipathy* and *an antipathetic sympathy*. […] One speaks of a pleasing anxiety, a pleasing anxiousness [*Bængstelse*], and of a strange anxiety, a bashful anxiety, etc.[8]

Figured in the antimetabole as that which is *both* pleasant *and* repulsive, Kierkegaard's anxiety emerges as a multivalent concept that forms an essential psychological dimension of the human. Although I am wary of reading Kierkegaard too earnestly, his 'etc.' also speaks to anxiety's conceptual 'ambiguity', implying an indefinite catalogue of adjectives that foreground and radically transform the affect. Kierkegaard's anxiety is thus integral to the existential freedom of the human, and its heterogeneity is inherent to this formulation.

In *Being and Time* (1927), Heidegger's reflections on anxiety similarly find the concept in a 'completely indefinite' space. Responding to and developing Kierkegaard's claims, Heidegger's anxiety becomes the 'fundamental existential phenomenon', providing the 'basis for explicitly grasping the primordial totality of being of *Dasein*.'[9] Discussed in §40, 'The Fundamental Attunement of Anxiety as an Eminent Disclosedness of Dasein' [*Die Grundbefindlichkeit der Angst als eine ausgezeichnete Erschlossenheit des Daseins*], anxiety inspires a feeling of 'Being-in-the-world as such', no less because its affects reveal humanity's uncanny situation: we want to be at home in a world, yet we do not uniquely belong to one. Echoing Kierkegaard's discourse of freedom, Heidegger's anxiety similarly communicates our existential possibilities back to us, 'reveal[ing] in Dasein its being toward its own most potentiality of being'.[10] As Mark Wrathall summarises, anxiety joins together 'our thrownness into a world, our particular way of finding ourselves in the midst of entities in the world, with our existential freedom to pursue new possibilities.'[11] What unites both Kierkegaard and Heidegger is, firstly, an attention to the "nothing", to the anxiety-inducing abyss where the concept is spatially located, and to its object-less centre; anxiety is therefore pictured as a something that is nothing and a somewhere that is nowhere.[12] Secondly, the

6 Kierkegaard, p. 42.
7 Ibid., p. 41.
8 Kierkegaard, p. 42. Author's emphasis.
9 Martin Heidegger, *Being and Time*, trans. by Joan Stambaugh (New York: SUNY Press, 2010), p. 177.
10 Ibid., pp. 180, 182.
11 Mark A. Wrathall and Max Murphy, 'An Overview of *Being and Time*', in *The Cambridge Companion to Heidegger's* Being and Time, ed. by Mark A. Wrathall (New York: Cambridge University Press, 2013), pp. 1–53 (pp. 18–20).
12 I am indebted to Eugenie Brinkema's recent work on the abyssal function of anxiety in Lacan and the horror film *Open Water* (2003): 'Intermittency, Embarrassment, Dismay', in *The Forms of the Affects* (Durham: Duke University Press, 2014), pp. 181–209.

philosophers' projects coincide with their particular vocabulary, drawing on the synonyms 'possibility' and 'potentiality' to point toward how anxiety's existential grounding in Being makes it both paradoxically choking and freeing.

The complex mutual admiration between Paul Celan and Martin Heidegger has been well documented.[13] The most recent and exhaustive work on their correspondences, written by James K. Lyon, describes Celan and Heidegger as 'antithetical figures', and chooses as the title of its opening chapter an affective encapsulation: 'The Repulsion and Attraction of Opposites'.[14] To momentarily return to Kierkegaard, we might even say that Celan and Heidegger's relationship is based on a feeling not too dissimilar to anxiety as such, namely, 'a sympathetic antipathy and an antipathetic sympathy'.[15] While I do not want to dwell on the historical details of Celan and Heidegger's relationship, I am concerned here with the poetic conversation between the thinkers. Philippe Lacoue-Labarthe's *Poetry as Experience* (1986), for example, insists that 'it would be an understatement to say Celan had read Heidegger'. Indeed, Lacoue-Labarthe puts it that Celan's poetry is, 'in its entirety, a dialogue with Heidegger's thought.'[16]

If Celan's poetics is one that listens to and speaks back to Heidegger, we might readily assume that there is something of Heidegger's (and perhaps then even Kierkegaard's) writing on anxiety in Celan's work.[17] Scholarship on Celan, though, is yet to give adequate ground to this issue. The closest the discipline comes to a discussion of anxiety is found in Eric Kligerman's *Sites of the Uncanny* (2007), yet this is a study concerned with a world *after* Celan: Kligerman's project is to read Celan *with* visual artists such as Alain Resnais and Anselm Kiefer, 'examining the reception and translation of Celan's poetry by his successors'.[18] Interrogating art's 'strategies of proximity (spatial), anxiety (affect), and disrupted vision (perception)', Kligerman names a '*poetics of anxiety* in which the artist's fears of failing to represent shift to the reader's horror in her inability to read or see'.[19] There are problems here, though: firstly, we should be suspicious of assuming that Celan's poetics intends to 'represent', for as Lacoue-Labarthe cautions, Celan's 'poetic art consists of perceiving, not representing.'[20] Secondly, Kligerman's 'shift' takes anxiety *away* from Celan's corpus, looking for how it mediates and disrupts the reader rather than the work itself. Thirdly, the intriguing term 'poetics of anxiety' is never returned to, a lonely coinage drifting within its own conceptual nothingness.

I want to pause over Kligerman's brief mention of a "poetics of anxiety". I want to articulate what its thematics might be and, through this, give anxiety back to Celan, attending to its place *within*

13 Cf. Hadrien France-Lanord, *Paul Celan et Martin Heidegger: le sen d'un dialogue* (Paris: Fayard, 2004).
14 James K. Lyon, *Paul Celan and Martin Heidegger: An Unresolved Conversation, 1951–1970* (Baltimore: The John Hopkins University Press, 2006), pp. 1–8 (p. 1).
15 Kierkegaard, p. 42.
16 Philippe Lacoue-Labarthe, *Poetry as Experience*, trans. by Andrea Tarnowski (Stanford: Stanford University Press, 1999), p. 33.
17 Celan's library did indeed house copies of Kierkegaard's work, as well as around 500 other philosophical texts in six different languages, cf. Alexandre Richter, Patrik Alac, Bertrand Badiou, eds., *Paul Celan: La bibiothèque philosophique* (Paris: Editions Rue d'Ulm, 2004).
18 Eric Kligerman, *Sites of the Uncanny: Paul Celan, Specularity and the Visual Arts* (New York: Walter de Gruyter, 2007), p. 18. My emphasis.
19 Kligerman, pp. 6, 115.
20 Lacoue-Labarthe, p. 67; cf. Celan's description of art – and therefore mimesis – as an 'eternal problem' in *The Meridian*, p. 2.

Celan's work rather than *outside* of it. I will do so by concentrating first on Celan's autopoetological *Rede*, the 'Meridian' speech, where anxiety becomes Celan's *occasion*; indeed, anxiety might even be the occasion of poetry.[21] Afterwards, I will conclude with a close reading of Celan's 'Speak, You Also', from the collection *Von Schwelle zu Schwelle* (1956), identifying in its conceptual proximity to 'The Meridian' the anxious possibility of freedom as described by Kierkegaard and Heidegger.

Delivered on the receiving of the Georg Büchner Prize for literature in 1960, 'The Meridian' sees Celan adumbrate the intersections of Büchner, poetics and 'the eternal problem' of art.[22] 'The Meridian' is a formally anxious speech, replete with uneasy syntax, false starts and restless repetitions. Emmanuel Levinas describes it as an 'elliptical and allusive text, interrupting itself ceaselessly'. This, Levinas tells us, is a metonymic quality, for it 'constitutes the fabric of [Celan's] poems.'[23] *The Meridian* sees Celan closely read Büchner's work, and he uses such a reading to perform what Jacques Derrida calls an 'ironic attack' on art.[24] Celan defines art in relation to lifeless and uncanny automata, the 'childless' and the 'puppet-like'; Celan searches for something that can 'interfere' with art and mimesis, and finds such an interference in Büchner's play *Danton's Death* (1835). Here, Celan listens to a radically political – and hence not monarchical or conservative – 'counterword' [*Gegenwort*], uttered by Lucile as she shouts the suicidal dictum 'Long live the king!' This, a 'pure provocation' that cuts art's puppet string, is what Celan first calls poetry: 'It is an act of freedom. It is a step' (pp. 2–3).[25] Inside of an uncanny art but necessarily working against it, Celan's 'step' is automatically anxious. The counterword is a risk, signifying in its possibility an appropriation of magisterial language; its existential act of freedom is to confront and step across its non-place.[26] This is why Celan lets his definition of poetry hang over an elliptical chasm: 'This, ladies and gentlemen, has no fixed once and for all, but I believe that this is … poetry' (p. 4).

Celan signals the counterword's import by giving it an 'acute accent', and thereon moves to address another of Büchner's texts, *Lenz* (1836), that performs another 'calling-into-question' of art (p. 5). Celan distances himself from the representational, closing his eyes at the mention of Medusa and turning to face Lenz's meanderings through the valleys. Anxiously occupied with the 'I-distance' that art creates – that 'he who has art before his eyes and on his mind […] forgets himself' – Celan follows Lenz's route through art, step by step. Here, Celan asks whether this route will eventually lead us to 'the place where the strangeness was, the place where the person was able to set himself free as an – estranged – I? Can we find such a place, such a step?' Lenz's step – his act, his event, his provocation – is this: '"… except sometimes it annoyed him that he could not walk on his head." He who walks on his head, ladies and

21 I approach 'The Meridian' from the same position as Jacques Derrida, who treats the speech as a 'poem on poetry'. Jacques Derrida, 'The Majesty of the Present', trans. by Alessia Ricciardi and Christopher Yu, *New German Critique*, 91 (2004), 17–40 (p. 28).

22 Celan, 'Final Version' in *The Meridian*, p. 2. All future references will be by page-number, in parentheses, in the body of the text.

23 Emmanuel Levinas, 'Being and the Other: On Paul Celan', trans. by Stephen Melville, *Chicago Review*, 29, 3 (1978), 16–22 (p. 18); cf. Derrida's reading of Celan's conditional "perhapses" in 'The Majesty of the Present', p. 130.

24 Derrida, 'Shibboleth: For Paul Celan', in *Sovereignties in Question*, ed. and trans. by Thomas Dutoit and Outi Pasanen (New York: Fordham University Press, 2005), pp. 1–64 (p. 4).

25 Lacoue-Labarthe, p. 51.

26 Cf. Derrida's astute close reading of Celan's counterword in 'The Majesty of the Present', namely that 'Celan's gesture in recurring to the word majesty – and here is what seems to me most important […] – is a gesture that consists of placing one majesty over and above another, thus to engage in an effort trumping sovereignty', p. 22.

gentlemen – he who walks on his head, has the sky beneath him as the abyss' (p. 7). Turning the world upside down lets Lenz encounter the dizzying sublime above, the non-place of possibility.[27]

Yet Celan does not find a counterword here, for there are indeed no words to be found at all. Instead, Lenz's sublime recognition of the anxiety-inducing abyss goes a 'step further than Lucile', closing his mouth and choking his language. Pausing over Lenz's sudden aphasia, his 'terrifying falling silent' (p. 7), Celan names poetry the *Atemwende*, or breathturn; like the counterword before it, the *Atemwende* also 'defines poetry'.[28] Poetry becomes a holding of breath, a precarious coming-to-being in the space where language gives way.[29] Its precariousness, though, is simultaneously in tune with its potential for freedom. Poetry's stepping out, then, must always be at the risk of suffocation and of losing language. Heidegger's *Being and Time* returns to us here: anxiety, Heidegger says, 'is so near that it is oppressive and takes away one's breath – and yet it is nowhere.'[30] Anxiety is again a somewhere that is nowhere, an event and occasion that presses down on the self.

As a counterword and breathturn, Celan states that poetry therefore 'stands fast at the edge of itself' (p. 8). Teetering on the edge of a conceptual cliff face, poetry is created at the very turning towards that which takes the breath away. The holding and exhaling of breath, as a moment in time and confrontation with the uncanny nature of art, is even the event or occasion of poetry. It is here that anxiety makes its appearance. As Kierkegaard writes, anxiety is 'the pivot on which everything *turns*'.[31] Poetry's creation as a breathturning is thus a necessarily anxious one, an occasion fuelled by what Heidegger calls the 'individualised potentiality-of-being'.[32] Celan points to language as one such anxious freedom, for poetry is 'language actualised, set free under the sign of a radical individuation'. Despite this, poetry still 'remains mindful of the border language draws and of the possibilities language opens up for it'. The poet speaks 'under the angle of inclination of his Being', alert to the uncanny strangeness of language in its world-forming capabilities (p. 9). Being itself is at stake in the poem, and with it its existential anxiousness as the foundation of freedom. As Celan says nearer the end of 'The Meridian', individual poems might be thought of as 'blueprints for being' (p. 11).

If poetry is an occasion of anxiety then where is it found? Where is its groundless "nothingness"? With a typically idiosyncratic compound at hand, Celan's 'Meridian' locates poetry with *Toposforschung*, or topos research. Celan attests that poetry is indeed *within* art, for it cannot exist outside of art, but poetry looks for that which is 'open, empty and free'. For Lacoue-Labarthe, this might be the

27 Cf. Kierkegaard, 'anxiety is the dizziness of freedom, which emerges when the spirit wants to posit the synthesis and freedom looks down into its own possibility', p. 61; the *OED* similarly invokes a certain verticality in its definition of the sublime: 'high up, elevated, [...] (of breath) shallow, panting, tall': 'Sublime, adj.', in *OED Online* (Oxford: Oxford University Press, 2014), <http://0-www.oed.com.wam.leeds.ac.uk/view/Entry/192766?%20rskey=u96iWB&result=1&isAdvanced=false> [Accessed: 07/01/2016].
28 Raymond Geuss, 'Celan's *Meridian*', in *Politics and the Imagination* (Princeton: Princeton University Press, 2010), pp. 117–141 (p. 126).
29 Lacoue-Labarthe, p. 49.
30 Heidegger, p. 180.
31 Kierkegaard, p. 43. My emphasis.
32 Heidegger, p. 296.

empty non-place of anxiety: 'The place of poetry, the place where poetry takes place, every time, is the place without place of the intimate gaping.'[33] Celan dwells on this gaping non-place, naming it 'u-topia':

> Topos research?
> Certainly! But in light of what is to be searched for: in light of u-topia.
> And the human being? And the creature?
> In this light.
>
> What questions! What claims!
> It is time to turn back. (p. 10)

Poetry is a condition of freedom, found 'in light of u-topia' and hence in light of an immemorial abyss. Celan's hyphen marks the negation of place, making an opening that radically changes the landscape from a utopia to a 'u-topia'. Poetry is thus invoked as the abyss or *caesura* of art, its pause and its turn within the nothing.

Before Celan finds his meridian, he turns back to the question of art: 'go with art into your innermost narrows. And set yourself free' (p. 11). In its juxtaposition of narrow and open/freeing spaces, Celan's sentence might at first appear paradoxical: how can narrowness lead to openness? Yet as we have read in Kierkegaard and Heidegger, it is precisely the choking narrowness of anxiety that reveals existence: its tightness *is* its openness. The etymology of anxiety speaks to this tightness. Deriving from the Greek *ἄγχω*, meaning to compress or to press tight, with a particular emphasis on the throat – to strangle, to throttle, to choke – anxiety's affect is tied to its narrowness.[34] With these 'innermost narrows' in mind, I want to conclude by reading one of Celan's poems.

'Speak, You Also' is perhaps the epitome of Celan's poetics of anxiety. The poem is simultaneously narrow and abyssal, even *abys*mal, for its allusions to a mysterious 'shade' disclose a chasm of darkness.[35] Its paratactic lines, indicative of Celan's spare poetic style, have been called a 'strangling of language' by Lacoue-Labarthe.[36] Echoing some of the charges of hermeticism levelled against Celan's poetry, Maurice Blanchot similarly calls on us to read the poem in the 'sealed silence that it painfully brings us'.[37] As a 'strangling' and 'sealed silence', we are already seeing the discourse of anxiety taking hold of the poem. It begins with a tight and monosyllabic opening stanza:

> Speak, you also,
> speak as the last,
> have your say. (ll. 1–3)

33 Lacoue-Labarthe, p. 54.
34 Eric Partridge, *Origins: A Short Etymological Dictionary of Modern English* (London: Routledge, 1966), p. 98
35 Celan, 'Speak, You Also', in *Poems of Paul Celan*, trans. by Michael Hamburger (London: Anvil, 2007), pp. 106–107 (p. 107). All future references will be by line-number, in parentheses, in the body of the text.
36 Lacoue-Labarthe, p. 12.
37 Maurice Blanchot, 'The Last to Speak', in *A Voice from Elsewhere*, trans. by Charlotte Mandell (New York: SUNY Press, 2007), pp. 54–93, p. 89.

Celan's dimeter draws our attention to the repeated imperatives, calling on the poem's 'you' to speak, and offering a privileged but confined space to speak 'as the last'. This embodied finality is emphasised as Celan unites the German '*Sprich*' and '*Spruch*' with paronomasia and half-rhyme. While Michael Hamburger's translation chooses 'have your say', the German '*Spruch*' might be closer to "saying", "quotation" or "verdict".[38] Celan's '*sag deinen Spruch*' can thus be read more concretely: 'say your saying', for instance, or 'say your piece'. The stresses, then, fall on the act of speaking: *Sprich*, *sprich*, *sag*, *Spruch*. This is why '*Sprich*' becomes '*Spruch*', for it maps out a way to language, and why in the poem's second stanza the '*Spruch*' can have shade [*Schatten*]:

> Speak –
> But keep yes and no unsplit.
> And give your say this meaning:
> give it the shade.
>
> Give it shade enough,
> give it as much
> as you know has been dealt out [*verteilt*] between
> midnight and midday and midnight. (ll. 4–11)

Speech produces shadows; each act of speaking is a discernible event or occasion that individuates the speaker. Speaking, then, might be said to be constitutive of Being. To speak is to acknowledge that we are bodies living under a sun, to live in and ground ourselves in a world. Celan's idiomatic cutting or – to evoke Derrida's essay 'Shibboleth' – incising of letters also lets us pause on the shadows of the poem: '*Mittnacht und Mittag und Mittnacht.*' Celan strips the *-er-* from *Mitternacht*, highlighting the proximity between the two opposing times. He asks the speaker to 'deal out' or 'distribute' [*verteilt*] the same amount of shade (language) as has been naturally shared by the rising and setting sun. The addressee's identity as human is therefore intimately tied to language; poetry is an occasion of speech that creates a reality – it is saying *as* Being. As Heidegger writes in 'The Way to Language' (1959), 'the essence of man consists in language' and, even more tellingly, 'in speech the speakers have their presencing.'[39] 'Speak, You Also' continues:

> Look around:
> look how it all leaps alive –
> where death is! Alive!
> He speaks truly who speaks the shade. (ll. 12–15)

38 Cf. *Das große Oxford Wörterbuch* (Oxford: Oxford University Press, 2003), p. 1225.
39 Martin Heidegger, 'The Way to Language', in *Basic Writings*, trans. by D. F. Krell (London: Routledge & Kegan Paul, 1993), pp. 393–426, pp. 398, 406.

The poem's opening 'speak' now to turns to 'look', as if language fails the addressee.[40] Nevertheless it is this looking, the visual acknowledgement of the 'shade', that allows for a poetic axiom or *Spruch* to end the blank quatrain: 'he speaks truly who speaks the shade'. Having spoken and *then* having fallen into silence, the speaker-turned-silent can perceive the shade of a concrete language.[41] Echoing Celan's path from counterword to breathturn in 'The Meridian', this silence *is* poetry. Indeed, Celan's reference to 'where death is!' reminds us of his insistence that poetry must take place within but decidedly wary of an uncanny mimetic art. Poetry and language both remain alive even within death. As Celan states in the 'Bremen' speech, 'in spite of everything, [language] remained secure against loss.'[42] Language is secure, but having spoken the shadows the speaker is now 'stripped' of their shade:

> But now shrinks the place where you stand:
> Where now, stripped by shade [*Schattenentblößter*], will you go?
> Upward. Grope your way up.
> Thinner you grow, less knowable, finer.
> Finer: a thread by which
> it wants to be lowered, the star:
> to float farther down, down below
> where it sees itself gleam: in the swell
> of wandering words. (ll. 16–24)

Stripped of shade, illustrated by the compound *Schattenentblößter*, and standing on a shrinking place, Celan narrows the parameters of the poem's spatiality. He has, as we have already seen, taken language out of the human body, and now he reduces the ground on which we stand. What opens up in this space is anxiety, its narrowing and its freeing. Celan's leading question 'Where now […] will you go?' points us in the direction of just one route to take – 'upward'. In absence of language the poem's imperatives provoke action: to 'grope' upward and to 'grow' thinner. Losing ourselves in the open, we grow 'finer', like Lenz's breathturn as he contemplates the nothing above him. Celan takes us into the 'Meridian's' 'innermost narrows' and sets us 'free'.[43]

Yet with a single colon, a caesura that momentarily suspends the poem's movement, Celan shifts the address, turning from a 'you' to an 'it'. On Celan's careful use of caesurae, Derrida writes that the caesura designates 'that which, in the body and in the rhythm of the poem, seems most *decisive*.'[44] Thus Celan's decisive turn from a 'you' to an 'it' pronounces the shifting from a human to a creature; fallen silent and stripped of shade, the human loses its Being-in-the-world. Human becomes 'star', lowered down from its height towards the 'swell of wandering words'. The human-as-star sees its reflection, its

40 Echoing this sequential withdrawal from language, Celan declares in another poem 'Do not read anymore – look! | Do not look anymore – go!' (ll. 6–7): 'The Straitening' (pp. 158–171).
41 Cf. Lacoue-Labarthe's 'Poetic art consists of *perceiving*' (my emphasis), p. 67.
42 Celan, 'Speech on the Occasion of Receiving the Literature Prize of the Free Hanseatic City of Bremen', in *Paul Celan: Collected Prose*, trans. by Rosmarie Waldrop (New York: Carcanet & Sheep Meadow Press, 1986), 33–35 (p. 34).
43 Celan echoes this notion in 'Illegibility' (1971): 'you, clamped | into your deepest part, | climb out of yourself | for ever' (pp. 364–65, ll. 6–9).
44 Derrida, 'Poetics and Politics of Witnessing', in *Sovereignties in Question*, pp. 65–96 (pp. 69–70); Derrida's emphasis.

Being, in the abyss of language beneath. To speak, then, would be to performatively conjure humanity, to make yourself human through language. This primordial step is the anxious step of existence.

For Celan, then, anxiety uncannily rests in a u-topia, a 'swell of wandering words', occupying the poet's thoughts as he looks for a place to be and to dwell. And as 'Speak, You Also' insists, the poem as *Spruch* is the individuating speech act of humanity; language gives the performative possibility to be. As we have read in Kierkegaard and Heidegger, anxiety might be *dread*ful, *aw*ful and *abys*mal, but it is not necessarily negative: it is dialectical. Its pressing and strangling tightness is in fact called for by Celan as that which frees the poem, or at the very least turns poetry towards the open and the sublime dizziness of potentiality. Humanity itself – and the 'realities' [*Wirklichkeiten*] of that humanity – might therefore be at stake in the poem's creation and its world-forming capabilities.[45] Anxiety is imagined, then, as something imperative. It necessarily constitutes an embrace with the nothing, and takes on a particularly significant role within Celan's world – a world decisively *after* the Holocaust.

45 Celan, 'Speech on the Occassion of Receiving the Literature Prize of the Free Hanseatic City of Bremen', p. 35.

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Journal

When *Fabliau* Humour in Chaucer's *The Miller's Prologue* and *Tale* meets Chinese Translation and Culture

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As the father of English literature, Geoffrey Chaucer is not only famous in English-speaking countries, but also enjoys world-wide popularity. Most readers in China read Chaucer's *The Canterbury Tales* (*CT*) in Chinese translations. It is widely acknowledged that, because of cultural differences, translations must, in one way or another, miss, add to, or change, things in the original works. The three Chinese translations of *CT* discussed in this essay have been chosen on account of their accessibility, comprehensiveness, style and time span.[1] These three translations are by: Fang Chong (方重) (1902–1991), from the 1930s; Huang Gaoxin (黄杲炘) (1936–), from the 1990s; and Zhang Gong (张弓), whose work was published in 2013. On the basis of the three Chinese translations, this essay will explain to English readers Chinese (mis)interpretation of Chaucer's *CT*, dealing first of all with Chaucer's treatment of fabliau as exemplified by *The Miller's Prologue* and *Tale* (*MT*).

Chaucer's *MT* can be traced back to the French *fabliaux*. *Fabliaux* are short narrative stories in verse. John Hines says that 'the earliest French *fabliaux* date from the last decade of the twelfth century and the latest seem to have been composed about one hundred and fifty years later, somewhere around 1340'.[2] Chaucer borrows from the *fabliau* tradition in *MT* to tell a story in which tricks are contrived to ridicule the dupe, there is a triangular relationship of husband, wife and lover (plus an extra lover), and word play and euphemism contribute to the effect of *fabliau* humour. When *romance* is the genre usually applied to life in the high social class, *fabliau* is the genre frequently used to depict life and scenes in the countryside and ridicule people of the lower class. People in them are mostly living in the countryside, less educated and vulnerable to deception. Thus the *fabliaux* are written in the vernacular, using colloquial and sometimes vulgar language and taboo words to dramatize the scenes. The information gaps between the

1 In China, although translations of *CT* began one century ago, with Sun Yuxiu (孙毓修) (1871–1922), the student of a priest teaching in China, and Lin Shu (林纾) (1852–1924), acclaimed nationally as a translator, these texts are not easily accessible to the public, after the tumult of modern Chinese history. Their translations are not suitable subjects for analysis, because there is so much adaptation in their translations that they are more accurately new pieces of writing rather than translations. Lin Shu (林纾) in particular, though acclaimed in China as a translator, was much less a translator than a famous story-writer who rewrote Chaucer's *CT* into Chinese Kongfu stories with an English-to-Chinese translator's interpretation before him because he did not know English. He was the representative of extreme free translation in China especially welcomed in his times when few people knew and read English, and his 'translated' *CT* (《坎推倍利诗》) reads more like Chinese stories than English tales. According to Cao Hang (曹航) who writes 'Translation Studies and Research about Chaucer in China', Lin Shu's translation is found in hard paper copy in Shanghai Library, and currently the paper copy and the web source are not accessible to the public. Request has been made of Shanghai Library to grant permission to consult those early translated books of *CT*. When they are available, due attention will be given to their analysis of them and another essay further on this topic will have much earlier translated samples for comparative study.

2 John Hines, *The Fabliau in English* (London and New York: Longman, 1993), p. 2.

conspicuous deceiver and the ignorant dupe and between the well-informed readers and parochial characters make good jokes and contribute to the popularity of widespread *fabliau* humour.

As Derek Brewer says, Chaucer's *fabliau* tales are not pornographic, because they are held in restraint.[3] They are the prototype of modern farces. Chaucer applies different registers and words to different situations and people in *fabliau* tales. He is a master of language, who combines courtly and vernacular literature; who manages to ridicule the upper and the lower classes in the way that they both enjoy and laugh about; who satirizes and criticizes to the greatest effect but with the least intention of doing that. Though over-interpretation of its moral sense will dull the reading of a piece of work, *CT* allows one to interpret the Tales as social critique. The root of the word *fabliau* is *fable*, which shows its inner connection to the moral concerns of the society and the philosophy of life. For cultural and historical reasons, the *fabliau* humour and satire are not, and cannot be, completely comprehended by Chinese readers. They appreciate and interpret humour differently. Given differences between Chinese and Middle English culture, language, and humour, the most representative are demonstrated in the following examples about *gentilesse*, word play, and body words.

Gentilesse

Gentilesse, the noun form of *gentil*, has more than one layer of meaning, and it can signify, among other things, noble birth, good manners, and good morals. According to the Middle English Dictionary,[4] the noun *gentil* primarily refers to a person of rank, 'of noble rank or birth, belonging to the gentry, noble' and often implies character or manners befitting one of gentle birth, 'having the character or manners prescribed by the ideals of chivalry or Christianity', such as 'noble, kind, gracious, courteous, polite, well-bred, charming, graceful, beautiful, handsome'. As an adjective, it can also apply to a nobleman, who is 'noble, gracious, refined, graceful, beautiful', though it may sometimes be 'used ironically'. Alan T. Gaylord says that 'at one pole the word may be associated with the manners of court and castle as an aspect of *curteisie* entailing genteel social conduct and gentle private relations, and at the opposite pole be more philosophically defined as *verray gentillesse*, true nobility, identified as moral virtue derived from the Divine Idea'.[5] Besides, the connotation of *gentilesse* changes as its context changes. It might be ironically associated with praise of or criticism of refinement and exquisiteness among the aristocracy, 'the conception of love fostered in a courtly society' and 'the technique of promoting lust into the game of romance'.[6] Some *fabliaux* use direct expressions of *gentilesse* in some places and more ironic ones in

3 Derek Brewer, 'The Poetry of Chaucer's Fabliaux', in his *Chaucer: The Poet as Storyteller* (London: Macmillan, 1984, pp. 107–20 (p. 109).
4 *Middle English Dictionary*, 'gentil', 2001–2014, the University of Michigan, http://quod.lib.umich.edu/cgi/m/mec/med-idx?type=id&id=MED18403 [27January 2016].
5 Here 'the Divine Idea' is, I assume, similar to Charles Muscatine's idea about the medieval church doctrine (from one of the commandments of the God), which says that people should guard themselves against using any dirty words or expressions, and their mouths should never open to name a vulgar thing. Alan T. Gayland, 'Gentilesse in Chaucer's "Troilus"', *Studies in Philology*, 61 (1964), 19–34 (p. 20). Charles Muscatine, 'Sexuality and Obscenity', in *The Old French Fabliaux* (New Haven and London: Yale University Press, 1986), pp. 134–35.
6 Gayland, p. 20.

others. In this case, satire is made for fun and laughter through the changing shades of meanings associated with *gentilesse*, and thus humour is produced for the amusement of the readers.

Before the *MT* comes the Knight's tale and as the pilgrim narrator comments, 'in al the route ne was ther yong ne old | that he ne seide it was a noble storye | and worthy for to drawen to memorye, | and namely the gentils everychon (3110–4).' The Knight has the highest rank among the pilgrims going to Canterbury, and his tale is noble not only because it is a noble story told by a nobleman but because it is also a story for the noble purpose of education: it is agreed by people in the company that the tale is worthy to be kept in mind and specially for every one of the gentle folk. When *gentil*s is rendered into modern English 'the gentle folk', there is a lot of difference in meaning. The high rank and noble blood required in the early *gentil* tradition becomes not essential in modern times; besides, the character and manners prescribed by the word is changed as society changes, and varies from nation to nation. Past British aristocratic lifestyle and former traditions of *gentilesse* are not shared by Chinese people. In the three Chinese translated versions of *CT*, the word is translated as '品德温良之人', '温文尔雅的人士', and '性情中人',[7] which means 'men of good character', 'men of good manners', and 'men of feeling'. The *gentil* Chinese who have good character and manners are not necessarily of high rank or noble birth, but according to the thoughts of Confucianism, must be, first and foremost, men of '仁(Ren)' and '礼(Li)', which are translated as men of benevolence and courtesy.

When these two Chinese characters are translated into English, they are not completely consistent with the original Chinese meanings because pictographic Chinese characters are hard to translate into corresponding English words. The formation and evolution of these two Chinese characters '仁' and '礼' tell, in their own ways, the connotations of the two words, which heavily influence Chinese counterpart of English *gentilesse*, or Chinese *gentilesse*, to be short. The oldest Chinese oracle bone script[8] wrote '仁' as '  ', which was composed of two parts, the left and the right ''. The left (now '亻') is an abstracted side view of a standing human being, which refers to any individual ranging from the high emperor to the low ordinary people.[9] The right '' (now '二') means equality, the same, or average. In the old Chinese Zhouwen script,[10] '仁' was written as '  '. The upper '' (now '千') means thousand, a great many, or the

7 The order of these Chinese translations, if not specifically mentioned, is in time sequence of their published *CT* by Fang Chong, Huang Gaoxin and Zhang Gong respectively, and later these translators' names will be called by the surname, namely, Fang, Huang and Zhang.

8 Oracle bone script (甲骨文), the ancient Chinese words written on the tortoise shells and animals' bones, was the oldest Chinese script prevalent in the time period between the 14th and the 11th century BC in Shang dynasty (**商** c. 1600AC–c. 1046 BC).

9 '仁' is the first key word and core value of Confucianism. It was initiated by Confucius (551–479 BC), and later was developed into the idea of '仁政' (Renzheng: benevolent government), when he proposed his thoughts to the rivalling emperors in his times. His thoughts were later followed and advocated, though distorted in one way or another, by later emperors in Chinese history.

10 Zhouwen script (籀文), also called 'Dazhuan (大篆)' and 'Shiguwen (石鼓文)', appeared in the late Zhou dynasty (周 1046–771 BC) and was prevalent in Qin dynasty during the period of Spring and Autumn (春秋 770–476 BC) and the Warring States (战国 770–221 BC).

masses, and the lower  (now'心') means heart, love and benevolence. Therefore, '仁' , as its meaning clearly shown in its own image, means love, benevolence and fraternity from all and for all.[11]

'礼' is another important quality after '仁', both of which are required in Chinese *gentilesse*. It emphasizes good manners, which is synonymous with English courtesy, but has different associated meanings. The form of '礼' is morphologically closest to '  ' in the ancient Chinese script called Lishu.[12] The character '' is evolved from the Zhouwen script '  '.[13] The script '' is the combination of earlier two characters in Jinwen script,[14] '' and ''.[15] The script '' has important associations related to Chinese courtesy. The upper '' is shaped like two clusters of jade ('') fastened by knots (''), and the lower '' is like a picture of the ancient Chinese Jiangu drum fitted into its stand.[16] The word in effect describes the grand sacrificial ceremonies in China: men hang clusters of jade and beat the drums to pay homage to the spirits in the heavens. According to the evolution of the meaning of the word '礼', it is first used as verb, meaning 'respect or pay respect to', and then as noun, meaning 'respectful attitude and behavior'. Later it gradually becomes the origin of the derivative nouns, '礼物(Liwu)', which means respectful presents, and '礼服 (Lifu)', which means respectful ceremonial dresses.[17]

With the background knowledge about these two Chinese characters '仁' and '礼', it is not difficult to understand the connotations of Chinese *gentilesse*. It can be inferred that Chinese *gentils* should have a heart of benevolence, show respect to others, be ready to receive others courteously, return others' kindness with appropriate rites (and sometimes gifts), and in addition, be properly dressed on important occasions. The pilgrim narrator in the Miller's Prologue speaks highly of the Knight's Tale about the *gentils*: 'This gooth aright; unbokeled is the male! |…Now telleth ye, sire Monk, if that ye konne, | Somwhat to quite with the Knightes tale (This goes all right; unbuckled is the mail! Now shall you tell, sir Monk, if it can be done, something with which to compete with the Knight's tale) (3115–9).' Next to the

11 This etymological knowledge and history of '仁' is from the Chinese online dictionary, '象形字典' (Vividict.com), an authorized website by the National Copyright Administration of the People Republic of China. It traces over 3000 most frequently-used Chinese characters in the pictographic way. 象形字典 (Vividict.com), '仁', 2010. <http://www.vividict.com/WordInfo.aspx?id=1556> [17 March, 2016].

12 Lishu script (隶书) was the official Chinese script prevalent in the Han Dynasty (汉 206 BC–AD 220).

13 In '', the most right part'' means water, which is the replacement of the wine ''. '', in the shape of running water, or spilt wine for sacrificial ceremonies, is simplified as the stroke of '' in Lishu script, and then '乚' in modern Chinese character '礼. '' is in the shape of a large pottery jar for liquor, and the modern Chinese character for this word is '酒', in which the left '氵' means water, and the right '酉' from the past '' means wine. In Chinese culture, water and wine are closely related to each other, and it is still a common phenomenon that when wine is not available or favoured, water serves the purposes in sacrifices, banquets, and other public ceremonies.

14 Jinwen script (金文) , also called Zhongdingwen (钟鼎文), is script on ancient bronze, especially on Zhong (钟 the chime bells), and Ding (鼎 cauldron-like cooking vessels with two loop handles and three or four legs). As one kind of ancient Chinese script prevalent in Chinese Bronze Age, it was mainly used during the time between Shang dynasty and Qin and Han dynasty (秦汉 221 BC–AD 219).

15 Namely, '' draws the left part '' from '' and the right part '' from '' ('' is later replaced by '', as explained in note 13). In character '', the left part has its origin in Jinwen script '', which originates from the earlier oracle bone script ''.

16 Jiangu drum (建鼓), which literally means 'a standing drum', is an ancient drum played in imperial palaces since Shang dynasty. As its name tells, it is fit into a framework of wood as its stand and set up in a standing position when played on ceremonial occasions.

17 象形字典 (Vividict.com), '礼', 2010. < http://www.vividict.com/WordInfo.aspx?id=3871 > [17 March, 2016].

Knight in rank is the Monk. The narrator addresses him with the formal word *ye* instead of the informal word *thou*, and respectfully invites him to tell a tale to compete with the Knight. The formal address *ye* is not given much attention in the three Chinese translated versions, which tells that the Chinese translators are not conscious of the social ranks bred by *gentilesse*. When there are constant shifts of these two pronouns meant for different tones and occasions, Chinese translators do not observe these changes and ignore them. Chinese equivalent words for *ye* and *thou* are 'Nin (您)'and 'Ni (你)' respectively. Fang, Huang and Zhang all translate in this case the formal *ye* with the informal Chinese word '你'. The order by rank partially manifests English *gentil* culture, which is shared among the higher class and also by the society as a whole. The social community, including both the privileged and the not privileged, makes *gentilesse* a convention, a tradition, and even a rule. It is the drunken Miller who disturbs the rule of *gentilesse* and rises from his horseback to tell his tale: '[He nolde] abiden no man for his curteisye, | But in Pilates vois he gan to crye' (He would not wait for any man, in courtesy, but all in Pilate's voice began to cry) (3123–4).

The Miller, were he not drunk, might not be rebellious enough to break the rule and defy *curteisye*. Alcohol enables him to cast aside social etiquette. His voice is compared to that of Pontius Pilate, a controversial and pivotal character in the Bible who presided at the trial of Jesus. In medieval mystery plays Pilate is traditionally written as an inflated part for an over-the-top performer. Fang and Huang add footnotes to the transliteration of Pilate, both explaining that Pilate is a tyrant who prosecutes Jesus, and Zhang inserts the word 'tyrant' before Pilate's name, with no further notes by way of explication. Why the Miller is compared to Pilate is not explained clearly, because it is not known to the average Chinese reader, who lacks the biblical culture and tradition. It seems important that the Miller, in his drunken state, should disobey the decorum of *gentil* society. He is like Pilate who speaks very pompously in a loud voice in public and who makes himself ridiculous. Emphasis on Pilate's tyranny in the notes in the Chinese translations of the *ML* does not help Chinese readers much in their understanding of this aspect of the Miller. He is a character who disrupts the rule of *gentilesse* in the way that he would not obey the order by rank and in the way that he will tell a *fabliau* to compete with the Knight's romance. This turn of genres exposes the tale-tellers' lively competitiveness on an equal footing, and lays foundation for further revelation of tale-tellers as true-to-life characters.

When the Host intends to proceed by rank with the story-telling contest—'Abide, Robin, leeve brother; | Som better man shal telle us first another. | Abide, and lat us werken thriftily (3129–31)'—he is reaffirming his belief that they had better follow social conventions. The Miller's response—'That wol nat I! | For I wol speke, or ells go may wey (3132–33)'—makes him a clown where *gentilesse* is concerned, or an iconoclast who dares to offend the old tradition. Interestingly, before he tells the tale, he makes a public avowal that he is drunk and if he speaks or says something wrongly it is the ale he has drunk that should be blamed. It seems that the Miller is sober enough to make use of his drunkenness as an excuse to jump the queue to tell his tale and speak about something not *gentil* but vulgar. Is it a trick the Miller plays to usurp the chance of telling his tale to *quite* the Knight's tale of *gentils* and *gentilesse*? Or is it a trick

Chaucer plays through the Miller's voice to break *gentil* decorum? Why the Miller plays the drunk-and-sober trick and how the trick is received by the English and Chinese audiences, is difficult to establish, because readers keep changing, their understanding keeps changing, and the society in different times responds to *gentilesse* differently. Thus different cultures and changed contexts about the word *gentilesse* call for communication, and this communication contributes to the reception of the British *gentil* culture in different historical times and societies.

Word play

Word play is what makes Chinese translation of the *MT* difficult; but for the original *fabliau*, it is a defining feature of the genre. The *MT* is a *fabliau* about a love-triangle (or quadrangle) where John, Nicholas and Absolon are rivals for Alisoun. John, a carpenter by trade, marries the young and beautiful Alisoun in old age. His trade suggests his secure economic status as a self-employed individual who helped shape fourteenth-century urban society. Lee Patterson says that these individuals were the agrarian workers and rural small-commodity producers, who were free from the reciprocal dependencies of feudalism, and comprised the most powerful forces for economic and social change.[18] Contrary to that, John is ironically depicted as an anti-hero, who is impotent to manage his domestic family life, not to mention social affairs. He is never free of dependency on others' words, because 'his wit was rude' (3227). However, his choice of a young wife at his old age defies Cato's advice that 'men sholde wedden after hir estaat' (3229). Unwise in the management of household affairs and feeling insecure as a husband, he fits the role of a cuckold husband in the typical *fabliau* plot: 'Jalous he was' (3224) and 'he demed himself been lik a cokewold' (3226). What John is most afraid of is what he becomes.

Compared with Alisoun's old dull husband John, Nicholas, the poor, smart and *hende* (3199) scholar living with them as a lodger, has learned and read a lot. His good taste in music and mastery of romance make him an invincible rival for Alisoun's favours. The *hende* Nicholas is *hende* in several respects: on the one hand, *hende* means 'clever', 'sly' and 'crafty'; on the other hand, it is derived from an Old English word meaning 'near at hand', which is a pun on Nicholas's 'living near at hand', his good skills of dealing with women, or 'his crafty way of using his hands'.[19] In Chinese translations, *hende* is translated into '调皮伶俐的', '殷勤的', and '乖巧伶俐的', which means 'mischievous and clever', 'flattering', and 'well-behaved and quick to react' respectively. Though these translations convey partly the meanings of being clever or quick to react, they do not carry slyness in their connotations. Besides, all of them deviate in some sense from the meaning of the word *hende*, and fail to reproduce the pun in Chinese.

In the rivalry of Nicholas and Absolon competing for Alisoun's love, the lovesick Absolon tries all means to woo Alisoun but meets his downfall when he confronts her. Patterson says Nicholas and Absolon offer a travesty of two forms of 'courtly' love: Nicholas is the predatory seducer who deploys the

18 Lee Patterson, 'The Miller's Tale and the Politics of Laughter', in *Chaucer and The Subject of History* (London: Routledge: 1991), pp. 247–260 (p. 247).
19 See No. 83 in Explanatory Notes by Christopher Cannon in the verse translation of *The Canterbury Tales* by David Wright. Geoffrey Chaucer, *The Canterbury Tales*, trans. by David Wright (Oxford: Oxford University Press, 2011), p. 488.

forms of courtly wooing in order to gratify his appetites, and Absolon is the narcissistic, ineffectual dandy who plays at lovemaking without understanding how to do it:[20] he is 'wo bigon'; 'he waketh al the night and al the day'; 'he kembed his lokkes brode and made him gay'; 'he woweth [Alisoun] by menes and brocage', 'and swoor he wolde been hir owne page' (3372–7). What he receives for his labour is contempt and he is 'blow[ing] the bukkes horn' (3387), because Alisoun loves *hende* Nicholas, who has persuaded her into an illicit love relationship which excludes the outsider Absolon. The Miller comments with a saying: 'Men seyth right thus: "Alwey the nye slye | Maketh the ferre leeve to be looth (3392–3).'" This time the Chinese translations work well to convey the meaning of this sentence and the success, I assume, is partly attributable to the fact that there is a similar saying in Chinese that tells the same experience: '近水楼台先得月'(waterfront pavilion gets the moon first).[21] Modern Chinese now applies it more in a negative way, to express contempt for those who are cunning and so get what they want, such as power, money, and other benefits, by flattering others, or to express the way men get women by constantly courting them in a very eager and attentive way. In Chinese the moon, metaphorically, means 'a beautiful woman', so '近水楼台先得月' means the man who is near the waterfront pavilion is favourably positioned to enjoy the moon, and a man who is near has a better chance of winning a woman's heart than a man further away.

However, *hende* Nicholas's success is temporary, and, as a Chinese saying goes, it is sometimes but not all times. After cheating John the jealous husband in his illicit affair with Alisoun, and after laughing at the amorous Absolon who is ridiculed by kissing Alisoun's behind, Nicholas is confident that he can repeat Alisoun's joke on Absolon. As the Chinese saying warns, fortune is misfortune in disguise; Alisoun's success makes Nicholas over-confident: he moves his arse out to meet Absolon's hot blade when Absolon returns for revenge. At length he 'passively "suffers" being duped himself', as David Lorenzo Boyd comments, and it is 'a typical fabliauesque technique of disempowerment and submission…when the hot blade makes contact with Nicholas's ass'.[22] The fabliauesque technique lies in the skillful plot arrangement—pride usually comes before a fall—and Nicholas's strength incurs his downfall. His wits help to win over Alisoun, but they overreaches themselves and make him suffer. Clever Nicholas is the victim of his own cleverness. Once bitten, twice shy. With a price paid, Nicholas is disempowered to submit, and he is taught how to behave next time.

20 Patterson, p. 260.

21 This saying is used for many times in its short form and becomes a very frequently used four-character idiom, '近水楼台'(Jin shui lou tai). The earliest record shows that the saying is from a poem written by Su Lin (苏麟) in the Northern Song dynasty (960–1127). When Fan Zhongyan (范仲淹) was the magistrate of Hangzhou prefecture, he promoted most of his subordinate officials he knew in and near the city where his official residence was. Su, who held the post of a patrol officer in a county far away from the city, was not known to Fan, and therefore he was not promoted. Su then took the chance of a business trip to the city, and wrote a poem to Fan to tell, in an implicit way, that he wanted to be remembered, cared and promoted. Fan read between the lines, understood what Su meant, and promoted him later. While the whole poem was lost trace of, the couplet was remembered and widely spread, '近水楼台先得月，向阳花木易为春' (waterfront pavilion gets the moon first; plants facing the sun bring spring into earlier existence).

22 David Lorenzo Boyd, 'Seeking "Goddes Pryvetee": Sodomy, Quitting, and Desire in The Miller's Tale', in *Words and works: Studies in Medieval English language and Literature in Honour of Fred C. Robinson*, ed. by Peter S. Baker and Nicholas Howe (Toronto: University of Toronto Press, 1998), pp. 243–260 (p. 251).

Privee, a synonym of *hende* in that both can mean 'hidden and devious', is the word used most frequently in association with Nicholas (next to *hende*). He 'was sleigh and ful privee' (3201). He 'prively…caughte hire [Alisoun] by the queinte' (3276). Alisoun told him of John, 'Min housbonde is so ful of jalousie | That, but ye waite wel and been privee (3294–5).' John believed Nicholas's strange behaviour is because of his intrusion into God's secret things, 'Men sholde noght knowe of Goddes privetee' (3454). Nicholas deceived John with his false story about a Second Flood, and said, 'wol I speke in privetee, | Of certain thing that toucheth me and thee' (3493–4). In addition to the idea that Nicholas's punishment is self-afflicted, he is punished because he is guilty of blasphemy—he sodomizes God by 'entering what he ought not'.[23] Namely, he is scalded in the *toute*, because his trick on John is based on his astrological knowledge which is privy to God. What Boyd says about the Christian religion is in accordance with the Chinese Taoist idea from *the Book of Changes*, '天机不可泄露', which means that God's design must not be revealed to mortal ears. Once it is revealed by someone, '泄露则阳寿折', his lifetime will be reduced by God as punishment.[24] For example, he may die in some bizarre way years before his natural time, or he may experience some misfortune that results in his earlier death. Besides, Boyd thinks that Nicholas's sodomizing God is a trope for social critique: 'Robyn [the Miller] successfully addresses class injustice by associating John's mistreatment with the queering of the dominant norm, that common people at the end of the *MT* believe the clerks (and the story of Nicholas and Alisoun) and laugh contributes to the poem's sociopolitical imperative: by falling prey to clerkly (mis)interpretation, the people, such as John, are being duped as well'.[25] John's cuckoldry, falling out of the tube, and his inability to appeal for his own rights, are the punishment for his blasphemy of God, and he is the victim of his own naivety. He is taught to believe he is Noah the savior, but ironically he is the most impotent man. While the powerless man is combined with the legend of the most powerful God, the plot arrangement about John is another successful example of *fabliau* justice by which John receives the most severe punishment of the three men in the tale. However, poetic justice in the tale is not justice in the readers' mind. Though John is punished and ridiculed most severely, he deserves most sympathy in the tale, because readers will understand and sympathize with his frailty.

Body words

Sensitive body words like *queinte*, *ers*, *toute*, *nether eye*, *hir hole*, and the scatological words *fart* and *pisse*, if labelled as obscenity, will not help explore the *fabliau* humour and social critique of the *MT*. But in Chinese culture, sensitive body words are taboo, especially those that describe female private parts.

23 Boyd, p. 247.
24 Also translated as *I-Ching*, it was written during the (west) Zhou Dynasty (1046–771BC), and concerned astrology, the divination rituals, and the philosophy of nature. Ever since Confucius's proposition to the emperor in the (East) Zhou Dynasty (771–256BC), it has become one of the classics of Confucianism in Chinese culture and tradition. It was combined during this time with the ideas of Yin and Yang and Taoist Taiji, and gradually became the most widespread body of folklore learning in Chinese history.
25 Boyd, p. 247.

Nicholas is 'sleigh and ful privee' (3201), 'living alone withouten any compaignye' (3204), and appears to be as demure as a maid, though he has a great knack both in and out of bed. But 'whil that [Alisoun's] housbonde [John] was at Oseneye' (3274), 'prively he [Nicholas] caughte hire by the queinte' (3276) and confessed his love to her. In Chinese, this word *queinte* is either deliberately omitted in Fang's translation, '他忽然把她抱住' (he suddenly caught her into his arms), or vaguely referred to in Huang's translation '他偷偷捏住对方下身某处' (he slyly caught some part of the latter part of her body), or 'wrongly' thought of in Zhang's translation '他忽然从身后一把抱住她' (he hugged her from the back all of a sudden). Fang's omission and Huang's understatement show that they are aware that Chinese readers are not ready to accept such audacious behaviour from Nicholas and faithful translation of the word can only undermine the aesthetic effect of *Canterbury Tales*. That is partly the reason that Zhang makes 'mistakes' in his translation, because he is not accustomed to the ritualized male aggression in English courtly love and the marked words of sex organs in *fabliau*.

In *Feminizing Chaucer*, Jill Mann says that 'there is plenty of evidence that the conventional pattern of male aggression and female submission was a familiar one in medieval literature, as doubtless also in life', and Chaucer must know one of the best-known narratives of courtship in the Middle Ages, the *Pamphilus*, because it is a popular school-text in Latin throughout the medieval period. It tells the story of Pamphilus's wooing of the beautiful Galatea in which ritualized male aggression meets ritualized female reluctance and 'it is in the *Miller's Tale*…that the influence of the *Pamphilus* is most clearly perceptible: Nicholas's first approach to Alisoun is founded on the same paradoxical combination of physical aggression and verbal romanticism that Pamphilus shows to Galatea'.[26]

Nicholas takes the initiative to take her in his hands by force, and 'she sprong as a colt doth in the trave, | And with hir heed she wryed faste away. | She seide, "I wol nat kisse thee, by my fey!"… "Or I wol crye…Do wey youre hands, for youre curteisye! (3282–7)"' Besides, she afterwards shifts the way of addressing him from the informal 'thee' to the formal 'ye'—'but ye waite wel and been privee… ye moste been ful derne as in this case' (3295–7). Her reluctance to concede and her shift of addressing of him show that she wants distance between them. As a 'nice' woman she is not easy game; she drops the hint that 'male desire must at the same time express itself with an insistence strong enough to carry the burden of responsibility for the sexual act'.[27] 'Therof care thee noght', Nicholas picks up the clue and says, 'A clerk had litherly biset his while | But if he koude a carpenter bigile (3299–300).' He addresses her with the informal 'thee' to show her his intimacy and affection, his readiness to take the role of the male aggressor, and his determination to take the responsibility for their illicit love affair.

Except for *queinte*, other sensitive body words like *ers*, *toute*, *nether eye*, *hir hole*, are treated with similar evasiveness and care in Chinese translations of *CT*. Therefore, strategies are taken in Chinese translations to avoid direct encounter with those words, or reduce contact with them. Take phrases from the scene when Absolon is ridiculed at the window, for instance: 'at the window out she [Alisoun] putte hir hole'

26 Jill Mann, *Feminizing Chaucer* (Cambridge: Brewer, 2002), p. 79; p. 80.
27 Mann, p. 80.

(3732) and: 'with his mouth he [Absolon] kiste hir naked ers' (3734). The former line ('at the window out she putte hir hole') is vaguely translated as: '她的下部挪出窗外' (she edged her lower part of body out of the window) by Fang, and '朝窗外露出一个部分' (let show one part of her body) by Huang, or referred to by Zhang in a linguistically faithful but more polite way '将她的臀部挪出窗外' (she edged her end out of the window). When direct treatment is unavoidable like the latter line ('with his mouth he kiste hir naked ers'), translators choose to mediate the word *ers* by calling it '屁股 (bottom)'. The Chinese word '屁眼', the equivalent of 'arse', will be never considered because it is extremely rude. Though it may appear in blue jokes or porn stories, it could never be associated with the works of the Father of English Literature, not to mention the Father of English Poetry. As Lin Huiyuan (林惠元) says, 'Chaucer is the first poet who has made English poetry into art, and he deserves the praise of Father of English Literature'.[28] Since 1930s the most influential and representative books of *History of English Literature* in different Chinese historical periods have claimed Chaucer as the Father of English Literature, and given him a separate Chapter by way of introduction, which is not a favour shown to other English writers before him or of his time. These books are *History of English Literature* by Lin Huiyuan (林惠元) in 1930, by Liu Wuji (柳无忌)and Cao Hongzhao (曹鸿昭) in 1947, by Liang Shiqiu (梁实秋) in 1955, by Chen Jia (陈嘉) in 1982, and by Wang Zuoliang (王佐良) in 1996.

However, not all sensitive body and scatological words are sacrificed. Take *fart*, for example. Apart from Nicholas-Alisoun-John, in the second triangle of Absolon-Alisoun-Nicholas, Absolon's image, as Hines says in *The Fabliau in English*, is 'the product of nurture'[29] who acquires the refinement and exquisiteness among the aristocracy in medieval society: a 'joly' (3348), 'jolif and amorous' (3355) young man 'in twenty manere koude trippe and daunce', 'pleyen songes on a small rubible', and 'song somtime a loud quinible', and 'as wel koude he pleye on a giterne' (3328–33); he is fastidious about his appearance: curly hair with handsome parting stuck out like a wide and broad fan, close-fitting light-blue tunic with laces, red stockings and shoes carved with the pattern of St. Paul's window. Besides, he is a versatile parish clerk who 'wel koude laten blood and clippe and shave, | And make a chartre of lond or aquitaunce' (3326–7), and he is popular in bars and taverns 'with his solas' (3334). He enjoys being respected and favoured by the general public. He is so obsessed with his nurtured image that he does not allow himself to answer the call of nature—'But sooth to seyn, he was somdel squaimous | Of farting, and of speche daungerous' (3337–8). Absolon cannot 'escape the vulgar facts of the body's nature' and 'his artificiality can be seen as the root of his failure' at being a lover.[30]

This careful arrangement of details in accordance with Absolon's character ridicules Absolon to great effect and adds to the aesthetic value of the *fabliau* tale. If not for the use of this word, the *fabliau* humour in *MT* would not be so strongly felt. The image of Absolon is thus so vivaciously caricatured

28 林惠元, "Chaucer 的时代",《英国文学史》, 北京: 北新书局, 1930: 33–62, p. 62. Lin Huiyuan, 'Chaucer's Times', *English Literature History* (Beijing: Beixin, 1930), pp. 33–62 (p. 62).
29 Hines, p. 116.
30 Ibid., p. 116; p. 117.

that he becomes the epitome of ironic *gentilesse*. Differently this time, the word *fart* is translated faithfully in Huang's translation. Chinese readers must burst into laughter when they read later that Absolon who is 'somdel squaimous of farting' is 'almoost yblent' with 'the strook [of Nicholas's] thonder-dent [fart]' (3806–8). What he is most afraid of is what he cannot escape from. He ends up with an unavoidable confrontation with the most unwelcomed misfortune. While Absolon himself wants to be treated in the most civilized way, it is ironic to find him suffer Nicholas's *fart* in this way. However civilized the society, it is never possible for Nicholas to behave against human nature; however nurtured Absolon is, it is never possible for him to avoid confrontation with human nature. While the word *fart* is either ignored or downplayed in Fang and Huang' translation, Zhang's faithful translation of this word shows Chinese people's gradual open mind to the calculated vulgarity for the realization of the *fabliau* humour in *MT* in the new century. Chinese people are ready to embrace difference in this globalized world, a difference less appreciated by the earlier Chinese generations in the twentieth century.

This study of *fabliau* humour in Chaucer's *The Miller's Prologue* and *Tale* is an epitome of cultural differences among English and Chinese nations, which should not be taken at face value. First, *fabliau* humour in the tale is perceived, received, and even enjoyed differently for reasons relating to: 1) lack of such contextual knowledge as medieval living conditions, social organisation, culture, and conventions of characterization for the genre of *fabliau*; 2) differences between Middle English and Chinese humour and humorous and taboo words; 3) untranslatable poetic style, including stress, meter and rhyme. Second, cultural differences, if not handled appropriately, may breed misinterpretation, misunderstanding or even contempt, when instead they should become the medium of communication, cultural exchange, and knowledge. Last but not the least, however Chaucer and his works may be misinterpreted, the Chinese perspective offers a different view of reading Chaucer's works; misinterpretation is still interpretation, an interpretation that sheds a new light on Chaucer and his works with different voices and from different perspectives, and serves as an important comparative and complementary element of Chaucerian studies.

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Compassion, Care and Emotion in Thomas Malory's *Le Morte Darthur* and Mark Twain's *A Connecticut Yankee in King Arthur's Court*

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The role of the 'carer' figure in Arthurian literature has only ever been briefly touched upon by critics. This article looks to rectify this, using two prominent literary texts as examples for its exploration. It will also consider emotion, specifically compassion, shown by characters who are placed in a situation where injury and care take over the narrative. This will enable a comparison of different attitudes towards detrimental injury and the care that such injury requires in literatures from different time periods.

Arguably, one of the most influential Arthurian literary texts from the fifteenth century is Thomas Malory's *Le Morte Darthur*. It has acted as a foundation for the work of many different Arthurian interpretations since its publication, right up to the present day. One of the authors influenced by Malory was Mark Twain; his novel, *A Connecticut Yankee in King Arthur's Court*, not only draws upon the stories Malory wrote, but also quotes large extracts of the book. However, Twain, writing in the nineteenth century, has a very different style of writing from the fifteenth-century Malory, and this difference, though both their books are based on the same set of stories, creates opposing 'takes' on the Arthurian legends. One of the most obvious differences is the way that compassion, care and emotion are portrayed by the authors. This portrayal affects the relationships between different characters in the books, and also between the reader and the stories themselves.

To develop ideas of care and compassion further, I want to incorporate aspects of disability studies, which I hope will shed new light on these texts. Focusing predominantly on the episode of 'The Last Battle', a pivotal point in both stories (though with further examples from other, highly prominent moments in the texts), I will consider the different approaches to compassion and care that Malory and Twain adopt, comparing how this affects the representations of characters in their texts, including changes in identity and kinships, and how the reader connects with and reacts to the characters. In order to do this effectively, I will consider these texts in light of Lennard J. Davis' introduction to *The Disability Studies Reader*, entitled 'Normality, Power, and Culture', to argue that the moments in which the characters of these stories require care are actually necessary for narrative progression; moments of injury and temporary disability[1] create a different 'challenge' that needs to be 'overcome', and they also highlight any ulterior motives which the characters may have.

1 I have used the term 'temporary disability' to signify that this person is, at that specific point in the story, considered to be disabled, although they will regain their former strength and ability. I believe this is different to a character who has been injured but does not recover and subsequently dies.

Before we proceed to explore moments of compassion and care in these texts, we must consider how Malory and Twain perceived injury and temporary disability. The two authors are from entirely different time periods and so their concepts of 'disability' will depend upon the societal influences around them. Davis' essay is based on the idea that 'to understand the disabled body, one must return to the concept of the norm, the normal body'.[2] It is a powerful consideration of how disability has functioned in literature over time, and provides us with a useful point of departure on which we can base the remainder of this essay. The two authors' views on the normal body are arguably divided by the industrial revolution; as Davis explains, before this time, physical or mental 'differences' were not seen as a barrier to work. When the industrial revolution came, the work it offered required an efficiency that employers decided only able-bodied people, who were sound of mind, could do. Those who could not carry out this work were deemed no longer 'useful' in society, and so 'the social process of disabling arrived with industrialization'. The definition of the word 'normal', used to describe people who physically and mentally conform to the expectations and standards of society, as calculated through scientifically calculated averages, was introduced in English around 1840.[3] This new, nineteenth-century concept of normalcy gave people a 'benchmark' to aspire to, with any deviation insinuating that they were flawed or unsatisfactory.[4]

It is this industrialisation that sculpts Twain's relationship with injury and temporary disability in his Arthurian novel, published in 1889. Hank, our metafictional narrator, is a nineteenth-century Yankee man who is accidentally transported into the world of King Arthur, where he convinces people that he has magical powers in order to take the socially prominent and highly influential place of Merlin. He has a position of great power and uses it to aspire to his own personal conception of normalcy, as defined by the industrial revolution occurring in his original, contemporary lifetime, and shown by his intention to change Arthur's medieval court into a nineteenth-century-style industrialised society. Davis claims that 'most characters in nineteenth-century novels are somewhat ordinary people who are put in abnormal circumstances,' and this is apparent in the text, as Hank is inexplicably transported from his present day back to the 'abnormal' (in regards to his definition of the 'normal') world of King Arthur. As a result, Hank subsequently attempts to enforce his ideas of normalcy onto this bizarre situation, yet struggles to normalise a society that works based on the ideal, a society which does not recognise a norm in terms of physicality or mentality.[5]

If we go on to consider injury and disability in *A Connecticut Yankee*, we can see that Hank is affected by scenes of injury and illness, attempting to 'normalise' these situations with explanations and interventions. One example of this is Sandy's potential mental illness, in which she sees a large group of pigs, and believes them to be the noble princesses she and Hank are rescuing. Hank desperately tries to see the logic in this belief; 'my land, the power of training! of influence! of education! It can bring a body

2 Lennard J. Davis, 'Introduction: Normality, Power, and Culture' in *The Disabilities Studies Reader*, ed. by Lennard J. Davis, 4th edn, (New York: Routledge, 2013), pp. 1-14 (p. 1).
3 Ibid., p. 1.
4 Ibid., p. 3.
5 Ibid, p. 9.

up to believe anything. I had to put myself in Sandy's place to realize that she was not a lunatic'.[6] The reader may struggle to understand what he is explaining; have these medieval characters been taught to believe in these strange delusions? Would they all see these pigs as nobility? Twain makes it difficult to be sure, yet the primary function of this explanation is to normalise the situation for Hank himself.

Davis explains that;

> When we think of bodies, in a society where the concept of the norm is operative, then people with disabilities will be thought of as deviants. This, as we have seen, is in contrast to societies with the concept of an ideal, in which all people have a non-ideal status.[7]

Hank's attempt to normalise Sandy is an attempt to avoid labelling her as 'deviant'; however, this is arguably the point at which Hank first realises that he will struggle to fully 'normalise' the people of Arthur's court, as they do not recognise what it means to adhere to a norm, as highlighted by the characters in Malory's *Morte Darthur*.

In the fifteenth century, medieval society looked to an 'ideal', something that could not be attained by a human. As Davis explains, the ideal 'presents a mytho-poetic body that is linked to that of the gods […] This divine body, then, this ideal body, is not attainable by a human.'[8] Arthurian literature, including Malory's own work, frequently attempts to idealise chivalry and knighthood, yet simultaneously and consistently questions these ideals, presenting the many flaws of knights and knighthood to the reader. Elizabeth Archibald discusses in her essay 'Questioning Arthurian Ideals' how even the knights of the Round Table suffer from human flaws and, as a result, 'the Arthurian court is not always presented as glamorised or united, nor is Arthur always a dynamic, astute or effective monarch'.[9] To this end, no single knight of the Round Table can ever meet the 'ideal'; instead, their flaws are treated equally as barriers to success in their adventures.

As such, Lancelot is undone by his romance with Guinevere, which is just as much of a barrier to be overcome as his temporary disability in the 'Sir Lancelot and Queen Guinevere' episode. Once recovered from his debilitating injury, Lancelot is 'whole and sound', with little – if any – change from his condition before the injury.[10] He continues on as normal, seemingly unchanged by his near-death experience; however, Guinevere's anger creates a new, different challenge that Lancelot must overcome, in much the same way as the previous personal battle – with chivalric behaviour and patience. Therefore, injury, like any other battle that the knights face, is merely presented as something to overcome, and not something which can drastically affect the knight himself.

6 Mark Twain, *A Connecticut Yankee in King Arthur's Court*, ed. by Allison R. Ensor (London: Norton, 1982), pp. 104-05. All future references are to this edition and page numbers are placed between parentheses in the body of my essay.
7 Davis, p. 3.
8 Ibid., p. 2.
9 Elizabeth Archibald, 'Questioning Arthurian Ideals' in *The Cambridge Companion to the Arthurian Legend*, ed. by Elizabeth Archibald and Ad Putter (Cambridge: Cambridge University Press, 2009) pp. 139-53 (p. 139).
10 Thomas Malory, *Le Morte Darthur*, ed. by Helen Cooper (Oxford: Oxford University Press, 2008), p. 433. All future references are to this edition and page numbers are placed between parentheses in the body of my essay.

Malory's characters do react intensely to injury, yet without a norm or average to conform to, without a 'marker' to tell them they are deviating from their societal peers, it is a vastly different reaction to that shown by Twain's nineteenth-century-influenced characters. In Kenneth Hodges' essay 'Wounded Masculinity: Injury and Gender in Sir Thomas Malory's *Le Morte Darthur*', we see that:

> Injuries [in Malory] are integral to masculinity as it is practiced and celebrated. Wounds not only provide meaning to knightly combats but also educate young knights. They also provide part of the basis for community, as knights errant bond with their healers or return to their companions and courts for healing […] the wounds are necessary for the narrative and part of the chivalric ideal of manhood.[11]

Thus, injury, at the time Malory was writing, was considered masculine, something to take pride in and, in some ways, something to aim towards in order to prove a knight's strength. As such, we see that injury and temporary disability was not necessarily a negative experience for Malory's characters.

Having distinguished between between Malory and Twain's concepts of disability and injury, we can now consider the representations of compassion and care that come as a result of temporary disability. Let us consider specifically *how* the two authors present the reader with different concepts of compassion and care, and how this subsequently affects the narrative. In Malory's *Morte Darthur*, compassion and care seem to be used mainly to gain a position of power over another character. In her essay, which considers ideas around the injured body in Malory, Catherine Batt observes that 'Malory appropriates the material to express the abstract…[he] uses the body as the focus for issues of integrity, and their full significance becomes apparent within this broader context'.[12] Here, we can view the body as a device used to highlight the (lack of) integrity of the carer by observing how injury and temporary disability are used to achieve power or control. If injury and temporary disability are treated simply as another challenge to overcome, caring for an injured person becomes a questionable way for the carer to 'defeat' a 'quest' and therefore achieve their own goals and desires. As such, injury is used in the narrative primarily as a way to try to gain – whether this gain is power, respect, or some physical object or person. There are many examples of this throughout Malory; we will consider three different, but prominent, situations of care.

When Lancelot is injured in 'Sir Lancelot and Queen Guinevere', he is cared for by the 'maiden Elaine [who] never went from Sir Lancelot, but watched him day and night, and did such attendance to him that the French book saith there was never woman did never more kindlier for man' (p. 427). Whilst Lancelot is determined to regain his health and fight in tournaments, Elaine seeks to gain Lancelot's love by placing herself in the role of carer. For her, like Lancelot himself, his temporary disability is something to be overcome in order to gain what she truly desires – marriage. However, throughout Malory, the

11 Kenneth Hodges, 'Wounded Masculinity: Injury and Gender in Sir Thomas Malory's *Le Morte Darthur*', *Studies in Philology*, 1.106 (2009), 14-31 (p. 14).
12 Catherine Batt, '"Hand for Hand" and "Body for Body": Aspects of Malory's Vocabulary of Identity and Integrity with Regard to Gareth and Lancelot', *Modern Philology*, 3.91 (1994), 269-87 (p. 270).

'central activity of the Arthurian world, romantic love, is presented as fatal.'[13] Elaine is not rewarded; Lancelot does not reciprocate her compassion and care, and though she 'never slept, ate, nor drank, and ever she made her complaint unto Sir Lancelot' (p. 433) he refuses to relinquish this power over him to his former carer, stating simply that 'I love not to be constrained to love; for love must only arise of the heart's self, and not by no constraint', and instead leaves her to die (p. 436). Although Elaine successfully cares for Lancelot, she is refused her reward, and instead suffers for her compassion and care.

Carers, their manipulation of the position of power they have acquired, and its effect on the narrative, are themes which are repeated throughout the *Morte Darthur*. In the 'Last Battle', the King cares for the mortally injured Gawain; 'he went unto him and so found him; and there the King made great sorrow out of measure and took Sir Gawain in his arms', before helping Gawain to write his letter to Lancelot (p. 508). Although he seems to be fulfilling the role of carer, Arthur actually gains a stronger control of the war through Gawain's death, as with that letter he can rely on a much-needed ally. Thus, Gawain's injury is ultimately in Arthur's favour, although it is not enough to save Arthur. Arguably, Gawain also stands to gain from his injury as he is 'rehabilitated by his repentant ending, acknowledging his responsibility', although it is only through death that he will reap any benefits.[14] In another example, at the end of the Last Battle, Arthur sustains a grievous head wound. Time is crucial; his carer Sir Bedivere is instructed to throw Excalibur into the lake and report what happens in an attempt to save Arthur's life. Bedivere fails in this instruction twice, finally throwing the sword into the lake on his third attempt, which proves too late to save Arthur's life. So what happens to allow this failure? Bedivere is taken by the sword's power and wishes to possess this power himself:

> [He] beheld that noble sword; and the pommel and the haft was all precious stones. And then he said to himself, 'If I throw this rich sword in the water, thereof shall never come good, but harm and loss.' And then Sir Bedivere hid Excalibur under a tree (p. 514).

His inability to give up the glittering sword, and his attempt to gain the power that Arthur held as King, leads to Bedivere's failure as a carer; Arthur does not receive medical help in time and so dies.

As these examples highlight, being a carer in Malory's text is a position of power that can be exploited in order to gain power over the dependant. However, there are consequences to being one of Malory's carers, too, which do not emerge in the caring itself but in the compassion that pushes a character to take on the role of carer. For example, Elaine is not rewarded for her compassion towards Lancelot; instead, she is sentenced to a slow, fading death. She cannot take on the role of 'dependant' but remains a 'carer' even after her death, as it is this event that reunites Lancelot with Guinevere (p. 436). Compassion, therefore, is perceived as a dangerous emotion which can result in difficult consequences.

13 C. David Benson, 'The Ending of the *Morte Darthur*' in *A Companion to Malory*, ed. by Elizabeth Archibald and A. S. G. Edwards (Cambridge: Brewer, 1996), pp. 221-38 (p. 224).
14 Barry Windeatt, 'The Fifteenth-Century Arthur' in *The Cambridge Companion to the Arthurian Legend*, ed. by Elizabeth Archibald and Ad Putter (Cambridge: Cambridge University Press, 2009), pp. 84-102 (p. 98).

On the other hand, a lack of compassion can also reap destruction and death, as shown by Gawain's lack of compassion towards Lancelot, who accidentally killed his brothers.

Compassion and care are presented differently in Twain's *A Connecticut Yankee* as a result of the different societal views on disability at the time of its publication. Hank plays the role of the ultimate carer as he tries to 'normalise' the technologically and intellectually 'disabled' medieval world around him; as such, many of the explorations into care in this novel focus on Hank and nineteenth-century thought. Hank views his circumstances as an opportunity to become the carer of a nation, exclaiming that Arthur's nation is the 'grandest field that ever was; and all my own; not a competitor; not a man who wasn't a baby to me in acquirements and capacities' (p. 40). Willingly, he takes on this role, which for him includes bringing the medieval world around him into the nineteenth century. However, he recognises that this task requires different forms of care for the different groups of people in the novel, in order to break old beliefs and habits rife throughout the kingdom. As such, Hank uses care and compassion in different ways when interacting with the nobility and the knights, and when caring for the peasants and slaves – a social group that is not fully explored or appreciated in Malory's work, yet plays a large role in Twain's novel.

First, let us consider Hank's care and compassion for the court. The downfall of Arthur and Hank comes after the latter temporarily removes his care from the knights, and they must suddenly fend for themselves in their new hybrid Arthurian/nineteenth-century world. Instead, he focuses on caring for his sick child and explains that 'in our deep solicitude we were unconscious of any world outside of [our child's] sick-room' (p. 234). Arguably, the 'Last Battle' in Twain's novel comes as a direct result of the removal of Hank's care, as he is unable to calm tensions, intervene or run the kingdom in Arthur's absence, leaving it to the traitor Mordred. Therefore, it seems that care in Twain is necessary to keep a nineteenth-century-style sense of order in the kingdom.

Twain's 'Last Battle' does not end with the deaths of Mordred and Arthur; the main battle in this tale is between Hank and the Church and is, in some ways, an internal battle for Hank, who is torn between the modernity of the nineteenth century and the life he has built for himself in the Arthurian court.[15] One way Twain presents the conflict between the two points in history is by presenting Hank as split on the care and compassion he shows to the peasantry and 'progressive' citizens who support his nineteenth-century enlightenment, and to the knights and nobility who do not. Mainly, as a result of this conflict, Hank 'cares' for the knights and aristocracy, which is shown by his attempts to 'go out and see if any help could be afforded the wounded [knights]' (p. 255), yet he does not show them any compassion whilst narrating the events of the battle:

> I shot the current through all the fences and struck the whole host dead in their tracks! *There* was a groan you could *hear*! It voiced the death-pang of eleven thousand men. It swelled out on the night with awful pathos (p. 255).

15 For more on Hank's internal conflict, see Henry Nash Smith, 'The Ideas in a Dream' in *A Connecticut Yankee in King Arthur's Court*, ed. by Allison R. Ensor (London: Norton, 1982), pp. 409-17.

As this extract shows, Hank demonstrates very little emotion when narrating the knights' demise, and little to no remorse. He uses words such as 'awful' and 'tragedy' during this narration which shows he recognises that his actions are terrible, yet he does not express a personal sadness or compassion for those he has killed.

Hank's compassion is, instead, reserved for his army of boys, for the peasants, whom he has devotedly trained; 'well equipped, well fortified, we number 54. Fifty-four what? Men? No, *minds* – the capablest in the world' (p. 251). There is a contradiction between the compassion he shows for his army of boys, and the fact that he allows them to die with him, trapped in Merlin's Cave. The only 'care' he shows them is through their training, which he conducts arguably more for his own personal care. Further, the strongest emotion Hank can muster during the episode is with respect to his own downfall, which he even fails to narrate himself, crying 'but how treacherous is fortune! In a little while – say an hour – happened a thing, by my own fault, which – but I have no heart to write that'; this emphasises how his own injury has affected him emotionally (p. 255). This event highlights exactly how much Hank, with his nineteenth-century ideals, perceives disability, even a temporary one, as a deviance from the normal body.

Besides the continual care and compassion he shows Sandy, whom he later goes on to marry, Hank strives repeatedly to separate compassion and care throughout the book. Take, for instance, the small-pox hut; there, he performs compassionate acts for the dying mother by listening to her sad story and making her comfortable before her death, yet Hank does not 'care' for her by providing her with medicine or food, or by nursing her in any way. His small attempts to revive her daughter are rebuked by the mother; she does not want his care, but prefers his compassion. Instead, Hank attempts to care for the King by trying to convince him to leave the infected hut. However, at many different points in the narrative Hank struggles to show compassion for him. When the King himself shows little compassion for the woman's sons, intending to send them back to the dungeons, Hank reveals his belief that a knight's compassion is limited, saying that Arthur's 'veins were full of ancestral blood that was rotten with this sort of unconscious brutality, brought down by inheritance from a long procession of hearts that had each done its share toward poisoning the stream' (p. 168). This goes some way to explaining Hank's lack of compassion toward the King but abundance of compassion for the slaves and peasantry, as Arthur himself is unable to fulfil this role of compassionate ruler to the poor.

Twain's King Arthur is not entirely compassionless; when he and Hank are captured as slaves, the King changes his view towards his slave population, agreeing to abolish slavery in his kingdom. Hank explains that he had 'asked years before and gotten such a sharp answer that I had not thought it prudent to meddle in the matter further…[this time] his answer was as sharp as before, but it was music' (p. 203). However, Hank still has little compassion for the King; the next moment Arthur is discussed is when the 'master', – the man who takes Arthur and Hank in order to sell them as slaves – offers him to a customer for free. Hank mockingly presents the King's reaction to this news, describing him as unable to 'get his breath, he was in such a fury. He began to choke and gag', which paints a comical picture of the regal Arthur. Here, though Arthur has previously been presented as capable of compassion for others, Hank

still struggles to show sympathy for the aristocracy. This may be due to conclusions drawn in an earlier episode, when Sandy led him to rescue some 'princesses' that were, in fact, pigs, leading Hank to the 'vivid conclusion that the princesses (and by implication, all royalty and nobility) were hogs'.[16]

Twain mockingly takes the idea of the nobility lacking compassion from Malory. Through their portrayals of the King's non-compassionate nature (specifically towards the peasantry), we can see similarities between Twain's Arthur, who seeks to uphold the law of the land and therefore his own authority, and Malory's Arthur, who cares for others in order to gain power or control. Having said this, Twain's portrayal of the King is somewhat more complex; by allowing him to join in the adventures and 'quests' of Hank, who is not a noble, Twain allows his Arthur to grow as a person and later develop compassion for peasants and slaves in his kingdom. Here, we can see that Twain subverts the features of Arthurian literature in order to highlight problems of social injustices like slavery, that are ignored in earlier Arthurian texts such as Malory's *Morte Darthur*.

With this in mind, we can see that care and compassion are vital to plot progression in these Arthurian texts. Despite their different ideas surrounding disability, both of these texts use care and forms of compassion to add depth to their plot, and to propel the narrative forward; the uses of care and compassion discussed in this essay show them to be enabling rather than disabling features of the narrative. We can develop this further; David Mitchell and Sharon Snyder's essay 'Narrative Prosthesis' focuses on the function of disability in literature as a narrative device that propels the story forward. They explain that '*narrative prosthesis* is meant to indicate that disability has been used throughout history as a crutch upon which literary narratives lean for their representational power, disruptive potentiality, and analytical insight.'[17] In our texts, there are very few instances where disability or injury is introduced into the narrative unaccompanied by a carer. These carers thus play a similar role to disability; we have seen how they use injury and temporary disability to gain power, disrupt the narrative, and provide insight into their hidden agendas.

Care and compassion counteract 'the body's unruly resistance to the cultural desire to "enforce normalcy"' by attempting to normalise the disabled body, typically for a personal, hidden intention.[18] As Catherine Batt explains, 'Malory's body imagery conveys something of the mystery of human motive and volition even as it serves as a powerful image of desired (and possible) integration and wholeness', and this, as we have seen, can be extended to other Arthurian authors, like Twain, who utilises the body to present conflict and a desperate attempt to grasp at a norm.[19] As such, we can see that care and compassion not only move the narrative forward, but also give the reader a deeper insight into the motives and personalities of the characters.

16 Howard G. Baetzhold, 'The Composition of *A Connecticut Yankee*' in *A Connecticut Yankee in King Arthur's Court*, ed. by Allison R. Ensor (London: Norton, 1982), pp. 342-60 (pp. 346-47).
17 David Mitchell and Sharon Snyder, 'Narrative Prosthesis" in *The Disability Studies Reader*, ed. by Lennard J. Davis, 4th edn (New York: Routledge, 2013), pp. 222-35 (p. 224).
18 Ibid., p. 223.
19 Batt, p. 287.

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'White guilt': a new excuse for another colonialist move? 'First World Feminism' and 'Third World Women' in *The Help*

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Introduction

The great success achieved by Tate Taylor's film *The Help* (2011) is not surprising given that, once again, the opinions that reach the public audience seem to be those of white North American film critics or similar personalities, opinions ultimately represented by the four Academy Award nominations that the film received. The story has been praised for its feminist and anti-racist approach through its supposed portrayal of female bonding across racial boundaries. However, other opinions about this film are rarely taken into account, mostly when they disagree with this main-stream opinion of the film. Voices like that of the Association of Black Women Historians (ABWH), which should have more to say about a film of this kind, usually remain unheard. Tiffany Gill, Daina Berry, Kalli Gross, Janice Sumler-Edmond, and Ida Jones, on behalf of the ABWH, comment on how '*The Help* distorts, ignores, and trivializes the experiences of black domestic workers.'[1]

Kathryn Stockett's *The Help* (2009), the novel upon which the film is based, is a metafictional prose narrative. The plot seems to be related to the author's life, her view on the racial relationships in her country, and her ethical intentions (which she states in the essay 'Too little, too late'[2]). Stockett explains that she feels embarrassed about the naïveté of her youth and wants to make up for it now. This 'white guilt' that she describes is represented in the novel by Skeeter, the main white character. *The Help* tells the story of a group of women who get together to write a book about the experiences of African-American maids working for white families during the early 1960s in Jackson, Mississippi. This is a complicated and dangerous task given the historical context of racial segregation and the African-American Civil Rights movement. The main characters are:

Miss Skeeter, Aibileen and Minny, and the novel is narrated by each of them in alternate chapters. Skeeter, the young white woman, is in charge of writing and compiling in a book (titled 'Help') of the stories told to her by the black maids. Aibileen and Minny are two maids who start this project with Skeeter, and subsequently they mediate with the rest of the maids, who finally participate.

1 Tiffany Gill, Daina Bery, Kalli N. Gross, Janice Sumler-Edmond, and Ida B. Jones, 'An Open Statement to Fans of *The Help*', *Turning the Tide* 24 (4) (2011), p. 1.
2 Kathryn Stockett, 'Too little, too late' in *The Help* (New York: Berkley Books, 2010), pp. 457-461.

The Help (novel) provides a deeper insight into the situation but falls into the same trap as the film, which is a close but hyperbolic rendition of the novel. As the ABWH further states, both the novel and its filmic adaptation 'strip black women's lives of historical accuracy for the sake of entertainment.'[3] This article focuses on the problems that arise in the novel because of its treatment of the black female characters and how the white women strip them of their subject position. *The Help* demonstrates how white women may worsen the condition of subalternity evinced by the black women, principally because of their effort to 'help' these women change their situation by silencing them and trying to speak for them. The relationship between 'First World Feminism' and 'Third World Women' has always been a difficult one, in part due to the problems that arise when helping subaltern subjects to speak up. This novel is an example of the complete failure that can result from an attempt of this kind, a failure that could be described, in this case, as a new type of colonialist move of white women over black women.

The first part of this essay deals with the situations of the main characters and their reasons for participation in the book. It shows how Skeeter's disregard for both her privileged position and the black maids' condition of double colonisation, coupled with the way in which the book deprives black characters of their own voices, prevents the book from being a successful feminist and racial response to the racial segregation in the US at the time. The second part of the paper identifies the ways in which Skeeter's project perpetuates racial and (racialised) gender stereotypes, in order to position the character as protector and mother figure. Finally, the essay draws to a conclusion by answering the main questions that have been raised throughout the paper.

'First World Feminism' and 'Third World Women'

In colonial and postcolonial contexts, black women have not only been victims of colonialist oppression, that is racist oppression, but also of the gender oppression coming from the patriarchal structures and values on which their societies are based, something known as 'the double colonisation of black women.'[4] In the case of *The Help*, the relationship between the white ladies and the black maids is taken as a mere case of women's interaction, there is no mention of the historical reasons that led to the situation of the black women's double colonisation. Both the colonising (white women) and the colonised (black women) in once-colonised countries are affected by gender oppression. Due to patriarchy, white women are responsible for the children and the household issues; and, due to the traces left by colonialism and slavery, they are in charge of supervising the black help in the household context of the novel. Here, white women become the oppressors, although they remain subaltern under the patriarchal social structure. As John McLeod states, 'western women's relationships with the dual workings of colonialism and patriarchy is often particularly complicated as members of the 'civilised' colonising nation, yet disempowered under a Western patriarchal rubric.'[5] Likewise, *The Help* portrays a context of the

3 Tiffany Gill, Daina Bery, Kalli N. Gross, Janice Sumler-Edmond, and Ida B. Jones, p. 2.
4 John McLeod, *Beginning Postcolonialism* (2nd edition, Manchester: Manchester University Press, 2010), p. 200.
5 *Ibid.*, p. 202.

postcolonial USA (the 1960s) in which white women simultaneously remain oppressed under the 'Western patriarchal rubric', and yet help to perpetuate the situation of racial oppression.

Skeeter is a twenty-four year-old educated woman who has just finished her liberal studies in journalism at the university. Initially, it seems that she is a freethinker and a self-assertive person simply because she wants to be a working woman. However, after a deeper analysis of the novel, we see that she is shy, quiet and ashamed of her physical appearance, and it seems that her position towards issues such as marriage have more to do with this than any personal or political decisions. Skeeter represents the postfeminist mentality, just because she studied and is now a working woman she believes that she is free from any kind of patriarchal oppression.

Chandra T. Mohanty, in the context of the tension between what she denominates First World Feminism and Third World Women[6], describes herself in the following way:

> I am for the Two-Thirds World, but with the privileges of the One Third World. I speak as a person situated in the One-Third World, but from the space and vision of, and in solidarity with, communities in struggle in the Two-Thirds World.[7]

Although Skeeter pretends to have a similar position, does she really speak from the same perspective and in total support of the black maids? As we shall see, this does not seem to be the case. There is no excuse for Skeeter's ignorance of the black women's situation. As an example, it is worth looking at bell hooks' [sic] explanation of what she felt when she encountered white feminists:

> I did not feel sympathetic to white peers who maintained that I could not expect them to have knowledge of or understand the life experiences of black women. Despite my background (living in racially segregated communities), I knew about the lives of white women, and certainly no white women lived in our neighbourhood, attended our schools, or worked in our homes.[8]

The main reason why Skeeter wants to write this book is because she wants to become a writer. She gets the idea from Aibileen's son and his plan to write about 'what it was like to be colored [sic] working for a white man in Mississippi.'[9] Even though Skeeter approached Aibileen because she needed help with a cleaning column for a newspaper, they seem to establish a friendship. However, it is never clear whether this is due to their personal interests (Skeeter is a writer and Aibileen is someone who wants to speak up) or to a social responsibility, as Aibileen would have felt forced to help her anyway because of her subaltern position. While Skeeter thinks that writing about 'The Help' is going to be both ground-breaking and meaningful in the current context of the African-American Civil Rights Movement, her final

6 One-Third World and Two-Thirds World are Mohanty's terms to refer to the more commonly known as First World and Third World, respectively, denoting access to property and riches.
7 Chandra T. Mohanty, 'Under Western Eyes Revisited: Feminist Solidarity through Anticapitalist Struggles', *Signs: Journal of Women in Culture and Society*, 28 (2003), pp. 499-535 (p. 507).
8 bell hooks, "Black Women: Shaping Feminist Theory" in *The Black Feminist Reader, ed. by* Joy *James* and Denean Sharpley-Whiting (Massachusetts: Blackwell Publishers, 2000), pp. 131-145 (p. 141).
9 Kathryn Stockett, *The Help* (New York: Berkley Books, 2010), p. 86.

or true goal is to become a writer, she wants to find an issue that is 'worthy journalism material'[10]. She uses this topic to get what she wants, not to make a political claim. Skeeter does change throughout the story, but one should wonder whether she does so consciously, because she realises that what is happening around her is not right; or whether such a change is simply an inevitable consequence of narrative events, because her friends abandon her. This is demonstrated by the fact that she does not include Constantine's story in the book.[11] The only thing that Skeeter could do for the black maids, to demonstrate her good intentions, would be to publish this story. Skeeter is incredibly ashamed about the incident with Constantine,[12] it made her realise that her story is much like the stories told by the other black maids and not the idealised relationship that she remembers. Yet, she does not arouse overt suspicion over her motivations for writing the book, nor does she clarify her position towards the racist climate in the outset.

Aibileen, the black servant who gives Skeeter the idea for the book, works for Miss Leefolt (one of Skeeter's best friends). Eventually, she accepts Skeeter's proposal: 'and I think about all my friends, what they done for me. What they do every day for the white women they waiting on […] Law help me, but something's gone have to be done.'[13] Aibileen is willing to do it because she will not lose anything, but she is truly aware of what it means for the rest of the maids, unlike Skeeter. Before her son died, she epitomised female acceptance in the face of adversity and she coped with her situation without saying a word, but after this event she does not want to be silent anymore: 'I feel that bitter seed growing inside a me, the one planted after Treelore died.'[14] Aibileen is an intelligent woman, she has strong and clear ideas and values.[15] In fact, she insists on writing her stories, which makes her the only black maid who is awarded a voice of her own, unmediated by the white journalist.

The second black maid, Minny, is the character who represents the hardest side of life in the novel's Jackson setting. Her life is a circle of violence both within and outside of the home. At first, Minny does not yield to Aibeleen's proposition because she sees that Skeeter only wants to write the book for her own benefit: 'She crazy if she think we do something dangerous as that. For *her*.'[16] But still, it is obvious that she sees how it would be a good opportunity for her to speak up: 'I've been trying to tell white women the truth about working for them since I was fourteen years old.'[17] She is one of the most active and revolutionary black characters because she pronounces some of the clearest statements about racial issues. We see that she is very frustrated by the situation, yet she does not do anything to change things as she is aware of the high risk she would run if she spoke.[18] Minny gets exasperated because she wanted more from the book and she sees that they are just including everyday-life events that 'don't have

10 Stockett, p. 74.
11 *Ibid.*, p. 368.
12 Constantine was fired for racist reasons.
13 Stockett, p. 28.
14 *Ibid.,* p. 98.
15 *Ibid.*, p. 319.
16 Stockett, p. 131.
17 *Ibid.*, p. 132.
18 *Ibid.*

nothing to do with colored rights.'[19] This shows how, from the maids' perspective, this book should be a political act.

As Gayatri C. Spivak suggests, living in the same social context does not imply sharing common experiences. What Skeeter does not understand is that 'beyond sisterhood there is still racism, colonialism and imperialism.'[20] Skeeter seems to be quite naïve and might believe that her relationship with Constantine is the common one to have with the black help, which does not mean that her relationship with her maid was free from racism. 'Sisterhood cannot be assumed on the basis of gender; it must be forged in concrete historical and political praxis'[21] and part of these 'concrete historical and political praxis' are the other interlocking oppressions (such as race, class, sexuality, etc.), something that Skeeter does not seem to see or want to see, at least in the beginning. Sisterhood, understood as the bonding among women who share similar experiences, only exists between the black maids because they share common experiences and are therefore able to understand and support each other. Skeeter's reluctance to face the problem of racial segregation prevents her from participating in this bonding with the black maids. As hooks explains, 'racism abounds in the writing of white feminists, reinforcing white supremacy and negating the possibility that women will bond politically across ethnic and racial boundaries.'[22]

McLeod explains that 'Spivak has consistently advocated that critics must always look to the specifics of their own positions and recognise the political, cultural and institutional contexts in which they work.'[23] Critics and scholars do not have to be black in order to speak about black issues. They need to learn from black people or other subaltern groups; then they may be able to speak in their defence without depriving these groups of their own voice, although it is unclear whether this is an impossible aspiration. This is similar to what Uma Narayan claims when she states that no person can speak for the whole range of Third World Women, as there are many third-world contexts and times. The idea that someone may belong to one of them does not give them the right to speak for any other third-world context.[24] Therefore, in the case of *The Help*, it is not necessarily a problem that Skeeter is white and does not share the same experiences as the black maids, as this could equally apply to a black person coming from another country, for example. The problem in this novel, as well as in the world in general, is the system of representation in which the subaltern voices are not properly heard. It is a failure of interpretation and not of articulation: subaltern groups do talk, the problem is the system of representation where subaltern subjects do not represent themselves but are represented by those in power, the same people who are responsible for silencing the subaltern. Therefore, intellectuals must learn to listen to the oppressed groups and stop speaking for them; and Skeeter, as a white intellectual, is no exception.

19 *Ibid.* 169.
20 Chandra T. Mohanty, 'Under Western Eyes: Feminist Scholarship and Colonial Discourses', *Feminist Review,* 30 (1988), pp. 61-88 (p. 77).
21 Mohanty 1998, p. 67.
22 hooks, p. 133.
23 McLeod, p. 213.
24 Uma Narayan, *Dislocating Cultures: Identities, Traditions, and Third-World Feminism* (New York: Routledge, 1997), p. 5.

In relation to this last point, it is important to consider the possible reasons why Skeeter wants to show both the good and bad stories. On the one hand, it might be a way to make it easier for white people to see the situation and change, as they would not feel as if they were being directly accused. This is analogous to discourses in Masculinity Studies, where commentators such as Harry Brod propose that: by looking at the superordinate instead of the subordinate individual, it may make it easier for the oppressing groups to acknowledge their structural power because they would not feel attacked as individuals.[25] On the other hand, it may be that Skeeter just wants to excuse white people such as herself, a kind of personal approach to feel good because she does not understand (or does not like the reason) why Constantine left. As hooks explains, 'we [black women] could be heard only if our statements echoed the sentiments of the dominant discourse.'[26] A third possibility may be that, as 'privilege nurtures blindness to those without the same privileges,'[27] she simply does not see what the situation truly is for the black help.

It should be noted that Skeeter does not approach the situation of the black help with regard to their oppression as women, but rather their oppression as *black* women. That is, it is not a case of white women saving black women from patriarchal oppression, but of white women saving black women from racist oppression, which is carried out by the white women themselves. Therefore, even though Skeeter is also a woman, she belongs to the oppressors' side of the racist structure. As McLeod states, 'white women have failed to see themselves as the potential oppressors of black and Asian women, even when adopting benevolent positions towards them.'[28] We can easily apply this statement to Skeeter's relationship with the black help, as she fails to see (or does not want to see) herself as part of the structure that helps oppress the black maids that she wants to help. As a solution to these problems, McLeod summarises Helen Carby's proposal:

> Carby asks us to recognise the ways in which white women have oppressed black and Asian women in the past, and explore how Western feminism excludes black and Asian women in the present. White women must listen and learn from black and Asian women, and be willing to transform their prevailing attitudes.[29]

However, a question that arises from this is whether Skeeter is willing to do this or not. Mohanty claims that we should 'read up' power structures in order to learn how they work. We already know how and why oppressed groups are oppressed, what we need to do is learn how the oppressing groups oppress, so that we can know how to fight it. Through the book, Skeeter compiles the different personal accounts that the black maids tell her, but she does not seem to see beyond these particular stories. This prevents

25 Harry Brod, 'Studying Masculinities as Superordinate Studies' in *Masculinity Studies and Feminist Theory*, ed. Judith Kegan Gardiner (New York: Columbia University Press, 2002), pp. 161-175.
26 hooks, p. 141.
27 Mohanty 2003, p. 510.
28 McLeod, p. 208.
29 *Ibid.*

her from properly understanding how the whole social structure functions, which in turn prevents her from truly fighting it.

Decolonising feminism... achieved?

It is worth noting the way in which Stockett represents the black maids and how this is made in comparison to the portrayal of the white ladies. Mohanty talks about 'five specific ways in which 'women' as a category of analysis is used in Western feminist discourse on women in the Third World to construct 'third-world women' as a homogeneous 'powerless' group often located as implicit victims of particular cultural and socio-economic systems.'[30] Some of these 'ways' are used in *The Help* to characterise the black community: women as victims of male violence; women as universal dependants; or women simply defined as part of familial systems.

As Mohanty suggests, 'without the overdetermined discourse that creates the third world, there would be no (singular privileged) first world.'[31] Skeeter is not a character free from racism or the influence of patriarchy, even if the author tries to define her in a more sympathetic way. In other words, it can be seen, as Mohanty claims, that these 'ways' of categorising Third World Women could be easily applied to First World Women. A feminist reading of *The Help* shows that the white women's relationship with men is not that different from those of the black maid's, as all of these women suffer from gender expectations and oppression, even though it may be at different levels. Skeeter, for example, is continuously pressed by her mother and friends to get married.[32] By undervaluing a black woman's position, the First World liberal feminist woman (in this case, Skeeter) tries to place herself in a superior and more important position.

Skeeter's patronising attitude towards the maids is also quite egocentric: firstly, because she assumes that they have participated in the book for her; and secondly, because she thinks of herself as their protector and does not see that they can take care of themselves, as they have done for their entire lives.[33] As hooks states:

> Some of these [white] women place themselves in the position of 'authorities' who must mediate communication between racist white women (naturally they see themselves as having come to terms with their racism) and angry black women whom they believe are incapable of rational discourse.[34]

In the same way, the black maids' concern about Skeeter, and the consequences that writing this book could have had for her, at times seems a little excessive: 'I wonder what Miss Skeeter would do if she was here and it kind a makes me sad. I know ain't nobody in town gone sign a book for her and tell her she

30 Mohanty 1988, p. 66.
31 *Ibid.,* p. 82.
32 Stockett, p. 56.
33 Stockett, p. 444.
34 hooks, p. 142.

brave. Ain't nobody gone tell her they look after her.'[35] This could simply be gratitude, but it could also be seen as an example of Skeeter's maternal function and her portrayal as the white saviour:

> Often the white women [...] remain patronizing and condescending when they relate to black women. This is not surprising given that frequently their discourse is aimed solely in the direction of a white audience and the focus solely on changing attitudes rather than addressing racism in a historical and political context.[36]

Skeeter behaves in a rather hypocritical way: she is allegedly writing a book to help black women, but she does not do anything in her private life to change their situation. She does not question how her behaviour towards the black people at her home might have been, except in the case of Constantine.

Furthermore, another issue that needs to be addressed is the anonymity of the book they write collectively: is it published anonymously to protect the identities of its sources, or because Skeeter does not want to speak for the black women and deprive them of their own subject position? In her aforementioned essay, we can see that Stockett is aware of the problems that speaking for black people can present.[37] This is made explicit in the novel through the character of Minny, when she states that 'it's a sorry fact that it's a white woman doing this.'[38] Consequently, one could think that the anonymity Skeeter's book has more to do with Stockett's own concern about depriving oppressed groups of their own voice: 'I was scared, a lot of the time, that I was crossing a terrible line, writing in the voice of a black person.'[39]

However, in the fictional story, it seems that the first possibility is more accurate as we know from the beginning that Skeeter wants to become a writer, and that she would have had no problem to publish something using her own name. Moreover, at the end of the novel, it is Minny who makes a somewhat controversial confession, which supports the idea of the black woman's need of white help: 'I didn't want Aibileen to know that. I don't want anybody to know how much I need those Skeeter stories.'[40] Therefore, when Skeeter speaks for these women, she oppresses them further. Once again, they do not only remain silenced, but it is 'made evident' that they would never be able to speak up for themselves. Furthermore, even though it may seem that the three women are given equal importance in this story, Skeeter is given 204 pages, whereas Aibileen and Minny have only 130 and 108 respectively.

Conclusion

The Help is a story that demonstrates that, as Audre Lorde states, 'without community there is no liberation.'[41] Racism is one more way of 'dividing and conquering'; if Skeeter wants to create unity and

35 Stockett, p. 405.
36 hooks, p. 141.
37 Stockett, p. 461.
38 *Ibid.*, p. 222.
39 *Ibid.*, p. 460.
40 *Ibid.*, p. 223.
41 Audre Lorde, *Sister Outsider: Essays and Speeches* (Berkeley, CA: Crossing Press, 2013), p. 99.

truly show that 'they are just the same', then she needs to seriously confront her racism and see that she was wrong to state that 'nothing separates [them].'[42] Nevertheless, her view of the situation changes towards the end of the novel, where she starts to understand that 'even though so many of the stories are good, celebrating the bonds of women and family, the bad stories will be the ones that catch the white people's attention.'[43]

Spivak explains that 'it is the slippage from rendering visible the mechanism to rendering vocal the individual […] that is consistently troublesome.'[44] Skeeter does make visible the mechanism, however, the black women in this story do not really have a voice of their own. Therefore, it should also be asked whether they should have said *no* to Skeeter's proposal. They were aware of both the advantages and disadvantages that the book's publication implied. They knew that it would have been very difficult to speak up on their own, yet they also knew that it was not right that they needed Skeeter's help in order to do it. One should wonder whether the end justifies the means in this case: even though they needed Skeeter to do it, it was still a personal decision. One may also question how helpful the book could be as an attempt to change the situation of racist segregation. It may not be able to initiate a big change, but *The Help* shows how its novel-within-a-novel changes the situations of various characters, such as Skeeter's view of the world and Aibileen's position in it – the latter gains strength and self-assertiveness, as the final talk with Miss Hilly demonstrates.[45]

Concerning the idea that Stockett has failed to fulfil her intentions with the novel, it is significant to consider the following quotation that she takes from Howell Raine's Pulitzer Prize-Winning article - 'Grady's Gift' - which she uses to explain the difficulty of dealing with the issues raised: 'For the dishonesty upon which a society is founded makes every emotion suspect, makes it impossible to know whether what flowed between two people was honest feeling or pity or pragmatism.'[46] In this essay, Stockett makes an effort to avoid accusations of appropriating someone else's voice, however, it is difficult for the reader not raise such concerns:

> What I am sure about is this: I don't presume to think that I know what it really felt like to be a black woman in Mississippi, especially in the 1960s. I don't think it is something any white woman on the other end of a black woman's paycheck could ever truly understand. But trying to understand is vital to our humanity.[47]

Is really the privilege of the postcolonial intellectuals also their loss, as Spivak suggests?[48] Through Skeeter in the novel's narrative, Stockett might have failed with her objective, but the fact that she has tried may be a starting point. Nevertheless, we should never forget about the importance of Edward W.

42 Stockett, p. 263.
43 *Ibid.*, p. 285.
44 Gayatri C. Spivak, 'Can the Subaltern Speak?', *Marxism and the Interpretation of Culture*, ed. by Lawrence Grossberg and Cary Nelson (Chicago: University of Illinois Press, 1988), pp. 271-313 (p. 285).
45 Stockett, p. 450.
46 Stockett, p. 460.
47 *Ibid.*, p. 461.
48 Spivak, p. 287.

Said's claim about 'the critic's institutional responsibility,'[49] as Spivak reminds us. As previously noted critics and scholars play a key role in developing the systems of representation that 'shape' our world. For this reason, they should be careful in the way they carry out this task, as the living conditions of many groups of (subaltern) people depend on or are directly affected by them, as they are talking from a privileged position of power. Stockett's failure, even though it may not have been intentional, may be a colonialist move working from an imperial feminist position. Through her attempt to make up for past personal mistakes and the history of racism in US society, Stockett ultimately oppresses the people she wants to help. This is emphasised through the conditions set out in the novel's plot: in order to leave behind their condition as subaltern subjects, the black maids must accept help from the white writer. The "white guilt" that Stockett feels and wants to be liberated from becomes, in this case, one more instance of colonisation of an oppressed group through the appropriation of their voice.

49 *Ibid.*, p. 280.

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'Islam, State and Secularism': Assessing the Perceived Conflicts between Islam and Secularism

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Introduction

The debate regarding the compatibility of Islam and secularism has become increasingly prominent in modern times. Numerous scholars[1] have stressed that within Islam there can be no distinction amongst politics and religion, alluding to the concept of an Islamic political system. This evocation elects a flawed certainty that Islam is a solitary, universal set of ideals in which there is no division between religion, politics and culture. This generates the notion of a single set of Muslim 'values' which are often diametrically opposed to Christian, Secular or Western values. The term secularism is often defined[2] as the belief that religion should not be involved in the organization of society and education, for example. It is thus due to this view that secularism has often been perceived as antithetical to Islam. This paper will attempt to assess the alleged compatibility and perceived conflict between secularism and Islam. The idea of Islam as a set political methodology will be assessed in order to establish whether Islam has a homogenous approach in attending to affairs of the state. This paper will also include an assessment of the impact of colonisation on Islamic thought so as to explore the disinclination towards secularism by Muslim thinkers. Additionally, the compatibility of secularism with Islam will be explored.

'The term "secular"[3] conveys a meaning with a marked dual connotation of *time* and *location*; the *time* referring to the "now" or "present" sense of it, and the *location* to the "world" or "worldly" sense of it.'[4] Thus, secular is 'linked to temporality or temporal matters'.[5] The spatio-temporal connotation conveyed in the concept 'secular' can be seen to clash with that of the transcendental view professed by religions such as Islam, as religion is mainly correlated to spiritual and theological affairs. According to Kolig, Enlightenment liberalism preaches human enjoyment and benefit and a quantifiable anthropocentrism quite in contrast to the Islamic sense of devotion and duty to God.[6] Therefore, it could be argued that at the very epicentres of the philosophies of 'secularism' and 'Islam' are two diametrically

1 *See* Syed Abul A'la Maududi, *Towards Understanding Islam*, (Lahore: Kazi Publications, 1977); Hassan Al-Banna, 'The New Renaissance' in *Islam in Transition: Muslim Perspectives.* 2nd Edition. ed. by J.J Donohue, and J.L. Esposito (New York: Oxford University Press, 2007) pp. 78-83; Seyyed Hossein Nasr, *Traditional Islam in the Modern World*, (London: K. Paul International, 1990).
2 Peter L. Berger, *The Sacred Canopy: Elements of a Sociological Theory of* Religion (New York: Doubleday, 1967), p. 106.
3 *Secular is derived from the latin term saeculum.*
4 Syed Muhammad Naquib Al-Attas, *Islam and Secularism* (Kuala Lumpar: Muslim Youth Movement of Malaysia, 1978), p. 16.
5 Fouad Zakariyya, *Myth and Reality in the Contemporary Islamist Movement,* trans. by Ibrahim M. Abu-Rabi (London: Pluto Press, 2005), p. 14.
6 Erich Kolig, 'To Shar'iatize or not to Shar'iatize', in *Sharia in the West*, ed. by Rex Ahdar and Nicholas Aroney (Oxford: Oxford University Press, 2010), pp. 255-278 (p. 262).

opposed notions of existence: one that espouses a humanistic liberalism in which human enjoyment and freedom are paramount, in opposition to a philosophy that promotes complete subordination to a supreme creator.

However, many of these bifurcations work with a definable concept of Islam that is far too nebulous to encompass the breadth of the Islamic tradition. It can be seen in modern day Britain, for instance, that there are various different sects/groups within Islam that claim to be representative of Islam. Therefore, when discussing the compatibility of Islam and secularism, an inexorable tension is born due to the lack of authoritative structure that has characterised the religion since its inception. This naturally leads to the development of a plethora of schools of thought, both liberal as well as conservative, attempting to appropriate the representation of religion as their own, quoting scripture 'in support of their respective positions.'[7] It could thus be argued that Islam cannot be perceived as a concrete and clearly defined religion. However, intellectuals such as Maududi have stressed that the heterogeneity in Islam does not displace its fundamental tenets, and that within those tenets an inherent incompatibility with the secular world view exists.

Syed Abul A'la Maududi, a 20th century Muslim thinker from India, believed Islam to be a religion inherently linked with the organisation of society. Within his work, *Capitalism, Socialism and Islam*[8] he stresses that Islam is an alternative to the ideological systems of capitalism and socialism and cannot simply subsist within them. Religion, in the view of Maududi, is not limited to the private sphere; it is inexorably linked with the public sphere and is a complete religion which has the solution for all erroneous societies. From Maududi's works, it can be deduced that he did not perceive any distinction between Islam and politics. In light of this, one could argue that Islam and secularism are incompatible. In the Enlightenment period, the church was separated from the state, and thus religion was arguably limited to the private sphere, playing little part in politics, which is a characteristic that ostensibly typifies secularism. However, a reluctance to accept Maududi's somewhat myopic definitions would not be unwarranted.

Firstly, a distinction must be made between the *historical* and the *theological.* The concept that religion and politics cannot be separated was perhaps more of a historical reality than a theological necessity in Islam. The normative Islamic political methodology espoused by what might be described as mainstream Islam[9] is that of the '*Khilafat-e-Rashidah'* (the rightly guided period of the Islamic State).[10] In the nascent period of Islam, particularly in the era of the four *Caliphs* (political leaders of the Islamic State) succeeding the Prophet Muhammad, the 'state was very closely identified with the religion of Islam',[11] as society required regulations to deal with the developing circumstances in that epoch. It was assumed by early scholars that if religion was separated from politics, the rulers would neglect the fundamental views

7 Asghar Ali Engineer, 'Islam and Secularism', in *Islam in Transition: Muslim Perspectives,* ed. by John J. Donohue and John L. Esposito, 2nd edn (New York: Oxford University Press, 1992), pp. 136-142 (p. 136).
8 See Syed Abul A'la Maududi, *Capitalism, Socialism and Islam* (Kuwait: Islamic Book Publishers, 1995).
9 *This is representative of the Sunnite theological schools, the Shi'ite schools differ on this point.*
10 Engineer, p. 137.
11 Ibid.

of Islam and behave in a manner which would only satisfy their greed for power.[12] Also 'the religion of the ruler determined the state of the ruled'[13] in medieval times, thus the amalgamation of Islam and politics was a necessary reality.

However, An-Na'im, in *Islam and the Secular State*,[14] argues that the Qur'an never mentions the idea of a state and does not prescribe a particular form of government. Moreover, during all his life 'the Prophet made no allusion to anything which could be called an "Islamic State" or an "Arab state"[15] as he never intended 'to found a political state.'[16] Tibi states, 'historical circumstances imposed on the Prophet the need to act politically',[17] which shows that the circumstances in which Muhammad did take political actions were due to its contextual necessity, so the unity of religion and politics is not 'a constitutive part of Islamic beliefs.'[18] Therefore, the unity of religion and state which is viewed as a cardinal principle in modern times by mainstream dogma, is arguably false. For example, Abd al-Raziq states,

> [The] title of "Caliph of the Prophet of God" given to Abu-Bakr was one of the sources of the error which spread among the mass of Muslims, leading them to believe that the institution of the caliphate was a religious dignity and that he who was charged with the directions of Muslims' affairs held the place occupied by the Prophet.[19]

Consequently, since the earliest period of Islam the opinion has been propagated that the institution of the caliphate is a religious office occupied by a successor to the Prophet, hence it is the legislator of the law. The notion of the caliphate permeated mainstream theology. An example of this can be seen in the '*Tahawi creed*'[20] which is generally considered as representative of Sunni Islam, in which it is argued that it is necessary to follow a caliphate.[21] The major influence politics played in the development of theology in medieval times can clearly be seen through this. It is evident that religion was used as a bulwark to protect future caliphs. From this, it can be argued that the perfect Islamic state that is advocated by pan-Islamism is in fact simply a hypothesis that has never been instantiated or realized.

The perception of a purely Islamic state is hence perhaps best understood as a theoretical construct which has been retrojected romantically by modern scholars. In light of this, it can be argued that Muslim societies are not fundamentally different from Western societies with regard to the

12 Ibid, p. 138.
13 Ibid, p. 140.
14 Abdullahi Ahmed An-Na'im, *Islam and the Secular State: Negotiating the Future of Shari'a* (Harvard University Press: United States of America, 2008).
15 Ali Abd al-Raziq, 'The Caliphate and the Bases of Power,' in *Islam in Transition*, ed. by John J. Donohue and John L. Esposito, pp. 24-31 (p. 29).
16 Ali Abd al-Raziq, 'Message Not Government, Religion Not State,' in *Liberal Islam: A Sourcebook*, ed. by Charles Kurzman (Oxford: Oxford University Press, 1998), pp.29-36 (p. 36).
17 Bassam Tibi, *The Challenge of Fundamentalism: Political Islam and the New World Disorder* (Berkeley CA: University of California Press, 1998), p. 166.
18 Ibid, p. 166.
19 Abd al-Raziq, 'The Caliphate and the Bases of Power,' p. 30.
20 Iqbal Ahmad Azami, (n.d) *Aqidah Tahawiyya,* [online] Masud.co.uk, <http://www.masud.co.uk/ISLAM/misc/tahawi.htm.> [accessed 18 November, 2013].
21 Imam Abu Ja'far Al-Tahawi states, *"We do not recognize rebellion against our Imam or those in charge of our affairs even if they are unjust, nor do we wish evil on them, nor do we withdraw from following them. We hold that obedience to them is part of obedience to Allah, The Glorified, and therefore obligatory as long as they do not order to commit sins. We pray for their right guidance and pardon from their wrongs."*

relationship between religion and state. In Western societies, the clergy delineated the boundaries of belief within society prior to the Enlightenment (and continued to do so post-Enlightenment); similarly, the caliphs propagated the same ideals by controlling knowledge, religious institutions and what was considered correct belief. Therefore, while there is no authoritative declaration on a set methodological framework in regards to the notion of state construction within Islam, there exist theoretical frameworks regarding the Islamic state that retroject onto early Islam. As a result, Islam does not have a set methodology in regards to dealing with politics and thus could be argued to be compatible with secularism.

Scholars such as Mernissi have argued that Islam would 'not only survive but thrive in a secular state.'[22] An example of her thesis can be seen in the UK, where Islam is the fastest growing religion.[23] Therefore, one can envisage the compatibility of Islam with secularism as the UK 'is often thought of as one of the more secular countries in Western Europe'.[24] Nonetheless, the 'condemnation of secularism'[25] by Muslims still remains and cannot be denied even though facts prove both to be harmonious. From Maududi's writing, *Capitalism, Socialism and Islam*,[26] it can be seen that after the colonisation of Islamic countries, there has been a reluctance to inherit ideas from the West. This can also be inferred through Al-Attas who argues from a similar perspective to the political Islamic movements. Al-Attas argues that the issues in Muslim countries who are trying to acknowledge secularism are 'caused due to the introduction of western ways of thinking and judging and believing emulated by some Muslim scholars and intellectuals who have been unduly influenced by the West and overawed by its scientific and technological achievements.'[27] Thus, the apprehension of Muslims towards secularism is arguably a political issue rather than a theological issue.

Due to the colonisation of the 'Muslim world' by 'Western' countries, many Muslims were reticent towards their colonisers and the ideological hegemony purported during this period. While modern changes were intrinsic to Western historical development, they were largely seen by Muslims as alien and enforced. Consequently, even though 'modern systems, institutions and instruments were welcomed' by most Muslim countries, Farouki argues 'it did not escape the Muslim collective consciousness that these were articulated in foreign languages, and were premised on foreign values.'[28] It can be seen that there was an immense anxiety concerning identity politics during the colonial and post-colonial period. Hence, 'much modern Muslim thought, in a reaction to the actual or perceived threat of cultural marginalisation or annihilation, has increasingly become *self-consciously* "Islamic."'[29] This may be why the enforcement and return to an 'Islamic state' and also the Shar'iah law is endorsed. As a result,

22 Fatima Mernissi, *Islam and Democracy: Fear of the Modern World*, trans. by Mary Jo Lakeland, 2nd Edn. (Cambridge: Perseus Publishing, 2002), p. 65.
23 Patrick Goodenough, "British Census: Islam Fastest-Growing Faith in England; Christians Drop to 59% of Population", in *cnsnews.com*, December 12 2012, <http://cnsnews.com/news/article/british-census-islam-fastest-growing-faith-england-christians-drop-59-population>, [accessed November 25, 2013].
24 Graeme Smith, *A Short History of Secularism* (London: I.B Tauris, 2008), p. 1.
25 Tamara Sonn, 'Secularism and National Stability in Islam', *Arab Studies Quarterly,* 9 (1987), pp. 284-305 (p. 284).
26 See Syed Abul A'la Maududi, *Capitalism, Socialism and Islam* (Kuwait: Islamic Book Publishers, 1995).
27 Al-Attas, p. 15.
28 Suha Taji-Farouki and Basheer M. Nafi, *Islamic Thought in the Twentieth Century* (London: IB Tauris, 2004), p. 2.
29 Ibid, p. 4.

the conventional wisdom that assumed the centrality of secularism in a modern state, and viewed religion as only a private affair, has been challenged in much of the Muslim world. The resurgence of Islam in Muslim politics and society has in fact signalled a retreat from the secular path. It should be noted, however, that this is not a specifically Islamic phenomenon. With the rise of the BJP in India, and the recent resurgence of Evangelical Christianity and its links with the Republican Party in the US, the rise of religion in politics appears to be a global trend.

The debate regarding the compatibility of Islam and secularism has been raging for many decades; however, it can be clearly seen that conversations pertaining to religion are not conducted in isolation of political realities. There is a huge reluctance to engage with secularism on the part of Muslim intelligentsia, but also the Muslim masses, due to the notion that secularism is fundamentally foreign, Western, antithetical to Islam and therefore dangerous. Also, due to the fact that there is no central authority within Islam, it is difficult to define whether Islam is truly incompatible with secularism. There are Muslim majority countries, such as Turkey, that are arguably secular, whilst other Muslim countries, such as Pakistan, are arguably quasi-secular and claim to uphold a religiously ethical philosophy. Therefore, it can be surmised that Islam is not intrinsically incompatible with a secular world-view, if secularism is to be defined as the separation of church and state. However, it could equally be argued that secularism cannot simply be defined as such, as there are variants of the system that are aggressively anti-religious. For example, it is defined by Yinger as 'a view of life based on the premise that religion and religious considerations, as of God and a future life, should be ignored or excluded.'[30] Therefore, there are certain strands of the system that are antithetical towards religion as a whole, including Islam.

For example, the secularism seen within Turkey differs hugely from the secularism seen in the UK. This can be seen in the case of the *Hijab* (Headscarf). In 1982, Turkey implemented a ban on 'headscarves worn for religious purposes in all universities, both public and private, as well as in government offices.'[31] Banning the veil in Turkey was seen as a 'necessary and reasonable response to the threat allegedly posed by fundamentalist Islam to Turkey's secular democracy'.[32] Similarly to Turkey, France has also banned the *Niqab* (Face-covering) in French public spaces and *Hijab* (Head-covering) in French schools in recent times.[33] Neither of these actions have been taken in the UK, emphasizing the difference in approaches between secular nations. The Turkish and French models of secularism could perhaps be described as more hostile towards religion in general, making the issue of compatibility more difficult, whereas the model found in the UK is arguably more tolerant of religious freedom, as, for example, in the UK, there are 26 bishops in the House of Lords.[34]

Therefore, as shown previously, there is a difficulty when attempting to properly identify and define the terms being compared. When speaking about 'Islam', many differing and often contradictory

30 J. Milton Yinger, 'Pluralism, Religion, and Secularism,' *Journal for the Scientific Study of Religion,* 6 (1967), pp. 17-28 (p. 19).
31 Valorie K. Vojdik, 'Politics of the Headscarf in Turkey: Masculinities, Feminism, and the Construction of Collective Identities', *Harvard Journal of Law and Gender,* 33 (2010), pp. 661-685 (p. 661).
32 Ibid, p. 662.
33 For further information regarding this topic, see: Joan Wallach Scott, *The Politics of the Veil* (Princeton: Princeton University Press, 2007).
34 Anthony Wilfred Bradley, *Constitutional and Administrative Law*, 15th edn (Harlow: Longman, 2011), p. 182.

notions are presented. Similarly, when addressing 'secularism', there are differing conceptions and manifestations of the idea. Thus, depending on one's definition of the term secularism, secularism may be viewed as compatible with religion or as an antithesis to religion. Therefore, the question of the compatibility of Islam and secularism should not simply be limited to the assessment of Islam as a religion but also secularism as a political ideology.

In conclusion, the main aim of this paper was to assess the various attitudes regarding the compatibility of Islam and secularism. It can be seen that this issue is multifaceted and complex. Ultimately, the answer to this question lies in the process of defining terms. There certainly exist perceptions of Islam and notions of secularism that are incompatible, but this paper has sought to show that there are conceptualisations of the two that are compatible. As Watt lucidly states,

> 'In Islam […] there [is] no such authority [as "orthodoxy"]. There [is] only the main or central body of opinion in the various schools or sections of the community.'[35]

As there is no authoritative ecclesiastic body within Islam legislating what is correct, there exist many opinions ultimately validated by Muslim communities. Thus, it can be argued that Islam is compatible with a variety of concepts. This can be detected from the likes of Mahmoud Taha, who argued in *The Second Message of Islam*[36] that Islam is compatible with communism. Due to the diversity of opinions within Islam, intellectuals such as Al-Attas and Maududi have argued the incompatibility of Islam and secularism, whereas others such as Asghar Ali Engineer and Fatima Mernissi have claimed that they are compatible.

The issue of colonisation and the enforcement of ideas in Muslim countries by the West have arguably played a major role in exacerbating this issue. The doctrine that religion and politics cannot be separated is a later historical construct and therefore the reluctance regarding secularism is influenced by political realities more so than theology and belief. It could therefore be attested that there is no absolute contradiction within the entirety of Islamic thought in regards to the separation of the church and state. Overall, facts tend to refute the claim regarding the complete incompatibility of Islam and secularism and thus it can be concluded that Islam and secularism are compatible, so long as secularism is not conceptualised as an ideology that seeks to suppress faith, and Islam is not defined as a political system.

35 William Montgomery Watt, *Islamic Philosophy and Theology*, (Edinburgh: Edinburgh University Press, 1962), p. 27.
36 See Mahmoud Mohamed Taha, *The Second Message of Islam*, trans. by Abdullahi Ahmed An- Na'im (New York: Syracuse University Press, 1987).

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