A NOVELIZED EPIC: AN ANALYSIS OF *THE LORD OF THE RINGS* TRILOGY
BY J.R.R. TOLKIEN IN TERMS OF THE BAKHTINIAN DISTINCTION OF THE
EPIC HERO AND THE NOVELISTIC HERO

A THESIS SUBMITTED TO

THE GRADUATE SCHOOL OF SOCIAL SCIENCES

OF

MIDDLE EAST TECHNICAL UNIVERSITY

BY

SİNEM ORUÇ

IN PARTIAL FULFILLMENT OF THE REQUIREMENTS

FOR

THE DEGREE OF MASTER OF ARTS

IN

THE DEPARTMENT OF ENGLISH LITERATURE

AUGUST 2018

Approval of the Graduate School of Social Sciences

_____
Prof. Dr. Tülin GENÇÖZ
Director

I certify that this thesis satisfies all the requirements as a thesis for the degree of Master of Science/Arts / Doctor of Philosophy.

_____
Assoc. Prof. Dr. Bilal KIRKICI
Head of Department

This is to certify that we have read this thesis and that in our opinion it is fully adequate, in scope and quality, as a thesis for the degree of Master of Arts.

_____
Assist. Prof. Dr. Elif ÖZTABAK-AVCI
Supervisor

Examining Committee Members

Assoc. Prof. Dr. Nil KORKUT-NAYKI (METU, ELIT) _____
Assist. Prof. Dr. Elif ÖZTABAK-AVCI (METU, ELIT) _____
Assist. Prof. Dr. Mustafa KIRCA (Çankaya Uni., TINS) _____

I hereby declare that all information in this document has been obtained and presented in accordance with academic rules and ethical conduct. I also declare that, as required by these rules and conduct, I have fully cited and referenced all material and results that are not original to this work.

Name, Last name : Sinem ORUÇ

Signature :

ABSTRACT

A NOVELIZED EPIC: AN ANALYSIS OF *THE LORD OF THE RINGS* TRILOGY BY J.R.R. TOLKIEN IN TERMS OF THE BAKHTINIAN DISTINCTION OF THE EPIC HERO AND THE NOVELISTIC HERO

Oruç, Sinem

M.A., English Literature

Supervisor: Assist. Prof. Dr. Elif Öztabak-Avcı

August 2018, 173 pages

This study aims to explore in what ways the heroes in *The Lord of the Rings* trilogy embody the traits of the epic hero and in what ways they embody the traits of the novelistic hero. For such an analysis, the Bakhtinian distinction of "the epic hero" and "the novelistic hero" will be followed, and his essays in *Dialogic Imagination* and *Problems of Dostoevsky's Poetics* will be taken as the basis of the theoretical framework. In light of the Bakhtinian distinction between these two figures, the heroes in *The Lord of the Rings* trilogy will be studied in terms of heroic traits and in terms of the hero's representation through language, time, and space. It is claimed that, when seen through a Bakhtinian lens, the heroes in *The Lord of the Rings* trilogy bear predominantly novelistic hero traits while at times certain heroes of the trilogy display epic hero characteristics.

Keywords: Novelistic hero, Epic hero, Bakhtin, *The Lord of the Rings* trilogy

ÖZ

ROMANLAŞMIŞ BİR DESTAN: J.R.R. TOLKIEN'İN *YÜZÜKLERİN EFENDİSİ* ÜÇLEMESİNİN BAKHTIN'İN DESTAN KAHRAMANI VE ROMAN KAHRAMANI AYRIMI AÇISINDAN İNCELEMESİ

Oruç, Sinem

Yüksek Lisans, İngiliz Edebiyatı

Tez Yöneticisi: Dr. Öğr. Üyesi Elif Öztabak-Avcı

Ağustos 2018, 173 sayfa

Bu çalışma *Yüzüklerin Efendisi* üçlemesindeki kahramanların ne şekilde destan kahramanı özellikleri gösterdiğini ve ne şekilde roman kahramanı özellikleri gösterdiğini araştırmayı amaçlar. Bu inceleme için Bakhtin'in destan kahramanı ve roman kahramanı arasında yaptığı ayrım takip edilecek ve Bakhtin'in *Dialogic Imagination*'daki makaleleri ve *Problems of Dostoevsky's Poetics* eseri kuram çerçevesinin temeli olarak alınacaktır. Bakhtin'in yaptığı bu iki kahraman figürü arasındaki ayrımın ışığında, *Yüzüklerin Efendisi* üçlemesindeki kahramanlar; kahraman özellikleri, kahramanın dil, zaman ve mekan yollarıyla tasviri açılarından incelenecektir. Bakhtinsel bir bakış açısıyla görüldüğünde *Yüzüklerin Efendisi* üçlemesindeki kahramanların baskın olarak roman kahramanı özellikleri taşıdığı, zaman zaman üçlemenin belli karakterlerinin destan kahramanı özellikleri gösterdikleri öne sürülmektedir.

Anahtar Kelimeler: Roman kahramanı, Destan kahramanı, Bakhtin, *Yüzüklerin Efendisi* üçlemesi

ACKNOWLEDGEMENTS

TABLE OF CONTENTS

APPENDICES

LIST OF ABBREVIATIONS

Works by Mikhail M. Bakhtin

"EN"	"Epic and Novel"
DI	*Dialogic Imagination*
"DN"	"Discourse in the Novel"
"FPND"	"From the Prehistory of Novelistic Discourse"
"FTCN"	"Forms of Time and of the Chronotope in the Novel"
PDP	*Problems of Dostoevsky's Poetics*
RHW	*Rabelais and His World*

Works by J.R.R. Tolkien

FotR	*The Fellowship of the Ring*
RotK	*The Return of the King*
TT	*The Two Towers*

CHAPTER 1

INTRODUCTION

This study which adopts the Bakhtinian distinction between the epic hero and the novelistic hero takes *The Lord of the Rings* trilogy as its subject for studying the characteristics of its heroes and analyzes to what extent they are epic heroes and to what extent they are novelistic heroes. For such a study, *The Lord of the Rings* trilogy is a peerless work. Firstly, *The Lord of the Rings* trilogy has a prominent place among literary creations, especially in fantasy fiction. The trilogy has a unique stance among other works of fiction in that as Chance states it has been chosen "The Book of the Century" with the participation of 25.000 British readers" (*Tolkien the Medievalist* 1); similarly, the author, Tolkien, is named "the author of the century" by Shippey (*J.R.R. Tolkien: Author of the Century* xvii).

Among Tolkien's writings, *The Lord of the Rings* trilogy is the one where the heroes and heroization are given extensive attention and precision within the narrative, which covers three volumes. Therefore, the hero and his/her characteristics can be approached from various aspects extensively. *The Lord of the Rings* trilogy is the focus of this study primarily due to three reasons: the fantasy literature elements in the trilogy, Tolkien's employment of epic elements and the structurally ambivalent qualities of the trilogy. Such elements make the trilogy difficult to locate within generic boundaries, which can be seen in the variety of the answers given to the question "What is the genre of *The Lord of the Rings* trilogy?" by different scholars. Among the various categorizations offered to define the trilogy genre-wise, Brownyn's study concludes that the trilogy is a "heroic fantasy" (8) which includes an "epic journey" (13), while adding that it has been named "fairy tale, high fantasy, an epic romance, quest romance, sword and sorcery, heroic fantasy and epic fantasy" (14) in previous studies. Hirsch defines the trilogy as a "quest-romance" (77) while Shippey calls it "a war-book, also a post-war book" (*The Road to Middle-Earth* 329). He also claims that before Tolkien, there existed no "epic fantasy" (xxiv). Kullman, on the

other hand, defines the trilogy as a nineteenth-century realistic novel without irony and parody (43). Langford categorizes *The Lord of the Rings* trilogy as an "epic fantasy subgenre," but he also states it is "a work outside its own generic confines" (134). James defines it as a "Catholic epic" (69); on the other hand, Chance and Siewers define the trilogy as a "modern epic-romance fantasy" (1). Simonson claims, "the epic and romance traditions dominate a great part of the *The Lord of the Rings*" (71). He analyzes the trilogy in terms of epic elements and romance elements and concludes that the trilogy is similar to epic since digressions in the narrative give temporal and spatial depth, and the story is set in a remote past, which combines historical and primordial time. When the trilogy is seen through a Bakhtinian perspective, it can be argued that the trilogy bears predominantly novelistic traits. The novelistic traits come to the fore especially in terms of language, time and space.

Although the trilogy is created in the form of the novel genre and bears mainly novelistic traits, there are epic traits in the trilogy too as it can be seen in the frequent categorizations of the trilogy as an epic in the studies mentioned above. This mixture of genres seems to be prompted by the fantastical traits of the trilogy. Especially when the heroes of the trilogy are viewed solely, it can be argued that epic elements are evident in the heroization of certain characters though they portray mainly novelistic traits. The fantastic elements can very well be the cause of such epic characteristics since there seems to be a generic link between epic and fantasy: "Epic might emerge as both a mother and grandmother to fantasy" (28) as Weiner holds. The trilogy's being defined a high fantasy or heroic fantasy reveals its epic qualities. To illustrate, Fawcett defends that due to its general heroic theme, "Heroic fantasy in this sense is a term interchangeable with epic or high fantasy" (29). However, this link between epic and fantasy is not enough for fantasy to be a subgenre of epic because the fantastic is difficult to categorize genre-wise, as voiced by several theorists. To illustrate, Rosemary Jackson argues that fantasy defies genre boundaries; "fantasy has seemed to reside in this resistance to definition, in its 'free-floating' and escapist qualities," and there is the "resistance of fantasy to narrow categorization and definition" (1). Todorov similarly argues, "The slippery nature of the fantasic is part of what defines it as a genre" (*The Fantastic* 3). Senior argues that fantasy has a "protean" quality, and

"This protean quality – or force or ability – in the stories is, then, repeatedly offered as the reason for the genre's resistance to definition" (qtd. in Rogers and Stevens 13).

Different from any other work of fantasy fiction, *The Lord of the Rings* is even harder to categorize since the trilogy belongs to the portal-quest (Mendlesohn 1) category of the fantasy literature. In portal-quest fantasies, the hero figure requires closer inspection because he/she portrays ambivalent qualities and develops throughout the story. Before the call to adventure, to use Campbell's term (45), the hero is a plain individual comfortable with his/her routine life in the beginning. The hero is generally thrown into the adventure out of his/her will and is burdened with a perilous task. The hero enters a new portal which is generally an undisclosed magical world. As the quest in this new land progresses, the hero is confronted with trials and dangers, and his/her choices determine the path he/she treads. The hero's choices are especially important because they determine the course of the hero's development and the person the hero will evolve into in time. In portal-quest fantasies, the hero is represented as an ordinary figure performing in extraordinary situations, who later evolves into a different character along the quest. The importance placed on the hero's choices and free will reveals that this hero is not fated to achieve heroism like the epic hero is, but he/she has agency to follow his/her own path. Therefore, the adventure is not merely a series of events happening to the hero in portal quest fantasies, but his/her heroism entails an inner journey through which he/she comes to realize his/her potential in accordance with the choices he/she makes. Such a hero appeals to the modern reader because it attributes heroic qualities to the ordinary person, implying that heroism is not determined by fate, but it depends on endeavor.

In addition to the elusive nature of fantasy, *The Lord of the Rings* trilogy is difficult to place in genre boundaries due to the author Tolkien's employment of Old English, ancient forms and the epic genre. As James suggests, "Tolkien did, of course, bring to the composition of *The Lord of the Rings* his profound knowledge of medieval literature" (68). Similarly, as Flieger holds, "Tolkien's major fiction clearly derive from the medieval genres of epic, romance and fairy-tale" (95); in the same way, Garbowski states, "according to Tolkien there exists a continuum between high myth and fairy story" (18). Nagy situates Tolkien among other modern writers on the basis of his usage of medieval elements and argues, "Tolkien uses medieval models in a way

that problematizes modern questions" ("The Medievalist('s) Fiction" 30). Similar to Nagy's juxtaposing Tolkien's works with modern writers, Rogers and Stevens argue that Tolkien's "deliberate cultivation" of epic elements in his fiction complicates his work, so it cannot be simply categorized as modern (16).

A similar statement is made by Weiner, whose linking fantasy and modern fiction is especially worth noticing because he points out Tolkien's contributions to this link: "foundational authors of MF [modern fiction] as Tolkien and Lewis were philologists – scholars of language and literary traditions – and in their wake it would be difficult to find a high fantasy novel that is not rich in classical intertextuality and allusion" (25). Weiner points out Tolkien's effect on the succeeding fantasy works as they too include epic elements and allusions to classical works. Similarly, Shippey argues that Tolkien put a very high value on his ancient texts, like *Beowulf* and the *Prose Edda*, but he knew "they were works of fallible mortals, and probably several generations away from what he would have regarded as authentic tradition;" therefore, "What he meant to do, then, was to recover the authentic tradition which lay further back than any account we possess" ("Light-elves, Dark-elves, and Others" 12). Tolkien aimed to "restore to the English an epic tradition and present them with a mythology of their own" (Curry 20) because of his concern that there was a lack in "the body of myth and legend that was truly English" (Knuth 8). Not only the nationalistic emphasis on this claim – Bakhtin claims that national history is the source of epic – but also Tolkien's employment of epic elements must have led James to remark "What the *Beowulf*-poet, whoever he was, did with Beowulf was very similar to what Tolkien did with *LOTR*" (69). To clarify the ambivalent position of Tolkien's writings, Lee and Solopova argue that "the most realistic suggestion is that Tolkien played with the idea of creating something for England that would have provided it with a background epic of its own" (10). Nagy, similarly, argues that Tolkien's works are "where traditional and (post)modern meet and fuse" ("The 'Lost' Subject of Middle Earth" 72). Though categorizations and approaches to Tolkien's writing change, it is certain that his employment of elements from various genres and literary traditions renders Tolkien's works very convenient to explore in genre studies.

Along with the studies concerning the genre of the trilogy, there are a number of studies conducted to define the types of the heroes of the trilogy. Caughey claims

that Auden may be the first critic to point out the multiplicity of hero types in the trilogy since he places them into two categories, which are "the epic hero" and "the humbler hero" (408). Drawing on from Auden's argument, Caughey suggests that in *The Lord of the Rings* trilogy, there are three types of heroes: "There-and-Back-Again," "Broken Hero" and "Nascent Patriarch" (409). On the other hand, Lee and Solopova point out the in-between qualities of the heroes remarking, "at least some, of Tolkien's characters are not typical for a novel" (31). Brownyn argues that the epic qualities in the trilogy "establish a sense of authenticity for the narrative" (30) and categorizes the heroes in the trilogy as follows: "Warrior Hero" (211), "Spiritual Hero" (214) and "Everyman Hero" (221).

In addition to fantasy literature elements and Tolkien's employment of epic features, the trilogy's fusing fantasy and epic in the form of the novel also makes it eligible for a genre study. *The Lord of the Rings* has the theme of heroism in its heart because its plot is structured around the hero's quest. However, generally heroism is a theme associated with epic; similarly, Johns-Putra argues, "the element that is most closely connected to epic is heroism" (7). However, Tolkien's creating heroes within a "Secondary World" (*On Fairy-stories* 12) does not result in a purely epic work because the trilogy is posited in the novel genre. In fact, Tolkien's creation of the trilogy portrays the qualities of a modern epic. Similarly, as Whitter-Ferguson holds, "The paramount achievement recorded in the modern epic is not the justification of God's and gods' ways with us, or a hero's battles, or journey, or the foundation of a nation or an empire" (212), but "the centrifugal forms of the modern epic result in . . . continual re-scripting of the past in the light of new experience" (214). In other words, through a modern lens, his work offers a glimpse into epic times, which is a claim that reveals both epic and novelistic traits of the trilogy and its heroes. Even if the underlying motive for Tolkien to create the trilogy had been to make up for the loss in the body of epic for England, it is plain that to compose an epic work during modern times is impossible. That is why, *The Lord of the Rings* trilogy may be termed "an epic about the passing of epic" (78) as Parry argues, or an elegy for the passing of a grand genre that is no longer responding to the needs of the contemporary society, just like *Beowulf*'s saluting the passing of great but pagan heroes. *The Lord of the Rings* trilogy bears defining novelistic traits discussed by Bakhtin such as polyphony, heteroglossia,

dialogism and parody. Furthermore, the heroes of the trilogy are presented in depth; they are not stereotypical figures or psychologically shallow as heroes are in epic. The representations of the heroes within language, time and space show parallelisms with the novelistic language, time and space. On the other hand, the trilogy hosts overt epic elements in its heroization and the heroes' deviations from novelistic traits in the aspects of language, time and space. This dilemma in the traits of the heroes of the trilogy is hoped to be clarified through a Bakhtinian lens.

Among the literary theorists, Bakhtin has a prominent role in literary genre studies because his analysis of genre boundaries has brought a groundbreaking perspective beyond thematic comparisons to the field, along with a deeper insight into the notion of the hero. Throughout his essay collection titled *Dialogic Imagination*, Bakhtin offers an extensive survey of literary works from antiquity to Romanticism, and these works include different genres from epic to poetry and from drama to the novel. From his analysis of these genres and works, Bakhtin draws the conclusion that epic is one of the three fundamental roots of the novel (*PDP* 109). In other words, there is a developmental link between epic and the novel, but they belong to two "diametrically opposed" realities ("FTCN" 240) as Bakhtin argues. While the genre evolves from epic to the novel, the characteristics and representation of the hero evolve too. The epic hero and the novelistic hero are distinct from one another in terms of traits and their representation because epic and the novel belong to drastically different worldviews about the individual, gender, society, time and space. In his essays and his studies on the works by Dostoevsky and Rabelais, Bakhtin makes a distinction between the epic hero and the novelistic hero in terms of heroic characteristics and generic representations that include the hero's representation through language, time and space. Bakhtin argues that such a comparison between epic and the novel will bring about a criticism on the epic heroization and will point out the significance of the novel and the novelistic hero:

> On the one hand, the contrast of novel with the epic (and the novel's opposition to the epic) is but one moment in the criticism of other literary genres (in particular, a critic of epic heroization); but on the other hand, this contrast aims to elevate the significance of the novel, making of it the dominant genre in contemporary literature. ("EN" 10-11)

This quotation reveals that Bakhtin favors the novel and novelistic heroization over epic and epic heroization. However, it also entails the essentiality of epic for understanding the novel since the novel can best be understood in its reflection on the mirror of epic. Similarly, the juxtaposition of the epic hero and the novelistic hero would provide a comprehensive view into characteristics of these related but drastically different heroes. As Bakhtin argues, "For the correct understanding of a genre, therefore, it is necessary to return to its sources" (*PDP* 106), so the distinction between the novelistic hero and the epic hero can best be drawn out by comparing them in terms of heroic characteristics and their representation through language, time and space, following the main points in Bakhtin's discussions.

In spite of the great number of studies devoted to Bakhtin's theories and Tolkien's works, including *The Lord of the Rings* trilogy, Bakhtin and Tolkien have rarely been studied jointly. Saxton argues that although Tolkien and Bakhtin share similar viewpoints, "Bakhtin has been rarely employed in Tolkien studies. Few critics have briefly identified Bakhtinian concepts at work in Tolkien's mythology" (179). A survey among the scholarly works including Tolkien and Bakhtin would indeed reveal that these two leading figures, one the prominent figure of the fantasy fiction, and the other, one of the most influential literary theorists, have not been incorporated in literary studies extensively. Despite this lack in the number of studies devoted to Bakhtin and Tolkien jointly, a brief survey into the limited number of such studies would reveal great similarities between Tolkien and Bakhtin. To illustrate, Do Rozario draws a parallelism between Bakhtin and Tolkien, setting out with Holquist's claim:

> . . . Bakhtin uses the literary genre of the novel as an allegory for representing existence as the condition of authoring" (30). Such an allegory is embodied: *LotR* is ostensibly based on the Red Book, a collection of autobiography and biography of Bilbo, Frodo and other hobbits . . . (57)

Lee and Solopova argue that some of the points in Tolkien's analysis of *Beowulf* is close to Bakhtin's definition of epic (31). Similarly, Saxton draws a parallelism between Bakhtinian "monologue" and "dialogue" and Tolkien's "magic" and "enchantment" in his comprehensive essay that analyzes author-hero relationships in the trilogy through a Bakhtinian lens. In fact, his essay is an outstanding contribution to the realm of Bakhtin and Tolkien studies since Saxton offers a comprehensive view

as to Tolkien's writing and Bakhtin's definition of author-hero relations. Saxton's discussion can be summarized in three points: Both Bakhtin and Tolkien share the view that author and the hero have narrative responsibilities. This view entails that the author is not dead, and the Bakhtinian notion of alterity is reflected in the relationship between the characters and the authors in the trilogy. Additionally, Saxton points out that "the similarities between Tolkien and Bakhtin are more extensive than has been previously recognized" (167), but they have been seldom studied together. He also states that Tolkien and Bakhtin are similar in that they see life and art as entwined (173). On the other hand, he mentions the difference between Tolkien and Bakhtin as "their perception of freedom" especially in terms of artistic creation and polyphony in that according to Tolkien, freedom in the text is subordinate to the author's creation (170). Simonson too employs Bakhtin's definition of epic traits in his study where he surveys epic and romance elements in the trilogy in "Epic and Romance in *The Lord of the Rings*."

Milbank adopts a Bakhtinian term in his study of the trilogy as well. He draws a similarity between Tolkien and Bakhtin and argues that the description of the spider-monster Shelob is reminiscent of Bakhtin's discussion of the grotesque (74). Milbank differentiates between the Bakhtinian grotesque and the Tolkienian grotesque and argues that the first is positive while the latter is negative. An interesting study is conducted by Langford, who offers a Bakhtinian analysis of heteroglossia through the eating culture in the trilogy. He surveys the "verbal undertones" (121) of eating culture that make up the heteroglossia in the trilogy. Raman, on the other hand, discusses the interacting chronotopes within the trilogy and posits the question whether it is an epic or a modern text. He concludes that mythical elements belong to the mission chronotope while novelistic elements belong to dialogical chronotope. Similarly, Lee and Solopova survey the traits of the trilogy and define it as a novel in the Bakhtinian sense. They also mention the characteristics of the heroes in the trilogy in a brief section of their study:

> Turning now to Tolkien's own works we can say that they are certainly not epics in the literary- historical sense . . . In fact, they have all the features of a modern novel, as understood by Bakhtin, who believed that the novel is polyphonic, resists the imposition of norms and is intrinsically inclusive: it can absorb elements of other genres without losing its identity as a novel. However, at the same time Tolkien's

8

works have features which may reveal the influence of the poetry he studied as a medievalist. (43)

If the numbered studies that employ a Bakhtinian approach in *The Lord of the Rings* are viewed, it can be observed that the analysis of the heroes is given a limited space amongst many other components of genre criticism in general. That is why, this study aims to make a contribution to the studies on the heroes of *The Lord of the Rings*, the trilogy itself, to the studies of Tolkien through a Bakhtinian perspective and to fantasy literature in general. Each of these components are somewhat disregarded and discriminated against unfortunately. For example, as Chance and Siewers hold, "fantasy has only recently been defined as more than escapist" (10) due to infantile associations inflicted on the fantasy literature, which is a stereotype Tolkien despised personally (*On Fairy-stories* 16). Curry too criticizes critics and editors who "look down on their nose at Tolkien," exhibiting "snobbery and prejudice" (vii), which is a remark reminiscent of the notorious naming of the trilogy as "juvenile trash" by Edmund Wilson (qtd. in Hunt 173). On the other hand, Nagy argues that the classical elements Tolkien uses might be a reason for the lack in the body of research and interest devoted to his works by contemporary literary theorists. Tolkien's works might also seem unappealing to critics for a number of reasons like his emphasizing history or "archaizing language" ("The Medievalist('s) Fiction" 30). Additionally, despite a number of studies concerning the generic qualities of the trilogy, Simonson argues that "the question of how to interpret and assess T*he Lord of the Rings . . .* remained largely unanswered if addressed at all" (75). Guanio-Uluru similarly argues that *The Lord of the Rings* trilogy has been "dismissed by the literary establishment on generic terms" (225). That is why, a Bakhtinian analysis of the heroes in *The Lord of the Rings* trilogy is hoped to make up for this gap and offer insight into the Bakhtinian view of the epic and novel distinction, and a deeper understanding into fantasy literature, the trilogy and the heroes in Tolkien's grand myth, especially its little ring-bearer Frodo and other unlikely heroes.

In this study, Chapter 2 establishes the theoretical background for the analysis by summarizing the Bakhtinian distinction between the epic hero and the novelistic hero in terms of heroic characteristics and the heroes' representation through language, time and space, which are the main comparison points followed in the analytical

chapters. In light of the Bakhtinian distinction between the epic and novelistic hero, the following analytical chapters will be organized around these three main headings. In Chapter 3, the characteristics of the heroes in *The Lord of the Rings* trilogy will be analyzed in order to reveal to what extent they portray qualities of the epic hero and the novelistic hero. These characteristics will be grouped as the heroes' unheroic traits and representation in everyday situations, their development through the quest narrative, their relation to the heroic ideal and the employment of multiple heroes in the trilogy. In Chapter 4, the hero's representation through the language in the trilogy will be under focus. The hero's speech and the language through which he/she is represented will be studied from the aspects of polyphony, polyglossia, heteroglossia, parody and dialogism to explore if they are novelistic or epic, or a fusion of the two in the trilogy. Chapter 5 analyzes the heroes of the trilogy in terms of their representation within time and space and their action within the chronotope of the road and the chronotope of the threshold.

CHAPTER 2

THEORETICAL BACKGROUND

Taking the Bakhtinian distinction between epic and the novel as the theoretical basis, this study focuses on the ways the heroes in *The Lord of the Rings* trilogy show the characteristics of the epic hero and the ways in which they portray novelistic hero traits. Since the heroes in *The Lord of the Rings* trilogy portray ambivalent qualities, surveying the epic hero and the novelistic hero distinction throughout the trilogy is in line with the Bakhtinian view because Bakhtin argues that there is an organic bond between epic and the novel, but he also defends that these two genres are drastically different from each other in many ways, including their heroization. In the following subsections of this chapter, Bakhtin's discussion of the epic hero and the novelistic hero will be categorized on the basis of heroic characteristics, the hero's representation through language and the hero within time and space, and each point will be explored separately for the epic hero and the novelistic hero. Bakhtin's discussion of the epic hero and the novelistic hero will be drawn out from his four essays in *Dialogic Imagination*, which are "Epic and Novel," "From the Prehistory of Novelistic Discourse," "Forms of Time and of the Chronotope in the Novel" and "Discourse in the Novel." In addition to these primary sources, Bakhtin's analysis of Dostoyevsky's and Rabelais's works will be consulted as references to see Bakhtin's way of approaching literary texts.

In the essay "Epic and Novel," Bakhtin provides an overview as to the development of the novel from its epic roots. In this essay, he introduces key concepts that will keep emerging in his distinction between epic and the novel such as parody, speech, heroization, temporal and spatial conceptions. He also includes the defining traits of epic and draws out their difference from novelistic traits. Bakhtin's focus is mostly on epic in this essay, and he provides examples from literary history for his argument. He points out deviations from epic qualities in ancient novels, and how this change is reflected onto the image of humans in literary works, which directly affects

the heroization, i.e. the characteristics and representation of the hero. In the second essay in *Dialogic Imagination*, "From the Prehistory of Novelistic Discourse," Bakhtin offers a survey of "novelistic discourse" from its Greek roots to Roman times and the Middle Ages. He mainly focuses on the parodic representations that preceded the novel genre because he defines parody as the breaking point from conventionalized genres along with other linguistic aspects like polyglossia and heteroglossia. In "Forms of Time and of the Chronotope in the Novel," Bakhtin introduces the term chronotope which will hold an important place in the discussion of the hero's representation within time and space. He analyzes emerging chronotopes throughout the prehistory of the novel and identifies basic chronotopes that played a role in the development of the novel. In the last essay "Discourse in the Novel," Bakhtin focuses on the linguistic features of the novel extensively through examples from specific novels and illustrates how novelistic discourse differs from epic discourse.

In addition to *Dialogic Imagination*, Bakhtin's scholarly works *Rabelais and His World* and *Problems of Dostoevsky's Poetics* are important for revealing Bakhtin's way of approaching novels in light of the concepts that he develops. He mainly focuses in terms of the carnivalesque, grotesque and chronotope in Rabelais's work, the first two of which will be out of the scope of this study, and he studies language-related aspects like polyphony, heroization and chronotope in his analysis of Dostoevsky's works.

2.1 The Epic Hero

Throughout his discussion of epic and the novel, Bakhtin makes it explicit that he favors the novel over epic, and therefore the novelistic hero over the epic hero. Bakhtin's definition of the epic hero and the epic world can be summarized as follows: The epic hero is in a world that is whole and integrated, but out of the reach of contemporaneity. The gods dwell among the hero's society, and they make their presence felt in the hero's cause, as it is clear in Zeus's and Hera's taking part in the Trojan War in the *Iliad* (Miller 308). The epic hero is unaffected by time, as time is considered in circular fashion, and it is frozen and untouched; thus, the epic hero's character does not change. The hero is a part of this unified worldview, as humans are regarded not as individuals, but components of the community. The epic hero's heroic

ideals are for the well-being of his community. The epic hero exists for the heroic ideal, and he is endowed with heroic powers as he is destined for heroic triumph. He lacks depth in his character and psychology because there is nothing left in him except for his heroic duty. Added to this, the monolithic representation of the epic hero and the narrator's dominating voice leave a dry, frozen, distant and completed figure of the hero. These qualities of the epic hero will be developed further in the following sections of this chapter with special emphasis on heroic characteristics, language use and the hero's representation in time and space.

2.1.1 Heroic Characteristics

Throughout *Dialogic Imagination*, Bakhtin makes a comparison between the generic qualities of the novel and epic in various aspects, and especially in the first essay titled "Epic and Novel" he focuses extensively on the novel's break from epic. He lists the defining features of epic in the light of their difference from novelistic features although he remarks that these features are not exclusive:

> (1) a national epic past – in Goethe's and Schiller's terminology the "absolute past" – serves as the subject for epic; (2) national tradition (not personal experience and free thought that grows out of it) serves as the source for epic; (3) an absolute epic distance separates the epic world from contemporary reality, that is, from the time in which the singer (the author and his audience) lives. ("EN" 13)

These epic features determine the characteristics of the epic hero. Firstly, the national past is the subject of epic and the basis of the epic heroization. Thus, the epic hero is a figure of the national past, and the adventures he engages in such as wars, victories, journeys or battling with monsters, are hallmarks of his community's history. His actions and character traits are directly connected to his community and bear importance on the collective level; therefore, his existence is for the wellbeing of his community. Second, Bakhtin argues that since the national tradition is the source of epic, the personal account of the hero or his individuality in the course of the heroic action is disregarded. Therefore, what matters is the heroic action and triumph rather than the hero's agency or experience. Additionally, as national history is a source for epic, the epic hero belongs to a solely national "common storehouse of images" ("FTCN" 153). In other words, the epic hero's image is not the individual creation of

13

the epic narrator, but it is an image taken from the body of heroic symbols that accumulated in a nation's epic heritage. Therefore, the epic hero figure bears qualities pertinent to this storage, which are stillness and cyclicity, and the heroes' traits do not deviate much across various works. For example, an epic hero in a particular work of epic is similar to another epic hero, and even the same characters in an epic can be employed in various other works of epic. Similarly, Miller describes the Homeric hero as a "physically perfect young hero, dying for fame and escaping maturation" (Miller 4), which is a figure that can be encountered in many other epics. Bakhtin holds that this results in "stilted heroizing," "narrow and unlifelike poeticalness," "monotony and abstractness" and finally "the pre-packaged and unchanging nature of heroes" ("EN" 10) in epic works. This lack of agency and variety in the epic hero results in a conventional, still, finished and frozen image of the hero. The epic story is set in the "absolute" past, and it is distant from reality; therefore, the epic hero is stuck in this past forever. The last feature Bakhtin mentions is of utmost importance for gaining an insight into the epic hero because it suggests that there is a temporal gap between the epic hero and the reader of epic. The epic hero belongs not only to the past, but also to a form of reality that is different from the reality of the reader. Due to this disjunction, the epic hero is presented as a frozen figure, which creates a sharp distance between the epic hero and the reader.

Bakhtin argues that the epic hero is placed on a higher plane compared to readers because the epic hero is completely "externalized" ("EN" 34); in other words, he is complete within himself, and there is no room for further development:

> The individual in the high distanced genres is an individual of the absolute past and of the distanced image. As such he is a fully finished and completed being. This has been accomplished on a lofty heroic level, but what is complete is also hopelessly ready-made; he is all there, from beginning to end he coincides with himself, he is absolutely equal to himself. He is furthermore, completely externalized. There is not the slightest gap between his authentic essence and its external manifestation. ("EN" 34)

This finalized figure of the epic hero distances the reader. He is abstract and "inaccessible" ("EN" 13) because he has nothing in his personality and characteristics outside the heroic ideal. The heroic code ensures that the epic hero serves the heroic ideal, preserves the security of the people of his nation, and defends it by all means.

14

Bakhtin defines this selfless heroic ideal of the epic hero as follows: "Outside his destiny, the epic . . . hero is nothing; he is, therefore, a function of the plot fate assigns him; he cannot become the hero of another destiny or plot" ("EN" 36). Outside the heroic task, there is nothing in the epic hero and his inner world; therefore, the epic hero is fully externalized. Being the hero of his community is the defining feature of his identity; thus, without the heroic ideal, the epic hero would be no one. His inner world cannot be investigated as it is hollow, which results in a shallow image of the epic hero. The reference to "fate" in the previous quotation is noteworthy. Bakhtin argues that fate assigns heroic tasks to the epic hero. In fact, this is believed to be the case in the world of epic. The epic hero is fated by gods to achieve greatness and heroism, i.e., he is born for the heroic action. Therefore, the epic hero is secured in terms of identity while he takes up perilous tasks. Since the place of the epic hero as "the hero" is stable, he cannot be seen experiencing internal struggles as to his adequacy for heroic tasks.

The epic hero is devoid of internal conflicts as to his identity and abilities, and the same view is shared by his community as well. There is no discrepancy between the way the society regards the epic hero and the epic hero's view of himself. Added to his secure place assigned by fate, his being in harmony with his community leaves no room for any change or development in the epic hero's personality. Bakhtin explains that the epic hero has already become everything he could be:

> All his potential, all his possibilities are realized utterly in his external position, in the whole of his fate and even in his external appearance; outside of this predetermined fate and predetermined position there is nothing. He has already become everything that he could become, and he could become only that which he has already become. ("EN" 34)

The epic hero is a distant figure also because of his heroic qualities. He is "completed" because he is created for the heroic action. Therefore, the epic hero is represented like a demigod, endowed with mighty features, a sharp mind and a lofty lineage. In other words, the epic hero is not just an ordinary figure among other humans, but a godly figure marked by his superhuman powers and high stance. Miller connects these qualities of the epic hero pointed out by Bakhtin to a need for having a connection between gods and humans:

> Beneath these literary constructions persists a widely accepted common notion of the
> "hero" as a mediator, a conduit between the living world and whatever nonhuman
> powers and zones exist, or allied conception of the "hero" as simply one of the dead –
> another and final stage for all humankind, possessed of whatever special powers might
> in here in death, that positival (but perhaps still potent) state. The various uses of the
> term *hero* carry a number of significances, from meditative position, even nameless
> and possibly malignant, to a slightly marked social status, . . . to a figure of a remote
> and magnified time, and on to that status between the human and the divine. (4)

In addition to these unearthly qualities, the epic hero carries out the heroic tasks without any hesitation or despair. He is sure of his heroic qualities and abilities, and that the task he is fated to achieve is the heroic action. Due to his lofty characteristics, the epic hero can only be seen engaged in heroic acts. Similarly, as the epic hero is designed for the heroic act, he does not have to change anything in his personality. Thus, no change occurs in the epic hero in terms of his physical qualities or character after the heroic task is achieved because these trials are meant to enforce his heroic ideal. Other than that, they do not lead to a development in him, or a change, nor is it necessary as the epic hero is already finished and completed in himself. This completeness is reflected in every aspect of the epic world, along with the epic hero:

> The epic world knows only a single and unified world view, obligatory and indubitably
> true for heroes as well as for authors and audiences. Neither world view nor language
> can, therefore, function as factors for limiting and determining human images, or their
> individualization. In the epic, characters are bounded, preformed, individualized by
> their various situations and destinies, but not by varying "truths." Not even the gods
> are separated from men by a special truth: they have the same fate, the same
> extravagant externalization. ("EN" 35)

Bakhtin argues that in the epic world everything is united around a single perspective. This unitary meaning throughout epic affects the hero's ideological stance as well. Bakhtin holds, "The epic hero lacks any ideological initiative. The epic world knows only a single and unified world view" ("EN" 35). The epic hero lacks ideological depth in that there exists only a single point of view in epic, and he acts as the affirmation of the dominant ideology of the epic narrator. Bakhtin adds that this results in the unchanging nature and "unlifelike politicalness" ("EN" 10) of the epic hero.

In this unified world of epic, the epic hero is a part of the epic language and epic time and space. Bakhtin's discussion of the epic hero will continue in the

following sections under the heading of the epic hero's representation through language and time and space, in order to provide a deeper insight into the epic hero.

2.1.2 Language

Bakhtin gives utmost importance to language in his distinction between epic and the novel. His emphasis on the linguistic features of these genres is what distinguishes Bakhtin from many other theorists of epic and the novel. As Bakhtin holds, "The profound difference between novelistic and purely epic modes of expression is ignored. Differences between the novel and epic are usually perceived on the level of comparison and thematics alone" ("DN" 265). The Bakhtinian perspective on the employment of language in epic is important for this study in that it entails an insight into the epic hero. Bakhtin argues that the language of epic is affected by what he calls "homogenizing power of myth over language" ("FPND" 60). In other words, due to the conventionalized nature of epic, its language is frozen and restricted, which results in "the absolute hegemony of myth over language" ("DN" 369). Thus, epic is not shaped in accordance with language, but it accords language to its purposes. Although language is a living thing with all its variety and vividness, epic does not employ language taking its flexible and lively nature into account.

Bakhtin points out the essential link between epic language and the epic hero as follows: "Epic language is not separable from its subject, for an absolute fusion of subject matter and spatio-temporal aspects with valorized (hierarchical) ones is characteristic of semantics in the epic" ("EN" 17); therefore, the position of the subject in epic is "consequent unfreedom" ("EN" 17), captivated along with language by epic hegemony. There occurs a gap between the epic hero and the reader. The epic hero is a frozen figure also because of the way in which language is used in this portrayal. In fact, the relationship between epic language and the epic hero is a reciprocal one. While the "lofty" language of epic creates a still figure of the hero, the detachment of the epic hero from contemporaneity affects the language through which the hero is presented: "The dead are loved in a different way. They are removed from the sphere of contact, one can and indeed must speak of them in a different style. Language about the dead is stylistically quite distinct from language about the living" ("EN" 20).

Another language-related aspect that contributes to the gap between the epic hero and readers is that in epic the hero is not positioned on the level of readers as their contemporary; the hero is made to talk down to the reader who cannot access the hero's "time and value plane" (Clark and Holquist 287). In order to compare the novel with epic in terms of their ways of addressing the reader, Bakhtin gives an example from *Eugene Onegin* by Pushkin in which the reader is addressed as a contemporary:

> In its style, tone and manner of expression, epic discourse is infinitely far removed from discourse of a contemporary about a contemporary addressed to contemporaries ("Onegin, my good friend, was born on the banks of the Neva, where perhaps you were also born, or once shone, my reader. . . ."). Both the singer and the listener, immanent in the epic as a genre, are located in the same time and on an utterly different and inaccessible time-and-value plane, separated by epic distance. The space between them is filled with the national tradition. ("EN" 13-14)

Unlike the novel where readers can be addressed as contemporaries, in epic, there is a distance between the epic hero, the author and readers, which adds to the distant figure of the epic hero. In addition to the godly traits of the epic hero such as enormous physical strength and martial intelligence, the epic hero's distanced representation deepens the gap between the hero and the reader. Therefore, the epic hero is not relatable for the reader, and he is accepted only for what he is, a superhuman figure.

The epic hero is distant and frozen because he is represented from a single point of view, and the hero's view of himself is in complete harmony with that of the narrator and society. He is seen by the members of his community and the epic narrator in the same way as he sees himself. Since there is no distance between the hero and society, the author depicts him in the way the community sees him; therefore, the epic hero can be seen only from a single point of view:

> He is entirely externalized in the most elementary, almost literal sense: everything in him is exposed and loudly expressed: his internal world and all his external characteristics, his appearance and his actions all lie on a single plane. His view of himself coincides completely with others' views of him – the view of his society (his community), the epic singer and the audience also coincide. ("EN" 34)

Epic does not incorporate multiple viewpoints or voices in the representation of the epic hero. Meaning and language are univocal in epic. The narrator's voice dominates the epic world; thus, the epic hero, deprived of being represented from various

18

viewpoints, appears like a cardboard figure. As Bakhtin holds, "Epic discourse is a discourse handed down by tradition. By its very nature the epic world of the absolute past is inaccessible to personal experience and does not permit an individual, personal point of view or evaluation" ("EN" 16). He argues that epic disregards the nature of language, and it includes a single worldview; therefore, the epic hero cannot be seen from multiple points of view and ends up being a distant and frozen figure. Although language is multi-voiced and varied, the epic hero is presented through a univocal language due to what Bakhtin calls myth's domination over language ("FPND" 60).

The epic hero is also distant from readers in terms of language because he does not have a voice of his own. The epic hero is speechless, as any other character in epic is, since the epic narrator's voice dominates all other characters. It is not that the hero does not speak at all in epic, but when he does speak, language does not bear a trace of the hero's individuality. Additionally, all characters' speech gives the impression of being uttered from the same mouth; thus, the epic hero does not have a characteristic voice. Miller's discussion supports Bakhtin's argument about the epic hero's speech as he gives a generic description:

> When the hero does speak, his speech has a peculiar – a violent – one. "Verbal aggression" is now a more or less polite and even academic term for the substitution of verbal for physical violence. . . . In the heroic milieu, however, speech (especially on the part of the hero) is an extension or a preparation for violence, not a substitute; and like the gestic plays and posturings just analyzed, it is often meant simply to identify its author. (230)

Even the most human trait of the epic hero, speech, is employed for heroic traits, like violence or boasting; therefore, his speech does not show variance or ordinary traits. As for other characters' speech, multiple voices, thus multiple viewpoints, are excluded, which leads not only to the monolithic and frozen language of epic, but also to the monotonous representation of the "voiceless" epic hero. The hero can only be seen from a single perspective, which is the narrator's. Similarly, dialogues and direct or indirect quotations are extinct in epic due to the absence of characters' own voices, which Bakhtin names "the single-languaged and single-styled" nature of epic ("DN" 266). Therefore, epic is monologic; even when the epic hero speaks to other characters,

this does not involve the negotiation of different discourses, but it is the affirmation of the single voice dominating the epic work.

Epic language, through which the epic hero is represented, is lofty and serious. The grand language of epic leaves no place for the comical elements. According to Bakhtin, this lack of laughter creates a frozen and unreachable figure of the hero because he emphasizes that laughter brings its object closer:

> Laughter has the remarkable power of making an object come up close, of drawing it into a zone of crude contact where one can finger it familiarly on all sides, turn it upside down, inside out, peer at it from above and below, break open its external shell, look into its center, doubt it, take it apart, dismember it, lay it bare and expose it, examine it freely and experiment with it. ("EN" 23)

These actions that enable the represented object to be seen and judged from different aspects are all made possible by laughter since they require the object of laughter to be close. Laughter breaks down hierarchies by bringing the participants of the laughter, the subject and the object, to the same level. Since laughter is absent from the epic hero's representation, the hierarchy between the epic hero and the reader remains intact. The absence of laughter in epic language deepens the gap between the readers and the epic hero, which results in a distanced, lofty, dry and frozen representation of the hero and renders him "formally dead" ("EN" 7) for readers.

2.1.3 Time and Space

As Bakhtin argues, "We come upon it [epic] when it is already completely finished" ("EN" 14). Epic is presented to readers in its finished form, so is the epic hero. This stems from the fact that epic belongs to a different understanding of the world in terms of time and space; thus, it represents a different reality from the contemporary reality. Bakhtin defines the time epic belongs to as "the national heroic past: it is a world of 'beginning' and 'peak times' in the national history, a world of fathers and of founders of families, a world of 'firsts' and 'bests'" ("EN" 13). This time of "firsts" is "blissful" (Lukács 122) in the sense that it is unified, not demarcated into units in the modern sense. Epic time does not flow in a linear fashion; therefore, the notions of futurity, development and progress are not applicable. This understanding of time is reflected in the epic hero's representation through time as

well: "To him past means little, the future not much more – or even less. The present, the instant, is all" (Miller 132). Bakhtin holds that the temporal conception in epic includes the stillness of time:

> The epic past is called the "absolute past" for good reason: it is both monochronic and valorized (hierarchical); it lacks any relativity, that is, any gradual, purely temporal progressions that might connect it with the present. It is walled off absolutely from all subsequent times, and above all from those times in which the singer and his listeners are located. ("EN" 15-16)

The defining trait of time for the epic hero is stillness or absoluteness. In other words, the epic hero resides in a time that is separated from the time of the reader and the narrator. The time in which the epic hero resides is not only separated from the readers, but it is valorized; in other words, there is a hierarchy between the epic hero's and readers' time. As Bakhtin argues, "epic discourse is a discourse handed down by tradition" ("EN" 16), and this discourse is about the firsts and founders. Therefore, what marks epic time is not just its being located in the past, but its disconnection from contemporaneity. Similarly, Bakhtin holds that it is possible to regard even the current time as epic time as long as "we ignore the presentness of the present and pastness of the past; we are removing ourselves from the zone of 'my time,' from the zone of familiar contact with me" ("EN" 14). Therefore, epic time is closed to itself and has no "loophole" (*PDP* 233) through which to glimpse into future. The epic hero does not evolve into the time of his future readers, but stays intact. Bakhtin explains the effect of epic time on heroization as follows:

> These events and heroes receive their value and grandeur precisely through this association with the past, the source of all authentic reality and value. They withdraw themselves, so to speak, from the present day with all its inconclusiveness, its indecision, its openness, its potential for re-thinking and re-evaluating. They are raised to the valorized plane of the past, and assume there a finished quality. ("EN" 18)

Due to the closed time of epic, the epic hero is a finalized figure. The epic hero does not have a connection with the contemporary reality because his greatness lies in his connection with the absolute past. The epic hero's time is like a closed circle, finished and complete within itself, which Bakhtin defines as follows:

21

> . . . the epic past is locked into itself and walled off from all subsequent times by an impenetrable boundary, isolated (and this is most important) from that eternal present of children and descendents in which the epic singer and his listeners are located, which figures in as an event in their lives and becomes the epic performance. ("EN" 17)

The epic hero resides in this closed circle of time, deprived of any contact with the present. Therefore, he does not develop or change. He is a part of a unified and blissful world, and like every aspect of this coherent world, the hero coincides with himself within time. He cannot be seen changed or affected by time. This frozen image is distancing and unrealistic since it leaves no trait in the epic hero for the reader to associate his/her life with. Since the epic hero lives in the past, he is a complete and finished figure. He does not develop or change into the reader's time because epic disregards contemporaneity. The concern for the future only occurs in the form of prophecy, and even that takes place in the past ("EN" 31). Therefore, readers can only see the finalized and still figure of the epic hero, which renders the reader's identification with the epic hero impossible.

In addition to the "absolute past" and its treatment as a "temporally valorized hierarchical category" ("EN" 18), another factor that contributes to the temporal disjunction between the epic hero and readers is the ambiguity of time in epic. Time is not specified in epic apart from seasons and names of wars that might give a clue as to the period, so the epic hero's time is ambiguous. This lack of specificity prevents readers from locating the epic hero within a certain historical period. Such a conception of time is also evident in the way epic ends without any concluding purpose. Bakhtin argues that finality and causality that are expected to be included in the modern narrative are absent in epic because epic does not categorize time as past or future since the epic time is unified. The epic hero in this unified time is a part of the epic world, giving the impression that the hero is a part of a circular and larger body of narrative that will go on and on forever.

In close connection with distanced epic time, the epic hero is also located in a radically different spatial conceptualization than that of modern readers. Similar to time, space in epic is unified; it is not separated from other spaces with political borders. Again, like time, space in epic is not specified as well. This unified conception of space and its blurred vision prevent readers from locating the epic hero within a

specific place, which is another factor that contributes to the epic hero's distance. Bakhtin explains the notion of completeness as the defining trait of the epic world:

> Thanks to this epic distance, which excludes any possibility of activity and change, the epic world achieves a radical degree of completeness not only in its content but in its meaning and its values as well. The epic world is constructed in the zone of an absolute distanced image, beyond the sphere of possible contact with the developing, incomplete and therefore re-thinking and re-evaluating present. ("EN" 17)

Therefore, one cannot but accept the epic world for what it is, which is a closed and an inaccessible world. Bakhtin remarks, "One can only accept the epic world with reverence; it is impossible to really touch it, for it is beyond the realm of human activity, the realm in which everything humans touch is altered and re-thought" ("EN" 17). The genre's relationship with time and space creates the epic hero as a frozen and distant figure for readers, which renders their establishing closeness with the epic hero impossible.

Bakhtin's discussions of time and space do not always run on separate levels in his essays. In fact, he merges these two aspects in the "chronotope," the term he adopts from Einstein's theory of relativity to use metaphorically for literary studies. This term literally means "time-space," and Bakhtin employs it for "studying texts according to the ratio and nature of the temporal and spatial categories" (*DI* 423). This "artistic" chronotope illustrates how time takes shape within space, so it entails the essentiality of time and space for literary works ("FTCN" 84). Bakhtin points out the importance of the chronotope for genre studies as follows: "It can even be said that it is precisely the chronotope that defines genre and generic distinctions, for in literature the primary category in the chronotope is time" ("FTCN" 85). In his essay "Forms of Time and of the Chronotope in the Novel," Bakhtin offers an extensive survey of chronotopes across various works from different genres like epic or European novel, from Greek romance to the Rabelaisian novel.

As it will be discussed further in the remaining sections of this chapter, the chronotope plays an important role for this study because Bakhtin argues that the chronotope gives an insight into the hero's representation within a specific genre. As Bakhtin holds, "The chronotope as a formally constitutive category determines to a significant degree the image of man in literature as well. The image of man is always

intrinsically chronotopic" ("FTCN" 85) because life represented in a literary work is in line with the representation of the hero of the period and place in which that work is composed. To illustrate, he defends that due to the "extravagant externalization" ("EN" 35) of the epic hero and the close link between his existence and the heroic ideal, we encounter collective chronotopes in epic like "the popular chronotope of the public square" ("FTCN" 135). He argues that due to externalization and unity with the community, the epic hero does not appear in barren places all by himself, but within the folk, inside the "organic human collective" ("FTCN" 135). The epic chronotope is in line with the characteristics of the epic hero; it represents the hero in his full potential within the collective and unified world of epic.

2.2 The Novelistic Hero

Bakhtin, like many other theorists, holds that there is a developmental link between epic and the novel. The figure of the hero has evolved with the genre as well; thus, the traits of the novelistic hero and his/her representation through language, time and space can be traced in the same terms with the epic hero.

Bakhtin argues that "The novel is not merely one among other genres" ("EN" 4). The novel is different from "ossified" and "conventionalized" ("EN" 15) genres in that it has its connection with the present, and it is still evolving. The novel's contact with the present is of primary importance for the representation and qualities of the novelistic hero, as the novelistic hero is a relatable and life-like figure due to the genre's relationship with time, space and language. The novelistic hero's characteristics and representation through language, time and space will be surveyed in the remaining sections of this chapter.

2.2.1 Heroic Characteristics

Bakhtin summarizes the defining traits of the novel and the novelistic hero by juxtaposing them with the defining traits of epic and the epic hero in his essay "Epic and Novel":

> (1) the novel should not be "poetic," as the word "poetic" is used in other genres of imaginative literature; (2) the hero of a novel should not be "heroic" in either the epic or the tragic sense of the word: he should combine in himself negative as well as serious; (3) the hero should not be portrayed as an already completed and unchanging person but as one who is evolving and developing, a person who learns from life; (4)

the novel should become for the contemporary world what the epic was for the ancient world. ("EN" 10)

As pointed out earlier, the characteristics of the epic hero remain similar across various works, and these qualities do not change in the course of the story. The epic hero is stern, selfless and physically mighty. He is always in line with what is expected from him in terms of character and action; he does not surprise the narrator or the reader through conflicting traits. He has no hidden parts in his personality or inner world, or to put it in Bakhtinian terms, he is completely externalized. Bakhtin suggests that the distinguishing feature of the novelistic hero is bearing conflicting traits in his/her personality. The novelistic hero bears both positive and negative qualities that might lead him/her to act in unexpected ways, surprising readers and even himself/herself. Due to these traits, the novelistic hero might end up making mistakes, which is the most human trait. Along with the conflicting traits in the novelistic hero, his/her tendency to err points out that the hero is psychologically complicated, which makes him/her human-like, thus relatable.

The conflicting traits the novelistic hero bears are also the catalyst for changes in the hero's character as conflicts lead the way for change. Bakhtin points out the hero's change through time and learning from experiences as the defining features of the novelistic hero, which are in stark contrast to the epic hero who is complete within himself as he has already become everything he could be ("EN" 34). Contrary to the still and complete image of the epic hero, the novelistic hero is marked by his/her flexibility and openness to change. The change in the novelistic hero is prompted by "the theme of inadequacy" ("EN" 37). Bakhtin points out several times throughout his essay "Epic and Novel" that this theme is inherent for the novel and thereby constitutive of the novelistic hero: "One of the very basic internal themes of the novel is precisely the theme of the inadequacy of a hero's fate and situation to the hero himself. The individual is either greater than his fate, or less than his condition as a man" ("EN" 37).

Being inadequate for a task or a situation is inescapable for the novelistic hero. Therefore, he/she is challenged several times throughout the narrative, and each crisis he/she faces leads to a change in the novelistic hero. The "learning from life" aspect is important for the novelistic hero and his/her heroic ideal. As the novelistic hero is an

25

unfinished and incomplete figure, he/she has to develop and change, and learn from experiences and mistakes. This is what humans do in the course of life, so the novelistic hero is close to humans and relatable for them. Learning from experiences places emphasis on the novelistic hero's experiencing events on his/her own, which is in contrast to the epic hero to whom things only keep happening without making a deep impact on him. Therefore, the trials the novelistic hero goes through are not only tests to prove his/her inherent heroic qualities. The novelistic hero has to go through these trials because he/she is not of a higher lineage in terms of physical traits or intelligence, or social class. In fact, the novelistic hero goes through those events to develop morally or psychologically; therefore, the trials the novelistic hero takes up have a symbolic importance in his/her development.

The novelistic hero's being a relatable figure is in line with the last defining aspect of the novel argued by Bakhtin, which is "(4) the novel should become for the contemporary world what the epic was for the ancient world" ("EN" 10). Similarly, the novelistic hero represents the contemporary human as the epic hero did in ancient times. The epic hero acts as a bridge between the divine powers and human beings with his glorious actions and god-like powers. As the genre moves from epic to the novel, the need to have a bridge between gods and humans has been replaced by the need to see one's reflection in art, and the demigod figure of the epic hero does not certainly correspond to ordinary people. Thus, the epic hero has evolved into the novelistic hero who is relatable because the novel is perceptive to contemporaneity and its changing needs. Listening to the solemn narrative of a distanced hero's adventures has fallen out of favor; moral concerns or the top-down narrative of epic along with the singular point of view, and the tight mould of the epic hero is short of the changing worldview as to humans. Since everyday life experiences cannot be conveyed through a demigod, the narrative starts to employ ordinary people as heroes. That is why, the novelistic hero emerges as a more human-like figure for the readers. The novelistic hero's development through adventure presents a hero evolving before the eyes of the reader. He/she constantly changes, may take sudden turns in his/her character, and may act quite unlike what is expected from him/her. The novelistic hero may make wrong decisions, act foolishly, or even yield to temptation. These fluctuations reveal that the novelistic hero is psychologically deep and has undisclosed

sides in his/her personality. In light of Bakhtin's discussion, Clark and Holquist argue that the novelistic hero as a changing and developing figure makes up for the disjunction between myth and the world:

> in the modern day, literature cannot achieve univocal, mythic language with its absolute norms of thought. Myth could have this kind of hold only in prehistoric times or at the beginning of history. Consequently, in literature a "hero without faults" can no longer achieve the sought-after unity between the inner and outer person, between the person and his world. ("DN" 273)

Apparently, among the traits of the hero, perfection has been replaced by imperfection for the task of connecting the world of literature to the reader's world. The imperfection of the novelistic hero suggests that change is an ongoing part of life; likewise, erring and developing are traits that make one human. Bakhtin suggests that the novelistic hero's engaging in activities out of the heroic action makes him/her relatable. For example, the novelistic hero may be portrayed experiencing fatigue, illness, boredom, hopelessness, and he/she can be seen doing petty daily activities and chit-chatting with other characters. Such instances are unimaginable for the portrayal of the epic hero as he is fully externalized and has no room left except for the heroic task. Bakhtin argues that the inclusion of such traits not only presents a relatable figure of the novelistic hero, but they also add a comical tone to the hero's representation. When the hero becomes a figure to laugh at, he/she is also brought closer to the ordinary human. Laughter breaks down any kind of distance and hierarchy, so the hero is transformed from a superhuman figure into an ordinary person. Additionally, the realistic representation of the hero and the employment of laughter result in the creation of unusual heroes with unheroic characteristics, which adds variety to the image of the novelistic hero. Therefore, the novelistic hero becomes a life-size figure in stark contrast to the frozen image of the epic hero.

Bakhtin's discussion of the novelistic hero encompasses the hero's ideological stance as well. He argues that contrary to the political stillness in epic, the novel genre bears conflicting ideological forces inside. Bakhtin argues that the novel is receptive and inclusive of extraliterary genres; as a result, the novel includes a more varied array of ideological positions than epic does. Due to this variety and dynamism that emerge out of these conflicting forces, the novelistic hero's ideological stance is a more

grounded and genuine one. The hero's ideological stance is also reinforced by his/her conflicts with society. Similarly, Bakhtin argues that "As a rule, the hero of a novel is always more or less an ideologue" ("EN" 38). As an individual, the novelistic hero needs an ideological stance to steer his/her change. He mentions Socrates, Diogenes, cynics in Manippean satire, and Menippius in Lucian as "hero-ideologues" ("EN" 38) who are ideologically complicated novelistic heroes.

For Bakhtin, the novel "is plasticity itself" ("EN" 39); it is made of a different clay. He adds that "Among genres long completed and in part already dead, the novel is the only developing genre" ("EN" 4). Bakhtin also argues, "Only that which is itself developing can comprehend development as a process" ("EN" 7); as novel is the genre of becoming, it evolves with the world. The flexible and developing nature of the novel enables the creation of contemporary and life-like heroes. Novelistic heroes are shaped in accordance with people's place in life, and evolve with them; therefore, novelistic heroes are relatable for readers. Bakhtin even suggests that this relatability might result in readers' associating themselves too deeply with the novelistic hero: ". . . we might substitute for our own life an obsessive reading of novels, or dreams based on novelistic models . . . the real-life appearance of fashionable heroes taken from novels – disillusioned, demonic and so forth" ("EN" 32). The genre's contact with the present, its flexibility, ideological variety and employment of laughter create a closer and a quasi-ordinary figure of the hero. In addition to these humanly characteristics, the novelistic hero achieves closeness with readers through linguistic elements like the employment of polyphony, parody and dialogism in the novel and the novel's relationship with time and space.

2.2.2 Language

Bakhtin calls the novel "a genre in the making" and the "most fluid of genres" ("EN" 11) due to its close connection with contemporary reality, and he holds that the genre's close contact with language enables its link with contemporaneity. In other words, the novel owes its open nature to its receptiveness towards language. According to Bakhtin, "Studying other genres is analogous to studying dead languages; studying the novel, on the other hand, is like studying languages that are not only alive, but still young" ("EN" 3). Epic, as a conventionalized genre, disregards variety in languages,

discourses and viewpoints, which results in the closed nature of its heroization. He argues that the novel emerged from parodies of these conventionalized genres. Satires, dialogues, parodies and travesties that led the way to the novel employed language in its fluid nature, and utilizing language in its true potential found body in the novel. Bakhtin defends that the novel "could therefore assume leadership in the process of developing and renewing literature in its linguistic and stylistic dimension" ("EN" 12) thanks to its receptiveness towards language. As a result, contrary to the monologic and univocal language of epic, the language in the novel is fluid, multi-voiced and varied, which is reflected in the representation of the novelistic hero.

Language has a crucial role in the Bakhtinian distinction between the epic hero and the novelistic hero, and one of the linguistic aspects that Bakhtin focuses on is speech. The novelistic speech in the Bakhtinian sense requires three aspects. Firstly, the speech of the novelistic hero is different from that of the hero in drama because it requires a certain artistic representation. Secondly, the novelistic hero's speech does not bear a concern for the whole of the novel, but each hero's speech is separate and stratifies novelistic language. Thirdly, each hero's speech in the novel bears an ideological stance and a point of view ("DN" 332-333). The combination of these aspects of the novelistic hero's speech is the primary point of departure from the epic hero to the novelistic hero according to Bakhtin:

> The crucial distinction between [the hero of the novel] him and the epic hero is to be found in the fact that the hero of a novel not only acts but talks, too, and his action has no shared meaning for the community, is not uncontested and takes place not in an uncontested epic world where all meanings are shared. Such action therefore always requires some ideological qualification.
> In the epic there is one unitary and singular belief system. In the novel there are many such belief systems, with the hero generally acting within his own system. For this reason there are no speaking persons in the epic who function as representatives of different languages in the epic, the speaker is in essence, solely the author alone, and discourse is a single, unitary authorial discourse. ("DN" 334)

The most important trait that differentiates the novelistic hero is his/her being a speaking subject. The novelistic hero has a voice of his/her own. He/she is not only narrated through action, but through speech as well. However, this speech arises among conflicting forces because in the novelistic world meaning is not unified among characters inhabiting that world. Therefore, the hero's speech bears an ideological

stance while the epic hero's speech is a part of the whole and unified meaning that is the same for the rest of the community.

The epic hero is a formally dead and frozen image due to his artistic representation. His image is the same in the eyes of the epic narrator's and the hero's community. Bakhtin argues that in the novel this unified view of the hero dissolves into "man for himself alone" and "man in the eyes of others" ("EN" 38). This incongruence among the views as to the novelistic hero is symbolic in multiple ways. First, it implies that there is a conflict between the hero and the outer world, so the integrated view of the hero is disrupted in the novel. The hero becomes an individualistic figure that is apart from society. Second, the hero turns into what Bakhtin calls "object of experimentation and representation" ("EN" 37); in other words, the hero is brought to the level of the reader to be investigated closely. Third, these differing views as to the hero enable him/her to be seen from various angles, so the novelistic hero is given depth and dimension.

The novelistic hero is life-like and relatable and has a dynamic nature thanks to the novel's receptiveness towards language. While other genres assimilate language to comply with the form, the novel assimilates its form to represent the diversity of language:

> Other genres are constituted by a set of formal features for fixing language that preexist any specific utterance within the genre. Language, in other words is assimilated to form. The novel by contrast seeks to shape its form to languages from other genres since it constantly experiments with new shapes in order to display the variety and immediacy of speech diversity. (*DI* xxix)

The novelistic hero is represented through the novelistic language that is true to the fluid and living nature of language. As Bakhtin claims: "Literary language is not represented in the novel as a unitary, completely finished-off and indisputable language – it is represented precisely as a living mix of varied and opposing voices . . . developing and renewing itself" ("FPND" 49). This mix is achieved by giving voice to characters. Unlike the narrator in epic, in the novel, the narrator does not dominate the narrative with his/her voice. The novel includes multiple voices, thus multiple points of view, and this is applicable for not only the hero but also for other characters,

each character bringing his/her own discourse into the novel. Bakhtin explains the ultimate representation of disparate discourses in the novel as such:

> One's own discourse and one's own voice, although born of another or dynamically stimulated by another, will sooner or later begin to liberate themselves from the authority the other's discourse. . . . Novelistic images, profoundly double-voiced and double-languaged, are born in such a soil, seek to objectivize the struggle with all types of internally persuasive alien discourse that had at once held sway over the author. . . ("DN" 348)

Unlike the epic hero, the novelistic hero, along with other characters of the story, is "a point of view, a socio-ideological conceptual system of real social groups" (Morris 113). This multiplicity of viewpoints establishes the novelistic character's relationship with the world and reality. The hero's representation from these viewpoints and discourses results in the hero's contemporary and dynamic representation. Additionally, Bakhtin argues that relatable and lifelike heroes are included in the novel due to the genre's "special relationship with extraliterary genres, with the genres of everyday life and with ideological genres" ("EN" 33). The novel's contact with the political and everyday issues is what enables the novel to present developing and relatable heroes.

The novelistic hero's contact with daily life is also established by the usage of daily conversational language in the novel, which Bakhtin points out as one of the defining features of the novel:

> Novelistic discourse has a lengthy prehistory, going back centuries, even thousands of years. It was formed and matured in the genres of familiar speech found in conversational folk language (genres that are as yet little studied) and also in certain folkloric and low literary genres. ("FPND" 50)

In such works, the characters converse and engage in daily chatty language, affecting each other's view; therefore, the characters' language and discourses interact with one another. "To a greater or lesser extent, every novel is a dialogized system made up of the images of 'languages,' styles and consciousnesses that are concrete and inseparable from language" ("FPND" 49), argues Bakhtin, and adds that novelistic discourse is self-reflexive, and "Novelistic discourse is always criticizing itself" ("FPND" 49);

thus, the novelistic hero renews himself/herself through the interaction of the conflicting forces within the novelistic language.

In addition to linguistic variety, Bakhtin mentions several other linguistic features in the novel that differentiate the novelistic hero from the epic hero. These features can be grouped as parody, polyglossia, heteroglossia, polyphony and dialogism. He argues that the genres that preceded the novel, such as satires, dialogues, parodies and travesties employed these devices, which led to the emergence of the novel and the novelistic hero.

Bakhtin's discussion of parody, the first one of these linguistic features, is summarized by Clark and Holquist as follows:

> The rise of the novel was a product of the breakdown of the epic world view, which came about when writers began to parody and mock the styles, heroes, and world view of the old forms. The genre thus generated, the novel – or rather the new sensibility, "novelness" – is by its very nature forever iconoclastic, forever questing. (274)

Bakhtin links the emergence of the novel genre with the parodying of ancient genres. Bakhtin argues that the novel does not get on so well with other genres as it parodies them. He holds that parody distinguishes the novel from other genres because it "exposes the conventionality of their forms and their language; it squeezes out some genres and incorporates others into its own peculiar structure, reformulating and re-accentuating them" ("EN" 5). Thus, parody is more than a struggle of genres; it is a phenomenon deeply connected to the "generic skeleton of literature" ("EN" 5). The breaking down of previous genres led to the fluid and ever changing the novel genre. Korkut draws attention to parody's essentiality to the novel and its "double-coded nature" that includes dialogism, polyphony and heteroglossia; thus, it breaks down a "dominant unitary discourse" and "monologic integrity" (71). Bakhtin claims that parodic forms that marked the beginning of the novel occurred originally with the "ridiculing of another's language and another's direct discourse" ("FPND" 50) in folkloric works or some genres which are regarded to be low. Parodying one's speech means awareness as to language structure and multiple usage of language structures; therefore, Bakhtin argues that parody and the interaction of discourses in these low genres marked the transition from epic to the novel, and thanks to parody and self-

reflexivity, the novel becomes "a genre that is both critical and self-critical" ("EN" 11).

Parodic representations manifest themselves in the novelistic hero's image as well. The hero's inadequacy for his/her position results in a discrepancy between who the novelistic hero is, and how he/she is seen by others, leading to crises and conflicts within his/her self and with society. This mismatch in the position of the hero and his/her vision of himself/herself is the beginning of laughter. What the novelistic hero assumes himself to be is not how he/she is seen to be, or the person he/she is, and this is a comical situation, as it can be typically seen in Don Quixote's thinking of himself as a chivalric hero while he is actually seen by others as a mad man. This is what Bakhtin calls "parodying-travestying discourse" ("FPND" 59), through which the hero is parodied. He discusses how parody breaks down hierarchies:

> These parodic-travestying forms prepared the ground for the novel in one very important, in fact decisive, respect. They liberated the object from the power of language in which it had become entangled as if in a net; they destroyed the homogenizing power of myth over language; they freed consciousness from the power of the direct word. . . . ("FPND" 60)

Parody breaks down the hierarchy between the represented object and contemporary reality. Additionally, through parody, the grim figure of the epic hero is freed from the dominating force of the myth over language and becomes a laughable figure. Comical elements bring the elevated world of epic, including its grand language, glorious past and formidable hero, down to the level of the contemporary reader:

> The present, contemporary life as such, "I myself" and "my contemporaries," "my time" – all these concepts were originally the objects of ambivalent laughter, at the same time cheerful and annihilating. It is precisely here that a fundamentally new attitude toward language and toward the word is generated. Alongside direct representation – laughing at living reality – there flourish parody and travesty of all high genres and of all lofty models embodied in national myth. The "absolute past" of gods, demigods and heroes is here, in parodies and even more so in travesties, "contemporized": it is brought low, represented on a plane equal with contemporary life, in an everyday environment, in the low language of contemporaneity. ("EN" 21)

Through parody, the demi-god figure of the hero is brought down to earth from its blissful ancient world. Laughter destroys the hierarchy of the epic distance of the hero by "uncrowning" ("EN" 23) the hero, turning him/her into a figure of comedy. As

Bakhtin suggests, "Laughter destroyed the epic distance; it began to investigate man freely and familiarly, to turn him inside out, expose the disparity between his surface and his center, between his potential and his reality" ("EN" 35). A distant image cannot be laughable, it must be brought closer to investigate thoroughly and the best way to achieve this closeness is to destroy the distance between the hero and the reader through laughter. The hero becomes closer to readers and turns into a more believable and relatable figure as parody liberates the hero from the constraints and moulds of epic.

Bakhtin also argues that polyglossia and heteroglossia contribute to the life-like representation of the novelistic hero. Polyglossia, co-existence of multiple languages, has always existed, but Bakhtin holds that only after several different languages were introduced throughout Europe, active polyglossia was achieved. These languages include "territorial dialects, social and professional dialects and jargons, literary language, generic languages . . ." ("EN" 12), and they interact with each other and affect one another. Bakhtin presents a background as to the emergence of polyglossia: "Polyglossia and the *interanimation of languages* associated with it elevated these forms [prenovelistic forms] to a new artistic and ideological level, which made possible the genre of the novel" ("FPND" 50-51). The shift from languages' peacefully existing together to their interaction marked a change in the relationship between the language and the represented object. Contrary to "closed and deaf monoglossia" ("EN" 12) in conventionalized genres like epic, the polyglossia of the novel represents various people, objects and worldviews in their varied realities.

Deeply connected with polyglossia, heteroglossia is an important linguistic feature for the image of the novelistic hero according to Bakhtin since he calls it the "basic distinguishing feature of the stylistics of the novel" ("DN" 263). Heteroglossia is a set of governing forces that determine the meaning of an utterance. Bakhtin argues these forces might be "social, historical, meteorological, physiological" (*DI* 428), indicating the effect of context on textual meaning. Bakhtin holds that heteroglossia is a site where centripetal and centrifugal forces conflict. They can be called conflicting forces within one language, literary and extra-literary. While centripetal forces aim to unify and centralize language, centrifugal forces try to disunify and vary language. Bakhtin claims that novel represents these inner conflicts within language and among

discourses. It always witnesses the unifying or the stratifying force struggling to shape meaning; therefore, it always follows language and language's shifts through time. Heteroglossia is essential for the novel as it entails generating meaning by using another's words to give a personal message, and to make meaning from an utterance and decoding a message require having knowledge as to the context (Morris 75). As Bakhtin argues, "Every utterance participates in the 'unitary language' (in its centripetal forces and tendencies) and at the same time partakes of social and historical heteroglossia (the centrifigural, stratifying forces)" ("DN" 272). Bakhtin argues that heteroglossia does not function on its own because "The speech diversity within language thus has primary importance for the novel. But this speech diversity achieves its full creative consciousness only under conditions of an active polyglossia" ("FPND" 68). Therefore, it is impossible to imagine heteroglossia without polyglossia.

The remaining linguistic features of the novel, polyphony and dialogism, are complementary traits, so they will be explored together. Polyphony in the Bakhtinian sense stands for "more-voicedness of texts in which characters and narrator speak on equal terms" (Vice 6). The novel gives freedom to its hero and other characters to speak up for themselves. In contrast to the "homogenizing power of myth over language" ("FPND" 60) in epic, the voices of characters in the novel are not dominated by that of the author. Therefore, there is the multitude of voices, and the novelistic hero is represented through a variety of voices. Bakhtin explains this multitude of voices and the democracy among them as "the decisive and distinctive importance of the novel" ("DN" 332), and thanks to this variety and freedom, the novel creates speaking heroes with different viewpoints. The other aspect dialogism, "the organizing principle of both polyphony and heteroglossia" (Vice 50), entails that meaning is always in negotiation with other meanings. Dialogism is the "epistemological mode of a world dominated by heteroglossia" (*DI* 426); in other words, every meaning should be understood as a part of greater body of meaning. Thus, there are constant interactions among meanings, which problematizes the idea of a pure monologue in the world of epic in which meaning is the continuation of the unified worldview.

The linguistic aspects that Bakhtin mentions, which are heteroglossia, polyglossia, parody, polyphony, dialogism and the usage of daily language, creates "novelness:"

> They [novelized genres] become more free and flexible, their language renews itself by incorporating extraliterary heteroglossia and the "novelistic" layers of literary language, they become dialogized, permeated with laughter, irony, humor, elements of self-parody and finally – this is the most important thing – the novel inserts into these other genres an indeterminacy, a certain semantic openendedness, a living contact with unfinished, still-evolving contemporary reality (the opened present). ("EN" 7)

The inclusion of these linguistic aspects results in the novelistic hero's representation as a vivid, relatable and life-like figure. Most importantly, the novelistic hero resides in a world that has no finalized meaning. Therefore, the novelistic hero is still searching and still developing, and has close contact with contemporaneity. This fluid and open nature of the novelistic hero can also be seen in his/her representation within time and space.

2.2.3 Time and Space

As pointed out earlier, Bakhtin thinks that the novel and epic are not simply two different genres, but they are in fact two "diametrically opposed expressions of reality" ("DN" 274). Their distinction is best reflected in these genres' approach to time and space, which shapes the epic hero and novelistic hero, and marks their difference. The novelistic hero and his/her representation in time are radically different from that of the epic hero. While the epic hero is a finalized figure residing in a closed circle of the past, the novelistic hero is a life-like figure due to the genre's close contact with the present. Bakhtin argues that this figure of the hero originates from the novel's relationship with time. The novel represents events and characters on the temporal level of readers, which is revolutionary according to Bakhtin: "To portray an event on the same time-and-value plane as oneself and one's contemporaries . . . a radical revolution, and to step out of the world of epic into the world of the novel" ("EN" 14). This temporal representation is a radical turn as it affects every aspect of the genre, primarily the hero by bringing him/her close to reality. Due to this close connection with contemporaneity, "The novel is the only developing genre and therefore it reflects more deeply . . . reality itself in the process of its unfolding" ("EN" 7). Since reality is an ever-changing concept, the novel changes and develops with it, so does the novelistic hero. In other words, the temporal aspects of the novel result in a flexible

and developing figure of the hero. Bakhtin summarizes the temporal features of the novel that situate the novelistic hero in contemporary reality:

> (1) its stylistic three-dimensionality, which is linked with the multi-languaged consciousness realized in the novel; (2) the radical change it effects in the temporal coordinates of the literary image; (3) the new zone opened by the novel for structuring literary images, namely, the zone of maximal contact with the present (with contemporary reality) in all its openendedness. ("EN" 11)

Polyphony and heteroglossia in the novel bring out a developing, contemporary and vivid image of the novelistic hero. Due to the novel's close connection with contemporaneity, the figure of the novelistic hero is on the same level with the contemporary human. In addition to polyphony and heteroglossia, humor is another novelistic linguistic aspect that establishes connection with contemporaneity and leads to the fluid and relatable feature of the novelistic hero. As Bakhtin explains, "The plane of comic (humorous) representation is a specific plane in its spatial as well as its temporal aspect. Here the role of memory is minimal; in the comic world there is nothing for memory and tradition to do. One ridicules in order to forget" ("EN" 23). These devices are absent in the epic heroes' representation because the epic heroes belong to the past, the valorized time. They are created to be "preserved in the memory of descendants" and to be "projected on to their sublime and distant horizon" ("EN" 18). Thus, the epic hero is always in the cemented past and in the "absolute conclusiveness and closedness" ("EN" 16) of epic. The epic hero is the product of this world of the ancient past; thus, there is no possibility for the epic hero to change, so epic hero cannot evolve into the time of future readers. Therefore, the epic hero is presented to the readers in his ready-made form; there is no aspect in his character to develop or change. Such a difference also stems from the bases of epic and the novel. The basis of epic is memory; therefore, the epic heroes are created for the collective memory to be passed onto the posterity. On the other hand, the basis of the novel is knowledge; therefore, the novelistic hero should be seen from multiple viewpoints and should have an ideological stance. These two aspects require the hero to be close to the reader, and this closeness is achieved through laughter, the ridiculing of the hero, and the genre's closeness with contemporaneity. The novel conceptualizes time

differently than epic does, and represents the events and characters on the same temporal plane with readers:

> This leads to radical changes in the structuring of the artistic image. The image acquires a specific actual existence. It acquires a relationship – in one form or another, or to one degree or another – to the ongoing event of current life in which we, the author and readers, are intimately participating. This creates the radically new zone for structuring images in the novel, a zone of maximally close contact between the represented object and contemporary reality in all its inconclusiveness – and consequently a similarly close contact between the object and the future. ("EN" 30-31)

While the epic hero is located in the "absolute past" ("EN" 12), the novelistic hero can evolve into the time of contemporary readers because in the novel, the representation of the hero is on the same level of time and value with readers, which is a "revolutionary step" ("EN" 13) according to Bakhtin. Thanks to the novel's close relationship with contemporaneity, the novelistic hero steps out of the epic distance, and its frozen past, and enters into contemporary reality. Bakhtin calls this break-away from epic "a radical revolution" ("EN" 14) because the novel sets out "to portray an event on the same time-and-value plane as oneself and one's contemporaries (and an event that is therefore based on personal experience and thought)" ("EN" 14).

Contrary to the "absolute past" characterizing the epic world, the novel is connected to the present. Bakhtin argues, "From the very beginning, then, the novel was made of different clay than the other completed genres" ("DN" 330). The novel has its own conceptualization of time and space, which differentiates it from other genres. Contrary to the "ossified conventionality" of the epic world, the world that the novel presents has a contact with the contemporary world because the novel has "a zone of maximal proximity" with reality ("EN" 23), which enables the novel to keep up with the present. Due to its receptiveness towards contemporaneity, the novel as the genre of becoming keeps up with the contemporary world and evolves along with it. Eagleton presents an argument parallel to Bakhtin's comparison of epic and the novel in terms of time:

> The novel resembles the classical epic in its consuming interest in narrative, dramatic action and the material world. It differs from it, however, in being a discourse of the present rather than of the past. For the novel is above all a *contemporary* form, as its

very name suggests. . . . The novel is the mythology of a civilization fascinated by its own everyday existence. (6)

The fascination with the everyday existence is reflected in the novelistic hero's constant search for himself. The hero is incomplete and imperfect like human beings; therefore, he/she changes along the narrative, affected by his/her experiences. In the beginning of the novelistic adventure, the hero is a static character who is not marked above any other human being. As the story unfolds, the adventure changes the novelistic hero's character, mindset and attitudes. What is worth noticing about the novelistic hero is that at the end of the adventure, the person the hero has turned into is not a perfect figure either; he/she is only different from the person he/she was initially. This change is for the better or worse; the hero might be wiser, or he/she might deteriorate in health, but there is a clear difference in the novelistic hero, and this change does not bring about perfection. Even if the adventure is over for that specific novel, and the hero has changed, he/she is still imperfect as any other human being is.

The novelistic hero evolves into the future while the epic hero stays in the sealed past. Bakhtin summarizes the relationship of the two genres with time, which reveals how the view of the hero changes accordingly:

Epic prophecy is realized within the limits of the absolute past (if not in a given epic, then within the limits of the tradition it encompasses); it does not touch the reader and his real time. The novel might wish to prophesize facts, to predict and influence the real future, the future of the author and his readers. ("EN" 31)

While the novel aims to reach the time of future readers, such an effort shows itself in epic only as prophecy, which again remains within the boundaries of the past. Epic has no sense of future, as the concept of time in epic is unified as any other concept is in epic. The concern for future readers is beyond comprehension for the epic world while in the novel, haunted by the past and harrowed by the future, the novelistic hero clings to the fluidity of the present. The novelistic hero's relationship with the present initiates his/her development through adventure. Bakhtin argues that the popularity of the novel genre stems from its representing the world in the making; it is "the only genre born of this new world and in total affinity with it" ("EN" 7). The novelistic hero is close to contemporaneity because, "Only that which is itself developing can

comprehend development as a process" ("EN" 7). The novelistic hero changes constantly also because of the concern for the future in the novel. Bakhtin argues that humanness always entails changing and a sense of inadequacy; "There always remains an unrealized surplus of humanness; there always remains a need for future, and a place for this future must be found. All existing clothes are too tight, and thus comical, on a man" ("EN" 37). The current position of the novelistic hero in the story is never enough for him/her, so he/she always changes.

Morris defines the novel's conceptualization of time as "a process of becoming" (180), so the novelistic hero changes as time passes. On the other hand, the epic hero stays static because his fate, duty and character are all fixed. Unlike epic's idealization of the past in a hierarchical and distanced way, the novel deals with the present. Therefore, through this temporal conception, the novel is "associated with the eternally living element of unofficial language and unofficial thought" ("EN" 20). As a result, the novelistic hero lives in the present and evolves into the future while the epic hero belongs to an ancient inaccessible past. Additionally, the time understanding of the novel affects the hero's image in the beginning and the end. Bakhtin argues that epic is indifferent to beginnings and endings. He gives the example of the *Iliad* as it is only a limited part of the Trojan story, and its ending is hardly a conclusive one in the novelistic sense ("EN" 32). On the other hand, beginnings and endings are important for the novel, due to the modern conceptualization of time as linear. Therefore, the novelistic hero in the beginning of the story and the hero in the end should not be the same person, as the readers would expect a change and a difference in the hero in the course of the story ("EN" 31-32). It is, however, worth noting here that the importance given to beginnings and endings is not a characteristic of all types of novels, and especially in postmodernist and experimental novels strict adherence to introductions and conclusions is not followed. Bakhtin's discussion here holds true mainly for realist novels.

In addition to temporal conceptualization, the novel is distinct from epic in terms of spatial conceptualization. The distinction between the epic and novelistic perception of space lies in the idea that space is not divided by borders in epic since space is a part of the unified and coherent epic world while in the novel the separation among zones are clear-cut, as it can be seen in political borders or in the distinction

between private and public places. The study of space is especially important for analyzing novels since "All the novel's abstract elements . . . gravitate toward the chronotope and through it take on flesh and blood" ("DN" 250), which is primarily important for fantasy fiction as the setting usually has a symbolic meaning. The importance of space can be seen in the practice of providing maps in the beginning of fantasy novels. Apart from Tolkien's trilogy and his many other fantastic novels, the novels such as the *Metro* series, Mieville's Bas-Lag series and Martin's *A Song of Ice and Fire* series are some other examples that open with maps. Before the story is presented, maps meet the reader first. Maps do not only break the magical territory into specific zones, but they also mark the beginning and ending points of the story. Such an understanding of space affects the hero as well because the novelistic hero has to initiate and finalize his/her journey, and he/she has to tread the landmarks along the quest and reach maturation. In other words, the novelistic hero has to develop and change along the story by taking a trip through specific places pointed in the map and to get over trials by performing tasks.

In his essay "Forms of Time and of the Chronotope in the Novel," Bakhtin discusses basic forms of the chronotope that can be found in ancient forms of the novel and argues that these chronotopes are important for being "the organizing centers for the fundamental narrative events of the novel" ("FTCN" 250). From the ancient forms of the novel to the realist novel, the chronotope follows a path from abstraction to realism, affecting the representation of the hero along the way. In the Greek novel, the adventure-time leaves no trace on the heroes, nor changes them, as events are marked by random occurrences and chance encounters. Therefore, the chronotope becomes a "naked, abstract expanse of space" ("FTCN" 100) which Bakhtin defines as the most "abstract" and "static" of the chronotopes" ("FTCN" 110). The hero does not have an initiative while non-human forces determine his/her fate. Out of the trials, the hero goes out unaffected. He/she is a fully exteriorized figure in the Greek romance. In chivalric romance, on the other hand, the hero is closer to the epic hero as he goes after the adventure unhesitatingly for the chivalric code. Although chivalric heroes are "*individualized*" ("FTCN" 153) in contrast to the Greek novel, there is no gap between the hero and the outer world in chivalric romance. For the adventure-everyday novel, Bakhtin gives the example of *The Golden Ass* in which the hero metamorphoses into

an ass. It is different from the Greek novel in that it offers differing versions of the hero; therefore, a varying and an evolving figure of the hero is presented in the adventure-everyday chronotope. The stock figures of the hero come to be varied with the employment of the rogue, the clown and the fool during the Middle Ages ("FTCN" 158). The internal man was introduced through these characters, and they appeared in the picaresque novel for which Bakhtin offers an extensive list of novelists including Cervantes, Swift, Fielding, Sterne and Dickens ("FTCN" 164). Among these, Bakhtin places special importance on *Don Quixote* for parodying the chivalric romances because parody is one of the aspects that break the unity between the human and outer world. Similarly, he argues that Rabelais's work is ultimately important in generating the living figure of the hero through the employment of the grotesque, humor and parody, and creating the contemporary figure of the novelistic hero.

In "Forms of Time and of the Chronotope in the Novel," Bakhtin introduces chronotopes that can be encountered in the novel, which can be listed – though not exclusively – as, the chronotope of encounter ("FTCN" 243), the chronotope of the threshold as a crisis or break in life ("FTCN" 248), the chronotope of nature ("FTCN" 250), the chronotope of the road ("FTCN" 243), the chronotope of the castle ("FTCN" 245), and the chronotope of the parlor for the emergence of dialogues, ideas and passions of heroes, provincial towns, and language itself for being inherently chronotopic ("FTCN" 246).

For the purposes of this study which aims to explore the epic and novelistic characteristics of the heroes in *The Lord of the Rings* trilogy, the chronotope of the road and the chronotope of the threshold will be focused on. The chronotope of the road is unique for combining the distance covered and time spent at the same time. The road chronotope is of primary importance for its literal and symbolic meaning for quest narratives of fantasy fiction because the road is intrinsic to the adventure through which the hero develops. Bakhtin points out that the chronotope of the road also acts a meeting point since it creates opportunities for the hero to meet different characters ("FTCN" 243). The road does not only bring about the development of the hero, but it also brings about the meeting of various characters from different social backgrounds that would not meet if it were not for the road, and they create the polyphony of the novel. In addition to the chronotope of the road, the chronotope of the threshold will

be within the scope of this study. Bakhtin defines this type of chronotope as "highly charged with emotion and value" ("FTCN" 248) because it marks a crisis point or a break in characters' life. Like the road, the threshold has both literal and symbolic meanings because it implies a transition point in the hero's development and entails "falls, resurrections, renewals, epiphanies, decisions that determine the whole life of a man" ("FTCN" 248). This specific kind of chronotope is included in this study because it marks hallmarks in the hero's development and times when the hero is given choices, and he/she makes a decision, which underlies the novelistic hero's changing nature and agency.

CHAPTER 3

CHARACTERISTICS OF THE HERO IN
THE LORD OF THE RINGS TRILOGY

For the purposes of probing the hero in *The Lord of the Rings*, a synopsis of the trilogy will be of use. The trilogy has a complex plotline that is divided into two, and later into three as characters take a different route from their company. Especially due to Tolkien's meticulous care for giving a backstory to each character and event, which can be seen in numerous prequels and sequels to the trilogy, any attempt to summarize *The Lord of the Rings* entails giving up on artistic parts that mark the uniqueness of the story. The first volume, *The Fellowship of the Ring*, begins in medias res, with the birthday party of Bilbo Baggins, who is Frodo's uncle and the carrier of the One Ring for a long time. He loves stunning people around himself, and at this party, he vanishes before his guests by putting the Ring on, jeopardizing the secrecy of the Ring. As later Gandalf the Wizard will reveal, the Ring should be hidden from its creator, Sauron the Dark Lord. Sauron has started to gain his power after the loss of his Ring, so he is seeking it fervently to fully regain his power and rule Middle earth. After the party, Gandalf visits Frodo and reveals to him the real nature of the Ring and the growing danger by the Dark Lord and tells Frodo that he should take it from Bilbo. As the final ring-bearer, he should carry it across Middle Earth to Mount Doom and destroy it by throwing it into boiling lava before Sauron detects the place of the Ring. Frodo protests at this obligation greatly, but Gandalf warns him that it is the Ring that wants him as the new bearer and orders Bilbo to hand the ring over to Frodo. Frodo is now burdened both by the Ring, and by the chore of carrying it down to Mount Doom. In his journey, he will be accompanied by Samwise Gamgee along with a fellowship that is founded for this quest in the Council of Elrond, consisting of Hobbits, (Frodo, Sam, Merry and Pippin), Men, (Aragorn and Boromir), an Elf, (Legolas), a Dwarf, (Gimli) and the wizard Gandalf.

The Fellowship of the Ring is led by Gandalf through the Mithril Gates; however, in the Bridge of Khazad-dûm, Gandalf falls off the bridge while fighting with the Balrog, which is a demonic figure. The company think Gandalf is dead; crestfallen by his loss, they seek refuge in Moria. After his loss, the company starts to crack; finally, Boromir falls victim to the Ring's power and tries to snatch it from Frodo by threatening him with assaulting him. Frodo manages to escape from him, turning invisible by putting the Ring on. In the meantime, the rest of the company, Aragorn, Legolas and Gimli lose Merry, Pippin and Boromir, who are struggling with an Orc attack. Merry and Pippin really get lost while running away from the Orcs, and Boromir drops dead trying to protect the Hobbits from the Orcs. Aragorn finds him giving his last breath under a tree. Frodo and Sam, unaware of what the others are going through, decide to follow a separate path from them towards Mount Doom after facing Boromir's temptation. In this way, the Fellowship falls apart, marking the end of *The Fellowship of the Ring*.

In *The Two Towers*, Merry and Pippin, separated from Aragorn, Gimli and Legolas while running from the Orcs, come across the Ents. This tree-like race's habitat has been destroyed by Saruman the Wizard, who, like Sauron, craves for the One Ring. The rest of the company encounter the Riders of Rohan, who give their horses to them so that they look for the Hobbits more easily. While travelling, they see an old man resembling Saruman, but he turns out to be Gandalf, who is now Gandalf the White. After catching up with one another's doings, they travel to Rohan to persuade the king Théoden so that he allies with them against Sauron. They become allies and decide to reason with Saruman before making an assault on him, considering his bright past as Saruman the White, the head of wizards, so they head towards Isengard. When they enter the city, they find the wrecks and encounter Merry and Pippin as well. Merry gives them the account of the Ents' marching towards Isengard where they capture Saruman in Orthanc. The company enter the tower to converse with Saruman, and he tries to distract them with his sweet compliments. Though they warn him against the consequences of his dark schemes, Saruman does not step back. As the company is about to depart, Wormtongue, Saruman's right-hand man, throws a Palantír, a seeing stone, towards the company. Pippin looks through it, unable to resist his curiosity. He meets the eye of the Ring's creator Sauron, which strikes him

like a lightning. Furious at Pippin's attracting Sauron's attention to the company, Gandalf snatches the shaken Hobbit, and rides with him towards Minas Tirith, a city in Gondor.

To return to the part of the ring-bearer and his companion, Frodo and Sam take on a solitary road and enter a dead end where they cannot figure out which way to head. Then, they catch Gollum, from whom Bilbo had taken the Ring, creeping upon them, and they tie him down. Though Sam wants to get rid of him right away, Frodo makes him swear to become his servant and lead them to the right way towards Mount Doom. During the mayhem that occurs in the battle between Rangers of Ithilien and Southrons, Gollum sneaks away. While he is absent, Faramir, the head of the Rangers, hosts Frodo and Sam, and warns Frodo against Gollum. However, Frodo keeps trusting Gollum, and after his return, Gollum leads them to the wrong road to make them prey to the spider-like female monster Shelob so that he snatches the Ring from Frodo. Frodo gets a serious wound by her sting, but Sam manages to shove Gollum off from Frodo lying unconscious. He shows no sign of life, so Sam thinks him to be dead and takes up the Ring in misery to bear it on his own to Mordor. However, he returns not standing the idea of leaving Frodo's body with the Orcs. While hiding with the Ring on, he eavesdrops on the Orcs' talk and finds out that Frodo is not dead, but only unconscious.

The Return of the King, as its glorious title suggests, entails the final battle, the end of the quest and Aragorn's coronation as the King of Gondor. Gandalf arrives at Minas Tirith with Pippin and spreads the word about the approaching war. He meets Denethor there, who is the father of Boromir and Faramir. His mental faculties seem to have eroded due to Sauron's meddling with his mind, as it can be seen later in his trying to set himself and Faramir on fire, which ends up in his death. Meanwhile, Aragorn sets out towards Paths of Dead to gather the army of the dead, as he is destined to do while others join forces with the armies of Gondor and Rohan against the armies of Mordor to defend the city Minas Tirith in The Battle of the Pelennor Fields. Éowyn, Théoden's niece, joins the battle disguised as a male warrior due to others' leaving her behind all the time. She fights with the witch king of Nazgûl and slays him with Merry's help. After the battle, Aragorn heals the wounded with his healing powers.

Then, in the leadership of Aragorn and Gandalf, the troops are led towards the Black Gates of Mordor to distract Sauron's and his army's attention from Frodo.

As for Sam, he follows the Orcs who have taken Frodo's body. Frodo starts to gain consciousness, but the Orcs hold him hostage and torture him to make him reveal his identity. Sam manages to save him from them, and they escape disguised as Orcs, and they resume their journey towards Mount Doom. However, Frodo is physically and mentally drained by bearing the Ring, and its evil force makes its presence on him felt more than ever. Finally, they reach the Crack of Doom, but Frodo falls victim to the power of the Ring and gives up on destroying it by claiming it his own. Although he goes invisible by putting the Ring on, Gollum jumps on Frodo to snatch it from him. Gollum bites Frodo's finger with the Ring on. During this grappling, Gollum falls into the boiling lava holding his "precious" Ring. The One Ring is destroyed forever, and the earth and heavens are shaken by its force. Sauron feels his defeat, so his armies retreat. Frodo and Sam are rescued by the eagles sent by Gandalf from Mount Doom. Later, Aragorn is crowned as the king of Gondor and gets married to Arwen, followed by Éomer and Faramir. After their journey back home, to the Shire, the Hobbits find a whole different place under the tyranny of Sharkey, who turns out to be Saruman. He has got the Shire under his control by his militia force and deforestation to turn the Shire into an industrial place. Merry and Pippin organize other Hobbits and lead a revolt and attack against Saruman and his men. Eventually, they capture Saruman and Wormtongue, but Frodo decides to let them go. As they are about to depart, Gríma the Wormtongue kills Saruman because he cannot endure his constant accusations and humiliations. In time, with Sam's great effort, the Shire is restored back to its former quiet and fertile state, and the Hobbits, except for Frodo, return to their former life. Only Frodo cannot adapt back to the life in the Shire. He grows silent and withdraws himself to his house avoiding others' company because of the wounds of his old burden. Eventually, he decides to set out towards the Grey Havens with Bilbo, Gandalf and Elves. Sam bids farewell to Frodo and returns to his family in the Shire, marking the end of *The Lord of the Rings* trilogy.

As it can be seen in this synopsis, throughout the trilogy, some heroes such as Frodo, Sam, Merry, Pippin, Gandalf, Aragorn and Legolas come to the fore in terms of the emphasis given to them within the narrative and the crucial roles they take during

the heroic tasks. Frodo is on the focus as the main hero; however, it is impossible to talk of a single hero for *The Lord of the Rings* trilogy because Frodo is helped out by many others in his quest. Among his helpers, Merry, Pippin and especially Sam bear importance since they accompany Frodo during his wanderings. Gandalf, Aragorn and Legolas require a survey as well since they organize battles and plan the journey, which assists Frodo greatly by diverting Sauron's attention from him. Additionally, Gandalf, Aragorn and Legolas belong to different races and have separate attributes. Gandalf is a wizard; Aragorn is the heir of Isildur and prophesied to become a king, and Legolas is an Elf expert in archery. Juxtaposing these diverse heroes in terms of their heroic characteristics and representation would give an insight into their novelistic and epic traits. At this point, it is worth mentioning that the prequel of the trilogy, *The Hobbit*, is excluded from this study in that the main hero and the majority of his companions are not introduced in *The Hobbit* yet, and the protagonist of *The Hobbit*, Bilbo, is given a limited space in the trilogy. For the purposes of having a consistent analysis of the same heroes, this study focuses solely on *The Lord of the Rings* trilogy. In the following sections of this chapter, through a Bakhtinian lens, in terms of heroic characteristics, the treatment of the heroic ideal and quest narrative and employment of multiple heroes, these heroes of the trilogy will be surveyed in order to find out to what extent they display qualities of the novelistic hero and to what extent they portray characteristics of the epic hero.

Bakhtin lists the defining traits of the novelistic hero as bearing conflicting traits unlike the epic hero; learning from experiences; and, acting for the contemporary world the way the epic hero acted for the ancient times ("EN" 10). In other words, the novelistic hero establishes a connection for contemporary humans to see their reflection in literature through the hero's conflicting traits and flexible nature that lead to a change in his/her personality and worldview. It can be argued that *The Lord of the Rings* trilogy presents certain heroes that are in line with the qualities of the novelistic hero which Bakhtin lists throughout his essays in *The Dialogic Imagination*. Firstly, the trilogy hosts some heroes that are quite unheroic by any definition. The main hero, Frodo, and his companions are of the Hobbit-folk. This folk can be defined as a species of men, but of a lesser stance in terms of physical qualities and lifestyle. Their physical descriptions throughout the trilogy present them as of dark complexion, short and stout

torso and a "flabby" (*FotR* 67) look. They prefer bright and natural colors, mostly yellow, brown and green, in their clothing, and need no shoes as they have woolly feet, which are attributes reminiscent of animals. Similarly, they reside in "holes in the ground" (*FotR* 6), not in houses in the traditional sense, and engage in gardening and small-scale hand-made works or writing memoirs and stories as Bilbo and Frodo do. Due to their shortness, the Hobbits, Frodo, Sam, Merry and Pippin, feel too small at times (*TT* 750), especially when they are among taller folks such as Elves or Orcs, and they appear as "four small figures that many men marveled to see" (*RotK* 945) and like "kids" (*TT* 746) to the Men as well. The Hobbits mature at a quite older age; thirty-tree is the coming-of-age for male Hobbits, which explains their childish attitudes in the first volume of the trilogy. Their general attitude is described as "unobtrusive" (*FotR* 1), so it can be inferred that they like peace and quietness and avoid danger by their nature. Since they are not apt to adventure, they rarely leave their surroundings. To illustrate, Sam, Frodo's companion, only has the knowledge of "the land well within twenty miles of Hobbiton, but that was the limit of his geography" (*FotR* 70). In addition to these timid qualities, the Hobbits are not a folk that are known for their warfare skills and martial intelligence as Dwarves are, or they do not have extraordinary traits like the Elves do. Again, Sam's depiction suggests the same, as he is described to have a "slow but shrewd mind" (*TT* 625), and he is a "slow stupid hobbit" (*TT* 710). This description of Hobbits so far is anything but heroic especially when the traditional representation of the hero in epic is considered. The epic hero is formidable and mighty in his physical qualities as well as in his personality because the hero is created for heroic ideal and adventure. In the trilogy, the Hobbit heroes' physical traits and characteristics are not heroic in the traditional epic sense, nor do they seem fit for facing atrocities, which makes them closer to novelistic heroes.

In *The Lord of the Rings* trilogy, the unheroic traits of the heroes entail their portrayal in everyday activities and the foregrounding of their bodily traits. Especially certain heroes are represented in quite trivial and ordinary actions that would be surely left out of an epic narrative. These everyday elements employed in the heroes' representation include unheroic situations and human traits such as hunger and fatigue. These aspects would be shocking to see in an epic hero while the heroes of the trilogy

are presented as human-like figures with instabilities and emotional fluctuations. Tracy explains the exclusion of bodily needs in the epic hero's representation as follows:

> the heroes are not represented as boldly fulfilling their own desires and impulses, especially those of a sensuous nature, but rather as achieving a triumph over their own passions for the sake of the ideal they embody. They have more than themselves to consider. They have a responsibility to which their personal wants must take second place. (80)

The epic hero is not portrayed in unheroic or human-related needs because his heroic task and devotion to the heroic code are more important than his corporeal presence. This lack in the human-related aspects of the epic hero distances him from the figure of an ordinary person. On the other hand, the novelistic hero can be seen in everyday actions and with bodily needs. Bakhtin defines the inclusion of these bodily needs as "the material bodily principle, that is, images of the human body with its food, drink, defecation, and sexual life" (*RHW* 18) and gives the example of Rabelais's work for the inclusion of these traits: "The great man in Rabelais is profoundly democratic. In no sense is he opposed to the mass, as something out of the ordinary as a man of the same generally human stuff as are all other men. He eats, drinks, defecates, passes wind . . ." ("FTCN" 241). He also gives the example of the "comic Hercules" ("FPND" 54) in the satyr plays and parodic-travestying forms in which his "heroism and strength are retained, but they are combined with images from the material life of the body" ("FPND" 55) through his being represented as the "monstrous glutton, the playboy, the drunk and scrapper . . . the mad man" ("FPND" 54-55). Such a representation of the hero makes him/her an ordinary figure without a superiority over others in terms of physical traits and character. That is why, the novelistic hero is a life-like figure while the epic hero is a demi-god figure. In the novel, the inclusion of these traits gives the message that these heroes are ordinary and relatable for contemporary humans.

The Hobbit heroes in *The Lord of the Rings* trilogy are in line with Bakhtin's description of the novelistic hero represented in unheroic and ordinary activities. The Hobbits bear novelistic hero traits also because they are often depicted sleeping and eating, which would be surely left out of an epic narrative. In the trilogy, the heroes' human-related needs like shelter, food and even bath are mentioned frequently. To illustrate, the Hobbits' happiness at finding a chance to have a bath at Crickhollow

(*FotR* 99) after their long walk is a remarkable instance of their bodily needs. They get so relieved that they compose a song praising bath at that moment. In fact, the heroes' constant walking disturbs all characters in terms of physical comfort because this leads to difficulties in eating, drinking and hygiene. At some point even Gollum complains, "'Sam stinks'" (*TT* 615) although he is accustomed to the odor of raw meat and unsanitary places. For example, Frodo too is disturbed by the difficulties of wandering, which can be seen in his longing for his feather-bed in the Shire and his blaming Sam for giving the heaviest pack to him (*FotR* 71).

Another aspect that is related to bodily needs is the frequent mentioning of the Hobbits' appetite. In the prologue, the Hobbits are introduced as a folk that loves eating and drinking (*FotR* 2). The Hobbits portray great hunger at times, and they are constantly shown eating or "nibbling" (*TT* 405) like an animal, which again suggests an unheroic quality with regard to epic. They engage in conversations about food occasionally; in one of them Frodo reveals that his favorite food is the mushroom. He later argues with his companions thinking they have taken his mushrooms (*FotR* 99). The Hobbits' fondness for food can be seen in Merry's waking up after an intense period of healing and saying first "'I'm hungry'" (*RotK* 815). Similarly, Sam longs for rabbit-meat ("Of Herbs and Stewed Rabbit" *TT* 634-648) and manages to cook stewed rabbit with herbs despite all the bad conditions. Sam even passionately argues with Gollum for his having no taste and eating slimy and raw things all the time.

While these human-related traits are widely employed in the Hobbits' representation, such elements are absent in some other characters' representation. Aragorn, "the hidden heir of the ancient Kings of the West" (*RotK* ix), Gandalf, the powerful wizard, and especially the Elves are the characters who never engage in such human-related aspects. One cannot see Aragorn or Gandalf complaining about difficulties of wandering or craving for food. Their bodily presence is not emphasized beside their high lineage. Similarly, the Elves seem to be devoid of all such human-related needs. Although the Elves are a fantastical race like the Hobbits, their qualities are more supernatural than those of the Hobbits. They do not need food or rest; for example, when Aragorn, Gimli and Legolas ride together to find Merry and Pippin, Legolas never sleeps but keeps watch while others are asleep. Additionally, the Elves are immortal as well. The inclusion of such demi-god traits puts the Elven heroes in

higher place than other heroes and makes them epic hero figures. In contrast to the Hobbit heroes, the lack of unheroic and bodily traits in the representation of Aragorn, Gandalf and Legolas suggests they are closer to the epic hero figure rather than the novelistic hero.

It can be observed that while Gandalf, Aragorn and Legolas bear epic hero traits in terms of the heroic characteristics, the heroes of the Hobbit race, Frodo, Sam, Merry and Pippin, display novelistic hero traits due their portrayal in unheroic and human-related situations. On the other hand, the representation of the Hobbits and their unheroic traits do not stay the same throughout the trilogy, and they act quite opposite of what is expected from them due to their bearing conflicting traits in their personality. The heroes in the trilogy change in accordance with their adventure and portray traits or actions that would not be expected from themselves. Despite their unheroic traits, they show great heroism engaging in dangerous quests, which is in line with Bakhtin's claim that the novelistic hero should bear conflicting qualities. The heroes portray such surprising qualities that even the most knowledgeable character, Gandalf, is startled at times. For example, upon Frodo's saying that he has always wanted to follow Bilbo in his adventures, Gandalf gets really surprised: "'My dear Frodo!' exclaimed Gandalf. 'Hobbits really are amazing creatures, as I have said before. You can learn all there is to know about their ways in a month, and yet after a hundred years they can still surprise you at a pinch'" (*FotR* 61). He reveals that he does not expect such an adventurous attempt from Frodo. In fact, not expecting heroic deeds from a Hobbit is a common view among the folks of Middle Earth. When Aragorn, Legolas and Gimli meet Éomer and the riders beside him while looking for Merry and Pippin, one of the riders chuckles when he hears that their missing friends are "Halflings." He says that these little men cannot survive in those perilous lands, but they can only exist in children's stories (*TT* 424). Aragorn averts this mockery humbly, saying that one can do both of these deeds. In fact, Aragorn's answer is like a summary of the in-between qualities and state of the heroes in the trilogy.

The chubby descriptions of the Hobbits might not portray them as physically formidable, but heroism resides in them as it is revealed in *The Fellowship of the Ring:* "There is a seed of courage hidden (often deeply it is true) in the heart of the fattest and most timid hobbit, waiting for some final and desperate danger to make it grow"

(*FotR* 137). To illustrate, Frodo draws a meek impression generally, and he does not jump into the battle without a blink. Nevertheless, when he and his companions are attacked by the Orcs, he draws out his blade Sting without hesitation and screams out "'The Shire!'" (*FotR* 316) and attacks the formidable Orcs. He wants to avenge his hometown, which is a trait reminiscent of the epic hero as revenge is a common theme in the works of epic. The sudden turn in his character surprises his companions, revealing that this is not an act that would be expected from him. Similarly, the amiable Sam slaughters one of the deadliest monsters in Mordor, Shelob (*TT* 712), after Frodo loses consciousness with her attack.

The hidden traits of the Hobbits surface in their actions as well as in the comments of other characters throughout the trilogy. While Frodo is recovering from the wound he gets from an Orc-knife, Aragorn consoles the grieving Sam: "Your Frodo is made of sterner stuff than I had guessed, though Gandalf hinted that it might prove so. He is not slain, and I think he will resist the evil power of the wound longer than his enemies expect" (*FotR* 193). Aragorn reveals that he would not expect such strength from Frodo, but he now sees that he has a deeper strength inside. Aragorn later admits, "I can only say that hobbits are made of a stuff so tough that I have never met the like of it. Had I known, I would have spoken softer in the Inn at Bree! That spear-thrust would have skewered a wild boar" (*FotR* 319). The Hobbits' endurance leads him to regret having treated the Hobbits too lightly in their first meeting. The conflicting traits in the hero's personality is also closely related to the third trait of the novelistic hero defined by Bakhtin, which is acting for contemporary humans as the epic hero once did. The novelistic hero acts as a bridge between the ordinary human and a literary work by reflecting their everyday and conflicting traits. A narratorial commentary in the first volume of the trilogy is important in this sense: "Courage is found in most unlikely places" (*FotR* 81). While heroic traits and heroism are determined by the fate in epic, in the novel, anyone can be the hero as long as he/she is faithful to the heroic task and endeavor to finish it. It appeals to the ordinary person and gives the message that humans, even the most unlikely ones, bear heroic qualities inside.

Unheroic and conflicting traits in the heroes' personality are important in understanding whether they carry novelistic or epic qualities. It can be argued that the

Hobbit heroes in *The Lord of the Rings* trilogy portray traits of novelistic heroes in the Bakhtinian sense due to their unheroic and conflicting characteristics. While such elements are extensively employed in the Hobbits' representation, they are absent in the representation of Gandalf, Aragorn and Legolas, who are the most serious and powerful characters, which brings the Hobbits closer to novelistic heroes while bringing Gandalf, Aragorn and Legolas closer to epic heroes. Similarly, the hero's treatment of the heroic ideal and the quest narrative would give an insight as to the novelistic and epic traits of the heroes in the trilogy as it will be discussed in the following section.

3.1 The Treatment of the Heroic Ideal and Quest Narrative

The Lord of the Rings trilogy's having the form of a quest narrative contributes to the shaping of the hero because the quest entails the hero's relationship with the heroic ideal, and it also includes such elements as the hero's trial, encounters with evil, erring, agency, change and development, societal relationships and homecoming. The hero's characteristics unfold over the course of these elements, which are of assistance in tracing the novelistic traits and epic traits of the hero. As indicated earlier, the trilogy can be defined a "portal quest fantasy" (Mendlesohn 1) because Frodo and his companions are transferred from an ordinary and homely setting, the Shire, to unfamiliar, magical and perilous zones of Middle Earth through the Ring's "call to adventure" (Campbell 45), i.e., with Frodo's being chosen as the ring-bearer. Frodo and his companions are ordinary figures in the beginning of the adventure, and they have no extraordinary traits either in terms of lineage, characteristics, or physical traits. In fact, the Hobbits are especially weak creatures in these respects. The heroes' responses to the call to adventure vary greatly because they either take up the heroic task involuntarily or unawares. The heroes cross a wide range of settings such as the forest, village, coast and mountain, and their journey extends over a long time. In contrast to the traditional quest narratives which are initiated for receiving an object of power back, Frodo's and his companions' quest is to destroy the One Ring. The heroes' journey is full of trials and encounters with evil, and they are tested along with them, which leads to their development, self-questioning and erring. These trials give Frodo and his companions a multitude of choices to steer the direction of their quest.

In general, as the hero has been developed enough to take up the final encounter with evil, quest narratives end with the hero's triumph. Frodo's finishing the quest, on the other hand, is a problematic one, and his success is highly debatable. The hero's quest in *The Lord of the Rings* trilogy is untraditional because at the end of the quest, the evil is not eradicated all together by the hero's achievement, and stability does not last forever. That is why, W.H. Auden remarks: "If there is any quest tale which manages to do more justice to our experience of social realities than *The Lord of the Rings*, I should be glad to hear of it" (qtd. in Lee and Solopova 41). In contrast to the happily ever after unified world of the epic, the heroic action that finishes the quest in the trilogy is problematic as well since the quest is not finished by Frodo but by Gollum, who does not intend to destroy the Ring at all and falls into the lava with it accidentally. This is no healthy ending or accomplishment of the hero's task. A similar problematization can be seen in Nostos. Traditionally, the defeat of the evil is followed by the hero's journey back home, where he/she settles down as a wise and mature person. Frodo's and his companions' homecoming are not glorious or smooth, either, which reveals the hero's problematic relationship with society. Chance explains the untraditional the quest narrative in the trilogy as follows:

> Instead of a hero who participates in a contest or battle between adversaries from differing nations to settle an issue, often of a territorail as well as moral nature, Tolkien substitutes small middle-aged Hobbits unused to figthing. . . . His conventional approach is one that valorizes the least heroic characters in the epic romance and thereby subverts its fantasy. This approach also deconstructs – unhinges – the medieval literary and heroic idealization of the epic romance. ("Tolkien and the Other" 172)

Similar to the quest narrative, the hero's treatment of the heroic ideal is important as well in revealing the novelistic and epic traits of the heroes because heroic traits mostly unfold in the treatment of the heroic ideal. Bakhtin argues that the epic hero is deeply connected to the heroic ideal, in fact, defined by it because he has nothing inside except for the heroic task, so the notion of the heroic action is intrinsic to the epic hero. The epic hero is in perfect harmony with the heroic code and devoted to the heroic ideal without a doubt. On the other hand, this is not the case for the novelistic hero because he/she is psychologically complicated as an individualized figure and bears conflicting traits. It can be argued that in *The Lord of the Rings* trilogy,

55

the hero and heroic ideal are not united in an epic sense. In the very beginning of the trilogy, the way heroes enter the quest is either involuntary or unconscious, so the treatment of the heroic ideal is problematic. Frodo is handed over the Ring by Gandalf because the Ring claims Frodo as the bearer. Frodo's being chosen reveals that he is thrown into the adventure without his planning or willingness; therefore, his relationship with the quest and heroic ideal is quite problematic. Moreover, what makes Frodo eligible to become the last ring-bearer who is going to carry it to destruction might be his powerlessness because when the mightiest characters face the Ring, they stay away from it claiming that in their hands the Ring will be even more dangerous. Gandalf, for example, gives an extreme reaction when Frodo tells him to carry the Ring. Similarly, Galadriel, the powerful Elf, turns down the Ring although Frodo wants to hand it over to her. Bakhtin argues that the epic hero is created for the heroic action; thus, he is bestowed such heroic traits. In Frodo's case, the hero is again chosen, but the heroism is reversed because Frodo's strength is his powerlessness. The reversal of the heroic ideal distances Frodo from epic traits and brings him closer to the novelistic hero.

The most overt example of the reversal of the heroic ideal can be seen in Frodo's panicking upon learning that he is the one to take up the Ring and end its existence: "'But it is terrible!' cried Frodo. 'Far worse than the worst that I imagined from your hints and warnings. O Gandalf, best of friends, what am I to do? For now I am really afraid. What am I to do?'" (*FotR* 58). Gandalf tries to comfort him saying he is chosen by the Ring and that should comfort and make him believe in himself, but Frodo replies that the Ring's choosing him does not help him at all (*FotR* 55). Apparently, Frodo is intimidated by the heroic task and is not ready to take it up yet. Frodo never accepts his duty without any doubt because he knows that he will be risking his life; he is in no condition to think of the general well-being of his community. He is so disturbed by this task that he even wishes the Ring had never been found. His reaction and avoidance from the danger are also in line with the general qualities of the Hobbits given in the prologue of *The Fellowship of the Ring* (1-15). Frodo's treatment of the heroic ideal makes him a novelistic hero because he is not selflessly and willingly taking up the heroic ideal for the wellbeing of his people as an epic hero would do.

The other three Hobbits, Sam, Merry and Pippin are different from Frodo in that they accept the heroic task willingly and even gaily. Merry and Pippin do everything they can to become a member of The Fellowship of the Ring. They greatly resent being left out from The Council of Elrond where the route and details of the quest are discussed. They envy Sam for being appointed as the ring-bearer's companion although Frodo tells that they should not because this is not a reward for Sam but a punishment (*FotR* 265). Sam, on the other hand, seems to be the most enthusiastic one among the Hobbits. When Gandalf tells him that he will accompany Frodo during his quest, he gets so happy that he is described "like a dog called to a walk" (*FotR* 63). He is naïvely excited by the prospect of meeting the Elves and seeing magical lands and creatures, so he accepts the sidekick position like a child taken to a park. However, the quest which the Hobbits enter so happily will prove far more perilous than they expected in the beginning. It turns out that they are not fully aware of what they have signed up for as their ideas about the quest change in time. Therefore, the Hobbits' taking up the heroic task is not either conscious or voluntary, which makes their relationship with the heroic task problematic and brings them closer to novelistic heroes.

The heroes do not glorify the heroic ideal and are not doubtlessly pursuing it; they do not stick to the heroic ideal at all times as they portray hopelessness, regret and even a desire to escape from duty, which problematizes their relationship with the heroic ideal. Frodo constantly voices his discomfort about the quest and calls it his "'doom'" (*TT* 590), his "'punishment'" (*FotR* 280) and wishes that the Ring had never been found (*TT* 891). He even tells Gandalf that he hopes he will find a better keeper for the Ring soon instead of him (*FotR* 61). Similarly, at times Merry and Pippin wish they had never joined the quest, and Pippin later confesses, "'I wish Gandalf had never persuaded Elrond to let us come'" (*TT* 434) although he was really enthusiastic at first to join the quest and he protested at others' excluding them from the quest. Additionally, when Gandalf says that they will either continue or return to Rivendell, the heroes' reactions differ: "Pippin's face brightened visibly at the mere mention of return to Rivendell; Merry and Sam looked up hopefully. But Aragorn and Boromir made no sign. Frodo looked troubled" (*FotR* 287). While Pippin, Merry and Sam feel

like returning at that moment, Frodo is hesitant while return is no option for Aragorn, Boromir and Gandalf, who gives this option only hypothetically.

Compared to the Hobbits, Gandalf, Aragorn, Legolas and Gimli are more resolute about the heroic ideal, although theirs is more like the mere acceptance of the heroic ideal for what it is instead of glorifying and praising it. They might not be complaining, but they also see it as something to be done with because they never say any praising words about the quest, nor do they complain about it. They also engage in the heroic action without hesitation, which is another aspect that brings them closer to epic heroes. In fact, they throw themselves into danger selflessly, like Gandalf's fighting with Balrog underwater (*FotR* 323), which is quite reminiscent of Beowulf's fight with Grendel's mother under the lake, or Aragorn's marching through Paths of the Dead resolutely although it is known that no one that has walked through that land has come out alive (*RotK* 768). In addition to their fixed heroic qualities, these aspects place them closer to the epic hero figure.

The hero's treatment of the heroic ideal can be surveyed in the emotional level as well. Most commonly, the heroes portray despair, frustration at obscurity and desire to escape. Due to the heavy burden of the Ring, Frodo feels despair occasionally and is forced to complete the action unlike the epic hero who is always enthusiastic to fight. In fact, at one point, Sam literally carries Frodo on his back because he cannot stand up on his own. Similarly, throughout the chapter "The Land of Shadow" (*RotK* 895-912), right before their reaching Mount Doom, Frodo creeps like a shadow and hardly says anything other than how bad his torment is: "'I can't go on Sam,' he murmured. 'I'm going to faint. I don't know what's come over me'" (*RotK* 894). He lacks motivation and mental and physical strength to continue the heroic act from time to time. At one point when he thinks the One Ring is lost, he even loses all his hopes as to the quest:

> 'They've taken everything, Sam,' said Frodo. 'Everything I had. Do you understand? *Everything!*' . . . 'The quest has failed, Sam. Even if we get out of here, we can't escape. Only elves can escape. Away, away out of Middle-earth, far away over the Sea. If even that is wide enough to keep the Shadow out.' (*RotK* 890)

He is again seized by hopelessness when he thinks of what is expecting him at the end of the quest: "'I do not think we need give thought to what comes after that.

To *do the job* as you put it – what hope is there that we ever shall? And if we do, who knows what will come of that? . . . I ask you, Sam, are we ever likely to need bread again?'" (*TT* 610). Frodo suspects if they will be alive after destroying the Ring, and his words move Sam so deeply that he weeps holding Frodo's hand. These moments of despair are not specific to Frodo only as even the most resolute character, Aragorn, and the most optimistic character, Sam, fall into despair from time to time. Sam manages to retain hope however dreary the situation is, but "black despair" comes over him occasionally, and he thinks that both Frodo and he had better to be dead together (*TT* 715) instead of being tormented that way. He also feels deep despair when he realizes the idea of the way back to the Shire has never occurred to him, and he grasps that return is impossible and loses all his hope (*RotK* 913). Similarly, Aragorn says that their quest may be in vain (*TT* 416) when they lose Gandalf and Boromir and lose track of the Hobbits. Faramir reveals the danger of the quest before parting with Frodo and Sam after hosting them, and farewells Frodo saying, "'If ever beyond hope you return to the lands of the living . . .'" (*TT* 678) implying that their never seeing each other is highly probable. Similarly, the song Éomer chants before summoning his men at the Battle of the Pelennor Fields is a symbolic one as it sums up the journey of the heroes in one line: "*To hope's end I rode and to heart's breaking*" (*RotK* 829), pointing out the insecure position of the heroes in the trilogy.

Tolkien defines this situation as "Hope without guarantees" (*The Letters of JRR Tolkien* 255), which is in line with Gandalf's comment on the probability of success in the quest:

> 'I have spoken words of hope. But only hope. Hope is not victory. War is upon us and all our friends, a war in which only the use of the Ring could give us surety of victory. It fills me with great sorrow and great fear: for much shall be destroyed and all may be lost. I am Gandalf, Gandalf the White, but Black is mightier than still.' (*TT* 489)

Another feeling that characters portray as to the quest is fear; to illustrate, Pippin observes Gandalf's deep fear while listening to Frodo and Sam's adventure from Faramir's account: "Gandalf's hands were trembling as they clutched the carven wood. White they seemed now and very old, as he looked at them, suddenly with a thrill of fear Pippin knew that Gandalf, Gandalf himself, was troubled, even afraid" (*RotK* 793). Hearing about the wrong routes the duo has taken and especially their

taking Gollum as their guide make Gandalf fear for their life although he is one of the most resolute characters. The same fear appears mixed with despair in Frodo's case as he is concerned about his wellbeing, and how he will manage his heavy burden. His constant complaints about his burden and not knowing where the road will lead him reveals his discomfort as to the quest. He, at times, wishes that his task could be easier: "'I wish there was a clearer path in front of us: then I'd go on till my legs gave way'" (*TT* 598). Similarly, he complains about the hardships and ambiguities of the quest: "'For where am I to go? And by what shall I steer? What is to be my quest? Bilbo went to find a treasure, there and back again; but I go to lose one, and not return, as far as I can see'" (*FotR* 65). Frodo is too puzzled by the quest and what is expected from him. The ambiguity of the quest and not being assured of success anger him. Unlike the epic hero, Frodo is not assured of his success, and he is not created for the heroic act, so he cannot foresee the ends of his efforts, which alienates him from the heroic ideal. That is why, Frodo is seized momentarily by the desire to leave the quest and its responsibilities behind and disappear by putting the Ring on: "Then a wild thought of escape came to him. He wondered if he put on the Ring, whether Barrow-wight would miss him, and his might find some way out. He thought of himself running free over the grass, grieving for Merry, and Sam, and Pippin, but free and alive himself" (*FotR* 139). He fantasizes about leaving his companions to death and saving himself by disappearing for a moment. Although he gets over this seizure, even the thought of it reveals how tired Frodo is of his heroic task.

The Lord of the Rings trilogy subverts the traditional notion of the heroic ideal through its heroes' problematic treatment of the heroic ideal, which is also seen in the heroes' display of pity and inaction as a part of the heroic act. In the epic sense, heroism entails ruthlessness towards the enemy and constant action. In the trilogy, heroism does not necessarily involve action since inaction too may stand for a heroic act. In contrast to the heroic act that entails monster-slaying in the epic, the hero's pity towards others is at the heart of *The Lord of the Rings* trilogy, as it is evident in Frodo's sparing Gollum's life. Just like his uncle Bilbo did before, Frodo forgives and spares Gollum's life many times although everyone around him, including Sam and Faramir, tells him that this is a mistake. Even Tolkien admits that this amount of pity would sound as folly to readers:

> At any point any prudent person would have told Frodo that Gollum would certainly betray him, and could rob him in the end. To "pity" him, to forbear to kill him, was a piece of folly, or a mystical belief in the ultimate value-in-itself of pity and generosity even if disastrous in the world of time. (*The Letters of JRR Tolkien* 99)

In fact, pity is shown as a part of the heroic action as Gandalf remarks, "It was pity that stayed his [Bilbo's] hand. Pity, and Mercy: not to strike without need" (*FotR* 58). The same pitying and concern for others can be found in Aragorn's approach to his men. When he looks at them, he does not see men at his command but people with a story and a life of their own:

> Aragorn looked at them, and there was pity in his eyes rather than wrath; for these young men from Rohan, from Westfold far away, or husbandmen from Lossarnach, and to them Mordor had been from childhood a name of evil, and yet unreal, a legend that had no part in their simple life. (*RotK* 868)

The soldiers at his command do not seem to him as men ready at his will but as individuals to whom Mordor has been a magical place, and Aragorn wonders how they feel in this foreign land. Similarly, Sam witnesses a battle between Rangers of Ithilien and the Southrons, which is described as "a battle of Men against Men" (*TT* 646). While he is watching, a soldier of the Southrons, which is the opposite side of the battle, falls dead. The description of the soldier is quite against the traditional description of an enemy. Sam feels sorry for the dead soldier: "He wondered what the man's name was and where he came from; and if he was really evil of heart, or what lies or threats had led him on the long march from his home; and if he would not really rather have stayed there in peace-" (*TT* 646). Sam wonders where he came from and what he bore once in his heart. He questions what led that man to the battlefield and if he can really be called evil. Sam's probing the notion of otherness or evil is quite novelistic because in epic the enemy is otherized and is not given thought by the hero.

The heroic ideal is also subverted when the heroes become successful unintentionally and without planning, and they reveal that they have no idea if their actions will be useful. In fact, at times not knowing the scale of events and spontaneity lead heroes to be successful. Frodo admits that he had no idea of the gravity of the danger when he passed through the Black Riders: "'Thank goodness I didn't realize

the horrible danger!' said Frodo faintly. 'I was mortally afraid, of course: but if I had known more, I should not have dared even to move. It is a marvel that I escaped!'" (*FotR* 216). On their way to the entrance of Old Forest, Frodo and his companions hide behind a cart but "They little thought how dangerous this part might prove" (*FotR* 106). Additionally, Sam climbs a cliff next to a fall, and Frodo is not sure if he is doing this out of "cold blood or more unwise" (*TT* 592). Gandalf also admits that he cannot tell if sending Frodo to destroy the Ring is a good choice: "'In wisdom or great folly it has been sent away to be destroyed, lest it destroy us'" (*RotK* 862).

The heroes' stance as to the heroic ideal is also important in that it entails the idea of trial. Bakhtin argues that as the epic hero is already fated to achieve greatness and endowed with demi-god qualities, the epic hero stays safe and intact during the trials he goes through during the heroic action. Testing affirms the epic hero's heroic stance (Morris 181). On the other hand, testing for the novelistic hero acts as a catalyst for the hero to develop. In line with Bakhtin's discussion, Lukács explains the difference between the epic hero's trial and the novelistic hero's trial as that the epic hero's "inner security is given a *priori*, beyond the reach of any test or proof" while the novel is "the story of a soul that goes to find itself" (Lukács 90). In other words, the novelistic hero has to find out who he/she is, while tackling with the trials, not knowing where they will lead him/her. The novelistic hero is not guaranteed to be successful by fate; therefore, the trials and the decisions the novelistic hero makes gain importance as they mark the course of events and the person the hero will evolve into.

The heroic ideal is also important as it affects other novelistic devices that revolve around the hero as Bakhtin holds, "The novel as a whole is conceived precisely as a test of the heroes" ("FTCN" 106), pointing out the importance of trial for the novelistic hero. Similarly, he argues, "The idea of trial permits a complex organization of diverse novelistic material around the hero" ("DN" 388). In fact, the hero's trial entails a variety of elements that would reveal the novelistic and epic traits of the heroes in the trilogy such as the hero's erring, encounters with evil, agency and change. The heroes' trial is also in line with heroic characteristics since it presents them as psychologically complicated and having conflicting traits. Galadriel looks deep in the heroes' heart to see the desires for which they might give up on the quest. Though she is in the interrogator role here, she goes through the same trial when Frodo offers her

the Ring, and she confesses that she has thought of possessing the Ring before. Later she says, "'I pass the test'" (*FotR* 357) hinting that this has been her trial. Similarly, Gandalf comments that he is as dangerous as any other character is while the characters are discussing if the Ent Fangorn is dangerous:

> 'Dangerous!' cried Gandalf. 'And so am I, very dangerous: more dangerous than anything you will ever meet. . . . And Aragorn is dangerous, and Legolas is dangerous. You are beset with dangers, Gimli son of Glóin; for you are dangerous yourself, in your own fashion. (*TT* 488)

Gandalf remarks that they all have dark and evil sides. That is why, trials reveal the deep dark sides of the heroes and their closeness to leaving the quest. The trial most commonly occurs when the characters are confronted with the Ring. The heroes' tackling with trials reveals that the heroes of *The Lord of the Rings* trilogy bear novelistic traits in the Bakhtinian sense as they have conflicting traits and psychological depth. This also challenges the common criticism that Tolkien creates characters in binary oppositions:

> But as anyone who has really read it could tell you, the initial semi-tribal apportioning of moral probity increasingly breaks down, as evil emerges 'among the kingly Gondorians, the blond Riders of Rohan, the seemingly incorruptible wizards, and even the thoroughly English hobbit-folk of the Shire.' (Incidentally, hobbits appear to be brown-skinned, not white.) By the same token, Frodo, Gollum, Boromir and Denethor all experience intense inner struggles over what the right thing to do is, with widely varying outcomes . . . (Curry 32)

The heroes in *The Lord of the Rings* trilogy deviate from conventional norms of heroism and the heroic act in their erring and having internal conflicts in the face of evil. The erring aspect happens in every character's case. To illustrate, in The Council of Elrond, Gandalf admits that he was wrong in listening to Saruman and that he was "lulled by the words of Saruman the Wise" (*FotR* 244). Aragorn says he has failed when he loses Frodo and Sam and sees Boromir dying under a tree: "'Vain was Gandalf's trust in me. What shall I do now?'" (*TT* 404). He blames himself for the breaking of the fellowship. Similarly, Frodo errs quite a lot of times on the road, for example when he leads Sam to the wrong route, to which Sam says, "'Well master we are in a fix'" (*TT* 591), or in his following Gollum's guidance without any doubt despite Sam's protests and Faramir's telling him that he is quite wrong in his insistence

(*TT* 679). The biggest mistake Frodo commits, which is in fact an unforgivable one, is his claiming the possession of the Ring when he reaches the Crack of Doom. He understands his mistake the instant he puts the Ring on: "the magnitude of his own folly was revealed to him in a blinding flash, and all the devices of his enemies were at last laid bare" (*RotK* 924). He falls into Sauron's last trap to regain the Ring and commits the biggest mistake he could do as the ring-bearer.

The trials the heroes go through are also important as they entail his/her traits' unfolding in the face of evil. The novelistic hero bears lowly traits besides lofty traits, as Bakhtin suggests. Therefore, the novelistic hero's encounters with evil are grimmer than they are for the epic hero. The novelistic hero faces monsters more threatening than those in epic because the evil is resident, and he/she carries it in his/her dark side as all humans do. Due to its innateness, the evil is not just an external force for the novelistic hero as it is in epic. In the novel, the evil threat or monster does not come out of nowhere and attack the hero's peaceful community living side by side and eating and drinking together like in *Beowulf*, but the monster lies within the novelistic heroes, and whether to act upon the evil depends on the hero's decision. In other words, overcoming evil is a matter of internal struggle and choice, instead of warfare intelligence, or physical strength for the novelistic hero. The heroes in *The Lord of the Rings* trilogy encounter evil many times, which leads the heroes to question their own evil sides. The most overt figure of evil is the One Ring in the trilogy. Although the Ring's power is not specified, it is clear that the Ring gives invisibility and such great might to the possessor that even Gandalf and Galadriel do not want to possess it. However, the Ring is not an emblem of evil on its own as its temptation differs in accordance with the bearer. While Bilbo seems to have grown accustomed to the Ring's power over the years, Frodo is much more affected than Bilbo despite bearing it for a shorter period. Frodo is left damaged, and emotionally and physically drained after carrying it. He, in fact, is filled with the desire to possess it forever at times, and eventually he claims its possession. Frodo is passionately attached to the Ring; that is why, when he discovers that Sam has been carrying the Ring since he passed out after Shelob's attack, he goes mad and calls Sam a thief:

'Give it to me!' he cried, standing up, holding out a trembling hand. 'Give it to me at once. You can't have it!'

'All right, Mr. Frodo' said Sam, rather startled. 'Here it is!' Slowly he drew the Ring out and passed the chain over his head. . . . 'O Sam!' cried Frodo. 'What have I said? What have I done? Forgive me! After all you have done. It is the horrible power of the Ring. I wish it had never, never, been found. But don't mind me, Sam. I must carry the burden to the end. It can't be altered. You can't come between me and this doom.' (*RotK* 891)

Later, Frodo feels sorry for this reaction and breaking Sam's heart; however, he does the same thing again when Sam offers carrying the Ring for him while he cannot walk, and he yells at him (*RotK* 916). Frodo feels the same eerie feeling when Bilbo wants to see the Ring. He sees his dear uncle Bilbo as "a little wrinkled creature with a hungry face and bony groping hands" when he looks at the Ring admiringly, and Frodo is seized by a forceful "desire to strike him" (*FotR* 226). Similarly, Sméagol is drawn to lunacy by the Ring in a very short time, which turns him into the sneaky Gollum. He is under the Ring's power even when he does not carry it. He even kills his friend Déagol to possess the Ring. Similarly, Boromir attempts to attack Frodo to snatch the Ring from him. The least ambitious and naïve character, Sam, too is affected by the Ring when he decides to carry it for Frodo, and he feels "Already the ring tempted him, gnawing at his will and reason. Wild fantasies are aroused in his mind; and he saw Samwise the Strong…" He later feels reluctant to hand the Ring over to Frodo (*RotK* 890). He is saved from these visions that the Ring prompts with his love for his master (*RotK* 880-881). Just like the reaction to temptation, the meaning of temptation differs in accordance with the character. For Gollum, great power means having fish to eat three times a day (*TT* 619) while for Sam it is having beautiful gardens (*RotK* 890). Temptation brings out the pride within Boromir as he says he is too strong for Frodo and calls him "Halfling" in the derogatory sense. He challenges Frodo's adequacy for carrying the Ring and says if he is not fit for the task he should be replaced by someone stronger. It can be concluded that the intended message is that what makes the difference is not the evil object, but the hero's inclination and choice. It can be claimed that the characters are not "tempted" by the Ring, but temptation comes from within. Therefore, the Ring cannot be seen as a source of pure evil on its own, but its mechanizations differ greatly in accordance with the intentions of the possessor.

The epic hero's triumph over evil is ensured since he has no internal conflict and contradictory traits in himself. As the epic hero does not suffer from inner evil, the forms of evil do not stand for more than what they are in the epic. Tolkien is critical of this shallow view of monsters in epic and resents at their being neglected in scholarship: "the monsters are not an inexplicable blunder of taste; they are essential, fundamentally allied to the underlying ideas of the poem, which give it its lofty tone and high seriousness" (*Beowulf: The Monsters and the Critics* 19). Tolkien's valuing the monsters is reflected in the representation of the heroes that can be called evil in *The Lord of the Rings* trilogy as well. The evil characters, too, bear conflicting traits like human traits, and they exhibit some similarities with the heroes. For example, Gollum used to be a Hobbit named Sméagol before he found the One Ring on an ordinary day of fishing. The split in his character as Slinker/Stinker implies that he still has some goodness within himself, and the two poles are conflicting within him, which is revealed in his speech as he is in a constant fight with himself. Similarly, Gandalf tells the story of his turning into Gollum and emphasizes that there is still some good part of Gollum's mind that stayed intact (*FotR* 51-53). The inclusion of Sméagol's backstory is supported by occasional humanly representations that reveal his humane side as he used to be an ordinary Hobbit like Frodo and Sam: "'O yes, we used to tell lots of tales in the evening, sitting by the banks of the Great River'" (*TT* 627). At a moment when Sam and Frodo fall asleep, Gollum's inclination towards goodness comes up. Gollum feels sorry for Sam's and Frodo's innocence while they are sleeping; he approaches them and strokes Frodo's knee. Sam wakes up feeling his presence near them and thinks he is going to harm them, so he yells at him to stay away. Gollum may be jealous or has not felt love and companionship for a long time. He might also have remembered his companion Déagol whom he murdered for the Ring (*TT* 699). However, because of this unjust treatment, Gollum makes up his mind to lead Sam and Frodo into Shelob's nest. In fact, Sam is always too harsh on him, and it is probable that if he could have managed his relationship with Gollum better, he might have given up on making them preys to Shelob since he was reluctant at first (*TT* 698).

Similarly, one of the antagonists of the trilogy, Saruman, is given a backstory that humanizes his evil look. He used to be a respectable wizard, actually the head of

wizards as he was Saruman the White. However, he chooses another blurred color that changes as one gazes (*TT* 564) because he starts to find the color white plain. He used to wander around Treebeard's forest and even Treebeard, whose forest has been destroyed by Saruman, mentions him as a respectable man (*TT* 462). The problem with Saruman seems to be his ambition, but above that, "He has a mind of metal and wheels; and he does not care for growing things, except as far as they serve him for the moment" (*TT* 462). In other words, he does not give space for people but focuses on material ends. Sauron, on the other hand, has a grimmer representation as to evil as he never wavers from evil and no backstory about him is offered in the trilogy. However, he is represented as vulnerable once when the fear of losing the battle and the Ring takes over him; he "sought the secrecy of night, fearing the wind of the world that had turned against him" (*RotK* 913). He is represented panicking although this is not enough for humanizing Sauron. The representation of Gollum and Sauron is important as these characters cross Frodo's road as well. They are more than pure evil figures because Frodo has similar traits with them. Sam cannot name it, but he feels a connection between Frodo and Gollum two times (*TT* 604) although they are dissimilar in many ways. A bond that is similar to the one between Frodo and Gollum is also established between Frodo and Sauron. Sauron's one finger is cut by Isildur during the First War, and he loses the Ring that way (*FotR* 237). Similarly, Gollum attacks Frodo and bites his finger with the Ring on when Frodo claims the Ring his own (*RotK* 925). Being the two claimers of the Ring, both Frodo and Sauron become nine-fingered like penance for their crime; similarly, Rosebury claims, "Frodo is almost at the same line with Sauron in his yielding to the power" (28). Therefore, in the trilogy evil and goodness are not treated as mutually exclusive categories, which makes the characters closer to novelistic heroes.

The hero's representation is deeply connected to the notion of agency throughout the heroic duty because the hero's choices determine the course of action. As Senior argues, "Choice is crucial in quest fantasy, so protagonists face several cruxes where their choices determine the fate of many" (190). The hero's agency and the multitude of options given to heroes are important because they imply that the hero has the power to choose and steer the action, which entails novelistic qualities unlike the epic hero who is secure within the heroic action, and events only happen to him

without leaving a trace on him. As the epic hero is already fated to achieve heroism, his actions are part of a greater design while the novelistic hero's actions and decisions include his/her freewill and agency.

The hero's agency holds a substantial place in the trilogy, and it is deeply related to the hero's task. Gandalf comments that although Gollum has some goodness still, his situation is irreversible because "He had no will left in the matter" (*FotR* 54). Gollum has lost his agency completely and yielded to the Ring's control. His losing his self to the Ring and lack of will lead Gollum to destruction eventually. In the following parts of this conversation, Frodo asks Gandalf why he did not make Bilbo throw away the Ring, to which Gandalf angrily replies: "'Let you? Make you?' said the wizard. 'Haven't you been listening to all that I have said? You are not thinking of what you are saying'" (*FotR* 58). Gandalf has been talking about the Ring's power over the will and how it destroyed Gollum by taking his mind over, so when Frodo tells that he should have forced Bilbo to throw it away, Gandalf gets angry for his not understanding the importance of freewill. In the end, he leaves the task to Frodo's decision, saying "'And now,' said the wizard, turning back to Frodo, 'the decision lies with you. But I will help you . . . bear this burden, as long as it is yours to bear'" (*FotR* 60). At the end of The Council of Elrond, the hero's own will comes to fore, and Frodo accepts the task, "'I will take the Ring,' he said, 'though I do not know the way'" (*FotR* 264).

The importance of the hero's agency becomes more obvious when Aragorn and Sauron are juxtaposed. Aragorn leaves the decision to his company though he could easily have decided instead of others as the king: "'We now come to the very brink, where hope and despair are akin. To waver is to fall. . . . I do not yet claim to command any man. Let others choose as they will'" (*RotK* 862). Despite the difficult situation, he does not want to force others. While Aragorn gives his men the freedom to choose, Sauron keeps "many slaves of fear" at his will. His main concern is not to have soldiers but to keep them captive in Mordor (*RotK* 880). This reveals the difference between the good side and bad side as while one gives freedom, the other keeps hostage, which reveals the importance of free will in the trilogy.

The importance of the hero's agency is apparent in the naming of an entire chapter in *The Two Towers* as "The Choices of Master Samwise" (*TT* 711-725). In this

chapter, Sam is left between leaving Frodo, whom he assumes to be dead, alone and taking up the Ring or staying with him, which would mean compromising the quest. This struggle is described as "in his heart keeping a debate" (*TT* 714), and he eventually decides to leave Frodo. Later, he wavers in his decision and returns to Frodo because he cannot stand the idea of Orcs' dissecting Frodo's dead body as it is their custom of punishing their enemies. Sam is not happy with this multitude of choices, and he thinks every turn he has to decide as "another dreadful choice" (*RotK* 886) and he cannot be sure of his judgement as he says he is "'Wrong again, I expect'" (*RotK* 887). The difficulty of making a choice is voiced by other heroes as well. Aragorn mentions his concerns about his choices holding, "'A vain pursuit from its beginning, maybe, which no choice of mine can mar or mend. Well, I have chosen. So let us use time as best we may'" (*TT* 416). The notion of the hero's agency is underlined one more time in one of the most striking parts of the trilogy when Frodo "decides" not to cast the Ring away. In this grim moment, Frodo emphasizes that it is his own will not to destroy the Ring: "'I have come,' he said. 'But I do not choose now to do what I came to do. I will not do this deed. The Ring is mine!'" (*RotK* 924). Frodo claims possession over the Ring and clearly states that this is his decision. It can be claimed that agency is not solely glorified in the trilogy, but it entails the heroes' mistakes and struggles. The heroes in the trilogy are not only given agency, but their decision-making processes and their reactions to the consequences of their decisions are made transparent, which are clearly novelistic traits. This transparency makes the heroes life-like figures and distances them from "stilted heroizing" of "monotonous" and "abstract" epic heroes ("EN" 10).

On the other hand, the trilogy's approach to heroes' agency does not eliminate the fate factor altogether. For example, Gandalf explains Frodo's becoming the ring-bearer as:

> 'Behind that there was something else at work, beyond any design of the Ring-maker. I can put it no plainer that by saying that Bilbo was *meant* to find the Ring, and *not* by its maker. In which case you also were meant to have it. And that may be an encouraging thought.' (*FotR* 54-55)

Tom Bombadil, similarly, says upon encountering Frodo, "'Did I hear you calling? Nay, I did not hear: I was busy singing. Just chance brought me then, if chance you call it. It was no plan of mine though I was waiting for you'" (*FotR* 123-124). Tom Bombadil's words may seem paradoxical, but they summarize Frodo's quest, which is a combination of both a fate and free will. Sam, on the other hand, comments "'And as for not being the right and proper person, why, Mr. Frodo wasn't, as you might say, nor Mr. Bilbo. They didn't choose themselves'" (*TT* 715). Similarly, Aragorn tells that all depends on Frodo's choice, but he also points out fate: "Most likely it seems that if he [Gandalf] were now the choice would still wait on you. Such is your fate'" (*FotR* 387). Aragorn's statement bears oxymoronic traits since he says Frodo's fate is his deciding to become the ring-bearer. In fact, Frodo accepts his duty without any enthusiasm, and he again emphasizes that he is "commanded": "'I am commanded to go to the land of Mordor, and therefore I shall go' said Frodo. 'If there is only one way, then I must take it. What comes after must come'" (*TT* 624). He later thinks to himself:

> And here he was a little halfling from the Shire, a simple hobbit of the quiet countryside, expected to find a way where the great ones could not go, or dared not go. It was an evil fate. But he had taken it on himself in his own sitting-room in the far-off spring of another year, so remote now that it was like a chapter in a story of the world's youth, when the Trees of Silver and Gold were still in bloom. This was an evil choice. Which way should he choose? And if both led to terror and death, what good lay in choice? (*TT* 630)

The heroes' relation to agency and fate in the trilogy is portrayed in perfect balance and harmony. As it can be gathered from the statements about the heroes' agency along with the workings of fate, the heroes are operating within a space allotted to them by fate. In this respect, they are relatable figures, thus novelistic heroes, for they are trying to steer their boat through the tidings of fate.

Agency is related to the hero's development and change as the hero evolves along with his/her choices. The development of the hero is at the core of the novel as Bakhtin argues that the constant position of the novelistic hero is inadequacy as to his/her current situation ("EN" 37). Since the novelistic hero is not endowed with powers to tackle the problem at the beginning, but he/she develops through the course of events and in accordance with his/her experiences. While the novelistic hero is

evolving along with trials, the epic hero does not change due to his fixed, inflexible, in other words, "pre-packaged and unchanging nature" ("EN" 10). Change and development are novelistic aspects; therefore, the extent of change and flexibility the heroes in the trilogy portray would define their novelistic and epic traits. In addition to agency, trial is especially important because it prompts the hero's change and development, so crises the hero faces serve not for the reaffirmation of heroic ideal, but they accelerate the heroes' developing along with them. Bakhtin argues that trial and change go hand in hand for the novelistic hero as trail itself is not enough for the hero's changing as it only occurs in the form of crisis. That is why, the novel backs trial with development to show the hero as "becoming" in front of the reader's very eyes:

> The idea of testing lacks within itself the necessary means to deal with a man's "becoming"; in several of its forms it knows crisis and rebirth, but it does not know development, becoming, a man's *gradual* formation. . . . To this the modern novel opposes the process of a man's becoming, a certain duality, a lack of wholeness characteristic of living human beings, a mixture within the man of good and evil, strength and weakness. ("DN" 392)

All heroes in the trilogy, Frodo, Sam, Gollum, Merry, Pippin, Gandalf and Aragorn, portray change to some extent throughout the quest. For example, Pippin is greatly changed by the quest as he feels far away from his self before the quest:

> Already it seemed years to Pippin since he had sat there before, in some half-forgotten time when he had still been a Hobbit, a light-hearted wanderer touched little by the perils he had passed through. Now he was one small soldier in a city preparing for a great assault, clad in the proud but somber manner of the Tower of Guard. (*RotK* 790)

Similarly, Merry portrays a great change and maturity. As his name suggests he used to be a very energetic and reckless Hobbit but after the battles he feels "weak and old" (*RotK* 865). They seem like troublemakers of the trilogy for their getting lost in the most crucial times or Pippin's mistake of looking through the Palantíri. Their child-like qualities leave their place to maturity and becoming grim soldiers. Their military experience helps them organize an attack on the Sharkey's men, and the Shire is saved from Saruman's tyranny thanks to these Hobbits ("The Scouring of the Shire" *RotK* 975-997).

71

Among these characters, Aragorn subverts the stereotypical hero image as he first appears as the Strider "strange-looking weather-beaten man" (*FotR* 153), and the Hobbits cannot tell if his intentions are good or bad; thus, they stay aloof from him for a while. Lynch argues:

> Through the figure of Aragorn, especially, *The Lord of the Rings* more often displays what has been said about the modern warriors of Victorian artists, that they are statuesque icons rather that action figures, with "a strong sense of arrested movement" . . . The iconic quality of Aragorn emblematizes the simultaneously desired presence and absence of the past in Tolkien's heroic nostalgia. (112)

He exhibits changes as Éowyn observes: "'Greatly changed he seemed to me since I saw him first in the king's house,' said Éowyn: 'grimmer, older'" (*RotK* 780). He turns into the kingly figure after his coronation: "Tall as the sea-kings of old, he stood above all that were near; ancient of days he seemed and yet in the flower of manhood; and wisdom sat upon his brow, and strength and healing were in his hands, and a light was about him" (*RotK* 947). This glorious representation is so contradictory to Aragorn's first appearance in the trilogy that even the inn-keeper of the Prancing Pony cannot believe that this raggedy man has become the king: "'Strider is the king?'" (*RotK* 972). The heroes' reversing the expectations from themselves is a common thing throughout the trilogy thanks to their unheroic qualities and change. The song Bilbo sings has a symbolic quality as to these unheroic traits. When Boromir suspects Aragorn's being the heir of the majestic Isildur, Bilbo gets angry at Boromir's judging Aragorn by his look and sings:

> *All that is gold does not glitter,*
> *Not all those who wander are lost;*
> *The old that is strong does no wither,*
> *Deep roots are not reached by the frost.* (*FotR* 241)

Change occurs in the least expected heroes as well. To illustrate, after Gandalf returns as Gandalf the White, Pippin observes a change in him and says, "'He's not so close as he used to be, though he laughs now more than he talks'" (*RotK* 934). Even the most stubborn character, Gollum, portrays change in time. After vowing to be

Frodo's servant, Gollum becomes friendlier. Especially when Sam and Frodo take off the Elven rope that is burning his skin, Gollum becomes more grateful and timid: "From that moment a change, which lasted for some time, came over him. . . . he was friendly, and indeed pitifully anxious to please. He would cackle with laughter and caper, if any jest was made . . ." (*TT* 604). Frodo realizes this change in him and tells Sam that he should not be afraid anymore (*TT* 609). The time he spends with Frodo and Sam softens him to an extent, and he remembers he used to be like them once and shows emotion. He can tell between kindness and harshness as it can be seen in calling Frodo "'good master'" (*TT* 604), but he calls Sam "'silly hobbit'" (*TT* 639) to his face. He favors Frodo over Sam because Frodo treats him better, which reveals the ignition of emotions inside him except for mere craving for the Ring.

Inevitably, change occurs in Frodo's case as he is the hero most affected by the quest, and he moves from the chubby, quiet Hobbit to the hero who wanders in the most perilous places in Middle Earth. His change can be seen in his developing mentally but retreating physically as a result of the trials he goes through. His reaction to the heroic ideal in the beginning subsides along the quest, and he stops questioning his burden and he accepts it. Along the quest, Frodo grows silent and especially in the end speaks only when needed as he walks "like one carries a load" (*TT* 610) all the time. Frodo's acceptance of his burden is a sign of his maturity. The same aspect can be seen in his treatment of Gollum. When Frodo first listens to the Ring's story and Bilbo's encounter with Gollum, he resents at Bilbo's sparing Gollum's life. He openly tells Gandalf that he wishes Gollum to be dead because of his bad deeds and that he cannot see any point in Gollum's living (*FotR* 58). However, after his own encounter with Gollum, Frodo becomes the one that spares Gollum's life even though Gollum tells he wants to take his precious back (*TT* 626) and tries to kill Frodo and Sam. This reveals that Frodo has grown morally and become more understanding towards his enemy. Frodo shows the same pity for Saruman too when they capture him in the tower although he provokes the Hobbits, to which Saruman responds, "'You have grown Halfling'" and implies Frodo's change (*RotK* 996).

On the other hand, the scope of Sam's change is harder to pin down. His child-like enthusiasm and naïveté in the beginning of the trilogy are retained to a great degree throughout the quest as it can be seen in his joy while cooking, meeting with the Elves

and his seeing an "oliphaunt" (*TT* 647), or in his feeling sorry while saying goodbye to his pony, Elven rope and cooking utensils. His idea of the quest moves from the simplistic trip-like view to the understanding the gravity of their actions; similarly, his approach to Gollum changes slightly after he carries the Ring for a short while and understands its force upon one's will. Apart from these slight changes, Sam retains his child-like qualities although he is the one closest to Frodo and has went through the same hardships with him. By this respect, it can be argued that the least change occurs in Sam.

Miller argues that a closer analysis of the quest pattern reveals "no simple 'there and back again'" (334). Unlike the epic hero who is unaffected by the atrocities of the heroic action, Frodo, the novelistic hero, changes drastically and remains shattered because of the quest, and he cannot orient himself back to ordinary life in the Shire. While Sam becomes an integrated part of the society, getting married and leading a domestic life, and he is content with their tale being told by younger generations, Frodo is left shattered by his experience and becomes a lonesome character, quite different from the epic hero's glorious homecoming, i.e., Nostos. He is separated from his community forever, which is another instance of the gap between the hero's self and his image. Sam mistakenly assumes that when the quest is over, Frodo will be lifted off his burden, and everything will be okay and the same as ever; however, the effects of the quest are not simple as that. He keeps remembering painful incidents he has experienced throughout the journey. He feels, for instance, as if he is stabbed again by the Orc-blade when the date and place coincide. Frodo cries out: "'I am wounded,' he answered, 'wounded; it will never really heal'" (*RotK* 1002). He also remarks that some wounds cannot heal (*RotK* 967). Similarly, though other heroes say that the quest seems like a tale now to them, Frodo says he does not see the quest that way (*RotK* 974) because he still bears its traces in his psyche. At times Frodo is seized by a fit, which reveals that he is deeply traumatized by his burden. He is as if having post-traumatic stress disorder. The effects of the burden make itself felt after the quest is over. For example, he mutters some words to himself, reports seeing some visions and occasionally has fever. The void inside him that is left after the Ring cannot be filled: ". . . Frodo had been ill. On the thirteenth of that month Farmer Cotton found Frodo lying on his bed; he was clutching a white gem that hung on a chain about his

neck and he seemed half in a dream. 'It is gone for ever,' he said, 'and now all is dark and empty'" (*RotK* 1001). Apparently, Frodo is maimed by the Ring, but he cannot stop himself from longing for it. That is why, he engages in repetitive movements like wearing and touching the gem on his neck all the time (*RotK* 1001) as if he is trying to make up for the absence of the Ring on his neck. The visions and seizures along with repetitive movements that might be an indicator of a psychological disorder Frodo experiences are elements that disrupt the epic wholeness of the hero according to Bakhtin:

> Dreams, daydreams, insanity destroy the epic . . . wholeness of a person and his fate: the possibilities of another person and another life are revealed in him, he loses his finalized quality and ceases to mean only one thing; he ceases to coincide with himself" which creates dialogic relationship to one's own self. (*PDP* 116-117)

Such deviations the hero experiences suggest unfinished and incomplete traits in the hero because they imply hidden sides of the hero, which is the breaking point of the unity of the hero' image in the eyes of the others and his/her own self-view.

The heroic ideal contributes to the hero's traits also because it entails the hero's relationship with society. Bakhtin argues that the epic hero is in harmony with his community. The epic belongs to a communal and unified worldview, he exists for the wellbeing of his community. Therefore, the epic hero's duty and the society's expectations from him define who he is, and he is completely in line with their view of him. On the other hand, the novelistic hero is not in complete harmony with society. Each character regards him/her differently, and some may find the novelistic hero inadequate. For example, in *The Lord of the Rings* trilogy, the characters reveal that they did not expect such strength from Frodo several times. This implies that there is a gap between the way the hero sees himself/herself, and others see him/her. Bakhtin explains the importance of the hero's image in the eyes of others as "*To be means to communicate*. . . . To be means to be for another, and through the other, for oneself. A person has no internal sovereign territory, he is wholly and always on the boundary; looking inside himself, he *looks into the eyes of another or with the eyes of another*" (*PDP* 287).

In epic, the hero's view of himself coincides with society, but in the novel, there is a gap between his view of himself and his view in the eyes of others, which

Bakhtin defines as a novelistic trait. The problematic relationship between the novelistic hero and his/her community portrays a heroic ideal that is not so celebratory as the one in the epic since the hero experiences conflicts with the society and his/her companions. The instances of these conflicts can be seen in the relationship between the Hobbits and their community in the Shire. For example, the conversation between Sam and another Hobbit reveals that Frodo and his uncle Bilbo are not regarded well by the Shire-folk: "'Oh, they're both cracked,' said Ted. 'Leastways old Bilbo was cracked, and Frodo's cracking. If that's where you get your news from, you'll never want for moonshine'" (*FotR* 44). The mentioning of the lunacy reveals the split between the hero and his society, which is a common form of conflict in novels. Similarly, in the trilogy, the hero does not feel deeply connected to his folk either. Frodo comments, "'I should like to save the Shire, if I could – though there have been times when I thought the inhabitants too stupid and dull for words, and have felt that an earthquake or an invasion of dragons might be good for them'" (*FotR* 61). Frodo does not throw himself into danger selflessly for the Shire-folk, and he looks even half-hearted when it comes to saving them, saying actually a disaster would set them straight. The attitude of the Shire-folk in Frodo's return justifies this statement of Frodo's. They judge the value of the deed by its visibility, and they appreciate it only when it benefits them straight away. That is why, they receive Merry and Pippin, who look glorious after their heroic success, and Sam, who restores the gardens of the Shire, very positively; however, they keep their reserved attitude towards Frodo although he has gone through great torment for their security: "Few people knew or wanted to know about his deeds and adventures; their admiration and respect were given mostly to Mr. Meriadoc and Mr. Peregrin and (if Sam had known it) to himself" (*RotK* 1002).

Similar novelistic traits can be seen in the hero's relationship with his companions. In *The Return of the King*, Sam and Frodo are closing to Mount Doom simultaneously as other members of the fellowship are getting an upper hand in the Pelennor Fields. When Sam sees a light over the battlefield, he infers that the battle is going well. He asks if this gives hope to Frodo: "'Well no, not much, Sam,' Frodo sighed. 'That's away beyond the mountains. We're going east not west. And I'm so tired. And the Ring is so heavy, Sam. And I begin to see it in my mind all the time, like a great wheel of fire'" (*RotK* 898). The victory in the war and the state of his

friends are no concern for Frodo because he is too much focused on his own pain and burden. This is an explicit difference from the epic hero who is always focused on his community's wellbeing, and he is unified with his community and companions. The hero's problematic relationship with his environment stems from the fact that the novelistic hero belongs to the modern and individualized understanding of the human. Thus, he/she cannot take the heroic task without hesitation and selflessly, nor can he/she give up on himself/herself and focus on others. The novelistic hero is an individualistic hero figure, so his/her priority is himself/herself. Frodo portrays this selfishness clearly in the incident of drinking water. On their way to Mount Doom again, Sam and Frodo encounter a spring and cannot decide if the water is safe to drink. Therefore, Sam offers first to drink to protect Frodo from being poisoned, but Frodo misinterprets this as Sam's giving himself priority and says the water is enough for two (*RotK* 899). This incident can be the clearest example between Sam and Frodo as one of them is too selfless and filled with love to put himself in danger while the other is self-centered and cynical.

Another important aspect of the hero's treatment of the heroic ideal is Nostos, the homecoming of the hero, because homecoming entails the hero's change after trials and his/her relationship with society. Hirsch remarks that generally the return home is overlooked in Tolkien studies (77), calling the homecoming aspect "the under-researched structural element and theme of the return" (101); that is why, surveying the heroes' position within the heroic ideal in this respect would offer an alternative to the gap that Hirsch posits. In epic, the hero's coming home is a glorious event, and he is well-received due to the society's unified view of the hero. In contrast, the novelistic hero's problematic relationship with his/her community and his/her change renders homecoming problematic. Frodo's homecoming is quite novelistic in the sense that he is a lonesome figure in his return to his hometown. The first thing that happens to him is being arrested by Sharkey's men (*RotK* 978). The four Hobbits are not welcomed or greeted at all (*RotK* 981) although they were expecting more welcome (*RotK* 967.) In fact, their return to the Shire and the treatment they face are quite heartbreaking. Due to their weary but heroic look as "fearless hobbits with grim faces" (*RotK* 982), the Hobbits are regarded queer once again by their folk (*RotK* 970). The Shire-folk seem very much interested in their own troubles. Farmer Cotton and Old Gaffer complain

about the Hobbits' leaving the Shire and going away unaware of the danger they have gone through because they do not ask anything about their heroic deeds. As a result of such a reception, Frodo retreats to his inner world gradually. His role in the Shire's saving is a subtle one as he only tries to prevent the killing of more Hobbits. While Merry and Pippin take part in military plans to get rid of Sharkey's men, and Sam restores the Shire to its old state, Frodo does not take part in any of these actions let alone coming up with a plan. He seems only interested in writing; "Frodo dropped quietly out of all the doings of the Shire, and Sam was pained to notice how little honor he had in his own country" and "he took to a quiet life, writing a great deal and going through all his notes" (*RotK* 1002).

A change can be observed in the meaning of home for Frodo. In the beginning of the trilogy, the Shire is a fixed and secure place for Frodo although he is not altogether happy about its folk. His understanding of home can be defined as traditional: "I feel that as long as the Shire lies behind, safe and comfortable, I shall find wandering more bearable: I shall know that somewhere there is a firm foothold, even if my feet cannot stand there again" (*FotR* 61). Though this was his belief at the beginning, the quest alters his view on life and his notion of home does not stay the same. Frodo learns that he cannot belong anywhere and admits: "'There is no real going back. Though I may come to Shire, it will not seem the same; for I shall not be the same. I am wounded with knife, sting, and tooth, and a long burden. Where shall I find rest?'" (*RotK* 967). These troubles he went through are beyond physical discomfort and prove that he is irrevocably left shattered. Thus, he moves away from the view of home as a stable location, but to a notion of home as what you make of a place. Being a wanderer for so long and glorifying the image of home in his mind, or the naïve idea that when the quest is over everything will be fine, hinder Frodo from seeing home in the same light again. This reversal in the meaning of home makes a glorious and perfect homecoming impossible for Frodo.

In addition to the reception, the hero's adaptation to his ordinary life and being an integrated member of the society are also elements of the quest narrative and epic. The hero does not show deviations from societal norms; thus, adaptation does not emerge as a problem in the case of the epic hero's return. On the other hand, for Frodo, the reverse is the case. After the return to the Shire, Frodo takes a less and less

prominent role in its saving and restoration. Merry and Pippin are the ones who save the Shire, and Sam restores it to its former state (*RotK* 1001). Frodo stays away from all of these actions. He is so alienated from his surrounding that he is not even aware that Sam is planning to get married to Rosie Cotton. He gives the impression that the idea of marriage never occurred to him. Love, family and home are concepts too far from Frodo; he is a stranger to these notions that are accepted as the societal norms. Therefore, he draws a peculiar impression that seems eccentric to the Shire-folk. Frodo is not understood by others except for Sam, who eventually realizes that his master will never "heal" unlike him. When he learns that Frodo is going to depart from the Shire towards the Grey Havens, he is devastated but certainly not shocked: "'I thought you were going to enjoy the Shire, too, for years and years, after all you have done'" he says, and to this Frodo replies, "'So I thought too, once. But I have been too deeply hurt, Sam. I tried to save Shire, and it has been saved, but not for me'" (*RotK* 1006). Realizing the impossibility of settling down, Frodo decides to depart. In one of his letters, Tolkien gives a commentary about Frodo's end upon reading a comment on Frodo's failure: "But following the logic of the plot, it was clearly inevitable, as an event. And surely it is a more significant and real event than a mere 'fairy-story' ending in which the hero is indomitable?" (*The Letters of JRR Tolkien* 270). Tolkien's remark in fact draws a line between Frodo the novelistic hero and epic heroes because he argues that if Frodo in a "saintly" way endured the temptations of evil and difficulties of the road and settled back into his previous life easily, the unity of his representation in the trilogy would be betrayed. As a human-like figure, such an ending is more realistic for Frodo because he is not an epic hero. On the other hand, it is worthwhile to juxtapose his ending with Sam's ending. His effortless adaptation to his life after the quest suggests a simpler, and even a less realistic there-and-back scheme. Lee and Solopova indeed remark, "If anything, it is Sam who completes the cycle" (40), referring to the cycle of the quest. Sam is the one who completes the quest successfully and he marks the end of the trilogy saying "'Well, I'm back'" (*RotK* 1008) while holding his little daughter on his lap at his peaceful home; that is why, Sam's ending is less novelistic than Frodo's.

3.2 Multiple Heroes and Collectivity

The discussion about the hero and the heroic ideal so far reveals that the heroes in *The Lord of the Rings* trilogy subvert conventional norms of heroism in their unheroic characteristics and problematic relationship with the heroic ideal. Another aspect that will give insight into the hero's novelistic or epic traits is the inclusion of the multiple heroes in the trilogy. The main hero's being helped by others makes it impossible to talk about a single hero throughout the trilogy. Frodo is the foremost hero in his being the ring-bearer, but he is helped by other characters like Sam, Gandalf, Aragorn and even Gollum, which makes them heroes on their own. The inclusion of multiple heroes will be analyzed in terms of the assistance and guidance, variance, doubleness and the changing roles of the heroes.

Throughout the adventure, the hero needs others' assistance to achieve trials, and this is a novelistic feature as Bakhtin argues that the novelistic hero is incomplete and inadequate ("EN" 37). Such a need for guidance cannot be the case for the epic hero because he is an already complete character in himself. Seeking assistance from another person is unthinkable for the epic hero while the novelistic hero depends on others, being an incomplete and erring character.

The companions of the hero have a significant role over the course of the quest as they show up in the most crucial moments of the hero's crisis. If it were not for Sam, Frodo would probably have given up on the quest or died in the hands of the Orcs. The moments when Sam helps Frodo are uncountable, but the most important ones are Sam's hiding the Ring in his bosom to protect it from being found by the Orcs, which alters the result of the quest (*TT* 715), and his carrying Frodo on his back: "'Come, Mr. Frodo!' he cried. 'I can't carry it for you, but I can carry you and it as well. So up you get! Come on, Mr. Frodo dear! Sam will give you a ride. Just tell him where to go, and he'll go'" (*RotK* 919). Simultaneously, the rest of the fellowship are struggling against the dark force in Middle Earth. Their road is separated from Frodo's in the end of *The Fellowship of the Ring*; however, they do not stop worrying about Frodo and fighting to protect him and Sam. For example, Gandalf's mind never drifts off from them: "Yet even as he spoke his last words to Saruman, and the *palantír* crashed in fire upon the steps of Orthanc, his thought was ever upon Frodo and Samwise, over the long leagues his mind sought for them in hope and pity" (*TT* 629-630).

In addition to the members of the fellowship, the most unlikely helper of Frodo is certainly Gollum. Gollum leads them through the most dangerous parts of Middle Earth towards Mount Doom, and his selfish choices protect Frodo and Sam from being detected. Gollum cannot stand the sunlight; he hates the "yellow face," so they always travel by night and avoid being detected by the Orcs and Sauron's lidless eye. Similarly, Gollum lures them into Shelob's nest while the alternative road is already full of Orcs, and they would be caught anyway. Before the Fire of Doom, Gollum jumps on Frodo and snatches the Ring from him. Although he again has no intention of ending the quest, he falls into the lava with the Ring and is destroyed along with it; in other words, he does what Frodo could not accomplish. Frodo admits that they could not have gone far without Gollum (*TT* 697) and that he could not do the final deed without Gollum: "'But for him, Sam, I could not have destroyed the Ring. The Quest would have been in vain, even at the bitter end. So let us forgive him!'" (*RotK* 926). Neville explains Frodo's being a helped-out hero as a novelistic trait because "Such a figure is unthinkable in and absent from *Beowulf*, but in *The Lord of the Rings* he becomes the centre. Great heroes serve as a diversion" (108). Neville's juxtaposing *The Lord of the Rings* with *Beowulf* is quite noteworthy as she offers a discussion that is in line with the Bakhtinian distinction between the novelistic hero and the epic hero. That the hero's accomplishment is the consequence of a collective effort is incomprehensible in the epic world. The epic hero is created for the heroic task and capable of achieving it on his own. Due to his demi-god traits, other characters are already beneath him in terms of lineage and strength, so the epic hero is the one that saves them, not the one helped by them like the novelistic hero is. Therefore, Frodo's being helped by others make him a novelistic hero.

In *The Lord of the Rings* trilogy, the heroes are not singular and all-powerful figures, but they need one another and act in accordance with the group dynamics. In fact, this assistance and sharing are their defining traits as heroes. To illustrate, Kleinman argues that Sam's service is deeply embedded in his heroism:

> it is often remarked that Sam is the hero of *The Lord of the Rings* – or at least of the final book – even as the trajectory of the novel moves towards the realm of the king. Even as Tolkien builds his ideal lord, he also builds his ideal servant, and, in doing so, he valorizes service itself. (148)

Kleinman's argument here points out the link between Sam's heroism and his devotion to Frodo, but the word choice "service" is a debatable one because hierarchy is not felt amongst characters in the fellowship even when it comes to their relationship with Aragorn, who is a king. Although Sam calls Frodo his master, their description throughout the quest is a balanced one as Frodo is described as Sam's "fallen mate" (*TT* 711). Decorum and respectable speech are given only to kings like Théoden or Aragorn, but within the Fellowship of the Ring, there is no such hierarchy. Thus, assistance takes place in the form of companionship. The importance of friendship appears as a theme throughout the trilogy, and it establishes a solidarity among the heroes. To illustrate, Aragorn voices the importance of having a companion, and his desire to have one, which contrasts with his lonesome and independent look: "A hunted man sometimes wearies of distrust and longs for friendship. But there, I believe my looks are against me'" (*FotR* 167). With the threat of Sauron rising, suspicion grows throughout Middle Earth as it can be seen in the company's being met with distrust in their every encounter with strangers such as the Riders of Rohan, or Denethor. That is why, the importance of friendship gains a more significant role in the trilogy. This is implied in the password for opening the Mithril Gate of Minas Tirith. Gandalf and others spend quite a lot of time trying to find the password for the gate till they try *Mellon*, which is the Elvish name for friend (*FotR* 300). Gandalf resents their missing what is so obvious, "'Quite simple. Too simple for a learned lore-master in these suspicious days. Those were happier times'" (*FotR* 300).

Frodo needs others to negotiate or for support, and he learns from other characters about Middle Earth and the history of the One Ring. His need for others reveals that he is an inadequate figure needing others' assistance throughout the heroic deed, which is again a novelistic hero trait. Frodo is supported by supernatural aid and gifts that are given in the moments of need such as Elven objects, the healing water (*FotR* 330). However, these aids are not bestowed upon Frodo from the very beginning, but he receives them upon his calling them from the bottom of his heart or when he displays a heroic act. For example, when he encounters three Black Riders, they make fun of his threats, but Frodo manages to pull himself together: "'By Elbereth and Lúthien the Fair,' said Frodo with a last effort, lifting up his sword, 'you shall have

neither the Ring nor me!'" (*FotR* 209). With his calling, the waters beneath them rise and swallow the black riders, and Frodo sees a white light on the shore. A similar instance of supernatural aid occurs when Frodo chants a song to call Tom Bombadil to help (*FotR* 139).

In addition to assistance, Frodo needs guidance and advice from others, and Gandalf is the one who gives counsel to Frodo most of the time. He tells Frodo in the very beginning of the quest that he will help him throughout the quest if he accepts to take it up (*FotR* 60). Frodo learns everything as to the history of the Ring, Bilbo's travels and Middle Earth from Gandalf. That is why, he feels deep despair when he learns that the city Cirith Ungol is not a safe place and cannot decide what is wise to do there. He laments that Aragorn is far away, and Gandalf is lost after Balrog's strike at him: "Aragorn could perhaps have told them that name and its significance; Gandalf would have warned them. But they were alone. . . Indeed Gandalf's guidance had been taken from them too soon, too soon, while the Dark Land was still very far away" (*TT* 629-630). Frodo longs for Gandalf's wisdom and guidance and feels his absence in this moment of need.

The need for assistance and guidance is not specific to Frodo as it can be seen in other heroes as well with respect to their helping each other and the reversal of roles amongst them. For example, Pippin says, "'We hobbits ought to stick together, and we will'" (*FotR* 265) when others are discussing excluding him and Merry as the quest would be dangerous. A companionship that is similar to the one between Frodo and Sam exists between Merry and Pippin too. Pippin feels sorry for being apart from Merry in the battleground and laments, "'I wish Merry was here' . . . 'We might die together, Merry and I . . .'" (*RotK* 873-874). The only exception to this companionship is seen in the Elves' case. They seem apart from other heroes in their godly traits like having magical powers, enchanting beauty, lack of bodily needs like sleep or food, and eternal life. They also have a community that is closed to outsiders as a result of the attacks they have received from their friends in the past. The Elves are different from the other characters in companionship as they are in all other aspects. The Elves state they are in no need of others' assistance: "'But we have no need of other company, and hobbits are so dull'" (*FotR* 79). They do not need company of other races, and they openly say that Hobbits are boring. Their extraordinary qualities and other heroes'

treatment of the Elves prove that they regard the Elves' companionship as a favor, rather than a comradeship. These qualities and their lack of need for assistance bring the Elves closer to the epic hero figure.

On the other hand, the Elves can be seen cooperating with the Dwarves, who used to be their enemy race. Legolas, the Elf, and Gimli, the Dwarf, have to fight side by side against the evil, so they help each other out to a great extent. Similarly, Éowyn, a noble lady from Rohan and Éomer's sister, heroically confronts the Witch-king, the lord of Nazgûl in Battle of Pelennor Fields where she enters disguised as a male. When Éowyn faces the Witch-king she says she will do all she could to hinder him, and he replies, "'Hinder me? Thou fool. No living man may hinder me!'" She replies back, "'But no living man am I! You look upon a woman. Éowyn I am, Éomund's daughter. You stand between me and my lord and my kin'" (*RotK* 823). Despite her heroism Éowyn staggers while fighting with him. Just as she is about to lose, Merry hits the Witch-king's foot; this way Éowyn can stab him. The cooperation between Éowyn and Merry once again reveals the importance of companionship in the trilogy. The heroes do not achieve something on their own, but through a collective effort they become victorious, which reveals that they portray the qualities of the novelistic hero to larger extent.

The heroes in the trilogy complement one another in the heroic task and accomplishment. Curry draws on from Le Guin's argument that in the trilogy, there is a "shadow" for several major characters and claims "In Frodo's case, there are arguably two: Sam and Gollum, who is himself doubled as Gollum/Stinker and Smégol/Slinker, as Sam calls him" (32). Sam compensates for Frodo's moodiness, selfishness and inclination to evil by his cheerfulness, love for Frodo and naïveté. On the other hand, Gollum serves as a foil to Frodo, revealing the reverse scenario of what would happen if Frodo gave up on the quest and yielded to the Ring's temptation. That is why there is an uncanny link between Frodo and Gollum. Sam observes this similarity, which is also a dissimilarity, between Frodo and Gollum twice: "For a moment it appeared to Sam that his master had grown and Gollum has shrunk: a tall stern shadow, a mighty lord who hid his brightness in grey cloud, and at his feet a little whining dog. Yet the two were in some way akin and not alien: they could reach one another's minds" (*TT* 604). Gollum's shrunken and needy look makes Frodo seem like

a lord on his throne. In spite of the contrast in their looks, they have a mental connection; thus, they are both similar and dissimilar. Sam observes this phenomenon a second time on their way to the Fire of Doom. Just as they are climbing, Gollum cuts their way to prevent them from reaching the boiling lava where the Ring is to be thrown. Frodo and Gollum face each other but their looks are again in a great contrast: "A crouching shape, scarcely more than the shadow of a living thing, a creature now wholly ruined and defeated, yet filled with a hideous lust and rage; and before it stood stern, untouchable now by pity, a figure robed in white, but at its breast it held a wheel of fire" (*RotK* 922). Frodo's figure before Gollum again creates a contrast between them and makes Frodo seem mighty. Frodo's dismissing Gollum here might stand for Frodo's getting over his desire for possessing the Ring and achieving a trial to test if he will give up on the quest. Gollum symbolizes Frodo's greed and fear for losing the Ring, so the contrast between them reveals that Frodo is resolute and overcomes his frailty. However, Frodo's triumph does not last long because when he reaches the actual place of destroying the Ring, he decides not to let go of the Ring. At that moment, Gollum springs on him to save the Ring. While they are grappling and hustling, Sam sees Frodo and Gollum as two figures that are "locked" onto each other (*RotK* 924). Their being locked stands for more than their physical proximity when their bond with the Ring is considered. Both of them have carried the Ring, and both of them go through the Ring's temptation, which must be the link between them. For example, Gollum says there is nothing inside him except for the hunger for the Ring (*TT* 674), and through the end of the quest Frodo says that he cannot enjoy anything, even food and water, and the only thing inside him is the burning wheel of the Ring (*RotK* 916). Additionally, this link might be the reason for Frodo's inexplicable tolerance towards Gollum, and his fear of turning into him since he understands the workings of the Ring on one's will. Similarly, Sam shows some pity for Gollum after he carries the Ring for a little while and understands the Ring's power and temptation, but his attitude towards Gollum does not change (*RotK* 923).

The heroes' complementing each other can also be seen in the reversals in their traits and roles throughout the quest, and these roles change among the heroes in accordance with the circumstances. Frodo and Sam's roles change constantly. For example, out of the duo, Sam is the more sensitive and gullible one. Frodo is tricked

eventually by Gollum although Sam warns him all the time that he is up to some wickedness. Surprisingly, Sam is harsher and more pitiless towards Gollum, and he attends to Gollum's behavior and words more intently than Frodo. He actually thinks Gollum had better be dead, but he cannot commit murder despite attempting to do so (*RotK* 923). This may also explain why he mistreats Gollum in every opportunity. For example, they bind Gollum with an Elf-made rope when they catch him creeping upon them. Gollum starts to twitch in great pain since Elven objects burn his skin. Though Sam sees his terrible pain, he resolves to take it off only after Frodo's command. It is striking that Sam could get sorry even for the rope or cooking utensils (*RotK* 916), but when it comes to Gollum, he is ruthless (*TT* 604). The reversal of roles between Frodo and Sam frequently occurs during their journey. Sometimes it is Frodo giving commands, "'Take the rope off, Sam'" (*TT* 604), and sometimes it is Sam that leads the way and initiates action as Frodo says, "'All right Sam lead me'" (*RotK* 907). The greatest reversal can be seen when the main hero of the trilogy changes in the chapter "The Choices of Master Samwise" (*TT* 711-725). The hero becomes Sam when he takes up the ring-bearer position. The heroic act's being taken over by someone other than the main hero is impossible to imagine in the epic hero's case since no one else is fit for this task except for the hero. This reversal in the main hero reveals the novelistic qualities of the heroes.

The reversal of roles can be observed in other heroes' cases as well. Gandalf is the authoritative, guiding and wise character of the trilogy. However, he is not followed by the members of the fellowship blindly. For example, he has a conflict with others as to the route they should take. Only Gimli supports Gandalf's decision to follow the Gates, and Gandalf tells that he appreciates his support and takes courage from him (*FotR* 289). Similarly, Gandalf's role of leading and guiding is taken over by Aragorn after Gandalf's fall. Aragorn already resembles him in his having magical powers like healing the wounded: "the king was indeed come among them, and after war he brought healing" (*RotK* 848). He leads others during an Orc attack, and he acts like an epic king, which entails his change from the Strider to the king (*FotR* 384). On the other hand, Faramir says Frodo has an "elvish air" while Sam says Faramir reminds him of Gandalf (*TT* 667). The heroes' complementing and reflecting each other can also be seen in the relationship between Gandalf and Saruman. When Gandalf returns

as the White, Aragorn, Legolas and Gimli mistake him for Saruman, and Gandalf says, "'Indeed I *am* Saruman, one might almost say, Saruman as he should have been'" (*TT* 484), and that in his hands the Ring would become invincible; that is why he gets happy when the Ring is away from him, and he will not be tempted anymore. This reveals that the heroes bear traces of others' traits and are not "stilted and prepackaged" in the epic sense, as Bakhtin argues ("EN" 10). The varied representation of the heroes in *The Lord of the Rings* trilogy also refutes the widespread criticism on Tolkien for creating characters in binary oppositions, as good and evil are strictly separated. In fact, Tolkien offers a wide range of heroes, as Attebery points out:

> We may have angels in disguise at one end of the scale and a wholly evil Dark Lord at the other, but in between there are alternative versions of the same characters that, among them, demonstrate how nuanced structural thought can be. Sneaky Gollum is paired with loyal Samwise; both are matched at different times with Frodo; unheroic Frodo is contrasted with the human warrior Boromir; Boromir serves as a binary contrast sometimes with kingly Aragorn. Once alerted to this mode of doubling, the reader can see unlikelier but suggestive pairings such as the elf queen Galadriel with the loathsome spider Shelob, or the persuasive Gandalf with the skulking Wormtongue – the range of potential meanings is vast and far from the simple either – or that first appears to be the message. (87)

Each character takes on a different role in contrast with the character paired; thus, they cannot be categorized easily. These aspects reveal that the heroes in *The Lord of the Rings* trilogy are novelistic heroes, and their multiplicity and variety are against the epic hero who belongs to a common storehouse of figures ("FTCN" 153), thus is not varied according to Bakhtin.

Heroic characteristics, the heroes' relationship with the heroic ideal and the inclusion of multiple heroes in *The Lord of the Rings* trilogy reveal that the heroes in the trilogy display traits of the novelistic hero in the Bakhtinian sense. The heroes of the Hobbit folk, Frodo, Sam, Merry and Pippin bear unheroic and conflicting traits due to the generic qualities of their folk. On the other hand, Aragorn, Gandalf and especially Legolas are closer to the epic hero figure because they bear heroic and glorious traits like might, kingliness and demi-god traits like eternal life. This also adds up to their representation in the heroic act only while the Hobbits are represented in unheroic and human-related needs. Another aspect that contributes to heroes' traits is usage of comical elements as Bakhtin argues that laughter is the thing that breaks down

hierarchies. It is observed that the Hobbit heroes engage in comical situations as they portray a comical trait or utter something hilarious, which breaks down the distance between the heroes and readers. This proximity between the heroes and reader is a novelistic trait while the epic hero is distanced on a higher plane than readers. The heroes' relationship with the heroic ideal is another aspect that contributes to their novelistic and epic traits. The trilogy's being an example of portal quest fantasy renders the heroes' relationship with the heroic ideal problematic as they take up the heroic task either half-heartedly or unaware of its dangers. Therefore, over the course of the quest, the heroes Frodo, Sam, Merry and Pippin – again the Hobbits- voice their concerns and discomfort frequently. Especially, the main hero, Frodo, is deeply affected by the difficulties of the quest and calls it punishment, which problematizes his heroism in the epic sense. On the other hand, Gandalf, Aragorn and Legolas are more decided and resolute as to the quest, which makes them closer to epic heroes once again. During the quest, all heroes undergo physical and mental changes as a result of trials, encounters with the evil and their mistakes. In this respect, they are novelistic heroes because the epic hero is a frozen figure already complete within himself. Lastly, the trilogy comes to the fore with its employment of multiple heroes. The heroes need each other's assistance and guidance, which reveals that they are inadequate, thus novelistic heroes. Companionship is emphasized throughout the trilogy, and only the Elven characters portray that they do not need others' help. When these traits are considered as a whole, it can be concluded that predominantly novelistic characteristics are seen frequently in the heroes. The Hobbits, Frodo, Sam, Merry and Pippin, are the ones closest to the novelistic hero figure due to their unheroic and everyday traits and their needing assistance of others. On the other hand, Aragorn and Gandalf are the heroes that are in between the novelistic and epic hero because they bear lofty traits and a high lineage like the epic hero while they also exhibit novelistic traits such as change and erring. As for the Elves, it can be argued that they are the ones closest to the epic hero figure. They do not deviate from the heroic action; they never complain or show weaknesses or human-related needs, and they do not seek assistance from other characters, so they can be called epic heroes in the Bakhtinian sense.

CHAPTER 4

THE HERO THROUGH LANGUAGE IN
***THE LORD OF THE RINGS* TRILOGY**

Surveying the heroes' representation through language will offer an insight into the novelistic and epic traits of the heroes in *The Lord of the Rings* trilogy considering that both Bakhtin and Tolkien are renowned for their studies in linguistics. Pechey defines Bakhtin, "a philosopher who never forgets that he is also a philologist" (269). Bakhtin gives utmost importance to language use throughout his essays in *Dialogic Imagination*. He argues that the study of differences between epic and the novel should not be limited to mere thematic discussion, but it should be extended to the linguistic dimension as well ("DN" 265). Drawing on from Bakhtin's naming the novel the "leading hero in the drama of literary development" ("EN" 7), Kliger argues that his word choice "hero" is not coincidental as the novel has affected the course of literary utterances. Focusing on the relationship between language and the novel in Bakhtin's discussions, he states:

> Here, the reference to the novel as a hero is not merely metaphoric, I would argue; it is also more strictly terminological. As a hero, the novel introduces the dimension of unfinalizable becoming into the static system of genres, interferes between the speaker and the literary utterance. (562)

Language holds a substantial place in Tolkien's scholarship and writing too. As a professor of English at Oxford University, Tolkien had a deep understanding of linguistics as it is obvious in his constructing an artificial language, Elvish, and offering various usages of Elvish in his works through poems and conversations in the trilogy. Tolkien himself remarks in one of his letters, "I think a primary 'fact' about my work, that it is all of a piece, and fundamentally linguistic in inspiration" (*The Letters of JRR Tolkien* 232). Due to the importance of linguistic elements both for Bakhtin and Tolkien, in this chapter the heroes in the trilogy will be analyzed in terms of heroic speech, parody, polyglossia, heteroglossia, dialogism and polyphony. Since

these concepts are quite broad and intricate among themselves, their scope will be limited to their contribution to the novelistic and/or epic traits of the heroes in the trilogy for the purposes of this study.

An indispensable component of the language aspect in the hero's representation is the hero's speech. Bakhtin argues that what differentiates the novelistic hero from the epic hero is speech and his/her being a speaking subject ("DN" 334). Because the novelistic heroes are speaking figures, they are not represented from the single perspective of the author as voiceless objects, and they speak up for themselves as active subjects. According to Bakhtin, "Characteristics for the novel as a genre is not the image of a man in his own right, but precisely the image of a language. But in order that language becomes an artistic image, it must become speech from speaking lips, conjoined with the image of a speaking person" ("DN" 336). In other words, the hero's language is so important that the hero is defined by the language he/she uses. In *The Lord of the Rings* trilogy, the heroes are speaking characters and have their own voice. The heroes' speech reveals their change, development, psychological depth and testing. Additionally, the varied usages of language by the heroes such as daily language, irony and sarcasm are the elements that posit the heroes in the trilogy as life-like and relatable figures for readers.

One of the defining traits of the novelistic heroes is flexibility, i.e., the hero's ability to change in time. This aspect is reflected in the hero's speech extensively, as Clark and Holquist argue concluding from Bakhtin's *Problems of Dostoevsky's Poetics*: "Characters in a novel are not like flies, immobilized in the object-like amber of the text that surrounds them" (243). The developments, changes and fluctuations the hero goes through are reflected in the hero's speech. One of the clearest examples of this can be seen in the gradual resemblance to Gollum's speech emerging in Frodo's speech. Especially when he gets closer to the final destination of the Ring, Mount Doom, Frodo feels the Ring's effect on himself more than ever. The idea of parting with the Ring and casting it off into its destruction grows heavier and heavier on him. He confesses, "I am almost in its power now. I could not give it up, and if you tried to take it I should go mad" (*RotK* 916) to Sam. His feeling the Ring's power and being on the brink of madness reveal that his mental state gets closer to that of Gollum. The similarity between Frodo and Gollum is reflected onto Frodo's speech as well.

Gollum's speech is characterized by his switching of pronouns and using repetitions frequently. He always mentions the Ring, and the general theme of his speeches is "nothingness." It is as if there is nothing left inside him except for the Ring's absence: "'We are lost, lost,' said Gollum. 'No name, no business, no Precious, nothing. Only empty. Only hungry; yes, we are hungry. A few little fishes, nasty bony little fishes, for a poor creature'" (*TT* 674). As Frodo enters the command of the Ring's power, a similar theme of nothingness along with the repetitions comes up. When Sam asks if he remembers the happier times when they cooked a rabbit or when they saw an oliphaunt, Frodo replies that he knows that such things have happened, but he cannot recall the memory and feeling of them:

> 'No taste of food, no feel of water, no sound of wind, no memory of tree or grass or flower, no image of moon or star are left to me. I am naked in the dark, Sam, and there is no veil between me and the wheel of fire. I begin to see it even with my waking eyes, and all else fades.' (*RotK* 916)

The memory of every earthly thing drifts away from Frodo, and he reveals that he has only the Ring's burning power left inside. He mentions the same "nothingness" Gollum talks about; therefore, it can be argued that the Ring's mechanizations make Frodo resemble Gollum to a certain extent, which reveals that Frodo bears novelistic traits like changing and reflecting this change in his speech as a speaking hero.

The same changing aspect can be observed in Frodo's remembering his previous words about Gollum upon encountering him. When Gandalf tells him about the history of the Ring, Frodo remarks that Bilbo should have killed him right away. During their journey, they find out that Gollum has been stalking them to snatch the Ring. Sam tells Frodo that maybe they should kill him because he has been plotting to attack them. Frodo declines his offer pitying Gollum. This reminds him of his conversation with Gandalf on Gollum, and he realizes how different his current attitude is from his previous ideas:

> It seemed to Frodo then that he heard, quite plainly but far off, voices of the past:
> *What a pity Bilbo did not stab the vile creature, when he had a chance!*
> *Pity? It was Pity that stayed his hand. Pity, and Mercy: not to strike without need.*
> *I do not feel any pity for Gollum. He deserves death.*

Deserves death! I daresay he does. Many that live deserve death. And some die that deserve life. Can you give that to them? Then be not too eager to deal out death in the name of justice, fearing for your safety. Even the wise cannot see all ends. (TT 601)

Although he used to have the same preoccupied attitude towards Gollum as Sam does, upon witnessing Gollum's state, Frodo remarks that they should spare his life. Frodo becomes more accepting and open-minded over the course of the journey. Another remarkable point in this quotation is that Frodo's previous statements are given in italics. As it will be further analyzed in the section related to heteroglossia, distant voices and changes within a speech are emphasized in the trilogy through italics. When a character thinks of another's words or hears another's voice, the change in the speech is marked with italics as well. Frodo's remembering his words during this conversation is presented as his remembering "voices of the past" (*TT* 601). It is implied that his old words sound like an old voice to him; in other words, he has moved away from his previous self. He remembers these words as if they are someone else's words; that is why they are given in italics. Frodo changes from who he used to be in terms of characteristics and worldview, and this change is revealed in his speech.

Along with the hero's speech reflecting his/her development and change, another aspect that gives insight as to him/her is the change in the tone of speech. The hero's talk can take sudden turns in accordance with his/her emotional state or the situation he/she is in. Such changes in the hero's speech represent him/her as an incomplete and a psychologically complicated hero with fluctuations and unpredictable sides. The novelistic hero's speech is not ready-made and still like the epic hero's is, but it is life-like and in line with the hero's state as it reflects him/her as he/she is.

The changes in tone can be observed in every characters' speech in the trilogy. For example, the amiable Frodo can talk aggressively and assertively at times. Although in the beginning he is reluctant to initiate the quest, he cannot stand waiting and decides to set out without asking Gandalf: "'It is going to be a fine night,' he said aloud. 'That's good for a beginning. I feel like walking. I can't bear a more hanging about. I am going to start, and Gandalf must follow me'" (*FotR* 68). Frodo's voice becomes quite resolute in this part; though he generally waits for Gandalf's counsel, he takes the initiative on his own this time. Similarly, when Faramir questions Frodo

about what his quest is all about, Frodo does not reveal the Ring, but he tells that he has an important part in the Council, and only those on the side of the Enemy would try to hinder him (*TT* 649). His tone while giving this answer is described, "Frodo's tone was proud, whatever he felt, and Sam approved of it" (*TT* 649). The change reveals that Frodo takes pride in being the Ring-bearer, and he has identified himself more with his duty when compared to his attitude in the beginning of the quest. Similarly, while he is making Gollum swear to become their servant, Frodo's attitude and tone change. Gollum offers to make an oath on the Ring, and Frodo takes on a grim attitude to show Gollum what a crucial oath he is making. This change in his speech surprises Sam (*TT* 603).

These changes, however, are not limited to positive instances only. For example, when he decides not to throw the Ring into the Crack of Doom, Frodo's tone is clearer than ever, and it bears his resolution, no fear or hesitation (*RotK* 924). In fact, the greatest changes occur in Frodo's tone and words when Sam offers to take the Ring from him. When he discovers Sam has been carrying the Ring for him since he blacked out, Frodo reprimands him so badly that tears well up in Sam's eyes (*RotK* 891). Again, when Frodo says that the Ring is like a millstone around his neck, Sam offers to carry it for him for a while, and Frodo goes mad with anger: "A wild light came into Frodo's eyes. 'Stand away! Don't touch me!' he cried. 'It is mine, I say. Be off!' His hand strayed to his sword-hilt. But then quickly his tone changed. 'No, no, Sam,' he said sadly. 'But you must understand. It is my burden, and no one else can bear it'" (*RotK* 916). Frodo's speech, voice and tone take a quite different turn at such times. He is generally quite gentle with Sam; however, he talks to him as if he is an enemy when it comes to lending the Ring. He has a commanding and threatening tone, and he even uses insults like "thief" (*RotK* 891). He is as if seized by a force, so the changes in his speech are in line with the changes in his inner state.

Similar changes and fluctuations can be observed in other characters' speech as well. For example, Sam's tone changes occasionally, which Frodo realizes:

> It did not sound like the voice of the old Sam Gamgee that he thought he knew. But it looked like the old Sam Gamgee sitting there, except that his face was unusually thoughtful. . . 'I know we are going to take a very long road, into darkness; but I know I can't turn back. It isn't to see Elves now, nor dragons, nor mountains, that I want – . . . I must see it through, sir, if you understand me.' (*FotR* 85).

Sam sets out on the quest with naïve expectations like seeing magical lands and creatures, unaware of the possible dangers. After meeting with the Elves, a change comes over him, and he gains a more mature understanding as to the quest and his responsibilities as the companion of the ring-bearer. His realization of the grim nature of his task is reflected in his speech through a change in his tone.

A similar change can be seen in Gandalf's speech as well. Frodo tells it should be Gandalf who takes up the Ring because he is the most skillful and wise one, but Gandalf jumps to his feet angrily: "His eyes flashed and his face was lit as by a fire within. 'Do not tempt me! For I do not wish to become like the Dark Lord himself. . . . Do not tempt me!'" (*FotR* 60). Right before this part of the conversation, Gandalf has been talking to Frodo in a regular manner, even more timidly than he normally does because he reveals to him his task of carrying the Ring to its destruction. However, Frodo tells due to his wisdom and great might he should take it, and he gets angry since these are the ways in which the Ring might tempt him. His reaction implies that Gandalf too is liable to temptation like any other character is. He is afraid of becoming like the Dark Lord, which represents him as a psychologically complicated character with dark traits. After Gandalf returns as the White, Aragorn, Legolas and Gimli mistake him for Saruman. Until they understand that he is Gandalf, he talks in such a paradoxical and strange manner that they cannot infer his identity from his speech. It seems like Gandalf has forgotten some knowledge about himself too. When Aragorn tells his name for the first time, Gandalf says, "'Yes, that was the name. I was Gandalf'" (*TT* 484). Upon his name being called, Gandalf gains his old speech: "the voice was the voice of their old friend and guide" (*TT* 484), which reveals the intricate relationship between the hero's identity and his/her speech. Such changes can be observed in Aragorn's tone as well. His speech takes an authoritative and aggressive tone when Sam questions if he is the real Strider. Angry at his distrust, he daunts Sam saying if he wanted, he could have killed them and taken the Ring much earlier. The change in his speech is portrayed as:

> He stood up, and seemed suddenly to grow taller. In his eyes gleamed a light, keen and commanding. Throwing back his cloak, he laid his hand on the hilt of a sword that

had concealed by his side. They did not dare to move. Sam sat wide-mouthed staring at him dumbly. (*FotR* 168)

Since Aragorn spends too much time with other characters and does not patronize them, they tend to forget Aragorn's high lineage and treat him like an ordinary character. That is why, he needs to remind them of his origins at times. Before he departs for the Paths of the Dead, he says farewell to his companions. While all of them give their warnings to Aragorn, he tells them that he has spoken to Sauron through the Stone of Orthanc. Gimli gets angry at him saying even Gandalf would not dare to do it, and Aragorn answers him in an aggressive way, tired of all these warnings:

> 'You forget to whom you speak,' said Aragorn sternly, and his eyes glinted. 'What do you fear that I should say to him? Did I not openly proclaim my title before the doors of Edoras? Nay Gimli,' he said in a softer voice, and the grimness left his face, and he looked like one who has laborued in sleepless pain for many nights. (*RotK* 763)

Aragorn softens his manner later, but this sudden change in his speech reveals that he thinks others should pay attention to their attitude while talking to him. Besides these differences and fluctuations, the heroes' speech and their styles are quite marked throughout the trilogy. Even if the name of the speaker would not be given, one could discern which character is speaking, judging from manner, tone and word choice. Sam's loving nature, Frodo's concerns and torment, Gandalf's wisdom, Aragorn's might and Gollum's craving are all felt throughout their speech. This implies that the heroes are differentiated, so their speech is not still and unchanging. Each hero in the trilogy is individualized, which is not the case in the portrayal of the epic heroes who are created out of a common storehouse of figures and give the impression as if they are all the same ("FTCN" 153). Due to this variance, discourses and speech styles are unique to each character. This can be observed in the speeches of Gimli and Legolas in the part where they enter the city Minas Tirith. Their perspectives on the city are quite different although they are looking at the same scenery. Gimli says, "'There is some good stone-work here,' . . . 'but also some that is less good, and the streets could be better contrived. When Aragorn comes into his own, I shall offer him the service of stonewrights of the Mountain, and we will make this a town to be proud of.'" On the other hand, Legolas remarks, "'They need more gardens,' . . . 'The houses are dead,

and there is too little here that grows and is glad. If Aragorn comes into his own, the people of the Wood shall bring him birds that sing and trees that do not die'" (*RotK* 854). As a dwarf, Gimli is more interested in the stone work which is a peculiar art of the Dwarves in the architecture of the city. He talks of offering help in restoring the stone work and reveals that it will turn into a city to be proud of. It is also clear that he is sure that Aragorn will take over the city in his saying "when." Legolas, on the other hand, pays attention to nature and finds the city lacking in its gardens as a result of the Elves' love of nature and gardens. He is sure that the Elves will help Aragorn in restoring nature. However, he is more cautious in Aragorn's taking over the city as he uses "if." The Elves are more cold-blooded in comparison to the Dwarves, and this is reflected in Legolas's thinking of the reverse scenario.

In addition to revealing the changes and characteristic traits of the heroes, the hero's speech is important also because it entails the testing of the hero's discourse, which is the defining feature of the novelistic hero according to Bakhtin:

> The idea of testing the hero, of testing his discourse, may very well be the most fundamental organizing idea in the novel, one that radically distinguishes it from the epic. From the very beginning the epic hero has stood on the other side of trial; in the epic world, an atmosphere of doubt surrounding the hero's heroism is unthinkable. ("DN" 388)

Unlike the epic hero, the heroes in the trilogy are being tested as to their discourse throughout the trilogy, which makes them closer to novelistic heroes. For example, Frodo's decisions and views are always questioned by others. Although he is the ring-bearer, his orders are not followed right away, but questioned. To illustrate, Frodo offers to take a short cut, but all others contradict his offer (*FotR* 86). On the other hand, Sam has doubts as to Gollum's loyalty to Frodo even after he swears to be his servant. He does not believe that Gollum only wants to help them, and his humane side has won after Frodo addressed to the Sméagol inside him (*TT* 624). Sam's doubts and openly despising Gollum are contestations to Frodo's decisions. He does not follow Frodo's ideas blindly, but he criticizes him and voices his objections. A clearer instance of the hero's being tested through discourse can be seen in Sam's going through a test made by the Elves in the beginning of the quest. Sam narrates this dialogue with the Elves to Frodo when Frodo asks if he is sure to be his companion:

'If you don't come back, sir, then I shan't, that's certain,' said Sam. '*Don't you leave him!* they said to me. *Leave him!* I said. *I never mean to. I am going with him, if he climbs to the Moon, and if any of those Black Riders try to stop him, they'll have Sam Gamgee to reckon with*, I said. They laughed.' (*FotR* 85)

In this conversation, Sam proves his genuine loyalty both to the Elves and Frodo, and Frodo eventually responds, "Gandalf chose me a good companion. I am content" (*FotR* 85). Additionally, the writing in italics indicates quoting one's speech, which is an element of polyphony as it will be analyzed in the following parts. The testing of discourse occurs even in the most powerful characters' speech. To illustrate, Gandalf proposes to take the road to the Mithril Gate, and the rest of the company half-heartedly accept it. Boromir, on the other hand, openly rejects it and says, "'I will *not* go'" (*FotR* 289). He resolves to take that road out of obligation and keeps muttering under his breath along the way saying Gandalf's choice is an ill one (*FotR* 292). In fact, Boromir frequently challenges others, as he states that he suspects Aragorn (*FotR* 241) and finds Lady Galadriel dangerous (*FotR* 349). A distrust as to Gandalf can be seen in the conversation between the gatekeepers of Théoden as well. One of the gatekeepers says, "'I will wait until I see Gandalf again,'" and the other replies, "'Maybe you will wait long'" (*TT* 516), revealing his suspicions about Gandalf.

The testing of the hero's speech and the changes in the hero's speech portray a relatable and human-like figure of the hero. Similarly, the hero's usage of daily language is an aspect that contributes to the novelistic hero's relatable and ordinary representation. Poetic and lofty usages of language are excluded from the heroes' speech; thus, the reader can more easily connect with them. In addition to daily and chatty conversations among the heroes such as the conversations about food in the chapter "Of Herbs and Stewed Rabbit" (*TT* 634-648), varied usages of language can be encountered in comical events or ironic remarks, such as Aragorn's scolding Sam for questioning him and saying, "'with Sam's permission we will call that settled'" (*FotR* 168). Among those studying Tolkien, there are differing views as to the usage of irony in the trilogy. While Raman defends that irony is employed in the trilogy (95), Simonson argues that irony and parody are missing from the trilogy due to Tolkien's serious treatment of past (65). However, the instances of parody and ironic statements

do occur especially in the dialogues among the heroes, but they generally emerge in the form of characters' criticizing or making jokes on one another as seen in the example above.

Parody is an indispensable aspect that should be paid attention to in the heroes' representation through language because the inclusion or the lack of parody in the heroes' discourse and representation would reveal their novelistic and epic traits. According to Bakhtin, parody has a prominent role in the development of the novel genre since the transition from epic to the novel is marked by parodic representations, which occurred first in the form of "the ridiculing of another's language and another's direct discourse" ("FPND" 50). Korkut draws attention to the essentiality of parody for the novel remarking: "The novel is an ever-developing genre due to its parodic representations" (63). Thanks to the "double-coded nature" of parody, a single and unitary dominant discourse is eliminated from the novel, leading to dialogism and polyphony (Korkut 71).

In *The Lord of the Rings* trilogy, parodic intents occur in the parodying of the heroic image. The trilogy presents the heroes, especially the Hobbits, with their unheroic traits and actions. This could be accounted as the subversion of the traditional hero image. It would be expected from the trilogy to incorporate god-like and formidable heroes due to its grand scale of events; however, the heroes of the trilogy are ordinary figures struggling with their tasks. As it can be seen in the chapter devoted to the heroes' characteristics in this study, the Hobbit-heroes bear unheroic traits by their nature such as chubbiness and avoiding danger. They are also represented as bodily beings, for they can be seen hungry, thirsty or complaining about fatigue. Including such down-to-earth characters, one of whom is the main hero, within a grand and serious series of adventure and a perilous task serves as the source of parody. On the other hand, unheroic and everyday traits are excluded from the representation of Gandalf, Aragorn and Legolas since all of them have a valorized stance among other characters. They do not display ordinary traits or bodily needs; therefore, they easily fit in the heroic tasks and dangerous situations. This lack of parody in their representation brings them closer to the epic hero figure.

In *The Lord of the Rings* trilogy, parody in the heroes' representation occurs also when the heroes engage in comical situations and actions. To illustrate, Sam, the

closest character to Frodo, first appears in the trilogy while eavesdropping on Frodo and Gandalf. When Gandalf grabs him by the collar, he begs Frodo not to let Gandalf turn him into something strange (*FotR* 62). In fact, the Hobbits are defined as a merry folk with "mouths apt to laughter and to eating and drinking" (*FotR* 2). By their nature, the Hobbits can find something to laugh at even at the darkest times, which serves as a source of parody. The Hobbits' fondness for merriment and laughter can be seen in Bilbo's interest in birthday parties despite his old age. They might exaggerate the fun in such situations like Bilbo's putting the Ring on in front of all his guests. A similar event occurs at the Prancing Pony when Frodo and his companions engage in entertainment and sing ridiculous songs, and by mistake Frodo puts the Ring on (*FotR* 57). Gandalf defines this trait of theirs as "'These hobbits will sit on the edge of ruin and discuss the pleasures of the table, or the small doings of their fathers, grandfathers, and great-grandfathers, and remoter cousins to the ninth degree, if you encourage them with undue patience'" (*TT* 545). Sam displays these exact traits that Gandalf mentions when he and Frodo fall into a pit. Frodo is struck blind there, but Sam keeps talking about his father Gaffer and his sayings. Despite his difficult situation, even Frodo laughs at his chit-chatting (*TT* 594). When Sam cannot unbind the rope with which they descend into the pit, Frodo makes fun of Sam's rope-knotting skills. Sam feels offended due to his comment; later, again comically, Sam feels sorry for leaving this rope behind (*TT* 596-597). Similarly, Sam reads a poem about oliphaunts, a magical animal type, and this poem is so childish that Frodo raises a laugh amid his misery: "Frodo stood up. He had laughed in the midst of all his cares when Sam trotted out the old fireside rhyme of *Oliphaunt*, and the laugh had released him from hesitation" (*TT* 633). Parodic representations occur when the Hobbits find themselves in ceremonial occasions as well. To illustrate, Frodo feels rustic and untutored at the meal with Faramir's men because he has no knowledge as to table manners (*TT* 661), and Frodo and Sam blush after all the praise they get in Aragorn's coronation (*RotK* 932). A similar situation occurs when Frodo wants to sneak out and start the quest on his own not to put anyone's life in danger. However, he is caught by others and told that they all knew his intention from the very beginning (*FotR* 101-102).

These parodic elements that entail the heroes' ability to make fun and their comical representation act like a comic relief in the darkest parts of the narrative. Even

in the Dead Marshes, which is one of the most horrid places through which Frodo and Sam have to cross, parody makes itself felt. They are shocked by the sight of the dead bodies floating underneath the water. Frodo wonders if they can reach and save them from the marshes, to which Gollum replies that he tried to touch them once, but he could not. Sam is disgusted by the thought that Gollum tried to reach them to eat them (*TT* 614) since he always eats raw and rotten things. Similarly, while Sam is struggling to hide from Orcs, he wonders if songs would mention his brevity (*TT* 718). When these instances are considered in general, Sam's naïve qualities come to the fore as the comic relief elements; in fact, Frodo states that future readers of their tale will resent it if Sam is given less place in the narrative because they would find Sam's speech hilarious (*TT* 697). These elements make them novelistic heroes since "The literary epic avoids comic relief" (Tracy 80).

Parodic elements occur in the heroic traits and representation of the Hobbit-heroes whereas parody occurs in the other's discourse in rare occasions. Such an instance can be seen in Gimli's losing himself with anger and joy simultaneously upon encountering Merry and Pippin who are quite at comfort although Gimli, Aragorn and Legolas have been looking for them for such a long time: "'You rascals, you woolly-footed and wool-pated truants! A fine hunt you have led us! Two hundred leagues, through fen and forest, battle and death, to rescue you! And here we find you feasting and idling – and smoking! Smoking! Where did you come by the weed, you villains?'" (*TT* 543-544). Similarly, the critical state of Éowyn, Faramir and Merry at the healing house does not detain Aragorn from mocking the healing-lady who talks too much (*RotK* 846). When Gandalf is struggling to find the password that opens the Mithril Gate of Minas Tirith, Pippin bores him with his questions about what he is going to do, to which Gandalf answers: "'Knock on the doors with your head, Peregrin Took'" . . . "'But if that does not shatter them, and I am allowed a little peace from foolish questions'" (*FotR* 299). It can be inferred that parody is absent in the representation of Aragorn and Gandalf while they utter comical statements, but these instances also include a hint of ridiculing the other, which is a way of their establishing power over other characters through ironic statements.

The employment of parody in the heroes' representation is also important since it results in the variations in the hero figure. The novelistic hero is not stereotypical

like the epic hero because his/her representation breaks away from the conventional hero figure through parody, which brings about the subversion of the hero image. Due to the "uncrowning of the hero through laughter" ("EN" 23), the novelistic hero is brought to the same plane with readers, and they can analyze the hero from all aspects and have a more insightful view as to the hero. The heroes in the trilogy are represented parodically, and they can engage in comical situations even during the most serious events. Through the employment of parody, the heroes of the trilogy come closer to novelistic heroes. Examples of this novelistic democratization can be seen in the Hobbits' being the main heroes. Tolkien chooses a Hobbit, smaller and simpler figure than the average human, for the harrowing journey towards Mordor. As the name "Halfling" suggests, the Hobbits are half a person, which is evident in their immaturity and unheroic qualities. Although the Hobbits are in no sense heroic, physically fit or wise, they go through such perils that reveal the hidden traits lying in their personality. This leads to the incorporation of multiple heroes as well contrary to the epic hero who is taken from a common storehouse of heroes, as Bakhtin argues. Thanks to parody, the trilogy can employ unlikely and a multitude of heroes like Frodo and Sam:

> And Tolkien's fantasy is, indeed, subversive in its portrayal of heroes as antiheroes – hairy-footed aging Halflings, a dirt-caked Ranger, a rebellious niece who wants to protect her uncle and king, among others. Through his elevation of such figures to heroic stature, Tolkien provides a means for Everyman to use his (or her) small, inferior abilities to aid others, out of a love and loyalty that are lifted out of medieval heroic poems. (Chance and Siewers 10)

The breaking down of the streotypical image of the hero leads to the multiplicity of the heroes and their assisting one another. For the heroes in *The Lord of the Rings* trilogy, heroism is not limited to one character; other characters portray heroic acts while helping the hero or engaging in heroic acts on their own. Sam's statement here has a symbolic, even a metafictional quality: "'Gollum!' he [Sam] called. 'Would you like to be the hero?'" (*TT* 697). This statement implies that heroism can be expected from the least likely; ironically, the quest ends up with Gollum's being the hero who does the final deed. Additionally, thanks to this variation, the heroic figure is not limited to male characters solely because the trilogy employs female heroes as well, such as Éowyn, Arwen and Galadriel. Neville points out the importance of these

female heroes as "it is striking that male characters without female counterparts often fare poorly in Tolkien's work (Gollum, Saruman, Sauron, Boromir, Denethor, Ents, arguably Frodo himself), while heterosexual couples embody the positive forces (Arwen & Aragorn, Éowyn & Faramir, Sam & Rosie)" (107). Among these female heroes, Éowyn, the niece of the king Théoden, comes to the fore because of her warrior skills. She takes part in the Battle of Pelennor Fields under the guise of a male warrior, and she slays the Witch-king. Although she states that she wants to fight alongside the fellowship many times, she is always left behind to take care of the house of Rohan due to her gender. She protests against the passive role given to her and her fate being decided by men instead of her own decisions:

> 'Shall I always be chosen?' she said bitterly. 'Shall I always be left behind when the Riders depart, to mind the house while they win renown, and find food and bed when they return?' . . . 'All your words are but to say: you are a woman, and your part is in the house. But when the men have died in battle and honour, you have leave to be burned in the house, for the men will need it no more. But I am the House of Eorl and not a serving-woman. I can ride and wield blade, and I do not fear either pain or death.' (*RotK* 767).

As it is clear in Éowyn's statement above, the roles assigned to women in Middle Earth are domestic such as taking care of the household while men are away at the battle or tending to the guests with food and shelter. These domestic roles are reminiscent of the roles assigned to female characters in epic. Generally, female characters are portrayed as the helpers of the male heroes as the housekeeper, peace weaver or the mourner. Therefore, the female heroes in epic do not portray agency. On the other hand, the female heroes that are given agency are generally dangerous ones such as Grendel's mother in *Beowulf*. When compared to peaceful air of other female characters in *Beowulf*, Grendel's mother is totally devoid of any humanly trait. Franco argues that Penelope in *Odyssey* stands out with her agency in withholding her suitors and tricking them into her own means; however, she points out, "textual redundancies in the poem, along with the narrative and actantial patterns, insistently warn against dangers inherent in female agency free from male control" (59). In epic, female characters are given a secondary role, which renders the employment of female epic hero impossible. Similarly, Franco observes that in epic, "Warfare is men's business. Men and women are separated by the gap resulting from women's exclusion from the

the [sic] sphere of virile courage (*andreia*) and self-defense (*alke*) to be displayed on the battlefield" (58). That is why, Éowyn's being included in the epic-like, grand scale of events and in the battle that determines the course of the quest is a contradiction to the stereotypical male and formidable hero both in Middle Earth and in works of epic.

Bakhtin explains that in parodic statements, there are two orders of language, one language is being parodied, and the other language is the parodying one remarking "in parody two languages are crossed with each other, as well as two styles, two linguistic points of view, and in the final analysis two speaking subjects" ("FPND" 76). Therefore, parody also entails dialogism, which is another linguistic aspect that would give insight into the hero's novelistic and/or epic traits. Dialogism could be defined as "the characteristic epistemological mode of a world dominated by heteroglossia" (*DI* 426), and it entails the idea that the meaning of an utterance does not stand on its own, but it has relation to a broader scope of other meanings. Bakhtin explains it as follows:

> The living utterance, having taken meaning and shape at a particular historical moment in a socially specific environment, cannot fail to brush up against thousands of living dialogic threads, woven by socio-ideological consciousness around the given object of an utterance; it cannot fail to become an active participant in social dialogue. ("DN" 276)

Therefore, meaning-making is a result of the contestation of different meanings, which Vice explains as "the ceaselessly shifting power relations between words, their sensitivity to each other and the relativizing force of their historically motivated clashes and temporary resolutions" (5). An example of dialogism can be seen in Éowyn's statements in her encounter with the Witch-king. When the Witch-king challenges her saying, "'No living man may hinder me!'" Éowyn draws attention to her femininity replying, "'But no living man am I! You look upon a woman'" (*RotK* 823). Éowyn subverts the notion of "man" by taking it from its meaning as humanity in general and limiting it to a sex. This can be accepted as an instance of dialogism since Éowyn contests the meaning of the utterance "man" in accordance with her identity and ideological position as a female warrior.

Interestingly, a parallelism exists between Tolkien's writings and the Bakhtinian term dialogism. According to Shippey, "A text, to Tolkien Sr., was not just

the words on the page one happened to be reading, it was also the whole history of how the words got there" ("Light-elves, Dark-elves, and Others" 11). Shippey does not point out any Bakhtinian link here, but the meaning-generating part clearly is in line with dialogism, which posits that a meaning should be understood its larger meaning and various meanings that are in relations with each other. In the trilogy, the most prominent example of dialogism can be seen in metafictional elements. In *Metafiction*, Waugh draws attention to the presence of two oppositional forces metafiction bears naming them as, "the construction of a fictional illusion (as in traditional realism) and the laying bare of that illusion" (6). She also points out the link between metafiction and dialogism that Bakhtin establishes: "Mikhail Bakhtin has referred to this process of relativization as the 'dialogic' potential of the novel. Metafiction simply makes this potential explicit and in so doing foregrounds the essential mode of all fictional language" (5). The relationship between dialogism and metafiction grounded, it is advisable to turn to the relationship between metafiction and parody because as Hutcheon argues, there is a link between them as well:

> Parody develops out of the realization of the literary inadequacies of a certain convention. Not merely an unmasking of nonfunctioning system, it is also a necessary and creative process by which new forms appear to revitalize the tradition and open up new possibilities to the artist. Parodic art both is a deviation from the norm and includes that norm within *itself* as backgrounded material. Forms and convention become energizing and freedom including in the light of parody. (*Narcissistic Narrative* 29)

According to Hutcheon, parody enables new forms to emerge by opening up the existing literary conventions to different possibilities while retaining the norm itself. Thus, metafiction has a dialogic nature, which contributes to the dialogism and polyohony of the novel:

> the language of parodic texts . . . refers both to itself and to that which it designates or parodies. These ideas speak about the dialogic and polyphonic of this type or mode of fiction. Parodic metafictions would then be one of the perfect concretizations of the Bakhtinian non-monologic, parodic self-reflexive narrative forms. (*A Theory of Parody* 67)

From these viewpoints and arguments, it can be drawn that there are intricate and myriad links among the terms parody, metafiction and dialogism. Therefore, dialogism

is accepted to be inherent both in parodic forms and metafictive elements in the trilogy. On the other hand, the parodic representations of the heroes and parodic elements in their discourse include metafictional qualities because parody entails self-reflexivity and dialogism through which former forms and representations come to be negotiated through metafiction. As Bakhtin argues that the "ability of the novel to criticize itself [by means of parodic stylizations] is a remarkable feature of this ever-developing genre" ("EN" 6).

Dialogism in the form of metafiction entails a redefinition of the story and heroes, and it is most overt in the dialogues between Sam and Frodo, and their heroization. In the chapter "The Stairs of Cirith Ungol" (*TT* 688-701), a wide section employs metafictional elements, and it is made clear that Frodo and Sam are aware of being a part of a story. When Sam asks, "'Don't the great tales never end?'" Frodo replies, "'No, they never end as tales. . . . But the people in them come, and go when their part's ended. Our part will end later – or sooner'" (*TT* 697). Frodo acknowledges that they are heroes within a tale. His awareness as to their position is also apparent in his saying that the readers of their tale will resent if Sam is not given enough voice because his speech is hilarious (*TT* 697). Similarly, Sam displays the same consciousness as to their position as heroes:

> 'Still, I wonder if we shall ever be put into songs or tales. We're in one, of course; but I mean: put into words you know, told by the fireside, or read out of a great big book with red and black letters, years and years afterwards. And people will say: "Let's heart about Frodo and the Ring!" And they'll say: "Yes, that's one of my favorite stories. Frodo was very brave, wasn't he, dad?" "Yes, my boy, the famousest of the hobbits, and that's saying a lot."' (*TT* 697)

Sam's speech about their being in a tale and being put in a book are metafictional because they are actually characters in a book. Additionally, he and Frodo have become famous all over the world, being loved by the fans of Tolkien. This metafictional trait is quite unorthodox for *The Lord of the Rings* since it is a work of fantasy fiction. A secondary world is created and the readers' believability in the story should not be jeopardized, according to the traditional view of fantasy, because it is already distant from the real world. However, the heroes' awareness of their being part of a narrative is so artistically crafted that this does not disrupt the course of fantasy in

the trilogy. The following part of this dialogue entails a metafictional trait along with a deep understanding of novelistic heroism as well. While contemplating their role in the quest, Sam turns to Gollum and says, "'I wonder if he thinks he's the hero or the villain?'" (*TT* 697). His remark reveals the novelistic idea of heroism as every character thinks himself/herself to be the hero of the story. Though for Sam, he is the villain, Sam's comment also reveals that Gollum might see himself as the hero and offers insight as to multiplicity of the views of the heroes. In addition to these examples, metafiction appears in numerous other instances such as Sam's wondering how the songs will depict his brevity in the face of Orcs (*TT* 718) and his wanting to hear their tale being told (*RotK* 929), and Frodo's commenting that the readers will find Sam's speech humorous (*TT* 697) and his guessing that at some point the readers will think their tale to be too dark (*TT* 697). It is apparent that metafictional elements are employed quite often in the trilogy for a work of fantasy, which can be accepted as a subversion of the genre and the position of the heroes. In line with Hutcheon's discussion of parodic representations as tools for laying bare the dysfunctionalities and inadequacies of traditional forms, these metafictional elements work for the subversion of the heroism and fantasy genre by problematizing the traditional notion of heroism and conventionalized heroic representation and how the hero is regarded by the readers of that tale.

Another metafictional remark by Sam that concerns heroism is quite noteworthy for the purposes of this study because he is in fact juxtaposing Frodo and himself with conventional epic heroes in this speech:

> 'And we shouldn't be here at all, if we'd known more about it before we started. But I suppose it's often that way. Brave things in the old tales and songs, Mr. Frodo: adventures, as I used to call them. I used to think that they were things the wonderful folk of the stories went out and looked for, because they wanted them, because they were exciting and life was a bit dull, a kind of a sport, as you might say. But that's not the way of it with the tales that really mattered, or the ones that stay in the mind. Folk seem to have just landed in them, usually – their paths were laid that way, as you put it. . . . We hear about those as just went on – and not all to a good end, mind you; at least not to what folk inside a story and not outside it call a good end. You know, coming home, and finding things all right, though not quite the same – like old Mr. Bilbo. But those aren't always the best tales to hear, though they may be the best tales to get landed in! I wonder what sort of tale we've fallen into?' (*TT* 696)

This speech is of primary importance for this study because what Sam is talking about is beyond metafiction; it is an insight into the epic hero and novelistic hero distinction that Bakhtin proposes. Sam says he used to think the heroes in great stories, who can very well be interpreted as the epic heroes, are great ones. He envies them for throwing themselves into adventure out of boredom, which is the perfect equivalent of Bakhtin's definition of still world of epic and Lukács's definition of blissful epic world (122). He also says that they seem restored and secured both during the adventure and after their heroic task is over. He compares them to himself and Frodo, who are thrown into the adventure all of a sudden and not secured at all. Frodo's and Sam's talking about their position as the heroes of the trilogy is an instance of metafiction. The heroes are opened into the present and gain an unfinalized trait due to the dialogic and parodic elements. That is why, *The Lord of the Rings* trilogy unfolds like an epic in-the-making, or a novelized epic, whose story and heroes are not yet finalized. Frodo's and Sam's mentioning of the fire-side stories is reminiscent of the folk's gathering around a bard in ancient times and listening to the adventures of epic heroes. When their tale is finished, they will be epic heroes too in Middle Earth, and their tale will circulate among the generations of Hobbits through songs, but for the readers of *The Lord of the Rings* trilogy, they are presented as the novelistic heroes; that is why, Frodo and Sam are not heroic, completed and secured as epic heroes are.

Another relation of the heroes' language to their novelistic and epic traits is polyglossia since Bakhtin defines polyglossia as one of the basic distinguishing features of the novel: "(1) its stylistic three-dimensionality, which is linked with the multi-languaged consciousness realized in the novel" ("EN" 11). Bakhtin mentions the emergence of polyglossia as a transition from the conventionalized genres to the novel. He argues that languages have always existed side by side, but with the introduction of different languages throughout Europe, this diversity took a different turn from peacefully co-existing to interilluminating one another. Bakhtin calls this world an "actively polyglot world" ("EN" 12) which changed the life and mindset of its time. Bakhtin holds that the novel can achieve uniqueness among other genres and create unique and life-like heroes thanks to its close contact with language, thus with polyglossia ("EN" 13) in addition to parody.

In *The Lord of the Rings* trilogy, the heroes are engaged in multiple languages. The main languages can be grouped as the Common Language, which everyone in Middle Earth understands, the Elvish, which is the oldest one, and the Orcs' language. Among these languages, various usages like poetry and scripts occur only in the Common Language and Elvish. Elvish seems to have a deeper significance for the trilogy as it is stated, "'Elves made all the old words: they began it'" (*TT* 454). The heroes engage in these languages extensively, which equals to the novelistic traits such as inclusion of "multiple consciousnesses" and "interanimation of these languages" in the heroes' speech ("FPND" 50-51). Firstly, it is noteworthy that the Ring gives understanding of a foreign language to the bearer if he/she puts it on (*TT* 717). In this way, Sam can understand the Orcs' talk and learns about their plans and Frodo's state in the Tower of Cirith Ungol, where they are stuck (*RotK* 885). The tone of the Orcs' talk stays the same although their words become intelligible for Sam since they keep insulting, cursing and threatening one another.

Secondly, the instances of code switching in the heroes' speech are worth noticing. The Hobbits Frodo and Sam do not speak Elvish since they have had no interaction with the Elves before the quest, but it can be inferred that Gandalf speaks Elvish when his age and knowledge are considered. Although it is not a case of code switching, Gandalf's reading the Elvish words engraved on the Ring gives an insight as to the qualities of Elvish. He reads the Elvish words that mean "*One Ring to rule them all, One Ring to find them, One Ring to bring them all and in the Darkness bind them*" out loud in the Council of Elrond, and all others shudder with dread: "The change in the wizard's voice was astounding. Suddenly it became menacing, powerful, harsh as stone. A shadow seemed to pass over the high sun, and the porch for a moment grew dark. All trembled, and the Elves stopped their ears" (*FotR* 248). The changes in others' reaction and Gandalf's tone reveal that the usage of Elvish deepens the gravity of these words. Therefore, Elvish has an enchanting effect on the user and hearer. This can be observed in Frodo's and Sam's occasional usage of Elvish. Though they do not speak it, they strangely utter intelligible words in Elvish. After Shelob strikes Frodo and he faints, Sam loses his strength but wants to gather his courage to get revenge on Shelob. He holds onto the Phial of Galadriel and suddenly starts to speak in Elvish:

"And then his tongue was loosed and his voice cried in a language which he did not know":

> *A Elbereth Gilthoniel,*
> *o menel palan-diriel,*
> *le nallon si di'nguruthos!*
> *A tiro nin, Fanuilos!* (*TT* 712)

Unintentionally, Sam speaks in the language of Elves whom he loves dearly, and these words give him the strength to stab Shelob. Similarly, while they are trying to escape from the Tower of Cirith Ungol where they are trapped by the Orcs, Frodo and Sam manage to make it for the gate, but they cannot get out because the Watchers cast a spell to hinder their escape. Both Frodo and Sam lose their strength, and Frodo falls on the ground. At that moment, Sam again takes out the Phial and speaks in Elvish: "'*Gilthoniel. A Elbereth!*' Sam cried. For, why he did not know, his thought sprang back suddenly to the Elves in the Shire, and the song that drove away the Black Rider in the trees. '*Aiya elenion ancalima!*' cried Frodo once again behind him" (*RotK* 894). These words break the Watchers' spell, and Frodo and Sam manage to let themselves out. It can be concluded from these instances that Elvish has a magical quality among other languages of Middle Earth as the heroes switch to Elvish when they are in grave trouble or need courage and strength to accomplish a deed. The usage of Elvish by Frodo and Sam despite their not speaking the language implies that the courage and heroism are deeply residing in their bosom and their weak moments do not single out their heroism. Their achieving great heroism and courage along with the supernatural aid that comes with the language hint at the epic qualities attributed to the Elves in the trilogy as well. In other words, the inclusion of multiple languages like Elvish by the heroes reveals their novelistic qualities while the supernatural state of Elvish endorses epic qualities to the Elves in the trilogy.

Deeply connected to polyglossia, heteroglossia emerges as an aspect of the hero's speech. Heteroglossia functions only under the conditions of polyglossia since it entails meaning-making of multiple consciousnesses. The centripetal and centrifugal forces battle to determine the meaning of an utterance. For Bakhtin, the novel is a "de-

normatizing and therefore centrifugal force" (*DI* 425), and Vice emphasizes the importance of the heteroglossia for the novelistic heroes saying, "It is heteroglossia, in other words, which gives novelistic characters the opportunity to exist" (25). As Vice explains, the novelistic heroes exhibit centrifugal usages of language, which entail external and internal dialogues, languages of social groups within the common language and the incorporation of extraliterary genres as Vice explains:

> Within the novel, these forms of heteroglossia appear as, first, characters' dialogue and inner speech; second, the various kinds of 'speech genre' . . . languages of a profession, class, literary school, newspaper, and so on; and third, texts which reproduce a culture's various dialects and languages. . . (19)

The heroes of the trilogy can be seen participating in all of these examples of heteroglossia through their speech. The first aspect of heteroglossia can be surveyed in the dialogues among the heroes. Bakhtin points out the significance of dialogues for the heteroglossia as:

> The development of the novel is a function of the deepening of dialogic essence, its increased scope and greater precision. Fewer and fewer neutral, hard elements ("rock bottom truths") remain that are not drawn into dialogue. Dialogue moves into the deepest molecular and, ultimately, subatomic levels. ("DN" 300)

Novelistic heroes interact through dialogues, which eliminates singularity and totalitarianism of an imposed single truth. In the trilogy, the heroes negotiate and discuss with each other on various issues from serious negotiations about the course of the journey to simple daily chatting. Similarly, Mendlesohn describes the dialogues in the novel as "the conversation is chatty, while neither interrogation nor excessively informative" (32). For example, in contrast to the elevated speech style of epic heroes, in *The Lord of the Rings* trilogy, the heroes can be seen chatting about trivial and ordinary things, such as bath (*FotR* 99) or eating habits (*TT* 640). According to Vice, Bakhtin's view of dialogue in the novel contains two versions, one "external dialogue (between characters)" and the other "internal dialogue (within characters)" (132).

In the trilogy, the examples of external dialogue occur mostly in the form of negotiation. To illustrate, the heroes discuss Gandalf's suggestion to take the road to the Mithril Gate (*FotR* 288). All of them except for Gimli have suspicions as to this

offer, and especially Boromir resists it (*FotR* 292). Debating and opposing to Gandalf's offer – though he is the wisest character – point out the importance of negotiation through dialogue. Similarly, The Council of Elrond (*FotR* 233-265) is a remarkable example of negotiating opinions because in this council the fate of the One Ring, the route of the quest and who will be the ring-bearer are discussed. A similar council is held in Aragorn's Tent before the Battle of Pelennor Fields (*RotK* 860) about what course of action they should take against the forces of Sauron.

External dialogues also establish connection between polarized groups and opposite characters. Dwarves and Elves are quite hostile to one another due to their conflicts in past. Therefore, Gimli and Legolas treat each other reservedly; in fact, they put up with each other just because they are in the Fellowship of the Ring. They remind each other about the past mistakes through vitriolic comments (*FotR* 295) often especially in the beginning of the adventure. However, in time, they get used to each other and even become good friends through establishing dialogue. Similarly, in their first meeting, Éomer and the riders beside him treat Aragorn, Gimli and Legolas quite rudely; thus, the groups get tense towards each other, but as they converse, they understand neither company have ill intentions. Eventually, Éomer gives them his horses, which is a great gesture of trust and companionship in his culture (*TT* 426). Another case of establishing dialogue can be seen between Frodo and Gollum. All other characters treat Gollum as if he were a cockroach; in return, Gollum either attacks or hisses at them. Only Frodo addresses Sméagol, his previous and humane self, while talking to Gollum, which affects Gollum to an extent and softens his attitude as it can be seen in his calling Frodo "'good master'" (*TT* 604). Additionally, Frodo does not tie down or hurt Gollum to force him to become his servant, but he only asks for his guidance, and makes him swear not to hurt them. The agreement between them is established through dialogue again, which is an instance of the importance given to the heroes' dialogue.

The external dialogues established among the heroes are also important in that they are natural-flowing, conversational and daily in the novelistic sense. According to Bakhtin, a single and unitary voice dominates epic and even the small amount of dialogues entailed in epic act as an affirmation of the narrators' voice. When it comes to the novel, the external dialogues are more realistic and naturalistic, which is a

feature that led *Le Morte Darthur* by Sir Thomas Malory to be categorized as the first example of the novel by some critics. To illustrate, McCarthy describes the dialogues as an "important feature of his prose" and adds, "When Malory seems to be describing events he suddenly withdraws to let the actors in those events speak for themselves: their voice is heard through his, or his through theirs. . . . towards the end of the *Morte Darthur* as the sheer mass of dialogue there makes clear" (130). Similarly, Hodges argues that Malory employed a "variety of religious and secular ideals claiming various degrees of 'authority'" (24). This break-away from stilted and valorized nature of the epic language marked the transition to the novel, and the examples of these naturalistic dialogues can be seen extensively in the dialogues among the heroes of the trilogy.

External dialogues among characters may serve malicious ends as well. Gríma is named the "Wormtongue" (*TT* 531) because he has been giving wrong counsels to the king of Rohan, Théoden, since he is the secret servant of Saruman. He has been manipulating the king in accordance with Saruman's orders, concealing his true identity until Gandalf comes to Rohan and exposes him as the "poison for Théoden's ears" (*RotK* 849). Gríma is being tutored by Saruman, who is an expert of rhetoric himself. Saruman can be quite cunning and manipulative when it comes to speech, and he can lure people by pampering them with compliments or pretending to reason with them. When he meets the company, who has come to offer agreement, he treats them very positively. He is especially interested in King Théoden, the one with the political power, and meets him as if he is a prodigal son. He calls him the "'worthy son of Thengel the Thrice-renowned!'" (*TT* 564) and tells they should have met much earlier. While he is talking to the others too, his voice is like a melody, or almost "an enchantment" (*TT* 564). Éomer at last realizes the danger of temptation and warns others calling Saruman the "'old liar with honey on his forked tongue'" (*TT* 565). Saruman tries to tempt Frodo as well through his words. When he is entrapped by Frodo and other Hobbits in the Bag End, the Hobbits residing in the village gather in front of his door and shout at Frodo to kill him. He attempts to anger Frodo in order to make him commit murder saying he will do the deed if he thinks he has enough strength. He even stabs Frodo in the blink of an eye, but his Mithril coat protects him. Frodo says he will not kill him anyway, and Saruman calls him "cruel" for depriving

him of the pleasure of tempting him (*RotK* 996). These instances of dialogue between characters are important in revealing their novelistic characteristics. They establish connection between the polarized and estranged heroes, revealing that they are not clear-cut from each other as they are in the epic world. It is also important to note that the heroes change their roles during conversations in accordance with the context. For example, though Gandalf gives direction and information to others most of the time, he asks for information from other characters too. In the trilogy, even the same character's discourse changes in different occasions, as in the case of Gollum/Sméagol and Frodo/Frodo under the effect of the Ring, which also illustrates their flexible and changing heroic characteristics.

According to Bakhtin, dialogues, which are components of heteroglossia, can occur in the form of internal dialogues as well. Since the epic hero is a fully externalized figure, he does not engage in internal dialogues while the novelistic hero often goes through internal dialogues and debates as he/she is psychologically complicated and faces trials that test his/her adequacy for the heroic task and personality. The internal struggles and negotiations mostly occur in the case of Frodo, Sam and Gollum in the trilogy. The most frequent instances of internal dialogue are portrayed by Gollum, whose case can be considered even pathological. He is in a constant argument with himself as he switches from I to we and from Gollum to Sméagol, which gives the impression that two voices are battling inside him (*TT* 599). The Sméagol side is more timid and sensible while Gollum is rash, treacherous and cunning as he plots schemes to get the Ring. Due to the split in his character, Gollum/Sméagol goes through internal dialogues frequently but different than other heroes' internal dialogues, his internal dialogues are audible. In the part where Frodo interrogates him about Mordor, an internal debate between Sméagol and Gollum comes up:

> 'Yess. Yess. No!' shrieked Gollum. 'Once, by accident it was, wasn't it, precious? Yes, by accident. But we won't go back, no, no!' Then suddenly his voice and language changed, and he sobbed in his throat, and spoke but not to them. 'Leave me alone, *gollum*! You hurt me. O my poor hands, *gollum*! I, we, I don't want to come back. I can't find it. I am tired. I, we can't find it, *gollum*, *gollum*, no, nowhere. They're always awake. Dwarves, Men, and Elves, terrible Elves with bright eyes. I can't find it. Arch!' . . . 'We won't!' he cried. 'Not for you.' Then he collapsed again. '*Gollum*,

> *gollum*,' he whimpered with his face to the ground. 'Don't look at us! Go away! Go to sleep!' (*TT* 602)

In this passage, Sméagol attempts to get rid of Gollum and tell him to give up on the Ring as it will never be theirs again when there are so many watchers. He also says he is tired of the deformations Gollum is inflicting on them. However, Gollum dominates him saying they will never go to Mordor again, especially not for Frodo. This argument is so intense that Gollum eventually sinks to the ground. The mentioning of the change in the discourse between the internal voices is important because it implies that the hero's identity is intricately related to his/her discourse.

Frodo goes through internal debates as well since he is frequently being tested. For example, while he is contemplating his decision to kill or spare Gollum, he seems to Sam "to be speaking to some one who was not there" (*TT* 601). Yet, the most challenging internal dialogue is experienced by Sam, who has to choose between leaving Frodo alone and continuing the quest and staying with his presumably-dead body, risking the quest. At this point, he experiences an internal dialogue: "'What shall I do, what shall I do?' he said. . . . And then he remembered his own voice speaking words that at the time he did not understand himself, at the beginning of their journey: *I have something to do before the end. I must see it through, sir, if you understand*" (*TT* 714). As a result of this internal debate, his previous words give Sam the courage to make a decision. The internal debates Sam goes through are not limited to the moments of crisis since he experiences one while he is quietly lying down. This internal debate is described, "He could not sleep and he held a debate with himself" (*RotK* 918). Although a voice inside is telling him that they have made a remarkable progress so far, the other voice is telling that Frodo's state is beyond help, and he may not make it for the next day. This pessimistic voice tells Sam, "'You are the fool, going on hoping and toiling. You could have lain down and gone to sleep days ago, if you hadn't been so dogged. But you'll die just the same, or worse. You might just as well lie down now and give it up. You'll never get to the top anyway'" (*RotK* 918). Sam manages to hush this voice, telling himself to "'stop arguing!'" (*RotK* 918). The words "debate" and "arguing" imply that this is an internal dialogue. On the other hand, the resemblance between this pessimistic voice and Denethor's pessimistic words about the vanity of the quest (*RotK* 795) is uncanny. These thoughts might be a trick by

115

Sauron to meddle with the heroes' mind and make them lose faith. Similarly, when Sam resolves to finish the quest in this dialogue, he feels a force retreating beneath the soil on which he is lying. This inclusion of another voice inside the hero's head is also an instance of polyphony, multiplicity of voices, in the hero's speech, which is another novelistic trait that will be surveyed shortly.

The last aspect of heteroglossia is the incorporation of various genres in the novel. The incorporated genres that Bakhtin mentions can be closer to the novel genre such as "the confession, the diary, travel notes, biography, the personal letter" ("DN" 321), or extraliterary genres like newspaper. *The Lord of the Rings* trilogy gives place to the genres that are closer to the novel since it is a work of fantasy fiction, the inclusion of extraliterary genres is probable to disrupt the believability in the fantasy world constructed. However, the heroes engage in poetry through songs, which is a common practice among the Hobbits and Elves. Additionally, Frodo and his uncle Bilbo write memoirs of their adventures. Bilbo gives the unfinished memoirs to Frodo so that he completes them. It seems he has been undecided as to the head title as he wrote down several options, some of which are "My Diary," "My Unexpected Journey" and "What we did in the War of the Ring" (*RotK* 1004). However, Frodo gives the final decision and names the memoirs "The Downfall of the Lord of the Rings and the Return of the King" (*RotK* 1004), which implies that Frodo has finished what Bilbo has started. Bakhtin argues that these variances in language emerge in the novel thanks to the genre's relationship with extraliterary works, which also gives an ideological stance to the heroes.

In addition to the incorporation of extraliterary genres, the hero of the novel gains an ideological stance due to the contestations as to his/her position within the society. While the epic hero's being regarded from the same unitary view by his society leads him to have a "lack of ideological initiative" ("EN" 35), the novelistic hero's being an individualized figure within his/her society leads him/her to have an ideological stance ("DN" 334). The ideological stance of the heroes of the trilogy shows itself in their sense of comradeship and their resisting Saruman's hierarchical order that he has founded in the Shire. Before Saruman's ruling, the Shire did not have an authoritative rule as its ordering was established and divided among its residents. In addition to its peaceful order, the Shire has an agrarian order with its gardens and

fertile soil. However, while the Hobbits are away from the Shire, Saruman, under the name of Sharkey, takes over the Shire and disrupts this order. As if taking revenge from the homeland of the Hobbits, he destroys the habitat of the Shire, and he attacks its monumental symbols such as the Party Tree, which he cuts down, or the Old Mill, which he replaces with the New Mill in the name of making more profit of the grain. In return, Merry and Pippin organize an uprising against Saruman by talking the quieted Hobbits of the Shire into joining their side. The Hobbits' resisting against and overthrowing Saruman's tyranny are revolutionary acts on their own, and their taking action is a great indicator of their ideological stance. Dickerson and Evans interpret the Hobbit's ideological stance as giving the message that in the face of exploitation, "neutrality is not an option" (226) to us all. This exploitation surely entails the exploitation of nature as Saruman mainly inflicts destruction on nature including the Ent's land and the Shire. The workings of nature over the characters and the consequences of environmental destruction are given a wide space in the narrative of the trilogy; therefore, it can be argued that the heroes' ideological stance entails clear ecological concerns as well. Dickerson and Evans argue "environmental vision is one of the things that J.R.R. Tolkien accomplished supremely well" (xvi). Similarly, Baratta suggests:

> Middle-earth acts as the canvas onto which Tolkien points the ongoing issues and problems that the world continues to face. . . . it is clear that Tolkien meant for us to identify with some the problems of [sic] environment destruction, rampant industrial invasion, and the corrupting and damaging effects that these have on mankind. (32)

The heroes' taking a stance against the exploitation of nature, such as the Hobbit's uprising and the Ents' marching to capture Saruman in Isengard, reveals their ideologically being grounded. In addition to these instances, the heroes' ideological agenda shows itself in the issues of militarism and violence in the trilogy. The clearest example lies in Frodo's state after his return to the Shire. He still shows the effects of the hardships he has gone through, and these scars are reflected in his psychology as visions, seizures and repetitive movements (*RotK* 1002), which are quite reminiscent of the symptoms of post-traumatic stress disorder. Similarly, Livingston argues that Frodo displays all the traits of a shell-shocked veteran soldier (78). The effects of the quest, which can very well be interpreted as a war, are shown on the psyche of the

117

hero; therefore, the human aspect of the war is included in the trilogy instead of a mere glorification of heroism. This is also clear in Sam's pitying the dead soldier in the war between Men (*TT* 646) and Aragorn's empathizing with his soldiers who are about to enter a hot war in a land unknown to them (*RotK* 868). This "human-aspect" of the war reality is in fact in the front from the very beginning of the trilogy. During his conversation with Frodo, Gandalf emphasizes the importance of "'Pity, and Mercy: not to strike without need'" (*FotR* 58), and he warns Frodo that since one cannot give life to the deserving, one should not take the life of those who deserve punishment (*FotR* 58). His advice is clear of blind otherizing prompted by militarist ideals, which is a wisdom Frodo perceives only after he advances through the quest. In his return, Frodo is quite disturbed by the prospect of more Hobbits' losing their life during the uprising against Saruman, so he takes a passive role in "the scourging of the Shire" and only tries to prevent deaths, in contrast to the active involvement of Merry and Pippin in the organization and fighting. Frodo's position during this uprising, combined with the pity and forgiveness for Gollum and Saruman, reveals his own ideological stance. He disapproves of violence in any form and gives the value to life. The incorporation of various ideological positions of the heroes, the reality of war and its effects on the hero are in line with Shippey's defining the trilogy as "a war book, also a post-war book" (*The Road to Middle-Earth* 329). Composed in a century that witnessed two world wars, *The Lord of the Rings* posits its heroes as ideologically grounded individuals within contemporary concerns like ecologism and militarism.

Another linguistic aspect that can be surveyed in the hero's speech is polyphony, which is closely linked to heteroglossia. Heteroglossia entails the inclusion of different social groups' speech and dialogue, which is ensured by the inclusion of multiple different voices in the narrative. Bakhtin points out the link between heteroglossia and polyphony: "The novel orchestrates all its themes, the totality of the world of objects and ideas depicted and expressed in it, by means of the social diversity of speech types . . . and by the differing individual voices that flourish under such conditions" ("DN" 263). The "social diversity of speech types" phrase refers to heteroglossia, and the "differing individual voices" phrase refers to polyphony. Compared to the unified and monolithic language in epic, the novel employs multiple voices beside the author's voice through its speaking heroes. The incorporation of

multiple voices of characters results in a dynamic nature of the genres because "The great dialogue is made possible through polyphony, the establishment of individual, autonomous characters' voices within the text" (Vice 132).

The Lord of the Rings trilogy achieves polyphony to a certain extent by giving voice to its heroes, who are representatives of a wide variety of races, social classes and lineages. All these characters have their own voice and bring their own discourse to the story, each one of whom is distinct from the other. The employment of polyphony in the speeches of the heroes in the trilogy can be explored through a juxtaposition with authorial comments, incorporation of multiple voices and multiple viewpoints. Bakhtin holds that polyphony is not mere inclusion of different voices, but it means a democracy among these voices and their having equal weight along with the author's voice. In epic, it is observed that the narrator dominates the heroes' speech; thus, their speech gives the impression of being uttered from the same mouth. As for the novel, the heroes' speeches are distinct from one another's, and they are not totally dominated by the author's voice because the novelistic hero is given voice; he/she speaks up for himself/herself. On the other hand, it is worth keeping Saxton's warning against mixing the terms polyphony and dialogue in mind. He argues that polyphony is a novelistic feat which can rarely be achieved fully, which was Bakhtin's standpoint as well (168). He remarks "Tolkien's fiction is not polyphonic in the strong sense" (172) especially because the narrator favors the voice of some characters over others such as Gandalf's over Saruman's, and Frodo's over Gollum's. However, for the purposes of this study, when the amount of polyphony the trilogy's heroes enjoy is juxtaposed with the amount of polyphony an epic hero would see, which is none due to the hegemonic unitary language in epic, it can be concluded that the balance between the author's and the hero's voice reveals the novelistic traits of the heroes. Similarly, Saxton later points out the interaction between the author's and hero's voice and concludes, "it [Tolkien's fiction] is in complete accord with Bakhtin's broader assertion that proper author-character relations are dialogic and collaborative" (173).

Vice argues that the exposition of the hero and his/her speech determines polyphony, which would give an idea about his/her novelistic and epic qualities:

> The way in which characters are represented, their relation to the narrator, the autonomy which their voices and viewpoints have within the text, determines whether or not their construction is truly polyphonic. Polyphony represents heroes not as objects but subjects. (114)

The novelistic hero becomes a speaking subject rather than a represented object through polyphony because polyphony establishes freedom for the heroes from the author's dominant voice. An example of the balance between the authorial voice and the hero's voice can be seen in a description of Frodo. In this section, Frodo is undecided about taking the road to Cirith Ungol because he does not know if this city is dangerous or not. He feels sorry for losing Gandalf because there is no one left to give counsel to him with his loss. Frodo's state is described as follows:

> And here he was a little halfling from the Shire, a simple hobbit of the quiet countryside, expected to find a way where the great ones could not go, or dared not go. It was an evil fate. But he had taken it on himself in his own sitting-room in the far-off spring of another year, so remote now that it was like a chapter in a story of the world's youth, when the Trees of Silver and Gold were still in bloom. This was an evil choice. Which way should he choose? And if both led to terror and death, what good lay in choice? (*TT* 630)

Frodo is described as a little Hobbit in this perilous land, which is exactly his thoughts about himself. Frodo frequently complains about his heroic task and calls it his destruction; similarly, his taking up the quest is called "an evil fate" in this description. Additionally, the concerns inside his head and his indecision are represented as they are, with no reference to what his decision will be and consequences of his decision. Although this is an authorial comment on the hero, it is clear that the voice of the author is not a dominant one. In fact, it is on the same level and frequency with the hero's voice. Kliger explains the effect of polyphony on the author's voice with an example of the employment of polyphony in Dostoevsky's novels: "Since the author is always located at the level of his heroes, Dostoevskii lacks a language of his own. The language of the author starts sounding like the language of the hero of whom he speaks" (563). The same effect of polyphony is evident in Frodo's description above. The narrator's voice is almost indiscernible from Frodo's voice. If one were to replace these sentences with Frodo's own thoughts given in quotation marks, they would make

no difference than Frodo's own statements. Therefore, it can be concluded that polyphony is established within the heroes' voice and authorial voice.

In his discussion of Dostoevsky's employment of polyphony, Bakhtin claims that "Dostoevsky could hear dialogic relationships everywhere" (*PDP* 40). He makes a similar statement about himself, "I, on the other hand, hear *voices* everywhere, and dialogic relations among them" (qtd. in Todorov *Mikhail Bakhtin: The Dialogical Principle* 21) while drawing a distinction between his view and that of Structuralists, and this statement is a summary of polyphony. The other's voice is included thanks to polyphony in novelistic heroes' speech. In the trilogy, the inclusion of multiple voices occurs in the form of directly hearing a particular voice, an instance of which occurs while Sam is fighting with Shelob as he hears "some remote voice" (*TT* 712):

> 'Galadriel!' he said faintly, and then he heard voices far off but clear: the crying of the Elves as they walked under the stars in the beloved shadows of the Shire, and the music of Elves as it came through his sleep in the Hall of Fire in the house of Elrond. (*TT* 712)

At the time of his need for courage and strength to kill Shelob, the voices of the Elves chant in his ears. In the following part after his hearing voices, Sam attacks the monster, but he struggles to make a decision about leaving Frodo or staying with him. This part is presented in the form of a conversation with someone else, but the speaker is not present, and Sam is actually debating with a "voice:"

> 'What am I to do then?' he cried again, and now he seemed plainly to know the hard answer: *see it through*. Another lonely journey, and the worst.
> 'What? Me, alone, go to the Crack of Doom and all?' He quailed still, but the resolve grew. 'What? *Me* take the Ring from *him*? The council gave it to him.'
> But the answer came at once: 'And the Council gave him companions, so that the errand should not fail. And you are the last of all the company. The errand must not fail.' (*TT* 715)

At the end of this conversation, Sam resolves to take the Ring from Frodo, which changes the course of the quest. The voice talking to Sam is not named; however, it can be deduced that it is a wiser and calmer character than Sam, probably an Elf. Sam hears a similar voice, a call which Frodo hears too: "Suddenly a sense of urgency which he did not understand came to Sam. It was almost as if he had been called:

'Now, now, or it will be too late!' He braced himself and got up. Frodo also seemed to have felt the call. He struggled to his knees" (*RotK* 922).

Polyphony can also be observed in a similar situation Frodo experiences. Boromir tries to snatch the Ring from Frodo by threatening him that he cannot stand against his attack because of his weak complexion. Frodo gets afraid because Boromir is about to attack any moment, so he puts the Ring on and vanishes from his sight. He manages to escape from Boromir; however, his using the Ring attracts Sauron's attention to him. He feels Sauron's lidless eye gazing at him. At this moment, Frodo cries out an utterance which he cannot hear clearly:

> He heard himself crying out: *Never, never!* Or was it: *Verily I come, I come to you*? He could not tell. Then as a flash from some other point of power there came to his mind another thought: *Take it off! Take it off! Fool, take it off! Take off the Ring!* (*FotR* 392).

There are three different statements in this excerpt, and only one of them belongs to Frodo, which is "*Never, never!*" He cannot differentiate it from "*Verily I come, I come to you*" although it is quite different from his own statement. This voice is inside his head, but in fact it belongs to Sauron. As he understands the Ring is being utilized by someone else, he tries to meddle with the bearer's mind to make him/her reveal himself/herself to the Eye. At this point, Frodo hears a third voice, which must be Gandalf's because the commanding and aggressive tone and the word choice "fool" are reminiscent of his speech because Gandalf screams at the company "'Fly, you fools!'" (*FR* 322) so that they save themselves right before he falls from The Bridge of Khazad-dûm. These three voices inside Frodo's head are embodiments of the hero's inclusion in polyphony.

The inclusion of multiple voices though polyphony entails multiple viewpoints as well. Bakhtin explains the relationship between polyphony and multiple viewpoints through Dostoevsky's works and states that he does not achieve polyphony by creating many characters, but by "a *plurality of consciousnesses, with equal rights and each with its own world*" (*PDP* 6). Therefore, the inclusion of the hero's consciousness and viewpoint, and the variety of points of view determine the extent of polyphony. Multitudinous points of view are important in determining whether the hero is novelistic or epic because if there are representations of the hero from different

viewpoints, the hero becomes a novelistic figure while the epic hero is presented from a single point of view, which belongs to the author. The hero represented from different points gains depth. "Triangulated picture" (116) is the name given by Vice to such a representation because the novelistic hero's image is constructed from three aspects, the reader's own view about the hero, the hero's view as to himself/herself and other characters' viewpoint of the hero. Since in epic, only the author's view of the hero is included, the epic hero is like a cardboard figure for the reader.

All characters in the trilogy are represented from another's point of view; as a result, the hero's personality, actions and traits can be comprehended form different aspects, contrary to the cardboard figure-like representation of the epic hero. The most interesting instance of the hero's representation from a different viewpoint can be seen in the Hobbits' description from a fox's eyes: "'Hobbits!' he thought. 'Well, what next? I have heard of strange doings in this land, but I have seldom heard of a hobbit sleeping out of doors under a tree. Three of them! There's something mighty queer behind this'" (*FotR* 71). Even a fox is surprised at seeing Hobbits wandering in the woods, away from their home. This implies that heroism and engaging in adventures are really not the traits expected from Hobbits. On the other hand, other characters' opinions on Frodo and Sam show great variety. Although they are heroes for their companions, Gollum calls them, "'The thieves, the thieves, the filthy little thieves. Where are they with my Precious? Curse them! We hates them!'" (*TT* 599) because he regards them as thieves for possessing what belongs to him. Similarly, Denethor calls Frodo "'witless halfling'" (*RotK* 795) and undermines Gandalf besides Frodo for sending such an inadequate pair for this important quest. On the other hand, when Sam stabs Shelob and attacks some Orcs with the Elven blade, he is described like a formidable soldier by Orcs. He is called "'a large warrior loose, Elf most likely'" (*TT* 722) and a "'small dwarf-man, then it must be a pack of rebel Uruk-hai; or maybe it's all the lot together'" (*RotK* 904), which are descriptions ridiculously in contrast to Sam's chubby look, slow movements and timid nature, but they also portray the formidable heroism Sam has achieved.

Another example can be seen in the heroes' views as to Aragorn. All characters, especially Sam, meet him with suspicion at first due to the conflict between his worn-out look and self-possessed attitude. They even think him to be an impostor, but in

time, their views as to Aragorn change. Frodo confesses to Gandalf, "'it was Strider [Aragorn] that saved us. Yet I was afraid of him at first. Sam never quite trusted him, I think, not at any rate until we met Glorfindel" (*FotR* 214). Frodo can connect with Aragorn only after he proves himself by saving him from the Black Riders: "'For I have become very fond of Strider. Well, *fond* is not the right word. I mean he is dear to me; though he is strange, and grim at times'" (*FotR* 215). Frodo still cannot say he is fond of Aragorn the way he is fond of Sam, which implies the distance between Frodo and Aragorn due to his royal stance. Although Aragorn could have been presented like a glorious king and a good soldier from the very beginning, he is presented as a character with confusing traits, which gives depth to his representation.

Similarly, Gollum is narrated quite differently from various characters' perspective. Gandalf, for example, mentions him as a "'miserable creature'" and "'wretched fool'" (*FotR* 57) while he is talking to Frodo about the history of the Ring. His description does not justify Gollum's deeds but represents him as a fallen and mistaken Hobbit. His emphasis on Bilbo's pity for Gollum is also important as it implies that Gollum's situation should at least be understood. On the other hand, Aragorn represents Gollum as a wild animal on loose during his narration of capturing him in the Council of Elrond:

> He was covered with green slime. He will never love me, I fear; for he bit me, and I was not gentle. Nothing more did I ever get from his mouth than the marks of his teeth. I deemed it the worst part of all my journey, the road back, watching him day and night, making him walk before me with a halter on his neck, gagged, until he was tamed by lack of drink and food, driving him ever towards Mirkwood. I brought him there at last and gave him to the Elves, for we had agreed that this should be done; and I was glad to be rid of his company, for he stank. For my part I hope never to look upon him again; but Gandalf came and endured long speech with him. (*FotR* 247)

Aragorn treats Gollum as a hideous creature; in return, Gollum bites him. It is again Gandalf who establishes dialogue with Gollum after his being captured, and Gollum gives some information to him. Similarly, Sam's view of Gollum is beyond negative, and he even returns from the brink of killing Gollum. However, Frodo has a more sensible and cold-blooded view of Gollum, so he becomes the one who tames Gollum. Gollum's own view of himself is also strangely in line with others' view because he sometimes hates himself while at times he pities himself for his wretched

124

state. The conflicting views as to Gollum leave the reader with two opposing views, one pitying and the other despising Gollum. At this point, it is left to the reader to construct his/her opinion about Gollum.

Multiple viewpoints give a different aspect to even the most highly-regarded characters. For example, Éomer cannot believe his ears when Aragorn, Legolas and Gimli tell him that they have visited Lady Galadriel before, and he says, "'folk speak with the Lady of the Wood and yet live'" (*TT* 427). Faramir calls her "'Perilously fair'" (*TT* 664); Boromir too talks of Lady Galadriel as "'I do not feel too sure of this Elvish Lady and her purposes'" (*FotR* 349), and Aragorn warns him to speak respectfully of her. Similar to Aragorn, Frodo and Sam have deep respect and admiration for Galadriel; however, these comments by Éomer and Boromir and Galadriel's confession about her desire for the Ring reveal that she is not completely pure, and she possesses a deep dark side. Similarly, Gandalf the White, who is the mentor of the company, is "Stormcrow" in Rohan (*TT* 502), and he is not well-met in Minas Tirith either, as he is told, "'But you come with tidings of grief and danger, as is your wont, they say'" (*RotK* 733). Gandalf himself comments that he should not be tempted as the Ring would be even more dangerous in his hands, hinting at his own dark side.

Differing views as to the hero can give an insight as to the changes the hero goes through. To illustrate, Pippin observes a change in Gandalf after he returns as the White. He remarks, "'He's not so close as he used to be, though he laughs now more than he talks'" (*RotK* 934). On the other hand, Frodo gives his own opinion and disagrees with Pippin: "'Pippin' said Frodo 'didn't you say that Gandalf was less close than of old? He was weary of his labors then, I think. Now, he is recovering'" (*RotK* 949). The change in the hero and the different viewpoints as to the hero are verifiers of the novelistic traits of the heroes of *The Lord of the Rings* trilogy.

To conclude, a Bakhtinian survey of the heroes' representation through language from the perspectives of heroic speech, parody, polyglossia, heteroglossia, dialogism and polyphony reveals that they bear novelistic characteristics. In contrast to the heroic aspects of the hero, which posits epic traits beside novelistic traits, the language use in the heroes' representation displays them as novelistic heroes because they participate in all of the novelistic linguistic devices discussed by Bakhtin. Solely, the linguistic aspects of the Elves can be said to bear epic traits due to the enchanting

effects of Elvish and their precise and distant manner of speech. However, the Elves' engaging in the polyglossia and heteroglossia within the trilogy makes their linguistic traits dominantly novelistic. In the following section of this study, the heroes in the trilogy will be analyzed in terms of their representation within time and space and the chronotopes of the road and the threshold in order to explore further their epic and novelistic traits.

CHAPTER 5

THE HERO WITHIN TIME AND SPACE IN
***THE LORD OF THE RINGS* TRILOGY**

The final section of this study focuses on the novelistic and epic traits of the heroes in *The Lord of the Rings* trilogy that are unfolding within time and space. As Bakhtin argues, the novel and epic are diametrically opposed yet akin genres. This difference is expected to reflect itself in the genres' understanding of time and space, which are also elements that determine the characteristics of the hero. According to Bakhtin's theorization, while the epic conceptualization of time and space is unified, absolute, hierarchical and distant from contemporaneity, the novelistic conceptualization of time and space is demarcated, changing, equal and close to contemporaneity. While the image of the epic hero is still, the image of the novelistic hero is dynamic. In light of the Bakhtinian distinction, the heroes in *The Lord of the Rings* trilogy will be analyzed further in terms of their representation within time, space and specifically in the chronotope of the road and the chronotope of the threshold.

According to Bakhtin, the novel brings about "the radical change . . . in the temporal coordinates of the literary image" through "maximal contact with the present" ("EN" 11). Contrary to epic, the novel genre is not distant from contemporaneity thanks to its conceptualizing time in the modern understanding as linear and specified. In line with this understanding, the novelistic hero is represented within linear and specified coordinates of the timeline of the narrative. Due to the linear conceptualization of time, beginnings and endings are marked for the novelistic hero while the epic hero is indifferent to formal beginnings, introductions and conclusions. He does not portray changes in his character unlike the novelistic hero, who portrays different traits in the beginning and the end of the story, so the epic hero ends up being a still figure. The maximal contact with the present enables the novelistic hero to evolve into the future, to the reader's time. Thanks to such a temporal

understanding, the novelistic hero is a dynamic and relatable figure that is in touch with contemporaneity and the time of future readers. In contrast, the epic hero stays the same in the end as he was in the beginning because epic time is conceptualized as a circular and closed system devoid of specifications and a closure. The epic hero belongs to the epic narrative as a continuum of the big circulating body of oral literature tradition.

As a work of modern fiction, *The Lord of the Rings* is composed in accordance with the linear conceptualization of time, which brings about the change and development of its heroes within time. Through the end of the trilogy, as it is also mentioned in the heroic characteristics chapter of this study, almost all heroes in the Fellowship of the Ring undergo a change to varying extents. Among them, certainly Frodo is the most deeply affected hero as it can be inferred from the hardships he goes through after his return from the quest.

In addition to the hero's change, another effect of the linear temporal conceptualization can be seen in the importance of beginnings and endings for the novelistic hero. To illustrate, Frodo wishes for the quest to be over as soon as possible frequently. In the end of the quest, when the Ring falls into its destruction, Frodo says exhaustedly, "'For the quest is achieved, and now all is over. I am glad you are here with me. Here at the end of all things, Sam'" (*RotK* 926). Frodo's comment reveals how important it is for him to finish the quest. Sam's feelings at the end are similar to Frodo's because he feels joy now that his master's burden has been lifted off with the Ring's destruction, and Frodo can be free again (*RotK* 926). The mentioning of the end cannot be seen in an epic hero's case because the epic hero is a part of a large body of narrative, so endings and beginnings are not marked. Additionally, the beginning and ending do not matter for the epic hero because he is already created for the heroic act and already fated for greatness. However, the novelistic hero is not assured of his/her success, so beginnings and endings are hallmarks of his/her adventure. For example, Frodo is unsure of the end result of his efforts when Sam asks what kind of a tale theirs is: "'But I don't know. And that's the way of a real tale. Take any one that you're fond of. You may know, or guess, what kind of a tale it is, happy-ending or sad-ending, but the people in it don't know. And you don't want them to'" (*TT* 696). Frodo's statement about the ending of his quest is a clear echo of the Bakhtinian view of the novelistic

hero's position within the narrative. The novelistic hero is not part of a unified world unlike the epic hero is, so he/she is in a world of ambiguities:

> In distanced images we have the whole event, and plot interest (that is, the condition of not knowing) is impossible. The novel, however, speculates in what is unknown. The novel devises various forms and methods for employing the surplus knowledge that the author has, that which the hero does not know or does not see. ("EN" 32)

The demarcated and linear time in the trilogy leaves the heroes unsure of the course and end of their actions, which also implies that the heroes are not "distanced images" but close figures to contemporaneity. Another aspect that is affected by the linear conception of the hero's time is the trilogy's employment of three different but synchronic timelines. In *The Fellowship of the Ring*, the members of the fellowship are separated from Frodo and Sam as they take a different route after Boromir's being tempted by the Ring. Later in the following volumes of the trilogy, the rest of the company is divided several times with Merry and Pippin's being lost, Gandalf's departing with Pippin and Aragorn's heading to the Paths of the Dead. The synchrony among these separate timelines is mentioned occasionally through parallelisms such as: "even now Aragorn was leading the black fleet from Pelargir, and Merry was riding with the Rohirrim down the Stonewain Valley, while in Minas Tirith flames were rising and Pippin watched the madness growing in the eyes of Denethor" (*RotK* 877). The inclusion of three different timelines of the heroes also indicates their novelistic traits since in the accomplishment of the heroic deed, the heroes' collective effort come to the fore. In an epic, the focus of the heroic action never wavers from the epic hero because he does not need others' help. In the trilogy, the focus of the heroic action frequently shifts from the main hero Frodo to Sam, Aragorn, Merry, Pippin or Éowyn, attributing novelistic hero traits on Frodo because he ends up a helped-out and supported figure.

Additionally, the usage of specified time indicates an aspect of novelistic temporal conceptualization, so the novelistic hero becomes a relatable and contemporary figure for the reader. The novelistic hero can be located in a specific temporal coordinate while the epic hero is a distant figure as a result of the unified conception of time. The epic conceptualization of time is ambiguous and blurred as

exact dates are not given except for temporal indicators like seasonal changes or phases of the day. In the trilogy, heroes can be located within a specific time because dates for the events are given. To illustrate, Bilbo's return from his adventures to the Shire takes place "on June the 22nd" which corresponds to the year "S.R. 1342" (*FotR* 13). The abbreviation "S.R." stands for "Shire Reckoning", which is the Shire-hobbits' own calendar. In accordance with this calendar, the year when Bilbo's birthday party is celebrated, and Frodo becomes the ring-bearer is "S.R. 1401" (*FotR* 13). Similarly, the escape of Frodo and Sam from the Tower of Cirith Ungol takes place when "it was drawing to noon upon the fourteenth day of March in the Shire-reckoning" (*RotK* 877). The specific dates given as to the heroes' actions reveals the difference between the way the heroes perceive time and the actual time spent. To illustrate, Frodo reminisces of his learning that he is the ring-bearer, but that time seems to him like a different phase of history: "But he had taken it on himself in his own sitting-room in the far-off spring of another year, so remote now that it was like a chapter in a story of the world's youth, when the Trees of Silver and Gold were still in bloom" (*TT* 630). Similarly, although they just spend one year, Frodo thinks the quest has lasted much longer, as Gandalf explains: "'And as for the passing of the days, it is now only May and high summer is not yet in; and though all things may seem changed, as if an age of the world had gone by, yet to the trees and the grass it is less than a year since you set out'" (*RotK* 949). The subjective time points out the heroes' novelistic traits because in epic, time is unified and monolithic, so it does not show variance from hero to hero and from hero to the author.

According to Bakhtin, the epic hero is a still and an unchanging figure due to his lack of connection with contemporary time. The epic is concerned with the past; it is "locked into itself and walled off from all subsequent times by an impenetrable boundary" ("EN" 17). The sealed-off time encapsulates the epic hero within a time zone that is distant and valorized from contemporaneity, so the epic hero cannot evolve into the time of future readers. When it comes to the novelistic hero, the closeness of the novel to contemporary time enables the novelistic hero to evolve into future, to the time of readers. Closeness to contemporaneity is achieved in the novel through references to the reader, an example of which appears in *Eugene Onegin*, where the readers are addressed as contemporaries of the hero ("EN" 13-14). The hero's

extending into the time of the reader can be seen in *The Lord of the Rings* trilogy, in the parts where Frodo and Sam are talking about the time after their quest is finished. To illustrate, when Frodo is seized by another fit of hopelessness, Sam tries to cheer him up by distracting him from his torment to the future times when their quest will become a legend:

> 'What a tale we have been in, Mr. Frodo, haven't we?' he said. 'I wish I could hear it told! Do you think they'll say: *Now comes the story of Nine-fingered Frodo and the Ring of Doom*? And then everyone will hush, like we did, when in Rivendell they told us the tale of Beren One-hand and the Great Jewel. I wish I could hear it! And I wonder how it will go on after our part.' (*RotK* 929)

Sam remarks that he wonders how the listeners of their tale, who can easily be the readers of the trilogy, will regard them. His wondering about the reception of their tale is a direct reference to future readers, and through this mentioning of the future, Frodo and Sam evolve into the future, beyond their time. A similar instance occurs when Frodo comments on possible reactions of the readers to their tale: "'We're going on a bit too fast. You and I, Sam, are still stuck in the worst places of the story, and it is all too likely that some will say at this point: 'Shut the book now, dad; we don't want to read any more'" (*TT* 697). Frodo states his concerns about his image in the readers' mind and what they will think of their adventures. In addition to the references to future in these instances, it is also worth noting that Frodo and Sam portray "self-consciousness" in the Bakhtinian sense (*PDP* 48). The hero's self-consciousness of himself/herself, in other words, the hero's awareness and thoughts as to his/her position, indicate that such are novelistic heroes because self-consciousness breaks down the "monologic unity of an artistic world" (*PDP* 51), creating multiple meanings in relation and dialogue to one another and attributing different meanings to the hero. In this way, the novelistic hero evolves into the time of readers being redefined and renegotiated. Frodo and Sam's discussing their view in the eyes of the future readers prove that they are novelistic heroes in the Bakhtinian sense.

In the trilogy, the instances of the heroes' discussing the future of their tale is a consequence of linear temporal conceptualization, which draws a line between them and epic heroes. In epic, the hero lives in the moment, focused on the present time and current heroic act while the novelistic hero is not always focused on the present, but

he/she experiences flashbacks and flashforwards. Frodo and Sam can separate themselves from their current situation when they wonder about the future readers' opinion on themselves, and when they think of the past, the times when they were with the Elves or saw an oliphaunt. Additionally, a common point of their thinking of different sections of time is that the past and future are periods before and after the negative moments of the quest. It can be argued that the heroes resort to focusing on a different period to escape from the present through nostalgia or hoping for the end. Heroes' escapism that is reflected in their temporal understanding is in line with their human-like traits. Similar to Frodo and Sam, other heroes of the trilogy too make shifts from the present time; however, theirs occurs mostly in the form of flashbacks. Generally, references to past are made for giving information on the history of Middle Earth and the forging of the Ring by Gandalf as he is the wisest character (*FotR* 51). Smaller instances of focusing on the past can be seen in Merry and Pippin's thinking of the times they force the Council to let them enter the quest (*TT* 434), and Gollum's reminiscing of his peaceful Hobbit-life before his finding the Ring (*TT* 627).

In addition to time, the representation of the heroes within space determines their novelistic and epic traits. According to Bakhtin, in epic, space is another aspect of the coherent and unified epic world view; therefore, the epic hero resides within a unified and secure space that is not distinct. On the other hand, the novel gives specified descriptions of places that are separated from one another. The novelistic hero is not at home in all of these places as the epic hero is because the attributes of space differ greatly, which alters the hero's position within them. That is why, space in the novel is in line with the change and trials the hero experiences. In *The Lord of the Rings* trilogy, the hero's representation within space holds a substantial place in the heroes' adventures. Firstly, this relation can be explored in the provision of maps in the trilogy. Shippey analyzes the importance of space and etymologic roots of the names given to places in Tolkien's works, and he names the chapter devoted to space "A Carthographic Plot" (*The Road to Middle-Earth* 94-134) which indicates the indispensable role of maps in the hero's adventure. He argues, "even the characters of *The Lord of the Rings* have a strong tendency to talk like maps" (*The Road to Middle-Earth* 100). Since the hero's change takes place along the road, maps that pinpoint the places the heroes tread have a connection with the hero. Maps enable the reader to

visualize the heroes' journey from the Shire to Mordor. The zones in the map of Middle Earth are clear-cut from each other, not with political borders but with geological elements. For example, the Shire is separated from Bree by the river Brandywine, and Mordor is circled by ranges of mountain from three sides. Borders might have been determined by natural causes, but it does not mean that the places are not clear-cut from each other. This specificity and separateness of the zones in the maps help readers locate the heroes within their adventure, which makes the heroes life-like for them. Spaces have symbolic meanings attributed to the hero's testing as well since they are landmarks of the heroes' journey. To illustrate, Shelob's Nest is where Sam is confronted with tough decisions, or Mount Doom is the final destination where Frodo will accomplish or fail. In the trilogy, the hero's relation to the space can be surveyed in the aspects of the mechanizations of space on the heroes and the synchrony between the heroes' state and space.

The symbolic attributions of spaces reflect the hero's position in the adventure. The Shire is a very peaceful and reassuring place for the heroes; similarly, the spaces that belong to the Elves are places where heroes find companionship and rest. On the other hand, certain zones have negative implications for the heroes, one of which is the terrifying Mordor. Gandalf describes Mordor to Frodo as, "'Alas! Mordor draws all wicked things, and the Dark Power was bending all its will to gather them there'" (*FotR* 57). Minas Morgul has a similar negative implication, "'The valley of Minas Morgul passed into evil very long ago, and it was a menace and a dread while the banished Enemy dwelt yet far away'" (*TT* 677). Similarly, the Dead Marshes where the bodies of those who have died in the battle are rotting is in line with its name as it is a terrible place with a bad odor (*TT* 615). The attributes of these places are important as they act upon the hero. For example, while Frodo is at comfort and peace in the Shire, in Mordor especially when he is close to Mount Doom, Frodo's mental state and physical state deteriorate. In the Dead Marshes, they face the dead for the first time, and they cannot act at ease there: "Often they floundered, stepping or falling hands-first into waters as noisome as a cesspool, till they were slimed and fouled almost up to their necks and stank in one another's nostrils" (*TT* 614).

Among these places, The Shire stands out as the hometown of the Hobbits and the beginning and the end point of the quest. The Shire is described like a rustic,

133

pastoral and quiet countryside that is distant from the rest of the world. In this aspect, the Shire might seem even like a closed-off and distant epic space, almost like a fairy land; however, the Shire changes and is affected by the reign of terror in Middle Earth. Its quiet order is disrupted by Saruman, who takes over its ruling and turns it into barren land by destroying its nature; his ruffians "hack, burn, and ruin; and now it's come to killing" (*RotK* 989). When the Hobbits return to their hometown, they cannot recognize it as Merry remarks that the Shire seems just like a place in Isengard looking at the houses with "broken windows …half a dozen large ill-favoured Men" (*RotK* 981). Sam too is so disturbed by the current state of the Shire: "'This is worse than Mordor!' said Sam. 'Much worse in a way. It comes home to you, as they say; because it is home, and you remember it before it was all ruined'" (*RotK* 994). Sam can accept Mordor for what it is because it already hosts the throne of Dark Lord, but the Shire's deterioration and the loss of his home shake him deeply. This representation is in line with the heroes' state as the Hobbits change greatly as a result of the quest, and especially Frodo is affected by it for the worse. Additionally, the alienation of the Hobbits from their own hometown reflects their novelistic hero traits, which are their individualism and problematic relationship with society.

The parallelism between the hero's state and space is revealed in a dialogue between Frodo and Gildor the Elf. He can tell Frodo's concerns and fears as to the quest from his face, and he gives a warning about the quest and hometown before Frodo says anything about the Shire. He starts with a rhetorical question: "'You are leaving Shire, and yet you doubt that you will find what you seek, or accomplish what you intend, or that you will ever return. Is not that so?'" and he mentions some dangers Frodo might have to face, to which Frodo naïvely protests, "'Can't a hobbit walk from the Water to the River in peace?'" (*FotR* 81). Gildor realizes Frodo's limited view of the Shire and the world outside. He tells Frodo that the Shire is not in his possession and the outer world is nothing like his hometown: "'But it is not your own Shire' said Gildor. 'Others dwelt here before hobbits were; and others will dwell here again when hobbits are no more. The wide world is all about you: you can fence yourselves in, but you cannot for ever fence it out'" (*FotR* 82). Gildor's comment positions Frodo the great big world outside, which is a great shock to him due to his limited knowledge of space. Gildor's statement also entails that Frodo might not find everything the same as

he has left after the quest is finished in the Shire, which will prove to be so. Gildor advises Frodo to prepare himself for this possibility, but it is doubtful if Frodo comprehends it fully at this point. Eventually, Frodo ends up more estranged than ever in the Shire.

In contrast to the Hobbits' hometown the Shire, the places where the Elves reside are distant and closed-off from the outer world. The Elves are quite conservative when it comes to their own zones, which can be seen in their blindfolding the members of the company in Lothlórien (*FotR* 338) to prevent them from memorizing its roads. They want to preserve the unique nature of their zone, so they close it off from all outer forces. Therefore, the Elven-space is quite sterile and away from the troubles of outer world. Additionally, the description of the place where Elves host their guests reveals that where the interior begins and where exterior starts are inseparable:

> At the south end of the greensward there was an opening. There the green floor ran into the wood, and formed a wide space like a hall, roofed by the boughs of trees. Their great trunks ran like pillars down each side, In the middle there was a wood-fire blazing, and upon the tree torches with lights of gold and silver were burning steadily. (*FotR* 80)

Elven space's distance and closeness to nature can be counted as epic traits because inside and outside places are not clear cut, which is in line with the externalization of the Elven heroes. In this sense, it can be argued that the epic traits of Elven heroes are reflected in the qualities of their space. The magical traits and unearthly beauty of nature in their places add to their distant and epic representation.

If the hero's representations within time and space are surveyed jointly, a more insightful view into his/her novelistic and epic traits could be gained since Bakhtin argues that the chronotope reveals the "image of a man" while defining genre boundaries ("FTCN" 85). In his discussion of types of chronotope in "Forms of Time and of the Chronotope in the Novel" (84-258), Bakhtin compares various chronotopes and observes that while in epic, chronotopes are generally collective and exterior places like the square, in the novel mostly private, individualistic and interior chronotopes are prevalent. Bakhtin explains that the exterior and collective chronotope represents the epic hero in his "*public wholeness*" ("FTCN" 133); that is why, the epic hero lives every moment open to his community out in exteriors where adventures and

battles occur. Bakhtin gives the example of Achilles crying in his tent in *Iliad* ("FTCN" 133), and his being heard throughout the whole Athens. As an epic hero, Achilles is fully exteriorized, "open on all sides" ("FTCN" 132); therefore, even in his weeping, he is not alone and hidden. With the advent of the novel, "mute and invisible spheres of existence" ("FTCN" 135), i.e., the private and interior chronotopes like "the drawing room" ("FTCN" 143) start to emerge. The change in chronotope is in line with the change in the hero's characteristics from epic to the novel, from the unified view of the hero to the individualistic and realistic view of the hero. Such a change occurs in the chronotope as well because "official and conventional unity" of the human and "heroization and glorification were felt to be stereotyped and stilted" ("FTCN" 143). The exteriority of the chronotope leads to still, stereotypical and exteriorized heroes, so a need to have various representations of the hero occurs, which is actualized through the "increasing privatization of the chronotope" (Vice 206) in the novel.

With this shift, private chronotopes come to be employed in reflecting the crises in the hero's adventures. While breaking the stereotypical representation of the hero, they also lead to the theme of the hero's "loneliness" ("FTCN" 135) as Bakhtin points out. The hero becomes a lonesome figure in his conflicts and struggles. Vice defines the change from collective to individualized chronotopes, "a chronotopic move which accompanies a change in the conceptions of subjectivity" (204). In line with the chronotope, the image of the hero comes to be interiorized and singled-out. In the trilogy, the clearest example of this can be seen in Frodo's hearing the news of his becoming the ring-bearer. Gandalf tells him that he is the ring-bearer at his home, "sitting with Frodo by the open window of the study" (*FotR* 45). Frodo is not declared the ring-bearer gloriously in the public square of the Shire before his community, which would be the case for an epic hero. He secretly learns it at his home alone, and his heroic task is initiated quite dryly. The employment of the individualized chronotope gives an insight as to Frodo's heroic qualities and his relationship with his heroic task. It also indicates how lonesome he will be in his troubles and inner struggles during the quest despite being helped by Sam and the other fellowship members.

The usage of chronotope in the trilogy reveals a discrepancy among the characters of the trilogy. After their saving and restoring the Shire, Merry and Pippin

are always seen in the public square, among people, telling their stories of the battles and far-away lands of Middle Earth to the Shire-folk (*RotK* 1002). Similarly, Sam is frequently engaged in exterior spaces restoring the gardens and forest of the Shire. On the other hand, after the homecoming, Frodo restrains himself to his home and memoir-writing gradually. He is alienated from the community and takes pleasure only from Sam's company. The differences between the other Hobbits' and Frodo's representation in chronotopes reveal the discrepancy in their reception by the society. Merry, Pippin and Sam are appreciated by the society for their heroism and efforts in restoring the Shire, but Frodo is not liked by many and still found to be queer. While the heroes in the exterior space are integrated within society, the one in the interior space is individualized. As the chronotope retreats to inner places like the drawing room, the image of a hero becomes more interiorized and individualistic.

Because the novelistic hero cannot be exteriorized as the epic hero, the events represented in the novel are in fact private and personal things about the hero. There occurs a discrepancy between the public form and the private content of the genre, according to Bakhtin. Due to this gap, the personal and private things about the hero turn into something to be "spied" or "eavesdropped" on ("FTCN" 123). Bakhtin argues that the novel employs heroes that will act as a "third person" ("FTCN" 124). They can be the servant, adventurer, prostitute or courtesan, the common point of whom is their awareness as to the private life, but not being a part of it. This knowledge of the private life combined with aloofness from it leads them to spy and eavesdrop on the private life. Among these types of heroes, the servant type attracts attention most because one of the heroes in the trilogy is appointed as the servant of the main hero, who is Sam. Bakhtin defines the servant as "the eternal 'third man'" and "the most privileged witnesses to private life" ("FTCN" 124-125); similarly, Sam is the closest witness of his master Frodo's private sufferings and conflicts. To illustrate, Sam observes the changes in Frodo's speech (*TT* 649), the weakening of his physical state (*RotK* 918) and struggles in his mind like despair (*RotK* 929) or yielding to the evil (*RotK* 924). Sam's state as the servant enables him to glimpse upon Frodo's private matters; through him, the readers too have the glimpse into Frodo's inner state. It is also worth noting that Sam first appears in the trilogy eavesdropping on the

conversation between Gandalf and Frodo, which is a hint of the role of the eavesdropper Bakhtin mentions.

Bakhtin feels sorry for the loss of the collective chronotopes with the advent of the novel because instead of outer chronotopes like nature and road, the interior and household places are employed in the novel, and nature and road become mere tools like a background or landscape. However, *The Lord of the Rings* trilogy is unique in employing the road as its main chronotope as the heroes' traits unfold as a road story. The heroes in the trilogy will be surveyed in the remaining parts of this chapter from the aspects of "the chronotope of the *road*" ("FTCN" 243) and "the chronotope of the *threshold*" ("FTCN" 248) because the heroes' quest takes place mostly on the road and the crucial changes in the hero can be encountered in thresholds.

The chronotope holds an important place in studying the figure of the hero in terms of novelistic and epic traits since chronotope determines generic traits of and the image of the human in a specific literary work. Among the types of chronotopes Bakhtin posits throughout *Dialogic Imagination*, the road chronotope stands out as the most suitable chronotope for *The Lord of the Rings* trilogy because the road is the main setting of the heroes' quest, where their characteristics, development and relations with one another unfold. The chronotope of the road is unique in its actualization of time within space, which is accomplished by combining the hero's life with his/her "wanderings" ("FTCN" 120), argues Bakhtin. The heroes' "wanderings" hold almost all of *The Lord of the Rings* trilogy. Being an example of the portal quest fantasy, the trilogy covers the "hero-journey" (Campbell 63) that starts with Frodo's and his companions' setting out form their hometown, striving for the completion of the quest and ending with their return from the quest to their hometown again. Bakhtin observes a similar pattern in folkloric works that have characters' "setting out on the road from one's birthplace, returning home, are usually plateaus of age in the life of the individual (he sets out as a youth, returns a man)" ("FTCN" 120). The road chronotope corresponds to the quest itself in the trilogy, so the chronotope represents the heroes' development through trials and turning points that they take as a result of their choices. The hero develops along the road, in the course of adventure and returns a different person from who he/she was in the beginning, which is evident in Frodo's and other

138

heroes' change. Frodo and other heroes are presented as developing figures whose traits are unfolding before the reader through the chronotope of the road.

In other words, the chronotope of the road actualizes the phrase "path of life" ("FTCN" 120) by representing the hero's life in action with all the intersections and alterations. The "path of life" implies more than mere wandering as it involves the inner journey of the hero. The hero develops mentally and morally along the quest; to illustrate, Frodo gains a mature attitude towards Gollum (*TT* 626) and Saruman (*RotK* 990) as he progresses in the quest. Additionally, the walking song that Bilbo chants several times in different versions throughout the trilogy has a similar meaning that refers to the hero's path of life:

> *The Road goes ever on and on*
> *Out from the door where it began.*
> *Now far ahead the Road has gone,*
> *Let others follow it who can!*
> *Let them a journey new begin,*
> *But I at last with weary feet*
> *Will turn towards the lighted inn,*
> *My evening-rest and sleep to meet.* (*RotK* 965)

Bilbo's last chanting of this song occurs when Frodo and his companions return from the destruction of the Ring, and he implies what seems to be the end of the adventure is a phase in the hero's course of life, which will keep evolving to the future.

The chronotope of the road is also remarkable for enabling "random encounters" ("FTCN" 243) among characters that would not meet if it were not for the road. Bakhtin explains this aspect of the road chronotope:

> On the road ("the high road"), the spatial and temporal paths of the most varied people – representatives of all social classes, estates, religions, nationalities, ages – intersect at one spatial and temporal point. People who are normally kept separate by social and spatial distance can accidentally meet; any contrast may crop up, the most various fates may collide and interweave with one another. ("FTCN" 243)

The road's bringing "the people who are normally kept separate" together is quite applicable to *The Lord of the Rings*. The trilogy employs a number of characters from various races. The groups of races are estranged from one another for different reasons

such as past conflicts, the suspicious environment due to the growing danger of the Dark Lord, or never encountering a member of a race before. The road brings members from these groups together around the same mission, so they have to cooperate and interact with each other, and this mostly occurs in the form of assistance as Frodo remarks while parting with Faramir, "'it was said to me by Elrond Halfelven that I should find friendship upon the way, secret and unlooked for. Certainly I looked for no such friendship as you have shown. To have found it turns evil to great good'" (*TT* 679). Cooperation leads to a closeness and understanding amongst the heroes that would not meet for any other reason than the road, which acts as a catalyst for their development as well. To illustrate, Éomer and the riders treat Aragorn, Gimli and Legolas very suspiciously thinking them to be servants of the enemy, but they later understand each other and give them their horses (*TT* 426), which eases the company's journey to a great degree.

The common cause of the estrangement among the races is unresolved conflicts that have been going on for generations. To illustrate, Faramir points out a tension between the Elves and Men saying, "'Men and Elves became estranged in the days of darkness by the arts of the Enemy'" (*TT* 664). There is a split between them, and Men do not trust the Elves although they used to fight by side and were awarded by the Elves. In the war of the Ring, the history repeats itself; Men and Elves come together to fight side by side again. A deeper conflict between the Elves and Dwarves exist, and both races despise the other. However, Legolas and Gimli have to cooperate as they are in the same fellowship. In the beginning, they openly attack on each other verbally or avoid contact. When Gandalf is talking about his last visit to Moria, he makes the mistake of mentioning the past happier times "'when there was still close friendship at times between folk of different race, even between Dwarves and Elves'" (*FotR* 295). At this comment, Gimli and Legolas start to argue over which race betrayed the friendship, and Gandalf literally begs them to stop arguing and at least to try to become friends for the sake of helping him. Similarly, in Lothlórien, the Elves want to blindfold only Gimli as he is a dwarf (*FotR* 334), which reveals their continuing distrust as to the Dwarves. The rest of the company rejects it for the concerns of equality and want them to blindfold all of them. This hostility is a generally known fact, so other characters surprise at seeing an Elf and a Dwarf together. Éomer,

to illustrate, startles at sighting them together, "'The world is all grown strange. Elf and Dwarf in company walk in our daily fields'" (*TT* 427). It is the chronotope of the road that brings them together, so a closeness and an understanding between them emerge in time. When Éomer speaks badly of Lady Galadriel, Gimli warns him to speak gently of the Elven lady (*TT* 429). Gradually, this closeness turns into a companionship that is called "a strange friendship" (*TT* 571) by Treebeard, which can also be seen in the description of their entrance to Minas Tirith:

> Together the Elf and the Dwarf entered Minas Tirith, and folk that saw them pass marveled to see such companions; for Legolas was fair of face beyond the measure of Men, and he sang an elven-song in a clear voice as he walked in the morning; but Gimli stalked beside him, stroking his beard and staring about him. (*RotK* 854)

Through the end of the quest, the members of two estranged and polarized groups come to understand and even love each other thanks to the workings of the chronotope of the road. Similar instances of the road chronotope's bringing heroes of different social classes through encounters can be seen in Aragorn's learning that the Ents are not extinct saying "'I thought they were only a memory of ancient days'" (*TT* 488). Similarly, a member of the Riders of Rohan is surprised upon hearing about the Halflings because he thinks they exist only in children's books (*TT* 424). The gap between the heroes of different races leads them to develop stereotypes about the other, an example of which can be seen in Frodo's opinion on the Men. Frodo have not met a Man before Aragorn, and he has made generalizations about their qualities: "'I didn't know that any of the Big People were like that. I thought, well, that they were just big, and rather stupid'" (*FotR* 214). The stereotypical views of the heroes about the other come to change through their interaction and collaboration and spending time together in the chronotope of the road.

Similar to the "path of life" ("FTCN" 120), "the threshold" ("FTCN" 248) too has a chronotopic nature for combining the time passed and distance covered according to Bakhtin. What marks the chronotope of the threshold among others is its being "highly charged with emotion and value" ("FTCN" 248) because it entails the moments and places in which the hero's life takes an irreversible turn through an action, a revelation or a decision. Bakhtin gives examples from Dostoevsky's works

where a crisis occurs in the threshold chronotope and its extensions such as "staircase, the front hall and corridor" ("FTCN" 248).

One of the traits of the threshold chronotope is hosting the "epiphanies" that affect the course of the hero's life ("FTCN" 248). An instance of epiphany occurs when Sam is passing by the ferry-boat on the river Brandywine. In the beginning of the adventure it can be seen how childish Sam's thoughts and expectations about the quest are from his reactions (*FotR* 63); however, as they advance through the quest, Sam gains a more mature understanding. The moment of this realization happens in an unexpected moment and place for Sam: "He had a strange feeling as the slow gurgling stream slipped by: his old life lay behind in the mists, dark adventure lay in front" (*FotR* 97). At that moment and place which act like a transition point between two opposite shores of the river, Sam feels that it is a step he cannot take back, and he is leaving his old life back in the face of coming danger and unknown adventure. Thus, this chronotope of the threshold includes an epiphanic moment and acts like a transition between Sam's former life and future life after the quest. The boat is a threshold for Sam because there, at that moment, he experiences the acute realization that nothing will be the same in his life after the quest, which is the moment of epiphany for him. After this realization, it is seen that Sam leaves his shallow views about his task behind and takes on a much more sensible attitude towards the quest and his duties.

The threshold chronotope also holds moments of "crisis" and "decisions" ("FTCN" 248) that steer the hero's adventure. In the trilogy, a moment of crisis occurs in an actual threshold. The chamber where Frodo and his companions are hiding is discovered by the Orcs, who are the soldiers of the dark force. The door of their chamber is being forced to open by Orcs. Boromir tries to hold the door, but he is about to lose it. At that time, in this threshold, Frodo is seized by a power, with which he stabs the feet of the Orc that keeps the door from being shut and he retreats bleeding with Frodo's attack: "Suddenly, and to his own surprise, Frodo felt a hot wrath blaze up in his heart. 'The Shire!' he cried, and springing beside Boromir, he stooped, and stabbed with Sting at the hideous foot" (*FotR* 316). In this chronotope of the threshold, the decision Frodo takes determines the course of their journey because his quick action enables their escape. The flicker of his decision and the transition point of the

door step are combined in this chronotope of threshold. A similar threshold chronotope works in "the orc-passage" (*RotK* 877) where Sam learns that Frodo is not dead, overhearing the Orcs. The orc-passage is the passage from Shelob's nest to the Tower of Cirith Ungol. Sam attacks Orcs there saying: "'Yes! The Elf-warrior is loose!' he cried. 'I'm coming. Just you show me the way up, or I'll skin you!'" (*RotK* 884). This passage bears chronotopic qualities firstly due to its being an extension of the threshold as the transition point between different locations, according to Bakhtin's definition ("FTCN" 248). Additionally, Sam makes wise decisions there like hiding from the Orcs and attacking them when they are not paying attention, which enables him to pass through this perilous passage and save Frodo. Thanks to his actions in this passage, Frodo and Sam manage to return to the quest and resume their journey to Mount Doom.

The chronotope of the threshold is where the decisions that affect the whole life ("FTCN" 248) of the hero are taken. For the heroes of the trilogy, two more such chronotopes can be marked: The Crack of Doom and the threshold of Elrond's house. Firstly, the Crack of Doom certainly holds chronotopic qualities because it is the final point where Frodo is going to destroy or keep the Ring. Frodo makes an irreversible decision when he says he will not cast the Ring away before the crack, and he immediately realizes that he cannot go back to his previous self after this declaration: "Then his wrath blazed in consuming flame, but his fear rose like a vast black smoke to choke him. For he knew his deadly peril and the thread upon which his doom now hung" (*RotK* 924-925). Frodo makes a decision at this chronotope of the threshold which alters the quest and his later life. In fact, Frodo makes the worst mistake he could do as the ring-bearer by declaring its possession, which renders the quest an unsuccessful one too for his part. This decision changes the course of his life; Frodo experiences cravings for the Ring and seizures in the Shire probably due to his sudden separation from the Ring at the moment he completely enters its power. Frodo's decision at this chronotope alters Frodo's life completely and leaves him incomplete. The other threshold chronotope is Elrond's doorstep. There, as Frodo is about to leave the house Elrond, which he visits after the quest, Elrond stops him and makes implications about the Grey Havens: "As Frodo stood upon the threshold, Elrond wished him and fair journey, and blessed him, and he said: 'I think, Frodo, that maybe you do not need to come back, unless you come very soon. For about this time of the

year, when the leaves are gold before they fall, look for Bilbo in the woods of the Shire. I shall be with him'" (*RotK* 966). Elrond realizes the irreversible change the quest has left on Frodo and mentions him the Grey Havens where he could be happier and find some peace. On his doorstep, Frodo does not give an answer, but he decides not to talk about Elrond's words to anyone, which indicates his giving a thought to Elrond's words. Later, he sets out with them towards the Havens, therefore, it can be concluded that this threshold hosts Frodo's another life-changing decision, which is to leave his previous life in the Shire and start a new life in Grey Havens.

In *The Lord of the Rings* trilogy, the heroes' representation within time and space and their acting in the chronotopes of road and threshold reveal their novelistic and epic traits. It can be observed that as a result of the linear conception of time, the heroes can separate themselves from the present and focus on different temporal zones like the future and past. This occurs in the form of their thinking of the future readers' time and reminiscing of the past times before the quest. In addition to the usage of specified dates, this temporal aspect gives unfinalized, thus novelistic, qualities to the heroes. On the other hand, it can be argued that the space in the trilogy shows novelistic qualities in their having specific functions, being interior places and being separated from one another with borders, and these traits affect and give novelistic traits to the heroes as well. However, when the Elven space is compared to other zones in Middle Earth, such as the Shire, it is observed that it has a valorized and closed-off place in the trilogy. The Elves protect their zones from strangers, which are also hidden from the reader because the heroes are blindfolded while they are moving towards the Elven land. Therefore, they cannot be located specifically in spatial terms. Additionally, the Elves' space seems to have merged with nature, so where the exterior ends and interior starts are not clear. In this manner, it can be argued that the supernatural and demigod traits, thus epic traits, of the Elvish heroes are once more affirmed by their representation within space. In addition, the heroes' representation within the chronotopes of the road and the threshold display their novelistic traits. They develop along the road and meet unlikely characters on the road. Similarly, their representations within the chronotope of the threshold have novelistic traits in the Bakhtinian sense in that they experience life changing moments and make crucial decisions at the thresholds.

CHAPTER 6

CONCLUSION

The Lord of the Rings trilogy bears epic qualities in the form of a novel written in modern times. He includes fantastical elements and a grand scale of serious events that are unfolding in the novelistic form. Therefore, the storyworld in the trilogy is inhabited by heroes that do not exhibit solely epic traits or novelistic traits throughout, but they display a fusion of these traits, and the hero figure in the trilogy does not consistently conform to the epic or the novelistic conventions, which renders generic categorizations difficult. To determine the epic and novelistic traits of the heroes, a Bakhtinian approach is adopted in this study because Bakhtin has the prominent role in literary studies for clarifying the similarities and deviations between epic and the novel. Through a Bakhtinian analysis of *The Lord of the Rings* trilogy, this study offers insight into epic and novelistic traits of the heroes along with insight into genre studies, Bakhtin and Tolkien.

When the heroic characteristics are analyzed, which entail the treatment of the heroic ideal and multiple heroes for this study, it can be argued that the Hobbit heroes Frodo, Sam, Merry and Pippin portray novelistic hero traits while Aragorn, Gandalf and Legolas portray epic hero traits. Firstly, the defining traits of the Hobbits render them unheroic because they are not created for the heroic action like epic heroes are, but they are accustomed to a quiet and comfortable life aloof from the dangers of their hometown, the Shire. In terms of their physical look, life style and character traits, the Hobbits are portrayed as ordinary figures. Such a representation establishes connection between them and readers, which is a novelistic hero trait according to Bakhtin. Despite their unheroic representation and down-to-earth traits, the Hobbits involve in dreary actions that require great bravery, and they reveal conflicting characteristics, so they have a dynamic representation unlike the still and predictable nature of epic heroes. On the other hand, Gandalf due to his wisdom and magical powers, Aragorn due to his royal lineage and commanding skills, and Legolas due to his demi-god

qualities are close to epic heroes. Their characteristics do not change along the trilogy or take surprising turns; additionally, their lofty and fantastical stance make establishing connection with them difficult. The inclusion or lack of comical elements in the heroes' representation determines thir novelistic or epic traits because laughter brings the object close, breaking down the hierarchy between the hero and readers, according to Bakhtin. Comical elements are extensively employed in the Hobbit heroes' representation such as their unheroic traits, voicing their bodily needs such as food and bath, and comical statements. It can be observed comical elements are excluded from the representation of Gandalf, Aragorn and Legolas. They only make sarcastic remarks a few times, so the humor arises from their wittiness, not from their ordinary traits as in the case of the Hobbits, which makes them close to the epic hero figure.

Another aspect in which the heroic characteristics of the heroes of the trilogy are analyzed is the treatment of the heroic ideal and quest narrative. As for the initiation of the quest, Frodo and other Hobbits accept the heroic duty either out of obligation or lack of knowledge. Frodo is chosen by the Ring as the ring-bearer, and the growing threat of Sauron compels him to take the Ring to Mount Doom. Sam, Merry and Pippin, on the other hand, are quite willing to enter the fellowship of the Ring because they are excited about the adventure, but they never imagine possible difficulties and dangers of the quest. In addition to their unheroic taking up of the heroic duty, the Hobbits' occasional complaints about the hardships they experience problematize their relationship with the heroic task. On the other hand, Gandalf, Aragorn and Legolas know what the quest entails thoroughly, and they never complain about the quest or regret joining the fellowship. They also take up perilous heroic tasks selflessly, which is another indicator of their epic hero qualities. Nevertheless, it is worth noting that they do not glorify the quest in the epic sense either; they do not follow the heroic ideal blindly. The trilogy's quest narrative scheme affects the traits of the heroes as well. The most obvious effect is the change the quest leaves on the heroes, many of whom portray changes in differing degrees. The change is the overall effect left on the hero after the trials he/she goes through during the quest. Frodo is the most affected hero while Aragorn, Gandlaf and Legolas do not portray a drastic change.

It can be argued that in the trilogy, trials reveal the novelistic sides of the heroes because they do not act for affirming their heroism, but they serve to reveal their hidden traits. From the heroes' actions, temptations and their own statements, similarities between the heroes and the evil characters are established such as the link between Frodo and Gollum, Frodo and Sauron, and Gandalf and Saruman. Through the trials, the hero in the trilogy faces his/her dark side and is given choices with which he/she determines the path. Such an agency is missing in epic as the epic hero is more like a medium through which the heroic action is narrated. The epic hero's agency is missing because his heroic stance is determined by fate. His secure place guarantees success in the face of evil, so the epic hero's battling with the evil does not stand for more than external fight. However, we can see inner battles and fluctuations in the case of the majority of heroes of the trilogy, which refigures the meaning of heroism. To illustrate, differently from the epic hero, the heroes of the trilogy portray unheroic traits like inaction, powerlessness or ignorance, through which they triumph in the face of great danger. However, they are also represented erring and jeopardizing the heroic action. Frodo, to illustrate, decides not to cast off the Ring, and the Ring is accidentally dropped into the lava by Gollum, which makes Frodo's heroic task unsuccessful. The failure of the heroic task would be shocking in an epic hero's case whereas this ending of the quest is not absurd as Frodo is a novelistic hero. Additionally, the heroes' portraying fluctuations in their emotions and state of mind reveals novelistic traits such as Frodo's mistaken decisions, Aragorn's momentary despair and Gandalf's fearing for Frodo's life. While these are temporary incidents in Aragorn and Gandalf's case, Frodo experiences such incidents oftener.

Combined with erring, agency and instabilities, the change the heroes show is another significant indicator of their novelistic traits. The development of a hero presents him/her as a dynamic figure, whose change is witnessed by the reader. It also implies that the hero is an incomplete figure, so he/she keeps evolving. While Legolas does not portray a grave change in terms of characteristics, Aragorn becomes the King of Gondor, and Gandalf turns into Gandalf the White. These may seem as changes; however, they do not signify a symbolic inner change in terms of their characteristics, but it is their status that changes, so they cannot be called a change in the novelistic sense. Among the heroes, Frodo is the one that portrays the most radical change

148

because he is the one most closely dealing with the Ring. Similar to him but in lesser degrees, Sam, Merry and Pippin change and mature, as it can be seen in their leaving childish attitudes behind. On the other hand, the difference among them can best be understood by comparing their state after their return home with their former state before the initiation of the quest. It is obvious that Sam, Merry and Pippin are integrated into the social life after their return since Merry and Pippin are always surrounded by curious Hobbits asking about their adventures, and Sam starts a family with Rosie Cotton and takes an active role in the ordering of the Shire. Frodo, however, retreats into his home and does not establish connection with others; similarly, it is stated that the Shire-folk regard him as a strange Hobbit. His lonesome figure after the return and being disregarded by his community reveal the difficulties Frodo experiences in adapting back to life, which is an indicator of how greatly he has changed.

The return to home indicates another novelistic trait in the Bakhtinian sense, which is the hero's conflict with the society. Frodo cannot adapt to his community, nor is the society willing to accept him, so Frodo is not seen as a hero by his people. In epic, the hero is created for his community and the society re-creates him by reflecting his heroic qualities and traits to him. Therefore, Frodo's being a stranger in his society and his heroism's not being acknowledged are reflections of novelistic hero traits. The other Hobbits' and Sam's perfect harmony with the society reveals a less novelistic picture, diminishing the degree of their change as well. Finally, the heroes' being helped out by one another reveals their novelistic qualities since an epic hero does not need anyone to accomplish his heroic duty. As novelistic heroes, Frodo and other members of the fellowship need one another as it can be seen in the great emphasis given on companionship. Additionally, collective work in the accomplishment of the quest breaks down the hierarchies among the heroes and leads to role reversals, which would not be encountered in an epic. However, when it comes to the Elves, it can be observed that they do not need help from others, and they openly say that they need no company as a result of their demi-god traits, which attributes epic traits to the Elves.

The epic and novelistic traits of the heroes in the trilogy have also been studied in terms of the Bakhtinian linguistic concepts such as parody, polyglossia, heteroglossia, dialogism and polyphony, and it can be concluded that all heroes engage

149

in these novelistic devices in their representation through language. Above all, the heroes' being speaking subjects in the trilogy gives them novelistic traits because they are not still and represented objects as epic heroes are. Their speech also reflects their other novelistic traits such as development, fluctuations in their emotional state and human-related aspects like chatting about trivial daily subjects. Such elements render the heroes' speech lively, flexible and life-like contrary to the still and distant "speech" of the epic hero. It should also be noted that the speech of the heroes is being tested throughout the trilogy by others because Bakhtin states that novelistic hero's trial entails the testing of his/her discourse as well. The starting point of this language-related discussion is parody as Bakhtin states that through parody deviations from epic occurred and the novelistic forms emerged. Parody occurs in the employment of unheroic heroes like the Hobbits in the grand narrative of the trilogy, which subverts the traditional hero image and leads to the inclusion of multiple and a variety of unlikely heroes. Parody is closely related to dialogism, which is another novelistic aspect related to the hero's speech, due to its "double-coded nature" (Korkut 71). In the trilogy, dialogism manifests itself best in the metafictional comments made by Frodo and Sam. Their conversation entails dialogic elements since they reveal their consciousness of being inside a tale without breaking the flow of the fantasy creation. Along with parodic representations, the metafictional elements employed in the heroes' conversations subvert the traditional hero image and fantasy tale by opening up their conventionalized structure to the present. The last trait of the linguistic aspects employed in the heroes' speech is polyphony. It can be observed that between the author's voice and the heroes' voice equality is established while the polyphony among the heroes is debatable. However, the fact that the heroes are speaking subjects and that they are not dominated by the author's voice accomplish polyphony. Since the voices of the heroes are individualized, multiple viewpoints and consciousnesses are brought to the trilogy. The employment of multiple voices is also important in the representation of the heroes because through these various perspectives, the hero gains depth and stops coinciding with himself/herself. Since all characters bring a different perspective to the heroes, a multidimensional perspective is given to the hero, which also gives a dynamic view to the characters closest to epic heroes who are Aragorn,

Gandalf and Legolas. Their predictable and valorized traits are contested by others though to a limited extent.

The second point of comparison is polyglossia, which is the existence of multiple languages within a culture, and all heroes engage in the three different languages throughout the trilogy in some way or another. Among these languages, Elvish has a special place because Elvish has an enchanting trait, which is in line with the epic traits of the Elves. Frodo's and Sam's switching to the Elvish coincides with the times when they need encouragement most. Additionally, when Gandalf speaks in Elvish, his voice takes on a grim and an enchanting tone. Another Bakhtinian concept related to the heroes' speech is the presence of heteroglossia, which stands for different hierarchical levels within a language that are representative of different social groups. Thanks to the great variety of heroes from different social groups like the races of Middle Earth, heteroglossia is achieved through interracial interactions in the heroes' speech. In this way, the representation of language through centrifugal terms outside centripetal forces are reflected in the heroes' speech. Bakhtin argues that heteroglossia is established through dialogues among characters in a novel, and they can occur in the form of an external dialogue or an internal dialogue. In the trilogy, the heroes engage in the external dialogues often, and through them, they establish connection with polarized groups, settle misunderstandings. On the other hand, external dialogues can also be alluring and misleading as in the case of Saruman and Wormtongue. As for internal dialogues, they are generally experienced by Frodo, Sam and Gollum especially during the times of making a crucial decision while the other heroes' internal debates are not given much space in the trilogy. The last component of heteroglossia is the incorporation of multiple genres, which can occur in the form of a literary or an extraliterary form. In the trilogy, the literary genres poetry and memoir writing are included as they can be seen in the heroes' chanting and composing songs, and Bilbo's and Frodo's writing the memoirs of their adventures.

The representations of the heroes within time, space and the chronotope of the road and the chronotope of the threshold are thought to indicate the epic traits and the novelistic traits of the heroes in the trilogy. It can be argued that the aspects of time and space in the trilogy attribute novelistic traits to the heroes as the trilogy is composed in the contemporary novelistic form. The time conceptualization is linear,

151

specific and has maximum contact with the contemporaneity. That is why, for the heroes, beginnings and ends bear importance; they can separate themselves from the present by focusing on the past and future, and they can be located within specified time. Additionally, time is subjective as it can be seen in the way Frodo perceives the time spent on the quest longer than it actually is. The readers are addressed as well in the parts where Frodo and Sam discuss how their tale will be received. These temporal aspects do not only give novelistic traits, but they also establish connection between the heroes of the trilogy and readers, in contrast to the valorization and distance between the epic hero and readers. Similarly, space is specified and has symbolic attributions. Especially the maps given in the beginning of the trilogy enable the hero to be located within the quest. Spaces have symbolic bearings as they determine the changing roles of the heroes, and they are in line with the heroes' state as well. To illustrate, the Shire does not stay intact as the final destination of the quest, but it is affected by the atrocities of Sharkey, which is in line with the Hobbit's altered state. On the other hand, it can be observed that the Elven space is the least affected one because it is closed-off from outer intrusions. Additionally, in Elven zones, the interior and the exterior are not clear-cut, so they are reminiscent of epic space in the blurring of interior and exterior boundaries.

The chronotopes in the trilogy are noteworthy as they offer great insight into the characteristics of the heroes. In his discussion of the types of chronotopes, Bakhtin argues that novelistic chronotopes are generally interior places while collective and exterior places are used in epic chronotopes. Frodo's retreat to interior places and his learning that he is the ring-bearer in his home reflect the traits of a novelistic chronotope. On the other hand, the chronotope of the road extends throughout the trilogy since the heroes' quest is the main course of action. It combines the time and distance covered by the heroes and represents their change. The road chronotope is functional in the meeting of the polarized groups and establishing connection among them. Similarly, the chronotope of the threshold hosts momentary changes like instantaneous events, important decisions, course-changing actions and epiphanies such as Frodo's action and decision in two different doorsteps, Sam's epiphany on the boat and Frodo's claiming the Ring's possession before the Crack of Doom. The main

chronotopes in the trilogy host the heroes' change, understanding and development, so it can be argued that they give novelistic features to the heroes.

When the heroes are analyzed in terms of the heroic characteristics, their representation through language and their representation within time and space, it can be concluded briefly that Frodo has the most novelistic traits as he portrays novelistic hero traits in each three aspects. He is followed by Sam, Merry and Pippin who are different from him in terms of homecoming and adaptation back to life there. Aragorn and Gandalf portray in-between traits that lean on the side of epic heroes with their lofty lineage and unchanging traits, but their portraying emotions like fear and hopelessness gives them a novelistic aspect too. As for the Elven heroes, one of whom is Legolas, they are epic heroes in the Bakhtinian sense due to their supernatural and demi-god qualities, their conservative and self-contained traits which create an aloofness from ordinary people and their lofty representation in language, time and space. For a clearer understanding, when the heroes of the trilogy are placed on a spectrum ranging from the novelistic hero to the epic hero, Frodo and the Elven heroes are on the two opposite ends of this spectrum, being the most novelistic and the most epic respectively. Frodo is followed by Sam, Merry and Pippin in that they are less affected by the quest and more integrated into the life after their return. Due to their ambivalent traits, Gandalf and Aragorn can be placed in the middle of this spectrum because they display both novelistic and epic traits. However, their lofty characteristics are more dominant and obvious, so they lean more on the side of epic heroes.

As this study draws to a close, it calls for more research into the arena where Tolkien and Bakhtin have not met often. Future studies can focus on the common criticism on Bakhtin and Tolkien. To illustrate, Holzmesiter argues that Bakhtin did not focus on "hermeneutic activity, reader deliberation and cultural commentary" (418), or Vice says Bakhtin's arguments are too male-centric, and they should be extended to female heroes and their representation (210). Tolkien's writing has been criticized for not employing polyphony fully or for being dependent on binary oppositions. These criticisms can be the starting point for studying how Bakhtin's arguments can be employed pluralistically, or if Tolkien really created heroes through binary oppositions. Additionally, every Bakhtinian term employed in this study can be analyzed separately in their application in the trilogy because these terms are quite

comprehensive and complex. Similarly, taking Fimi's discussion of linguistic aspects as the basis, future studies can incorporate Bakhtin's linguistic terms more extensively without solely focusing on the heroes. Numerous suggestions can be posited because both Tolkien and Bakhtin are unique and rich in their works and theories. With a work of literature that is so intricate and a theoretical basis that leads to many applications, it is probable that the studies on Bakhtin, *The Lord of the Rings* trilogy and its heroes can go ever on, so *"Let others follow it who can! Let them a journey new begin"* (*RotK* 965).

REFERENCES

Attebery, Brian. "Structuralism." *The Cambridge Companion to Fantasy Literature*. Eds. Edward James and Farah Mendlesohn. New York: Cambridge University Press, 2012. 81-90. Print.

Bakhtin, Mikhail Mikhaĭlovich. *Problems of Dostoyevsky's Poetics*. Trans. Caryl Emerson. Minneapolis: University of Minnesota Press, 1999. Print.

—. *Rabelais and His World*. Trans. Helene Iswolsky. Bloomington: Indiana University Press, 1984. Print.

—. *The Dialogic Imagination: Four Essays by M.M. Bakhtin*. Ed. Michael Holquist. Trans. Caryl Emerson and Michael Holquist. Austin: University of Texas, 1981. Print.

Baratta, Chris. "'No Name, No Business, No Precious, Nothing. Only Empty. Only Hungry': Gollum as Industrial Casualty." *Environmentalism in the Realm of Science Fiction and Fantasy Literature*. Ed. Chris Baratta. New Castle: Cambridge Scholar Publishing, 2012. 31-44. Print.

Brownyn, Beatty. *Currency of Heroic Fantasy: The Lord of the Rings and Harry Potter from Ideology to Industry*. Diss. Massey University, 2006. Web. 10 May 2018.

Campbell, Joseph. *The Hero with a Thousand Faces*. California: New World Library, 2008. Print.

Carpenter, Humphrey, ed. *The Letters of J.R.R. Tolkien*. Boston: Houghton Mifflin Harcourt, 1981. Web. 31 June 2018.

Caughey, Anna. "The Hero's Journey." *A Companion to J.R.R. Tolkien*. Ed. Stuart D. Lee. London: John Wiley & Sons, 2014. 404-417. Print.

Chance, Jane. "Tolkien and the Other." *Tolkien's Modern Middle Ages*. Eds. Jane Chance and Alfred Kentigern Siewers. London: Palgrave Macmillan, 2005. 171-186. Print.

Chance, Jane, ed. *Tolkien the Medievalist*. London: Routledge, 2003. Print.

Chance, Jane and Alfred Kentigern Siewers, eds. *Tolkien's Modern Middle Ages*. London: Palgrave Macmillan, 2005. Print.

Clark, Katerina and Michael Holquist. *Mikhail Bakhtin*. Cambridge: The Belknap Press of Harvard University Press, 1984. Print.

Curry, Patrick. *Defending Middle-Earth: Tolkien: Myth and Modernity*. Massachusetts: Houghton Mifflin Harcourt, 2004. Print.

Dickerson, Matthew and Jonathan Evans, eds. *Ents, Elves, and Eriador: The Environmental Vision of J.R.R. Tolkien*. Kentucky: The University Press of Kentucky, 2006. Print.

Do Rozario, Rebecca Anne C. "Just a Little Bit Fey." *Tolkien and Shakespeare: Essays on Shared Themes and Language*. Ed. Janet Brennan Croft. North Carolina: McFarland & Company Publications, 2007. 42-59. Print.

Eagleton, Terry. *The English Novel: An Introduction*. New York: Wiley, 2013. Print.

Fawcett, Christina. *J.R.R. Tolkien and the Morality of Monstrosity*. Diss. University of Glasgow, 2014. Web. 18 Sept. 2017.

Fimi, Dimitra. *Tolkien, Race and Cultural History: From Fairies to Hobbits*. London: Palgrave Macmillan, 2008. Print.

Flieger, Verlyn. "Tolkien's Wild Men: From Medieval to Modern." *Tolkien the Medievalist*. Ed. Jane Chance. London: Routledge, 2003. 95-105. Print.

Franco, Cristiana. "Women in Homer." *A Companion to Women in the Ancient World*. Eds. Sharon L. James and Shelia Dillon. West Sussex: Wiley Blackwell, 2012. 54-65. Print.

Garbowski, Christopher. *Recovery and Transcendence for the Contemporary Mythmaker: The Spiritual Dimension in the Works of J.R.R. Tolkien*. Zollikofen: Walking Tree Publishers, 2004. Print.

Guanio-Uluru, Lykke H.A. "Narrative Ethics in J.R.R. Tolkien's *The Lord of the Rings*." *Narrative Ethics*. Leiden: Brill Rodopi, 2013. 225-238. Web. 01 June 2018.

Hirsch, Bernhard. "After 'The End of All Things': The Long Return Home to the Shire." *Tolkien Studies* 11 (2014): 77-107. Web. 28 June 2016.

Hodges, Kenneth. *Forging Chivalric Communities in Malory's Le Morte Darthur*. New York: Palgrave Macmillan, 2005. Print.

Hunt, Peter, ed. *J.R.R. Tolkien and The Hobbit and The Lord of the Rings*. London: Palgrave Macmillan, 2013. Print.

Hutcheon, Linda. *Narcissistic Narrative: The Metafictional Paradox*. Ontario: Wilfrid Laurier University Press, 1980. Print.

Hutcheon, Linda. *A Theory of Parody: The Teachings of Twentieth-century Art Forms*. Chicago: University of Illinois Press, 2000. Print.

Jackson, Rosemary. "The Fantastic as a Mode." *Fantasy: The Literature of Subversion.* New York: Routledge, 1981. Print.

James, Edward. "Tolkien, Lewis and the Explosion of Genre Fantasy." *The Cambridge Companion to Fantasy Literature*. Ed. Catherine Bates. New York: Cambridge University Press, 2010. 62-78. Print.

Johns-Putra. Adeline. *The History of the Epic*. Basingstoke: Palgrave Macmillan, 2006. Print.

Kleinman, Scott. "Service." *Reading The Lord of the Rings: New Writings on Tolkien's Classic*. Ed. Robert Eaglestone. London: Bloomsbury, 2005. 138-148. Print.

Kliger, Ilya. "Heroic Aesthetics and Modernist Critique: Extrapolations from Bakhtin's 'Author and Hero in Aesthetic Activity.'" *Slavic Review* 67.3 (2008): 551-566. Print.

Korkut, Nil. *Kinds of Parody from the Medieval to the Postmodern*. Frankfurt am Main: Peter Lang, 2009. Print.

Knuth, Rebecca. *Children's Literature and British Identity: Imagining a People and a Nation*. Lanham: The Scarecrow Press, 2012. Print.

Kullman, Thomas. "Intertextual Patterns in J.R.R. Tolkien's *The Hobbit* and *The Lord of the Rings*." *Nordic Journal of English Studies* 8.2 (2009): 37-56. Web. 11 Apr. 2018.

Langford, Jonathan. "Sitting Down to the Sacramental Feast: Food and Cultural Diversity in *The Lord of the Rings*" *Food of the Gods: Eating and the Eaten*

in Fantasy and Science Fiction. Eds. Gary Westfahl, George Edgar Slusser and Eric S. Rabkin. Athens: The University of Georgia Press, 1996. 117-144. Print.

Lee, Stuart D. and Elizabeth Solopova. *The Keys of Middle-earth*. London: Palgrave, 2005. Print.

Livingston, Michael. "The Shell-shocked Hobbit: The First World War and Tolkien's Trauma of the Ring." *Mythlore: A Journal of J.R.R. Tolkien, C.S. Lewis, Charles Williams, and Mythopoeic Literature* 20.1/2 (2006): 77-91. Web. 25 June 2018.

Lukács, Georg. *The Theory of the Novel: A Historico-philosophical Essay on the Forms of Great Epic Literature*. Massachusetts: MIT Press, 1971. Print.

Lynch, Arnold. "Archaism, Nostalgia, and Tennysonian War in *The Lord of the Rings*." *Bloom's Modern Critical Interpretations: The Lord of the Rings*. Ed. Harold Bloom. New York: Infobase Publishing, 2008. 101-116. Print.

McCarthy, Terence. *An Introduction to Malory*. Cambridge: D.S. Brewer, 1988. Print.

Mendlesohn, Farah. *Rhetorics of Fantasy*. Conneticut: Wesleyan University Press, 2008. Web. 30 Aug. 2017.

Milbank, Alison. *Chesterton and Tolkien as Theologians: Fantasy of the Real*. New York: T & T Clark, 2008. Print.

Miller, Dean A. *The Epic Hero*. Maryland: JHU Press, 2000. Print.

Morris, Pam. *The Bakhtin Reader*. London: Edward Arnold, 1994. Print.

Nagy, Gergely. "The 'Lost' Subject of Middle Earth." *Tolkien Studies* 3 (2006): 57-79. Web. 28 June 2016.

—. "The Medievalist('s) Fiction: Textuality and Historicity as Aspects of Tolkien's Medievalist Cultural Theory in a Postmodernist Context." *Tolkien's Modern Middle Ages*. Eds. Jane Chance and Alfred Kentigern Siewers. London: Palgrave Macmillan, 2005. 29-42. Print.

Neville, Jennifer. "Women." *Reading The Lord of the Rings: New Writings on Tolkien's Classic*. Ed. Robert Eaglestone. London: Bloomsbury, 2005. 101-110. Print.

Parry, Hannah. *Classical Epic in the Works of J.R.R. Tolkien*. MA Thesis. Victoria University of Wellington, 2012. Web. 20 June 2017.

Pechey, Graham. "Penultimate Words: The Life of the 'Loophole' in Mikhail Bakhtin." *Literature & Theology* 20.3 (2006): 269-285. Web. 21 Feb. 2018.

Raman, Bert. *A Mythology for England or a Modern Novel?: A Study of Interacting Chronotopes in J.R.R. Tolkien's The Lord of the Rings*. Diss. University of Gent, 2007. Web. 14 May 2018.

Rogers, Brett M. and Benjamin Eldon Stevens, eds. *Classical Traditions in Modern Fantasy*. New York: Oxford University Press, 2017. Print.

Rosebury, Brian. *Tolkien: A Cultural Phenomenon*. New York: Springer, 2003. Print.

Saxton, Benjamin. "Tolkien and Bakhtin on Authorship, Literary Freedom, and Alterity." *Tolkien Studies* 10.1 (2013): 167-183. Print.

Senior, W. A. "Quest Fantasies." *The Cambridge Companion to Fantasy Literature*. Eds. Edward James and Farah Mendlesohn. New York: Cambridge University Press, 2012. 190-199. Print.

Shippey, Tom. "Light-elves, Dark-elves, and Others: Tolkien's Elvish Problem." *Tolkien Studies* 1 (2004): 1-15. Web. 27 May 2018.

—. *J.R.R. Tolkien: Author of the Century*. Massachusetts: Houghton Mifflin Harcourt, 2014. Print.

—. *The Road to Middle-Earth: How J.R.R. Tolkien Created a New Mythology*. New York: Houghton Mifflin Company, 2003. Print.

Simonson, Martin. "Epic and Romance in *The Lord of the Rings*." *El Futuro del Pasado* 7 (2016): 65-84. Web. 28 May 2018.

Todorov, Tzvetan. *Mikhail Bakhtin: The Dialogical Principle*. Trans. Wlad Godzich. Manchester: Manchester University Press, 1984. Print.

—. *The Fantastic: A Structural Approach to a Literary Genre*. Trans. Wlad Gozich. New York: Cornell University Press, 1975. Print.

Tolkien, John Ronald Reuel. *Beowulf: The Monsters and the Critics and Other Essays.* Ed. Christopher Tolkien. London: Harper Collins Publishers, 2006. Print.

—. *On Fairy-stories*. Eds. Verlyn Flieger and Douglas A. Anderson. London: Harper Collins Publishers, 2008. Print.

—. *The Fellowship of the Ring*. New York: Mariner Books, 1954. Print.

—. *The Two Towers*. New York: Mariner Books, 1954. Print.

—. *The Return of the King*. New York: Mariner Books, 1955. Print.

—. *Yüzüklerin Efendisi*. Trans. Bülent Somay and Çiğdem Erkal İpek. İstanbul: Metis Yayıncılık, 2016. Print.

Tracy, H.L. "The Epic Tradition." *The Classical Journal* 42.2 (1946): 78-81. Web. 18 Aug. 2017.

Vice, Sue. *Introducing Bakhtin*. New York: Manchester University Press, 1997. Print.

Waugh, Patricia. *Metafiction*. New York: Routledge, 1984. Print.

Weiner, Jesse. "Classical Epic and the Poetics of Modern Fantasy." *Classical Traditions in Modern Fantasy*. New York: Oxford University Press, 2017. 25-46. Print.

Whitter-Ferguson, John. "Ezra Pound, T.S. Eliot, and the Modern Epic." *The Cambridge Companion to the Epic*. Ed. Catherine Bates. New York: Cambridge University Press, 2010. 211-233. Print.

APPENDICES

A. TURKISH SUMMARY/TÜRKÇE ÖZET

Bu çalışma, Bakhtin'in destan kahramanı ve roman kahramanı ayrımını temel alarak, J.R.R. Tolkien'in yazdığı *Yüzüklerin Efendisi* üçlemesinin kahramanlarının özelliklerini inceler ve ne derecede destan kahramanı olduklarını ve ne derecede roman kahramanı olduklarını araştırır. Böyle bir çalışma için *Yüzüklerin Efendisi* üçlemesi, üç temel açıdan benzersiz bir eserdir. Üçlemedeki fantastik özellikler, Tolkien'in destan ögeleri kullanması ve üçlemenin farklı edebî türlerin yapısal özelliklerini taşıması, *Yüzüklerin Efendisi*'ni edebî tür açısından sınıflandırmayı zorlaştırmaktadır. Bu sebeple birçok çalışma *Yüzüklerin Efendisi* üçlemesinin türü nedir sorusuna cevap aramıştır. Bakhtin'in yaklaşımıyla incelendiğinde, üçlemenin baskın bir biçimde, özellikle dil, zaman ve mekân açılarından, roman türü özellikleri gösterdiği öne sürülebilir.

Üçlemenin roman türünde yazılmış olmasına ve genellikle roman türü özellikleri gösteriyor olmasına rağmen, üçlemede destan türü özellikleri de ön plana çıkmaktadır ve birçok araştırma üçlemeyi destan türü ile özdeşleştirmiştir (Brownyn i; Langford 134; James 69; Simonson 71). Üçlemenin kahramanları göz önüne alındığında, yine roman kahramanı özelliklerinin ön plana çıkmasıyla beraber, destan kahramanı özellikleri belirli karakterlerde açıkça görülmektedir. Bu destan kahramanı özellikleri fantastik ögelerin yanı sıra üçlemenin Mendlesohn'un tabiriyle "portal-quest" (1) türüne ait olmasından da kaynaklanmaktadır. Bu türde, kahraman özellikleri ayrı bir inceleme gerektirir çünkü kahraman maceranın başında sıradan bir figürken, büyük cesaret ve beceri gerektiren durumlara atılır, görevler ve denemeler eşliğinde gelişir ve değişir. Bu türde kahramanın seçimleri ve izlediği yol önemlidir ve kahramanın izlediği yol aslında onun içsel gelişimini simgeler. Böyle bir kahraman türü okurlar için bağlanması kolay bir figürdür çünkü kahramanlığın kader ile atanmasını değil, kahramanlığın kişinin seçim ve gelişimine bağlı olduğunu ortaya çıkarır. Fantastik ögelerin yanı sıra, Tolkien'in karakterleri yaratırken destan ögeleri

161

kullanmış olması üçlemeyi tür açısından incelemeye elverişli kılmaktadır. Bu araştırmada, roman ve destan özelliklerinin birlikte kullanılmasının üçlemedeki kahramanların özelliklerinde yarattığı ikilemin Bakhtinsel bir yaklaşımla çözülmesi amaçlanmaktadır.

Getirdiği benzersiz yaklaşım ve tema yönünden yapılan karşılaştırmalarının ötesinde önerdiği derin bakış açısı sebebiyle, Bakhtin'in kuramları edebî araştırmalar alanında özel bir yere sahiptir. *Dialogic Imagination* isimli makale derlemesinde, Bakhtin destanı, roman türünün üç temel ayağından biri olarak tanımlar (*PDP* 109) ve bu iki türün, dünya görüşü açısından tamamen zıt gerçekliklere ait olmalarına ("FTCN" 240) rağmen, gelişimsel bir bağlantıya sahip olduğunu savunur. Tür, destandan romana evirildikçe, kahraman figüründe ve kahraman özelliklerinde değişikler görülmektedir. Makalelerinin yanı sıra, Dostoyevski'nin ve Rabelais'in eserlerini incelemesinde, Bakhtin bu değişiklikleri kahraman özellikleri, kahramanın dil, zaman ve mekân aracılığıyla temsil edilişi açılarından öne sürer. Bakhtin'in, kuramları incelendiğinde, roman türünü destandan daha ön plana çıkardığı görülebilir fakat Bakhtin'in destana roman türünü anlamada ayrı bir önem verdiği de bir gerçektir, çünkü Bakhtin bir edebî türü anlamak için, o türün köklerine inilmesi gerektiğini savunur (*PDP* 106). Bakhtin, Tolkien ve *Yüzüklerin Efendisi* üçlemesi ayrı ayrı sıkça çalışılmasına rağmen birlikte nadiren çalışılmıştır (Saxton 167). Bakhtin'in roman ve destan ayrımını benimseyen bir yaklaşımla *Yüzüklerin Efendisi* üçlemesinin kahramanlarını inceleyen bu çalışma, alandaki bu boşluğu doldurmayı ve Bakhtin'in kuramlarına, *Yüzüklerin Efendisi* üçlemesine ve Tolkien'in yazımına bir bakış açısı getirmeyi amaçlamaktadır.

Bu çalışmanın ikinci kısmında, kuram çerçevesini ve inceleme kısımlarını belirleyen, Bakhtin'in destan ve roman ayrımının ana başlıkları özetlenmiştir. Baktin'in dört makalesi; "Epic and Novel," "From the Prehistory of Novelistic Discourse," "Forms of Time and of the Chronotope in the Novel" ve "Discourse in the Novel" ve Dostoyevski'nin and Rabelais'in eserlerinin incelemeleri, bu başlıkların belirlenmesindeki ana başvuru kaynaklarıdır. Bakhtin'in kuramı, destan kahramanı ve roman kahramanı için ayrı ayrı olmak üzere; kahraman özellikleri, kahramanın dil ile temsil edilmesi ve kahramanın zaman ve mekân yoluyla temsil edilmesi olarak belirlenmiştir.

Bakhtin, destan kahramanının belirleyici özellikleri olarak donuk, uzak, değişmez ve tamamlanmış olmasını öne sürer. Destan kahramanı yekpare bir dünya görüşü içindedir ve destandaki diğer tüm ögeler gibi bu bütünün bir parçasıdır. Destan kahramanı ayrıca ulusunun geçmişine ait bir figürdür, bu sebeple varoluşu, toplumunun iyiliğine, daha önemlisi geçmişine aittir. Bu özellikler destan kahramanını, kahramanlık görevi dışında bir özelliği olmayan boş bir figür haline getirir. Kahramanın yaratılış ve varoluş sebebi kahramanlık görevidir ve destan kahramanının özelliği onu kaderin atamış olmasıdır. Bu nedenle, destan kahramanı tamamlanmıştır, değişemez ve değişmemelidir çünkü olabileceği her şeyi çoktan olmuştur ve olacak olduğu zaten kendisinin mevcut durumudur ("EN" 34). Destan kahramanı değişmez ve ulaşılmaz olması sebebiyle okurlardan uzak ve bağ kurulması zor bir figürdür. Özellikle kahramana atanan insanüstü yetenekler ve kaderin garantilediği başarı, onu sıradan insan figüründen uzaklaştırıp ona yarı-tanrı özellikleri getirir. Destan kahramanı toplumunun gözünde değerli bir yere sahiptir çünkü insanlarının iyiliği için savaşır. Kahraman toplumuyla bir çatışma veya anlaşmazlık içinde değildir çünkü toplum, kahramanı kahraman kendisini nasıl görüyorsa öyle görür. Bu bütünsel görüş destanın tamamına yayılmıştır. Destan anlatıcısı, kahraman ve toplum, kahramana dair aynı görüşü paylaşır, bu sebeple de destan kahramanı sabit bir görüşle yansıtılır. Çatışmanın ve farklı görüşlerin eksikliği destan kahramanının ideolojik bir duruştan yoksun olmasıyla sonuçlanır ("EN" 35) çünkü kahramanın bireysel bir konumu yoktur. Destan dünyasının bütünlüğü, diğer tüm ögeleri gibi destan kahramanının da aynı dışsallaştırmaya katar.

Destandaki bütünlük, destan kahramanının dil yoluyla temsil edilmesine yansır. Bakhtin bunu dilin mit üzerinde aynılaştıran gücü olarak tabir eder ("FPND" 60); yani destan, dili türün kalıplaşmış gelenekleriyle ve dilin esnek doğasına aykırı olarak kullanır. Sonuç olarak destan kahramanı bu dil kullanımının sınırları içine hapsolmuş ("EN" 17), güncellikten uzaklaşıp okurlardan daha üst bir seviyeye çıkarılmıştır. Destanda kullanılan dil ile destan kahramanı birbirlerine etki eder; dil kahramanı donuk bir hale getirirken, kahramanın gündelik hallerden ve sıradan özelliklerden uzaklığı, kahramanın yansıtılmasında kullanılan dili kalıplar içine sıkıştırır. Bu dil, kahramanı okuyucuyla dönemdaş gibi değil, okuyucudan uzak bir figür olarak yansıtır. Aynı zamanda destanda kullanılan dil değişmez ve başka dünya

görüşleri yansıtılamaz çünkü anlam bir bütün halindedir ve tek seslidir. Kahraman ve diğer karakterler aynı ağızdan konuşuyor gibidir çünkü destan anlatıcısının sesi tüm destandaki tek sestir. Bu da destan kahramanının tek yönlü yansıtılmasına yol açar ve kahraman farklı bakış açılarından derinlikli olarak görülemez. Çok sesliliğin eksikliği ise destan kahramanının konuşan ve kendi sesi olan bir figürden ziyade temsil edilen bir nesne olmasıyla sonuçlanır. Tüm bu özellikler destan kahramanını yapısal olarak ölü ("EN" 7) gibi yansıtır çünkü okuyucu için dil esnekliği ile kullanılmamış ve ulaşılamaz bir durumdadır.

Destan kahramanının dil ile temsili okuyucuyu uzaklaştırırken, aynı durumun destan kahramanının zaman ve mekân yolları ile temsilinde de olduğu görülmektedir. Destan kahramanı başlangıç zamanlarına, geçmişe ("EN" 13) aittir, bu sebeple geleceğe ve gelecekteki okurların zamanına evirilemez. Kapalı destan zamanı içinde kahraman ulaşılamaz ve tamamlanmış bir durumdadır. Bu sebeple kahraman kendisini tekrar eder ve değişiklik göstermez. Bunlara ek olarak, destan zamanı modern zaman anlayışından farklı olarak zamanı doğrusal değil döngüsel bir anlayışla ele alır; başlangıç, bitişler ve kesin zaman aralıkları kullanılmaz. Destan kahramanı bu açılardan uzak bir figürdür çünkü kesin bir zaman noktasında okuyucunun gözünde canlanamaz. Ayrıca destanda başlangıç ve bitişlere bir anlam yüklenmez, destan kahramanı devam edecek olan büyük bir anlatının bir parçası gibidir. Zaman anlayışına benzer olarak, mekân anlayışı da bütünseldir, destanda mekânlar kesin bir şekilde ayrılmış değildir. Bu da kahramanı kesin sınırlar içinde tespit etmeyi zorlaştırır. Bakhtin zaman ve mekân incelemesini chronotope teriminde birleştirir. Chronotope zaman-mekân anlamına gelir ve Bakhtin bir eserdeki chronotope kullanımının kahramanın özelliklerini belirlediğini savunur ("FTCN" 85). Örneğin destan kahramanı destandaki yekpare dünya görüşünün bir parçası olarak ve topluma mâl olmuş bir figür olması sebebiyle topluluk mekânlarında ve insanlar içinde ("FTCN" 135) görülür.

Roman kahramanının özelliklerine gelince, Bakhtin destan kahramanının tamamen zıttı özellikler sıralar. Bakhtin'e göre roman kahramanının belirleyici özelliği çelişen özellikler taşımasıdır. Roman kahramanı hem olumlu hem de olumsuz özellikler taşır, bunlar onu beklenmedik şekillerde davranmaya ve bazen hatalar yapmaya iter. Bu çelişen özelikler ve hata yapmaya yakınlığı roman kahramanına

psikolojik derinlik katar ve insansı, bağ kurulabilir bir figür haline getirir. Roman kahramanının zıt özellikleri aynı zamanda kahramanın değişmine yol açar ve kahraman gelişmeye açık, esnek bir figür haline gelir. Destan kahramanının aksine roman kahramanı aslında bu değişime ihtiyaç duyar çünkü roman kahramanının bir diğer tanımlayıcı özelliği yetersizliğidir ("EN" 37). Bulunduğu konum veya rol için yetersizliği kahramanın geçtiği denemeler yoluyla ve hayattan öğrendikleriyle gelişmesini sağlar, sonuç olarak kahraman eksik fakat gelişmeye açık hale gelir. Aynı zamanda kahramanın aldığı kararlar yoluyla öğrenmesi onun iradesine önem katar böylelikle kahramanın geçtiği denemeler kahramanlık göstergesinden ziyade, kahramanın seçimlerini, deneyimlerini ve gelişmesini ön plana çıkarır. Bu açılardan roman kahramanı üstün bir pozisyonda değil sıradan, günümüz insanlarına yakın ve bağ kurulabilir bir figürdür. Roman kahramanının bu özellikleri kahramanın gündelik ve kahramanca olmayan durumlarda yansıtılmasından da kaynaklanmaktadır. Yorgunluk, üzüntü, endişe gibi kahramanlık zıttı durumlar ile, kahramanın gündelik ve vücutsal ihtiyaçlarından bahsedilmesi, roman kahramanını gülünebilir bir figür yapar. Bakhtin'e göre kahkaha uzaklıkları ve hiyerarşileri bozacak bir yapıya sahiptir. Roman kahramanının destan kahramanından ayrışan özelliklerinden biri de roman kahramanının ideolojik duruşa sahip olmasıdır. Romana dahil edilmiş karşıt görüşler, romanın edebî ve edebî olmayan türlerle ilişkisi ve roman kahramanının bireyselliği kahramanı ideolojik bir tutum edinmeye iter.

Bakhtin'e göre, roman kahramanıyla destan kahramanını ayrıştıran en önemli özelliklerden biri dil kullanımıdır çünkü roman kahramanı konuşan bir özne ("DN" 334) iken destan kahramanının kendine ait bir sesi yoktur. Kahramanın yanısıra, diğer karakterlerin de kendi sesi vardır, böylelikle romanda farklı sesler bulunur, anlam bütün ve değişmez değildir. Farklı seslerin bulunması çok sesliliğe ve ifadelerdeki anlam değişikliklerine işaret eder ve roman kahramanı hep aynı bakış açısıyla değil farklı açılardan yansıtıldığı için derinlik kazanır. Roman türünün dilin esnek yapısına yakınlığı sebebiyle, kahraman bağ kurulabilir bir figür hâline gelir. Dilin esnek kullanımıyla beraber, Bakhtin roman kahramanını belirleyen diğer dille ilgili kavramları parodi, polyglossia, heteroglossia, polyphony ve dialogism olarak sıralar. Bunların içinden parodi destandan romana geçişte belirleyici faktörlerdendir çünkü geleneksel türlerin yapısının parodisinin yapılmasıyla roman günümüzdeki yapısına

ulaşmıştır. Aynı şekilde, geleneksel kahraman yapısının parodisinin yapılması roman kahramanını bugünkü esnek, gücnel, bağ kurulabilir ve insansı yapısına ulaştırmıştır. Polyglossia, heteroglossia ve polyphony de roman kahramanının özelliklerine katkıda bulunur çünkü polyglossia birden fazla dilin kullanılmasını sağlarken heteroglossia bir dilin içindeki çatışan güçleri ve dildeki sınıfsal ve diğer sosyolojik farklılıkları barındırır. Polyphony ise romandaki çok seslilikten öte, bu seslerin kendi arasındaki eşitliği ve anlatıcısının sesi karşısındaki çokluğu açısından önemlidir. Dialogism ise bir kelimenin anlamının diğer anlamlarıyla ilişkisi ve bu ilişki ile yeni anlamlar ortaya çıkmasıdır. Kahramanın dil ile yansıtılmasında bu unsurların kullanılması, roman kahramanının destan kahramanından farklı olarak daha esnek, değişime açık ve insanlara yakın bir figür olmasıyla sonuçlanır.

Roman kahramanının ve destan kahramanının farklı gerçekliklere ait olması, onların zaman ve mekân içinde yansıtılmalarına da yansır. Roman kahramanı güncel zamanla yakın bir ilişki içindedir çünkü okuyucularla aynı seviyededir ve esnek yapısı nedeniyle gelecek okuyucuların zamanına evirilebilir. Destan kahramanı geçmişe aitken, roman kahramanı günümüze ulaşabilir, bu sebeple de okuyucu onunla yakınlık kurabilir. Roman zamanı güncel biçimiyle yani doğrusal, birimlere ayrılmış ve belirli zaman aralıklarıyla belirlenmiş haliyle kullanır. Bu sebeple kahraman belirli bir zamanda okuyucunun gözünde canlanabilir. Zamana benzer bir şekilde, romanda mekân da güncel anlayışla kullanılır. Destan kahramanına karşıt olarak roman kahramanı daha iç mekânlara ait ve bireysel chronotope'larda görülür. Bu çalışmanın amaçları doğrultusunda Bakhtin'in chronotope incelemesi yol chronotope'u ve eşik chronotope'uyla sınırlandırılmıştır.

Bu çalışmanın üçüncü kısmında, üçlemedeki ana kahramanların kahramanlık özellikleri destan kahramanı mı yoksa roman kahramanı mı olduklarına dair incelenmiştir. Üçlemenin kısa bir özetinde de görüleceği üzere, belirli karakterler kendilerine ayrılan geniş yer ve kahramanlık anlarında aldıkları önemli roller açısından daha ön plana çıkmaktadır. Bu kahramanlar başta ana karakter Frodo olmak üzere; Sam, Merry, Pippin, Gandalf, Aragorn ve Legolas olarak belirlenmiştir. Ana karakter Frodo olsa da üçlemede tek bir kahramandan bahsetmek mümkün değildir çünkü; macera boyunca Frodo bu diğer kahramanlar tarafından sıklıkla yardım edilmektedir. Bu geniş yelpazeye ait ve farklı alt yapılardan gelen kahramanları, destan

veya roman kahramanı özellikleri açısında incelemek ve karşılaştırmak, onlara dair derin bir görü kazandıracaktır.

Kahramanlık ideali ve anlatıda birden fazla kahramanın bulunmasını da içeren kahraman özellikleri incelendiğinde, Hobbit ırkına ait kahramanlar olan Frodo, Sam, Merry ve Pippin'in roman kahramanı özellikleri gösterirken; Aragorn, Gandalf ve Legolas'ın destan kahramanı özellikleri gösterdikleri öne sürülmüştür. Hobbit kahramanların belirleyici özellikleri, onları sıradan karakterler gibi gösterir çünkü Hobbitler, destan kahramanlarının aksine, kahramanlık için yaratılmamıştır. Macera ve tehlikeden uzak, rahat ve sessiz bir hayata alışkındırlar. Karakter özellikleri, yaşam tarzı ve fiziksel özellikleri açılarından sıradan bir görüntü çizerler. Gündelik özelliklerine rağmen, Hobbitler gayet tehlikeli ve cesaret isteyen maceralar içinde bulunur ve başarılı olur, bu onların çelişen özelliklerine işaret eder. Hobbit kahramanların tahmin edilebilir ve sabit özellikleri yoktur, dinamik, bağ kurulablir ve sıradan insanlara yakın bir temsil edilişleri vardır. Öte yandan, bilgeliği ve sihirli güçleri ile Gandalf, asil soyu ile Aragorn ve yarı-tanrı özellikleri ile Legolas destan kahramanı özellikleri gösterir. Bu kahramanların özellikleri gelişmez veya beklenmedik bir değişim göstermez. Değişken, çelişen ve insansı özelliklerin yanı sıra, Bakhtin karakterlerin özelliklerinde komik unsurların kullanımının da onların destan kahramanı mı yoksa roman kahramanı mı olduklarını belirleyen bir unsur olduğunu savunur. Komik unsurlar kahramanı romanlaştırır çünkü kahkaha kahraman ile okuyucu arasındaki uzaklığı kapatır ve kahramanı okuyucuya yakın bir figür haline getirir. Bu unsurlar, Hobbit kahramanların sunuluşunda sıklıkla kullanılırken Gandalf, Aragorn ve Legolas'ta kahramanların kendilerinin yaptığı birkaç iğneleyici yorum dışında karakter özellikleri görülemez. Bu sebeple bu üç kahraman destan kahramanlarına daha yakın durur.

Kahramanların özelliklerinin önemli bir parçası kahramanlık görevi ile arayış macerasına dair olan tutumlarıdır. Maceranın başında Frodo ve diğer Hobbitler görevi ya gönülsüzce ve zorunluluktan ya da bilgisizce kabul ederler. Frodo yüzük taşıyıcı olan seçilmiştir ve Sauron'un büyüyen tehditleri onu Yüzük'ü yok etmeye mecbur kılmıştır. Sam, Merry ve Pippin ise yaşayacakları deneyimlerin heyecanıyla maceraya katılmaya heveslidirler fakat bu maceranın tehlikelerini ve ne içerdiğini bilmiyorlardır. Maceraya bilinçsiz ve gönülsüz bir şekilde başlamalarına ek olarak, Hobbitlerin

sıklıkla görevlerinin zorluğundan şikâyet etmeleri, hatta maceraya atılmaktan duydukları pişmanlıkları ve kaçma isteklerini dile getirmeleri, onların kahramanlık göreviyle olan ilişkisini oldukça sorunlu kılmaktadır. Gandalf, Aragorn ve Legolas'a gelince, bu kahramanların arayış macerasına dair bilgilerinin olduğu ve görevlerini olduğu gibi kabul ettikleri, tehlikeli durumlara düşünmeden kendilerini attıkları ve asla şikâyet veya pişmanlıklarını dile getirmedikleri görülmüştür. Bu kahramanlar görevlerinden destanlarda olduğu gibi yüceltir bir şekilde bahsetmeseler de Hobbit kahramanlara kıyasla, görevleri ile ilişkileri bakımından, destan kahramanlarına daha yakındırlar.

Üçlemenin arayış macerası anlatısına sahip olması kahramanların özelliklerini destan veya roman kahramanı olmaları açısından göz önüne serer. Macera süresince kahramanların geçtiği denemeler, sadece kahramanlıklarını pekiştirmeye değil, onları gizli ve karanlık taraflarıyla yüzleşmeye iter. Örneğin, sadece Frodo ve Gollum gibi karakterler değil, Gandalf ve Galadriel gibi büyük güce sahip karakterler de Tek Yüzük'ün ihtişamına kapılma tehlikesindedir. Bu sebeple kahramanların karşılaştığı badireler içsel birer tehdit de barındırır. Kahramanlar bu sayede hem daha insansı bir görünüm kazanır, hem de kötücül karakterler aralarında bir bağ ve benzerlik kurulmuş olur, yani iyi ve kötü ayrımı destanlarda olduğu gibi keskin bir şekilde yapılmamıştır. Denemeler yoluyla kahramanlar kendilerinin de bilmedikleri kötücül yönlerini keşfeder böylelikle maceraları içsel bir yolculuk haline gelir çünkü başarmaları kahramanların yapacağı seçimler ve içlerindeki bu kötücüllükle ne derecede başa çıkabileceklerine bağlıdır. Destan kahramanlarının garanti altına alınmış başarısının aksine, üçlemedeki kahramanların kendi yolunu belirleme seçeneği vardır ve bu onları roman kahramanı yapar. Destan kahramanlarının aksine, üçlemedeki karakterler hata yapmak, duygularında değişim yaşamak ve harakete geçememek gibi kahramanlık dışı durumlarda bulunur. Örneğin Frodo'nun arayış macerasının sonunda Tek Yüzük'ü sahiplenme kararı ve onun yerine son görevi Gollum'un yaparak Yüzük'ü yok etmesi, yani kahramanlık görevini ana kahraman dışında birinin yapması Frodo'nun destan kahramanı olduğunu gösterir çünkü bu destan kahramanı için tamamen karşıt bir durumdur. Öte yandan destan kahramanı portresi çizen Aragorn ve Gandalf'ın ümitsizlik, korku gibi duygular göstermesi ve hata yapmaları onların roman kahramanı özellikleri taşıdığına işaret eder.

Hata yapma, seçim yapma gücü ve duygusal dengesizliklerin yanında, üçlemedeki kahramanların anlatı boyunca gösterdiği değişim de roman kahramanı özelliklerinin bir parçasıdır. Kahramanın okuyucunun gözü önünde değişmesi, onu canlı bir figürmüş gibi gösterir ve dinamik bir yapı kazandırır. Legolas bir değişim göstermezken, Aragorn Gondor kralı olur ve Gandalf, Ak Gandalf olarak geri döner fakat bunlar içsel bir değişimden ziyade karakterlerin konumuna dair değişimlerdir, bu sebeple roman kahramanı değişimi sayılmaz. Kahramanlar arasında en büyük değişimi Frodo gösterir çünkü arayış macerasının ve Tek Yüzük'ün yükünü taşıyan Frodo'dur. Frodo'dan daha düşük seviyelerde; Sam, Merry ve Pippin değişir ve olgunlaşarak maceranın başındaki çocuksu hallerini geride bırakırlar. Frodo ve diğer kahramanlar arasındaki fark onların eve dönüşteki hallerinden anlaşılabilir. Sam, Merry ve Pippin sosyal yaşama ayak uydurmuş bir haldedir, örneğin Merry ve Pippin'in etrafı sürekli maceraları hakkında soru soran Hobbitlerle çevriliyken, Sam Shire'ın düzenlenmesinde büyük bir rol aldığından saygı duyulan bir Hobbit haline gelir. Sam ayrıca bir aile kurarak toplumsal normlara ayak uydurur. Öte yandan Frodo giderek yalnızlaşır ve toplumdan ilgi göremez. Zamanla kendisine evine kapatır ve sessiz bir hayat sürdürmeyi tercih eder. Bu durum, Frodo'nun arayış görevinden sonra sosyal hayata uyum sağlamada ne denli zorlandığını ve geçirdiği değişimin boyutunu gözler önüne serer. Eve dönüşteki bu farklılık, Bakhtin'in roman kahramanı tanımına, kahramanın toplumla sorun yaşaması ve çatışması açısından uyar. Frodo topluma uyum sağlayamaz, aynı şekilde toplum da Frodo'yu kabul etmeye niyetli değildir, yani bir anlamda toplum Frodo'yu kahramanı olarak görmez ve Frodo'nun kahramanlık rolünü tanımaz. Frodo'nun kendi topluluğu içinde bir yabancı gibi olması ve kahramanlığının değerinin bilinmiyor olması, onun tam bir roman kahramanı olduğunu gösterir. Sam ve diğer Hobbitlerin eve dönüşten sonraki toplum ile mükemmel uyumu ise roman kahramanları için daha az gerçekçi bir durumdur. Son olarak kahramanların birbirine yardım ediyor oluşu ve birden fazla kahramanın olması, kahramanların roman kahramanı özellikleri taşıdığını gösterir çünkü yardımlaşma ve kolektif iş bölümünün olması onların tek başına yetersiz olmasından kaynaklanır. Yardımlaşma, kahramanlar arasındaki ayrım ve seviye farkını aza indirir ve kahramanlar arasındaki rollerin değişimiyle sonuçlanır. Bu durum sadece Legolas gibi

Elf ırkından olan kahramanlarda farklıdır çünkü yarı-tanrı özellikleri sebebiyle bu kahramanlar yardıma ihtiyaç duymazlar.

Bakhtin'in destan kahramanı ile roman kahramanı arasında yaptığı ayrım, kahramanın dil yolu ile temsil edilmesinde kullanılan ögeleri de içerir. Bu çalışmanın dördüncü kısmı; Bakhtin'in belirttiği; parodi, polyglossia, heteroglossia, dialogism ve polyphony olan bu ögelerin üçlemedeki kahramanların temsilinde kullanımına odaklanır. Üçlemedeki tüm kahramanların bu roman dili aygıtlarına bir şekilde dahil olduğu görülmüştür. Hepsinden önce, kahramanların konuşan birer öge olması onlara roman kahramanı özelliği katar çünkü destan kahramanlarının kendilerine ait bir sesi yoktur. Kahramanların konuşmaları; onların değişimini, ruhsal durumlarındaki dengesizliklerini ve insansı, gündelik yönlerini yansıtır ve destan kahramanının aksine onları canlı ve değişen figürler olarak yansıtır. Kahramanların karşılaştığı denemeler arasında, konuşmasının da deneniyor oluşu Bakhtin'e göre roman kahramanı özelliğidir ve bu durum üçlemenin kahramanlarında sıklıkla görülür. Bakhtin'in bahsettiği dil özelliklerinden parodi önemli bir yere sahiptir çünkü roman türünün başlangıcını parodi belirler. Parodi gelenkesel anlamda kahramansı olmayan kahramanların üçlemedeki ciddi ve büyük çaplı olaylarda başrol oynamalarında görülür, Hobbitlere kahraman olarak rol verilmesiyle geleneksel kahraman figürünün parodisi yapılmıştır. Parodi ile dialogism arasında yakın bir bağ vardır çünkü parodinin ikili bir doğası vardır (Korkut 71) bu sebeple dialogism içerir. Dialogism'in üçlemedeki en büyük örneği Frodo ve Sam arasındaki diyaloglardaki üstkurmaca ögeleridir. Frodo ve Sam bir hikâyenin içinde olduklarını bilir ve ileride bir anlatının parçası olacaklarının farkındadır. Parodi yoluyla temsilin yanı sıra üstkurmaca, fantastik bir eser için dialogism örneğidir çünkü üstkurmaca kahraman rolünü tersine çevirmekle kalmaz, fantastik edebiyat yaratılarının ve destanların gelenekselleşmiş yapısını ortaya koyar. Başka bir roman dili örneği olan polyphony ise üçlemede anlatıcının sesi ile kahramanların sesi arasında kurulmuştur ve destanlarda olduğu gibi tek bir ses diğer sesleri bastırmaz. Kahramanların seslerinin arasıda bu eşitliğin tamamen sağlandığı söylenemez, fakat Bakhtin polyphony'nin nadiren tam anlamıyla gerçekleştirilen bir durum olduğunu belirtir. Kahramanların seslerinin birbirinden ayırt edilebilir olması, birden fazla sesin anlatıya katılması ise onların roman kahramanları olduklarını gösterir. Karakterlerin getirdiği bakış açılarının çokluğu, kahramanların

farklı açılardan gösterilmesini ve farklı yönlerinin okuyucuya aktarılmasını sağlar, bu da kahramanları destan kahramanlarının tek yönlü, donuk ve değişmez özelliklerinden uzaklaştırır.

Diğer bir roman dili göstergesi olan polyglossia'ya, üçlemedeki karakterlerin üç farklı dil ile dahil olduğu görülür. Bu diller arasında Elfçenin büyüleyici ve güç veren etkileri sebebiyle ayrı bir yeri vardır ve bu etki Elflerin destansı kahraman özelliklerine işaret eder. Farklı sosyal gruplardan birçok kahramanın olması üçlemede heteroglossia'nın da varlığını gösterir. Bakhtin heteroglossia'nın karakterlerin kendi arasında ve karakterlerin iç dünyasında kurdukları diyaloglar şeklinde ortaya çıktığını savunur. Üçlemedeki tüm karakterler sıklıkla diyaloglar sayesinde; kutuplaşmış gruplar arası iletişim kurar, anlaşmazlıkları çözer ve ortak kararlar alır. İçsel diyaloglar Frodo, Sam ve Gollum'um durumunda daha fazla görülür ve genelde karar alma aşamalarında gerçekleşir. Heteroglossia'nın bir başka türü olan edebî ve edebî olmayan türlerle ilişki kurulması da üçlemede bulunur ve şiir, beste ve hatıra yazımı gibi türlerle Elfler, Bilbo ve Frodo gibi kahramanlar yakından uğraşır.

Bu çalışmanın beşinci bölümü, üçlemedeki kahramanların zaman ve mekân açılarından yansıtılmasında destan kahramanı özellikleri mi yoksa roman kahramanı özellikleri mi gösterdiklerine odaklanır. Üçlemenin roman türünde yazılmış olmasından dolayı zaman ve mekân kullanımının kahramanlara roman kahramanı özellikleri atfettiği görülmektedir. Zaman algısı doğrusal ve güncel anlayışta olduğu için üçlemede kahramanlar açısından başlangıç ve bitişler önemlidir, kahramanlar mevcut andan kendilerini soyutlayıp başka zamanlara odaklanabilirler ve kesin zaman aralıklarında okuyucuların gözünde canlandırılabilirler. Zamanın kahramanlar için göreceli olduğu onların farklı zaman algılayışlarında görülebilir. Örneğin Frodo arayış görevinin olduğundan daha uzun sürdüğünü sanmaktadır. Üçlemenin kahramanları ayrıca okuyucuların zamanına evirilebilirler, Frodo ve Sam'in okuyucularının onlar hakkında ne düşüneceğini sorguladığı üstkurmaca örnekleri taşıyan diyalogları buna örnektir. Destan kahramanlarının aksine, onlar okuyucuyla zaman açısından bağ kurabilirler. Üçlemedeki mekân kullanımı da benzer bir şekilde modern anlamda ayrışmış, belirli ve sembolik anlam taşır niteliktedir. Mekânlar kahramanların değişen rollerini ve gelişimini yansıtır, ve kahramanların durumlarıyla uyum içindedir. Örneğin Shire anlatı boyunca aynı kalmaz ve tıpkı kahramanlar gibi Orta Dünya'daki

171

kötülüklerden etkilenir. Elflere ait alanlar ise dış etkilere ve yabancılara kapalı olmaları sebebiyle en az etkilenen yerlerdir. Ayrıca bu alanların doğa ile iç içe olması ve konumunun ve sınırlarının belli olmaması Elflerin alanlarını destanlarda kullanılan mekânlara benzetir, bu açıdan Elf kahramanlar destan kahramanlarına bir başka benzerlik kazanmış olur.

Üçlemede yer alan chronotope türleri kahramanların destan ve roman özelliklerine dair bilgi vermektedir. Chronotope türlerini tartıştığı makalesinde Bakhtin, roman chronotope'larını içsel ve bireysel mekânlar olarak tanımlarken, destan chronotopelarının topluluk içinde ve dışarıya ait olduğunu savunur. Arayış macerasından dönüşte, Frodo'nun kendisini evine çekmesi ve yüzük taşıyıcısı olduğunu Gandalf ile yalnızken, çalışma odasında öğrenmesi roman chronotope'unun kullanımına örnektir. Bakhtin'in bahsettiği chronotopelar arasında bu çalışma için ön plana çıkan tür, yol chronotope'udur çünkü üçlemenin neredeyse tamamı yolda, arayış macerasında geçer. Yol chronotope'u geçirilen zaman ve gidilen yolu birleştirmesi açısından önemlidir. Yol boyunca üçlemedeki karakterler gelişir, ayrışan gruplar bir araya gelir ve en önemlisi yol olmasa hiçbir şekilde karşılaşmayacak karakterler birleşir ve bir etkileşim içine girer. Bakhtin'in bahsettiği chronotope'lardan eşik chronotope'u, yol chronotope'una harcanan zaman ve gidilen uzaklığı birleştirmesi açısından benzer. Eşik chronotope'u tezahürlere, anlık değişimlere ve kahramanın hayatını etkileyecek büyük çaplı değişikliklere ve karar almalara ev sahipliği yapar. Örneğin Sam'in botta su üstündeyken, bir daha hayatının aynı olmayacağına dair tezahür yaşaması ve Frodo'nun Yüzük'ü kendine ait ilan etmesi, Orklara saldırması ve Gri Limanlar'a gitme kararı alması eşikte oldukları zamanlara rastlar. Üçlemedeki bu iki baskın chronotope, roman chronotope'udur, böylelikle kahramanlara roman özellikleri atfedilmiş olur.

Yüzüklerin Efendisi üçlemesindeki kahramanlar; kahramanlık özellikleri, dil yolu ile temsilleri ve zaman ve mekân yolu ile temsilleri açılarından incelendiğinde, Frodo'nun Bakhtin'in belirttiği roman kahramanı özelliklerinin tamamını her üç alanda taşıdığı görülmektedir. Sam, Merry ve Pippin, Frodo'u takip eder ve yine roman kahramanı özellikleri gösterirler fakat bu karakterler Frodo'dan farklı olarak maceradan eve dönüş aşamasında çok daha kolay uyum sağlar ve toplum tarafından kabul görürler. Aragorn ve Gandalf hem destan kahramanı hem de roman kahramanı

özellikleri gösterir çünkü korku ve ümitsizlik hissetmek ve hata yapmak gibi roman kahramanı özellikleri sergilerken; çelişmeyen özellikleri, güçlü ve asil duruşlarıyla destan kahramanı özellikleri taşır. Elf ırkından olan Legolas'ın ise Bakhtin'in destan kahramanı tabirine göre tamamen destan kahramanı özellikleri gösterdiği söylenebilir. Yarı-tanrı özellikleri, doğaüstü güçleri, dil, zaman ve mekânda gerçekçi olmayan temsilleriyle; tutucu ve kendilerini geri çeken duruşlarıyla Elfler sıradan insan figüründen oldukça uzak ve bağ kurulması zor karakterlerdir. Yani üçlemenin kahramanları bir tayfa yerleştirilecek olursa, Frodo ve Legolas iki ayrı uçta bulunmalıdır, çünkü Frodo en çok roman kahramanı özelliği taşırken Legolas en çok destan kahramanı özelliği taşır. Frodo'yu Sam, Merry ve Pippin takip eder çünkü roman kahramanı olmalarıyla beraber, eve dönüşteki durumları roman kahramanı açısından gerçekçi değildir. Arada kalmış durumları ve her iki kahraman tipinden de özellikler bulundurmalarıyla Aragorn ve Gandalf bu tayfın ortasında olmakla beraber destansı özelliklerinin ağır basması sebebiyle destan kahramanına daha yakın kahramanlardır.