

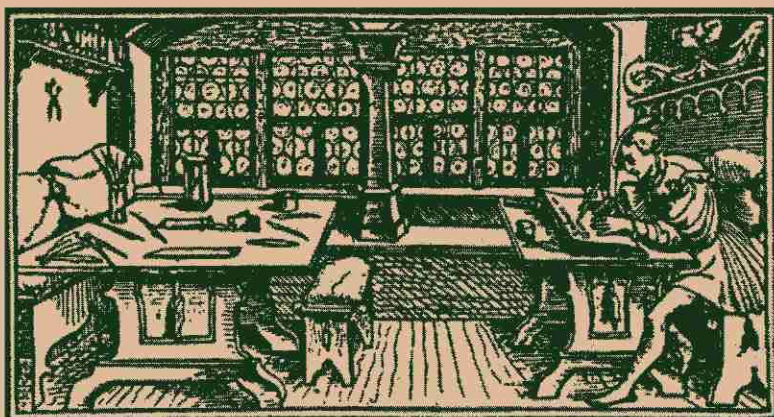
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FICTION AND THE LURE OF HISTORY

VIRGIL STANCIU

ABSTRACT. The article endeavours to demonstrate that in the fiction written in Britain after World War II a discernible feature is the renewed interest in history, which is perceived by quite a few novelists as a modality of departing from realism, without returning to the formalism and experimentalism of high modernism. There are several ways of turning history into fiction: historical novels proper, writings belonging to 'historiographic metafiction', novels in which history is symbolically represented through the plight of a family, straight parodies, fictional biographies and novels dealing with alternate history.

Given the remarkable diversity of the British novel in the second half of the 20th century, it is risky, if not downright impossible, to make generalizing statements about its state and evolution. However, in this paper, I will try to prove that at least one major tendency is discernible in the evolution of British fiction after the Second World War. My contention is that one can identify three important stages in the practice of fiction-writing in English during the period mentioned. Immediately after the war, there was a return of realism, with the work of the "Angry Young Men". Malcolm Bradbury points out that this label was somehow inappropriately applied to a number of novelists who had little in common, except their desire to perpetuate the liberal novel, to sustain the idea of character and to redeem elements of realism.¹ In the sixties and seventies, "much of the realistic emphasis was beginning to fade in the English novel [...] As Angus Wilson's novels probed the ways of pastiche and parody, and Iris Murdoch's became a mythic enquiry into the status of character, so Muriel Spark's middle work turned into an economical, clean analysis of the relationship of novelist to agent, a fight for the driver's seat and an exemplary exposure of the power to pull the endings, the author's right to impose the 'inevitable'. David Storey's novels plumbed extreme psychological depths; B. S. Johnson and John Berger experimented with disordered narrative; John Fowles experimented with the magicality of invention and the possibility of granting his characters the existential freedom to choose beyond the limits of his own plotting imagination."² It clearly results that, in parallel with the efforts to salvage a modern humanism, a "sense of inevitable pressure" to experiment promoted an experimental disposition, which asserted itself more firmly in the novels of the seventies and the eighties. The third stage, I would argue, is one in which history becomes an important

¹ Malcolm Bradbury, "Introduction" to *The Novel Today*, Fontana, London, 1977, p. 18.

² *Ibidem*, p. 19.

element in the making of fiction. History, in fact, had been present all the time, in various guises, in post-war fiction, from the very beginning.

The distinction between poetic fiction and other kinds of texts, i. e. between “fictionality” and pragmatic reference goes back to Plato and Aristotle. Plato condemned the poet as a creator and perpetrator of mere fictions or lies. Aristotle considered that poetic fictions, unlike historical accounts, which are restricted only to what has actually happened, express what may happen, i. e. what is probable, or possible. Sir Philip Sidney completely turned the tables on the enemies of fiction, arguing that in fact it is the historians who are likely to be the liars, whereas poets simply cannot lie, since they don’t affirm anything:

“Now, for the poet, he nothing affirmeth, and therefore never lieth. For, as I take it, to lie is to affirm that to be true which is false; so as the other artists and especially the historian, affirming many things can, in the cloudy knowledge of mankind, hardly escape from many lies. But the poet (as I said) never affirmeth ... And therefore, though he recount things not true, yet because he telleth them not for true, he lieth not ...”³

Semantically, then, a literary text is made up of sentences that are not intended to refer to the real (empirical) world, even if they do seem to refer to it. Fictionality is often designated semantically in the fictional text itself, in the form of specified or implied generic indications and numerous other marks of fictionality. In modernist and postmodernist literature there are forms of fictional self-reflexivity, by which fictions comment on their own fictional nature.

If a referential (nonfictional) text has a strong narrative quality and if it does not involve the reader personally, a fictional reading and a nonfictional one become almost indistinguishable. It is the sheer narrative quality that increases the claims of a narrative text to our interest, attention and emotional involvement. A nonfictional narrative (a news story or a biography) may be as legitimate a starting point for a game of make-believe or imaginary reenactment as an openly fictional one. As a matter of fact, the fictional and the nonfictional often coincide in the ‘as if’ of the act of imaginative understanding, which may require in various degrees and combinations the fictionalization of the nonfictional and the (mental) realization, or treatment as a reality, of the fictional.⁴ On the other hand, as Malcolm Bradbury remarks, the “return to the liberal novel had generated a renewal of fiction and renegotiated the relationship of contemporary British fiction to history. But the new fiction the writers had begun to record posed its own problems of relationship to the tradition, and that would become very apparent in the course of the 60’s.”⁵ Somewhat intriguingly – for Fowles’s novels are not normally considered historical – Bradbury thinks that John Fowles has done his best to encourage a ‘problematic recovery of the historical subject’ and that he did ‘some *powerful work of historical*

³ Matei Calinescu, *Rereading*, p. 181.

⁴ *Ibidem*, pp. 182-83.

⁵ Malcolm Bradbury, *The Modern English Novel*, Secker and Warburg, London, 1993, p. 333.

recuperation (italics mine)'.⁶ Not only in *The French Lieutenant's Woman*, with its salvaging of Victorian mentalities and reconstruction of Victorian intellectual life and backgrounds, but also in *A Maggot* (1985), a kind of murder mystery dealing with the 18th century beginnings of the Shaker sect, Fowles 'attempts to build a bridge, a serious artistic bridge, between the deconstructing present and the difficult past'. This is more than 'furtive nostalgia', Bradbury argues, it is a complex way not just of recovering the life of the past, but of relating fiction itself to an earlier tradition. Similar attempts were made by Peter Ackroyd in *Hawksmoor* (1985), D. M. Thomas in *White Hotel* (1981) and A. S. Byatt in *Possession* (1990). But novels inspired by a certain nostalgia for Britain's glorious (colonial and military) past and for her liberal-intellectual traditions continue to be produced. In Angus Wilson's *No Laughing Matter* (1967), 'modern history and the fortunes of British family life are followed through the saga of a single family from the First World War to the Sixties', and Iris Murdoch's *The Red and the Green* (1965) is set around the 1916 Easter Rising in Dublin.⁷ There is quite an impressive harvest of historical novels proper, such as Paul Scott's tetralogy *The Raj Quartet* (1964 – 1975) and his Booker Prize-winning novel of 1977 *Staying On*, J. T. Farrell's *Empire Trilogy*, consisting of *Troubles* (1970), *The Siege of Krishnapur* (1973) and *The Singapore Grip* (1978). Pat Barker's *Regeneration* trilogy (*Regeneration*, 1991, *The Eye in the Door*, 1993 and *The Ghost Road*, 1995) covers the First World War and the inter-war period, using historical personages, such as the poets Wilfried Owen and Siegfried Sassoon, alongside fictional ones, but "the blending of themes such as uncertain sexuality and class awareness, far more contemporaneous to the author's world, suggests a trans-historical perspective, and other modes of more internalized modernist awareness seem to mirror something of the emergent aesthetic consciousness of the period of its setting."⁸ Similarly, in Ian McEwan's *Atonement* (2002) historical cataclysms are rendered through the symbolic dissolution of a family who had not been prepared for the abrupt end of Britain's imperial epoch. A rather odd item in the series is Julian Barnes's *The History of the World in Ten and 1/2 Chapters* (1989), which humorously re-writes some of the lesser known events in world history, seen from a perspective that all but turns our knowledge of history upside down. 'They are works of contemporary consciousness', Bradbury comments, 'as well as large-scale historical re-creations, works of elaborate form and complex metaphor, as well as descriptive writing.'⁹ Graham Swift's *Waterland* (1983), with its core themes of history and memory, Kazuo Ishiguro's *The Remains of the Day* or Stephen Fry's *Making History*, on the other hand, perfectly fit into Linda Hutcheon's notion of 'historiographic metafiction'. Hutcheon, of course, makes a distinction between historical novels proper, which would fit Georg Lukacs's

⁶ Idem, p. 361.

⁷ Idem, p. 368.

⁸ Philip Tew, *The Contemporary British Novel*, Continuum, London and New York, 2004, p. 167.

⁹ Malcolm Bradbury, *The Modern English Novel*, p. 369.

definition, and ‘historiographic metafiction’, which would fit her own. She was also among the first to remark that there was, in the British fiction of the nineteenth-eighties, “a growing concern with re-defining intellectual history as the *study of social meaning as historically constituted*.¹⁰ This was exactly what historiographic metafiction like *Waterland* or Peter Ackroyd’s *Hawksmoor* (1885) were doing. However, a novel like Rose Tremain’s *Restoration*, often invoked by Hutcheon as an example of historiographic metafiction, is clearly closer to Lukacs’s traditional formula of the historical novel. The important ideas in Linda Hutcheon’s discussion of the way in which the fictional and the historical discourses intermingle in postmodernist fiction are the following: 1. Postmodernism does not deny that the Past existed, but states that its accessibility to us today is entirely conditioned by textuality, as we cannot know the Past except through its texts (in the larger acceptance of the term, which includes eye-witness accounts, institutions, social structures and practices); 2. Postmodernist fiction establishes a dialogue with the Past, carried out in the light of the present, so the past is *presentified* (Linda Hutcheon borrows this term from Ihab Hassan); 3. History is revisited ironically (for details, see John Barth’s essay “The Literature of Exhaustion”). 4. The historical discourse is *porous*, thereby allowing for considerable insertions of fictional discourse. 5. Postmodernism refutes the natural or common-sense methods of distinguishing between historical fact and fiction. “It refutes the view that only history has a truth-claim, both by questioning the ground of that claim in historiography and by asserting that both history and fiction are discourses, human constructs, signifying systems, and both derive their major claim to truth from that identity.”¹¹ If one can say that modernism shunned history up to a point, preferring to focus on the individual, it is probably safe to observe that there is a definite postmodernist return to history, as though novelists were inspired by Oscar Wilde’s remark, “The only duty we owe to history is to rewrite it”.

British fiction-makers approach history in a variety of ways and make the most diverse and the strangest use of it. Thematically, British history is a real treasure-trove, but of course it would be so primarily for novelists bent on writing traditional historical novels. Here, we are mostly interested in books for which history constitutes a frame, rather than the subject proper. But frames come in different shapes and different colours. Accordingly, let us risk a sketchy classification.

Whatever the motivation behind the writing of novels with a historical frame – not historical novels – it is certainly not the desire to reconstruct a comprehensive picture of the period with painstaking accuracy. Novelists were, on the one hand, attracted by the freedom offered by the less firmly delineated temporal framework, especially when their purpose was to increase the ludic element in their works, as happened to Fowles in *The French Lieutenant’s Woman*, or to Barnes in *Flaubert’s Parrot*. At other times, in the cases of writers who had witnessed crucial past events, the motivation may have been that of providing a

¹⁰ Hutcheon, *The Poetics of Postmodernism*, p. 16.

¹¹ Idem, p. 93.

personal, though both lateral and unilateral, view of these events, as in Ballard's *The Empire of the Sun* or in Burgess's *The Malayan Trilogy*. Last century's wars played an important part in this respect, even though many of the writers could not possibly have written about the war from personal experience. The First World War is evoked by Jennifer Johnston in *How Many Miles to Babylon*, but also by Pat Barker in her 1995 Booker Prize winner, *The Ghost Road*, the third part of a trilogy in which the poet Wilfried Owen finally meets his death in the final days of the Great War. Being closer to us in time and memory, the Second World War is more often used as background for human dramas, from Elizabeth Bowen's *The Heat of the Day* – written in 1948, when the personal suffering induced by the war were still fresh in memory – to Ian McEwan's *Atonement*.

It is interesting to note that even more remote events, some of them from England's colonial past, tickled the imagination of such writers: thus, Beryl Bainbridge wrote about the Crimean War in *Master Georgie*, but also about Hitler's adolescence, in *Young Adolph*.

Another chapter would be constituted of the works expressing a certain nostalgia for the days when Britain was a colonial and maritime power – such novels, in Randall Stevenson's words, are built on the premise of fiction's compensatory virtues: it is well known that the loss of the Empire and the diminution of the part played by England in world affairs meant a real boost for the popular novel, including the war novel and spy fiction. Nostalgia for the past is obvious in such writings as Paul Scott's *The Raj Quartet* or *Staying On* (1977). Other novels are critical of the British policy in India, as is James T. Farrell's *The Siege of Krishnapur* (1973), which examines the causes of the Indian revolt of 1857, or his *The Singapore Grip* (1978), which, like Anthony Burgess's *The Long Day Wanes*, deals with the diminution of British imperial power in Malaysia.

Conversely, if in the world of politics Britain had shrunk in size, culturally she was greatly enriched by an intake of fresh blood and uninhibited imagination. Like all the other multi-ethnic cultures – I hope it is not an unpardonable mistake to regard today's British society as multi-ethnic – she stood to gain enormously from multi-culturalism. For many of the Commonwealth novelists history – especially recent history, the history of their countries' long struggle for freedom – was an intrinsic part of their experience, and it is only natural to find in their works such an intimate union of fact and fiction that the two are often difficult, if not impossible, to tell apart, as in Salman Rushdie's novels, particularly *Midnight's Children* and *Shame*, in Timothy Mo's *An Insular Possession*, or V. S. Naipaul's *A Bend in the River*.

Another chapter is made up of those postmodernist works which, within the framework of recorded historical events, develop personal histories that can throw some light on the spirit and mentality of by-gone ages. It is as if these authors were responding to a complaint Doris Lessing made in the introduction to her *The Golden Notebook*. She said: "One [of her thoughts] was that it was not possible to find a novel which described the intellectual and social climate of a

hundred years ago, in the middle of last century, in Britain, in the way Tolstoy did it for Russia, Stendhal for France. To read *The Red and the Black* and *Lucien Leuwen* is to know that France as if one were living there, to read *Anna Karenina* is to know that Russia. But a very useful Victorian novel never got itself written¹². The man who was to provide such a useful Victorian novel – with a century’s delay – , John Fowles, denied that he was trying to write a historical novel: “I don’t think of it [*The French Lieutenant’s Woman*] as a historical novel, a form for which I have very little interest.”¹³ In spite of such disclaimers, however, he was trying to stop at least one of the many gaps left by the Victorians, as he himself admits: “Magnificent though the Victorian novelists were, they almost all (an exception is, of course, the latter Hardy) failed miserably in one aspect: nowhere in ‘respectable’ Victorian literature does one see a man and a woman described together in bed. We do not know how they made love, what they said to to each other in their most intimate moments, what they felt then. Writing as I have been today – about two Victorians making love – with no guides except my imagination and vague deductions from the spirit of the age and so on – is really science fiction. A journey is a journey, backwards or forwards.”¹⁴ No guides except his imagination, indeed. Except many insights on the Victorian temperament, mentality and intellectual climate, belonging to the best writers, historians and philosophers, which Fowles either uses as epigraphs, or quotes indirectly, thus establishig mood and setting the right pace. There can be no doubt that, notwithstanding the parodic intention, that John Fowles wanted to write the perfect Victorian novel, that he used “the problem pleasures of anachronism” to throw into creative relief the cultural presuppositions of a by-gone age. The allegations that he tried to be a popular Victorian novelist a hundred years too late are not, after all, that insubstantial.

Narcissism, or Pygmalionism, is the essential vice a writer should have (John Fowles). That may be the reason why many of the historically-framed recent English novels are fictionalized biographies of the kind Peter Ackroyd has made his speciality of. Quite a few novels seem to be variants on Henry James’s subject in “The Aspern Papers”: explaining the creative impulse responsible for a writer’s work. An investigation of that writer’s life becomes necessary, along with a careful examination of all the documents – diaries, letters, official papers – of his/her life. The author does not say it in so many words, but in doing a (literary) historian’s work, he/she actually tries to understand his/her own psychological resorts better and at the same time offer the readers a mirror image of his/her personality. A case in point is, obviously, A. S. Byatt’s wonderful book *Possession*, which, while making mostly statements about the present, also builds, stealthily but unfailingly, a bookish image of Victorian intellectual and artistic life. A more recent example (1996) is Patricia Duncker’s *Hallucinating Foucault*, a postmodernist parable on the complicated

¹² Preface to *The Golden Notebook*, in *The Novel Today*, ed. by Malcolm Bradbury, p. 173.

¹³ John Fowles, “Notes on an Unfinished Novel”, in *The Novel Today*, p. 136.

¹⁴ Idem, p. 141.

love and admiration of the reader for the author, but also on the writer's need to imagine and write for the ideal reader. And, naturally, the best possible example is Julian Barnes's *Flaubert's Parrot*.

Another chapter groups novels which use not history proper, but alternate history. The categories often overlap, because authors are naturally tempted to imagine not only unattested small events and details in the lives of famous protagonists, but an altogether different course taken by their biography. Thus, in *Milton in America* (1996), Ackroyd imagines that Cromwell's Latin Secretary, blind as a bat, anticipating the Restoration, decides to flee London in order to avoid certain punishment and death, and joins the Puritans recently settled in the New World. Part of the story is narrated by Milton, but most of it is told by Goosequill (Milton's companion and self-appointed biographer) to his sweetheart Kate. Milton is presented as a ridiculous man, a hopeless relic with absolutely no inkling about the course history has embarked on, particularly in the land of infinite promise. *Making History* (1996) by Stephen Fry is, if we agree with John Fowles that time-travelling, whether forward or backward, is science-fiction, a science-fiction book, but one combined with a campus novel and with a comic novel of manners. The protagonists, a history student (again!) and a brilliant physicist, appalled by the harm Hitler and Nazism have inflicted upon mankind, decide to change the course of history, so that the dictator is never born. They open a Pandora's box: they manage to cancel the Fuhrer's birth, but another man, even more ruthless and better equipped intellectually, takes over command of the Third Reich and makes it invincible in the alternate reality the two time-engineers find themselves projected into. Michael Young, the main character, broods on the pits and falls of historical and epistemological relativism: "As a historian, I should be able to offer a good, plain account of the events that took place on the .. well, when did they take place? It is all highly debatable. When you become more familiar with my story, you will understand the huge problems that confront me. A historian, someone, said – Burke, I think, if not Burke, then Carlyle – is a prophet looking backwards. I cannot approach my story in that fashion. The puzzle that besets me is best expressed by the following statements:

A: None of what follows ever happened.

B: All of what follows is entirely true.

It means that it is my job to tell you the true story of what never happened. Perhaps that's a definition of fiction."¹⁵

History is also what many characters in recent British fiction do for a living. There are many representative novels on history as a job: Malcolm Bradbury's, *The History Man*, Graham Swift's *Waterland*, Angus Wilson's *Anglo-Saxon Attitudes*.

¹⁵ Stephen Fry, *Making History*, Arrow Books, London, 1996, pp. 7-8.

OBSERVATIONS SUR LE STATUT MORPHOLOGIQUE DU PARTICIPE ET DU ‘*SUPIN*’[♦] EN ROUMAIN

G.G. NEAMȚU

ABSTRACT. *Observations upon the morphological status of “participle” and “supine” in Romanian.* In this article, the author tries to demonstrate, by grammatical (morphological and syntactical) means, two major ideas: (a) the variable verbal participle, within the structure of the so-called “passive voice”, is one and the same as the variable verbal participle within the other contexts, that is a unit with morphological and syntactical autonomy, whereas the “passive voice” is a debatable grammar/morphological category, assimilated to a syntactical construction of the type: “to be (a fi) + adjective”<; (b) the units “de, la, în a .s. o.” before /in front of the verbs in “supine” are exclusively prepositions, not morphemes within its structure. Moreover they do not have any “cause – effect” type implications in the grammatical meaning of this verbal mode, a meaning different from both that of the invariable verbal participle within the structures of the analytical (compound) verbal forms, and from that of the variable verbal participle (forms of masculine singular). Therefore, this verbal mode is only homonymous with the participle in the two analyzed construction types.

0. Considérés d’habitude, tout comme le gérondif et l’infinitif, comme appartenant à la catégorie des formes verbales non personnelles (= des «modes non personnels»¹), le participe et le *supin* ont certaines caractéristiques morphologiques, syntaxiques et sémantiques atypiques pour le verbe, ce qui est quasi unanimement reconnu. Ce sont les formes (verbales) non personnelles les plus c «nominales», ce qui justifie les examens répétés qu’on leur a fait subir de différents points de vue, insistant sur *les unes ou les autres* de leurs caractéristiques².

En ce qui suit nous ne proposons pas un nouveau réexamen de ce sujet, mais, prenant comme prémisses la nature essentiellement non personnelle de ces formes verbales, nous mettons en discussion un aspect de cette problématique: le statut morphologique du participe dans la «voix passive» et celui des «unités» *de, în, la*, etc. qui apparaissent devant le *supin*.

♦ Le ‘*supin*’ est une forme verbale héritée du latin *supinum*, mais qui n’a pas de correspondant en français. C’est pourquoi nous avons gardé le mot roumain *supin*, que nous avons mis partout en italiques.

¹ Voir GLR (1963), 1er volume, p.228, 233.

² Voir, par exemple, Drașoveanu, (1997), p. 135-141, pour l’accord du participe dans la perspective syntaxique.

1. Au niveau de la forme verbale que nous appelons *participe*, ce qui s'explique au moins par son origine, les grammaires roumaines proposent plusieurs dichotomies, selon certains critères:

(a) participe – verbe / participe – adjectif: roum. roman *citit* / *om citit* (fr. roman *lu* / **personne lue* - *personne cultivée, érudite*), roum. par *înfipt* / *individ înfipt* (fr. piquet *enfoncé* / *individu audacieux, qui a de l'aplomb*)

(b) participe à valeur passive / participe à valeur active: *om urmărit* (de...) (fr. *personne poursuivie par...*), *e cunoscut* (că...) (fr. *il est connu de tout le monde que...*) / *om sosit* (de pe drumuri) (fr. *personne arrivée après avoir parcouru des chemins*), *individ căzut* (în cap) (fr. littéralement - **personne qui est tombée sur sa tête, qui s'est cogné la tête* = fig. *personne insensée, qui a perdu l'esprit, la raison*).

(c) participe variable / participe invariable: roum. roman *citit* (fr. roman *lu*) / roum. am (ai, a ...) *citit* (fr. j'ai (tu as, il a ...) *lu*).

Remarque. Dans la structure de la prétendue voix passive impersonnelle, nous avons toujours un participe invariable, exclusivement verbal passif: roum. *e știut că ...* (fr. *il est connu que ...*), roum. *e (unanim) acceptat că...* (fr. *il est (unanimement) accepté que ...*), roum. (*nu i-a fost dat să ...* (fr. *il ne lui a pas été permis de ...*). Ce participe a un statut différent par rapport à celui qui est invariable, présenté sous (c), étant une déviation par rapport au participe variable de la structure de la voix passive. Cette transformation en participe invariable se réalise selon le modèle «adjectif (masc., sg.) ? adverbe de manière» (roum. *Totul e clar* (fr. *Tout est clair*) ? roum. *E clar că...* (fr. *Il est clair que...*). Il est question, en effet, d'une transformation adverbiale par un changement de catégorie grammaticale non marquée.

1.1. Certaines approches, la plupart de filiation structuraliste, accordent au participe invariable, de nature exclusivement verbale et présent dans la structure de certains modes et temps composés, un statut particulier. Il n'est plus considéré comme une forme verbale autonome, comme constituant d'un paradigme (= le mode participe), mais il apparaît comme simple *composante* d'un membre du paradigme verbal, comme *sous-unité*, que nous pouvons assimiler à un *thème verbal* (= radical + suffixe (modal-) temporel)³.

Par conséquent, ce «participe» est simplement homonyme⁴ du participe-unité (= le mode participe)⁵.

Placé à côté d'un auxiliaire (d'origine verbale), généralement antéposé et appartenant à la catégorie plus large des affixes mobiles, le participe constitue ce

³ Voir, en ce sens, LRC (1985), p. 172-173.

⁴ Le même statut est accordé aussi à l'infinitif, au gérondif, au *conjunctiv* du roumain dans la structure des formes verbales analytiques (roum. *voi face* (fr. *je ferai, j'ai à faire*), roum. *vei fi făcând* (fr. *tu l'auras fait*), roum. *am să fac* – le *conjunctiv* = *să fac* - (fr. *j'ai à faire*). Voir LRC (1985), p. 172-173.

⁵ Pour le cas du “participe” invariable, homonyme du supin, coïncidant avec lui, voir *infra*, 2.2.1.

qu'on appelle la flexion verbale *analytique*⁶. Celle-ci et la flexion *synthétique* sont les moyens possibles de réalisation des *catégories grammaticales du verbe* sur le plan de l'expression, ces catégories étant indispensables à la flexion.

En dehors du mode d'organisation et de disposition linéaire du segment fléchi (*continu* pour les formes verbales synthétiques, respectivement *discontinu* (avec interruption⁷) pour les formes verbales analytiques), on ne saurait faire *une discrimination* entre les deux types de flexion en ce qui concerne leur *fonction dans l'usage* – les deux réalisant les catégories grammaticales du verbe et se situant en même temps sur le plan *morphologique*⁸. (La distribution des significations grammaticales actualisées aux segments fléchis est secondaire.⁹)

Le manque d'autonomie morphologique du participe qui fait partie de la structure des formes verbales analytiques (= sa qualité de sous-unité) s'associe de manière évidente à un manque d'autonomie sémantique et syntaxique.

Autrement dit, sa signification grammaticale n'est plus celle du participe en tant qu'unité¹⁰ (= en tant que mode non personnel), mais, en association avec l'affixe mobile, elle deviendra celle d'une forme verbale analytique (= passé composé de l'indicatif, futur antérieur de l'indicatif, conditionnel passé (roum. conditionnel-optativ perfect), etc.). Cette signification globale ne renvoie plus à aucune valeur modale du participe.

Il en est de même du point de vue syntaxique (fonctionnel), ce participe ne pouvant pas remplir de fonction syntaxique. (La fonction est attribuée à la forme verbale analytique dans son ensemble).

Ceci dit, ce n'est donc que le participe variable qui serait un participe-unité, un mode en tant que tel dans la catégorie des modes non personnels. Celui-ci ne figure pas à l'intérieur de la structure d'une forme verbale analytique et ne se combine pas avec d'autres éléments pour former avec eux une catégorie grammaticale verbale.

1.2. Le participe variable, quelle que soit sa «valeur», verbale ou adjectivale (= adjectif proprement dit), a le fonctionnement morphologique et syntaxique d'un

⁶ Voir Guțu – Romalo (1968), p. 40-42.

⁷ Voir, quant au segment fléchi continu / segment fléchi discontinu, SMLRC (1967), p. 51. Voir, pour leur description, Guțu Romalo (1968), p. 182 et les suivantes.

⁸ Il est de moindre importance qu'en roumain, sur le plan de la flexion verbale, les variantes à options (formes synthétiques / formes analytiques) pour la même signification grammaticale ne sont pas représentées de manière significative (par exemple, l'infinitif avec ou sans *a*). Mais si nous faisons la comparaison avec d'autres langues, la similitude fonctionnelle est évidente (voir, par exemple, le plus-que-parfait : en roumain – forme synthétique (*cântasem*), en français – forme analytique (*j'avais chanté*)).

⁹ En général, du moins dans la grammaire usuelle, les catégories grammaticales se situent au niveau morphologique (=catégories morphologiques), malgré leur réalisation synthétique ou analytique, du fait que ce n'est qu'à ce niveau-là que nous parlons de morphèmes au sens restreint du terme (morphème = morphème grammatical = (sous)unité de la flexion). Voir, pour la répartition de cette forme dans la catégorie des formes analytiques, par rapport aux formes synthétiques, Neamțu (1998), p. 217-224.

¹⁰ Cf. GLR (1963), 1er volume, p. 228.

terme, d'un *mot* en tant que tel, c'est une *partie du discours*, respectivement un verbe ou un adjectif: du point de vue de la flexion, il a le comportement d'un adjectif variable, revêtant quatre formes dans la flexion. Du point de vue syntaxique, en tant que terme subordonné, il a les mêmes fonctions que l'adjectif, réalisées de la même manière (= par accord typiquement adjectival) et par rapport aux mêmes termes régissants¹¹.

L'engendrement, à partir de ce participe variable «générique», d'un participe-verbe (= le mode participe) et d'un participe-adjectif (= extérieur au paradigme du verbe) est fondé sur toute une série de traits syntaxiques et de sémantique grammaticale¹².

1.3. Supposant le participe verbal variable comme faisant partie du paradigme verbal, on s'attendrait à ce qu'il soit interprété dans tous les contextes comme unité (et non pas sous-unité) et, par conséquent, comme occupant une position syntaxique autonome dans l'énoncé, soit comme terme régissant, soit comme terme régi (= ayant obligatoirement une certaine fonction syntaxique).

Or, conformément aux grammaires actuelles, ce statut morphologique et syntaxique est annulé (transgressé) dans le cas de la *voix passive*. Dans une terminologie ou une autre, ce statut subit un glissement vers le participe «sous-unité», ce qui bloque en fait son analyse du point de vue grammatical (morphologique et syntaxique).

En ce sens:

1.3.1. Dans le cadre de la *voix passive* (ayant la structure «être + participe»), le participe, quoique pourvu d'une valeur adjectivale du point de vue «formel», comme n'importe quel participe, n'est pas analysé comme *attribut* (à côté du verbe *être* à l'intérieur d'un prédicat nominal¹³), ne serait-ce que sous le nom d'«attribut participial», mais il est interprété en dehors de toute fonction syntaxique, sous la formule archi-connue de «composant» de la structure de la *voix passive*, composant de nature «verbale»¹⁴, tout comme l'autre composant («l'auxiliaire» *être*).

De là résulte aussi la fonction «globale» du groupe, celle de *prédicat verbal*¹⁵, sans parler encore d'une structure binaire, comme pour le prédicat nominal.

¹¹ C'est ce qui a déterminé certains linguistes à assimiler complètement le participe à l'adjectif. (cf. Drașoveanu (1997), p. 135-142.

¹² Une présentation rigoureuse et une illustration de leur passage graduel du verbe à l'adjectif ont été fournies par Pană Dindelegan (2003), p. 116-132, donc nous ne les répéterons pas ici.

¹³ Il est moins important que ce que nous appelons "attribut" soit une unité (fonction) syntaxique autonome, implicitement extrapredicative, du même type que le complément du nom ou le complément circonstanciel, etc., ou que ce soit seulement une sous-unité fonctionnelle dans le cadre du prétendu c «prédicat nominal», sa partie (plus ou moins) «nominale», qui n'est pas porteuse d'indices de prédication (attribués au «copulatif»). Cf., pour cette problématique, Drașoveanu (1997), p. 142 et les suivantes; Guțu Romalo (1973), p. 124; Neamțu (1986), passim; Dimitriu (2002), p. 1286 et les suivantes.

¹⁴ Au cas contraire, c'est-à-dire le participe (passif) de la structure de la *voix passive* = une partie «nominale», le prédicat ne peut plus être verbal, mais... nominal.

¹⁵ Seulement quand *être* est à un mode personnel, naturellement.

On considère comme élément décisif le sens grammatical passif, propre à la nature verbale¹⁶, vérifiables de plusieurs manières, dont la plus connue et la plus répandue est le test du complément d'agent¹⁷.

Nous arrivons ainsi à une interprétation complètement insolite de ce participe: quoique ayant les mêmes caractéristiques de flexion et le même sens grammatical que le participe passif des autres contextes (avec un nominal¹⁸ en l'absence ou en présence d'un verbe dans la structure, un autre que *être*), on ne lui attribue pas de fonction syntaxique – à comparer roum. *Copilul este urmărit de ghinion*. (fr. *L'enfant est poursuivi de/hanté par la malchance*.) (participe dans la structure de la voix passive, sans fonction syntaxique propre) avec roum. *Copilul urmărit de ghinion este Mihai*. (le participe = épithète) (fr. *L'enfant poursuivi de malchance est Mihai*), roum. *Copilul pare (a ajuns...) urmărit de ghinion*. (fr. *L'enfant semble (? est devenu...) poursuivi de malchance*.) (le participe = attribut), roum. *Copilul se crede urmărit de ghinion*. (fr. *L'enfant se croit poursuivi de malchance*) (le participe = attribut second degré du sujet)¹⁹.

Une telle interprétation syntaxique a des conséquences immédiates sur le statut morphologique: le participe de la «voix passive» ne serait plus une unité, mais seulement une *sous-unité*, tout comme le participe invariable de la structure des formes verbales analytiques. Or, il est plus qu'évident qu'il s'agit d'un seul et même participe verbal variable, dans la structure de la «voix passive», ainsi qu'en dehors de cette structure. Par conséquent, une telle différence dans son interprétation fonctionnelle ne se justifie pas.

1.3.2. A cause de son caractère non analysable du point de vue syntaxique, le groupe «*être* + participe passif» (= «la voix passive») appartient à la catégorie des formes analytiques²⁰ qui réalisent les catégories grammaticales verbales²¹.

Or, faisant une comparaison entre la «voix passive» et les autres catégories (à réalisation analytique), nous constatons qu'il y a trop de différences pour que

¹⁶ Ce n'est que pour le verbe qu'on peut parler d'une opposition actif / passif dans le système, et non pas pour d'autres classes de mots.

¹⁷ Exprimé ou exprimable.

¹⁸ Par "nominal" nous entendons le nom et ses substituts.

¹⁹ Le même blocage fonctionnel du participe passif apparaît aussi dans le cas des réductions, comme état final des contractions moyennant un gérondif, à la suite de l'apparition de *être* «auxiliaire» (roum. *Deoarece a fost bătut de turci, prințul s-a supărat*. (fr. *Puisqu'il a été vaincu par les Turcs, le prince s'est affligé*)?roum. *Füind bătut de turci, prințul s-a supărat*. (fr. *Etant vaincu par les Turcs, le prince s'est affligé*). ? roum. *Bătut de turci, prințul s-a supărat*. (fr. *Vaincu par les Turcs, le prince s'est affligé*). Voir, pour les «réductions», y compris les «participiales», Drașoveanu (1997), p. 256 et les suivantes.

²⁰ A côté de ce qu'on appelle modes et temps composés.

²¹ La voix est systématiquement incluse dans la série des catégories grammaticales du verbe, à côté du mode + temps et de la personne + nombre.

nous leur accordions le même statut, celui de catégories grammaticales (= morphologiques)²². Ces différences concernent les deux «composantes» («séquences»):

(1) *Etre* de la «voix passive», appelé aussi «auxiliaire de diathèse», au-delà du paradigme verbal complet (tous les modes et tous les temps), ne se ressemble nullement aux auxiliaires proprement dits²³. Les derniers ne font que copier (en partie ou intégralement) le modèle de flexion des verbes d'origine, mais tout en gardant leur statut d'*affixes* (plus ou moins) *mobiles*, de nature *morphématique*. Ce sont finalement des *morphèmes* / des *groupements morphématiques grammaticaux*, de la catégorie des éléments de flexion²⁴.

En revanche, *être* «auxiliaire de diathèse» ne peut pas être morphème: entre ce *être* et celui qu'on appelle «copulatif» (de la structure du prédicat nominal), on n'a trouvé jusqu'ici aucune différence, que ce soit grammaticale ou sémantique. Du fait que *être* «copulatif» ne peut aucunement être assimilé aux morphèmes²⁵, il est peu probable que *être* de la voix passive soit morphème. Par conséquent, la distinction entre les deux *être* ne se justifie pas, elle n'est pas fondée sur des traits intrinsèques²⁶.

Remarque. Dans les grammaires roumaines, la distinction qu'on a opérée entre *être* «auxiliaire de diathèse» et *être* «copulatif» est basée sur un raisonnement faux: en acceptant que «*être* + participe passif (supposé «sous-unité»)» constitue la voix passive et que celle-ci est une catégorie grammaticale, du même coup *être* de ce groupement est (à lire *doit être*) considéré toujours comme sous-unité, c'est-à-dire *auxiliaire* (de diathèse), de nature morphématique.

(2) Dans le cas des formes verbales analytiques proprement dites et acceptées en tant que telles (passé composé, futur, conditionnel présent/passé, etc.), le problème des relations entre *composantes* (auxiliaire et séquence contenant l'auxiliaire) et le nominal-sujet ou ses déterminants ne se pose pas/ne peut pas se poser, en termes strictement

²² Au sens restreint et spécialisé, les catégories grammaticales sont exclusivement morphologiques, quelle que soit leur réalisation, synthétique ou analytique. Par conséquent, «réalisation analytique» et «réalisation synthétique» ne reviennent pas au même. La première tient à la morphologie, la deuxième, à la syntaxe (= le domaine des combinaisons, des constructions, non déterminatives des catégories grammaticales).

²³ *A fi (être), a avea (avoir), a vrea (vouloir)*.

²⁴ Les auxiliaires (proprement dits), ayant leurs propres éléments de flexion, quoique souvent amalgamés au radical et difficiles à identifier par segmentation morphologique, fonctionnement, par rapport à la flexion synthétique, sur la position des désinences et de certains suffixes (grâce au sens transmis sous forme grammaticalisée par le radical des verbes en question). A consulter, pour une répartition approximative des segments de la flexion analytique par types de significations grammaticales, Guțu Romalo (1968), p. 183 et les suivantes; Neamțu (1998), p. 217-225.

²⁵ Voir en ce sens Neamțu (1986), p. 57, 71-77, 81-83.

²⁶ D'ailleurs même dans l'analyse grammaticale usuelle (et traditionnelle), le choix interprétatif en faveur de l'une ou l'autre des variantes s'explique seulement par rapport au second membre du groupement: le participe à sens passif ? *être* «auxiliaire», respectivement participe à sens actif ou adjectif en tant que tel (provenu du participe) ? *être* «copulatif».

syntaxiques. Et la question d'une/de relation(s) interne(s) entre les composantes²⁷ non plus. C'est la raison pour laquelle, par exemple, un passé composé entre en rapport (de subordination ou de sur ordination) avec un terme comme un *tout* indissociable. (La relation de subordination²⁸ de la forme verbale analytique comme prédicat par rapport au nominal sujet est marquée dans l'auxiliaire (roum. *am citit* (fr. *j'ai lu*), roum. *ai citit* (fr. *tu as lu*), *a citit* (fr. *il a lu*), etc.), mais elle fonctionne pour tout le groupe.

Il n'en est pas de même de la «voix passive», dont les «composantes» entrent en relation chacune de manière différente avec le nominal sujet: *être*, par l'accord verbal en nombre et personne (comme toute forme verbale, y compris *être* «copulatif», accord qui lui est réservé, ne fonctionnant pas pour l'autre «composante» ; le participe, par l'accord en genre, nombre et cas (comme tout adjectif²⁹, y compris le participe variable du reste des contextes), accord qui ne concerne que le participe, et non pas l'autre «composante».

Remarque. Si les grammairiens acceptent sans aucune réserve l'accord de ce participe en genre et en nombre, ils passent le plus souvent sous silence l'accord en *cas*. Or, par la force du système/concept d'*accord* et par la force de l'évidence, d'ailleurs, il nous faut accepter aussi l'accord en *cas*, même si ce cas est toujours le même, le *nominatif*, exigé par son partenaire d'accord, le nominal sujet, toujours et exclusivement en nominatif. (Les trois catégories nominales (le nombre, le genre et le cas), quel que soit le degré de leur fonctionnement³⁰, sont *solidaires*: dans la grammaire de la langue roumaine, où nous avons un genre et un nombre, nous avons «automatiquement» aussi un cas ou un autre.³¹) Bref, le participe de la «voix passive» a un cas, comme tout autre participe variable et qui fonctionne de la même manière, par accord.

En tant que fait objectif de langue, ce double accord (verbal et adjectival), réalisé par chaque composante de la «voix passive», ne peut pas être mis en question et les relations syntaxiques matérialisées non plus. Ces relations s'établissent entre des unités (lexèmes), et non pas entre des sous-unités (quelle que soit leur nature), non plus entre une unité ou une sous-unité.

²⁷ Tout comme dans le cas des composantes d'une forme synthétique.

²⁸ Conformément à la thèse qui soutient que le prédicat est subordonné (par accord) au sujet. Voir, pour cette problématique, Draşoveanu (1997), p. 195 et les suivantes; Neamţu (1986), p. 16-22. De ce point de vue, les données du problème ne changeraient pas essentiellement même si nous acceptions l'autre modèle d'interprétation du rapport entre prédicat et sujet, celui de l'«interdépendance» (voir en ce sens, Guţu Romalo (1973), p. 37-38.

²⁹ Tout participe variable a un comportement adjectival, quelle que soit sa «valeur», verbale ou adjectivale (= adjectif qualificatif, provenant d'un participe).

³⁰ Genre 1, nombre 1, cas 1 (catégories primaires de la sphère du nominal) / genre 2, nombre 2, cas 2 (catégories secondes, dues à l'accord syntagmatique, de la sphère de l'adjectival). Voir, pour un classement des catégories grammaticales du point de vue de leur fonctionnement, Draşoveanu (1997), p.73-100.

³¹ Les réserves concernant l'accord en cas sont justifiées, du moins en partie: parler d'un cas dans le cadre de la voix passive, «domaine» du verbe par excellence, est un peu «gênant», étant donné l'opposition fondamentale nom/verbe. C'est d'ailleurs aussi le cas du genre, concernant toujours le...verbe.

La conséquence en est immédiate: chacune des deux «composantes» constitue une unité syntaxique en tant que telle, dont le fonctionnement est déterminé par la relation de subordination du type accord (verbal et adjectival).

Si nous refaisons le raisonnement inversement, de la syntaxe vers la morphologie, le statut de termes en relation (avec le nominal sujet), relation qui les investit d'une fonction syntaxique, les rend incompatibles avec leur statut de composantes/sous-unités d'une (seule) forme verbale analytique. Nous avons ainsi encore une preuve du fait que le participe de la «voix passive» est le même que le participe passif variable des autres situations.

(3) Faire passer le verbe d'une forme synthétique à une forme analytique proprement dite (du type «auxiliaire» (y compris *être*) + participe) n'a aucun effet sur le régime syntaxique du verbe, respectivement le caractère *transitif* vs. *intransitif* ne change pas roum. *citeam* (fr. je *lisais*), roum. *am citit* (fr. j'*ai lu*), roum. *aș fi citit* (fr. j'*aurais lu*) (transitif) / roum. *mergeam* (fr. je *marchais*), roum. *am mers* (fr. j'*ai marché*), roum. *aș fi mers* (fr. j'*aurais marché*) (intransitif). Transitif vs. intransitif caractérise la forme verbale dans sa globalité, et non pas ses sous-unités, le participe par exemple.

Si la voix passive était une réelle catégorie grammaticale analytique et, par conséquent, si le participe de sa structure était une sous-unité, le problème de la transitivité vs. intransitivité de l'«ensemble» devrait se poser de la même façon. Or, comme nous le savons trop bien, le participe passif, dans le cadre de la «voix passive» ou en dehors de celle-ci, a une transitivité *bloquée*³², ce qui fait qu'il soit incompatible avec un complément d'objet direct³³, tout comme un verbe intransitif.

Le fait même de pouvoir caractériser *séparément* ce participe par rapport à la transitivité (= à la transitivité bloquée) le fait sortir de l'unité supposée (= forme verbale analytique), lui conférant son statut d'unité en tant que telle.

Remarque. La transitivité bloquée du participe de la voix passive, dans son statut d'unité, ne peut pas s'expliquer par le verbe *être*, et cela pour au moins deux raisons:

1. Le participe passif a le même statut en l'absence du verbe *être*.

(b) Si *être* est auxiliaire, donc sous-unité, il n'a pas de régime syntaxique, on ne peut pas le traiter de transitif vs. intransitif et, par conséquent, il ne peut pas influencer le participe.

Les affirmations ci-dessus nous permettent de tirer au moins deux conclusions:

(a) Le participe passif de la «voix passive» est de même nature que le participe des autres contextes, c'est-à-dire, il a une autonomie morphologique et syntaxique, et le verbe *être* est assimilé entièrement au «copulatif» *être*, i.e. il n'appartient pas à la catégorie des «auxiliaires».

³² Pour le même phénomène on utilise parfois le terme, un peu impropre, d'*intransitivation* (transformation intransitive).

³³ Une exception mineure est représentée par ce qu'on appelle *verbes bitransitifs* (roum. *a învăța* (fr. *faire apprendre*), roum. *a asculta* (fr. *examiner*), roum. *a întreba* (fr. *demander*), roum. *a trece* (fr. *faire passer*), etc., dont le participe garde une valence transitive qui se réalise (roum. *copil ascultat lecția de către...* (fr. *enfant qu'on fait réciter la leçon*).

(b) Analyser le groupement «*être* + participe (passif)» («la voix passive») du point de vue morphologique, plus exactement comme réalisation analytique d'une catégorie grammaticale, est discutable³⁴. Sa place est au niveau syntaxique, comme tout autre groupement dont les parties (en tant que lexèmes) se définissent sur la base des relations syntaxiques contractées avec d'autres lexèmes, réalisées par les *fonctions syntaxiques*).

Du point de vue relationnel, nous ne voyons pas d'inconvénients majeurs pour interpréter de la même façon la construction en question et ce qu'on appelle couramment «prédicat nominal», avec *être* «copulatif», dans l'une des deux variantes proposées dans la littérature de spécialité:

(a) une seule fonction syntaxique, *prédicat nominal*, s'opposant au prédicat verbal, fonction à structure binaire, où le participe a la fonction d'*attribut*³⁵, tout comme l'adjectif ;

(b) deux fonctions syntaxiques distinctes – prédicat verbal (*être*) et «attribut» (le participe), extérieur au prédicat, qu'on pourrait éventuellement appeler autrement³⁶.

Remarque. Les deux fonctions se réalisent différemment, par rapport à un seul et même terme (le nominal sujet), mais elles excluent une relation marquée grammaticalement (= elles ne constituent pas un syntagme)³⁷.

Leur cooccurrence obligatoire illustre ce qu'on appelle syntagmes conditionnés de manière biunivoque (roum. *Cartea* (A) *a fost* (B) *premiată* (C): AB conditionné par AC et inversement, où: A = sujet, B = prédicat verbal, C = attribut (roum. «*nume predicativ*»)³⁸.

2. Identique du point de vue formel au participe verbal invariable, le *supin* s'en distingue par son sens grammatical³⁹ et par les unités lexicales qui l'accompagnent: *de, în, la, din, pentru*, etc.

Acceptant le *supin* comme membre du paradigme verbal, au moins dans les cas qui ne suscitent pas de controverses⁴⁰, nous nous intéressons ici à sa nature de forme verbale synthétique vs. forme verbale analytique, en fonction du statut morphologique des unités proclitiques (*de, la, în...*):

³⁴ Des "réserves" ont été explicitement formulées dans SMLRC (1967), p. 196 et les suivantes. Voir en ce sens, Guțu Romalo (1972), p. 12-22; Drașoveanu (1997), p. 135-142.

³⁵ Le terme *nom* (en roumain, l'attribut est appelé *nom predicativ*) appliqué au participe passif (du prédicat nominal), n'est vraiment pas moins inapproprié que dans le cas des adverbes ou des infinitifs ou des *supin* (*supinum* du latin) ayant la fonction d'attribut (roum. *nume predicativ*). Cf. Neamțu (1986), p. 94 et les suivantes.

³⁶ Cf. Neamțu (1986), p. 94 et les suivantes.

³⁷ Cf. Drașoveanu (1997) p. 142 et les suivantes; Neamțu (1986), p. 67 et les suivantes.

³⁸ Cf. Drașoveanu (1997), p. 155-156.

³⁹ Voir, pour les définitions sémantiques des deux "modes", GLL (1963), 1er vol., p. 228, 233.

⁴⁰ Nous excluons du champ des discussions la nature verbale vs. la nature nominale du roum. *supin*, et leurs traits respectifs, de même que les modes d'analyse de l'une ou de l'autre de ces interprétations. Voir l'analyse récente de Pană Dindelegan (2003), p. 142-150.

(a) Si celles-ci ont un statut morphématique, étant assimilées à des affixes (de flexion) proclitiques, tout comme *a* de l'infinitif roumain, le supin est une forme *analytique* (= *de, la, în...* font partie de la structure morphématique du *supin*, et constituent avec l'affixe enclitique de celui-ci (roum. *-at, -ut, -it, etc.*) un segment fléchi discontinu.

(b) Si, par contre, nous les considérons comme des prépositions en tant que telles (des connecteurs intrapropositionnels), ces unités restent extérieures à la structure morphématique du *supin* (comme toute autre préposition). Il en résulte que le *supin* est une forme verbale synthétique, réduite à son corps phonétique proprement dit.

Ce statut morphologique, dans les deux variantes présentées ci-dessus, a des conséquences immédiates sur la catégorisation *relationnelle* du *supin* comme mode: catégorie relationnelle⁴¹ en (a), catégorie non relationnelle en (b)⁴².

A son tour, cet encadrement relationnel a des répercussions au niveau de la répartition des moyens de subordination comme expression: flexion (flectifs) en (a), jonction (préposition) en (b).

Pour une fonction syntaxique comme le complément du nom, par exemple, dont le classement est basé sur le critère relationnel⁴³, à part la «partie du discours» en question, le grammairien doit placer le *supin* soit dans la catégorie du complément du nom réalisé par le mode même (a), soit dans celle du complément du nom réalisé par la préposition (b), avec leurs dénominations correspondantes.

2.1. En analysant les unités⁴⁴ en question (roum. *de, la, în...*) du point de vue de leur qualité morphologique (d'affixes de flexion proclitiques vs. prépositions), nous faisons les observations suivantes:

(1) La sémantique grammaticale⁴⁵ de ces unités est essentiellement identique à celle qu'elles manifestent en tant que prépositions «incontestables». (Il serait difficile à prouver que devant le *supin* elles auraient d'autres «sens» ou qu'elles seraient «spécialisées»⁴⁶.)

(2) Le fait que le *supin* apparaît obligatoirement accompagné d'une d'entre elles, comme si celle-ci faisait partie obligatoirement de sa structure, ne leur confère pas automatiquement la qualité de morphèmes. (Les pronoms personnels disjoints/toniques, par exemple, n'apparaissent en accusatif qu'accompagnés de

⁴¹ Comme le gérondif roum., l'infinitif roum. sans préposition.

⁴² Voir, pour le classement des catégories grammaticales en «relationnelles» (= de relation) et «non relationnelles» (= d'opposition), Drașoveanu (1997), p. 78-93.

⁴³ Critère appliqué explicitement et conséquemment dans la grammaire de la langue roumaine seulement aux compléments du nom exprimés par des noms ou des pronoms, et pas aux autres. (C'est pourquoi il nous manque un classement proprement dit (les compléments du nom adjectivaux, verbaux, adverbiaux).

⁴⁴ Avant d'arriver à une conclusion argumentée, nous nous contenterons de les appeler «unités».

⁴⁵ Le sens de ces unités, qu'elles soient du type morphématique (de flexion) ou du type prépositionnel est éminemment grammatical (vs. lexical).

⁴⁶ Ces sens relationnels divers n'appartiennent pas au *supin* en tant que membre d'une catégorie grammaticale, mais aux unités qui le précèdent. Voir, pour le concept de «sens relationnel», Drașoveanu (1997), p. 21-35.

prépositions, ce qui ne signifie pourtant pas que dans ce contexte les prépositions sont devenues (toutes) des morphèmes d'accusatif.)

(3) Sans affirmer qu'un membre d'une catégorie grammaticale a/doit avoir un seul «morphème» (allomorphe⁴⁷), ici pourtant le grand nombre d'unités dilue le concept même de «morphème» d'une catégorie, et diversifie les significations grammaticales.

Leur inventaire augmente considérablement par la valence de ces unités (antéposées au *supin*) d'apparaître en présence de prépositions et d'adverbes, de même que dans d'autres contextes (où nous mettons en question leur qualité de prépositions): *de la, pe la, de după, până la, înaintea de*, etc. De tels groupements ne peuvent appartenir qu'à la catégorie des prépositions composées et locutions prépositionnelles. (Donner à ces groupes devant le *supin* une autre interprétation (?) que celle de prépositions composées (locutions prépositionnelles) signifierait la négation d'une identité évidente – à comparer roum. *Vine de la cules cartofi* (fr. *il vient **de la** cueillette de pommes de terre, il a fini **de** cueillir les pommes de terre) avec roum. *Vine de la cursuri* (fr. ?Il vient **des** cours).

Or, une préposition composée (comme celles dont nous avons discuté ici⁴⁸), conformément aux définitions courantes, ne peut avoir d'autre structure que celle de «préposition + préposition».

Par conséquent, les unités données (*de, la, în...*) sont des prépositions.

Précisons encore que:

(a) Les morphèmes, quelque large que soit le concept d'allomorphe, ne connaissent pas de constructions composées ou locutionnelles.

(b) Dans un groupement du type *de la*, par exemple, (devant le *supin*), l'unité *la* ne peut pas être à la fois segment de flexion, inclus dans la structure d'une forme verbale, ici le *supin*, et segment extérieur à celle-ci (comme préposition)⁴⁹.

2.2. Par la présence obligatoire de la préposition⁵⁰ devant le *supin*, nous pourrions faire consacrer l'idée que, en fait, le contenu grammatical (= morphologique⁵¹) du *supin*, différent de celui du participe homonyme, se justifie par les prépositions respectives, comme leur conséquence⁵². En réalité, la situation est

⁴⁷ En tant que variante concrète de réalisation au niveau de l'expression.

⁴⁸ Ce qu'on appelle prépositions (composées) d'accusatif ont ici, naturellement, un régime casuel suspendu (bloqué, annulé) à cause de la forme verbale qui ne connaît pas la catégorie du cas.

⁴⁹ Étant donné que le niveau de réalisation est le même – intrapositionnel. (Dans ce cas, la situation de *să* dans les propositions conjonctives (roum. *Dorește să avanseze* (fr. ?Il désire **qu'**il avance) semble tout à fait différente : morphème (= flectif) du roum. *conjunctiv* (fr. subjonctif) au niveau intrapositionnel et conjonction au niveau interpositionnel.).

⁵⁰ Il n'existe pas de *supin* sans préposition, comme forme verbale.

⁵¹ Le "contenu" donné dans la définition du *supin*, différent du contenu syntaxique, résultat de la catégorisation relationnelle dans un type de syntagme.

⁵² Autrement dit, dans son contenu grammatical, ce "participe" devient "*supin*" quand (et parce que) il est accompagné d'une préposition.

tout à fait différente. La preuve indéniable, quoique incorrecte⁵³, est fournie par la substantivation (transformation nominale) des deux catégories homonymes (le participe et le supin), réalisée par conversion marquée (= par un article).

Les sens morphologiques des nominaux obtenus se distinguent de la même façon et dans la même mesure que les unités d'origine (le participe et le *supin*). D'ailleurs ces sens-là sont perpétués dans leur hypostase nominale – à comparer roum. *Invinsul*⁵⁴ *de astăzi* (fr. *Le vaincu d'aujourd'hui*) (participe nominalisé) avec roum. *învinsul*⁵⁵ *adversarilor* (fr. *vaincre ses adversaires/la victoire sur ses adversaires*) (*supin* nominalisé⁵⁶ en roumain).

Or, comme nominal, «le *supin*» n'a plus dans sa «structure» une préposition⁵⁷, étant réduit phonétiquement à la deuxième séquence, la «pleine», de sa structure d'origine. Cela veut dire qu'il a un contenu grammatical intrinsèque, rien qu'à lui, et non pas obtenu d'un participe grâce à une préposition.

Nous prouvons ainsi encore une fois que le *supin* est une forme verbale en tant que telle, que la préposition n'entre pas dans sa structure comme (potentiel) élément de flexion (affixe proclitique), comme elle n'appartient pas non plus à la structure d'un substantif. Le *supin* n'est donc qu'un homonyme du participe.

2.2.1. Du fait que la préposition n'est pas un affixe antéposé, le *supin* est une forme synthétique, non pas analytique. Ainsi, malgré l'identité formelle du *supin* (sans préposition, bien sûr) et du «participe» verbal invariable de la structure de certaines formes verbales analytiques (passé composé, futur antérieur, etc.), celui-là n'a qu'*a priori* le statut morphologique de celui-ci, qui n'est pas un mode (non personnel) proprement dit, le membre d'une catégorie, mais une sous-unité, pareille à un thème verbal, dépourvue d'autonomie grammaticale et de sens morphologique propre.

En conclusion, le *supin* est dans une relation de double homonymie, autant par rapport au participe variable – *unité* (= le «mode» participe), sous sa forme de masculin singulier⁵⁸, que par rapport au participe invariable – *sous-unité*⁵⁹ (de la structure de certains modes et temps composés).

2.3. Après ce tour d'horizon des prépositions accompagnant le *supin*, il convient d'étudier le cas de *de*, la préposition «en chef» par sa fréquence, son degré

⁵³ En tant que conséquence.

⁵⁴ *Celui qui a été/est vaincu.*

⁵⁵ *L'action/Le nom de l'action de vaincre.*

⁵⁶ Voir, pour le spécificité des deux catégories de nom (sur le plan sémantique et sur celui de la flexion), Pană Dindelegan (1994), p. 31-32.

⁵⁷ En termes de nécessité. Sans doute le nom issu d'un *supin* peut-il avoir une préposition, comme tout nom, accidentellement la même que le *supin*, mais sa présence ici est imposée pour des raisons syntagmatiques – à comparer roum. *S-a lăsat de bârfit pe unii și pe alții* (fr. *Il a renoncé à médire/se moquer d'uns ou d'autres*) avec roum. *S-a lăsat de bârfitul unora și al altora* (fr. **Il a renoncé à la moquerie/aux médisances d'uns ou d'autres*).

⁵⁸ Homonymie prolongée aussi à son hypostase nominale.

⁵⁹ Comme sous-unité, le problème de la nominalisation ne se pose pas.

d'abstraction et sa cohésion avec le *supin*. Qui plus est, il y a une possible discrimination quant au statut morphologique entre *de* et les autres prépositions du *supin*, *de* étant considérée comme une préposition-morphème ou morphème proprement dit du *supin* en roumain⁶⁰.

Dans une telle hypothèse, «appliquée» déjà sur certains fragments, nous aurions comme structure morphématique deux types de *supin*: l'un ayant l'affixe proclitique *de* (= forme analytique), l'autre - prépositionnel (= forme synthétique), avec les autres prépositions.

Ici il faudrait ajouter ceci:

2.3.1. La différence de degré d'abstraction (+grammaticalisation) entre de «préposition» et le (prétendu) «morphème» du *supin* est difficile à vérifier. En ce qui concerne la «fréquence» beaucoup plus grande de *de* par rapport à d'autres prépositions du *supin* n'est pas une condition pour qu'une préposition devienne morphème.

2.3.2. Le degré de cohésion de *de* et du *supin* n'est pas essentiellement différent de celui d'une préposition quelconque par rapport au terme régi. Qui plus est, comme chez la plupart des prépositions, cette cohésion apparaît sous deux hypostases importantes:

(1) *De* appartient au régime prépositionnel du terme régissant⁶¹ et donc «la cohésion» est vers la gauche, non vers la droite: roum. *a se plictisi de citit* (fr. *s'ennuyer de lire*), roum. *a se sătura de...* (fr. *en avoir assez de...*), roum. *a se apuca de ...*⁶² (fr. *se mettre à*) (que nous notons *de1*).

(2) *De* qui n'est pas imposé par le régissant (= ne tient pas à son régime): roum. *a terminat de mânecat* (fr. *il a fini de manger*), roum. *a isprăvit de adunat fânul* (fr. *il a fini de ramasser le foin*), roum. *a gătat/a mântuit de tăiat lemnele* (pop.) (fr. *il a fini de fendre le bois*), roum. *e usor de zis, mai greu e de făcut* (fr. *c'est facile à dire, mais difficile à faire*), roum. *rămâne de văzut* (fr. *il reste à voir, on verra bien si*), roum. *e imposibil de realizat* (fr. *c'est impossible à réaliser...*), etc. (Nous le notons *de2*).

Toujours un *de* du *supin* qui n'est pas imposé par le terme régissant apparaît sur la position d'un complément du nom (terme régissant = un nom(inal)): roum. *mașină de tocat carne* (fr. *machine à hacher la viande*), roum. *temă de făcut acasă* (fr. *devoir à faire à la maison*), roum. *bani de încasat* (fr. *argent à encaisser*), roum. *loc de dat cu capul* (fr. *endroit pour se cogner la tête*), etc. (Nous le notons *de3*).

⁶⁰ Voir, par exemple, Constantinescu-Dobridor (1974), p. 207; Toșa (1983), p. 216.

⁶¹ Pareillement à d'autres prépositions du *supin* : roum. *s-a oprit din mers* (fr. *il s'est arrêté de marcher*), roum. *se pricepe la tras șforile* (fr. *il s'y connaît à comploter, tenir les ficelles*), roum. *merge la cules cartofi* (fr. ** il va à la cueillette des pommes de terre, il va cueillir des pommes de terre*), roum. *aduce mașina de la reparat* (fr. *il ramène la voiture de l'atelier des réparations*).

⁶² Cette cohésion à gauche n'a rien à faire avec l'adhérence du connecteur de subordination au terme subordonné situé à droite (après le connecteur). Voir, pour l'opposition *adhérent/non adhérent* en rapport avec l'opposition *subordination/coordination*, Drașoveanu (1997), p. 46-47.

(3) Des problèmes un peu différents soulèvent *de2* (roum. *a terminat de citit cartea* (fr. *il a fini de lire le livre*), roum. *e greu de făcut* (fr. *c'est difficile à faire*), etc.).

(a) Par le nominalisation du *supin*, *de2* disparaît: roum. *am terminat de cules strugurii ? am terminat culesul strugurilor* (fr. *j'ai fini de cueillir les raisins ? j'ai fini la récolte des raisins*), roum. *e greu de făcut ? e greu făcutul* (fr. *c'est difficile à faire ? faire ça est difficile* – en français, la nominalisation dans ce cas est impossible).

Cela s'explique par la position syntaxique du *supin* employé comme nom, respectivement celle de complément d'objet direct et de sujet, positions incompatibles avec la réalisation nominale prépositionnelle (accusatif 3).

(b) Le *supin* en *de2* occupe une position syntaxique non prépositionnelle – complément d'objet direct, sujet, propres à un cas non prépositionnel (accusatif 1, nominatif 1). Nous nous retrouvons ainsi dans une situation insolite, même aberrante par rapport au système: complément d'objet direct ou sujet⁶³ à préposition.

(Toute préposition véritable, indépendamment au régime casuel, reste pourtant un élément dans une construction prépositionnelle, servant à la réalisation d'un cas prépositionnel (ici, accusatif 3).)

De ce point de vue, assumant le risque de l'affirmation d'une hétérogénéité morphologique du *de* devant le *supin*, il nous semble préférable d'interpréter le *de2* comme «morphème du *supin*»⁶⁴. Mais *théoriquement* parlant, nous pouvons retrouver même dans ce cas une solution qui sauve le statut de préposition de *de2*, une solution syntaxique: le *supin* en *de2*, n'est pas une «partie du discours» au sens usuel du terme (= complément d'objet direct, sujet). Ce n'est pas un segment intrapositionnel, mais une *réduction*⁶⁵ par le *supin* d'une subordonnée (complétive d'objet direct, subordonnée sujet). Ainsi le *supin* devient l'occupant de la position de *proprédictat*⁶⁶ dans la subordonnée réduite, ce qui tient à la syntaxe de la phrase, tout comme l'infinitif et le gérondif. Malgré toutes les caractéristiques atypiques de cette réduction, une telle hypothèse n'est pas *a priori* à rejeter.

⁶³ Un autre que *pe*, qui, d'ailleurs, n'est pas une préposition proprement dite, mais un morphème d'accusatif – du complément direct (Acc.1), segment intraaccusatif à valeur flexionnelle). Voir, pour l'opposition *pe* «préposition» / *pe* «morphème», Drașoveanu (1997), p. 107-113. *Pe* «morphème» n'a pas de correspondant en français, on ne le traduit pas.

⁶⁴ Tout comme le *a* de l'infinitif (= morphème d'infinitif), mais ce dernier est toujours morphème devant l'infinitif. A consulter, pour la qualité d'«affixe mobile» appartenant à la structure «morphématique» de l'infinitif, LRC (1985), p. 172.

⁶⁵ Voir, pour les *réductions*, Drașoveanu (1997), p. 248.

⁶⁶ Voir, pour le concept de *proprédictat*, Drașoveanu (1997), p. 248. Les difficultés apparaissent à la réduction de la complétive d'objet direct (par le *supin*), qui ne connaît pas une transformation explicite inverse (de la réduction vers la subordonnée). Ce n'est pas de même pour la subordonnée sujet (roum. *e ușor să zici - e ușor de zis* (fr. *c'est facile à dire*)), mais les symétries parfaites par opposition nominatif/accusatif, sujet/complément d'objet direct et subordonnée sujet/complétive d'objet direct réclamerait aussi la dernière (réduction par le *supin* de la subordonnée sujet/réduction par le *supin* de la complétive d'objet direct).

Pour conclure, quelle que soit sa situation, (1), (2) ou (3), *de* reste toujours une préposition.

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HOW ARE METAPHORS BUILT?

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ABSTRACT. Within different theories, clear categorical distinctions can often be made, but quite often graded judgments seem to be the rule. That is why metaphor appreciation and metaphor understanding may be independent of one another. Language theory has formulated definitions of figurative language in terms of a binary opposition, i.e. figurative language emerges in contrast to what it is not; however, more and more linguists agree that the distinction between the two notions, and the way they are defined, needs to be reconsidered. In what follows we try to identify the current trend in interpreting the metaphor.

1. A commonly held view is that literal language is real, true, unambiguous, and relatively context independent¹. Non-literal, in contrast, is felt to be open to alternative interpretations. Perhaps the most useful position is that the concept of **literal** cannot be explicitly defined except in formal linguistic-theory terms. However, when we make judgments about specific examples, the distinctions become graded, rather than discrete. People can make reliable judgments about degrees of metaphoricity, for example, suggesting that there is a continuum from the literal to the non-literal (Ortony, 1979).

In this respect, the concept of literal behaves as do other natural-kind concepts.² Therefore, our best definition of the concept of literal meaning is analogous to our best definitions of natural-kind concepts. Within different theories, clear categorical distinctions can often be made, but quite often graded judgments seem to be the rule. That is why metaphor appreciation and metaphor understanding may be independent of one another (Gerrig and Healy, 1983: 668). Language theory has formulated definitions of figurative language in terms of a binary opposition, i.e. figurative language emerges in contrast to what it is not; however, more and more linguists agree that the distinction between the two notions, and the way they are defined, needs to be reconsidered.

I.I. Literal meaning is assumed to be invariant in all contexts, restricted to what Lyons (1977:271) refers to as maximally decontextualized system-sentences. Thus, linguistic meaning is generated by linguistic knowledge of lexical items, combined

¹ In the sense that the meaning remains the same irrespective of the context of utterance, which is highly debatable, because there are so many words whose meanings cannot be identified or specified without considering the context of use, such as the logical connectives or classes of words whose meanings are explicitly context-dependent: **quantifiers** (like *some, a few, many*), **deictics** (*here, there, in this place*), **adjectives** (*good, tall, expensive*), and **pronouns** (*he, she, them*).

² For natural-kind concepts, such as *fruits*, there are clear, prototypical examples, such as *apples, pears* and *bananas*. There are also not so clear, non-prototypical examples, such as *pumpkin, tomato* and *olive* (McCloskey & Glucksberg, 1978). People are unanimous when asked if an *apple* is a fruit, but disagree about *tomatoes*, even though both apples and tomatoes are technically fruits: they are the fruiting bodies of their plants and have seeds

with linguistic rules (Katz, 1977; Searle, 1978). It is determinate, explicit, and fully compositional, capable of determining the truth conditions of the proposition expressed. Or, as Stern (2000:116) says: “the literal meaning of a simple expression is whatever our best linguistic theory tells us is its semantic interpretation... The literal meaning of a sentence is the rule-by-rule composition of the literal meanings of its constituents”.

On the other hand, non-literal meaning is considered to be the sharply distinguished complement of literal meaning. It is pragmatic, that is, extra-linguistic, it is associated with the utterance and the speaker (rather than the sentence), and it is non-conventional, non-compositional and indirect. Furthermore, it is delivered by combining literal meaning and general cognitive inferential processes (e.g. the Gricean maxims, Optimal relevance), and applying these to assumptions made available in the specific context. Hence, non-literal meaning is dependent on literal meaning. Consequently, literal meaning is automatic and obligatory, whereas non-literal meaning is non-automatic and optional (Grice, 1975). Being generated only when the default literal meaning is implausible, non-literal meaning is marked and relatively rare.³

For Sperber and Wilson (1986) the key to the interpretation of figurative utterances lies in the notion of representation by resemblance, or, *interpretive resemblance*. It is argued that an utterance can be used to represent any representation which it resembles whether public (another utterance) or private (a thought).⁴ Although some linguists are in agreement that some pragmatic interpretations should form part of what is said, they reach opposite conclusions about the status of the chronological ordering interpretation in certain sentences. G. Lakoff (1986) notes that the concept “literal” has several and contradictory meanings in the literature and he argues that the assumption that all “literal” features converge into one concept relies on an oversimplified theory of language.⁵ Cognitive linguists (Lakoff and Johnson, 1980; Johnson, 1987; Lakoff, 1987; Lakoff and Turner, 1989; Sweetser, 1990) have demonstrated that different figurative schemes of thought, most notably metaphor and metonymy, underlie systematic patterns of conventional linguistic expressions, historical development of word and phrase meanings.

³ The psychological implications of these differences are that literal meaning is accessed fast and first, while non-literal meaning takes longer to access, so they result from different processing procedures. Searle (1979), for example, believes that illocutionary force does not form part of literal meaning, because it can diverge from it, as for example, in indirect requests.

⁴ An utterance interpretively resembles another representation to the extent that it shares logical and contextual implications with it. In some cases the optimally relevant utterance may be one which very closely resembles the speaker’s thought. In other cases, for example, metaphors, the optimally relevant utterance may be one which involves a looser resemblance, and the hearer’s task is to identify the degree of faithfulness attempted (Blakemore, 1992).

⁵ What is less known is that literal meaning has been defined in terms of an idealized and oversimplified model of language and thought, one that is defined by a cluster of convergent conditions. When one speaks of literal language, it is normally assumed that we mean all of the following four senses of the word *literal*: (1) conventional literality – ordinary conventional language, contrasting with poetic language, exaggeration, approximation, embellishment, excessive politeness, indirectness, and so; (2) subject matter literality – language ordinarily used to talk about some domain of subject matter; (3) non metaphorical literality – directly meaningful language, and (4) truth-conditional literality – language capable of “fitting the world”, i.e. of referring to objectively existing objects (G. Lakoff, 1986: 293)

2. The central proposition of the contemporary trend is that rhetorical forms are deeply and unavoidably involved in the shaping of realities. Language is not a neutral medium. Rhetoric is not stylistic ornamentation, but persuasive discourse. All discourse is unavoidable rhetorical. Figurative language is language which does not mean ‘what it says’ – in contrast to literal language which is taken as purely denotative. This distinction, which goes back to classical times, has been analyzed by poststructuralist theorists. They arrived at the conclusion that tropes, especially metaphor, may be essential to understanding if we interpret it as a process of rendering the unfamiliar more familiar. No matter how they are defined, the conventions of figurative language constitute a rhetorical code, and understanding this code is part of what it means to be a member of the culture in which it is employed. Like other codes, figurative language is part of the reality maintenance system of a culture or subculture, it is a code which relates to how things are represented rather than to what is represented.⁶ Tropes generate imagery with connotations over and above any literal meaning. Once we employ a metaphor, our utterance becomes part of a much larger system of associations. A trope, such as metaphor, can be regarded, from a semiotic perspective, as a new sign formed from the signifier of one sign and the signified of another. The signifier thus stands for a different signified; the new signified replaces the usual one.⁷

2.1. Two schools of thought were concerned with the study of metaphor: cognitive and philosophical. The cognitive framework has focused on what metaphor is, as well as on its cognitive value in the process of creating new knowledge (Miller, 1995), whereas the philosophical framework was interested especially in how metaphors work and in their epistemological value (Black, 1962; Hesse, 1966). The two traditions overlap; cognitive and linguistic studies highlight definitions of metaphor, but they also discuss its functions at the personal level; the philosophical tradition focuses on the role and function of metaphor at the interpersonal (social) level.

Ortony (1979) tries to explain why metaphors emphasize some properties while de-emphasizing others, and why most good metaphors are not easily reversible. From his ‘salience imbalance’ perspective interesting metaphors are seen to arise due to a desire, on the part of the speaker, to highlight less salient properties of the tenor,⁸ by forcing a comparison with a vehicle concept in which those very properties

⁶ Occasionally, in everyday life, our attention is drawn to an unusual metaphor. However, most of the time, we use or encounter many figures of speech without really noticing them – they retreat to ‘transparency’. Such transparency tends to anaesthetize us to the way in which the culturally available stock of tropes acts as an anchor linking us to the dominant ways of thinking within our society. Our repeated exposure to, and use of, such figures of speech subtly sustains our tacit agreement with the shared assumptions of our society.

⁷ But the same trope can be regarded from so many other perspectives, e.g. semantic, pragmatic, psychological, cognitive, every time allowing connections between domains of knowledge that at first sight seemed impossible to connect.

⁸ A metaphor consists of two parts: the tenor which is the subject to which attributes are ascribed, and the vehicle, which is the subject from which the attributes are derived (Ortony, 1993: 62). For example, the metaphor *Highways are like snakes* emphasizes the relatively un-salient properties of

are considered highly salient. Thus, good metaphors exhibit a salience imbalance between the properties of the tenor and vehicle.⁹ Ortony's theory is thus an extension of the basic comparison view, in which relative salience measures are used to indicate which attributes are to be thrown into sharp focus, and which are to be peripheralized.

The 'interaction view' of metaphor (advocated by I.A. Richards, and subsequently developed by Max Black, 1962) offers an alternative to the comparison theory. It has two central claims: (a) that metaphors have an irreducible 'cognitive content', and (b) that this cognitive content (or 'meaning') is produced by the 'interaction' of different cognitive systems. The general claim is that the 'cognitive contents' of metaphors can be true, even though they are not amenable to literal expression. The Interaction Theory's central motivation is to account for the fact that metaphors function as powerful cognitive tools, that is devices that enable us to better understand the world in which we live. Davidson (1978) claims that there is no clear theoretical value to positing special metaphorical meanings or cognitive contents.¹⁰

Grice's theory (1975) of metaphor is in the first instance a theory of metaphorical interpretation. Its central claim is that to understand a metaphor is to understand what a speaker intends to communicate by means of it. Successful communication consists in the hearer's recognizing the speaker's intention to get the hearer to recognize what she is trying to communicate to him. Insofar as a metaphor can be said to have a meaning, this is identified with what the speaker intends to communicate; the sentence uttered has only its literal meaning. The problem of explaining how metaphors work, according to Searle (1979), who developed Grice's theory, is a special case of the general problem of explaining how speaker meaning and sentence or word-meaning come apart. Our task in constructing a theory of metaphor is to try to state the principles which relate literal sentence meaning to metaphorical (speaker's) utterance meaning.

Harnad (1982) offers an intriguing perspective on metaphor, in which a duality of representations in the mind is exploited. It dichotomizes mental representation into the discrete and the continuous, i.e. the semantic and the analogical. Mental representation can take the form of either sensorially-grounded continuous impressions, or logically founded conceptual abstractions which are formed by induction from these sensorial bases. By their very nature, these abstractions discretize their underlying continuous, fuzzy sources, leading to the creation of symbols and symbolic structures, which capture some useful generalities and thereby form a discriminatory basis for the

roads – that they are often curvy and treacherous – by comparing roads to a known object in which those properties are highly salient – snakes.

⁹ Literal comparison statements, in contrast, are those that relate concepts of the same salience distribution, i.e., a comparison is literal rather than figurative if the highly salient properties of the vehicle also possess high salience relative to the tenor.

¹⁰ In his view, to say that metaphorical meaning explains how metaphors work is "like explaining why a pill puts you to sleep by saying it has a dormative power" (Davidson, 1978:31)

categorization of future stimuli.¹¹ Sensory experiences are recorded as mental impressions which constitute continuous or unbounded engrams, mental traces which arise from sensory experience and which form the ultimate psychological basis of memory. Starting from this, Harnad (1982) reaffirms the cognitive irreducibility of metaphor and reformulates in specific psychological terms the interaction theory of Black (1962).

Employing a system of fuzzy semantic markers, MacCormac (1985) defines the fuzzy membership of one category in another as a real member ranging from zero (absolute falsehood) to one (undeniable truth). Novel metaphors begin life as diaphors¹² and migrate along this fuzzy scale into epiphors as they lose their emotive tension through commonplace use, to eventually find rest as ‘dead metaphors’ in the literal truth interval.

2.2. Lakoff’s (1988) central thesis is that metaphors facilitate thought by providing an experiential framework in which newly acquired, abstract concepts may be accommodated. The network of metaphors that underlie thought in this way form a cognitive map, a web of concepts organized in terms which serves to ground abstract concepts in the cognitive agent’s physical experiences, and in the agent’s relation to the external world.¹³ A metaphor is a schema in the original Kantian sense, that is, a unifying framework that links a conceptual representation to its sensory and experiential ground. Lakoff conjectures that metaphors project the cognitive map of a source domain (i.e., the vehicle) onto a target domain (the tenor), thereby causing the target to become grounded in spatial-physical experience via the source. The result is that the schemas which mediate between conceptual and sensory levels in the source become active also in the target. In this view, a metaphoric schema is a mental representation that grounds the conceptual (intellectual) structure of an abstract domain in the sensory basis of another (more physical) domain.

I believe this approach can no longer seem shocking to anyone since, as Mark Turner (1996) observed, we live in a cognitive age. The cognitive perspective may seem unusual since our minds are still trapped in the epoch of closure that Derrida (1976) talked about and cannot let go of the self explanatory comfortable ontoteologo-

¹¹ In abstracting to a discretized representation that permits distal access and high-level conceptual combination, fringe elements at the continuous level that are deemed inductively irrelevant will necessarily be lost to the higher level of representation (inasmuch as abstraction necessarily entails reduction). The kernel of Harnad’s argument (1982) is that conceptual combinations which do not apparently yield sensible interpretation at the discrete or bounded symbolic level may nevertheless bear fruitful results if performed at the continuous level of processing.

¹² Such a fuzzy-logical approach has been formalized in a four-valued logic which not only accommodates truth and falsity, but also embraces metaphor in two forms: *epiphor* and *diaphor*. A diaphor is a novel metaphor which strikes a discordant note, evoking emotive tension in the listener; diaphors initially suggest more dissimilarities than commonalities between the tenor and the vehicle, which may have to be reconciled by a change of representation. Epiphors are conventionalized or comparison-centered metaphors which have lost their emotive force and which no longer challenge existing conceptual representations.

¹³ A major component of the human cognitive map is what Lakoff terms a cognitive topology, essentially “a mechanism by which we impose structure on space, in a way to give rise to spatial inferences”. The cognitive agent is itself an essential player in this organization – abstract thoughts are not structured in terms of objective spatial-physical properties of the world, but subjective, egocentric properties that the agent projects onto the world via his cognitive map.

phonocentrist theories. The cognitive view does in a way what Derrida suggested, namely, rethink the most rooted presumptions of human sciences, maybe not reverse but certainly reconsider the reassuring hierarchies that held some concepts as the privileged terms that got all the credit and argumentative energy such as mind over body, objective vs. subjective, culture over biology, philosophy over literature, history over fiction, etc.

3. The Socratic dialectics and the Aristotelian syllogistic thought are the bases for the formulation of the Western traditional account for objective vs. subjective meaning, for the status of philosophy as serious, objective discourse about truth, and the banishment of fiction and metaphor as deviant from literal language or as artificial ruse that is a matter of language rather than thought. The privileged Western metaphysics was a conception that stayed with us until recently enforced by the most brilliant philosophic minds such as Cicero, Kant, Descartes, Hegel, or Husserl and by some major contemporary linguistic schools like Formalism, New Criticism, or Structuralism. Upon this tradition the majority of the 20th century theories of metaphor were built: the semantic referentialist and descriptivist views, the pragmatic approaches to metaphor as conversational implicature (Grice, Sperber and Wilson), some radical theories (Davidson), or some both semantic and pragmatic theories (Searle).

3.1. The first modern philosopher to acknowledge that all language, including that of philosophy, is radically metaphoric is Nietzsche. In his eloquently formulated genealogy of western morality and thought he reveals this tradition to have been established by the style of dialectical argument invented by Socrates and disseminated through Plato's writings. The Greek foundation of reason at the outset of any philosophic discourse is debunked by the German philosopher and revealed as no more than a rhetorical play drawing its pervasiveness from a fundamental will to persuade that managed to monopolize for itself all claims for reason and truth.¹⁴

Nietzsche, displaying an undeniably profound understanding of Greek philosophy, argues that the Sophists are those who are the wiser by clearly acknowledging what Socrates denied, that thinking is always inseparably bound with the rhetorical devices it employs to demonstrate its point. Nietzsche sees metaphor as "the original process of what the intellect presents as truth". He argues "What, therefore, is truth? A mobile army of metaphors, metonymies, anthropomorphisms; ... truths are illusions of which one has forgotten that they are illusions, ... coins which have their obverse effaced and now are no longer of account as coins but merely as metal" (Nietzsche, 1976: 13)

What the cognitive approach does is to shed light on the metaphors that helped shape the Western thought as denounced by Nietzsche, Derrida or Foucault, to name a

¹⁴ This argument was strategically (rhetorically) employed in order to hold the Sophists' beliefs to philosophic ridicule. Socrates declared his disdain for the Sophists' school of rhetoricians accusing their verbal ingenuity to be mixed with a persuasive guile. The demonstration of the Sophist philosopher Gorgias, that the rhetorical powers of persuasion are ethically indifferent and apt to be employed to support any case, was denounced as being inimical to truth and reason.

few. Mark Turner (1994) explains the metaphoric basis of the age-old distinction between objective and subjective in terms of the conceptual metaphor *mind is a container*.¹⁵ What the cognitive approach also does is to ascribe metaphor and metonymy (G. Lakoff, Johnson, Turner) and literature, story, parable, and proverb (Turner) a deeply explanatory power in our culture as well as the very status of organizing principle for the creation of meaning and knowledge. A cognitive theory of rhetoric is also valuable for pedagogy as it would “rejoin the study of language with the study of literature, in concert with the study of the mind and the brain”¹⁶ and would be more relevant as it analyzes literature for the benefit of students and public by contrast with many contemporary critics and scholars who are only writing theories for each other.

3.2. To distinguish the cognitive view from the other mainstream approaches, Turner (1994) described the general strategy of reference theories of meaning in these terms: “a semantic express train shoots straight from the linguistic symbols to an objective reality without passing through the human brain”¹⁷, while formalist theories are likened to artificial intelligence theories that treat human mind as a formal engine that “performs formal computation over meaningless symbols that remain meaningless as they undergo manipulation but that receive a separate interpretation from some register of fixed interpretations”¹⁸.

One of the major ideas put forward is that according to recent neurobiological research the brain carries in its structure and its mode of operation the nature of the body in which it is located and which it serves in order to survive. In its turn, the body functions inside an environment, which the human mind has to understand in order to survive. The organization of the nervous structures revealed to contain structures that function according to a principle of topographic mapping, i.e., “the sensory sheets of the central nervous system do not stop at the surface periphery of the brain but they are projected deep into the brain”¹⁹. This means that everything that the body perceives through sensory experience is translated, encoded and projected deep into the brain so that the brain becomes disposed to attribute meaning according to its

¹⁵ Within it we see meaning in terms of an object while objective meaning is metaphorically located outside the mind-container; we can have inside the mind-container a copy of this external objective meaning and we have objective meaning if the copy is good (Turner, 1994: 98).

¹⁶ Mark Turner, 1994:98

¹⁷ *ibid.*, 99

¹⁸ *ibid.*, 102

¹⁹ Babuts, 1992: 51; Babuts views his model of memory as fundamental mechanism for creating meaning in terms of this specific conceptual metaphor. In it cell function implies specialization (each cell reports on specific features: contours, lines, orientation) whereas the process of integration is a necessary correlate of the specialization of cells arranged spatially the way the orchestra forces are arranged on the stage. The contribution of a small group of specialized neurons corresponds to the overall meaning creating effect of the ensemble just as in an orchestra different sets of instruments come together without losing the specificity of their contribution. In this model the notes are the impulses or the bursts of pulses that carry meaning through their structural position in a sequence, the spatial arrangement of various neuron groups firing at different rates are equivalent to the arrangement of the orchestra on the stage, a neuron is a player with instrument and the stimulus is the score; the patterns of neuronal firings are the musical structures.

bodily understanding of the environment. To a further level, this understanding is then projected metaphorically in order to give structure and meaning to abstract concepts that cannot otherwise be understood. Consequently, the environment and the body do structure the brain guiding its mental operations, and furthermore, the more refined conceptual apparatus for attributing meaning turns out to be ‘ineradicably embodied’.²⁰

3.3. Another coherent demonstration of the fact that meaning is not disembodied, the way Plato or Descartes saw it, is Lakoff and Johnson’s concept of experiential grounding of our conceptual system that confers it coherence and reliability (1980: 172). They start with the orientational metaphors that prove the fact that we conceptualize the world according to the way our bodies function in our physical environment: how we perceive verticality (up-down), the fact that our bodies have boundaries and are limited by the boundary of the skin (inside-outside) or other dimensions perceived through the interaction of our bodies with the environment: front-back, on-off, deep-shallow, central-peripheral. They all have basis in our physical experience so we use them in order to make abstract concepts understandable. The spatialization metaphors have systematicity and coherence because they have an experiential grounding in the way we move in the world.²¹

Ontological metaphors are other examples of concepts that have experiential bases as they emerge from our necessity to project certain boundaries upon physical phenomena in order to conceptualize it, and we can only do this in terms of our experience with our bodies and with other physical objects, that is, to see events, activities, emotions or ideas in terms of entities or substances. This strategy permits us a whole range of practical purposes in our attempt to deal rationally with experience.²² Ontological metaphors can be further elaborated to allow us to focus on different more specific aspects of the target concept in a way that is very natural and persuasive. The mind is an entity metaphor can be elaborated into more explicit

²⁰ Turner, 1994: 98; Turner builds his demonstration on the cognitive scientific work of Patricia Churchland (1986) and Gerald Edelman (1987, 1989).

²¹ Lakoff and Johnson (1980) remind us that such orientational metaphors that organize our system of concepts are felt as natural and we use them constantly without recognizing them as metaphors: (1) **Happy is up, Sad is down**: *Your news boosted my spirits; You are in high spirits; She fell into a depression; My spirits sank.* (2) **Conscious is up, Unconscious is down**: *Wake up; I rise early in the morning; He fell asleep; He sank into a coma.* (3) **Health and life are up, sickness and death are down**: *Lazarus rose from the dead; I’m in top shape; He came down with the flu; He dropped dead.* (4) **Having control or force is up, being subject to control or force is down**: *I have control over them; His power rose; He’s under my control; His power is on the decline.* (5) **More is up, less is down**: *The number of houses in the area is going up; My income rose significantly last year; His income fell. Turn the heat down if you’re too hot.*

²² Some of them are: (1) **To refer to it**: *We are working towards peace; The middle class is a powerful force in American politics.* (2) **To quantify it**: *It will take a lot of patience; There is much hatred in the world.* (3) **To identify aspects of it**: *The ugly side of his personality comes out under pressure; The brutality of war dehumanizes us.* (4) **To identify causes**: *He did it out of anger; Internal dissent cost our company.*

ones.²³ Such metaphors are perfectly natural to us as they are integral part of a necessary model of the mind subscribing them, called **the container metaphor**.²⁴

In the same way, events and actions are conceptualized metaphorically as objects, activities and substances, therefore as container objects (*Are you **in** the race on Sunday? There was a lot of good running **in** the race*) and container substances (*How did he get **out** of washing dishes? I put a lot of energy **into** washing the windows*), as well as states as containers (*He's **in** love, We're **out** of trouble now*). Lakoff and Johnson (1980: 87) regard personification as an obvious ontological metaphor in which a physical object/experience (non-human entity) is conceptualized as a person allowing us to understand it in terms of motivations, characteristics, etc.: ***Inflation is eating up our profits. Life has cheated me. His religion tells him that he cannot drink.*** These are all cases of personification which can also be further specified and elaborated as each personification differs in terms of the aspects of the people that are chosen: ***Our biggest enemy now is inflation. Inflation has robbed me or my savings. Inflation has outwitted the greatest minds in economics.***

Furthermore, seeing a non-human entity as a certain type of person provides us also with a way of reacting towards it. Within the *Inflation is an adversary* metaphor we understand it as something which can attack us, destroy us therefore it justifies political and economic actions on the part of the government such as *declare war on it, set targets, call for sacrifices*, etc. Mark Turner's example (1991: 117) of the above-mentioned experiential-based strategy is the process by which we project metaphorically balance and equilibrium (the way our body experiences and understands these relations between physical forces) onto domains such as poetry or visual arts. Turner (1991) formulates this cognitive strategy eloquently and insists upon its consistency with Protagoras' premise. He states that some patterns in our brains are inherently meaningful to us as they correspond to our bodies' experiences and that our brains also have patterns that are not inherently meaningful, but they derive their meaning through links to those inherently meaningful patterns.

4. Protagoras' teachings (after Plato) hold that while it would be misleading to say that some understandings are *truer* than others²⁵, it is clearly more correct to

²³ (1) ***The mind is a machine:** My mind isn't operating today; I'm a little rusty today; Boy, the wheels are turning now!* (2) ***The mind is a brittle object:** He broke under cross-examination; I'm going to pieces; His mind snapped.*

²⁴ Because we ourselves are finite physical bodies bounded from the world by our skin we perceive the world as outside us. We view ourselves as containers with and in-out orientation which we come to impose onto other objects, onto the environment in order to quantify it. We also conceptualize our visual field as a container since it defines that part which we can see. Thus we can say that something is *in* our sight, *within* our field of vision: *I have him **in** sight; The ship is coming **into** view; I cannot see, the tree is **in** the way.*

²⁵ This is so because there is no relation of pure correspondence to an objective reality, only a mediated knowledge and understanding.

claim that some understandings are practically *better* and *fitter* than others.²⁶ According to Protagoras one should not abandon the view that sound concepts are true reflections of objective reality, instead, to have the lucidity to regard this view itself as fit or sound rather than true.

4.1. Identity is not only an intuitively perceived principle but also one that is fundamental to our whole way of dealing with reality (Babuts, 1992: 66). In his model of memory he distinguishes between two strategies of memories that work together under the concept of identity as a strategy invented by the needs of the economy of our brain. One is the voluntary memory which, helped by the intellect can bring together homogeneous elements and retain information and lessons from the past, most evident in learning and evidently enhanced by repetition. The other one is the involuntary memory which emerges as more powerful and working directly through specific synaptic connections, employed as a fundamental way of reaching semantic units (language units) without the need to search.²⁷

Babuts (1992: 68) strengthens the cognitive concept of dynamic patterns for creating meaning by underlining the same inextricable relationship between our means and strategies of creating meaning and their results.²⁸ In Babuts' model the metaphoric field is defined as a mnemonic space newly awakened by the involuntary strategy of memory. In it fragmentary word-bonded dynamic patterns are brought together to help reveal identities and produce new metaphoric sequences. An image has the power to alert the region of the brain (or of the inner world) that contains the mnemonic potentials of a particular metaphoric field in the same way the catalysts (e.g. a dog barking in the winter night, a fly buzzing in the summer sun) of remembrance of the past have the power to break time barriers and to transport the reader into a different memory dominated field that is alive with meaning. The difference is that while entering the past is dominated by personal experience and perception, to enter the metaphoric field of a poem is conditioned by language, tradition. What is essential is that the reader, although within the metaphoric field still has to re-create it. The new field then becomes part of his/her memory since it was created with materials that belong to him/her. This re-creation comes to attune the readers' identities to the metaphoric field and to condition their response to the world.

4.2. Subjectivity is deemed as inappropriate by Turner (1994: 99) as we all share both the anatomical structure and the neurobiological endowment that allow us to create meaning so that this meaning, in this logic, can be neither radically private nor

²⁶ His views with respect to education are that the teacher guides the student not from false concepts to true ones, but from unsound to sound concepts and such sound concepts help to make us more competent.

²⁷ The problem is that it is difficult to account how the two strategies combine in order to create meaning. What is obvious, however, is that the sequences in our minds that are created to describe the world so that we may safely function in it are not physically the same as the material the physical world are made of. That is because identity is a symbolic not a material function (Babuts, 1992: 67)

²⁸ The key concepts in his demonstration are: identity, dynamic patterns, integration, memory, the metaphoric field.

arbitrary.²⁹ Turner (1994: 120) claims that the very nature of literary thinking constitutes the fundamental issues for cognitive science. He shows how in our attempt to make sense of the world we organize our experience, knowledge and thinking as stories. He shows in examples³⁰ how we necessarily and naturally use parable (the projection of one story onto another) as we think, invent, decide, plan, reason, imagine, and persuade.

4.3. On the other hand, Lakoff and Johnson (1980: 79) argue that every experience takes place within a background of cultural assumptions, values and attitudes that are given precedence in that culture and that these values and attitudes are not a conceptual overlay which people may choose to impose or not on their experience. We experience our world in such a way that our culture is already present in the very experience itself. Different cultures have different values and, more importantly, inside our culture there are often conflicts among values, that is among various subcultures or groups that share some important values which come into conflict with those of the mainstream culture. However, while these group values have their internal coherence according to the priority they are given, they are also coherent with the major orientational metaphors of the mainstream culture.

Lakoff and Johnson (1980: 39) state that metonymy is similar to metaphors as a means to structure not just language but our thoughts, attitudes and actions. Just as metaphorical concepts, metonymic concepts are not just a rhetorical device but an integrated part of our everyday way of thinking and acting because they facilitate understanding. They are distinct from metaphorical concepts as they are different types of processes. If with metaphor we see one thing in terms of another, with metonymy we use one entity to refer to (to stand for) another that is related to it. If orientational and ontological metaphors are not very rich, structural metaphors allow a richer source of elaboration and are also grounded in systematic correlations within our experience.³¹

Truth depends upon understanding and is always relative to a conceptual system that is defined in large part by metaphor (Lakoff and Johnson, 1980: 156). We are only able to acquire truths by understanding our world since, otherwise, knowledge would have no practical, necessary relevance. Understanding is created in terms of categories that emerge from our direct experience. When we deal with more

²⁹ In order to attribute meaning, human abilities show regularities because they are developed under early necessary experience which, although belongs to the individual it is also common to all. Our phylogenetical capacity to function safely in the environment is incorporated in our genetic endowment because our biology incorporates the experience of our ancestors by means of mechanisms of selection of some genes and the disappearance of others; however, most of our genetic inheritance is present because “our genetic material embodies the history of the experience of our ancestors” (Turner, 1994: 102)

³⁰ The examples he chooses is one story from *Arabian Nights*, precisely the story that Shahrazad’s father, the vizier, uses in order to caution and persuade his daughter not to attempt to change king Sassanid’s mind as she would be risking her life in doing so.

³¹ For instance, the structural metaphor ‘*argument is war*’ allows us to understand a more abstract concept (i.e. argument) in terms of something we understand more readily, namely, physical conflict. Such metaphors are conventional but our means of creating meaning are extremely imaginative and creative and, at the same time, they permit us a new, useful and truthful understanding of experience.

abstract concepts we have to project such categories upon the aspects of the world for which we have no other means of defining. New metaphors make sense of our experience in the same way as conventional ones do. They work through entailments, which in their turn may include other metaphors with their own entailments and so on.

Lakoff (1988: 71) conjectures that metaphors project the cognitive map of a source domain onto the target domain, thereby causing the target to become grounded in the spatial-physical experience via the source. The result is that the schemas which mediate between conceptual and sensory levels in the source become also active in the target. In this view, a metaphoric schema is a mental representation that grounds the conceptual (intellectual) structure of an abstract domain in the sensory basis of another domain. The cognitive maps that ground metaphors and provide the conceptual substrate for our most abstract thoughts are thus very much influenced by our bodily experiences of the world.³² Lakoff (1987: 82) argues for a subjective psychology that rejects the classic model of categorization (the Fregean model) and proposes instead a non-reductionist model of natural categorization that replaces such staples of objectivism as necessary and sufficient conditions with prototypes, hedges, radial categories and idealized cognitive models (ICMs).

4.4. The basic notion underlying a radial category is that some members of a category will be more representative than others; taken together, the members of a category thus form a radial structure, the most representative, or prototypical members located at the center with not so representative outliers clustered around this hub. Membership of a category is therefore a gradated, rather than absolute black and white notion. Lakoff suggests that radial categories and prototypical effects arise due to a tendency in humans to conceptually categorize the world through partial and idealized cognitive models. Each category is defined relative to such a partial model, which captures the expectations that should hold whenever the category finds valid application. The degree to which the background idealized cognitive model of a category thus fits a real world entity or situation is a measure of the category being representative of this entity/situation. Prototypical category members are therefore those members which make a perfect fit with the background idealized cognitive model, i.e., those members that satisfy all the background assumptions and conventions associated with the category.

This reformulation of categorization, in terms of idealized cognitive models, prototypes and radial categories, yields a much more plastic account of world knowledge, one which is necessary if metaphor is to be viewed not as a deviant phenomenon that violates truth conditions, but as a cognitive device that stretches conventions and establishes new perspectives. Referring back to Searle, the thoroughly troublesome problem of literal meaning is considerably simplified when

³² Lakoff (1987:67) argues for a subjective psychology that rejects the classic model of categorization and proposes instead a non-reductionist model of natural categorization that replaces such staples of objectivism as necessary and sufficient conditions with prototypes, hedges, radial categories and ICMs (idealized cognitive models).

expressed within this new repertoire of cognitive notions. For not only does a psychology of prototypes and idealized cognitive models considerably clarify and resolve the issues fuelling the literal meaning debate, but such a psychology provides a clear cognitive motivation for the existence of metaphor in the first place.

The *raison d'être* of metaphor in such a cognitive setting is thus the expansion of existing categories; metaphor allows us to reorganize our conceptual models by reclassifying concepts under new categories, thereby testing the conventions inherent in an idealized cognitive model and broadening the scope of our existing categories. The tension inherent in a novel metaphor is a result of the initial incongruence of the new categorization, but as the metaphoric reading becomes more representative, possibly through the modification of the associated idealized cognitive models, the metaphor is seen to lose its tension and become more literal (i.e., more prototypical).

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JULIAN BARNES-”SOMETHING TO DECLARE” -THE QUESTION OF AUTHENTICITY-

SANDA BERCE*

Authentic, adj.: genuine; known to be true

Authenticity, n.: has an **evaluative ethic** and may have both a typical and a particular function in the context of **culture** and of **chronologies** embedded in it.

The Oxford Dictionary of English Language

“And **culture** maintained my relationship with France in those years of separation: books, art, song, films. Later, when I began to turn to France regularly, it was often to the kind of France- that my parents preferred. My automatic images of ‘being in France’ are initially **pictorial**: quiet canals lined with trees as regular as comb-teeth; a hunched bridge across shallow, pebbly water; dormant vines resting their flayed arms on taut wires; a scatter of fowl panicking on a dung-strewn back road; morning mist shifting like dry ice around a fat hayrick[...].”

Julian Barnes, *Something to Declare*, 2002

If culture is a “hierarchy of values”, the individual should have a say to keep the balance between sets of values and what Foucault calls “the culture of the self”, a process and a shift between the ‘outside’ (world) and the ‘inside’(self). Foucault’s well known theory about the movement of the subject towards itself, called “self-conversion” defines the millennium old tension between the creative/ meditating individual and its untamed search for knowledge. Beginning with the late 20th century and the 21st, the relationship became even more difficult in a *knowledge-based world* in which discriminating between true and false means building a ‘personal system’ of truths and related beliefs by means of *examination*, *analysis* and *interpretation* (Foucault:2004 ; McGuinn: 2002). Contemporary theorists of the “knowledge-based society” aim to explain the meaning and significance of “the proper intellectual attitude” necessary to cope with it. Moreover, in moments of transition and crisis, radical and severe questioning of the *basis of value* reveals how important the *issue of authenticity* is. Reference to authenticity may reflect the dynamics of transition from a ‘traditionalist’ to a ‘modern’ community. Focusing on what is *genuine* and on what is not, one may submit the process to *evaluation* (i.e. *tension* between the objective and the subjective, *acceptance* and *rejection* of norms) which, in its turn,

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may influence the re-adjustment of “markers of identity”(Hastings and Wilson:1999) and “the competence to understand”(Ryle:2000).

At the turn of the 21st century, the question of modernity, of its past development and of its current institutional forms has reappeared as a fundamental problem. It also challenged a re-thinking of the problem of the nature of modernity and its connections with the modern institutions as they differ from all preceding forms of social order in respect of their dynamism. The “radical modernity” also alters the nature of day-to-day life and affects the most personal aspects of our experience as the distinctive feature of radical modernity is an increasing inter-connection between two extremes: *globalizing influences* and *personal dispositions* :

“[Radical Modernity] identifies the institutional developments which create a sense of fragmentation and dispersal [and] sees the Self as *more* than just a site of intersecting forces; *active processes of reflexive self-identity* are made possible by modernity”(Giddens: 1991, 150).

In this context, *knowledge* itself becomes a matter of personal choice based on the “notion of discrimination”. “Knowledge in the contemporary world”, assumes Colin McGuinn in *Knowledge and Reality*, “is not merely *actually* believing what is true but being *disposed* to believe what is true and being *indisposed* to believe what is false”(McGuinn: 2002, 9). In the process of ‘knowing’, consciousness displaces the ‘object to be known’ and replaces it with *self-knowledge*. Plato called the process “*epimeleia heautou*” or affirmation of the self, the care for the self, the protection of the self by the self. In the contemporary interpretation, the concern for one-self gains a gnoseologic value: in this sense, caring for the self starts with “knowing thyself”, the Socratic “*gnothi seatou*”. Therefore, the “major form of self-preoccupation” is self-knowledge” (Foucault: 2004, 87-88). Self-knowledge, in post-Einsteinian world is part of a more complex tendency towards totalization, “*the bootstrap principle*”, a theoretical syntagm for integrity (“Bootstrap is thus the vision of a unity in the world, of the natural self-consistency: the world built out of self-consistency”, Noica: 1978, 84). In post-Einsteinian world, the observer is no longer a passive instance, but a participant to a process.

In the realm of art and culture, brisk returns to the past, personal experiences with the permeable borders of the “inauthentic” are only two contradictory experiences of “*gnothi seatou*”(know thy-self) kind. Exploration of such experiences in the book published in 2002 by Julian Barnes are means for exploring culture as “a matrix for changing meanings and relations and as a metaphor for the values and actions of everyday life” (Hastings and Wilson: 1999, 10). *Something to Declare*, the book of essays does not work with premises and hypotheses but with the “constant awareness” (*consciousness*) that exploration, introspection, analysis and interpretation makes the individual independent of a tradition in thinking and that personal, coherent experience with people and places seems a necessary condition for *encompassing culture as a provision of unity, continuity and certainty* in the spaces, places and times of modernity and postmodernity, for encompassing that type of ‘experience’ which is

called a *sense of belonging* in the world of *transgressive values*. The source of the partiality of vision/view is the 'position of the viewer' and the perspective:

"Is my view of France partial? Certainly. Knowing a second country means choosing what you want from it, finding antitheses to your normal English, urban life; discarding the responsibilities you feel about your own country, giving yourself a rest from the bilious emotions stirred by your own public representatives. My partial France is provincial in topography and contrarian in spirit; a France of the regions rather than of the centre, of Hose Bouve rather than sleek-suited Eurocrat, of Cathar martyr rather than papal legate. The cultural period I am constantly drawn back to is roughly 1850-1925, from the culmination of Realism to the fission of Modernism: a wondrous stretch not just for French culture but also for French cultural hospitality[...]"(Barnes: 2002, XIV)

If Barnes has 'something to declare' crossing the borders between European states, that is not a 'declaration of goods purchased' but of *psychological boundaries* between *himself* and the *others*, between his present and his past. They are used to shatter beliefs, to undo prejudices but also to define the importance of tradition in the contemporary world, a tradition still present in the imaginary of a community, a construct made of beliefs, values and symbols that have turned into stereotypes, sometimes hard as steel, not easy to dislodge, not easy to adapt to an ever changing world.

Research work about a book written with nostalgia and 'constant awareness' is not easy to perform. And yet, Julian Barnes's constant play with borders, boundaries and frontiers in the context of culture which gives the book its value, challenged, in the present paper, the *question of authenticity*, reducible to the simple interrogation *Who/What speaks as part for the whole?*

Our research does not stagnate in the use of a post-colonial model; it rather goes beyond, bringing together the assumptions of 'cultural studies' and becomes a reflection of the *varied* ways in which studies have moved further to cultural theory because of three serious influences:

i) *the particular way in which Julian Barnes understands issues of identity and difference:*

"The French are so...well, French, and therefore designed by God to seem as provokingly dissimilar from the British as possible. Catholic, Cartesian, Mediterranean; Machiavellian in politics, Jesuitical in argument, Casanovan in sex; relaxed about pleasure, and treating the arts as central to life, rather than some add-on, like a set of alloy wheels[...]. In public life, the French are just as hypocritical as we are; the difference would seem to be that their hypocrisy pays lip-service to idealism, whereas ours pays lip-service to pragmatism"(Barnes:2002, XVII);

ii) *articulation of culture* (as both political and descriptive practice):

"Central for me in the development of the modern sensibility is the figure of Gustave Flaubert.'I wish he'd shut up about Flaubert', Kingsley Amis with pop-eyed truculence, once complained to a friend of mine. Fat chance: Flaubert, the writer's writer *par excellence*, the saint and martyr of literature, the perfecter of realism, the creator of the

modern novel with *Madame Bovary*, and then, a quarter of a century later, the assistant creator of the modernist novel with *Bouvard et Pecouchet* was Joyce's favourite novel[...]. Not Shutting Out About Flaubert- see the second half of this book-remains a necessary pleasure[...]. In *Bouvard et Pecouchet* there is a scene in which the two anti-heroes visit Fecamp. They walk along the shoreline, and Pecouchet, who was temporally turned geologist, speculates on the consequences of an earthquake beneath the English Channel. The water, he explains to his friend, would rush out into the Atlantic, the coastlines would begin to totter, and then the two land-masses would shuffle across and reunite after all these millennia. Bouvard, terrified by the prospect, runs away- as much, you might conclude, at the notion of the British coming any nearer as at the catastrophe itself.

Despite our membership of the European Union, despite of the Channel Tunnel's visual abolition of water and cliff, some of my compatriots still exhibit a Bouvardian alarm at having the French as neighbors, let alone closer ones. Francophobia remains our first form of Europhobia, though not a xenophobia (ethnic minorities have edged out the French in that regard)"(Barnes: 2002, XV)

iii) *the impact of globalization* ("Such differences ought to survive in the name of biodiversity. We are losing human languages almost as fast as we are losing animal species; we are losing something much less quantifiable, human difference. 'Oh, but surely, Monsieur Barnes, you are still quite entirely British, and I'm no less *Franche, hein?*' Yes, that's to say, no. I may and do seem very British to a French interlocutor, and s/he thoroughly French to me. But I am less British than my father, and he less than my grandfather. So what, Monsieur Barnes? Your grandfather, you tell me, went abroad only once in his life, to France for the First World War; your father was engaged in the Second. Surely a bit of globalization and European homogenization is a small price to pay for the fact that you managed to dodge the third? Isn't the last half-century of European peace something to celebrate?") (Barnes: 2002, XVI).

The research on the questions raised by Julian Barnes start from the assumption that discussion about 'authenticity' (1) is the marker of the *effects* of globalization and similarly of *changeability* viewed as the capacity for self-preservation, that (2) authenticity is claimed and disclaimed, functioning as a standard of worth and a cultural core value and that (3) the origin of this cultural necessity may indeed lie in what Walter Benjamin called "the tendency to eliminate creativity and genius, eternal value and mystery" (Benjamin: 1936/1997, 297) which is why 'authenticity' may then function not only as a complicated *ideological trope* but as a way for cultural studies to bind together its approaches to cultural events and texts. In connection with "*Something to Declare*", the book Julian Barnes published in 2002, among others, two questions must be answered:

(a) how may 'authenticity' be defined as an integral part of Western philosophical humanistic tradition and also to place the 'search' for the authentic at the centre of 'energies' directed against the undermining of our true selves by the 'forces' of the postmodern? and

(b) what happens to art and the work of art in "the age of mechanical reproduction", when manual labour loses its value in competition with time?

Answering the first question is not only important but necessary because the definition of 'authenticity' is central to the claims of value and tradition. Authenticity and claims to authenticity underlie the conceptual and cultural *denial of dominance*. Hence, the claim to an undeniable authenticity is a pure expression of the 'real', the 'obvious', the 'natural'. On the other hand, postmodernism can be seen to make its own claims to authenticity through *ironic readings of established versions of authentic*. Hence, 'authenticity' is a *marker of the effects of the progress* of the literary text which unsettles certain teleologies. What is, then, "*Something to Declare*" and what was it written for?

As genre, it is *non-fiction*, as species it is a 'postmodern(?)' confessional writing set against the changing frames of a cultural travel/adventure essay. Preceded by a *Preface* which is signed *J.B., August 2001*, it is fifty per cent about French literature(Baudelaire, Mallarme) France and Flaubert and it covers, amongst other issues, the French country-side, film and music. There is Baudelaire versus Flaubert, a photograph of Flaubert's death mask staring at us, and, for the next five characters, Flaubert's name appears on the first sentence of every piece: Louise Colet's letters to Flaubert, Turgenev and Flaubert, Flaubert and the naturalist George Pouchet by the sea; and, towards the end, a comparison between *Madame Bovary* and *Middlemarch* by George Eliot. With its three color cover (red-blue-white) and personalized introduction featuring a splendid story of a journey to parental ashes, the book, from its title is suggesting that a tourist suspect baggage will finally be opened up for inspection by the customs officer at the imaginary, now, only cultural, and otherwise non-existent frontier between England and France, in a common Europe of nations.

The book is an inquest into the essence of Frenchness which is, according to Barnes "designed by God to seem as provokingly dissimilar from the British as possible" (Barnes: 2002). Under investigation, the reader may find that the title develops an idea Julian Barnes only subtly suggested in *Flaubert's Parrot* (1984). In this novel, published eighteen years ago, the writer-hero confesses that he is sometimes tempted to go through the red channel at the Customs when he returns home from France. Usually, he has nothing to declare, apart from a smelly piece of Brillat-Savarin (the cake) and "a dangerous fondness for Flaubert". And any Customs officer would regard his affection for France as 'perverse' and 'probably subversive- a contraband emotion- since it symbolically represents the refined Flaubertian "camouflage" of personality:

"Where does your love of France come from, Monsieur Barnes? Oh, I reply,"both my parents taught French; I went to France with them on holiday; I read French at school and University; I taught for a year at a Catholic school in Rennes(where my gastronomic conservatism was unpicked); my favorite writer is Flaubert; many of my intellectual reference points are French, and so on. It does the job, as an answer; but it's an untruthfully smooth narrative [...] Is my view of France partial? Certainly. Knowing a second country means choosing what you want from it, finding antitheses for your normal, English, urban life,

discarding the sense of responsibility you feel about your own country, giving yourself a rest from the bilious emotions stirred by your own public representatives.”(Barnes: 2002, XII).

It is more than obvious that for Barnes the ‘authentic France’ is closely connected with respect for diversity which is not exactly *the* France constructed by touring advertisements and media:

“My partial France is provincial in topography and contrarian in spirit; a France of the regions rather than the centre[...]. The cultural period I’m constantly drawn back to is roughly 1850-1925, from the culmination of Realism to the fission of Modernism: a wonderous stretch not just for French culture but also for *French cultural hospitality*[...]. Central for me is the development of *modern sensibility* is the figure of Gustave Flaubert, the writer’s writer par excellence, the saint and martyr of literature, the perfecter of realism, the creator of the modern novel[...]. French are so...well French, and, therefore, designed by God to seem so provokingly dissimilar from the British as possible. Catholic, Cartesian, Mediterranean; Machiavellian in politics; Jesuitical in argument; Casanovan in sex; relaxed about pleasure and treating the arts as central to life, rather than some add-on, like a set of alloy-wheels. **Such differences ought to survive in the name of biodiversity.** We are losing human languages as fast as we are losing animal species; **we are also losing something much less quantifiable, human difference**”(Barnes: 2002, xix)

This problem of ‘diversity’ and ‘authenticity’ has been thoroughly analyzed by Walter Benjamin in his essay, *The Work of Art in the Age of Mechanical Reproduction*. In this essay published in 1936, in the “difficult years” of Germany’s rise to power in Europe, Benjamin’s analysis is mainly an expression of the philosopher’s concern with the production and reproduction of consumer goods and the pre-eminent consequences, such as the tendency to eliminate the once precious and valued “creativity and genius, eternal value and mystery” (Benjamin: 1997, 297), closely related, in his opinion, with *authenticity*.

The ‘reproduction’ of artworks has represented an innovation starting with stamping and ending with photography and cinema. The technological means of reproduction caused the *shift of focus* from the *hand* which produced the artwork, to the *eye*, which is capable to capture the images more quickly. The beginning of an ocular-centric world was endorsed by the development of the motion picture (in cinema). It surpassed the ‘tradition’ in image representation by re-presenting all works of art, thus playing a significant role among the visual arts. The reproduction of the works of art (and film-making) have had a serious impact on traditional art, in the 1930’s and on life as a whole throughout the second half of the 20th century. “Reproduction” affected/ altered the work of art within its most important feature - uniqueness. *Uniqueness* is related to the “presence in time and space” (Benjamin:1997, 298) of the art work. The existence of the work of art is ascertained by its history, which starts with the *material changes* it is exposed to and ends with the problem of *ownership*. They are practically impossible to be reproduced, mechanically or otherwise. Words like ‘original’ or ‘authentic’ designate the uniqueness of the work of art and **assign the work of art its rightful place in history, because of its own history:**

"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 has experienced" (Benjamin:1997, 299).

Henceforth, Benjamin defined the two main effects of the mechanical reproduction of art:

(a) In the contemporary world, said Benjamin, the mechanical reproduction (and the proliferation of facilities and techniques) *destroys the value of the original* by modifying the duration of its production and by *eliminating the history of the work of art reproduced*. The work of art turns into a commodity because the reproduced object is only a copy of the original and has no value in itself:

"Reproductions try to replace a unique existence, but they only succeed to reactivate the object reproduced"(Benjamin: 1997, 299)

(b) The proliferation of (mechanical) reproduction is explained by the desire of the contemporary society to *bring things closer* to their view. The need can be only fulfilled by reproduction and by giving up the *claim of authenticity*. The reproductions are the substitute for the unreachable originals and there is nothing authentic in the contemplation of reproduction. *The uniqueness and the permanence of the real object perceived by the observer directly are replaced by the 'transitory' reproduced and mediated image of the object*. Absence of authenticity or in-authenticity is associated, then, with the *mediated image* of the object.

Walter Benjamin's essay, published seventy years ago, constitutes a major attempt to read authenticity as an integral part of Western philosophical, humanistic traditions and to place the search for the authentic, if not the authentic itself at the centre of our own selfhood.

By extrapolation, the *decline of the ethic of subjectivity* in the postmodern era, and the *suppression of individuality* encouraged by the mass media and the multinational markets is the target of Julian Barnes's book of essays, entitled "*Something to Declare*". His book is the highest expression of *renewed subjectivity* and *expression of individuality*, in content and form. It contains seventeen articles, written for various literary outlets over two decades, between 1986-2000 and related to France. Given his responsibility (the deadlines, the limits on copy length, the demands of weekly output), Barnes's essays during this period developed in style and narrative voice. They seem to be written to illuminate some truth as they reveal his preference of themes and subject matter. As new journalism, the book contains a lot of *observations* and more information which makes him more like a historian of culture and of literature. But most of all a "historian of individuality" who cares for the "loss of tradition" and "dilution of identity". Every new text begins on an authentic personality who, Barnes thinks, has captured an aspect of France – be it the landscape or temperamental human nature. Then he builds around the characters to create an image of the culture of that time. That is why characters chosen are those who we would usually associate with France and the

Francophone: musicians, filmmakers, a famous cook who wrote about French dishes, writers (Henry James) who toured France to discover ‘*La France profonde*’ And above all Baudelaire, Mallarme, Courbet and all things related to Flaubert. His France is a personal landscape because he lives elsewhere, a landscape of old and new authenticity within which the *logic of identity* makes the cultural act *speak as part for the whole*.

Authenticity is related to the way in which Barnes understands issues of identity against the influencing process of globalization. It is also related to the loyalty to one’s self, to its own past, heritage and ethos. It is related to one’s own history by utilizing and recreating one’s past and the past of one’s people, projecting them with resoluteness towards one’s future:

“The surviving Ultimate Peasant followed a rigidly structured life: he rose at five and went up the mountain to collect dead wood for a fire ritually lit at five in the evening, every day, regardless of season or weather. He lived with and off his goats; he had a certain amount of money, but didn’t spend anything. At some point, he, the last ‘indigene’, will die, and then, this village, which seemed, at first acquaintance so authentic, will become completely false- or if you prefer will finish re-inventing itself, for the modern world[...]It will be sustained by tourism rather than agriculture; be reliant on cars and out of town shopping; and be virtually uninhabited in winter. A seasonal village, repeating from time to time a few of the communal acts which its originators and their successors performed out of necessity and belief and habit. *La France profonde* has disappeared within our century [under] destructive agents: war, peace, communication technologies, mass tourism, the industrialization of agriculture, the free market, Americanization, Eurification, greed, short-termism, complacent a-historicism” (Barnes: 2002, 4-5)

As *art* of the 1930’s completely changed itself (and altered) under the influence of the various ways of ‘mechanical reproduction’ (viz.technologies), at the outset of the 21st century, *life* itself as an expression of authentic cultural, textual phenomenon changed. And yet, in Julian Barnes’s opinion, “the pathos of incessant change”(Golomb: 1995, 9) would be tempered in the bond between the self and the group, in the group’s ability “to utilize” and “culturally employ” one’s past and heritage and ethos:

“[...]the world of obscure bars and tiny four-table restaurants; the exuberance volubility, and cheerful anarchy of the daily scene and, above it all, the enviable ease with pleasure which so attracts the repressed English[...]. He acquired what he called a second identity, didn’t regret the partial loss of Englishness, and loved being asked if he was Belgian[...].”(Barnes: 2002, 10)

Authenticity, here, relies on preservation. What is to be visited is not modern, new France, but *authentic France made modern and new*. Thus, France represented by its geography, villages, heroes, writers, painters, poets, musicians, and above all by Flaubert is now “modern but authentic” in style, story-telling, life. Its oxymoronic reality- modern but authentic-is for the *media* (style and story) to embody, the only able to express the apparent dichotomy of old and new, of *modern but authentic* (Julian Barnes’s favorite phrase) and which in the process *preserve the authentic*. The

“modern but authentic” French style, says Barnes, “mirrors European culture which preserves its own bio and cultural diversity”(Barnes: 2002, 15)

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FEMALE AUTHORSHIP DURING THE BRITISH ENLIGHTENMENT. GENDER AND IDENTITY FORMATIONS

MIHAELA MUDURE

ABSTRACT. This paper analyzes the construction of authorship during the British Enlightenment with specific reference to female novelists. The corollary of this many-sided approach is an inventory of the authorial strategies preferred by female authors. The expansion of female authorship also led to a variety of gender and identity formations which characterizes British modernity.

Motto: "For if contemporary women do now attempt the pen with energy and authority, they are able to do so only because their eighteenth- and nineteenth-century foremothers struggled in isolation that felt like illness, alienation that felt like madness, obscurity that felt like paralysis to overcome the anxiety of authorship that was endemic to their literary subculture."

(Sandra M. Gilbert and Susan Gubar - *Infection in the Sentence*)

The problem of female authorship tackles not only cultural studies, mentality studies, gender studies, literature, and history, but it is also an issue with political significance because it entails explanations and appreciations of the way in which women enter public space and accept to become visible cultural agents. Literary history includes a rather big number of female authors, but the problem is that in most cases when their literary career is over most of them fall into obscurity and the process of their return to our "collective literary and historical consciousness" is slow, unfair, and sometimes guided by scandal rather than by literary merit.

The problem of recognizing female authorship intersects with recognizing female authority because authorship is a kind of authority over the textual world created by the author. Or in cultures of Judeo-Christian descent where God is the father of the world and humanity, accepting a woman that dominates the textual world very much in the same way God dominates the actual world poses certain problems that are difficult to overcome. Also authorship does not only offer a symbolic authority, however important and tempting that one may be, but it also offers a concrete political and civic authority. It is mostly eighteenth-century women who realized this. With Mary Wollstonecraft or Olympe de Gouges, the most visible feminists of the Enlightenment, the making of the textual author-ity was more than an artistic act. It was to develop political and civic awareness and to empower both the author and the reader in order to find a solution to the evils of the moment.

The problem of female authorship during the Enlightenment was tackled by Elizabeth Franklin Lewis in her study *Women Writers in the Spanish Enlightenment. The Pursuit of Happiness* published in 2004. Lewis connects the problem of authorship with happiness as a corollary of the growing eighteenth-century interest in women. The concept of happiness was extremely important for eighteenth-century women's emancipation because it presupposed a space where they could make lifestyle choices. Eighteenth-century happiness involves a sense of harmony that should extend far beyond the domestic sphere and a re-evaluation of feminine virtue that defied traditional notions of fidelity to God and husband and instead encouraged responsibility to other women, especially to future generations. Because notions of eighteenth-century happiness represented a challenge to the embedded power structures of the Church, the State, and the male intellectual elite, women therefore faced a dilemma well worth examining: how best to express their ideas on female happiness, how to procure their own happiness and that of their sisters without risking alienation or even castigation for their words and actions.

Another study which deals with the problem of eighteenth-century authorship is Geoffrey George Turnovsky's Ph.D. thesis entitled *Modern Authorship and the Rise of the 'Literary Market': Evolution of the Literary Field in France 1750-1789*, which was defended at Columbia University in 2001. This study deals with various conceptions of authorship in eighteenth-century France and the influence of the appearance of literary markets affected the writers' understanding of literary practice. The book trade and the economic opportunities offered by the market allowed French writers to live and write outside of the constraining patronage system and become autonomous, free-thinking, and critical. These new opportunities were particularly important for women writers. But the problem is that Enlightenment writers sought not only economic resources that would make their authorship possible but also sought validation and legitimization. Turnovsky insists on the ways in which writers understood and represented the changing conditions of literary practice which were influenced by the expanding commercial print sector. The writers of the time focused on the effects of the commercialization of literature through its effects on the traditional cultural practices, institutions, and beliefs, on the collapse of the old order: the decline of the old patronage system, the ineffectiveness of the State to cope with the growth in clandestine publishing, and the incapacity of the official pension and academic system to provide assistance to all the writers that needed it. This study focuses less specifically on women writers, but rather integrates them as participants in this new, modern cultural field which is the literary market.

Carla Hesse's study *The Other Enlightenment. How French Women Became Modern* focuses on the French Revolution's impact on women and shows that the French Revolution provided women with unprecedented access to print culture. Carla Hesse emphasize literary women's struggle for independent expression and moral autonomy during the French Revolution and afterwards. Having been denied the political and civil rights of men, literary women plunged into the expanded

world of publication, answering the men's philosophical treatises with provocative novels about women's choices and chances. The growing market economy in print offered women new opportunities to talk back, to tell their stories, and make public their alternative her-story. Combining print history with literary and philosophical analysis, Hesse proves her thesis that for women self-expression through fiction was a cultural strategy that finally led to public and political claims to moral autonomy. In other words, the expression of female subjectivity and women's full participation in modern Western culture and public life are part of one and the same many-sided process.

Our approach to female authorship focuses on the British Enlightenment because of the importance of this trend in the construction of modern Europe. In this paper we claim that authorship is a cultural position which influences gender and identity formations and we demonstrate this connection using eighteenth-century female writers as a case study.

Authorship is one of those many-sided issues that can be tackled from a cultural, a legal, a political, and a psychological perspective. A matter of geography - not only of physical geography, but also of geography as cultural spaces and practices – authorship is an issue of individuality and also a typical European and modernity issue because these are the periods when the individual becomes the center of cultural and political exercise.¹

The problem of literary authorship particularly fascinates the European and the Euro-Atlantic thinking for two reasons: the tradition of our cultural area and also our late twentieth or early twenty-first century voyeurism and curiosity-to-be-part-of-the-show. In this case, we want to be part of the authorial show.

The importance of authorship has to be connected with the high symbolism of the Book in European culture. This elevated symbolism reached the level of holiness in the case of Homer's epics or the Bible.² On the other hand, the discretion with which authors have often defended the intimacy of their own creative process provoked both critics and readers. If the Romantics are widely responsible for the understanding of authorship as an exceptional personality's individual exercise and re-evaluation of the self, the seeds of the new approach to authorship are laid much before the Romantic age, i.e. in the seventeenth and eighteenth century with the valorization of the individual and of his reason.

According to the Romanian philosopher Petre Tuțea, literary authorship belongs to two modes of knowledge simultaneously. On the one hand, it is the literary creator's

¹ For instance, in postcolonial spaces individual authorship is molded upon political and cultural opposition and struggling against the cultural influence of the metropolis. In certain genres of colonial literatures (like slave narratives or conversion stories) authorships can be even more amalgamated. The real author may only have the skills of oral literary authorship and his authorship may have to coalesce with the written literary authorship of the white person who puts down the story imposing thus his/ her prejudices and value judgements.

² Ernst Robert Curtius. "Le symbolisme du livre," La littérature européenne et le Moyen Age latin. Trans. Jean Bréjoux. Paris: PUF, 1956, p. 375.

ontological presumption. For the author, his/her “forgeries” become his/her reason to exist exactly like the world which has always preceded him/her and in which he/she acts. On the other hand, literary authorship belongs to invention, which is second-degree nature or nature “forged” in technique and art and it is also creation marked by the individual creator’s pride.³ Or both these approaches to literary authorship facilitate our understanding of the problems encountered by female literary authorship for centuries.

Woman has historically been encouraged to create, hence to “author-ize” by maternity only, hence by her corporality, which is not degrading in itself. It becomes degrading only if this wonderful gift of nature becomes a limitation imposed from the outside and by coercion. On the other hand, woman being associated with nature, it becomes impossible for her, according to this grid, to create second-degree nature.

Authorship has also been associated with an outward, exterior directed endeavour. The author is, according to Wyatt, the prodigal son. “The story of the prodigal son is above all the story of a career, what happens on the road home.”⁴ (Wyatt, XV). “The author-ity of authorship is the valorization of the prodigal son over the obedient son. Or not even Luke who recorded the story of the prodigal son for posterity thought that the prodigal son could somehow be a daughter. Daughters are obedient and stay home. They do not wander either on the real roads or on the roads of ... authorship.

Wyatt also understands authorship as one of the many careers an individual may have (a male individual, of course). These careers move teleologically towards their own success and final accomplishment, but they are to be understood archeologically, namely as evolving in time.”⁵ But authorship is a public career and such careers have been forbidden to/restricted for women for centuries.

Even if we try to limit authorship to a “simple” issue of identity and - after all, together with Wellek and Warren we all know that the most obvious cause of a work of art is its creator - things are not much simpler.⁶ Establishing who the author is may become a detective issue, the case of Shakespeare being famous in this respect.⁷

Historically, authorship, as an expression of the identity of the individual, is a new issue, an element of modernity⁸ but the prestige of the individual author is

³ Petre Tuțea. *Filosofia nuanțelor. (Eseuri. Profiluri. Corespondență)*. Antologie, prefață și aparat critic Mircea Coloșenco. Postfață Sorin Pavel. Iași: Timpul, 1995, p. 243

⁴ David Wyatt. *Prodigal Sons: A Study in Authorship and Authority*. Baltimore and London: The John Hopkins UP, 1980, p. XV.

⁵ Wyatt, *op. cit.* p. 151.

⁶ René Wellek, Austin Warren. *La théorie littéraire*. Trans. Jean-Pierre Audigier et Jean Gattégno. Paris: Seuil, 1971, p. 101. “La cause la plus évidente d’une oeuvre d’art est son créateur, l’auteur: c’est pourquoi l’une des méthodes critiques les plus anciennes et les mieux établis consiste à expliquer la littérature par la personnalité et la vie de l’écrivain.”

⁷ Such cases have been the birth certificate of *stylometric* or authorship statistic studies. They can be helpful in the study of women’s literary partnership (in order to establish the exact extent of the participants’ contribution to this kind of literary ... intercourse) or in case of anonymous works.

⁸ See Newbury and Hawthorn.

not enough to give stability to the author function whose construction varies along centuries. Firstly, the author function only gives some civil accreditation and coherence for identifying the literary work more precisely. The author is taken as principle of unity and coherence. The author, in general, is an index of truthfulness, inspiration, or fame. However, this does not apply so easily to the female author because of the way in which woman is constructed culturally in the European space. She is treacherous and relegated to the privacy of the home, not to the public space. Therefore, defining the female author function poses some problems which finally may lead to challenging the traditional disposition of the public and private spaces.

The author is also a function of certain configurations of knowledge. But woman is excluded from here as well as her knowledge is not valorized in high culture, maybe it is valorized subterraneously in the sub-cultures of different historical periods, such being the case of the Enlightenment.

The author function is also enmeshed in power relations and it accounts for the pressure of the social and the political, and the media.⁹ Modernity killed the Romantic genius and the next historical and cultural step was Barthes' ontologizing the discourse to the point of forgetting that these discourses are, however, used by individuals endowed with will and the privilege of choice.¹⁰

The manufacturing of allusions, taking over or resuming topics, motifs or plots was an ordinary authorship activity for centuries till modernity. This was especially true for authorship in religious circles where the author was considered just a mouthpiece for the divine. Also if we accept the idea that we all read according to the divine calligraphy inscribed in the great book of Nature and the World, the great book whose author is God,¹¹ a God endowed with father-like attributes,¹² woman cannot be the author of any book because she cannot act like God the Father. Her efforts in this respect trespass religious silence and not less powerful taboos.

A significant breakthrough in this respect came from the Renaissance aristocratic circles.¹³ It is in the intimacy of their entourage and haloed by courtly prestige that women could assume either direct authorship or the mediation of translation. The Sidney circle or Elizabeth I's ladies-in-waiting are significant milieus in this respect.

⁹ A new aspect of authorship on the internet is interactive authorship. There are sites where people build their own stories by creating, each of them, a paragraph.

¹⁰ Eugen Simion. "Postmodernismul: un concept care își caută sensurile." *Fragmente critice. Scriitura taciturnă și scriitura publică*. București: Editura "Grai și suflet – Cultura națională," 1998, p. 71. "Modernitatea a ucis geniul (creatorul) și a desființat autorul ca instituție... L-a regăsit, într-un târziu, prin Barthes, care, prin această inteligență mișcare a spiritului, a depășit fanatismul modernității."

¹¹ Ernst Robert Curtius, *op. cit.*, p. 384.

¹² Umberto Eco. *Sase plimbări în pădurea narativă*. Trans. Stefania Mincu. Constanța: Pontica, 1997, p. 151. "Astfel, căutarea din partea noastră, a autorului model este Ersatz-ul unei alte imagini, aceea a unui Tată, care se pierde în ceața infinitului, fapt pentru care nu obosim niciodată a ne întreba de ce există Ființă mai curând decât nimic."

¹³ This does not mean that female authorship did not exist at all before this period.

With the criticism, even the assault upon the divine authority, particularly in the eighteenth century, the authorial personality, more and more secularized and ready to kill God or drive him out of the skies, increasingly accounts for a “high level of ethical tension.”¹⁴ The book becomes an auto-icon¹⁵ created with pride, and even a certain aggressive awareness of one’s value. Gradually this led to an exemplary crisis in selfhood, authorship increasingly became a manifestation of the creative selfhood, and authority.

According to Georges Thinès and Agnès Lempereur, authority may be of three types: anthropological, sociological, and pedagogical.¹⁶ In all these three cases authority establishes a hierarchical relationship. In the case of literary authorship, this power relationship is established in a mitigated form, hence the aggressiveness of the literary world. Literary authorship is a power activating a world that has some resemblance to reality but suffers from a tragic flaw: verisimilitude instead of reality. That is why authorship is a solution either to run away from life or to conquer life in a mitigated form.¹⁷ Or if evasion from life or desire to overwhelm the world can be the aims of female authorship as well, the traditional socialization of women makes it very difficult the essential dimension of authorship, namely the desire to feel essential in this world,¹⁸ to have and protect one’s autonomy. For woman who traditionally were socialized so as to dedicate mostly for the others, this is even more tempting and even more forbidden by custom and prejudice. The woman author’s difficulty to have her own corner for writing and meditation adds material difficulties to the cultural ones.

The product of one’s reflexive consciousness, authorship implies awareness,¹⁹ an interior conflict and a spiritual environment necessary for a creative disposition.²⁰ The more personal, the more authentic the authorship, the more it is appreciated as

¹⁴ Dominic Rainsford. Authorship, Ethics, and the Reader. Blake, Dickens, Joyce. Houndmills and London: Macmillan, 1997, p. 224.

¹⁵ Dominic Rainsford, *op. cit.*, p.219.

¹⁶ Georges Thinès et Agnès Lempereur. Dictionnaire général des sciences humaines. Paris: Editions Universitaires, 1975, p. 113. “Du point de vue anthropologique. L’autorité a un fondement mythique du pouvoir. Le chef n’a de pouvoirs concrets qu’en vertu des relations avec des puissances méta-humaines (ancêtres, esprits, dieux) qui le mettent lui-même en dehors de l’humanité ordinaire. L’autorité est accordée par initiation, investiture, elle est ensuite enforcée et contrôlée. Du point de vue sociologique. L’autorité est un rapport d’échanges inégal dont l’inégalité est intériorisée comme allant de soi, autant pour soi qui la détient que par ceux qui leur ont été confiées. Du point de vue pédagogique. Supériorité d’un sujet ou d’un groupe de sujets par rapport à d’autres, acquise par des avantages supposés ou réels (expérience, connaissances, etc.)”

¹⁷ Jean-Paul Sartre. Qu’est-ce que la littérature? Paris: Gallimard, 1948, p. 49. “Pourquoi écrire? Chacun a ses raisons: pour celui-ci l’art est une fuite; pour celui-là, un moyen de conquérir”.

¹⁸ Jean-Paul Sartre, *op. cit.*, p. 50. “Un des principaux motifs de la création artistique est certainement le besoin de nous sentir essentiels par rapport au monde.”

¹⁹ Liviu Rusu. Essai sur la création artistique. Contribution à une esthétique dynamique. Bucarest: Univers, 1972, p. 149.

²⁰ Liviu Rusu, *op. cit.*, p. 151.

a tangible proof of the creative personality's uniqueness.²¹ But women are traditionally socialized, through the ideology of sacrifice and delayed gratification, to constantly nurture those who are around them. The only traditionally accepted female authorship occurs in moments of intense corporal creation, such as pregnancy or birth. It is only in these moments of bodily, material creation that women are allowed strongly individual and individualized gratifications, in culture such gratifications for women are hindered, discouraged, even intimidated. Significantly, extending authorship as a creative individual's issue will take us to ethics!

The importance of the individual personality for authorship does not minimize the legal and the political dimension of authorship, even more so as the Enlightenment is the period when the modern legal and political discourse is being shaped. Though we should not forget that women's writing is not the same as women's rights, some zone of convergence exists between the two.

Legally, authorship is a problem sanctioned differently in various cultures, depending upon the level of awareness of intellectual property, upon the autonomy of the individual,²² and upon the existence of a market for intellectual artifacts.²³ The interference between authorship and politics, subversive writings, the Aesopic style, and the courage of allusions²⁴ has been particularly important during the absolutist regimes, the eighteenth-century enlightened absolutisms being no exception in this respect. At another level, politics also means the author-publisher relationship, the literary strategies for publication, the social circumstances in which a work appears. In a word, the institution of authorship is conflated or absorbed by the political economy and the economic politics of the discursive practices of each historical period, the Enlightenment as well.

If the Enlightenment female writers certainly benefited theoretically from the valorization of the individual, of the individual reason and from the call for universal enlightenment typical of this period, in the historical practice of the time the tendencies to exclude women from these "benefits" were more powerful than the tendencies to include and encourage them.

Even if we can only agree with Sartre that the essence of authorship is freedom,²⁵ this freedom can be constructed as a gendered space, freedom for everybody, or as a gender blind space, which means freedom only for men society and culture

²¹ Liviu Rusu, *op. cit.*, p.185. "Un artiste est d'autant plus authentique, qu'il réussit à se replier sur soi-même, en donnant un sens propre aux impressions qui lui viennent du dehors."

²² Martha Womandsee. The Construction of Authorship: Textual Appropriation in Law and Literature. Durham: Duke UP, 1994.

²³ Anesko, Michael. "Fiction with the Market": Henry James and the Profession of Authorship. New York: Oxford UP, 1986.

²⁴ See Glenn.

²⁵ Jean-Paul Sartre, *op.cit.*, p. 185: "l'essence de l'oeuvre littéraire c'est la liberté se découvrant et se voulant totalement elle-même comme appel à la liberté des autres hommes." Sartre uses the generic "homme" ("man") when referring to authorship. It is interesting that not even the example of his life long partner, Simone de Beauvoir, makes him nuance his considerations with a more generous gendered perspective.

being built upon the appropriation of the human generic by the male stance. Or it is precisely during the Enlightenment that this appropriation appears more aggressive and contradictory to the overtly expressed ideals of this revolutionary time.²⁶

The political dimension of authorship does not mean a denial of its value as the manifestation of the individual. Rather the difference lies at the level of the personality: overt, outermost vs. profound, innermost. Or in order to understand authorship at this profound, innermost level, the definition given by Vivas²⁷ would probably be most helpful. In our opinion, authorship, creative writing turn to account the following intrinsic values of the self: empowerment, exhibitionism and narcissism, the courage and the weakness to exhibit oneself in front of the readership. The confrontation between authorial control and authorial subjection, authorial remoteness and self-assertion has often led to the idea that the author, male or female, is sick. There is a very attractive and popular idea about “the author, as someone troubled, even suffering, for whom the text is a kind of burden as well as a means of self-promotion. In this sense one could say that each author comes across as *pharmatikos* – a kind of wizard, offering extraordinary tricks with language, but also a *scapegoat*, one whose experiments are played out synechdochically upon his own person.”²⁸ With women this has always had more aggressive implications. Their lack of modesty (in an eighteenth-century sense as well) was immediately sanctioned as lack of respectability, their interest in cultural authorship was often pathologized. On the other hand, it is also true that the individual’s valorization during the Enlightenment particularly facilitated and even inspired several women to go beyond their apprehensions and try to make literary history. Yet, this process was not without predicaments. One such predicament was²⁹ the distinction between the real author and the implied author, and, if case be, the narrator.³⁰ The confusion and the interference of these levels may bring about charges of immorality which have always been a way to discard female authorship. A common strategy adopted by women during the Enlightenment was to pretend that they were merely editors. They disclaimed their responsibility for the authenticity of the supposed original account and even left the reader decide whether the account was factual or fictional. Another female stratagem was to write a purely imaginary story and protect

²⁶ Jean-Paul Sartre, *op.cit.*, p. 151. “En outre, au XVIIIe siècle, les libertés nécessaires que réclame la littérature, ne se distinguent pas des libertés politiques que le citoyen veut conquérir, il suffit à l’écrivain d’explorer l’essence arbitraire de son art et de se faire l’interprète de ses exigences formelles pour devenir révolutionnaire: la littérature est naturellement révolutionnaire, quand la révolution qui se prépare est bourgeoise parce que la première découverte qu’elle fait de soi lui révèle ses liens avec la démocratie politique.”

²⁷ Eliseo Vivas. “The Self and Its Masks,” *The Southern Review*, vol. 1, April 1965, nr. 2, p. 326 “The person is a constellation of espoused values at the center of which is to be found the intrinsic value that the self ascribes to itself.”

²⁸ Dominic Rainsford. *Authorship, Ethics, and the Reader. Blake, Dickens, Joyce*. Houndmills and London: Macmillan, 1997, p. 224.

²⁹ It still is as the contemporary world is not so much better.

³⁰ According to Nicholas Visser. “Authors, Narrators and the Poetics of Radical Fiction,” *Orbis Literarum*, vol. 51, no. 3, 1996, pp. 131-147.

the female author's own narcissism.³¹ As narcissism is a drive towards the self-conservation of the subject,³² the imaginary was the space where the self felt protected from the implied author's aggressive intrusion into real life.

In late twentieth-century criticism female authorship, the problem of the difference between the implied author and the real author can be translated linguistically as the conflicting site of the female voice, somewhere between language and ideofect. For eighteenth-century female authors confronted with ardent political and social issues, the problem of language mattered less. The absence of the female experience in the language, the contestation of language as a product of patriarchal relationships, and the idea of talking the body and through (maybe as a ventriloquist talk) were silently considered issues of lesser topicality.³³

On the contrary, the problem of authorship construction was of utmost concern. As the successful relationship between the author and his/her readership was considered to be a seductive one (therefore, male vs. female), female authors on a quest of their gendered authorial identity questioned the adequacy of two models: utopian androgyny or primordial genderlessness. The problem of a certain bisexuality of the speaking, authoring and/or reading subjects which ultimately allows us to understand each other was tentatively explored in order to be theorized upon much later.³⁴ On the other hand, the male and the female authorial metaphor functioned vigorously in the eighteenth century. The male authorial metaphor compared authorship with an orgasmic surge.³⁵ The female metaphor compares authorship with

³¹ Julia Kristeva. "Creations," New French Feminisms. An Anthology, p. 166: "Women generally write in order to tell their own family story (father, mother and/or their substitutes). When a women novelist does not reproduce a real *family* of her own, she creates an imaginary story through which she constitutes an identity: narcissism is safe, the ego becomes eclipsed after freeing itself, purging itself of reminiscences. Freud's statement 'the hysteric suffers from reminiscence' sums up the large majority of novels produced by women."

³² Jean Bellemin-Noë. La psychanalyse du texte littéraire. Introduction aux lectures critiques inspirées de Freud. Paris: Nathan, 1996, p. 32. "Le narcissisme est une pulsion d'autoconservation réservée à la survie du sujet et les pulsions sexuelles vouées à la survie de l'espèce."

³³ Such ardent cries, as this one articulated by Chantal Chawaf, are out of place in the eighteenth-century discourse. The scorching heat of reason has dried language but men's and women's language scorches differently. Chantal Chawaf. "Creations," New French Feminisms. An Anthology, p. 177: "Isn't the final goal of writing to articulate the body? For me the sensual juxtaposition of words of words has one function: to liberate a living paste, to liberate matter. Language through writing has moved away from its original sources: the body and the earth. Too often GOD was written instead of LIFE. Classicism and rationalism have mutilated the verbal paganism of the Middle Ages and the Renaissance. Linguistic flesh has been puritanically repressed. Abstraction has starved language, but words must die. They have a sensorial quality. Their role is to develop consciousness and knowledge by liberating our unconscious as well as to bring back hope."

³⁴ This idea will be convincingly and powerfully expressed by Julia Kristeva. Julia Kristeva "Creations," New French Feminisms. An Anthology, p. 165: "All speaking subjects have within themselves a certain bisexuality which is precisely the possibility to explore all the sources of signification, that which posits meaning as well as that which multiplies, pulverizes, and finally revives."

³⁵ A certain pre-eminence of the male authorial metaphor is clear from the linguistic study of literary terminology. Literary terminology displays male domination for centuries over literary creation. We talk

pregnancy. Birth became the delivery of the ... "newly born product" into the world: publication.³⁶ According to Stanford Friedman: "Male metaphors intensify difference and collision, while female metaphors enhance sameness and collision. In spite of the individual variation, male metaphors often covertly affirm the traditional separation of creativity and procreativity. Female metaphors, in contrast, tend to defy those divisions and reconstitute woman's fragmented self into a (pro)creative uniting word and flesh, body and mind."³⁷ However, the use of the male or female authorial metaphors must not lead to essentialism. We must acknowledge that there may be a space where sex and gender do not cover each other completely because it is not always that the sexuality of the text coincides with the textuality of the author's sex/gender. This nuanced and in-degrees understanding of the connection between the real author and the implied author does not diminish the problem which is at the core of the Enlightenment from the point of view of female authorship – woman as the origin of the text. It is during the Enlightenment that women's voices become more evident, more distinct, and more efficient says: "the 'feminine,' in this scheme is to be located in the gaps, the absences, the unspeakable or unrepresentable of discourse and representation. ... The feminine text becomes the elusive, phantasmal inhabitant of phallogocentric discourse."³⁸

Is there a pattern of female authorship during the Enlightenment? Answers vary between: the existence of three patterns (the prostitute, the dispossessed outsider, and nobody),³⁹ the anxiety of authorship,⁴⁰ or the assessment of women's practical strategies to become authors. It is particularly the valorization of the individual during the Enlightenment (though not feminist in its ideological intent) that gave

about literary paternity (maternity being biological and bodily, and "the mothers of the novel" only a recent invention), about literary filiation, dissemination and seminal ideas.

³⁶ It is interesting that Sartre for whom authorship seems to be entirely male uses a female type metaphor. Like the child, the book becomes an existence in itself. The separation from ... the mother is unavoidable. Jean-Paul Sartre, *op. cit.*, p. 54: "Ainsi l'écrivain ne rencontre partout que son savoir, sa volonté, ses projets, bref lui-même; il ne touche jamais qu'à sa propre subjectivité, l'objet qu'il crée est hors d'atteinte, il ne le crée pas pour lui."

³⁷ Stanford Friedman, Susan. "Creativity and the Childbirth Metaphor," Feminisms. An Anthology of Literary Theory and Criticism. Eds. Robyn R. Warhol and Diane Price Herndl. New Brunswick, New Jersey: Rutgers UP, 1991, pp. 371-404.

³⁸ Mary Eagleton. (ed.). Feminist Literary Theory. Cambridge, USA: Blackwell, [1986], 1996, p. 300.

³⁹ See Catherine Gallagher. *Nobody's Story: The Vanishing Acts of Women Writers in the Marketplace 1670-1820*. Berkeley: California UP, 1994.

⁴⁰ According to Maggie Humm. *The Dictionary of Feminist Theory*. Prentice Hall: Harvester Wheatsheaf, 1989. Anxiety of authorship is a term coined by Sandra Gilbert and Susan Gubar in *The Mad Woman in the Attic*. They modified Harold Bloom's concept of anxiety of influence, which describes writers (male writers) towards their male predecessors, in order to describe nineteenth-century women writers' struggle with the misogynist world of Victorian literature where the pen was a metaphorical penis. But the same anxiety of authorship exists during the seventeenth and eighteenth century when female authors are often suspected that they did not write their texts, but they merely signed their male relatives' works. Anxiety is a key element in (fe)male poetics and poietics but it has different causes and a different construction.

women more courage to name themselves and decide to make literary history and not only be made by literary history. Though the female authors' authority was still strongly marked by the indirection of translation, by anonymity, and by gender biased negotiations with critics, publishers, editors, censors, or collaborating friends, their writing was an effort to assert the female subject.

The novel is a particularly popular genre among eighteenth-century female authors. The gender –genre connection functions particularly well in this context. The novel, a marginal and popular genre at the time, ensured women the space of manoeuvre where they could escape more easily from under the supervision of patriarchal values. The appearance of a large number of female novelists must also be connected to the appearance of the actress and the female director on the English stages through the edict of Charles II from 1660. The female performance as an actor and also as a director facilitated the proliferation of female authors as these three roles were often performed by one and the same person in the theatrical arrangements of the time. Female authorship as the public performance of a personal creative drive was spurred by the appearance of British women on the stage. It is, therefore, not a coincidence or a random fact that Eliza Haywood and Elisabeth Inchbald were both novelists and playwrights.

Another peculiarity of the British Enlightenment female authors is the importance of the paratext. These writers' ideas about their authorial performance were presented in the paratextual components of their novel. Without a close study of the politics of the paratextual apparatus, we cannot pretend to understand all the complexity of female authorship during the Enlightenment. The careful study of the multifarious prefaces, forewords, introductions, or editor's word shows that sometimes there is a difference between the ideas expressed in the paratextual apparatus and the content of the novel. The paratext is sometimes the space for expressing more un-orthodox ideas. On the contrary, the novel follows the precepts and the tenets of the conformist behaviour more closely and rigorously. The relationship between the text and the paratext in Elizabeth Inchald's *Simple Story* is exemplary in this respect.

The eighteenth-century novel has two dominant ideas: happiness and knowledge. How do British female authors deal with these ideas? Of course, matrimonial happiness is the great prize offered to the obedient and conformist heroine. Most eighteenth-century female authored novels are stories about getting a good husband and constructing a universe of personal happiness. Another important tenet of the eighteenth-century novel is knowledge. Knowledge and education are important for the female novelists as subversive tools against the blind conformity to the traditional gender roles. Female authors pretend that they want to conquer the public space in order to educate women readers to fulfill their roles in the private space better. But the very exercise of authorship contradicts these traditional roles because they presume the speaking authorial subject, a provocation to the silent and passive female model.

An evaluation of the female British authors must also refer to the French Enlightenment because of the centrality of French culture in the eighteenth century.

The French style was *the* style of the century. British authors were influenced by the calmer political atmosphere and by the more conformist ethical models. The French Enlightenment was the greatest rift of the time. The British had more time and leisure to focus on moral issues and to explore the interiority of their souls. We must also add at this point the influence of Puritan ethics and the Puritan quest for salvation and signs of salvation in this life. This will lead to a more intense preoccupation of British authors for moral issues. For women writers, this means a more powerful pressure of the models of virtue and respectability which affected the authorial performance.

One way to avoid this pressure directly was anonymity. During the eighteenth century anonymity was not typical of women authors only, but it was adopted by women authors much more often than men, as a protective strategy. Particularly for women, authorship became a site of conflict and also of anxious negotiation between the official authority and the personal authority. Impulses of resistance and revision inscribed female authorship. The eighteenth century culture was still close to the culture of the spoken word – when the storyteller was both the author and the narrator of the story – therefore, the importance of the signature dwindled as the work was supposedly written by a narrator or by a set of characters. The author's anonymity was also connected to the Enlightenment idea of rational authority, the status of the writer being considered less important than her argument. Signing as Mrs. ... was often another strategy to deflect authority. *Mrs.* underlined the patriarchal lines of descent, women being constructed primarily as relational beings and not as autonomous members of social body.

One might argue against the aggressive naming policy of modern European authorship that, once written, a text has fulfilled his destiny.⁴¹ European Enlightenment women authors often did that. They wrote hoping in this transcendental destiny in order to avoid the oppressing reality they lived in. Thus they were made to forget the Western authorial logic that the circulation and the valorization of the text are absolutely necessary and most often the very reason of the existence of the text. Women were significantly “obliged” to adopt a more exotic, marginal (meaning not Western) stance: the Oriental ethics. Everything is the deed, the act, and not its fruit. The veiled author, the translator is also another strategy to enter the Republic of letters surreptitiously without disturbing prejudice too much.

⁴¹ Dan Ciachir, “Odată scris, un text și-a împlinit destinul.” *Luciditate și nostalgie*. Iași: Institutul European, 1996, p. 43: “Pentru că odată scris, un text și-a împlinit destinul; dacă circulă sau nu e mai puțin important.” Writing is more important than the possible or impossible cultural career of the text. “A socoti însă că un text și-a împlinit destinul în momentul în care a fost încheiat, înseamnă a-i acorda o valoare existențială; a-l socoti un act de trăire, de autenticitate, de spovedanie: penitentul se confesează pentru el însuși, nu pentru duhovnic. Cartea sau pagina respectivă nu sunt zămislite în vederea unei finalități culturale programatice (“exegi monumentum”) ci *devin* cultură. Pot foarte bine să nu devină; acesta fiind un al doilea act în destinul unui text; act care nu mai este responsabil pentru autorul lui.”

Therefore, the attraction and the tension between the anonymous pen and the female pen⁴² made a lot for the ambiguity of the presence of female authorship during the Enlightenment.

But more than any theorizing, probably the best way to illustrate the difference between male and female authorship during the Enlightenment is to let the writers themselves speak. If Fielding conceives of the essence of his authorship as penetration into the minds of the others,⁴³ for his sister, Sarah Fielding, the approach is from the inside, and as immanent as femaleness.⁴⁴ And to give the final touch, here was Samuel Richardson's all encompassing appreciation. Significantly, it comes from a writer where the sexuality of the text and textuality of sex reveal that delicate feminine perception can also come from a male author.⁴⁵

The above considerations on female authorship during the Enlightenment entitle us to agree completely with Barker and Chalus that gender is a central organizing pattern in the construction of any historical time, and in the construction of the Enlightenment as well. Therefore, if we accept gender as a useful category of analysis it is obvious that our understanding of the Enlightenment changes. And giving prominence to the female, feminine or feminist writerly manifestations we will make the margin become the center of a new approach that entails a new understanding not only of women but also of what being human means.

The problems discussed in connection with the British Enlightenment are important not only for a historical study, but also for contemporary writers. A good example in this respect is the literary confession of Ana Blandiana, a famous contemporary Romanian poet. Blandiana prefers a gender blind approach to the effervescent creative writing.⁴⁶ In her opinion, poetry presupposes an overdetermination beyond gender. A true

⁴² Ernst Robert Curtius includes in his book ("Le symbolisme du livre," *La littérature européenne et le Moyen Âge latin*. Trans. Jean Bréjoux. Paris: PUF, 1956, p. 422) this beautiful story which metaphorically expresses this predicament and gives misogyny at least an aesthetic shape, if no moral justification. "Abenhayun célèbre à Séville la beauté de celle qu'il aime: Est-ce que tout ce blanc signifie que tu m'accordes tes faveurs et ces points noirs sont-ils des signes de ta froideur? – Elle répondit: Mon père est écrivain des rois, et quand je m'approchais de lui pour lui prouver mon amour filial, il avait peur que je puisse découvrir le secret de l'écriture, et secouant mon plume, il aspergeait d'encre mon visage."

⁴³ "The only ways by which we can come at any knowledge of what passes in the minds of others, are their words and actions, the latter of which hath by the wiser part of mankind been chiefly depended on, as the surer and more infatigable guide" (Apud Allot, p. 275, Henry Fielding. "The Champion" 11 December, 1739).

⁴⁴ "The motives to actions, and the inward turns of the mind, seem in our opinion more necessary to be known than the actions themselves; and much rather would we choose that our readers should clearly understand what our principal actors think, than what they do" (Allot, p. 275, Sarah Fielding. "Preface to *The Cry*, 1754)

⁴⁵ "I have just gone through your two vols. of Letters. Have re-perused them with great pleasure, and found many new beauties in them. What a knowledge of the human heart! Well might a critical judge of writing say, as he did to me, that your late brother's knowledge of it was not (fine writer as he was) comparable to yours. His was but as the knowledge of the outside of a clock-work machine, while yours was that of all the finer springs and movements of the inside" (Apud Allot, p. 275, Samuel Richardson. "Letter to Sarah Fielding, 7 December, 1756, Correspondence, 1804).

⁴⁶ "Scriitor nu este cel ce scrie, este cel care se exprimă cu ajutorul scrisului" (9).

poet is he or she who is beyond his terrestrial and gendered determination.⁴⁷ The eighteenth-century discussions about female authorship, therefore, are not dated. The problem is still topical as one of the most important and gifted Romanian writers is still not convinced that it is worth taking her gender into any creative consideration. Let us hope for better!

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⁴⁷ "Despre poezia feminină nu se poate vorbi pentru simplul motiv că poezia e feminină. Poezia este unul dintre acele puține cuvinte cărora sensul absolut nu le permite determinante. ...Totul a provenit, probabil, dintr-o lipsă de misoginism necesar. Nu s-a înțeles că nu poate ajunge la artă decât o femeie care și-a depășit condiția de femeie, așa cum nu poate ajunge la artă decât un bărbat care și-a depășit condiția de bărbat" (49).

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THE PLACE OF IRISH LANDSCAPE IN THE POETRY OF WILLIAM BUTLER YEATS

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ABSTRACT. The study focuses on the values of landscape in W. B. Yeats's poetry. While the author is aware of the extraordinary complexity of Yeats's work, the focused analysis offers important conclusions. Thus Yeats's descriptive insistence on the Irish landscape, the divided roles of the rural versus the urban, the imaginary and the real, all these aspects point towards a desire to merge with the native Irish landscape, with the climactic moment of the final poem, with a testamentary value.

The literary work of William Butler Yeats nominally belongs to two literary spaces and traditions. This is not a singular case in the works of writers in English. The same happens with the poetry of T.S. Eliot or Ezra Pound, belonging to both American and British traditions, or the work of James Joyce, both Irish and English. Without trying to take a stand for one or the other of their respective traditions, we can, nevertheless, notice that the works of all of these writers are enhanced by their belonging to different spaces.

Of all the works mentioned, it is Yeats's work that covers the longest period of time. His publishing life spans forty years, since 1889 until his death, in 1939. This is a time of unprecedented social and economic changes in world history and, more particularly, in Irish history. It is the time when we can actually speak of the existence of an Irish state.

Moreover the spatial and temporal dimensions are further complicated by the versatility of the poet's spirit, the continuous metamorphoses of his diction, his psychological complexity, the permanent restlessness of his spirit, its inexhaustible search. The result of this is an unusually complex work. It is, in fact, the most complex 20th-century poetic work in English.¹

Yeats's complexity is steeped in the blending he achieved between the English literary tradition and the Irish folklore tradition within the Irish space. The purpose of this paper is to examine the presence and the values of this space, as landscape, in his poetry. At his death Yeats left an immense work: fourteen volumes of lyrical poetry, long narrative poems, an impressive corpus of plays, several volumes of literary essays and memoirs, volumes of stories and legends. He also left a very strange book – *A Vision* – a combination of philosophy, mysticism and autobiography, which he claims to have written as automatic dictation, presenting his world vision in a schematic and symbolic

¹ The consensus reached regarding this view is illustrated by the commentary of *The Norton Anthology of English Literature* (Abrams, 2000: 2088)

manner. The fourteen volumes of poetry were submitted to a continuous process of revision and, by the end of his lifetime, Yeats had composed the poetic volume that he wanted to leave his posterity: *The Collected Poems of W. B. Yeats*. It is on this volume that Yeats meant to leave his posterity that I intend to focus here.

The perception and representation of landscape in poetry are a function of the literary trend that they belong to. In spite of the fact that Yeats's most outstanding work belongs to "High Modernism", that is to say the first two decades of the 20th century, his poetry itself is dominated by two important artistic trends that have several points of contact and continuation between them: romanticism and symbolism. Yeats's poetry can be considered under the double sign of these two series, either in their limited sense of artistic trends dominating a certain historical period, or in the broader sense of a vision of the world.

The first issue to be solved by Irish writers when they start writing is the language of their work, either English or Irish. The risk – and sometimes the choice – of assimilation to English literature results in the perception of these writers, such as Jonathan Swift, Oliver Goldsmith, Oscar Wilde, to mention only a few of the literary ancestors of W. B. Yeats, as outsiders to Irish literature. Yeats himself was aware that by writing in English he was going to endorse an English literary tradition as well. It is therefore symptomatic that he opens his *Collected Poems* in the English pastoral tradition of the Renaissance, of Sidney and Spenser. 'The Song of the Happy Shepherd' starts the volume by a funeral announcement, namely, the death of the artificial Arcadian landscape:

The woods of Arcady are dead
And over is their antique joy.

In fact, the fictional landscape is completely made up of similar images:

There is a grave
Where daffodils and lilies wave, [...]
Buried under the sleepy ground [...]
Walking ghostly in the dew.

All these images of literary nostalgia are completed, in this poem and its sequel, 'The Sad Shepherd', by vague images of symbolist extraction: 'the gleaming [...] humming sands, where windy surges wend', 'dim sea', 'in a far-off gentle valley'. 'Ephemera' is one of the few Yeatsian poems where nostalgia blends with sadness, in an atmosphere of suppressed pessimism, similar to the poetry of Thomas Hardy: the shore of the lake, the dead leaves, the woods around, the yellow leaves.

The landscape created by this highly musical poem has the emblematic value of universal dejection. Several decades later, Eliot was going to attack this kind of poetry, which turns landscape into a passive receiver of human feelings. It is in this line of thought that he speaks about Hardy's poetry: 'landscape is a passive creature which lends itself to an author's mood' (Eliot, 1953:196). This is not far from the concept of 'pathetic fallacy' that Ruskin applies to romantic poetry (qtd. in Abrams, 2000: 1430-2). Quite surprisingly, Yeats includes in the same volume the impressive

poem 'The Stolen Child'. In this poem of folklore inspiration the child is stolen by the fairies that dwell in the Irish landscape, an insular landscape made of rocky mountains and a lake inhabited by the Irish creatures and vegetation, by herons and sleepy water-rats, by strange fruits and leaves:

Where dips the rocky highland
 Of Sleuth wood in the lake,
 There lies a leafy island
 Where flappy herons wake
 The drowsy water-rats; [...]

 Where the wave of moonlight glosses
 The dim grey sands with light,
 Far off by furthest Rosses [...]

 Where the wandering water gushes
 From the hills above Glen-Car,
 In pools among the rushes
 That scarce could bathe a star
 We seek for slumbering trout [...]

 From ferns that drop their tears
 Over the young streams.

This landscape is heavily indebted to his childhood area around Sligo, in the north-west of the island. The quality of the landscape is as eerie as that of the stealing fairies. The ending of the poem presents the same scenery, but the voice is divested of its lyrical quality. The changed tonality presents the future nostalgia of the child who is going to be deprived of his natural surroundings. This is accomplished by a shift in perspective, which is now directed from the 'warm hillside', sheltering the domestic animals, towards the quiet dwelling of the child. It can be said that it is in this poem that the family dwelling-place appears as a space of peace and equilibrium in Yeats's poetry for the first time. But the characteristic of this type of *fin-de-siècle* nostalgia, makes it appear as a lost space, which translates in the use of the simple future tense: 'He'll hear no more the lowing [...] or see the brown mice bob'.

This is also the time of his ample narrative poem *The Wanderings of Oisín*, about which he says, in a note at the end of the volume: 'my subject became Irish.' (Yeats, 1956: 447). *The Wanderings of Oisín* are based on an Irish medieval legend that tells about the voyage of the hero to the land of youth, Tirnanog; Yeats multiplies the number of voyages by three. This is how the hero and his companion get to three islands: that of youth, of war, of forgetfulness. Oisín leaves his homeland to get to these islands and, three hundred years later, he returns home. Although the poem focuses on the wanderings in Yeats's poem, an analysis of the landscape brings out the concentration of the descriptive interest on the native island. It matches the descriptive interest at the opening of 'The Stolen Child'. The same interest for the native landscape at Oisín's homecoming moment. Moreover, in this legend that combines elements of

the heroic deeds of the tribe of Finn with the appearance of Christianity, the landscape of the native island is dotted with churches that dominate the ancestral pagan cairns.

While working in the line of the English Romantic poetic tradition, Yeats undergoes the influence of French Symbolist poetry at the end of the 19th century. He is exposed to the work of his friend, Arthur Symons, *The Symbolist Movement in Literature*, written in 1889 (qtd. in Foster, 1998: 139). The volume *The Rose* is written under the impact of what Yeats assimilated from this book and the mysticism that he was pondering on at the moment and he felt attracted to all his life. Nevertheless even at this time, in his most successful poems the Irish source remains the strongest, especially in the case of landscape. A poem like 'The Lake Isle of Innisfree' creates an imaginary paradise, projection of the desire to reach this place:

I will arise and go now, and go to Innisfree
And a small cabin build there, of clay and wattles made.

The paradise he craves, made up of the fauna and vegetation of the west, contrasts with the contemporary scenery of 'the roadway', 'the pavement grey', that is to say, it opposes the rural isolated landscape to the crowded urban scenery of London, where he was at the time of the composition. Moreover, a note should be made of the image of the author as builder within this paradisiacal composition. ('build there') This concern of the builder is reinforced by the urge to name the places that he mentions or describes in his poetry. In this respect, it should be mentioned that in the next volume, *The Wind Among the Reeds*, of 1899, Yeats offers footnotes that should guarantee the accurate pronunciation of the Celtic names he makes use of. In this way he deems it necessary to mention that 'Mocharabuiee' is pronounced 'Mockrabwee' (Yeats, 1956: 71). Yeats's poetry promotes the real place names that, all along his career, were essential to the artist. By this, it distances itself from modernist precepts that uphold a poetry detached from the biographical element, in the name of the impersonality of art. At the same time, Yeats invests these places with a symbolic value.

The three volumes at the beginning of the 20th century shift towards a starker poetic language, both more colloquial and more self-assured. This is the time when he gets involved in the political life of Ireland. He sees a chance for the salvation of Ireland through the cultural elevation of the people – that is how he gets absorbed in the creation of an Irish theatre in Dublin – while at the same time he fears and detests the wild character of the mob. On a personal level, he mistrusts a possible dissipation of his balanced life, lived in a lordly ideal. And the "Seven Woods" --title of the 1904 volume – are just such lordly woods.

This complication in his position is further developed by his difficult relationship with the woman he loved and who obsessed him all his life, Maud Gonne. Besides the fact that she did not share the deep love the poet had for her, Maud Gonne was a fervent patriot, vowing a bitter fight against British domination. In this context it is interesting to see how Yeats uses the elements of landscape to speak about his inner struggle.

His opposition to the erratic, uncontrolled movements of the mob appears in these volumes by means of images of contempt for the urban landscape, presented

through litotes ('the little streets'). At the same time, Helen of Troy is substituted to his beloved in 'No Second Troy'. So there are the little streets of the contemporary Irish town that do not correspond to the mythical dimensions of his beloved, who does not have 'another Troy for her to burn'. This twisted justification that should 'hurl the little streets against the great', for lack of a fortress, remains – fortunately - ambiguous.

His disappointment with an Ireland of the middle classes is best expressed in the poem 'September 1913', in which the refrain "Romantic Ireland is dead and and gone" is set in contrast with the sarcastic choice of his favourite urban landscape of the 'counters'.

This is a period in which Yeats embraces an ever more radical, arrogant, anti-democratic position. The poet comes across Paudeen, contemptuous nickname of the patronym Patrick, in his old shop; the landscape that surrounds the latter is dry and sterile, the reasonable light of day irritates Yeats:

Our old Paudeen in his shop, I stumbled blind
Among stones and thorn-trees, under the morning light.

The same petty spirit of the 'town' appears in the poem 'To a Shade', dedicated to Parnell, the fighter for the Irish cause who had died, after a lifetime that had divided the Irish between anti- and pro-Parnellites, disappointed by his compatriots. This time it is the idea of the monument of Parnell that stirs Yeats's bitter sarcasm. There is a contrast between the petty town and the freedom of the sea, but also between the petty town and the majestic abodes that acquire personification:

If you have revisited the town, thin Shade,
Whether to look upon your monument
(I wonder if the builders have been paid).

A parallel can be made between the figure of the builder of Innisfree and these builders who have not been paid by the little people of the town.²

More and more, Yeats finds his ideal in an alliance of the real and the symbolic in his association with Lady Augusta Gregory, who translates Celtic legends and shares his interest for the theatre, and whose domain at Coole Park he visits quite often. It is at Coole Park that Yeats finds ideal beauty. The park is the symbol of order, stability, of a family's genealogy. On this domain life acquires a ritual character.³ In the poem that gives the title to the volume *The Wild Swans at Coole*, of 1919, the landscape composed of 'trees', 'woodland paths', the 'lake', the 'still sky', the 'rushes', 'the pool', that surround the swans, acquires the symbolic force and beauty of an aesthetic object, comparable to Keats's Grecian urn, that is to say, a standard for the still beauty of art as compared to the transitory character of life.

It is about this time that the poet receives an old Norman tower on the property of Lady Gregory, which he turns into his residence. The tower and, within it, the winding stair, will become crucial symbols of his poetry as well as of his

² One can notice the attitude that Yeats manifests at this period towards the little people of towns, similar to that of Joyce, at the same time, towards the people of Dublin.

³ This ritual character of the park and its stability was similarly perceived by the other great modernist poet of the 20th century, T. S. Eliot, in his symbolic descriptions of the first *Quartet*, *Burnt Norton*.

symbolic system of philosophy and mysticism, as they are explained in *A Vision*. And this appropriation is completed by the founding gesture of naming the tower, which becomes 'Thoor Ballylee'.

'To the Memory of Major Robert Gregory', an elegy for Lady Gregory's son, major Gregory, who died as an airplane pilot in his mission during the First World War, is centered on the love of the late major for his domain. In fact, it is a eulogy of his capacity to perceive landscape in an aristocratic and artistic manner. The late major is a hunter galloping among castles as well as a painter:

We dreamed that a great painter had been born
To cold Clare rock and Galway rock and thorn,
To that stern colour and delicate line
That are our secret discipline
Wherein the gazing heart doubles her might.

(As a matter of fact, Yeats himself was the son of a painter and had had artistic ambitions in his youth.)

Besides the aristocratic world and its corresponding landscape, the lordly house and the park, Yeats only accepts one other social category, the fisherman, with his immutable landscape. In the poem 'The Fisherman', the latter is presented in his stark landscape and simple dignity:

A grey place on a hill
In grey Connemara clothes.

In the atmosphere of Coole Park and under the influence of events, the arrogant attitude of the poet becomes chastised, more moderate and wiser. Although he still believes that townspeople are vulgar, he does attempt to apologize for his judgmental attitude.

The Irish revolt of 1916, which fails and results in the execution of its leaders, including the husband of his beloved Maud Gonne, is the occasion for a poetry that is touching through its humbled attitude. In the poem 'Easter 1916' Yeats picks up again the images of the counter, the little streets he had used in his former poetry:

Counter or desk among grey
Eighteenth-century houses.

The finale of the poem, elegiac and meditative, turns around the symbol of the stone, with its contradictory qualities of duration and stability, on the one hand, of death and mortality, on the other hand. Stone, as a palpable element of building, will remain from now on the central image in Yeats's poetry. The feeling of quiet balance invoked, rather than felt, becomes more convincing after the birth of the poet's children. It will be the period when his sense of fatherhood combines with his sense of becoming a founder. In the poem 'A Prayer for My Daughter' he describes the domain of Lady Gregory as a fortress besieged by the tempests of the Atlantic:

[...] There is no obstacle
But Gregory's wood and one bare hill
Whereby the haystack- and the roof-levelling wind,
Bred of the Atlantic, can be stayed.

All values are menaced by these murdering winds of the Atlantic. The idea of the house becomes one with that of love, customs, ceremonies; they are set in contrast with the arrogance and hatred 'peddled in the thoroughfares':

And may her bridegroom bring her to a house
Where all's accustomed, ceremonious
For arrogance and hatred are the wares
Peddled in the thoroughfares.

This volume of 1921 ends on an inscription that the poet wants to set in stone, at Thoor Ballylee:

I, the poet William Yeats
With old mill boards and sea-green slates,
And smithy work from the Gort forge,
Restored this tower for my wife George;
And may these characters remain
When all is ruin once again.

Thus in the conclusion of this volume, stone acquires the extra power of the sheet of paper that should receive the personality of the artist.

In 1922, Ireland becomes an independent state and Yeats becomes senator of the state. In 1923, he receives the Nobel Prize for literature. This might seem to indicate that his *work* is now *complete*. Nevertheless, it is after these climactic historical and personal moments that his most important artistic work will be issued. These are the grandiose volumes *The Tower*, of 1928, and *The Winding Stair and Other Poems*, of 1933. As far as the landscape is concerned each of these two volumes unfolds under a polar vision: on the one hand, the ample spaces dedicated to the 'Yeatsian' landscapes, manors, towers, parks, castles, bridges; on the other hand there surges the symbolic space of the medieval Byzantium.

The title poem of the volume *The Tower* uses the juxtaposed images of the foundations of the tower and that of the roots of the tree as the point on which the poet's eyes are focussed and from which, consequently, his vision will move upwards. The stare directed towards the foundations comes from the dominating, lord-like figure placed on the Norman battlements:

I pace upon the battlements and stare
On the foundations of a house, or where
Tree, like a sooty finger, starts from the earth.

The relatively reduced landscape references of the title poem, 'The Tower', come back with a vengeance in the next, ample poem, 'Meditations in Time of Civil War'. "The poems were written in Thoor Ballylee in 1922, during the civil war", according to Yeats's avowal. (qtd. in Rosenthal, 1952: 218). This meditation on the bitterest of strifes finds in the subtitles of its parts enduring points of stability: 'Ancestral Houses', 'My House', 'My Table', 'The Road to My Door', 'The Stare's Nest by my Window', as many perspectives starting from the same reality. These counterparts of stability are enriched by an awareness of the psychological complexity that these

buildings contain. Noble beauty is itself the result of the desire to overcome the violence of the masters who had them built:

Some violent bitter man, some powerful man,
 Called architect and artist in, that they,
 Bitter and violent men, might rear in stone
 The sweetness that all longed for night and day,
 The gentleness none there had ever known.

In the lines above Yeats creates for the first time a distance between the idea of the lord and that of the architect and builder. The love of the artist goes into the descriptive details of these sumptuous ‘ancestral houses’:

[..] the glory of the escutcheoned doors,
 And building that a haughtier age designed,
 The pacing to and fro on polished floors,
 Amid great chambers and great galleries, lined,
 With famous portraits of our ancestors.

This new psychological subtlety allows Yeats to take a distance from himself and gain a quasi-ironic perspective on the others’ perception of him. At the end of the volume *The Tower* the idea of the house takes on Biblical proportions, similar to that of heaven:

Immense miraculous house
 The Bible promised us.

It is rare that an artist should arrive at such an overlapping of the real description of a landscape and its symbolic value. The last quotation belongs to the last poem of the volume, ‘All Souls’ Night’, which is also the ‘Epilogue’ to *A Vision*. Most fittingly, the dominating image of the builder’s skill should also conclude the volume of the poet’s prose meditation.

The poetry of *The Tower* is dominated by this symbolic masculine figure of violence, while the poetry of the *Winding Stair* is dominated by the artistic, feminine, sinuous figure.

The first poem of the volume, ‘In Memory of Eva Gore Booth and Con Markiewicz’, dedicated to two female figures that loomed large in his biography and in Irish history, opens on an enchanted, quiet scenery in a recognizable Irish location, Lissadell, in ‘that old Georgian mansion’:

The light of evening, Lissadell,
 Great windows open to the south.

The opening poem of this volume enriches the aristocratic elements of ‘that old Georgian mansion’ by an aristocratic element of landscape gardening, which does, itself, bear a symbolic quality:

We the great gazebo built.

At the end the overlapping is so perfect that Yeats ceases to worry about the symbolic distance and exclaims in the poem ‘Blood and the Moon’:

Is every modern nation like the tower
 Half dead at the top?

(after the phrase had appeared, in the same poem in 'a time/ Half dead at the top'). Yeats himself offers an explanation of this closeness between image and symbol:

"Part of the symbolism... was suggested by the fact that Thoor Ballylee has a waste room at the top and the butterflies come in through the loopholes and die against the window-panes" (qtd. in Rosenthal, 1962: 219)

In the following poems, especially in 'Coole Park and Ballylee, 1931', the landscape descriptions themselves turn into poetry. Without worrying about modernist precepts, in a nostalgic challenge, the poet exclaims:

"We were the last romantics – chose for theme
Traditional sanctity and loveliness."

In the volume *Last Poems*, in 'The Municipal Gallery Revisited', he looks at the portraits of his friends - lovers and creators of art - and thinks about their relationship with the land:

John Synge, I and Augusta Gregory, thought
All that we did, all that we said or sang
Must come from contact with the soil, from that
Contact everything Antaeus-like grew strong [...]
Dream of the noble and the beggarman.

The last poem of *Collected Poems* is the epitaph that Yeats composed for himself, which was, after his death, carved in the stone of his village of Sligo, at Drumcliff.

Under Ben-Bulben's head
In Drumcliff churchyard Yeats is laid.
An ancestor – a church stands near,
By the road the ancient cross.
No marble, no conventional phrase
On limestone quarries near the spot
By his command these words are cut:
Cast a cold eye
On life, on death,
Horseman pass by.

This is the final perfection. After writing words inspired by the landscape, the poetry of Yeats becomes a part of this landscape. The stone turns into poetry, the written last will and testament blends into the tombstone. It contains all the landscapes that the poet passed through, from the artificial woods of Arcady, to the lake Isle of Innisfree, to the imperial space of Byzantium, to the haughty mountain Ben-Bulben.

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THE IMAGE OF THE 18TH CENTURY AS PERCEIVED BY THE ROMANIAN CRITIQUE ON VOLTAIRE'S WORK

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RESÛMEE. Das Verhältnis zwischen „Age“ und „Representation“ war das Thema eines Kolloquiums, das im November 2001 in Atlanta, USA, stattfand. Damals, wie auch heute, hat einerseits der Unterschied zwischen den beiden dem Werk von Voltaire entgegengebrachten Konzepten unser Interesse geweckt, andererseits gilt es auch der Wahrnehmung der durch Voltaires Werk gestalteten Epoche in einer Kritik französischer Herkunft, die wir als „symbolisch“ betrachten, sowie in einigen kritischen rumänischen Beiträgen, die wir als „deskriptiv“ einschätzen.

Reasoning

The first question we have tried to answer in our article was: what kind of connection can be established between *Age* and *Representation* and, most of all, what relevance the link between the two terms has for modern French literature? We assumed that we might sustain a symbolic dimension of the first term and an esthetical one regarding the second term. There might be a symbolic recurrence of the idea of time, a representation of the general historical temporality, and one of the human temporality to the extent to which the artistic representation would be perceived as the extension of the human consciousness over reality. As for *Age* the symbolic dimension would emerge through repeated readings, following Riffatere's tradition, we assumed that, as far as *Representation* is concerned, there must be a starting point in the history of the approaches to modern French literature and, consequently, we dwelt upon a long period of interpretation of Voltaire's works. Therefore, we found it necessary to create a construction that enables us to perpetually question Voltaire's works with the intention to reveal the way it is perceived as a representation of a particular period, either in a subjective or in an objective manner.

The Representation. The Symbolic Criticism

The French researches on Voltaire's works that we used, indicate, especially for the last half of the 20th century, a common concern for aspects regarding form and structure, then an interest in the linguistic practices marked by ambivalence, and, at the same time, a concern for the figures of speech, for fiction taken as basis of the narrative speech; generally, these perspectives start from Voltaire to establish new directions for studying the affectivity of the language, to make a difference between “form” and “structure”, between “fiction” and “diction” or to exemplify through Voltaire's works “a history of the linguistic feeling in the 18th century”.

All this interest is particularly applied to one single work, *Le traité sur la tolérance/Treatise on Tolerance* (Brouard-Arends, 1999, van Cruyten-André, 1999, Renwick, 1999, Tritter, 1999, Bessire, 2000, Cotoni, 2000 etc.). The questions concerning the content that can be underlined by the use of a symbolic vocabulary characteristic of Voltaire's, are found in fewer interpretations (Hazard, 1946, Ricoeur, 1983, Richardot, 1999). Regarding rather the style, than the ideas, *Candide* rises Starobinski's and Saint-Gerands' interest.

A theory of representation in connection with a time whose image is rendered by Voltaire in *The Age of Louis XIV* does not seem to have been of interest to the extent of becoming obvious, at least in a recurrence of the titles. The idea of "representation" seems to have tempted mostly those who referred to *The Age of Charles XII, King of Sweden* or to *History of the Russian Empire under Peter the Great*. Paul Hazard (1946) is interested, first of all, in a 'vocabulary' that represented the standard for the general judgment upon the Enlightenment. It is known that this vocabulary expresses the essential concepts of the Enlightenment philosophy and it is made of symbol-words out of which reason and consciousness prevail. By using them, Hazard defines the 17th century as a time of crisis in the European consciousness, and the 18th century as a period of the human nature metamorphoses at an extremely important moment, that of the human being's growth, maturation and manifestations of the will to come out from its childhood and from any kind of tutelage. Life, the human being, education, morals, science, history become objects of this symbolic vocabulary used by "la critique universelle" that appears as a way to represent or to talk about *une époque* that was, in Hazard's view, obsessed with a few particularly recurrent ideas, having the same form and the same development, as if they had never been sure, as if they had never convinced enough (Hazard, 1946).

The Representation. The Romanian Criticism

Either contemporary to the French criticism or, we have to admit it, sometimes only an echo of it, the Romanian criticism applied to Voltaire's works operates with a set of concepts that may be more reduced, but, at the same time, perhaps more diverse if we consider the various manifestations of every concept in the critical vocabulary. In the sequence of the concepts used in the interpretations of the 18th century's literary phenomena, the Romanian criticism is not, in fact, much more different from what we can find in Paul Hazard. From the early approaches to the contemporary ones, the critical concepts include terms like: epoch, life, century, history, historical, adventure of knowledge etc.

Rather preoccupied to capture Voltaire's personality than the image of his epoch, the Romanian critique focuses firstly, in a monographic manner, on the personality whose correspondence is sufficient for representing a century in its more intimate details.

The Age

The first Romanian attempts to approach Voltaire are made in a monographic manner. The need to talk about his epoch before talking about Voltaire and the references to his age are a permanent presence in such a critical act.

The first Romanian monograph dedicated to Voltaire, that of Tudor Vianu, establishes from the very beginning a connection between epoch and personality; the reference to Voltaire is preceded in Vianu's monograph by the need to "narrate his life", to "analyze the ideas of one of the most amazing people of his time", and to add that he was of a profound intelligence, a philosopher and a poet, a fierce opponent to many injustices, a fighter for all those ideals that have not lost their topicality to this day. (Vianu, 1972).

In the introductory chapter from a subsequent monograph dedicated to Voltaire, Silvian Iosifescu (Cf. *Voltaire*, 1983) feels the same need to insert a rediscovery of the age to which the author of *Candide* echoes. *Les visages de l'époque*, as Silvian Iosifescu asserts, are beings with an identity that can be outlined only to the extent to which their names imply facts that a real history might have remembered as extraordinary.

One may say that the monographic perspective proposes a point of view regarding the importance of the personality during the age rather than a connection between the period and the manner in which it is represented. But not only the monographic approach can be suspected to deal with the connection between personality and epoch in these terms.

Every time Voltaire is approached there appears the idea that, in fact, his portrait emerges as the image of an age; the feeling that it deals with an age, and not with a person, that the features of a personality are the symbol of an epoch, is obvious in any situation, even though it is simply a biography or a debate upon *Le traité sur la tolérance/Treatise on Tolerance*, or any other of Voltaire's writings.

The temptation to equalize a portrait with the representation of an age is present with Al. George, too, when he publishes the Romanian version of *Le siècle de Louis XIV./The Age of Louis XIV.* Al. George places Voltaire's biography, a detailed one, in the preface to the Romanian version of the work on Louis XIV; this temptation is the expression of an attempt to understand Voltaire's age through the events of his own life.

Actually, the conviction that "Age and Representation" is a phrase where the first term designates the object and the second one the practice through which, in this case, modern French literature builds "the image of the designated object", made us search for "an epoch" in two different cultures. On the one hand this epoch aroused a permanent interest and equivalent critical concepts were used in its representation; on the other hand, in approaching Voltaire from the angle of two cultures, we identified "scenes from the epoch" expressed in two cultural codes by using defined literary ideologies.

It is important to underline that there is a particular difference in representing one and the same cultural object. That is why we considered *in extenso* two "scenes" from the 18th century appearing in the Romanian monographic criticism and, instead of a conclusion, we consider that the ideology, be it literary or of any other kind, is able to give a cultural "object" an "identity" it probably had never possessed.

The General Aspects of an Age and the Private Life

Indeed, *the general aspects of an epoch and the private life* of one of its greatest personalities are essential elements in the process of representation. The general aspects of the epoch may be rendered by reference to the events concerning the life of a personality. Voltaire's epoch appears, in Vianu's survey, as a sum of facts that apparently have nothing in common with the life of the great man:

- *the facts* belong to an uprising social class, "an active, rich and educated class" that "has perpetually enlarged its prosperity and culture", and used to see its "uprising route always disturbed by the aristocracy, which preserved the leading positions in the state and sometimes wished to return to the oldest forms of feudalism"(Vianu, 1972, 6).

- *the facts* imply, on the one hand, a reminiscence, and on the other offer new elements that will determine the development of a new society. As for the reminiscences Vianu considers that Voltaire's age can be represented by reference to events from the end of the 17th century and the beginning of the 18th.

- historically, these facts develop after the long reign of the "absolutist king, Louis XIV, who has multiplied the public disasters mostly in its final epoch" (Vianu, 1972).

Representing the age according to this perspective means to talk about social classes and categories as well as about their ways of living. Representing the epoch and trying to explain the way in which this representation was made are equivalent to a "social radiography". Consequently, in Vianu's monographic approach to Voltaire's times we find an emblematic page that reveals the end of the 17th century and the beginning of the 18th as a world built on oppositions implying only social explanations: "Mostly concentrated at the court, gratified with many royal mansions, and occupying the higher positions in the army and the church, the French nobility used to live, thanks to a set of fiscal factors, at the antipode of the life depicted by La Bruyere in 1688:

L'on voit certains animaux farouches, des mâles et des femelles, répandus par la campagne, noirs, livides et tout brûlés du soleil, attachés à la terre qu'ils fouillent et qu'ils remuent avec une opiniâtreté invincible; ils ont comme une voix articulée, et quand ils se lèvent sur leurs pieds, ils montrent une face humaine, et en effet ils sont des hommes. Ils se retirent la nuit dans des tanières, où ils vivent de pain noir, d'eau et de racines; ils épargnent aux autres hommes la peine de semer, de labourer et de recueillir pour vivre, et méritent ainsi de ne pas manquer de ce pain qu'ils ont semé.

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We insisted on this way of understanding the representation of an epoch in order to show the consequences a sociological critique may have, for which the epoch is a product including events and social classes, historical facts and positions in an absurdly stratified society. Representing the epoch in this way means to lose sight of the individual - the most important element for the Enlightenment mentality. Such a perception structures the epoch in systems, out of which the most important is that of the political classes, organized on the basis of a juridical system and of a methodical set of beliefs. Not only the way the classes are represented is important

for this kind of critique. We have to add Vianu's remark about the 17th century's law system: "justice was achieved according to decrees and edicts thousands of years old. Judge positions could be bought and they were assigned to some young people recently separated from their childhood" (Vianu, 1972, 8). Justice and beliefs, either arranged or not, are associated at the level of the causes, of the instruments through which the law and the penitence are put into operation for the "cases" the courts, mostly ecclesiastical, reestablish the human or divine truth, according to the deed and to the rank of the guilty person (Vianu, 1972, 9).

The reference to the instruments used by the 18th century law offers to Voltaire's life monographer the opportunity to draw a scene of the epoch "in which death sentences or verdicts for exhausting work are given in God's name, against people who had to be responsible of the crime of atheism, blasphemy, witchcraft or schism" (Vianu, 8). The image presents the 18th century in dark colours; in the galley, "tied in chains, rowing twelve hours a day under the whip blows of their supervisors, working and sleeping on the same bench they were tied to, these poor people were never set free, unless The Maltese Knights would find a Saracen slave who, for a sum of money paid to his family, replaced the convicted Frenchman that had compelled his punishment". The image is completed with the reference to the particular cases about which the monographer says in an impersonal manner that they would have been quoted or extremely commented in the epoch: "they have much debated the case of an unknown maid-servant sentenced to death by hanging", and also the case of "one so-called Jean-Pierre Espinas", who had rowed for twenty three years in galley because of the guilt of having sheltered a Protestant refugee priest. The impersonal account of the events and details that caused so much trouble may be stylistically interpreted as an affective representation; we can, of course, try to explain this preference for the impersonal style in relating such details: we can believe that the representation of the 18th century as it appears in these impersonal transcriptions finds a reason in the ideology of the 20th century.

It is clear for us that in the Romanian criticism there are two manners in representing an age, particularly the 18th century. We called them *monographic* and *essayistic*.

The *monographic* method, we have highlighted above, considers that the age and the personality are in a complete dependence; the image of the age is reflected upon a personality and the events of the epoch appear as causes or motivations for the manifestations of the personality. The critical concepts of this practice are to be found in the realist-naturalist ideology.

The method we called *essayistic* regards, on the one hand, the personality without relating it to the historical and social context, and, on the other hand, (it) partially registers the most important directions in which the personality has manifested itself; from this perspective the interest is in Voltaire, and not in his epoch: Voltaire appears as the source of some poetic images (Călinescu, 1967, 16), as a person with a certain life style, typically English, but without much relevance for the

representation of the epoch (Călinescu, 1967, 65), or as a person who takes part in an adventure (Iosifescu, 1983, 27), which can even be a personal one, or the adventure of knowledge (Călinescu, 1967, 73); he also appears as a new Horatio who laughs at the miracle and rejects, like ancient Horatio, that *timor deorum* seen as a loathsome foolishness (Călinescu, 1967, 133), as a common man who becomes an important and rich person by various speculations (Călinescu, 1967, 286); finally, he is a human in a permanent agony, passing from complaints to the most comic appearance (Călinescu, 1967, 314), and the author of a moral philosophy, resembling that of Marmontel, who thought that the basis of morality is found in every human being (Călinescu, 1967, 315).

We have tried to focus on *representation* as a way of discovering an epoch. We shall conclude by underlining that a confrontation of Paul Hazard's symbolic approach with the *monographic* critique and the *essayistic* one has convinced us that the image of a century is rebuilt retrospectively in diverse manners, according to the literary ideology accepted as basis of the act of reconstructing. The history itself and the image of the 18th century, appear in the Romanian monographic criticism as a set of real facts or claiming veracity. By accepting the symbolic formulae, the image of the same century appears as full of light, filled by people whose only reason for being is happiness. As in both cases a fact of literary ideology is obviously involved, who can say what is the real image of the 18th century?

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LOS JUEGOS DE LA AMBIGÜEDAD. TEXTO Y CONTEXTO EN LA CREACIÓN DE CAMILO JOSÉ CELA

MIRELA IOANA LAZĂR♦

RÉSUMÉ. *Les jeux de l'ambiguïté. Texte et contexte dans la création de Camilo José Cela.* Cet article propose une analyse contextuelle du roman de début - immédiatement après la Guerre civile espagnole - de l'écrivain Camilo José Cela, *La famille de Pascual Duarte* et, en général, de la première période de sa création, afin de mettre en évidence le rapport étroit existant, d'une part, entre la parution et puis l'immense succès d'un livre incommode pour le régime et les techniques textuelles de camouflage utilisées, ainsi que, d'autre part, entre l'attitude souterraine de l'auteur qu'on peut y déceler et son parcours biographique de jeunesse situé sous le signe de l'engagement en faveur de la Falange Espagnole. Engagement qui le mène, après 1939, à servir pour un temps la dictature de Franco. Et qui, par ailleurs, marque le point de départ de l'évolution éthique spectaculaire de celui qui, démocrate reconnu, arrivera à recevoir le Prix "Nobel" de Littérature.

Con sus oleadas de entusiasmo y de confusiones, de ilusiones pronto desengañadas, de violencias y difíciles recuperaciones de un equilibrio más bien deseado que definitiva y completamente logrado entre los grupos - sociales, étnicos o nacionales – integrantes de Europa, el siglo XX nos ha dejado una herencia envenenada, pero nos ha ofrecido también, con este súmmum de historia conflictiva, un amplio campo de observación y análisis. Y la oportunidad de aprender, así, sus severas, implícitas lecciones.

En una sociedad como la europea, las figuras públicas de la cultura son guías y ejemplo para los destinatarios de su obra, a la vez espectadores de su actuación. Un escritor, por ejemplo, influye no sólo por su capacidad particular de plasmar una realidad potencialmente deseable al alcance de cualquier soñador utópico, sino, además, por aquel tipo de poder que proporcionan la visibilidad mediática y la pertenencia a estructuras institucionales o a redes informales que conectan entre ellos a los que supuestamente constituyen la flor y nata de una nación y, por lo tanto, engendran la opinión, el flujo del pensamiento crítico, las corrientes ideológicas, la historia... He aquí las razones por las que se comentan tanto los actos cívicos y políticos de tal o tal personalidad o se llega a inacabables discusiones sobre si hay que tener cuenta o no, más allá de su obra, de la trayectoria biográfica de un autor. Sólo que, para ser un buen escritor – según los criterios estéticos – no sirve un certificado de moralidad. Entonces, ¿cómo juzgar a los artistas y a los intelectuales?, o sea, ¿hay que tomar en consideración, a la hora del balance, al lado de la creación propiamente dicha, la ética de su mensaje o la de la conducta de su autor?, ya que ello llevaría a menudo, en un excesivo impulso de limpieza, a echar el niño con el agua. Y, de hecho, ¿cuáles serían las instancias incorruptas que legitimasen tal juicio?

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Lo que se propone este artículo es mucho menos ambicioso: ilustrar la inevitable relación de interdependencia existente en el marco del acto creador entre la obra y la vida de su autor con un caso significativo, eso es, el de Camilo José Cela, insigne figura de las letras españolas y sobre todo famoso como novelista, y, luego, destacar la importancia de esta relación respecto a la interpretación de tal obra y al impacto producido al nivel del receptor. Y es éste un caso significativo tanto más porque Cela irrumpe en el mundo literario en un período difícil de la historia de España. Por lo tanto, vamos a confrontar su primera novela, una que hará escuela, con el turbio contexto político e ideológico de su gestación y con las circunstancias personales del autor y a seguir la carrera de sus éxitos. De este modo, tendremos una imagen más completa del “fenómeno Cela”¹ que la ofrecida generalmente por una crítica centrada en los textos y carente, pues, de muchas potenciales claves de interpretación, lo que nos facilitará una lectura menos desprevenida, más rica y otramente comprensiva. Lo que no queda sin importancia, dado que a la literatura se le suele considerar, además de un espejo – por deforme que sea – de la sociedad, una proyección ideal de sus afanes y un mundo modélico de todos los posibles.

Camilo José Cela es una presencia que no puede pasar desapercibida por los ojos del que contempla el paisaje literario español a partir de 1942, año de la publicación de su primera novela, al mismo tiempo ya grandísimo éxito, *La familia de Pascual Duarte*². Mas esto no se reduce a las impresiones fuertes que producen la originalidad, la crudeza y la crueldad de su obra, la maestría en el manejo de las técnicas narrativas y del estilo, la singularidad temática y el permanente efectismo; ya que Cela, prolífico autor de novelas, libros de viajes, artículos de prensa, poesía, teatro, ensayos y de un *Diccionario secreto* que recoge las palabras que la pudibundez de la lexicografía se había negado a desglosar, es también una persona a la que le gusta construirse una imagen de sí mismo de la que sabe valerse para dejar pasmado al observador, le gusta contrariar el sentido común, le gusta sobresalir y no ahorra medios ni palabras para conseguirlo. Ha empezado tres carreras académicas, sin acabar ninguna, pero ha cosechado muchísimos títulos de Doctor Honoris Causa en universidades de todo el mundo y el de miembro de la Real Academia Española, los mayores premios de la literatura española y el “Nobel”, además de llegar a ser marqués de Iria Flavia y senador nombrado por el Rey Juan Carlos. Cela es todo un personaje, siempre protagonista, tal vez el más complejo que haya creado y, pues, la más perfecta bomba publicitaria. Claro que su personalidad demostrativa e insolente no habría podido traerle el reconocimiento público de sus méritos artísticos ni hacer de él el jefe de fila de los novelistas españoles de los años 40 y 50, si no hubiese tenido un innegable genio creador; pero el hecho de que sus extraordinarias dotes literarias salen a la luz en una coyuntura nacional singular determina decisiva y

¹ Si para el lector español es posible que “el caso Cela” del que nos vamos a ocupar sea algo bien conocido ya, para el receptor extranjero, rumano, en este caso, Cela, famoso por sus novelas y por el “Nobel”, se ha quedado en un horizonte ideal, por encima de la historia real, lo que, además de incorrecto, resulta pernicioso en un ambiente cultural, por el rumano, en el que están por “digerir” casos similares.

² Cela, Camilo José, *La familia de Pascual Duarte*, Ediciones Destino, Barcelona, 1972

favorablemente todo su recorrido literario y biográfico. Su historia personal, en particular la de los momentos en que está elaborando su primer novela – la cual va a volverse enseguida hito incontornable del género, a acuñar el término «tremendismo» para toda una categoría de textos narrativos similares y a tener 200 ediciones, al ser la más leída y traducida de todas las novelas españolas después de *El Quijote* - parece de algún modo más espectacular que las propuestas en sus obras. Lo que sigue - dichos y actos del escritor relatados por conocidos suyos o atestiguados por documentos que comentaristas de fuste traen como prueba - muestra su estrafalaria trayectoria vital.

En 1942, Camilo José Cela tiene 26 años. España se encuentra todavía herida después de la Guerra civil que, entre 1936-1939, lo había destruido todo, y, en primer lugar, la confianza, la fe, la esperanza de la gente. Derrumbado económicamente y socialmente trastornado, el país trata de sobrevivir al hambre y de reaprender la normalidad de la convivencia. Y, como pasa después de cualquier guerra, la ley la hacen los vencedores, eso es, los «nacionales», el bando del Generalísimo Francisco Franco: los militares, la Iglesia Católica, la Falange Española de los jóvenes de extrema derecha, más otras varias fuerzas nacionalistas, tradicionalistas, conservadoras. Estos grupos de poder, bajo el mando firme del omnipotente «Caudillo», construyen una estructura institucional rígida fuertemente jerarquizada (aunque subvertida por las luchas intestinas) y un sistema político opresivo y represivo para con los vencidos. Como la crema de la cultura española, en su mayor parte, se había encontrado en el bando republicano, una vez acabada la guerra, estos artistas e intelectuales se habían visto obligados a exiliarse - fenómeno de tal amplitud y trascendencia que se ha llegado a denominarlo «la España peregrina» - o a retirarse de la vida pública o bien a colaborar con el régimen o, en algunos casos, a cultivar cautelosamente unas actividades que no molestasen a las autoridades. Quienes quieren escribir – o hacer filmes o teatro – tienen que respetar los estrechos límites que la censura impone a la libertad de expresión, la censura política e ideológica, por una parte, religiosa y moral, por otra, en un Estado dictatorial que se sirve de la mojigatería más ostentosa para reforzar su poder. Pero, además de la escasez de las élites, además de las presiones ideológicas que éstas sufren, la vida española de la inmediata posguerra padece, en este campo, de un mal constitutivo, orgánico: el nuevo ordenamiento político, totalmente desinteresado del valor intrínseco de la cultura, no hace más que alterar su papel y significación, al utilizarla como mero recurso propagandístico. A este propósito, el poder apoya y promueve una ruptura casi absoluta, sin precedente en la historia española, del pasado reciente – demasiado liberal y cosmopolita -, que va de par con unas tentativas, pronto fracasadas, de crear sobre las bases ideológicas que lo fundamentan nuevos contenidos y formas culturales que lo legitimen y sostengan. En estas condiciones de desarrollo artificial, forzado, la cultura se halla al borde del colapso. En cuanto a la narrativa, dedicada, desde 1936, casi en totalidad a reflejar la contienda – en textos minados por una subjetividad vulgar que reduce lo todo a un maniqueísmo absoluto en el cual los enemigos son ni más ni menos que bestias o salvajes -, empiezan a percibirse ya como agotados sus recursos temáticos y estilísticos. Un cambio parece aún más necesario si se toma en consideración el hecho de que en

este momento, a principios de los 40, se intenta restablecer la normalidad de la vida civil y ya resulta molesto para el régimen mantener, en el interior como en el exterior de España, una imagen de incesante lucha. En lo que se refiere a Cela, es evidente, como veremos, que tiene muy buen olfato: un libro como *La familia de Pascual Duarte* es un verdadero dinamitazo y, pues, un éxito seguro.

La novela no trata de nada que tenga relación visible con la política, pero presenta una serie de crímenes y las declaraciones del propio autor de éstas que se sitúa fuera de las normas morales, por lo que parece milagroso que haya podido pasar como tal por el tamiz tupido de la censura. Y aún más: Cela ubica su acción en un pueblo mísero, atrasado y sin perspectivas y elige como protagonista a un campesino primitivo y cruel. Esta tétrica estampa del mundo rural español y de sus gentes viene a contradecir la imagen de grandeza y de pureza moral que el poder establecido pone en el centro de su edificio ideológico según la que el campo con sus habitantes, cual pozo de sabiduría y sanas tradiciones, es el depositario de los más castizos valores de la raza, pilar de la Patria, perro guardián de la familia y de la fe, etc.

Ahora bien, esto plantea por lo menos dos interrogantes: primero, ¿cómo puede haberse publicado este libro tan impertinente con las reglas de la censura?; segundo, ¿existe o no alguna intención crítica frente a ese mundo, que el autor haya metido, subversivamente, debajo de su armazón narrativa y, a partir de aquí para llegar a su actuación personal, se le puede achacar a Cela algún compromiso con el régimen? En realidad, no se pueden aclarar estos interrogantes el uno sin el otro. Pero, aunque de su obra se ocupan todas las historias de la literatura española del siglo XX y también bastantes trabajos de crítica, se trata casi siempre de enfoques que ventajan *el texto* y sus valores estéticos y sólo marginalmente se ocupan de *los aspectos contextuales* de su creación.

De los relativamente pocos comentaristas que centran su estudio en el aspecto circunstancial de la producción artística en la España franquista, de mayor interés aparece aquí Hans-Jörg Neuschäfer, incluso en lo que se refiere a Cela y a su primer novela. Él trae con su libro *Adiós a la España eterna. La dialéctica de la censura. Novela, teatro y cine bajo el franquismo*³ un caudal de datos y documentos sobre la situación del arte en el ámbito ideológico e institucional de la época, además de una perspectiva interpretativa que resulta idónea para nuestro propósito. Por ello, vamos a atenernos primero a él en este análisis contextual de *La familia de Pascual Duarte*.

El hispanista alemán indica, entre otras cosas⁴, – y con su ayuda intentamos aclarar en parte el primer interrogante arriba mencionado – el que, si reparásemos sólo en la vida de Pascual Duarte, podríamos pensar, tal como hicieron algunos comentaristas, que se trata de un relato de crítica social o de una temprana novela testimonial. Porque “Pascual Duarte, un hombre de clase baja, narra retrospectivamente su vida malograda desde su infancia miserable en un pueblo de Extremadura hasta

³ Neuschäfer, Hans-Jörg, *Adiós a la España eterna. La dialéctica de la censura. Novela, teatro y cine bajo el franquismo*, Editorial Anthropos, Madrid, 1994

⁴ Véanse las pp. 89-99, op. cit.

su paradero actual, la celda de los condenados a muerte en la cárcel de Chinchilla, donde espera su ejecución a causa de un último asesinato. Nos enteramos de las condiciones de vida en esa zona del país dejada de la mano de Diós; y todo lo que averiguamos está en franca contradicción con la imagen oficialmente imperante entonces de armonía y grandeza tanto en el ámbito familiar como en el estatal.”⁵ Así, Pascual se vuelve taciturno, reprime sus sentimientos y resulta incapaz de operar con argumentos racionales; su mentalidad, dominada por la honra, el machismo y la violencia, lo empuja a actuar, según su código «moral», como un asesino impenitente, aunque él no es, en realidad, una mala persona, ni un hombre insensible. Este resumen, que muestra la carga explosiva de la novela, no da cuenta del lado formal, del que Neuschäfer habla a continuación y del que también vamos a ocuparnos, visto que éste es el que puede explicar, en parte, lo que nos hemos planteado anteriormente, eso es, cómo ha podido este libro vencer la censura. Al sintetizar las explicaciones y los argumentos de Neuschäfer, en cuanto a la manera de Cela de burlar por su ingeniosa construcción el ojo siempre despierto de este Cancerbero de la moralidad, diremos que hay tres. En primer lugar, el autor elige darle forma de novela picaresca, género consagrado por la tradición, hecho para reflejar con realismo una miseria existencial absoluta y básicamente ambiguo, que le permite a Cela desarrollar su mundo simbólico entre crítico – mitigado por el tono jocoso - y reverencial frente a la moral establecida. En segundo lugar, el escritor, al inspirarse en los procedimientos clásicos de precaución, sabe valerse de una aglutinación de artificios textuales que fingen el distanciamiento del narrador, de unas técnicas narrativas muy diversas y portentosamente engarzadas, verdadero parachoque moral e ideológico: una “Nota del transcriptor” que sugiere que el autor de la novela no es más que el copista de un manuscrito encontrado por casualidad que publica expurgado – ¡Cela se autocensura! – en un impulso saludable de dar un ejemplo que sirva de escarmiento al lector; una carta de Pascual que es una “pública confesión” y por la cual éste quiere conseguir el perdón de su crimen; una cláusula del testamento de un personaje que, al ser amigo de la última víctima de Pascual y destinatario de la carta de éste y de su manuscrito hallado luego por “el copista” Cela, expresa su voluntad que dicho manuscrito se destine al fuego por atentar a las buenas costumbres, “a no ser” que permaneciese 18 meses sin ser descubierto, lo que autoriza al que lo encuentre posteriormente que lo utilice según su gusto; una dedicatoria y los recuerdos del protagonista; los testimonios, pedidos por el narrador, del capellán de la prisión y de un miembro de la Guardia Civil que han presenciado la ejecución de Pascual; otra nota del copista que presenta el recorrido del manuscrito antes de llegar a él. En tercer lugar, por fin, aparecen mencionadas en algunos de estos trozos narrativos las fechas de los acontecimientos respectivos, lo que, por cálculos simples y deducciones lógicas, permite ver que tanto los crímenes como todo aquel ambiente pobrísimo y sin normas morales en el que éstos se cometen son del tiempo de la República o anteriores, mientras el merecido

⁵ Íd., p. 91

ajusticiamiento se le inflige al asesino en 1937, cuando en Extremadura ha triunfado ya el «glorioso alzamiento nacional». He aquí, pues, cuán precavido se muestra Cela para eludir la censura, con esta novela interpretable en dos sentidos opuestos, según se la mira, que Neuschäfer considera “dudosa desde el punto de vista moral, pero muy conformista desde el político y de una ambigüedad casi gloriosa”⁶.

En un trabajo impresionante sobre *La literatura fascista*⁷, Julio Rodríguez Puértolas, al lado de una interpretación contextual, en la misma línea con la de Neuschäfer, del texto novelesco, nos proporciona datos⁸ que nos permiten enfocar también la otra vertiente de nuestro planteamiento, eso es, averiguar si Cela presenta, directa o indirectamente, síntomas de compromiso con el franquismo. Ya hemos visto lo equívoco de su actitud en *La familia de Pascual Duarte* y Rodríguez Puértolas no hace más que confirmarlo. Ahora, al ampliar el área de nuestro examen y al fijarnos en sus actos de la época, tal como aparecen presentados en *La literatura fascista*, vemos que Cela posee, más allá de su ingenio disimulador – que todo escritor, por honesto que sea, necesita explotar en los períodos de presiones ideológicas -, algo que le ayuda a pasar el camello por la aguja: la ventaja de ser de los vencedores. Dice Rodríguez Puértolas que al principio de la Guerra civil Cela está en el Madrid asediado por los republicanos y que después logra pasarse a la zona franquista donde presta breve servicio militar luchando en el bando de los «nacionales» antes de ser declarado inútil total. Una vez acabada la guerra, Cela colabora en periódicos fascistas⁹ como *Arriba*, *Legiones* y *Falanges*, *El Español*, es funcionario de los Sindicatos Verticales, alumno de la Escuela Oficial de Periodismo y trabaja como censor algunos años en la Delegación Nacional de Prensa bajo la dirección de Juan Aparicio. Con tan meritoria biografía, si se la mira desde el sector falangista, se comprenderá que Cela habrá conseguido el apoyo de éste para la publicación de su novela.

Una prueba incontestable la trae el antes mencionado Neuschäfer que afirma que “La documentación que se puede examinar en el AGA (Archivo General de la Administración) tiene muchas lagunas y es evidente que ha sido «expurgada». Con todo, las escasas huellas que todavía quedan resultan interesantes. Todas ellas indican que Cela recibió un trato de favor.”¹⁰ Y añade que “En el sobre en el que se encuentra todo el expediente está escrito a mano: «El libro lo tiene el vicesecretario [del Movimiento] u otra jerarquía». Es obvio que alguien de la cúpula del partido se tomó un interés personal en el asunto.”¹¹

⁶ Íd., p. 98

⁷ Rodríguez Puértolas, Julio, *La literatura fascista española*, vol. I, *Historia*, Ediciones Akal, Madrid, 1986

⁸ Véanse las pp. 584-609, op. cit

⁹ Este término, sujeto a controversias respecto a su uso para la España franquista, se podría aceptar, como máximo y sólo desde algunos puntos de vista, para la ideología falangista, pero no sirve para calificar la posición de Cela que no se expresa como tal en su obra. Lo usamos aquí de esta manera simplificada y sin matices para poder seguir la demostración de Rodríguez Puértolas.

¹⁰ Neuschäfer, op. cit., p. 322

¹¹ Íd., p. 325

Pero hay aún más y Neuschäfer y Rodríguez Púertolas no son los únicos a mostrar que no se trata de un mero apoyo de connivencia de parte de sus camaradas en la lucha que se da en los entresijos del poder, sino que la promoción de Cela forma parte de una política de conjunto de Juan Aparicio que intenta ofrecer una nueva vida a la cultura española casi moribunda.

Según sostiene en su *Historia de la literatura española*¹² Santos Sanz Villanueva, tomando una información de Jorge Urrutia, “Juan Aparicio jugó un relevante papel al promocionar escritores que [...] pudieran representar el vigor artístico de la España nacional. Así, [...] se propuso elevar a tres autores al pedestal de modelos de la nueva literatura, en representación de los tres géneros tradicionales: el novelista Camilo José Cela, el poeta José García Nieto y el dramaturgo Víctor Ruiz Iriarte. Los tres habían tenido vinculación con la Falange y fueron presentados y ensalzados en su condición de escritores falangistas.”¹³

Claro, al ser más joven, Cela no es un «camisa vieja» falangista, él no pertenece al grupo antes reunido en torno a José Antonio Primo de Rivera, el fundador de la Falange, cuyos miembros, desde el principio, habían mezclado en el mismo entusiasmo juvenil lo literario con lo ideológico. Después de la guerra, más allá de los altibajos de su recorrido personal e institucional y de los continuos ajustes de su ideario político impuestos por el régimen, ellos no cesan su doble tarea, lo que impone límites a su libertad artística. En *La corte literaria de José Antonio. La primera generación cultural de la Falange*¹⁴, Mónica Carbajosa y Pablo Carbajosa muestran esta evolución, penosa para los falangistas, pero Cela aparece aquí como una especie de término de contraste: “...quienes tomaron la iniciativa en diversos géneros (el Cela de *Pascual Duarte* [...]) tenían poco o nada que ver con las lealtades que de un modo u otro se desprendían de cualquiera de los situados en la órbita del falangismo cultural.”¹⁵

La paradoja es que Cela, que trabaja como *ensor*, aun si *se autocensura* en su novela (como “transcriptor” que “expurga” el manuscrito de Pascual, ya escrito, él también, con mucho artificio, cautelosamente), *es censurado* él mismo como autor por *la censura*. Tiene problemas, pero pasajeros y mínimos, en comparación con los de otros; su libro se quita de las librerías un tiempo, pero, más tarde se autoriza su reedición. Mientras tanto, los elogios de la crítica falangista vienen a raudales y crean unas expectativas en el público, lo que prepara el éxito cabal de la novela.

Luego, Cela escribe otros libros, pero, salvo *La colmena*, obra maestra suya con la que abre nuevos caminos a la narrativa española, los demás - minados por una violencia excesiva y una sexualidad grotesca, por la obsesiva presencia de la muerte y el manierismo siempre más acentuado - no se elevan a la altura su primer novela. Mas

¹² Sanz Villanueva, Santos, *Historia de la literatura española*, 6/2, *El siglo XX. Literatura actual*, Editorial Ariel, Barcelona, 1991

¹³ *Íd.*, p. 20

¹⁴ Carbajosa Pérez, Mónica y Pablo Carbajosa Pérez, *La corte literaria de José Antonio. La primera generación cultural de la Falange*, Crítica, Barcelona, 2003

¹⁵ *Íd.*, p. 308

lo que salta a la vista en su obra posterior a 1942 y en toda su actuación es el cambio radical, aunque no repentino, de actitud.

En su Introducción a *La colmena*¹⁶, Jorge Urrutía muestra sintéticamente la evolución del escritor desde su debut en la inmediata posguerra hasta después de la aparición de esta novela, en 1951, en Buenos Aires: Cela, “perteneciendo a los que entonces se consideraban como vencedores de la guerra, e integrado en la pobrísima vida cultural del momento, [...] supo [...] irse separando de la España oficial y escribir unas obras críticas, que pusieron de manifiesto la violencia que dominaba las relaciones así como el desánimo y la miseria, económica y moral, en que había sumido al país el nuevo régimen. De hecho, *La colmena* resultó demasiado crítica y derrotista para el gobierno del general Franco, lo que impidió la publicación en España de su primera edición. Incluso su autor fue expulsado de la Asociación de la Prensa y resultó problemática la continuación de sus colaboraciones en los periódicos oficiales. Además, hay que añadir que la novela fue criticada, desde el punto de vista moral, por los sectores dependientes de la Iglesia Católica.”¹⁷

Es posible que Cela se separe del falangismo porque éste se encuentra, a partir, más o menos, de 1941, subordinado bajo muchos aspectos a la nueva construcción ideológica, heterogénea y falta del aliento revolucionario típico para los fascismos de la época. En un trabajo que se ocupa del asunto, *España contra España. Los nacionalismos franquistas*¹⁸, Ismael Saz Campos dice, a propósito de la dimisión de Dionisio Ridruejo, insigne figura de la Falange, de todos sus cargos en la España franquista después de 1942, que se debe al que éste constata “el fracaso del más extremo y radical esfuerzo nacionalista y nacionalizador, a la vez que utópico, de la España contemporánea, el del ultranacionalismo. Otro nacionalismo, católico, reaccionario, de puertas adentro, más castizo que europeísta, más defensivo que imperial, más retrospectivo que proyectivo, el nacionalismo de la España negra, mediocre y *cutre* con la que se identificará al franquismo se había impuesto”¹⁹.

Una prueba indiscutible de este distanciamiento ideológico de Cela es, por ejemplo, la revista *Papeles de Son Armadans* que él edita para alojar a los escritores del exilio tanto exterior como interior. El nuevo papel progresista y liberal que asume en el campo de las letras españolas le trae mucho prestigio, pero a muchos críticos suyos les molesta que quiera pasar por un defensor desde siempre de la democracia. En entrevistas y en sus memorias, Cela explica: si ha sido censor, era “para comer”; si ha luchado con Franco, era por no tener, a sus 20 años, discernimiento ni libertad de opción. Cela se explica pero no pide perdón, ya que, claro, no se siente culpable de nada, no se arrepiente de nada y tiene gran tranquilidad de conciencia, porque él como todos los de su generación han sido víctimas de los mayores; ésta es, de

¹⁶ Cela, Camilo José, *La colmena*, Editorial Cátedra, Madrid, 1992

¹⁷ Íd., p. 12

¹⁸ Saz Campos, Ismael, *España contra España. Los nacionalismos franquistas*, Marcial Pons Historia, Madrid, 2003

¹⁹ Íd., p. 366

hecho, la tesis de su novela *Víspera, festividad y octava de San Camilo en 1936 en Madrid* (1969). Declara en una entrevista²⁰ que ha tenido que luchar a los 20 años en el frente, primero en el Madrid republicano y después con los nacionales porque le ha salido mal su plan de escapar al exilio. No así aparece el episodio en un artículo publicado por el escritor Francisco Umbral, que le pregunta: “¿Y tú, cuando la guerra, por qué no pasaste antes al bando de Franco?”, a lo que Cela contesta: “Porque estaba esperando a ver quién ganaba.”²¹

En conclusión, a propósito de las dos cuestiones planteadas al principio, se puede afirmar que resultan obvias tanto las circunstancias propicias en las que se publica *La familia de Pascual Duarte* y las causas extraliterarias de su éxito, como la adhesión de Cela a la ideología imperante, pero no a una estética dictada por razones ideológicas, y justamente esto es lo que salva su obra en la carrera del tiempo, en el escrutinio de los valores hecho por cada generación. Así, aun si es fruto de la circunstancia y del oportunismo y juego de ambigüedades moralmente impuras, *La familia de Pascual Duarte* no deja de ser, en primer lugar, obra maestra de la literatura española, a la que el sombrío telón de foro histórico y biográfico esbozado aquí hace destacar todavía más.

En cuanto a su figura, ¿queda desprestigiada por sus comienzos en la vida pública o resulta dignificada por su evolución ulterior hacia la democracia? Para rematar este retrato en movimiento de Camilo José Cela, quisiéramos añadir dos documentos, escritos, aunque no lo parezcan, de la misma mano, pero entre los que median años de distancia. El primero es una instancia suya de 1938 por la que se ofrece como confidente a las autoridades policiales del régimen franquista y el segundo constituye un fragmento de una lección de periodismo, titulada “Dodecálogo de deberes del periodista”, dada en 2001 en la universidad que lleva su nombre:

A. “Excelentísimo Señor Comisario General de Investigación y Vigilancia

El que suscribe, Camilo José Cela Trulock, de 21 años de edad, natural de Padrón (La Coruña) y con domicilio en esta capital, Avenida de la Habana 23 y 24, Bachiller Universitario (Sección de Ciencias) y estudiante del Cuerpo Pericial de Aduanas, declarado Inútil Total para el Servicio Militar por el Tribunal Médico Militar de Logroño en cuya Plaza estuvo prestando servicio como soldado del Regimiento de Infantería de Bailén (no. 24), a V. E. respetuosamente expone:

Que queriendo prestar un servicio a la Patria adecuado a su estado físico, a sus conocimientos y a su buen deseo y voluntad, solicita el ingreso en el Cuerpo de Investigación y Vigilancia.

Que habiendo vivido en Madrid y sin interrupción durante los últimos 13 años, cree poder prestar datos sobre personas y conductas, que pudieran ser de utilidad.

Que el Glorioso Movimiento Nacional se produjo estando el solicitante en Madrid, de donde se pasó con fecha de 5 de Octubre de 1937, y que por lo mismo cree conocer la actuación de determinados individuos.

²⁰ Cf. Ortega Bagueño, Pilar, *El Mundo*, Madrid, 17 de sept. de 2001

²¹ Umbral, Francisco, “La libertad o Cela”, en *El Mundo*, Madrid, 1 de julio de 1996

Que no tiene carácter de definitiva esta petición y que se entiende solamente por el tiempo que dure la campaña o incluso para los primeros meses de la paz si en opinión de mis superiores son de utilidad mis servicios.

Que por todo lo expuesto solicita ser destinado a Madrid que es donde cree poder prestar servicios de mayor eficacia, bien entendido que si a juicio de V. E. soy más necesario en cualquier otro lugar, acato con todo entusiasmo y con toda disciplina su decisión.

Dios guarde a V. E. muchos años.

La Coruña a 30 de Marzo de 1938. II Año Triunfal

Fdo. Camilo José Cela²²

B. “Decir lo que acontece, decir la verdad anteponiéndola a cualquier otra consideración, ser tan objetivo como un espejo plano, callar antes que deformar, ser independiente en su criterio, aspirar al entendimiento intelectual, funcionar acorde con su empresa, resistir toda suerte de presiones, recordar en todo momento que el periodista no es el eje de nada, sino el eco de todo; conservar el más firme y honesto orgullo profesional a todo trance y no ensayar la delación, ni dar pábulo a la murmuración, ni ejercitar jamás la adulación.”²³

He aquí, en los dos documentos de arriba, los límites simbólicos entre los que situamos nuestro recorrido. En la historia conflictiva en la que le toca vivir, Cela, rebelde, pero ambicioso, tiene que conquistar un estatus de máximo prestigio; por lo tanto, no deja nunca de enfrentarse, a su manera, a los vientos y mareas, lo que va de par con la incesante labor de revisión de sus memorias – reelaboradas y reeditadas bajo varios títulos -, destinadas, por lo menos teóricamente, a arrojar luz sobre una vida, pero que guardan hasta el final cierta oscuridad respecto a lo más arduo de su biografía.

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²² Cf. Rodríguez Puértolas, op. cit., pág. 584

²³ Cf. Ortega Bargeño, Pilar, *El Mundo*, Madrid, 19 de mayo de 2001

ELEMENTS POUR UNE GRAMMAIRE DE LA POESIE MODERNE

JEAN-MICHEL GOUVARD

Les études métriques en France ont été considérablement renouvelées au cours de la dernière décennie¹. Cependant, le principal référent culturel à partir duquel ces travaux ont été menés demeure la poésie classique, au sens large du terme, c'est-à-dire, *grosso modo*, l'ensemble des textes versifiés composés entre la deuxième moitié du 16^e siècle et les années 1860-1870. Ainsi, à ce jour, nous restons encore dépourvus d'outils adéquats pour décrire les formes poétiques post-classiques, de Laforgue ou Gustave Kahn à Jacques Réda ou Yves Bonnefoy, en passant par Apollinaire, les surréalistes ou encore Raymond Queneau, même si quelques études ponctuelles ont été publiées². Les textes de ces auteurs offrent en effet des variations formelles beaucoup plus fréquentes et beaucoup plus variées que les œuvres composées pendant la période dite «classique», et ne peuvent être décrits de manière satisfaisante avec les concepts propres à la versification traditionnelle³.

Je me propose donc, dans les pages qui suivent, d'exposer un ensemble de notions utiles à la formalisation des superstructures métriques de la poésie moderne. L'ensemble de l'étude sera focalisée sur ce que j'appelle la dynamique des strophes, c'est-à-dire les principes d'organisation des vers et des ensembles de vers dans le cadre du poème. Je laisserai de côté la question de la conformité ou non des rimes en regard des conventions classiques, qu'il s'agisse de la fiction graphique ou du problème des alternances entre rimes masculines et féminines⁴. Je négligerai aussi la question de l'analyse métrique des vers césurés, et je m'autoriserai à parler de décasyllabe ou d'alexandrin, par exemple, sans spécifier leur scansion métrique, s'il y en a une⁵. En

¹ Voir, entre autres, Aquien et Honoré 1997; Aquien, Dangel et Murat à paraître; Billy 1989a, 1992 et 1999; Billy, Cornulier et Gouvard 1993; Cornulier 1981a, 1982, 1988, 1993, 1995, et en préparation; Dominicy 1989; Gardes-Tamine 1981 et 1991; Gardes-Tamine et Molino 1992; Gouvard 1996a, 1999 et 2000; Grimaud 1992; Murat 2000.

² Sur Apollinaire, consulter Bobillot 1990, Gouvard 1996b, Guilbaud 1996 et Aquien 1997; sur Bonnefoy, Cornulier 1981b; sur Corbière, Rootjes et Simon 1987; sur Desnos, Murat 1985; sur Eluard, Murat 1998; sur Jammes, Verluyten 1992; sur Verhaeren, Bertho 1997 et Dominicy 2000. Voir aussi les suggestions de Plénat 1983 sur la métrique de Queneau.

³ S'agissant de la période antérieure aux trois siècles de poésie dite «classique», les travaux de Dominique Billy offre une approche globale de la lyrique des troubadours (voir Billy 1995), et ceux de Charles-Yves Morin de la métrique quantitative française de la Renaissance (voir Morin 1999a et b). Il reste toutefois de nombreux corpus à défricher.

⁴ Sur les rimes dans la poésie post-classique, voir Billy 1984, 2000, et plusieurs des contributions à Aquien, Dangel et Murat à paraître.

⁵ Sur l'analyse des vers césurés, voir Billy 1989b, Bobillot 1991, Cornulier 1982, Gouvard 2000.

guise d'illustration, j'emprunterai mes exemples à l'un des recueils phares de la modernité poétique, les *Complaintes* de Jules Laforgue, qui offre une palette complète des procédés intéressant notre propos.

*

Toute composition métrique repose sur un principe de retour du même au même, formalisable sous la forme «A₁ A₂ A₃ ... A_n». Par exemple, la *Complainte des condoléances au soleil* est composée par le retour, par sept fois, d'un même quatrain d'alexandrins de schéma (abba):

Décidément, bien don Quichotte, et pas peu sale,
Ta police, ô Soleil! malgré tes grands Levers,
Et tes couchants des beaux Sept-Glaives abreuvés,
Rosaces en sang d'une aveugle Cathédrale!

La répétition *n* fois d'une forme métrique quelconque constitue une *suite périodique simple*. La majorité des textes classiques appliquent ce procédé, qui sera encore suivi, le plus souvent, par les modernes.

Lorsque les suites périodiques sont constituées de distiques (aa), l'usage est de les enchaîner sans démarquer les strophes de deux vers les unes des autres par un saut de ligne, comme le fait par exemple Laforgue dans les *Préludes autobiographiques*:

Cathédrale anonyme! en ce Paris, jardin
Obtus et chic, avec son bourgeois de Jourdain
A rêveurs; ses vitraux fardés, ses vieux dimanches
Dans les quartiers tannés où regardent des branches
Par dessus les murs des pensionnats, et ses
Ciels trop poignants à qui l'Angélu fait: assez!
Paris qui, du plus bon bébé de la Nature,
Instaure un lexicon mal cousu de ratures.

La ligne blanche entre «Ciels trop poignants à qui l'Angélu fait: «assez!» et «Paris qui, du plus bon bébé de la Nature» marque une articulation majeure dans le poème, tout comme un alinéa dans un texte en prose, et n'a donc qu'une fonction rhétorique. Dans ce cas, on parle de *blanc typographique*. Toutefois, dans ses autres poèmes à suites périodiques simples composés de distiques, Laforgue isole *chaque strophe (aa) par un blanc*, comme par exemple dans la *Complainte d'une convalescence en mai*:

Convalescent au lit, ancré de courbatures,
Je me plains aux dessins bleus de ma couverture,
Las de reconstituer dans l'art du jour baissant
Cette dame d'en face auscultant les passants:
Si la Mort, de son van, avait chosé mon être,
En serait-elle moins, ce soir, à la fenêtre?...

Cette fois-ci la ligne a une fonctionnalité métrique puisque, à l'instar de ce qui se passe avec les strophes de trois vers et plus, elle souligne l'appariement rimique.

Dans ce cas, on parlera de *blanc métrique*. La poésie post-classique se caractérise par une préférence pour les blancs métriques dans les poèmes en distiques, sans doute parce que le procédé, en rupture avec l'usage classique, était perçu à l'époque comme «moderne»⁶.

La mise en page des textes, et son incidence métrique éventuelle, doivent d'autant plus retenir l'attention que les poèmes étaient destinés avant tout à être lus, même si certains d'entre eux évoquent les pratiques orales, comme nous le verrons *infra*. Ainsi, certains regroupements strophiques suggérés par la typographie n'ont-ils pas toujours de consistance métrique effective. C'est par exemple le cas de la *Complainte du temps et de sa commère l'espace*, qui présente six «strophes» de huit vers alexandrins sur le modèle suivant:

Je tends mes poignets universels dont aucun
N'est le droit ou le gauche, et l'Espace, dans un
Va-et-vient giratoire, y détrame les toiles
D'azur pleines de cocons à fœtus d'Etoiles.
Et nous nous blasons tant, je ne sais où, les deux
Indissolubles nuits aux orgues vaniteux
De nos pores à Soleils, où toute cellule
Chante: Moi! moi! puis s'éparpille, ridicule!

Ce regroupement ne constitue qu'en apparence une suite périodique simple. Le schéma rimique dessiné par les finales de vers, (aabbccdd), soulève le problème de la *cohésion métrique* du regroupement. Une suite de vers n'est cohérente, et ne forme une strophe, que si les finales dessinent un réseau qui assure la perception d'une superstructure unifiée. C'est le cas, par exemple, d'un huitain (ababbaba) ou (aaabcccb)⁷. En revanche, dans une suite (aabbccdd), la rime «aa» ne se retrouve dans aucun des six vers suivants, les vers trois et quatre, en «bb», ne présentent aucune similitude avec les deux précédents ni avec aucun des suivants, etc. Ce huitain n'a donc que l'apparence d'une strophe de huit vers et, d'un point de vue métrique, constitue en fait une suite de quatre distiques (aa). Plusieurs complaintes de Laforgue présentent ainsi une discordance entre la forme strophique suggérée par la mise en page et les réseaux d'euphonies effectivement tissés entre les finales de vers. Dans un texte comme la *Complainte du temps et de sa commère l'espace*, on distinguera ainsi la *strophe typographique*, c'est-à-dire la forme strophique apparente du poème, telle que la suggère la mise en page, de la *strophe métrique*, c'est-à-dire la forme strophique effectivement construite du point de vue des rimes et de leurs imbrications éventuelles les unes par rapport aux autres. La strophe typographique de notre exemple est un huitain (aabbccdd), mais sa forme métrique est constituée d'une suite périodique simple de distiques (aa) non démarqués par des blancs métriques. De telles dissociations sont l'une des marques de fabrique des *Complaintes*: elles

⁶ Le jeune poète aura peut-être emprunté le procédé à Baudelaire, qui est l'une de ses influences prédominantes, et qui utilise le blanc métrique pour séparer des distiques dans *Les Litanies de Satan*. L'auteur des *Fleurs du mal* fut l'un des premiers à utiliser cette technique.

⁷ Voir Gouvard 1999:215-225.

concourent efficacement à brouiller les cartes, et qu'elles amènent le lecteur à hésiter entre une analyse conforme à la mise en page, dans la lignée des pratiques classiques, et une autre plus proche des relations formelles effectivement constituées par le texte. C'est, par la même occasion, un moyen de focaliser l'attention sur le travail qu'effectue le poète sur la forme même de ses textes.

La distinction entre la mise en page des textes et leurs structures métriques étant posées, nous nous attacherons maintenant à proposer des outils utiles à la description de ces dernières.

*

Les poètes classiques composaient le plus souvent leurs textes non seulement en répétant un seul et même schéma rimique (voir *supra*), mais aussi en reprenant, pour chaque vers de la séquence périodique simple ainsi constituée, un seul et même mètre. Ce phénomène est décrit sous le terme de *monométrie*, et il s'oppose à celui de la *polymétrie* (ou *hétérométrie* dans une terminologie plus ancienne). Il y a polymétrie lorsqu'une strophe est composée avec au moins deux mètres différents. Les combinaisons possibles sont toutefois suffisamment nombreuses pour que cette notion fasse l'objet d'un examen approfondi.

Dans l'*Autre complainte de Lord Pierrot*, nous avons une suite périodique qui reprend par cinq fois un quatrain (abab) du type:

L'Art sans poitrine m'a trop longtemps bercé dupe.
Si ses labours sont fiers, que ses blés décevants!
Tiens, laisse-moi bêler tout aux plis de ta jupe
Qui fleure le couvent.

Cette strophe est polymétrique puisqu'elle comporte deux mètres différents, l'alexandrin et l'hexasyllabe. Toutefois, le vers court n'est employé qu'une seule fois dans chaque occurrence, tous les autres vers actualisant le vers composé. Dans un tel cas de figure, on parlera de *polymétrie singulière*, pour exprimer le fait qu'il n'y a qu'un seul vers de mètre différent du mètre prédominant. Cette configuration n'est pas nouvelle. La polymétrie singulière était usuelle chez les classiques, chez lesquels elle constitue «la» combinaison polymétrique par excellence. Les prédécesseurs de Laforgue évitaient cependant de combiner deux mètres qui ne se différenciaient l'un de l'autre que par une seule syllabe, afin de faciliter la perception de la différence métrique. Cette tendance, appelée *principe de distinction*, est loin d'être toujours respecté par les poètes modernes, qui se complairaient souvent à mêler des vers ne se différenciant que par une seule syllabe, comme par exemple dans la *Complainte des cloches*⁸:

Bons vitraux, saignez impuissants
Aux allégresses hosannahles

⁸ Je ne m'occupe pas ici des première et dernière strophes de ce poème, qui ne s'intègrent pas à la séquence périodique à polymétrie singulière, et qui relèvent du phénomène de la strophe encadrante décrit *infra*.

Des orgues lâchant leurs pédales,
 Les tuyaux bouchés par l'encens!
 Car il descend! il descend!

Ce quintil (abbaa) comprend une série de quatre octosyllabes, suivie d'un heptasyllabe, ce qui affaiblit la perception spontanée de la différence métrique entre les quatre premiers vers et le dernier. Pour caractériser ce type de configuration (polymétrie singulière + non respect du principe de distinction), très novatrice dans les années 1880, nous parlerons de *polymétrie singulière indistincte*.

Dans les exemples cités *supra*, le vers singulier, c'est-à-dire celui qui ne présente pas le même mètre que tous les autres vers de la strophe considérée, est toujours le dernier. Techniquement, il constitue un *vers clause de strophe*⁹. On dénomme ainsi le vers qui, en situation de polymétrie singulière, est d'une part le vers singulier de la strophe, et qui, d'autre part, est placé en dernière position dans cette strophe. Il est intéressant de noter que toutes les strophes à polymétrie singulière des *Complaintes* présentent un vers clause de strophe: ce ne sera plus le cas dans les recueils ultérieurs du jeune poète qui maintient encore, à cette période, un usage dont il héritait de ses pairs, puisque les strophes à polymétrie singulière présentaient le plus souvent un vers clause de strophe dans la poésie classique¹⁰.

Il existe deux possibilités pour dépasser la construction par polymétrie singulière. La première consiste à construire une séquence impliquant toujours deux mètres différents, mais actualisés chacun plus d'une fois dans la strophe considérée. Nous en avons un exemple avec la *Complainte des blackboulés*, construite sur un quatrain (abba) avec un alexandrin, puis deux 4-syllabes, puis à nouveau un alexandrin:

«Ni vous, ni votre art, monsieur.» C'était un dimanche,
 Vous savez où.
 A vos genoux,
 Je suffoquai, suintant de longues larmes blanches.

Pour décrire une telle configuration, nous parlerons de *polymétrie duelle*, c'est-à-dire dont chaque mètre est actualisé plus d'une fois («duelle» traduit l'idée que les deux mètres sont actualisés au moins deux fois, contrairement à la polymétrie singulière).

La seconde possibilité pour réaliser une strophe polymétrique non singulière est d'employer au moins trois mètres, comme dans la *Complainte du pauvre chevalier-errant*:

Jupes des quinze ans, aurores de femmes,
 Qui veut, enfin, des palais de mon âme?
 Perrons d'œillels blancs, escaliers de flamme,
 Labyrinthes alanguis,
 Edens qui
 Sonneront, sous vos pas reconnus, des airs reconnus.

⁹ Voir Martinon 1912.

¹⁰ Malgré des exceptions notables, comme chez Malherbe, dont les strophes à polymétrie singulière ne présentent pas toujours un vers clause de strophe.

Au recours à un sizain typographique, dont le schéma (aaabbb) ne présente pas de réelle cohésion métrique entre les trois premiers vers et les trois suivants, s'ajoute l'emploi, successivement, de trois décasyllabes, d'un 7-syllabe, d'un 3-syllabe, et d'un 14-syllabe¹¹. Ce cas de polymétrie n'implique pas qu'il y ait deux mètres représentés plus d'une fois, comme dans l'exemple précédent, mais plus de deux mètres, qui peuvent éventuellement n'être actualisés qu'une seule fois chacun. Cette seconde configuration est beaucoup plus moderne, et elle fut peu employée par les classiques, contrairement à la précédente. Pour la distinguer, nous l'appellerons *polymétrie plurielle*, c'est-à-dire qui compte au moins trois mètres. Nous dégageons ainsi un système à trois «nombres»: polymétrie singulière (deux mètres dont l'un n'est actualisé qu'à un seul exemplaire dans chaque strophe), polymétrie duelle (deux mètres, tous deux représentés à au moins deux exemplaires par strophe), polymétrie plurielle (plus de deux mètres). Seul le dernier cas de figure est une innovation propre à la poésie moderne.

Les exemples précédents présentent une caractéristique commune: ils ont ce que, suite à Cornulier 1995, j'appellerai un *mètre de base*. Une strophe a un mètre de base lorsque le mètre qui apparaît en premier revient au moins une fois sur deux dans la strophe. Toutes les strophes monométriques ont donc un mètre de base, puisque le premier vers de chaque strophe est réemployé au moins dans 50% des vers de la strophe considérée (en fait, dans 100% des vers). Il en va de même des strophes polymétriques singulières, sauf si le vers de mètre singulier apparaît en tête de strophe, phénomène très rare chez les classiques. En revanche, les strophes duelles et plurielles n'impliquent pas nécessairement le recours à un mètre de base.

Dans la poésie littéraire écrite classique, la plupart des poèmes ont un mètre de base, et le mètre de base est en général un vers largement employé et non pas une forme rare¹². Il n'en va cependant pas toujours de même dans la poésie moderne. Par exemple, la *Complainte variations sur le mot «falot, falotte»* offre la construction suivante¹³:

Falot, falotte!
 Sous l'aigle averse qui clapote.
 Un chien aboie aux feux-follets,
 Et puis se noie, taïaut, taïaut!
 La Lune, voyant ces ballets,
 Rit à Pierrot!
 Falot, falot!

¹¹ On peut également subdiviser la strophe typographique en deux strophes métriques, dont la première, un tercet de trois décasyllabes, est monométrique, et la deuxième, un tercet regroupant des vers de 7, 3 et 14 syllabes, illustre seule la configuration polymétrique plurielle.

¹² Voir Gouvard 1999:253-260.

¹³ Signalons au passage que la strophe de cette complainte admet aussi une analyse en terme d'*assonance approximative*, par association phonologique entre le «o» ouvert (d'arrière) de «falotte» et «clapote», le «o» fermé (d'avant) de «taïaut», «Pierrot», «falot», association que suggère entre autres la variation flexionnelle «falot / falotte». Nous aurions dans ce cas une structure (aababaa), plus homogène que la suite (aabcbcc) que suggère l'approche rimique «classique».

Le premier vers, de 4 syllabes, ne revient pas ensuite dans 50% au moins des vers de la strophe considérée, mais seulement 3 fois sur 7, soit environ dans 43% des cas. Nous avons donc affaire ici à une strophe polymétrique duelle *sans mètre de base*.

Ce critère permet de compléter la description des infractions aux conventions classiques. Mais le statut particulier de la *Complainte variations sur le mot «falot, falotte»* est traduit par un autre indice. Les suites périodiques de la poésie littéraire écrite présentent des récurrences rimiques de strophe à strophe qui sont essentiellement structurales. Par exemple, la *Complainte des condoléances au soleil*, citée au tout début de cet article, repose sur la répétition, *n* fois, du schéma (abba), mais cela ne signifie pas que les fins de vers de toutes les strophes riment en /al/ et en /e/. La deuxième occurrence du quatrain rime en /li/ et en /oz/; la troisième en /ar/ et en /œj/, etc. Dire que ces strophes sont (abba), c'est donc noter exclusivement la modalité d'organisation des fins de vers, quatrain après quatrain, et dégager une *équivalence structurale*. La poésie classique présente le plus souvent de telles équivalences. Il en allait autrement dans la poésie lyrique, c'est-à-dire chantée, du Moyen-Age, où il n'était pas rare de rencontrer, de strophe à strophe, en plus de l'équivalence structurale, une *équivalence concrète*: toutes les strophes d'un texte présentaient les mêmes sonorités à la rime. De même, la chanson folklorique et, encore aujourd'hui, la chanson dite «populaire» ou de variété, présente souvent, en plus d'une équivalence structurale, une équivalence concrète des rimes de strophe à strophe. Or, la poésie moderne aussi a cherché à jouer sur les équivalences concrètes de strophe à strophe. La *Complainte variations sur le mot «falot, falotte»* citée ci-dessus en offre un premier exemple: les rimes «a» et «c» sont toujours les mêmes, à chaque occurrence du septain. Il y a donc *équivalence concrète partielle*¹⁴.

La *Complainte de la bonne défunte*, poème construit sur une suite périodique monométrique engageant un quatrain (abba) de mètre octosyllabique, présente un autre type de travail sur les équivalences concrètes:

Elle fuyait par l'avenue,
Je la suivais illuminé,
Ses yeux disaient: «J'ai deviné
Hélas! que tu m'as reconnue!»
Je la suivis illuminé!
Yeux désolés, bouche ingénue,
Pourquoi l'avais-je reconnue
Elle loyal rêve mort-né?

Les mêmes rimes en /y/ et /e/ reviennent à chaque occurrence, mais elles sont interverties à chaque fois: la première occurrence présente la séquence /yeey/, la seconde /eyye/. Ensuite (non citées), la troisième occurrence revient à /yeey/ et la quatrième repasse à /eyye/. La régularité peut s'analyser à deux niveaux distincts. Nous pouvons considérer qu'il y a *équivalence concrète au niveau strophique* une fois sur

¹⁴ Sur les 8 occurrences du septain, 4 portent en «b» une rime en /e/ (occurrences 1, 2, 5 et 6 de la suite périodique), mais cela ne pas suffit pour maintenir la concrétude rimique.

deux seulement, et dire que Laforgue fait alterner (sur la notion d'*alternance*, voir *infra*) deux quatrains (abba): une forme (abba)₁ pour l'équivalence concrète /yeey/, et une forme (abba)₂ pour l'équivalence concrète /eyye/. Nous pouvons aussi considérer qu'il y a *équivalence concrète au niveau rimique*, et dans ce cas dire que ce poème compte deux rimes, l'une en /y/, l'autre en /e/, qui sont distribuées alternativement sur les positions paires et impaires d'un quatrain (abba). Les deux descriptions sont complémentaires, et aucune n'est exclusive par rapport à l'autre. Dans les deux cas, le procédé se démarque des habitudes classiques.

*

Jusqu'à présent, nous n'avons considéré que des suites périodiques avec une même forme strophique, mais de nombreux poèmes mettent en jeu plus d'un type de strophe, comme par exemple la *Complainte du pauvre corps humain*, où un quintil (ababb) d'octosyllabes et un distique (aa) d'hexasyllabes reviennent six fois de suite, l'un après l'autre.

L'Homme et sa compagne sont serfs
De corps, tourbillonnants cloaques
Aux mailles de harpes de nerfs
Serves de tout et que détraque
Un fier répertoire d'attaques.
Voyez l'homme, voyez!
Si ça n'fait pas pitié!

Une telle combinaison ne déroge pas au principe de la suite périodique. Toutefois, au lieu de reposer sur la réitération, *n* fois, d'une seule et même strophe, il y a succession, *n* fois, de deux formes strophiques, lesquels constituent ainsi une *suite périodique composée*, reposant sur le principe de l'*alternance*. Il y a alternance dès qu'un poème présente au moins deux éléments A et B quelconques (dans notre exemple, un quintil et un distique) réitérés successivement, sur le modèle de: A₁B₁A₂B₂A₃B₃... A_nB_n.

La question de la polymétrie, dans le cadre des alternances, doit être pensée au niveau de chaque strophe, indépendamment de l'autre. Dans la *Complainte du pauvre corps humain* citée ci-dessus, le poème est polymétrique si nous considérons le mètre du quintil et celui du distique, mais chaque strophe *en elle-même* est monométrique. Dans ce cas, nous dirons que la suite périodique complexe offre un exemple de *monométrie intrinsèque*. Cela ne signifie pas que le poème est construit sur un seul mètre, mais que chaque strophe de l'alternance est construite sur un seul mètre. Il s'agit évidemment de la configuration la moins originale, et elle était en usage dès la période classique. Les modernes ont donc recherché des formes moins traditionnelles. La *Complainte du soir des comices agricoles* présente par exemple la configuration suivante:

Deux royaux cors de chasse ont encore un duo
Aux échos,
Quelques fusées reniflent s'étouffer là-haut!
Allez, allez gens de la noce,
Qu'on s'en donne une fière bosse!

Si le deuxième constituant de l'alternance est bien intrinsèquement monométrique, puisqu'il s'agit d'une distique (aa) d'octosyllabes, il n'en va pas de même du premier: ce tercet monorime, dont le mètre de base est l'alexandrin, présente un vers de trois syllabes entre les alexandrins initial et terminal de la strophe considérée. Il est donc, relativement à lui-même, polymétrique (il s'agit ici, plus précisément, d'une polymétrie singulière sans vers clause, voir *supra*). L'ensemble du poème, c'est-à-dire de l'alternance, sera décrit comme une suite périodique complexe à *polymétrie intrinsèque*, l'adjectif «intrinsèque» exprimant toujours l'idée que la détermination du statut «polymétrique» s'effectue relativement à une strophe (à «l'intérieur» d'une strophe). Le plus souvent, une alternance à polymétrie intrinsèque présente donc au moins trois mètres différents sur l'ensemble du poème (2 mètres pour le constituant à polymétrie intrinsèque + 1 mètre pour le constituant à monométrie intrinsèque), ce qui démarque le texte des usages classiques.

Un autre facteur de «complexification» des formes poétiques consiste à construire des alternances que, d'un certain point de vue, on peut qualifier d'incomplètes. Dans les deux derniers textes cités, les constituants A et B de chaque suite périodique complexe reviennent un même nombre de fois, dessinant une structure du type: $A_1B_1A_2B_2\dots A_nB_n$, que nous dénommerons du terme d'*alternance complète*. Toutefois, Laforgue ne réitère pas toujours chaque constituant un même nombre de fois. C'est le cas, par exemple, dans la *Complainte de l'orgue de Barbarie*. Le texte débute ainsi:

Hein, étés idiots,
 Octobres malades,
 Printemps, purges fades,
 Hivers tout vieillots?
 - «Quel silence, dans la forêt d'automne,
 Quand le soleil en son sang s'abandonne!»

Le premier constituant est un quatrain (abba) en vers de 5 syllabes; le deuxième un distique (aa) de décasyllabes. On s'attendrait donc à ce que le texte s'achevât par un quatrain suivi d'un distique; or, la strophe qui clôt l'alternance est le quatrain et non le distique¹⁵:

- «Je vais guérir, voyez la cicatrice,
 Oh! je ne veux pas aller à l'hospice!»
 Des berceaux fienteux
 Aux bières de même,
 Bons couples sans gêne,
 Tournez deux à deux.

La structure ainsi dessinée n'est donc pas de type $A_1B_1A_2B_2\dots A_nB_n$ mais de type $A_1B_1A_2B_2\dots A_nB_nA_{n+1}$. Il s'agit toujours d'une alternance, en ceci qu'un constituant A est suivi d'un constituant B, lui-même suivi d'un constituant A, etc., mais la parité

¹⁵ La suite périodique complexe analysée ici est, par ailleurs, précédée et suivie d'une strophe isolée. Ce phénomène, dit de «strophe encadrante», est étudié *infra*.

n'est plus préservée dans le nombre d'occurrences de chacune des strophes. On parle dans ce cas d'*alternance partielle*. Historiquement, l'alternance partielle est beaucoup moins fréquente dans la poésie classique que l'alternance complète, et elle était donc perçue comme plus «moderne» par les lecteurs de Laforgue.

La poésie écrite classique se borne en général à des alternances engageant deux formes distinctes, tout comme elle tend à limiter la polymétrie à seulement deux mètres. Mais des poètes comme Laforgue se sont essayés à des suites périodiques complexes mettant en jeu plus de deux strophes, comme par exemple dans la *Complainte des mounis du Mont-Martre*:

Dire que, sans filtrer d'un divin Cœur,
Un air divin, et qui veut que tout s'aime,
S'in-Pan-filtre, et sème
Ces vols d'oasis folles de blasphèmes
Vivant pour toucher quelque part un Cœur
Un tic-tac froid rit en nos poches,
Chronomètres, réveils, coucous;
Faut remonter ces beaux joujoux,
Œufs à heures, mouches du coche,
Là haut s'éparpillant en cloches...
Voici le soir,
Grince, musique
Hypertrophique
Des remontoirs!

qui constitue une alternance complète avec polymétrie intrinsèque, composée de trois constituants: un quintil (abbba) dont le mètre de base est le décasyllabe, mais dont le troisième vers compte 5 syllabes, un quintil (abbaa) d'octosyllabes et un quatrain (abba) de 4-syllabes. Nous possédons de ce texte une première version, sous le titre *La Complainte des montres*, avec une alternance à deux constituants:

Je suis, avec mon tic-tac grêle,
Vade-mecum rond et têtue,
Indispensable sentinelle,
Le sacré-cœur d'or revêtu.
Voici le soir,
Grince musique
Hypertrophique
Des remontoirs.

Le texte a donc été réécrit sous la forme d'une alternance à trois constituants qui, par rapport à sa première version, apparaît comme une construction à la fois plus complexe et plus moderne, sur le plan métrique.

Un poème des *Complaintes* va encore plus loin, en proposant une alternance complète à quatre constituants. Il s'agit de la *Complainte des pianos qu'on entend dans les quartiers aisés*:

Menez l'âme que les Lettres ont bien nourrie,
 Les pianos, les pianos, dans les quartiers aisés!
 Premiers soirs, sans pardessus, chaste flânerie,
 Aux plaintes de nerfs incompris ou brisés.
 Ces enfants, à quoi rêvent-elles,
 Dans les ennuis des ritournelles?
 - Préaux des soirs,
 Christ des dortoirs!
 «Tu t'en vas et tu nous laisses,
 Tu nous laiss's et tu t'en vas,
 Défaire et refaire ses tresses,
 Broder d'éternels canevas.»

La suite périodique complexe comprend, successivement: un quatrain (abab) d'alexandrins, traditionnel, un distique (aa) d'octosyllabes, lui aussi sans surprise, un distique (aa) de 4-syllabes, beaucoup moins usuel en poésie littéraire, et enfin un quatrain (abab), surprenant par ses deux mètres de, respectivement, 7 et 8 syllabes, qui ne respectent pas le principe de distinction (voir *supra*). Ajoutons que le distique d'octosyllabes et le quatrain intrinsèquement polymétrique, soit deux constituants sur quatre, établissent à travers tout le poème une équivalence concrète, ce qui contribue à suggérer comme un phénomène de «refrain» dans le texte (sur cette notion, voir aussi *infra*).

La notion d'alternance présentée dans ces lignes permet de mieux formaliser certains phénomènes. La *Complainte d'un certain dimanche* (67), par exemple, présente la strophe typographique suivante:

L'homme n'est pas méchant, ni la femme éphémère.
 Ah! fous dont au casino battent les talons,
 Tout homme pleure un jour et toute femme est mère,
 Nous sommes tous filials, allons!
 Mais quoi! les Destins ont des parties-pris si tristes,
 Qui font que, les uns loin des autres, l'on s'exile,
 Qu'on se traite à tort et à travers d'égoïstes,
 Et qu'on s'use à trouver quelque unique Evangile.
 Ah! jusqu'à ce que la nature soit bien bonne,
 Moi je veux vivre monotone.

Le schéma rimique (abab cdcd ee) révèle qu'il n'existe pas de cohésion métrique entre les quatre premiers vers d'une part, les quatre suivants d'autre part et, enfin, les deux derniers. On réanalysera donc cet ensemble en une suite (abab + cdcd + ee) ou, plus exactement, en une alternance à trois constituants engageant un quatrain (abab) intrinsèquement polymétrique, avec l'alexandrin pour mètre de base et un octosyllabe en guise de vers clausule, un quatrain (abab) d'alexandrins, et un distique (aa) comprenant un alexandrin suivi, en fonction de vers clausule, d'un octosyllabe. Cette analyse se défend d'autant plus que chaque subdivision se termine par une ponctuation forte, c'est-à-dire au moins équivalente à un point (vers 4, 8 et 10 de l'exemple ci-dessus). Pour identifier ce type de phénomène, on parlera d'*alternance non typographiée*, afin d'indiquer que la typographie ne reproduit pas l'alternance

métrique effective. Le plus souvent, ce phénomène caractérise les textes où strophe métrique et strophe typographique ne coïncident pas.

La notion d'alternance non typographiée permet de rendre compte de regroupements typographiques qui amalgament au moins deux strophes distinctes. A l'inverse, on rencontre aussi des regroupements typographiques de vers qui ne constituent pas des strophes, mais seulement des parties de strophe, ce que techniquement on appelle un «module» strophique¹⁶. Examinons par exemple le début de la *Complainte des grands pins dans une villa abandonnée*:

Tout hier, le soleil a boudé dans ses brumes,
 Le vent jusqu'au matin n'a pas décoléré,
 Mais, nous point des coteaux là-bas, un œil sacré
 Qui va vous bousculer ces paquets de bitume!
 - Ah! vous m'avez trop, trop vanné,
 Bals de diamants, hanches roses;
 Et, bien sûr, je n'étais pas né
 Pour ces choses.
 - Le vent jusqu'au matin n'a pas décoléré.
 Oh! ces quintes de toux d'un chaos bien posthume,
 - Prés et bois vendus! Que de gens,
 Qui me tenaient mes gants, serviles,
 A cette heure, de mes argents,
 Font des piles!
 - Délayant en ciels bas ces paquets de bitume
 Qui grimpaient talonnés de noirs Misérés!

Si le texte commence par un quatrain (abba), celui-ci ne revient plus par la suite que sous la forme d'un «demi-quatrain» (ab) ou (ba), en alternance avec un quatrain (abab) de mètre de base octosyllabique, terminé par un vers clause de 3 syllabes. (ab) et (ba) constituent des *modules strophiques*, c'est-à-dire des regroupements intermédiaires entre le vers et la strophe. On parlera donc, pour cerner ce procédé de composition, d'*alternance modulaire*, par opposition au procédé d'*alternance strophique* classique, illustré dans les exemples précédents. Il y a alternance modulaire chaque fois qu'une suite périodique a pour constituant au moins un module de strophe au lieu d'une strophe complète. Ce procédé est spécifique à la poésie post-classique et Laforgue en fut l'un des promoteurs.

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Après avoir fait le tour des techniques de composition liées au phénomène de l'alternance¹⁷, nous nous attacherons à d'autres pratiques, qui contribuent également à la diversification des formes poétiques. La *Complainte des complaintes*, reproduite ci-dessous dans son intégralité, en offre un premier exemple:

¹⁶ Voir Gouvard 1999:186-190.

¹⁷ La *Complainte de l'époux outragé* présente un cas très particulier d'alternance, avec l'insertion d'un vers-refrain entre les deux occurrences d'un même vers-couplet, et est inspiré très directement du style de la complainte (voir Dottin-Orsini 2000).

Maintenant! pourquoi ces plaintes?
 Gerbes d'ailleurs d'un défunt Moi
 Où l'ivraie art mange la foi?
 Sot tabernacle où je m'éreinte
 A cultiver des roses peintes?
 Pourtant ménage et sainte-table!
 Ah! ces plaintes incurables,
 Pourquoi? pourquoi?
 Puis, Gens à qui les fugues vraies
 Que crie, au fond, ma riche voix
 - N'est-ce pas, qu'on les sent parfois? -
 Attoucheraient sous leurs ivraies
 Les violettes d'une Foi,
 Vous passerez, imperméables
 A mes plaintes incurables?
 Pourquoi? pourquoi?
 Chut! tout est bien, rien ne s'étonne.
 Fleuris, ô Terre d'occasion,
 Vers les mirages des Sions!
 Et nous, sous l'Art qui nous bâtonne,
 Sisyphe par persuasion,
 Flûtant des christes les vaines fables,
 Au cabestan de l'incurable
 POURQUOI? – Pourquoi?

Ce texte présente en apparence une suite périodique simple. Chaque strophe compte huit vers, a un mètre de base octosyllabique, et se termine par un vers clausule de 4 syllabes. Mais les trois occurrences se démarquent l'une par rapport aux autres par leur structure rimique, puisque nous avons respectivement les schémas (abbaacbb), (abbabccb) et (abbabcc.)¹⁸. Les différences sont minimales, en ceci que les regroupements présentent une majorité de finales en commun: les quatre premiers vers sont toujours (abba) et les vers 6 et 7 (cc). Entre la première et la deuxième occurrence du huitain, seul le vers 5 diffère: il est «a» dans la strophe initiale, puis «b» dans la seconde. Le vers 8 est à chaque fois «b». Entre la deuxième occurrence et la troisième, c'est cette fois-ci le vers 8 qui varie, puisque s'il rime avec les vers 2, 3 et 5 dans le second huitain, il constitue un *vers blanc* dans le suivant, la rime en /wa/ ne trouvant aucun écho auprès des autres finales de vers¹⁹. On peut donc considérer que, d'une strophe à l'autre, c'est à chaque fois une rime et une seule qui change ou qui «varie», les autres facteurs constitutifs de la forme strophique étant reproduits à l'identique. Lorsqu'un tel phénomène a lieu, nous parlons de *strophe variation*. Nous dirons ainsi que la *Complainte des plaintes* est composée d'une suite périodique

¹⁸ Suivant l'usage, le point qui apparaît dans la notation de la 3^e occurrence signifie que, à l'intérieur de la strophe typographique considérée, le vers ne rime avec aucune finale en vertu des conventions d'appariement rimique prises comme référent.

¹⁹ Pour une étude des vers blancs, consulter Lemaire 1996.

simple engageant une strophe variation (abbaaccb) / (abbabcbb) / (abbabcc.). Ce faisant, nous formalisons le fait que le poète emploie un procédé qui rompt avec la répétition du même au même, mais sans pour autant recourir aux vers libres, comme c'est par exemple le cas dans la *Complainte des voix sous le figuier bouddhique* ou la *Complainte des formalités nuptiales*. La strophe variation introduit dans un texte versifié des dérèglements ponctuels, qui perturbent le lecteur de poésie classique dans ses habitudes, d'autant plus efficacement que son impression dominante sera que l'auteur respecte ou semble respecter par ailleurs les techniques traditionnelles de versification.

Pour parfaire l'analyse, il faut toutefois distinguer entre deux grands types de variation. Dans l'exemple précédent, la variation rimique ne porte pas toujours sur la même finale de vers: elle n'est donc pas prévisible et semble n'être due qu'au seul caprice du poète. Les variations qui présentent un caractère imprévisible seront dénommées du terme de *variations libres*. Il y a variation libre d'un des facteurs constitutifs de la strophe à chaque fois que, d'une occurrence à l'autre, ce facteur varie sans que l'on puisse prédire la manière dont il variera ou, pour le dire autrement, sans que l'on puisse prédire autre chose que le fait qu'il variera et non comment il variera.

Tous les éléments régis par les techniques de versification sont susceptibles de varier, et une même pièce cumule parfois plusieurs variations libres. C'est le cas par exemple dans la *Complainte du fœtus de poète*. Ce poème est composé d'une alternance complète à polymétrie intrinsèque, dont le premier constituant varie à la fois par le nombre de vers, le choix des mètres et le schéma rimique. En voici les différentes occurrences:

Blasé dis-je! En avant,
 Déchirer la nuit gluante des racines,
 A travers maman, amour tout d'albumine,
 Vers le plus clair! vers l'alme et riche étamine
 D'un soleil levant! (...)
 En avant!
 Sauvé des steppes du mucus, à la nage
 Téter soleil! et soûl de lait d'or, bavant,
 Dodo à les seins dorloteurs des nuages,
 Voyageurs savants! (...)
 En avant!
 Dodo sur le lait caillé des bons nuages
 Dans la main de Dieu, bleue, aux mille yeux vivants
 Aux pays du vin viril faire naufrage!
 Courage,
 Là, là, je me dégage (...)
 En avant!
 Cogne, glas des nuits! filtre, soleil solide!
 Adieu, forêts d'aquarium qui, me couvant,
 Avez mis ce levain dans ma chrysalide!
 Mais j'ai froid? En avant!
 Ah! maman...

Malgré les variations, nous n'avons pas le sentiment de strophes libres, qui seraient sans points communs les unes par rapport aux autres. Chaque occurrence présente un noyau dur de trois hendécasyllabes, le plus souvent scandés 5-6, même si l'on rencontre aussi quelques 4-7 ou 6-5. La variation a lieu autour de ce noyau, puisqu'apparaissent avant ou après lui des vers courts, donc nettement démarqués, qui comptent aléatoirement 2, 3, 5 ou 6 syllabes. La détermination de ce nombre syllabique ne peut se faire, à coup sûr, que par comptage: il n'est pas toujours perceptible, faute d'être répété à l'identique de vers à vers. On peut considérer que le changement du nombre de vers par strophe (le passage d'un «quintil» à un «sizain») est induit par cette variation libre avant et après le regroupement hendécasyllabique, et que cette variation est donc corrélée à la précédente. Ensuite, les regroupements typographiques de vers forment tous des schémas rimiques cohérents, même si les structures ainsi dessinées, respectivement (abbba), (ababa), (ababbb) et (ababaa), sont étrangères à la poésie littéraire écrite. Ces convergences formelles, complétées de la reprise d'une équivalence concrète (sur cette notion, voir *supra*) pour la rime «a» et de récurrences lexicales, expliquent l'impression que nous avons d'avoir affaire à des formes ressemblantes et donc à une strophe variation, même si l'on s'agit ici d'un cas limite²⁰.

A côté des variations libres, nous rencontrons des *variations réglées*. Il y a variation réglée à chaque fois qu'un facteur constitutif de la strophe varie de manière régulière et donc prévisible. C'est le cas, par exemple, dans la *Complainte de l'automne monotone*, qui présente une alternance complète entre un sizain, dont nous reproduisons toutes les occurrences, et un quintil (abbaa) en vers de 4 syllabes, non cité ci-dessous:

Automne, automne, adieux de l'Adieu!
 La tisane bout, noyant mon feu;
 Le vent s'époumonne
 A reverdir l a bûche où mon grand cœur tisonne.
 Est-il de vrais yeux?
 Nulle ne songe à m'aimer un peu. (...)
 Le vent, la pluie, oh! le vent, la pluie!
 Antigone, écarterz mon rideau;
 Cet ex-ciel tout suie,
 Fond-il descrecendo, statu quo, crescendo?
 Le vent qui s'ennuie,
 Retourne-t-il bien les parapluies? (...)

²⁰ Signalons, pour la petite histoire, que la version publiée dans *Les Complaintes* est plus complexe que celle composée initialement par Laforgue, laquelle figure dans une lettre du jeune poète à Gustave Kahn. Dans cette première version, le deuxième constituant de l'alternance - un distique (aa) d'alexandrins - n'existe pas, et les hendécasyllabes sont plus réguliers: ils sont tous 5-6, sauf pour le vers 4 de la première strophe et le vers 4 de la dernière strophe, qui sont 6-5. En revanche, les vers courts sont déjà exploités comme indiqué *supra*. La comparaison des deux textes est intéressante, car elle établit que Laforgue, en passant d'une suite périodique simple à une suite périodique complexe, et en diversifiant les scansions de ses 11-syllabes, cherchait bel et bien à construire des objets textuels complexes, mais où se maintenaient des régularités suffisantes pour assurer une perception métrique, comme pour mieux contester de l'intérieur les habitudes classiques.

Plages, chemins de fer, ciels, bois morts,
Bateaux croupis dans les feuilles d'or,
Le quart aux étoiles,
Paris grasseyant par chic aux prises de voiles:
De trop poignants cors
M'ont hallalisé ces chers décors. (...)
Le soleil mort, tout nous abandonne.
Il se crut incompris. Qu'il est loin!
Vent pauvre, aiguillonne
Ces convois de martyrs se prenant à témoins!
La terre, si bonne,
S'en va, pour sûr, passer cet automne.

Le schéma rimique n'est pas toujours le même, mais il se limite à deux combinaisons, (aabbaa) et (ababaa), qui reviennent alternativement: (aabbaa) apparaît sur les occurrences impaires et (ababaa) sur les occurrences paires. Bien que le procédé de la variation demeure l'indice d'une indéniable modernité poétique, la régularité dans les modifications du schéma rimique instaure une périodicité supplémentaire, qui était certainement moins déroutante pour le lecteur des années 1880 que les variations libres observables dans d'autres pièces.

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Nous nous sommes intéressés, jusqu'ici, aux répétitions et aux variations des facteurs métriques (rime, mètre, types de strophe, etc.). Cependant, la poésie, ainsi qu'on l'a noté depuis longtemps, offre aussi de nombreuses répétitions d'ordre linguistique. Certaines ont une fonctionnalité uniquement rhétorique, mais d'autres ont également une incidence sur la forme poétique des textes. Ce sont ces dernières auxquelles nous nous intéresserons à présent, pour compléter notre étude des procédés usuels de la poésie moderne.

Commençons par relire la *Complainte de la bonne défunte*:

Elle fuyait par l'avenue,
Je la suivais illuminé,
Ses yeux disaient: «J'ai deviné
Hélas! que tu m'as reconnue!»
Je la suivis illuminé!
Yeux désolés, bouche ingénue,
Pourquoi l'avais-je reconnue,
Elle, loyal rêve mort-né?
Yeux trop mûrs, mais bouche ingénue;
Œillet blanc, d'azur trop veiné;
Oh! oui, rien qu'un rêve mort-né,
Car, défunte devenue.
Gis, œillet, d'azur trop veiné,
La vie humaine continue
Sans toi, défunte devenue.
- Oh! je rentrerai sans dîner!

Ce poème est construit sur une suite périodique simple, avec pour constituant un quatrain d'octosyllabes (abba) tout à fait classique. Comme vu *supra*, le texte présente une équivalence concrète dans ses rimes, puisque l'on retrouve alternativement /y/ et /e/ pour les rimes «a» et «b», ce qui donne une fois sur deux les finales /yeey/ et une fois sur deux /eyye/. Cette régularité dans, les alternances rimiques s'explique en fait par la reprise des vers 2 et 4 de chaque strophe aux vers 1 et 3 de la strophe qui suit. Il s'agit typiquement de ce que nous dénommerons désormais une *reprise réglée du matériau lexical*, et ce phénomène influence directement l'analyse de la forme poétique. En effet, la répétition du contenu des vers pairs d'une strophe aux vers impairs de la suivante constitue l'un des traits définitoires du «pantoum». Cette forme n'est pas traditionnelle, mais fut importée en France au 19^e, où elle apparaît, avec des variations, entre autres chez Hugo, dans *Les Orientales*, sous la forme d'un *Pantoum malais*, et chez Baudelaire, dans *Harmonie du soir*. Banville, dans son *Petit traité de poésie française*, définit en partie le genre comme reposant sur la procédure de reprise déglagée ci-dessus. Il ajoute cependant que le premier vers du poème doit être repris au dernier vers de la dernière strophe, et que deux sens doivent être poursuivis parallèlement, un sur les deux premiers vers de chaque quatrain, un autre sur les deux derniers. Hugo ne respecte que le deuxième de ces deux critères complémentaires, et Baudelaire, tout comme Laforgue, n'en respecte aucun: seul le phénomène de reprise décrit plus haut est actualisé et semble donc concourir à l'imitation francisé du pantoum.

Lorsque la reprise réglée porte sur des réitérations du matériau lexical de strophe à strophe, comme dans l'exemple ci-dessus, nous parlons d'une *reprise réglée transtrophique* ou, par ellipse, de *reprise transtrophique* (étant entendu que seules les reprises réglées retiennent notre attention). Nous en aurions un autre exemple dans la *Complainte du pauvre jeune homme*, dont voici les deux premières strophes:

Quand ce jeune homm' rentra chez lui,
 Quand ce jeune homm' rentra chez lui;
 Il prit à deux mains son vieux crâne,
 Qui de science était un puits!
 Crâne
 Riche crâne,
 Entends-tu la Folie qui plane?
 Et qui demande le cordon,
 Digue dondaine, digue dondaine,
 Et qui demande le cordon,
 Digue dondaine, digue dondon!
 Quand ce jeune homm' rentra chez lui,
 Quand ce jeune homm' rentra chez lui;
 Il entendit de tristes gammes,
 Qu'un piano pleurait dans la nuit!
 Gammes,
 Vieilles gammes,
 Ensemble, enfants, nous vous cherchâmes!

Son mari m'a fermé sa maison,
 Digue dondaine, digue dondaine,
 Son mari m'a fermé sa maison,
 Digue dondaine, digue dondon!

La reprise transtrophique présente ici une particularité distributionnelle qui n'est pas exploitée dans la *Complainte de la bonne défunte*: de strophe à strophe, certains vers sont repris à l'identique, et toujours placés sur les mêmes positions. Ainsi, «*Digue dondaine, digue dondaine*» est le contenu lexical du neuvième vers de chaque occurrence de la suite périodique, et «*Digue dondaine, digue dondon*» celui du onzième. Lorsqu'une reprise transtrophique a lieu sur les mêmes vers dans toutes les occurrences d'un constituant d'une suite périodique, qu'elle soit simple ou complexe, nous parlons dans ce cas de *refrain*. Il va de soi qu'il ne s'agit cependant que d'une imitation littéraire écrite de ce qu'est un refrain dans la chanson, mais c'est justement par ce procédé de la reprise lexicale transtrophique d'une expression linguistique quelconque sur une même position que les auteurs du 19^e ont cherché à référer culturellement à la chanson²¹. Le procédé n'est pas propre à Laforgue, bien entendu, mais se rencontre dès les Romantiques, entre autres dans plusieurs textes de Hugo.

Compte tenu de la définition que nous en donnons, on ne qualifiera pas de «refrain», dans la complainte ci-dessus, la reprise de la proposition «*Quand ce jeune homm' rentra chez lui*». En effet, seules les quatre premières occurrences de la strophe reprennent ce syntagme, et non les deux dernières. Tout au plus peut-on y voir un «effet» de refrain qui finirait par s'effacer. Il est plus intéressant de noter que le vers 2 de chaque occurrence de la strophe constitue, qu'il soit matériellement équivalent à «*Quand ce jeune homm' rentra chez lui*» ou non, une *reprise intrastrophique* du premier vers, c'est-à-dire la répétition d'une expression linguistique à l'intérieur du cadre dessinée par la strophe. Cette reprise imite un procédé de bissage, très usuel pour le premier vers des couplets dans la chanson populaire. On parlera ainsi de *vers bissé* pour désigner la répétition à l'identique d'un vers au sein d'une même strophe.

Le procédé de la variation réglée peut être combinée avec celui du refrain. C'est le cas, par exemple, dans la *Complainte des pianos qu'on entend dans les quartiers aisés*. Le quatrième constituant de la suite périodique de ce poème (pour une analyse globale, voir *supra*) est un quatrain (abab) composé de deux vers de sept syllabes, puis de deux vers de huit syllabes. Pour chaque occurrence impaire

²¹ Signalons que, d'un point de vue historique, les quatre derniers vers de chaque strophe de la *Complainte du pauvre jeune homme*, sur le modèle de «*Et qui demande le cordon, / Digue dondaine, digue dondaine, / Et qui demande le cordon, / Digue dondaine, digue dondon!*», renvoient explicitement à un type de «refrain de chanson» bien connu, où les vers impairs sont identiques (ils répondent au procédé plus général de la reprise lexicale), et où les vers pairs ne varient que par leur finale: le vers 2 ne rime pas avec les autres, tandis que la finale du vers 4 doit rimer avec les vers impairs. C'est par exemple la forme du refrain de *Meunier tu dors*: «*Meunier, tu dors, / Ton moulin, ton moulin, va trop vite, / Meunier, tu dors, / Ton moulin, ton moulin, va trop fort*», ou de *Sur le pont d'Avignon*: «*Sur le pont d'Avignon, / On y danse, on y danse, / Sur le pont d'Avignon, / On y danse tout en rond.*»

de l'alternance, les heptasyllabes correspondent à «*Tu t'en vas et tu nous laisses, / Tu nous laiss's et tu t'en vas,*», et, pour chaque occurrence paire, à «*Tu t'en vas et tu nous quittes, / Tu nous quitt's et tu t'en vas!*». Il y a donc reprise réglée du matériau lexical, sur les mêmes positions du quatrain, ce qui confère à ces vers le statut de refrain ou d'imitation littéraire écrite de refrain, mais en même temps il y a variation dans le matériau lexical, le verbe «laisser» alternant une fois sur deux avec «quitter». Pour formaliser ce procédé, qui est emprunté à la chanson, nous parlerons de *refrain à variation réglée*. Notons que le procédé a éventuellement une incidence sur les équivalences concrètes. Dans notre exemple, la rime «b», portée par «vas», revient à chaque occurrence, mais la rime «a» varie selon que le terme en finale est «quittes» ou «laisses». Il y a donc aussi variation réglée des équivalences concrètes.

La reprise partielle du matériau lexical peut ne pas être réglée. C'est par exemple le cas dans la *Complainte des plaintes*, dont chaque constituant de la suite périodique simple se termine respectivement par (pour une analyse globale, voir *supra*) «*Ah! ces plaintes incurables, / Pourquoi? pourquoi?*», «*A mes plaintes incurables? / Pourquoi? pourquoi?*» et «*Au cabestan de l'incurable / POURQUOI? – Pourquoi?*». Si le dernier vers constitue bien un refrain tel que défini *supra*, le vers pénultième offre seulement une reprise partielle. Elle est relativement complète pour les deux premières occurrences, qui ne se distinguent que par la substitution de la préposition «à» en lieu et place de l'interjection homophone «ah», et par le passage d'un déterminant démonstratif à un déterminant possessif, mais la transformation est beaucoup plus appuyée pour la troisième occurrence, qui ne préserve que le terme «incurable», encore est-il nominalisé et non plus employé comme adjectif. Cette reprise linguistique partielle a toutefois lieu sur une même position de strophe à strophe (l'avant-dernier vers), et le vers suivant présente une reprise complète du matériau lexical, de telle sorte que le lecteur perçoit dans les deux vers successifs comme une amorce ou une tentative, plus ou moins aboutie, d'instaurer un refrain. On désignera du terme de *refrain à variation libre*, toute reprise partielle de matériau lexical, sur les mêmes vers d'une strophe et à chacune de ses occurrences, dont le degré de similitude linguistique n'est pas réglé. Ce procédé, plus encore que celui du refrain à variation réglée, prêtait au(x) vers qui l'actualisai(en)t un statut ambigu, mal dessiné, entre discours ouvert et répétition, ce qui était contraire aux usages de la poésie littéraire classique.

Enfin, les phénomènes de reprise liés au refrain peuvent encore être compliqués par le recours à deux refrains qui alternent l'un avec l'autre. C'est le cas, par exemple, dans la *Complainte de l'époux outragé*:

- Qu'alliez-vous faire à la Mad'leine,
Corbleu, ma moitié.
- Qu'alliez-vous faire à la Mad'leine,
- J'allais prier pour qu'un fils nous vienne,
Mon Dieu, mon ami;

J'allais prier pour qu'un fils nous vienne.
 - Vous vous teniez dans un coin, debout,
 Corbleu, ma moitié.
 Vous vous teniez dans un coin debout,
 - Pas d'chaise économis' trois sous,
 Mon Dieu, mon ami;
 Pas d'chaise économis' trois sous.

Ce poème, qui imite le style de la complainte²², présente un couplet d'un vers de 8 ou 9 syllabes qui est bissé après l'occurrence d'un vers refrain pentasyllabique. Mais ce dernier diffère selon qu'il s'agit d'une occurrence impaire ou paire de la suite périodique. A chaque occurrence impaire, est associé le refrain «Corbleu, ma moitié», et à chaque occurrence paire, «Mon Dieu, mon ami». Malgré le parallélisme syntaxique entre les deux expressions, qui répondent toutes deux à la structure [Interjection + SN [Possessif + Nom]], et le lien étymologique entre «Corbleu», qui vient de «corps (de) Dieu», et «Mon Dieu», il est impossible de voir entre ces deux vers un cas de reprise «partielle» du matériau lexical. Nous avons donc deux refrains qui alternent l'un avec l'autre. Nous appellerons *refrain alternant* toute strophe dont le matériau lexical est repris à chaque emploi, mais qui alterne sur une position donnée de la suite périodique complexe avec une autre strophe présentant un phénomène identique de reprise de son matériau lexical à chacune de ses occurrences.

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Si les phénomènes de variation vus ci-dessus s'intègrent aux suites périodiques constitutives, la poésie post-classique se caractérise aussi par un travail sur les marges du poème, en amont et/ou en aval des récurrences strophiques.

Le procédé le plus traditionnel consiste à ouvrir et fermer le poème par une strophe qui se démarquent formellement des autres. Par exemple, dans la *Complainte des cloches*, la suite périodique simple qui constitue l'essentiel du poème, une série de quintils à mètre de base octosyllabique et avec un vers clause de 7 syllabes, est précédée et suivie d'un quintil (abbaa) polymétrique, sans mètre de base:

Bin bam, bin bam,
 Les cloches, les cloches,
 Chansons en l'air, pauvres reproches!
 Bin bam, bin bam,
 Les cloches en Brabant!

Lorsqu'une strophe apparaît ainsi au début et à la fin d'un texte, et qu'elle n'est pas réemployée entre ses deux occurrences initiale et finale, elle fait fonction de *strophe encadrante*, c'est-à-dire de strophe qui encadre (ouvre et ferme) le *corps du poème*. L'expression «corps du poème» désigne la suite périodique, nécessairement distincte, d'un point de vue métrique, de la strophe encadrante. Le procédé de la strophe encadrante n'est pas propre à la seconde moitié du 19^e siècle, puisqu'il se

²² Voir la note 17.

rencontre dès la période romantique, entre autres dans les pièces qui recherchent une imitation littéraire de la chanson²³, mais on le retrouve chez divers poètes du 20^e, à commencer par Apollinaire.

Une autre technique consiste à altérer peu ou prou, à la fin des textes, les régularités métriques. Par exemple, dans la *Complainte à Notre-Dame des Soirs*, le distique final de chaque strophe typographique est constitué d'un 7-syllabe puis d'un 8-syllabe, sur le modèle de:

Ô Notre-Dame des Soirs,
Que je vous aime sans espoir!

Ceci vaut pour les quatre premières occurrences de la suite périodique, qui en compte cinq, mais la dernière occurrence offre une variation libre, puisque si nous avons toujours un 8-syllabe en dernière position, le premier vers du distique dépasse les 7 syllabes numéraires:

Notre-Dame, Notre-Dame des Soirs,
De vrais yeux m'ont dit: au revoir!

Selon les règles de comptage que l'on se donnera, on trouvera pour «*Notre-Dame, Notre-Dame des Soirs*» entre 8 et 10 syllabes: 10 avec «*Notre-Dame, Notre-Dame des Soirs*», 9 avec «*Notre-Dam', Notre-Dame des Soirs*» (ou «*Notre-Dame, Notre-Dam' des Soirs*») et 8 avec «*Notre-Dam', Notre-Dam' des Soirs*». Une version avec apocope des «-e» de «*Notre*» est peu probable, car elle entraînerait aussi l'apocope du «-r-», vu qu'une suite «occlusive-fricative-occlusive» n'est pas possible: nous aurions «*Not'-Dam'*» et non «*Notr'-Dam'*». Or, compte tenu des pratiques graphiques de Laforgue, on peut penser que s'il avait souhaité une lecture avec apocope des deux derniers phonèmes de «*Notre*», il l'eût signifié par le recours à l'apostrophe²⁴.

Dans un tel cas de figure, on peut penser, d'une part, que Laforgue cherche à déstabiliser son lecteur en dérogeant aux principes de régularités auxquels il s'était tenu dans le reste du texte, et, d'autre part, que cette dérogation correspond avec la fin du poème non seulement parce qu'il n'est possible de faire sentir un tel effet que si une régularité a été mise en place antérieurement, mais également parce que le poète cherche à marquer la fin du texte, exactement comme on emploie un vers de mètre plus court à la fin d'une strophe pour mieux la ponctuer (voir la notion de *vers clausule* présentée *supra*). On associera donc à cette variation localisée le statut de «clausule» et, dans le cas de la variation d'un élément contribuant à dessiner la forme métrique d'une strophe, on parlera de *strophe clausule de poème par variation*, par analogie avec la notion, beaucoup plus traditionnelle, de vers clausule de strophe.

Le procédé de la strophe clausule de poème par variation est parfois couplé avec celui de la strophe encadrante. C'est le cas dans la *Complainte de cette bonne*

²³ Voir, par exemple, les *Odes et Ballades* de Victor Hugo.

²⁴ Les élisions et apocopes sont clairement signifiées, par exemple, dans la *Complainte du pauvre jeune homme* et la *Complainte de l'époux outragé*. Pour cette raison, je considère d'ailleurs que le vers examiné est décasyllabique, et ne crois pas même possible les apocopes sur «*Dame*».

lune, qui est encadré par une strophe pastichant la chanson folklorique «*Sur le pont d'Avignon*». L'occurrence initiale, avant le corps du poème, est:

Dans l'giron
Du patron,
On y danse, on y danse,
Dans l'giron
Du patron,
On y danse tous en rond.

Comme dans la version chantée du texte, il nous faut postuler que le «-e» de la première occurrence de «danse» au vers 3 n'est pas élidé, et que l'on a 7 syllabes numéraires dans «On / y / dan/se / on / y / dans(e)». La strophe a donc un schéma rimique (aabaaa) avec pour mètre de base le 3-syllabe, et un heptasyllabe sur les positions 3 et 6. A la fin du texte, on trouve la version suivante:

Sous l'plafond
Sans fond,
On y danse, on y danse,
Sous l'plafond
Sans fond,
On y danse tous en rond.

Bien que le contenu lexical soit modifié, et que la séquence métrique passe de 337337 à une forme à trois mètres, sans mètre de base, 327327, la référence à la chanson demeure, et les similitudes linguistiques avec l'occurrence en tête de poème sont suffisantes pour que l'on assimile la construction à une *strophe encadrante avec variation*. Mais, comme par ailleurs la variation est associée à la dernière forme strophique du poème, est activé un effet de clausule similaire à celui dégagé ci-dessus pour des variations qui apparaissent sur la dernière occurrence d'une suite périodique. Par conséquent, une strophe encadrante présentant une variation quelconque, métrique et/ou lexicale, sera analysée plus justement comme une *strophe encadrante clausule de poème par variation* (nous verrons *infra* que la variation n'est pas le seul procédé susceptible de conférer le statut de clausule à une strophe).

L'effet de clausule peut aussi affecter les refrains, lorsqu'ils apparaissent en dernière position d'une suite périodique complexe, comme c'est en général le cas. Ainsi, dans la *Complainte du vent qui s'ennuie la nuit*, le deuxième constituant est repris à l'identique lors de ses deux premières occurrences, sous la forme:

Le vent assiège
Dans sa tour,
Le sortilège
De l'Amour;
Et, pris au piège,
Le sacrilège
Geint sans retour.

puis il est modifié pour sa dernière apparition, où il devient:

Ô vent allège
 Ton discours
 Des vains cortèges
 De l'humour;
 Je rentre au piège,
 Peut-être y vais-je
 Tuer l'Amour!

Comme la variation porte sur un refrain et non plus une simple strophe ou une strophe encadrante, nous parlerons dans ce cas de *refrain clause de poème par variation*.

La variation, qui a fait l'objet des paragraphes précédents, n'est cependant pas le seul moyen de travailler les marges du texte poétique. L'effet de clause peut aussi être ménagé par *addition*, en fin de poème, d'un regroupement de vers qui ne reprend pas l'un des schémas actualisés antérieurement dans le texte. On parlera dans ce cas de *strophe clause de poème par addition*, pour distinguer le procédé de la strophe clause de poème par variation. Par exemple, la *Complainte de l'automne monotone* est constituée d'une suite périodique complexe, engageant un sizain avec variation réglée et un quintil (abbaa), mais elle se termine par deux distiques (aa) d'alexandrins:

- Allons, fumons une pipette de tabac,
 En feuilletant un de ces si vieux almanachs,
 En rêvant de la petite qui unirait
 Aux charmes de l'œillet ceux du chardonneret.

Rien ne laissait prévoir le recours à ces deux strophes finales, dont l'apparition soudaine en fin de texte renforce la valeur conclusive, aussi bien sur le plan formel, par rapport à la suite périodique antécédente, que d'un point de vue rhétorique²⁵.

Enfin, la strophe clause est parfois remplacée par un simple vers qui remplit la même fonction. Dans ce cas, au lieu de parler d'une strophe clause, nous parlerons d'un *vers clause de poème par addition*. On distinguera deux configurations. Si le vers ajouté en guise de clause rime avec l'une des finales au moins de la dernière occurrence strophique du poème, nous parlerons alors de *vers clause de poème par addition lié* (sous entendu: lié par la rime). Ce phénomène est actualisé, par exemple, dans la *Complainte de la bonne défunte* où, après quatre occurrences d'un quatrain (abba) d'octosyllabes, nous trouvons un vers isolé typographiquement en guise de conclusion, qui rime avec la paire «b» de la strophe antécédente:

Gis, œillet, d'azur trop veiné,
 La vie humaine continue
 Sans toi, défunte devenue.
 - Oh! je rentrerai sans dîner!
 Vrai, je ne l'ai jamais connue.

²⁵ Laforgue semble d'ailleurs avoir affectionné ce procédé, qu'il reprend plusieurs fois dans son recueil, par exemple dans la *Complainte des printemps*, la *Complainte propitiatoire à l'inconscient* ou encore la *Complainte des noces de Pierrot*. Cette dernière pièce présente en sus un exemple de *vers clause de poème par addition*, configuration examinée *infra*.

En revanche, si le vers ajouté en guise de clausule ne rime pas avec l'une des finales au moins de la dernière occurrence strophique, et qu'il constitue donc ce que l'on appelle un vers blanc, nous parlerons alors de *vers clausule de poème par addition libre*. Nous rencontrons par exemple ce procédé dans la *Complainte d'un autre dimanche* où, après une suite périodique simple engageant un quintil (ababa) d'alexandrins, le poème se termine par un vers singleton, «Ce fut un bien au vent d'octobre paysage...»²⁶.

Signalons, pour terminer, que le phénomène du vers clausule de poème est parfois combiné avec celui de la strophe clausule de poème par addition. Ainsi, dans la *Complainte des débats mélancoliques et littéraires*, nous avons une suite périodique avec un quatrain (abab) d'octosyllabes, suivie tout d'abord d'un quintil (abaab), qui fait figure de strophe clausule de poème par addition, puis d'un vers isolé typographiquement, qui constitue un vers clausule de poème par addition lié:

Ô Hélène, j'erre en ma chambre;
Et tandis que tu prends le thé,
Là-bas, dans l'or d'un fier septembre,
Je frissonne de tous mes membres,
Et m'inquiétant de ta santé.
Tandis que, d'un autre côté...

A l'inverse, dans la *Complainte des noces de Pierrot*, nous avons tout d'abord un vers clausule de poème par addition lié, qui suit donc la dernière occurrence de la suite périodique composant le corps du poème, puis une strophe clausule de poème par addition (pour la clarté, nous citons la dernière occurrence de la suite périodique, puis les deux procédés de clausules successifs):

- Mon dieu, mon dieu! je n'ai rien eu,
J'en suis encore aux poncifs thèmes!
Son teint me redevient connu,
Et, sur son front tout au baptême,
Aube déjà l'air ingénue!
L'air vrai! l'air non mortel quand même!
Ce qui fait que je l'aime,
Et qu'elle est même vraiment,
La chapelle rose
Où parfois j'expose
Le saint-Sacrement
De mon humeur du moment.

Il va de soi que l'accumulation de ces procédés contribuaient à diluer les régularités posées antérieurement, et que nous avons ici des objets intermédiaires entre les poèmes versifiés classiques et ceux en vers libres, dont *Les Complaintes* offrent

²⁶ Ce vers reprend partiellement le premier vers du premier quintil, «C'était un très-au-vent d'octobre paysage», ce qui oriente d'une manière particulière sa fonction de vers clausule d'un point de vue rhétorique, mais ceci ne modifie pas l'analyse métrique de l'occurrence finale, qui est bien techniquement un vers blanc.

d'ailleurs quelques exemples. C'est à mieux décrire de tels textes que cet article souhaitait contribuer, en proposant des outils d'analyse susceptibles de cerner les fantaisies qui les caractérisent. En cherchant à approcher ainsi les variations instaurées dans le champ même de la métrique, et à formuler les règles d'un dérèglement systématique, nous pouvons espérer être mieux armés pour décrire les propriétés formelles des textes, et discerner, dans le foisonnement propre à notre modernité poétique, les particularités et les inventions des uns et des autres.

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THE PROVERBIAL MEANING AS A SEMANTIC PLURALITY

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RESUME. Dans les pages qui suivent nous étudions les modalités dont on a abordé le sens du proverbe; nous essayons d'inventorier les diverses théories concernant le proverbe, de la perspective parémiologique à la théorie des actes de langage.

0. From the very beginning there was an impasse in defining the proverb, however exceeded by the identification of the functions and the generally recurring features of this class of texts. If this impasse places the definition of the proverb under the sign of the divergence, these divergences seem to attenuate with regard to the meaning, with some nuances, of course, from one perspective to another. A convergence of the points of view concerns the typology of the proverb meaning, as well as the specificity of its construction but it excludes the factors which support the production of the meaning, the implications of the fixed structure of the proverb and the role of figures of speech, that of the metaphor in particular.

0.1. The meaning interpretation is initially the expression of the interest in *variants* (Taylor: 1975: 123). Cauvin (1980: 32) creates or adapts to the needs of the domain an important terminological inventory in order to build a proverb image theory where he opposes a *semantic code* to a *cultural code* and explains the construction of the proverb meaning by:

a) the *image logic* that the proverb claims,
b) the *transfer of meaning* of a situation (A) to a situation (B),
c) *the choice* made by the user when he applies a certain proverb to a *real situation*. The user's choice depends on the *cultural code*, the *semantic code* and the *code of the available images* because these are the codes which contribute to the building of the statement and of the proverb.

0.2. In generative-transformational grammars the interest in proverb meaning appears through:

a) the reference to the proverb as a kind of sentence able to set up a loop between syntax and lexis;
b) the comparison with idioms.

0.3. The loop between lexis and syntax allows the speaker to associate *particular proverbs to particular meanings*, acting the same way as he does with lexical units. As a lexical item having only one entry in the lexicon (Norrick: 1981), the proverb must obey the rules of lexical semantics (Cram: 1983).

0.4. From the same point of view proverbial items, phrasal idioms or fixed phrases have more than one common feature. Neither the meaning of a proverb nor that of idioms like */Living hand to mouth./* or */ Hold a candle to./* are just a mere product of the meanings of the constituent morphemes.

0.5. In speech acts theory the idiomatic dimension of the meaning is the criterion which places the proverb among the *indirect acts* and which, at the same time, distinguishes it as a particular type of quotation. Speech acts theory proposes a possible typology of the proverbial meaning and perceives the dynamics of its production; as a speech act, the proverb *says something literally* (Norrick: 1985); by quoting a proverb the speaker performs the perlocutionary act to convince his interlocutor of the existence of an additional meaning, recoverable on a figurative level, which, in the study of the proverb, forms especially the object of interest of rhetoric.

1.0. The proverb differs from any other utterances by the specificity and the plurality of its meaning. The identification of its meaning and types of meaning implies, on the one hand, the acceptance of the proverb as a lexical item or as a complete conversational implication, and, on the other hand, the perception of speech figures in their rhetorical dimension.

1.1. According to Cauvin the essential role in the production of the proverb meaning belongs to the *receiver*; according to Norrick this role returns to a reader who *reads* the proverb taken as *text*. Cauvin regards the proverbial statement as a *syntagm of images* placed at the intersection of a *linguistic level* and an *extralinguistic level*, and he opposes a *meaning* which can be identified by a *descending approach* to a meaning identified by an *ascending approach*.

1.1.1. The *descending approach* sets up a meaning known as *descending meaning*; this approach presumes that the receiver accepts the orientation suggested by the speaker; the receiver knows the speaker's point of view, evaluates the same way the situation that the proverb evokes and, consequently, decodes the proverb in agreement with the intention of the transmitter.

1.1.2. The *ascending approach*, which imposes a meaning known as *ascending meaning*, wants that the receiver follow an opposite way to that suggested by the speaker, because he refuses the point of view of the speaker, does not know the situation evoked by the proverb and decodes the proverb only after the building of a situation to which the proverb is referred.

2.0. According to Cauvin (1980:140) the *descending meaning* and the *ascending meaning* articulate a type of meaning peculiar only to the proverb, namely the *heuristic meaning*. Defined like this, the meaning of the proverb is an act which implies *the argument, the discovery, the conversational exchange*. The meaning of a proverb like */Il n'y a pas de mauvais outils, il n'y a que de mauvais ouvriers./* includes at the same time the disapproval and the praise which one can make to somebody. The *descending meaning* which presumes that the receiver knows the situation evoked by the proverb,

could be the disapproval of an individual, but the *ascending meaning* makes it possible for the same receiver to build a positive situation where the proverb speaks in praise of the merits of an individual who was better than the means he had.

2.1. The meaning of the proverb is an *entity built from the semantic substance* of the language (Démarolle: 1984: 76). *The semantic substance* is the *general significance* which is found in any statement. What makes the difference in the case of the proverb is the triple aspect of its meaning which joins together three semantic constituents: an *explicit* constituent, an *implicit* constituent and a *prescribed* or *didactic* constituent derived from the explicit and implicit ones. The explicit meaning comes from the syntax and the meaning of the occurring lexemes which choose particular and anecdotic aspects of reality. The verse */A force de gratter, la chèvre se trouve mal couchée. /*, considered as a proverb by Démarolle, contains neither variations of syntax nor lexemes which claim readings of another nature than those of the common language. Being a result of a *semantic expansion*, the *implicit meaning* is generally carried out by the transfer of a feature */+human/*, just as in the case of the personification. Without indicating the means of realization, Démarolle notes that the statement acquires a prescribed meaning which, in the case of the analyzed statement, invites to moderation or, in general, sets a behavior rule.

2.2. For Arnaud (1991: 12) the meaning of the proverb is triple. It joins together:

- (a) *a sentence meaning* which represents an observation or a precept concerning the human behavior,
- (b) *a reference meaning* since the proverb is stated as a lexicalized statement which indicates a class of situations,
- (c) *a functional meaning* set up thanks to the communicative function that the proverb achieves and that becomes part of its meaning.

Arnaud recognizes that such a plurality of meaning does not characterize only the proverb, but, unlike other lexicalizations of the same kind of extension, the proverb presents a *functional meaning* much more encoded and much more predictable than that of the spontaneously assembled sentences. The *sentence meaning* of the proverb */A bad woman is worse than a bad man./* is the equivalent of an assertion about */woman/* and */man/*. The *reference meaning* of this proverb is found in the class of situations where it can be used to express a mentality concerning the social position of the woman; if the *reference meaning* is equivalent to a statement like */a woman is inferior to a man /*, the *functional meaning* is found in the communicative function that allows the user of the proverb to persuade himself or to persuade somebody else with regard to the relationship between man and woman.

2.3. In one of the most important studies on proverb semantics N. R. Norrick reduces the typology of the proverbial meaning to two subclasses, according to the reading which one applies. Regarded either as inventoried unit, similar to all the units of the language (Milner: 1969; Kuusi: 1972), or as a unit belonging only to one particular language (Cram: 1983; Norrick: 1981), the proverb has its own meaning which can be seized by an interpretation called by Norrick '*standard proverbial interpretation*'. Such an interpretation can coincide with a *literal reading* of the proverb or can call upon a

reading of the figures of speech implied in the proverb; if the meaning of a proverb coincides with its literal reading, the class of proverbs to which the interpretation applies will have a *literal meaning* (Norrick: 1985:2) and will be regarded as a class of *literal proverbs*; in an implicit manner, if we find out that the meaning of the proverb does not coincide with the meaning resulting from its literal reading we have to accept the presence of a *figurative meaning* (Norrick:1985:101) Thus, a literal proverb has but one literal meaning, while a figurative proverb has at the same time a literal meaning and a figurative one emphasized by subsequent steps of the standard interpretation. The steps in the identification of the literal and/or the figurative meaning authorize us to consider that we have a literal reading when the lexemic and structural inventory of the proverb is enough for the identification to the meaning, while the figurative reading involves extralexemic and extrastructural relations.

2.4. The advantage of this model is that the meaning is perceived by similar approaches both in the case of the proverbs appearing as *complete sentences*, grammatically *regular*, and in the case of the proverbs having an insufficient syntactical organisation, considered to be *non-grammatical*. Regardless of their syntagmatic, organisation proverbs have a *literal meaning* or can require a *figurative meaning*.

3.0. The numerous viewpoints from which the proverb was studied lead us to a conclusion that we can speak about a "proverb meaning" insofar as such a meaning can be regarded as a 'semantic plurality'. The classes and sub-classes of the proverb meaning (descending meaning / ascending meaning; implicit meaning / explicit meaning; sentence meaning / reference meaning; functional meaning / literal meaning / figurative meaning /) are the expression of this plurality.

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TYPES AND ROLES OF PRESUPPOSITIONAL MEANINGS IN ADVERTISING PERSUASION

ANIȘOARA POP

ABSTRACT. Stacking of presuppositions is a sedulously exploited semantic device in advertising. However, a careful selection of presuppositional meanings is hypothesized due to their presence in the logical form (LF) and their non-cancellable, determinate and context-free character. We present the basic types of presuppositions in a contrastive Romanian and English corpus of print advertisements, and demonstrate that: 1) advertisers are aware of the risk of using non-cancellable inferences for making contestable claims, 2) presuppositional load is controlled, even selected due to the advertisers' liability to substantiate it, 3) it is usually flattering assumptions about the reader and/or product that are assumed by the advertiser to be believed by the reader to be true.

1.Presupposition

1.1.Definition. Presuppositions are inferences closely tied to the meaning of lexical items or constructions, and as such, even pragmatic theories of presupposition (Gazdar, 1979) assume that they are part of the conventional meaning of expressions.

A presupposition is treated as a relationship between two propositions:

A presupposes B when:

If A is true, B is true

If A is false, B is true (Levinson, 1983:175).

This property has been described as constancy under negation and distinguishes presuppositions from entailments. To exemplify, the headline "Only you know what goes best with your genes" (Accu2 watches), presupposes that "Something goes best with your genes" and represents an implicated strong reason to buy, even when the presupposing structure is negated.

A further distinction from entailments is that presuppositions are not restricted to assertions – questions and imperatives are also likely to develop presuppositions. As such, presuppositions represent one of the most frequent and effective methods of transmitting information as known, and what interests us is that **known information has the advantage of being accepted by the hearer without any resistance.**

According to the Web Glossary of Linguistic Terms "A presupposition is a background belief, related to the utterance, that must be mutually known or assumed by the speaker and addressee for the utterance to be considered appropriate in context".

In current communication extensive knowledge is presupposed because it is assumed to be known, while other communicated knowledge is new. If everything were already known, communication would be monotonous, even nonsensical. Equally absurd and incomprehensible would be a totally new message, since new and old

information have to be properly balanced for communication to take place. What is perceived as old information may be old for several reasons:

a. common knowledge: "Anna Kournikova's choice" (Omega) – the well-known tennis player is common knowledge and relied on to introduce new information, "[her] choice" of the advertised product;

b. obvious in the context;

c. the speaker knows that the hearer knows – as in the case of specialized technical phrases which are likely to be recognized by specialists but not necessarily by the layman: "Sobre Holdings demands more from **IT** and HP makes sure they get it" (HP);

d. the hearer has already been informed: "Membership of the International Health Plan from Private Patients Plan (**PPP**), the UK's second largest medical insurer is the solution.... Complete the details and return the whole card to **PPP** International....."

Wrong predictions about the interlocutor's knowledge (see c. above) - he either partly knows the presupposed information or partly remembers it - may impair and spoil the communicative process.

Presuppositions represent some of the most powerful and common language patterns. While direct assertions are overt communicative means, it is probably impossible to utter a sentence of any consequence without making some kind of assumption implicitly through presuppositions. Moreover, assertions are accessible to direct conscious processing, whereas presuppositions, which must be accepted for a given sentence or phrase to have meaning, represent subconscious processing.

Advertisers **exploit information structure and especially presuppositions accepted by the hearer without resistance**, promoting to that position critical information. Although presupposed information can be undoubtedly challenged, the immediate reaction is to take it for granted.

Important for their potential to evince presuppositions are NGs and fragments highly exploited in advertising slogans and headlines. The following genitive NG construction is based on an existential presupposition:

e.g.: "Scotland's Finest Art" (The Famous Grouse Scotch Whiskey) presupposes the existence of superlative art and this point is served across without any fear of rejection.

Presuppositional content has to be assumed to be true "a priori" in order for the sentence to be understood as meaningful. When listening and speaking we are for the most part entirely unaware of what we have accepted as presuppositions and thus have accepted the speaker's point of view. Having such a commanding and effective power of persuasion, presuppositions are expected to represent a crucial device for advertisers as, given proper skill of presuppositional content manipulation, carefully chosen implications may be uncritically packaged as common knowledge.

2. Objectives.

This empirical study was performed on a corpus of 60 print advertisement headlines (30 Romanian and 30 English) with the constant variables of medium and target consumer (women) as well as product (mostly cosmetics and jewellery)

extracted from women's magazines (*Cosmopolitan* 2002, 2004 editions, for the English corpus and *Cosmopolitan, Unica*, for the Romanian corpus).

We propose to estimate to what an extent presuppositions are favored by English and Romanian advertisements and contrastively, what the most frequently employed presupposition triggers are. We further **hypothesize a careful selection of the presuppositional meanings due to their non-cancellable, determinate, context-free character.**

For the current study the term presupposition will also cover conventional implicatures since there is no sharp distinction between the two, although sometimes conventional implicatures can be cancelled. Both are not context dependent in that they represent part of the conventional meaning of an utterance, and remain constant under negation. The theoretical framework for our analysis is represented by Levinson's (1983:180) taxonomy of presupposition-triggers.

3. Analysis

Stacking of presuppositions is a common device employed in print advertisements and we have anticipated that such packaged information is transmitted without resistance as representing common knowledge. The following ad has a ratio assertion/presupposition of 1/4 with other more specific presuppositions being further derivable:

e.g.: Headline: "Every day, you make decisions that determine the future of your company".

Presuppositions: P₁: Decisions determine the future of your company;

P₂: You have a company;

P₃: Your company has a future;

P₄: I assure the arbitration of reality.

That the meaning carried through presuppositions is crucial is demonstrated by the following advertisement, where the fact that the "speaking voice" is asking the headline question, assumes that even though "you have a computer system" (P), it might not be the right one:

"What computer system do you have?" (HP).

3.1. Existential Presuppositions (EPs)

In the case of EPs the speaker is assumed to be committed to the existence of the entities named. They appear in connection with the following presupposition triggers:

1. Definite descriptions

a. "The only thing that is highly cut" (Immac hair removal cream) presupposes that "there is a thing that is highly cut" and further assumes the speaker's arbitration of reality. The fact that this thing is cut in some manner, although the premodifying adverb "highly" in "highly cut" (referring to hair) connotes value judgement instead of just fact in "cut high" (panties in the image), makes the double rendition possible.

b. „Dorința care te apropie” (Alexandru) presupposes P_1 : the existence of a wish and furthermore P_2 : some wishes draw you near, through the downgrading that underlies the relative clause.

EPs maintain sensitive aspects of communication in the background. Had the presuppositions in b) above been asserted overtly they would have sounded coarse for more sexually-sensitive readers, who might nevertheless, continue the process of inference drawing to the level of unconventional conversational implicatures derived on the basis of relevance of the salient, incitingly smiling woman in the picture (The possible conversational implicature: „Making love to me is the wish that draws you near” is covertly communicated).

2. Possessive constructions (pronouns, synthetical or analytical genitives):

a. „Descoperă puterea *unui secret*” (“Discover the power of a secret”) has the presupposition P_1 : “Power exists” (triggered by the definite NG) and P_2 that “Secrets have power”. P_2 is covertly communicated via lexical punning and it is not reasonable to believe that in not making it mutually manifest, the writer accepts responsibility for it. That the *Secret* deodorant is strong, though part of the conventional meaning of the utterance, is not meant to be recognized as intended.

b. The presupposition in the following headline helps identify the target consumer as well-off couples: “If your partner’s playing a round – just imagine what you could do” (De Vere hotels): P_1 : You have a partner and further assumes that he is busy. P_2 : You could get up to something, and based on this assumption is drawn P_3 that the speaker assumes attribution of reality.

3.2. *Factive Presuppositions (FP)*

FPs appear where the information following certain verbs is treated as fact (presuppose the truth of their complements):

1. “**think**”:

Headline: “Maggie Perkins **thinks** guys who wear Old Spice understand what women like” (Old Spice);

Copy: “Girls like it. Is there a better reason to wear Old Spice?”

The factive verb triggers:

P_1 : “Guys who wear Old Spice understand something”;

P_2 due to rel clause Some guys wear Old Spice;

P_3 structural Women like something.

Negation of the main factive verb *thinks/doesn’t think*, which is the acid test of presuppositionhood, does not destroy any of these stacked presuppositions. The conversational implicature derived from the rhetorical question of the subhead (flouting quality) is a negative answer, although the presupposition in yes/no questions is vacuous (a disjunction of its possible answers). This establishes the fact that presuppositions and conversational implicatures conduct to different levels of meaning extraction which may ultimately represent the distinction between vacuousness and definiteness in the case of FPs.

2. **"know"**:

"Only you **know** what goes best with your genes" (Accu2) has:

P₁: "Something goes best with your genes" and

P₂ regards the existence of P₁: "That something exists" plus assuming "your arbitration of reality".

Geis (1982:42) posits the existence of a clear-cut difference between the verb **"to know"** and **"to believe"** which is basically that between "having conclusive evidence" (2) and "not having" (1):

"You know *it makes sense*" (Road Safety UK 1960s) – P: it makes sense;

3. **"forget"**: "We never **forget** you have a choice" (British Caledonian Airlines) – P: You have a choice;

4. **change of state verbs** such as: "begin", "continue", "arrive", etc. The following headline is based on an enforced presupposition: "Now in just one stroke, your skin **stays** smoother, longer with Venus from Gillette" (Gillette), presupposes:

P₁: Your skin is smooth, the comparative and the change of state verb conducting in this case to the same presupposition (FP and LP).

3.3. Lexical Presuppositions (LPs)

In LPs the use of one form with its asserted meaning is conventionally interpreted with the presupposition that another, non-asserted meaning, is understood. Leech (1974:299) posits that practically every feature in an argument is potentially associated with a presupposition. For example the individual lexeme "woman" in the headline: "Ce femeie mi-ar putea rezista acum?" (Noul Peugeot 307) will have the following presuppositions:

P₁: some adult female is human;

P₂: Some human adult is female;

P₃: Some female adult is human.

These background presuppositions could be important in assessing cases of personification and agreement, but are of no avail for meaning derivation otherwise, nor are they possibly exploited by advertisers.

Classes of words like adjectives, prepositional phrases, adverbials, nouns, can have downgraded predications and these are of direct import in advertising:

adjectives:

e.g₁ „Ocaziile *profitabile* se....duc repede" (Microsoft), „profitable" has P: "Some things are profitable";

e.g₂ „Which of these two men flies with Austrian Airlines?" has P: only one of them.

- **comparatives** imply relativity of such feature: „Acum Rama, *mai mare* decât Rama, la același preț" (Rama) has P: Rama is inherently big;

- **prepositional phrases**: „Acordă-ți o *clipă*. De *plăcere*." (Camel) has P: Certain moments are pleasant. They exist;

- **iteratives**: "*Iar* trebuie să scoți petele... mai bine evită-le" (Always) carries P: You had to do that many times before; "*Again* Omega is there"(Omega) presupposes: It was there before/in the past (tradition);

- **repetitive verbs**: "The sunscreen you don't have to reapply for", has P: You had to apply before with other sunscreens;

- **adverbials**: "When you make a great beer, you don't have to make a great fuss" (Heinekken) – P: You/i.e. they make a great beer.

3.4. Structural Presuppositions (SPs)

With SPs certain structures are analyzed as conventionally and regularly presupposing that part of the structure is already assumed to be true. This is the most common type of structure used to serve information as known and court of justice examples of such tendentiously loaded structures are well-known: "*How* fast were you driving *when* you entered the red light?" covers double presuppositions of guilt (SP: You were driving fast; factive: you entered the red light, SP trigger: "how" and LP: "You entered the red light", LP trigger: the adverbial "when") and if answered, the truth it expresses must have been accepted.

Structurally-based presuppositions determine the information that the speaker believes, appear to be what the listener should believe, as the following slogans demonstrate:

- ❖ **questions** share the P of their assertive counterparts:
 - "**How** good is easy-on Durex?" – presupposes that the product is good;
 - "**Where** do you need to be? } - Wh-elements are replaced by the appropriate
 - "**How** will you get there? } existentially quantified variable, i.e. where - somewhere
 - Does it matter? } - as a rhetorical question it has P = no, and since
 - Yes, it matters". } it is felt to be present as such in the background, is given
 - (Singapore Airlines) } a positive answer.
 - "**Where** do you want to go today?" (Microsoft) – P: You want to go somewhere.

Unlike yes/no questions, SPs of wh-questions are not invariant under negation. Taking constancy under negation as definitive criterion, certain other phenomena like the ones below, could be accommodated by presupposition, although they are better accounted for under pragmatics. Both examples exploit punning and are felicitous only if the suggested alternatives are not currently valid, i.e. "you do not possess it already" and "you haven't already done it", respectively:

- "E timpul să ai farmec" } felicity condition on invitations;
- "Rise to the occasion. Get stand up protection from Always" }

Statistically and expectedly, **the most frequent P types were those triggered by definite NGs and possessives in both Romanian (50%) and English (40%) corpuses**, followed by LPs, adjective-triggered in English and relative-clause triggered in Romanian. Structural presuppositions were equally frequent to LPs triggered by the change-of-state verbs or iterative expressions and comparatives. These results are validated by the high occurrences of definite NGs, adjectives/relative clauses as NG constituents, possessives and wh-questions in the headlines.

The examples analysed in the two corpuses demonstrate what is preponderantly selected by presuppositionally loaded language to reflect the speaker's perception of events. Whereas assertions are placed at the forefront of advertising communication, **presuppositions are grounded** and sometimes pass unnoticed and unquestioned. The two aspects form a tandem similar to the *figure* and *ground* in Gestalt psychology: the assertions will stand out only against a background of presuppositions.

The reasons which make presuppositions a sedulously exploited semantic device in advertising are:

- determination – **no risky inferences are entrusted to the reader**;
- non-defeasibility – they survive negation and are not context-variable;
- economy – stacking of more Ps is possible on one elaborate structure;
- are usually overtly communicated, although less fair Ps of the flattery type are almost invariably drawn, such as: "You have arbitration of reality", "You have style", etc.

4. Conclusions

The descriptive and contrastive analysis above establishes that advertisers in both English and Romanian are *aware of the risk of using non-cancellable inferences for making contestable claims*. Not even structurally-based Ps which are the most likely to transfer unfair assumptions onto the reader as if they were his, are not capitalized on, since advertisers can always be held responsible;

If something should be conveyed without having to defend it or being unable to defend it, Ps offer the adequate vehicle;

If a covertly transmitted P is rephrased into overt assertions, the claim strength is affected (see the case of Alexandrion exemplified above);

The content of conventional meanings conveyed by presuppositions is controlled, even selected by the advertisers' liability to substantiate them. It is usually **flattering assumptions** about the reader and/or product that are assumed by the speaker to be believed by the reader to be true;

The most frequent P types were Eps, triggered by definite NGs and possessives in both Romanian (50%) and English (40%) corpuses, followed by LPs, adjective-triggered in English and relative-clause triggered in Romanian. Structural presuppositions were equally frequent to LPs triggered by iterative expressions and comparatives. These results are validated by the high occurrences of definite NGs, adjectives/relative clauses as NG constituents, possessives and wh-questions in headlines.

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METAPHOR, METONYMY AND ANALOGY IN POLITICAL DISCOURSE

RALUCA OCTAVIA ZGLOBIU

ABSTRACT. Analysis of political discourse, requires a careful interpretation of the language that is used, as the language itself says a great deal about the ideologies involved and, nevertheless, about those who have shaped them. Another aspect that needs careful investigation is the problem of bias in the media; it does not come as a surprise when politicians and public figures often complain about the distortion of the truth whenever a story is reported, written or told. In what follows we will try to identify some defining features of political discourse.

It is commonplace that language is a means of communication, a means of manufacturing argument and it is known as well that ‘argument’ occupies a central role in political discourse. The political argument carries within an ‘ideological’ surplus, this surplus being derived from a series of beliefs. Whenever analyzing political texts, one must pay attention to the language that is being used, as the language itself says a great deal about the ideologies involved and, nevertheless, about those who have shaped them. Furthermore, there is also the problem of bias in the media; it does not come as a surprise when politicians and public figures often complain about the distortion of the truth whenever a story is reported, written or told. Most of the time the distortion comes from the way in which things are presented or from the kind of language used for a certain purpose.

The philosopher A.J. Ayer stated in 1936 that the terms true and false connote nothing, but function...simply as marks of assertion and denial - meaning that ‘there is no such thing as absolute truth – what we call a truth is in fact an assertion which we ourselves believe in’ (Beard, 2005: 17). There is no such thing as ‘neutral language’ as there is no such thing as an unbiased report, especially when it comes to political stories. For example, the statement: ‘*The White House today threatened Saddam Hussein with military action over the UN inspectors affair*’ (Beard, 2005: 18) definitely creates a perspective that favors the American position, but that does not necessarily mean that it would not be possible to be presented from different perspectives that incorporate different ‘ideological standpoints (Beard, 2005: 17).

In the construction of such ‘ideological standpoints’ (from a stylistic point of view) metaphor and/or metonymy are employed. Both metaphor and metonymy are widely used in the language of politics, as they relate to the ‘metaphorical common sense (Lakoff, 2002: 15). Whenever reading on the daily op-ed pages of a newspaper, we realize that the logical structure of a certain column or article is given not by the actual facts, but by the metaphor. Metaphorical commonsense reasoning operates almost all the time whenever dealing with political texts, otherwise

statements like '*Romania goes forward but with its brakes pushed to the floor*' (The Address of the President of Romania, Timisoara, the 12th of March 2005), or '*The entire Romanian society probably needs mental evolution...*' (ibid), would be regarded as nonsense or even offence.

In political language, metaphor usually establishes a comparison between an idea and another, thus helping in the propagation of a certain status, as Adrian Beard (2005: 19) states: 'When a politician is said to **take flak** from an opponent, politics is being compared to **warfare**, with the politician metaphorically being **shot at**. On the other hand, it may be the politician who is **on the offensive**, **targeting** his opponents by **launching an attack** on their policies'.

Metaphor is individualized according to the context of political life from a certain region or state, whereas metonymy is used on a larger scale because it usually replaces the name of a thing with something that is internationally recognized, for example the statements mentioned above would be easily understood by someone who has been living in a former communist state, but a little bit difficult for someone who has been living in a democratic state and who has not experienced the process of democratization, whereas statements like '*The White House Policy*' or '*Buckingham Palace denied claims...*' are easily acknowledged on a larger scale. Anyone would reckon that the first metonymy refers to the President of the United States, his government and his advisors and that the second one refers to the Royal Family or the British Queen. Nowadays metaphors are easily detected, part of it due to the fact that the context is being presented, on one hand and on the other hand, because their origins became embedded in the language:

‘ **British music** triumphed when *home-grown bands swept the board* at the World Pop Awards. **The Albert Hall** was *treated to a feast* of celebration as many of the world's *leading* bands received their *accolades*. There was also *a morsel* of controversy when the Deputy Prime Minister was *half-drowned* by a **water jug** hurled by *rising star* Jake Thrower¹ .’

2.0. The role of the metaphor in everyday speech was largely analyzed in recent works in semantics (Lakoff and Johnson 1980; Goatly, 1997; Lakoff, 2002) and the conclusion is that the metaphor is embedded in the way we build our world using representations or conceptual metaphors, put simply ‘the metaphorical idea that a lesson is a journey: we take a difficult topic “*step by step*”; if we cannot conclude an idea we “*go round in circles*”; if we lose relevance we “*go off in the wrong direction*”; if we are successful in understanding we “*arrive at a conclusion*”; if we are unsuccessful we are “*lost*” or “*stuck*”.’ (Beard, 2005: 21).

Some of the common sources of the metaphor in politics are thought to be sport and war, probably because it is well known that '*making politics*' involves the idea of practicing it for a while before getting into political debates, before being able to make propaganda of any sort or before stepping into any '*political races*'.

¹ The text is taken from *The Language of Politics* by Adrian Beard (2005: 20), the metaphors are written in italics and the metonymy in bold characters.

There is also the idea of 'winning' in politics, like sport and war it makes use of different strategies and methods of improving the techniques involved in the process of 'winning'. A negative aspect of this was underlined by Gibbs (1994: 27) who said that these metaphors from sport and war 'are not just rhetorical devices for talking about politics, for they exemplify how people ordinarily conceive of politics...for instance metaphors from sports and war often delude people into believing that negotiation and compromise are forbidden by the rules'. But these metaphors are so deeply rooted in our mental schemata that they simply abound in politics without us even being aware of it most of the time. For example, in the USA we have plenty of baseball metaphors: 'a whole new ball game', 'a ball park figure', 'to play ball', 'to be back at first base', 'spin', or in UK, cricket metaphors: 'to keep your eye on the ball', 'batting on a sticky wicket', 'to be stumped' or 'to play a straight bat' to a question (Beard, 2005) The war metaphors are used especially in electoral campaigns (the word campaign making reference to war itself): 'damage control', 'political battles are won', 'leads are surrendered', 'collateral damage' (ibid : 2005). As Lakoff (2002) stated that morality is conceptualized in terms of *financial transactions* and *accounting* (for example 'If you do me a big favour, I will be *indebted* to you, I will *owe* you one and I will be concerned about *repaying* the favour'), it seems that we tend to construct conceptual metaphors in terms of war and sport for politics as well. In political discourse, the metaphorical language contributes to the realization of persuasive power among others linguistic methods that attempt to persuade the receiver:

‘Your last chance to vote for a referendum on who should run Britain – Westminster or Brussels?’

This General Election is by far the most important in Britain's history. It will decide whether our country finally surrenders her independence to Brussels and we become a mere province of Europe.

Already, we have seen our fishing industry destroyed and our business swamped with regulations from the army of unelected bureaucrats in Brussels. And already, laws made by the European Commission are the laws of this land and take precedence over our own.

What's more, our economy must now be run for the benefit of the whole of Europe. The Government has surrendered the right to put us first when it comes to creating jobs and security for our future. And if the Eurocrats have their way, we will soon be forced to abandon our 3 remaining rights – to decide foreign policy, to organize our own national security and control our own borders.

With these rights gone, Britain will be little more than a province in a new country called Europe. This is why this General election is so crucial.

This is an issue which towers above party politics. That's why, on this one occasion, we ask you to lay aside your traditional party loyalty and support the Referendum Party.

But now, just once, we urge you to put your country before your party.²

² The text is taken from a leaflet sent to British voters, Printed by Banks Hoggins O` Shea, 54 Baker Street, London W1M 1DJ on behalf of the publisher.

Metonymy is frequently used in political texts, not necessarily as means of cynical manipulation, but because it helps in ‘designing’ the desired image that would suit a certain ideology. For example, using the expression ‘*The White House*’ in a construction such as ‘*The White House talked to the Union’s leaders this morning...*’ would not help in creating a sympathetic picture of the president (the message would be that the president has just sent his representatives to discuss the issues), whereas ‘*The president and his staff talked to the Union’s leaders this morning...*’ would create the desired image, that of a president who personally gets involved in all the state’s issues. Another example of a widely used metonymy would be that ‘*Watergate Affair*’, as Beard (2005: 27) put it: ‘No building has contributed as much to the language of politics as the Watergate building in Washington. In 1972 the building, which housed the Democratic Party, was broken into by supporters of the Republican president Richard Nixon. This led to a major political crisis in the USA, culminating in the resignation and disgrace of the president. The whole-long, drawn-out process became known as the Watergate scandal, *the building’s name conveniently standing in place of detailed descriptions of very complex procedures.*’ Since then the suffix ‘*gate*’ has been added to all the major political scandals: **Filegate** - the illegal possession and scrutiny of 300-900 FBI files by the Clinton Administration without the file's subject's permission, **Irangate** or **Contragate** - the United States sold weapons to Iran and diverted the proceeds to the Contra rebels in Nicaragua, **Monicagate** - named after Monica Lewinsky who had an "inappropriate relationship" with the then-US President, Bill Clinton, **Wiregate** - the unfolding issue of whether George W. Bush broke the law in wiretapping phones without court orders and so on.

Metaphor and metonymy operate at word or phrase level, making use of the comparison between ideas in order to construct the political argument that has to be shaped for the propagation of one’s ideology, but it does not come as a surprise in political language when comparisons at a larger scale are being made – they are known as analogies, put simply they compare objects of different types that have some common features. In relation to the political language, Beard (2005: 28) says: ‘The “strength” of an analogy depends very much on the degree of similarity between the objects being compared and whether they are similar in ways that are relevant to the argument being made’. The analogy is used as a means of persuasion, on the one hand, and as a means of inducing the ‘righteousness’ on the other, the examples that follow underline the second intention:

‘A half a century ago our nation and world paid dearly for appeasing an aggressor who should and could have stopped. We're not about to make the same mistake twice.’³

‘Facing negligible resistance from its much smaller neighbour, Iraq’s troops stormed in blitzkrieg fashion through Kuwait in just a few short hours.’⁴

³ examples of the use of the World War II analogy from statements by Bush

⁴ *ibid*

The Romanian political texts also abound in the ‘phenomenon’ of analogy and most of them are related to the process of democratization or to the process of the growth of the economical ‘strength. Usually the target of the analogy tends to be the country’s problems and the bases of the analogy are the western countries’ political systems or economies.

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LES DEGRES DE COMPARAISON DES ADVERBES EN ANCIEN FRANÇAIS ET EN FRANÇAIS MODERNE

ADRIAN CHIRCU*

ABSTRACT. *The degrees of comparison of adverbs in ancient and modern French.* In this article we intend to present the main aspects regarding the evolution of the degrees of comparison of the French adverb. While describing the language aspects, we also took into account the situation in Latin; this language did not have so many possibilities of rendering the degrees of comparison as the neo-Latin languages did. Thus, our approach is both diachronic and synchronic, but it does not leave out the comparison with the other Romance languages when necessary.

0. Les linguistes qui ont traité jusqu'à présent de l'adverbe et de la catégorie grammaticale de la comparaison n'ont pas insisté suffisamment – nous semble-t-il – sur le rapport qui existe entre les faits de langue anciens et contemporains. La langue doit être surprise dans son évolution. Beaucoup de formes grammaticales enregistrées dans les siècles passées justifient celles d'aujourd'hui. En fait, c'est ce que nous voulons démontrer dans les pages suivantes à l'égard de la comparaison adverbiale française.

1. Généralement, l'adverbe est pauvre en catégories grammaticales. Il en possède une mais elle ne lui est pas spécifique car celle-ci est aussi présente dans l'inventaire des catégories grammaticales adjectivales. Ces dernières sont, dans la plupart des cas, à leur tour, empruntées au nom, grâce au phénomène connu en linguistique sous le nom d'accord.

1.2. Il faut remarquer que les adverbes n'ont pas tous des degrés de comparaison. Les adverbes qui acceptent des degrés sont, pour la plupart, les adverbes de manière mais les autres peuvent eux aussi entrer dans des structures comparatives.

Il habite plus loin que toi.

En fait, il s'agit de degrés de comparaison (= catégorie grammaticale de la comparaison) qui doivent leurs emplois aux relations syntaxiques qui s'établissent à l'intérieur de la phrase. Néanmoins, pour des raisons descriptives, nous abordons ce sujet du point de vue morphologique.

1.3. Dans son *Lexique de la terminologie linguistique*¹ (français – allemand – anglais - italien), J. Marouzeau nous précise, à propos des degrés de comparaison,

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¹ 3^e édition augmentée et mise à jour – 3^e tirage, Paris, Librairie Orientaliste Paul Geuthner S. A., 1969, pp. 52-53.

qu'on a affaire à des «*indices affectés à une qualité, suivant qu'elle est énoncée telle quelle (positif), ou qu'elle est donnée par comparaison comme notable (comparatif) ou supérieure (superlatif)*. On distingue des degrés de comparaison *relatifs*, qui répondent à l'idée d'une évaluation établie par rapport à un point de comparaison donnée (*équatif: aussi grand que*); *comparatif: plus grand que*; *superlatif: le plus grand*), et *absolus*, qui répondent à l'idée de supériorité indépendante de toute comparaison précise (*comparatif: assez grand*; *superlatif ou élatif: très grand*). On range quelquefois parmi les degrés de comparaison l'expression du degré *excessif* d'une qualité, répondant à l'emploi du français *trop*.»

Une mention particulière mérite le degré positif car, en vérité, il n'est pas un degré de comparaison puisque le deuxième terme de la comparaison manque. Il représente un élément «*qui ne contient pas l'indication d'un degré ou d'une valeur.*»²

2. En vieux français, nous rencontrons ici et là des traces des anciens degrés de comparaison synthétiques latins: *miels (mels)* 'mieux, plutôt' (< lat. *melius*), *pis* (< lat. *pejus*) 'pire, pis', *meins (mains, moins)* = marque d'infériorité (< lat. *minus*), *malisme* ou *benisme*:

anc. fr. *Men escientre, dous cenx anz ad e mielz*³. (Roland, v. 539)

[Il a, je pense, plus de deux cents ans.]

anc. fr. ... *laquelle mieux vaudroit chevaucher que mener en main...*(Rabelais, *Le cinquième livre*, p. 808)

[...qu'il vaudrait mieux chevaucher que mener par la main.]

anc. fr. *Melz sostendriet les empedementz qu'elle perdesse sa virginité*. (Bec, *Eulalie*, 16-17)

[Elle préfère subir la torture plutôt que perdre sa virginité.]

Parfois, les comparatifs latins sont perçus comme des formes simples – *plus, mais*⁴ (*meis, mai, ma, mes*) 'davantage, plus loin, plutôt' – et deviennent des marques spécifiques des degrés de comparaison.

2.1. En latin, les comparatifs et les superlatifs synthétiques des adjectifs et des adverbes (positif - *fortiter* 'courageusement'; comp. *fortius*; superlatif *fortissime*) sont généralement remplacés par des formes analytiques: *magis idoneus* 'plus juste', *magis verisimile* 'plus vraisemblable', *multo magis* 'beaucoup plus', *magis audacter* 'avec plus d'audace', *multo magis* 'mieux', *magis argutum* 'plus expressif', etc.

Toutefois, il reste quelques formes qui sont constituées d'une manière synthétique:

anc. fr. *Mielz portat armes que un hom de trente anz*. (*Chanson de Guillaume*)

[Il portait mieux les armes qu'un homme de trente ans.]

² *Idem, Ibidem*, p. 182.

³ En roumain, *Mă gîndesc că are două sute de ani și mai bine* ou ... *mai bine de două sute de ani*.

⁴ Pour la concurrence entre *magis* et *plus*, voir Robert DE DARDEL, *Magis et plus en protoroman*, in *Romanistisches Jahrbuch*, tome 37, Berlin – New York, Walter de Gruyter, 1987, pp. 87 – 93.

anc. fr. *Asez est mienz qu'il les testes i perdent...* (Roland, v. 58)

[Il vaut bien mieux qu'ils y perdent leur tête...]

anc. fr. *Brochent ad ait pur le plus tost aller.* (Roland, v. 1184)

[Ils piquent avec énergie pour aller plus vite.]

Le comparatif d'égalité était très bien représenté en ancien français. Un élément constant de la comparaison d'égalité était *autresi* (< *altresi* < *altre* + *si*) qui sera vaincu par *aussi*. Ce dernier adverbe est parvenu jusqu'à nos jours. *Autresi* était accompagné dans les structures comparatives par *com(e)* ou *que*:

anc. fr. *Si l'encaeinent altresi come un ours* (Roland, v. 1827)

[et ils l'enchaînent tout comme un ours]

anc. fr. *La bouce avoit fresce et novele autresi que une pucelle.*

(Blancandin - Apud Nyrop, *Op. cit.*, VI, p. 19)

Quant au comparatif d'inégalité, celui-ci connaissait en général l'emploi de *meins* (< lat. *minus*) pour l'infériorité et de *mais* (< lat. *magis*) pour exprimer la supériorité et même un superlatif:

anc. fr. *Si grant doel out que mais ne pout ester.* (Roland, v. 2219)

[Il souffrait tant qu'il ne pouvait rester debout.]

De nos jours, *magis* reste utilisé seulement avec une valeur conjonctionnelle adversative⁵ (*Aller i volt, mais il ad desturber*, Roland, v. 2548 'Il veut y aller, mais il est empêché'), exception faite de quelques parlars du centre de la France. De plus, on peut noter sa présence dans la structure de la locution *n'en pouvoir mais* (à comparer avec le roumain: *nu mai pot* 'je n'en peux plus').

Par contre, cette forme a été généralement remplacée par *plus*. (*Magis* subsiste en provençal: *L'ai vist mai que d'un cop*. 'Je l'ai vu plus d'une fois'.) Le deuxième terme de la comparaison⁶ (*que*) continue une forme latine (*quam*). Le *com(e)*, présent en ancien français s'est effacé.

L'ancien français utilisait des adverbes de quantité pour exprimer le superlatif absolu: *moult (molt, mult), assez, tant, trop, si*:

anc. fr. ... *si bien chantant, si bien parlant, si plaisants en faits et en dits ?* (Villon, *Poésies*, p. 98)

anc. fr. *Ceste dolor ne demenez tant fort.* (Roland, v. 2946)

[Ne laissez pas voir tant de douleur.]

anc. fr. *Mult haltament escrient un sermun.* (Roland, v. 3270)

⁵ Voir, pour ce changement de valeur grammaticale, l'article de O. DUCROT, C. VOGT, *De magis à mais: une hypothèse sémantique*, in *Revue de linguistique romane*, tome 43, n°171-172 (juillet-décembre), Strasbourg, Société de linguistique romane, 1979, pp. 317-341 et J. MELANDER, *Etude sur MAGIS et les expressions adversatives dans les langues romanes*, thèse présentée en vue de l'obtention du doctorat à la Faculté des Lettres d'Upsal, Upsal, Imprimerie Almqvist & Wiksell, 1916, VIII – 167 p.

⁶ Parfois, le deuxième membre de la comparaison peut être *de* ou *sur*: *Mes riches seras en toz tenz sur ceux qui seront ne qui furent* 'Mais tu seras puissant à jamais bien plus que ceux qui vivront ou qui ont vécu' (Apud Buridant, p. 645).

[D'une voix très haute, ils lancent cet appel.]
 anc. fr. ... *si se merueille mult forment...* (*Tristan*, p. 156)
 [...il est profondément étonné...]
 anc. fr. ... *molt tost vers le vergier s'an va...* (Bec, FR., XI)
 [... il va en toute hâte jusqu'au verger...]

2.2. Parfois, *moult* (adverbe) est concurrencé par *tres* (< lat. *trans*: *trans bonum* 'au-delà du bon') qui finit par s'imposer et éliminer généralement *moult*. Parfois *tres* et *moult* connaissent un emploi pléonastique:

anc. fr. *J'i puis aller mult ben !* (*Roland*, v. 254)
 [Moi, je puis très bien y aller.]
 anc. fr. *Asez est mielez qu'il les testes i perdent...* (*Roland*, v. 68)
 [Il vaut bien mieux qu'ils y perdent leur tête...]
 anc. fr. *E Olivier, qu'il tant poeit amer...* (*Roland*, v. 2216)
 [Et Olivier qu'il aimait tant, ô combien...]
 anc. fr. *Jel vos pardoing molt boenemant.* (Bec, FR VII, 1)
 [Je vous pardonne de tout cœur.]
 anc. fr. *Li empereres mult fierement chevalchet.* (*Roland*, v. 738)
 [L'empereur chevauche terrible et fier.]
 anc. fr. ... *jel vos pardoing molt boenemant.* (Bec, FR., VII)
 [je vous pardonne de tout cœur.]

Moult pouvait être employé tout seul sans faire partie d'une structure comparative et sa signification se rapprochait d'une certaine façon de celle du *bien* quantitatif qu'on utilise aujourd'hui:

anc. fr. *En talant ai que mult vos voeill amer.* (*Roland*, v. 519)
 [J'ai très à cœur de bien vous aimer]
 anc. fr. *Mult me puis merveiller de Charlemagne, ki est canuz e vielz.* (*Roland*, v. 537)
 [J'ai bien sujet d'être étonnée par Charlemagne qui est chenu et vieux.]

La même observation est valable pour *plus* qui connaît une utilisation assez répandue:

anc. fr. *Unc mais nuls hom en tere n'en vit plus.* (*Roland*, v. 1040)
 [Nul être humain n'en vit jamais davantage.]

Le plus souvent, *mult* avait une valeur adjectivale, ce qui témoigne de l'usage en latin. Nous le rencontrons dès les premiers textes en langue française.

Si était lui aussi utilisé en combinaison avec *que* ou *com(e)* pour exprimer l'idée de superlatif, surtout quand il s'agissait d'un adjectif:

anc. fr. *Lanceloz ist fors de la chanbre, si liez que il ne li remanbre de nul de trestoz ses enuitz.* (Bec, FR. X, 1-2)
 [Quand Lancelot sort de la chambre, il est si heureux qu'il ne se souvient plus d'aucun de tous ses tourments.]

3. Par rapport à l'ancien français, le système comparatif du français moderne est plus conservateur mais d'autres possibilités sont apparues au fur et à mesure que la langue a évolué, surtout en ce qui concerne le superlatif qui connaît aujourd'hui un emploi fréquent.⁷

3.1. Comme nous l'avons déjà rappelé, les principaux degrés de comparaison sont identiques à ceux des adjectifs et sont au nombre de trois: **positif**, **comparatif** et **superlatif**. «*Le degré peut être envisagé en lui-même, indépendamment de toute comparaison avec d'autres êtres ou objets (degré absolu), ou par comparaison avec d'autres êtres ou objets (degré relatif).*»⁸

Ce qui différencie l'adverbe de l'adjectif au sujet des degrés de comparaison c'est l'invariabilité du premier par rapport au deuxième. Dans l'énoncé, la situation de l'adverbe comparable (qui peut être comparé) se présente dans sa variante complète ainsi que nous l'indiquons à l'aide de l'adverbe (adjectif adverbialisé) **faux**:

Positif:

faux – Il chante faux.

Comparatif:

égalité – *Il chante aussi faux que son frère.*

Il chante aussi bien que son frère.

supériorité – *Il chante plus faux que son frère.*

infériorité – *Il chante moins faux que son frère*

Superlatif:

relatif: supériorité – *C'est celui qui chante le plus faux de tous*

infériorité - *C'est celui qui chante le moins faux de tous*

absolu: *Il chante assez faux⁹.*

Il chante très faux.

Il chante si faux.

Il chante si faux que nous nous bouchons les oreilles

3.2. En tenant compte du fait que la langue française permet aussi d'exprimer une idée de superlatif par l'intermédiaire des formes en **-ment**, il convient de rappeler quelques-uns des adverbes qui participent formellement et sémantiquement à l'enrichissement de l'inventaire du superlatif ou des moyens de réalisation du superlatif: **terriblement**, **énormément**, **rudement**, **diablement**, **bigrement**, **bougrement**,

⁷ Nous avons en vue les superlatifs familiers qui contiennent dans leur structure un faux préfixe: **super**, **ultra**, etc.

⁸ Jean DUBOIS et alii, *Op. cit.*, p. 98.

⁹ Nuance atténuée de superlatif.

délicieusement, durement, fortement, grandement (il y parfois des différences de registre; une grande partie de ces adverbes appartiennent à la langue parlée):

Il fait terriblement chaud.
Elle dansait merveilleusement bien.
Pierre chantait atrocement faux.

Le français moderne conserve aussi des anciennes formes comparatives synthétiques (*mieux, pire, moins*)¹⁰:

anc. fr. *Miex aim morir vos i morez.* (Apud Buridant, p. 645)
 [Je préfère mourir que de vous voir mourir.]
-Oh! à la maison, c'est mieux. (Camus, *Premier*, p. 11)

Elles sont connues dans les grammaires de la langue française en tant que formes irrégulières:

a) pour *bien*, nous avons *mieux, le mieux (de mieux en mieux* < anc. fr. *miels et miels*), *des mieux* 'très bien' (vieilli), *pour le mieux*:

Le mieux est de partir.

b) pour *mal*, nous avons *pire, le pire, pis, le pis* (anc. fr. *pirement*¹¹):
Il chante pire que son frère.

Le pis, pour les étudiants, c'est de rater un examen, sans savoir pourquoi.

C'est le pire (le pis) qui puisse t'arriver.

Ces dernières formes coexistent, quelquefois, avec les formes analytiques (*plus mal*¹², *moins mal, aussi mal*), mais elles caractérisent surtout le langage soutenu et sont présentes souvent dans des locutions: *chanter de mal en pis, aller de mal en pis, au pis aller, pis-aller, tant pis* .

Les superlatifs synthétiques en *-issimo* représentent des emprunts à la langue italienne ou au latin savant et ne caractérisent pas la langue française: *fortissimo* 'très fort', *pianissimo* 'tout doucement', *prestissimo* 'très vite', etc.

4. Cette perspective sur la catégorie grammaticale de la comparaison de l'adverbe français d'hier et d'aujourd'hui témoigne non seulement de l'unité générale de la classe mais aussi du fait que l'évolution de la comparaison doit être vue comme une voie où il existe de temps en temps des haltes.

¹⁰ Les autres langues romanes (sauf le roumain) gardent des traces des anciens comparatifs ou superlatifs latins. Ces derniers font partie, généralement, du vocabulaire fondamental des langues romanes: lat. *melius*, lat. *pejus*, lat. *minus*: it. *miglio*, it. *peggio*, it. *meno*, esp. *peor*, esp. *menos*, port. *pior*, port. *menos*, cat. *millor* (anc. cat. *mills, mill, mïls*), cat. *pitjor* (anc. cat. *pirs, pïts*), cat. *menys*, prov. *mièlhs* (anc. prov. *melhs*), prov. *pièje, pire*, prov. *mens* (anc. prov. *mèins, menys*), frprov. *pir*, frprov. *muens*, frprov. *mièlx*, rhétrom. surs. *mèins* 'moins', engad. *main*, anc. fr. *tardeis* 'plus tard', anc. prov. *longeis* 'plus loin', sd. *peyus*, rhétrom. surs. *mèins*, engad. *main*, rhétrom. engad. *pêr*, corse *pégghiu, mégliu, ménu*, etc.

¹¹ Aussi en français moderne *meilleurement* (voir sur le moteur de recherche Google qui enregistre cette forme maintes fois).

¹² ****Le Petit Robert*, p. 1955, «*pis – compar. synthétique pouvant en certains cas remplacer plus mal ou plus mauvais.*»

Ces arrêts représentent en fait des moments significatifs pour la langue et, dès qu'un mot «descend», un autre «monte», dès qu'un sens s'efface, un autre se crée, dès qu'une forme évolue ou change, elle prend un nouvel habit.¹³

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¹³ Les remarques pertinentes, relatives à la phonétique, d'André MARTINET, *Economie des changements phonétiques. Traité de phonologie diachronique*, deuxième édition, coll. «Bibliotheca Romanica/ Series Prima-Manualia et commentationes», X, Berne, Editions A. Franke S. A. 1964, 396 p., sont valables, semble-t-il, aussi des points de vue lexical, grammatical, etc.

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ASPECTS OF THE POETIC SEMANTICS IN THE TEXTS OF ION CREANGA'S "TALES"

VICTORIA JUMBEI

ABSTRACT. *Aspects of the poetic semantics in the texts of Ion Creanga's "tales"*. This article is meant to reveal the functional role of certain metaphorical structures and to identify, at the same time, the textual modalities of conveying the meaning in Ion Creanga's fairy tales and stories.

1. The purpose of the following analysis is an overall taking into account of certain metaphorical structures in Ion Creanga's fairy tales¹ and stories, the next step being to specify their functional role in the text. Discussing such a theme is conditioned by our own attitude towards the texts. If we look at them as simply a conglomerate of metaphors without any direct reference to the texts, the intellectual effort remains superficial, and we risk losing ourselves in insignificant generalities or formulating generous appreciations. To neglect the important role of the metaphors in Creanga's work and their function within the text would mean to go back to the moment of simplifying labels or to a fragmentary method. We assume that, in the texts, the metaphorical structures are organised in fascicles that reflect and detail the orientation of a certain technique of the texts.

2. Starting from these objectives, we will make a very important distinction² between *the metaphor at the language level* and *the metaphor at the meaning level*³ or *the metaphor of the text*. Without making such a distinction, Blaga intuited the existence of two radically different structural types of metaphors: "plasticizer", which is produced "within the language by associating two facts, more or less alike, both of them being at the language level; things imagined, lived or thought"⁴; and "revealing" which "tries to *reveal* a «mystery» through means available in the concrete world, sensitive experience and imaginary world"⁵. Speaking of this fundamental intuition, it needs to be added, in the spirit of the integralism, that in the metaphors at the

¹ I chose the word "tale" for methodological reasons, the purpose being to include examples taken from both fantastic stories and fairy tales.

² The distinction was elaborated in many studies (1987; 1996; 1997; 2002) by M. Borcilă based on the language theory created by E. Coseriu and the philosophy of metaphor proposed by L. Blaga.

³ See also L. Zagaevschi *Despre statutul metaforei ca funcție textuală în lingvistica textului*, in "Studia Universitatis Babeș-Bolyai, Philologia", XLVI, 2001, no.4, p.77-88.

⁴ L. Blaga, "Geneza metaforei și sensul culturii", in *Trilogia culturii*, București, Editura pentru Literatură Universală, 1969, p.276.

⁵ *Ibidem*, p.279.

language level, which are a manifestation of creativity through language, it is reflected the way the human being “considers the world and his attitude towards it”⁶, i.e. the function of the language is to structure the experience by creating meanings.

At a higher level of creativity, beyond the language itself, the metaphor at the meaning level has a totally different function: to interpret the world and to even create worlds. We have the same means, but the final result is different. At the textual level, *the signifieds of the language* and *the designations* become *signifiers* for the content of the text⁷. From the point of view of this semantic theory we need to go back to Blaga’s suggestion in order to introduce a distinction between two spheres and functions of the metaphorical process also at the clearly defined level of meaning: the linguistic metaphor of the meaning which carries the “*expressive*” function or the “*plasticizer*” and the poetic metaphor⁸, defined by its “*revealing*” function, creator of worlds, “the prototype for the <nuclear> sphere of the poetics of the cultural texts”⁹.

3. The metaphorical structures (that we deal with in this chapter), by repeatable manifestations, identified in an indefinite number of contexts, gained their status in the *language* (i.e., in the norm of the language¹⁰) from where they were moved into the text, without making any poetic meaning, though. They give plasticity, colour, and life to the writer’s language. “Speaking in the most general way, the start point for an adequate functional placement of the metaphorical process “within the language”, as Blaga would insist, is the legitimate listing of this process in the intimate relation of the meaning (or the “signified”) with the speaker’s “remarkable intuition” and in the finality of the designation (through the linguistic sign) of an “experiential fact”, new and extremely individualised or particularised.”¹¹. The text integrates perfectly these linguistic manifestations.

3.1. The present study wants to discover comprehensive functional connections that motivate structures and metaphorical functions¹² in I. Creangă’s tales. The

⁶ E. Coseriu, *Creația metaforică în limbaj*, in “Revista de lingvistică și știința literară”, 1999-2001, no.184-198, p.25.

⁷ E. Coseriu, *Tesis sobre el tema “lenguaje y poesia”*, in *El hombre y su lenguaje*, Madrid, Gredos, 1977, p.207.

⁸ “The very end result that governs the entire process will no longer be obtained through a simple <plasticization> of the first element, but through an <enrichment of the meaning of the facts themselves that these metaphors refer to>”, in: M. Borcilă, *Între Blaga și Coșeriu. De la metaforica limbajului la o poetică a culturii*, in “Revista de filozofie”, XLIV, 1997, no.1-2, p.160.

⁹ *Ibidem*, p.149.

¹⁰ E. Coseriu, *Lecții de lingvistică generală*, Chișinău, Editura ARC, 2000, p.279: “The norm of a language [...] contains all that, in the speech of a functional language, is traditional, common and constant, although not necessarily functional: all that is said (and understood) <this way and not differently>”.

¹¹ M. Borcilă, *art. cit.*, in *loc. cit.*, p.156.

¹² The metaphorical functions play a fundamental role in the configuration of the textual meaning. For a detailed discussion on the textual functions, see E. Coseriu, *Linguistica del testo. Introduzione a una ermeneutica del senso*, Roma, La Nuova Italia, 1981/1997; E. Tămăianu, *Fundamentele tipologiei textuale. O abordare în lumina lingvisticii integrale*, Cluj-Napoca, Clusium, 2001; and for the metaphorical

connections are not given beforehand, as patterns for semantic models, but must be identified in the texts. Therefore, within the outlined conceptual framework, our investigation is not descendent, from certain general patterns or criteria towards their illustration on a type of text, but it is ascendant, starting from concrete facts. Also, the similitude between certain metaphorical lines can have a contrastive value, and it will be verified, in each case, if the analogies can be derived from parallel principles of text structure.

3.2 "Foc de harnică"

Creangă chooses to express the absolute superlative through metaphorical structures. The phrases used are comprehensible and accepted within the community (i.e., the peasants' language in Moldova and not only). It is the achievement of ideal forms that transcend time, because they undergo important social determinations and delimitations. We are in the domain of an independent modality, considered within itself from the constitutional point of view and from the point of view of the internal relations between the elements that constitute the metaphorical structure. In achieving this concrete form of the absolute superlative, there is something that inevitably and permanently plays its role, and that is the process of creation. The modalities for expressing the absolute superlative have already become "conventional"¹³.

In Creangă's case we can talk about three "types" of superlative: "the superlative of action", "the superlative of appearance" and "the superlative of quantity"¹⁴. These forms of superlative are realised in many ways (for example, the superlative of "action" is mostly realised through comparison), but we chose the metaphorical phrases.

a) *The superlative of action*. This modality of expression is generated by the extraordinary vitality of the characters, by their zeal and by the pathos with which they face the danger or bear the consequences of it, all this conferring hyperbolic dimensions to each event.

"...vede o dihanie de om, care [...] striga, cât îi lua gura, că *moare de frig*" (HA, 176);
 "...o namilă de om [...] striga în gura mare că *crapă de foame*" (HA, 177);
 "...o arătare de om [...] striga în gura mare că *se usucă de sete*" (HA, 177);
 "...Flămânzilă și Setilă [...] așteptau cu neastâmpăr, fiind *rupți în coș de foame și de sete*" (HA, 187);
 "...*degerăm* aicea ...Vai de noi și de noi, că *ne-a înghețat limba în gură și măduva în ciolane de frig!*" (HA, 184)

b) *The superlative of "appearance"*. The characters in the fiction universe bear qualities according to their activity and way of existence.

functions, see M. Borcila, *Paradoxul funcțiilor metaforice în poetica lui Blaga*, in "Tribuna", 1987, June 4th; *ibid*, *Între Blaga și Coșeriu ...*, in *loc. cit.*; L. Zagaevschi, *art. cit.*, in *loc. cit.*

¹³ "Of course, not all metaphors that are created in concrete linguistic acts become <language>, which means that not all of them find a place in the community's tradition. Moreover, by entering the <language>, they become <conventional>, gradually losing their initial value as images." E. Coseriu, *Creația metaforică în limbaj*, translated by E. Bojoga, in *loc. cit.*, p.16.

¹⁴ G. Tohăneanu, *Stilul artistic al lui Ion Creangă*, București, Editura Științifică, 1969, p.59-66.

“Și cum ajung acolo, Ipate se și prinde în joc lângă *un pușor de fată* căreia îi jucau ochii în cap ca la o șerpoaică” (SP, 140);
 “...și-și ie un suflet de noră întocmai după chipul și asemănarea celei dintăi, cu deosebire numai că aceasta era mai în vârstă și ceva mai încrucișată, dar *foc de harnică*” (S, 77);
 “Și așa baba cea zgârcită și nebună a rămas de tot *săracă, lipită pământului*” (P, 95);
 “-...Tot mănăstiri să croiești, dacă vrei să te bage dracii în samă, să-ți vie cu banii de-a gata la picioare și să te facă *putred de bogat!*” (DP, 103);
 “...dracii ies afară din iaz *câtă frunză și iarbă!*” (DP, 105);
 “Mă rog, nebunii de-a lui, *câte-n lună și-n stele...*” (HA, 180);
 “Sau, cum s-ar mai zice la noi în țărănește, era *frumoasă de mama focului; la soare te puteai uita, iar la dânsa ba*” (HA, 195);
 “*Lumea de pe lume* s-a strâns de privea, / Soarele și luna din ceriu le râdea” (HA, 196).

c) *The superlative of “quantity”*. An index for creating such an idea of superlative is the phrase *atâta amar de*:

“Moșneagul, văzând pe cucoșul său așa de mare și de greoiu, și încunjurat de-*atât amar de galițe*, i-a deschis poarta” (P, 95);
 “Și în sfârșit, după *atât amar de* trudă și primejdii, cu mare ce au izbutit să ajungă la gura unei peșteri” (PP, 121);
 “-...Aici se află Făt-Frumos, pe care îl cauți tu de-*atât amar de*¹⁵ vreme” (PP, 121);
 “-...Crezi tu că vom pute noi singuri secera și strânge *atâta amar de* grâu...” (SP, 134).

All these structures are related to the linguistic sense and the expressive value conveyed by the author. Therefore, saying, for example, “very beautiful” or “a lot of people” doesn’t imply any associations in the reader’s conscience. Consequently, we witness a revaluation of the people’s language, which is not an illogic phenomenon, but, on the contrary, it offers precious indications regarding the function of the metaphorical structures in the text. If we want to enter the reality of the tales, we will have to indicate that “very beautiful”, for example, is a purely denominating sign and it doesn’t convey any of the associations or images implied by the author. The basis of such a creation is the expressivity of the sign used.

3.3. *The irony*

We can establish a gradation of the functions of the metaphorical structures that ranges from cases of “threat” to simple joke, without which Creangă’s tales (and his work in general) wouldn’t have sap. Derived, descriptive or metaphorical words substitute other words; the effect obtained being the irony. Flămânzilă urges Gerilă “să-și strângă *buzișoarele* acasă”, so that he doesn’t regret later the noise he was making; or the Red Emperor, when giving a new task to Harap-Alb and his companions, warns them: “Și dacă-ți pute scoate la capăt *trebușoara asta*, atunci oi u mai vede eu...” (p.188). The subjective value – the irony – is context related, “una «acepción» que se da en la designación concreta, y no un valor opositivo de lengua,

¹⁵ See also *Povestea lui Harap-Alb*, p. 151.

un significado"¹⁶. And from here different ironic values of the diminutive as opposed to the neutral phrase. The expressive function is important in the given quotations. We have here an "identification of the opposites", with ironic effect and significance¹⁷. One thing is said, but what is meant is actually the contrary:

"-Ia ascultați, măi! zise Gerilă: «Vorba lungă, sărăcia omului!» Mai bine haidem la culcare, că ne așteaptă omul împăratului *cu masa întinsă, cu făcliile aprinse și cu brațele deschise*"(HA, 182);

"-Iaca, măi babușcă, *ce odor* ți-am adus eu! Numai să-ți trăiască! *Un băiet ochios, sprâncenat și frumușel* de nu se mai poate...Îți *sămână* ție, *ruptă bucățică!* ...Acum pune de lăutoare și grijește-l cum știi tu că se grijesc băieții: că după cum vezi, îi cam *colbăit*, mititelul!" (PP, 111);

The ironic use of the metaphor "*odor*" appears in other tales, as well, but with a different degree of intensity:

"Ș-apoi baba și cu *odorul de fică-sa* tot cârtitoare și nemulțămitoare erau." (FB, 197)

or in the following quotation where the author is more gentle giving explanations regarding the name of Dănilă Prepeleac:

"...așa îi era porecla, pentru că *atâta odor* avea și el pe lângă casă făcut de mâna lui" (DP, 98).

With the same ironic value, we find the noun *bunătate* in *Ivan Turbincă* in two quotations where it is metaphorically used, under its plural form, not losing the abstract meaning.

"-...Dar ce-ai slăbit așa Vidmă?

- De *bunătățile tale*, Ivane...

Dumnezeu, însă, știa de toate acestea, dar voia să mai facă și pe cheful lui Ivan, nu tot pe-a Morții; căci *multe bunătăți* mai făcuse și ea în viața ei!" (213).

It is interesting to see the replies given by Flămânzilă and Ochilă to Gerilă in the scene of the burning house. The characters' structure and role, on one hand, and their funny words, on the other hand, create a contrast full of effect.

"-...Zău, nu șuguești, măi Buzilă? Da' amarnic mai ești la viață; când te mâinii, *faci sânge-n baligă*, zise Flămânzilă. *Tare-mi ești drag!*...*Te-aș vâri în sân*, dar nu încapi de urechi...

-Ai dreptate, măi Gerilă, numai tu nu te cauți, zise Ochilă. Dar cu *prujituri de-a tale*, ia, acuș se duce noaptea, și vai de odihna noastră" (HA, 183).

¹⁶ E. Coseriu, *Los diminutives: "Noción" y "Emoción"*, in *El hombre y su lenguaje*, Madrid, Gredos, p. 170.

¹⁷ E. Coseriu, *Creația metaforică în limbaj in loc. cit.*, p.16.

If we extend our analysis to other tales we notice that in different contexts the phrase *a se umple de bucurie* has different functions. It appears in the first quotation with its usual meaning¹⁸, and in the second with the opposite meaning, an ironic one:

“...când a venit Sfânta Duminică de la biserică și a văzut copiii lăuți frumos și toate trebile bine făcute, *s-a umplut de bucurie...*” (FB, 200);
 “Și când se duce împăratul și vede cum se îndeplinesc de bine poronca lui, *se umple de bucurie...*” (HA, 189).

Undoubtedly, the reader notices the two opposite meanings, which the phrase has in these similar contexts, by placing them in the everyday life experience. In the next example the ironic use of the phrase *a aduce bucurie* is also present. Following the unsuccessful exchange, that Dănilă himself realises, the character “runs” to his brother to tell him the “good” news:

“Și ajungând în sat, se duce drept la frate-său, ca *să-i ducă bucurie*” (DP, 100).

We find here, as well as in so many other places, the wise words of the writer, shadowed by irony, under whose playful smile, we wrote these lines.

3.4. *The malefic Pantheon*

Trying to systematize the evil forces in I. Creangă’s fairy tales, I noticed that these could be organised according to a well-established hierarchy in the “Pantheon” of evil. This catches our attention especially because its mythical figures form a veritable nucleus of metaphors. We are dealing with masculine and feminine mythical characters, as they appear in the following quotations:

“...Ia, sunt vreo cinci-șese zile de când a fost să ducă viței la suhat, și un vânt rău pe semne a dat peste dânsa, sârmana!...*ielele* i-au luat gura și picioarele” (S, 87);
 “Cucoșul [...] face ș-o apăraie prin casă, de s-a îndrăcit de ciudă *hârca de la bucătărie*” (P, 93);
 “Ducă-se și cobe și tot, numai bine că am scăpat de belea, că *nici lucru curat* n-a fost aici!” (P, 94);
 “-V-oiu învăța eu pe voi să puneți stăpânire pe lucrurile din lume, *cornorașilor!*” (DP, 103);
 “-Aveți noroc, *spurcașilor*, că-mi sunt mai dragi banii decât pusnicia, că v-aș arăta eu vouă!

Dracul răspunde:

-Nu te pune în poară, măi omule cu *împăratul iadului* ... Apoi lasă banii și se întoarnă în heleșteu, unde găsește pe *Scaraoschi* tare mâhnit pentru pierderea unei comori așa de mari” (DP, 103);

“- Măi *Michidușă!* Doar eu te credeam mai tare decât ești!” (DP, 104);

¹⁸ According to the cognitive theory on the metaphor, this phrase is metaphorical, being based on the imagistic scheme of the container. The cognitive interpretations state that, by placing this against the background of our everyday life experience, a metaphorical projection takes place of the corporal schemes to the emotional domain. We are talking about the cognitive researchers belonging to the line initiated by G. Lakoff and M. Johnson through their work *Les métaphores dans la vie quotidienne*, 1980/1985.

- “-Ba nu! Stai, *Sarsailă* ! tu cum ai chiuit de trei ori?” (DP, 106);
- “-Mai îngăduiește puțin, *tartarule*, că nu te trag copiii de poale!” (DP, 107);
- “Copiii și nevasta lui, când au văzut *un bivol* zburând pe sus au rupt-o la fugă înspăimântați” (DP, 108);
- “-Puneți mâna, copii, pe *jupânul ista* și începeți a-l blăstăma cum știți voi mai bine...” (DP, 109);
- “Stăpâna acestei slujnice era *viespea care înălbise pe dracul*, îngrijitoarea de la palatul lui Făt-Frumos, o vrăjitoare strașnică...Dar numai un lucru nu știa *hârca*: gândul omului” (PP, 122);
- “Atunci *Talpa-iadului* a chemat pe necunoscuta drumeață în odaia împăratului...” (P, 122);
- “*Știrba-baba-cloanță* [...] i-a pregătit acum una ca să doarmă dus până a doua zi dimineată” (PP, 122);
- “Despre ziuă, *Tălpoiul* a venit posomorâtă...” (PP, 123);
- “Ei, *copile*, ce ispravă ai făcut? Câte suflete mi-ai arvonit?” (SP, 129);
- “-Ei bine, *zmârdoare uricioasă* ce ești, de mâncat ai mâncat boțul de mămligă...” (SP, 129);
- “Atunci *dracul* dă o raită pe la *talpa-iadului*, să vadă ce lipsește...” (SP, 130);
- “-...Da’ de unde ești tu, măi țică? și ce cauți pe-aici, *spaima cânilor*?”
- ...Ia, sunt și eu *un băiet sărman*, din toată lumea...” (SP, 130);
- “-...Măi *parpalecule*, nu cumva ești botezat de sfântul Chirică Șchiopul, care ține *dracii de păr*?” (SP, 131);
- “-Da’ ia lasă-mă la *părdalnicul*, stăpâne...” (SP, 134);
- “-...Și chiar de nu-i fi tu *Uciğă-l crucea*, tot n-ați umblat cu *lucru curat*...” (SP, 137);
- “Chirică era și el pe-acolo, și, cum se lasă Ipate din joc, *spiridușul dracului* îi zice...” (SP, 138);
- “-...ia, una din aceste a înălbit odată, numai într-o singură noapte, pe *moșu-meu* în fântână” (SP, 139);
- “Dar Chirică era acum tocmai în iad și se desfăta în *sânul lui Scaraoschi*...” (SP, 146);
- “-Măi, nu cumva să vă împingă *Mititelul* să întrați înaintea mea unde ne-a duce omul țapului celui roș...” (HA, 181);
- “-Ei, las’, că vă judec eu acuș, *necuraților*...” (IT, 207);
- “-Ia! Am căpțușit *niște iepuroi* și am de gând să-i jumulesc” (IT, 209);
- “*Talpa-iadului* însă, mai ajunsă la cap decât toți dracii, zise atunci lui *Scaraoschi*...” (IT, 211).

There are multiple examples and they re-occur in different tales. Our purpose is not to study these creatures, but to establish a hierarchy within “*sânul lui Scaraoschi*”.

Iadul/ Sânul lui Scaraoschi	III	cornorați / spurcați / dracul / Michiduță / Sarsailă / tartar / bivol / zmârdoare uricioasă / parpalec / spaima cânilor / băiet sărman / pârdaľnicul / Ucigă-l crucea / spiridușul dracului / moșu-meu/ Mititelul / necurat / iepure / copile / jupân
	II	Iele
	I	Talpa iadului / Tălpoiul / viespea care înălbise pe dracul/ Știrba-baba-cloanța / mama dracului / hârca

Scaraoschi / jupân Scaraoschi / împăratul iadului / Sarsailă spurcat

Sketch 1

Therefore, we are dealing with evil mythical characters and their metaphorical names in some of the texts. The observations we can make by analysing the above sketch are many. The mythical creatures that we mentioned, on a descending scale according to their evilness, are labelled and named differently. These are very well known names in our everyday speech. Thus, the supremacy in hell is owned by *jupân Scaraoschi*, as Ivan calls him. In the same sentence the Russian soldier call him *Sarsailă spurcat*. Danilă Prepeleac will call one of *Scaraoschi's* apprentices *Sarsailă*. Why? Probably because he is only dealing with simple “employees”¹⁹, “the hermit” calls them by all the names he knows. *Talpa-iadului* is the supreme evil creature, “the mother of all evils”²⁰. The analysis of texts proves this fact. The term has three relatively different functions: “the basis of evil” in *Povestea lui Stan Pățitul*, “the origin of evil” *mai ajunsă de cap decât toți dracii* in *Ivan Turbincă*, and, as reference, aiming to the same status of evilness, *viespea care înălbise pe dracul* or *Știrba-baba-cloanța* in *Povestea porcului* or *hârca* in *Punguța cu doi bani*. Skipping, in our hierarchy, the level of evil fairies, we get to the level of “the most innocent” servant of hell. Most of the quotations are structured around this representative

¹⁹ In medieval times, the doctor Johann Wier (*Pseudomonarchia daemonum*) gives a list of devils that he divides in angelic hierarchies, according to the sketch used by Pseudo-Dionis had used for angels. “Each of them has at his disposal, an army or more of inferior demons, called legions.” Since its origins, the evil has been segmented in a large series of representations, ordered in a precise hierarchy. See “Ierarhiile demonice” in: Alfonso M. di Nola, *Diavolul*, București, Editura BIC ALL, 2001, p 213-215.

²⁰ The following quotation from *Povestea lui Harap-Alb* is significant for this observation, in the episode where Gerilă warns his companions about the danger in the copper house: “...De nu le-oiu veni eu de hac în astă noapte, nici *mama dracului* nu le mai vine!” (p. 181).

of evil who, almost always, is ridiculed, betrayed or mocked at. One thing is certain for this characters' intuition: everything that is *beyond*, in the evil universe, *nu este lucru curat*, regardless of its place in the hierarchy or its occupation.

The evil creatures are different based on their degree of intelligence and knowledge: *împăratul iadului* knows it all; *Tălpoiul* knows "toate dracăriile de pe lume" except for the human mind; *zmârdoarea urâcioasă* doesn't even know what mortals talk. What draws the attention in *Povestea lui Stan Pășitul* is the obvious behaviour and structural ambivalence of the devil. On one hand, he is *Scaraoschi's child*, *zmârdoarea urâcioasă*, and on the other hand, *băiet sărman, din toată lumea, fără tată și mamă* who wants to serve and be devoted to his master. The change from evil and good would, at a first glance, make the status of this demon a bit unclear. But there is an order of things in hell as well that cannot be broken; and responsible for it is *jupân Scaraoschi*.

4. The analysis presented so far is only a part of a larger and longer research. Along this investigation, we tried to point out only a few aspects of the metaphorical semantics in Ion Creangă's *Tales*. Undoubtedly, it is necessary to have a more detailed discussion of the specific textual functions of the metaphors from the work we researched, which would be supported by large text analysis.

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SUBJECT CONTENT-BASED VERSUS SKILL-BASED EAP COURSES

ANA - MARIA IUGA

ABSTRACT. To what extent do EAP trainers require a specialized knowledge of the academic subjects their students wish to pursue? This paper is meant to be a discussion of the importance of subject-content knowledge in EAP.

Introduction

The aim of this paper is to explore the issue of how much, if any, subject content knowledge is required for EAP (English for Academic Purposes) teachers to successfully prepare their learners for academic study. It will begin by considering the research evidence for the effectiveness of subject content-based ¹ courses, leading to suggested answers to the following two key questions:

1. What level of subject content knowledge is necessary to train students preparing to enter undergraduate (i.e. first degree programs) in Biological Sciences?
2. What level of subject content knowledge is necessary to train students preparing to enter postgraduate (i.e. higher degree programs) in Biological Sciences?

Let us first consider the rationale for asking these questions. In traditional, skill-based ² EAP courses, it has generally been thought that the trainer does not require specialized academic knowledge of the learners' major subject of study. This is because such training focused on developing language and study skills and not on the academic subject itself. The learners, it is often argued, can deal with complexities of terminology and ambiguities of subject content that may be beyond the trainer's knowledge of the specialist subject. EAP trainers were typically told to exploit queries about subject content, so as to provide opportunities for the students to develop their fluency, produce extended spoken discourse, and effectively share their knowledge of the subject, even if this knowledge goes beyond the trainer's command of the subject. This strategy however, involves a high degree of risk for the trainers, particularly in terms of their credibility with the learners.

The emergence of subject content-based (as opposed to skill-based) EAP courses in the 1980s (c.f. Brinton, Snow & Wesche 1989) raises the issue of which

¹ Subject content-based courses use material drawn from one or more mainstream academic disciplines (e.g. biology or chemistry). They are designed to increase language proficiency and to facilitate academic performance (Kasper 1995a).

² Skill-based EAP courses use materials that are not grounded in any one specific academic discipline, but cover a range of topics (e.g. "global warming" or "health and fitness").

types of skills and knowledge are necessary for EAP trainers to deliver effective and professional courses for ESL/EFL students intending to follow college degree programs in English speaking countries. Krashen (1982:172, 1985:70) identified what he calls a 'transition problem', which refers to a perceived gap in the English Language and study skill abilities of learners who have passed through traditional language classes, and those required for study purposes within universities. He argues that subject content-based courses can impart both subject knowledge and language competence at the same time, and points to evidence from the Canadian immersion programs at the University of Ottawa (Edwards et al, 1984; Wesche 1984).

More recently, the work of Kasper (1994a, 1994b, 1995a, 1995b, 1995c, 1995/96, 1996, 1997) has greatly strengthened the evidence for the effectiveness of content-based courses. She has reported both improved language and content performance among students exposed to content-based EAP programs, higher scores on measures of reading proficiency, and higher pass rates on ESL courses. She also provides quantitative evidence that such students establish and retain a performance advantage over students exposed to non-content based EAP training. Her work also supports the views of Benesch 1988, Guyer & Peterson 1988, and Snow & Brinton 1988, that content-based programs facilitate ESL students' transition to academic mainstream college courses, increasing the likelihood that such students will gain a college degree.

The trend towards content-based EAP training presents a clear challenge to EAP instructors. It may therefore be necessary for EAP trainers to possess a certain level of background knowledge in their students' academic subjects in order to meet this challenge. A wide range of interests cover the major fields of Biology and Biotechnology:

- Genetic engineering, including gene sequencing
- Microbial facilitation of polymer biosynthesis
- Crop research, including yields and crop storage
- Lipid biosynthesis and related metabolic pathways
- Histology and pathology of the liver
- Microbial action in fermentation
- Enzyme isolation and purification
- Genetic manipulation of bacteria
- Physiology of aquatic mammals
- Plant growth factors

The teaching objectives for the lecturers include:

- Grammatical and lexical input for biological sciences in specific fields of interest
- Listening to lectures and seminars and taking effective notes
- Reading sections of textbooks and published research papers (e.g. abstracts)
- Discussion and interpretation of visual material (graphs, charts, diagrams etc.)
- Writing summaries of texts presented orally or in written form
- Oral fluency for discussion of themes related to developments in biotechnology
- Self-study component based on individual research completed in the library

The modes of input on the courses may be based on material selected from Wallace (1980) and Waters & Waters (1995). Language input work utilizes concepts common to biological description, such as process, sequence, cause and effect, along with quantity, size, shape and proportion, as detailed in Adamson & Bates (1977). Major blocks of time and attention must be devoted to developing participants' reading skills. This work focuses on identifying key topics, themes and issues, relating texts to visuals and vice versa, identifying specific content in a text in relation to a pre-set reading purpose, and critical discussion of papers read. Listening skills training focuses primarily on listening to, and taking notes on lectures, that may be based on a variety of published sources (e.g. Mountford 1977; Pearson 1978; Adkins & Mckean 1983; Yates 1989). Written work concentrates on the writing of scientific abstracts, preparing short summaries of research projects, and editing research papers intended for publication.

The input includes how to structure a talk, give an introduction, present methodology, describe results, interpret results and conclude. The courses for lower language proficiency level students have the following objectives:

- Basic oral fluency for speaking with visitors to the laboratories
- Study skills; reading, writing and listening
- Specific lexis for identifying and describing laboratory equipment
- Reading skills for comprehension of laboratory manuals and procedure

These classes need language and skills input sessions, followed by practicals³. The 'practicals' involve the learners in realistic everyday activities such as they might perform as a normal part of their jobs as technicians and assistants in the biochemistry, microbiology and genetic engineering laboratories. In these sessions, course participants are trained to:

- give guided tours of the laboratories for visiting academics
- identify, describe and state the function of pieces of apparatus
- describe specific experiments, their purpose and outcomes
- read, write and interpret laboratory instructions (e.g. for calibrating instruments such as spectrophotometers and ph meters)

The course in English for the Medical Laboratory (Swales & Fanning 1980) proves an invaluable source of lexical and grammatical input for both oral and written description of laboratory equipment and procedure.

Language Input

The traditional approach to language content and subject content has been to treat them as separate domains, and to advise EAP teachers not to attempt to answer or handle questions arising from clarification of facts related to the learners' academic

³ The 'practical' sessions in the laboratories focus on the language required to describe and demonstrate scientific experiments and procedures. They involve students in carrying out scientific experiments in the microbiology, biochemistry and genetic engineering laboratories.

discipline. The assumption that language input and subject content is separable is, of course, erroneous. While it is true that much of the input is general facilitative language (e.g. basic process verbs such as 'take', 'carry', 'pass', 'transport', 'flow'), even in this genre there are terms which are specifically biological in nature (e.g. 'diffuse', 'digest', 'dilate', 're-combine', 'mutate'). Prepositions may be used to describe biological structures (e.g. 'above', 'below', 'between', 'beside', 'along', etc.), but equally there are similar terms that are specifically biological (e.g. 'anterior to', 'posterior to', 'inferior to', 'superior to', 'medial to', etc.). The latter group has specific meanings when used to describe the structure of plants and animals. If we accept that general facilitative language (e.g. sequencers, quantifiers, logical connectives etc.) cannot be separated from the more specifically biological terminology (e.g. adjectives for modes of nutrition; 'holozoic', 'holophytic', 'saprophytic'), then it seems that we would also have to accept that some degree of knowledge of the specific terminology is required, if the EAP trainer is going to be able to teach anything valuable to the learners.

Following from the above argument is the question of whether an EAP trainer with a non-relevant academic background can adequately prepare to deal with language points such as those cited above. If the trainer is working with undergraduates, it should be possible to anticipate such terminology and prepare adequately using standard biological textbooks. However, even at this level it represents a substantial investment in additional preparation time. The use of a standard pre-university biology textbook, such as 'Biology: A Functional Approach' (Roberts & King: Nelson, 1987) can significantly reduce the trainer's burden. This text has excellent summaries of the major fields of biological knowledge at the beginning of each chapter, so that even trainers without relevant background knowledge could obtain an adequate grasp of such fields as Genetics, Evolution, Nutrition, Histology and Reproduction.

Skills Work

The training in key skills such as selective listening and note taking requires specific background knowledge of the subject matter, if it is to be successful. Although most of the published comprehension courses referred to previously do have answer keys to the exercises, it is difficult to see how a trainer lacking a relevant background knowledge of the subject could deal with questions arising from a biochemistry lecture on the 'Krebs Cycle', or explain to students how to take notes on the complexities of the endocrine system in mammals, without a grounding in the subject content required. In order to succeed in training scientists to take effective notes, it is necessary for the trainer to advise the student on key words and concepts and in particular to guide the student in identifying key nouns, verbs and adjectives, the content words that carry the central message in scientific discourse. Separating key concepts from redundant language in scientific discourse requires a knowledge of which terms are key and which are not, and this comes from an in-depth study of the subject matter. Without this background knowledge the trainer may be unable to interact effectively with the learners because of unfamiliarity with the discourse that is unfolding in class. How would a trainer lacking

relevant background check a reading or listening comprehension task, or prepare learners to write laboratory reports or research papers they might wish to publish? Even for training undergraduates then, some relevant knowledge of the subject content is at least desirable. For training postgraduate biotechnologists, it is all the more important.

Questions on Terminology

The terms 'symbiosis', 'mutualism', 'predation', 'parasitism' and 'commensalism' describe different types of relationship between organisms and can only be distinguished by asking such questions as:

- Do the organisms share the same habitat?
- Does one organism harm the other?
- Does one organism benefit from the other?
- Do both organisms benefit?
- Does one organism feed on the other?

It is not really sufficient just to look up these terms in the dictionary; the trainer requires knowledge of the relevant clarifying questions to ask, and this comes from background knowledge of the subject. Without this specific background the trainer would be in the same position as the learners, reaching for the dictionary. The uses of the questions above enable the students to critically examine some specific examples and decide precisely which term was being illustrated.

Listening to lectures

In training learners to listen to lectures, again background knowledge is invaluable. It enables the trainer to identify likely sources of difficulty for the students and anticipate problems in understanding key words and concepts frequently used formulae and cause and effect relationships. A lecture from Yates (1989) provides information and requires learners to take notes on five groups of microorganisms. While a trainer lacking background knowledge of microbiology might succeed in making clear some of the differences between bacteria and viruses, algae and protozoa would present a greater challenge, and the fifth group, actinomycetes, would probably confuse both the trainer and the learners. At postgraduate level then, background knowledge of the learners' specialist field would appear to be essential to effective training.

Seminar Skills Training

In the discussion in a seminar on a published paper entitled 'Two Australian Species of Dinopid Spider' the trainer requires a detailed understanding of ecology, of such phenomena as habitat, range, distribution, feeding behavior, competition, adaptation and the like. A lack of background in ecology would make it almost impossible for the trainer to offer anything more than an opportunity for the students to gain further oral fluency practice.

Conclusion

It is worth recalling that on many pre-departure EAP training programs, trainers in Romania have students from mixed academic backgrounds, so that the same trainer trains a biochemist, an engineer or an architect. In such situations it is obviously not possible for the trainer to have an academic background that is relevant to all the students' fields of study. Our answer to the first question in the introduction is that trainers without a relevant background should be able to prepare themselves to teach undergraduate biologists, though additional preparation time and a willingness to take risks is required of the trainer. For postgraduates, especially for research students, a relevant background is all but essential for effective training in the complex academic and language skills required.

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VARIETIES OF ENGLISH USAGE

CORINA PACURAR

ABSTRACT. No single system of conventions and rules can accurately describe all the complexities of a language. Whether we like it or not, our language is changing and is varied, and because of this, it offers choices. Living languages such as English grow and change continually. Ordinarily the changes are slow and barely noticeable. The changes we observe over great periods of time are not the only variations that occur in a language. At any moment in its history, a language also shows many internal variations, both spoken and written. We will try to identify some of them.

1. Changes in Language. Living languages such as English grow and change continually. Ordinarily the changes are slow and barely noticeable-slightly different pronunciations, new shadings in the meaning of words and gradual shifts in grammatical constructions-but their cumulative effect can be dramatic. The works of Shakespeare, written four centuries ago, are difficult for many modern readers. Many of the words are unfamiliar and the grammar occasionally seems strange:

BANQUO. This guest of summer,
The temple-haunting marlet, does approve,
By his lov'd mansionry, that the heaven's breath
Smells wooingly here; no jutty, frieze.
Macbeth, I.vi.3-10.

The works of Chaucer, written in the fourteenth century, are hard to read without a large glossary and a grammar guide:

A Clerk ther was of Oxenford also,
That unto logyk hadde longe ygo.
Of studie took he moost cure and moost heede.
Noght o word spak he moore than neede.
The Canterbury Tales, I.285-86, 303-308

Still earlier works, like *Beowulf* (ca. 750), can be understood only by specialists who have studied Old English much as you would study a foreign language:

Hwylum cyngines þegn,
guma gilphlaeden, gidða gemyndig,
se ðe ealfela ealdgesegna
worn gemunde, word oþ er fand
so ðe gebunden; secg eft ongan
sið Beowulfes snyttrum styrian,
ond on sped wrecan spel gerade
wodum wrixlan.
Beowulf, 11.867-74

Yet all these works are written in a language that can be called English and all have been admired by many generations of readers.

I.I. The changes we observe over great periods of time are not the only variations that occur in a language. At any moment in its history, a language also shows many internal variations. English, both spoken and written, must accommodate all the needs and situations its many users find for it. It must be capable for dignity, clowning, precision, ambiguity, anger, effacement, explanation and entertainment. It must be capable of serving every conceivable audience, from scientists gathered at a conference to teenagers hanging out at a video arcade. It must provide its users with the choices of vocabulary, tone, syntax, and structure they need to convey who they are, what they know, and how they wish to be perceived at any given time.

Until fairly recently, it was common for students of language to assume that “good” English was fixed by an inflexible set of rules, and that any variation from this norm was automatically “bad” English. This highly *prescriptive* approach to language study reflected the belief that there was some ideal form of English, orderly and uniform. Students had merely to learn its laws and apply them, just as they would in studying physics or chemistry. Although the prescriptive approach and modern linguistic scholarship-called *descriptive* because it studies and describes the language as it *is*-have shown it to be less than satisfactory. No single system of conventions and rules can accurately describe all the complexities of a language. Whether we like it or not, our language is changing and varied, and because it is, it offers choices. When you write for academic or professional reasons, you will ordinarily employ Edited American English. But other legitimate varieties and versions of English-some mainly spoken, others both spoken and written-serve individuals and groups in special time and particular places. These idiolects and dialects are also “good” English.

2. Idiolects. Everyone has a personal language. It may be different from the language of someone who lives two hundred miles away or of the neighbor next door; it may be scarcely distinguishable from another person’s language. This personal language can be called an *idiolect*. The word combines two terms, the first of which (*idio*) originally meant something like “personal”, “separate”, or “one’s own”; the second comes from a word meaning “to converse”. An idiolect grows out of your own life and may change as your life changes. Shakespeare’s Bottom the Weaver, a comic character in *A Midsummer Night’s Dream*, has an idiolect marked by a tendency to say only approximately what he means:

. . . The eye of man hath heard, the ear of man hath not seen, man’s hand is not able to taste, his tongue to conceive, nor his heart to report, what my dreams was.
IV.i.211-14

Very different is the idiolect of a character in Stephen Crane's "*The Bride Comes to Yellow Sky*". His language tells us something about his age, his location, and the kind of life he has led:

His enemy's face went livid. He stepped forward and lashed his weapon to and for before Potter's chest. "Don't you tell me you ain't got no gun on you, you whelp. Don't tell me no lie like that. There ain't a man in Texas ever seen you without no gun. Don't take me for no kid." His eyes blazed with light, and his throat worked like pump.

Part of John F. Kennedy's idiolect was the phrase: "*Let me just say this about that*". And until the *idiosyncrasy* was pointed out to him, President Reagan's replies to questions invariably began with a thoughtful "*Well, . . .*"

An idiolect is not necessarily restrictive. People can usually understand other people's idiolects, and almost everyone regularly shifts from one idiolect into another and then another. The same harried householder may find suitable language for addressing his boss, his minister, his two-year-old daughter, and his schnauzer, all within a few minutes and all without much consideration. An idiolect, in essence, may be characterized as a person's verbal *style*.

3. Dialects. When a community of speakers and writers uses idiolects that have much in common in pronunciation, grammar, and vocabulary, the combined idiolects are referred to as a *dialect*. We usually think of a dialect only as the language of a particular geographical region, but the word can name any gathering of idiolects that share essential characteristics. A dialect is almost like a code: speakers and writers of a dialect can usually converse with and write to speakers of the general language, but they also know the special language of their group or region. Dialects can be classified as regional, temporal, occupational, public and general.

3.1. Regional Dialects. There are many *regional dialects*; some of them are readily recognizable. Migration habits, work habits, geographical features, plant and animal life, and other characteristics of a particular region sometimes help create a language for the area that is distinguishable from other dialects. A regional dialect may be marked by special words. Depending upon what part of the country you're in, you will put your *pop*, *soda*, or *soda pop* in a *bag*, *sack*, or *poke*. If you are from Western Pennsylvania you might substitute *younse* for your friend from Missouri's you-all's. People in the Southwest have more occasions to talk about *canyons*, *mesas*, and *arroyos* than people in Massachusetts do, both because of the southwestern topography and because of their exposure to Spanish languages.

A regional dialect may be identified at times by special pronunciations of ordinary words or phrases. Texans manage to compress "*Did you eat?*" into the single word, *Jeet?*, while some natives of Columbus, Ohio, pronounce their city in a single syllable: *Clumbs*. A regional dialect may be marked, too, by characteristic constructions, by pronunciations, and by words not commonly used elsewhere.

3.2. Temporal Dialects. Dialects can also be temporal. Language changes faster in some communities than in others; sometimes a group preserves usages or

words while another group hurries into acceptance of new terms and constructions, discarding the old. Quite often these temporal dialects reflect social, cultural, or political movements that thrive for a while and then fade away, depositing a residue of words, constructions and intonations that linger in the general dialects. The slang of the beatniks of the 1950's the hippies of the 1960's and the Valley Girls of the 1980's all represent temporal dialects that readily accepted changes in vocabulary and usage: *cool, man; daddy-o; right on; turn on; gag me with a spoon; fur shure.*

3.3. Occupational Dialects. Professional languages, craft languages and shoptalk may be called *occupational dialects*. Such dialects occur most frequently in writing or speech connected to particular jobs or professions, but parts of some occupational dialects have entered our general language. We frequently borrow words from occupations and use them in our writing and conversation: *feed-back, EKG, microchip, input, huddle, graphic equalizer, close-up, or program* (as used with computers).

Occupational dialects occur in many ways. We may expect to find such languages in professional journals and specialized books written for audiences that share a common technical expertise and vocabulary. But, more and more, occupational dialects are being employed to enhance the creditability of information and advertisements aimed at a more general readership:

All other cordless phones (including other Freedom Phone models) use a 49 MHz signal for handset to base transmission, and a 1.7 MHz signal for base to handset reception. This system is completely satisfactory for most situations. But if you're surrounded by steel construction, heavy concrete, abundant FM radio interference or other problems, the double 49 MHz system provides the ultimate solution.-advertisement for Freedom Phone 4000

3.4. Public Dialects. Words, phrases and constructions that come in politics, television, magazines, motion pictures, and other kinds of public communications form special languages that might be called *public* or *media dialects*. With amazing speed, the various media can put a new word, phrase, or slogan on every tongue or at the tip of every pen: *American Held Hostage!, run-away inflation, Star Wars weapons, generation gap, stagflation, "At this point in time", crisis in Lebanon, missile gap, gender gap.* Similarly, news commentators, sports reporters, film stars and television characters can exert extraordinary influence on public discourse. How many people have borrowed the glib retorts lines of *M.A.S.H.*, the malapropisms of Archie Bunker, the tag lines of Johnny Carson and Joan Rivers, or the clipped phrasings of David Brinkley? All of these become part of fluctuating, often short-lived, but consequential public dialects.

3.5. General Dialects. Although the *public dialects* are extraordinarily pervasive, most of the language you ordinarily encounter doesn't belong to any of the particular classes of discourse we have examined so far-the personal idiolects and the regional, temporal, occupational, and public dialects. If you take into account all of the language you hear or read in a given week, from news-papers, magazines, radio, television, classrooms, friends and elsewhere, you will find that most of it falls into that

broad range of language so commonly used it attracts no attention it itself. The varieties of languages within that range can be described as *general dialects* or *general English*. General English varies in formality, complexity, tone and specificity; the three passages which follow show some of that variety, but have in common the naturalness, simplicity and closeness to speech typical of general dialects:

Once there was a lot of sound in my grandmother's house, a lot of coming and going, feasting and talk. The summers there were full of excitement and reunion. The Kiowas are a summer people; they abide the cold and keep to themselves, but when the season turns and the land becomes warm and vital they cannot hold still; an old love of going returns upon them.-N. Scott Momaday, **The Way to Rainy Mountain**

Yet if our agriculture-based life depends on the soil, it is equally true that soil depends on life, its very origins and the maintenance of its true nature being intimately related to living plants and animals. For soil is in part a creation of life, born of a marvelous interaction of life and nonlife long eons ago.-Rachel Carson, **Silent Spring**

How to complain

Your service representative is available to answer your questions and resolve your problems. If you're not satisfied, feel free to ask for a supervisor. If your problem can't be solved by the supervisor, ask for the manager or higher levels of management.-Southwestern Bell telephone directory

The most casual and informal varieties of general English tend to use words and phrases more characteristic of speaking than of writing: *cop, deadpan, iff, chancy, phony, peeve, whodunit*. Such words are called *colloquial* by some dictionaries. When we are writing or speaking informally, we are also likely to use slang (*mug shot, flatfoot*), regional expressions (*coal oil, fried pie, bayou*), and words that, for one reason or another, enjoy a temporary fashion or popularity (*bottom line, anomaly, negative cash flow*).

4. "Nonstandard" English. The term *nonstandard* must be carefully qualified when applied to the varieties of language we have examined. Any language can be a nonstandard form. In a special sense, idiolects and dialects associated with particular groups, particular places and particular times can be considered nonstandard only in that they are not languages for wide use. In a more general way, a language can be called nonstandard if its spelling is inconsistent, its punctuation idiosyncratic, and its usage not widely accepted. And while nonstandard English is most often defined by its vocabulary, its sounds, or its grammatical construction, we might also count as nonstandard any language that falls in its purpose to communicate as effectively as possible.

5. Edited American English. For use in writing, almost any language has to be edited. When you write, you ordinarily present your language in consistent and corrected form. *Edited American English* is a version of the language associated with

schools, good newspapers, good books and good public speakers. It is an idiolect or dialect that has been modified to produce a uniformity in sound, a consistency with the grammatical standards traditionally taught in English and American schools, and a vocabulary that can be shared by people in different places at different times. Edited American English results from a filtering process. What separates people linguistically is left for use. Few people speak edited American English; many write it. It is another variety of language available to you.

All the dialects and forms of English discussed in this introduction can become appropriate edited American English when edited for public presentation. The language of our casual conversations-of our idiolects and dialects-can be the basis of a kind of *informal* edited American English. General spoken English is the basis for a *general* edited American English. And, finally, we can describe a *formal* English, found chiefly in writing, that is a more consciously constructed and more complex development from general edited American English. This formal English, which is the appropriate language of much academic and professional writing, is heavily influenced by the conventions established by writers and editors in the past. It usually treats specialized topics and addresses relatively limited audiences. Its vocabulary is derived from the language of its subject matter as well as from general English and, when appropriate, from idiolects and dialects. It may also employ many abstract words. Its grammatical constructions tend to be fuller than those of general English, and ordinarily its sentences are longer and more complex. Formal writing tends to follow older practices in punctuation and to use more frequent and heavier punctuation than is typical in general English.

The formal English used in academic, scientific technical, and scholarly writing is often impersonal. Good formal writing, however is not stilted or dull. This account of the mapping of Switzerland shows the single-minded attention to the subject, the compact and orderly statement of ideas, and the moderate use of technical terms that characterize good impersonal formal English:

The heroic task of making a topographic survey and map of Switzerland fell to the lot of General Guillaume Henri Dufour (1787-1875). Under his personal supervision the work was begun in 1830 and the first sheet was published in 1842. Thirty-four years later the entire survey, on a scale of 1:100,000 was finished and the last of 25 sheets came from the press. Soon after, the map appeared in atlas form, published at Berne. Far from being a pioneering effort that would require immediate revision, the Dufour atlas proved to be a model of accuracy and artistic delineation, not only for future map makers of Switzerland but for cartographers at large. The sheets of the atlas were used as a basis for later surveys on different scales, and on the sheets of Switzerland's new survey references were made to the corresponding section and subsection of the original Dufour map. The art work and conventional signs on the new map were almost identical with those of the Dufour originals.-Lloyd A. Brown, **The Story of Maps**

A more personal type of formal English is shown in the following passage. Some of the words and phrases are formal-*inert knowledge, radical error* and *delicate, receptive, responsive to stimulus*. The constructions are full: note the sentence beginning *Whoever was the originator* and the following sentence, beginning *But whatever its weight of authority*. But some constructions (*I appeal to you, as practical teachers. So far, so good.*) carry an unmistakable personal emphasis to keep us aware that the writer is expressing himself as an individual.

I appeal to you, as a practical teachers. With good discipline, it is always possible to pump into the minds of a class a certain quantity of inert knowledge. You take a textbook and make them learn it. So far, so good. The child then knows how to solve a quadratic equation. But what is the point of teaching a child to solve a quadric equation? There is a traditional answer to this question. It runs thus: The mind is an instrument, you first sharpen it, and then use it; the acquisition of the power of solving the quadric equation is a part of the process of sharpening the mind. Now there is just enough truth in this answer to have made it live through the ages. But for all its half-truth, it embodies a radical error which bids fair to stifle the genius of the modern world. I do not know who was first responsible for this analogy of the mind in a dead instrument. For aught I know, it may have been one of the seven wise men of Greece, or a committee of the whole lot of them. Whoever was the originator, there can be no doubt of the authority which it has acquired by the continuous approval bestowed upon it by eminent persons. But whatever its weight a authority, whatever the high approval it can quote, I have no hesitation in denouncing it as one of the most fatal, erroneous, and dangerous concepts ever introduced into the theory of the education. The mind is never passive; it is a perpetual activity, delicate, receptive, responsive to stimulus.-Alfred North Whitehead, **The Aims of Education**

These are some forms of our language: countless idiolects, many dialects, edited American English, formal language. Each can be used to move or to inform; each can be warm, generous, and powerful; each can be used with precision.

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THE IT-BASED-LANGUAGE-LEARNING: CAMPUS-COURSES VS ONLINE-COURSES

CORALIA DITVALL ♦

RÉSUMÉ. Varför är den IT-baserade undervisningen i språk praktiserad bara av ett litet antal lärare? I denna artikel tänker vi inte svara på denna frågan, utan vi kommer att lyfta fram några idéer som kan ge upphov till reflexioner kring denna fråga. Vår 8-års-erfarenhet av online-utbildning verkar visa att e-kurser når ett större geografiskt område och därmed flera studenter, de erbjuder större flexibilitet, de är rationella samt kostnadseffektiva – några argument för en ny pedagogisk modell, d v s online-utbildningen? I denna artikel kommer vi först att presentera några centrala punkter kring online-lärandet och sen fokusera vår studie på

1. Introduction

The IT-based university-language-learning seems still to be at its beginning. Only a small number of university-teachers have welcomed this pedagogical model. Why? We will try, in our paper, on the basis of an 8-years-experience, to actualize some reflexions within this item, primarily based on our online-course-programme in Romanian. We will present different items around the e-learning which will lift up the difference between online-courses and campus-courses.

2. Why e-learning?

Let's start with the key-question, namely «*What is the purpose of online (-university)-courses? Do they offer a more flexible teaching & learning, a higher quality-status, a modern, more efficient and more financially reasonable educational-system?*»

3. A completely new pedagogical model?

Is e-learning a completely new pedagogical model? Without a doubt – the central problem we face now is the *distance* between the teacher and the students. Maybe this is one of the reasons that *persuades* the other teachers to non-adopt this new pedagogical model?!

We think, though, that this problem may be solved, at least partially, if the teacher, while elaborating the course-programme, takes into account – from the very beginning - a few essential items, which we call the *5-how-questions*, that we initiated as our working-frame when we started to elaborate the IT-based university-courses in Romanian, in 1998, [4], [5].

The *5-how-questions* are as follows:

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- 1) *How* can we present an efficient didactic course-material?
- 2) *How* can we create an efficient exercise-material?
- 3) *How* can we verify the student's level-increase?
- 4) *How* can we communicate with the students and how can we do the examination?
- 5) *How* can we create an efficient administrative-material?

We tried to build up the course-programme as an answer to these questions.

3.1. The course-material

Below we will try to summarize our way of answering at the 5-questions.

On an IT-based course the material ought to include both the didactic and the administrative sections.

The lectures ought to be very detailed – thus we avoid misunderstandings. The exercises, even those based on audio-files, ought to include keys – thus we facilitate the independent-repetition-exercising.

The pedagogical-didactic material ought to present, from level to level, a gradually higher difficulty status, including the focus on more and more independent work/tasks.

Different types of fora are to be created in order to facilitate communication both between the teachers and the students and also between the students. On the other hand, fora are one example of efficient tool for group-tasks, debates and discussions.

The examination, as to time and room, ought to give large flexibility. The students ought to be offered the possibility of taking their exams in another place than the university-town that gives the course. The students living abroad may take their exams at the Embassy representing their country. Even the date of exams may be flexible in order to suit the student.

The administrative material (i.e. the registration- or evaluation-forms, the course-programme, the term-schedules, the instructions of miscellaneous types) - they ought to be all electronic, included in the body of the course.

Our IT-based Romanian-university-courses (i.e. four levels, from the beginner's-level up to the pre-ph.d.level) might be an example of how one can present a language-course-programme. The courses are published on the internet by means of LUVIT (Lund University Virtual Interactive Tool) and have a similar technical structure-basis, that is the Navigation-tree, representing the main body of the course, Fig. 1 (the figures in this paper present some samples from the beginner's-course, in a summarized, simplified, non-authentic shape).

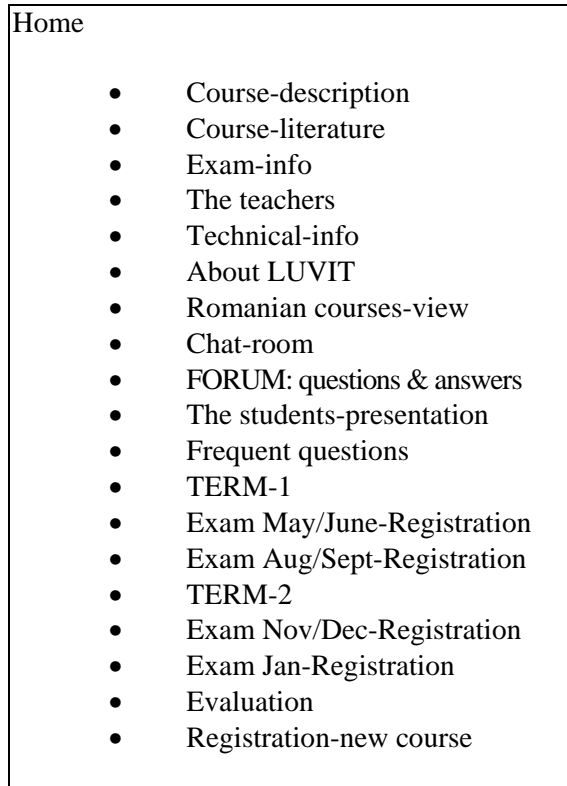


Figure 1. The Navigation-tree

From the Navigation-tree the student goes over to the actual Term where he finds both the administrative (Fig. 2) and the didactic material (Fig. 3).

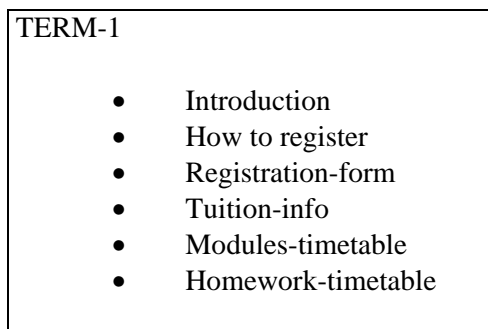


Figure 2. The administrative section

<p>TERM-1</p> <ul style="list-style-type: none"> • Module 1. Oral proficiency • <i>Lessons</i> • Dialogue 1 (text-file) • Dialogue 1 (audio-file) • <i>Exercises</i> • Dictation + Key • Writing dialogues + Key • Pronunciation + Key • Module 2. Written proficiency • <i>Lectures/Lessons</i> • <i>Exercises</i> • Translate + Key • Answer the questions + Key • Grammar + Key
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Figure 3. The didactic section

The student follows the modules-studying-timetable and mails his homework (i.e. text- or audio-files), according to the homework-timetable, to the actual so-called *homework-teacher* (our term, see below) for feed-back.

The Forum-for-questions-&-answers, is the central *meeting-point* of the class and the teachers.

The student has uninterrupted access to the course throughout the studying-year.

3.2. Any pedagogical-didactic problems?

Are there any pedagogical-didactic problems on an IT-based language-course? We have met with some problems – below we shortly mention a few of them.

- *Conducted or flexible learning?*

E-learning is often referred to as flexible learning. Our courses offer both “conducted” and “independent/flexible” learning. Yet it seems that the latter increases the rate of studying-motivation, the results being immediately more positive. The teacher faces then the question: to what extent can the course-programme be flexible?

- *Web based or physical course-material?*

The profile itself of e-learning creates the expectation of dealing only with webbased course-material. As we know, one has nowadays complete access to web-newspapers, web-books and a large amount of web-corpora [1]. The teacher, and even some of the students, may yet think that “physical” books should not be

totally rejected. We must still think of those students whose computer-/internet-workability is yet not very advanced. But, then, how can we solve the problem of accessibility of a certain (physical) book (i.e. the same edition), for all the students, for instance needed for group-homework in translation?

- *Part of a “classroom” or lonely behind the computer?*

The student may experience, at least at the beginning, the role of being the only student in the class, lonely behind his computer. He may not feel himself as a part of a classroom with 70-80 other schoolmates! He never meets them! He maybe never meets the teachers either!

The feeling of loneliness may be accentuated as soon as the first technical impediments arise. These two factors, often in combination with different successive difficulties along the language-studying, such as more and more intricate grammar-rules, difficult, new, heavy vocabulary in the independent-studying of novels – all these aspects may contribute to turn out the online-studying into an impossibility.

It is, therefore, our utmost task, as teachers, to form out the shape of our courses in such a way so that they can create an evident “classroom-atmosphere”.

Thus, we must work hard to make the student address to us, not by means of mails (the fastest and the most convenient way of communication – the latter especially for those individuals who “wish to be *publicly* unseen”) – mailing invites to isolation, but to make them communicate in the Forum (for questions & answers).

Once persuaded to communicate by means of the Forum, the individual realizes quite soon that there are other individuals coping with other or the same problems – life becomes immediately lighter! The individual sees himself as a member of a larger community – a student, part of a classroom.

Very soon the students give each other advices, suggestions and answers to different problems. We have experienced courses where we, the teachers, were nearly not needed, in a large part of the topics brought to the Forum! And more than that – the teacher on an IT-based course learns a great deal from the students and the open interaction in the Forum.

- *The “classroom”-dynamics?*

The teacher may ask himself how to create the “classroom”-dynamics at the level of different kinds of study-activities, for example group-homework, debates and discussions, while preserving the flexible shape of studying.

We have experienced two kinds of “classroom”-related activities: on one hand we offered the “static” way of participating to the debates, i.e. the participants were not depending on the time-factor – they contributed to the debate, at any time, within a given period, and on the other hand we offered the “dynamic” way of participating, namely in the chat-room.

In our opinion the students choose in the first place the “static” model. Maybe in order to avoid making blunders, in public?! By choosing the “static” way of participation the students have a larger possibility to control their language-

production. But this means that we can not easily stimulate to the spontaneous language-production?!

We know that there are various ways of reaching the “dynamic” participation. There are teachers [2] who warmly recommend the “Conversation-world” model, where the participants are seen on the screen as a kind of geometrical figures, moving around *in this world*, while speaking.

In our opinion, this model does not solve but preserves the problem of the anonymousness of the individual, easily connected to online-courses (i.e. the individuals “hide” behind the computer) - thus it does hardly contribute to create the “classroom”-community-atmosphere.

We would rather choose another model, for instance the computer-to-computer-interaction, that openly creates and shows “the classroom” – the participants been seen on the screen.

We have not yet adopted this interaction-channel, as it may implicate a certain rate of expenses, not possible for all the students – but we intend to do it within a near future. Maybe this will solve the item of the “classroom”-dynamics?

- *The online-student - the anonymous individual?*

As we mentioned in the paragraph above we find that only few students participate at the dynamic-debates, that is debates taking place at a given time. Now, we wonder – what is the reason?

The non-participating students, do they request the flexibility that we have automatically promised by this type of studying, via internet? Or do these students want to be anonymous, unseen, unheard – by fear of making blunders? Maybe many of these individuals attend the online-courses just because they think that this studying-model preserves the anonymousness?!

If the two latter presumptions would turn to be true, we probably face a big problem. “Probably” – because we may very well run online-courses with participants who want to preserve the anonymous-label on themselves. We have only to be aware that this requests more teacher-assistance because it takes place on the individual basis, in order to keep these students’ studying “alive” - even if they feel at ease working “outside the group”, they may, in the long run, not be able to cope – alone - with other difficulties along the course-programme (such as the frequent technical impediments or the accelerating course-tempo).

Some teachers [2] make clear that we have to accept a huge amount of mailing-communication, as an important part of the teacher’s job.

We do not part this opinion (apart from the case of the “unseen” students) – mailing-interaction invites to isolation, it does not avoid it. We insist in recommending to try to conduct the communication towards a central, open interaction-channel – the Forum, even in the case of the “anonymous” students.

- *The oral language-production?*

During a long time, there has been a clear tendency to underestimate the IT-based language-courses. The main reason seems to be the impossibility to give feed-back to the student's oral proficiency.

Nowadays, supported by highly-developed technical tools, we have succeeded in solving a great part of this item.

Yet, the feed-back – in order to obtain an optimal result – requests a higher number of teachers and in this case the course-running is no longer a financially more reasonable way of teaching. In our opinion, it is – the number of online-teachers will hardly reach the number of teachers requested for the campus-teaching.

Some of the teachers [2] check the student's oral proficiency still by telephone. We think that this model can, on one hand, be misleading – another person can be on the phone!?. On the other hand, how can we handle the regular feed-back for a class on 100 students, every week, in different parallel oral-proficiency-activities? It seems unrealistic.

We find the feed-back by voice-mail, practiced since a few years, as being very simple and easily handled by the student – and at no costs. Even more – the student saves the feed-back-files received from the teacher and can use them in his repetition-exercising, in continuum.

- *Live-lessons or only virtual?*

As we know, most of the IT-based-courses include a certain number of compulsory live-lessons.

Our course-programme included also, the first years, compulsory live-lessons, but soon we had to admit that our students preferred to work from the computer – the live-lessons became facultative.

At last, after 8 years, we understood that the live-lessons have to be dismissed from the course-programme – to meet the teachers and the other students seemed to be a superfluous activity.

Yet, we do assume that live-meeting is essential – it invites to higher study-motivation. Thus we initiated, experimentally, the so-called “student-annual-conference” (our terminology).

We figured out that this could be an appropriate occasion to combine the examination –opportunity with a scientific conference. We invite well-known scholars, from Scandinavia and Romania – their communications and the seminars provide live-course-material with the latest research-results.

The students enlarge thus their knowledge – on the internal level, namely within the Romanian-sphere but also on an interdisciplinary level, coming into contact with students, teachers, researchers and experts from other departments, working on projects with Romanian profile.

This new type of live-meeting seems to be very appreciated.

- *Attend the course entirely – a problem?*

It is generally known [2], [3] that students who complete an entire IT-based course represent only about 20%. This is not a positive sign – we know that

the budget of every department is usually related to the number of students who complete the course.

On our courses the fully examined students have usually reached the rate of around 70%. How come?

From the very start we assumed that the non-fully-attendance may be a result of the loneliness-behind-the computer beside the technical problems, often combined with difficulties successively arisen in the progress of the language-learning.

Therefore we thought that the continuous following-up-interaction with the student was a major task within the teacher's job.

Thus we have initiated regular individual following-ups of the *student's situation* led both by the so-called "homework-teachers" (our term, that is the teachers who deal with the feed-back on the homework, written/oral week-/month-tasks, debates a.s.o) and by the headteacher.

This "task" takes a lot of time and energy, it is true – but our experience shows that this moment encourages essentially to full course-attendance.

When the teachers reach the level when they, regularly, do the "following-up-work" and at the same time succeed in maintaining the "classroom-community-atmosphere" – beside interesting, capturing course-activities - we are sure that the student experiences a stronger studying motivation and thus will both present interest and have strength in attending the course entirely.

These are some of our reflexions around the pedagogical-didactic items connected to online-language-courses. They clearly show that this type of learning embraces a new pedagogical shape.

4. E-courses better than campus-courses?

The opinions are still different. Let's see our results gathered from an-8-years-long-evaluation-material.

We think that it is of great value to see both the teachers' and the students' opinions [6]. Below, we will yet focus more on the teacher's view (by lack of space within this paper's limits) mentioning only some of the main points.

The teachers' opinion

- *Reach far more students and a larger geographical area*

Our Romanian section was during decades represented only by a tiny language-section: 3-5 students, all living around Lund respectively Copenhagen. Only one level was offered – the beginner's-course.

Since 1999 (the start for IT-based Romanian) we reach Scandinavian students throughout Sweden, Denmark, Norway, and Scandinavians in other European countries, the USA and Canada.

The number of students increased immediately, from the very beginning (from 3-5 students, on the campus-beginner's-course, to 27 students (the first year),

on the IT-based course). The number of students increased steadily each year - now we have, each term, 110-130 students [7].

- *Several levels - fewer teachers*

Nowadays, thanks to the e-learning-model, we run four levels, parallelly (from the beginner's-level up to the pre-ph.d.-level).

We have a team of only 1½ teachers - which is too little, we admit, but our hope is that the budget of our section will soon give the possibility of having a few more teachers.

- *Flexible teaching and learning*

Neither the teachers nor the students are depending on the factors of time or space.

The teachers, once he has created the main course-modules, he can easily combine the supervising of the students' activities with, when necessary, research-travels/séjours.

The teachers, and the students, can "go into the classroom" at any time from anywhere.

- *Independent learning*

The shape itself of the IT-based course, invites the student, from the very start, to practice self-discipline, initiative-taking, independent learning. This increases, undoubtedly, the studying-motivation.

But this can, of course, raise problems for the students who respond more awkwardly to this model of learning. Yet, with the teacher's extra help a great number of the students belonging to this group succeed quite fairly in attending the course, even if only partially.

- *Nearer though the distance*

We are nearer though the distance – a paradox – yet true!

Let's mention only one example – in a campus-course, the student "sees" the teacher in the classroom, only twice-thrice a week, a couple of hours and, by that occasion, the student (i.e. every student) may not have direct contact with the teacher. The online-course ensures the student's steady contact with the teacher(s), on one hand through the sending of the week-homework followed by the individual feed-back and on the other hand the interaction in the Forum. The teachers are *nearby* in continuum.

- *Better supervising, better interaction*

On the IT-based course the teacher seems to have better control both on the individual and on the class. He seems to have better, more frequent, interaction with the student (every student) than on the campus-course.

The students' opinion

As mentioned above, in this paragraph we will only list a few points.

- *Flexible learning*

The flexibility (i.e. the non-dependency of time and space) is largely appreciated. It makes possible, for instance, the combination of full-time-work with

studying or of studying of head-subjects with the online-course, creating an interdisciplinary basis of the studying and thus enlarging the motivation for studying.

- *Non-stop access to the course-material*

The students highly appreciate the non-stop access to the course-material, i.e. lectures, lessons, exercises and keys, and especially the audio-files - this is less possible in the campus-course.

This facilitates, on one hand, the access not only to the course-didactic-material but also to the entire course-activities (the Fora etc). On the other hand it gives the possibility of the students' self-repeating-practising in continuum, with direct feed-back, without the teachers' active participation.

- *The teacher – only a coordinator*

Especially the students keen on working on a self-initiative-basis, feel very much at ease within the online-course. They work independently - the teacher is a coordinator.

On the basis of the above-mentioned points we think that the online-course is undoubtedly more convenient than the campus-course.

5. Towards a conclusion

The university-education (as well as the education in general) ought to focus more on *the modern student – i.e. the nowadays «IT-based individual»*.

E-learning seems to be the solution for this individual. It facilitates flexible teaching and learning, a more efficient and financially more reasonable pedagogical-system – items that cannot be easily obtained at the level of campus-courses.

E-learning may even reach a higher quality-status than campus-learning, thanks to the technical equipment, in constant development, which may find solutions to many of our pedagogical-didactic problems.

We do believe that the IT-based-university-language-learning is the future! Therefore more teachers should adopt it!

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RECENZII – BOOK – REVIEWS

Noam Chomsky, *The Generative Enterprise Revisited: Discussions with Riny Huybregts, Henk van Riemsdijk, Naoki Fukui, and Mihoko Zushi, with a new foreword by Noam Chomsky, Berlin, Walter de Gruyter, 2004, 211p.*

The present volume constitutes an insightful review and analysis of the role played by the “generative enterprise” in the study of human language. In an effort to link “past ideas with present ideas, past concerns with present concerns” (p. XVI), the authors have brought together two interviews with Noam Chomsky, interviews which form the two parts of the book. The first part, *The Generative Enterprise*, includes the first interview, which was taken by Riny Huybregts and Henk van Riemsdijk at a time when a new approach to the study of language was emerging (i.e. the “principles-and-parameters” theory). The second interview contained in this volume, *Linguistics in the 21st Century*, took place twenty years after the appearance of PPT¹, and ten years after the publication of the “Minimalist Program”. In this interview, Naoki Fukui and Mihoko Zushi bring into discussion various topics related to the development of linguistic theory in the past twenty years, the impact and influence of minimalism onto the field of linguistics, the relation between generative grammar and other sciences, etc.

The present edition² begins with a foreword by Noam Chomsky, in which he speaks about the Principles-and-Parameters approach³, what its crystallization represented

for the study of language as a biological system, but he also puts forth the question related to “what extent FL (i.e. the faculty of language)⁴ is an ‘optimal solution’ to the interface conditions, where the concept of optimal solution is spelled out in terms of principles of computational efficiency” (p. XII). Thus, Chomsky brings into discussion the minimalist thesis that human language is a computational system which links in an optimal way two interface systems: the “sensory-motor” system and the “conceptual-intentional” system.

The two interviews are also preceded by an *Introduction* written by Naoki Fukui and Mihoko Zushi. This introduction provides the readers, even those who are not very familiar with the basic concepts of Generative Grammar, a minimal intellectual background necessary for understanding the historical development of this theory, as well as for understanding the different topics tackled with in the two interviews. Not only do the authors discuss the most important issues in contemporary generative studies, but they attempt to clarify some claims of Generative Grammar which have not been properly interpreted and, thus, have led to criticism toward Generative Grammar. One of these claims is the much debated topic of the autonomy of the *language faculty*. The two authors present

¹ This is the abbreviation for Principles-and-Parameters Theory.

² This book represents, in fact, the English version of “The Generative Enterprise” (2003) which appeared in Japanese.

³ PPT took shape around 1980 and represented a shift of focus from earlier enquiries in Generative Grammar. Under this approach, Universal

Grammar represents a modular system which consists of principles invariant across languages, each principle being associated with certain parameters which differ among languages.

⁴ E.m.

the view adopted toward this claim during all the stages in the development of Generative Grammar, but they also suggest that a “weak version of the thesis of autonomy of the language faculty seems more adequate than the stronger version [...]” (p.13). That is, instead of claiming that the language faculty has some essential properties which are specific to language without being present in other cognitive systems outside language, we should also take into consideration the possibility that these properties of the language faculty might have evolved “for some other purpose not directly related to language, and therefore that they each may have applications in other human cognitive capacities as well” (p. 13).

Having been familiarized with the major issues put forth by Generative Grammar in the study of human language, the reader is then introduced into a more technical discussion by the first interview contained in this volume. As Huybregts and van Riemsdijk draw our attention from the beginning, their final version of the text is “the result of a series of discussions with Noam Chomsky, held in November 1979 and March 1980” (p. 29). The rather informal style of the interview is meant to convey the same informal atmosphere in which the discussions took place. Nonetheless, for a better understanding and delineation of the topics covered in the interview, the authors chose to divide it into two parts, each with its own subchapters.

The first part, *On Linguistics*, deals with Chomsky’s views on the role of linguistics, on its place among the cognitive sciences, as well as his opinions about the way in which the ‘Generative Enterprise’ could and should develop, as he was envisaging it at that time⁵.

⁵ The reader must not forget that this interview took place more than twenty years ago and that it is illustrative for Chomsky’s beliefs during that period.

On Grammar, which constitutes itself in the second part of the interview, offers a complex image of the post – Pisa – lectures period⁶. Huybregts and van Riemsdijk bring into discussion more technical aspects of the generative theory of grammar (binding, *wh*-movement, theta- theory) which, during that period, were submitted to a whole process of rethinking.

Chomsky’s explanations to the different questions raised by his interviewers are illustrative of the turn that was about to take place in the field, in the sense that he tries to make everything explicit from the point of view adopted by the new line of research. The questions addressed to Chomsky are meant to “embed” these new developments in a larger historical frame, by showing how much of what had been postulated up to that moment could fit into the new theoretical framework, but also by offering detailed explanations for what the new theory brought to the study of language, in contrast with previous assumptions.

Chomsky’s narrative voice is extremely powerful and convincing when discussing virtually every aspect of linguistic theory. All his answers reveal his enthusiasm about what was happening in the field at the time of the interview. Perhaps it is for this reason that Huybregts and van Riemsdijk chose to keep their interventions at a minimum, in the sense that they make their presence felt only through short, very “to the point” questions. Thus, they leave Chomsky enough space to expand on his views, *especially since that was a time of major theoretical breakthroughs in the study of language*.

⁶ This is the period between the Pisa Lectures, which Chomsky delivered in the spring of 1979, and the publication of *Lectures on Government and Binding* (1981). The latter marked the beginning of a new stage in the development of Generative Grammar – the birth of PPT – as well as a shift of focus toward a more empirical research on a great variety of languages.

On the other hand, the second interview in the book brings on stage a more “objective” Chomsky. Taken twenty years after the first interview, *Linguistics in the 21st Century* begins with a sort of “bird’s eye view” over the history of Generative Grammar. Chomsky pinpoints the achievements of the principles-and-parameters approach, but he also underlines the fact that there are still unanswered questions which need to be clarified. And, according to Chomsky, it is the Minimalist approach to language that can perform such a task.

The bulk of the second interview is concerned with the new shift of perspective on the study of language that the emergence of minimalism⁷ brought at the beginning of the nineties. As Chomsky very clearly shows, the minimalist program is all about the “why” question: “why does the language faculty have the properties it has?”, or, as he puts it, “why these principles⁸ and not some other principles?” (p. 151).

The discussion becomes gradually more abstract as it tackles issues such as “the two related, but different kinds of minimalism⁹” (p. 154), the minimalist view on the “domain-specificity” of the language faculty, as well as the basic syntactic operation under minimalism, that is, *Merge*. Chomsky goes on to present his views on the relation between Generative Grammar and other sciences such as mathematics, evolutionary theory, the brain

sciences, economics, underlying, at the same time, the necessity to establish tighter connections between linguistics and other sciences dealing with the properties of organisms in general.

Like the first interview, the second also ends with a discussion about the future of Generative Grammar. Here, Chomsky seems more objective and avoids being too trenchant in giving an opinion. He leaves the question open for discussion. Or, as Naomi Fukui and Mihoko Zushi put it, “it is up to us to decide whether we want to be optimistic or pessimistic about the field” (p. 25).

We recommend the book to all those interested in learning more about Chomsky’s intellectual concerns, both past and present. An exclamation mark must be drawn, nonetheless. The rather informal tone of the discussions could mislead one into thinking that the topics presented in the interviews can be easily grasped. However, because the argumentation is dense, cumulative and sometimes hard to follow, a proper understanding of the issues presented in the interviews presupposes a sound knowledge of various concepts and constructs with which Generative Grammar operates.

ANAMARIA BENȚEA

⁷ It is Chomsky’s *Minimalist Program*, published in 1995, that marked the appearance of this research program.

⁸ By ‘principles’ he refers to those principles which, under PPT, have been said to characterize the language faculty and to be innate.

⁹ On the one hand, we have “ ‘methodological minimalism,’ a methodologically-driven effort to improve scientific theories”; on the other, there is “ ‘substantive minimalism’, which claims that the object of our inquiry itself (the human language faculty) has a certain optimal character.” (pp 154-155)

Bernard Spolsky, *Sociolinguistics*, Oxford: Oxford University Press, 1998, 128 pages.

Bernard Spolsky's book *Sociolinguistics* provides a brief but comprehensive introduction to sociolinguistics, making links with related disciplines such as history, politics, and gender studies. The book is organized on four levels: the survey part, the readings part, the references part and the glossary part. This structure is due to the fact that the book is included in the "Oxford Introduction to Language Study" series on one hand, and provides facility in reading to the expert but also to the regular reader on the other.

The survey part is an up-to-date overview of the area concerned, dates are chronologically managed and key concepts explained. In this sense is simple, but not simplistic. The readings part is meant for those who want to pursue the subject, the readings providing the necessary transition. For here the reader is presented with texts extracted from the specialist literature which draw attention upon key points in the field and the manner in which they are presented in the source texts. The references part is one way of moving into more detailed issues: the books and articles mentioned here facilitate further reading and help the reader create links to different aspects studied in the survey part. The glossary part undertakes the terms written in bold in the survey part and give their special or technical definition (the meanings are made clear in the context, but they are also explained in the glossary). Having such a practical and organized design, the book offers a lot of information to those who are interested in specific parts of the field.

The survey part covers most of the book and is divided into the following chapters: *The social study of language*; *The ethnography of speaking and the structure of conversation*; *Locating variation in speech*; *Style, gender and social class*; *Bilinguals and bilingualism*; *Societal multilingualism*; *Applied sociolinguistics*.

In *The social study of language* readers may find the first elements that one has to deal with in order to purchase the field of sociolinguistics: the scope of the enquiry – that of mapping linguistic variation on to social conditions (opposed to Chomsky, the sociolinguist considers that the most important verity is that a language is full of systematic variation). The distinction is made clear by underlining the fact that the *formal linguist* pursues *an autonomous universal system*, significant elements of which are to be explained by the very design and structure of the human brain, the *psycholinguist* asks how such a system works and how it can be learned or lost, and the *sociolinguist* asks *how it is used in a living and complex speech community*. There is also a distinction between the field of sociolinguistics which emphasizes the social influences on language and the field of sociology of language which deals with the role of language in society. The next chapter *The ethnography of speaking and the structure of conversation* shifts attention from the sentence to the act of communication: the speech event. Spolsky cites Jakobson and Dell Hymes in his attempt to shape the explanations of the structure of conversations. A very interesting part of the chapter is the subchapter *Politeness and politeness formulas* where politeness is seen as the recognition of other's rights in a social situation. In Spolsky's view the most common kinds of politeness formulas are involved with greetings, he also gives examples from French and German. *Locating variation in speech* provides insights of the speech communities, defining the terms *networks* and *dialects*. The interest is raised again once the reader "enters" the chapter *Styles, gender and social class*. The main idea is that the more formal the situation, the more attention we pay to our language. The reader gets familiar with concepts such as dialect,

style, register, jargons or domain, all of them accompanied by interesting examples picked from daily life. The problem of prejudices and stereotypes is very well contoured, for example why do women speak more than men? Reading this subchapter one will realize that this is nothing but prejudice and the empirical studies cited here argues the issue. Spolsky also mentions concepts as *audience design* and *accommodation* and underlines the fact that the existence of variation in language is not accidental or meaningless, because it definitely adds a vital set of social dimensions. In other words, language is seen as a “recorder”, it reflects and records an individual’s demographic, geographic, sociological, educational and religious background. Chapters *Bilinguals and bilingualism* and *Societal multilingualism* study language as the process of “language socialization”, that is the way a child learns to use language and the set of social rules and how does code switching or code mixing takes place? Nowadays it is a common place to be able to speak more than one language, as globalization and modernization demand. But this may turn into quite an issue whenever one thinks about tradition, countries, borders or education. Aspects as language contact, language conflict, language loyalty, endangered language and ethnic identity are well presented, the accent lying though on the linguistic side more than on the social one. The last chapter *Applied sociolinguistics* draws attention upon facts like: the very centrality of language to social life, or the value of language as a means of access to power and influence, all can produce conditions where people want to engineer language or language choice itself. This is known as *language policy*, the effort to modify language form or use and *corpus planning*, the attempt to fix or modify the structure of a language. Many countries face this “corpus planning”, the coining of new terminology for language coping with modernization (there are cases when efforts are undertaken to rid a language

of foreign words). Another interesting issue is dealt with in subchapter *The spread of English – imperialism or hegemony*, where Bernard Polsky discusses the world-wide diffusion of English, which seems set to become a world language. This matter has raised not just concern among speakers of other languages, but controversy among sociolinguists. The answer to the question: to what extent is it the result of conscious planning by the governments and experts of English-speaking countries like the United Kingdom, the United States, Canada, South Africa and Australia, and to what extent is it the result of a large number of factors connected with modernization and globalization?, is to be found in the book and those interested in the subject will find at least a point from which to emerge their further search.

The main idea that devolves from the book is that living languages are always changing, because they respond to changes in social structure. In this respect, language reflects society, helps to pass on social structure, for learning a language is a central feature of being socialized. Bernard Polsky concludes himself: “Language and society may not be purely human but they are such fundamental human phenomena that they cry out for better understanding.” (1998: 78)

For those interested in grasping the field of sociolinguistics, Bernard Spolsky’s book is a very useful guide, as the design of the book helps readers concentrate on different aspects of the field, in the same time giving accurate explanations and definitions of the technical terms. Perhaps some of those inside the discipline will not agree upon the selection made by Spolsky of what is significant and the manner of its representation, but as it is stated by Henry Widdowson (the series editor): “the task is to sketch out a conceptual map for the interested reader of the relations between language and society.”

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**Petru Butuc, *Predicatul angrenat în limba română*, Iulian Verlag,
Chișinău, 2004, ISBN 9975-922-82-1, 208 Seiten**

Petru Butuc, Autor von fachwissenschaftlichen Artikeln und Studien, Professor an der Universität aus Chișinău, Mitarbeiter an verschiedenen Fachzeitschriften, griff im Jahre 2004, dem Erscheinungsjahr seines Buches *Predicatul angrenat în limba română*, die Problematik des Prädikats in der rumänischen Sprache wieder auf.

Die Identifizierung des Prädikats im Rumänischen und dessen Klassifikation führten in fachspezifischen Kreisen zu regen Diskussionen, jedoch kam es zu keinem zuverlässigen Resultat. Die verschiedenen Lösungen, die angeboten wurden, hängen aber auch von den grammatischen Schulen, Orientierungen, Prinzipien ab, deren Anhänger die einzelnen Grammatiker sind.

Petru Butuc möchte in seiner Arbeit die Varianten der Grundtypen des Prädikats identifizieren und schlägt dafür eine logisch- semantische und funktionelle Perspektive vor. Der Autor verwendet die Verfahren der kontextuellen und transformationellen Methode. Er argumentiert, dass es im Rumänischen auch andere Strukturen gibt, die das Prädikat betreffen, als diejenigen, die in der Grammatik im Allgemeinen akzeptiert werden.

Petru Butuc meint, es gebe in der rumänischen Sprache außer den Grundformen des Prädikats auch ein bedeutungsverstärkendes Prädikat. Er akzeptiert als Grundprädikate: das einfache Verbalprädikat, das zusammengesetzte Verbalprädikat, das Nominalprädikat und das Verbal-Nominalprädikat, und zeigt, dass diese auch bedeutungsverstärkende Formen haben können.

Das bedeutungsverstärkende Prädikat enthält eine grammatikalische Bedeutung und eine zusätzliche Bedeutung kommunikativ- informationeller Art. Die

bedeutungsverstärkenden Elemente ändern nicht den wesentlichen grammatikalischen Inhalt des Grundprädikats, sie geben nur die zusätzliche Bedeutung an. So gehören laut Petru Butuc zu dem bedeutungsverstärkenden Prädikat die Wiederholungen, die Tautologien, die Infinitivkonstruktionen mit dem Verb *haben* usw. Strukturen wie: „De jucat pot să joace.” (Spielen, das können sie schon.)

„E cald, cald, cald.” (Es ist warm, warm, warm.) – sind als ein einziges Prädikat zu betrachten. Auch Strukturen folgender Art werden als ein einziges Prädikat behandelt:

„Vreau să scriu.“ (Ich will schreiben.) – was aber voraussetzt, dass man das Vorhandensein der Halbhilfsverben akzeptiert. Ähnliches gilt für die Klassifizierung des Prädikats, vorausgesetzt, dass man akzeptiert, dass es ein zusammengesetztes Verbalprädikat, ein Verbal- Nominalprädikat gibt.

Die Perspektive der funktionellen Syntax mit dem Einbezug der Semantik und der natürlichen Logik in der Erforschung des Prädikats ist relativ neu in der rumänischen Grammatik, in dem Sinne, dass das Prädikat nicht ausschließlich aus dieser Perspektive erforscht wurde. Solche spezifischen Strukturen zu sammeln wie Tautologien, Wiederholungen, die in der lebendigen rumänischen Sprache oft verwendet werden, ist eine begrüßenswerte Idee.

Die Arbeit enthält eine Einführung, zwei große Kapiteln mit Unterkapiteln und eine Schlussfolgerung. In der Einführung sieht der Autor die praktische Bedeutung dieser Arbeit darin, dass sie der gründlichen Behandlung des Prädikats dient. Die Arbeit kann im Syntaxunterricht in der Schule und an der Fakultät verwertet werden. Das setzt aber eine ganz neue Sichtweise voraus, nicht nur was das Prädikat anbetrifft,

sondern auch, was die Syntax im Allgemeinen anbelangt.

Das erste Kapitel stellt die enge Beziehung zwischen Syntax, Semantik und natürlicher Logik vor und zeigt, dass man bei der Abgrenzung der verschiedenen Satzteile auch die semantischen Inhalte und die natürliche Logik nicht außer Acht lassen darf.

Der Autor behandelt die Sprache in ihrer Funktionalität im linguistischen Sinne der Prager Schule, er bettet die Sprache in die Realität ein und behandelt sie in ihrer Dynamik. Diese Behandlungsweise der Sprache ist komplizierter als die strukturalistische Perspektive, die als Versuch gilt, die Sprache auf ein allgemeingültiges Schema zu reduzieren.

Das zweite Kapitel führt den Begriff „bedeutungsverstärkendes Prädikat“ (predicat angrenat) ein, dessen Definition ganz eindeutig gegeben wird. Es muss aber gezeigt werden, dass die angeführten Erläuterungen nicht im Falle aller vorgestellten Strukturen überzeugend genug sind. Es ist anzunehmen, dass einfache Wiederholungen wie: „și s-a dus, s-a dus trei zile și trei nopți“ (und er ging und ging drei Tage lang und die Nächte auch) ein bedeutungsverstärkendes Prädikat mit der zusätzlichen Bedeutung der Dauer bilden.

Es gibt aber andere Fälle, wo man nur schwer akzeptieren kann, dass die ganze Struktur ein einziges Prädikat bildet wie z. B. „În sfârșit, dacă văzu și văzu că nu tace, îi mai zise...“ (Schließlich, als er immer wieder bemerkte, dass er nicht schweigt, sagte er ihm noch...)

Die Wiederholung *sah und sah* aus dem Rumänischen bezieht sich auf zwei verschiedene Situationen, das Verb enthält zwei verschiedene semantische Bedeutungen, es geht nicht einfach um eine zusätzliche Bedeutung.

Auch bei Strukturen wie: „Trecurăm cum trecurăm“ (wir liefen was wir konnten)

„jeli ce-și jeli“ (sie/er trauerte untröstlich) kann der zweite Teil nach dem finiten Verb mit einer Adverbialbestimmung ersetzt werden:

jeli ceva timp (sie trauerte zeitweilig)
trecurăm cumva, (wir gingen irgendwie). Diese zusätzliche Bestimmung gehört nicht zum Prädikat. Im Rumänischen wird einfach das Verb wiederholt.

Es ist auch fraglich, ob es Halbhilfsverben gibt, und auch wenn sie existierten, nach welchen Kriterien sie dann ausgewählt werden könnten. Auch der Autor sagt, dass die Gegenargumente der Fachleute gut begründet sind, aber doch nicht überzeugend genug wirken. Bis diese Probleme nicht klar gedeutet werden, wobei feste Kriterien für die Bestimmung der Halbhilfsverben definiert werden müssen, kann man alle aufgezählten Strukturen als zusammengesetztes Verbalprädikat mit bedeutungsverstärkender Form als Nominal-Verbalprädikat samt bedeutungsverstärkender Form nicht blindlings akzeptieren.

Man sollte auch damit rechnen dass eine solche Betrachtung des Prädikats zum Schwund einiger Satzteile führen könnte, wie z.B. der Umstandsergänzung. Man könnte auch das Verb *haben* (im Rumänischen) nicht in allen Fällen als transitives Verb betrachten: z.B. „am unde merge“ (ich weiß, wohin ich gehen kann). Diese Veränderungen setzen voraus, dass man diese Ideen gut argumentieren muss. Die Akzeptierung von Halbhilfsverben impliziert eine ganze Menge Veränderungen auch im Bereich der zusammengesetzten Sätze.

Wir können behaupten, dass das bedeutungsverstärkende Prädikat dem Rumänischen eigen ist, dass seine Reichweite aber nicht so umfassend ist, wie es diese Arbeit zu zeigen vermag. Damit man eindeutig darüber sprechen kann, sollte man vorher einige Probleme klären, wie

z.B. die Halbhilfsverben, die Grundformen des Prädikats usw. Der Begriff des bedeutungsverstärkenden Prädikats kann akzeptiert werden, aber es ist fraglich, ob alle vorgeführten Strukturen dazu gehören.

Der Wert dieses Buches besteht darin, dass es die Aufmerksamkeit auf einige noch ungeklärte Probleme lenkt, die das Prädikat im Rumänischen betreffen; dass es den Begriff des bedeutungsverstärkenden

Prädikats einführt und eine neue Perspektive über diese Problematik eröffnet.

Die Arbeit hat entsprechende kritische Anmerkungen, eine umfangreiche Bibliographie und eine klare graphische Darstellung. Sie ist der Lektüre wert vor allem für die Sprachprobleme, die sie aufwirft, sie empfiehlt sich umso mehr, als sie die Anerkennung der Fachleute auf sich gezogen hat.

VASAS EMILIA

Ștefan Oltean, *Introducere în semantica referențială*, Cluj-Napoca, Presa Universitară Clujeană, 2006, 222p

In the broader context of contemporary research on signification in natural language, referential semantics represents one of the most important and fruitful approaches. Professor Oltean's book is intended to be, as the title shows it, an introduction to this semantic theory by giving an account of its relations with other theories of signification, by defining the object of referential semantics, as well as by explaining various notions and ideas put forth by the three major directions which have developed inside the broader framework of referential semantics – “*truth-conditional semantics*”, “*formal semantics*” and “*model-theoretic semantics*” or “*possible worlds semantics*”¹⁰.

The author's demarche is not limited to a general account of referential semantics. Instead, it goes further to show that this approach offers an elegant, accurate and, at the same time, scientific analysis to various phenomena such as modality, tense, aspect, intensional adjectives, etc., as well as to referential aspects which must be taken into consideration when interpreting the fictional discourse.

The aim of the author is to show the relevance of the use of formal language and of the concept of “possible worlds” in semantics. He succeeds in attaining his purpose by making use of clear language, of a dense argumentation and of numerous examples which are illustrative of the various issues dealt with in the nine chapters of the book.

For a better understanding of the problems explained in the book, the first chapter constitutes itself into an overview of the theoretical framework of referential semantics. The author places this theory among the other contemporary directions in the study of linguistic meaning namely,

¹⁰ The author explains in the first chapter of the book that *model-theoretic semantics* or *possible worlds semantics* represents the present version of formal semantics. Ștefan Oltean emphasizes the fact that the contemporary version of referential semantics also takes into consideration the generativist approach to language, which proves to be extremely important when it comes to describing the syntactic phenomena that lead to the interpretation of meaning.

“representational theories¹¹” and “social or pragmatic theories¹²”, showing that in “referential or denotation theories”, semantics is interested in “the relation between linguistic symbols and reality¹³, even if it is interior reality” (p. 17, t.n.). A special attention is placed in this chapter on the reference-meaning distinction, as it was postulated by Frege¹⁴ and later reformulated by Carnap into the distinction between extension and intension¹⁵. After presenting the reasons why reference must be taken into consideration in the study of signification, the author also analyses various aspects which raise problems in an interpretation from the point of view of referential semantics. Ștefan Oltean gives as example proper names, non-referential nominal phrases¹⁶ or embedded sentences introduced by “that” and which are preceded by non-factive¹⁷ verbs. He also shows that such

phenomena can be interpreted by operating with the notion of *possible world*.

The following chapters continue in a more abstract note. They describe the representation in formal language of the denotation of linguistic expressions or of sentences (by using an artificial language which is called *predicational calculus* or *propositional calculus*), λ -abstraction¹⁸, quantification and the interpretation of quantifiers. An aspect worth mentioning, developed in the subchapter *Despre compoziționalitate* of the third chapter, is that of the compositionality of linguistic meaning. According to *the compositionality principle*, “the (global) meaning of the clause or sentence, as well as of other linguistic constructions, is a function of the meanings of the constituent elements” (p. 63). In other words, meaning depends both on the relation between the constituent and on the place that these elements occupy in a clause or sentence. All these reveal, the role that syntax plays in semantic interpretation, along with the necessity to include the generativist perspective in the study of signification.

The fifth chapter – *Intensionalitatea* – brings the concept of *possible world* to the readers’ attention and shows that a theory of possible worlds can solve many of the problems which referential semantics faces. Thus, there are sentences¹⁹ whose reference (extension) cannot be determined by simply referring to the real world. The author shows that, in order to understand such constructions, the reference framework provided by the real world is inoperative. Therefore, the notion of *possible world* is needed because it allows us to interpret things by postulating other referential frames and to specify the truth value of

¹¹ These theories describe the study of signification as a way of studying the means by which mental representations associated to various contents are realized.

¹² The object of study of pragmatic theories is represented by the use of language in communication, where language represents a social system.

¹³ E.a.

¹⁴ Gottlob Frege showed in what the reference and meaning of three types of linguistic expressions consist. The linguistic expressions he analysed were nominal phrases, predicates and sentences. According to Ștefan Oltean, by operating with this distinction, signification is understood not only as simple denotation, but also as implying meaning. Consequently, the author shows that “referential semantics [...] cannot be identified with a simple referential theory, as it is also concerned, among other things, [...] with issues such as imaginary situations or mental entities” (p. 24, t.n.).

¹⁵ This distinction represents a sort of *fil rouge* for the entire domain of formal semantics.

¹⁶ Expressions of the type “a student”, “no student”, “every student” (p. 30, t.n.).

¹⁷ Such a verb does not presuppose the truth of its complement.

¹⁸ This represents an alternative to the formalization of the denotation of linguistic expressions.

¹⁹ Ștefan Oltean as example sentences which “refer to past, hypothetical or presupposed situations” (p. 88).

these sentences by taking into consideration other “possible worlds at different temporal moments” (p.116).

These observations continue in the sixth chapter which presents the main types of *intensional constructions* in natural languages. Through the commentaries concerning modal expressions, verb tense and aspect, declarative embedded sentences, questions, exclamations, intensional adjectives, the author demonstrates that such phenomena can only be properly interpreted in the framework offered by formal semantics and possible worlds.

The sixth chapter deals with the analysis of *indexical* expressions (also called *deictics* in traditional linguistics) for whose interpretation one needs to know the context in which they appear. The semantic interpretation of this type of expressions depends on “*contextual parameters* – on the basis of which we establish intension or propositional contents – and on *circumstances* (*world-time pairs*) – responsible for the truth value of sentences” (p. 165, t.n.).

The last two chapters of the book tackle the fictional discourse from the perspective of possible worlds. In these chapters, Ștefan Oltean presents the way in which various authors interpret the concept of possible worlds in connection with the fictional discourse and his conclusions after having analyzed four such points of view. He also interprets some of the referential aspects of *free indirect speech* as they are illustrated in the fragments interpreted in the last chapter of the book. By means of the commentaries provided in this chapter, the author proves that possible worlds semantics offers a fruitful approach to “the extensional semantic dimension of free indirect speech” (p. 201, t.n.).

A few observations must be made after reading professor Ștefan Oltean’s book. We salute the author’s demarche. He succeeded in showing in this book, elegant in the nature of the explanations, accurate in the

scientific treatment of the issues presented, that “a semantic theory of natural languages involves both a theory of linguistic meaning, and a theory of reference” (p. 33). At the same time, the book has the merit of having presented everything in a clear and accessible manner, of having explained the theoretical considerations through relevant analyses of the phenomena in question. The book represents a must for all those who study signification in natural language, but it also addresses those who want to become familiarized with the concepts and

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