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Editorial Note

Dear readers,

It is with great satisfaction that we present to you the first issue of the *Ostrava Journal of English Philology*. In launching this new periodical, we hope to establish a new tradition of providing a space for articles in the field of English philology. However, this Journal has not sprung from nowhere. It is a follow-up to the earlier series *Studia Anglica* (collections of articles), founded in 2005.

The publication of any new journal is greeted with a certain curiosity and expectation. So let us explain what you can expect from this periodical. The *Ostrava Journal of English Philology* is an annual peer-reviewed scholarly journal that consists of a linguistics and translation studies section, a section focusing on the literature and culture of English-speaking countries, and a section devoted to book reviews, calls for papers, news and announcements of upcoming conferences and other events. Our aim is to create a platform for a wide-ranging and stimulating exchange of knowledge and for sharing the results of our research in what we generally call English philology. We envisage that the contributions from disparate areas will contribute to the multi-disciplinarity (and inter-disciplinarity) of our Journal.

The Journal is published by the Faculty of Arts of the University of Ostrava, and is edited by its Department of English and American Studies. This does not mean that the Journal is reserved only for papers by the Department's staff. Although the name of our periodical stresses its place of publication, and though the content of the first issue may suggest that it is primarily a forum for scholars from our Department, we are entirely open to contributions by scholars from other universities in the Czech Republic and abroad. The fact that our first issue, with two exceptions, contains only 'domestic' contributions is quite natural since the newborn periodical is still unknown to the public. However, in the next volume we would like to extend our reach. We believe we will manage to address a much wider circle of contributors from various institutions. Therefore we encourage you to send us your articles for the next volume throughout the year. We welcome especially those contributions that are concerned with important contemporary issues in our fields of research. You can find more detailed information about our Journal, including guidelines for authors, on our departmental web site.

Before concluding, we would like to thank the reviewers who contributed to the publication of the papers, the editorial assistants who helped to prepare this issue, including its formatting, and first and foremost, we would like to express our gratitude to all the authors without whom the publication of this volume would not have been possible. We hope that reading this volume of our new Journal will be a stimulating experience for you.

Stanislav Kolář
Editor-in-Chief

Linguistics and Translation Studies

„Gothi parlano in todesco…“
Nástin lingvistické charakteristiky krymské gótštiny[1]

Miroslav Černý

Abstrakt

Předkládaný článek je nástinem lingvistické charakteristiky krymské gótštiny, germánského dialektu, jímž se minimálně do 17. století hovořilo v několika izolovaných vesnicích dnešní jižní Ukrajiny. Autor uvádí jak externí (historicko-kulturní), tak interní (systémové) dimenze jazyka a jeho vývoje, přičemž klíčové pasáže textu se zaměřují na popis stavby krymské gótštiny a její postavení v rámci germánské jazykové rodiny. Nedílnou součást článku dále tvoří překlad a analýza hlavního zdroje pro poznání krymské gótštiny – tzv. čtvrtého ‘tureckého’ dopisu Ogiera Ghislaina de Busbecq.

Abstract

The present article provides a brief introduction into the linguistic characteristics of Crimean Gothic, a Germanic dialect once spoken by the Crimean Goths in a few isolated villages in what is today southern Ukraine. It outlines both external (historic and cultural) and internal (systemic) dimensions of the language, and collects the information on the Crimean Goths provided by historical documents. The author describes the linguistic system of the language, focusing on the place of Crimean Gothic among other Germanic languages. Moreover, he offers a Czech translation and analysis of the so called Busbecq’s Report.

Klíčová slova: lingvistická charakteristika, germánské jazyky, krymská gótština

Keywords: linguistic characteristics, Germanic languages, Crimean Gothic

1. Úvod

Jak už to tak s počátky národů bývá, také okamžik, kdy se vynořili z příšeří dávnověku Gótové, je zahalen tajemstvím. Samotný fakt, že první souhrnné dějiny Gótů byly sepsány teprve počátkem šestého století (Cassiodorus, Jordanes), tedy více než půl tisíciletí poté, co se jméno Gótů poprvé objevuje v antických pramenech (např. Strabón, Tacitus), dává tušit, na jak tenkém ledě se při zkoumání původu tohoto germánského etnika pohybujeme. Dnes už sice téměř nikdo nepochybuje o tom, že za pravlast Gótů je třeba považovat jižní Skandinávii, případně oblast dolního toku Visly v severním Polsku; shodují se na tom jak archeologické nálezy,[2] tak jazykovědné bádání. Přesto však zůstává celá řada otazníků, například ve vztahu k hodnocení gótské identity.[3]

Etymologická zkoumání[4] se přiklánějí k názoru, že název Gótové (*Gutans*) úzce souvisí s označením pro obyvatele ostrova Gotland v Baltském moři (*Gutar*). Příbuzným slovem je také staré skandinávské kmenové jméno *Geat* (švéd. *Götar*), anglistům známé z anglosaského eposu *Béowulf*. Zatímco pro slova *Gutans* a *Gutar* existoval původně tvar **Gutaniz*, označení *Geat* pochází z pragermánského **Gautoz*. **Gutaniz* a **Gautoz* jsou pak dva různé ablautové stupně pg. **geutan* s významem ‘lít, téci, proudit’ (srov. švéd. *gjuta*, něm. *giessen*, gót. *giutan*). V gótsky psaných textech se navíc vyskytuje složenina *Gut-þiuda* (gótský lid). Kdy a za jakých okolností se předkové Gótů začali těmito jmény označovat, nevíme. Stejně tak je obtížné určit, zda tito lidé tvořili jednu etnickou skupinu či šlo o multietnické společenství. Jisté však je, že někdy v polovině druhého století se část gótské populace začala ze své

pravlasti přesouvat jihovýchodním směrem a přibližně o sto let později se usídlila v severním Černomoří.

Podle Malcolma Todda mohou být důvody pro migraci Gótů z jejich původní domoviny do jihovýchodní Evropy dvojího charakteru. Jednak lze uvažovat o okolnostech demografických: přelidnění původní sídelní oblasti způsobilo přesun části populace do méně osídlených oblastí. Tato hypotéza však nebyla potvrzena archeologickými nálezy. Jako druhý, mnohem pravděpodobnější impuls se nabízí zájem Gótů na bohatství měst na pobřeží Černého moře a úrodnosti půdy v jeho okolí. Gótská migrace by se dala nejspíš popsat jako pomalý, úporný postup malých vojenských skupin, které si musely razit krvavou cestu přes území jiných kmenových svazů. Gótové byli bezpochyby nebezpečnými válečníky, kteří své zajatce obětovávali germánskému bohu války Týrovi a useknuté ruce nepřátel mu věšeli do korun stromů jako úlitbu.[5]

Samozřejmě nelze předpokládat, že všichni nepřátelé, s nimiž se Gótové na své dlouhé pouti setkali, byli zlikvidováni. Než dorazili do Černomoří, připojili se k jejich jednotkám příslušníci nejrůznějších kmenů, s největší pravděpodobností také Slované. V průběhu třetího století došlo k rozštěpení Gótů do dvou skupin. Gótské kmeny, které se usadily východně od řeky Dněstru (Greuthingové), se začaly označovat jako Východní Gótové neboli Ostrogóti. Skupina kmenů usazená západně od stejné řeky (Tervingové) získala název Západní Gótové nebo též Vizigóti. Některé zdroje (např. Wolfram) se shodují na tom, že rozdělení Gótů bylo způsobeno vsunutím kmene Gepidů mezi dvě velké gótské skupiny. Jak již bylo řečeno, v obou případech tato seskupení zahrnovala také jiná germánská i negermánská etnika.[6] Proto řečtí a římští spisovatelé té doby (např. Eunapios) považovali za Góty veškerou populaci žijící v Černomoří.

Pokud pomineme události, jež byly spojeny s válkami vedenými proti Římu,[7] nejvýrazněji se na osudech ukrajinských Gótů podepsala invaze hunských kmenů z východoasijských stepí Zatímco Vizigóti ještě stihli nalézt úkryt v područí římské říše,[8] ostrogótská vojska utrpěla drtivou porážku a byla začleněna do hunského svazku.[9] Pouze několika malým skupinám, které se stáhly do obtížně přístupných hor krymského poloostrova, se podařilo zachovat nezávislost. Zde si po dalších tisíc let udržovali svou kulturu a jazyk.[10] Odtud postupně pronikaly do Evropy informace, že se na březích Černého moře hovoří germánským jazykem, ne nepodobným němčině.

2. Základní prameny

Vzato čistě chronologicky se úplně první odkaz k jazyku Gótů z oblasti Krymu nachází v *Životě sv. Konstantina*. Známý slovanský věrozvěst na Krym přicestoval v polovině 9. století, aby tady hlásal evangelium Chazarům. Při té příležitosti zmiňuje Góty jako národ, který „chválí Boha“ ve svém vlastním jazyce: „My přece známe mnoho národů, kteří mají své knihy a vzdávají Bohu slávu každý svým jazykem. Jsou to, jak známo, tito: Arméni, Peršané, Abasgové, Iberu, Sudové, Góti, Avaři, Tursi, Chazaři, Egypťané, Arabové, Syřané a mnozí jiní.“[11] Není sice stoprocentně jisté, zda měl Konstantin na mysli Wulfilův překlad bible, v každém případě však jde o jeden ze dvou záznamů, které připouští, že Krymští Gótové používali svůj vlastní překlad Písma. Tím druhým je zpráva Josepha-Juste Scaligera (1540–1609) *Isagogicorum chronologiae canonum libri tres* (1606).

Zajímavým dokumentem o germánsky mluvícím obyvatelstvu na území dnešní jižní Ukrajiny je staroněmecká skladba *Píseň o Annovi* (*Annolied*),[12] zapsaná přibližně roku 1100. Když nahlédneme do veršů 310–318, zjistíme, že hovoří o existenci německého/germánského jazyka v oblasti Černého moře:

Dere geslehte quam wilin ere,
Von Armenie der herin,
Da Noe uz der arkin ging,
Dür diz olizui von der tuvin intfieng.
Iri ceichin noch du archa havit
Uf den bergin Ararat.
Man sagit daz dar in halvin noch sin
Die dir Diutschin sprechen
Ingegin India vili verro.

Dá se očekávat, že oním germánským obyvatelstvem jsou Gótové a tím „německým“ jazykem krymská gótština.

Také benátský obchodník, diplomat a cestovatel Josafat Barbaro (1420–1494) si povšimnul, že část obyvatel Krymu hovoří nějakým germánským dialektem. Jeho německý sluha se s nimi totiž relativně dobře dohovořil a nepotřeboval tlumočníka. Jak sám Barbaro uvádí: „Gothi parlano in todesco; so questo perche, havendo un fameglio todesco con mi, parlavano insieme et intendevansi assai rasonevolmente, cusi como se intenderia un furlano con fiorentino.“[13] Za velmi významné považuji Barbarovo připodobnění nářeční situace v germánských jazycích stavu, jak jej vnímal v italštině.[14] Vzájemným porovnáním dvou odlišných germánských dialektů tak upozornil na lingvistické rozdíly, které mezi nimi nutně existovaly.

V průběhu 16. století byla v Evropě existence Krymských Gótů již obecně známou věcí. Stejně tak se již nepochybovalo o germánském původu jazyka, jímž hovořili. V té době se ale také objevila zpráva, která dokládá postupný zánik krymské gótštiny jako živého jazyka. Německý teolog a historik Torquatus (1513–1575) ve svých *Annales Lipsiae et Quidlinburgi* píše: „Horum Gothorum reliquiae in Transsylvania. In montanis Tauricae Chersonesi ad Bosphorum non procul a Constanipoli et in Asia versus septentrionalem prope Armeniam domi inter sese gentilitia h. e. Germanica, Saxonum idiomati fere simili: foris autem et ad alios vel graeca vel Tartarico [sic] sive Ungarica utuntur lingua, ut ex historia Friderici Barbarossae et ex quadam Pirckeimeri Norimbergensis narratione manifestum est.“[15]

Na této krátké zprávě jsou zajímavé hned dvě věci. Za prvé je zde krymská gótština hodnocena nejen jako germánský jazyk, ale dokonce jako dialekt blízký staré saštině. Druhou zajímavostí je skutečnost, že při kontaktu s jinými národy používali Gótové řečtinu, tatarštinu nebo maďarštinu. Ačkoliv je pochopitelné, že znalost jiného komunikačního kódu, než je jazyk mateřský, patří k nezanedbatelné výbavě každého jedince, u Gótů z Krymu znamenalo ovládnutí cizích jazyků nejspíš počátek konce krymské gótštiny.

3. Ogier Ghislain de Busbecq

Přestože jsou výše uvedené zdroje poutavými dokumenty, převážná většina informací, na nichž zakládáme znalosti krymské gótštiny, vychází z tzv. čtvrtého ‘tureckého’ dopisu Ogiera G. de Busbecq. Tento vlámský šlechtic ve službách rakouského císaře Ferdinanda I. působil v letech 1555–1562 jako říšský ambasador v Konstantinopoli. Někdy mezi léty 1560–1562 se setkal se dvěma delegáty z Krymu, z nichž jeden ovládal místní gótštinu a byl ochoten ambasadora o tomto jazyce informovat. Nutno však dodat, že šlo o informace kusého charakteru. Busbecqovi se podařilo zachytit pouze osmdesát slov a frází, k tomu přibližně dvacet číslovek a první tři verše písně označované jako *cantilena*.

Je zřejmé, že veškeré závěry, jež se dají na tomto velmi skrovném materiálu založit, nelze než brát s určitou rezervou. Hodnověrnost materiálu navíc komplikuje fakt, že Busbecqovi informátoři nepatřili mezi rodilé mluvčí krymské gótštiny a byla u nich patrná interference řeckého jazyka. Také Busbecqova lingvistická kompetence je pochybná, neboť transkripce,

kterou zvolil pro přepis získaných slov, komplikuje správné určení jejich výslovnosti. Busbecqova zpráva byla poprvé publikována roku 1589. Na následujících řádcích uvádím její český překlad:[16]

„Nesmím také zapomenout podělit se s Vámi o informace, jež jsem zvěděl o lidech, kteří stále ještě žijí na Krymu a o kterých se říká, že jak jazykem, tak svými zvyky, a dokonce i výrazem tváře a celkovým fyzickým vzhledem vykazují stopy germánského původu. Dlouho jsem doufal, že se mi podaří s některými z těchto lidí setkat se, a pokud možno, také získat písemný záznam jejich jazyka. Bohužel jsem byl neúspěšný a teprve náhoda splnila mé přání alespoň částečně. Na sultánův dvůr dorazili dva poslové, aby jménem oněch lidí vznesli stížnost nebo něco podobného. Mí překladatelé se s nimi setkali, a dbajíce mých pokynů pozvali je do mé rezidence na večeři.

Jeden z nich byl vyšší postavy a z obličeje mu vyzařovala jistá vrozená jednoduchost, nekomplikovanost, takže vypadal jako Vlám nebo Holanďan. Ten druhý byl menší, mohutnější a tmavší pleti. Narodil se jako Řek a také jeho mateřským jazykem byla řečtina, avšak častým kontaktem s oněmi lidmi si osvojil celkem dobrou znalost jejich jazyka. První jmenovaný naopak žil s Řeky již natolik dlouho, že svůj jazyk zapomněl a hovořil pouze řecky.

Když jsem se ho zeptal na způsoby a zvyky oněch lidí, odpověděl výstižně. Řekl, že jde o bojovný národ, který do dnešních dnů obývá mnoho osad. Pokud je to zapotřebí, může v nich náčelník Tatarů naverbovat až osm set pěšáků ozbrojených střelnými zbraněmi, kteří pak vytváří základ jeho armády. Jejich nejdůležitějšími komunitami jsou Mancup a Scivarin.

Také mi sdělil řadu informací o Tatarech a jejich barbarském způsobu života. Zdůraznil ale, že se mezi nimi nachází muži mimořádně inteligentní, kteří jsou na závažnou otázku schopni odpovědět pregnantně a věcně. Proto se mezi Turky v dobrém říká, že zatímco jiné národy mají svou moudrost vepsanou do knih, Tataři své knihy snědli, svou moudrost si uložili do prsou, a kdykoliv potřebují, mohou si ji přivolat a promlouvat jako učení lidé. Jejich zvyky jsou ohavné. Když se na stůl naservíruje polévka, nechají lžíci stranou a upřednostní svou dlaň. Koňské maso pojídají, aniž by ho uvařili. Pouze dají pod sedlo svého koně kus, který chtějí pozřít, a když se ohřeje na tělesnou teplotu, sní ho, jakoby bylo upraveno na nejdelikátnější způsob. Náčelníci těchto lidí hodují u stříbrných stolů. A koňská hlava se podává jako první a poslední chod jídla, podobně jako to u nás činíme s máslem.

Nyní uvedu pouze několik z mnoha germánských slov, jež mi odříkal. Důvodem je skutečnost, že minimálně stejný počet dalších slov bylo zcela odlišných od našich vlastních, ať už to bylo dáno charakterem jazyka nebo výpadkem paměti, který mohl způsobit, že zaměnil slova cizí za svá rodná. Před všemi výrazy použil člen *tho* či *the*.[17] Slova, která byla jako naše a lišila se jen zčásti, jsou tato:

Broe	chleba	*Tag*	den
Plut	krev	*Oeghene*	oči
Stul	židle	*Bars*	vous
Hus	dům	*Handa*	ruka
VVingart	vinice	*Boga*	luk
Reghen	déšť	*Miera*	mravenec
Bruder	bratr	*Ringo*	prsten
Schuuster	sestra	*Brunna*	pramen
Alt	starý	*VVaghen*	vůz, vagón
VVintch	vítr	*Apel*	jablko
Siluir	stříbro	*Schiete*	vystřelit šíp
Goltz	zlato	*Schlipen*	spát
Kor	obilí	*Kommen*	přijít, přijet
Salt	sůl	*Singhen*	zpívat
Fisct	ryba	*Lachen*	smát se
Hoef	hlava	*Eriten*	plakat
Thurn	dveře	*Geen*	jít, jet
Stein	hvězda	*Breen*	péci, opékat
Sune	slunce	*Schuualth*	smrt
Mine	měsíc		

Knauen tag znamená ‘dobrý den’, *knauen* označuje ‘dobrý’. Použil také řadu dalších slov, která však s naším jazykem nekorespondují. Například:

Iel	život, zdraví	*Baar*	chlapec
Ieltsch	naživu, zdravý	*Ael*	kámen
Iel vburt	ať se dobře daří	*Menus*	maso
Marzus	svatba	*Rintsch*	hora
Schuos	snoubenec, snoubenka	*Fers*	muž
Statz	země	*Lista*	příliš málo
Ada	vejce	*Schediit*	světlo
Ano	kuře, slepice	*Borrotsch*	přání, vůle
Telich	pošetilý	*Cadariou*	voják
Stap	koza	*Kilemschkop*	dopij svou číši
Gadeltha	nádherný	*Tzo Vvarthata*	udělal jsi to
Atochta	špatný	*Ies varthata*	udělal to
VVichtgata	bílý	*Ich malthata*	říkám to
Mycha	meč		

Když byl požádán, aby počítal, činil následovně: *Ita, tua, tria, fyder, fyuf, seis, seuene,* přesně jak to děláme my Vlámové. To je upozornění pro vás, lidé Brabantu, kteří si myslíte, že hovoříte německy a rádi se tím chlubíte, zatímco nám se vysmíváte, že naše výslovnost výrazu, který vy vyslovujete *Seuen*, je ohavná. Dále pokračoval: *Athe, nyne, theine, thiinita, thunetua, thunetria* atd. ‘Dvacet’ bylo *stega,* ‘třicet’ bylo *treithyen*, ‘čtyřicet’ *furdeithien*, ‘sto’ *sada,* ‘tisíc’ *hazer*. Také v onom jazyce odrecitoval píseň, která začínala takto:

VVara vvara ingdolou
Scu te gira Galtzou
Hæmisclep dorbiza ea.

Neumím rozhodnout, zda jsou tito lidé Gótové, nebo Sasové. Pokud to jsou Sasové, myslím si, že byli na Krym přesunuti za vlády Karla Velikého, který tento národ rozprášil po nejrůznějších oblastech světa. Jako důkaz mohou posloužit města v Transylvánii, jež jsou Sasy osídlena do dnešních dnů. Možná se Karel Veliký rozhodl odsunout ty nejbojovnější ještě dále, na Krym, kde si mezi nepřáteli nadále uchovávají křesťanskou víru. Pokud jsou to ale Gótové, jsem toho názoru, že tuto oblast obývají společně s Gety[18] již od starověku. Neuděláte chybu, když řeknete, že Gótové kdysi obývali území od ostrova Gotland po Perekop. Právě odtamtud gótské kmeny (Ostrogóti a Vizigóti) přišly. Odtamtud vedly svá dobyvatelská tažení. Tam se nacházelo semeniště těchto barbarských nájezdníků. A to jsou informace, jež jsem o Krymu zvěděl od těch dvou mužů z Perekopu.”

4. Popis stavby krymské gótštiny

Jak již bylo zmíněno, soubor, na kterém zakládáme naše znalosti o krymské gótštině, trpí řadou nedostatků: je přespříliš stručný, formulován pochybnými informanty, zaznamenán laikem, a proto nejasnou transkripcí, dokonce vychází z pouhé kopie původního dopisu, který nezůstal zachován. Dalším problémem, zejména ve vztahu k otázkám morfologickým a syntaktickým, je skutečnost, že se převážná většina výrazů Busbecqova korpusu vyskytuje v izolované podobě, bez patřičného slovního a větného kontextu. Přesto je z něj možné získat alespoň základní představu o tom, jaká je lexikální a gramatická struktura krymské gótštiny a v čem se liší od ostatních gótských/germánských dialektů/jazyků.

Zajímavým zjištěním je, že slovní zásoba krymské gótštiny obsahuje několik výrazů, jejichž tvarová obdoba není v žádném z dalších jazyků doložena (např. čes. ‘špatný’ = kg. *Atochta* vs. stn. *illr*, sta. *yfel*, stf. *evel*, sthn. *ubil*). Většina zbývajících výrazů má své formální ekvivalenty buď ve všech ostatních germánských jazycích (např. čes. ‘hlava’ = kg. *Hoef*, sta. *hēofod*, sthn. *houbit*, stf. *haved*, stn. *hofuð*), nebo pouze v některém z nich (např. čes. ‘on’ = kg. *Ies*, sthn. *er* vs. stn. *hann*, sta. *hē,* stf. *hi*, sts. *hē*). Detailnější srovnávací analýza pak dokazuje, že dvě slova krymské gótštiny jsou doložena pouze v biblické gótštině (srov. čes. ‘přání’ = kg. *Borrotsch*, bg. *ga-baurjoþus*; čes. ‘maso’ = kg. *Menus*, bg. *mimz*) a další dva výrazy, navíc s posunutým významem, pouze v jazycích severogermánských (srov. čes. ‘dobrý’ = kg. *Knauen*, stn. *knar*; čes. ‘hora’ = kg. *Rintsch*, v norském dialektu *rind, rinde, rende*).

V souboru se nachází zástupci následujících slovních druhů: podstatných jmen, přídavných jmen, zájmen, číslovek, sloves a příslovcí.[19] Ve vztahu k substantivům lze říci, že krymská gótština rozlišovala gramatické kategorie čísla, rodu a pádu. Třebaže Busbecq uvádí všechna gótská podstatná jména vedle nominativních tvarů latinských ekvivalentů, není nikde řečeno, že jde právě o tvary prvního pádu. Je velmi pravděpodobné, že Busbecqovi informátoři předávali slova ve tvarech, ve kterých je slýchali nejčastěji. Proto je možné, že výrazy, které se častěji objevovaly na pozici předmětu než podmětu, byly předány nikoli v nominativní, nýbrž v jejich akuzativní podobě.

Je samozřejmě jen velmi obtížné určit u konkrétního slova správný gramatický rod či pád, nebo dokonce správné číslo. U následujících výrazů však panuje shoda, že jde o tvary nominativu jednotného čísla, neboť se u nich s různými obměnami (/s/ a /sch/), zachovalo koncové pragermánské *-*z*: *VVintch* (bg. *winds*)*, Fers* (bg. *fairhus*)*, Rintsch, Borrotsch, Schuos, Ies, Ieltsch*. U fráze *Knauen tag* (srov. něm. *Guten Tag*) zase můžeme prohlásit, že ve shodě s akuzativní podobou adjektiva *Knauen* jde také v případě substantiva *tag* o akuzativ, přesněji řečeno o čtvrtý pád mužského rodu jednotného čísla (srov. bg. *dag*, stn. *dag*, sta. *dæg*, sts. *dag*, sthn. *Tag*). Akuzativní tvar můžeme očekávat i u výrazů, kterým chybí koncové /s/, /sch/: *Stul, Rinck, VVingart* (srov. nom. v bg. *stols,* stn. *hringr*, bg. *weinagards*). Jako jediná plurálová forma je uveden výraz *Oeghene* (srov. bg. *augona*, stn. *augo*, sta. *ēagan*, sts. *ōgun*, sthn. *ougun*).

Co se týká přídavných jmen, tak pokud vyjdeme z latinského překladu, najdeme v souboru adjektiva dvou rodů: mužského (*Alt, Ieltsch, Telich*) a středního (*Atochta, VVichtgata, Gadeltha*). Navíc se objevují další dvě adjektiva jako součást frází *Iel vburt* a *Knauen tag*. V prvním případě (*Iel*) jde o přídavné jméno středního rodu, v druhém případě (*Knauen*) o adjektivum mužského sklonění.

Ze zájmen se vyskytují tři zájmena osobní: *Ich* (1. os. nom. sg.) ve frázi *Ich malthata*, *Tzo* (2. os. nom. sg.) v *Tzo Vvarthata* a *Ies* (3. os. mask. nom. sg.) v *Ies Vvarthata*. Kg. *Ich* odpovídá bg. *ik*, stn. *ek*, sta. *ic*, sts. *ik*; kg. *Tzo* má své ekvivalenty v bg. *þu*, stn. *þū*, sta. *þū*, sts. *thū*, sthn. *dū*; kg. *Ies* najdeme v bg. jako *is* a ve sthn. jako *er*. Čtvrtým osobním zájmenem se může jevit enklitické *-(a)ta*. Například ve frázi *Ich malthata* (‘říkám to’) odpovídá zájmenu 3. os. neut. ak. sg., a funkčně se tak shoduje s bg. *ita*, sts. *it*, sthn. *iz*, sta. *hit*. V korpusu se vyskytují ještě dvě ukazovací zájmena (*tho* a *the*), která však Busbecq popisuje jako členy. Protože se tato zájmena neobjevují ve vazbě s žádným substantivem, nelze určit jejich rod, číslo a pád. A dále se tu vyskytuje enklitické *-thata* (např. *Ies VVarthata* ‘udělal to’), které lze taktéž chápat jako demonstrativum (srov. bg. *þata*, stn. *þæt*, sts. *that*, sthn. *daz*).

V Busbecqově zprávě bylo zaznamenáno osmnáct základních číslovek, z nichž u některých byl přidán jejich latinský ekvivalent (např. *viginti* ‘dvacet’; *triginta* ‘třicet’; *quadraginta* ‘čtyřicet’). Číslovka *Ita* ‘jedna’ je totožná v obou gótských dialektech (biblické gótštině i krymské gótštině). Číslovky 2–10 odpovídají stejným číslovkám v dalších germánských jazycích. Naopak číslovky 11–13 se od jiných germánských jazyků svou strukturou liší (srov. kg. *thiinita,* stn. *ellefo*, sta. *endleofan*, sthn. *einlif*; kg. *thunetua*, bg. *twalif*, stn. *tolf*, sts. *twelif*, sthn. *zwelif*; kg. *thunetria*, stn. *þrettān,* sta. *þrītēne*, sts. *thriutein*). Na rozdíl třeba od angličtiny[20] se v krymské gótštině tyto číslovky vytvořily nejspíše na základě tureckých nebo

řeckých vzorů, kde také dochází ku spojení dvou kořenů, označujících například ‘deset’ a ‘jedna’ (‘jedenáct’ = kg. *thiin-ita*, tur. *on-bir*).

Také číslovky 20, 30 a 40 se liší od svých ekvivalentů v jiných germánských jazycích, kde tyto číslovky vznikají spojením cifer 2–4 s pg. **tigu-* ‘deset’ (srov. bg. *twai tigjus*, stn. *tuttugu*, sta. *twēntig,* sts. *twēntig*, sthn. *zweinzug*; bg. *þreis tigjus*, stn. *þrīr tiger*, sta. *þrītig*, sts. *thrītig*, sthn. *drīzzug*; bg. *fidwor tigjus*, stn. *fiōrer tiger*, sta. *fēowertig*, sts. *fiortig*, sthn. *fiorzug*). Oproti nim stojí kg. *stega* ‘dvacet’ a dále pak číslovky *treithyen* ‘třicet’ a *furdeithien* ‘čtyřicet’, které jsou s velkou pravděpodobností resultátem spojení řadových číslovek ‘třetí’ a ‘čtvrtý’ se slovem označujícím ‘deset’. Můžeme ještě doplnit, že výrazy pro ‘sto’ a ‘tisíc’ jsou negermánského původu; pochází z iránských jazyků (srov. kg. *sada* a *hazer* s osetským *sädä* a středoperským *hazār*).

Slovesa jsou v Busbecqově korpusu zastoupena následovně: dvanáct, možná třináct slovesných tvarů se dělí na osm infinitivů, jeden přítomný indikativ (*malthata*), dva minulé indikativy (*Vvarthata, Varthata*), jeden imperativ (*Kilemsch-*) a jeden minulý subjunktiv (*vburt*). S výjimkou *Schiete* (‘střelit’) se všechny infinitivy vyskytují s koncovým *-en*: *Schlipen, Kommen, Singhen, Lachen, Eriten, Geen, Breen.* Objevují se však také návrhy prosazující mírně odlišné roztřídění a interpretování slovesných tvarů. Také jakékoliv rozdělení sloves na slabá a silná je jen obtížně realizovatelné a lze ho učinit pouze na základě srovnání s dalšími germánskými jazyky.

Protože se v souboru krymské gótštiny nenachází žádné rozsáhlé věty či bohatá souvětí, veškeré závěry, které můžeme předložit o syntaxi, jsou založeny na šesti krátkých frázích: (1) *Knauen tag* (‘dobrý den’), (2) *Iel vburt* (‘ať se dobře daří’), (3) *Tzo Vvarthata* (‘udělal jsi to’), (4) *Ies Varthata* (‘udělal to’), (5) *Ich malthata* (‘říkám to’), (6) *Kilemschkop* (‘dopij svou číši’). Tři z těchto frází (3, 4, 5) se identifikují jako tranzitivní věty se zájmenným podmětem, který je následován slovesnou formou s enklitickým zájmenným předmětem (např. *Tzo Vvarthata*). Pokud je tento předpoklad správný, pak můžeme krymskou gótštinu klasifikovat jako jazyk, pro nějž je charakteristický slovosled SVO (podmět-přísudek-předmět). Na druhou stranu eliptická tranzitivní fráze *Knauen tag* upozorňuje na možnost realizace slovosledu SOV (podmět-předmět-přísudek). Fráze *Kilemschkop* by se mohla dešifrovat jako vazba slovesa v imperativu se substantivním předmětem (*Kilemsch-kop*). Jedinou intranzitivní větou je fráze *Iel vburt*, která se skládá z adjektiva a přací (optativní/subjunktivní) slovesné formy.

5. Postavení v rámci germánské rodiny

Otázka vztahu krymské gótštiny k ostatním germánským jazykům vždy vyvolávala rozporuplné názory. Objevovala se tvrzení, ve kterých byla krymská gótština ztotožňována se západogermánskými dialekty. Jindy byla identifikována jako člen severogermánské skupiny jazyků. Nejčastěji se však o kg. hovoří jako o představiteli východní větve germánských jazyků a právě tímto směrem se budou ubírat následující řádky. Jejich cílem je stručné zhodnocení tohoto předpokladu, a to na základě postihnutí některých fonologických vlastností pro kg. typických. Při porovnávání kg. s dalšími členy germánské jazykové skupiny je třeba mít na paměti, že první záznamy krymské gótštiny jsou mnohem pozdějšího data, než je tomu například u staré angličtiny či biblické gótštiny.[21]

Jedním z fonologických rysů, který dokazuje, že kg. není vývojovým stupněm biblické gótštiny, ale samostatným jazykem, je zachování pragermánského **e* tam, kde se v bg. objevuje /i/ (srov. ‘déšť, sestra’ v kg. *Reghen, Schuuester* vs. bg. *rign, swister*). Obdobně se v kg. zachovalo pg. **u* před *r* (např. ‘ať je v pořádku’ *iel vburt*), zatímco v bg. došlo ke změně v */au/* (srov. *waurþi*). Další rozdíl nalezneme, když srovnáme změny, které se odehrály u pg. **u* v jiných pozicích. V krymské gótštině došlo k posunu v */o/* (např. ‘zlato’ *Goltz*), kdežto v biblické gótštině zůstává */u/* zachováno (srov. *gulþ*).

Fonologická charakteristika krymské gótštiny dále jasně dokazuje, nakolik se krymská gótština odlišuje od germánských jazyků severní a západní větve. Jako nejmarkantnější rozdíl se jeví absence rotacizmu pro pg. **z* u kg. (srov. ‘snoubenec, snoubenka’ *Schuos*), třebaže ve staré norštině a staré horní němčině došlo ke změně v *r* (srov. stn. *snor* a sthn. *snur*). Dalším pozoruhodným rozdílem je přechod pg. **ē1* do pozice */i:/* v kg., v severogermánských a západogermánských jazycích došlo naopak k poklesnutí do pozice */a:/* (srov. ‘meč, měsíc’ v kg. *Mycha, Mine* vs. sts. *māki* nebo stn. *māne* a sthn. *māno*). Také zachování pg. hláskové skupiny **lþ* odděluje krymskou gótštinu od jejích severních a západních příbuzných (srov. kg. *Goltz* */lθ/* vs. sta. *gold*, stn. *goll*).

Přes celou řadu rozdílů, kterými se krymská gótština odlišuje od zbytku germánských jazyků, lze při srovnávací analýze objevit také množství podobností, zejména s gótštinou biskupa Wulfily. Obdobně jako v kg. nedošlo v bg. k poklesnutí pg. **ē1* (např. ‘spát’ = v kg. *Schlipen* a bg. *slepan*). Také koncovky pronominálních adjektiv středního rodu se shodují jak v krymské gótštině, tak gótštině biblické (srov. kg. *Gadeltha, Atochta, VVichtgata* a bg. *blindata*). Některé fonologické rysy krymské gótštiny lze chápat jako čistě gótské inovace: (1) Pragermánské **z* se v kg. uchovalo jako sibilant, u kterého došlo ve finální pozici ke ztrátě znělosti (např. *VVintch, Ieltsch, Ies*), čemuž odpovídá paralelní vývoj v bg. (např. *winds, hails, is*); (2) Pragermánské intervokalické **-jj-* se odráží v podobě gótské dentální souhlásky (např. kg. *Ada*).

Na základě výše uvedených informací můžeme konstatovat, že se krymská gótština vyvinula jako samostatný dialekt východogermánské jazykové skupiny. Přestože je v mnoha ohledech podobná biblické gótštině (vizigótštině),[22] nelze krymskou gótštinu v žádném případě chápat jako její vývojovou variantu. Existují fonologické rozdíly, které od sebe kg. a bg. zřetelně oddělují. Kdybychom aplikovali geografické hledisko, museli bychom Krymské Góty definovat jako Ostrogóty. Proto je také možné pro označení krymské gótštiny použít slovní ekvivalent ostrogótština, a tímto způsobem zdůraznit její specifičnost a výjimečnost ve vztahu k příbuzným germánským jazykům.[23]

6. Kantiléna

V úvodu k tomuto článku bylo zmíněno, že součástí Busbecqova korpusu krymské gótštiny jsou první tři verše písně, pro kterou se obvykle používá pracovní název *the cantilena* (‘stará píseň’). V záznamu bohužel chybí překlad, a tak není jasné, o jakou píseň šlo a jaký byl její obsah. Mohlo jít o náboženskou píseň nebo milostnou píseň, ale třeba také o pouhý pijácký, námořnický či vojenský popěvek. Skutečnost, že chybí překlad, upozorňuje na možnost, že Busbecq písni jednoduše vůbec neporozuměl. Je také pravděpodobné, že zpívaný text špatně segmentoval a zaznamenaná slova se v této podobě nevyskytují. Každopádně se v průběhu staletí objevilo hned několik pokusů o jejich překlad.

Již v roce 1669 přišel s převodem do švédštiny a latiny Johannes Peringskiöld, který *kantilénu* přeložil následujícím způsobem:

Wara wara in dälla
wi sku göra galliþur
hamskipts þorsteliga äoch ä

Estote obsequentiores,
faciamus incantationem
transformamini audacter in[24]

Roku 1758 přichází s dalším pokusem o překlad Franz Aton Knittel:

Vardja, vardja in dalja
scura jera galisiþ nuh
hiuma sclep draibiþs–vega.

Custos, custos in foveam
Procella tempore congregabit
populus dormit agitatus–motum.[25]

Géza Kuun (243) tvrdí, že *kantilénu* je třeba chápat jako tureckou, nikoli gótskou píseň. Jeho překlad zní:

Vara vara ing dolu,
šu tegira gölt(ä) su.
Gämi išlep dorb-isä ea
Sensim sensim impletur,
Haec regio tota aqua est.
Navis quum illic constitit[26]

Na rozdíl od Kuuna Scardigli (296) zastává názor, že *kantiléna* je gótského původu a že je ji třeba vnímat jako úvodní pasáž rozsáhlejší křesťanské ukolébavky. Snaží se ji rekonstruovat za pomocí Wulfilovy gótštiny a poté ji překládá do italského jazyka:

Warei warei, aggilu:
Skauta [garawei (?) ga-alith-]
Himi(na)slep [?? Biuth izai]…

Veglia veglia, angelo:
in grembo (a te) riposa la creatura (mia).
Concedile (?) sonno celeste…[27]

Který z výše uvedených překladů je nejblíže realitě, již nejspíš nezjistíme. Je třeba ale rozhodnout, zda se jednalo o gótskou píseň, nebo zda má pravdu Kuun a jeho „turecká hypotéza“. Největší současná autorita v oboru Donald Stearns (124) se přiklání k názoru, že *kantiléna* je opravdu gótskou písní. Podle něj je vysoce nepravděpodobné, že by Busbecqovi informátoři vědomě, či nevědomě zaměnili gótskou píseň za tureckou. Dá se také očekávat, že se setkání mezi Busbecqem a informanty zúčastnili pomocní překladatelé, kteří by jistě chybu rozeznali. A nesmíme navíc zapomínat, že samotný Busbecq – velvyslanec v osmanské říši – určitě turečtinu ovládal.

7. Závěr

Krymská gótština se řadí mezi zaniklé, takzvaně mrtvé jazyky. Ať již vymřela ve století šestnáctém, sedmnáctém, osmnáctém či dokonce devatenáctém, převážná část jejího tajemství zůstane jednou provždy neodhalena. Je třeba přijmout to jako nezvratný fakt. Naštěstí se nám zachovalo těch několik málo desítek číslovek, slov a frází z Busbecqova korpusu. Můžeme se tudíž pokusit vybojovat z něj co nejvíce a krymskou gótštinu rekonstruovat alespoň fragmentárně. První a nemalé kroky byly již v tomto směru učiněny. Stran budoucích výzkumů se však nepřímo ukázalo, že mnohem více než u jazyků moderních bude nezbytné usilovat o pochopení jazyka Gótů z Krymu ve všech jeho historických a také kulturně-literárních souvislostech.

Poznámky

[1] Článek vznikl přepracováním druhé a desáté kapitoly knihy *Úvod do studia gótštiny* (2008).
[2] Hodnocení z pohledu archeologie nabízí Schlette.
[3] Podrobněji viz Heather.
[4] Primární lexikografickou a etymologickou autoritou je *A Gothic Etymological Dictionary* (1986).
[5] Vysvětlení tohoto jednání podává starogermánská mytologie. Viz např. Spáčilová.
[6] Kromě Gepidů třeba skythosarmatské obyvatelstvo nebo germánské Heruly.
[7] Střetům mezi germánskými kmeny a Římem se detailněji věnuje Wolters.
[8] K pozdějším osudům Gótů viz např. Wolfram.
[9] Válečný konflikt Gótů a Hunů posloužil jako inspirační zdroj tzv. *Písně o hunské bitvě*.
[10] Podle některých zdrojů se v oblastech Krymského poloostrova udržela gótština až do 19. století.
[11] Citováno u Vašici (252).
[12] K základnímu uvedení do problematiky písně viz Bahr.
[13] Citováno u Stearnse (6–7).
[14] Nářeční situaci v Itálii popsal již c. 150 let před Barbarem Dante ve svém traktátu *O rodném jazyce*.
[15] Citováno u Stearnse (9).
[16] Nejde o překlad z původního latinského zápisu, nýbrž z anglické edice textu (viz Stearns 12–15).
[17] Stearns (13) tvrdí, že člen zcela jistě předcházel pouze podstatná jména, nikoli všechna slova.
[18] Getové jsou negermánský národ, jenž kdysi obýval oblast dolního Dunaje. Ze světových dějin se ztratil ještě před 9. stoletím. Již od starověku byli zaměňováni s Góty. Viz Stearns (15).
[19] Protože se v korpusu nachází pouze jedno příslovce (*Lista*), není možno o tomto slovním druhu jakkoli pojednat.
[20] V angličtině a také některých dalších germánských jazycích se tvary číslovek jedenáct a dvanáct vysvětlují jako stopy dvanáctkového počítání, které se uplatnilo pod vlivem babylónského systému počítání. Viz Vachek (70–71).
[21] Biblickou gótštinou máme na mysli podobu gótského jazyka, kterou ve svém překladu použil biskup Wulfila (311–383). Jelikož Wulfila patřil mezi Západní Góty, hovoříme o vizigótštině.
[22] Detailnější teoretické poučení o biblické gótštině podává Rauch. Zájemcům o zvládnutí gótštiny po stránce praktické lze doporučit Bennetta.
[23] Tyto závěry by nebylo možno formulovat bez důkladných analýz Stearnsových. Právě on byl základním zdrojem a zároveň garantem výše i níže uváděných údajů.
[24] Anglický překlad z pera Stearnse (122) zní: “Be more yielding,/Let us make the incantation/You are boldly transformed into…”. Také další ukázky a překlady čerpány ze Stearnse.
[25] “Watchman, watchman, into the pit/The storm will gather in time/The people sleep restlessly–motion…”
[26] “Gradually, gradually it is filled,/This region is all water./When the ship stands at that place…”
[27] “Watch, watch, angel:/in (your) lap reposes (my) child./Allow (?) her (him) celestial sleep…”

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Explicitation as a Communication Strategy in Translation

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Abstract

This paper reports on an extensive corpus-based study of explicitation as a communication strategy in Czech-English translations. The phenomenon of explicitation is discussed in relation to its possible status as a translation 'universal', and a semantically-based conceptual framework for the study of explicitation is presented. The paper then reports on the most striking patterns of occurrence of explicitations and implicitations in the research corpus, noting the evident correlations between semantic factors and translators' tendency to explicitate or implicitate certain meanings, and discussing the distinction between the consistent global application of explicitation strategies and their more sporadic, local application.

Keywords: Translation, communication strategy, explicitation, implicitation, translation universals

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1. Introduction

The notion of **communication strategies** – ways of achieving a communication-related goal – lies at the heart of the functional conception of language and the 'means-ends' model associated with it.

Like any communicative activity, **translation** has its own set of communication strategies, which are chosen (whether consciously or unconsciously) in order to achieve communicative goals. Some strategies are well-established in translators' repertoires and are deployed deliberately, while others are used less consciously, more instinctively[1]. Translation is a **problem-solving activity**, and strategies are used in order to address problems at all levels of linguistic representation. For example, at the syntactic level, a well-established communication strategy in Czech-to-English translation is passivization with the goal of reproducing the distribution of communicative dynamism in a sentence, so that the requirement of end-focus or end-weight is satisfied (this strategy may be applied in the translation into English of Czech OVS sentences where the S is focal and/or long; in English this focal and/or long element is repackaged as the agentive adverbial phrase of a passive construction, which can occupy sentence-final position). This is an example of a strategy that solves some **local** equivalence problem – in this case, the problem of information structure within a sentence. At the level of discourse, there may be problems that go beyond the text and involve the communication situation in its wider sense – these problems concern a more **global** conception of equivalence. For example, a translator may decide to employ a strategy of domestication – that is, to culturally adapt the ST (source text) to produce a TT (target text)[2] that is more comprehensible or acceptable to target readers, e.g. by replacing source-culture allusions and typical rhetorical features with loose equivalents that are more adequate in the target culture, thus sacrificing low-level (literal) equivalence in order to achieve a more satisfactory higher-level (pragmatic) equivalence. Such discourse-level strategies are then manifested in various sub-strategies at lower levels, such as syntax or lexical choice.

This paper reports on an investigation of one particular translational communication strategy, with the aim of characterizing the strategy and describing its occurrence in a corpus of Czech source texts and their English translations. The strategy examined here is a process

termed **explicitation**, which has long been considered one of the most pervasive and typical features of translation. Explicitation can be seen either as a difference between the properties of translated and non-translated texts in the same language (translated texts tend to express meanings more explicitly than original texts), or in terms of differences between source texts and their target texts in the TL (the TT is more explicit than the ST).

2. Outline of the research to date

The first systematic empirical studies of explicitation date back to the 1980s. As one of the most central phenomena of translation, explicitation has been proposed as a candidate for the status of a translation 'universal'. The quest to understand so-called **'universals' of translation** (e.g. Toury; Mauranen & Kujamäki) has been one of the most exciting developments in modern translation theory. Translation 'universals' are linguistic features which typically occur in translated texts more frequently than they do in non-translated, original texts. The concept of universals gives rise to the intriguing idea that translated texts are somehow inherently different to non-translated texts, and that these differences display a certain regularity. The study of translation universals thus has the potential to offer valuable insights into the nature of the translation process as a specific type of language use. Research focuses on seeking regularities, patterns that recur irrespective of the particularities of individual translations, and regardless of which languages or text types are involved.

A crucial notion in the study of translation universals is that of **shifts** – the various ways in which translated texts tend to differ from source texts in the original language. Clearly, this notion of shifts lies at the very core of explicitation, as explicitation strategies always involve a shift from the relatively implicit expression of a particular meaning to its relatively explicit expression.

The original '**explicitation hypothesis**' (proposed by Blum-Kulka in 1986) claims that target texts regularly tend to display a higher degree of cohesive explicitness than their source texts, and thus have a denser texture. Most researchers' attention has focused on additions to the text which cannot be explained as being due to contrastive differences – systemic, structural, stylistic and rhetorical – between the languages involved (Klaudy). This 'translation-inherent' explicitation appears to be such a prevalent feature of translations that it has become one of the prime candidates for the status of translation 'universal'.

Small-scale studies of explicitation tend to focus on restricted groups of particular linguistic features or translation shifts that are considered to be **indicators of explicitation**, analyzing the occurrence of these indicators with the aim of arriving at relevant conclusions. These indicators may be present on the **textual** level: the most frequently analyzed indicator of explicitation is the addition of connectives, resulting in stronger cohesion (Blum-Kulka; Séguinot; Weissbrod; Klaudy; Øverås; Pápai; Puurtinen; Englund Dimitrova); other studies have investigated the addition or strengthening of cohesive ties via lexical cohesion, such as the reiteration of lexical items (Blum-Kulka; Weissbrod; Klaudy & Károly; Øverås; Pápai); improved topic-comment links or clarification of sentence perspective (Séguinot; Klaudy; Pápai). Other shifts could be classified as **syntactic** explicitation: raising of information from subordinate clauses to coordinate or principal structures (Séguinot); the use of relative clauses instead of more compact premodification structures (Klaudy, *Explicitation*); shifts from ST non-finite constructions to TT finite constructions (from nominalizations to verbal forms) potentially explicitating agency (Puurtinen); or shifts from agentless passive to agentive or active constructions, also explicitating agency (Øverås; Puurtinen). Another group of shifts involves various **lexical** means of adding or clarifying ST-implicit information: noun specification via determiners (possessives, demonstratives), modifiers, appositions etc.

(Øverås); addition of time and place adverbials (Øverås; Englund Dimitrova); or the shift from metaphors to similes (Weissbrod).

If explicitation is conceptualized as a conscious or subconscious translational communication strategy – as it is in this paper – the question arises what are the goals of such a strategy. The most convincing theoretical explanations from the viewpoint of **conscious strategic behaviour** have come from approaches focusing on the **pragmatic** aspects of explicitation, seeking explanations in the translator's efforts to cooperate with his/her target audience by providing the readership with a clearer, more explicit, more readable text. According to this pragmatic approach, translators may attempt to minimize the risk that the reader might misinterpret the text, by clarifying what does not seem sufficiently clear. Chesterman raises the possibility that translators may employ explicitation as a by-product of their conscious desire to cooperate with their readership: translators "tend to want to write clearly, insofar as the skopos allows, because they can easily see their role metaphorically as shedding light on a text that is obscure – usually unreadable in fact – to their target readers" (Chesterman 45).

Other researchers have taken a **psycholinguistic** approach, conceptualizing explicitation as a largely **subconscious** process (e.g. Olohan & Baker) in which the efforts made by the translator as a reader – processing the source text and reconstructing its meaning – are externalized in the surface form of the target text. Support for this explanation is found in research by Whittaker, showing that explicitation may increase in passages of greater discursive complexity: in other words, when translators have to expend more effort on processing the ST, they may pass on the results of their efforts to the TT in the form of denser cohesive linkage. Explicitation could thus be seen as a by-product of text processing. This behaviour is less obviously strategic, because it is largely unconscious, though it is clearly related to the translator-as-reader's text-processing (decoding) strategies.

3. Aims, material, methods

This paper reports on an extensive study of explicitation carried out using a corpus of 8 Czech STs and their 8 English translations. (A comprehensive report on this research is given in Hopkinson, *Shifts of Explicitness in Translation*.) The research addressed two main aims.

Firstly, when this research was launched, most existing studies of explicitation were on a relatively small scale, and tended either to view the phenomenon in broad general terms, or to select a restricted set of linguistic features or translation shifts which were seen as indicators of explicitation – such as the addition of connectives to strengthen cohesion. There was still a need for a description of the phenomenon of explicitness shifts that would be both specific (rather than dealing in generalities) and comprehensive (instead of restricting its focus to selected features only). Such a description would account for how meanings can be expressed implicitly, show how explicitness shifts may potentially affect all types of meanings, and outline how explicitness shifts can be realized by a variety of linguistic means. In the light of this need, the first main aim of the present research was to lay out a consistent, semantically-based **conceptual framework** for the analysis of explicitation that would take into account all of these aspects. This framework is presented in Section 4 below.[3] Concurrently with the research presented in this paper, a valuable contribution to the conceptualization of explicitation was also made by Kamenická, who addresses explicitation and implicitation for the same language pair (Czech/English) but in a different text type (fictional texts) and in the opposite direction of translation (English-to-Czech). She deals with the extensive diversity of explicitation phenomena by conceptualizing explicitation as a prototype category with a centre and a periphery.

The second main aim of the research centres around the description of the regular **patterns of occurrence** of explicitness shifts in a corpus of texts, and is addressed in Section 5 of this paper. The analysis sought to investigate how translators tend to apply explicitation strategies, in order to describe the ways in which this type of strategic behaviour causes TTs to differ regularly from their STs. This second aim was formulated in response to the fact that commonly encountered claims of the type 'explicitation is a dominant tendency in translation' or 'explicitation is a translation universal' are made at such a level of generality that they contribute little more than statements of what is now well-known and obvious. It follows that a greater degree of analytical delicacy needs to be applied if any new, worthwhile conclusions are to be reached. As Chesterman remarks: "If you are investigating, say, explicitation or standardization, you can usually find *some* evidence of it in any translation; but how meaningful is such a finding? It would be more challenging to propose and test generalizations about *what* is explicitated or standardized, under what circumstances, and test those" (42).

In accordance with Chesterman's observation, the approach taken in this study aims at a more nuanced analysis of explicitness shifts occurring in a corpus of translations, in order to develop and refine the broad, general explicitation hypothesis. Empirical research has so far devoted relatively little attention to the possible **relations between explicitation and semantic factors**. The present study therefore aimed to determine what (if any) relationship exists between meaning types and the distribution of explicitation and implicitation in a particular sample of texts – in other words, which types of meaning tend to attract explicitation, and which meanings are more prone to strategies of implicitation. In addition, given that explicitation is generally considered to be a universal tendency in translation, the study also set out to establish which types of explicitation rank among **core translation strategies**, and which are more **peripheral** strategies: that is, which of the observed tendencies in translators' behaviour apply universally across the corpus, in all 8 translations, and which strategies appear to be more idiosyncratically applied, being preferred by some translators but not by others.

The material analyzed in the study is a **parallel corpus** of Czech source texts and their English target texts. The corpus consists of around 80,000 words of non-fictional writing, taken from 8 different source texts and their English translations. The texts are essayistic writings on social and political topics by renowned Czech authors, and the translations were all published between the mid-1980s and the present day. The corpus is evenly subdivided into 8 ST–TT pairs; each pair consists of approximately 10,000 words. These texts were analyzed to identify both explicitation and implicitation shifts; from this primary corpus, a secondary corpus of shifts was extracted. After identifying, classifying and quantifying the shifts, the data was analyzed for trends and patterns.

Such research requires an integrated approach in which both qualitative and quantitative analyses are used, each method complementing the other. A **qualitative approach** is used in the semantic analysis of the shifts, to determine which meaning types are explicitated. **Quantitative analysis** is used in order to determine the distribution of the shifts, their occurrence in the analyzed data set, their effects, and to distinguish between central and peripheral types. This integrated use of qualitative and quantitative methodologies is particularly suited to translation studies because translation is a behaviour rather than a system; it is partly regular and partly arbitrary, and therefore research operates in the domain of tendencies and prototypical features rather than clear-cut rules and deterministic explanations.

4. Conceptual framework

The semantically-based conceptual framework briefly outlined below involves four key components: the notion of explicitness and the role of context; the main linguistic realizations of explicitness shifts; a semantic typology of explicitness shifts; and the role of contrastive differences between languages.

4.1 Implicitness and context

The strategy of explicitation involves the addition of a ST-implicit semantic component to the surface of the TT; implicitation involves the same process in reverse. There is a clear connection between the concepts of explicitness and implicitness on the one hand, and context on the other hand. Context accounts for how meanings may be expressed implicitly in a text. Although conceptions of context vary among linguists, there does exist a degree of general consensus on fundamental issues. This common ground includes the distinction between the **verbal context** (linguistic context, pre-text, co-text) and what might be termed the **pragmatic context** – which involves the situation in which the communication takes place, as well as other aspects of the shared knowledge of the author, translator, and/or readers. This shared knowledge may form part of real-world knowledge unrelated to the text, or it may be derived from the preceding verbal context. Ultimately, these two types of context cannot be clearly separated from each other. They overlap, and are involved in a dynamic, ever-changing interplay as the text unfolds.

4.2 Linguistic realizations of explicitness shifts

Though the explicitated semantic component may be added to the TT in a wide variety of ways, two core means of realization can be distinguished.

Firstly, the ST-implicit meaning can be added via the **addition of a lexical item**, an equivalent of which is not present in the ST:

(1) [The dissident Václav Havel, writing to his wife from prison in 1981, discusses his occasional descents into total self-doubt and despair.][4]

ST *tak jako **stavy** po užití LSD modelují prý potenciální psychózu člověka (ukazují, jakým způsobem by asi člověk bláznil, kdyby se jednou zbláznil), chápu já i tuhle svou náladu jako určitý varovný model* (Havel 160)
(Literally: *just as people say that the **states** after taking LSD model the potential psychosis of a person […]*)[5]

TT *just as people say that the **mental states** after taking LSD model the potential psychosis of a person (they show in what way that person might go insane if one day he became insane), so I understand this mood to be a certain warning model* (Gibian 97)[6]

It is clear to the ST reader that the states to which Havel refers are mental (rather than physical, for example). The immediate verbal context provides adequate support for this interpretation, as it refers explicitly to a mind-altering drug and a mental disorder (psychosis). In the TT, however, this contextual information is 'raised' to the text's surface and expressed explicitly.

Secondly, the explicitated semantic component may be added via **specification**, i.e. the use of a lexical item more specific in meaning than the corresponding lexical item in the ST. In example (2) below, the added semantic component stems from the difference between the ST lexical item *přijet* (meaning simply 'arrive') and the more specific TT item *return* ('arrive at a previously visited or inhabited place'):

(2) [Ivan Klíma describes Martina Navrátilová's return to the Czech Republic, the country of her birth, to play in a tennis tournament in the early 1990s.]

ST *Navrátilová hrála skvěle, přehrála všechny, dokonce i ty, kteří chtěli předstírat, že nežije a nikdy nežila, tak, jak to jsou zvyklí předstírat o tisíci jiných, jenže ona **přijela**, ukázala se, vyhrála […]* (Klíma 33)
(Literally: *[…] Yet she **arrived**, put in an appearance, won […]*)

TT *She played marvellously and won everyone over, even those who tried to pretend that she didn't exist and had never existed, just as they pretend that thousands of others don't exist. Yet she **returned**, put in an appearance, won […]* (Wilson 82)

4.3 Semantic typology of explicitness shifts

At the heart of the approach adopted in this study is the notion that explicitness shifts may, in principle, affect all types of meanings. As has been mentioned above, studies of explicitation have often focused on one meaning type – most frequently seeing the phenomenon in terms of a rise in cohesive explicitness. However, almost any meaning can be explicitated or implicitated, and there is no reason to restrict the focus of research to cohesion only. In accordance with the functional, semantic approach underlying this study, the analysis of explicitness shifts employs a Hallidayan framework for the classification of meaning types. Halliday's approach to the functional organization of the linguistic system is based around a division into three types of function performed by language: **ideational, textual, and interpersonal**.

The **ideational** function of language involves speakers' encoding of their experience of reality – events, processes, participants, circumstances, and so on. As such, this function covers a very broad range of meaning types, which can potentially be expressed with varying degrees of explicitness or implicitness. Examples (1) and (2) above both demonstrate explicitness shifts involving ideational meanings.[7]

Explicitness shifts affecting the **textual function** essentially concern the strengthening or weakening of overt textual cohesion; this type of shift was the subject of Blum-Kulka's pioneering 1986 paper. Thus, the following example shows the explicitation of an adversative relation – expressing contrast or incompatibility – between two spans of text via the addition of a connective:

(3) [Ivan Klíma describes the modern trend towards an artificial world of virtual reality and internet chatrooms. He warns of the potential dangers of this trend.]

ST *[…] spíše než k většímu pochopení druhých lidských bytostí vede takový život ve virtuální podobě ke ztrátě jasných hranic mezi skutečným a fiktivním životem. V něčem snad obohacuje a rozvíjí fantazii, zároveň může ohrožovat opravdovost skutečného života.*
(Klíma 31)
(Literally: *[…] There is a sense in which it might conceivably develop and enrich the imagination; equally, it could jeopardize the authenticity of real life.*)

TT *[…] rather than leading to a better understanding of other human beings, it looks as if such a virtual life can actually erase the clear boundaries between real and fictional lives. There is a sense in which it might conceivably develop and enrich the imagination, **but** it could equally jeopardize the authenticity of real life.* (Turner 35)

Finally, **interpersonal meanings** involve the author's communication of a subjective stance or evaluation of the content of an utterance:

(4) [Writing about social and political conditions in 1970s Czechoslovakia, Václav Havel complains that the Czechoslovak totalitarian state forces its citizens to mouth empty phrases in praise of 'peace'.]

ST *[…] už třicet sedm let jsou noviny i všechny ostatní sdělovací prostředky přeplněny týmiž frázemi o míru; už třicet sedm let musí občané povinně nosit v průvodech tytéž mírové transparenty […]* (Havel 66–7)
(Literally: *For thirty-seven years our newspapers and the other media have been saturated with the same cliches about peace. For thirty-seven years our citizens have been required to carry the same peace placards in the parades […]*)

TT *[…] For thirty-seven years our newspapers and the other media have been saturated with the same **weary** cliches about peace. For thirty-seven years our citizens have been required to carry the same **old** peace placards in the mandatory parades […]* (Kohák 2)

Here, the translator adds two lexical items which intensify the expression of attitude towards the propositional content; the TT thus more explicitly signals the author's perceived frustration, criticism, and general negativity.

4.4 The role of contrastive differences

Up to this point, the discussion has somewhat simplified the issue by treating meaning in 'pure' terms, divorced from its encoding in language. However, in reality the picture is complicated by various contrastive linguistic differences. These differences may lead to situations in which two languages employ different levels of explicitness in order to carry out the same function, or to express the same meaning. Languages may thus be said to differ in their **inherent levels of explicitness**.[8] This inherent explicitness or implicitness may apply at various levels: lexical, morphological, syntactic, or textual.

For example, on the **lexical level**, Czech lexical items are frequently more specific in expressing **ideational meanings** than English lexical items, whose interpretation is often aided by means of inference from the context. Czech may thus be said to be more inherently explicit than English in this regard, and so translation from Czech into English will inevitably involve a certain amount of what may be termed 'natural' implicitation as a by-product of the translation process. This can be illustrated by the text of example (2) above, with reference to the English translation of the ST lexical item *přijela* (meaning 'she arrived'). Example (2) was introduced in order to illustrate explicitation by specification (the ST *přijela* is translated not as *she arrived*, but as the more specific *she returned*). However, this is not a pure explicitation shift: alongside this explicitation of one semantic feature, there is an implicitation of another. In expressing the meaning 'arrive' or 'return', the Czech language forces the speaker to specify the means of conveyance by choosing between two possible verbs: *přijela* ('she arrived in a vehicle') or *přišla* ('she arrived by walking'). In English, the equivalent lexical items *arrive* or *return* make the means of conveyance implicit, accessible only from the context. (Note: Despite the undoubted difference in explicitness, this example does not represent a true case of functional non-equivalence; the linguistic means *přijela* and *she arrived / she returned* essentially perform the same function in their respective languages, because both are the most natural, prototypical means of expressing the meaning in question. Shifts such as the implicitation discussed here were excluded as far as possible from the quantity data; see the last paragraph of this section 4.4.)

On the **grammatical level**, differences in inherent explicitness centre around the typological differences between Czech and English; the relatively lower degree of inflection in English (the absence of formal indicators of different functions) often leads to the function

being expressed implicitly, via the sentence context, whereas in Czech the same function will be expressed explicitly via the language's complex inflectional morphology.

Turning to **textual meanings**, cross-language differences in the explicitness of cohesion lie within the realm of preferences and prototypical patterns rather than systemic differences; both English and Czech possess broadly similar repertoires of cohesive devices, however one language may prefer to express certain coherence relations more implicitly, while the other language may typically express those meanings more explicitly, via connectives or other means. To take just one example, the interpretative cues given by Czech discourse markers *tedy* and *totiž* – signalling that the following text is a reformulation, summary or explanation of the preceding text (in English 'i.e.', 'in other words', 'so', etc.) – tend to be implicitated (omitted) in Czech-English translation.

Finally, dealing with **interpersonal meanings**, Czech can be said to be generally more inherently explicit than English with regard to the expression of the author's subjective involvement in the text. For example, Poldauf identifies a contrastive difference between Czech and English in that the Czech language signals the author's or speaker's subjective involvement and emotional concern more readily than English, via a third level of syntax termed the 'third syntactical plan'. Knittlová (56) also notes that Czech lexical items are generally more inherently expressive than English lexical items; in English, emotionality often emerges from the wider context, and need not always be expressed by explicit linguistic means.

Thus, a distinction can be drawn between two types of explicitness shifts. On the one hand there are shifts (explicitations or implicitations) caused by contrastive differences. Here, the translator is forced to carry out the shift by the inherent properties of the SL and TL. Such shifts thus occur at the level of *langue*, and can be termed **language-constrained shifts**. Klaudy (*Explicitation*, 83) refers to these as 'obligatory' shifts. On the other hand, there are (to adopt Klaudy's terminology) **translation-inherent shifts**, which occur at the level of *parole* and are unrelated to cross-linguistic contrastive differences. In other words, language-constrained explicitness shifts occur because the two languages express a particular meaning differently, whereas translation-inherent shifts occur because one text is a translation of the other. It is translation-inherent shifts which are of the most interest to translation studies, and so language-constrained shifts are excluded (as far as possible) from the data presented here.

5. Patterns of occurrence of explicitation

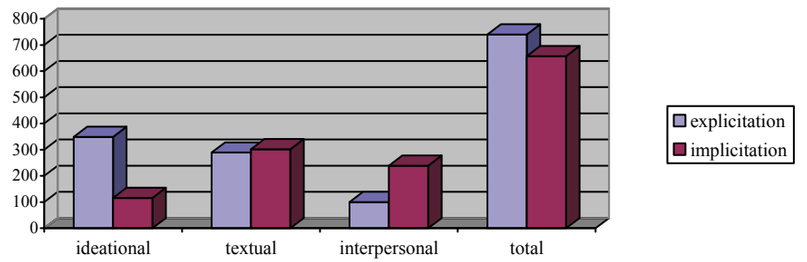
This section first presents relatively high-level data concerning the overall occurrence of explicitation and implicitation and the relation between explicitness shifts and semantic factors. It then moves on to discuss **three key types of explicitation affecting ideational meanings**, focusing on the strategic goals and effects of the shifts and highlighting the ways in which translators' application of these strategies changes the nature of the TTs compared to their STs. Finally, the discussion briefly turns to the distinction between local and global explicitation strategies.

5.1 General trends

At the least delicate level of analysis, grouping together and quantifying all explicitations and comparing them with all implicitations, the corpus data shows a **slight predominance of explicitation over implicitation** (738 explicitations, 657 implicitations). This distribution is broadly in accordance with similar results obtained by other empirical studies, and appears at first sight to back up the hypothesis that explicitation may be a 'universal' tendency in translation.

However, as has been mentioned above, such a level of generality is too crude to provide any real insights into the nature and application of explicitation as a translational communication strategy. A more subtle approach – tracing the distribution of explicitness shifts affecting particular meaning types – reveals certain patterns which otherwise remain hidden in the bulk data:

Graph 1: Total nos. of explicitness shifts: explicitations vs. implicitations / meaning type



This breakdown suggests that translators' use of explicitation strategies does indeed depend (at least partly) on semantic factors. The overall distribution of explicitness shifts affecting **ideational meanings** demonstrates a strong and clear overall preference for explicitation rather than implicitation. Moreover, it is these ideational explicitness shifts that show the most consistent pattern of occurrence across the entire corpus, with the overall predominance of explicitation shared by all 8 of the corpus texts. This suggests that all of the translators apply broadly similar strategies of ideational explicitness shifting, and so it is with regard to ideational meanings that the translators' general tendency to explicitate comes closest to the status of a translation universal, or a **core strategy**.

However, **textual meanings** – essentially various types of cohesion – were found to attract explicitation and implicitation shifts in almost equal measure. This finding appears to contradict the explicitation hypothesis as first proposed by Blum-Kulka (1986), which specifically hypothesized a rise in cohesive (i.e. textual) explicitness leading to a denser texture in TTs than in STs. Moreover, it is shifts in textual explicitness that show the least consistent pattern of occurrence across the entire corpus; 4 translators produce TTs with a denser texture than their STs, while 4 result in a more loosely-textured TT, indicating that it is with regard to textual meanings that the translators' general tendency to explicitate (or implicitate) is furthest from the status of a translational universal. This may be due to individual translators' stylistic preferences for a denser or looser texture, which would lead to an individual, idiosyncratic tendency to explicitate or implicitate respectively.

Finally, **interpersonal meanings** were found to be predominantly implicitated in the corpus, indicating that the translators tended to downplay the presence of the author in the text, creating a more objective, less personalized TT. This tendency towards the implicitation of interpersonal meanings of all types (including hedging, boosting and other expressions of authors' subjective attitude and stance) could be characterized as a 'neutralizing' tendency. With regard to interpersonal meanings, it is therefore possible to suggest that – at least for this text type – it is in fact implicitation, rather than explicitation, that may be a potential translation 'universal'. This tentative conclusion is supported by the data showing that not only is interpersonal implicitation the predominant tendency overall, but it also predominates over explicitation in all 8 translations under investigation.

5.2 Three core types of ideational explicitation strategies

Up to this point, the discussion has focused on a relatively high-level division into three broad meaning types. This section takes one of those types – ideational meanings – and breaks it down to a more delicate level of analysis. The corpus data reveals three core types of explicitation strategies applied by translators to ideational meanings – that is, three types of shifts that occur with relatively high frequency and are consistently visible and predominant in all 8 of the corpus texts. This section focuses on the strategic goals and effects of these shifts, and highlights the way in which translators' application of these strategies changes the properties of the TTs compared to their STs.

i) The first core ideational explicitation strategy is related to what Halliday terms the **transitivity system** – that is, the system of options for encoding the ways in which various **processes** take place, and the linguistic representation of **participants** involved in those processes.

With regard to **participants**, the corpus data shows a clear tendency to explicitate meanings related to the **semantic roles of agent or patient**, thus foregrounding the existence, role or identity of the agent or patient. Shifts explicitating agency are typically realized via the replacement of an impersonal structure with a personal structure, such as the shift from agentless passive to active forms:

(5) [Václav Havel describes the efforts to reform socialism in Czechoslovakia in the 1960s, leading to the 'Prague Spring'. He describes the divisions within society at the time.]

ST *Po mnoha tragických zkušenostech a dlouhém procesu sebeosvobozování jedněch a prozírání druhých* ***byl podniknut*** *pokus o jakousi revizi maléru, který se stal: o „socialismus s lidskou tváří". Leč i on byl – žel – zabarven utopismem, přežívajícím u mnohých jako bytostný návyk […]* (Havel 75)
(Literally: *[…] something like a revision of the misfortune* ***was attempted*** *[…]*)

TT *After many tragic experiences and after what was for some a long process of self-liberation and for others an awakening,* ***we did attempt*** *something like a revision of the misfortune, a "socialism with a human face." Also, even that was colored by the utopianism preserved in many of us as a fundamental habit […]* (Kohák 10)

In the ST, Havel describes the attempts at political reform in impersonal terms; the identity of the agent(s) is not explicitly expressed. Nevertheless, the identity of the agency is implicit in the **wider ST verbal context** (not cited directly in example (5) due to space constraints). This wider context makes it clear that in Havel's view, the political thaw of the 1960s was a mass movement, driven by Czechoslovak society as a whole. The translator chooses to explicitate the semantic role of agent by shifting the narrative perspective to explicitly express the participation of the inclusive '*we*' (in this case, meaning society as a whole) – thus also presenting the author as a more active, involved participant in the events described.

The following example represents a similar case; however here the explicitated information is not present in the verbal context, but is instead accessible from the **pragmatic context**:

(6) [The author Ludvík Vaculík describes his visit to the renowned poet Jaroslav Seifert, and reports on their conversation. They talk about how Seifert is disapproved of and neglected by the state authorities.]

ST *Pak jsem se zeptal, jestli pořád čeká, že mu vydají paměti.* (Vaculík 156)
(Literally: *Next I asked him if he still expected* ***them*** *to publish his memoirs.*)

TT *Next I asked him if he still expected* ***the authorities*** *to publish his memoirs.* (Heim 83)

In this case, a true functional equivalent of the Czech unexpressed subject (whose identity is not in any way retrievable from the pre-text in this case) would be an English non-anaphoric pronoun (*if he expected them to publish…*). However, instead of opting for this solution, the translator has explicitated the identity of the agent. The pragmatic context of the ST involves the Czech target readership's awareness of the situation regarding publishing in 1980s Czechoslovakia; book publishing took place either on an official basis (subject to approval by the authorities), or unofficially in *samizdat* form. However, the demands of intercultural communication – that is, communication to an English-speaking target readership who are largely unaware of this situation – mean that the translator is required to explicitate this ST-implicit cultural knowledge in order to guarantee the readers' full understanding of the text.

Shifts explicitating the presence or identity of participants, such as those shown in examples (5) and (6), clearly serve a strategic goal – the maximization of clarity of expression and the reduction of potential vagueness or ambiguity, with the aim of facilitating the reader's understanding.

With regard to the second main component of the transitivity system – **process** – the corpus data shows a clear tendency towards the re-perspectivization of the text from a state-orientation to a process-orientation. Where the ST encodes the reality as a state, the TT frequently explicitates the process or activity which led to this state, thus adding a supporting layer of meaning into the text:

(7) ST *Dověděl jsem se o starém lomu s jezírkem a jel se tam podívat. Na polní cestě* ***stála tabule*** *VSTUP ZAKÁZÁN.* (Vaculík 114)
(Literally: *[…]* ***There was a sign*** *on the field path: NO ENTRY.*)

TT *I heard tell about an old quarry next to a lake, and I went there to have a look. NO ENTRY said* ***a sign someone had put up*** *on the field path.* (Theiner 71)

The explicitated information here is clearly accessible from the pragmatic context, from our general knowledge about how the world works (if a sign was there, somebody must have put it up). The explicitation in example (7) has the effect of 'reaching behind' the described state, reframing the text's encoding from a static perspective to a more dynamic description of the reality. In terms of strategic goals, such shifts not only serve to enliven the text by enhancing its narrativity, but also make cause-effect relations more explicit (state *x* was caused by process *y*), thus adding an extra layer of coherence to the text.

ii) The second core ideational explicitation strategy concerns meanings related to **quality and circumstance**, including manner, location, time, quantity, and so on. Transitivity-related meanings (processes and participants) can be seen as forming the structural 'skeleton' of a sentence or text, as they are indispensable both syntactically and semantically, whereas the meanings related to quality and circumstance are essentially optional, providing background information.

Analysis of these explicitations of quality or circumstance reveals a striking trend: in the corpus under investigation, almost all such shifts were found to perform the function of **narrowing the range of potential referents** of lexical items, thus reducing vagueness and increasing the precision and clarity of the text. This notion of 'narrowing' requires a brief clarification. As has been noted in Section 4, explicitation always involves the addition to the TT surface of a semantic element or elements that are implicit in the ST. However, the addition of semantic elements concerning quality and circumstance can perform one of two functions.

The first type of function performed by such a semantic addition is to provide the reader with extra, supplementary information about the nature of a referent, thus painting a more detailed or vivid picture of the reality described in the text. An analogy can be drawn between this function and the **intensional** approach to definition, with its attempt to set out the essence of what is being described. This function can be illustrated in example (8), in the translator's explicitation of *průvody* as *mandatory parades*.

(8) [Writing about social and political conditions in 1970s Czechoslovakia, Václav Havel complains that the Czechoslovak totalitarian state forces its citizens to mouth empty phrases in praise of 'peace'.]

ST *už třicet sedm let musí občané povinně nosit v **průvodech** tytéž mírové transparenty* (Havel 66–7)
(Literally: *For thirty-seven years our citizens have had to mandatorily carry the same old peace placards in the **parades***)

TT *For thirty-seven years our citizens have been required to carry the same old peace placards in the **mandatory parades**.* (Kohák 2)

The example above shows the translator's explicitation of information that could be described as culturally implicit for the text's Czech target readers – namely, that under the former communist regime, celebratory parades did not represent spontaneous outpourings of joy; instead, citizens were variously organized and coerced into participation. It must be conceded that this example represents a somewhat marginal case of explicitation: the notion of coercion is also signalled explicitly in the ST (via the verb phrase *povinně nosit*, meaning *mandatorily carry* and translated as *required to carry* – by which the TT likewise manages to express the compulsory nature of the activity); however the ST does not explicitly state the mandatory nature of the parades themselves. The TT therefore brings only a very subtle shift in emphasis: in the ST and the TT the activity of carrying placards is compulsory (required), whereas the TT also states that the event itself is mandatory. However, despite the marginal nature of this example, it does nevertheless show an addition of extra, supplementary information, helping to bridge a cultural gap between the source culture and that of the target readership. Shifts which could be classified as performing this 'intensional' function are in fact very rare in the corpus under investigation, accounting for only 4 out of a total 64 explicitations of quality and circumstance. Thus – at least in the corpus under investigation – the quantitatively marginal nature of these intensional shifts mirrors their qualitatively marginal nature as exemplified in (8). It should be stressed that a different corpus may well yield different results, depending on individual translator preferences, subject matter, the gap between source and target cultures, and other factors.

By contrast, the second type of explicitation of quality and circumstance (60 explicitations out of the total 64) involves cases in which the ST contains a certain degree of meaning potential, i.e. there exists a range of referents to which the lexical item may potentially refer.

Here, the function of the semantic addition is to guide the reader to select one option from that set of potential referents, thus explicitating the identity of the referent, **narrowing the meaning potential**, and leading to a conceptually 'tighter', more precise text. An analogy can be drawn between this function and the **extensional** approach to definition, as such an approach restricts the extension of the set of potential meanings:

(9) [From a biography of the Czech writer Karel Čapek, discussing his fondness for popular commercial genres such as sci-fi or the whodunnit.]

ST *Proč Čapek, který, jak ještě ukážeme, reagoval svými **články** jako **málokdo** jiný na současnou politickou a společenskou situaci, dával ve své literární tvorbě přednost právě žánrům, které byly v jeho době považovány spíše za okrajové?* (Klíma 116)
(Literally: *Why did Čapek, who in his **articles** responded to current affairs in a way few **others** did, give priority in his literary work to genres which were in his time considered rather marginal?*)

TT *Why did Čapek, who in his **newspaper columns** responded to current affairs in a way few other **writers** did, give priority in his literary work to genres which were in his time considered rather marginal?* (Comrada 136)

Here, both explicitations (*články → newspaper columns* and *málokdo jiný → few other writers*) replace more general means of reference with more specific means. The added semantic elements can be seen to narrow the range of potential referents by specifying the quality of 'articles' and 'others' (i.e. 'other people') respectively: in the ST, *články* may potentially be referring to e.g. magazine articles or newspaper columns, while *málokdo* may refer to writers, politicians, artists, or many other groups of people; the explicitations thus answer the questions *Which articles?* and *Which people?*.

The following example of an 'extensional' explicitation involves a shift which not only introduces more precise means of reference, but also **strengthens coherence relations** within the text:

(10) [Ludvík Vaculík describes his visit to a Prague coffeehouse, using his observations as an opportunity to attack the communist regime.]

ST *Všecko je tu starší a odřené, skoro k vyřazení: stačilo by to ovšem vyčistit, opravit, znovu zušlechtit, ale jistě se to zase vyhodí a koupí nové, to je hloupý řád tohoto hospodaření. Musím o tom příležitostně promluvit s **ministrem**.* (Vaculík 169)
(Literally: *[...] I'll have to have a word with **the minister** when the occasion arises.*)

TT *Everything here is elderly and worn-out, almost due for the scrap-heap. Though, of course, things could be cleaned, repaired and renovated, but no doubt instead it will all get discarded and new things bought in its place – that's the way the economy is run in our country. I'll have to have a word with **the minister responsible** when the occasion arises.* (Theiner 87)

The coherence relation explicitated in this case is that of **cause–effect**; by explicitating the 'quality' or identity of the minister, and thus specifying *which minister* is meant, the translator clarifies the reasoning behind Vaculík's ironically stated decision to speak to 'the minister': because this particular minister is responsible for the described state of affairs. (Compare the extensional explicitations in examples (9) and (10) with the intensional type of explicitation in example (8): The function of the explicitation in (8) is not to distinguish between two or more potential referents of *průvody*; the explicitation does not answer the question *Which parades*

do you mean?, because it is not the **identity of the referent** that may be unclear to readers, but rather the **nature of the referent** that requires explicitation. The explicitation in (8) thus answers the question *What are these parades like?*, providing supplementary information about a referent whose identity is not essentially in dispute.)

Thus, with regard to the explicitness shifts observed in the corpus, it is possible to state that explicitations of quality and circumstance do not generally tend to provide supplementary information for its own sake; instead, their dominant strategic function is to reduce potential ambiguity, creating a tighter, more precise, less potentially vague text.

iii) The third core ideational explicitation strategy concerns **coherence relations**. (This type of meaning has already been foreshadowed in the discussion of examples (7) and (10), in which the explicitations clarify relations of cause and effect.) Besides being expressed by ideational meanings, coherence relations may also be signalled by cohesive connectives performing a textual function.

The analysis focused on four main types of 'binary' coherence relations (that is, relations primarily concerning the link between two elements, concepts, or propositions). **Additive and adversative relations** concern the existence of two or more elements alongside each other, and can thus be viewed as more **static coherence relations**. In the corpus texts, these relations tend to be expressed via cohesive connectives (*and*, *moreover*, *not only ... but also*, *but*, *however*, *nevertheless*, *by contrast*, etc.), which work in tandem with the ideational meanings, explicitly highlighting the conceptual interrelations between spans of text. The explicitation of an adversative coherence relation via the addition of the connective *but* is shown in example (3).

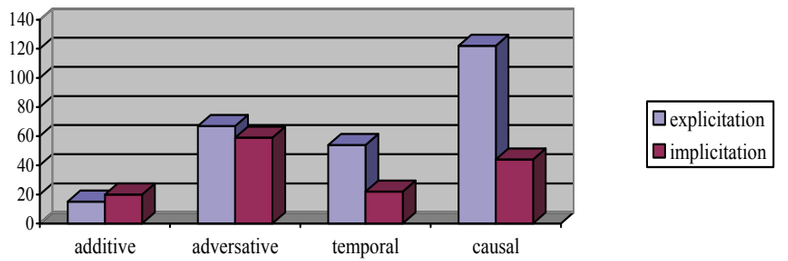
On the other hand, **temporal and causal relations** can be viewed as **dynamic coherence relations**, as they generally express the notion of movement, of one thing leading to another or being followed by another.[9] The following example shows two typical explicitations of stimulus (cause) and response (here using ideational means rather than text connectives):

(11) ST *Z doby, kdy v Německu se dostal k moci Hitler a jeho totalitní režim, pocházejí Čapkovy brilantní a patetické eseje o důležitosti kultury […] Bez nadsázky lze říci, že se nepřihodilo nic podstatného u nás či ve světě, co by ušlo Čapkově pozornosti a k čemu by se nepokusil zformulovat svůj názor.* (Klíma 124)
(Literally: *Čapek's brilliant and impassioned essays on the importance of culture* ***date from*** *the period when Hitler came to power and his totalitarian regime […] nothing of significance happened in either his country or the world that escaped Čapek's attention and* ***about which*** *he did not attempt to formulate his opinions.*)

TT *The rise in Germany of Hitler and his totalitarian regime* ***occasioned*** *brilliant and impassioned essays on the importance of culture […] We can say without exaggeration that nothing of significance happened in either his country or the world that did not attract Čapek's attention and* ***lead him to*** *formulate his opinions.* (Comrada 145)

With regard to the quantitative distribution of explicitness shifts affecting coherence relations, the corpus data reveals an **increasing relative preference for explicitation correlating with increasing dynamicity of coherence relations**, if additive relations are seen as the most static, followed by adversative relations, then temporal relations, with causal relations as the most dynamic:

Graph 2: Binary coherence relations expressed via ideational and textual means: explicitations vs. implicitations / meaning type



In summary, the corpus data reveals certain regularities and correlations in the occurrence of explicitation and implicitation shifts. In terms of the relation between explicitness shifts and semantic factors, the shifts are not randomly distributed throughout the corpus, and they do not affect all meaning types indiscriminately. They are observably related to the type of meaning involved, and they serve two main strategic goals.

Firstly, the explicitations help to create a tighter, more precise text offering less room for misinterpretation or the misidentification of referents, and with a higher degree of conceptual clarity than the corresponding ST. Among the strategies that perform this function are the explicitation of participants (see i) above) and the explicitation of quality and circumstance in order to narrow meaning potential (see ii) above).

Secondly, the shifts reinforce textual coherence by contributing to a denser network of interconnected semantic relations within the text. 'Dynamic' coherence relations – those of temporal sequence and causality – are particularly prone to explicitation. Among the strategies that perform this function are the shift from a state-orientation to a process-orientation (see i) above) and the explicitation of temporal and causal coherence relations (see iii) above).

5.3 Local vs. global strategies

The consistent application of explicitation and implicitation strategies has a cumulative effect on the nature and properties of the TTs compared with their STs; the various cumulative effects have been outlined above in sections 5.1 and 5.2. However, a distinction must be drawn between truly **global strategies** (which are applied consistently throughout a text, and serve strategic goals related to solving a problem affecting the entire discourse) and **local strategies** (which are deployed to solve isolated, individual translational problems as they occur, on an ad hoc basis).

The potential effects of global discoursal shifts are discussed e.g. by Puurtinen and Mason. Mason points to consistent strategies of passivization which implicitate the identity of agents involved in processes. If such a strategy were to be applied consistently, for example when translating a text apportioning blame for some undesired state of affairs or incident, then clearly the consistent implicitation of agency would have the effect of masking responsibility, attenuating the author's criticism of the guilty party. And vice versa – the explicitation of agency would have the opposite effect at a global level, producing a more uncompromisingly accusatory text.

However, interesting though such cases may be from the theoretical point of view, the corpus data analyzed for this study indicates no consistent attempts by translators to change the properties of the discourse in this way. For example, explicitness shifts affecting transitivity-related ideational meanings (participants and processes) do not perform the function of masking or clarifying responsibility in a consistent way within the same

translation. Instead, the explicitness shifts observed in the corpus tend to be sporadic in their occurrence, and are deployed by the translators purely in order to solve local translational problems. Though the explicitness shifts do observably (and quantifiably) change the properties of the TT compared to the ST, they do so by virtue of the gradual accumulation of local-level shifts throughout the texts. In fact, this lack of strategic consistency should probably be viewed in a positive light: the global application of strategic explicitation or implicitation borders on the intentional distortion of ST meaning, and can hardly be viewed as a mark of translation quality.

6. Conclusion

The research outlined in this paper reveals a clear correlation between semantic factors and translators' tendency to apply explicitation or implicitation strategies. The data suggest that it is possible to modify and refine Blum-Kulka's original explicitation hypothesis: whereas explicitation of ideational meanings can be recognized as a translation 'universal', explicitation of textual meanings (i.e. an increase in cohesion) appears to be more dependent on translators' individual stylistic preferences. In the case of interpersonal meanings, a more truly universal tendency in this type of texts may in fact be implicitation, leading to the suppression of the author's subjective presence in the text, and thus to a more neutral ST. Within the category of ideational meanings, three core explicitation strategies were identified, leading to TTs that are more conceptually precise than their STs and that display a denser network of overtly expressed coherence relations – especially relations of causality. Lastly, the research data showed no strong evidence of translators' consistent strategic application of particular explicitation or implicitation strategies to change the overall nature of the discourse: although there is an observable change in the properties of the TTs compared to their STs as a result of the explicitness shifts, this change arises due to the gradual accumulation of isolated shifts throughout the text.

The study opens up a number of potential avenues for future research which would help verify the validity of the findings using different data sets. The same type of analysis – using a parallel corpus and applying the same conceptual framework and analytical criteria – could be repeated, but using different text types (e.g. fictional texts), different language combinations, or a corpus structured to give diachronic variation, possibly revealing changing translational norms that may affect preferences for explicitation or implicitation. A particularly valuable contribution to our understanding of explicitation could be made by research focusing on translations of comparable texts from English into Czech: though language-constrained shifts (related to Czech/English contrastive differences, i.e. shifts on the level of *langue*) were 'filtered out' of the research data wherever possible in order to focus purely on translation-inherent, *parole*-related explicitations, in practice the boundary between these two categories is sometimes fuzzy. A investigation of translations from English into Czech would provide a valuable corrective, helping to identify which types of explicitness shifts are due to contrastive differences (e.g. if the same meaning type tends to be explicitated in Czech-English translation but implicitated when translating in the opposite direction) and which shifts are truly translation-inherent, and therefore of primary interest to translation theory.

Notes

[1] The term 'strategy' as used throughout this paper does not necessarily mean a fully conscious process used intentionally by the translator; it refers to any strategic process (i.e. a process which serves to achieve a goal), whether used deliberately or more instinctively.

[2] The standard abbreviations used throughout are ST = source text, TT = target text, SL = source language, TL = target language.

[3] In order to reach balanced conclusions, the framework also takes into account the opposite process, that of *implicitation*, i.e. the process by which ST-explicit information becomes implicit in the TT. Explicitation and implicitation cannot be seen in isolation from one another, and the quantity data presented in this paper always presents one in relation to the other; only in this way is it possible to reach conclusions about any overall rise (or fall) in explicitness between STs and TTs.

[4] Where necessary, contextual support for the examples is given in square brackets as a brief characterization of the relevant content of the pre-text (i.e. the relevant preceding verbal context).

[5] In most examples, a working TL functional equivalent of the relevant part of the text is given in round brackets after the ST extract. Though of course there may be several possible translation solutions, the 'literal' equivalents given here stay as close as possible to the wording of the actual TT, in order to clearly highlight the shifts being discussed in each case.

[6] In all examples given here, the emphasis (in bold type) is mine.

[7] For the purposes of this paper, the working terms 'ideational meanings', 'textual meanings' and 'interpersonal meanings' have been adopted; these terms refer to meanings whose expression involves the performance of the corresponding linguistic function.

[8] This is not to be interpreted as a claim that one language in a pair will *always* be more explicit than the other language, regularly and in all circumstances. The inherent levels of explicitness of two languages may vary depending on factors such as text type: one language may prefer a higher level of explicitness compared with another language for some text types but not for others.

[9] This distinction between static and dynamic coherence relations with regard to explicitation was first advanced in a 2007 paper by the author (Hopkinson, *Explicitation and Implicitation of Binary Coherence Relations in Translation*). A relevant contribution since then has been by Kamenická (*Towards a Static/Dynamic Explicitation Hypothesis?*), who reconsidered the validity of the distinction in the light of research carried out into translations of fictional texts.

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Firbasian Non-thematic Layers and the Communicative Purpose of the Writer (examples of specific aesthetic patterns revealed in fictional texts)

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Abstract

The present study draws particularly on the research carried out by Jan Firbas in the sphere of the theory of functional sentence perspective. Firbas introduced the existence of the thematic and the rhematic layers in a text. The operation of these layers is closely linked with the communicative purpose expressed by the writer, the aesthetic function of individual communicative units, and it also determines the writer's communicative strategy. The aim of the present treatise is to use the non-thematic layer of the analyzed text to reveal an aesthetic pattern which represents the communicative purpose of the writer.

Keywords: functional sentence perspective, non-thematic layers, communicative purpose, communicative strategy, aesthetic pattern, undulation

1. Introduction

The present treatise, which is based on findings resulting from my dissertation thesis, aims to cast more light on the investigation of the theory of functional sentence perspective (FSP) as applied to higher units of text and the way especially non-thematic layers operate with respect to the communicative purpose of the writer. It draws particularly on the research implemented by Professor Jan Firbas ("On the Thematic") in the sphere of the theory of FSP[1].

In his research into the thematic and rhematic layers of a text, Firbas ("On the Thematic") proved that the communicative purpose expressed by the writer is closely linked with the aesthetic function and thus, consequently, determines the writer's communicative strategy. I owe the term 'communicative strategy' to Professor Aleš Svoboda, who has further applied Firbas's scales of dynamic semantic functions to poetic texts (Svoboda, "Firbasovy sémantické škály", "Funkční větná perspektiva").

Both Firbas and Svoboda have reached the conclusion that "the dynamic character of semantic functions enables the language user to implement specific communicative purposes" (Svoboda, "Firbasovy sémantické škály" 218, [translation Z.H.]), for every element in a sentence is attributed particular relative degrees of communicative dynamism (CD) according to which it is rendered thematic, transitional or rhematic and is thus perspectivized accordingly. Therefore, "it is precisely the matter of perspectivizing the sentence-utterance, i.e. recognizing the point of departure and the core of the message, which determines the communicative purpose of the speaker" (Svoboda, "Firbasovy sémantické škály" 219, [translation Z.H.]).

Inspired by Firbas and Svoboda, I have decided to analyze the non-thematic layers of higher-level units – longer sections of coherent texts – in order to depict the arrangement of the strings of communicative purposes in creating communicative strategies and to possibly indicate what the goals of the strategies are and the way they interact with the organization of a text. Performing the analysis, I draw on the non-thematic layers of lower rank, i.e. sentence level. In other words, approaching the analysis from the description of smaller units – individual distributional fields – I should be able to comment further on the non-thematic layers of larger text sections, paragraphs and groups of paragraphs in particular.

Focusing on the non-thematic layer of longer text sections I aim to examine the compositional and content structuring of paragraphs 'from above', i.e. using the language of

FSP, from the viewpoint of "what is being said about it". I should like to propose that the way in which individual paragraphs overlap is rather systematic in reflecting the writer's communicative purpose.

The aim of the present study can be summarized under the following points:

- To analyze Firbasian non-thematic layers on the hypersentence level in relation with the communicative purpose of the writer and the organization of a text.
- To compare the original version of the given text with its translated counterpart, as regards its resulting effects from the viewpoint of the text's organization and thus the writer's communicative strategy.

1.1 The analyzed texts

As research dealing with poetic and religious texts from the viewpoint of FSP has already been carried out[2], I have decided to analyze narrative texts also containing dialogic structures, and have chosen the novel *Marry Me* by John Updike (1976) and its Czech translation, published as *Chceš si mě vzít?* (1983).

My choice of a narrative text was influenced by Jan Firbas' examination of the introductory passage of Boris Pasternak's novel *Doctor Zhivago*, in which he compared the Russian original with its Czech, English, German, French, and Dutch counterparts to show that the translated "versions of Pasternak's text sometimes differ in regards to their rhemes proper" (Firbas, "On the Thematic" 65) and thus influence the narrator's communicative purpose which is to be conveyed by the constituents of the rheme proper layer.

By means of establishing the thematic and non-thematic layers beyond the sentence, Firbas proved that changing the dynamic semantic functions of individual sentence elements results in a different interpretation and thus a disruption of the communicative purpose of the writer. Owing to his study into the thematic and non-thematic layers (including the subsequent sub-layers) enabling the "pieces of information [to] move in the flow of communication" (Firbas, "On the Thematic" 71), Firbas contributed to the dynamic interpretation of text semantics.

I have been particularly interested in finding out whether such discrepancies are likely to appear and what their frequency of occurrence may be when taking into account longer sections of text. Based on Firbas' findings, it holds that if a communicative unit is influenced from the viewpoint of its classification within a certain distributional field, the communicative purpose of the sentence is also altered significantly. It would be valuable to detect the way in which these modifications are reflected in the non-thematic layer of one particular text – the original – and consequently, in which ways the non-thematic layer of the translated counterpart can be compared with the original.

Drawing on the FSP analysis of the basic distributional fields, I have chosen to examine the enclosed area of one (the first) chapter of the novel, which represents a corpus of 1006 distributional fields with the following distribution: 502 and 504 in the English and the Czech versions respectively.

2. The theory of FSP

Due to the limited scope of this treatise, the reader will be provided only with the most general introduction of the main aspects and operations of the theory of functional sentence perspective (FSP), which constitutes the theoretical base of the present study. Some of the main ideas and attributes of FSP theory have already been discussed or implied above (1., 1.1) and certain terms and features will be further clarified throughout the text.

Particularly, it has been stressed that in the very act of communication, certain elements contribute more than others to its further development. Every element in a sentence-utterance

carries a "degree of communicative dynamism (CD)" and thus pushes the communication forward to a certain extent (Firbas, "*Functional sentence perspective*" 16-17). According to Firbas, the relative degrees of CD of particular sentence elements (carriers of CD) are determined by the interplay of four FSP factors – linearity, semantics, context, and intonation (in spoken language) – in the act of communication. Individual sentence elements thus become thematic (indicating the point of departure), transitional (mediating) or rhematic (referring to the core of the message) communicative units, constituting the respective layers in a distributional field. This classification is always related to the act of communication, and in the pluripartition approach to the theory of FSP, it is further segmented into smaller units. Svoboda identifies the following communicative units: theme proper, theme proper oriented theme, diatheme oriented theme, and diatheme as thematic units; transition proper and transition as transitional units; rheme and rheme proper as rhematic units (cf. Svoboda, "*Diatheme*").

Firbas further demonstrated ("A functional view") that it is the ability of various languages to successfully indicate the relative degrees of CD which proves their susceptibility to FSP. The majority of Indo-European languages display approximately the same susceptibility to FSP; however various languages may apply different rules governing the interplay of the factors.

3. The analysis

Although the study is based on the theory of FSP and the concept of Firbas' layers operating in a text, there are certain divergences in the terminology within the present treatise. It should be, however, emphasized that no changes of major significance have been implemented. The original meanings of two terms have been extended: this concerns the word 'layer' itself, as well as the expression 'distributional field'.

As far as the term 'layer' is concerned, the present article distinguishes between layers on the sentence level and layers on the paragraph level. To be more specific, in the present analysis the non-thematic constituents of a sentence correspond to the sentence non-thematic layer. Thus, the non-thematic layer of a paragraph consists of the non-thematic constituents resulting from the micro-FSP analysis of several sentences, i.e. it consists of the string of non-thematic layers of individual sentences. Similarly, the strings of non-thematic layers[3] of paragraphs that are semantically interrelated constitute the non-thematic layer of groups of paragraphs; and we could proceed to even higher units of text. The strings of non-thematic layers of groups of paragraphs constitute the non-thematic layer of hierarchically higher units, i.e. individual sections of texts, etc.

As to the term 'distributional field', the situation is rather similar. According to Firbas (cf. "On the concept"), this term refers to a sentence as a field of syntactic, semantic and prosodic relations. Operating within a sentence, these relations enable particular sentence constituents to be assigned relative degrees of communicative dynamism (CD) in compliance with the interplay of FSP factors at the very moment of communication. Therefore, certain constituents carry higher degrees of CD than others, which is determined by the communicative intention of the writer/speaker. According to the relative degrees of CD assigned to them, the sentence constituents are referred to as thematic or non-thematic (i.e. transitional and rhematic). In the present treatise, the distributional field of a paragraph refers to the set of the thematic and non-thematic layers of separate distributional fields of individual sentences. For the sake of lucidity, the distributional field of a sentence will hereinafter be referred to simply as 'distributional field', whereas the expression 'distributional field of a paragraph' will remain unchanged.

3.1 Presentation of paragraphs in tables

One of the reasons for basing the investigation into higher units of texts on the analysis of the non-thematic layers is the fact that the non-thematic layer proper consists of units carrying the highest degree of CD (i.e. transitional and rhematic), and so it is this layer which primarily influences the development of communication[4]. I aim to inform the reader about the principles of the investigation as exemplified by several paragraphs of the examined text in both of its versions – the English original and its Czech translation. The results of the analyses will be the subject of a contrastive study as regards the adequacy of the translation from the viewpoint of the communicative purpose of the writer.

The examination of the non-thematic layers within the paragraphs of the analyzed text in its English original reveals an interesting pattern. I will illustrate this pattern with a sample of three initial paragraphs. In order to account for the given features with sufficient depth and clarity, it is necessary to reproduce the wording of these paragraphs in full.

Ex. 1 (Paragraph 1)

(1)Along this overused coast of Connecticut, the beach was a relatively obscure one, (2) reached by a narrow asphalt road (3) kept in only fair repair and full of unexplained forks and windings and turnings-off. (4) At most of the ambiguous turns, little weathered wooden arrows (5) bearing the long Indian name of the beach (4) indicated the way, (6) but some of these signs had fallen into the grass, (8) and the first time – (7) an idyllic, unseasonably mild day in March – (8) that the couple agreed to meet here, Jerry got lost (9) and was half an hour late. (Updike, *"Marry Me"* 9)

Ex. 2 (Paragraph 2)

(10) Today, too, Sally had arrived ahead of him. (11) He had been delayed by the purchase of a bottle of wine (12) and an attempt, unsuccessful, to buy a corkscrew. (13) Her graphite-gray Saab sat in a far corner of the parking lot, by itself. (14) He slithered his own car, an old Mercury convertible, close to it, (15) hoping to see her (16) sitting waiting at the wheel, (17) for "Born to Lose", as sung by Ray Charles, had come onto his car radio.

(18) *Every dream*
Has only brought me pain…

(19) She brimmed in this song for him; (20) he had even framed the words he would use (21) to call her into his car (22) to listen with him: (23) "Hey. Hi. (24) Come quick (25) and hear a neat record." (26) He had grown to affect with her an adolescent manner of speech, (27) mixed of hip slang and calf-love monosyllables. (28) Songs on the radio were rich with new meaning for him, (29) as he drove to one of their trysts. (30) He wanted to share them with her, (31) but they were rarely in the same care together, (32) and as week succeeded week that spring the songs like mayflies died from the air. (Updike, *"Marry Me"* 9-10)

Ex. 3 (Paragraph 3)

(33)Her Saab was empty; (34) Sally was not in sight. (35) She must be up in the dunes. (36) The beach was unusually shaped: (37) an arc of flat washed sand perhaps half a mile long was bounded at both ends by congregations of great streaked yellowish rocks, (38) and up from the nearer sets of rocks a high terrain of dunes and beach scruff and wandering paths held like a vast natural hotel hundreds of private patches of sand. (39) This realm of hollows and ridges was deceptively complex. (40) Each time, they were unable to find the exact place, the perfect place, where they had been before. (Updike, *"Marry Me"* 9-10)

All three paragraphs are represented by the following tables, in which the thematic and the non-thematic layers are clearly demonstrated. Before moving on to a detailed description of the non-thematic layers of each paragraph and the way the strings of the non-thematic layers mutually operate on higher units of a text (i.e. groups of paragraphs and above), I should like to acquaint the reader with the complete structure of the tables.

3.1.1 Paragraph no. 1

Adhering to the principles of FSP, as applied to the hyper-sentence unit, the first paragraph is analyzed as follows:

Tab. 1

Paragraph no. 1				
DFS No.	**Thematic layer: Scene (Setting)**	**Thematic layer: Quality Bearer**	**Non-thematic layer**	**Scale**
1	Along this overused coast of Connecticut[1]	**the beach**[2]	(was)[3] a relatively obscure one[4]	DPr/Q
2		[the beach]	(reached by)[1] a narrow asphalt road[2]	Q
3		[road]	(kept in)[1] only fair repair and full of unexplained forks and windings and turnings-off[2]	Q
4	At most of the ambiguous turns[1] the way[4]		**little weathered wooden arrows**[2] (indicated)[3]	Pr
5		[arrows]	(bearing)[1] (sentence 4) the long Indian name of the beach[2] (sentence 4)	Q
6	(but)[1]	some of these signs[2]	(had fallen)[3] into the grass[4]	Q
7	**an idyllic, unseasonably mild day in March**[2] **(sentence 8)**			DPr
8	(and) the first time[1] that **the couple** agreed to meet here[3]	**Jerry**[4]	got lost[5]	DPr DPr/Q
9	(and)[1]	[Jerry]	(was[2]… late[4]) half an hour late[3]	Q

The arrangement of individual sentence elements is interpretative, pursuing the gradual rise in CD as revealed on the basis of the interplay of FSP factors and as assigned by the interpreter. Sentences are arranged in the order in which they have been subjected to the micro (i.e. sentence) FSP analysis. The numbers in the first column on the left reflect their sequence from the beginning of the text, thus, in the case of the English version, they refer to the basic distributional fields within the source language (DFS). The table is clearly divided into the thematic and the non-thematic sphere, capturing the relevant layers of every sentence. If I adhere to the description of the table from the left to the right, the next, i.e. second column detects the thematic layer of elements representing the scene within the sentence/paragraph structure. Apart from the constituents unambiguously classified as the units of scene, the second column also contains conjunctions distinguished by being placed in brackets. The third column is also thematic, and it constitutes the communicative unit of Quality Bearer, which often takes the form of what may be called the direct theme. Direct themes relate to Firbas' concept of *in medias res* presentation; they are in fact what could be called *in medias res themes*. The *in medias res* presentation is related to the notion of retrievability versus irretrievability from the immediately relevant context. Under certain conditions, an irretrievable piece of information may be presented as context-dependent (Firbas, "Functional sentence perspective" 40). The recipient knows that the information was not given in the

immediately relevant context, it is only presented as such. Direct themes refer mostly to the grammatical subjects of sentence structures. In Tab. 1 direct themes are demonstrated in DFS nos. 1, 8 and 9. For the sake of lucidity, they are written in bold letters.

The subsequent column is represented by the non-thematic (and thus, for the present analysis, more substantial) layer. The non-thematic layer, in accordance with the tripartition and pluripartition approach to the theory of FSP[5], consists of additional layers of transition proper, transition, rheme and rheme proper. It was necessary to incorporate the non-thematic layer as a whole in order to manifest the relations and associations as they are revealed within, between and among individual paragraphs. The transitional layer, the elements of which are indicated in brackets, is particularly important from the viewpoint of signifying the connection between the thematic constituents and the rhematic layer, which conveys the core of the message. For the purpose of the present analysis it was necessary to incorporate the non-thematic layer in full, especially due to the positive vs. negative polarity of the transition proper.

The non-thematic layers of paragraphs and higher units of text typically head towards the most dynamic element or the turning point of the given passage (paragraph or higher textual units). The existence of the climax within a paragraph was already proved by Jan Firbas' investigations into religious texts and texts of fiction (cf. Firbas, "On the Thematic" 59-72). Let me briefly remind the reader of the principles which Firbas employed to reach his conclusions about differences in various language translations, as exemplified by the third paragraph of the opening passage from Boris Pasternak's novel *Doctor Zhivago*. Based on a detailed FSP analysis, Firbas identified individual sentence elements as thematic, transitional and rhematic, and pursuing the rheme proper layer he revealed that an interesting gradation takes place. It begins with only a small amount of earth falling on the coffin of Marya Nikolaevna, then larger clumps follow, building a mound onto which eventually a ten-year-old boy, the future Dr. Zhivago, climbs as a culmination of the paragraph (Firbas, "On the Thematic" 67). The aesthetic effect of the introduction of the main character, Yurii Andreevich Zhivago, is therefore indisputable, and evidently it constitutes the communicative purpose of the writer.

One of the aims of the present treatise is to implement a similar investigation on longer sections of texts in order to find out whether the pattern as described by Firbas can also be traced on a more general basis. As the non-thematic layers of the three paragraphs indicate, the scheme of the text being directed at the very central, most dynamic element seems to be the prevailing principle of all paragraphs; nevertheless, there are two significant features accompanying this principle. First of all, the most dynamic element or the turning point within the paragraph, as expressed in the very last distributional field[6], tends to be negative (either expressed by means of partial negation, negative words, or implied negative meaning as a reaction to the preceding context), unless direct speech[7] is used. It is the non-thematic layer of the paragraph in full, i.e. including both the transitional and rhematic constituents, which enables this principle to be revealed. The other aspect concerns the effect of gradation itself. Not only is it implemented once within a paragraph, but also the effect of the usually rise-fall or fall-rise-fall nexus is repeated, and thus the impression of undulation is formed. I will use the non-thematic layers of the three initial paragraphs in order to explain and exemplify both features, negation and undulation, more explicitly.

Before the explanation proper, let me comment further on the general interpretation of the remaining two paragraphs as shown in the following tables (Tab. 2 and Tab. 3). In addition, the last column in the structure of the table has not been described yet. This particular column consists of the scales of dynamic semantic functions, which are used to demonstrate whether the text is written to be perspectivized towards the subject of the sentence (Pr – Presentation Scale) or away from it, towards its quality or specification(s) (Q – Quality Scale). Moreover,

the column indicating the scale of dynamic semantic functions is also used to signal direct themes by means of the abbreviation DPr which stands for Direct Presentation.

3.1.2 Paragraph no. 2

The analysis of paragraph no. 2 pursues the same principles as in the case of paragraph no. 1, therefore the interpretation of Tab. 2, relevant to the second paragraph, draws on the arrangement presented in Tab. 1. The only dissimilarity concerns the part of the text containing the direct speech. As regards direct speech, at this point I should like to limit myself to the description and organization of the phenomenon of direct speech within the table only. Basically, DFS no. 24 - 26 demonstrated in Tab. 2 follow the same principle of classification as the rest of the distributional fields outside the direct speech. The only exception is that the distributional fields including direct speech (i.e. DFS 23-25) are divided into two parts, the reporting clause and the direct speech proper. In the present study the term 'direct speech' is defined as the characters' speech or thoughts delimited by graphic means, i.e. quotation marks. 'Reporting clause', on the other hand, is a term used solely to refer to units introducing direct speech proper. As regards the hierarchical arrangement of units within a distributional field, the direct speech constitutes a separate unit within the superordinate field of a sentence including the reporting clause. The direct speech usually holds the function of rheme proper, but it also frequently constitutes its own distributional (sub)field, thus it is further subjected to analysis uncovering its thematic and non-thematic layers. Tab. 2 below exemplifies the direct speech incorporated into the analysis of the distributional field of Paragraph no. 2.

Tab. 2

Paragraph no. 2				
DFS no.	**Them. layer Scene (set.)**	**Thematic layer Quality Bearer**	**Non-thematic layer**	**Scale**
10	Today, too[1]	**Sally[2]**	(had arrived)[3] ahead of him[4]	DPr/ Q
11		He[1]	(had been delayed by)[2] the purchase of a bottle of wine[3]	Q
12	(and)[1]	[he]	an attempt, unsuccessful to buy a corkscrew[2]	Q
13		**Her graphite-grey Saab[1]**	(sat)[2] in a far corner of the parking lot, by itself[3]	DPr/Q
14	an old Mercury convertible[4]	He[1]	(slithered)[2] his own car[3] close to it[5]	Q
15	her[3]	[he]	(hoping)[1] to see[2]	Q
16	at the wheel[3]	[she]	(sitting)[1] waiting[2]	Q
17	(for)[1] onto his car radio[4]		**"Born to Lose", as sung by Ray Charles,[2]** (had come)[3]	Pr
18	me[3]	**Every dream[1]**	(has only brought)[2] pain[4]	DPr/Q
19	in this song for him[3]	She[1]	brimmed[2]	Q
20		he[1]	(had even framed)[2] the words he would use[3]	Q
21	her[2]		(to call)[1] into his car[3]	Q
22	with him[2]	[she]	to listen[1]	Q
	Reporting clause		**Direct speech**	

DFS no.	**Them. layer Scene (set.)**	**Th. layer QB**	**Non-th. layer**	**Th. layer Scene**	**Th. layer QB**	**Non-thematic layer (direct speech–Jerry)**	**Scale**
23						Hey. Hi.	APr
24					[you (Sally)]	Come quick	Q
25				(and)[1]	[you (Sally)]	(hear)[2] a neat record[3]	Q

DFS no.	**Them. layer Scene (set.)**	**Thematic layer Quality Bearer**	**Non-thematic layer**	**Scale**
26	with her[3]	He[1]	(had grown to affect)[2] an adolescent manner of speech[4]	Q
27		[an adolescent manner of speech]	(mixed of)[1] hip slang and calf-love monosyllables[2]	Q
28	for him[4]	**Songs on the radio[1]**	(were rich)[2] with new meaning[3]	DPr/ Q
29	(as)[1]	he[2]	(drove)[3] to one of their trysts[4]	Q
30	them with her[4]	He[1]	(wanted)[2] to share[3]	Q
31	(but)[1]	they[2]	(were rarely)[3] in the same car together[4]	Q
32	(and) as week succeeded week that spring,[1] from the air[4]	the songs like mayflies[2]	died[3]	Q

3.1.3 Paragraph no. 3

The analysis of the Paragraph no. 3 demonstrated in Tab. 3 is to be interpreted by analogy with the foregoing cases, i.e. Tab. 1 and Tab. 2.

Tab. 3

Paragraph no. 3				
DFS no.	**Thematic layer Scene (setting)**	**Thematic layer Quality Bearer**	**Non-thematic layer**	**Scale**
33		Her Saab[1]	(was)[2] empty[3]	Q
34		Sally[1]	(was not)[2] in sight[3]	Q
35		She[1]	(must be)[2] up in the dunes[3]	Q
36		The beach[1]	(was)[2] unusually shaped[3]	Q
37	at both ends[3]	**an arc of washed sand perhaps half a mile long[1]**	(was bounded by)[2] congregation of great streaked yellowish rocks[4]	DPr/Q
38	(and) up from the nearer sets of rocks[1]	**a high terrain of dunes and beach scruff and wandering paths[2]**	(held)[3] like a vast natural hotel hundreds of private patches of sand[4]	DPr/Q
39		This realm of hollows and ridges[1]	(was)[2] deceptively complex[3]	Q
40	Each time,[1]	they[2]	(were unable to find)[3] the exact place, the perfect place, where they had been before[4]	Q

3.2 Negation and undulation

In the present section I shall exemplify the author's conception and intention as to the inner organization of paragraphs and their aesthetic effect. I have decided to demonstrate the findings of my analysis only on the three initial paragraphs, as the remaining part of the examined text follows the same principles; thus, due to the capacity limits, the reader is referred to Hurtová "*Firbasian Non-thematic*" in order to consult the analysis in full. Drawing on Firbas' investigations into the rheme proper layer (cf. Firbas, "On the Thematic" 59-72) and using examples of the three paragraphs as analyzed above (Tab. 1, Tab. 2, Tab. 3), I intend to prove that it is the non-thematic layers which demonstrate similar features influencing the perception of the text and corresponding to the communicative purpose of the writer. Particularly I aim at showing that the examined texts tend to follow the principle of undulation and that the most dynamic element within the non-thematic layer of each paragraph tends to be negative, unless the element situated in the last distributional field of the paragraph has the form of direct speech. Paragraphs containing direct speech were not targeted in the present study; therefore the analysis given here concentrates solely on the phenomena of negation and undulation. Both the terms are further explained and exemplified below using specific examples.

Let us examine the first paragraph. From the description of *the beach* (DFS no.1), which holds the function of the hypertheme (Daneš, "Typy tematických posloupností" 126) in the paragraph, the text unfolds up to the introduction of the *little weathered wooden arrows* (DFS 4), which, however, *had fallen into the grass* (DFS 6) consequently. This illustration represents the first time when the rise-fall nexus asserts itself. In the subsequent distributional field the main character *Jerry* (DFS 8) is introduced by means of direct presentation incorporated within the sentence perspectivized towards the quality of the subject and its specification. This is when another nexus appears, in which *Jerry* (DFS 8) represents the peak towards which the disposition of the text ascends again, to be able to fall once the climax of the paragraph, the element towards which the whole paragraph is perspectivized, emerges. The element in question is represented by the expressions *got lost* (DFS 8) and *was half an hour late* (DFS 9).

A similar scheme is also revealed in the second paragraph. It begins with the introduction of *Sally* (DFS 10) by means of direct, *in medias res* presentation, while the attention of the recipient is drawn away from this grammatical subject back to the non-thematic layer suggesting the gradual fall in the expressions *had arrived ahead of him* (DFS 10), *had been delayed by the purchase of a bottle of wine* (DFS 11) and *an attempt, unsuccessful, to buy a corkscrew* (DFS 12). Promptly, however, the curve resumes its original position and moves upwards, specifically when *her graphite-grey Saab* (DFS 13) is introduced, again by means of direct presentation. As becomes apparent from the information mentioned above, the undulation revealed within the second paragraph follows a reverse nexus, i.e. fall-rise, compared to that in the first paragraph. The initial direction of the nexus within the principle of undulation does not affect the resulting impression of the principle within the non-thematic layer generally. Thus, even though the direction is fall-rise at the beginning, eventually – in the last distributional field – the nexus takes a falling line. After another series of fall-rise curves, the non-thematic layer of the second paragraph is suddenly interrupted by a systematic image of pure escalation represented by the non-thematic layer of direct speech, i.e. *Hey. Hi., come quick, hear a neat record* (DFS 23-25). The problem of direct speech is therefore far more complex; as has already been mentioned, it exceeds the scope of the present treatise and requires a separate treatment[8]. Once the direct speech is exposed, the remaining part of the non-thematic layer of the second paragraph resumes its original fall-rise nexus again. The initial disposition of the non-thematic layer after the direct speech is falling due to the remark

that *he* [Jerry] *had grown to affect an adolescent manner of speech* (DFS 26), *mixed of hip slang and calf-love monosyllables* (DFS 27) to be given a rising character again by the expressions *were rich with new meaning* (DFS 28), *drove to one of their trysts* (DFS 29) and culminating at the positive intention *wanted to share* (DFS 30). Nevertheless, as the paragraph proceeds to its end, the falling pattern of its non-thematic layer begins to assert itself and the negative climax of the whole paragraph is reached with the word *died* (DFS 32).

The third paragraph does not differ in any way from the first two already discussed. Beginning with the descending curve due to the feeling of emptiness – *was empty* (DFS 33), *was not in sight* (DFS 34), the situation changes at the thought of a possible place where Sally could be found – *must be up in the dunes* (DFS 35). Another fall-rise nexus develops on the beach, where at first all the unusual formations of sand and rocks appear, culminating in the presentation of *a high terrain of dunes and beach scruff and wandering paths* (DFS 38) as compared to the *natural hotel* (DFS 38), which suggests activity and rush; this is, however, outweighed by the subsequent negative ending of the paragraph and thus the element carrying the highest degree of CD, i.e. *were unable to find the exact place, the perfect place, where they had been before* (DFS 40).

The non-thematic layers of the last distributional fields in all the three paragraphs have been proved to incorporate a certain negative element. The negative connotation is, therefore, the reason for classifying the respective curves, referring to such elements, as 'falling' in the system of gradation.

The arrangement of a text as to the organization of paragraphs, their length, content and sequencing is an exclusive right of the writer himself. His choice, however, influences the eventual interpretation of the text and thus its overall aesthetic impression too. The way each writer approaches the text, the form of description and the existence of certain regularities within the non-thematic layers of individual paragraphs demonstrate a sort of communicative strategy, which also penetrates through the strings of non-thematic layers at the level of higher units of the text and reveals the communicative purpose of the writer. Separate paragraphs, therefore, remain the starting point, and are an important entity from the semantic viewpoint and also concerning the ensuing development of the text as determined by the author. Nevertheless, it will be the subject matter of another study to discuss higher units of the text in the semantic-pragmatic environment in greater detail[9]. At this point, I intend to draw the reader's attention to the rise-fall or fall-rise-fall undulation pattern and its relation to the communicative purpose of the writer (the author of the novel). The image of ever-changing, unstable dunes of sand occurring throughout the whole chapter (the analyzed text) thus penetrates also above the level perceivable by mere reading.

3.3 Contrastive study of both versions

As regards the semantic content, I should like to adduce an example of text organization within a paragraph which might lead to ambiguity; however, due to the application of FSP analysis on the respective passage, the chances of misinterpretation become highly improbable. This remark concerns DFS no. 8 (Tab. 1) in the English original; let us therefore discuss the English original first. Particularly, the attention of the reader should be drawn to the expression *the first time* (DFS 8), which, based on the interplay of FSP factors, appears in the thematic layer, serving as diatheme, to be more specific. According to Svoboda ("*Diatheme*"), the diatheme is composed of communicative units of a lower degree of CD than transition proper, thus it belongs to the thematic sphere; on the other hand, diatheme represents a communicative unit typical of carrying the highest degree of CD of all the units within the thematic layer. One of the characteristic features typical of the communicative unit of diatheme is the fact that although carrying a lower degree of CD than transition proper, it represents and mediates completely or partly new information in a sentence. The expression

the first time (DFS 8) in the English version certainly complies fully with the requirements of diatheme. It introduces information which is new, and yet it remains within the thematic sphere, for it does not exceed the communicative dynamism of the main message of the relevant distributional field. Comparing the diathematic constituent *the first time* (DFS 8) in the English version with the Czech translation of the term, i.e. *poprvé* (Distributional Field Target language, hereinafter DFT, no. 8), the classification from the viewpoint of the FSP analysis differs. The respective Czech expression, as examined according to the interplay of FSP factors asserted in written communication, occupies the position of rheme proper. The Czech translation therefore fails to conform to the English original in the relevant section. Both versions, the English original and its Czech counterpart, are demonstrated below in order to show the difference more clearly.

Ex. 4 (Paragraph 1)

(1) Along this overused coast of Connecticut, the beach was a relatively obscure one, (2) reached by a narrow asphalt road (3) kept in only fair repair and full of unexplained forks and windings and turnings-off. (4) At most of the ambiguous turns, little weathered wooden arrows (5) bearing the long Indian name of the beach (4) indicated the way, (6) but some of these signs had fallen into the grass, (8) and the first time – (7) an idyllic, unseasonably mild day in March – (8) that the couple agreed to meet here, Jerry got lost (9) and was half an hour late. (Updike, "Marry Me" 9)

Tab. 4

Paragraph no. 1				
DFS No.	**Thematic layer: Scene (Setting)**	**Thematic layer: Quality Bearer**	**Non-thematic layer**	**Scale**
1	Along this overused coast of Connecticut[1]	**the beach[2]**	(was)[3] a relatively obscure one[4]	DPr/Q
2		[the beach]	(reached by)[1] a narrow asphalt road[2]	Q
3		[road]	(kept in)[1] only fair repair and full of unexplained forks and windings and turnings-off[2]	Q
4	At most of the ambiguous turns[1] the way[4]		**little weathered wooden arrows[2]** (indicated)[3]	Pr
5		[arrows]	(bearing)[1 (sentence 4)] the long Indian name of the beach[2 (sentence 4)]	Q
6	(but)[1]	some of these signs[2]	(had fallen)[3] into the grass[4]	Q
7	**an idyllic, unseasonably mild day in March[2 (sentence 8)]**			DPr
8	(and) the first time[1] that **the couple** agreed to meet here[3]	**Jerry[4]**	got lost[5]	DPr DPr/Q
9	(and)[1]	[Jerry]	(was[2]… late[4]) half an hour late[3]	Q

Ex. 5

(1) Byl to málo vyhledávaný, zastrčený kousek teď už nepříliš navštěvované connecticutské pláže (2) a dalo se k němu dojet po úzké asfaltové silničce, jen taktak udržované, se spoustou neoznačených rozcestí, odboček a zákrutů. (3) Na většině míst, kde se cesty zrádně větvily, (4) označovaly směr malé omšelé dřevěné šipky s dlouhým indiánským jménem té pláže, (5) ale některé byly spadlé v trávě, (6) takže Jerry (8) za toho idylického, nezvykle mírného březnového dne, kdy se tam měli sejít poprvé, (6) zabloudil (7) a přijel o půl hodiny pozdě. (Updike, „Chceš si" 7)

Tab. 5

Paragraph no. 1				
DFT no.	**Thematic layer: Scene (Setting)**	**Thematic layer: Quality Bearer**	**Non-thematic layer**	**Scale**
1	to[2]		(Byl)[1] **málo vyhledávaný, zastrčený kousek teď už nepříliš navštěvované connecticutské pláže[3]**	Pr
2	(a)[1] k němu[3]	[Podmět neurčitý (PNU)]	(dalo se[2]… dojet[4]) po úzké asfaltové silničce jen taktak udržované, se spoustou neoznačených rozcestí, odboček a zákrutů[5]	Q
3	Na většině mist, kde[1]	cesty[3]	(se[2]… větvily[5]) zrádně[4]	Q
4	směr[2]		(označovaly)[1] **malé omšelé dřevěné šipky s dlouhým indiánským jménem té pláže[3]**	Pr
5	(ale)[1]	některé[2]	(byly spadlé)[3] v trávě[4]	Q
6	takže[1]	**Jerry[2]**	zabloudil[8]	DPr/Q
7	(a)[1]	[Jerry]	(přijel[2]… pozdě[4]) o půl hodiny[3]	Q
8	za toho idylického, nezvykle mírného březnového dne, kdy[3 (sentence 6)] tam[5 (sentence 6)]	[Podmět nevyjádřený samostatným slovem-PN]	(se[4 (sentence 6)]… měli sejít[6 (sentence 6)]) poprvé[7 (sentence 6)]	Q

The expression *poprvé* (DFT 8) clearly causes a disruptive impression in the flow of communication by being emphasized and pointed out when placed in the rhematic position. The Czech *poprvé,* unlike its English equivalent, is interpreted as rheme proper – a specification within the inserted clause (DFT 8) showing a gradual rise in degrees of CD. In accordance with the interplay of the non-prosodic FSP factors, it gives a vital piece of information which further clarifies the details of the given meeting (*měli se tam sejít poprvé)*. In Czech the linear arrangement of words plays a crucial role in determining particular communicative units. In this case, however, it is also the semantics and context which contribute to the perception of *poprvé* as rheme proper. It conveys information irretrievable from the immediately relevant context and therefore it proves to be the most dynamic constituent carrying the highest degree of CD. Nevertheless, as such it does not correspond to the meaning of the equivalent expression in the English original – *the first time* (DFS 8) – which although giving a new piece of information, is clearly related to Jerry and thus complies with the requirements of diatheme. The examined paragraph in the Czech version is thus not so clearly perspectivized towards a negative element (as it is in the original text) and therefore, in terms of the undulation pattern, the possibility for the curve operating within the non-thematic layer of the given paragraph to have the falling tendency of the last

distributional field of the respective paragraph in the English original is rather reduced. The reader is also openly communicated information contradicting what he/she will learn further on in the text.

Ex. 6
Sally tam i tentokrát už byla. (Updike, „Chceš si“ 7)
Ex. 7
Ta říše prohlubní a hřebenů byla zrádně spletitá. Nikdy se jim nepodařilo najít přesně totéž místečko, to dokonalé místečko, kde byli posledně. (Updike, „Chceš si“ 8)

Examples Ex. 6 and Ex. 7 prove that the couple has already visited the described place before. Such a discrepancy in the translated version of the analyzed text is caused by placing the expression *poprvé* (DFT 8) in the position of rheme proper. Thereby, the recipient perceives the information contained in the communicative unit of rheme proper as a certain direction which the text is obliged to follow; however, as exemplified above, this fails to occur.

The English original, on the other hand, strictly rejects any ambiguity by placing the relevant expression *the first time* (DFS 8) in the thematic layer constituting the communicative unit of diatheme. Based on the interplay of FSP factors, *the first time* (DFS 8) was defined as diatheme because it carries the highest degree of CD within the thematic layer and brings new information into the text (cf. Svoboda, “*Diatheme*”). As the story progresses, the correctness of the foregoing interpretation, demonstrated in Tab. 4, is endorsed by the following quotations (Ex. 8 and Ex. 9).

Ex. 8
Today, too, Sally had arrived ahead of him. (Updike, “Marry Me” 9)
Ex. 9
This realm of hollows and ridges was deceptively complex. Each time, they were unable to find the exact place, the perfect place, where they had been before. (Updike, “Marry Me” 10)

The writer of the text (novel) knew in advance that he was going to write about one of several appointments of the two lovers, which is indicated already from the very first paragraph and supported by the way of his presumably unwitting though elaborate application of FSP principles. Due to the author’s skilful use of individual language elements, the reader (recipient) is clearly able to distinguish between those constituents which are important for the development of communication and those that can be left out. The recipient is also sensitive enough to identify the communicative unit emphasized within the text, thus in case of the expression *the first time* (DFS 8) indicating the scene within the distributional field, it is expressly disregarded as less important, carrying information of only minor significance, which is an assumption further supported as the text unfolds.

4. Conclusion

It was one of the aims of the present treatise to apply the investigation into the non-thematic layers as initiated by Jan Firbas (“On the Thematic” 59-72) to (hierarchically) higher units of text which are delimited by one chapter. Firbas employed a single paragraph to demonstrate the utility of layers from the aesthetic point of view, which inspired me to examine even longer sections of text to support Firbas’ findings.

I have implemented analyses of the English and Czech versions of the same text in order to compare possible differences in the English original and the Czech translation. The texts have been approached by means of FSP analysis, with the results shown in tables clearly arranged

so as to distinguish between the thematic and the non-thematic layers. It is the non-thematic layer proper which remains more relevant from the viewpoint of the communicative purpose of the writer as it consists of elements carrying the highest degree of CD, and thus elements regarded as the most significant for the development of communication. Tracing the strings of non-thematic layers of several paragraphs seems to have revealed an interesting rhythm created by means of the pattern of undulation implemented by the rise-fall/fall-rise-fall nexus. This pattern permeates the whole of the text subjected to analysis, and influences its overall impression. There is only one major difference in the Czech translation which not only does affect the interpretation of the given passage but which also prevents the undulation pattern from being formed.

In conclusion, I emphasize the connection between the undulation pattern and the communicative purpose of the writer (the author of the novel). It is the pattern of undulation of elements within the non-thematic layers as revealed in paragraphs which creates an aesthetic effect in the whole text. Although only one chapter of the novel in question has been analyzed and all the findings above are limited to this chapter, the non-thematic layers of the remaining chapters are believed to expose a similar aesthetic pattern, though based on different conditions of narration and thus drawing on a different strategy of the author. The present treatise, therefore, proves Firbas’ findings concerning the significance of the existence of layers in a text to hold true even from the viewpoint of higher textual units.

List of Abbreviations:
APr = presentation scale of appearance; restricted mostly to salutations (i.e. vocatives) and greetings within direct speech
CD = communicative dynamism
DFT = distributional field target language
DFS = distributional field source language
DPr = direct presentation
FSP = functional sentence perspective
Pr = presentation scale
Q = quality scale
Z.H. = Zuzana Hurtová

Notes

[1] This article is confined to the analysis drawing on the chosen methodology, i.e. the theory of FSP as presented by Jan Firbas and further elaborated by Aleš Svoboda. For the discussion of other theoretical frameworks related to the content of the present treatise, e.g. Daneš‘ thematic progressions, the reader is referred to Hurtová, Z. *Firbasian non-thematic layers in paragraphs and beyond (a study in functional sentence perspective, syntactic, semantic, and pragmatic paragraphs and communicative strategy in fiction)*. Unpublished dissertation thesis defended at the Department of English and American Studies, Faculty of Arts, University of Ostrava in January 2009.
[2] M. Adam (“Some Special Aspects”, “Poetic Religious Texts”, “*Functional Macrofield* Perspective”); A. Svoboda (“Firbasovy sémantické škály”, “Funkční větná perspektiva”)
[3]The notion ‘strings of layers’ in a way resembles Adam’s conception of ‘tracks’ operating throughout a text (cf. Adam, “Who is Who”)
[4]Apart from the rhematic elements, the non-thematic layer also consists of transitional elements carrying lower degrees of CD, but which nevertheless serve as important units in the development of the communication (Firbas, “*Functional sentence perspective*” 71-72). As revealing the communicative purpose is one of the main aims of the text analysis, the non-thematic layer in its completeness, i.e. including the transitional components, becomes particularly important once the matter of person, number, tense, mood, voice, or positive vs. negative polarity is considered. The transitional layer consists particularly of the grammatical category of tense and mood realised by the

communicative unit of transition proper, and transition non-proper constituted by the notional content of the verb.

[5]In his distinction of the theme-rheme nexus within a sentence, Mathesius concluded that both the units, if consisting of several expressions, tend to be mutually interwoven (Mathesius, "O takzvaném aktuálním" 177). However, Mathesius himself limited his investigations to dividing a sentence into two parts: the point of departure and the core of the message, thus adhering to the two-partition approach in FSP. It was the task of further research to develop and expand Mathesius' ideas in order to approach the subject matter from a different standpoint. However, Mathesius further remarked that the core of the message, i.e. rheme in his bipartite conception, is not homogeneous and can contain certain elements which constitute a sort of transition to the core of the message proper, having particularly verbs in mind (Svoboda, personal communication). Consequently, though several decades later, Jan Firbas introduced another item into the originally bipartition approach which he decided to term "transition" (Tr), referring to the phenomena comprising a form of segue between the theme (Th) and rheme (Rh) in a sentence. As the transitional elements are considered vital for the sentence to operate adequately within the scope of FSP, Firbas identified these elements as being of hierarchically the same status as the units of the original two-partition approach, i.e. thematic and rhematic (Firbas, "On bipartition, tripartition and pluripartition" 67-79). In the theory of FSP there are, however, more units recognized as the carriers of relative degrees of CD, which thus also maintain a certain function in the development of communication. Such a detailed division of a sentence into more than three parts is referred to as the pluripartition approach (cf. Svoboda, "*Diatheme*", Firbas, "*Functional Sentence* Perspective" 6).

[6]This remark corresponds to Rachel Giora's assertion that "paragraph final position functions as a parameter of dominance, presenting to the text either prominent material or future discourse-topics which gain in dominance due to their occurrence in final position" ("Functional Paragraph Perspective" 177). It should, however, be emphasized that Giora arrived at such findings particularly by means of employing native speakers' judgements as to the prominence of the relevant information. In the present study, methods of FSP analysis are applied and similar findings have been reached. Nevertheless, in the case of the texts analyzed here, only the first part of Giora's assertion appears to be valid, i.e. that it is the paragraph final position where the dominant or prominent information is introduced. The reason why the discourse (paragraph) topics do not generally correspond to the final position of the preceding paragraph is due to the existence of pragmatic cohesion delimiting individual sources of narration.

[7] I was kindly advised by Professor Tárnyiková that the term 'direct speech' as used in the present study should be more accurately defined as 'stylized direct speech', for it draws on a text of fiction. Thus, for the sake of simplification, all the subsequent references to 'direct speech' are to be understood as references to 'stylized direct speech' although it is not explicitly formulated in the text.

[8]See Hurtová, Z. *Firbasian non-thematic layers in paragraphs and beyond (a study in functional sentence perspective, syntactic, semantic, and pragmatic paragraphs and communicative strategy in fiction)*. Unpublished dissertation thesis defended at the Department of English and American Studies, Faculty of Arts, University of Ostrava in January 2009.

[9]The conception of semantic-pragmatic environment as revealed within higher levels of text is discussed in the unpublished dissertation Hurtová, "*Firbasian Non-thematic Layers*".

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Whims of the Old English Prefix *ge-* revisited

(To the memory of Prof. Antonín Beer)

Stanislav J. Kavka, Miroslav Černý

Abstract

There is one principal point in which linguists differ from other people: they will marvel at things that other people take for granted. And indeed, who would ever stop to think about the little 'prefixating' syllable ge-, which the Germans and the Dutch utter so frequently, while the English are entirely unaware of it? It will be worthy of note what the reasons are like that the prefix is now missing in our tongue. Is it only due to purely phonetic circumstances, as linguists have often claimed? The present article is meant to show that the more plausible explanation lies in certain facts of semantic and syntactic character: the most substantial changes are believed to be the ones that took place in the system of inflection, word order, and so-called phrasal verbs. All this discussion is framed into a larger sociolinguistic context; here the issues of language contact and diglossia seem to have played the most important role.

Keywords: *prefixation; typology: syntheticity, analyticity; punctuated equilibrium model; 'meanings' of ge-; societal multilingualism*

Introducing the issue

We have always been fascinated by the frequency that *ga-* as an unaccented prefix showed in Gothic. Just in one single Verse 11 by St. Mark, Ch. 14, it appears four (!) times:

> Iþ eis gaháusjandans faginōdēdun jah gahaíháitun imma faíhu giban; jah sōkida hwáiwa gatilaba ina galēwidēdi.[1]

Old English texts, too, are abundant in this prefix, in the form *ge-*, of course, but it is difficult to say for certain whether its frequency was or was not gradually decreasing. Yet it is for sure that it does not exist in Modern English and that it was on retreat as early as in Middle English. As Clerk (129) has it, in its (for laymen) indiscernible form *y-*/ *i-* it existed no longer than till Late Middle English or Early New English. Thus in Chaucer,[2] for example, we read:

> And the yonge sonne | Hath in the Ram his halfcours yronne;
> Well nyne and twenty in a compaignye | Of sondry folk by aventure yfalle| In felaweshipe;
> At mete wel ytaught was she with alle;
> Y-clothed was she fresh, for to devyse;
> And whan the fox saugh that he was y-gon| Allas! quod he…;
> The mone shoon| men mighte wel y-see… , etc.

A mere fleeting glance at a page of Chaucer's text and at any text written in Old English will reveal that the number of *ge-> y-/i-* prefixed words in Middle English is relatively very low. Phonetic explanation is fairly simple, easy to follow, and, by itself, satisfactory enough. Following authorities such as Wright (§26), Hulbert (§5), Prokosch (§69), and others, the prefix *ga-/ge-/gi-* (together with others) is believed to have become unaccented soon, and owing to the phonetically based tendency in Germanic languages towards the qualitative reduction in unstressed syllables,[3] the already weakened Old English *ge-* [je] must have resulted in [ji], and later, after the loss of the consonantal element, in [i]. We can also agree

with the generally accepted opinion that this reduction was begun in northern dialects first and only then was it spread southwards. In this light, the Chaucer's *i-*forms must seem to have retained the state synchronically abandoned elsewhere in the North. And indeed, as Heusler (§125) proved, in Old Icelandic, for instance, the Germanic prefix *ga-* disappeared as early as in old writings.

In order to make the picture yet more complex, let us notice that phonetic laws play their role also in those languages which have used the prefix ever since. Its velar realisation, be it phonetically a plosive [g] as in German or a fricative [γ] as in Dutch, hinders the kind of reduction which was noted for the English palatalised /ġ/, i.e. [j]. And yet, the prefix *ge-* [ge]/[γe] has not been used consistently: as Wright (§§335, 488) claimed, the vowel [e] (<[i]) in *ge-* began to disappear before [l], [a], [r] as early as in Middle High German, and, what is more important, the prefix *gi-* would be left out altogether in verbs containing another unaccented prefix (corresponding to the New High German *be-, ent-, er-, ver-, zer-*, etc.). Hence it follows that its presence or absence has been a function of stress position; for example, *ge⌒schrieben* vs. *stu⌒diert*.

However, the outlined explanation on phonetic grounds may only be fairly satisfactory if we apply one constant, namely the present state of matters. Thus Modern English does not use the *ge-* prefix any longer, whereas Modern German does, though not in all cases expected. Expressed more precisely, the resultant state in either language was only facilitated by phonetic laws. On the other hand, the English unstressed [i] *y/i* could have lived without the impeding phonetics, as well as the German [ge] *ge* can be pronounced in any phonetic context, perhaps with only a modicum of difficulty. Put in another way, if the old *ga-/ ge-* was still to be used, it would be endorsed by all phonetic laws possible.

It seems that phonetics alone will not help us much to elucidate fully one fundamental question, namely, why English can do without the *ge-* prefix. As was adumbrated here above, nothing seems to impede its loss, and nothing would have impeded, as it also seems, its retention. A feasible explanation has to very probably be sought in the sphere of semantics, namely, in asking about meaning(s) of the very prefix. In other words, we have to zero in on the functions that the prefix must have performed and which must have been taken on through other language means when it ceased to exist. As anywhere else within the language system, the passing and arising of new functional means must have existed simultaneously and vicariously for considerably long periods of time; on the other hand, we have to admit that the case of *ge-* prefix is a little aberrant, at least from this point of view, inasmuch remarkable is the difference between Middle English and Old English. Its occurrence in the language, though in a phonetically altered form, is reduced drastically, to such an extent that one may tend to doubt its functional significance at all. Luckily enough, one simple objection puts this awkward idea on the right way immediately: Would language use any of its means so frequently and consistently, as Old English really did in the case of *ge-* prefix, without any good reason of doing so?[4]

Even though it is possible for one function to be performed simultaneously by two or more linguistic means, it will only be so for a limited period of time of the language evolution. It is due to the economy of language that sooner or later one of the "competing" means either fades away, having been substituted in its function by another means, or it is ascribed a different function. Any level of language is inert to this kind of change, which make language exist as a dynamic system. For all those reasons the paragraphs of the present study are construed on the following hypothesis: The Old English prefix *ge-*, as a direct descendant of its Proto-Germanic form, must have inherited most of its functions it had had. However, had it not been for the well-known social changes on the Isles, which made the later English be a strikingly different language from Anglo-Saxon, or, in other words, had English evolved smoothly from Anglo-Saxon, the prefix *ga-*, in some specific phonetic form, would still be in

full use. Since this is not the case, the language must have developed other means so as to cope with the function(s) that the older *ge-* (supposedly) had.

Such means did not, of course, have to be absolutely new; just on the contrary, they may have been in use, or they began to be used, from which it follows that the fate of *ge-* was uncertain all the same. In any case, however, the semantics of the Old English *ge-* is worth examining; as a matter of fact, it has to be examined thoroughly[5] in order that we may submit a satisfactory, if not exhaustive, linguistic reasoning of its rather rapid loss. Let the following paragraphs pay tribute to the Old English *ge-*, which stands up so conspicuously in the list among other unaccented prefixes.

Old English data in commented statistics

The following discussion is based on 1,090 excerpts, which we managed to collect out of randomly selected Old English texts (see the list here aback). Only some of the excerpts will be exemplified here, though, namely those which are most characteristic of the respective issues discussed. All occurrences of *ge*-items were filed first, in appropriate contexts, which is believed to handle the respective items more accurately from their semantic and syntactic point of view. As shown in Table 1, many *ge*-items are repeated in texts, the number of actually different items being reduced to 422. This is nothing remarkable, though. What is much more important is grammatical classification of these on the one hand, and the issues of meaning, including polysemy, on the other hand.

	total	*nouns*	*adjectives*	*adverbs*	*verbs*	*(prepositions)*
all occurrences	1090	288	65	28	708	1
items only	422	121	38	19	243	1
	452	126	38	19	268	1

Table 1

At first sight one can notice that most *ge*-items are verbs, their total number exceeding 700 out of 1,090, which makes 65%. Nouns, too, represent a considerable portion of all the *ge*-items: 288 occurrences equal 26.5% of the total. As pointed here above, not all items in total are unique cases; thus many of those 422 different items must have been found more than once in the texts to make it the total of 1,090 occurrences. It can be calculated easily that within the verb-category the non-repeated *ge*-items represent 57.5%, and within the noun-category 28.5% of the respective occurrences. Nevertheless, the last line in Table 1 shows one important fact: some *ge*-items, formally identical as they are, can have more than one meaning each. It is for this reason that such polysemous items must be counted as different ones. First of all, in the present corpus polysemy is witnessed only in verbs and in nouns, concerning 25 cases, i.e. 3.5%, and 5 cases, i.e. 1.7%, respectively, out of the total figures of all occurrences. The excerpts did not show any polysemy in adjectives and adverbs, but we can never be absolutely sure. However, the probability of polysemous *ge*-adjectives or *ge*-adverbs is very low all the same, and an exceptional or rather solely case would hardly have any impact on our intended generalising conclusions.

There is one more point that has to be raised for consideration: namely, the reader will notice that some items, be it nouns, adjectives or verbs, occur both as *ge*-prefixed and as basic ones, e.g. *geagan – agan, gecuman – cuman, gebetan – betan*, and he like. Table 2 shows the figures of *0*-prefixed items[6] in respective grammatical categories, offering both the total numbers and the numbers of different, i.e. non-repeated items. In the latter the polysemy is already accounted for.

	total	*nouns*	*adjectives*	*verbs*	*adverbs*
all occurrences	643	35	14	594	0
items only	163	13	3	147	0

Table 2

Again, the overwhelming majority of those *0*-prefixed formal equivalents of *ge*-items are verbs, making 90% out of the total number of occurrences. The second place is occupied by nouns, while there are no *0*-prefixed adverbs as counterparts of the *ge*-prefixed ones. At first sight, *ge*-items prevail largely over *0*-prefixed items in each grammatical category, both for all occurrences accounted (see Table 3) and for non-repeated items (see Table 4).

+/- ge-	***total***	*nouns*	*adjectives*	*verbs*	*adverbs*
ge-	1090	288	65	708	28
0-	643	35	14	594	0

Table 3

+/- ge-	***total***	*nouns*	*adjectives*	*verbs*	*adverbs*
ge-	452	126	38	268	18
0-	163	13	3	147	0

Table 4

There is one more aspect which can be read from the statistical data in the Tables. Namely, the prevalence of *ge*-items over *0*-items is not in verbs, as the reader might expect, but rather in non-verbal categories. Thus *ge*-prefixed verbs exceed their *0*-counterparts only 1.8 times, while in nouns 9.6 times, and in adjectives even 12.5 times, to speak nothing of adverbs. Explanation seems to be simple, though: adverbs derived upon adjectives will retain their *ge*-forms, if there are ones (e.g. *gecneordlic-e*), and past participle forms are likely to be taken as nominal rather than verbal items. The latter can be documented by the cases showing grammatical concord, e.g. *Hie hæfdon þone cyning ofslægenne,* where the participle *ofslægen* is inflected as adjective.

This does not mean, however, that once the *ge*-participle was found, the *ge*-prefix had to be used in other forms of the same verb. Thus, for instance, we come across *halgian, halgodon* vs. *gehalgod*, and both *gehefgad* and *hefgad*, *gemolsnad* and *molsnad*, and so on. All the more reason to inquire after the function(s), or, say, semantics of the prefix *ge-*. The essential question is whether the item *gehelpan* in, for example, *He on heofonum leofað, for ðan þan þe he wolde gehelpan* is the only form possible, and so supposedly a correct one, or whether its *0*-counterpart *helpan* could also be used, either equally or in a different meaning.

Related to the issues so far outlined, two more topics may be worth discussing, namely: Are there any restrictions on *ge*-prefixation in compounded and suffixated items, and second, on already prefixated items? Some statistics, though not extensive, are helpful and seem to be relevant enough.

Out of 24 occurrences 15 different, i.e. non-repeated items illustrated compounds, and 60 others, out of the total of 124, referred to derivatives. The former can be exemplified by *ge-ðwær-læcan, ge-lust-fullian*, the latter by *ge-lic-nes, ge-end-ung, ge-þeaht-ere*, and the like. The results are convincing enough to claim that, speaking in terms of morphology, no restriction on the occurrence of *ge*-prefix is imposed in already compounded items and in

suffixated derivatives. Even multi-morphemic items can exist, e.g. *ge-sæl-ig-lic-e, ge-sund-ful-lic-e, ge-niht-sum-nes*, etc. Yet it would be irresponsible to admit that there is no restriction whatsoever: just think about such derivatives as *ge-æðel-ing*, and similar. These were not attested, though. Again, this fact, too, speaks in favour of the assumption that *ge-* is a meaningful prefix. The assumption will become more truthful once we zero in on cumulative prefixation, namely on the items which are prefixed already, such as *be-gan, on-bidan, un-trumian*, etc. If we can rely on the data gathered from the texts analysed, *ge-* never goes with the prefixes *a-, be-, for(e)-, mid-, mis-*: thus while the past participle of *faran* is *gefaren*, *afaran* has its participle *afaren*; and similarly, only *beswicen (<beswican)*, and not perhaps **gebeswicen* / **begeswicen* is found, and so also *forgifen (<forgiefan), miswend (<miswendan)*, etc.

This state of matters is easy to explain: passing over earlier stages (mentioned, besides others, by Hulbert, §5), the prefixes *a-, be-, for(e)-, mid-, mis-* in the recorded texts were, no doubt, unaccented, which was the case of *ge-*, too. Hence it is rather uncomfortable to utter two neighbouring unaccented prefixes. Does it mean that *ge-* can, or even must, go with prefixes that carry their own stress, such as *an-, and-, ar-, ed-, or-, un-*? The answer is positive in the sense that *ge-* is sometimes, but relatively rarely, added; therefore *0*-forms also exist, e.g. *ge-and-wyrdan – and-wyrdan.* Phonetic laws seem to be responsible also for mutual ordering of *ge-* and the other (stressed) prefix: since the Germanic tendency had been to stress the basis of verbs whereas to place the stress initially, that is practically on to the prefix, in nouns, *ge-* was preferred as first in verb-forms and as second in non-verbals. Therefore we find, e.g. *ge-an-bidian* vs. *un-ge-hirsum*. It is proper to point out again that we are speaking in terms of tendencies; otherwise we would have to worry about exceptions, such as the unexpected yet existing order in *geuntrumod* or *geuntreowsod(e)*.

At this point we have to take into account that the phonetic regulations, though working in long periods (say, diachronically), are made to be responsible for changes and the definite state of matters in one period. Therefore, we claim, phonetic explanations are not the only ones to be responsible for the above data. A straightforward question is why some prefixes, including *ge-*, lost their stress, whereas others remained accentuated. Again, we should rather think in terms of semantics: namely, if the unaccented prefixes had had no meaning, they could have cumulated more readily (for prosodic reasons?), or they would have come out of use. The position, and the role of *ge-* must also be examined in this light: we believe that *ge-* in Old English still had some meaning (though probably of diminishing force), and therefore it might sometimes have been incompatible with other prefixes. The next section is meant to present a few reflections on the issues raised here above.

Commenting on some of relevant occurrences

In her article 'Diglossia in Anglo-Saxon England', discussing the attrition of inflections in the noun phrase and the acquisition of aspectual distinctions in the verb phrase in the early Middle English period, Hildegard Tristram (87–110) proposes four possible scenarios that could be viewed as an explanation for this sudden typological drift from syntheticity to analyticity. She distinguishes three internal scenarios: (1) the punctuated equilibrium model, (2) the effect of the strong stress, and (3) the redundancy of the inflectional endings. As the only external scenario (4) Tristram presents a sociolinguistic interpretation of the cross-language contact in the British Isles. Though she investigates only the situation regarding inflectional *endings*, her analysis forms a fruitful starting point for our examination of the Old English prefix *ge-*. Thus the prefix will be analysed against the background of the above mentioned schemes.

When discussing sudden changes in the development of any language, comparative linguists (e.g. Dixon) often take into consideration the so called *punctuated equilibrium model* (PEM).[7] According to this theory, based on similar models in evolutionary biology, geology, and other natural sciences, language changes should not be understood as something constant and gradual. Frequently, language shifts take a form of unexpected jumps that appear after long periods of stability. In other words, to use the terminology employed within the framework of PEM, languages often experience surprising moves from states of equilibrium into episodes of punctuation. As Dixon claims himself, "many types of change within a language are not gradual but rather happen fairly suddenly, often within the space of a generation or two" (54). He also states that these changes are "self-triggered", brought up "by the internal dynamics of the language" and they "relate to shift in grammatical profile" (Dixon 57).

Dixon's model of punctuated equilibrium is an interesting contribution to diachronic linguistics; it provides new insights into a number of complicated aspects of language evolution and suggests valuable conclusions about how languages might have developed. However, it is questionable whether his assumptions can be testified and whether the punctuated equilibrium model is applicable to all languages.[8] Moreover, as the experience warns us, we should always be careful when applying methodologies of natural sciences to language studies: the commonly quoted example being the notions of biological evolution related to the development of languages, particularly Indo-European, by August Schleicher.[9] As a result, we do not find Dixon's theory suitable enough for our analysis of the history of the English prefix *ge-*,[10] and thus we have turned the attention of our search for the explanation of its demise to other scenarios.

It has already been argued that phonetic explanations are not the only ones to be responsible for the fact that *ge-* died out at some point in Middle English. For the reasons presented above (see 'Old English data in commented statistics'), scenario (2), i.e. the effect of strong stress, does not have sufficient explanatory force, and it is inevitable to investigate motives for this change outside the domain of phonetics. Scenario (3) allows us to take into consideration impulses from the realm of grammar and semantics; scenario (4), on the other hand, interprets the situation from the viewpoints of sociolinguistics. Furthermore, both scenarios assume that the prefix *ge-* must have had a significant meaning or function in Old English. This functionalist approach, as we hope, may help to see the problem of *ge-*'s decline from a productive angle.

As implied by the quantitative analysis, the Old English *ge-* is found in many parts of speech: before nouns, e.g. *gemære*, *gedrinc,* verbs, e.g. *gelaþian*, *gefadian,* before adjectives, e.g. *gedwolsum*, *gemænifyld*, in adverbs, e.g. *genoh*, *gewislice,* and even in pronouns, e.g. *gewylce.* Of great importance to the investigation of the decline of the Old English *ge-* are especially verbs: they are the most numerous category as regards *ge-*items, and also *0*-prefixed equivalents of *ge-*items prevail in this part of speech. Thus, it could be expected that the drastic loss of *ge-* started in verbs, and only later the forms of nouns, adjectives and adverbs were probably regularised by the analogy with verbs. Yet it would be irresponsible to admit that the opposite, i.e. noun → verb analogy was unlikely to take place. Such regularisation was also made possible due to the fact that some verbal forms, e.g. past participle (*gecorene*, *genotudne*), had strong nominal character, they were declined and were close to nominal and adjectival forms. Consequently, it seems that it is the prefix *ge-* as one part of the form of past participle – its meaning, role and changes within the internal system of Old English – that should be focussed on.

According to Mitchell & Robinson (58), the Old English prefix *ge-* seems to have had two basic functions: (1) It added the meaning of 'together, with' to nouns, e.g. *gebed, gedeorf, gefeoht, gefera*. (2) As regards past participle, it functioned as a perfective aspect marker;

in other words, it completed the meaning of verbs with a sense of perfectivity, implying the goal of the action, e.g. *ascian* 'to ask', vs. *geascian* 'to find out by asking', or *andwyrd* 'to answer', vs. *geandwyrd* 'to be answered'.[11] A few more examples, presented in larger contexts, shall suffice to illustrate the perfectivity function of past *ge*-participles:

> Þa geseah he betwux þam warum cype-cnihtas gesette, þa wæron hwites lichaman and fægeres andwlitan menn, and æþellice gefexode. Gregorius þa beheold þæra cnapena wlite, and befran of hwilcere þeode hi gebrohte wæron. (…) Eft he axode, hu þære þeode nama wære, þe hi of comon?Him wæs geandwyrd, þæt hi Angle genemnode wæron. Þa cwæþ he: 'Rihtlice hi sind Angle gehatene, forþan þe hi engla wlite habbaþ, and swilcum gedafenaþ þæt hi on heofonum engla geferan beon.'…Gyt þa Gregorius befran, hu þære scire nama wære, þe þa cnapan of alædedde wæron. Him man sæde, þæt þa scirmen wæron Dere gehatene. Gregorius andwyrde: 'Wel hi sind Dere gehatene, forþan þe hi sind fram graman generode, and to Cristes mildheortnysse gecygede.'[12]

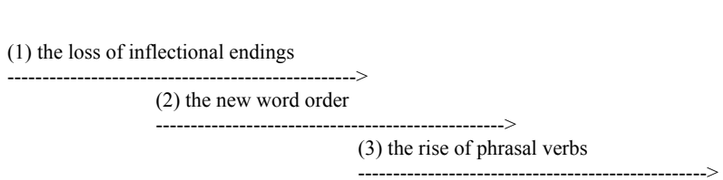
Apparently, the function of the prefix *ge-* as a marker of perfectiveness is a productive device in Old English. However, the same prefix is also employed in verbal forms serving different purposes. We find *ge-* in finite verbs, e.g. *geherde* 'heard', *gedon* 'make, do', or in infinitives, e.g. *gesamnian* 'to assemble', *gemyndgian* 'to remember'. Moreover, the prefix *ge-* appears as a part of present active tense, e.g. *þu gesihst þæt ic ealdige* 'you see that I am getting old'. To illustrate this aspect of Old English grammar in a more lucid and complex way, and to provide a contextual background for our considerations, let us again present a longer stretch of text:

> Lareow: 'Hu begæst þu þinne cræft?'
> Hunta: 'Ic bregde me max, and sette hie on geæpre stowe. Þonne getyhte ic mine hundas …'
> Lareow: 'Ne canst þu butan nettum huntian?'
> Hunta: 'Gea, ic can butan nettum huntian.'
> Lareow: 'Hu?'
> Hunta: 'Ic betæce wildru mid swiftum hundum.'
> Lareow: 'Hwilce wildru gefehst þu swiþost?'
> Hunta: 'Ic gefo heorotas, and baran, and ran, and rægan, and hwilum haran.'[13]

As is evident from the examples above, besides acting as a perfective aspect marker, the prefix *ge-* performed a number of diverse functions in Old English. Our claim is that this polyfunctional prefix lost its distinctiveness and gradually became redundant. This type of escalating superfluity probably resulted in the fact that the Old English *ge-* became useless, to put it differently, it emerged only as an ornamental form, which did not carry any meaning and therefore was no longer needed. Still, it is inevitable to investigate whether the decline of *ge-* prefixation was only due to the loss of its distinctiveness, or we should consider some other changes that collaborated on the attrition of the prefix. Presumably, the latter is closer to the correct answer. To be more specific, the changes in the grammatical system that the extinction of the Old English *ge-* could be connected with are the loss of inflectional endings, innovations in word order, and the rise of the English phrasal verb. In the following paragraphs, we shall comment in more detail on some relevant issues that are interrelated with these changes.

When examining more language changes that were realised in approximately the same period of time, it is always rewarding to find out which change appeared as a first one and triggered the further series of novelties. Out of those innovations under scrutiny, it could be assumed that the decline in inflectional endings was the starting point, which initiated changes in word order, these enabling the escalation of phrasal verbs. However, it cannot be expected that this order of grammatical shifts was accomplished as a chain of strictly chronological

steps. In other words, it should not be presumed that the second of the three changes took place only after the first had been completed, etc. We should rather think of simultaneous tendencies:



According to Barber (57), "the loss and weakening of unstressed syllables at the ends of words had disastrous effects on the inflectional system, since many endings now became identical". Although the precise reason for these innovations is unknown, there are at least some pieces of information that could be taken for granted. From what is known, it is suspected that the inflectional decay commenced towards the end of the Old English period. It is also believed that the rate of inflectional decline was not regular and varied with regard to different dialects; the first modifications starting in the North and East, and gradually moving towards the South and West. The textual evidence suggests that the inflectional loss had not been completed before the year 1400. Aside from the frequently quoted opinion (e.g. Vachek 1966), emphasizing the influence of the articulatory stress on the first syllable as the major cause of inflectional decay, Leith suggests that it is the inefficiency of the Old English inflectional system itself that causes this decline in morphological endings. He stresses especially the fact that there was little distinction between the Old English cases, which later resulted in the final loss in word endings.

At this point, however, there is no need to supply a full account for the above changes. It is more important to draw attention to other modifications in grammatical structure, namely the new word order and the rise of phrasal verbs, which, together with the inflectional loss, participated on the systemic shift from syntheticity to analyticity. To follow the plan of this paper and its perspective, these changes are described only briefly and with regard to the Old English prefix *ge-*.

As is generally known (see Denison), there were strong tendencies for Subject-Object-Verb word order in Old English. Though many syntactic constructions followed this pattern (e.g. *þe hi to Criste gebigdon*), the word order was less rigid due to the synthetic inflections marking gender, number, case and person, which secured the proper understanding of a sentence. In Middle English, however, as a result of the decay in inflectional endings, the language shifted into a more word order based language; Subject-Verb-Object being the main syntactic arrangement. Generally, as Akimoto claims, this new word order enabled the unstressed Old English prefixes to change into stressed post-verbal particles, thus forming new phrasal verbs (e.g. *forbærnan > to burn up*).[14] With regard to the prefix *ge-*, it must have undergone a similar shift. As has already been mentioned, the Old English *ge-* was no longer productive, moreover, it was slowly losing its meaning. No surprise that the new systemic situation speeded up the decline of English verbs with the prefix *ge-*, and contributed to their transformation into a number of new phrasal verbs, carrying the same role within the language system (e.g. *gefylled > filled up*).

To demonstrate how the loss of inflectional endings, the new word order and the rise of phrasal verbs collaborated on the systemic shift from syntheticity to analyticity, thus forming a background for the loss of the prefix *ge-*, let us supply the following two examples. The first instance is an Old English version of THE FLOOD (Genesis VIII., 13-22, Cotton B IV). The other is one of the Modern English translations.[15]

1.
Ða geopenode Noe þæs arces hrof, and beheold ut and geseah þæt þære eorþan bradnis wæs adruwod. God þa spræc to Noe, þus cweþende: 'Gang ut of þam arce, þu and þin wif and þine suna and heora wif; and eal þæt þær inne is mid þe, læd ut mid þe ofer eorþan, and weaxe ge and beof gemanifylde ofer eorþan.'

2.
Noe opened the covering of the ark which he had made, and he saw that the water had subsided from the face of the earth. And in the second month the earth was dried, on the twenty-seventh day of the month. And the Lord God spoke to Noe, saying, Come out from the ark, thou and thy wife and thy sons, and thy sons' wives with thee. And all the wild beasts as many as are with thee and all flesh both of birds and beasts and every reptile moving upon the earth, bring forth with thee: and increase ye and multiply upon the earth.

Evidently, when comparing these English translations (Old and Modern) of the passage from the Septuagint, it can be seen that the Old English translation is abundant in both, the *ge-* prefixed items, *geopenode, geseah*, and the inflectional endings, *arces, weaxe.* Also the word order can be described as rather free, *Ða geopenode Noe þæs arces hrof*, and less rigid than its modern equivalent. On the other hand, the modern version lacks any *ge-* prefixes and suffers the loss of most synthetic inflections. The chief syntactic arrangement is Subject-Verb-Object word order, as in *Noe opened the covering of the ark..., the Lord God spoke to Noe...* There is also one phrasal verb, namely, *come out*. This phrasal verb, however, does not emerge as a modern form of originally prefixed verb; rather, it is a continuance of the original Old English verb *gang ut*. Overall, it can be stated that phrasal verbs did exist in Old English but were very rare. Middle English, on the contrary, experienced the introduction of phrasal verbs as a productive form, which, together with other semantico-syntactic changes, participated on the systemic shift from syntheticity to analyticity, the demise of *ge-* being a representative example.

Just to remind the reader, so far only internal systemic factors, i.e. scenarios (1), (2), and (3) have been examined. However, it is hard to believe that such theories alone can account for the significant changes in the system of the English language. It is hard to believe that such changes are self-triggered in any language. Consequently, it seems to be relevant to investigate scenario number (4). In other words, we would like to centre our attention on external influences that could also have created conditions for the aphaeresis[16] and later for the complete demise of the Old English prefix *ge-*. Of particular interest is the argument that the spoken (not written) form of Old English was under the influence of at least three other languages, namely Brittonic,[17] British Latin and Old Norse, each in a different part of the British Isles.

Most generally, as many academics (e.g. Crystal) assume, the contact of Anglo-Saxons with other language groups on the territory of today's Great Britain, with the Vikings in particular, resulted in a certain type of pidgin language. This mixture of Anglo-Saxon (Old English) and Scandinavian (Old Norse) was adopted in order to provide a simplified language code to satisfy basic communicative needs. Very likely, this kind of Old English-Norse pidgin became quite stable after some time and evolved "into a kind of creole which was used as a lingua franca for everyday communication between the two cultures" (Crystal 32).[18] As with most pidgins and creoles, the grammar of such languages is simplified and much more dependent on stable word order. Another common feature of these mixed forms is the attrition of inflections (Salzmann 82–86). As regards the word stock, it is usually based on one of the contact languages (Spolsky 61). Because Old English and Old Norse words had arisen from

the same Germanic source, it is the grammatical structure that was influenced more significantly.

More specifically, this sociolinguistic approach may also reveal why the North is linguistically the most innovative part of the British Isles. As Tristram puts it, the Anglo-Saxons in the North were not only subjected to ultimate linguistic contact with the speakers of Old Norse but also with speakers of Brittonic. The Brittonic languages are known to have developed a more analytical system of grammar, with "rigid word order,[19] grammaticalized use of prepositions or other particles". These new systemic features helped the speakers of Brittonic compensate the loss of their inflectional morphology (Tristram 96). Consequently, the twofold influence, the Old Norse and the Brittonic, and the fact that there was not as numerous Anglo-Saxon population as in the South explains the analytical tendencies in the system of Old English. It comes, then, as no surprise that the decline of the prefix *ge-* started in the North.

The southern zone, on the other hand, the South East in particular, was the area least subjected to linguistic contacts (see Tristram). The only language that was spoken in this part of Great Britain a few hundred years before the invasion of Anglo-Saxons was British Latin, a linguistic descendent of Roman Britain. As Tristram has it, "the acculturation of the speakers of British Latin presumably was a fast one, taking only perhaps two generations or even less" (Tristram 98). This remarkable phenomenon came into existence due to the strong influx of Anglo-Saxon population from the Continent in 5th and 6th centuries as well as due to the extreme fall in the number of inhabitants after the Roman troops had withdrawn from their British bases. All that helps us to understand why the South East, as regards linguistic changes, was the least progressive part of the Isles. The cross language contact in this rather small zone was only fleeting, thus leaving no "scars" or "bruises" on the grammatical "skin" of Old English.

If we take into consideration the fact that the demise of the prefix *ge-* had already started in Old English, and particularly under the influence Old Norse and Welsh, the cross language contact may also provide an explanation why the loss of the Old English *ge-* was recorded as late as in Middle English. The relevant fact is that Old English was subjected to foreign influence only in its spoken form, the written form was strongly codified due to the well-known language activities of Alfred the Great. Only after Norman French had replaced Old English as the official language of law, administration, etc., the spoken form of Old English could have surfaced in writing.

Moreover, as Tristram claims, the language contact was likely to have produced diglossia in Anglo-Saxon England. "Anglo-Saxon societies consisted of OE_H used by a very small elite of largely Continental Germanic ancestry and OE_L spoken by the bulk of the population" (Tristram 87). Unlike the speakers of the high form of Old English (OE_H), whose language was kept constant throughout the whole Anglo-Saxon period, the speakers of the low form of Old English (OE_L) were in contact either with pre-Germanic population (Celts) or with the descendants of invaders (Vikings). Due to intermarriage with foreigners or through a certain type of acculturation, the Anglo-Saxons modified their communicative system. They acquired a number of Brittonic and Scandinavian grammatical features (see above), which appeared as "sudden" changes in Middle English. Nevertheless, the extent of such influence is not clear yet, and more textual evidence must be employed to document the level of interconnectedness between internal (systemic) and external (language contact) scenarios.

Last but not least, to consider one more aspect of the Germanic *ge-*, the societal multilingualism is capable of providing the answer for one question that has already been posed here above: Why do we find the prefix *ge-* in contemporary Dutch and German, but not in contemporary English? Presumably, unlike English, Dutch and German have not experienced the linguistic contact with languages of 'analyzing' tendencies to such a degree

that these could have become triggering points of any significant grammatical shifts. As a result, whereas in Dutch and German the original *ge-* has been kept, English has evolved new grammatical means to perform the chief function of the mysterious prefix, namely, its role as a perfective aspect marker.

Concluding remarks

The aim of this paper has been to draw the attention of the reader towards certain facts concerning the Germanic prefix *ga-*, especially its role in Old English and its gradual loss which was recorded in Early Middle English and continued in later periods. It has been argued that the crucial factors determining the final disappearance of the prefix are not the phonetic regulations in isolation. As a result, we have attempted to investigate both internal systemic changes and external sociolinguistic conditions that could provide a more reliable explanation of the issue.

Our investigation and interpretation of Old English and Middle English material allow us to conclude that the process of depletion of the prefix in the form of *ge-* was launched in the category of verbs or nouns; only later, due to analogy, it affected other parts of speech (e.g. adjectives and adverbs). Presumably, a down-turn in this type of verbal prefixation could be explained by a number of changes that were documented on a larger scale in the Middle English period, namely, the loss of inflectional endings, the new Subject-Verb-Object word order and the appearance of new post-verbal particles. Owing to these innovations, the semantico-syntactic distinction of the Old English prefix *ge-*, mainly its function as a marker of past participle, was no longer guaranteed; it had become redundant and largely ornamental, and could therefore be dispensed with.

Moreover, the fact that spoken Old English was under the external influence of other languages, Brittonic and Old Norse in particular, could have also participated in the reduction and final loss of the prefix *ge-*. Both languages significantly collaborated on the grammatical remodelling of the English language. It has been stressed that the sociolinguistic conditions, especially cross language contacts, are capable of providing relevant information for appropriate understanding of the respective issue discussed. However, the extent of their participation as well as the degree of the interconnectedness of internal and external factors would have to be left for further research.

As a final concluding point, it should be noted that the above lines are exactly what we have already labelled in the title of the article: only a few whims that do not aspire to draw definite conclusions. Apparently, the mystery of Old English *ge-* and its demise will continue to the following years of 21st century. Or, as Pilch states: "Über ae. ge- herrscht noch immer weitgehende Unklarheit" (129).[20]

Notes

[1] Translated, after James' Version, as *"And when they heard it, they were glad, and promised to give him money. And he sought how he might conveniently betray him"*.
[2] Examples are from Chaucer's *Canterbury Tales*, and *The Legend of Good Women*.
[3] In the Modern English phonetics the phenomenon is referred to as New English Gradation.
[4] English has always appeared to be a highly logic and economical language, and hence we would only hardly believe that *ga-* was a mere ornament, one of poetic embellishments.
[5] As far as we know, only the Gothic *ga-* was paid a closer attention to, and that in its „verbal" occurrences only (A. Beer, 1921: Part 3). The Old English *ge-* was mentioned and dealt with by many scholars (see further on), but not consistently enough. However, as we can never be sure that no other contribution parallel to ours has never been written, and also because of the respect we are bound to

take to those who have worked „in the field", we added the word *„revisited"* to the title – therefore *„Whims of the Old English Prefix ge- Revisited"*.
[6] The symbol *„0-"* should only be understood as the absence of *ge-*, as in *hieran* as contrasted to *gehieran*. It means that other prefixes can be present, e.g. *ed-* in *edniwian*.
[7] This term was coined by Eldredge and Gould, and appeared for the first time in their revolutionary paper "Punctuated equilibria: an alternative to phyletic gradualism", which started a new research program in paleontology.
[8] R. M. W. Dixon is a specialist in Australian, Polynesian and South American languages, and as such he illustrates his theory with examples taken from Australia and Latin America. Obviously, many other languages have not been taken into consideration.
[9]August Schleicher (1821–1867) is one of the most renowned 19th century linguists. As the chief representative of so called linguistic naturalism, he was influenced by Darwin's conception of evolution, and viewed language as a living biological organism.
[10] On the contrary, there have been several attempts to apply Darwin's theory in the field of morphology in recent years, for instance, Dollinger.
[11]The verbs with perfective meaning marked by *ge-* are still in use in Modern German and Dutch.
[12] Examples are taken from Ælfric's *Homily on St. Gregory the Great* (Gregorius and the English Slaves).
[13] This dialogue is one part of a longer text called *The Hunter*, which is included into Ælfric's *Colloquy*.
[14] A phrasal verb is a verb consisting of a lexical element and particle(s). (After Crystal 453).
[15] English translation of the *Septuagint* translated by Sir Lancelot Charles Lee Breton (1807–1862), originally published by Samuel Bagster & Sons, Ltd., London 1851.
[16] The aphaeresis is the loss of initial 'g' in the prefix 'ge'.
[17] By the term Brittonic we understand the eastern branch of Celtic languages, for example, Welsh or Cornish. For details see, for instance, Bičovský.
[18] Contrary to Crystal, some academics (e.g. Singh) argue that creolization would not likely have occurred in the earlier stages of the development of English.
[19] Although the main word order in Welsh or in other Brittonic (brythonic) languages is VSO, the object at the end of structure may have participated on the development of post-verbal particles.
[20] "Old English ge- still exhibits widespread uncertainty." (Our translation.)

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Thoughts on the Semantic Relationship between Direct Speech and Reporting Clause with Regards to FSP

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Abstract

The present paper deals with the issue of direct speech from the viewpoint of Functional Sentence Perspective. It focuses on the semantic relationship between direct speech and its reporting clause, and it particularly draws attention to the communicative role of the speaker. The study is based on the analysis of a fiction text. Its aim is to show that the communicative importance of the speaker within reporting clause is higher than it might have been expected.

1. Introduction

Numerous fields and levels of language have been studied from the viewpoint of the theory of functional sentence perspective (FSP) since this linguistic theory was defined by Jan Firbas. But there still remain various specific issues that deserve attention and further investigation. Among them has also appeared the problem of reporting the language of others, namely direct speech.

The theory of FSP studies language at the very moment of communication. It deals with language at its most relevant instant, i.e. the moment when language fulfils its primary function – that is, getting a message across to the listener. Basically, FSP means the distribution of elements with certain degrees of communicative dynamism (CD) within a basic distributional field (e.g. a sentence). By CD we mean the relative extent to which each of the elements contributes to the development of the communication (Firbas, 1975, 49). The elements are either ones towards which the communication is perspectived (**rheme**), or conversely, ones from which the communication is perspectived (**theme**). The Firbasian concept also introduces another communicative unit – **transition**, which are elements that form sort of a dividing line between the thematic and rhematic parts of a distributional field. Jan Firbas identified four factors which influence the degree of CD of each of the sentence elements - context, linearity, semantics and intonation. The first three of these – linearity, context and semantics – play an important role in written discourse, whereas in spoken discourse we meet all of them including prosodic features, which in this case act as the most important factor.

The findings presented in this paper are based on the analysis of a text excerpt from the Czech novel Krakatit by Karel Čapek. The text was analysed with respect to dynamic semantic functions and compared with the analysis of its English translation by Lawrence Hyde. In the course of my research I became particularly interested in the relationship of the individual elements of the direct reports (see below) because this particular issue turned out not to have only one straightforward perspective.

2. Direct speech (DS) and reporting clause (RC)

Before proceeding to the main concern of this study, which is the distribution of dynamic semantic functions within the unit consisting of direct speech and its reporting clause, it is necessary to gain a complex picture of the issue – to understand the problems of the structural relationship between DS and RC as well as the theory of dynamic semantic functions as such.

2.1 Terminology

At this point, I feel it useful to introduce the terminology I have chosen for the present paper so that the terms used here will not cause any misunderstanding. This is especially necessary in the case of syntactical terms for the individual elements of the direct report (see below), as different terms are used in various grammars and thus might be confusing for the reader. Let me explain the individual terms using example (1):

"I have decided to support alternative energy," said the prime minister. (1)

In agreement with the terminology used by Greenbaum and Quirk (1990), I decided to use the usual term **reporting clause (RC)** for the part including the speaker and the reporting verb (*said the prime minister*), and the term **direct speech (DS)** for the utterance (*"I have decided to support alternative energy"*). Various grammars, e.g. by Carter and Mc Carthy (2006), use the term 'reported speech' for the utterances. However, the same term is also used for the equivalent part of the indirect report and thus I have chosen simply to use the term 'direct speech' in order not to mislead the reader to an opinion that the same rules that are presented in this paper might be applied also for indirect speech. The whole communicative unit *("I have decided to……", said the prime minister*.) will be referred to here as the **direct report**, the term used by Carter and Mc Carthy (2006).

Furthermore, I decided to refer to the person who utters the direct speech as the **speaker.** I am aware of the fact that the same term is used in FSP to refer to the author of the whole communicative unit, i.e. the direct report in this paper, but no other term has been found more suitable for my purpose. Thus the term 'speaker' should be distinguished here from the person who utters the whole direct report and who will be termed in the present paper **the narrator.**

2.2 Syntactic functions and their representatives

The syntactic relationship between DS and RC is rather a complex issue, as has been pointed out by Greenbaum and Quirk: *"*The structural relationship between the reporting clause and direct speech is problematic. In some cases direct speech seems to be a direct object (1), but in the other examples, the reporting clause seems subordinate (2)" (298).

Peter said: "The situation is difficult." (1)
"The radio is too loud," complained Elizabeth. (2)

"Sometimes, we can view the reporting clause as subordinate, functioning as an adverbial. Thus, like most adverbials it can be positioned variously and can – at least sometimes – be omitted. Both syntactically and semantically, it resembles the most important type of comment clause" (1023). Compare (3) and (4):

"This war," they assumed, "might turn out to be the worst war conflict ever." (3)
This war, it is assumed, might turn out to be the worst war conflict ever. (4)

2.2.1 DS as object

In certain cases (1) direct speech may be looked upon as the direct object. This is supported by the fact that we can ask a *what*-question and receive direct speech as an answer (Quirk et al 1022):

A: What did Peter actually say? B: "The situation is difficult." (5)

The length of the DS may very. It might comprise one word, a sentence, or it might even extend over several sentences. Often the direct speech might also stand on its own, i.e., it is

not preceded or followed by a RC (Quirk et al 1021). This happens when the author of the respective DS has been mentioned recently in the text and thus his or her identity is obvious from the context.

DS might occur before (6) or after (7) the RC. Moreover, in fictional written texts it is often freely divided into two parts with the RC taking the medial position (8) (Quirk et al 1022).

"I am too tired," said Thomas. (6)
Peter suddenly said," I won´t go with you. Sorry." (7)
"What if," exclaimed suddenly John, "we just skip this senseless argument?" (8)

2.2.2 RC and its members

RC refers to the speaker (i) and the act of communication (ii). As such it can consist of two basic sentence elements – subject and reporting verb. However, it may also often include additional elements such as the person spoken to (iii), the manner of speaking (iv), or the circumstances of the utterance (v) (Quirk et al 1020):

"Sorry, I didn´t mean it," she (i) answered (ii) him (iii) quietly (iv) while looking outside the window (v). (9)

The speaker forms the subject of the RC and may be expressed by personal noun (10), pronoun (11), or any other noun that provides the reader with the precise identification of the speaker (12).

"I am not sure whether it is a good idea or not," said Peter. (10)
"It is not exactly a brilliant idea," he remarked. (11)
"Are you OK?" asked the man in black. (12)

Subjects of RCs in English may take one of two possible positions. Either the subject occupies the initial position within the reporting clause (13), or subject-verb inversion may occur, i.e., the subject is placed after the reporting verb (14). Inversion does not usually take place if the subject is expressed by a pronoun (Quirk et al 1022):

"I do not agree," he answered sharply. (13)
"I cannot help it," said Peter. (14)

Verbs in the RC do not express only the act of speaking (15) but also an unspoken mental activity, i.e. an act of thinking (16).

"I keep it to myself, " murmured Peter quietly. (15)
"Let him look, " thought Prokop uneasily. (16)

In cases where the RC is in medial or final position with respect to the DS, a subject-verb inversion may occur. The inversion is possible if the verb is in the simple present or simple past tense. The inversion usually takes place if the subject is not a pronoun (Quirk et al 1022).

President said: "Every citizen has the responsibility for development of our country." (17)
"Every citizen," said president, "has the responsibility for development of our country." (18)

Apart from its two basic elements, i.e., subject and verb, a RC may also include other information such as the person spoken to (object), the circumstances of the speech act

(adverbial of time, manner etc.), or the manner of speaking (adverbial of manner). The circumstances of the speech act can be expressed by a simple word (19) as well as an infinite (20) or a finite clause (21) (Quirk et al 1020):

"No, I haven´t been there," he exclaimed *again*. (19)
"This place is wonderful," said Sarah *looking outside the window*. (20)
"Let´s tidy up the mess," father said *as soon as the guests had left*. (21)

Basically, all the other functions follow the verb or the subject (in case of subject-verb inversion) and usually keep their positions as within statements.

"Sorry, I didn´t mean it, " she	answered	him	quietly	while looking outside the window.		
S	**V**	**O**	**Ad(Manner)**	**Ad(Time)**		(22)

2.3 Dynamic Semantic Functions (DSF)

The Brno theory of functional sentence perspective elaborated by Jan Firbas identifies what is called dynamic semantic functions of the individual sentence elements. These are the semantic functions that the elements perform in a particular context at the very moment of communication. In other words, the elements not only become the elements **towards** which the communication is perspectived (rheme), or conversely, the elements **from** which the communication is perspectived (theme) but their function may further vary according to the context of the given discourse. In his *Functional Sentence Perspective in Written and Spoken Communication* Firbas proposes two possible perspectives of the communication which influence the individual dynamic semantic functions within the particular distributional field (e.g. a sentence). Either the unit may be oriented towards the phenomenon expressed by the subject, or it may be perspectived towards the quality ascribed to the phenomenon expressed by the subject (5-6).

Firbas established two scales that reflect the two above patterns. One of them reflects the presentation of a phenomenon on the scene and is called the Presentation Scale. The other reflects the ascribing of a quality to a quality bearer and is called the Quality Scale.

2.3.1 The Presentation Scale

The Presentation scale usually consists of three dynamic semantic functions expressed by individual elements of a distributional field: Setting (Set), Presentation of Phenomenon on the Scene (Pr) and Phenomenon presented on the Scene (Ph):

SETTING – PRESENTATION – PHENOMENON

The Setting, or we may also say the scene, forms the background, which is usually known to us and upon which the Phenomenon is presented, e.g. the temporal or local conditions of its appearance/existence. As such it forms the theme of the distributional field. It is often contextually dependent and it is often (not always) expressed by adverbials of time or place.

Presentation of the phenomenon is expressed by the verb. There are verbs that convey the meaning of appearance or existence of the phenomenon on the scene explicitly e.g. *appear, exist, come, come up, come to sight* etc. or some other verbs which DSFs must be decided by taking into account the contextual environment in which the sentence is presented. The verb forms the transition of the distributional field because it is more important in the flow of communication than the information conveyed by the Setting, on the other hand, it "only" serves to introduce the most important information conveyed by another communicative unit, i. e., the phenomenon presented.

The Phenomenon is mostly expressed by a subject. If the subject is context-independent, it usually becomes a successful competitor of the verb and as such it forms the rheme, i.e., the element towards which the communication is perspectived.

In the Czech language, which employs flexible word order, a Phenomenon is usually realized at the end of a sentence. English, by contrast, has a fixed number of positions in which a subject may occur because it mostly follows the grammatically fixed S-V-O sequence.

A sentence reflecting the Presentation Scale with the distribution of its individual dynamic semantic functions might be as follows:

A strange man	entered	the room.	(23)
Ph	**Pr**	**Set**	
Do místnosti	vstoupil	podivný muž.	(24)
Set	**Pr**	**Ph**	

2.3.2 The Quality Scale

The other of the two perspectives towards which a sentence is oriented is that of ascribing a quality to the phenomenon expressed by the subject. The basic DSFs appearing on the Quality Scale are the Quality Bearer (QB) and the Quality (Q). If there are elements which further develop the communication by specifying the ascribed quality, they function as the Specification (Sp).

QUALITY BEARER – QUALITY – SPECIFICATION

The significance of the Quality Bearer for the development of communication is usually lowered by its contextual dependency, and it represents a thematic unit of the respective distributional field.

The Quality is usually represented by the verb. The verb only fulfils the function of the most important information (rheme) if there are no other elements which would push the communication even further than the Quality. Otherwise it becomes transition.

The Specification is formed by elements carrying amplifying pieces of information, and it is usually expressed by context-independent objects or context-independent adverbials.

A particular distributional field within which the Quality Scale is realized may also contain background information of low communicative importance, e.g. temporal/local circumstances (Setting). On the other hand, the distributional field might further include information that develops the communication beyond the Specification (Further Specification).

SETTING - QUALITY BEARER – QUALITY – SPECIFICATION – FURTHER SPECIFICATION

A sentence reflecting the Quality Scale with the distribution of its individual dynamic semantic functions might be as follows:

Our dog	barked	at our neighbour	yesterday	(25)
QB	**Q**	**Sp**	**Set**	
Náš pes	včera	štěkal	na souseda.	(26)
QB	**Set**	**Q**	**Sp**	

(example taken from Svoboda, 1989)

2.3.3 The Combined Scale

Due to the specific intentions of the author of the utterance, the two above perspectives might co-exist in one distributional field. This eventual combination is called the Combined Scale. If implemented in full, it can be pictured as follows:

Set → Pr → Ph → QB → Q → Sp → FSp

Now	there	came	another man,	walking	towards him	with his hat drawn down over his eyes	
Set	**Set**	**Pr**	**Ph/QB**	**Q**	**Sp**	**FSp**	(27)

2.4 Direct report and the semantic scales

2.4.1 Direct Report and the Presentation Scale

Under certain conditions, it is possible to look upon the direct report as reflecting the Presentation Scale. This point of view is based on the idea that the message of the utterance is the phenomenon which appears on the general scene.

The notice	said,	"No smoking,"	
Sc	**Pr**	**Ph**	(28)

The example (28) clearly shows that though formally this distributional field evidently reflects a direct report, the role of the speaker is taken over by an element which could be understood as a locative element. This confirms its possible function of the Scene. As Dušková says: "The possibility of construing the same semantic element as subject or adverbial can serve as a means of FSP" (182).

This interpretation of the (28) might be supported by the example from the analysed text, which basically expresses the same notion:

… kde	stálo	na skleněné tabulce:	Plinius.	
Set	**Pr**	**Set**	**Ph**	(29)[1]

But generally, the Scene would have to be considered here in a broader context than just the temporal and local setting of the Phenomenon. It might be said that certain elements in the reporting clause which serve to introduce the particular phenomenon, i.e. the direct speech, function as the scene on which the phenomenon appears. This includes "the speaker" or any other element in the RC which is of less importance in the development of the communication than the reporting verb. The reporting verb carries the transitional characteristics and serves to present the DS to the reader. Therefore the verb might be considered as the Presentation of the message. Finally, the respective direct speech is information which either brings some new findings of the speaker, his or her thoughts, or confirms or refutes the ideas mentioned in the previous text. It might be looked upon as the compact rhematic phenomenon which is introduced on the general scene within the act of speaking. From this point of view, the direct speech might function as the Phenomenon presented on the scene and assists in constituting the Presentation Scale:

"Krakatit,"	muttered	Prokop.	
Ph	**Pr**	**Set**	(30)

However, I am well aware of the fact that generally this concept would work contra the basic Firbasian perception of the semantic scales, in which the communication:
"…perspectives (i) either towards the phenomenon presented by the subject, or (ii) towards the quality ascribed the the phenomenon expressed by the subject or beyond this quality…"

(*Functional Sentence Perspective*, 66) Yet, it is not the only case, where this basic definition could not be applied.[2]

2.4.2 Direct Report and the Quality Scale

With the information offered in 2.3.2 we might also look upon the semantic relationship between the direct speech and the reporting clause as that of ascribing a quality of speaking to the subject and specifying it by the direct speech:

He	added:	"A frightful thing, you know."	
QB	**Q**	**Sp**	(31)

The subject of the reporting clause, i.e., the speaker, might be regarded as the Quality Bearer because he or she bears the quality of speaking, mumbling, shouting etc. The act of speaking cannot be considered as the most important information in the direct report as it is further modified by what is being said, i.e. the message expressed by the direct speech. As such it pushes the communication furthest and carries the highest degree of CD within the respective distributional field. Thence, from the viewpoint of dynamic semantic functions, the direct speech functions as the Specification of the reporting verb.

"Krakatit,"	muttered	Prokop.	
Sp	**Q**	**QB**	(32)

2.4.3 Direct Report and the Combined Scale

In the two possible points of view concerning the semantic relationship between direct speech and the reporting clause presented above (in 2.4.1 and 2.4.2), the direct speech was considered as the most important element of the respective distributional fields. The perspective of the direct report was clear and unequivocal – towards the direct speech. In this respect, it does not show any signs of perspective mergence and thus cannot be looked upon as a reflection of the Combined Scale as presented by Jan Firbas.

3. Reporting Clause and the Role of Speaker

In certain cases (28) it seems more than obvious that the respective distributional fields may be looked upon as reflecting the Presentation Scale. On the other hand, I believe that this is not applicable generally. If the DS were seen as the Phenomenon and the speaker as the Scene (30), the Scene as a dynamic semantic function would have to be understood as a very broad concept. This might significantly blur the dynamic semantic functions as proposed by Jan Firbas. Therefore, I generally incline to view the direct report as reflecting the Quality Scale.

In both suggestions above (2.4.1 and 2.4.2), the speaker was considered to be a purely thematic element. One crucial factor of the direct report has so far been omitted, and that is the actual importance of the identification of the speaker, without which the dialogue would become unintelligible. Therefore, let me introduce here another point of view on the DSF of the subject of the reporting clause, i.e., the person speaking.

3.1 Dynamic semantic function of the speaker

3.1.1 Presence of the RC and the identification of the speaker

Most of the analysed distributional fields of the direct reports contained both its parts, i.e. the direct speech and the reporting clause. The only cases where RCs do not follow or precede the units of DS are those where the speaker is easily retrievable from the preceding context.

[The man seized him by the arm.] "Wait, first of all you must sit down. Do you understand?" (33)

The absence of the RC proved to be dependent on various factors. The speaker has either been mentioned in the previous sentence, so it is unmistakably him or her who utters the direct speech (33). Also, the isolated DS might be an answer to a question – a response that is undoubtedly pronounced by a speaker whose name has been mentioned before, which makes it apparent who is replying (34). Or, the speaker may state his or her name (or perhaps the names of the addressed people) as part of the direct speech (35):

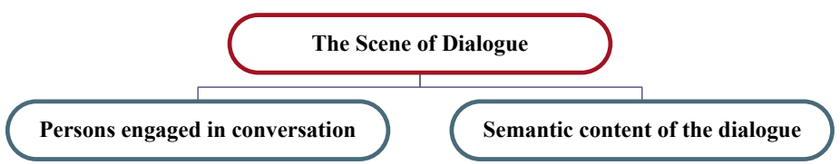
["So you've still got a father," said Prokop after a moment with sudden gentleness.]
"Well, yes. A doctor in Tynice." (34)

"Don't you know me? I'm Thomas. Thomas from the Polytechnic. Don't you know, now?" (35)

As can be seen from the above examples, the reporting clauses were omitted only due to one reason - the speakers´ names or any other specifications of their identity were mentioned elsewhere. It means that the presence of the RCs was not essential for the reader only because he/she could easily distinguish the person speaking and therefore understand the dialogues without any doubt.

3.1.2 Sub-scene of dialogue

In the analysed direct reports containing the reporting clauses, the vast majority of the RCs contained context-dependent subjects. This leads us to the opinion that the subjects do not need to be repeatedly introduced on the general scene because they are known to the reader from the preceding context. On the other hand, without the presence of the subjects, the dialogues would become incomprehensible. From this point of view the speaker needs to be introduced in the text again and again. It might be said that there exists a sub-scene upon which the speakers repeatedly occur. This is the scene of the particular dialogue and it is formed by:



The significance of the scene of dialogue for the reader consists in the fact that the reader needs to distinguish between the persons engaged in conversation. The semantic content of the direct speech also needs to be understood in context with its author because it often carries references to the particular speaker. If the speaker were not present, these references would loose their semantic core.

speaker
↕
"**I´m** like a thread," said Prokop, surprised. (36)

Simply said, if the author were not present in (36), the reader would not be able to decipher to whom *I* refers, and so the given feeling *be like a thread* would lose its importance in the development of the conversation because the reader would not be able to connect the respective feeling with the relevant person engaged in the conversation.

3.1.3 Gamut of functions

With respect to the reasons offered in the preceding section, it is evident that the subject of the RC is more important than simply being a thematic bearer of a quality of saying, muttering, mumbling etc. Its function in the respective distributional field is more significant for the successful proceeding of the communication than that of the Quality Bearer. Therefore I believe that the precise identification of the speaker, his or her name, or other unequivocal characteristics, is to be taken partly as the Phenomenon that appears again and again but with the same importance on the scene of the dialogue. Moreover, the DS might be looked upon as a means used by the author to remind the reader of the speakers´ existence on the general scene. On the other hand, it is not possible to omit the obvious communicative importance of the DS within the respective distributional field. The issue proves to be highly complicated, as there is not a simple one-way perspective of the direct report. The semantic content of the DS is important for the general scene of the narrative and hence it might be said that it constitutes the rheme of the direct report (37). On the other hand, the RC has its significance on the sub-scene of a dialogue, because it is a means which serves to introduce its subject, i.e., the speaker, on the scene. In other words, the inner distribution of DSFs within the RC part of the direct report is then oriented towards the speaker as the Phenomenon (38). From this viewpoint, the direct speech and the reporting clause might function as semantically independent of each other, following different progressions:

"Krakatit," muttered Prokop. (37)
Sp **Q** **QB**

"Krakatit," Thomas (implied) muttered Prokop. (38)
(semantic content of the dialogue) (the other person engaged in conversation)
Set **Pr** **Ph**

It is clear that the direct speech and the reporting clause exist on partially different scenes. Still, with respect to the reader who perceives the narrative as a whole, the respective units should be taken as a complex distributional field with two slightly different perspectives, one towards the uttered message and one towards the identification of the speaker. I believe that the actual semantic content of the direct speech remains the most important information of the direct report.

Hopefully, the above information has proved that it is not possible to look upon direct speech in an unequivocal way concerning the distribution of DSFs. Due to this, it seems rather difficult to imply the Firbasian concept of the semantic scales in case of the direct reports unless we speak of a special kind of combined scale, or rather two overlapping scales within one distributional field.

3.2 Other dynamic semantic functions in the RC

The other elements of the RC apart from the subject and reporting verb (2.2.2) do not seem to have one definite solution from the FSP point of view. Some of them express background information such as the person spoken to or temporal or local circumstances of the speech act, and show little significance for the further development of the communication. Thus they act as the thematic elements, which form the scene and function as the Setting:

"And so, you ´re still on explosives?" he asked him after a moment. (39)
Sp **QB/Ph** **Q** **Set** **Set**

On the other hand, in the course of my research other elements appeared which seem to play an important role in pushing the communication forward. They serve to inform, for example, about the physical state of the speaker or his relationship to the addressee, which might be new information and may have significance for the further development and understanding of the text:

"Thomas,"	repeated	Prokop,	utterly indifferent	to what the name might signify.	(40)
Sp	**Q**	**QB/Ph**	**Sp**	**FSp**	

In (40) it is necessary to understand that the *´utterly indifferent to what the name might signify'* is signalizing the present physical state of Prokop, which plays the most important role within the whole text. Whether the communicative value of these elements is high enough for them to act as rhemes, i.e. the Specifications of Further Specifications, or whether the information conveyed in these elements is only "supporting" information and as such act as diatheme of the distributional field is to be proved by further research.

4. Conclusion

As seen from the above text, the analysis of the direct speech and its reporting clause does not seem to offer a single and unequivocal solution – not only from the syntactic point of view but also from the viewpoint of FSP.

Concerning the syntactic part of the problem, the direct speech might be in some cases taken as the direct object. In other cases it is the reporting clause that seems to be subordinate, and it resembles a comment clause.

From the viewpoint of FSP, it is relatively difficult to establish the individual dynamic semantic functions of the respective elements and to place them on one of the three types of Firbasian semantic scales. There are types of direct report that seem to follow the Presentation Scale (2.4.1). Generally, however, the distribution of DSFs within the direct report reflects the Quality Scale (2.4.2)

The present paper draws attention to the communicative importance of the speaker. The speaker plays a crucial role on the scene of the particular dialogue, because without the knowledge of the speaker, the dialogue would become incomprehensible. This paper has attempted to present the problem of two partially independent and partially interlinking scenes upon which the direct reports appear. I hope the paper will contribute to the elaboration of the theory of Firbasian semantic scales, or, at least, draw attention to further aspects of language that deserve to be studied from the FSP point of view.

Notes

[1] All examples adduced from this point further (examples 29-40) are taken from English translation of Karel Čapek´s *Krakatit* called *An Atomic Phantasy*.

[2] Not only is existence of such cases proved by the analysis of more than 1200 distributional fields, which was conducted for the purpose of my diploma thesis, but for more such examples, see Dušková (1999)

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Communicative Dynamism and Nonverbal Elements (a study in functional sentence perspective, bodily movements and communication strategy)

Lenka Sedlářová

Abstract

The paper deals with the issue of communicative dynamism. It investigates the relation between speech and nonverbal features performed by the American actors in the American feature film American Beauty (1999). It discusses different approaches to communicative dynamism and presents conclusions based on the gesture-speech analysis within the theory of functional sentence perspective. It introduces the concept of visual prominence and presents the statistics showing the co-occurrences between speech and the places of visual prominence.

Keywords: communicative dynamism, communication strategies, eye expressions, functional sentence perspective, visual prominence.

Introduction

The present paper forms part of a study dealing with the theory of functional sentence perspective and bodily movements. The study is based on an analysis of the stylized dialogues and posed nonverbal elements accompanied by speech performed by the American actors in the American feature film *American Beauty* (1999). The paper attempts to shed light on the relation between the concept of communicative dynamism and the nonverbal aspect of utterances.

Firstly, the issue of communicative dynamism will be discussed. Further, the present gesture-speech topic will be examined in the context of the results achieved in this field by the world's leading gesture-speech analysts. Finally, the analysis based on the *American Beauty database* (part of the Ph.D. thesis titled *Nonverbal features accompanying communicative units in an American feature film*) will be presented.

Theoretical background

First I will investigate the way in which Firbas's functional approach to linguistic analysis shares similarities with the approaches adopted by the world's two leading experts in nonverbal communication, David McNeill and Adam Kendon. At this point it should be emphasized that Professor Jan Firbas primarily worked in the field of linguistics, while the American Professor David McNeill is a psychologist and linguist, heavily drawing on Adam Kendon's micro-analytic gesture-speech studies. The British Professor Adam Kendon is a psychologist, anthropologist and biologist. Therefore any discrepancies in their respective approaches to the study of language seem to also stem from their distinct perspectives on the interdisciplinary field.

Jan Firbas states that communicative dynamism is "a quality displayed by communication in its development (unfolding) of the information to be conveyed and consisting in advancing this development" (Firbas "Functional view" 30). He defines the degree of communicative dynamism carried by a sentence element as "the extent to which the sentence element contributes to the further development of the communication" (31). Firbas views

communication as a dynamic phenomenon, therefore he considers it necessary to take its dynamic character into account when carrying out linguistic analysis.

Drawing on Firbas, Aleš Svoboda summarizes that the communicative dynamism (CD) of particular sentence elements can be compared in terms of the relative degrees of CD carried by them. What determines the relative degree of communicative dynamism is the interplay of the four factors at the moment of utterance, i.e. linearity, semantics, context and intonation. Relative degrees of communicative dynamism represent degrees of communicative importance (Firbas "Functional view", Svoboda *Encyklopedický* 2002).

McNeill makes an attempt to adopt Firbas's concept of communicative dynamism in his *Hand and Mind (What Gestures Reveal about Thought)* (1992), though he does not stick to the original Firbas's definition of CD (first introduced in Firbas "K otázce"). McNeill does not consider Firbas's four factors and their interplay. He only seems to select one of them – context - defining it in different words. To support my claim I quote his statement that "Since word order is insufficient as an index of CD in English, we need some other measure. I have chosen the *amount* of linguistic material used to make the reference." (McNeill *Hand* 210). The discrepancy between McNeill's and Firbas's or Svoboda's conception of communicative dynamism is thus apparent, although the basic notion of it concerning "pushing the communication forward" (Firbas "Functional view" 30-31; McNeill *Hand* 207) might overlap.

When discussing communicative dynamism, McNeill states that "the discourse structure not only has a highly differentiated effect on the types of gesture that a speaker performs but it also is a major determinant of when a gesture is likely to occur, and of how complex it is if it does occur" (McNeill *Hand* 206-207). Approaching the issue of gesture-speech correlations from his perspective, McNeill argues that "Variations in CD [communicative dynamism] have a decisive effect on the occurrence of gestures. Gestures appear at the peaks of the CD on their level; points of low CD tend to be devoid of gestures of any type." (207-208). Furthermore, McNeill divides his considerations on communicative dynamism and gesture into those concerning sentence level and those at the level of episode, i.e. text.

On the former topic he concludes that "the greater the CD the (a) more probable the occurrence of a gesture, and (b) the more kinesic complexity the speaker will devote to it, if a gesture occurs at all." He expects the correlation between "a function of increasing CD" (208) and gestures as follows: highly thematic references are accompanied by no gesture, beats, pointing on the narrative level, observer-voice iconics with one hand and some highlighting, observer-voice iconics with two differentiated hands and finally character-voice iconics, which signal the places of the highest communicative dynamism according to McNeill (208-209).

The latter subchapter in McNeill's book is titled *Dynamics at the Episode Level* (McNeill *Hand* 213-217). It attempts to describe "peaks of CD on the text and representational event lines" (213). In terms of Firbas's theory of functional sentence perspective, the analyses presented in the above-mentioned subchapter investigate the relation between occurrence of gestures and the context-dependence of their semantically connected spoken counterparts. The results show that gestures seem to mainly accompany newly or recently introduced elements, which once established, do not require the nonverbal parallel any more.

Unlike McNeill, Kendon does not mention the concept of communicative dynamism at all. However, he speaks about "the high information word of the phrase" and its coordination with the stroke phase of the gesture (Kendon *Gesture* 119). Commenting on the gesture-speech issue, he claims that the tonic centre of the tone unit, the high information word or the information centre of the speech phrase and the stroke of the gesture phrase all occur at one moment (125).

Analysis

In what follows, the gesture-speech analysis of the posed bodily movements and spoken word in the American film *American Beauty* (1999) will be presented. Firbas's and Svoboda's results in the framework of the theory of functional sentence perspective are a unique starting point for the analysis of speech and its relation to bodily movements as the theory is capable of establishing a hierarchy of sentence elements carrying relative degrees of CD distributed over them. The analysis will also make use of the fact that this hierarchy can be related to the nonverbal aspect of the utterance. The present analysis thus attempts to shed light on the relationship between the two different manifestations of one underlying process, the spoken and the nonverbal one.

The theory of functional sentence perspective has already been referred to and mentioned as the framework for the analysis. The interdisciplinary character of the topic, however, requires a new approach which will provide a tool for relating the nonverbal aspect of the utterance to the spoken one. In correspondence with degrees of prosodic prominence (O'Connor and Arnold *Intonation* 1980), I claim that nonverbal elements seem to reflect distinct degrees of so-called visual prominence.

In 1970 Ray L. Birdwhistell described the phenomenon of "kinesic stress" (*Kinesics* 103-107). I have adopted the basic idea of his kinesic stress, modifying its definition. In the *American Beauty database* (part of Ph.D. thesis defended by Sedlářová in 2009), which forms the basis for the present analysis, the places of so-called "nonverbal stir", marked as 'Kinesic stress', involve any gestures and facial expressions bearing symbolic or deictic meaning, and rhythmic movements such as blinks, head nods, slight body shifts, even those made for extralinguistic purposes, e.g. lifting things etc. Such gestures, facial expressions and other bodily movements can thus be connected with distinct levels of abstraction and vary in their size or volume. These different levels and volumes of the movements may be compared to the factors contributing to the prominence of stressed syllables, i.e. loudness, length of syllables, distinction of pitch, and distinction of vowel quality (Roach *English Phonetics* 93-94) (the analogy was suggested by Svoboda at a meeting on 28 May 2008). In summary, the factors contributing to what we call visual prominence involve stroke phases of gestures, movements distinct from the others in terms of their volume (size), shape, the force used at their production, their place of production, as well as the level of abstraction. Therefore, for example a slight synsemantic head nod and an autosemantic symbolic hand gesture can reflect a certain hierarchy in which the symbolic hand gesture wins.

In the *American Beauty database* (2009) the hierarchy of kinesic **s**tresses was marked. The visually most distinctive places were marked in capitals, KS. If more places of visual prominence appeared within one distributional field, and it was not possible to establish a hierarchy among them by means of comparing their volumes or levels of abstraction, they were all labelled KS, no matter which linear position they took. Furthermore, kinesic stresses of secondary character, which were of minor distinction in relation to the places of visual prominence, were denoted with lower case kss.

In addition to places of the occurrence of kinesic stresses, sections of the film appeared which were accompanied by nodding, shaking the head, or a hold phase of the gesture during particular words. These sections were marked at their beginnings as *KSBS,* or *ksbs* and at the ends as *KSES,* or *kses*.

Table 1 illustrates the hierarchy of visual prominence within one of the distributional fields of communicative dynamism in *American Beauty* (1999). It shows the way the actor playing the role of Lester Burnham accompanies his statement with nonverbal elements. The actor

starts raising his head at the moment when he pronounces the theme proper and transition proper "*I'm*". Further, the head is held high from the words "*an ordinary guy*" onwards, emphasizing and drawing attention to the rheme proper of the sentence. It could be stated that the change in head position expresses enhanced self-confidence, thus placing the movement among conventional gestures. Moreover, the latter part of the rheme proper is highlighted with a gesture expressing modality, head shakes.

Table 1: Visual prominence illustrated in one of the distributional fields of CD.

Text	***"I'm***	***just***	***an***	***ordinary***	***guy***	***with***	***nothing***	***to***	***lose."***
Character speaking	Lester								
Distributional field of CD	14.19.								
Communicative units	theme proper, transition proper	rheme proper							
The head movements	raising the head		the head raised			shaking the head			
The eyes	watching the addressee								
Visual prominence			KS			KS			

In the example in Table 2, the character Brad resents Lester's blackmailing suggestion that Lester should get benefits after giving up his job. At the moment when Brad pronounces the theme proper and transition proper "*That's*", he raises his brows to emphasize what he is saying. At the same time Brad starts shaking his head, signalling the modality of the sentence, i.e. negation. Raising the brows in the first part of the utterance seems to convey conventional meaning, supporting expressing resentment.

Table 2: Visual prominence illustrated in one of the distributional fields of CD.

Text	***"That's***	***not***	***going***	***to***	***happen."***
Character speaking	Brad				
Distributional field of CD	14.13.				
Communicative units	theme proper, transition proper	transition proper, rheme proper			
The movements of the brows	the brows raised				
The head movements	starts shaking the head	shaking the head			
Visual prominence	KS, KSBS				KSES

Table 3 presents an example which conveys greater complexity in the hierarchy of visually prominent places. Besides blinking, which occurs throughout the utterance, expressing nervousness or emphasizing individual words pronounced, the actor nods his head on the theme proper and transition proper and on the rheme proper. Further, he moves his head a little during part of the diatheme "*bloodless, money-grubbing*" while he moves it a bit more on the head of the phrase and the diatheme "*freak*", which could be considered a free diatheme. As the utterance seems to be an act of defence against Lester's wife's accusation that Lester corrupts their daughter, and an attack on her at the same time, the actor expresses

intense emotions employing his head and facial expressions. Most of the movements in this utterance are rhythmic. Therefore the respective words seem to be underlined by means of head nods, head movements and blinks. The hierarchy among these nonverbal elements is then established by their volume.

Table 3: Visual prominence illustrated in one of the distributional fields of CD.

Text	*"You're*	*one*	*to*	*talk,*	*you*	*bloodless*	*money-grubbing*	*freak."*
Character speaking	Lester							
Distributional field of CD	13.6.							
Communicative units	theme proper, transition proper	rheme proper			diatheme			
The eyes and gaze	the eyes blink	the eyes blink				the eyes blink	the eyes blink	the eyes are staring at the addressee
The head	the head nods	the head nods				the head moves a little	the head moves a little	the head moves a bit more
Visual prominence	KS			KS		kss	kss	KS

The examples above were meant to show three out of a number of patterns of the hierarchies of visual prominence. The first example showed the conventional head movements, expressing modality and conventionalized meaning. The second example again presented conventionalized brow and head movements. The third example showed rhythmic head movements and eye expressions which accompanied an emotional surge in the actor playing the role of the resenting husband.

Some of the patterns of visual prominence in the *American Beauty database* are more frequent than the others. Statistics in tables 4 and 5 show the distribution of places of visual prominence over communicative units in distributional fields of communicative dynamism of basic level. The places of visual prominence seem to be the most frequent with rhemes, then transitions, themes and finally diathemes.

Table 4: Distribution of places of visual prominence over communicative units in DF of CD of basic level.

Communicative units	Th	DTh	TrPr	Tr	Rh	Total
Occurrences	147	111	33	214	681	1186
Percentage	12.4%	9.4%	2.8%	18.0%	57.4%	100%

Table 5: Distribution of secondary kinesic stresses over communicative units in DF of CD of basic level.

Communicative units	Th	DTh	TrPr	Tr	Rh	Total
Occurrences	24	19	7	27	59	136
Percentage	17.6%	14.0%	5.1%	19.9%	43.4%	100%

Conclusion

It is necessary to take into account the total number of occurrences of particular communicative units if we want to consider the capacity of communicative units to co-occur with the places of visual prominence. The capacity is the highest with rhemes (Table 6 and Figure 1) and it decreases with the other communicative units reflecting decreasing relative degrees of communicative dynamism. Secondary kinesic stresses, however, do not reflect the increasing degrees of communicative dynamism (see Table 7 and Figure 2), which leads to the conclusion that their character, patterns of use and their function requires further investigation. The fact that rhemes are the most frequently signalled by visual prominence is not, however, as clear-cut as it might appear to be either. From the perspective of linearity, rhemes usually occur at the ends of phrases. Thus their frequent co-occurrence with the places of visual prominence may simply be the reflection of turn-taking and other, cognitive patterns in the nonverbal aspect.

Table 6: Capacity of communicative units to co-occur with the places of visual prominence in DF of CD of basic level.

Communicative units	Th	DTh	TrPr	Tr	Rh
Capacity	0.5	0.8	0.7	0.8	1.5

Table 7: Capacity of communicative units to co-occur with secondary kinesic stresses in DF of CD of basic level.

Communicative units	Th	DTh	TrPr	Tr	Rh
Capacity	0.7	1.2	1.3	0.9	1.2

Figure 1: Capacity of communicative units to co-occur with the places of visual prominence in DF of CD of basic level.

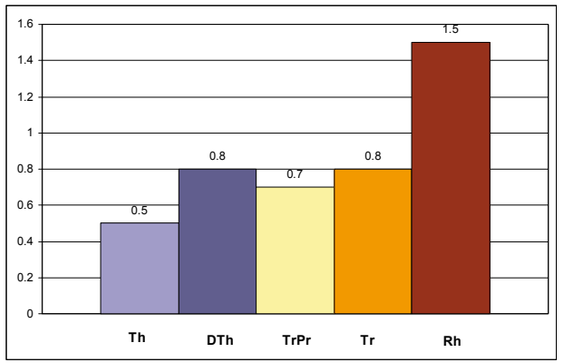
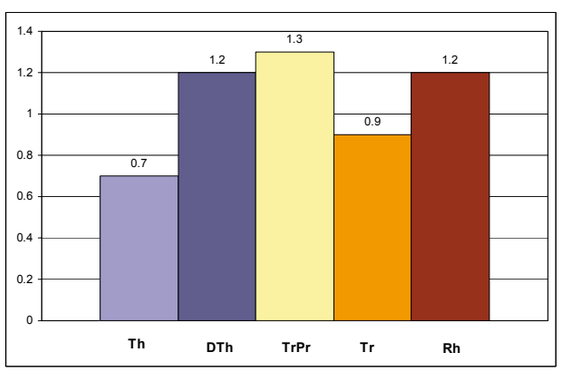


Figure 2: Capacity of communicative units to co-occur with secondary kinesic stresses in DF of CD of basic level.



Abbreviations:

CD – communicative dynamism
DF – distributional field
DTh – diatheme
KS – kinesic stress
kss – secondary kinesic stress
Rh – rheme
RhPr –rheme proper
Th – theme
ThPr – theme proper
Tr – transition
TrPr – transition proper

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Lexical Linguistic Interference in Translations of Science-Fiction Literature from English into Czech

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Abstract

The article describes interference phenomena in the Czech translations of science-fiction literature written in English. The corpus of errors in translation was assembled from thirteen sci-fi novels. The uncovered discrepancies that signalled signs of interference were divided into five categories. These five categories of interference dealt with are all subcategories of lexical interference. First, surface lexical interference occurs in those cases where the lexical unit of the source language visually, i.e. orthographically, resembles a certain lexical unit of the target language, which is not its equivalent (at least not in the given case). Second, semantic interference is caused by an overlap of meanings between the source lexical unit and the target lexical units, which are only partial equivalents. Third, idiomatic interference revealed itself in the translations of idiomatic expressions, including idioms proper, which the translator either did not recognize or misinterpreted as a collocation. Fourth, interference in collocation partially resembles semantic interference, but it affects collocations rather than individual words. Sometimes the typological difference between the languages plays a key role here. The English language uses many more multi-word expressions than Czech, which is a synthetic language and tends to incorporate the individual meanings into one lexical unit. Finally, cultural interference occurs in those cases where the translator is unable to deal with the cultural difference between the source language culture and the target language culture. In most cases there is no direct equivalent in the target language.

Keywords: interference, lexical unit

Introduction

By 'linguistic interference' I mean an unintentional transfer of some elements of the source language (SL) to the target language (TL). Two languages may interfere on various levels – phonological (in spoken language), lexical, grammatical, syntactic, stylistic etc. This paper explores interferential phenomena in translation from English into Czech in current science-fiction literature and its aim is to serve as a practical list of interference problems.

The corpus for the analysis has been assembled from 13 science-fiction books. These books were selected according to my personal interest, and with a few exceptions, they are currently available in larger bookstores. I examined the texts for the occurrence of inappropriate translations caused by interference. The major criterion for seeking and identifying these 'mistakes' was the following: the Czech text sounds unnatural, for instance it contains a syntactic structure that is unusual in Czech. This is one of the potential signs signalling the occurrence of interference in translation. In many cases, an experienced reader of English literature would be able to 'see the original behind the lines of the translation' because of the trace that interference leaves in the TL.

The next stage comprised a comparison of the potential cases of interference in Czech with their corresponding counterparts in the original. I finally gained a corpus of 432 excerptions. The last stage of the data processing was the division into categories of the selected examples that proved to be truly of interferential origin. From the very beginning of the data collection it became clear that there were certain types of inappropriate translations that were appearing repeatedly. The crucial issue was to identify and clearly define these types, i.e. the categories

of interference in translation. The main criterion for establishing the categories was the source of interference.
The classification resulted in the establishment of four general categories of linguistic interference:

1. interference at the word and collocation level (lexical interference)
2. grammatical interference
3. syntactic interference
4. interference in orthography

Cases of lexical interference were by far the most numerous. In the present paper, therefore, I have decided to focus solely on lexical interference.

Each example presented here consists of contextual support (if necessary), an excerpt or excerpts from the original, and an excerpt or excerpts from the translation containing the interference phenomenon; this is followed by a brief commentary upon the nature of the problem. The categories are as follows:

1. surface lexical interference (false friends)
2. semantic interference
3. idiomatic interference
4. interference in collocation
5. cultural interference

Surface lexical interference

(1)

> [A military commander who is in charge of a planet in outer space is criticizing the bureaucracy on Earth.]
>
> *Damned civilian **authorities** on Earth had bollixed it up, just like they always did.* (Perry, 1993: 56 – 57)
>
> **Zatracené **autority** na Zemi to pokazily, jako vždy.* (Perry, 1999: 60)

'Authority' is defined as *the people or an organization who have the power to make decisions or who have a particular area of responsibility in a country or region* (OALD, 2001: 64). In Czech it is usually expressed with the word *úřad* (Hais & Hodek, 1991: 131). Certainly, the word 'authority' could be indeed translated into Czech as *autorita*, but with a different meaning and in a different context. This means that a SL word may become a 'false friend' in one context, but it may serve as a 'true' friend in another.

(2)

> [The people are speculating on the abnormal behaviour of cilia in the ocean. They start to fear that extraterrestrials might be involved.]
>
> *'You're suggesting that the cilia were actually searching?'*
> *'I'd not go as far as that. But, anyway, I got a picture of it on the **hand-camera**, so we'll be able to study it.'* (Wyndham, 1955: 147)

*„Chcete tím říct, že řasy vlastně něco hledaly?“
„Tak daleko bych to nedomýšlel. Ale udělal jsem několik snímků ruční **kamerou**, takže si to budeme moci podrobně prohlédnout.“* (Wyndham, 1994: 108)

(3)

[It takes place at the scene of the crime of mass murder.]

*There were three forensics men at work in the lobby with **cameras** and tweezers;* (Archer, 1995: 53)

V místnosti se pohybovali tři muži z laboratoře s **kamerami a pinzetami;* (Archer, 2003: 59)

In (2) and (3), it is again the context that helps to determine the meaning of ‘camera’. However, in this case the meaning of ‘camera’ as ‘a piece of equipment for taking photographs’ is primary. The translators were misled to select its secondary meaning of ‘a piece of equipment for making video recordings’ due to surface lexical interference, because the Czech word *kamera* refers only to the secondary (derivative) meaning of English ‘camera’. Czech distinguishes between a photographic camera and a movie camera, while in English such a distinction is not made so strictly. To specify that the piece of equipment is designed for making videos, English uses the terms ‘video camera’ or ‘camcorder’.

(4)

[‘Psi emitter’ is a device that transmits signals that are telepathically perceived by hostile extraterrestrial species in the Universe. These species are then strongly attracted to the source of the signal.]

*“Is the **psi** emitter all right?” she asked.* (Grubb, 2001: 169)

*„Je **psí** vysílač v pořádku?“ zeptala se.* (Grubb, 2005: 148)

(5)

*Psi stvoření, zerglingové, úplně zešíleli. Pobíhali sem a tam, náhodně útočili na trubce a larvy a trhali je na kusy. Podivný signál neustále bombardoval hlavu Kerriganové. Sarah však zatnula zuby, snažila se uklidnit a opět získat kontrolu sama nad sebou. Vynaložila všechny své **psi** síly k tomu, aby se pokusila znovu ovládnout instinkty zerglingů.* (Grubb, 2005: 74 – 75)

The doglike Zerglings went wild, streaming about and attacking Drones and larvae, tearing them to shreds. The alien signal pounded in Kerrigan’s head, but she gritted her teeth and imposed order upon her mind. With all of her **psi power, she reached out and attempted to control the instincts of her Zerglings.* (Grubb, 2001: 84)

‘Psi’ in the ST functions an adjective, whose meaning is very close to ‘psychic’, i.e. faculties or phenomena that are inexplicable by natural laws (mainly telepathy and telekinesis). Due to the absence of a direct equivalent in Czech, the translator left the term in its original form with a morphological modification in (4) corresponding to the Czech adjectival form (‘psi’ → *psí*). I would not object to the substitution of an English neologism for a Czech one.

Nevertheless, in this case there is a co-incidental resemblance between the English ‘psi’ and the Czech adjective *psí*, which means ‘canine’, i.e. connected with dogs. As one may notice in (5), this confusion is likely to occur because of the context.

(6)

*Morning came early to the federal penitentiary at Goose Lake, New York. Almost two thirds of the great gray concrete **structure** was underground, buried under one of the Catskills. What showed above was a windowless dome...* (Sheckley, 1996: 71)

Ráno přišlo do federální káznice v Goose Lake v New Yorku brzy. Téměř dvě třetiny obrovské šedivé **struktury byly ponořeny pod zemí pod jednou z Catskills. Byl vidět jen dóm bez oken.* (Sheckley, 2004: 87)

(7)

[A group of Martian soldiers enters a luxurious mansion on Earth. They can see a great number of antiquities that are displayed there.]

*For several seconds no one spoke, then Ghettal Aif asked, “What is this place?”
“I don’t know,” Slithree Di said.
“I don’t like it,” Tenzif Kair said.
Hadrak didn’t like it much, either, but he wasn’t about to say so.
“What did you expect?” he barked. “They’re Terrans! Of course their **structures** are alien!”* (Archer, 1996: 41)

**Několik vteřin žádný z nich nepromluvil. Pak Ghettal Aif vydechl: „Co to je za místo?“
„Nevím,“ ozval se Slithree Di.
„Nelíbí se mi to,“ řekl Tenzif Kair.
Ani Hadrakovi se to nijak zvlášť nelíbilo, ale nechtěl to dávat najevo.
„A co jste čekali?“ vyštěkl. „Jsou to Terrané! Je samozřejmé, že jejich **struktury** jsou cizí!“* (Archer, 1997: 42)

The last two examples, (6) and (7), demonstrate how the two translators were misled to translate ‘structure’ as *struktura* (which is a scientific term in Czech), although it simply means *stavba* in Czech.

The preceding excerpts, (1) – (7), contain examples of surface lexical interference. This phenomenon is caused by the visual similarity between a SL word and a TL word that appears to be its equivalent. In other words, a SL word is orthographically very similar to a word from the TL, which causes the translator to wrongly assume that they are equivalents. Well-known false friends (faux amis, false cognates) are in fact results of surface lexical interference. The assembled corpus has clearly shown that this type of interference affects almost exclusively words of Greek or Latin origin (international words). The problem usually lies in semantics, because the semantic field is distributed differently in the two languages. It became apparent from the corpus that in most cases each TL counterpart might be used appropriately if used in a different context. In other words, a SL word and its TL counterpart may become ‘false friends’ in one context, but in a different context may be equivalent.

Finally, I include the list of all the assembled pairs of ‘false friends’ in the corpus:

English word – Czech false friend (*) – equivalent in Czech

Words of Latin origin

authority	*autorita	úřad	exclusive	*exkluzivní	výlučný
audience	*audience	obecenstvo	explosion	*exploze	mocné kýchnutí
cabin	*kabina	kajuta	matriarch	*matriarchyně	náčelnice
camera	*kamera	fotoaparát	obscene	*obscénní	monstrózní, nechutný, odporný
cohort	*kohorta	stoupenci	structure	*struktura	stavba
control	*kontrola	ovládání	Teutonic	*teutonský	skopčácký
creature	*přišera	tvor	universal	*univerzální	vesmírný

Words of Greek origin

economical	*ekonomický	úsporný	phalanx	*falanga	řada; zástup, dav
paralysed	*paralyzovaný	ochrnutý	plastic	*plastik	platební karta

Incidental resemblance

moonlit	*monolit	ozářený měsícem	psi	*psí	telepatický, telekinetický, parapsychický

Semantic interference

(8)

[A leader of the army is talking about enemy forces, which are approaching.]

*"Impudent **pup**," said Mengsk, stalking to his console and scanning a dozen screens at once. "Of course I knew the Protoss would get here...* (Grubb, 2001: 228)

„Jsou to jen drzá **štěňata," řekl Mengsk a kráčel ke své konzole a znovu si prohlížel tucty monitorů. „Samozřejmě jsem věděl, že sem Protossové dorazí...* (Grubb, 2005: 198)

(9)

[The policeman Schaefer was captured by a terrorist gang.]

*A pan of dirty water flung in his face brought Schaefer around; as the cool wetness shocked him back to consciousness, he heard a voice saying, "Time to wake up, **puppy dog**."* (Archer, 1995: 210)

Schaefera probudila sprška špinavé vody v obličeji; když ho studená voda přivedla k vědomí, zaslechl hlas: „Čas vstávat, **štěně."* (Archer, 2003: 203)

A typical example of semantic interference is represented in (8) and (9). According to CEED the word 'puppy' has two meanings. First, it means 'a young dog'. Second, it means 'a brash

or conceited young man'. The word 'pup' is very similar. It is apparent that the translators were unaware of the second meaning of 'puppy'/'pup', so they wrongly translated it as if it was used in the first meaning. A more suitable translation of 'pup' or 'puppy dog' might be *fracek* or *smrad*.

(10)

*The duty officers had already retaken their seats, and Bromleigh was dismantling his camera and **tripod** and returning them to their cases.* (Steele, 1996: 128)

Službu konající důstojníci už zase zaujali svá místa a Bromleigh skládal kameru a **trojnožku do pouzder.* (Steele, 2004: 149)

Although the translation above is not entirely inappropriate, the current Czech language prefers to use a different lexical unit. The example above may partially belong to the preceding category of surface interference because of the prefix *tri-*, which often corresponds to the Czech prefixes *troj-* or *tří-*. Nevertheless, this resemblance applies to the prefix only. Moreover, the English and the two Czech prefixes are not identical; therefore the main source of confusion here lies in semantics. The more usual Czech equivalent of 'tripod' is *stativ* (Note that the English naming unit focuses on the formal aspect of the referent, while Czech sees the referent from the viewpoint of its function).

The polysemic character of 'false friends' means that they partially overlap with the second category of interferential mistakes: *semantic interference.* Semantic interference is a much more complex phenomenon than surface lexical interference, because there is no evident resemblance between the SL word and a TL word in such cases. Instead, there is a certain clash of meanings due to the existence of polysemic English lexical units and the different segmentation of reality in the two languages.

Idiomatic interference

(11)

[An astronaut is talking about his discovery of a secret launching silo in North Korea.]

*"At first we thought we had stumbled upon something, so we opened a secure line to McLean and **blew the whistle**."* (Steele, 1996: 132)

„Nejdřív jsme mysleli, že jsme zakopli o něco významného, takže jsme nažhavili jištěnou linku do McLeanu a **zahvízdali na píšťalku."* (Steele, 2004: 154)

OALD defines 'Blow the whistle on sb/sth' as follows: "(*informal*) to tell sb in authority about sth wrong or illegal that sb is doing (OALD 2001: 113)". In Czech it may be expressed by some equally informal or slang expressions, e.g. *prásknout to na koho* or *bonzovat na koho*. However, in the context of exposing a global danger and informing the government, these phrases would not fit as they are negative and imply that the 'whistle-blower' is doing something dishonest, which does not correspond to the meaning of the English idiom. Therefore, it would be more appropriate to use a more neutral phrase that expresses a similar meaning. In this particular context it seems to be more appropriate to use, for instance, the Czech idiom *bít na poplach*.

(12)

[Alien species from outer space occupy the ocean; the people are speculating what will be their next move in the process of colonizing Earth.]

*'I suppose the Bocker view would be that the first phase of colonization has been completed : the pioneers have established themselves, and the settlement is now on its own to **sink or swim**.'* (Wyndham, 1955: 68)

„Myslím, že by teď Bocker prohlásil, že skončila první fáze kolonizace: pionýři si vybudovali své domovy, které **poplavou na vodě nebo je skryjí pod vodou.“* (Wyndham, 1994: 50)

The unrecognized idiom 'sink or swim' was apparently misinterpreted according to the context, because both verbs are associated with water (the characters are talking about the ocean). The meaning of the verb 'sink' is interpreted as 'hide under the water', because in its first meaning 'descend beneath the surface of a liquid' it would not make sense. Thus the translator created a sentence expressing something that is absent in the ST and, at the same time, the intended meaning is lost. 'Sink or swim' means "to be in a situation where you will either succeed by your own efforts or fail completely (OALD 2001: 1107)". In Czech it might be expressed by a less figurative phrase *udržet se nebo padnout*.

(13)

*"Ready, Stan," Julie said. "It's going to be a **walk in the park**."* (Sheckley, 1996: 128)

„Připravená, Stane,“ řekla Julie. „Bude to jen **procházka v parku.“* (Sheckley, 2004: 154)

In some cases the meaning of an English idiom is quite obvious, because there is a similar idiom in Czech, as in (13). Nevertheless, in the case above the Czech idiom *procházka růžovým sadem* is normally used in negative statements to express difficulties that one experiences. The English idiom expresses the opposite, i.e. an easy task to perform. Therefore it would be more appropriate to use another Czech idiom with the same meaning, e.g. *hračka, zvládnout levou zadní, brnkačka* (slang term) etc.

(14)

[An army officer reprimands a policeman for disclosing top-secret information.]

*"Schaefer!" the old man called. "Goddamn you, you son of a bitch, you had to do this the hard way! **The shit's really hit the fan now**!"* (Archer, 1995: 297)

„Schaefere!“ zakřičel starý muž. „K čertu s tebou, ty čubčí synu, muselo to být po tvém! **Hovno narazilo na větrák!“* (Archer, 2003: 283)

This is a vulgar idiom, which is defined as follows: "(When) the shit hits the fan, sb in authority finds out about sth bad or wrong that sbd has done. (OID)" The incorrect literal translation of this English idiom sounds nonsensical and its meaning can only be inferred from the context. A more appropriate translation would be e.g. *provalilo se to* or *prasklo to* in (14).

Czech translations of English idioms in the corpus are often questionable. By 'idiom' I mean "a group of words established by usage as having a meaning not deducible from those of the individual words (NODE, 1998: 908)". The translators, being unable to decipher the meaning of a particular idiom, often translate it on a word-for-word basis. In some cases the translation does not sound natural in Czech, but it is still comprehensible, at least from the

context, e.g. in (13). Inappropriate word-for-word translations of English idioms are exemplified in (11) and (14). Readers of these texts must be quite puzzled, because the Czech sentence does not make any sense in the given context and one can only speculate on its possible meaning.

Nevertheless, there are a certain number of translations that do not convey the required meaning at all. In these cases the translation often sounds either nonsensical or, which is possibly more dangerous, expresses an idea or information that is not present in the SL text. An example of such a nonsensical text is in (14). The inappropriate word-for-word translation is apparently used here due to the translator's unawareness of the idiomatic phrase in SL. A Czech reader, being ignorant of this English idiom, must be confused, because the meaning of the translated sentence does not correspond to anything that was said before or after this exclamation.

As has already been stated, the translators have sometimes a tendency to 'modify' the translation of the English idiom so that it somehow does make sense. In such cases they do not use a word-for-word translation, but they translate less literally and thus more freely. Such a mistranslation is then difficult to identify if one does not use the SL text for comparison. Such an example is in (12).

Interference in collocation

(15)

*The platoon medic said he'd **broken his neck** and would need full rehab.* (Perry, 1993: 186)

Lékař čety zjistil, že si **zlomil krk a bude potřebovat plnou rehabilitaci.* (Perry, 1999: 176)

(16)

*Morning Doe wrestled her horse around so swiftly she almost **broke its neck**. Her eyes blazed. "You trifle with me?"* (Murill, 1996: 232)

Ranní Srna strhla svého koně, aby se zatočil dokola, a to tak rychle, že mu skoro **zlomila krk. Její oči plály. „Zahráváš si se mnou?“* (Murill, 1997: 217)

(17)

*So she wasn't paralyzed. Was **her neck broken**? She tried a small movement, turning ever so slightly to the left, then to the right. It was painful as hell, but it seemed okay.* (Crichton, 2000: 379)

Nebyla tedy ochromená. Má **zlomený krk? Zkusila jím trochu pohnout, malinko doprava, malinko doleva. Strašně to bolelo, ale snad to bylo dobré.* (Crichton, 2000: 356)

The root of the problem here lies in the different way of expressing meanings related to the human body. There is a well-established collocation in Czech that can be used literally to denote this kind of "serious injury causing death or paralysis of a human body": *zlomit (si) vaz*. These two idioms are often equivalents. Nevertheless, the phrase * *zlomit si krk* is unidiomatic in Czech and might not be understood properly.

(18)

[It takes place in a spaceship on its way to the Moon.]

*A **sponge bath** for the VIP suites. Of course. Water wasn't something that was wasted up here;* (Steele, 1996: 112)

***Houbová koupel** pro významné hosty. No ovšem. Tady nemají vody na plýtvání;* (Steele, 2004: 134)

'Sponge bath' (American English) or 'blanket bath' (British English) is defined as "an all-over wash given to a person confined to bed" (NODE 1998: 1798). The Czech dictionary includes the following definition: *důkladné umytí houbou místo sprchy* (Hais & Hodek) or just *důkladné umytí houbou* (Fronek, 2007: 528), which more corresponds to the definition: "a washing of the body with a wet sponge or cloth, but without immersion in water" (CEED).

(19)

*José looked, and saw a tall, thin **black woman** – little more than a girl, really–wearing only a red bikini, coming down the stairs.* (Archer, 1996: 252)

José vzhlédl a spatřil, jak se schodů schází vysoká, štíhlá **černá žena – vlastně skoro ještě dívenka – v červených bikinách.* (Archer, 1997: 221)

One of the frequent problems in translation from English into Czech is caused by the typological differences between the two languages. English, being an isolating analytic language, has more analytic expressions consisting of more words and is often more explicit than Czech, which is a synthetic language that uses inflections (cf. Knittlová, 2000: 36). Therefore 'Black man / woman' is better to be translated as *černoch / černoška*. English needs two lexical units to express a person's skin colour and sex. In Czech this is included in one lexical unit and no modifying adjective is needed.

(20)

*Hard exoskeletons grew up in tangled, twisted labyrinths following the genetic model of a Zerg Hive, a pattern that no human could comprehend. The fleshy biomass of Zerg Creep continued to spread, absorbing **raw materials** from the rough dirt and processing it into a nourishing substance.* (Mesta, 2002: 169)

Podivnou strukturu stavení tvořila tvrdá a spletitá vnější kostra. Genetický model zergského úlu představovaly zvláštní zkroucené labyrinty, vzory, které člověk nemohl nikdy pochopit. Biomasa zergského plazzu se neustále rozrůstala dál. Současně přitom absorbovala **hrubé materiály a přeměňovala tak prach a špínu ve výživnou substanci.* (Mesta, 2005: 144)

'Raw materials' does not mean *hrubé materiály*, which is an incorrect word-for-word translation. According to NODE 'raw material' means "the basic material from which a product is made (NODE 1998: 1541)". The most common Czech equivalent is *surovina* (Hais & Hodek, 1992: 356), (Fronek, 2007: 438).

(21)

[It takes place on board the battlecruiser Hyperion.]

*She strode down the halls of the Hyperion toward the lift to his **observation post**.* (Grubb, 2001: 215)

Pak propochodovala halou Hyperionu k výtahu, který ji odvezl na **observační palubu.* (Grubb, 2005: 186)

'Observation post' or 'observation tower' is "a place from where sb, especially an enemy, can be watched" (OALD 2001: 805). In Czech it means *pozorovací stanoviště* (Hais & Hodek, 1992: 57) or *pozorovatelna* (Hais & Hodek), (Fronek).

If we accept non-compositionality as a decisive factor in distinguishing between idioms and collocations (though this division suffers from certain drawbacks, cf. Kavka 2003: 37), then we can establish a separate group of interferential mistakes entitled 'interference in collocation'. The examples above illustrate two major problems in the translation of English collocations.

Firstly, there is often a different way of viewing the extralinguistic reality. This includes especially parts of the body, as in (15). The corpus revealed numerous examples of inappropriately translated words or collocations concerning body parts, namely 'break one's neck' as **zlomit si krk*, 'clear one's throat' as **pročistit si hrdlo*, 'at arm's length' as **na délku paže*, etc. The problem was that the words were translated singly, out of context, and their collocability was not taken into consideration.

The second problem is concerned with the typological differences between the two languages. English tends to be more analytical than Czech, which belongs to the group of synthetic languages. This is the reason why many English expressions consisting of two words have one-word equivalents in Czech. Examples (19), (20) and (21) illustrate how the translators were unaware of this fact and thus created non-idiomatic Czech expressions (see the table below).

black woman	*černá žena	černoška
raw materials	*hrubé materiály	suroviny
observation post	*observační paluba	pozorovatelna

Cultural interference

(22)

*But Schaefer wasn't as calm and in control as he looked, because he missed with all three shots, and while Schaefer wasn't exactly **Annie Oakley**, he didn't generally miss three times at that range, and...* (Archer, 1995: 27)

A i když Schaefer nebyl zrovna **Annie Oakleyová, z takové vzdálenosti třikrát nikdy neminul.* (Archer, 2003: 35)

This is an example of what I mean by an 'icon', i.e. "a person or thing regarded as a representative symbol of something" (NODE 1998: 906). Annie Oakley was a real historical figure. She was a rodeo star and was especially known for her extraordinarily accurate shooting.[1] That is why the author of the novel draws a comparison between the policeman Schaefer and Annie Oakley. He wants to say that Schaefer is not particularly successful at hitting a target when shooting.

(23)

*He turned and glimpsed three little spots of some kind of red light, like those laser beams in the checkout at the **7-Eleven**, crawling across the window frame and onto his back.* (Archer, 1995: 11)

Otočil se a spatřil, jak se po okenním rámu pohybují tři body červeného světla podobné laserovým paprskům při výstupní kontrole v **7-Jedenáct. Tečky se přesunuly na jeho hrudník.* (Archer, 2003: 19)

'7-Eleven' is a chain of US stores that sell convenience items such as food, drinks, etc. They are open from 7 a.m. until 11 p.m., hence the name. The translator was ignorant of the meaning of '7-Eleven', which caused further misinterpretations of the text: 'checkout' does not mean *výstupní kontrola* as it is translated in the text[2], but *pokladna*.

The translator basically has two options here. Due to the fact that '7-Eleven' is a term virtually unknown to the Czech readership, it has to be modified. The first option is to use a functional cultural equivalent, which means reducing the term '7-Eleven' to the more general meaning 'store', which should not be problematic in this case as the loss of meaning is unimportant in the context. Generally speaking, if the name of the store is not important for understanding the story or depicting local colour, then it is appropriate to replace it. The second option is preserving the word '7-Eleven' and adding the explanatory 'store', e.g. *obchodní dům 7-Eleven* or, more colloquial, *obchoďák 7-Eleven*. The second option is more explicit, although it still does not preserve the information about the opening hours, which is explicitly stated in English.

Miscellaneous errors

(24)

*The army of drones moved toward them like a sheet of rain, closer and closer. **Dozens** ran past the APC, headed back to the queen.* (Perry, 1993: 155)

Armáda vetřelců se k nim blížila.[...] Několik **tuctů jich proběhlo kolem APC a spěchalo ke královně.* (Perry, 1999: 137)

Without any doubt this is the most frequent interferential mistake in the assembled corpus. It occurred in almost all of the thirteen books that have been examined. It is undeniable that the noun 'dozen' corresponds to its Czech counterpart *tucet*, which has the same denotative meaning, i.e. "a group or set of twelve" (NODE 1998: 557).

Nevertheless, the noun 'dozen' when used in the plural has another meaning that is very frequent in current informal English: 'a lot'. In such cases it loses its original meaning of "twelve" and acquires the meaning of an indefinitely high number of something. Its Czech counterpart *tucet* is much more restricted in its use. Firstly, it is not as frequently used, as there are other, commoner equivalents, e.g. *desítky*, *spousty*, *mraky*, etc.[3] Secondly, in the current Czech language the word *tucet* is often used in the form of the derived adjective *tuctový*, which means "no longer interesting, as a lot of people already use it". If it is used in its nominal form *tucet*, it usually has a slightly negative connotation.

(25)

*His long, **sandy** hair and sparse beard covered innumerable small scratches, and only one part of his uniform was untattered–a neatly repaired emblem...* (Brin, 1986: 187)

Dlouhé **pískově žluté vlasy a řídký vous zakrývaly bezpočet drobných oděrek a z celé uniformy mu zůstala nepošramocená jediná součást – úhledně vyspravený znak...* (Brin, 1998: 166)

Viewing colours is another example of the different segmentation of semantic fields in different languages (cf. Levý, 1998: 70). In the assembled corpus there are several examples

of different shades of colours that were translated literally. Colours have to be translated according to the context in which they occur. The adjective 'sandy' is defined in OALD as follows: '(of hair) having a light colour, between yellow and red'. Hais & Hodek offer the following expressions: *nazrzlý* or *zrzavý* (Hais & Hodek, 1992: 498).

To summarize, the corpus has revealed numerous examples of a certain type of mistranslations that were caused by differences between the English cultural environment and the Czech one. These could be subdivided into several categories.

The first category could be called 'cultural icons', i.e. real historical persons whose deeds are well known in the particular cultural environment and thus they are referred to in the language. The name 'Annie Oakley' is hardly familiar to any Czech reader who is not specifically interested in the American rodeo. Therefore the translation does not serve its function of a metaphor, as it does in American English. Readers may only deduce from the context that 'Annie Oakley' was someone who was extraordinarily good at shooting. One of the possible solutions might be to use a Czech idiomatic expression such as *nebýt bůhvíjaký střelec*.

The second group includes translations of names of British or American institutions, brand names etc. The third group includes differences in measuring and counting. Finally, the last group comprises difficulties in the translation of colours. There are differences in colour description in the two languages. In some cases this is a matter of collocation, for instance 'sky blue' is better to translate as *blankytně modrá* than **nebesky modrá* (Mesta, 2005: 99).

Conclusion

The tension between clarity and natural usage on the one hand, and preserving the meaning on the other hand, is a recurrent problem in translation. The examples listed here have shown that the inappropriate literal translations to a great extent confuse the meaning rather than preserve it. Therefore one may find lexical units that are very unusual in the TL and in some cases unrecognizable for a TL readership. It is often not difficult to trace the original SL lexical unit.

Linguistic interference affects translation in various degrees. It may produce a text that is comprehensible, but sounds unnatural in the TL (contains unidiomatic language). On the other hand, it often produces a text that does sound natural in the TL, but fails to preserve the ST meaning. The third case is a combination of both – it sounds unnatural and the meaning is lost.

It also has to be mentioned that the quality of the translation in most of the examined books is relatively low, which is also reflected in the abundance of errors in the corpus. Nevertheless, my aim was to ascertain certain tendencies that occur repeatedly, i.e. cases in which more than one translator made the same mistake.

The translators tend to use basically three faulty procedures as a result of interference. The first is the misinterpretation of the ST, which results in deviation from the intended meaning and adding untrue facts that are not expressed in the ST. The second procedure is omission of the difficult part, and the third is an inappropriate word-for-word translation, which confuses the meaning or uses unidiomatic language in translation.

It is also worth mentioning that the distribution and frequency of the individual types of translational interference identified in the corpus are almost exclusively of general validity and they are not typical only of the genre of science-fiction literature.

Notes

[1] http://www.pocanticohills.org/womenenc/oakley.html
[2] This is the third meaning of the word listed in Hais & Hodek.
[3] The Czech National Corpus SYN 2000 includes 151 occurrences of "tucty" and 5550 occurrences of "desítky".

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Diversity in Unity: Communication Strategies and Target Reader in Three Women's Magazines

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Abstract

Drawing upon the methodology of mass media text analysis suggested by Fairclough, the study offers an insight into the divergences and convergences in the discourse of women's magazines. Even though the magazines discussed apparently differ in target audience (with regard to age, social status, professional or family role), the distinguishing features generally do not exceed a unifying, constant frame based on providing advice, building a women's world with men marginalized or excluded, and largely employing the linguistic features of advertising discourse. The communication strategies range from a very informal, conversationalised approach in Cosmopolitan, through a more respectful attitude in Harper's Bazaar, to a patronizing support in Fit Pregnancy: Mom & Baby.

Keywords: communication strategy; critical discourse analysis; female magazines; stylistics; personalization; conversationalisation

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Introduction

The present study aims to draw attention to the inner convergences and divergences in the discourse of women's magazines, which may outwardly create an impression of an undifferentiated mass of female reading. It focuses on three representatives of this numerous set, namely *Cosmopolitan*, *Harper's Bazaar* and *Fit Pregnancy: Mom & Baby*, attempting to suggest through discourse analysis and critical discourse analysis the ways in which each of the magazines constructs its reader, how these prospective readers differ, and how their expected characteristics determine the topics, presuppositions, genres, and linguistic features of the texts.

The methodological background and the scope of the study

The methodology of the study is based on Norman Fairclough's approach to critical discourse analysis (Fairclough, 1995a), drawing upon the framework and terminology he proposed for media text analysis. With each of the three titles involved, the following discussion intends to provide an insight into the topics forming the content of the magazine, the discourses, genres and voices employed, and the linguistic representation of the content, distinguishing the foregrounded and backgrounded phenomena and key communication strategies.

Even though I fully accept the fact that such an analysis "needs to be multisemiotic [...] including analysis of photographic images, layout and the overall visual organization of the pages" (Fairclough, 1995a, 58), this study only occasionally comments on the visual side without thorough coverage of its full complexity. The visual impact of lifestyle magazines is far too various and self-contained to be considered as merely complementary to text; fulfilling its own goals and strategies it presents material for a separate discussion (as in Benwell's study concentrating on the visual aspects of men's magazines, Benwell, 2002).

COSMOPOLITAN: I never wanted to feel helpless again
Topics: presence and absence, foregrounding and backgrounding

Cosmopolitan is a very general lifestyle magazine for women. Rather than inclining to any kind of specific professional or pastime interests, it accompanies the woman reader on her way through her day-to-day pleasures and struggles: daily routines and care for her appearance, loss and building of her confidence, eating habits, shopping for fashion, health problems, seasonal tasks such as e.g. summer preparations for holidays and sunbathing, etc., yet first and foremost relationships.

No matter how often the reader is reminded of her qualities and of the care and attention she deserves (even though mainly from herself, as illustrated by the following headline *Give yourself a big tick! Some days you need to remind yourself you're much more fabulous than you think*), the success in finding the One or being happy single, which means in fact having fun in a series of flirtations, still remains the principal goal and motivation that gives sense to all the rest. Many of the topics appear recurrently with slight alterations and in different contexts, not only in subsequent issues but also within one issue of the magazine.

An essential part is played by celebrities who inspire regular gossip columns as well as feature articles; the way they reveal their life experiences, however, seems to be highly controlled. In accordance with the omnipresent focus on love and relationships, they contribute their own successes and failures in partnerships, friendships or family relations, while professional careers, education, and other interests remain untouched or marginalized (the situation is well illustrated by the following headlines, e.g. *I've Been An Idiot With Men, I'm Proud To Have Gwyneth & Drew As Friends!*).

As the absence of certain topics may be as eloquent as the presence of others, it should also be noted which aspects of everyday life are missing or marginalized. As Fowler explains: "Actually, it makes sense to differentiate degrees of presence, as it were, rather than just contrasting what is present and what is absent" (Fairclough 1995a, 106) and consequently he proposes a scale ranging from absent and presupposed to backgrounded and foregrounded.

Cosmopolitan clearly ignores all kinds of household chores, not even including advertisements for detergents or washing powders; cooking is briefly mentioned only in connection with slimming and healthy diets. Another backgrounded topic is child-rearing or parenthood, which is reduced to unwanted pregnancies seen as feared obstacles in spite of which women can still enjoy life. Providing help or taking care of others – be it a child, relative, neighbour or pet – is hardly to be found among the topics. They might not fit in the overwhelming atmosphere of *getting more from life*, the life of entertainment and carefree joy in which the readers should not *miss out on all the fun*.

As was already noted above in connection with celebrity-related themes, professional careers or jobs in general do not function as a topic for discussion. Though not absent and often even given graphic prominence in the text, their presence could be interpreted as a false clue: rather than attracting attention by themselves they are used in the employ of other aims. In articles presenting common people's experiences or habits, the professions are regularly included together with their names, ages and places of living, which effectively supports the mass media tendency towards personalization, and at the same time builds a picture of a seriously handled survey. In confession-like texts, a career occasionally serves as one of the possible ways leading to the development of a woman's individuality (e.g. in contrast to pregnancy and childcare) and to her independence (e.g. as opposed to being dependent on her husband/partner).

The role of presuppositions

Fairclough's scale of presence and absence, though, should not be given only a prima facie interpretation; in other words, degrees of presence may not always correspond with the degrees of importance or informative prominence which the topic or fact has in the text. Thus in lifestyle magazines (similarly to advertising), what is presupposed is actually the matter of principal importance, legitimizing the topics selected, enabling the magazine to become meaningful for their readers.

I have in mind presuppositions implied by headlines, sub-headlines and often also introductory paragraphs. Formed as questions or assertions with the simple present tense indicating their general validity, they refer to common experience with which the readers are assumed to be familiar and to opinions assumed to be shared. The strategy supports the desired bonding between the readers and their magazine, in this case within the COSMO community.

The following examples show that the presuppositions mostly draw upon traditional social and gender stereotypes:

> Are girlfriends the new boyfriends?
> You love them, honour them and no one can come between you. These days, while men come and go, it's our friends who are our life partners, says Erin Kelly (Cosmo 2006, 93).
> It's not just women who are neurotic about their bodies. (Cosmo 2007, 86).
> "Why that little blue line doesn't mean it's all over"
> Cosmo spoke to three inspiring women who have proved that becoming a single mum doesn't mean you can't have the career and life you've always dreamt of...
> What happens when pregnancy isn't at the top of your to-do list but you suddenly discover you've missed a period? If you decide to keep the baby, there's your single-girl flat, the not-sure-he's-for-life bloke and overdraft to consider when fitting a child into your life. (Cosmo 2007, 122).

A note on genres and text types

The topics are shaped into a limited set of genres, dominated by confessions, interviews, instructions, and advertisements. The set could be enriched with narratives, but here this genre (sometimes interpreted as a 'pre-genre', Swales, 1990 in Fairclough, 1995a) has a specific position and realization; it never appears in a 'pure' form, though on the other hand it is pervasive. 'Stories' find their place in each of the forms listed above. Fuzzy borders between genres and their fading into one another result in a dynamic variability of the inner structure of texts, which is a vital quality compensating for the repetitive and stereotypical nature of the content.

The genre description is further complicated by the patchwork-like realizations of the texts: main-stream texts are regularly interrupted by embedded passages of the same or different genres, and by references to web pages; main-stream texts can be also limited to one or two lead-in paragraphs followed by a text colony (for a definition of text colony as a text type see Hoey, 1986; for the colony structure of lifestyle magazines see Tomášková, 2008). With substantial support from the visual effects, the pages of *Cosmopolitan* glut the reader with a motley of texts, genres, colourful graphic creations, pictures and photos, which as a whole has a distracting effect, almost preventing accurate and concentrated reading. This composition, however, is not to the detriment of coherence or readability; rather than being a drawback it is perceived as a significant stylistic feature which is balanced with low information density and repetitiveness.

Confessions take a variety of shapes, explicit in specialized columns and implicit in many others. Their main aim consists in opening the confessor's heart to Cosmo: celebrities, ordinary people (almost exclusively women), and the women writers themselves confide their personal experiences, often accidents or failures, with an emphasis on difficult, embarrassing or even humiliating moments. Whereas in shorter forms (letters) the story ends at its worst point, in longer (feature) articles the desperate situation finally unravels and everything takes a turn for the better.

The specialized columns (*COSMO confessions, COSMO confesses*) quote short extracts from personal letters (15 to 20 narrow column lines on average) providing very blunt and simple narrations of usually sexually charged events of grotesque character; feature articles, although also based on personal confessions, offer more serious topics, namely examples of women who have coped with a critical point in their lives, e.g. a serious health problem, her partner's death, or unwanted pregnancy and single parenthood.

But no matter what particular shape the confession finally acquires, the focus is always on sharing; rather than bringing information about a personal problem or describing a difficult situation, confessions are here to arouse emotions, mostly compassion, pity, sympathy and solidarity. As the protagonists of the stories are exclusively women, the confessions are constitutive of a female community, constructing the community of COSMO readers.

The attractiveness of confessions and their ability to arouse emotions, I would argue, do not consist primarily in the topics selected (they are repetitive and seldom bring anything new or extraordinary) but in the communication strategy employed. Step by step the reader is led to her identification with the problem discussed through its personalization, emphasis on the general relevance of the issue, and the conversationalisation of the language. An indispensable part is also played by photographs, carefully selected and arranged to support the factual as well as the emotional message of the text.

The position of men in *Cosmopolitan* magazine

Although they seem to be the essential motivation and the ultimate target of women's desires and actions, in the *Cosmopolitan* texts men are actually put in the shade, giving space to women's impressions, opinions and attitudes. Anything related to men is presented through women's eyes. Men are rarely really integrated into COSMO women's lives; they serve as the personalization of their dreams or disappointments, as objects to be gained, explored and admired as well as feared – and, perhaps for that reason, also often ridiculed.

This point could be illustrated by two interviews with male celebrities published in one issue of *Cosmopolitan* (Cosmo 2007). Both characterize the celebrity in a form resembling a personal advertisement:

> Justin Timberlake tells Cosmo how he's moved on but still has room for one woman in his life...and two dogs (Cosmo 2007, 79).
> Luke Wilson is as perplexed as the rest of us as to why he isn't married yet. The 36-year-old actor and younger brother of Owen is clearly husband material – tall, dark, handsome, funny and, coming from Dallas, he has that sexy Texan drawl (Cosmo 2007, 121).

Both include and highlight a tender spot in their lives (Timberlake was bullied as a child and his twin sister died shortly after birth; Wilson had to overcome sibling rivalry), both interviewers see in the male interviewee an opportunity to find out more about women rather than men:

> What did your mum tell you about girls?

> "That they change like the seasons. Actually, that they change like the positions in a football game – that's better than seasons!" (Cosmo 2007, 79).
> So what qualities does Luke look for in his soulmate? "I find forgiveness attractive," he laughs. "Honestly, I like someone who is easy-going, intelligent, attractive. And they don't have to be in the business." (Cosmo 2007, 121).

These brief and sketchy notes on the position of men in this female magazine should show that the omnipresence of men in *Cosmopolitan* does not interfere with the cohesiveness and relative closeness of the female community constructed here as hunting for men and trying to gain the upper hand over them.

Communication strategies: personalization and conversationalisation

Personalization is a dominant trend in contemporary mass media in general (Fairclough, 1995a). On the one hand, the problems introduced are never impersonal, they are always related to a specific person; on the other hand, though, the characterization of the person's identity is superficial and vague enough not to overshadow the main point – the issue under discussion, e.g. *I graduated from university in June 2005, celebrated my 21st birthday in August and then started my new job as a travel consultant. My social life had really taken off. Everything was just beginning* (Cosmo 2007, 41). The personality – of negligible importance in itself – introduces a sense of authenticity, and mirroring the personal data of the prospective readers (age of 20 to 35, practical education and job, single, enjoying socializing, travel, and fashion), calls for readers' emotional investment.

A possible danger of detachment – which the readers may feel if the stories were presented as purely personal – is prevented by the use of pronouns or nouns with a very general meaning, which could be disambiguated either in the context of the article in question or with reference to the reader's personal situation or experience (e.g. in the following headlines *How can I tame my flirty man?* Cosmo 2007, 140; *I can't tell him my secret* Cosmo 2007, 138).

The effort to present the problems as personal but at the same time as generally relevant is further supported by the way in which the texts get the readers involved by using the second person pronoun, which combines the function of an informal general subject with a direct address (e.g. *The one thing that attracts you to him can also drive a wedge between you.* Cosmo 2007, 126), the inclusive first person plural pronoun (e.g. *We're all part of a huge members' club [...]* Cosmo 2007, 81), and employing utterances with generic reference (e.g. *So what makes smart, confident young women take such a drastic step?* Cosmo 2007, 60).

The vague and context-dependent vocabulary, informality of expression and the effort to get the receivers involved, illustrated in the above-mentioned examples, also produce evidence of another tendency prominent in contemporary mass media discourse, namely its conversationalisation (Fairclough, 1995a). Appeal to the reader and the conversation-like structure of lifestyle magazine texts become even more explicit in questions suggesting assumed familiarity of situations and feelings, presupposing shared experience: *"Have you ever had one of those moments when you feel everything in your life is coming together? That's how I felt in that bar.* (Cosmo 2007, 41). The quotation marks at the end of the example are not missing by mistake; quotes that are never unquoted are used regularly at the beginnings of paragraphs in texts narrated in the first person singular. It reminds the reader of the primarily spoken character of the text and, in accordance with the other features of orality, creates the atmosphere of a friendly personal encounter.

The pages of *Cosmopolitan* magazine are interwoven with references to *Cosmopolitan* web pages – it is on the discussion forums, blogs and chats that the desired interaction built in the magazine articles can take the next step. Promoting virtual interaction also plays an

important role in the strategy geared towards constructing a cohesive female group of loyal readers; here *Cosmopolitan* becomes a metaphor for the whole community: *Get closer to Cosmo. From writing your blog and chatting to other Cosmo girls, to reviewing products and confessing your sins, be part of your favourite magazine at www. cosmopolitan.co.uk.* (Cosmo 2007, 119).

As the communication strategies revealed indicate, the function of *Cosmopolitan* magazine should not be primarily defined as entertaining or informative but as social or contact (phatic). In other words, although written, the texts of the magazine are in many aspects very close to spoken communication.

The fact that the strategies have been successfully tailored to prospective readers' needs and expectations is regularly proved by the numbers of issues sold, and has also been supported by research. Drawing upon a corpus of interviews with a variety of women's magazine readers, Joke Hermes (Hermes 1995) brought findings which correspond with surprising precision to the results of the text analysis. Her interviewees explained that they read the magazines "to recognize that other people have the same problems [...]" (Hermes 1995, 44), they appreciate them "as a means of becoming less insecure, less frightened by all that may destroy the safe and comfortable routine of their lives, their relationships, their confidence that they are doing 'the right thing' " (Hermes 1995, 45). The topics addressed in the articles need not be theirs, but they can always fantasize that they could be in future: "Whatever may happen, she has trained herself to come up with solutions for virtually anything." (Hermes 1995, 39). This sense of control, even if fictional, is still satisfying and makes women's magazines a desirable piece of "mental chocolate" (Hermes 1995, 49).

The shapes and shades of advertising

Feelings and emotions aroused are instrumental in achieving purely commercial ends; besides selling the magazine itself, they advertise new films (e.g. within interviews: *Next up is a fluffy comedy with (who else?) Jessica Simpson.* Cosmo 2007, 121), plug popular books (e.g. within a long article on weight problems: *Monica's book, The Revenge Diet, will help you lose 15lbs in a month. [...] For more info on this diet, Monica's book, The Revenge Diet [...] is available to purchase via her website [...]* Cosmo 2007, 67, 68) or promote charities (a three-page 'diary' article describing a young lady's boyfriend and husband suffering from cancer and his unavoidable death including the farewell ceremony finally results in *To help other cancer sufferers and their families, Heidi requests that readers make a donation to Marie Curie, on www[...]* Cosmo 2007, 106).

An analysis of the nature of advertising in *Cosmopolitan* and other women's magazines would require a separate study and is beyond the scope of the present discussion, which will limit itself to the following brief remarks.

Firstly, it should be emphasized that advertising and promotion is omnipresent throughout the magazine (see the examples mentioned above). Penetrating nearly all the columns and articles, advertising appears in a myriad of forms and with different degrees of intensity in its persuasive character. Regular *Cosmopolitan* columns called *Cosmo Advertisement* and *Cosmo Promotion* thus seem to be highly misleading in suggesting a division of genres or discourses that in fact does not exist here. Advertising in lifestyle magazines would defy any rigid classification; its analysis would be manageable only with the help of the presence-absence scale introduced earlier in this essay.

Secondly, the choice of products advertised, their brand and price, accompanying photographs as well as the language used contribute substantially to constructing the target reader. Advertisements in *Cosmopolitan* seem to meet the needs of young women between 20 and 30 (they include slogans like: *Too old for teenage skin?* Cosmo 2007, 43, but anti-ageing

products are rare exceptions), with lower or lower-middle income (expensive brands and designer clothes are not advertised).

Voices

As mentioned in the course of the discussion, the *Cosmopolitan* discourse is characterized by the dominant role of confessions, sharing experiences and feelings, building a close female community bonded by shared knowledge and attitudes. So who then forms the 'Cosmo' social group, which the readers are heartily invited to join or in which they are simply included? To be more specific, which voices (i.e. "identities of particular individual or collective agents", Fairclough 1995a, 77) take part in the conversation-like communication?

The voices represented include, first and foremost, ordinary women without any outstanding traits but still coping with demanding or extreme situations, celebrities presented here with an emphasis on their weak points and common human problems, representatives of us all, and experts – psychologists, doctors, dieticians, lawyers, trainers, and so on. This Cosmo community is exclusively female company, with men only visitors, presented or at least framed by female voices.

Among all the voices, prominence is clearly given to *Cosmopolitan* itself. The Cosmo voice acquires a manifold and variable identity, referring either to the whole community of *Cosmopolitan* writers and readers, or only to the writers, sometimes perhaps just to one of these groups. This ambiguity serves well the overall intention of removing and preventing any possible barriers or division lines between the readers, experts and writers. Regardless of their professional role or social position, in the Cosmo world they are all equal, with the conversational tone suspending any intervening differences of social status.

The informal, friendly relationship is a crucial quality: as a friend, *Cosmopolitan* has the authority to win readers' confidence, to give advice, to be quite 'blunt' and direct in communication without risking criticism for being impolite. This strategy brings the discourse of women's magazines close to that of advertising, one of its typical manifestations being the use of imperatives in the function of strong advice, usually coupled with a preceding question stating the problem discussed; this is actually a question-answer adjacency pair where *Cosmopolitan* plays the role of a wise friend who not only anticipates readers' difficulties but also knows what to do, e.g.:

> Dump your psycho-baggage – and lose a stone!
> Why is it that our body size increases and decreases in tune with what's going on in our hearts, heads and beds? Cosmo shows you how to take control (Cosmo 2007, 65).
> What turns a good relationship into a last-forever one? Three simple secrets. Take our test to find out if your love has what it takes – and how to make it stronger (Cosmo 2006, 87).

The primary function of the Cosmo voice is framing: it asks celebrities questions in interviews, introduces ordinary people's narratives in monologic texts as well as presenting experts' advice. *Cosmopolitan* is always present as a mediator, introducing the text, indicating the topic, evaluating its effect. "Non-event-line elements" are highlighted and stress the importance of *Cosmo* in the communication (for "non-event-line elements" and mediation, see Labov 1972, in Fairclough 1995a, 91, 92). The readers are regularly reminded that all the information has reached them only thanks to *Cosmo* and at the same time they are told whether the information should be perceived as interesting, funny, dramatic or unbelievable, e.g.:

> Halle Berry, 40, reveals her dramatic life experiences, from her first crush to contemplating suicide... (a sub-headline for an interview, Cosmo 2007, 35).

> Fearne Cotton is, without doubt, the girl of the moment. So, inevitably, her love life is a cause of speculation. She comes clean to Cosmo about everything, including those royal heir rumours (a sub-headline for an article based on an interview, transformed into a narrative alternating direct and free indirect speech, Cosmo 2007, 55).

The non-event-line elements find their realization especially in headlines, sub-headlines and introductory paragraphs, all of which receive graphic prominence. In the corpus analyzed, no more than 13% of headlines appeared in the magazine without any accompanying sub-headline.

A high level of mediation of information by *Cosmo* presenters can be found in articles that are apparently based on preceding interviews, which are retold for the readers (as suggested in the comments above). The combination of descriptive phrases (*Fearne is all about cheekiness.* Cosmo 2007, 55), narrative reports of speech acts (*Fearne confesses to being blissfully loved up with her new man [...]* Cosmo 2007, 55), free indirect speech (*Has she always been confident about dating?* Cosmo 2007, 55) and direct speech commented on in reporting clauses (*"He's my toy boy. I know, it's terrible!" she screeches, not finding it terrible at all.* Cosmo 2007, 55) seems to be an effective strategy keeping the narrator/*Cosmopolitan* in its intervening position between the character and the reader and at the same time conveying the flavour of the character's words and the feeling of authenticity of the whole event (Leech, Short, 1981, 326).

Not even the experts' voice is employed as independent; they offer their advice as *Cosmo's psychologist, Dr Linda Papadopoulos*, *Cosmo's sex psychotherapist, Rachel Morris* or *Cosmo life coach Irma [...] here* [i.e. in *Cosmopolitan*] *for you when your friends can't be* (Cosmo 2007, 138, 140, 142).

Evaluation brought by *Cosmopolitan* as a presenter is positively oriented. Never objecting to any female character's attitudes, producing preferred answers, counterbalancing the writers', celebrities' as well as experts' authority by presenting them as not dissimilar from ordinary readers, the magazine strives to create an atmosphere of approval and sympathy, in other words an atmosphere of rapport, which is what women generally seek in communication (see e.g. Tannen 1990). With the highly elaborated realizations of one of the principles of politeness: 'make your receiver feel good', the readers gladly overlook the explicit and implicit violations of the other two: 'do not impose' and 'give options' (Lakoff 1973, in Cook 1989, 33).

HARPER'S BAZAAR: Fabulous at every age
Topics and the target reader

Even though *Harper's Bazaar* magazine focuses on fashion, 'fashion' does not belong among its most frequently used words. The key expression and concept governing the magazine is 'style'. Unlike the word 'fashion', 'style' does not imply a possible passing fancy, more or less successful trends of limited duration; instead, 'style' is associated with timelessness, originality and individuality, something always valued as an essential part of one's personality.

Without any further specifications the motto of the magazine *A Life in Style* allows for a wide range of interpretations and thus may attract a great variety of readers. The tendency to employ expressions vague enough not to exclude too many readers – while at the same time specific enough to facilitate the construction of a target group of readers that would feel bonded by the principles and attitudes which the magazine represents – is typical of all three magazines discussed; the difference can be found in its specific realization aimed at three 'different' women's worlds.

Besides their common interest in fashion, *Harper's Bazaar* prospective readers are expected to be middle-aged (between the ages of 30 and 40), upper-middle class or of higher social status, and with a corresponding income. How these characteristics ensue from the magazine's discourse is suggested in the following paragraphs.

In *Harper's Bazaar*, a woman's identity stems from what she wears. Women are always viewed through the clothes they have on: [...] *says Milla, who looks every inch the chic L.A. mom in Jil Sander boots, snug jeans, and a white cotton voile blouse of her own design.* (H.B. 2007, 158) or *Ines de la Fressange, while scoping out the latest cheap finds, wears her own brilliant high-low combination: a* [...] *coat with affordable* [...] *corduroys, finishing off with Roger Vivier accessories* (H.B. 2007, 75). The importance of their clothes dwarfs any other features of their identity: *Whether your day is spent in front of a computer, in meetings, or at luncheons, dressing professionally and appropriately counts* (H.B. 2007, 110); the changing taste revealed in your wardrobe is seen as an eloquent reflection of changes in your life: *Perhaps the imprint of Diana, forever 36, is so vivid because her journey from girlish innocence to womanly maturity was made in front of the flashbulbs. And nothing tells that story more than her clothes, as the coltish young aristocrat became prisoner of the palace and ultimately escaped as an independent woman in an international world of glamour* (H.B. 2007, 222).

The final phrase *an independent woman in an international world of glamour* sounds almost symbolic, summarizing very precisely the aims and offers of the magazine: it characterizes the type of women presented and the way they are introduced; it also defines the goal which women readers may 'easily' achieve when following the instruction of *Harper's Bazaar*.

In contrast to *Cosmopolitan*, problems of everyday life do not provide topics for discussion; the celebrities and experts appearing in the texts are all in one way or another tied up with the world of fashion and are here to pose as examples, as advisors offering tips enhancing readers' clothing and consequently shopping. Columns such as *Great Finds Special* with sub-columns *Expert Shopping Tips* or *Smart Shopping* show searching for clothes and accessories through models' and designers' eyes as a craft, skill and last but not least, an exciting hobby and adventure.

Building one's image through clothing and appearance in general is presented as being closely related to the arts: this relation is both implied by regular feature articles about photographers, sculptors, designers or art gallery managers and explicitly emphasized by occasional quotations and comments: *"Steve* (Stevie Wonder) *said, 'Designing is the same thing as music. When you do something, it's forever recorded.'"* (H.B. 2007, 158).

Genres and voices

The genre structure of the magazine, as well as the overall manner of its organization, lacks the somewhat chaotic impression given by *Cosmopolitan*. A more systematic division into feature articles, interviews and instructions, accompanied and penetrated by advertising, tries to meet expectations of a self-confident, mature and financially secure middle-aged woman who already knows what she wants and who does not feel lost in life any more. Thus she is not attacked by confessions and pleas for her to confess; she is not forced to identify herself with the problems and weaknesses of others.

Celebrities are carefully selected to represent mostly positive qualities and high achievements, and they are presented as such. For example, in two issues of the magazine (totalling 514 pages), there is only one article focused on a celebrity scandal (*Living La Vida Lohan,* H.B. 2007, 226) and this is written from a surprisingly detached point of view including an ironic twist showing that even the atmosphere of rapport in female

communication may have its limits: *Dina is sipping from a glass of Montrachet. It has been reported that sipping the Montrachet in front of Lindsay was an issue. "It's not a weird, freaky thing," Dina says. "No, we're normal. It's normalcy."*; *Attention, everyone: Dina Lohan, née Donata Sullivan, will have you know she comes from a solid Irish-Italian stock* (H.B. 2007, 228).

Men and relationships are not absent but backgrounded; hunting for the One and an autopsy of partnership problems are not the focus of attention. The opposition of the male and female worlds sustained by *Cosmopolitan* is substituted by a view of men and women as independent individualities, meeting and co-operating within their field of interest (here, the fields of fashion design and art). In the *Harper's Bazaar* world of fashion, men are not emphasized as the essential motivation for women's self-care; their motivating power is either implicit (describing the desired qualities of clothes or appearance as *sexy* or *attractive*) or mentioned on the margins of an account (e.g. in a text about the positive points of being over fifty: *A confident, seasoned woman can drive a man a little crazy by switching between maternal warmth and high-voltage sexuality.*, H.B. 2007, 122).

Although the choice of voices appearing in *Harper's Bazaar* is comparable with those in *Cosmopolitan*, the importance assigned to each of them is balanced in a substantially different manner. The dominant role is taken over by experts and celebrities (seen as experts on arts and a life in style) speaking for themselves without the intrusive framing of a *Harper's Bazaar* reporter or the magazine as such. Rather than insisting on the closeness of the community of the magazine and its readers, the communication strategy employed here is less imposing, based on looser bonding and showing respect for independent individuality.

The level of mediation by the presenters is – in comparison with *Cosmopolitan* – lower; even if the name of the magazine appears in column headlines, it is rarely seen in article headlines or sub-headlines; its personification is an exception (*Bazaar celebrates affordable fashion* [...], H.B. 2007, 70), never playing the role of a participant in real-life conversation. Interviewees reveal their experiences and attitudes to individual reporters, not to *Harper's Bazaar* as an identity of its own.

The voice of 'a common woman' or 'ordinary people' is not sought; in the volumes closely studied for the purpose of this analysis it is represented only once, in a confession-like text about fighting drug addiction (*Road from perdition*, H.B. 2006, 229).

Similarly to *Cosmopolitan*, 90% of the *Harper's Bazaar* headlines are complemented with descriptive sub-headlines introducing the topic as well as suggesting an evaluation: *Dark energy. Pearl Lowe's new range of bewitching bespoke gothic pieces are catapulting the multi-talented rock chick onto fashion's front line, says Sara Buys* (H.B. 2006, 63) or *Paul Poiret. The revolutionary designer was one of the many lively characters who helped shape Bazaar's 140-year history* (H.B. 2007, 48). As is briefly illustrated by these examples, the question-answer headline pattern dominating in *Cosmopolitan* is here outweighed by the combination of nominal phrases and declarative sentences.

Conversationalised openings are typical of advertising-oriented texts, whether short-copy advertisements or lengthy feature articles with references to shop offers (e.g. *In a season of romantic and space-age styles, what to wear to work? Luckily, there are lots of polished pieces out there, from slim suits to dress-and-coat combos.* H.B. 2007, 109) or instructive books newly published (*What's age got to do with it? More than 6,000 American women turn 50 every day. Their passion, high-voltage sexuality, and impressive spending power are something to celebrate. Remember when women groaned that after 50 they became invisible? Well, have you noticed the new "Beauty Icon" at M.A.C.? It's Raquel Welch – still alluring at 66.* H.B. 2007, 122).

A note on lexis: the stylistic significance of premodifiers

As was mentioned above, the *Harper's Bazaar* world is the world of fashion. Linguistically, the world of fashion seems to be the world of adjectives, or rather pre-modifiers of all kinds and forms. With metaphoric creativity, drawing upon lexis from the full range of the formal-to-informal scale, they bring vivid and attention-attracting descriptions often coupled with highly emotional evaluation: *faceless, designer-clad, stick-thin, stylist-led ingénues; precocious, mouthy outbursts; feminine street style; aesthetic-free spirited; wildlife-inspired designs; potentially tricky trends; larger-than-life bags; beach-holiday must-packs; purse-friendly pick.* When advertising purposes take control, emotionality and exaggeration grow in series of intensifiers and superlatives: *hugely desirable, most flattering, particularly fabulous, hottest, newest, latest.* No matter how eloquent they try to be, such expressions are in effect quite vague; this vagueness – although balanced with frequent visualizations in sets of photographs – gives the readers freedom of interpretation.

Age as a key factor

A most significant feature of the *Harper's Bazaar* magazine is an obsession with age and an implicit fear of aging manifested in countless instructions on how to fight it. Aging is on the one hand praised; in the above-mentioned text about women over fifty e.g., age-related positives are almost advertised, with the women described using all kinds of sensual perceptions as *alluring, delicious, with a knowing smile, silver hair* and *proudly plunging necklines, seasoned, marinated in life experience, spicy, mellow, sweet, tart,* as *the healthiest, the best educated,* and last but not least as *the most selective shoppers* with *impressive spending power* (H.B. 2007, 122). On the other hand, paradoxically, an essential part of advertising concentrates on fighting the process of aging. Readers are offered *anti-aging* products for *mid-life skin* with the following samples of slogans: *Fight what ages you most. [Hint: dullness, discoloration and brown spots, not just wrinkles]; Fight crow's feet on your arms, and legs. New Olay Age Transform brings anti-aging to body.; New Aveeno. Positively Ageless. Rejuvenating Serum* [...] *to enhance vitality and slow aging.* For a discussion of anti-aging product advertisements in women's magazines, see Tomášková (2009).

The language of advertising thus clearly defines the target reader in terms of her age and also financial security – referring to designer clothes, luxurious brands and expensive high street shops.

FIT PREGNANCY: MOM & BABY: Now what?
Aims of the magazine and the social role of the target reader

As is made explicit in its title, the magazine reader is targeted by her social role – motherhood, which dwarfs any other feature such as age or income status. Of all the three magazines analyzed here, *Fit Pregnancy: Mom & Baby* most closely resembles self-help literature. This corresponds with the objective set out by the magazine's creators in the editor's note: *Our primary goal at Mom & Baby is to help you new mothers who are – as I was – terrified at your lack of experience* (FP 2007, 10). The self-help nature of most female reading is also emphasized by Hermés (Hermés 1995).

Magazine texts strive to cover a wide range of problems and difficulties which new mothers may possibly encounter shortly before and after childbirth and during the first weeks or months at home. Their function consists in informing and educating, influencing people's/mothers' behaviour and shaping their attitudes. Persuasion emerges as strong advice realized in a limited set of linguistic forms with the desired perlocutionary effect achieved

through a variety of communication strategies working towards winning confidence and authority among the readers. The magazine is ready to serve as *your handbook* providing *accessible info you'll want to tear out and keep handy at your breastfeeding "nest" or bedside* (FP 2007, 10).

Guiding voices

The guidance mediated by the magazine reaches the readers through the voices of experts and magazine writers. Their trustworthiness and authority are based on professional expertise (in case of doctors/paediatricians, gynaecologists, psychologists, therapists) and, more generally, on the social role they all share – parenthood. Expert voices are identified as *the father of three* or *the mother of two*, similar characteristics confirm the competence of common people's voices, with their articles signed *by Pete Nelson. Pete Nelson and his wife, Jen, are raising their son, Jack, in Massachusetts* (FP 2007, 45).

On communication strategies: between the frightening and the reassuring

The tone of the editorial anticipates the principle governing the magazine as a whole; under the title *Home at last and scared to death: everything you need to know about your new life* the writer presents coming home with a newborn as *the scariest moment* when new mothers feel *totally unprepared* and *petrified*; the editor offers herself as a vivid example of a formerly *terrified, most clueless mother who ever lived*, who was not able to cope with her baby's *crying jag*. As might be stereotypically expected, the father – soon *exhausted* – cannot help either and the rescue finally comes from a neighbour, an experienced mother: *"Gimme that baby," she commanded,* [...] *Judy gave me invaluable advice* [...] (FP 2007, 10). The writer's revelation of her own weakness and helplessness proves the general relevance of the problems mentioned, suspends possible detachment and serves as a bonding strategy. The atmosphere of uncertainty, fear or despair shrouding new motherhood is presupposed as known or expected, and effectively brings out the experienced and easy help that the magazine offers. Communication strategies evoking uncertainty are often mentioned as being constitutive of any persuasive and/or manipulative discourse (Doubravová 2008, Van Dijk 2006).

The contrast between difficulty and ease, between the frightening and the reassuring is well reflected in the language used, where the scary feelings are associated with the prospective readers (addressed as *you*, *your*) and the harmonizing with the magazine voices (*we*), e.g.:

> We tell you everything you need to know about taking care of yourself as well as your newborn, from the moment he makes his entrance to those delirious first days at home (FP 2007, 57).
>
> Sleep: baby's and yours. We answer your most pressing questions about this most vexing topic (FP 2007, 70).
>
> Here's a peek at what happens during that first mysterious day with your new baby (FP 2007, 58).

Even a happy fearless mother is reminded of possible dangers and offered help:

> You've no doubt been dreaming about your baby's birth day for months... but chances are, you haven't really considered what life with a newborn is like. Well, we've been there, and we're here for you. On these pages you'll discover not only how to survive all the ups and downs of life with a new baby but also how to thrive (FP 2007, 57).

> You're ecstatic to be at home, but chances are that you're a bit unprepared for the round-the-clock care a baby requires. Here's info on taking care of yourself too (FP 2007, 60).

As illustrated in the examples above, here – unlike in *Cosmopolitan* – imposed presuppositions are politely balanced with modality, which is not limited to expressing certainty, even though certainty generally prevails:

> Using the flash can result in a washed-out look, so you'll want to take advantage of natural light whenever you can... (FP 2007, 12).
> You will recover, of course... (FP 2007, 26).

Admittedly, uses of modal expressions of possibility or probability meet the expectations of the politeness principle, but they also appear to be motivated by the fact that target readers include many pregnant women for whom most of the situations discussed are of a hypothetical character:

> ... line up help with meals and chores for the first few weeks, if possible (FP 2007, 22).
> Even the best marriage may hit some bumps when a baby comes on board, but you can keep it on track (FP 2007, 46).
> After having a baby, you may feel so wiped out ... You also may be eyeing your post-baby body... (FP 2007, 26).

Instruction as a dominating genre

The self-help character of the magazine texts determines the dominating genre – instruction. To ensure the accessibility of information promised in the editorial, the form of instructive texts is kept very simple and matter-of-fact. In contrast to *Cosmopolitan* and *Harper's Bazaar*, short and informative headlines (more than 50% without any sub-headline) are mostly realized as imperative or declarative clauses. Unlike the preparatory dialogical structures pervasive e.g. in *Cosmopolitan* magazine, the headlines and subsequent articles in *Fit Pregnancy* immediately come to the point and often explicitly mirror the discourse of technical instruction:

> Plan to get up and about. Expect unexpected pain. Prepare to take it easy at home. Embrace your baby birth set of sub-headlines, (FP 2007, 22, 24).
> Your nipples are sore. You develop clogged ducts. Your baby nurses all the time. You can't tell if she's getting enough. You're exhausted set of sub-headlines, (FP 2007, 40).
> How to raise a trim kid (FP 2007, 34).
> Your newborn: a user's guide (FP 2007, 68).

As the advice provided usually does not require the steps to be taken in a fixed order, instructive texts tend to be organised as text colonies with a set of short articles grouped around a central topic, facilitating quick and goal-directed reading.

The blunt imposition of the flood of imperatives is regularly mitigated by rationales for the course of action recommended. Accompanying explanations draw upon professional or even scientific discourse, which supports the authority of the magazine as a professional advisor:

> "Infancy is a critical period when nutritional or other modifiable factors may partially contribute to childhood obesity,"... Read on to learn how you can establish healthy habits that will last him a lifetime (FP 2007, 34).

> To keep yourself and your baby healthy, make sure you get your daily dose of the vitamins and minerals listed here (FP 2007, 62).

The regular mitigation of impositions – by means of modality expressing possibility or probability and by rationalizing suggested actions and providing explanations of reasons or consequences – shows respect to the female reader, who is seen as the final authority in deciding on matters related to her child. This mitigation partly balances out the authoritative, patronizing approach constructing the readers as helpless new mothers who are scared to death, needing help that can only come from professionals or other, more experienced mothers – both represented here by the magazine.

Conclusion

This brief and somewhat sketchy discussion of three examples of women's magazines, I believe, has shown that their diversifying features go hand in hand with unifying aspects, or in other words, that any kind of differentiation in fact takes place within a unifying, constant frame. The essential, omnipresent feature is help or advice from an authority, which women are expected to need throughout their life in whatever role they may play. It is just the manner of their presentation and the persuasive strategy employed that differ.

All three magazines generally lean on expected social stereotypes: they meet the needs of overemotional young women, seeking advice and approval to guide their behaviour in each and every situation, of middle-aged women fighting the signs of aging, of new mothers, who – regardless of age – feel lost in their new role. It is always a women's world with men opposed, ridiculed, or excluded, respected as professionals in a field rather than partners in everyday life. It is the magazine that presents itself as an indispensable, knowledgeable and entertaining partner.

The tone reflected in the direct, informal, conversationalized ways of expression could be characterized mostly as authoritative and patronizing. A more respectful approach seen in *Harper's Bazaar* seems to be conditioned by the age and particularly the social status of prospective readers associated with financial security.

The language of all the three titles substantially draws upon the discourse of advertising, aiming at a double purpose of selling the magazines themselves as well as the products offered.

Abbreviations used:

COSMO	Cosmopolitan
HB	Harper's Bazaar
FP	Fit Pregnancy: Mom & Baby

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The Ostrava Corpus of Czech and British Radio Discussions as Material for Cross-cultural Analysis of Communication Strategies in the Language of Media

Sirma Wilamová

Abstract

The article points at some problematic issues concerning the acquisition of spoken data from already existing and available Czech and British corpora such as BNC, CNC, DIALOG in relation to the intended cross-cultural analysis of communication strategies in media language. Problems such as representativeness of discourse types and genres, non-randomness, sufficient size, ready and fast availability of information, its topicality and contextualization has finally led to the necessity to create The Ostrava Corpus of Czech and British Radio Debates. The process of creating the parallel corpora in relation to the required parameters of the corpus data is described in the second part of the article.

Keywords: spoken data acquisition, Czech, British radio discussions, cross-cultural analysis, The Ostrava Corpus of Radio Debates 2005-2007

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Introduction

Corpus linguistics as a relatively modern discipline running counter to Noam Chomsky's competence/performance approach to language is in line with relatively long-term trends in linguistics. Starting in the late 1960s and early 1970s, corpus linguistics was connected with a pragmatic turn away from a purely linguistic and structuralist focus on language to studying language as social action. This change in approach has logically brought to linguistics a focus on 'real-world' data, and as a consequence also the need for new theoretical venues and approaches. Many of these, such as Conversational Analysis, Critical Discourse Analysis, or Discourse Analysis, observe the communication of people in natural settings and aim at identifying recurring patterns in communication which are interpreted in the co-text and wider situational, social and cultural context through pragmatic analysis.

Problems of data collection

The influx of natural data is also closely connected with computational linguistics, which has considerably influenced contemporary research in many branches of linguistics, using corpus data also as a basic source for modern corpus-based dictionaries and grammars as well as representing a valuable source for interdisciplinary research. In order for corpus data to be valid, it has to have several key attributes such as "[…] typicality, objective nature, non-randomness, sufficient size and ready and fast availability of information" (Daneš 265).

No matter how important corpus data is for linguists today, still there are a number of general problems that have to be faced and which have not been solved yet. Firstly, many corpora are time-limited, which means that they cover data from a certain period of time. Unfortunately they are very rarely modernized or enlarged, hence lose their validity and

utilizability. Secondly, a great problem is the representativeness of the data. This is a crucial issue which shows a certain disbalance and randomness in the structure and the proportion of discourse types in many existing corpora, e.g. BNC, London-Lund, CANCODE, to name just three (Warren 2006). Not only is there a rather striking though understandable prevalence of written language data compared to spoken data, which is obviously caused by numerous difficulties connected with obtaining and processing spoken language, but there is also a disproportion between discourse subtypes (professional, pedagogic, intimate etc.) or genres such as conversation, academic discourse, business discourse, public speeches etc. (Daneš 2003), which can influence the objectivity of the results. A detailed and comprehensive analysis of spoken language corpora is discussed by Warren. The last problem that should be mentioned is very often a lack of contextualization, which is necessary in many linguistic areas but especially in pragmatic research where the context as a dynamic factor is crucial for a correct pragmatic interpretation.

The present state of cross-cultural research

The aim of my research in the team grant project No. 405/07/0176 *Communication and Textual Strategies in Radio, Magazine, Commercial and Academic Texts (a contrastive analysis of English and Czech discourse)* supported by the Czech Science Foundation is to conduct a cross-cultural analysis with the objective of identifying, analyzing and comparing the range of communication strategies used in the contemporary language of Czech and British radio discussions.

Generally speaking, cross-cultural analyses of spoken language in this area are still considerably rare, not to say exceptional, perhaps because there are a number of problems as mentioned above that have to be faced when collecting parallel data in order for the data to be representative as to the discourse types and subtypes under investigation, their broadcast content and the size of the data in order to provide relatively valid conclusions.

A significant work devoted to Czech spoken media language has been published by the renowned Czech researchers Hoffmannová, Čmejrková and Müllerová. The first two of these linguists also participated in the international project on *Czech and Slovak Public Oral Speech in the 1990s*. In their book entitled *Language, Media, Politics* (2003), they and their Slovak colleagues reflect a significantly changing situation in the genre of public oratory, radio and television political and media discourse (interviews, debates, polemics). They offer an interesting analysis of the main trends in the speech situation during the transition period of newly established democratic societies immediately after the fall of the communist regime in 1989.

Also an international team of Czech and Slovak linguists led by M. Ferenčík (University of Prešov) and supported by the VEGA Grant Agency in the period of 2006-2008 (under the Ministry of Education of the Slovak Republic and The Slovak Academy of Sciences) focused on cross-cultural research into politeness in the language of the media.

The problems of suitability of existing Czech and British corpora of spoken language

A major problem when attempting to study authentic spoken language is to acquire suitable (and in the case of a cross-cultural analysis, also parallel) data. With the specific framework of the research in mind, the criteria as to the type of media language –radio discussions, a higher number of participants, a greater variety of topics discussed and varying levels of formality, have been defined.

The very first step was to become acquainted with already existing and available corpora in both languages. These were the 100 million word British National Corpus (BNC), the

Czech National Corpus (CNC) and the DIALOG corpus containing Czech discussions. What turned out to be the main problem and a most serious obstacle revealed only after a thorough search of the existing corpora was the pre-set and specified parameters for the intended analysis.

As for the BNC, only 10% of the texts are made up of spoken material. These are randomly chosen as far as the selected genres are concerned, covering only informal conversations, formal business or government meetings, radio shows and phone-ins. Moreover, unless the corpus is purchased it is not really possible to find out exactly whether the radio programmes available will meet the required criteria, how many will be at disposal and when they were recorded. The BNC material was collected in the years 1991-1994 with a slight (although unfortunately unspecified on the BNC website) revision in 2001 and 2007, which is supposedly connected with its transition to new software tools rather than with the content update. Additionally, considering the character of media discourse, thirteen years or even more is problematic in regard to its topicality.

Another issue is the exact form of the transcripts, which cannot be identified because the examples of longer stretches of texts are not available on the web and cannot be decoded from rather vague information on BNC web pages saying that "The spoken part consists of orthographic transcriptions of unscripted informal conversations (...) and spoken language collected in different contexts, ranging from formal business or government meetings to radio shows and phone-ins". (BNC. Retrieved February 2, 2008, from http://www.natcorp.ox.ac.uk/corpus). It is not clear whether the form of the transcripts means purely the orthographically transcribed texts from the recordings, or whether it contains any transcription marks relevant for conversation or discourse analysis such as overlaps, the length of pauses, prosodic phenomena such as intonation etc., because these are more relevant for discourse analysis than e.g. tagging (i.e. formalized marking of particular grammar theory providing morphological, syntactic, lexical, stylistic and other type of information).

The situation with the Czech National Corpus (CNK) is much more positive in many aspects. Spoken data consists of Prague and Brno corpora that have entered the second hundred million of words (Daneš 265) and are being continuously and systematically extended. Authentic recordings of different types of spoken language that differ in their extent, time, content, genre and territorial span are fully available to researchers, which is a great advantage. Apart from the above-mentioned differences, the compilers of the CNK otherwise follow the same criteria, mainly the principles of transcription (Čmejrková, Jílková, Kaderka 244).

Similarly to the BNC, the Czech National Corpus consists of a majority of written material, however the spoken part is continuously being extended and as exact numbers of words are not available, the situation may be different today. The problem, however, is that in the Prague (1988-1996) and the Brno corpora of spoken Czech (1994-1999), the main focus is centred on two discourse types, namely informal conversations between participants who know each other well, and the formal discourse is represented by a fixed and structured question-answer. The newest one million ORAL2006 corpus (2002-2006) also contains an informal conversation between acquaintances or friends (Český národní korpus. Retrieved February 2, 2008 http://ucnk.ff.cuni.cz/), which is the main reason why CNK could not be used for the research.

The only corpus targeting current Czech media discourse has been created at the Institute of the Czech Language, Academy of Sciences of the Czech Republic. The two million word DIALOG corpus contains all genres of media dialogue, focusing mainly on political interviews, debates, polemics, and informal talk shows. It contains valuable authentic material that has been recorded since 1997. Since 2003 it has been revised, and importantly it is

transcribed with a set of conventional transcription marks used for conversation and/or discourse analysis (Korpus DIALOG. Retrieved January 31, 2008 http://www.ujc.cas.cz/oddeleni/index.php?page=DIALOG). Nevertheless, the major drawback for my research is that it covers only television (not radio) discussions and debates.

The Ostrava Corpus of Czech and British Radio Debates recorded in the years 2005-2007

Taking into consideration numerous problems of (un)suitability of spoken data in existing Czech and British corpora in relation to the parameters set for the intended cross-cultural research such as radio discussions from different programmes, a wider range of comparable broadcast content, a higher number of participants and a varying level of formality led me finally to the necessity to build up a specifically designed corpus that would address the above-mentioned criteria.

The Ostrava Corpus of Czech and British radio discussions came into existence in the course of the first year's duration of the grant project, although it is a result of a two-year period of work (2006-2007). It presented a time-consuming and demanding process involving searching numbers of radio programmes on both public service stations, the selection of particular discussions, downloading, for a majority of material writing the orthographic texts from recordings corrected by a native speaker, and transcribed using conventional transcription marks providing special linguistic and non-linguistic information such as identification of the speakers, overlaps, immediate linking of the following utterance, hesitation phenomena, pauses, unfinished words and sentences, repetitions, prosodic features such as intonation, prominence, as well as other relevant comments by the author of the transcript.

The structure of the corpus:

The already existing source material for the research consists of 18 radio debates (lasting 15-45 minutes) in approximately 8 hours of spoken language (230 minutes and 238 minutes for each language) recorded and transcribed. The corpus total is 80 457 words taken from British and Czech radio programmes with comparable content broadcast by public service stations (BBC, Český rozhlas). For practical reasons the corpus uses a transcription convention that is compatible with both the DIALOG corpus and with common conventions used in conversation and discourse analysis.

The criteria for the selection of radio discussions are as follows: (1) a higher number of participants, i.e. interaction between one or two presenters and two or more guests, which ensures a greater variability of relationships; 2) varying content (political, social and cultural topics) in order to give the corpus a wider range of topics). It is to be expected that some topics will bring general consensus among participants, while others will bring disagreement and confrontation, probably resulting in the use of different communication strategies; 3) varying levels of formality determined by the topic and the selection of guests in the studio.

As for the broadcast content, the corpus data are taken from 8 different radio programmes with usually two or more discussions within a single type and different hosts, so that both conventional as well as habitual language behaviour of the different hosts can be observed.

The corpus contains not only discussions about 'serious' topics such as politics, technology, education or science aimed at the whole of society, but there are also radio programmes targeted at specific groups such as women or the disabled discussing their specific problems and issues, which represents a very specific type of programmes with a significant impact on the conversational structure as well as on the discourse strategies used.

The corpus data was collected with the aim of monitoring not only the referential (i.e. informative) but also the affective function, because not only do the media provide and are expected to provide a free flow of news and information, but relatively new trends in media discourse increasingly reflect the efforts to mix the public world of politics, science and education with attributes of private and phatic communication in the otherwise fixed institutional structure of media discourse. The evidence of this trend is apparent in what Fairclough (9) calls 'conversationalization' of media language, which shows that the main emphasis has been partly shifting from information to entertainment.

Finally, in order to provide the opportunity to investigate a wider range of potential communication strategies, the corpus covers programmes where the atmosphere is cooperative and friendly, as well as those programmes where the tone is argumentative or even conflictive and confrontational. This is enabled not only due to the relatively wide range of topics discussed, but also due to the number of participants - ranging from three to six - as well as due to their roles and personal characteristics.

Much has been said and argued about the optimum ways of spoken data acquisition and about their suitability, which is crucial mainly for authentic conversation but can also - to a large extent - be successfully applied to institutional discourse (Roger 1989, Tyler and Cameron 1987, Cheng 2003, Warren 2006). Although I am aware of the fact that the size of the corpus designed for this study cannot be compared to the size or range of discourse and text types of the other corpora discussed before, I believe that its main value lies in the fact that it has been collected for the specific purpose of the research and as such can represent valuable material for a cross-cultural analysis of contemporary language in Czech and British public debates as a specific media genre.

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Personal Pronouns and Writer Identity as a Type of Communication Strategy in Academic Texts[1]

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Abstract

This paper explores the concept of so called author identity as a type of communication strategy in written academic texts (research articles) that are traditionally regarded as impersonal and non-interactive texts. I claim that interaction in written texts can be viewed as a multi-faceted phenomenon. Author identity is investigated through the use of personal pronouns: I aim to reveal how first-person singular pronouns in particular may help writers establish their relationship with prospective readers as well as the particular academic discourse community. First-person singular pronouns are investigated both quantitatively in frequency analysis and qualitatively with respect to discourse functions they perform in research articles. A comparative insight of the paper, which lies in comparing research articles in economics and linguistics, reflects cross-disciplinary variation in the use of first-person singular pronouns.

Keywords: communication strategy; writer identity; personal pronouns; academic texts; research articles

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Writer identity and impersonality

Academic writing has been stereotypically associated with impersonality and seen as implementing a sense of detachment. Such a stance, which diminishes the role of the author and gives preference to 'objective' facts, has been widely advanced by a number of handbooks and style guides for students and science novices as well as textbooks. This view of academic writing as impersonal has been partly a result of understanding the written text as a non-interactive medium.

The concept of impersonality in linguistics is an unquestionably complex and multifaceted phenomenon: it subsumes a number of 'techniques' and discoursal strategies how to be impersonal. However, the aim here is not to study various means of expressing impersonality but rather focus on some facets of revealing writer identity as a type of communication strategy. This is in accord with recent research into the interactive nature of academic writing that has unanimously acknowledged its interactive character. It has been shown especially in the studies by Hyland (1998, 2002), Kuo (1999), and Myers (1989). Much influential is Myers's (1998) approach which is based on pragmatic view of interaction in scientific articles on the background of the dynamic reader-writer relationship as suggested in the framework of politeness strategies by Brown and Levinson (1987).

Instrumental seems (though not exclusively) Hyland's (2002) viewpoint of impersonality in academic texts as the general concept which is manifest in two broad categories: *writer identity* and *the myth of impersonality*. Thus, impersonality can be treated within the two categories as reflected by two lexico-grammatical forms: the use of pronouns and the passive voice, respectively. In the present account, the aim is to study writer identity as realized by

particular personal pronouns, but first let us have a closer look on what lies behind the impersonal streaming of academic texts.

As mentioned above, impersonality of academic texts is commonly recommended by various books on writing styles. Here are some suggestions in which the authors strongly advise to avoid personal voice in academic writing:

> (1) Much academic and professional writing is best presented from the third-person point of view ..., which puts the subject in the foreground. The I point of view is usually inappropriate in such contexts because, by focusing attention on the writer, it pushes the subject into the background (Hacker 47).
> (2) The total paper is considered to be the work of the writer. You don't have to say 'I think' or 'My opinion is' in the paper. ... Traditional formal writing does not use I or we in the body of the paper (Spencer and Arbon 26).
> (3) To the scientists it is unimportant who observed the chemical reaction: only the observation itself is vital. Thus the active voice sentence is inappropriate. In this situation, passive voice and the omission of the agent are justified (qtd. in Hyland 351).

Understandably, the aim is not to overgeneralize by drawing overtly simple conclusions: despite promoting 'traditional formal writing' not all guides on style assume the same strict position on the phenomena discussed. For example, in (4) the author offers explanation and context for the previous opinion in (1). In the case of the passive voice, the advice in (5) and (6) is quite erudite:

> (4) Writers who are aware that the first-person point of view is sometimes viewed as inappropriate in academic writing often overgeneralise the rule. Concluding that the word *I* is never appropriate, they go to extreme lengths to avoid it (Hacker 50).
> (5) Prefer active verbs: Active verbs express meaning more emphatically and vigorously than their weaker counterparts – form of the verb *be* or verbs in the passive voice. ... Verbs in the passive voice lack strength because their subjects receive the action instead of doing it. Although the forms of *be* and passive verbs have legitimate uses, if an active verb can carry your meaning, use it (Hacker 164-165).
> (6) Prefer the active voice: In the active voice, the subject of the sentence does the action; in the passive, the subject receives the action. Although both voices are grammatically correct, the active voice is usually more effective because it is simpler, more direct, and less wordy (Hacker 314).

The foregoing discussion might imply that we are too much obsessed with relatively unproblematic linguistic phenomena: how does it matter in presenting true scientific facts whether the author employs the third-person *it* instead of first-person *I*? However, recent research into the disciplinary nature of academic writing has shown that "[t]he words [authors] choose must present their ideas in ways that make most sense to their readers, and part of this involves adopting an appropriate identity" (Hyland 2002:352).

Writer identity and disciplinary variation

Seminal for the ongoing discussion is Hacker's (1994) remark in (4) in which she calls for the authorial responsibility to conclude and decide on the appropriate use of *I*. The choice of an appropriate pronoun is determined not only by its rhetorical function but there are disciplinary variations and preferences developed within discourse communities that communicate through various kinds of discourse products, in our case research articles. Hence, the aim of the paper is to reveal how writer identity is reflected in research articles from two disciplines: linguistics and economics. To narrow down the concept of 'writer identity' the assumption is

that a "writer's identity is created by, and revealed through, the use or absence of the *I* pronoun" (Hyland 2002:352). Moreover, the focus will be also on second-person *you* pronoun which, together with *I*, has a strategic role in making the speaker and addressee impersonal for certain reasons (Brown and Levinson 1987).

The paper is intended as a qualitative analysis of the use of the pronouns *I* and *you* in research articles from two disciplines. For this reason, the frequency of occurrence of the two pronouns served as a basis for qualitative analysis. The occurrences were examined (i) with respect to their function of *exclusive* first-person sg. pronoun, i.e. *author pronoun* (cf. Hyland 2002) which is used to refer only to the writer; and (ii) with respect to non-referential, impersonal function of *you* in academic texts.

The corpus consists of 24 research articles from theoretical linguistics (*Journal of Linguistics – JL*) and economics (*The Economic Journal – EJ*) published in 2004 and 2005. Understandably, the pronoun *I* was studied only on the single-author subcorpus (12 journals) whereas second-person *you* was examined in the whole corpus. The two disciplines were chosen intentionally with the aim to reveal disciplinary variation in the use of personal pronouns in theoretical linguistics and economics. It is expected that the comparative aspect of the analysis will reveal some cross-disciplinary variation attributed to the differences between the humanities and social sciencies.

To my knowledge, the two journals do not have any editorial policy regarding the use of pronouns. The corpus comprises approximately 220,000 running words; the article length is on average 9,100 words.

The pronouns *I* and *you*: theoretical considerations

The study of the use of personal pronouns contributes to the investigation of how context interacts with language in terms of grammar. The personal pronouns (together with demonstrative pronouns and some adverbials) form the deictic system of language whose function is to 'locate' discourse (Halliday and Hasan 1976; Lyons 1995) in the wider extra-linguistic context of 'here and now'. They are the means of interpersonal and intersubjective communication since their function is to constitute the roles of the speaker and addressee primarily in face-to-face communication. Rounds (1987) characterizes them as

> [*e*]*mpty* signs waiting to be filled in the instances of discourse, since the deictics do not refer to any objective reality but must constantly refer to the instance of discourse that contains them. ... By their constant self-reference, these signs function to mark the process of appropriation, the process by which users take over the resources of language for their own purposes. [therefore] personal pronouns are at the intersection of the grammatical and pragmatic subsystems of language. (14, my italics)

Generally, the personal pronouns are distinguished for first, second, and third person; semantically they are classified (Huddleston and Pullum 2002; Lyons 1968; Quirk et al. 1985) within the categories of coding, specific reference, or the utterance-act roles: 1st person – speaker inclusion, 2nd person – addressee inclusion, 3rd person – speaker and addressee exclusion. Inherently exophoric pronouns *I* and *you* are identifiable with the participants of communication – they mutually express participant roles in the speech event, and are treated as pure deictics that do not supply any additional information on the part of the speaker or addressee. In what follows, I will look at the uses of personal pronouns with respect to their communication function in research articles.

The pronoun *I*

The pronoun *I* is the most evident marker of an author's presence in a text; it is an effective way of projecting a strong writer identity. Therefore, the aim is to reveal whether the two disciplines under research employ the pronouns in the same conventions in either supporting a strong identity or downplaying personal role of the writer.

Basically, *I* refers to the speaker; its function in academic texts has been mainly studied (Hyland 2002; Kuo 1999; Rounds 1987) according to its exclusive role of an *author pronoun* (often in analogy with *we*). However, some research (Rounds 1987) revealed that apart from its exclusive speaker-utterance role *I* can also be used when the speaker-teacher posits himself/herself to the role of spokesperson for the discipline:

> (7) Now, the way I'm going to define my trig functions, ... is I'm going to call the sine of *t* ...I'm going to say that the sine associated with this height *y* ... (Rounds 17).

Needless to stress that (7) is a manifestation of spoken language; therefore I would be careful to draw any general validity and applicability of the claim to the written text.

For the purposes of the present analysis, the pronoun *I* was investigated on the single-author segment of the articles in the corpus due to the nonexistence of *I*- occurrences in multi-author articles for obvious reasons. Quantitatively, *I* (*me*, *my*) appears 344 times in the corpus (Table 1); the cross-disciplinary comparison reveals 18.5% frequency in economics texts versus 81.5% in linguistics texts. In order to highlight this relatively profound variation between the two disciplines, the pronoun *I* has been treated with respect to two aspects that seem to play a decisive role in its function in a text: (i) the various 'writer roles' and (ii) the use in a particular section in the text. Briefly, the aim is to suggest whether and how these two aspects interplay.

Table 1 Frequency of *I* and *you* in the corpus[2]

Personal pronouns	*The Economic Journal* 79,467 words		*Journal of Linguistics* 138,393 words		TOTAL 217,860 words	
	number	%	number	%	number	%
1st person sg	40	**18.5**	304	**81.5**	**344**	100
I	26	11.9	278	74.5	304	88.4
me	0	0	3	0.74	3	0.87
my	14	6.6	23	6.3	37	10.73
2nd person	6/68	**2.52/28.57**	2/162	**0.84/68.1**	**238**	100
you	6/68	2.52/28.57	2/162	0.84/68.1	238	100
your	0	0	0	0	0	0

There are a great number of classifications of functions of personal pronouns in academic texts. Tang and John (1999) present a typology of six *I* functions that develops Ivanic's 1998 concept of a continuum of *I*'s with respect to the degree of authorial power: (1) *I* as the representative, (2) *I* as the guide through essay, (3) *I* as the architect of the essay, (4) *I* as the recounter of the research process, (5) *I* as the opinion holder, and (6) *I* as the originator (1999:25). Hyland (2001) focuses on self-mention as a valuable communication strategy for stressing a writer's contribution in terms of the use of self-citation so as to "both strongly identify oneself with a particular argument and to gain credit for one's individual perspective or research decision" (212), mainly in the humanities and social sciences papers. In Hyland's words (2001:224) "self-mention is important because it plays a crucial role in mediating the

relationship between writers' arguments and their discourse communities, allowing writers to create an identity as both disciplinary servant and persuasive originator." In the present research, writer roles have been defined according both to the functions of personal pronouns just mentioned and the most frequent occurrence of *I* in the corpus: every single pronoun was examined with respect to its rhetorical function with the help of the verb accompanying the pronoun. Together with Hyland (2002:355) the four main – basic – writer roles that appear in the corpus are specified as follows:

1. *explaining what was done*: "*I* examined property and land taxation in a wider economic perspective" (ME 100).
2. *structuring the discourse* (metadiscourse): "In this section, *I* discuss some general properties of complex systems" (DSE 226).
3. *showing a result*: "*My* findings indicate that focus structure plays a considerable role in split transitivity, and support the analysis ..." (BL 258).
4. *making a claim*: "*I* suggest that the Matrix Sense could only have become associated with 'time' ..." (EL 62).

The accompanying verbs are important in specifying and classifying the rhetorical role of *I*: out of 22 verbs, the most frequent verb in both disciplines is *argue*, followed by *show*, *propose* and *suggest*. The verbs are in present simple; some are used with modals (*would like to*) and *will* (especially the verbs *argue*, *show* and *suggest*).

When examining the use of *I* in a particular section of the article it was found out that all single-author texts in both disciplines do not follow a similar 'visible' and structuring pattern that would suggest the rhetorical development of the argument. Therefore, I decided to 'measure' this on the background of the only existing framework for treating the research-article structure: the *IMRD* model (Swales 1990). Though the *IMRD* model reflects the structure of experimental research articles, here it has been employed as a useful, but a mere tool that might help us generate the structure of the argumentative articles in the corpus in general features. Interestingly, only the *Introduction* and *Conclusion* (*Discussion* in the *IMRD* model) sections have been marked explicitly though with some disciplinary differences: all the *JL* articles have both the sections mentioned whereas the *EJ* articles open with an untitled section in place of introduction and have only *Conclusion* marked visibly. Such a heterogeneous structuring of articles is most probably given by the editorial policy of both journals and therefore it will not be the object of the present study.

In contrast to *Methods* and *Results*, the respective chapters in the corpus have topic-related titles which sometimes do not clearly distinguish and reflect the individual steps and phases of investigation and therefore make the text more difficult to decode superficially. On the other hand, such structuring is quite logical if we are aware of the argumentative character of the texts; instead of 'methods' they present 'considerations' or 'models'; 'results' and 'discussions'are usually treated within 'conclusion'.

Most of the uses of *I* in the *EJ* subcorpus reflect the rhetorical move *structuring the discourse* (Table 2), i.e. guiding the reader through the article which is not a strong authoritative role:

> (8) In this Section, *I* discuss some general properties of complex systems. *My* objective is not to define complexity *per se* ... For *my* purposes, complex systems are those comprised of a set of a heterogeneous agents ... What distinguishes complexity ... is the presence of the aggregate properties *I* describe (DSE 226).

Table 2 Semantic references of *I* in relation to rhetorical functions in *The EJ*

***The EJ* 40 items**	Introduction	Methods/ Considerations	Results	Discussion/ Conclusion	Total
1. What was done	1	1	1	0	3
2. Structuring the discourse	8	7	1	8	24
3. Showing a result	0	0	0	0	0
4. Making a claim	0	0	2	11	13
Total	9	8	4	19	**40**

Regarding the occurrence of *I* in individual sections in the *EJ* articles, it appears most frequently in *Discussion/Conclusion* part, which does not seem to correlate with the rhetorical move of *structuring the discourse* which would be expected to serve as rhetorical 'guidelines'. However, in this case it is the rhetorical move *making a claim* that abounds in *I*, which is quite normal as this move is expected to present observations and to draw results with a stronger authoritative bias. Still, we would be careful to draw any decisive conclusion about this frequency, because these 11 occurrences appear in DE article: this text is highly theoretical and speculative as its title – *Complexity and empirical economics* – suggests. It flows with the phrases bringing a strong authoritative claim: in *my own* reading, *my general* conclusion, in *my view*, as *my* brief *conclusion* has indicated, as *my discussion*, *I suspect* etc. In the context of all single-author texts in the corpus, this is the only text with such a strong author voice visible. To sum up, the *EJ* articles seem to rather avoid the authorial voice indicated by *I*.

In contrast to economics texts, the articles in linguistics show (Table 3) proportionally a much higher number of *I*-pronouns (304 items = 81.5%). Similarly to the *EJ* texts, the articles from *JL* also employ *I* in introductory sections to reveal structuring of discourse, sometimes in even so much frequently within one paragraph:

> (9) In this paper, *I* study the distribution of third person pro-drop in Standard Finnish, Hebrew ... *I* discuss a variety of data from these languages in the light of Ariel's (1990) theory ... In section 3, *I* discuss three syntactic accounts ..., and *I* show that none of these theories can account for the whole data. *I* conclude that a detailed theory of discourse anaphora is necessary (GL 465).

Table 3 Semantic references of *I* in relation to rhetorical functions in *JL*

***JL* 304 items**	Introduction	Methods/ Considerations	Results	Discussion/ Conclusion	Total
1. What was done	1	18	6	0	25
2. Structuring the discourse	51	99	16	4	170
3. Showing a result	0	33	4	13	50
4. Making a claim	0	43	11	5	59
Total	52	193	37	22	**304**

Frequent is also the use of *I* when making a claim (10) and showing results in (11) and (12):

> (10) The view *I* am proposing, however, entails that this inference is INVALID.Since *I* claim that the truth conditions of ... (CL 13).

(11) To sum up, in section 4.2.1, *I* have considered five saliency-related factors ... *I* have also provided evidence for the effect of all factors except agenthood ... Finally, *I* have demonstrated the varying degrees of antecedent accessibility ... (GL 482).
(12) *My* findings indicate that focus structure plays a considerable role in split transitivity, and support the analysis ... (BL 258).

Regarding the rhetorical moves in *JL* texts, it is the section *Methods/Considerations* that has most *I*-occurrences: they function in structuring the discourse by giving the reader signals what will be done.

If we compare the two disciplines, there is a marked difference in the frequency of *I*-occurrences which speaks for impersonal tenor of economics. In contrast, there is little difference in the use of *I* in rhetorical functions and particular sections of the articles. In Table 4, the pronoun *I* has the main function in *structuring the discourse* and it appears mainly in *Methods/Consideration* section: it seems that most authors tend to structure every larger chapter so as to reveal the steps by clearly suggesting *what*, *by whom*, *where* and *how* will be discussed. Such a tendency is obvious mainly in linguistics texts, where the use of *I* is also evident in overtly expressing opinion (apart from non-authoritative recounting the research process) in contrast to economics where the writers seem to structure the text and persuade the reader quite impersonally by employing mathematical figures and statistics (see McCloskey 1994). Nonetheless, there is no a complete correlation between particular rhetorical moves and individual sections of articles: according to the corpus, we cannot claim that, for example, the rhetorical move *what was done* is manifest exclusively in *Introduction*.

Table 4 Semantic references of *I* in relation to rhetorical functions in *The EJ* and *JL*

The EJ* + *JL **344 items**	Introduction	Methods/ Consideration	Results	Discussion/ Conclusion	Total
1. What was done	2	19	7	0	28
2. Structuring the discourse	59	106	17	12	194
3. Showing a result	0	33	4	13	50
4. Making a claim	0	43	13	16	72
Total	61	201	41	41	344

The pronoun *you*

In Table 1 there are two figures for second-person pronouns: the first figure shows the occurrence of *you* (*your, yourself, yourselves*) in the corpus – together eight times (0.3% of all pronouns) which is quite an insignificant minority. It appears in four articles: three are from *EJ* and one from *JL* subcorpus. The second figure stands for so called *hidden you* (cf. Kuo 1999) of the imperative whose occurrence in the corpus (9.1%) exceeds overt *you*.

The exophoric pronoun *you* is typically used as a deictic device for the speech role 'addressee' according to which it refers to an "addressee or a group including at least one addressee but no speaker" (Huddleston and Pullum 1463) and it is usually characterized as a less formal substitute for *one*. The pronoun is overtly interactive in its nature as it directly draws the addressee to the on-line process of communication. The pronoun is used either in its 'primary' meaning, i.e. when referring to a specific person (e.g. *You* are my best friend) in its exclusive meaning; or in its 'secondary' use when *you* does not denote a particular person but people in general: the non-referential, generic, or impersonal *you* (*You* can never tell). The low frequency of *you* in the corpus can be attributed to its overtly interactive nature due to the

direct reference to the addressee which is typical of speech. For this primary use, Kuo suggests that "from the perspective of the reader-writer relationship in a journal article, *you* could sound offensive or detached since it separates readers, as a different group, from the writer. ... [t]he writer must appeal to their [readers'] approval of the knowledge claims" (126).

The generic *you* in its non-referential meaning and the semantically inclusive sense is present in all uses in the corpus, see (13) – (15).

(13) For example, if *you* assert that *tamen quxiao-le na-chang bisai* 'They cancelled the game' in the first clause, *you* cannot possibly contradict this by ... (XML 336).
(14) In other words, it is not so much what *you* say *you* do, but how *you* do it (BLE 102).
(15) In this context, the well-known Solow paradox – that *you* could see computers everywhere but in the productivity statistics – appears less puzzling and in fact ... (CE 348).

Moreover, its function in scientific contexts can have a specific shade of reference to the "speaker's rather than the hearer's life or experiences" (Quirk et al. 354). In this sense, Halliday and Hasan (1976) talk about generalized exophoric reference of *you* in which the referent is taken "as it were immanent in all contexts of situation" (53): *you* is not individualized – it (together with *one*) refers to any human self-respecting individual.

Apart from its overt generic use, the pronoun is much more frequent in the corpus in its covert, imperative (hidden) form (Table 1 – figures in brackets); it is used with the following verbs of expressing thinking and presupposition such as *consider, see, note, suppose, notice, compare, recall, observe, assume, define*:

(16) *Imagine* now that the marked value of PI in figure I allows local scrambling (versus no scrambling) and the marked value of P_2 ... (FSL 527).
(17) ..., *see* Muellbauer and Murphy (1997) for further discussion (ME 104).

Though the imperatives appear in various sections across the articles, they tend to accumulate in the introductory parts where the author(s) explain the objectives, methods, materials and offer literature sources, i.e. in parts which are connected with the procedure of the research. Therefore the imperatives frequently introduce and precede equations and examples:

(18) *Consider* the noun phrase *these boys and girls* and its corresponding c- and f-structures in [27] (KDL 79).

As for the disciplinary variation, the sparse use of overt *you* does not seem to have any specific rhetorical functions apart from those just mentioned. In its generic function, *you* can have the role of an informal equivalent of *one*. In its covert form it is almost three times as much frequent in texts from the *JL* (68.1%) which provide any conclusive evidence.

Conclusion

Nonetheless to say that appropriate language choices are a necessary prerequisite of effective academic writing. The appropriate language choices subsume not only the techniques for managing the presentation of meaning in terms of content but also employ certain communication strategies for presenting the writer in a text. The writer has many 'choices' how to present the self and this interpersonal aspect of academic writing has immense importance in spreading academic argument. McCloskey (120) claims that "writing of all kinds and scientific writing too, is a little drama in which the writer chooses the roles." Writer roles and writer identity were examined through the use of the pronouns *I* and *you* that indicate the author's identity most strongly and are signals of a certain authoritative role in a

text. The present research has revealed certain disciplinary variation between two disciplines. In theoretical linguistics, the author of the article is more embedded in a text: the discipline shows five as much higher use of *I* in contrast to economics where the author seems to employ the communication strategy of arguing and persuading by statistics, figures and proofs which raises abstraction of the texts. Nevertheless, it is doubtful whether more numerous use of *I* in linguistics is a proof of a stronger writer identity, because the pronoun is used in rather auxiliary function of *structuring the discourse*. Though the present research is only a probe into a more complex phenomenon, it can bring more understanding and awareness of writer identity – *writer-self* – in academic texts: academic texts are not exclusively impersonal entities flowing with passives and nominalizations. On the contrary, they offer choices in terms of specific communication strategies and it is our task to develop awareness of them.

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Note

Since the articles in the corpus have different numbers of words, a comparison of real occurrences would result in distorted outcomes. For this reason, real counts have been converted to so called normed counts to a standard scale per 100,000 words and these normed counts were subsequently converted to the per cent format used in Table 1.

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Literature and Culture

U.S. Propaganda during World War II and the Cold War and the American Response to the Holocaust

Stanislav Kolář

Abstract

This essay focuses on the reception of the Holocaust in the United States. It attempts to explain the reasons behind Americans' rather indifferent response to the genocide of Jews during World War II and in the early years of the Cold War. It illuminates the impact of propaganda on the response to the Holocaust in both parts of a geopolitically divided world. The purpose of this essay is to show how the reception of the Holocaust in American society affected the representation of this tragic event in American literature and culture in the postwar period.

Keywords: Holocaust, World War II, propaganda, Jews, American culture

When in 1948 the gruesome reality of the death camp in Auschwitz was revealed to the general public in its full extent, Jewish American writer and journalist Isaac Rosenfeld responded to it in the following words:

> We still don't understand what happened to the Jews of Europe, and perhaps we never will. There have been books, magazine and newspaper articles, eyewitness accounts, letters, diaries, documents certified by the highest authorities on the life in ghettos and concentration camps, slave factories and extermination centers under the Germans. By now we know all there is to know. But it hasn't helped; we still don't understand... there is no response great enough to equal the facts that provoke it. (qtd. in Kremer 11)

Similar feelings were expressed in the novel *In the Beginning* (1975) by Chaim Potok through his protagonist, a small boy named David Lurie, a child of Polish Jewish immigrants to America, who gets acquainted with the terror of the Nazi genocide vicariously from the pictures published in magazines and newspapers:

> I saw a photograph of dead children, eyes and mouths open, bodies twisted and frozen with death and I tried to enter it and could not. I bought the papers and magazines and saw the photographs of the chimneys and the furnaces and the death trains and tried to penetrate the borders of the cruel rectangles – and I could not do it. They lay beyond the grasp of my mind, those malevolent rectangles of spectral horror. They would not let me into them. (400)

Both quotations point to the same fact: that the events of the Holocaust are beyond our understanding and that we can hardly find words for the destruction of almost six million Jews because words lose their meaning in the face of brutal actuality. Yet a disquieting question comes to our mind: is this seeming inaccessibility of this subject, its inexpressibility, the only reason for the long-lasting silence about the Holocaust in the United States? Does it sufficiently explain Americans' hesitance to tackle this experience of atrocity?

If we settle for a more general approach to the Final Solution, we will hardly be able to explain a certain discrepancy in the response to this historical collapse in America and Europe. Obviously we must consider geographical factors and admit that the long distance between the European wartime scene and American shores had an impact on the delayed response of Americans to the Nazi genocide. An overwhelming majority of Americans did not come into touch with the *Shoa* directly, and unlike many Europeans, they had no immediate

experience of this mass disaster. However we must also look for answers in the historical context – in the social and political situation in the United States during World War II and in the postwar years marked by the Cold War.

It is understandable that Americans' knowledge of the mass extermination of Jews was limited during World War II. Even in Europe, news about the systematic killing of the Jewish population spread very slowly, and many people – including Jews themselves – refused to believe it. They tended to dismiss information on the atrocities in death camps as false rumors or overblown fantasies. In a way their disbelief was justifiable, because they could hardly imagine the efficiency of the modern technology of killing. Moreover, the unreliability of the sources of information also contributed to the general questioning of their truth. The news was disseminated through illegal, unofficial channels that did not breed confidence. With increasing distance from Europe, skepticism toward the destruction of European Jewry was even bigger. It is not surprising that many Americans considered the news about the mass murder of Jews in Europe to be exaggerated, a part of the war propaganda.

There was another reason for the marginalization of the Holocaust in the United States: the persecution and annihilation of Jews were, in fact, overshadowed by the wartime events in which Americans were involved directly. One of these was undoubtedly the attack on Pearl Harbor. People's focus was shifted to the Japanese, who had become America's worst enemy. For the American mass media and their audience it was much more interesting to follow the dispatches from theatres of war in the Pacific and Europe than to pay attention to disturbing news about the fate of Jewish people in the old continent. Consequently, only few Americans were aware of what was happening to Jews in the concentration camps and death camps. The extent of the Jewish catastrophe remained hidden – and not only because of the skilful tactics of the Germans, who kept the terrible conditions in the concentration camps secret. Peter Novick in his book *The Holocaust in American Life* (1999) mentions another factor that led to Americans' indifference to the Jewish catastrophe. He points to the blunting of people's senses, which resulted in ignorance:

> It has often been said that when the full story of the ongoing Holocaust reached the West, beginning in 1942, it was disbelieved because the sheer magnitude of the Nazi plan of mass murder made it, literally, incredible – beyond belief. There is surely a good deal to this, but perhaps at least as often, the gradually emerging and gradually worsening news from Europe produced a kind of immunity to shock. A final point on disbelief. Accounts of the persecution of Jews between the fall of 1939 and the summer of 1941 often spoke of 'extermination' and 'annihilation.' This was not prescience but hyperbole, and prudent listeners took it as such. By the following years, when such words were too accurate, they had been somewhat debased by premature invocation. (25-26)

Novick also mentions the passivity of the Jewish civilian population during World War II, which is in contrast with the American desire to present victims as heroes, in the spirit of the American tradition. Stories about Jews going like sheep to the slaughter did not match the American fondness for heroism, embodied by Kit Carson, Buffalo Bill or Davy Crockett in tall tales and various stories from the Frontier, and extensively voiced in mass culture. Put briefly, the Holocaust was not an American story.

The failure of the USA to make efforts to save as many Jews as possible was also influenced by the American immigration policy established before World War II. In spite of the relatively liberal approach of Americans to immigration, from time to time anti-immigration sentiments prevailed among them as a reaction to strong immigration waves. These sentiments provoked a response in Congress, which passed restrictive legislation aimed at the limitation of the influx of immigrants. The Johnson-Reed Act of 1924, by which each nation was given a quota according to the number of people of that national origin already

living in the United States, handicapped nations from South and East European countries because it assigned low quotas of admission for them. In the late thirties and at the beginning of the war, before Jews were entrapped in Central and Eastern Europe, this discriminatory law turned out to have a fatal effect on a part of Jewish population in this region.

All these factors, in combination with the residues of isolationism from the early republic, contributed to the general unconcern of Americans with the Holocaust. On the other hand, Americans were aware of the rapid growth of anti-Semitism in Europe since the thirties, when Hitler came to power in Germany. They were informed about Kristallnacht and other events leading to the persecution of Jews. They knew that the victimization of European Jewry was one of the priorities of the Nazi regime. Considering this aspect, it is striking that American Jews showed only little interest in the fate of their European brothers and sisters. Strictly speaking, they conformed with the indifferent response of the American non-Jewish population to the Nazi genocide. The question is why these conformist tendencies among American Jews in their approach to the European Jewish catastrophe became prevalent.

On a general level this indifference can be explained by the inevitable process of assimilation of Jews in the American Diaspora. Already the first generation of Jewish immigrants to the New World realized that their Americanization was a key to success. Abraham Cahan's David Levinsky in the novel *The Rise of David Levinsky* (1917) is a notorious literary example of the transformation of East European Jews through assimilationist forces. However, to "make it in America" meant paying a high price. Levinsky's social rise was achieved at the cost of the oblivion of his ancestral roots. This was the case with many American Jews. Their assimilation as a result of conformity led to the lessening of their awareness of Jewishness and a weakening of their feeling of solidarity with European Jews. So many years after the arrival of immigrants in America, their children and grandchildren felt little affinity with their ancestors' motherland.

It is a sad truth that the Jews in America did very little for the rescue of their brethren in the old continent. As Novick suggests, their priority was the Zionist program of the foundation of a new Jewish state in Palestine. Apart from a lack of unity, Novick also mentions another reason for their disinterest in the destruction of European Jewry. According to him, they had a cowardly fear that their engagement might arouse anti-Semitism in America itself (40). An indication of this was to be found in several voices claiming that Jews had too strong an influence on the government, due to which American soldiers were sent to European battlefields. American Jewish organizations wanted to avoid a confrontation with President Franklin Delano Roosevelt, who had very good relations with them. Nevertheless it is also true that even if they had been more active, their chance to influence the rescue of Europe's Jews would still have been minimal.

In the first post-war years the refugees who survived the death camps and emigrated to America met with a rather callous response of Americans to their former plight. These people, who were first classified as "liberated prisoners" and later on as "displaced persons" and "survivors", lacked a sensitive audience to share their trauma. On the contrary, they sometimes faced negative reactions because their miraculous survival was regarded as the result of their collaboration. Despite the shocking revelation of the inhuman suffering of Jews in concentration camps through photographs published in some prominent magazines in 1945, survivors did not find Americans eager to listen to their stories about their adversities. Many years later their feelings were faithfully depicted by the Jewish American writer Cynthia Ozick in her novella *Rosa*, in which her protagonist refuses to be called a "survivor" and expresses her contempt for those people who "take human beings for specimens" (Ozick 43), referring to Dr. Tree, a scholar of social pathology who conducts research into Holocaust survivors and who represents "Holocaust vampires, feeding on maimed lives and twice victimizing them" (Cohen 163). Rosa revolts against the apathy of Americans toward her

suffering by the aggressive destruction of her New York antique store. Rosa's rejection of being labeled a "survivor" parallels the view voiced by the former camp prisoner Werner Weinberg:

> I have been categorized for remainder of my natural life. I have been set apart for having been in the Holocaust, while in my own sight I am a person who lived before and who is living after... To be categorized for having survived adds to the damage I have suffered; it is like wearing a tiny new Yellow Star... It is a constricting designation that can easily make its bearer appear – to others and himself – as a museum piece, a fossil, a freak, a ghost. (qtd. in Novick 67)

In the years immediately following World War II, Americans' reaction to the Holocaust was influenced by the Cold War, which contributed to the marginalization of the *Shoa* in their consciousness. Jewish organizations in the United States inclined not to emphasize the topic of the Holocaust in order to distance themselves from the left, which had appropriated the tragedy of the Jews for propagandistic purposes. According to Finkelstein, "with the inception of the Cold War, mainstream Jewish organizations jumped into the fray. American Jewish elites 'forgot' the Nazi holocaust because Germany – West Germany by 1949 – became a crucial postwar American ally in the US confrontation with the Soviet Union" (14). To paraphrase Ralph Waldo Emerson, they did not want to "grope among the dry bones of the past" that scared them.

It is also known that the Holocaust became a suitable tool for Communist regimes in Eastern Europe in their ideological campaign against the West. In other words, the legacy of the Holocaust was misused for purely propagandistic purposes. In their effort not to be identified with this leftist propaganda, many American Jews preferred to remain silent about the Holocaust. This was even more visible during McCarthyism. Their fear that American Jews could be associated with Communists had its historical roots in the 1920s and particularly in the 1930s, when many of them – including influential Jewish intellectuals – were involved in the Old Left. Espionage prosecutions such as the case of Julius and Ethel Rosenberg, executed in 1953 for passing secret U.S. nuclear information to the Soviet Union during World War II, only raised general distrust of Jews in America. The high percentage of Jews among the members of the Communist Party of the USA and the frequent investigation of Jews by the Un-American Activities Committee (distinguished dramatist Arthur Miller was one of them) stoked Jewish organizations' fear that they would be associated with Communism, which was one reason why these organizations collaborated so actively with the Un-American Activities Committee in the McCarthy-era witch hunts. It is also worth noting that "the American Jewish Committee endorsed the death penalty for the Rosenbergs" (Finkelstein 15).

In their effort not to appear to be in conflict with mainstream America and to dispel doubts about them, Jews conformed with general response of Americans to the Holocaust. As Novick points out, due to the Cold War the Holocaust became universalized. Western propaganda introduced the term genocide, which was used more in connection with the totalitarian regimes in Communist countries than with Nazism. In the context of the Cold War, it is characteristic that in the United States any discussion about genocide only rarely dealt with the Holocaust; instead, it related to the crimes of the Soviet bloc, particularly to those of the Stalinist regime. The uniqueness of the Holocaust was called into question by drawing parallels between Nazism and Communism. On the opposite side, propagandistic employment of the Holocaust as a weapon against the USA and other Western countries was paradoxical because in Communist countries anti-Semitism was revived very soon after the war. As a matter of fact, political, religious and economic persecution of Jews in post-war Eastern Europe was the reason for their massive immigration to America and other Western countries.

The marginalization of the Holocaust in the United States due to the Cold War propaganda had its practical consequences in the American government's policy toward displaced persons. The program of aid to these refugees, which was originally aimed at the real victims of the Holocaust, slowly shifted its focus to a different target group – the victims of Stalinism, and more generally, people who wanted to flee abroad from the totalitarian constraints of communist regimes.

All these historical aspects explain the general ignorance of the Holocaust in American society, including its Jewry, in the 1950s and 1960s. This silence about the Holocaust was also visible in American culture. American films, dramas and fiction emphasized universal features of World War II and failed to address the mass suffering of Jews in concentration camps. It is telling that the best American war novels published in the first years after World War II did not reflect the *Shoa*, and instead of portraying the genocide they stressed the absurdity of war and contradictory role of the United States in World War II, conveyed in various external and internal conflicts. The war was often seen as a parable about American life. These features are apparent in such novels as in Norman Mailer's *The Naked and the Dead* (1948) and James Jones's *From Here to Eternity* (1951), which are set in the South Pacific, or in Irwin Shaw's *The Young Lions* (1948) with its setting on the European battleground. John Hersey's *Hiroshima* (1946) clearly illustrates which events of World War II had a greater influence on American people. While the Holocaust was on the periphery of public interest as something that was a part of the closed past, nuclear destruction (which would consummate the original meaning of the word "holocaust" literally) was perceived in the face of the coming Cold War as a very topical menace, as a symbol of the potential annihilation of mankind in the near or more distant future. Though Hersey touched on the theme of the Holocaust later in his documentary novel *The Wall* (1950), it is symptomatic that in accordance with Americans' cult of heroism he focused on the Warsaw Ghetto Uprising of the Jews against the Nazis, the courageous resistance that became an acceptable symbol of the Holocaust for many Americans. Their aversion to the status of a passive victim, so opposite to the adoration of heroes, might be one of the reasons why American artists were reluctant to capture the uniqueness of the program to exterminate the Jews. The Holocaust was simply an uncomfortable theme.

Yet, there were a few exceptions that drew the attention of the American public to the Holocaust at that time. The publication of *The Diary of Anne Frank* is best-known among them. It appeared in Britain and the United States in 1952 for the first time under the title *The Diary of a Young Girl*. For many readers this book has become a "metonymy for both Jewishness and Holocaust" and Anne Frank herself "a kind of martyrological icon, dying so that a new generation of Jews might live – and identify – as Jews" (Young 109-110). However, it took many years before Anne Frank and her diary became perceived in this symbolic way. Later, the new generation's approach to Anne Frank as a cult heroine was reflected in Philip Roth's novel *The Ghost Writer* (1979), in which Roth's autobiographical protagonist Nathan Zuckerman feeds his imagination with the fixed idea that one of the characters, Amy Bellette, is Anne Frank who survived Auschwitz and Bergen-Belsen and now denies her identity to keep her testimony urgent. Nevertheless, if we return to the years immediately after the war, they were generally marked by Americans' unconcern with the Holocaust.

The silence about the Holocaust was broken at the beginning of the 1960s. The rise of interest in the Jewish catastrophe was not primarily aroused by the thaw in the Cold War – which was short-lived anyway, as the Berlin Crisis culminating in the erection of the Berlin Wall in 1961, and the Cuban missile crisis in 1962, smashed any hopes of ending the tension between the Soviet bloc and the Atlantic Alliance. What really accelerated public concern with the Holocaust was the capture of Adolf Eichmann by Israeli Mossad agents in Argentina

in 1960 and the subsequent trial of this war criminal in Jerusalem. This interest was symbolically portended by the publication of the first significant American novel on the Holocaust, *The Pawnbroker* by Edward Lewis Wallant, in 1961. Though this writer is very underrated, and even in the United States half-forgotten, his pioneering role in constituting the Holocaust novel in America cannot be denied. As a matter of fact, in many ways he anticipated future tendencies in American Holocaust fiction. In *The Pawnbroker* Wallant established the structural patterns that were later developed in a fuller and more sophisticated way by many other writers who dealt with the Holocaust after him. He paved the way for such authors as Saul Bellow, William Styron, Isaac Bashevis Singer, Cynthia Ozick, and last but not least Art Spiegelman. *The Pawnbroker* can undoubtedly be regarded, as Lillian S. Kremer says, "a prototypical American Holocaust novel, establishing what have since become the standard devices of American Holocaust fiction" (Kremer 63).

In 1963 Hannah Arendt caused a stir with her controversial book *Eichmann in Jerusalem: A Report on the Banality of Evil*. This book provoked much criticism because of its unconventional, non-conformist depiction of the essence of evil. In contradiction with the established image of perpetrators as beasts or demonic monsters, she presented Eichmann as an ordinary man, a bureaucrat obediently carrying out orders from above. Today her concept of evil would not be so provocative (many scholars, for example the historian Christopher Browning in his book *Ordinary Men*, published in 1993, take a similar universalist approach to the nature of perpetrators) but in the early 1960s Arendt's book was received with much anger, partly stemming from misunderstanding of her independent thought. This aversion was particularly strong among Jews, who treated her almost as a traitor to her nation. They also blamed her for showing the passivity of Jews and the collaboration of the Jewish Council, known as the *Judenrat*, with the Nazis (more than 15 years later the Jewish American writer Leslie Epstein did not hesitate to point out this dark part of Jewish history in his novel *King of the Jews* /1979/, based on the real historical figure of the Lodz Jewish ghetto leader Chaim Rumkowski).

However, the real upsurge of interest in the Holocaust was still to come. It happened in the 1980s and 1990s and was in stark contrast to the previous decades. Especially NBC's broadcast of a TV miniseries called simply *Holocaust* in 1978 is generally regarded as the turning point in the change of Americans' attitudes to this traumatic event (Greenspan 45), and this growing interest culminated in the nineties with the opening of the United States Holocaust Memorial Museum in Washington, D.C. in 1993, and with the showing of Stephen Spielberg's film *Schindler's List* in the same year. But that would be a topic for another essay.

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From Ego to Eco: John Muir's Legacy

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Abstract

The essay examines the life and work of the leading figure of the American environmental movement as well as environmental literature, John Muir. It traces the remarkable evolution of Muir's personality, which was largely driven by his encounter with the wilderness. The mechanic mind that won him respect in his early life gradually turned into one that was more preoccupied with the natural world. His largely anthropocentric worldview was transforming into an ecocentric one as he was familiarizing himself with natural sciences, especially Darwin's evolutionary theory. Consequently, Muir became a preeminent personage of American environmentalism both on the practical and philosophical level.

Key words: John Muir, environmentalism, conservation, anthropocentrism, ecocentrism, nature, evolution

In the United States, John Muir is a well-known name. His stature has been emphasized by scholars in the field of American studies and, even more so, environmental studies. Interestingly enough, Muir's importance was recognized even by the current Republican Governor of California, Arnold Schwarzenegger, who chose the image of John Muir for the new California quarter coin in 2005. In the final round of the quarter contest, the governor gave Muir priority over such California icons as a redwood tree, a gold digger, and the Golden Gate Bridge.[1] Many places across America have been named after Muir, and so have plants, animals, and minerals. The enumeration extolling the achievements of Muir could continue; Muir's significance can hardly be overestimated. In this light, it is hard to understand why Muir has remained a more or less obscure figure among Czech scholars, not to mention the general public. The fact that none of his writings have been translated into Czech is not a satisfactory answer. Be it as it may, this essay aims to probe into four of the many dimensions of Muir's life and work which underscore his pioneering nature and, at the same time, illustrate the evolution of his worldview. This division is admittedly somewhat schematic, but it serves the purpose of this essay because it identifies and examines what are arguably the most noteworthy face(t)s of Muir's personality.

Mechanic

Before beginning the examination, the bio(geo)graphical essentials need to be presented. In spite of the fact that Muir is commonly associated with California, to trace his early life it is necessary to make two giants steps east. Muir was not native to California. He was born in Dunbar, Scotland, in 1838. His boyhood was largely shaped by his father Daniel who was a Calvinist priest. His daily life was thus dictated by religious doctrine. The rigidity of his father in family matters was in contrast with his democratic stance in ecclesiastical matters. In fact, it was discontent with the workings of the Church that spurred Daniel Muir to emigrate to Wisconsin in 1849. This transatlantic shift did not result in any substantial changes in John's life, however. From dawn to dusk, John was busy working on the family farm and retaining his knowledge of the Bible. The only time he could spare for himself was before the morning prayer, which took place at four. Thus, John oftentimes woke up after midnight to read books on subjects such as algebra, geometry, and arithmetic.

Thousands of pages have been written about Muir's significance for the conservation/environmental movement. He has been commonly described as a mystic intent on preserving the wilderness. However, little attention has been devoted to his achievements in the sphere of mechanics. Contemporary staunch preservationists would probably be stunned by Muir's obsession with machinery. Indeed, Muir's youthful mind was largely preoccupied with technical inventions.[2] In his adolescence, Muir applied his self-taught knowledge in the cellar of the family farm, where he set up a small workshop. There, he perfected and even invented the machinery for the farm. Having assembled a set of tools made by himself, young Muir invented and built a self-setting sawmill which saved both time and human resources. Besides that, he invented original thermometers, barometers, a giant wooden clock, and a so-called early-rising machine which won him recognition and even a prestigious award at the State Fair in Madison. So, in his early twenties, Muir was seen as "a genius in the best sense" and the State of Wisconsin felt "a pride in encouraging him", as the final report of the Fair Committee says (qtd. in Emanuels 48). Moreover, Muir was offered a job in a machine shop by a noted inventor and a place at the University of Wisconsin. Muir opted for the latter.

His curiosity about technical subjects was satisfied at the university. He was able to freely develop his natural propensity to innovation and even invention. His dormitory room served him well for these purposes. No wonder that it soon attracted the attention of university professors who took many an honorable guest to see Muir's remarkable collection of inventions such as a rotating study desk and a loafer's chair. The common feature of his mechanic inventions was efficiency. As Michael P. Cohen suggests in *The Pathless Way: John Muir and American Wilderness* (1984), the young Muir possessed what might be characterized as a "clockwork mentality" (7). That did not leave him even after he left the university and pursued his dream of self-reliance and self-made-manship in the tradition of Benjamin Franklin in a machine factory. However, his clockwork mind soon refused to obey. Paradoxically, it was an industrial accident when he was temporarily blinded by an awl that opened his eyes to the beauty of nature. As Muir himself noted later, "it was from this time that my long continuous wandering may be said to have fairly commenced. I bade adieu to all my mechanical inventions, determined to devote the rest of my life to the study of the inventions of God" (qtd. in Bade 155). Though his sight soon recovered, his vision of the world was never the same again.

Scientist

As Muir's biographers like to say, after leaving the university and the factory in Madison, he left the city to study the "university of wilderness". Having acquired scholarly training in natural sciences, he decided to explore the natural world on his own. However, his methods of study were not exactly scientific. He did not consider knowledge and spirit as contradictory. He refused the cold objectivity and 'angular factiness' of professional science. It was especially after his arrival in California in 1868 that he began a serious exploration of the natural world. After all, California was then a more or less unknown territory for scientists. Its multiple plant and animal species did not even have English names.[3]

Before settling in California, Muir wandered across the whole of the continent. While trekking in Canada, he encountered a rare species of orchid, *Calypso borealis*, which left a deep imprint on him spiritually. This unique botanizing experience also foreshadowed Muir's unusual method of study in which the observer merged with the observed. It also launched Muir's writing career, as it resulted in his first article entitled "The Calypso Borealis. Botanical Enthusiasm," which was published in the Boston *Recorder* in 1866.

Muir's botanical explorations did not remain unnoticed in the academic community either. Joseph LeConte, the first teacher of botany at the University of California, regarded Muir as the most erudite expert in the field of botany of the Sierra Nevada and a "gentleman of rare intelligence" (qtd. in Slack 223). It is therefore not surprising that the most respected scientific authorities sought Muir's company whenever they headed for the Sierra. Thus, Muir closely cooperated with Asa Gray, president of the American Association for the Advancement of Science, sending him specimen of plants many of which had previously been unknown to science. In 1877, Asa Gray came along with Sir Joseph Hooker, president of the Royal Society of London, the most renowned botanist of the period. In their encounter with Muir, the difference in their approaches became apparent in the wilderness near Mount Shasta: "Muir would build up the fire 'to display the beauties to silver fir' . . . and shout 'Look at the glory.' The botanists, Gray and Hooker, remained silent" (qtd. in Slack 235-236). Muir's approach was undoubtedly distinctive. He never quite suppressed the aesthetic dimension whenever he studied the natural world. It was not by chance that Theodore Roosevelt used Muir as a praiseworthy example of man who can translate scientific knowledge into the poetic language of literature.[4]

One eminent figure of the 20th-century environmental movement, Aldo Leopold, once proposed that "the two major advances of the past century were the Darwinian theory and the development of geology" (qtd. in Cohen 53). Muir was well-grounded in both. As far as Darwin is concerned, Muir adopted and supported his evolutionary theory after he became acquainted with it in 1867. His affinity with Darwin is cogently described in Muir's journal: "A more devout and indefatigable seeker after truth than Darwin never lived" (qtd. in Lankford 132). Nevertheless, the word 'devout' in the citation above is not accidental. Muir's belief in evolutionism involved an element of divine intelligence. The biblical framework within which his writings are set provides clear evidence of that. Still, Muir unequivocally broke with the dominant Cartesian outlook which treated nature as a machine. He conceived of nature as an evolving organism: "It is eternally flowing from use to use, beauty to yet higher beauty; and we soon cease to lament waste and death, and rather rejoice and exult in the imperishable, unspendable wealth of the universe, and faithfully watch and wait the reappearance of everything that melts and fades and dies about us, feeling sure that its next appearance will be better and more beautiful than the last" (Muir, *Wilderness World*, 320). Despite the fact that Muir embraced the major tenets of Darwin's evolutionary theory, he did not quite come to terms with one of its key components, namely struggle. He considered the word struggle as too 'ungodly.' As a matter of fact, his objection was not aimed at the use of the word but at the actual concept of struggle and competition. For his part, Muir saw cooperation, rather than competition, as the driving principle behind evolution.[5]

Regarding Muir's fondness for geology, he was one of many who immersed themselves in the depths of eons in 19th-century California. This is not by any means accidental, as California's major attractions were the riches hidden underground. Geology was the obvious tool for exploring the Californian treasures, be it gold, silver, and later oil. Interestingly enough, the geologist's zeal was often combined with a poetic spirit. The 'geological sublime' stirred the imagination of many a scientist such as the two eminent figures of early Californian history, William Henry Brewer and Clarence King.[6] Muir entered geological circles through the debate concerning the origin of the Yosemite Valley. As an amateur geologist, he dared to challenge the professionals, Clarence King and Josiah Whitney included, claiming that the valley had been shaped over a long time by glacial activity rather than by a single cataclysmic event. In spite of the fact that Muir was initially brushed off as an 'ignoramus' by Whitney, he turned out to be right, which won him much respect. So did his discovery of the first glacier in the Sierra Nevada Mountains. Muir wrote a host of publications on the geology of the Sierras. Perhaps even more importantly, the geological

conception of time, in which human presence appears rather insignificant, molded his literary expression. Thus, his books are dotted with stones, rocks and glaciers, used both literally and metaphorically. In fact, he conceived of glacial study as interpreting "[N]ature's poems carved on tables of stone" (Muir, *The Mountains of California*, 324).

Muir's interpretation of nature was not in line with the standard methods of modern science. It was based on intimate knowledge of the mountain terrain. Muir did not distance himself from the objects of his study. On the contrary, he tried to blend with them and thus erase the imaginary boundary between the observer and the observed. His method is well summarized in a letter to Ezra Carr, Muir's mentor and close friend: "Patient observation and constant brooding above the rocks, lying upon them for years as the ice did, is the way to arrive at the truths which are graven so lavishly upon them" (Muir, *Letters*, 157). It is worth noting that this approach, sometimes referred to as participatory science, later became famous under the label 'thinking like a mountain' due to the aforementioned ecologist Aldo Leopold.

Conservationist

The previous section has demonstrated that Muir was not a typical scientist who was preoccupied only with hard data. He fell into the naturalist tradition. His observations of nature were not mediated but direct. Muir's aim was not to use and control natural forces, as was the case with the natural sciences of that day, but to understand and preserve the diversity of forms in nature. Unlike his contemporaries, he was aware of the vital importance of biodiversity, which California could take great pride in. One of his classics, *The Mountains of California* (1894), both acknowledges and celebrates the richness of the natural world of the state. Indeed, the underlying reason for Muir's scientific pursuits was to grasp complex natural processes so that they could be preserved. His rationality as well as his intuition told him that the destruction of the environment would inevitably lead to the decimation of the human species because "[W]hen we try to pick out anything by itself, we find it hitched to everything else in the universe" (Muir, *My First Summer in the Sierra*, 248).

Throughout his life he published a host of articles in the most prominent periodicals whose goal was to draw the nation's attention to the environment. The combination of factual account and language rich in literary figures resonated with the American public. This was specially important given the materialistic spirit of the time. Muir won his popularity in what is generally known as the Gilded Age in American history (from around the 1870s to the 1900s). These decades were marked by rapid industrialization and extensive agriculture, which naturally had devastating effects on the environment. Muir's voice therefore represented a counter-current against the mainstream. He also realized that his new home state, California, which had been referred to as Eden on Earth, was being hit with the greatest force, beginning with the Gold Rush. It is no surprise that Muir's conservationist zeal was enhanced amidst the 'wanton destruction of the innocents'.

Not only did Muir's writing help cultivate what is now called ecological awareness, but Muir himself headed several issue-based campaigns. He stood behind the establishment of four national parks, most importantly Yosemite. Muir's involvement in the struggle for the preservation of Yosemite was crucial. It took a considerable amount of pragmatism on his part to lobby the decision-makers in Congress, who eventually agreed to the passage of the Yosemite National Park Bill in 1890. Later on, Muir's stature enabled him to make the acquaintance of two presidents, Theodore Roosevelt and William Howard Taft. These useful links were translated into specific conservation-oriented legislation. In this regard, the most memorable event was the joint adventure of Muir and Roosevelt, camping out in Yosemite in 1903. Last but not least, Muir was a founding father and the first president of the first

American conservationist organization, the Sierra Club, which was founded in 1892 in San Francisco. Muir remained in charge of the Sierra Club for the remainder of his life and can be credited for its rising status and membership. It should be noted that the Sierra Club currently has over 750,000 members, which makes it the largest environmental organization in the western hemisphere.

By and large, Muir's imprint on American environmentalism can only be matched with that of Aldo Leopold and Rachel Carson. It came primarily through Muir's long-lasting and closely watched dispute with another notable figure of American environmentalism, namely Gifford Pinchot. Their clashing views concerning the damming of the Hetch Hetchy Valley in Yosemite were instrumental in the formation of the two main streams within the environmental movement. While Pinchot represents the utilitarian and managerial conception (sometimes labeled wise use), Muir is associated with the approach of minimum (if any) interference with natural processes in untrammeled lands. Needless to say that this approach rules out 'use for humans' as a relevant criterion. This stance won Muir another label, that of a pioneering ecocentrist.

Ecocentrist

To avoid confusion of terms, it should be made clear that this section addresses Muir's ecocentrism, not eccentrism. Not that his character was free of eccentric traits, but their investigation would lead this essay astray. Yet, his ecocentric worldview was also an expression of eccentrism in a broader sense of the word because Muir did not flow with the central stream of the society. He often deviated considerably from the norm. Indeed, it was normal in the late 19th century to look at the world through the lens of human needs and interests only. The predominant scientific and religious doctrines in Euro-American civilization placed man at the center. Perhaps it is more precise to say that humans were excluded from the natural world and stood next to or above it. Based on his scientific erudition and authentic outdoor experience, Muir systematically subverted this anthropocentric outlook. The alternative he was offering is commonly called ecocentrism, which describes a belief in the intrinsic value of all forms of life and therefore their right to exist freely without being useful to humans.

Muir's non-utilitarian attitude to nature undoubtedly crystallized through the many campaigns that he headed in his lifetime, the one against Pinchot's conception of industrial forestry being just one of them. Nevertheless, Muir had already formulated ecocentric insights in his early writings, very often within the Biblical framework: "How narrow we selfish, conceited creatures are in our sympathies! How blind to the rights of all the rest of creation!... Though alligators, snakes, etc., naturally repel us they... are part of God's family, unfallen undepraved, and cared for with the same species of tenderness and love as is bestowed on angels in heaven or saints on earth" (Muir, *A Thousand-Mile Walk*, 148). Significantly enough, not only did Muir explicitly deal with the rights of nonhuman life forms, but he also brought the notion of intrinsic value into the debate concerning humankind's attitude toward the environment: "Now, it never seems to occur to these farseeing teachers that Nature's object in making animals and plants might possibly be first of all the happiness of each one of them, not the creation of all for the happiness of one. Why should man value himself as more than a small part of the one great unit of creation?" (Muir, *A Thousand-Mile Walk*, 160-161).

As Muir absorbed the knowledge of the natural sciences, especially geology and evolutionary theory (discussed above), the number of phrases from and allusions to the Bible decreased. Nature was less of a constant, a book to be read once and for all, and more of a dynamic process which evolves and, therefore, needs to be perpetually reinterpreted. Thus, he

broke even with the Emersonian tradition, which conceived of nature as a reflection of spirit. Indeed, Emerson's celebration of nature was anthropocentric in principle; nature was there primarily so that people could regenerate their minds amidst its untrammeled beauty. Muir's departure from certain aspects of Emerson's philosophy is relevant given the fact that most scholars had regarded Muir as Emerson's epigone for a long time. This 'epigone hypothesis' was disproved only after Muir's copy of *Nature* was discovered among his papers. It includes his comments in the margins which clearly indicate Muir's critical reading of Emerson's unscientific and partly anthropocentric manifesto.[7] In 1871, a few years after reading *Nature*, Muir hosted Emerson in Yosemite. Despite Muir's deep respect for the Eastern sage, Muir was disillusioned by Emerson's refusal to spend a night in the open air with him. Muir saw it as a "sad commentary on culture and the glorious transcendentalism" (Muir, *Wilderness World* 164). The contrast between Muir's outdoor-based wisdom and the indoor nature of Emerson's philosophy was manifested in full light here.

Conclusion

As the title of this essay suggests, Muir underwent his own personal evolution. He abandoned the world of inventions and machines and set out on a journey, both physical and metaphysical. His wanderings taught him many lessons. While he sought to improve his mind as a young technical talent, in the wilderness he was breaking through the porous boundaries between his mind and the world around. Although he did not quite let his ego dissolve in the universe, he sketched an alternative path to the predominant paradigm of his time which has inspired a host of individuals and eventually translated into a distinctive ecocentric stream within American environmentalism as well as literature.

Notes

[1] Governor Schwarzenegger actually did not do anything that would distance him from the electorate. On the contrary, his choice could be supported even by the respected California Historical Society, which repeatedly chose Muir as the greatest figure in California's history (qtd. in Emanuels 24).

[2] The only monograph dealing exclusively with this aspect of Muir's life is George Emanuels' *John Muir: Inventor* (Fresno: Panorama West Books, 1985). His exceptional ability was also recognized by Jack Miles of the *Los Angeles Times* who characterized Muir as "an efficiency-intoxicated inventor" and "machine-mad" in his 1984 article (qtd. in Emanuels 22).

[§] Despite the fact that Muir himself was not fond of the widespread habit of naming new species after those who "discovered" them, several plants, animals, and one mineral were named after him after his death. More detailed information on this subject can be found on the following website: "Scientific Names in Honor of John Muir," *John Muir Exhibit*, Sierra Club, 27 May 2006 <http://www.sierraclub.org/john_muir_exhibit/frameindex.html?http://www.sierraclub.org/john_muir_exhibit/john_muir_newsletter/>.

[4] It was at his 1911 lecture given on his tour of California that Roosevelt called for more men with 'scientific imagination' and 'poetic spirit.' For more information, see Paul Brooks' *Speaking for Nature: How Literary Naturalists from Henry Thoreau to Rachel Carson Have Shaped America* (Boston: Houghton Mifflin Company, 1980).

[5] The non-aggressive interpretation of Darwin is illuminated for instance by Roderick Nash, *The Rights of Nature: A History of Environmental Ethics*. Madison and London: University of Wisconsin Press, 1989. 43-44.

[6] Brewer and King were both leading personages of the Geological Survey of California and renowned writers. Brewer's *Up and down California in 1860-1864* (1930) and King's *Mountaineering in the Sierra Nevada* (1872) are regarded as classics of California nature writing.

[7] The differences between Muir and Emerson are explored by Max Oelschlaeger in *The Idea of Wilderness* (New Haven and London: Yale University Press, 1991) and in James C. McKusick's *Green Writing: Romanticism and Ecology* (New York: St. Martin's Press, 2000).

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B(e)aring the Naked Truth: the Black Female Body Revisited

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Abstract

This paper argues that in the contemporary era of mass media consumption of black images, the black female body continues to be subjected to stereotyping that reproduces the old forms of racist oppression. Based primarily on the collection of personal essays edited by Ayana Byrd and Akiba Solomon, Naked: Black Women Bare All About Their Skin, Hair, Lips, and Other Parts *(2005), it examines some of the negative images of the black female body upheld in the collective consciousness of the American black community while discussing the issues of black aesthetics, in particular as they apply to women.*

Keywords: Afrocentrism, black aesthetics, black discourse on modernity, black female body, controlling images, ideology of white superiority, objectification, standards of beauty, stereotypes

Introduction

Historically, the bodies of black women in the United States have always been objectified. Displayed on auction blocks, subject to enforced sex and unwanted pregnancies to satisfy their slave masters' pleasure and greed for more profit, they were property and commodity in the hands of white men. Although slavery has long been abolished, as Ayana Byrd and Akiba Solomon argue, in the 21st century American society the black female body continues to be objectified; black women's body parts are still "the subject of constant critique and appraisal" (1), as they are pitted against unattainable standards of beauty advertised by media that reinforce the ideology of white superiority.

In this paper, based primarily on the collection of personal essays edited by Ayana Byrd and Akiba Solomon, *Naked: Black Women Bare All About Their Skin, Hair, Lips, and Other Parts* (2005),[1] I analyze, through the lens of black feminism, what African American women – professional women and celebrities, as well as ordinary black women – think and how they feel about their bodies, examining some of the negative images of the black female body upheld in the collective consciousness of the black community. To provide contextual background, I first discuss the issues of black aesthetics, in particular as they apply to women, to demonstrate that they must be seen both as part of the entrenched legacy of slavery and in light of the black discourse on modernity of the 1920s and Afrocentrism of the 1960s.

The Ideology of White Superiority and the Issues of Black Aesthetics

> Now, if you're white, you're all right
> If you're brown, stick around,
> But if you're black, Git back! Get back! Get back!
> (a children's rhyme)

Sharing her experience of how other people perceive her identity, Asali Solomon, Assistant Professor of English at Washington & Lee University, succinctly summarizes how the politics of race are daily played out in the imagination of Americans onto which particular meanings and stereotypes have been grafted:

> With apologies to DuBois, I've raced past modern double consciousness right into the collective mental illness of postmodern multiconsciousness. I can see myself through the eyes of the brother in the obscenely shine black Escalade who stares right through me, the White woman smiling at me curiously in the supermarket, and the Mexican construction worker who leers at me with erotic hostility. Despite how I try to see myself, it sometimes catches me and takes my breath away that *for most people I'm homely because I'm brown and nappy*. (Byrd and Solomon 35-6, emphasis mine)

Her words expose not only the collective nature of the plague that poisons the minds of contemporary American society, but also the fact that black women continue to be viewed within this society as inherently less than fully beautiful because of their physical features: dark skin and nappy hair.[2]

The roots of this attitude must be understood within the context of the ideology of white superiority that has, historically, assigned to African American women in American society the place of the inferior "other." Exploiting the notion of oppositional difference to highlight the alleged inferiority and racial "otherness" of black women, since slavery whites have used the most noticeable physical characteristics of skin color and hair texture as two *visible* markers in justifying white superiority.[3] As early as 1781, Thomas Jefferson described skin color in his "Notes on the State of Virginia" as "the foundation of a greater or less share of beauty." In his estimation, whiteness represented the superior color; "the fine mixtures of red and white [being . . .] preferable to that eternal monotony, [. . .] that immovable veil of black." Moreover, he reasoned, "Add to these, flowing hair, a more elegant symmetry of form [. . .] The circumstance of Superior beauty, is thought worthy attention in the propagation of our horses, dogs, and other domestic animals; why not in that of man?" (138).[4] Jefferson's belief, based on his own subjective standards of beauty, according to which both dark complexion and African hair texture are devalued, and his own equation in which *visual* difference equals ugliness and inferiority, has proved immensely pervasive. Initiating a discourse of black inferiority that by the first half of the twentieth century American society would come to internalize, his words, later supported by scientific research and "evidence" derived from craniology, would become the hardest stumbling block preventing African Americans from gaining equal status and rights within the United States.

By the end of the 19th century blacks had begun to voice their concern over the political ramifications of their image (Piess 205). Conscious of the convergence of politics and issues of aesthetics, they saw the newly emerging caricatures of themselves circulated in popular American art, as an impetus to reconstruct the black image, to define it *anew*. Yet the debate over the particulars of this New Negro proved rather ambivalent. As Henry Louis Gates points out in his essay "The Trope of a New Negro and the Reconstruction of the Image of the Black," in certain ways, the New Negro was a kind of a myth of a black ideal based on a denial of its own history – "the modern black person" had to break away from his slave past – and a countering of the plantation and minstrel stereotypes (132, 143). Equally problematic was the fact that while rejecting the white aesthetic standards, many black intellectuals at the time "embraced them in part, believing that 'whiteness' would aid in their quest for full citizenship and equality." Feeling ashamed of the unkempt appearance and jungle-like habits of the lower working classes that they saw as threatening to the uplift of the black race and its collective identity, middle- and upper-middle class blacks came to "advocate[…] the grooming and cleanliness norms of Euro-Americans" (Wade). In their view, the progress and respectability of their race depended on individuals' appearance. Women especially, seen as central figures in racial uplift, were encouraged to maintain a cultivated appearance that, it was agreed, involved properly groomed hair and, preferably, fairer skin color. Beauty industries began to design products that would help to alter both the African texture of hair

and the dark skin color, as "good" hair and light skin became the two major prerequisites for a better life.

To understand black women's desire to change their appearance solely in terms of white privilege, however, would be misleading. As Shane and Graham White argue in *Stylin': African American Expressive Culture from Its Beginning to the Zoot Suit* (1998), "black cosmetics were associated with modernity and, most importantly, with progress. […] African Americans' adoption of the new cosmetic practices demonstrated the distance that had been traveled from the 'demoralizing effect' of slavery" (189). Moreover, "It was not so much that most African Americans who used cosmetic preparations wanted to look white; it was more often the case that they wanted the same freedom to construct their appearance that whites were allowed" (188).

The newly emerging racial confidence, aligned with the message of racial uplift, became visible in the institutions of the black beauty contest and the black fashion parade, both relying primarily on the display of black female bodies (191). In 1925, African Americans were ready to prove that "our race has produced more varieties of beauty than any other race on earth," from "the bronze Venus with the mysterious black eyes and crispate hair, with cheeks of dusky rose hue" to the "Indian peach variety with the baby grey eyes and brown curls" (191). Madame Mamie Hightower, a self-made African American entrepreneur, sponsored a nationwide search for Miss Golden Brown: the national beauty contest being promoted as a part of racial uplift. With the memory of the color line drawn during the Miss America contest in 1921, she urged her fellows, "We must develop, in every member of our group, that quality known as pride. It is not enough that some scientists are admitting that the glorious Cleopatra was of our race – let us prove once and for all that we have here in America some of the most beautiful women of the world" (qtd. in White and White 199). To refute the claim that her "aesthetic manifesto" and "endeavors were […] prompted merely by a desire to imitate white America and its standards" (199-200), she asserted with confidence: "We do not want to be white, but we do want that *light,* bright, velvety textured skin that is rightfully ours" (qtd. in White and White 200, emphasis mine).

It was not until the late 1960s when a new black aesthetic emphasizing the distinctiveness of black culture would emerge. Seeking to subvert and redefine the undermining definitions of beauty and blackness, the Black Power Movement rejected the cultural (and aesthetic) hegemony of whites in order to embrace the African past. Advocating an essential blackness based on rejection of everything associated with Euro-American, it "extolled the virtues of black life-styles and values, and promoted race, consciousness, pride and unity" (Van Deburg qtd. in Wade). The "Afro" or "natural" hairstyle and clothes of African textile and design in particular became two primary symbols of the new racial identity. Yet just as the 1920s New Negro was a kind of a myth of a black ideal based on a denial of its own history, much of the 1960s discourse on blackness and the African past was also mythology, a social construction to "further the ideological goals of the Black Power Movement's nationalistic program," and prove that blacks "indeed had achieved a certain level of enlightenment about themselves and the[ir] plight […] in the United States" (Wade).[5]

Despite its efforts and its noble slogan of "black is beautiful," meant to affirm African textured hair and dark skin, the movement lacked the power to undo fully the damage that Jefferson's idea of racial hierarchy had caused to the consciousness of the black community. As Okazawa-Rey, Tracy Robinson, and Janie Victoria Ward point in their critical essay "Black Women and the Politics of Skin Color and Hair": "Many assume the 1960s to have been a period in which black people transcended the pathology of colorism and stood back and analyzed its effect upon them. […] [But] too often the old favoritism toward lighter-skinned women prevailed. During the macho-revolutionary fervor of the sixties, to many black men, lighter sisters were still the most desirable, most worthy, and most feminine, and

thus, most in need of (male) protection" (14). Indeed, the fiery rhetoric of the 1960s, imbued with sexism and blunt assertion of black masculinity, did not liberate black women from psychological degradation; instead, it restricted their struggle for self-image by asserting that in patriarchal society, a woman's beauty is defined by men, for whom femininity – historically always associated with white women – is its most important prerequisite.

The following discussion of some of the personal stories in *Naked*, focusing more closely on the issues of skin color and "good" and "bad" hair, describes black women's attempts to overcome the stereotypical attitudes about blackness and beauty, as they apply to women in a postmodern society of market culture where some blacks have already gained access to mainstream media and other sites of institutional power.

The Proverbial Black Girl and The Light-Skin-Good-Hair Girl

> LOOKING INTO THE MIRROR,
> THE BLACK WOMAN ASKED,
> "MIRROR, MIRROR ON THE WALL,
> WHO'S THE FINEST OF THEM ALL?"
> THE MIRROR SAYS, "SNOW WHITE,
> YOU BLACK BITCH, AND DON'T YOU
> FORGET IT!!!"
> ("Mirror/Mirror" by Carrie Mae Weems)

Reflecting on her experience of being of dark complexion, Aminata Cisse, a graduate of Spelman College, of Bajan [Barbadian] Senegalese origin, recalls:

> *I have always been made aware of my skin color*, even before I was cognizant of its meaning. In my otherwise vivid memory of childhood, I cannot name a defining moment or source of my color issues. I can remember feeling *an ever-present ache of alienation and exclusion*. I remember thinking that some people would not like me because of my complexion. But the details and dialogue are a blur of slights and *verbal assaults on my ego*. (Byrd and Solomon 68, emphases mine)

With her dark complexion, African features of full lips, slanted eyes, and high cheekbones, Cisse has always been "the other": an alien among whites and a second-class citizen among blacks (71). While in junior high, she was singled out as "the darky"; as a high school senior, she was regarded as "the 'new ideal' of beauty" – the exotic queen – but excluded as "not the girlfriend type" – not a girl to be dated or involved with. Isolated all her life, Cisse has come to the conclusion that colorism has invaded the perception of her fellow black people who "wear blinders that allow only light-skin to filter through" (69). As she describes in *Naked*, her feelings grow particularly bitter when watching contemporary rap and hip-hop videos; that is when she feels herself "physically deflate[…]" (69). Comparing her dark complexion to the skin of black women shown in those productions, she sees that the majority of the representations of black female beauty are light-skinned with European features. Her response to this distressing reality is that of paralysis for she knows she can "never live up to the one *asset* that never fails: *light skin"* (69, emphases mine).

Cisse's experience reveals not only the extent to which some black people have come to internalized white supremacist ways of thinking, upholding that light skin is a preferable and desirable asset, but also the damaging impact of such internalization on the psyche of black women with dark complexion. As bell hooks points out in *Black Looks: Race and Representation* (1992), black people allow "this [false] perspective to determine how they see themselves and other black people." Consequently, "many black folks see [themselves] as 'lacking,' as inferior" (11), failing to construct a positive self, allowing for "mindless

complicity, self-destructive rage, hatred, and paralyzing despair [to] enter" (4). To address this collective crisis of identity, hooks insists that they must learn to see blackness with a new pair of eyes; they must interrogate the cultural production of the black image and representation that reinforces the color hierarchy and white privilege by giving preference to light skin to see it as part of the legacy of racial and sexual violence – to acknowledge that the light skin is not just "rightfully ours" but also, and perhaps more importantly, *the* painful heritage of rape of black women by white slave masters. Cisse, however, like many black women, lacks the strength to liberate herself from the oppositional thinking and/or to subvert the images devaluing her blackness. Despite her education that has made her aware of the history of black people in America and her family background – her proud, Afrocentric mother who believes in the beauty of blackness and even superiority of black people – she succumbs to the pressure of daily encounters with colorism, considering leaving the country for Senegal, where she can feel beautiful, for blackness there, as she sees it, is a "good thing" (Byrd and Solomon 74).[6]

Cisse's experience with colorism resonates to some extent in the story of the health editor at *Essence* magazine Akiba Solomon, an ordinary dark-skinned woman who describes herself as "the descendant of Down South Negroes" (Byrd and Solomon 89). Growing up in urban Black America, Solomon also felt excluded because of her dark skin from the circles of those who are considered beautiful; in her experience, she could only be "pretty *for a dark-skinned girl*" or "something more exotic than what [she is]" (89, emphasis mine) – a Jamaican or an Ethiopian, as men have often considered her. Like Cisse, she knows in theory that: "no complexion is better than another" but reality teaches her that lightness means "more power and options" (89). For example, as Solomon muses, with light skin, she could be not only "Afrocentric *by choice* instead of necessity" (89, emphasis mine), but also, and most importantly, a black princess, free to indulge in sweetness, sensitivity, and silliness, qualities that she feels the world attributes only to white or light-skinned girls, who stand in opposition to the proverbial Regular Black Girls, thought of as 'tart-tongued,' 'quick-witted,' and 'down to the gristle' (88).

Solomon's hypothetical musings reveal that by virtue of her dark skin color, she has been restricted in her choices of self-definition, while forced to become a practitioner of Afrocentrism and deny certain aspects of her femininity praised not only by Afrocentric men of the 1960s (a vexing paradox) but also black men of the twenty-first century. Moreover, they painfully demonstrate that the black community (Solomon's "world") has internalized and continues to reinforce the false dichotomy of femininity versus toughness, created during slavery to justify the abuse of black women. Within this dichotomy and in agreement with the tenets of the Cult of True Womanhood, historically, white women were considered as ladies or angels, their purity and chastity in need of male protection, while black women, by the logic of oppositional difference, could only be defined as un-feminine and/or overly sexual [this aspect will be discussed in more detail in the next section]. Succinctly summarized in the text accompanying Carrie Mae Weems's photograph "Mirror/Mirror" quoted at the beginning of this section, "the mechanisms of both black and white females' socialization into white supremacist ways of thinking [can be] evoked by a reference to a popular fairy tale [Snow White]" in which the black woman can never be the princess, only the black bitch/witch (Glowacka 9).

Yet reality has taught Solomon other important lessons, such as that the proverbial Regular Black Girl does not exist, except as a stereotypical representation created to maintain the conventional, white way of seeing blackness, and that she is allowed to, and, indeed, must learn to define herself with her own words, to subvert, alter, and/or otherwise transform all negative representations of dark-skinned women. She has learned that she must shatter those mirrors reflecting a white (or light-skinned) face that "immobilize[] her in the standards of

beauty with which she cannot identify" and "can only yield an aesthetics that 'wound[s] us, beauty that hurts'" (9). Having suffered through a "severe clinical depression with a psychotic episode" (Byrd and Solomon 98) as a consequence of her initial succumbing to these unattainable standards, Solomon has learned the hard way to resist strong impulses to see herself as a powerless victim; unlike Cisse, she has chosen to reclaim the humanity of black women of all hues by writing her own message to the world, proclaiming them free and calling them "to work toward a day when it's actually true" (100).

Solomon's proclamation of liberation for all black women, based on positive recognition of difference, can be seen as an empowering expression of loving blackness, a revolutionary attitude that bell hooks describes in *Black Looks* as "political resistance [that] transforms our ways of looking and being, and thus creates the conditions necessary for us to move against the forces of domination and death and reclaim black life" (20). At its core, loving blackness recognizes the basic truth that black feminist poet Audre Lorde articulated in *Sister Outsider* (1984) a decade earlier: "the true focus of revolutionary change is never merely the oppressive situations which we seek to escape, but that piece of the oppressor which is planted deep within each of us" (123). Loving blackness thus encourages black women to move away from internalized oppression to newly self-defined selves, and urges them to conquer their own internal oppressors by setting their minds free and by affirming difference.

As the personal stories in *Naked* demonstrate, however, in the twenty-first century America, affirmation of difference still happens mostly in black feminist theory and fiction; the majority of black women and girls continue to long for the ideal of "the light-skin-good-hair girl," exalted not only in nearly all music video clips but also in most magazines that routinely chose for their models fair-skinned black women, particularly with blonde or light brown long hair. This is reality, explains Norell Gaincana, a doctoral candidate in sociology at the University of Chicago, in her personal account pertinently entitled "No Fairy Tale:" the devastating vestiges of the Jeffersonian message can still be observed in the contemporary black community, where both colorism, i.e. the preference of light skin over dark skin, and the heightened perception of "good" and "bad" hair, continue to be salient issues. In Gaincana's view, "good hair" has by now become "an open secret" in the black community; it is "something we all recognize without a textbook definition. Intuitively, we know what it means, what it looks like, and who has it" (Byrd and Solomon 212). "Good hair" means soft straight or wavy hair, associated with whiteness, which has come to imply beauty, purity and goodness by its orderly way of flowing; it stands in opposition to nappy hair, which, in contrast, suggests ugliness, impurity, and "badness" because it is unruly and harsh.[7] "Good hair" is also a sign of social validation; it wins attention and adoration while it protects from sly remarks that undermine one's self-esteem. If you want to be prized, "You *gotta* have the [right] hair," seconds Jill Scott, Grammy-winning songwriter, published poet, and actress, as she summarizes the extent to which the white standards of beauty have come to saturate the contemporary black community (147, emphasis mine).

Asali Solomon shares their opinion. Despite her position of a college teacher and thus a role model in the classroom, which, as bell hooks argues in *Teaching to Transgress: Education as the Practice to Freedom* (1994), offers itself to be a "location of possibility" where students can "collectively imagine a way to move beyond boundaries" (207), she believes that "In its natural state [. . .] Black women's hair is unpresentable" (Byrd and Solomon 40). With the memories of herself as "an awful blur, a black fuzzy thing on the rug" (38) in the kindergarten, and an unpretty and/or invisible girl in the school, she defends the importance of "good hair" for the identity-formation of little black girls in the world that devalues blackness: "If you are a brown, nappy girl, there are many things you might want to change, so much capital you do not have" (39). So why not change hair that is malleable, as

so many black women did in the past? Why not use this "symbolic currency" to buy acceptance in the still highly racial(ized) society?

Raised in the 1960s, in a family where the politics of beauty were represented by her mother's wearing a short natural, as well as "by pictures of smooth-headed, tall Massai women . . . and an art photo . . . featuring a Black woman with cornrows that struck straight up with puffy little ends," Solomon admits her reasoning is problematic; she *knows* how she *should* feel about black hair and blackness. Yet reality forces her to adopt ways that seem less hurtful to her self, hairstyles that do not provoke negative commentaries. Her personal account, just like that of Cisee, however, is not a simple story of failure to challenge racial stereotypes and to overcome the kind of self-hate preventing African American women from embracing African textured hair and dark skin as acceptable and beautiful. Rather, it should be understood as a valuable testimony to the difficulties involved in maintaining racial consciousness as a *moral* imperative in the world flooded with images that still reinforce white standards of beauty, and that are particularly detrimental to the self-esteem and positive self-concept of black women who are the antithesis of the ideal of light-skin-good-hair-girl.

The Flirtatious Vixen, the Whore, and the Wild Tough Sexually Liberated Woman

Man seeker dick eater
Sweat getter fuck needing
(from "Woman Poem" by Nikki Giovanni)

Insecure about her rapidly developing body, and lacking in knowledge about healthy sexuality, thirteen-year old Margeaux Watson, now a correspondent at *Entertainment Weekly*, was portraying herself as a flirtatious vixen to comply with her prescribed role. As she explains her rationale in *Naked*: "that's how people perceived me, I figured I better act the part" (Byrd and Solomon 154). By the time she was 17, Watson had slept with more than five men, aborted a child, and been raped by her 24 year-old boyfriend who took physical delight in hurting her, which she, unaware of her abuse, "dismissed . . . as an unfortunate side effect of fooling around with older men" (155). Blaming her female body for the brutal experiences, she decided to adopt "a more boyish look," and "to establish a new, less sexual energy in my interactions with men" (157). Yet soon after, her past repeated itself: a classmate whom she thought her friend raped her. Watson came to realize that: "no matter how I dressed it up or down, *there was something overtly and potently sexual about my body that men couldn't resist and I couldn't control*" (158, emphasis mine). Awakened to the world of black women's sexual politics, she sank into a dark period of depression, seized by the paralyzing fear of intimacy" (158).

Just as the construction of standards of beauty according to which blackness is devalued cannot be separated from the ideology of white superiority and the historical context of slavery, neither can the social construction of black American women's sexuality. Historically, black American women's sexuality and fertility were controlled by white men, both directly, through enforced sex, and indirectly, by a set of controlling images.[8] Defined as women with an insatiable sexual appetite that, as Thomas Jefferson pointed out, makes the orangutan have a "preference for black women over those of his own species" (138), they emerged from slavery firmly enshrined in the consciousness of white Americans as embodiments of unrestrained sexuality, as innately promiscuous, sexually aggressive Jezebels, who stand in direct opposition to sexually pure white women (Collins 70). Despite the efforts of black leadership to reclaim their chastity and respectability as part of the turn-of-the-twentieth-century ideology of racial uplift, problematic in that the New Negro Woman's sexuality was largely reduced from "bad" to none, and the more recent literary works that attempt to reconstruct black female sexuality as a positive, liberating space, the historical

legacy that deems black women over-sexed has never faded; although slavery has long been abolished, the fascination with the allegedly oversexed black female body has remained embedded in the erotic fantasies of whites who continue to long for the exotic "other."

Worse yet, fueled by sexism and misogyny that surfaced in the 1960s discourse of the Black Power phallocentric idealization of masculinity (hooks, *Black Looks* 98) and the 1970s boom of *blaxploitation* movies that made the depiction of black women as sexually promiscuous commonplace, thus "validating" the belief that black women are uninhibited whores (Pilgrim), the stereotypical image of a loose black woman has infected the consciousness of the black community as well. As the lyrics and visual background of contemporary rap/hip-hop music reveal, black women continue to be viewed as bitches, Jezebels, 'hos, and hoochie mamas, their representations being largely reduced to those of flirtatious vixens and/or wild, tough, sexually liberated, often castrating, women. A half of the century after the *Blue Note Records* began to use images of actual black artists on their album covers to promote black music, black images are now undeniably part of the mainstream, yet paradoxically, promoting and/or reinforcing, the vile sexual stereotypes of black women whose only value is, once again, as sexual commodities.

A victim of the white supremacist ideology and of the lack of positive, nurturing messages about black womanhood, Watson has internalized the stereotypical image of the loose black woman, succumbing to the oppressive conditioning of the society that commodifies black female sexuality by projecting and upholding an image of a wild, tough, sexually liberated woman. Unable to challenge the representations of herself as a sexual object and "construct a sexuality apart from that imposed on [her] by a racist/sexist culture" (hooks, *Black Looks* 65), she has accepted a life with a constant fear of invasion and violation of her body over which she does not have any control. As a result of that, her interaction with black men has been severely crippled, closing the door to a possibility of a healthy heterosexual relationship. Doubly alarming yet, her life story, as the collection *Naked* reveals, is by no means unique.

Like Watson, Ayana Byrd, a journalist, also "wrestle[s] with what [her] body is for, who it is meant to please, and how . . . to navigate it through spaces both social and sexual" (Byrd and Solomon 18). Growing up at home, she never "learned that there is something healthy and sexual about . . . physical forms" (18); while movies that she saw by the time she turned ten, "managed to inflict enough damage to my psyche that I'm still working out now" (19). As she discloses in her personal testimony, one of the movies, *Something About Amelia*, portrayed a father who was raping his 12-year-old daughter, whose mother did not want to believe that her husband could be capable of such actions. Watching it, Byrd was quickly initiated into the power of sexual desire. Since then, Byrd has had many personal encounters with the power of sexual desire that cannot be separated from black women's sexual politics of commodification interlocked with the controlling image of the loose black woman. She has been whistled at, shouted at obscenely and yelled insults at. She's been mistaken for a prostitute, chased, spat on by teenage boys for daring to ignore their advances, and otherwise forced to accept sexual hints as a way of life. Painful as it has been to be treated in such a way by men of her own race, she still finds the "real ignorant thing from a Black man […] *better* than [that of] a White guy" because, as she explains, "his statement would be supported by a history of plantation rape and jungle fever fantasies" (30, emphasis mine). To escape embarrassment and rage, however, Byrd has resorted to denying her public body by covering it in hoods and sweaters, admitting that her Barnard College feminist rhetoric – " 'This is my body – I can dress however and do what I want with it, and no one has the right to say or do anything' " – just proved too naïve outside of Soho and the Village. Adopting this new look by reducing her sex-appeal, unlike Watson, Byrd has achieved relative peace of mind, which, as she claims, does not "get [her] dreaming about polishing [her] gun" (31), but neither does it make her "feel completely at home" in her skin (17).[9]

As Watson's and Byrd's stories indicate, in contemporary American society, fed on media representations of black female bodies as expendable commodities, black women are daily subjected to both racist and sexist ideologies, trapped in the space where black female sexuality cannot be defined outside the context of domination and exploitation. The lack of positive images of black female sexuality often results in denial, passive acceptance of the status quo, and/or silence surrounding the very subject, rendering the topic of sexuality a taboo. More frighteningly yet, the stories also reveal that black women are inclined to dismiss, excuse and/or justify the black men's behavior, either as "an unfortunate side effect" (in Watson's case) or as "real ignorant thing" (in Byrd's case) because of false racial solidarity. By doing so, they implicitly reinforce not only the highly questionable double standard that "it's less offensive for a black man to call a black woman 'bitch' than it is for a white man" (Samuels, "We're Not" 44)[10] but also the demeaning sexual stereotypes they seek to subvert.

On the other hand, several personal stories in *Naked* suggest that some black women, singers and other artists in particular, have learned to appropriate the sexual stereotypes to "either assert control over the representation or at least reap the benefits of it" (hooks, *Black Looks* 65). As hooks notes in her essay pertinently titled "Selling Hot Pussy: Representations of Black Female Sexuality in the Cultural Marketplace," "Since black female sexuality has been represented in racist/sexist iconography as more free and liberated, . . . [they] have cultivated an image which suggests they are sexually available and licentious" (65). The experience of light-skinned/wavy haired singer Kelis is an example of such an approach. Justifying her complicity in her own objectification, Kelis explains in *Naked*: "Sex sells . . . America is all about what is appealing to the eye . . . I'll be damned if I'm going to hide what God gave me" (Byrd and Solomon 103-4). Her words, exposing the complex interplay between exploitation of the black female body and capitalism in which the marketplace determines who can get profit and how, manifest a new black female subjectivity that reflects, to some extent, her control of sexuality. According to hooks, however, this subjectivity is problematic since Kelis's representations do not interrogate or challenge the dominant representations of "the exotic Other who promises to fulfill racial and sexual stereotypes or to satisfy [both men's and the market's] longings" (hooks, *Black Looks* 73). Rather, they blindly exploit the commodification of blackness, which constructs black women as evil, immoral "prostitutes who see their sexuality solely as a commodity to be exchanged for hard cash" (105). In doing so, they signal that Kelis fails to understand how her complicity in the debasement and humiliation of the very culture she belongs to helps to reinforce and reinscribe the desires of the whites.[11]

The above-discussed stories seem to suggest that in twenty-first century America, ordinary black women still cannot embrace their sexuality and "place erotic recognition, desire, pleasure, and fulfillment at the center" of their lives without the fear of being labeled "loose" (hooks, *Black Looks* 76). Yet the personal testimony of Jill Nelson, a journalist and author of nonfiction, partially challenges this assumption. Unable to fight the demons of the cultural marketplace, Nelson has come to understand that her body had two selves: "the public body that had to be denied: constrained, covered, and kept in check so that [she] could move around without being catcalled and objectified" and the "private body – lush, loose, a self-affirming world in itself" (Byrd and Solomon 79). Nelson has learned to reconcile the two by ignoring the public body defined by the values, judgments, expectations, and fancies of others, and learning to listen to her private body: to know it as a source of pleasure, as her own "personal instrument" that she "should learn to play" and *only if* [*she chooses to do so*], to teach others how to play as well" (81, emphasis mine). Reclaiming both her subjectivity (and agency) and her body as a site of positive desire and sexuality, she has overcome the debilitating impact of the institutional branding that stigmatizes black women, rendering them powerless. Moreover, by affirming the place of "the private" in the highly public and politicized world, she has

acknowledged the ignored existence of many black women who do live happy lives in healthy relationships with black men, resisting the pathological assessment that the present state of affairs in the contemporary black community is nothing but dire.[12]

Conclusion

Despite the black leadership efforts of the 1920s and 1960s to redefine the demeaning images of black people and challenge the pervasive ideology of white ideology, the majority of the personal essays in *Naked* testify to the fact that in the twenty-first century, the legacy of slavery is still alive as black women continue to suffer from the consequences of internalized racism, enshrined deep in the psyche of the black community and manifested in negative stereotypes, reinforced by a media-driven society. The devastating vestiges of the Jeffersonian dichotomy can still be observed in the contemporary black community, where both colorism, i.e. the preference of light skin over dark skin, and the heightened perception of "good" and "bad" hair, continue to be salient issues and where the realities of black women's lives continue to be informed both by the fear of and pain from having no control over how they are perceived by other people. Consequently, having internalized the message that their bodies do not conform to America's acceptable standards of beauty, defined by whites in the eighteenth century, and if so, only in the prescribed, commodified ways, many black women do not consider themselves beautiful, but rather as deficient and inferior. Their low self-esteem often gives way to self-denial, self-hatred, depression, and, at the extreme, killing rage; their relationships with men often fail or are largely unhealthy. Afraid to embrace their bodies, many black women lack the strength to "battle[ ] body demons on a conscious, constructive level" (3) and to redefine themselves in new, positive ways.

Despite the bleak scenario, however, the personal stories in *Naked* also indicate that black women are beginning to voice their fears and concerns, to tell of their pain and failures, and to address the issues that seem to shape and define their lives: racism, sexism, and capitalism. Valuably, from the personal testimonies collected in *Naked* there emerge strategies of resistance that resonate, to a large extent, with black feminist theory and can be applied in the lives of ordinary black women: loving blackness, affirmation of difference, recognition of how the vestiges of slavery are still at play in the minds of both white and black people, irrespective of gender, conscious rejection of stereotypical messages and interrogation of one's own complicity in their perpetuation, and finally, knowledge of oneself as one's own sexual subject, free to choose and define one's own identity. Although it may be a long way before the black female body is fully reclaimed in the United States, the foundation for this process has been laid.

Notes

A draft of this paper was presented at the 2007 CAAR conference in Madrid under the title "In *Medias Res*: Reclaiming the Black Female Body Once Again."

[1] The choice of the text is deliberate. I find that in academia, little space is devoted to non-academic writing that falls outside the category of fiction, although personal stories can provide powerful testimonies for us to learn from. Also, I want to acknowledge the recent boom in self-help and/or inspirational books for black women, especially those dealing with stories of mutilated lives.

[2] In this paper, due to space limitations, I restrict my discussion mostly to these two main features, although occasionally I mention others as well.

[3] As Robyn Wiegman argues in her book *American Anatomies: Theorizing Race and Gender*, "visuality is the central aspect of Western knowledge that has contributed to the articulation of race and, subsequently, to the emergence of racialized discourse. The Western production of the African subject as sub-human is related to the epistemologies of vision which reduce that subject to an object and property through the logic of corporeal inscription. The perceived subordinate particularity of the other, such as skin color, hair texture, shape and size of lips, nose and buttocks, legitimates the visual paradigm within which only these characteristics are recognized" (Glowacka 2).

[4] Thomas Jefferson was not the first white person to notice the racial difference and express his/her preference for whiteness. In the mid-15th century, for example, the Royal Librarian, the Keeper of the Archives in Portugal, and the Chronicler of the discovery and conquest of Guinea remarked that some of the captives were "as black as Ethiops, and so ugly, both in features and in body, as almost to appear (to those who saw them) the images of a lower hemisphere" (Griffin 519).

[5] In "Black Hair/Style Politics" Kobena Mercer points out one of the myths surrounding African American natural hairstyles, arguing that "these hairstyles [afro and dreadlocks in particular] were never natural, waiting to be found: they were stylistically cultivated and politically constructed" (254). In other words, they should not be seen as an appropriation of an African aesthetic but rather as a response to racism, a "specifically diasporean creation" (Wade).

[6] Cisse's choice is, to a large extent, influenced by the fact that she has relatives in Senegal.

[7] Some scholars argue that the texture of African hair may be "bad" not only because it does not conform to the white standards of beauty (it is not straight, long, and/or blond), but also because it implies wildness associated with unrestrained sexuality. For a more detailed discussion of this issue, see, for example, bell hooks' essay "Selling Hot Pussy: Representations of Black Female Sexuality in the Cultural Marketplace" in *Black Looks: Race and Representations* (Boston: Southend Press, 1992).

[8] The belief that black people are sexually lewd and promiscuous predates the institution of American slavery. As early as in the 17th century, European travelers to Africa found Africans scantily clothed and understood African polygamy and tribal dances as proof of the African's uncontrolled sexual lust (Pilgrim).

[9] Byrd's reference to "polishing [her] gun" may seem rather strong. Yet one personal essay in *Naked* involves a story of Cynthia Berry, a woman serving her sentence for murder of a man who happened to be a victim of her rage, depression, and self-hatred stemming from years of molestation, rape, and the domestic violence at the hands of her two husbands. This story sadly illustrates the extent to which the debasement of black women is harmful for the whole black community.

[10] The comment was made in October 2007 by Isiah Thomas, the black Knicks coach and president who was later accused of sexual harassment and name-calling by a former female executive, Anucha Browne Sanders. While he was not found guilty, a Manhattan federal trial jury ordered James Dolan, the Madison Square Garden owner who had fired the executive in retaliation for her complaints about Thomas, to pay $11.6 million to Sanders, thus opening a dialogue about black misogyny. See *Newsweek*, October 15, 2007: 42, 44.

[11] Likewise problematic is Halle Berry's winning the Oscar award. As Kumea Shorter-Gooden, psychologist and author of *Shifting: The Double Lives of Black Women in America* (2003), points out in her book: "Though many were happy about the milestone victory, some Black women quietly expressed disappointment that Berry had been honored for an acting part that included a graphic sex scene with White actor Billy Bob Thornton. […] In my opinion, Halle Berry was awarded for fulfilling a stereotype" (31). Needless to say that Halle Berry is light-skinned and has "good hair."

[12] Although I do not deny that there is a pressing need for African Americans to address the issues surrounding sexism and internalized racism in their lives and communities, I want to be fair and acknowledge the part of the African American population always left out from the discussion – those who live in healthy relationships. In some ways, this is a corrective to my own article "The Culture of Disrespect: On Internal Colonization of African Americans" in *Peaceful Multiculturalism or Culture Wars?*, eds. Šárka Bubíková and Olga Roebuck (Pardubice: Univerzita Pardubice, 2007:96-103).

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Paule Marshall's "Brooklyn" and the Quest for Wholeness

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Abstract

The article questions cultural identities as fixed 'locations of culture'. It discusses the liminal and hybrid approaches Paule Marshall uses to explore the fluid and unstable notion of hybrid identity in her short story 'Brooklyn'. The complex of dislocation and identity construction in dual location that often accompanies migratory experiences is felt by the characters in the story. Their 'Americanization' produces uniquely hybridized immigrant identities. A story of transcendence and continuity, 'Brooklyn' probes the liminal, intercultural aspects of human experience as lived by the author herself.

Keywords: *dislocation*, *relocation*, *fragmentation, (post)colonialism, liminality, imperialism, hybridity, wholeness, catalyst, ambivalence*

*Motto***:** "An oppressed people cannot overcome their oppressors and take control of their lives until they have a clear and truthful picture of all that has gone before, until they begin to use their history creatively. This knowledge of one's culture, one's history, serves as an ideological underpinning for the political, social, and economic battles they must wage. It is the base upon which they must build." (Marshall: "Shaping the World of my Art" 107)

Paule Marshall and Caribbean Culture

Paule Marshall was born in 1929, in Brooklyn, New York, from West Indies immigrant parents, shortly after WWI. Raised in a transplanted Caribbean community, Marshall experienced West Indian culture through the subsequent travels to Barbados, which connected her to its worldview and oral traditions.

After publishing her first novel, *Brown Girl, Brownstones* (1959), telling of a young woman's struggle for identity in the West Indian subculture, Paule Marshall's next book, *Soul Clap Hands and Sing,* appeared in 1960. It is a collection of four long stories about African descendants in the USA, the Caribbean, and South America, and their relations with other immigrant groups. Marshall here contrasts traditional African spiritual values with the commercialism and materialism of the New World. Some of the stories included in this volume, such as "Brooklyn", were also included in his later volume of tales entitled *Reena and Other Stories* (1983).

The critic Edward Braithwaite highlights the unique literary approach of West Indian novelists. They "have, so far, on the whole, attempted to see their society neither in the larger context of Third World underdevelopment, nor, with the exception of Vic Reid, in relation to communal history […]. West Indian novels [he claims] have been so richly home centered, that they have provided their own universe, with its own universal application" (225). Accordingly, West Indian novelists faced the task of describing their own society in their own terms. Undoubtedly, to do that, they had to take pride in their native land and place, which was a difficult task to do, considering the fact that the exploration of their societies was limited by distance, separation and different background. The critic rightly asserts that, on the other hand, we should not see the contemporary West Indies as simply ex-colonial territories, which "… are underdeveloped islands moving into the orbit of North American cultural and material

imperialism, retaining stubborn vestiges of their Euro-colonial past (mainly among the elite) … and active memories of Africa and slavery (mainly among the folk)…" (119).

Indeed, Paule Marshall was brought up in a West Indian/Afro-American environment in New York, and visited the West Indies, and especially her ancestral Barbados. All this points to her encompassing triple consciousness, i.e. that of an Afro-American of West Indian parentage raised in New York. Having the quality of being triply invisible as well (black, female, foreigner), she deserves consideration for the original solution she gives to the dilemma of how to cope with these cultures. She sees them as separate, yet interconnected cultures: "I am Afro-Caribbean and Afro-American," she says in an interview (1988), "I am embracing both these cultures and I hope that my work reflects what I see as a common bond" (qtd. in Pettis 32). Thus, as seen in her story 'Brooklyn', she places herself in a transitional space, a liminal place where her inter-cultural and hybrid approach allows her to explore the notion of hybrid identity, which is fluid, unstable, incessantly in search of and transforming itself.

Joyce Pettis raises an interesting issue which the critic thinks differentiates Paule Marshall from other black women writers. While other such female writers deal with the schism between the two cultures, Paule Marshall, even while rejecting Western values such as the American Dream and the lack of Afro-centric values in a materialistic culture, asks herself "…how African Americans can remain **culturally moored** and **psychologically whole,** while participating in economic enterprises that almost guarantee **fragmentation**" (115, emphasis added). The present article will comment and speculate on the solution to the problem posed by Paule Marshall in her writing.

Paule Marshall and Post-Colonial Ethics

Since the 1980s we have been witnessing a growth of ethical criticism which has claimed to cultivate an ethics more respectful of alterity, of the right to difference – understood quite concretely as cultural or sexual difference. As a result, new gender roles, and new relations between self and other, have to be invented. Such narrative fiction will be analyzed as representations of female oppression as the Other.

From a post-colonial angle, the critic Homi Bhabha develops the concepts of hybridity and "liminal" space of the colonized Third World to describe the conditions of colonial antagonism and inequity. He argues that cultural identities cannot be pre-given. Nor can "colonizer" and "colonized" be viewed as separate entities. We need to understand cultural differences as the production of minority identities. Instead, Bhabha suggests that the negotiation of cultural identity involves the continual exchange of cultural performances that in turn produces a mutual representation of cultural difference:

> Terms of cultural engagement, whether antagonistic or affiliative, are produced performatively. The representation of difference must not be hastily read as the reflection of pre-given ethnic or cultural traits set in the fixed tablet of tradition. The social articulation of difference, from the minority perspective, is a complex, on-going negotiation that seeks to authorize cultural hybridities that emerge in moments of historical transformation. (2)

In other words, he questions cultural identities as fixed "locations of culture". Homi Bhabha's post-colonial theory centralizes the discourse of marginality, at the same time pointing out the ambivalence of colonial discourse. As a post-colonial critic, he provides a theory of cultural hybridity in which he uses concepts such as hybridity and liminality to argue that cultural production is always most productive where it is most ambivalent. Negotiation, according to Benjamin Graves, takes thus place in a "liminal space" which is a "hybrid" site where cultural differences articulate. Characters can be hence analyzed in terms of hybridity; it is an encounter of otherness within the self in an attempt to evade the dichotomy of alterity and identity.

The Trauma of the Middle Passage

Angelina Reyes, another literary critic, approaches the "paradoxical metaphor of the Middle Passage in American writing of African descent". The Middle Passage, geographically, represents the part of the Atlantic Ocean between the west coast of Africa and the West Indies. Historically, it represents the longest part of the journey formerly made by slave ships. Metaphorically, with its "complex aftermath of American racism, prejudice, and exploitation of people of color" (179), it symbolizes progress and displacement in American literature. Specifically, Miss Williams has to suffer a symbolic death in order to experience re-birth to the present world. The journey motif fuses past and present events. The black character, as is the case of Miss Williams in "Brooklyn", experiences a "crossing over… and must be led to the Threshold, [historic and mythic] in order to be cleansed and re-birthed" (125- 126).

The Threshold is a concept used in postcolonial theory. This Threshold or liminal stage is a transitional period or phase of a rite of passage (called the Middle Passage) during which the participants lack social status or rank, lose sense of cultural identity, and face disorientation and confusion. Liminality refers to characters' condition of being on this cultural and psychological threshold, when 'crossing over' from one stage of life to another. This liminal space is meant to mediate rather than separate mutual exchanges. In anthropological theories, new perspectives thus arise when characters experience this 'crossing over' the threshold and a new social structure based on common humanity and equality, irrespective of social class, forms.

People of mixed ethnicity, oppressed, colonized, or immigrants in their position of participants in the act of culture as well as observers of it, are usually in this liminal or transitional stage. A major transformation occurs in characters' lives when they are in a liminal space, a place where we are 'out of place', where boundaries dissolve, where all transformation happens. Being in a liminal space provides the opportunity to recreate oneself. Characters can become that which they have never yet been. Due to the unsteady character of liminality, understanding of both sides can be facilitated.

The two immigrant characters in Paule Marshall's short-story "Brooklyn" are Miss Williams (Black student) and Max Berman (Jewish teacher). They belong to different social classes, yet they use liminality as a threshold for sharing different cultural experiences.

The liminal or transitional space where they can reclaim their lost sense of identity is provided by a journey to Max Berman's country cottage where he invites Miss Williams to spend a day to speak about a possible continuation of her paper on Gide's *The Immoralist* into a master's dissertation.

Physical and Mental Colonization

Sabine Bröck speaks about black women's obsession with not having a place in white society. Therefore, they become obsessed with open and untouched spaces (nature, countryside, water, etc.). From closed rooms, where black characters feel imprisoned and suffer disillusionment, they try desperately to find a place untrodden by the white race, a liminal space where they experience freedom and lack of restraints.

The city and closed spaces, such as the classroom, stand, in Marshall's view, for cultural breakdown, materialism, and lack of Afrocentric values. Those belonging to the white race, the oppressors, implicitly cannot stand for cultural regeneration.

As a Black student in the enclosed space of the classroom, Miss Williams "sat very still and apart from the others, …her face turned toward the night sky as if to a friend" (32). Her hands "stiffly arranged in her lap … betrayed a vein of tension" (33). Her posture expressed fear, submissiveness, lack of courage and friends. The enclosed space made her refute all her inner urges as if she would endanger the self so closely guarded within. Her uneasiness and air of submissiveness please Professor Max Berman, they give him "a feeling of certainty and command" (34), making him, paradoxically, one of the oppressors. It is the relationship between a teacher (subject) and his student (object), between two people of different social status and rank and with different cultural experiences. At the professor's sexual harassment, "her eyes remained dry and dull with disbelief. Only her shoulders trembled as though she was silently weeping inside. It was as though she had never learned the forms and expressions of anger. The outrage of a lifetime, of her history, was trapped inside her" (38). He watched the astonished and grateful smile like a child's turn into the disappointment: "She did not move, yet she seemed to start; she made no sound, yet he thought he heard a bewildered cry. …. Trust, dying – her eyes, her hands faltering up…." (37).

The literal journey takes Miss Williams and Max Berman into the western countryside, a suitable liminal setting for unleashing their abused and fragmented selves as minority people and for calling out their refuted feelings. The literal journey initiates the psychological and metaphorical journey, back into their consciousness and past memories, which in turn forces them to confront certain past experiences and beliefs that others and society have impressed upon them. Aside from being a physical place, Berman's country cottage is a metaphorical place from where they can retrace their past from a renewed perspective. This is the liminal space, the transitional space that allows for exploring alternative, yet interconnected possibilities.

The historical colonial context is similar for both. However, their cultural colonial experiences are different. Miss Williams has been colonized by men in the patriarchal society where she grew up, by Americans and their cultural imperialism, and she is now facing the new colonization.

The story focuses on the mental colonization that still exists (domination of the white man in imperialist America) long after physical decolonization has occurred. Feminist postcolonial theory focuses on the "double colonization" that women colonized by both race and gender have suffered. This mental colonization has left Miss Williams with feelings of dislocation and disconnectedness from her language, history and culture, which in turn has led to a fractured sense of self and a desperate need to regain and reclaim her identity. This form of colonization, worse than physical colonization, has its negative effects on Max Berman as well.

Post-colonialism and Identity Formation

Feminism and post-colonialism consider language fundamental to identity formation and also a psychological weapon to undermine patriarchal and colonial powers.

In the introductory essay to *Reena and Other Stories* entitled "The Making of a Writer: From the Poets in the Kitchen", Paule Marshall confesses that, contrary to people's expectations, she does not mention the usual literary giants; she acknowledges the influence of white and black writers she read in her formative years as well as "the group of women around the table long ago" (12); to honor these women she even writes an essay entitled "The Poets in the Kitchen" which is also included at the beginning of the volume *Reena and Other Stories*. They taught "[me…the] first lessons in the narrative art. They trained my ear. They set a standard of excellence. This is why the best of my work must be attributed to them; it stands as testimony to the rich legacy of language and culture they so freely passed on to me in the wordshop of the kitchen" (12).

Language is used as a most powerful psychological instrument by oppressed women in particular. It is a linguistic tool, but also a means of putting women in control, at least verbally. In this sense, Paule Marshall uses metaphors that, based on condensation, define similarities out of contraries. She can thus capture both the contradictory relationships generated by capitalism and the Afro-Americans' belief in the fundamental dualism of life, i.e. the whole as made up of contradictions and opposites.

Like all African Americans, Paule Marshall and her characters participate in two separate but related worlds, with something that W.E. Du Bois refers to as double-consciousness. It is out of this sense of doubleness that black novelists write. The American land promises, on the one hand, freedom, dignity and identity to a once oppressed people. The complex bicultural identity that is the heritage of African-American writers forces Paule Marshall, on the other hand, to examine the pitfalls associated with the black pursuit of the American Dream, such as the loss primarily of history, culture and identity. Hence, the influence of history, personal and collective, on individual action is a major theme in this autobiographical fiction. Miss Williams represents the contemporary African American woman who has sacrificed her self in attempting to embrace middle-class values. It is the price she has to pay for trying to be accepted among white people through education.

Paule Marshall's fiction embodies Afro-Americans' belief in the fundamental dualism of life. The idiom of a people, she claims in "The Poets from the Kitchen", reflects their fundamental views about themselves and their conception of reality. For illustration, she gives the pair of words "beautiful-ugly" used by her mother and her friends "to describe nearly everything, [for] expressing this dualism: the idea that a thing is at the same time its opposite, and that these opposites, these contradictions make up the whole" (9).

Reena and Other Stories deals with the conflicting attitudes of black women, presumably because of the resurgence of Black Nationalism, as a political and aesthetic ideology of the time. "Black is beautiful" (35) was the popular slogan, says Dorothy L. Denniston and, for this reason, "all elements of black folk heritage began to be interpreted with new insight and pride" (40). Paule Marshall's attention, however, was drawn, the critic continues, more sharply to the familiar black immigrant experience and to issues related to African cultural survival in contemporary black American society. Embracing African ancestry through extended family ties (along several generations) her characters develop the strength to "combat all that the white world refuses her" (41).

Besides language, history and past must also be reclaimed. People seldom exist independent of their culture or of their history. What feminist and post-colonialist theorists have recognized is

that history has been written by oppressors. It is generally accepted that there is more than one way to look at history, a necessary process that can be slow and painful, but a process that will inevitably lead to a clearer understanding of self and of our world.

History and a deep sense of the past are thus especially important to oppressed people such as Blacks, and once familiar with it, they can use it creatively, to their advantage, to build the future. Those who do not know their history because of oppression are condemned to repeat it endlessly, unless they first become familiar with it, and then acknowledge it, both being used as survival techniques nowadays. It is a historical and cultural continuum we cannot deny. Such characters, according to Winifred Stoelting, are victims of memory who speak and listen, trying to find a reconciliation between the oppressed past and the needs of the present.

In like manner, Paule Marshall tells the tales in her own search for "viable links between the traditions of the past and the needs of the present" (Stoelting 61). Her technique of bonding the public history of the setting with the private history of the characters illustrates this interdependency. In this sense, Marshall voices opinions about the distinctly black vernacular and oral tradition: "If you say what's on your mind in the language that comes to you from your parents and your street and friends, you'll probably say something beautiful" ("From The Poets in the Kitchen" 4).

The exploration of African ancestry is possible by looking at the cyclical nature of time as perceived by traditional African societies in direct contrast to the linear progression of time as perceived by Western societies. This original concept of "organic unity", i.e. the continuous cycle of life and death, and the duality of life and loss, refers, in Marshall's fiction, to the use of the past as a key to the future, and the present as the culmination of the past: "a person has to go back … before they can go forward" (*Reena* 179), says a character in Marshall's short story "Brazil". There, within the African community, Marshall's characters regain their selves by relocating with their African ancestry. In other words, the characters recover their fragmented psyches within a "recoverable, changeable and renewable" history as well. As such, history is no longer seen by Marshall as static but as living history. Healing takes place at the level of the individual as well as of the community. History does justice and recovers both of them. Marshall's position as a writer and as an immigrant urges in her the desire for totality. There once existed a whole – the traditional Caribbean black community – but immigration and the pressures of life under capitalism have divided the whole. Her project as a writer is, then, to recreate the whole, but from different cultural ingredients – which also include the American white community as well as the Caribbean black community.

Acceptance of one's past is indispensable in the process of regeneration. To do this, Miss Williams and Max Berman mingle child and adult memories in a dual confrontation and reconciliation. The past and the present meet, interdependent, yet separate, to mold the future. Max Berman remembers his childhood, his father calling him a bad Jew, his desire to become a doctor, his wives whom he married out of trivial interests, his inquisitors, etc. Miss Williams listens, polite but neutral, while he becomes aware of his existence, for the first time in his life. Similarly, Miss Williams recalls her childhood, her parents' warnings against speaking or dating strangers with skin color darker or whiter than hers, the man she loved and did not marry because she knew her parents would disapprove, her graduation when she returned home and started teaching, being as confused, frightened and ashamed as before. She experiences the same epiphany while sharing her thoughts aloud or silently with the professor. That spiritual flash awakens her back to life, changes the way she viewed herself and, hence, becomes aware of what she has to do from that moment on. She has finally found her place in the white society.

The search for her lost identity and for wholeness in a society in which she has been defined according to race values is done by means of the motif of the journey back into her cultural roots, which she must undertake for psychic reintegration in a patriarchal, postcolonial, capitalist, and white supremacist world order. The self (individual) is used as an instrument in this need for reclaiming her cultural heritage and, accordingly, an instrument for the continuation of that community. To that end, i.e. to recover the rituals of her family and the other people of the African diaspora, as Carol Kort argues, black women writers become "representative of the larger black struggle for individual autonomy and communal wholeness" (88).

Liminality: Breakdown and Contact

The critic Rhonda Cobman paradoxically notes the fact that in Caribbean fiction "the moment of **breakdown** is not a moment of isolation but a moment of **contact**: with the ancestral past, with the community, and with the self" (58, emphasis added). Miss Williams, indeed, relives the trauma of the Middle Passage in the "company" of the professor and her parents who help her "recover" her past and herself. The excursion to the professor's country cottage is the symbolic enactment of the Middle Crossing (the liminal state) in which she is assisted by the Jewish teacher, by historic bearers and by the readers.

An essential role is played by elderly people (parents, etc.), the primary interpreters of culture and spirituality in African communities who usually facilitate access to the past. Mostly her mother, a representative of the female ancestor, becomes a factor of cultural continuity, a mentor who teaches how to live in the present world; her cultural role also includes the passing on of stories, legends, and cultural traditions. Miss Williams is helped by her parents to take this spiritual "middle passage back" to rediscover and, at the same time, to pass on the histories and stories of her people. They are the "bridge" between the past and the present. They help her to have that moment of revelation and insight, to comprehend and perceive reality as it is, and, implicitly, to regain her self-confidence and to recompose her fragmented psyche.

Abena P.A. Busia's idea of the role of readers as fellow travelers with the female characters who take this psychological journey into their ancestral heritage is attention-grabbing. Although she refers to Marshall's novel *Praisesong for the Widow* (1983), I think it is also valid in the case of the short-story "Brooklyn" discussed here. As readers, the critic states, we are able to see again "the fragments that make up the whole, not as isolated individuals and even redundant fragments, but as part of a creative and sustaining whole" (127). It is the journey, she continues, "of relocating with all the dispossessed and scattered African peoples from their past and their original homeland and, in the present, from their communities and from each other" (127). That is to say, we identify as readers with the characters' life experiences, each of us in our own way, depending on the cultural environment we belong to and/or the degree of contact with oppression.

In the act of "purification" of her self by means of the swimming ritual (which results in rebirth by water "baptism"), Miss Williams is assisted by the professor and her African community. He feared to touch her lest "his touch would unleash the threatening thing he sensed behind her even smile" (42). She came and stood beside him and then walked slowly into the water. And, as she walked, she held out her arms "in what seemed a gesture of invocation" (43) which recalled his childhood memories when "he invoked their God each Sabbath with the same gesture" (43). It is the moment of breakdown and contact: "He understood suddenly the profound cleavage between them and the absurdity of his hope. The water between them became the years which separated them. Her white cap was the sign of her purity [rebirth], while the silt darkening the lake was the flotsam of his failures. Above all, their color-her arms a pale, flashing gold in

the sunlit water and his bled white and flaccid with the veins like angry blue penciling-marked the final barrier" (42- 43).

Catalysts and Enablers. The Whole: Contradictions and Oppositions

Susan Fromberg Schaeffer (27), referring to Marshall's novel *Daughters* (1991), raises an interesting idea about women's role in becoming men's conscience. Undoubtedly this is the case of Miss Williams in "Brooklyn". She acts as a catalyst, in Pettis's outlook, i.e. she is the prime agent of Max Berman's change. She is "the bridge", in Berman's words, that can reconnect him back to life.

We might even say that they are both catalysts for each other along the physical and spiritual journey across the liminal threshold.

One of Marshall's main goals is to prove that the whole is made of contradictions and opposites. The beginning of the story presents Max Berman as an imperialist, neocolonialist, white oppressor, while Miss Williams belongs to the oppressed, colonized group. Max Berman appears to be strong, uncaring about human feelings, despite being one of the oppressed himself, since he was dismissed from all schools after he was found to be a Communist Party member. He looks down on his black young female student, treating her as a sexual object. Nevertheless, he is aware of the feeling of loneliness they both share. As a feminist writer, Marshall uses aging men as symbols of cultural decay; old men who, like Western countries, bathe in past glories. Max is "enabled" by Miss Williams ("What did matter"?, she asks him) to recollect his painful past and to realize that nothing has really mattered since boyhood: he has been indifferent to love, job, family, community, faith, and himself. He is, in fact, an "unabler", incapable of acknowledging his Jewish cultural roots until he meets Miss Williams. The more aware he becomes of his cultural roots, the weaker he gets, only to become one of the oppressed in the end. Her questions have dealt the severing blow. He is an outcast, aware for the first time in his life of his existence. Eventually, he accepts "his responsibility […] for all those at last whom he had wronged through his indifference: his father lying in the room of shrouded mirrors, the wives he had never loved, his work which he had never believed in enough and lastly (even though he knew it was too late and he would not be spared), himself" (48).

Unlike him, Miss Williams, although she seems inferior and frail in the beginning as one of the oppressed, eventually proves to be the strong one. She looks at herself through others. She realizes how white people see her, and the racial limitations offered by her parents' education. The more she thinks about how wrong her parents have been, and what a terrible thing they have done to her, the more she listens to Berman's life story, the less confused and more self-enabled a woman she becomes. The past offers her the key to a successful future. "I will do something. I don't know what yet, but something" (45) … In a way you did me a favor. You let me know how you and most of the people like you – see me," she says (47). The past and the liminal space help them to reconcile rather than disconnect their mutual cultural exchange. They finally become aware of their selves through questioning the Principle of Alternative Possibilities that asserts that "a person is morally responsible for what he has done only if he could have done otherwise" (Frankfurt 829).

The end of the story reverses roles. Miss Williams is in full command now when she tells him, serenely and fully enraged, at his country cottage (the liminal space): "Look how I came all the way up here to tell you this to your face. Because how could you harm me? You're so old, you're like a cup I could break in my hand" (47). From a woman who has been repeatedly cautioned to be afraid of and not to talk to strangers, either white or darker than the color of her

skin, she realizes now that she is no "more confused, frightened and ashamed…" (47). Her ancestral anger spurs her back to life. Her head lifted no more towards a dark sky, but "as though she carried life" (48). Her head lifted, tremulous with her assurance. "I can do something now! I can begin," (47) she said with her head poised and self regained. From autumn it turned to summer, the lake, from "so dark and serious-looking" (43), became almost as nice as hers from home. An ironic and pitiless smile was on her face. For the first time in her life, as she confesses, she feels almost brave. He envies her rage, deeper than his, her smile like a knife, her new bravery, "the disgust which he read in her eyes" (46), "the strength which had borne her swiftly through the water earlier" (46).

Both characters experience breakdown and contact at the same time in order to recompose the fragmented whole from oppositions. However, the effect on the two characters is different: Miss Williams ends in rebirth while Max Berman ends in failure. Max Berman, 63, a Jewish teacher, and Miss Williams, a fair-skinned middle-class Southern Black student, are both marginals, i.e. they belong to the group of oppressed people. However, they relocate to a different community (Jewish and Black) and have different cultural experiences (quasi-colonial and double colonial). Listening to each other's historical colonial past builds arcs of communication between two different, yet similar through oppression, immigrant races – Jewish and Black.

"Bridging" Arcs of Recovery and Reconciliation

Acceptance of the past is indispensable in the process of regeneration. Both of the characters acknowledge and make peace with their past. However only Miss Williams can surface to life again as she affirms, "Maybe in order for a person to live someone else must die" (47), and, thus, only one becomes a positive agent of community through psychic transformation and spiritual reintegration. She is the only one who reaches the desired destination because she first rejects all that seeks to colonize her. She refuses to accept neo-colonialism with its white male dominance. She then subverts the forces neo-colonialism uses (language, history and culture) to reject her identity as a victim.

The end of the story, however, is optimistic. Both characters will gradually move closer to the destination that will dissolve irrelevant cultural differences because it will affirm acceptance of the spiritual origin of the African and/or Jewish diaspora.

The liminal, neutral space or "threshold" that marks the transition from one stage of life to another is visible in the title of the short story as well. "Brooklyn" is the crossroads of many cultures, the "bridge" where cultures meet and people make arcs of reconciliation in an attempt to build "wholeness" out of culturally different fragments. It is the place where Max Berman spent his childhood and also the place where he thinks of returning after meeting Miss Williams. Miss Williams is also born in Brooklyn. They both build these "arcs of recovery" through "bridging", i.e. connecting through their common cultural experiences. From sharing this colonial cultural experience they connect with their cultural roots and assist regenerative action in each other. Bridging cultures (African, Caribbean, and American), reconciling past and present, oppressors and oppressed, "enablers" and "unablers", child and adult memories, private and public, personal and communal stories and relationships, through language, as an "arc" of communication, Paule Marshall's immigrant remakes a cultural whole in which he/she regains spiritual wholeness through identification with original cultural roots. Accordingly, Paule Marshall's black female characters remake their "psychological wholeness" through identification with African roots whereby they can gain force for the political, social, and economic battles with the white Western civilization.

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Young Adult Novel: The Bane of American Gay Fiction?

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Abstract

This article focuses on the confusion surrounding adult and young adult gay (male) fiction published in America since the late 1960s. This confusion is widespread and has resulted in some notable misunderstandings among both critics and readers. Based on examples taken from coming-out novels, an attempt is made to identify and distinguish young adult (YA) novels using textual criteria rather than publishers' practices and policies.

Keywords: American literature, homosexuality, gay literature, coming out, young adult novels, adult novels

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Any emerging literature dealing with issues of minorities faces the question of the relationship between its literary quality, however vaguely defined, and its social relevance. American gay literature is hardly an exception in this respect. Because gays and lesbians form their identity during the process of coming out (i.e., coming to terms with their sexual orientation), coming out becomes the quintessential theme permeating in one form or another virtually all gay literature. As Robert Friedman notes, "our coming-out stories are our creation myths, the places in our life-narratives where we begin re-inventing ourselves as modern homosexuals" (Saks and Curtis 33). Due to the omnipresence of coming out as a theme in gay literature and the fact that coming out usually takes place during the teenage years, many commentators have wrongly concluded that gay literature should primarily cater to the needs of teenagers.

Quite a few gay novels have been condemned as reading for teenagers, implying inferior literary quality, and this has caused a lot of bad blood among critics, reviewers, authors, as well as readers. The source of the great confusion is obvious: these critics and readers (and sometimes authors as well) are too tightly confined to the field of adult literature and seem to be completely unaware that teenage (or, in the United States, young adult) literature constitutes an independent category, with its own characteristics, features, and development. Indeed, if a young adult novel is judged as an adult title, more often than not it *will* be judged inferior. On the other hand, expecting all gay literature to be "suitable" for teenagers would lead to conclusions equally absurd.

Such misunderstanding of the goals and forms of gay literature can be best observed in David Leavitt's criticism of Andrew Holleran's *Dancer from the Dance* (1978), a cult novel in the late 1970s and early 1980s. Holleran's novel is set primarily in the New York gay ghetto of the 1970s, and it documents the delayed coming out of Anthony Malone, who comes to New York as a virgin at the end of the 1960s at the age of thirty, his total immersion into the homosexual ghetto, and, in 1977, his attempt to escape New York at any cost.

Despite its importance in the history of gay literature, *Dancer from the Dance* has not always been accepted positively. David Leavitt viewed the novel from the perspective of a young gay man going through his coming out; when he confided to a twenty-one-year-old friend of his that in his introduction to *The Penguin Book of Gay Short Stories* (1994) he was

> planning to take on some sacred cows . . . — most notably *Dancer from the Dance* — his response was swift and unhesitant: "Thank God someone's doing it," he said; "it's the first gay book most young American gay men read, and I can't think of another that's done as much damage." (xix)

Leavitt's criticism was, among many others, repudiated by David Bergman in *The Violet Hour: The Violet Quill and the Making of Gay Culture* (2004). According to Bergman, Leavitt requires literature to be a guide to young men going through their own coming out but this requirement is immature and shows a misunderstanding of the goals of gay literature. Bergman succinctly dismisses Leavitt's objections in the following words: "Criticizing *Dancer from the Dance* as unsuitable for those coming out is like damning James Joyce's *Ulysses* as a terrible guidebook for the Dublin tourist" (23).

Leavitt's condemnation of *Dancer from the Dance* should not be wholly ignored. As I have shown elsewhere, Leavitt's critique epitomizes the viewpoint of his generation, growing up in the age of AIDS, from whose perspective a description of Manhattan of the late 1970s as "a decadent, sex-soaked, drunken, clothes-conscious orgy of a culture" (Preface to *Penguin Book,* xvi) is indeed accurate. Furthermore, what Leavitt understood quite well was the fact that young readers do have specific needs which *Dancer from the Dance* could hardly fulfill. As Leavitt confesses, he tried to address these needs in his first novel, *The Lost Language of Cranes* (1986), which he wrote in order "to fill a gap: to provide for young readers the very book that [he] never found on the shelf in the gay section of [his] local bookstore, back in the days when the gay section of [his] local bookstore consisted of the collected works of Gordon Merrick" (Preface to *Lost Language,* xiii).

Paradoxically, *The Lost Language of Cranes* did not become such a novel. Both men coming to terms with their homosexuality in the novel are adults and are thus rather distanced from the young readers Leavitt tried to reach. However, the fact that both *Dancer from the Dance* and *The Lost Language of Cranes* are coming-out novels once again testifies to the importance of this experience in the life of any homosexual person. And it is coming-out novels that are largely responsible for the confusion in the goals of gay literature and that contest the border between young-adult and adult literature.

What is typical in the Leavitt-Bergman exchange is that it took place in the context of adult literature, and both authors seemed to be unaware of the very existence of young adult literature and its features. Moreover, Leavitt was not the first author who realized the specific needs of young readers. American young adult literature appeared after the Civil War as a category of books aimed at readers who are no longer children and are not yet adults. Michael Cart, for example, considers Jo, Beth, Meg, and Amy March "America's first 'official' young adults," making Louise May Alcott's *Little Women* (1868) the first young adult title (*From Romance* 4). While fiction for young adults has appeared since then, greater *production* of books focused on teenage readers was initiated by the librarians in the late 1960s. Forty years ago, 1969 marks the appearance of the first young adult title dealing with homosexuality, John Donovan's *I'll Get There, It Better Be Worth the Trip.*

The role of librarians and their endeavor to cater to the needs of their young patrons is exemplified in the most comprehensive treatment of YA gay literature to date, *The Heart Has Its Reasons: Young Adult Literature with Gay/Lesbian/Queer Content, 1969–2004* (2006), which was co-authored by a librarian turned university professor, Christine A. Jenkins, and a literary journalist and editor, Michael Cart. At the time of publication, Cart was president of the Assembly on Adolescent Literature (ALAN) of the National Council of Teachers and past president of the Young Adult Library Services Association (YALSA) of the American Library Association.

Cart and Jenkins define young adult literature as "books that are published for readers age twelve to eighteen, have a young adult protagonist, are told from a young adult perspective,

and feature coming-of-age or other issues and concerns of interest to YAs" (1). The monograph is a synthesis of the authors' research published previously and, in addition to a discussion of the development of YA, it provides an exhaustive annotated list of all YA titles with queer (i.e., gay, lesbian, bisexual, or transgender) content published in the thirty-five years following the publication of Donovan's book.

While the authors repeatedly emphasize that young adult readers had always adopted certain adult titles as their own, a distinction between young adult and adult titles is preserved until the end of 1990s when "crossover titles" started to emerge. These books are called "crossover," because "they crossed over the traditional boundary that had separated YA and adult readerships" (129). They also note that attempts started in the nineties "to expand the retail market for YA books by publishing titles that appeal to readers as old as twenty-four and twenty five" (129). An early example of this trend is Michael Cart's *My Father's Scar* (1996), which was first published as a YA title in the Simon & Schuster Books for Young Readers series, only to be reprinted two years later as an adult title by St. Martin's Press.

Given the exhaustiveness of Cart's and Jenkins's list, the absence of two titles one would not hesitate to call young adult – John Fox's *The Boys on the Rock* (1984) and Larry Duplechan's *Blackbird* (1986) – is surprising. This absence is even more puzzling in light of the facts that both are 1980s titles, pre-dating the crossover phenomenon, and both were published by St. Martin's Press. This seems to suggest, first, that "young adult fiction" is actually only a label and, second, that from the point of view of YA literature, being published by St. Martin's Press is a stigma. This is confirmed by the cataloguing practice of circulating libraries: both the Boston Public Library and New York Public Library list these obviously YA novels published by St. Martin's Press as adult fiction while similar books published by other publishers are listed as young adult titles.

While editorial policies of various publishers are certainly interesting and would constitute a subject for another study, this case emphasizes a need to identify young adult titles purely on the basis of the text, regardless of the publisher. This need for criteria that help to distinguish young adult and adult novels is (or should be) felt by anyone conducting research into gay fiction in order to avoid embarrassing misinterpretations of novels, when young adult titles are taken for adult ones, or vice versa.

An interesting case of this confusion of terms can be found in Gregory Woods's authoritative *A History of Gay Literature: The Male Tradition* (1998) when the author comments on the 1970s coming-out novels in the following way:

> The coming-out novel. in particular, whether lesbian or gay, soon came to rely on stock characters whose individuality was secondary to their social role. A prominent example in gay men's fiction is the unsympathetic, macho elder brother who eventually marries and has kids. Fathers were often similarly simplistic caricatures: they beat their wives, they drank, they talked about ball games and they despised their pansy sons. The son himself, the central character, was almost invariably good looking.
> One began to think that gay fiction's only purpose was to serve adolescent readers, gently guiding them towards uncomplicated bliss in the arms of their first boyfriend. Far more novels were substantively set in schools and colleges than in the adult workplace. Some writers like David Rees in Britain wrote as much 'teenage' as 'adult' fiction, and it was generally difficult to tell the difference between the two. Indeed, I am inclined to suggest that the coming-out novel was always teenage fiction, in terms of its ideal readership as well as its central theme. (342)

First of all, the suggestion that the coming-out novel was always teenage fiction (Woods, as a Briton, uses the term "teenage fiction," rather than "young adult fiction" preferred in the United States) is clearly repudiated both by Holleran's and Leavitt's novels. Moreover, the

mention of change of setting to schools and colleges advances doubts about what kind of fiction Woods actually comments on. Yet, Woods's remarks are useful in pointing out that in distinguishing YA and adult titles, it is necessary to delineate YA fiction more formally than Carter and Jenkins do. Only brief comments on narratological aspects of YA fiction are scattered throughout Carter's and Jenkins's text; a large part of their discussion is more devoted to identifying changes in attitudes to homosexuality, and to identifying cases of defamiliarization on the thematic level by pinpointing new themes.

While ways of portraying gays and lesbians in YA fiction have changed (and sometimes have changed considerably) in the last forty years, these developments parallel similar changes in the development of adult fiction, with some notable exceptions. In some rare cases YA fiction was even more progressive than adult titles: while David Bergman contemplates if the first AIDS novel in the US was Christopher Davis's *Valley of the Shadow* (1988) or Robert Ferro's *Second Son* (1988) (228–29), he ignores the fact that the first AIDS novel – M. E. Kerr's *Night Kites* – was published two years before as a YA novel. This fact is only further proof of critics' insufficient awareness of YA literature.

In their definition of YA fiction, Cart and Jenkins, like Woods, point out that teenagers constitute ideal readers. However, the fact that a book is *published for* certain readers falls back on the role of publishers, which is a criterion we strive to exclude from further consideration. On the other hand, a necessary feature of a young adult novel is indeed the presence of a young adult protagonist, usually narrating the story in the first person, which also ensures the "young adult perspective." In connection with gay YA fiction, two points have to be made: the gay person coming out not only does not have to be the narrator, he does not even have to be young. An early and well-known example of the first case would be Sandra Scoppettone's *Trying Hard to Hear You* (1974), in which the narrator is a sixteen-year-old Camilla and it is her best friend Jeff who comes out in the novel. The second case can be observed in M. E. Kerr's *Night Kites*, in which it is the high-school protagonist's brother in his mid-twenties who is dealing with coming out and his impending death from AIDS.

While Cart calls the use of the first-person narrator "one of the most enduring characteristics of the young adult novel" (*From Romance* 18), the choice of the narrative situation is sometimes more sophisticated, especially in more recent fiction. Alex Sanchez in his "Rainbow Series" – *Rainbow Boys* (2001), *Rainbow High* (2003), and *Rainbow Road* (2005) – used three protagonists who rotate in their role of reflector-characters in the figural narrative situation (Franz Stanzel's term for narratives with a heterodiegetic narrator with an internal focalizer). However, this rotational technique had been quite popular in adult titles for some time. Paul Russell's coming-out novel, *The Coming Storm* (1999), utilizes this technique. Likewise, Michael Cunningham used four alternating narrators in his *A Home at the End of the World* (1990), yet in this case there is no strict regularity.

Sanchez's series is also a good example of the use of "stock characters whose individuality was secondary to their social role" (Woods 342). This is obvious in the choice of the three protagonists: a bisexual high-school athlete of Hispanic origin (Jason), a quiet nerd standing outside the crowd, yet a good sportsman (Kyle), and an archetypal flamboyant queen with dyed hair (Nelson). The choice is perceptibly kowtowing to the readers as almost any gay or bisexual reader can easily identify with one of the protagonists.

Another distinctive feature of YA fiction is its use of didactic elements. While in adult fiction any suggestion of didacticism is perceived as negative nowadays, in YA fiction it is quite common and it takes on many forms. After discovering that her best friend is gay, Cam, the narrator of Scoppettone's *Trying Hard to Hear You*, goes to buy Dr. David Reuben's *Everything You Always Wanted to Know About Sex, But Were Afraid to Ask* (1969), at that time a popular handbook on sex. However, the author openly criticizes the book, through

other characters, such as Cam's mother, a psychiatrist. The novel is thus used to explicitly educate the readers.

However, Cart and Jenkins are incorrect in arguing that didacticism was primarily a characteristic of the 1970s fiction (17). It is common in quite recent novels as well, and it sometimes goes out of hand, which is what happened in Sanchez's Rainbow series. While other books try to address some of the issues of interest to young readers, Sanchez tries to address them *all*. Not only the questions of safer sex are addressed (Nelson, a self-conscious gay, fails to use a condom in sex with a random man he met on the Internet), but the novel also attends to the issues of smoking, racial issues, the role of support groups, marginalization of gays, the herd behavior in American high schools, the influence of media and of political declarations, ghettoization, suicides of young gays, and other "queer" issues. Such overloading, albeit not atypical, goes so far that even reviewers commented on them. Nancy Garden in her review of *Rainbow High* says that "well-intentioned discussions about HIV occasionally seem more like thinly disguised warnings to young readers than like real conversations between friends" (Garden 31). Michael Cart comments on the didacticism of *Rainbow Road*: "Along the way, the young men encounter a variety of people and situations that occasionally seem clearly designed to educate the reader." The character of Nelson is described as "annoyingly predictable" (Cart, review 113).

From the narratological perspective, YA books prefer a linear narrative line – any experiments are seen in negative terms. As quoted above, Gregory Woods notes that, of the works of British author David Rees, it is difficult to say if his fiction is teenage fiction or adult fiction. Cart and Jenkins comment on Rees as well: they believe that the failure of his *In the Tent* (1979) in America was caused by a complex narrative technique – the novel is made of two parallel stories, one contemporary one, the other one set in 1646 (34). In American YA literature, deviations from linear narratives are only a relatively new invention, as can be observed in Michael Cart's *My Father's Scar*, in which a freshman at a university returns to his childhood and adolescence in a series of flashbacks. This relative complexity may be one of the reasons why the novel belongs to more sophisticated pieces of YA literature, and may be perceived as an early crossover title.

Another defining feature for young adult literature is a high-school (or college) setting, with all the aspects of American high-school life, such as sports, hanging out with the crowd, and the agony of all teenagers – being popular. Novels that have a young adult protagonist but are not set in these environments seem to be extremely rare. *Trying Hard to Hear You*, *Night Kites*, *My Father's Scar* and the *Rainbow* books are indeed all set in high schools or early in college.

The protagonists are not always handsome, as Woods claims, but they always tend to be highly intelligent and are usually well-read. YA novels are full of literary allusions: in Cart's *My Father's Scar* the protagonist, a bookworm, even spends a night with his literature professor, reportedly a descendant of Nathaniel Hawthorne himself. Scoppettone, in *Trying Hard to Hear You*, criticizes Dr. Reuben's book. *Trying Hard to Hear You* also features a theatrical school performance.

Even though YA novels explore the first relationships and first sexual experiences of the characters, the references to sex never go beyond "making out," "petting," or "necking," for obvious reasons. Anything else would disqualify the novel as YA fiction and would certainly warrant exclusion from YA collections in school and public libraries. This lack of sexual detail is pointed out by Cart and Jenkins, both (former) librarians (52).

Last but not least, the length and pace of YA adult novels are also quite important; YA novels tend to be between 150 and 250 pages long and are action-driven. Any philosophizing is perceived as negative and is limited to a few sentences or, at most, paragraphs, and the narrative quickly returns to action.

The use of the criteria listed above helps to safely distinguish between YA and adult novels so that it is not necessary to rely on the I-know-it-when-I-see-it approach, the usefulness of which has nevertheless been acknowledged by Michael Cart (*From Romance* 11). Most "classic" coming-out novels are easily identified as adult: Holleran's *Dancer from the Dance* cannot be a YA novel because the protagonist is in his thirties, the novel is set in the New York gay ghetto rather than a high school or a college, it treats sex openly and from the narratologist point of view, it is a rather complex novel (actually a novel-within-a-novel, an embedded novel with an epistolary frame). Michael Cunningham's *A World at the End of the World* is not a YA novel because high school times are covered only in a small part of the plot, the young adult perspective is missing (parts of the novel are narrated by Alice, the mother of one of the protagonists, and Clare, a woman in her late thirties). David Leavitt's *The Lost Language of Cranes* is not a YA novel because the protagonists are in their twenties or fifties, and even though Owen, the older man going through his rather late coming out, is a high-school teacher, he seems to spend too much time in Manhattan porn theaters.

While these novels are easy to sort out, others may be more challenging. As noted above, novels published by St. Martin's Press are a special case as the novels issued under St. Martin's Stonewall Inn imprint are almost universally taken as adult books, which is not always true. John Fox's *The Boys on the Rock* is a typical example of a YA book masked as an adult title. It includes all the typical features of YA fiction: a first-person teenage narrator, high-school setting, a swim team, the first relationship of the protagonist, even a death of a minor character, providing a titillating ending (there is a suggestion that the protagonist may be starting a relationship with the twin brother of the murdered boy). Furthermore, the length of 147 pages is quite convenient for YA readers.

A bit more complex case is Larry Duplechan's *Blackbird*, described on the cover of the first paperback edition as "first black coming-out story" (James Baldwin would certainly be surprised). Again, the setting is high school, the protagonist, Johnnie Ray Rousseau, is literate and there are frequent allusions to Mart Crowley's gay-themed play *The Boys in the Band* (1968). Johnnie Ray auditions unsuccessfully for the lead role in his drama class production of *Hooray for Love*. There are stereotypical unfriendly parents, there is even violence when Johnnie Ray's best friend is caught in bed with another boy and is beaten up by his father. Even though the novel is more complex than other YA books due to its inclusion of race as another theme, it still relies heavily on the conventions of YA novels.

On the other hand, another Stonewall Inn book, Paul Russell's *The Coming Storm*, which deals with the coming out of Noah, a troubled high school student in a private high school, and his relationship with one of his teachers (and at the same time revealing the school's history of student-teacher relationships), could hardly be a YA novel, because for the most part, it lacks YA perspective. Russell narrates the story through four rotating reflector-characters and three of them are adults (Tracy Parker, the teacher in his mid-twenties who has a relationship with Noah, Louis, the principal of the school, and his wife, Claire). The description of the sexual part of the relation is also well beyond what is accepted in YA titles, and with its 371 pages the novel fails even the most primitive criterion, this being the length of a typical YA book.

One of the more challenging titles published by other houses would be Edmund White's *A Boy's Own Story* (1982). While the protagonist is a teenager and the story is narrated in the first person, it is obviously narrated by an older person who is capable of analytical reflections of past events and in this way it loses the YA perspective. Moreover, its treatment of teenage sexuality goes much beyond what would be acceptable in a YA book as White describes everything from masturbation, "cornholing" with a friend, to seducing an adult man. Despite

its reported popularity among teenagers, these features unambiguously classify the novel as an adult title.

This article summarizes and pinpoints the most frequent criteria for distinguishing between young adult and adult gay novels. There seem to be two types of criteria which do not always coincide. First of all, YA titles are identified based on extratextual issues, such as the publisher or imprint (Simon & Schuster for Young Adults signaling a YA title, St Martin's Press and/or its Stonewall Inn Editions as an ostensible imprint for adult titles). As information from the publishers does not seem to be a reliable source, the distinction has to be made based on textual criteria. While this idea is not totally original or yet complete, such a distinction is important, as excluding YA novels from an analysis of adult titles helps to avoid any inappropriate evaluation of an independent category of young adult literature with its own history, development, and features. At the same time, it also helps to reduce the number of seemingly inferior adult gay novels.

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Book Reviews

Rochelle Lieber & Pavol Štekauer, eds. *Handbook of Compounding.* Oxford: Oxford University Press, 2009.

If 1960 is taken as a milestone in the development of research into derivational processes (hereinafter labeled as *word-formation*) it is worth looking back at the development of research during the previous 50 years. There have been several attempts at providing an overview of this development, such as Spencer (1991), Carstairs-McCarthy (1992), Štekauer (2000). However, each of these and possibly some other efforts of single authors were necessarily restricted in their scope and theoretical perspective. No doubt, this fact was one of the reasons for Štekauer and Lieber to take up a project of editing a comprehensive overview of the state-of-the-art in the field of word-formation published as *Handbook of Word-Formation* in 2005. While this *Handbook* covers various theoretical approaches to word-formation, the next handbook-project by the same editors, in particular, the *Handbook of Compounding* aims to cover one of the main word-formation processes in the languages of the world – the process of compounding. The significance of compounding for the formation of new words can be easily illustrated by recent research of Štekauer, Valera, and Körtvélyessy into the typology and universals in word-formation. Their analysis of 55 languages of the world has shown that 50 out of 55 examined languages use (with various degrees of productivity) compounding for the formation of new words.

Still, the definition of 'compound' and of the 'scope of compounding' is not an easy task because, as emphasized by the editors of the *Handbook* in their "Introduction", there are too many vague issues, including the ambiguous status of the process of compounding, the criteria for the distinction between compounds as units of the lexicon and phrases as units of syntax, especially in relation to isolating languages, the diversity of compound classifications, various theoretical approaches used to explain, describe, and analyze compounds, etc. No wonder, then, that the majority of authors contributing to this volume, start their chapters with a definition of compounds and/or clarification of the terminology they use.

Importantly, compounds are not universally included in derivational morphology in the past. This is connected with the assumption, still present in some of the current theoretical conceptions, that compounding is "halfway between morphology and syntax" (Scalise and Bisetto, 34), or even a purely syntactic issue as maintained by Harley (Chapter 7) who in her 'Distributed Morphology' model accounts for compounding as a sort of syntactic incorporation. This syntax-based position has its more remote as well as more recent predecessors. Thus, in the early generative works on word-formation by Halle (1973) or Aronoff (1976), one can hardly find any hint to compounds. The field of word-formation seemed to be restricted predominantly to affixation processes. Lees (1960) treats them within the framework of transformational-generative grammar, i.e., as a result of syntactic transformations. Similar considerations can be found in later Marchand (1969) and young Kastovsky (1982). Brekle (1970) applied semantic transformations to the account of compound generation.

The relation between compounds and phrases, too, is a hard nut. One can hardly identify a clearcut boundary between compounds and phrases, in terms of both semantic and formal criteria. This is true even if linguists like Jackendoff (chapter 6) and DiSciullo

(chapter 8) derive compounds by morphological mechanisms (although parallel or similar to syntactic processes), or Booij (chapter 10) who – in his constructional grammar model - suggests to distinguish between compounds as words in the morphological sense, on the one hand, and lexical phrases, on the other. A growing number of morphologists tend to speak about the cline of more compound-like and less compound-like complexes, with no clear categorical distinction (Lieber and Štekauer, 14), or about the "scale of compositionality" (Kavka, 23). Logically, a number of different evaluations of compounds and different approaches to the status of compounds and compounding can be found in the *Handbook* as a volume which maps the state of the art in this field.

Since the formal and semantic features of compounds and types of compounds vary in the languages of the world, it is not easy to propose a universal classification of compounds either. Therefore, much attention in the volume is paid to various aspects of compound types and compound classification. Based on their former research (2005), Scalise and Bisetto (chapter 3) attempt at formulating a universally valid classification. The authors draw attention to the multiplicity of compound classifications when stating that "almost every scholar dealing with composition has proposed his/her own view" (34), and identify the shortcomings of some of the former classifications, clarify the terminology (on this, see also Bauer, chapter 17, and Lieber, chapter 18), and identify the criteria for an appropriate classification.

This has important implications for any typological classification of languages, because any such classification is preconditioned by selecting appropriate parameters along which compounds may vary. Similarities and differences along these lines are discussed by Bauer in his typologically oriented chapter. He examines the extent of universality of compounding across languages, and discusses various parameters, including formal criteria, linking elements, headedness, the order of compound constituents, recursiveness, and also the semantic nature of compounds. Finally, Bauer identifies various types of compounds and manifests that various languages have different preferences for the individual compound types.

Compounding can be approached from various theoretical positions, such as 'construction morphology' (Booij, chapter 10, Asymmetry Theory (DiSciullo, chapter 8), a semantically oriented Parallel Architecture model (Jackendoff, chapter 6), and cognitive grammar (Heyvaert, chapter 12). Lieber (chapter 5) discusses the interpretation of compounds in terms of her lexical semantics framework proposed in her monograph (2004). Grzega (chapter 11) provides an outline of various approaches to compounding within the framework of onomasiological theory of word-formation (Horecký, Dokulil, Štekauer, Blank, Koch) and proposes his own model reflecting the previous achievements in the field. A view of recent theoretical developments is mainly provided by Giegerich (chapter 9) who discusses the significance of lexicalism, and by ten Hacken (chapter 4) who analyses the contribution of the transformationalist approach to compounding.

Although the whole 20th century and the early 21st century have been predominantly synchronic, a diachronic perspective is indispensable for better understanding of the current thinking in the field. Therefore, Kastovsky's *Diachronic Perspectives* (chapter 16), outlining the genesis and the history of different types of Indo-European compounds, should be conceived as a highly valuable complement to the predominantly synchronic analyses and descriptions of compounds in this Volume.

That compounding as a word-formation process is no more an exclusive domain of morphologists and morphological research is evidenced by psycholinguistically oriented articles by Gagne, Štekauer, and Berman. Gagne (chapter 13) deals with the representation of compounds, discusses the multiple factors which influence the processing of compounds, and outlines the directions and issues in psycholinguistic research into compounds. Štekauer (chapter 14) introduces the reader to a new field of compound exploration, the meaning predictability of context-free compound words, identifies a range of factors affecting the interpretation of compound words, and accounts for the crucial role of competition preconditioning the selection of one particular meaning from a large number of potential meanings. Berman (chapter 15) explains the process of compound acquisition and production by pre-school children.

While the first part of the *Handbook* is devoted to various demanding theoretical aspects and models of compounding, the second one illustrates the compounding process in various languages which differ genetically, morphologically, and aerially. And so, apart from Indo-European languages like English (Lieber), Polish (Szymanek), Danish (Bauer), Swedish (Neef), Dutch (Don), Spanish (Kornfeld), Greek (Ralli), and Finno-Ugric Hungarian (Kiefer), one can learn about the peculiarities of compounding in American languages Slave (Rice), Mohawk (Mithun), Maipure-Yavitero (Zamponi) and Mapudungun (Baker and Fasola), in an Australian language Warlpiri (Simpson), Semitic Hebrew (Borer), and also in Mandarin Chinese (Ceccagno and Basciano) and Japanese (Kageyama).

All in all, what seems to be the most significant value of the *Handbook* is its coverage of the multiplicity of fundamental problems related to this word-formation process and of the diversity of possible approaches to the treatment of compounds and compounding. The picture that a reader gets after reading through this voluminous book is that the 'status' of compounds, more than of any other lexical item, heavily depends on the theoretical model applied, and that there are many (mutually complementary) routes which can bring us to better understanding of this demanding phenomenon. At the same time, the book can inspire anybody interested in research into compounding by indicating numerous areas that deserve further examination.

This comprehensive coverage of the field of compounding, compiled of the contributions by from leading international experts, is a rich source of knowledge and inspiration for linguistic experts, researchers, as well as students.

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Lívia Körtvélyessy,
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Josef Jařab a Jakub Guziur, eds. *George Steiner a myšlenka Evropy*. Olomouc: Periplum, 2006.

Ačkoliv kniha *George Steiner a myšlenka Evropy* vyšla již před třemi roky, je natolik pozoruhodná, že si recenzentův návrat k ní rozhodně zaslouží. Knihu, která je věnována význačnému americkému filozofovi, literárnímu kritikovi a spisovateli Georgu Steinerovi, tvoří šest esejů, přičemž jejím těžištěm je proslulá Steinerova esej „Myšlenka Evropy“ (“The Idea of Europe“). Právě tato esej posloužila několika dalším autorům jako východisko k úvahám o identitě našeho kontinentu (připomeňme si jen, že se Steiner narodil v Evropě) a jeho budoucnosti.

Úvodní esej Jakuba Guziura „Gramotnost, humanismus a lidství v díle George Steinera“ si klade za cíl shrnout dílo tohoto všestranného myslitele a vnést syntetický pohled na jeho osobnost. Přináší i hodnotící soudy, týkající se Steinerova filozofického směřování. Guziurovi nelze upřít, že je Steinerovým vnímavým čtenářem, a nejen to; ze Steinerova bohatého díla umí zkratkovitou formou čtenáři přiblížit autorovy klíčové myšlenky, ať již je to jeho přemítání o tragédii a tragičnu v *Smrti tragédie* (*The Death of Tragedy*, 1961), nebo o vyčerpanosti či opotřebovanosti slova, jak dokazuje kniha *Jazyk a mlčení: eseje o jazyce, literatuře a nelidskosti* (*Language and Silence: Essays on Language, Literature and the Inhuman*, 1967). Guziur nám představuje Steinera jako výsostně svébytného myslitele. Zcela oprávněně v jeho díle akcentuje kategorii ticha, onoho smysluplného mlčení člověka, jež se stalo ctností. Je reakcí nejen na inflaci jazyka, degradaci jeho autority, ale především na hrůzné činy lidstva ve 20. století. U některých čtenářů může navodit asociaci dalšího významného filozofa Theodora Adorna a jeho pohledu na slovo, respektive poezii po Osvětimi; ostatně Steiner se intenzívně zabýval vlivem holocaustu na společnost a kulturu. Guziur má v titulu své eseje slovo gramotnost, odkazující na tu část Steinerova díla, která se vyslovuje k otázce vzdělání. Nejvíce však zdůrazňuje jeho humanismus a odmítavý postoj ke všemu, co odlidšťuje člověka

moderního věku, ať se již tato dehumanizace projevuje v destrukci jazyka nebo ve vlastním konání člověka.

Jak již bylo řečeno, vlastním jádrem knihy je Steinerova esej „Myšlenka Evropy“ (český překlad Jakub Guziur), v níž se její autor snaží podat kulturní definici Evropy a postihnout její charakteristické rysy. Tuto esej původně proslovil jako přednášku v institutu Nexus, jenž kromě jiných aktivit zprostředkovává duchovní dialog mezi Evropou a Amerikou. K definování Evropy Steiner užil pěti axiomů. Podle něho Evropu vymezují kavárny jako významný kulturní fenomén. Náš kontinent je tvarován lidskou chůzí, přičemž Steiner uvádí bohaté kulturní odkazy na Chateaubrianda, impresionistické malíře, Kanta, Hölderlina, Wordsworthe, Coleridge a další umělce. Ulice a náměstí jsou zde na rozdíl od Ameriky častěji pojmenovány po významných osobnostech. Pro Evropu má nesporný význam kulturní dědictví Atén a Jeruzaléma – helénské a hebrejské tradice. Příznačné je pro ni eschatologické vědomí, vědomí konečnosti a zániku, vyplývající z historické zkušenosti našeho kontinentu. Steiner svou pozornost zaměřuje na to, co Evropu ohrožuje. Jak říká, „noční můrou Evropy je etnická nenávist, šovinistický nacionalismus a územní nároky“ (68). Nebezpečí pro Evropu dále spatřuje v sílící dominanci angloamerického jazyka. Podle něho „toto esperanto s sebou nese uniformní hodnoty a náhled na svět a hrozí smést kulturní rozdíly“ (70). Jako autor židovského původu Steiner vidí hrozbu v antisemitismu, ale zároveň i v masovém trhu.

Steinerova esej je natolik inspirativní, že mne svádí k několika vlastním poznámkám. Jsem si přitom vědom, že se odkláním od žánru recenze, ale je to právě Steiner, kdo tvrdí, že subjektivita je největší výhodou literární kritiky. Zkusme aplikovat několik autorových axiomů na české poměry. Kavárny: jejich význam je nepochybný. Právě ony jsou místem, kde se často utvářelo politikum. Připomeňme si jen roli pražské kavárny Slavie a co tato místa znamenala pro disidentské hnutí. Přemýšlím, co by však Steiner říkal jejich úpadku v mnoha našich městech, Ostravu nevyjímaje. Jaké by měl pocity, kdyby byl svědkem proměny prvorepublikového společenského centra v Ostravě, kavárny Elektra, v nevkusně kýčovitou mexickou restauraci, nebo metamorfózy Fenixu, v němž vůni kávy vystřídal pach naftalínu. Nelze se pak divit stesku kavárenského povaleče, o němž ví režisér Radovan Lipus své.

A co lidská chůze? Pochopitelně i my máme své kulturní asociace – pěší túry Karla Hynka Máchy, beskydská putování Petra Bezruče, chůzi po zarostlém chodníčku Leoše Janáčka. Nelze pominout historii českého trampingu, zcela unikátního naroubování americké zkušenosti Divokého západu na české podmínky. Rozpozná však příští generace ve spleti dálnic specifikum Evropy od Ameriky? Globalizační tikot hodin je neúprosný a Steiner si je toho jistě vědom.

Pokud jde o názvy ulic a náměstí, všichni u nás víme, jak se měnily podle momentální ideologické přízně či nelibosti k jednotlivým osobnostem. A měnily se názvy celých měst! I my máme svůj malý Gottwaldov, svůj malý Zlín. Procházeje se ve Filadelfii po Kaštanové, Ořechové či Břečťanové ulici, pomyslel jsem na výhody takových názvů, při nichž není nutno neustále vydávat aktualizované plánky měst. Leč historie názvů ulic a náměstí je zároveň historií našeho národa. Z Dubové ulice nebo Páté avenue bychom toho nevyčetli mnoho.

Steiner mě provokuje i k další otázce: kdo si v době masové kultury uvědomuje význam kulturního dědictví Atén a Jeruzaléma? A autor by se zajisté ptal: uvědomuje si ho alespoň vzdělanější část společnosti? Pátý axiom, eschatologické vědomí, vychází

z tragických dějin našeho světadílu. Steiner připomíná zhruba sto milionů mrtvých jen v období rámcovaném dvěma světovými válkami. Ano, Evropa se stala místem smrti, ale snad nebude od věci připomenout, že ono sebeuvědomění konce nachází svůj výraz i ve značné pozornosti, jaká je u nás věnována místům posledního odpočinku. Ilustrativní příklad: americká hostující profesorka neskrývala své ohromení nad výzdobou hrobů na našich hřbitovech, a to nejen během Památky zesnulých, zatímco já byl stejně tak ohromen jejím přiznáním, že neví, zdali by našla hrob své matky.

Vraťme se však ke knize *George Steiner a myšlenka Evropy*. Esej Petra Bilíka „Velké souvislosti v malých poměrech aneb Steiner očima Husákových dětí“ považuji za nejslabší. Zdá se být pouhým povrchním glosováním Steinerovy „Myšlenky Evropy“. Naproti tomu esej Pavla Šaradína „Evropa jako místo překonávání vlastní omezenosti“ nabízí mnohem hlubší zamyšlení nad Steinerovou prací, ale i nad přítomností a budoucností Evropy vůbec – nad integračními tendencemi, jejich přednostmi i limity.

Hluboký dojem na čtenáře zanechává závěrečná esej Josefa Jařaba „Pootevřené kolokvium k tématu Evropy“. Svou brilantností a kulturně politickým nadhledem v tom nejlepším slova smyslu navazuje na Steinerův text a rozvíjí s ním smysluplný dialog. Jařabův pohled na Evropu je pohledem moudrého člověka, pohledem, který přesahuje geografické hranice našeho kontinentu, neboť vidí mnohé znepokojivé jevy v širších souvislostech. Svou esej začíná Jařab slovy: „Na Evropě se mi zdá nejevropštější to, že se nepřestává ptát po své identitě“ (101). Poté se její autor zabývá cítěním evropské sounáležitosti. V souvislosti s hledáním evropské identity autor tvrdí, že „pro Evropu je charakteristické klást otázky“ (105). Jako člověk, který celý svůj život zasvětil práci ve školství, vyjadřuje víru, že posílení evropské identity spočívá ve vzdělání a vzdělávání. Obdobně jako Steiner svou pozornost věnuje nebezpečím, hrozícím našemu kontinentu. Uvědomuje si negativní důsledky globalizace, ale správně nevidí globalizaci a amerikanizaci jako synonyma. Zdůrazňuje, že Evropa má možnost volby: „Myslím si proto, že je v tom Amerika docela nevinně, rozhodnou-li se mladí Angličané (nebo i jiní Evropané) stavět výše Davida Beckhama než Williama Shakespeara nebo Charlese Darwina“ (111). Varuje před rostoucím antiamerikanismem v Evropě a vyjadřuje přesvědčení, že perspektivu starého kontinentu bychom měli hledat v transatlantickém spojenectví. V něm „by se mělo lépe dařit i ´myšlence Evropy´“ (122). Zbývá dodat, že podnětnou publikaci doplňuje esej Roba Riemena „Kultura jako pozvání“, kterou do češtiny přeložila Michaela Náhliková.

Stanislav Kolář
Ostravská univerzita

News, Announcements

The New Periodical

The first volume of the new peer-reviewed periodical *SKASE Journal of Literary Studies* has recently been published. This biannual is an electronic on-line journal, published as a joint effort between the Slovak Association for the Study of English (SKASE) and the University Library of Prešov University. The Journal provides a forum for the analysis of literary texts written in English, within any genre, from different nations and periods.

Table of contents from the 1st issue:

1. Philipp Erchinger
Nascent Consciousness, Unaccountable Conjunctions: Emergent Agency in Herbert Spencer's Principles of Psychology and George Eliot's Daniel Deronda

2. Julia Novak
The Devil's Music Master? Perspective Structure in Ronald Harwood's Taking Sides

3. Stanislav Kolář
Susan Fromberg Schaeffer's Fictionalized Memory

4. Mawuli Adjei
Male-bashing and Narrative Subjetivity in Amma Darko's First Three Novels

5. Astrid M. Fellner
The Wounded Male Body: Cecile Pineda's Face

The Journal web site: www.skase.sk

Scholarly articles from theoretical, interdisciplinary and comparative perspectives are welcome. Contributions in the form of book reviews, calls for papers, and announcements of conferences are also invited. Articles in English from 8,000 words to a maximum of 10,000 words shall be submitted to the editor-in-chief in electronic form as an e-mail attachment in accordance with the Style Sheet (see the web site).

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CALL FOR PAPERS – FIRST CIRCULAR

ACROSS BORDERS IV:
MIGRATION IN CULTURE, LANGUAGE AND LITERATURE

INTERNATIONAL CONFERENCE IN KROSNO, POLAND, 16-17 April 2010

ORGANISED BY
STATE HIGHER VOCATIONAL SCHOOL, KROSNO, POLAND
PAVOL JOZEF ŠAFÁRIK UNIVERSITY, KOŠICE, SLOVAKIA
JAGIELLONIAN UNIVERSITY, KRAKÓW, POLAND

The conference aims at investigating aspects of culture, language and literature in the context of a world made more mobile than ever before. Intercultural encounters accompanying the movement of individuals and groups receive a variety of expressions and call for a debate in an interdisciplinary context. The organizers of the conference wish to invite scholars to a discussion on subjects related to:

- **migration and narration,**
- **autobiography and identity,**
- **the other in literature,**
- **minority cultures and literatures,**
- **dialectology,**
- **cross-cultural aspects of translation,**
- **pragmatics of intercultural communication**
- **creativity and tradition in cultural communication**
- **humour in culture and society,**
- **language contacts,**
- **cultural and linguistic globalization,**
- **culture and the teaching of languages.**

Conference languages: English (preferable) and Polish (summaries in English required)
Selected papers will be published in a conference proceedings volume.

One of the two plenary lectures planned for the conference will be delivered by **Prof. Christie Davies** from the University of Reading, UK. Professor Davies is the co-author of *Wrongful Imprisonment* (1973), author of *Permissive Britain* (1975), co-editor of *Censorship and Obscenity* (1978), author of *Ethnic Humor Around the World: a Comparative Analysis* (1990 and 1997) and of *Jokes and their Relation to Society* (1998) and co-author of *The Corporation under Siege* (1998). Christie's academic articles have been published in the leading journals. He has also been

a regular contributor to national and international newspapers. His main research and teaching interests continue to be in the comparative and historical study of morality and of humour.

Organizing Committee:
Dr. Władysław Chłopicki, PWSZ Krosno, Jagiellonian University, Kraków
Prof. Dr. Fritz König, PWSZ Krosno
Dr. Peter Leese, University of Copenhagen
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Paper proposals with abstracts (300 words) should be sent to:
Dorota Rygiel, Conference Secretary,
Across Borders Conference 2010, PWSZ w Krośnie,
Rynek 1, 38-400 Krosno, Poland
or by e-mail to
dorota.rygiel@poczta.fm with cc to witalisz@yahoo.com

not later than 20th December 2009. Papers should not extend 20 minutes in presentation.

Conference fees: 200 PLN or 50 €

CALL FOR PAPERS

Diversification and Its Discontents:
Dynamics of the Discipline

9th Brno International Conference of English, American and Canadian Studies

Organized and hosted by:
Czech Association for the Study of English (CZASE)
Department of English and American Studies, Masaryk University, Brno

Brno, Czech Republic
4 – 6 February 2010

Keynote Speakers: Andreas H. Jucker (Universität Zürich)
Nigel Leask (University of Glasgow)
Martin Hilský (Charles University, Prague)

CALL FOR PAPERS

James Bond & Co:
spies, espionage and thrillers in cultural context

The cultural historian of film James Chapman has encouraged us to 'take James Bond seriously': to explore the popular arts as valid, rich subjects for scholarly study in film, literature and history.

With this in mind, and in light of the idea that looking at a particle, a subset or a theme opens the way out into any number of other areas – that it may be 'good to think with' – we invite papers from all disciplines for a conference on the theme of spies and spying, espionage and thrillers. Our interest is especially in the exploration – symbolized by one particular, hugely successful global 'brand' – of the values and contexts of the wider culture.

Given the location of the conference – on the 'opposite' side of the former Iron Curtain – the organisers are especially interested **in comparative and parallel studies connected to the Cold War and after.**

Subject areas include, but are not confined to:

- **Empires, Cold War and after**
- **Gender studies**
- **Audiences and reception worldwide**
- **Historical contexts and social change**
- **Critical readings: Amis, Eco and others**
- **Related fiction and film genres**
- **National identities**
- **Representing the enemy**

Guest Speaker: Professor James Chapman, Department of Art and Film Studies, University of Leicester, UK

Main organisers:
Dr Peter Leese, Jagiellonian University, Krakow, Poland
Dr Slávka Tomaščíková, Šafárik University, Košice, Slovakia
Jack Lala, Higher Vocational State School, Krosno, Poland

Important deadlines:
Submission of abstracts: January 15, 2010
Notification of acceptance: February 15, 2010

Submission of a registration form: March 15, 2010

All the information about the Conference is available at www.skase.sk
> James Bond & Co. Conference Kosice 2010

Conference Venue: Šafárik University, Košice, Slovakia
Date: May 21-22, 2010

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