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The philosopher masked as literary theorist: 'cunning intelligence' (*metis*) instantiated in
Bakhtin's rhetorical style

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Abstract

This dissertation discusses and analyses Mikhail Mikhailovich Bakhtin's conscious strategy of self-fashioning and reinvention, which is realised in his life and supported by the theoretical constructs contained in his *Collected Works*. It addresses the ambiguities and uncertainties in Bakhtin's life and work and uses two aspects of his philosophical approach and constructs to explicate these inconsistencies: his theory of identity and his theory of language.

The analytical tools used to arrive at this conclusion include the notion of *reflexivity* (using Bakhtin's own theoretical constructs to analyse incidents in his life, and in turn, using those incidents to illustrate the concepts he developed). Theoretical support for Bakhtin's self-fashioning is provided by Fitzpatrick's theory of *reinvention through impersonation and imposture* in Revolutionary Russia. Bakhtin's *theory of identity* (expressed in his Nietzsche-influenced concept of the *mask* and its associated concept of *travesty*) supports this reinvention. Bakhtin's notion of *double-voicedness*, supported by his linguistic theories of *interdiscursivity*, *heteroglossia* and the *utterance* reinforce these two lines of thought. Bakhtin's two figures of speech: the word with a 'backward glance' «слово с оглядкой» and the word with a 'loophole' «слово с лазейкой» encapsulate this convergence of theory and life. These two constructs are brought into sharp relief when illuminated by Wittgenstein's theory of *language-games*, Austin's concept of *performativity* and Benveniste's formulation of *deixis*.

The overarching metaphor for this dissertation is the Classical Greek concept of *metis*, or ‘cunning intelligence’, a concept that is instantiated in the way in which Bakhtin framed the narrative of his life and the manner in which he performed his work. The dissertation concludes that Bakhtin evolved a multi-threaded philosophy which was self-consistent in the way in which it addressed the creation of identity, the expression of language and the performance of life and work through the metaphor of *metis*.

FULLER ABSTRACT

This dissertation discusses and analyses Mikhail Mikhailovich Bakhtin's conscious strategy of self-fashioning and reinvention, which is realised in his life and supported by the theoretical constructs contained in his *Collected Works*. In doing so, it addresses the ambiguities and uncertainties in Bakhtin's life and work and uses two aspects of his philosophical approach and constructs to explicate these inconsistencies: his theory of identity and his theory of language. Bakhtin's philosophical constructs and the emplotment of his life are interpreted using an overarching metaphor of the Classical Greek concept of *metis*, or 'cunning intelligence' with its implications of dissimulation, concealment, and misdirection.

Chapter One ('Myth and flux — identity through Bakhtin's lived experience') shows how Bakhtin's conscious strategy of self-fashioning and reinvention (which is apparent throughout his working life in his texts and philosophical constructs) is initiated, and continues to be influenced, by his lived experience in XXth century Soviet Russia. This chapter is not an exhaustive examination of Bakhtin's life, rather it emphasises areas of his biography that contain anomalies and inconsistencies for the purpose of subsequent examination of his theories of identity and language. One of the fundamental premises of this dissertation is that, in order to achieve a viable interpretation of Bakhtin's work and its contribution to twentieth-century thought, one of the best methods of approach is to look at his actual performance — in both life and text — rather than what Bakhtin says he does and says. Both texts and life require the sifting and explication of a

seemingly endless stream of comment, anecdote, and mythmaking. This stream was initially precipitated by Bakhtin, and subsequently he willingly encouraged and contributed to it.

Chapter One examines the uncertainties and ambiguities arising from the problematic nature of a number of key aspects of Bakhtin's biographical details. Using a structure based on biographical treatments in English, complemented by interviews with Bakhtin and his contemporaries, this involves the close examination of various facets of his life where problematic incidents and issues occur. From the biographical treatments and the interviews, supplemented by other material, one can derive an understanding of the uncertainty that characterises important aspects of Bakhtin's life. This understanding of the inconsistencies in Bakhtin's life is complicated not only by the fact that its fabric is a mesh of both doubt and certitude, but also by the tendency of contemporaries to treat his life and work in hagiographical or ideologically driven ways, thus making the separation of biography and myth particularly problematic.

The influences on Bakhtin's life and modes of thought are woven into the pattern of his biographical narrative. While some influences are barely detectable, there are others that are both prominent and relevant to the concerns of this dissertation. These include family (his brother Nikolai), friends (Lev Pumpyanskii), Russian thinkers (Faddei Zelinskii), movements (Russian Symbolism), and authors from whom he borrowed heavily (Ernst Cassirer). And given that Bakhtin's life and work is rooted in an absorption with the Classics, his relationship with Nietzsche is also similarly situated and the thematic outcomes of this relationship are central to Bakhtin's theory of identity discussed in Chapter Two. Evidence for these outcomes is provided in references

throughout the *Collected Works* to both Dionysus and the Greek tragedians who portrayed that deity, with a level of reference to Nietzsche judiciously managed by Bakhtin so as to be close to the level that was allowed by Soviet dogma. It appears that the most important classical influence on Bakhtin transmitted through Nietzsche was that of the notion of the mask. This was a notion that Bakhtin transformed into an all-purpose metaphor (in much the same way as he used Menippean satire as an all-purpose analytical tool), applying it not only to Vinogradov's «образ автора», but also to the three roles of «плут, шут и дурак» and in the context of metamorphosis.

Many important elements of Bakhtin's behavioural strategies were grounded in Classical culture seen through the perspective of a Nietzschean reinterpretation. The Nietzschean Classicism that pervades his work explains many important features of Bakhtin's intellectual style, thus constituting one of the rare pieces of 'solid ground' outside his texts. If one accepts this emphasis on the Classics, then his philosophies of identity (Chapter Two) and language (Chapter Three) make a coherent whole when viewed in the light of the way in which he lived his life, expressing himself within the fierce constraints that were placed on him.

Chapter Two ('Bakhtin's theory of identity: from «я-для-другого» to «травестия») aims to show how Bakhtin's conscious strategy of reinvention and self-fashioning — so evident in the ways in which Bakhtin manipulated significant parts of his life narrative — is supported by his multi-layered and continually evolving theory of identity. This theory of identity is developed by Bakhtin in a staged, but non-linear, fashion. The first stage of Bakhtin's thought is devoted to the notions of 'Self' and 'Other'. It examines the interrelationship between these two concepts and

how they mutually define each other. Consideration of these Self-Other notions draws the reader's attention to another process that is running in parallel. This is the growth in the frequency of another pair of terms that Bakhtin uses to describe identity: the 'kernel' «ядро» and the 'shell' «оболочка». But the frequency of the above-mentioned sets of terms is dwarfed by that of the term «маска», particularly when this form of disguise is supplemented by the usage of «травестия».

My semantic analysis grounds Bakhtin's theory of identity in the triad of modalities associated with 'Self' and 'Other' that Bakhtin developed in some of his earliest work: «я-для-себя», «я-для-другого», and «другой-для-меня». This enables a detailed examination of the dichotomy of «оболочка» and «ядро» based on these modalities. The word «оболочка» is gradually superseded, even if not entirely replaced, by the term «маска» at significant points within his *Collected Works*. As a consequence, a similar examination of the 'shell's' companion and successor terms «маска» and «травестия» is conducted. The interrelationship between the terms «оболочка», «маска» and «травестия», and the set of three modalities referred to above is graphically represented in Appendix A.

In order to complement the treatment of ambiguities in Bakhtin's life narrative contained in Chapter One and the semantic analysis of his theory of identity which culminated in the metaphor of the 'mask' (and its associated term, 'travesty') in Chapter Two, it is necessary to examine Bakhtin's theory of language, focusing on the sphere of interdiscursivity. This examination occurs in Chapter Three ('Bakhtin's view of the interplay between identity and language'), which extends

the frameworks in the previous chapters to include Bakhtin's theory of language, where identity is realized in speech and text. In it, I examine a number of aspects of the pragmatics of Bakhtin's work.

The mosaic that might be characterized as 'Bakhtin's theory of language' does not constitute a systematized domain — the terrain of linguistics is unevenly mapped by his work. Nonetheless, from the perspective of this dissertation, this domain contains two of Bakhtin's most innovative coinings, the figures of speech «слово с оглядкой» and «слово с лазейкой». The 'word with a backward glance' and 'word with a loophole' encapsulate not only Bakhtin's approach to the emplotment of his life story, but also his theory of identity as embodied in the 'mask' and its associated term 'travesty'.

The cartography of Bakhtin's work on language requires the exploration of contiguous areas of Bakhtin's writings in this discipline, including an examination of parody prior to a detailed analysis of «слово с оглядкой» and «слово с лазейкой». Parody is Bakhtin's fundamental meta-trope, closely linked later in his career with travesty. His focus on parody is located in works where his notion of carnival was crystallised in those parodic rituals performed in the Middle Ages. Both 'word with a backward glance' and 'word with a loophole' are inherently parodic in style, even when not intentionally so. In fact, it is this liminal quality, on the border of intentional and unconscious use, that makes Bakhtin's formulation of these two figures of speech so arresting.

From the perspective of this dissertation, these figures of speech form the apogee of Bakhtin's writings on interdiscursivity in that *they give linguistic form to his strategy of cunning intelligence or metis*. The double-voiced nature of both «слово с оглядкой» and «слово с лазейкой» are analysed in detail in Chapter Three. These two tropes, while quite distinct, are intimately connected and often seen in tandem. What distinguishes them is their emphasis: the 'word with a backward glance' is essentially retrospective, emphasising that aspect of the utterance that looks back, whereas the 'word with a loophole' emphasises the anticipatory aspect of the utterance, which looks forward to objections. The mechanics of these figures of speech are complex and both explain (and are explained by) the way in which Bakhtin emplots his life and evolves his theory of identity. The 'word with a backward glance' can be best exemplified by Bakhtin's creation of his academic *curriculum vitae*, and the 'word with a loophole' by his deliberate obfuscation and misdirection with regard to the 'disputed texts'.

It is also necessary to examine the theoretical landscape into which Bakhtin sets and positions these two figures of speech. «Слово с оглядкой» and «слово с лазейкой» reflect the generic qualities of heteroglossia (most particularly those of double-voicedness and polemical ideology). But they are also closely connected with parody and its dependents: satire (Bakhtin's analysis of specific works is discussed) and dissimulation (the mechanics of its performance is discussed). Irony, although a necessary corollary of parody, has never been prominent in Bakhtin's analyses. However, Appendix B covering an 'Excursus on irony' forms part of this thesis because the Nietzschean undertones of irony constitute an understated, yet clear, link between the two

thinkers. However, tracing the influence of Nietzsche on Bakhtin in this area at a granular level is extremely difficult, because the influence of the former on Russian thought was so pervasive and well-assimilated. The most significant component of double-voicedness from the point of view of this argument is that of imposture, because of its resonance with Bakhtin's theory of identity as extended through the concepts of 'kernel' and 'shell'. This is the context of Bakhtin's analysis of the function of the Rogue. Framing that theoretical landscape in which 'word with a backward glance' and 'word with a loophole' are positioned is Bakhtin's theorisation of the utterance, the mechanics and dynamics of which provide a supporting infrastructure to both heteroglossia and those two interdiscursive figures of speech.

But Bakhtin's theory of language, detailed as it is, is not exhaustive and other theoretical tools are required to understand the operations of «слово с оглядкой» and «слово с лазейкой» fully. These tools are discussed at length in Chapter Four ('Bakhtin, identity and linguistic theory of XXth century'). Texts from Wittgenstein, Benveniste and Austin have been employed in order to structure and explicate some foundational concepts — language games, deixis and performativity — that can serve as bases for Bakhtin's work in the areas of the utterance, heteroglossia and interdiscursivity. These are areas that Bakhtin either merely touched on or had never considered; areas contiguous to his concerns, rather than influences. Benveniste post-dates Bakhtin and Austin was likewise in no position to influence Bakhtin. The connection with Wittgenstein seems stronger but more problematic, the only bridge between the two appearing to be Bakhtin's older brother Nikolai. But some of these tools are hinted at in Bakhtin's work. For instance, there is

obviously a close link between Wittgenstein's *Sprachspiele* and Bakhtin's игра, especially in the carnivalisation of language in parody. Wittgenstein also stresses that this 'language-game' indicates that the *speaking* of language is part of a 'form of life'. In addition, there is a clear link between Wittgenstein's description of *Sprachspiele* and heteroglossia.

Wittgenstein supports his concept of 'language-games' by his notion of 'family resemblance', which can also be widely applied to Bakhtin's mode of thought. These resemblances have the characteristic of being instance-based rather than rule-based; shown rather than described. Bakhtin's philosophy and literary theory is firmly based on metaphor, and metaphor itself is supported by the notion of 'family resemblance'. It also constitutes a manifestation of the anti-systematic approach in Bakhtin and the later Wittgenstein. This pair of concepts provides a loosely-structured environment within which other concepts can be discussed subsequently.

Austin's concept of performativity was neither explicitly analysed by Bakhtin *per se*, nor specifically incorporated into his theoretical apparatus. But Bakhtin definitely employed the concept in his work — the manifold nature of performativity is clearly illustrated in Bakhtin's construct of heteroglossia. In this respect, heteroglossia presents itself as a phenomenon that has implicit links to the mask by way of the concept of a reified language where the author acts as ventriloquist. This concept often manifests itself in the double-voicedness of parody, irony, satire, and imposture. In fact, performativity is a necessary condition for «слово с оглядкой» and «слово с лазейкой», both of which depend on the performative aspects of language.

And finally the concept of deixis — again, never explicitly incorporated into the apparatus associated with Bakhtin’s theory of language — requires exploration because it is a concept which firmly links identity with language. By bridging this theoretical gap, it also underpins performativity. Bakhtin’s concept of identity (analysed in detail in Chapter Two) is intimately connected with (and complemented by) deixis. Deixis provides a referential framework that links identity to language. Language, about which Bakhtin wrote so compellingly, is both descriptive and performative. And identity constitutes a precondition for performativity in that a theoretical basis for the Self/Other dyad has to be established before the addresser-addressee communication can be analysed in full. The availability of deictic conventions (functioning as linguistic reference points) also serves as a precondition for this form of communication. Performativity also introduces the element of agency into this referential framework. But, rather than *analysing* language’s performative aspect, Bakhtin used it to further his own rhetorical ends. Thus, three aspects of language — linguistic reference, identity and performativity — underwrite the utterance within the framework of language games. The image most evoked by Bakhtin’s description of the utterance is that of the chain.

In these chapters three perspectives which bear upon the topic of this dissertation and its research question are examined. All three viewpoints — problematic issues within the narrative of Bakhtin’s life story as he wished it to be perceived, his philosophy of identity as it evolved in a complex and discontinuous mode; and his theory of language which was exemplified in many of the utterances he himself made — all contribute to supporting the thesis of this dissertation: that

Bakhtin consciously employed a rhetorical strategy based on dissimulation, concealment, and misdirection in order to protect his life and enhance the longevity, indeed survival, of his work. This strategy is encapsulated in the metaphor of *metis* or ‘cunning intelligence’.

The conclusion to the dissertation provides evidence of strong links between *metis*-related terms and many aspects of Bakhtin’s life and work. A rhetorical strategy that was implicitly based on *metis* was also justified tactically in that it kept Bakhtin alive and eventually resulted in the rehabilitation of his reputation. But, by consciously managing the perceptions of his academic contemporaries (and through them, his scholarly successors), this strategy extended far beyond his lifetime and left a legacy of complex textual and biographical issues for subsequent scholars to unravel.

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CONVENTIONS AND ABBREVIATIONS USED IN TEXT AND FOOTNOTES

Conventions used in text and footnotes

The texts of this dissertation has been set in 12pt Gentium Plus in order to ease readability in the three character sets used: Roman, Cyrillic and Classical Greek. Advice from the University of the Arts, London College of Communication campus at Elephant and Castle indicated that this was the best font to accommodate these three character sets on the one character plane.

Quotations in Russian have been rendered in the Cyrillic original rather than transliterated. When in the Cyrillic original, quotations have been enclosed in «кавычки».¹ Quotes within quotes have been enclosed by *Double Low-9 quotation marks* (,) and *Double High Reversed-9 quotation marks* (“).² In general, Russian transliteration has been confined to proper nouns, using the convention of an *apostrophe*³ for a «мягкий знак» (for example Nevel'), rather than a *right single quotation mark* ('),⁴ to ensure clarity.

I have followed the convention of differentiating between translations that I have made (enclosed by single quotation marks) and translations by others (enclosed in double quotes).

All pieces from Bakhtin's *Collected Works* are initially named and cited in the body of the text in their full form, and subsequently in contracted form (both in the body matter and in the

¹ Hexadecimal character values 00AB (left-pointing) and 00BB (right-pointing).

² Hexadecimal character values 201E (low) and 201F (high).

³ Hexadecimal character value 0027.

⁴ Hexadecimal character value 2019.

footnotes) unless clarity dictates otherwise. All pieces from translations of Bakhtin's works have been similarly treated. For these contractions, see the table immediately below.

All Wittgenstein references take the form of a short abbreviation for the work (see the table immediately below) followed by a section or page number (superscript ^e denotes the English translation in a bilingual text with facing pages).

I have followed the Russian convention of differentiation between 'dissertation' (диссертация) and 'thesis' (тезис), using the former in the sense of "A spoken or written discourse upon or treatment of a subject, in which it is discussed at length; a treatise, sermon, or the like ... spec. An extended scholarly essay, usu. based upon original research, submitted for a degree or other academic qualification";⁵ and the latter in the sense of "A proposition laid down or stated, esp. as a theme to be discussed and proved, or to be maintained against attack ... a statement, assertion, tenet".⁶

⁵ *OED online*, retrieved 18-Jun-2016.

⁶ *OED online*, retrieved 16-Jun-2016.

Abbreviations or contractions used in text and footnotes

Contraction	Full title of Bakhtin's work in «Собрание сочинений»	Vol.	Date
КФП	<i>К философии поступка</i>	1	1919
АиГ	<i>Автор и герой в эстетической деятельности</i>	1	1924-1925
КВМЭ	<i>К вопросам методологии эстетики словесного творчества</i>	1	1924-1925
ЛекММБ	<i>Лекции и выступления М. М. Бахтина 1924-1925 гг. в записях Л. В. Пумпянского</i>	1	1924-1925
ЗЛИРЛ	<i>Записи лекций по истории русской литературы</i>	2	1922 - 1927
ПТД	<i>Проблемы творчества Достоевского</i>	2	1929
Т-Д	<i>Толстой - драматург</i>	2	1929
ТкД	<i>Толстой как драматург</i>	2	1929
ИрТ	<i>Идеологический роман Л. Н. Толстого</i>	2	1929
СвР	<i>Слово в романе</i>	3	1934 - 1936
Фвхр	<i>Формы времени и хронотопа в романе</i>	3	1937-1938, 1973
КРв	<i>К «роману воспитания»</i>	3	1938
КВТР	<i>К вопросам теории романа</i>	3	1940
ИПРС	<i>Из предьистории романного слова</i>	3	1940 - 1941
РкЛЖ	<i>Роман как литературный жанр</i>	3	1940 - 1941
Письмо	<i>Два письма М.М. Б. И.И. Канаеву. Письмо от 11/X 62.</i>	3	1962
ФРИР	<i>Франсуа Рабле в истории реализма</i>	4-1	1940
ТФР	<i>Творчество Франсуа Рабле и народная культура средневековья и Ренессанса</i>	4-2	1965
ИКР:К	<i>Из конспектов к «Рабле»: Кассирер</i>	5	Prior to 1940
Сат	<i>Сатира</i>	5	1940
КФОГН	<i>К философским основам гуманитарных наук</i>	5	1940 - 1943
МенСат	<i>Мениппова сатира и ее значение в истории романа</i>	5	1944
ПРЖ	<i>Проблема речевых жанров</i>	5	1953
ПТ	<i>Проблема текста</i>	5	1959 - 1960
Зам1961	<i>1961 г. — Заметки</i>	5	1961
Указ2	<i>Указатель содержания — тетрадь 2</i>	5	1961
ППД	<i>Проблемы поэтики Достоевского</i>	6	1963
РЗ:60-70	<i>Рабочие записи 60-х - начала 70-х годов — Тетрадь 1, Тетрадь 2</i>	6	1960s - 1970s

Contraction	Full title of Vinogradov's work in the original	Date
ОЯХЛ	<i>О языке художественной литературы [В. В. Виноградов]</i>	

Contraction	Full title of Bakhtin's work in translation	Date
PDP1	<i>Problems of Dostoevsky's Poetics (Rotsel)</i>	1973
Dialogic	<i>The Dialogic Imagination</i>	1981
Rabelais	<i>Rabelais and his world</i>	1984
PDP2	<i>Problems of Dostoevsky's Poetics (Emerson)</i>	1984
Speech	<i>Speech Genres and other late essays</i>	1986
Tolstoy	<i>Bakhtin's prefaces to Tolstoy</i>	1989
Answerability	<i>Art and Answerability</i>	1990
PhilAct	<i>Towards a philosophy of the act</i>	1993

Contraction	Full title of Wittgenstein's work in translation	Date
L&C	<i>Lectures & conversations on aesthetics, psychology and religious belief</i>	1966
B&B	<i>Preliminary studies for the "Philosophical Investigations" generally known as the Blue and Brown books</i>	1969
C&V	<i>Culture and value [Vermischte Bemerkungen]</i>	1984
OC	<i>On certainty [Über Gewissheit]</i>	1989
PG	<i>Philosophical Grammar</i>	1990
PI	<i>Philosophical Investigations [Philosophische Untersuchungen]</i>	2009

INTRODUCTION

Research topic and its importance

The research topic addressed in this dissertation is Mikhail Mikhailovich Bakhtin's conscious strategy of self-fashioning and reinvention, which is realised in his life and supported by the theoretical constructs contained in his *Collected Works*. This strategy manifests itself most conspicuously at certain points in his life story, and in the cunning intelligence with which he encouraged particular interpretations of the official record of his «биография» and the informal narrative of his life. The effects of this encouragement can also be seen in the reminiscences of his contemporaries and in subsequent evaluations of his life and work by his successors. Bakhtin's strategies of self-fashioning found intellectual foundation in his understanding of identity and his theory of language.

By entitling this dissertation '*The philosopher masked as literary theorist: cunning intelligence instantiated in Bakhtin's rhetorical style*', I acknowledge firstly, that Bakhtin was fundamentally a philosopher and secondly, that a significant part of his philosophical oeuvre was expressed in literary theoretical terms. Thirdly, I assert that the mask plays an important role in a number of areas of Bakhtin's life and work and, fourthly, that this metaphor exemplifies his use of 'cunning

intelligence' (the Classical Greek concept of *μητις* or *metis*)⁷ in his written and performative rhetorical style.

The core thesis of this dissertation is that Bakhtin intentionally used a strategy of self-fashioning to reinvent aspects of his life so as to align it with the socio-political environment in which he lived. This alignment was a lifelong task, requiring progressive adjustments. As Chapter One will show, this re-employment of Bakhtin's life manifested itself firstly in the documentary presentation of his *curriculum vitae* in the public record, and secondly in the manner in which he personally presented his biographical details to his contemporaries. It is demonstrably clear from the details of this biographical refashioning that this was a conscious strategy designed to enhance Bakhtin's chances of survival in an increasingly threatening world. Not only was it intentional, but it was also consistent, persisting into the last years of his life, even after these threats had receded. This is evidenced by his 1961 letter to Kozhinov regarding the 'disputed texts' (which, rather than clarifying the issue, immerses it deeper in ambiguity),⁸ and his 1973 interviews with Duvakin (which illustrate both the persistence of the mythopoeia and its collegiate nature).⁹

⁷ Detienne & Vernant 2011 [1974]; 1978. The notion of *metis* is discussed below in the section of the Introduction devoted to its use as an interpretative framework. Its relevance to identity is associated with the protean and transformative nature of Bakhtin's approach to this topic. Examples of Classical Greek descriptors that relate to *metis* qualities have been transliterated and italicised in the text and, where necessary, accompanied in the footnotes by dictionary definitions (with their Greek lemmata) from Liddell's Greek-English lexicon (*LSJ Online* based on Liddell 1940).

⁸ Bocharov & Liapunov 1994: 1016.

⁹ Дувакин & Бахтин 2002.

In parallel, he used an analogous strategy to refashion his work after the tipping-point of his arrest in 1929. The ‘revealing’ decade of the 1920s when his work was overtly philosophical became the ‘concealing’ decade of the 1930s where philosophical concerns metamorphosed into apparently literary-theoretical ones. The 1929 publication of *The Problems of Dostoevsky’s Art* represents the fulcrum on which this ‘literary turn’ balances. It is at this point that Bakhtin’s reformulations of the functional roles of his concepts of identity occur in order to set up a protective shell, or mask, which diverts the reader’s attention from the philosophical issues that compete with Marxist orthodoxy towards seemingly more anodyne literary theory.

But Bakhtin’s lines of thought can deceive the interpreter. The philosophical concerns of his earlier works have *not* disappeared, rather they have undergone a protean transformation into a glittering array of concepts and constructs that are expressed in literary terms. These concepts and constructs carry philosophical implications about identity and language that could not be made explicit at the time of writing because overt dialogue was threatened by the external political environment. This process of transformation from philosophical to literary garb, once it is unpacked using Bakhtin’s theories, demonstrates the underlying wholeness of Bakhtin’s life and work, and its unity in diversity.

In the cases of both Bakhtin’s life and his works, once the mask of refashioning was assumed, it was very hard to discard it for two reasons. Firstly, in order to appear consistent, Bakhtin either forced himself (or felt forced by circumstances) to persist in the myth making — not once did he let his guard slip, even towards the end of his life, when he had become a scholar who was both

widely known and celebrated, and circumstances within the Soviet Union had relaxed somewhat. Self-consistency was important in early Soviet society as any inconsistency threatened the validity of one's refashioned persona. A second, deeper, reason arose from Bakhtin's notions of identity and language, both of which implied a duality of outer and inner.

* * *

This dissertation aims to fill what appears to be a significant gap in scholarship which employs the constructs and modes of thinking that Bakhtin developed in his philosophical writings on identity, language and literature in order to conduct a reflexive examination of his life and work. This reflexive approach is most apparent in the way it notes the interdependence of Bakhtin's lived experience with his theoretical writings. The figures of speech 'word with a backward glance' («слово с оглядкой»)¹⁰ and 'word with a loophole' («слово с лазейкой») not only refer to tropes used by Dostoevskian characters, they are also clearly illustrated by many episodes from Bakhtin's life.¹¹

¹⁰ For some reason, since 1973, this phrase has been rendered into English as 'word with a sideward [or sideways] glance'. This was initiated by Rotsel ('sideways' in Bakhtin 1973 [PDP1]: 163) and followed by Caryl Emerson ('sideways' in Bakhtin 1984b [PDP2]: 196). Neither the original decision, nor that of the subsequent translator, makes good sense. Оглядка has a dictionary sense of 'looking backwards', as if over one's shoulder. This can be seen from оглядка in Slovo Ed Russian-English Dictionary v7.4 (Paragon Software Group 2010), Oxford Language Dictionaries online [Russian-English] (OUP 2014, oxfordlanguagedictionaries.com) [both accessed on 31-Oct-2014], and Новый большой русско-английский словарь (translate.academic.ru) [accessed on 2-Apr-2016]. In the context of the figure of speech being discussed, it has a retrospective quality, both in temporal terms and in terms of the speaker being fearful or hunted. The connotations of оглядка are those of care, caution and circumspection.

¹¹ The 'word with a backward glance' is exemplified by Bakhtin's creation of his academic *curriculum vitae*, and the 'word with a loophole' by his deliberate obfuscation and misdirection with regard to the 'disputed texts'.

As the linguistic anthropologist John Lucy notes, linguistic reflexivity embraces “the capacity ... of verbal interaction to presuppose, structure, represent and characterize its own nature and functioning” in cases where “some portion of the utterance functions as metalanguage while another part functions as object language”.¹² This concept is particularly apt for use in the semantic analysis of Bakhtinian texts as some of his most significant constructs — ‘word with a backward glance’ and ‘word with a loophole’ being the most relevant examples — are founded on this principle.¹³ However, not only does reflexivity have a linguistic application, it also is one of the fundamental principles of Bakhtin’s theory of identity. This principle is realised by reflexivity’s position as an essential element in personal reinvention, a salient characteristic of Bakhtin’s life narrative. Attending to one’s ‘file-self’¹⁴ as if holding one’s life up to a mirror is a highly reflexive act. And Bakhtin’s own reflexivity is dynamic. It is no accident that Bakhtin refers to Heraclitus (whose philosophy is the quintessence of change and transformation) a number of times throughout his *Collected Works* in relation to the interdependent notions of change and time.¹⁵

¹² Lucy 1999: 212, 213.

¹³ In these two cases, the content of the utterance embraces the ‘object language’ whereas the phrasing and intonation of the utterance (which contain the retrospective or prospective caveat) functions as ‘metalanguage’. Refer the section on these two figures of speech in Chapter Three.

¹⁴ Fitzpatrick 2005: 14-18.

¹⁵ Bakhtin characterises Heraclitus as «философ становления» in the précis of Cassirer (Бахтин 2008 [ИКР:К]: 814). Other references to the philosopher include the quotation in the original Greek of Heraclitus’ reference to time in Fragment LXXIX [Bywater]: “Time is a child playing draughts; the kingship is a child’s.” (Heraclitus 2001: 495) in the epigraph to his dissertation (Бахтин 2008 [ФРИР]: 14). In the 1965 *Rabelais* Bakhtin uses the phrase «играющий мальчик» (e.g. Бахтин 2010 [ТФР]: 160), to be followed later by a Russian translation of the fragment as the epigraph of Chapter Three (e.g. Бахтин 2010 [ТФР]: 213).

The increasing perfusion of applied Bakhtin studies into areas contiguous to his core concerns of philosophy and literature has been accompanied by a multiplication of perspectives from which Bakhtin's life and work are viewed (including varying ideological viewpoints as well as treatments that have ranged from the hagiographic to the trenchantly sceptical). The present dissertation is quite explicit in its assumptions about Bakhtin's life and work and grounds them on a balanced assessment of his life and close textual analysis drawing on a wide range of over twenty-seven pieces from Bakhtin's *Collected Works*.

The scholarship on which this dissertation is based has been facilitated by the advent of the *Собрание сочинений в семи томах* with the publication of its final volume (том 3) in 2012. This series has allowed scholars to engage with a stable, definitive version of Bakhtin's oeuvre and has therefore provided a previously unavailable opportunity to research Bakhtin's whole corpus. But paradoxically, the efforts of Russian scholars to produce this work with its comprehensive commentaries and associated scholarly apparatus appears to have coincided with a perceptible lull in Anglophone Bakhtin scholarship.

Evidence of this lull can be seen in the lack of currency of the University of Sheffield's *Bakhtin Analytical Database*,¹⁶ and in the falling number of dissertations focused on core Bakhtin studies

¹⁶ The latest record in the database is for a publication dated 2000 (see <http://rother.shef.ac.uk/bakhtin/sec/sec3705.htm>, retrieved 28-Jun-2016).

listed in The British Library's EThOS database.¹⁷ And despite the large number of presentations at the XVth International Bakhtin Conference (*Bakhtin as Praxis: Academic Production, Artistic Practice, Political Activism*) in 2014 in Stockholm, the next conference in the (normally biennial) series is not scheduled to occur until 2017, in Fudan, PRC.

This lull in Bakhtin studies is not without precedent. It occurred in the early 1990s in the Anglophone world after the huge enthusiasms of the 1980s, when large numbers of translations caused a surge in Bakhtin scholarship. This was followed by another pause in the early 2000s, when the surge of interest generated by the VIIth International Bakhtin Conference in Moscow in 1995 had dissipated or become sublimated into the project of the *Collected Works*.

A number of reasons could be posited for the current situation. The gradual assimilation of the magnum opus of the *Collected Works* recently completed by the publishers and editors is requiring time to mature. The change of focus from that of considering Bakhtin as a *sui generis* philosopher to the realization that his thought belongs to his time (and he himself is deeply embedded in his intellectual milieu¹⁸) could likewise be seen as a cause. Then there is the generational change from the Francophone researchers of the 1960s and 1970s who were responsible for the initial burst of enthusiastic scholarship to the later research and translation of

¹⁷ Of the 60 most relevant records in the EThOS database, four were submitted in 1990 or prior to that date, 22 were in the decade 1991 – 2000, 26 in the decade 2001 – 2010, and only 8 between 2011 and 2015 (retrieved from <http://ethos.bl.uk/> on 28-Jun-2016).

¹⁸ Brandist & Chown 2010.

Anglophone scholars in the 1980s and 1990s, and finally to the current generation of researchers in the domain of Bakhtin Studies.¹⁹

* * *

This dissertation aims to utilise Bakhtin's own notions and theories as a series of lenses to examine the strategy that underpins the way in which he (re)constructed the narrative of his life by reinventing himself at critical junctures and demonstrating ways in which his readers might follow him. This aim requires a holistic view of Bakhtin's life and work, a perspective that integrates his theory and praxis, along both diachronic and synchronic lines. Constraints imposed by the format and length of this dissertation imply that this holistic approach cannot be exhaustive. Rather, two representative lines of Bakhtin's thought have been selected to pursue an analysis of ambiguities that occur in the narrative of his life: his theory of identity and his theory of language.

Chapter One of this dissertation introduces some ambiguities and uncertainties that arise from the problematic nature of a number of key aspects of Bakhtin's biography. The manifestations of such ambiguities are for the most part so consistent that they can best be explained by a strategy of reinvention by Bakhtin of his own identity (of the kind analysed by Sheila Fitzpatrick in *Tear off the Masks!*²⁰). In summary, Fitzpatrick's theory asserts that in a

¹⁹ According to opinions were expressed at the XVth International Conference session on 'Collected Works (7 vols.) of Bakhtin' held on 25 July 2014, a translation of the *Собрание сочинений в семи томах* (whatever the target language) was at best *highly unlikely* in the medium term.

²⁰ Fitzpatrick 2005.

revolutionary environment (specifically that of the Bolshevik Revolution), people tend to transform their personal narratives in order to conform with the new revolutionary norm. Fitzpatrick's theory is derived from case studies, a number of which show striking parallels to episodes in Bakhtin's life.

The way in which his particular reinvention is framed is determined not only by Bakhtin's personal circumstances, but also by a number of people and factors that influenced his life and thought, including both his contemporaries and acquaintances, and authors and thinkers of the past. He was especially influenced by Classical antiquity (often mediated by later scholars). Bakhtin's perception of the Classical world and approach to it was, to a significant degree, shaped by Nietzsche, whose works were important for Bakhtin's use of the metaphor of the mask and for his use of dissimulation. Bakhtin used many notions and concepts of Classical philology to express his philosophical concerns in the terms of literary theory. The reason for his choice of Classical philology as a medium for addressing philosophical issues was that, after the October Revolution and the ensuing Civil War, Marxist-Leninist orthodoxy precluded open, heteroglot philosophical discussion.

These philosophical concerns are broached in Chapter Two with a diachronic examination of Bakhtin's theories of identity, commencing with his use of the terms «я-для-себя» and «я-для-другого» and following his highly non-linear progress through his use of the concept of «оболочка» to that of «маска» and «травестия». Whilst Bakhtin's thought incorporates philosophical strands drawn from many traditions (Neo-Kantianism, Phenomenology and Eastern

Orthodox religion to name only three), the vehicle used to deliver the notions discussed in this dissertation is the tradition of Classical philology. Bakhtin actively pursued Classical studies at school and university and his exposure to this tradition, mediated through the Russian Symbolist movement and Nietzsche, resulted in the use of Classical metaphors to express his theory of identity. This deeply affected the imagery of both his work on the structure of personal identity in his early pieces, and the translation of that structure into narrative terms in *Автор и герой в эстетической деятельности* [АиГ] and the works succeeding it. In these works, the image of a shell (enclosing a kernel) metamorphoses into a mask which acts as a disguise.

The development of this enquiry into the nature of identity starts with an analysis of the relationship of 'Self' and 'Other', both of whom are depicted as agents for the creation of identity in Bakhtin's earliest works: *К философии поступка* [КФП] and АиГ. In line with his transition from the more overtly philosophical language of these two works to the metaphorical expression of the 1929 *Проблемы творчества Достоевского* [ПТД], Bakhtin starts to employ the terms 'shell' and 'kernel' to define identity. These terms are in turn overtaken (but not completely supplanted) by 'mask' and 'travesty'.²¹

This perspective is supported and extended in Chapter Three by an examination of Bakhtin's theory of language which clearly delineates a pattern of development that can be examined synchronically as well as diachronically. Fundamental to any discussion of Bakhtin's theory of

²¹ Refer Appendix A: RELATIVE FREQUENCY OF SELECTED TERMS IN *COLLECTED WORKS*.

language is parody, the meta-trope which not only underpins his thoughts on language but also embodies his theory of Self and Other. For Bakhtin, parody always reflects an alterity inherent in language. This alterity is made concrete in those forms of language that are double-voiced, best exemplified by the interdiscursive figures of speech «слово с оглядкой» and «слово с лазейкой», which represent two of the high-points of Bakhtin's theorizing on language.

Directly underpinning these figures of speech is the complex of tropes that constitute heteroglossia, also based on parody. Bakhtin's theory of heteroglossia is characterised by Ivanov as "the stylistic and social differences within the language of any modern developed society".²² As well as manifesting itself in parody, heteroglossia is fundamental to the meta-tropes (or meta-genres) of irony and satire, and thus represents the major mechanism for dissimulation. These components are all convergent and lend support to the construct itself and its constellation of associated terms. And at a far more basic level, a theoretical platform for this umbrella concept of heteroglossia and its associated terms is based on Bakhtin's understanding of the nature of the utterance. This concept represents an emergent view of language entailed by Saussure's *parole* rather than the structural view of *langue*.

In addition to examining Bakhtin's linguistic constructs, three XXth century philosophers of language have each been enlisted to provide an additional perspective that ties together Bakhtin's theory of language with identity and the performance of *parole*. These thinkers are discussed, and

²² Ivanov 1999: 100.

their application to Bakhtin's linguistic philosophy analysed, in Chapter Four. In order to provide parallel paths to understanding his position in the philosophy of language, I analyse three lines of thought (formulated by Wittgenstein, Austin and Benveniste, respectively) in relation to Bakhtin's view of the mechanics of language.²³

Wittgenstein's work on 'language-games' complements Bakhtin's use of «игра» in cultural contexts, and is usefully supported by the former's concept of 'family resemblance' which provides a productive approach to Bakhtin's non-systemic mode of thinking. In addition, the idea of 'language-games' opens up a perspective of language as a 'form of life'. Austin's notion of performativity provides a useful lens through which to view the operation of the utterance, and supplies a useful set of tools with which to examine Bakhtin's corpus, particularly its reflexive aspects. And finally, Benveniste's work on deixis has proven extremely useful not only for unpacking Bakhtin's theory of language but also to inform an approach to the Self/Other relationship as presented by Bakhtin in his early work on identity. All three of these lines of thought are consonant with Bakhtin's approach to language.

²³ To my knowledge, this is the first time these three conceptual frameworks have been brought together to augment and illuminate Bakhtin's multifaceted theory of language. The history of the development of my approach starts with a paper to the XVth International Bakhtin Conference in 2014 (Cook 2014a) which combines the notions of performativity and language-games to illuminate aspects of Bakhtin's construct of the chronotope. As my approach to Bakhtin's notions of «я-для-себя», «я-для-другого», and «другой-для-меня» developed, it became clear in January 2015 that deixis would be required to complement Wittgenstein's and Austin's theories. How this was to be done was confirmed in June of that year when I read a paper by John Frow on Academia.edu ('Speaking Selves') which prompted the incorporation of Benveniste, whose formulations of deixis meshed extremely well with both Bakhtin and Austin. This approach was vindicated by the publication that year of Erdinast-Vulcan 2015 (specifically 70-72) which relates both Austin and Benveniste to Bakhtin, and to which I gained access in May 2016.

The conclusion to this dissertation draws these threads together. I demonstrate how Bakhtin's perceptions of life, identity and language are woven together into a pattern of *metis* or 'cunning intelligence'. This is used as an implicit guiding principle that is instantiated in both his life and work. Aspects of Bakhtin's lived experience, his relations with the Soviet authorities, his contemporaries and posterity are analysed in order to provide a compelling case for the appropriateness of *metis* as a metaphor for Bakhtin's approach to his life and work.

However, it is necessary to note at this point that discussing the intentions of an author whose life and work embodies ambiguity is a problematic task. As a consequence, every effort has been made to interpret both Bakhtin's works and life in a manner which is fully supported by the texts and biographical documentation. However, the concept of *metis* requires different treatment because it was never explicitly articulated by Bakhtin himself. In this instance, I propose to approach this notion from the perspective of Paul Ricoeur's 'hermeneutics of suspicion', the decoding of texts in order to reveal the unconscious processes underpinning them.

Ricoeur has been extremely influential in the development of modern hermeneutics, which he defines as "the theory of the rules that preside over an exegesis — that is over the interpretation of a particular text or of a group of signs that may be viewed as a text".²⁴ The discipline of hermeneutics is a particularly apt framework within which to analyse Bakhtin's use of *metis*, in view of his interest and expertise in the philosophy of religion, where the discipline of

²⁴ Ricoeur 1970: 8, quoted in Stewart 1989: 296.

hermeneutics originated. The perspective of the ‘hermeneutics of suspicion’ originates with Ricoeur who, in his work on Freud and philosophy, indicates that there are two approaches to the exegesis of texts. The first of these approaches aims at “the restoration of a meaning addressed to the interpreter in the form of a message”.²⁵ This is characterised as the ‘hermeneutics of faith’. The opposite approach — the ‘hermeneutics of suspicion’ — involves “the demystification of meaning presented to the interpreter in the form of a disguise”.²⁶ The latter approach involves a decoding of the text. Both approaches aim — in line with Ricoeur’s goal — “not to recover, behind the text, the lost intention, but to unfold, in front of the text, the ‘world’ which it opens up and discloses”.²⁷

A further indication of the applicability of the ‘hermeneutics of suspicion’ to *metis* in Bakhtin’s work can be seen in Ricoeur’s nomination of three “masters ... of the school of suspicion” as Marx, Nietzsche and Freud,²⁸ all of whom were influential in the intellectual world of the Bakhtin Circle. My application of Ricoeur’s ‘hermeneutics of suspicion’ relates to *metis* rather than Bakhtin’s philosophical concerns, overt or otherwise. This is because the ‘hermeneutics of suspicion’ relate not to an intentionally disguised mode of expression, but rather to a subliminal

²⁵ Josselson 2004: 3.

²⁶ Josselson 2004: 3.

²⁷ Ricoeur 1981: 111.

²⁸ Ricoeur 1970: 32, quoted in Stewart 1989: 306, note 7.

element in Bakhtin's discourse. Bakhtin's texts often contain components containing both message and disguise,²⁹ and these components open up and disclose a world permeated with *metis*.

Interpretative framework of *metis*

Whilst a number of the concepts in this introduction will be wholly or partially familiar to the reader acquainted with Bakhtin's works, the Classical Greek term of *metis* (μητις) is less well-known. *Metis* represents a Classical Greek notion of 'cunning intelligence', instances of which have been harvested by two French Classical scholars: Marcel Detienne and Jean-Pierre Vernant. The human personification of *metis* is the devious Odysseus, a wily strategist and tactician who is responsible for the building of the Trojan horse³⁰ and navigating a triumphant return to Ithaca after many adventures, most of which exemplify his cunning.³¹ He is portrayed in Classical literature as "the man of a thousand tricks, the *epistrophos anthropon*",³² whose epithets include "sly one (*kerdaleos*)³³ ... [man of] cleverness (*metis*) ... [one who plays] tricks (*kerde*)".³⁴

Whilst the human personification of *metis* can be seen in the character of Odysseus, the apotheosis of its associated qualities is also evident in Dionysus. The Classical view of the Dionysus

²⁹ As Josselson observes, "... [m]oving between 'giving voice' and decoding what (for various reasons) cannot be said, a combined epistemological stance must reflect on its own positionality, recognizing the ways in which narrative strategies (of both researcher and researched) are mediated by historical and cultural locations and influenced by political considerations of identity and community" (Josselson 2004: 22).

³⁰ As a consequence, he has an agnomen of 'sacker of cities' (πτολιπόρθος). See Zerunieth 2007: 25, Andersen 2007: 6-7, and ultimately Homer 1999: 81 [*Iliad Book II, line 278*]. Odysseus's personification of cunning is discussed in detail in Zerunieth 2007: 21-31.

³¹ One example of this cunning is the episode of the Cyclops (Homer 1995: 339 - 353 [*Odyssey Book IX, lines 318-504*]).

³² Detienne & Vernant 1978: 39.

³³ Detienne and Vernant, 1978: 144; κερδαλέος - "crafty, cunning" [LSJ Online, retrieved 7-Apr-2014].

³⁴ Detienne & Vernant 1978: 227-228.

of the *Bacchae* (referred to in Chapter One, and briefly in Chapter Two) as a manipulative entity pursuing his own devious ends is refracted by Nietzsche into his view of the Dionysian as a titanic force for human progress: “the Prometheus of Aeschylus is a Dionysiac mask”.³⁵ As an extension of this Dionysian perspective, Nietzsche’s views on dissimulation (discussed in Chapters Three and Four) are entirely consistent with his view of this Classical character — the Titan Prometheus, who acts as the benefactor of mankind by stealing fire from the gods — as a ‘sublime’ thief whose “sin is a virtue”.³⁶ Both of these views of cunning — divine and human — exhibit qualities closely associated with the concept of *metis*.

Detienne and Vernant have managed to establish that *metis* is a discrete domain, “a type of intelligence and of thought ... [which] implies a complex but coherent body of mental attitudes and intellectual behaviour”³⁷. They have identified the salient characteristics of this ‘way of knowing’: “flair, wisdom, forethought, subtlety of mind, deception, resourcefulness, vigilance, opportunism, various skills, and experience acquired over the years”.³⁸ The original apotheosis of this quality is generally regarded to be the eponymous goddess Metis, Zeus’s first wife, whose astute counsel enabled him to defeat his father Kronos. However, there are also explicit references to the qualities associated with *metis* in many of the Orphic rites, thus linking the concept with Dionysus.³⁹

³⁵ Nietzsche 1999: 51.

³⁶ Burnham & Jesinghausen 2010: 6, 85.

³⁷ Detienne & Vernant 1978: 3.

³⁸ Detienne & Vernant 1978: 3.

³⁹ Detienne & Vernant 1978: 134-138.

The semantic stability of this term, as well as its longevity as a conceptual framework, can be seen from ancient Greek primary sources over the thousand-year period that separates Homer and Hesiod from Oppian⁴⁰. Detienne and Vernant have further identified the scope of application of this mode of thought: “situations which are transient, shifting, disconcerting and ambiguous, situations which do not lend themselves to precise measurement, exact calculation or rigorous logic”⁴¹. These situations closely correlate to the conditions which exercised a formative influence on Bakhtin’s thought: the intellectual milieu in which he developed and moved, the way this environment was transformed in Russia during the first three decades of the twentieth century, and finally some significant aspects of the trajectory of Bakhtin’s personal life and work.

Detienne and Vernant have refined the concept using a large number of words “which make up quite a wide, well-defined and coherent semantic field”.⁴² Bakhtin’s intimate acquaintance with Classical Greek literature would have made him familiar with the substance of this category, although there is no evidence that he ever referred to the category by name. Because of its capacity to explicate a fundamental human drive to dissemble, *metis* is an extremely useful explanatory template for unpacking Bakhtin’s communication strategies.

This dissertation seeks to find evidence of the presence of a concerted strategy of concealment and misdirection through Bakhtin’s intentional creation of ambiguity and

⁴⁰ Detienne and Vernant 1978: 43.

⁴¹ Detienne & Vernant 1978: 3-4.

⁴² Detienne & Vernant 1978: 11.

uncertainty surrounding his life and thinking. Such evidence will appear in a mode of living and thinking that is patterned according to the characteristics of ‘cunning intelligence’. This patterning is particularly evident in the way in which Bakhtin emplots his life story, making it conform to a particular chronotope.⁴³ As can be seen in the following chapters, the time dimension of the chronotope of Bakhtin’s lived experience is closely aligned to his development of a theory of identity and thus correlates closely to the emplotment of his life. His theory of language, however, can be envisaged as the spatial dimensions of the chronotope with more a synchronic emphasis.

Literature review

All primary sources that have been used are drawn from Bakhtin’s *Собрание сочинений в семи томах*. Samples from over twenty-seven pieces have been selected from Bakhtin’s *Collected Works* for the purposes of analysis or illustration in this dissertation. Where appropriate, I have selected pieces that are not yet available in an English translation in preference to translations published between 1973 and 1993 (spanning the period covering the Rotsel translation of *Problems of Dostoevsky’s Poetics* until the Liapunov translation of *Towards a philosophy of the act*).⁴⁴ (For the convention of differentiating between my translations and those of others, refer to page xvi.)

⁴³ A neologism that Bakhtin defines only incrementally and never fully. Holquist summarizes instances of this particularly fluid concept as “particular combinations of time and space as they have resulted in historically manifested narrative forms” (Holquist 2004: 109).

⁴⁴ Bakhtin 1973, 1981, 1984a, 1984b, 1986, 1989, 1990, 1993.

Where paratextual issues have had an impact on my reading of Bakhtin's texts, I deal with them while analysing corresponding passages.

The bulk of Bakhtinian literature is vast. As a consequence of this situation, in order to make this literature review more accessible, the relevant secondary literature has been divided into sections treating (in order): the topic of the dissertation, texts that influenced Bakhtin, those topics that constitute interpretative frameworks, texts used for comparative or augmentary purposes, and finally texts that have influenced my research.

With regard to Bakhtin's life, Katerina Clark and Michael Holquist's biography *Mikhail Bakhtin*,⁴⁵ and Ken Hirschkop's *Mikhail Bakhtin: An Aesthetic for Democracy*,⁴⁶ although around thirty and fifteen years old respectively, remain the main guides for positioning Bakhtin's thought within the framework of his lived experience. Persistent and thoroughgoing scholarship by Russian Bakhtin specialists such as Semyon Konkin and Nikolai Pan'kov⁴⁷ have clarified aspects of Bakhtin's life concerning his family history, his early tertiary educational trajectory and his doctoral submission. Richard Berrong⁴⁸ and Brian Poole⁴⁹ have raised questions about Bakhtin's use of resources. Poole and Berrong are particularly critical of Bakhtin's occasional reliance on German secondary literature as the medium of analysis of his primary sources, where he might

⁴⁵ Clark & Holquist 1984.

⁴⁶ Hirschkop 1999.

⁴⁷ Конкин, 1994а, Конкин, 1994b; Pan'kov, 1998, Pan'kov, 1999, Паньков, 1993.

⁴⁸ Berrong, 1986.

⁴⁹ Poole, 1998, Пуль, 1995.

reasonably be expected to access the original Classical texts directly. And Ruth Coates⁵⁰ has provided a nuanced analysis of Bakhtin's spirituality that qualifies the monoglot version of his ideology proposed elsewhere.⁵¹ First- and second-hand reminiscences of contemporaries have also been consulted to provide their perspective on Bakhtin's life. These have included accounts from both Russian⁵² and Anglophone⁵³ scholars and, most importantly, the reminiscences of Bakhtin himself in the form of the *Беседы В. Д. Дубакина с М. М. Бахтиньим*.⁵⁴

Sheila Fitzpatrick has provided the framework within which to analyse Bakhtin's approach to personal reinvention by means of impersonation and imposture in her book *Tear off the Masks*.⁵⁵ And Galin Tihanov and R. F. Christian provided valuable family context in their various articles on the other 'Corsican Twin', Bakhtin's brother Nikolai.⁵⁶

With regard to Bakhtin's oeuvre and its place in his life, the secondary literature affords a broad range of perspectives. Hirschkop, and Clark and Holquist, provide well-rounded appreciations of Bakhtin's thought, complemented in many areas by Morson and Emerson's *Mikhail Bakhtin: Creation of a Prosaics* and Holquist's *Dialogism*.⁵⁷ Emerson has produced an enormous

⁵⁰ Coates 1999.

⁵¹ Rzhnevsky, 1994; Morson & Emerson 1990.

⁵² Specifically, Bakhtin's two literary executors: Bocharov (Bocharov and Liapunov, 1994, Бочаров, 1995) and Kozhinov (Кожинов and Конкин, 1973, Кожинов, 1992, Rzhnevsky, 1994).

⁵³ Miles 2000.

⁵⁴ Дубакин & Бахтин 2002, which also appeared in an earlier edition (Дубакин & Бахтин 1996).

⁵⁵ Fitzpatrick 2005.

⁵⁶ Tihanov 1998 & 1999; Christian 1977 & 1999.

⁵⁷ Morson & Emerson 1990 and Holquist, 2004 respectively.

body of work about Bakhtin over a protracted period, either by herself⁵⁸ or with Morson or Holquist as co-author or co-translator.⁵⁹ A lot of useful material is contained in the apparatus surrounding the English translations of Bakhtin's works.⁶⁰ Paratextual issues are also covered in a number of articles, the most detailed of which have been written by Bocharov and Hirschkop.⁶¹ These issues are also referred to in the reviews of the *Collected Works*. The collections of such reviews provide important insights into the textual and metatextual issues.⁶²

By contrast, critical evaluations of various aspects of Bakhtin's life and work range from scholarly criticism to trenchant slander. Significant examples at the scholarly critical end of this spectrum include Hirschkop's appraisal of various issues that relate to Bakhtin's life and work in his book *Mikhail Bakhtin: An Aesthetic for Democracy*, while Poole and Berrong⁶³ provide contextualised critiques of Bakhtin's use of secondary literature. The opposite end of the spectrum is occupied by Bronckart and Bota with their 2011 monograph *Bakhtine démasqué: histoire d'un menteur, d'une escroquerie et d'un délire collectif*. This book has been roundly denounced by Perlina as a "libellous opus"⁶⁴ and dissected by Sergey Zenkin under the English title of 'The incompetent unmaskers'.⁶⁵

⁵⁸ A selection might include Emerson, 1983, 1997, 2000, 2016.

⁵⁹ A selection might include Morson & Emerson 1989, 1990, 1993; Bakhtin 1984b, 1986.

⁶⁰ This is particularly true of *The Dialogic Imagination* (Bakhtin 1981), but also applies to a lesser extent to Bakhtin 1984a, 1984b, 1986, 1989, 1990, and 1993. Bakhtin 1973 is not well supported in this area.

⁶¹ Бочаров, 2011; Hirschkop, 2015.

⁶² For example, one collection which provides such a review is that from *Russian Studies in Literature* volume 50, number 4 (Givens 2014, Isupov 2014, Ol'khov 2014, Perlina, 2014, Piskunova, 2014).

⁶³ Poole 1998; Berrong 1986.

⁶⁴ Perlina 2014.

⁶⁵ Zenkin's critique originally appeared in French in *Cahiers du monde russe* (Zenkin 2011), and was subsequently translated into English and Portuguese in *Bakhtiniana: Revista de Estudos do Discurso* (Zenkin 2014).

Zenkin makes an important point when he makes a plea for a patient critique of Bakhtin's oeuvre, which recognises the complexities of Bakhtin's life and work and avoids a reductionist viewpoint.⁶⁶

Two most contentious areas of Bakhtin scholarship seem to be the question of his ideology and the issue of the 'disputed texts'.⁶⁷ A method that may assist understanding these areas of conflict in Bakhtin scholarship is to range Bakhtin scholars along a continuum ranging from the 'prescribers' at one end (those scholars for whom certainty is essential) to the 'describers' at the other (those who take Bakhtin as he comes, and deal with the attendant issues of ambiguity and uncertainty). This continuum provides a framework for understanding the bitter (although relatively short) polemic that took ideology as its focus between Morson and Emerson, and Wall and Thomson. This polemic is a microcosm of the vexed interrelationship between Bakhtin's ideology and the 'disputed texts' (covered in detail in Chapter One).

The discussion of the disputed question of Bakhtin's authorship of a number of texts published under the names of Medvedev, Voloshinov and Kanaev started in 1984 – 1986 and was

⁶⁶ "Certains bakhtinistes, il faut bien le dire, ont aggravé cette difficulté objective avec leur zèle excessif tendant à ériger un culte de Bahtin [sic]. Pour redresser la situation, on a besoin d'une critique compétente et patiente, qui ne cherche pas des solutions sensationnelles, qui ne réduit pas les complexités d'une pensée théorique à des plagiats et détournements des droits d'auteur, et qui ne traite pas de menteurs, d'escrocs et de délirants ceux qui disent le contraire d'elle" (Zenkine 2011: §17). "It should be highlighted that some Bakhtinists have worsened this objective difficulty [of Bakhtin's work] through their excessive zeal aiming at making Bakhtin a cult figure. In order to redress the situation, there is a need for a competent and patient critique, which does not seek sensational solutions, which does not reduce the complexities of theoretical thinking to plagiarism or fraud of author's rights, and which does not treat as liars, swindlers and the insane those who claim it is the contrary" (Zenkin 2014: 195 [translation amended]).

⁶⁷ These books have also been described as 'deuterocanonical' (refer Алпатов 2005 [Excursus 2]: 94-118), or as constituting 'dubia' (see Peйcep 1970: 237 -240) but neither of these terms retain the polemical quality of 'disputed texts'. And so, from this point on I shall use the latter phrase.

reopened by the publication of Morson and Emerson's *magnum opus* in 1990, which claimed that the proofs for Bakhtin's authorship of disputed texts are insufficient. Thomson and Wall, objecting to the problematization of the issue they believed settled and what they saw as recidivism, also took Morson and Emerson to task for marginalizing Marxist references in Bakhtin's work and demoting his work on Rabelais.⁶⁸

Bakhtin's theory of identity is mostly treated within the framework of an overarching project, as in Morson and Emerson's *Creation of a Prosaics*, or as an individual journal article (such as 'Bakhtinian Perspectives on "Everyday Life" Sociology').⁶⁹ However, Daphna Erdinast-Vulcan is one Bakhtin scholar who has a record of consistent output that focuses on the topic of identity over a long period,⁷⁰ and her perspective has been extremely beneficial for my research. From her very first article on 'Bakhtin's homesickness: a late reply to Julia Kristeva' in 1995, she has concentrated on identity and subjectivity; and her continued exploration of this area is obviously material to this dissertation's focus on identity.

Regarding thinkers who have influenced Bakhtin, Nietzsche (with his conception of the mask) is the most significant for the material in this thesis. Sections of *Human, all too human* and *Beyond good and evil: prelude to a philosophy of the future*⁷¹ have played significant parts in developing

⁶⁸ This was done in two stages: a trial run in the *Semiotic Review of Books* (Thomson & Wall 1991), followed by Wall & Thomson 1993, Morson & Emerson 1993, and Wall & Thomson 1994.

⁶⁹ Bender 1998. Certainly other articles on this topic exist (such as Burkitt 2010), but they tend to be oriented towards domains other than core Bakhtin studies.

⁷⁰ Erdinast-Vulcan 1995, 1997, 2008a, 2008b, 2013, 2015.

⁷¹ Nietzsche 1996 and 2002 respectively.

my understanding of Nietzsche's notion of the mask, but the most productive source for this notion was *The Birth of Tragedy*, together with its complementary text, *On Truth and Lying in a Non-Moral Sense*.

With regard to the viewpoints of scholars outside the domain of Bakhtin studies, these viewpoints are largely concentrated in two areas: Classical literature and philosophy and ordinary language philosophy. As regards the first area, the French Classicist Jean-Pierre Vernant and his colleagues have been valuable for the perspectives that they have supplied on the mask of Dionysus,⁷² a topic which is highly relevant to any discussion of Bakhtin's view of identity. Joel Relihan's studies of Lucian⁷³ provide a more nuanced understanding of the satire of a Classical author less well known than Apuleius and Petronius, but just as sophisticated. And Marcel Detienne, in conjunction with his close colleague Vernant, has articulated the concept of *metis* (or cunning intelligence),⁷⁴ which is one of the central interpretative frameworks of this dissertation. The terms associated with *metis* were explicated by Herry Liddell's *Greek-English Lexicon*, originally published in 1940.⁷⁵

Insofar as ordinary language philosophy is concerned, Bakhtin's theory of language is discussed in Chapter Three against the background of Voloshinov's *Marxism and the Philosophy of*

⁷² Vernant 1990 and Vernant & Frontisi-Ducroux 1990.

⁷³ These appear in the journal *Illinois Classical Studies*, specifically Relihan 1987, 1990.

⁷⁴ Detienne & Vernant 2011 [1974], translated as Detienne & Vernant 1978.

⁷⁵ This has been accessed via the *LSJ Online* database mounted by Tufts University.

Language,⁷⁶ which has helped to contextualise Bakhtin's view of the nature of the utterance. In Chapter Four I endeavour to compare and augment Bakhtin's approach within the framework of the development of linguistic theory in the XXth century, using the work of Austin,⁷⁷ Benveniste,⁷⁸ and Wittgenstein⁷⁹ to illuminate Bakhtin's theory of language. I also draw on XIXth century thought using Nietzsche⁸⁰ to frame Bakhtin's approach. Both sets of resources are employed in order that Bakhtin's work on the figures of speech «слово с оглядкой» and «слово с лазейкой» can be brought into sharp relief and his theoretical infrastructure can be clearly seen.

And finally there have been various series of articles in specialist Bakhtinian journals that have provided intensive coverage of aspects of core Bakhtinian scholarship. These range from the long-lived Russian journal «Диалог. Карнавал. Хронотон», the Brazilian Anglo-Portuguese *Bakhtiniana: Revista de Estudos do Discurso*, and the short-lived but authoritative English-language *Dialogism*. In addition to these periodicals, special issues of a number of journals have been devoted to Bakhtin and Bakhtinian works and themes. A recent example of a journal with a Bakhtinian-themed number is an issue of *Studies in East European Thought*, which featured a number of articles based on papers from the XVth International Bakhtin Conference in an issue entitled *The Bakhtin*

⁷⁶ Voloshinov 1986.

⁷⁷ Austin 1963, 1975; and the secondary literature on Austin (particularly Fish 1982 & Hall 1999).

⁷⁸ Benveniste 1971, in turn augmented by Fillmore 1997.

⁷⁹ Wittgenstein 1966, 1969, 1984, 1989, 1990, 2009; and the secondary literature on Wittgenstein (particularly Monk 1991).

⁸⁰ Nietzsche 1996, 1999, 2002; and the secondary literature on Nietzsche (particularly Behler 1986 & 1998, De Man 1974 & 1996, and Williams 2010).

Circle in Its Time and Ours.⁸¹ This issue contained an article by Hirschkop on ‘Editing history: on the publication of Bakhtin’s *Sobranie sočinenij*, 1996–2012’.

Hirschkop concluded in this article that the imagery of shell and kernel underlies the editorial approach throughout the seven volumes of the *Collected Works*.⁸² This dissertation will seek to prove in Chapter Two that, that being so, Hirschkop’s formulation of this assumption is rather unnuanced, and that the development of this phase of the imagery is both more complex and more heteroglot than Hirschkop’s explanation allows. The mask, with its connection to Nietzsche and Dionysus, provides other overlays of meaning to this metaphor of identity, as does the allied concept of travesty or ‘burlesqued disguise’ which Bakhtin anchors firmly to parody and the Other.

Whilst there is a significant secondary literature in general Bakhtin studies, there has also been a huge accretion documenting the application of Bakhtinian concepts in domains that are both proximal (literary theory and criticism, theory of language) and distal (psychotherapy, organisational science) to Bakhtin scholarship. The often casual employment of specific terms such as ‘dialogue’ and ‘carnival’ without definition or restriction of their frame of reference combined with the widespread habit of ‘cherry-picking’ small extracts of text utilising these terms

⁸¹ *Studies in East European Thought* Volume 67 Issue 3-4 2015. Other examples include *Critical Inquiry* Volume 10, No 2, 1983; *Russian Literature* Volume XXVI, No 2 1989; *South Atlantic Quarterly* Volume 97, Nos 3-4 1998; *Poetics Today* Volume 26, No 4 2005; *Russian Studies in Literature* Volume 50, No 4 Fall 2014.

⁸² “The metaphor of ‘kernel’ and ‘casing’ or ‘shell’, employed by Bočarov as early as 1993, has to be established as a narrative motif, one which allows us to distinguish, in each and every work, between a philosophical core (belonging to the private Bakhtin) and a surface drawn from sociology, politics, or literary criticism (belonging to public ‘circumstances’)” (Hirschkop 2015: 136).

effectively decontextualizes both Bakhtin's life and his work. Whilst many of these pieces of secondary literature have influenced the direction of this dissertation in one way or another, I have found little that comes close to addressing the issues outlined above — and analysed in detail in this dissertation — in an integrated, much less a holistic, way.⁸³ With regard to Bakhtin's biography and oeuvre, many writers — particularly those outside the domain of Bakhtin studies — have uncritically adopted the narrative of his lived experience that was deliberately constructed by Bakhtin. Examples include perpetuation of the myth of Bakhtin's smoking away his only copy of his work on the *Bildungsroman* («Роман воспитания») manuscript.⁸⁴

* * *

The research topic, its importance and the interpretative and methodological approaches to it all require a platform on which this dissertation can engage with Bakhtin. There appears to be no better platform for this engagement than Bakhtin's lived experience. Bakhtin's biography contained a number of important aspects that have proven to be problematic on close examination. Discrepancies exist between the official record of his family background and education, and the narratives he preferred to relate. Similarly, his ideological orientation is at best ambiguous due to the lack of clarity as to the depth and orthodoxy of his religious feeling. This is further complicated by the perception of a number of his contemporaries that Bakhtin's

⁸³ The collection is *Rethinking Bakhtin* (Morson & Emerson 1989) has been characterised as a reflexive view of Bakhtin's work in that it “challenges Bakhtin's own use of his most cherished ideas” (Morson & Emerson 1989 *blurb*). However, this distinguished collection of papers does not provide a consistently reflexive overview of Bakhtin's work focusing on his own constructs to discuss and analyse his life and work.

⁸⁴ Regarding the work on the *Bildungsroman* or «роман воспитания», see Clark & Holquist 1984: 273.

ambivalence about the authorship of the disputed texts was somehow bound up with feelings of religious guilt.

Bakhtin's erudition was considerable, but there is no doubt that his reputation was enhanced by a habit of utilising German secondary sources as if they were the originals. Whether this habit was initiated by the circumstance of internal exile or not, Bakhtin made no effort to correct any misapprehensions that arose as a result. His mythopoeia did not stop there: the memorable narrative of the *Bildungsroman* manuscript going up in smoke is adequate testament to his feel for a good story. However, the most compelling problem is that of the 'disputed texts'. So adroit was Bakhtin's management of this issue, that even when he appeared to give a straightforward, unambiguous answer in the 1961 letter to Kozhinov, it did not resolve the issue. During detailed analysis so many implicit caveats appeared and so many questions were not directly addressed in that letter, that it must be considered as a paradigm case for a 'word with a loophole'. In terms favoured by narrative theory, there is a considerable disjunction between the «фабула» of Bakhtin's life and its «сюжет»⁸⁵ as he crafted his lived experience into the story he wished to be told.

⁸⁵ I am employing here Tomashevsky's distinction between «фабула» and «сюжет»: "in short, the fabula is that 'which really was,' the sujet that 'how the reader has learnt about it'" (quoted in Scheffel 2013).

CHAPTER ONE

Myth and flux — identity through Bakhtin's lived experience

This chapter aims to show how Bakhtin's conscious strategy of self-fashioning and self-expression (which is apparent throughout his working life in his texts and philosophical constructs) is initiated, and continues to be influenced, by his lived experience in XXth century Soviet Russia. In subsequent chapters I will lay out in full precisely how these texts and constructs reciprocate by influencing his strategies for coping with issues and events that occur in his lived experience. However, this chapter does not purport to be an exhaustive examination of Bakhtin's life, rather it emphasises areas of his biography that contain apparent contradictions and inconsistencies for the purpose of subsequent examination of his theories of identity and language. One of the fundamental premises of this dissertation is that, in order to achieve a viable interpretation of Bakhtin's work and its contribution to twentieth-century thought, one of the best methods of approach is to look at his actual performance — in both life and text — rather than at what Bakhtin says about this performance.

According to some scholars⁸⁶ his texts, even with the advent of the recently completed *Collected Works*, are still not free from arbitrary excisions. As will be seen below, similar comment could validly be made about his *curriculum vitae*. Both texts and life story still require sifting for,

⁸⁶ An example is Ken Hirschkop (Hirschkop 1999: 111) who, in a recent review of Bakhtin's *Collected Works*, has pointed out that "the imprimatur of the author doesn't excuse attempts to edit the past" (Hirschkop 2015: 133).

and explication of, a seemingly endless stream of comment, anecdote, and mythmaking. This stream was initially precipitated by Bakhtin, and subsequently he willingly encouraged and contributed to it. Thus, in many respects, Bakhtin not only analysed the «образ автора»,⁸⁷ but lived it as well.

This chapter commences with an examination of the uncertainties and ambiguities arising from the problematic nature of a number of key aspects of Bakhtin's biographical narrative. This examination focuses on various facets of his life where problematic incidents and issues occur, using a structure based on biographical treatments, complemented by interviews with Bakhtin and his contemporaries.⁸⁸ From these biographical accounts and personal documents one can derive an understanding of the degree of uncertainty that characterises important aspects of Bakhtin's life. Our understanding of these inconsistencies is additionally complicated by the tendency of contemporaries and scholars to treat his life and work in hagiographical or ideologically driven ways. This makes the separation of biography and myth particularly problematic.

One of the few features of Bakhtin's life that is not open to doubt is his lifelong interest in Classical culture and scholarship. This interest was influenced and shaped by the members of his family (his brother Nikolai), friends and colleagues (Lev Pumpyanskii), Russian Classical scholars

⁸⁷ For discussion of this construct, see Chapter Two, pages 124-126.

⁸⁸ Bocharov 1994, Rzhevsky 1994, Miles 2000 and, most importantly *Беседы В. Д. Дувакина с М. М. Бахтиным* (Дувакин & Бахтин 2002).

(Faddei Zelinskii), thinkers from whom he borrowed heavily (Ernst Cassirer) and whole cultural and religious movements like Russian Symbolism. These influences as well as his absorption of the Classical world in general are woven into the pattern of his biographical narrative. However, the decisive role here clearly belonged to Nietzsche whose understanding of the ancients was central to Bakhtin's theory of identity. We can trace this Nietzschean imprint in the abundant references to both Dionysus and the Greek tragedians who portrayed him, even while Bakhtin cautiously downplays the importance of this German thinker's ideas in order to stay within the limits set by the changing regimes of Soviet censorship.

It appears that the most important classical concept that Bakhtin acquired from Nietzsche was that of the notion of the mask. Nietzsche's notion was transformed by this Russian thinker into an all-purpose metaphor in much the same way as Bakhtin used Menippean satire as an all-purpose analytical tool. He applied the notion of the mask not only to the analysis of «образ автора», but also to the roles of «плут, шут и дурак» that were essential to his historical reconstructions of the novel in *Формы времени и хронотопа в романе* [ФВХр].

Many important elements of Bakhtin's behavioural strategies were grounded in Classical culture seen through the perspective of a Nietzschean reinterpretation.⁸⁹ Nietzschean Classicism pervades Bakhtin's work throughout his career and explains many important features of his intellectual style, thus constituting one of the rare pieces of 'solid ground' in his convoluted

⁸⁹ This is not to discount other influences (particularly the neo-Kantianism stressed in Hirschkop 1999), but to outline the specific perspective of this dissertation's analysis.

biographical accounts and providing a coherent framework for his philosophies of identity and language and the ways they were expressed within the fierce constraints he faced.

Biography or myth?

Many key issues in Bakhtin's biography are full of ambiguity, invention and misdirection. His lived experience as he recounted it, and as it was retold by others, in many cases does not tally with contemporary records. Sometimes these anomalies can be explained by the ideological concerns of Bakhtin himself, his contemporaries and biographers or by the hagiographical inclinations of the latter, but often they defy clear explanation.

The first of such issues is a discrepancy between Bakhtin's account of his family's noble origins (together with the banking activities of Bakhtin's immediate antecedents) and existing historical records.⁹⁰ The second case is that of Bakhtin's account of his secondary and tertiary education, which is at variance with the school and university records.⁹¹ A third issue is the degree to which Bakhtin's 'legendary erudition' is real or a product of insufficient citation, editorial excisions or omissions, or even plagiarism, according to some scholars.⁹² Intimately related to this, as its consequence, is the doubt cast on the integrity of his 'original' analysis of primary sources. One more dubious question is the well-known 'tragedy' of Bakhtin's use of the manuscript pages of

⁹⁰ See Конкин 1994a, Конкин 1994b.

⁹¹ Пањков 1993.

⁹² Berrong 1986, Poole 1998, Hirschkop 2015.

his *Bildungsroman* project to make cigarette papers. This story is traceable to the author himself, but is not substantiated by the evidence of either texts or records.

And finally there are two interrelated issues, qualitatively different from the others mentioned above in that they require extensive textual analysis. The first of these issues arises when scholars try to stereotype Bakhtin as an ‘Orthodox’ or ‘Marxist’ thinker providing conflicting interpretations of his texts. The second issue of this final pair is that of the ‘disputed texts’. This is the most substantial — and in the end probably unresolvable — issue. It involves the uncertainty of the authorship of some of the ‘Bakhtin school’ works, reinforced by some mutually contradictory statements that Bakhtin is reported to have made. The lack of clarity surrounding the status of these works allows different interpretations of Bakhtin’s stance vis-à-vis Marxism and religion. Litres of ink have been expended on this matter, scholarly positions polarised, polemics have been started and have eventually petered out — all to no avail. The question is characteristically Bakhtinian — unfinalised.

The treatments of Bakhtin’s life that I will examine and compare are those of the comprehensive and ground-breaking *Mikhail Bakhtin* by Clark and Holquist⁹³ and the more sceptical *Mikhail Bakhtin: An Aesthetic for Democracy* by Hirschkop.⁹⁴ In looking at sources from Russia, it would be unwise *not* to consider the exhaustive *Беседы В. Д. Дувакина с М. М. Бахтиным*.⁹⁵ I

⁹³ Clark & Holquist 1984.

⁹⁴ Hirschkop 1999.

⁹⁵ Дувакин & Бахтин 2002.

have complemented this book with the dense factuality of Bocharov's article (translated and with notes by Vadim Liapunov)⁹⁶ and an article by Rzhovsky containing the recollections of Bakhtin's disciple Kozhinov.⁹⁷ The one English contemporary source that I managed to locate was that of Patrick Miles,⁹⁸ a Cambridge graduate student who managed to secure a three-hour discussion with Bakhtin in March 1973 due to the good offices of his Russian supervisor, V. N. Turbin. The following sections examine the ambivalence of the evidence for certain events in, and aspects of, Bakhtin's life story.

* * *

The problem of Bakhtin's family background does not appear to be of much consequence in itself, but its ambiguities are symptomatic of the issues that scholars encounter in attempting to fix details of points of importance in Bakhtin's biography. Both Clark and Holquist's biography, and Duvakin's *Conversations*⁹⁹ recount substantially the same narrative: the Bakhtin family line comes from «дворянский род»¹⁰⁰ ('untitled nobility').¹⁰¹ It is an aristocratic family that stretches back to

⁹⁶ Bocharov 1994.

⁹⁷ Rzhovsky 1994.

⁹⁸ Miles 2000.

⁹⁹ I have treated the sources Clark & Holquist and Duvakin as peers for two reasons. Firstly, there were a number of sources for Clark & Holquist which were undisclosed (and therefore not identifiable at the time of publication [1984]). Secondly, as discussed below, Duvakin's 'Conversations' show evidence of collusion which implies that, as a primary source, they could have been edited either at the point of speech, at the point of transcription, or in the subsequent process of publication (some twenty years after Bakhtin's death [Дувакин & Бахтин 2002: 13]). This renders both sources closer to parity than might be expected of ostensibly primary and secondary sources.

¹⁰⁰ Дувакин & Бахтин 2002: 248.

¹⁰¹ Clark & Holquist 1984: 16.

the XIVth century.¹⁰² A significant point in the family story occurs when Bakhtin's great-great-grandfather (прапрадед)¹⁰³ sells 3,000 serfs in order to fund the founding of a cadet school in Oryol (the Bakhtin Oryol Military School).¹⁰⁴ This narrative line continues with Bakhtin's grandfather founding a commercial bank, in which his father subsequently occupied a managerial position.¹⁰⁵ Clark and Holquist spend barely a paragraph on Bakhtin's antecedents,¹⁰⁶ with virtually no citation of sources. In view of the period of their research there are substantial reasons for this, mostly associated (one assumes) with the wish not to compromise some of their informants still living in the USSR.

However, the cracks in the narrative's trustworthiness are already starting to appear even within the two works cited. Bakhtin says that his great-great-grandfather was a brigadier in the time of Catherine II.¹⁰⁷ The notes to Duvakin's *Conversations...* date the founding of the Oryol cadet school at 1835,¹⁰⁸ some 40 years after Catherine's death in 1796. Even with the most generous allowance for his great-great-grandfather's advanced years when he founded the school, this attribution appears to be unlikely. To complement this, Clark and Holquist bury a significant qualification of Bakhtin's father's managerial position in the notes (probably derived from a source

¹⁰² Дувакин & Бахтин 2002: 19.

¹⁰³ Дувакин & Бахтин 2002: 19, 20.

¹⁰⁴ "... он назывался «военная гимназия», тоже имени Бахтина" (Дувакин & Бахтин 2002: 19).

¹⁰⁵ Clark & Holquist 1984: 16.

¹⁰⁶ Clark & Holquist 1984: 16.

¹⁰⁷ "... мой прапрадед... был бригадир екатерининских времен... То есть бригадир — он генерал бригадный ..." (Дувакин & Бахтин 2002: 19).

¹⁰⁸ «Пожертвование от орловского помещика Михаила Петровича Бахтина и основание кадетского корпуса относятся к 1835 г.» (Дувакин & Бахтин 2002: 320, note 3).

that the authors were reluctant to identify): “A less glamorous version has it that his father was merely an employee of the bank.”¹⁰⁹ These cracks widen as a result of S. S. Konkin’s research¹¹⁰ on the Bakhtin family in the Oryol regional archive.¹¹¹ Konkin uncovers the uncomfortable fact that the person claimed to be Bakhtin’s great-great-grandfather (i.e. the founder of the cadet school) died childless¹¹² and his grandfather was in no position to found a bank.¹¹³

By the late 1990s (at the time that Hirschkop was writing), not only have the sensitivities referred to in connection with Clark and Holquist’s account diminished, but a full literature based on the sudden availability of hitherto inaccessible documents now exists. From the rare early *festschriften*¹¹⁴ onwards, Russian scholars had been combing the records for any mention of Bakhtin. The results of this research can be seen in Konkin’s articles¹¹⁵ in periodicals such as «Диалог. Карнавал. Хронотон», and also in proceedings such as the VIIth *International Bakhtin Conference* of 1995, held in Moscow. In addition to these resources, Bocharov had published his article ‘Событие бытия’¹¹⁶ and Duvakin’s interviews with Bakhtin had appeared.¹¹⁷ All these publications allow us to

¹⁰⁹ Clark & Holquist 1984: 359, note 2.

¹¹⁰ See Конкин 1994а, Конкин 1994б.

¹¹¹ Also mentioned by Hirschkop (Hirschkop 1999: 111).

¹¹² From the documentary evidence cited in Конкин 1994, Konkin adduces that «... видно, что основатель Орловского кадетского корпуса генерал-майор Бахтин не мог быть и не был ни „бригадиром екатериненских времен“, ни „прапрадедом“ М. М. Бахтина» (Конкин 1994а: 136).

¹¹³ On paper it appears that Mikhail’s grandfather was a merchant of modest means (небогатый), evidenced by records of 1884 and 1893 unearthed by Konkin (Конкин 1994а: 120).

¹¹⁴ Кожин & Конкин 1973.

¹¹⁵ See Конкин 1994а, Конкин 1994б.

¹¹⁶ Бочаров, С. Г. 1995.

¹¹⁷ Дувакин & Бахтин 1996.

see the whole issue in a different perspective and allows for a far more nuanced assessment of the Bakhtin family history.

One conclusion that can be drawn about Bakhtin's 'noble background' is that this constitutes a family myth that was embellished by Mikhail's brother Nikolai. Certainly it appears in the biographical introduction to Nikolai's posthumous *Lectures and Essays*.¹¹⁸ As such it would antedate (and thus be available to) Clark and Holquist for their biography. In addition, Mikhail acknowledges his elder brother Nikolai as the source of this snippet of family history by saying "I myself have nothing [no information], because I was not interested in this, but my brother was interested in it. He knew the genealogy..."¹¹⁹ In view of Nikolai's history as a member of the White Army,¹²⁰ his claim of noble origins was a clear act of distancing himself from the Bolshevik regime.

Nikolai's influence was not confined to the area of family history, however. The first chapter of Clark and Holquist's biography of Mikhail Bakhtin is called "The Corsican Twins",¹²¹ and with good reason. Nikolai and his brother are so prominent in this chapter that the rest of the Bakhtin household appear as ciphers, with the possible exception of the brothers' German-speaking governess. Of the two brothers, Nikolai was by far the more conspicuous, as can be seen from his

¹¹⁸ Bachtin 1963: 1.

¹¹⁹ «То есть у меня самого нету, потому что я этим не интересовался, а брат интересовался. Знал генеалогию...» (Дувакин & Бахтин 2002: 219); translated in Hirschkop 1999: 112 and Hirschkop 1998: 580. This sentiment also appears earlier in Duvakin «... Вот брат мой, он изучал свою родословную, все это знал, а я плохо знаю...» (Дувакин & Бахтин 2002: 18). From Nikolai Bakhtin's perspective the close but adversarial relationship might best be encapsulated in his poem «Одному из оставшихся» (Christian 1977: 115).

¹²⁰ Bachtin *Lectures and Essays* 1963: 6.

¹²¹ Clark & Holquist 1984: 16-34.

biographical details. Born in 1894,¹²² a year before Mikhail, Nikolai's education described a trajectory that Bakhtin aimed to follow. The two were separated for a few years when the family moved to Odessa, leaving Nikolai to finish his gymnasium education in Vilnius before proceeding to Petrograd University. They were then reunited until 1916, when Nikolai impulsively enlisted as a hussar.¹²³ At some point he joined the White Guards, probably around 1918,¹²⁴ at which juncture the 'Corsican Twins' were to be separated for ever.

However, Nikolai's history after this separation brings into focus some interesting family resemblances between the two brothers, specifically their propensity for the creation of myths and their fascination with linguistics and the philosophy of language. Despite the variations between the two brothers in life experience, it is as if they were separated twins and the first twenty-one years had forged a bond of thinking that — evidenced by their later domains of scholarship — was never broken by lack of contact.

With regard to his mythopoeia, Nikolai travelled to France via Constantinople and North Africa, accumulating a vivid history as he went.¹²⁵ According to the posthumous introduction to

¹²² Clark & Holquist 1984: 19.

¹²³ Christian 1977: 107.

¹²⁴ Clark & Holquist 1984: 17.

¹²⁵ Nikolai left Russia in "the first hasty wave of Russian emigration" (Tihanov 1998 *Facing the past*: 79) after contracting typhus in the Crimea in 1920, just prior to the White Army withdrawal from that region. From a hospital bed on Theodosia, he was transhipped on a Russian boat to Varna, only to be herded into a camp (Tihanov 1998 *Facing the past*: 80). He escaped from the camp to a small Bulgarian village where some French soldiers took pity on him and took him under their wing on the way back to France via Constantinople to be demobbed. After working on the Constantinople docks for a brief period, Nikolai volunteered, again impulsively, for the *Légion Étrangère* on 19 March 1920 (Tihanov 1998 *Facing the past*: 77), after a night out in Constantinople (Clark & Holquist 1984 19; Tihanov 1998 *Facing the past*: 78). For three and a half years he fought for the French

his *Lectures and Essays*, he joined the *Légion Étrangère* and was subsequently awarded the *Croix de guerre avec palmes*¹²⁶, moving from Algiers to Paris in February 1924.¹²⁷ His move to Paris is well documented by both the Russian expatriate community and his published works. However, verification of his *Croix de guerre* might be problematic. The *Croix de guerre des théâtres d'opérations extérieures*¹²⁸ — established in 1921 — was awarded to soldiers in specific theatres of war within specific time periods, none of which appear to include actions in Morocco in the period 1920-1923.¹²⁹ So it appears likely that Nikolai might be as much of a mythopoeist as his brother Mikhail.

While in France, Nikolai wrote a number of poems discussed in two articles by R. F. Christian. In one of these articles containing Nikolai's poetry, one poem is conspicuous by its apparent reference to Mikhail, referring to his younger sibling as 'my enemy and brother'.¹³⁰ Initially starving, Nikolai eventually gained employment writing for the Parisian émigré journals «Звено» and «Числа» between 1924 and June 1928.¹³¹ When «Звено» closed down he took the opportunity to make a five month visit to Birmingham in 1928/1929 at the invitation of Sergei Konovalov, who

Foreign Legion until being wounded in action in early 1923, spending eight to nine months in hospital in Algiers before being invalided out of the Legion (Bachtin 1963 *Biographical Introduction*: 6; Christian 1977: 108).

¹²⁶ Bachtin 1963 *Biographical Introduction* 6.

¹²⁷ Christian 1977: 108.

¹²⁸ Sources de la Grande Guerre: Des décorations et des archives. <http://sourcesdelagrandeguerre.fr/?p=3312> [Accessed on 16-Aug-2016]

¹²⁹ In addition, a legionnaire frequently used a *nom d'emprunt* (a 'borrowed name') instead of his given names when he joined up, and awards such as the *Croix de guerre* were initially made to the 'legion name', with the possibility that they might be corrected later (Personal communication from R. D. Porch [military historian], 26 February 2016).

¹³⁰ Christian 1977: 115; Clark & Holquist 1984: 17.

¹³¹ Christian 1977: 108; Clark & Holquist 1984: 19.

was Professor of Russian at Birmingham University.¹³² After that interlude, Nikolai returned to France to study Classics at the Sorbonne and the *École des Langues orientales*.¹³³ He continued to write articles between 1929 and 1931.¹³⁴

With regard to his fascination with linguistics and the philosophy of language, Nikolai returned to England in 1932 to read a PhD at the University of Cambridge,¹³⁵ where he met Wittgenstein, whom he befriended.¹³⁶ This fact, together with the congeniality of the academic environment in Britain, may have determined his decision to put down roots because he accepted the position of assistant lecturer in Classics at University College,¹³⁷ Southampton,¹³⁸ and anglicised his name to 'Nicholas Bachtin'. He subsequently joined Birmingham University (where his friend George Thomson was Professor of Greek) in the position of lecturer in Classics.¹³⁹ In 1945 he founded the Linguistics Department¹⁴⁰ at that university, dying of a heart attack in 1950.¹⁴¹

¹³² Sergei Aleksandrovich Konovalov (1899 - 1982) was Professor of Russian at Birmingham University from 1929-1945, and subsequently Professor of Russian at the University of Oxford from 1945-1967. The invitation was conveyed to Nikolai in Paris personally by F. M. Wilson, the writer of the introduction to Nikolai's lectures and essays (Bachtin 1963 *Biographical Introduction*: 11).

¹³³ Bachtin 1963 *Biographical Introduction*: 13; Christian 1977: 109.

¹³⁴ Tihanov 1998 68.

¹³⁵ Bachtin 1963 *Biographical Introduction*: 13; Christian 1977: 109.

¹³⁶ Eagleton 1972: 75; Clark & Holquist 1984: 19.

¹³⁷ This was known as Hartley University College, a degree-awarding branch of the University of London.

¹³⁸ Bachtin 1963 *Biographical Introduction*: 13; Eagleton 1972: 74; Clark & Holquist 1984: 19.

¹³⁹ Bachtin 1963 *Biographical Introduction*: 13; Eagleton 1972: 74.

¹⁴⁰ Bachtin 1963 *Biographical Introduction*: 14; Eagleton 1972: 74.

¹⁴¹ Clark & Holquist 1984: 19.

It does not seem coincidental that, at approximately the same time that Nikolai was wrestling with Plato's *Cratylus*¹⁴² towards the end of his life, Mikhail was working towards the composition of «Проблема речевых жанров» [ПРЖ].¹⁴³ This joint concern with the philosophy of language — Plato's dialogue is concerned with naming and ПРЖ analyses the utterance — is symptomatic of the intellectual ties that bound them together. Other points of similarity abound but one of the most interesting concerns the strategic direction of the brothers' work. In his *Introduction to the study of modern Greek*, Nikolai is quoted as writing: “By painful groping and readjustment one has slowly to train oneself not to divide the past and the present, never to lose sight and feeling of the whole and, being at any point of the whole, to connect the nearest with the remotest”.¹⁴⁴ This provides an interesting counterpoint to Mikhail's expression of regret about his unfinished work on ‘distant contexts’: “[SB:] On 28 October 1972, for example, he recounted, [MMB:] I was fascinated by the problem of distant contexts — I started working on it several times back in the 1920s, but I didn't get very far, beyond starting. There was no distant context for such a work”.¹⁴⁵

In addition, there is Nikolai's relationship with Wittgenstein, on whom — according to Eagleton — he “exerted a deep influence”. In the same passage, Eagleton quotes Nikolai's widow

¹⁴² According to F. M. Wilson: “If Plato in the *Cratylus* was trying to found a science of language — that was the idea with which Bachtin started — no one would have been better fitted than Bachtin was to bring Plato's theme to life” (Bachtin 1963 *Biographical Introduction*: 14).

¹⁴³ Дувакин & Бахтин 2002 *Хронограф*: 382.

¹⁴⁴ Bachtin 1935.

¹⁴⁵ Bocharov & Liapunov 1994: 1021.

Constance and a mutual acquaintance, Fanya Pascal, to the effect that Wittgenstein and Nikolai were close friends.¹⁴⁶ An example of this is cited by Kerr, who reports that “Bakhtin was the friend with whom Wittgenstein had occasion to re-read the *Tractatus* in 1943”¹⁴⁷ which appears to be confirmed by the Preface to the *Philosophical Investigations*, albeit with the proviso ‘probably’.¹⁴⁸ If one were to take a genealogical approach to the relationship between Wittgenstein and Mikhail Bakhtin, one might characterize it as ‘cousinly’ with the commonality being Nikolai. It seems that even when Nikolai was bodily absent from Mikhail’s life, he was still present intellectually.

Nikolai’s intellectual presence manifested itself in several ways: a love of the Classics, a preoccupation with ‘ordinary language’, and mythopoeia. But Bakhtin’s mythopoeia was qualitatively different from that of his brother. Nikolai lacked the rigorous intellectual frameworks that his younger sibling had created in which to embed accounts like the family history. For example, on one plane, Mikhail’s repetition of this family myth may be seen as a reinvention of noble origins typical of the period, tinged with that propensity for fantasy shared by the Bakhtin siblings. But at a deeper level, Bakhtin has framed this myth as both a claim (by mentioning it in the Duvakin interview) and that claim’s denial (by disowning it as Nikolai’s story). In this way, Bakhtin creates his own deniable history, using the pattern of «слово с лазейкой» that he analysed in detail in ПТД.

¹⁴⁶ Eagleton 1972: 75.

¹⁴⁷ Kerr 1982: 54.

¹⁴⁸ Wittgenstein 2009 [PI]: xx.

* * *

Whilst there was a strong sense of ambivalence in the relationship between Nikolai and Mikhail (as can be seen from the poem quoted above), the link between the two brothers was always close,¹⁴⁹ not least in the trajectory of their education. Mikhail's infancy was spent in Oryol, where he and Nikolai had a German governess. Her schooling gave them “a thorough grounding in European culture, with emphasis on the ancients ...”.¹⁵⁰ Clark and Holquist, working from the materials available to them, followed the ‘authorised version’ of Bakhtin’s childhood and education: Oryol (educated by a German governess) up to 1904; Vilnius from 1904 to 1910 (attendance at the First Vilnius Gymnasium,¹⁵¹ supplemented by a tutor in Classical Greek, and contact with another Classical enthusiast who was to have a significant effect on Mikhail — Lev Pumpyanskii¹⁵²); Odessa from 1910 to 1914 (where Mikhail finishes his schooling and attends The Imperial Novorossiskii University);¹⁵³ and finally Mikhail transfers to what was then Petrograd University in 1914,¹⁵⁴ graduating in 1917.¹⁵⁵ During the latter part of this process, Nikolai enrolled

¹⁴⁹ See Clark & Holquist 1984 Chapter 1: *The Corsican Twins 1895-1917*.

¹⁵⁰ Clark & Holquist 1984: 21.

¹⁵¹ Clark & Holquist 1984: 22.

¹⁵² Nikolaev 2004: 126.

¹⁵³ Hirschkop 1998: 580; see also Президентская Библиотека имени Бориса Николаевича Елцина: Основан Императорский Новороссийский университет (Одесский национальный университет им. И. И. Мечникова) <http://www.prlib.ru/History/Pages/Item.aspx?itemid=528> [Accessed on 16-Aug-2016].

¹⁵⁴ Clark & Holquist 1984: 27.

¹⁵⁵ Hirschkop 1998: 580.

in the Department of Classical Philology at St Petersburg University, where he was one of the favourite pupils of Faddei Zelinskii,¹⁵⁶ a distinguished classicist.

As outlined in the relevant section above, Pan'kov's 1993 article¹⁵⁷ in «Диалог. Карнавал. Хронотоп» calls into question these dates and educational achievements. Pan'kov traces Mikhail intermittently from his school records in 1905 to 1911, when the Bakhtin family left Vilnius for Odessa that summer. Records of Mikhail's attendance at school in Odessa then restart in 1912,¹⁵⁸ but it is from this point on that the documentary evidence becomes sparse and the story becomes confused. Although it is never made explicit, it would appear from Clark and Holquist's account that he finished his schooling in Odessa.¹⁵⁹ However, this story was effectively dispelled by the Pan'kov article and the alternative scenario is very different: Mikhail failed to finish his secondary education,¹⁶⁰ and as a consequence was never registered at Novorossiskii University, much less enrolled at Petrograd University.¹⁶¹ Hirschkop suggests that "it would appear he moved to Petrograd a year after his brother in 1914, together with the rest of his family, and attended the university there without actually registering".¹⁶²

¹⁵⁶ Various spelt Zelinskii (transliterated Russian), Zieliński (Polish) and Zielinski (transliterated Polish).

¹⁵⁷ ПАНЬКОВ 1993.

¹⁵⁸ ПАНЬКОВ 1993: 79-80.

¹⁵⁹ Clark & Holquist 1984: 27.

¹⁶⁰ Poole 1998: 568.

¹⁶¹ "... this path was the one taken not by Mikhail but by Nikolai" (Hirschkop 1998: 580).

¹⁶² Hirschkop 1998: 581.

One line of explanation for the confusion is the combination of the mix-up of the brothers' records in the gymnasium¹⁶³ and Mikhail's serious illness and consequent lack of mobility (he contracted osteomyelitis in Odessa). This can be seen by the fact that he was held back in his early years at school, whilst his brother forged ahead. The educational gap between Nikolai and Mikhail thus outdistanced the age difference. On the basis of Pan'kov's research, Mikhail could not have finished school earlier than the 1915/16 academic year.¹⁶⁴ It appears that, despite taking the «экстернат» option, he did not even pass his school leaving exams. Pan'kov attributes this situation to the fact that Bakhtin ignored formalities.¹⁶⁵ As a consequence of this, Bakhtin did not get a school leaving certificate («аттестат зрелости»)¹⁶⁶ This fact precluded him from formally joining a university, although in the Russian education system of the time it was possible to be a «вольный слушатель».¹⁶⁷ Indeed in some circles this represented a cachet, as it was representative of the times. However, records of such «вольные слушатели» were sparse or non-existent and there is more than a hint in the Pan'kov article that Mikhail exploited the confusion in his and Nikolai's school records to achieve an outcome of formal tertiary education by assuming Nikolai's educational *curriculum vitae*. This sets the starting point for his university career in

¹⁶³ Паньков 1993: 79.

¹⁶⁴ Паньков 1993: 82.

¹⁶⁵ Паньков 1993: 83.

¹⁶⁶ Паньков 1993: 84.

¹⁶⁷ «Вольные слушатели – форма обучения, при которой каждый желающий может посещать лекции и семинары в вузе или колледже. Это хорошая возможность получить образование для тех, кто по каким-то причинам не был зачислен на очную или заочную форму обучения, а также для тех, кому знания важнее диплома» (*Мой образование: Вольный слушатель*, http://moeobrazovanie.ru/volnyy_slushatel.html [Accessed on 16-Aug-2016]).

Petrograd (no matter how informal) to 1916 or later.¹⁶⁸ The main difference between Bakhtin's account and the evidence put forward by Pan'kov is that no record of Mikhail's attendance at either Novorossiskii or Petrograd University appears.¹⁶⁹ Bakhtin's own reminiscences as told to Duvakin are much more diffuse, but still seem to align with Pan'kov's dates.¹⁷⁰ This alignment seems to confirm Bakhtin's strategy of continually recreating and reconfirming the narrative of his life that he wished his public to consume.

In a similar manner to his adoption of the family history from his brother's version, Mikhail adopts almost exactly the trajectory of Nikolai's tertiary education. This pattern is repeated later on in his career, when he again adapts the facts in his curriculum vitae to suit the circumstances. In this case, Bakhtin assumes the mask of someone else's education. The person in question is Matvei Kagan, an influential member of the Bakhtin circle and one of the main conduits of Neo-Kantianism into Bakhtin's philosophical frameworks. Bakhtin states on a form dated 1920: «С 1910 по 1912 год находился в Германии, где прослушал 4 семестра Марбургско[го] университет[ета] и один семестр в Берлине».¹⁷¹ In regard to an education at Marburg, there is no record of Bakhtin ever having travelled outside Russia, nor had he mentioned it in any other context. But my conjecture is that at that point in his career, Bakhtin was keen to develop a

¹⁶⁸ Interestingly enough, this is confirmed in the *Хронограф* in Дувакин & Бахтин 2002: 373, although it is the editors' belief that he was studying at the Novorossiskii (now Odessa) University during this period. However, Hirschkop puts the year of the move to Petrograd at 1914 (Hirschkop 1999: 114).

¹⁶⁹ Паньков 1993: 85.

¹⁷⁰ Дувакин & Бахтин 2002: 43.

¹⁷¹ Лисов & Трусова 1996: 164.

reputation for expertise in Neo-Kantianism and, with this in mind, decided to reinvent himself with the qualifications that would equip him appropriately.

Whatever the actual trajectory of Bakhtin's tertiary education, there is no question that it confirmed his interest in Classical philology. The issue of Bakhtin's relation with the mainstream of Classical philology in Russia is complex, and a detailed treatment requires more research and analysis than can be accommodated in this dissertation. However several factors deserve to be mentioned here.

First of all we should mention family circumstances. Bakhtin and his elder brother, Nikolai, acquired German early on through the agency of their German governess. When the family moved from Oryol to Vilnius in 1904, Nikolai and Mikhail supplemented their 'standard Russo-centric curriculum' by hiring a Greek tutor¹⁷². Their commitment to the classics was doubtless reinforced by Nikolai's attraction to the Nietzschean strand of Symbolism as evidenced by his reading of Nietzsche's *The Birth of Tragedy* and Merezhkovskii's *Death of the Gods* at the age of only eleven¹⁷³.

Nikolai Bakhtin's later view of Nietzsche can best be summed up in this excerpt from an essay he wrote on the occasion of Nietzsche's 80th birthday (5th October 1924):

¹⁷² Clark & Holquist 1984: 23.

¹⁷³ Clark & Holquist 1984: 24. It is also noteworthy that Nikolai moved in the orbit of Merezhkovskii and his wife Zinaida Gippius in Paris in the 1920s (Дувакин & Бахтин 2002 321 note 11). Indeed, he is characterised in Gippius's letter to Berdyaev of 7 June 1926 'very bright and gifted' although this is mixed with the observation of his 'harshness' and 'chaotic nature' (Tihanov 1998: 69).

«Влияние Ницше в прошлом не исчерпывается, конечно, вульгарным ницшеанством. Одна из книг мыслителя была понята и оценена по существу: это „Рождение трагедии“. Первоначальная ницшевская концепция культуры и, в частности, античной культуры, давно вошла во всеобщий обиход. ... Такие понятия, как аполлоновское и дионисовское начала, дух музыки, сократизм, декадентство, критические и органические эпохи культуры и т.д. — перетолковываются на разные лады, но они прочно и надолго укоренились в нашем сознании».¹⁷⁴

On the basis of their common preoccupations, it is highly likely that Mikhail also shared the precocious pastimes of his older contemporaries. Nikolai's position in Bakhtin's life has been discussed in detail above.

Later in his life Bakhtin had a chance to benefit from the lectures and works of Faddei Zelinski, one of the most prominent Russian Classical scholars of the period. Although Bakhtin would only have enjoyed contact with Zelinskii in a formal university environment for two years at most (1916-1918) — and even then only as a «вольный слушатель» — he would have had the opportunity to read the latter's works and, up to 1918, would also have been able to assimilate a good deal from his brother Nikolai who was, by some accounts, Zelinskii's "favourite pupil".¹⁷⁵

Zelinskii was a distinguished Classical philologist, publishing prolifically in German, Russian and Polish (and even occasionally in Italian) from 1880 onwards.¹⁷⁶ Born in the central Ukraine, he

¹⁷⁴ Бахтин, Н. 2008: 25, translated as "The influence of Nietzsche in the past is not exhausted by this vulgar Nietzscheism [sic]. One of his books was understood and valued for its essential qualities: this was The Birth of Tragedy. The basic Nietzschean conception of culture and in particular of ancient culture has long since passed into universal currency ... Such conceptions as the Apollonian [sic] and Dionysian principles, the spirit of music, Socratism, decadence, the critical and organic periods of culture, etc., are often challenged but they have rooted themselves solidly and lastingly in our consciousness" (Bakhtin 1963 *Biographical Introduction*: 10).

¹⁷⁵ Bakhtin 1963 *Biographical Introduction*: 5.

¹⁷⁶ Зелинский 1909.

graduated from a German secondary school in St Petersburg and proceeded to Leipzig for his university studies in Classics, capped by a doctorate on the Punic Wars.¹⁷⁷ He earned another doctorate in Russia that paved the way for his tenure as a professor at St Petersburg University from 1884 to 1922, when he left to take up a similar position in Warsaw,¹⁷⁸ publishing in Polish (as Tadeusz Zieliński) from then on until his death in 1944.¹⁷⁹ Although even sceptical scholars such as Hirschkop and Poole seem to acknowledge that Bakhtin attended Zelinskii's lectures, it is difficult to evaluate the influence of this eminent professor.¹⁸⁰ However, most scholars seem to accept his influence as being material to Bakhtin's development. Gregory Nagy, for instance, indicates that Bakhtin's "formation as a student at St Petersburg owes much to the influence of ... Tadeusz Zieliński"¹⁸¹.

Zelinskii's academic pursuits covered a vast range of subjects. Based on the evidence of the Soviet «библиографический указатель»,¹⁸² his «список» of 1909 (covering items from 1883 to 1908),¹⁸³ and Jeffrey Rusten's work on 'Old Comedy',¹⁸⁴ it is clear that Zelinskii wrote on Greek tragedy, satire, epos, and mythology. Also relevant are a number of pieces by Zelinskii on Lucian¹⁸⁵ which must have directed Bakhtin's attention towards Menippean satire. According to Nagy,

¹⁷⁷ Coincidentally, his dissertation is the first publication listed on his *Список* (Kucharski 2011: 99).

¹⁷⁸ Kucharski 2011: 99.

¹⁷⁹ Zieliński 2005.

¹⁸⁰ Nikolaev 2004: 135-136.

¹⁸¹ Nagy 2002: 74.

¹⁸² Воронков 1961.

¹⁸³ Зелинский 1909.

¹⁸⁴ Rusten 2013.

¹⁸⁵ Зелинский, Ф. Ф. 1896, 1915, 1935 (all referenced in Воронков 1961).

“Among classicists, Zieliński is highly regarded for his research in the classicized forms of comedy”.¹⁸⁶ But he also translated Euripides, and wrote books and articles on the Euripidean theatre.¹⁸⁷

Most importantly for this dissertation, in his books on the *Bacchae*¹⁸⁸ he discussed the Dionysian mask at length. He also wrote extensively on Dionysus and interpretations of Dionysus by Nietzsche in his books and articles on Greek religion and translated Dionysian dithyrambs. His view of Nietzsche can be encapsulated in a passage from “Our Debt to Antiquity” that puts Nietzsche forward as a “prophet of antiquity”¹⁸⁹ who is an example of the renewal of interest in the Classical world and its capacity to guide people in the solution of current problems. Thus, the range of interests of this major scholar of Classical antiquity encountered by the young Bakhtin broadly correlates with the latter’s own subsequent work in the field.

The third person whose influence defined Bakhtin classical interest was Lev Pumpyanskii,¹⁹⁰ whom both Bakhtin brothers had known since their days in Vilnius and with whom Mikhail had been in contact right up to the time of his arrest. They would have had little opportunity to meet after that as Bakhtin returned to Moscow from his exile in Kustanai in 1937¹⁹¹ (only to have his leg

¹⁸⁶ Nagy 2002: 74.

¹⁸⁷ With regard to the Zielińskian canon, refer Devine and Stephens 1980: especially 63 and 79.

¹⁸⁸ Воронков, А. И. 1961: 112-113 [items № 2386-2388]; 115-116 [items № 2452-2463]; 114 [item № 2413]; 113 [item № 2398].

¹⁸⁹ Zielinski 1909: 157.

¹⁹⁰ Characterised by Ol'khov as a “remarkable theoretical philologist” (Ol'khov 2014: 9).

¹⁹¹ Дувакин & Бахтин 2002 *Хронограф*: 379; Clark & Holquist 1984: 260-261.

amputated in Savelovo the next year) and Pumpyanskii died in 1940. But during the 1920s Bakhtin and Pumpyanskii continually moved in the same circles, and one of their major foci was Classical civilisation. Like Mikhail's brother Nikolai and Faddei Zelinskii, it is likely that Pumpyanskii saw Classical civilisation through a Nietzschean lens.

The intellectual interdependence of Bakhtin and Pumpyanskii appears to be almost as important for the former's interests in Greek literature as Mikhail's relationship with Nikolai. As mentioned above, Pumpyanskii and the Bakhtin family had a relationship that stretched back to a period between 1905 and 1910, when all were in Vilnius.¹⁹² In 1912, Pumpyanskii entered St Petersburg University, followed by Nikolai in 1913.¹⁹³ And, as has been discussed above, it is more than likely that Mikhail followed in 1916 or thereabouts. Pumpyanskii did two years' military service during the First World War — probably from the beginning of 1916 — mostly in Nevel', where Mikhail joined him in 1918.¹⁹⁴ That year in Nevel' was full of frantic cultural activity, a lot of which was apparently generated by Bakhtin and Pumpyanskii, who presented themselves as specialists on Classical Greece. Bocharov records some of this activity using the evidence of 1918-19 issues of 'The Hammer' («Молот»), the vehicle of the Nevel' Soviet of Workers, Peasants, and Red Army Deputies.¹⁹⁵ In the pages of «Молот» are records of “dozens of occasions” when lectures and reports were given, and debates and musical performances were staged, by a group apparently

¹⁹² Clark & Holquist 1984: 21, Nikolaev 2004: 126.

¹⁹³ Nikolaev 2004: 128.

¹⁹⁴ Nikolaev 2004: 129.

¹⁹⁵ Bocharov & Liapunov 1994: 1021.

led by Bakhtin and Pumpyanskii. This included a stage production of Sophocles' *Oedipus at Colonus*. "The production was directed by the citizens Bakhtin and Pumpyansky, experts on Hellas and Greece".¹⁹⁶

Subsequently, after Pumpyanskii moved to Vitebsk in 1919, Mikhail followed him the next year.¹⁹⁷ In the early 1920s, after their return to Leningrad, both Bakhtin and Pumpyanskii were preoccupied with the rebirth of the Classical tradition in Russian culture.¹⁹⁸ Pumpyanskii was a leading member of the Leningrad circle after Bakhtin's return there in 1924 (Pumpyanskii having returned in 1921).¹⁹⁹ Their relationship can be gauged by the fact that Pumpyanskii's notes on Bakhtin's 1924-1925 cycle of lectures are included in the *Collected Works*.²⁰⁰ The fact that they moved in the same circles is confirmed by Pumpyanskii's temporary arrest in November 1928 in the drag-net associated with membership of Voskresenie.²⁰¹

As Nikolai Nikolaev (a leading expert on Pumpyanskii) stated, Bakhtin's methodological approach in *ФВхр* echoes Pumpyanskii's transformation of the idea of the Third Renaissance into "a methodological principle for the study of Russian literature from the eighteenth to the early twentieth centuries".²⁰² This was based on Pumpyanskii's theory of classicism in Russian literature

¹⁹⁶ Bocharov & Liapunov 1994: 1021.

¹⁹⁷ Clark & Holquist 1984: 45.

¹⁹⁸ Brandist 2002: 31.

¹⁹⁹ Clark & Holquist 1984: 95.

²⁰⁰ Бахтин 2003 [*ЛекММБ*]: 326-342.

²⁰¹ From *Знамености: ПУМПЯНСКИЙ Лев Васильевич* (dic.academic.ru 2010. <http://persona.rin.ru/cgi-bin/rus/view.pl?id=26014&a=f&idr=3>).

²⁰² Nikolaev 2004: 136.

based on the assumption that the “Russian classical literary tradition’ ... formed a paradigm for Russian historical consciousness in general”.²⁰³ On the basis of both shared concerns and a common methodological approach, Pumpyanskii seems to have had a significant impact on the development of Bakhtin’s ideas on Classical writers.

Apart from people Bakhtin met in his formative years, his perception of Classical activity was shaped to a greater extent by literary texts, especially those of the Russian Symbolists. The first wave of the movement was also strongly influenced by Nietzsche. Bernice Glatzer Rosenthal states that “for the Symbolists, the key Nietzsche text was *The Birth of Tragedy*. They were dazzled by Nietzsche’s aesthetic justification of the world and human existence, his celebration of the Dionysian, and his belief that myth is essential to the health of a culture”.²⁰⁴

Although the ways in which Bakhtin was introduced to the Classics varied widely, what they all had in common was their vision of Greek culture through a Nietzschean lens. From a general perspective, Nietzsche’s influence on Russian thought is often seen as too pervasive and complex to track with any accuracy, stretching as it does from the philosophy of Vladimir Solovyov and two generations of Russian Symbolists (represented by Merezhkovskii and Ivanov) to Bolshevik ideologues such as Bogdanov and Lunacharsky.²⁰⁵ As Rosenthal comments: “Strictly speaking,

²⁰³ Clark & Holquist 1984: 110.

²⁰⁴ Rosenthal 1998: §1.

²⁰⁵ Rosenthal 1998 *Nietzsche*: §§1-3; Behler 1996: 291. “Unacknowledged Nietzschean ideas (ideas mediated by Nietzsche’s Russian popularizers) helped shape Soviet literature and culture, including political culture, in ways too numerous and complex to be detailed here.” (Rosenthal 1998: §5).

Nietzsche had no Russian disciples. Rather, his ideas fructified various literary and artistic schools, religious philosophy²⁰⁶ and Bolshevik political culture²⁰⁷. This is certainly true of his influence on Bakhtin, where the effect appears to have been cumulative.

There are a number of references to Nietzsche in Bakhtin's work, but these are largely confined to Bakhtin's early texts (four in Volume 1 of the *Collected Works*, thirteen in Volume 2, five in Volume 3). There appear to be two reasons for this reduction: firstly, Symbolism²⁰⁸ (which was one of the main conduits for Nietzschean thought) provoked a strong reaction from the Russian Formalists in the later 1920s. And secondly, the political climate in Russia increasingly precluded the mention of someone so ideologically suspect.²⁰⁹ However, absence of mention did not indicate absence of influence²¹⁰ and the following volumes of the *Collected Works* contain the occasional reference, largely hidden in the footnotes of published works (Volume 4-II),²¹¹ as an innocent adjective (Volume 5),²¹² and in working notes (Volume 6).²¹³ There is no mention at all of Nietzsche in Volume 4-I, which contains the 1940 version of Bakhtin's Candidate's dissertation *Франсуа Рабле*

²⁰⁶ Rosenthal's choice of words is instructive here. Ol'khov makes a nice but perceptive general distinction between the philosophy of religion and 'religious philosophy' in connection with Bakhtin's lectures of the mid-1920s (Ol'khov 2014: 9). This seems to me to be analogous to the distinction between spirituality and religiosity that this dissertation seeks to make. Bakhtin's domain of interest was in the philosophy of religion, and on this basis his inclination appears to be spiritual rather than religious (in the sense of organized religion).

²⁰⁷ Rosenthal 1998 *Nietzsche*: 51.

²⁰⁸ Refer to Shklovsky 1990: 2-3 and Erlich 1980: 71-72.

²⁰⁹ Refer to Groys 1991, cited in Kujundžić 1997: 11.

²¹⁰ Kujundžić 1997: 11.

²¹¹ БАХТИН 2010 [ТФР]: 133.

²¹² БАХТИН 1997 [О Флобере]: 135.

²¹³ БАХТИН 2002 [РЗ:60-70]: 400.

в истории реализма [ФРИР], defended in 1946.²¹⁴ Even while Bakhtin avoids explicit mention of Nietzsche, his allusions to Nietzsche have been aptly analysed by his commentators.²¹⁵ The commentators' emphasis on Nietzsche favours the early — more overtly philosophical — works, the exception being the commentary on a wide variety of Bakhtin's works of the 1940s to early 1960s in Volume 5. The references in this volume appear to be citations of Nietzsche's works, for the most part.

Looking in detail at the few references to Nietzsche in Volume 1 of Bakhtin's *Collected Works*, the mentions of the philosopher in the texts of КФП, АИГ and *К вопросам методологии эстетики словесного творчества* [КВМЭ] are made within a general philosophical context.²¹⁶ However, at certain points of the commentary in Volume 1, Nietzsche is tightly linked to both Dionysus²¹⁷ and Bakhtin, with the most revealing comment being that «Ф. Ницше ... был, по всей видимости, одним из главных внутренних собеседников М.М.Б.».²¹⁸ A lack of any but the sparsest and most general commentary on this topic would seem to indicate that the commentators believed that this influence had been fully internalised by Bakhtin.

²¹⁴ Пан'ков 1998, 1999.

²¹⁵ In the respective volumes instances occur on occasions numbering 73 (in Volume 1), 24 (in Volume 2), 2 (in Volume 3), 0 (in Volume 4-I), 9 (in Volume 4-II), 43 (in Volume 5), and 1 (in Volume 6). In these cases, the constraints are content- and milieu-related, rather than ideological.

²¹⁶ This context embraces general concepts such as lyrical quotations from Nietzsche (Бахтин 2003 [КФП]: 30), references to Nietzschean pathos (Бахтин 2003 [КФП]: 46), and Nietzsche mentioned in company with other philosophers (Бахтин 2003 [КВМЭ]: 280).

²¹⁷ Бахтин 2003 [Commentary КФП]: 455.

²¹⁸ 'F. Nietzsche was ... to all appearances, one of M.M.B.'s main internal interlocutors.' (Бахтин 2003 [Commentary КФП]: 484). This comment can probably be attributed to N. I. Nikolaev, the co-editor of the volume.

In Volume 2, the mentions in Bakhtin's text are concentrated in those sections of Mirkina's notes on Bakhtin's lectures on literature (*Записи лекций по истории русской литературы* [ЗЛИРЛ]) which are devoted to the Symbolists,²¹⁹ with occasional mentions in connection with Mayakovsky and Ivanov. The commentary is similarly general. In Volume 3, Bakhtin's references to Nietzsche are confined to innocent adjectival uses²²⁰ unlikely to offend the authorities. As mentioned above, his references in subsequent volumes are insignificant.

* * *

Ken Hirschkop has sagely observed that “[n]o piece of biographical information, no letter, no edition or reminiscence appears which does not play a part in a campaign for Bakhtin's reputation, however purely intentioned the provider or scholar”.²²¹ And nowhere is this comment more apposite than in respect of Bakhtin's supposed ideological leanings. Depending on the academic's point of view, the perception of Bakhtin's world-view ranges from that of a fully-fledged Marxist to that of a committed Orthodox believer. The perception of Bakhtin's position along this spectrum is closely linked both with the issue of the authorship of the 'disputed texts' and the causes of Bakhtin's arrest in 1929.

There are conflicting positions with regard to Bakhtin's ideological orientation. While Hirschkop sees Bakhtin primarily as a Neo-Kantian philosopher, Clarke and Holquist underline his

²¹⁹ Бахтин 2000 [ЗЛИРЛ]: 291-294.

²²⁰ Бахтин 2012 [СвР]: 44, 145; [КРв]: 191; Бахтин 2012 [Фехр]: 364, 488.

²²¹ Hirschkop 1999: 115.

religious commitment. Clark and Holquist's chapter on Bakhtin's 'religious activities' seems to be built mainly on circumstantial evidence that gets thinner as the chapter progresses.²²² Indeed, they devote the whole of Chapter 5 of their biography to 'Religious Activities and the Arrest', despite the fact that their account specifies that the charge that connected him with a religious organization was later dropped.²²³ There was certainly a regeneration of religious interest and debate in the years immediately before the October Revolution and those following it. Clark and Holquist follow the rise and fall of the Religious-Philosophical Society, Voskresenie, the Brotherhood of Divine Wisdom (Saint Sophia), Volfila, the Petrograd Theological Institute, and the Brotherhood of Saint Seraphim.²²⁴ During the 1920s, all these organisations were progressively shut down or outlawed, starting in 1921 – 1923 with those that were formally constituted, eventually followed by the more informal and — from the authorities' point of view — more insidious, organisations in 1928 – 1929.²²⁵

Indeed, the nature and strength of Bakhtin's religious affiliations become problematic once one starts to try to quantify them. Whilst it is clear that Bakhtin attended a large number of meetings in the period 1916 – 1928, there are no indications that he was a 'registered' member of

²²² Ruth Coates' observation confirms this, viz. that Clark and Holquist place Bakhtin "in his historical context in such a way as to suggest he had definite connections with trends of thought, even specific organisations, when in fact there is no hard evidence that he did" (Coates 1998: 2-3).

²²³ Clark & Holquist 1984: 142.

²²⁴ In the order of their foundation: 1916, 1917, 1918, 1918-1919, 1920, and 1926 respectively (Clark & Holquist 1984: 124-129; 132).

²²⁵ Clark & Holquist 1984: 130-140.

any one of the abovementioned organizations.²²⁶ That being said, his interest in religion and the philosophy of religion was intense, as can be seen from the deep scriptural knowledge shown in the preface to Tolstoy's *Resurrection*.²²⁷ But in a manner parallel to his strategy of appearing to be fully credentialed at university, Bakhtin managed to take on the colouration of his environment without completely committing to his surroundings. And he managed to do so without truly being identified with the institutions whose meetings he attended, irrespective of any religious feelings he may have felt, and masked.

As a consequence of this strategy (and in stark contrast to Clark and Holquist's catalogue of connections), the only accusations that appeared to have 'stuck' to Bakhtin were the Socratic charge of 'corrupting youth' and his appearance on a list — published by emigrés in Paris — of members of a putative anti-Communist Russian government.²²⁸ In fact, the only charge of membership of a religious organisation (that of the Brotherhood) was dropped after his arrest — surely an indication that this level of affiliation was not provable irrespective of its probability.²²⁹

Both Bocharov and Kozhinov in their respective reminiscences trace Bakhtin's religious views to his deep engagement with Dostoevsky.²³⁰ In addition, Bocharov emphasizes his long-term

²²⁶ Fortunately, in the case of Saint Seraphim (Clark & Holquist 1984: 142).

²²⁷ Shukman 1989: 146.

²²⁸ Clark & Holquist 1984: 142.

²²⁹ Acknowledged in Clark & Holquist 1984: 133.

²³⁰ Bocharov & Liapunov 1994: 1012; Rzhnevsky 1994: 437.

relationship with A. A. Meier,²³¹ a pre-eminent member of both Voskresenie and Volfila.²³²

However, Meier is portrayed by Bakhtin himself as a ci-devant Social Democrat turned social idealist, of German birth, who taught history at the «Институт имени П. Ф. Лесгафта», an institute devoted to sport.²³³ Very charismatic, according to Bakhtin's description, Meier adopted a stridently revolutionary position,²³⁴ which Bakhtin did not support.²³⁵ Meier did not count himself a Bolshevik, according to Bakhtin, but after the Religious-Philosophical Society became defunct he put together his own religious circle, which was intended to attract young people by appealing to their progressive attitudes. However, in Bakhtin's opinion that was a very naïve approach.²³⁶ Meier had a difficult time when his nonviolent character²³⁷ confronted revolutionary violence.

Bakhtin's last words also attract the attention of Kozhinov, and Clark and Holquist.

Kozhinov provides a second-hand report of Bakhtin as saying "Lenochka, I go to you"²³⁸ and thus uses Bakhtin's last words as a definite confirmation of his religious beliefs. However, Clark and Holquist quote Bakhtin's final words (from the same source) as "I go to thee" and consider the

²³¹ Vocharov & Liapunov 1994: 1020.

²³² Clark & Holquist 1984: 126.

²³³ Дувакин & Бахтин 2002: 100-101.

²³⁴ «Он занимал самые резкие, радикальные позиции» (Дувакин & Бахтин 2002: 101).

²³⁵ Coates 1999: 7.

²³⁶ Дувакин & Бахтин 2002: 102.

²³⁷ «[Он] был добрейший, чистейший человек, который, конечно, мухи никогда не обидел» (Дувакин & Бахтин 2002: 102).

²³⁸ "[VK:] He died in the middle of the night ... [the next morning] his nurse ... told me that immediately before his death he said 'Lenochka, I go to you.' He used to address his wife with that tender diminutive. For me this is another confirmation that he was a deeply religious person" (Rzhevsky 1994: 434).

words ambiguous at best.²³⁹ Whilst the weight of scholarly opinion supports both of these reports as being indicative of Bakhtin's religious feeling, some scholars have noted his reticence on these matters.²⁴⁰ To paraphrase Bocharov in another context: testimony exists, but no proof.²⁴¹ All of these reminiscences and reconstructions merely serve to reinforce the equivocal nature of contemporary evidence of Bakhtin's leanings in the 1920s.

Other inconsistencies appear in the Clark and Holquist account, which has an approach that portrays Bakhtin as religious rather than Marxist, implying that both positions are mutually exclusive. This assumes that degrees of Marxism and religiosity are impossible and precludes the possibility of any degree of reconciliation between a Marxist worldview and Christianity. This appears to be an oversimplification as A. A. Meier (mentioned above) was both 'a very tough Marxist' and the founder of Voskresenie, as well as someone whom Bakhtin would "seek ... out sporadically for dialogue until the end of Meier's life".²⁴² Bakhtin's actions in this case do not appear to be those of a person with a monolithic view of religion (or Marxism, for that matter).²⁴³ The connection between Bakhtin and the Josephite schism via Professor Scherbov²⁴⁴ also stretches credulity as there is no documentary evidence adduced to support this assertion.

²³⁹ The two interpretations they propose are 'going to God' or 'rejoining his wife' (Clark & Holquist 1984: 343).

²⁴⁰ As Isupov notes in relation to his writings on the novel "Bakhtin was tactful in matters of religion" (Isupov 2014: 31). This extended to the way in which he conducted his life.

²⁴¹ Bocharov & Liapunov 1994: 1014; Hirschkop 1998 581 and, in more detail, Hirschkop 1999: 126-140.

²⁴² Clark & Holquist 1984: 126.

²⁴³ As Shukman points out, "as with anything to do with Bakhtin, categories are dangerous" (Shukman 1984: 242).

²⁴⁴ Clark & Holquist 1984: 139.

Nevertheless, those of his contemporaries who considered that Bakhtin was a religious man included one of his adversaries (Shklovsky), his interviewer (Duvakin),²⁴⁵ his younger contemporaries (Bocharov and Kozhinov), and a number of influential Anglophone Bakhtin scholars (Clark and Holquist, and Emerson). In a 1978 interview with Clark and Holquist, Shklovsky referred to Bakhtin as a «ЦЕРКОВНИК»²⁴⁶ who was “ideologically committed to the church”.²⁴⁷

In his article ‘Kozhinov on Bakhtin’, Rzhnevsky’s discussion with Kozhinov on the topic of Bakhtin’s religious views is a little confused. Kozhinov’s statement “[VK:] I have absolutely no doubt ... that Mikhail Mikhailovich was a deeply religious person” is qualified by “I cannot say that Bakhtin observed some sort of church rituals” and “I understand that his religious convictions were apparently noncanonical”.²⁴⁸ Despite this, Kozhinov is confident that “he wished his funeral to be a church service and an Orthodox service”.²⁴⁹ Whilst Bakhtin’s funeral did indeed involve a religious service, this wish may well have been moderated by the ambivalence with which he regarded organized religion.

The ‘non-canonical’ character of Bakhtin’s religious views is hardly surprising given his connections with Symbolist culture through his brother Nikolai. Merezhkovskii (whose *The Death*

²⁴⁵ Duvakin is included in this list because, although Bakhtin speaks in the Duvakin interviews, Duvakin had the power to edit those interviews as he saw fit.

²⁴⁶ Clark & Holquist 1984: 370 note 1.

²⁴⁷ Clark & Holquist 1984: 120.

²⁴⁸ Piskunova makes an interesting comment on Kozhinov’s reliability when she characterises his book *The origins of the Novel* as “a very lively and very contentious book (not least in terms of its probative value)” (Piskunova 2014: 61).

²⁴⁹ Rzhnevsky 1994: 434.

of the Gods: *Julian the Apostate* was read by Nikolai Bakhtin early in his youth) had focused on sex, holy flesh and the problem of social justice.²⁵⁰ This was reinforced by Merezhkovskii's claim that the church overestimated "asceticism and bodiless spirituality".²⁵¹ Even more interesting is Bakhtin's appreciation of Rozanov. When asked by Bocharov and Kozhinov what philosophy to read, Bakhtin "did not mention any twentieth-century philosophers. He gave us only one name, that of a man who could be called a philosopher, but of a peculiar kind: '[MMB:] Read Rozanov'".²⁵² It is instructive that Bakhtin's one recommendation is a thinker who was both idiosyncratic and somewhat duplicitous, and whose "books and articles are largely taken up with criticism of Christianity" and who was constantly preoccupied with the issue of sexuality.²⁵³ Thus, Bakhtin's later theory of carnival with its attention to the 'bodily lower stratum' could be more deeply rooted in literary and philosophical culture of his youth than is usually assumed.

By contrast to Clark and Holquist's treatment, Hirschkop's major ideological concern is that of neo-Kantianism, which he considers central to Bakhtin's project.²⁵⁴ This is based not only on his assessment of Aleksandr Vvedenskii's influence,²⁵⁵ but also on the continuing influence of Kagan²⁵⁶ (from Mikhail's days in Nevel') and, later on, that of Cassirer.²⁵⁷ Bakhtin was very interested in Kant

²⁵⁰ Lossky 1952: 338.

²⁵¹ Lossky 1952: 339.

²⁵² Bocharov & Liapunov 1994: 1019.

²⁵³ Lossky 1952: 343.

²⁵⁴ Hirschkop 1999: 143.

²⁵⁵ Hirschkop 1999: 141; supported by Дувакин & Бахтин 2002: 63; see note 290.

²⁵⁶ Hirschkop 1999: 142; supported by Пуль, Б. 1995; see note 290.

²⁵⁷ Hirschkop 1999: 142; supported by Poole 1998 and Дувакин & Бахтин 2002: 48.

and was acquainted with his works early on in his life.²⁵⁸ This interest continued for more than a decade, so that he could describe himself (at Duvakin's prompting) as being a conspicuous Kantian in Leningrad in 1924.²⁵⁹ And by 1924 the balance had clearly tipped towards neo-Kantianism, if the effort devoted to it in his lectures is any indication.²⁶⁰ For all Hirschkop's emphasis on philosophy at the expense of religion, he retains a balanced viewpoint overall: "Whether Bakhtin constructed a socio-cultural edifice for which religion was then mere scaffolding is a question which only interpretation can settle: his work tries to maintain ground in both camps".²⁶¹ One construal of Bakhtin's approach to religion is that he concerned himself with the philosophy of religion, rather than 'religious philosophy'.²⁶²

Thus the character of Bakhtin's ideological affiliations is still unclear and, like other aspects of his life, may never be determined. The scholar is thus left with an option of treating Bakhtin's presentation of his ideology as just another carapace, consciously disguising any deeply-held feelings under a mask that varied according to contemporary orthodoxy. His avoidance of formal membership of any organisation made any ideology deniable.

²⁵⁸ «Канта я очень рано знал, его «Критику чистого разума» очень рано начал читать. ... по-немецки читал.» (Дувакин & Бахтин 2002: 41).

²⁵⁹ «Д: И Вы позволяли себе роскошь ... в Ленинграде 24-го года выступать с философскими лекциями как кантианец?

Б: Как кантианец» (Дувакин & Бахтин 2002: 163).

²⁶⁰ Hirschkop indicates that in 1924 Bakhtin gave nine lectures on Kant and Neo-Kantianism and one on the philosophy of religion (Hirschkop 1999: 160).

²⁶¹ Hirschkop 1999: 193.

²⁶² Refer note 206.

Flux could be said to be a key characteristic of Bakhtin's life in the 1920s and 1930s, prior to, and for up to a decade after, his arrest. He moved from Petrograd to Nevel' (in the early summer of 1918) and Vitebsk (in the autumn of 1920), then back to Leningrad (in May 1924).²⁶³ All these movements in the period before 1929 were driven both by material considerations and the quest for an environment where he could follow his intellectual pursuits.²⁶⁴ From his arrest in 1929 onwards, his movements were at the whim of impersonal yet malevolent forces: his exile in Kustanai from 1930 to 1936,²⁶⁵ a brief but highly productive stint of teaching at the Mordovia Pedagogical Institute in Saransk,²⁶⁶ cut short by political pressures and, via Kustanai again, his decade of unemployment in Savelovo,²⁶⁷ prior to his return to Saransk in 1945.²⁶⁸

During that period Bakhtin developed significant ambivalence towards any kind of ideology. Whereas in Nevel' and Vitebsk, he may well have been "out of step with his age" («несозвучен эпохе»)²⁶⁹ insofar as he engaged in friendly debates with local Marxists,²⁷⁰ he gradually realigned himself to the extent that, in 1929 after his arrest,²⁷¹ he had written two apparently conformist

²⁶³ Дувакин & Бахтин 2002 *Хронограф*: 374-375.

²⁶⁴ Clark & Holquist 1984 *Chapters 2 & 4*.

²⁶⁵ Clark & Holquist 1984: 253-258.

²⁶⁶ Clark & Holquist 1984: 258-260.

²⁶⁷ Clark & Holquist 1984: 260-263, 321.

²⁶⁸ Clark & Holquist 1984: 321.

²⁶⁹ Clark & Holquist 1984: 38.

²⁷⁰ Clark & Holquist 1984: 43.

²⁷¹ Bakhtin was arrested on 7 January 1929 (Clark & Holquist 1984, 142), and the preface for Tolstoy's *Resurrection* was written in April of that year (Дувакин & Бахтин 2002 *Хронограф*: 377).

pieces on Tolstoy. But Ann Shukman's analysis of the Tolstoy prefaces²⁷² has detected a 'heteroglot insertion' into the preface to *Resurrection*²⁷³ consisting of interpolations of anomalous references to the Gospels.

In addition to these references, one can see a marker that signals one of Bakhtin's performative shifts in the text ahead: "This is not the place to consider Tolstoy's socioethical and religious world view. Thus we will touch upon the content of the thesis in a few words only".²⁷⁴ This is, of course, followed by the extremely important 'heteroglot intrusion', consisting of one paragraph devoted to Nekhlyudov's reading of the gospel texts. Shukman notes several 'curious features' of Bakhtin's commentary: firstly, that it omits significant points in Nekhlyudov's reading of the gospel, largely concerned with guilt and forgiveness. Secondly, Bakhtin's rephrasing of Nekhlyudov's reading of the parable of the vineyard significantly alters the original emphasis given to the passage by Tolstoy. And lastly, Bakhtin elides references to the gospels of Matthew and Luke, thus adding references to the "inner 'I'" and the "Kingdom of God which is within us"²⁷⁵ which are conspicuously absent from Tolstoy's text. As Shukman suggests, this "idiosyncratic summary" appears to be "the sudden intrusion of 'another voice' into the sustained sociological-Marxist tenor of the preface as a whole".²⁷⁶ The fact that it is framed in terms that relate to identity

²⁷² «Толстой-драматург. Предисловие» and «Идеологический роман Л. Н. Толстого. Предисловие» (Бахтин 2000 [Т-Д]: 176-184; [ИрТ] 185-204) translated by Caryl Emerson (Bakhtin 1989).

²⁷³ Shukman 1989: 146.

²⁷⁴ Refer Bakhtin 1989: 254. This is a similar misdirection to that which occurs in ФВхр, cited below in Chapter Three, pages 206-209.

²⁷⁵ Bakhtin 1989: 254.

²⁷⁶ Shukman 1989: 146.

also appears to me to be more significant than its religious content, which would be accessible to any person who was well-schooled in Eastern Orthodoxy prior to the Revolution. On this basis, one can conclude that Bakhtin, while more worldly, is watchfully unfettered as to his treatment of literature.

At the other end of the spectrum, there is no evidence that Bakhtin experienced a Marxist-Leninist epiphany during the years that separated Nevel' and Saransk, despite the fact that members of his circle had published books based on Marxist ideology. While in Nevel', Bakhtin and his circle thought nothing of exposing their thoughts to public scrutiny. In 1918 – 1919 the group engaged in lectures, debates and concerts, all duly reported in «Молот», the Nevel Soviet newspaper referred to earlier in this chapter.²⁷⁷ Bocharov specifically quotes from one article that appeared in December 1918 about a debate on “God and socialism” where Bakhtin and Pumpyanskii appeared on the side of the theists.²⁷⁸ A decade later, this event would have involved a great deal more risk for the speakers.

His experience of arrest and exile, followed by another narrow escape during the 1937 tail end of the Great Purge (referred to by Bakhtin as a “big scrape”²⁷⁹) had impressed on him the necessity for even more prudence in the public sphere. In 1937 he delivered lectures on “Lenin and Stalin on Party-Mindedness in Literature and Art” to the Evening University of Marxism-Leninism

²⁷⁷ Bocharov & Liapunov 1994: 1021.

²⁷⁸ For the texts of the article, see Bocharov & Liapunov 1994: 1021-1022.

²⁷⁹ Clark & Holquist 1984: 260.

in Saransk.²⁸⁰ However, in his later conversations with Sergei Bocharov, Bakhtin always maintained that he was not a Marxist:

“[MMB on 9 June 1970:] But I am not a Marxist,” he added, “[SB:] so that we would know immediately with whom we were dealing. Later, on 21 November 1974, I asked, “[SB:] M. M., were you ever fascinated with Marxism?” “[MMB:] No, never. I took an interest in it, as in much else — Freudianism, even spiritualism. But I was never a Marxist to any degree whatsoever”.²⁸¹

These sentiments were echoed by Vadim Kozhinov:

“[VK:] One of his first confidences when I met him was ‘You should know I am not a Marxist, no, not a Marxist’.”²⁸²

Kozhinov adduced as further proof of Bakhtin’s ideological position the recollection that Bakhtin in his house refused to keep a book written by his brother Nikolai, once Mikhail found out that his brother had become a devotee of Stalin.²⁸³

* * *

Much is made of Bakhtin’s ‘legendary erudition’. In the context in which Bakhtin researched, thought, and wrote, the mask of a reputation for unfathomable erudition would have been an extremely useful tool for academic self-defence. In connection with Bakhtin’s ‘legendary erudition’ and his ‘original analysis of primary sources’, Clark and Holquist understandably accept the implication that Bakhtin had read all the Classical and medieval sources to which he referred.

²⁸⁰ Clark & Holquist 1984: 260.

²⁸¹ Bocharov & Liapunov 1994: 1016.

²⁸² Rzhnevsky 1994: 432.

²⁸³ Rzhnevsky 1994: 438.

As in the other cases detailed above, Hirschkop (with the benefit of the fifteen years of scholarship which separate his work from that of Clark and Holquist) is more sceptical. But Hirschkop is just one of several scholars who believe that this characterisation needs to be closely examined, for a number of reasons. Firstly, Clark and Holquist made an assessment that, while in Savelovo, Bakhtin had an endless stream of books available to him through a friend who had borrowing rights at the Leningrad library.²⁸⁴ This assessment has been contested by Brian Poole, who maintains that Bakhtin *himself* “propagated the story that his friend Ivan Kanaev, who held a senior post at the library in Leningrad, sent cartons of books to him in exile, beginning in the late 1930s during the Stalinist purges and continuing through the blockade of Leningrad”²⁸⁵. Poole believes this to be unrealistic, in view of the severity of that blockade.

In the second place, there are indications that not all of the text and references that appear in Bakhtin’s work are based on ‘original’ analysis of primary sources. Berrong is sceptical about Bakhtin’s referencing,²⁸⁶ and Poole has revealed that approximately ten pages of Ernst Cassirer’s *Individuum und Kosmos*²⁸⁷ are included in Bakhtin’s *Rabelais* book without citation.²⁸⁸ Poole gives a detailed analysis of half a page as a sample, observing wryly that “Bakhtin's translation is so

²⁸⁴ Clark & Holquist 1984: 262-263.

²⁸⁵ Poole 1998: 568.

²⁸⁶ “Bakhtin indicates very few primary sources, and one often has the impression that his ‘medieval and Renaissance popular culture’ is largely an amalgamation of Goethe’s notes on an eighteenth century Venetian carnival and Bakhtin’s own preconception of what that popular culture should have been.” Berrong 1986: 128-129 note 11.

²⁸⁷ Bakhtin mentions him warmly in his conversations with Duvakin (Дувакин & Бахтин 2002: 48, 261, 312; see also notes 31 (325) and 10 (364)).

²⁸⁸ Poole 1998: 572 note 26.

accurate that it is indeed possible in places to correct the errors of the Russian-English translation by using Cassirer's text".²⁸⁹ Cassirer was part of a nexus of Neo-Kantian influences on Bakhtin's early thought that included Aleksandr Vvedenskii and Matvei Kagan.²⁹⁰

As a result of this analysis Poole calls into question scholarly assumptions about Bakhtin's sources, particularly primary sources, that extend right across his oeuvre.²⁹¹ In addition, Piskunova makes the point that such borrowings from German scholars may have skewed Bakhtin's approach to various genres, specifically the picaresque novel.²⁹² And even the editors of Volume 5 of the *Collected Works* imply that there are issues in this area²⁹³. These implications become tangible when

²⁸⁹ Poole 1998: 543.

²⁹⁰ Vvedenskii was the leading neo-Kantian of his time, and also a professor at St Petersburg University from 1890 until his death in 1925 (Lossky 1952: 163-166; Losskii also discusses Vvedenskii's colleague I. I. Lapshin as a major contributor to neo-Kantianism in Russia in Lossky 1952: 166-170). Despite Bakhtin's inclusion of Vvedenskii in his enumeration of influential people in his intellectual development (Дувакин & Бахтин 2002: 63; 327 note 9), his influence is even harder to trace than that of Zelinskii. This is firstly because Neo-Kantianism, of which Vvedenskii was the most prominent proponent, was already a vital influence in Russian philosophical circles, and secondly due to the presence in Nevel' of Matvei Kagan, Bakhtin's "close friend and intellectual colleague" (Hirschkop 1999: 142), who "did most to fill the intellectual and personal gap left by the departure of Nikolai" (Clark & Holquist: 41). There is such a short interval between Bakhtin's removal from Vvedenskii's influence in Petrograd and his meeting with Kagan, who studied with the Marburg School, that the influences of both are very hard to disentangle.

²⁹¹ "Bakhtin's use of Cassirer lends urgency to the question of his sources in all his texts, notably, those instances where substantial portions of Bakhtin's published work are based upon German secondary literature." Poole 1998: 568.

²⁹² Piskunova identifies Griftsov as the source for Bakhtin's view of the picaresque (Piskunova 2014: 56)

²⁹³ «1. М.М.Б. передает греческие имена в системе Эразма Роттердамского, основанной на латинской транслитерации: например, 'элленистический', 'Эвсебий' (то есть η → е, β → б) вместо 'эллинистический', 'Евсевий' (то есть η → и, β → в), как предписывают правила русского языка, зафиксировавшие в этих словах византийский способ транслитерации, связанный на Западе с именем Иоганна Рейхлина. Возможно, здесь сказалось влияние немецких источников, предпочтение которых очевидно, а также желание упорядочить передачу греческих слов в научном языке; во всяком случае М.М.Б. следует этому правилу регулярно не только в комментируемой статье, но и в других работах» (Бахтин 1997 [Commentary]: 407 n1). Hirschkop translates the italicised portion (emphasis added to the original) as 'It is possible that this reflects the influence of German sources — for which there is a clear preference — and similarly the wish

one reviews the Misch «КОНСПЕКТ» of *Geschichte der Autobiographie* in the light of Bakhtin's analysis of Classical biography in ФВХр.²⁹⁴ That being said, Hirschkop notes that evidence exists that citations of some secondary sources have been excised from even the most recently published texts²⁹⁵. However, the scepticism of these scholars should be clearly differentiated from the lampoon produced by Bronckart and Bota — *Bakhtine Démasqué* — which has been so ably critiqued by Sergey Zenkin.²⁹⁶

Even Bakhtin's manuscripts are surrounded by myth, the prime example being the magnificent story that describes the lingering death of the manuscript of *The Novel of Education and its Significance in the History of Realism* recounted by Clark and Holquist. This narrative describes the acceptance of the book by the 'Soviet Writer' publishing house, the intervention of the Great Patriotic War which prevented publication, and the destruction of the publisher's copy of the manuscript. Legend has it that "Bakhtin used much of his remaining copy for tobacco paper, which was then in short supply".²⁹⁷ It is believed that this narrative originally appeared in Kozhinov's «Как пишут труды...»,²⁹⁸ and was confirmed by Bocharov in the following manner:

to regulate in the proper manner the transliteration of Greek words into scholarly language...' (Hirschkop 1999 *Bakhtin Myths and Bakhtin History: note 6*).

²⁹⁴ Бахтин 2008 [Commentary]: 859 ff; see also Hirschkop 2015: 134-135.

²⁹⁵ Hirschkop 1999: 123-124 and, even more importantly, Hirschkop 2015 133: "The excision of the preface and epilogue was motivated by the desire to separate Bakhtin from mere Soviet circumstances ['ideological camouflage']; the exclusion of the footnotes follow a disturbing pattern — the ones left out refer to German (and often German-Jewish) scholars."

²⁹⁶ Zenkine 2011.

²⁹⁷ Clark & Holquist 1984: 273.

²⁹⁸ Кожинов 1992.

“[SB:] I heard from Bakhtin himself the anecdote that during the war he smoked the entire typescript of his book [on the *Bildungsroman*]. The thin paper was perfect for rolling cigarettes (he had counted on the copy with the publisher, but it was lost, and so was the book).”²⁹⁹

Hirschkop’s scepticism mentioned above also applies to Bakhtin’s ‘cavalier treatment’ of the *Bildungsroman* manuscript. The remnants of this text — included in the last volume of the Collected Works published in 2012 — appear to indicate that Poole’s suspicions that there was “no evidence that a book on the *Bildungsroman* was ever completed or sent to press”³⁰⁰ were well-founded.

There are a number of ways of explaining this story and accounting for Bakhtin’s reasons for creating and perpetuating the myth. A number of ends are achieved by this one story: at a superficial level it appears to indicate three things: Bakhtin’s insouciance in the face of deprivation (he was a chain smoker), his priorities of creature comforts over his scholarly activities (signifying an attitude of self-deprecation), and thus a level of indifference to his own work and reputation.

At a deeper level, this mask accounts for more fundamental issues: the paucity of Bakhtin’s output at that time and its fragmentary nature. The mask specifically addresses the shortfall between the intention of the great work on the *Bildungsroman* and its execution. The prospectus for this project not only covers the part on Goethe (which was completed), but also XIXth and early XXth century literature up to and including Gorky and socialist realism (which was not).³⁰¹ Like

²⁹⁹ Bocharov & Liapunov 1994: 1022.

³⁰⁰ Hirschkop 1999: 113, based on a personal communication by Brian Poole to that author on 13 August 1997.

³⁰¹ Бахтин 2012 [КРВ]: 181.

many of Bakhtin's projects, that on the *Bildungsroman* remained incomplete and I suggest that the 'manuscript used as cigarette paper' story served as a useful cover for the non-appearance of a piece that Bakhtin had abandoned in the process of composition or, indeed, had no intention of ever writing.

Much ink has been spilled on the authorship of the 'disputed texts',³⁰² about which there have been many discussions, often quite heated. This dissertation will not engage in any discussion of the points for and against authorship of these works by Bakhtin as opposed to Voloshinov, Medvedev or Kanaev. However, this issue is important to the arguments in this dissertation insofar as it indicates another area of uncertainty, where Bakhtin can be seen to be creating — or at the very least encouraging and perpetuating — another series of myths about his life and work. Bocharov summed the situation up aptly when he said: "There is plenty of testimony from witnesses, but we have no proof and most likely will have none".³⁰³

Bakhtin obviously enjoyed cooperative work. This cooperation is particularly evident in the activities of the 'Bakhtin Circle' in Vitebsk, Nevel' and Leningrad,³⁰⁴ where there was a free flow of thought between members, accompanied by heavy intellectual interdependence. Indeed, this

³⁰² Clark & Holquist 1984: 146-170 and Hirschkop 1999: 126-140 are both representative and even-handed, although the former do occasionally lapse into an assumption that all the works can be credited to Bakhtin, viz. "During this brief interlude [1924-1929] he completed four major books, on Freud, the Russian Formalists, the philosophy of language, and the Dostoevskian novel" (Clark & Holquist 1984: 95). Three of the four texts mentioned are 'disputed'. For a detailed, definitive discussion see Алпатов 2005: 94-118. His conclusion is that it is impossible to determine whether Bakhtin authored these texts or not.

³⁰³ Bocharov & Liapunov 1994: 1014; Hirschkop 1998 581 and, in more detail, Hirschkop 1999: 126-140.

³⁰⁴ Brandist 'The Bakhtin Circle', IEP (<http://www.iep.utm.edu/bakhtin/>) [retrieved 2-Jun-2014]

interdependence is theorised by Bakhtin in the concept of *heteroglossia*. Although Bakhtin initially applied this construct to the novel, it is my contention that it can also be applied to his scholarship, in an analogous way to the expansion of the chronotope from a literary application to that of lived experience.³⁰⁵ To paraphrase Pavel Medvedev, Russian literary theory of the 1920s was a history of movements rather than individuals,³⁰⁶ supporting this cooperative approach. Wehrle offers a further comment that “only as a movement (a body of texts unified by approach) could Bakhtin’s ideas enter the ideological struggle on an equal footing with other trends”.³⁰⁷

Whilst the creation of myth and various acts of misdirection can be construed as touching on the surface layers of a personality, the adoption of a mask is a far more fundamental act. It has been argued that the issues of contested authorship with regard to Medvedev’s *The Formal Method in Literary Scholarship*,³⁰⁸ Voloshinov’s *Marxism and the Philosophy of Language*,³⁰⁹ and Kanaev’s article ‘Contemporary Vitalism’ («Современный витализм»),³¹⁰ indicate the strong possibility that Bakhtin was not averse to using the persona of others as a full mask for his own scholarship.

³⁰⁵ For Bakhtin’s fuller treatment refer Бахтин 2012 [Фехт]: 489-503. In addition, Bakhtin’s ‘chronotope of the Castle’ provides the framework of a ‘timescape’ (Davies 1995: 72), where ‘block time’ lays out past and present, and, according to Bakhtin, ‘the aspect of the past and present being linked to a necessary future’ (Bakhtin 1986: 36). This Castle construct can be applied with equal relevance to records of events or historical fiction, not only because of any causal linkages, but also because the distinction made by ‘the positive sciences ... between the ‘objective’ and the imaginary ... has been subject to revision’ (de Certeau 1986: 17). This has resulted in the membrane that separates empirical truth from fiction becoming somewhat permeable, owing to Bakhtin’s dissolution of the theoretical boundaries between the ‘real’ and the ‘fictional’. For detailed arguments, see Cook 2014b.

³⁰⁶ “The late twenties was the time of the collective, not the individual, hero” Medvedev/Bakhtin 1978: xiv.

³⁰⁷ Medvedev/Bakhtin 1978: xiv.

³⁰⁸ Medvedev/Bakhtin 1978.

³⁰⁹ Voloshinov 1986.

³¹⁰ Канаев 1926.

However that may be, Bakhtin certainly encouraged doubt and speculation about the authorship issue.

Much later, after Bakhtin's 'rediscovery', that doubt and speculation was fuelled by a chorus of volunteers, all of whom had ideological positions and personal interests to protect. Kozhinov interpreted Bakhtin's assumption of others' names for his own work as being clearly linked to the concept of sin and to the religious convictions Kozhinov believed Bakhtin to have,³¹¹ convictions that Kozhinov shared. As well as quoting and paraphrasing Bakhtin about the 'disputed texts', Bocharov adduces the oral testimony of Bakhtin's wife Elena Aleksandrovna,³¹² Nina Arkadievna Voloshinova (Voloshinov's widow),³¹³ Shklovsky and Vinogradov.³¹⁴ (It is noteworthy that a preponderance of these witnesses are also of the view that Bakhtin was a highly religious person.) However, only two documents written by contemporaries appear to have been preserved: those of a letter of Kanaev to Bocharov dated 17 November 1975 referring to the article on 'Contemporary Vitalism' cited earlier³¹⁵ and a 1961 letter from Bakhtin to Kozhinov.³¹⁶ Whilst one cannot discard Kanaev's evidence in view of his high reputation as a scientist, it is nonetheless possible that the motives behind his letter³¹⁷ could have been other than merely a wish to set the record straight.

³¹¹ "So, in this he was precisely admitting to his sin [of writing under Voloshinov's name]" (Rzhevsky 1994: 432).

³¹² Bocharov & Liapunov 1994: 1012.

³¹³ Bocharov & Liapunov 1994: 1014.

³¹⁴ Bocharov & Liapunov 1994: 1014.

³¹⁵ Bocharov & Liapunov 1994: 1014-1015.

³¹⁶ "... on his death bed so to say, he told two men, me and Sergei Bocharov, his other executor, that 'This is, after all, my sin and I should acknowledge it.' And he said he wrote the books." (Rzhevsky 1994: 432).

³¹⁷ The substance of this letter is summarized in an earlier note from Kanaev, which he had appended to a copy of the article in question and sent to Bocharov. The contents of the note read: "This article was written entirely by

Several alternatives come to mind: Kanaev may have wished to pay homage to the centre of the «круг Бахтина» just after his death; he may have wished to be associated with a scholar who had unexpectedly emerged from obscurity into the limelight; or a combination of a number of personal and professional reasons. But the issue here is not Kanaev's letter, but rather Bakhtin's silence on the matter.

Bakhtin's own letter is more material to our current concerns, because it provides the only *autographed* indication of his strategies in this sector of his life and work. It is worth quoting in detail (as transcribed by Bocharov):

“The books *The Formal Method* and *Marxism and the Philosophy of Language* are very well known to me. V. N. Voloshinov and P. N. Medvedev were my friends; when those books were written, we were working in the closest creative contact. Moreover, those books as well as my study of Dostoevsky are based on a common conception of language and of the verbal work. ... I should note that this common conception and our contacts during our work do not diminish the independence and originality of each of the three books. As for the other works by P. N. Medvedev and V. N. Voloshinov, they are on a different plane and do not reflect the common conception; I took no part whatsoever in their composition. To this day I hold to the conception of language and speech that was first set forth, incompletely and not always intelligibly, in those books, although the concept has of course evolved in the past thirty years.”³¹⁸

What this does *not* say explicitly is that Bakhtin wrote these books, merely that they were both based on a ‘conception of language’ that was common to Bakhtin's *Problems of Dostoevsky's Art*, with the possible implication that Bakhtin took some part in their composition. Significantly, the

M. M. Bakhtin. I only provided him with the relevant literature and enabled publication in the journal, whose editors knew me. 3 November 1975. I. Kanaev” (Bocharov & Liapunov 1994: 1014).

³¹⁸ Bocharov & Liapunov 1994: 1016.

letter adds that the ‘common conception and our contacts during our work do not diminish the *independence* and *originality* of each of the three books’.³¹⁹ In this letter, Bakhtin’s choice of words is judged to a nicety in order to ensure sufficient ambiguity as to his precise status as an author, whilst appearing to address the question directly. If one had to choose an example of «слово с лазейкой» in Bakhtin’s own work, this letter would be a strong candidate. In spite of Bakhtin’s well-weighed words, Bocharov — in his procrustean way — elects to ignore the loophole and interpret these books in the following way:

“One could hardly doubt that this conception ... was that of a single author and not the fruit of collective creation.”³²⁰

An opportunity for resolution of this contested authorship issue presented itself to the editors of Bakhtin’s *Collected Works* in the form of an additional volume which might have embraced the output of the Bakhtin Circle. The editors declined to take up this option, probably because a decision — no matter which way that decision went — might pose problems for two of the major stakeholders: Bocharov and Kozhinov (both of whom were literary executors for the Bakhtin estate and senior editors of the *Collected Works*). In any case, in view of Bakhtin’s ambiguous stance on this matter,³²¹ and the ensuing vigorous argument conducted in both English³²² and Russian,³²³ any

³¹⁹ Emphasis added.

³²⁰ Bocharov & Liapunov 1994: 1016.

³²¹ Clark & Holquist 1984 *Chapter 6*.

³²² This has been characterised by Brandist as “a voluminous, ideologically motivated, often bad-tempered and largely futile body of literature” Brandist ‘The Bakhtin Circle’, IEP (<http://www.iep.utm.edu/bakhtin/>).

³²³ Алпатов 2005: 94-118.

resolution looks unlikely. So it would appear that the mask, albeit virtual, will stay in place for the foreseeable future.

Since his initial lionization in the late twentieth century, a series of scholars have uncovered individual ambiguities and discrepancies in Bakhtin's life story. This tissue of equivocation and outright fabrication which surrounds many aspects of Bakhtin the person has been summarised in the sub-sections immediately above. At this juncture, it must be pointed out that Bakhtin appeared to be scrupulous in avoiding a direct untruth, always electing to employ the 'word with a loophole'. This is evident from his 1961 letter to Kozhinov, but even more importantly, from the direct account he gave of his involvement with religious organizations when interrogated after his arrest. However, this equivocation and fabrication *has* led to a great deal of frustration on the part of scholars, particularly Anglo-American Bakhtin specialists. It is small wonder that Poole was moved to state "We still do not know who Bakhtin was",³²⁴ and Hirschkop to observe "For a long time we knew very little about Bakhtin's life. Thanks to the efforts of post-glasnost Bakhtin scholarship, we now know even less".³²⁵ And this confusion extends to Russian scholars studying his works over a period of four decades, one of whom says: "the more I read, the less I understand".³²⁶

³²⁴ Poole 1998: 568.

³²⁵ Hirschkop 1999: 123-125.

³²⁶ Isupov 2014: 28.

In order to find an explanatory framework that accounts for the uncertainties and ambiguities that emanate from Bakhtin's dissimulation about certain aspects of his life, and to understand a strategy for life that might be mirrored in his work, I have employed the concept of reinvention. This notion was introduced in Sheila Fitzpatrick's book *Tear off the masks!*³²⁷ and the article on which her book was, in part, based: 'Making a Self for the Times: Impersonation and Imposture in 20th-Century Russia'.³²⁸ Fitzpatrick asserts that reinvention is central to revolutions and in the article and book she maps the forms that these reinventions take in the Russian Revolution.³²⁹

Two types of change are central to this notion of 'reinvention': those of 'self-presentation' and 'self-understanding'. Indeed, both these aspects are bound up in Fitzpatrick's employment of the concept of 'identity'. Consideration of all these factors appears to be absolutely material when looking at Bakhtin's strategies for managing his life story. In addition, Fitzpatrick makes a useful distinction between the terms 'impersonation' and 'imposture'. She uses the first to embrace the value-neutral notion of "role-playing ... that is expansive enough to encompass the idea that self-fashioning or self-creation ... may also be involved".³³⁰ An example may help to link these two terms that Fitzpatrick employs to Bakhtin's life story. Earlier in this chapter, Bakhtin's assumption

³²⁷ Fitzpatrick: 2005.

³²⁸ Fitzpatrick: 2001.

³²⁹ This term is understood by Fitzpatrick to incorporate the "process of political and social transformation beginning in 1917 and continuing through the 1920s and 1930s" (Fitzpatrick 2001: 469).

³³⁰ Fitzpatrick 2001: 471.

of Kagan's educational profile was mentioned. Bakhtin intended this reinvention to be included in the «анкеты» he had filled out, thus becoming part of his «биография». These terms are discussed in detail in Fitzpatrick's section on the "Fashioning of 'File-selves' in Soviet Life".³³¹ This form of re-fashioning one's past was prevalent in Soviet Russia in the 1920s and 1930s.

In contradistinction to 'impersonation', Fitzpatrick uses 'imposture' in the pejorative sense of 'wilful and fraudulent deception'.³³² From this perspective, Bakhtin's statements and actions outlined above have elements of both 'impersonation' and 'imposture' — a combination of the sincere and the cynical.³³³ Fitzpatrick also distinguishes between 'political' and 'criminal' imposture, indicating that the general attitude to the latter was, for the most part, indulgent as can be seen from the popularity of the «великий комбинатор» Ostar Bender in the novels of Ilf and Petrov.³³⁴ Bakhtin's persistent interest in this type of imposture can be seen in his work on the roles of the rogue and the picaro.³³⁵ As it is clear from his conversation of 10 April 1974 with Bocharov, he was not generally averse to rogues:

“[MMB:] Eykhenbaum was a sound man, the most conservative of them [formalists – J.C.], but an agelast'. [SB:] I do not know how this fit in with Eykhenbaum's subtle sense of humor, which many recall, but what Bakhtin meant by agelast will be familiar to anyone who has read his Rabelais. *He preferred the rogue to the agelast.*”³³⁶

³³¹ Fitzpatrick 2005: 14-18.

³³² OED 'imposture' [accessed 17-Aug-2016].

³³³ Terms used by Fitzpatrick, following Goffman (Fitzpatrick 2001: 472).

³³⁴ «Двенадцать стульев» (1928) and «Золотой телёнок» (1931).

³³⁵ Good examples abound in section VI of Фвхр and throughout ТФР.

³³⁶ Bocharov & Liapunov 1994: 1019 (the emphasis in the last line is mine). Agelast refers to a "person who never laughs; one who has no sense of humour. Chiefly with reference to Rabelais's use of the French word" (OED online [accessed 1-May-2015]).

* * *

In presenting himself to others, Bakhtin manages to take on the colouration of his environment: by appearing to be a fully credentialed university student, by deliberately cultivating the appearance of an erudite scholar, by presenting a Janus-like ideological face according to the dictates of the situation in which he found himself, by propagating myths about his actions, and by presenting as a good man who was prepared to ghost-write his friends' monographs. However, he manages to achieve all of these ends without completely committing to his surroundings (e.g. without actually enrolling at Petrograd University, without being a formally registered member of religious organisations). He thus manages to achieve the paradoxical position of blending into his environment, whilst standing apart from it by not truly being identified with the institutions with which he appears to be affiliated.

His efforts had manifest success and powerfully resonated with the early scholars of his life and works. As Hirschkop comments:

“When Bakhtin was initially ‘rehabilitated’ in the early 1960s, a complete record of his life and work did not emerge — no such thing existed. The texts and their relevant context had literally to be reconstructed, and this process was no more immune to the pressures of social and historical life than the texts themselves”.³³⁷

Just how problematic this reconstruction has been is evidenced by the sections above.

³³⁷ Hirschkop 1999: 114.

Ideology and hagiography

The contention of this dissertation — that Bakhtin evolved a strategy of deliberate ambiguity and misdirection at certain crucial points in his life — has been amply supported by the evidence presented earlier in this chapter. But, in addition to this, he skilfully enlisted the support of his contemporaries, and even the scholars who subsequently documented and analysed his life and work. As can be seen from the analysis below, Bakhtin achieved this end by manipulating others' perceptions of him, by either leveraging their ideology or cultivating a saintly, sage-like image, or in some cases, both.

The reminiscences used to support this view of manipulation are of three kinds: a series of interviews conducted by Duvakin (*Беседы В. Д. Дувакина с М. М. Бахтиньим*³³⁸) where Bakhtin himself reminisces, two reminiscences of series of conversations between Bakhtin and his (much younger) Russian contemporaries Bocharov³³⁹ and Kozhinov,³⁴⁰ and finally a reminiscence of one three-hour conversation between an English postgraduate student and Bakhtin.³⁴¹

The main subjects covered in the conversation of November 1992 between Nicholas Rzhnevsky³⁴² and Kozhinov about Bakhtin are (presumably in their order of importance in Rzhnevsky's view): authorship, religion and relativism. The coverage of these topics is certainly

³³⁸ Дувакин & Бахтин 2002.

³³⁹ Bocharov & Liapunov 1994.

³⁴⁰ Rzhnevsky 1994.

³⁴¹ Miles 2000.

³⁴² Professor and Chair, Dept. of European Languages, Literatures, and Cultures, SUNY Stony Brook University.

supported by Rzhnevsky's questions, which are punishingly direct. If one sifts through the evidence produced by Kozhinov for Bakhtin's authorship of the 'disputed texts', most of this evidence can be classed as 'hearsay', i.e. Kozhinov's personal recollection of others' statements.³⁴³ This evidence is made more immediate by touches such as the mention that Elena Aleksandrovna addressed him by a diminutive, thus implying that he was one of the family, and therefore a trusted repository of accurate information.³⁴⁴ Even the supposed letter of Pasternak to Medvedev can admit of a number of construals, rather than Kozhinov's interpretation that Medvedev didn't write *The Formal Method*.³⁴⁵ It would appear that the only piece of evidence that is not circumstantial is the 1961 autograph letter from Bakhtin to Kozhinov, which is calculatedly ambiguous. However, Kozhinov's conclusion is that "[o]ne can indicate they were written by Bakhtin but with the correction that he wrote wearing a mask, so to say".³⁴⁶ Although Kozhinov overstates the case for Bakhtin's authorship, his comment about writing 'wearing a mask' is apt.

Bocharov's article is cut from different cloth. Firstly, he weaves into a narrative involving the circumstances of his visits to the Bakhtins direct quotes from his meetings with Bakhtin,³⁴⁷ supported by documentary evidence,³⁴⁸ as well as the opinions and reports of various scholars.³⁴⁹

³⁴³ Rzhnevsky 1994: 432-433.

³⁴⁴ "How can you Dimachka (she expressed herself that way), I did the writing with this very hand, he dictated them to me" (Rzhnevsky 1994: 432).

³⁴⁵ Rzhnevsky 1994: 432.

³⁴⁶ Rzhnevsky 1994: 433.

³⁴⁷ Bocharov & Liapunov 1994: 1015.

³⁴⁸ For instance, the letter from Kanaev about his article 'Contemporary Vitalism' (see note 310 above and Bocharov & Liapunov 1994: 1014).

³⁴⁹ For example, the attitude of Gasparov toward Bakhtin's language (Bocharov & Liapunov 1994: 1018).

Secondly, he makes it quite clear when he is proffering his own opinion.³⁵⁰ In addition, the range and depth of the article are considerable, and provide a nuanced appreciation of various aspects of Bakhtin's work. This is particularly evident when he discusses the issue of how Bakhtin approached the subject matter under different sets of circumstances: "[SB:] M. M., in your own name you would have written differently?" I asked him on 10 April 1974. "[MMB:] Yes, I would have".³⁵¹ That being said, there are conspicuous emphases on two areas — those of Bakhtin's ideological concerns and the 'disputed texts'. As Kozhinov does, Bocharov makes these two areas interdependent, ascribing to Bakhtin an element of guilt associated with the act of 'ghosting' the texts that naturally leads in to a discussion of religion, and the 'flexible' Marxism in the Voloshinov and Medvedev texts.³⁵²

Much is made of the moral compromises that were involved in Bakhtin's creative works — by both Bakhtin, who speaks, and Bocharov, who reports the words.³⁵³ This sense of Bakhtin's betrayal of values surfaces intermittently throughout Bocharov's article and is a perceptive counterpoint to Kozhinov's anodyne recollections. For example, that the guilt Bakhtin feels as a survivor is a poignant counterpoint to the success of his survival strategy is evident in these passages: "[MMB:] At least you [SB] do not betray. If you don't affirm, it's because you are not sure,

³⁵⁰ In writing about the permeability of the boundaries between others' works and those of Bakhtin, Bocharov is quite candid: "Of course, M. M. did not present the situation in this way and did not speak about his half-mask authorship. This version is mine, composed from what I saw and know" (Bocharov & Liapunov 1994: 1017).

³⁵¹ Bocharov & Liapunov 1994: 1015.

³⁵² Bocharov & Liapunov 1994: 1016.

³⁵³ "[MMB:] Everything that was created during the past half century on this graceless soil, beneath this unfree sky, all of it is to some degree morally flawed" (Bocharov & Liapunov 1994: 1012).

whereas I dodged, backward and forward”³⁵⁴ and “After all, we had betrayed everything — our homeland, our culture.’ [SB:] And how could one have avoided betraying them?’ [MMB:] By perishing, I began writing an article to be called ‘On Those Who Failed to Perish’”.³⁵⁵

In addition, these observations lead Bocharov to look for the causes of what he characterizes as the ‘inner’ and ‘outer’ incompleteness of Bakhtin’s style as reflected in his work. As Bocharov concludes, Bakhtin “[o]n the one hand ... refused on principle to complete the edifice and crown it with a cupola, and, on the other, he simply left much unsaid”.³⁵⁶ So, in stark contrast to Kozhinov, Bocharov is more substantial and less anecdotal.

Duvakin’s interviews with Bakhtin are another matter entirely. Unlike Kozhinov and Bocharov, young scholars making their way in the academic world who did not have the harsh experience of censure and demotion, Duvakin was an established Mayakovsky scholar who had run foul of the authorities over his support of Andrei Sinyavsky at the latter’s trial.³⁵⁷ Duvakin was thus put on a footing with Bakhtin that was much closer to equality, a peer relationship that the others could not enjoy. This accounts for Emerson’s comment that Duvakin was “of the proper age and academic status to put septuagenarian interviewees at ease”.³⁵⁸

³⁵⁴ Bocharov & Liapunov 1994: 1013.

³⁵⁵ Bocharov & Liapunov 1994: 1020.

³⁵⁶ Bocharov & Liapunov 1994: 1022.

³⁵⁷ Gratchev & Gyulamiryan 2014.

³⁵⁸ She continues “... the published transcripts indicate a flexible, decentered questioning style that appears to have stimulated the often fragile and finicky subjects to maximum recall” (Emerson 1997: 31 note 1).

However, Galin Tihanov in his 1997 review of the book notes at least two qualifications that do not allow even this evidence to be taken at face value. The first one is Duvakin's tendency to interpolate his own views into the conversation on occasion, thus interrupting the flow of Bakhtin's thought. For example, Cassirer is mentioned briefly at one point in the conversation before Duvakin steers it in a literary direction.³⁵⁹ Cassirer then re-emerges later on in the interviews, where Bakhtin refers again to this 'remarkable three-volume book ... which is never out of date and which we [still] quote from'.³⁶⁰ But, yet again, Bakhtin is drawn away to discuss Maria Yudina and Lev Pumpyanskii and the reader misses out on comments that might have been made on the use of Cassirer's work in Bakhtin's *Rabelais* book.

Tihanov notes the second proviso as being the "sense of whimsicality, if not insecurity, created by Bakhtin's feline interlocutor [his cat]".³⁶¹ One gets the feeling that in Bakhtin's areas of sensitivity, he is only too happy to be led away from the difficult topics by Duvakin. The obverse of this coin is that one also gets a sense of collusion between interviewer and interviewee. The text of the interviews contain a large number of paratextual descriptions of intonation that related to laughing, smiling, smirking or grinning.³⁶² This may indicate an understanding of what topics are

³⁵⁹ «Б: Эрнст Кассирер был замечательный тоже философ Марбургской школы ... и у нас высоко ценится и читается, это „Die Philosophie der symbolischen Formen“ ... три тома. Первый том — „Язык“, второй том — „Миф“ и третий том — „Познание“ ...» (Дувакин & Бахтин 2002: 48).

³⁶⁰ Дувакин & Бахтин 2002: 261.

³⁶¹ Tihanov 1997: 29.

³⁶² For example, when one laughs «(Смеется)» or they both do «(Смеются)» (Дувакин & Бахтин 2002: 19, 58). This occurred nineteen times over the 77 pages that were analysed in detail.

to be skirted around or cut short, and even, in an extreme interpretation, an unpronounced conspiratorial agreement to mislead the reader (and therefore posterity).

Even Miles conveys a sense of Bakhtin's gamesmanship, when he describes Bakhtin's reaction to his (perhaps naïve) assertion that Chekhov was an exponent of 'modern tragedy': "It was a masterly, even intimidating opening, but there was more than a hint in Bakhtin's eyes that he was deliberately overstating things".³⁶³ This impression is reinforced when, later in the article, Miles hears Bakhtin's assessment of Chudakov (the eminent Chekhov scholar) which is quite at variance with Chudakov's earlier report to Miles of Bakhtin's advice.³⁶⁴

All of these sources have 'ideological positions' or personal stakes, which lend a natural bias to their retelling or transmission of a 'direct report'. In view of these considerations, one would therefore have to agree with Hirschkop's assessment that "A review of Bakhtin's life therefore works from materials inseparable from their polemical origins".³⁶⁵

The two biographies — by Clark and Holquist and by Hirschkop — are separated by a cultural gap that belies the fifteen-year interval. During that period, the Soviet Union had been transformed from a communist state into that of nascent capitalism. Sources that had to be protected at all costs by Clark and Holquist were now verifiable by Hirschkop in open archives. Russian Bakhtin scholarship in 1999 was much more accessible to Anglo-American academics. But

³⁶³ Miles 2000: 442.

³⁶⁴ Miles 2000: 446.

³⁶⁵ Hirschkop 1999: 140.

the difference between the two works is surprisingly restricted to a difference in degree rather than a difference in kind. And the degree is that of scepticism. Where we find Clark and Holquist accepting the ‘official’ narrative in the absence of any contraindications, Hirschkop is armed with far more counter-evidence, either directly from the archives or at second hand through the scholarly efforts of Averintsev, Alpatov, Konkin, *et al.*, published after 1984.

The issues of ideology and hagiography raise the consideration of Bakhtin’s standing as a person, and how this affected interpretations of incidents in his life. For the most part, in the Russian literature on Bakhtin (Gasparov and Gurevitch³⁶⁶ notwithstanding), Bakhtin is treated as a мудрец — the “sage imbued with or personifying wisdom”³⁶⁷. Both Bocharov and Kozhinov stress Bakhtin’s preference to be regarded as a philosopher rather than a literary historian and agree in their accounts that this preference was stressed at their first meeting.³⁶⁸ This colours both their accounts of their meetings. Kozhinov is constantly deferential and, while Bocharov’s account has more of an edge to it, he too occasionally lapses into maudlin sentimentality, as can be seen in this passage:

“Toward the end especially, in his Moscow apartment, as Mikhail Mikhaylovich ... grew weaker, I was constantly reminded of Ovid among the gypsies [in Pushkin's ‘The Gypsies’]:

‘When the swift river froze
And winter's blizzards raged,

³⁶⁶ Emerson 2016; Mazour-Matusevich 2010.

³⁶⁷ Hirschkop 1999: 125.

³⁶⁸ Bocharov & Liapunov 1994: 1016 and Rzhnevsky 1994: 435.

With furry skins they'd cover
The saintly old man.”³⁶⁹

Miles certainly had the deferential attitude of a young postgraduate to a distinguished литературовед. By contrast, Duvakin’s position is the most difficult to establish. He projects as an impartial recorder of Bakhtin’s words, but there is a conspiratorial flavour to the interviews which is at odds with impartiality. One suspects that, like Rzhnevsky, he too could say: “We continued our conversation far beyond what is recorded above”.³⁷⁰

However, the issue at hand is not whether all of these accounts are partial to Bakhtin — they are all reverential to varying degrees — but whether, and if so how, Bakhtin managed to manipulate the people he talked with. The reminiscences and interviews referred to above embrace interlocutors of quite varied ages, interests and backgrounds. All of them, it seems, allowed Bakhtin to cleverly position himself as a мудрец, and this status was never called into question. Bakhtin had managed to exchange his earlier masks for that of a sage; someone whose age, wisdom, humility and forbearance made his pronouncements incontrovertible. This calculated strategy guaranteed his reputation not only with his contemporaries (whether young or old), but also with posterity.

³⁶⁹ Bocharov & Liapunov 1994.

³⁷⁰ Rzhnevsky 1994: 438.

Bakhtin and the Classical mask

The contrapuntal nature of Bakhtin's life produces some correlations (or resonance) between the ambiguities associated with various events in his biographical narrative and the constancy of his commitment to Classical civilization. This counterpoint is most obvious in the thematic outcomes of Bakhtin's relationship with Nietzsche, particularly in his treatment of the theme of Dionysus, which encapsulates the concept of the mask, a metaphor that Bakhtin not only wrote about, but *performed*.

In view of the centrality of Dionysus to Nietzsche's thought, it is also worthwhile searching for mentions of the god in Bakhtin's works. There are a number of references to Dionysus not only in Bakhtin's early texts (four in Volume 1 of the *Collected Works*, thirteen in Volume 2, none in Volume 3, but ten in Volume 4-I, four in Volume 4-II, and thereafter one each in Volumes 5 and 6), but also in the accompanying commentaries.³⁷¹ While some of the references in Bakhtin's texts are quite general,³⁷² others point to specific aspects of the persona and attributes of Dionysus: the transformation and reincarnation of Dionysus,³⁷³ his association with sexuality,³⁷⁴ his suffering,³⁷⁵ his poetry,³⁷⁶ and his mask.³⁷⁷ In addition there are several other manifestations of these

³⁷¹The commentaries contain a disproportionately large number of references to Dionysus when commenting on the early works (thirteen and sixteen in Volumes 1 and 2, respectively), while tapering off in the later works (only three references by commentators in Volume 4-II).

³⁷² For example, the «дионисизм» of Nietzsche and the Symbolists in Бахтин 2003 [АиГ]: 131.

³⁷³ Бахтин 2003 [АиГ]: 158.

³⁷⁴ Бахтин 2003 [АиГ]: 133.

³⁷⁵ Бахтин 2000 [ЗЛИРЛ]: 324.

³⁷⁶ Бахтин 2000 [ЗЛИРЛ]: 317.

³⁷⁷ Бахтин 2000 [ЗЛИРЛ]: 324.

relationships, including the importance for Bakhtin of Nietzsche's theory of language and the theory of the Eternal Return (manifested in Bakhtin's works as the concept of 'Great Time'), but at this point I will be focusing on Dionysus and the mask that is so firmly linked to him.

As Heinrichs observes, "Nietzsche ... destroyed Dionysus as a god even as he preserved him as a concept".³⁷⁸ Nietzsche also appropriated Dionysus' mask to use as both a disguise³⁷⁹ and a rhetorical strategy.³⁸⁰ In 'What is noble?', Section 289 of Part 9, *Beyond Good and Evil*, Nietzsche says "Every philosophy *conceals* a philosophy too: every opinion is also a hiding-place, every word is also a mask".³⁸¹ More and more frequently in his oeuvre, Nietzsche utilises the creation of multiple masks for himself, representing roles that are often deliberately positioned to conflict with each other, leading to tensions through the paradoxes that ensue.³⁸² One of the aspects Nietzsche scholars stress is the humorous or playful nature³⁸³ of this deception of the reader,³⁸⁴ quite unlike the vindictive humour of the Dionysus portrayed in Euripides' *Bacchae*. Another valuable perspective on the mask is opened up by considering the attributes of the Greek 'god of the mask' — Dionysus.³⁸⁵

³⁷⁸ Heinrichs, 1993: 23.

³⁷⁹ del Caro 1998: 88.

³⁸⁰ Williams 2010: 83-84.

³⁸¹ Nietzsche 2002: 173.

³⁸² Williams 2010: 87, 88-89, 92-93, 99.

³⁸³ del Caro 1998: 87; Williams 2010: 85.

³⁸⁴ This is supported by Nietzsche in *Human, All Too Human*: "All 'evil' acts are motivated by the drive to preservation" [Book I, §99] and "... one lies when cunning and dissimulation is the proper means of self-preservation" [Book I, §104] (Nietzsche 1996: 53 and 56 respectively). See also Williams 2010: 90.

³⁸⁵ Vernant and Frontisi-Ducroux, 1990: 190; Vernant, 1990: 381.

We know from Bakhtin's work in *Из предьстории романного слова* [ИПРС]³⁸⁶ that he was familiar with the great tradition of Greek tragedy: Aeschylus, Sophocles and Euripides. Consequently, one particularly revealing way to approach the mask is through the depiction of the god Dionysus in Euripides' play, the *Bacchae*.³⁸⁷ Using the play as an entry point enables the illustration of a number of facets of the mask.

In brief, Euripides' tragedy deals with the entry of Dionysus into Thebes, disguised as one of his own acolytes. He attracts a large number of the population to worship him, but fails to convert Pentheus, the king of Thebes. Dionysus extracts his revenge by sending Pentheus mad and then arranging for him to be hunted down by the *bacchantes*, led by Pentheus' mother. Pentheus is dismembered and his mother carries his head back to Thebes in triumph, only to awake from her ecstatic state to a realisation of what she has done. The play contains elements of the traditional and the innovative, and has thus attracted much critical attention over a long period. It would thus have been well-known to Bakhtin in view of his studies in Classical philology.

However, even more material is the transformative power of both god and mask. Most authors stress that Dionysus is "the god of illusions, confusion, and the constant muddling of reality and appearances, truth and fiction".³⁸⁸ Dionysus' enigmatic nature is amplified by an "aura

³⁸⁶ Бахтин 2012 [ИПРС]: 524.

³⁸⁷ Zelinskii produced a large number of pieces on Euripides, refer note 188 above (for the *Bacchae* specifically, see Воронков 1961: 113 [item № 2398]).

³⁸⁸ Vernant and Frontisi-Ducroux, 1990: 205.

of uncertainty with respect to his shape and nature”³⁸⁹ because he can take any form he wishes,³⁹⁰ putting on “a human *morphê* or *physis*”.³⁹¹ Vernant gives a vision of Dionysus where everything within that vision has many possible values: “a phantasmagorical confusion in which illusions, impossibilities, and absurdities become realities ... [*d]eina, thaumata, sophismata*,³⁹² all kinds of prodigies and weirdness ...”.³⁹³ This god expresses himself through magic, but his arts are not all magical — he also uses more down-to-earth techniques that include cross-dressing («травестия»)³⁹⁴. A combination of mask, metamorphosis and disguise create the effect the god intends.³⁹⁵

As will be shown when discussing the Rogue, Jester and Fool («плут, шут и дурак») in Chapter Two, there is also a high degree of both ambiguity and duplicity involved in the Dionysian mask. In the *Bacchae*, this can be seen in the blurring of identities,³⁹⁶ categories³⁹⁷ and distinctions³⁹⁸ caused by the actions and attire of the god. This results in a number of polarities,³⁹⁹

³⁸⁹ Vernant, 1990: 394.

³⁹⁰ Foley, 1980: 110.

³⁹¹ Foley, 1980: 126.

³⁹² ‘*deina*’: plural from δεινός, “wondrous, marvellous, strange” [LSJ Online, retrieved 27-Feb-2016]; ‘*thaumata*’: plural from θαυμαστός, “strange, absurd, extraordinary” [LSJ Online, retrieved 27-Feb-2016]; ‘*sophismata*’: plural from σόφισμα, “captious argument, quibble, sophism” [LSJ Online, retrieved 27-Feb-2016] (but note also its less pejorative meaning in medieval philosophy “a proposition of which the truth value is difficult to determine, because it is ambiguous, puzzling or simply difficult to interpret” (Pironet & Spruyt 2012: 1)).

³⁹³ Vernant, 1990: 397.

³⁹⁴ Heinrichs, 1993: 35; Vernant and Frontisi-Ducroux, 1990: 202. Dionysus is characterised in the Greek text as ‘*thelumorphos*’ (‘having a female appearance’) Vernant, 1990: 398.

³⁹⁵ Vernant and Frontisi-Ducroux, 1990: 201-202.

³⁹⁶ Heinrichs, 1993: 21.

³⁹⁷ Vernant, 1990: 390; Vernant and Frontisi-Ducroux, 1990: 206.

³⁹⁸ Foley, 1980: 109.

³⁹⁹ Heinrichs, 1993: 30, 31.

creating tensions⁴⁰⁰ and paradox which are only resolvable terminally by the death of Pentheus, killed by his own mother. Vernant covers these polarities in detail,⁴⁰¹ concluding with a comment that “there is madness in human wisdom (*to sophon*) just as there is wisdom (*sophia*) in divine madness”;⁴⁰² a comment that bears on both Euripides’ tragedy and the nature of the «дурак» (particularly in its manifestation as the «юродивый» or Holy Fool). Supporting these elements is the notion of liminality, spelt out by Vernant and Frontisi-Ducroux in terms of ‘margins’ and ‘border zones’ in their section on the commonality between the masks of Gorgo, Artemis and Dionysus.⁴⁰³

Other connections appear that link the Dionysian mask with Bakhtin’s thought, specifically with his work on identity (analysed in detail in Chapter Two). The first issue is the ambiguity involved in the simultaneous presence and absence of the god in the mask. Dionysus is at once “*deus praesentissimus*, ‘the god of the most immediate presence’”,⁴⁰⁴ and an entity that is somewhere else, perhaps ubiquitous: “It is the presence of one who is absent”.⁴⁰⁵ And the mask is “a means of expressing absence in a presence”.⁴⁰⁶ The issue of absence/presence is complemented by the fact that a number of scholars (for example, Heinrichs) have identified Dionysus as the ‘Other’, “with its

⁴⁰⁰ Vernant and Frontisi-Ducroux, 1990: 206.

⁴⁰¹ Vernant, 1990: 398-400.

⁴⁰² Vernant, 1990: 404.

⁴⁰³ Vernant and Frontisi-Ducroux, 1990: 196-197.

⁴⁰⁴ Heinrichs, 1993: 19.

⁴⁰⁵ Vernant, 1990: 383.

⁴⁰⁶ Vernant, 1990: 396.

inherent suggestiveness and polyvalence”.⁴⁰⁷ This is extended to the mask which “as a metaphor ... signals an interiorized, invisible otherness that either confirms or contradicts the visual mask”.⁴⁰⁸ The link with identity is further reinforced by the god’s attitude represented both theatrically and in works of art — an attitude that demands face-on engagement.⁴⁰⁹ The way Vernant characterizes the nature of the vision which Dionysus imposes on his followers is described as “the meeting of two gazes in which (as in the interplay of reflecting mirrors), by the grace of Dionysus, a total reversability [sic] is established between the devotee who sees and the god who is seen, where each one is, in relation to the other, at once the one who sees and the one who makes himself seen”.⁴¹⁰

Although the main inspiration for Bakhtin’s concept of carnival was the Roman Saturnalia, there are also close links with the earlier Greek Dionysus and his mask. All the characteristics of this festival are enumerated by classical scholars when analysing the god, his mask and their position in the *Bacchae*: “an eruption ... of a dimension of existence totally alien to the quotidian world”,⁴¹¹ “the period of license, rites of reversal, anomie”,⁴¹² involving the simultaneous inversion and subversion of “cultural categories: language, the roles of the sexes, classes and political hierarchy”,⁴¹³ and the contrasting elements of mockery and pleasure.⁴¹⁴ These contrasts are

⁴⁰⁷ Heinrichs, 1993: 33.

⁴⁰⁸ Heinrichs, 1993: 39; see also Vernant, 1990: 402; Vernant and Frontisi-Ducroux, 1990: 204.

⁴⁰⁹ Vernant and Frontisi-Ducroux, 1990: 191, 202.

⁴¹⁰ Vernant, 1990: 393.

⁴¹¹ Vernant and Frontisi-Ducroux, 1990: 205.

⁴¹² Heinrichs, 1993: 35.

⁴¹³ Foley, 1980: 124.

⁴¹⁴ Foley, 1980: 119, 120.

further enriched by the tension Euripides creates by his utilization of both comic and tragic devices, which reflects the anomalous nature of carnival.⁴¹⁵

The final link between the mask of Dionysus and Bakhtin's work is the performative nature of laughter, particularly in connection with what he styles as the Romantic grotesque.⁴¹⁶ Vernant and Frontisi-Ducroux comment on the laughter that liberates people from their 'social constraints' and the fact of its intimate association with the mask.⁴¹⁷ Dionysus is also portrayed as using his capacity to "manipulate language, costume and theatrical illusion to bring the world into harmony with his aspirations",⁴¹⁸ but in so doing never failing to understand the difference between presentation and reality — "instead he controls reality through presentation".⁴¹⁹

Whilst the characteristics of Dionysus enumerated by Nietzsche are consistent with those that have been identified, the latter have been depersonalised by transformation into 'the Dionysian' and by being subsequently overlaid with the philosopher's own agenda.⁴²⁰ For example, in classical Greek thought the mask was seen as a fundamental component of identity and communication. Bakhtin, like many other philosophers and literary theorists in the early twentieth century, was in a position to be strongly influenced by Classical views of Dionysus and

⁴¹⁵ Foley, 1980: 114, 120.

⁴¹⁶ "С ослаблением возрождающего момента в смехе связаны и другие особенности романтического гротеска." (Бахтин 2010 [ТФР]: 50; see also Бахтин 2012 [РкЛЖ]: 627.

⁴¹⁷ Vernant and Frontisi-Ducroux, 1990: 206.

⁴¹⁸ Foley, 1980: 120.

⁴¹⁹ Foley, 1980: 122.

⁴²⁰ del Caro 1998: 71, 75.

his mask. These views were mostly mediated by Nietzsche whose views on this topic were so influential at the turn of the nineteenth century. However, complementing Nietzsche's influence and deriving directly from Classical sources, there is an admixture of sexual ambivalence in the disguise. This is connoted by the term «травестия» ('cross-dressing'), and is grounded in Bakhtin's later focus on the 'bodily lower stratum'.

Bakhtin's love for, and profound knowledge of, Classical Greece and Rome is evident throughout the corpus of his work, irrespective of whether it was sourced directly from Greek and Roman texts or from German secondary sources. In spite of the uncertainties surrounding his reception of various influences in the area of Classical philology, the four conduits of Bakhtin's elder brother Nikolai, Faddei Zelinskii,⁴²¹ Lev Pumpyanskii, and Nietzsche (via the medium of Russian Symbolism) seem to provide continuity of influence up to Bakhtin's arrest in 1929.

* * *

In conclusion, this chapter has traced the development of Bakhtin's self-fashioning and self-expression by examining a number of ambiguities in the record of his life as seen in a number of versions of his 'file-self'. Using the framework created in Sheila Fitzpatrick's *Tear off the masks!*, these ambiguities can be interpreted as impersonation and imposture, both characteristic of the

⁴²¹ Zelinskii's research into Old Comedy and the satirist Lucian paves the way for Bakhtin's work in the 1940s on satire (Бахтин 1997 [Сам]: 11-38), especially Menippean satire (Бахтин 2008 [МенСам]: 733-749). And the addition of the influence of Zelinskii's work on the *Bacchae* and Dionysus provides fertile ground for Bakhtin's development of the theme of carnival in his works on Rabelais (Бахтин 2008 [ФРИР]: 11-506 and Бахтин 2010 [ТФР]: 7-516).

search for identity in revolutionary Russia. In a material sense, Bakhtin lives out the literary approach of «сюжет» and «фабула», where he and his commentators rearrange the narrative to adapt his life story to the needs of their respective audiences.

I have attempted to trace some influences on Bakhtin in order to provide some 'solid ground' for subsequent chapters of this dissertation. Of these influences, Bakhtin's brother Nikolai and his friend Pumpyanskii seem to be the most potent in regard to the Nietzschean Classicism that is one of the main foci of this work. There is little doubt that other members of the 'Bakhtin Circle' have made substantial contributions to a number of aspects of his work that are outside the remit of this study.

All these considerations of his life story and the experiences therein provide the groundwork for a consideration in Chapter Two of Bakhtin's theory of identity from its inception in the triad of «я-для-себя» ('I-for-myself'), «я-для-другого» ('I-for-the-other'), and «другой-для-меня» ('the-other-for-me'), via his dyadic concept of «оболочка» ('shell') and «ядро» ('kernel'), through to its Nietzschean conclusion «маска» ('mask'), with its associated androgynous term «травестия» ('theatrical disguise'). From these connections it will be seen that both the variables and the constants in Bakhtin's life are theoretically anchored in, and also explained by, Bakhtin's works on identity.

CHAPTER TWO

Bakhtin's theory of identity: from «я-для-другого» to «травестия»

This chapter aims to show how the conscious strategy of self-fashioning and self-expression — which was so evident in the ways in which Bakhtin manipulated significant parts of his life story — is supported by his multi-layered and continually evolving theory of identity. This theory of identity is developed by Bakhtin in a number of stages, often in a non-linear fashion. The first stage of Bakhtin's thought is devoted to the notions of 'Self' («для-себя») and 'Other' («для-другого»). It examines the interrelationship between these two concepts and how they mutually define each other. Consideration of these Self-Other notions, occurrences of which peak in Bakhtin's *Collected Works* in the 1920s, draws the reader to another process that is running in parallel. This is the growth in the number of occurrences of another pair of terms that Bakhtin uses to describe identity: the 'kernel' «ядро» and the 'shell' «оболочка». This pairing reaches its peak in the 1930s. But in regard to the occurrences of both sets of terms mentioned above, the number of their mentions is dwarfed by that of the term 'mask' («маска»), particularly when this form of disguise is supplemented by the usage of 'travesty'⁴²² («травестия»).

⁴²² This refers to travesty in both its senses of caricature and cross-dressing; see *OED online* 'travesty' [retrieved 16-Mar-2016].

My semantic analysis commences by grounding Bakhtin's theory of identity in «для-себя» and «для-другого», exploring the triad of modalities⁴²³ associated with 'Self' and 'Other' that Bakhtin developed in some of his earliest work: «я-для-себя» ('I-for-myself'), «я-для-другого» ('I-for-the-other'), and «другой-для-меня» ('the-other-for-me'). This enables a detailed examination of the dichotomy of «оболочка» and «ядро» — including a more detailed analysis of the frequencies and uses of the terms — based on these modalities. The word «оболочка» is gradually superseded, even if not entirely replaced, by the term «маска» ('mask') at significant points within Bakhtin's *Collected Works*⁴²⁴. As a consequence, I conduct a similar examination of the use of «маска» as a companion and successor term to «оболочка». The interrelationship between the terms «оболочка», «маска», and the set of three modalities referred to above can be seen in the graph in Appendix A to this dissertation. This diagram provides an indication of the changes in emphasis in the works under consideration, by decade. This graphic appendix is based on data about the terms assembled from the *Collected Works*.

The structure of the chapter is designed to facilitate consideration of these aspects. The first section sets out Bakhtin's early work on 'Self' and 'Other' in КФП (written by Bakhtin in 1919) and АиГ (1924-1925), forming a basis for the next section's focus on the 'shell', mentions of which are

⁴²³ Following Erdinast-Vulcan's usage as a "psychic modality ... [a] mode of being" (Erdinast-Vulcan 2013: 77) which seems to be consistent with 'modality' in *OED online*: "Those aspects of a thing which relate to its mode, or manner or state of being, as distinct from its substance or identity; the non-essential aspect or attributes of a concept or entity. Also: a particular quality or attribute denoting the mode or manner of being of something." [accessed 23-Jan-2015].

⁴²⁴ For a list of the abbreviations referred to in this Chapter, refer to pages xviii and xix.

concentrated in ПТД (1929), К «Роману воспитания» [КРВ] (1938), ФВхр (Sections I-IX 1937-1938; Section X 1973), Роман как литературный жанр [РКЛЖ] (1946, 1970), and Два письма М.М. Б. И.И. Канаеву. Письмо от 11/Х 62 [Письмо] (1962). In the third section Bakhtin's use of the 'mask' is introduced, and the usage of this particular manifestation of the 'shell' which formed such a significant part of Bakhtin's scholarship is then analysed. The uses have been grouped into three main areas: the mask of the author (Рабочие записи 60-х - начала 70-х годов — Тетрадь 1 [РЗ:60-70] (1960s - 1970s) and Проблема текста [ПТ] (1959 - 1960)), the mask as transformation (ФВхр and Творчество Франсуа Рабле и народная культура средневековья и Ренессанса [ТФР] (1965)), and the mask in its totalising aspect (that of Rogue, Jester and Fool in ФВхр). Finally, a different aspect of disguise is examined, that of 'travesty', instances of which occur in works written around the early 1940s: К вопросам теории романа [КВТР] (1940), Франсуа Рабле в истории реализма [ФРИР] (1940), Сатира [Сат] (1940), and Из предьистории романного слова [ИПРС] (1940 - 1941).

As with most of Bakhtin's work, the evolution and articulation of Bakhtin's concepts are non-linear — branching and looping in a complex manner — and hence often unclear.⁴²⁵ Thus, while there appears to be a *prima facie* connection between the 'shell' and the 'mask', it is not immediately clear whether there are antecedent concepts prior to the publication of ПТД that underpin these notions. As a result, two factors have prompted a search through Bakhtin's earliest works for further evidence of a theory of identity: the importance of the «оболочка» - «ядро»

⁴²⁵ As Shukman comments "It is not so much that Bakhtin changed radically in his ideas from one period of his life to the next, but rather that different focuses of interest came into his purview." (Shukman 1984: 244).

dyad in Bakhtin's works of the 1930s and the relative absence of this pair of terms in those works of the 1920s and prior.⁴²⁶ It transpires that predecessors of this dyad can be found in the triad of «я-для-себя», «я-для-другого», and «другой-для-меня».

«Для-другого» and «для-себя»

At first glance, the connections between the «оболочка» — «ядро» dyad and the pair of «я-для-другого» and «я-для-себя» appear to be both logical and intuitive: 'I-for-the-other' presents my appearance as an external carapace; 'I-for-myself' represents the kernel of my internal realisation of self. The connections between these pairs of terms illuminate the dichotomy of shell and kernel.

The concepts of «я-для-себя» and «я-для-другого» and, to a lesser extent, «другой-для-меня» are first explored by Bakhtin in КФП⁴²⁷ and subsequently, more fully and significantly, in АиГ.⁴²⁸ 'I-for-myself', and its complementary 'I-for-the-other', are introduced in КФП in the context of the individual's answerability for a performed act.⁴²⁹ Bakhtin identifies these three modalities (including 'the-other-for-me') by specifying them as "the basic concrete moments of

⁴²⁶ There is no mention of either term in any of Bakhtin's texts that constitute Volume I, although the Commentaries on the following pieces КФП, АиГ, КВМЭ (1924-1925), and *Лекции и выступления М. М. Бахтина 1924-1925 гг. в записях Л. В. Пумпянского* [ЛекММБ] (1924-1925) all contain brief references to these concepts. In Volume II, there are only three mentions of «оболочка» in the text of ПТД and one in that of *Толстой-драматург* [Т-Д] (1929). The frequency is slightly higher for «ядро»: two mentions in ПТД, one in Т-Д, two in *Толстой, как драматург* [ТкД], and two in *Записи лекций по истории русской литературы* [ЗЛИРЛ] (1922-1927).

⁴²⁷ КФП appears in Том 1 [Бахтин 2003] of Bakhtin's *Собрание сочинений* and has been translated as *Towards a Philosophy of the Act* [PhilAct] in Bakhtin 1993.

⁴²⁸ АиГ appears in Том 1 [Бахтин 2003] of Bakhtin's *Собрание сочинений* and was translated as *Author and Hero in Aesthetic Activity* in Bakhtin 1990.

⁴²⁹ Бахтин 2003 [КФП]: 43; Bakhtin 1993 [PhilAct]: 46.

[the] construction [of a once-occurrent act or deed] and their mutual disposition ...”⁴³⁰ («основные конкретные моменты его построения и их взаимное расположение»⁴³¹), going as far as to make the following comment: «Все пространственно-временные и содержательно-смысловые ценности и отношения стягиваются к этим эмоционально-волевым центральным моментам».⁴³²

From the handful of mentions in КФП (written in 1919), Bakhtin’s use of these modal terms grows by almost an order of magnitude in АиГ (written three to five years later in 1922-1924). In this work, Bakhtin has enlarged his initial metaphysical focus to include the defining relationship between the author and his creation, the hero. The introduction to the terms in АиГ is again initially expressed in terms of agency and lived experience,⁴³³ but is soon applied to the physical boundaries of the body and its actions,⁴³⁴ and eventually as an aid to understanding the nature of the soul and mortality.⁴³⁵ So it is almost half-way through the work before Bakhtin fully engages with the notion of applying the pair of modalities to the relationship between author and hero; that is to say, of applying the concepts of the ‘bearer of the meaning-governed content of lived life’

⁴³⁰ Bakhtin 1993 [*PhilAct*]: 54.

⁴³¹ Бахтин 2003 [*КФП*]: 49.

⁴³² Бахтин 2003 [*КФП*]: 50. “... All spatial-temporal values and all sense-content values are drawn toward and concentrated around these central emotional-volitional moments” (Bakhtin 1993 [*PhilAct*]: 54).

⁴³³ Бахтин 2003 [*АиГ*]: 105; Bakhtin 1990 [*Answerability*]: 24.

⁴³⁴ Бахтин 2003 [*АиГ*]: 131-134; Bakhtin 1990 [*Answerability*]: 53-57.

⁴³⁵ Бахтин 2003 [*АиГ*]: 175-176; Bakhtin 1990 [*Answerability*]: 100.

(«носитель смыслового жизненного содержания») and the 'bearer of the aesthetic consummation of the former' («носитель эстетического завершения»)⁴³⁶

It is at this point that the ramifications of this pair of terms need to be explored in order to provide a firm basis for their link to the 'kernel' and 'shell' in Bakhtin's later work. Bakhtin himself explores them by applying them to biography and autobiography, but there is a significant, if not extensive, secondary literature that is helpful in explicating these modalities.⁴³⁷

From the perspective of one Bakhtin scholar, Courtney Bender, the "I-for-myself is a constantly unique person and a unified whole, but is not articulated in the relationship between I-for-the-other and the other-for-me — it is always potential and undifferentiated".⁴³⁸ In contrast to 'I-for-myself', "I-for-the-other and the other-for-me are always specific constructions occurring in unique acts" where "[t]hat person, within that particular action, is the other-for-me" and "that part of the I that is actualised as a concrete I-for-the-other is always just one I, one that the other sees, reacts to and answers".⁴³⁹ Whilst these formulations provide a useful perspective for differentiating between the «я-для-себя», «я-для-другого», and «другой-для-меня» points of view, Bender's analysis is a little one-dimensional and needs to be filled out.

⁴³⁶ Бахтин 2003 [Аул]: 205; Bakhtin 1990 [Answerability]: 137.

⁴³⁷ This literature is drawn from a number of domains: Bakhtin studies (Morson and Emerson 1990; Emerson 1997), narrative theory (Erdinast-Vulcan 1995, 1997, 2008a, 2008b, 2013; de Peuter. 1998), and sociology (Bender 1998).

⁴³⁸ Bender 1998: 190.

⁴³⁹ Bender 1998: 190.

The viewpoint of Morson and Emerson, and Holquist⁴⁴⁰ is substantially the same. Morson and Emerson have, however, framed their viewpoint in a more systematic and less discursive manner. One to one relations are set up between the category of 'I-for-myself' and *spirit* «дух», “my inner, open-ended, task-oriented self”.⁴⁴¹ Morson and Emerson describe spirit as “unfinalized, non-coincident with [itself], and always yet-to-be”, always providing us with an “intuitively experienced loophole out of time, out of everything given, everything already present and on hand”.⁴⁴² The co-authors posit a similar relationship between 'I-for-the-other' (complemented by 'the-other-for-me') and the term *soul* «душа» which is the result of “a complex process in which others finalize me and I incorporate their finalization of me”.⁴⁴³ They thus deduce that there is a connection of *soul* to rhythm⁴⁴⁴, where “rhythm expresses closure in the moment, as loophole expresses openness”.⁴⁴⁵

Morson and Emerson's discussion of the term 'surplus of vision', where they characterize it as “a way of locating and describing what makes each self radically singular and

⁴⁴⁰ Morson & Emerson 1990; Holquist 2004.

⁴⁴¹ Morson & Emerson: 193.

⁴⁴² Morson & Emerson: 193 (quoting Bakhtin from the authors' translation of the 1990 edition of АИГ)

⁴⁴³ Morson & Emerson: 193.

⁴⁴⁴ Extending Morson and Emerson's analysis, what Bakhtin may have been indicating was the concept of 'entrainment'. This is characterized thus in an MIT Working Paper: “Entrainment is defined as the adjustment or moderation of one behavior either to synchronize or to be in rhythm with another behavior. Three types of entrainment are identified. Tempo entrainment involves two behaviors having the same pace ... [s]ynchrone entrainment involves two behaviors or processes having similar pace and cycle ... harmonic entrainment involves the extent of gestaltlike harmonization or meshing of the two behaviors as perceived by outsiders” (Ancona and Chong 1992: 2)

⁴⁴⁵ Morson & Emerson: 193.

ir-replace-able [sic]”, seems particularly apposite.⁴⁴⁶ They achieve this by comparing the terms «кругозор» and «окружение». Morson and Emerson refer to the former as “a specific ‘field of vision’” and the latter as “one’s ‘surroundings’ viewed as if from nowhere”.⁴⁴⁷ The surroundings perceived by the ‘Other’ involve a surplus of vision over the horizon perceived by the ‘I’, well exemplified by the inability to see the back of one’s own head directly.⁴⁴⁸ However, they fail to fully exploit this aperçu by applying it exhaustively to the concept of ‘author-as-creator’, except in a short section on the inability of I-for-myself to narrate,⁴⁴⁹ and a somewhat longer section on the Image of the Author,⁴⁵⁰ which discusses the author’s externality or tangentiality to the work. In addition, Morson and Emerson’s commentary appears to have an unconvincing tendency to over-systematize, which results in a disambiguation and clarity that is not characteristic of Bakhtin’s work.

Unlike Morson and Emerson, narratology-focused scholars do not fail to stress the centrality of identity to narrative theory. The narrative-theoretical project that has occupied Daphna Erdinast-Vulcan for at least the past twenty years has been focused on the aporia of narrative

⁴⁴⁶ Morson & Emerson: 184. The word ‘ir-replace-able’ provides an interesting perspective on Bakhtin’s appeal for a non-dominant subset of management/organizational theorists. The framing of the Resource-Based View of the firm [VRIN (Valuable, Rare, Inimitable, Non-substitutable)] is strikingly similar to Morson and Emerson’s use of language here. See also above: note 444 on ‘entrainment’.

⁴⁴⁷ Morson & Emerson: 184. *Oxford Language Dictionaries Online* render these terms as “horizon, range of interests” and “surroundings; environment; milieu” respectively (accessed 27-Jan-2015).

⁴⁴⁸ Morson & Emerson: 185.

⁴⁴⁹ Morson & Emerson: 217-218.

⁴⁵⁰ Morson & Emerson: 429-432.

identity.⁴⁵¹ In a series of articles commencing in 1995⁴⁵² and culminating in a book in 2013 and a further book section in 2015,⁴⁵³ she has thoroughly explored the area of Bakhtin's problematization and theorization of the *subject* as both agent and entity. Her approach to this domain is that of a philosopher rather than that of a specifically Bakhtinian scholar and the basis for her treatment of this project is her recognition of the 'borderline' nature of the position from which Bakhtin analyses subjectivity.⁴⁵⁴ Bakhtin himself states that «наше исследование движется в пограничных сферах ... на границах всех указанных дисциплин, на их стыках и пересечениях».⁴⁵⁵ Erdinast-Vulcan contends that his thesis on the subject "is premised on a blatant disregard of ontological distinctions, conceptual boundary-lines, and fundamental categories of philosophical conceptualization".⁴⁵⁶ According to this scholar, Bakhtin's disregard of these distinctions manifests itself in the integration of ethics and aesthetics into one axiological approach, conflating the subject with 'I-for-myself' and the author with 'I-for-the-other'.

Erdinast-Vulcan emphasises the asymmetry between the first and third person modalities:

"the human subject's sense of itself is always confined to a partial 'inside' perspective, which can only be transcended through an external vantage point, the view through the eyes of an authorial

⁴⁵¹ Ricoeur characterizes narrative identity as "the first aporia of temporality" (Ricoeur 1990: 244).

⁴⁵² Erdinast-Vulcan 1995, 1997, 2008a, 2008b.

⁴⁵³ Erdinast-Vulcan 2013, 2015.

⁴⁵⁴ Erdinast-Vulcan 2013: 54.

⁴⁵⁵ Бахтин 1997 [ИТ]: 306. "... our study will move in the liminal spheres ... on the borders of all the aforementioned disciplines, at their junctures and points of intersection" (Bakhtin 1986 [Speech]: 103).

⁴⁵⁶ Erdinast-Vulcan 2008a: 3.

‘other’”.⁴⁵⁷ Another aspect stressed by the scholar is the diachronic nature of ‘I-for-myself’, an approach that she says is shared by both Bakhtin and Bergson, a conception “of a being that constantly transcends its own borderlines and projects itself into the ‘temporal and semantic future’”.⁴⁵⁸ Erdinast-Vulcan also treats the ‘aesthetic’ as “a powerful psychic modality, an *I-for-the-other* mode of being, which enables the subject to see itself as a whole, contained and framed by the eyes of an internalized author”.⁴⁵⁹ In this connection, Bakhtin’s view of «я-для-себя» and «я-для-другого» is also reminiscent of the way that Vernant describes the nature of the vision which Dionysus imposes on his followers as the ‘interplay of reflecting mirrors’ (referred to in Chapter One).

According to Erdinast-Vulcan, this asymmetry between the first and third person modalities⁴⁶⁰ manifests itself in two ways. The first involves the concept of ‘transgression’⁴⁶¹, a ‘principle of seeing’ which results in the author’s ‘excess of knowledge’ over the subject,⁴⁶² where the author’s «окружение» exceeds the subject’s «кругозор». The second is the “unresolvable tension ... between the need to frame the self in an authoritative narrative and the persistent

⁴⁵⁷ Erdinast-Vulcan 2013: 62.

⁴⁵⁸ Erdinast-Vulcan 2013: 132.

⁴⁵⁹ Erdinast-Vulcan 2013: 77. Todorov comments “... we can never see ourselves as a whole; the *other* is necessary to accomplish, even if temporarily, a perception of the self that the individual can achieve only partially with respect to himself” (Todorov 1984: 95)

⁴⁶⁰ See also the section on deixis in Chapter Three.

⁴⁶¹ “As with so many concepts he finds essential, Bakhtin borrows the term from German aesthetic thought (specifically from Jonas Cohen, *Allgemeine Ästhetik*, Leipzig, 1901); he uses it in complementary sense to ‘ingredients’, to designate elements of consciousness that are external to it but nonetheless absolutely necessary for its completion, for its achievement of totalization” (Todorov 1984: 95)

⁴⁶² Erdinast-Vulcan 1997: 259.

transgression of all narratives ... where questions of grounding become impossibly difficult”.⁴⁶³

Whilst Erdinast-Vulcan has perceptively analysed this asymmetry, she has failed to note the resultant tension. Bakhtin has pointedly emphasised that this tension is indicative of the mutual necessity that binds these two divergent points of view together: « ... можно говорить об абсолютной эстетической нужде человека в другом, в видящей, помнящей, собирающей и объединяющей активности другого, которая одна может создать его внешне законченную личность».⁴⁶⁴

Jennifer de Peuter frames Bakhtin’s concerns with narrative identity appositely, but differently, as “the language of the storied self”.⁴⁶⁵ The task of her piece of work is to contrast Modernist ideals of ‘personhood’ — continuity, coherence, unity and authenticity, and equilibrium⁴⁶⁶ — with a relational approach that she characterises as ‘dialogic’ in the sense that “[s]elfhood is less a property of mind than it is a joint production, a dialogue on the boundaries of selfhood and otherness”.⁴⁶⁷

Most importantly for an understanding of Bakhtin’s approach to his own lived experience, De Peuter opines that “dialogism understands consistency and inconsistency as equal dialogical

⁴⁶³ Erdinast-Vulcan 1997: 267.

⁴⁶⁴ Бахтин 2003 [АИГ]: 115; “... one can speak of a human being’s absolute [aesthetic] need for the other, for the other’s seeing, remembering, gathering and unifying self-activity — the only self-activity capable of producing his outwardly finished personality” (Bakhtin 1990 [*Answerability*]: 35-36; translation amended [thus]).

⁴⁶⁵ de Peuter, 1998: 30.

⁴⁶⁶ de Peuter, 1998: 33-35.

⁴⁶⁷ de Peuter, 1998: 39.

partners, co-defining one another through relations of interdependence” rather than interpreting “inconsistency in the life story as an interpretive problematic”.⁴⁶⁸ In a section on the authenticity of personal identity, she notes that from a dialogic perspective the opposition between realism and essentialism has collapsed, resulting in “the destabilization of categorical oppositions such as fact and fiction”.⁴⁶⁹ She concludes, echoing Bakhtin, that “[s]elfhood is enacted liminally, on the boundaries of self and other, identity and diversity, good and evil, instinct and reason, and so on, with each dialogic partner defining the other through varying degrees of situational power”.⁴⁷⁰ Like Erdinast-Vulcan, de Peuter emphasizes the liminal aspect of the narrative self.⁴⁷¹ But the stress that she lays on the centripetal-centrifugal tension complements the other commentators and thus enables a more rounded analysis.

Bakhtin himself applies the pair of «я-для-себя» and «я-для-другого» to his analysis of subjectivity in biography and autobiography. In АИГ he affirms that in neither of these cases “does the *I-for-myself* (my relationship to myself) represent the organizing, constitutive moment of form”⁴⁷²: «Ни в биографии, ни в автобиографии я-для-себя (отношение к себе самому) не является организующим, конститутивным моментом формы».⁴⁷³ He states that the converse

⁴⁶⁸ de Peuter, 1998: 39-40.

⁴⁶⁹ de Peuter, 1998: 42.

⁴⁷⁰ de Peuter, 1998: 45.

⁴⁷¹ This is supported by Bakhtin who, as Isupov notes (Isupov 2014: 38), describes his method as one which “moves in liminal spheres” (Bakhtin 1986 [*Speech*]: 103); «наше исследование движется в пограничных сферах», Бахтин 1997 [*ПТ*]: 306).

⁴⁷² Bakhtin 1990 [*Answerability*]: 151

⁴⁷³ Бахтин 2003 [*АИГ*]: 216. “Neither in biography nor in autobiography does the *I-for-myself* (my relationship to myself) represent the organizing, constitutive moment of form” (Bakhtin 1990 [*Answerability*]: 151).

is true: «Другой ... интимно связан с миром, я — с моей внутренней внемирной активностью».⁴⁷⁴ Hence the need for both components — «... [диада]: я-для-себя и я — как я являюсь другому»⁴⁷⁵ — to co-construct an autobiography perceived through the medium of «... „другого для меня“, т. е. или как мое переживание или как переживание этого определенного единственного другого человека».⁴⁷⁶

The importance of the dyad of «я-для-себя» ('I-for-myself') and «я-для-другого» ('I-for-the-other') / «другой-для-меня» ('the-other-for-me') is underlined by its convergence with the pairing of «оболочка» ('shell') and «ядро» ('kernel') in a four-page passage of *К философским основам гуманитарных наук* [КФОГН], written in the 1940s.⁴⁷⁷

In this small and occasionally cryptic piece — in places written in note form — a direct connection is made between «несказанное ядро души»⁴⁷⁸ and «ядро души (я для себя)»,⁴⁷⁹ which is contrasted with «оболочка», in the context of «оболочка души лишена самоценности и отдана на милость и милование другого».⁴⁸⁰ In addition, this imagery seems to be

Earlier in the work Bakhtin expresses 'my relationship to myself' as "my own lived experience" (Bakhtin 1990 [Answerability]: 24; Бахтин 2003 [АИГ]: 105).

⁴⁷⁴ Бахтин 2003 [АИГ]: 119. "The other ... is intimately associated with the world, I am intimately associated with my inner, world-exceeding self-activity" (Bakhtin 1990 [Answerability]: 54).

⁴⁷⁵ Бахтин 2003 [АИГ]: 132. "... the dyad of I-for-myself and I-as-I-appear-for-the-other" (Bakhtin 1990 [Answerability]: 54).

⁴⁷⁶ Бахтин 2003 [АИГ]: 105. "... the other-for-me, i.e., either as my own lived experience or as the lived experience of this particular and unique other human being" (Bakhtin 1990 [Answerability]: 24).

⁴⁷⁷ Towards a philosophical basis for the human sciences (Бахтин 1997 [КФОГН]: 7-10)

⁴⁷⁸ The "ineffable" kernel of the soul' (Бахтин 1997 [КФОГН]: 9).

⁴⁷⁹ The kernel of the soul "I-for-myself" (Бахтин 1997 [КФОГН]: 9).

⁴⁸⁰ 'the shell of the soul that is lacking in self-value and devoted to the grace and receptivity of the Other' (Бахтин 1997 [КФОГН]: 9).

reminiscent of an earlier piece in КФП and its associated commentary, regarding «плоть-маска».⁴⁸¹ This is amplified by other references in КФОТН: 'I-for-myself' as internal self-contemplation⁴⁸² complemented by the contemplation of oneself in the mirror ('I-for-the-Other' from the point of view of the Other).⁴⁸³ This is reinforced by Bakhtin when he stresses that the subject is unfinalized and never coincides with itself, and hence is inexhaustible in its own meaning and significance — it is free,⁴⁸⁴ whereas the Other preserves its distance, providing a surplus of knowledge.⁴⁸⁵ All of these terms have been encountered separately elsewhere in Bakhtin but are integrated into one view of the narrative subject in this essay.

The initial hypothesis at the beginning of this section was that a one-to-one relationship existed between 'I-for-the-other' and the 'shell', with a parallel relationship between the other halves of the pairings ('I-for-myself' and the 'kernel'). The interoperation and interdependence between 'I' and the 'Other' that has been uncovered at this point allows us to redefine this relationship. What can be drawn from the above examination of this confluence of terms is that a more sophisticated account of the relationship between «оболочка» ('shell') and «ядро» ('kernel') is required. This account will involve a de-reification of the self, resulting in, using de Peuter's words, "... the equal viability of the forces of synthesis and dispersion, unity and fragmentation, or

⁴⁸¹ 'flesh-mask' (Бахтин 2003 [КФП]: 21; 359).

⁴⁸² «внутренним самосозерцанием (я для себя)» (Бахтин 1997 [КФОГН]: 9).

⁴⁸³ «созерцанием себя в зеркале (я для другого, с точки зрения другого)» (Бахтин 1997 [КФОГН]: 9).

⁴⁸⁴ «она незавершима и не совпадает сама с собой (она свободна)» (Бахтин 1997 [КФОГН]: 9).

⁴⁸⁵ «сохранение дистанции ... обеспечивающее избыток познания» (Бахтин 1997 [КФОГН]: 8).

the centripetal and centrifugal forces which produce the dynamic tensions of selfhood”.⁴⁸⁶ It is this multiplicity in the self that constitutes a condition for living which must inform one’s view of the «оболочка» — «ядро» dichotomy.

This multiplicity in the self is first observed in КФП and АиГ and it continues to influence the «оболочка» – «ядро» dichotomy in Bakhtin’s later works. Reviewing the development of «я-для-другого» and «я-для-себя» to «оболочка» and «ядро», one can see that the incidence of the former pair falls away dramatically from the 1920s to the 1930s, as the second pair increases exponentially in the same period (as can be seen from the graph in Appendix A).⁴⁸⁷ These are the *tempi* of the evolution of Bakhtin’s thought. And yet it is only by careful close reading that one can make the connections between the two sets of terms. It is as if a fundamental change in direction in Bakhtin’s thought has been precipitated, either by some inner change or by an outside event, or indeed both. One does not have to go far to find the external event — his arrest in 1929. But I contend that the basis for the direction of the sea-change has already been set in his earliest work. This direction represents the *mode* of change⁴⁸⁸ — the way in which Bakhtin’s theories evolve from a philosophical focus to concerns associated with a life strategy.

⁴⁸⁶ de Peuter, 1998: 31.

⁴⁸⁷ These mentions do not include instances in the commentary, which number 10, 21 and 1 respectively in Volumes 1-3.

⁴⁸⁸ *Tempo* and *mode* are both terms associated with Gould and Eldredge’s *punctuated equilibria* hypothesis. This is a palaeobiological theory which was developed to explain discontinuities in the fossil record, a record that is extensive, reconstructed, and yet incomplete, not unlike Bakhtin’s works (Eldredge & Gould, 1972, Gould and Eldredge 1977).

The application of these three modalities — «я-для-себя», «я-для-другого», and «другой-для-меня» — can be directly applied to Bakhtin’s successful efforts to refashion himself throughout his life. From Chapter One, it can be clearly seen that ‘I-for-the-other’ is a modality that Bakhtin manipulates consistently and precisely in his life story. And he does so in order to maximise his opportunities and minimise his risks. This amalgam of his tripartite theory of identity with his own lived experience forms the basis for the development of his metaphor of the ‘shell’ and the ‘kernel’.

«Оболочка» and its relation to «ядро»

Just as «я-для-себя» and «я-для-другого» are both complementary and inseparable, so are «оболочка» and «ядро». As a consequence of this, any focus on «оболочка» cannot be to the total exclusion of «ядро». Notwithstanding this, the current section will concentrate on the former aspect of the dichotomy. In order to do this, I will scrutinize Bakhtin’s use of «оболочка» in Volumes 1 – 3 of his *Собрание сочинений*. While there is no occurrence of the word in Volume 1, Volumes 2 and 3 contain a number of significant references to the term as well as some references in passing.⁴⁸⁹ I will restrict a detailed discussion of «оболочка» and its implications to instances in ПТД and КРВ, ФВхр, РЮЛЖ, and Письмо. This selection is based on the concentration of occurrences in these essays and letters. However, I will also make brief reference to instances in Т-Д and *Слово в романе* [СВР].

⁴⁸⁹ The incidence of «оболочка» overall is 33 mentions in the three volumes of the *Collected Works* (1 to 3), reducing to 19 mentions in the four volumes of the *Collected Works* (4-1 to 6).

Although there have been passing mentions to «оболочка» before this point,⁴⁹⁰ the first substantial reference occurs in ПТД. Here the shell is linked to the authorial word (that is, the word of the Other who finalises the ‘hard image’ of the hero) thus: «[в] оболочке чужого (авторского) слова дано и последнее слово героя; самосознание героя — только момент его твердого образа ...».⁴⁹¹ Some hundred pages later, Bakhtin returns to the shell-kernel theme with three paragraphs embedded in the context of Dostoevsky’s use of dialogue in a manner that is ‘always external to the plot’. He expresses it in this way: «Ядро диалога всегда внесюжетно, как бы ни был он сюжетно напряжен ... [н]о зато оболочка диалога всегда глубоко сюжетна».⁴⁹² When Bakhtin says here that the kernel of the dialogue is always external to the plot, I interpret him to mean that the kernel of the dialogue, that is to say the position, intentions, desires and goals of each of the participants are not fully defined by the immediate reactions of the interlocutor and, remaining unfinalised, change and develop on a deeper level, aligning with the properties of «я-для-себя». By comparison the surface of the dialogue (its shell) is affirmed as ‘deeply plot-related’ in that it constitutes a reaction to the words of the speakers. However, the aspect of *plot-derived* tension is still retained in the kernel of the dialogue, thus connecting it intimately not only with the shell, but at one remove, with the *plot-related* aspects of «я-для-другого».

⁴⁹⁰ Бахтин 2000 [ПТД]: 17, note 2.

⁴⁹¹ ‘In the shell of the alien (authorial) word the last word of the hero is also given; the self-consciousness of the hero is only an aspect of his hard image ...’ (Бахтин 2000 [ПТД]: 53).

⁴⁹² ‘The kernel of the dialogue is always external to the plot, [but] be that as it may, it is tense in a plot-like manner [b]ut then the shell of the dialogue is always deeply plot-like.’ (Бахтин 2000 [ПТД]: 157).

These connections are reinforced by the contents of the next paragraph which covers the basic schema of dialogue: ‘person-to-person confrontation’ as «противостояние „я“ и „другого“». ⁴⁹³ In the following paragraph, this is further amplified in an interesting reformulation of the «я-для-себя» / «я-для-другого» dichotomy in the context of Dostoevsky’s *Notes from the Underground*: «„Я-то один, а они-то все“ — думал про себя в юности человек из подполья». ⁴⁹⁴

The idea of counterposing ‘I am only one with ‘they are everyone’ is a particularly confrontational formulation of the dichotomy. ⁴⁹⁵ Because of Bakhtin’s analysis in *Проблемы поэтики Достоевского* [ППД], the context of *Notes from the Underground* evokes both the ‘word with a backward glance’ «слово с оглядкой» and the ‘word with a loophole’ «слово с лазейкой». These two figures of speech confront their interlocutors. ⁴⁹⁶ Bakhtin uses this pair of phrases to describe the presence or absence of an actual or potential response to an utterance. However, they are most often rendered as the ‘word with a sideways glance’ and the ‘word with a loophole’. It is appropriate to treat them

⁴⁹³ ‘a confrontation between «I» and «the Other»’ (Бахтин 2000 [ПмД]: 157).

⁴⁹⁴ ‘I am only one, but they are everyone » — the person from *Underground* thought about himself in [his] youth.’ (Бахтин 2000 [ПмД]: 157).

⁴⁹⁵ Note that all people who are not-I are grouped under a common denominator, to whom the hero reacts ‘as [if] to «Others» for himself’, thus: «Всех людей он приводит к одному знаменателю — „другой“ ... он подводит под эту категорию и прежде всего реагирует на них, как на «других» для себя.» (Бахтин 2000 [ПмД]: 157) ‘Each person exists for him, first of all, as «the Other» ... he lumps together under this category and above all, he reacts to them, as to «Others» for himself.’

⁴⁹⁶ «Но слово о себе герюя из подполья — не только слово с оглядкой, но, как мы сказали, и слово с лазейкой» (Бахтин 2002 [ПнД]: 259-260, emphasis added).

together because I consider them to be the obverse and reverse of the same approach to responsivity in language.⁴⁹⁷

From this perspective, ‘the word with the backwards glance’ can be characterized as discourse that as well as cautiously, almost furtively, looking back to previous words and responding to them, also looks forward to future words and anticipates them, building that anticipation into its response. Although the speakers have a degree of freedom in response – imagined or actual – to their interlocutors, this freedom is constrained by the polemical nature of the conversation. And, more than that, this constraint is, if not intentional, at least generated from the speaker’s self-expression.

The single passing reference to «оболочка» in *Толстой-драматург* [Т-Д] opens up another horizon for the shell/kernel dichotomy, where Bakhtin establishes the explicitly internal mental act (implicitly a kernel) as covered by a «драматически мертвой оболочкой».⁴⁹⁸ This emphasis is reinforced by the references to ‘shell’ in *СвР*. The first of these is a comment on the shell-like aspect of a grammatical approach to discourse, commenting on its ‘inanimate, reified shell’.⁴⁹⁹ The second takes a different approach based on literary style: «Барочное мироощущение ... создавшее этот материал, превращало его во внешнюю стилизованную оболочку для собственного

⁴⁹⁷ One impediment to considering them in this light is the generally accepted translation of «слово с оглядкой» as that of a sideways action. Refer note 10 for an elaboration of this issue. The consequent revised reading discussed in that footnote enables the construal of the terms as complements.

⁴⁹⁸ A ‘dramatically inanimate shell’ (Бахтин 2000 [Т-д]: 182).

⁴⁹⁹ This reference — “мертвая, вещная оболочка слова” (Бахтин 2012 [СвР]: 110) — is entirely consistent with Bakhtin’s approach to *langue* as abstract and decontextualized.

содержания».⁵⁰⁰ However, the common theme of both instances is a shell that is quite distinct from its contents.

In the two great chronotope-focused works of the 1930s — *К «Роману воспитания»* and *Формы времени и хронотопа в романе* — and in *Роман как литературный жанр*, there are other, richer themes to explore. The connection between «оболочка» and «метаморфоза» is introduced obliquely in *КРВ*, when Bakhtin first embeds a stray reference to «доклассово-фольклорная оболочка мифа»⁵⁰¹ into a series of passages on metamorphosis, surrounded by references to Ovid, Apuleius, Pseudo-Lucian and Heraclitus. Later on in the same page the connection between the two terms is made more explicit: «Идея метаморфоз скована мифологической оболочкой у Овидия».⁵⁰² It is also during this part of his *oeuvre* that the first connections are made between double-voiced literary genres, the two-faced nature of metamorphosis, and parody.⁵⁰³ These connections are reinforced due to the proximity of the terms in *Фвхр*, where references that connect the ‘shell’ and ‘transformation’ are scattered quite thickly in the early part of Section 2: ‘Apuleius and Petronius’.⁵⁰⁴

⁵⁰⁰ ‘The Baroque attitude ... having created this material, converted it into an external stylised shell for its own content.’ (Бахтин 2012 [СвР]: 143).

⁵⁰¹ ‘... in the pre-class-folkloric shell of myth’ (Бахтин 2012 [КРв]: 254).

⁵⁰² ‘The idea of metamorphosis is pinned down by a mythological shell in Ovid’ (Бахтин 2012 [КРв]: 254).

⁵⁰³ «... в некоторых риторических двуголосых жанрах (пародийных стилизациях)» (Бахтин 2012 [СвР]: 143); and «Пародийный и двойственный характер метаморфозы в осле» in connection with Apuleius (Бахтин 2012 [КРв]: 254).

⁵⁰⁴ Refer Бахтин 2012 [Фвхр]: 367-370. The term «оболочка» is paired with both «метаморфоза» (Бахтин 2012 [Фвхр]: 367, 368, and 370) and «мифологический» (Бахтин 2012 [Фвхр]: 368), and sometimes all three are used together (Бахтин 2012 [Фвхр]: 369, 370), thus demonstrating the closeness of the connection.

The connection between ‘shell’ and narrative identity in Bakhtin’s earlier work has already been explored in detail in an earlier section of this chapter, but this tie is further reinforced by passages in Фвхр and РкЛЖ. There are two markers for this set of connections: the first is the use of the phrase «жизненный путь» and the second is more explicit — the repeated use of «тождество».⁵⁰⁵ This nexus of ‘life path’, ‘identity’ and ‘metamorphosis’ is inextricably bound up with the concept of shell in these passages. There is also an implicit reference to the chronotope on the same page («реальный путь странствований — скитаний» — the ‘real way’ of ‘travels/wanderings’). These markers are extended on a succeeding page by Bakhtin’s explicit connection of a number of these elements:

«В мифологической оболочке метаморфозы (превращения) содержится идея развития, притом не прямолинейного, а скачкообразного, с узлами, следовательно, определенная форма временного ряда».⁵⁰⁶

In the context of Фвхр, the idea of a temporal sequence and the reference to knots are both associated firmly with Bakhtin’s concept of the chronotope.⁵⁰⁷

In РкЛЖ, the emphasis is more squarely on the relationship between ‘I-for-the-Other’ and the ‘shell’. Thus, when Bakhtin writes «Все, что может сказать о нем другой, автор, он может

⁵⁰⁵ ‘Life path’ and ‘identity’ respectively; for both refer Бахтин 2012 [Фвхр]: 368. The connection of тождество and метаморфоза is underscored by the reference to Heraclitus in note 7 on the same page.

⁵⁰⁶ ‘In its mythological shell of metamorphosis (transformation) is contained the idea of development, and besides it is not of a straightforward but of an uneven [kind], with knots, as a consequence, [it has] the definite form of a temporal sequence’ (Бахтин 2012 [Фвхр]: 369).

⁵⁰⁷ «В хронотопе завязываются и развязываются сюжетные узлы» (Бахтин 2012 [Фвхр]: 495).

сказать о себе сам, и обратно ... он весь во вне, в нем нет оболочки и ядра»,⁵⁰⁸ he is stressing the link between «оболочка» and «я-для-другого» by repeating the description of the latter in the context of discussing the former. This is underlined in the footnote to a later part of the same paragraph in which Bakhtin says, *inter alia*, «... я вижу себя глазами другого ... [и] расхождения между ними [точек зрения на себя и на другого] ещё нет», including in another section of the footnote the pithy, but rather cryptic: «Совпадение изображающего с изображаемым».⁵⁰⁹

The second pair of themes involves Bakhtin's treatment of «оболочка» as either a *carapace* or a *membrane*. The treatments seem to derive from Goethe and Rabelais, respectively. I have pointed out this distinction because these two approaches to the liminality of the shell seem to be embodied in the contrast between a hard, detachable *carapace* and a soft, porous membrane. Two of the occasions where the 'shell' is treated as a *carapace* occur in КРВ. The first is a reference to the ability to slough off a shell, as in “эта оболочка сбрасывается”.⁵¹⁰ This is reinforced around forty pages later when Bakhtin writes “Такие ... музейно-антикварные внешние оболочки голого прошлого ... Гёте не любил ... гнал их от себя”, which seems to indicate that Goethe was able to detach the shells from himself, like the ghosts referred to in the original text.⁵¹¹ And the final

⁵⁰⁸ ‘All that can be said about him by another, the author, he can say about himself, and vice versa ... he is all on the outside, in him is neither shell nor kernel’ (Бахтин 2012 [Рклг]: 637).

⁵⁰⁹ ‘I see myself with the eyes of the Other.’ ... ‘a discrepancy between them [the points of view of myself and the Other] still does not exist’ (Бахтин 2012 [Рклг]: 637 note *); and, from the same source, ‘The coincidence of depicting and having been depicted’.

⁵¹⁰ ‘... this shell is thrown off’ (Бахтин 2012 [КРВ]: 260).

⁵¹¹ ‘Goethe hated such «ruined» museo-antiquarian external shells of the naked past ... [and] drove them out of himself’ (Бахтин 2012 [КРВ]: 300).

reference that Bakhtin makes to a hard exterior in this volume is where he refers in РкЛЖ to laughter breaking a shell: «Смех ... вводит предмет в зону грубого контакта, где его можно фамиллярно ощупывать со всех сторон ... разбивать его внешнюю оболочку, заглядывать в нутро ...».⁵¹² By contrast, the view of «оболочка» as a *membrane* only originates from one reference to Rabelais' *Gargantua and Pantagruel* (Book II, Chapter XIV), where the monk, Brother Jean pierced a vital organ: «... он пробил ему ... мозговые оболочки»⁵¹³ (where «мозговые оболочки» can be translated as 'cranial membranes'⁵¹⁴).

The final theme involves the complete externalisation of the personality so that the distinction between «оболочка» and «ядро» is all but dissolved. In Section III of Фвхр, Bakhtin makes the point that «Как гётевская природа (для которой этот образ и послужил „первофеноменом“), он „не имеет ни ядра, ни оболочки“, ни внешнего, ни внутреннего».⁵¹⁵ From this it would appear that Goethe takes a position where the shell and kernel are conflated, thus shedding new light on passages mentioned earlier.⁵¹⁶ Bakhtin makes this point on his own account in РкЛЖ when he repeats the formula: «... он весь во вне, в нем нет оболочки и

⁵¹² 'Laughter ... introduces the subject into a zone of deep contact, where one is able to feel it informally on all sides ... to break its external shell, to peep into the interior' (Бахтин 2012 [РкЛЖ]: 627)

⁵¹³ '...he pierced ... the cranial membrane' (Бахтин 2012 [Фвхр]: 423).

⁵¹⁴ *мозговой*, Slovo Ed Russian-English Dictionary v7.4 (Paragon Software Group 2010).

⁵¹⁵ 'Such a Goethe-esque nature (for which this image has also served [as an] "Ur-Phaenomenon"), "has neither kernel, nor shell", neither the external nor the internal.' (Бахтин 2012 [Фвхр]: 390)

⁵¹⁶ Specifically that mentioned in note 498, above.

ядра».⁵¹⁷ But the most detailed and concentrated coverage of this theme occurs in Bakhtin's letter of 11 October 1962 to Kanaev. Bakhtin writes «Гёте ничего не искал „за“, „позади“ или „по ту сторону“, отказывался различать внешнее и внутреннее, оболочку и ядро и т. п. Вместо противопоставления явления и сущности Гёте пользуется сопоставлением части и целого или „одного“ и „всего“».⁵¹⁸

To sum up, the development path of Bakhtin's use of «оболочка» provides evidence of the process of progressive enrichment of the term from its relatively un-nuanced usages in Volume 2 (and part of Volume 3) of the *Collected Works*⁵¹⁹ to the full polyphony of his treatment in the balance of Volume 3.⁵²⁰ In his works of the late 1930s, Bakhtin presents a delicately nuanced view of the term that reflects the complexities of the nexus between identity and transformation. In addition to this, the term projects the multiform nature of the 'shell' as both a protective coating against 'without' as well as a porous layer providing access 'within', both resistant and pliable. And finally, in Goethe's hands, «оболочка» is presented as unable to be differentiated from that which it contains, the 'kernel'.

⁵¹⁷ '... he is all on the outside, in him is neither shell nor kernel' (Бахтин 2012 [РкЛг]: 637). It is also significant that the image of the mask is evoked in the same passage (его нельзя разоблачать) as well as in the context of a passage in the same essay cited earlier (see note 515).

⁵¹⁸ 'Goethe searched for nothing "behind", "at the back of", or "on the other side", he refused to differentiate external and internal, shell and kernel and so on. Instead of the opposition of appearance and essence, Goethe made use of the comparison of part and whole or "one" and "all"' (Бахтин 2012 [ПК]: 710).

⁵¹⁹ ПТД and Т-Д [Volume 2], and СВР [Volume 3].

⁵²⁰ КРВ, ФВхр, РкЛЖ, and Письмо.

These five themes were selected as being representative of Bakhtin's use of the concept: the connection between «оболочка» and «метаморфоза» and by extension between 'shell' and the narrative identity that is in the process of transformation (through the interaction of «я-для-другого» and «я-для-себя»). In addition, the nature of the shell has been examined in Bakhtin's treatment of «оболочка» as a carapace, as opposed to a membrane. And finally, we have considered his examination of Goethe's view that the whole person can be completely externalised, so that the shell and kernel are indivisible, possibly even identical.⁵²¹

As has been seen in this section, Bakhtin's use of the metaphors of «оболочка» and «ядро» in the works cited above, whilst not invariable, operates within clearly drawn parameters. The notions of 'shell' and 'kernel' illustrated by the works discussed above are focused not only on developing a conceptual framework *per se*, but also on providing the writer with a kind of theoretical elbow-room to continue refashioning himself in a way that is entirely consistent with his philosophical orientation. Whilst Bakhtin has offered us this rich interpretation of the 'shell', there is a complementary concept that has other resonances for this protective carapace — the 'mask' («маска»). And some of these resonances are more visceral than the cerebral nuances of «оболочка».

⁵²¹ In addition to these themes, Hirschkop has made the point in a recent article (Hirschkop 2015: 136) that this 'shell'/'kernel' metaphor is seen by the editors of the *Collected Works* as a necessary "narrative motif, one which allows us to distinguish, in each and every work, between a philosophical core (belonging to the private Bakhtin) and a surface drawn from sociology, politics, or literary criticism (belonging to public 'circumstances')". As has been argued above, I agree with this distinction, but construe it to be a protective mechanism rather than a separation of the 'pure' and the 'worldly'.

Another manifestation of «оболочка»: «маска»

Despite one's expectation that «оболочка» and «маска» should be explicitly connected by Bakhtin, this occurs only once in the seven volumes of his *Collected Works*. This specific occurrence indicates equivalence, but it only appears in Bakhtin's précis of Cassirer in preparation for his 1940 dissertation on Rabelais: «Каждая вещь, по Прейсу, сопринадлежа другой вещи, идентифицируется с нею, внешнее явление отзывается лишь оболочкой, маской ...».⁵²²

However, more oblique indicators exist and these align quite closely with most of the themes already explored in connection with «оболочка». These indicators include Bakhtin's treatment of the shell as a carapace, his connection between 'shell' and 'transformation', the view that a personality can be completely externalised, and Bakhtin's connection between 'shell' and the concept of narrative identity. All of these are mirrored in his treatment of the mask, although they will be categorised slightly differently below.

The analysis of the term «маска» that follows draws mainly on four pieces of Bakhtin's work, ranging from the late 1930s (Фвхр), through the 1950s and 1960s (ТФР and ПТ) to the early 1970s (РЗ:60-70). In these works the mask is treated as a carapace, with very few exceptions. This treatment is continually reinforced by the protective nature of the mask and its ability to be detached.⁵²³

⁵²² 'According to Preys, each thing, belonging to another thing, is identified with it, [its] external appearance recalls only [its] shell, [its] mask.' (Бахтин 2008 [Из конспектов к «Рабле»: Кассирер]: 794).

⁵²³ Refer Bakhtin's reference to hiding behind the mask of silence (Бахтин 2002 [РЗ:60-70]: 377) and throwing off the mask (Бахтин 2010 [ТФР]: 214).

From a temporal perspective, masks fall into two categories, each with a different nature: ‘invented’ (and hence attributable to a creator or inventor) and ‘uninvented’ (unattributable to a specific author).⁵²⁴ As a contrast to the ‘invented’ nature of the former, Bakhtin introduces the problem of «авторство»,⁵²⁵ the ‘personal authorial presence’ embodied in an uninvented mask: «Общая проблема личного авторства ... здесь осложняется необходимостью иметь какую-то существенную невыдуманную маску, определяющую ... позицию автора по отношению к изображаемой жизни ...».⁵²⁶ This nexus of the ‘mask’ «маска», the ‘personal authorial presence’ «авторство» and the ‘image of the author’ «образ автора» percolates through the commentary in the *Collected Works*. Bakhtin has lightly sprinkled the latter term throughout four of the seven volumes, yet its incidence in the commentaries far outweighs its distribution in Bakhtin’s texts. In order to understand this seemingly disproportionate emphasis and its ramifications, this term must be treated separately.

According to the Commentary on P3:60-70 (*Тетрадь 1*), Bakhtin considered the question of the position of the author to be central to his analysis of the polyphonic novel.⁵²⁷ The centrality of this question appears to be entirely consistent with considerations of the author’s ability to represent the independence of the points of view of individual characters from those of the

⁵²⁴ Refer to note 562, below and the text to which it refers.

⁵²⁵ I have rendered «авторство» as ‘personal authorial presence’ rather than ‘authorship’ throughout as I believe that this conveys Bakhtin’s concrete use of this term.

⁵²⁶ БАХТИН 2012 [Фвхр]: 413. ‘The general problem of the personal authorial presence ... is complicated here by the need to have some kind of essential uninvented mask, determining such a position of the author by his attitude towards the life represented ...’.

⁵²⁷ БАХТИН 2002 [P3:60-70]: 546, note 3.

author.⁵²⁸ The author's position is also explicitly connected to the 'image of the author' («образ автора»),⁵²⁹ a concept articulated by V. V. Vinogradov in *О языке художественной литературы* [abbreviated *ОЯХЛ*]⁵³⁰ and much commented on by Bakhtin.⁵³¹ And, in turn, Bakhtin sometimes explicitly equates the author's image with the 'mask of the author' («маска автора»), or with a subset of types of authorial mask.⁵³² In order to establish whether or not Bakhtin always treats these terms in the same way one has to look at the context of their use when treated separately.

In ПТ Bakhtin examines the extent to which one can talk about «образ автора». He maintains that Vinogradov's use of the term is inherently self-contradictory: «Мы чувствуем его во всем как чистое изображающее начало (изображающий субъект), а не как изображенный (видимый) образ».⁵³³ In addition, «образ автора» is also a recursive concept: «Так называемый «образ автора» — это, правда, образ особого типа, отличный от других

⁵²⁸ «Автор вне изображенного (и в известном смысле созданного им) мира. Он осмысливает весь этот мир с более высоких и качественно иных позиций» (Бахтин 1997 [ПТ]: 323). “The author is outside the world depicted (and, in a certain sense, created) by him. He interprets this entire world from higher and qualitatively different positions.” (Bakhtin 1986 [PT]: 116).

⁵²⁹ «Между тем автор занимает позицию именно в этом реальном диалоге и определяется реальной ситуацией современности. В отличие от реального автора созданный им «образ автора» лишен непосредственного участия в реальном диалоге ...» (Бахтин 1997 [ПТ]: 324). “Yet the author occupies a position precisely in this real dialogue and is defined by the real situation of the day. As distinct from the real author, the image of the author that is created lacks that direct participation in the real dialogue ...” (Bakhtin 1986 [Speech]: 116).

⁵³⁰ Бахтин 2002 [P3:60-70]: 547-550 *passim*. For an electronic version of Vinogradov's book, see <http://books.e-heritage.ru/book/10077376> [accessed 21-Apr-2015].

⁵³¹ Prior to the 1950s, Bakhtin mentions «образ автора» only once, in *Из ранних редакций (1938-1939 гг.): Тетрадь к «Рабле»* which is dated by the editors much earlier than Vinogradov's book (1959).

⁵³² «Маски автора (образы автора)» (Бахтин 1997 [ПТ]: 318) and «в том числе и «образу автора» (и другим авторским маскам)» (Бахтин 1997 [ПТ]: 314), “including [directing all words both] to the image of the author (and to other authorial masks ...)” (Bakhtin 1986 [Speech]: 110).

⁵³³ Бахтин 1997 [ПТ]: 313. “We feel him [the author] in everything as a pure depicting origin (depicting subject), but not as a depicted (visible) image” (Bakhtin 1986 [Speech]: 109).

образов произведения, но это образ, а он имеет своего автора, создавшего его».⁵³⁴ This is complicated even further by Bakhtin's assertion that, whilst the author cannot be separated from his characters, the *image of the author* can.⁵³⁵ This forms the theoretical basis for the double-voicedness of many of the utterances that Bakhtin analyses throughout his work. And finally, Bakhtin maintains that the planes of both authorial and characters' speech can intersect.⁵³⁶ Bakhtin constructed his conception of the image of the author as both more complex and more nuanced than Vinogradov's formulation which concentrated exclusively on the treatment of linguistic differences in relation to the concept of «образ автора».⁵³⁷

However, there is an apparent change in Bakhtin's position in Section X of ФВхр. This section was written in 1973, to fulfil a request from Bakhtin's publisher for a conclusion that summed up his episodic treatment of the chronotope in the nine earlier sections of this work.⁵³⁸ In this passage he reiterates his assertion in ПТТ that the author's image is a *contradictio in adjecto*. However, apart from saying that the term is inadequate (with supporting arguments), Bakhtin deems it unnecessary to qualify «образ автора» in the positive, inquisitive light evident in the

⁵³⁴ Бахтин 1997 [ПТТ]: 313. "The so-called author's image is, to be sure, a special type of image, distinct from other images in the work, but it is an image and has its own author who created it" (Bakhtin 1986 [Speech]: 109).

⁵³⁵ Бахтин 1997 [ПТТ]: 323. «Автора нельзя отделять от образов персонажей ... [н]о образ автора можно отделить от образов персонажей...». "The author cannot be separated from the images [of the] characters ... [b]ut the *image* of the author can be separated from the images of the characters" (Bakhtin 1986 [Speech]: 116 [translation amended, but the emphasis is the translator's]).

⁵³⁶ «Но плоскости речей персонажей и авторской речи могут пересекаться, т. е. между ними возможны диалогические отношения» (Бахтин 1997 [ПТТ]: 323). "But the planes of the characters' speech and that of the authorial speech can intersect, that is, dialogic relations are possible between them" (Bakhtin 1986 [Speech]: 116).

⁵³⁷ «Внелингвистические взаимоотношения между ними Виноградовым не раскрываются» (Бахтин 1997 [ПТТ]: 324).

⁵³⁸ Wall 2001: 140.

earlier text (ПТ). He says, almost petulantly: «„Образ автора“, если понимать под ним автора-творца, является *contradictio in adjecto*; всякий образ — нечто всегда созданное, а не создающее» and «Вот почему термин „образ автора“ кажется мне неудачным ...».⁵³⁹

However, these positions do not appear to be incompatible as I interpret Bakhtin to mean that the term ‘image of the author’ is inadequate in its current formulation, but would be much more useful if appropriately nuanced (as in ПТ) and even more use if completely replaced by «маска автора».⁵⁴⁰

Finally, in one passage of PЗ:60-70 (*Тетрадь 1*), under the heading of ‘Metalinguistics and the philosophy of language’, Bakhtin weaves together considerations of ordinary language philosophy, genre, concepts of authorial identity and the personality of characters together with the mask.⁵⁴¹

Early in the passage he establishes that the phrase ‘authorial mask’ is commonplace.⁵⁴² This short comment attracts a 12-page end-note from one of the editors, L. Gogotishvili, in which she canvasses the positions of Vinogradov, Blagoi, Timofeev, Likhachev and others vis-à-vis Bakhtin on the relationship between the mask and the author’s image. The most important point to arise from this commentary was that Bakhtin’s perspective continued to evolve over the period of these

⁵³⁹ Бахтин 2012 [Фвхр]: 502. “The ‘image of the author’ — if we are to understand by that the author-creator — is a contradiction in terms; every image is a created, and not a creating, thing.” “That is why the term ‘image of the author’ seems to me so inadequate ...”(Bakhtin 1981 [*Dialogic*]: 256)

⁵⁴⁰ Бахтин 1997 [ПТ]: 323.

⁵⁴¹ Бахтин 2002 [PЗ:60-70]: 371.

⁵⁴² «Принято говорить об авторской маске» (Бахтин 2002 [PЗ:60-70]: 371). ‘It is usual to talk about the authorial mask.’

notebooks,⁵⁴³ but at the time of writing this section of the *Working notes*, three points were quite plain to him: there was a clear difference between the person and the mask, the mask and the authorial presence were identical, and the latter was dependent on genre: «Но в каких же высказываниях (речевых выступлениях) выступает лицо и нет маски, т. е. нет авторства. Форма авторства зависит от жанра высказывания».⁵⁴⁴

From this investigation our view of the mask has been expanded in relation to the author's image. This concept, according to Gogotishvili, was central to Bakhtin's concerns. In addition to this importance, it was also central to the development of Bakhtin's rhetorical strategy. There are other aspects of Bakhtin's use of the term «маска» which augment this view, from perspectives which are respectively philosophical (its transformative nature), folkloric (its role-depicting nature), and Classical (its roots in the philology of ancient Greece). The Classical perspective of the mask, discussed in Chapter One, can be illustrated by the episode in the *Bacchae*, where, according to Vernant's observation, Euripides arranges for Dionysus to stage-manage the 'play within a play'⁵⁴⁵ thus raising the issue of «образ автора».

The earliest mention of «маска» in ФВХр is in connection with *The Golden Ass* of Apuleius, a work that is centred on metamorphosis. The context of Bakhtin's reference to the hero's adoption

⁵⁴³ «... бахтинские формулировки могли меняться — в зависимости от предполагаемого адресата и оппонента» (Бахтин 2002 [РЗ:60-70]: 546).

⁵⁴⁴ Бахтин 2002 [РЗ:60-70]: 371. 'But in such expressions (spoken performances) the *person* makes a speech and not the mask, that is, not the authorial presence. The form of authorial presence depends on the *genre* of the expression' (emphasis in original).

⁵⁴⁵ Vernant, 1990: 398.

of a mask is in connection with the character's function of 'unpacking' domestic life by assuming a mask: «иногда сам надевает бытовую маску».⁵⁴⁶ But in the context of transformation, Bakhtin uses the term 'mask' most frequently in his works on Rabelais where he emphasises not only its significance («Еще более важен мотив маски. ... Исчерпать многосложную и многозначную символику маски, конечно, невозможно»), but also its close ties with change and metamorphosis («Маска связана с радостью смен и перевоплощений, с веселой относительностью ... маска связана с переходами, метаморфозами, нарушениями естественных границ ...»)⁵⁴⁷ The mask can also represent the life-affirming aspect of carnivalesque activities, as Goethe's description of the persona behind the mask of 'Pulchinello' in *Italian Journey* exemplifies.⁵⁴⁸

The obverse of this rich vision of the mask is that of concealment, manifested in disguise or silence: «маска что-то скрывает, утаивает, обманывает».⁵⁴⁹ According to Bakhtin, this is a layer of meaning («ряд новых значений, чуждых ее изначальной природе») added by the Romantic grotesque, a 'sombre hue' sometimes covering 'a frightful void'.⁵⁵⁰ Conversely an absence can be presented as a mask, as in PЗ:60-70: «Осторожное молчание и боязнь высказать свое мнение и

⁵⁴⁶ 'at [other] times he puts on a domestic mask' (Бахтин 2012 [Фвхр]: 376).

⁵⁴⁷ 'Yet more significant is the motif of the mask. ... It's impossible, you know, to exhaust the hyper-complex and polysemic symbolism of the mask'; and 'The mask is linked with the joy of changes and transformations, with merry relativity ... the mask connected with transitions, metamorphoses, breaches of natural boundaries ...' (both Бахтин 2010 [ТФР]: 50).

⁵⁴⁸ Cited in Бахтин 2010 [ТФР]: 265.

⁵⁴⁹ 'the mask conceals something, keeps a secret, deceives' (Бахтин 2010 [ТФР]: 51).

⁵⁵⁰ 'a set of new significances, alien [from] primordial nature' (all quotations from Бахтин 2010 [ТФР]: 51).

раскрыть свою внутреннюю жизнь. Молчание становится маской, за которую человек скрывается».⁵⁵¹ One encounters a similar ambivalence of presence and absence when viewing the mask's significance in the domain of classical philology, based directly on Classical Greek texts and also on the Classical tradition as mediated through Nietzsche and the Symbolists. This reinforces the earlier analysis of the mask as "a means of expressing absence in a presence".⁵⁵²

Goethe's refusal to differentiate external from internal⁵⁵³ is echoed in Bakhtin's treatment of the roles of Rogue, Jester and Fool in *Фвхр*. Particularly applicable to these three characters is Bakhtin's observation that «маска всегда окутана какой-то особой атмосферой, воспринимается как частица какого-то иного мира».⁵⁵⁴ Bakhtin makes the point very early on in Section VI of *Фвхр* that the existence of these figures is 'not straightforward', but rather metaphorical, and that 'they are not what they appear'.⁵⁵⁵ The way of life of all three characters is a 'twisted reflection' of others' lives, although the Rogue has at least a tenuous contact with reality.⁵⁵⁶ The function of the Rogue (and that of his analogues: the beggar, robber and swindler) also provides a clear connection to the theme of metamorphosis: «перемена ролей-масок плутом».⁵⁵⁷ This can be seen not only in historical texts but also in the fictional characters of

⁵⁵¹ 'The careful silence and dread to speak one's mind and to expose one's innermost life. The silence that becomes a mask, behind which the individual lies in hiding' (Бахтин 2002 [РЗ:60-70]: 377)

⁵⁵² Vernant, 1990: 396.

⁵⁵³ See note 518, above.

⁵⁵⁴ 'the mask is always shrouded by some specific atmosphere, it is perceived as a particle of some different world' (Бахтин 2010 [ТФР]: 51).

⁵⁵⁵ Both from Бахтин 2012 [Фвхр]: 412.

⁵⁵⁶ Бахтин 2012 [Фвхр]: 412.

⁵⁵⁷ 'the change of role/mask by the rogue' (Бахтин 2012 [Фвхр]: 382).

Bakhtin's contemporaries, such as Ostap Bender in the novels of Ilf and Petrov.⁵⁵⁸ But each of the three roles (плут, шут и дурак) has his own set of archetypal characteristics: the Rogue's 'sober, lively and cunning wit' is clearly distinguished from 'the parodic taunts of the Jester and the simple-minded incomprehension of the Fool'.⁵⁵⁹

But overall Bakhtin characterises them as «лицедеи жизни, их бытие совпадает с их ролью, и вне этой роли они вообще не существуют»,⁵⁶⁰ hence the bond with the 'common entertainer's mask'.⁵⁶¹ These masks, particularly those of the Jester and Fool, have a 'deep-seated popular root' that stretches so far back into pre-history that Bakhtin can say: «Маски эти невыдуманные ...»,⁵⁶² i. e. the masks are so old that they cannot be attributed to any single individual.

The relationship of the mask to narrative identity is re-traced when Bakhtin reintroduces the concept of 'otherness' in connection with the Jester and Fool: «Им присуща своеобразная особенность и право — быть чужими в этом мире ... они видят изнанку и ложь каждого положения». ⁵⁶³ This is clearly a viewpoint which provides a 'surplus of vision' from which position «я-для-другого» views the world. And if that were not enough to cement the

⁵⁵⁸ See note 334.

⁵⁵⁹ «трезвый, веселый и хитрый ум плута» and «пародийные издевки шута и простодушное непонимание дурака» (both Бахтин 2012 [Фехр]: 412).

⁵⁶⁰ 'These are life's mummers, their existence coincides [exactly] with their role, and outside this role they don't exist at all' (Бахтин 2012 [Фехр]: 412).

⁵⁶¹ Бахтин 2012 [Фехр]: 412.

⁵⁶² 'These masks are uninvented ...' (Бахтин 2012 [Фехр]: 413).

⁵⁶³ Бахтин 2012 [Фехр]: 412. 'Inherent in them is [both] a distinct feature and a right — to be an 'Other' in this world ... they see the seamy side and the falsity of each situation.'

connection, Bakhtin goes on to say: «Поэтому они могут пользоваться любым жизненным положением лишь как маской»⁵⁶⁴ — there is no «я-для-себя» behind the mask.

Bakhtin's use of the mask as extension of the 'shell' metaphor provides further evidence of the ways in which he is continually refining his strategies of refashioning in the three areas discussed above. Firstly, his formulation of the «маска автора» manages to put distance between the person who writes and the authorial presence who narrates (and the characters who act within the work's confines). This distance is also established by Bakhtin's deliberate preference for the subject matter of Classical and medieval literature and festivals. Even when this preference is seemingly unexercised (as in the case of Goethe, and especially Dostoevsky), continuity is preserved by explicitly linking Goethe with carnival and Dostoevsky with Menippean satire. The establishment of 'distance' between the notional topic of analysis and contemporary society has a history that stretches back to the Aesopian language of XIXth century Russia. And finally, Bakhtin conspicuously utilises convenient archetypes with whom all Russians are familiar — the Rogue (or picaro with his 'sober, lively and cunning wit'⁵⁶⁵), the Jester (who can act the role of social critic with impunity) and the Fool (whose role has been sanctified in Russia from time immemorial).⁵⁶⁶

⁵⁶⁴ Бахтин 2012 [Фехр]: 412. 'And so they can make use of every position in life only as a mask.'

⁵⁶⁵ "... трезвый, веселый и хитрый ум плута" (Бахтин 2012 [Фехр]: 412)

⁵⁶⁶ However, Bakhtin's treatment of one specific aspect of the role of «дурак» — that of the «юродивый» or Holy Fool — is unevenly covered throughout his *Collected Works*. As might be expected, some of these instances are concentrated in Volume 2, in the prefaces Т-Д, ТкД, and in ЗЛИРЛ. And there is, in Volume 1, one quite substantial footnote to a passage in АиГ that makes reference to the юродивый — or its derivatives, including «юродство» — in Бахтин 2003 [АиГ]: 191, 209, 212, 233, 240, 244; note 218, 685-686. But there are no mentions of either of these terms in Volumes 4-1 and 4-2, and only a handful in both the Dostoevsky works in Volumes 2 and 6. But

An ambivalent view of «оболочка»: «травестия»

Carnival as a temporary inversion of the normal order (for example «развенчание») during the people's feast-days is one of Bakhtin's signature concepts. In refining it, he emphasised two aspects of the term «маска» that augment the concept of mask as transformation: 'travesty'⁵⁶⁷ and 'masquerade'. Both these aspects have in common the notion of 'burlesque'⁵⁶⁸ and both include the ideas of dressing up and disguise.⁵⁶⁹ For the purposes of this dissertation, I have focused on «травестия», for a number of reasons, all of which relate to the complex, value-laden nature of that term. By contrast, «маскарад» is a relatively simple extension of the term 'mask'.

Bakhtin uses the term «травестия» in four senses. His main use is in conjunction with parody, either as a compound word («пародийно-травестирующий»),⁵⁷⁰ or as a pair or terms coupled together («пародия и травестия»),⁵⁷¹ or as a term qualified by the adjective 'parodic' («пародийная травестия»).⁵⁷² In all these instances, 'parodic' and 'travesty' or 'travestizing'⁵⁷³ are mutually supportive terms, augmenting the sense of the companion element. In its second sense,

the most surprising absence is in Фвхр, in SVI on the Rogue, Jester and Fool, where only one instance of «юродивый» occurs. It is almost as if Bakhtin were trying to avoid this issue.

⁵⁶⁷ *Travesty*: also in the sense of "An alteration of dress or appearance; a disguise, *spec.* (dressing in) the attire of the opposite sex." (*OED Online*, retrieved 1-Sep-2014).

⁵⁶⁸ *Burlesque*: "Grotesque imitation of what is, or is intended to be, dignified or pathetic, in action, speech, or manner; *concr.* an action or performance which casts ridicule on that which it imitates, or is itself ridiculous as an unsuccessful attempt at serious impressiveness; a mockery." (*OED Online*, retrieved 14-Apr-2015).

⁵⁶⁹ Bakhtin refers to the 'king' of the carnival as being 'disguised, «frocked up» in the Jester's motley': «его переодевают, «травестируют» в шутовской наряд» (Бахтин 2010 [ТФР]: 214).

⁵⁷⁰ For example, Бахтин 2012 [ИПРС]: 523 ff.

⁵⁷¹ For example, Бахтин 2012 [КВТР]: 603.

⁵⁷² For example, Бахтин 2012 [ИПРС]: 527.

⁵⁷³ *Travestize*, v. "To practise travesty." (*OED Online*, retrieved 25-Mar-2016).

‘travesty’ is used in its lexical sense⁵⁷⁴ as a literal caricature.⁵⁷⁵ In yet another sense, Bakhtin employs the word in an implicitly theatrical manner indicating a form of disguise which clothes a certain form of discourse.⁵⁷⁶ And finally, there is the sense of disguised sexual ambivalence mediated by an association with explicit references to the phallus⁵⁷⁷ and hence part of the connotative framework supporting the term.

In respect of the last sense, «травестия» expands the notions of burlesque and disguise to involve a number of other ingredients that make the term much more sexually confronting. The element of cross-dressing implicit in the concept of ‘travesty’ involves notions of covert sexuality and sexual ambivalence that could be perceived as an offense against nature and thus both shocking and threatening. To contextualise this aspect of travesty, sexual mores changed radically during the first three decades of Soviet rule. While the 1920s was a period of sexual liberation, this was moderated during the next decade under Stalinism. And, by the 1940s, when a considerable amount of Bakhtin’s material on travesty was written, attitudes to sex were straightlaced to a ‘Victorian’ degree. While this practice of androgynous disguise was hallowed in Classical Greece⁵⁷⁸

⁵⁷⁴ *Travesty*: “A literary composition which aims at exciting laughter by burlesque and ludicrous treatment of a serious work; literary composition of this kind; hence, a grotesque or debased imitation or likeness; a caricature” (*OED Online*, retrieved 1-Sep-2014).

⁵⁷⁵ For example, Бахтин 2012 [РкЛЖ]: 625.

⁵⁷⁶ For an example of this usage see note 598, below and its referring text.

⁵⁷⁷ «Аналогичные сочетания образов действительности с пародиями и травестиями, с непристойностями и бранью в формах импровизированного диалога или полу-диалога имели место и в представлениях, которые давали по всей | Греции дейкеласты и фаллофоры (о них мы узнаем у Афиняя)» (Бахтин 1997 [Сам]: 19-20); ‘Analogous combinations of images of reality with parodies and travesties, with obscenities and abuse in the forms of extempore dialogue or poly-dialogue also had a place in the performance which *deikelasti* and *phallophori* gave all over Greece (we will come to know them in Athenaeus)’.

⁵⁷⁸ Refer to Dionysus’ androgynous garb in Chapter One, above.

and the Middle Ages⁵⁷⁹ and even in the Renaissance (with the theatrical convention of boys playing female parts),⁵⁸⁰ later epochs felt distinctly uncomfortable with this sexual ambivalence. This sexual inversion was perceived as perversion, and ultimately subversion, much in line with Bakhtin's notion of carnival. All these overlays of this last cross-dressing sense of «травестия» are always present.

The terms «маска» and «травестия» rarely coincide in the same passage. This would seem to indicate that «травести» represents a special instance of «маска». Paralleling the life-affirming aspects of the mask in a carnival setting, Bakhtin's notion of «травестия» embraces both matters which are «high» and «holy», as well as those which include «images of the material-bodily fundament (urine, erotic and festival travesties)».⁵⁸¹ Bakhtin supports this reading of Rabelais by interpreting the latter's preoccupation with defecation in the light of a parodic travesty of the Thomist doctrine of Bliss, «one of the most fundamental doctrines of Christianity».⁵⁸² Bakhtin locates the origin of Bliss in the fundament, and his path of the soul's ascent is *'from the back passage*

⁵⁷⁹ Bullough & Brundage 1996.

⁵⁸⁰ Мамујее 2014.

⁵⁸¹ «Это — игра „высокими“ и „священными“ вещами, которые сочетаются здесь с образами материально-телесного низа (моча, эротические и пиршественные травестии). ... неофициальные элементы речи и ... профанация священного, органически вплетаются в эту игру и задают ей направление и тон» (Бахтин 2008 [ФРИР]: 180).

⁵⁸² «томистическое учение о блаженстве» ... «один из самых основных учений христианства» (Бахтин 2008 [ФРИР]: 387).

via the rectum to the heart and brain', hence 'all of the spiritual topography is turned upside down'.⁵⁸³

Bakhtin's interpretation here supports productive embodiment.

Such occasions as those of the 'Festival of Fools' were instances of carnival and Bakhtin expresses their fundamental nature thus: «... носили характер пародийной травестики официального культа, сопровождалась переодеваниями и маскировками». ⁵⁸⁴ Masquerades such as Rabelais described ⁵⁸⁵ provided a vehicle for him to catalogue 'these highly liberated travesties of the sacred names and of their functions'. ⁵⁸⁶ As Bakhtin indicates,

«Так, одни из толпы призывают «sainte Andouille», т. е. святую Колбасу, имеющую здесь значение фалла *in statu erectionis* (Ithyphall) ... Другие призывают «saint Foutin» — пародийная травестия имени «saint Photin». Другие призывают «saint Vit», имеющего здесь смысл фалла («vit») ... Таким образом, все призываемые здесь святые travестированы или в непристойном или в пиршественном плане.»⁵⁸⁷

In this passage he makes it quite clear why Rabelais provided the inspiration for a ballet entitled "The Sausage".⁵⁸⁸ Rabelais not only wrote about such masquerades in reference to 'Janotus' and 'Tappecoue' but, according to Bakhtin, he was also rumoured to be so committed to the notion of the masque that he acted out a masquerade on his deathbed.⁵⁸⁹

⁵⁸³ «от заднего прохода через прямую кишку к сердцу и мозгу», «Перевернута и вся духовная топография» (Бахтин 2008 [ФРИР]: 387).

⁵⁸⁴ '... they bore a character of parodic burlesque of the official religion, accompanied by changing clothes and disguise' (Бахтин 2010 [ТФР]: 86).

⁵⁸⁵ See the reference to 'Janotus' in Бахтин 2010 [ТФР]: 232-233 and 'Tappecoue' in Бахтин 2010 [ТФР]: 288.

⁵⁸⁶ «тех весьма вольных травестий имен святых и их функций» (Бахтин 2008 [ФРИР]: 179).

⁵⁸⁷ Бахтин 2008 [ФРИР]: 179; 'Thus, one of the crowd calls upon «Sainte Andouille», i.e. 'Saint Sausage', naming here the significance of the phallus *in statu erectionis* (Ithyphall) ... Others call on «Saint Vit», naming here the sense of phallus («vit»). ... Thus all who are called saints here make a travesty in either an obscene or a festival schema.'

⁵⁸⁸ See Бахтин 2010 [ТФР]: 115.

⁵⁸⁹ See the reference to «Beati qui in *Domino* moriuntur» in Бахтин 2010 [ТФР]: 216.

Bakhtin also observes that Goethe had a profound insight into the nature of carnival, both in Weimar and in Rome.⁵⁹⁰ Bakhtin summarises these festivities as being permeated with the forms of parody and inversion that typify this type of festival: «... народно-праздничные площадные формы, формы осмеяния старой правды и старой власти со всей их системой трагестий (маскарадных переодеваний), иерархических перестановок (выворачиваний наизнанку), развенчаний и снижений».⁵⁹¹

One term that Bakhtin often uses in conjunction with travesty is ‘allusion’ (аллюзия) in the sense that the travesty refers back to a previous template or model. Bakhtin distinguishes between a ‘full travesty’ and a ‘travestizing allusion’ as if the latter is a mere echo of the previous reference.⁵⁹² According to Bakhtin, Rabelais uses such an allusion when he describes the drowning of the 260,418 people (‘not counting women and children’) in Gargantua’s urine, which is an echoed reference to the pericope of the miracle of the ‘Feeding of the Five Thousand’ by five loaves and two fishes.⁵⁹³

A ‘travestizing allusion’ utilises the double-voicedness of travesty, which Bakhtin emphasizes in several passages from ИПРС. He concludes that there is no straightforward discourse that does

⁵⁹⁰ See Бахтин 2010 [ТФР]: 115-116, 264.

⁵⁹¹ ‘...popular-festive, vulgar forms, forms of ridicule of the old rights of the old authority with all their systems of ‘travesty’ (masquerading disguise), hierarchical transposition (inversion inside out), dethronement and demotion.’ (Бахтин 2010 [ТФР]: 290)

⁵⁹² For example, refer to Бахтин 2008 [ФРИР]: 179, note 102.

⁵⁹³ Бахтин 2008 [ФРИР]: 179. Bakhtin notes another case of this trope in Бахтин 2008 [ФРИР]: 390.

not have ‘its own parodic-travestizing double, its own comic-ironic *contre-partie*’.⁵⁹⁴ Classical examples of this counterpart included the *phallophori* who travestized not only the local myths but also mimicked the languages and spoken styles of their secular contemporaries.⁵⁹⁵ The double-voicedness of these parody-travesties had their basis in the Classical theory of *mimesis*, the operation of which in this context Bakhtin described as ‘tearing the word away from its subject’.⁵⁹⁶

Apart from the expression of the link between parody and travesty in such verbal constructs as «пародийно-травестирующий», «пародия и травестия» and «пародийная травестия», Bakhtin forges an intimate connection between the two terms through examples such as Lucian’s «Tragopodagra».⁵⁹⁷ But a fuller coverage of the relationship between parody and travesty revolves around the mechanics of macaronics:

Макароники работают правильными латинскими конструкциями (в отличие от темных людей), но в эти конструкции они в изобилии вводят слова родного вульгарного языка (итальянского), придав им внешне латинское оформление. ... Язык Цицеронианцев инвольвировал высокий стиль, он был, в сущности, не языком, а стилем. Этот стиль и пародируют макароники.⁵⁹⁸

⁵⁹⁴ «... свой пародийно-травестирующий двойник, своей комико-иронической *contre-partie*» (Бахтин 2012 [ИПРС]: 524).

⁵⁹⁵ «выступления фаллофоров и дейкелистов, которые, с одной стороны, травестировали общенациональные и местные мифы, а с другой — передразнивали характерно-типические «языки» и речевые манеры чужеземных врачей, сводников, гетер, крестьян, рабов и т. п.» (Бахтин 2012 [ИПРС]: 527).

⁵⁹⁶ «Такое „передразнивание“ как бы отрывает слово от предмета, разъединяет их, показывает, что данное прямое жанровое слово — эпическое или трагическое — односторонне, ограничено, не исчерпывает предмета; пародирование заставляет ощутить те стороны предмета, которые в данный жанр, в данный стиль не укладываются» (Бахтин 2012 [ИПРС]: 526).

⁵⁹⁷ Бахтин 2012 [ИПРС]: 529.

⁵⁹⁸ Бахтин 2012 [ИПРС]: 550; ‘Macaronics work by means of regular Latin constructions (as distinct from [those used by] ignorant people), but in these constructions they introduce in abundance words of the native vulgate (Italian), attached to its outwardly Latinesque design. ... The language of Ciceronians involved a lofty style; it was, in essence, not a language but a style. Macaronics parodied this style.’

Bakhtin makes the point in *КВТР* that in the novelistic epoch all these travesties renovated the past by connecting it to the present or future, thus making it contemporary.⁵⁹⁹ He further supported this in *Сатира* by writing:

«Сатирический момент вносит в любой жанр корректив современной действительности, живой актуальности, политической и идеологической злободневности. Сатирический элемент, обычно неразрывно связанный с пародированием и травестированием, очищает жанр от омертвевшей условности, от бессмысленных и переживших себя элементов традиции ...»⁶⁰⁰

This dynamism may account for the instability that Bakhtin sees in this trope.⁶⁰¹

Other Classical authors apart, Bakhtin establishes clear links between parodic travesty and the Greek dramatists, especially tragedians.⁶⁰² Euripides (in addition to Phrynichus, Sophocles and Aeschylus) is among the tragedians that Bakhtin cites. This connection with Euripides is further supported by the following passage in *«Сатира»*:

В традиционную структуру ее входит комический народно-праздничный агон, сатирико-полемическая инвектива (парабаза); самая комедия в ее целом в известной

⁵⁹⁹ «Такое осовременение прошлого существовало всегда: оно было одной из центральных тем народно-смеховой культуры (пародий, травестии, снижений), но оно выходило в большую литературу только в романские эпохи» (Бахтин 2012 [*КВТР*]: 584); 'Such a renovation of the past always existed: it was one of the [most] central [aspects] of popular-humorous culture (parody, travesty, disparagement), but it emerged into great literature only in the novelistic epochs'.

⁶⁰⁰ Бахтин 1997 [*Сат*]: 12-13; 'The satirical aspect in every genre brings with it the correction of contemporary reality, living actuality, and topical political and ideological interest. The satirical element, usually inseparably linked with pastiche and caricature, | purges the genre of its unfeelingness and conventionality, of its senseless elements of tradition, [ones] that have outlasted [their usefulness]'.

⁶⁰¹ «Особые же жанры пародийно-травестирующего слова, вроде перечисленных нами, зыбки, композиционно не оформлены, лишены определенного и твердого жанрового костяка. Пародийно-травестирующее слово на античной почве было в жанровом отношении бесприютным» (Бахтин 2012 [*ИПРС*]: 529); 'Particular genres of parodic-travestizing discourse, such as [those] enumerated by us, are unstable, undesigned at a compositional level, deprived of a firm and well-defined generic framework. Parodic-travestizing discourse on antique soil was homeless in a generic respect'.

⁶⁰² «Все трагики ... были и творцами сатирических драм ...» (Бахтин 2012 [*ИПРС*]: 524).

мере является пародией на трагический жанр, кроме того ее содержание пестрит травестиями и пародиями (главным образом на Эврипида), она полна брани и непристойностей (связанных с материально-телесным производительным началом).⁶⁰³

Travesty thus extends the notion of mask in a number of different directions, all of which are significant. Firstly, it indicates a clear connection with parody — and hence with Bakhtin’s philosophy of language — on a number of levels. Secondly, by its allusive, double-voiced and *contre-partie* nature, it echoes the Self and Other of Bakhtin’s theory of identity.⁶⁰⁴ Thirdly, Bakhtin clearly links travesty to Classical authors, particularly tragedians, thus reinforcing its tie with the mask. And finally, in the background, this sets up an atmosphere of uneasy sexual ambivalence that is clearly supported by the Rabelaisian content that Bakhtin considers.

* * *

This chapter has traced the development of Bakhtin’s self-fashioning and self-expression by first mapping his use of the terms «я-для-себя» (‘I-for-myself’), «я-для-другого» (‘I-for-the-other’), and «другой-для-меня» (‘the-other-for-me’), followed in succession by «оболочка» (‘shell’), «маска» (‘mask’) and «травестия» (‘travesty’). All these terms have been mapped over a

⁶⁰³ Бахтин 1997 [Cam]: 20; ‘Into its traditional structures comes a comic popular-festive *agon*, a satirical-polemical invective (digression), the very comedy in its entirety in the well-known measure it is shown by parody in a tragic genre, besides that its content appears multi-coloured through travesties and parodies (the chief image in Euripides), it is full of reproof and ribaldry (combines with a material-corporeal productive basis)’.

⁶⁰⁴ Travesty is allusive in that refers to the entity it is burlesquing or disguising; it is double-voiced in that both the entity and its travesty are assimilated by the reader/auditor at the same time; and it has a *contre partie* nature in that the entity and its travesty are in opposition. These conditions of reference, assimilation and opposition are all satisfied by the Self/Other relation.

wide temporal span of Bakhtin's works, and across an equally broad spectrum of his subjects and concerns.

In doing so, a number of points have become clear. Firstly, that Bakhtin's *oeuvre* provides evidence of evolution, albeit in a series of jumps, from a philosophical perspective based on the nature of identity ('I-for-myself'/'I-for-the-other'), through the more general metaphor for the person (the 'shell' covering the 'kernel'), to his use of the 'mask' (sometimes in the form of a 'travesty') to cover the 'face'. The evidence for this can be seen in the diagram in Appendix A. However, these terms, while being transformed and partly replacing each other, often reappear in their own right (just as in Gould and Eldredge's theory of evolutionary speciation), resulting in Bakhtin's complete works having a branched structure. It also appears that, in Bakhtin's early works, the relationship between the occurrence of the term «оболочка» and its extension «маска» and the dyad of terms «я-для-себя» and «я-для-другого» is an inverse one: where one is in the ascendant, the other is in decline. This trend appears to change in those pieces from the last fifteen years of his life that have been surveyed here. This evolution also counterposes the highly nuanced view of «оболочка» that was evident in the second section of this chapter with the more robust concept of «маска» (as seen in the section that follows it) so that the latter may be seen as a complement to, as well as an extension of, the former.

Secondly, there are traces of a number of external influences evident in Bakhtin's work, particularly in his usage of the term «маска», typified by the influences of Old Attic Comedy, Greek tragedy, Nietzsche, and Symbolist theory. The potency of these influences was enhanced by

Bakhtin's personal situation: his family, friends and education all provided fertile ground for his continuing interest in Classical philology. In so doing, these influences also provided the wherewithal for Bakhtin's disguise, best utilised in his application of 'cunning intelligence' to his strategy of moving from the position of a philosopher to the (less suspect) position of a literary theorist specialising in the prehistory of the novel. The use of 'cunning intelligence' is also evident in his tactical approach to both his life and work. His constant rejection of syllogistic thought, the consistent ambiguity in his work and actions, the continual changes in his range of subject matter — all point to his recognition that the dangerous world in which he lived was indeed "transient, shifting, disconcerting and ambiguous".⁶⁰⁵

As well as the opportunity to employ this combination of strategy and tactics, Bakhtin also had the motives to do so. In the first instance, many of Bakhtin's works outline — indeed dissect — subversive principles such as carnival and double-voicedness that result in such anti-establishment genres as satire, which strongly resist the doxa. However, these are sufficiently well disguised by the cloaks of literary history and theory, thus rendering them acceptable to, or at least ignorable by, Soviet officialdom. In addition, Bakhtin had every incentive to disguise his research and analysis because of his vulnerability, initially due to his own arrest and internal exile in Kustanai, Kazakhstan in 1929.⁶⁰⁶ Subsequently, when the Great Terror of the 1930s⁶⁰⁷ occurred, Bakhtin was

⁶⁰⁵ Detienne & Vernant 1978: 3.

⁶⁰⁶ Clark & Holquist 1984: 253.

⁶⁰⁷ Montefiore 2004: 225.

out of sight in Saransk, teaching at the Mordovia Pedagogical Institute, due to Merkuskin, the Second Secretary of the local Soviet,⁶⁰⁸ but his safety was only relative.

And finally, the examples cited in this chapter are evidence that Bakhtin had the intent to deceive the authorities. By specialising in classical and medieval literature and cultural practices Bakhtin both distanced himself from the present⁶⁰⁹ and provided himself with *techniques* (such as ‘cunning intelligence’) as well as *patterns* (such as Menippean satire) to disguise his intent. These techniques were apparently sufficiently *recherché* to avoid detection by the Soviet censors. Very much his own man (although working in a collaborative manner with colleagues until his arrest in 1929), his work consistently demonstrates his single-minded devotion to pursuing his research in the directions *he* chose, rather than those that were officially approved. As a consequence, Bakhtin’s conscious strategy of self-fashioning and self-expression can clearly be seen in his use of the terms «оболочка», «маска» and «травестия».

⁶⁰⁸ Clark & Holquist 1984: 253.

⁶⁰⁹ This was a technique used with great success in the nineteenth century, often in conjunction with Aesopian language.

CHAPTER THREE

Bakhtin's view of the interplay between identity and language

In order to complement the treatment of ambiguities in Bakhtin's life narrative contained in Chapter One and the semantic analysis of his theory of identity which culminated in the metaphor of the 'mask' (and its associated term, 'travesty') in Chapter Two, it is necessary to examine Bakhtin's theory of language, focusing on the sphere of interdiscursivity. This chapter extends these frameworks to include Bakhtin's theory of language, where identity is realized in speech and text. In it, I examine a number of aspects of the pragmatics of Bakhtin's work — the *techné*⁶¹⁰ and *mechané*⁶¹¹ of his rhetoric. Bakhtin would certainly have recognised and may even have endorsed Vinten's paraphrase of Wittgenstein: "Philosophical problems are solved in ordinary language but also originate there".⁶¹²

The mosaic that might be characterized as 'Bakhtin's theory of language' does not constitute a systematized domain; rather the terrain of linguistics is unevenly mapped, with various areas of *terra incognita*, areas which Bakhtin had neither the time nor the inclination to analyse. Nonetheless, from the perspective of this dissertation, this domain contains two of Bakhtin's most innovative coinings, the figures of speech «слово с оглядкой» and «слово с лазейкой». The

⁶¹⁰ τέχνη – “an art, craft” but also “way, manner, or means whereby a thing is gained, without any definite sense of art or craft” [LSJ Online, retrieved 5-Apr-2014].

⁶¹¹ μηχανή – “any artificial means or contrivance for doing a thing ... esp. in pl. μηχαναί, shifts, devices, wiles” [LSJ Online, retrieved 5-Apr-2014].

⁶¹² Vinten 2015: 273.

‘word with a backward glance’ and ‘word with a loophole’ encapsulate not only Bakhtin’s approach to the emplotment of his life story, but also his theory of identity as embodied in the ‘mask’⁶¹³ and its associated term ‘travesty’.⁶¹⁴

This sense of cartography in Bakhtin’s work on language requires the exploration of contiguous areas of the landscape of Bakhtin’s writings in this discipline, including an examination of parody prior to a detailed analysis of «слово с оглядкой» and «слово с лазейкой». Parody is Bakhtin’s fundamental meta-trope, a term that is used at significant points within ПТД [1929] and utilised with increasing frequency in the following decade.⁶¹⁵ In the 1940s Bakhtin links it closely with travesty.⁶¹⁶ His focus on parody is located in works where his notion of carnival was crystallised in those parodic rituals that were performed in the Middle Ages. Both ‘word with a backward glance’ and ‘word with a loophole’ are inherently parodic in style, even when not intentionally so. In fact, it is this liminal quality, on the border of intentional and unconscious use, that makes Bakhtin’s formulation of these two figures of speech so arresting.

From the perspective of this dissertation, these figures of speech form the apogee of Bakhtin’s writings on interdiscursivity in that *they give linguistic form to his strategy of cunning intelligence*. The double-voiced nature of both «слово с оглядкой» and «слово с лазейкой» are analysed in detail in ПТД [1929]. These two tropes, while quite distinct, are intimately connected

⁶¹³ See СВР 1934-1936; ФВхр 1937-1938, 1973; КВТР 1940; ИПРС 1940-1941; РкЛЖ 1940-1941.

⁶¹⁴ See КВТР 1940; ФРИР 1940; ИПРС 1940-1941; РкЛЖ 1940-1941.

⁶¹⁵ See СВР 1934-1936; ФВхр 1937-1938, 1973.

⁶¹⁶ See КВТР 1940; ИПРС 1940-1941.

and often seen in tandem. What distinguishes them is their emphasis: the ‘word with a backward glance’ is essentially retrospective, emphasising that aspect of the utterance that looks back, whereas the ‘word with a loophole’ emphasises the anticipatory aspect of the utterance, which looks forward to any form of replique, including objections.⁶¹⁷ The mechanics of these figures of speech are complex, and both explain (and are explained by) the way in which Bakhtin emplots his life and evolves his theory of identity.

However, it is also necessary to examine the theoretical landscape into which Bakhtin sets and positions these two figures of speech. «Слово с оглядкой» and «слово с лазейкой» reflect the generic qualities of heteroglossia [СВП, 1934-1936]: most particularly those of double-voicedness and polemicized ideology. But they are also closely connected with parody and its dependents: satire (treated in Bakhtin’s works of the 1940s) and dissimulation (throughout his work). Parody’s obverse — irony (treated in his works of the 1960s – 1970s) — is sparsely referenced, and is discussed in Appendix B: AN EXCURSUS ON IRONY. References to parody and satire can be found throughout all Bakhtin’s works.

Apart from those works specifically devoted to satire of the 1940s (Сар and МенСар), there are other instances of Bakhtin’s preoccupation with this genre scattered throughout ФВХр [1937-1938, 1973] and his ППД [1963]. But with regard to irony, a balanced perspective of Bakhtin’s work in this area needs to be informed by that of Nietzsche and, to a lesser extent, Kierkegaard. It is

⁶¹⁷ Elsewhere, Bakhtin refers to the deep influence of «предвосхищаемое ответное слово» (Бахтин 2012 [СВП]: 36) aptly rendered as “the forestalled responsive word” by Bliss, the translator of Isupov (Isupov 2014: 36).

possible to do this in an overview of their positions on irony. However, tracing the influence of Nietzsche on Bakhtin in this area at a granular level is extremely difficult, because the influence of the former on Russian thought was so pervasive and well-assimilated. However, the most significant component of double-voicedness from this point of view is that of imposture, because of its resonance with Bakhtin's theory of identity as extended through the concepts of 'kernel' and 'shell'.⁶¹⁸ Bakhtin also approaches this theme from another direction when he analyses the function of the Rogue (плут) in Section VI of *ФВХр* [1937-1938, 1973].

Bakhtin's theorisation of the utterance [ПРЖ, 1953] — the mechanics and dynamics of which provide a supporting infrastructure to both heteroglossia and the interdiscursive elements of both concepts — frames the theoretical landscape in which 'word with a backward glance' and 'word with a loophole' are positioned.

On the basis of the material covering «слово с оглядкой» and «слово с лазейкой» discussed in this chapter, it will be seen that both of these figures of speech operate in ways that involve misdirection. These operations provide the theoretical framework that allows Bakhtin to bring together both life and mask in a manner consistent with the conclusions arrived at in Chapters One and Two. In the conclusion to this chapter I discuss in detail how Bakhtin's creation of his academic *curriculum vitae* provides a working example of the 'word with a backward glance', and how his deliberate obfuscation and misdirection with regard to the 'disputed texts' provides a

⁶¹⁸ A 'tale of kernel and shell' with regard to the notes to Bakhtin's *Collected Works* is treated in some detail in Hirschkop [Editing history] 2015.

working example of the ‘word with a loophole’. The actual operation of this theoretical apparatus provides a bridge to the instantiation of *metis* in the Conclusion of this dissertation.

Parody («пародия»)

Parody, a meta-trope that Bakhtin covers exhaustively in his oeuvre, is seen by Ivanov as a representative case of heteroglossia.⁶¹⁹ As Bakhtin says in ППД: «Чужие слова, введенные в нашу речь, неизбежно принимают в себя новое, наше понимание и нашу оценку, то есть становятся двуголосыми».⁶²⁰ Of the almost 200 mentions of «пародия» in Bakhtin’s Collected Works, most are concentrated in five texts: «Слово в романе» [СВР] (1934-1936), «Сатира» [Сат] (1940), «Из предыстории романного слова» [ИПРС] (1940-1941),⁶²¹ his 1963 book «Проблемы поэтики Достоевского» [ППД] (and in its 1929 predecessor «Проблемы творчества Достоевского» [ПТД]), and his 1965 book «Творчество Франсуа Рабле и народная культура средневековья и Ренессанса» [ТФР] (and in its 1940 predecessor «Франсуа Рабле в истории реализма» [ФРИР]).

Whilst СВР mentions «пародия» only nine times, it is worth reviewing as the earliest of the five. In this text, Bakhtin makes a clear link between heteroglossia and parody when he observes that the low genres of the Middle Ages (such as *fabliaux* and *Schwänke*) were deliberately parodic

⁶¹⁹ Ivanov 2000 ‘*Heteroglossia*’: 100.

⁶²⁰ Бахтин 2002 [ППД]: 218. “Someone else’s words introduced into our own speech inevitably assume a new (our own) interpretation and become subject to our evaluation of them; that is, they become double-voiced” (Bakhtin 1984b [PDP2]: 195).

⁶²¹ Бочаров 2011

critiques of contemporary official languages.⁶²² This is reinforced when he returns to this theme of parody and humour when discussing the writer of prose.⁶²³ More mentions occur in *Car* (eleven occurrences).

The number of references to «пародия» climbs in *ИПРС* to twenty-one, with most of these concentrated within a small portion of the text.⁶²⁴ Then the number swells to twenty-six in *ППД* and finally to twenty-nine in *ТФР*. In view of the span of time over which these pieces were written and revised,⁶²⁵ with the consequent problems associated with dating the individual elements of some of the essays, these pieces have been treated in this dissertation as complementary rather than sequential.

In *ППД* Bakhtin defines parody by contrasting it with stylization:

«Иначе обстоит дело в пародии. Здесь автор ... говорит чужим словом, но, в отличие от стилизации, он вводит в это слово смысловую направленность, которая прямо противоположна чужой направленности. Второй голос, поселившийся в чужом слове, враждебно сталкивается здесь с его исконным хозяином и заставляет его служить прямо противоположным целям. Слово становится ареною борьбы двух голосов. Поэтому в пародии ... голоса здесь не только обособлены, разделены дистанцией, но и враждебно противопоставлены».⁶²⁶

⁶²² «Оно было пародийно и полемически заострено против официальных языков современности» (Бахтин 2012 [*СвР*]: 26-27).

⁶²³ Бахтин 2012 [*СвР*]: 51-52; Bakhtin 1981 [*Dialogic*]: 299.

⁶²⁴ Бахтин 2012 [*ИПРС*]: 540-546.

⁶²⁵ From 1929 to 1965 inclusive.

⁶²⁶ Бахтин 2002 [*ППД*]: 216. "The situation is different [from stylization] with parody. Here ... the author again speaks in someone else's discourse, but in contrast to stylization parody introduces into that discourse a semantic intention that is directly opposed to the original one. The second voice, once having made its home in the other's discourse, clashes hostilely with its primordial host and forces him to serve directly opposing aims. Discourse becomes an arena of battle between two voices. In parody, therefore... the voices are not only isolated from one another, separated by a distance, but are also hostilely opposed" (Bakhtin 1984b [*PDP2*]: 193).

The important issue for Bakhtin is that the aspirations of the original and its echo pull in different directions;⁶²⁷ from this perspective he describes parody as “a hidden polemic”.⁶²⁸ And with regard to the varieties of parody, Bakhtin points out that it can be very diverse, and vary in depth.⁶²⁹

In ТФР he makes a significant link between most medieval parodic literature and the folk humour associated with festivals which provided a form of freedom that was temporary but legal.⁶³⁰ This was based on the ‘universal character of laughter’,⁶³¹ best exemplified by «*risus paschalis*» and «*risus natalis*».⁶³² The theme of freedom and license and their connection with laughter is developed in a number of places in the three texts,⁶³³ but nowhere more clearly than in

ИПРС:

«Средневековые с большими или меньшими оговорками уважало свободу дурацкого колпака и предоставляло смеху и смеховому слову довольно широкие права. Свобода эта была по преимуществу ограничена праздниками и школьными рекреациями. Средневековый смех — праздничный смех».⁶³⁴

This is qualified by the observation that, prior to the XIIth century, parody was not encumbered by negative nuances.⁶³⁵

⁶²⁷ Бахтин 2002 [ППД]: 217.

⁶²⁸ «скрытая полемика» (Бахтин 2002 [ППД]: 218).

⁶²⁹ Бахтин 2002 [ППД]: 216-217.

⁶³⁰ Бахтин 2010 [ТФР]: 95.

⁶³¹ «универсальный характер смеха» (Бахтин 2010 [ТФР]: 100).

⁶³² Бахтин 2012 [ИПРС]: 541.

⁶³³ For example, Бахтин 2012 [ИПРС]: 542; Бахтин 2010 [ТФР]: 95.

⁶³⁴ Бахтин 2012 [ИПРС]: 541. “The Middle Ages, with varying degrees of qualification, respected the freedom of the fool’s cap and allotted a rather broad license to laughter and the laughing word. This freedom was bounded primarily by feast days and school festivals. Medieval laughter is holiday laughter.” Bakhtin 1981 [*Dialogic*]: 72).

⁶³⁵ Бахтин 2010 [ТФР]: 96.

These observations explain how parody could play “a completely unbridled game with all that is most sacred and important from the point of view of official ideology”⁶³⁶ in such a way that material previously reverently studied by students could be ridiculed during the festival.⁶³⁷ Bakhtin supports this by describing the work of the VIIth century grammarian Virgilius Maro Grammaticus, as an example of an author who parodied the grammar of Latin — the sacerdotal language of record of the Western Church. Bakhtin describes the grammarian’s work as a “grammatical Saturnalia”, using the Latin term *pileatus*,⁶³⁸ which refers to a felt cap worn at the Saturnalia by manumitted slaves. This relationship between Latin and the vernacular was spelled out as: «Священное латинское слово — чужеродное тело, вторгшееся в организмы европейских языков».⁶³⁹

Bakhtin refers to the ‘*parodia sacra*’ — parodies of the holiest Christian texts, canonical and liturgical — as the central material for medieval parody.⁶⁴⁰ The most important named pieces of parody in this style are “Cyprian’s Supper” and “Joca monachorum”.⁶⁴¹ Bakhtin lists large numbers of examples including papal bulls and encyclicals, wills, epitaphs, and legal texts and laws. As a consequence he observes: «Не было такого жанра, такого текста, такой молитвы, такого

⁶³⁶ Bakhtin 1984a [*Rabelais*]: 85. «... необузданная веселая игра со всем наиболее священным и важным с точки зрения официальной идеологии». Бахтин 2010 [ТФР]: 97.

⁶³⁷ Бахтин 2012 [ИПРС]: 542.

⁶³⁸ Бахтин 2012 [ИПРС]: 542.

⁶³⁹ Бахтин 2012 [ИПРС]: 546. “The sacred Latin word was a foreign body that invaded the organism of the European languages” Bakhtin 1981 [*Dialogic*]: 77).

⁶⁴⁰ Бахтин 2012 [ИПРС]: 541, 543, 544, 546.

⁶⁴¹ Бахтин 2010 [ТФР]: 96-97.

изречения, которые не получили бы пародийного эквивалента». ⁶⁴² And from all this material he concludes “just how flexible the boundaries between the straightforward and the parodically refracted word” were in medieval literature. ⁶⁴³ However flexible these boundaries were, to Bakhtin parody necessarily involved the notion of a ‘double’: «Пародирование — это создание развенчивающего двойника, это тот же „мир наизнанку“. Поэтому пародия амбивалентна». ⁶⁴⁴ And this parodic ambivalence is evident in the mythopoeia that ran like a thread through Bakhtin’s life: the counterpoint of myth and reality that parallels Golyadkin and his double.

Parody is also closely intertwined with Bakhtin’s concept of ‘carnival’ and the periodical inversion of both hierarchy and ideology during the great feast days of medieval Europe. Of particular significance was the Feast of Fools («праздник глупцов» ⁶⁴⁵), which had its beginnings in the late XIIth century and was active (largely in France) until the pressures of reform saw it die out in the XVth century. ⁶⁴⁶ These inversions often involved the scatological (often translated, somewhat coyly, as ‘the lower bodily stratum’), involving “obscenities and curses, profanities and swearing”. ⁶⁴⁷

⁶⁴² Бахтин 2012 [ИПРС]: 543. “There was no genre, no text, no prayer, no saying that did not receive its parodic equivalent” (Bakhtin 1981 [Dialogic]: 74).

⁶⁴³ Bakhtin 1981 [Dialogic]: 73. «Это — лишнее доказательство того, как зыбки границы между прямым и пародийно-преломленным словом в средневековой литературе» (Бахтин 2012 [ИПРС]: 542-543).

⁶⁴⁴ Бахтин 2002 [ППД]: 143. This finds vivid expression in Dostoevsky.

⁶⁴⁵ Бахтин 2010 [ТФР]: 95.

⁶⁴⁶ Harris *Feast of Fools* 2013 [accessed 20-Jun-2015].

⁶⁴⁷ Бахтин 2010 [ТФР]: 100.

Most of Bakhtin's discussion of parody in ТФР is situated in the chapter devoted to 'Rabelais in the history of laughter'. The use of laughter as a tool to invert hierarchies and subvert autocracies is analysed in a medieval context, thus providing some 'distance' between the (apparent) domain of analysis and a concern with contemporary events in Soviet Russia. In these parodies, Bakhtin detects two voices:⁶⁴⁸ one authoritative, one subversive.⁶⁴⁹ The parody itself is thus a site of conflict, where two discourses — «авторитарное слово»⁶⁵⁰ and «внутренне убедительное слово»⁶⁵¹ — struggle for supremacy. The parallels between the medieval Church and the Soviet state are implicit, but nonetheless clear, when Bakhtin says: «В последующие века

⁶⁴⁸ Indeed, there are often two languages — particularly in macaronics — where excerpts of the hieratic language are parodied in the vernacular.

⁶⁴⁹ Ivanov 2000 *'Heteroglossia'*: 101.

⁶⁵⁰ 'Authoritative discourse' is privileged, requires a response of allegiance, demands that it be internalised by the listener, and is embedded in a hierarchy at a point distant from that listener. This distance is reinforced by the use of a special hieratic language, making it more or less independent of context, and thus is amenable neither to semantic change nor free interpretation (Bakhtin 1981 [*Dialogic*]: 342–344). In short, it is a monosemic monolith that admits of only one construal and, '[i]f completely deprived of its authority it becomes simply an object, a relic, a thing' (Bakhtin 1981 [*Dialogic*]: 344, author's emphasis).

⁶⁵¹ 'Internally persuasive discourse' is much that authoritative discourse is not. It may require or demand, but it does so in an insistently competitive way, acknowledging the existence of other discourses which the individual has the opportunity to accept or reject. When accepted, internally persuasive discourse is 'affirmed through assimilation, tightly interwoven with "one's own word"', and hence it becomes 'half-ours and half-someone else's' (Bakhtin 1981 [*Dialogic*]: 345). It is thus dependent on context, open to construal, and capable of entering into 'interanimating relationships with new contexts' (Bakhtin 1981 [*Dialogic*]: 346), as opposed to the inert and calcified nature of authoritative discourse. This 'semantic openness' permits, reveals, and even encourages, '*newer ways to mean*' (Bakhtin 1981 [*Dialogic*]: 346, author's emphasis), thus engendering a dialogue that is neither finished nor finite. By contrast, authoritative discourse is 'hard-edged', 'static' and indivisible (Bakhtin 1981 [*Dialogic*]: 343–344), but most importantly, it is 'a *prior* discourse' (Bakhtin 1981 [*Dialogic*]: 342, author's emphasis), and therefore completed and finite.

(особенно с XI века) пародийное творчество вовлекает в смеховую игру все моменты официального вероучения и культа и вообще все формы серьезного отношения к миру». ⁶⁵²

Whilst irony is not a meta-trope that Bakhtin treats at great length, it is nonetheless important as a complement and corollary to parody. Indeed, it can be seen as the obverse of the parodic coin, and it is this perception that has driven the inclusion of the 'EXCURSUS ON IRONY' that forms Appendix B of this dissertation. The links between parody and irony are evidently obvious to Bakhtin when he writes in ППД: «Пародийному слову аналогично ироническое и всякое двусмысленно употребленное чужое слово, ибо и в этих случаях чужим словом пользуются для передачи враждебных ему устремлений». ⁶⁵³

Interdiscursivity ⁶⁵⁴

This section focuses on Bakhtin's treatment of instances of two types of parapraxis which embody the conscious creation of ambiguity and uncertainty in important aspects of Bakhtin's life and works, and the treatment of which is supported by his theory of identity. These two types are «слово с оглядкой» and «слово с лазейкой».

⁶⁵² Бахтин 2010 [ТФР]: 97. "During the following centuries, especially in the eleventh, parody drew into its game all the themes of the official teaching and cult of the Church and, in general, all the forms of the serious attitude toward the world." (Bakhtin 1984a [Rabelais]: 85; emphasis appears in the original and the translation has been amended to reflect this).

⁶⁵³ Бахтин 2002 [ППД]: 217. "Analogous to parodistic discourse is ironic, or any other double-voiced, use of someone else's words; in those instances, too another's discourse is used for conveying aspirations that are hostile to it" (Bakhtin 1984b [PDP2]: 193).

⁶⁵⁴ This section is entitled Interdiscursivity of the basis of Bauman's comment: "Interdiscursive, I would submit, is a better general term [than intertextual] ... reserving *intertextuality* for matters having to do with texts" (Bauman 2005: 146).

Both figures of speech⁶⁵⁵ are characterised by Bakhtin’s description “‘with conditions attached’ ... enclosed in intonational question marks”,⁶⁵⁶ thus forging a strong bond to parody via intentional hybridity. Particularly noteworthy is the multi-voiced nature of the parodical and polemical element referred to in: «Введение пародийного и полемического элемента в рассказ делает его более многоголосым, перебойным, не довлеющим себе и своему предмету».⁶⁵⁷ In respect of both these tropes, the notion of *negative freedom*⁶⁵⁸ as a rhetorical device is especially important, paraphrased thus by Jordán: “The ironic speaker does not assume responsibility for whatever he says, because he can always claim that this was not what he truly meant and thus frees himself from his words and actions”.⁶⁵⁹ Once these connections are made, the section then utilises the explicit and implicit characteristics of both parody and negative freedom to unlock Bakhtin’s formulations of «слово с оглядкой» and «слово с лазейкой» and his analysis of instances of these figures of speech in the work of Dostoevsky.

The word «оглядка» first appears in Volume 1 of Bakhtin’s *Collected Works* in the essay «К вопросам методологии эстетики ...» (1924), but it is not until his 1929 book «Проблемы творчества Достоевского» [ПТД] in Volume 2 that there is an intensive treatment of the phrase

⁶⁵⁵ “Any of the various ‘forms’ of expression, deviating from the normal arrangement or use of words, which are adopted in order to give beauty, variety, or force to a composition.” (‘figure’, *OED online* [accessed 9-Dec-2015])

⁶⁵⁶ Bakhtin 1981 [*Dialogic*]: 76. «Всякое оговорочно употребленное слово, заключенное в интонационные кавычки, также есть намеренный гибрид ...». Бахтин 2012 [ИПРС]: 546.

⁶⁵⁷ Бахтин 2002 [ПТД]: 253. “To introduce a parodic and polemical element into the narration is to make it more multi-voiced, more interruption prone, no longer gravitating towards itself or its referential object” (Bakhtin 1984b [*PDP2*]: 226).

⁶⁵⁸ Refer below to Appendix B: AN EXCURSUS ON IRONY for a discussion of Kierkegaard’s approach to irony.

⁶⁵⁹ Jordán 2013: 39-40.

‘word with a backward glance’. As opposed to the two mentions in the first volume, the word is used 19 times in ПТД. Usage of the ‘backward glance’ then falls away in the 1930s and 1940s, and there are even fewer mentions in the 1950s and early 1960s.⁶⁶⁰ More intense usage of the term finally resurfaces in the 1963 edition of ПТД in exactly the same places and contexts as it appeared in the 1929 edition.

In Part 2 (*Слово у Достоевского*), Chapter I (*Типы прозаического слова. Слово у Достоевского*) of the 1929 work, Bakhtin carefully positions the ‘alien’ word against the authorial word, characterising it as «скрыто-полюемический» and «двуголосый».⁶⁶¹ The relationship between these two word types is subtle, relying on reflection rather than penetration of meaning to determine both the rhetorical structure and its resulting nuances of speech.⁶⁶²

Bakhtin goes on to describe «слово с оглядкой» as an ‘internal-polemical word — a word with a backward glance onto a hostile alien word’, making its nature quite clear as discourse ‘«with snide remarks about others», words with a «dig»’.⁶⁶³ He then proceeds to extend and elaborate on

⁶⁶⁰ In the 1930s there are only four occurrences of the term (three in СВР and one in ИПРС); in the 1940s, there are none in either of the Rabelais manuscripts, although six can be found in their ancillary material in Volume 4 (I); in the 1950s and early 1960s, one occurrence appears in ПРЖ and two in «Из архивных записей к „Проблема речевых жанров“».

⁶⁶¹ Both Бахтин 2000 [ПТД]: 93.

⁶⁶² «Чужая интенция здесь не входит самолично внутрь слова, но лишь отражена в нем, определяя его тон и его значение» (Бахтин 2000 [ПТД]: 93); ‘Here the alien intension does not by itself enter into the word, but is merely reflected in it, determining its tone and its meaning’.

⁶⁶³ «слова „с камешком в чужой огород“, слова со „шпильками“» (Бахтин 2000 [ПТД]: 93).

this phenomenon, quite graphically, observing that it ‘writhes’ when confronted by the alien word. It is at this point in ПТД that Bakhtin, almost in passing, first introduces the concept of a loophole.

Some five pages on, Bakhtin analyses the way in which the writer of prose treats the alien word; in particular the requirements for producing nuanced speech in the novel. This passage is interesting for a number of reasons: firstly because of the grouping of similar terms «словесные оглядки, оговорки, лазейки, намеки, выпады», and secondly the identification of symptoms common to this grouping — ‘the slightest dislocation in intension, the lightest interruption of voices’ («малейший сдвиг интенции, легчайший перебой голосов»)⁶⁶⁴. On the next page Bakhtin goes on to note that, until now, there has been no theoretical basis for examining this phenomenon, because analysis has been confined to ‘abstractly linguistic categories’ and thus has only been able to ‘record the traces and sediment’ of artistic activity rather than the process itself.⁶⁶⁵

A little further on in the text, Bakhtin approaches «слово с оглядкой» from a slightly different perspective, by returning to Dostoevsky’s use of the ‘multidirectional dual-voiced word’.⁶⁶⁶ He does this firstly commenting on its pervasiveness throughout Dostoevsky’s work, and then by continuing to observe both the presentation («взволнованная словесная поверхность

⁶⁶⁴ Бахтин 2000 [ПТД]: 98.

⁶⁶⁵ Бахтин 2000 [ПТД]: 99.

⁶⁶⁶ Бахтин 2000 [ПТД]: 100.

этих произведений»)⁶⁶⁷ and the structure («резкие и неожиданные переходы»)⁶⁶⁸ of this phenomenon, observing the ‘gleaming’ or ‘shadowy’ effect of the ‘word with a strained backward glance’ as it reflects off the ‘driest protocol-ridden word’, resulting in a ‘distinctive and ambiguous tone’.⁶⁶⁹

In Part 2, Chapter II (*Монологическое слово героя и слово рассказа в повестях Достоевского*), Bakhtin again returns to «слово с оглядкой» in the context of the epistolary form of literature as the ‘reflected alien word’. In this section he analyses the mutuality of this backward glance, stressing the tension between word and response, and the reaction to that response.

Having described the tone and style, Bakhtin now examines the ‘internal semantic structure of [the characters’] utterances’,⁶⁷⁰ citing *The Double*, *The Brothers Karamazov* and *Poor Folk*. He provides a particularly vivid description of this phenomenon as «корчащееся слово с робкой и стыдящейся оглядкой и с приглушенным вызовом»,⁶⁷¹ identifying the obvious elements as ‘an inhibition of speech ... and an interjection of provisos in it’.⁶⁷²

Bakhtin’s detailed examination of «слово с оглядкой» starts with the speech of Devushkin in *Poor Folk*, analysing the linguistic processes that are occurring in that passage. He then

⁶⁶⁷ ‘the choppy verbal surface of these works’ (Бахтин 2000 [ЛТД]: 100).

⁶⁶⁸ ‘[h]arsh and sudden transitions’ (Бахтин 2000 [ЛТД]: 100).

⁶⁶⁹ Бахтин 2000 [ЛТД]: 100.

⁶⁷⁰ «внутренняя смысловая структура этих высказываний» (Бахтин 2000 [ЛТД]: 103).

⁶⁷¹ ‘the writhing word with a bashful and shaming backward glance and with a muffled challenge’ (Бахтин 2000 [ЛТД]: 103).

⁶⁷² «торможение речи и ... перебивание ее оговорками» (Бахтин 2000 [ЛТД]: 103).

concentrates on the 'reflected word of the Other', but carefully juxtaposes 'other' and 'alien' as if to point out the difference. The points that he made earlier about the 'choppiness' of this form of speech are brought out by Devushkin's drift between the formal («Варенька Доброселова») and the familiar («маточка» and «Варинька»)).⁶⁷³ Bakhtin proceeds to characterise Devushkin as a person, poor but proud, who 'continually feels the "malign gaze" of the alien person on him, a gaze [that is] either reproaching or, — maybe even worse for him — mocking',⁶⁷⁴ causing his speech to 'writhe'. Both Devushkin and the hero from Dostoevsky's *Notes from Underground* are 'forever listening to alien words' about themselves. In connection with this «оглядка на социально-чужое слово», Bakhtin makes much of the 'profoundly organic link' between the superficial 'manner of speech', the way the self is expressed and the overall world-view of Dostoevsky.⁶⁷⁵

One section of the text⁶⁷⁶ forges a link between «слово с оглядкой» and Bakhtin's theory of identity as encapsulated in «я-для-себя» and «я-для-другого». Due to the clarity and strength of this link, summarised as «Самая же установка человека по отношению к чужому слову и чужому сознанию является в сущности основной темой всех произведений Достоевского»,⁶⁷⁷ Bakhtin draws out the complex interrelationships between Self and Other as

⁶⁷³ Бахтин 2000 [ПТД]: 104.

⁶⁷⁴ «дурной взгляд» чужого человека, взгляд или попрекающий или — что, может быть, еще хуже для него — насмешливый» (Бахтин 2000 [ПТД]: 104).

⁶⁷⁵ Бахтин 2000 [ПТД]: 104.

⁶⁷⁶ Бахтин 2000 [ПТД]: 104-105.

⁶⁷⁷ 'The very arrangement of the individual according to his relationship with the alien word and the alien consciousness in essence appears to be a fundamental theme of all of Dostoevsky's works.' (Бахтин 2000 [ПТД]: 104-105).

determinants of the protagonist's word about himself, coming to the following conclusion:

«Поэтому слово о себе героя строится под непрерывным воздействием чужого слова о нем».⁶⁷⁸ As a consequence of the intersection of these two approaches — one discursively-based, the other based on a theory of identity — this passage constitutes one of the most significant treatments of this phenomenon.

This link is further reinforced in the next paragraph, where Bakhtin explores the theme of the poor person's self-awareness unfolding 'against a background of socially-alien consciousness about him'. By implicitly contrasting this early work of Dostoevsky where heroes 'are not yet ideologists' with his later work, Bakhtin shows that the former contains the seeds of the latter where the 'internal backward glance and polemic' have 'complex internal loopholes spreading into the whole ideological construction'. The continued juxtaposition of the word «лазейка» (as in «СЛОЖНЕЙШИХ ВНУТРЕННИХ ЛАЗЕЕК»)⁶⁷⁹ in discussions of the 'word with the backward glance' underscores the similarities of the two terms in regard to both genesis⁶⁸⁰ and treatment.

Bakhtin then returns to the analysis of the 'syntactical and accentual construction' of Devushkin's «слово с оглядкой» utterance: whilst the 'alien rejoinder' is absent, it casts a shadow (тень) on Devushkin's speech, leaving a trace (след) — both trace and shadow are real, as evidenced by the fact that 'one or two words, sometimes a whole sentence, remain in Makar

⁶⁷⁸ 'And so the hero's word about himself is created under the persistent influence of the other's word about him.' (Бахтин 2000 [ПТД]: 105).

⁶⁷⁹ Бахтин 2000 [ПТД]: 105

⁶⁸⁰ Note in this connection the link made with Gogol's *The Overcoat*.

Devushkin's speech'. Bakhtin gives the example of 'kitchen' overlaid with an alien accent, resulting in Devushkin incorporating provisos, concessions and extenuations (оговорки, ... уступки и смягчения), providing the utterance with a twisted quality that ripples across his speech. The utterance thus communicates 'as if with two points of view at the same time', generating 'a reservation and a hitch in speech'.⁶⁸¹

In one of the passages following this, Bakhtin gives an important summary of the dynamics and the symptoms of «слово с оглядкой»:

«Мы можем описательно определить все эти разобранные нами явления так: в самосознание героя проникло чужое сознание о нем, в самовысказывание героя брошено чужое слово о нем; чужое сознание и чужое слово вызывают специфические явления, определяющие тематическое развитие самосознания, его изломы, лазейки, протесты, с одной стороны, и речь героя с ее акцентными перебоями, синтаксическими изломами, повторениями, оговорками и растянутостью, с другой стороны».⁶⁸²

Bakhtin goes on to explain this phenomenon by reference to 'discourse and counter-discourse' which, blended into one utterance, produce a dialogue with a 'strained' quality. The paragraph continues by observing that the discourse and counter-discourse in the single utterance are going in opposite directions while at the same time being superposed one on the other. The

⁶⁸¹ Бахтин 2000 [ПТД]: 107. On the next page Bakhtin stresses this point by citing the passage on 'rewriting', noting the contrast of a 'gradual intensification of the alien accent' to that of Devushkin.

⁶⁸² 'We can also descriptively determine all these phenomena investigated by us in this way: in the self-awareness of the hero the alien consciousness of him percolates through, into the self-expression of the hero the alien word about him is flung, the alien consciousness and the alien word evoke specific phenomena, determining the thematic development of self-awareness, its breaks, loopholes, [and] protests on the one side and the speech of the hero with its accentual irregularities, syntactical breaks, reiterations, reservations and prolixity, on the other.' (Бахтин 2000 [ПТД]: 107).

result of this collision is a single utterance that takes the form of a strained interruption. The collision itself permeates the most finely granular elements of speech and, importantly for Bakhtin, of consciousness.

Bakhtin uses the dialogue between Devushkin and the 'alien person' as an example of the 'superposition and amalgamation' of the contrary elements into one utterance («Как бы в результате наложения и слияния реплик этого диалога в одном голосе и получилось приведенное нами самовысказывание Девушкина»).⁶⁸³ In the early part of the next paragraph, Bakhtin makes the point that, whilst *Poor Folk* is primitive, it represents a lineal descendent of Gogol's *The Overcoat*, and it does have a hero who is self-aware. He finishes the paragraph by saying that the primitive nature of the drafting of Dostoevsky's characters in his early novels provides the clarity required for use as an example. The delicate blending of these elements in Dostoevsky's later heroes makes it impossible to resolve their utterances into the constituent elements necessary for analysis.

The word «лазейка» is introduced in Volume 1 of Bakhtin's *Collected Works* in the essay АИГ (1922-1924), with four occurrences as well as an additional mention in «Приложение. Лекции и выступления 1924-1925 г.». But, as in the case of «оглядка», the main concentration of use occurs in ПТД where the reference to 'loophole' appears 36 times, with an additional four references in the roughly contemporaneous «Записи лекции по истории русской литературы»

⁶⁸³ 'As a result, the self-expression of Devushkin cited by us has also turned out to be the superposition and amalgamation of the rejoinders of this dialogue in one voice.' (Бахтин 2000 [ПТД]: 108).

[ЗЛИРЛ] (1922-1927). The term is far more sparsely used in Bakhtin's work of the 1930s to early 1960s.⁶⁸⁴ Finally, in Volume 6, the frequency of «лазейка» shows a similar pattern to that of «оглядка», in that the former term reappears in the 1963 edition of ППД, but slightly less frequently.⁶⁸⁵

Prior to the section of ППД specifically devoted to «слово с лазейкой», Bakhtin has introduced the concept five times, sprinkling its mention throughout fifteen pages in the section treating «слово с оглядкой». The first mention is in the context of 'provisos' and 'concessions'.⁶⁸⁶ The second mention is in connection with the phenomenon of «слово с оглядкой»: 'verbal backward glances, reservations, ... allusions, ripostes'.⁶⁸⁷ The third instance links «слово с лазейкой» with Golyadkin's 'touchy slips of the tongue and loopholes' and 'the ethical and metaphysical loopholes of Ivan Karamazov'.⁶⁸⁸ The final two mentions in the section on 'word with a backward glance' are in the context of 'those complex internal loopholes spreading into the whole ideological construction'⁶⁸⁹ and in connection with 'the thematic development of self-

⁶⁸⁴ Bakhtin's works on the novel in Volume 3, with his essays «К вопросам теории романа» and «Роман как литературный жанр» only contain four instances between them. The two Rabelais texts that occupy Volumes 4 (I) and 4 (II) also contain only three instances, identically positioned in both works. In Volume 5, only two instances appear: one each in «1961 г. — Заметки» and «Указатель содержания — тетрадь 2».

⁶⁸⁵ It is mentioned only two fewer times, those occurrences which appear on pages 78 and 133 of Volume 2.

⁶⁸⁶ «оговорок, уступлений» (Бахтин 2000 [ППД]: 93).

⁶⁸⁷ «словесные оглядки, оговорки, ... намеки, выпады» (Бахтин 2000 [ППД]: 98).

⁶⁸⁸ «от Голядкинских обидчивых оговорок и лазеек до этических и метафизических лазеек Ивана Карамазова» (Бахтин 2000 [ППД]: 103).

⁶⁸⁹ «тех сложнейших внутренних лазеек, разрастающихся в целые идеологические построения» (Бахтин 2000 [ППД]: 105).

awareness, its breaks ... [and] protests'.⁶⁹⁰ What can be noted from these instances is Bakhtin's characteristic build-up of an apparently rounded concept from a number of (increasingly detailed) strategic mentions. This positions the reader in a state of apparent familiarity with the concept being introduced, thus providing a platform for detailed explication at a later point.

This later point occurs at the conclusion to Part 2, Chapter II of ПТД, where Bakhtin introduces the subject of cynical 'exaggerated parody' in the context of confessional literature as a preface to his detailed analysis of «слово с лазейкой», citing Dostoevsky's *Notes from Underground* and *The Double*. This positioning inexorably leads to a consideration of identity and the relationship of Self to Other in the light of his earlier work on «я-для-себя» and «я-для-другого». An essential part of the Underground hero's identity is constructed by the interlocutor as Other. On the basis of the quotation from *Notes from Underground*,⁶⁹¹ Bakhtin examines the possible aspects of the Underground hero's character: 'cynically unbiased' as against 'soberly prosaic'. Bakhtin notes that the Underground hero's urge to 'trample on his own image and its word in the Other' is an indication of a wish to 'spite the Other' which, in turn, manifests itself in the hero 'overdoing his own sobriety'.⁶⁹²

At the end of these preliminaries, Bakhtin acknowledges that the Underground hero's 'word about himself can be simultaneously a 'word with a backward glance' and a 'word with a loophole'.

⁶⁹⁰ «тематическое развитие самосознания, его изломы, ... протесты» (Бахтин 2000 [ПТД]: 107).

⁶⁹¹ Бахтин 2000 [ПТД]: 132.

⁶⁹² Бахтин 2000 [ПТД]: 132.

According to Bakhtin, the latter phenomenon has paramount significance in Dostoevsky's work.⁶⁹³

Further to this, the 'word with a loophole' requires an investigation of 'the attitude of the hero toward his own self, towards his internal dialogue with himself, which ... weaves itself and combines with his dialogue with the Other'.⁶⁹⁴

Bakhtin then asks the question «Что же такое лазейка сознания и слова?»⁶⁹⁵ and answers it clearly in the following way:

«Лазейка — это оставление за собой возможности изменить последний, тотальный смысл своего слова. Если слово оставляет такую лазейку, то это неизбежно должно отразиться на его структуре. Этот возможный иной смысл, т. е. оставленная лазейка, как тень, сопровождает слово. По своему смыслу слово с лазейкой должно быть последним словом и выдает себя за такое, но на самом деле оно является лишь предпоследним словом и ставит после себя лишь условную, не окончательную точку.»⁶⁹⁶

The provision of a loophole provides a *poros*,⁶⁹⁷ a *metis*-oriented way out. While it may only be the penultimate word, it carries with it the shadow of an escape, encapsulated in the polysemy of the loophole word itself. That polysemy is not only semantic; it is also structural. As

⁶⁹³ «Слово с лазейкой вообще имеет громадное значение в творчестве Достоевского, особенно в его позднем творчестве» (Бахтин 2000 [ПТД]: 132-133).

⁶⁹⁴ «к отношению героя к себе самому, к его внутреннему диалогу с самим собой, который ... сплетается и сочетается с его диалогом с другим» (Бахтин 2000 [ПТД]: 133).

⁶⁹⁵ 'What is such a loophole of consciousness and the word?' (Бахтин 2000 [ПТД]: 133).

⁶⁹⁶ 'The loophole is the reservation of a possibility to change the past, total sense of the word in one's own favour. If the word retains such a loophole, this should, of necessity, be reflected in its structure. This possibly different sense, i. e. the reserved loophole, accompanies the word like a shadow. The word with a loophole, according to its own sense, must be the last word and must disseminate itself as such but, as a matter of fact, it only appears as the penultimate word and is put in place after itself only conventionally, not [as] the definitive point' (Бахтин 2000 [ПТД]: 133).

⁶⁹⁷ Detienne and Vernant, 1978: 144; πόρος – "a means of escaping evils, a way out of them" [LSJ Online, retrieved 6-Apr-2014].

Wittgenstein was later to observe: “Our rules leave loop-holes open, and the practice has to speak for itself”.⁶⁹⁸ As an example of the figure of speech, Bakhtin cites Dostoevsky’s use of the ‘confessional self-definition with a loophole’, pointing out that the loophole is dependent on a reciprocal (and contrary) relationship between the valuation accorded to the Self by the Self, and that accorded to the Self by the Other. The Self reserves a binary option, no matter which valuation the Other affirms.⁶⁹⁹

Bakhtin next focuses on the hero from *Underground* and follows this analysis by a description of the parodic process, supported by a quotation from *Notes from Underground* which encapsulates the reciprocal (and contrary) relationship between the hero and his interlocutor. Bakhtin then continues to define the loophole, this time in a way that is particularly immediate to the reader: «Лазейка создает особый тип фиктивного последнего слова о себе с незакрытым тоном, навязчиво заглядывающего в чужие глаза и требующего от другого искреннего опровержения».⁷⁰⁰ This description, citing the character of Ippolit in *The Idiot*, is now couched in terms of lack of closure due to the instability of the hero’s sense of self when he half-expects a denial from his interlocutor.

The consequence of this chameleon-like nature of the loophole is the ambiguity and elusiveness of Dostoevsky’s heroes. These characteristics are caused because «лазейка глубоко

⁶⁹⁸ Wittgenstein, 1975 [OC]: §139 21^e.

⁶⁹⁹ Бахтин 2000 [ПТД]: 133.

⁷⁰⁰ ‘The loophole creates a special kind of fictitious last word about oneself with an unclosed tone, persistently glancing in[to] the Other’s eyes and expecting from the Other a candid denial.’ (Бахтин 2000 [ПТД]: 134).

искажает его отношение к себе»,⁷⁰¹ and this situation is created by the tension between the potential opinion or approval of Self ('penitential and censoring')⁷⁰² and Other ('tolerant and justifying').⁷⁰³

Bakhtin promptly provides a supporting example from Dostoevsky's *The Idiot* involving Nastasia Filippovna and Myshkin, succinctly summing up by observing '[s]elf-condemnation and self-justification are distributed between the two voices ... but anticipated by one voice, they create in it an interruption and an internal duality'.⁷⁰⁴ In turn, that duality in *The Idiot* prompts a search for Nastasia Filippovna's 'self and its unfragmented voice behind these two voices implanted in her'.⁷⁰⁵

Bakhtin sees parallels between the mechanics of *The Idiot*, *Notes from Underground*, and *The Double*. This is especially so in Golyadkin's case, where the protagonist is 'unable to come to an agreement with himself, but he is also unable to stop talking to himself'.⁷⁰⁶ The consequence is that the unfinalised nature of these discourses constitutes 'internally endless speech, which is able to be

⁷⁰¹ 'The loophole profoundly distorts his [the hero's] relationship to himself.' (Бахтин 2000 [ПТД]: 134).

⁷⁰² «покаянное и осуждающее» (Бахтин 2000 [ПТД]: 134).

⁷⁰³ «приемлющее и оправдывающее» (Бахтин 2000 [ПТД]: 134).

⁷⁰⁴ «Самоосуждение и самооправдание, распределенные между двумя голосами ... но предвосхищенные одним голосом, создают в нем перебой и внутреннюю двойственность» (Бахтин 2000 [ПТД]: 134-135).

⁷⁰⁵ «себя и своего нерасколотого голоса за этими двумя вселившимися в нее голосами» (Бахтин 2000 [ПТД]: 135).

⁷⁰⁶ «Договориться с собой он не может, но и кончить говорить с собою тоже не может» (Бахтин 2000 [ПТД]: 135).

... mechanically broken off, but cannot be organically concluded'.⁷⁰⁷ This analysis leads Bakhtin to make a wry comment on Dostoevsky's method of concluding his novels.

Bakhtin observes two peculiarities in the person from *Underground*. The *first peculiarity* is an abhorrence of his own personality, created by his view of himself through the eyes of the Other.⁷⁰⁸ This is substantiated by a lengthy quotation from *Notes from Underground*. Attuned to Dostoevsky's psychological insights, Bakhtin succinctly encapsulates the ambivalence with which the hero of the *Underground* regards himself,⁷⁰⁹ illustrating it with another excerpt from *Notes from Underground*.

The *second peculiarity* is that the hero from the *Underground*, in contrast to Devushkin and Golyadkin, is a polemicist and ideologue. This is evident from his discourse about the world, which emphasises the interpenetration of discourses about world and self through his view of the Other.

«Его слово о мире и открыто и скрыто полемично; притом оно полемизирует не только с другими людьми, с другими идеологиями, но и с самим предметом своего мышления — с миром и его строем. И в слове о мире также звучат для него как бы два голоса, среди которых он не может найти себя и своего мира, ибо и мир он определяет с лазейкой.»⁷¹⁰

⁷⁰⁷ «Это — стиль внутренне бесконечной речи, которая может быть ... механически оборвана, но не может быть органически закончена» (Бахтин 2000 [ПТД]: 135).

⁷⁰⁸ «Не только слово, но и лицо у него с оглядкой и с лазейкой и со всеми проистекающими отсюда явлениями.» 'He has not only the word, but also the personality with a backward glance and with a loophole and with all the phenomena that spring from here.' (Бахтин 2000 [ПТД]: 135).

⁷⁰⁹ «Подобно тому как он намеренно делает свое слово о себе неблагообразным, он рад и неблагообразию своего лица» 'As he intentionally makes his words about himself unhandsome like that, he also glories in the ignoble appearance of his personality' (Бахтин 2000 [ПТД]: 136).

⁷¹⁰ 'His discourse about the world — both open and closed — is polemical; and besides, he argues not only with other people, with other ideologues, and also with the very subject of his own thought — with the world and with its

and

«Его мысль развивается и строится, как мысль лично обиженного мировым строем, лично униженного его слепой необходимостью. Это придает глубоко интимный и страстный характер идеологическому слову и позволяет ему тесно сплетаться со словом о себе самом.»⁷¹¹

In executing his rhetorical strategy, Bakhtin uses the loophole quite differently to the hero from the Underground. In the first instance, he uses it to protect, rather than excoriate, himself. And whilst Bakhtin is a polemicist, he uses the loophole to defend his ideological position, rather than to attack that of others.

At this point there is a hiatus in Bakhtin's treatment of «слово с лазейкой», which recommences in Part 2, Chapter III (*Слово героя и слово рассказа в романах Достоевского*), where Bakhtin engages briefly with the 'confession with a loophole'⁷¹² in relation to Ippolit's attempted suicide in *The Idiot*, characterised by Bakhtin as a 'suicide with a loophole'.⁷¹³ Bakhtin explores this further, identifying the mechanics and the outcomes of the attempted suicide by treating the act as an utterance. Because of the failure of the attempt, there are two conflicting discourses, leaving Ippolit's position with regard to both himself and the world as 'unfinalised'.⁷¹⁴

systems. And in the discourse about the world, as if two voices also sound, amongst which he is unable to discover himself and his own world, for he determines the world with a loophole.' (Бахтин 2000 [ЛТД]: 136).

⁷¹¹ 'His thought is developed and built, as a thought of one personally aggrieved by the world order, personally humbled by its blind necessity. This adds a profoundly intimate and ardent character to the ideological discourse and it allows it to be densely interwoven with the word about himself.' (Бахтин 2000 [ЛТД]: 136).

⁷¹² «исповеди с лазейкой» (Бахтин 2000 [ЛТД]: 143).

⁷¹³ «самоубийством с лазейкой» (Бахтин 2000 [ЛТД]: 143).

⁷¹⁴ Бахтин 2000 [ЛТД]: 143.

Seven pages on in Part 2, Chapter III, Bakhtin turns to *The Brothers Karamazov*, examining the relationship between Self and Other as mirrored in the voices of Ivan and Smerdyakov.⁷¹⁵ These roles played by concealment and self-deception are supported by a substantial quotation from the book. Bakhtin then proceeds to explore the development of Ivan's self-awareness during the balance of the novel, although it remains unfinished due to his 'psychic malaise'.⁷¹⁶ Bakhtin notes that the 'unravelling of Ivan's ideological word' (i.e. a 'personal non-acceptance'⁷¹⁷ of the world and God) is prompted by the dialogue of the Grand Inquisitor with Christ wrapped within his dialogue with Alyosha.

Bakhtin's final coverage of the 'backward glance' and the 'loophole' in this chapter occurs under the rubric of hagiologic discourse. This discourse is defined by Bakhtin as 'a discourse without a backward glance, appealingly self-sufficient to its own subject'.⁷¹⁸ This is supported by the following works by Dostoevsky: *The Raw Youth* (Makar Dolgoruky), *The Possessed* (Marya Timofeevna Lebyadkina), *The Brothers Karamazov* (Zosima), *The Idiot* (Myshkin), and *The Meek One* (the narrator). In these cases, the changes in Dostoevsky's style and tone are evidence that the protagonists have approached 'the truth about [themselves], reconciling with others and taking possession of his [their] authentic voice[s]'.⁷¹⁹ Bakhtin supports this with a long quotation from the

⁷¹⁵ See Бахтин 2000 [ЛТД]: 150-151.

⁷¹⁶ «психическая болезнь Ивана» (Бахтин 2000 [ЛТД]: 151).

⁷¹⁷ «личное неприятие» (Бахтин 2000 [ЛТД]: 151).

⁷¹⁸ «Житийное слово — слово без оглядки, успокоенно довлеющее себе и своему предмету» (Бахтин 2000 [ЛТД]: 151); emphasis added in the translation.

⁷¹⁹ Бахтин 2000 [ЛТД]: 151.

narrator of *The Meek One* and then explores the style further, citing events in *The Brothers Karamazov* that exemplify ‘an ecclesiastical-hagiologic... style’.⁷²⁰

In his final discussion of «слово с оглядкой» and «слово с лазейкой», Bakhtin talks about the heartfelt word, which exists as ‘a word *without* a backward glance, *without* a loophole, *without* an internal polemic’.⁷²¹ However, it is also necessary to examine the landscape in which these two figures of speech are set. «Слово с оглядкой» and «слово с лазейкой» reflect the generic qualities of heteroglossia [СВП, 1934-1936], as well as parody’s dependents: satire [1940s], irony [1960s – 1970s] and dissimulation [throughout Bakhtin’s work].

Heteroglossia

Heteroglossia is an extremely complex construct but a simple introduction will suffice before exploring the nuances of this term: “Heteroglossia means the simultaneous use of different kinds of speech or other signs, the tension between them, and their conflicting relationship within one text”.⁷²² In one essay Bakhtin associates the term with the ‘sociological stylistics’ of the novel.⁷²³

⁷²⁰ «церковно-исповедального стиля» (Бахтин 2000 [ПТД]: 152).

⁷²¹ «слово без оглядки, без лазейки, без внутренней полемики» (Бахтин 2000 [ПТД]: 152); emphasis added in the translation.

⁷²² Ivanov 2000 ‘Heteroglossia’: 100.

⁷²³ Бахтин 2012 [СВП]: 53; Bakhtin 1981 [Dialogic]: 300.

The concept of heteroglossia is an umbrella term which covers a nexus of nuanced words⁷²⁴ that Bakhtin uses to describe the ways in which the diversity of language — both spoken and written — are manifested. He makes his position with regard to heteroglossia quite clear very early on in СВР: «Роман — это художественно-организованное социальное разноречие, иногда разноязычие, и индивидуальная разноголосица».⁷²⁵ Heteroglossia involves a number of facets: aspects of variations in social speech, variation in language, and most significantly, variations in individual voices, all expressed on the same plane of discourse. Bakhtin presents these variations as a nested hierarchy progressing from utterances within a single language, which exists in the context of other ‘social languages’, that are placed in turn within national languages, operating within the same cultural space.⁷²⁶ On this basis he avers that «Язык ... никогда не бывает единым. Он един лишь как абстрактная грамматическая система нормативных форм, взятая в отвлечении от наполняющих ее конкретных идеологических осмысливаний и от непрерывного исторического становления живого языка».⁷²⁷ This enables the process of ‘dialogizing

⁷²⁴ As well as «разноречие», which Emerson and Holquist render as *heteroglossia* in Bakhtin *The Dialogic Imagination*, other terms include «разноречивость» rendered as ‘*diversity of speech*’ (Бахтин 2012 [СВР]: 47; Bakhtin 1981 [*Dialogic*]: 294), «разноязычие» rendered as ‘*diversity of languages*’ (Бахтин 2012 [СВР]: 47; Bakhtin 1981 [*Dialogic*]: 294) or a ‘*medley of languages*’ (Piskunova 2014: 49) and «разноголосица», ‘*diversity of voices*’ (Бахтин 2012 [СВР]: 52; Bakhtin 1981 [*Dialogic*]: 300) or an ‘*individual variglossia*’ (Piskunova 2014: 49), but translated elsewhere as ‘hubbub’.

⁷²⁵ “The novel can be defined as a diversity of social speech types (sometimes even diversity of languages) and a diversity of individual voices, artistically organized.” (Бахтин 2012 [СВР]: 15; Bakhtin 1981 [*Dialogic*]: 262).

⁷²⁶ «... те специфические явления в слове, которые определяются диалогической ориентацией слова среди чужих высказываний в пределах того же языка, среди других „социальных языков“ в пределах того же национального языка и, наконец, среди других национальных языков в пределах той же культуры, того же социально-идеологического кругозора» (Бахтин 2012 [СВР]: 29).

⁷²⁷ “Language ... is never unitary. It is unitary only as an abstract grammatical system of normative forms, taken in isolation from the concrete, ideological conceptualizations that fill it, and in isolation from the uninterrupted

language' referred to in the passage where «диалогические отзвучия шумят ... проникают в глубинные пласты слова, диалогизуют самый язык, языковое мировоззрение („внутреннюю форму“ слова)».⁷²⁸

One of the points Bakhtin makes to support this contention is that language has a number of strata: genre, professional expression, social stratification and proximity of other (different) speakers, to name a few.⁷²⁹ These strata, whilst initially appearing to be unamenable to juxtaposition, *can* accommodate a single methodological approach, that of being “specific points of view on the world” so «... все языки разноречия, какой бы принцип ни лежал в основе их обособления, являются специфическими точками зрения на мир, формами его словесного осмысления, особыми предметно-смысловыми и ценностными кругозорами».⁷³⁰

The dynamism that this complex construct injects into the theory of language can best be seen by the way that heteroglossia manifests itself in discourse, specifically in the latter's 'centripetal' and 'centrifugal' forces. The former, being posited (задан) rather than given (дан),

process of historical becoming that is a characteristic of all living language” (Бахтин 2012 [СвР]: 41; Bakhtin 1981 [Dialogic]: 288).

⁷²⁸ “dialogic reverberations ... penetrate the deep strata of discourse, dialogize language itself and the world view a particular language has (the internal form of discourse” (Бахтин 2012 [СвР]: 38; Bakhtin 1981 [Dialogic]: 284-285).

⁷²⁹ Бахтин 2012 [СвР]: 15-16; Bakhtin 1981 [Dialogic]: 262-263. These are dealt with in more detail in Бахтин 2012 [СвР]: 42-44; Bakhtin 1981 [Dialogic]: 289-291.

⁷³⁰ Бахтин 2012 [СвР]: 44; Bakhtin 1981 [Dialogic]: 291.

‘unifies and centralizes the verbal-ideological world’.⁷³¹ The reverse is true of centrifugal forces in discourse, which decentralise and disunify.⁷³²

But the real identifier and invigorator of language is that of intention or ideology. As Bakhtin expresses it: “these linguistic markers ... are [merely] ... the sclerotic deposits of an intentional process, signs left behind on the path of the real living project of an intention”.⁷³³ These separate languages (the strata identified above) are able to coexist on the plane of a personal world-view. Indeed, they mix with each other to form an individual’s “concrete, heteroglot conception of the world”⁷³⁴ thus providing a context (and hence a discourse) that is shared with others. But appropriating (‘seizing’ and ‘transforming’) the words of these languages into one’s own discourse is not necessarily easy: “many words stubbornly resist, others remain alien, sound foreign in the mouth of the one who appropriated them ... they cannot be assimilated into his context ...”⁷³⁵

The notion of the ‘alien word’ is central to heteroglossia, for the relationship between this and one’s own word creates the tension that drives many of the tropes and figures of speech that

⁷³¹ «Эти силы — силы объединения и централизации словесно-идеологического мира» (Бахтин 2012 [СвР]: 24).

⁷³² «непрерывно идут процессы децентрализации и разъединения» (Бахтин 2012 [СвР]: 25).

⁷³³ «... те лингвистические признаки ... которые являются, так сказать, склеротическими отложениями интенционального процесса, знаками, оставленными на пути живой работы интенций...» (Бахтин 2012 [СвР]: 45; Bakhtin 1981 [Dialogic]: 292).

⁷³⁴ Bakhtin 1981 [Dialogic]: 293; «конкретное ... о мире» (Бахтин 2012 [СвР]: 46).

⁷³⁵ Bakhtin 1981 [Dialogic]: 294; «многие упорно сопротивляются, другие так и остаются чужими, звучат по-чужому в устах присвоившего их говорящего, не могут ассимилироваться в его контексте ...» (Бахтин 2012 [СвР]: 47).

Bakhtin identifies, most notably «слово с оглядкой» and «слово с лазейкой». In addition, the dynamics of parody, satire and irony are all based on this tension, because they are all, in essence, repliques in a dialogue: parody to an original, satire to a state of affairs, and irony to reality.

Bakhtin notes the inherently double nature of the repique when he observes:

«Такую двойственную жизнь ведет и реплика всякого реального диалога: она строится и осмысливается в контексте целого диалога, который состоит из своих (с точки зрения говорящего) и чужих высказываний (партнера). Из этого смешанного контекста своих и чужих слов реплику нельзя изъять, не утратив ее смысла и ее тона. Она — органическая часть разноречивого целого».⁷³⁶

In an earlier chapter we discussed the humorous or playful nature⁷³⁷ of this deception of the reader through the use of masks which is also stressed by a number of Nietzsche scholars.⁷³⁸ These elements of humour and paradox inevitably necessitate the analysis of the nexus of tropes and figures of speech itemised above — parody (discussed above), satire, and irony⁷³⁹ — some of which connect Bakhtin directly with Nietzsche. These are identified explicitly by Bakhtin as being double-voiced. An outcome of these tropes is dissimulation, which includes imposture. These

⁷³⁶ Бахтин 2012 [СвР]: 46; “In any actual dialogue the rejoinder also leads such a double life: it is structured and conceptualized in the context of the dialogue as a whole, which consists of its own utterances (‘own’ from the point of view of the speaker) and of alien utterances (those of the partner). One cannot excise the rejoinder from this combined context made up of one’s own words and the words of another without losing its sense and tone. It is an organic part of a heteroglot unity” (Bakhtin 1981 [Dialogic]: 284).

⁷³⁷ del Caro 1998: 87; Williams 2010: 85.

⁷³⁸ This is supported by Nietzsche in *Human, All Too Human*: “All ‘evil’ acts are motivated by the drive to preservation” [Book I, §99] and “... one lies when cunning and dissimulation is the proper means of self-preservation” [Book I, §104] (Nietzsche 1996: 53 and 56 respectively). See also Williams 2010: 90.

⁷³⁹ See ‘satire’ and ‘parody *n*’, *OED online* [accessed 22-May-2015]; note the connection between ‘travesty’ and the second definition of ‘parody’.

manifestations of a double voice represent different axes, each of which carries a particular point of view.

I have chosen to treat the various manifestations of heteroglossia relevant to this dissertation in a particular order, starting with parody which appears to be the most fundamental case of «двуголосное слово»⁷⁴⁰ in Bakhtin's theoretical writings and is the most evenly spread over the seven volumes of the *Collected Works*.⁷⁴¹ This meta-trope, in the same way as the genre of Menippean satire, was applied to a number of literary situations, as one of the favoured tools used by Bakhtin to unpack texts. The links of parody to both travesty in the previous chapter and «слово с оглядкой» and «слово с лазейкой» in an earlier section provide a strong indication of its position as a fulcrum of heteroglossia. A consideration of satire (сатира) in this context naturally builds on an analysis of parody because of the dependence of this trope on the meta-trope of parody. In addition, Bakhtin's intense engagement with Menippean satire in the years bracketing 1940⁷⁴² post-dates his initial engagement with parody in ПТД.

* * *

⁷⁴⁰ Бахтин 2012 [СвР]: 36; rendered as the “double-voiced word” by Bliss (Isupov 2014: 37).

⁷⁴¹ «Пародия» occurs once instance in Volume 1, 17 times in Volume 2, 49 times in Volume 3, 45 times in Volume 4-1, 29 times in Volume 4-2, 12 times in Volume 5 and 29 times in Volume 6. «Сатира» is more frequent in the volumes that focus on satire, but uneven throughout the *Collected Works*. Occurrences of «ирония» are sparse, peaking in Volume 6.

⁷⁴² Piskunova astutely observes that Bakhtin's preoccupation with menippea had its genesis during the years in Kustanai (1930-1936) which represented an underworld similar to that which characterises the genre of Menippean satire (Piskunova 2014: 50).

Whilst Bakhtin did not engage with the technique of Aesopian language,⁷⁴³ his work covers satire (сатира), with a particular focus on Menippean satire,⁷⁴⁴ which Bakhtin familiarly referred to as *menippea*. Due to his particular fascination with the novelistic form, he had a pronounced interest in those genres that he felt made a specific contribution to the European novel. This is evident in a structured way in Bakhtin's essay *Фвхр*⁷⁴⁵ where many of the great authors Bakhtin discusses (Petronius, Apuleius, Rabelais and Cervantes, to name a few) are characterised as writers of Menippean satire. In addition, Bakhtin makes the connection between parody and satire quite explicit when he says: «Пародия ... неотъемлемый элемент «Менипповой сатиры» и вообще всех карнавализованных жанров».⁷⁴⁶

Apart from his coverage in the abovementioned text, Bakhtin discussed satire in parts of several other books and essays, including: *ТФР* as well as its predecessor *ФРИР* (his Candidate's dissertation written in 1940⁷⁴⁷) and *ППД*, published in 1963. In *ТФР* he links satire with the “medieval culture of laughter [through] the *drama of bodily life* (copulation, birth, growth, eating, drinking, defecation)”⁷⁴⁸.

⁷⁴³ Aesop is only mentioned twice in the seven volumes of Bakhtin's *Collected Works*, in 'Notes on Bakhtin's lectures on the history of Russian literature, taken by R. M. Mirkina' (Бахтин 2002: 414), and in 'François Rabelais in the history of realism' (Бахтин 2008 [*ФРИР*]: 119).

⁷⁴⁴ This genre is named after Menippus, a Greek Cynic satirist who flourished in the IIIrd century BCE.

⁷⁴⁵ Бахтин 2012 [*Фвхр*]: 341-503.

⁷⁴⁶ Бахтин 2002 [*ППД*]: 143; “Parody ... is an integral element in Menippean satire and in all carnivalized genres in general” (Bakhtin 1984b [*РДР2*]: 127).

⁷⁴⁷ This work has recently appeared with ancillary material in Bakhtin's *Collected Works* (Бахтин 2008 [*ФРИР*]). A detailed and interesting discussion of Bakhtin's defence of his dissertation appeared in two articles by the late Nikolai Pan'kov (Pan'kov 1998 & 1999 *Everything Else: Parts 1 & 2*).

⁷⁴⁸ Бахтин 2010 [*ТФР*]: 101; Bakhtin 1984a [*Rabelais*]: 88 (emphasis in original but missing from translation).

However, two of his pieces that focus exclusively on satire and its sub-genre *menippeia* are «Сатира» (written in 1940) and «Мениппова сатира и ее значение в истории романа» [МенСат] (written in 1944). Сат is a more traditional piece in the form of general historical review, polished and consequently more accessible. By contrast МенСат alternates coherent passages of writing with more cryptic sections in highly condensed note form, with the emphasis on speculation rather than polished scholarship. On the basis of the dates attributed to both pieces by the editors of the *Collected Works*, together with the relative proportions devoted to *menippeia*, it appears that Bakhtin developed an intense interest in Menippean satire during the four-year period that separates them. This has resulted in the two pages covering *menippeia* in Сат⁷⁴⁹ expanding to seventeen pages in МенСат.⁷⁵⁰

There appear to be several plausible reasons for this. Firstly, Bakhtin's work on his dissertation on Rabelais would have brought satire to the forefront of his scholarly interests. Secondly, there appears to be evidence of his increasing realisation of the importance of Bion Borysthene being located in what was subsequently part of Russia⁷⁵¹ with the consequence that the European novel could be connected to Russian literary history much earlier than in the XIXth century. At the same time there is, in Bakhtin's works, an increasing recognition of the characteristics of *menippeia* that appear in Dostoevsky, particularly evident in both МенСат and

⁷⁴⁹ Бахтин 1997 [Сат]: 24-25.

⁷⁵⁰ Бахтин 2008 [МенСат]: 733-749.

⁷⁵¹ There is no reference to Bion's place of birth in Сат, one reference in МенСат, but there are multiple references in ППД.

ППД. Fourthly, Bakhtin's use of language tying the chronotope to the problem of satire is particularly evident in the spatio-temporal references and citations of chronotopes identified in earlier works such as *Фвхр*. This is supported by the use of the roles of Rogue, Jester and Fool⁷⁵² as examples.

And finally, the sense of development from *Сат* to *МенСат* is pronounced when one observes the way in which Bakhtin has linked Classical and medieval satire with the 'zones of contact',⁷⁵³ the sites of struggle with authority. Bakhtin has covered satire in the period from XVIIth to XXth century in a very cursory manner in *Сат*, and it is my contention that, in so doing, he has drawn a 'cordon sanitaire' around the theme, confining and distancing it from contemporary events. In this way, he has avoided the potential accusation of making the theme topical.

In order to examine Bakhtin's analysis of satire in a structured way, I shall use the *Сат* essay to frame the more speculative *МенСат* work. This approach has been taken in order to examine how Bakhtin drills down into the genre and sub-genre and where this scholarship takes him. In «Сатира», he starts the essay by outlining three types of satire: firstly, a 'lyrico-epic minor genre' developed by the Romans and 'regenerated in modern times through neoclassical writers'.⁷⁵⁴ Secondly, a hybridised dialogical genre using the philosophical diatribe developed by Bion and Telet, that was subsequently transformed by Menippus, hence the name 'Menippean satire'. At

⁷⁵² Mention of these three roles in *МенСат* (Бахтин 2008 [*МенСат*]: 744-746, 748) refers back to §VI of *Фвхр* (Бахтин 2012 [*Фвхр*]: 411-418; Bakhtin 1981 [*Dialogic*]: 158-167).

⁷⁵³ «ЗОНЫ КОНТАКТА» (Бахтин 2012 [*СвР*]: 100).

⁷⁵⁴ Бахтин 1997 [*Сат*]: 11.

this point Bakhtin traces *menippea* through the works of Lucian, Varro, Seneca, Petronius, Apuleius, and subsequently into early modern times (Rabelais, Cervantes, and finally Béroalde de Verville, the latter's work being exemplified by «Le Moyen de parvenir», published in 1617). The third type is represented by the application of satiric treatment to texts in any of the genres in order to achieve a negative portrayal of reality.⁷⁵⁵

After considering (and discarding) Schiller's definition of satire, Bakhtin suggests one of his own: «Итак, сатира есть образное отрицание современной действительности в различных ее моментах, необходимо включающее в себя — в той или иной форме, с той или иной степенью конкретности и ясности — и положительный момент утверждения лучшей действительности».⁷⁵⁶ From this point on in *Сат*, Bakhtin patiently assembles examples and outlines the history of satire to provide concrete support for both his typology and his definition.

However, in the case of *МенСат*, Bakhtin's interest is intense yet undirected. His encapsulation of *menippea* as 'dialogue which ... aspires not only to teach but to entertain'⁷⁵⁷ is based on its formal fundamental features: a combination of philosophical dialogue with an acutely adventurous and phantastic plot; the appearance of the hero-ideologue; 'moral experimentation'; the role of the motif of sleep, dreams and madness; the appearance of utopian elements; the

⁷⁵⁵ Coverage of all three types can be found at Бахтин 1997 [*Сат*]: 11.

⁷⁵⁶ Бахтин 1997 [*Сат*]: 11, rendered as 'Thus satire is to be the figurative negation of contemporary reality in its different aspects it is necessary to include in it — in that or [some] other form, to that or [some] other degree of specificity and lucidity — and the affirmative aspect of the assertion of a better reality'.

⁷⁵⁷ Бахтин 2008 [*МенСат*]: 742.

development of internal dialogue (soliloquy); particular spatio-temporal relationships; and finally, the annihilation of epic and tragic distance.⁷⁵⁸ The connection with parody is also made explicit, with parody seen as an intermediate stage in the development of this form of satire.⁷⁵⁹ Bakhtin's interest is based on his conclusion that a small number of serio-comic forms of literature influenced the development of the European novel: the Socratic dialogue, the *Logistorici*,⁷⁶⁰ *menippea*, and bucolic literature. Bakhtin's main focus is on Menippean satire, but he revisits both *Logistorici* and Socratic dialogue periodically in this piece, while mentioning bucolic literature once and then ignoring it.

In *МенСат* Bakhtin mentions many authors of Menippean satire besides the eponymous Menippus. The most important appear to be Bion, Heraclides Ponticus, Varro and Lucian from Classical times⁷⁶¹ and Kierkegaard and Dostoevsky from modern times.⁷⁶² Bakhtin's application of *menippea*, as well as his history of the sub-genre is explored further in ППД, analysed below.

⁷⁵⁸ Бахтин 2008 [*МенСат*]: 734.

⁷⁵⁹ Бахтин 2008 [*МенСат*]: 742.

⁷⁶⁰ Gottschalk, a Varronian scholar suggests that "the *Logistorici* were works of the same kind, monologues, perhaps with a very simple framework of dialogue, in which a speaker set forth his views on a philosophical or moral topic, using language and ideas largely derived from Cynic and Stoic popular philosophy" (Gottschalk 1980: 361).

⁷⁶¹ References to Menippus (736), Bion (738, 741), Heraclides Ponticus (738, 749), Lucian (738, 749), Varro (738, 741-743, 749) are page numbers in Бахтин 2008 [*МенСат*]. Other authors mentioned are: Julian the Apostate (741), Marcus Aurelius (741), Boethius (741), Seneca (733), Epictetus (739), and Martianus Capella (743).

⁷⁶² The reference to Kierkegaard (736) refers to a page number in Бахтин 2008 [*МенСат*]. Also referenced are Grimmelshausen (736-737), Simplicissimus (737), Heine (737), and Gogol' (746). References to Dostoevsky are predictably plentiful (737, 739, 740, 743, 745).

The area of action in which Classical *menippea* operate is the Underworld, which is introduced by Bakhtin in the initial paragraph of *МенСат*. This region (a ‘special artistic plane’) has certain characteristics that make it ideal for satire: people meet without regard to their place in the hierarchy; likewise, the hero has an opportunity to interact with the other characters, without any consideration of status; this enables people to exchange views with the ‘utmost candour’, to the point of ‘provocation’.⁷⁶³ This facilitates literary ‘conversations with the dead’.⁷⁶⁴

However, Bakhtin links this underworld with more prosaic spaces, which he believes participate in similar interstitial, limbo-like characteristics: the tavern and the ship’s deck;⁷⁶⁵ the threshold and staircase, public square and street;⁷⁶⁶ the room (as a fragment of the public square);⁷⁶⁷ and the crowd (as opposed to the chorus);⁷⁶⁸ all these embody the same characteristics as the underworld.⁷⁶⁹ And they all represent the ‘extra-hierarchical plane’, the ‘plane of plotted action’.⁷⁷⁰ Linked to these liminal regions is the notion of protean transformation,⁷⁷¹ specifically

⁷⁶³ Бахтин 2008 [*МенСат*]: 733.

⁷⁶⁴ Бахтин 2008 [*МенСат*]: 736.

⁷⁶⁵ Бахтин 2008 [*МенСат*]: 735. Bakhtin also mentions the road, the crossing, the coaching inn, and the bath house in this passage — all chronotopic images.

⁷⁶⁶ Бахтин 2008 [*МенСат*]: 745.

⁷⁶⁷ Бахтин 2008 [*МенСат*]: 745.

⁷⁶⁸ Бахтин 2008 [*МенСат*]: 748.

⁷⁶⁹ Бахтин 2008 [*МенСат*]: 747.

⁷⁷⁰ Бахтин 2008 [*МенСат*]: 734, 735.

⁷⁷¹ Бахтин 2008 [*МенСат*]: 742.

involving a mystical transformation of the person.⁷⁷² These themes are covered in greater detail in other parts of Bakhtin's work that analyse Petronius's *Satyricon* and Apuleius's *Metamorphoses*.⁷⁷³

This transformation was closely allied to the principle of inversion that defines Bakhtin's notion of carnival⁷⁷⁴, that notion in turn derived from the earlier Saturnalia.⁷⁷⁵ The inversion of the hierarchy⁷⁷⁶ in carnival, combined with the abrogation of laws,⁷⁷⁷ resulted in a hero without a place in the hierarchy, stripped of status.⁷⁷⁸ Bakhtin points to the interesting parallel between hierarchical disconnection and temporal disconnection,⁷⁷⁹ in which one can see a Dantesque view of the universe. This temporal disconnection is intimately linked with the annihilation of epic and tragic distance, and the consequent ability to transfer from the far past to the 'zone of contact'.⁷⁸⁰ The bridged gap between the far past and the 'zone of contact' is paralleled by the gap in Bakhtin's detailed analysis between Béroalde de Verville and the time of writing of *МенСат* (1617 to 1944), thus implicitly demonstrating performatively the applicability of *menippeia* to Soviet Russia. This connection becomes clearer when one views *menippeia* less as a generic characteristic of a literary

⁷⁷² Бахтин 2008 [*МенСат*]: 746.

⁷⁷³ These are discussed primarily in ФВхр (Bakhtin 1981 [*Dialogic*]), where section II is devoted to these two works.

⁷⁷⁴ Бахтин 2008 [*МенСат*]: 747.

⁷⁷⁵ Бахтин 2008 [*МенСат*]: 744.

⁷⁷⁶ Бахтин 2008 [*МенСат*]: 734.

⁷⁷⁷ Бахтин 2008 [*МенСат*]: 744.

⁷⁷⁸ Бахтин 2008 [*МенСат*]: 740.

⁷⁷⁹ Бахтин 2008 [*МенСат*]: 744.

⁷⁸⁰ Бахтин 2008 [*МенСат*]: 744.

text and more of a bridging mechanism between the past and the present (in much the same way as Aesopian language was used in the XIXth century).

However, there is a significant exception to this. Bakhtin's best known (and most controversial) attribution of Menippean satire is to the style of Dostoevsky's novels and short stories.⁷⁸¹ In ППД,⁷⁸² Bakhtin again examines *menippea* closely: firstly, in general terms,⁷⁸³ and then as applied to an analysis of Dostoevsky's stories *Bobok* and *The Dream of a Ridiculous Man*.⁷⁸⁴

In ППД, Bion of Borysthenes is specifically mentioned as 'the man from the banks of the Dnepr',⁷⁸⁵ lightly emphasising the connection between the sub-genre and the antecedents of Russian literature, and thus underwriting the connection with Dostoevsky. Again, the Roman satirists Varro, Horace and Seneca are referred to, but only briefly. However, Lucian, a satirist writing in Greek during the period of the Second Sophistic,⁷⁸⁶ is described as providing a full but not completely representative view of the genre.

Of these authors, Bakhtin's treatment of Bion and Lucian provokes the most interest: the former because Bakhtin's comment establishes an explicit tie between Menippus' predecessor Bion

⁷⁸¹ For a contrary view of this attribution, see Wellek, 'Bakhtin's View of Dostoevsky', particularly pages 37-38.

⁷⁸² Interestingly enough, there is only one mention of satire and none of *menippea* in the 1929 edition of ПТД (Бахтин 2000 [ПТД]: 5-175), whilst in the 1963 edition of ППД (Бахтин 2008 [ППД]: 6-300) references to both abound.

⁷⁸³ Бахтин 2008 [ППД]: 127-137.

⁷⁸⁴ Бахтин 2008 [ППД]: 155-173.

⁷⁸⁵ «Но уже безусловным представителем «Менипповой сатиры» был Бцион Борисфенит, то есть с берегов Днепра (III век до н. э.)» (Бахтин 2008 [ППД]: 127).

⁷⁸⁶ A period in Greek-speaking parts of the Roman Empire, spanning approximately 60-230 CE, first referred to in *The Lives of the Sophists* by Philostratus (*Oxford Companion to Classical Literature*).

and the territories later known as Kievan Rus. Bion is also mentioned in connection with what Bakhtin characterizes as ‘*slum naturalism*’,⁷⁸⁷ an ingredient that Bakhtin sees as essential to *menippea*. By contrast Lucian’s importance is seen as a structural one, determined less by the size of his corpus, but rather by the layered nature of his satires which have a ‘three-planed construction’⁷⁸⁸, and many of which contain so many inversions that their complexity is hard to disentangle. And it is precisely this level of complexity that acts as a protective shield against censorship and more draconian sanctions. Though all of the authors cited immediately above engaged in fierce verbal polemics against what they saw as the shortcomings of contemporary society, the construction of their works were often so byzantine that it was difficult to identify the rulers they attacked. This situation enabled the avoidance of accusations of *lèse-majesté* against the satirist. And whilst Bakhtin did not use this style in his own writing, his acute sensitivity to its importance in a writer’s armoury alerts the reader to its use as a technique for dissimulation.

* * *

Dissimulation and imposture have already been discussed from the perspective of Bakhtin’s lived experience and from the viewpoint of his construct of «маска». The first of these two points of view is focused on Bakhtin’s ambivalent performances about his ancestry and life, largely in the form of encouragement (often by non-denial) of a number of myths about his background and

⁷⁸⁷ «трущобный натурализм» (Бахтин 2008 [ЛПД]: 130, author’s emphasis).

⁷⁸⁸ In Lucian’s case, these are Olympus, Hades and Earth. A detailed discussion of Lucian’s representation of the plane of the afterlife occurs in Relihan 1987, ‘Vainglorious Menippus’.

actions that turned out to be unsupported by fact. The second of these two perspectives concentrates on Bakhtin's theory of identity, culminating in an examination of «маска» and the debt it owes to Nietzsche. The latter's sentiments in Section 289, Part 9 of *Beyond Good and Evil* (cited in Chapter Two, above),⁷⁸⁹ are further amplified by a passage in 'On Truth and Lying in a Non-Moral Sense': "As a means for the preservation of the individual, the intellect shows its greatest strengths in dissimulation, since this is the means to preserve those weaker, less robust individuals who, by nature, are denied horns or the sharp fangs of a beast of prey with which to wage the struggle for existence".⁷⁹⁰

As can be seen from the sections above on the various double-voiced aspects of heteroglossia, Bakhtin's approach to dissimulation and imposture is consistent across the wide range of his disciplines and the domains of his life and work reviewed in this dissertation. Bakhtin created and acted out a multi-threaded philosophy which, whilst not systematic in an analytic sense, was self-consistent in the way in which it addressed the creation of identity, the expression of language and the performance of life.

To further understand the mechanics of dissimulation, it is necessary to return to heteroglossia, and to re-emphasise the distinction between two of the words that Bakhtin uses to describe linguistic diversity: «разноречивость» and «разноязычие». The former is a closed

⁷⁸⁹ "Every philosophy *conceals* a philosophy too: every opinion is also a hiding-place, every word is also a mask" (Nietzsche 2002: 173).

⁷⁹⁰ Nietzsche 1999: 142.

language system, such as might be found in a dialect; the latter is a more open system, more like a 'dialogue of languages'.⁷⁹¹ «Разноречивость» is transformed into «разноязычие» in literature when characters' discourses mix without being homogenised. Bakhtin points out that locating oneself in a linguistic complex such as this requires a conscious act of orientation⁷⁹² in order to enable the writer to run the gamut of expression of his or her intentions. This gamut ranges from a direct and unmediated expression of these intentions, through various degrees of refraction of them, to a point where any intentions are denied and words are, as it were, trapped in amber and the author 'exhibits them as a unique speech thing ... completely reified'.⁷⁹³ It is in this trajectory that the opportunity for dissimulation arises and manifests itself in how and to what degree words are refracted. The quality and degree of this "semantic 'spectral dispersion'"⁷⁹⁴ is determined by the 'alien word', amongst other things, thus tying this notion firmly back to «слово с оглядкой» and «слово с лазейкой», figures of speech that we have established are prominent in Bakhtin's thoughts on discourse.

⁷⁹¹ Бахтин 2012 [СвР]: 47; Bakhtin 1981 [*Dialogic*]: 294.

⁷⁹² Бахтин 2012 [СвР]: 48; Bakhtin 1981 [*Dialogic*]: 295.

⁷⁹³ Бахтин 2012 [СвР]: 52; Bakhtin 1981 [*Dialogic*]: 299.

⁷⁹⁴ Bakhtin 1981 [*Dialogic: Glossary*]: 432.

The utterance

In Chapter One, we noted that many details of Bakhtin's life story were designed to be ambiguous with the intent of misleading the interlocutor or observer. If his identity was in question from this perspective, the nature of his language and actions was equally so. It is therefore unsurprising that the dynamics of double-voicedness implicit in the concept of heteroglossia form the crux of his theory of language, based as they are on the Janus-like nature of the utterance.

From Bakhtin's point of view, the utterance is central to any consideration of language, because language "is realized in the form of individual concrete utterances (oral and written) by participants in the various areas of human activity".⁷⁹⁵ The importance to linguistics and philology of a study of the nature of the utterance is based on the inevitability of dealing with concrete utterances (whether written or oral) in all spheres of human communication.⁷⁹⁶ This is because the wide range of "... emotion, evaluation, and expression ... are born *only* in the process of its [the word's] *live* usage in a concrete utterance".⁷⁹⁷

⁷⁹⁵ Bakhtin 1986 [*Speech*]: 60 [emphasis added to translation]. «Использование языка осуществляется в форме единичных конкретных высказываний (устных или письменных) участников той или иной области человеческой деятельности» (Бахтин 1997 [ПРЖ]: 159).

⁷⁹⁶ Bakhtin 1986 [*Speech*]: 62; Бахтин 1997 [ПРЖ]: 162.

⁷⁹⁷ Bakhtin 1986 [*Speech*]: 87 [emphases added to translation]; «экспрессия чужды слову языка и рождаются только в процессе его живого употребления в конкретном высказывании» (Бахтин 1997 [ПРЖ]: 191).

Bakhtin regards the utterance as having a number of ‘constitutive features’ (markers). The “change of speaking subjects”,⁷⁹⁸ “expressive intonation”,⁷⁹⁹ and the “quality of being directed to someone, its addressivity”,⁸⁰⁰ are the three markers stressed in *The Problem of Speech Genres*. Bakhtin also observes that, while utterances may vary in length, content and composition, they have clear boundaries and identifiable structural features.⁸⁰¹ His other definitive statement is that “[t]here can be no such thing as an absolutely neutral utterance”.⁸⁰²

In addition, Bakhtin explores a number of facets of the utterance in this essay. He looks at the elements that compose the utterance and their determinants: the “referentially semantic content” of the utterance and its “expressive aspect”.⁸⁰³ He analyses the nature and functions of the boundaries of the utterance, including their determination by others’ utterances, the active responsive understanding of others, and/or a responsive action based on this understanding.⁸⁰⁴ The existence of boundaries implies the finalisation of the utterance which Bakhtin equates to “the inner side of the change of speech subjects”.⁸⁰⁵ A bounded, finalised utterance is an “expression of

⁷⁹⁸ Bakhtin 1986 [*Speech*]: 76; «смена речевых субъектов» (Бахтин 1997 [ПРЖ]: 178).

⁷⁹⁹ Bakhtin 1986 [*Speech*]: 85; «экспрессивная интонация» (Бахтин 1997 [ПРЖ]: 189).

⁸⁰⁰ Bakhtin 1986 [*Speech*]: 95; «Существенным (конститутивным) признаком высказывания является его обращенность к кому-либо» (Бахтин 1997 [ПРЖ]: 200).

⁸⁰¹ Bakhtin 1986 [*Speech*]: 71; Бахтин 1997 [ПРЖ]: 172.

⁸⁰² Bakhtin 1986 [*Speech*]: 84; «абсолютно нейтральное высказывание невозможно» (Бахтин 1997 [ПРЖ]: 188).

⁸⁰³ Bakhtin 1986 [*Speech*]: 84; Бахтин 1997 [ПРЖ]: 187.

⁸⁰⁴ Bakhtin 1986 [*Speech*]: 71; Бахтин 1997 [ПРЖ]: 172-173.

⁸⁰⁵ Bakhtin 1986 [*Speech*]: 76; «внутренняя сторона смены речевых субъектов» (Бахтин 1997 [ПРЖ]: 178). For discussion of the determinants of finalisation, see Bakhtin 1986 [*Speech*]: 76-78.

someone speaking ... in a concrete situation of speech communication”⁸⁰⁶ which is “always individual and contextual in nature”⁸⁰⁷ and therefore its context is unrepeatable.⁸⁰⁸ The extension of this individuation is that each utterance occupies a definite position, which is determined by correlating it with other loci: “Therefore, each utterance is filled with various kinds of responsive reactions to other utterances of the given sphere of speech communication”.⁸⁰⁹

This generates a series of links “in a very complexly organized chain of other utterances”.⁸¹⁰ Each response to preceding utterances “refutes, affirms, supplements, and relies on the others, presupposes them to be known, and somehow takes them into account”.⁸¹¹ This chain includes ‘repliques’⁸¹² («реплики») to utterances, which Bakhtin defines as “the utterances of interlocutors or partners in dialogue” that express “a particular position of the speaker to which ... one may assume ... a responsive position”.⁸¹³ Dialogue is an essential context for the utterance — as Bakhtin

⁸⁰⁶ Bakhtin 1986 [*Speech*]: 84; «оно становится выражением позиции индивидуального говорящего в конкретной ситуации речевого общения» (Бахтин 1997 [*ПРЖ*]: 187).

⁸⁰⁷ Bakhtin 1986 [*Speech*]: 88; «всегда носит индивидуально-контекстуальный характер» (Бахтин 1997 [*ПРЖ*]: 192).

⁸⁰⁸ Bakhtin 1986 [*Speech*]: 88; «определяемую неповторимо-индивидуальным контекстом высказывания» (Бахтин 1997 [*ПРЖ*]: 192).

⁸⁰⁹ Bakhtin 1986 [*Speech*]: 91; «Каждое высказывание полно отзвуков и отголосков других высказываний, с которыми оно связано общностью сферы речевого общения» (Бахтин 1997 [*ПРЖ*]: 195).

⁸¹⁰ Bakhtin 1986 [*Speech*]: 69; «Каждое высказывание — это звено в очень сложно организованной цепи других высказываний» (Бахтин 1997 [*ПРЖ*]: 170).

⁸¹¹ Bakhtin 1986 [*Speech*]: 91; «оно их опровергает, подтверждает, дополняет, опирается на них, предполагает их известными, как-то считается с ними» (Бахтин 1997 [*ПРЖ*]: 196).

⁸¹² ‘replique’ “A reply, a response” (*OED Online*; retrieved on 8-Sep-2015).

⁸¹³ Bakhtin 1986 [*Speech*]: 72; «... выражая некоторую позицию говорящего, на которую можно ответить, в отношении которой можно занять ответную позицию» (Бахтин 1997 [*ПРЖ*]: 173).

says: «Оно и возникает из него, из этого диалога, как его продолжение, как реплика, а не откуда-то со стороны подходит к предмету».⁸¹⁴

However, what separates Bakhtin from other thinkers in this area is the link forward to anticipated utterances that complements the link back to past utterances:

«Но высказывание связано не только с предшествующими, но и с последующими звеньями речевого общения ... [оно] с самого начала строится с учетом возможных ответных реакций, ради которых оно, в сущности, и создается».⁸¹⁵

This Janus-like quality of the utterance that permeates these samples of «слово с оглядкой» and «слово с лазейкой» is absolutely critical to a complete understanding of the reflexive quality of Bakhtin's theory of language.

As mentioned above Bakhtin sees 'addressivity' as a constitutive marker of the utterance and this is because it is a necessary part of the chain of completed utterances stretching back into the past and potential utterances stretching forward into the future.⁸¹⁶ He describes addressivity in the following manner:

«... обращенность, адресованность высказывания есть его конститутивная особенность, без которой нет и не может быть высказывания. Различные типические

⁸¹⁴ Бахтин 2012 [СбР]: 30; "After all, the utterance arises out of this dialogue as a continuation of it and as a rejoinder to it — it does not approach from the sidelines." (Bakhtin 1986 [Dialogic]: 276-277).

⁸¹⁵ Бахтин 1997 [ПРЖ]: 199-200; "But the utterance is related not only to preceding, but also to subsequent links in the chain of speech communion ... from the very beginning [it] is constructed while taking into account possible responsive reactions, for whose sake, in essence, it is actually created. " (Bakhtin 1986 [Speech]: 94).

⁸¹⁶ It is not unlikely that Bakhtin's general comfort with the integration of science into his philosophy would have allowed him to incorporate the quantum mechanical concept of 'superposition' into his explanation of anticipated response to utterances.

формы такой обращенности и различные типические концепции адресатов — конститутивные, определяющие особенности различных речевых жанров».⁸¹⁷

And a necessary component of addressivity is active response because, as Bakhtin indicates “all real and integral understanding is actively responsive”⁸¹⁸ and all speakers are, to a greater or lesser degree, respondents.⁸¹⁹

This concept of addressivity leads straight to the Self-Other dyad because words exist for the speaker in three aspects. Firstly a word exists “as a neutral word of a language, belonging to nobody”.⁸²⁰ Secondly, it exists “as an *other’s* word, which belongs to another person and is filled with echoes of the other’s utterance”.⁸²¹ And thirdly, the word exists “as *my* word, for, since I am dealing with it in a particular situation, with a particular speech plan, it is already imbued with my expression”.⁸²² As a consequence of the faceted nature of words when they are expressed as an utterance, Bakhtin expresses the dynamics thus:

⁸¹⁷ Бахтин 1997 [ПРЖ]: 204-205; “...addressivity, that quality of turning to someone, is a constitutive feature of the utterance; without it the utterance does not and cannot exist. The various typical forms this addressivity assumes and the various concepts of the addressee are constitutive, definitive features of various speech genres.” (Bakhtin 1986 [Speech]: 99).

⁸¹⁸ Bakhtin 1986 [Speech]: 69; «... всякое реальное целостное понимание активно-ответно ...» (Бахтин 1997 [ПРЖ]: 170).

⁸¹⁹ Bakhtin 1986 [Speech]: 69; Бахтин 1997 [ПРЖ]: 170.

⁸²⁰ Bakhtin 1986 [Speech]: 88; «как нейтральное и никому не принадлежащее слово языка» (Бахтин 1997 [ПРЖ]: 192).

⁸²¹ Bakhtin 1986 [Speech]: 88; «как чужое слово других людей, полное отзвуков чужих высказываний» (Бахтин 1997 [ПРЖ]: 192).

⁸²² Bakhtin 1986 [Speech]: 88; «как мое слово, ибо поскольку я имею с ним дело в определенной ситуации, с определенным речевым намерением, оно уже проникается моей экспрессией» (Бахтин 1997 [ПРЖ]: 192).

«Строя свое высказывание, я стараюсь его активно определить; с другой же стороны, я стараюсь его предвосхитить, и этот предвосхищаемый ответ в свою очередь оказывает активное воздействие на мое высказывание».⁸²³

This tri-aspectual nature ties in closely with Bakhtin's observation of the paradox that a word may exist as 'my word', yet in some senses it belongs to no-one; as his treatment of heteroglossia in *СвР* indicates, "language has been completely taken over, shot through with intentions and accents".⁸²⁴

Bakhtin comes to the conclusion that the actions of "[a]ccounting for the addressee and anticipating his responsive action are frequently multifaceted processes that introduce unique internal dramatism into the utterance ...".⁸²⁵ This conclusion provides a basis for his discussion of 'word with a backward glance' and 'word with a loophole'. Combined with the nature of the utterance, an understanding of heteroglossia provides a theoretical basis for multiplexed utterances.

* * *

By positioning the analysis on the figures of speech of «слово с оглядкой» and «слово с лазейкой» as the centrepiece of this analysis of Bakhtin's philosophy of language, this chapter has adopted a perspective on Bakhtin's life and work that is complementary to his philosophy of

⁸²³ Бахтин 1997 [ПРЖ]: 201. "When constructing my utterance, I try actively to determine [the other's] response. Moreover, I try to act in accordance with the response I anticipate, so this anticipated response, in turn, exerts an active influence on my utterance" (Bakhtin 1986 [Speech]: 95).

⁸²⁴ Bakhtin 1986 [Dialogic]: 293. «он весь оказывается расхищенным, пронизанным интенциями, ироакцентуированным» (Бахтин 2012 [СвР]: 46).

⁸²⁵ Bakhtin 1986 [Speech]: 96; «Учет адресата и предвосхищение его ответной реакции часто бывает многосторонним, сложным и напряженным, вносящим своеобразный внутренний драматизм в высказывания...» (Бахтин 1997 [ПРЖ]: 201).

identity. This viewpoint has also enabled the examination of a number of theoretical frameworks (developed by Bakhtin and others) to see how they support these figures of speech. In so doing, it can be seen that the frameworks not only support the metaphors of the 'word with a backward glance' and the 'word with a loophole', but also the contention that Bakhtin had a *conscious* strategy of self-fashioning and self-expression that manifested itself not only in his life but also in his theory of identity and his theory of language.

CHAPTER FOUR

Bakhtin, identity and linguistic theory of XXth century

Bakhtin's theory of language, detailed as it is, is not comprehensive and other theoretical tools are required to understand it in full. This requires reconstructing the context and establishing productive parallels. Probably the most important theorists and philosophers of language for understanding Bakhtin are Wittgenstein, Austin and Benveniste. The concepts that they employ — language games, performativity and deixis respectively⁸²⁶ — can provide new perspectives for the understanding of Bakhtin's work in the areas of the utterance, heteroglossia and interdiscursivity. Of course, these theories could not have had any impact on Bakhtin's work. Benveniste post-dates Bakhtin and there is absolutely no evidence of Bakhtin's interest in Austin or Wittgenstein, even if one were to posit a kind of bridge between between Bakhtin and Wittgenstein, on the basis of the friendship between Bakhtin's brother Nikolai and Wittgenstein in the later part of their lives.

Some of the parallels can be easily traced. For instance, there is an evident affinity between Wittgenstein's *Sprachspiele* and Bakhtin's «игра», especially in the carnivalisation of language in parody. In addition, Wittgenstein stresses that the “word ‘language-game’ is used to emphasize the fact that the *speaking* of language is part of an activity, or of a form of life”⁸²⁷ and *Sprachspiele* must

⁸²⁶ See footnote 23.

⁸²⁷ Wittgenstein 2009 [PI]: §23, 15^c.

be viewed as “languages complete in themselves, as complete systems of human communication”,⁸²⁸ which is notably close to Bakhtin’s concept of heteroglossia.

The operation of language as outlined in Wittgenstein’s concept of ‘language-games’ is well supported by the notion of ‘family resemblance’ — enunciated in Sections 66–67 of *Philosophical Investigations*. Wittgenstein describes these resemblances as “overlapping and criss-crossing: sometimes overall similarities, sometimes similarities of detail”,⁸²⁹ and they have a much wider remit in Bakhtin’s thought than merely underpinning a description of *Sprachspiele*. Metaphorical language in general is based on family resemblances precisely because they have the characteristic of being instance-based rather than rule-based: shown rather than described. This notion can be applied to areas that bear not only on Bakhtin’s theories of language but also on the way in which he himself uses language in order to achieve his rhetorical goals. The notion of family resemblances is at the core of the anti-systematic approach typical for Bakhtin and the later Wittgenstein. It provides a loosely-structured environment within which other concepts can subsequently be discussed.

Austin’s concept of performativity was neither explicitly analysed by Bakhtin *per se*, nor specifically incorporated into his theoretical apparatus. But he definitely employed the concept in his work — the manifold nature of performativity is again clearly illustrated in Bakhtin’s construct of heteroglossia. In this respect, heteroglossia presents itself as a phenomenon that has implicit

⁸²⁸ Wittgenstein 1969 [B&B]: 81.

⁸²⁹ Wittgenstein 2009 [PI]: §66, 36^c.

links to the mask by way of the concept of a reified language where the author acts as ventriloquist.

As Bakhtin says: «Автор говорит ... как бы через язык, несколько оплотненный,

объективированный, отодвинутый от его уст».⁸³⁰ This concept often manifests itself in the

double-voicedness of parody (and its obverse, irony), satire, and imposture. Performativity is also a

necessary condition for «слово с оглядкой» and «слово с лазейкой», both of which depend on

the performative aspects of language.

And finally the concept of deixis — again, never explicitly incorporated into the apparatus associated with Bakhtin’s theory of language — requires exploration because it is a concept that firmly links identity with language. By bridging this theoretical gap, it also underpins performativity. Bakhtin’s concept of identity is intimately connected with (and complemented by) that particularly complex and vexatious area — indexicality⁸³¹ and its subdomain, deixis⁸³². Deixis provides a referential framework that links identity to language. Language, about which Bakhtin wrote so compellingly, is both descriptive and performative. And identity constitutes a precondition for performativity in that a theoretical basis for the Self/Other dyad has to be established before the addresser-addressee communication can be analysed in full. The availability of deictic conventions (functioning as linguistic reference points) also serves as a precondition for this form of communication. Performativity also introduces the element of agency into this

⁸³⁰ Бахтин 2012 [СвР]: 52. “The author ... speaks, as it were, through language, a language that has somehow more or less materialized, become objectivized, that he merely ventriloquates” (Bakhtin, [Dialogic]: 299).

⁸³¹ Braun 2015; Almog *et al.* 1989.

⁸³² Benveniste 1971, Fillmore 1997, Jakobson 1984, Jespersen 1922, Ricoeur, 1992 and Lenz 2003.

referential framework. But, rather than *analysing* language's performative aspect, Bakhtin used it to further his own rhetorical ends.

Thus, three aspects of language — linguistic reference, identity and performativity — underwrite the utterance within the framework of language games. The image most evoked by Bakhtin's description of the utterance, which he explores in such depth in «Проблема речевых жанров» [ПРЖ] (1953), is that of the chain. This symbol has an implicit extension, and not only a temporal one — going backwards and forwards in time — but also lateral into the form of a net. This net-like extension is valid because utterances are necessarily positioned in relationship to multiple dimensions, due to their derivation from multiple conversations and/or texts: multiple nodes can therefore contribute concurrently to a unique utterance.

* * *

To paraphrase Wittgenstein, the uses of language are so multifarious that there is no one common quality by which they can be described.⁸³³ As a consequence, Wittgenstein's 'game' construct, which is in turn based on his notion of 'family resemblances', is intended to stress the contextual yet loosely-knit concept of *Sprachspiele*. This sense of family kinship is echoed by Bakhtin in ПРЖ when he says: "When we select words in the process of constructing an utterance, we by no means always take them from the system of language in their neutral, dictionary form.

⁸³³ " ... these phenomena have no one thing in common in virtue of which we use the same word for all — but there are many different kinds of *affinity* between them. And on account of ... these affinities, we call them all 'languages'". (Wittgenstein 2009 [PI]: §65, 35° [author's emphasis]).

We usually take them from other utterances, and mainly from utterances that are *kindred* to us in genre, that is in theme, composition or style”.⁸³⁴ Thus the meaning of a word is its use in the language-game. However, if a word is used outside its language game,⁸³⁵ Wittgenstein deems that “language goes on holiday”.⁸³⁶ The language-games that are described in detail in earlier sections of *Philosophical Investigations*⁸³⁷ are characterised as activities that are performed in the context of a whole culture.⁸³⁸ Thus Wittgenstein sees language itself as constituting a “form of life”,⁸³⁹ prey to the same forces of evolution and selection as life itself.⁸⁴⁰ The link between this vision and Bakhtin’s perception becomes evident when one looks at how he treats ‘play’ in the context of the “*festive aspect of the whole world in all its elements*”.⁸⁴¹ In fact, the use of the term «игра» is quite common throughout Bakhtin’s *Collected Works*, especially in the sense in which it is employed by Wittgenstein, although not necessarily with *precisely* the same frame of reference. Consider this example: «игра образа-тропа в поэтической речи в узком смысле, в „отрешенном слове“»,⁸⁴²

⁸³⁴ Bakhtin 1986 [*Speech*]: 87; «Когда мы выбираем слова в процессе построения высказывания, мы далеко не всегда берем их из системы языка, в их нейтральной, словарной форме. Мы берем их обычно из *других высказываний*, и прежде всего из высказываний, *родственных* нашему по жанру, то есть по теме, по композиции, по стилю; мы, следовательно, отбираем слова по их жанровой спецификации» (Бахтин 1997 [*ПРЖ*]: 191; emphasis added in both original and translation).

⁸³⁵ Wittgenstein 2009 [*PI*]: §500, 14^е, Wittgenstein 1989 [*OC*]: §393, 50^е.

⁸³⁶ Wittgenstein 2009 [*PI*]: §38, 23^е.

⁸³⁷ In particular, refer to Wittgenstein 2009 [*PI*]: §§48-53, 27^е-31^е.

⁸³⁸ Wittgenstein 1966 [*L&C*]: §26, 8.

⁸³⁹ Wittgenstein 2009 [*PI*]: §19, 11^е.

⁸⁴⁰ Wittgenstein 2009 [*PI*]: §23, 14^е-15^е.

⁸⁴¹ Bakhtin 1984a [*Rabelais*]: 85. «Это — как бы *праздничный аспект всего мира* во всех его моментах, как бы второе откровение о мире в игре и смехе» (Бахтин 2010 [*ТФР*]: 97).

⁸⁴² Бахтин 2012 [*СВР*]: 31; “*the play of an image-as-trope, in poetic speech taken in the narrow sense, in an ‘autotelic word’*” (Bakhtin 1981 [*Dialogic*]: 277).

where the sense lies somewhere between the play of light and the operation of an ‘image-as-trope’ in speech as *parole*.

In Sections 66–67 of *Philosophical Investigations*, Wittgenstein examines how the conceptual grouping of games by family resemblance is constructed by means of his dialogue between an argument that advocates a rule-based definition of ‘game’ and a counter-argument that defines games by instantiation, the latter comparing similar games and “seeing what is common”.⁸⁴³ In doing so, he uses the example of *qualia*, such as colours, to illustrate the difficulty of approach to such a multifaceted concept as that of a ‘game’.⁸⁴⁴ As part of his critique of the rule-based argument for absolute clarity, Wittgenstein cites Frege as firstly, “comparing a concept to a region”, and secondly saying that “a region without clear boundaries can’t be called a region at all”.⁸⁴⁵ Wittgenstein’s position is strongly reminiscent of J L Austin’s argument about the truth value of the statement “France is hexagonal”⁸⁴⁶ — this constative is true, *relative to the level of precision required*, just as a concept with ‘blurred edges’ is valid,⁸⁴⁷ *according to the degree of its utility*.

Both Bakhtin and the later Wittgenstein (of the *Philosophical Investigations*) share an antipathy for rule-based systems, deriving from their concern for the particular, especially the event.⁸⁴⁸

Harrison’s observation about Wittgenstein’s *modus operandi* (“In passing from the singular to the

⁸⁴³ Wittgenstein 2009 [PI]: §72, 38^o.

⁸⁴⁴ Wittgenstein 2009 [PI]: §73, 39^o.

⁸⁴⁵ Wittgenstein 2009 [PI]: §71, 38^o.

⁸⁴⁶ Austin 1963 ‘Performative–constative’: 32.

⁸⁴⁷ Wittgenstein 2009 [PI]: §71, 38^o.

⁸⁴⁸ Wittgenstein 1969 [B&B]: 18.

systematic, from the event to the mechanism, that which is added by the act perishes...”)⁸⁴⁹ could equally well be applied to Bakhtin’s approach. Passing from the singular to the systematic also necessitates using what Wittgenstein refers to as the ‘high road’, which he regards as permanently closed, requiring us to ‘make detours’ in giving meaning to our expressions.⁸⁵⁰ These diachronic perspectives combined with the imagery of the road common to both Bakhtin⁸⁵¹ and Wittgenstein allow for a path-dependent⁸⁵² view of their theories of language creation and regeneration that is based not only on the language events experienced during a life but also the order in which they are encountered. As Ol’khov observes, Bakhtin’s concern is with the philosophy of ordinary language:

“*Common sense and common words*, the good, common sense that avoids the extremes of various cognitive strategies and styles, from empiricism to naturalism; the good, common words that all reasoning must have and that are needed only so that we can clarify the tradition of their past usage and thus include them into a new, *contemporary* conversation — that, if I have it right, is the hermeneutic wellspring of Bakhtinian thought in its historical-philosophical dimension”.⁸⁵³

* * *

⁸⁴⁹ The implication of this summary of the philosopher’s position by Harrison (Harrison 2002: 494) is that Wittgenstein feels strongly that if one’s focus changes from the particularity of the event to the generality of the system that generates it, one fails to perceive the value of that act (whether that value be aesthetic or ethical). This aligns extremely closely with Bakhtin’s position in КФП.

⁸⁵⁰ Wittgenstein 2009 [PI]: §426, 134^e.

⁸⁵¹ Refer to Bakhtin’s ‘chronotope of the road’ in ФВХр.

⁸⁵² “Path dependence is the idea that decisions we are faced with depend on past knowledge trajectory and decisions made” (Financial Times Lexicon, <http://lexicon.ft.com/>; retrieved on 3-Sep-2015).

⁸⁵³ Ol’khov 2014: 12.

One of the more complex subspecies of language games is that of linguistic reference. It is a complex area, and yet an understanding of reference is essential to any comprehensive treatment of the nature of identity, particularly when that identity has been framed in terms such as «я-для-себя» and «я-для-другого», both of which phrases have references to external entities firmly embedded in them. Bakhtin's analysis of the utterance as a link in a chain of communication also explicitly mentions the same type of reference: "each utterance is characterized primarily by a particular referentially semantic content".⁸⁵⁴ And in regard to heteroglossia, Bakhtin points out in СВР the inherently indexical nature of style.⁸⁵⁵ Wittgenstein further strengthens the theoretical link between language games and linguistic reference. His comments on the sentence 'We name things and then we can talk about them: can refer to them in talk' include an explicit mention of the language-game of naming.⁸⁵⁶ There is also a clear connection here between some acts of naming which are quite clearly performances (e.g. the christening of a child, the creation of a knight and the naming of a ship) and the concept of 'performativity'.

Performativity is the linguistic concept evolved by the Oxford philosopher John Langshaw Austin in the 1950s to differentiate between those utterances which only *state* and those which *do*

⁸⁵⁴ Bakhtin 1986 [*Speech*] *Genres*: 84; «каждое высказывание характеризуется прежде всего определенным предметно-смысловым содержанием» (Бахтин 1997 [*ПРЖ*]: 187).

⁸⁵⁵ Бахтин 2012 [*СвР*]: 37; «Стиль органически включает в себя указания вовне, соотносённость своих элементов с элементами чужого контекста». "Style organically contains within itself indices that reach outside itself, a correspondence of its own elements and the elements of an alien context." (Bakhtin 1981 [*Dialogic*]: 284).

⁸⁵⁶ Wittgenstein 2009 [*PI*]: §27, 16^c-17^c.

as well.⁸⁵⁷ As Austin says about performative utterances in *How to Do Things with Words*, “the issuing of the [performative] utterance is the performing of an action”.⁸⁵⁸ Wittgenstein also establishes a strong connection between language and action when he considers that “words are deeds”,⁸⁵⁹ so the way in which we act constitutes a language-game,⁸⁶⁰ as does the context in which we situate that act.⁸⁶¹ The explicit link between Wittgenstein’s approach to language and Austin’s concept of performativity is made clear when the former says in *On Certainty* that “it is our acting, which lies at the bottom of the language-game”.⁸⁶² This strongly resonates with a passage in СВР when Bakhtin explicitly connects performativity to heteroglossia: «Каждым своим литературно-словесным выступлением оно активно ориентируется в разноречии, занимает в нем позицию, выбирает „язык“». ⁸⁶³ Thus performativity adopts the role of a major theoretical support⁸⁶⁴ for thinking in ‘non-essentialist’ terms.⁸⁶⁵

In a way strongly reminiscent of Wittgenstein’s treatment of Frege’s requirement for ‘clear boundaries’, Austin also explores the limits of defining performative utterances by establishing

⁸⁵⁷ In this context, however, what performativity *is not* is just as important as what it *is*. As Butler asserts, “performativity is neither free play nor theatrical self-presentation; nor can it simply be equated with performance” (Butler 1993: 95, cited in Pennycook 2004: 8).

⁸⁵⁸ Austin 1975 [*How to do things*]: (Lecture I) 6 [emphasis added].

⁸⁵⁹ Wittgenstein 1984 [*C&V*]: 46^e; Wittgenstein 2009 [*PI*]: §546, 155^e.

⁸⁶⁰ Wittgenstein 1966 [*L&C*]: §6, 2-3.

⁸⁶¹ Wittgenstein 1966 [*L&C*]: §5, 1-2.

⁸⁶² Wittgenstein 1989 [*OC*]: §204, 28^e.

⁸⁶³ Бахтин 2012 [*СВР*]: 48. “With each literary-verbal performance, consciousness must actively orient itself amidst heteroglossia, it must move in and occupy a position for itself within it, it chooses, in other words, a ‘language’”. (Bakhtin 1981 [*Dialogic*]: 295).

⁸⁶⁴ As Ol’khov observes, the “Bakhtinian word is voluminosely effectual, ‘performative’ ...” (Ol’khov 2014: 13).

⁸⁶⁵ Pennycook 2004: 8.

either grammatical or lexical criteria for this group.⁸⁶⁶ These criteria turn out to be unsatisfactory, resulting in his assertion that there are “a whole group of senses of ‘doing something’ which are all included together when we say, what is obvious, that to say something is in the full normal sense to do something”. He concludes from this that “it is not always easy to distinguish performative utterances from constative”.⁸⁶⁷

In discussing an article on socialization and speech events, Richard Bauman paraphrases the article’s author in an apt description of identity as being “not simply the mask of the moment but a temporal emergent, interdiscursively accomplished in the process of socialization”.⁸⁶⁸ Alastair Pennycook (a researcher in the domain of language studies, who also views the problem in this fashion) indicates that identity ceases to be regarded as a ‘pre-given construct’ but can be viewed as progressively constituted by language,⁸⁶⁹ in the form of a “sedimentation of acts repeated over time within regulated contexts”,⁸⁷⁰ not unlike the rituals associated with performativity. If this is the case, Pennycook argues, the converse is also true: language is not a pre-given entity either, but is the “sedimented product[s] of repeated acts of identity”⁸⁷¹ that through repetition give the appearance of substance.⁸⁷² All of these scholars assist our understanding by alternately

⁸⁶⁶ Austin 1975 [*How to do things*]: (*Lecture V*): 55-66.

⁸⁶⁷ Austin 1975 [*How to do things*]: (*Lecture VIII*): 94.

⁸⁶⁸ Bauman 2005: 147 discussing Wortham 2005.

⁸⁶⁹ Pennycook 2004: 13.

⁸⁷⁰ Pennycook 2004: 15.

⁸⁷¹ Pennycook 2004: 15.

⁸⁷² Pennycook 2004: 16.

concentrating and fleshing out Bakhtin's writings on interdiscursivity, reinforcing Austin's performative perspective.⁸⁷³

In one of his last papers, Austin articulates the concept of performativity even further: in contrast to the constative, or descriptive utterance, "the performative utterance ... can never be either [true or false]: it has its own special job, it is used to perform an action".⁸⁷⁴ In considering truth values in relation to performativity, J L Austin's argument about the truth value of the statement "France is hexagonal" provides an entry point into this analysis. As Austin notes: "The truth or falsity of a statement depends not merely on the meanings of words but on what act you were performing in what circumstances".⁸⁷⁵ He goes on to say that in a *constative* utterance the illocutionary and perlocutionary aspects are de-emphasised with the stress laid on the locutionary⁸⁷⁶ aspects. The converse is true with a *performative* utterance, where "we attend as much as possible to the illocutionary force of the utterance, and abstract from the dimension of correspondence with facts".⁸⁷⁷

⁸⁷³ For example, Bauman 2005: 149-150 (the section of the article on 'Bakhtin and Linguistic Anthropology') and Pennycook 2004: 15-16 (specifically the latter's comment: "[Bakhtin's] view of language ... opens up significant possibilities for understanding agentive action in the refashioning of language and identity. Language performance, from this point of view, can be viewed not as the incompetencies of the real world but as the site where language and identity are made.")

⁸⁷⁴ Austin 1963 'Performative-constative': 22.

⁸⁷⁵ Austin 1975 [*How to do things*]: (Lecture XI): 145; and more even succinctly: "Reference depends on knowledge at the time of utterance" ((Lecture XI): 144).

⁸⁷⁶ Austin defines 'locutionary' as "the act of 'saying something' ... with a certain sense and a certain reference" (Austin 1975 [*How to do things*]: (Lecture VIII): 94).

⁸⁷⁷ Austin 1975 [*How to do things*]: (Lecture XI): 145.

Austin concludes that “the traditional ‘statement’ is an abstraction, an ideal, and so is its traditional truth or falsity”.⁸⁷⁸ He reaffirms this later saying that truth is “not a simple quality or relation, not indeed one anything, but rather a whole dimension of criticism”.⁸⁷⁹ Based on his position on truth and falsity, it is unsurprising that Austin constructed his theory of ‘felicity’ and ‘infelicity’ to apply to performatives.⁸⁸⁰ Initially, Austin ties utterances firmly to binaries: constatives to true/false and performatives to felicity/infelicity.⁸⁸¹ However, the distinctions and the correspondences become less certain in a later paper in which Austin argues that constatives are also liable to infelicity.⁸⁸²

An instance of performative prose in one of Bakhtin’s works occurs in *ФВХр*. This piece is essentially an episodic review of the development of Bakhtin’s concept of the chronotope in literature.⁸⁸³ Its first nine sections were written in 1937-1938 but, prior to its publication in the 1970s, Bakhtin’s publisher requested that he write a conclusion, and section X was completed in 1973. Tensions exist between, on the one hand, the organic, relatively predictable, exploration of the development of the chronotope in sections I – IX of *ФВХр* and, on the other, the subtle but

⁸⁷⁸ Austin 1975 [*How to do things*]: (*Lecture XI*): 148.

⁸⁷⁹ Austin 1963 ‘Performative-constative’: 33

⁸⁸⁰ Essentially, ‘felicity’ describes the condition of a performative when it operates validly, and ‘infelicity’ the converse condition. Infelicity can take many forms: those identified by Austin were: *nullity* (where the performer was not in a position to honour the contract), *abuse* or *insincerity* (where the performer had no intention of honouring the contract) and *breach of commitment* (where, whatever the performer’s situation or intention, the contract was not honoured) [Austin 1963 ‘Performative-constative’: 24].

⁸⁸¹ Austin 1975 [*How to do things*].

⁸⁸² Austin 1963 ‘Performative-constative’: 29.

⁸⁸³ Bakhtin 1981, Бахтин 2012.

nonetheless real paradigm shift⁸⁸⁴ in section X. These tensions become palpable when the reader suddenly realises that the performative breach has occurred, and that what follows it is a re-evaluation of Sections I – IX.

At the beginning of this section, Bakhtin explicitly undertakes to sum up the previous sections, adding no substantive new material. By the end of the ‘Concluding remarks’ this undertaking is comprehensively breached by a shift that expands the objects of chronotopic analysis from those of art and literature to include lived experience as well.⁸⁸⁵ This textual event can be characterised as a ‘performative shift’ defined in a late Soviet context by Alexei Yurchak as:

“[a] general shift at the level of concrete ritualized forms of discourse, in which the performative dimension’s importance grows, while the constative dimension opens up to new meanings ...”⁸⁸⁶

In Bakhtin’s case the ‘ritualised form of discourse’ consists of the text in the second paragraph of Section X (*Concluding Remarks*) of ФВХр «Здесь же, в конце нашей работы, мы только назовем и едва коснемся некоторых хронотопических ценностей разных степеней и объемов».⁸⁸⁷ The importance of the performative dimension grows because Bakhtin’s conclusion (as Wall astutely notes) rather than summing up the previous sections, introduces a totally new conception of the chronotope, “one that could, at the very best, be said to exist *in nuce*

⁸⁸⁴ For this paradigm shift, refer Wall 2001: 139.

⁸⁸⁵ Noted in Wall 2001.

⁸⁸⁶ Yurchak 2006: 24.

⁸⁸⁷ БАХТИН 2012 [Фехр]: 489; “As we draw our essay to a close we will *simply list*, and *merely touch upon*, certain other chronotopic values having different degree and scope” (Bakhtin [*Dialogic*] 1981: 243, emphasis not in original, but added to translation).

in all the various other texts ... that he had written much, much earlier ...".⁸⁸⁸ This 'new conception' is not confined to literature, deriving from a reflexive 'meta-theoretical' view of the chronotope by Bakhtin himself. It thus signals a change in the constative dimension, opening up a new meaning (which Wall identifies as the "chronotope of the author-creator").⁸⁸⁹ This situation also reflects the element of reciprocity that can be found in a typical performative utterance, in which the world fits the words as well as the converse.⁸⁹⁰

One view of this performative shift is that the breach is one of commitment (the undertaking was breached, whatever Bakhtin's intention). However, in view of Bakhtin's record, it appears far more likely to be a more conscious breach (where Bakhtin had no intention of honouring the undertaking). This leads to an ambiguous and confusing series of utterances that, looking both backwards and forwards, manifest themselves performatively. The Janus-like nature of these utterances parallel the directionality of «слово с оглядкой» and «слово с лазейкой» respectively. Bakhtin's method of employing this performative shift is also closely aligned to Austin's mode of argument as described by Fish using the Derridean term "writing 'under erasure' which simultaneously uses and calls into question a vocabulary and a set of concepts".⁸⁹¹ This particular example of performativity is not only tied back to the expressive nature of the

⁸⁸⁸ Wall 2001: 140.

⁸⁸⁹ Wall 2001: 141.

⁸⁹⁰ "[while] the words of a performative do in some sense 'fit' the world, conforming to the conventions that govern their success, they also constitute it, so that by their very utterance the world is also made to fit the words". (Hall 2000 'Performativity': 185).

⁸⁹¹ Fish 1982: 717

utterance, but it also looks forward to the referentiality of deixis. In both contexts the ‘performance’ represents a concrete example of a deliberate strategy.

* * *

There exists a series of terms of increasing specificity that encapsulate and denote the area of referentiality in language: ‘indexicality’ and ‘deixis’.⁸⁹² According to the OED, the concept of indexicality is not encountered in its semiotic-cum-linguistic sense before an entry using the word ‘indexical’ in Charles Sanders Peirce’s *Collected Papers*⁸⁹³ (dated approximately 1914).⁸⁹⁴ In a linguistic context, Matthews defines it as a “[t]erm in philosophy for an expression whose extension is relative to a specific context, in which a specific person speaks to a specific other or others, in a specific place, and so on. ...”.⁸⁹⁵ Thus *I* and *you*, and *here* and *now* are all words with an indexical aspect, because their content is entirely dependent on their context. Many academics

⁸⁹² Another approach to referentiality in language is that of Jespersen and Jakobson with their use of the term ‘shifters’. These can be defined as “indexical symbols in language—grammatical units with a deictic character (such as personal pronouns), which can be decoded only by reference to the specific situational context of particular messages: time, place, addresser and addressee” (Chandler and Munday 2014 *Dictionary of Media and Communication: ‘shifters’*). Jespersen raised this issue of contextual parts of speech (such as personal pronouns) named ‘shifters’ as one that provided children with problems, largely due to the difficulties they encountered in expressing their subjectivity (Jespersen 1922 *Language: Chapter VI, §7, 123*). Jakobson formalised this as a code/message relationship where, drawing on Peirce’s classification of signs, he puts them in a class of ‘indexical symbols’. These ‘shifters’ have symbolic qualities, in that these signs represent their objects by “being associated with the latter ‘by a conventional rule’ (Jakobson 1984 *Russian and Slavic Grammar: 43*). These signs also have indexical qualities in that “the sign I cannot represent its object without ‘being in existential relation’ with this object” (Jakobson 1984 *Russian and Slavic Grammar: 43*). In a somewhat ambiguous end to Chapter 5’s first section (“Shifters and other duplex structures”), Jakobson notes “In language and in the use of language, duplicity plays a cardinal role” (Jakobson 1984 *Russian and Slavic Grammar: 44*), a comment that reaffirms the place of *metis* in language.

⁸⁹³ Peirce, C. S. 1931-1958 *Collected Papers*.

⁸⁹⁴ OED online ‘indexical’ [retrieved 3-Jul-2015]. For an expanded definition of the word in its semiotic context, see Chandler and Munday 2014 *Dictionary of Media and Communication: ‘indexical’*.

⁸⁹⁵ Matthews 2014 *The Concise Oxford Dictionary of Linguistics: ‘indexical’*.

follow David Kaplan in taking an approach to indexicality from the perspective of analytical philosophy⁸⁹⁶ but linguists are more likely to use the word ‘deixis’ for the “phenomenon of lexical items or grammatical constructions ‘pointing’ to extra-linguistic circumstances such as time and place in relation to an utterance, or the features of the language collectively that do this”.⁸⁹⁷

A more general review of deixis characterises it as those “[f]eatures of language that refer to personal, locational, or temporal characteristics of the situation in which an utterance occurs and whose meaning is therefore relative to the situation, such as *this/that, here/there, now/then, I/you. ...* deictic *adj. n.* (Of or relating to) a verbal expression exhibiting deixis. [From Greek *deiknynai* to show]”.⁸⁹⁸ In addition, a number of specific types of deixis have been identified, and differentiated according to the contexts in which they appear.⁸⁹⁹

John Frow’s stimulating chapter on voice and deixis⁹⁰⁰ (which covers *inter alia* the contributions of Émile Benveniste and Charles Fillmore to this nexus of referentiality) strongly supports the link between deixis and issues of identity. The theory of the French linguist Émile

⁸⁹⁶ Braun 2015 *SEP*: ‘Indexicals’.

⁸⁹⁷ Aarts 2014 *Oxford Dictionary of English Grammar*: ‘deixis’.

⁸⁹⁸ Colman 2015 *Dictionary of Psychology*: ‘deixis’. Even more detailed coverage can be found in McArthur 2013 *Concise Oxford Companion to the English Language* under ‘DEIXIS’.

⁸⁹⁹ Matthews differentiates specifies that ‘discourse’ or ‘textual’ deixis (Matthews 2014 *The Concise Oxford Dictionary of Linguistics* ‘discourse deixis’, ‘textual deixis’) includes “all forms of anaphora and cataphora in discourse”. ‘Social’ deixis describes the “use of forms which reflect the social status of a speaker in relation either to an addressee or to someone else referred to” (Matthews 2014 ‘social deixis’). ‘Person’ deixis makes reference to “the participants engaged in an act of speech” (Matthews 2014 ‘person deixis’). ‘Temporal’ deixis is “a mode of deictic reference to time” (Matthews 2014 ‘temporal deixis’), exemplified by words such as ‘yesterday’ and the use of tenses. To these, Charles Fillmore adds ‘place’ deixis (Fillmore 1997 *Lectures on Deixis*: 61). Needless to say both time and place deixis are relevant to the chronotopic aspects of identity that permeate Bakhtin’s work.

⁹⁰⁰ Frow 2014 [*Character and Person*]: Chapter 5 ‘Voice’.

Benveniste provides important parallels to other aspects of Bakhtin's theory of identity, specifically those associated with the Self-Other dyad. In the first of his four essays discussing deixis, 'Relationships of Person in the Verb',⁹⁰¹ Benveniste starts by establishing the three persons of verbal inflection, "the 'figurations' under which the verbal notion is realized".⁹⁰² He proceeds to establish that the category of person is a "fundamental and necessary notion of the verb", but that these persons are differentiated by opposition, bringing the reader's attention to the distinction drawn by the Arab grammarians between 'the one who speaks', 'the one who is addressed', and 'the one who is absent' (first, second and third persons, respectively).⁹⁰³ At this juncture it is worth mentioning that this model corresponds very closely to Bakhtin's categories of автор, адресат, над адресат ('author' [of the utterance], 'addressee', and 'superaddressee', respectively).⁹⁰⁴

By its definition, the third person is seen to be outside the *I-you* dyad and thus qualitatively different from the first two persons insofar as "the 'third person' is not a 'person'; it is really the verbal form whose function is to express the *non-person*".⁹⁰⁵ Two specific characteristics separate this dyad from the third (non-) person: firstly their complementary 'oneness', and secondly their reversibility. Neither of these characteristics applies to 'he' or 'she'.⁹⁰⁶ Benveniste thus specifies *I* as

⁹⁰¹ Originally published in 1946, but included in his collection *Problems of General Linguistics: 195-204*.

⁹⁰² Benveniste 1971 [*Problems of General Linguistics*]: 195.

⁹⁰³ Benveniste 1971 [*Problems of General Linguistics*]: 197.

⁹⁰⁴ Бахтин 1997 [Зам1961]: 337-338, 361, 658.

⁹⁰⁵ Benveniste 1971 [*Problems of General Linguistics*]: 198 [author's emphasis].

⁹⁰⁶ Benveniste 1971 [*Problems of General Linguistics*]: 199.

the “subjective person”, *you* as the “non-subjective person” and *he* or *she* as the “non-person form”.⁹⁰⁷

Benveniste amplifies this discussion of verb forms in a subsequent essay (‘The Nature of Pronouns’)⁹⁰⁸ by an analysis of the roles of personal pronouns. His first important distinction is between those pronouns that typify ‘instances of discourse’, i.e. “the discrete and always unique acts by which the language is actualized in speech by a speaker”⁹⁰⁹ and those which are merely syntactical. On the basis of the earlier essay, the pronoun *he* is discarded as a non-person, leaving *I* and *you* as the personal pronouns to be considered. Benveniste makes the point that *I* is unique by virtue of the fact that it performs two functions: “the instance of *I* as referent and the instance of discourse containing *I* as the referee”.⁹¹⁰ He thus arrives at a definition of *I* as “the individual who utters the present instance of discourse containing the linguistic instance *I*” and, by adding the concept of ‘address’, he derives a symmetrical definition of *you* as the “individual; spoken to in the present instance of discourse containing the linguistic instance *you*”.⁹¹¹ In this manner Benveniste continues to parallel Bakhtin in two ways: firstly, by confining his consideration to an I-You (Self-Other) relationship, and secondly by making this relationship central to discourse. Benveniste draws from this a feature of the dyad which he describes as “the identification of the object by an

⁹⁰⁷ Benveniste 1971 [*Problems of General Linguistics*]; 201.

⁹⁰⁸ Originally published in 1956, but included in his collection *Problems of General Linguistics*: 217-222.

⁹⁰⁹ Benveniste 1971 [*Problems of General Linguistics*]; 217.

⁹¹⁰ Benveniste 1971 [*Problems of General Linguistics*]; 218 [author’s emphasis].

⁹¹¹ Both references in Benveniste 1971 [*Problems of General Linguistics*]; 218 [author’s emphasis].

indicator of ostension⁹¹² concomitant with the instance containing the indicator of person”.⁹¹³ He comments that the uniqueness and particularity of the reference is due to the fact that the deixis and the instance of discourse are simultaneous. These characteristics are extensible from terms relating to the person to other terms that have connections with identity such as spatial (*here*) and temporal (*now*) descriptors,⁹¹⁴ all of which relate “the indicator (of person, time, place object shown, etc.) [to] the *present* instance of discourse”.⁹¹⁵ Like performatives, they are not truth-conditional; although, unlike performatives they cannot be misused.⁹¹⁶

The third of Benveniste’s essays that presents itself as relevant for any discussion of the relationship between identity and deixis is ‘Subjectivity in Language’.⁹¹⁷ This piece commences by a consideration of the notion of ‘language *qua* instrument’, about which Benveniste comments: “All the characteristics of language, its immaterial nature, its symbolic functioning, its articulated arrangement, the fact that it has content, are in themselves enough to render suspect this comparison of language to an instrument, which tends to dissociate the property of language from man”.⁹¹⁸ In short, Benveniste asserts that it is solely by language that humans are able to form the

⁹¹² *OED online* ‘ostension’: “= *ostensive definition* *n.* explanation of the signification of a term by direct demonstration or by indication of an object to which it applies” [Retrieved 6-Jul-2015].

⁹¹³ Benveniste 1971 [*Problems of General Linguistics*]: 219.

⁹¹⁴ This extension thus makes the concept of deixis central not only to language but also to Bakhtin’s theory of the chronotope.

⁹¹⁵ Benveniste 1971 [*Problems of General Linguistics*]: 219.

⁹¹⁶ “Since they lack material reference they cannot be misused; since they do not assert anything, they are not subject to the condition of truth and escape all denial” (Benveniste 1971 [*Problems of General Linguistics*]: 220)

⁹¹⁷ Originally published in 1958, but included in his collection *Problems of General Linguistics*: 223-230.

⁹¹⁸ Benveniste 1971 [*Problems of General Linguistics*]: 224.

concept of 'ego' and thus embody 'subjectivity': i.e. the "capacity of the speaker to posit himself as 'subject' ... defined ... as the psychic unity that transcends the totality of the actual experiences it assembles and that makes the permanence of the consciousness".⁹¹⁹ In this essay Benveniste also emphasises the complementary relationship of *I* and *you*, paralleling Bakhtin's «я-для-себя» and «я-для-другого».⁹²⁰ These personal pronouns refer to neither a concept nor an individual, thus distinguishing them "from all other designations a language articulates" and, in particular, the speaker's designation of him- or her-self as I, which "permits each speaker to appropriate to himself an entire language", thus making it "literally true that *the basis of subjectivity is in the exercise of language*".⁹²¹ This formulation complements and amplifies Bakhtin's treatment of *parole*, which from both his and Benveniste's perspectives constitutes the subjective exercise of language. Benveniste also makes the point that the human temporality necessarily implicit in subjectivity additionally supports the latter as being "inherent in the very using of language".⁹²² From this platform, he revisits the difference between the first and third persons by contrasting the meaning and consequences of verbs of action, where their first person form is *performative* (i.e. "the utterance is identified with the act itself"),⁹²³ whereas the third person form is merely *informative*.

⁹¹⁹ Benveniste 1971 [*Problems of General Linguistics*]: 224.

⁹²⁰ Benveniste observes: "Consciousness of self is only possible if it is experienced by contrast. I use I only when I am speaking to someone who will be a you in my address" (Benveniste 1971 [*Problems of General Linguistics*]: 224) and "... neither of the terms ['ego' and 'you'] can be conceived of without the other; they are complementary, although according to an 'interior/exterior' opposition, and, at the same time they are reversible" (Benveniste 1971 [*Problems of General Linguistics*]: 225).

⁹²¹ Benveniste 1971 [*Problems of General Linguistics*]: 226 [emphasis added].

⁹²² Benveniste 1971 [*Problems of General Linguistics*]: 227.

⁹²³ Benveniste 1971 [*Problems of General Linguistics*]: 229.

The simultaneity of the performance of the act ‘I swear’ “by the instance of the utterance of its ‘name’ (which is ‘swear’)” and the establishment of the subject “by the instance of its indicator (which is ‘I’)”⁹²⁴ establishes the indissoluble link between subjectivity and performativity *via* deixis. All the facets of this discussion harmonize with Bakhtin’s approach to language which, although different to that of Benveniste, is consistent with it.

Benveniste’s essay which connects performativity with subjectivity and deixis most firmly is that entitled ‘Analytical Philosophy and Language’.⁹²⁵ This takes up the thread of argument outlined in his earlier essays, but fully engages with Austin’s distinction between performative and constative utterances, of which Benveniste was unaware when writing the previously cited articles. After coming up against the same difficulties in the precise definition of performative utterances that Austin and his successors had encountered, Benveniste nonetheless has some illuminating comments on the nature and operation of performatives. The first comment is that “a performative utterance has no reality except as it is authenticated as an *act*”.⁹²⁶ As an act, it is therefore necessarily *unique*, unable to be produced “except in special circumstances, at one and only one time, at a definite date and place”.⁹²⁷ At this point in the argument Benveniste recognises a distinctive quality of *self-referentiality*, where “[t]he act is thus identical with the utterance of the

⁹²⁴ Benveniste 1971 [*Problems of General Linguistics*]: 230.

⁹²⁵ Originally published in 1963, but included in his collection *Problems of General Linguistics*: 231-238.

⁹²⁶ Benveniste 1971 [*Problems of General Linguistics*]: 236.

⁹²⁷ Benveniste 1971 [*Problems of General Linguistics*]: 236.

act. The signified is identical to the referent”.⁹²⁸ But most importantly the performative utterance must name both performer and spoken performance and is only performative “in that it *denominates* the act performed because Ego pronounces a formula containing a verb in the first person of the present ...”.⁹²⁹ The uniqueness, the self-referentiality, and the naming of performer and performance all constitute different aspects of Bakhtin’s theory of the utterance. As a consequence, the nexus of identity, reference and performativity created by Benveniste provides a useful gloss on Bakhtin’s theory of language.

Fillmore, in a series of lectures on deixis that post-dated Benveniste’s work, covered spatial and temporal deixis.⁹³⁰ Despite his initial focus on the spatio-temporal nature of identity, a subsequent lecture that embraces ‘discourse’, ‘social’ and ‘person’ deixis has more relevance to the consideration of the notions of Self and Other that is so central to this dissertation. As a basis for this discussion, he identifies in an earlier lecture, three ‘person-deictic’ categories: the *speaker*, the *addressee*, and the *audience* (“the sender of the message ... the message’s intended recipient ... [and] a person who may be considered part of the conversational group but who is not a member of the speaker/addressee pair”,⁹³¹ respectively). Like Benveniste’s observation, this echoes Bakhtin’s categories ‘author’, ‘addressee’ and ‘superaddressee’. Along with works in the domain of deixis, significant parts of Bakhtin’s oeuvre can thus be said to be located “at the interface of pragmatics

⁹²⁸ Benveniste 1971 [*Problems of General Linguistics*]: 236.

⁹²⁹ Benveniste 1971 [*Problems of General Linguistics*]: 237.

⁹³⁰ Fillmore 1997 [*Lectures on Deixis*]: 27-44, 45-58, 59-75.

⁹³¹ Fillmore 1997 [*Lectures on Deixis*]: 62.

and semantics”.⁹³² The centrality of the notions of *Self* and *Other*, *I* and *You* to the works of Bakhtin necessitate a detailed consideration of the deictic facets of his work.⁹³³

Because it involves the analysis of temporal positioning within the discourse, the most relevant aspect of ‘discourse deixis’ is that it is intimately concerned with forward- and backward-pointing demonstratives such as ‘this’ and ‘that’, where the former anticipates a reference and the latter refers back to an earlier point in the discourse. These anaphoric and cataphoric pointers are intimately connected with such Bakhtinian constructs as «слово с оглядкой» and «слово с лазейкой», which were discussed in Chapter Three. Fillmore uses ‘discourse analysis’ to connect discourse deixis to ‘social deixis’, which he defines as “the study of that aspect of sentences which reflect or establish or are determined by certain realities of the social situation in which the speech act occurs”.⁹³⁴ Examples include “the various devices that a language provides for a speaker to be able to establish and maintain a deictic anchoring with a given addressee”,⁹³⁵ such as person-marking, or social differentiation by form of address. The instances that Fillmore supplies support his contention that social deixis embraces aspects of person deixis, as well as the analysis of conversations and speech acts. Thus, yet another deictic concept can be firmly linked to a

⁹³² Lenz 2003 [*Deictic conceptualisation*]: vii.

⁹³³ One contributor to these considerations is Bühler, whose concept of the origo — “the ego-centric deictic zero point” (Lenz 2003 *Deictic conceptualisation*: viii; for more detail, see Bühler 2011 *Theory of Language*.) — has a lot in common with Bakhtin’s characterisation of the point of view of the utterance as ‘ideological’. “There can be no such thing as an absolutely neutral utterance” — «... абсолютно нейтральное высказывание невозможно» (Bakhtin 1986 [*Speech*]: 84; Бахтин 1997 [*ПРЖ*]: 188).

⁹³⁴ Fillmore 1997 [*Lectures on Deixis*]: 111-112.

⁹³⁵ Fillmore 1997 [*Lectures on Deixis*]: 112.

Bakhtinian notion, in this case the notion of heteroglossia, where social realities are reflected in the various strands of speech.

All of these thinkers explore different facets of the relationship between deixis and identity that bear on Bakhtin's concepts of «я-для-себя» ('I-for-myself'), «я-для-другого» ('I-for-the-other'), and «другой-для-меня» ('the-other-for-me'). The emphasis on the contextuality that is a signature of indexicality/deixis is a thread that runs through Bakhtin's work from his emphasis on the 'concrete' to his stress on historicism and temporal succession. As Bauman observes: "Bakhtin's abiding concern was with dimensions and dynamics of speech indexicality — ways that the now-said reaches back to and somehow incorporates or resonates with the already-said and reaches ahead to, anticipates, and somehow incorporates the to-be-said".⁹³⁶ And the position of self as speaker that has been analysed deictically necessarily involves the domain of performative utterances.

* * *

This chapter has established a number of theoretical frameworks that, whilst not emanating from Bakhtin's oeuvre, are nonetheless demonstrably congenial to his analysis of linguistic phenomena. In so doing, it has shown that his work constitutes a substantial resource for the philosophy of language, particularly where considerations of language and identity intersect. In addition to the structural concepts covered in Chapters Three and Four — parody,

⁹³⁶ Bauman 2005: 145.

interdiscursivity, heteroglossia, the utterance, language-games, performativity and deixis — other niche concepts such as spontaneous utterances,⁹³⁷ emergent grammar,⁹³⁸ and the ritual nature of performativity⁹³⁹ are all supported by the analyses contained in Bakhtin’s texts. In this way, the conceptual skeleton is clothed with the musculature that provides a sinewed dynamism to Bakhtin’s theory of communication.

The cumulative effect of all of the frameworks discussed inexorably points to the conclusion that one of Bakhtin’s main concerns was that of dissimulation or imposture, or as Nietzsche expressed it ‘slyness’ that “belongs to the essence in the elevation of the human being”.⁹⁴⁰ Constructed on the basis of family resemblance, both language-games and performativity constitute interdependent activities within a form of life. These activities are both ritualistic and involved in the creation of identity, both of which characteristics contribute to Bakhtin’s notion of the utterance. Ritualised activity is a necessary ingredient in the ‘complexly organized chain’ of utterances that populate the landscape of speech and text (referred to in Chapter Three). And the creation of identity is a necessary condition for Bakhtin’s notion of ‘addressivity’. These ritualized activities enable both prospection and retrospection, which are necessary ingredients for Bakhtin’s formulation of his theory of the utterance.

⁹³⁷ Moyal-Sharrock 2000, Wittgenstein 2009.

⁹³⁸ Hopper 2014.

⁹³⁹ Pennycook 2004.

⁹⁴⁰ KSA XII 550, cited in Behler 1998: 17.

This theory provides a firm basis for the mechanics involved in Bakhtin's notion of heteroglossia, the craft that drives the double-voicedness that is manifested in parody, satire, irony and ultimately in dissimulation and imposture. All of these tropes have been generally contextualised and then subsequently analysed in a Bakhtinian context as a support for the detailed examination of «слово с оглядкой» and «слово с лазейкой», two figures of speech that are particularly important *qua* figures, but also particularly as indications of evasiveness and dissimulation.

Looking at these frameworks individually, Wittgenstein's use of the word 'game' in *Philosophical Investigations*,⁹⁴¹ is entirely consistent with the way in which Bakhtin utilises the concept of 'play' throughout his work,⁹⁴² both sharing the same flexibility of use derived from the concept of family resemblance. By contrast with general application of the play-game framework, the relevance of *deixis* tends to be confined to specific links exemplified by the anaphoric and cataphoric links⁹⁴³ in the form of demonstratives that are described by Fillmore. These are reflected in my analysis of Bakhtin's treatment of «слово с оглядкой» and «слово с лазейкой». Examples include the parallels between Benveniste's observation of the 'figurations' of persons in the verb by the Arab grammarians (echoed by Fillmore) and Bakhtin's categories of автор,

⁹⁴¹ Wittgenstein 2009 [PI]: §66, 36^e.

⁹⁴² For example Бахтин 1997 [Дополнения и изменения к «Рабле»]: 117).

⁹⁴³ Colman 2015 also refers to the use of the terms *anaphora* and *cataphora* as "words that refer backwards or forwards in discourse", a reference that is supported by Matthews 2014, with his addition of *exophora* (words which refer to "situational knowledge on the part of the reader or listener") and, by implication, *endophora* (words which refer to "information in the surrounding text") [OED online 'exophora', 'endophora' (retrieved 8-Sep-2015 and 7-Sep-2015, respectively)].

адресат, and нададресат. In addition, the relationship between the personal pronouns ('I' and 'you') as outlined by Benveniste and the Bakhtinian formulation of identity as the complementarity of «я-для-себя» ('I-for-myself'), «я-для-другого» ('I-for-the-other'), and «другой-для-меня» ('the-other-for-me') provides an important parallel.

The slipperiness of *performativity* as a concept should not preclude the analysis of its use in 'showing' rather than 'describing', its consequent implications for binary truth values, and its employment in the formation of identity by the interoperation of language and world. These three areas are all well supported in Bakhtin's *Collected Works*. Bakhtin's exhaustive work on the *utterance* in СВР and especially in ПРЖ stands largely on its own. However, it should be noted that it harmonises well with any exploration of Wittgenstein's later work. Likewise, his work on *heteroglossia* with its outcomes of contrast and contestation is completely original. This can best be seen when Bakhtin develops his stratified view of heteroglossia into a double-voiced model, with its concomitant dynamism. Parody seems to form the basis from which the other tropes — satire and irony — flow. This view results in a process map of double-voiced discourse, which has as its outcome dissimulation and imposture that is a functional equivalent to the concept of "mask".

This dissimulation is crystallised in two figures of speech, the first of which is «слово с оглядкой». This contains a number of important theoretical ingredients. The contestation between the hero's word about himself and the other's word about him is the most fundamental

ingredient.⁹⁴⁴ The Other's word is treated as an alien repique which casts a 'shadow', leaving a 'trace'.⁹⁴⁵ The external manifestation of this trace is a parapraxis or slight hitch in speech, evidencing the internal polemic.⁹⁴⁶

The second figure of speech («слово с лазейкой») is a peer and complement of the first. The 'word with a loophole' is also aware of the alien word of the Other but rather than positioning the contestation with its symptoms in the present, «слово с лазейкой» defers the polemic by creating a point of bifurcation in the future, where the hero appropriates the right to decide the contest in his favour by utilising the ambiguity of the utterance. In this way it is an overt challenge to the Other. The alien word of the Other is thus subjugated, no matter how the utterance is construed.⁹⁴⁷

In terms of linguistic theory, I consider these two figures of speech to be the apogee of Bakhtin's creative analysis of language. They encapsulate a significant number of the ambivalent aspects of the human condition, with its capacity to rework the past to reflect the future. It is as if the superposition of the thought experiment of Schrödinger's cat has somehow been transported from quantum mechanics to a linguistic application, thus enabling a number of states of meaning to co-exist. These meanings are manipulated by the speaker so that any probable outcome can be justified by his or her words.

⁹⁴⁴ Бахтин 2000 [ЛТД]: 105.

⁹⁴⁵ Бахтин 2000 [ЛТД]: 106.

⁹⁴⁶ Бахтин 2000 [ЛТД]: 104-106.

⁹⁴⁷ Бахтин 2000 [ЛТД]: 133.

But even more important for this dissertation than their general significance is the import that these figures of speech have for Bakhtin's conscious strategy of self-fashioning and self-expression. Both these figures of speech are templates for Bakhtin's life and work. And their particular significance can only be attributed to the cunning intelligence behind their formulation and integration into a rhetorical strategy — the cunning intelligence of Mikhail Mikhailovich Bakhtin.

CONCLUSION

In the preceding chapters we have seen three perspectives which bear upon the topic of this dissertation and its research question. All three viewpoints — problematic issues within the narrative of Bakhtin’s life story as he wished it to be perceived; his philosophy of identity as it evolved in a complex and discontinuous mode; and his theory of language which was exemplified in many of the utterances he himself made — contribute to supporting the thesis of this dissertation: that Bakhtin consciously employed a rhetorical strategy based on dissimulation, concealment, and misdirection in order to protect his life and enhance the longevity, indeed survival, of his work. Not only did Bakhtin utilise this strategy, but concurrently he formulated its theoretical underpinnings, constructed the concepts that comprised this theory, and analysed them.

This rhetorical strategy was justified tactically in that it kept Bakhtin alive and eventually resulted in the rehabilitation of his reputation. But, by consciously managing the perceptions of his academic contemporaries (and through them, his scholarly successors), this strategy extended far beyond his lifetime and left a legacy of complex textual and biographical issues for subsequent scholars to unravel.

One of the most compelling ways in which the presence of *metis* can be revealed in Bakhtin’s approach to his life and work is by the adoption of a two-stage process. The first stage involves

reviewing the Classical descriptive terms⁹⁴⁸ of *metis*-related qualities (such as *poikilos*⁹⁴⁹ and *aiolos*⁹⁵⁰) that occur in texts written in the period between 8th century BCE ('Homer') and 2nd century CE (Oppian). The second stage involves establishing the relevance of these descriptors to Bakhtin's lived experience, accompanied by their application, firstly to the theories of pragmatics covered by Bakhtin's written work, and secondly, to the rhetorical strategies embodied in his oeuvre. Evidence of what the Greeks termed either 'cunning' or 'practical' intelligence (*metis*⁹⁵¹ and *sunesis*⁹⁵² respectively) appears in these aspects of his work.

A large number of Greek terms are mentioned in Detienne and Vernant's *Cunning Intelligence in Greek Culture and Society*⁹⁵³ in the context of the umbrella terms of *metis* and *sunesis*. I have taken a representative selection of these terms and clustered members of this set around four semantic nodes: a general subset covering 'cunning', a subset covering 'planning', and two linked subsets covering 'disguise' and 'escape'. These concentrations are derived from lemma-based lexical connections in Greek, and semantic links in English. Examples of the first type are compounds

⁹⁴⁸ Often labelled 'descriptors' ("A word or phrase used to describe something or someone; a descriptive term" [OED online, retrieved 15-Jun-2016]).

⁹⁴⁹ ποικίλος (*poikilos*) – "wrought in various colours; changeful, diversified, manifold; subtle, artful, wily" [LSJ Online, retrieved 9-Apr-2014].

⁹⁵⁰ Detienne & Vernant 1978: 18; αἰόλος (*aiolos*) – "quick-moving, nimble; shifty, slippery" [LSJ Online, retrieved 9-Apr-2014].

⁹⁵¹ μῆτις (*metis*) – "wisdom, skill, craft" (including craft in the sense of *wiles* of a fox) [LSJ Online, retrieved 14-Apr-2014].

⁹⁵² σύνεσις (*sunesis*) – "faculty of quick comprehension, mother-wit, sagacity" [LSJ Online, retrieved 14-Oct-2015].

⁹⁵³ Detienne and Vernant, 1978

incorporating the element *metis*,⁹⁵⁴ and of the second type, semantic nets based on English meanings.⁹⁵⁵

There is a commonality in all these descriptors which can be grasped by observing the instances and making inferences, rather than by applying a set of rules. These instances of *metis* have the same characteristics as family resemblances, ranging from the core instances near the trunk of the conceptual family tree to those peripheral, less obvious instances in the remote branches of the concept of cunning intelligence. This ‘complicated network of similarities’⁹⁵⁶ parallels Wittgenstein’s description of the principle of family resemblance, succinctly encapsulated in Section 67 of *Philosophical Investigations*⁹⁵⁷ and this concept represents the basis for his notion of *Sprachspiele*. In regard to the general qualities of *metis*, one such area that is well supported by family resemblance is the way in which these descriptors cluster together into constellations representing nodes of significance and meaning. Applied in this argument, these descriptors relate to *metis* or ‘cunning intelligence’ and are used to illuminate that particular facet of Bakhtin’s thought under consideration at the time.

⁹⁵⁴ For example, the following terms are referenced in Detienne and Vernant, 1978: 23, n3, 35, 46, 58, 64 (ἀγκυλομήτης (*agkulometis*) – “crooked of counsel, [used of] Prometheus”); 159 (δολομήτης (*dolometis*) – “crafty of counsel, wily”); 18 (ποικιλομήτης (*poikilometis*) – “full of various wiles, epithet of Odysseus”) [all *LSJ Online*, retrieved 19-Oct-2015]. Related terms include αἰμυλομήτης (*aimulometis*) – “of winning wiles” and αἰσιομήτης (*aisiometis*) – “of right counsel” [both *LSJ Online*, retrieved 19-Oct-2015].

⁹⁵⁵ An example of a simple semantic net would be ‘glittering – eyes – confusion – deception’.

⁹⁵⁶ Wittgenstein 2009 [*PI*]: §66, 36^e.

⁹⁵⁷ Wittgenstein 2009 [*PI*]: §67, 36^e.

The concept of *metis* is shot through with the thematic group of cunning, deceit, and illusion. The Greek terms which Detienne and Vernant identify with this form of intelligence reflect this. They include *dolos*, meaning “any cunning contrivance for deceiving or catching; generally, any trick or stratagem, *in pl.*, wiles; *in the abstract*, craft, cunning, treachery”;⁹⁵⁸ and *apate*, meaning “trick, fraud, deceit; wiles; guile, treachery”.⁹⁵⁹ Both of these terms are characteristics of rogues, a role both familiar and attractive to Bakhtin.⁹⁶⁰

A specific thematic constellation of *metis* terms can be grouped under the rubric of ‘forethought’.⁹⁶¹ This includes the twin aspects of *foresight* and *opportunism*. As Detienne and Vernant note “the man of *metis* ... displays at the same time a greater grip of the present where nothing escapes him, more awareness of the future, several aspects of which he has already manipulated and richer experience accumulated from the past”.⁹⁶² This description is entirely appropriate to the Bakhtin that we see in the pages of the Duvakin interviews and the reminiscences of contemporaries — Bakhtin skilfully manipulates others’ perceptions in order to present his best face to both contemporaries and posterity. According to Detienne and Vernant, the essential element of foresight was the ability to devise a plan (*mechane*⁹⁶³ or *boule*⁹⁶⁴) to provide a

⁹⁵⁸ Liddell 1940: δόλος (*dolos*), emphasis added [LSJ Online, retrieved 7-Apr-2014].

⁹⁵⁹ Liddell 1940: ἀπάτη (*apate*) [LSJ Online, retrieved 4-Apr-2014].

⁹⁶⁰ Familiar, because Bakhtin devoted §VI of ΦΒΧρ to the Rogue the Jester and the Fool. And attractive, because he was reported as preferring the rogue to the agelast (refer Chapter One, page 79).

⁹⁶¹ Detienne & Vernant 1978: 44.

⁹⁶² Detienne & Vernant 1978: 14.

⁹⁶³ Referenced in Detienne & Vernant 1978: 38, 144 (μηχανή (*mechane*) – “any artificial means or contrivance for doing a thing” [LSJ Online, retrieved 5-Apr-2014]).

⁹⁶⁴ Referenced in Detienne & Vernant 1978: 61, 82 (βουλή (*boule*) – counsel, design [LSJ Online, retrieved 14-Oct-2015]).

way out of a situation (or *poros*⁹⁶⁵). Hence this group of *metis*-related terms stress prudence (*phronesis* or *phroneon*⁹⁶⁶) and being guarded (*pephulagmenos*⁹⁶⁷) in order to formulate and execute this plan. Bakhtin's plan must be inferred, for he was never explicit about his strategy, but his ill-health must have provided him with many hours of forced inaction in which to ponder the future.

One temporal aspect, in the form of *tuche*, for a number of Greek authors represents “the opportunity to succeed, the desired goal reached, success attained”.⁹⁶⁸ Detienne and Vernant pair *tuche* with *kairos*, the latter being characterised as the “Rapid Moment or Fleeting Opportunity”,⁹⁶⁹ “the propitious opportunity”,⁹⁷⁰ “the propitious moment”,⁹⁷¹ and “the moment seized”.⁹⁷² There seems little doubt that, in his writing, as in his life, Bakhtin was both a master strategist, as well as an adroit tactician who made the most of the opportunities that presented themselves. Evidence for Bakhtin's strategic sense can be seen in his careful and consistent self-positioning at the edges of various religious organisations, thus making his eventual arrest and conviction for membership problematic for the authorities. His tactical sense is borne out by the two prefaces to Tolstoy he

⁹⁶⁵ Detienne & Vernant 1978 38; πόρος (*poros*) denotes a “way or means of achieving, accomplishing, discovering” [LSJ Online, retrieved 6-Apr-2014].

⁹⁶⁶ Detienne and Vernant, 1978: 22, 231, 313; φρονέω – words based on this lemma cover a wide spectrum of meaning ranging from to “have understanding, be wise, prudent” through “to be in one's senses or right wits” to “[to] have wise thoughts, be cunningly minded” [LSJ Online, retrieved 20-Oct-2015].

⁹⁶⁷ Detienne and Vernant, 1978: 22; πεφύλαγμένως – “with due caution” [LSJ Online, retrieved 20-Oct-2015].

⁹⁶⁸ Detienne & Vernant 1978 223; generally corresponding to the Latin *fortuna*, thus: (τύχη (*tuche*) – “fortune, providence, fate ... chance”, whether “good fortune, success” or “ill fortune”, depending on the context [LSJ Online, retrieved 18-Jun-2016]).

⁹⁶⁹ Detienne & Vernant 1978 202-203.

⁹⁷⁰ Detienne & Vernant 1978 223.

⁹⁷¹ Detienne & Vernant 1978 224.

⁹⁷² Detienne & Vernant 1978 225. See also καιρός (*kairos*) – “exact or critical time, ... opportunity”.

agreed to write whilst under detention — both masterpieces of apparent conformity, although actually models of misdirection. He was, like Prometheus, “the one who reflects in advance”,⁹⁷³ and was thus well able to be described using the one of the verbs associated with *metis*, *phrazesthai*.⁹⁷⁴

It is instructive that, in discussing the characteristics of Zeus’s wives, these two French Classicists draw a contrast between two embodiments of prescience. One is the goddess Themis — Zeus’s second wife — who represents “an order conceived as already inaugurated and henceforth definitively fixed and stable. Her pronouncements have the force of assertoric or categorical propositions”.⁹⁷⁵ In contradistinction to Themis, the goddess Metis — the personification of the type of intelligence being considered in this dissertation — “relates to the future seen from the point of its uncertainties: her pronouncements are hypothetical or problematical statements”.⁹⁷⁶ This differentiation between facticity and probability is central to the distinction between syllogistic thought⁹⁷⁷ and *metis* in its aspect of practical intelligence.⁹⁷⁸ Bakhtin’s focus on the

⁹⁷³ Detienne & Vernant 1978 18.

⁹⁷⁴ Detienne & Vernant 1978 25; from the lemma φράζω (*phrazo*) – “think or muse upon, consider, ponder”; also with connotations of “watch, guard” [*LSJ Online*, retrieved 7-Apr-2014].

⁹⁷⁵ Detienne & Vernant 1978: 107.

⁹⁷⁶ Detienne & Vernant 1978: 108.

⁹⁷⁷ Bakhtin’s disbelief in, and impatience with, syllogistic thought led to an avoidance of typologies. One of the few examples can be found at Бахтин 2002 [ППД]: 222.

⁹⁷⁸ This differentiation also has its parallel in Austin’s distinction between constative and performative utterances with their emphases on truth and felicity respectively.

particular, concrete instance (rather than general, abstract principles)⁹⁷⁹ injects a relativity into his work that is entirely in accord with a probabilistic view of his milieu.

A number of roles that Bakhtin analyses in section VI of *Фвхр*⁹⁸⁰ have direct links with *metis*, which itself “operates through disguise. In order to dupe its victim, it assumes a form which masks, instead of revealing, its true being.”⁹⁸¹ One of the foci of this section of *Фвхр*, the Rogue is also an intrinsic part of the ‘novel of education’, whether as the driving force of one (or more) of many trials the protagonist has to undergo or, more fundamentally, as the hero of the picaresque novel, the antecedent of the *Bildungsroman*.⁹⁸² The Rogue (like the Clown and the Fool) also has an intimate connection with disguise and the mask: “the very being of these figures does not have a direct, but rather a metaphorical, significance”.⁹⁸³ The focus of *metis* on the exterior extends, in turn, to considerations of *change of shape*, instances of which abound in classical literature. The most commonly cited example is that of Proteus⁹⁸⁴ but the goddess Metis was herself a shape-shifter.⁹⁸⁵ In Bakhtin’s case, this image of a shape-shifter is evoked by his manipulation of his ‘file-self’, particularly in regard to his tertiary education.

⁹⁷⁹ Бакhtин 2012 [*Фвхр*]: especially 503 [*§X*] for the contrast.

⁹⁸⁰ Бакhtин 2012 [*Фвхр*]: 411-418 (*§VI*).

⁹⁸¹ Detienne & Vernant 1978: 21.

⁹⁸² Miles 1974.

⁹⁸³ Bakhtin 1981 [*Dialogic*]: 159.

⁹⁸⁴ Homer, 1995: 149 [*Odyssey Book IV*, lines 409 - 424].

⁹⁸⁵ Detienne & Vernant 1978: 142.

Closely allied to changes of shape is the capacity to *throw up a 'smoke-screen'* to enable escape. According to Detienne and Vernant, "...the ancient Greeks saw the cuttle-fish as the paradigm of an animal possessing *metis*."⁹⁸⁶ One of the main weapons of the cuttlefish was its ability to confuse its enemy with clouds of sepia ink that obscured the mollusc from its predators, making the water 'impassable', their opponents 'helpless', and themselves 'hard to discover'.⁹⁸⁷ This led Detienne and Vernant to conclude that only cuttlefish and octopuses could navigate through the clouds of ink and find a way out.⁹⁸⁸ In the end, Bakhtin's mythopoeia was so complex that it formed a cloud so dense that it was remarkable that, even as late in his life as the 1973 interviews with Duvakin, he navigated through this cloud with ease.

Another important aspect of *metis* is the *capacity to hide by imitating one's surroundings*, using the skills of *techné*⁹⁸⁹ and *mechane*.⁹⁹⁰ The octopus blends into its environment using these two skills, according to a number of Classical sources, enabling it seemingly to merge with the stone to which it clings.⁹⁹¹ Thus the illusion created by the octopus enables it to evade both competitors and predators.⁹⁹² Bakhtin consciously attempted to blend in with his environment when

⁹⁸⁶ Detienne & Vernant 1978: 159

⁹⁸⁷ All definitions of ἄπορος (*aporos*) [LSJ Online, retrieved 6-Apr-2014].

⁹⁸⁸ Detienne & Vernant 1978: 38.

⁹⁸⁹ τέχνη (*techné*) – "art, skill, cunning of hand" [LSJ Online, retrieved 5-Apr-2014].

⁹⁹⁰ μηχανή (*mechane*) – "any artificial means or contrivance for doing a thing" [LSJ Online, retrieved 5-Apr-2014].

⁹⁹¹ Detienne & Vernant 1978: 38, similarly 29.

⁹⁹² Detienne & Vernant 1978: 29.

constructing his educational *curricula vitae*. The most conspicuous attempt was his ‘Neo-Kantian’ resume based on that of Matvei Kagan.⁹⁹³

* * *

There are a number of aspects of the concept of *metis* which can be applied to separate facets of Bakhtin’s life. Firstly, the concept is certainly *polyvalent* in the sense that Detienne and Vernant use to apply to *metis* intelligence: multiple, many-coloured and shifting.⁹⁹⁴ These characteristics are mandatory for Bakhtin’s life and work — indeed survival — in “domains where there are no ready-made rules for success, no established methods, but where each new trial demands the invention of new ploys, the discovery of a way out ... that is hidden”.⁹⁹⁵

There is a Greek term drawn from the controlled vocabulary that Classical Greek sources used to depict *metis* in their epics: *poikilos*. This word has varied applications: to a material’s sheen, a weapon’s glint.⁹⁹⁶ It produces, according to Detienne and Vernant, a bewildering “effect of iridescence, shimmering, an interplay of reflections ... many-coloured”.⁹⁹⁷ In addition, it has implications related to identity, being so volatile that it is never the same as itself.⁹⁹⁸ This quality of volatility is reflected in Bakhtin’s opposition of «готовое» and «становящееся» in КРВ.⁹⁹⁹

⁹⁹³ Лисов & Трусова 1996: 164.

⁹⁹⁴ Detienne & Vernant 1978: 27.

⁹⁹⁵ Detienne & Vernant 1978: 21.

⁹⁹⁶ Detienne & Vernant 1978: 18.

⁹⁹⁷ It is also associated with fast movement (Detienne & Vernant 1978: 18).

⁹⁹⁸ Detienne & Vernant 1978: 19.

⁹⁹⁹ In the surrounding passage, Bakhtin contrasts the ‘emergent’ and the ‘ready-made’ in Goethe’s view of weather in the mountains and on the plains with his observation that Goethe has perceived ‘the emergent and the ready-

In turn, the term *poikilos* is closely related to the fast movement referred to by the term *aiolos*, an epithet often applied to the cunning displayed by Odysseus that enables him to quickly ‘turn his hand to anything (*panourgos*)’.¹⁰⁰⁰ This ‘interplay of reflections’ exemplifies Bakhtin’s reputation for thinking on his feet. Examples of this characteristic include his disputation with Bolsheviks in the 1920s, his deliberate change to the emphasis of Tolstoy’s texts when writing the prefaces in 1929, and his lectures in 1937 on “Lenin and Stalin on Party-Mindedness in Literature and Art” to the Evening University of Marxism-Leninism in Saransk, on the cusp of the Trials and his ‘big scrape’.

There are strong arguments for considering the way in which Bakhtin utilised, perhaps even exploited, his reputation for erudition in relation to the shape-shifting ability connected with *metis*, and noted in the previous section. In the context in which Bakhtin researched, thought and wrote, the shimmering mask of a reputation for unfathomable erudition would be an extremely useful tool for academic self-defence. In respect of the generic qualities of *metis* mentioned in the section above, one of Bakhtin’s smoke-screens consisted of a persistent refusal to commit to facts about his personal life, verging on myth-making. An example of this is his creation of the story about smoking away the manuscript of his major project on the «роман воспитания». The ability of blending into one’s surroundings is exemplified in another myth regarding Bakhtin’s tertiary education, which was effectively dispelled by an article by Pan’kov in *Dialog, Karnaval, Khronotop*.¹⁰⁰¹

made ... behind [what is] already presented, moreover all this [is seen] with exceptional clarity’ «За готовым он прозревает становящееся и готовящееся, причем все это с исключительной наглядностью» (Бахтин 2012 [КРВ]: 296).

¹⁰⁰⁰ This represents a subtle link with Bakhtin’s interest in Rabelais, through the latter’s character of Panurge.

¹⁰⁰¹ ПАНЬКОВ 1993.

In this instance, there is the consistent and purposeful use of a disguise to blend in with the environment, without being anchored to it.

* * *

As observed in the section on «для-другого» and «для-себя» in Chapter One, «я-для-другого» ('I-for-the-other') is a modality that Bakhtin manipulates consistently and precisely in his life story.¹⁰⁰² His instrumental approach to his own identity is closely paralleled by some of the best known Classical shape shifters associated with *metis*: Proteus, Nereus, Thetis and the goddess Metis herself.¹⁰⁰³ The importance of this transformative power to Bakhtin can be seen in his focus on metamorphosis in both Фвхр and КРВ, mentioned in Chapter Two.

Most of the characteristics discussed in connection with *metis* also apply to the mask, and vice versa. A mask provides the wearer with the capacity to imitate his or her surroundings.¹⁰⁰⁴ In the instance of the *Bacchae*, Dionysus is masked in a similar way to his acolytes. The simultaneous presence and absence of Dionysus is also evocative of the smoke-screen that provides the god with a *poros* or 'way out' of his earthly manifestation. Masks are also focused on exteriority, particularly

¹⁰⁰² The following sentence sums up identity's position as the fulcrum of *metis*: «Мое имя я получаю от других, и оно существует для других (самоименование — самозванство)» (Бахтин 1997 [Зам1961]: 344). Whilst Bakhtin 'receives his name' (i.e. identity) from others and specifies that naming (identifying) himself is an act of imposture, he does not rule this out ("I receive my name from others, and it exists for others (self-nomination is imposture)") (Bakhtin 1984b [PDP2 Appendix II]: 288).

¹⁰⁰³ Detienne & Vernant 1978: 20.

¹⁰⁰⁴ An instance of this imitation occurs in carnival, where the populace assumes masks in order to blend in with other, similarly masked people. Bakhtin writes about the de-identification of individuals using the mask of of Pulchinello «Маска Пульчинеллы часто в присутствии женщин позволяет себе непристойный жест» (Бахтин 2010 [ТФР]: 265).

involving a change of shape in the form of a disguise. And finally, masks are naturally polyvalent – they hide one value behind another.

The development of Bakhtin's constructs from his initial work on the definition of the 'I', through the concept of 'shell' (and 'kernel'), to the use of the term 'mask' has had one central preoccupation – identity. And when linked with the concept of *metis* by means of Classical philology, Bakhtin's preoccupation is a particular view of identity, rather than a general one.¹⁰⁰⁵ I am convinced that his focus is on the protection of the integrity of identity – specifically his own. This is not only validated by the ambiguities and lack of specificity and clean edges in his work, but is supported by what we know of his life. Bakhtin exemplified a particular kind of cunning in preserving himself and his work. It was the type of cunning that thrives on uncertainty and ambiguity; that is to say, *metis*.

This cunning is also associated with disguise, specifically that protean change of costume associated with the theatre. Circus and burlesque is not so far removed from the spirit of carnival, and the strong association in Bakhtin's work of travesty and parody locates this nexus of ideas firmly within his sphere of interest. The roles of Rogue (плут) and Jester (шут) both embody *metis*-like cunning: the former using a disguise in order to dupe his victim, the latter in order to both deliver and disguise a message at the same time. The Fool (дурак) lacks the purposefulness of the

¹⁰⁰⁵ In terms of protection, *metis* is closely associated with the aegis of Athena, which is emblazoned with masks (Detienne & Vernant 1978: 182).

other two roles, performing his function devoid of intention. He assumes his disguise naturally, using *metis* entirely unselfconsciously.

* * *

In Wittgenstein's work, the constructs of language-games (*Sprachspiele*)¹⁰⁰⁶ and its associated concept family resemblance¹⁰⁰⁷ illuminate the particularly ambiguous set of rules according to which both *metis*, and Bakhtin's style of argument, play. Wittgenstein sees the meaning of a word as its use in the language-game,¹⁰⁰⁸ however if a word is used outside its language game¹⁰⁰⁹ he deems that "language goes on holiday".¹⁰¹⁰ It is the contention of this dissertation that the language that Bakhtin uses (in his capacity as *metieta*)¹⁰¹¹ is both inside and outside its language-game, at work and on holiday, similar to Bakhtin's concept of *exotopy*¹⁰¹² (*внеаходимость*)¹⁰¹³ where understanding is displaced in order to enrich it.¹⁰¹⁴

Wittgenstein's notion of family resemblance can be applied to clusters of terms with *metis* characteristics. This notion involves a 'complicated network of similarities' that are bound together. The interconnection of these similarities is denoted by such *metis*-related terms as

¹⁰⁰⁶ Wittgenstein 2009 [PI]: §23, 14^e-15^e.

¹⁰⁰⁷ Wittgenstein 2009 [PI]: §§65-67, 35^e-37^e.

¹⁰⁰⁸ Wittgenstein 1990 [PG]: §29, 65-66.

¹⁰⁰⁹ Wittgenstein 2009 [PI]: §500, 147^e; Wittgenstein 1989 [OC]: §393, 50^e.

¹⁰¹⁰ Wittgenstein 2009 [PI]: §38, 22^e-23^e.

¹⁰¹¹ 'the Cunning One' Detienne & Vernant 1978: 68.

¹⁰¹² Sometimes translated literally as 'outside-locatedness'.

¹⁰¹³ References to *внеаходимость* are predominantly in Volume I of the Collected Works, with a scattering in Volumes V & VI.

¹⁰¹⁴ Бахтин 2002: 437; Bakhtin 1986 [Speech]: 7.

*plekein*¹⁰¹⁵ with its variants that involve twisting or weaving (including *sumplekein*¹⁰¹⁶) and *strephein*, meaning ‘to twist (together)’.¹⁰¹⁷ Wittgenstein even uses the image of threads to describe family resemblance: “... the strength of the thread resides not in the fact that some one fibre runs through its whole length, but in the overlapping of many fibres”.¹⁰¹⁸

An important by-product of this notion is a reinforcement of the commonalities of Bakhtin and Wittgenstein’s emphasis on the particular, although these similarities are expressed in different ways. Bakhtin stresses the interdependence of specific locatedness and meaning, when he writes: «Более того, всякое явление мы как-то осмысливаем, то есть включаем его не только в сферу временно-пространственного существования, но и в смысловую сферу».¹⁰¹⁹ From Wittgenstein’s perspective, this approach is clearly stated in his polemic against the overall philosophical tendency of a “craving for generality” with its consequent “contemptuous attitude towards the particular case”.¹⁰²⁰ Terms that support this concept of networks of family resemblance also apply to artistic works, each one of which functions as a “link in the chain of speech communion ... related to other work-utterances: both those to which it responds and those

¹⁰¹⁵ Detienne and Vernant, 1978: 41, 299, 302; πλοκή (*ploke*) – “twining, twisting ... being made into a web ... anything twisted or woven ... mesh” [*LSJ Online*, retrieved 15-Oct-2015].

¹⁰¹⁶ Detienne and Vernant, 1978: 41; συμπλοκή (*sumploke*) – “intertwining, complication, combination ... interweaving” [*LSJ Online*, retrieved 15-Oct-2015].

¹⁰¹⁷ Detienne and Vernant, 1978: 41, 42; στρέφω (*strephe*) – “to twist, plait” [*LSJ Online*, retrieved 15-Oct-2015].

¹⁰¹⁸ Wittgenstein 2009 [PI]: §67, 36°.

¹⁰¹⁹ Бахтин 2012 [Фвхр, §X]: 503 (emphasis in original); “We somehow *manage* however to *endow* all phenomena with meaning, that is, we incorporate them not only into the sphere of spatial and temporal existence but also into a semantic sphere” (Bakhtin 1981 [*Dialogic*]: 257; emphasis added to translation).

¹⁰²⁰ Wittgenstein 2007 [B&B]: 17, 18 respectively.

that respond to it”.¹⁰²¹ Some *metis*-related terms can be associated with the utterance in terms of the competences required for an utterance: *techne*,¹⁰²² *agrupnos*,¹⁰²³ *deinotes*,¹⁰²⁴ and *poluplokos noema*.¹⁰²⁵ Another *metis*-related term I that have selected for consideration is *apeiron amphiblestron*¹⁰²⁶ (referring to an endless mesh) which accurately reflects the network of utterances that stretch across Great Time. Bakhtin’s discussion of Great Time appears in ‘On the polyphonicity of Dostoevsky’s novels’, commencing with the description: «Вообще у меня есть термин — большое время. Так вот, в большом времени ничто и никогда не утрачивает своего значения».¹⁰²⁷ In all these cases, there is a clear commonality of meaning that is both applicable to Bakhtin’s theory of language (as illuminated by Wittgenstein) and also immediately available to the reader. This clarity would almost certainly be compromised by complex, rule-based prescriptions about the nature of this constellation and the terms associated with it.

In addition, the fact that *metis* is a performative concept clearly complements the way in which Bakhtin theorizes and uses language. From the first page of their book, Detienne and

¹⁰²¹ Bakhtin 1986 [*Speech Genres*]: 76; «... звено в цепи речевого общения ... связано с другими произведениями-высказываниями — и с теми, на которые оно отвечает, и с теми, которые на него отвечают ...» (Бахтин 1997 [ПРЖ]: 178).

¹⁰²² For a definition, see note 989 above particularly in the sense of a ‘manner of achievement’.

¹⁰²³ Detienne and Vernant, 1978: 32; ἀγρυπνέω (*agrupneo*) – “to be watchful” [*LSJ Online*, retrieved 20-Oct-2015].

¹⁰²⁴ Detienne and Vernant, 1978: 33, 316-317; δεινότης (*deinotes*) – both senses apply: “cleverness, shrewdness” (of an orator) and in rhetorical usage “intensity, forcefulness” [*LSJ Online*, retrieved 19-Oct-2015].

¹⁰²⁵ Detienne and Vernant, 1978: 39; a combination of πολύπλοκος (*poluplokos*) and νόημα (*noema*): πολύπλοκος rendered as “tangled, complex”, with the additional meaning of “subtle, acute, tortuous” of persons and thoughts and νόημα meaning “understanding, mind” with an additional sense in rhetoric of “thought” as expressed in literary form [both terms *LSJ Online*, retrieved 5-Apr-2014].

¹⁰²⁶ Detienne and Vernant, 1978: 42; ἄπειρος (*apeiros*) – “endless” and ἀμφιβληστρούω (*amphiblestreno*) – “to catch with a net” [*LSJ Online*, retrieved 15-Oct-2015].

¹⁰²⁷ Бахтин 2002 [*О полифоничности романов Достоевского*]: 461 ff. See also Shepherd 2006 for a detailed analysis.

Vernant stress the action-oriented nature of *metis*, its operational nature,¹⁰²⁸ and its “practical effectiveness”.¹⁰²⁹ It is “one particular type of intelligence which ... is directly involved in the difficulties of practical life with all its risks, confronted with a world of hostile forces which are disturbing because they are always changing and ambiguous”.¹⁰³⁰ This is a description that can be applied to the domain of Ordinary Language philosophy where “[w]ords are also deeds”¹⁰³¹ and where the performative aspect of language results not in determinations of what is true, but rather of what is apposite or felicitous in the moment. The concept of *metis* can be applied to performativity in this capacity as ‘language as doing’. In these cases, *metis* terms often relate to infelicities of abuse or insincerity, where the performer is guilty of dishonouring the performative contract¹⁰³² and thus acts out the characteristic of *dolos* or cunning, in its sense of an ‘unfair manoeuvre’.¹⁰³³ As the *metieta* charioteer in the chariot race breaches the rules by stretching them, so Bakhtin uses misdirection to stretch the performative contract in the case of his 1961 letter to Kozhinov.

¹⁰²⁸ Detienne & Vernant 1978: 5.

¹⁰²⁹ Detienne & Vernant 1978: 11.

¹⁰³⁰ Detienne & Vernant 1978: 43.

¹⁰³¹ Wittgenstein 2009 [PI]: §546, 155^e.

¹⁰³² “a performative utterance may be ... ‘unhappy’ [if] it is issued insincerely. If I say ‘I promise to ...’ without in the least intending to carry out the promised action, perhaps even not believing that it is in my power to carry it out, the promise is hollow. It is made, certainly; but still, there is an ‘unhappiness’: I have abused the formula” (Austin 1963 ‘*Performative-constative*’: 23).

¹⁰³³ Refer to the context of Antilochus’s chariot race with Menelaus in *Iliad* XXIII (Detienne & Vernant 1978 18), where Antilochus gains an unfair advantage by breaching the spirit of the rules of the race. For an alternative view of Antilochus’s strategy, see Gagarin 1983.

One aspect of heteroglossia that links it with the notion of *metis* is the intentional polysemy of a significant proportion of heteroglossic utterances. Utterances of this type often involve tricks to turn a situation to the speaker's advantage (*kerdos*¹⁰³⁴) through crafty speech, generally by a rogue (*sophistes*¹⁰³⁵) or a rascal (*epiklopos*¹⁰³⁶). This aspect of *metis* which manifests itself in verbal tricks is particularly apparent in the role of the Rogue (плут).

The difference in emphasis between «слово с оглядкой» and «слово с лазейкой» is drawn into sharp relief by the *metis* descriptors that can be associated with them. «Слово с оглядкой» evokes terms that are associated with disguise, such as *poikilos*¹⁰³⁷ (shimmering, many-coloured), *tholos*¹⁰³⁸ (cloud), both of which are mentioned as effects of 'word with a backwards glance'.¹⁰³⁹ On

¹⁰³⁴ Detienne and Vernant, 1978: 144; κέρδος (*kerdos*) – “gain, profit ... some advantage” [*LSJ Online*, retrieved 7-Apr-2014].

¹⁰³⁵ Detienne and Vernant, 1978: 227-228; σοφιστής (*sophistes*) – “sophist (in bad sense), quibbler, cheat” [*LSJ Online*, retrieved 7-Apr-2014].

¹⁰³⁶ Detienne and Vernant, 1978: 58; ἐπίκλοπος (*epiklopos*) – “thievish, wily” [*LSJ Online*, retrieved 7-Apr-2014].

¹⁰³⁷ Detienne and Vernant, 1978: 18, 20, 27, 33, 35, 58; ποικίλος – “dappled; *metaph.*, changeful, diversified, manifold” [*LSJ Online*, retrieved 7-Apr-2014]. Note also the passage in *СвР* that focuses on refraction in regard to “[the word’s] *directionality toward the object*” (Bakhtin 1981: 277): “Если мы представим себе интенцию, т. е. направленность на предмет, такого слова в виде луча, то живая и неповторимая игра цветов и света в гранях построемого им образа объясняется преломлением луча-слова не в самом предмете (как игра образа-тропа в поэтической речи в узком смысле, в «отрешенном слове»), а его преломлением в той среде чужих слов, оценок и акцентов, через которую проходит луч, направляясь к предмету: окружающая предмет социальная атмосфера слова заставляет играть грани его образа” (Бахтин 2012 [*СвР*]: 31). The terms refraction and glimmering are also mentioned in Бахтин 2012 [*СвР*]: 51, 52.

¹⁰³⁸ Detienne and Vernant, 1978: 38; θολός (*tholos*) – “mud, dirt, esp. in water; ink of the cuttle-fish” [*LSJ Online*, retrieved 19-Oct-2015].

¹⁰³⁹ As mentioned in Chapter Three, Bakhtin notes the ‘gleaming’ or ‘shadowy’ effect of the ‘word with a strained backward glance’ (Бахтин 2000 [*ПТД*]: 100).

the other hand, «слово с лазейкой» is associated with forethought and caution, albeit often on the spur of the moment.¹⁰⁴⁰

From the point of view of ‘cunning intelligence’, Bakhtin’s ‘word with a loophole’ has two aspects, those of planning and escape. The planning aspect is exemplified in a group of words involving (but not limited to) forethought, caution, prudence, and being guarded. Other terms on the periphery of this group refer to reflection (*phrazesthai*), the possession of a power beyond ordinary logic (*thaumastiotaton*)¹⁰⁴¹ and the outcome of this power — conjecture (*tekmairesthai*).¹⁰⁴² The escape aspect can be shown in a set of words covering methods for seeking a way out, by specific actions such as doubling back like a fox (*epistrephein*),¹⁰⁴³ or just by being evasive (*olisthanein*).¹⁰⁴⁴

* * *

The implications of this research manifest themselves in a number of areas. The first area is the productiveness of applying Bakhtin’s own theories to both the corpus of his work and his lived experience. The second area is the demonstrable wholeness of Bakhtin’s thought. As a

¹⁰⁴⁰ Note the use of the word «выпады» in connection with both figures of speech with the connotation of an instinctive riposte (Бахтин 2000 [ПТД]: 98).

¹⁰⁴¹ Detienne and Vernant, 1978: 47; θαυμαστέος (*thaumasteos*) – “to be wondered at” [LSJ Online, retrieved 27-Feb-2016].

¹⁰⁴² Detienne and Vernant, 1978: 310-311, 314; τεκμαίρομαι (*tekmaïromai*) – “judge from signs and tokens, estimate ... form a judgement or conjecture” [LSJ Online, retrieved 19-Oct-2015].

¹⁰⁴³ Detienne and Vernant, 1978: 36; ἐπιστρέφω (*epistrephe*) – “turn about, turn round; of a wild boar, turn upon the hunter” [LSJ Online, retrieved 6-Apr-2014].

¹⁰⁴⁴ Detienne and Vernant, 1978: 35; ὀλισθηρός (*olistheros*) – “slippery, hard to catch and keep hold of” [LSJ Online, retrieved 20-Oct-2015].

counterpoint to that integrity is the relativity that inheres in this work, which occurs as a result of his approach to philosophical thought, which is individual, concrete, contextualised, and situated.

The outcome that results from turning Bakhtin's theoretical constructs back on his life and work is a result of his wholeness and self-consistency of thought. Empirical evidence gleaned from his texts, supported by interpretive strategies grounded in his theory, reveal Bakhtin as a person whose life and work mesh closely, if not seamlessly. Instances of this correspondence can be seen in the applicability of 'word with a backward glance' («слово с оглядкой») and 'word with a loophole' («слово с лазейкой») to utterances made by Bakhtin during his life. Other instances of double-voicedness can be observed throughout his written and published work (for example, his deceptions in the Introduction and Section X of *ФВХр*).

One of the most significant findings of this dissertation is the consistency of Bakhtin's thought and actions. This consistency is apparent despite the often fragmentary nature of both his writings and his life story. With regard to the latter, Bakhtin's consistent approach to self-reinvention is evident from the end of his university days (his assumption of the trajectory of his brother's tertiary education) through the twenties (his assumption of Matvei Kagan's educational *curriculum vitae*) to the post-war myths surrounding his manuscript of the «роман воспитания» project, ending with his interviews with Duvakin and their atmosphere of collusion. With regard to his writings, there is a remarkable level of consistency and infrangibility in his work on identity, although this is often disguised by changes in terminology. And although his theoretical work on linguistics does not completely cover all areas of what is now recognised as the domain of ordinary

language philosophy, this is attributable to his attraction to *parole* and the uniqueness of utterances that produce individual instances of discourse.

Dealing with the particular in preference to the general, as Bakhtin does, necessitates a degree of relativity. From his perspective, the concrete embodied individual must always be contextualised by being located in a milieu («окружение») or on the horizon («кругозор»). And in line with Einstein's theory of relativity referred to in the Introduction of *Фвхр*,¹⁰⁴⁵ every individual event (or act) is embedded in a frame of reference.¹⁰⁴⁶ Bakhtin's treatment of the particular is thus aligned with these mathematical constructs. From an entirely different perspective, Emily Schultz has noted “a striking affinity”¹⁰⁴⁷ between Bakhtin's work (especially ППД) and the metalinguistics of Benjamin Lee Whorf,¹⁰⁴⁸ both characterized by linguistic relativity. This relativity manifested itself in Whorf's researches by cognitive differences framed by the use of different languages,¹⁰⁴⁹ and in Bakhtin's theorizing by varying types of heteroglossia.

* * *

The use of *metis* as a metaphor for Bakhtin's rhetorical — and therefore interpretative — strategies constrained my approach in a number of ways. It necessitated an emphasis on the

¹⁰⁴⁵ Бахтин 2012 [*Фвхр*]: 341.

¹⁰⁴⁶ One of the implications of Einstein's Special Theory of Relativity that was assimilated by Bakhtin's construct of the chronotope was that simultaneity is relative. That is to say that in the chronotope, as in the space-time manifold defined by Minkowski space (Einstein & Minkowski 1920), events are relative to unique frames of reference.

¹⁰⁴⁷ Schultz 1990.

¹⁰⁴⁸ Whorf 1956.

¹⁰⁴⁹ Lucy 1997.

Classics as sources of inspiration for Bakhtin's work. It also forced the dissertation to concentrate on these sources as factors and influences in his life experience. In turn, this necessitated a reduction in the coverage of Bakhtin's medieval wellsprings as well as a commensurate diminution in the analysis of his work on Rabelais, Cervantes, Goethe and Dostoevsky. This necessarily curtailed discussion of constructs like 'polyglossia', 'chronotope' and 'carnival'.

This dissertation applies categorial apparatus elaborated by Bakhtin to provide a commentary on his life and work, by employing his own acts and utterances reflexively as if he were his own Other. That is not to claim any degree of finalization for this view — Bakhtin was too canny by far for that. There are still so many imponderables — certainly about his life, and even about his work, despite the herculean efforts of the editors of the *Collected Works*.¹⁰⁵⁰ These imponderables render *any* summative judgement on Bakhtin's life and work impossible.

Secondly, this dissertation brings together three aspects of Bakhtin's life and work in order to assess the degree of self-consistency between his lived experience, his theory of identity and his theory of language. Although other scholars, notably Clark and Holquist, Hirschkop, and Morson and Emerson, have examined these aspects in one monograph apiece, none have explicitly sought this self-consistency within a reflexive framework.

Thirdly, little direct attention has been paid to Bakhtin's relationship with the Classics,¹⁰⁵¹ particularly as a framework for examining his theory of identity in terms of the Dionysian mask as

¹⁰⁵⁰ Hirschkop 2015

¹⁰⁵¹ An exception appears to be Branham 2002.

interpreted by Nietzsche. In addition, his preoccupation with the Saturnalia as the origin of ‘carnival’ as well as the meta-tropes of parody and satire has warranted a deeper discussion of Greek literature as an important factor in his thinking than has been conducted. Most scholarly analysis that involves the Classics has been firmly focused on the history of the novel, largely referencing ΦΒΧρ.

Finally, I believe that bringing the concept of *metis* to illuminate the conduct of Bakhtin’s life and rhetorical strategies embodied in his writing has significant heuristic value. Using *metis* as a metaphor for the cunning intelligence that enabled Bakhtin to navigate the shoals of his lived experience illuminates the processes of his continual reinvention from the 1920s¹⁰⁵² to as late as the early 1970s.¹⁰⁵³ And using *metis*-related terms likewise illuminates his processes of theory creation in the domains of identity and language.

The research endeavoured here can be pursued further in several directions. It could be valuably extended by continuing to employ Bakhtin’s thought reflexively in order to illuminate and unpack the many areas that remain unexplored in this piece of work. In addition, it appears that exhaustive research into the commonalities between Bakhtin and other ordinary language philosophers has been sparse.

Two projects appear likely to bear fruit in rectifying this situation. In the first instance, more detailed research could be undertaken in order to extend the understanding of the relationship

¹⁰⁵² The imaginative reinventions of his educational trajectory.

¹⁰⁵³ The Duvakin interviews.

between Bakhtin's and Wittgenstein's theories of language. This would necessitate a broader exploration of the language-related themes of Wittgenstein's later work and close textual analysis of both authors in order to further ascertain the commonalities and differences between the two. It also appears to me that the understanding of Bakhtin's construct of the chronotope as it applies to language remains somewhat unnuanced despite some significant publications on the topic in the last few years.¹⁰⁵⁴ A comparison of the spatio-temporal nature of the chronotope and Derrida's 'différance' in order to ascertain how space-time is employed in these two constructs would be a productive niche for research into this aspect of the theory of language.

Another option for extending this research would be a detailed examination of the relativistic aspects of Bakhtin's work. This could be approached in several ways; firstly, by an exhaustive examination of the influence that Einstein's Theory of Special Relativity had on ФВХР and КРВ, using Minkowski's description of the spatio-temporal continuum. Secondly, by an extension of Emily Schultz's work on Bakhtin and Whorf.¹⁰⁵⁵ And thirdly, by comparing Bakhtin's ideological frame of reference for the utterance with Fish's hermeneutics based on interpretive communities.¹⁰⁵⁶

Fascinating possibilities can also be found in exploring the biography and mindset of Nikolai Bakhtin, whose interests remained close to his brother's, even when they inhabited separate

¹⁰⁵⁴ Examples include Bemong & Borghart *et al.* 2010 and Keunen 2011.

¹⁰⁵⁵ Schultz 1990.

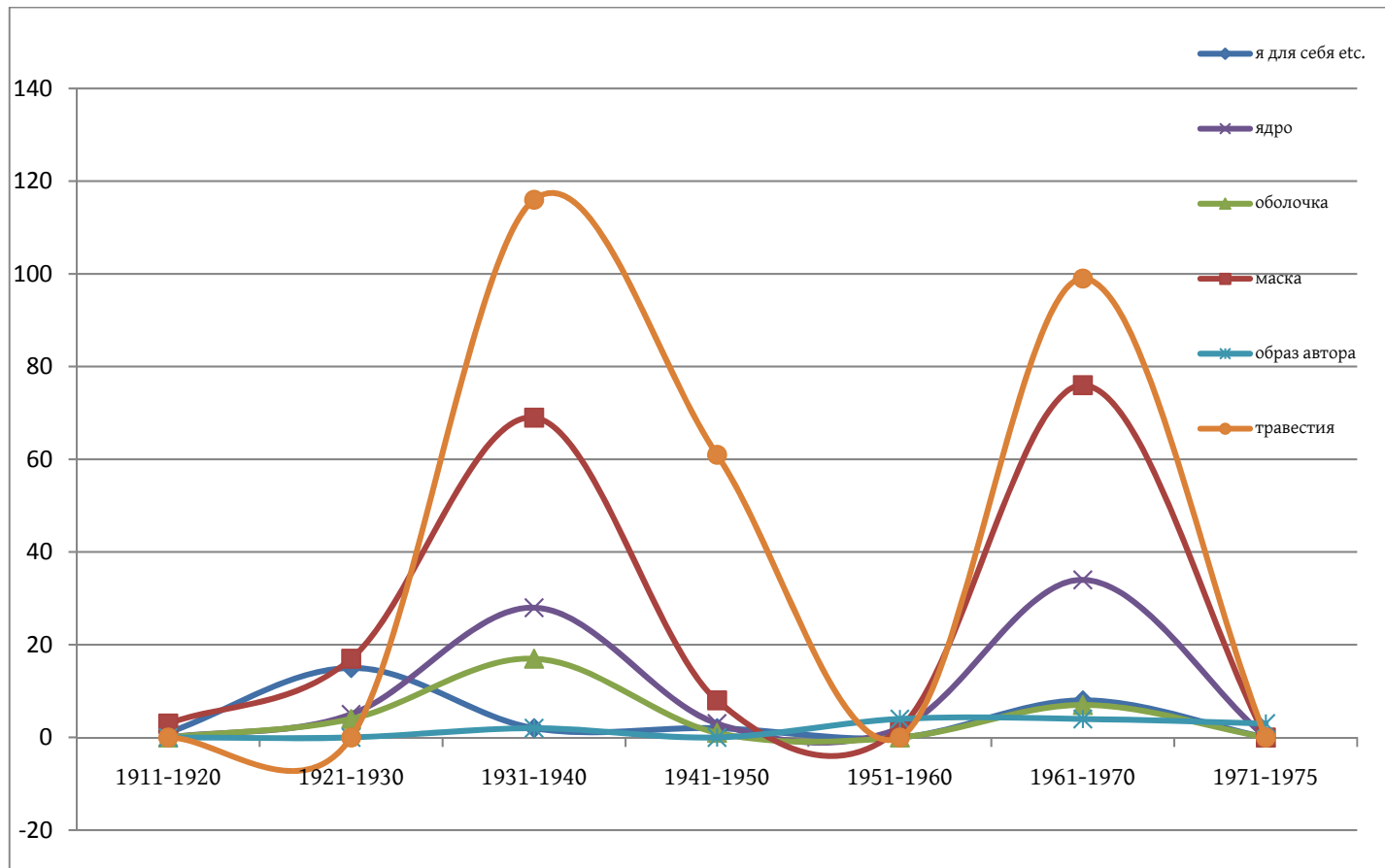
¹⁰⁵⁶ Fish 1976

political and social universes. An exploration of Nikolai's role as an intellectual intermediary between Bakhtin and Ludwig Wittgenstein opens up a number of fascinating questions, not least of which is 'What was the substance of the unfinished project that Nikolai was working on when he died? And does it shed any light on Mikhail's theory of language?'. We know that Nikolai's project involved Plato's *Cratylus* — a dialogue devoted to questions of language — but not much else is known. The Birmingham University archive devoted to Nikolai Bakhtin contains papers on the project that could contain unexplored treasures.

My three-year acquaintance with Mikhail Mikhailovich Bakhtin has been a fascinating research dialogue which I hope to extend in the years ahead.

APPENDIX A

Relative frequency of selected terms in Bakhtin's *Collected Works*



APPENDIX B

Excursus on Irony

Irony (ирония) has been selected for this excursus because, despite its sparse reference, several reasons bind it quite tightly to Bakhtin's modes of thinking. Firstly, irony has its origins in Classical philology, and was particularly evident in Socratic thought. Secondly, Schlegel and Kierkegaard — both profound analysts of irony — had traceable influences of varying strengths on Bakhtin's thought. And thirdly, Nietzsche's performative use of irony provided a receptive Bakhtin with a template for its use. As Ernst Behler wrote in the Introduction to Jaspers' work on Nietzsche, Kierkegaard and Nietzsche typify: "...prime examples of two important arguments against the basic tendency of Western thought to transform everything nonrational or counter-rational into rationality and to ground reason on its own basis".¹⁰⁵⁷ These arguments are entirely in accord with Bakhtin's non-systematic approach. Apart from these theoretical ties, irony is clearly instantiated in the two types of parapraxis («слово с оглядкой» and «слово с лазейкой») discussed above in the section on interdiscursivity in Chapter Three. And finally, dissimulation and imposture are outcomes which draw on parody, satire and irony and are eminently applicable to significant aspects of Bakhtin's life and work.

Whilst irony (ирония) is an important component of the double-voiced aspect of heteroglossia, references to this element in Bakhtin's texts are sparsely distributed, and mostly

¹⁰⁵⁷ Behler 1996: 309.

concentrated in his late notebooks, particularly in relatively few pages in P3:60-70 (*Тетради 1 и 2*)¹⁰⁵⁸ and their associated endnotes in the Commentary.¹⁰⁵⁹ This is unsurprising for two reasons: firstly, whilst the nature of the phenomenon of irony is understood in a practical sense, its definition — even how it is categorised — has always been elusive. And secondly, rather than being a constative phenomenon, irony is highly performative, often using markers that are deliberately ambiguous, or even ‘absent’. However, Bakhtin was not averse to the selective use of irony himself, as can be seen from the following passage from 1940-1941, with its reference to ‘democratised language’:

«Мы живем, пишем и говорим в мире вольного и демократизованного языка; былая сложная и многостепенная иерархия слов, форм, образов, стилей, проникавшая всю систему официального языка и языкового сознания, была сметена языковыми переворотами эпохи Возрождения».¹⁰⁶⁰

Most histories of irony start with its Classical origins. The ironist was initially located in low company in Aristophanes’ comedies, but then became progressively gentrified in Plato with Socratic irony being differentiated from that of the more disreputable Sophists, with a final social acceptance being achieved in the works of Aristotle.¹⁰⁶¹ This acceptance meant assimilation of irony into the curriculum of Classical rhetoric, where it was classified as either a ‘trope’ or a ‘figure of speech’. At this point the meaning of irony appears to crystallise as the opposition of the

¹⁰⁵⁸ Бахтин 2008 [P3:60-70]: 376, 378-379 (*Тетрадь 1*); 388 (*Тетрадь 2*).

¹⁰⁵⁹ Бахтин 2008 [P3:60-70]: 559-562 (*Тетрадь 1*); 589-590 (*Тетрадь 2*).

¹⁰⁶⁰ Бахтин 2012 [ИПРС]: 540. “We live, write and speak today in a world of free and democratized language; the complex and multi-leveled hierarchy of discourses, forms, images, styles that used to permeate the entire system of official language and linguistic consciousness was swept away by the linguistic revolutions of the Renaissance” (Bakhtin 1981 [*Dialogic*]: 71).

¹⁰⁶¹ Behler 1998: 13-14.

intention of the speaker to his or her expression, differentiated from lying by gestural or expressive markers. However, as the Romans assumed the Greek cultural mantle, Cicero chose to translate the ancient Greek εἰρωνεία (*eironeia*) into Latin as *dissimulatio*,¹⁰⁶² thus folding back into the meaning the unacceptable nuance of dissembling. Quintilian added another layer of complexity when he added a distinction between the formal rhetorical use of irony and irony as a way of life.¹⁰⁶³

Having established the Classical foundation for irony, some scholars then proceed straight to the XVIIIth and XIXth centuries and Romantic irony, overlooking the Middle Ages, Renaissance and Early Modern periods,¹⁰⁶⁴ even though these are the periods which provided Bakhtin with many focal points: Boethius, the Feast of Fools, Rabelais and Cervantes, to name a few. However, if one does follow the trajectory of these researchers into the nature of irony, three threads can be traced, one centred on Schlegel, one on Kierkegaard and one on Nietzsche. Each of these paths reveals items of interest that are material to Bakhtin's rhetorical strategies.

Schelegel's path is one of the most promising of the three, and also the earliest chronologically. According to De Man, it actually starts with Fichte, the original creator of the dialectic which Hegel subsequently popularised. Fichte's dialectic, like Hegel's, is tripartite: 'self-creation', 'self-destruction', and 'self-definition'.¹⁰⁶⁵ According to De Man, Fichte asserts that the

¹⁰⁶² The OED renders the Greek as "dissimulation, pretended ignorance" ('irony', *OED online* [accessed 22-May-2015])

¹⁰⁶³ Behler 1998: 14-15.

¹⁰⁶⁴ Behler 1998, Lang 1996.

¹⁰⁶⁵ De Man 1996: 172.

'self' is a property of language, in that it is posited by language, in a performative manner.¹⁰⁶⁶

When language posits the Self, it also automatically posits the non-Self (i.e. the Other). Self and Other mutually delimit each other, with one outcome being a definition of the Self.¹⁰⁶⁷ In this way, Fichte anticipates both Bakhtin (in respect of Bakhtin's theory of identity) and Benveniste (in respect of the latter's deictic theory).

But De Man further extends this analysis to embrace comparisons and contrasts, thus making the identification of the properties of Self and Other a tropological process.¹⁰⁶⁸ Once we are aware that the system is both tropological and performative, it is easy to recognise that it also has the characteristics of narrative. De Man then reintroduces Schlegel, using two Fragments as illustrations (*Lyceum* Fragment 37, and *Lyceum* Fragment 42).¹⁰⁶⁹ He points out that the substance of these two fragments is Schlegel's contention that irony introduces parabasis (glossed by De Man as "the interruption of a discourse by a shift in the rhetorical register")¹⁰⁷⁰ into a discourse or narrative, and that this parabasis is 'permanent'. The implication of this contention is that irony has the capacity to disrupt *any* discourse at *any* time.¹⁰⁷¹ An application of this disruptive capacity that is relevant to Bakhtin would be its effect on 'authoritative discourse'.¹⁰⁷² Bakhtin, who wrote

¹⁰⁶⁶ De Man 1996: 172.

¹⁰⁶⁷ De Man 1996: 173.

¹⁰⁶⁸ De Man 1996: 174.

¹⁰⁶⁹ Schlegel 1971: 146-147; 148.

¹⁰⁷⁰ De Man 1996: 178.

¹⁰⁷¹ De Man 1996: 179, 184.

¹⁰⁷² Refer note 650.

on Romantic irony, was clearly aware of these implications of the trope as references to both Fichte and Schlegel appear regularly throughout his *Collected Works*.¹⁰⁷³

The next path to follow is that of Kierkegaard,¹⁰⁷⁴ whose dissertation on irony is well known to scholars of the trope. Like Quintilian, Kierkegaard regards irony from two viewpoints: as a rhetorical device, and as a life-view or existential position.¹⁰⁷⁵ As a rhetorical device, irony engenders a sense of liberation because the speaker is not bound by her own words, but this polysemy is a two-edged sword if she seeks a clear understanding by her audience.¹⁰⁷⁶ An analogous issue, succinctly analysed by Loseff,¹⁰⁷⁷ bedevilled the use of Aesopian language in XIXth century Russia. From a different point of view, Kierkegaard believed that irony cannot merely be a ‘style of speaking’, it must be a ‘way of living’.¹⁰⁷⁸ However, if a person adopts the latter position, according to Kierkegaard, “this means that there is a rupture between the ironist’s inner self (the essence) and his outward actuality (the phenomenon)”.¹⁰⁷⁹ The extent of this rupture (apparent in Bakhtin’s life and work) is perceived by Kierkegaard as a danger to the ironist’s sense of self, which is put at risk with every arbitrary modification of his kernel.¹⁰⁸⁰ The counterweight to this is the

¹⁰⁷³ Not only Fichte and Schlegel, but also Tieck (Behler 1998: 16), and it should be noted that one of Schlegel’s favourite books was Goethe’s *Wilhelm Meister* (Schlegel [trans. Firchow] 1971: 262)

¹⁰⁷⁴ According to Clark and Holquist, Bakhtin had engaged with Kierkegaard at early in the family’s stay in Odessa (Clark & Holquist 1984 27). This is confirmed in Bakhtin’s conversations with Duvakin (Дувакин & Бахтин 2002: 41-43).

¹⁰⁷⁵ Jordán, 2013: 39.

¹⁰⁷⁶ Jordán, 2013: 40.

¹⁰⁷⁷ Loseff contends that Aesopian language ‘rests precisely upon the joint possession by author and reader ... of one and the same piece of information’ (Loseff 1984: 219).

¹⁰⁷⁸ Jordán, 2013: 40.

¹⁰⁷⁹ Jordán, 2013: 40.

¹⁰⁸⁰ Jordán, 2013: 43.

necessity of irony in order to create an awareness of self and reveal the contradictions in the world; as Kierkegaard says (and most likely Bakhtin would endorse) “no genuinely human life is possible without irony”.¹⁰⁸¹ In addition, Kierkegaard’s suggestion that “irony can be a *limit position or confinium*¹⁰⁸² *between the aesthetic and the ethical*”¹⁰⁸³ is entirely consistent with the axiological framework of Bakhtin’s early writings.

And the latest path open to the scholar in chronological terms is that taken by Nietzsche. Behler makes the point that Nietzsche actually preferred the Ciceronian rendering of the ancient Greek εἰρωνεία (*eironeia*) into Latin as *dissimulatio*,¹⁰⁸⁴ which he translated as ‘mask’.¹⁰⁸⁵ Behler considers that two options present themselves to the scholar who wishes to address Nietzsche’s treatment of irony. In the first instance, one can broaden one’s focus to include terms associated with ‘irony’ such as mask and dissimulation. The alternative is to “investigate the condition under which irony in Nietzsche’s philosophical discourse not only becomes possible but necessary”.¹⁰⁸⁶ Behler identifies three themes that are necessary ingredients to Nietzsche’s discourse on irony: Socrates and his relationship to irony, Nietzsche’s idea of the ‘mask’ and the ‘art of living’, and lastly Nietzsche’s theory of language. As the first approach, whilst attractive to Bakhtin and mentioned

¹⁰⁸¹Kierkegaard 2013 [*Writings, Vol. II*]: 213 (Hong translation used).

¹⁰⁸² “Confine, limit, bounds.” (‘confinium’, *OED online* [accessed 10-Dec-2015]).

¹⁰⁸³ Jordán, 2013: 43, citing Kierkegaard 2013 [*Writings, Vol. VI*]: 71 (Jordán translation preferred on the basis of clarity).

¹⁰⁸⁴ The OED renders the Greek as “dissimulation, pretended ignorance” (‘irony’, *OED online* [accessed 22-May-2015]).

¹⁰⁸⁵ Behler 1998: 17.

¹⁰⁸⁶ Behler 1998: 19.

in the *Collected Works*, is peripheral to the concerns of this Appendix and the second theme has been discussed above, the focus here will be on the theme of Nietzsche's theory of language.

There is a school of scholarship (represented by De Man and Behler)¹⁰⁸⁷ which believes that Nietzsche's theory of language is best seen in his "secretly kept document",¹⁰⁸⁸ the essay 'On Truth and Lying in a Non-Moral Sense'.¹⁰⁸⁹ In this essay, written in 1873 but unpublished in his lifetime, Nietzsche argues for the questionable nature of all assertions.¹⁰⁹⁰ Nietzsche's conviction is that, as a result of the dependence of truth on metaphor at a number of removes,¹⁰⁹¹ language does not allow "a knowledge about the true nature of things".¹⁰⁹² This is due in part to the fact that he considers that the use of language is mostly thoughtless, unaware of the continuum of historical context that constitutes a word's biography, thus treating words as "coins which, having lost their stamp, are now regarded as metal and no longer as coins",¹⁰⁹³ the "residue of a metaphor".¹⁰⁹⁴ All these points

¹⁰⁸⁷ Behler 1998, De Man 1974.

¹⁰⁸⁸ Behler 1998: 24 citing KSA II: 370.

¹⁰⁸⁹ Nietzsche, 1999: 139-153. With regard to the possibility of Bakhtin's having read this essay, I have located no conclusive proof either way although it appears likely that 'On Truth and Lying in a Non-Moral Sense' may have been published in German at some point during the period between 1900 and 1930. If this was the case then it would have appeared either in one of the manipulated and bowdlerized collections of his unpublished work put out by his sister (Elisabeth Förster-Nietzsche) or at one of the moments of high critical interest in Nietzsche's work, possibly mediated through Heidegger (personal communication, Daniel Podgorski). If it was published as late as the mid-XXth century in one of the fully restored editions of Nietzsche's work, it would have reached Bakhtin too late to be influential on his 'cunning intelligence'.

¹⁰⁹⁰ Williams 2010: 93, commenting on Nietzsche, 1999: 145.

¹⁰⁹¹ Nietzsche, 1999: 146.

¹⁰⁹² Behler 1998: 28.

¹⁰⁹³ Nietzsche, 1999: 146.

¹⁰⁹⁴ Nietzsche, 1999: 147.

are indicators for Behler that Nietzsche's theory of language "constitutes a precondition for irony, a condition of possibility, even of necessity, for irony".¹⁰⁹⁵

These various points of view make any definition of irony deeply problematic,¹⁰⁹⁶ so it appears that the best way is to follow Wittgenstein's example and 'show' rather than 'say'.¹⁰⁹⁷ 'Showing' involves exploring the performative nature of irony. There appears to be a scholarly consensus on irony's performative nature, exemplified by De Man's proof of his assertion that rhetoric is performative. He does this by showing that Nietzsche's 'On Truth and Lying ...' performs what it describes,¹⁰⁹⁸ and that Nietzsche's irony "allows us to perform all kinds of performative linguistic functions which seem to fall out of the tropological field"¹⁰⁹⁹ (see also Erin Ferris¹¹⁰⁰). Berel Lang differentiates between romantic irony and sceptical irony, orienting the former toward authorial intention and the latter toward situations dependent on actions. But because the boundaries between intentions and actions are so fluid, there exists a natural link between these two types,¹¹⁰¹ placing both in the category of the performative. The most satisfactory connection of irony and performativity is established by Guay, when he describes the

¹⁰⁹⁵ Behler 1998: 27.

¹⁰⁹⁶ Kierkegaard defines irony as the circumstance where "the phenomenon is not the essence but the opposite of the essence" (Kierkegaard 2013 [*Writings, Vol. II*]: 165 (Hong translation used), cited in Jordán, 2013: 39). By irony, Guay means that "the discursive norm in which one is committed to the truth of what one says, is disrupted or suspended" (Guay 2011: 27). And even De Man only proffers a tentative definition: "irony is the permanent parabasis of the allegory of tropes" (De Man 1996: 179).

¹⁰⁹⁷ Wittgenstein 2009 [*PI*]: §6, 7^e.

¹⁰⁹⁸ De Man 1974: 41.

¹⁰⁹⁹ De Man 1996: 165.

¹¹⁰⁰ Ferris 1998: 43.

¹¹⁰¹ Lang 1996: 578.

link between truth and irony in Nietzsche: “irony is parasitic on truth-seeking discourse”¹¹⁰² and it is this parasitic process that ultimately underwrites its performativity. Bakhtin’s vision of irony was informed by the whole philosophical tradition, founded by Schlegel and Kierkegaard, and especially influenced by Nietzsche’s ideas of mask and his philosophy of language as a whole.

¹¹⁰² Guay 2011: 44.

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