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Parallel Worlds in British Fantasy Film

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1. Introduction

When hearing the term parallel worlds some people may think of physics, some of science fiction and others of fantasy. In fact, the idea of worlds or universes that exist parallel to our realm has been providing a rich playground for all three of these disciplines. In physics, the idea of parallel universes was dismissed as unscientific at first. Serious engagement began in the 1990s after Edward Witten had introduced what became known as M-theory. It was supposed to provide a solution to the main problem of modern physics, i.e. the combination of as yet incompatible ideas such as the theory of relativity and quantum mechanics. As a side effect, M-theory also suggests the existence of parallel universes (cf. Witten 1129). A parallel universe, Fred Alan Wolf explains in *Parallele Universen* (1993), is either thought to be an exact copy of our universe or a universe similar to ours with the difference that single events have taken different courses. Physics take into consideration the possibility that these parallel universes are connected to ours in ways only explainable with mathematical concepts from quantum mechanics (cf. 15). Whereas the term parallel universe is preferred in physics, in literature and the visual arts the term parallel worlds[1] is preferred.

In fantasy, the idea of parallel worlds has a much longer history than in physics. Before parallel-world stories gained popularity, a motif referred to by Brian Stableford in *The Encyclopedia of Fantasy* (1997) as "lost worlds and lost countries" (*Lost* 594) was used to separate a mundane world from a magical realm through oceans, deserts or mountain ranges. Some prominent examples are Homer's *Odyssey* (c. 800 BC), Jonathan Swift's *Gulliver's Travels* (1726) and Merian C. Cooper and Ernest B. Schoedsack's *King Kong* (1933). However, because of increasing geographical knowledge, this formerly very popular motif has gradually fallen into disuse (cf. Stableford, *Lost* 594); the US-American television series *Lost* (2004-2010) created by Jeffrey Liever, J.J. Abrams and Damon Lindelof is maybe one of its last remainders. In his essay "On Faerie-Stories" (1939), J.R.R. Tolkien explains that earthbound locations lost their magic through geographical exploration, scientific

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[1] As Or Ettlinger has rightly pointed out, the usage of the term world is a relative matter. What is referred to as a world in one context may be called place in another (cf. Ettlinger 25).

achievements and technical innovations: "the great voyages had begun to make the world seem too narrow to hold both men and elves; when the magical land of Hy Breasail in the West [as in Irish mythology] had become the mere Brazils, the land of red-dye-wood" (29). In order to appeal to an educated and well-travelled audience, other realms had to be explored in which magical worlds could be hidden (cf. Stableford, *Lost* 594).

For this purpose, three solutions were found. The first displaces magical worlds into the realm of dreams or mental locations as in Lewis Carroll's *Alice's Adventures in Wonderland* (1865). The second completely removes the mundane world from the fantasy so that the book as such separates the magical world 'within' the text from the non-magical world 'outside' it. This is done in Tolkien's *The Lord of the Ring's* trilogy (1954-55). The third possibility hides magical worlds in other spheres outside the realm of the mundane world and "beyond some kind of magical or dimensional boundary" (Stableford, *Lost* 594), i.e. in parallel worlds.

The parallel-worlds concept in fantasy is best described by Göte Klingberg. Although his statement refers to fantasy in general it is a suitable description for the understanding of parallel worlds. Maria Nikolajeva translates his definition as follows:

> A logical narrative that takes place in two worlds which constitute a unity (usually one world is magical and the other real. Sometimes it may be two real worlds separated in space and time, while the contact between them is established in a magical way). (Klingberg qtd. in Nikolajeva 10)

There are some differences between parallel worlds in fantasy and parallel worlds in science fiction. Science fiction is understood as a future-oriented genre that gives some sort of explanation for the impossible events it presents. Therefore, Lucie Armitt claims in *Fantasy Fiction: an Introduction* (2005) that a parallel-world story in science fiction always implies some sort of explanation and the reality principle governs all worlds that are presented. The explanation may be a changed historic fact such as the Hitler-wins scenarios found in Len Deighton's *SS-GB* (1978) or in Robert Harris' *Fatherland* (1992). Such parallel-world stories in science fiction are

commonly referred to as alternate-world stories[2]. In fantasy, in contrast, the reality principle governs only the mundane world, while the magical world is governed by illusion and magic (cf. Armitt 203). It is difficult to define magic, especially because it represents something, which does not have a model in real life. However, Diana Wynne Jones writes in *The Encyclopedia of Fantasy*: "there is a remarkable consensus among fantasy writers [...] [that] magic, when presented, can do almost anything, but obeys certain rules according to its nature. Generally ideas as to its nature are left undefined" (615f.). This means that the impossible in the magical world of fantasy is taken as a given and not explained as in works of science fiction. A typical example of a parallel-world story in fantasy is C.S. Lewis's *The Chronicles of Narnia* series (1950-1956) in which the protagonists move between England and the magical world of Narnia (as well as some other magical worlds).

At the end of *Die Unendliche Geschichte* (1979), Herr Koriander says to Bastian: "[A]ußerdem gibt es nicht nur Bücher, es gibt noch andere Möglichkeiten, nach Phantásien und wieder zurück zu kommen" (Ende 474). And indeed, over the last one or two decades, burgeoning parallel-world stories have been filling the shelves not only of bookshops but also of video stores. Among them there are some, such as the *Matrix* trilogy (1999-2003) by Larry and Andy Wachowski, which are classified as science fiction, but most of the parallel-world stories are regarded as fantasy. Four out of eight films regarded as primary genre fantasy by the *UK Film Council* on their annual classification list for 2007 may be counted as parallel-world stories (cf. *UK Film Council* n.p.). These are the Disney-film *Enchanted* (2007), Philip Pullman's first part of the *His Dark Materials* trilogy *The Golden Compass* (2007)[3], Neil Gaiman's *Stardust* (2007), and the adaptation of J.K. Rowling's fifth *Harry Potter* novel *Harry Potter and the Order of the Phoenix* (2007). Taking into consideration the popularity of parallel-world stories, the little amount of critical theory dealing with parallel worlds is surprising. In an attempt to explore some of the gaps in critical discourse, a cer-

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[2] Terms referring to the concept of magical or other worlds shall be discussed in more detail in chapter 4.1.

[3] *The Golden Compass* taken alone is not a parallel-world story because it is set in a magical world only. However, seen in the context of the two parts that are yet to follow and which will feature not only the mundane world but also further magical worlds, it may be regarded as a parallel-world story.

tain kind of parallel-world stories, i.e. those found in British fantasy film, will be analysed.

For an analysis of parallel worlds in British fantasy film it will first be necessary to identify the material. Here, three basic questions have to be dealt with: 'What is fantasy?,' 'What is fantasy film?' and 'What is British fantasy film?'. The first question cannot be easily answered and will be discussed in detail in chapter 3. So much shall suffice for now: "[f]antasy is any departure from consensus reality" (Hume 21), as Kathryn Hume writes in *Fantasy and Mimesis* (1984). The other two questions dealing with the film medium and Britishness in connection with fantasy shall be answered in chapter 2.

In chapter 3, I will analyse different definitions of fantasy that have emerged over the last three decades. I will present two classic investigations on the subject, Tzvetan Todorov's *Introduction à la littérature fantastique* (1970) and Rosemary Jackson's *Fantasy: The Literature of Subversion* (1981). To make the picture wider, I will give examples of other theories that provide a different perspective on fantasy. These are the critical works by Tolkien (1939), William Robert Irwin (1979), Christine Brooke-Rose (1981), Hume (1984), Nikolajeva (1988) and Deborah O'Keefe (2004).

After the discussion of different definitions of fantasy, the thesis will deal with the concept of parallel worlds by introducing the theoretical framework and by analysing some contemporary examples in British fantasy film. In the first part of chapter 4, a definition and classification of already existing terms referring to the concept of magical worlds in general will be given. I will then proceed to define the term parallel worlds in more detail than it has been done in this introduction. The second part of chapter 4 will provide an overview of theories that use parallel worlds as a possible category in a classification system for different types of modern fantasy. These comprise the studies by Nikolajeva, Irmgard Nickel-Bacon (2006) and Nikki Gamble and Sally Yates (2008). As parallel worlds are (to a large extent) spatial concepts, the third part of chapter 4 will deal with theories on space as the basis for an analysis of parallel worlds in film. Here, the focus will mainly lie on those spatial theories that deal with space from a cultural or cinematic perspective.

In chapter 5, I will focus on specific examples from film. Here, I will analyse how parallel worlds in contemporary British film are constructed and represented. For a more detailed analysis I will deal with the first two parts of the *Narnia* chronicles, *The Lion, the Witch and the Wardrobe* (2005) and *Prince Caspian* (2008), Neil Gaiman's *Stardust* (2007) and the six already released *Harry Potter* films (2001-2009). In the analysis, special attention will be paid to representation of space including thresholds, polders and portals[4], and to those factors that legitimise the parallel world.

In a concluding chapter, I will then summarize the findings of the thesis. This will include a critical reflection of the theoretical framework on parallel worlds as outlined in chapter 4 and applied in chapter 5. Furthermore, an outlook for future studies in this field of research will be given.

2. Identifying the Material: Film and Britishness in the Context of Fantasy

Fantasy film is fantasy realised in the film medium. As most of the theories found on fantasy deal with literature it is important to point out the main similarities and differences between film and text. In *How to Read a Film* (2000) James Monaco claims that novel and film are very similar in terms of story telling and wealth of detail (cf. 44). He claims that "[w]hatever can be told in print in a novel can be roughly pictured or told in film" (ibid.). Especially with the help of modern CGI (computer generated imagery) and special effects magical elements no longer raise problems of representation. The main difference between novel and film is that they make use of different sign systems: whereas the novel has to rely on the written word, film makes use of images, words, and sound. Through its visual component film may include details in terms of locations, props and costumes, which could never be described in similar accuracy in a novel (cf. 45). Yet, it would be rash to say, that a novel is not visual. Its visibility, however, is of a rather different quality, as it may have a visual existence in mental space.

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[4] These terms will be defined in chapter 4.3.

In *The Architecture of Virtual Space* (2008), Ettlinger distinguishes three types of visual space: the physical, the mental and the virtual space. Using the example of Breugel's painting *The Tower of Babel* (c. 1563), Ettlinger explains:

> to describe something as virtual would be to say that its existence is due to its own self, due to its own inherent qualities rather than due to their physical manifestations. Therefore, to describe Breugel's tower as virtual is to say that it maintains its own existence regardless of the fact that it has no manifestation in the physical world. (26)

Thus, according to Ettlinger, the virtual is something that exists as an image or as an idea but not in physical reality (cf. ibid.). The experience of virtual space "is given by direct encounter with a physical object" (27), for example, film. Sets or props may be physical but they are also virtual in the sense that they are only 'real' on screen but not in physical reality (cf. 84) – one may only think of the facades of film houses behind which the rest of a 'real' house is missing. By claiming that virtual space has "an objective existence that is independent of personal interpretation" (29) Ettlinger points at a crucial difference between novel and film: whereas the written word is a medium of imagination to which readers add their personal fantasies, film is a medium of representation in which every detail is specific and concrete. This virtual aspect of film makes it particularly interesting for the study of the colourful and magical worlds of fantasy: film allows for the visual representation (or rather manifestation) of something that has no equivalence in reality.

Film – as an (audio)visual medium and an aesthetic form – thus lends itself to an analysis of parallel worlds for two reasons: parallel worlds are not only something that does not exist in 'real life' but it is also a spatial concept, which is best perceived visually. Moreover, the film medium has the advantage that its pictures need not be translated. As this thesis deals with adaptations from novels successful with an international audience, the film medium may avoid the problem of translation that would otherwise have been a topic when dealing with internationally popular British fantasy writings. In some languages, for example, the names of characters and places are translated so that the Britishness of a text gets lost. In the German and French translations of *Harry Potter*, for example, Privet Drive becomes *Ligusterweg* and Hogwarts, Slitherin and Snape become *Poudlard*, *Serpentard* and *Rogue* (Schmid n.p.). From these alterations Susanne Schmid concludes in her article "Stunning or

Ridiculous!" (2009) that the French (child) reader "may fail to read the book as a British boarding school story" (Schmid n.p.). For an analysis of cultural characteristics, it therefore makes sense to have a look at representations. Although many countries dub foreign films, the film medium may at least provide a common visual basis.

As films are often international coproductions, the problem arises of how to define British fantasy film. Fundamentally, I will understand those fantasy films as British which are based on a British fantasy novel or which have a British director. Yet, all films considered in this thesis as British fantasy films employ a certain notion of Britishness either in terms of setting, character or theme. However, Britishness as a concept is difficult to be held apart from Englishness. Krishan Kumar argues, that this has mainly historical reasons. On the one hand, it was important to promote Britishness in order to create a sense of togetherness, so that Englishness was sacrificed for a unified Great Britain after the Act of Union with Scotland in 1707 (cf. Kumar 156). On the other hand, England played a leadership role in political and economic affairs so that Britishness, arguably, was Englishness in its core (cf. ibid.). Towards the end of the twentieth century, both Britishness and Englishness declined, but politicians, among them Margaret Thatcher and John Major, attempted "to repair and reconstruct those old identities" (Morley and Robins 6). What was then 'marketed' under what became known as heritage culture was the notion of a "green and pleasant land" (Blake qtd. in Berberich 207) and a sense of nostalgia for old values and ideals[5].

In his analyses of a wide range of English fantasy in *From Alice to Harry Potter* (2003) and *The Fantasy Literature of England* (1999), Colin Manlove discovers a number of similarities which reflect the celebration of the rural idyll and the longing for a lost past. As the concepts of Britishness and Englishness are "virtually in-

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[5] Britishness is a highly subjective topic. In this thesis, however, Britishness will be primarily understood as the attempt to locate the setting of a film somewhere on the British Isles. This, of course, will always be accompanied by a set of values, an attitude or a way of being regarded as "typically British". Britishness may be created by iconic markers, i.e. objects which are repeatedly used as markers of Bitishness in (popular) culture. One of the most prominent examples of such a marker is, perhaps, the red double-decker city bus. These busses exist in British as well as Asian cities, but they are commonly applied in films to show that the story is, in fact, set in London. Thus, the red double-decker busses have become a marker of Britishness although, arguably, an Asian audience might not agree.

distinguishable" (Kumar 156), and as Manlove includes also fantasy texts by Scottish, Irish and Welsh authors in his investigation (provided that they live or publish in England or are read by a primarily English audience) (cf. Manlove, *Fantasy Literature* 8), it is safe to transfer his study to the wider area of Great Britain. Manlove claims that English fantasy usually deals with an urban environment, is fond of bringing different times together, is interested in an interplay between different elements of a story, usually is not symbolic or allegorical, often is a creation of coherent magical worlds (cf. Manlove, *Alice* 193-197) and nostalgically looks back to a pastoral ideal and forward to a futuristic dystopia (cf. Manlove, *Fantasy Literature* 197).

As Manlove's analysis shows that landscape, the rural idyll and nostalgia are central aspects to the notion of Englishness/Britishness, this thesis excludes those films based on British novels, in which Britishness has been erased. A good example is Neil Gaiman's film version of *Coraline* (2009). Although it is based on an English children's story, it has been Americanized in the adaptation: it is now set in the USA and the characters all have American accents. Neil Gaiman's film version of *Stardust*, in contrast, is a good example for what will be understood as a British fantasy film in this thesis: it is set in a little town in England, it deals with the (Celtic) idea of faerie and its cast is to a large part British (including such well-known British actors as Ricky Gervais and Peter O'Toole). Therefore, in order to be included under the concept of British films, markers of Britishness such as the actors' nationality, landscape or the underlying concept of fantasy are of importance.

3. Fantasy: A Genre Difficult to Define

If critics agree in one point, it is the fact that there is no critical consensus on the definition of fantasy. The difficulty to define fantasy has two main reasons: one is a matter of degree, of how wide or narrow one conceptualises it, the other is a matter of cultural and temporal perspective. Most often, fantasy is understood in opposition to realism, as a narrative featuring events that are impossible according to the laws of nature. This, however, strongly depends on what a certain culture at a certain time deems possible or impossible (cf. Clute, *Fantasy* 337). Accordingly, the

status of a single text may shift – over time and from culture to culture – from realism to fantasy and back again. As Armitt claims in *Fantasy Fiction: an Introduction*, this is the case especially for religious texts which used to be read as truths but are most often read as allegories today (cf. 13). For these two reasons various authors define fantasy differently.

Before one can narrow down the understanding of fantasy as a genre, one has to face another problem: the two terms fantasy and the fantastic are often used interchangeably. In *The Encyclopedia of Fantasy*, Gary Westfahl states that the term the fantastic was first applied as a critical term in the science fiction community in the 1930s. Here, it functioned as a "blanket description" (Westfahl 335) of science fiction as well as fantasy works. It developed into a "general term for all forms of human expression that are not realistic, including fantasy and sf [science fiction], magic realism, fabulation, surrealism, etc." (ibid.). In the late twentieth century, through the influence of structuralist approaches, the term fantastic "has more and more frequently been substituted for 'fantasy' when modes are being discussed" (Clute, *Fantasy* 337). According to John Clute, fantasy lies within the "spectrum of the fantastic" (ibid.). This means that the fantastic functions as a superordinate and fantasy as a subordinate term. However, Clute admits, that fantasy's "specific location [...] is a matter of constant critical speculation" (ibid.) as has been pointed out above.

The distinction of different usages of the terms the fantastic and fantasy is important for an analysis of Todorov's as well as Jackson's study. Whereas Todorov uses the term the fantastic to denote a rather limited number of texts, Jackson uses both terms but does not explicitly definite them in her study. She claims tentatively, "[i]t could be suggested that fantasy is a literary mode from which a number of related genres emerge" (7), such as "romance literature or the 'marvellous' (including fairy tales and science fiction), 'fantastic' literature [...] and related tales of abnormal psychic states, delusion, hallucination, etc." (ibid.). Yet, she insists, that there "is no abstract entity called 'fantasy'" (ibid.). Due to this vagueness, it does not become clear, which of the two terms she uses as the broader term or, if she uses a hierarchical structure at all. In most cases, she uses the term fantasy to describe literature and the fantastic whenever referring to structural elements or Todorov's theory.

3.1   Todorov: Paving the Way for a Structuralist Approach

Todorov's study is a reaction on the methods applied by earlier critics in their attempts to classify the fantastic as the opposite of realism. For their semantic approach early critics identified clusters of subjects and their respective meanings within the context of the fantastic. For the distinction between real and unreal they relied on extraliterary categories such as philosophical and psychological explanations (cf. Jackson 5). Also, it was generally assumed that fantastic literature produced some kind of existential anxiety or unease, but the cause of it had not yet been analysed. This is what Todorov does in his study. Rather than turning too far to extraliterary categories, he tries to find an explanation for anxiety and unease within the structural features that fantastic narratives have in common (cf. ibid. 26). In doing this, he not only encouraged serious critical engagement with a form of literature that had formerly been neglected but also paved the way for other structuralist approaches (cf. ibid. 5).

Todorov describes a scheme in which the fantastic functions as a "boundary marker" (Armitt 196) between the marvellous – i.e. "stories where unusual events are clearly assigned a supernatural explanation" (Westfahl 335) – and the uncanny – i.e. "stories where unusual events are clearly assigned a natural explanation" (ibid.) (see figure 1). The fantastic, Todorov claims, is characterized through its effects on the protagonist as well as on the reader: it produces a hesitation or uncertainty to explain an unusual event in a story as either supernatural/marvellous or natural/uncanny (cf. 25). According to Todorov "[t]he fantastic occupies the duration of this uncertainty" (ibid.) and causes the existential anxiety or unease. In most cases the protagonist or the reader chooses an answer and leaves the fantastic for either the marvellous or the uncanny (cf. ibid.). A fantastic narrative in which this is not the case Todorov calls the "fully fantastic" (Jackson 24). A work that fits Todorov's definition is Henry James's *The Turn of the Screw* (1898) (cf. Brooke-Rose 234).
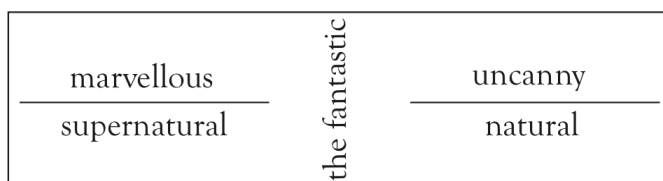

Figure 1: Scheme after Todorov (cf. 44).

Todorov's theory was and still is highly influential on the field of the fantastic. His ideas were taken on, modified and developed by modern academic structuralist critics including Jackson, Brooke-Rose, and Armitt (cf. Manlove, *Alice* 11). However, Clute rightly points out that "the impact of his definition of the fantastic is of less use in the study of fantasy, where the marvellous is not a problematic to be solved, but a given" (Clute, *Todorov* 950). This means that in modern understanding of fantasy supernatural or magical elements are accepted as a fact and not questioned.

3.2   Jackson: Fantasy, the Literature of Subversion

Jackson's study is a development of Todorov's ideas. She begins her investigation by pointing out that "[i]t is perhaps more helpful to define the fantastic as a literary *mode* rather than a genre" (32) and places it between the two modes of the marvellous and the mimetic. A literary mode, according to Jackson, describes "structural features underlying various works in different periods of time" (7). She uses the term mimetic rather than the uncanny, because, in her opinion, the former is a literary mode while the latter is not. The marvellous, she explains, is a mode that "discourages reader participation" (33). It does this by employing an omniscient and authoritative narrator and by representing events in the long distant past that neither can be influenced nor their effects still be felt (cf. ibid.). Mimetic narratives usually "claim to imitate external reality" (ibid.). Yet, by shaping experience "into meaningful patterns and sequences" (ibid.) they may also have a distancing effect. Unfortunately, Jackson's passage on the marvellous and the mimetic is very brief and the distinction between the two modes remains rather unclear. As regards the nature of the fantastic, Jackson argues along the lines of Todorov: the fantastic unites elements of both the marvellous and the mimetic and it exists in the borderland-region between them (cf. 34f.).

Jackson's criticism of Todorov's study "is founded on the assumption that the literary fantastic is never 'free'" (3); it is neither free in relation to its social context nor in relation to the real. Firstly, she criticizes that Todorov neglects social and political implications of the fantastic and, secondly, she criticizes the lack of attention paid to psychoanalysis (cf. ibid. 6). Jackson argues that the social context is an important factor that should be included in the study of fantasy. "Like any other text,"

Jackson explains, "a literary fantasy is produced within, and determined by, its social context" (3). She believes that Todorov's theory describes a phenomenon that was a natural consequence of the shift from a non-secular society via the Romantic period to the secularized society of today. In her opinion, the marvellous is typical for a non-secular society governed by a "supernatural 'economy'" (24). The mimetic, in contrast, is rather produced by an enlightened society that, with its loss in faith in divine images, seeks explanation in the natural rather than the supernatural realm (cf. ibid. 24). Therefore, she argues, it is not surprising that the fantastic is not only structurally situated between the marvellous and the mimetic but also temporally, i.e. in the Romantic period (cf. 24).

As fantasy deals primarily with unconscious material, Jackson believes that it is also necessary to include psychoanalysis for a better understanding of fantasy's significance (cf. 6). Therefore, she takes Sigmund Freud's theories into consideration. In his essay "The Dream Work" (1899), Freud describes the creative imagination in dreams as "quite incapable of *inventing* anything; it can only combine components that are strange to one another" (Freud 279). Jackson transfers this supposition to fantasy claiming that fantasy is not a literature of invention but rather a literature which "has to do with inverting elements of this world, re-combining its constitutive features in new relations to produce something strange, unfamiliar and *apparently* 'new', absolutely 'other' and different" (8). This also means that fantasy has a close or even "symbiotic relation" (20) to the real. On the basis of Freud's distinction between *Das Unheimliche* and *Das Heimliche*, Jackson argues that events in fantasy always emanate from something familiar, i.e. something founded in reality, which is then turned into something disturbingly unfamiliar (cf. 65). She concludes, that fantastic narratives rely on both the marvellous and the mimetic: "They [fantastic narratives] assert that what they are telling is real – relying on the conventions of realistic fiction to do so – and then proceed to beak that assumption by introducing what – within those terms – is manifestly unreal" (34). Through its play with reality and representations of the real, fantasy questions and loosens "those unifying structures and significations [of a culture] upon which social order depends [and] functions to subvert and undermine cultural stability" (69). Fantasy's subversive function

is not only restricted to the real as such, but also comprises its representation in realist fiction. At this point, vision and visibility come into play.

One possibility of transferring the familiar into the unfamiliar is by means of spectral imagery. Jackson rightly observes that the visual is a central motif in many fantasy texts. She states that "many fantasies introduce mirrors, glasses, reflections, portraits, eyes – which see things myopically, or distortedly, as out of focus – to effect a transformation of the familiar into the unfamiliar" (43). This, for example, is the case in Oscar Wilde's *The Picture of Dorian Gray* (1891) or Lewis Carroll's *Alice's Adventures in Wonderland* (1865). According to Jackson, truth and reality in white Anglo-Saxon Protestant society is founded on the visual. In a culture which claims that "seeing is believing" (49) and "which equates the 'real' with the 'visible'" (45), Jackson concludes, "the un-real is that which is in-visible" (ibid.). Consequently, fantasy, the literature of the unreal, is also a literature of the in-visible. Uncertainty and impossibility, the central elements of fantasy, are inscribed "on a thematic level through images of formlessness, emptiness and invisibility" (ibid. 49). In fantasy, Jackson claims, "vision can never be trusted" (50).

If the supernatural is not to be made visible to the inner eye of the reader, then clearly, in line with Jackson, it has no place on screen either. By transferring Jackson's theory to the film medium, those films in which the supernatural is shown are no longer to be called fantasy. However, in most parallel-world stories on screen, a large amount of time is dedicated to detailed representations of landscape and magic. However, Jackson is right in claiming that vision and visibility may support the reality claim of such a magical world. Although there are also moments in parallel-world stories on screen, in which one may not trust one's vision, they primarily claim to represent something that is real, at least in the reality of the story. This does not imply that the audience believes what they see, but, at least, they are not explicitly asked to question the depicted images.

Of interest for a study of parallel worlds is also Jackson's deliberate omission of particular works. On the basis of her understanding of the marvellous mode, Jackson claims that "William Morris's *The Wood Beyond the World*, Frank Baum's *Wonderful Land of Oz*, C.S. Lewis's *Narnia*, Fritz Leiber's *Nehwon*, Tolkien's Middlearth [*sic!*]

in *The Lord of the Rings*, Frank Herbert's *Dune*, the realms of fairy story and of much science fiction" (42f.) do not belong to fantasy (or the fantastic). These are stories that "transport the reader or viewer into an absolutely different, alternative world, a 'secondary world'" (43)[6] which, she claims, has nothing in common with the "relatively bleak, empty, and indeterminate landscapes" (ibid.) that Jackson ascribes to the fantastic. Jackson explains:

> Such marvellous narratives have a tangential relation to the 'real', interrogating its values only retrospectively or allegorically. [...] They build up *another* universe out of elements of this one, according to dystopian fears and utopian desires, rather like Swift's satirical methods in *Gulliver's Travels*. Their other world, however new or strange, is linked to the real through an allegorical association, as an exemplification of a possibility to be avoided or embraced. The basic relation is a conceptual one, a linking through ideas and ideals. The fantastic, by contrast, is moving towards the non-conceptual. Unlike faery, it has little faith in ideals, and unlike science fiction, it has little interest in ideas. Instead, it moves into, or opens up, a space without/outside cultural order. (ibid.)

Jackson excludes parallel-world stories from fantasy because she subsumes them exclusively under the marvellous and claims that instead of questioning and subverting reality they have an allegorical and nostalgic relation to it. Furthermore, by representing distant and self-contained worlds, Jackson claims, this type of fantasy has an escapist function rather than a subversive (cf. 17). As we have already seen, Jackson relates this mode to non-secular societies, whereas the uncanny may be primarily found in stories of secularized societies. "In a secularized culture," Jackson explains, "desire for otherness is not displaced into alternative regions of heaven or hell, but is directed towards the absent areas of this world, transforming it into something 'other' than the familiar, comfortable one" (19).

As has been shown, Jackson's and Todorov's theories are highly problematic in terms of their applicability to the recent forms of fantasy that include a large number of parallel-world stories, some of which are being constantly revived. Especially for the analysis of parallel worlds in film, Jackson's study is only partially applicable. What her theory may contribute to the understanding of parallel-world stories is her description of coherent magical worlds, the identification of a symbiotic relation between fantasy and the real, as well as her thoughts on vision and visibility. Ac-

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[6] The terms alternative world and secondary world will be discussed in more detail in a later part of this chapter and in chapter 4.1.

cording to Jackson, magical worlds are an outdated phenomenon that had its hayday in the pre-Romantic era. Her theory, therefore, cannot explain the success of parallel-world stories with the secular society of today. Clute gives a possible explanation to this problem by claiming that it is not the model of magical worlds, which is outdated, but rather, Jackson's theory. In *Fantasy: The Literature of Subversion*, he argues, best explains the structures of fantasy found during and around the Romantic period. Jackson's study

> is most clearly and generally applicable to the genre's formative years (approximately 1780-1850), when the fantasy premise could be understood as an act of imagination that avowedly undermined the world. But later, when secondary worlds of varying textures began to be created, the normative weight of fantasyland gave to texts an air more of refusal than of subversion. Modern fantasy's relationship to the inhibiting world is so lubricated as now to be more or less unperceived, and almost always painless; it is hard to see, except in Aesopian fantasies written by those under political threat, how RJ's [Rosemary Jackson's] propositions can have any large current relevance. (Clute, *Jackson* 511)

3.3   Other Voices: Elements of Legitimation

Critics in the wake of Todorov and Jackson usually argue that fantasy contains reality-distorting elements. These theories exclude parallel-world stories as defined in this thesis, because they lack a level of uncertainty or subversion. However, there are also critics who argue in favour of cohesive and coherent magical worlds, which are presented as real within the reality of the story. Using Todorov's and Jackson's terminology, these theories deal with the marvellous. The critics whose theories will be discussed in this chapter are, amongst others, Tolkien, Irwin, Brooke-Rose, Nikolajeva and O'Keefe.

Tolkien's essay "On Fairy-Stories" – "by which we can understand him to mean fantasy" (Clute, *Tolkien* 954), as Clute points out – was one of the first studies to argue in favour of a cohesive and coherent magical world in fantasy. This magical world Tolkien calls "Secondary World" (52). Through Tolkien's definition of the secondary worlds and later through its embodiment in *The Lord of the Rings* Clute believes that Tolkien gave other authors a "final definitive legitimacy to the use of an internally coherent an autonomous land of faerie as a venue for the play of the human imagination" (Clute, *Tolkien* 951). There no longer was the need to "normal-

ize" (ibid.) fantasy stories as traveller's or time-slip tales, dreams or beast-fables (cf. ibid.).

According to Tolkien, the secondary world is the artistic creation of the author, the primary world is God's creation, i.e. reality. As the secondary world is always modelled on the primary, Tolkien declares that there is a close relation between fantasy and reality. The main difference between them is the existence of magic in the former (cf. 64). This is strongly reminiscent of Jackson, who also argues in favour of a strong relationship between reality and fantasy. Yet, in Jackson's opinion, fantasy is defined by unfamiliar elements that distort reality, while Tolkien argues that the familiar renders the magical world credible. Probably the most radical views of fantasy's relationship to reality are Peter Hunt's and Nikolajeva's. In Nikolajeva's opinion, "[a] secondary world which has no reference whatsoever for the reader would be meaningless" (37). This is underlined by a statement by Hunt, who claims that "ironically, fantasy cannot be merely anything" (7) as it "must be understandable in terms of its relationship to, or deviance from, our known world" (ibid.).

Fantasy's aim, according to Tolkien, is not so much the reader's belief in the magical world but rather the reader's "willing suspension of disbelief" (52) when confronted with a world full of impossibilities. This is what Tolkien calls "Secondary Belief" (59) the mechanisms of which he describes as follows:

> He [the author] makes a Secondary World which your mind can enter. Inside it, what he relates is 'true': it accords with the laws of that world. You therefore believe it, while you are, as it were, inside. The moment disbelief arises, the spell is broken; the magic, or rather art, has failed. You are then out in the Primary World again, looking at the little abortive Secondary World from outside. (52)

Interestingly, Tolkien claims that "Fantasy is a thing best left to words, to true literature" (Tolkien 81) and he rejects fantasy performed on stage. In his opinion, drama cannot meet the perfection of images in imagination: "Men dressed up as talking animals may achieve buffoonery or mimicry, but they do not achieve Fantasy" (61). Therefore, drama hardly ever achieves secondary belief (cf. ibid. 61). This criticism that Tolkien addressed to stage performances can easily be transferred to the film medium. However, cinema has gone through a tremendous development in terms of technical innovations. It may create nearly perfect virtual worlds with

smooth, indiscernible transitions from a real set to CG-backdrops and magical effects that may let anything happen. On this basis, one may speculate that Tolkien would not have been as critical with modern fantasy film as he was with fantasy drama.

In order to create a secondary world it is not sufficient to produce mental images of things that do not exist in the primary world. In Tolkien's opinion it is also important that these things are successfully integrated within the magical world (cf. 60) in order to achieve an "inner consistency of reality" (59). Critics have come up with suggestions of how magical worlds are rendered plausible. They function on the level of formal criteria, the relationship between the familiar and the unfamiliar and what Nikolajeva aptly refers to as "Magic Law" (25).

In *The Game of the Impossible* (1976), Irwin stresses that formal criteria are one means of rendering fantasy plausible: "Whatever the material, extravagant or seemingly commonplace, a narrative is fantasy if it presents the persuasive establishment and development of an impossibility, an arbitrary construct of the mind with all under the control of logic and rhetoric" (9). With rhetoric – or "narrative sophistry" (9) – he does not mean "external or imported persuasion" (58) but rather the author's ability to depict the magical world in a credible way, i.e. "internal means of showing and telling" (58). This narrative sophistry is essential to fantasy because it is one possibility of turning nonfact into fact (cf. 9).

Also relevant in the context of formal criteria are the background stories that frame the magical world, such as travel or dream. Interestingly, Tolkien excludes the traveller's tale and texts employing dream structures from his definition of fantasy because he rejects the inclusion of elements outside the magical world for authentication. He claims that these background stories destroy secondary belief by either distancing its magic or by explaining it away (cf. 34-36). Therefore, *Gulliver's Travels* and *Alice's Adventures in Wonderland* are not fantasy according to Tolkien's definition. This means that also parallel-world stories are excluded from Tolkien's understanding of fantasy. However, in stories that employ dream structures, the reality of the magical world is ultimately denied and in traveller's tales, adventures of the traveller are often represented as a cock-and-bull story. Therefore, one can arguably say,

that parallel-world stories which use a physical rather than a mental passage and in which the two worlds create some sort of inseparable unit may be just as well regarded as making use of legitimating elements.

Instead of using background stories, Tolkien claims that secondary belief should be founded on elements within the magical world. In his own fantasy stories, Tolkien uses what Clute refers to as the "deadpan mixing" (Clute, *Tolkien* 953) of the ordinary and the marvellous. Tolkien claims that a successful mixture of both magical elements such as "dwarfs, witches, trolls, giants" (Tolkien 22) as well as non-magical elements such as "the seas, the sun, the moon, the sky, and the earth" (ibid.) may confirm the secondary world, which then becomes utterly autonomous (cf. ibid.). However, Tolkien does not really go into detail about what characterizes such a successful mixture. In order to find out, we shall turn to other critics.

In the introduction to *Alternative Worlds and Fantasy Fiction* (2001) Hunt introduces the term "'realistic' focalizer" (9). A realistic focalizer is, for example, Dorothy's desire to go home to her family in *The Wizard of Oz* (cf. ibid.). It is a familiar element that audiences may recognize in the magical world. Nikolajeva agrees that such moments of recognition are central to a fantasy story. In her opinion, this is why Lewis included Father Christmas as a character as well as anachronistic objects (the beaver's sewing machine, the faun's umbrella and the lamp post) into his otherwise medieval-seeming Narnia (cf. 52). In her opinion, authenticating elements within the story "are an indispensable part of the Narnian universe, necessary to stress that, like the primary world, Narnia has its everyday life as well as magic" (54f.). In her investigation *A Rhetoric of the Unreal* (1981), Brooke-Rose analyses *The Lord of the Rings*. She comes to the conclusion that the real often comes in the disguise of the marvellous: the attacks by the Nazgul are air attacks, the magic crystal balls come close to radio-communication and the Red Evil Eye reminds of radar (cf. 254). What is unfamiliar on the surface is really something familiar in disguise; magic that is no magic, so to say. By pointing this out, Brooke-Rose underlines both Tolkien's and Irwin's claim that fantasy provides elements within the story which can be recognized by the audience and render the narrative plausible. In *Fantasy and Mimesis*, Hume gives yet another example of how something unfamiliar in fantasy is essentially familiar on second sight. In her opinion, fantasy distorts and combines

elements that may be found in the real world in order to create something new (cf. 10). As an example of a combination of elements, Hume relates to the centaur, which is a creature "made by joining the realistic givens of man and horse" (11). Elements that mix the familiar with the unfamiliar are: realistic focalizers, the familiar coming in disguise of the unfamiliar, or combinations of familiar elements to something new. Although these techniques strongly remind of Jackson's theory, the stress here again is on satisfaction caused by recognizing the familiar.

Another aspect important for rendering a magical world plausible is the representation and organisation of its magic. As has already been pointed out in the introduction, there is a remarkable consensus amongst critics as well as authors that magic obeys certain rules. This is what Nikolajeva calls magical law. Tolkien stresses that magic "must in that story be taken seriously, neither laughed at nor explained away" (33). If magic is not taken seriously then the inner reality of the magical world is no longer consistent and it will be impossible for readers to believe in it. In "The Fantastic Imagination" (1890), George MacDonald refers to the necessity that magic in fantasy has to obey certain laws or otherwise the coherence of the magical world is destroyed:

> The natural world has its own laws, and no man must interfere with them in the way of presentment any more than in the way of use; but they themselves may suggest laws of other kinds, and man may, if he pleases, invent a little world of his own, with its own laws [...]. [T]here shall be harmony between the laws by which the new world has begun to exist; and in the process of his creation, the inventor must hold by those laws. The moment he forgets one of them, he makes the story, by its own postulates, incredible. (65)

In "Boiling Roses: Thoughts on Science Fiction" (1987) Robert Scholes claims that MacDonald's description of *"[a]n invented world with laws of other kinds"* (11) is "the key to modern fantasy" (ibid.). In saying so, Scholes suggests that the shift from subversion to authenticating processes may be seen in the light of cultural and social developments in the nineteenth and twentieth centuries (cf. Sullivan qtd. in Hunt 15).

In the introduction to *Readers in Wonderland* (2004), O'Keefe asks: "Why, just now, do so many readers find it thrilling to follow Dorothy into the Emerald City of Oz (1900), Bilbo Baggins into his hobbit hole (1937), and Harry Potter into the

Hogwarts School of Witchcraft and Wizardry (1997)?" (O'Keefe 12). In her opinion, structures in fantasy are always a reaction on structures in real life. When structures in reality were strict (such as in the Victorian England of *Alice's Adventures in Wonderland*) they were rather loose in fantasy. When structures in society are loose and confusing – as they are today (one may only think of the complexity of globalisation processes) – fantasy seems more organized and provides some sort of orientation for its readers (cf. 14f.). O'Keefe explains:

> As fast travel and communication made the world accessible, for the individual it became larger in choices and images – and the fantasy books in this comparatively open world became, in important respects, comparatively closed. It's not that they are simple or tidy, but that the structures of many books now are tighter than those of the nineteenth-century fantasies [...]. Nineteenth-century fantasy readers learned that the world could be broader and deeper than they thought. Fantasy readers today learn that the world can be more coherent than they thought (though perhaps just as hard to control as they expected). (14f.)

The structures O'Keefe identifies in twentieth century fantasy are clearly shaped universes, rules, and a certain sense of closure (cf. 15). To find and identify these structures can give readers a certain satisfaction they lack in real life. She claims that "[e]ven when the total world is a grim one, its fullness is a revelation and a comfort. It suggests to readers that they too can find sense and pattern in a confusing world" (18). As an example, she refers to the *Harry Potter* novels with their "reassuring, clearly structured, and hierarchical" (177) Hogwarts School of Witchcraft and Wizardry. In these novels, there is also a mixture of familiar and unfamiliar: "it is a type of setting familiar from 'realistic' school stories and also thrillingly unfamiliar in its magical aspects" (ibid.).

As has been shown in this chapter, there are two major types of fantasy: one subversive and undermining reality, the other legitimating and underlining reality. This chapter has started out with Todorov's and Jackson's structuralist theories, which both place the fantastic or fantasy between the uncanny/mimetic and the marvellous. Although these theories are to a large extent unsuitable for the study of parallel worlds in fantasy, there are some aspects from Jackson's theory, which have proven helpful. Despite the fact that Jackson excludes Tolkien's and Lewis's novels from her definition of fantasy, she nevertheless identifies and defines the concept of magical worlds. What is also relevant for an understanding of parallel-world stories

is Jackson's identification of an inherent relationship between fantasy and reality. As Jackson argues in favour of fantasy as a literature of subversion, a selection of alternative definitions of fantasy have been taken into consideration which focus on authenticating processes within the magical world. The selection of texts was able to show that there may be different ways of rendering magical worlds plausible. This legitimation can be achieved through elements within or outside the story. Helmut W. Pesch uses the term outer legitimation – "Glaub*würdigkeit*" (19) – as a description of the relationship between author and reader and the term inner legitimation – "Glaub*haftigkeit*" (ibid.) – as a description of the narrative structure of the text. In the context of this thesis, these terms are used slightly differently. Outer legitimation is the formal organisation of the fantasy text, which includes the frame story as well as rhetoric. Elements of inner legitimation, in contrast, occur within the story and help the reader recognize the familiar in the unfamiliar. As has been shown, inner legitimation may be created through the combination of both magical and non-magical elements, through the creation of something new out of something well known, or through the normal in disguise of the magical. Also, magic law is a necessary component to render magical worlds plausible.

4. Parallel Worlds in Theory

Having established the basis for an analysis for fantasy in general, I will now turn to the analysis of parallel worlds. Parallel worlds represent one particular kind of magical world. The term magical world is used here to refer to all worlds depicted in fantasy, worlds that differ from our own through some sort of magical element. In order to narrow down the definition of parallel worlds, it will be necessary to introduce the most important variations of magical worlds. However, some of the terms used to describe different variations of magical worlds are used synonymously. Therefore, it will be necessary to point out the qualities of each concept and relate them to the concept of parallel worlds of this thesis. The magical worlds which will be discussed in this chapter are: the secondary and the primary world, the fantasyland, the otherworld (including faerie and wonderland), the alternate world, alter-

nate(ive) realities (including multiverse and crosshatch[7]) and, last but not least, the parallel world.

After the discussion of the single concepts I will then have a look at how authors use the concept parallel world in order to distinguish different types of fantasy. Unfortunately, there is scarce theory to be found on parallel worlds so that it will be necessary to draw on material from other disciplines. As parallel worlds are, to a large part, spatial concepts, it makes sense to take into consideration spatial theories. In a final paragraph, I will then subsume my findings, which will form the basis for the exemplary analysis of parallel worlds in film in the following chapters.

4.1   Concepts of Magical Worlds

As we have already seen, Tolkien is an important name in the context of secondary world fantasy. He has not only provided the theoretical background but also an example in *The Lord of the Rings* trilogy. In critical discourse, however, the term secondary world is often used more generally than Tolkien intended it. In the *Encyclopedia of Fantasy*, Clute summarizes that there are three defining elements of secondary worlds: they are not bound to the mundane reality, they are impossible according to common sense, and they are self-coherent in terms of story, landscape and magic law (cf. Clute, *Secondary World* 847). It is important to point out that Tolkien defines the secondary world as independent from mundane reality, which distinguishes it from the idea of a parallel world. Clute, however, claims that "[a] secondary world may or may not have some sort of connection to the mundane world through, for instance, the portals and crosshatches which are so common in fantasy, but otherworlds certainly have some sort of connection with mundane reality" (Clute, *Otherworld* 738). If one sees the unity of two worlds – one magical and one non-magical – as the defining element of parallel worlds then a parallel world is clearly not a secondary world. In terms of coherence and magic law, however, the magical world within the parallel-world story comes close to the understanding of a secondary world.

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[7] A crosshatch is a term coined by Clute in *The Encyclopedia of Fantasy*. It will be explained towards the end of this chapter.

The primary world, in Tolkien's understanding, is reality, i.e. what the secondary world is modelled on. Unfortunately, there has been a fundamental misreading of Tolkien's essay (cf. Hunt 13). Nikolajeva, as well as many other critics who write about parallel-world fantasy dealing both with a mundane world and a magical world, refer to the former as the primary world and to the latter as the secondary world (cf. Nikolajeva 35). Yet, there is no other pair of terms commonly agreed upon that helps distinguish the different worlds within a parallel-world story. Therefore, I will continue using the terms mundane world and magical world to hold the different worlds within a parallel-world story apart.

A concept that comes very close to the secondary world is the fantasyland. In fact, the secondary world – or more precisely, Tolkien's Middle-Earth – is the source on which late-20th-century fantasylands are based. A fantasyland may also display a number of landscape ingredients such as continents, oceans, mountains, deserts and forests, but it is an incomplete copy of a secondary world. According to Clute and John Grant, two aspects are relevant to any understanding of Tolkien's secondary world, but only the first is relevant to creators of fantasylands: firstly, the landscape of Middle-Earth is imagined with "detail and solidity" (Clute and Grant, *Fantasyland* 341) and, secondly, it is "constantly [...] undergoing metamorphosis" (ibid.). As opposed to secondary worlds in which landscape plays an essential role and goes through metamorphosis, the fantasyland "is profoundly dissociated from the actions played out upon it" (ibid.) and "inherently resistant to change" (Clute, *Secondary World* 847). The fantasyland is "backdrop, not actor" (Clute and Grant, *Fantasyland* 341). Accordingly, a fantasyland story can – with very little alteration – be transferred to a mundane world (cf. Clute, *Fantasy* 337). This is the case for the four volumes by A.A. Milne about *Winnie-the-Pooh* (1926-1927), which are very close to fable (cf. ibid.).

Another term that can be frequently found in critical discourse is the otherworld. Many critics, including those writing for *The Encyclopedia of Fantasy*, use the terms secondary world and otherworld interchangeably (cf. Clute, *Otherworld* 738). Clute points out that the crucial difference between secondary worlds and otherworlds is the existence of coherent magic laws in former, whereas laws in wonderlands and faerie may be arbitrary:

The term 'otherworld' may refer to any sort of autonomous impossible world, including faerie and wonderlands, while the secondary world is not normally thought of as being governed by the arbitrary rules that, for instance, operate the wonderlands of Lewis Carroll. (ibid.)

For a better understanding of the otherworld, it makes sense to have a closer look at both faerie and wonderland. Faerie (or Faërie) was formerly closely associated with the land of the dead, but today, it is known as the land of the fairies, or fairyland. According to Mike Ashley, faerie may be linked to the mundane world, "though access is seldom physical in the normal sense" (Ashley, *Faerie* 328). Instead, "the most common methods of access are by going into the woods, by river, by being transported by the winds [...] or by dreams (though Faerie is seldom portrayed as a dreamland; rather, memory of being there is as of a dream)" (ibid.). The two distinctive features of faerie are its timelessness and its mobile borders. Ashley claims that borders of faerie may "shift according to the power of the land's magic and its balance with the encroachment of humankind's science and civilization" (ibid.). Here, a comparison between the mundane world and the magical world comes into play, which is also of importance in parallel-world stories.

The wonderland, on the other hand, is defined by its arbitrary rules. A paradigm for wonderlands is the underground venue of Carroll's *Alice's Adventures in Wonderland*, closely followed by the mirror-world in *Through the Looking-glass* (1871) (Clute, *Wonderland* 1030). Clute states that wonderlands are based on rules that are "carried to a point of absurdity" (ibid.) and may therefore be refuted. Alice, for example, manages to escape her wonderland by drawing attention to these rules. This causes the castle to collapse into a pack of cards and she manages to escape (cf. ibid.). O'Keefe calls Alice's wonderland "a universe [...] beyond control" (O'Keefe 84) in which "[a] kind of logic is present [...], but it floats teasingly beyond our reach, telling us the only certainty is uncertainty" (ibid.). Because of these arbitrary rules, wonderlands count as otherworlds rather than secondary worlds, in which rules are logical. The parallel-worlds concept is closer to the understanding of the otherworld than of the secondary world. This is because in an otherworld – similar to the concept of faerie – connections between the different worlds are a defining characteristic. However, parallel worlds may not be confused with wonderlands as their laws operate according to logic and are not arbitrary.

The concepts of secondary worlds, fantasylands and otherworlds (such as faerie and wonderland) are closely linked and borders are not clear-cut. According to Hunt, there is one aspect that sets apart secondary worlds from the other two. It is the fact that secondary worlds can be precisely mapped whereas the others cannot (cf. Hunt 11). Coherent and credible worlds, Hunt argues, are mappable, whereas Charles Kingsley's *The Water Babies* or the novels about Alice and Winnie-the-Pooh cannot. The reason Hunt gives is their "nebulous geography" (12) and the detachment of space and story, by which he means that they are ultimately allegorical and one-dimensional. As a map may be produced of the Discworld or Middle-Earth it demonstrates their coherence and discreteness (cf. 12f.). Interestingly, maps have an important function in fantasy to authenticate magical world stories. They are not only found on the first pages of a large number of fantasy novels stories but are also included in many films as we shall see in chapter 5.4.

Two other terms that are often used to relate to certain types of magical worlds are alternate(ive) realities and alternate worlds. Clute acknowledges that, in a general sense, any secondary world, otherworld or wonderland can be thought of as an alternate world, because one experiences a clear sense of alterity upon entering them (cf. Clute, *Alternate Worlds* 21). In order to avoid such generalisations, Clute draws on Brian Stableford's definition of the term alternate world taken from a science fiction context (ibid.). In *Space, Time and Infinity: Essays on Fantastic Literature* (2007) Stableford claims that "[a]n alternate world [...] is an account of Earth as it might have become in consequence of some hypothetical alteration in history" (75). As Stableford refers to alternative worlds in science fiction, the question naturally arises where the difference is to alternative world fantasy. As has already been hinted at in the introduction, science fiction usually gives an explanation for why a world is different, whereas fantasy does not. Clute explains:

> The difference is simple, but crucial. If a story presents the alteration of some specific event as a premise from which to argue a new version of history – favourite 'branch points' include [...] the victory of the South in the American Civil War, and Hitler Wins scenarios – then that story is likely to be sf. If, however, a story presents a different version of the history of Earth *without arguing the difference* – favourite differences include the significant, history-changing presence of magic, or of actively participating gods, or of Atlantis or other lost lands,

or of crosshatches with otherworlds – then that story is likely to be fantasy. (Clute, *Alternate Worlds* 21)

An example of an alternate-world story in science fiction is the US-American film *The Butterfly Effect* (2004) directed by Eric Bress and J. Mackye Gruber. Here, different scenarios of personal history are explored that are affected through alterations of single events in the past. According to the definition in *The Encyclopedia of Fantasy*, this film is science fiction because the time travel and the ability to change events in the past are explained as the consequence of a genetically caused mental illness. It does not matter how plausible the explanation is; what matters is that there is one. In J.K. Rowling's *Harry Potter* novels, as well as in the adaptations, for example, there is no explanation of where magic comes from. Magic may or may not happen to anyone; the genetic lineage does not seem to be what decides the magical qualities of a person.

An alternate reality in fantasy, according to Grant, is "a reality other than our own which cannot be related to it by any simple, and quasi-scientific, explanation" (Grant 20). For Grant, the classical example of an alternate reality is the Australian Aboriginal Dreamtime, "which not only was a period in the past but is still contiguous and isomorphic with the mundane world" (ibid.). He argues that tales of the worlds that exist on the other side of mirrors – such as Carroll's *Through the Looking-glass* – are not usually thought as alternate realities. Only when the mirror-reality begins to interact with the mundane world they can be referred to as alternate realities (cf. ibid. 21). Grant even claims that the majority of alternate-realities stories do not require physical portals such as the surface of a mirror: "if there are portals, they generally lie in the mind" (ibid.). This is what distinguishes alternate realities and parallel worlds: in the latter there are usually physical, rarely mental portals.

A clear difference between stories set in alternate realities and those set in alternate worlds is that focus in the former most often lies in "some form of interaction between the alternate reality and our own" (Grant 21), while there is no such cross-linkage in the latter (cf. ibid.). Furthermore, the alternate-world tale "depicts a world that is related to our own, but different for one reason or another" (Clute, *Alternate Worlds* 22). The alternate-reality tale, on the other hand, "conceives that there are other realities [...] which have no historical dependence on it and may be totally dis-

similar from it" (ibid.). Alternate realities may explore the complexities of reality and are therefore likely to involve perception. Alternate-world stories, in contrast, do not involve any mysterious layer of existence to be unravelled (cf. ibid.). It may be pointed out here that parallel worlds and alternate worlds do not have many similarities. The magical world within a parallel-world story may be referred to as an alternate world in the sense that it represents a world changed by magic, but it may also be a world that has developed (more or less) independently from the mundane world. The main difference is that alternate worlds do not necessarily require the existence of the mundane world.

Two other terms that belong to the context of alternate realities are the multiverse and the crosshatch. The multiverse is a term coined by Michael Moorcock in the 1960's (cf. Clute, *Moorcock* 656) but John Cowper Powys used the concept earlier in his novels *Ducdame* (1925) and *Wolf Solent* (1929) (cf. Ashley, *Powys* 782). A multiverse is "a universe consisting of innumerable alternate worlds, all intersecting, laterally and [...] vertically" (Clute, *Multiverse* 668). Although some of these multiverses operate according to science fiction premises and some operate in fantasy terms, "the overall concept belongs more properly to fantasy than to [...] sf" (ibid.). Examples of multiverses in fantasy literature are Pullman's *His Dark Materials* trilogy (1995-2000) or Lewis's *Narnia* chronicles, in which Narnia represents only one out of many magical worlds.

As already mentioned, alternate-realities stories may be referred to as crosshatches. It is a term coined by Clute in *The Encyclopedia of Fantasy* and presumably derives from the symbol of two sets of intersecting parallel lines. According to Clute, a crosshatch is set in more than one world (Clute, *Crosshatch* 237). Normally one of these worlds represents our own and the other (or others) some form of secondary world. Both are connected to one another via portals (cf. ibid.) and in the magical world time may move at different rates. Although "contiguities may exist," Clute claims that "there will be little intermixing of realities between worlds" (ibid.). In most cases, the form a crosshatch takes is rather complicated:

> the demarcation line is anything but clear-cut, and two or more worlds may simultaneously inhabit the same territory. [...] [W]hen borderland conventions are

absent, there is an inherent and threatening instability [...] to regions of cross-hatch; a sense of imminent metamorphosis. (ibid.)

Although a large number of possible terms for different concepts of magical worlds exist, it is necessary to introduce yet another. The idea of parallel worlds – a term most frequently used as *Parallelwelt* in German contributions to the topic – is not satisfactorily covered by any of the above-mentioned terms. Again, there are few critics who have dealt with the parallel-worlds concept in detail; however, they have generated an interesting variety of definitions. Nikolajeva, for example, defines parallel worlds in fantasy very closely to the idea of parallel worlds in physics. In her understanding, these worlds occupy the same space as reality but may only be perceived by a select few. The example she gives is Alan Gerner's *The Weirdstone of Brisingamen* (1960) in which the children Susan and Colin see the magical world around them whereas other humans do not. Also, she explains, there are no evident borders between the two realms (cf. 48f.). After having defined borders as a central aspect of parallel worlds, Nikolajeva's definition may be neglected in this thesis.

Interestingly, the entry on parallel worlds in the *Encyclopedia of Fantasy* refers to the entry on alternate realities, which means that both terms are regarded as synonyms (Clute and Grant, *Encyclopedia* 745). It is true that they describe very similar concepts, but, according to Grant, alternate realities "do not require physiological or physical portals, like death or the surface of a mirror" (Grant 21). As has been pointed out above, parallel-world stories are understood here to argue in favour of the magical world's reality and their portals are usually physical rather than mental. Therefore, the term alternate reality is not a suitable term. The term crosshatch comes closest to the parallel-worlds concept discussed in this thesis because in parallel worlds, protagonists may travel back and forth between the magical and the mundane world. According to Clute's description, however, a crosshatch seems more a feature than an independent concept. Furthermore, it is a term rarely used in critical discourse other than in *The Encyclopedia of Fantasy*. For the above-mentioned reasons, the term parallel worlds is most suitable in the context of this thesis.

On the basis of Klingberg's definition (see chapter 1) parallel worlds are here understood as units of two worlds: a non-magical and a magical world. The magical

world taken alone is very similar to a secondary world in terms of coherence and magical law. However, what sets parallel worlds apart from secondary worlds is that they are embedded in a background story set in the mundane world. In chapter 5.1 it will be endeavoured to answer the question what the effect of this characteristic framework is.

4.2 Systems of Classification of Fantasy

A small number of critics, among them Gamble and Yates, Nikolajeva, and Nickel-Bacon, have attempted to categorise and order certain types of fantasy. They have come up with different systems of categorisation but all three studies use the distinction between high and low fantasy as the starting point of their systems. The terms high and low fantasy seem to imply a qualitative connotation, yet they imply a quantitative judgement of fantasy. Works belonging to high fantasy, Clute explains in *The Encyclopedia of Fantasy*, are "[f]antasies set in otherworlds, specifically secondary worlds, and which deal with matters affecting the destiny of those worlds" (Clute, *High Fantasy* 466), whereas low fantasy is "not set in secondary worlds, nor [are they] elevated in their literary style" (Langford 597).

In the context of this thesis, Nikolajeva's classification of fantasy in *The Magic Code* is most suitable. She distinguishes between closed world, open world and implied world fantasy (see also table 1):

1. "*Closed world* [...] denote[s] a self-contained secondary world without any contact with the primary world (=high fantasy)" (36).

2. "*Open world* is a secondary world that has a contact of some kind, and both primary and secondary worlds are present in the text" (ibid.).

3. "*Implied world* is a secondary world that does not actually appear in the text, but intrudes on the primary world in some way (=low fantasy)" (ibid.).

Table 1: Systems of Classification of Fantasy.

Author(s)	Type I High Fantasy	Type II	Type III Low Fantasy
Nikolajeva	"*Closed world* will denote a self-contained secondary world without any contact with the primary world (=high fantasy)" (36). Example: Lewis's *The Horse and His Boy* (1954) – taken separately (cf. 39).	"*Open world* is a secondary world that has a contact of some kind, and both primary and secondary worlds are present in the text" (36). Example: Lewis's *The Chronicles of Narnia* (1950-1956) taken as a whole (cf. 39).	"*Implied world* is a secondary world that does not actually appear in the text, but intrudes on the primary world in some way (=low fantasy)" (36). Example: Nesbit's *Five Children and It* (1902) (cf. 39).
Gamble and Yates	"The primary world [i.e. the mundane world] does not exist" (120). Example: Tolkien's Middle-Earth or Terry Pratchett's Discworld (cf. 120).	"The alternative [i.e. magical] world is entered through a portal in the primary world" (120). Example: Carroll's *Alice's Adventures in Wonderland* (1865), and Lewis's *The Chronicles of Narnia* (1950-1956) (cf. 122)	"The alternative world is a world-within-a-world, marked off by physical boundaries" (122). Example: Rowling's *Harry Potter* novels (1997-2007) (cf. 122).	(Low fantasy excluded from system) (cf. 120). Example: Nesbit's *Five Children and It* (1902) (cf. 122).
Nickel-Bacon	"Ein-Welten-Fantastik" Example: Tolkien's *The Hobbit or There and Back Again* (1937) and *The Lord of the Rings* (1954-1955) (cf. 41).	"Phantastische Parallelwelten" (42). Example: Janosch's *Oh, wie schön ist Panama* (1978) (cf. 42).	"Dualismus von Alltagswelt und Anderswelt" (42). Example: Rowling's *Harry Potter* novels (1997-2007) and Ende's *Die Unendliche Geschichte* (1997) (cf. 122).	"Phantastischer Besuch aus der Anderswelt in der Alltagswelt" (41). Example: Maar's *Eine Woche voller Samstage* (1973) (cf. 41).

The first is a typical secondary world, in the second we find both a magical and a non-magical world, and in the third type there is some magical element intruding

into a non-magical world. Because of its high amount of magic, a closed world fantasy may also be referred to as high fantasy, while implied world fantasy may also be referred to as low fantasy. Open world fantasy, according to Nikolajeva, lies somewhere in between (cf. ibid.). An example of an implied world fantasy is Edith Nesbit's *Five Children and It* (1902), in which the Psammead enters the mundane world from an implied magical world. The Psammead, Nikolajeva explains, "is doubtlessly a creature from a secondary world – but a world that is not portrayed in the text" (39). The concepts of closed and open world fantasy are more complex than the concept of implied world fantasy. Lewis's *The Horse and His Boy* (1954) is a story about a closed world if it is taken separately from the whole suite. Seen in the context of the other novels, which show that there is a connection between Narnia and the mundane world, the world is open. This shows that the boundaries between a closed and an open world may be fairly vague (cf. 38f.). Within the category of the open world fantasy, Nikolajeva distinguishes three types of structures: linear, circular and loop-like structures. In the first, the protagonist moves from one world to the next as, for example, in Astrid Lindgren's *Bröderna Leonhjärta* (1973). Here the protagonists proceed to another world when they die in a seemingly endless linear structure (cf. 42). The most common structure is circular, bringing back the protagonist to his own world. In the loop structure, the characters move back and forth between different worlds. This is the case in the *Narnia* suite (cf. 42).

In their study *Exploring Children's Literature* (2008), Gamble and Yates employ a slightly different classification system in comparison to Nikolajeva's, because they exclude what Nikolajeva refers to as implied world fantasy, i.e. low fantasy. In high fantasy, they explain, there is some sort of magical world, which may (or may not) be entered in three different ways (cf. ibid.):

1. "The primary world [i.e. the mundane world] does not exist" (120).

2. "The alternative [i.e. magical] world is entered through a portal in the primary world" (ibid.).

3. "The alternative world is a world-within-a-world, marked off by physical boundaries" (122).

With their first category, Gamble and Yates mean the concept of the secondary world and give Tolkien's Middle-Earth or Terry Pratchett's Discworld as examples (cf. 120). Their second and third category both are what Nikolajeva refers to as open worlds (see also table 1). The distinction Gamble and Yates make is one of location: whereas the magical world of the second category, for example, Carroll's *Alice's Adventures in Wonderland* or Lewis's *The Chronicles of Narnia*, does not have an exact location, the "world-within-a-world" (122) fantasy does. The example which, in the opinion of Gamble and Yates, best demonstrates the third category are the *Harry Potter* novels:

> Although there is an invisible barrier that Harry has to pass through in order to board the Hogwarts Express, the school is still in our world. Muggles and wizards inhabit the same space, although there are some areas that Muggles cannot access because they do not have the necessary powers. (ibid.)

In "Alltagstranszendenz" (2006) Nickel-Bacon differentiates between a type of fantasy close to reality – "*Wirklichkeitsmodell*" (Nickel-Bacon 40) or low fantasy – and a secondary world or otherworld – "*Anderswelt*" (ibid.) or high fantasy. Between these two opposing poles, she claims, one may find varying types of fantasy (cf. ibid.). She distinguishes:

1. "Phantastischer Besuch aus der Anderswelt in der Alltagswelt" (41).

2. "Phantastische Parallelwelten" (ibid.).

3. "Dualismus von Alltagswelt und Anderswelt" (42).

Her first type, the visitor from a magical world, is what Nikolajeva termed implied world fantasy. Her example, Paul Maar's *Eine Woche voller Samstage* (1973), is very similar to Nesbit's *The Five Children and It*. What she calls parallel world, really is a fantasyland as defined above. According to her definition, these are small worlds with small inhabitants, in which single characters, events or objects may be supernatural. Her example is *Oh, wie schön ist Panama* (1978) by Janosch. In the third category, she includes literature defined in this thesis as parallel worlds, i.e. stories which include a magical and a non-magical world that are connected through portals. According to Nickel-Bacon, the *Harry Potter* novels belong to this category. However, secondary worlds are missing in her categorisation although she adds a fourth category in a footnote in which she comprises Tolkien's *The Hobbit or There*

and Back Again (1937) as well as *The Lord of the Rings* (cf. 41f.). As we have seen, the idea of parallel worlds is often included in classification systems in order to distinguish different types of fantasy. This not only shows that the parallel world is one of at least three types of modern fantasy but that its 'in between' position makes it difficult to distinguish it from other worlds. The differentiation between the closed world or implied world fantasy and parallel world may be rather difficult. This shall be also shown in the analysis of the examples in chapter 5.

4.3 The Magic Passage

In order to understand the mechanisms of parallel worlds it is important to have a look at the "Magic Passage" (Nikolajeva 75). According to Nikolajeva, fantasy stories, in which the protagonist crosses from one world to the other "reflect [...] the archaic pattern of the mythical passage" (ibid.). She refers to Vladimir Propp, who claims that moments of transition in fairy tales have come to symbolise ancient initiation rites in which young people had to go on a journey and master a number of trials before they were accepted in adult society (cf. Propp qtd. in Nikolajeva ibid.). In her analysis Nikolajeva transfers this symbolic meaning of the magic passage to fantasy.

In this context, it is important to introduce three other terms: polders, portals and thresholds. The word polder comes from Old Dutch where it describes "a tract of low-lying land reclaimed from a body of water and generally surrounded by dykes" (Clute, *Polder* 772). In the context of fantasy worlds, Clute uses the word analogously: "polders are defined as enclaves of toughened reality, demarcated by boundaries (thresholds) from the surrounding world" (ibid). He describes the polder in fantasy as an "*active* microcosm" (ibid.) that may vary widely in size (from a secret garden to whole lands like Oz) (cf. 773). Its borders protect it against the "potential wrongness" (772) of its surroundings. However, despite the constant threat, "[p]olders change only when they are being devoured from without" (773). An example of a classical polder, according to Clute, is the Shire, the home of the Hobbits, which is severely damaged by industrialisation at the end of *The Return of the King* (1955) (cf. ibid.).

While a polder has "a liminal structure or aura" (Clute, *Portals* 776), "a threshold is a sharp gradient between two places or conditions" (ibid.). It may be physical "between two places or states of being" (ibid.) or metaphorical, "marking some perception of change" (ibid.). In contrast to portals, thresholds "may not even be meant to be liminal, or passable" (Clute, *Threshold* 945). In parallel-world stories, clear-cut thresholds are rare. However, they do appear as in Gaiman's *Stardust.* Here, we find a wall, a physical barrier that acts as a threshold because it visibly demarcates the town of Wall from the polder Stormhold. Access is only possible through a hole in the wall, which represents a portal.

A portal usually plays a central role in parallel-world stories. Portals "may be physical (doors, gates, tunnels, pictures, movie screens, mirrors, labyrinths) or metaphorical" (Clute, *Portals* 776). They may exist where worlds intersect and sometimes a certain talent is required to detect them. Also, "they may be [...] transportable, in the form of amulets or rings or books" (ibid.). A portal in a fantasy story "may be located anywhere, from a nook or wardrobe or cranny to an edifice or city, at whose heart may hum a thousand intersections" (ibid.). Clute points out:

> Visible or invisible, portals are likely to be warded [...] and to pass through a portal is likely to pass some kind of test, to gain a new level of understanding of power, to demonstrate oneself as a *chosen* one, whether through birth or actions or some other merit: in fantasy, it is very often the case that a character who finds a portal has in some sense been *found by* that portal. Portals are part of the grammar of significant story. Portals represent acts of selection and election. (Clute, *Portals* 776)

4.4 Theories on Space

As has been shown at the example of secondary worlds, space and landscape may contribute to the legitimation of magical worlds. Yet, space and landscape in fantasy often have remarkable aesthetic qualities and therefore tend to stick to the inner eye, while details of the plot are forgotten (cf. O'Keefe 76). Especially in parallel-world stories, space and landscape play an important role because they set two worlds (i.e. spaces) in opposition. Clute remarks:

> Landscapes almost invariably convey a sense, though often the effect is subliminal at best, that every nook and cranny, every chasm and crag, every desert and fertile valley is potentially *meaningful.* And how a landscape is described in fantasy is what that landscape *means.* (Clute, *Landscape* 559)

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Magical portals and passages are just as unforgettable as certain landscapes in fantasy. O'Keefe explains that "[t]he most memorable scenes in fantasy stories are often the moments of transition: like C.S. Lewis's children crawling into the old wardrobe and coming out in Narnia, Alice falling down the rabbit hole, or Dorothy flying through the cyclone in her house" (79). The significance of space in parallel-world stories makes it worthwhile to have a closer look at concepts of space. In the 1990s, a period which has become known as the spatial turn, many critics engaged in the study of space and revived or brought forth a large number of theories discussing space from various perspectives (cf. Dünne and Günzel 14). Those theories that deal with cinematic space are especially significant in the context of this thesis. Yet, there are also other noteworthy theories that deal with concepts that are particularly interesting to the parallel-worlds concept. Theories that will be discussed in this subchapter are by Ernst Cassirer, Ettlinger, Paul Virilio, Vilém Flusser and Jurij Lotman.

Before dealing with theories on space, one first has to differentiate two terms: place and space. According to Merle Tönnies and Claus-Ulrich Viol, a place is defined by elements in a three-dimensional setting, which "are distributed in a certain order and have their own distinct positions" (211). Space, in contrast, as understood by Michel de Certeau, is "a practiced place" (de Certeau qtd. in ibid.), the result of actively using the three-dimensional place. De Certeau explains that a space is created "by literally walking around in it or by producing some kind of representation such as a map or travel account. Through these processes meaning is attributed to the place; this turns it into a space" (ibid.).

The first theory that shall be discussed here is Cassirer's theory "Mythischer, ästhetischer und theoretischer Raum" (1931), which deals with the representation of space in arts. If one regards film as an aesthetic practice of representing (virtual) space, then Cassirer may be applied to this medium as well. Space in arts, he claims, is a combination of mythos and logos. Mythos and logos are different ways of making sense of space. Mythos describes certain magical traits of space – "bestimmte magische Züge" (495). These may be certain emotions, for example, familiarity or strangeness, security or danger (cf. ibid.). Logos, in contrast, represents all that which can be measured and calculated (cf. Lüdeke 451). Aesthetic space represents a

third category, which mediates between these two oppositional realms and represents a subjective interpretation and reflection of space. Applied to space in fantasy films, one may see mythos – the irrational way of making sense of space – in terms of magical elements, and logos – the rational way of making sense of space – in terms of non-magical and familiar elements. Cassirer's theory may then be understood in terms of Jackson's as well as Tolkien's claim to mix both familiar and unfamiliar elements in order to create a new level of reality. This new level of reality may either be that of subversion or that of legitimation. In combination, mythos and logos may create what has been referred to above as magical law; that there are certain rules the unfamiliar has to obey. The ability to fly, for example, as represented in many modern fantasy films, is a means of materializing the feeling of freedom associated with real space. However, in most fantasy, a broomstick or a magical creature is necessary to overcome the physical law of gravity. In Cassirer's sense of the words, the flight on a broomstick then becomes an image in which mythos and logos are combined.

A very recent theory on cinematic space is Ettlinger's *The Architecture of Virtual Space*, which was already mentioned in the introduction. Here, Ettlinger claims that there are certain cinematographic techniques, which may create a sense of coherence between single settings in a film. If single places in film "are presented in a context which suggests that they are continuous *with respect to each other*" (ibid.) then a sense of a "virtual world" (ibid.) may be achieved. Techniques such as panning, tilting or tracking shots from one setting to another may create a sense of continuity (cf. ibid). In the context of parallel worlds in fantasy film, this is particularly interesting. Camera techniques may not only create a sense of coherence or capability within the magical world but may also visually relate the magical and the non-magical world to one another in scenes of transition. The visual representation, if we take Jackson's supposition that the visual is often equated with the real for granted (cf. 49), may create the impression of a physical connection between a magical and a non-magical world.

Later in his investigation, Ettlinger claims that places in film set in totally different magical worlds are normally designed on physical places (cf. 93). However, there are different ways in which the virtual space and the physical space are related to

one another. Ettlinger differentiates four different ways in "*which a virtual place refers to the physical world*" (112): reconstruction, documentation, projection and invention, which he then divides up even further into more specified distinctions (cf. ibid.). What interests most in the context of this thesis are "[f]abricated documentations" (119) and "[p]ast-like inventions" (124). According to Ettlinger, the world of Hogwarts, for example, belongs to the category of fabricated documentation. With this he means "[a] virtual place that presents itself as a record of a contemporary physical place, except that such a place does not truly exist in physical space" (119). The Hogwarts School of Witchcraft and Wizardry is presented visually "as if it were a physical place presently existing somewhere in the far north of England, which you could reach too if you could only find Platform 9 ¾ on King's Cross station in London and take the train to it yourself" (ibid.). In this context, Ettlinger relates to the fact that, in the reality of the story, the wizarding world of *Harry Potter* is presented as real, it is "falsely *pretending* to be part of the physical world" (126). This again strongly reminds of the reality claim in fantasy stories, which is promoted in the theories by Tolkien and many others, as illustrated above.

However, the *Harry Potter* films may also be understood as belonging to the category Ettlinger calls past-like inventions as opposed to "[f]uture-like invention[s]" (126), which are more frequent in the science fiction context. With past-like inventions Ettlinger means "[a]n invented virtual place which presents itself in terms which are comparable to a past period in the history of the physical world" (125). In his opinion, most film versions of fairy-tales and legends belong to this category because they tend to create "an enchanted world in an idealized version of some period in our own distant past" (ibid.). Although they are not set in the past, the *Harry Potter* films nevertheless depict a space that reminds of a British past. This for example is the case for the architecture of Diagon Alley, Knockturne Alley, Hogsmeade and Hogwarts, which remind of Edwardian and Victorian architecture enriched with a touch of magic.

Yet another perspective on space and, in particular, passages between different spaces, may be found in the theories by Virilio and Flusser. In "Die Auflösung des Stadtbildes" (1984), Virilio observes that city space has lost its former significance not only through the development of suburbs which blur clear-cut city outlines, but

also through technology and media (cf. 261f.). Modern developments especially in the context of transportation and communication dissolve the boundaries between public and private (cf. 263). This has the effect, that city gates, streets and boulevards as well as doors and portals lose their symbolic significance because they no longer demarcate the different spheres of life, i.e. the public and the private (cf. 262-265). Modern space is heterogenic rather than homogenic because different spheres of life melt into one another. Coherent space in modern life is rare (cf. 269).

Flusser's theory "Räume" (1991) is very similar to Virilio's because he also notices that public and private spaces merge. Flusser sees the reason for spatial change not so much in technological advances but rather in scientific ideas such as quantum mechanics, in which spatial and temporal dimensions are combined. Modern human lebensraum has become virtual in the sense that it is no longer concrete (cf. 277). This can be seen most clearly in the fact that geographical distance is no longer of importance. With the help of information technology, one may be anywhere at any time: "wir sind virtuelle Bewohner einer virtuellen Raumzeit geworden" (281). Flusser not only claims that borders between spaces lose their significance but also that it is even no longer possible to create borders (cf. 282). Formerly, lebensraum was clearly divided into public and private space through walls, windows and doors, streets, squares and portals. Today, cables, nets and information have come to cover up public space (cf. 279f.). Borders are replaced by overlapping and interlocking elements in space (284).

In their theories, both Virilio and Flusser not only point to the symbolic importance of places of transition but also draw attention to the fact that modern space loses its coherence, becomes heterogenic and confusing. Representations of polders and the assurance of clear-cut thresholds, as is the case in parallel-world stories, may provide a spatial experience that is on the decline, i.e. spatial demarcation. In doing this, parallel-world stories might give back doors and portals their symbolic function, which they seem to have lost in a time when passages are technological rather than physical. In parallel worlds, it is not about the separation of public or private space but rather about the separation of magical and non-magic space. As mentioned in chapter 3, this social and cultural development is what O'Keefe sees reflected in modern fantasy: whereas life becomes more complicated and less struc-

tured, fantasy becomes more structured. It may thus be argued that parallel-world stories are a form of fantasy that may provide clear structures to an audience who lives in a world in which structures are loosening. Ironically, or maybe tragically, parallel worlds realised on screen make use of the technology Virilio believes to be the cause of the symbolic decline of urban space.

In "Künstlerischer Raum, Sujet und Figur" (1970), Lotman deals with the concept of space from the perspective of narrative theory. His starting point is the assumption that there are certain rules or objects in a story that create a system of spatial relations and borders or a topological structure (cf. 532). Literary texts are usually full of binary oppositions such as rich and poor, educated and uneducated, friends and foes. These oppositions always receive a spatial representation and different spaces are held apart through borders and may receive spatial manifestations (cf. 537-39). Closely related with this topological structure, he claims, is the term *sujet*. Referring to Tomaševskij, Lotman explains that the term *fabula* refers to all events in a story, whereas the term *sujet* refers the order in which these events (the smallest units of the *sujet*) are presented. An event in a story is the breaking of established norms, something extraordinary, which was not supposed to happen (cf. 532): "Sujetbewegung, 'Ereignis', ist das Überqueren jener Verbotsgrenze, die von der sujetlosen Struktur bestätigt wird" (539). This may be, for example, the rule that no person alive may crossover to the land of the dead (cf. 532f.)[8]. Accordingly, Lotman distinguishes two sorts of texts: those with and those without *sujet*, i.e. eventful and eventless texts. Texts without *sujet* confirm a certain world and its structures, while texts with *sujet* negate them. An eventless text, for example, is a telephone book or a calendar. He not only distinguishes two types of texts but also two types of characters: mobile characters, who can transgress borders (such as Aeneas or Telemachus), and immobile characters, who cannot (cf. 539).

Lotman claims that eventful texts always have three components. The first component is a semantic field, which is divided into two complementary parts. Between these parts, there usually is an impermeable border, which represents the second component. Component number three is the protagonist, who has the ability to

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[8] Here, a problem arises, which is similar to the problem of defining fantasy as a genre. As the extraordinary is culturally and socially determined, so is the event (cf. Lotman 536f.).

transgress the border (542). Although this is a description of 'ordinary' literary texts, it is curiously reminiscent of parallel-world stories. Obstacles, Lotman explains, are usually located at the border between two semantic fields and complicate the transgression from one to the other. When the hero has crossed the border, movement in the story may only come to a halt when he becomes one with his new environment. He has to turn from a mobile into an immobile character. If this does not happen, then movement continues and the hero returns to where he came from. Lotman gives the example of the fairy tale. Here the hero is usually not accepted in his own world, for example, because he is the youngest son. Then he crosses the border to another realm, which is connected with danger and effort. Here, too, the hero cannot merge with his new surroundings, because he is a human amongst non-humans. The hero returns as a changed person and is now able to become one with his surroundings. Further movement is impossible and is often symbolised by marriage or death (cf. 542f.).

Whereas Cassirer's theory is helpful for the understanding of fantasy as the mixture of magical and non-magical elements in order to make sense of the world, Ettlinger's ideas are most suitable for the understanding of the realisation of magic space on screen. Virilio and Flusser both provide useful comments on the symbolic function of doors, which is lost in modern society. These ideas are particularly interesting in the context of portals and thresholds in parallel-world stories. Lotman's theory is also useful for the understanding of parallel-world stories but rather on a structural level. In the following chapter, these theories shall form the basis for the analysis of parallel worlds in British fantasy film.

5. Parallel Worlds in Practice

In this chapter, examples from British fantasy film will be analysed on the basis of the theories on fantasy, parallel worlds and space discussed in chapters 3 and 4. As parallel worlds may be regarded as spatial concepts, the analysis concentrates on the presentation and realisation of the different spaces, i.e. the mundane world, the magical world, and the magic passage.

The examples chosen for the analysis are *Stardust* (2007), the two already released films of *The Chronicles of Narnia – The Lion, the Witch and the Wardrobe* (2007) (referred to in the following as N1) and *Prince Caspian* (2009) (N2) – and the six already released films of the *Harry Potter* series, *Harry Potter and the Philosopher's Stone* (2001) (HP1), *Harry Potter and the Chamber of Secrets* (2002) (HP2), *Harry Potter and the Prisoner of Azkaban* (2004) (HP3), *Harry Potter and the Goblet of Fire* (2005) (HP4), *Harry Potter and the Order of the Phoenix* (2007) (HP5) and *Harry Potter and the Half-Blood Prince* (2009) (HP6). These films qualify as British fantasy films – and thus as suitable material for this thesis – because they promote a certain sense of Britishness both in the mundane and the magical world.

As neither the *Narnia*- nor the *Harry Potter* series are complete, the analysis will deal with the material currently available. All films will be treated as separate entities but also in the context of their respective series. In the case of the *Harry Potter* films, it is necessary to point out that there were four different directors involved, each of whom with a slightly different approach of representing both the non-magical and the magical world. Mike Newell, for instance, decided to leave out the mundane world completely in HP4.

5.1 The Mundane World

With the exception of HP4 and N2, all films that shall be discussed in this chapter start out in the mundane world. Right at the beginning of the films, markers of Britishness appear so that the audience cannot fail to notice that the mundane world is set in Britain. As Great Britain is an island, its contours have a fairly strong value of recognition. Therefore, maps or images of Britain are possibly the most obvious hints at where a story is set. In HP5, a map of Britain is briefly shown during the weather forecast on television (see figure 2) and in HP6, there is a map of Britain in a wizarding newspaper (see figure 3). In *Stardust*, there is something similar to a map, which helps to locate the story. With the help of CGI, the camera 'flies' into the air and through the atmosphere while conveying an image of Britain from space (see figure 4).

Figure 2: Map of Britain: Weather Forecast in HP5 (HP5 00:05:36).

Figure 3: Map of Britain: Wizarding Newspaper in HP6 (HP6 00:03:20).

Figure 4: Satellite's Perspective of Britain in *Stardust* (Stardust 00:17:59).

Other visual signs that hint at the setting of the mundane world in a parallel-world story are famous buildings. Such landmarks, which may also be recognized by an international audience, appear in nearly all examples chosen for this thesis, with the exception of *Stardust* and HP4. The most frequently appearing buildings are the

Tower Bridge, the Palace of Westminster and Nelson's Column, which can all be found in central London. N1, for example, begins with an air raid shown from the perspective of the German bombers. A glimpse of the Tower Bridge is given from a bird's eye view, so that the attacked city may be identified (cf. N1 00:01:00). In the beginning of the second *Narnia* film, the four protagonists Lucy, Edmund, Peter and Susan Pevensie are on their way to school. With the help of CGI, Nelson's Column was added to the background of the scene, which was filmed in Prague (cf. N2 00:08:00). HP1 makes use of an establishing shot of the Palace of Westminster and Victoria Tower (or "Big Ben") to begin a scene set in central London (see figure 5). The Palace of Westminster reappears in HP5 when some of the main protagonists fly on their brooms over the River Thames at night. In the same scene, the Tower Bridge may also be perceived in the background when the protagonists race past a liner (cf. HP5 00:10:00). HP6 begins with the 'bad' characters (the Death-eaters) flying through London and causing destruction. Here, glimpses of St Paul's Cathedral and Nelson's Column are revealed. In a subsequent scene, in which Millennium Bridge collapses, a tiny Tower Bridge may be perceived in the background. The image of the Tower Bridge may address those members of the audience who do not recognize the wavering bridge in the foreground (see figure 6). Additionally to the maps and buildings, red telephone boxes and double-decker busses ornament almost any shot of London. These markers of Britishness not only have the function of locating the mundane world. They also remind of a hidden object game in which the audience is animated to look for and find anything that reminds them of Britain.

Figure 5: Palace of Westminster and Victoria Tower in HP1 (HP1 00:17:12).

Figure 6: Millennium Bridge and Tower Bridge in HP6 (HP6 00:02:39).

Simultaneously with the representation of the mundane world usually the personal situation of the protagonist is described. Whereas the *Narnia* films are set during the middle of the twentieth century and *Stardust* during the middle of the eighteenth century, the *Harry Potter* films are set in contemporary England. Thus, the mundane world of the three stories is set in different periods of time. Interestingly, also the narrative tone used to describe the mundane world varies in the three stories: in the *Narnia* films, it is close to realism; in *Stardust*, it reminds of a fairy tale; and in the *Harry Potter* films, it is rather mocking and satiric. N1 is set during World War II and Lucy, Edmund, Susan and Peter are sent to the English countryside to be safe from the numbing raids. Now they are not only separated from their father, who is fighting in the war, but also from their mother. A steam train (also a typical marker of Britishness) takes them through rolling hills and scarcely populated landscape, which is depicted from a bird's eye perspective (cf. N1 00:06:00). Most of the scenes set in the non-magical world take place at Professor Kirke's manor and the park surrounding it. However safe this house may be for the children, on the inside it is rather dusty and dismal. A large number of historical artefacts, dark wood, high ceilings and faded Persian carpets create a depressive atmosphere.

In the second film of the *Narnia* series, the children's way to school through central London is the only scene set in the mundane world. In contrast to the first film, in which World War II overshadows the mundane world, life seems to be fairly secure and carefree. Still, after having experienced adulthood during their first visit in Narnia and after having been forced into childhood again on their return, the children are having problems readjusting.

In *Stardust*, the mundane world is set in the rural village of Wall, approximately 150 years before our time (cf. Stardust 00:01:00). Even though it is located in the mundane world, its little mossy stone cottages create an atmosphere reminiscent of a fairy tale (see figure 7). Village life seems fairly harmonious, but shop boy Tristan does not quite feel at home in Wall. From the introductory scenes, the audience knows that Tristan's father is from Wall while his mother is from the magical world of Stormhold. This already hints at the problematic that Tristan is 'different' and not as deeply rooted in Wall as the other inhabitants. He wants to leave Wall because he wants to discover the world and, most of all, to win his love's heart by finding her a shooting star.

Figure 7: The Village of Wall (Stardust 00:08:35).

Harry Potter grows up in Little Whinging, Surrey (cf. HP1 00:03:00), in a residential neighbourhood. Here, not only the little houses all look alike, but there also is a station wagon standing in every gateway, both status symbols and symbols of well-planned middle-class family life (cf. HP1 00:05:00) (see figure 8).[9] In *The Irresistible Rise of Harry Potter* (2002), Andrew Blake claims that this setting captures perfectly "a very English way of living" (Blake 7). The Dursleys, Harry's foster family, who are in the centre of the scenes set in the mundane world in HP1 to HP3, are represented as egocentric, heartless, overweight (with the exception of the mother) and highly materialistic. From the inside, the Dursleys' house reveals as much mid-

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[9] In her investigation *Die filmische Umsetzung der Harry Potter-Romane* (2007), Sabine-Michaela Duttler compares the representation of space in the *Harry Potter* novels and films. Here, she finds out that nothing more is said about the outside of the Dursleys' house except that it has a gateway (cf. Duttler 181). This means that the representation of the Dursleys' house does not have a model in the book and is therefore a creation by Chris Columbus, the director of the first two films.

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dle-class standard as from the outside. In HP2, there is a full shot of the Dursleys' living-room: the television, the box of chocolates, the sparkling wine and the fireplace full of picture frames are all status symbols (see figure 9). In the first film, Harry's life with the Dursleys is rather miserable. This impression is enforced through the confining atmosphere of the house created by low-angle shots of the entrance hall (cf. HP1 00:04:00 – 00:09:00). In the subsequent films, Harry seems to gain more confidence and more rights within the family but he never feels at home.

Figure 8: The Dursleys' House from the Outside (HP1 00:04:55).

Figure 9: The Dursleys' Living Room (HP2 00:03:55).

In the mundane world, there are usually two sets of people: those who believe in the existence of magic and those who do not. In the case of *Stardust*, it is Tristan's father Dunstan, who writes a letter to a physicist because he doubts the existence of a magical world. As the physicist replies that the idea of a magical world beyond the wall "may be safely dismissed as merely colourful and rural folklore" (Star-

dust 00:01:23) he crosses over to the other side of the wall to find out that the physicists were wrong. In N1, Susan is the one who has most difficulties believing her little sister and she claims that "[l]ogically it's impossible" (N1 00:35:00) that there should be a magical world behind the wardrobe. However, it does not take long until she is convinced of Narnia's existence. In HP1, Mr. Dursley claims that "there's no such thing as magic" (HP1 00:07:54 – 00:07:57). Yet, as the audience later finds out, he is well aware of the existence of magic but does not want to have anything to do with it. As we have seen in chapter 4.4, Lotman distinguishes mobile and immobile characters. In parallel-world stories, those characters who deny the existence of magical worlds are immobile. The protagonists in parallel-world stories, in contrast, usually believe in their existence of magic, which qualifies them as mobile characters. Susan and Peter, for example, are immobile characters at first but turn into mobile characters as soon as they start believing in Narnia.

In parallel-world stories, the mundane world forms some sort of frame or background story. It has several functions: firstly, as the story thus starts in a familiar realm, the audience is not overwhelmed by the magical world, which may be the case in secondary-world stories like *The Lord of the Rings*. However, whereas there is no magic happening in the mundane worlds of the *Narnia* films or *Stardust*, there is some magic intruding into the mundane world in HP1 to HP3. Seen as separate entities, these scenes may be classed as low fantasy with only little magic. Hence they still represent a strong contrast to the magical world's high fantasy. Secondly, by locating the story unmistakably in a really existing city or country, a relationship to real life or reality is established. This familiarity not only provides certain credibility but also a basis for identification. From here, the audience may accompany the protagonist on his exploration of the magical world; a world of which the protagonist is just as much a stranger as the audience.

In all three parallel-world stories, the protagonists seem to be unhappy and discontent with the mundane world. War, lover's grief or unhappy family life, as different as the causes may be, they seem to be a contributing factor to the protagonists decision or willingness to cross over into another magical realm.

5.2 The Magic Passage

The magic passage is possibly the most important element of parallel-world stories. Therefore, extensive analysis shall be dedicated to this aspect. There is at least one portal that leads to each Narnia, Stormhold and the (nameless) wizarding world in the *Harry Potter* films. In the case of *Stardust*, the portal is a passage through a wall (see figure 10). On the side of the village of Wall, the gap is guarded so that no one from Wall crosses over to Stormhold (strangely enough, no one tries to climb over the wall, but this is a different matter). This is in accordance with Clute's definition of a portal, in which he claims that portals are usually warded (see chapter 4.3). The wall looks very much like a dry-stone wall commonly used in the highlands as a field boundary, except that it is slightly thicker and higher. Thus, the portal also functions as a marker of Britishness. As the wall is a line separating England and Stormhold, it may be referred to as a threshold (see chapter 4.1). Although the guard claims that he is warding a "portal to another world" (Stardust 00:01:47), the passage through the wall does not really seem to lead to a magical realm: there is no perceivable, visual difference between the English side of the wall and that of Stormhold. On either side, there is the same green grass, the same bushes and the same trees. In order to cross from England to Stormhold and vice versa no particular skills are necessary. Tristan's father, for example, simply walks though the passage after having tricked the guard. Tristan himself, however, is transported to Stormhold with the help of a Babylon candle, a magical device that carries a person to the place he or she is thinking of (cf. Stardust 00:27:00).[10]

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[10] Also in the *Harry Potter* films, there are means to cross over from the mundane world to the magical realm that avoid the usage of portals. This includes travelling by magical substances or objects such as floo powder or port keys, or by 'apparating', i.e. the ability to disappear from one place and appear at another (cf. Oakes 123). As these means of transition rather fall under the category of magic rather than the magic passage, they may be neglected in this thesis.

Figure 10: The Wall (Stardust 01:31:29).

In contrast to Stormhold, Narnia is clearly located in some realm different from the real world. In N1, the magic passage leading to Narnia is an old, richly ornamented wardrobe kept in a spare room in the house of the professor. Lucy discovers it while playing hide-and-seek with her brothers and sisters. The joyfulness of the children's play is underlined by the Andrew's Sisters "Oh Johnny Oh, Johnny Oh!", a popular song in the mid twentieth-century. It changes into a muted high-pitched tone as soon as Lucy enters the spare room, which creates tension and anticipation. When Lucy approaches the wardrobe, the tone turns into a slow and dreamy melody played by a flute. Slow motion is applied to further highlight the importance of the piece of furniture. Lucy decides to hide in the wardrobe, closes the door from the inside and slowly moves backwards. In extreme close-up, her hand is shown feeling its way through the fur coats hanging in the wardrobe. Suddenly, the hand shrinks back from the coldness of a snow-covered fir branch. As the focus in this scene is on Lucy's hand, the audience not so much sees but feels the moment of transition with her (see figures 11 and 12). When she turns around, she realises that she is in a forest. Surprised but curious she moves forward and starts discovering Narnia (cf. N1 00:11:00 – 00:13:00).

Figure 11: Lucy's Hand 1 (N1 00:12:42).

Figure 12: Lucy's Hand 2 (N1 00:12:54).

In N1, Lucy enters Narnia three times, Edmund enters it twice and Susan and Peter both enter it once. However, the passage to Narnia is not always there and it seems as if certain conditions have to be fulfilled so that the wardrobe gives access to the land 'inside' it. The first time Lucy enters Narnia she seeks a hiding place. When Lucy tells her brothers and sisters about the magical world she just discovered, they do not believe her. Possibly, this is the reason why they are denied entry at first; under their detailed scrutiny, the wardrobe is just an ordinary solid old piece of furniture (cf. N1 00:24:00). Only when they need to hide from the angry professor, because they just shattered one of his windows, they are all able to enter the magical world (cf. N1 00:38:00). This time the Pevensies stay so long in Narnia that they become adults and almost forget where they came from. Lucy, however, remembers when she sees the lamppost in the Narnian forest, which marks the spot of the portal. During the passage back the camera reveals extreme close-ups of fir

branches and fur coats. Most of which may be perceived of Lucy, Edmund, Susan and Peter are their voices, which sound younger the closer they get to the mundane world. This time, the audience's aural sense is addressed. When the four children step out of the wardrobe, they are as young as they were when they left the mundane world (cf. N1 02:07:00). After this final return at the end of the film, Lucy attempts to enter Narnia one more time, but without success (cf. N1 02:09:00). It thus appears that it is not only necessary to believe in Narnia but also to be in need of it to enter it.

As Clute points out in his entry on portals, it may also be that the magical world finds the protagonist (see chapter 4.3). This is the case in N2. Here, the passage to Narnia is in an underground railway station in London (yet again, a marker of Britishness). The children are waiting for the next train, when unusually strong winds come up: posters and newspapers fly through the air and tiles are torn from the walls. The four children seem to be the only ones who notice this because the people around them act as if nothing was happening (cf. N2 00:11:00 – 00:12:00). When the train speeds through the tunnel and holes appear in the brick wall opposite of the platform. From the perspective of the children, the camera reveals a blue ocean flickering through the windows of the train (see figure 13). When the train disappears, the children are no longer standing in the underground but in a cave at a beach (see figure 14). This time, it is Narnia that found its way to Lucy, Edmund, Susan and Peter.
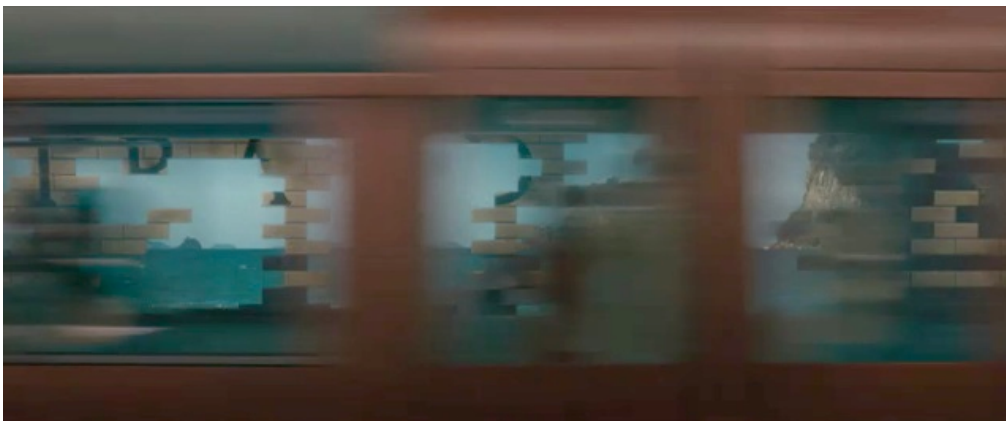

Figure 13: Magic Passage: Underground 1 (N2 00:11:42).

Figure 14: Magic Passage: Underground 2 (N2 00:11:54).

On their way back to the mundane world, the children are similarly passive. Aslan, one of the characters able to produce magic in Narnia, creates a portal that takes the Pevensies back to the mundane world. Two twisted tree trunks disentangle and form an arch, everyone who walks through it disappears and is transported back to the mundane world (see figure 15). When Lucy, Peter, Edmund and Susan walk through the arch they return to the underground station; they return to the same moment in which they have left the mundane world (cf. N2 02:11:00).

Figure 15 Magic Passage: Tree (N2 02:07:17).

While there is only one coherent magic space in the *Narnia* films as well as in *Stardust*, there are several in the *Harry Potter* films. As these magic spaces seem to be scattered within the non-magical world they may be classified as polders (see chapter 4.1). To each polder there is a separate passage. Interestingly, Harry is guided through all passages by experienced wizards and does not have to discover or work

out any by himself. In contrast to Lucy, who bravely crosses over from the mundane world to Narnia on her own, Harry is a rather passive trespasser.

The first magic passage shown in HP1 is the wall leading to Diagon Alley, the shopping street of the wizarding world. In this scene, Harry is guided by Hagrid, the gamekeeper of the wizarding school. Here, certain knowledge is necessary to gain access through the portal: with his (magic) umbrella Hagrid taps at certain bricks in a certain combination in order to open it (see figure 16). The bricks begin to shift to the side and give way to the polder 'behind' them (see figure 17).

Figure 16: Magic Passage to Diagon Alley 1 (HP1 00:18:57).

Figure 17: Magic Passage to Diagon Alley 1 (HP1 00:19:12).

The second magic passage presented in the first *Harry Potter* film is the portal to Platform 9 ¾ from which Hogwarts Express is leaving. This portal is situated in the pillar between platform nine and ten. Here too, Harry is instructed by others how to pass through it. First, three of the Weasley children, Percy, Fred and George, disappear through the portal: they run towards the pillar and disappear in it

(cf. HP1 00:30:00). When it is Harry's turn, the audience are not merely observers. Instead, the camera 'sits' on Harry's trolley and crosses over to the magical realm together with him. This time, the passage is more challenging for Harry because he has to walk through the wall by himself, which obviously takes some overcoming. As the camera shows Harry in medium close-up, his emotions during the magic passage are emphasised (see figure 18). When Harry starts pushing his cart towards the pillar he closes his eyes. As soon as he is 'in' the pillar, the screen turns dark, brick patterns appear behind Harry and Mrs Weasley and her daughter slowly fade in the background of the picture (see figure 19). Soon after, the brick pattern turns into solid brick behind him, which shows that he has arrived on the other side and in the magical world (cf. HP1 00:30:00 – 00:31:00).

Figure 18: Magic Passage Platform 9 ¾ 1 (HP1 00:31:02).

Figure 19: Magic Passage Platform 9 ¾ 2 (HP1 00:31:06).

As a means of transport, Hogwarts Express is a symbol of transition and functions as an extension of the magic passage to Platform 9 ¾. It represents the transi-

tion from the mundane world to the magical world (in which chocolate frogs jump and celebrities on trading cards wave back at their owner), from urban London to pastoral landscape, and from a modern to a rather old-fashioned, pre-technological world (with steam trains, leather suitcases and fire instead of electricity). In this context, clothes also play an interesting role. The children board the train in their Muggle clothes, i.e. clothes that teenagers of their age and time would typically wear. By changing into their black school robes before arriving at Hogwarts School of Witchcraft and Wizardry, the transition from the mundane to the magical world is (visually) complete (cf. HP1 00:33:00 - 00:35:00).

A third magic space is introduced in HP5. It is 12 Grimmauld Place, the house of Harry's godfather, which seems to be located in a space 'between' two ordinary terraced houses. When Harry's teacher Professor Moody taps three times on the ground with his walking stick, the earth begins to shake, the houses slowly shift aside and another slightly darker dwelling unit is revealed (cf. HP5 00:10:00 – 00:11:00). Inside the neighbouring houses, the people continue watching television and do not seem to notice anything, which reminds of the passage to Narnia in N2. It seems as if magic passages as such may be enchanted and only perceivable by those who are able to cross from one realm to the other.

Also, the Ministry of Magic represents a magic space that may be accessed via portals. Theoretically, the ministry could be located in the mundane world underneath London. Yet, this is unlikely considering London's dense grid of underground railways. The guest entrance to the Ministry of Magic is a red telephone box, another internationally known marker of Britishness (see figure 20). As Armitt points out, this telephone box is "one of the icons of post-World War II British culture" (154). Armitt continues to explain, that there is even a "fantasy-based nostalgia" (ibid.) connected to the telephone box because it reminds of what became known as the TARDIS (Time And Relative Dimension In Space), a blue telephone box in reality designed for emergency calls. In the science fiction series *Doctor Who* (since 1963), the TARDIS was used for travelling through time and space (cf. 154, 172). For this fourth magic passage to the ministry Harry is accompanied by Mr. Weasley. When Mr. Weasley inserts a coin, the telephone box functions like an elevator (cf. HP5 00:18:00).

Figure 20: Visitors' Entrance to the Ministry of Magic (HP5 00:18:14)

Parallel-world stories in film dedicate a large amount of their screentime to the representation of portals. Naturally, the films cannot give back doors and walls their symbolic function, which, according to Virilio and Flusser (see chapter 4.4), they lost to technological and scientific achievements. Nevertheless, they may give them back some of their original 'magic', i.e. the curiosity piqued by locked doors and view-obstructing walls. As has been shown in the examples, portals leading to magical worlds are often objects fulfilling space-oriented functions. They may be walls or objects with doors, such as the wardrobe in N1 or the telephone box in HP5, which also in 'real life' represent some sort of spatial boundaries. As regards the dry-stone wall, 'the tube' and the red telephone box, the portals themselves are markers of Britishness. In most cases, the protagonists are accompanied by someone who knows how to pass through the portal; rarely they have to work the portal out for themselves. Interestingly, red brick seems to be a popular material for the representation of portals or passages: the passages to Diagon Alley, to Platform 9 ¾, to 12 Grimmauld Place and to Narnia in N2 are all made out of similar (magical) red brick. Brick is a very solid material so that its characteristics stand in contrast to its function as a portal. Maybe it is this discrepancy, which makes it so attractive. In the *Harry Potter* films, the usage of brick for three out of four portals also creates a sense of unity; the passages may lead to spatially separate polders but in the end, they all belong to one and the same wizarding world.

In *Stardust*, N1 and the *Harry Potter* films (with the exception of HP4), there is constant movement between the magical and the non-magical worlds. Thus, Narnia, Stormhold, as well as the wizarding world in *Harry Potter* may be regarded as cross-

hatches (see chapter 4.1). According to Lotman's theory, this constant movement suggests that the protagonists have not yet become one with any of the worlds; the *sujet* is not yet completed.

Whereas in the *Narnia* films and in *Stardust* some passages back to the mundane world are shown, they are generally left to the audiences' imagination in the *Harry Potter* films. Especially in HP4, the impression is created that the wizarding world is a secondary world, because the mundane world is left out completely. The only film that hints at Harry's return to the mundane world is HP1, which ends at the station in Hogsmeade, a small wizarding town near Hogwarts. If Lotman's theory is applied to the *Harry Potter* films, Harry is "not going home" (HP1 02:17:29), as he says himself at the end of HP1, because he is about to become one with the wizarding world and feels at home in Hogwarts. At the end of N2, Aslan claims that Susan and Peter "have learnt what they can" (N2 02:08:45 – 02:08:48) from Narnia and therefore will not return, whereas Lucy and Edmund will have to come back. In *Stardust*, Tristan decides to stay in Stormhold. His becoming one with the magical world is not only emphasised by the fact that he decides to live there, but also because he becomes king of Stormhold.

5.3   The Magical World

In chapter 4.1, different concepts of magical worlds were introduced. On this basis, we may now classify Stormhold, Narnia and the wizarding world of the *Harry Potter* films. The landscape in Stormhold is a passive backdrop, it does not interact or change with the story. Therefore, it comes close to a fantasyland. The landscapes in Narnia and the wizarding world of *Harry Potter*, in contrast, may be regarded as actors because they mirror the development of the story or even influence it. This is a quality Clute and Grant ascribe to the secondary world or to high fantasy. At the beginning of N1, the magical world is a land of ice and snow because this is the element of the 'bad' witch Jadis. As soon as she looses her power, frozen rivers begin to melt and first flowers start to bloom (cf. N1 01:13:00). At the end of the film, Narnia is a paradisiacal green and pleasant land. Another characteristic of the Narnian landscape is that it is animate. The river and the trees, for example, take human-like shapes and perform human-like actions. By delivering messages or by

drowning the 'bad' characters they take part in the action of the story. The representation of the trees and the river in Narnia is a combination of a mythical and logical way of making sense of the world. Figure 21 shows Lucy and the petals of a tree waving at her in the shape of a child. By representing these two 'characters' in a two-shot – a camera technique often used to emphasise an emotional relationship of two people – not only Lucy's affinity to nature is underlined but also the magical creature's human traits. The human form is used here as a realistic focalizer, as Hunt calls it (see chapter 3.3), representing something unfamiliar in the shape of something familiar and recognizable.

Through the river's representation as a muscular and bearded man, an image, which strongly reminds of Neptune, the god of water and the sea in Roman mythology (see figure 22), its power is symbolised. However, the representation stays close to physical facts: the river is as blue as water, it is as wet as water, and it flows like water. The human-like shapes in Narnia may therefore be regarded as one example of Cassirer's aesthetic space, the combination of mythos and logos, which are combined to yet a third means of making sense of space (see chapter 4.4); i.e. that of magic.

Figure 21: Trees in Narnia (N1 01:15:31).

Figure 22: Water in Narnia (N2 01:59:54).

In the *Harry Potter* films, landscape also plays an important role. At the end of HP4, Hermione asks: "Everything is going to change now, isn't it?" (HP4 02:15:30 – 02:15:32). With this question she announces the changes in the wizarding world in HP5 and HP6, which are reflected in the landscape. Whereas the countryside is lush and green from HP1 to HP4 (see figure 23) it is extremely barren in HP5 and HP6 (see figure 24). HP5 starts with a representation of how the mundane world is affected by the dark forces: it is not only a very hot summer but there are also dementors, magical creatures, intruding into the mundane world (HP5 00:02:00). Harry's neighbour, the wizard Mrs Figg, underlines this unusual appearance by saying: "Dementors in Little Whinging, whatever next. The whole world is going topsy-turvy" (HP5 00:04:51 – 00:04:55). Thus, not only the magical world changes, but also the mundane world.

Figure 23: Landscape in HP2 (HP2 00:23:05).

Figure 24: Hogwarts Express in HP6 (HP6 00:21:45).

5.3.1 Magic Space

From all examples discussed here, the magical realm of N1 is separated the most clearly from the mundane world. Here, the magical world seemingly exists 'inside' or 'behind' the wardrobe but it is so large, that it obviously occupies some realm different from the mundane world. In *Stardust*, the separation of the two worlds is not as clear as in N1, which complicates the film's classification as a parallel-world story. Because the two worlds are simply divided by a wall, Stormhold seems to be located somewhere in England and not in another, magical realm. In the course of the film – if one has a closer look at the landscape – it becomes clear, that Stormhold cannot really be situated in England. Similar to the *Narnia-* and the *Harry Potter* films, landscape plays an important role in *Stardust.* In all examples, there are extreme long shots of mountainous and rugged, sometimes even sublime, landscape. Especially the crags depicted in *Harry Potter* and *Stardust* strongly remind of a British or Scottish landscape. Yet, when one of the characters in Stormhold rides south, he ends up at a sea with pieces of ice lying on the shore (see figure 25). Even an audience with only little geographical knowledge of Britain might know that there is no ice in southern England. This shows that Stormhold cannot be located in the England we know but that it somehow shifts into a different, magical realm.

Figure 25: South of Stormhold (Stardust 00:38:58).

It has already been pointed out that the wizarding world in *Harry Potter* seems to consist of a small number of scattered magic polders. Therefore, the concept of magic space is different to the one found in the first two *Narnia* films or in *Stardust*. Here, the magical world is spatially coherent. Within their classification systems for modern fantasy, Gamble and Yates locate the *Harry Potter* novels in the category 'world-within-a-world', whereas Nickel-Bacon locates them in the category of magic space that is separate from the mundane world (see chapter 4.2). Again, Ettlinger claims, that the *Harry Potter* films are a fabricated documentation, which pretends to be located in the 'real' world. If one has a closer look at the passage of Platform 9 ¾, the reason for this dissent becomes clear. By crossing over to Platform 9 ¾ the students enter a magic space. Here, they board Hogwarts Express, which takes them all the way to the wizarding school without passing through any further portals. Therefore, logically, the school also exists in the magical realm. However, in HP2, it is also possible for Harry and Ron to take the flying Ford Anglia from mundane central London all the way to Hogwarts. As they do not pass through any portal on their way, they are still in the mundane world when they arrive at Hogwarts. Thus, it is impossible to say, if Hogwarts is located in the mundane world or in a magical world. From the representation in the films one may conclude that it is part of neither. Hence, one may call Hogwarts an in-between place or, as Blake calls it, a "semi-parallel magical world" (106).

Also within the magical world, space may differ from space in 'reality'. In HP3 and HP4, there are two examples which are representative for spatial modifications in magical worlds. In HP3, the Knight Bus can modify space to squeeze itself be-

tween two double-decker busses (cf. HP3 00:11:00). In HP4, there is the Weasleys' tent, which looks like an ordinary (old-fashioned) tent from the outside (see figure 26). However, its interior not only holds a settee and several armchairs but also the ceilings are higher than its outside would allow (see figure 27).

Figure 26: The Weasleys' Tent from the Outside (HP4 00:06:19).

Figure 27: The Weasleys' Tent from the Inside (HP4 00:06:37).

Parallel-world stories clearly play with the concept of space, with boundaries and with the separation of spaces. According to O'Keefe's (see chapter 3.3), there should be fairly strict structures in late twentieth-century fantasy because, in her opinion, fantasy always represents the opposite to the contemporary world. In contrast to nineteenth-century fantasy, the structures in the examples chosen may be a lot more explicit but perhaps not as tight as one would expect from O'Keefe's theory. It has been shown that boundaries between the magical and the non-magical worlds may be blurred and a lot of questions left unanswered. Where does Stormhold end? And where is Hogwarts located? This is left to the audience's imagination. Especially in

the later films of the *Harry Potter* series, magic spills over from the magical into the mundane world so that there is hardly any non-magical world left. Thus, one may safely conclude that despite physical portals, thresholds and polders, spatial concepts in parallel-world stories are not unambiguous.

5.3.2   Magic Time

As well as space, time may also be different in the magical world. Time in *Stardust* and in most of the *Harry Potter* films moves at the same pace as in the mundane world. The seven days until the birthday of Tristan's love, for example, pass as quickly in Stormhold as in the village of Wall. In *Harry Potter* there are two main elements that emphasise the fact that time in the magical world is the same as time in reality. On the one hand, these are establishing shots in *Harry Potter*, which indicate the change of seasons. An example is the flight of Harry Potter's owl Hedwig over the grounds in the course of which autumn turns to winter (cf. HP3 00:56:00). On the other hand, these are representations of (mundane) seasonal feast such as Christmas or Halloween. In HP3, Alfonso Cuarón uses time as the leitmotif of his film. Not only is there a large pendulum in the entrance hall of Hogwarts but also the Whomping Willow is used as a marker of time. It is shown in summer (cf. HP3 00:27:49), in autumn (cf. HP3 00:49:30), in winter (cf. HP3 01:04:51), and in spring (cf. HP3 01:59:34). In this particular *Harry Potter* film, a large part of the plot evolves around the Hermione's time turner so that certain scenes are shown twice. When Harry and Hermione travel back in time, they are shown in medium close-up. While they continue moving naturally, the space around them reminds of a rewound videotape: people are walking backwards rather quickly. Together with the Knight Bus, which can slow down time in order to race through complicated traffic, this time turner is the only 'cause' of magical time in the *Harry Potter* films.

Narnian time, however, runs at a different pace from time in the mundane world. Whereas hours or years pass in Narnia, no time or only very little time passes in the real world. When Lucy returns from her first visit, she apologizes for her absence and assures the others that she is all right only to find out that she had not been missed at all by the others (N1 00:24:00).

5.4 Elements of Legitimation in the Magical World

In all examples mentioned here, the magical worlds are represented as coherent and cohesive in terms of internal logic. To use Todorov's terms, they clearly belong to the category of the marvellous, in which the supernatural is taken for granted; instead of questioning the existence of the magical world, it is underlined. This may be achieved through inner or outer elements of legitimation (see chapter 3.3). As regards film, elements of outer legitimation are techniques of representation and narration, while elements of inner legitimation function on the level of story and can be very similar to those of a novel.

According to Jackson, seeing is believing. Therefore, representation is a first step towards legitimation. One means of rendering a magical world authentic is to present it in a credible and authentic way, i.e. to apply techniques of narrative realism. In film, narrative realism may be achieved through an objective and neutral camera perspective and a linear succession of events (cf. Poppe 73). Whereas a linear succession of events is self-explanatory, camera perspective shall be looked at in more detail here.

In general, the *Narnia* films, the *Harry Potter* films and *Stardust* make use of omniscient narration. This means that the camera can show any location and rarely represents the perspective of single characters. An objective and neutral camera perspective also includes wide-angle establishing shots and the creation of spatial relations. According to Ettlinger, techniques such as panning, tilting or tracking shots are frequently used to establish (geographic) relationships between settings (see chapter 4.4). In parallel-world stories, tracking shots are often used to create a sense of spatial continuity between the mundane and the magical world. The magic passage to Platform 9 ¾, for instance, is one single shot from the mundane world to the magical world. While Columbus focuses on the plot for the adaptation of the first two *Harry Potter* films, later directors frequently use Hedwig's flight to establish connections between locations from a bird's eye perspective (cf. HP5 00:49:00). Cuarón also introduced wide-angle shots of the castle and its surroundings to render possible the creation of mental maps of the grounds. In *Stardust*, aerial CG-tracking shots are used to establish a relationship between scenes set in the mun-

dane world and scenes set in the magical world. In what seems to be one shot, the camera first shows Tristan's picnic with Victoria in England. It then 'travels' to the king of Stormhold's deathbed pausing shortly at the magic market on the way (cf. Stardust 00:13:00). Through these geographical relationships the audience may form mental maps of the magical world. As Hunt points out, mapping is one means of rendering the magical world plausible because in its representation as a map the magical worlds receive certain concreteness (see chapter 3.3).

Interestingly, the *Narnia* series, the *Harry Potter* series as well as *Stardust* all include maps of the magical world. Although Stormhold itself is difficult to locate, its relative position to England is mapped in the film (see figure 28). In N1, the camera zooms into a map, which gradually becomes 'three-dimensional' and turns into a 'real' landscape (cf. N1 00:41:00 – 00:42:00) (see figure 29). The Marauder's Map, a magic map of Hogwarts and its surroundings, plays a central role in HP3 (see figure 30). In all three cases, the maps are not shown for geographical orientation but for the sake of the map itself. This is especially true for the Marauder's Map, which is rather confusing and difficult to read. As already mentioned above, the representation of the magical world on such a piece of parchment may symbolise the magical world's physicality. Through the mental maps and the 'real' maps Stormhold, Narnia and the wizarding world of *Harry Potter* receive a cohesiveness and coherence similar to secondary worlds. If the magical world is mappable – not only in the audience's minds but also on 'real' maps – then it exists.
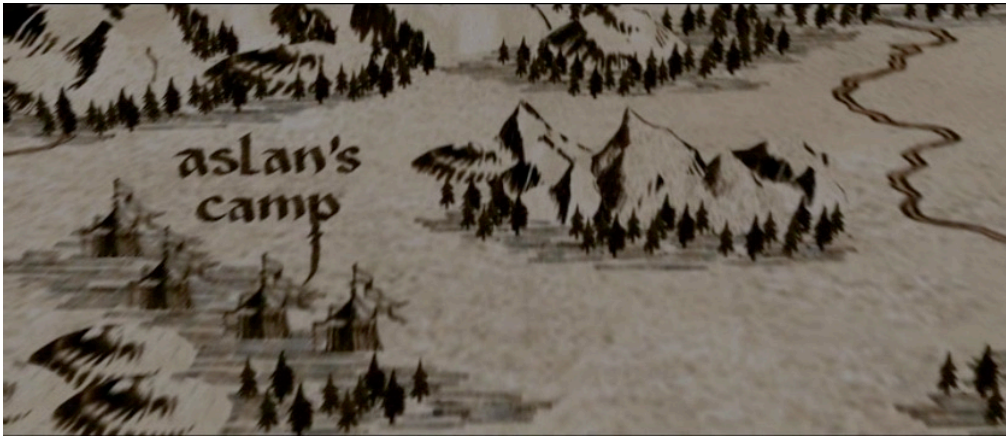

Figure 28: Map of Stormhold (Stardust 00:05:45).

Figure 29: Map of Narnia (N1 01:42:16).

Figure 30: The Marauder's Map (HP3 00:57:55).

Elements that may be counted as both outer and inner legitimation are portals to magic spaces within the magical world. As has been shown in chapter 5.2, portals between the mundane and the magical world are usually physical in the sense that the protagonists are able to pass through them without dreaming, meditating or dying. Also, the magic space behind the portal is represented as physical and concrete because the protagonists may touch it and interact with it. Within the magical world in the *Harry Potter* films, however, there are portals to further magic spaces[11]. These may be physical, as for instance the Room of Requirement in HP5 (cf. HP5 00:59:00), but also mental. The mental passages or spaces within the wizarding world are: the Pensieve, a basin for bottled memories (cf. HP4 01:39:00 –

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[11] It would be inadequate to use Tolkien's term "Tertiary Worlds" (62) in this context, although Nikolajeva understands it to mean a world within a world (cf. 40). What Tolkien really means is a fantasy performed on stage. In his opinion, a stage is already some form of secondary world and therefore the magical world on stage becomes a tertiary world.

01:42:00), Tom Riddle's diary (cf. HP2 01:26:00 – 01:30:00), and Harry's dreams (cf. HP4 01:20:00; cf. HP5 00:33:00; cf. HP5 01:05:00; cf. HP5 01:34:00). All three examples are spaces that Harry may visit and watch but he may not interact with them because they represent the memories or experiences of another person. Interestingly, these mental spaces are depicted in certain colour codes, whereas fairly natural colours are used for the rest of the films. Harry's excursion into the diary, for example, is represented in a green light, whereas his dreams are usually blue and the memories in the Pensieve yellow or green. The main characteristic of these mental spaces is that they may be tampered with. As regards Harry's dreams, for example, a motif both in HP4 and HP5, it becomes more and more difficult to distinguish between imagination and reality. In one situation what he dreams is real, in another his dream turns out to be a trap set by his enemy. Although the reality of the magical world as such is not questioned, the films indulge in a play with 'magic reality' on this third level. To some extent these mental magic spaces remind of Jackson's theory of subversive fantasy. Their effect, however, is quite the contrary: not only through their single-colour representation but also through the play with reality, the audience's attention is drawn to yet another spatial level. As a consequence, the question of the magical world's reality no longer dominates the story and the magical world's reality is legitimised indirectly.

Inner elements of legitimation are numerous so that only few aspects can be discussed in detail here. They range from mythological creatures over consumerism or issues of ethnicity to seasonal feasts and food: anything that is known in the 'real' world may function as a legitimising element in the magical world. Interestingly, all here chosen examples promote certain nostalgia for an old-fashioned or even pre-industrial way of life without electricity or technology and retrospective elements. In Narnia, the soldiers fight with swords and arrows, in Hogwarts, the pupils write with quills on parchment, and in Stormhold, most characters travel in horse-drawn wagons. This sense of nostalgia is reflected in the setting. In this context, not only wide-angle shots of untouched landscape may contribute to this sense of nostalgia, but also buildings. The *Harry Potter* films, for instance, can be classified as what Ettlinger refers to as past-like inventions, "an idealized version of some period in our own distant past" (Ettlinger 125). Diagon Alley, the first magic space Harry and the

audience experience in the *Harry Potter* films, creates the impression that the wizarding world is stuck in the British past, i.e. in Victorian or Elizabethan England (see figure 31). With its timber-frame buildings, its bay windows and prominent upper storeys it strongly reminds of sixteenth century architecture as it may still be found in The Shambles in York, a main tourist attraction.[12]

Figure 31 Diagon Alley (HP1 00:19:32).

Hogwarts Castle, the central building in the *Harry Potter* series, is run along the lines of British public boarding schools (cf. Blake 20). The film crew created a sturdy-looking castle that is not only reminiscent of old British buildings but that also reminds of a fairy-tale setting. Its rambling interior is full of secret rooms and hidden passages. Similar to the hidden object games in the scenes set in the mundane world at the beginning of the films, Hogwarts seems to be a jigsaw puzzle made out of bits and pieces of famous English castles and churches: amongst others the films are set in such famous buildings as the Bodleian Library, Laycock Abbey (cf. Blake 111), Gloucester Cathedral and Alnwick Castle (cf. Duttler 185-187).

Food is also an element that may legitimise the magical world. Although, theoretically, food in the magical world could be as magical as the world itself, it usually is not. In Narnia, the faun Mr. Tumnus, for example, serves tea to Lucy (cf. N1 00:19:00) and later the four children sit in Aslan's pre-industrial camp eating toast (cf. N1 01:25:00), an anachronism that was accepted for the sake of legitima-

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[12] Although this thesis deliberately leaves out the aspect of adaptation it shall be noted here, that the Victorian character of Diagon Alley is Columbus' interpretation. In Rowling's novel *Harry Potter and the Philosopher's Stone* (1997), nothing more is said about the alley's architecture except that it is "a cobbled street which twisted and turned out of sight" (56).

tion. Especially in the *Harry Potter* films, food is a frequently recurring motif. Food in *Harry Potter* is incredibly ordinary but also incredibly English. In each of the films there is at least one scene set in the Great Hall where food is served to the students. In the first film the children are shown with huge piles of corncobs, chicken drumsticks, grapes, spareribs, chips, whole turkeys, and sausages in front of them (cf. HP1 00:44:00). In another scene in HP4, they are having toast and cereals for breakfast (cf. HP4 01:03:00). For pudding the children are served pie, strawberry chocolate cake and cream puffs in HP5 (HP5 00:29:00 – 00:32:00). Food is rarely in centre stage. However, it not only serves as decoration of the set but also as legitimation of the magical world because it may be recognized as 'normal' or even British home-made food.

Interestingly, the disbelief of certain characters from the mundane world in the existence of the magical world is answered by a fascination of magical creatures with the mundane world. On Mr. Tumnus' bookshelf, for example, there is a title saying "Is Man a Myth?" (cf. N1 00:19:00) but this question is not discussed any further in the film. In Stormhold, too, the existence of a non-magical world is doubted and England is represented as something that only exists in folklore or children's stories. Captain Shakespeare, however, believes in the existence of England:

Captain Shakespeare:	England, England. I wanna hear everything.
Tristan:	You're not from England.
Captain Shakespeare:	Oh, no, sadly, no. But from my earliest youth, I lapped up the stories. People always told me they were nothing more than folklore but my heart told me they were true. (Stardust 01:05:37 – 01:05:48)

Although Mr. Weasley, Harry's best friend's father, is well aware of the existence of Muggles (non-magical people), he is fascinated by what they achieve without magic, for example, an escalator or the underground railway (cf. HP5 00:17:00). This, again, proves that the wizarding world and the mundane world are in fact not so very different.

However, the mundane world is not only doubted but also mocked in the films. This is the case, when Mr. Weasley asks Harry: "What exactly is the function of a rubber duck?" (HP2 00:12:20 – 00:12:24). As Harry is not able to answer this question, the mundane world is subverted to a certain extent. There is not really a good

explanation for the existence of rubber ducks. A very similar situation may be found in N1, when Mr. Tumnus does not know what he is supposed to do with Lucy's outstretched hand:

Lucy:	Oh, you shake it.
Mr. Tumnus:	Why?
Lucy:	I, I don't know. People do when they meet each other. (N1 00:17:11 – 00:17:28)

By pointing out that there are fairly strange and inexplicable elements in the mundane world, the audience is encouraged to perceive the mundane world from a distanced and critical perspective. Also, this may have the effect that the audience they become more tolerant towards unfamiliar elements in the magical world. If the mundane world is not always logical, why should the magical world?

Still, from Jones and Tolkien we know that magic most often follows certain laws (see chapters 1 and 3.3). In *Narnia* and *Stardust*, magic may only be performed in the magical world (with the exception of the Babylon candle, which is lit by Tristan in the mundane world). Yvaine, the human-shaped star, for example, can only survive in Stormhold and would crumble to dust in the mundane world. In *Harry Potter*, magic may also happen in the mundane world, for instance, in the form of an inflated aunt or a floating cake. Furthermore, magical creatures such as dementors may cross over into the non-magical realm. In *Narnia* and *Harry Potter*, magic happens via objects or potions, such as wands or Lucy's fire flower juice, which can cure injuries. In *Stardust*, the witch may perform magic without a wand but she pays for it with her youth. In all three examples, magic cannot simply do anything but it has its limits: when his wand breaks, Ron cannot fix it (cf. HP2 00:31:00), to grow back bones is painful (cf. HP2 00:57:00) and Dumbledore explains that "no spell can reawaken the dead" (HP4 02:13:24 – 02:13:26). This shows that the magical worlds possess a self-internal logic, which may compensate for the at times confusing spatial structures of parallel worlds. Therefore, the magical worlds may be said to generally conform to O'Keefe's theory that structures in modern fantasy are usually explicit.

Magic is difficult to grasp because it has no correspondence in the 'real' world. One means of authenticating it, is giving it a form. Especially in *Stardust* and the *Harry Potter* films, magic is represented as some form of light. In *Stardust*, green

flames are used to indicate magic and when the witch creates an English pub, it seemingly grows out of the green flames (see figure 32). In *Harry Potter*, magic is represented similarly to magic in *Stardust*, yet, in different situations, it takes a slightly different form. When Harry fights with his enemy Voldemort at the end of HP4, the spells cast by the two opponents are represented as colourful beams of light that remind of sputtering lava (see figure 33). When Professor Snape makes the unbreakable vow to Mrs Malfoy their hands are connected by thin threads of silver light (see figure 34). Without the light, both scenes would seem rather comical. Thus, through its depiction, magic becomes concrete, graspable and believable.

Figure 32 Representation of Magic in Stardust (Stardust 00:44:19).
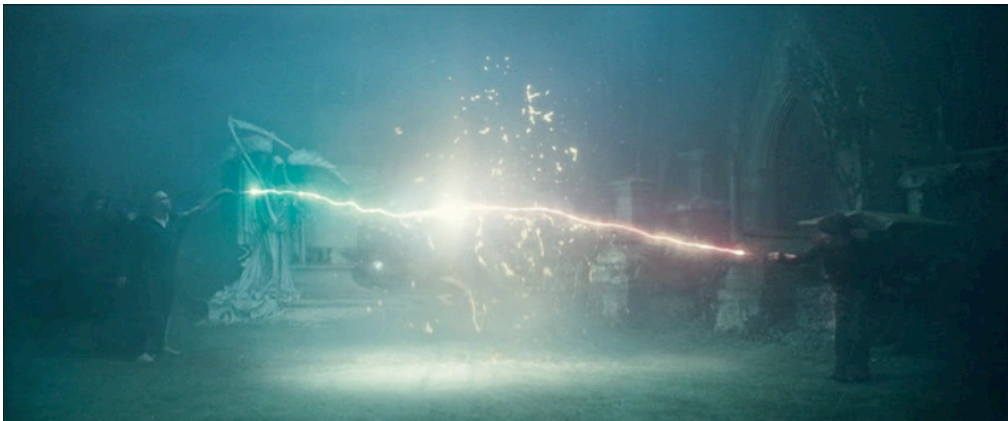
Figure 33 Representation of Magic in HP4 (HP4 02:02:15).

Figure 34 The Unbreakable Vow in HP6 (HP6 00:17:12)

Although magic seems to be something unparalleled, in many cases it really is not that extraordinary. On the surface, the *Harry Potter* films represent a pre-modern world without laptops, MP3-players, TVs or light bulbs. Through magic, however, wizards compensate the technological advancements of the mundane world. A diary that writes back, Sirius's head in the fireplace of Gryffindor common room or the witches' magic mirror in Stormhold seem magical at first but, in fact, are modern means of communication in disguise. Whereas the diary is very similar to chatting, the fireplace and the mirror are similar to video conferencing. Also, the bewitched transparent ceiling in the Great Hall is not as magical if one considers that a glass roof could achieve the same effect (cf. HP1 00:37:00). In the magical world, the familiar comes in disguise of the unfamiliar and the modern comes in disguise of the old; a phenomenon analysed by Brooke-Rose in her investigation of fantasy (see chapter 3.3).

According to Blake, this mixture of traditional and old-fashioned elements on the one hand and modern elements on the other is typically British. To describe this phenomenon, he uses the word 'retrolutionary', which was coined at the Paris Motor Show in 1994 to describe the new XJ Jaguar series. The new cars were "a combination of the new within the old which one might almost call magical" (16). However, Blake sees the roots of retrolution already in the 1980s, a time in which the past was reinvented for the present-day consumerism under the political reign of the Conservative Party. In 1997, when the first *Harry Potter* novel was published, New Labour came to power in Britain. Although their desire was to modernize Britain, they had to present their ideas in disguise of the traditional so that they would

not lose their (conservative) voters (cf. 5-9). About the *Harry Potter* novels Blake says on the one hand, that its "low-tech magical world, with its Victorian London shopping alley and a Highlands boarding school, belongs to the heritage past" (7). On the other hand, he claims that "Harry Potter is a deliberately retrolutionary creation. The stories explore the old, and a little under the surface deal with the new" (17).

6. Conclusion

Despite Jackson's and Tolkien's objections to the visualisation of fantasy, parallel worlds have successfully conquered the film medium. As shown in the analysis of selected examples of British fantasy films, a grammar has been established for the realization of parallel worlds on screen. Part of this grammar are similar structures, similar means of representation and similar means of legitimation of the magical world.

In terms of structure, the here presented examples follow to a large extent the spatial pattern introduced by Lotman: the parallel-world story usually starts in the mundane world, then the protagonist crosses the (impermeable) border, spends some time in the magical world and finally returns to the mundane world. The parallel-world stories differ from Lotman's pattern in so far as there is permanent movement between the worlds. In the case of *Stardust*, the protagonist even decides to remain in the magical realm.

The representation of the magical world is a central aspect in parallel-world stories. Although the magical world and the mundane world are separated through borders and portals, the concept of space in parallel-world stories can be confusing. Whereas the magical world of the *Narnia* films can clearly be located in a magical realm, the concept of the magical worlds in *Stardust* and *Harry Potter* is less clear. The wizarding world in *Harry Potter* consists out of several polders that are accessible through different portals. In addition, Hogwarts cannot be clearly identified as a magical space because it can be entered both with and without a magical passage. Therefore, Blake's term "semi-parallel magical world" (106) best describes the wizarding world of the *Harry Potter* series. Stormhold is also difficult to classify because it shares a physical border with England, which is depicted in the film. Only

its 'un-British' landscape reveals that Stormhold cannot be located in mundane realms. As the landscape in *Stardust* does not interact with the story, Stormhold may be referred to as a fantasyland. The landscape of Narnia and of the wizarding world in *Harry Potter*, in contrast, mirror or even influence the story so that the magical land comes close to the concept of a secondary world. All in all, however, Stormhold, Narnia and the wizarding world of *Harry Potter* are represented as fairly coherent and cohesive worlds.

The magical world's reality is underlined through numerous elements of inner and outer legitimation. The portals leading to magical worlds are often represented as concrete objects such as walls or doors, which also fulfil a space-oriented function in 'reality'. Through tracking shots or close-ups the impression is created that the audience 'accompanies' the protagonist when he or she crosses over to the magical realm. Thereby, the portals as well as the transitions are authenticated. The difficult spatial structures in parallel-world stories are compensated by the magical world's internal logic in form of magical law. One may say that magical worlds are made up of rather explicit structures, which stand in opposition to the fragmentation of the 'real' world. This reflects O'Keefe's claim that fantasy usually represents the opposite of contemporary society in terms of structure. Furthermore, this internal logic is another means of legitimating the magical world. Although only selected examples of legitimation could be analysed in this thesis, it has become clear that all examples discussed here may be classified as modern fantasy as opposed to subversive fantasy defined by Todorov and Jackson.

In the examples chosen for analysis in this thesis, Britishness plays a major role not only in the mundane world but also in the magical world of parallel-world stories. In the *Narnia-* and *Harry Potter* films, Britishness in the mundane world primarily has the function of locating the story geographically. In the magical world, in contrast, it serves as an element of inner legitimation that may contribute to the audience's suspension of disbelief. A sense of Britishness is not only created through scenic shots revealing a landscape that strongly reminds of the Highlands, but also through historical-seeming buildings. Britishness in parallel-world stories is therefore always closely connected to a certain nostalgia and yearning for a long lost past. This yearning, however, which is expressed in all three examples, is in fact a

yearning for a past that never existed. Especially the *Harry Potter* films can be classified as such a past-like invention, as Ettlinger calls it: Britishness in the wizarding world of *Harry Potter* is not a reflection of 'reality', but a Britishness that is carried to the excess, that is more British than 'reality'. For this excessive Britishness the triple-decker bus in HP3 is a suitable metaphor.

Certainly, the 'amount' of Britishness recognized by an audience depends on their cultural background. Whereas drinking tea and double-decker busses are well-known markers of Britishness, some members of the audience may not realize that the dog into which Harry's godfather Sirius transforms is an 'Irish' wolfhound (cf. HP5 00:25:00). Therefore, one may assume that Britishness in *Harry Potter* functions on two levels: on a national and a more general level. Whereas English, Irish, Scottish or Welsh may recognize different national markers or stereotypes, other audiences might perceive a more general Britishness that is closely related to the films' nostalgia and elements of retrospection. Borrowing Tolkien's metaphor of the "Cauldron of Story" (Tolkien 46), one may say that national audiences may perceive the single ingredients of the 'soup of story', while an international audience may only perceive the 'soup' as a whole. Moreover, international audiences might have problems to differentiate between magical elements of the story and markers of Britishness. A Japanese fan, for example, asked actor Daniel Radcliffe the following question: "Is it true that slugs are bigger in Britain?" (*Conversations with the Cast* 00:15:00 – 00:15:03).

As yet, the *Narnia-* as well as the *Harry Potter* series are incomplete. Hence, over the next few years, there will be sufficient material for the study of parallel worlds in British fantasy film. Also, the subsequent adaptations of Pullman's *His Dark Materials* trilogy will be interesting for this field of research because – unlike the first part *The Golden Compass* – they will be set in a non-magical and in further magical worlds. So far, the parallel-worlds concept in general has only been rudimentarily covered by critical studies and it opens up to a variety of themes yet to be explored. As an extension of this thesis, for instance, it would be interesting to analyse how other national fantasies make use of nationality in parallel-world stories in film. The comparison of parallel worlds in different media would also provide interesting material.

In this thesis, it has been illustrated that magical worlds have gone through an enormous development. Initially, they were located in lost worlds and lost countries such as Skull Island or Brobdingnag. They were then relocated to the realm of dreams before they conquered fictional spaces existing parallel to the mundane world. In July 2010, however, magical worlds have found their way back into earth-bound realms. What is meant here, is a magical realm that is not located in the fictional worlds of King Kong or Gulliver but in the 'real' world of Orlando, Florida. Its threshold is a fence and its portal a ticket booth: with the opening of *The Wizarding World of Harry Potter* theme park, parallel worlds have entered yet another sphere. Having come from the one-dimensional page they have successfully conquered the two-dimensional audio-visual medium and are now also entering the three-dimensional realm. Whereas the parallel worlds' success in the former two has already been proven, its success in the latter is yet to be explored.

7. List of Films

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Harry Potter and the Half-Blood Prince. Dir. David Yates. Perf. Rupert Grint, Daniel Radcliffe, Emma Watson. DVD. Warner Brothers, 2009.

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9. Appendices

I List of Figures

The copyrights of the here listed stills taken from films belong to the respective companies (cf. 7. List of Films).

II List of Tables

III List of Symbols and Abbreviations

HP1	*Harry Potter and the Philosopher's Stone* (film)
HP2	*Harry Potter and the Chamber of Secrets* (film)
HP3	*Harry Potter and the Prisoner of Askaban* (film)
HP4	*Harry Potter and the Goblet of Fire* (film)
HP5	*Harry Potter and the Order of the Phoenix* (film)
HP6	*Harry Potter and the Half-Blood Prince* (film)
N1	*The Lion, the Witch and the Wardrobe* (film)
N2	*Prince Caspian* (film)