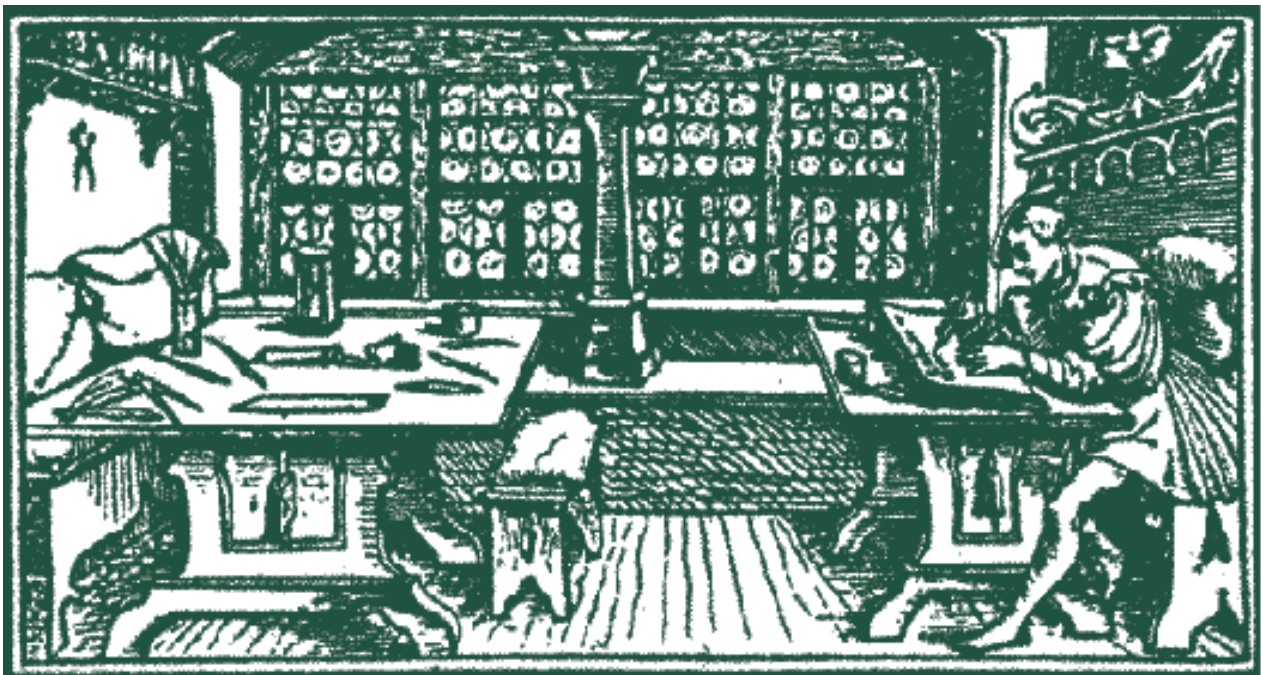




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BABEȘ-BOLYAI



PHILOLOGIA

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S T U D I A

UNIVERSITATIS BABEȘ-BOLYAI

PHILOLOGIA

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FÖRORD

FÖRORD

I denna volym, framförallt i den första delen, återfinns olika problemställningar och synpunkter gällande språk, kultur och litteratur i allmänhet som skandinaviska, rumänska - (och tillsammans med dessa, franska och tyska) - forskare och universitetsanställda bidragit med.

För Sveriges och Norges del kommer bidragen från den vid Lunds universitet sig befinnande rumänska sektionens konferens på Marstrand år 2007. En liknande konferens hålls varje år och det finns två förklaringar till detta. I första hand kan den anordnas tack vare det intresse som finns på universiteten i Sverige och Danmark för romanska språk, och särskilt då för det rumänska språket. På ett utmärkande sätt odlas detta intresse för rumänska språket oavbrutet av universitetslektor Coralia Ditvall som medverkar till att sprida rumänskan i de skandinaviska länderna. Tack vare Coralia Ditvall samlas årligen på Marstrand lektorer och professorer i rumänska språket, lingvister, översättare och specialister inom media och kommunikation, prestigefyllda namn från hela Skandinavien. Förutom dessa finns också de rumänska deltagare som bjudits in till konferensen.

Utifrån detta skulle man kunna anta att det finns två perspektiv i volymen. Ett nordiskt eller skandinaviskt med synpunkter som rör den rumänska kulturen och ett annat som följaktligen torde vara ett rumänskt perspektiv på skandinaviska kulturella och i synnerhet litterära aspekter. Emellertid finns det inte något som berättigar en sådan hypotes. Det är inte tillhörandet till ett av dessa båda geografiska områden som gör att perspektiven går isär (eller förenas!), utan tvärtom intresset för något av dessa båda områden, oavsett forskarnas härkomst. I volymen behandlas i lika stor utsträckning - av rumäner och skandinaver - problem som har att göra med språkets struktur eller med undervisning i överensstämmelse med aktuell tillämpning, förmedlandet av publikationer ämnade att sprida nordisk kultur inom ett rumänskt område, konferenstolkars erfarenheter, allmänna uppslag eller fokuseringar på nationstillhörighet, identitetsproblem eller kulturhistoria. Inte heller saknas förstås mer specifika aspekter som visar på intresset för lexikografi, lingvistiska utbyten, terminologi eller typografisk yrkeserfarenhet.

Innehållets mångfald speglar mångfalden av problematiseringar vilka är lika intressanta för rumäner som för skandinaver.

Vi vill framhålla att denna sammanställning av problemställningar framförallt förekommer i volymens första del eftersom inte alla författare som medverkar här deltagit direkt i den årliga konferensen för de rumänska sektionerna i Lund och Köpenhamn.

Deras medverkan i denna volym legitimerar till viss del att bidragen från en sammankomst hållen i skandinavisk miljö publiceras i en rumänsk tidskrift med europeisk standard och spridning. Tidskriften *Studia Universitatis Babeş-Bolyai.Philologia* bekantgör ett skandinaviskt område med rumänska forskare

FÖRORD

medan den på samma gång öppnar dörrar för skandinaviska forskare mot den rumänska kulturen.

För denna dialog mellan olika kulturer står vi i tacksamhetsskuld till den filologiska institutionen på universitetet Babeş-Bolyai i Cluj-Napoca och redaktionen för publikationer som samlat bidragen från konferensen 2007. Vi uttrycker följaktligen vårt varmaste tack till alla dem som möjliggjort denna dialog.

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ONLINE TEACHER – STUDENT: NEARER ON IT-BASED COURSES THAN ON CAMPUS-COURSES?!

CORALIA DITVALL¹

(Communication at Lund University-Romanian Annual Conference, May 18-20, 2007, Marstrand, Sweden)

SUMMARY. In this paper we will try to develop one of several aspects, mentioned within our research-work on e-learning and language-teaching, that seems to make online-courses positively different from campus-courses – namely the fact that studying at distance brings the student nearer the teacher!!

Key words: Romanian studies, e-learning-based pedagogical system

1. Introduction

The section for *Romanian studies* at Lund University Sweden seems - nearly 10 years after the online-start (in 1999) - to be still the only one of the language sections, in Northern Europe, to have adopted a highly modern and innovative pedagogical method, based on information technology, namely e-learning, in developing and running the *entire* curriculum-programme (i.e. all the four levels), at distance, i.e. exclusively by means of internet. (Ditvall, 2006-3).

Once online, the interest for the *Romanian studies* increased rapidly, and is higher and higher every year. The question is: *Why this increase?*

2. A broken paradox

The title of this paper is undoubtedly a paradox: attending *distance-courses* brings the student *nearer* the teacher?! It *is* a paradox until you experience the e-learning system - then, from the very beginning, you come to discover that the *distance does not exist*.

In this paper we will focus on two important items that help us to certify that the paradox comes to loose validity, namely 1) the geographic area vs the access at the curriculum and 2) the direct interactivity between the teachers and the students.

2.1. No geographic distance

At the Romanian section, neither the teachers nor the students live in Lund (except one or two students registered every other/third/fourth year). The teachers

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live in different places in Sweden, one of them lives longer periods in Romania. The students are spread all over Scandinavia (i.e. the whole of Sweden, Denmark and Norway) and the rest of Europe (Belgium, Bulgaria, France, Germany, Italy, Luxembourg, Rep. of Moldova, Romania etc), the USA and the rest of the world – i.e. countries where Scandinavians attending our courses are temporarily or permanently settled down (Ditvall, 2001 & 2004).

Yet the number of the registered students at Romanian increases every year! From the very start of online-education the number increased rapidly - from about 3 students every other or third year, before 1999 (when online-Romanian started) to about 120 students per term, every year, after 1999 (Ditvall 2006-2). Before 1999 only one level could be attended, after 1999 the whole education programme can be attended, every year, every term - all the four levels are running in parallel.

How is this evolution possible? The answer is: the e-learning-based pedagogical system.

Thanks to this modern way of teaching and learning, on an IT-based course the students can log in and attend the whole course-material from all over the world, at any time.

The student has access to all the lecture series, other type of lessons, exercises and keys, the audio-files – the whole curriculum is there. The time-table helps the student follow how the course runs, namely tells him which module runs which period and which lessons-exercises he must go through which week.

The student may even work (i.e. study), within the course, at an individual level - in case he is delayed with the start of a certain module, without “disturbing” the other students who study according to the ordinary schedule.

The student can log in the course at any time of the day and night, throughout the term – he can follow the discussions that had been held in the different forums, from the beginning of the term and he can go through questions and answers that have arisen during the last time.

Taking the exams is not a problem either! The exams held orally are taken directly via the computer with help of a webcam. The written exams take place at other universities in Sweden – our student is given the possibility to take the exam when other students at that university are taking theirs - and the students living in the rest of Europe take their exams at the Swedish Embassy in their country.

Thus, the geographical distance is no impediment neither in “coming into the classroom”, attending the lectures, nor in taking the exams.

Compare:

- To attend a campus-course the student must live in the university-town².
- *This* was the big problem of the Romanian section before 1999 (when online-courses started): there were only 3-5 students (who lived in Lund) every other or third year. The section was on the way to be abolished.

² Including the surroundings.

2.2 Access in continuum

On the other hand, we may explain the increasing percentage of students – apart from the non-existent-geographic impediments – by the fact that our courses with their whole curriculum are easily accessed – i.e. the course-material is “there”, once you logged in. This material consists of lectures, text-reading lessons, glossary-lists, exercises, audio-files and key to the exercises. Even the material in the discussions-forums is “there” – for being consulted during the whole term.

The student has the entire course “there”. And it “remains there” – while the course runs – that is the student can at any time go back to the entire lectures, verify details, solve previous-exercises, practice for example pronunciation, glossary a s o - in continuum.

It seems that “the teacher is nearby, the whole time when the course runs”.

Our learning-model is not connected to the factors of time and room. Everything is reachable once the student has logged in.

Compare: To mention only a few examples:

- In a campus-course the student has to write down, himself, the notes when attending a lecture – the notes could often turn to be incomplete (the lecturer “runs through” his lecture too fast, etc).
- The teacher’s scratch-points on the blackboard, during a lecture or a lesson may often, in the student’s personal notes, lack complete information (many details may “disappear” from the mind when the student goes through them a week after).
- When practising reading proficiency or pronunciation in the classroom (laboratory-exercises are not included) only a few students may practice (due to lack of time), and then maybe only once every other week.
- Finally, the items above are absolutely impossible to obtain if the student was absent that day or a longer period and does not have any “school-mates” either to ask for help).

2.3 Direct interactivity with flexible limits

Above we presented, shortly, the “indirect” so called “passive”³ interactivity between the teachers and the students, by means of the discussion-forums. There the students write questions and comments every day. The teachers answer as well every day. Thus they “contact” each other with a high frequency.

The interactivity by means of mails is another type of “indirect, passive” way of communication – which we, in general, do not recommend. We hope that we can develop this aspect at another occasion.

Below we will insist on the “direct” so called “active” interactivity – our latest innovative point within online-pedagogy. To communicate directly via the computer is maybe not an innovation, nowadays, but what is new in our research is

³ Terms like “Indirect-passive, direct-active” belong to our terminology.

the way in which we have planned the interactive studying-schedule, namely including a high rate of flexibility - nearly without borders!

The evolution of the Romanian studies, i.e. the steadily increased number of students, may be explained (apart from the item of no geographic distance) also by the result of our latest experiment (from spring-term 2007), namely the direct – live - interaction between the teacher and the student by incorporating the “skype-programme” in our courses. An easy programme to install – easy to handle and moreover a programme that runs completely freely, which is of major importance for our students.⁴

The web-camera can be afforded at the low price of about 30 euros.

The direct interaction and the feed-back take place regularly, at a flexible level. The teacher establishes the scheme – the days, the hours and the intervals (usually on 20 minutes), and gives clear instructions on how the student is expected to book time for “his” interval.

The interaction-interval is meant to be used for different purposes (given in the instructions), namely 1) for general questions about details in the course, 2) for the weekly training (in reading proficiency, pronunciation, grammar etc), 3) for the previous-exercise-training or 4) for remaining-exams (exams that should have been done at a former limit of time).

The student chooses, himself, and indicates when he books up his interval, the item he wants to do when he speaks with the teacher.

An example of a skype-interaction-day:

- Student 1, from Stockholm, wants to do oral proficiency-training from the running lesson (i.e. the lesson of the week).
- Student 2, from Malmö (South Sweden), wants to do grammar-training from last-week-lesson.
- Student 3, from Oslo (Norway), wants to take rest-exam in the text-reading-module.
- Student 4, from Brussels (Belgium), wants to train conversation.
- Student 5, from Sofia (Bulgaria), wants to take rest-exam from last year in grammar.
- Student 6, from Copenhagen (Denmark), wants to have a question-answer moment, about the course in general (he has been absent some period)
- a s o

Depending on the “purpose” of the interaction-interval we can work with one student per interval as well as with several students⁵ at the same time - in the latter type of interval all students are sharing of course the same motive for interaction (the first student who books the interval and his wish/motive shows the others what is going to happen in this interval).

⁴ We, the teachers, can develop and include highly sophisticated IT-programmes to make our courses very up-to-date, with the latest version of technical equipment – but *this* is not the aim of online-courses. Our aim must be to use the technical items which can be afforded by our students.

⁵ We have had up to 4 students - the programme allows up to 9 students.

The teacher sees his students, and viceversa, by means of the webcam.

We have access to a “white”board – where the teacher makes comments, where different kinds of instant exercises can be done and where the students can train the instant language-production, in writing directly on the whiteboard (without consulting dictionaries, grammar-books, etc). The positive aspect of this type of interaction – by means of the whiteboard - is the fact that the student (and the teacher) has access to the material on the whiteboard 60 days back – easy, for the student, to go on practising the interaction-items – easy, for the teacher, to know what has been done at the previous skype-sessions.

Thus, the students have great flexibility and independence in choosing the interaction-day and time and the item they want to work on. They have – live - access to their teachers the whole week, in general two days per teacher (three teachers will cover the whole week of direct interaction!!). They can even decide themselves when they want to take remaining-exams (if they did not have the possibility to do that within the ordinary exam-week).

Compare: At a campus-course:

- you “see” the teacher in the classroom maybe twice a week, around 2 hours
- for the most the student has no individual contact with the teacher, at the class
- the teacher has his/her audience, 1-2 hours a week (long queues are often an impediment...)
- the student has no chance of getting a direct feed-back at different items
- attending the exams is a big problem – rigid forms of booking time, the exams take place at a certain date without conciliation.... The student may often have exams at several disciplines in the same time!?! – this is a problem.

3. Conclusion

On the IT-based course the teacher and the student reach each other, independently of geographic and time factors. They speak to each other, they see each other, they can work with each other – even in writing, by means of the “white”board. The student can practice by means of the exercise-keys or the audio-files (that is with the teacher’s feed-back), at an individual level, throughout the week, throughout the term. The teacher is steadily there, “beside” the student. There is no distance!

Maybe *the Romanian case* is the start of a new educational thinking, a new pedagogical mentality in language-education for a modern society?! (Ditvall, 2006-2).

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SE, ET ORD UTEN INNHOLD?

ARNE HALVORSEN¹

ABSTRACT. The aim of this lecture is to present to those who are more or less newcomers to the field of grammar, in a hopefully pedagogical way, a more unified description of the so-called reflexive Romanian pronoun *se* than the one usually found in grammars, which often place too much emphasis on the fact that it "reflects" the grammatical subject. It will be argued that the pronoun's main function is to change the basic structure of a verb, a change that affects both the syntactic functions and their semantic roles.

Key words: Romanian *se*, verb valency, semantic roles

1. Innledning

Målet med dette foredraget er å gi en mer helhetlig beskrivelse av det refleksive rumenske pronomenen *se*. Jeg vil begrense beskrivelsen til det eneste "virkelige" refleksive pronomen i akkusativ, tredje person, og holde utenfor dativformen (*își*) og de personlige pronomenen i første og annen person, som jo også kan brukes refleksivt.

Når jeg har gitt foredraget tittelen "*Se, et ord uten innhold?*", er det delvis for å prøve å vekke nysgjerrighet for et grammatisk emne, men også fordi man kan lure på hva som er pronomenets semantiske bidrag i visse kontekster, som f. eks. i (1):

- (1) **Frunzele (se) îngălbenesc**
'Bladene gulner'

Med eller uten ordet *se* synes setningen å bety nøyaktig det samme.

Man kan også stille spørsmålsteget ved den rolle *se* spiller når pronomenet er fast bestanddel av et verb, som ved verbene **a se căi** 'å angre', **a se teme** 'å frykte'. I tradisjonell rumensk grammatikk kalles slike verb *verbe reflexive obligatorii sau inerente*, men vi kan vel være enige om at de er refleksive bare når det gjelder form, for sett fra et synkront standpunkt fremstår *se* som et element uten innhold.

Skal vi kunne finne ut hvilken rolle *se* kan ha, må vi utelate eksempler av den typen vi nettopp har omtalt og konsentrere oppmerksomheten om tilfeller hvor pronomenet spiller en mer aktiv rolle i setningsstrukturen.

2. Refleksiv, et dekkende navn?

Som kjent kalles *se* refleksivt pronomen fordi det har – skal vi si som innhold – å reflektere, å vise tilbake til subjektet i den setningen det opptrer i, som i eksempel (2):

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- (2) **Ion se spală**
'Jon vasker seg'

I slike tilfeller synes navnet *refleksivt pronomen* å være helt dekkende for bruksmåten. Men det kan man neppe si om den rolle *se* spiller i eksempler som (3) og (4):

- (3) **S-a furat un papagal care știe două limbi.**
'Det er blitt stjålet en papegøye som snakker to språk'
- (4) **Se merge prea rar la cinema în ultimul timp.**
'Folk går for sjelden på kino nå for tiden'

Om *se* i (3) kan sies å vise til subjektet *un papagal*, er det i hvert fall snakk om en annen type henvisning enn i (2), og i eksempel (4) fins det overhodet ikke noe element som *se* kan vise til.

Det det gjelder, er å finne fram til en beskrivelse som bedre ivaretar de forskjellige bruksmåtene *se* kan ha, slik disse er illustrert gjennom eksemplene (2), (3) og (4).

3. Noen nødvendige tekniske termer

La meg først definere noen tekniske termer, svært så elementære vil nok noen si, men nødvendige for å forstå hva dette dreier seg om:

En kan beskrive et verb på forskjellige måter, men en definisjon som er relevant i denne sammenheng, er å si at et verb er det fundamentale elementet i en setning, og som bestemmer hvor mange nominale ledd det kan ha knyttet til seg (slike ledd kalles *komplementer*, *utfyllinger* eller *valensledd* i forskjellige beskrivelsesmodeller). Et verb som knytter til seg to nominale ledd (substantiver eller pronomen), som **a spăla** 'å vaske', kalles toverdig eller bivalent. Det vil ha et *subjekt* og et *objekt*, som i eksempel (5):

- (5) **Ion spală mașina.**
'Jon vasker bilen'

I tillegg til å tilskrive de to nominalleddene syntaktiske funksjoner må vi kunne beskrive hvilke semantiske roller eller deltakerroller de har. For vårt formål er det tilstrekkelig å skille mellom rollen å være *agens*, definert som "den som utfører en handling eller som er årsak til at noe skjer", og rollen som *ikke-agentiv* eller *patiens*, definert negativt som "den person eller ting som ikke er årsak til at noe skjer, men som er direkte involvert i verbalhandlingen på en annen måte". I vårt eksempel (5) er **Ion** ikke bare det grammatiske subjekt, men også agens; **mașina** er ikke bare grammatisk objekt, men har også rollen som patiens. Det kan virke som om dette er en unødvendig fordobling av termer, men som bekjent er det bare i tradisjonell grammatikk at subjektet defineres som "den person som utfører handlingen". Å være den aktive deltaker i verbalhandlingen er bare én av de mange forskjellige interpretasjoner det grammatiske subjektet kan få, avhengig av verbet.

Resultatet av å erstatte ordet **mașina** med det refleksive pronomen *se*, som i eksempel (2), kan beskrives på forskjellige måter. En kan f. eks. si at i slike tilfeller relaterer subjekt og objekt til samme størrelse, eller at de har samme referent og altså er koreferensielle. Atter andre beskrivelsesmåter er å si at *se* har

som antesedent subjektet i setningen eller at pronomenet er bundet av subjektet. Her skal vi si at resultatet av å bruke det refleksive pronomen er å redusere antallet referensielle områder (eller referenter) fra to til ett, ettersom de to ordene **Ion – se** utvilsomt utgjør ett referensielt område.

En slik sammenslåing av to referensielle områder til ett er ikke mulig ved alle verb. Ved enkelte verb viser nominalleddene obligatorisk til to forskjellige referensielle områder, slik som f. eks. verbet **a amenința** 'å true'.

La oss nå se hvordan pronomenet *se* fungerer sammen med verb fra forskjellige kategorier: Først såkalte *transitive* verb, som har altså har to ledd knyttet til seg og er toverdige–eller bivalenteog så *intransitive verb*, som har ett nominalledd og kalles enverdige eller monovalente.

4. Transitive verb

La oss først se på tilfeller hvor subjektet har en personreferent.

Ved transitive verb (som kan ha enten *direkte* eller *indirekte* objekt), kan det refleksive pronomen bli erstattet av andre typer nominalledd, som vist ovenfor (**Ion se spală/spală mășina**), eller av null, som i (7), sammenliknet med (6):

(6) **Ion se gândește tot timpul la ea.**

'Jon tenker hele tiden på henne'

(7) **Ion a gândit correct.**

'Jon har tenkt riktig'

I slike tilfeller blir verbet intransitivt uten *se*, og det er en relativt subtil forskjell i betydning mellom de to bruksmåtene (**a se gândi** = å rette tanken mot, **a gândi** = å vurdere). I andre tilfeller er forskjellen i betydning klarere, samtidig som nærvær av det refleksive pronomen på samme måte endrer verbets konstruksjon, sml. (8) og (9):

(8) **Ion se așteaptă la un rezultat bun.**

'Jon forventer seg et godt resultat'

(9) **Ion așteaptă pe cineva.**

'Jon venter på noen'

Med et flertallssubjekt kan *se* fylle en annen rolle enn det vi har sett til nå, som i (10):

(10) **Ionescu și Popescu se salută.**

'Ionescu og Popescu hilser på hverandre'

Denne bruksmåten, kalt *resiprok*, er ganske forskjellig fra den refleksive, for det er jo ingen referensiell identitet mellom subjektet og pronomenet *se*: Logisk sett har vi ikke **Ionescu – se + Popescu – se**, men et gjensidighetsforhold i den forstand at referentene for subjektet er etter tur agens og patiens, dvs. **Ionescu îl salută pe Popescu + Popescu îl salută pe Ionescu**. Så hva er rollen til *se*? Åpenbart den samme som den vi har sett i eksempler av typen (2) **Ion se spală**, nemlig den å redusere de referensielle områdene til ett, et område hvor de to deltakerne virker på hverandre. I parentes kan det noteres at visse verb har så å si en resiprok betydning innebygget, noe som gjør at et resiprokt pronomen ikke føles

nødvendig og kan utelates, jfr. engelsk og norsk 'They kissed/de kysset' og kanskje også rumensk **Au pupat?**

Før vi forlater bruken av *se* sammen med en personreferent, må det nevnes at det er ikke alltid entydig hvilken rolle pronomenet spiller. En setning som (11), med verbet **a înroși** 'å gjøre/bli rød', er i prinsippet tvetydig, en tvetydighet som bare konteksten kan oppløse:

(11) **Ana se înroșea.**

Dersom en putter setningen i konteksten **/în fiecare seară/**, vil den mest sannsynlige tolkningen være 'Anna sminket seg hver kveld', altså et vanlig tilfelle av koreferensialitet mellom subjekt og pronomen. Men i en kontekst som for eksempel **/ori de câte o întrebam ceva/** er det mer sannsynlig at tolkningen vil være 'Anna rødmet hver gang jeg spurte henne om noe', hvor *se* markerer at subjektet ikke har en agentiv rolle. Verbet blir å oppfatte som intransitivt, synonymt med f. eks. **a deveni roșu** 'bli rød/rødme'.

Det fins i det hele tatt godt med unntak fra den "regel" som sier at *se* til et transitivt verb med et substantiv med personreferent som subjekt i det minste kan ha én tolkning hvor subjektet oppfattes som agens. Ta for eksempel det transitive verbet **a naște** 'å føde'. Hvis vi følger tolkningsmønsteret i eksemplene **Ion a spălat mașina** → **Ion s-a spălat**, ender vi opp med følgende ukorrekte tolkning:

(12) **Maria a născut un băiat** → **Maria s-a născut**

'Maria fødte en gutt → Maria fødte seg selv'

ukorrekt fordi Maria selvfølgelig ikke er agens, men snarere den passive deltaker i handlingen å føde.

Nå til tilfeller hvor subjektet ikke har personreferent, men tvert om en referent uten handlekraft og vilje, som **cămășile** 'skjortene'. Hva skjer om vi erstatter agenssubjektet **Ion** i (2) med et slikt ord?

(13) **Cămășile se spală la 40 de grade.**

'Skjortene vaskes på 40 grader'

Nok en gang kan vi observere at det grammatiske subjektet (**cămășile**) og pronomenet *se* utgjør ett referensielt område. Ved siden av å angi at det er en reduksjon i antall valensledd, understreker *se* at referenten ikke kan tolkes som den aktivt handlende, men som patiens.

Som kjent kalles denne konstruksjonen refleksiv-passiv (*reflexivul-pasiv*) i rumensk grammatikk. Karakteristisk for konstruksjonen er altså at agens for verbalhandlingen ikke er uttrykt. Før jeg går videre, vil jeg gjerne sitere en liten dialog jeg fant på Internett for en stund siden:

"- Salutare, știe cineva dacă s-au afixat rezultatele la admitere master psihologie?

- Bineînțeles că nu s-au afixat! Am sunat să întreb ce se mai aude și ...mare atenție ce răspuns de român cretin tipic: nu se știe. Cum adică nu se știe?? De ce folosim reflexivul? Nu mă pot obișnui cu mentalitatea asta imbecilă și păguboasă a românului."

Omtrentlig oversettelse:

"- Hei, vet noen om resultatene for opptak til master i psykologi er blitt slått opp?

- Selvfølgelig er de ikke blitt slått opp! Jeg ringte for å høre om det var noe nytt, og her har du det typisk rumenske idiotiske svaret: En vet ikke. Hva betyr det, en vet ikke? Hvorfor bruker vi reflektivt? Jeg kan ikke venne meg til denne tåpelige og ulykksalige mentaliteten hos rumenerne."

I forbifarten kan vi notere at vår "refleksivhater" reagerer voldsomt mot pronomenet *se* i **nu se știe**, men finner det helt i orden å bruke det selv i **nu s-au așizat** og **ce se mai aude**. Andre vil syns at dette er en meget praktisk konstruksjon, som gir mulighet for å unnlate å si hvem utøveren av handlingen er. Men en kan uttrykke agens – selv om det er relativt sjelden det gjøres – ved å bruke et preposisjonsuttrykk som i:

(14) **Cartea se citește de către studenți**

'Boka leses av studentene'

(15) **Se știe de toată lumea**

'Alle vet det'

I andre tilfeller er agens bare implisitt, antydnet gjennom f. eks. et måtesadverbial som i (16):

(16) **Astfel de cărți se citesc cu plăcere**

'Slike bøker leses med glede'

hvor leddet **cu plăcere** selvfølgelig henviser til den utrykte utøveren av handlingen å lese.

5. Intransitive verb.

Som kjent er intransitive verb også kalt monovalente verb fordi de opptrer med bare et nominalt ledd, nemlig subjektet, som ved f. eks. verbet **a merge** 'å gå'.

Hva skjer når slike verb får knyttet til seg et reflektivt pronomen? En slik konstruksjon kalles i rumensk grammatikk *reflexiv-impersonal*, og er relativt frekvent, som i følgende eksempler ((4) gjenopptas her som (17)):

(17) **Se merge prea rar la cinema în ultimul timp**

'Folk går for sjelden på kino nå for tiden'

(18) **Se merge mult până acolo**

'Det er langt å gå dit'

I oversettelsene til norsk har jeg brukt 'folk' i eksempel (17) og formelt subjekt 'det' i (18), noe som er nødvendig fordi skandinavisk ikke kjenner en slik konstruksjon uten subjekt. Konstruksjonen har opptatt lingvister opp gjennom årene, og noen har foreslått å betrakte vårt pronomen **se** som et subjektspronomen i 3. person for på den måten å tilpasse slike setninger til det "normale" mønster *subjekt + verb*. En annen forklaring – som er å foretrekke – er at pronomenet *se* nok en gang har som funksjon å markere en endring i et referensielt område, mer presist å angi at subjektet er tomt eller spesifisert.

Konstruksjonen kalles som nevnt *upersonlig*, men det ville være mer dekkende å kalle den "*a-personlig*", for et verb som for eksempel **a merge** impliserer et

personssubjekt, men som i slike tilfeller er av meget generell art eller helt uspesifisert, enten fordi utøveren av handlingen er ukjent eller fordi den talende ikke føler behov for å spesifisere hvem han/hun er. I visse kontekster kan en betrakte den logiske tøver av handlingen som en slags ekvivalent til det skandinaviske pronomen 'man/en', som i (19). I andre eksempler synes den logiske agens å være nær et 'vi', som i (20):

(19) **Nu se poate dormi cu atâta zgomot**

'En kan ikke sove i dette bråket'

(20) **Ieri s-a ajuns târziu acasă**

'I går kom vi sent hjem'

Tolkningen er avhengig av i hvilken grad den som taler, føler seg delaktig i den situasjonen som beskrives. En kan stå utenfor som en ren observatør og ytre:

(21) **S-a plecat târziu**

'Folk dro sent'

(22) **Se dormea pe jos**

'Folk sov på gulvet'

eller tvert i mot beskrive en situasjon en selv tok del i, og da kunne naturlige oversettelser være:

(21') **S-a plecat târziu**

'Vi dro sent'

(22') **Se dormea pe jos**

'Vi sov på gulvet'

Uansett er det viktig å holde fast ved det som er det karakteristiske ved denne konstruksjonen, nemlig å la subjektet/agens være uttrykt.

6. Kort tilbake til transitive verb

Underlig nok forekommer denne a-personlige konstruksjonen også ved verb som har en transitiv bruk, som verbet **a cumpăra** 'å kjøpe':

(23) **Nu se putea să nu se cumpere**

'Det var ikke mulig å ikke kjøpe'

Betingelsen for en slik *se*-konstruksjon er at det transitive verbet brukes uten objekt, i såkalt absolutt bruk. Her har pronomenet også som funksjon å slette subjektet slik at det bare er uttrykket for handlingen som gjenstår. Men det betyr heller ikke her at forestillingen om en tøver er fullstendig fraværende. Som ved reflexiv-passiv kan et adverbialledd antyde nærværet av en agens, som i (24):

(24) **Se mănâncă fără poftă**

'Folk spiser uten appetitt'

7. Konklusjon

Som vi har sett, kan pronomenet *se* "reflektere subjektet", men det er bare én – og kanskje ikke den viktigste – av de forskjellige rollene det kan ha i en setning. Det er betydelig mer dekkende å si at dets hovedfunksjon er å markere en endring i et verbs grunnstruktur, en endring som gjelder både de syntaktiske

funksjonene og deres semantiske roller: Avhengig av hvilket verb pronomenet står til, kan det markere 1) at subjektet er både agens og patiens, 2) at komponentene i et "dobbelte subjekt" etter tur er agens og patiens, 3) at subjektet er patiens, 4) at setningen ikke har subjekt og heller ikke agens, og endelig 5) at setningen verken har subjekt eller objekt og følgelig verken agens eller patiens.

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**ACTA COMPARATIONIS LITERARUM UNIVERSARUM (ACLU).
THE NORDIC CONTRIBUTION¹**

SANDA TOMESCU BACIU²

ABSTRACT. The paper presents some aspects regarding the reception of Nordic cultures in the pages of the journal of comparative literature *Acta Comparationis Literarum Universarum*, edited by Hugo Meltzl and Samuel Brassai in Transylvania in the 19th century. The analysis of the issues reveals the preponderance of the Icelandic culture within the Nordic perspective, and identifies reasons for the editors' unequal preferences for various Nordic cultures.

Key words: intercultural, Nordic literatures, translation, comparative literature

“*Tidskrift för jmförande literatur*” is one of the titles, in ten and subsequently, 12 different languages, of the first journal of comparative literature worldwide, which started to be published in Transylvania in January 1877. The founder members and editors were Hugo Meltzl and Samuel Brassai, two personalities sharing a modern view of interculturalism and direct reception of literatures in their original language. In this context, the Swedish title - spelled as above - is picked up in order to illustrate the Nordic contribution to the journal.

Two years after the first issue of the journal was published, the editors modify the main title of the journal from Hungarian, *Összehasonlító Irodalomtörténelmi Lapok*, into Latin *ACTA COMPARATIONIS LITERARUM UNIVERSARUM (ACLU)*, as they considered that, in this way they gave the journal an increased international and scientific character. They also maintained all the other eleven titles, in eleven different languages. Thus, *Acta Comparationis Literarum Universarum* defines itself as being „eine polyglotten halbmonatlichen Organ” in which „im rein-literarischen Verkehr der *Acta Comparationis Literarum Universarum* alle Sprachen der Welt gleichberechtigt (sind)” (ACLU, 1880: 1258). Until the end of its publishing period, the journal preserved the titles in twelve foreign languages.

¹ Published for the first time in German in Fassel, Horst (ed), *Hugo Meltzl und die Anfänge der Komparatistik*, Franz Steiner Verlag Stuttgart, 2005, vol. 16, pp. 91-95

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The place of Nordic literatures of Germanic origin

In this article, we do not intend to make a presentation of the journal, but we would rather point out the place of the Nordic literatures, of German origin (Icelandic, Swedish, Norwegian and Danish) in this journal, in an age when the cultural relations between Northern Europe and South-Eastern Europe were not at hand, because of the geographical distance and because of a modest tradition in this domain. All the more praiseworthy is the performance of the journal editors who included in the imposing list of international collaborators - *Ständige mitarbeiter / Socii operis* – not only well known names of the Icelandic culture, but also important experts in Scandinavian studies from the United States.

The super-national character of Meltzl's program, makes him our contemporary: in three programmatic articles that he published in the journal during 1877 and 1878, he outlined the interconnection between cultures in an international context. In these articles he defines the journal as a *polyglot body* „polyglottes Organ” circumscribed to the “*Polyglottismus*” theory - „Des Prinzips des Polyglottismus” (ACLU, 1877: 307 ff).

If previously, the translation theory referred to an indirect circulation of the cultural values, the principle of *polyglottismus* implies, according to him, a direct circulation of literature, published in the original language, in a journal of comparative literature: „Sämtliche Artikel unseres polyglotten Organs (sogleich eines solchen für *höhere Übersetzungskunst* und sogenannte *Weltliteratur*) sind Original-Artikel, deren Nachdrucks-, bez. Übersetzungsrecht vorbehalten bleibt.” (ACLU, 1878: 880), as it appears on the title page the journal.

In his last programmatic article - „*Vorläufige Aufgaben der vergleichenden Litteratur. III Der Dekaglottismus*” -, Meltzl outlines the *Decaglottismus* theory: If the contemporary character of his theory of “*Polyglottismus*” may not be invalidated, it is not the same for his theory on “*Decaglottismus*” that distinguishes arbitrarily ten *cultivated* literatures from the European space, the other European literatures being considered only *folk* literatures. (ACLU, 1878: 494)

When referring to Nordic literatures, Meltzl's inaccuracy consists in the separation of the Icelandic, Norwegian, Swedish and Danish literatures, and their extraction out of their common cultural context. For example, Meltzl quotes the *Edda* as a product of the Icelandic culture (ACLU, 1878: 494), which determines him to consider the Icelandic literature among the world literatures, while he is forgets an essential fact: the *Edda* is a creation of the Icelandic – Norwegian common literature, known under the name of Old Norse literature / „*norrøn litteratur*”, in a time when there used to be a linguistic and cultural Icelandic – Norwegian common space, as the Norwegian Vikings colonized Iceland.

In the above-mentioned article, Meltzl regards the Danish and Norwegian literatures as isolated. According to him these two literatures would differ from other modern literatures as they still preserve, what he calls, a „romantischer Färbung”. He concludes that the *romantic* literatures belong to certain smaller

European nations („kleineren Volksstämmen Europas“). This observation does not seem so accurate as far as Icelanders, Norwegians, Swedish and Danish are concerned, as they constitute more or less a linguistic and cultural unity.

Still, in his third programmatic article, Meltzl diminishes the marginalization of the Danish and Norwegian literatures as opposed to the Icelandic and Swedish ones, by incidentally accepting that there are peaks like Holberg in the Danish literature, or B. Bjørnson in the Norwegian literature. But he forgets Henrik Ibsen, who, in 1878, had already written *Peer Gynt*:

„(Ohnehin lässt sich hier die Grenze zwischen superiorem Romanticismus u. schwachen Anfängen des Classicismus gar schwer ziehen u. namentlich die dänische, norwegische, /.../ Literatur haben sicherlich schon einzelne Erscheinungen respektabler Selbständigkeit, ja selbst classische Anklänge aufzuweisen. Man braucht bloss an die glänzenden Namen: Holberg, Bj. Bjørnson, /.../ u. a. zu erinnern“. (ACLU, 1878: 498)

Despite these imperfections related to the Nordic literatures in the theoretic and programmatic context of Meltzl's "decaglottismus", the journal has its merits in presenting the Nordic literatures by renowned collaborators.

Socii operis/Ständige mitarbeiter

No doubt that the distinguished representation of the Icelandic literature, in the context of Nordic literatures, is due to the Icelandic collaborators of the journal: Steingrímur Thorsteinsson, teacher and man of culture, and Matthías Jochumsson, reader and editor of the daily paper *Thjóðdörfur*, both of them from Reykjavik.

The Norwegian, Danish and Swedish literatures are especially represented by the materials of Professor Rasmus Anderson, teaching Scandinavian languages and literatures in America: "Professor der Skandinavischen Sprachen und Litteraturen an der Wisconsin-University in Madison , (Amerika V. St. Wisconsin), and Viktor A. Öman from Örebro, Sweden, known for "*Allehanda för folket*".

Matthías Jochumsson (1835-1920), theologian, served as Lutheran priest in different areas in Iceland. He also lived in England and in America. Jochumsson wrote religious poetry and he published the daily paper *Thjóðdörfur*, a promoter of the national independence cause. Jochumsson is known in Iceland especially as a prolific translator of W. Shakespeare, which explains his interest in the collaboration with *Acta Comparationis Literarum Universarum*, where he publishes translations of Icelandic folk literature.

Steingrímur Thorsteinsson (1831-1913), poet, representative for the late romanticism of Icelandic literature was also translator, editor and teacher. Since 1872 he was teacher and from 1902 headmaster at the Reykjavik High School until the end of his life. His activity as a translator goes beyond his activity as a poet, being considered one of the best Icelandic translators of the last half of 19th century in Iceland, as he also translated the classic works of the world literature into Icelandic: *One Thousand and One Nights*, H. C. Andersen, Shakespeare, etc. He was a member

of the Icelandic Board, responsible for the translation of the Bible into Icelandic. He was also a member of the Board of Directors of the Writers Union in Iceland, and honorary member of the „Freies deutsches Hochstift für Wissenschaften” and „The New Shakespeare Society”. In recognition of Thorsteinsson’s activity, on his 80th anniversary, his biography, signed by J.C. Poestion, was published³.

Rasmus B. Anderson (1846 – 1936) came from a Norwegian family, a graduate of the Luther College, Decorah, 1866 and of Wisconsin University, 1885. He worked as a professor of Greek and Modern Languages, Albion (WI) Academy, 1866, and as Professor of Scandinavian Languages and Literatures at Wisconsin University; Between 1885 – 89 he was United States Minister to Denmark. Editor and publicist of “Amerika” since 1898, he was also the author of "Norse Mythology," "Viking Tales of the North," "America Not Discovered by Columbus," "*The Younger Edda*," "First Chapter of Norwegian Immigration, 1821-1840."

An outstanding contributor to *Acta Ccomparationis Literarum Universarum* is Svend Grundtvig (1824-1883), the well-known Danish ethnologist, professor at the University of Copenhagen, one of the sons of the famous Frederik Severin Grundtvig (1783-1872), the reformer of Scandinavian education.

The Swedish literature is present with the article written in English of Rasmus Anderson, from Wisconsin University, dated November 25, 1877 entitled “Tegner’s *Fridthjof’s Saga* in America”. The Swedish poet had been mentioned by Meltzl in his programmatic article *Der Dekaglottismus*. In the article’s notes, he comments on the translations of this poem published integrally in Sweden in 1882. Among the 20 translations of the poem that includes 24 cantos, we distinguish the translation into Icelandic made by Mathias Jochumsson, collaborator of the journal. The article makes reference to “Viking Tales of the North”, by R. B. Anderson, a thematic complex that includes the two sagas that inspired Tegnér, his biography and finally the English version of the poem, in the translation of George Stephen Anderson. The article was published in ACLU on 15 January 1878 (ACLU, 1878: 246-428). If the Swedish literature is present through the classic Tegnér, the Norwegian literature brings a significant romantic note, with the poem “*The Bridal Party on the Hardanger-Fjord* by Andreas Munch”. This poem is published in English under the signature of the same Rasmus Anderson. The translation is dated February 28, 1878. The introduction completes the national romantic context of the poem, inspired by the homonymous picture of the well-known Adolf Tideman, and then transposed on the music of the Norwegian composer, Halfdan Kjerulf. (ACLU, 1878: 490-492).

The column *Petite Revue Polyglotte* (earlier *Revue Polyglotte* and in the end *Bulletin*), symptomatic for the journal’s profile, often presents Nordic information and notes. Another column, *Symmikta*, seems to be more detailed and much more

³ Poestion, Joseph Calasanz: *Steingrímur Thorsteinsson : ein isländischer Dichter und Kulturbringer: mit sechzig übersetzten Proben seiner Lyrik und seinem jüngsten Portrait; eine Freundesgabe zum achtzigsten Geburtstag des Meisters*. München , 1912.

organized, with titles slightly modified from one issue to another: (a) Isländisch-Sizilianische Volkstradition im Magyararischen Lichte (ACLU, 1880: 1376-77), (b) Isländisch-Sizilianisch-Magyarische Volkstradition unter den Siebenbürger Sachsen (ACLU, 1880: 1532) or (c) «Der Abgetrumfete Freier» in der magyarische-isländisch-germanischen Tradition, (ACLU, 1880: 1585), all brought together under the generic title «Beitrag zur Vergleichende Litteraturkunde». The Icelandic folk poems are published in the original language side by side with their German translation, signed by Steingrímur Thorsteinsson, usually being marked «ineditum», as for example, «*Torghthula - Isländisches Jahrmarktslied - Ineditum*» (ACLU, 1880: 1377), characterized as “abweichende u. originellste isländische Version”, having a common prehistoric origin (ACLU, 1880: 1532), or «*Danzkvædi*», «*Isländische Tanzlied - ineditum*» (ACLU, 1880: 1570), or «*Thula - ineditum*», translated into German as „*Der abgetrumfete Freier*” (ACLU, 1880: 1585-1586).

The articles gathered under the title *Beitrag zur Vergleichende Litteraturkunde* conclude that there is a unity of the people, „der Consensus Gentium”, after comparing the Icelandic variants with the „siebenbürg.-sächs. Volksliedern”.

If the above-mentioned Icelandic examples have been marked “ineditum”, the Danish ballad sent to be published by the famous Danish ethnologist Svend Grundtvig is marked “UNICUM”: „*En mærkelig vise om de søfarne mænd - unicum*”, translated into English as “*A Wonderful Ballad of the Seafaring Men*”, dated Copenhagen University, March 12, 1880. A short note reads as follows: “The old Danish ballad is not only found on a single paper from the 17th century, but this paper is also in my possession (Svend Grundtvig’s). The Danish version was the most precise version kept, as it was the complete version, even though each version has its particularities.” (ACLU, 1880: 1355).

The approach to the Icelandic literature, more comprehensive compared to the other Scandinavian literatures, focuses more on the folk literature and on the theory of comparatism.

The publication of certain new or unique texts of the Nordic literature in the original language, and the contributions of prominent names of the Nordic culture (Steingrímur Thorsteinsson, Svend Grundtvig, Wilhelm Thomsen etc.) in the pages of *Acta Comparationis Literarum Universarum* reveal the outstanding role of this 19th century Transylvanian journal in the history of comparatism and interculturalism.

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FUNDERINGAR OM TOLKNING

TINA LUNDBERG*

ABSTRACT. A short text about languages, communication and interpretation, based on my own experiences as a conference interpreter at the European Parliament since 1995. After the latest accession round, the number of official languages at the EP has risen to 23, Romanian being one of them. Interpretation is provided to and from all these languages and although the system is extremely complex, it is working remarkably well, considering all the difficulties inherent in communication as such and even more so between languages and civilizations that might differ very much from each other.

Europaparlamentet är en (arbets-)plats som ständigt förändras i takt med att dess verksamhetsområde breddas och utvidgningarna fortskrider. Den senaste utvidgningen ägde som bekant rum den 1 januari 2007 och innebar att Rumänien och Bulgarien kom med som nya medlemmar i unionen. Det innebar också att antalet officiella språk steg till att nu omfatta 23 arbetspråk som det också tolkas till och från.

Till skillnad från många andra var det en ren händelse, slump kanske eller Försynen som gjorde att jag hamnade på tolkbanan. Det kanske kan te sig smått hädiskt att det vare sig var ett kall eller en livslång dröm att få bli tolk som låg bakom – jag vet att det finns sådana som har det – utan helt enkelt tillfälligheter. Fast språk och kommunikation har trots allt alltid intresserat mig, så kanske fanns det ett samband ändå.

Jag befann mig nämligen i ett sked då jag redan börjat byta yrkesinriktning, men hade flera olika varianter att välja mellan. När man ska fatta beslut, speciellt komplexa sådana som rör ens arbetsliv finns det så väldigt många faktorer att ta hänsyn till och vägas mot varandra: arbetsinsats som krävs för att nå målet, riskaversion – riksbenägenhet, tidshorisont, alternativa möjligheter, balans i förhållande till andra mål etc etc. Eftersom min utbildningsbakgrund som civilekonom lärt mig att det är förnuftigt att satsa på områden där man har en ”komparativ fördel” tänkte jag att jag skulle välja det alternativ där det var relativt sett svårast att komma fram. Det anordnades nämligen för första gången i världshistorien en konferenstolkutbildning vid Stockholms universitet hösten 1993 och lämplighetstestet hade givit vid handen att jag skulle kunna få börja där, om jag så önskade. Vad gäller villighet att ta risker låg detta val ganska långt ut på skalan för detta var hela ett år innan den högst ovissa folkomröstningen och den svenska inhemska tolkmarknaden var lika liten, som redan försedd med duktiga, erfarna tolkar som sedan 20 år tillbaka delade den sinsemellan. Svenskar är för övrigt också kända för att tycka sig kunna klara av alla internationella kontakter på ”English”, med varierande framgång bör tilläggas. Men den största risken

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av alla gick jag inte närmare in på, för den krävde hur som helst empiriska belägg för att kunna analyseras: Skulle jag klara av att arbeta som tolk? Skulle jag tycka om det? Och, vid närmare eftertanke, vad gick det egentligen ut på...?

Efter genomgången intensivutbildning och påföljande examen erbjöds en praktikperiod på Europaparlamentet hösten 1994, med start innan folkomröstningen, så osäkerhetsfaktorerna var fortfarande väldigt höga men ner till Bryssel kom jag och en handfull kurskamrater med mig. Största delen av praktikantkullen utgjordes av norskor, som så sorgligt fick ge upp sina tolkplaner då folket deras röstat nej. Att Sverige kom in med en hårsman kändes extra ironiskt, speciellt som så många av mina landsmän i efterhand ångrat att vi gick med. Men så är det ofta i politiken: det är den lilla marginalen, tungan på vågen, som kan ge stora effekter.

Såhär tretton år senare, varav tolv år som tjänsteman, kan man ju fråga sig vad jag har för intryck egentligen av mitt arbete och min arbetsplats, liksom min egen funktion i sammanhanget. För det första vill jag säga att jag tycker att tolkyrket är väldigt individuellt, trots att det utövas kollektivt och att det är det samlade resultatet som räknas. Eller kanske är det snarare så att det är själva upplevelsen av vad det egentligen innebär att vara tolk som varierar så mycket från individ till individ. Det är få yrken som ger utrymme för en så bred uppsättning personligheter och stilar, samtidigt som dessa också måste dämpas, om än inte helt suddas ut, i själva utövandet. Det är budskapet, inte den förmedlande budbäraren som är det viktiga. Men i detta arbete får man hämta inifrån sig själv alla man vet, kan, har ett humör, bearbeta och omvandla, överföra till målspråket på det sätt som just *jag* just *då* får ingivelse till. Budskapet är detsamma (förhoppningsvis!) men uttryckssätten skiftar.

Är ord nödvändiga för att kommunikationen ska kunna äga rum? Ja och nej. Ja, därför att de är, trots uppenbara begränsningar, det överlägset bästa redskapet som finns. Med rimlig tidsåtgång kan person A få kännedom om vad person B tycker och tänker tack vare att det finns ett kodifierat system, språket. Bin lär har ett mycket sinnrikt och komplicerat system för information genom vilket de kommunicerar med varandra. Det består av olika turer, svischanden och ja, danser i luften, som då begrips av alla. Med tanke på att vi inte alla besitter samma virtuositet eller rörlighet vad gäller en sådan fysisk informationsöverföring samt begränsningar vad gäller plats och rumslighet kanske vi ska vara glada över att vi har ord att tillgå.

Men ord har, som sagt, begränsad räckvidd, inte bara när man komplicerar processen genom att vilja översätta från ett språk till ett annat, utan dessa svagheter finns inbakade i språket som sådant. Även mellan personer som har samma modersmål uppstår missförstånd bl a därför att man inte med nödvändighet menar samma sak med ett visst begrepp. Även om det oftast finns allmänt godtagbara tolkningssätt av ett visst ord eller uttryck kan man aldrig vara helt säker på att alla uppfattar det på samma sätt. Vad man lägger i en definition beror så väldigt mycket på övriga kunskaper, tidigare erfarenheter, känslomässig laddning, politisk åskådning och annan livsinriktning etc. Vill man vara riktigt pessimistisk kan man hävda att ingen människa egentligen kan vara säker på att hon framgångsrikt kan

kommunicera med någon annan människa p g a det finns lika många definitioner och tolkningar av ord som det finns människor.

Men jorden snurrar runt ändå, samhället sjuder av olika uttryck för kommunikation, människor agerar *som om* kommunikation vore möjlig och åstadkommer en hel del, det kan väl inte bara vara ett sken?

Nej, därför att orden trots allt inte är allt. Till skillnad från våra vänner översättare har vi tolkar ytterligare ett värdefullt trumfkort, nämligen rösten. Mycket av det som i vanliga fall avspeglas i kroppspråket kan här läggas i rösten. Rösten, liksom ögonen, är väldigt avslöjande för vilket tillstånd en människa befinner sig i och är ett instrument i sig. Genom växlingar vad gäller emfas, frasering, hastighet, rytm, styrka och intonation får man ett helt register av uttryckssätt att spela på. Där ett ord kan vara tvetydigt, är rösten det inte. Inte ens när man begagnar sig av den något raffinerade avvikaren ironin. Och det är väl i detta som tolken i någon mån kan likställas med utövare av världens äldsta yrke: att penetreras av något främmande som man egentligen inte valt och som man inte alltid sympatiserar med. Samtidigt kräver yrkesetiken att alla – oavsett åsikt – görs lika trovärdiga, vilket innebär att man måste *vara* talaren, hur motbjudande denne eller denna än ter sig, Man får låna sig till det, men märk väl endast som språkrör. Det är som att tillfälligt besättas, dock utan att sinnet omtöcknas, för tanken är fortfarande fri. Det, om något, är väl demokrati, att alla får komma till tals, oavsett språkkunskaper och kunna garanteras så stor ”naturotrogenhet” som möjligt, åtminstone vad so, står i den mänskliga förmågans makt att erbjuda.

Tolkare är inga övermänniskor, även om egna och andras krav ofta kan göra gällande att något annat duger inte. Men att sträva efter omöjliga ideal är inte fel. Det ger en bra skjuts på vägen att komma ännu lite längre, analogt med devisen ”per aspera ad astra”. Att ständigt försöka göra det bättre motverkar den omvända tendensen att slumra till på sin post därför att rutinen invagar i falsk säkerhet. Alla har givetvis rätt att göra fel, men det är korkat att inte vilja kännas vid de egna svagheter och försöka göra något åt dem. Det charmiga är att man aldrig kan säga att ”nu kan jag det här till fullo” för nästa gång kan man få en talare som gör att man står på näsan, eller bra nära i allafall. Den berömda rutinen gör att man i bästa fall lättare kan klara av situationen, men det är en villfarelse att tro att man redan sagt alla tankar som tänkas kan, bara för att en övervägande del av allt som sägs känns som upprepningar och tema med variationer. Då och då glimtar det dock till av originalitet, ett alldeles nyfött, oprövat tankeuppslag kommer fram och då gäller det att hat vässat analysredskapen så att de kan göras rättvisa – liksom de ofullgångna tankefostren också. För övrigt är det inte vår sak att döma, bedöma eller fördöma...

Finns det då några risker med tolkning, yrkesskador? Bortsett från de mest uppenbara riskerna som då skulle bestå i hörsel-och/eller stämbandsproblem, tror jag att det kan finnas ytterligare en potentiell fara som förtjänar eftertanke, nämligen ”informationsbulimi”. Det finns en tendens till att man vänjer sig vid att översköljas – för att inte säga överbelastas – med intryck att man får svårt att klara

sig med mindre. Dels är det en (berättigad!) jakt på nyheter och aktuella händelser så att man hänger med i det som sker i världen så mycket som möjligt och på så många språk som möjligt. Dels är nyfikenhet och kunskapstörst självalstrande. Mycket vill ha mer, särskilt som det hur som helst bara kan bli fråga om att skumma på ytan. Är man dessutom van vid att ”fungera simultant” kan man ju överföra det till hur många områden som helst, till dess att hjärnan får nog och packar ihop. Men var går den gränsen? När kan överhettning bli skadlig? Eftersom vi nu sägs använda så liten del av vår hjärna, är det inte bra att försöka tänja de gränser som så oftast antas som givna? Är det så att det försvinner hjärnceller och inristas outplånliga fåror i hjärnbarken som på sikt förslöar och segar ner hjärnan? Eller bildas i stället snabbare uppkopplingslänkar som fungerar annorlunda eftersom associationsbanorna går på ett annat sätt? Blir minnet , på sikt, bättre eller sämre? Kort sagt, är det en fördel eller nackel, utvecklingsmässigt, att arbeta som tolk?

Vare därmed hur som helst, några svar kan inte fås förrän neurovetenskaperna, bli a, på allvar börjat forska och göra experiment. Kanske kommer morgondagens människa ha en egen scanner hemma som gör att hon kan titta in i sin egen hjärna, iaktta förändringar och *se* ny kunskap som tagit sin boning i hjärnkontoret. Kanske kommer hon själv kunna åstadkomma förändringar i mönstret (på samma sätt som man idag lär ut avslappning via biofeedback) så att hon kan få tillgång till de mörklagda områden av hjärnan som idag ligger oåtkomliga för oss, färdigheter som vi idag inte ens vet om existerar. Kanske blir cybernetikens galnaste dröm verklighet i det att en människa skulle kunna kopplas upp till en dator och vice versa...

Så länge vi lever och fungerar i den fysiska verkligheten får vi dock allt bry oss om och vårda den. I det ingår att kunna stänga av den mentala verksamheten då och då till förmån för andra sysslor som kräver andra slags insatser. Att gå in i ett annat tempo som inte är beroende av en annan människas, sjunka ner till botten av sig själv, fungera ordlöst. Tystnaden är inte tolkens fiende, utan egentligen dess bästa vän. Tystnaden ger möjlighet till återhämtning. Tystnaden utgör klangbotten för de ord som så småningom ska uppstå och det är i spänningsfältet mellan det uttalade och det outtalade som allt tar sin början.

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NATIONALISM AND NATIONAL IDENTITY IN ROMANIA

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ABSTRACT. This paper examines how the relationship between national identity and European integration is framed in the contemporary Romanian political discourse. The focus lies on both the international relations context of identity discourse as well as the national context, thus examining how the western and the non-western classification of nationalism instruct and affect the national identity processes in Romania. I analyse what perceptions of Romanian national identity that can be read in speeches by Traian Băsescu and Corneliu Vadim Tudor, thus investigating how identity-creating symbols are used in order to form the Romanian national identity.

Keywords: Romania, national identity, discourse theory.

Introduction

During the eighteenth and nineteenth centuries, the Romanian national movements consolidated the meaning of nation as *ethnic*¹, with other words following the German tradition of the idea of the nation and citizenship as based on a common culture, a common history and a common language. Later, during the 1920s and 1930s, ideas about the nation became embedded in political discourse as well as in economic, scientific, political and literary institutions in the country.² The years of communist party rule didn't succeed in erasing the national idea and after the fall of communism, nationalistic ideas grew stronger through conflicts between ethnic groups that under the rule of communism had been suppressed by the homogenisation and assimilation politics of Ceaușescu.³

Despite the impact of the idea of the nation as ethnic, a conflict between “reformists” and “traditionalists” is characteristic of the Romanian national tradition ever since the fall of communism and still today. The dichotomy between these two nationalistic traditions, which I will later refer to as “western” and “non-western”, is characteristic of the creation of national identity in Romania. Furthermore, the duality of polarized intellectual traditions has been of crucial interest for studies of Romanian culture and Romanian cultural discourses in modern time.⁴

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¹ Verdery, Katherine, 1993. “Nationalism and National Sentiment in Post-socialist Romania”, p. 179 – 303 in *Slavic Review*, Vol. 52, no. 2.

² Ibid. Page 181.

³ Verdery, Katherine, 1991. *National Ideology under Socialism: Identity and Cultural Politics in Ceaușescu's Romania*.

⁴ Iordachi, Constantin; Trencsenyi, Balazs, 2003. “In Search of a Usable Past: The Question of National Identity” in *Romanian Studies, 1990-2000*”, in *East European Politics and Societies*, Vol. 17, no. 3, page 415-453.

The fall of communism led to a transformation of the Romanian society as well as its basic values, due to the fact that Romania has been forced to meet the Copenhagen criteria in order to be eligible to join the European union⁵ and the country has since 1999 adopted rules and practices for this reason. Moreover, there has lately been a political will of official condemnation of the communist past. According to Chantal Mouffe, the national identity is recreated in a shift of a political system as a result of dynamic processes of identification, which in turn creates collective identities.⁶ Thus it is of high interest to examine the contemporary national rhetoric in Romania, to analyse how the Romanian national identity is transformed and informed by the public discussion on Romania's European Union membership and finally examining statements of Romanian national identity in the public Romanian political discourse.

According to Ernesto Laclau and Chantal Mouffe, the *primacy of politics* means that political processes and articulations, first and foremost inform our actions and how we create society and identities. In discourse theory, politics is described as a conception that refers to our perpetual constitution of the social by constantly creating uniqueness.⁷ Political discourses and articulations form our thinking of society and also affect our actions. Politics is therefore a way of constituting and creating the social in a way that it excludes and includes different things and also establishes "rules" for what is believed to be "true" or "false". National identity as a social process is constructed, reproduced and contested through discourses, which are involved in the construction and presentation of the world to human beings. Discourses define and limits on what in society can be considered as "real", "true" and "natural".⁸ In this paper, I thus investigate what rhetorical devices political actors use to present their different ways of perceiving Romanian national identity as if it was the only possible way of describing it.

The idea of discourse theory is that facts are products of language, meaning that people use language to construct reality. Furthermore, qualities that present a specific national identity are discursively formed. Discourses also have a dimension of power, as there is always a "discursive struggle" between different discourses. This is mainly because meanings of social phenomena can never be completely "ready" or definitively defined.

I proceed to clarify the two classifications of nationalism that Hans Kohn presented in his book *The Idea of Nationalism* from 1944 and further to present a brief summary of views of nationalism and national identity. Drawing on public speeches by Traian Băsescu and speeches in the Romanian Senate by Corneliu Vadim Tudor, I then

⁵ The Copenhagen criteria are the basic conditions for membership in the European union. By the time they join, new members must have: stable institutions guaranteeing democracy, the rule of law, human rights and respect for and protection of minorities; a functioning market economy and the capacity to cope with competitive pressure and market forces within the Union; the ability to take on the obligations of membership, including support for the aims of the Union. They must have a public administration capable of applying and managing EU laws in practice. http://europa.eu/pol/enlarg/overview_en.htm.

⁶ Lecture Chantal Mouffe, People's Palace, Bucharest 2007-01-11.

⁷ Winther Jorgensen, Marianne; Phillips, Louise, 1999. *Diskursanalys som teori och metod*. Page 41 and 43.

⁸ Feldman, Merje, 2001. "European Integration and the Discourse of National Identity in Estonia", in *National Identities*, Vol. 3, No. 1, page 5-21.

analyse the elements involved in the creation of discourse of national identity in Romania. I argue that the Romanian identity discourse is based on creation of myths and that these myths are used in order to create continuity in the life of Romanian citizens. Furthermore, the Romanian national identity discourse relies on traditional values as well as European values and on the dichotomies of Romania vs. “terrorists”, Romania vs. Hungarians and “inside” vs. “outside” (talking about the European Union).

The concept of nationalism and national identity

Hans Kohn presented a classification of two types of nationalisms in his book *The Idea of Nationalism*, according to which there is a “western” and a “non-western” type of nationalism. According to the “western” type of nationalism, nations are created in the political reality, without sentimental retrospectives of the past and nations are a product of social and political factors. Deriving from the French and English ideology of individual freedom and rationality, the “western” type of nationalism described by Kohn differs from the “non-western” type, which is geographically placed in Central- and Eastern Europe. A central feature of the “non-western” type of nationalism is according to Kohn the idea of the *ideal fatherland*, which is created through myths of the past and dreams about the future. With thoughts of the nations attached to the past and the future, the “non-western” type of nationalism is not socially and politically rooted in the present, but is rather used in order to create an idea of the ideal nation, speaking in terms of the “soul” and “mission” of the nation.⁹

Liah Greenfeld distinguishes between two types of nationalisms: an individualistic and a collective type of nationalism. Whereas nationality can be acquired in line with the individualistic type of nationalism, the collective type of nationalism stresses that nationality must be inherited. According to Greenfeld, these two types of nationalisms should be seen as ideal types, which can be discernible in various discourses of nationalism and national identity.¹⁰

Critics against Kohn’s and Greenfeld’s typology of nationalism stress that liberal values, such as they are described to make part of the “western” and the “individualistic” type of nationalism, cannot be considered as nationalistic values. Instead they should be seen as universal values that most nations of the world are striving to obtain. According to critics, liberal values cannot be used in order to make a difference between members and non-members of a given nation. Nationalistic values are instead per se particularistic and cannot pretend to be liberal. As a defence against this critic, Sune Laegaard means that universal and liberal values can indeed be nationalistic, as long as they are expressed as a *difference* between “us” and “them”. Liberal values are subsequently used of social and political actors with the purpose to construct a difference between “our nation” and “the others”, thus related to the establishing of boundaries, which is crucial within the concept of nationhood and national identity.¹¹

⁹ Kohn, Hans, 1951, *The Idea of Nationalism. A Study in its Origin and Background*. Page 330-331.

¹⁰ Greenfeld, Liah, 1992. *Nationalism – Five Roads to Modernity*. Page 11-12.

¹¹ Laegaard, Sune, 2007. “Liberal Nationalism and the Nationalisation of Liberal Values”, sid. 37-55 in *Nations and Nationalism*, Vol. 13, nr. 1, page 46-48.

National identities as a social process are produced, reproduced and transformed discursively. National identity consists further also of a group of characteristics that people share and identifies within a given group. These characteristics are for example opinions and actions that those people have internalized through education, politics, media or everyday actions and language. Common understanding of the world expressed through national identity relates to a common culture in the past, in the present and in the future as well as to common attitudes to other national histories and cultures. Solidarity within the group and the exclusion of “the others” is a crucial characteristic in the creation of national identity.¹²

Discourse of national identity in Romania

The mechanism of solidarity with the own group and exclusion of “the others” is of great significance within the creation of national identity. It has been argued by Chantal Mouffe that the collective identities in politics are intended to construct an “us” in a context of diversity and conflicts. By creating an “us”, a “them” is automatically constructed as an enemy against whom one can define the own group. Carl Schmitt who argues that the “friend-foe”-distinction is a central feature of politics inspires Mouffe. Mouffe further also argues that there is a need in politics to create confrontation between “us” and “them”.¹³

The mechanism of inclusion and exclusion is also present in the discourse of national identity in Romania, as both Traian Băsescu and Corneliu Vadim Tudor are constructing the binary oppositions of “us” and “them” in their speeches. For example, in order to present the Romanian citizen as credible, mature, active and committed to democracy, Băsescu contrast these qualities to the different “terror” groups in the world that Romania is fighting. Subsequently he creates a “them”, which is telling Romanians both what they are not and what they are. Tudor uses the same “us” and “them”-mechanism by contrasting the “innocent” Romanian people with groups who morally destroy the Romanian society, for example “the media”, “the mafia”, “fascism” and “the Hungarians”.

National identity is further based on common experiences and symbols that are given meaning through statements and stories about the nation. In *Banal Nationalism*, Michael Billig argues that national identities are maintained by the routines of everyday life, which are “flagging” the specific national identity of a nation. Another characteristics of national identity is that the nation and the national identity are characterized by a selective memory, in which certain qualities of the nation and historical events are stressed and considered important for the memory of the nation, while others are forgotten.¹⁴ Identity-creating processes are built around statements that relate different events to each other in a non-chronological way and binding together different stories of the nation to a seemingly coherent, but selectively constructed story

¹² Wodak, Ruth; de Cillia, Rudolf; Reisigl, Martin; Liebhart, Karin, 1999. *The Discursive Construction of National Identity*. Page 3-4.

¹³ Mouffe, Chantal, 1995. “Democratic Politics and the Question of Identity”, in Rajchman, John (red.), 1995. *The Identity in Question*. Page 39.

¹⁴ Billig, Michael, 1995. *Banal Nationalism*. Page 37-38.

about the nation.¹⁵ This is also true for the creation of national identity in Romania. In his speeches, Băseșcu creates a “democratically based” narrative of the Romanian national identity, by referring to the creation of Greater Romania 1918, the interwar time as a democratic ideal of the Romanian history by celebrating King Ferdinand and Iuliu Maniu (the interwar peasant’s party leader), further on to the revolution in 1989 and in the end to Romania’s accession to the EU. Băseșcu completely excludes the communist period from the narrative of the Romanian history and identity.

Hylland Eriksen argues in *Historia, myt och identitet*, that myths are produced in the process of creating national identity. Myths, according to Hylland Eriksen, give moral structure to the world and create order in a chaotic world. Furthermore, myths are legitimizing a given order of society and they are responding to the need of continuity in times of great change. By producing a condition in present time and in the near future as a natural consequence of a certain past, myths are created. Thus, the past is dependent on myths; the past characterizes the present whereas the future is conditioned by the past. Moreover, national myths are presenting the birth of the nation and its history as a “development cycle”, from the arising of the nation, through its maturation process and finally to its victory. Thus, myths and identity-creating processes are mutually dependent on each other, as both are crucial in times of change in society.¹⁶ In his speech at the Romanian national day 2006, Traian Băseșcu is creating a “development cycle”, talking about a past, which affects the present and a future that builds upon the past and that is destined by this past.

“The January 1st 1918¹⁷, Romania achieved a goal that had required great sacrifices. Now, we are getting close to fulfilling another desideratum, that required serious efforts as well. Then, just as now, Romanians have shared the same major objectives, have been united and went all the way, although, initially, few of them believed that such ambitions could be achieved”.¹⁸

”88 years ago, in Alba Iulia, Iuliu Maniu said these words: ‘When looking back at the sufferings of the Romanian people, when remembering the blood that has been shed, we cannot thank God enough for these elevating times that our generation lives’. Today, once again, we are living “elevating times”, times of positive change for our destiny.”¹⁹

Traian Băseșcu is comparing the creation of Greater Romania to the present “elevating times” and “positive change” that Romania is facing joining the European Union. In creating a Romanian national identity, there is further a connection to the European identity. Particularly Băseșcu is emphasizing the placing of the Romanian

¹⁵ Somers, Margaret R., 1994, “The Narrative Construction of Identity: A Relational and Network Approach”, sid.605-649 in *Theory and Society*, Vol. 23, nr. 5. Page 616.

¹⁶ Hylland Eriksen, Thomas, 1996. *Historia, myt och identitet*. Page 22-24, 41, 45, 59 and 73.

¹⁷ The Romanian National Day is celebrated the 1st of December and in the original speech in Romanian they write the 1st of December. Thus, there seems to be a translation problem.

¹⁸ Băseșcu, Traian, 2006. Address by the President of Romania, Traian Băseșcu, at the reception offered on the occasion of celebrating Romania’s National Day. http://www.presidency.ro/?RID=det&tb=date&id=8218&_PRID=ag.

¹⁹ Ibid.

national identity in a European context by referring to Romania and Europe's common culture and common history. In Băsescu's speeches, traditional symbols for the creation of a national identity are used in order to connect Romania to the European past, present and future. Although the more liberal characteristics are present in Băsescu's discourse of Romanian national identity, Vadim Tudor is presenting the Romanian national identity as very tradition- and nation bounded and also in strong opposition to minorities, for example the Hungarians. Tudor is not aiming at creating the feeling of a common history between Romania and Europe; instead he is stressing the ideal Romanian fatherland that is threatened by several enemies.

To conclude, the notion of identity as it is constructed within the Romanian identity is characterized by the creation of myths and on binary oppositions between "us" and "them".

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SUBTITLING SUBTLETIES

JOSEFINE LIFTIG

ABSTRACT. Subtitling is very close to the work of a conference interpreter, giving a simultaneous translation. At the same time, subtitling, when well done, demands so much skill, imagination and creative talent that it is indeed an art. There is also an absolute need for the subtitler to adapt his work to his audience.

The timing of subtitles is a rhythmic placement of the subtitles comparable to the way a dancer follows the music. The phrasing may not be the same as the composer's, but the connection between the two is unmistakable.

In the era of silent films the original intertitles were removed, translated, drawn or printed on paper, filmed and inserted again in the film. But from the year 1927 onwards, when the audience could hear the actors, the titles inserted between the scenes gradually disappeared, being first replaced by dubbing where recordings of actors speaking the parts translated into the new target language replace the original soundtrack. The new script was translated in such a way that labial consonants and vowel openings corresponded as far as possible to the actors' lip movements, giving the impression that the actors were speaking the new language. By 1929 the major US production companies already had dubbing studios in Europe, translating into the most important languages.

The technique was complex and expensive, and some film producers started inserting the written titles as before, but this time into the picture itself instead of in between scenes. The subtitles were born, and they cost only between a tenth and a twentieth as much as dubbing. They thus became the preferred method in the smaller language areas, such as the Netherlands and the Scandinavian countries.

Pros and cons of dubbing:

Pros: It does not affect the composition of the picture, and the dialogue can be understood by those who are illiterate or have other reading difficulties.

Cons: The text can change out of all recognition.

It can be censored by a totalitarian society without the audience knowing it.

Or the whole content of scenes is altered for the sake of lip synchronization.

The audience does not hear the voice of the original actors who have been instructed by the director exactly how to say the lines.

Pros and cons of subtitling:

Pros: You hear the original sound, with all the nuances intended by the director and realized by the actors – compare, f. ex. Laurence Olivier's Hamlet with a version dubbed in a foreign language...

Language is more than speech: Gestures, body language and facial expressions are closely linked to the spoken words in the original language, and when different words in another language with another grammar are laid over these visual elements, the result is often bizarre. Subtitling doesn't interfere with this subtle but very important source of information.

There is an instructive value to subtitling: viewers see a translation of what is being said on the screen, which has an effect on their knowledge of languages.

For people with hearing impairment, or if you are trying to watch a film in a noisy environment, the subtitles are indispensable.

Cons: The unsightly subtitles crowd out the picture and ruin the composition.

They divert the viewer's attention from the picture. They often flit in and out without being synchronized with the sequence cuts. They don't cover all that is said. The ignorant translator might have made no end of mistakes (of course, scripts that are translated never contain any errors!?) and this becomes obvious since you can hear the original.

A film is usually translated several times, for the needs of different audiences.

For the silver screen, it is translated for a younger audience with a high reading rate, which means long subtitles that only remain on the screen for a few seconds.

A video version is then prepared for hire or for pay-TV, and then the subtitles must be made shorter and slowed down. For the public service TV companies in turn, yet another translation might have to be made since they cater to all viewers, including children, elderly people and people with different reading difficulties.

In the earliest days of Swedish television it was recommended for each subtitle to remain on the screen long enough for the subtitler to be able to read it three times.

90% of viewers read a full two-liner in less than four seconds.

But the titles should remain on the screen for 5-7 seconds, because with images and sound included, people need 4,5 and 6 seconds for a two-line subtitle. And the more words in each subtitle, the less time is spent on each word – thus, shorter subtitles take relatively longer to read.

A very short subtitle with a single word should thus be visible for 1,5 seconds.

The eye needs a short pause to register that a new subtitle replaces the first one.

For this reason, subtitling systems have an automatic delay function of about 4 frames before a new subtitle is put on.

Historic notes:

The first subtitles came 1909 during the silent film era, with a "device for the rapid showing of titles for moving pictures other than those on the film strip". Here, the projectionist used a sciopicon (a kind of slide projector) to show the subtitles on the screen below the intertitles.

With the advent of sound films, Norway, Sweden, Hungary and France took the lead in developing a technique for subtitling films.

1930 a Norwegian invented a method of stamping the subtitles directly on to the film strip, producing small letterpress type plates for each subtitle, then came the

use of heat or chemicals or optical methods, and nowadays there is also laser subtitling.

1938, the BBC broadcast Arthur Robinson's "Der Student von Prag" in a subtitled version, probably the first scheduled showing of a film in the history of television.

Titles legible in the cinema were difficult to read on the TV screen because of the narrower contrast range of the latter.

Time codes:

A "clock" is recorded on the tape which tells you to the nearest 1/25 of a second when a particular frame will appear on the screen. The code can be read while the video tape is running and either displayed or used to start or stop some process, e.g. to show some subtitle. It was soon possible to install the complete subtitling equipment on a PC, allowing the subtitler to carry out the whole job, including the cueing of the subtitles in the program.

The subtitler should not depart too much from the sequence and structure of the original, so that some of the dialogue appears in the preceding or following subtitles. This can however be necessary on account of differences in the grammatic structure of the two languages.

The subtitler should try to synchronize subtitles with takes and let breaks coincide with cuts where possible. If a new subtitle follows, the split-second break between the two subtitles coincides with the fixation pause mentioned before.

Characters:

The normal reader reads word by word, so each word must form a legible image.

The ascenders and descenders (the strokes above and below the body of the letter) have a decisive effect on the image perceived by the reader. Capitals should therefore only be used when there is a special need for extra emphasis. Italics should also seldom be used, because they are read more slowly than ordinary lower-case characters.

Tests show that it is easiest to read text that stands out against a fixed dark background, a "black box". Therefore, a black box should be used, except in cases where a special kind of programme – an art programme, for example – calls for more discreet subtitling.

Considering that the reading speed increases in proportion to the length of the subtitles, one should not split up titles into one-liners, except where this is necessary on account of cuts, the necessity of clearing the screen of titles, etc. It is often easier for viewers to keep up with the dialogue if the question and the answer appear in the same subtitle.

Indicating extended sentences:

Strangely enough, in Sweden cinemagoers are expected to understand that a sentence is continued in the next subtitle without this being marked by any other means than the absence of a full stop and a capital, while it is assumed that Swedish television audiences require dashes at the end of the first subtitle and at the start of the next. Subtitlers would be glad to be able to use that little extra space.

The absence of punctuation at the end of the first subtitle and a lower case letter at the start of the next is sufficient indication that the sentence is continued.

Extending a sentence over several subtitles should be avoided wherever possible. It is better to set a full stop as soon as possible and start a new sentence.

(Dashes or dots...)

Line breaks:

Good line breaks greatly facilitate the understanding of the text.

If it is possible to write the text in a single line, it is usually better to do so. But when the text is longer than one line, the reader must move his eye, and this movement should be as short as possible. Thus the upper line should be shorter.

Instead of:

“He said that he would not be able to come until tomorrow.”

you should use:

“He said
that he would not be able to come until tomorrow.”

The subtitler should try to divide up the lines in such a way that words that are connected, either by logic or by grammar, are written on the same line.

“After saying that, he took the green book on the shelf.”

is not as good as

“After saying that, he took
the green book on the shelf.”

Best of all is:

“After saying that,
he took the green book on the shelf.”

The need for accuracy:

Anyone who is stupid enough to mention at a party that he makes his living as a media translator will be greeted by a barrage of criticism for all the mistakes made by his colleagues – while hardly anyone seems to imagine that a dubbed film or a translation of a novel may be full of errors and omissions. This is because the subtitles run parallel with the original dialogue, so that people can immediately detect any omission or error – or what they believe to be an error.

As a result, subtitlers, perhaps even more than other translators, must know and understand everything, including the vast range of idiomatic varieties used in every conceivable environment, from university seminars in symbolic logic to the Liverpool punk cursing his pusher to the illiterate Sardinian’s conversation with his sheep.

And he must know about anything that may crop up in a television programme, from the everyday things that you can only really understand by living

in a country for many years to the most abstruse sciences. He must know, for example, that “savon de Marseille” should usually be translated by “soft soap”, while a “Marseilles bedspread” means a bedspread sewn from a special cloth rather than a bedspread from Marseilles.

“Expert” criticism

A guess or a careless translation never goes unnoticed. There are always experts in that particular field and people who know the language in the audience, and many of these love putting things to rights. A subtitler who has just translated a report on the latest installations at the CERN laboratory gets a letter from a nuclear physicist telling him that he has used the wrong name for the new equipment that was invented three months ago.

The translator of a pop film gets an angry call from some young music fan who cannot understand how he can be so ignorant that he does not even know the difference between “toast” and “rap”. A biologist protests at a German translator’s use of “Affe” for both “monkey” and “ape”. Television subtitles should of course be as correct as possible, but:

since the translation is not for the experts but for the general public, there is not much point in writing a technical term that is correct but incomprehensible to the vast majority.

Especially since most of the experts probably do not need a translation anyway. Sometimes it is even better to invent a descriptive word, when there is no accurate corresponding term.

The importance of care and accuracy

Translations must be correct and omissions as few as possible within the constraints of the inexorable “time limits”. Sometimes a subtitler may be faced with difficult, even insoluble, problems, which a translator of a book would solve by a long explanatory translation, a footnote or by simply ignoring the problem in the case of an untranslatable joke, pun or double entendre connected with pronunciation.

-They are playing Mozart...

-I'll give you Mozart and ten points!

The most important thing is to learn to be suspicious.

Ask yourself: “Does this really mean what I think it means? Is it logical? Why does he use such a strange expression? Is it a quotation or is there a hidden allusion?”

It is a great help to have your work checked by a well-qualified person, since anyone can miss or misunderstand something important. As everyone who has done it knows, it is very difficult to proofread a text that you have written yourself. You read what you meant to write, not what is actually there... And mistakes can delay the reader so that he misses the rest of the subtitle, which disappears after some seconds.

Timecode-based subtitling systems make it easy to check your work by

running the titles in synchronization with the film, and it is essential to make this check after completing the subtitling job.

Errors in the original

If a historian says f. ex. that Constantinople was conquered by the Turks in 1543 (the correct year is 1453) – should the translator correct the mistake? Yes.

The exceptions are if the producer makes use of a slip of the tongue to expose the speaker as a liar or an ignorant.

Scripts

Scripts, when available, vary greatly: from rough sketches that have very little in common with the finished work, to production scripts that are altered during shooting, to rare complete post-production scripts with all the names and dialogue in exotic languages correctly spelt and with glossaries of dialect and slang expressions.

One has to always be suspicious of the script. The actors have often changed the wording, or it may have been written down from an audio source by a typist. One should always check the expressions and the spelling of names in a script, especially when it comes to live shows and interviews where there is of course no pre-written script.

An example of a misunderstanding in a script of a speech by president Reagan in which he is quoted as saying:

”Arm, knee, audacity from head to foot.” This might fool a subtitler who did not recognize a quotation from “Cymbeline”, act I, scene 6:

“Arm me, audacity, from head to foot!”

The picture often contains information that needs translation but that might not appear in the script: signs, newspapers, texts, etc.

A Brazilian boy is quoted in the script as saying that he loves ”Eisidis”, but on the wall behind him hangs a poster for the hard rock group “AC/DC”...

Very often, additional research has to be made, searching for quotations, lyrics that are hard to hear, the spelling of names, reading up on a subject, consulting specialists in different fields. If you are not lucky, the very specialist you need to talk to - perhaps about one sole item - might have left for an expedition to the Himalayas... Or he is just off work for a couple of days, and your deadline doesn't allow you to wait until he is back. Obstacles like this, which you cannot foresee when you first accept to do a job, can cause a great deal of stress.

For some jobs there is a very short time limit, and subtitlers of f. ex. news programmes have to have a vast network of experts available on the spur of the moment in order to make a decent translation on time.

Sometimes you have to make a translation of a film in some exotic language you do not know, provided with a script translated into f. ex. English. That does not make for a good translation, since you cannot check the original nor even know for sure when who is saying what. There is a lot of guessing involved,

and the quality of your work depends totally on that of the person who translated the script into English...

Song and poetry

It should be possible to sing a translation of a song to the music, and the rhythm is therefore more important than the rhymes. Intricate rhyming schemes serve no purpose, since rhymes will normally only be noticed if they occur in both lines of the same subtitle or if they are repeated at least three times.

If a song is very fast, however, you may have to make the translated version half as long, while retaining the rhythm of the lines.

Greater typographical liberties can be taken with lyrics than with other texts.

Titles and institutions

Administrative and military titles and the names of institutions are often difficult to translate. Guessing is not an option. You have to search for the nearest “function equivalent” in your own language, regardless of what the dictionary says.

Proper names and brand names

In some languages a brand name may supersede the original word for a product: vacuum cleaners become hoovers, scooters become vespas. If such names are not familiar in the target language, they must be replaced by a descriptive word.

Forms of address

also differ between languages, and the translator has to find a good balance.

Strong language

seems to have a stronger effect in writing than in speech, especially when translated literally. Thus, it may need to be toned down.

Materials

The subtitler’s working materials today are usually a subtitling system installed on a laptop computer with a broadband connection, and you download your film file and script from a server. You deliver your finished work attached to an e-mail

As far as dictionaries go, there are good ones to install on your computer for your convenience, and the internet is an invaluable (but of course not always trustworthy) source of knowledge when it comes to research.

You can easily travel with your laptop as your whole office.

When I started out, I had a stopwatch, a VCR-player, a TV and a typewriter to work with, along with a videotape without time code and – mostly – a script.

While watching the video, I timed the phrases of the speakers with my stopwatch into intervals appropriate for the subtitles, which I then translated on the typewriter. I sent in my script to the TV-company, who transferred it to a floppy disc. I

then went into the studio, where I would sit alone in a room with a screen and a button on which I punched in the in- and outcues of the subtitles as the technician was running the film from another room. That was very stressful; if you pressed the button at the wrong time, you couldn't go back and fix it without bothering the technician quite a bit. The result could often be subtitles that were quite "off the beat".

Then came the desktop PC-era, where you had your individual subtitling system installed on a PC hooked up to a VCR-player, a TV-set and a printer. The video tapes were now time coded, so you were now able to insert the subtitles while writing them, and the translation was then saved unto a floppy disc that you delivered.

When the laptop era came, the subtitling "office" gradually slimmed down to a minimum..

Editing

Some people say in a few seconds three times as many words as there is room for in the two subtitle lines on the screen, not to mention when four excited people speak at the same time. In such cases the dialogue has to be condensed, which means selecting what to translate and what to leave out – in other words, one must interpret the content of the work.

Omitting part of the text is less intrusive than paraphrasing it, but both techniques are necessary.

"Well, it's just that this morning Mr. Smith came into the office and told us that he has heard that we will all be fired some time during next week."

was edited into:

"This morning, Mr. Smith told us that we will all be fired next week."

"You should have heard what Doris said. It appears that 'She goes out with American soldiers' said behind your back means you're well on the way to Hell and Damnation!"

(From "Family at War" said in 6,5 seconds)

was edited into:

"Sortez avec un soldat américain", disait Doris, "et vous êtes damnée!"

Muddled speech

Sometimes people interviewed on television speak without a single complete phrase, with confused syntax, slips of the tongue and many repetitions. The best method can then be to make a free translation of the gist of what the person said in a reasonably coherent form.

Dialogue

Dialogue is usually indicated by "dialogue dashes" at the start of both lines:

"-Do you think so?"

-Absolutely not."

In teletext subtitles, different colours can indicate which character is speaking.

PUNCTUATION etc.

Suspension dots

The three dots... are used to indicate a pause, an omission or an interruption of the train of thought.

To indicate emphasis, exclamation marks or capital letters can be used.

When a sentence spoken by one person has to be broken up into two parts, whereof one ends up together with a line from another speaker, suspension dots may be used:

When she visited the university, she gave a long lecture...

...presenting her theories.

-Was it interesting?"

Dashes

When two sentences are spoken by the same person but addressed to different people, this can be indicated by a dash with a space on each side before the second address:

"Let's go, Mary." – "We will be back soon, kids."

Short questions and answers should usually be paired together with the question on the first line and the answer on the second.

Merging short dialogues

Two or three remarks said by the same person can often be merged into a single subtitle, even if another person is taking part in the conversation, if the latter's remarks do not contain significant information.

"Do you live in Sheffield?" – Yes.

And you work in a steel mill? – Yes.

Do you like it there? – No. – That's too bad."

can be simplified as follows:

"You live in Sheffield and work
in a steel mill. Do you like it there?"

"-No.

-That's too bad."

Simplifying the syntax

Simple syntactic structures tend to be shorter than complex ones, and can replace them.

"Here's something we haven't seen before"

can become

"Here's something new."

Subtitle vocabulary, and breaks

If the subtitle is to be understood in the short time available, it must have a familiar vocabulary and be a coherent logical and syntactical unit.

Thus, the subtitler must avoid making subtitle breaks between words that belong together, either logically or grammatically. In the case of more complex sentences that have to be carried over into several subtitles, one must try to make the breaks coincide with the beginnings and ends of the phrases, so that each subtitle forms a coherent unit.

Wrong:

“She had furnished the room in red-”

“-and green, as these were her favourite colours.”

Right:

“She had furnished the room in red and green-“

“-as these were her favourite colours.”

Dividing the sentence into two complete ones can be a good solution:

Acceptable:

“I was on my way home when a beggar came up to me-“

“-asking if I had any spare change to give him”

Better:

“I was on my way home when a beggar came up to me.”

“He asked if I had any spare change to give him.”

Borrowing time

Where absolutely necessary, one can “borrow time” from the next sentence, letting the subtitle remain on the screen during the first part of the next sentence, provided that it is of minor importance.

Inserting the subtitle before anyone has said anything (to give the readers sufficient time to read) is only acceptable when a rapid but essential closing remark comes at the end of a scene immediately followed by a completely new sequence.

Subtitlers' credits

Translators have the same copyright under the Berne and World Conventions as writers and therefore have the right to see their names on works that are published, including media translations.

A suitable position is together with the name of the script or dialogue writer.

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TYPOGRAPHY SERVING IDEOLOGY TYPOGRAPHY IN THE ROMANIAN NEWSPAPERS BEFORE AND AFTER THE COMMUNIST TAKEOVER

ARINA STOENESCU*

Writing systems are political, and typography is just as rich a source of cultural insights as gastronomy. (Otl Aicher, 1922–1991, leading German graphic designer of the 20th century)

ABSTRACT. Between the two world wars the typography of the Romanian newspapers followed the general development and the use of serif typefaces for the body type. The concern for the typography of the newspaper was rather conservative and worked a lot with the same kind of typography used for the fiction literature. After the communist take over in 1943 the typography of the newspapers followed the standards imposed by the propagandistic concerns, which followed the rule to use only sans serifs for the body type. The serif typefaces of the newspapers were put together and melted down as a demonstrative act of rupture with the bourgeois words and an entrance in to a new era of revolutionary thinking.

Keywords: typography, body type, serif, sans serif, read process, habits, -esthetics.

Introduction

This paper is a preparation to a field study on Romanian typographic landscape during 1918–1989, the interbelic years and the communist era that follow after the end of the Second World War. A typographical journey during seven decades of typeface dominance is to be started.

Predominant use of sans serif typefaces in the Romanian propaganda created a habit of relating to a certain kind of typography when reading newspapers. Could a similar situation – the predominant use of serif typefaces during more than a half millennium in printed matters – be the reason that we affirm but scientific still have not demonstrate that serif typefaces are more legible and readable than the sans serif typefaces.

How does habits in reading process influence us? Are habits stronger than the design concerned with legibility and readability of the typeface? We have the opportunity now to explore this matter through a new medium – the digital, screen-based typography – which uses sans serif typefaces more frequently. How is this use of sans serif typefaces going to affect the future generations in perceiving legibility and readability in general and on screen in particular?

Those are some of the questions to be posed, making the starting point of

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my study in the field. Of course, the hypothesis that the serif typefaces have a higher legibility and readability than the sans serif because of the imaginary line the serif creates needs to be investigated. How to do that when hundreds of years of practice and conservative rules seems to have come up with that? The statement needed to be researched.

Adrian Frutiger, modern Swiss typographer and type designer concluded after an intensive study of letterforms done in the 1970's, which included both serif and sans serif: "the foundations of legibility are like a crystallization, formed by hundreds of years of use of selected, distinctive typefaces. The usable forms that have stood the test of time are perhaps permanently accepted by human-kind as standards conforming to aesthetic laws...where there are excessive innovations of form of designs of poor quality, the typeface encounters a certain resistance in the reader and the reading process is hindered" (Blackwell, 1992, p. 172).

Typographer Matthew Carter, one of the leading designers in digital typography sees the difficulty of defining legibility/readability this way, "It's difficult to measure readability. Legibility can be measured because successive degradations demonstrate how letterforms hold up. But readability is difficult to measure. People read and comprehend best those typefaces they are most familiar to. There is a congeniality factor where type is concerned", Matthew Carter quote (<http://www.jaddesignsolutions.com/legibility02.html>, downloaded 20060227).

Zuzana Licko who created typeface designs with the first generation of the Macintosh computer – a co founder of the Emigre Fonts foundry library – states "Typefaces are not intrinsically legible. Rather, it is the reader's familiarity with faces that accounts for their legibility. Studies have shown that readers read best what they read most. Legibility is also a dynamic process, as readers' habits are everchanging. It seems curious that blackletter typestyles, which we find illegible today, were actually preferred over more humanistic designs during the eleventh and fifteenth centuries. Similarly, typefaces that we perceive as illegible today may well become tomorrow's classic choices", ("Interview with Zuzana Licko", *Emigre*, no.15, 1990 p. 12.).

Those three perspectives reflect the evolution of typography from pure textual carrier to a more complex and sophisticated medium of communication in the age of complex visual communication.

The aim of the field study, as a part of a larger research project concerning *Typography – habits and aesthetics in the reading process*, is to find out what was the premises and rules that determined the dominating use of sans serif typefaces in typesetting of Romanian newspapers during the communist regime.

The research aims to find out how habits and esthetics in the use of typography influence the reading process. The research will take a closer look at and compare the serif typefaces in print and the sans serif typefaces used on screen typography. The research will focus on both the design aspect as well as on the cognitive aspect of typography in the read activity.

Typography

Typography (from the Greek words *typos* = form and *graphein* = to write) is defined in Wikipedia as “the art and technique of setting written subject matter in type using a combination of fonts, font size, line length, leading (line spacing) and letter spacing.

Until the digital era typography was a specialized occupation. Digitization opened up typography to lay users and new generations of visual designers. Since digitization the range of type’s applications is becoming more eclectic.” (<http://en.wikipedia.org/wiki/Typography>, downloaded 20060430) Without typography the rapid exchange of information we take for granted would be inconceivable.

According to traditional typography studies and applied rules of typesetting the serif typefaces are easier to follow and read than the sans serif typefaces. Due to the imaginary line that the serifs create the legibility of serif text is supposedly higher than for the text that use sans serif typefaces.

This hypothesis is based on that fact that the typesetting of printed text have been using so called roman or serif typefaces since the Renaissance, during the fifteenth century. The development and spread of the gothic or sans serif typefaces comes first with the Industrialism in the nineteenth century. The use of san serif letterforms is therefore much younger.

It has become hard to validate the old rules of typography when we look at the many different ways that we receive information (computer mediated, television, film, etc.), and it is obvious that nowadays society is more visually literate and deals with a sophisticated level of coding. Clearly, there is a need to update our thinking concerning legibility and readability.

Serifs and sans serifs typefaces

Serifs typefaces are letter characters designed with a contrast between strokes and having serifs – structural details on the end of strokes that make up letters and symbols.

Sans serifs typefaces break through and start to be used in a large scale during the nineteenth century, their shape arose from the new expectations of Industrialism regarding mass communication and mass consumption.

Due to the advent and spread of the personal computer, screen based communication and the Internet, the use of sans serifs increased remarkable in the last decades of the twentieth century. Because of the poor resolution of the screen, 75 pixels per inch or less, the sans serifs were more suitable for the new display medium than their predecessors – serif letters.

Legibility and readability

The matter prima of type is to be *legible* and *readable*. *Legibility* has been defined as concerning the character, e.g. how clearly rendered are the characters? *Readability* is how well a text reads, is controlled by leading and tracking and depends on the quality of *bouma*.

Bouma is a term used by reading researchers and named for the researcher Herman Bouma who introduced the effect in his 1973 paper “Visual Interference in the Parafoveal Recognition of Initial and Final Letters of Words” (Vision Research, 13, 762–782). Bouma means the ‘word seen as a whole’ rather than by identification of individual letters.

Ideology and typography in Romania

Between the two world wars the typography of the Romanian newspapers followed the general development and the use of serif typefaces for the body type. The concern for the typography of the newspaper was rather conservative and worked a lot with the same kind of typography used for the fiction literature.

After the communist take over in 1943 the typography of the newspapers worked with the standards imposed by the propagandistic concerns, which followed the rule to use only sans serifs for the body type. More than that the serif typefaces of the newspapers were put together and melted down as a demonstrative act of rupture with the bourgeois words and an entrance in to a new era of revolutionary thinking.

This aspect will be explored within a separate filed study and the aim of this part of the research work is to find out what was the premises and rules that determined the dominating use of sans serif typefaces in typesetting of Romanian newspapers during the communist regime.

Both daily newspapers as Romania Libera (The free Romania) and magazines as the children magazine Cutezatorii (The Braves) used the sans serif typefaces during long periods of time.

The number of the newspapers and the extent they used the sans serif typefaces remains to be map out.

The Constructivist legacy

Constructivism started in Europe in about 1920 and the term originally described the style originated during the formative years of the new Soviet Union. After the Revolution in 1918, a thorough restructuring of society was planned, where designers would participate as “artists engineers”. Traditional and subjective artistic statements were no longer important; a form of presentation was to be developed which would be appropriate to the current collective and objective social processes. A new, general formal esthetic language was to be developed to achieve this: geometric elements, technical clarity and architectural constructions produced images in which cool harmony and dynamic vitality were both present.

In this time of social upheaval, Constructivist forms were experimented with in all areas of art, architecture and design. Children’s books were produced with Constructivist form and content, posters with a montage of photographic constructions, photographic illustrations for books and Constructivist film sequences, volumes of poetry with an overall Constructivist design or individual Constructivist elements.

The heyday of Constructivism in the Soviet Union was short-lived. The political leaders found the formalized and often abstract pictorial language an unsuitable medium for agitation and propaganda purposes, preferring a realistic depiction of strong, happy people. Constructivism was attacked and banished, branded a formalist divergence from the correct proletarian path.

There were major Constructivist trends in Hungary, Czechoslovakia, Poland, Yugoslavia and Romania. The rather artificial approach makes much of the typographical work of that time to seem rigid and awkward. This is due to texts being set in justification left and right and in capitals, to the use of positive-negative effects, bars and stripes, but all in absence of basic typefaces. The Gothic and Roman typefaces were too old-fashioned for the Constructivists, while more appropriate typefaces – such as Futura – were not designed and produced until 1927–1928.

The Constructivists drew up many experimental alphabets, which despite their conceptual clarity were unsuitable for mass production. The primary aim was to satisfy the desire for radical innovation and explore the possibilities of designing with basic geometric forms. (Friedl, et al., 1998 p. 7)

Cultural and historical background

But still typography is for many synonymous with writing and embody at best the set of rules which govern or should govern the use of type and writing.

The connection between a symbol and the information it imparted is based on cultural consensus. [...] The tension which arises between information and the image is the essence of typography. (Friedl, et al., 1998)

Did the Communist regime in Romania consider such a detail in the visual communication of such an importance that they consistently carried on with the use of the sans serif typeface in the propaganda?

A similar approach to typography and ideology, or more appropriate, national identity was the use of blackletter typefaces in the German typography. The blackletter type grew out of calligraphy. The first typeface was used in Johannes Gutenberg's 42-line Bible of 1455. That was a blackletter based on contemporary liturgical scripts. In the eighteenth century, Johann Friedrich Unger, a printer and publisher of many of Goethe's novels equated blackletter with the German language, questioning the integrity of German literature set in serif type: "Why should we Germans renounce our originality? To please foreigners who learn language? Does any nation do the same for us?" (Shaw, Bain, 1998)

When I read a German book printed in roman type, I feel as if I should first translate it. (Georg Christoph Lichtenberg, 1742–1799)

In 1933 the National Socialists, by then in power, declared fraktur the "German type" to be the Germans' "way of writing." All official printed matter, school textbooks and newspapers were reset in fraktur.

By the mid-1930's. The triumph of German letters seemed to be definite. But then – to the surprise of German population – came the edict of 1941 forbidding

fraktur. All printed matter had to be readjusted to roman. The newspapers had to be reset, textbooks had to be replaced and in school the exclusive teaching of Latin handwriting had to be implemented. Though the prohibition was not absolute, fraktur types could still be used in everyday printing, the decree produced a massive disruption in production through the German printing industry. That happened in the midst of a war economy and seemed especially absurd and contradictory to provoke the stoppage of hundreds of thousands of tons of lead type. The official explanation for this initiative was itself absurd: that gothic letters were in reality nothing but “Schwabacher –Judenlettern” (Schwabacher Jewish letters), in the sense that in the very early history of bookprinting, the Jews had taken position of printing houses and spread their letters. (Willberg 1998).

The nazi argument was of course unfounded and served the Nazi propaganda. The real reason was power politics. Hitler was by that time, in 1941, victorious on every front and the future world power had to adapt to the “world type” – the serif, roman type – in order to exercise its power. But the result of the action contradicted the intention and fraktur is now perceived worldwide as nazi script, the writing of the occupier.

Regarding the legibility of the fraktur many people today erroneously believe that fraktur is more difficult to read than the serif type. And anyone who is familiar with the forms used by fraktur knows better. (Luidl, 1998)

Short overview of legibility research

Many studies show no difference between the legibility of serif and sans serif typefaces and some high profile studies claim to show the superiority of serif typefaces (Robinson et al., 1983 ; Burt, 1959 ; Weildon, 1995) but these have been soundly criticised on points of methodology. (Lund, 1997, 1998, 1999).

Alex Poole, an interaction designer who studied the legibility of serif and sans serif typefaces reviewed over 50 empirical studies in typography and in his literature review “Serif vs. Sans Serif Legibility” (2005) come to the conclusion that “most disappointing however, is that in more than one hundred years of legibility research, researchers have failed to form a concrete body of theoretical knowledge on the part that serifs may play in legibility (Lund, 1999).” (<http://www.alexpoole.info/academic/literaturereviw.html> downloaded 20060505).

Word recognition and the eye tracking studies are also important for the field.

Relevant theories and empirical research

According to semiotics, typography is a sort of semiotic system where the alphabet is designed to represent speech. Typography is according to this definition a language depicting another language through a set of signs representing signs (Lupton and Miller, 1999/2004).

Activity theory describes an activity as being composed of subject, object, actions and operations (Leontév, 1974). The unit of analysis in situated action theory is not the individual, not the environment, but the relation between the two (Nardi, 1996).

In the approach to the subject it is important to regard the facts that “when designers think of typography, [...] invariably consider semiotics which consists of semantics – the relation between signs and the concepts they represent, syntax – the formal relation between signs in a system, and pragmatics – the study of signs in use” (Joseph A. DiGioia, 2001).

Though regarding the research methodology I still try to find an appropriate way looking at both cognition and semiotics.

Measurement methods

How can variations in the reading phenomena be measured. The measurements will be carried out in reading printed typography and screen typography. Subjective measures (Ratings, question-answer studies). Ratings of the read speed with different typefaces will be studied.

Kinds of scientific studies

An explorative study will be undertaken in order to find out how the ideology of the Romanian Communist Party affected the choice of a sans serif for the body text. The explorative study should be carried out in order to identify typical cases where the use of ideological beliefs was applied to typography of the newspapers.

A descriptive study should investigate on a deeper level the properties of the two media for type display – print and screen. This kind of study should try to characterize the two kinds of typography – printed and on screen.

Depending on the results of the explorative and the descriptive study a third explanatory study should try to identify causal connections between serif type in print and sans serif on screen on one hand. On the other hand the impact of the change of habit on the perception and definition of the type readability should be observed.

Some methodological principles

• Delimitation

The problem to investigate is: Does the habit of reading serif or sans serif text affect our perception of the readability and legibility attributes of the text?

The study will not include conclusions concerning the reading speed. Neither will the study concern with detailed typeface design issues

• Alternative approaches

Ignoring the process of the typeface character design might limit the proposed study.

Another limitation is the fact that only Latin characters and typography will be the main concern for this research on a typography topic.

If the habit of reading serif or sans serif typefaces does not affect our perception of the readability and legibility of the text then should type design and letter shaping became the area of investigation and a new research interest.

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ALF LOMBARD'S LEXICOGRAPHIC PREOCCUPATIONS. THE ROMANIAN-FRENCH DICTIONARY

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ABSTRACT. The article presents the lexicographic activity of the Swedish Romanist, from his first preoccupations in the domain, which go back to the beginning of his career as a linguist, in the last 20 years of the last century (*Europas och den vita rasens språk. En systematisk översikt* (The languages of Europe and of the White Race. A Systematic Approach), Upsala – Stockholm, 1926) to the end of his life (*Språken på vår jord* (The languages of the world), Symposium, Stockholm, 1990, with subsequent editions). The article insists on his preoccupations concerning Romanian lexicology and lexicography, with special emphasis on his two important works in this domain *Dictionnaire morphologique de la langue roumaine*, Lund – București, 1982, and *Dictionnaire roumain-français*. Unfortunately, the latter was left unfinished. The authors present new aspects concerning these two works and examine Alf Lombard's importance as a lexicologist and lexicographer in the 20th century Romance and Romanian linguistics.

Key words: Lombard, Romanian Language, Bilingual Dictionary, French-Romanian Dictionary

1. First of all, we have to mention the fact that Alf Lombard's interest in lexicography had been old and constant. This interest dated back to his beginnings as a linguist, lasted till the year of his death, 1996, and had materialized in a certain number of volumes. Some of these have an encyclopedic character, such as his collaboration to the *Nordisk Familjebok* Encyclopedia (The book of the Northern Family) between 1923 and 1937, to the *Svensk Uppslagsbok* (The Swedish Encyclopedia) between 1947 and 1955 or his works on the languages of the world: *Europas och den vita rasens språk. En systematisk översikt* (The languages of Europe and of the White Race. A Systematic Approach) in 1926, *Språken på jorden* (The languages of the world) in 1947 and *Språken på vår jord* (The languages of the world) in 1990 with the third edition in 1994 and the Norwegian translation in 1996. Other works belong to the bilingual lexicography: *Svensk-fransk parlor med uttalsbeteckning* (Swedish-French conversation guide with pronunciation specifications) in 1929, the collaboration to the well-known Niloé dictionaries (French-Swedish and Swedish-French in 1963, Italian-Swedish and Swedish-Italian in 1967) or the series of conversation guides "på väg": *Franska* and *Italienska* in 1972, *Rumänska* and *Spanska* in 1973, the volume dedicated to Romanian published after the *Rumänska till husbehov* (Everyday Romanian) in 1936.

Then, we have to remind that Alf Lombard's activity as a Romanist was dedicated mostly to the Romanian language, an area in which the Swedish linguist

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achieved performances worthy of an entire Academic institution. *La prononciation du roumain* in 1935 is a real Phonetics of Romanian, which has as departure point the speech of an educated Bucharest inhabitant. *Rumänisk Grammatik*, from 1973, which became in 1974 *Le langue roumaine. Une presentation*, is a synthetic description of the Romanian grammar not equaled until now, the last volume preceded in 1955 by the massive volumes dedicated to the Romanian verb, and followed in 1982 by *Dictionnaire morphologique de la langue roumaine*, in collaboration with C. Gâdei, a work which exhausts the detailed description of the Romanian nominal and verbal flexion. Consequently, it was expected that Alf Lombard would accept a third challenge that can be found between the objectives of all humanist Academic institutions: the elaboration of a Romanian language dictionary.

2. The idea of such a bilingual Romanian-French dictionary dates back in 1950-1955; it had been clearly stated in *Le verbe roumain*, p. 33, but the material collection had probably begun earlier. His model was Ghiță Pop's little Romanian-German Dictionary, which contains indications regarding words flexion: *Taschenwörter der rumänischer Sprache*, Berlin, 1911, from the lexicographic collection "Langenscheidts Taschenwörterbücher" a collection that Alf Lombard cherished a lot (he wrote about it an ample presentation in "Studia Neophilologica" in 1932-1933).

2.1. The dictionary, as conceived by Lombard, had to exceed, from all the points of view, the Pop model, coming closer to what he called "the ideal dictionary", which had to include the orthographic, semantic, phonetic and morphologic aspects of the Romanian language. He also thought of giving the words etymology at a certain moment. The dictionary had to be an essential working tool for those interested in the Romanian language, useful especially to foreign students, teachers, researchers who want to study the Romanian language. That is why he considered that the idea of a bilingual Romanian-French dictionary was the most suitable one. On one of the dictionary working sheets Alf Lombard actually clearly states that his dictionary addresses to the French interested in Romanian and only subsidiary to the Romanian interested in French. The emphasis had to be on the pronunciation of every word (in the international phonetic transcription) and, given that the Romanian morphology is very difficult, with a lot of vowel and consonant alternations, on the indication on every word flexion, by giving references to separate tables meant to show the entire flexion of nouns, pronouns, adjectives, numerals and verbs. Alf Lombard's desire was that the morphologic description of the words to be included in comprising classes, so that the exceptions (one of the facts that he wasn't satisfied about in Ghiță Pop's dictionary) to be as few as possible.

2.2. The list of words elaborated by Alf Lombard is based especially on I.-A. Candrea's *Dicționarul enciclopedic ilustrat „Cartea Românească”* (CADE) (The Illustrated Encyclopedic Dictionary "Cartea Românească"), on the

Dicționarul limbii române (DA) of the Academy (The Dictionary of Romanian language), on Tiktin's Romanian-German Dictionary (TDRG), and also on newer dictionaries: *Dicționarul limbii române literare contemporane* (DL) (The Dictionary of the Contemporary Literary Romanian Language), published by the Romanian Academy between 1955 and 1957 in four volumes and on the *Dicționarul limbii române moderne* (DM) (The Dictionary of the Modern Romanian Language), Bucharest, 1958. For neologisms, the author resorted to French encyclopedias. We think that he did not use *Dicționarul limbii române* (DLR) (The Dictionary of Romanian Language), the continuation of DA, which started to be published in 1965, because at that time, the work to the Romanian-French Dictionary was probably sporadic. The dictionary had to be very rich, including, beside the words of the contemporary language, many archaisms and dialectal words, regional and popular.

2.3. The structure of the articles followed the CADE model, combined with TDRG, where from he also took the idea of translating the quotations and the expressions.

2.4. As regards the lexicographic technique, Lombard's dictionary presents some innovations: the lexical variants are not included at the main entry, but they are registered at their alphabetic order, referencing the main entry, and the compound words also (a great number, especially names of plants and animals) are not incorporated to the main entry, but they are separate articles (see, for instance, *cuc*, *ceapă*, *iarbă*), a procedure not used before him in the Romanian lexicography, and probably inspired by the German dictionaries.

2.5. In 1959, at the "Journées d'études roumaines" colloquium in Paris, Alf Lombard presented a communication on the Dictionary he had started to work at with other three linguists in Lund. The communication was published in 1961 in "Revue des études roumaines", with the title *Un dictionnaire roumain d'un genre nouveau*. Here, he briefly motivates the necessity of elaborating this new type of dictionary, first of all because of the lack of such working tools meant to make the Romanian language "studiable" ("il faut donc rendre le roumain «étudiable». Pour cela, il nous faut des instruments de travail"). And the most important of all these working instruments was, in Lombard's opinion, a dictionary able to complete the previous dictionaries (he quoted TDRG, CADE, DA) in what they lack: the phonetic part and the morphological part. The presence of these parts in a lexicographic work, dedicated, first of all, to foreigners, is justified by the complexity of the Romanian phonetics and morphology. The orthography of Romanian is, according to Lombard, far from being a phonetic one (it is given the example of the group of letters *iu*, which can represent a descending diphthong as in *fiu* "son", or an ascending diphthong in *iute* "quickly", two vowels in hiatus in *fiul* "the son", and a vowel, *u*, in *ciudă* "envy, anger"), and the flexion (nominal and verbal) is impossible or very difficult to deduce for very many flexional words

(like in: *tremur* – the indicative present of *tremura* “to tremble, to shiver”– is stressed on the first syllable: *trémur*, and *cunun* – the indicative present of the verb *cununa* “to wed”, belonging to the same conjugation as *tremura* – is an oxytone word: *cunún*; or even more complicated, the flexion of the verb *rezema* “to lean” – with its variants: *rezema*, *rezăma*, *rezima*, *rezma*, in the indicative present: *razim*, *razăm*, *razem*, *razm*, *reazăm*, *reazim*, *reazem*, *rezim*, *rezem* etc.). In this article the author also motivates the choice of a bilingual Romanian-French dictionary: such a dictionary, says Lombard, “doit être roumain-français ou ne pas être”, “parce que le roumain est une langue romane et que le français est la langue romane la plus importante”.

2.6. Who are the people with whom Alf Lombard started the work to the dictionary, he does not say in this article. It is certain (from information obtained from those who still live) that, beside professor Lombard, who, without any doubt, established the elaboration principles, the lexical inventory, the abbreviations and special signs list, also worked at the dictionary: Mrs. Dagmar Falk (the only one in this small the team who still lives and who, according to her own statements, participated to the discussions regarding the elaboration principles and worked exclusively at the tables with the nominal flexion), Constance Milcoveanu and Vasile Chiru (Vasilios Kirou). It is difficult to establish what were the contributions of each of the latter ones. All we know from Mrs. Falk’s declarations is that the words typing according to CADE and their first translation had been done by Constance Milcoveanu, and, from the working sheets we can notice that one of the editors had been, for sure, Vasile Chiru (until his death, in 1966). We also do not know for sure how long they worked at the dictionary. After Alf Lombard’s retirement in 1969, it is certain that the dictionary was not continued at the Institute. After this year, the professor focused on the morphological part he published, together with Constantin Gâdei, in 1982 (in the *Preface* he states that the volume represents “the morphological part we intend to publish”). As we can see, in 1981 Alf Lombard did not lose his hope of seeing the entire dictionary published.

3. Working with the dictionary sheets, which, in the year 2000, when we researched the material, were in Heinz Hoffmann’s custody in Lund, we could notice the following facts:

1. The sheets are 90% typed, in ¼ of A4 format, usually in two copies.
2. The initial alphabetical order was not respected and there isn’t also a consistent separation of the two copies. It was very difficult at that stage of the research to establish the number of sheets. We arranged them on letters – approximately – (as they were in a complete disorder), in eight carton boxes for copy paper (type Multicopy). We estimate that there could be over 80 000 sheets of ¼ of A4 format, to which we have to add a few hundred in A5 or A4 format. We think that the number of entries (lemmas) is about 45 000-50 000, if we consider the fact that not all of them have a

- copy. (Unfortunately, Heinz Hoffmann died in the spring of 2007, and we know nothing about the boxes with sheets that remained at his house).
3. The sheets for the Romanian-French dictionary were mixed with other few thousands sheets of 1/8 of A4 format, extracted from Romanian and foreign reviews with the purpose of elaborating a "Romanian Bibliographic Index", a work which had to be accomplished in collaboration with teams from the Institutes in Cluj (coordinated by Emil Petrovici) and Bucharest (coordinated at first by Al. Graur and Iorgu Jordan and then by Ion Coteanu), a project about which there are some documents in Lombard's archive, dating back in 1963-1968. (For details regarding this project, see Alf Lombard and Alexandru Rosetti, *Corespondență*, vol. I. 1934-1964, p. 368-370, and vol. II. 1956-1974, p. 66 and subsequent). It is also possible that, during this period, Lombard's attention and of his team from Lund to focus on elaborating this Index, regarded as an auxiliary work for the Romanian-French dictionary. The fact that Alf Lombard entrusted Heinz Hoffmann, inside the initial boxes where the sheets for the dictionary were, the sheets for this lexicographic index also, seems to prove that he intended to use them for this work.
 4. Almost all the material for the Romanian-French dictionary extracted on sheets has French translations, some of these very carefully done and checked by Alf Lombard, others need a careful check (for instance the letters *J* and *V*). There are also quite a lot of sheets (maybe about 15-20 %) for which there is only the rough translation of the meanings.
 5. The letters from the beginning of the alphabet are in a more advanced finishing phase, but there is no fragment in the final editing or revision phase, properly speaking.
 6. None of the words have the pronunciation indicated and there are no references to the morphological tables.
 7. More words, especially the grammar tools (prepositions, conjunctions), but also some nouns in the main vocabulary have a very careful and detailed editing. Such words with many meanings are illustrated with very well chosen quotations and most of them have been, doubtlessly, revised by the dictionary's author. For these, the French equivalents are also carefully selected.

4. The material for Alf Lombard's Romanian-French dictionary, as it is now, has a beyond any doubt value, not only for the Romanian lexicography, but also for the Romance studies. It could be valuated in a dictionary completed according to the principles established by Alf Lombard. To continue it, in order to finalize and publish it involves a lot of work, tiresome and extended during several years. All the sheets and all the editing variants need to be checked in detail, the parts that Alf Lombard could not entirely revise need completions, it is also needed to add the pronunciation for each word (in the international phonetic alphabet; this

thing is easy to be done now, as there is a *Dicționar de pronunțate a limbii române* (Romanian Pronunciation Dictionary) published by Ana Tătaru), and for the morphological part is needed a referencing system to Lombard-Gâdei Morphological dictionary. On the other side, the dictionary, as conceived by Lombard, can be enriched by adding a series of words, especially neologisms and technical terms that have been adopted by Romanian during the last 30-40 years. We know for sure that the idea of continuing, completing and publishing this dictionary must not be abandoned, all the more that Romanian, unlike other Romance languages, does not have till present a dictionary of this kind. We think that publishing it would be of real use for the Romance studies, thus the Romanists having an essential instrument for a scientific and more thorough knowledge of the Romanian language.

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KODE-WECHSEL UND DIE BEDEUTUNG LEXIKALISCHER ANPASSUNG

ȘTEFAN GENCĂRĂU♦

ABSTRACT. Our wish in this text is to discuss the results of linguistic contact mainly on the lexical level. The text we are going to present here was given to us by a Romanian speaker belonging to a community in which the consequences of linguistic interferences are a defining process for the majority of the speakers. The process presented in such texts was primarily considered to be the result of foreign language acquisition. By indicating the user of such a text, we would like to eliminate the possibility of interpreting the phenomenon we have mentioned before as being the effect produced by the learning of a foreign language. It is true. When discussing changes in the linguistic code, only the defining characteristics of the phases of foreign language acquisition and the existing interactions were taken into consideration. It was proved that during the stages of vocabulary and linguistic structures acquisition the succession of the code plays an important role. It underlines certain breaks, changes of focus on the object which is the purpose of communication, role and function changes of the interlocutors. The change of code that we are presenting doubtlessly includes sociolinguistic values different from the stages of foreign language acquisition.

Key words: linguistic code, foreign language acquisition, linguistic interaction, code-switching

1. Gegeben sei ein Text¹:

Eu² șed în Micheretyi, îi lîngă Șercad. Tare îmi place aicice, dîrce îi un sat mic. Tătă lume tye cunaștye. Poși vorovi cu cinye vrei. Noi șigyem pã ulița Kôlcsey. Îmi place ulița asta, dîrce (1) avem vecinye buni, noi stăm pã lăture dreaptă. Muierile sã duc mai mult la „Bold în sat” la „Chișu” cã acolo dă tătye află. La noi îi divotu (2) cã tătă lume umblă cu utău (3), îi mai kényelmes (4). Oamenyi dă aici sã foglalkozlesc (5) cu folii (6), cu piparcă și cu castraveți. Muierile cociozlesc (7), tecerlesc (8) și gozălesc (9). Oamenyi mai tare permetelesc (10). Diminyța nye sculăm iutye pînăce nui cald în folii, și culejem ce avem, cu nopsamoși (11). Cînd cură după noi apa vinyim afară la levegeu (12) și nye pihenlim (13). La 12 mnyezăzăm cînd batye clopotu, apoi nye culcăm. După mnyiază mai mă duc cu bicigla în sat și vād cei dă nou. Sara la 6 iară merem în folii pînă la 9. După ce am vinyit în casă fac rend (14). Ștyerg dă praf, mai porsivozlesc (15). Anyu mai ferbe în cohe (16) uă în konyhă (16). Dă cină o sucuit (17) și facă croampe fritye. La apu îi place curetyi umplut. (1. dîrce³; mert; pentrucă 2. divotu; divat; moda 3. utău; auto; mașină 4. kényelmes; comod 5. foglalkozlesc: foglalkoznak; se ocupă 6. folii; folia; sere 7.

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¹ Unser Dank für die dt. Übersetzung gilt Herrn Prof. Dr. Dres. h.c. Rudolf Windisch.

² Ana Ruja, Micherechi, Ungarn

³ Dieser Einschub enthält Erklärungen, die die Sprecherin zu den Wörtern ihres eigenen Textes gibt.

cociozlesc; kaccsozni; rupe partea crescută care nu trebuie să rămână „vie” 8. tecerlesc; tekerni; conduce firul plantei pe firul pe care trebuie să crească 9. gozălesc; gazolni; a plivi 10. permetezlesc; permetezni; stropesc cu substanțe protectoare 1. nopsamoși; napszámosok; lucrători 12. levegeu; levegö; aer 13. pihenlim; pihenni; a se odihni 14. rend; ordine 15. porsivozlesc; porszivozni; a face curat cu aspirator 16. cohe, konyhă; konyha; bucătărie 17. sucuit; szokott; obijnuít)⁴.

2. Zunächst wollen wir klarstellen, dass das von uns hier vorgestellte Text-Korpus, auf dessen Grundlage wir lexikalische Interferenzen verfolgen und über sprachliche Anpassungen sprechen wollen, keinesfalls das Ergebnis einer enquête ist und auch nicht auf Grund einer eigenen Aufnahme entstand, sondern uns mit besonderer Affektivität von einem Sprecher des Rumänischen aus einer Sprachgemeinschaft angeboten wurde, in der die Folgen sprachlicher Interferenzen für die Mehrzahl der Sprecher einen abgeschlossenen Prozess bedeuten⁵

3. Die in solchen Texten dargestellten Prozesse wurden lange Zeit als Folge der Aneignung einer Sprache als Fremdsprache angesehen. Um den Sprecher einer solcher Textfolge, wie sie uns angeboten wurden, vorzustellen, möchten wir jede Möglichkeit ausschließen, dass das Phänomen, auf das wir uns beziehen, als ein Schritt zur Aneignung einer Sprache als Fremdsprache gedeutet werden könnte. In der Tat – wann immer von einem Wechsel des sprachlichen Kodes die Rede war, wurde bevorzugt die Besonderheiten der Abfolge erfasst, in denen man eine Fremdsprache erlernt sowie die Interaktionen, die man feststellen konnte.

3.1. So wurde gezeigt, dass bei den Etappen der lexikalischen Aneignung und der sprachlichen Strukturen der Wechsel des Kodes eine wichtige Rolle

⁴ Die deutsche Übersetzung des Textes soll zum Verständnis der hier diskutierten Aspekte beitragen.: *Ich wohne in Micheretyi, das ist bei Șercad. Es gefällt mir hier sehr, weil es ein kleines Dorf ist. Alle Welt kennt dich. Du kannst sprechen mit wem du willst. Wir wohnen in der Kőlcsey – Straße. Mir gefällt diese Straße, weil (1) wir gut Nachbarn haben, wir befinden uns auf der rechten Seite. Die Frauen gehen oft in den Dorfläden⁴, zum „Chișu“, weil sie dort alles bekommen. Bei uns ist es üblich (2), dass alle mit dem Auto (3) rumfahren, das ist bequemer (4). Die Leute von hier beschäftigen sich (5) mit den Gewächshäusern (6), mit den Paprika und den Gurken. Die Frauen brechen die wilden Triebe aus (7), binden die jungen Pflanzentriebe (8) und jäten (9). Die kräftigeren Männer spritzen Pflanzenschutzmittel (10). Morgens stehen wir früh auf bevor es in den Gewächshäusern warm wird und wir sammeln, was wir haben, mit den Arbeitern (11). Zum Wasser holen gehen wir raus an die Luft (12) und ruhen uns aus (13). Um 12 Uhr mittags, wenn die Glocke schlägt, legen wir uns dann nieder. Nach der Mittagsruhe fahre ich mit dem Rad noch mal ins Dorf und schau, was es Neues gibt. Abends um 6 gehen wir wieder in die Gewächshäuser bis um 9. Nachdem ich zuhause angekommen bin, mache ich Ordnung (14). Ich wische Staub und sauge Staub (15). Dann koche ich in der Küche [„cohe“, auch „konyhă“] (16). Ich mache zum Abendessen gewöhnlich (17) Bratkartoffel/ frites.*

⁵ Ähnliche Phänomene lassen sich in verschiedenen Gemeinschaften ausmachen; wir verweisen dazu auf Carmen Muñoz, «Influence translinguistique et changement de code dans la production orale d'une l4», *Acquisition et Interaction en Langue Étrangère*, AILE, 24, 2006.

spielt. Er markiert bestimmte Brüche, Wechsel in der Fokalisierung des Objektes, über das man sich austauscht, Rollenwechsel und Funktionswechsel der Sprecher⁶.

3.2. Der Kode-Wechsel, den wir hier verfolgen, umfasst zweifellos soziolinguistische Werte, die sich zum großen Teil von jenen beim Erwerb einer Fremdsprache unterscheiden. Unbestreitbar beziehen sich die Teilnehmer an einem Dialog in jeder Situation, in unterschiedlicher Weise, auf die Sprachen, zu denen sie Zugang haben. Wer eine Fremdsprache erwirbt, misst der ersten Sprache eine wichtige Funktion zu, *indem er alle sprachlichen Hilfsmittel der Muttersprache weckt*⁷, die einem Sprecher außerhalb der Gemeinschaft der Ausgangssprache gewöhnlich nicht zugänglich sind⁸. Selbst der Lehrer, der den Erwerb der Zielsprache sichert⁹, kann sich außerhalb des Kodes stellen, auf den sich der Kursteilnehmer durch die Rückkehr auf die Muttersprache bezieht, während das Subjekt, oder der Kursteilnehmer, durch eine doppelte, zusammengehörende Dynamik gekennzeichnet ist: als soziales Subjekt und in der Erwartung auf Kenntnisse eines neuen, kulturellen Horizontes. Laut Mondala-Doehler¹⁰ wird der Bezug zwischen den beiden sozialen Rollen, also des Kursteilnehmers und des Lehrers, in dem Maße *ausgeglichen, in dem die verbale Interaktion die zweisprachigen Ressourcen bevorzugt und verrät, indem sie die Grenzen des bilingualen Repertoires der Teilnehmer abwertet*. Außerdem verwirklicht sich – in Übereinstimmung mit Moore-Castellotti¹¹, aber auch mit C. George¹² – *der Rückgriff auf die Ressourcen des bilingualen Sprechers im Allgemeinen zugunsten des gesamten Erwerbsprozesses der Strukturen der Zielsprache*¹³.

⁶ SIMON, D.-L. «Alternance codique en classe de langue : rupture ou contrat de survie? » In *Études de Linguistique Appliquée*, 1997, 108, 445-456.

⁷ Catherine CARLO, «Influence des productions langagières du natif sur le lecte d'apprenants intermédiaires ou avancés, en interaction duelle», *AILE*, 11, 1998.

⁸ PY, B., «Didactique des langues étrangères et recherche sur l'acquisition. Les conditions d'un dialogue». In *Études de linguistique appliquée*, 2000, 120, 395-404.

⁹ CASTELLOTTI, V. & D. MOORE (Dir), «Alternances des langues et construction des savoirs», In *Cahiers du Français contemporain*, 1999, 5.

¹⁰ MONDADA, L. & S. PEKAREK DOEHLER, «Interaction sociale et cognition située : quels modèles pour la recherche sur l'acquisition des langues » In *Acquisition et Interaction en Langue Etrangère* 2000, 12, 147-174.

¹¹ MOORE, D. & V. CASTELLOTTI, «Comment le plurilinguisme vient aux enfants». In V. Castellotti (Dir), *D'une langue à d'autres, pratiques et représentations*, Presses Universitaires de Rouen, Collection DYALANG, Rouen, 2001, 151-189.

¹² GEORGE, C., *Apprendre par l'action*. Paris, P.U.F., 1989.

¹³ Siehe Catherine CARLO, supra, die glaubt, dass: *L'activité langagière du natif s'avère facilitatrice pour la production de messages des apprenants considérés, davantage par les occasions qu'elle leur offre de déclencher des mécanismes acquisitionnels que par les marques langagières-modèles qu'elle leur fournit. Elle favorise un mécanisme bien identifié, l'activation des connaissances qui, en faisant passer les traces en mémoire d'un état « dormant » à un « état d'éveil », est la condition nécessaire de la consolidation des connaissances par augmentation de la force de ces traces dans la mémoire du bilingue.*

3.3. Anders, als nur eine Folge des Erwerbs einer der Sprachen, genauer bei der Aneignung des Rumänischen, wurde der Kode-Wechsel als ein allgemeiner sprachlicher Prozess zur Diskussion über das Medium eingebracht, wie auch außerhalb des Mediums, aus dem der Sprecher stammt, der uns den oben angeführten Text angeboten hat.

3.3.1. In dem Medium, aus dem der Sprecher mit der entsprechenden Kompetenz stammt, wurde der Kode-Wechsel ausführlich mit Blick auf seine soziolinguistischen Auswirkungen von Anna Borbély untersucht. Sie geht von der bekannten Theorie von Haugen¹⁴ über die lexikalischen Entlehnungen aus und erwähnt jene drei Vorgänge, die in Situationen des Sprachkontaktes eintreten, in den zwei Sprecher verschiedener Sprachen eingebunden sind. Den ersten Vorgang, den Borbély ausmacht, ist der *Wechsel des Sprach-Kodes*¹⁵. Der zweite Prozess bezieht sich auf die sprachliche Interferenz und setzt den Transfer sprachlicher Praktiken von einer Sprache in die andere voraus, aber nicht den Kode-Wechsel; der dritte Prozess betrifft die *sprachliche Integration* der beiden Sprecher, die ursprünglich in verschiedenen Sprachen zuhause sind. Das Vorgehen der Forscherin ist verdienstvoll, zunächst einmal wegen der unterschiedlichsten Beispiele, die sie als gute Kennerin des Rumänischen in Ungarn anführt. Wichtig bei diesem Zugang auf den Kode-Wechsel ist einerseits die Typologie, die Auna Borbély vorschlägt, andererseits ihr Versuch, die Gründe zu finden, die zur Einleitung des Kode-Wechsels führen. In ihrer Erörterung des Kode-Wechsels, in der sie mit Gumperz¹⁶, Heller¹⁷ und Grosjean¹⁸ übereinstimmt, geht sie davon aus, dass unter den Ursachen für diesen Prozess in erster Linie *der Status und das Prestige der Sprache* zu sehen sind, *von wo aus man zu einer anderen Sprache wechselt*, dann das *Gefühl der sprachlichen Sicherheit und der Gruppen-Solidarität* wie auch *das Gefühl für die nationale und sprachliche Identität, was sich mittels der Sprache manifestiert*.

3.3.2. Außer dem Medium, aus dem der Sprecher unseres Textes kommt und mit dem wir die Erörterung der lexikalischen Zwänge und den vom Wechsel des Sprache-Kodes abhängigen Folgen beginnen wollen, wurde der Prozess des Übergangs von einer Sprache in die andere – zusätzlich zu den von Anna Borbély aufgeführten Autoren – auch von Carol Myers-Scotton verfolgt. Wir sind der Ansicht, dass dessen Ausführungen vor allem wegen des Aufbaus der Arbeit, auf die wir uns beziehen, unser Interesse verdient: sie enthält eine Reihe terminologischer Klarstellungen.

¹⁴ Einar HAUGEN, *The ecology of language*, Stanford, Calif., Stanford University Press, 1972.

¹⁵ BORBÉLY Anna, „A kódváltás a Magyarországi Románok Beszédében”, in *Annales*, Giula, 2000, 103-133.

¹⁶ John J. GUMPERZ, *Discourse strategies*, Cambridge, Cambridge University Press, 1982.

¹⁷ Monica HELLER, „Strategic ambiguity: codeswitching in the management of conflict”, in Monica Heller, ed., *Codeswitching. Anthropological and Sociolinguistic Perspectives*, Berlin: Mouton de Gruyter, 1988.

¹⁸ Fr. GROSJEAN, „The Recognition of guest word by bilinguals”, in: *Summer School Code-Switching and Language Contact*, Leeuwarden, 1994.

Myers-Scotton¹⁹ stellt zunächst das Sprachniveau heraus, auf dem sich ein Kode-Wechsel vollzieht; dann stellt er fest, dass eine Reihe von Arbeiten, die diesen Prozess verfolgen, das Problem der sprachlichen Zwänge stellen, die eine syntaktische Vereinheitlichung der Sprachen erlauben, in denen sich Einschübe von Elementen einer anderen Sprache finden. So wurden nach Ansicht von Myers-Scotton erst kürzlich der Prozesse des sprachlichen Kode-Wechsels den *Klassen und Kategorien von Einschränkungen zugeordnet, die den im Kontakt stehenden Sprachen gemeinsam sind*. Bei der Erörterung des Sprachniveaus, auf dem sich der lexikalische Einschub vollzieht, fragt sich Myers-Scotton, ob *jedes lexikalische Element, jede eingeschobene Einheit, einen Kode-Wechsel darstellt*, oder ob unter Kode-Wechsel *Satz-Einschübe oder Einschübe längerer Konstituenten zu verstehen sind*. Während die Einschübe lexikalischer Einheiten laut Reyes²⁰ (16) – von Myers-Scotton kommentiert – als *Entlehnungen* anzusehen sind, müssten die bilingualen Phänomene, bei denen sich Junktoren und Relatoren einfügen, welche die in Kontakt befindlichen Sprachen voneinander unterscheiden, als *Kode-Wechsel* bezeichnet werden. Die einfachen lexikalischen Einschübe führen nicht nur zu Fragen nach dem Kode-Wechsel. Die lexikalischen Einschübe in Texten dieser Art bieten abgestufte, formale Aspekte, von denen einige vollständig assimiliert sind, andere dagegen unterschiedliche Grade der Anpassung an die Ausgangsprache bewahren. Von daher sei die Unterscheidung zwischen *Entlehnung* und Kode-Wechsel, laut Myers-Scotton, leicht festzulegen. Die Entlehnungen erweisen sich als *Einbindungen in die aufnehmende Sprache*, während Kode-Wechsel durch unterschiedliche Grade der Nicht-Anpassung an die in der aufnehmenden Sprache vorkommenden lexikalischen Einheiten gekennzeichnet seien²¹. Die lexikalischen Einschübe aus dem Ungarischen, die unser Text aufweist, können die Bedeutung dieses Kriteriums dort belegen, wo sich der sprachliche Kontakt zwischen zwei Sprachen mit unterschiedlicher Flexion abspielt; spezifisch für eine der Sprachen, und zwar gerade für die, in der der lexikalische Einschub erfolgte, ist, dass die Flexion den lexikalischen Einschub beeinflusst, während die Syntax der aufnehmenden Sprache – wie die Beispiele von Anna Bobély belegen – die Junktur der längeren Sequenzen sowie umfangreiche Phrasen der Texteinheiten bestimmt.

¹⁹ Carol MYERS-SCOTTON, *Duelling Languages: Grammatical Structure in Codeswitching*, Clarendon Press • Oxford, 1993.

²⁰ Reyes, den wir nach Carol Myers-Scotton zitieren, schlägt vor, unter Entlehnungen solche Beispiele zu verstehen, wie sie sich etwa im Kontakt Englisch - Spanisch, Hizo, ergeben: ‚She’s much improved‘. Trotzdem scheint Myers-Scotton Einar Hauen Recht zu geben, über den er sagt: *Einar Haugen, a giant in the field of language contact and bilingualism from the 1950s, had earlier been very clear in asserting that single lexemes might be considered CS forms. In an overview of bilingualism and language contact in the United States (1973: 521), he reaffirms his earlier use of the term CS [codeswitching] to refer to the alternate use of two languages including everything from the introduction of a single, unassimilated word up to a complete sentence or more into the context of another language.*

²¹ Ein Beispiel für partielle Anpassung – ein Kode-Wechsel –, das die Entlehnung aus dem Französischen in das Englische differenzieren würde, wäre laut Myers-Scotton das französische Syntagma *rendez-vous*

3.3.3. In der Form des Rumänischen und in den räumlichen Varietäten, die dem Sprecher unseres Textes fremd waren, wird der Wechsel des Sprach-Kodes sowohl aus theoretischer als auch aus praktischer Sicht anhand einer *aromunischen Mundart aus Griechenland* behandelt. Auf der Grundlage von Myers-Scotton, aber auch unter Berücksichtigung der von Weinreich²² formulierten Unterscheidungen, hält Gabriela Stoica²³ *die Beobachtung des Sprachwandels auf lexikalischer Ebene her für relevant und von den Ergebnissen her für besonders ertragreich; eine der wesentlichen Neuerungen ist ohne Zweifel durch die Entlehnung gegeben und vor allem durch den Wechsel des Kodes.* Bei der Untersuchung einer süddanubischen diatopischen Varietät des Rumänischen, innerhalb eines Bereiches, in dem *das Neu-Griechische die wichtigste eingefügte Sprache* ist, bedeutet dieses Vorgehen die konsequente Inventarisierung der *kulturellen* wie auch der *Kern-Entlehnungen* und legt fest, dass sich die *kulturellen Entlehnungen* in dieser diatopischen Varietät des Rumänischen *in semantischer Hinsicht, vor allem auf konkreter Ebene, zur Bezeichnung der unmittelbar erfassbaren Wirklichkeit, eingefügt haben.* Dagegen ordnen sich die Kern-Entlehnungen auf einer *strikt grammatikalischen Ebene* ein, *in fast alle bestehenden lexiko-semantischen Kategorien, mit quantitativer Abstufung*²⁴. Das erstellte Korpus bietet die Möglichkeit, zwischen „Entlehnungen“ und „Kode-Wechsel“ zu unterscheiden. Die Fälle von lexikalischer Interferenz werden recht unterschiedlich bewertet, während die *eindeutigen Fälle von Kode-Wechsel* in der Konzeption der Autorin *an die Augenblicke der Kommunikation gebunden sind, wenn die Sprecher von einem sprachlichen System zu einem anderen wechseln*²⁵. Dies heißt für uns, dass der Kode-Wechsel zunächst eine diskursive Haltung bedeutet, die an ein bestimmtes lexikalisches Inventar gebunden ist. Der für das Aromnische erfasste Kode-Wechsel bezieht sich dank des rigorosen Vorgehens von Gabriela Stoica nur auf *bestimmte semantische Felder aus dem Bereich des sozialen oder ökonomischen Lebens, in dem die bilingualen Individuen bestimmte soziale Rollen durchlaufen.* Ganz wie im Falle des von Anna Borbély²⁶ in Ungarn aufgenommenen Rumänischen betrifft der Prozess des Kode-Wechsels bei den Aromunen sowohl den Übergang von einer Sprache in eine andere, als auch den von einer sprachlichen Varietät in eine andere.

3.3.4. Die Einführung von lexikalischen Einheiten oder Textfolgen unterschiedlicher sprachlicher Herkunft kennt auch andere Umsetzungen als jene, die an eine idiomatische Varietät gebunden sind und affiziert nicht nur das Sprechen. Wir haben in verschiedenen Situationen eine poetische Wirkung einer

²² Uriel Weinreich, *Languages in contact. Findings and Problems*, New York, 1953.

²³ Gabriela Stoica, „Împrumuturi și schimbare de cod într-un grai aromân din Grecia”, In *Fonetică și Dialectologie*, 2003-2004, 247-286.

²⁴ *Ibid.*, p. 265.

²⁵ *Ibid.*, p.247.

²⁶ Borbély Anna, „Bilingvismul”, In *Simpozion*, Giula, 2000, und In *Annales*, Giula, Ungaria, 2000.

bewusst durchgeführten Sprachmischung erfasst²⁷. Zugleich wurde die Wichtigkeit der syntagmatischen Anordnung von Sequenzen aus verschiedenen Sprachen mit Blick auf die Definition von Sprichwörtern herausgestellt. Zu diesem Zweck, wie auch zur Definition von Kode-Wechsel, wird der Wortlaut, oder eine Abfolge eines Wortlautes aus der Sprache der Kommunikation, als *Matrix-Wortlaut* gefasst. Dieser Matrix-Wortlaut erlaubt es, dass ihm eine Abfolge aus einer anderen Sprache *als lexikalischer Modus* eingefügt werden kann. Cram stellt fest, dass dieser Vorgang in den meisten Fällen das Sprichwort (Proverb) betrifft. Ein Sprecher, der auf eine autoritäre Formel zurückgreifen möchte, hat die Möglichkeit, in einer englischen Äußerung eine lexikalische Sequenz aus dem Französischen einzufügen, wie z. B. in *Well, plus ça change, plus c'est la même chose*. Dieses Verfahren verdeutlicht laut Cram²⁸ die idiomatische Kompetenz des Sprechers und aus anderer Sicht auch dessen Fähigkeit, in die auf natürlichem Weg erworbene Sprache Sequenzen aus anderen Sprachen syntagmatisch einzufügen²⁹.

4. Schließlich ist noch zu vermerken, dass der uns angebotene Text, der als Vorspann zu einer Befragung der durch den Terminus *Kode-Wechsel* bezeichneten besonderen Prozesse angefügt wurde, folgende Eigenschaften aufweist: er ist

- a) schriftlich, bzw. nicht phonetisch transkribiert
- b) er erklärt, mit Anmerkungen versehen, dass der Informant nach der Aufnahme eine schriftliche Version vorgeschlagen hat,
- c) und aus der schriftlichen Version lexikalische Einheiten ausgewählt hat, um sie mit dem rumänischen Äquivalent zu versehen.

4.1. Auf der Grundlage eines solchen Textes können wir eine andere Dimension des Kode-Wechsels erfassen.

4.1.1. Der erste, und vielleicht auch der wichtigste Aspekt des Kode-Wechsels besteht in der Tatsache, dass der Sprecher, der diesen Wechsel vollzieht, sich der Tatsache bewußt ist, dass er fremde lexikalische Einheiten aus der Ausgangssprache, also aus dem Ungarischen, eingeführt hat.

4.1.2. Die Fähigkeit des Sprechers, lexikalische Einheiten in der Ausgangssprache oder in der Liefersprache, mit der in Kontakt kommt, zu unterscheiden oder dort einzufügen, hängt nicht von seiner schulischen Ausbildung ab, sondern von seinem Kenntnisstand der beiden Sprachen.

²⁷ Ștefan Gencărau, „Paul Celan. Traducerea ca semnificare”, In *Convieșuirea. Revista Catedrei de limba română*, Szeged, Ungaria, 2001.

²⁸ D. Cram, „The linguistic status of the Proverb”, In *Cahiers de lexicologie*, 1983, 43, 2, 53-69.

²⁹ Oana Aurelia Gencărau, *Proverbul. De la paremiologic la retoric*, Editura Universității din Oradea, 2008.

4.1.3. Im Bezug zu den Sprechern außerhalb der Sprachgemeinschaft zeigt sich derjenige, der einen Kode-Wechsel produziert hat, dafür verantwortlich, dass seine Nachricht korrekt ankommt; diese Verantwortung umfasst sowohl die Form dieses Textes, also auch die Erklärung der aus eigener Initiative eingefügten lexikalischen Elemente, sei es die Form einer anderen – von uns bereits beschriebenen – Situation, in der der befragte Informant lexikalische Elemente aus dem Ungarischen einsetzt und – wenn er bemerkt, dass sie nicht verstanden werden – diese durch den Ersatz mit rumänischen lexikalischen Einheiten wieder aufnimmt.

4.1.4.4. Die Verantwortung gegenüber dem Empfänger ist in diesem Text folglich durch die Auswahl der in den rumänischen Text eingefügten Wörter gekennzeichnet. Die Auswahl erfolgt zunächst durch die Kennzeichnung mit einer Zahl in Klammern und durch den Rückgriff auf die im Text ausgewählte Stelle mit dem rumänischen Äquivalent. Die Initiative zu dieser Anordnung geht ausschließlich auf unseren Sprecher zurück.

4.1.4.4.1. Für die folgenden 17 Stellen im Text gibt es ein rumänisches Äquivalent:

1. *dîrce; mert*³⁰; *pentru că*/: deutsch: „weil“
2. *divotu; divat; moda* /: „Mode“; „Gewohnheit“
3. *utău; auto; mașină* /: „Auto, Maschine“
4. *kényelmes; comod* /: „bequem, gemütlich“
5. *foglalkozlesc; foglalkoznak; se ocupă* /: „er/sie/ es beschäftigt/ beschäftigt sich“
6. *folii; folia; sere* /: „Gewächshäuser“
7. *cociozlesc; kaccsozni; rupe partea crescută care nu trebuie să rămână „vie”*/: „den hochgeschossenen Teil abbrechen, damit er nicht ‚lebendig‘ bleibt“
8. *tecerlesc; tekerni; conduce firul plantei pe firul pe care trebuie să crească* /: „die zarten Triebe der Pflanzen anbinden“
9. *gozălesc; gazolni; a plivi* /: „jäten“
10. *permetezlesc; permetezni; stropesc cu substanțe protectoare*/: „(Pflanzen) spritzen“
11. *nopsamoși; napszamosok; lucrători*/: „Arbeiter, Tagelöhner“
12. *levegeu; levegő; aer*/: „Luft“
13. *pihenlim; pihenni; a se odihni*/: „sich ausruhen“
14. *rend; ordine*/: „Ordnung“
15. *porsivozlesc; porszivozni; a face curat cu aspirator*/: „staubsaugen“
16. *cohe, konyhă; konyha; bucătărie* /: „Küche“

³⁰ Wir geben sowohl die rumänischen Formen als auch die ungarischen Entsprechungen an, wie sie vom Sprecher angeführt und uns erklärt wurden.

17. *sucuit; szokott; obijnuit*³¹: „gewohnt, gewöhnlich“

d.h. der Sprecher betrachtet 17 lexikalische Elemente als aus dem Ungarischen eingefügt. Neben diesen Beispielen fügt er noch *foliáznak* an, das er aus [rumän.] *ei se ocupă cu serele* („sie beschäftigen sich mit/ in den Gewächshäusern“) erklärt.

4.1.4.4.2. Unter diesen 17 Einheiten befindet sich auch eine Konjunktion (*dârce*) in der spezifisch lokalen Norm; sie ist aber nicht aus dem Ungarischen übernommen, wird vom Sprecher unseres Textes aber als Ungarisch angesehen und durch *mert*, also gerade wieder mit einem Element aus dem Ungarischen erklärt. Die eingefügten Verben sind den Eigenheiten der rumänischen Flexion angepasst, da sie wie die Verben der IV. Konjugation auf *-esc* behandelt werden. Die Anpassung an die IV. Konjugation erfolgte möglicherweise nach der ungarischen Endung auf *-ni*.

Wo im Rumänischen keine dem ungarischen Einschub äquivalente Einheit zu erkennen ist, erfolgt die Erklärung durch eine Periphrase wie für die Beispiele *cociozlesc* oder *permetezlesc*.

4.1.4.4. Deutlich wird auch das Bemühen des Sprechers unseres Textes, die Formen der lokalen Aussprache ohne Rückgriff auf eine phonetische Transkription zu markieren, vor allem die Palatalisierung: *Micheretyi*, *Oamenyi*, *iutye* usw.

4.2. Im Text finden sich zwei lexikalische Elemente, die ganz eindeutig eingefügt wurden, ohne dass der Sprecher für sie ein ungarisches Äquivalent anzeigt. Es handelt sich um *anyu* und *apu*. Die Tatsache, dass er uns für diese beiden lexikalischen Einschübe keine rumänische Entsprechung notiert, ergibt sich für uns daraus, dass lexikalische Elemente aus dem affektiven Bereich aufgrund ihrer größeren Frequenz nicht mehr als Einschub empfunden werden.

5. Die Gesamtheit der in diesem Text eingeschobenen lexikalischen Elemente belegt die Tatsache, dass Kode-Wechsel nicht die Kompetenz des Sprechers betrifft, nämlich dort auf ungarische Elemente zurückzugreifen, wo er den rumänischen Wortschatz nicht kennt, oder dort, wo es in seiner lokalen rumänischen Variante keine entsprechenden rumänischen Elemente gibt. Die Tatsache, dass der Sprecher, der uns diesen Text angeboten hat, die Kompetenz aufweist, die eingeschobenen Wörter zu kennzeichnen, bringt uns zu der Annahme, dass der Benutzer des Rumänischen in dieser diatopischen Variante eher unter einem systematischen Zwang handelt. Wenn sich ein solcher Einschub in einer ersten Kontakt-Phase mit dem Ungarischen durch die Übernahme von Wortschatz-Elementen aus der Beschäftigung mit der dominanten Sprache, also dem Ungarischen ergab, so vollzieht sich in der aktuellen Phase bei Verwendung des

³¹ *Kursiv* geben wir das wieder was die Sprecherin zu einem Wort im Text angegeben hat.

Rumänischen ein Kode-Wechsel als Folge der Anpassung der eingefügten lexikalischen Einheiten an die Form des lokalen Rumänisch. Was in diesem Text festgestellt werden kann, betrifft den Übergang, in der Dimension eines Wandels, von einer Etappe des Rumänischen zu einer anderen, von einer Stufe des Kontaktes mit dem Ungarischen, was die Einfügung lexikalischer Elemente begünstigt, zu einer – noch nicht abgeschlossenen – Stufe der Anpassung der ungarischen lexikalischen Elemente an das Spezifikum der rumänischen Sprache. Der Kode-Wechsel, den der Text aufweist, belegt, dass das in einem solchen Kontext verwendete Rumänische nicht als Fremdsprache erworben wurde, sondern als eine Sprach-Varietät, die geeignet ist, sich lexikalische Elemente aus denjenigen Sprachen anzueignen, mit denen sie in Kontakt kommt.

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L'ÉCRITURE DE LA MARGINALISATION / LA MARGINALISATION DE L'ÉCRITURE CHEZ J.M.G. LE CLÉZIO ET GÖRAN TUNSTRÖM

Par le langage, l'homme s'est fait le plus solitaire
[...] du monde, puisqu'il s'est exclu du silence.
J.M.G. Le Clézio, *L'inconnu sur la terre*

ROXANA GULICIUC*

ABSTRACT. Marginalization represents for J.M.G. Le Clézio and Göran Tunström the essence of society. We are, in fact, all alone because, according to the French writer, «nobody needs anybody». As surprising as it may seem, the characters of J.M.G. Le Clézio and Göran Tunström can feel isolation and marginalization only when they are surrounded by other people. The other human beings destroy the beauty of loneliness, by using words, by expressing their feelings through the speech. Or, what the authors want to tell us is that loneliness represents the structure of every novel. That is why we can find two different kinds of marginalization in J.M.G. Le Clézio and Göran Tunström's books: one operated by society and one operated by the characters themselves.

From the first page to the very last, marginalization is seen as a fact of life and therefore a necessary, aesthetic act.

Key-words: Identity, communication, marginalization

Introduction

Celui qui a lu les romans de J.M.G. Le Clézio et de Göran Tunström a sûrement remarqué la fréquence de certains thèmes qui constituent des inépuisables sources d'inspiration pour le lecteur. L'imaginaire créatif se nourrit dans ce cas surtout de la marginalisation, phénomène qui occupe une place considérable dans l'univers romanesque de nos deux auteurs. La marginalisation est, dans ce cas, l'équivalent d'un isolement devenu un vrai *axis mundi*.

La question essentielle sur laquelle nous allons nous pencher le long de cet article sera celle de l'esthétique de la marginalisation. Nous voulons montrer le fait que la marginalisation a aussi un côté positif, désiré et des bénéfices très bien délimités. En se trouvant en marge de la société ou de la famille, le héros a une meilleure perspective sur la vie, ainsi que le temps d'opérer des changements définitifs quant à son existence. En s'assurant la marginalisation, les personnages de ces deux auteurs trouvent dans la limite la beauté de la vie. Cela fait que, pour avoir une vision réelle sur la marginalisation dans les livres de ces deux écrivains, il faut ajouter le côté assumé,

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l'isolement comme choix conscient des protagonistes. L'écrivain français reconnaît, d'ailleurs, l'impossibilité de s'intégrer dans une communauté bien déterminée¹, et le besoin de trouver son refuge dans l'écriture: «Je dois reconnaître que cela m'a rendu assez malheureux, pendant très longtemps, d'être de nulle part»².

I. L'écriture de la marginalisation

L'écriture de la marginalisation dans le roman *Le chercheur d'or*, ainsi que dans *Mondo et autres histoires*, suppose la présence d'un style particulier, de certains mots employés uniquement pour désigner les enfants mis de côté. La perspective des récits mentionnés insiste sur l'aspect linguistique qui manque et sur son rôle dans l'exclusion du personnage du monde de l'enfance. Nous remarquons souvent l'angoisse du personnage lorsqu'il s'agit d'entamer un discours. Le silence exprime le défi contre le monde réel et il apportera la marginalisation non assumée des protagonistes.

Il y a tout d'abord le silence au temps édénique de l'enfance. Pourtant, il est évident que le silence n'apporte pas dans ce cas l'absence de toute parole, juste parce que le fait de parler peut donner aux personnages l'impression de liberté. Mais, comme le disait Ewelina Ardelli, «ce qui est important c'est de ne pas parler des choses sans importance»³. Parler signifie dans la logique de J.M.G. Le Clézio rendre son âme. C'est une des raisons pour lesquelles les mots prononcés par les héros de cet auteur ne sont jamais utilisés par hasard. Et de toutes les paroles entendues, seule la voix de Mam n'est pas détruite par le passage du temps. Cette voix représente une sorte d'image idôle de l'enfant, une marque d'identité. Tout en essayant de se rappeler la modulation de la voix de sa mère, Alexis refait un chemin identitaire. Ce qu'il réorganise, donc, ce n'est pas seulement la voix de Mam, mais à la fois l'image de soi.

«Il y a aussi la voix de Mam. C'est tout ce que je sais d'elle maintenant, c'est tout ce que j'ai gardé d'elle. J'ai jeté toutes les photos jaunies, les portraits, les lettres, les livres qu'elle lisait, pour ne pas troubler sa voix. Je veux l'entendre toujours, comme ceux qu'on aime et dont on ne connaît plus le visage, sa voix, la douceur de sa voix où il y a tout, la chaleur de ses mains, l'odeur de ses cheveux, sa robe, la lumière, l'après-midi finissant quand nous venions, Laure et moi, sous la varangue, le cœur encore palpitant d'avoir couru, et que commençait pour nous l'enseignement»⁴

¹ J.M.G. Le Clézio a toujours affirmé son double identité- mauricienne et française. Il affirmait même à un certain moment: «Ce n'est pas confortable d'être entre deux mondes. D'un autre côté, pour toutes sortes de raisons, par choix personnel, je ne peux me faire à l'idée d'être entièrement d'un monde, ou de l'autre. Je crois qu'appartenir aux deux m'aide dans ce que j'écris, dans le goût que j'ai d'écrire. C'est une situation inconfortable où je trouve mon confort. J'ai besoin de ce déséquilibre. J'ai besoin d'avoir deux portes». *J.M.G. le Clézio-Ailleurs*, entretiens avec Jean-Louis Ezine, Paris, Arléa, 1995, p. 92-93.

² *Apud, Magazine Littéraire*, n° 430, avril 2004, «J.M.G. Le Clézio: «Mon, père, l'Africain», Gérard de Cortanze, p. 69.

³ Ewelina Ardelli, «L'enfant dans ses rapports avec la société et la nature d'après les nouvelles *Mondo et autres histoires* de J. M. G. Le Clézio», site consulté le 13 janvier 2008, <http://www.lettresfrançaises.umk.pl/>

⁴ J. M. G. Le Clézio, *Le chercheur d'or*, Paris, Gallimard, 1985, p. 24.

Le fait de parler est vu comme motif prédominant de l'âge adulte. En effet, si on regarde attentivement, nous observons que les enfants de Le Clézio ne parlent presque jamais, alors que les adultes éprouvent le besoin de «dire» les autres:

«Elle ne me parle jamais de cela.» *ou* «Les yeux de Denis brillent quand il me regarde. Sans parler, il me montre la haute mer bleu sombre [...].»

«Il n'est pas comme les autres enfants qui vivent dans les beaux domaines. Il n'a pas besoin de parler. Il est mon ami, et son silence, ici, à côté de moi, est une façon de le dire».⁵

Le contact avec la langue devient visible par l'intermédiaire de la parole. Ne trouvant pas des personnes pour communiquer, les héros de J.M.G. Le Clézio ou de Göran Tunström se parlent à eux-mêmes, comme pour maîtriser la langue, comme pour démontrer son existence. Car ce qui caractérise une personne ce n'est pas le visage, ce n'est pas la manière de sourire, de manger, de regarder: «La voix est la partie la plus identifiable de l'être humain»⁶, avouait l'écrivain dans une interview avec Pierre Lhoste.

Très suggestif pour la compréhension des personnages, le regard, marque intrinsèque de chaque personne, n'est pas seulement un moyen de connaître le monde, mais à la fois un moyen de communiquer avec les autres. Lorsqu'il ne trouve pas les mots pour s'exprimer, le personnage de Le Clézio regarde. Le héros du romancier méprise les mots superflus, les mots insignifiants. Le langage même se divise entre le langage propre à un monde occidental et un langage propre aux pays exotiques, de l'Afrique, de l'Asie. Il s'agit de deux cultures différentes qui s'unissent dans le texte de l'écrivain mauricien. Pour soutenir cette thèse, nous rappelons la remarque de Jean-Xavier Ridon: «Pour Le Clézio le monde occidental est caractérisé par la fermeture et le cloisonnement par le langage».⁷ En effet, le langage est propre à la «civilisation», à ces «pays riches», qui ont perdu le sens de leur identité. Pour les manafs, pour les Rodriguais, le fait de parler est superflu.

Il y a quand même, quelques termes que l'écrivain mauricien utilise pour mettre en évidence les héros marginalisés. Des mots comme «chassés», «gunnies», «banqueroute», «yangué», «sirdars», «chiots», «macchabés», «Zeta», «kandja», «kir», «manaf», «Eretzrael», ainsi que le choix du créole comme langue native des personnages accentuent leur isolement.

Lorsque l'écrivain décrit la nature, la structure de la phrase est plus ample, tandis que pour exprimer ses sentiments sur la ville ou les gens qui y habitent, les propositions deviennent saccadées, angoissantes: «Elle détourne le regard. «C'est lui ! C'est lui qui a tout fait !» dit Laure. Je voudrais bien qu'elle se taise. Elle est pâle et tremble, sa voix tremble aussi. «Je le déteste !». «Tais-toi !», dit Mam»⁸.

⁵ *Ibid.*, p. 13, 54, 57.

⁶ Pierre Lhoste, *Conversations avec J. M. G. Le Clézio*, Paris, Seghers, 1971, p. 117.

⁷ Jean-Xavier Ridon, *Henri Michaux, J. M. G. Le Clézio- L'exil des mots*, Paris, Kimé, 1995, p. 59.

⁸ J.M.G. Le Clézio, *op.cit.*, p. 96.

La plupart des personnages le cléziens n'ont pas de famille, ne sont pas intégrés dans la société. Ils sont des gens libres, maltraités, exclus, des mendiants, des voleurs etc. Mais le fait de leur donner le premier plan de ces romans montre en quelle mesure l'écriture de Le Clézio représente une écriture de et contre la marginalisation.

II. La marginalisation de l'écriture

Chez Göran Tunström, les marginalisés sont décrits par l'intermédiaire du mot «bohémien», comme dans la phrase: «Johan déglutit. Il savait que c'était des gens comme lui, les autres le lui avaient dit. Les bohémiens étaient ceux qui avaient des carreaux cassés et des vêtements crasseux et que personne ne voulait fréquenter, un bohémien était quelqu'un dans le dos duquel on chuchotait, mais à voix haute pour qu'il entende»⁹.

Mais dans les romans de Göran Tunström nous pouvons parler, à la fois, d'une marginalisation de l'écriture. Nous observons à travers l'histoire décrite par l'auteur suédois, que ce qui est lié à l'écriture comme trait interne du personnage montre l'exclusion. Johan, protagoniste du roman *Le voleur de Bible*, doit se cacher dans la bibliothèque de son maître pour pouvoir lire. Il est le seul à constater que le pouvoir de la lecture est plus suggestif que le pouvoir physique. C'est la raison pour laquelle Fredrik, son père adoptif, se sentira inférieur par rapport à son enfant et le méprisera.

Malgré le fait que les personnages le cléziens ou tunströmiens aiment lire et partager leurs lectures avec les copains, l'écriture reste tout le temps en marge, chez les deux auteurs. Soit qu'il s'agit d'écrire des mots, des lettres, des poèmes ou même un journal, l'acte d'écrire ne s'intègre pas sur le plan social. Ainsi, les héros de Le Clézio doivent lire leurs journaux préférés dans le grenier: «C'est là que Laure et moi venons souvent pour lire et regarder les images. Nous sommes allongés sur le ventre dans la poussière, devant les piles de vieux journaux, et nous tournons lentement les feuilles»¹⁰.

L'écriture exprime le goût du personnage pour la vie en marge de la société, elle favorise le rêve et donc la rupture avec le présent. Les enfants ne sont pas détruits pas la réaction négative des autres quant à leurs préoccupations, parce qu'ils vivent à l'intérieur d'un univers «intouchable», utopique, où le seul désir est celui de se «centraliser», de se recréer. Le côté linguistique de la marginalisation est, d'ailleurs, l'aspect le plus suggestif, qui provoque le développement de l'histoire, tout en adoptant un point de vue mythique. Une raison de plus de comprendre que nous ne pouvons pas avoir une écriture de la marginalisation sans reconnaître son double, exprimé par le biais de la marginalisation de l'écriture: «Ainsi conçue, la langue française devient la langue porte-parole des damnés de la terre»¹¹.

⁹ Göran Tunström, *Œuvres romanesques I*, traduit du suédois par Pascale Balcon, Marc de Gouvenain, Lena Grumbach, coll. «Thesaurus», Paris, Actes Sud, 1999, p. 565.

¹⁰ *Ibid.*, p. 33.

¹¹ *Lectures d'une oeuvre. J.M.G. Le Clézio*, collectif coordonné par Sophie Jollin-Bertocchi et Bruno Thibault, Nantes, Editions du Temps, 2004, p.14.

Les mots, la phrase représentent dans les romans de Le Clézio ou de Göran Tunström des symboles pour lutter contre les limites imposées par les autres. Cette structure se rencontre surtout dans le métatexte. Lorsqu'il s'agit de s'exprimer sur d'autres sujets, les personnages de Le Clézio éprouvent un malaise, le silence devenant une nécessité: «elle ne savait pas pourquoi elle voulait ce silence. Simplement, c'était bien, c'était nécessaire»¹².

Ainsi, isolé dans l'Enfoncement du Boucan, Alexis ne parle que du trésor du Corsaire Inconnu, ou des livres qui ont une liaison avec ce thème. Considéré un personnage étrange, à cause de son discours qui porte toujours sur l'existence d'un trésor fictif, Alexis sera marginalisé par les Rodriguais ainsi que par les manafs: «Fritz Castel se relève. Son regard exprime toujours la même curiosité, la même crainte. De quoi a-t-il peur, de qui? De moi, de l'homme qui a marqué cette pierre, il y a si longtemps?»¹³

De l'autre côté nous avons Johan, protagoniste du roman *Le voleur de Bible*, de Göran Tunström. L'aspect linguistique est important chez lui, car le héros est marginalisé d'une part par la famille parce qu'il refuse le langage impropre de ses frères, et simultanément par la société, parce qu'il lit trop: «L'excitation qu'il ressentait devant des livres, la joie qu'il éprouvait quand le monde s'ouvrait et se présentait d'une manière stable l'avaient plutôt inquiété puisqu'il pouvait rarement communiquer ses découvertes. Celles-ci étaient quelque chose dont on avait honte dans la famille, quelque chose qu'il lui fallait garder pour lui»¹⁴.

Cette marginalisation linguistique revoit à une négation de la culture dans le cas des enfants de Göran Tunström et à une réinterprétation de la culture et de la civilisation chez Le Clézio.

III. Peut-on parler d'une esthétique de la marginalisation?

Chez J.M.G. Le Clézio et Göran Tunström, la marginalisation acquiert un nouveau aspect: nous n'avons plus un phénomène, mais un décor, et plus encore, un centre. La dualité centre/marginalité est fascinante dans les livres de nos deux auteurs. Mais ce qui est surprenant c'est d'apercevoir le fait que le centre de l'existence est, en effet, la marge, la limite, par l'intermédiaire de laquelle s'opère la découverte de l'identité et l'intégration dans le monde du silence, des damnés. Dans ce décor très bien décrit apparaissent les personnages.

Cette classification passe au-delà de l'encadrement conceptuel allant jusqu'au niveau esthétique. Il est clair que l'esthétique de l'écriture suggère la présente d'une esthétique de la marginalisation qui se fonde sur un champ lexical déjà mentionné. Cependant, nous pouvons parler d'une esthétique de la marginalisation seulement en relation avec l'auto marginalisation. Le choix

¹² J.M.G. Le Clézio, *Etoile errante*, Paris, Gallimard, 1992, p. 14.

¹³ J.M.G. Le Clézio, *Le chercheur d'or*, Paris, Gallimard, 1985, p. 332.

¹⁴ Göran Tunström, *op.cit.*, p. 584.

conscient de l'isolement se fonde sur la beauté de la marginalité. Mondo refuse le contact avec les autres pour être libre, pour errer, pour se promener selon sa propre volonté. Dans son cas, la marginalisation suppose la mise en valeur d'une esthétique du laid.

Par contre, la marginalisation non assumée n'exprime à aucun moment le désir de l'enfant d'être situé en marge. Si le héros s'approprie l'isolement, ce n'est pas en vertu de la beauté de cet acte, mais pour ne pas perdre la notion de centralité. Dans l'exclusion de la communauté s'inscrit l'expérience de la perte d'identité. Or le héros a besoin d'un point fixe, stable, qui lui permettrait de se recréer. Dans ce cas, l'appropriation de la marginalisation n'est pas du tout le résultat d'une décision délibérée, mais plutôt le geste inconscient de retrouver le point de départ de l'exil, la maison natale, le centre.

Notons, pour conclure, que l'esthétique de la marginalisation est partiellement présente dans les romans de J.M.G. Le Clézio et de Göran Tunström sous la forme de l'auto marginalisation. Elle met en lumière les divers aspects de l'isolement, ayant comme but de suggérer la beauté de la solitude: «Il aimait bien se promener sans but, tourner au coin d'une rue, puis d'une autre, prendre un raccourci, s'arrêter un peu dans un jardin, repartir. [...] Mondo aimait bien marcher ici, tout seul, à travers la colline»¹⁵.

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¹⁵ J.M.G. Le Clézio, *Mondo et autres histoires*, Paris, Gallimard, 1978, p. 14, 41.

ÜBER DIE VEREINFACHUNG DES FLEXIONSSYSTEMS UND DIE FIXIERUNG DER WORTSTELLUNG IN DEN GERMANISCHEN SPRACHEN

ATTILA KELEMEN¹

ABSTRACT. This paper deals with the relationship between the simplification of the inflectional system and the fixation of the word order in the Germanic languages, respectively the relative chronology of the two processes. References will be made mainly to Old English, - the best documented among the Old Germanic languages - , and to its contact with Old Norse. Considering the theories connected to the current subject and the investigations made, we conclude that it is more probable that the morphological simplification preceded the word order fixation.

Key Words: inflectional system, simplification, word order, relative chronology

In der vorliegenden Abhandlung wird das Verhältnis zwischen der Vereinfachung des Flexionssystems und der Fixierung der Wortstellung in den germanischen Sprachen, sowie die relative Chronologie dieser zwei Prozesse behandelt. Inwiefern sind diese zwei Prozesse miteinander verwandt, was für eine Verbindung gibt es zwischen der Änderung der Wortstellung und die morphologische Änderung der Vereinfachung des Flexionssystems, sind die Fragen, die wir versuchen werden, zu beantworten. In dieser Arbeit wird hauptsächlich auf die altenglische Sprache, die am besten belegt unter den alten germanischen Sprachen ist, sowie auf ihren Kontakt mit dem von den Wikingern gesprochenen Altnordischen.

Es ist wohlbekannt, dass während das Altenglische eine reiche Flexionsmorphologie und eine verhältnismässig freie Wortstellung hatte, ergaben sich beim Übergang zum Mittelenglischen eine Vereinfachung der morphologischen Struktur und die Entwicklung einer mehr analytischen Sprache, mit dem Verlust der meisten Flexionen, dann im Rahmen der Syntax eine häufigere Verwendung von periphrastischen Konstruktionen, die sich auf Hilfsverben, Präpositionalphrasen und eine ziemlich strenge, beinahe feste Reihenfolge der Wörter im Satz gründeten; all das zusammen mit einer klaren Entwicklungstendenz von der ziemlich heterogenen altenglischen Wortstellung zu einer größeren Homogenität in der mittelenglischen Periode.

Zwischen der Morphologie und der Syntax gibt es ein enges Verhältnis: die morphologischen Änderungen führen häufig zu syntaktischen Änderungen und umgekehrt. Hock (1991:366) redet sogar von einer "Konspiration" im Falle einiger Entwicklungen im Altenglischen (wie z.B die Änderungen in der Wortstellung, der

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Kasusmarkierung und der Passivbildung), indem er behauptet, diese miteinander verwandten Prozesse gehören an eine ziemlich komplexe „Konspiration“, die eine radikale Änderung in der Kasusmarkierung, der Wortstellung, im syntaktischen Benehmen, sowie in der morphologischen Struktur zur Folge hatte, wobei diese Änderungen einander ernährten, veranlassten, und verstärkten.

Vergleicht man die alten und neueren Sprachen miteinander, kommt man zur Schlussfolgerung, dass die reiche Flexionsmorphologie eine freie Wortstellung zulässt, während der Mangel an Flexionsmorphologie eine feste Reihenfolge der Wörter verlangt, so dass auf diese Weise der Verlust etlicher Ausdrucksmöglichkeiten ausgeglichen werden soll. Eine solche Sicht ist in der Sprachtypologie verallgemeinert worden. So sprechen Mallinson und Blake (1981) über ein „trade-off“ zwischen der Flexionsmorphologie und der Wortstellung im Ausdruck der syntaktischen Verhältnisse. Auf typologischer Ebene kann die folgende Einbeziehungstendenz festgestellt werden: Wenn eine Sprache freie Wortstellung hat, dann hat sie eine reiche Flexionsmorphologie, und das ist empirisch bestätigt worden. Das Gegenteil dieses Gesetzes ist jedoch nicht gültig: denn eine Sprache eine reiche Flexionsmorphologie hat, bedeutet das nicht automatisch, dass sie auch freie Wortstellung hat. So wird es deutlich, dass es von gegenseitiger „Kompensation“ (Ersatzleistung) zwischen der Wortstellung und der Flexionsmorphologie keine Rede sein kann. Das einseitige Einbeziehungsverhältnis zwischen den zwei Phänomenen weist darauf hin, dass sie hierarchisch nicht gleichwertig sind, sondern miteinander im Abhängigkeitsverhältnis stehen (laut Ch. Lehmann, 1992:395).

Infolge Lehmann ist die Grammatikalisierung der Hauptmechanismus, der für die Erwerbung und den Verlust der Flexionsmorphologie verantwortlich ist. Man kann sagen, dass eine Sprache, die über reiche Flexionsmorphologie verfügt, die meisten ihrer Wortstellungsregeln geändert hat, indem sie sie auf die Wortebene verlegte. Die Grammatikalisierung wirkt nicht nur auf ein isoliertes Morphem, sondern markiert die Sprachzeichen als Ganzes, d.h. in deren paradigmatischen und syntagmatischen Beziehungen. Insofern das Morphem grammatikalisiert ist, wird ihre Freiheit in der Wortstellung reduziert. Sobald es zum Flexionsaffix geworden ist, wird seine Stelle „in den Schubladen seines Gastgebers (Host)“ vollständig festgesetzt. Die Grammatikalisierung ist eine Reduzierung der Autonomie des Sprachzeichens, und umfasst, auf der einen Seite, die Verwandlung der lexikalischen Elemente in grammatikalische Elemente und weiter ihre Reduktion auf Null, und, auf der anderen Seite, die Reduzierung der paradigmatischen und syntagmatischen Variabilität (oder Veränderlichkeit) des Sprachzeichens. Die Reduktion der syntagmatischen Veränderlichkeit schliesst die Fixierung der Wortstellung, der Reihenfolge der Wörter ein. Darum behauptet Lehmann (1988:413), „die Grammatikalisierung geht Hand in Hand mit der Fixierung der Wortstellung“. Die Grammatikalisierung bedeutet aber nicht automatisch Vereinfachung.

In der Morphologie und der Syntax sieht es so aus, dass die meisten Interferenzen, - außer den Fällen mit starkem Einfluss, - entweder neue Mittel einbeziehen zum Ausdruck der in der Zielsprache schon vorhandenen Funktionskategorien, oder (für die Morphologie) den Verlust der vorher existierenden Kategorien bewirken (laut Thomason & Kaufman, 1988:54).

Der Zusammenhang zwischen der Wortstellung und der morphologischen Entwicklung wurde von Gerritsen (1987) untersucht. Gerritsen bietet die statistischen Belege dafür, dass es im Mittelniederländischen einen starken und bedeutenden Zusammenhang ("inter-relation") zwischen der Entwicklung von SOV- zu SVO-Reihenfolge und dem Verlust der Flexionen gab. Mit dem Verlust der Flexionen ergab sich das größte Problem, u.zw. wie man weiterhin die Subjekte und Objekte voneinander unterscheiden soll, in den Fällen, wo die beiden durch Nominalphrasen vertreten wurden. In Anbetracht der Tatsache, dass man nach dem Kasus nur die pronominalen Subjekte und Objekte unterscheiden konnte, verschwand die SOV-Wortstellung zuerst im Falle der Nominalphrasen.

Sapir (1921:109) meint: „Jede Sprache hat ihre eigene Methode oder ihre speziellen Methoden, die Wörter zu einer größeren Einheit zu verbinden. Die Wichtigkeit dieser Methoden kann mit der Komplexität des individuellen Wortes variieren. Je synthetischer die Sprache ist, mit anderen Worten, je detlicher der Status jedes Wortes durch eigene Mittel angegeben ist, um so weniger ist es notwendig, über die Wörter hinaus Wörtern den Satz als Ensemble anzuschauen“. Über die Vereinfachung behauptet Sapir: „Eine Sprache mit Kasusendungen kann nie lange Zeit bestehen, ohne sie zu verlieren, und deswegen muss sie andere Mittel herausentwickeln, die die Funktion der Endungen übernehmen sollen“.

Hinsichtlich der radikalen Änderungen, die in der englischen Morphosyntax statgefunden haben, gibt es zwei Theorien, die eine, laut der die Vereinfachung eine feste Wortstellung zur Folge hatte, und die andere, die gerade das Gegenteil behauptet, nämlich, dass die Fixierung der Wortstellung zur Vereinfachung geführt hat. Solche Annäherungen deuten darauf hin, dass es sich hier um zwei ganz verschiedene Prozesse handelte, wobei das Hauptproblem in der relativen Chronologie zu suchen wäre.

Die erste Theorie behauptet, dass es zuerst ein Vereinfachungsprozess stattgefunden hatte, und dieser hatte als Ergebnis die feste Wortstellung und den Gebrauch der Präpositionen, um den Informationsverlust auszugleichen. Der Vereinfachungsprozess hat schon im Proto-Germanischen begonnen; obendrein behaupten einige Spezialisten, dass das so komplizierte morphologische System des Indoeuropäischen im Germanischen schon größtenteils zerfallen war, vor allem im Falle der Verben. Das Flexionssystem des Englischen ist beträchtlich reduziert im Vergleich zu dem des Proto-Germanischen, geschweige denn zu dem des Indoeuropäischen. Traditionell wurde es angenommen, dass dieser Zerfall des alten Flexionssystems eigentlich die Ursache der Instaurierung der analytischen Ausdrucksmöglichkeit und der Fixierung der Wortstellung war, wobei dieser "Verfall"-Zustand das Schaffen eines

alternativen Systems auferlegte (laut Knowles, 1997:42). Aus der Perspektive der englischen Sprache betrachtet, ist die geläufige Erklärung, dass man in der Danelaw auf die Endungen verzichtet hat in solchen Fällen, wo sich Englisch und die Sprache der skandinavischen Wikinger voneinander nicht maßgeblich unterschieden. Mit anderen Worten gesagt, haben die Engländer und Dänen miteinander in einer Art "Pidgin-Germanisch" kommuniziert und dabei die Endungen der Wörter vernachlässigt. Eine solche Theorie kann jedoch nicht erklären, warum dann auch die (in Dänemark gesprochene) dänische Sprache ihrerseits ihre Endungen verloren hat, und auch nicht, warum die lateinischen Substantive, Adjektive und Artikel ihre Endungen in den verschiedensten Teilgebieten des Römischen Reiches nach den germanischen Invasionen verloren haben. Dies war aber ein weit ausgebreitetes Phänomen, und nicht nur ein lokales Problem Nord-Englands, ist Knowles der Meinung.

Roberts (1997) betrachtet den Verlust der Kasusmorphologie als Auslöser für die Änderung in der Wortstellung. Die Vermutung, dass es eine gewisse Beziehung zwischen der Wortstellungsänderung und dem Verlust der Kasusmorphologie stößt auf Probleme bei der Erklärung im Falle anderer germanischen Sprachen: das gegenwärtige Isländische ist eine VO-Sprache mit einer reichen Flexionsmorphologie, während das Niederländische eine OV-Sprache mit armer Kasusmorphologie ist. Die reiche Kasusmorphologie kann die Linksbewegung des Objekts bewirken (OV-Wortstellung), aber die arme Kasusmorphologie bedeutet nicht unbedingt das Fehlen der Bewegung (VO-Reihenfolge).

Die zweite Theorie lautet: Infolge der inherenten Entwicklung zur einer Ausdrucksweise wurde zuerst die Wortstellung fixiert, dann wurden infolgedessen die Endungen überflüssig, sowie deren Funktion redundant als Konsequenz der früheren syntaktischen Änderung. Dies ist der funktionale Gesichtspunkt der Hohn-Lehnert-"Schule", erwähnt von Samuels (1972:81-4) und Nielsen (1998:211). Brunner (1960) auch unterstützt diesen Standpunkt, indem er meint, dass es eher wahrscheinlich wäre, das Auseinanderfallen der Flexionsformen von der Zunahme der analytischen Ausdrucksweise, der Festlegung der Wortstellung, die die Flexionsformen nutzlos machte, herzurühren. Laut einer solchen Theorie ist die Festlegung der Wortstellung eine Tendenz, die sich schon im Germanischen geltend gemacht hat, und kann also kaum als eine Neuerung im Vergleich zum Altenglischen betrachtet werden.

Es ist aber ebenso wahr, dass es auch dann, d.h. im Germanischen, die Tendenzen zur Vereinfachung und zur analytischen Ausdrucksweise dabei waren. Diese Entwicklungen erwiesen sich später von spezieller Bedeutung zu sein für den späteren Werdegang der englischen Sprache. Wenn die synthetische Ausdrucksweise den Gebrauch der Flexionsformen beanspruchte, werden in der analytischen Ausdrucksweise die Verhältnisse zwischen den Wörtern in einem Satz, -anstatt von Flexionsformen-, mit Hilfe von Präpositionen und Hilfswörtern wiedergeben. Die feste Wortstellung zielt, - wie übrigens auch die analytische Ausdrucksweise-, auf größere Klarheit oder stärkeres Ausdrucksvermögen. Mit Hilfe der synthetischen Methode, mit Hilfe der

Flexionsformen können wir nur eine begrenzte Anzahl der möglichen Beziehungen, die sich zwischen zwei Wörtern befinden, angeben. Das Substantiv hat acht Kasus in Sanskrit, aber manchmal erweisen sich auch diese als unzureichend, um die gewünschte genaue Beziehung unzweideutig anzugeben. Die analytische Ausdrucksweise kann diese Beziehungen mit größerer Präzision bezeichnen, und die analytische Syntax ist gewissermaßen das Ergebnis der Anstrengungen, die umgebende Wirklichkeit möglichst genau zu beschreiben.

Sowohl der Verlust der Endungen als auch die Entwicklung der analytischen Syntax können durch die Natur der Sprache selbst erklärt werden, durch die Wirkung von inneren Mechanismen. Fennell (2001:92) glaubt, dass diese Änderungen wahrscheinlich von innersprachlichen Kräften angeregt wurden, Kräfte, die mit der Festlegung der Betonung auf der ersten Silbe oder auf der Stammsilbe des Wortes zu wirken begannen. Von all diesen kann man mit Sicherheit behaupten, dass die Betonung auf der ersten Silbe eine gewisse Rolle in diesem Prozess gespielt hat, indem sie in beträchtlichem Maße zur Neutralisierung der Vokalqualität in den Flexionsendungen, und am Ende auch zu deren beinahe völligem Entfall beigetragen hat. Diese Rolle war aber nicht eine entscheidende, denn es gibt ja auch andere germanische Sprachen, die die Betonung auf der ersten Silbe haben, und jedoch ihre Beugungsformen nicht verloren haben, z.B. Deutsch und Isländisch. Während aber Altenglisch verhältnismäßig stabil war, wird die mittelenglische Periode durch radikale Änderungen in der Sprache gekennzeichnet. In jener Zeit gingen die meisten Endungen verloren, ein Prozess, der im nördlichen Teil des Landes schon im (Spät)altenglischen begonnen hatte, und mehr oder minder im 14. Jahrhundert endete, mit Ausnahme von einigen abgelegenen südlichen Gebieten.

Nach der Meinung von Fennell (2001:92), „scheint es sehr unwahrscheinlich, dass Altnordisch die Typologie des Englischen hätte verändern können, wenn das Altnordische selber beinahe identisch war, was den Typus angeht“. Eine ähnliche Auffassung finden wir auch bei Thomason und Kaufman (1988), die behaupten, dass Altnordisch die Struktur des Altenglischen, und dann die des Mittelenglischen nicht beeinflussen konnte, und auch kein Auslöser der großen Änderungen in der mittelenglischen Periode hätte sein können. „Der skandinavische Einfluss konnte die Grundtypologie des Englischen nicht verändern, denn zunächst waren diese Sprachen sehr ähnlich. Das Altnordische hat die Vereinfachung im Englischen nicht angespornt, da die Vereinfachungen, die wir im Mittelenglischen sehen, wenn wir sie mit dem Altenglischen vergleichen, wahrscheinlich schon im Altenglischen stattgefunden haben, bevor der skandinavische Einfluss deutlich wurde“. Solche Aussagen stehen aber im Widerspruch mit einem bedeutsamen Teil der Theorien, die behaupten, dass der grammatische Einfluss auch zwischen Sprachen mit ähnlichen Strukturen möglich sei.

Es gibt freilich Studien, die meistens von skandinavischen Sprachwissenschaftlern, wie z.B. Björkman, Jespersen, H.F.Nielsen stammen, in denen viele von den Änderungen in der englischen Morphosyntax dem skandinavischen

Einfluss zugeschrieben sind, d.h. äußeren Faktoren. Für Barnett (1964:124) ist der allerwichtigste Einfluss, den die skandinavischen Wikinger auf Altenglisch ausgeübt haben, der Anbeginn eines langwierigen Prozesses der Erosion der „grammatischen Komplexitäten“. Eine etwa versöhnende Stellungnahme und irgendwie Kompromisslösung wäre die folgende: Obwohl das Altnordische (oder Altskandinavische) keinen direkten Einfluss auf die englische Morphosyntax zu haben vermochte, konnte seine Anwesenheit auf englischem Boden sehr wohl zum raschen Auseinanderfallen des komplizierten Flexionsapparats des Altenglischen beitragen, und auf diese Weise wird die Katalisator-Rolle des Altnordischen hervorgehoben. Trotzdem belegen und bestätigen etliche Tatsachen (der Vereinfachungsprozess vollzog sich viel schneller in jenen Gebieten, die früher von Skandinaviern dicht bewohnt wurden, dann sind gewisse syntaktische Merkmale nur in denjenigen Texten vorzufinden, die aus jenen Gebieten stammen) die Theorie, die aussagt, dass im Vereinfachungsprozess und in der Fixierung der Wortstellung eine wichtige Rolle der äußere Faktor spielte, und zwar der Kontakt mit dem Altnordischen.

In den vom Sprachkontakt ausgelösten morphosyntaktischen Änderungen verbindet die funktionale Kongruenz häufig eine morphologische Charakteristik mit einer syntaktischen, so dass sich die Änderungen auf das eine oder auf das andere Teilsystem beschränken können. Die Ersetzung von morphologischen Strukturen durch entsprechende syntaktische Strukturen wird im allgemeinen als ein ziemlich gewöhnliches Phänomen betrachtet, und die Beweise bestätigen das. In den Fällen, wo die Flexionsendungen verloren gehen, erfolgt die Wiedergabe jener ihrer Funktionen, die ausgedrückt werden müssen, mit Hilfe anderer Ausdrucksmittel, wie z.B. dem Gebrauch von Präpositionen, Umschreibungen und fester Wortstellung.

Eine Ursache-Wirkung-Beziehung zwischen der morphologischen Vereinfachung und der Fixierung der Wortstellung, -im Sinne, dass der eine Prozess den anderen zur Folge hatte-, scheint es jedoch schwer aufzustellen. In diesem Zusammenhang sind wir eher der ersten Theorie geneigt, d.h. wir setzen den Anbeginn des Vereinfachungsprozesses vor die Tendenzen zur Fixierung der Wortstellung; eine Theorie, die kompatibler ist mit der Auslegung einiger Änderungen in der morphosyntaktischen Struktur des Altenglischen durch den skandinavischen Einfluss.

Der Sprachkontakt mit dem Altnordischen, der laut einiger Sprachwissenschaftler (z.B. Bailey-Maroldt oder Poussa), sogar zu einer „Pidginisierung“ geführt hätte, spielte eine entscheidende Rolle im Zerfall des reichen morphologischen Systems und in der Entwicklung einer mehr analytischen Sprache, mit dem beinahe vollständigen Verlust der Flexionsendungen. Die Tendenz, die zur Ersetzung der Flexionsformen durch Periphrasen und Wortstellungskonvention geführt hat, hatte notwendigerweise zur Folge eine beträchtliche Entwicklung im Gebrauch der Präpositionen und eine Spezialisierung ihrer Funktionen. Man kann sagen, dass durch die Ersetzung des alten Flexionssystems die Wortstellung die strukturelle Funktion, die das Wort gehabt hatte, übernommen hat. Ein solches Szenario, mit ähnlichen Folgen, kann man wohl anführen auch für den

Kontakt der skandinavischen Sprachen im Mittelalter mit dem Niederdeutschen (oder Plattdeutschen), gesprochen von den hanseatischen Kolonisten, die sich in großer Anzahl in bedeutenden skandinavischen Handelsstädten wie Bergen in Norwegen und Visby in Schweden niedergelassen haben.

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YGGDRASIL AND THE NORNS – OR AXIS MUNDI AND TIME

RENATA MARIA RUSU*

ABSTRACT. *Yggdrasil and the Norns – or Axis Mundi and Time* This article presents the relationship between the ash *Yggdrasil* and *the Norns*, who guard the wells under its roots. *Yggdrasil* contains within its roots and branches the worlds of the gods, the giants, the dwarfs, and the people. Because *the Norns* are the ones that take care of *Urðarbrunnr*, all these worlds fall under their influence. *The Norns* are apparently responsible of three activities: *log leggja* (to make laws), *lif kjósa* (to choose life), and *ørlog segja* (to set or mark fate). The names of *the Norns* are also usually interpreted as being time – related: allegedly, they mark the three most important moments in a man's life – beginning, middle, and end – corresponding to the three temporal divisions – past, present, and future.

Key words: *Yggdrasil, the Norns, log leggja, lif kjósa, ørlog segja, the names of the Norns*

The “Cosmic Tree par excellence”¹, “the ideogram of Scandinavian mythology”², “the mighty ash tree”³, “the biggest and best” of all trees⁴, “the symbol of universality”⁵ – are just a few of the names that come up when *Yggdrasil* is the subject.

Of these, we would like to say just a few words about the terms used by **Eliade**. An ideogram is a symbol, used to represent the idea of a thing. Thus, an ideogram is an image, a representative image of a mythological thinking, of a culture. As **Eliade** has observed, to the primitive religious mind, nature and symbol are inseparable, and myths talk through symbols and images.

And this is what **Eliade** meant by the above mentioned metaphor: in Norse mythology the cosmos is pictured as *a tree, the ash Yggdrasil – the world - tree image (arbre - image du cosmos)*.⁶

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¹ Mircea Eliade, *Patterns in Comparative Religion*, p. 276.

² Mircea Eliade, *op. cit.*, p. 265.

³ Moyra Caldecott, *Myths of the Sacred Tree*, p. 159.

⁴ Snorri Sturluson (translated by Anthony Faulkes), *Edda*, p. 17.

⁵ H.R. Ellis Davidson, *Gods and Myths of Northern Europe*, pp. 190 – 191.

In the Norse mythology, soon after the creation myth, we learn of the presence of *the great ash tree* which supports the universe – a vertical image that brings together different worlds, good and bad. Its three roots connect the nine worlds together, as they extend to:

Muspelheim (world of fire),
Niflheim (world of ice),
Ásgard (world of the *Æsir*⁷),
Vanheim (world of the *Vanir*),
Jotunheim (world of the giants),
Midgard (world of humans⁸),
Svartalfheim (world of black elves),
Alfheim (world of light elves), and
Nidavellir (world of dwarves).

Under these roots were three wells⁹: *Urðarbrunnr*, *Mimisbrunnr*, and *Hvelgermir*. Of these, the first was guarded by *the Norns*, and we shall refer to it in the following section. The second was guarded by *Mimir*, and we shall discuss it in connection with *Oðinn*.

The third root's name means 'the roaring kettle' and *Nidhogg*, a giant serpent inhabiting it, continually gnaws at the root in *Niflheim*, eventually causing *Yggdrasil's* collapse.

Many other animals live and are connected with *the ash tree*. There is *Nidhogg* together with many other smaller snakes, there are four harts, a great eagle, a hawk, a squirrel. All these were very active in *the tree*, mostly hurting it. As far as they prove relevant for our study we shall mention each of them further on, especially in connection with *shamanism*.

Here follow the original descriptions and representations *the world ash* knew.

In *Voluspá*^{*} it is said:

19. Ask veit ek standa,
heitir Yggdrasill,
hár baðmr, ausinn
hvítaauri
Þaðan koma doggvar,
Þærs í dala falla.

19. An Ash I know there stands,
Yggdrasill is its name,
a tall tree, showered
with shining loam.
From there come the dews
that drop in the valleys.

⁶ We have also discussed this briefly in our paper *Ideogramer – Eller Sentrale Bilder I Norrøn og Japansk Kultur (Ideograms – Significant Images in Pagan Norse and in Japanese Culture)*, in ΣΥΜΠΛΗΡΩΣΙΟΝ, pp. 175 – 180.

⁷ The *Æsir* were the main group of gods, as opposed to the *Vanir*, who were more like a subgroup.

⁸ *Midgard* means 'the middle world', or 'the world in the middle'. It was created by the *Æsir* for humans.

⁹ The general perception is that there were three wells, but there have been other opinions raised, too. For example, in the *Voluspá*, there is mention of a 'lake' (**Dronke's** translation) from which three 'maidens' (*the Norns*) come.

* All the quotations (the original as well as the English version) from the *Voluspá* are taken from **Ursula Dronke**.

Stendr æ yfir grœnn,
 Urðar brunni.
 20. Þaðan koma meyjar
 margs vitandi,
 Þriár, ór Þeim sæ,
 er und Þolli stendr.
 Urð héto eina,
 aðra Verðandi
 - skáro á skíði –
 Skuld ena Þriðio.
 Þær log logðo,
 Þær líf kuro
 alda bornom,
 örlog seggia.¹⁰

It stands forever green over
 Urðr's well.
 20. From there come maidens
 deep in knowledge,
 three, from the lake
 that lies under the tree.
 Urðr they called one, 'Had to be',
 he second Verðandi, 'Coming to be',
 - they incised the slip of wood-
 Skuld the third, 'Has to be'.
 They laid down laws,
 they chose out lives
 for mankind's children,
 men's destinies.

From *Grimnesmål*¹¹ we learn:

29. Kormt og Ormt
 og Kjerlauger to
 vet jeg Tor skal vade
 hver dag
 når han drar til tings
 ved asken Yggdrasil;
 for æsers bru
 breenr flammende,
 heite blir hellige vatn.

29. I know that Tor shall wade through
 the waters of Kormt and Ormt
 and the two Kjerlaugs,
 every day
 when he goes to the meetings
 by the ash Yggdrasil;
 the gods bridge
 shall burn in flames,
 the sacred waters seethe.

30. Glad og Gylle,
 Gler og Skeidbrime,
 Sølvtopp og Sine,
 Gisl of Fallhoven,
 Gulltopp og Lettfot,
 på disse rir æsene ut
 hver eneste dag
 når de drar til tings
 ved asken Yggdrasil.

30. Glad and Gylle,
 Gler and Skeidbrime,
 Sølvtopp and Sine,
 Gisl and Fallhoven,
 Gulltopp and Lettfot,
 are the horses the gods ride on
 every single day
 when they ride to their meetings
 By the ash Yggdrasil.

31. Tre røtter
 gror til tre kanter
 fra asken Yggdrasil;

31. Three roots
 spread in three directions
 from the ash Yggdrasil;

¹⁰ Ursula Dronke, *The Poetic Edda. Volume II – Mythological Poems*, pp. 11 – 12.

¹¹ For *Grimnesmål* we use the Norwegian translation of **Ludvig Holm-Olsen**.

Hel bor under den ene,
under den andre rimtusser,
under den tredje holder mennesker til.

Hel lives under one of them,
under the other live giants,
and under the third live the men.

32. Ratatosk heter ekormet
som uten stans
renner i Yggdrasil's ask;
ørnens ord
skal det ovenfra bære
ned til Nidhogg ved rota.

33. Ratatosk is the squirrel called
that runs up
the ash Yggdrasil;
the eagle's words
shall it bear with him
down til Nidhogg at the roots.

33. Fire hjorter
står med framstrakt hals
og gnager på grønne skudd,
Dåin og Dvalin,
Dunøyr og Duratrør.

33. Four harts
stand with necks thrown back
and gnaw on green shoots,
Dåin and Dvalin,
Dunøyr and Duratrør.

34. Flere ormer
ligger under Yggdrasil,
enn et tåpelig menneske tror;
Goin og Moin,
de er Gravvitnes sønner,
Grårygg og Gravvollud,

34. Several serpents
live under Yggdrasil
than can men believe;
Goin and Moin,
the sons of Gravvitne,
Grårygg and Gravvollud,

Ovne og Svåvne
skal alltid, tror jeg,
gnage på treets greiner.

Ovne and Svåvne
shall always, I believe,
chew on the tree's roots.

35. Yggdrasil ask
Har en ond lagnad,
verre enn noen vet;
en hjort biter toppen,
trestammen råtner,
og nede gjør Nidhogg skar.¹²

35. The ash Yggdrasil
has to endure more hardship
than anyone knows;
a hart bites its top,
the trunk roots,
And down gnaws Nidhogg.
(our translation)

And in *Gylfaginning*, “the chief centre or holy place of gods”, is described by **Snorre** as follows[•]:

¹² Ludvig Holm-Olsen (tr.), *Edda-Dikt*, pp. 79 – 80.

• Considering the length of the quotations we sometimes have to give from *Gylfaginning*, we prefer to give only the English translation (belonging to **Anthony Faulkes**) and only certain phrases which necessitate special comments will be given in the original.

“The ash is of all trees the biggest and best. Its branches spread out over all the world and extend across the sky. Three of the tree’s roots support it and extend very, very far. One is among the Æsir, the second among the frost-giants, where Ginnungagap once was. The third extends over Niflheim, and under that root is Hvergelmir, and Nidhogg gnaws the bottom of the root. But under the root that reaches towards the frost-giants, there is where Mimir’s well is, which has wisdom and intelligence contained in it, and the master of the well is called Mimir. He is full of learning because he drinks of the well from the horn Giallarhorn. All-father went there and asked for a single drink from the well, but he did not get one until he placed his eye as a pledge. Thus it says in Voluspa:

I know it all, Odin, where you deposited your eye, in that renowned well of Mimir. Mimir drinks mead every morning from Val-father’s pledge. Know you yet, or what?

The third root of the ash extends to heaven, and beneath that root is a well which is very holly, called Weirð’s well. There the gods have their court. Every day the Æsir ride there up over Bifrost. It is also called As-bridge.”¹³

These are the representations of *Yggdrasil* that we get from the old Scandinavians. There are differences between them, due of course to the oral circulation of the myths in the oldest times, to the existence of different versions, of various influences.

Especially **Snorre**’s description includes information or conceptions which are not found in the older versions. For example, he places one of the roots in heaven, which **Lindow** sees as a change of plans, from the world of humans where *the tree* seems to be placed in *Grimnesmâl*, to a mythological plan.¹⁴ If this is true, it is again under the pressure of Christianity that **Snorre** felt compelled to do so. Myths were not longer alive for the Christianised Scandinavians.

However, whatever these differences may be, the great importance *the world tree* had in Scandinavia is undeniable. We know for sure that a *guardian tree* was a very common sight in the surroundings of dwellings in the Scandinavian world, and from **Adam of Bremen**’s accounts we also learned that such a *tree* existed at Uppsala, near the temple where *Oðinn* and *Freyr* were worshiped¹⁵.

From the descriptions above, we learn that *Yggdrasil* marked *the centre of the universe*, and connected different worlds together. As it was a *World Tree*, its life was renewed continually, and at its turn, it constantly regenerated the life of the universe it sustained.

So *Yggdrasil* is the reason for spatial, but also temporal unity in the Norse mythology. First, with its trunk, it stands as a *vertical axis*. Then, with its branches and its roots, it stands as a *horizontal axis*.¹⁶ We know that for the old

¹³ Snorri Sturluson, *op.cit.*, p. 17 – 18.

¹⁴ John Lindow, *ibid.*, p. 321.

¹⁵ H.R. Ellis Davidson, *op.cit.*, pp. 190 – 191.

¹⁶ John Lindow, *ibid.*, p. 321 – 322.

Scandinavians the world was plan, and even the organization of the nine worlds suggests the same.

Temporally, *the tree* seems to grow in the *Voluspá* from seed (stanza 2: “miotvið mæran, fyr mold neðan” – “glorious tree of good measure, under the ground”¹⁷) to a symbol of complete creation (stanza 19, see above), and then to the symbol of the end of the world, only to reappear as the wooden lots chosen by *Hæfir* as symbols of the new world.¹⁸

Bearing in mind the above representation, we shall next concentrate particularly on two aspects related to *the world ash*, namely its relation to *the Norns* and *time*, and its relation to *Oðinn* and *shamanism*.

The above quoted stanzas from the *Voluspá* (19 – 20) probably constitute the earliest mention of *Urðr’s*¹⁹ well. The episode is retold by **Snorre** also:

“[...] There stands there one beautiful hall under the ash by the well, and out of this hall come three maidens whose names are Weird, Verdandi, Skuld. These maidens shape men’s lives. We call them norns. There are also other norns who visit everyone when they are born to shape their lives, and these are of divine origin, though others are of the race of elves, and a third group are of the race of dwarfs, as it says here:

Of very diverse parentage I think the norns are, they do not have a common ancestry. Some are descended from Æsir, some are descent from elves, some are daughters of Dvalin.

Then spoke Gangleri: ‘If norns determine the fates of men, they allot terribly unfairly, when some have a good and prosperous life, and some have little success or glory, some a long life, some short.’

High said: ‘Good norns, ones of noble parentage, shape good lives, but as far as for those people that become the victims of misfortune, it is evil norns that are responsible.’”²⁰

And a little further on:

“It is also said that the norns that dwell by Weird’s well take water from the well each day and with it the mud that lies round the well and pour it over the ash so that its branches may not rot or decay. And this water is so holy that all things that come into that well go as white as the membrane called the skin that lies round the inside of an eggshell, as it says here:

¹⁷ Ursula Dronke, *op.cit.*, p. 7.

¹⁸ This interpretation belongs to **Gro Steinsland**, and she is quoted by **John Lindow**. – John Lindow, *ibid.*, p. 321

¹⁹ *Urðr* is the name currently used in Scandinavia for the first *Norn*. This name is commonly identified with the Old English form *wyrd* (thought to be related to the Latin *vertere* – to turn, to spin) [see below on the relation between *Norns* and spinning] – hence the name *Weird* that appears in some of the translations we have also quoted.

²⁰ Snorri Sturluson, *ibid.*, p. 18.

I know an ash – its name is Yggdrasil, high tree, holy – drenched with white mud. From it come the dews that fall in the valleys. It stands forever green above Weird’s well.²¹

So *the world ash Yggdrasil* contains within its roots and branches the worlds of the gods, the giants, the dwarfs, and the people. Because *the Norns* are the ones that take care of *Urðarbrunnr*, all these worlds fall under their influence. First and most important, it is due to the fact that they daily water *the tree* that the above mentioned worlds can continue their existence.²² Then, the lives and fate of men depend on the *Norns*, too. It has been said that just like the classical fates, with whom they have often been compared, the *Norns* govern people’s destiny, their past, present, and future.²³

In his book *The Well and the Tree*, Paul Bauschatz offers a very interesting analysis of the relationship between *Yggdrasil*, *the Norns*, and *time*. For him, *the centrality of the world tree*

“is closely, although not directly, associated with men”,
but

“*it is always directly involved with the world of the Æsir, the gods of whom Odin is chief and who are most influential in the affairs of men*”²⁴.

(our italics)

So **Bauschatz** gives the *Æsir* the most important role in the lives of men and emphasizes the connection between the *Æsir* and *Yggdrasil*. It is the *Æsir* who created *Midgard* and a whole other things relevant for the lives of men, and it is the *Æsir* who are, as we also saw in the quotation above, very closely connected to both *Yggdrasil* and *Urðr*’s well. They keep their daily court at *Urðr*’s well, where they come riding their horses²⁵, across *Bifrost*²⁶ – *the rainbow bridge*.

The place where the *Æsir* meet and hold their tribunal is the place where *the Norns* are also active – these being activities that influence the world of men.²⁷

In order to better understand what *the Norns* were actually doing, **Bauschatz** starts from a very thorough analyses of three of the activities *the Norns*

²¹ *Loc.cit.*

²² Through their activities, *the Norns* generate life, of the tree and all the livings that depend on it. As the holy water comes from *Urth*’s well, the *Norns* are the regenerative force of the universe. - Paul C. Bauschatz, *The Well and the Tree. World and Time in Early Germanic Culture*, p. 7.

²³ Paul C. Bauschatz, *op.cit.*, pp. 4 – 5.

²⁴ *Ibid.*, p. 5.

²⁵ Besides *Oðinn*’s horse, *Sleipnir*, ten other horses are known by name: *Gald*, *Gyllir*, *Glær*, *Skeidbrimir*, *Silfrtopp*, *Sinir*, *Gils*, *Falhofnir*, *Lettfet*, and *Gulltopp*, the last one known to have belonged to *Heimdall*. There was one more horse, belonging to *Baldr*, of which we know that was burned with its owner. Also, we know that *Thor* walks the way to *Yggdrasil*.

²⁶ *Bifrost*, the bridge that unites the world of men with the world of the gods (or, in **Snorre**’s way of putting it, the path from earth to heaven), can be considered just another representation of *the axis mundi*. This name of *the rainbow bridge* is only used by **Snorre**, while *Grínnesmál* gives the form *Bilrost* (with ‘bil’ meaning ‘stopping place, time, instant, weak point’, and ‘rost’ apparently meaning ‘road’). - John Lindow, *ibid.*, p. 80.

²⁷ Paul C. Bauschatz, *ibid.*, p. 6.

are apparently responsible of: *log leggja* (to make laws), *líf kjósa* (to choose life), and *þrlog segja* (to set or mark fate²⁸).²⁹ According to **Bauschatz**, the first phrase

“...is the usual term in Old Norse for the act of making laws, but the literal meaning of the phrase suggests something else. *Leggja* is ‘to lay’, ‘to place’, or ‘to do’. *Log* (the plural of *lag*) is literally ‘strata’ or ‘that which has been deposited or laid down’. *Log leggja* is, then, to lay down that which is laid down or to lay down or implant strata.”³⁰

The second of the above expressions, very vague in meaning, should however not be understood as only the act of deciding the final limit of men’s lives, but also the act of deciding the initial limit, the moment of birth, as well as all kinds of other events that mark a man’s life.³¹

The last of the three phrases uses just like the first one the word *log*, and for **Bauschatz** this phrase means “to say or to speak the *þr*³² – strata, the *þr* – things – laid – down, the *þr* – law”³³. So this *þrlog* is “a ‘primal law’ (in importance), a ‘highest law’ (in elevation), an ‘earliest law’ (in time), a ‘first law’ (in any numerical sequence)”³⁴.

Bearing in mind the meaning of these three phrases, and also the activity of watering of *Yggdrasil* mentioned in *Gylfaginning*, **Bauschatz** emphasizes the repetitive character of these activities, as well as the strong connection that exists between them:

“They [the *Norns*] regularly speak ‘the primary law’ or ‘lay down the strata of what has been accomplished’, and they regularly influence the lives of men. [...] The significant aspects of the myth lie in its repetitive, sustentative quality, and in its quality of physical control or influence, present in the idea of ‘strata’ in *log* and in the activity of the watering of the tree.”³⁵

So **Bauschatz** sees all the activities of *the Norns* as being *repetitive*, as expressing some kind of a *growth*, or *addition and superposition of layers*, and

“the kind of universal ideal represented by the myth is one in which *everything is growing and, in the process of its growth, connected directly with its origins*”³⁶. (our italics)

²⁸ As **Bauschatz** points out a little further on, ‘fait’ is not a Germanic word and its meaning should be strictly reduced to “that which has been spoken” or “that which has been laid down”. - Paul C. Bauschatz, *ibid.*, pp. 6 – 7.

²⁹ *Ibid.*, p. 6.

³⁰ *Loc. cit.*, p. 6.

³¹ *Loc. cit.*, p. 6.

³² The prefix *þr*- designates “something that is beyond or above the ordinary”, “something of first or primary significance”. - *Ibid.*, p. 7.

³³ *Ibid.*, p. 6.

³⁴ *Ibid.*, p. 7.

³⁵ *Loc. cit.*

³⁶ *Loc. cit.*

This is what ‘fate’ should be understood as in the Old Norse context, not as an *a priori* kind of knowledge of that which is to happen. *The Norns* only speak of what has been and is *known*.³⁷

The names of *the Norns* are also usually interpreted as being time – related: allegedly, they mark the three most important moments in a man’s life – beginning, middle, and end – corresponding to the three temporal divisions – past, present, and future.

Such interpretations go as far back as the 7th century A.D., when **Isidore of Seville** in his *Etymologies* discusses the concept of fate, and later, at the beginning of the 20th century, it is **Jacob Grimm**, quoted by **Bauschatz**, who interprets *Urðr* as the preterit plural of *verða* (to become), *Verðandi* as the present participle of the same verb, and *Skuld* as the past participle of the auxiliary *skulla* (shall).³⁸ More recent interpretations follow the same line. **Turville – Petre** says:

“...the goddess of fate [*Urðr*] is seen with two others, *Verðandi* (Present?) and *Skuld* (Future), probably late additions, laying down the course of men’s lives. Not only men, but also gods and giants are subject to the will of these hardly personal figures.”³⁹

And **Dronke** also understands the names of the “three administrators of fate” as “a declension of time, Past, Present, and Future”⁴⁰, arguing that “this is in keeping with the theme of temporal urgency”⁴¹ that the poem shows starting with stanza 27 – the moment when the end of the world – *Ragnarok* – is becoming imminent.

In a comparison with the classical *Parcae* and the Greek *Moirai*, **Bauschatz** concludes that there are many differences between them, but common features too, and maybe the most striking such common feature is that

“neither the *Moirai* nor the *Parcae* nor the *Norns* were basically or primarily concerned with determining the temporal continuity of past, present, and future.”⁴²

But then what do the names of *the Norns* signify? Starting with the last of them, *Skuld*, her name is glossed by both **Bauschatz** and **Davidson** as ‘necessity’⁴³ or ‘obligation’ or ‘what shall be’⁴⁴. The first one, *Urðr*, as mentioned above (footnote 30) is derived from the Indo – European root *uert-*, which denotes the motion of spinning, or rotating – implying “revolution or motion about an axis”⁴⁵, a return to an original beginning point⁴⁶. So *Urðr* would mean “that which has ‘turned’ or ‘become’”.⁴⁷ Her name was also sometimes interpreted as meaning ‘death’.⁴⁸

³⁷ *Loc. cit.*

³⁸ *Ibid.*, p. 9.

³⁹ E. O. G. Turville-Petre, *Myth and Religion of the North. The Religion of Ancient Scandinavia*, p. 280.

⁴⁰ Ursula Dronke, *ibid.*, p. 128.

⁴¹ *Loc. cit.*

⁴² Paul C. Bauschatz, *ibid.*, p. 11.

⁴³ H.R. Ellis Davidson, *ibid.*, p. 26.

⁴⁴ Paul C. Bauschatz, *ibid.*, pp. 12 – 13.

⁴⁵ If this interpretation is right and if we take it *ad literam*, then this axis is *the axis mundi*.

⁴⁶ Paul C. Bauschatz, *ibid.*, pp. 13 – 14.

The name of *Verðandi*, the second of *the Norns*, means “that which is in the process of ‘becoming’⁴⁹ or ‘turning’⁵⁰. Or, as **Bauschatz** himself synthesizes:

“If we divide the influence of the Norns among the three, their names suggest that they define what we normally think of as the total range of verbal action. *Urth reflects actions made manifest, brought to a full, clear, observable, fruition*; they have ‘become’; they are *accomplished*. *Verthandi clearly reflects the actual occurring process of all that Urth eventually expresses*. The two Norns are closely linked, with the influence of Verthandi flowing directly to Urth. *As actions pass from Verthandi to Urth, they move from ‘becoming’ to ‘become’*. As Skuld is involved with necessity or obligatory action, she stands slightly apart from the other two Norns. *She seems to make reference to actions felt as somehow obliged or known to occur; that is, the necessity of their ‘becoming’ is so strongly felt or clearly known that they present themselves as available to be incorporated into the realms of Verthandi and Urth.*”⁵¹ (our italics)

This last observation **Bauschatz** makes about *Skuld* strongly reminds us not only of what **Eliade** was saying about *sacred time*, but it is strangely similar to the definition **Yanagita Kunio**, the founder of Japanese folkloric studies, gives to the annual events observed by the Japanese people.⁵² We wonder therefore if this strong feeling of obligation or necessity felt towards the ‘becoming’ of certain action in old Scandinavia is not in fact related to the observing of rituals or annual events.

We have already seen that ‘primal’ events laid down in earliest time - *ørlog* – represent patterns that dominate and dictate the events occurring now in the world of men.⁵³ It is in this that lies the relation between *Yggdrasil* and *time*, or *Yggdrasil* and men and their ‘fate’.

⁴⁷ In light of the meaning ‘fate’ takes in the Old Germanic context, *Urðr* is ‘the *Norn* of the past’ only if we understand this past as “a realm of experience including any of the accomplished actions of all beings, men, gods, etc. It is ever growing, and it has a direct, nurturing, sustentative effect upon the world, which men experience as life, just as the water from Urth’s well nurtures Yggdrasil. The relationship implies a continual, supportive intrusion of past upon present existence” - Paul C. Bauschatz, *ibid.*, pp. 15 – 16.

⁴⁸ Brit Solli, *Seid. Myter, sjamanisme og kjønn i vikingenes tid*, p. 29.

⁴⁹ Interestingly enough, the verb that appears in the Japanese creation myth retold by the *Kojiki* for the birth of the deities is ‘become’. This has been interpreted by **Motowori Norinaga** (quoted by **Basil Hall Chamberlain**) as “the birth of that which did not exist before”. - Basil Hall Chamberlain, *The Kojiki, Records of Ancient Matters*, p. 17, footnote 2.

⁵⁰ Paul C. Bauschatz, *ibid.*, p. 14.

⁵¹ *Loc. cit.*

⁵² **Yanagita Kunio** defines annual events (*nenjū gyoji*) as traditional events, repeated as a matter of custom in the same manner or style, and at the same point in the annual calendar. He emphasizes that these events are not simply repeated by individuals, but by the family, the village, the nation, because there is inside the group or the community a sense of obligation to observe the tradition, which as far as the understanding of the nature of time goes, is different from the usual, everyday time. - Kunio Yanagita, *Minzokugaku jiten (Dictionary of Japanese Ethnography)*, p. 447 – 448. We also discussed this subject in our article *The Japanese and Time*, *Studia Universitatis Babeş-Bolyai*, 2006, No. 2.

⁵³ Paul C. Bauschatz, *ibid.*, p. 16.

Clearly, all of the power of *the tree* comes from beneath it, from the wells. Taken together, they all - their water - suggest fluidity and accumulation.⁵⁴ It seems that all three of them enforce a particular aspect inherent in *Urðr*'s well. Thus,

- *Mimir*'s well reinforces the wisdom aspect, as sustained by *Oðinn*'s pledging of his eye to gain the power of the runes (see the next section);
- *Hvergelmir*, or “the roaring kettle”, reinforces the magical aspect of *Urðr*'s well, that is the magic or power of the water nurturing *the world tree* and subsequently, the world.⁵⁵

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THE MAIN FEMALE CHARACTERS IN SIGRID UNDSET'S *KRISTIN LAVRANDATTER* AND MIHAIL SADOVEANU'S *THE JDER BROTHERS*

ANNAMARIA STAN*

SUMMARY. Our article describes women's position and family relationships existing in the medieval society, as they appear in two historical novels from the beginning of the 20th century, namely *Kristin Lavransdatter* written by the Norwegian author Sigrid Undset and *The Jder Brothers*, a Romanian novel written by Mihail Sadoveanu. In these two literary texts, the woman is described as the guardian of balance and harmony inside her family, a strong, intelligent and ambitious being that fights for happiness and fulfillment. The writers give an objective view upon social and religious conventions which decide women's role and duty during the Middle Ages. The two female characters, Kristin and Ilisافتا, are two different personalities which have a common characteristic in their attempt to preserve the integrity of their own universe.

Key words: female character, historical novel, medieval, religion, Sadoveanu, Undset.

The historical novel is a representative feature of the European literature in the first half of the 20th century. Authors use this particular literary genre as a means of criticizing modern times, morals and the dissolution of traditions. The historical novel embraces the sub-genres: historical fantasies, alternate histories, pseudo-histories, multiple-time novels and time-slip novels.

The main reason for adopting this literary form at the beginning of the 20th century is that authors were looking for a period of time when people could come into light with clearer lines than the contemporary ones. Thus, the historical novel can be read from a cultural perspective as a colourful and almost exotic correction for the depressing descriptions of contemporary concern and utilitarianism.¹

The introduction of historical personalities into the novel does not make it a historical fiction. The setting, the atmosphere of the book, the events and the data has to be more or less in accordance with past realities.

In what the plot is concerned, in his work, *Le roman historique*, Georg Lukács argues that: "Pour le roman (...), la collision est seulement une partie de ce monde total qu'il a pour tâche de décrire. Le but de roman est de représenter une réalité sociale déterminé á une époque avec toute la couleur et tout l'atmosphère spécifique de cette

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¹ Bliksrud, Liv, *Nyrealismen og det etiske imperativ in Norsk kvinnelitteraturhistorie*, volume 2, Pax Forlag A.S., Oslo, 1989, pg. 85.

époque. Tout le reste, les collisions comme les ‘individus mondialement historiques’ qui y figurant ne sont que des moyens pour atteindre ce but. Puisque le roman figure la ‘totalité des objets’, il doit aller jusque dans les petits détails de la vie quotidienne, dans le temps concret de l’action, il doit mettre en évidence ce qui est spécifique de cette époque dans l’interaction complexe de tous ces détails. (...) Il doit être historiquement authentique de tous points.”² A historical novel is a novel in which identification with real historical items can immediately be noticed.

The Norwegian and the Romanian literatures have two representatives of the genre in Sigrid Undset and Mihail Sadoveanu. One might wonder what the two authors could have in common as the first describes Norwegian realities set in a Catholic Middle Age while the latter portrays an Orthodox Eastern European culture. Both of them however, have a creation rich in historical novels and descriptions, presenting the reader with a plot that is set over a long period of time in the medieval era, as well as historical characters and events with the desire to contrast them with the immorality and indifference of modern times. Behind the text, the reader can guess a desire to keep us in permanent contact with the realities of contemporary events and decadence.

Sigrid Undset (1882- 1949) was a winner of the Nobel Prize in Literature in 1928 with the most famous of her historical novels, *Kristin Lavransdatter* and *Olav Audunssøn*. *Kristin Lavransdatter* remains the most famous among her historical works. When she started writing this novel, Sigrid Undset had already gathered a vast life experience and was ready to present it in a mixture of realism, religious faith, psychological insight and last but not least, a deep awe towards medieval traditions and values. The plot is set in the Middle Ages in order to provide the author with the necessary distance to study and examine the human soul in its most intimate moments: “I can’t think of any novel I have read in my life that depicts the human condition with more knowledge and feeling. It’s all there—love, passion, fear, joy, pain, sex, guilt, parents, children, nature, neighbors, politics, war—and through it all, that terrible, hungry search for meaning in a world that can be lonely and cruel. None of this has changed since the fourteenth century. Human nature remains the same. This is why we learn so much about ourselves from great art of any age.”³

As Carl Fredrik Engelstad argues, “Undsets plot is compact, well built and interesting, the atmosphere of the epoch is brilliantly accurate and the description of the characters has both clear contours and subtle nuances.”⁴

Mihail Sadoveanu (1880-1961) is a prolific Romanian author famous mostly for his historical novels, among which *The Jder Brothers*, *The Soimaresti Family*, and *The Sign of Cancer*.

² Lukács, Georg, *Le roman historique*, Petite Bibliothèque Payot, Paris, 1965, pg. 167.

³ Raymo, Chet, *The Art of Meaning*, <http://web.ebscohost.com/ehost/pdf?vid=13&hid=13&sid=78b3b4b2-93a8-451d-ba15-17632f136296%40> sessionmgr8, date of access: 16th Feb, 2008.

⁴ Engelstad, Carl Fredrik, *Sigrid Undsets middelalderromaner på ny*, Aftenposten 24/9-1975, <http://tekst.aftenposten.no/forindeks/fi.cgi?fiart+FORFGML+GFI197509244935&>, date of access: January 2006.

Both novels, *Kristin Lavransdatter* and *The Jder Brothers*, are trilogies, each part bearing a symbolic title according to the events which are described. The authors present with their literary texts two bildungsroman. *Kristin Lavransdatter* describes the life of a medieval woman from her birth till her death during the Great Plague in three novels: *The Wreath*, *The Wife* and *The Cross*. The first part describes juvenile love, the second conjugal love and the third the love of God. *The Jder Brothers* (a novel which presents mostly male characters) has the same composition (*Ionuț's Apprenticeship*, *The White Spring*, and *His Majesty's Servants*) but in the last part the novel presents patriotic love. In his book *Introduction to Mihail Sadoveanu's work*, Fănuș Băileșteanu says something which is specific both for Undset's and for Sadoveanu's work: "The universe becomes (...) a large complex, an infinite complex of events in an eternal movement, in a continuous flow which can consist only of the ordering of the phenomena that compose it, that is in their co-existence and relationships in space and time."⁵

The religious element is strongly interwoven in the novel; there is nothing in the medieval world that can be done without God. The novels have a strong religious echo in the mind of the reader. The Medieval world is strongly influenced by the Church and its teachings. Monks, priests, nuns, monasteries and cathedrals are all placed in the two novels as a strong reminder of the spirit of the epoch. *The Jder Brothers* starts with a scene placed at the Neamțu monastery, a symbol of an *axis mundi* where people gather for spiritual shelter, adoration and forgiveness. They are waiting for His Majesty to join the crowds in a religious ceremonial.

The characters in *The Jder Brothers* experience a purity of faith as the space and temporal greatness to which they participate offer them the feeling of belonging to a group.⁶ Sadoveanu brings Heaven on Earth through exploring human existence under its deepest and most natural forms, not only on a universal level but also on an individual one.

Sigrid Undset does the same thing. When the author describes Kristin living a life of atonement, she deliberately places the reader in front of a character through whose life experiences she wants to demonstrate God's greatness and grace. The Medieval society was strongly influenced by religious, social and family conventions. Kristin has a strong desire to break them and some of Sadoveanu's characters tend to allow their passions and interests to rise above these conventions. Alexandrel, the voievod's son, lures beautiful young women not necessarily because he is in love with them, but because of his hidden passions and desires.

As a rule, historical novels have a large gallery of characters. The destinies are connected to each other in an undestructable network which influences their fate, feelings and thoughts. The Church, the royalty, the social and religious conventions determine their life and their decisions. The characters are described mostly through their interaction with others who bring into light the most hidden passions.

⁵ Băileșteanu, Fănuș, *Introduction to Mihail Sadoveanu's work*, Minerva, București, 1977, pg. 10.

⁶ Frigoiu, Nicolae, *Romanul istoric al lui Mihail Sadoveanu*, Ed. Junimea, 1987, pg. 165.

The importance given to the Medieval family by the two authors cannot be ignored. We are referring here to two large families, the Nikulaussøn family and the Jder family described over a long period of time from its older generations to the younger ones. The Middle Age society was a divided one: the husband was the head of the mansion and his wife was his counterpart in the daily activities. She was the one replacing him while he was away. The division of work was decided by gender: men outside- women inside.

Kristin and Ilisafra are the two main characters inside the family. Kristin is the one who inherits the entire responsibility of running Erlend's mansion. Any attempt of finding support in her husband is meant to deeply disappoint her. The difference between the two life partners is that Kristin belongs to the rich peasant social level. For her, the farm and the land represent the main purpose in life while Erlend is more of the adventurer kind, a knight who is unable to provide Kristin with the necessary help to rule his mansion.

Just as Kristin, Ilisafra has the role of taking care of the household and especially the family. She has a large family, with five sons, each one of them representing a social class of the Middle Ages: Cristea, who has large farms and rules them together with his wife, Simion, employed at his Majesty's Court, Nicodim who retires to a monastery and leads the life of a monk, Damian who is a merchant appreciating business more than anything else and Ionuț, the youngest in the family who is a brave adventurer, ready at any time for a battle to protect the values his family believes in. In what Sadoveanu's work is concerned, N. Frigioiu considers that "the physiognomy and the psychology of family life remind us of Balzac's exactitude of observation and synthesis capacity; for this reason, they have the authority of a scientific document."⁷

Ilisafra is probably the only character in Sadoveanu's novel that is well shaped: she is a keeper of traditions, religious and popular beliefs, family integrity and harmony, despite her sharp replies and quarrels with her husband. She has strong maternal feelings towards all her sons, though the youngest one is not her own, but Manole's son from a relationship outside their marriage. Ilisafra is a faithful woman, talkative and intelligent, shrewd enough to dominate the entire family with her strong personality and organise things according to her own will. Sadoveanu's women are not the typical medieval women who succumb to their husbands' rules but they rather try to cope with situations in their own way.

To state the fact that Sadoveanu and Undset's women are independent and free is probably an exaggeration. However, they are more independent as medieval women really were. Kristin, though tortured by endless remorse towards her father whose orders she disobeys by having an adulteress relationship with Erlend, decides to go her own way in life and marry a man who cannot offer her the comfortable life her father has dreamt for her. She proves to be strong, almost stubborn in her decisions. But however, her marriage with Erlend does not have the same happy fate as Ilisafra's. She

⁷ Idem., pg. 165.

becomes disappointed with her unreal representations of reality. Marriage proves to be a failure. Erlend does not have the qualities Kristin needs in life. She would like a man whom she could count on but Erlend is more of the knight kind, and not a peasant able to help Kristin in her ambitions to re-establish the old family fortune. As a mother to seven children, she is preoccupied by securing them a happy and safe future.

The second book, *The Wife*, opens with the scene of Kristin's wedding. After the wedding, she moves to Husaby, her husband's property. She gives birth to her first son, Nåkkve. Her servant Ulv describes his mistress best in a conversation he has with her: "No woman would feel at ease with living in this mansion- after all that has happened here... In spite of all these, I think, my lady that you will get along better than others. You are not like those who sit down and start complaining and sighing; you are thinking of saving this heritage for your children because nobody else takes care of such a thing."⁸

Erlend brings with him into his new family, just as Sadoveanu's Manole does, two illegitimate children from his relationship with another woman. Unlike Manole's mistress, whose identity is not revealed, Erlend's mistress is a whimsical, mean and quarrelsome person. Though Erlend does not seem to love his son too much, he is actually tortured by the shame and humiliation of not being able to provide his two children, Orm and Margret with the same rights as legitimate children have.

Kristin adopts her stepson as she appreciates his intelligence and good heart. The gesture of drinking from the same cup at the beginning of their acquaintance is symbolic, a sign of friendship and acceptance which will grow in time to maternal love. When Erlend hits Orm as he destroys his father's bow, Kristin's soul becomes bitter and sad. She loves her stepson and blames Erlend of ignorance because he does not take care of his children properly; she suffered more then ever when seeing the frequent quarrels between Erlend and his eldest son.

Not the same can be said about Kristin's relationship to her stepdaughter Margret, whom she considers arrogant, shrewd, disobedient and hypocrite behaving well towards her father only when she would like to obtain something in her benefit and Orm seems to have the same antipathy towards the girl.

Ilisافتa has the same concern towards her stepson. Ionuț is the result of Manole's adulteress relationship but Ilisافتa seem to love his younger son even more than the rest of her children. Ionuț is the youngest and is thus considered by Ilisافتa to be fragile and inexperienced. The husband and the wife have small quarrels as Ilisافتa would like to protect Ionuț and provide him with a safer and more comfortable life than that of a knight in his Majesty's army. She would like to marry him with a woman of her own choice: "... I see that I can have faith in you. To be honest, I know it too, that if she wants something, then nothing could hinder her. Ilisافتa digs and hits continuously as water..." says Manole to his son. Ionuț smiles and admits that "Dear father, she would rather like a daughter-in-

⁸ Undset, Sigrid, *Kristin Lavransdatter*, vol. 2, Editura pentru literatură universală, Bucuresti, 1967, pg. 13.

law for herself than a wife for me.”⁹ What both men know is that usually things turn out according to Ilisaftha’s will. She is the typical matriarchal representative taking care of her children’s life, providing them with a future and making sure they will have a family. When Simion wants to marry Marușca, she opposes. Marușca is very much like Gaute’s wife, Jofrid who will take over Jørungård. They both have a strong will and a determined mind.

The female character gallery in Undset and Sadoveanu’s work is richly and realistically described. An apparently patriarchal society proves itself to be strongly influenced by female characters who know how to make their will known to others. Their women are not subordinated ones in the classical meaning of the word, but rather advisors and partners, fighting for their children and mansions. They are proud, intelligent, active, and good-hearted and they know how to behave as wives, mothers and mistresses of their mansion. They know how to live their lives, enjoying the happy moments and suffering during the sad ones, always concerned for their children, husbands and homes. *Kristin Lavransdatter* and *The Jder Brothers* are two novels of the family, presenting three generations of rich peasants and nobles.

The characters have each their own perspective on life, their own experience and interpretation of the events. The author of the historical novel is interested in the identity problem, creating the picture of an age which can extrapolate over the entire humanity and its problems. Sadoveanu and Undset’s characters are not only individual entities but symbols of different human types. By presenting them, the authors create a literary work full of universal connotations and echoes.

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⁹ Sadoveanu, Mihail, *Frații Jderi*, Ed. 100+1 gramar, București, 2001, pg. 384.

**ETUDE ETYMOLOGIQUE ET PHONOLOGIQUE
DE L'EMPRUNT ITALIEN *GIARDINO* DU FRANÇAIS *JARDIN*.
DE L'IMPORTANCE DE LA QUANTITE CONSONANTIQUE DANS
LE SYSTEME ITALIEN.**

SOPHIE SAFFI¹

ABSTRACT. *An etymological and phonetic study of the Italian loan word GIARDINO from the French JARDIN.*

Following an etymological study teaching us, inter alia, that ORTO and GIARDINO are of the same Indo-European origin, a phonological study of borrowing JARDIN > GIARDINO retraces the troubled history of the affricative [dʒ]. A psychosystematic approach proposes an explication of its disappearance in French and its permanence in Italian.

Key words: Etymology, phonetics, psychosystematic approach, affricative, giardino

Le jardin serait né en Mésopotamie, il y a environ cinq mille ans, quand l'acclimatation du palmier rendit possible la création d'oasis, c'est-à-dire de zones de végétation permettant de limiter l'évaporation et de maintenir l'humidité constante nécessaire à la survie de plantes fragiles. «Conformément à l'un des paradoxes constants de l'activité humaine, ces conquêtes techniques ne servirent pas d'abord, ni surtout, à la production de plantes destinées à la nourriture des hommes, mais au luxe et au plaisir, aux cultures gratuites des fleurs et des arbustes d'ornement. Mais ces cultures s'adressent moins aux humains qu'aux divinités»². On comprend alors que l'effort n'a rien de gratuit: il faut apaiser les dieux en leur offrant la beauté. S'adjuger la faveur des dieux est une condition de survie dans un monde angoissant et imprévisible. Aujourd'hui, l'explication scientifique de la marche du monde a empiété sur cette fonction des religions. Derrière ce premier objectif du jardinier s'en cache un second, plus mégalomane: maîtriser la nature (ou prendre la place des dieux?) qui reflète bien le caractère paradoxal des entreprises humaines. Le jardin a l'ambition d'être une image du monde; étymologiquement, c'est un enclos, un endroit réservé par l'homme où la nature est disposée de façon à le servir. Le français *paradis* ou l'italien *paradiso* viennent du latin tardif *paradīsus* "parc", terme issu du grec *parádeisos* "jardin" venant de

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² *Encyclopaedia Universalis*, entrée "jardin", vol. 9.

l'iranien ou perse *pairidaēza* qui signifie "lieu clôturé", le passage à la signification religieuse de "jardin d'éden, parc réservé aux bienheureux" s'étant effectué par le biais de l'hébreu *pardēs*. Le terme de l'ancien perse est composé à partir de la racine indo-européenne **dheig'h-* "mur"³. L'accent est bien mis sur l'enceinte, l'isolement, la séparation d'avec la nature hostile et incontrôlable – le désert.

L'étymologie ne remonte pas plus loin car même si le nostratique comporte de nombreux noms de plantes, aucun ne désigne des espèces cultivées ou des techniques de culture. Les partisans du nostratique considèrent que cette langue-mère de l'indo-européen serait antérieure à l'agriculture et à la domestication des animaux⁴.

Une autre racine indo-européenne, **ghorto* signifiant – il n'y a pas de hasard – "enclos", sert de base de construction au latin *hortus* et au germanique **gard* dont le sens est "jardin clos". «De cette même base dépendent aussi le latin *cohors*, *cohortis* (*co-hortis*), "enclos, basse-cour", qui a donné en français *cour*. Ô surprises de l'étymologie! Voici que le côté cour et le côté jardin ne font plus qu'un. Dans le vocabulaire militaire, *cohors* signifiait "division du camp" puis "troupes cantonnées dans cette division"; dans ce sens, il a donné *cohorte*»⁵. La forme germanique **gard* se lit aujourd'hui dans l'allemand *Garten* et l'anglais *garden*. «La même racine indo-européenne **ghorto* a abouti au russe *gorod*, avec le sens de "ville", qui apparaît dans *Novgorod* "la ville neuve" et, sous une forme plus évoluée, dans *Petrograd* "la ville de Pierre"»⁶. La racine indo-européenne **ghorto* a donné en slave *gradina*, terme repris par le roumain pour désigner le jardin⁷.

Revenons dans notre jardin: l'italien *giardino* est un emprunt au français datant du XII^e siècle. «La forme *giardino* se trouve déjà en Italie au X^e siècle dans des chartes latines de Gênes: il s'agit évidemment de la diffusion d'un type de latin carolingien, mais portant la marque d'un parler d'oïl. Au XII^e siècle *giardino* est plus fréquent en Italie: il pénètre les Pouilles, la Calabre, la Sicile»⁸. Le terme français vient du germanique **gard* qui a évincé le *hortus*, *horti* latin du langage courant. Comme c'est souvent le cas en français, le radical latin se révèle plus fructueux dans la production d'une terminologie scientifique ou du moins de spécialité; en face du jardinier, l'*horticulteur* fait figure de spécialiste: tout comme

³ Giovanni Alessio, Carlo Battisti, *Dizionario etimologico italiano*, Firenze, G. Barbèra editore, 1968, vol.3, p. 2766; Manlio Cortelazzo, Paolo Zolli, *Dizionario etimologico della lingua italiana*, Bologna, Zanichelli, 1980, prima ed. vol. 3, p. 876; Albert Dauzat, Jean Dubois, Henri Mitterand, *Nouveau dictionnaire étymologique*, Paris, Larousse, 1964.

⁴ Philip Ross, *l'histoire du langage* in AA.II., *Les langues du monde*, Pour la Science, 1999, p. 33.

⁵ Jean Bouffartigue, Anne-Marie Delrieu, *Trésor des racines latines*, Paris, Belin, 1981, p. 203.

⁶ Henriette Walter, *L'aventure des mots français venus d'ailleurs*, Paris, Robert Laffont, 1997, p. 89.

⁷ Helmut Lüdtke, *Historia del léxico románico*, Madrid, Editorial Gredos, Biblioteca Románica Hispánica, 1974, p. 82.

⁸ Jean-Claude Bouvier, *Ort et jardin dans la littérature médiévale d'oc* in *Espaces du langage, géolinguistique, toponymie, cultures de l'oral et de l'écrit*, Publications de l'Université de Provence, 2003, p. 72. L'auteur cite une étude de R. Bezzola, *Abbozzo di una storia dei gallicismi italiani nei primi secoli – Saggio storico-linguistico*, Heidelberg, 1925, pp. 195-196. Voir aussi: Manlio Cortelazzo, Paolo Zolli, *op. cit.*

l'horticulture est le nom scientifique de jardinage. On trouve aussi *l'hortillonnage* qui revoie à une réelle spécialisation: la culture de légumes dans des jardins conquis sur des marais en Picardie, dans le dialecte picard *l'(h)ortillon* désigne le jardinier, du verbe *ortillier* "jardiner"⁹. Le picard, sûrement du fait de sa proximité géographique avec les langues germaniques, a conservé tel un bastion *l'hortus* latin.

Alors que chez les Romains, *l'hortus* était à la fois le lieu des cultures potagères¹⁰ et ornementales, l'italien a emprunté au français le mot *jardin* > *giardino* qui venait compléter le terme *orto*, réduit au seul signifié utilitaire¹¹. Il n'est pas le seul: l'espagnol et le portugais, qui ont emprunté le mot français nettement plus tard, à l'époque classique (fin XVI^e - début XVII^e en Espagne, dans *Don Quichotte* notamment), font la même dichotomie. «[...] L'espagnol *jardin* et le portugais *jardim* signifient aujourd'hui: "jardin de fleurs, d'agrément", tandis que *huerto* en espagnol, *horto* en portugais désignent le "jardin potager"¹². La même distribution se lit dans la littérature médiévale de langue d'oc:

Ainsi l'opposition entre *ort* d'une part et *jardin*, *vergier* d'autre part est-elle très marquée. C'est une opposition de valeurs sémantiques, plus que de sens, fondée sur une distinction de type social, que l'on constate assez souvent dans l'histoire des langues entre le mot autochtone et le mot emprunté.

Ort exprime dans la littérature médiévale d'oc des valeurs traditionnelles de ruralité, de labeur, de rudesse, d'attachement au terrain comme cela est net dans le cas de Gaucelm Faïdit.

Jardin ou *vergier* incarnent des valeurs nouvelles de la vie courtoise, développées par la poésie des Troubadours: la beauté, le luxe, la joie d'aimer et de vivre...¹³

Jean-Claude Bouvier souligne dans son article que la compétition entre les types d'origine latine (*ort* et *verger*) d'une part, et le type emprunté d'origine germanique (*jardin*) verra la victoire en français du mot d'emprunt (*jardin*) sur le mot primitif (*ort*), complètement éliminé, et donnera lieu en langue d'oc moderne à une distribution géolinguistique¹⁴. Après un dépouillement systématique de la littérature médiévale d'oc, l'auteur ne trouve d'exemples attestant une distinction

⁹ A. Rey, J. Rey-Debove, H. Cottez, *Dictionnaire alphabétique et analogique de la langue française*, Petit Robert.

¹⁰ Le *potager* est le "cuisinier" (fin XIV^e), ce terme prendra son sens moderne au milieu du XVI^e pour devenir le lieu des cultures du *potage*, c'est à dire "ce qui se met dans le pot" (milieu XIII^e), puis restreint à "bouillon, soupe" au XVI^e. *Potage* et *potager* sont des dérivés de *pot* du latin populaire *pottus* (réduit à *potus* au V^e s.), probablement d'un radical préceltique *pott-* (Albert Dauzat, Jean Dubois, Henri Mitterand, *op. cit.*).

¹¹ Bruno Migliorini, *Storia della lingua italiana*, Firenze, Sansoni, 1987, p. 44.

¹² J. C. Bouvier, *op.cit.*, p. 78. Et aussi: J. Corominas, *Diccionario crítico etimológico de la lengua castellana*, Berne-Madrid, 1954-1937.

¹³ *Ibidem*. Voir aussi le mémoire de Maîtrise de Caroline Benoit, *L'influence de la langue d'oc dans le lexique italien*, (sous la direction de Sophie Saffi), Université de Provence, Bibliothèque d'italien, 2003, 189 p.

¹⁴ J.C. Bouvier, *op. cit.*, p. 71.

moderne entre le *vergier* (terrain planté d'arbres fruitiers)¹⁵ et le *jardin*, qu'à partir du XIV^e siècle. Or cela fait deux siècles que les troubadours connaissaient *jardin* de façon incontestable. En effet, la première vague de diffusion¹⁶ du type d'origine germanique *jardin* en pays d'oc se fait à partir de la langue d'oïl, à la naissance de la poésie des troubadours dans le haut Moyen Âge. Elle concerne les milieux lettrés. Et l'Italie – on l'a vu – connaît le même phénomène à la même époque. Ainsi, *giardino*, en Italie, dès le XII^e siècle signifie "terreno con colture erbacee di tipo ornamentale"¹⁷.

Lors de l'emprunt au français par l'italien, le principal changement phonologique opéré concerne le traitement de la chuintante médio-palatale [ʒ] à l'initiale de *jardin* qui devient une affriquée [dʒ] dans *giardino*. Après un bref panorama de l'histoire du mot, observons l'évolution de ce composant.

Dans le cadre de l'évolution du système phonologique latin qui a abouti aux divers systèmes phonologiques des langues romanes, un des principaux phénomènes concernant les consonnes est la palatalisation des occlusives [k], [g] devant [i], [j] (yod) ou [e], et [t], [d] devant [i] ou yod. Elle a sévi dans toute la Romania en latin parlé tardif (III^e s. ap. J.-C.). Elle peut se résumer comme suit. L'articulation des voyelles palatales et de la semi-consonne fricative yod se renforce en syllabe accentuée suite à l'apparition de l'accent tonique (dit "d'intensité"). Elles exercent une force d'attraction sur les consonnes dentales [t], [d] dont le point d'articulation est déjà très proche du leur. Le locuteur renonce aux efforts articulatoires nécessaires à la protection des dentales qui se palatalisent, conservent leur attaque occlusive, mais leur tenue devient, par anticipation, fricative¹⁸. [ti/j] > [ts], [di/j] > [dʒ]. La situation des consonnes vélares [k], [g], est inverse mais conduira au même résultat: l'écart articulatoire entre les consonnes vélares et les voyelles palatales est trop grand, le locuteur renonce à l'effort d'émission qui préserverait les consonnes vélares et laisse leur point d'articulation se déplacer sous l'influence des voyelles palatales.¹⁹ [ki/j] > [ts], [ke] > [ts], [ge] > [dʒ]. Les consonnes affriquées sont nées: [ki/j] > [ts], [ke] > [ts], [ti/j] > [ts], [ge] > [dʒ], [di/j] > [dʒ].

Ces nouvelles consonnes affriquées se caractérisent par le fait qu'elles sont occlusives au début de leur émission et constrictives à la fin. L'italien, le roumain et certains dialectes occitans ont préservé la partie occlusive ([t], [d]) des affriquées

¹⁵ L'équivalent italien de *verger* dans son acception moderne est *frutteto* (< latin tardif *fructetu(m)* > radical *fructus* "fruit"). Le parcours de ce terme est totalement différent, il se construit sur le concept de fruit quand le terme français se construit sur celui de la couleur (*verger* < *vergier* < latin *viridiarium* < radical *viridis* "vert").

¹⁶ La seconde vague aura lieu au XVI^e siècle, lors de l'avancée du français sur tout le territoire aux dépens des langues régionales.

¹⁷ Manlio Cortelazzo, Paolo Zolli, *op. cit.*

¹⁸ Une consonne fricative (dite aussi "constrictive", "chuintante", "sifflante" ou "spirante") est une consonne caractérisée par un resserrement du chenal buccal qui entraîne sur le plan auditif une impression de friction ou de sifflement due au passage difficile de l'air. Les fricatives du français sont: [f], [v], [ʃ], [ʒ], [s], [z]. Celles de l'italien: [f], [v], [ʃ], [s], [z]. Celles du latin: [f], [s], [h] (vélaire que l'on trouve à l'initiale de *house* en anglais).

¹⁹ Michel Banniard, *Du latin aux langues romanes*, Paris, Nathan, 1997, p. 53.

jusqu'à l'époque moderne. L'espagnol et le français ont gardé la partie occlusive jusqu'au Moyen Âge. «Le principal changement consistera en l'abandon de la partie initiale du phonème (l'occlusive) aboutissant à la simplification de celui-ci: c'est le choix du français (qui renonce aussi à la même époque, XII^e - XIII^e, aux diphtongues issues de la diphtongaison du latin parlé tardif)»²⁰.

La palatalisation a restructuré les systèmes phonologiques de toute la Romania, transformant les modes articulatoires et déplaçant les points d'articulation, aboutissant à la création de géminées, d'affriquées et de nouveaux phonèmes tels que [ʃ] (résultat de la palatalisation de [s] au contact de [y]: [sy] > [ʃ]), [ɲ] (*Hispania* > *Spagna*, [ny] > [ɲ]) et [λ] *familia* > *famiglia*, [ly] > [λ]). «[...] La majeure partie des innovations phonologiques de l'italien par rapport au latin sont des conséquences de la palatalisation»²¹. Bien qu'elle ait connu une fortune particulière en italien, elle n'y a pas donné naissance au phonème [ʒ]. «L'évolution [sy] > [ʃ] est indigène, tandis que l'évolution [sy] > [zy] > [dʒ] est d'origine septentrionale. L'absence d'un phonème [ʒ] dans le système italien est sans doute due au fait qu'il n'existait pas en latin de corrélation de sonorité [s]-[z]; le phonème [z] est une innovation tardive»²².

Dans les emprunts au français ou au provençal, le [ʒ] français est traité en Toscane et dans le nord de l'Italie comme s'il s'agissait d'un yod latin, c'est-à-dire qu'il se renforce en l'affriquée [dʒ] à l'initiale (*justitia* > *giustizia*) et en affriquée géminée s'il est intervocalique (*majore* > *maggiore*)²³. Gerhard Rohlfs illustre ce fait avec des exemples du toscan: *giardino*, *gioia*, *giallo*; de l'ancien italien septentrional: *çoia*, *çardino*; et du milanais: *giardin*, *giald*²⁴. Ainsi, le système emprunteur – en l'occurrence l'italien – respectant sa propre systématique, nous assistons lors de l'emprunt à un rétablissement phonologique d'une situation française antérieure.

Force est de constater que les deux langues sœurs ont des systèmes phonologiques différents auxquels elles sont très attachées, et qu'elles maintiennent ces différences malgré leur proximité et leurs échanges de mots. Pourquoi les affriquées ont-elles disparu en français et se sont-elles maintenues en italien? Que représente cette différence de traitement phonologique? Sa conservation malgré les emprunts correspond-elle à une exigence du système de la langue?

Plusieurs attitudes sont possibles quand nous cherchons à expliquer des événements. Albert Jacquard en distingue trois: «Nous pouvons admettre qu'ils sont la conséquence *nécessaire* de l'état du monde à l'instant où ils se produisent, état

²⁰ *Op. cit.*, p. 54.

²¹ Gérard Genot, *Manuel de linguistique de l'italien, approche diachronique*, Paris, Ellipses, 1998, p. 47.

²² *Op. cit.*, p. 51.

²³ *Op. cit.*, p. 48.

²⁴ Gerhard Rohlfs, *Grammatica storica della lingua italiana e dei suoi dialetti (fonetica)*, Torino, Einaudi, 1996, 158 p. 215. Nous nous intéressons ici au toscan qui a enfanté l'italien standard contemporain ; mais Gerhard Rohlfs signale que dans le sud de l'Italie nous avons « lo stadio fonetico meridionale », ainsi en sicilien et en calabrais: *jardinu*, en salentin: *sálinu* "jaune". Le napolitain présente une singularité avec: *ciardino*..

qui résulte de son histoire antérieure; le présent est alors le produit du passé»²⁵. C'est l'approche que nous avons adoptée jusqu'à présent avec une étude étymologique et de phonologie historique. «Nous pouvons aussi renoncer à chercher un rapport entre ces événements et les conditions de leur survenue; le présent n'est alors que le produit sans cause de lui-même, l'œuvre du *hasard*»²⁶. C'est la réponse de l'arbitraire du signe de Ferdinand de Saussure et de son corollaire, sa conception des rapports entre synchronie et diachronie qui maintient l'étude de la diachronie dans une situation positiviste et tend à faire de la synchronie une entité mythique révélant une structure de langue sans causalité et présentant une tendance naturelle à l'immuable. «Nous pouvons enfin admettre qu'ils ont lieu pour rendre possible un événement futur, qu'ils sont au service d'une *fin*; le présent est alors le produit de l'avenir»²⁷. Dans une perspective psycho-systématique, nous allons démontrer que les différences phonologiques observées sont intrinsèquement liées à l'évolution de la construction du mot dans les langues romanes, évolution que l'on peut décrire comme un lent mouvement, du latin aux langues romanes, d'antéposition de la morphologie. Le mot latin possédait une importante désinence morphologique, elle s'est réduite et une partie de l'information qu'elle contenait a été transportée dans les articles et les prépositions. Ainsi, le mot italien est précédé d'adaptateurs morphologiques mais possède encore une petite désinence morphologique finale. Le mot français est plus abouti sur ce mouvement évolutif et ne possède plus de désinence: lat. *rosam* / *rosas*; it. *la rosa* / *le rose*; fr. *la rose* / *les roses* (prononcé dans les deux cas [Roz]).

Nous avons remarqué précédemment qu'en français, la simplification des affriquées par abandon de la partie initiale occlusive du phonème coïncidait avec celui des diphtongues issues de la diphtongaison du latin parlé tardif. «Le français moderne, dont l'articulation est très tendue, ne connaît pas de diphtongues. Il n'en était pas de même dans l'ancien français qui a connu des diphtongues et même des triphongues dont témoigne l'orthographe: ainsi *mou*, en français moderne [mu], était prononcé [mou] en ancien français, c'est-à-dire comme une diphtongue fermante postérieure; de même *beau* [bo] se prononçait [beau] soit comme une triphongue ouvrante-fermante postérieure»²⁸.

Dans les langues romanes, la fluctuation des diphtongues, comme celle des géménées, est liée à l'évolution de la construction du mot. Les diphtongues et les géménées représentent matériellement une séparation. Ce qui implique un rapport de cause à effet entre leur nature et leur fonction. Elles servent à séparer les différents constituants du mot. Ainsi, la diphtongue souligne dans *uomo*, *uomini* la séparation entre le radical et la désinence morphologique, dans *lievitare* la séparation entre le radical et le suffixe sémantique *-it-*. L'italien possède un mot

²⁵ Albert Jacquard, *La science à l'usage des non-scientifiques*, Paris, Calmann-lévy/Le livre de Poche, 2001, p. 133.

²⁶ *Ibidem*

²⁷ *Ibidem*.

²⁸ J. M. C. Thomas, L. Bouquiaux, F. Cloarec-Heiss, *Initiation à la phonétique*, Paris, P.U.F., 1976, pp. 82-83.

hétérogène contenant à la fois une partie sémantique (préfixe + radical + suffixe diminutif, augmentatif, etc.) et une désinence morphologique (désinence adjectivale, verbale, etc. + marque du genre, du nombre ou de la personne). Le locuteur italien construit ses mots, il peut en inventer de nouveaux pour peu qu'il respecte les règles de construction (ex: *un sapientone* 'un faux savant', *una donnina* 'un petit bout de femme'). Le français possède un mot homogène qui ne contient plus que de l'information sémantique, la morphologie est entièrement antéposée et le mot est généralement invariable (ex: *la maison, les maisons* [mezō]; mais *la casa, le case* [kaza] ~ [kaze]). Le locuteur français appréhende les mots comme des blocs dont il ne cherche plus à analyser la construction et qu'il ne construit généralement plus²⁹. Seuls les enfants et les poètes osent le sacrilège de l'invention de mots nouveaux. Les diphtongues et les géminées ont donc perdu leur fonction et leur raison d'être dans ce système, d'où leur disparition³⁰. L'italien a développé l'emploi de deux outils séparateurs: la géminée (ex: [atta]) et la diphtongue (ex: [tya]). Sachant que la succession régulière de syllabes simples correspond à une suite d'ouvertures et de fermetures (tata = <><>), on conçoit que la géminée ([tatta] = <><><>), et la diphtongue ([tyata] = <<<><>) sont les déstabilisateurs de la régularité syllabique CVCV. Contrairement au français, l'italien tend à préserver une régularité syllabique CVCV dans la construction de ses mots, la dernière voyelle étant généralement morphologique. Par ailleurs, l'italien se caractérise par le maintien d'une isochronie syllabique: il présente une durée stable de voyelle à voyelle. Cette régularité de l'intervalle V-V est corrélée à la régularité syllabique et à la prosodie³¹. L'italien évite l'utilisation de la diphtongue décroissante à l'intérieur du mot car un groupe comme [ai] doublerait l'outil déjà existant qu'est la géminée ([taita] et [tatta]) = <><><>. L'italien a

²⁹ Cependant, la langue parlée et les langues de spécialité restent le creuset des néologismes. Ainsi, à partir d'emprunts le français crée des verbes (*un scanner* abrégé en *scan* > *je scanne*); à partir de sigles, le français a *Rmiste*, l'italien *pidiessino* (< Pds). La créativité est particulièrement active dans le domaine politique (ex.: *chiraquien, sarkosiste*). En français, le dernier bastion de la construction de mots nouveaux par la suffixation est représenté par un paradigme réduit de radicaux spécifiques (noms propres, sigles, emprunts). Une autre sphère où la suffixation est encore active est celle de l'intimité affective (*mon poussinet*) qui partage avec la langue de spécialité un caractère de confidentialité.

³⁰ En français, la seule survivance d'une géminée se vérifie dans le système verbal et distingue l'indicatif présent du conditionnel des verbes *courir* et *mourir*: *il courait* ~ *il courrait* [ilkuRe] ~ [ilkuRRε], *il mourait* ~ *il mourrait* [ilmuRe] ~ [ilmuRRε].

³¹ Franck Ramus, «La discrimination des langues par la prosodie: modélisation linguistique et études comportementales» in François Pellegrino (ed.), *De la caractérisation à l'identification des langues*, Actes de la 1ère journée d'étude sur l'identification automatique des langues, Lyon, 19/01/1999, Lyon, Editions de l'Institut des Sciences de l'Homme, pp. 186-201.; Caroline L. Smith, «Prosodic patterns in the coordination of vowel and consonant gestures» in Bruce Connel & Amalia Arvaniti (eds), *Phonology and phonetic evidence. Papers in Laboratory Phonology IV*, Cambridge, CUP, 1995, pp. 205-222; P. Marco Bertinetto, *Stutture prosodiche dell'italiano. Accento, quantità, sillaba, giuntura, fondamenti metrici*, Firenze, Accademia della Crusca, 1981, 317 p.

progressivement éliminé toutes les diphtongues décroissantes à l'intérieur du mot³², et, dans le temps, il les a utilisées à la fin du mot:

Les diphtongues décroissantes ne sont pas, en italien, des diphtongues spontanées [...]. Aussi les diphtongues décroissantes sont-elles ressenties comme composées de deux éléments vocaliques n'appartenant pas à la même catégorie: alors qu'elles ne sont pas à leur place à l'intérieur du mot, elles sont au contraire recherchées quand il s'agit de signaler qu'un élément morphologique est venu s'ajouter au radical. On remarque en effet que, dans plusieurs cas, ce radical s'oppose, sous sa forme nue, à la forme en *-i*: *tuo/tuoi*, *suo/suoi*, *ma/mai*, *ama/amai*, etc.³³

L'italien emploie les irrégularités de la structure syllabique pour séparer les constituants de ses mots, joue avec les nuances entre géminées, diphtongues croissantes et décroissantes, et pour ce faire protège la régularité de la structure syllabique. Les moindres bouleversements sont considérés comme porteurs d'information. Le locuteur italien a donc nécessairement une conscience fine du poids de chaque élément, consonantique et vocalique, qui intervient dans ces constructions, il a l'habitude – contrairement au locuteur français – de manipuler la durée de chaque son. Les géminées et les diphtongues représentent des bouleversements des quantités consonantique et vocalique, elles fabriquent de la durée car elles provoquent une rupture du rythme syllabique en prolongeant une des étapes de la construction de la syllabe. En d'autres mots, elles redistribuent la durée selon une répartition exceptionnelle. Il est intéressant de rappeler que les nombreuses diphtongues décroissantes de l'indo-européen se sont simplifiées en latin à l'époque républicaine pour donner des voyelles longues ([ei] > [ī] ou [ē]; [ou] > [ū] ou [ō])³⁴. D'autre part, dans la langue qui s'est fixée à Rome au III^e s. av. J.C., le rythme quantitatif et l'accent mélodique sont liés, «l'accentus ne peut frapper la finale; il frappe la syllabe pénultième si celle-ci est longue, l'antépénultième si elle [la pénultième] est brève: [legēmus], mais [legīmus]»³⁵. Ils sont devenus deux aspects du même phénomène rythmique et occupent la place du futur accent d'intensité des langues romanes³⁶, ce même accent d'intensité dont nous avons vu précédemment qu'il était un des facteurs à l'origine de la création des affriquées. La durée n'est pas uniquement une modalité de l'intensité, mais un paramètre qui réapparaît avec l'emploi de tous les outils de démarcation: la géminée et la diphtongue séparant les constituants du mot, l'accent marquant la fin de l'apport sémantique, et même, de façon subjective, le ton

³² «À l'intérieur du mot, l'italien élimine les diphtongues descendantes, soit en les déplaçant (ex: *magidam* > **maidà* > *madià*), soit en les supprimant (ex: *vocitum* > **voito* > *voto* > *vuoto* ou *fragilem* > **fraile* > *frale*) ». (Alvaro Rocchetti, *Une interférence du sens et de la forme: le cas du -s latin passant à -i en italien et en roumain in Chroniques italiennes*, n°11/12, 1987, p. 224).

³³ *Ibidem*.

³⁴ André Meillet, *Esquisse d'une histoire de la langue latine*, Paris, Klincksieck, 1966, p. 98.

³⁵ *Op. cit.*, p. 129.

³⁶ Sophie Dubail-Saffi, *La place et la fonction de l'accent en italien*, Thèse de Doctorat, Université de la Sorbonne Nouvelle – Paris III, 1991, § IV, pp. 155-193.

descendant³⁷ marquant la fin de phrase. Elle corrobore le marquage d'un contraste, qu'il soit consonantique, vocalique, accentuel ou tonal, car dans un système dynamique comme celui du langage parlé, le contraste par excellence est l'arrêt du mouvement. Lors d'une pause, par exemple. C'est ce que réalise aussi l'accroissement de durée avec la mise en suspens du mouvement d'alternance des phonèmes lors du prolongement sonore qu'elle représente. Par exemple, avec une gémignée, la voyelle précédente et la voyelle suivante sont abrégées, ce qui provoque l'apparition prématurée de la consonne gémignée et la réalisation retardée de la voyelle suivante par rapport au modèle standard de l'alternance consonne-voyelle.

La présence des affriquées dans le système phonologique de l'italien serait-elle liée à cette capacité à jauger et à manipuler la durée et la quantité consonantique et vocalique, elles-mêmes associées à une information spécifique? Si l'on poursuit le parallèle avec les diphtongues, les affriquées auraient été éliminées du système phonologique français parce qu'elles avaient une fonction démarcative proche de celle des diphtongues et des gémignées, qui, devenant caduque, aurait provoqué leur disparition. Ou bien leur présence est-elle conditionnée par des capacités distinctives que les locuteurs francophones auraient perdues à force de ne pas les employer? Le mot français devenu homogène, la régularité syllabique a perdu de son intérêt: sa perception pourrait-elle être devenue moins fine ou même être passé du côté du subconscient?

Pour des raisons didactiques, afin de comprendre leur hétérogénéité et leur particularité, nous nous permettrons ici de scinder les affriquées, de transgresser leur loi d'indivisibilité. Nous n'en sommes pas moins convaincue qu'une affriquée n'est ni une somme, ni une simple transition, mais une fusion à la fois intime, imparfaite et instable³⁸. Luigi Belgeri, dans son étude sur les affriquées, établit une différence entre l'affriquée chuintante, [tʃ] ou [dʒ], qu'il considère comme un phonème simple résultant d'une seule articulation, et l'affriquée sifflante, [ts] ou [dz], qui, sans être une juxtaposition de deux éléments, n'en est pas moins un phonème complexe³⁹. L'étude expérimentale révèle dans la prononciation de l'affriquée sifflante un glissement du point d'articulation qui n'apparaît pas dans la prononciation de l'affriquée chuintante. «[...] Ce "glissement" de la partie articulante de la langue, qui est au fond un véritable (bien que fort léger) déplacement du point d'articulation, contribue à ôter à cette affriquée [sifflante] ce caractère de phonème parfaitement unique que l'affriquée chuintante a su mieux garder»⁴⁰. Bien que nous ne remettons pas en cause l'unité de

³⁷ Bertil Malmberg (*La phonétique française*, Malmö, Hermods, 1972, 2^{ème} ed., p. 87) cite les recherches de Marguerite Durand sur diverses langues, qui montrent que la durée subjective longue est souvent accompagnée d'une mélodie descendante.

³⁸ Luigi Belgeri, *Les affriquées en italien et dans les autres principales langues européennes. Étude de phonétique expérimentale*, Grenoble, chez l'auteur, 1929, p. 63.

³⁹ *Op. cit.*, p.44, puis pp. 58-59.

⁴⁰ *Ibidem*.

structure des affriquées, nous pensons que le locuteur italien perçoit leur mixité et, de ce fait, les distingue des consonnes simples.

Voyons ce que représentent mentalement ces différences sémiologiques et quel est le pré-sémantisme lié à ces distinctions phonologiques.

Le son [s] représente une idée de dépassement. L'ancien français l'utilisait dans sa morphologie pour la marque du pluriel, cette seconde étape sur le temps opératif de la conception du nombre, que l'on atteint quand on a dépassé la première étape du singulier. L'italien l'utilise dans ses sémantèmes: *suo*, *sino*, *persino*, *passare*, *sorpassare*, etc. «s signale un mouvement continu de désignation qui inclut l'idée de dépassement»⁴¹. Le trait de sonorité en plus que possède le son [z] ([s] + sonorité > [z]), ajoute un mouvement de rétroversion à cette notion. Ainsi, le son [z] correspond à l'idée de dépassement envisagée de manière rétroversive. De ce fait, en français contemporain, bien que le [s] final ait disparu quand la morphologie du nom a été antéposée dans le déterminant, si le nom commence par une voyelle, une liaison fait réapparaître un [z] initial (ex: *les amis* [lezami]). La rétroversion permet de relier morphème et sémantème: tout se passe comme si le [s] final avait acquis un caractère rétroversif au moment de son antéposition. Le son [z] n'existe pas seul à l'initiale dans le système des sons de l'italien, car cette idée n'est jamais utilisée à l'état brut au début d'un mot. À l'initiale, elle apparaît en situation pour s'associer et transformer un mouvement (une idée de base). «Ce caractère mi-constrictif [...] se manifeste bien au cours de l'articulation du phonème [dz]. Ce n'est donc pas quelque chose qui s'"ajoute" au caractère fondamental mi-occlusif, c'est quelque chose qui s'y "superpose". Ce n'est pas quelque chose qui se développe à ses côtés et en quelque sorte en dehors de lui, mais quelque chose de plus intime qui naît et se manifeste dans son sein même»⁴². En effet, l'idée de dépassement est en contradiction avec le mouvement rétroversif: dépasser en arrière est incongru. Par contre, la fonte de [z] et [d], pour former [dz], est le seul cas où il est possible de dépasser à reculons car le dépassement est alors assimilé au franchissement.

La palatalisation et la labialisation rajoutent l'idée d'un obstacle. Soulignons la nuance qui distingue la limite et l'obstacle: la limite définit un territoire, pas l'obstacle. L'évocation d'une limite sous-tend celle d'un arrêt; au contraire, l'évocation d'un obstacle perpétue l'idée de mouvement; le mouvement est freiné mais il demeure.

Lors de la prononciation de [s], le dos de la langue est abaissé, on a une petite ouverture buccale et les lèvres sont en position neutre. De ce fait, un filet d'air comprimé s'échappe juste avant les dents, (positon alvéolaire). Quand ce flux d'air compacté passe les dents, on obtient la sensation du dépassement d'une limite.

⁴¹ Alvaro Rocchetti, *Sens et forme en linguistique italienne: études psycho-systématiques dans la perspective romane*, thèse de doctorat d'État, Paris III Sorbonne Nouvelle, 1982, p. 519.

⁴² *Ibidem*, p. 51.

Mais lors de la prononciation de [ʃ], le dos de la langue est relevé, et cette consonne est labialisée. Ainsi, la limite se transforme en obstacle. Obstacle concrétisé par la langue qu'un flux d'air dépasse pour aller s'éparpiller dans la cavité formée par les lèvres.

Avec [s], le locuteur sent l'air quand il dépasse les dents, quand il fuit (d'où l'idée de dépassement). Mais avec [ʃ], le locuteur sent l'air qui est comprimé pour passer le canal formé par sa langue et son palais, puis il sent l'air se décompresser au niveau des lèvres. C'est la complétude, l'ensemble des sensations ressenties tout au long de ce parcours, qui amène l'idée de franchissement d'un obstacle. Lors de la prononciation du mot *sciame*, «[...] la partie prédorsale de la langue se lève vers la région prépalatale pour y former une constriction, tandis que la partie médiodorsale de la langue s'élève vers le sommet de la voûte palatine»⁴³. La forte palatalisation de cette consonne associée à une forte articulation, procure l'impression sensorielle d'un effort dû au passage d'un obstacle.

[s] + palatalisation + labialisation > [ʃ],

[ʃ]: idée de dépassement d'un obstacle.

[z] + palatalisation + labialisation > [ʒ],

[ʒ]: idée de dépassement d'un obstacle, envisagée de manière rétroversive.

Le son [ʒ] n'existe pas seul en italien car, à l'état brut, l'idée de l'obstacle suppose que l'on ait quelque chose qui bloque devant soi. On ne peut pas avoir un obstacle dans le dos car l'objet perd, de par sa position, sa qualité d'obstacle: l'obstacle franchi n'en est plus un. Mais dans le cas de la fusion avec [d] pour former [dʒ], on est dans une situation de retournement, la seule où l'on puisse avoir l'obstacle dans le dos. En effet, le son [d] représente un mouvement d'éloignement à partir d'une limite franchie de manière rétrospective. L'italien et le français l'utilisent dans leurs prépositions: it. *di*, *da* ou fr. *de* que Gustave Guillaume définit ainsi:

La préposition *de* [...] est linéaire. Le mouvement de pensée auquel elle correspond est assez complexe. Une direction prospective (d'origine vers le but) étant donné, la pensée prend appui sur un instant de cette direction, et la remonte dans le sens rétrospectif jusqu'au point d'origine. Ex: *il vient de Paris*, c'est-à-dire analytiquement: il va vers un but, et cette direction (prospective) prend son origine (direction mentalement rétrospective) au point *Paris*⁴⁴.

La limite dépassée suppose un premier temps où elle était devant nous et pendant lequel elle pouvait être identifiée comme un obstacle.

L'accumulation de traits phonologiques permet l'accumulation d'idées premières pour la création d'une idée plus sophistiquée associée à un son que le locuteur construit en utilisant la hiérarchisation dynamique des traits distinctifs,

⁴³ Pierre Antonetti, Mario Rossi, *Précis de phonétique italienne, synchronie et diachronie*, Aix-en-Provence, La pensée Universitaire, 1970, pp. 147-149.

⁴⁴ Gustave Guillaume, *Le problème de l'article et sa solution dans la langue française*, Paris/Québec, Nizet/P.U. Laval, 1975, p. 261.

hiérarchie motivée par les liens sensoriels qui établissent le contact entre son langage et sa pensée, autre lieu de construction dynamique. Partant de ce parallèle constructif entre la pensée et les sons, et du fait que, généralement, les sons s'associent pour former des monèmes permettant l'association de plusieurs idées premières pour la création d'une notion résultante plus fine, il nous semble tout à fait plausible que deux sons premiers fusionnent et permettent la fusion de deux idées premières pour déboucher sur une idée seconde plus spécialisée. Mais à ce stade de la construction, nous avons remarqué deux directions différentes, deux choix possibles de construction: d'une part, la fusion totale de deux idées, et d'autre part, la fusion partielle laissant encore apparaître son processus de construction, restant donc à mi-parcours entre la fusion totale et la juxtaposition, en d'autres termes, la transformation d'une première idée par l'évocation d'une seconde idée, avant que la première idée n'arrive à maturation.

L'affriquée [ts] est un exemple de fusion partielle:

[t] (terme sur lequel on vient buter) + [s] = idée de dépassement.

L'apparition de la deuxième idée n'affecte pas la première dans son intégrité, elle transforme seulement le contexte par sa présence, ce qui correspond au déroulement normal de la construction sémantique. De même avec [dz]: [d] (mouvement d'éloignement à partir d'une limite) + [z] = idée de dépassement envisagé de manière rétroversive. La seconde idée ne change pas la première, au contraire, elle la confirme.

Par contre, [tʃ] illustre une fusion totale:

[t] (terme sur lequel on vient buter) + [ʃ] = idée de dépassement d'un obstacle. La seconde idée nous amène à remplacer la limite évoquée dans la première idée, par un obstacle. Pour réussir cette fusion, les deux idées sont obligées d'entrer en symbiose, et c'est bien ce qui se reflète au niveau phonique (et phonétique): cette affriquée est perçue comme un phonème simple. De même avec [dʒ]: [d] (mouvement d'éloignement à partir d'une limite franchie de manière rétroversive) + [ʒ] = idée de dépassement d'un obstacle envisagé de manière rétroversive. La limite évoquée dans la première idée se spécialise et devient un obstacle avec la seconde idée.

Nous avons donc deux fusions de sons et de sens bien différentes: la fusion totale et la fusion partielle, représentées par deux types d'affriquées, les simples (chuintantes) et les complexes (sifflantes). Les couples [ts] et [dz], représentants phoniques d'une fusion partielle d'idées, ont une durée proche de celle des géménées; alors que les couples [tʃ] et [dʒ], représentants phoniques d'une fusion totale d'idées ont une durée quasiment équivalente à celle d'une consonne simple⁴⁵. Nous ne pouvons nous empêcher d'applaudir la finesse d'un tel moyen de marquage. En effet, nous n'avons pas dit «durée égale à...» mais «durée proche de

⁴⁵ Durée moyenne de [tʃ] = 25/100 s., durée de [ts] = 34/100 s., durée totale de [st] ([s] + [t]) = 46/100 s. (L. Belgeri, *op. cit.*, pp. 52-58)

...». Ainsi, la fusion partielle de deux idées conservant chacune son intégrité est à rapprocher de la répétition d'une idée, ou de l'association de deux idées, mais sans faire un amalgame éhonté. De même, la fusion totale de deux idées pour la création d'une idée nouvelle est à rapprocher de l'évocation d'une idée simple, mais sans l'assimiler à cette dernière au risque de faire perdre à l'idée ainsi générée son caractère hétérogène. Ainsi s'affirme l'importance de la quantité consonantique et vocalique dans la construction du sens en italien.

Le *jardin* est un lieu clôturé, qu'il soit d'agrément ou potager; son étymologie en fait un descendant de l'enclos indo-européen:

Indo-européen **ghorto* > germanique **gard* > français *jardin* > italien *giardino* et parallèlement:

Indo-européen **ghorto* > latin *hortus* > italien *orto*

Henriette Walter fait remarquer que les Germains «avaient à cœur de marquer leur territoire, comme on peut le constater par l'abondance du vocabulaire désignant des limites, même si aujourd'hui tous ces mots n'ont pas gardé leur signification première»⁴⁶. On retrouve en effet une idée de limite dans la *haie*, la *lice*, la *liste*, le *hallier*, le *jardin*, la *marche* et le *marquis*, tous d'origine germanique⁴⁷. Quand l'italien emprunte le *jardin* et lui rend son affriquée initiale, il respecte phonologiquement cette "signification première". Nous avons vu que le système de langue italien exploite avec les affriquées un nuancier sur le franchissement de la limite ou de l'obstacle. Et ce, grâce à la capacité du locuteur italien à jauger la quantité consonantique.

Si l'affriquée est un outil de marquage comme la diphtongue et la géminée, nous n'en avons pas encore cerné la fonction, ni ce qui la distingue des deux autres. De plus, l'affriquée est un phonème qui peut être géminé (*tazza* [taddza] ou, selon les régions, [tattsa] "tasse"; *maggio* [maddʒo] "mai"; *gentilezza* [djentilettsa] "gentillesse"; *coccio* [kɔttʃo] "tesson"), même si le phénomène de gemination ne concerne que la partie occlusive car «dans la réalisation d'une affriquée, il n'est pas possible de prolonger le temps de relâchement de l'articulation où se produit la friction»⁴⁸. On notera qu'en italien, la présence d'une affriquée exclut celle d'une diphtongue⁴⁹. Sachant que l'affriquée peut se géminer et qu'elle a une durée légèrement supérieure à une consonne simple, cet état de fait nous apparaît la

⁴⁶ Henriette Walter, *op. cit.*, p. 89.

⁴⁷ On retrouve bien l'idée de limite dans la *haie* faite de branchages ou d'arbustes pour servir de clôture à un champ, mais cette idée est moins évidente dans *lice*, *liste*, *hallier* ou *jardin*. Or, si aujourd'hui on n'emploie plus le mot *lice* que dans l'expression *entrer en lice* (pour une compétition sportive, par exemple), le mot désignait bien au Moyen Âge la palissade qui délimitait le terrain où se déroulaient les tournois, et la *liste* était encore une bordure, une frange en ancien français; le *hallier* était à l'origine un lieu entouré de noisetiers (cf. l'anglais *hazel* "noisetier") et le *jardin*, tout simplement en enclos.» (*Ibidem*, pp. 89-90).

⁴⁸ J. M. C. Thomas, L. Bouquiaux, F. Cloarec-Heiss, *op. cit.*, p. 71.

⁴⁹ En Italien, les seuls cas d'association affriquée + diphtongue sont: la forme littéraire et peu usitée *giuoco* en face de la forme plus courante *gioco*; et le terme très spécialisé *zwinglismo* construit à partir du nom propre H. Zwingli.

conséquence directe de l'exclusion mutuelle géminée/diphthongue observable dans tout système de langue romane⁵⁰.

Dans l'état de nos recherches, la seconde hypothèse a nos faveurs, à savoir que l'affriquée a une fonction phonématique mais pas mécanique. Elle n'est pas un outil démarcateur au même titre que la diphthongue et la géminée pour le système italien. Le lien historique de l'affriquée avec les diphthongues et les géminées découle, à notre avis, des compétences développées par les locuteurs dont le système de langue contient des géminées et des diphthongues: compétences concernant la gestion de la régularité syllabique et de la quantité consonantique et vocalique. La capacité à jauger la durée des consonnes est utile à l'exploitation du phénomène de gémination, elle est tout aussi indispensable à la production d'affriquées.

Nous espérons avoir montré que la phonétique est asservie par le système de la langue, bien que l'inverse soit souvent soutenu. La durée est un trait que le locuteur et l'auditeur perçoivent et auquel doit être associé un rôle sémantique ou morphologique mettant en rapport le sens et la forme. La durée n'est que la conséquence phonétique de cette fonction, elle ne doit être prise en compte qu'en tant que moyen de transport de l'information, mais en aucun cas comme la cause directe d'un phénomène évolutif, sous peine de retomber dans le piège consistant à décrire et expliquer l'organisation sous-jacente du système en fonction de la phonétique qu'il crée pour "s'exprimer". Comme Gustave Guillaume dont nous appliquons la méthodologie, nous cherchons la cohérence cachée sous le chaos de surface qu'est le discours, résultat d'une suite de combinaisons et de choix, nous tentons d'en retrouver la succession de causalités qui mènent de la langue au discours.

Pour acquérir une idée juste de ce qu'est un système construit, il faut savoir, dans l'analyse, substituer à la construction génétique opérée dans le temps la construction cinétique opérée dans l'instant, quand il est demandé au système d'organiser *en lui* ce que la langue a antécédemment, et donc historiquement, produit *pour lui*, afin qu'il en puisse intérieurement disposer selon sa propre visée constructive.⁵¹

Gustave Guillaume souligne qu'il est nécessaire de distinguer la production historique de discriminants et la tension organisatrice de ces outils, qui sont consécutives et différentes: la première alimente la seconde mais elles ne sont pas de même essence et ne procèdent pas de la même visée.

Les faits de genèse historique visent à apporter au système de quoi se construire. Les faits de cinèse terminaux, à établir un juste rapport au sein de l'ouvrage construit entre les éléments constitutifs que la genèse historique lui a apportés, afin qu'il en dispose intérieurement sans autre obligation que de les faire servir à sa meilleure et plus cohérente définition.⁵²

⁵⁰ Sophie Dubail-Saffi, *op. cit.*, pp. 234-240.

⁵¹ Gustave Guillaume, *Langage et science du langage*, Paris/Québec, Nizet/PU Laval, 1984, pp.158-159.

⁵² *Ibidem*.

Notre présentation du processus étudié comme tendant vers un certain objectif peut donner l'impression que nous suivons une démarche finaliste. La disparition en français des affriquées, des diphtongues, des géminées d'une part, l'apparition de l'accent d'intensité dans les langues romanes d'autre part: tout se passe comme si, parmi les multiples possibilités de changements qui s'offrent aux systèmes de langue, ces structures choisissaient une trajectoire prédéterminée, correspondant en l'occurrence à l'antéposition progressive de la morphologie. Une évolution observée du latin au français aboutissant à une inversion des éléments constitutifs du mot: lat. sémantème + morphème > fr. morphème + sémantème. L'introduction d'un choix dans le raisonnement peut laisser penser qu'il y a un objectif et que l'explication a recours à la finalité. C'est oublier le recul nécessairement pris pour l'exposé. On constate que tout se passe "comme si" le système avait un objectif, mais cette apparence n'est que le résultat de la multiplicité des causes en action. Nous ne confondons pas convergence et finalité. Ici, le mouvement évolutif observé est bien le résultat de l'addition de plusieurs phénomènes, de plusieurs options. C'est leur interaction qui est déterminante. Nous ne pensons pas que le système ou le locuteur qui le manipule aient conscience d'un objectif à atteindre. Et c'est le linguiste qui, grâce au recul historique, a connaissance de l'état futur et peut décrire une chaîne de causalités. Enfin, il faut ajouter par honnêteté que le "comme si" n'est pas uniquement une parabole didactique mais aussi «une incitation à poursuivre la recherche»⁵³.

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⁵³ Albert Jacquard, *op. cit.*, p. 139.

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VERSO IL CRISTO COSMICO

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ABSTRACT. *Towards the cosmic Christ* Mircea Eliade was a phenomenologist and historian of religions, a writer and a teacher, but first of all he was a man in search of the truth. His penetrating analyses, his illuminating essays, his creative hermeneutics, were part of a spiritual journey towards a Centre. He taught us to study history of religions as the most powerful among the modern means of asceticism, because he considered it as the only activity that can integrate in itself the whole range of approaches to the religious phenomenon, being at the same time prayer, spiritual experience, study, meditation, and gift of love to our neighbour. As symbols keep reshaping themselves over and over again, Eliade showed us that an appropriate interpretation of their deepest meaning gives evidence of the continuity of the experiences of the sacred, up to the last and most perfect of the hierophanies, Jesus Christ. Eliade states that, thanks to the science known as 'history of religions', we can now contemplate the adventure of human soul since its very beginning, reach a better understanding of realities we have to face, and formulate solutions at a planetary level. The whole of his work outlines a new dimension of Man himself, a most fascinating and taking experience of Faith, a Jesus Christ still in the making and capable of assembling in Himself all of the existing beauties and hidden treasures of all cultures, past and present. The *Weltanschauung* he elaborated is a far sighted concept that will take centuries to be correctly understood, and he can be considered the witness of the risen and more than ever alive Christ that the third millennium A.D. needed.

Key words: history of religions, asceticism, cosmic Christ

Gli studi di religioni comparate hanno completamente rivoluzionato un settore vissuto in precedenza nell'universo dei modelli da imitare, di tradizioni da rispettare, di verità da custodire in scrigni chiusi. I credo delle singole confessioni religiose si sono sgretolati sotto i colpi di una scienza che ne ha dimostrato la non storicità, svuotandoli di significato. La scoperta della non veridicità di molti degli avvenimenti e dei personaggi delle tradizioni sacre dei diversi popoli resa possibile dalle incontestabili analisi di questa disciplina che vanta ormai un secolo e mezzo di vita, non sono ancora state recepite dalle singole fedi, che anzi in molti casi vi si oppongono, ignorandole o rifiutandole volutamente. Per questo motivo questo tipo di studi, che dovrebbe proliferare, per interesse naturale, tra coloro che gestiscono la religione, è invece fiorito nel campo del pensiero e della ricerca liberi, cioè tra i laici. Non ci si deve perciò stupire se il terzo millennio dopo Cristo si è aperto sotto il magistero spirituale di un laico i cui saggi, che Georges Dumézil chiamava 'meditazioni', sono a nostro parere destinati a sempre maggiori e durature conquiste nei secoli a venire: Mircea Eliade. Alcune conclusioni a cui si arriva analizzando i documenti che sono oggetto di studio dello specialista di storia delle religioni sono come detto ormai un dato inoppugnabile, e vengono condivise anche dallo studioso rumeno, che accetta il fatto che «la religione

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è sempre una creazione culturale dell'uomo» (1), parla di «inattività dei concetti, dei simboli e dei rituali delle Chiese cristiane» (2), e afferma che «le forme religiose di Cristianesimo, Giudaismo e Islam sono fossilizzate, in disuso, svuotate di senso» (3). Nei suoi scritti Eliade svolge le sue analisi esprimendosi in termini («il cattolico crede che, il taoista pensa che, ecc») che confinano le singole fedi tradizionali in zone ormai superate del pensiero umano, non più valide, da archiviare, ma soprattutto capovolgendo le prospettive di molti suoi colleghi: «In certe culture arcaiche o tradizionali il villaggio, il tempio o la casa sono considerati come situati nel centro del mondo. Non ha senso cercare di demistificare una simile credenza tentando di attirare l'attenzione del lettore sul fatto che non esiste un centro del mondo. Al contrario, solo prendendo in seria considerazione questa credenza e cercando di chiarire tutte le sue implicazioni cosmologiche, rituali e sociali, si può giungere alla comprensione della condizione esistenziale di un uomo che crede di essere al centro del mondo» (4); «Tutti gli uomini arcaici sono convinti che il loro villaggio sia il centro del mondo. Considerare illusione una tale credenza non porta da nessuna parte, e al tempo stesso si distrugge il fenomeno non sapendolo osservare sul piano che gli è proprio. L'importante è invece chiedersi perchè quegli uomini sono convinti di vivere al centro del mondo» (5). Le diverse concezioni che l'uomo ha avuto del suo essere nel mondo, quando non ci si vuole limitare a descriverle solo tecnicamente, ma capirle dal punto di vista esistenziale, dice Eliade, ci coinvolgono in tutto il nostro essere e ci dischiudono nuove dimensioni spirituali. Solo rivivendo in noi stessi le diverse esperienze vissute dagli esseri umani, e confrontandole tra loro, è possibile decifrare il senso del fenomeno umano. Non dobbiamo credere che la religione discenda e che ci venga servita dall'Alto, né che si tratti di un unguento inventato per lenire le nostre piaghe, ma dobbiamo scavare in profondità nell'Uomo. Se noi ci poniamo in questa prospettiva, l'insieme dello sterminato materiale esistente che ci aveva condotto a sentenziare la fine delle antiche forme di religione, ci mostra una via nuova, più ricca e attraente della precedente, commovente per la forza interiore che ha saputo comunicare ai singoli per superare enormi difficoltà, più seducente per le moderne dimensioni planetarie dell'esistenza, abbagliante per la coerenza che mostra nel suo divenire pur nella libertà di espressione di una enormità di componenti. E alla fine di questo viaggio interiore, davanti a noi si staglia maestoso l'edificio completo: «La storia delle religioni è una storia davvero universale dello spirito. Ritengo che lo storico delle religioni veda meglio di chiunque altro la continuità delle diverse tappe dello spirito umano» (6). Dunque non Dio che muore, ma Dio che cambia. E lo studio orante della storia delle religioni come principale mezzo ascetico per raggiungere l'unione con il Signore. Ecco il principale messaggio che il maggior fenomenologo della disciplina nota come storia delle religioni ci trasmette: «Dallo sforzo ermeneutico di decifrare il significato dei miti, dei simboli e di altre strutture religiose tradizionali, deriva un notevole arricchimento della coscienza; in un certo senso, si potrebbe addirittura parlare di trasformazione interiore dello studioso. La fenomenologia e la storia delle religioni possono essere considerate tra le pochissime discipline umanistiche che sono, allo

stesso tempo, tecniche propedeutiche e spirituali» (7). Se molti non hanno capito Eliade è perchè non possono comprendere la natura dell'interesse che lo muoveva: «Avevo uno scopo, mi dirigevo verso qualcosa, desideravo arrivare a un 'centro'» (8). È estremamente difficile per chi si accosta ad una materia solo da un punto di vista professionale sintonizzarsi sulla lunghezza d'onda di chi la vive cercandovi ciò che va oltre la sfera del sensibile. In questo senso la migliore descrizione dell'opera eliadiana ce l'ha fornita un suo discepolo: «A coloro che lo accostano, Eliade risponde con un intenso irradiazione d'amore che è l'imperativo di ogni 'santo': donare a tutti, senza discriminazione, il proprio amore» (9).

Un nuovo modello di ascesi

Eliade utilizza gli strumenti offerti dalla disciplina oggetto dei suoi studi senza rimanerne prigioniero, ma dominandoli dall'interno fino ad arrivare ad una sintesi creativa, spinto non da amor di tesi, bensì dalla insaziabile necessità di chi aspira a scavare in profondità, di un'anima che tende alle vette più elevate. Naturalmente il rumeno, sebbene gli storici delle religioni e gli antropologi siano e siano stati in massima parte spinti da tutt'altre molle interiori rispetto a lui, non è il primo specialista al quale questi studi abbiano permesso di compiere esperienze inaccessibili agli altri. Nathan Söderblom per esempio lo ha fatto prima di lui. Nel luglio del 1931, sul letto di morte, volendo dare un titolo ad un suo lavoro pronto per la stampa, riuscì a pronunciare qualche parola: «Dio è vivo, e lo posso dimostrare attraverso la storia delle religioni». Il suo testo fu pubblicato due anni dopo con il titolo di 'The living God'. Eliade però non ha solo 'visto' ciò che molti altri non sono riusciti a vedere, ma ha reso trasparente questa visione attraverso una capacità ermeneutica ed una esposizione di tale sensibile acume che nessuno aveva mai avuto. Per questo motivo classificarlo con termini quale scrittore, storico delle religioni, fenomenologo, non è sufficiente, e bisogna aggiungere un altro aggettivo: «I santi sono coloro che mostrano chiaramente e pienamente, con le loro vite, le loro opere, e nella parte più intima del loro essere, che Dio vive» (10). Tutti coloro che sono stati conquistati dalle sue penetranti riflessioni, seguiranno d'ora in avanti il suo esempio, incamminandosi sulla via da lui indicata: «Quando riusciamo a trasformare il materiale oggetto del nostro studio in messaggi spirituali, adempiamo al nostro compito nella cultura contemporanea» (11). Questa missione può essere adempiuta preferibilmente partendo da un campo di ricerche specifico, per poi aprirsi dal particolare all'universale. È la strada percorsa da Eliade, che ha fissato l'attenzione principalmente sull'uomo arcaico. Una esigenza che gli si è mostrata sin da giovane: «Ero divenuto studente di filosofia, e studiando i filosofi, i grandi filosofi, sentivo che mancava qualcosa. Sentivo che non è possibile capire il destino dell'uomo e la modalità specifica dell'essere umano nell'universo, senza conoscere le fasi arcaiche dell'esperienza religiosa» (12). E studiando le fasi arcaiche, è entrato in sintonia con quegli uomini, condividendo con loro lo stesso tipo di creatività: «Qualunque possa essere stato il contributo dei 'primitivi' ai

progressi della scienza e della tecnica, non è su questo piano che si è espresso il loro genio. Se prendiamo sul serio la loro storicità, ovvero le loro reazioni positive alle trasformazioni della storia, dobbiamo riconoscere che la loro creatività si è espressa quasi esclusivamente sul piano religioso. Per il primitivo la creatività è per eccellenza un fatto religioso. Le sue creazioni etiche, istituzionali ed artistiche dipendono dall'esperienza e dal pensiero religioso, o sono da essi ispirate» (13). Così, ha fissato la sua attenzione principale sui popoli di interesse etnologico: «Il mio obiettivo è di rendere intelligibile al mondo moderno – occidentale ed orientale, tanto in India che a Tokyo o Parigi – delle creazioni religiose poco note o mal commentate come primo passo per un risveglio spirituale» (14). Naturalmente tutti noi portiamo noi stessi nella nostra attività, e anche il rumeno si è mosso sollecitato da stimoli personali. La sua più approfondita opera su un singolo argomento tratta dello specialista del sacro arcaico, molto probabilmente perchè, sentendosi appartenente alla stessa categoria, si sentiva attratto dall'argomento e voleva comprendere meglio quella che viene chiamata 'vocazione'. Riuscire a far apprezzare l'elevatezza della creatività dello spirito dei popoli di interesse etnologico è impresa comunque ancora agli inizi; come ricorda anche un antropologo inglese: «Questa battaglia in verità deve essere ancora vinta» (15). Un esempio della insoddisfacente e riduttiva analisi delle culture 'altre' di molti etnologi e antropologi occidentali è quello riportato da un nativo americano che spiega di essersi deciso a scrivere un libro perchè non ha trovato sull'argomento che lo interessava altro che interpretazioni materiali (16). Questa è la stessa molla che ha sollecitato il rumeno: «Vedevo che i 'primitivi' erano in via di scomparsa, e che gli etnologi e gli antropologi che li studiavano non si preoccupavano affatto di cogliere la coerenza, la nobiltà e la bellezza dei loro sistemi mitologici e delle loro teologie» (17). Eliade comunque, su questo piano, ha spalancato all'uomo moderno la porta non solo della comprensione dell'argomento specificamente in questione, ma ha fatto capire che le risposte di queste genti alla realtà che ci circonda, se ben comprese, sono fondamentali per capire l'Uomo, e non possono che arricchirci: «Comprendere una di queste dimensioni ignorate o disprezzate, non significa soltanto arricchire la scienza, ma contribuire alla generazione e allo sviluppo della creatività dello spirito, nel nostro mondo e nella nostra epoca» (18). Il beneficio che se ne trae, ripetiamo, è ottenibile solo se riusciamo ad immedesimarci nella loro situazione, e ciò richiede una ginnastica interiore, perchè dobbiamo essere in grado di far rivivere in noi le loro emozioni. Ogni popolo, in questo reciproco arricchimento, esce dalla propria visione egocentrica scoprendo i propri limiti, l'inconsistenza delle 'verità' su cui aveva costruito la propria società. E mentre ad uno ad uno crollano i credo e le certezze di ogni singola tradizione, nuove prospettive si affacciano, nuove soluzioni si impongono. Tutto sembra andare nella direzione di una umanità che prende coscienza di essere accomunata da una medesima speranza, terrena e celeste, e per questo avere bisogno di ridefinirsi secondo una visione comune, che tenga conto dell'intero processo evolutivo umano, ed in cui ogni popolo possa svolgere un ruolo di pari dignità. Comprendendo

con una ricerca orante ciò che non è più valido e ciò che deve essere recuperato, attivando tutte le potenzialità esistenti al di fuori della nostra religione di provenienza, ci troveremo, ognuno nella originalità della sua prospettiva di partenza, automaticamente uniti nell'Amore. È grazie a questa operazione di cui Eliade è stato ineguagliabile maestro, che sta nascendo quell'Uomo Universale fino a poco tempo fa inedito.

La ierofania suprema

Dagli elaborati di Eliade ci sembra di poter trarre poi ulteriori conclusioni che interessano la sfera spirituale.

1) L'operazione che ci ha formati, la cosiddetta ominizzazione, è definibile come 'centrazione'. Le facoltà dell'organismo si sono potute raccogliere e sviluppare in una nuova sfera, quella umana, solo a partire da un centro, che non è altro che il sacro, cioè il reale, il significativo.

2) Ominizzazione e prima ierofania coincidono. Il processo simbolico, che è l'unico attraverso il quale lo psichismo appena unificatosi può esprimersi, è il modo in cui il trascendente si manifesta.

3) Nel simbolo risiede la possibilità dell'uomo non solo di prendere coscienza di esistere, ma di aprirsi poi al mondo e alle diverse esperienze, ed a permettere a queste di assumere un senso.

4) Simboli e ierofanie si susseguono senza fine, con dinamicità e vitalità, consentendo all'uomo di autocostruirsi e di accedere a visioni del mondo e stati di coscienza sempre più complessi. Questa evoluzione continua sempre, anche dopo la concretizzazione materiale di quella che Eliade definisce 'ierofania suprema' (Gesù di Nazareth).

È vero che proprio gli studi di religioni comparate dimostrano che non esiste una evoluzione delle idee religiose per stadi successivi (come affermavano un tempo le varie scuole che sostenevano la tesi dei cicli culturali), ma una analisi per tempi lunghi, pur nella piena libertà di imboccare momentaneamente qualsiasi direzione, registra una innegabile crescita nella conoscenza che l'uomo ha del fenomeno in cui si trova avvolto, che può ora, grazie alle scoperte ed agli studi più recenti, consentirgli un decisivo balzo in avanti. Se reimmedesimarci nella posizione esistenziale dell'uomo arcaico ci permette di riscoprire potenzialità che la nostra cultura occidentale aveva ormai smarrito, la dialettica del sacro così come ce l'ha svelata Eliade ci mostra che il dispiegarsi delle esperienze originarie è un concatenamento, e che il futuro va in direzione di una riunione delle varie valorizzazioni religiose compiute dall'uomo nel corso del suo processo di autocostruzione. Per lo studioso rumeno l'uomo sembra ormai pronto per più grandi realizzazioni, di livello planetario: «Oggi, per la prima volta, la storia sta diventando veramente universale, e così la cultura è sulla via di divenire 'planetaria'; e la storia delle religioni può avere una funzione essenziale in questo sforzo di elaborazione di un tipo di cultura e di coscienza universale» (19).

Quale posizione occupa nel pensiero di Mircea Eliade, in questo vasto movimento di convergenza frutto di quel prodigioso sforzo dell'uomo volto a riscoprire, risvegliare e recuperare il passato e le culture 'altre', il Cristo? Ci sembra che il rumeno lo avesse già in testa all'epoca della stesura del 'Trattato di storia delle religioni' (1948), quando afferma che: «Tutte le 'forme' divine tendono a concentrare intorno a se stesse tutte le manifestazioni religiose, ed a comandare su tutti i settori cosmici» (20). Se Cristo rappresenta per lui «l'ultima e più perfetta ierofania: Dio si è completamente incarnato in Gesù Cristo» (21), allora l'ultima ierofania è quella capace di ampliarsi a dismisura fino a raccogliere in se stessa tutte le bellezze esistenti e tutte le potenzialità spirituali. E anche in questo caso Eliade stupisce capovolgendo completamente non solo la prospettiva atea, ma anche quella cristiana, che considera Cristo come l'unica luce seguita ad un lungo periodo di buio: «La kenosis di Gesù Cristo non solo costituisce il coronamento di tutte le ierofanie avvenute sin dal principio dei tempi, ma anche le giustifica, ne dimostra cioè la validità» (22). Una energia divina arde e pulsa nel cuore dell'uomo sin da quella prima 'centrazione'. Essa si è propagata in mille forme che ora, come fiumi che hanno trovato la strada verso un unico oceano in cui scaricare le proprie acque, confluiscono nel Cristo cosmico. «L'origine si manifesta attraverso tutto ciò che è divenuto e che si è riunito» (23). La figura di Gesù Cristo ha reso possibile la definitiva, totale, collettiva 'centrazione'. Ecco perchè il rumeno segnala che «il Cristianesimo e la filosofia cristiana sono suscettibili di rinnovamento (solo) se sviluppano il Cristianesimo cosmico» (24). Il Cristo integrale, cosmico, di Eliade, assomiglia molto a quello descritto dal gesuita Pierre Teilhard de Chardin, che egli conobbe personalmente: «Abbiamo avuto delle lunghe discussioni; ero affascinato dalla sua teoria dell'evoluzione e del punto Omega, che mi sembrava in contraddizione con la teologia cattolica. Sono stato felice, in seguito, di leggere i suoi libri. E solo allora ho capito fino a che punto il suo pensiero fosse cristiano, e quanto fosse originale e coraggioso» (25). Eliade mostra di condividere l'idea teilhardiana di «un processo di selezione attraverso dei salti qualitativi in avanti, un opus magnum nel quale è implicato un Cristo cosmico» (26), e avverte una forte affinità con il gesuita francese, tanto da esclamare: «Se qualcuno studierà un giorno, con intelligenza, la mia teoria sulla ierofania e sulla ierofanizzazione progressiva del mondo, della vita e della storia, potrà paragonarmi a Teilhard de Chardin. Con questa differenza però: egli è giunto a questa teoria attraverso la scoperta della cosmogenesi, io invece attraverso la decifrazione delle religioni cosmiche» (27). Si può dunque concludere che amare Cristo Signore consista, per Eliade, non nel conformarsi ad un modello costituitosi in un microcosmo di duemila anni fa ma, al contrario, integrare nella sua figura tuttora in divenire i patrimoni spirituali finora meno valorizzati, ampliare il concetto del Cristo che possediamo fino a dimensioni planetarie, e contribuire così alla formazione di una sostanza spirituale definitiva, assoluta, eterna, personale e personalizzante. Il rumeno si staglia così, a nostro parere, come un autentico testimone del Cristo risorto e vivo in mezzo a noi, forse ancora accessibile a pochi

in questo momento, ma la cui attualità in futuro non potrà che aumentare e contagiare i più arditi e sinceri ricercatori della Verità.

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A QUEST FOR POSTMODERN SENSIBILITY (THE NOVEL IN THE AGE OF ELECTRONIC REPRODUCTION)

SANDA BERCE*

ABSTRACT. The paper questions the changes in vision and perspective of the world, from a *logo-centric* to an *ocular-centric* one, relates these changes with the creative power assigned to the imaginary and studies the *influence* of e-technologies and communication upon the new novel types in the contemporary British novel.

Key words: ocularcentric, postmodern sensibility, mimetic function, interface, reality effect

“*The authenticity* of a thing is the essence of all that is *transmissible* from its beginning, ranging from its *substantive duration* to its *testimony to the history* which it has experienced”
Walter Benjamin, 1936

“There is a primal pleasure of *anthropological joy in images*, a kind of *brute fascination* unencumbered by aesthetic, moral, social or political judgments. It is because of this that I suggest they are immoral, and that their fundamental *power lies in this immorality.*”
Jean Baudrillard, 1987

The advent of science and technology leading to the development of new means of representation not only replaced the *image* of the world by the *creation* (i.e. simulation) of more accurate techniques (photography, cinema in Modernism; virtual reality, cyber-image in Postmodernism), but also replaced the *symbolic function* of the image by its *mimetic function*: the meaning of the image is *reduced to the information* it can offer about the world and this meaning is important only in terms of *spatial* and *temporal* coordinates because these terms determine the possibility of their transmission. Put it briefly, the contemporary era of computer science and media may provide the consumer with images of the ‘real’ but, in doing so, it *alters the traditional/conventional concepts* of space and *time* that are endowed with ‘new dimensions’.

The present paper begins with arguing the importance of images for human existence and thinking. It also questions the changes in vision and perspective of the world, from a *logo-centric* to an *ocular-centric* one, and relates these changes to the creative power assigned to the imaginary in the process of representation. It inquires into the consequences of the “mechanical reproduction”/“electronic reproduction” of the work of art/ literature. Paraphrasing in the title of the paper the well known work by Walter Benjamin (i.e. “*The Novel in the Age of Mechanical Reproduction*”), we ascertained for the validity of Benjamin’s theory (the situation

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of the work of art in an age of 'mechanical reproduction') and the similarity of the situation of the work of art/novel in an "age of electronic reproduction", proved by the latest developments in the British contemporary novel.

By the "age of electronic" reproduction" we mean all the influences that *e-technologies* in *transmission* and *communication* might have had on literature, in particular. Our hypothesis is that the mechanical reproduction the work of art/ novel frees it from its mimetic function and that *art's post-historical character* does not bring an end to creation, but encourages it to return to both its primal and defining characteristics 'plasticity' and 'tactility' in search for expressing human sensibility. We assume that the 'new sensibility' defined by *juxtaposition* of tastes and worldviews by the *collision of cause* alternating with its *effect* (as in Charles Jencks: "disharmonious harmony", Wolfgang Iser: "simultaneity of the mutually inclusive") is the core *cause of the dynamic force of the contemporary novel* and of the intensified tendency of arts to interact in search of new means of expression: the development of *intertextuality* as both a *strategy* and a *self-contained reality*, the '*double-coding*' with the use of irony, ambiguity and contradiction which allows us to read the present in the past as much as the past in the present. The two means of expression, have lately coalesced into a new form which departs from the English tradition of the 18th century as reflected by the 1985 novel by John Fowles, "A Maggot", with the writer's tendency to authenticate his own text by representing 'the documentary' (trials, documents, chronicle pages). Under the influence of the 'visual' the new novels are endowed with another visual dimension as the result of an *interaction* between reader and text, while the *meaning itself relies on the norms of the visual representation* (as defined by E.H.Gombrich).

The novel typology we intend to explore in this paper goes beyond any possible classification of narratives, from an oversimplifying typology into empirical and fictional (D.Lodge: 1977,1992), to other more complex and sophisticated (D.Head: 2002; P.Childs: 2005, N.Bentley: 2005) and it is definitely associated with the advent of technologies and their influence on the representation of the 'real', in what concerns the representation and its *change of function*. The new form, therefore, set forth the 'Proteus' potential of the contemporary novel.

Paul Virilio, the French cultural theorist and urbanist, best known for his writings about technology in relation to speed and power, elaborated in *Lost Dimension* (1983/1991) a remarkable theory about the *change of function* in what concerns representation in the contemporary world. According to him, the difference between Modernism and the contemporary (Postmodernist) world is the shift from the *closed spaces* of the 'inner', governed by subjective time to the *open spaces* governed by the 'transparency' encouraged primarily by *communication* and *transport* with which the traditional separation between 'near' and 'far' is dissolved while the *visibility* of the enclosed space of buildings with the use of transparent materials (such as glass, plastic etc.) is encouraged. The consequence, assumes Virilio, is that the experience of *private-public changes*: the public becomes even more public, whereas the private loses its privacy. The *function* of representing the exchange is acquired by the 'transparency' of the flat screen (of television, video, computer)

so that the three-dimensional objects are flattened on the *interface* of the screen. It is the *screen* itself, the interface, which becomes important whereas object-subject decreases in importance: the 'spatial' reality transmitted through the actual contact with the object, that is to say *face-to-face contact*, is transformed into a *man-interface* contact, the depth of things ceases to exist and is replaced with a vast surface, revealed by the screen:

"[...] the surface of inscription, hitherto devoid of depth, becomes a kind of "distance", a depth of field of a new kind of representation, a visibility without any face-to-face encounter in which the *vis-à-vis* of the ancient streets disappears and is erased. In this situation, a difference of position blurs into fusion and confusion. Deprived of objective boundaries, the architectonic element begins to drift and float in an electronic ether, *devoid of spatial dimensions*, but inscribed in the singular temporality of an instantaneous diffusion. From here on, people can't be separated by physical obstacles or by temporal distances[...]. In the interface of the screen, everything is always already there, offered to view in the *immediacy* of an instantaneous transmission."(P.Virilio: 1984/1991,13, 17)

Not only the traditional/conventional concept of **mapping time** has been altered by television so that we do no longer accept the natural delimitation of time that is replaced by the "artificiality of the screen-generated day":

"Thanks to satellites, the cathode-ray window brings to each viewer the light of another day and the presence of the antipodal place. If space is that which keeps everything from occupying the same place, this abrupt confinement brings absolutely everything precisely to that "place", that location that has no location. The exhaustion of physical, or natural, relief and of temporal distances telescopes all localization and all position. As with live televised events, the places become interchangeable at will" (P.Virilio, 17-18),

but also the traditional/conventional concept of **mapping space** has been altered by computer technologies that changed the traditional meaning of reality by offering a virtual, different reality:

"With the interfacing of computer terminals and video monitors, distinctions of here and there no longer mean anything. This sudden reversion of boundaries and oppositions introduces into everyday, common space an element which until now was reserved for the world of microscopes. There is no *plenum*; *space is not filled with matter*."(P.Virilio, 13).

Such developments have had serious and definitive influences on the traditional representation of reality, that is narrative (narration) which had been so far connected to the written 'description' of the 'real'. Replaced by media (employing electronic technologies) with the 'transmitted image of reality', the new form of representation is characterized by (artefactual because 'constructed') objectivity and lacks the 'subjective'/imaginative aspect of the narrative description. As a matter of fact, the traditional *homogenous space* is transformed into a *heterogenous space* characterized by shift of perspective and by shift of stress from the static to the unstable image.

According to this pattern, each image *disappears* in order to make way for the next one and all the moving images create the image of the whole. Called by Virilio "*the aesthetics of the disappearance*", the pattern of "the *unstable image*"

replaces the ‘palpable’ dimensions with ‘apparent’ ones, whereas the material distance is replaced by *an image persistent to the eye*:

“From the *aesthetics of appearance* of a *stable* image- present as an aspect of its static nature- to the aesthetics of the *disappearance* of an *unstable* image[...] we have witnessed a transmutation of representations. The emergence of forms as volumes destined to persist as long as their materials would allow has given way to images whose *duration is purely retinal* [...]. With this technology, “the aerial view” no longer involves the theoretical altitudes of scale models. It has become an opto-electronic interface operating in real time, with all that this implies for the *redefinition* of the image.”(P.Virilio, 25-26).

At present, the tension (if there is any) between the *changes* undergone by the concept of ‘reality’ which can no longer be separated from simulation, caused by the artificial transmission of the ‘real’ and the need of the individual to *consciously* ‘face’ the ready-made image and the single perspective of the screen which excludes the non-visible is *mediated* by the still latent ‘homo symbolicum’ who relies on a *system of symbols in order to process reality*. Mediation takes active and accurate form, in art and literature, as they do not seek to reduce the image to its most ‘visible’ interpretation. New art/novel forms provide us with knowledge about the world and play an important role in the *development of self-consciousness* as they may stand for the mirror of both the world and of ourselves. The encounter with the mirror allows the self-recognition of the individual-reader and ‘speaks to’ him, by telling him what the eye cannot possibly see from its position:

“[...] a subject *constructs* himself *progressively* and this construction involves the consciousness of a difference in comparison with the exterior world and with the other; the subject capable to objectify himself and to coordinate the exterior perceptions with the interior sensations, can then pass from the consciousness of the body to the consciousness of the self” (S.Melchior-Bonnet: 2000, 12)

The discovery of this identity led to the appearance of *self-portrait* and to the *autobiography* because the portrait of a model may turn into the portrait of the artist himself and the life story of someone may turn into the life story of the writer himself. Besides, the mirror that the novel may become offers a *transparent*, immaterial and immediate *double* of the subject. In the case of the painted image, of the image as such, the resemblance with the subject is given by its material existence. Which is why, the image is not a reflection, but a *translation of the reflection* and, therefore, it manifested in the material world (as paintings, pictures, movies, TV/computer screens) or locked in the immaterial world of the mind, the life and presence of images in the development of the human cannot be neglected. As a matter of consequence, the eye alone cannot rule over the mind and the ready-made image of the media and of the other electronic technologies cannot completely master/suffocate the imagination even if “the canned image” may “*paralyze* any judgment of value from the *passive consumer*”(G.Durand: 1999, 202).

The question of “the canned image” has been interrogated ever since the 1930’s, by the German philosopher Walter Benjamin who thoroughly analyzed it in his essay, *The Work of Art in the Age of Mechanical Reproduction*. His main idea is that,

even if reproduction of artworks has represented an *innovation* starting with stamping and ending with photography and cinema, the tendency in a consumer society is to *eliminate* “*authenticity*” (understood as “creativity and genius, eternal value and memory”, W.Benjamin: 1936/1997, 297) by reproducing the art object in as many copies as desirable (and, technologically, possible). Annihilating the uniqueness of the artwork, causing a shift of focus from the hand (which produced the art work) to the eye, which is capable to *capture the images* more quickly, the “mechanical reproduction” destroys the *value of the original*, value is replaced by the ‘reachable original’ which is a copy and a *mediated image of the object*.

Since mechanical reproduction has been denied as means of expression for an art that seeks better ways to express human emotion ever since W.Benjamin’s demonstration, the art of the contemporary novel returned to the exploration of human plasticity and the tactile.

It is far from any of our intentions to speak about “the verbal representation of a visual image”, or *ekphrasis*. On one hand, because it may be seen as “an adversary of the narration” with its power of mediation between the *dynamic force* of the word and the *resistance* of the fixed image. On the other, because the relationship between *word* and *image* in the contemporary narrative (and novel, for that matter) develops at the material level, within which *the word and the image can coexist*, meaning that the image occupies the whole space and the words are written in the image, not like in the advertising posters, but as in the case in which *the word evokes an image or the image illustrates an absent verbal text, also familiar to the viewer*. And the image-narrative develops from the word. Translating ‘the art of painting’ into ‘the art of writing’ implies the *substitution*, in such novels, *of the lacking elements* and the ‘rewriting’ of the existing ones in the specific language of the other art.

In this context, the novel turned to the evoking of old and valuable works of art, and there is not only one but many novels inspired by Vermeer’s painting: *The Music Lesson*(1998) by Katherine Weber, *Girl in Hyacinth Blue*(1999) by Susan Vreeland, *Girl with a Pearl Earring*(1999) by Tracy Chevalier and *The Dance of Geometry* (2002) by Brian Howell.

This novel type has its origin in the *institution of the museum*, a place where the writer can set his eye on that artwork. The museum provides all the necessary material for creation: starting with the titles of the paintings, the explanation offered by the catalogues and ending with the books on the lives of the painters. The contemporary interest in such painters like Vermeer can be explained by the imaginative potential encouraged by the absence of much or concrete information about their life story or history. In search for new material these writers bring the painter back to life by filling in the ‘lacking elements’. Besides, there is something *crucial* about the painter of Delft and his work: his caste adoration of the woman, the masculine associated to the solitude of intelligence, the *study of light* and his *technique of representing the effect of light* on the painted subject which are considered to be the characteristics of his genius and, last of all, Jan Vermeer van Delft’s *preoccupation with the problems or representation* and, henceforth, **modernization** of the

painter's work. It is what the contemporaries seem to share with Vermeer of Delft: to find new ways to represent 'light', to create the 'illusion of depth', to use 'camera obscura' - to put a distance between the creator and his work, so that he can analyze the details, the composition of the scene from the proper point-of-view, to set the logic to the *gradual transformation* of the light into shadow and its nuances, for that matter.

In other words, Vermeer and his paintings sustained the myth of a never ending story about **how** to successfully *represent the material aspect* of things- subject and object altogether- the **texture** which helps capture all of the light, very much opposed to and different from the *contemporary surface of texture* which is "an *interface* between two environments that is ruled by a constant activity in the form of an *exchange*[...]" (Virilio, 17). No delimitation, no boundary, but a change in the 'notion of limitation'.

And, above all, the contemporaries seem to be *nostalgic* for the most striking aspect of Vermeer's painting: *realism*. All these novels inspired by Jan Vermeer's are the tribute of the contemporary writer paid to the *exactness of his descriptions*, an accuracy which is not given by the delimitation of outline, but by mastering of *the art of mixing colours*, or representing light and dark and shade alike. Moreover, he was the painter who created the 'illusion of the well-framed and defined space', a *space of harmony* and composition: a space for longing, meditation, dreaming and waiting, the opposite of the 'reality effect' which replaces 'immediate reality' of the contemporary image, as consequent to the tendency of privileging "information mediated to the detriment of meaning"(P.Virilio, 24).

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JEANETTE WINTERSON'S INTERNET HYPE: *THE.POWERBOOK*

ALINA PREDA♦

ABSTRACT. At her first attempt to explore the storytelling potentialities of the Internet, Winterson rendered beautifully in *The.PowerBook* the shifts of identity and the altered narrative threads to be found behind the electronic screen, by knitting together the various individual stories in a network whose nodes are either the themes common to some stories, or the protagonists as different embodiments of one and the same narrator. This is Winterson's innovative means of awakening her readers from the anaesthesia of the everyday life, from the dullness of reality, to the wonders of the fictional universe, and to the seemingly endless possibilities of virtual reality.

Key Words: shifts of identity, altered narrative, hypernovel

*Motto: "I am myself but a vile link
Amid life's weary chain'
But I have spoken hallow'd words,
Oh, do not say in vain!"¹*
Virginia Woolf, *Orlando*

The.PowerBook constitutes, according to its author, the last book of the cycle that began with *Oranges Are Not the Only Fruit*. When asked by her interviewer, Margaret Reynolds, why she often quotes herself in her novels, Jeanette Winterson replied:

"Because all the books speak to each other. [...] I've said that the seven books make a cycle or a series, and I believe that they do, from *Oranges* to *The.PowerBook*. And they interact and themes do occur and return, disappear, come back amplified or modified, changed in some way, because it's been my journey, it's the journey of my imagination, it's the journey of my soul in those books. So continually they must address one another. And you don't know that at the time. You only know that when you're done writing them. But that's why I say it is a series, and that's also why I say it's finished now with *The.PowerBook* and there has to be a new beginning."²

This assertion is by no means surprising, if we take into account the fact that the chapter titles in the case of *Oranges* and *The.PowerBook* are worlds apart, as if pointing to the evolution of The Book from the first printed book, to its latest shape, The Hyperbook. Thus, *Oranges* is separated into chapters bearing titles from *The Bible* – Genesis, Exodus, Leviticus, Deuteronomy, Joshua, Judges, Ruth – while

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¹ Woolf, V. (1995 [1928]). *Orlando. A Biography*. Hertfordshire: Wordsworth Editions Limited. P. 117.

² Interview with Jeanette Winterson, published in Reynolds, M. and J. Noakes (2003). *Jeanette Winterson: the essential guide*. London: Vintage.

The PowerBook displays many chapter titles that remind one of the computer toolbar, which causes this particular work to resemble a hypernovel. Instead of presenting itself as an immediate display of beginning, middle and ending, the novel's table of contents is structured like a computer menu with branching options:

language costumier
 OPEN HARD DRIVE
 terrible thing to do to a flower
 NEW DOCUMENT
 virtual world
 SEARCH
 great and ruinous lovers
 open it
 VIEW
 night screen
 VIEW AS ICON
 blame my parents
 EMPTY TRASH
 SPECIAL
 own hero
 meatspace
 spitalfields
 HELP
 SHOW BALOONS
 CHOOSER
 strange
 QUIT
 REALLY QUIT?
 RESTART
 SAVE

As Susana Onega (2006: 183) noticed, “following the fashion of e-mail addresses” all the titles of embedded stories appear in capitals, while the chats are rendered in small print. The book exhibits some other features popular with hypertext:

- drawn graphic elements mark the beginning of each chapter, including the table of contents, and help tell the story, pointing out important elements in each chapter
- formal documents, not typically used in fictions, – such as the recipe for SALSA DI POMODORI (182-183), appear as part of the novel's text
- imaginative font changes are employed to pinpoint the various narrative lines, and
- the rigid linearity of traditional novels is abandoned, as Winterson threads many stories into the narrative, through “long lines of laptop DNA” (PB 4)³.

³ Winterson, J. (2001 [2000]). *The PowerBook*. London: Vintage. All subsequent page references to the text are to this edition.

Onega pertinently argues that Winterson departs from the traditional tale-within-the-tale structure, where “the first-level narration ‘frames’ the other tales by opening and closing the embedded narratives”, and chooses to leave the frame narrative open, “as is suggested by the fact that the last four chapters have their titles written in capitals, as would be appropriate for embedded stories” (Onega, 2006: 183). Moreover, as Kate Kellaway (2000) points out, following in the footsteps of Thomas Hardy and John Fowles, Winterson “offers alternative endings to her chimerical story”. This open-ended structure takes the form of a choice between two possible ‘links’ offered by Ali/x, the e-writer, to her e-customer, alias ‘Tulip’ (PB 25), by presenting both of the endings: “Here are two endings. You choose.” (PB 205-206)

This new kind of novel does not entirely conform to the elementary definition of narrative as “an articulation of temporality with transitivity.” According to Connors (2001:3), “all narratives involve the passage of time and the ordering of events with relation to sequence, duration and temporal connection”, but Winterson’s disregard for chronology results in the need for the readers of *The.PowerBook* to engage in a re-mapping of events in a rather topographic manner, by identifying the interstices and trajectories connecting the textual fragments that form the book’s chapters. A constellation of themes intersect in the book – the layers of time, space, matter and meaning; the debris of history; the power and the futility of love; the idea of disguise; the treasure, or the Holy Grail; life as a journey, life as a story; intertextuality and story-writing – and the novel is not plot-driven, but rather character-driven and, especially, discourse-driven. As if it were an instance of hypertext literature, the plot of *The.PowerBook* is divided into numerous parts, most of them completely independent from the others, which can be connected by the integrative power of logic. The role of a hyperbook reader seems much more important than the promoters of reader response critical theories even dared imagine, and with this novel Winterson challenges the readers to put their minds to work, and perform to the best of their logical abilities. However, many critics and readers alike have been unable to rise to the challenge of the fragmented discourse evinced in this novel, hence the numerous complaints about the high levels of reader input it requires:

“Certainly, it’s Winterson’s intention to pull the rug out from under the reader, to reawaken jaded senses. But with so much power taken away, where can a reader find his footing?” (Brian Bouldrey, *San Francisco Chronicle*)⁴

“*The.PowerBook* is not methodologically new. Except that it isn’t really a novel anyway. It’s more like a set of short stories being marketed as a novel (...) Except that it isn’t even a set of short stories. It’s more like a bundle of bits and pieces, nicely laid out, signed, numbered and bound in home-splodged cardboard and sold as an artist’s book at a private gallery in the West End. It’s a half-finished, collectors-only artefact which has somehow stumbled into mass-market circulation.

⁴ Bouldrey, B. (2000). “Have It Your Way - Readers write their own endings in an interactive fantasy”.*San Francisco Chronicle*, Sunday, November 26, 2000. Available: <http://www.sfgate.com/>

It's close, in fact, to not being a book at all. Yet it keeps afloat, somehow. It just about prevails." (Jenny Turner, *London Review of Books*)⁵

"*The PowerBook* is, nominally, a novel and the pieces do fit together in some larger whole, but it is an uneasy fit. [...] Winterson can write exceptionally well and much of what is on offer here is maddeningly good, but they are perfect fragments adrift in the muck. [...] But there is a lot to be said for a more fully formed story (and not a mere agglomeration of stories and story-bits) -- what used to be known as a novel. [...] *The PowerBook* is a short read, and worthwhile, but it never really comes together."⁶

Such complaints have been made about Winterson's writing even before the publication of *The PowerBook*, with reference to either *Art & Lies: A Piece for Three Voices and a Bawd* (1994), or *GUT Symmetries* (1997):

"There are [...] local virtues in Winterson's writing, but the problem is that they never quite cohere into a compelling artistic whole." (Robert Alter, *The New Republic*)⁷

"Jeanette Winterson is not known for being an "easy read". In fact, she's one of our most complicated, confounding writers, the kind of old-fashioned fiction magician who can leave one wondering how she got from A to Z without once mentioning the intermediate letters of the alphabet." (Sarah Van Arsdale, *San Francisco Chronicle*)⁸

Those members of the public who are still wondering how to put the pieces together experience a sense of frustration at the lack of closure and, not surprisingly, blame it on the writer, known to be resistant to notions such as "what [...] the Americans call closure"⁹ and to the "old-fashioned plot line" better to be "left to crime writers of the old school"¹⁰. In the exclusive interview conducted by Margaret Reynolds in September 2002 Winterson¹¹ explains her choice of double-or multiple-strand narrative, and her preference for fragmentary discourse and seemingly plotless fiction by pointing out that pauses, spaces, and breaks in the narrative are necessary "forceful interruptions" which prevent readers from becoming fascinated by the story line, and allow them to notice the beauty of the language. Therefore, Winterson tries to make the readers aware of the reading process, demands their concentration, since reading is "not like watching television. It's a dialogue, and it's not a passive act." Winterson knows, of course, that there are people who "find this vastly irritating and simply want to skip along and read a monolithic narrative", and she adds that she feels sorry for them (Noakes&Reynolds, 2003: 16). Winterson's advice to the readers and critics who keep whining about how much they need the comforts of closure is to watch television, or choose one of the many books that are, in fact, "just printed television":

⁵ Turner, J. A. (2000). "Tulip and Two Bulbs". *London Review of Books*. Available at: <http://www.lrb.co.uk/>

⁶ The Complete Review's Review (2000). Available: <http://www.complete-review.com/>

⁷ Alter, R. (1997). *The New Republic*, 7/4/1997. Available: <http://www.complete-review.com/>

⁸ Van Arsdale, S. (1999) *San Francisco Chronicle*, 13/6/1999. Available: <http://www.complete-review.com/>

⁹ Interview with Jeanette Winterson. Available at www.jeanettewinterson.com

¹⁰ *Ibid.*

¹¹ Reynolds M. and Noakes, J. (2003). *Jeanette Winterson: the essential guide*. London: Vintage.

“It seems to me that TV and cinema have taken over the narrative function of the novel, in much the same way that the novel once took over the narrative function of poetry. That frees me up for story, for poetry and for language that does more than convey meaning.”¹²

However, what might have swept some critics off the pedestal of their expectations, making them feel rather detached from the text, is the shift from lyrical exposition and description to witty dialogue. Funny, tender, and full of surprises conversational exchanges, clipped speech similar to chat-lines in a cyberspace lounge permeate *The.PowerBook*, at the expense of the lengthy thought-provoking poetry to be found in her earlier novels.

The rich mixture of literary and historical references generated a new series of complaints about the pretentious quoting and naming of literary and historical characters, which make the meaning of Winterson's work impregnable for the less erudite masses and available only for the learned few. But, as Winterson herself stated:

“A lot of modern work is rootless and shallow because the writer has no literary resources - nothing to draw on, in a way that is often unconscious. It doesn't matter how you've been educated, if you can read you can educate yourself. Ignorance has no advantages.”¹³

If her message is not lost in the intertextual interstices, say the critics, it is at least distorted by the snappish maxims, the gnomic dialogue, the pernickety commentary, as well as by the occasional flashes of purple prose “tuned to express her obsessional preoccupation with sexual passion raised to the power of revealed religion”¹⁴. These are, however, Winterson's innovative means of awakening her readers from the anaesthesia of the everyday life, from the dullness of reality, to the wonders of the fictional universe, and to the seemingly endless possibilities of virtual reality. And these very means give Winterson the ability “to dazzle the reader by creating wondrous worlds in which the usual laws of plausibility are suspended”, the ability “to combine the biting satire of Swift with the ethereal magic of Garcia Marquez”, the ability “to reinvent old myths even as she creates new ones of her own”¹⁵ (Kakutani, 1990).

The.PowerBook is shaped much like a DNA spiral, in multiple narrative threads of intertext: Thomas Malory's *Morte d'Arthur*, Dante's *Divine Journey*, Woolf's *Orlando*, *The Arabian Nights*, many other strands of fairytales, or mythical and historical tales, as well as Winterson's own *Oranges Are Not the Only Fruit*, as this author often resorts to re-coining her own maxims, and to drawing cover-versions of her own texts. Winterson's narrator in *The.PowerBook* asks her e-customer to download, if she wishes to read romance novels, *The Passion*, one of Winterson's own books:

¹² www.jeanettewinterson.com

¹³ www.jeanettewinterson.com

¹⁴ Glendinning, V. (2000). *Daily Telegraph*. Available: <http://www.complete-review.com/>

¹⁵ Kakutani, M. (1990). *The New York Times Book Review* 27/4/1990. <http://www.complete-review.com/>

‘Was it romance you wanted?’
‘Doesn’t everyone?’
‘Download *Romeo and Juliet*.’
‘Teenage sex.’
‘*Wuthering Heights*.’
‘The weather’s awful and I hate the clothes.’
‘*Heat and Dust*.’
‘I’m allergic to dust.’
‘*The Passion*.’
‘Never heard of it.’
‘Oh, well ...’ (PB 25-26)

Moreover, the story of Mr. and Mrs. Muck is a re-working of *Oranges*, in a much shorter and concise shape. Intertextuality is ever-present in Winterson’s fiction, and the seven books which make up the cycle are related, they flow one from the other, with *Oranges* opening the cycle and *The PowerBook* ending it, closing the circle. According to Winterson, all the books in her cycle “speak to each other”, “interact” and “themes do occur, and return, disappear, come back amplified or modified, changed in some way, because it’s the journey of my imagination, it’s the journey of my soul in those books. So continually they must address one another”. (Noakes and Reynolds, 2003: 25)

In the cyber-chat which constitutes the first-level narrative of *The PowerBook*, there are references to writing the very book we, the readers, are reading: *The PowerBook* relates the story of the Everest explorer lost in the mountains in the 1920s, whose corpse was found in 1999, and Ali/x mentions him to Tulip on their ‘first date’:

“I started to tell you about George Mallory, the Everest mountaineer. I’m putting him in a book I’m writing, and strangers often like to hear how writers write their books. It saves the bother of reading them.” (PB 32)

(2003: 9), “Winterson’s texts create their own image and their own mask”.

Another issue brought up by the critics is again related to the expectations created by the book’s appearance – the cover or the inside flap of some editions reminding of a computer handbook, by the naming of the chapters after recognizable commands from the Macintosh user interface, and, last but not least, by the very title coined after a type of laptop.

“*The PowerBook*, as its fashionably dotted title suggests, uses the language of computers, but thankfully, apart from the chapter headings, this is all rather lightly done. Some of the images are obvious [...] But other formulations are less predictable; for example, the computer screen is likened to the screen of a confessional and we are not sure if anyone is listening.”¹⁶ (Boddy, 2000)

¹⁶ Boddy, K. (2000). “Love, again”. *The Times Literary Supplement*, 1st September, 2000, page 9. Available: <http://myweb.lsbu.ac.uk/~stafflag/jeanettewinterson.html>

The technological twist was regarded as an advertising gimmick, designed to increase sales. Some felt that Winterson's efforts to be groundbreaking were much too obvious, and that she pushed the boundaries too far, in an attempt to eradicate them:

"The author should have spent less time with the cut-and-paste feature of her word-processing programme and concentrated on the writing."¹⁷

Others argued that Winterson failed to make the most of the possibilities offered by computer technology and to clearly exhibit the potential of this new approach to art and writing:

"*The.PowerBook* is not a playful postmodern experiment or an investigation of the multiple personalities of email. Instead, Winterson uses the metaphor of email to discuss sexual freedom and power. Sex, like the web, is an "orderly anarchic space that no one can dictate, although everyone tries". It is a story that always has a new beginning and never really ends." (Showalter, 2000)¹⁸

What the renowned critic fails to notice is that these particular traits are precisely the ones that characterise hyperfiction: no story ever reads the same way twice, in some cases any point may be taken as the beginning, and the outcome is different function of the choices the reader makes, depending on what links s/he chooses to follow. Of course, the print medium does not allow for a display similar to the one available on the computer screen, or for the freedom of movement granted by cyberspace, so each and every writer must find his or her own way of bypassing this fixity inherent to print texts. Winterson's solution is actually suggested on the opening page of *The.PowerBook*: "To avoid discovery I stay on the run. To discover things for myself I stay on the run" (PB 3, 157, 210). Winterson knows that automatism may lead to the death of narrative, and that closure offered as the only possible ending carries the same threat, and Ali/x voices the author's awareness:

"There is always the danger of automatic writing. The danger of writing yourself towards an ending that need never be told. At a certain point the story gathers momentum. It convinces itself, and does its best to convince you, that the end in sight is the only possible outcome. There is a fatefulness and a loss of control that are somehow comforting. This was your script, but now it writes itself." (PB 53)

In order to avoid that threat there is one solution: to innovate the language of the novel, by using multiple strands of narrative, cover-versions and re-workings of well-known stories:

"Stop. Break the narrative. Refuse all the stories that have been told so far (because that is what the momentum really is), and try to tell the story differently - in a different style, with different weights - and allow some air to those elements choked with centuries of use, and give some substance to the floating world." (PB 53)

¹⁷ The *Complete Review's* Review (2000). Available: <http://www.complete-review.com/>

¹⁸ Showalter E. (2000). "Eternal triangles-Jeanette Winterson's *The.PowerBook* is lost in cyberspace". *The Guardian*, Saturday, September 2, 2000. Available: <http://books.guardian.co.uk/print/>

The reader has been warned: a spring of words is to follow, turning into a river of stories that the readers themselves should gather into an ocean of meaning, by using the alchemy of their imagination. The novel contains the story, the story contains the words, the words contain the actions and emotions, so the readers must find their way back, from emotions to words, from actions to stories, and to the wholeness of the novel.

Starting from the story of the relationship between Ali/x, a writer of made-to-order fiction in which the client is to be the protagonist, and Tulip, one of her customers, a married woman, Winterson draws on fairytales and history, on folklore and even on her own previous works, and breaks the narrative into a collection of cyber-chat fragments interwoven with short stories of “great and ruinous lovers”, starring Ali/x in various magical, mythical and historical times and places: a girl dressed as a boy, smuggling tulip bulbs from Turkey to Holland in 1951, who used “a little horticultural grafting” to teach a Princess the art of love; Lancelot du Lac sent by Arthur to fetch Guinevere, the King’s wife-to-be, their love affair doomed from the start; Francesca da Rimini reading the story of Lancelot and Guinevere with her lover, Paolo, the morning when they both died for love; an orphan whose adoptive parents called Alix, “because x marks the spot” (PB 138), encouraged by her unloving parents to look for a hidden treasure in the Promised Land. And many other stories, impressive flights of fantasy, are contained within these stories, giving expression to people’s spiritual striving to break boundaries in the name of love, knowledge or power. Anyone can order a story in which s/he is the hero, but there is no telling what the story will do to either its recipient or its creator; the power resides neither with the narrator, who has given up the “omniscient” status and “has gone interactive” (PB 27), nor with the protagonist, but within the story, which can transform them both. By resorting to computer analogies, Winterson points to the existence of various possible worlds behind the actual world we inhabit, worlds that can be brought to life with the help of computer technology, or in our dreams:

“There are so many lives packed into one. The one life we think we know is only the window that is open on the screen. The big window full of detail, where the meaning is often lost among the facts. If we can close that window, on purpose or by chance, what we find behind is another view. [...] If we move further back, through a smaller window that is really a gateway, there is less and less to measure ourselves by.” (PB 103)

In the new worlds, we are no longer the same, but we recognise our counterparts:

“This window is emptier. The cross-references are cryptic. As we scroll down it, looking for something familiar, we seem to be scrolling into another self – one we recognise but cannot place. The co-ordinates are missing, or the co-ordinates pinpoint us outside the limits of our existence. [...] These lives of ours that press in on us must be heard.” (PB 103)

Winterson’s original metaphors point to the multiplicity of selves which the freedom offered by information technology helps us discover:

“We are our own oral history. A living memoir of time.

Time is downloaded into our bodies. We contain it. Not only time past and time future, but time without end. We think of ourselves as close and finite, when we are multiple and infinite.” (PB 103)

The plot of *The.PowerBook* was considered by critics fairly unoriginal, drawing heavily on previous novels, also based on the romantic involvement between the narrator and a married woman, but Winterson’s books always contain much more than the basic plot and readers are often in awe at the author’s seemingly effortless style that makes even the simplest love affair seem so poignant. With each story a new journey begins, although the protagonists are the same, each time in a different disguise. As Ali/x keeps typing on the “night screen”: “I keep telling this story – different people, different places, different times – but always you, always me, always this story, because a story is a tightrope between two worlds” (PB 119). In this particular case, Winterson’s inspired choice of stories, marked by a desire to cross all boundaries, lends the novel a surprisingly modern razor-sharp realistic edge. Ali/x, the lightly autobiographical hero of *The.PowerBook*, when asked about a work in progress, seems to voice, in the following dialogue, Winterson’s fundamental interest pertaining to fiction writing:

‘What kind of things do you write? “Fiction, mostly. “Stuff you make up?’ ‘Yes.’ [...]

‘What brings you to Paris?’ A story I’m writing.’

‘Is it about Paris? ‘No, but Paris is in it.’ ‘What is it about? “Boundaries. Desire.’

‘What are your other books about? “Boundaries. Desire. “Can’t you write about something else? “No.’ (PB 35)

Winterson is fascinated with fragments, and, as Brian Bouldrey (2000) claims, there are, in her work, “infinite combinations of reassembled patchwork tales to be constructed, with never a dull moment. *The.PowerBook* is one such assemblage”, whose shape-shifting narrator states that “[t]he mosaic of the past is a fragment – a bit of colored glass, a corner of tile – but the present is no more complete. The paint is fresher, that’s all.” (PB 87) One of the characters in the first story of *The.PowerBook*, the Captain, is, as Kellaway¹⁹ (2000) points out, “a master of virtual reality before its time and there is something uplifting and moving about the lightness of his speech”:

“You will live in this world as though it is real, until it is no longer real, and then you will know, as I do, that all your adventures and all your possessions, and all your losses, and what you have loved – this gold, this bread, the green glass sea – were things you dreamed as surely as you dreamed of buffalo and watercress.” (PB 14)

Winterson views literary endeavours as attempts “to get to some truths about people’s lives, which by their very nature are myriad, fragmentary and kaleidoscopic” (Noakes&Reynolds, 2003: 19) and therefore employs, not only in

¹⁹ Kellaway, K. (2000). “She’s got the power”. *The Observer*, Sunday, August 27, 2000. Available: <http://books.guardian.co.uk/print/>

The.PowerBook but in all her novels, what Ali calls “[t]his Talmudic layering of story on story, map on map”, which “multiplies possibilities” and, at the same time, issues a warning about “the weight of accumulation” (PB 54):

“The stories are maps. Maps of journeys that have been made and might have been made. A Marco Polo route through territory real and imagined. [...] I live in one world – material, seeming-solid - and the weight of that is quite enough. The other worlds I can reach need to keep their lightness and their speed of light. What I carry back from those worlds to my world is another chance.” (PB 53-54)

Onega shows that the linearity of the hero’s quest is replaced, in *The.PowerBook* by “the internet principle”, the main narrative line detailing the relationship between Ali/x and Tulip branches out into “a web of thematically related stories that can be accessed, interacted upon, abandoned and reopened by narrator and narratee, as if they were links in a hypertextual network”. It is only a natural consequence of this particular structure that *The.PowerBook* displays the “apparent fragmentariness, inconclusiveness and chaotic arrangement” characteristic of hypertextual narratives (Onega, 2006: 182-183).

The.PowerBook may not read like a complete novel, but it is, however, a very imaginative book set upon an interesting premise: to explore the apparently endless possibilities of story-telling in cyberspace, a medium that allows you to enter a world where the boundaries of age, sex, and physical appearance are inexistent, a virtual world in which you may be whoever you want to be, your new identity is awaiting down there, at your fingertips. The ambiguity preserved throughout the novel is two-fold: not only in as far as the narrator’s identity coordinates are concerned, but also pertaining to the “reality” of the narrator’s encounters with the married woman – do the meetings take place in Paris, Capri and London, or just in their cyber-space namesakes? Winterson is aware of the dangers involved in playing with and on the Net:

“The potential for trouble is high, [b]ut also I think the sense of the expanding self is exciting, the thought that you’re not locked into the way you look, the way you talk, your social position, even your gender. You can play with all those things in a way that can be quite liberating.”²⁰

So this is exactly what she does in *The.PowerBook* by allowing the narrator to conceal the various identity layers, and enjoy the freedom behind the electronic screen:

““Who are you ?” “Call me Ali.” “Is that your real name ?” “Real enough.” “Male or female ?” “Does it matter ?” “It’s a co-ordinate.” “This is a virtual world.”” (PB 26)

This dialogue is symptomatic for the cyberspace interaction characteristic of post-modern communication. Contemporary society is now speeding up the high-tech information highway on which rambling selves scatter and disperse,

²⁰ www.jeanettewinterson.com

attempting to communicate in cyberspace, at the expense of experiences of belonging and feeling, as Ali/x herself realised:

“I felt as if I had blundered into someone else’s life by chance, discovered I wanted to stay, then blundered back into my own, without a clue, a hint, or a way of finishing the story.” (PB 58-59)

“The trouble is that in imagination anything can be perfect. Downloaded into real life, it was messy. She was messy. I was messy. I blamed myself. I had wanted to be caught.” (PB 46)

With each touch of the keyboard, I constitute myself as a self; with my imagination, I create you. Thus, you and I are, respectively, spectator and spectacle to one another, seeing, however, only a simulacrum, only what the other allows us to see. Neither one of us can escape suspicion of pretence (see Denzin, 1995: 46). The technological other is everywhere and nowhere, and the individual is, simply, a data packet that the computer can process:

“Here I am like a penitent in a confessional. I want to tell you how I feel, but there’s nobody on the other side of the screen. What did I expect?

I’m looking for something, it’s true.

I’m looking for the meaning inside the data.” (PB 63)

Winterson clearly favours innovative ways of writing, both in content and in form, and in line with the writer’s clearly stated desire to write “21st century fiction”, the title of *The PowerBook* and its “icon-splattered format” are “borrowed from the vernacular of information technology”²¹:

“In a new century we need new ways of looking at familiar things – that’s the only way we make them ours, otherwise they’re just borrowed and soon become clichés. I’ve used all kinds of devices to keep asking the big questions and to defamiliarise what’s important but in danger of becoming stale. The shape of the book, its structure, its language, is a different way of working.”²²

As Jane Dickson (2000) argues, “[t]his yields some original imagery: time is something we “download” into our bodies; life is a series of “windows” which we may or may not open”. By employing computer imagery and e-mail as the narrative medium, Winterson managed to give a definite cyber-feel to her novel, and was thus able to connect the various individual stories that come and go like flashes of lightning, knitting them together in a network whose nodes are either the themes common to some stories, or their protagonists as different embodiments of one and the same narrator.

However, critics such as David Galef²³ (2000) consider that “[d]espite the the computer-age title, the novel’s best parts are grounded in real characters and

²¹ Dickson, E. J. (2000). “Dot.com dominatrix – She’s wonderful at close-focus fiction, so why insist on being mistress of the entire virtual universe?” *The Independent*, September 2, 2000. Available: <http://enjoyment.independent.co.uk/books/reviews/>

²² www.jeanettewinterson.com

²³ Galef, D. (2000). “Books in Brief: Fiction” *The New York Times*, November 19, 2000. Available: <http://query.nytimes.com/gst/fullpage.html>

places". Having preserved, nonetheless, a rather traditionalist streak, Winterson could not have fully embraced "the new technological world-order", so, once she has found "an excuse to tell her stories", form becomes "largely window-dressing", and *The PowerBook* "turns out to be reassuringly (and in some respects, disappointingly) old-fashioned"²⁴. But how could it have been otherwise since, as everybody knows, the demands of printed literature differ greatly from the possibilities offered by computer technology? So, in spite of Winterson's treading on the new cyber-ground,

"[t]he computer is, for her, a conceit, an invitation to explore, a way of making narratives come and go faster than the speed of light. It never holds her up or back. [...] Computers are fickle and provisional: suited, perhaps, to the telling of love stories" (Kellaway, 2000)²⁵.

At her first attempt to explore the storytelling potentialities of The Internet, Winterson rendered beautifully the shifts of identity and the altered narrative threads to be found behind the electronic screen, and even though she partially misleads her audience into expecting a veritable print version of an e-book, a display of the newest breakthroughs in computer technology, the readers should not hold it against her: after all, "art is as unpredictable as life"²⁶, so we usually end up getting something radically different from what we expected.

And probably, after all, Jeanette Winterson took the language of computers lightly because her aim was not to write the equivalent of an e-book, a groundbreaking hypernovel in print, but rather to use her sheer inventiveness, her vivid imagination, and, through the very lack of connectivity among her stories the critics have complained about, to point out the paramount importance of links, connections, relations, and relationships, and to show that they are all within reach, if we only learn how to use the magical power of narrative, and the drawing power of love, the two instruments that can help us fashion a unified worldview out of the disparate fragmentary experiences characteristic of postmodern existence. Winterson's choice of an e-writing narrator who spins one yarn after another, thus creating a web of possibilities deprives the novel of its unity, splits the narrative discourse and disorders it. In an age of multiplicity and fragmentation, where unity is perceived as either undesirable or utopian, this collection of fragmentary little narratives, this unstable mix of cover-versions and personal histories drawing on legends, myths, fairy-tales, historical as well as autobiographical instances may come as a timely warning, urging us to pick up the pieces of our lives and make the most of them.

Hypertext literature creates and maintains the illusion that life and fate **are** controllable and can be **kept** under control, that in this fragmented, chaotic world of ours, the post-modern individual could shape his or her destiny. Readers of hypertext can indulge in dreams and fantasies populated with representations of work, family,

²⁴ The *Complete Review's Review* (2000). Available: <http://www.complete-review.com/>

²⁵ Kellaway, K. (2000). "She's got the power". *The Observer*, Sunday, August 27, 2000. Available: <http://books.guardian.co.uk/print/>

²⁶ The *Complete Review's Review* (2000). Available: <http://www.complete-review.com/>

marriage, intimacy, friendship, desire, sexuality, etc., representations they can create to their liking, and change at the slightest whim, thus compelling the world to fall in line with their own desires. The world in cyberspace is theirs to mould, the self can be created and re-created over and again. This is a process of self-construction, of self-composition. A technique which is structurally empowering: readers of hypertext literature can put together the stories in various ways, and discover their significance.

“I was typing on my laptop, trying to move this story on, trying to avoid endings, trying to collide the real and the imaginary worlds, trying to be sure which is which.” (PB 93)

Hypertext favours the avoidance of closure, given the uncertainty of the cyberspace environment, where things may seem real, although they are not, and the boundaries between the actual world and the possible world created by Internet users are shifting rather than fixed:

“The more I write, the more I discover that the partition between the real and the invented is as thin as a wall in a cheap hotel room. [...]When I sit at my computer, I accept that the virtual worlds I find there parallel my own. I talk to people whose identity I cannot prove. I disappear into a web of co-ordinates that we say will change the world.” (PB 93-94)

The critics who protested against what they labelled as “trite” and “unsurprising” comments on the nature of communication in virtual reality, on the shift in identity, on the blurring boundaries between the real and the invented, probably forgot that the primary aim of a work of art, and implicitly, of a literary work, is to delight rather than to inform, is to help us enter the aesthetic rather than the scientific realm. Of course, what Winterson says about computers is by no means new, but her choice of words, her inspiring metaphors and the way in which they all relate to and function within the fictional work are definitely innovative and unique:

“This is a virtual world. This is a world inventing itself. Daily, new landmasses form and then submerge. New continents of thought break off from the mainland. Some benefit from a trade wind, some sink without trace. Others are like Atlantis – fabulous, talked about, but never found.” (PB 63)

With each additional reading of a hypernovel a new world of experience, with its own logic, becomes accessible. But each story in itself is always a one-dimensional construction, never the real story, just one of the many possible combinations selected by the reader. Each variant represents only one possible experience, filtered in the very process of its verbal formulation by the author, and open to multiple interpretations. This may mean that the freedom that hypertext claims to offer is limited, and therefore the novel is in no real danger of extinction, as some theorists hastily predicted. When asked whether having a Web presence, ever since the publication of *The.PowerBook*, when her website was launched, changed her attitude to writing, Winterson replied:

“I don’t think technology can change your attitude. I think it’s simply something that you use or not, depending on where you live in the world and how

you live in the world. [...] I don't care if books end up being electronic, or they end up being as they are now, paper between covers. What matters is what's in them, and not necessarily the form they take." (Noakes&Reynolds, 2003: 28)

Even a novel that borrows the dispersed structure of hypertexts, like *The PowerBook*, displays, on careful inspection, a certain type of unity and coherence. Permeated by savvy metaphors and "aphoristic fragments" concerning the nature of truth, love, history and time, shows Turner²⁷ (2000), *The PowerBook* functions as "a structure bonded by language", and those familiar with Winterson's style cannot fail to notice this, since they already know that the self-consistency of a fully realised literary work "is only superficially to do with theme or story or character link. [...] the relationships within the book itself are relationships of language" (AO 170). Winterson herself states her deep-seated beliefs in the importance of the reading process, which lies in the printed book, the only medium which, unlike television, cinema, the theatre and the Internet, allows for "a direct connection between reader and writer". Reading is something that you "do privately, silently, no one can see what you're doing, you're not sharing the experience and that does make it peculiarly intimate." This kind of intimacy is of paramount importance "in a world where people have very little private time and space now" especially because it "sets up a virtual world of your own" (Noakes&Reynolds, 2003: 14-15).

In conclusion, Winterson did not aim to write an e-book proper, and her use of IT terminology, imagery and analogy is to be seen as a structural, metaphorical and novel technique to be judged not just at face-value, but at a deeper level of textual analysis. Winterson's fictional universe, which constructs browsing the Net as a promise of ultimate freedom, pointing to the hyper-connectivity that defines the Internet, is characterised by evolution and constant re-creation: the unfolding of events and the articulation of meaning depend on the creative potential displayed by the readers. And since, as Iser argues, the literary status of a work should be granted, primarily, function of the challenges it poses for the readers, by not only allowing, but actually urging them to make their own judgments of issues, characters and events, Winterson's novel, despite the critics' difficulty of pigeonholing it, has, in this respect, definitely proven its literary quality.

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1900. COCAINE: “COCO”, “LA REINE DE MONTMARTRE”

ANDRADA FĂTU-TUTOVEANU♦

ABSTRACT. *1900. Cocaine: “Coco”, “la reine de Montmartre”.* The present study analyses the part cocaine has played in the last decades of the 19th century (and especially at the *turn of the century*) in the both cultural and scientific environments, allowing the latter to develop one last illusion regarding the discovery of a panacea. As in many other previous cases, scientists believed cocaine to be a potential all-cure, a solution for all sufferance, either physical or spiritual (*l’ennui, le mal de siècle*). As opium and its derivatives had previously shown their dangers and addictive aspect, cocaine represented in the last decades of the century the favourite alternative, as a medicine as well as a hallucinogen, (under various forms, from medical wine, such as the famous *Mariani Wine* to the well-known white powder, “la neige”) before the interference of legal prohibition.

Key Words: cocaine, 19th century, panacea, opium, medicine, hallucinogens

The end of the 19th century (the so-called *fin de siècle*) was a strongly individualized cultural period, as it was characterized by an intense feeling of crisis and despair and even a form of revelation of *Götterdämmerung*, the end of a civilization. Drugs, and especially opiates, played an important part in this life of decadent beauty, providing it with the means of escape into a passive “artificial paradise” and adding to the aesthetics of the *fin de siècle* a characteristic note. Drugs have also represented a kind of a last illusion of science, that of finding a panacea, a cure against all illnesses: this was actually a surviving obsession, that the 19th century had inherited from what we can call an older “witchcraft paradigm”¹ (a magical vision on phenomena). As the turn of the century (perceived as *fin de siècle, fin de race, fin de monde*) was getting closer, the medical world was more and more anxious to find such a potion for alleviating its entire sufferance, figurative or real (the drug itself having ambivalent dimensions, between remedy and hallucinogen).

The material representation of this last illusion of the 19th century at its end was cocaine, as it seemed to actually possess the “gifts” of the much-desired panacea. In the beginning (1880-1890), its pharmaceutical but also hallucinogen qualities had appeared as a benign counterpart to now more obvious dangerous morphine, an opiate “plague”. The scientists were hoping to substitute morphine by the new substance, which was promising with respect to the absence of side effects. This is one more proof that researchers were still expecting a miracle (from the

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¹ See also Andrada Fătu-Tutoveanu, “The “*Infernal Chemistry*” of the 19th Century. The Opiates between the *Witchcraft Paradigm* and the Development of Modern Toxicology”, *Echinox Notebooks*, Issue 12 (2007): 322-333

newly born toxicology and modern chemistry), in a different form of the myth of "salvation". Actually, what happened there and what we can call, in reference to the drug, an "infernal chemistry" was the price scientists paid for the dangerous experiments they did during this "age of innocence" (the 19th century).

Cocaine represented a new source of enthusiasm for the medical and cultural/artistic environments from the end of the 19th century, after many decades of almost exclusive focus on opiates (this was after all the century of *opium* and its derivatives, morphine and heroin). The new substance was in its turn perceived as a panacea: "cocaine helps alleviating pain, it seems therefore destined to see the same gratified days as opium and morphine. [...] Substances that can treat pain - precisely because of this privileged (in the mind) characteristic - had their use rapidly expanded. Opium has therefore entered in the composition of veritable panacea among which the famous «thériaque». The same thing has happened with cocaine."

Although isolated in the 1850s² (almost simultaneously with the invention of the hypodermic syringe, so important for the expansion of morphine), cocaine was particularly used starting with the 1880s, after the observation of good results it had offered in the anesthesia of the eye during surgery. Its glory attained an important level during the 1890s-1900s and even after it, for approximately another decade. The tincture from the plant of *coca* was currently being used in medicine after 1870. But the progress chemistry research registered at the end of the 19th century made possible a large scale production [...] making possible new forms of use. [...] The absence of legislative papers regarding cocaine obviously must have been of great help in its expanded use" (Richard 14). Beyond its surgical use cocaine would soon become of great interest for many categories of individuals and for various reasons - as a stimulant for intellectual activities, as a remedy (for an incredible variety of problems, from anemia, catarrh³ to various pains) and, of course, as a hallucinogen. "We know the fact that German psychiatrists and even Freud himself have played a first hand role in emphasizing these qualities." (Richard 12)

Cocaine has attained (as opiates had before) in the 1880s-1900 an aura of a magic potion, a universal cure. One of its most famous representations in this respect is probably the "Mariani Wine" (a combination of alcohol and cocaine [!], fabricated in the already established tradition (in that period) of "medical wines", whose content of alcohol was contributing to the toxic effects of the other narcotic substances used.

² In 1855, the chemist Gaedcke had obtained, through the distillation of an extract from leaves of *coca* crystals from a substance subsequently called *erythroxiline*. A scientist brings to Vienna some years later leaves of *coca*. Using it, Albert Niemann, a disciple of the chemist Wöhler, isolates cocaine in 1862. The alkaloid formula is discovered three years later by another colleague of his, Wilhelm Lossen. Although other substances are obtained as well, cocaine remains the only one to interest the specialist because of its powerful psychotropic qualities. See also Richard p. 12

³ "Inflammation of any mucous membrane, especially of the nose and throat, with increased production of mucus", see *The Free Dictionary by Farlex*, <http://encyclopedia.farlex.com/Catar>

Invented by Charles Fauvel, a physician and Angelo Mariani, a pharmacist, this “wine” has benefited from an entire advertisement “campaign”, the commercial aspect prevailing before the therapeutic one, especially as the “product” implied addiction. Although just one of many other products (around 150) and not much different from them, the Mariani Wine was very much present in the press due to its creator’s abilities to promote it. He publishes an “Album Mariani” (in 1881, followed by other issues), comprising a collection of recommendations and positive references about the “Wine”, given by personalities (Edison, Jules Verne, Emile Zola, Gounod, The Prince of Wales, even Pope Leon the 13th, who awards a medal to the cure), followed by a collection of postcards, posters etc.

Mariani’s immense success is part of the larger *furor* we have already mentioned in search of the universal panacea. Awarded by the Medical Academy in Paris, mentioned in the 1884 Codex, the medicine developed even stronger variants (the Mariani Elixir, cocaine pills and infusions). The pharmacist was “surrounding his production with an aura of mystery, himself cultivating an image of “benefactor” of human kind, who dedicates to the plant of *coca* all his existence and his work of research. Mortimer did not hesitate in proclaiming him [Mariani], a kind of ‘Merlin the Wizard’ of modern times” (Richard 12)

Another type of medical error (in the context of a discipline in search of benignant therapeutic solutions and particularly predispose to experiments, successful or not) belongs to a similar fact in the history of opiates, when the recently discovered heroin (in the 1870s) was being used enthusiastically in the treatment of morphine addiction, although the two were both opiates. The same thing happened to cocaine, especially as it had different roots (*coca*, not *opium*), seemingly benign, whose effect was to abolish the physiological need (of the addicted patients) for morphine. “This *iatrogenesis*⁴ often takes place in two stages: cocaine was prescribed against the effects of morphine, which had itself been used to fight a painful illness” (Yvorel 159). Eventually, stopping the ingestion of this new substance has shown the fact that a new addiction had commenced, with stronger effects (a small dose could prove lethal): “one thousand times more sinister”⁵. Still, the sensations induced by cocaine and its force as a hallucinogen make it attractive in the cultural context of a the turn of the century, a world which was assuming an exhausted, decadent image and was in a constant search for “hard” remedies to boredom (*l’ennui, le spleen*): “«pure» cocaine

⁴ “The terms *iatrogenesis* and *iatrogenic artifact* refer to adverse effects or complications caused by or resulting from medical treatment or advice. In addition to harmful consequences of actions by physicians, iatrogenesis can also refer to actions by other healthcare professionals, such as psychologists, therapists, pharmacists, nurses, dentists, and others. Iatrogenesis is not restricted to conventional medicine and can also result from complementary and alternative medicine treatments”, see “Iatrogenesis” *Wikipedia: The Free Encyclopedia*. 5 June 2008 <http://en.wikipedia.org/wiki/Iatrogenesis>

⁵ Erlennmeyer, quoted by Jean-Jacques Yvorel, p.158

addiction – Jean-Jacques Yvorel asserted – in which the hypodermic method⁶ is replaced with the nasal one, appeared in the medical papers, at least, at the end of the century” (Yvorel 158). The “underground” world (as the Montmartre “society”, in Paris) falls easily in the attractive “trap” of the drug, as it was so easy to use (it did not need painful instruments or syringes) and had such strong stimulation and hallucinogenic effects. Therefore, cocaine became a favourite drug for the moment 1900, the last *bolgia* of the 19th century drugs. Between its “boom” in the last decades of the century and the promulgation of the first law, in 1916 (limiting its use), cocaine reigned over the first decade of the new century, *La Belle Epoque*, conquering ‘*les années folles*’ and surrealism, but still it is no less a 1900 drug *par excellence*. Cocaine broke through all social levels⁷, famous places being in this respect particularly Montmartre and Le Cartier Latin, because of its “*coco parties*, its *respirettes*”⁸. [...] The old times cocaine had a typical and complex kit of instruments on sale [...] in the expensive stores: a miniature ivory, wooden or bone spatula, a stick similar to a pick and filigree little box⁹ destined for the precious drug. The powder was being ‘sniffed’ as well as tobacco, a simple practice, discreet, with no scent, all these factors making possible its use at a large scale in society. [...] Morphine implied the use of a hypodermic syringe [...], was more expensive and the sensations were not as intense” (Richard 21-22). Due to its qualities as a stimulant, “*la neige*” gains the reputation of being also an aphrodisiac, a new phantasm of its admirers. It was believed that it was intensifying the “ardour” of women, but diminishing that of men, which led to the idea that young girls ‘coco’ enthusiasts were voluntarily scarifying themselves to Sapphic practices” (Richard 22). The years of glory reach the 20th century and have extensions in literature (Proust evoked, for instance, “*la neige*” in *La recherche...*¹⁰). Literary echoes were actually present since the previous decades: *Dr. Jeckyll and Mr. Hyde*, written during three days of treatment with cocaine or Sherlock Holmes, a fervent user of hallucinogens (morphine and cocaine, the first hand choices of the

⁶ In 1853 the hypodermic syringe (invented by Charles Gabriel Pravaz) was invented and from this moment on would be largely used in the morphine treatment

⁷ See also de Liedekerke, on cocaine

⁸ In its white powder variant, cocaine (*la «neige»*), nasally sniffed, is particularly used during the *fin de siècle* period. The term *respirettes* refers to this form of using the drug and to the parties involving it. See also Richard 20:

⁹ *Ouvragée* in the original

¹⁰ «Par hasard j’avais rencontré dans la rue, il y avait quatre ou cinq ans, la vicomtesse de Saint-Fiacre (belle-fille de l’amie des Guermantes). Ses traits sculpturaux semblaient lui assurer une jeunesse éternelle. D’ailleurs, elle était encore jeune. Or je ne pus, malgré ses sourires et ses bonjours, la reconnaître en une dame aux traits tellement déchiquetés que la ligne du visage n’était pas restituable. C’est que depuis trois ans elle prenait de la *cocaïne* et d’autres drogues [s.n.]. Ses yeux, profondément cernés de noir, étaient presque hagards. Sa bouche avait un rictus étrange». Marcel Proust, *À la recherche du temps perdu*. XV. Le temps retrouvé, Deuxième partie, BeQ (Cette édition numérisée - <http://jydupuis.apinc.org/Proust/Proust-15.pdf> - reprend le texte de l’édition Gallimard, Paris, 1946-47, en 15 volumes), p. 139

time). With the beginning of the 20th century first forms of legal prohibition and so the previous decades gain a kind of typical aura, of freedom and decadence.

Comparatively with the withdrawal symptoms of opiates, alcohol or other addictive substances produce, those related to cocaine are less obvious. This was also a reason for the initial belief that it did not involve this type of side effects. Yet, it implies a deep state of depression and a very strong need for the substance. Edward M. Brecher associates these symptoms with those experienced by the addicted to tobacco more than with those related to opiates or alcohol, which are more obvious.¹¹ The same thing happens when we refer to the psychosis, characteristic to cocaine, which appears even when the substance is taken *continuously*, while the withdrawal symptoms and the *delirium tremens* appear (in the use of opiates or alcoholism) after a few hours of days without the addictive substance¹². Actually, during the time, opiates and cocaine have been not only in a kind of competition, but even associated, as there have been attempts of creating mixtures between morphine/heroin and cocaine¹³ in order to make the sensation more intense or to calm the reaction overdoses of pure cocaine had produced. Prohibition appears in the second decade of the 20th century and cocaine falls under the law, as a narcotic, from now on the accent in relation to the drug being moved from cultural/ scientific to social realities.

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¹¹ See Edward M. Brecher, “The Consumers Union Report on Licit and Illicit Drugs. 35. Cocaine”, *Schaffer Library of Drug Policy*, <http://www.druglibrary.org/schaffer/library/studies/cu/CU35.html>

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¹³ Also called “speedball” by the Anglo-Americans

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EIN BEITRAG ZUR GESCHICHTE DER ROMANISTIK – DIE ȘCOALA LINGVISTICĂ DIN CLUJ. VON DER ȘCOALA ARDELEANĂ BIS CONSTANTIN LACEA.

RUDOLF WINDISCH*

ABSTRACT. These pages focus on the Romanian linguistic research of the 19th century, especially on the period known as the School of Transylvania. We aim to present - especially to the German readers - the most important aspects of the Romanian linguistics. The beginnings of the linguistic school of Cluj are linked to the name of Sextil Pușcariu. Sextil Pușcariu's activity as well as that of the research institute he has created had a considerable influence even on German scholars of Romanistics.

Key words: romanistics, Romanian linguistics, Sextil Pușcariu

Den Hinweis auf eine rumänische kultur- und sprachwissenschaftliche „Schule“ verbindet man gewöhnlich mit dem Namen der *Școala ardeleană*, der „Siebenbürgischen Schule“. Darunter versteht man in der rumänischen Kulturgeschichte die Zeit der drei großen Philologen, Theologen oder auch Philosophen, je nach persönlicher Ausrichtung, nämlich Gheorghe ȘINCAI, Samuel Micu-KLAIN, Petru MAIOR sowie den Schreiber einer zeitkritischen Volksballade, Ion BUDAI DELEANU, alle aus Siebenbürgen. Es war eine national ausgerichtete akademische Bewegung, die im Übergang vom 18. zum 19. Jahrhundert durch qualifizierte wissenschaftliche Arbeiten aus rumänischer Feder (Grammatik der rumänischen Sprache; rumänische Sprachgeschichte, Normierung der rumänischen Schriftsprache (cf. CĂLINESCU 1982), Geschichte Rumäniens, Streben nach ethnisch-nationaler Identität) einen wesentlichen Beitrag zum nationalen Selbstbewusstsein der Rumänen im Zuge der (fast verspäteten) Aufklärung nach westeuropäischem Vorbild unter der habsburgischen Herrschaft zu leisten vermochte. Auf weitere Persönlichkeiten, die zu dieser „Siebenbürgischen Schule“ gerechnet werden, auf die wichtigsten Arbeiten, die als Grundsteine für diese nationale Selbstbestimmung zu bewerten sind, kann hier nicht eingegangen werden. Die Entwicklung und Formulierung der durch die philologischen, historischen und theologischen Arbeiten der Vertreter dieser Schule gleichsam wissenschaftlich untermauerten Nachweise einer nationalen Identität einschließlich der einklagbaren politischen Rechte nach einer lange ertragenen Benachteiligung unter den dominanten „ständischen Nationen“ der Ungarn, Siebenbürger Sachsen und der Szekler, kann hier nur mit Verweis auf die wichtigste Literatur angedeutet werden (cf. KÖPECZI 1990; PASCU-ȘTEFĂNESCU 1987; ROTH 2003).

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Im Folgenden sollen – in Anlehnung an die politisch-historische Bedeutung dieser ersten „siebenbürgischen Schule“ – für den Zeitraum der 2. Hälfte des 19. bis in die Nachkriegszeit, Mitte des 20. Jahrhunderts, die wichtigsten Vertreter einer bevorzugt philologisch-sprachwissenschaftlich ausgerichteten Schule unter dem Namen „Școala lingvistică din Cluj“ vorgestellt werden. Diese Bezeichnung haben wir bewusst in Anlehnung an jene *Școala ardeleană* gewählt. Selbstverständlich war sie nicht – zumindest nicht bis zum Beginn des Zweiten Weltkriegs – wie jene *Școala ardeleană* in eine von politischen Fährnissen bedrohte Zeit eingebunden und verstand ihre Arbeiten von daher auch nicht als Beitrag zur Findung einer nationalen oder politischen Identität. Sie fühlte sich in aller Regel den Prinzipien einer strengen philologisch-sprachwissenschaftlichen Methodik verpflichtet, deren Prinzipien teilweise noch der junggrammatischen bzw. historisch-vergleichenden Sprachwissenschaft des ausgehenden 19. Jahrhunderts entlehnt waren.

Der Gründungsvater dieser linguistischen Schule, die in Rumänien unter dem Namen *Muzeul limbii române* bekannt wurde, war Sextil PUȘCARIU (1877-1948). Als *Muzeul* hatte er Ende 1919 ein Forschungsinstitut an der Universität Cluj eingerichtet, das es sich – laut seinen Statuten – zur Aufgabe gestellt hatte, „den Wortschatz des Rumänischen aller Zeiten und aller von Rumänen bewohnten Gebiete zu sammeln und wissenschaftlich zu bearbeiten (...)“ (cf. www.google/wikipedia). Die Umsetzung dieser Vorgabe verlangte als Hauptaufgabe die Ausarbeitung eines Thesaurus des rumänischen Wortschatzes, des *Dicționarul limbii române*. Diese Aufgabe hatte die rumänische Akademie PUȘCARIU 1906 übertragen. Von Pușcariu dürfte letztlich der Plan eines rumänischen Sprachatlasses, des *Atlasul lingvistic român* stammen. Möglicherweise sollte dieser neue *Atlasul* den noch frischen rumänischen Sprachatlas von WEIGAND (cf. WEIGAND 1909) nicht nur wegen unbestreitbarer Ansatzpunkte zur Kritik, vielleicht auch aus einem Anflug von nationalem Ehrgefühl heraus – ein Ausländer führt, allein, ein Projekt durch, das eigentlich unsere Aufgabe ist – neu in Angriff genommen werden?

In jedem Fall war es dem Gründer des *Muzeul limbii române* bewusst, dass die Arbeiten an beiden Forschungsvorhaben sich langwierig und umfangreich gestalten würden und nur mit einer Gruppe qualifizierter Mitarbeiter zu bewerkstelligen waren. Im Folgenden möchte ich die bekanntesten Persönlichkeiten sowie die wichtigsten Arbeiten, chronologisch geordnet, unter dem Etikett „Școala lingvistică din Cluj“, also „Klausenburger Linguistenschule“, für ein deutsches Publikum auflisten und ihnen eine (späte) Würdigung zukommen lassen. Natürlich wird man eine solche Einstellung nicht gerade als ein originelles Kriterium für eine wissenschaftsgeschichtliche Übersicht bezeichnen, ein besseres als eine Art bio-bibliographische Auflistung war für eine solche Kurzfassung aber nicht zu finden; im übrigen bin ich – wie im folgenden leicht zu erkennen ist – der schönen Vorlage von Dimitrie MACREA (cf. MACREA 1978) auf weiten Strecken gefolgt – dieser Hinweis als *captatio benevolentiae* für eine deutsche Zielgruppe dieses Beitrags, vielleicht sogar für Romanisten, die im Rumänischen

weniger geübt sind, als dass sie der Darstellung bei Dimitrie MACREA ohne Schwierigkeiten folgen könnten. Möglicherweise finden auch rumänische Leser noch den einen oder anderen Hinweis auf deutschsprachige Beiträge, wie etwa im *LRL III* (cf. *Allgemeine Bibliographie*), die in Rumänien weniger bekannt sind.

Zunächst soll der Begründer des *Muzeul limbii române*, Sextil PUȘCARIU, mit seinen wichtigsten Arbeiten genannt werden, während die übrigen Beiträger dann chronologisch, nach ihrem Geburtsdatum, aufgeführt sind:

- I. Sextil PUȘCARIU (1877-1948)
- II. Constantin LACEA (1875-1950)
- III. Theodor CAPIDAN (1879-1953)
- IV. Vasile BOGREA (1881-1926)
- V. George GIUGLEA (1884-1967)
- VI. Nicolae DRĂGANU (1884-1939)
- VII. Emil PETROVICI (1899-1968)
- VIII. Sever POP (1901-1961)

I. Sextil PUȘCARIU (1877-1948)

PUȘCARIU hat – wie auch unter den ‚westromanischen‘ Romanisten bekannt sein dürfte – fast alle Bereiche der traditionellen, vorwiegend historisch orientierten Sprachwissenschaft abgedeckt. Seine mehr als 500 Arbeiten belegen dies. In erster Linie sind die folgenden drei monumentalen Arbeiten zu nennen, deren Bearbeitung er angestoßen und tatkräftig vorangetrieben hat:

- *Dicționarul Academiei*
- *Atlasul Lingvistic Român*
- *Limba Română* vol. I, *Privire generală* (1940), vol. II: *Rostirea* (1959)

[„Die Aussprache“]

Keines der drei Projekte konnte PUȘCARIU zu Ende bringen. Ihr Umfang musste selbst die Schaffenskraft eines PUȘCARIU übersteigen: auch die bestens qualifizierten Mitarbeiter in dem von PUȘCARIU 1919 in Cluj gegründeten *Muzeul Limbii Române* konnten die Arbeit nicht zu Ende führen – was sicherlich nicht an ihrem mangelnden Arbeitseinsatz lag, sondern gerade auch durch äußere, verheerende Umstände, nämlich den Ausbruch des Zweiten Weltkriegs, verhindert wurde.

PUȘCARIU wurde 1877 in Brașov/ Kronstadt, Siebenbürgen, geboren und ist dort am 5. Mai 1948 gestorben. Er hatte frühe Kontakte mit der deutschen Sprache, Schulbesuch auf dem deutschen Honterus-Gymnasium in Kronstadt, dann, wie bekannt, Studien in Leipzig, wo er die Koryphäen der Zeit hören konnte: den Indogermanisten Karl BRUGMANN, den Slawisten August LESKIEN, den Phonetiker Eduard SIEVERS, den Völkerpsychologen Max WUNDT und als seinen einflussreichsten Lehrer, den Romanisten und Dialektologen Gustav WEIGAND, an dessen 1893 gegründetem „Institut für Rumänische Sprache“ PUȘCARIU als junger

Mitarbeiter einen ersten Beitrag mit dem Titel „Graiul de pe valea superioară a Oltului“ („Die Mundart des oberen Olt-Tales“) publizierte. Über die Leipziger Zeit PUȘCARIUS wurde in der romanistischen Fachliteratur bereits genug gesagt – wir erinnern hier lediglich an den für PUȘCARIUS Ausbildung entscheidenden Einfluss, den WEIGAND und die Leipziger akademische Umgebung auf ihn ausgeübt hatten; hinzu kommen noch die zwei Studienjahre, die er in Frankreich bei Gaston PARIS, Antoine THOMAS, Paul MEYER und auch bei dem großen Sprachgeographen, Jules GILLIÉRON verbrachte, schließlich noch in Wien, vor der für den Südosten Europas heimischen Haustür, mit den philologischen Erfahrungen, die er bei dem Slawisten Konstantin JIREČEK, Prag sammeln konnte, vor allem aber wieder bei einem der größten Romanisten der Zeit, bei Wilhelm MEYER-LÜBKE (damals noch in Wien), dem sich PUȘCARIU in seiner Arbeit wohl immer stärker verbunden fühlte. Damit ging er, in der Methodik der wissenschaftlichen Arbeit über seinen ersten Lehrer WEIGAND hinaus und konnte das bei jenem Erlernte ergänzen, erweitern, vor allem über die bei WEIGAND als hartes Handwerk erworbene Methodik der Dialektaufnahme, der noch vor GILLIÉRON'S *Atlas linguistique de la France* (ALF) den ersten romanischen Sprachatlas, eben den des Rumänischen, herausgegeben hatte. (WEIGAND 1909)

Diese Aufenthalte im Ausland, die Anregungen, die PUȘCARIU bei jenen Lehrern gewonnen hatte, haben seine junggrammatische Orientierung, den kompetenten Einsatz der historisch-vergleichenden Methodik, begünstigt; sie fielen auf den intellektuell längst vorbereiteten Boden des zukünftigen Linguisten, der sich dann von seinem Lehrer WEIGAND löste, ihn vielleicht auch in dieser oder jener Richtung überholte, in jedem Falle aber seine Forschung eigenständig zu neuen Höhepunkten führte. Dies gilt vor allem für seine Arbeiten zur rumänischen Sprachgeschichte und Lexikologie. Dass PUȘCARIU der Erforschung dieser ‚kleinen romanischen Sprache‘ im Rahmen der bereits aufgezählten Arbeiten einen Großteil seiner Schaffenskraft widmete, stellt keinen Widerspruch zu dieser positiven Bewertung dar, sondern erklärt sich im Gegenteil schlicht aus der Vertrautheit und dem Interesse für die eigene Muttersprache.

PUȘCARIU hatte von den Junggrammatikern als ein Arbeitsprinzip die rigorose Sammlung des Materials, der Elemente der gesprochenen Sprache gelernt, von Hugo SCHUCHARDT oder von Karl VOSSLER den grundsätzlichen Zweifel an der (vermeintlich) ‚ausnahmslosen‘ Wirksamkeit der (laut-)gesetzlichen Entwicklung der Sprache. Der Versuch, die Methodik anderer Disziplinen, etwa der ‚exakten‘ Naturwissenschaften, auf die Linguistik zu übertragen, war ihm fremd; in traditioneller Sichtweise umfasste der Komplex Sprache für ihn das physische Material selbst, die lautliche Substanz und ihre Anordnung in der konkreten Rede, den psychologischen Akt des Denkens sowie die Widerspiegelung sozialer Bedingungen des Sprechers in/mit seiner Sprache. PUȘCARIUS Arbeit, seine Forschungsbereiche, sind konkret auf das Sprachliche, genauer auf die gesprochene Sprache, auf die lebenden Dialekte ausgerichtet, womit er den Spuren eines Gustav WEIGAND oder Jules

GILLIÉRON folgte. Trotzdem zeichnet sich bei ihm bereits auch Neues ab, wenn man seinen ausgezeichneten, eigentlich bereits phonologischen Ausführungen, etwa in Band VI, 211-243 in der von ihm selbst gegründeten Fachzeitschrift „Dacoromania“ folgt, wo er sich bemüht, die Bedeutung des Lautlichen als einer akustischen und zugleich funktionalen Grundlage des Sprechens und der Sprache zu erweisen. Man darf sagen, dass er hier wichtige Prinzipien der Phonologie, die Nikolaj Sergejewitsch TRUBETZKOJ erst noch formulieren würde, bereits vorweggenommen hat.

Neben der funktionalen Sicht des Lautlichen belegt ein weiterer Aspekt die Bandbreite von PUȘCARIUS methodischer Orientierung und seiner inhaltlichen Perspektive, die schöpferische Rolle des sprachlichen Individuums und dessen Beitrag zur Sprachentwicklung: (MACREA 1978, p. 273) „Nu există subiect vorbitor, oricit de umil ar fi care să nu adauge la expresie uzuală o notă individuală“ – Worte, die an die idealistische Konzeption eines VOSSLER erinnern, der uns Sprechern eine künstlerische Fähigkeit zuspricht, wenn auch nur in höchst bescheidenem Ausmaße. Mit solcher Sichtweise bewegte sich PUȘCARIU einerseits im Rahmen der zeitgenössischen Diskussion zu Beginn des letzten Jahrhunderts, andererseits geht er über Positionen seiner Landsleute weit hinaus: hatte noch Ovid DENSUSIANU in seiner *Histoire de la langue roumaine* (1901-1938) die Möglichkeit des Nachweises, sagen wir auch der „Rekonstruktion“ oder Auflistung des vorrömischen thrako-dakischen Substrats des Rumänischen in Abrede gestellt, so ist es gerade PUȘCARIU, der die rumänische Sprachgeschichte im gemeinromanischen Kontext in maßgeblichem Umfang vorantrieb. Wichtige Beiträge zur Markierung der Substrat-Elemente, zur Frage nach der räumlichen Herkunft des Rumänischen und seiner vulgärlateinischen Grundlage, schließlich auch der Dauerbrenner der rumänischen Sprachgeschichte, die Polemik um die norddanubische Kontinuität und/ oder der süddanubischen Immigration, sind die Punkte, die er in zahlreichen Beiträgen behandelt und im ersten Band seiner umfangreichen, schönen *Limba Română* zu einer sprachgeschichtlich kohärenten Schau fügt. Zu erinnern ist hier an die kongeniale deutsche Übersetzung des ersten Bandes durch Heinrich KUEN, die das Original dem nicht rumänisch-sprachigen deutschen Leser in einer geradezu sympathischen Weise nahebringt.

PUȘCARIU hatte in diesem Zusammenhang mit dem Verweis auf die beiderseits der Donau, also auch im süddanubischen Raum gelegenen Bereiche einer früheren Latinität, die sprachgeschichtlichen Eckdaten vorgegeben, hinter die eine nach dem Kriege eher politisch ausgerichtete nationalistische Geschichtsschreibung in ihrer ideologischen Fixierung auf die exklusiv norddanubische Genese des Rumänischen zurückgefallen war (cf. KRAMER 1999/2000). Als Diskussionsgrundlage eignet sich noch immer PUȘCARIUS Hinweis auf die beiderseits der Donau gelegenen Bereiche der ehemaligen Latinität, was in der deutschen Rumänistik von Ernst GAMILLSCHEG und dann von dessen Schüler Günter REICHENKRON aufgegriffen wurde (cf. HOLTUS - RADTKE 1986). Diese Konzeption mehrerer (sprachlicher)

„Kerngebiete“ (cf. *Kerngebiete*, 1986; GAMILLSCHEG sieht auf Grundlage des rumänischen Sprachatlasses 3 solcher Kerngebiete (1) in Siebenbürgen/ in den Munții Apuseni, (2) zu beiden Ufern der unteren Donau, und (3) südlich der Donau in einem von Serben und Kroaten begrenzten Bereichs; so z.B. erklärt der rumän. *rărunchiu/rănunchiu* „Niere“ aus spätlat. REN+UNCULUS; in Gebiet (2) findet er die Form rum. *rinichiu* < REN+ICULUS; diese Teilung entspricht – so GAMILLSCHEG 1940, 1964 – der spätlat. dialektalen Abgrenzung von RENUNCULUS im Alpenromanischen/ Raetia und Noricum, RENICULUS dagegen dem Süden des Imperiums/ Sardinien, Gascogne usw. – eine Teilung, die sich somit im Rumänischen widerspiegelt) der provinzialrömischen Latinität war, soweit ich sehe, ohne größere Resonanz in der rumänischen Nachkriegsforschung geblieben. Man wird sich hier an jene lexikalischen Kerngebiete erinnern, für die folgende Beispiele stehen: lat. NIVES/ NIVEM ist erhalten in siebenbürgisch-rumän. *nea* „Schnee“, in Opposition zu normrumän. *zăpadă, păcurar* : *cioban* „Hirte“, *lard* : *slănină* „(fetter) Schinken oder *sudoare* : *nădușeală* „Schweiß“ usw. Hat man hier, aus politisch engstirnigen Motiven heraus, bloß um den Deutschen GAMILLSCHEG nicht zitieren zu müssen, leichtfertig auf eine sprachgeschichtlich diskutabile These verzichtet, weil sie mit der Nachkriegs-Ideologie nicht zu vereinbaren war? Leider hat es allzu lange gedauert, bis man in Rumänien wieder einen PUȘCARIU oder GAMILLSCHEG zitieren durfte. Das 1998 in Cluj durchgeführte Kolloquium zum 50. Todestag von PUȘCARIU konnte zweifellos dazu beigetragen, die Dinge, wenn auch mit einer gewissen Verklärung, die sich – allzu menschlich – gleichermaßen auf Gute wie Böse verteilt, wieder ins Lot zu rücken.

Das eingangs erwähnte *Muzeul Limbii Romane* war nach dem Kriege zunächst aufgelöst worden; bereits vor Kriegsende waren wichtige Mitglieder wie z.B. Nicolae DRĂGANU, auf den ich auch noch zu sprechen komme, ins Ausland gegangen, so auch Sever POP. Emil PETROVICI, einer der großen Schüler PUȘCARIUS, arbeitete zunächst an den Clujer Projekten weiter. Inzwischen war eine neue Generation von Philologen und Historikern angetreten, die auch linguistische Themen unter neuen Aspekten aufgriffen, so etwa, um nur einen Namen exemplarisch zu zitieren, Ion I. RUSSU. Als Indogermanist war er Spezialist für vorrömische Substrate des Rumänischen – und als Archäologe für das römische Heerwesen in der „Dacia felix Sarmizegetusa“ – hatte er in drei bemerkenswerten Monographien (RUSSU ²1967, 1970, 1981) – soweit sich dieses Thema mangels Masse überhaupt noch bearbeiten ließ – die Frage des rumänischen Substrats und seiner thrako-dakischen Herkunft bzw. Übereinstimmung mit dem Albanischen zu einem akzeptablen Abschluss gebracht. RUSSU hatte darüber hinaus mit wichtigen Beiträgen zur provinzialrömischen Archäologie, Numismatik und Epigraphik den Rahmen der historisch verwertbaren Funde aus der Dacia Trajana weiter abgerundet. In diesem Sinne darf ich RUSSU, auch wenn er über den eingangs abgegrenzten Zeitraum der Zwischenkriegszeit hinausreicht, nicht nur als Beispiel für eine Kontinuität der Klausenburger

Sprachgeschichtsschreibung und historischen Wissenschaft auch nach dem Kriege anführen, sondern auch als Beispiel dafür, dass sich Wissenschaftler wie I.I. RUSSU oder wie der berühmte Archäologe und Historiker Constantin DAICOVICIU (gest. 1972) ihre Forschungsbereiche und Themen, jenseits allzu simpler und rigider ideologischer Planerfüllungsvorschriften, in beachtlichem Umfang selbst abstecken konnten; auch ragten sie, wie manche andere, aufgrund ihrer umfassenden Ausbildung, die sie noch vor dem Krieg im Ausland erfuhren, aus dem nach 1945 ideologisch verordneten Mittelmaß heraus.

Werke von Sextil PUȘCARIU (in Auswahl):

- *Etymologisches Wörterbuch der rumänischen Sprache*, Teil I, *Lateinisches Element mit Berücksichtigung aller romanischen Sprachen*, Heidelberg, 1905.
- *Zur Rekonstruktion des Urrumänischen*, Halle, 1910
- (Mitherausgeber): *Dicționarul limbii române, literale A-C, F-L (lojniță)*, București, 1913-1948
- *Istoria literaturii române. Epoca veche*, Sibiu 1921, ³1936, Neuauflage 1987
- *Studii istroromâne*, vol. II, București, 1926, vol. I-III, 1906-1929
- Mitherausgeber: *Dicționarul tezaur al Academiei Române*
- Begründer/Mitherausgeber der Zeitschrift „Dacoromania“: *buletinul „Muzeului limbii române“*, Cluj, 1 (1919-1921) - 11 (1948)
- *Die Rumänische Sprache. Ihr Wesen und ihre volkliche Prägung (Limba Română*, București, 1940, Neuauflage 1976); Übersetzung von Heinrich Kuen, Leipzig, 1943; *Limba Română* vol. II: *Rostirea*, București, postum 1959 (in limitierter Auflage, „Numai pentru uz intern“, angeblich wegen Sprachkarten mit Verzeichnis der politischen Vorkriegsgrenzen? Neuauflage 1994)

Bibliographie zu Sextil Pușcariu

FAICIUC, Elisabeta: *Sextil Pușcariu (1877-1948)*, *Bibliografie*, Cluj 1998, ²2000

II. Constantin LACEA (1875 - 1950).

LACEA wurde in der deutschen Romanistik nie bekannt, nicht einmal erwähnt. Zusammen mit PUȘCARIU gehörte er zu den Mitbegründern des *Muzeul*. Auch war er einer der ersten Mitarbeiter am *Dicționarul Academiei*. Sicherlich hatte die Rumänische Akademie mit der Übertragung dieser Arbeit auf dieses Forscherteam eine glückliche Entscheidung getroffen. Ein solches *opus magnum* musste, wie sich am Beispiel des *Etymologicum Magnum Romaniae* (1886-1898) von Bogdan Petriceicu HASDEU, dem Vorläufer eines rumänischen Akademie-Wörterbuches, gezeigt hatte, die intellektuelle Arbeitskraft eines einzelnen Gelehrten bei weitem übersteigen. LACEA war zunächst, zwischen 1901 bis 1916 Gymnasialprofessor für Rumänisch, Französisch und Deutsch in seiner Heimatstadt Brașov; studiert hatte er Französisch und Deutsch in Budapest, dann in München, und schließlich, wie fast alle Klausenburger Linguisten, bei WEIGAND.

Bei ihm hatte er dann 1898 mit seinen „Cercetări asupra limbii ‚Vietii și petrecerii sființilor‘ a Mitropolitului Dosoftei“ („Untersuchungen zur Sprache über ‚Das Leben und die Feste der Heiligen‘ des Metropoliten Dosoftei“) promoviert. In Leipzig hat er – wie seine Landsleute – im Wesentlichen das methodologische Rüstzeug mitbekommen: strenge grammatikalische Analyse der Sprache der ältesten, weitgehend durch das (Kirchen-) Slawische beeinflussten rumänischen Texte und ihrer dialektalen Bestimmung. In der erwähnten Doktorarbeit nimmt die Erforschung des lexikalischen Bestandes einen breiten Raum ein: ein Glossar mit einer ausführlichen grammatikalischen Erklärung der einzelnen Elemente, auch mit einer Übertragung in das Deutsche, birgt auch heute noch verwertbare Ergebnisse.

Ein Thema, das gerade in den letzten Jahren – nicht nur innerhalb der Romanistik – besonderes Interesse geweckt hat, betrifft die Geschichte der „gesprochenen Sprache“, der *limba vorbită*. LACEA streift hier die Sprache des eben genannten moldauischen Metropoliten Dosoftei und dessen „Psaltirea în versuri“. Dieser „Psalter in Versform“ ist laut Ioan BIANU, einem der ersten Herausgeber der ältesten rumänischen Texte, in moldauischer Mundart geschrieben (allerdings bleibt fraglich, wieweit einem solchen hagiographischen und damit ‚elaborierten‘ Werk überhaupt das Kriterium „gesprochene Sprache“ zugeordnet werden kann). LACEA teilt diese Ansicht nicht, allerdings wird nicht deutlich, aus welchem Grunde. Weshalb ich diesen Punkt erwähne: eben weil LACEA hier – zumindest im Ansatz – die Frage nach dem möglichen Beitrag der „gesprochenen Sprache“ zur Normierung der Schriftsprache – wenn auch nur implizite – bereits aufwirft. LACEA hat sonst weder zum Rumänischen noch zur allgemeinen Sprachwissenschaft eine größere Abhandlung hinterlassen. Der Schwerpunkt seiner wissenschaftlichen Tätigkeit am *Muzeul* zwischen 1920 bis 1940 lag in der Bearbeitung des *Dicționarul*, in der „munca neobosită și plină de devotament depusă în slujba acestei opere de cel mai vechi colaborator al ei“ („in der unermüdlichen Arbeit, voller Hingabe im Dienst an diesem Werk durch den ältesten Mitarbeiter“), wie PUȘCARIU seinen Mitarbeiter LACEA lobt (apud MACREA 1978, S. 337, Anm. 3).

LACEA hat an den ersten Bänden zum *Dicționarul*, die im wesentlichen auf seine editorische Endfassung zurückgehen, durch Beachtung und Verfeinerung der lexikographischen Methodik, der lautgesetzlich-historischen Einzelforschung, der etymologischen Detailarbeit im Geiste der junggrammatischen Forschung, aber auch unter Berücksichtigung neuerer semantisch-semasiologischer Ansätze seines Landsmannes Lazăr ȘĂINEANU (alias SAINÉAN nach seiner Niederlassung in Frankreich) sowie der beiden großen Wegbereiter der allgemeinen Semantik, Arsène DARMSTETER und Michel Bréal, dem rumänischen Akademie-Wörterbuch einen den Wörterbüchern der westromanischen Sprachen vergleichbaren wissenschaftlich-akademischen Rang gesichert. Einen dritten Schwerpunkt in LACEAS Forschung fand interessanterweise das Deutsche (was mit Blick auf seinen Geburtsort Kronstadt/ Brașov für die damalige Zeit nicht unbedingt als eine ‚Überraschung‘ zu werten war): so hatte LACEA bereits 1904 auf Rumänisch ein *Manual de limba germană* geschrieben, das

zum Gebrauch in den rumänischen Schulen, vor allem in Siebenbürgen, zahlreiche Neuauflagen erreichte. Diese Ausgaben waren über den rein philologischen Einsatz hinaus stark praxisorientiert, wie ein Titel aus dem Jahre 1926 verrät: „Deutsche Handelskorrespondenz zum Gebrauche an rumänischen Handelsschulen und für den Selbstunterricht. Mit einem Wörterverzeichnis“ (Cluj, 1904).

Im Jahre 1939 wurde LACEA zum Ehrenmitglied der Academia Română, ernannt – eine Anerkennung, die ein Forscher wie LACEA, der sich Zeit seines Lebens, wie seine Vita verrät, bescheiden im Hintergrund hielt, zweifellos verdient hatte. So teilte er das Schicksal manches Lexikographen großer Werke, dessen Namen man heute höchstens noch auf dem Titelblatt unter der Schar der Mitarbeiter erwähnt findet.

Werke von Constantin LACEA:

- *Manual de limba germană* Cluj, 1904
- „Cercetări asupra limbii ‚Vieții și petrecerii sfinților‘ a Mitropolitului Dosoftei“, 1898

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THE CULTURAL TOURISM ADVERTISING AS A HYBRID REGISTER

ANISOARA POP*

ABSTRACT. Cultural tourism advertising is a hybrid register as functional linguistic analysis applied to such texts demonstrate. The current paper will apply a functional linguistics analysis, starting with the clause level, investigating wordings in order to understand the meanings they realize, and finally will reconstruct the material and social context which activated the text, its ideational, interpersonal and textual meanings realized by the wordings at the lexical-grammatical level in the clause as representation, as exchange, and as message. We will demonstrate what is advertising-specific (A-spec) versus tourism-specific (T-spec) grammar in a text for cultural tourism entitled “Learn Spanish in Barcelona-Spain”.

Key Words: cultural tourism advertising, functional linguistics, hybrid register

The language of tourism and of advertising lures and seduces potential consumers through specific structures: grammatical rules and vocabularies. This paper will demonstrate what is advertising-specific (A-spec) versus tourism-specific (T-spec) grammar in a text for cultural tourism entitled “Learn Spanish in Barcelona-Spain”. The text is found at: <http://www.spanishintheworld.com/spanish/spain-barcelona.htm>.

In order to demonstrate its hybrid tourism and advertising character, the text will be analyzed from the functional linguistic perspective (Thompson, G. 1996; Martin, J.R., 1997; Richards, 2002; Halliday, M.A.K, 2004) starting with the clause level, investigating wordings in order to understand the meanings they realize, and finally will reconstruct the material and social context which activated the text, its ideational, interpersonal and textual meanings realized by the wordings at the lexico-grammatical level in the clause as representation, as exchange and as message, respectively.

Meanings and Wordings

First, the ideational meanings realized at clause level will be analyzed. The grammar of the clause as representation includes analysis of processes and participants as well as the realization of logical meanings (taxis and logico-semantic relations).

As far as Processes are concerned, the text features primarily **relational attributive processes** (a, b, below), the type of processes usually encountered in descriptions and tourism (tourism specific: T-spec). The Carriers are realized by the proper noun *Barcelona* and *the School*, while Attributes are realized as extended NGs related to the quality of the place:

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- a) “Barcelona **is** a very vibrant and stylish city.... Barcelona is a multicultural metropolitan area”;
- b) “It **is** a Spain fashion, food, style, music and architecture center”.

Other Carriers are also explicitly described: “the building”, The University as having the Attributes “modern” and “not too far away”, “in close proximity to the Spanish school”. Description is also carried by **material processes** in the Passive, with the Goal being mapped onto the subject and the actor either omitted or appearing in an adjunct as object of the preposition “by” to bring in more details about school surroundings:

- [- Actor] passive: “The school is located in a 3 floor building”;
- [+ Actor]: “The Spanish school is surrounded *by gorgeous terraces*”;
- active voice material process: “The city plays a vital role in Spain’s economy”-enlarges the cultural boundaries to Spain and its economy through the Place Adjunct.

Certain material processes are also realized in a well-defined section which resorts to direct address (A-spec). The Actors are realized by the pronoun *You* representing the prospective student, whereas the Goals explicitly refer to what the student will obtain from the school and its location, which construe a flattering socio-cultural representation of the town where the Spanish school is located:

“You will find a mixture of modern and old that just creates a tremendous product”.

There is a switch in the direct address fragment from description to the target reader (reader-oriented discourse, A-spec) and the chosen processes are linked with **mental processes of perception** (“Feel tired..?”) and **cognition** (“you can’t forget”). In material processes suggesting active doings “go relax”, “can come back” and in the **material/psychological imperative** “don’t worry, the Senser “you” was also perceived as Actor”. The Actor-Senser is envisaged as both active and recipient of the facilities and beauties of the city and school.

The title includes a **mental process** whose role is also descriptive (“learn Spanish in Barcelona-Spain”). The congruently functioning process of cognition “learn” is typical of an advertising text for language schools with the Phenomenon realized by the noun *Spanish* and focus switching to where the process should take place.

Another Process type is the **existential** (“there are 6 buses available, two metro stations...”). “There” is functioning as subject although it is not a participant. The only participant is the Existant, an extended NG (coordination) that gives details about the Spanish school location. All the processes are realized in the **present tense** which is a typical feature of this kind of text, with exception again of the direct address fragment where the future tense is employed in order to construct promises (A-spec).

Circumstances of Location: Space are the mainstay component specific to tourism texts but have also important and consequently advertising dimensions: in the title (*in Barcelona-Spain*), in the segment on Barcelona (*in the heart of Cataluna on the Mediterranean coast*), in the direct address segment: “on Barcelona’s beaches” and in the school location section (*in a 3 floor building, right in the center of Barcelona, about 5-10 minutes away by foot from Plaza Espana*).

Semantically linked to these is the (finite) circumstance of **Cause: Reason**: “Don’t worry you’ll come for two weeks and leave after four. *Barcelona is always full of great activities and events*”, which contributes description by highlighting why Spain is such an interesting and great place to study and at the same time counts as a guarantee of the student’s satisfaction.

As far as **clause interdependencies** are concerned, there is an attempt at keeping fairly simple, straightforward constructions with parataxis (A-spec) dominating over hypotaxis in the first tourism segment. The direct address advertising section has a more complex taxis, not A-spec:

- hypotactic enhancement: “There is so much *to do* and *visit* in Barcelona”;
- embedded clause: “You will find a mixture of modern and old *that just creates a tremendous product*”;
- But *implicit* A-spec hypotaxis: reason - “You won’t be bored. There is so much to do and to visit in Barcelona”.
- The third segment has elaborate tourism specific (T-spec) taxis motivated by the need to be exact in locating the institution and giving directions, which is realized as:
 - NG with embedded relative clause: “..the Spanish School is surrounded by gorgeous terraces *that make up about 1,500 square metres*”;
 - clause complexes of two independent clauses forming paratactic extension: “The building has an abundance of natural light *and* is very modern”;
 - *explicit* hypotactic relation: reason: “*if you walk a little* you’ll encounter three more subway stations”.

Interpersonal Meanings. The Grammar of the Clause as Exchange

Interpersonal meanings are realized at clause level typically through the use of Mood Systems, Modality (modulation/modalization) and Appraisal. Working together, these systems tell about the speaker’s attitude toward the subject-matter and the addressee. The *you* that was seen as important grammatical participant in transitivity and clause as representation, functions interpersonally to create the speaker-interlocutor relationship (Hasan, 1989).

Mood. The descriptive part of the text features declarative mood clauses realizing statements. This means that information about the place and school is given by the speaker (there’s a “we” reference presumably to school authorities) through propositions to potential students.

The reader-oriented fragment has a more complex constituency. “You won’t be bored” in the declarative mood functions as a commissive SA, i.e. a promise, whereas the interrogative mood in abbreviated grammar (*Feel already tired from visiting?..*) typical of face-to-face conversation creates a bond with the reader which enables to introduce the declarative suggestion functioning as lower force directive: “You can go relax on Barcelona beaches”. Another declarative mood clause functions as strong suggestion (impossibility): “You can’t forget about Ghandi’s masterpieces” and another as question

but is actually not a real demand for information: “If you want to know how easy it is to get to the school, well...”. The advertiser already knows the answer to the question so the demand is rhetorical and made for the purpose of outlining the following information.

The title includes an imperative mood clause typical of advertising headlines and/or slogans inviting the readers to try the advertised product. Although in functional terms “goods and services” are being demanded (*to learn Spanish*), the imperative is not communicatively coercive, it rather functions as a **formulaic invitation** and is perceived as an offer.

It has to be remembered (Miller, 2004:117) that “the advertising text never tells, asks, or invites the reader to do anything that is not in his/her own interest and/or pleasure”. Therefore, the always implied message preceding an imperative would be: “I’d like you to ...”. In the same way has to be interpreted the final imperative equivalent to the advertising slogan, reiterating the initial invitation with a touch of urgency: “Book a Spanish course in Barcelona Spanish school-Spain now!”

Modality is used to signal the speaker’s opinion through modal operators, mood adjuncts and comment adjuncts. Epistemic modality (modalization: probability, usuality) is used to temper our propositions, for example in our text “Barcelona *is always* full of great activities” is lower on the certainty scale than “Barcelona **is** full of great activities”.

Deontic modality (modulation: obligation, inclination) tempers our proposals (commands, offers, etc.). The degree of obligation (necessity) in the proposal: “Open the window!” is strong and qualifies the speech act as a command, while “Why don’t you open the window” is modulated (ISA) and qualifies it as request. Modulation in proposals is an indicative of politeness. Our text is based on subjective implicit modalization (epistemic) which is inherent in bare declarative mood clauses although they are not explicitly modalized. The reader perceives what is the highest degree of subjective implicit probability or **hard to negotiate speaker certainty**:

“Barcelona **is** a very vibrant stylish city....”, “The city **plays** a vital role in Spain’s economy...”, etc.

In appraisal terms, the text is based on **monogloss**, specific to advertising and tourism texts where the speaker is a knowledgeable, experienced “tutor” who expresses with certainty on the subject matter. The knowledgeable speaker makes demands for attention in the form of imperative mood sentences at the beginning of the text and then in the form of suggestions about the necessary steps to be taken by the reader.

The subjective, implicit modulation of obligation is construed by the imperative mood clauses, which, as mentioned above, are to be interpreted as strong suggestions based on formulaic utterances: “You should learn Spanish Barcelona-Spain” and “Should book now”. “*Don’t worry* you’ll come for two weeks but leave after four” “*You shouldn’t worry...*”

In “You *can* always come back”, *can* does not evoke capacity rather opportunity for the addressee.

Appraisal[†] is the way the writer chooses in order to express evaluation of the product and to affect the readers. The most frequently employed aspect of Appraisal in our text is that of explicit positive **Appreciation** about the city and the school as:

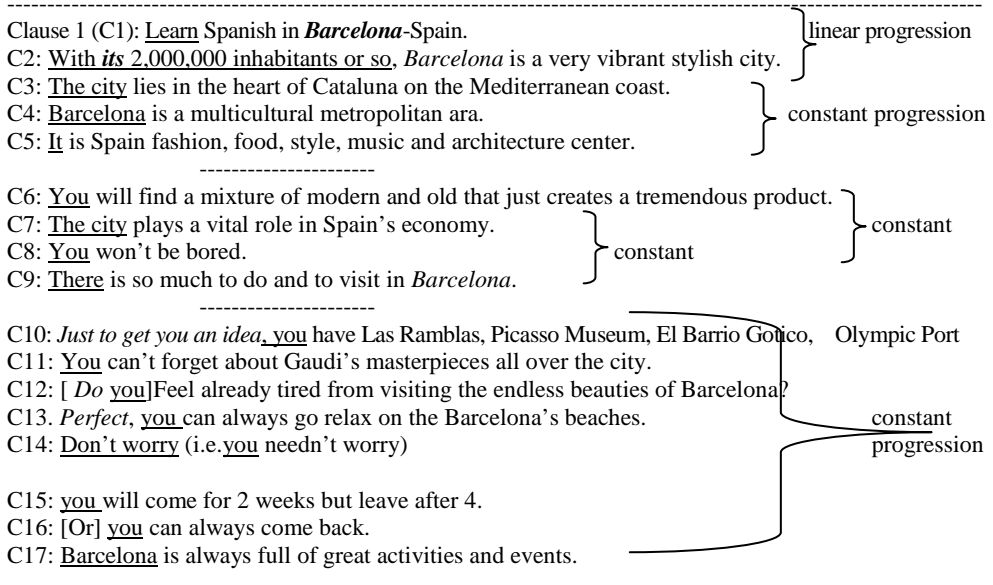
- positive reaction: impact and likeability – regards the attention the appraised captures: “stylish, vibrant city”, “tremendous”, “endless beauties”, etc.;
- positive reaction: quality – “modern”;
- implicit positive composition: complexity – “a 3 floor building for a total of 3,000 square meters”.

Implicit evoked Appraisal arising usually from propositions as in the last example above, features in the part describing the School and forms the A-spec glamorization of the service. The positive Force in “tremendous”, “endless”, “great”, “gorgeous”, etc. or Focus in “an abundance of natural light” evoke the appraiser’s positive affect for the Appraised location.

Textual Meanings. The Grammar of the Clause as Message

We will examine the structural linguistic devices that construct the text and make it cohere such as: thematic structure (Fries, 1995 a,b)”, grammatical parallelism, as well as the non-structural cohesive devices: reference, lexical relations, ellipsis and conjunctions.

The thematic constituents of the fragments related to the city and the addressee are given below:



[†] Appraisal research is in progress and can be accessed at Peter White www.grammatics.com/appraisal

The first fragment is based on linear progression with the process topical theme (TT) “learn” in C1 and TT2 markedly thematizing on circumstance, includes “its”- deictic possessive as a link to the Rheme of C1: Barcelona.

C3 through C5 have clear constant (parallel) progression whereas the fragment of passage from the town presentation to the addressee-centered fragment has cross-matching constant themes referring to the two subjects: the town and the addressee. The last C9 existential clause re-introduces the Existant “Barcelona” which will be picked up as TT only in C17.

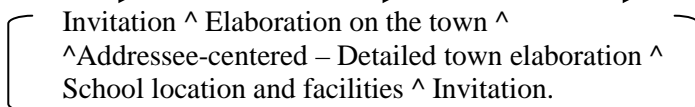
The other clauses in the second fragment are based on uninterrupted parallel (constant) thematic development with “you” as TT on which interpersonal themes are superimposed in C10 and C13, which is an extremely simple development for such a long stretch of text. In C12 the interpersonal Do-operator theme is ellipted as well as the *you* TT. In C14 the TT is a process but inherent in the imperative which is to be interpreted as suggestion, is the pronoun “you”: “You should...”

Constant thematic development and linear development keep the text simple as well as easy to follow (A-spec), and center on location (T-spec) and addressee (A-spec). The analysis also demonstrates that the text is cohesive in terms of its method of development.

Grammatical Parallelism, which in advertising can perform poetic functions, contributes structural cohesion in that reiteration of units of different complexity, construes a corresponding reiteration of meanings. It includes:

- repetition of words: *Barcelona* (9 times), **lexical scatter**: *Spain/Spanish* (8 times), *You* (9 times) - underline the importance of addressee (A-spec) and location (T-spec);
- groups:
 - o *the city/this city* (2 times), *the Spanish school* (3 times) – are evidence that the text belongs to tourism;
 - o structures that contribute inscribed positive Appraisal such as **epithet + Thing**: “tremendous product”, “endless beauties”, “great activities”, “gorgeous terraces”;
 - o clauses:
 - o predominance of declarative clauses;
 - o T-spec clause structure: **Carrier^Relational: attributive^Attribute** (*Barcelona is a vibrant stylish Spanish City; Barcelona is a metropolitan area*) enhance the attraction of tourism descriptions;
 - o non-finite clauses as marked themes: “to match the greatness of the city”, “to top all that”.

The **global discourse structure** that can be glossed shifts focus from addressee to town → to addressee → to school → to addressee:



Other non-structural cohesive devices are:

- **reference chains:** the city/ this city / it, to refer to Barcelona;
- lexical strings related to places of interest in Barcelona: beaches, Picasso Museum, El Barrio Gotico, etc.
- **lexical strings** related to what the addressee can or is expected to do in cultural tourism: go relax, visit;
- **T-spec** lexical relations of **meronymy** (whole/part): the school - the building, terraces; Barcelona - its places of interest;
- **Reference:**
 - endophoric (anaphoric): “it” referring back to the town and the Barcelona Spanish School;
 - A-spec exophoric deictic reference: “You”.
 - **Ellipsis:**
 - A-spec abbreviated grammar for simulating solidarity and proximity of face-to-face interaction: “Feel already tired..?”;

A-spec **connection** is achieved through many simple independent clauses following one another in the first fragment but also through implicit linking: “Feel already tired...? Perfect. You can go relax...”, has conditional logical relation: “If you feel tired, you can go relax...”

The Context of Situation

Field, carrying the ideational meanings defines what social activity is going on in the speech event of the text and what its subject matter is. It is already clear that the social activity carried on in our text is that of advertising: offering a service (that of learning Spanish) and this service, as demonstrated, is offered in a T-spec way, i.e. by providing information through T-spec descriptions (relational processes, circumstances of location and of reason) and A-spec evaluations (glamorizing: the selling proposition) of the service location. The Field provides information about the basic functions of the text: to inform, to glamorize and to exhort (A-spec slogan and headline).

Tenor, concerned with relationships and attitudes, is the carrier of interpersonal meanings. The lexico-grammar gives clear reiterated specification of the text **addressee** whom we conceive to be the non-Spanish adult student who understands English. He is labeled as A-spec informal *You* in the direct-address fragment, whilst the first and third parts are more impersonal (T-spec). This A-spec addressee is explicitly but generally mentioned (unlimited, inclusive) and is also implicit in the semantics of the imperative mood sentences. The text’s visual grammar (snapshots of Barcelona, school, beaches) has a didactic intent: to inform briefly about the city and the school but also to help identify the potential addressee.

The speaker’s status is asymmetric. He functions as informant, “the tutor”, possessing knowledge of the place and of the addressee’s needs, and delivering this knowledge under statement form. We can entertain the speaker’s

identity i.e. the “we” mentioned in the text only once, to represent either the school authority or the advertisers commissioned to design the advertising site.

The speaker’s attitude towards the subject matter, as the Appraisal system has proved, is entirely positive with just strong points being highlighted (A-spec). **Monogloss** denotes power, presents propositions as non-negotiable, and the speaker is inviting and imperative. However, he uses positive face association in the non-distancing politeness strategies of imposition, conversational attitude and directness.

The speaker focuses on the culture and language school location evident in the circumstantial detail (T-spec) as well as on the prospective student, rather than on the language courses/service (A-spec).

Mode defines the language features used in this text sharing the characteristics of two text types according to our analysis of clause as message.

The text role is constitutive. It describes and informs in order to sell and is basically talk oriented (T-spec), and action oriented (A-spec) at least in the headline and slogan.

The linguistic and visual semiotic **multimodality** is specific to both text types whereas the medium is both written (evident in the hypotaxis – T-spec) and spoken (direct address abbreviated grammar, semantic density – A-spec).

Moreover, the **structural cohesion** (thematic progression) is simple and therefore A-spec, but also T-spec at the non-structural level, i.e. meronymy, reference.

In Jakobsonian terms the primary functions of the text are:

- **conative**, focused on the addressee (A-spec) in order to stimulate his response. It includes imposition, employment of the 2nd person pronoun *You*, as well as other attempts to persuade, such as: solidarity and friendliness, phatic endeavours to maintain communication channels open (“Well...”). This function is present in the headline, copy and slogan (A-spec).
- **referential**, focused upon the reality of Barcelona and the school, the text being descriptive and information-offering (T-spec). The referential function is implemented through declarative sentences realizing information-providing statements.
- the poetic function (A-spec) is not overt, although some degree of parallelism exists, reiteration of units construing a corresponding reiteration of sense.

Other elements with lexico-grammatical realization which qualify our text as advertising-tourism hybrid register, are:

- presence of denotational lexis (T-spec) but also connotational, evaluative (A-spec);
- coalescence of declarative (T-spec) and imperative (A-spec) moods;
- positive evaluation in selling a place and service (T and A-spec);
- the simple present tense of general truths (T-spec) in the impersonal sections and the future of promises (A-spec) in the direct address section;
- the speaker’s voice is non-negotiable (A-spec).

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THE AVATARS OF A HERMENEUTICAL TRANSLATION R. OTTO - THE NUMINOUS

SILVIA IRIMIEA♦

ABSTRACT. *The Avatars of a Hermeneutical Translation. R. Otto- the Numinous (despre numinos).* The paper seeks to reveal the complex and challenging experience of a hermeneutical text-translation by looking closer at *The Numinous* (2005), a masterpiece of mysticism composed by the prominent philosopher, theologian and historian of religion Rudolf OTTO. The paper highlights the technical prerequisites and the sources of fascination of the text shedding more light on the translational levels (hermeneutic and linguistic) and its avatars. It also suggests some ways of overcoming the areas of difficulty that translators may encounter when they engage in the devouring process of translating the text.

Key words: hermeneutic, sacred, the numinous, features of the text, lexical level.

Technical Prerequisites

The purpose of the presentation of the avatars of a hermeneutical text translation, *R. OTTO – The Numinous (Despre Numinos)*¹, is to reveal the complex and equally challenging experience of translating a difficult text to those who either wish to approach such texts or simply want to acquire the art of translating them.

The translation process of the aforementioned masterpiece of religious writing and mysticism consisted of two main stages: the translation of the text and its refinement. Further, each stage comprised a set of subsequent activities. For example, the **translation stage**, encapsulated: 1) a research of similar texts for a familiarization of the translator with the text genre, with specific concepts, notions, language, and style peculiarities, 2) a careful reading aimed at understanding the message, the concepts, major and secondary elements, grasping the prevailing register, which in this particular case is religious, as well as understanding the discursive structure and the role of various elements (embedded texts, metatexts) in the macro-text, recognizing the textual rhetoric, and 3) editing (i.e. refinement and subsequent correction of possible errors). The **refinement stage** embraced: 1) a careful investigation of the author's work, 2) a check/revision of the concepts, notions, and theories referred to in the text, 3) final proof reading/corrections, and 4) final editing.

The complexity and peculiarities of the text called for the input of two experts: a translator who handled the translation issues, and an expert in hermeneutical texts, who took charge of religious accuracy.

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¹ *Despre Numinos* is R. Otto's writing published in 1923. The original German title is *Aufsätze das Numinose betreffend*.

The Fascination (The Dimensions) of the Text Rudolf Otto and his Writings

Rudolf Otto was a German theologian and philosopher born in Peine in 1869. He studied theology in Erlangen and Göttingen. Following his appointment as *Privatdozent* back in 1904 and then his debut as a Professor at Göttingen, Rudolf Otto began to elaborate his own vision of the *sacred*. Subsequently, he pursued and enriched his theories during his journeys to Northern Africa, Egypt, Palestine, India, China and Japan, wherefrom he acquired valuable knowledge regarding the primitive forms of the *sacred* and *oriental mysticism*. He continued his career as a Professor of theology in Breslau and Marburg, where he spent the rest of his life and went on writing until 1937, the year of his death. The writings that consecrated him as one of the most prodigious religious thinkers of the 20th century were composed between the two World Wars. Amongst them we could mention: *Die Anschauung vom heiligen Geist bei Luther (Luther's Views on the Holy Spirit)*, 1904; *Kantische-Fries'sche Religionsphilosophie (The Philosophy of Religion at Kant and Fries)*, 1909; *Dipika des Nivasa (Nivasa's Dipika)*, 1916; *Das Heilige (The Idea of the Holy)*², 1917; *Aufsätze das Numinose betreffend (About the Numinous)*, 1923; *West-östliche Mystik (Eastern and Western Mysticism)*, 1926; *Die Gnadenreligion Indiens und das Christentum (India's Religion of Grace and Christianity)*, 1930; *Reich Gottes und Menschensohn (The Kingdom of God and of the Son of Man)*, 1934.

The 1996 Larousse Dictionary of Philosophy (pg 246) opinionates that “Otto avoided any rational or moral explanation of religion attempting to describe with utmost accuracy the phenomenon of religious conscience”. The same reputable dictionary (Larousse, Dictionary of Philosophy, 246) further asserts that Otto’s “phenomenology of the sacred (*The Idea of the Holy*, 1917), through which he seeks to approach the ‘religious’ negatively, setting it apart from all its approximations (fear, mystery, the enormous, the fascinating), has become a classic in philosophy”.

Otto’s main religious concern was the *holy (sacred)*, as opposed to *profane*. According to the same Larousse Dictionary (1996, pg 299), *the sacred* is a ‘sentiment of the religious’ and relates to “everything that surpasses the human being and that calls for its admiration”. Otto’s *holy* or *sacred*, according to his own perception thereof recorded in his writing *The Idea of the Holy* (1917), is a particular fervour or pious ardour, which is ‘the very feeling of the being’ or a feeling of the ‘numinous’. Further, the term *numinous* comes from the Latin word ‘numen’, which stands for and evokes the ‘divine majesty’.

² The title of R. Otto’s writing *Das Heilige* published in 1917 appears in all historical and reviewing records as *The Idea of the Holy*. We, however, propose the title *The Sacred* for the book, which, according to our opinion and understanding, is closer to the original meaning. In order to avoid further confusions in the present paper we preserved the title *The Idea of the Holy*.

The author's intentions

The author's foreword to the first edition of this writing reveals his intention 'to complete the written work on the holy', 'to explain the numinous by using examples taken from religious experience, to mark its importance to religious life and to religious cult and, therewith, to cast some light on the most profound religious concepts of Christianity, such as: the concept of sin, the concepts of spirit and flesh, the concept of doom and the need for redemption' (R. Otto, 2006, pg 7). Heirich Rickert points out with admiration and respect that Otto's writing *The Idea of the Holy* pretends to be 'psychological', 'whereas, in fact, it is 'a contribution to the philosophy of religion as the science of values. The *numinous* doesn't unveil the physical act, instead it focuses on its 'object', the holy" (The Limits of Concept Formation in Natural Science). In the same *Foreword* Rudolf Otto quotes Leo Strass's appreciations (Der Jude, April 1923 p. 242) regarding his writing, *The Numinous (Aufsätze das Numinose betreffend)*:

"The importance of the book resides in the fact that the natural starting point of the research is the transcendence of the religious object. Its transcendence is pointed out:

1. as a transcendence of God's experience, as God's forerunner to religion.
2. as a transcendence of God's life [...]
3. as a transcendence of the idea of God [...]."

The translational levels of the text

Rudolf Otto's writing is a complex composition that astonishes the reader from the very first page through the abundance of ideas, representations and sensations, the multitude and consistence of footnotes, the variety and accuracy of the texts taken from Sanskrit, Hebrew and Ancient Latin, quotations taken from sources that hint back to The Bible and to The Old Testament, pass through the medieval writings, and retrace the documents and concepts from the beginning of the 20th century. Consequently, for a translator and linguist the text abounds in latent traps.

A succinct analysis of the text reveals two levels of textual difficulty: a hermeneutic level and a linguistic one. The **hermeneutic level** is built up from several complex domains, such as: science of religion, history of religion, philosophy of religion, psychology of religion, concepts and opinions belonging to *homini religiosi* such as: Chrysostom, Zinzendorf, Meister Eckhart, Ruskin, Parker, Wundt, descriptions of various cults and rites, descriptions and interpretations of mystical places for prayer (such as the elements of Islamic architecture), accurate displays of emotions (including the ones expressed by sounds, silence, architecture or space), embedded in descriptions like: *Slujba tăcută (The silent mass)*, *Numinosul în plastica budistă (The Numinous in the Buddhist art)*, *Golul din arhitectura Islamului (The void in Islamic architecture)*. This abundance and complexity of the text, spread out on different hermeneutic sub-levels, offer the translator a permanently challenging perspective. The **linguistic level** mainly rests

on: *lexical abundance and variety, verbal complexity* expressed through a rich syntax, complex sentence structures with branching subordinate clauses, lengthy nominal structures and impressively long compound nouns, expressive verbs with original scientific and religious meanings, *original religious or profane connotations of words, use of religious terms with specific or consecrated meaning, generous use of quotations from various languages, like : Hebrew, Ancient Greek, Latin, Sanskrit, and, finally, the linguistic fascination of some concepts, notions or designations*, such as: "cel cu totul altul", *Zanzen-ul, Sunder Warumbe.*

It is, henceforth, quite natural after going through this brief list to conclude that Rudolf Otto's writing is particularly unique because of its religious and linguistically exceptional complexity.

The Avatars of the (Translated) Text

Rudolf Otto's German text is absolutely fascinating, yet equally challenging even to an experienced translator. The main fascination of the text lies in the difficulties that it poses first to the reader and then to the translator. Both of them have to be prepared 'to face' the exquisiteness and requirements of the hermeneutical text. If the reader needs to be prepared to confront *The Numinous*, the translator has to devote more time on researching the mysteries of religion and the sacred before immersing in the actual process of text-translation.

A special kind of fascination exudes from the very simplicity of the text and from the unique way of expressing the intensity or inner vigour of certain concepts and emotions, because, as Mircea Eliade admits, Rudolf Otto had the rare courage, for such a vivid and capacious intelligence to say and to repeat simple accessible things. Therefore, during the consuming translation process, the translator will be permanently testing his own ability to capture the bewildering simplicity of the concepts and to render it eloquently enough to preserve the text's simplicity and accessibility.

In order to illustrate the linguistic and conceptual difficulties encountered by the translator, it seems enough to have a look at the complexity of the text apparent even from the mere list of chapter titles: *Chrysostom despre ceea ce este incomprehensibil în Dumnezeu (Chrysostom about what Is Incomprehensible in God)*, *Sunetele numinoase originare (The Original Numinous Sounds)*, *Spiritul și sufletul ca minune numinoasă (The Spirit and the Soul as a Numinous Miracle)*, *Tremendum-ul și mistica (Tremendum and Mysticism)*, *Pietatea mistică și pietatea credințe (Mystic Piety and the Piety of Faith)*, *Numinosul în plastica budistă (The Numinous in Buddhist Art)*, *Experiența profetică a divinului (The Prophetic Experience of the Divine)*, *Învierea ca experiența pneumatică (Resurrection as a Pneumatic Experience)*, *Slujba tăcută (The Silent Mass)*.

Within the same linguistic and conceptual framework, another source of fascination, one which involves the laborious choice of the right term or expression, is the presentation or **description of various notions, concepts, sensations**, that

seem similar but render noticeably different experiences. It is the particular case of the following fragment quoted from page 50:

”Spuneam mai sus: lucrul cel mai interesant în reprezentarea primitivă despre ‘suflet’ nu este forma fantastică, deseori oscilantă, care i se atribuie, ci elementul afectiv al aceluia *stupor* care o iscă, misterul și caracterul de ‘cu totul altul’ care o învăluie. Acest fapt este eclipsat în măsura în care sufletul devine mai târziu obiectul mitului, al basmului și al povestirii, al speculației sau al doctrinei sau chiar al psihologiei. El devine atunci tot mai mult ceva cu totul rațional.”(pg 50)³

Finding the equivalent to certain **notions, exceptionally simple**, yet almost impossible to define, calls for the use of extremely refined and subtle linguistic solutions and this, however, is yet another challenging task for the translator. We could locate in this category notions embedded in synthetic definitions like: ‘ceea ce s-a numit Unul’, ‘Unul’ or

”Căci ce reprezintă oare pentru această ajungere la ‘Unul’? Tocmai ceea ce noi am descris drept deplină concentrare asupra unui obiect, cu excluderea tuturor celorlalte raze vizuale. Este ‘contemplarea *numai* a lui Dumnezeu’ ”. (pg 105)

Another fascinating challenge is the **poetical dimension** of the text. The next excerpt represents a good example in this respect:

”În același timp, aici reprezentarea trece cu ușurință de la comoara adâncului primitivă la botez la reprezentarea laturii tainice a acestui străfund al sufletului ca un lăcaș unde *charis kataskenei* (sălășluiește harul). Dar, în sfârșit, deoarece într-o asemenea *mneme* desăvârșită apar nu numai ‘convingeri’, ci și ‘vederea’, ca o tainică certitudine nemijlocită, ca o gustare și vedere a lui *glyktes tou Theou* (Dulceții lui Dumnezeu), el poate afirma, în capitolul 91, că... [...]”

But way beyond the poetical aspect of the text, we must also notice various **foreign terms insertions**, usually of religious extraction and belonging to the source language of the concept or that of the religious experience. The above example was chosen arbitrarily as Otto’s whole writing is imbued with similar passages.

We could, nevertheless, further underscore the amazing way in which the author, completely abandoning his spirit and soul to the religious experience and its description, in order to convince the reader resorts to the use of **sayings and ancient quotations**, like in the illustration provided below:

”Așa se face că,

Dacă întreaga sa viață, dacă orice mișcare a inimii nu este decât o rugăciune neîntreruptă, ia naștere negreșit o caracteristică a credinciosului care ar putea fi numită un fel de ‘semisomnambulism’, o stare de semialienare, de absență, de ‘a nu fi aici’. Dar aceasta nu are nimic de-a face cu somnambulismul sau cu boala psihică, ci este o consecință necesară acolo unde sufletul este în întregime și

³ The quotations used in the present paper were taken from the 1993 edition of *The Numinous*, published by the Dacia Publishing House, Cluj-Napoca.

permanent cufundat într-o preocupare covârșitoare, care face să înceteze orice altă preocupare. Pentru că: ‘acolo unde este comoara ta, acolo va fi și inima ta’.”

The translation of lengthy yet suggestive **constructions** of the kind: ‘*a nu fi aici*’, ‘*cel 'cu totul altul*’, ‘*cel ce nu poate fi cuprins de gândire*’ was particularly difficult, since, apart from being overwhelmingly plastic, they are also surprisingly intense *conceptual representations* that have the power to astonish through their *linguistic simplicity* and, at the same time, the *complexity of the experience and of the ideas* that they stand for.

Another area of translation difficulty is finding terminological equivalents to the repetition of certain elements or to noticeably synonymous terms, as in the example below:

”dar, odată cu această cufundare concentrată în obiect, care totuși nu poate lipsi cu adevărat nici în viața credinței simple dacă aceasta vrea să se mai numească ‘viață’, rezultă imediat, ca un revers necesar, un al doilea fapt, care tocmai pe această cale poate fi simbolizat excelent prin imaginea ‘depersonalizării’, a ‘lepădării de sine’, a ‘suprimării eului’ ”. (pg 104)

Another discriminative feature of the text is the high incidence of **foreign terms** used as **terminological substitutes** for different notions, objects or experiences. These substitutes are interwoven in large portions of text and occasionally build up semantic chains of nominals. Henceforth, the translator’s problem is how to subtly incorporate them in the text fabric.

”Și tot astfel Cassian a găsit deja o practică a lui *mneme* care amintește pe deplin de *mantra*, prin care indianul credincios se străduiește să ajungă la *smarana*, adică tocmai la *mneme*: păstrarea în minte a unei anumite ‘formule’, care este menținută până când ea nu mai este necesară, rugăciunea trecând de la *sine* în rugăciune fără cuvinte.”(pg 104)

The skillful use of **enumeration**, of elaborate **sequences of terms, features**, etc. reveals a unique text-lexical opulence, as visibly suggested by the following extract:

”În același timp, apar aici cu totul de la sine elementele ‘înfrânării ideilor’ proprii tuturor practicilor mistice, arta de a elimina tot ce ar putea-o întrerupe pe *mneme* și de a ‘polariza’ atenția, cum am numit-o noi, și deci, precum la Diadoh, lupta împotriva instabilității, dispersării și varietății lui *ennoiai* și deci a lui *haplosis*. De aici izvorăște prețuirea singurătății, a liniștii sufletului și a liniștii exterioare, ca și a tăcerii.”(pg 104).

Another element that deserves, however, terse consideration is the special focus that the author bestows on **emotional tones**, or, as he calls them, ‘affective tonality’, and their extremely versatile use. His concern for the emotional aspects involved in the fabric of his writing is relevant and present even in the numerous insertions of foreign language words or sequences that permeate his entire writing; consequently, he states overtly:

”Garbe talmăcește versurile în felul următor:

Unul îl privește (pe spirit) ca pe o minune.

Un altul vorbește despre el tot ca despre o minune.

Un altul aude despre el ca despre o minune.

Însă chiar dacă a auzit despre el, totuși nimeni nu îl cunoaște.

Poate că tonalitatea afectivă a versurilor ar fi redată mai bine dacă s-ar spune:

Ca despre un "cu totul altul" vorbește cel ce vorbește

Despre atman.

Pe "cu totul altul" l-a învățat cine l-a învățat pe "atman".

Nici chiar el ce l-a învățat – nimeni nu te face să îl cunoști." (Pg. 50)

The careful consideration shown by Otto to the accurate and complete understanding of the involved **religious or mystic phenomena** springs out from his entire writing, from which we quote an example:

"În orice caz, în adâncul acstor cuvinte există o vie conștiință de sine numinoasă, care poartă încă în sine urmele aceluia *stupor* în fața unei 'vedenii'. Și el continuă să existe atunci când Gita, 2,25, îl numește pe atman *acintya*, adică 'cel ce nu poate fi cuprins de gândire'. Prin aceasta el se aseamănă însă întru totul cu străfundul sufletului, cu acea scânteie, cu acea *synderesis*, cu abisul lăuntric al propriilor noștri mistici..." (pg. 51)

The special attention devoted to **detail**, to **meticulous descriptions**, is observable in the following quotations:

"O înțelegere mai clară a minunii lăuntrice a sufletului se naște, pentru cel ce o trăiește, nu reflexiv, ci ca o 'deschidere', ca o 'țâsnire', ca o clarificare adusă de țâsnirea intuiției, *like a flash*, cum spune englezul, sau ca un 'brusc *aperçu*' cum spune Goethe." (pg. 52)

Without aiming to make a complete inventory of the sources of difficulty (or of the features of the hermeneutical text), the above considerations regarding R. Otto's writing *The Numinous* are also indicative of the translator's potential areas of hermeneutical and linguistic challenges.

Conclusions

Any direction or translation guideline should set out from the premise that the translation of a text, including that of a hermeneutical text, is a personal *investigative* and, at the same time, *creative* process. The 'personalization' of the act may provide the translator with more or less freedom, as, according to his own level of scientific expertise or rigour and linguistic competence (terminological in particular), the translator determines his own translation methods and decides upon the instruments that best suit his purpose.

The present succinct survey of the elements that might pose difficulties to the translator is meant to call his attention and to determine him to devote special consideration to the troublesome aspects of the hermeneutic translation.

After establishing the genre and the type of discourse, in order to produce a 'loyal' and accurate translation (as opposed to a functional one), the translator must first carefully consider the two mentioned levels: the hermeneutic level and the linguistic level.

The next step in a translational endeavour should be focused on organizing the translation process according to the basic stages of a translation, i.e.: the translation of the text, which also encapsulates the preliminary research, and the translation refinement stage, the latter mainly referring to final revision and editing.

The translator must also keep in mind that even if the translation process may take a shorter timeframe than expected, the revision and editing process must be treated with outmost linguistic and scientific rigour, and, as a result, this may take much longer.

Finally, and equally important is the focus on text-specific style and author-related rhetorical devices, particularly the ones outlined in the present study.

In spite of the numerous pitfalls and challenges exhibited by the text, they cannot, however, obscure the joyous satisfaction that is associated with the accomplishment of the translation. Indeed, what they can do is to augment the fascination of the text.

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NARRATIVE THEORY: A SURVEY

ADINA-MARIA MEZEI

RÉSUMÉ. L'étude de la fiction a toujours donné lieu aux controverses, ce qui soulève la question du pourquoi. Dans ce qui suit nous nous proposons de donner un aperçu des positions théoriques adoptées par les deux approches de la problématique - de la théorie communicationnelle et non-communicationnelle. Au même temps nous voudrions attirer l'attention sur quelques aspects flous liés au sujet.

Key Words: narrative fiction, conceptualization, authorial extinction

1.0. Introduction

Narrative fiction has given rise to many debates. Most problematic aspects are related to the way one should conceptualize and thus interpret fiction. In the present article we want to draw a survey on narrative fiction, more exactly on the background adopted by the two major frameworks that deal with it - the so-called communicative and non-communicative frameworks.

Our intention here is not to support either of the two, but to point out some key factors which have led to differences, and also to pinpoint some fuzzy aspects.

It should be noted that communicative accounts mainly refer to what is traditionally known as “narratology”, while non-communicative ones point to some theories of Anglo-Saxon origin, also denominated the “no-narrator theory” (cf. Patron, 2006) or poetic accounts.

2.0. On Narrative Theory

2.1. Diverging backgrounds

The communicative framework includes fiction in the communicative model of language, in which something expressed through the means of language must be *told* by someone, an addresser, and directed towards somebody else, i.e. an addressee. The poetic (non-communicative) accounts consider that written fiction is a special case of language in use, which need not necessarily be attributed to a telling fictional entity, i.e. a narrator (and addressed towards a narratee).

The incompatibility between the two frameworks arises due to the fact that each approach adopts divergent theoretical backgrounds on how to conceptualize fiction. The differences can be traced back in time to the Antiquity (cf. Fludernik, 1993, Genette, 1972, Segal, 1995). Communicative accounts mainly follow Plato's distinction between *mimesis* and *diegesis*. In Plato's work, the two terms referred to one of the characters' speeches and to the poet speaking as him/herself in the parts between speeches, respectively. In Aristotle's *Poetics*, the source of inspiration for

the poetic approaches, *mimesis* no longer designates “impersonation” by means of direct speech, but the representation of fictional reality (cf. Fludernik, 1993).

The differences between the communicative and non-communicative approaches arise also with respect to the general framework adopted (of a rather literary or linguistic persuasion) and to the purpose of each type of study, though no clear-cut and irrefutable separation can be made so as to place these studies in one or the other approach according to this criterion. For example, the *showing-telling* dichotomy is closely linked with some critics’ attempts to suggest one of the techniques as the better variant for creating fiction (or how to achieve certain effects by using a certain technique). Others try to obtain a typology of fiction, thus going about it the other way round.

Norman Friedman follows the tradition of the researchers who viewed *showing* and *telling* as two modes of linguistic performance (on the line of Henry James and Percy Lubbock; cf. Lintvelt (1994[1981])). They distinguished between *showing* and *telling*, as two *modes* of linguistic performance: “The word ‘telling’ has another use in the critical literature on narrative fiction, [...] where it is not so much taken as equivalent to linguistic performance but as only one of its modes” (Banfield¹, 1982: 69).

In his (1971[1955]) study he establishes a typology based on *point of view* as criterion “for point of view provides a *modus operandi* for distinguishing the possible degrees of authorial extinction² in the narrative art.” (pp. 111-112)

Friedman, as his already mentioned predecessors, favours *showing* to *telling* because it is taken that the purpose of the author is to (re)present reality and/or people as if he/she were not there, that is, unmediated (as much as possible):

It remained to Percy Lubbock to apply the general distinction between direct and indirect presentation - a distinction common, as we have suggested, throughout the history of aesthetics and criticism - to a discussion of James’s particular concern with point of view in fiction. [...] If artistic “truth” is a matter of compelling rendition, of creating the illusion of reality, then an author speaking in his own person about the lives and fortunes of others is placing an extra obstacle between his illusion and the reader by virtue of his own presence. In order to remove this obstacle the author may choose to limit his own personal voice in one way or another.

(p. 113)

Friedman’s major distinction is between *summary narrative* (telling) and *immediate scene* (showing). The former concept is defined as a generalized account or report of some events, where “the narrator’s tone rather than the event itself dominates” (p. 120), while the latter “emerges as soon as the specific, continuous, and successive details of time, place, action, character, and dialogue begin to

¹ Banfield (1982) is one of the founders of the poetic framework.

² Our underlining.

appear. Not dialogue alone but concrete detail within a specific time-place frame is the *sine qua non* of scene.” (p. 120)

Based on the predominance of one or the other of his categories, *summary* or *scene*, Friedman establishes several types of fiction ranging from “subjectivity” - which is first the author’s, then the narrator’s (viewed as a character in the story) - to “objectivity”: editorial omniscience³, neutral omniscience⁴, “I” as witness⁵, “I” as Protagonist⁶, multiple selective omniscience⁷, 6. selective omniscience⁸, the dramatic mode⁹, the camera¹⁰.

What we want to point out here is the fact that the word “author” (but sometimes also “author-narrator”, p. 133, or just “narrator”, p. 120) is used for editorial omniscience and neutral omniscience - what would nowadays be regarded as an omniscient narrator (in narratology). However, Friedman distinguishes between the two terms later on: “Having eliminated the author, and then the narrator, we are now ready to dispose of mental states altogether” (p. 129)

Genette (1972), one of the most arduous supporters of the communicative model criticizes the new critical developments which appeared in Henry James and in his followers’ works (e.g. Friedman), in the United States and England, at the end of the 18th century and beginning of the 19th century. Genette prefers to see *telling* as equivalent to linguistic performance and, therefore, he specifies that the two terms mentioned above can only be accepted if we view the narrative text as something which is necessarily *told*, and which can only be told by a narrator.

For Genette *showing* can only be a way of *telling* something. And *telling* can be done in two ways: either telling in such a way that the teller is brought to the forefront (that would be ‘similar’ to Friedman’s *summary narrative*), or telling so that one has the impression that the teller does not exist any more (‘similar’ to Friedman’s *immediate scene*).

So, as already suggested above, the difference in the starting points between communicative and poetic accounts could also be related to the term of

³ “the presence of authorial intrusions and generalizations about life, manners and morals, which may or may not be explicitly related to the story at hand” (p. 121).

⁴ This time the “author speaks impersonally in the third person”; the author may allow his characters to “speak and act for themselves” but “his predominant tendency is to describe and explain them to the reader in his own voice” (p. 123).

⁵ “Albeit the narrator is a creation of the author, the latter is from now on denied any direct voice in the proceedings at all. The witness-narrator is a character on his own right within the story itself [...]” (p. 125).

⁶ It is similar to the “I” as witness, but more limited than the latter “to his own thoughts, feelings and perceptions.” (p. 127).

⁷ It represents “[t]he next step toward the objectification of the story material” (*ibid*) by the elimination of not only the author but also of the narrator: “the story comes directly through the minds of the characters as it leaves its mark there” (*ibid*).

⁸ In this case, the reader is presented only the mind of one character.

⁹ We are given information only about what the characters do and say.

¹⁰ It is the ultimate in authorial exclusion.

telling itself. It has been regarded either as the equivalent of all language enterprise, or, as part of the *showing - telling* dichotomy as modes of representation, respectively.

2.2. The Object of Narrative Theory

Another reason for the divergences between the two approaches is related to the way they each perceive the object of narrative theory (cf. Patron, 2006). Starting from the work of Genette (1972, 1966, 1983, 1991 and his preface to *The Logic of Literature* by Käte Hamburger, 1986 French edition), Patron first tries to formulate what is narrative to narratology. She obtains the following two necessary properties, which distinguish the object-narrative from other types of discourse (Patron gives as an example Spinoza's argumentative discourse) and from other ways of telling a story (archeological documents):

1. the property of telling a story (a succession of causally linked events)
2. that of being told by someone ("a narrator") without which the narrative would not be a discourse

Additionally, Patron endeavours to search for a property which distinguishes the fictional narrative from the factual one and she establishes it as being:

3. the property of having a fictive narrator

Patron concludes her commentaries relative to these properties by saying that the third property is what "allows narrative to examine the fictional narrative "as narrative" and not "as fiction", in other words, according to the same narratological and pragmatic modalities as factual narratives." (p. 121) The reason is that, although there is a distinction drawn between factual and fictional narratives (in the former case the author is identified with the narrator, while in the latter the two are seen as different 'entities'), a speaker is posited as the origin of utterances which refer to either historical/authentic facts, or fictitious ones, respectively (cf. also Genette, 1991: 67).

Patron also discusses the way Hamburger (a poetic framework supporter) constructs the object-narrative in *The Logic of Literature* (1973; English version). Patron points out that here there is no particular property which defines the fictional and the factual narrative as belonging to the same category (as it is the case for the narratological premises). Narration is now defined as "a sum of introduction techniques (combining the narrative, properly speaking, the dialogue and the monologue, the free indirect style, etc.), that produces the fiction. It is fundamentally different from the utterance to which the historical narrative and "natural" narration belong [...]." (Patron, 2006: 123)

Besides the avoidance of characterizing factual and fictional narratives as belonging to the same category, Hamburger's theory treats the third-person narrative and the first-person narrative in different terms. The third-person narrative is the prototypical narrative according to her, while the first-person narrative's properties are mainly the same as those defined for the fictional narrative by narratology.

2.3. The Narrator

What is puzzling is what exactly a narrator is. Is it a 'flesh and blood person' (in the same way that we can consider the characters of a story), i.e. (a) *he*

or *she*, is it an entity (something which can thus be hardly described), is it a theoretical function or a role, i.e. *an it*? Interpretations vary in this respect.

Rimmon-Kenan (2002[1983]), following Genette, assumes that the narrator is the ‘voice’ of the text or the ‘speaker’: “In my view there is always a teller in the tale, at least in the sense that any utterance or record of an utterance presupposes someone who has uttered it.” (p. 89) She seemingly prefers to refer to the narrator as a *he* (or *she*).

Bal (1985[1946]) considers that the narrator is *an it*, that is, it is the linguistic subject of the text, a narrative function, not a person, which expresses itself in the language that constitutes the text. (p. 119)

Kayser (1977) states that there is always a narrator in the story. However, his explanation of what it is leads to more confusion. The interesting thing is that, although Kayser postulates the existence of a narrator in all types of text, he also ‘describes’ it in terms which resemble the famous statement attributed to the poetic theorists *the events seem to narrate themselves*¹¹. He states the following:

Le narrateur du roman, ce n’est ni l’auteur, ni non plus le personnage fictif et d’un abord souvent si familier. Derrière ce masque il y a le roman qui se raconte lui-même, l’esprit omniscient et omniprésent qui crée cet univers.¹²

(p. 80)

This kind of problem arises also from the fact that the narrator is ascribed different functions in the two frameworks, as suggested by Jean-Michel Adam (1994[1981]) (cf. also Genette, 1972) and commented by Lintvelt (1994). Adam attributes to the narrator the following functions:

1. a representational or narrative function (which includes the idea of *telling*)
2. a directing function
3. an interpretative function

According to Adam and Lintvelt, the last function is what distinguishes between the approaches under discussion. The poetic accounts would consider that there is no narrator without the interpretative function, which, we might add, is understandable if we take into account the fact that their main focus is on the surface structure. The communicative supporters, in their turn, sustain that even when there are no linguistic signals indicating a narrator, a narrator still must be envisaged to fill in the other functions – (mainly) the narrative and directing ones (cf. Lintvelt, 1994[1981]: 34).

The narrative function would be the same as the representational function in the communicative framework, where for the poetic accounts we would have only a representational function (not attributable to a narrator). In other words, then, in the

¹¹ Benveniste (1966) is said to have used this expression for the first time, while trying to distinguish between his *histoire* and *discours*.

¹² The narrator of the novel is neither the author, nor the familiar figure of the fictional character. Behind this mask there is the novel that narrates itself, the omniscient and omnipresent spirit which creates this universe. (our translation)

communicative framework the narrator should not necessarily be considered as a teller figure, but as a sort of projection that is made on the literary text in order to account for its existence itself, i.e. for its organization (temporal, structural etc.)¹³.

But it seems that even the interpretative function is assigned at some other level by some supporters of the poetic accounts. Galbraith (1995) explains that indeed she considers that readers may form opinions on the basis of the text which they attribute to the author. But the attitudes that do not reflect characters' opinions may not necessarily be explained in terms of a *narrator*:

In addition, the ontologies represented by the existence of a novel are at least two: the historical world of the author and the fictional world of the characters. Attitudes expressed by the text that we may at first take to sincerely represent the author's own ideology may be at any time preempted by a superior level of knowledge that scoffs at these attitudes and places them figuratively or literally in quotation marks, distancing them from the author's own subjectivity. Bakhtin (1981) referred to this aspect of narrative as the degree of refraction of the author's intentionality. But this refraction is not dependent on the existence of a narrator; the languages used to capture characters' experience commonly reflect a hierarchy of evaluation, but this evaluation may be objective (i.e., absolutely true within fiction) or it may represent the attitudes of social groups or characters at the story level.¹⁴

(Galbraith, 1995: 43)

2.4. Fiction - Pretense or Invention

According to Hamburger (1986) the term *fiction* (fr. *fiction*) comes from the Latin *fingere*. *Fingere* became the Italian *fingere*, the French *feindre*, the English *to feign*, or the German *fingieren*, which means that these verbs have only maintained the meaning of "to pretend", i.e. a negative connotation. However, the nouns/adjectives coming from the Latin *fictio* have also preserved the positive connotation the Latin words had, that of "invention" (in French "fictif" vs. "feint", in English "fictional" vs. "feigned"). Taking into account these facts, not surprisingly, two ways of conceiving fiction have been developed.

The first one views fiction as pretense ("structure en Comme Si"), while the second one, which Hamburger supports, considers fiction as invention ("structure en Comme"). Hamburger explains that the notion of pretense involves the meaning of treachery, which is not what the author wants to achieve when writing fiction. He/She does not pretend that the world he/she evokes is true so that one can say that he/she is cheating, by comparing the things written with the real world and seeing that they do not fit in it. He/She tries to make readers imagine/create the fictional world.

¹³Genette (1972) instead accuses the poetics of identifying "the narrative instance" with the "writing instance", the narrator with the author and the addressee of the story with the reader).

¹⁴ Our underlining.

Another view opposite to that of fiction as pretense and close to Hamburger's standpoint in some aspects is Currie's fiction as *make-believe*. Make-believe refers to the attitude readers adopt when reading fiction: Currie (1990) states that readers engage in an act of make-believe not of pretense.

[...] when reading fiction we regularly make-believe things we know or believe to be true: the architecture of a building, the climate of a country, the date of a battle. In such cases as these make-believe cannot be pretense. You cannot pretend to believe what you do believe, since you cannot do something and pretend to do it at the same time.

(p. 51)

These ideas have been taken over by the proponents of the Deictic Shift Theory (DST). According to the DST, authors and readers construct and/or reconstruct the world of the story by shifting "their deictic centre from the real-world situation to an image of themselves at a location within the story world. This location is represented as a cognitive structure often containing the elements of a particular time and place within the fictional world, or even within the subjective space of a fictional character." (Segal, 1995: 15)

Coming back to Hamburger, it must be said that she considers "fiction" to be represented by third person narration and to be opposed to "feigned reality statements" - first person narration. Put differently, she views the two categories as two different *genres*. This position is one of the things that attracted much criticism because what Hamburger does is place outside of *fiction* (as a general term) literary texts that are traditionally held to be part of it, i.e. 1st person narratives (Genette's homodiegetic texts) and even some 3rd person texts which lack Hamburger's basic criterion - representation of subjectivity in the third person (externally focalized heterodiegetic texts, with a narrator not represented in the story).

2.5. Deictic Approach to the Narrator

In *Deixis in Short Fiction*, Segal mentions that deixis has been one of the main centres of interest in the development of the DST. The main thing observed about deixis in fiction is that:

[...] deictic terms almost never refer as a function of the "standard" discourse situation, even though they do refer as a function of some situation.

(p. 2)

The interesting thing is what exactly this situation is in fiction. Segal tries to point out the differences between the two mentioned situations, the standard discourse one and the fictional one by discussing some examples. In what follows next we will present and develop upon some of them.

e.g. (1) The door of Henry's lunchroom opened and two men came in¹⁵.
(Hemingway, *The Killers* apud Segal, *Deixis in Short Fiction*: 2)

When reading such a sentence the reader (in his imaginative process) will inferentially position him/herself inside the lunchroom and will 'see' two

¹⁵ Our underlining.

(unknown) men enter the room. Adopting such a position in space is triggered by the use of the verb “come”.

The deictic “come” is used from the point of view of an observer that is located inside the lunchroom and “at the time the event was occurring” because “if the narrator and the reader were actually in Henry’s lunchroom at the time the men entered there would be no reason for the text at all.” (*ibid*). If the sentences expressed an external perspective we would have a different expression:

e.g. (2) The door of Henry’s lunchroom opened and two men went in¹⁶.
(*ibid*)

And if the sentence were told from the perspective of a narrator at a different time, the time needs to be marked:

e.g. (3) Once, when I was in Henry’s lunchroom¹⁷, the door opened and two men came in.
(*ibid*)

We notice from the explanations above that the narrator is taken to be only the fictional agent whose existence as a reporting stance of past events needs to be marked linguistically (e.g. (3)). If this situation does not apply, but we still want to posit a narrator then, in Segal’s interpretation, we might have a situation in which the narrator would be telling the story “at the time the event was occurring”, which cannot be accepted.

We believe that this interpretation involves the idea that the past is a signal of fictional events¹⁸ and the narrator is a fictive agent (belonging to the world of the story), which means that Segal presupposes that, even fictionally, living an experience and telling it at the same time is not possible. We need to mention at this point that the idea of the past tense having a non-temporal value in third person narratives has been previously sustained by Hamburger (1986).

Communicative supporters could argue that every narrative is in the first person, explicitly or not, because the narrator may use the pronoun “I” at any moment to designate him/herself (cf. Patron, 2006). This may be true for the example (1) as sentence (3) seems to prove, but it won’t apply in the case of free indirect sentences/represented speech and thought (at least in some situations):

In this sentence by Flaubert, for example: *Qu’importe! elle n’était pas heureuse, ne l’avait jamais été* (What does it matter! She wasn’t happy and never had been) [Flaubert 1995, 555, my translation]¹⁹, the exclamation is attributed to “she”, which refers to Emma Bovary. But if we add an “I”, which would read something like: *Qu’importe! elle n’était pas heureuse, ne l’avait jamais été, à mon avis* (What does it matter! She wasn’t happy and never had been, to my mind)²⁰, this exclamation must be attributed no longer to Emma, but to the referent of the first person pronoun; there is no

¹⁶ Our underlining.

¹⁷ Our underlining.

¹⁸ And thus the past would constitute a deictic field (the deictic centre of the story world).

¹⁹ Patron’s insertion.

²⁰ Patron’s insertion.

longer trace of a subject of consciousness designated by using a third person pronoun. [...] In other words, free indirect style as defined by Banfield presents a singular case of observation which falsifies narratology and Genette's hypothesis.

(Patron, 2006: 126)

How does the free indirect discourse change matters? This is a question which still remains open in the literature.

3.0. Final Remarks

3.1. Summary

To sum up, the communicative accounts adopt and develop on Plato's theory. They consider that all linguistic performances involve a speaking subject and an addressee, thus having *telling* as a basic concept. The poetic ones posit that *telling* and *showing* are two modes of linguistic performance.

Patron remarks that poetic accounts study fictional narrative as "fiction", rather than as "narrative" (the object of study of communicative approaches. Additionally, fictional narratives can be interpreted as either "invention" or "pretense", respectively. These ideas originate from Hamburger's (1986) study - what she does is regard the two 'types' of narrative fiction as two different genres.

What is a narrator and what are his/her/its functions is another debatable issue. Interpretations vary to some degree. According to some, it is the interpretative function that should signal a narrator for those supporting the poetic view. However, some poetic supporters do not consider it a condition that necessarily applies only to a narrator.

Postulating a narrator in the deep structure of a text (communicative approach) has as one consequence the fact that the past tense always has the present of a narrator as its reference time. Rejecting this idea means that the past tense is not necessarily taken as a signal of temporality (poetic framework).

3.2. Conclusion

Finding a solution to the issue of how to interpret fiction is not what we have tried to achieve here. Our purpose was to draw an unpretentious survey regarding the issue. Due to the limited space available, we were not able to include many other interesting standpoints, which is why our conclusion is one of a rather general nature.

What we notice is that the differences between the two approaches relate to the fact that there is no common agreement between theorists on various important aspects (the definition and characteristics of the narrator, the role of the past tense in fiction and consequently on the way fiction should be viewed ontologically), which leads to overlappings, fuziness etc.²¹

²¹ For example, throughout 'history', concepts have been defined similarly although considered different. This can be explainable to some extent, as in some cases we deal with the 'early history'.

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UNDERWORLD: A PARALLEL INTO HISTORY

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ABSTRACT. The underworld is all about the parallel, unofficial and ignored existence of the human being. The art was full of antiofficial, anticentrist and antiunification movements. The lack of a content hides a perfectly symmetrical structure. The novel starts with a prologue and ends with an epilogue, while the chapters are set in between but in order opposite the the chronological one. Between the chapters themselves one may find three moments referring to a certain Manx Martin. The basic idea was to preserve the mystery by not naming things. The novel thus offers an original and authentic esthetic experience. Yet the novel permits only a subjective experience which is to take place at the individual level.

Key Words: underworld, symmetrical structure, aesthetic experience

This part is not an introduction to anything but to a concept. There is an excellent novel by Don DeLillo called *Underworld*. This book is stunning in itself but the idea behind it is a story in itself. The reader of these lines should understand that they would like to be an explanation of the concept of underground as it may hold the key to the world of the novel.

The first mentions of the underground are the depictions of the afterlife of the damned in various cultures and their literary and religious creations. But of course they weren't called that way. The first thing genuinely *underground* was the Underground Railroad which was a more or less loosely organized system for smuggling African American slaves from the South to the North, thus restoring their freedom. During World War II various resistance movements sprouted up in various occupied countries. They were collectively known as the underground. These last two had had one thing in common which will later be claimed by artists: they fought against an established order by unorthodox means.

The underground as an artistic movement sprouted up only after World War II. Some may disagree and say that the underground existed even before this war and their arguments might seem compelling enough. But the fact of the matter remains that even though experimentalism was beginning to take shape even before the war, it took the another ten years or so until the cold war era would send experimentalism into the underground as there was a need for the western way of life to oppose the red threat, and that meant a sort of conformism.

After the war the Existentialist movement appeared and influenced western and eastern cultures alike. Of course one may wonder what was out of the ordinary

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with the existentialism. The reply is in sight. Existentialism is by definition underground although in plain sight. The existentialists dealt with such things as the human condition as the one inescapable thing and they transformed the literary conventions so as to express this truth. But people seemed to enjoy reading existentialist novels so they became widely spread. Having this in mind one might say that they cannot possibly be underground (anymore). But a wolf whistle remains a wolf whistle.

The end of the nineteen fifties was another turning point. Artists turned once more to their primary source of inspiration. One can easily call them dreamers. This process brought upon an entire array of utopian worlds which had little to do with the outer reality, the one which we believe to be true. Their ideas were by no means original or extremely exciting, yet they were something good for their time. The dreamer artists' greatest accomplishment was not to be foreseen but it would be revolutionary nonetheless.

The dreamer artists would unknowingly and unwillingly generate alternative cultures. They emerged during the nineteen seventies and early nineteen eighties. The alternative cultures became the best known part of the underground movement. They were the last major trends born in obscurity. Of course some call them subcultures. Today they are simply known as punk rock culture, techno music/rave culture and (underground) hip hop.

Many may not entirely agree with this statement: these alternative cultures were the last true underground trends. Frank Zappa distinguished between *Mainstream* (or the official, the accepted, the tolerated, the imposed, the suggested) and the *underground*. Many past artistic trends fit neatly into one or the other category. But in the present what starts as underground ends up as mainstream. There is no real boundary between the two anymore. Moreover, there is this possibility that artistic production not meant to be sold in any way might still make it into the houses of a huge number of receptors via electronic means. This means of course that such productions are no longer hidden.

When reading *Underworld* by Don DeLillo one must have all these things in mind, due to the structure and the composition of the novel.

2. Structure

Usually a great novel is expected to present its readers with a preview of sorts called *Contents*. Even more so when we deal with a highly respectable 827 pages book which takes a careful reader an average of two months to go through end-to-end. A *Content* has practical considerations. The reader is thus able to know what he is going to read and at page. But this novel is not selling itself cheap. To be more precise it does not have a table of contents. It becomes painfully obvious that it is very difficult for the average reader to go through it. To put it straight, DeLillo created a highly complex structure with no indications for the reader.

The reader might think that it is one of those instances when one is allowed to freely interpret the work. This assumption is not true. Like any respectable work of art this novel too has a request in so far as how it would best be read. Although the novel provides no overt directions to the reader it is split into several parts, thus giving the reader some hints which can and probably will eventually lead to an interpretation of sorts.

This is a “reconstruction” of the contents:

First Part	Prologue The triumph of death
	Part I Long Tall Sally Spring-Summer 1992
Manx Martin 1	
Second part	Part 2 Elegy for left hand alone Mid-1980s – Early 1990s
	Part 3 The cloud of the unknowing Spring 1978
Manx Martin 2	
Third Part	Part 4 Cocksucker Blues Summer 1974
	Part 5 Better things for better living through chemistry Selected fragments public and private in the 1950s and 1960s
Manx Martin 3	
Fourth part	Part 6 Arrangement in Grey and Black Fall 1951 – Summer 1952
	Epilogue Das Kapital

It is crucial for the confused reader to try and find that sort of directions one needs to see the whole picture. The usual logical chronological sequence implies a beginning certain events and an ending, all ordered according to the historical time. This is obviously not the case. The chronology starts indeed with the prologue but the order is then reversed, only to get back on tracks with the epilogue. In between these partitions there is the story of Manx Martin which seems to flow naturally.

The naturally occurring question would if the novel should be read beginning with the end. The reader must keep in mid the fact that the novel was written this way in order to make a point. For example the prologue is in utter contrast to the last part of the chronology (Long Tall Sally Spring-Summer 1992) while the first part of the chronology (Arrangement in Grey and Black Fall 1951 – Summer 1952) is contrasted by the first part of the chronology.

It is therefore unwise although seemingly practical to read the novel back to front. It is not worth mentioning that this method of lecture will only render useless the Manx Martin moments. To the untrained eye the effect this type of reading has seems to be the loss of the effect the novel is meant to have. The conscious reader will immediately acknowledge the fact that reading it back to front implies the deliberate destruction of this work of art.

The structure of this incredible novel is as precise as clockwork, although it is not obvious from the beginning. The story however is a different venture.

3. Composition

In 1979 Don DeLillo gave an interview to Tom LeClair. It was on this occasion that Don DeLillo spoke openly about his creed. He emphasized the idea of *mystery* as the condition for art to exist, as well as the idea of *keeping quiet* as a mean of guarding this mystery. The narrative or the story of *Underworld* is doing the best it can to achieve that goal.

Underworld stars with a vivid description of a baseball game in the early nineteen fifties and ends with the dawn of the Internet in the early nineteen nineties.

Within its pages there are three fundamental themes: the evolution of baseball in the USA after that fateful game, the omnipresent atomic threat and the mounds of waste generate by the contemporary society.

There is the very real possibility of moving back and forth in the underworld, as it becomes obvious that different characters and situations belonging to different time spans are so closely although at first unseemingly intertwined.

In order to weave this intricate web and still be able to retain some degree of clarity the writer had to employ some contemporary techniques. It is therefore unsurprising that one will be able to find hypertext within the boundaries of the novel. This is another way of saying that narrative threads are linked by other narrative threads of different nature than the first. The use hypertext enables the jump from character to character in pretty much the same way as the possession of the ball during a game focuses the attention on one particular player. This is the basic reason for the Manx Martin Moments.

It is no accident that everything starts on that fateful day when two major events superimpose. The baseball game brings about a certain group of friends like Lenny Bruce, Frank Sinatra and of course J. Edgar Hoover. This last character is used to introduce the other event taking place simultaneously: the first soviet nuclear test, which combined with the first, will determine the course of history during the next forty years or so. But that is of course not all there is to it.

The one friend not yet mentioned is the key, Nick Shay. Of course each one of the friends has something to hide, but Nick Shay a man with a not so glamorous past, came to manage both the baseball league and the waste industry, thus controlling the basic aspects of American life. It seems unlikely in the beginning, but it becomes increasingly obvious, as the story progresses, that he is

the main character, although admittedly not your average main character. Still it is around him that the three great ones gravitate, as well as his other numerous colleagues and friends, his family and lovers.

This remarkable story with so many characters, plots and subplots is a victim of its own size. For instance a rather appealing murder subplot is simply abandoned halfway through as are as are the stories of the top baseball players. Closer attention is sometimes unnecessarily paid to certain memories which lie dormant in the memory of the childhood. On the other hand some abandoned stories are revitalized towards the end of the novel. Despite these inconstancies in composition, this novel is quite well written, meaning that the portraits of characters and the depictions of situations, incomplete as they may be are still remarkable.

Take into account the image of J Edgar Hoover. He is what one may call a man suffering from paranoia. He is depicted from the perspective of a man of the church, a missionary. The next and most notable description is that of Nick Shay's rather unfortunate childhood. This is by far the longest and it takes the reader into a projected tour of the slums and ghetto life. The last description is that of the nuclear waste of the defunct Soviet Union deposited somewhere in Kazakhstan. It is a reminder of that which is hidden, of those things which lay in the underground of the human consciousness.

4. Criticism

Any novel can easily remain in the shadows as long as it is unacknowledged. Thankfully this is not the case. The very covers of the 1997 Picador edition are filled with such acknowledgements. And they range from positive to very enthusiastic responses too.

The first one to make any definite statement is Salman Rushdie. According to him DeLillo is a master. One must believe Rushdie because by now the reader has made some sense of the novel in question and, it is rather unlikely for anyone to disagree with this statement.

Michael Ondaatje speaks of something a bit less general. He mentions the world *multitudes*. It is true that *Underworld* by Don DeLillo contains, comprises, and is comprised of multitudes. But the meaning of the word multitudes is not that of crowds. It is that of different stories and vignettes.

Another man, William Boyd writing for the *Observer* speaks about the human condition. He implies that this novel really gets through to catch a glimpse of the human condition. According to William Boyd the lecture of this particular novel provides the reader with a thrilling aesthetic experience. He argues this with things like impressive dialogue, structure, timing, precise description.

From the *Sunday Telegraph* Geoff Dyer has a different approach. He reads the novel in the context of the history of literature. He sees *Underworld* as an embodiment of everything that has been done before and a bit more. Starting with its humongous size this critic realizes that it goes further than the legacy it was passed on by previous works.

Maybe the most interesting sort review comes from *Times Literary Supplement*. Whoever wrote it realised that it took certain conditions for *Underworld* to come into being. Thus *Underworld* will always remain unique.

Peter McKay from *Daily mail* notices just how important and fortuitous for the reader was the publication of *Underworld*. According to him readers really have something to learn from this book.

All in all, this novel was able to tell everybody something, which is a sure sign of value.

5. Conclusion

This writing is basically built upon the idea that the underground movement appeared under certain conditions sometime during World War Two. After the war it developed into a cultural movement, as the cold war was on. It is a product of the last half of the 20th century. It ceased to exist, to fully live when the order that created it was gone. The novel *Underworld*, although a fictional work, written in a postmodern style is a fairly good image of these particular things. The only problem is that the underground, the movement which *Underworld* is a product of, was a moment of uncertainty in the history of mankind. Then how can somebody define the characteristics of things which are not completely known? Well this is the magic of the novel: nobody can fully comprehend the whole, yet everybody understands...

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METAPHORS OF MONEY

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ABSTRACT. The article tackles the issue of the linguistic and visual metaphors of money, focusing on interpreting them as cognitive instruments and as elements that may manipulate one's attitudes, opinions, feelings and behaviour.

Key words: metaphors of money, linguistic metaphor, visual metaphor, cognitive tool, manipulative force

1. Introduction

Metaphors are pervasive in our daily lives – most obviously in language, but nevertheless present in our actions and thoughts, so that they transgress the boundaries of a linguistic phenomenon and affect the way we think and act in the world. “Our concepts structure what we perceive, how we get around in the world and how we relate to other people. Our conceptual system thus plays a central role in defining our everyday realities. If we are right in suggesting that our conceptual system is largely metaphorical, then, the way we think, what we experience and what we do every day is very much a matter of metaphor” (Lakoff and Johnson 1984: 3). In other words, not only does language rely on metaphor to convey meaning, but metaphorical concepts systematically structure our understanding. By using metaphors, we activate previous experiences with things and phenomena in order to explain, interpret and understand new ones.

Besides being cognitive tools, metaphors are, undoubtedly, triggers of attitudes and feelings. Depending on the type of implicit association between the source and the target domains, certain emotional reactions that cannot be ignored are brought fore by metaphors.

The present paper aims at investigating, against this dual background, the metaphors of money selected from the 2007 issues of *Capital*, a Romanian weekly business newspaper alongside six visual metaphors (images of money with a metaphorical value), available online.

2. Lexical metaphors of money

2.1. Money as a creature

Quite frequently in *Capital*, (in fact, so frequently that we may consider it a systematic metaphor, a metaphor we live by), money is talked about as if it were a living creature, human most of the times, but, though more rarely, non-human as well.

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The anthropomorphic metaphors take shape as part of the “business as fighting” scenario, itself pervasive in the discourse of economics (a topic I enlarged upon in a previous paper, Frățilă, forthcoming). They may be classified into antonymic groups, according to which aspect is highlighted, to whether money is the winner or the loser of a battle. The former category may be illustrated by quotations such as:

Now the leu has its glorious days... The match is not over yet, and its perspectives are even brighter.

The euro smashes the dollar on the European markets.

The leu, this Rocky of the financial domain has recovered in about the tenth round, and it has become a champion in the last two years. (Mugur Isarescu, the Governor of the Romanian National Bank)

In 2005, the winner of the credit will be appointed: it will be either the leu or the euro,

while examples in the latter include:

The dollar has taken painful punches.

The blow was so strong that the dollar could not get off the floor for three consecutive days.

After three attempts at breaking the threshold of 1.45 for a euro, the finishing blow was given to the dollar by China.

After this last battle, the king leu is singing his swan song.

Outside the frame of the general conceptual metaphor “business is war”, money is implicitly compared to a child:

We are carefully monitoring the evolution of the lei credit, which has grown too big for his boots... As a responsible parent, M. Isarescu says that ‘in the beginning we were happy’ at his evolution but we have to take double care especially after his recent bold growth. For the moment, the cheeky child won’t be punished severely, he will be warned only. In the future, things might change... The small sanctions we have given him so far haven’t had a very strong effect.

Describing money in terms of its being human takes other forms as well, including that of an ill person, sometimes embodied in what Lakoff and Johnson (1980: 15) call orientational metaphors (born out of our basic experiences of human spatial orientation, on a physical basis: when our health is dramatically affected, we are forced to lie down, while, when we are perfectly healthy, we are up):

The National Bank of Romania has launched on the market the antidote needed by the leu to recover... The antidote has appeared, and the fever of the leu went down, but the feverish state didn’t.

The leu is sinking fast.

The health of the leu is declining.

The leu is flat on its back with a serious illness.

The non-human metaphors are prompted by the name of the Romanian currency, which, in translation, is the equivalent of “lion”. Based on this correspondence, images such as the following are created:

The strong leu (lion) roars at the exporters' profits.

The population has profited by the leu (lion) which bites the euro.

The foreign currency credits start showing their fangs.

The opposite of the metaphor of money as a lion is that of money as a jade, a linguistic device which expresses the intended meaning more concisely than a prolix non-metaphorical equivalent:

The leu is a jade artificially sustained by the fact that the investments funds worldwide speculate the exchange rate.

M. Isarescu pretends he is an illusionist and shows us how strong the jade called leu is.

The above ways of picturing money establish similarities that do not exist independently of the metaphors. Besides adding dramatic effect to the narrative (Cortazzi 1991), the metaphor-induced equivalences mentioned serve an explanatory purpose successfully. They function properly at a cognitive level, since they help the readers understand the unfamiliar in the world of business in terms of what they are supposed to be very well acquainted with, they themselves, a pretty common wild animal such as the lion and a jade, a thin horse that has not been taken care of and feed properly. On the one hand, we have all been in a situation of winning or losing a battle and have been confined to bed by a severe illness once in a while. On the other, we must have heard a lion roaring (in films or on tapes if not in a real life context) and know what a frightening effect this may have. We, most probably, have all seen a jade.

Some of the metaphors quoted might, however, be part of a journalistic strategy. They may serve as a sort of subliminal advertising tool meant by the authors of the articles to attract their readers' attention (most of the metaphors are used in the titles) and ease the selling of a newspaper which the average, non-professional audience would not probably buy on a regular basis. Admittedly or not, we have developed an appetite for reading stories of terminal illnesses, of violence, of who won a war and who lost it. Such stories are even more captivating when the main hero is a well-known Hollywood film character – Rocky Balboa. Thus, the Governor of the Romanian National Bank made an inspired choice when he idiosyncratically spoke about the evolution of our national currency as if it had been the evolution of a boxer in the ring. His choice of the money – child metaphor was equally inspired, though the effects created are different. When a public person as important as the head of a country's bank describes himself as a caring father, supervising his child's every move so as to keep him on the right track, he cannot but be admired and trusted (though, an informed reader, knowing that the governor's orders have not always had positive consequences, may frown on this description and the effect of the metaphor is reversed).

2.2. Money as an object

There are two inanimate vehicles of the topic money in the corpus analyzed. One occurs in the metaphor "money is a car" (illustrated in a) and the other in the metaphor "money is a liquid" (exemplified in b)).

a) *The dollar speeds up.*

The exchange rate rams the sector of big machinery.

b) *The euro has frozen at the level of 3.52 lei.*

The leu melted by 0.3% in June.

Besides these two metaphors, I selected one more from the articles of *Capital*. The creation of the Governor of the Romanian National Bank, it does not refer to money itself, but to a process involving it. However, I consider it worth mentioning here, together with its wider context:

If, for example, two million euros flow in, the interest will fall and the exchange rate will appreciate. At a certain level of the exchange rate, however, potential investors are discouraged to invest. On the other hand, if outflows are bigger than 2 billion euros, even as little as 200 million matter because ...the interest rises and the exchange rate depreciates. The monetary basis is an advantage for the moment, but it may be a disadvantage as well. That is, for small amounts, variations may be big.... It is the metaphor of a one hundred coaches' train pulling at a platform which is five coaches long only and everybody wants to get off, in the field, in the mud or they simply cannot get off.

In the case of the first two metaphors, the cognitive function is obvious. They are used to explain an unknown situation based on what is grounded in our experience. In the case of the train metaphor, however, the cognitive role seems to be unclear. Readers in general, expect metaphors to clarify particular aspects of the topic, which does not happen here, at least not to the full extent. As an unskilled person in the world of business, I found it difficult to find the similarities between fluctuations in cash in and outflow, the evolution of the exchange rate and the longer train pulling at a shorter platform. Therefore, my opinion that the aim of this particular metaphor is not primarily cognitive may be justified. I may not be wrong in saying that what the Governor aims at when uttering such words is to make an ambiguous situation, for which he has no explanations, appear pretty clear.

3. Visual metaphors of money



Figure 1



Figure 2



Figure 3



Figure 4



Figure 5



Figure 6

The visual metaphors of money are quite diverse, as it can be seen in the pictures above, selected from the ones available online.

In Figure 1, the visual metaphor which represents money as weights on a pair of scales, corresponds to the metaphor of the fight between currencies, illustrated by some of the examples above. Figure 2 stands for the idea of money laundry, of “washing” dirty money. Figure 3 suggests the fact that money is a life saving element, it is like a bubble of oxygen for somebody who needs to breathe underwater. In Figure 4, money becomes the leaves of a tree, while in Figure 5, it is the devil. Finally, in Figure 6, it replaces eye patches that obscure vision.

Out of a specified context, as I had access to them, the visual metaphors above have a pretty obvious cognitive function, their role as triggers of emotional reactions or particular attitudes or as manipulative devices not being clear in these cases, though it may be speculated upon, at least in some of the instances.

As such, just like the linguistic metaphors discussed in the previous section, they structure the concept money partially only, in the sense that they cover a number of the aspects of the implied comparison, but not all. They highlight some characteristics of money, while leaving others unexplored. Thus, the balance in Figure 1 shows that the winner in the fight of currencies is the dollar, it is more powerful than the euro, the strength of the currency being thus emphasized. In Figure 2, the stress falls on the illegal way in which the money has been earned, while Figure 3 makes us think of how necessary money is in borderline cases. In Figure 4, the quantitative element of the implied comparison is highlighted – money is as numerous as the leaves of a tree. The negative characteristics of money (whichever they are) are pointed at in Figure 5, not only by the drawing, but by its colour as well (this visual metaphor bears obvious similarities with the very frequently used metaphor in “money is the devil’s eye”). The same type of characteristics are brought to the fore by the metaphor in Figure 6, since money prevents one from seeing, it cannot be but a bad thing. Further interpretation of this metaphor prompts the idea that, blinded by money, one may lose one’s mind and no longer be capable of straight judgment.

The metaphor in Figure 1 is quite helpful in making the rapport between the two currencies clear. Depending on the situation and on personal experiences, this visual representation may bring joy or sadness, it may trigger one kind of actions or another (for example, if one has savings in euros, that person might feel happy, since s/he is favoured by the rapport indicated, if, on the contrary, one’s savings are in dollars, that person might suffer losses in the context illustrated, and therefore look at the situation pictured with bitterness, etc). Figure 2 might, unfortunately, encourage the thought that money that has been earned illegally can be turned into clean money, while the visual metaphor in Figure 3 might increase one’s desire to have money, since it is so useful in a crisis situation. My own reaction at Figure 4 remained within cognitive limits. I understood the allusion at a considerable quantity of money, but did not have any emotional reaction to it. Neither did I think of acting in a specific way. The metaphors of money as the devil and as the eye patches, in Figures 5 and 6, unlike

that in Figure 3, might determine one to think twice when turning the making of money into one's number one priority.

4. Conclusions

The metaphors of money analyzed are pretty diverse, ranging from very frequently used ones, such as the metaphor of money as a fighter in the business war, as the weights on a pair of scales or the leaves of a tree, to less familiar, quite unexpected implied comparisons such as the parallel between money and Rocky or that between the longer train pulling at a shorter platform.

They cover a range of roles as well. The most evident of these is that of a cognitive instrument, serving to explain what is unclear or unknown by relying on what previous experiences have turned into familiar things. They also add dynamism and flavour to the narratives in which they are used as attention grabbing elements and have manipulative effects, in that they trigger particular emotions, beliefs and attitudes.

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Corpus selected from:

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2. <http://www.google.ro>

The examples in [2] and [3] show that the Romanian “Presumptive” displays the (perfect) participle in Perfect Presumptive and the gerund (present participle) in Present Presumptive. The two forms create an aspectual contrast of the perfective vs. imperfective type. The RG analysis of [2] and [3] interprets both participle and gerund as chomeur predicates in predicate unions (La Fauci, pp. 4-5), which is also confirmed by the raising, irrespective of the syntactic type of the initial predicate, of the reflexive clitic ‘se’ (Davis and Rosen 1988).

[3a] Se vor fi **temut** ei de câini, (dar au mers înainte.)
 cl-refl.Acc.3rd pl will be feared they by/of dogs, ...
 ‘They might have feared the dogs, (but they went on)’

[3b] Se vor fi **speriat** ei de câini, (dar au mers înainte.)
 cl-refl.Acc.3rd pl will be frightened they by/of dogs, ...
 ‘They might have been afraid of the dogs, (but they went on)’

[3c] Se vor fi **speriind** ei ușor de câini, (dar de găini nu le e frică.)
 cl-refl.Acc.3rd pl will be frightening they easily by/of dogs, ...
 ‘They might easily get scared of dogs, (but they are not afraid of hens)’

[3d] Se vor fi **temînd** ei de câini, (dar vor merge înainte.)
 cl-refl.Acc.3rd pl will be fearing they of dogs, ...
 ‘They might fear dogs, but they will go on.’

[4a]

	1,2	P			
	1	P			
	1	Cho	P		
1	P		2	(lower clause)	
1	P	2	Cho		
1	P	Cho	2	Cho	

(eu) L-am văzut (pe el) spăl**îndu**-se. \approx
 (I) cl-Acc.3rdsg.masc. have seen (him) washing cl-refl.Acc.3rdsg.
 ‘I saw him washing himself.’

			1,2	P	
			1	P	
			1	P	
1	P		2	(lower clause)	
1	P	Cho	2		

(eu) Am văzut că (el) se spăla.
 (I) have seen that (he) cl-refl.Acc.3rdsg washed-imperfective
 ‘I saw that he was washing himself.’

[4b]

	1	P		2	
	1,2	P		Cho	
	1	P		Cho	
	1	Cho	P	Cho	
1	P		2	(lower clause)	
1	P	2	Cho		
1	P	Cho	2	Cho	

(eu) L-am văzut (pe el) tem**îndu**-se de mine. \approx
 (I) cl-Acc.3rdsg.masc. have seen (him) fearing cl-refl.Acc.3rdsg. of me
 ‘I saw him fearing me.’

			1	P	
			1,2	P	
			1	P	
1	P		2	(lower clause)	
1	P	Cho	2		

(eu) Am văzut că (el) se teme/a/ se teme.
 (I) have seen that (he) cl-refl.Acc.3rdsg feared-imperfective/fears
 ‘I saw that he was fearing me.’

[4c]	<table style="width: 100%; border-collapse: collapse;"> <tr><td></td><td></td><td style="text-align: center;">2</td><td style="text-align: center;">P</td><td></td><td style="text-align: center;">2</td></tr> <tr><td></td><td></td><td style="text-align: center;">1,2</td><td style="text-align: center;">P</td><td></td><td style="text-align: center;">Cho</td></tr> <tr><td></td><td></td><td style="text-align: center;">1</td><td style="text-align: center;">P</td><td></td><td style="text-align: center;">Cho</td></tr> <tr style="border-bottom: 1px solid black;"><td></td><td></td><td style="text-align: center;">1</td><td style="text-align: center;">Cho P</td><td></td><td style="text-align: center;">Cho</td></tr> </table>			2	P		2			1,2	P		Cho			1	P		Cho			1	Cho P		Cho	<table style="width: 100%; border-collapse: collapse;"> <tr><td></td><td></td><td></td><td></td><td style="text-align: center;">2</td><td style="text-align: center;">P</td></tr> <tr><td></td><td></td><td></td><td></td><td style="text-align: center;">1,2</td><td style="text-align: center;">P</td></tr> <tr style="border-bottom: 1px solid black;"><td></td><td></td><td></td><td></td><td style="text-align: center;">1</td><td style="text-align: center;">P</td></tr> </table>					2	P					1,2	P					1	P	
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Gerunds complementing verbs of perception, as in the examples in [4], are not predicate chomeurs, but ‘gerund clauses’. As they cannot advance to the subject relation in passive constructions, we can assume that ‘gerund clauses in such positions, although initial DO, are put into chomage by the ascension of their inner argument under the *Relational Succession Law*: *A nominal promoted by an ascension rule assumes the grammatical relation borne by the host out of which it ascends* (Blake, p. 94). From this point of view they are similar to Romanian supine clauses (Todea, 115-118). Gerund complementing verbs of perception have a clear imperfective aspectual feature, as the contrastive examples *gerund vs. participle* show and also the comparative finite object clauses constructions in [4] and [5]. An interesting issue is whether the participles in [5a,b,c] are predicates in chomeur participial clauses, or predicate chomeurs in predicate unions in the main clauses. As chomeur participial clauses are marked by the chomeur marker ‘de’ in Romanian (see Todea), we prefer the predicate union analysis of [5 a,b,c] participial constructions.

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	(eu) L-am văzut (pe el) spă lat . (I) cl-Acc.3 rd sg.masc. have seen (him) washed 'I saw him washed.'		(eu) Am văzut că (el) s-a spă lat . (I) have seen that (he) cl-refl.Acc.3 rd sg has washed-perfective 'I saw that he washed himself.'																																					
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	(eu) L-am văzut (pe el) spă lat																																							

[5b]

(eu) L-am văzut (pe el) temut.

(I) cl-Acc.3rdsg.masc. have seen (him) feared
'I saw him feared.'

≈

(eu) Am văzut că oamenii se tem de el./ că (el) este temut.

(I) have seen that people cl-refl.Acc.3rdpl fear of him/ that (he) is feared
'I saw that people feared him/ that he was feared.'

[5c]

(eu) L-am văzut (pe el) speriat.

(I) cl-refl.Acc.3rdsg. have seen (him) frightened
'I saw him scared.'

≈

(eu) Am văzut că (el) s-a speriat.

(I) have seen that he cl-refl.Acc.3rdsg has frightened
'I saw that he got scared.'

Such gerunds as in [6c,d] have been interpreted as IOs in the main clause (Neamțu, p.388), but by comparing them with the chomeur participle clauses in [6a,d] (initial subjects put into chomage by the retroherent unaccusative advancement of the arguments of the two unaccusative main clause predicates), they seem to be rather oblique clauses with an imperfective aspectual feature.

[6a]

1		P	2
2		P	1 _(lower clause)
1,2		P	Cho
1		P	Cho
1	P	Cho	Cho

(eu) M-am săturat de corectat lucrări.

(I) cl-refl.Acc.1stsg. have fed-up of graded papers.
'I am tired of grading papers.'

[6b]

1		P	2
2		P	1 _(lower clause)
1,2		P	Cho
1		P	Cho
1	P	Cho	Cho

(eu) M-am plictisit de corectat lucrări.

(I) cl-refl.Acc.1stsg. have bored of graded papers.
'I'm bored with grading papers.'

[6c]

1		P	2
<hr/>			
2		P	Obl _(lower clause)
1,2		P	Obl
1		P	Obl
1	P	Cho	Obl

(eu) M-am săturat corect**înd** lucrări.(I) cl-refl.Acc. 1stsg. have fed-up grading papers.

'I got tired grading papers.'

[6d]

1		P	2
<hr/>			
2		P	Obl _(lower clause)
1,2		P	Obl
1		P	Obl
1	P	Cho	Obl

M-am plictisit corect**înd** lucrări.(I) cl-refl.Acc. 1stsg. have bored grading papers/

'I got bored grading papers/ walking alone.'

Examples [7a,b] show a retroherent unaccusative advancement of the DO of an unaccusative-with-optional-transitivity predicate.

[7a]

1	P	2	Obl
Cho	P	1,2	Obl
Cho	P	1	Obl

PRO_{abs} Se vînd flori în piață.cl-refl.Acc.3rdpl sell flowers in the marketplace

'Flowers are being sold/ are sold in the marketplace.'

[7b]

1	2	P	Obl
Cho	1,2	P	Obl
Cho	1	P	Obl

PRO_{abs} Florile se vînd în piață.flowers-the cl-refl.Acc.3rdpl sell flowers in the marketplace

'Flowers are being sold/ are sold in the marketplace.'

[7c,d] display ‘imperfective’ gerund clauses complementing verbs of perception, which are also pseudoreflexives due to unaccusative retroherent advancement [7a], and respectively, the ‘possessive’ reevaluated to IO relation in the higher clause as a result of nominal union (Blake, pp123-127).

[7c]	1	P	2
	Cho	P	1,2
	Cho	P	1
	Cho	Cho P	1
1	P	2	(lower clause)
1	P	Cho	2

(eu) Am văzut PRO_{abs} vînzîndu-se flori.
 (I) have seen selling cl-refl.Acc.3rdpl?/sg? flowers
 ‘I saw flowers being sold.’

[7d]	1	P	2	P,2
	1,3	P	2	
	1	Cho P	2	
1	P	2	(lower clause)	
1	P	2	Cho	
1	P	Cho	2	Cho

(eu) L-am văzut (pe el) vînzîndu-și florile
 (I) cl-refl.Acc.3rdsg. have seen (him) selling cl-refl.Dat.3rdsg flowers-the
 ‘I saw him selling his flowers.’

[7e,f] show ‘perfective’ oblique gerund clauses with pseudoreflexivity produced by the same mechanisms which are at work in [7c,d].

[7e] Vînzîndu-se florile, (florăresele au plecat acasă.)
 selling cl-refl.Acc.3rdsg?/pl? flowers-the, ...
 ‘Having sold the flowers, (the flower girls went home.)’

[7f] Vînzîndu-și florile, (florăresele au plecat acasă.)
 selling cl-refl.Dat.3rdpl flowers-the, ...
 ‘Having sold their flowers, (the flower girls went home.)’

[7g] Florile fiind vîndute, (florăresele au plecat acasă.)
 Flowers-the being sold, ...
 ‘As their flowers had been sold, (the flower girls went home.)’

[7h] shows the topicalization of the predication in the main clause. The participle clause fails to display the pseudo reflexive clitic.

[7h] De vîndut, florile s-au vîndut.

Of sold, flowers-the cl-refl.Acc.3rdpl have sold.
 'About selling, the flowers were sold.'

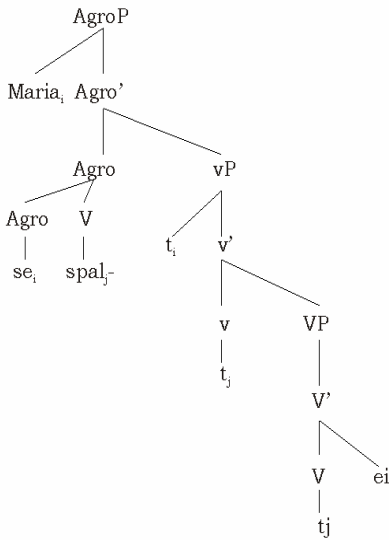
De plîns, (el) s-a plîns.

Of complained, (he) cl-refl.Acc.3rdpl has complained.
 'About complaining, he complained.'

Conclusions:

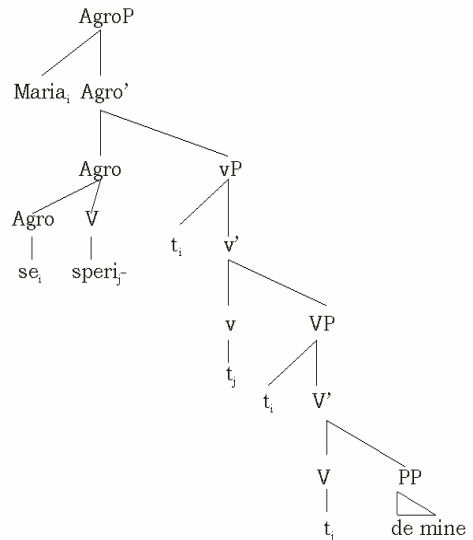
- RG analysis shows that the Romanian **-ind**, whether rendering the perfective or the imperfective aspect, in predicate unions or in gerund clauses, retains the pseudoreflexivity generated by the syntactic type of the initial predication (the lexical verb)
- the participle can appear in reflexive constructions only as a predicate chomeur in a predicate union. Chomeur participle clauses (the supine) lack reflexive clitics.
- The gerund clause must contain a functional feature that allows the realization of clitics, whereas participial clauses lack such a feature.

[8] [_{AgroP} Maria se spâl-]
 Maria cl-refl.Acc.3rdsg wash



'Maria wash- herself'

[_{AgroP} Maria se sperî- de mine]
 Maria cl-refl.Acc.3rdsg frighten



'Maria frighten- of me'

- Proposal for a Generative Grammar interpretation of reflexivity (true or pseudo):
- The functional phrase proposed to host the reflexive clitic is AgroP. The Romanian gerund has been long thought to render some agreement feature, as in traditional Romanian analyses there has been a long debate on whether the gerund is a “personal” or a “non-personal” mood/ form (Hazi, 81-101).
 - In [8] we propose two structures (one a true, the other a pseudo reflexive generated by an unaccusative verb) in which the VP shell complements the Agro functional head. We also propose a (Spec-vP, sister-of-V) *Equi-NP Deletion* type of chain for the structure displaying true reflexivity, and a chain generated by Spec-VP to Spec-vP NP-movement for the unaccusative structure (Radford, 240-246)
 - We propose a merger between the lexical verb and the reflexive clitic under the Agro head, as the verb undergoes V-movement.
 - The NP in spec-vP moves from the VP shell into the functional domain, of which the first landing position is spec-AgroP. The clitic checks the ϕ -features [number, person, gender] of the nominal in spec-AgroP. Assuming that the reflexive clitic has the [+anaphor] referential feature, Binding theory checks as the reflexive clitic is bound by the NP in Spec-AgroP in its local domain.
 - From the fact that the gerund clause allows the realization of clitics, whereas participial clauses (supine ones) fail to preserve them, we can conclude that, in Romanian, gerund clauses display an agreement with the object phrase in their functional domain, whereas participial clauses do not.

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LA MÉTAPHORE DANS LE DISCOURS PROVERBIAL

OANA-AURELIA GENCARAU[♦]

ABSTRACT. *The Metaphor in the Proverbial Discourse.* In the following article we examine the manifestation of some rhetorical figures, mainly the metaphor, in the proverbial discourse. The angle under which rhetorical figures in general and the metaphor in particular are examined, is rhetoric; the purpose of the analysis of these figures is semantic, because the building of the figure is important for the building of the sense.

Key words: metaphor, metonymy, synecdoche, literal meaning, figurative meaning

1. Considéré tantôt comme unité *inventoriée* pareille à toute autre unité de langue (Milner: 1969; Kuusi: 1972), tantôt comme unité *n'appartenant qu'à un langage particulier* (Cram: 1983; Norrick: 1981), le proverbe a un sens qui lui est propre et que l'on peut cerner par une interprétation spécifique nommée 'interprétation proverbiale standard'. Une telle interprétation peut soit coïncider à une *lecture littérale du proverbe*, soit nécessiter une *lecture des figures impliquées dans le proverbe*: si l'interprétation proverbiale standard coïncide avec la lecture littérale (du proverbe), la classe des proverbes à laquelle s'applique cette interprétation aura un *sens littéral* et sera considérée comme une classe de *proverbes littéraux*; d'une manière implicite, si l'interprétation proverbiale standard ne coïncide pas avec le sens résultant de la lecture littérale, il faut accepter qu'on se trouve dans la présence d'un *sens figuratif*. (Norrick: 1985:2, p. 101). Ainsi, un proverbe *littéral* n'aura qu'un *sens littéral*, tandis qu'un proverbe *figuratif* aura à la fois un *sens littéral*, établi par l'interprétation proverbiale standard, et un *sens figuratif* établi par des démarches interprétatives ultérieures à l'interprétation standard. Les démarches d'identification du *sens littéral*¹ et du *sens figuratif* nous font affirmer qu'on a une lecture littérale lorsque, pour identifier le sens, on ne recourt qu'à l'inventaire lexématique et structural de l'énoncé proverbial, alors que la lecture figurative implique des relations extra lexématiques et extra structurales². Même si le trait 'figuratif' n'est pas un trait définitionnel pour

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¹ La notion est antérieure à la proposition de Norrick ; elle est véhiculée par Taylor (1975: 71) et reprise par la plupart des interventions ultérieures : Arnaud (1991), Michaux (1999), Kleiber (2000). Conenna et Kleiber (2002) définissent le sens littéral comme le sens obtenu *par la compositionnalité du proverbe à partir de ses constituants*, et expriment des réserves sur la possibilité qu'un proverbe soit absolument dénotatif.

² L'opposition sens littéral/sens figuratif reprend, selon Michaux, (1999 :92), l'opposition *idiomatique/non idiomatique*, car, de même que dans le *non idiomatique*, le sens littéral est *activé dans des mots*, alors que le sens figuratif *n'est pas activé dans des mots mais dans des unités supérieures*.

l'énoncé proverbial, il est évident que ce fait de langue, le proverbe, oppose une classe de proverbes à sens littéral à une classe de proverbes à sens figuratif.

2. Du point de vue des catégories rhétoriques traditionnelles la classe des proverbes figuratifs se construit par:

(a) la synecdoque *espèce-genre*, lorsque l'interprétation proverbiale standard renvoie à une *relation microcosme-macrocosme*: /*Qui veut aller loin ménage sa monture*/ /*La langue va où la dent fait mal.*/ /*C'est en forgeant qu'on devient forgeron.*/

(b) la métonymie, lorsque l'interprétation proverbiale renvoie à un *rapport de contiguïté*: /*Loin des yeux, loin du cœur.*/ /*Qui terre a, guerre a.*/ /*Morte la bête, mort le venin.*/

(c) la métaphore, lorsque l'interprétation renvoie à une *similitude*: /*Qui se fait brebis le loup le mange*/ /*Les belles paroles n'écorchent pas la langue.*/

(d) l'hyperbole, lorsque l'interprétation renvoie à une *amplification* marquée lexicalement: /*Qui vole un œuf, vole un bœuf.*/

(e) le paradoxe, lorsque l'interprétation renvoie à un *rapport contradictoire* entre les termes engagés dans l'énoncé proverbial: /*N'est pas beau ce qui est beau (est beau ce qui plaît).*/ /*Bon à tout, bon à rien.*/ /*Les pots fêlés sont ceux qui durent le plus.*/

(f) la tautologie: /*Un sou est un sou.*/ /*Les affaires sont les affaires.*/

2.1. La figure qui semble être la plus fréquente dans l'énoncé proverbial est la synecdoque. Elle présente surtout des exemples où l'on prend le *genre pour l'espèce* et le *tout pour la partie*³. Le proverbe /*C'est en forgeant qu'on devient forgeron.*/ a un *sens littéral* équivalent à /*Si un homme s'exerce à l'activité de forger, il devient forgeron.*/ mais insuffisant pour déchiffrer le proverbe. Le sens figuratif de l'énoncé implique une synecdoque qui remplace *l'espèce* /*forgeant, forgeron*/ par le *genre* /*activité, spécialiste*/.⁴

De même le proverbe anglais /*Far shooting never killed the bird.*/ a un sens figuratif parce que l'interprétation proverbiale conduit à un énoncé de langue commune où l'on fait l'affirmation /*hunters shoot birds/les chasseurs chassent des oiseaux*/ équivalente à un sens littéral de l'énoncé, mais insuffisante pour son décodage. Le sens figuratif de l'énoncé s'identifie par le rapport *espèce-genre*, où *shooting/chasser* représente l'espèce, et *acte*, le genre. Le décodage du proverbe comme un avertissement à l'égard du fait que *les actes indirects n'atteignent jamais leur but* implique également, dans la représentation sémantique de *bird/oiseau*, le

³ Le Guern (1973: 29), de même que Norrick, remarque la possibilité d'interpréter les substitutions *espèce-genre* et *partie-entier* comme métonymies mais il les interprète comme synecdoques en considérant que: *Alors que dans les deux cas il y a à la fois modification de la chaîne parlée et glissement de référence, on peut estimer que le second aspect est plus nettement prédominant dans ce type de synecdoque que dans la métonymie.*

⁴ Conenna & Kleiber (2002) considèrent ces lexèmes comme étant en relation hypéronymique 'noms de profession'-'profession'; Lakoff & Turner (1989) parlent d'une métaphore qu'ils désignent par **Generic is Specific**. Krikmann (2005b) les accepte mais comme synecdoque.

trait ‘pour être chassé’, afin que le terme *bird* soit entendu comme *but*, et le proverbe comme un avertissement.

2.2. Les proverbes dont le sens figuratif recourt au *rapport de contiguïté* entre *l’objet proprement-dit* et *l’objet qu’on veut nommer* sont les proverbes métonymiques⁵. Ces proverbes impliquent, le plus souvent, un rapport *instrument-fonction* ou *parole-locuteur*. Le proverbe elliptique */Loin des yeux, loin du cœur./* correspond à l’interprétation */celui qui est loin de vue est loin du cœur./*. Le proverbe désigne littéralement deux organes représentant les *fonctions* qui leur sont couramment et culturellement associées. De même dans le cas de */Le visage est le miroir du cœur./*. Dans les limites de l’interprétation proverbiale standard on peut dégager seulement le sens littéral de ces proverbes, qui, dans le premier cas, serait l’équivalent d’une information anatomique concernant *la distance entre les yeux et le cœur*, ou, dans le deuxième proverbe, une information symptomatologique. Le rapport métonymique implique des *instructions de lecture* pour les ‘substituants’, de façon que le terme */cœur/* soit *décodé* comme */émotions/* dans les deux proverbes lexicalisés comme tels. La règle de lecture pour ces proverbes serait: *remplacer une expression désignant un instrument avec une autre désignant la fonction qui lui est communément associée* (Norrick: 1985: 131).

2.3. Les corpus de proverbes attestent une fréquence plutôt faible pour la métaphore, et plus élevée pour la métonymie et la synecdoque, ce qui ne veut pas dire que l’étude de la métaphore présente moins d’intérêt soit pour l’approche rhétorique de l’énoncé proverbial, soit pour la construction du sens de cette classe de textes.

2.3.1. La métaphore a été considérée à la fois comme un critère définissant de l’énoncé proverbial et comme un *indice* d’identification. Un aperçu des interprétations précisant son rôle, même réduit à l’énumération des affirmations générales, nous semble nécessaire. Taylor (1975: 71) considérait que les proverbes ayant des attributs métaphoriques sont plus faciles à identifier. La *généralisation* dans le proverbe se produit grâce à la métaphore car la métaphore offre les *stratégies pour des situations propres à une structure sociale donnée, où les individus doivent nommer les objets qu’ils manient* (Whiting: 1932: 275). La métaphore *encode* l’énoncé de manière que le proverbe puisse exprimer la norme (Cauvin: 1980: 328). La métaphore est une condition indispensable à l’existence du proverbe; renoncer à la métaphore serait un dépérissement du proverbe, car la métaphore *le remplit de sens et pas seulement de sens littéral* (Rey: 1990: XXIV). La métaphore impose les règles de la performance de l’énoncé proverbial en lui assurant l’efficacité rhétorique dans le contexte de la conversation juridique où il a toujours fonctionné comme argument d’autorité (Buridant: 1976: 388; Yankah: 1986: 288).

⁵ Dans le même sens Le Guern, op. cit, mais aussi Morier (1975).

La typologie primaire du proverbe peut s'organiser en fonction de la présence ou l'absence de la métaphore (Arnaud: 1991: 14). La métaphore participe à la distinction des sous-classes des expressions figées: elle inclue le proverbe dans la classe des expressions polylexématiques (Gross: 1996: 40), elle sépare le dicton du proverbe (Greimas, 1970), (Rodegem, 1972), (Buridant, 1976), Rey (1990), ou l'adage du proverbe (Gouvard⁶). Pour Gouvard, la métaphore, à savoir la métaphore non conventionnelle⁷, fait partie de la texture inextricable du proverbe, et la modification d'une métaphore conduit à la déproverbialisation. Belo considère que la métaphore distingue le *proverbe* comme *type discursif*⁸, du *dicton* comme *type gnoséologique*. Enfin Conenna et Kleiber (2002: 58) remarquent le fait que dans l'histoire des approches du proverbe il y a un consensus quant à la métaphoricité de cette classe de textes, consensus qui se transforme en désaccord dès qu'on pose le problème de la *définition, de la fonction et du rôle de cette figure*.

2.3.2. Intéressé plutôt par le classement des proverbes métaphoriques que par la définition des figures, Norrick (1985: 108) considère que cette classe de textes construit deux types de métaphores:

a) par *l'extension d'une propriété: le terme nominal sujet d'un proverbe prend un trait sémantique d'un autre constituant*.

b) la métaphore '*objet-propriété*': *un terme nominal d'un proverbe se présente par un de ses traits, à savoir par son trait le plus saillant*.

Le proverbe */La faim chasse le loup hors du bois./* est un exemple pour le premier type de métaphorisation: le terme *faim* participe à la construction du *sens figuratif* car étant *métaphoriquement animé* il permet la sélection du verbe *chasser*.

/La vertu est un bijou./ /Fair play is a jewel./ représente le deuxième modèle de métaphorisation: le constituant nominal *jewel / bijou* participe à la production du *sens figuratif* par le trait */valeur/* qu'il renferme dans son sémantisme.

2.3.3. Norrick (1985: 124) distingue trois sous types de *métaphores construites par l'extension ou le transfert d'un trait sémantique au constituant nominal*⁹ *sujet*.

⁶ Gouvard (1999: 71), en insistant sur le rôle joué par la lexicalisation dans la production de la *figure*, et en considérant que la métaphoricité est propre au proverbe, la repère aussi dans «*Tel couteau, tel fourreau*», proverbe construit selon la formule «*Tel père, tel fils*» et considéré en général comme non figuratif.

⁷ Pour la définition des *métaphores non conventionnelles*, Gouvard renvoie à Sperber & Wilson, *La Pertinence*, Paris, 1989.

⁸ Belo (1984: 26): *Je proposerai de distinguer trois types linguistico-textuels, définis comme suit: a) le type narratif, caractérisé par le système de la non-personne et le système temporel verbal autour de l'aoriste ou passé simple; b) le type discursif, caractérisé par le système de la personne, et par le système temporel verbal autour du présent de l'énonciation, c) le type gnoséologique ou sémantique. Les Proverbes relèvent des noms concrets et du narratif.*

⁹ Elena Slave (1967: 175) a manifesté de l'intérêt pour *les constituants nominaux*; elle applique les principes de la distribution sémantique sur un corpus de proverbes roumains en poursuivant le *degré de déplacement sémantique* obtenu par *l'association des mots sans restrictions* en ce qui concerne le

2.3.3.1. L'anthropomorphisation: le sens métaphorique se produit par le transfert de la prédication */est humain/* au constituant nominal sujet. L'interprétation métaphorique du proverbe implique la comparaison du *référént* d'un *constituant nominal* avec l'*humain*¹⁰. Dans */La fortune sourit aux audacieux./* le transfert du trait *humain* se fait à partir du verbe *sourit*. Conformément à la grammaire standard, le substantif *fortune* ne peut pas se combiner avec des verbes dont le sujet implique le trait *humain*. L'*anthropomorphisation* conduit à une réécriture des règles d'interprétation qui permettent au constituant nominal de s'adjoindre la prédication extra proverbiale */est humain/*; par conséquent la sélection *sujet humain – verbe humain* devient possible.

De même dans les proverbes */Petite négligence **accouche** d'un grand mal./* */Le cœur ne **parle** pas, c'est la bouche qui fait tout le mal./*, dans le proverbe anglais */Fancy may **bolt bran and think** it flour/*, ou roumain */Frica **păzeste** bostănăria./*, le transfert du trait *humain* vers le constituant nominal sujet, fait à partir des verbes *accouche*, *parle*, *bolt*, *think* ou *păzeste*, assure l'*anthropomorphisation* qui permet à son tour la sélection *sujet humain – verbe humain*.

2.3.3.2. L'animation. La métaphore se produit par le transfert de la prédication */est animé/* au constituant nominal sujet. Dans ce cas l'interprétation métaphorique implique une comparaison du *référént* du *constituant nominal* avec un *animé*. Les proverbes qui renferment une telle métaphore présentent des lexicalisations en partie similaires à celles des proverbes comportant des métaphores construites par anthropomorphisation: */La faim chasse le loup hors du bois/*. Selon les règles de la grammaire standard, *faim* ne peut pas choisir un verbe dont le sujet possède le trait *animé*; *chasse*, qui contient le trait [*animé*], le transfère à *faim*. L'*animation* détermine la réécriture des règles d'interprétation qui permettent l'association de la prédication */est animé/* au constituant nominal sujet, et la sélection *sujet animé – verbe animé*. De même dans */Tant **va** la cruche à l'eau qu'à la fin elle se casse./* */Adevărul **umbă** cu capul spart./* */Minciuna **are picioare** scurte./* */Fancy **flees** before the wind/*.

2.3.3.3. La concrétisation. La métaphore se produit par le transfert de la prédication */est concret/* au constituant nominal sujet qui n'avait pas cette propriété avant. L'interprétation métaphorique implique une comparaison entre ce que le constituant nominal désigne habituellement et un *objet concret*. Dans le proverbe */Beau parler n'écorche pas la langue./* la *concrétisation métaphorique* implique le transfert du trait [*concret*] de *n'écorche pas* à *beau parler*. La *concrétisation* conduit à une réinterprétation qui attribue la prédication [*est concret*] au constituant sujet et permet la sélection *sujet concret - verbe concret*. Nous retrouvons à peu

transfert. Pour Slave ce qui compte c'est la position du constituant nominal dans l'énoncé, la présence ou l'absence d'un *déterminant du sujet*, la *sphère sémantique du complément*.

¹⁰ Pour Morier (1975), l'anthropomorphisation, aussi bien que l'animation font partie de la *définition rhétorique de la métaphore*.

près la même image dans des proverbes roumains: /*O vorbă rea rănește mai rău decât o sabie ascuțită.*/, ou anglais: /*Fair words break no bones.*/

2.3.4. La métaphore ‘objet-propriété’, Norrick (1985: 125), ne connaît pas de sous-types; elle suppose une comparaison entre les constituants nominaux lexicalisés dans le proverbe, comparaison que la rhétorique définit comme une comparaison *de l’espèce à l’espèce*. Dans cette situation le transfert d’une propriété sémantique est impossible car cette propriété est commune à tous les constituants, et le transfert, dans le cas des métaphores réalisées par l’extension d’une propriété sémantique, connaît la restriction à/vers un constituant nominal et non pas d’un constituant nominal. Par conséquent les métaphores ‘objet-propriété’ se réalisent par la mise en avant d’une *propriété sémantique commune*.

2.3.4.1. Concrètement, le proverbe /*La vertu est un bijou*/:

(a) ne permet pas le transfert d’une propriété sémantique;

(b) la représentation sémantique prouve que la propriété qui devrait être transférée est commune à tous les constituants de l’énoncé:

vertu: [+valeur]; *bijou*: [+valeur].

(c) il n’y a pas de règle de lecture concernant le terme *vertu*; il n’est pas nécessaire que ce terme soit lu comme /*est précieux*/:

{*vertu*: [+précieux] +*est précieux*}.

(d) mais la règle de lecture s’applique à *bijou*: l’indication est de le substituer par sa propriété saillante [*est précieux*];

(e) la règle de lecture appliquée à *bijou* nous fait associer le constituant nominal sujet à la *propriété* qu’il partage avec l’autre constituant pour lequel cette propriété représente un trait spécifique, saillant; ainsi, si nous interprétons *bijou* comme *précieux*, le sens figuratif du proverbe sera : /*la vertu est précieuse*/.

2.3.4.2. Certes, les traits saillants sont divers; des proverbes comme:

/*La vanité est la mère du mensonge.*/ /*Night is the mother of counsel.*/

/*L’oisiveté est la mère de tous les vices.*/ /*Necessity is the mother of invention.*/

supposent l’interprétation de *mother/mère* comme /*source*/, et l’identification du sens métaphorique comme:

<i>La vanité</i> <i>L’oisiveté</i> <i>Necessity</i> <i>Night</i>	<u><i>est la source</i></u>	<i>du mensonge</i> <i>de tous les vices</i> <i>of invention</i> <i>of counsel</i>
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2.3.4.3. Le sens de la métaphore *objet-propriété* n’est pas déterminé seulement par les traits communs ou la propriété saillante d’un des constituants,

mais aussi par une unité sémique qui quantifie¹¹ la propriété d'un constituant **B**, lui assure le caractère proéminent et recouvre le sémantisme du constituant **A**:

/L'appétit est le meilleur cuisinier./

/L'admiration est la fille de l'ignorance./

/La ponctualité est la politesse des rois./

/Le silence est le plus beau bijou d'une femme./mais elle le porte rarement./

/La vengeance est un plat qui se mange froid./

/Idle hands are the devil's workshop./

Cette quantification du trait saillant se fait le plus souvent par:

(a) l'occurrence des unités lexicales qui favorisent l'identification de la propriété commune et saillante du constituant nominal: dans les proverbes */Le silence est le plus beau bijou d'une femme./ /La ponctualité est la politesse des rois./ /L'admiration est la fille de l'ignorance./*, la présence des termes comme *bijou, la fille de l'ignorance, la ponctualité, devil's workshop* est significative.

(b) la lexicalisation d'un quantificateur des constituants nominaux ou du moins du constituant nominal possédant la propriété saillante: */L'appétit est le meilleur cuisinier./ /Le silence est le plus beau bijou d'une femme./ /First impressions are half the battle./*

3. L'angle sous lequel la figure en général et la métaphore en particulier ont été présentées, est rhétorique; la finalité de l'analyse de la figure, dans ses manifestations dans les proverbes, est sémantique, car la construction de la figure est importante pour la construction du sens proverbial. En établissant une distinction entre le *sens littéral* et le *sens figuratif*, on peut surprendre la manifestation des figures dans l'énoncé proverbial sans pouvoir indiquer au moins une figure dont l'occurrence dans un proverbe ne soit susceptible d'être repérée également en dehors de cette classe de textes.

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¹¹ Slave (1967: 137) indique comme élément de quantification de la propriété du constituant nominal, son déterminant. Nous considérons que le rôle quantificateur appartient à l'unité sémique de la propriété saillante.

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RECENZII - BOOK REVIEWS

G.G.Neamțu: *La théorie et la pratique de l'analyse grammaticale. distinctions, distinctions*; Editions Paralela 45; 502 p.

Parue dans une première variante en 1989, l'ouvrage a eu le titre initial *Eléments d'analyse grammaticale. 99 confusions / distinctions* et a constitué un véritable manuel pour les professeurs de langue et de littérature roumaine, pour les étudiants ou les élèves.

Sans être un best-seller mondain, mais un livre scientifique, le tirage initial de 6000 exemplaires s'est épuisé rapidement. Il a été édité à un moment où la langue roumaine imposait beaucoup de respect, étant l'une des disciplines sélectionnées pour les examens d'admission, quand on départageaient ceux qui connaissaient la langue roumaine de ceux qui la connaissaient moins, à un moment où l'utilisation de l'accord divergent était encore une habitude assumée correctement, où le pluriel *almanahe* était évité à bon escient, où l'article *al, a, ai, ale* aujourd'hui pronom ou formant, dans l'ouvrage en question et dans les ouvrages modernes de grammaire, était utilisé correctement.

La théorie et la pratique de l'analyse grammaticale devient, grâce à son titre étendu *distinctions, distinctions*, qui reflète une réalité scientifique, un ouvrage toujours présent dans les bibliographies pour les licences, le doctorat.

La parution de la seconde édition s'imposait à cause de la sortie du nouveau DOOM (2005) et de la GALR (2005), car il fallait qu'une réplique scientifique soit discrètement donnée, vu que des noms sonores parmi lesquels celui de l'auteur, ne figurent pas dans le collectif de rédaction.

Pourtant, sa contribution à l'élaboration de certaines théories

grammaticales fondamentales entraîne l'insertion d'un bon nombre d'opuscules dans la bibliographie spéciale du traité académique: *Sur la flexion des cas du numéral* (LR, XXIX, no. 3 p. 249-251), *Le numéral. Trois notes morphosyntaxiques* (CL, XXV, 2, p. 201-203), *Pronoms, adjectifs pronominaux et adverbes exclamatifs* (en LR, XXXIX, 1, p. 33-38).

Ensuite, il fallait valoriser les nouvelles assertions propres aux articles parus en 2002: *Flexions des cas du pronom dans la langue roumaine, Segmentations morphématiques* en St. UBB, XLIV, *Philologia* ou *Observations en marge du syntagme préposition+adjectif en roumain*, de 2004, *Le syntagme verbal et le problème du réfléchi impersonnel*, ou l'opuscule de 2006, *Le participe et «le supin» en roumain*, en St. UBB, LI, *Philologia*.

L'ouvrage *La théorie et la pratique de l'analyse grammaticale*, deuxième édition, garde la structure rigoureuse du premier ouvrage, mais il faut mentionner qu'il aurait fallu ajouter au titre, conformément au contenu concernant le nombre plus grand de solutions claires établies: *distinctions, distinctions et...distinctions*.

Comme il consigne des interprétations et des dénominations grammaticales nouvelles contenues dans la GALR, celles-ci étant doublées de mentions personnelles bien argumentées, le livre peut être considéré aussi comme un intermédiaire entre le traité académique et les manuels, les conceptions théoriques de celui-là n'étant pas encore contenues dans les programmes scolaires et dans les manuels, étant, dans une grande mesure,

nouvelles et moins comprises par les lecteurs communs.

L'ouvrage se fait remarquer par une organisation rigoureuse, qui rend possible la présentation du point de vue théorique de 107 thèmes grammaticaux, succédés par trois tests à choix multiple résolus et commentés (deux concernant la morphosyntaxe de la proposition, avec 20 positions, respectivement 30, et un autre visant la syntaxe de la phrase – T 109, 25 positions), qui offre au lecteur la possibilité d'évaluer son information grammaticale.

La personnalité préminente du livre *La théorie et la pratique de l'analyse grammaticale* est donnée par l'esprit de la syntaxe relationnelle néotraditionnelle de Cluj, dont les représentants de marque sont D.D. Draşoveanu et G.G.Neamţu, grammairiens d'une grande originalité et d'un caractère argumentatif frappant, l'un avec une grande force de synthèse, l'autre avec une force argumentative puissante.

Les méthodes structuralistes peuvent se distinguer facilement dans les ouvrages antérieurs de l'auteur, comme: *Segments morphématiques cofonctionnels dans la flexion verbale analytique* (1988) et *Flexions des cas du pronom en roumain. Segmentations morphématiques*, qui ont un puissant caractère analytique et se proposent la segmentation successive de l'ensemble en éléments composants minimaux, spécifiques pour le fait grammatical analysé.

On peut identifier des techniques formelles d'analyse toujours structuralistes: a) de nouvelles distributions: le compartimentage de l'attribut numéral en substantif, adjectif ou numéral, ou les deux nominatifs – du sujet et de l'attribut premier degré [nom prédicatif], notés différemment de celui d'attribut second degré [élément prédicatif supplémentaire], nommés *prime* (N') et *second* (N''), rarement un nominatif *tiers* (N'''):

l'exemple de l'auteur: *Lumea* (N')-*i toată* (N''') *o poveste* (N''); b) des substitutions efficaces qui contribuent à l'observation du phénomène grammatical, par exemple le remplacement du substantif masculin déterminé par un substantif féminin, mais aussi le remplacement du verbe dans la présence non conditionnée duquel est réalisée la fonction syntaxique d'attribut second degré [élément prédicatif supplémentaire], réclamant ainsi un accord typique à l'adjectif, excluant la confusion avec le circonstanciel de mode, exprimé par l'adverbe de mode: *Copilul s-a întors bucuros de la şcoală / Fetiţa se duce bucuroasă la şcoală*; c) des contextes-diagnostic, établis avec précision, qui font la différence entre l'attribut premier degré [le nom prédicatif], composant nécessaire du prédicat, et le coplement exprimé par un adjectif subordonné au substantif en l'absence d'un verbe, et la différence par rapport à l'attribut second degré [élément prédicatif supplémentaire], qui (1) accompagne un verbe, (2) exprime une caractéristique ou une action simultanée avec l'action de celui-ci, (3) se rapporte à un nom (avec des fonctions syntaxiques différentes).

A une analyse plus attentive, on peut découvrir d'autres éléments structuralistes présents dans l'identification du phénomène grammatical: a) par opposition, les déterminants du substantif s'opposent, en bloc, à ceux du non-substantif (verbe, adjectif, adverbe, interjection); b) par différence, le substantif exprime des notions (avec contenu et sphère); c) par rapport à un autre/d'autres élément(s), comme l'adverbe qui exprime des „notes des notes”.

On trouve des éléments du générativisme dans la manière détaillée d'aborder les relatifs cumulatifs, qui renvoient par la segmentation vers une explication des processus de la langue et

vers une identification correcte des fonctions syntaxiques de ceux-ci.

La construction des arguments est faite de manière syllogistique, mettant en relief, dans la conclusion, l'erreur qui s'est glissée dans l'argumentation des opposants grammaticaux, consolidant ainsi la théorie grammaticale propre, avec la note d'originalité évidente et, en même temps, désarmante: a) par la logique, pour les adversaires, et b) par l'inédit, pour les adeptes.

La conception théorique est réalisée de manière intelligente, autant sur la base syntagmatique de succession des éléments composants, sur l'axe des relations du type *a, b, c* etc., constituant un cumul d'arguments *pro* ou *contre*, que sur l'axe des relations *in absentia*, où les éléments inadéquats à la théorie grammaticale s'excluent réciproquement.

La diplomatie de l'argumentation est évidente: la fermeté d'une position grammaticale est soutenue non par la contestation de l'opinion opposée, mais par la force des arguments propres. Pour un élément, par exemple, pour le sujet, on établit la fonction non seulement par les différences qui résultent par rapport aux unités syntaxiques voisines, le complément direct et l'attribut premier degré [le nom prédicatif], mais aussi par rapport aux termes de la classe de substitution d'où l'unité a été choisie; de cette manière, les verbes personnels à régime intransitif ou intransitivisé mettent en position subordonnée le sujet dans les réductions des propositions à des constructions ayant le verbe au «gerondif» respectivement à l'infinitif.

Certaines modifications par rapport à l'édition antérieure tiennent à la forme de l'exposition, à la rédaction, aux notes figurant en bas de la page, renvoyant à des interprétations de force grammaticale.

De cette manière l'auteur présente les avantages et les désavantages de la

réduction substantielle des prépositions avec le datif et des locutions prépositives avec l'accusatif, imposée dans la GALR.

Dans un problème litigieux du point de vue grammatical, l'auteur condamne l'interprétation du complément du nom exprimé par un pronom [de l'attribut pronominal] en datif (exprimé par le datif possessif adverbial) comme complément possessif, espèce particulière où le verbe „prendre” presque tout, mais il apprécie la distinction faite par le traité académique entre les circonstanciels (les anciens CC) et les compléments (les anciens non-circonstanciels).

L'auteur remarque le passage des réalisations prépositives à un nouveau type de complément (le complément prépositif) et l'interprétation valable pour les subordonnées correspondantes, en mettant en évidence l'hétérogénéité de l'expression de la construction et du contenu grammatical de celle-ci, qui n'a rien à faire avec le complément indirect, unitaire du point de vue de la construction (en datif) et du point de vue sémantique.

Il détaille les circonstances grammaticales où apparaît le complément (direct) secondaire, le deuxième complément direct du verbe transitif, qui ne peut pas être doublé par un pronom personnel atone en accusatif, terminologie qu'il assimile.

Il est ferme en ce qui concerne la distinction à l'intérieur de la fonction syntaxique d'attribut second degré [élément prédicatif supplémentaire] de deux fonctions séparées (l'attribut second degré et le complément d'objet), parce que cela contrevient à la théorie de Cluj, bien argumentée, de la monosubordination de celui-ci par rapport à un nom (à diverses fonctions syntaxiques), dans la présence non conditionnée d'un verbe prédicatif.

Il annonce une nouvelle manière de penser le groupe verbal en entier, avec

d'autres oppositions et une autre terminologie, à cause de l'apparition du troisième membre, l'ergatif, dans l'opposition «transitif/intransitif».

Puisque le complément du nom exprimé par un numéral [l'attribut numéral] ne figure pas – et cela de manière constante – dans les classifications de la GALR, étant inséré à d'autres catégories de complément [d'attribut], l'auteur a identifié des arguments solides pour ne pas produire des erreurs du point de vue du critère morphologique, en instituant le complément du nom exprimé par un numeral [l'attribut numéral], qui, sur le plan lexical, est la seule classe qui explique numériquement (de manière exacte), la multiplication des nombres, l'itération numérique, et le numéral garde son trait de classe morphologique, quelle que soit sa valeur morphologique, parce que, soutient l'auteur, celui qui a une expression adjectivale n'en est pas moins naturel que celui qui a une expression pronominale.

Tout comme nous parlons de substantifs et de leurs locutions, pour les compléments [attributs] exprimés par des locutions, l'auteur propose que les types catégoriels correspondants comme locutions entrent dans la structure des dénominations: complément du nom [attribut substantif] exprimé par des locutions, complément du nom exprimé par un verbe [attribut verbal] exprimé par des locutions etc. .

Il identifie un cinquième complément [attribut], réalisé à l'aide du cas, complément de nom exprimé par un gérondif [l'attribut substantif] en vocatif, exprimé par un deuxième substantif en vocatif dans les constructions du genre: *bade Ioane, coane Mișule*.

En ce qui concerne le complément du verbe [l'attribut verbal], il propose la classification suivante: 1. celui qui est réalisé à l'aide de la flexion (par l'afixe modal), le complément du nom exprimé par un gérondif

[l'attribut] «gerunzial»: *raport privind activitatea*; l'attribut infinitif: *vine vremea a pricepe omul*; 2. celui qui est réalisé à l'aide de la préposition, le complément du nom exprimé par un infinitif [l'attribut infinitif prépositif]: *dorința de a progresa*; l'attribut «supinal» prépositif: *mașina de scris*.

Les nuances grammaticales déterminent l'auteur à proposer une nouvelle classification logique de l'attribut adverbial: 1. compléments exprimés par un adverbe [attributs adverbiaux] prépositifs: *casa de vizavi*; 2. compléments exprimés par un adverbe [attributs adverbiaux]: *plimbatul alene*.

Selon les qualités relationnelles et fonctionnelles, dans l'ouvrage on fait une distinction entre le cas avec préposition (G₃, D₃, Ac₃), et les cas sans préposition (N₁, G₁, D₁, Ac₁, V₁), ceux-ci étant générateurs de fonctions syntaxiques, et les cas accordés (N₂, G₂, D₂, Ac₂, V₂), manifestés dans la classe des adjectifs.

L'auteur se rallie aux conclusions des études récemment parues et conteste la fonction d'attribut second degré [élément prédicatif supplémentaire] attribué au «gerdondif», considéré soit complément indirect, en fait, une réduction d'une subordonnée complétive indirecte: *O văd că vine.*, soit comme la réduction d'une proposition coordonnée par une conjonction copulative: *Vine râzând < Vine și râde*.

L'ouvrage *La théorie et la pratique de l'analyse grammaticale* représente le passage d'une conception fondamentalement traditionaliste à une conception moderne, en accord partiel avec certaines acquisitions grammaticales consignées dans le traité académique et annoncées a priori dans les ouvrages antérieurs de Gabriela Pană Dindelegan, responsable de la commission de révision de la GALR, et de Valeria Guțu-Romalo, coordinateur du traité.

On identifie aisément dans l'ouvrage les principes spécifiques,

particuliers, de l'école de Cluj: 1. le principe de la monosubordination d'une fonction syntaxique – l'existence d'un seul subordonnant (préposition, accord, flexion du cas ou modal-personnelle); 2. l'assertion du syntagme binaire: la constitution des propositions dans toute leur ampleur à partir de la relation d'un terme déterminé à un terme subordonné (l'un dans une proposition, l'autre dans une proposition différente). 3. l'unicité des moyens de subordination (soit accord, soit préposition, soit cas sans préposition, soit conjonction, soit adhérence, mais non pas plusieurs moyens à la fois, précise l'auteur). 4. la monosubordination de l'attribut premier degré [du nom prédicatif] ou de l'attribut second degré [l'élément prédicatif supplémentaire], non par rapport au verbe, mais par rapport à un nominal, quels que soient les moyens de

subordination. 3. la subordination du datif possessif «adverbal» (sans préposition) uniquement à un nominal, et non pas à un verbe – celui-ci étant le terme du troisième conditionnement.

De cette manière, dans le développement de la théorie grammaticale d'ensemble, l'ouvrage a comme noyaux, les principes rappelés ci-dessus, qui donnent la note d'originalité à la pensée grammaticale de Cluj, dont le représentant de marque est l'auteur de l'ouvrage en question, et il offre à la fois des informations quantitatives et qualitatives, à l'aide desquelles les analyses et, en même temps, les constructions grammaticales sollicitées peuvent avoir une précision maximale.

SIMION RĂCHIȘAN

“Science and Cultural Studies”, 4th year, no. 1, March 2008

Being a quarterly publication, “Science and Cultural Studies” is a Romanian magazine that is of international standards and recognition.

Starting from 2008, the magazine chooses the humanistic domain as area of scientific research and with its 4th year it begins a series of articles having the topic: *Romanian Intellectuals in European Countries*. As a consequence, the authors publishing in this number referred to important persons coming from Romania in articles such as: *Benjamin Fundoianu/Benjamin Fondane: a Romanian-French Biography*, written by Speranța Sofia Milanovici, *M. Eminescu – Student in Vienna and Berlin*, written by Iulian Negrilă, *Octavian Goga and the Hungarian poetry – a Model for the Creation of a Unified Europe*, written by Iloana Máthé, *Ioan Slavici – the Viennese*

Period, written by Bianca Negrilă, *Nicolaus Olahus and the European Renaissance*, written by Sorin Bulboacă, *A Forgotten Artist: Trajan Kostic*, written by Adrian Negru, *Eugeniu Coșeriu – Romanian Scholar in Linguistics and Philosophy (27th July 1921 – September 2002)*, written by Liviu Mărghitan, *Ovidiu Filip, Vuia – Physician/ Doctor, Researcher, Poet and Writer*, written by Aurel L. Berhet, *Nicolae Milescu Three Hundred Years from his Death*, written by Mircea Păcurariu, *Aspects of Eugeniu Speranția's Contribution to the Development of Law Philosophy*, written by Marțian Iovan, *European Openings of Vasile Goldiș's Thinking Regarding the Basic Problems of Humanity*, written by Eugen Gagea, *Rector Aurel Ardelean's Contributions to the Development of International Academic Relations*, written

by Vasile Man, *Tudor Ionel Oprea, Personality of Romanian Medicine*, written by Francisc Schneider, *A Romanian in Madrid*, Adrian Mac Liman, de Nicolae Iuga, *Eginald Schlattner - the Reason of Literary tourism of Roşia-Sibiu*, written by Oana Corina Moldovean, *Stelean Ioan Boia – the foundation Emanuil Gozdu”(1870-1952)*, „Vasile Goldiș” University Press, Arad, 2006, review written by Cristian Bențe or they dealt with subjects like: *Francophony and Cultural Diversity*, editorial column by Aurel Ardelean, *A Romanian Theme from the First Half of the Twentieth Century*, written by Răzvan Theodorescu, *Romanian Students from the County of Bihor in the Universities of Europe (19th Century Beginning of the 20 century)*, written by Stelean Ioan Boia, *The Transfer of Law, a Step Towards Globalization*, written by Vladimir Hanga și Ioan Trifa, *Romania, an Absence?!*, written by Baruțu T. Arghezi, *France and French culture, a Space for the Assertion of Romanian Creativity*, written by Mihaela Șt. Rădulescu, *Romanian Values in the Culture of Humanity*, written by Victor Craciun, *A Solitude Century... and Counting*, by Ileana Lucia Selejan, *The Circle of Romanian Intellectuals in Paris, around the “Du Savoir” Bookstore and the “Philosophia Perennis” Magazine*, Mariana Georgeta Pișcoci.

Therefore, the first issue of this year’s magazine contains, as we have underlined, articles for all those interested in the activity of the Romanian intellectuals who have spent a great part of their life abroad.

Among those who have spent a part of their life in European countries, in this case Vienna and Berlin, we notice Mihai Eminescu, for whom this period was a good opportunity to enrich his vast culture. During his studies abroad, Mihai Eminescu has published important works for the Romanian literature (*Venere și*

madonă, Epigonii, Mortua est, Egiptul, Floare albastră, Înger și demon, Sărmanul Dionis) and also showed interest in “the matters of national and literary culture”, by fighting against the influences from other languages which he feared that they could affect not only the language in itself but also the Romanian way of feeling and thinking.

To one of Eminescu’s friends, Ioan Slavici, the time spent in Vienna is of utmost importance when it comes to the writer’s choice to make a career. Being in Vienna to study law, Slavici meets Eminescu, the one who was going to become his adviser and teacher in becoming a writer. Moreover, as Bianca Negrilă notices, we have Eminescu to thank for guiding this great writer on the path of literature, and especially on that of philosophy: “it is hard to say that Slavici would have become a writer without knowing and befriending Eminescu”.

In the article written to honor Octavian Goga, Iona Máthé talks about the poet’s interest in Hungarian literature, interest shown not only through reading and admiration, but also by translating some poems from Petöfi and Ady. The author of the article makes a comparison between the original writings and Goga’s translations, considering that his translations tend to wander from the message of the Hungarian texts, in Romanian the creations having a dose of pessimism narrowing the idea of freedom and dispelling the idea of hope from Petöfi and Ady’s poems. As a whole, the purpose of the article was to emphasize Goga’s “remarkable” work who became the speaker of the Hungarian people. As a response, Goga’s poetry is translated in Hungarian, as a sign of appreciation, using this way to make Grigore Alexandrescu’s prophecy come true and unite the nations through art.

Another important contribution to the Romanian, French and South American cultural development was brought by the poet, publicist and movie director Benjamin Fundoianu, known abroad as Benjamin Fondane. His contribution is visible through the large number of works published in Romania or France, such as: *Judaism și elenism, Imagini și cărți din Franța, Faux traité d'esthétique, Edmond Husserl et l'Œuf de Colomb du réel, Rimbaud le voyou*, (which is one of the most important creations in the Rimbaud criticism), through his theatre activities, as creating the *Island* theatre as the expression of his opinion against contemporary theatre that he considers "like an industry" and through movie activities, through French movie manifestations, contribution that brought him the surname of "ambassador of the French movie house". Despite the large number of cultural manifestations of great value, whose list is of considerable dimensions, during his exile in France, some of his work is not accepted for publishing in Romania, works like: *Imagini și scriitori români, Caietele unui inactual, Ferestre spre Europa, Dialoguri*, the volume *Priveliști*.

Another Romanian intellectual whose creation was not appreciated in Romania during the communist dictatorship, but was fully recognized abroad and honored as Doctor Honoris Causa by 30 Universities in the world, is the Moldavian linguist Eugeniu Coșeriu. Creator of the Romanic and General Linguist School and of a theory concerning the diachronic structural semantics, Eugeniu Coșeriu wrote a large number of important specialty works (*Sistema, norma y habla, La geografía lingvística, Sincronía, diacronía e historia, Teoría del leanguage y lingvística general*), which, as an appreciation to the writer, were gathered by

the writer's friends in a volume called *Logos semantices. Studia Linguistica in honorem Eugenio Coșeriu. 1921-1981*.

Although he spent most of his life abroad, Eugeniu Coșeriu never forgot the Romanian language and origin. Being constantly interested in his mother tongue and creating and publishing studies about the Romanian language, he had an important contribution in showing it in a good light in Europe.

After reading the first number of the fourth year of the "Science and Cultural Studies", we can conclude that, no matter how long the period of the exile or the period spent abroad by the Romanian intellectuals was, they promoted the Romanian country, language and values through their writings and cultural activities, being true, "cultural ambassadors of Romania (an example would be Eginald Schlattner, Romanian in the Sas community who even got that title). Promoters of the intellectual movement from Romania were not only the Romanian exiled intellectuals, such as Mariana Georgeta Pișcoci who had an important role in expressing the Romanian values in the French academic fields, but also some people from our country, as the dean of the Western University "Vasile Goldis", Aurel Ardelean, who brought his contribution to offering the proper respect to Romanian intellectuals abroad.

Furthermore, in the number of the magazine we are speaking about one makes very clear the idea that one nation's culture cannot be divided; it is a culture that, as Victor Craciun noticed, cannot be made, as it is in Romania's case, without the "works of the Romanian intellectuals abroad".

Therefore, the authors of the articles of the culture and science magazine use their publications to promote the Romanian cultural values so that no artist be forgotten (quoting Adrian Neagu), obeying in

this way the duty, that Barutu T. Arghezi was referring to, of “showing the extraordinary cultural values of Romania” and tempting the readers to realize, appreciate and recognize the important role of the intellectual movement abroad and their activities for

developing Romanian culture and therefore the world culture as well.

DANIELA-ELENA DUCA

Silvia Ditvall, *Aron*, Editura Clusium, România, Cluj-Napoca, 2006, 267 p.

Silvia Ditvall is one of the Romanian writers who lives abroad, who not only that she has not forgotten her Romanian origin, language and tradition, but has also made her feelings very clear regarding the Romanian identity and has contributed, through her works, to the flourishing of national values.

Living in Sweden, the author has tried to appease her homesickness through writing. Starting with her first works, *De-acasă, prin străini, Povestiri din Cărtișoara* or *Întâmplări, năzbâții, amintiri*, as Nicolae Mocanu also notices, Silvia Ditvall's work is based on themes like alienation, homesickness, childhood or adolescence (p. 262), the first two appearing also in her last work published, the novel *Aron*.

The narrative is woven around the main character, Aron Rășinăreanul, his life and personal inner feelings being closely observed. He is a young Romanian man who, terrorized by the communist dictatorship, seeks freedom and peace taking refuge in Sweden. However, Aron feels estranged in this new completely different world from the one of his childhood. He is different from those in the Swedish Eden, being a *svarte skalle* (“black skull”), *with eyes as dark as soil*, among those with the hair *blonde as the sun and eyes blue as the sky*. Being lonely, Aron falls a prey to deep dark thoughts (16 p.) (*anxiety has not left him since he has stepped on this foreign land*,

122 p.), he feels a more and more severe homesickness, an acute alienation leading him to hopelessness and despair. Nevertheless, the memories he dearly keeps about his home and the people he had left there help him to move on (*[...] when Aron the father, a shepherd, dressed him in a woolen coat for the first time, put the whistle in his hands and the traditional shoes in his feet*, 122p.; or, another flashback from the time when he was coming late at night from the girls gathering, 98 p.) and together with the revival of the Romanian atmosphere by bringing home as close to him as possible, by implementing the specific customs and habits (Aron buys walnut furniture like the one he had at home, p. 30, sings the traditional song, *hațegana*, and tells the Swedish people he works with stories from his childhood). Despite all this, the feeling of alienation is still present. Not even visiting his country, Romania, is of great help to him. In Romania he confronts himself again with the terror of the communist dictatorship. He feels like his every step is being followed by the communists (*Aron flinched. “Oops! One of the communists – on my tail again!”*, 154 p.) getting to the point where he suspects his old friends of working for the communists (*[...] ...so Ilie is in it too...!*, 206 p., *the communist plague reached his childhood best friends*, 206 p., Petre: - *Sometimes, you imagine things, Aron. You are*

constantly obsessed with someone following you, 222 p.). Sometimes he cannot decide whether enjoying *the wealth of the west* (p. 109) or *living in poverty, assuming the risk, the fear, the tortures and the prisons* (p. 109). *The free world* wins in the end, Romania remaining the country where he will come back only when freedom will rule it, as well.

The peace Aron finds is not only due to the freedom offered by Sweden, but also to the inner peace found next to Melise, a Swedish girl of Russian origin, who represents the light, the treasure (p. 179) and the order (p. 168) in the Romanian character's life.

In spite of the initial difficulty he had in adapting himself to the new world and of the loneliness he had felt, the character finally finds his peace. However, the feeling of alienation continues to exist, and this is suggested by the author's referring to Aron's lost son, Esau, (*the babies, eight [...]: David, Pavel, Aron, Vasile, Ioan, Matei, Ironim and Esau the cursed at his turn, to wonder in the world as he himself did*, p. 257); homesickness is tempered, but not wiped out.

Through the main character's eyes, Aron, we are presented two worlds in this text, the Romanian and the Swedish, ones different worlds which, considering freedom, become even opposites. Romania, the native country of Aron Rășinăreanu, is defined within the work through: the countryside with everything that it entails, nature and shepherds, the faith in God (*he kneels on the soft ground. He took out the image of Virgin Mary...Sacred Mother, I am small! Help me, for I am a stranger!*; p. 34), the tradition and the Romanian customs (*he will arrange it on Christmas Eve with apples, walnuts and pies made in the shape of a rood, as his father, Aron the shepherd, used to do respecting*

the ancient tradition, p. 114), but also the communism, described in the novel through terror and oppression (*in the worst period of Ceaușescu's dictatorship, a world...built on terror and lies*, p. 206). On the other side, Sweden, the country where Aron sought refuge, is presented in this work as an urban agglomeration which is characterized by noise, debauchery, and wealth and, most important, by freedom.

In order to build a more Romanian spirit and for the reader to feel the Romanian specificity as close as possible, the author shows in her work elements of the Romanian tradition such as painting Easter eggs (*eggs reddened with onion*), the traditional Romanian dish (*sarmale* "rolls with rice", *cozonac* "traditional pound cake"), Silvia Ditvall also uses names of places from Romania as *Rășinari, Marginea, Sibiu, Bâlea* or names of persons such as *Aron, Lucreția, Mariuca, Petre, Pop, Ilarie, Zamfira, Ioan, Vasile* and specific Romanian words (*a se tâpa* "to jump off", *mere rotale* "type of apple", *buhait la obraz* "with a swollen face", *șuștâr* "shoemaker", *lucicoș* "cabbage soup", *porlog de otavă* "hassock", *șeringă* "kerchief", *pălărioara tilișcană* "small pointy hat"). Another specific Romanian feature is the connection and the communication between man (the Romanian man) and nature, but also the faith in its impersonation (*he got sad like the bad weather*, p. 31, *the wind was roaring...it seemed like the shouting of a man who begs for help before committing suicide*, p. 34, *the sun was smiling at him*, p. 34, *he shakes the apple tree filled with ripe fruits, but none of them fell. As if they were against him – didn't recognizing him anymore*, p. 40, *his hurt soul became one with the sky and suddenly it got dark*, p. 54, *Aron stretches a blanket on the forehead of the*

fallen fir, p. 67, *the wind woke him up, coming over like a demon to swallow everything on his way. Pleased with the things he had done*, p. 99).

The novel is written in the third person, and the author is the one informing the reader about the character's feelings, actions and thoughts. Often, the writer delays the moment of giving some information or does not give it at all in some cases (for example, the fact that Aron thinks that the ones in the communist system are truly spies is not finally confirmed).

Both using the third person and exact dates (*at the beginning of 1963, in the spring; on the seventh of September; 12 days off, I have been working at the police since the fifteenth of January*, p. 163, *Monday, the first of September, at Volvo*, p.250) as well as names of places and persons existing beyond fiction (*Rășinari, Valea Viștișorii, Bâlea, Negoiul, Goteborg, Idaho* and *Aron Rășinăreanu, Aron the father, mother Zamfira, Melise, Kalle*) show more real experiences and, as a consequence, the feelings of the main character.

The style of the text is filled with figures of speech (comparisons: *they rushed like grasshoppers in the dinner hall, he was lonely as a cuckoo, he felt freedom like the spring, the dark thoughts were carrying him like the bird flying to the abandoned nest*, metaphors: *The Promised Land*, meaning Sweden, *he does not accept the lazy communists, his word with salt, the wound in Aron's heel left a hole in his father's heart*). Furthermore, important in describing the phenomena, situations and characters in the novels is the attribute (*Romanian hug, Swedish spring, Swedish silence, holly visit, sweet Romanian sun, the garden of childhood, the noise of the Hammarkull*).

Concerning the words used, we can notice that there are typical Romanian

words (*dricală* "eiderdown", *pustișag* "lone, desert", *șuștăr* "shoemaker", *cămașă cu fodorei* "a shirt with a kind of lacy sleeve" etc.), but the novel also contains Swedish words as *hej, svarte skalle!, tupplar, bra, jag ber om ursakt, det blev ett missförstånd*, p. 93; words meant to get us closer to the two worlds presented, the Swedish and the Romanian ones. To help us better understand the text, the author gives a list of typical Romanian terms at the end of the novel, words that are not in the Romanian dictionary.

Written in a rich Romanian language, filled with typical words and sustaining the Romanian traditional values and customs, the novel is a proof of the author's way of living and of her being a part of the Romanian nation, as well as a speaker of its language.

On the one hand, the novel *Aron* is a work of liberation, of tempering the overwhelming feelings, of alienation and homesickness, but on the other hand it is a search of light, of freedom, one couldn't find under the communist dictatorship.

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