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REMARQUES SUR LA SYNTAXE DES EPITHETES DANS L'OEUVRE DE LAMARTINE

JEAN-MICHEL GOUVARD♦

ABSTRACT. Our article discusses the problems of the adjective, function of different factors, among which the word order.

1. De riants coteaux et de noirs sapins: une description traditionnelle

Commençons par relire ces quelques vers extraits du «Lac» de Lamartine (v.49-56):

> O lac ! rochers muets ! grottes ! forêt obscure !
> Vous que le temps épargne ou qu'il peut rajeunir,
> Gardez de cette nuit, gardez, belle nature,
> Au moins le souvenir !
>
> Qu'il soit dans ton repos, qu'il soit dans tes orages,
> Beau lac, et dans l'aspect de tes riants coteaux,
> Et dans ces noirs sapins, et dans ces rocs sauvages
> Qui pendent sur tes eaux !

Dans le cadre d'une approche syntaxique et stylistique traditionnelle, les syntagmes *tes riants coteaux* et *ces noirs sapins* sont au moins remarquables, et, au mieux, caractéristiques d'une écriture dite «poétique».

Remarquables, ils le sont en ceci que chacun d'entre eux enfreint une «règle» censée régir la syntaxe des adjectifs épithètes.

La première veut que les adjectifs dérivés de participes présents soient pour la plupart postposés au nom. Cette corrélation morpho-syntaxique est supposée ne connaître que des exceptions circonscrites, qui sont le plus souvent elles-mêmes régulées. Sont concernés:

(i) le composé *soi-disant*, dont le statut adjectival est discutable, puisqu'il est aujourd'hui le plus souvent invariable et commute avec des adverbes;

(ii) et des termes comme *puissant*, dont la forme n'est plus perçue comme un participe en français contemporain.

Il existe toutefois de «vraies» exceptions, comme *brillant, cinglant* ou *émouvant*, pour lesquelles il n'existe guère d'explication qui fasse l'unanimité pour motiver leur antéposition: on parlera d'un *brillant élève* ou d'un *élève brillant* sans qu'il y ait modification de la signification lexicale de l'adjectif.

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L'épithète *riant* n'étant concerné par aucun de ces cas de figure, son emploi devant le nom, dans *tes riants coteaux,* semble constituer une anomalie syntaxique.

De même, les adjectifs de couleur sont réputés être toujours postposés au nom, Dans cette perspective, ils sont parfois rapprochés d'autres termes qui expriment une qualité physique, comme *claire, ovale, pointu, rond,* etc., eux aussi postposés. C'est donc cette «règle» qu'enfreindrait l'épithète *noir* dans *ces noirs sapins*.

Dans le cadre d'une stylistique de l'écart, on voit immédiatement le profit que l'on peut tirer de telles observations. Ces antépositions constituent un déplacement par rapport à la norme, et elles sont donc significatives de «quelque chose». Ce quelque chose est au moins un indice de littérarité. C'est par exemple la position défendue par Grevisse, qui affirme que «la langue littéraire se distingue souvent en antéposant des adjectifs que l'usage ordinaire met après le nom» (1986: 537), avant de citer de nombreux exemples d'antépositions qui empruntent aussi bien à la prose qu'à la poésie. Mais il est encore plus usuel d'y voir un indice, plus étroit, de poéticité: ce serait en effet en poésie que l'on rencontrerait surtout de telles inversions. Cette thèse est par exemple au coeur des travaux de Jean Cohen sur la *Structure du langage poétique* (1963), dont l'influence prégnante au sein de l'université française, malgré la critique qu'en donna Gérard Genette (1969), s'explique sans doute par sa double filiation avec les études structurales et statistiques, qui étaient alors en plein essor.

La valeur sémantique qui est attachée à l'inversion dite «poétique» de l'adjectif épithète est interprétée diversement selon les auteurs. Une première attitude, fréquemment observée, revient à considérer que, la règle étant la postposition, l'adjectif est mis en relief s'il est antéposé. L'écriture poétique serait ainsi une écriture qui privilégierait la qualification plutôt que la dénomination, la dimension taxinomique de cette dernière procédure étant plus propre au roman, ou encore à des productions écrites non-littéraires.

Cette analyse en terme de «mise en relief» est souvent couplée avec celle visant les adjectifs à place variable. Ceux-ci étant plus souvent postposés qu'antéposés (Wilmet 1980), la postposition est considérée, pour tous les adjectifs à place variable, comme le cas de figure «non-marqué», et l'antéposition comme le cas «marqué». Placer l'épithète devant le nom s'interprète dès lors comme une marque linguistique du sujet, tandis que l'opération inverse serait plus «objective» (Waugh 1977, Forsgren 1978).

Cette approche a été rendue d'autant plus crédible que quelques adjectifs, combinés avec certains noms, offrent une différence de sens notable selon qu'ils sont postposés ou antéposés, l'antéposition supposant à chaque fois un jugement de valeur, et non pas la postposition. Il s'agit des paires bien connues que forment *un sale gosse* vs *un gosse sale*, *un grand homme* vs *un homme grand*, *un petit poète* vs *un poète petit*, *un sacré endroit* vs *un endroit sacré*, etc.

Transposé aux deux cas de figure qui nous occupent, le raisonnement qui précède conduit à analyser l'antéposition du participe présent et de l'adjectif de couleur comme des indices reflétant l'inscription du sujet dans son propre discours, et font de l'écriture dite «poétique» une écriture qui serait plus subjective que les autres, puisque les antépositions y sont ou seraient plus nombreuses qu'ailleurs.

On pondérerait toutefois l'analyse qui précède par deux considérations.

S'agissant de *riants coteaux*, l'inversion porte sur une fin de vers. En conséquence, la tournure *tes coteaux riants* est impossible, puisqu'il convient de préserver la rime *coteaux: eaux*. Il n'en va pas de même de *ces noirs sapins,* où la construction par antéposition n'aurait aucune incidence sur l'économie du vers: **Et dans ces sapins noirs, et dans ces rocs sauvages.* La recherche de la rime est ainsi parfois invoquée, de même que la nécessité de se préserver de l'hiatus ou de permettre ou non l'élision d'un «e» posttonique, pour expliquer certains inversions, dont celles portant sur l'épithète. Selon les auteurs, la place donnée à ces «gênes exquises» est plus au moins prépondérante. D'un côté, on peut estimer que ce serait faire insulte au génie de Lamartine que de postuler qu'il a été contraint d'antéposer *riants* pour la rime et seulement pour la rime, et que sa volonté première est bel et bien d'antéposer l'adjectif. D'un autre côté, on peut considérer que le poète recourt à l'antéposition comme il recourt par ailleurs à telle ou telle «licence poétique» que la tradition met à sa disposition, afin de gérer au mieux les contraintes qu'imposent les règles de la versification. Souvent, et c'est l'attitude qui me semble la plus pertinente, les deux dimensions sont à prendre en compte, mais il va de soi qu'en accordant une place à la versification, et en traitant donc l'antéposition comme une forme symbolique propre au discours poétique, on réduit quelque peu la portée de sa valeur sémantique intrinsèque. A ce titre, on peut estimer que *riants* est pourvu d'un moindre potentiel de mise en valeur et/ou de subjectivisation que *noirs*, dans la mesure où sa distribution est aussi motivée par la recherche de la rime.

Enfin, l'on rapproche souvent l'antéposition des adjectifs de couleur dans les textes poétiques des épithètes de nature, telles que *blanche neige, blanche hermine, blanche main, noirs pensers, vertes prairies*, et des épithètes de caractère, telles que *bouillant Achille, sage Nestor, sage Anténor, auguste Atride, blonde Iseut,* etc. (de nos jours, l'épithète de caractère est souvent confondue avec l'épithète de nature). Ces notions, qui relèvent plutôt de la rhétorique que de la grammaire, s'appliquent à une suite [Adjectif + Nom] où la qualification dénote une qualité essentielle de la chose dénommée et, d'un certain point de vue, est presque redondante avec le sémantisme du nom. Dans le cadre d'une sémantique du prototype, par exemple (voir Kleiber 1990, Dubois 1991), la neige est par définition [+blanche], les prairies [+vertes], etc, comme le montre la possibilité de construire des séquences telles que *la blanche neige est noire de boue* ou *les vertes prairies jaunissent au soleil;*

alors que les enchaînements inverses, où la qualification est accidentelle et non plus essentielle, ne sont guère recevables?: *la neige blanche est noire de boue* ou? *les prairies vertes jaunissent au soleil.*

L'antéposition des adjectifs de couleur en poésie serait ainsi une «espèce» d'épithète de nature qui, si elle n'est pas lexicalisée, reposerait toutefois sur un principe similaire de redondance sémantique, par extraction d'un trait prototypique. Ce faisant, le poète approcherait de cette visée ontologique qui lui est souvent prêté, à savoir l'expression de l'essence même des choses de ce monde, dont il serait à la fois l'interprète et le révélateur. Notons que cette finalité n'est pas incompatible avec la recherche d'une voix singulière, du moins dans le cadre de la conception romantique de la poésie qui caractérise la modernité: c'est en recherchant sa voix propre que le poète est censé atteindre à quelque révélation essentielle (Gouvard 2001: 67-88).

2. L'«épithète» comme amplification par adjonction intégrative

L'approche décrite au § 1 soulève de nombreux problèmes. Le premier d'entre eux tient au fait qu'elle postule qu'il existe en français une «règle» ou une «contrainte» syntaxique régissant les adjectifs de couleur, laquelle stipulerait que ceux-ci se placent après le nom. Or, les théoriciens sont loin de s'accorder sur ce point, pour les raisons les plus diverses, à commencer par le fait que cette pseudo-règle ou contrainte n'est pas toujours formée correctement, relativement à un cadre théorique spécifique. Pour mieux illustrer mon propos, je reprendrai ici les propositions développées par Joëlle Gardes-Tamine dans *Pour une grammaire de l'écrit* (2004).

Sa description syntaxique s'appuie sur la notion d'unité textuelle minimale (désormais UTM). Une UTM est l'actualisation, sous une forme linguistique quelconque, d'une unité grammaticale minimale de construction, baptisée l'UN. L'UN n'est qu'une «unité abstraite, métalinguistique, qui n'est (...) pas représentée telle quelle dans les textes» (1994: 69). Elle est «le résultat d'une élaboration qui a conduit des unités virtuelles à une construction qui les actualise» (id.), mais elle demeure «à la frontière entre le texte et ce qui l'a précédé, entre le prélinguistique et le textuel» (id.). «Chacune des catégories définies dans l'UN est ensuite remplie par des variables lexicales» (id.: 70), et cette opération permet d'actualiser une UTM.

Les UTM ainsi produites sont «conformes au modèle de l'UN et (...) elles n'actualisent que ce qui est indispensable à leur constitution» (id.: 71), de telle sorte que la forme prototypique en est une proposition de structure N0 V W, «où N0 représente le sujet grammatical, V le verbe et W la séquence de compléments» (id.: 73). En conséquence, et ainsi que le note elle-même l'auteure, «l'UTM est rarement représentée en dehors des exemples de grammaire puisque, d'une façon certaine, si elle est l'unité textuelle minimale, elle échappe aux contraintes textuelles. C'est (...) une sorte d'introuvable que quelques écrivains, à l'écriture dite *blanche*, utilisent parfois» (id.: 76). En

conséquence, toute description grammaticale du texte écrit doit consister à déterminer et inventorier les opérations qui permettent d'enrichir l'UTM.

Parmi ces opérations, «la principale est l'amplification» (id.: 77), laquelle se définit comme une procédure de «développement d'une unité textuelle». Certaines amplifications consistent à introduire dans l'UTM des «unités qui ne se rattachent syntaxiquement à aucun élément de cette UT» (id.). Ce procédé dit «d'insertion» rend compte, par exemple, de certains compléments de phrase dits «circonstanciels» et des appositions. A l'inverse, d'autres amplifications reviennent à placer un élément sous la dépendance syntaxique d'un des constituants de l'UT. C'est le cas de la fonction épithète, qui nous intéresse ici: «le fait d'ajouter un adjectif épithète dans un groupe nominal place l'adjectif sous la dépendance du substantif tête de groupe, ce que marque en particulier l'accord en nombre et en genre» (id.). Ce type d'amplification est appelée «adjonction intégrative», et s'oppose au lien grammaticalement «plus souple» propre à l'insertion.

Dans le cadre de cette approche, «il n'existe pas de contrainte d'ordre», de telle sorte que «l'adjectif peut figurer avant ou après le substantif. Sa position est théoriquement indifférente» (id.: 222) et ce, quelle que soit sa signification, y compris s'il rentre, par exemple, dans la catégorie des adjectifs de couleur. Ceci ne signifie pas que Joëlle Gardes-Tamine rejette les données statistiques qui établissent que ces derniers sont effectivement très souvent postposés (Forsgren 1978, Wilmet 1980). Mais, étant donné que la construction épithète est décrite comme résultant d'une opération d'amplification par adjonction intégrative, l'objet inséré ne saurait porter en lui-même une telle propriété: ce sont les zones d'intégration potentielle de cet objet qui se voient associer des contraintes. Encore ne s'agit-il pas de contraintes «syntaxiques» au sens propre du terme.

En effet, Joëlle Gardes-Tamine fait observer que l'adjectif reçoit un statut prosodique très différent selon qu'il apparaît dans la zone pré- ou postsubstantivale. Selon elle, un adjectif postposé porte l'accent de «fin de groupe», tandis que, s'il est antéposé, il «ne peut être accentué» (id.: 222). je ne serai pas aussi radical dans le traitement des aspects prosodiques, dans la mesure où les travaux récents sur la prosodie du français (Hirst et Di Cristo 1998, Rossi 1999, Di Cristo 1999, 2003) ont montré que la prosodie du français offrait des proéminences accentuelles de différents ordres et degrés, selon la tonalité, l'allongement vocalique, l'intensité, etc. Or, dans cette perspective, que je ne peux présenter ici en détails (voir Gouvard à paraître a), on ne saurait affirmer que l'adjectif antéposé n'est pas ou n'est jamais accentué: au contraire, sa dernière voyelle pleine présente le plus souvent une proéminence accentuelle par rapport aux syllabes antécédentes. Toutefois, cette proéminence accentuelle est presque toujours moindre que celle ponctuant la dernière voyelle pleine d'un adjectif postposé, puisque celle-ci apparaît en général à la fin d'un mot prosodique ou d'une unité intonative. En conséquence, s'il est erroné d'avancer que l'adjectif

antéposé «ne peut être accentué», il n'en demeure pas moins qu'il porte le plus souvent un accent plus faible que celui qui vient ponctuer la finale du même adjectif dans ses emplois postposés. Ne jouissant pas du même effet de soulignement prosodique, il produit donc une moindre «valeur impressive», pour reprendre une expression de Gardes-Tamine (id.: 222), ou, pour le dire autrement, il bénéficie d'une moindre focalisation.

Joëlle Gardes-Tamine explique ainsi les différences d'interprétation que l'on observe entre deux constructions inverses comme «une vague réponse» et «une réponse vague», où «vague» se laisse paraphraser par «une sorte de réponse» ou «une espèce de réponse» dans le premier cas, et par «une réponse imprécise / une réponse floue» dans le second cas (je modifie ici un exemple qu'elle donne p. 223).

3. Les adjectifs de couleur chez Lamartine

Comme toute théorie, celle de Joëlle Gardes-Tamine nécessiterait sans doute quelques ajustements, pour rendre compte de certains phénomènes. J'ai moi-même suggéré ci-dessus que la description des phénomènes prosodiques pouvaient être affinée. Cependant, elle a le mérite de renverser la perspective, et de nous amener à adopter un point de vue apparemment paradoxal, du moins par rapport au discours stylistico-grammatical que l'on tient en général sur le sujet (voir § 1): l'adjectif n'est pas mis en valeur du fait de l'antéposition, il est au contraire sémantiquement affaibli, et c'est ce qui engendre les effets d'interprétation spécifiques que l'on observe fréquemment avec ce type de constructions.

Il reste cependant à questionner la nature exacte de cette «valeur impressive» ou de ce «vague» qui vient de lui être attaché comme conséquence de son placement dans la zone prénominale.

Je commencerai par une première observation. Parmi les exemples qu'elle donne pour étayer son point de vue, Joëlle Gardes-Tamine mentionne la distribution des adjectifs de couleur dans les poésies de Mallarmé. Elle note que, «d'une manière générale, Mallarmé se conforme aux tendances habituelles de la langue. Les adjectifs de couleur sont généralement postposés» (id.: 223). Puis elle apporte un correctif à cette première considération: «*Blanc* et *noir*, cependant, sont pratiquement toujours antéposés: *un blanc jet d'eau (Soupir), ce blanc flamboiement (Tristesse d'été), quelque noir mélange (Tombeau d'Edgar Poe), ses noires traînées (L'Azur),* etc.», avant de proposer l'explication suivante du phénomène: «C'est que le couple de ces adjectifs antonymes se charge facilement de valeurs symboliques qui les privent de leur sens concret» (id.).

Il m'a paru intéressant de comparer ces données avec celles qu'offre l'oeuvre de Lamartine, dont nous avons cité un extrait au début de cette étude. Pour ce faire, j'ai arrêté une liste non exhaustive d'adjectifs de couleur, en cherchant à varier leurs formes et leurs provenances. Ont été retenus: *beige,*

blanc, bleu, brun, gris, jaune, marron, mauve, noir, ocre, orange, rose, rouge, vert, violet. C'est bien entendu en toute conscience que «beige» et «ocre», qui ne renvoient pas à une «couleur» au sens propre du terme, ont été insérés dans la liste: il s'agissait de les comparer, le cas échéant, aux distributions affectant des termes prototypiques comme «noir» ou «rouge».

J'ai étudié sur la base *Frantext* (version non-catégorisée) la distribution de ces quinze termes dans l'ensemble de l'oeuvre numérisée, soit les volumes suivants: *Méditations poétiques* (1820), Paris, Hachette, 1915; *Harmonies poétiques et religieuses* (1830), Paris, Gallimard, 1963; *Correspondance générale* (1830-1836), 2 tomes, Paris, Droz, 1943 et 1946; *Des Destinées de la poésie* (1834), Paris, Hachette, 1915; *Souvenirs, impressions, pensées et paysages pendant un voyage en Orient (1832-1833) ou Notes d'un voyageur* (1835), Paris, 1861; *Jocelyn* (1836), Paris, Gallimard, 1963; *La Chute d'un ange* (1838), Paris, Gallimard, 1963; *Les Confidences* (1849), Paris, M. Levy, 1857; *Raphaël* (1849), Paris, Garnier, 1960; *Toussaint Louverture* (1850), Paris, Gallimard, 1963; *Le Tailleur de pierre de Saint-Point* (1851), Paris, 1863; *Les Nouvelles confidences* (1851), Paris, Hachette, Furne, Jouvet, 1888; *Cours familier de littérature: 40e Entretien: littérature villageoise: apparition d'un poëme épique en Provence* (1859), Paris, 1859.

Pour chaque item, j'ai relevé la distribution de chaque variable morphologique isolément (par ex., *blanc, blancs, blanche* et *blanches* pour «BLANC»), avant de cumuler les résultats.

J'ai toutefois écarté les adjectifs de couleur composés comme *gris bleu, gris cendré, gris-blanc, jaune-gris, vert gris, vert pâle, vert jaune*, etc., qui apparaissent toujours après le nom, et les toponymes incluant un adjectif de couleur, où celui-ci est toujours postposé, comme *la Mer Rouge* ou *le Mont Blanc*. En revanche, j'ai conservé les syntagmes de structure [Nom + Adjectif] susceptibles d'être analysés comme des noms communs composés, conformément à un principe propre à ce type d'enquête qui fait que, sauf à se fixer une liste externe – fournie par exemple par un dictionnaire –, l'enquêteur ne saurait décider du plus ou moins grand degré de lexicalisation de certaines constructions. En effet, si «vin rouge» ou «chêne vert» sont à coup sûr des composés dans la première moitié du 19e siècle, que penser de la série «pain blanc», «cheveu blanc», «marbre blanc» et «cygne blanc», où l'association avec un stéréotype n'est pas nécessairement corrélé avec un niveau de lexicalisation comparable à celui des termes précités ? Ces exclusions n'ont de toute façon qu'une incidence négligeable sur les chiffres, à partir du moment où l'on manipule des centaines d'occurrences, comme c'est le cas ici, et dans la mesure où l'on boit peu de «vin rouge» chez Lamartine (en fait une seule fois; on reprend toutefois du «vin blanc» à cinq reprises...).

Sur le plan syntaxique, j'ai également éliminé du corpus d'étude les adjectifs qui comportaient des compléments, comme par exemple «blanc» dans «*Souvent, les pieds meurtris, le front blanc de sueurs,*» (*Harmonies*

poétiques et religieuses, «Epître à M. de Sainte-Beuve», 1830), et ceux qui étaient intégrés dans des tournures comparatives, comme par exemple «blanc», toujours, dans «*tu ne courras plus libre dans le désert comme le vent d' Egypte, tu ne fendras plus du poitrail l'eau du Jourdain, qui rafraîchissait ton poil aussi blanc que ton écume*» (*Souvenirs, impressions, pensées et paysages pendant un voyage en Orient (1832-1833),* «Jéricho», 1835). Dans ces deux types de configuration, l'adjectif est presque toujours postposé, et je souhaitais éviter d'intégrer dans mes données des occurrences conditionnées par un facteur externe, autre que l'effet sémantique induit par le simple positionnement dans les zones pré- et postsubstantivales.

Au final, j'ai relevé 1572 épithètes anté- ou postposées, distribuées comme indiqué dans le tableau ci-dessous:

Distribution des adjectifs de couleur chez Lamartine
(base *Frantext* – version non catégorisée)

Adjectifs		***nombre d'épithètes***	***antéposés***		***postposés***		***rpt p/a***
			nombre	***%***	***nombre***	***%***	
BLANC	*blanc*	121	9	*7,44*	112	*92,56*	12,44
	blancs	107	22	*20,56*	85	*79,44*	3,86
	blanche	126	29	*23,02*	97	*76,98*	3,34
	blanches	100	15	*15*	85	*85*	5,67
	TOTAL	**454**	**75**	***16,52***	**379**	***83,48***	**5,05**
BLEU	*bleu*	77	9	*11,7*	68	*88,3*	7,5
	bleus	36	2	*5,56*	34	*94,44*	17
	bleue	47	0	*0*	47	*100*	-
	bleues	38	0	*0*	38	*100*	-
	TOTAL	**198**	**11**	***5,56***	**187**	***94,44***	**17**
BRUN	*brun*	5	0	*0*	5	*100*	-
	bruns	5	1	*20*	4	*80*	4
	brune	11	0	*0*	11	*100*	-
	brunes	6	1	*16,67*	5	*83,33*	5
	TOTAL	**27**	**2**	***7,41***	**25**	***92,59***	**12,5**
GRIS	*gris*	28	0	*0*	28	*100*	-
	grise	25	1	*4*	24	*96*	24
	grises	42	1	*2,38*	41	*97,62*	41
	TOTAL	**95**	**2**	***2,11***	**93**	***97,89***	**46,5**

Adjectifs		***nombre d'épithètes***	***antéposés***		***postposés***		***rpt p/a***
			nombre	***%***	***nombre***	***%***	
JAUNE	*jaune*	33	2	*6*	31	*94*	15,5
	jaunes	24	1	*4,17*	23	*95,83*	23
	TOTAL	**57**	**3**	***5,26***	**54**	***94,74***	**18**
NOIR	*noir*	114	21	*18,4*	93	*81,6*	4,5
	noirs	130	25	*19,23*	105	*80,77*	4,2
	noire	82	15	*18,29*	67	*81,71*	4,47
	noires	87	21	*24,14*	66	*75,86*	3,14
	TOTAL	**413**	**82**	***19,85***	**331**	***80,15***	**4,04**
ORANGE	*orange*	1	0	*0*	1	*100*	-
	oranges	0	-	-	-	-	-
	TOTAL	1	0	*0*	1	*100*	-
ROSE	*rose*	21	0	*0*	21	*100*	-
	roses	21	0	*0*	21	*100*	-
	TOTAL	**42**	**0**	***0***	**42**	***100***	**-**
ROUGE	*rouge*	71	2	*2,8*	69	*97,2*	34,7
	rouges	30	0	*0*	30	*100*	-
	TOTAL	**101**	**2**	***1,98***	**99**	***98,02***	**49,5**
VERT	*vert*	42	13	*31*	29	*69*	2
	verts	50	17	*34*	33	*66*	1,94
	verte	38	12	*31,58*	26	*68,42*	2,17
	vertes	40	11	*27,5*	29	*72,5*	2,64
	TOTAL	**170**	**53**	***31,18***	**117**	***68,82***	**2,21**
VIOLET	*violet*	2	0	*0*	2	*100*	-
	violets	1	0	*0*	1	*100*	-
	violette	7	0	*0*	7	*100*	-
	violettes	5	0	*0*	5	*100*	-
	TOTAL	**15**	**0**	***0***	**15**	***100***	**-**
TOTAUX		***1572***	***230***	***14,63***	***1342***	***85,37***	***5,83***

La première colonne mentionne l'adjectif de couleur étudié, sans distinction de ses variations morphologiques. Les majuscules (BLANC, BLEU, etc.), permettent de différencier ces mentions de celles notant les variantes morphologiques, lesquelles sont énumérées en minuscules dans la deuxième colonne (*blanc, blancs, blanche, blanches,* etc.). La troisième colonne cumule l'ensemble des occurrences pour chacune de ces formes. Les mentions «TOTAL» qui terminent chaque série morphologique indiquent que, sur cette ligne, sont additionnés les résultats de toutes les variations propres à la série considérée. Les colonnes 4 et 5 donnent respectivement les quantités et les proportions (en%) pour les adjectifs antéposés; les colonnes 6 et 7 portent les mêmes indications pour les adjectifs postposés. La dernière colonne indique quel est le rapport postposés/antéposés (noté *rpt p/a*): elle mentionne donc combien l'on trouve de postpositions pour une antéposition. Par exemple, le chiffre «11,1» de la première ligne signifie qu'il y a une occurrence de *blanc* antéposé pour (environ) onze occurrences de *blanc* postposé.

Beige, marron, mauve et *ocre* ne figurent pas dans le tableau, car ils ne sont jamais employés comme épithètes dans notre corpus d'étude.

Sur les 1572 adjectifs de couleur étudiés, 230, soit un peu moins de 15% d'entre eux, sont antéposés, ce qui revient à dire que l'on rencontre en moyenne une épithète antéposée pour six autres qui sont postposées.

Cette tendance globale doit cependant être pondérée par l'examen des distributions propres à chaque adjectif. On repère ainsi immédiatement deux sous-ensembles.

Le premier regroupe les adjectifs qui sont nettement au-dessus de cette moyenne. Il s'agit de BLEU, BRUN, GRIS, JAUNE, ORANGE, ROSE, ROUGE, VIOLET. On y distinguera trois cas de figure.

ORANGE, ROSE et VIOLET, qui sont plus ou moins représentés (de 1 à 42 occurrences), ne sont jamais antéposés.

GRIS et ROUGE, qui sont très bien représentés avec, respectivement, 95 et 101 occurrences, n'offrent que de rares antépositions:

(i) GRIS:

a. *comme Eumée dans la grise Ithaque* (*Les Nouvelles confidences, Livre premier,* 1851);

b. *les grises montagnes des Alpines* (*Cours familier de littérature: 40e Entretien,* 1859);

(i) ROUGE*:*

a. *Les uns gouttes de feu tombaient en rouge pluie* (*La Chute d'un ange*, *Quatorzième vision*, 1838);

b. (elle) *se noue autour des hanches un rouge cotillon* (*Cours familier de littérature: 40e Entretien,* 1859); soit une épithète placée avant le nom pour quarante à cinquante autres placées après.

A côté des adjectifs qui ne sont jamais ou très rarement antéposés, il peut être pertinent d'isoler ceux qui, sans l'être fréquemment, le sont

cependant une à deux fois plus souvent. Dans notre corpus d'étude, il s'agit de BLEU et JAUNE, qui connaissent une antéposition pour quinze à vingt postpositions. Les proportions sont significatives, dans la mesure où ces deux adjectifs offrent des dizaines d'occurrences, BLEU en totalisant même près de 200. Et la seule forme *bleu* va jusqu'à approcher la moyenne du corpus, avec une antéposition pour 7,5 postpositions. Il s'agit cependant d'un biais, induit par la récurrence dans l'oeuvre de Lamartine de l'expression *bleu firmament*, laquelle est instanciée dans sept des neuf occurrences de *bleu* antéposé. Sa fréquence semble s'expliquer, au moins en partie, par opposition avec *ciel bleu*, qui apparaît onze fois, et toujours suivant l'ordre [Nom + Adjectif].

On peut rapprocher de BLEU et JAUNE l'adjectif BRUN, mais il ne connaît en tout que deux antépositions:

a. *Le barde aux bruns cheveux, sous la nuit étoilée* (*Les Confidences,* Livre sixième, 1849);

b. *vous apercevez les brunes loures* (*Cours familier de littérature: 40e Entretien,* 1859); et, avec un aussi petit nombre d'occurrences, le rapport *p/a* n'est pas significatif.

L'autre sous-ensemble réunit les adjectifs qui sont en-dessous de la moyenne générale du corpus d'étude. Il s'agit de BLANC, NOIR et VERT. BLANC connaît une antéposition pour cinq postpositions, NOIR une pour quatre et VERT une pour deux. Le nombre particulièrement élevée d'antépositions pour l'épithète VERT s'explique en partie par la récurrence des motifs végétaux, mais cela n'enlève rien au fait que cet adjectif est bel et bien, dans l'oeuvre de Lamartine, celui qui est placé le plus souvent dans la zone prénominale.

L'étude des distributions des adjectifs de couleur chez notre poète invite à nuancer l'approche du phénomène, par rapport à l'interprétation qu'en propose Joëlle Gardes-Tamine à partir du corpus mallarméen.

Il est confirmé que les adjectifs de couleur ne se distribuent pas à gauche du nom *parce que ce sont des adjectifs de couleur*. Si tel était le cas, chaque lexie aurait dû connaître des distributions dans les zones pré- et postnominales à peu près identiques.

Cependant, plutôt que d'opposer une classe regroupant des adjectifs qui seraient «généralement postposés» (id.: 223), à une autre, plus restreinte, qui réunirait quelques adjectifs fréquemment antéposés, il semble préférable de rendre compte des données distributionnelles en terme de degrés: certains adjectifs ne sont jamais antéposés ou presque (dans notre corpus d'étude, il s'agit de ORANGE, ROSE et VIOLET); d'autres le sont dans 2 à 3% des cas (comme GRIS et ROUGE), fréquence qui peut être qualifiée intuitivement de «rare» ou d'«exceptionnelle»; d'autres le sont dans 6% des cas environ (comme BLEU, JAUNE et BRUN), ce qui constitue une fréquence encore relativement «faible», mais deux à trois fois plus élevée que pour les précédents; et d'autres enfin connaissent une antéposition dans 20 à 30% des cas (comme BLANC, NOIR et VERT), ce qui, cette fois-ci,

peut être qualifié de fréquence «élevée».

Si l'on admet qu'il y a ainsi des variations de fréquence dans les antépositions des épithètes, et qu'un adjectif est susceptible de passer d'un groupe à l'autre selon les auteurs, la plus grande fréquence de BLANC et NOIR dans l'oeuvre de Mallarmé, sur laquelle Joëlle Gardes-Tamine attirait notre attention, ne saurait s'expliquer par le fait que «ces deux adjectifs antonymes se charge(nt) facilement de valeurs symboliques» (id.: 223). Il faudrait en effet postuler que VERT est doué d'une même propriété; or on voit mal quelles données factuelles viendraient soutenir pareille hypothèse, et permettraient de démontrer que VERT est «plus» symbolique que ROUGE ou BLEU, par exemple, ou «autant» que NOIR et BLANC.

4. Les couleurs de la poésie

Le problème rencontré tient à la conception même du symbolisme (Gouvard à paraître b). Pour considérer qu'un terme, comme un adjectif de couleur, est susceptible d'être interprété symboliquement, il existe *grosso modo* deux analyses possibles.

L'une consiste à admettre qu'un «symbole» est une représentation sémantique particulière, et qu'elle peut, au même titre que sa signification usuelle, être attachée à un terme. Par exemple, NOIR se verra attaché sa signification standard, «qui a la propriété d'être noir», et un certain nombre de «valeurs symboliques», comme par exemple: «qui marque le dueil», «qui fait penser à la mort», «qui porte malheur», etc. Ces valeurs constituent des objets sémantiques autonomes, et peuvent éventuellement être rattachées à d'autres signes linguistiques: «qui porte malheur» est susceptible d'être attribué à des termes comme «chat», «échelle», «miroir», «araignée», etc.

L'autre analyse, développée dans le cadre de la pragmatique cognitive postgricéenne, par Sperber et Wilson (1989; voir aussi Sperber 1974 et 1996), consiste à poser qu'un terme est interprété «symboliquement» non pas parce qu'il «porte» ou «signifie» ou «connote» une quelconque «valeur symbolique», mais parce qu'il est présenté dans le discours de telle manière que le destinataire du message cherchera nécessairement à en donner une interprétation qui dépasse la simple convocation de sa signification usuelle. Ce n'est donc pas le mot en lui-même qui est «symbolique», mais l'interprétation que l'on en donne, suite à une modalité discursive spécifique.

En nous plaçant dans le cadre de cette théorie, il devient plus facile de donner une description des procédures d'interpréation de l'épithète qui s'accorde avec les données observées.

Nous avons vu qu'un adjectif de couleur placé dans la zone prénominale était affaibli aussi bien sur le plan prosodique que sémantique (§ 2). Nous avons vu également que, selon Gardes-Tamine 2004, ce double effacement tend à priver les adjectifs concernés de «leur sens concret» (id.: 223), c'est-à-dire de leur signification usuelle (voir § 3). Pour étayer son

point de vue, l'auteure établit une analogie avec les épithètes de nature – dont nous avons déjà indiqué qu'elle se rencontrait chez de nombreux auteurs (voir § 1) –, en citant les expressions *verte prairie* et *blanche colombe,* et en leur appliquant l'analyse qu'en donne Culioli (2000: 59sq): «L'adjectif fonctionne ici comme un modalisateur. En termes culioliens, il pointe vers «l'attracteur» de la notion de prairie, ou de colombe, vers son centre même, c'est-à-dire vers "une représentation abstraite et absolue" de l'objet» (id.). Nous retrouvons dans cette analyse l'idée que l'adjectif antéposé semble construire, *avec le nom qu'il qualifie*, une entité à la fois plus homogène et plus «abstraite» (et, donc, plus «symbolique») que ne le serait le même nom avec le même adjectif postposé.

S'il fallait synthétiser ces intuitions, nous dirions que le syntagme avec une épithète antéposée renvoie plutôt à un «type» qu'à une représentation singulière, à l'inverse de la construction où l'adjectif est postposé au nom. Pour le montrer, il suffit d'intégrer les expressions visées dans des phrases qui explicitent un accès perceptuel à l'information (sur ce point, voir Vogeleer 1992, 1994, Gouvard 1998: 125-146, Delvenne, Michaux et Dominicy 2005: 46):

1. a Au détour d'un chemin, j'ai vu une espèce de prairie verte.
   b ?*Au détour d'un chemin, j'ai vu une espèce de verte prairie.
2. a Par la fenêtre, j'ai aperçu une sorte de colombe blanche.
   b ?*Par la fenêtre, j'ai aperçu une sorte de blanche colombe.
3. a Au bout du sentier, je suis tombé sur une masse de sapins noirs.
   b *Au bout du sentier, je suis tombé sur une masse de noirs sapins.

Les syntagmes avec une épithète antéposée ne s'accomodent pas ou très mal de la concaténation avec un verbe de perception visuelle modalisé par une locution déterminative ayant une valeur d'identificateur ou de quantificateur, car l'objet visé dans un tel contexte doit être une entité particulière, et non ce que nous avons appelé ci-dessus un «type».

Pour préciser ce que nous entendons par ce terme, nous nous appuierons sur la récente étude consacrée à la figure du «musulman» dans les témoignages de rescapés des camps nazis, par Delvenne, Michaux et Dominicy (2005). Dans leur chapitre portant sur la catégorisation, ces trois chercheurs analysent les propriétés sémantiques de noms qui se comportent exactement comme les syntagmes [Adjectif de couleur + Nom] auxquels nous nous intéressons. Hormis le terme «musulman», qui fait l'objet de leur travail, ils mentionnent par exemple «silhouette» ou «passant»:

4. a ?*Au détour d'une rue, j'ai vu une sorte de silhouette se diriger vers moi.
   b ?*Au détour d'une rue, j'ai vu une sorte de passant se diriger vers moi.

Il en va de même de termes comme «arbitre», «cocu», «bon» ou «méchant»,

c'est-à-dire de noms qui, bien qu'ils soient grammaticalement communs, renvoient à des catégories générales plutôt qu'à des entités particulières:

5. a ?*Du fond du terrain, j'ai vu une sorte d'arbitre se diriger vers moi.
   b *Au détour d'une rue, j'ai vu une sorte de bon se diriger vers moi.

On peut également rapprocher de ces noms grammaticalement communs certains noms propres comme «Marius» ou «Valère», qui renvoient à des stéréotypes culturels et non à des personnes particulières:

6. a ?*Au détour d'une rue, j'ai vu une sorte de Marius se diriger vers moi..
   b ?*Au détour d'une rue, j'ai vu une sorte de Fanny se diriger vers moi.

Afin de rendre compte de ces particularités, les auteurs ont avancé l'idée que les termes susmentionnés, et tous ceux susceptibles de manifester les mêmes propriétés distributionnelles, servent à dénommer une entité qui, dans le champ de notre expérience, est assimilée à un «type», et non pas à un prototype, contrairement à un nom commun. En effet, le nom commun ordinaire se voit attacher une représentation conceptuelle qui a pour finalité première de dénommer toutes les entités qui, dans le champ de notre expérience, nous semblent constituer des exemplaires de ce concept, moyennant quelques variations par rapport au prototype que nous avons mémorisé. Or, ce que montrent les manipulations qui précèdent, c'est que les termes considérés, qu'ils soient noms communs («silhouette», «arbitre», «bon», etc.) ou noms propres («Marius», «Fanny», etc.), ne s'accomodent pas de telles variations. La désignation est ici beaucoup plus rigide, tout comme elle l'est avec un nom propre, qui, lorsqu'il ne renvoie pas à un «type», comme par exemple les prénoms Paul ou Annie, ne peut lui aussi s'intégrer à une phrase perceptuelle médiatisée par un identificateur ou un quantificateur:

7. a. ?*Au détour d'une rue, j'ai vu une sorte de Paul se diriger vers moi.
   b. ?*Au détour d'une rue, je suis tombé sur un attroupement d'Annie.

Alors que le nom commun sert à dénommer les différents *exemplaires* d'un concept, le nom propre et les termes susmentionnés servent donc à désigner les différentes *occurrences* d'une même représentation (voir Gouvard 1998, 2000). Toutefois, pour les noms propres, il s'agit des occurrences d'un individu singulier, alors que pour la classe dont il est ici question, il s'agit des occurrences d'un «type» relativement abstrait, qui n'est pas attaché à un seul individu, mais «attachable», en quelque sorte, à toute entité que nous estimons incarner ce type, et, techniquement, cet objet prend la forme de ce

que l'on appelle un *script* ou *scénario* ou *canevas*.

En conclusion, nous avancerons donc l'idée que, lorsqu'un adjectif de couleur est antéposé, il tend à former avec le nom qu'il qualifie une expression linguistique qui renvoie à un «type», et que cette expression permet de désigner les occurrences de ce type, plutôt que de dénommer les exemplaires d'un concept qui lui serait attaché. NOIR, BLANC, VERT ou tout autre adjectif fréquemment antéposé dans un texte de poésie n'occupe pas préférentiellement cette position parce qu'il est «plus symbolique» qu'un autre: s'il est placé dans la zone prénominale, c'est afin d'être interprété avec le nom qu'il qualifie comme renvoyant à un type plutôt qu'à une entité particulière, et il sera interprété comme tel quelle que soit sa couleur, du fait même d'occuper cette position.

Il resterait à préciser pourquoi la représentation «typique» attachée aux syntagmes [Adjectif de couleur + Nom] produit à l'évidence un effet «poétique», mais ce point fera l'objet d'un développement ultérieur (voir Dominicy 1990, 1993, 1999, 2002, et Gouvard 1995, 1996, 2000, 2001: 119-123).

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UNE CLASSIFICATION CATÉGORIELLE - RELATIONNELLE DE L'*ATRIBUT*[1] EN ROUMAIN. AVEC DES ANNOTATIONS

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ABSTRACT. ***A Categorical-relational Classification of the Attribute in Romanian. With add notations***. In this study, the author achieves an exhaustive and coherent description of the attribute in the Romanian language, according to two (sub) criteria, which act in compulsory succession: *a. categorical* or morphological (= class of words through which the attribute is expressed); *b. relational* or syntactical (means of subordination for the attribute). According to the first sub criteria, the author describes, along with the set of attributes unanimously accepted, a *numeral* attribute, an *interjectional* attribute, a "noun" attribute and *locution* subdivision of the main types of attributes (expressed by nouns, adjectives, verbs, adverbs). The second sub criteria, the relational one, is extended from the attributes expressed by nouns and pronouns to all the others (expressed by adjectives, verbs, numerals, adverbs), thus obtaining as members of the classification only formations in *–al* ('nominatival', 'prepozițional', infinitival'…). The last term in the name of the attribute refers one way or the other to the name of the "relatem" (= mode of subordination), which is only one each time. The terminal of the classification (= whole inventory of relational and categorical types of attributes in Romanian) is a unitary one, terminological standardized, and therefore it diminishes significantly the equivoques, the inappropriate and redundant elements.

0. En faisant entrer dans l'acception du terme de *déterminant* celle d'actualisateur d'une *valence passive* du terme régissant dans le cadre des syntagmes subordonnants binaires[2], on peut définir de façon relationnelle l'ATRIBUT comme un déterminant non personnel, non détaché verbalement

[1] Précisions terminologiques. 1. A la fonction syntaxique de ATRIBUT de la langue roumaine correspondent en français deux fonctions différentes et nommées en conséquence: *épithète* (o fată *frumoasă*) et *complément du nom* (fata *vecinului*). 2. Le terme français «attribut» (La fille est *belle*.) a un sens bien différent de celui de la langue roumaine, avec lequel il entretient une relation d'homonymie. (Au terme français «attribut» correspond en roumain «numele predicativ» - Fata este *frumoasă* - et «elementul predicativ suplimentar» - Fetița aleargă *veselă*.- Aux termes roumains «nume predicativ» et «element predicativ suplimentar» correspondent en français le terme «attribut premier degré», respectivement «attribut second degré».) 3. Etant donné que cette étude se propose d'établir une taxinomie et une terminologie de cette fonction en roumain, non pas en français, le terme de métalangage que nous allons utiliser sera celui de la langue roumaine, c'est-à-dire «atribut». 4. Dans toutes le informations terminologiques qui concernent le terme roumain «atribut», le terme français «nom» correspond en roumain à celui de «substantiv».

[2] Les syntagmes subordonnants sont exclusivement binaires. Voir, à cet égard, Draşoveanu (1997), p. 35 et suiv.

d'un nominal (terme régissant)[3]. La présente définition rend compte des *traits spécifiques* de l'ATRIBUT dans le système des déterminants du nominal, respectivement:

a. A travers l'étiquette de «déterminant non personnel», l'ATRIBUT se distingue du prédicat, qui est, à son tour, du point de vue strictement formel et relationnel, toujours un déterminant du nom, mais un déterminant *personnel*, c'est-à-dire subordonné par le biais de la catégorie de la personne associée à celle du nombre (le soi-disant accord du prédicat (en nombre et personne) avec le sujet)[4].

L'élément relationnel[5] subordonnant (personne/désinence de personne) est l'organisateur et le générateur de la fonction prédicative[6].

b. Le système des déterminants non personnels du nominal est un système ternaire[7], de nature essentiellement épithétique, autant comme expression de la subordination que comme contenu grammatical.

L'identification des trois membres, remplissant des fonctions distinctes dans la grammaire de la langue roumaine, se réalise par l'absence/présence du verbe dans la structure:

$b_{1.}$ Le déterminant non détaché → l'ATRIBUT (proprement dit): *Fetița **tristă** avea fața palidă*.

$b_{2.}$ Déterminant détaché du nominal par le verbe:

b_{2a}. L'élément détachant = auxiliaire prédicatif («copulatif») →roum. «nume predicativ» (attribut «premier degré»: *Fetița era **tristă**.*)

b_{2b}. L'élément détachant = verbe prédicatif → roum. «element predicativ suplimentar» (attribut «second degré»: *Fetița mă privea **tristă**.*)[8]

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[3] La catégorie des «nominaux» inclut le nom, ses substituts (le pronom et le numéral) et tout mot substantivé. Le terme correspondant en roumain est «substantival», terme que nous allons utiliser dorénavant pour respecter la terminologie roumaine.

[4] Dans les syntagmes subordonnants «sujet+ prédicat», le seul moyen de subordination explicite est représenté par l'accord allant du prédicat vers le sujet, ce qui fait que, du point de vue strictement formel, le prédicat est subordonné au sujet et non pas inversement et non plus en détermination réciproque - voir, à ce sujet, Draşoveanu (1997), p. 45 et suivantes; Neamțu (1986), p. 16 et suiv. Pour la thèse «courante» sur le rapport d'interdépendance entre le prédicat et le sujet, voir Guțu Romalo (1973), p. 38-41; GALR (2005), II, p.313 et suiv.

[5] Par élément de relation nous entendons ici tout segment d'expression employé comme moyen de réalisation d'une relation syntaxique, qu'il soit de nature connective (préposition, conjonction, pronoms relatifs, etc.) ou flexionnelle (désinences, articles, (certains) affixes antéposés, (certains) suffixes etc.).

[6] Il est évident que l'ATRIBUT se distingue du prédicat non seulement par la nature de l'élément de relation, mais dans le présent article nous nous intéressons uniquement à cet aspect-là.

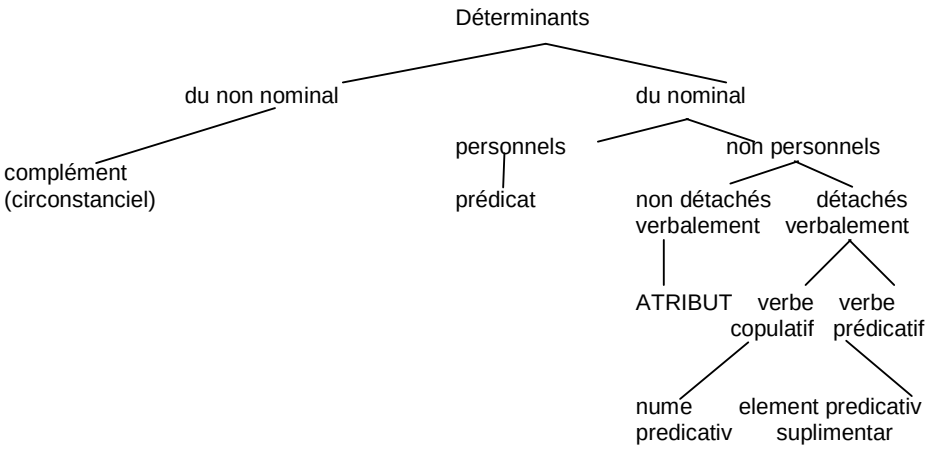
[7] Voir Draşoveanu (1978), p.11 et suiv.

[8] Nous continuons de nous situer dans la perspective de notre thèse (plus ancienne) conformément à laquelle autant le «nume predicativ» que le «element predicativ suplimentar» disposent chacun d'un seul élément de relation, quelle que soit sa nature, étant par cela des fonctions mono subordonnées - par rapport au nom et non pas doublement subordonnées –

c. Les déterminants du nominal, quelle que soit leur nature, s'opposent de façon unitaire à ceux du «non nominal» (verbe, adjectif, adverbe, interjection), en roumain ceux-ci étant du genre *complément* ou *circonstanciel*.

L'opposition au niveau des termes régissants entre l'ATRIBUT et le complément (circonstanciel) a un fondement de nature logique: *le nominal* exprime des *notions* en tant que telles (ayant une sphère et un contenu)[9], tandis que le «non nominal» exprime des *traits* du contenu notionnel (processuels et qualitatifs) ou les traits des traits des notions (modales ou circonstancielles)[10].

En effectuant successivement les quatre distinctions binaires (1. selon la nature logico-morphologique des termes régissants; 2. selon l'élément de relation subordonnant; 3. selon la présence/absence du verbe dans la structure; 4. selon la nature sémantico-syntaxique du verbe détachant), nous obtenons le schéma suivant sur le système des déterminants (= des fonctions syntaxiques):



Les éléments terminaux du schéma représentent ce qu'on appelle ordinairement dans la grammaire traditionnelle les *fonctions syntaxiques*, engendrées (exclusivement) à travers la *subordination*.

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par rapport au nom et au verbe, ce dernier étant seulement un facteur conditionnant. Voir, pour l'argumentation, Draşoveanu (1997), p. 37 et suiv.; Neamţu (1986), p. 81 et suiv.

[9] Quelle que soit la façon de les exprimer: directe (à travers le nom) ou indirecte (à travers ses substituts).

[10] Voir pour les détails concernant cette classification logique des mots, Neamţu (2001), p. 71-79. Voir, toujours là, le cas de l'interjection.

REMARQUE. D'après cette façon de représentation, *le sujet*, qui n'est jamais subordonné, mais toujours supra ordonné (régissant), ne remplit pas une fonction auprès d'un autre terme, en l'occurrence auprès du prédicat. Autrement dit, le sujet occupe une «position syntaxique»[11], mais n'est pas une fonction syntaxique[12].

0.1. L'ATRIBUT est classifié dans la grammaire de la langue roumaine selon plusieurs critères[13], parmi lesquels le plus important et le plus usuel dans tous les types d'approches est communément appelé formel[14] en opposition avec l'approche à dominante sémantique[15] utilisée dans les classifications du complément et, surtout, du circonstanciel.

Sous ce nom (= le critère formel) on range *explicitement* la classe morphologique dans laquelle se situe l'ATRIBUT comme réalisation. Conformément à ce critère, les grammaires plus anciennes et plus récentes, y compris *GALR* (2005), II, distinguent cinq types d'ATRIBUT: adjectivaux, nominaux, pronominaux, verbaux et adverbiaux.

En fait, le critère «formel» ne se réduit pas dans la taxinomie de l'ATRIBUT au critère morphologique, vu que parmi certains types d'ATRIBUT, notamment les nominaux et les pronominaux, on distingue diverses *sous-espèces* en fonction des moyens de subordination déployés, même si celles-ci ne sont pas présentées de façon explicite comme des (sous)-critères, des sous-types du genre ATRIBUT [en roumain «atribut substantival genitival», «atribut pronominal în genitiv», «atribut substantival în nominativ», «atribut substantival (pronominal) prepozițional», etc.][16], ayant des dénominations à trois termes, plus ou moins propres et standardisées, avec des doublets terminologiques justifiés ou pas.

Nous remarquons ainsi qu'en réalité le critère formel inclut deux sous-critères qui opèrent successivement:

a. un critère *général*, de nature *morphologique* ou *catégorielle*, qui prend en considération les classes lexico-grammaticales à travers lesquelles s'exprime l'ATRIBUT, le support lexico-sémantique et catégoriel de la fonction ATRIBUT;[17]

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[11] Voir, pour le concept de position syntaxique, Guțu Romalo (1973), *passim*.

[12] Voir, pour cette thèse et son argumentation, Draşoveanu (1997), p. 86 et suiv.

[13] Voir, pour les classifications trouvées et leurs membres, *GLR* II (1963), p. 114 et suiv.; *GALR* (2005), II p. 593 et suiv.

[14] Voir, par exemple, *GALR* (2005), II, p. 594, *2. Tipuri formale de atribut.*

[15] Il s'agit, bien évidemment, d'une sémantique grammaticale. Voir, pour la description et la classification sémantique de l'*ATRIBUT*, Irimia (2000), p. 469-482.

[16] Voir *GALR* (2005), II, p. 598-603.

[17] Nous employons ici le qualificatif «catégoriel» dans l'acception de E. Coşeriu, avec un renvoi au sens *catégoriel*, existant dans toutes les classes de mots à l'exception des instruments grammaticaux, sens différent du sens lexical. Le sens catégoriel est représenté par *le sens des parties de discours*, celui de «*substantivité*», «*adjectivité*», etc., correspondant à des matrices ontologiques du type: *objet, qualité, procès*, etc. Le sens catégoriel reflète et représente le mode de

b. un autre critère *détaillant*, de nature *syntaxique* ou *relationnelle*, qui opère avec le moyen de réalisation de la relation qui génère la fonction ATRIBUT (cas, préposition, accord, etc.), moyen appelé ici «relatem» (élément relationnel), dépendant en grande mesure de la classe de mots, et appliqué ultérieurement aux catégories d'ATRIBUT établies selon le premier sous-critère.

Par voie de conséquence nous appellerons la *classification* issue de l'application des deux sous critères une classification *catégorielle-relationnelle*. L'organisation de cette classification jusqu'à ses derniers *membres* avec leurs *dénominations*, bien encadrées dans un *système terminologique* tant soit peu *unitaire*, *standardisé*, *cohérent* et *argumenté* (du point de vue morphologique et relationnel), sans ambiguïtés évidentes, sans hésitations terminologiques et sans éléments redondants, fera l'objet de notre analyse par la suite[18].

1. Du point de vue théorique, les deux sous-critères, de par leur exactitude presque mathématique[19], devraient mener naturellement à une classification exhaustive, avec un nombre précis de membres et des dénominations d'une extrême propriété.

En examinant les classifications en usage, y compris celle de *GALR* (2005), II, on remarque pourtant très vite suffisamment de lacunes et d'inconséquences dans l'application des critères; finalement nous avons affaire uniquement à des classifications partielles.

Certaines lacunes sont relativement faciles à combler par de simples précisions supplémentaires ou d'ajustements (uniformisations) terminologiques, pendant que d'autres soulèvent de gros problèmes, ces difficultés ayant été engendrées par la complexité objective des faits de langue, illustrée par l'interprétation controversée, avec des solutions souvent divergentes. Souvent, comme nous pouvons le voir dans ce qui suit, nous les retrouvons en partie dans la taxinomie de l'*ATRIBUT*, portant atteinte à leur applicabilité intégrale et concertée de ces deux sous-critères.

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structuration morphologique du contenu lexical, d'organisation de celui-ci dans des «catégories verbales», classes morphologiques dans lesquelles on «introduit» ce sens lexical. (Il est moins important ici le fait que certaines classes ont autant un sens lexical qu'un sens catégoriel, alors que d'autres ont seulement un sens catégoriel. (Voir Coşeriu (1978), *passim*; voir Nica (1988), p. 44-62, pour une présentation de cette classification sémantique en correspondance avec une classification morphologique, avec des applications au roumain).

[18] Pour des raisons faciles à comprendre, nos principales références vont cibler surtout *GALR* (2005), I et II, ouvrage fondamental, qui «filtre» et retient de façon synthétique ce qui est considéré comme relevant (pertinent) en matière de classification et terminologie de cette fonction syntaxique dans les contributions grammaticales antérieures.

[19] Nous savons quelles sont les parties de discours susceptibles de remplir une fonction syntaxique autonome, de même que les moyens de les relier.

C'est pourquoi la perspective d'une classification catégorielle-relationnelle intégrale ne peut pas être configurée sans «passer en revue» au préalable les cas problématiques, en opérant des ajustements conventionnels, soit dans le sens de la tradition (code 1), soit à côté ou en dehors de la tradition (code 2).

2. Conformément au sous-critère morphologique (catégoriel), on devrait avoir autant de classes d'*ATRIBUT* que de classes de mots autonomes du point de vue lexico-sémantique et/ou faisant preuve d'une disponibilité fonctionnelle générale.

La violation totale ou partielle du principe énoncé vise deux (trois) catégories de phénoménalisations morphologiques de l'*ATRIBUT*:

2.1. Dans la plupart des grammaires (et des manuels), y compris dans *GALR* (2005), II, il manque un ATRIBUT réalisé par un *numéral*, celui-ci étant inclus, au gré des prétendues «valeurs morphologiques» (emplois), parmi d'autres types d'ATRIBUT (nominaux, pronominaux, adjectivaux, adverbiaux)[20].

Sans relancer un débat ancien et en partie non résolu concernant la problématique du numéral, nous devons dire qu'au-delà des aspects théoriques, finalement toutes les grammaires, quelle que soit leur type d'approche, s'accordent à considérer de façon explicite ou masquée le numéral comme une catégorie de mots distincte, malgré son comportement hétérogène du point de vue morphologique, sémantique et syntaxique[21].

Parmi les traits qui individualisent le numéral comme classe grammaticale (classe lexico-grammaticale), il convient de mettre en évidence au moins deux:

a. Du point de vue lexico-sémanique, le numéral est la seule classe de mots qui exprime de façon numérique (exacte) la quantité en tant que telle ou des hypostases qui y renvoient directement (l'ordre numérique, la distribution numérique, l'association numérique, la multiplication numérique, l'itération numérique): *doi, al doilea, câte doi, amândoi, îndoit, de două ori, a doua*[22].

Le numéral garde ce trait d'appartenance à une classe quelle que soit sa «valeur morphologique». Autrement dit, le mot *doi*, par exemple, n'en est pas moins un numéral dans l'hypostase adjectivale (***Doi** băieți se plimbă.*]) que dans l'hypostase pronominale (***Doi** dintre băieți se plimbă.*) ou substantivale (*Ne oprim la kilometrul **doi.***) ou vice versa[23].

[20] On voit ainsi comment le statut controversé du point de vue morphologique d'une classe grammaticale, ici du numéral, a des répercussions sur son encadrement syntaxique.

[21] Voir, excepté *GALR* (2005), I, p. 289-323, Găitănaru (1993), Gruiță (1987), Pană Dindelegan (2003), p. 75-86.

[22] Il est vrai que d'autres classes de mots expriment aussi la quantité (les noms, les pronoms, les adjectifs), mais seulement le numéral exprime ses dimensions numériques (exactes).

[23] A partir de la valeur couramment appelée «substantivale» (vs. adjectivale), *GALR* (2005), I, distingue, d'après Pană Dindelegan (2003), p.77-79, avec des arguments pertinents, la valeur

b. Sur le plan morphologique (flexionnel), *le numéral*[24], à la différence du nom (pronom) et de l'adjectif[25], *ne connaît pas* au niveau du système l'*opposition grammaticale du nombre* (singulier /pluriel): le numéral exprime le nombre, un nombre exact, par le biais de son radical, mais «ne change pas» de forme selon le nombre[26]. (De façon similaire, au niveau de leur classe grammaticale, les noms connaissent la catégorie du genre avec trois membres (masculin, féminin, neutre, en roumain), mais ne changent pas selon le genre[27]).

Par conséquent, si le numéral est différent par rapport aux autres classes de mots et si l'ATRIBUT est classifié du point de vue morphologique (catégoriel), il doit être accepté en tant que tel même quand il remplit la fonction ATRIBUT, en appelant cet ATRIBUT en tant que tel, respectivement *ATRIBUT numéral*[28]*.*

2.1.1. En ce qui concerne les valeurs (emplois) morphologiques du numéral, celles-ci agissent ultérieurement comme éléments taxinomiques à l'intérieur de la classe de l'ATRIBUT numéral, menant aux divisions respectives, reflétées en tant que telles sous le nom d'ATRIBUT numéral.

Mis à part la pratique imposée par la tradition des grammaires roumaines, avec les ajustements apportés par *GALR* (2005), ces «emplois morphologiques» des numéraux ne peuvent pas être ignorés ou évités dans la taxinomie de l'ATRIBUT, parce qu'ils conditionnent l'emploi de certains types d'éléments relationnels subordonnants, relevant du deuxième sous-critère de classification de l'ATRIBUT.

Nous distinguons donc quatre grands sous-types d'ATRIBUT numéral: adjectivaux, pronominaux, nominaux, adverbiaux (= ATRIBUT numéral adjectival, ATRIBUT numéral pronominal, ATRIBUT numéral nominal (=substantival), ATRIBUT numéral adverbial).

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pronominale (= de substitut, avec une référence obtenue de façon anaphorique, cataphorique, déictique), «la quatrième». Ainsi, la valeur substantivale du numéral apparaît avec une sphère notionnelle considérablement diminuée. Celle-ci inclurait seulement:
(1) les noms des nombres dans les opérations mathématiques (***doi*** *plus* ***cinci*** *fac* ***şapte***);
(2) les dénominations numériques (pour les unités de mesure, les divisions administratives et militaires, les arrêts, les décrets, les notes scolaires, etc.): *ora* ***14****, anul* ***2001****, foaia* ***80****, sectorul* ***3****, regimentul* ***33****, camera* ***132****, nr.* ***8****, maşina* ***313***, etc. (voir *GALR* (2005), I, p. 301). (Chez Gruiță (1987), les derniers, (2), sont appelés «numéraux d'identification»).

[24] Les numéraux devenus, par conversion grammaticale, des noms (*doiul, un trei*, etc.) ne font plus l'objet de notre discussion.

[25] L'existence de quelques noms (pronoms) et adjectifs «invariables», des éléments périphériques de toute façon dans le cadre des classes, ne modifie pas les données du problème.

[26] Les exceptions dans la sphère du numéral ordinal (*primul, prima /primii, primele; întâiul, întâia /întâii, întâiele*), explicables du point de vue étymologique d'ailleurs, restent ce qu'elles sont, c'est-à-dire des «exceptions» par rapport au grand reste. En roumain, il existe deux mots, dérivés de deux racines différentes pour traduire l'équivalent français «premier»: «primul», «întâiul».

[27] Voir *SMLRC* (1967), y compris au sujet des noms obtenus par dérivation motionnelle.

[28] Voir, à ce sujet, Gruiță (1987) et, partiellement, Bejan (1995).

NOTE. Nous rappelons que nous utilisons le terme «nominal» dans le sens «exprimé par un substantif».

Les éléments terminaux des noms des quatre types d'ATRIBUT se justifient et s'imposent autant quand ils sont considérés en soi et servent de *base* à la classification relationnelle qui suivra, que quand ils sont pris en opposition les uns par rapport aux autres. Ainsi:

a. Du point de vue terminologique, l'ATRIBUT numéral nominal et numéral pronominal[29] s'opposent en bloc à l'ATRIBUT numéral adjectival, permettant tous les deux par la suite des sous-classements d'après le modèle substantival (pronominal).

b. La dénomination d'«ATRIBUT numéral adjectival» ne peut pas être réduite à la dénomination d'«ATRIBUT adjectival», comme on fait d'habitude[30], car ceci ferait disparaître la spécificité de la classe grammaticale en question, le numéral, en violant le sous-critère morphologique. (Le numéral connaît seulement l'emploi adjectival (= mot accordé), mais il n'en est pas moins un numéral, c'est-à-dire qu'il ne passe pas dans la classe des adjectifs proprement dits.)

NOTE. Dans cette étape de la classification, on inclut de façon implicite dans le segment terminal du nom de l'ATRIBUT (=«adjectival») le nom de l'élément de relation subordonnant (l'accord adjectival[31]), comme pour tout ATRIBUT adjectival.

c. Le problème se pose de façon similaire dans le cas de l'ATRIBUT numéral adverbial, exprimé surtout par des numéraux appelés de la même façon («numéraux adverbiaux»): *venirea lui* ***de două ori****, venirea lui* ***a doua oară*** [32].

2.2. Pour d'autres raisons, plus ou moins claires, les grammaires, à quelques exceptions près[33], ne parlent d'aucun *ATRIBUT interjectif*. Or, si on admet le sous-critère morphologique dans la classification de l'ATRIBUT, l'interjection étant une classe grammaticale distincte des autres, on doit accepter aussi, en dépit de sa spécificité, l'existence d'un ATRIBUT interjectif, qui pèse très peu, c'est vrai[34]. Dans *GALR* (2005) un tel ATRIBUT n'apparaît pas, même si dans le même ouvrage, *GALR* (2005), I,

[29] Bejan (1995), p. 312, réduit la fonction d' «ATRIBUT numéral» à son emploi substantival (pronominal), comme si le numéral était …un numéral uniquement quand il prend cette valeur.
[30] Voir, par exemple, Bejan (1995), p. 307-308.
[31] Voir, à ce sujet, *infra* **4.3.2.**
[32] Si on respectait telle quelle leur spécificité sémantique, on devrait les appeler des numéraux «de répétition» (itératifs).
[33] Voir, par exemple, Şerban (1970), p. 148; Constantinescu-Dobridor (1998), p. 176 *(Era un om* ***he-he***!; ***Halal*** *exemplu!*) et Felecan (2002), p. 107 (***Halal*** *răspuns*.; *Am mers pe un drum* ***vai ş-amar***!). Dans le deuxième exemple, le groupement *vai ş-amar* est considéré comme «locution interjective».).
[34] Dans *GALR* (2005), I, p. 675, on fait la remarque: «L'interjection peut se trouver, quoique rarement, en position d'ATRIBUT, dans des contextes où elle joue le rôle d'un adjectif appréciatif.».

parmi les fonctions syntaxiques de l'interjection figure aussi l'ATRIBUT correspondant («ATRIBUT interjectif» [35]).

Malgré sa fréquence réduite, l'ATRIBUT interjectif reste un membre distinct dans le paradigme de la classification morphologique.

2.3. L'ATRIBUT exprimé par diverses *locutions* (d'abord adjectivales, adverbiales, mais aussi substantivales, verbales, etc.) représente un autre cas de transgression partielle du sous-critère morphologique.

A ce sujet nous faisons les remarques suivantes:

(1) Quoique les locutions ne soient pas des classes grammaticales indépendantes, autres que celles habituellement reconnues comme telles, les grammaires opèrent une distinction entre les locutions et les classes grammaticales correspondantes (= les prétendus «éléments d'identification»)[36].

(Le fait que dans chaque classe grammaticale[37] on retrouve les locutions correspondantes[38] prouve que celles-ci sont incluses parmi les unités et les concepts de la morphologie, comme objet d'étude de celle-ci ou de celle-ci également.[39])

(2) Malgré une certaine «équivalence» (plus ou moins approximative) lexicale ou grammaticale «générale» par rapport aux classes grammaticales correspondantes (comparer *om* ***capabil*** *de…* et *om* ***în stare*** *de* …), les locutions présentent aussi des distinctions en comparaison avec celles-ci, au-delà des dimensions expressive et extensive (quantitative). Elles visent *l'organisation structurale* (le nombre de ses membres, leur statut morphologique manifeste ou originaire, la syntagmatique relationnelle interne, souvent moins claire et moins naturelle) et, chose plus importante ici, leurs *moyens de subordination* (les éléments relationnels) par rapport à un terme régissant externe, moyens qui peuvent coïncider ou pas avec ceux de la classe grammaticale correspondante (comparer *om* ***vârstnic*** [= accord] avec *om* ***în vârstă*** [≠ accord]), étroitement liés et conditionnés par leur structure interne.

Ces traits spécifiques exigent aussi une individualisation terminologique au nom de l'ATRIBUT qu'il expriment par le biais du qualificatif «locutionnel»[40],

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[35] Voir *GALR* (2005), I, p. 675, 683. On y puise quelques exemples: Avea o fată **pfii**!, *Are o maşină* ***mamă-mamă!***, *o veste* ***bum-bum!*** *o căruţă* ***zdronca-zdronca****!*, *o rochie* ***fâl-fâl*** *,* ***halal*** *justiţie*, etc.

[36] En roumain le mot «souvenir» peut s'exprimer tantôt à travers un nom, *amintire* , tantôt à travers une locution substantivale, *aducere aminte*. Un autre exemple est fourni par l'adjectif *bogat* qui connaît aussi comme variante une locution adjectivale *cu stare*.

[37] Sauf l'*article.*

[38] Voir *GALR* (2005), I, à la fin de chaque classe grammaticale.

[39] A la différence des mots composés qui intéressent principalement la lexicologie et seulement de façon subsidiaire la grammaire. (D'ailleurs «les locutions» font partie de la classe plus grande des «expressions figées» - voir *DSL* (1997), sous l'entrée *frazeologic,-ă*, p. 209-210, faisant l'objet d'étude de plusieurs disciplines linguistiques.)

[40] A ce qu'on a pu constater, ce qualificatif n'est pas du tout redondant du point de vue morphologique. (Pour ses implications et ses significations relationnelles, voir *infra* **4.3.2., 4.5.2.**)

même s'il fait «prolonger» le nom de l'ATRIBUT (par exemple: ATRIBUT nominal (=substantival) locutionnel, ATRIBUT adverbial locutionnel, etc.).

(3) On parle de noms et de locutions correspondantes, de verbes et de locutions correspondantes, etc., quelle que soit leur structure (nombre de membres, statut morphologique et relations entre ceux-ci), de la même façon que l'on parle d'ATRIBUT locutionnel, qui, une fois accepté, se fait classer parmi les *types catégoriels de locutions* et est dénommé en conséquence, par le nom des termes identificateurs – locution substantivale → ATRIBUT *substantival* locutionnel, locution verbale → ATRIBUT *verbal* locutionnel, locution adjectivale → ATRIBUT *adjectival* locutionnel, etc.

Ainsi, à chaque catégorie d'ATRIBUT correspond une sous-division représentée par sa réalisation locutionnelle.

Si l'on procédait inversement, c'est-à-dire en dénommant et en classant l'ATRIBUT locutionnel selon le statut morphologique de ses termes composants, mis à part le dédain[41] du concept de locution, nous ne pourrions pas tout simplement construire le nom de l'ATRIBUT dans de nombreuses situations. (Il s'agit de nombreuses locutions, appartenant à tous les types catégoriels, à deux ou plusieurs composants[42] hétérogènes du point de vue morphologique: *vorbă* ***în doi peri****, oameni* ***tot unul şi unul****, voinici* ***care mai de care****, fete* ***de mai mare dragul****,* ***fel de fel de*** *lucruri, glume* ***de prost gust***, etc.]).

Par conséquent, dans un exemple comme *om* ***cu dare de mână***, *cu dare de mână* = l'ATRIBUT adjectival locutionnel, et non pas «ATRIBUT à réalisation substantivale prépositionnelle», car la «locution disparaîtrait», et pas non plus un simple « ATRIBUT adjectival», car *l'adjectif ≠ locution adjectivale*.

2.4. L'ATRIBUT exprimé par des «groupes»[43] formés d'un verbe «copulatif» (à une forme non personnelle, le plus souvent l'infinitif) et d'un «nume predicativ» (exprimé par un nom, pronom, adjectif, etc.) ne rentre pas dans une typologie catégorielle (morphologique): *gândul* ***de a fi vinovat****, dorința* ***de a se face profesor****, portarul* ***ajuns director****, indivizi* ***părând a fi invulnerabili***.

Nous faisons les remarques suivantes:

(1) Le verbe copulatif se trouve en relation directe avec le terme régissant, occupant ainsi de façon claire la position d'un ATRIBUT verbal (comparer *gândul* ***de a pleca*** et *oameni* ***suferind*** *de plictiseală*).

[41] La décomposition de la locution, son analyse comme si elle n'était pas une locution, mais une combinaison libre de mots.
[42] Excepté les prépositions et les conjonctions.
[43] Qui ne sont ni locutions, ni mots composés.

(2) Compte tenu du fait que, selon la plupart des grammaires, les verbes copulatifs[44] ne remplissent pas à eux seuls une fonction syntaxique, mais uniquement accompagnés d'un «attribut premier degré» («nume predicativ»), il s'ensuit que la fonction d'ATRIBUT ne se limite pas à la «copule», c'est-à-dire qu'elle n'est pas un ATRIBUT verbal proprement dit[45], mais elle inclut aussi «l'attribut premier degré» («nume predicativ»).

Ayant deux (trois) composants à statut morphologique différent, il est impossible d'encadrer (du point de vue morphologique) un tel ATRIBUT.[46]

(3) Il existe à cet égard des propositions dénominatives, mais aucune n'est purement morphologique, en tenant compte d'autres critères également[47].

Parmi celles-ci nous retenons:

a. Le critère structural - *ATRIBUT[48] analytique*, dans le paradigme: simple - composé- *analytique* – complexe – propositionnel - multiple.

b. Le critère morphosyntaxique (= partiellement morphologique, partiellement syntaxique) - *ATRIBUT nominal*[49]. En tant que genre particulier d'ATRIBUT, du moins du point de vue terminologique, l'ATRIBUT nominal semble être plus proche d'une position d'un membre du classement morphologique.

Brève argumentation.

b_1. Dans la dénomination usuelle «prédicat nominal», le qualificatif «nominal» renvoie explicitement au deuxième composant du groupe appelé, plus ou moins correctement, «nom prédicatif» («attribut premier degré»), alors que le premier composant du groupe, «prédicat», renvoie au verbe copulatif, c'est-à-dire au véritable élément indicateur et générateur de la fonction prédicative (de par sa qualité de forme verbale personnelle).

Au cas où le verbe copulatif revêt une forme non personnelle, il ne sert plus à indiquer et générer la fonction prédicative, mais une autre, en l'occurrence, la fonction ATRIBUT, à l'instar de n'importe quel autre verbe à une forme non personnelle.

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[44] Quel que soit le nom qui lui est attribué. (Voir, pour la terminologie des «copulatifs», Neamțu (1986), p. 186-189.) Dans *GALR* (2005), II, p. 166, 255, 258, on ajoute aussi le nom d'«opérateur copulatif».

[45] Selon une hypothèse moins répandue (conformément à laquelle toute forme verbale personnelle, excepté les auxiliaires (morphologiques), constitue un prédicat et il n'existe donc pas de verbes «copulatifs»), dans de tels groupes, seulement le verbe est considéré comme ATRIBUT (= ATRIBUT verbal). Voir, pour toute la problématique, Neamțu (1986), *passim*.

[46] Des formations binaires du genre ATRIBUT verbal substantival, ATRIBUT verbal adjectival, ATRIBUT verbal pronominal, etc., ayant un terme commun («verbal»), ne trouvent pas leur place dans une classification morphologique. (Sans procéder à une argumentation proprement-dite, Constantinescu-Dobridor (1998), p. 175, range ce type d'ATRIBUT sous *l'ATRIBUT verbal*, dans la catégorie de *l'ATRIBUT simple* du point de vue de la structure.)

[47] Nous ne nous occupons pas ici de ces propositions terminologiques, ni des classements qui en résultent.

[48] Voir Irimia (2000), p. 471 et suiv.

[49] Voir Neamțu (1999), p. 482-484.

b_2. En remplaçant le premier terme de la dénomination «prédicat nominal» par le nom de la nouvelle fonction, ATRIBUT, nous obtenons la dénomination d'*ATRIBUT nominal*[50].

REMARQUE. De la même façon que par prédicat nominal, nous n'entendons pas que le prédicat s'exprime uniquement par le «nom», par ATRIBUT nominal non plus nous n'allons pas comprendre que celui-ci s'exprime (uniquement) par le nom, s'agissant également d'une structure binaire.

b_3. En dépassant son sens étymologique (nom = mot qui donne un nom = substantif), *nom* (nominal) signifie ici, de même que dans le cas du «*nume predicativ*» («attribut premier degré»), tout ce qui n'est pas «verbe copulatif» (substantif, pronom, adjectif, adverbe, verbe à une forme non personnelle, numéral), mais dont il présuppose nécessairement l'existence. Avec ce sens (= avec cette extension de sphère conceptuelle), le «nominal» (du «prédicat nominal» et «ATRIBUT nominal») n'est plus un concept strictement morphologique, mais un concept identifié surtout syntaxiquement.

(C'est pourquoi nous considérons que, dans l'identification et la dénomination de ce type d'ATRIBUT, il ne s'agit pas d'un critère morphologique, mais d'un critère mixte, morphosyntaxique.)[51]

2.4.1. Au cas où l'ATRIBUT nominal (dans l'acception ci-dessus) est dépourvu de son deuxième composant («nume predicativ»), il peut être appelé *ATRIBUT nominal incomplet*, d'après le modèle du prédicat, sa place étant prise par une proposition prédicative: *dorința* ***de a ajunge*** *ce şi-a dorit, intenția* ***de a părea*** *ce nu este*.

2.5. En corroborant toutes les données ci-dessus, nous obtenons les types catégoriels d'ATRIBUT[52] suivants:

(1) *substantival* (substantival locutionnel)

(2) *pronominal*[53]

(3) *adjectival* (adjectival locutionnel)

(4) *numéral* (numéral adjectival, numéral nominal, numéral pronominal, numéral adverbial[54])

[50] Le terme apparaît aussi chez Dimitriu (2002), p. 1348, mais sous une autre acception.

[51] Si les formes verbales non personnelles sont traitées le plus souvent du point de vue fonctionnel en termes de *réductions*, plus exactement comme noyaux prédicatifs (= proprédicats) des propositions ayant subi une réduction, la «problématique» de ce type d'ATRIBUT change radicalement, celui-ci étant en réalité le «proprédicat nominal» issu d'une réduction (par un gérondif ou un infinitif, en roumain) d'une subordonnée ATRIBUT, situé au niveau interpropositionnel (phrastique). Voir, pour toute la problématique des réductions (niveau syntaxique, définitions, délimitations, classements, fonctions), Draşoveanu (1997), p. 244-276.

[52] Pour des exemples, voir *infra* **5**.

[53] Les locutions «pronominales» ont un poids et une fréquence négligeables et ne sont d'ailleurs pas traitées de façon unitaire dans les grammaires.

(5) *verbal* (verbal locutionnel)
(6) *adverbial* (adverbial locutionnel)
(7) *interjectif*[55]
NOTE*. L'ATRIBUT nominal* (nominal incomplet) est un type particulier d'*ATRIBUT*, identifié morpho-syntaxiquement.

3. En ce qui concerne le deuxième sous-critère que nous avons appelé *relationnel*, en prenant pour point de départ les types d'éléments relationnels à travers lesquels l'*ATRIBUT* se subordonne aux termes régissants, nous faisons les remarques suivantes:

(1) Une classification relationnelle proprement dite, reflétée en grandes lignes aussi du point de vue terminologique, se matérialise uniquement dans le cas de deux types catégoriels d'ATRIBUT – substantival et pronominal - ce qui explique aussi la dénomination à *trois membres* («atribut substantival *genitival*», «atribut substantival *în dativ*», «atribut pronominal *prepoziţional*», etc.).

Même pour ces types d'ATRIBUT, la classification relationnelle est pourtant loin d'être explicite, complète et conséquente; il reste des cas de figure non justifiés, on utilise des classifications hésitantes, des dénominations approximatives, non soumises aux rigueurs de l'exactitude, non unitaires et non standardisées, avec des doublets non justifiés même dans le cadre d'un seul type relationnel[56].

(2) Les autres catégorie d'ATRIBUT (adjectival, verbal, etc.) ne bénéficient plus à proprement parler d'une classification relationnelle, ce qui entraîne le manque de sous-espèces individualisées du point de vue relationnel et de dénominations à trois termes.

Pour ce type d'ATRIBUT nous ne bénéficions pas de classifications formelles, mais uniquement de *descriptions*, de sous divisions phénoménalisées des classes grammaticales à travers lesquelles ils s'expriment [57] ou de certaines

[54] Nous considérons les formations du genre *de două ori, a doua oară* comme des numéraux (adverbiaux) et non pas comme des locutions numérales. (C'est pourquoi il n'y a pas un ATRIBUT numéral locutionnel dans notre classification.)

[55] Les locutions «interjectives» ont un poids et une fréquence négligeables. (D'ailleurs la distinction interjection composée/ locution interjective est encore sujet à débat).

[56] Dans *GALR* (2005), II, par exemple, l'ATRIBUT substantival présente les sous divisions suivantes: (1) ATRIBUT substantival «*génitival*»*;* (2) ATRIBUT substantival *prépositionnel*; (3) ATRIBUT substantival au *nominatif;* (4) ATRIBUT substantival au *datif*; (5) ATRIBUT substantival *à l'accusatif non prépositionnel*; (6) ATRIBUT substantival *non marqué par le cas* (voir p. 599-601; notre soulignement - G.G.N.).
Dans le cas de l'ATRIBUT pronominal on voit apparaître: (1) ATRIBUT pronominal au *génitif;*(2) ATRIBUT pronominal au *datif;* (3) ATRIBUT pronominal *prépositionnel* (voir p. 602-603). On voit apparaître au même endroit, p. 603, une dénomination moins habituelle: «ATRIBUT pronominal à l'accusatif avec préposition». (S'agit-il d'un ATRIBUT réalisé à travers le cas ou à travers la préposition?)

[57] Par exemple, pour l'ATRIBUT adjectival: adjectif qualificatif, adjectif pronominal, adjectif participial.

catégories grammaticales (par exemple, pour le verbe, la catégorie du mode: infinitif, gérondif, «*supin*»).

L'explication réside soit (a) dans le fait que l'élément de relation est *seul,* toujours le même, la possibilité de sélection étant réduite à zéro, soit (b) dans le fait que l'élément de relation *n'est pas* (considéré comme) *pertinent* pour le contenu grammatical de la fonction ATRIBUT.

Sans contester totalement le fondement de cette explication, la conséquence et l'intégrité du sous-critère relationnel nous obligent à mener jusqu'au bout la classification, en l'occurrence à l'élargir à ce type d'ATRIBUT aussi, même si par ailleurs nous obtiendrons des formations terminologiques plus longues et asymétriques.

4. En vue de l'établissement de la classification relationnelle suivante, il convient de formuler explicitement quelques-unes des *prémisses* qui la fondent et la *justifient* en même temps, autant comme extension aux types d'ATRIBUT non classifiés (mais classifiables) du point de vue relationnel, que comme précisions, ajustements, reformulations (avec des intentions d'uniformisation) et des précisions pour les catégorie d'ATRIBUT qui, en grandes lignes, est déjà classifié du point de vue relationnel.

4.1. Tout ATRIBUT, quelle que soit sa réalisation morphologique, comporte un moyen de subordination, *un élément relationnel*, impliqué d'une manière directe et totale dans la réalisation de cette fonction syntaxique, un *élément de relation* dont le nom doit être représenté explicitement dans le nom de cet ATRIBUT (en tant que son dernier terme), sauf la situation où cet élément apparaît d'une manière univoque dans le nom de la partie de discours en question (par exemple, l'accord de l'adjectif).

4.2. La réalisation d'un ATRIBUT par un certain *élément de relation* ou par un autre (le cas ou la préposition, par exemple) influence d'une manière ou d'une autre le contenu grammatical et, par conséquent, la classification n'oppose pas de variantes optionnelles qui soient différentes uniquement au niveau de l'expression (à comparer *campaniile* ***lui Napoleon*** et *campaniile* ***împotriva lui Napoleon:*** possession (au sens large) / adversité)[58].

4.3. De l'inventaire des *éléments relationnels* typiques de la subordination[59], y compris ceux de l'ATRIBUT, nous retenons[60]:

4.3.1. Le cas$_1$ = le cas proprement dit, qui n'est pas accompagné ou imposé par une préposition, par lequel se réalise *la flexion* casuelle

[58] Les deux types d'ATRIBUT, l'un réalisé par le cas (= le génitif$_1$), l'autre par la préposition, relèvent de deux types de relations distinctes, associées à des significations grammaticales différentes.
[59] Au niveau intraphrastique.
[60] L'ordre dans lequel ils apparaissent est aléatoire.

(nominale, pronominale, du numéral)[61]. Cette catégorie est exprimée par les éléments de flexion casuelle (= désinences positives / négatives, articles[62]), auxquels appartiennent aussi les affixes casuels proclitiques[63]. Soit enclitiques, soit proclitiques, ceux-ci individualisent le groupe de l'ATRIBUT réalisé à travers *le cas*.

Le dernier élément du nom de l'ATRIBUT construit de cette manière sera le nom du cas_1 sous la forme d'un dérivé obligatoire et exclusif en *–al: ATRIBUT (substantival) nominativ**al**, ATRIBUT (…) genitiv**al**, ATRIBUT (…) dativ**al**, ATRIBUT (…) acuzativ**al**, ATRIBUT (…) vocativ**al***[64]. On comprend ainsi qu'une réalisation casuelle identique de l'ATRIBUT exprimé par un substantif et par un pronom , par exemple, réclame la même dénomination (ATRIBUT substantival *génitiv**al*** et ATRIBUT pronominal *génitiv**al***, et non pas ATRIBUT pronominal ***au** génitif*, etc.)[65].

4.3.1.1. A ce type d'ATRIBUT on peut assimiler aussi l'ATRIBUT exprimé par des formes casuelles (substantif, pronom, numéral) à l'aide de l'affixe proclitique *a*, qui illustrent ce qu'on appelle «la flexion nominale analytique» (*génitif analytique, datif analytique*): *mama **a** trei **copii***, *părerile **a o mulțime** de participanți* / *mamă **a** trei **copii***, *domn **a** toată **suflarea** românească*[66].

Même la simple analogie avec les affixes proclitiques mobiles de la flexion verbale analytique suffit pour soutenir l'interprétation de ce *a* comme affixe casuel proclitique[67], et non pas comme préposition proprement dite, malgré son statut étymologique. C'est pourquoi nous allons opter pour les dénominations de «génitif (datif possessif) analytique», en évitant la formulation courante, mais moins propre et exacte, de «constructions équivalentes au génitif (au datif)».

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[61] Le cas_1 est le cas à fonctionnalité maximale, relationnel par excellence. Pour la hiérarchisation fonctionnelle des cas (cas_1, cas_2, cas_3), voir Draşoveanu (1997), p. 94-101.

[62] En roumain, l'article (défini / indéfini), hors ses valeurs déterminatives, est aussi le principal morphème casuel, ce qui est généralement connu.

[63] Ceux-ci illustrent la flexion casuelle analytique (voir *infra* ***4.3.1.1.***).

[64] Les formulations qui contiennent la préposition *à* (en roumain, *în*), en tant que doublets de celles en *–al* parfois (ATRIBUT substantival **au** génitif, ATRIBUT pronominal **au** datif, etc.) ne se justifient pas, car elles ne rendent pas compte de la valeur relationnelle-fonctionnelle du cas. Pour les mêmes raisons, ajouter au nom le segment «sans préposition» ou «non prépositionnel» (ATRIBUT substantival génitival *non prépositionnel*, ATRIBUT pronominal au datif sans préposition, etc.) est quelque chose de redondant, qui ne se justifie pas.

[65] Dans *GALR* (2005), II, il y a une seule formation en *–al* de l'ATRIBUT réalisé casuellement: ATRIBUT substantival génitival (voir p. 599). (L'ATRIBUT pronominal réalisé casuellement de la même façon n'est pas appelé «génitival», mais «au génitif» - voir p. 602.)
Pour l'emploi en parallèle de la forme en *–al* et de celle avec la préposition *în*, voir Dimitriu (2002), p. 1348.

[66] Pour d'autres exemples, y compris l'inclusion dans la catégorie de l'ATRBUT génitival (dativa), voir Pană Dindelegan (1994), p. 38.

[67] A côté de *pe* du complément direct à l'accusatif et, éventuellement, de *lui* proclitique (*mama **lui** Ion*).

Donner à ces catégories d'ATRIBTUT réalisées à l'aide du *a* proclitique la dénomination de «génitivaux» («dativaux»), c'est respecter ainsi exactement le sous-critère morphologique de même que le sous-critère relationnel[68].

REMARQUE. Comme pour tout cas analytique et quel que soit le contenu grammatical réalisé (génitif, datif, accusatif), la composante (lexématique) de *base* (substantif, pronom, numéral) présente une forme invariable que, par tradition et faute d'une autre dénomination, nous appelons «accusatif»[69], bien que dans cette situation elle n'ait pas par elle-même le contenu grammatical d'un certain cas, donc de l'accusatif non plus.

Nous préférons cette dénomination (= accusatif) à la place d'une autre du type «forme de base», justifiée d'ailleurs théoriquement[70], afin de motiver, du point de vue didactique, du moins, le cas des déterminants accordés avec un élément substantival au génitif analytique: *propunerile a* ***patru*** *deputați, performanțele a* ***numeroşi*** *concurenți, patronul a* ***câteva*** *firme prospere*.

En ce sens:

a. La classe des éléments adjectivaux ne connaît pas de flexion casuelle analytique, par conséquent nous ne pouvons pas parler ici d'un génitif$_2$ analytique.

b. L'élément adjectival s'accorde avec la forme nominale invariable de la structure du génitif analytique, qui, en tant que sous-unité, n'est pas au génitif, ce qui signifie que l'élément adjectival n'est, lui non plus, au génitif$_2$ synthétique (par accord).

c. Si la forme nominale (=substantivale) de la structure du génitif analytique n'appartient pas à l'accusatif[71], ni à un autre cas (= forme de base), nous ne pouvons pas établir le cas de l'élément adjectival non plus. (Une tournure du genre «adjectif (élément adjectival) accordé, avec forme casuelle de base» n'est pas une solution.)

En conclusion, l'adjectif / l'élément adjectival qui accompagne un élément au génitif (datif possessif) analytique se trouve à l'accusatif (accusatif$_2$)[72].

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[68] La flexion analytique et celle synthétique relèvent toutes les deux du niveau morphologique et, en hypostase relationnelle, les éléments flexionnels casuels de type affixe enclitique (désinences, articles) ne sont pas au-dessous des éléments flexionnels proclitiques ou vice-versa.

[69] Tout comme, par exemple, l'infinitif en tant que sous-unité de la structure du futur de l'indicatif (*voi citi*) est appelé «infinitif», même s'il n'a rien à faire, du point de vue de son sens temporal-modal, avec l'infinitif (présent) en tant qu'unité, que «mode (verbal) non personnel» (*nu pot* ***citi****, n-am ce* ***citi***). Les deux formes sont de simples homonymes. Voir, dans ce sens, *LRC* (1985), p. 172.

[70] Voir, pour la dénomination et le commentaire, Găitănaru (1993), p. 146.

[71] En réalité, il n'y a aucune contradiction entre le «génitif analytique» (dans son ensemble) et l'«accusatif» de la structure de ce premier, ou, de toute façon, il n'y a pas une contradiction plus grande que celle entre le «futur I de l'indicatif» (comme ensemble) et l'«infinitif présent» de la structure de celui-ci. (Ce serait moins naturel d'encadrer cet élément au nominatif (à la place de l'accusatif): même si l'affixe proclitique *a* n'est pas une préposition proprement dite, il occupe pourtant la position d'une préposition quand il apparaît à l'accusatif.)

[72] Voir, dans le même sens, Pană Dindelegan (2003), p. 16.

NOTE. Au cas où *la* dans les «constructions équivalentes au datif» peut être assimilé à un affixe proclitique de datif analytique de l'attribution (qui n'est pas possessif), on obtient encore un sous-type de datif analytique: *înmânarea de premii **la trei** dintre….* (Cette interprétation serait soutenue par la «fonctionnalité» identique d'un datif synthétique et d'un datif analytique (*la*+…) dans le cas d'un complément indirect, d'où provient d'ailleurs l'ATRIBUT en question: *te spun **tuturor** – te spun **la toți***.)

4.3.2. Le cas$_2$ [73] = le cas «accordé», qui assure l'*accord* adjectival[74]. L'accord est représenté par les désinences adjectivales. L'accord caractérise et individualise la catégorie de l'*élément adjectival* (tous les types d'adjectifs, sans tenir compte de leur sens et de leur provenance).

Nous retenons:

(1) Le contenu grammatical de l'accord adjectival reste tout le temps le même, quelle que soit la forme casuelle imposée (nominatif$_2$, génitif$_2$, datif$_2$, accusatif$_2$, vocatif$_2$). C'est pourquoi la représentation du nom du cas en tant que dernier terme dans la dénomination de l'ATRIBUT (*ATRIBUT adjectival nominatival, ATRIBUT adjectival genitival*, etc.) n'aurait aucune justification grammaticale.

(2) Puisque, d'une manière ou d'une autre, tout adjectif revêt la forme imposée par l'accord avec un élément substantival, nous pouvons accepter que la dénomination de l'instrument de subordination (l'accord) soit dérivée d'une manière univoque du nom de la partie de discours (adjectif)[75] et que par conséquent elle n'ait pas besoin d'être représentée séparément et explicitement à l'intérieur du nom de l'ATRIBUT. D'où le nom formé de *deux termes* (= *ATRIBUT adjectival*) et non pas de trois (= *ATRIBUT adjectival «accordé»)*.

4.3.3. La préposition - élément de relation de type connectif, par laquelle on réalise la *jonction* au niveau *intraphrastique* dans les trois hypostases conditionnées en principe par la nature morphologique du lexème qui lui suit (lexème à fonction d'ATRIBUT):

(1) Avec un régime casuel *actualisé* (rempli) – préposition suivie de la forme casuelle qu'elle impose (= ce qu'on appelle le cas$_3$ ou le cas prépositionnel), situation dans laquelle la préposition est le seul élément relationnel, la forme casuelle étant non relationnelle: *plecarea **la mare*** (accusatif$_3$), *lupta **împotriva corupției*** (génitif$_3$), *o reuşită **grație muncii** perseverente* (datif$_3$).

REMARQUE. Dans la sphère des réalisations synthétiques, l'opposition génitif$_1$ (relationnel) / génitif$_3$ (non relationnel) a une correspondance au niveau des réalisations *analytiques* (avec l'affixe proclitique *a*) aussi.

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[73] En solidarité avec les autres catégories nominales secondaires (genre $_2$, nombre $_2$).

[74] Au cadre de ce qu'on appelle «flexion casuelle nominale» nous faisons donc la distinction entre la flexion proprement dite (les cas $_1$) et l'accord (les cas $_2$).

[75] Pour les situations *atypiques*, voir *infra* **4.4.1., 4.4.2.**

Du point de vue relationnel, nous distinguons donc deux hypostases de l'élément flexionnel *a:*

a. *Relationnel*, quand il correspond comme valeur à un génitif$_1$ synthétique; il donne ainsi naissance à un ATRIBUT réalisé casuellement (*genitival*): *prietenul* ***a mulți*** *dintre ei, stăpânul* ***a toate*** *câte există, copiii* ***a patru*** *dintre invitați*[76].

b. *Non relationnel*, quand il correspond comme valeur à un génitif$_3$ synthétique (prépositionnel), le rôle relationnel revenant exclusivement à la préposition: *argumentele* ***împotriva a tot*** *ce-ai spus tu, decizia* ***contra a doi*** *dintre ei, tăierea plopilor* ***de-a lungul a*** *patru* ***şosele*** *județene*. On obtient de cette façon un ATRIBUT *prépositionnel*[77].

(2) Avec un régime casuel *non actualisé* (non rempli) – préposition suivie d'une forme casuelle qui n'est pas imposée par la préposition (cas$_1$ ou cas$_2$), mais réalisée d'une autre manière: *oamenii* ***din juru-i*** (datif$_1$ avec préposition), *copacul* ***din fața ta*** (accusatif$_2$ avec préposition)[78].

(3) Avec un régime casuel *bloqué* – préposition suivie d'une forme non casuelle (verbale ou adverbiale): *dorința* ***de a învinge****, camera* ***de sus****, rufe* ***de spălat***[79].

Quelle que soit son hypostase, la préposition est toujours un élément relationnel et par conséquent l'ATRIBUT qu'elle génère sera *prépositionnel*.

4.3.4. L'adhérence – l'expression zéro de l'élément relationnel de subordination (= la simple juxtaposition).

Au niveau intraphrastique, l'adhérence est directement opposable à la jonction prépositionnelle.

Quoique rare dans le cas de l'ATRIBUT, elle concerne premièrement les réalisations *adverbiales*[80] (*mersul* ***înainte*** *al societății*) et certaines réalisations locutionnelles (*om* ***în stare*** *de crimă*)[81].

NOTE 1*. L'ordre des mots* n'est pas un élément relationnel proprement dit, mais un simple auxiliaire qui sert à orienter dans la sélection d'un certain terme régissant.

NOTE 2*.* La qualité relationnelle de certains éléments de flexion modale (modale – non personnelle) et l'opportunité de leur représentation dans la dénomination de l'ATRIBUT impose une autre discussion[82].

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[76] Voir *supra*, ***4.3.1.1.***

[77] Voir Pană Dindelegan (2003), p. 14, où apparaît aussi un datif$_3$ analytique: *grație a şapte profesori*.

[78] Pour la «problématique» de ces groupes de mots, voir *infra*, ***4.4.2., 4.4.3.***

[79] La «postposition» *de* relève du même régime casuel bloqué, réalisant une relation «inverse», de gauche à droite: **A*stfel de*** *oameni sunt mai rari.* (*astfel de* = adverbe avec postposition; *oameni* = nominatif$_1$). Pour le concept de *postposition*, voir Draşoveanu (1997), p. 52-59.

[80] Pour la relevance / non relevance de l'inclusion du qualificatif «adhérent» dans la dénomination de l'ATRIBUT réalisé de cette manière, voir *infra*., **4.5.2.1.**, **4.5.2.2., 4.5.3.**

[81] Pour les éléments relationnels des locutions, y compris l'adhérence, voir *infra*., **4.5.**

[82] Voir *infra*, **4.6.1.**, **4.6.2.**

4.4. Les moyens de subordination de l'ATRIBUT, comme de toute autre fonction syntaxique d'ailleurs, sont en rapport d'*exclusion:* un ATRIBUT est subordonné par un seul élément relationnel de ceux que nous avons énumérés avant (soit par le cas (cas_1), soit par la préposition; soit par l'accord, soit par la préposition; soit par la préposition, soit par l'adhérence, etc.), et non pas par deux à la fois.

L'unicité du moyen de subordination est naturelle et elle signifie en effet la mono-subordination de l'ATRIBUT, c'est-à-dire un seul élément relationnel correspondant à un seul terme régissant (simple ou multiple), élément dont le nom doit apparaître dans la dénomination de l'ATRIBUT si le nom de la partie de discours ne le contient pas. (Il est évident que l'ATRIBUT, qui est un terme subordonné, a besoin d'un moyen de subordination, quelle que soit sa réalisation positive ou négative au niveau de l'expression.)

Il y a quelques *écarts* (exceptions), *apparents* finalement, par rapport à ce principe de l'unicité et de l'exclusion des moyens de subordination, des exceptions qui posent des problèmes en ce qui concerne la classification relationnelle de l'ATRIBUT, dues à l'immixtion relationnelle de la *préposition* (le domaine de la jonction) dans la sphère du cas_1 (le domaine de la flexion) et du cas_2 (le domaine de l'accord). C'est pourquoi, au niveau de l'expression linguistique, il y a deux moyens de subordination différents et incompatibles pour un même terme (préposition et cas_1, préposition et cas_2 (accord)) qui apparaissent à la fois.

Il y a au moins trois problèmes (de principe) qui se posent:

a. Est-ce que les *deux* moyens de subordination sont tout les deux *actifs* ou bien il n'y en a qu'un *seul* qui le soit et alors lequel?

b. Si les deux moyens de subordination sont actifs, comment situent-ils le lexème en tant que terme de la structure: est-il subordonné par rapport à deux termes régissants différents ou est-il subordonné deux fois par rapport au même terme régissant et, par conséquent, a-t-il une ou deux fonctions?

c. Dans la dénomination de la fonction syntaxique, s'il y en a une seule, figureront les noms des deux moyens de subordination en cause, dans un ordre fixe ou aléatoire, ou bien le nom d'un seul de ces moyens de subordination et lequel?

La réponse, quelle qu'elle soit, ne clarifie pas globalement toutes les situations, malgré certains aspects communs, car l'apparition «inattendue» de la préposition implique une explication différente.

En même temps, pour chacune de ces situations problématiques on peut formuler deux «solutions» et deux options terminologiques, l'une traditionnelle (avec les adaptations qui s'imposent)[83] et l'autre complètement différente (d'où: code 1 et code 2).

[83] Qui a une relevance didactique, ce qui nous a fait la maintenir dans la classification finale.

Dans ce domaine (= des «écarts»), nous distinguons trois catégories de structures:

4.4.1. Adjectif qualificatif avec préposition: *plecarea ei* ***de mică*** *în străinătate, vopsirea mesei* ***din albă în galbenă***[84].

REMARQUES:

a. La préposition (*de, din*) est un élément *relationnel actif*, impliqué directement et obligatoirement dans la réalisation de la fonction (ici) de type ATRIBUT. Elle marque la subordination de l'adjectif par rapport au nom d'origine verbale: *plecarea ← de mică, vopsirea … ← din albă* (*vopsirea … ← în galbenă)*.

La préposition est un élément structural nécessaire et obligatoire: sa suppression produit soit le changement de l'énoncé, en attribuant à l'adjectif une autre fonction[85], soit la désintégration de celui-ci.

En conséquence, l'ATRIBUT adjectival est de type *prépositionnel* du point de vue relationnel.

b. L'adjectif est par définition un mot accordé (en genre, en nombre et en cas) avec un élément nominal, accord qui constitue / devrait constituer son vrai moyen de subordination.

Or, dans la situation donnée:

b_1. Il est évident que, du point de vue formel et sémantique, l'adjectif ne renvoie pas au terme régissant imposé par la préposition: *plecarea ei de mică*, mais aussi *plecările ei de mică* (mais non: **plecările ei de mici*), *plecatul ei de mică* (mais non: **plecatul ei de mic*), mais à un autre mot (*ei* pour *de mică*, respectivement *mesei* pour *din albă în galbenă*).

b_2. On ne peut parler que d'un accord en genre et en nombre, et non pas en cas, avec ce mot qui n'est pas son terme régissant (*ei* = génitif, mais *de mică* ≠ génitif; *mesei* = génitif, mais *din albă în galbenă* ≠ génitif).

Le fait que la forme casuelle ne peut pas être convertie ici dans une forme génitivale, pour que nous puissions la prendre pour une variante casuelle optionnelle, met en question l'accord en genre et en nombre aussi (avec *ei*, respectivement avec *mesei*, deux unités présentes dans le texte).

b_3. La récupération d'un accord «total» (= en genre, en nombre et en *cas*) implique l'existence d'un terme dans une autre hypostase casuelle, d'accusatif prépositionnel (avec *de, din*), qui est absente de cette structure, mais qui peut être supposée et identifiée, circonscrite sémantiquement dans le contexte dans l'histoire générative de ces syntagmes: *plecarea ei de* [fată, copilă…] *mică…=> plecarea ei de mică*.

On justifie de cette manière:

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[84] Les structures de ce type sont le résultat de la nominalisation du verbe: *a plecat de mică => plecarea ei de mică*. Normalement, le changement du statut morphologique de l'élément régissant (verbe => nom) a fait changer implicitement la nature fonctionnelle du déterminant (complément (circonstanciel) => ATRIBUT).

[85] A comparer avec *plecarea ei mică…* (voir *a plecat mică … - a plecat de mică*).

- *la préposition* (avec l'adjectif) vue comme un «reste» du substantif supprimé et la forme casuelle de l'adjectif, assumée par l'accord du substantif supprimé (accusatif$_2$)

- l'accord – non relationnel et qui ne génère pas une certaine fonction suite à la disparition de l'élément nominal, qui n'est pas sous-entendu non plus.

Solutions:

CODE 1. Il y a une *subordination* unique, réalisée par la *préposition*, par rapport à un seul terme régissant. L'accord n'est plus qu'un marqueur de cas$_2$ (accusatif), signe de la valeur catégorielle d'*adjectif*.

L'ATRIBUT obtenu ainsi est atypique et il est appelé *adjectival prépositionnel*[86].

CODE 2. L'adjectif assume aussi le statut morphologique[87] de l'élément nominal, suite à l'effacement de celui-ci (la préposition est gardée), c'est-à-dire qu'il devient un substantif, obtenu par une conversion non marquée (= sans le convertisseur substantival (par excellence) de type article)[88].

Selon cette interprétation, l'ATRIBUT (de la structure donnée) ne pose plus de «problèmes» en tant que réalisation morphologique et relationnelle (= n'implique aucun «écart»), il est donc un *ATRIBUT substantival prepozițional*[89].

4.4.2. Adjectif pronominal *possessif*[90] avec préposition: *deciziile* ***împotriva mea****, oamenii* ***din jurul său****, copacul* ***dinaintea ta***.

(1) Tout comme sous **4.4.1.**, l'ATRIBUT a apparemment deux éléments de relation – *la préposition* (*împotriva*, *dinaintea* …) et *l'accord* (accusatif$_2$).

(2) Mais l'organisation relationnelle et les complications d'interprétation sont différentes:

a. La forme d'accusatif de l'adjectif pronominal possessif ne se justifie ni par l'accord avec le terme considéré comme le terme régissant de l'ATRIBUT (*deciziile – mea, oamenii – său, copacul – ta*), ni par l'accord avec un éventuel élément nominal supprimé, en gardant la préposition, mais par l'accord avec la préposition elle-même (*împotriva mea* et non pas **împotriva meu*; *în jurul său* et non pas **în jurul sa*, etc.), la construction étant «saturée».

b. Les structures de ce type nous mettent devant un fait grammatical presque paradoxal: une préposition, élément de relation de type connectif par

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[86] C'est l'interprétation que nous avons choisie dans la classification finale, de type code 1.

[87] Voir une situation similaire: *Oamenii sunt de două feluri,* ***buni şi răi***.

[88] Il est évident qu'il y aurait la même situation dans les structures qui ont un verbe (*Te ştiu* ***de mică***).

[89] Pour une analyse détaillée de la structure "préposition + «adjectif» ", y compris de cette interprétation, voir Neamțu (2004), p. 141-148.

[90] Que le possessif soit, du point de vue strictement formel, un *adjectif à l' accusatif$_2$* (= accordé), non pas au génitif prépositionnel, et qu'il ne soit pas exclusivement un pronom, cela a été démontré d'une manière assez convaincante depuis longtemps, un grand nombre de fois et par de nombreux auteurs, de sorte que nous n'en reprenons pas ici les arguments. Pour une variante didactique, voir Neamțu (1999), p. 154-160.

excellence, avec un sens grammatical (relationnel), et non pas lexical, est, en même temps, d'une manière manifeste et explicite, le «terme» avec lequel on fait l'accord de l'adjectif, accord en vertu duquel la préposition devrait devenir son … terme régissant aussi.

c. L'explication (la justification) ordinaire de cet accord si bizarre apparemment est que les prépositions (les locutions prépositionnelles) en discussion ont une forme articulée en position enclitique, tout comme les substantifs (comparez ***contra*** *mea* avec ***decizia*** *mea*, ***în jurul*** *meu* avec ***acordul*** *meu*), et, en vertu de cette analogie ou ressemblance formelle, pour les possessifs, elles «passent pour» des … substantifs, les partenaires habituels d'accord.

Cette assimilation formelle est facilitée aussi par le fait que la majorité des prépositions (locutions prépositionnelles) de ce type (avec le génitif) contiennent des substantifs ou des mots à valeur substantivale (adjectifs, adverbes) accompagnés de prépositions au régime accusatival (en tant que séquences proclitiques ou agglutinées) – ***în*** *fața,* ***de-a*** *lungul,* ***îm****prejurul*, etc. C'est avec ces unités en hypostase de substantifs en accusatif qu'on fait l'accord des possessifs.

d. L'accusatif de ces possessifs est naturel, c'est-à-dire qu'il est obtenu par accord (accusatif$_2$), il n'est pas imposé par des prépositions qui auraient changé leur régime casuel. Par conséquent, dans cette situation nous ne pouvons pas parler d'une préposition *contra*, par exemple, qui, en tant que préposition, sélectionnerait l'accusatif par le changement du régime génitival en faveur de celui accusatival.

4.4.2.1. Solutions:

CODE 1. En y acceptant les unités *contra, împotriva, în jurul*, etc. comme prépositions qui fonctionnent du point de vue formel en hypostase substantivale, l'accord des adjectifs pronominaux possessifs se réalise à l'intérieur du groupe «préposition + adjectif pronominal possessif». Ainsi, cet accord ne peut pas apparaître (une deuxième fois) comme moyen de subordination du possessif ou du groupe tout entier par rapport à un élément substantival.

Parce que la préposition est le seul élément relationnel actif par lequel le possessif devient ATRIBUT, nous l'appelons donc *prépositionnel* (*ATRIBUT adjectival prepozițional*)[91].

[91] Nous retenons cette dénomination conformément à la tradition, quoique le nom complet (morphologique et relationnel) en soit «*ATRIBUT adjectival pronominal prepozțional*». La justification: de tous les adjectifs pronominaux, les possessifs sont les seuls qui sont *pronoms* (dans leur contenu – substitut du nom du possesseur) et *adjectifs* (dans la forme – par accord) en égale mesure. (C'est pourquoi nous employons constamment la dénomination d'*adjectifs pronominaux possessifs*, et non celle d'*adjectifs possessifs*.)

CODE 2. *L'utilité* et *la nécessité* de l'élaboration d'une autre solution, d'une *alternative*, se justifient par le constat que l'interprétation précédente (en code 1), à visée didactique, *n'est pas* une *solution*, mais plutôt une *explication* de la manière de formation de la structure, nécessaire pour justifier le statut adjectival des possessifs et leur accusatif.

Le problème de fond, l'«exception», n'est pas solutionné car il affirme *l'hypostase substantivale de la préposition*. Or, une telle solution, excepté l'équivoque, est «dangereuse» comme procédé d'analyse *sui-generis*, en accordant simultanément à une même unité deux statuts morphologiques et relationnels pas seulement différents, mais aussi incompatibles:

a. D'un côté, nous les considérons comme des prépositions, c'est-à-dire des moyens de subordination des adjectifs pronominaux possessifs par rapport à un nom régissant. En tant que tels, celles-ci, comme toutes les prépositions, sont / doivent être extérieures au lexème (au possessif), mais incluses dans la fonction qu'elles génèrent et qu'elles signalent. Du point de vue relationnel, le statut d'une telle préposition devrait être identique à celui de toute autre préposition (comparez *campania* (A) ***împotriva*** *ta* (B) avec *despărțirea* (A) ***de*** *tine* (B), c'est-à-dire A ← B. Il n'est pas question donc que ces prépositions soient elles-mêmes des termes dans la relation.

b. De l'autre côté, en «hypostase» de substantifs, elles sont des unités exclues des éléments de relations, mais elles occupent par excellence la position de termes de relation dans un syntagme de subordination, en tant que termes régissants (des adjectifs pronominaux possessifs qui s'accordent avec elles), aussi bien qu'en qualité de termes subordonnés (à un autre terme). Ainsi, les structures *copacul* (A) ***din*** *curtea* (B) *mea* (C) et *copacul* (A) ***din*** *fața* (B) *mea* (C) devraient être analysées de la même façon: A ← B ← C.

Mais, logiquement parlant, il est impossible que la même unité (comme expression et contenu) ait simultanément deux valeurs, au même niveau (= intraphrastique), dans le même contexte et par rapport au même lexème (le possessif): autant préposition (= élément de relation, connectif) que substantif (= terme)[92].

c. La conséquence en est immédiate: l'une des deux «valeurs» est *discutable* – soit celle de préposition (= d'élément de relation), soit celle de substantif (= de terme).

Puisque *l'accord* de l'adjectif pronominal possessif est un *fait objectif* de langue, celui-ci n'entre pas en discussion et donc la qualité de substantif de son partenaire d'accord non plus. Par conséquent, ce qui reste à mettre en discussion est sa qualité de préposition (= celle d'élément relationnel).

[92] La situation des éléments relatifs (pronoms, adverbes, etc.) est complètement différente: ce sont des éléments de relation au niveau interphrastique et des termes au niveau intraphrastique.

d. En vertu de ces aspects-là, une *reconsidération du statut morphologique* des prétendues prépositions (locutions prépositionnelles) avec le génitif (*contra, împotriva, în fața, în jurul, în ciuda*, etc.) apparaîtrait comme justifiée.

Elles pourraient constituer une catégorie spéciale de *substantifs*, appelés *semi-indépendants*, par exemple, individualisés du point de vue sémantique et distributionnel-syntagmatique (= employés exclusivement au singulier, à l'accusatif$_3$, en principe avec un article enclitique).

Selon cette hypothèse, elles auraient une fonction syntaxique autonome (ici[93], *ATRIBUT substantival prepozițional*), et les possessifs qui leur suivent, en vertu de l'accord «normal» et grâce à lui exclusivement (= mono-subordination), représenteraient tout seuls un *ATRIBUT adjectival (pronominal*[94]), unifiant l'interprétation syntaxique des possessifs: comparez *maşina* ***din curtea*** (A) ***ta*** (B) avec *maşina* ***din fața*** (A) ***ta*** (B) (dans les deux structures, A = *ATRIBUT substantival prepozițional*, B = *ATRIBUT adjectival (pronominal)*, réalisés de la même façon sous aspect morphologique et relationnel)[95].

4.4.3. Datif possessif avec préposition: *oamenii* ***din juru-i****, decizia* ***împotrivă-ți****, plimbările* ***de-a lungu-i****…* .

La problématique de ces structures est, en essence, la même que sous **4.4.2.**, c'est-à-dire qu'il y a apparemment deux moyens relationnels différents et incompatibles – *la préposition* et *le cas$_1$*.

Du point de vue relationnel, leur examen peut se résumer aux aspects suivants:

a. Le pronom (*-i, -ți …*) a une forme atone de datif[96] et comme toute forme atone, de datif ou d'accusatif, indépendamment du contexte, celle-ci n'apparaît pas accompagnée ou imposée par une préposition, elle n'actualise donc qu'un cas$_1$ (= un datif$_1$ dans la situation donnée[97]).

b. Les exceptions connues[98] mises à part, tout cas$_1$, donc le datif$_1$ aussi, est relationnel par lui-même (sans que quelque préposition soit

[93] La préposition, en tant que signe de l'accusatif, apparaît soit comme un segment proclitique non aglutiné, comme toute autre préposition (***în*** *jurul,* ***în*** *fața…*), soit aglutiné (***îm****potriva*), soit elliptique (*contra* = ***în*** *contra*).

[94] Pour le qualificatif «pronominal», voir *supra*, note 91.

[95] Faute d'espace, nous ne pouvons pas présenter ici les arguments pour et contre cette interprétation, avec tous les avantages (et les désavantages) pour l'analyse et la théorie grammaticale d'ensemble.

[96] Il est inutile d'argumenter la qualité de datif et non pas de génitif de cette forme pour la simple raison que le génitif n'admet pas de formes atones.

[97] Un datif$_3$ (prépositionnel) est exclu, parce que dans le cas du datif$_3$ on emploie d'autres prépositions (*datorită, grație …*) qui ne peuvent pas accompagner des formes atones.

[98] Le vocatif$_1$ détaché, le nominatif$_1$ du sujet (= terme régissant, non subordonné), différentes réalisations du nominatif$_1$ absolu, qui n'est pas encadré du point de vue relationnel dans une structure, et le nominatif$_1$ de l'apposition.

impliquée), générant des fonctions syntaxiques, l'ATRIBUT y compris, qui, devrait être donc «dativa»l sous aspect relationnel.

c. Il y a une anomalie évidente: l'apparition de ce datif$_1$ accompagné d'une «préposition» typique du… génitif (*contra, în jurul …*), qui est à son tour un moyen de subordination (élément relationnel).

d. Comme dans le cas des adjectifs pronominaux possessifs (voir *supra* **4.4.2.**), l'apparition du datif ne se justifie ni sémantiquement ni en tant que forme accompagnant le nom considéré comme terme régissant de l'ATRIBUT (dans les exemples donnés: *oamenii, decizia, plimbările*), mais en tant que forme accompagnant … la préposition, qui se manifeste comme un substantif (elle a une hypostase substantivale, joue le rôle d'un substantif) – comparez ***în juru**-ți* avec ***(la) prietenu**-ți*, ***înainte**-i* avec ***(din) parte**-i*. On voit ainsi que dans cette situation le *datif* (le datif$_1$) reste toujours *relationnel* (subordonnant), mais par rapport à une préposition.

e. L'assimilation du point de vue syntagmatique de la préposition à un substantif permet et oblige à encadrer ce datif au «datif possessif»[99], vu son sens grammatical, le datif étant équivalent avec un génitif ou un adjectif pronominal possessif, c'est-à-dire qu'il occupe la position du possesseur[100] dans le syntagme possessif (comparez *în fața-i / în fața lui (ei) / în fața sa* avec *fata-i / fata lui (ei) / fata sa*).

4.4.3.1. Solutions:

CODE 1. Une fois la fonction relationnelle du datif$_1$ (possessif) remplie dans la structure «préposition + datif$_1$ possessif», celui-ci perd sa valeur relationnelle par rapport à un autre terme, c'est-à-dire que le datif$_1$ ne peut pas être relationnel deux fois. Par conséquent, *la préposition* reste le seul moyen de subordination, ce qui justifie la représentation de celle-ci dans le nom de l'ATRIBUT – *ATRIBUT pronominal prepozițional*[101].

CODE 2. Suite à la réévaluation du statut morphologique des unités *contra, împotriva*, etc. (= incluses dans la classe des substantifs semi-indépendants, voir *supra*, **4.4.2.1.**), les structures visées regroupent deux fonctions: un *ATRIBUT substantival prepozițional* (exprimé par un substantif semi-indépendant, accusatif$_3$) et un *ATRIBUT pronominal dativa*l (= le datif$_1$ possessif tout seul).

[99] Un datif possessif «ad-nominal», plus rarement employé que le datif possessif «ad-verbal» (***Mi**-ai văzut poza în ziar?*, *Lasă-**ți** pantofii la intrare*).

[100] Nous ne discutons pas ici la (non) propriété des termes «syntagme possessif» et «possesseur» pour des groupements de ce type (datif possessif avec préposition). (Un possesseur réclame un objet possédé dont la position est représentée ici par la…préposition, qui, en tant que préposition, ne peut pas assumer ce rôle.)

[101] Voir, pour la même dénomination, *GALR* (2005), II, p. 603. La dénomination proposée avant (*ATRIBUT pronominal prepozițional dativa*l – voir Neamțu (1999), p. 158) doit être abandonnée.

4.5. L'ATRIBUT exprimé par des *locutions* a un statut compliqué par ailleurs en ce qui concerne les moyens de subordination, d'où le problème de leur intégration relationnelle (avec les dénominations afférentes).

Du point de vue relationnel, nous distinguons deux types:

4.5.1. Des locutions organisées structurellement selon le «modèle» des *syntagmes subordonnants*, qui comportent un centre structurel (= terme régissant) et des termes «subordonnés». Le terme régissant, qui fonctionne comme tel pour toute la locution, a le même statut morphologique que le terme d'identification de la locution[102]. Ce modèle est valable pour les locutions substantivales, verbales et pour certaines locutions adjectivales: ***şirul aducerilor aminte*** (*aducerilor* = génitif$_1$ => *aducerilor aminte* = génitif$_1$; comparez avec ***şirul amintirilor***), *mersul* ***cu băgare de seamă*** (*cu băgare* = accusatif$_3$ (prépositionnel) => *cu băgare de seamă* = accusatif$_3$ (prépositionnel); comparez avec *mersul* ***cu atenție***), *plăcerea* ***de a trage pe sfoară*** (*de a trage* = infinitif avec préposition => *de a trage pe sfoară* = infinitif avec préposition; comparez avec *plăcerea* ***de a înşela***), *e un individ* ***dat dracului*** (*dat* = nominatif$_2$ (accordé) => *dat dracului* = nominatif$_2$ (accordé); comparez avec *individ* ***şmecher***).

Le comportement grammatical de ces locutions étant le même que celui des parties de discours équivalentes, la classification relationnelle de l'ATRIBUT exprimé à travers ces locutions est la même que celle de l'ATRIBUT non-locutionnel correspondant (dans cette situation, substantival, verbal, adjectival). Le nom de l'élément relationnel est marqué de la même façon dans le nom de la fonction syntaxique: *ATRIBUT substantival locuțional genitival, ATRIBUT substantival locuțional prepozițional, ATRIBUT infinitival locuțional prepozițional, ATRIBUT adjectival locuțional*[103] et ainsi de suite.

Le qualificatif «locutionnel» ne fournit ici que des informations *morphologiques* sur l'ATRIBUT (= la qualité d'être exprimé par une locution), non pas relationnelles.

4.5.2. Des locutions qui n'ont pas un centre structurel, identique du point de vue morphologique avec le terme d'identification, locutions organisées d'une manière hétérogène du point de vue relationnel et morphologique. Les locutions adverbiales et la plupart des locutions adjectivales appartiennent à cette catégorie.

D'après le nombre des composantes à sens lexical plein, on distingue:

(1) Locution avec une organisation *simple*, du type «préposition + mot à sens lexical plein» (sans tenir compte du statut morphologique primaire: nom, pronom, adverbe, verbe (forme non personnelle), etc.): *om* ***în etate****, vorbe* ***de duh****, cetățean* ***de seamă****, întâmplare* ***de pomină****, om* ***în***

[102] Les autres éléments composants de la locution ne sont que des expansions (déterminatives) du terme régissant.

[103] Dans le cas de l'*ATRIBUT adjectival*, le nom de l'élément relationnel (= l'accord = la désinence de genre, nombre et cas) est inclus dans son nom.

stare *(de…), oamenii* ***din jur****, deteriorarea de tot* (a…), *mâncăruri* ***pe alese***, *casa* ***din față***, *apreciere* ***în general***, *răspândirea* ***peste tot*** (a…), *iubitul* ***pe ascuns***, *întoarcerea* ***cu bine***, *plimbările* ***pe înserate***, etc.

(2) Locutions à structure complexe (à plusieurs membres), du type subordonnant ou coordonnant: *om* ***cu scaun la cap***, *vorbă* ***în doi peri***, *vorbă* ***în dorul lelii***, *lupta* ***cot la cot***, *învățatul* ***zi de zi***, *vizitele* ***din când în când***, *o pregătire* ***aşa şi aşa***, *susținerea* ***sus şi tare*** *(a…)*, *plata* ***cu vârf şi îndesat***, *oameni* ***care mai de care***, ***fel de fel de*** *întrebări*, *gospodari* ***tot unul şi unul***, *lână* ***sută la sută***, *sosirea* ***pe nepusă masă***, *plecarea* ***cu noaptea-n cap***,etc.[104]

L'identification de l'élément relationnel de ces locutions, ainsi que la typologie relationnelle de l'ATRIBUT qu'elles réalisent sont problématiques, autant pour les exemples cités sous (1) que pour ceux cités sous (2).

4.5.2.1. Dans le cas des premiers, l'élément de relation, du moins d'un point de vue mécanique, semble être la préposition (*oameni* ***de*** *seamă*, *copiii* ***din*** *jur*, *mâncatul* ***pe*** *apucate*, etc.). Nous ne manquons pas de remarquer ici que la préposition est un connectif pour la composante lexicale «pleine» de la locution, tout en étant située à l'intérieur de la locution, et non pas à l'extérieur, c'est-à-dire il n'y a pas de locution en l'absence de la préposition.

(Dans un exemple du genre *oameni* ***de seamă***, la préposition *de* revient au substantif *seamă*, auquel elle confère le cas accusatif$_3$ et non pas à la locution *de seamă*, car *seamă* ≠ *de seamă*.)

Quant aux propriétés relationnelles de la préposition, nous sommes devant l'alternative suivante:

a. soit la préposition est *relationnelle* pour la *locution* dans son ensemble (=extralocutionnelle), et elle en est en même temps une composante obligatoire (=intralocutionnelle), contredisant ainsi le statut général des connectifs du type prépositionnel[105],

b. soit la préposition n'est qu'un élément constitutif de la locution, un membre «de plein droit», non relationnel, qui «imite» seulement du point de vue de son positionnement son hypostase prépositionnelle dans les syntagmes libres.[106]

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[104] Pour un inventaire illustratif et pour certains des exemples cités ici, voir *GALR* (2005), I, p. 179, 590-591.

[105] La préposition, comme son nom l'indique d'ailleurs, précède un «mot», qu'elle régit du point de vue syntaxique, mais elle n'est pas intégrée au mot respectif, comme si elle était un segment fléchi (flectif) de relation, symbole d'une catégorie grammaticale. (La qualité de morphèmes proprement dits des prépositions figurant dans les locutions n'a pas encore été démontrée).

[106] C'est aussi le cas de la préposition en tant qu'élément constitutif de la structure des prépositions composées, des locutions prépositionnelles et conjonctionnelles (***de*** *la*, ***pe*** *la*, ***de*** *peste,* ***fără*** *de,* ***pentru*** *că,* ***după*** *ce,* ***cu*** *toate că*, etc.).

La conclusion est évidente: une fois «incluse» dans la locution, celle-ci perd un élément de relation positif du côté de l'expression.

4.5.2.2. Il est d'autant moins probable que nous puissions identifier un élément de relation positif dans le cas des locutions présentées sous (2):

(a) Du point de vue mécanique, chacune des composantes a un élément de relation, soit du même type (répété), soit d'un type différent, de sorte qu'il est impossible de conclure si la locution, de par ses composantes, se subordonne plus qu'une fois ou seulement une fois (comme un tout) et par quel élément de relation cela se réalise.

(b) Quelle que soit la structure de la locution, ses composantes considérées séparément relèvent des éléments de relation impossibles ou bizarres, de sorte que l'idée d'une relation par composantes ne peut pas être acceptée, à moins qu'il ne soit pas question d'une «désintégration» de la locution.

NOTE. Une possible interprétation des locutions par composantes, comme des *syntagmes conditionnés*[107], qui justifie en partie les éléments de relation corrélatifs ou bizarres conduit au même résultat: la «désintégration» des locutions en tant qu'entités grammaticales et leur analyse en rapport avec un terme régissant en tant que combinaisons libres.

(c) De par leur nature, les locutions sont une sorte d' «éléments préétablis» (existant en tant qu'unités linguistiques à structure donnée), qui se rattachent au terme régissant par simple juxtaposition; syntaxiquement parlant, elles sont donc *adhérentes*, c'est-à-dire que, du point de vue de l'expression, *l'élément de relation* est *zéro*.

4.5.3. Etant donné que tout ATRIBUT adverbial et adjectival exprimé par des locutions se trouve dans la même situation[108], nous pourrons convenir à déduire du qualificatif «locutionnel» non seulement l'information morphologique (= réalisation par des locutions), mais aussi l'information relationnelle spécifique (= adhérence (de groupe)). C'est la raison pour laquelle nous trouvons que la dénomination «ATRIBUT adjectival locutionnel ou ATRIBUT adverbial locutionnel» serait suffisante comme extension.[109]

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[107] Définis et inventoriés par Draşoveanu (1997), p. 154-156. Si nous mettions en application cette thèse aux locutions du type: ***plecarea*** (A) *lui* ***zi*** (B) ***de zi*** (C), ***susținerea*** (A ***) sus*** (B) ***şi tare*** *(C),* ***plecările*** (A) ***din când*** (B) ***în când*** (C), nous aurions la relation AB, et BC.

[108] Dans certains cas, une locution adverbiale peut comporter une préposition, élément non inclus, évidemment, dans la locution, et de ce fait même, à valeur relationnelle: *evenimentele* ***de*** *după aceea*, *oamenii* ***de*** *peste tot*. Dans de telles situations, nous avons sans doute affaire à un ATRIBUT adverbial locutionnel prépositionnel.

[109] Vu que, le plus souvent, le concept d' «adhérent» est opposé à celui de «prépositionnel» (il y a donc une synonymie approximative entre «adhérent» et «non prépositionnel», du moins dans le cas de l'ATRIBUT adverbial ou adverbial locutionnel), nous pourrions toujours y insérer le qualificatif «non prépositionnel», en tant que terme final du nom de la fonction syntaxique. Nous rendons ainsi explicite du point de vue terminologique la relation par adhérence.

4.6. Une classification relationnelle de l'ATRIBUT verbal, réalisé par des formes verbales non personnelles, réclamerait une préclassification morphologique selon le type de «mode verbal non personnel»; il en résulte trois groupes, appelés en conséquence «*gerunzial*» (réalisé par un participe présent – «gerunziu» en roumain), *infinitival* et *exprimés par un «supin»* («supinale»)[110].

La raison de cette classification tripartite est basée sur les différences entre les trois modes non personnels, tant du point de vue de l'expression (des éléments de flexion qui leur sont propres, bien individualisés) que de celui de leur contenu grammatical, qui se transmet aussi, d'une façon ou d'une autre, à leur fonction d'ATRIBUT.

Grâce aux types d'éléments de flexion modaux non personnels spécifiques, nous pouvons concevoir également une individualisation relationnelle, quoique son degré de relevance sur le plan sémantique se différencie nettement par rapport à d'autres types d'ATRIBUT (substantival, pronominal, etc.).

4.6.1. Dans le cas de l'ATRIBUT «gerunzial» (réalisé par un participe présent en français[111]), le mode même est *relationnel* (subordonnant), catégorie dont le support au niveau de l'expression est le *segment fléchi modal* [112](= les suffixes du «gerunziu» (du participe présent) – *ând*, - *ind*)[113].

Etant donné que le «gerunziu» roumain ne connaît pas d'hypostases relationnelles (n'apparaît pas en principe en présence d'une préposition et ne s'accorde pas non plus[114]), celui-ci réalise un seul type d'ATRIBUT verbal. Son moyen de subordination, le segment fléchi typique du «gerunziu» (participe présent)[115], le seul possible, est impliqué du point de

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[110] Pour l'ATRIBUT participial, voir *infra*, **4.6.4.**

[111] Exemples: *oameni **alergând** prin ceață*, *raport **privind** activitatea …*, *fată **uitându-se** în oglindă*, *animale **murind** de foame*.

[112] Voir Draşoveanu (1997), p. 91.

[113] Dans l'hypothèse que ce que nous appelons ATRIBUT «gerunzial» est en réalité une réduction à un gérondif d'une relative, alors le suffixe du gérondif en tant que segment fléchi relationnel se situe au niveau interpropositionnel.

[114] Par son accord, le gérondif sort du paradigme verbal pour devenir un adjectif à part entière. Pour les situations ambiguës, voir *GALR* (2005), II, p. 604. (Des dénominations du type «gerunziu acordat» vs. «gerunziu neacordat» (en français gérondif accordé vs. gérondif non accordé) ne sont pas des plus heureuses, la première renfermant une contradiction dans les termes et la seconde frôlant le pléonasme.)

[115] Sous-espèce des flectifs modaux. C'est la raison pour laquelle une dénomination du type «ATRIBUT gerunzial modal» (en français, «complément du nom gérondival modal») ou «ATRIBUT modal gerunzial» (en français, «complément du nom modal gérondival») ne se justifie pas, de même qu'une dénomination du type «ATRIBUT genitival cazual» (en français, «complément du nom génitival casuel») ou «ATRIBUT cazual genitival» (en français, «complément du nom casuel génitival»), qui juxtapose le genre à l'espèce (ou inversement).

vue terminologique dans le nom du mode. Par conséquent, en roumain: *ATRIBUT gerunzial* (épithète participiale en français).

REMARQUE. Une autre dénomination, extensive, comme ATRIBUT verbal «gerunzial» serait redondante, puisque la forme verbale non personnelle appelée en roumain «gerunziu» est exclusivement verbale. Le qualificatif «verbal» se justifie uniquement en tant que terme générique, supraordonné, qui oppose en bloc l'ATRIBUT verbal aux autres catégories d'ATRIBUT, établies selon le critère morphologique (ATRIBUT substantival ou pronominal) [116].

4.6.2. En ce qui concerne l'infinitif à fonction d'ATRIBUT, celui-ci est associé obligatoirement à l'affixe proclitique *a*.

Selon l'interprétation du statut morphologique de *a*, il y a possibilité ou impossibilité de dresser une classification à deux membres individualisés du point de vue terminologique:

(1) Si *a* est considérée comme une préposition, l'ATRIBUT infinitival est d'un seul type, *prépositionnel*, qu'il s'agisse d'une seule préposition (*a*), celle qui est «spécifique» de l'infinitif (*vine vremea* ***a*** *pricepe omul*, *are aerul* ***a*** *spune că*…[117]) ou bien d'un «groupe»[118] prépositionnel (*de/în/pentru/spre/în loc de*…+ *a*): *dorința* ***de a progresa***, *ocazia* ***pentru a****-i* ***spune*** *adevărul, iscusința* ***în a****-i* ***convinge*** *pe alții, plecarea* ***înainte de a se înser****a, plecarea de acasă* ***fără a anunța*** *pe nimeni*[119].

(2) Au contraire, si *a* est considéré comme un morphème de l'infinitif du type affixe (proclitique), il est de ce fait même *intrainfinitival* (= sous-unité du segment fléchi discontinu de l'infinitif[120]). C'est une approche agréée par la plupart des grammairiens[121], qui justifie la classification suivante:

a. ATRIBUT *infinitival prépositionnel*, ayant comme moyen exclusif de subordination la *préposition* (la locution prépositionnelle), l'infinitif (y compris *a*) se situant, du point de vue fonctionnel, au même rang qu'un cas prépositionnel (l'élément de relation est la préposition et non pas le segment fléchi modal/casuel).

Dans cette dénomination de l'ATRIBUT, le dernier terme (= «prépositionnel») renvoie explicitement au moyen de subordination, et l'avant-dernier terme (=«infinitival», sous une forme abrégée «réalisé par un verbe à l'infinitif») est un moyen de classification morphologique, et *non pas* un

[116] Nous rappelons que dans la terminologie roumaine, tous les déterminants du substantif sont appelés ATRIBUT. Mais en français, on fait la distinction entre l'épithète (à réalisation adjectivale ou participiale – en roumain, «atribut adjectival» ou «atribut verbal») et le complément du nom (à réalisation nominale ou pronominale – en roumain, «atribut substantival» ou «atribut pronominal»).

[117] Voir *GLR* (1963), II, p. 137, y compris pour la remarque que ces constructions sont rares.

[118] De tels regroupements ne peuvent être considérés ni comme des prépositions composées, ni comme des locutions prépositionnelles.

[119] Nous précisions qu'il s'agit de l'interprétation de Draşoveanu (1997), p. 85.

[120] Voir pour le même sujet *LRC* (1985), I, p.231; Pană Dindelegan (1994), p. 42.

[121] Nous partageons la même conception.

second moyen de subordination (comme, par exemple, l'ATRIBUT génitival prépositionnel, formule illogique et insolite, qui, du point de vue relationnel, met l'un à côté de l'autre deux moyens qui s'excluent réciproquement (soit $cas_{1,}$ soit préposition).

b. ATRIBUT *infinitival*, réalisé du point de vue relationnel par le mode même (=l'affixe proclitique *a*), l'infinitif s'avérant subordonnant (=catégorie de relation), comme le «gerunziu» (en français, «le participe présent»).

Nous ajoutons les remarques suivantes:

b_1. La dénomination proposée, à deux termes, asymétrique par rapport à celle de a., se justifie par ce qu'elle renvoie sans équivoque au moyen de subordination, la qualification «infinitival» occupant ainsi une position naturelle à l'intérieur de la dénomination, celle de marqueur de la relation.

Nous préférons cette dénomination à une autre, symétrique, à trois termes (ATRIBUT infinitival *non prépositionnel*), pour deux raisons:

- Dans cette dernière dénomination, il apparaîtrait dans la position finale, celle du mode de relation, un terme «négatif» (=non prépositionnel), qui dirait par quoi l'ATRIBUT **ne** se subordonne **pas**; ce n'est que par glissement régressif que celle-ci renverrait à l'information «positive» du terme précédent (l'infinitif).

- Le qualificatif «non prépositionnel» comporterait ici une certaine ambiguïté: étant donné la synonymie fréquente «non prépositionnel – adhérent», il serait possible d'interpréter cet ATRIBUT du point de vue relationnel comme étant subordonnée par «adhérence».

b_2. La subordination au moyen de l'élément de flexion infinitival *a*, et non pas par adhérence, est basée sur son caractère relationnel, qui est justifié par son origine prépositionnelle: l'abstraction et la grammaticalisation d'une préposition jusqu'au statut de morphème (d'une catégorie grammaticale) ne peut annuler[122] son caractère relationnel d'origine[123].

REMARQUE. Notre recherche ne s'intéresse pas à l'examen d'ensemble de l'infinitif (avec ou sans *a*) du point de vue relationnel.

4.6.3. L'ATRIBUT exprimé par un «supin»[124] est toujours prépositionnel, et par conséquent le problème de sa classification relationnelle ne se pose pas.[125]

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[122] Ce caractère pourrait éventuellement «s'affaiblir», ce qui justifierait l'emploi prépositionnel de l'infinitif dans la langue actuelle.

[123] Par exemple, dans le cas de *pe*, qu'il soit une préposition proprement dite ou un morphème, il reste toujours un élément de relation. La situation est semblable à celle de l'affixe proclitique *a* du génitif (datif possessif) analytique et à celle de *să* dans les subordonnées conjonctives.

[124] Des raisons subjectives, étrangères à la science de la grammaire, empêchent la circulation du qualificatif «supinal», qui est pourtant parfaitement justifié en tant que modèle terminologique.

[125] Malgré la présence permanente de la préposition à côté du «supin» (*de, la, în*): *maşina* ***de scris****, mersul* ***la cules*** *cartofi*, celui-ci n'est pas une forme verbale analytique, et les unités proclitiques ne sont pas des morphèmes, mais des prépositions à part entière. Pour une discussion récente, voir Neamțu (2006), p. 13-28.

4.6.4. Un statut particulier (plutôt morphologique que relationnel) caractérise l'ATRIBUT réalisé par un participe (en français, participe passé): du point de vue formel, il est toujours un adjectif (variable, à quatre formes flexionnelles, se subordonnant par l'accord), et du point de vue grammatical, il est soit un verbe (*om **bătut** de soartă, lecție bine **învățată***), soit un adjectif (*om **citit**, pomi **înfloriți**, femeie **îngândurată***).[126]

Faisant abstraction de sa «valeur» (verbale vs. adjectivale), tenant compte seulement de son comportement formel, les grammaires le rangent constamment dans la catégorie de l'ATRIBUT adjectival[127]. Par ce classement, le participe disparaît en tant que forme verbale non personnelle indépendante du point de vue syntaxique[128]. Autrement dit, il est classé comme adjectif, une sous-catégorie selon son origine (adjectif participial).

L'inconvénient le plus important de cette assimilation est représenté par le traitement différent, dans une perspective théorique plus large, de la même forme participiale quand elle a un sens passif (verbal) évident: *ATRIBUT* adjectival réalisé par un *adjectif* (*fructele **adunate** de copii*), mais *verbe* comme constituant d'une *construction* (*diathèse) passive* (*Fructele au fost **adunate** de copii.*).[129] Si nous faisons la distinction entre «participe-verbe vs. participe-adjectif» du point de vue de la sémantique grammaticale, nous pouvons apporter des arguments en faveur d'un *ATRIBUT participial*, sous-espèce de l'ATRIBUT verbal[130], catégorie réduite au participe à contenu verbal, généralement à sens passif (le même que le participe de la diathèse passive); l'autre participe (= à sens adjectival, appelé donc adjectif participial) est classé dans la catégorie de l'ATRIBUT adjectival.

Du point de vue relationnel, les deux catégories d'ATRIBUT ne peuvent pas être individualisées l'une par rapport à l'autre, puisqu' elles *s'accordent* toutes les deux. (Le nom de l'élément de relation se retrouve dans le nom de la classe de mots – adjectif, verbe au participe).

L'inconvénient de cette distinction (ATRIBUT adjectival - ATRIBUT participial) est de nature pratique: la difficulté de les distinguer l'un par rapport à l'autre dans beaucoup de situations rend cette distinction assez faible.

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[126] Pour un réévaluation détaillée et moderne des valeurs du participe selon les catégories de verbes et la prédominance d'une valeur ou d'une autre, voir aussi Pană Dindelegan (2003), p. 116-132.

[127] Solution ferme aussi bien dans *GLR* (1963), II, chap. **ATRIBUTUL**, que dans *GALR* (2005), II, p. 594 et suiv.

[128] Nous ne faisons pas allusion, bien sûr, au «participe verbal invariable» dans la structure des modes et des temps composes, où il ne figure que comme sous-unité (*am **citit***, *vom fi **citit***).

[129] Il est difficile de distinguer des différences majeures entre les deux types de participe du point de vue de la flexion, du sens ou de l'autonomie grammaticale. A consulter Draşoveanu (1997), p. 135-142; Neamțu (2006), p. 13-28.

[130] Voir, dans le même sens, Constantinescu-Dobridor (1998), p. 175.

4.7. Dans la catégorie des pronoms qui remplissent la fonction d'ATRIBUT nous incluons également une classe à part, celle des pronoms «semi-indépendants», respectivement le «démonstratif» *cel, cea, cei, cele…* et le «possessif» *al,a, ai, ale, alor*, ne serait-ce que dans la situation où ils occupent la position *centrale* d'un syntagme[131], illustrant les types «habituels» d'ATRIBUT pronominal:

a. génitival: *dorința* ***celor*** *trei, părerea* ***celui*** *de-al doilea, pedepsirea* ***celo****r vinovați, necazurile* ***celui*** *bătut de soartă, deciziile* ***celor*** *de la centru, averea* ***alo****r mei;*

b. datival: *nepot* ***celui*** *de-al doilea, prieten* ***celor*** *bogați (celor fără noroc), trimiterea de ajutoare* ***celor*** *din zonele calamitate, duşman* ***alor*** *noştri.*[132];

c. prépositionnel (génitif $_3$, datif $_3$, accusatif $_3$): *campania* ***împotriva celor*** *corupți, coaliția* ***în jurul celor*** *cu idei, sentința* ***împotriva alor*** *mei, o victorie* ***grație celor*** *doi, o reuşită* ***mulțumită alor*** *mei, cadourile* ***pentru ai*** *tăi, discuția* ***cu ai*** *vecinului.*

4.7.1. Quant aux associations du type « *de* + *al* + possessif ou génitif[133]» (*un prieten* ***de-ai mei*** */un prieten* ***de-ai vecinului***, *câțiva colegi* ***de-ai tăi /*** *câțiva colegi* ***de-ai fiului*** *meu*), nous faisons les remarques suivantes:

a. *De* est et reste une préposition en tant que telle (= un élément relationnel), engendrant une fonction (ici ATRIBUT) du type *prépositionnel*.

b. *Al* (sous la forme du pluriel *ai, ale*) est un pronom possessif semi-indépendant à l'accusatif$_3$, régi par la préposition *de* (à sens partitif), occupant tout seul la fonction syntaxique d'ATRIBUT pronominal *prépositionnel*.

c. L'adjectif pronominal possessif postposé à *al* se subordonne à celui-ci par accord (= accusatif$_2$), ayant une fonction syntaxique à lui – ATRIBUT *adjectival*. (*Al* constitue, à côté du possessif, un syntagme possessif). Une fonction à part est assignée également au nom (pronom) au génitif (= génitif$_1$) qui est placé après *al* – ATRIBUT substantival ou pronominal *génitival*. Par conséquent, les syntagmes en question ne sont pas monofonctionnels, mais *bifonctionnels*.[134]

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[131] Voir au sujet des pronoms semi-indépendants, ainsi que pour la bibliographie, Pană Dindelegan (1994), p. 37-48.

[132] Ce datif possessif, espèce vieillie même en roumain, est traduit par une construction à sens génitival.

[133] Classées par *GALR* (2005), II, p. 599-602, dans la catégorie de l'ATRIBUT génitival (substantival ou pronominal).

[134] Si ce n'était pas le cas, il nous serait impossible d'établir en roumain le type d'ATRIBUT (du point de vue relationnel): ATRIBUT génitival ou prépositionnel? (La solution fournie par *GALR* (2005), II, p. 599 – «ATRIBUT génitival précédé de la préposition *de*» n'est pas convenable.)

REMARQUE. Par analogie avec ceux-ci, nous pouvons interpréter de la même façon les constructions avec *de* «non partitif[135]» (*al/a* au singulier): *un prieten **de-al** meu, un coleg **de-al** fiului meu*.[136]

4.8. L'apposition[137] est un phénomène de langue à part, impossible à ranger selon les relations syntaxiques (par subordination ou par coordination) dans un groupe syntaxique; par conséquent, ce n'est pas une fonction syntaxique proprement dite, qu'elle soit de type ATRIBUT ou autre.[138] (C'est la raison pour laquelle elle ne figure pas dans la classification ci-dessous).

REMARQUE. Il faut *distinguer* entre *apposition* et *ATRIBUT nominatival* (= une «fausse apposition»[139]) – *râul **Mureş**, strada **Coşbuc**, profesorul **Ionescu**, cifra **zece***, etc., distinction acceptée aussi dans *GALR* (2005), II; dans ces constructions nous avons un ATRIBUT substantival nominatival («atribut substantival în nominativ», p. 601), et en tant que sens grammatical, il est considéré comme un ATRIBUT catégoriel (p.630)[140].

5. Mettant à contribution toutes les distinctions que nous avons faites ci-dessus, nous proposons dans ce qui suit une classification catégorielle-relationnelle de l'*ATRIBUT* en roumain (avec les dénominations spécifiques et les abréviations respectives), en gardant entre parenthèses les correspondants approximatifs de la terminologie française:

5.1. ATRIBUT SUBSTANTIVAL ou ***ATRIBUT SUBSTANTIVAL LOCUȚIONAL*** (complément du nom **substantival**):

A. Réalisé par une forme **casuelle** (= cas_1):

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[135] Voir au sujet de l'interprétation sémantique des deux constructions (la relation de non unicité – la relation partie-tout), *GALR* (2005), II, p. 599.

[136] Sinon, nous refusons à *de* la qualité de préposition et implicitement celle d'élément relationnel, mettant de plain-pied, malgré leurs différences sémantiques, les constructions avec *de* et celles sans *de* (*un prieten **de-al meu** – un prieten **al meu**; un musafir **de-al lor** – un musafir **al lor***).

[137] L'apposition réelle, parenthétique (=explicative), ayant des marques spécifiques (les pauses intonatives).

[138] Cette interprétation est formulée explicitement pour la première fois en syntaxe du roumain par Draşoveanu (1961), p. 429-437; elle est reprise avec des arguments supplémentaires (logiques, sémantiques, syntaxiques) par le même auteur en 1982, p. 37-46 (reproduite en 1997, p. 111-131). Cette position est reprise, avec certaines différences de terminologie, par *GALR* (2005), II, p.619 et suiv.

[139] Voir Draşoveanu (1982), p. 37 et suiv., qui met en évidence avec des arguments le caractère non appositionnel de cette construction, et qui institue l'opposition *apposition réelle* (≠ fonction ≠ ATRIBUT) / *fausse apposition* (= fonction = ATRIBUT).

[140] Pour enlever toute ambiguïté, il aurait été plus convenable de dresser une seule catégorie d'apposition et de la remettre «à sa place», en tant qu'ATRIBUT, et de ne pas en faire deux types distincts (*ATRIBUT* – p. 601, et *apposition* – p. 630-631). L'ambiguïté commence d'ailleurs dans le premier volume, p. 299, où l'ATRIBUT nominatival («atribut în nominativ») réalisé par un numéral à «valeur substantivale» (*ora **14***, *anul **2001***, *maşina **313***, etc.) est considéré comme une….apposition.)

(1) ATRIBUT SUBSTANTIVAL NOMINATIVAL[141]– ASN (au **nominatif)**: *râul **Someş**, doctorul **Popescu**, oraşul **Dej***[142]

(2) ATRIBUT SUBSTANTIVAL GENITIVAL – ASG (au **génitif**), avec ou sans *al (a, ai ale)*, à réalisation:

a. synthétique: *cartea **elevului**, plăcerea **aducerilor aminte**, o decizie **a decanului***

b. analytique (avec l'affixe proclitique *a*): *mama **a** trei **copii**, dorința **a** numeroşi **participanți***[143]***;**

(3) ATRIBUT SUBSTANTIVAL DATIVAL – ASD (au **datif**), à réalisation:

a. synthétique: *cumnat **mamei** mele, înmânarea de premii **elevilor***

b. analytique (avec l'affixe proclitique *a*): *mamă **a** trei **copii***[144]

(4) ATRIBUT SUBSTANTIVAL ACUZATIVAL – ASA (à **l'accusatif**) à réalisation:

a. synthétique (Acc.$_1$ de la temporalité, mais non pas exclusivement): *statul **ore** în şir la coadă, şederea atâta **vreme** în străinătate, mersul **kilometri** pe jos*[145].

b. analytique (à l'aide du morphème *pe*), régi par des noms correspondant à des verbes transitifs qui maintiennent leur régime en tant que substantifs: *ura (invidia, pizma) lui **pe** Ion*[146]

(5) ATRIBUT SUBSTANTIVAL VOCATIVAL - ASV (au **vocatif**): *bade **Ioane**, nene **Iancule***[147]*.*

B. A réalisation **prépositionnelle** (cas$_3$):

(6) ATRIBUT SUBSTANTIVAL PREPOZIȚIONAL – ASP (Complément du nom **prépositionnel**), quelle que soit la forme casuelle réclamée[148], respectivement:

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[141] «La fausse apposition»

[142] Nous rangeons ici ce que *GALR* (2005), II, p. 601 appelle ATRIBUT non marqué du point de vue casuel (*numirea acestui ins **ministru*** , mais ayant un autre sens grammatical et une certaine histoire générative.

[143] Le type de réalisation (synthétique vs. analytique) n'est pas relevant, c'est pourquoi il ne figure pas dans la dénomination.

[144] Nous pouvons ranger ici également les occurrences avec la préposition *la* (*transmiterea de felicitări **la** toată **lumea** prezentă în sală*).

[145] Voir pour le dernier exemple, *GALR* (2005), II, p.601 (en roumain «substantiv în acuzativ non prepozițional»). (Cet ATRIBUT, à part l'accusatif de la temporalité, provient d'un complément interne d'un verbe intransitif par sa nominalisation: *a mers **kilometri** pe jos → mersul **kilometri** pe jos*).

[146] Signalée et décrite par Draşoveanu (1976), p. 79-82. Dans *GALR* (2005), II, cette réalisation substantivale n'est pas mentionnée; en revanche, nous la retrouvons parmi les réalisations pronominales.

[147] Voir, pour cette réalisation, comme déviation d'un ASN, Neamțu (1999), p. 48-49.

[148] Etant donné que la forme casuelle est ici non relationnelle, ce rôle étant assumé exclusivement par la préposition, le qualificatif «prépositionnel» se justifie pour des raisons relationnelles. Pour les «réserves», voir Dimitriu (2002), p. 1352, note 598.

- génitif$_3$ (synthétique ou analytique): *campania* ***împotriva corupției****, decizia* ***împotriva a*** *trei* ***sportivi*** *indisciplinați*

- datif$_3$ (synthétique ou analytique): *o victorie* ***grație*** *bunei* **pregătiri**, o *reuşită* ***grație a şapte participanți***[149]

- accusatif$_3$: *masă* ***de lemn***.

5.2. ATRIBUT PRONOMINAL[150] (Complément du nom à réalisation **pronominale**)

A. Réalisé par une forme **casuelle** (=cas $_1$)[151]:

(1) ATRIBUT PRONOMINAL GENITIVAL -APG (au **génitif**), avec ou sans *al (a, ai, ale)*, à réalisation:

a. synthétique (y compris les pronoms semi-indépendants *al* et *cel)*: *cartea* ***ei (lui, lor, celorlalți, oricui, dumneavoastră****), un prieten* ***al tuturor****, dorința* ***alor*** *mei, prietenul* ***celor*** *care…* , *duşmanii* ***celor*** *vinovați*

b. analytique (avec l'affixe proclitique: *stăpânul* ***a toate*** *câte există*

(2) ATRIBUT PRONOMINAL DATIVAL – APD (au **datif**), à réalisation:

a. synthétique: *prieten* ***nouă****, dorința-****i****, amintirea-****ți****, din parte-****mi***[152]*, duşman* ***celor*** *care…, prieten* ***alor*** *mei*

b. analytique (avec l'affixe proclitique *a)*: *domn* ***a tot*** *ce există*

(3) ATRIBUT PRONOMINAL ACUZATIVAL – APA (à l'**accusatif**), exclusivement en présence du morphème *pe*: *invidia (ura, pizma) lui* ***pe mine (pe tine, pe ceilalți, pe oricine…***)[153].

B. A réalisation **prépositionnelle**:

(4) ATRIBUT PRONOMINAL PREPOPZIȚIONAL- APP (Complément du nom **prépositionnel** à réalisation pronominale):

a. à un cas$_3$ (synthétique ou analytique)[154]: *oamenii* ***din fața lui****, o reuşita* ***grație voua****, cadoul* ***de la tine****, discuția* ***cu ai*** *vecinului, nişte rude* ***de ale*** *soției, lupta* ***cu cei*** *care…, izbânda* ***grație a ceea*** *ce mi-ai dat, decizia* ***împotriva alor*** *tăi*

[149] Voir, pour cet exemple et pour une interprétation identique, Pană Dindelegan (2003), p. 14.

[150] Le statut moins clair des locutions pronominales et leur nombre réduit justifient notre réserve concernant un ATRIBUT pronominal locutionnel.

[151] La classification est la même que dans le cas de l'ATRIBUT substantival, mais le nombre des sous-divisions est considérablement plus réduit.

[152] Ce sont des pronoms (réfléchis ou personnels) atones au datif possessif adnominal. Conformément à *GALR* (2005), II, p. 441 et suiv, le datif possessif adverbal (***m****i-ai văzut câinele?****, îşi*** *aşteaptă musafirii*) constitue une fonction en dehors de l'ATRIBUT, c'est-à-dire le *complément possessif*.

[153] Ce type d'ATRIBUT a été mentionné dans *GALR* (2005), II, p. 603, mais il a été classé dans la catégorie de l'ATRIBUT *prépositionnel*, solution qui n'est pas tout à fait convenable (en roumain, «atribut pronominal în acuzativ cu prepoziție»), annulant en fait la distinction *pe* «préposition» vs. *pe* «morphème».

[154] A l'exception de l'accusatif $_3$ analytique.

b. à un cas_1(=datif possessif), avec préposition: *prietenii **din juru-ți***[155].

5.3. ATRIBUT ADJECTIVAL** ou **ADJECTIVAL LOCUȚIONAL

A. Réalisé par **l'accord** (cas^2 + $genre_2$ + $nombre_2$) (**épithète**):

(1) ATRIBUT ADJECTIVAL **(épithète)**[156]: *carte **interesantă**, **orice** problemă, copilul **meu**, rană **sângerândă**, om **cinstit***

B. A réalisation **prépositionnelle**:

(2) ATRIBUT ADJECTIVAL PREPOZIȚIONAL (Complément du nom à réalisation **prépositionnelle**):

a. préposition + adjectif pronominal possessif ($accusatif_2$): *maşina **din fața ta**, oamenii **din jurul tău***[157]

b. préposition + adjectif qualificatif ($nominatif_2$): *plecarea ei **de mică***[158]

C. Réalisé par **adhérence:**

(3) ATRIBUT AJECTIVAL LOCUȚIONAL (épithète à réalisation **locutionnelle**): *om **în stare** de crimă, o fată **de mai mare dragul**, invitați **care mai de care**…*[159].

5.4. ATRIBUT NUMERAL (épithète réalisée par un **numéral**[160]):

I. Réalisé par **un numéral à valeur substantivale**:

A. Réalisé par une forme **casuelle** (= cas_1):

(1) nominatival (au **nominatif**): *plecarea la ora **zece**, anul **1907**, accelaratul **322***[161]

B. A réalisation **prépositionnelle** (**complément du nom**):

(2) prepozițional (prépositionnel): *înmulțirea **cu trei***[162].

II. ATRIBUT NUMERAL PRONOMINAL (complément du nom **pronominal** réalisé par un **numéral**):

A. A réalisation **casuelle** (cas1):

(3) genitival, avec ou sans *al* (au **génitif)**, y compris de manière analytique: *părerile **amândurora**, sosirea **primului**, plecarea **a trei** dintre ei*

(4) datival, y compris analytique (au **datif)**: *transmiterea de felicitări **amândurora**, mamă **a trei** dintre ei*

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[155] Pour d'autres exemples (*gardul **din fața-mi**, câmpul **de jur împrejuru-i***), voir *GALR* (2005), II, p.603, avec la même dénomination (= prépositionnel).

[156] Le nom de l'élément de relation est déduit du nom de l'adjectif.

[157] Ce type n'est pas mentionné dans *GALR* (2005), II.

[158] Ce type n'est pas mentionné dans *GALR* (2005), II. Dans des structures du type ***astfel de** om* données dans *GALR* (2005), p. 595 au chapitre «Atribut adjectival», *de* est une postposition, et l'ATRIBUT est adverbial.

[159] Dans *GALR* (2005), II, de telles réalisations ne sont pas mentionnées. La réalisation par accord de l'épithète locutionnelle est très rare *(om căzut în cap*) et, d'ailleurs, la structure en est analysable.

[160] Pour les raisons présentées, voir *supra*, **2.1.1.**, la classification de l'ATRIBUT réalisé par un numéral est plus «touffue».

[161] La fausse apposition.

[162] Pour le comportement substantival de ces numéraux, voir *GALR* (2005), I, p. 299.

(5) acuzatival, avec le morphème *pe*, y compris analytique (à l'**accusatif**): *invidia (ura, pizma)* ***pe al doilea*** (***pe amândoi***).

B. A réalisation **prépositionnelle**(= cas_3), y compris analytique:

(6) Prepoziţional (**prépositionnel**): *decizia* ***împotriva amândurora,*** *ura* ***împotriva a trei*** *dintre ei, victoria* ***grație a doi*** *dintre coechipieri, plecarea* ***cu al doilea,*** *supărarea* ***pe tustrei***.

III. ATRIBUT NUMERAL ADJECTIVAL (réalisé par un **numéral**)

A. Réalisé par **accord**:

(7) **adjectival:** ***trei*** *băieți, grupa* ***a treia***

B. A réalisation **prépositionnelle:**

(8) adjectival prepoziţional (complément du nom **prépositionnel**): *discuția* ***cu douăzeci de*** *elevi*[163]

IV. ATRIBUT NUMERAL ADVERBIAL (réalisé par un numéral **adverbial**)

A. Réalisé par **adhérence**:

(9) **adverbial** (non prépositionnel): *plecarea* ***de trei ori***

B. A réalisation **prépositionnelle**:

(10) adverbial prepoziţional (**adverbial prépositionnel**): *sancționarea lui* ***pentru a doua oară***.

5.5. **ATRIBUT VERBAL** ou **VERBAL LOCUȚIONAL** (épithète à réalisation **verbale** ou par **locution verbale**):

A. Réalisé par **le mode** (affixe modal enclitique ou proclitique):

(1) ATRIBUT GERUNZIAL ou GERUNZIAL LOCUȚIONAL (épithète **participiale ou participiale locutionnelle**): *turişti* ***pierzându-se*** *prin ceață, criminal* ***luând-o la fugă*** *prin pădure*

(2) ATRIBUT INFINITIVAL ou INFINITIVAL LOCUȚIONAL (complément du nom **infinitival** ou **infinitival locutionnel**)): *vine vremea* ***a pricepe*** *că…****(a ne da seama*** *că…)*[164]

B. A réalisation **prépositionnelle:**

(3) ATRIBUT INFINITIVAL PREPOZIȚIONAL ou INFINITIVAL LOCUȚIONAL PREPOZIȚIONAL ou INFINITIVAL PREPOZIȚIONAL LOCUȚIONAL (complément du nom **prépositionnel**): *dorința* ***de a progresa****, pregătirea* ***pentru a face*** *țuică; imposiblitatea* ***de a ține cont*** *de…*

[163] Conformément à la thèse qui postule que les numéraux cardinaux «reliés» par *de* au nom qui leur suit ont une valeur adjectivale, comme ceux où *de* manque (***zece*** *elevi*). Ainsi, *de* est une postposition associée au numéral à gauche, et en ce cas-là, il ne régit aucun cas, celui-ci se réalisant par accord. Cette solution est retenue dans *GALR* (2005), I et II. Au contraire, si *de* est une préposition proprement dite, associée au substantif, le numéral a une valeur substantivale, à l'accusatif $_3$, ayant la fonction d'ATRIBUT réalisé par un numéral à valeur pronominale avec préposition. Voir, pour cette interprétation, Draşoveanu (1997), p.53-55.

[164] Pour l'absence du qualificatif «non prépositionnel», voir *supra*, **4.6.1**., REMARQUE.

(4) ATRIBUT SUPINAL (LOCUȚIONAL) PREPOZIȚIONAL ou SUPINAL LOCUȚIONAL PREPOZIȚIONAL (complément du nom réalisé par un **«supin» (**locutionnel)): *maşină **de scris,** loc **de dat socoteala** pentru…*

C. Réalisé **par accord**:

(5) ATRIBUT PARTICIPIAL ou PARTCIPIAL LOCUȚIONAL (épithète **participiale** ou **participiale locutionnelle**): *elevi **premiați** pentru…, observații **luate în considerare** de către*.

5.6. ATRIBUT ADVERBIAL** ou **ADVERBIAL LOCUȚIONAL (épithète **adverbiale** ou **adverbiale locutionnelle**):

A. Réalisé **par adhérence**:

(1) ATRIBUT ADVERBIAL (NEPREPOZIȚIONAL) (épithète **adverbiale** (non prépositionnelle)): *trezirea **devreme**, o plimbare **alene***

(2) ATRIBUT ADVERBIAL LOCUȚIONAL (NEPREPOZIȚIONAL) (épithète **adverbiale locutionnelle** (non prépositionnelle)): *oamenii **din jur**, maşina **din față**,plimbările **din când în când***

B. A réalisation **prépositionnelle**:

(3) ATRIBUT ADVERBIAL PREPOZIȚIONAL (complément du nom adverbial **prépositionnel**): *programul de **ieri**, **astfel de** oameni, scara **de sus,** cei **de afară***

(4) ATRIBUT ADVERBIAL LOCUȚIONAL PREPOZIȚIONAL (complément du nom adverbial locutionnel **prépositionnel**: *oameni **de peste tot***.

5.7. ATRIBUT INTERJECȚIONAL (épithète réalisée par une **interjection**)[165]

A. Réalisé par **adhérence**:

(1) ATRIBUT INTERJECȚIONAL (épithète réalisée par une **interjection**)**: *halal** prieten, o căruță **zdronca-zdronca**, o fetiță **he-he-he***

B. A réalisation **prépositionnelle**:

(2) ATRIBUT INTERJECȚIONAL PREPOZIȚIONAL (complément du nom **prépositionnel** réalisé par une **interjection**): *un om **ca vai de el (ca vai de mama lui)***[166].

[165] Nous ne prenons pas en considération l'ATRIBUT réalisé par une interjection du type locution, car de telles locutions apparaissent „soit comme des séquences incises, soit comme des énoncés indépendants" (*GALR* (2005), I, p. 662).

[166] Voir *GALR* (2005), I, p.675. (Mais, dans le second volume, il n'y a pas d'ATRIBUT réalisé par interjection.).

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QUELQUES REFLEXIONS SUR LES LANGUES NATIONALES, LES LANGUES REGIONALES ET LES DIALECTES

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ABSTRACT. ***Some reflexions on national languages, regional languages and dialects.*** In this article, the author aims to show the importance of the comparison and the study of the languages in order to highlight the relationships between some of them, in particular the Romanic tongues. This makes it possible to widen our knowledge of the language-mother of the Latin, the Indo-European. Furthermore, the author also tries to demonstrate the links which exist between the language (or its varieties) and the people who speaks it as well as the cultural wealth that the preservation of this variety allows.

Nous nous intéresserons ici aux différentes langues romanes ainsi qu'à leurs variétés régionales qui correspondent au latin parlé dans ces contrées et modifié par l'existence d'un substrat particulier.

Ainsi, les langues romanes ne sont pas seulement un enchaînement de voyelles et de consonnes qui se succèdent sans raison. Si l'on examine d'un peu plus près ces différents idiomes et qu'on les compare avec leur langue-mère, le latin, on s'aperçoit que ces évolutions et ces modifications sont présentes dans certaines langues et pas dans d'autres. On perçoit dès lors que le substrat – c'est-à-dire la langue parlée par les autochtones de ces contrées avant l'arrivée des Romains – entre en jeu. Ces différents changements phonétiques systématiques (vocaliques et consonantiques) mettent en évidence l'existence de lois phonétiques et l'apparition de diphtongues et de triphtongues dans certaines de ces langues. L'intérêt d'étudier ces différentes langues réside donc aussi dans le fait que cela permet de mieux connaître la langue que parlaient nos ancêtres romains et, dans une certaine mesure, de mettre en lumière des éléments pour aider à la reconstruction de la langue-mère du latin, l'indo-européen.

Nous voyons donc que les implications de l'étude des langues sont très variées et qu'elles nécessitent pour ceux qui s'y attellent une connaissance non seulement de la phonologie mais aussi de l'histoire, de la sociologie, de l'ethnologie et du folklore d'un peuple. En effet, l'histoire d'une communauté linguistique c'est-à-dire la datation même approximative de sa présence sur un territoire donné, les différents peuples avec lesquels elle a été en contact a des répercussions sur l'évolution de la langue. Ainsi,

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dans certains cas, ce rapprochement entre plusieurs peuples par la conquête et/ou l'assimilation entraîne la fragmentation linguistique d'une langue (c'est par exemple, le cas du roumain né du contact entre les populations daces et les Romains, jouant ici le rôle d'adstrat). Le roumain, ainsi que le déclare le linguiste roumain Alexandru Rosetti[1], est tout simplement du latin, parlé dans les provinces danubiennes romanisées et modifié par la langue dace. Il en va de même de l'italien, de l'espagnol, du français, du portugais, du provençal et du catalan. Si l'on prend à nouveau l'exemple du roumain, la date de 587 est généralement admise par les scientifiques car elle correspond à la première phrase enregistrée dans la région par des chroniqueurs byzantins: «Torna, torna fratre!»

Les deux chroniqueurs l'ont accompagnée du commentaire suivant: cette phrase a été prononcée dans la langue que parlaient les gens du lieu, qu'ils avaient apprise de leurs ancêtres et qu'ils se transmettaient de génération en génération. Le fait que des observateurs extérieurs (deux chroniqueurs byzantins) fassent ce commentaire lui confère encore plus de valeur car cela met en évidence la continuité du peuplement dace dans la région et la permanence du contact entre Romains et Daces après le retrait officiel des troupes d'Aurélien de Dacie en 271. En effet, les scientifiques admettent que seul un contact long et permanent entre ces deux langues est susceptible d'avoir marqué aussi fortement la langue roumaine. Une fois les langues romanes constituées, elles connaissent encore bien entendu des évolutions mais celles-ci sont moindres car elles ne touchent plus leur structure profonde, leur ossature. C'est en particulier le cas de certains phénomènes grammaticaux (emploi fréquent du subjonctif en roumain du fait, par exemple, d'une influence balkanique dans la région). On remarque aussi la présence d'emprunts lexicaux, révélateurs de moyens spécifiques d'enrichissements d'une langue (suffixes en *-ciune/-țiune* traduisant généralement une influence française directe (ou italienne): suffixes en *-ție* révélateurs d'une influence française indirecte par filière russe).

L'examen d'une langue ainsi que de ses variétés est d'une grande importance car cela permet de donner un nouvel éclairage sur la communauté qui la parle. En effet, il existe un haut degré d'identité entre une langue et son peuple. Une langue est le reflet de son peuple. Ainsi, si l'on regarde la langue roumaine parlée dans l'actuelle Roumanie et en République de Moldavie, on s'aperçoit que celle-ci est basée sur un dialecte, nord-danubien, le daco-roumain (même si l'on note la présence de locuteurs aroumains, notamment, en Roumanie).

Ce dernier connaît différentes variantes suivant que l'on se situe en Valachie (Munténie et Olténie), Transylvanie et Moldavie (roumaine et de

[1] Apud RUSU, Valeriu, *Le roumain. Langue, littérature, civilisation*, Ophrys, Gap, 1992.

République de Moldavie). Le dialecte moldave de République de Moldavie est, quant à lui, caractérisé par la présence en son sein de nombreux russismes qui s'expliquent par les conditions socio-historiques de cette province historique roumaine (anciennement Bessarabie), annexée à plusieurs reprises à partir de 1812 jusqu'à l'accession de la province à l'indépendance, sous la dénomination de République de Moldavie. Les trois dialectes sud-danubiens – aroumain (ou macédoroumain), méglénoroumain et istroroumain – sont quant à eux usités dans les pays frontaliers avec le sud de la Roumanie.

Cette permanence de locuteurs parlant un dialecte roumain dans ces régions témoigne du fait que l'aire d'expansion du latin s'étendait jusqu'à ces territoires et qu'elle a perduré assez longtemps pour entraîner des modifications fondamentales dans le domaine linguistique.

D'autre part, ces changements étaient suffisamment importants pour être qualifiés par les scientifiques de variétés dialectales. Néanmoins, les locuteurs et ceux qui étudiaient ces variations n'avaient pas conscience d'être face à une langue à ce point distincte de la langue principale qu'elle constituerait une autre langue nationale. Cela tendrait à indiquer qu'une langue nationale pour exister doit s'appuyer sur deux éléments. Le premier est la conscience que ses locuteurs ont d'appartenir à une même communauté de dimension large. Le second est sa reconnaissance en tant que telle par les scientifiques au prix d'études poussées basées sur la comparaison du langage usité sur plusieurs générations.

Néanmoins, l'on sait d'après de nombreuses études qui ont été faites qu'une langue n'est pas homogène. Elle résulte de son évolution interne spécifique mais aussi du contact entre différents peuples et de leurs langues respectives. On peut ainsi citer l'exemple du contact entre les populations daces et celtiques et l'assimilation de ces dernières. La venue de Celtes sur le territoire roumain et notamment transylvain et leur installation est, néanmoins, attestée par l'existence de vestiges découverts à l'occasion de fouilles archéologiques. Ces faits avérés sont importants à noter car ils permettent de mettre en évidence des emprunts linguistiques.

C'est ainsi que l'origine du mot roumain «Ardeal» qui est synonyme de Transylvanie peut être expliquée, selon certains savants, par une origine celtique, à partir de l'indo-européen. On retrouve cette même racine en irlandais «ard» ou en gallois «ardd». C'est également le cas de «Vlah» qui servait au départ à désigner des Celtes, puis des Romans, puis les habitants de langue romane de la région danubienne[2].

Ces contacts variés entre peuples contribuent à expliquer les particularités linguistiques de chaque région à l'intérieur d'un pays, en fonction

[2] RUZÉ, Alain, *Vestiges celtiques en Roumanie. Archéologie et linguistique*, Peter Lang, Editions scientifiques européennes, Paris, 1994, pp. 128-131.

de son histoire propre. Autrement dit, l'évolution d'une langue ou d'un parler évolue en fonction de ses (ou son) locuteur(s). En effet, une langue varie d'une région à l'autre et à l'intérieur de chacune d'elles d'une personne à l'autre. Les atlas linguistiques par régions sont autant de preuves de ces réalités et témoignent de la vitalité d'une langue. Nous pouvons citer en exemples ceux qui ont été réalisés par le Professeur Valerie Rusu, durant ses quarante années de recherches dialectales (Atlas d'Olténie, notamment). Les différents niveaux de langue (savant, standard, populaire) ainsi que les formes écrite ou orale d'une langue sont également très intéressants à étudier si l'on veut arriver à percevoir le trésor d'une langue dans son ensemble. C'est ainsi qu'on peut faire la distinction entre des idiomes qui ont une longue tradition écrite et d'autres qui s'appuient davantage sur la transmission de bouche à oreille.

Cependant, chaque langue nationale véhicule une part de tradition orale par l'intermédiaire du folklore, en particulier. Tache Papahagi, linguiste et dialectologue roumain (qui s'est notamment consacré à l'étude du dialecte aroumain) a reconnu, dans son *Petit dictionnaire folklorique*[3], le rôle essentiel du folklore dans l'étude d'une langue, en estimant que celui-ci était le reflet de l'âme d'un peuple et que, pour mieux connaître ce dernier, il fallait se consacrer à l'étude de son moyen d'expression le plus riche et le plus significatif. Les différentes ballades populaires – Maître Manole, Miorița… – qui existent sous une multitude de variantes dans tout le pays, en sont de beaux exemples. Il nous faut ajouter, à ce sujet, que les motifs de ces ballades sont parfois utilisés dans d'autres pays limitrophes, ce qui témoigne de l'exploitation d'un patrimoine commun régional.

L'étude des langues nationales et de leurs variétés linguistiques interrégionales mène tout naturellement aux langues régionales et aux dialectes. Ainsi que l'explique très justement Charles Rostaing, qui fut Professeur à la Sorbonne, une langue nationale n'est rien d'autre qu'un dialecte qui a réussi à s'imposer. Ce spécialiste donne du dialecte la définition suivante: «[…] Le mot n'est en aucune manière péjoratif: il désigne en effet un parler en usage dans une région donnée et s'appuyant sur une grammaire et une littérature écrite; il n'y a aucune différence entre une langue et un dialecte: une langue n'est guère qu'un dialecte qui a pu exercer sa suprématie sur d'autres; un dialecte, si l'on veut, est une langue qui n'a pas réussi»[4].

La situation linguistique de la France est particulièrement éloquente à ce sujet puisque le français n'était au départ qu'un dialecte d'oïl «comme les autres» – résultant de la fragmentation du latin de Gaule en dialecte

[3] PAPAHAGI, Tache, *Petit dictionnaire folklorique*, traduction intégrale en langue française réalisée par Estelle VARIOT, sous la direction de Valerie RUSU, d'après l'édition roumaine soignée, notes et préface par Valerie RUSU, éd. "Grai ∏i suflet – Cultura națională", Bucureşti, 2003**,** 691 p.

[4] Dans *Lou libre dòu Niçart. Coumplément dialeitau* par André COMPAN, avec une préface de Charles Rostaing, Association pédagogique «Lou prouvençau a l'escolo», 1972, 192 p. (préface).

d'oïl et d'oc – qui a coexisté avec les autres dialectes du nord de la France avant de s'imposer dans un premier temps dans cette région. Il a continué à exister parallèlement aux dialectes du sud de la France, avant d'être imposé par l'administration centrale dans le but d'unifier le pays autour des valeurs de la Révolution, de l'Empire puis de la République. Il n'en est pas moins vrai que les dialectes du nord comme du sud du pays n'étaient pas homogènes. Cependant, une normalisation s'est opérée au profit du français, à partir de la fin du XVII^{e} siècle.

Il nous faut également reconnaître que les dialectes d'oc ont eu une première heure de gloire au Moyen Âge car les troubadours avaient choisi l'ancien provençal comme moyen d'expression. Le provençal a ensuite connu une renaissance avec le Félibrige, sous l'impulsion de Frédéric Mistral notamment, qui a contribué à normaliser le provençal rhodanien et à lui redonner ses lettres de noblesses, grâce à son célèbre *Tresor dòu Felibrige*[5]. Frédéric Mistral lui-même était conscient du fait que les dialectes d'oc n'étaient pas homogènes. Il donne lui-même, dans son dictionnaire, une définition historique du terme occitan[6] (dialecte d'oc originaire de la région limousine). Il reconnaît également l'existence de différentes variétés de provençal: rhodanien, maritime, alpin et nissart.

C'est la raison pour laquelle son dictionnaire recense les variantes existant dans les différentes régions de Provence, ce qui confère à cet ouvrage un intérêt indéniable. S'agissant du nissart, nous reproduisons ci-après l'hommage rendu par le chantre de la Provence. «Au téms de ma jouinesso, quand barrulavo dins Prouvènço pèr counèisse e amirà li beutà de noste païs, un jour venguère à Niço, l'a dacò belèu trento an… e Niço d'aquéu tems èro d'Itàli[7], e ièu venièu cercà la fin de la Prouvènço, la fin de nostri raro e de noste parlà. E m'escridere: Niço, Niço, que Diéu te crèisse ! car au-liò d'èstre, vese, la fin de Prouvènço, n'en sies la coumençanço e la racino la plus founso; e nosti segne-grand avien milo fes resoun quand te noumavon ourgueious: Cap de Prouvençò!»[8].

Charles Rostaing indique également dans la préface du *Libre dòu Niçart* que ce dialecte provençal est également intéressant à étudier car certaines de

[5] *Lou tresor dòu felibrige*, avec un supplément établi d'après les notes de Jules Ronjat, Culture provençale et méridionale, Marcel Petit, Raphèle-lès-Arles, 2 tomes, 1974, 1196 p. et 1179 p.

[6] *Lou tresor dòu felibrige*, avec un supplément établi d'après les notes de Jules Ronjat, Culture provençale et méridionale, Marcel Petit, Raphèle-lès-Arles, 2 tomes, 1974, pp. 1170-1171 p.

[7] Frédéric Mistral fait ici référence au fait que Nice était rattachée au duché de Savoie et à Gênes, depuis l'acte de dédition de 1388. Néanmoins, l'Italie n'existera en tant qu'Etat qu'en 1867, soit un an après le rattachement officiel du Comté de Nice à sa province historique.

[8] Dans *Lou libre dòu Niçart. Coumplément dialeitau* par André COMPAN, avec une préface de Charles Rostaing, Association pédagogique «Lou prouvençau a l'escolo», 1972, 192 p.

ses particularités grammaticales proviennent en droite ligne de l'ancien provençal et ont ainsi résisté à l'influence du génois, dialecte italien «voisin».

S'agissant de la langue parlée par les habitants des Alpes-Maritimes et de leur appartenance à la culture provençale, des sources historiques indiquent clairement que Nice et sa région appartenaient au royaume de Provence dès le neuvième siècle et que la séparation d'avec le reste de la région historique date de 1388. Une première réunion a eu lieu en 1793 et la seconde, définitive, en 1860. Nous citons pour exemple les ouvrages d'André Compan, *Histoire de Nice et de son Comté*[9], de Michel BOURRIER et Gérard COLLETTA *Chronologie illustrée de l'histoire du Comté de Nice*[10], d'Antoine de RUFFI, *Histoire des Comtes de Provence*[11] et d'Henri MORIS, *Nice à la France. Documents officiels inédits sur la réunion en 1793 recueillis à l'occasion des fêtes du centenaire*[12].

C'est pourquoi il nous semble que l'utilisation de «Côte d'Azur» ou «Azuréen» ne reflète pas la réalité historique de la région car ces termes ont tendance à sous-entendre que les habitants des Alpes-Maritimes ne sont pas des Provençaux à part entière. L'appellation «Côte d'Azur», utilisée à partir du XIX^{e} siècle, fait référence au développement touristique de la Provence orientale, hivernal dans un premier temps puis annuel; mais elle ne prend pas en considération les réalités culturelles de bon nombre de Provençaux qui, malgré une urbanisation très forte, restent attachés à leur histoire et à la vérité historique. Nier l'appartenance des Alpes-Maritimes à la région provençale revient à l'amputer d'une partie de son histoire.

Une autre appellation qui nous semble quelque peu révélatrice d'une connotation du même genre est le terme «occitan». Nous avons rappelé ci-dessus l'existence historique du royaume de Provence dès le Moyen Âge, du Comté de Provence et du Marquisat de Provence[13]. Nous ajoutons que, s'agissant du terme «occitan», une ambiguïté se créé, dès le XIII^{e} siècle, puisque le terme fait également référence au dialecte de la langue d'oc parlé dans le Limousin[14]. Le terme «provincia» est, quant à lui,

[9] COMPAN, André, *Histoire de Nice et de son comté*, Serre éditeur, 1978 (réimpression photographique de l'édition de Toulon L'Astrado 1973), 543 p.
[10] Michel BOURRIER et Gérard COLLETTA *Chronologie illustrée de l'histoire du Comté de Nice*, Serre éditeur, pp. 38-39.
[11] RUFFI (de), Antoine, *Histoire des Comtes de Provence*, Presses de la SEPEC, réédition de l'ouvrage de 1655, 412 p.
[12] MORIS, Henri, *Nice à la France. Documents officiels inédits sur la réunion en 1793 recueillis à l'occasion des fêtes du centenaire*, Paris, librairie Plon, 1806, 78 p.
[13] MISTRAL, Frédéric, *Lou tresor dòu felibrige*, avec un supplément établi d'après les notes de Jules Ronjat, Culture provençale et méridionale, Marcel Petit, Raphèle-lès-Arles, 2 tomes, 1974, 1179 p.
[14] Le Robert, *Dictionnaire historique de la langue française*, Paris, 1995, p. 1350.

répertorié dans le Gaffiot[15] et assorti de la définition suivante: provincia[2]: la Province, c.-à-d. une partie de la Narbonnaise, la Provence. Le mot «occitan» n'est pas présent dans ce dictionnaire considéré comme étant de référence. Ceci tend à indiquer que la réutilisation du terme «occitan» dans un sens général autre que celui de «dialecte du Limousin» est assez récente. Il nous semble que, du fait de l'existence de ces faits historiques indéniables et corroborés par des sources diverses, l'appellation qui nous semblerait la plus justifiée et la moins sujette à connotation partisane serait «langue d'oc». C'était, d'ailleurs, le terme retenu par Dante dans *De Vulgari Eloquentia*[16].

Un autre parler à mi-chemin entre la France et l'Italie a été élevé au rang de langue par certains de ses locuteurs du fait de leur haut degré de conscience d'appartenance à une communauté linguistique et culturelle. Il s'agit du corse qui se rapproche de certains dialectes italiens mais aussi de langues plus lointaines, par exemple, le roumain, du fait de sa situation géographique particulière (des «îles» de la latinité).

L'on voit donc que l'étude des langues régionales de France mais aussi des autres pays de langues romanes est très importante car elle permet de laisser entrevoir l'existence de concordances non négligeables entre les langues. Ainsi, les langues régionales (provençal, catalan…) par leur contact quasi-permanent avec les langues nationales ont une influence sur ces dernières puisqu'elles permettent l'apport d'emprunts régionaux dans certains domaines spécifiques ou techniques.

Nous terminerons en reprenant l'idée selon laquelle la langue est le reflet d'un peuple. Son étude permet donc d'en savoir davantage sur ses locuteurs et d'envisager plus précisément les valeurs qui lui sont chères. Ainsi, si l'on compare les productions poétiques de Provence et de Roumanie, par exemple, on s'aperçoit que l'attachement à la terre, aux valeurs traditionnelles, à la langue et à la culture ancestrales, est assez présent et que toutes ces spécificités doivent être respectées car elles font partie du patrimoine commun à une entité ou universel.

En effet, ces auteurs – roumains et provençaux, en particulier mais pas seulement – s'appuient sur un fonds historique propre au pays car chaque pays a sa vision du monde et son vécu. Examiner les différences d'appréciation des différentes cultures des communautés linguistiques de par le monde permet d'avoir une meilleure approche des différents peuples, de gommer certains préjugés et donne l'occasion de réaliser qu'il existe des points de convergence et de divergence entre ceux-ci. C'est ainsi que les locuteurs de langues

[15] GAFFIOT, F., *Dictionnaire latin-français*, Hachette, Paris, 1984 (reproduction de l'édition de 1934), s.v.
[16] Le Robert, *Dictionnaire historique de la langue française*, Paris, 1995, p. 1350.

romanes notamment, malgré certaines spécificités dues à chaque peuple, disposent d'un patrimoine commun à tous les Indo-Européens.

La recherche en linguistique – notamment en dialectologie – et la comparaison de nos différentes cultures sont, sans aucun doute, des moyens d'accéder à une mise en évidence avérée de cette perception commune de la vie et de l'humanité et à une meilleure connaissance de nos aïeux. Car le passé est la clef de l'avenir.

C'est à notre avis le sens des paroles de Frédéric Mistral:
Dòu passat la Remembranço
E la fe dins l'an que vén. (Coupo Santo)[17]

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[17] Dr. GUINTRAN, J. M., *Histoire du Bar des Liganii aux Couguou et à l'Amiral de Grasse*, édition posthume soignée par Estelle VARIOT, sous presse. Traduction de la citation: Se souvenir du passé /Et croire en l'avenir.

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AUX ORIGINES DE L'ADVERBE PROVENÇAL. ÉTUDE SYNTHETIQUE

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ABSTRACT. ***The Origins of the Provençal Adverb. A Synthetic Study*.** In the present study we undertake to analyse closely a part of speech that has been less studied in the works or articles of Provençal or Romance linguistics: the adverb. We interpret it from different perspectives, such as the etymological, morphological, semantic or comparative ones. All language facts we analysed demonstrate that, despite a formal heterogeneity, we speak about unity in diversity, as in the case of the other Romance languages.

0. Dans ce qui suit, nous nous proposons de décrire une partie de discours insuffisamment étudiée dans les pages des ouvrages de linguistiques provençale et romane. Il s'agit de l'adverbe, un mal aimé des grammaires à cause de sa diversité, qu'elle soit étymologique, formelle ou syntaxique.

0.1. Etant donné qu'une normalisation du système de la langue provençale est difficile à réaliser, l'adverbe provençal est placé, dès le début, sous le signe d'une double hétérogénéité car, cette fois-ci, la diversité dialectale du domaine d'Oc (provençal, languedocien, auvergnat, gascon, limousin)[1] s'ajoute à la diversité adverbiale.

Selon les possibilités, chaque fois que nous nous rapportons à un autre dialecte du Sud de la France, nous mentionnons de quel dialecte il s'agit, considérant dans les autres cas le provençal dans sa graphie mistralienne comme l'idiome le plus représentatif du Sud de la France.

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[1] Voir, à cet égard, l'affirmation de Jean-Claude BOUVIER, *Le provençal*, in Jean-Claude Bouvier, Claude Martel, *Le parler provençal*, Marseille, Editions Rivages, 1988, p. 9: «*Au commencement était le provençal… véritable langue maternelle du pays – si du moins l'on considère qu'il n'est pas autre chose que la continuation à travers les âges du latin parlé dans cette région, et si bien sûr on fait abstraction de tout ce qui en Provence a précédé le latin: le grec des Phocéens, le langage des Ligures et autres populations primitives, les parlers celtes de nos ancêtres les Gaulois… D'un point de vue scientifique, la situation du provençal est claire. C'est une variété, une composante géographique, un dialecte comme disent les spécialistes, de ce grand ensemble linguistique qu'est la langue d'oc ou occitan, étendue des Pyrénées aux Alpes et de la Méditerranée à l'Océan. Très proche de son voisin, le dialecte languedocien….*»[1]

1. Malheureusement, les essais théoriques de définition de l'adverbe provençal manquent dans les pages des différentes grammaires et elles sont généralement tributaires de la perspective descriptiviste.

Malgré son titre qui suggère une interprétation syntaxique et une perspective diachronique, l'ouvrage théorique le plus important reste celui de Frede Jensen, *Syntaxe de l'ancien occitan*[2] qui s'attarde, notamment, sur les problèmes concernant la morphologie et la formation de l'adverbe occitan. Celui-ci est défini comme un mot indéclinable, muni «*d'une marque distinctive, le soit disant* ***s*** *adverbial, dont la source est probablement à chercher dans les nombreux adverbes latins se terminant par* ***s***.»[3]

Son rôle essentiel est de «*modifier un verbe, un adjectif, un autre adverbe ou l'ensemble de l'énoncé, mais il ne se rapporte pas au substantif*.»[4]

1.1. Les autres discussions portant sur l'adverbe provençal nous offrent rarement des informations d'ordre grammatical: «*l'advèrbi es un mot que s'ajougne ourdinariamen au vèrbou o à un ajetiéu pèr n'en determinà la signifiacacioun.*»[5] La plupart d'entre elles se contente de nous présenter des listes d'adverbes sans aucun autre commentaire.[6]

1.1.2. Finalement, les études sur l'adverbe provençal dévoilent des lacunes en ce qui concerne les débats sur cette partie de discours. En fait, les différences morphologique, syntaxique et lexicale ne sont pas majeures par rapport aux autres langues romanes.

D'ailleurs, il est évident que l'adverbe provençal reste une partie de discours intéressante et à la fois essentielle pour les études de grammaire comparée des langues romanes. De toute manière, la classe adverbiale provençale se caractérise des points de vue lexical, sémantique et grammatical par l'hétérogénéité, l'invariabilité, la diversité formelle et la complexité syntaxique.

2. L'adverbe provençal témoigne généralement d'une fidélité certaine par rapport à la classe adverbiale latine qui a subi, comme nous

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[2] Frede JENSEN, *Syntaxe de l'ancien occitan*, Beihefte zur Zeitschrift für Romanische Philologie, band 257, Max Niemeyer Verlag, Tübingen, 1994, XII- 404 p.

[3] *Idem*, *ibidem*, **§** VII / 624, p. 271.

[4] *Idem*, *ibidem*, **§** VII / 626, p. 272.

[5] G. Miceu, *apud* André COMPAN, *Grammaire niçoise*, préface de Charles Rostaing, Nice, Editions Tiranty, 1965, p. 53.

[6] Voir par exemple, Bruno DURAND, *Grammaire provençale*, préface de Jules Payot, troisième édition revue et corrigée, Aix-en-Provence, J. Fabre Editeur, 1941, 162 p. ; *** *Grammaire du provençal rhodanien et maritime* (graphie classique), Eguilles, Comitat Sestian D'Estudis Ocitans (Cercle de l'I.E.O.), 1983, 110 p. ; Edouard KOSCHWITZ, *Grammaire historique de la langue des Félibres*, Genève-Marseille, Slatkine Reprints & Lafitte Reprints, 1973, 183 p. ; Jules RONJAT, *Grammaire istorique* [sic !] *des parlers provençaux modernes*, tomes I-III, Montpellier, Société des Langues Romanes, I-1930 (423 p.), II- 1932 (487 p.), III- 1937, 651 p. ; Xavier DE FOURVIERES, *Grammaire provençale*, suivie d'un guide de conversation, [s. l.], Editions Aubéron, 2000, 198 p.

l'avons déjà vu, des pertes importantes (surtout les formes dérivées en -***tus***, -***ter***) qui ont été compensées par des créations nouvelles.

2.1. A part quelques petites différences (notamment, des évolutions formelles), les adverbes latins les plus importants et les plus usités se sont conservés en provençal: anc. prov. ***foras***, ***fors***, ***foro***/ prov. mod. ***fòra*** 'dehors' (< lat. ***foras***), anc. lim. ***lonh***, ***loing***, anc. prov. ***liuen***, anc. occ. ***lonh***, ***luenh***/ prov. mod. ***luench***, ***luenh*** 'loin' (< lat. ***longe***), prov. ***près*** (< lat. ***pressum***), prov. ***pròche***, ***pròchi*** 'proche' (< lat. ***propium***), anc. prov. ***ounte***, anc. occ. ***ont***, ***on***/ prov. mod. ***onte***, ***ont*** 'où' (< lat. ***unde***), anc. prov. ***souvènt*** / prov. mod. ***sovent*** 'souvent' (< lat. ***subinde***), anc. lim. ***sempreras***, anc. prov. ***sempres*** / prov. mod. ***sempre*** 'toujours' (< lat. ***semper***), prov. ***lèu*** 'tôt, bientôt, vite rapidement' (< lat. ***leve***), anc. prov. ***plan*** 'doucement' (< lat. ***planum***), anc. prov. ***subit***/ prov. mod. ***sobde***, ***subit*** 'soudain, tout-à-coup' (< lat. ***subito***), anc. prov. ***aièr***/ prov. mod. ***ièr*** 'hier' (< lat. ***heri***), prov. ***ben*** 'bien' (< lat. ***bene***), prov. ***mau*** 'mal' (< lat. ***male***), anc. prov. ***voulountié***/ prov. mod. ***volontiers***, ***volentiers*** 'volontiers' (< lat. ***voluntarie***), anc. prov. ***siave*** 'doucement' (< lat. ***suave***), prov. ***tant*** 'tant, si, autant' (< lat. ***tantum***), prov. ***quant*** 'combien' (< lat. ***quantum***), anc. prov. ***forço***/ prov. mod. ***fòrça*** 'beaucoup, très' (< lat. ***fortia***), anc. prov. ***ensèn***/ prov. mod. ***ensems*** 'ensemble' (< lat. ***insimul***), prov. ***mai*** 'plus, de nouveau' (< lat. ***magis***), anc. prov. ***pus*** 'plus' (< lat. ***plus***), anc. prov. ***pau*** / prov. ***pauc*** 'peu' (< lat. ***paucum***), prov. ***mens*** 'moins' (< lat. ***minus***), prov. ***pièger*** 'pire' (< lat. ***pejor***), anc. prov. ***o*** / prov. mod. ***òc*** 'oui' (< lat. ***hoc***), prov. ***si*** 'si' (< lat. ***sic***), anc. prov. ***noun*** / prov. mod. ***non*** 'non' (< lat. ***non***), anc. occ. ***prop*** 'près' (< lat. ***prope***), anc. occ. ***reire*** 'arrière' (< lat. ***retro***), anc. occ. ***por***, ***porre*** 'loin' (< lat. ***porro***), anc. prov. ***jos*** 'en bas' (< lat. ***deorsum***), anc. lim. ***sû*** 'en haut', ***sus*** 'en haut' (< lat. ***sursum***), prov. ***sobre***, ***subre*** 'dessus' (< lat. ***super***), anc. occ. ***fin***, ***fins*** 'jusque' (< lat. ***finem***), anc. occ. ***sotz*** 'dessous' (< lat. ***subtus***), prov. ***ja*** 'déjà' (< lat. ***jam***), anc. occ. ***luec*** 'nulle part' (< lat. ***loco***), anc. occ. ***onca***, ***oncas*** 'jamais' (< lat. ***unquam***), anc. prov. ***miels*** / prov. mod. ***mièlhs*** 'mieux' (< lat. ***melius***), anc. prov. ***molt***, ***mout***, ***mot*** 'beaucoup' (< lat. ***multum***), anc. prov. ***en*** 'en' (< lat. ***inde***), anc. prov. ***greu*** 'difficilement' (< lat. ***grevis***, ***grave*** > cf. roum. ***greu***), anc. lim. ***fort*** 'fort' (< lat. ***fortis***), etc.:

> *La velha de Novè, bastarà d'**un pauc** d'api mé l'ancoiada.*
> [La veille de Noël, il suffira d'un peu de céleri avec la sauce à l'anchois.]

La création des nouvelles formes réside principalement dans la composition qui reste pour le provençal, jusqu'à nos jours, un moyen d'enrichissement lexical.

2.2. A l'origine, la plupart de ces adverbes sont des structures autonomes qui se sont peu à peu grammaticalisées. Généralement, les éléments qui entrent en relation sont des adverbes et des prépositions

mais ce procédé peut concerner d'autres parties de discours: lim. ***eici***, anc. prov. ***aissi***/ prov. mod. ***aicí*** 'ici' < lat. ***ecce*** + ***hic***, prov. ***aquí*** 'là' < lat. ***eccum*** + ***hic***, anc. prov. ***eila***/ prov. mod. ***ailà*** 'là, là-bas' < lat. ***eccum*** + ***illac***, anc. lim. ***dedintz***, prov. ***dedins*** 'dedans' < lat. ***de*** + ***de*** + ***intus***, anc. prov. ***deforas***, ***defors*** / prov. mod. ***defòra*** 'dehors' < lat. ***de*** + ***foras***, anc. prov. ***dessouto***/ prov. mod. ***dessota*** 'dessous' < lat. ***de*** + ***de*** + ***subtus*** (cf. roum. ***dedesubt***), anc. prov. ***quoro*** / prov. mod. ***quora*** 'quand' < lat. ***que*** + ***hora***, anc. prov. ***aban***/ prov. mod. ***avans*** 'avant' < lat. ***ab*** + ***ante***, prov. ***desenant*** 'désormais, dorénavant' < lat. ***de*** + ***ipso*** + ***in*** + ***ante***, anc. prov. ***antan*** 'jadis, antan' < lat. ***ante*** + ***annum***, anc. prov. ***tantost*** 'tantôt' < lat. ***tanantum*** + ***tostum***, prov. ***dessus*** 'dessus' < lat. ***de*** + ***sursum***, anc. lim. ***darei***, prov. ***darrier*** 'derrière' < lat. ***de*** + ***retro***, prov. ***perqué*** 'pourquoi' < lat. ***per*** + ***quid***, anc. prov. ***bessai*** 'peut-être' < lat. ***bene*** + ***sapio*** , anc. occ. ***aprep*** 'près' < lat. ***ad*** + ***prope*** > cf. roum. ***aproape***, anc. occ. ***don***, ***dont*** 'd'où' < lat. ***de*** + ***unde***, anc. occ. ***assatz*** 'assez' < lat. ***ad*** + ***satis***, etc.:

Oublides pas de li raspar ***dessus*** *una vena d'alhet.*
[N'oublie-pas d'y râper par-dessus une gousse d'ail.]

Parfois les adverbes proviennent du superstrat: ***trop*** (germ.), ***gaire*** (germ.), ***lesto*** > ***à la lèsto*** 'vivement' (germ.), etc.

Ben manjar, ***gaire*** *travaillar es lou mouyen de s'arrouinar*. (Proverbe)
[Bien manger, peu travailler est le moyen de se ruiner.]

2.3. Le -***s*** adverbial caractérise aussi le provençal d'hier et d'aujourd'hui et les explications que nous avons données *supra* restent valables. En effet, à l'intérieur de la classe adverbiale provençale, il existe des formes qui ont hérité du -***s*** directement (***ges*** 'pas du tout', ***plus*** 'plus', anc. occ. ***pois*** 'depuis', ***mièlhs*** 'mieux', ***mens*** 'moins', etc.) ou qui l'ont reçu par analogie (anc. prov. ***anz***, ***avans*** 'avant', anc. occ. ***oncas*** 'jamais', anc. occ. ***sivals*** 'du moins', anc. occ. ***fortaments*** 'fortement', etc.).

Comme le français et les langues du groupe ibéro-roman, le provençal possède lui aussi des pronoms adverbiaux qui peuvent être parfois interprétés comme particules. Il s'agit de ***ié*** (***i***) et d'***en***:

N'en *vène.*
[J'en viens.]

*Anas-****ié****!*
[Allez-y!]

M'avié demanda de la ***ié*** *mena.*
[Elle m'avait demandé de l'y amener.]

2.4. Les formes en -***mente*** (ablatif du nom latin ***mens***, -***tis***) > anc. prov. -***men, -ment***/ prov. mod. -***men***, -***ment*** dont l'emploi est signalé dans

les autres langues romanes (sauf en roumain), sont attestées dès les premiers textes[7], ce qui confirme le fait qu'elles ont connu une large utilisation: ***premierament*** 'premièrement', ***prochanament*** 'prochainement', ***majorament*** 'spécialement', ***eissamen*** 'également', ***comen*** 'comment', anc. lim. ***autromen*** 'autrement', ***cruelmen*** 'cruellement', etc.:

> *…e **generalment** de totas autras causas rasonables que faran besonh al dich Adam…*
>
> […et de façon générale de toutes autres choses qui seront normalement utiles au dit Adam…]

2.4.1. Aujourd'hui, ces adverbes se retrouvent en grand nombre dans la langue: ***absoludament*** 'absolument', ***clarament*** 'clairement', ***courrentament*** 'couramment', ***loungamen*** 'longuement', ***finalament***/ ***finalamen*** 'finalement', ***urosament*** 'heureusement', ***parieramen, egalamen*** 'également', ***particulieramen*** 'particulièrement':

> ***Urosament**, i a abòrd de manjars que donon pas tant de pena que lo pisto.*
> [Heureusement, il y a beaucoup de plats qui ne donnent pas autant de peine que le pistou.]
>
> gasc. *La hemna que s'estanqèc de ríder e que's revirèc **sobtament***. (Bec, *Occ. mod*., GASC., III)
> [La femme s'arrêta de rire et se retourna brusquement.]
>
> occ. …*un òme grosset que demanda **pietadosament*****:** (Bec, *Occ. mod*., LANG., V)
> […un petit homme rondelet qui demande, pitoyablement:]

2.4.2. Si, dans un texte donné, deux adverbes en -***men***/ -***ment*** sont coordonnés, ils gardent ce suffixe mais, dans les anciens textes, on rencontre des traces de l'emploi originaire de ce suffixe.[8]

Ainsi, on peut donner les exemples suivants: *molt **altamen** e **clar*** 'très fort et très clair', ***devotamens** e **humil*** 'dévotement et humblement', ***planament** e **suau*** pour ***suaumen et belamen*** 'suavement et joliment' et

[7] Voir aussi en ancien occitan: *No sabs balar, ni trasgitar **a guiza** de joglar gascon* 'Tu ne sais pas danser, ni bateler à la manière des jongleurs gascons' (G. de Cabrera, *Livre d'or*, p. 31).

[8] En ancien provençal et en provençal moderne, ce suffixe d'origine nominale s'attachait aussi à des formes participiales (-***adamen***, -***idamen***, -***udame***): ***amar*** (***ama***) 'aimer' / ***amadamen*** 'avec amour', ***amagar*** (***amaga***) 'cacher' / ***amagadamen*** 'en cachette', ***grazir*** 'remercier' / ***grazidamen*** 'en remerciant', ***escoundre*** 'cacher' / ***escondudamen*** 'en cachette' (cf. roum. ***ascunde***). Pour plus de détails, voir Edward L. ADAMS, *Word-formation in provençal*, coll.«Humanistic Series», New-York, The Mac Millan Company- Limited, 1913, § IV, pp. 373-377.

on s'aperçoit très bien que l'affixe en question s'accole habituellement à un adjectif féminin singulier:

> lim. *…la parladura de Lemosyn se parla* ***naturelmenz*** *et* ***derecha****.*
> [… le parler du Limousin se parle naturellement et correctement.]

2.5. Par contre, ces formes commencent à être concurrencées par les adjectifs qui sont employés adverbialement, phénomène déjà présent en ancien occitan / provençal (anc. prov. *parlar* ***bas***, ***clar***, *compra* ***car***, *vendre* ***car*** – *qui* ***car*** *compra* ***car*** *ven* 'qui achète et vend cher')[9]:

> *Parlo* ***clar*** *coumo d'aigo.*
> [Il s'exprime clairement et honnêtement.]

2.5.1. Aujourd'hui, l'utilisation de ce type d'adverbes (adjectifs à forme neutre) est de plus en plus enregistrée en provençal: *cantar* ***aut*** 'chanter haut', *parlar* ***bas*** 'parler bas', *tocar* ***béu*** 'frapper juste', *sentir* ***bón*** 'sentir bon', *costar* ***car*** 'coûter cher', *parlar* ***clar*** 'parler clairement', *tirar* ***drech*** 'aller directement', *semenar* ***espés*** 'semer dru', *chaplar* ***prim*** 'hacher fin', *toumbar* ***just*** 'tomber juste', *resouna* ***faus*** 'raisonner faux', etc.

Le provençal connaît un nombre considérable de locutions adverbiales dont la signification est parfois si diversifiée qu'on a l'impression de ne pas pouvoir les classer du point de vue sémantique.

2.6. Par rapport aux autres langues romanes qui connaissent des locutions adverbiales ayant la structure ***prép***. + …-***oun***(***s***) (< lat. ***prép***. + -***ones***), le provençal est l'une des langues romanes où nous avons trouvé le nombre le plus élevé de formations de ce type qui désignent «*des positions du corps, des modes de transport*[10]»: ***d'escambarloun***(***s***) 'à califourchon', ***de-cavaucoun***(***s***) 'à califourchon', ***d'escoundoun***(***s***) 'en cachette', ***de-chaspoun***(***s***) 'à l'aveuglette', ***de-plegoun***(***s***) 'à l'aveuglette', ***de cluchoun***(***s***) 'à l'aveuglette', ***d'acatoun***(***s***) 'en tapinois', ***de dessoutoun***(***s***) 'en catimini', ***de garapachoun***(***s***) 'en tapinois', ***de-chaspoun***(***s***) 'à tâtons', ***de-tastoun***(***s***) 'à tâtons', ***de-paupoun***(***s***) 'à tâtons', niç. ***d' escondilhons***, niç. ***à rabatons*** 'très vite', etc.:

> *La Pelosa estrampalada sus lo vira-vira, balin-balant,* ***d'escambarlons*** *sus un chivau…*
> [La Poilue, jambes écartées sur le manège, balancée de ci et là, à califourchon sur un cheval…]

2.7. A ce type, s'ajoutent d'autres locutions qui représentent, en fait, l'une des richesses de la langue provençale. Une grande partie de ces locutions sont composées d'une préposition et d'un nom mais les autres

[9] Voir aussi Frede JENSEN, *Op. cit.*, **§** II / 104-105, p. 38.
[10] Jules RONJAT, *Op. cit.*, tome III, **§** 746, p. 494.

parties de discours sont elles aussi concernées: ***autra part*** 'ailleurs' (cf. roum. ***în altă parte***), ***en quauque luec*** 'quelque part', ***onte que siegue*** 'n'importe où', ***en amont*** 'en haut', ***tot escàs*** 'il y a un instant', ***a passat temps*** 'autrefois', ***de còps*** 'parfois', ***d'aqueu temps*** 'pendant ce temps' (cf . roum. ***între timp***, ***în acest timp***), ***a pena*** 'à peine', ***pauc a pauc*** 'peu à peu', ***a jaba*** 'en abondance', ***au chut-chut*** 'en catimini' (cf. roum. ***pîş-pîş***), ***a la babalà*** 'au petit bonheur', ***a vegadas*** 'par intervalles', ***d'aquí entre aquí*** 'à tout bout de champ', ***de bòn*** 'pour de bon' (cf. roum. ***pe bune***), ***de péd en cima*** 'de pied en cap' (cf. roum. ***din cap pînă-n picioare***), ***de biscanti*** 'de travers', ***en fin finala*** 'finalement' (cf. roum. ***la urma urmelor***), ***de segur*** 'certainement' (cf. roum. ***desigur***), ***de-contro*** 'du côté de' (cf. roum. ***de către***), ***que-noun-sapio*** 'tant que je ne sais l'exprimer', niç. ***sus lou còu*** 'tout d'un coup', niç. ***d'aquì en avant*** 'désormais' (cf. roum. ***de aici înainte***), lim. ***tot d'un cóp*** 'tout d'un coup', etc.

> anc. occ. …*ab qu'un pauc esclarzis sos motz qu'**a penas** nuls om los enten.* (P. de Alvernha, *Livre d'or*, p. 34)
> […pourvu qu'il éclaircisse un peu ses paroles car c'est à peine si quelqu'un les comprend.]
>
> ***D'un còp**, la ribiera a remplit tot son jaç, e negat leis isclas jusc'au fluvi.*
> [Tout d'un coup, la rivière a rempli tout son lit et noyé les îles jusqu'au fleuve.]
>
> lim. … *quand **tot d'un cop**, 'nava èsser jorn, òm auviguet frodassar dins aig*… (Bec, *Occ. mod*., LIM., III)
> […quand, tout d'un coup, il allait faire jour, on entendit un bruissement dans l'eau…]
>
> occ. *Un corredor, un escalier… Montam **a palpas***. … (Bec, *Occ. mod*., LANG., IV)
> [Un couloir, un escalier… Nous montons à tâtons.]

2.8. L'adverbe provençal a contribué lui aussi au développement de la classe adverbiale par la création de nouveaux mots: ***aperaquí*** 'environ', ***sustot*** 'surtout', ***totjorn*** 'toujours', ***jamai*** 'jamais', ***amondaut*** 'tout là-haut', ***aiçamont*** 'vers ce lieu élevé où nous sommes', ***ailamont*** 'là-haut', etc.

> lim. …*bèstia feramina que degun l'a **jamai** vista…* (Bec, Occ. mod., LIM., I)
> […une bête fantastique que personne n'a jamais vue…]

3. Nous considérons que cette brève présentation de l'adverbe provençal a réussi à rendre compte des principaux aspects ayant trait au développement de la classe adverbiale. Romanistes ou provençalistes retrouveront peut-être dans ces pages des formes ou des réponses à des questions qu'ils se sont posées depuis longtemps. En fait, la diversité dont nous avons discuté au début assure l'unité de l'adverbe provençal à l'intérieur du système adverbial roman.

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UNE PERSPECTIVE INTEGRALISTE SUR LA TEXTUALITE LITTERAIRE. QUELQUES REPERES

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ABSTRACT. The present article intends to point out only some of the important aspects regarding possible new theoretical approaches to the problems of literary textuality offered by integral linguistics, in a synthetic manner. We consider that integral linguistics can offer the conceptual coordinates of a theoretical background against which poetic research can be projected as study of the literary text in its irreducible specificity. We punctually argue for this by focusing on some important Coserian concepts and highlighting their implications in the field of poetics.

La nécessité d'une étude rigoureuse, scientifique, du phénomène littéraire a conduit à une approche, dans la perspective de la poétique, des fondements théoriques des différentes orientations linguistiques (v., par exemple, la poétique structurale, la poétique générative, la poétique illocutionnelle). Si la littérature est un «art par la parole» (par le langage), alors la manière de comprendre le langage dans son essence peut dévoiler ou, au contraire, cacher des aspects potentiellement décelables du «littéraire». Il s'ensuit qu'une compréhension réductionniste du langage et de sa fonction (par exemple, la réduction pragmatiste, illustrée surtout par les orientations qui considéraient le langage comme un «instrument de communication») mène à une compréhension réductionniste de la littérature (par exemple, comme «déviation» du langage commun).

L'ouverture théorique offerte par la linguistique intégrale, par la définition du langage comme *activité créatrice* et de *la fonction significative* comme fonction essentielle du langage, tout comme par les implications conceptuelles et les distinctions qui en découlent, offrent une base conceptuelle solide pour le fondement scientifique de l'étude de la littérature.

On considère qu'on peut identifier dans l'œuvre de E. Coseriu des prémisses de principe, relevantes dans la perspective de la problématique de la textualité littéraire. Quelques-uns de ces aspects sont: la définition de la poésie comme «langage absolu» (lieu de la manifestation plénière de toutes les possibilités de sens du langage), le concept d'*altérité* dans la poésie, la place du texte dans la linguistique intégrale – l'autonomie fonctionnelle du sens textuel, la théorie de l'articulation du sens etc.. Ces

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prémisses sont, selon notre opinion, de véritables «ponts» ou «repères» dans la tentative de définir le littéraire, de délimiter un cadre adéquat pour la démarche poétique et à la fois de légitimer la fondation de la poétique sur les bases théoriques de la linguistique intégrale.

Dans le présent ouvrage, on se propose de signaler dans une manière synthétique seulement quelques aspects concernant les possibles ouvertures théoriques offertes par la linguistique intégrale vers la problématique de la textualité littéraire.

Les concepts de «textualité poétique» et «textualité littéraire» sont interchangeables dans le présent ouvrage, parce que le «poétique» y est compris dans l'acception de «littéraire», conformément à l'acception large conférée par E. Coseriu à la poésie («la 'littérature' comme art»), mais aussi en pleine concordance avec la compréhension typologique du texte littéraire comme instanciation de la modalité de la création de sens avec la finalité discursive interne de la «création de mondes» ou, autrement dit, avec la finalité «*poétique*».

1. Bien que la linguistique intégrale (même dans la perspective la plus ciblée de la linguistique du texte) n'assume pas l'étude du texte littéraire dans sa spécificité, cet objectif relevant du domaine de la poétique et de l'esthétique – comme d'ailleurs le précise E. Coseriu –, elle offre cependant de nombreuses issues vers la zone du poétique, et peut fournir à la fois des réponses adéquates à des questions qui dans d'autres perspectives théoriques ne trouvent pas de solution. Par exemple, une perspective réductionniste–pragmatique sur la fonction du langage conduit inévitablement à considérer la poésie comme un fait de communication qui ne communique rien sur le monde, en tant que «langage paradoxal» qui ne peut répondre à la question «pourquoi [un poète] formulerait-il l'énoncé dans ses vers de telle manière qu'on ne puisse le comprendre, malgré le fait que tous les mots et les modes de les combiner nous soient familiers»? (problème signalé par N. Manolescu 1987). Quelques-unes des solutions fournies par la perspective de la linguistique intégrale, pour dépasser une telle impasse, se laissent entrevoir à travers le noyau théorique de cette conception – *la fonction significative* –, mais aussi sous l'angle de la compréhension du langage comme «langage absolu», où la dimension de la «communication», constitutive du langage, est nécessairement absente dans la poésie: "C'est précisément dans ce sens que la communication est un trait essentiel du langage en tant que tel, tandis qu'elle ne l'est pas pour la poésie, qui est langage absolu. Le langage, lui, s'adresse toujours à quelqu'un d'autre, même quand il est création linguistique primaire, puisque le *moi* créateur de langage suppose toujours un *toi* auquel il s'adresse. En effet, les signifiés et les signes ne sont pas créés uniquement pour «qu'ils soient» (comme c'est le cas de

l'art), mais pour qu'ils soient aussi pour d'autres sujets; mieux encore, ils sont créés comme appartenant en même temps à d'autres sujets (en effet, ils sont toujours créés dans une langue donnée)" (Coseriu 1968/1977: 31, traduction en français dans Coseriu 2001: 29).

En suspendant son propre moi empirique (dans et par l'acte poétique qui suppose une «transgression» du monde de l'expérience), le poète suspend aussi l'altérité spécifique au langage, et assume un autre type d'altérité où «l'attribution du moi» devient l'attribution du moi absolu. Le lecteur de «poésie» devient lui-même un sujet absolu capable de (re)créer un autre «monde».

2. Entre les finalités internes ultérieures du logos sémantique, les finalités *poétique, pragmatique* et *apophantique*, il faut postuler une discontinuité de principe au niveau fonctionnel – la finalité poétique se distinguant typologiquement des autres finalités à un moment profond, comme finalité interne discursive de la «création de mondes». La thèse coserienne de la fonction significative et des finalités internes ultérieures, «scientifique» (apophantique), «pratique» (pragmatique) et poétique, a constitué le fondement théorique pour l'élaboration d'une typologie textuelle (des «paliers typologiques» et des distinctions conceptuelles à l'intérieur de ces «paliers») par Emma Tămăianu (Tămâianu 2001). La typologie textuelle y est comprise comme «modalité de la création de sens» («orientation de l'articulation interne du sens» ou «principe formateur de l'activité discursive»).

Selon notre opinion, une importante hypothèse de travail est que, sous l'angle de la poétique, le texte littéraire ne peut être abordé que dans une perspective nécessairement typologique. Ceci implique, entre autres, une démarche qui réinstaure l'activité de création et permet à la fois d'éviter des erreurs de nature épistémologique ou des impasses conceptuelles. Quelques-unes de ces impasses sont survenues lorsqu'on a essayé de définir la poéticité à partir du texte littéraire compris comme *ergon* (produit) et aussi lorsqu'on a essayé de trouver la spécificité poétique par rapport au genre proche considéré comme «langage commun», comme logos pragmatique.

L'approche du texte littéraire devrait observer, sous l'angle de la poétique, la création du sens et, implicitement, du monde textuel, au sein d'un processus où le statut typologique du texte est institué au moment de sa création, déterminée intrinsèquement par la finalité discursive assumée par la subjectivité créatrice. Le poétique ne peut donc être défini par rapport au langage habituel (ni par rapport au langage scientifique), car entre les finalités *poétique, pragmatique* et *apophantique* il faut postuler une discontinuité fonctionnelle irréductible.

3. Même si le statut spécial du texte littéraire doit être relevé au niveau de sa finalité constitutive (celui des modalités internes d'articulation

du sens à la finalité de la «création de mondes»), on peut examiner le rapport de la textualité littéraire à la distinction sur le plan individuel (*sens – sens poétique*) et aux autres niveaux de fonctionnalité (*poétique – universel* et *poétique – idiomatique*), dans l'intention de projeter une compréhension du poétique dans sa complexité particulière. Ce triple rapport est fondé sur la conviction que le phénomène poétique doit être compris et expliqué dans toute sa complexité et qu'il ne peut être réduit ni au désigné textuel (référentialité), ni aux signifiés (contenus de la langue), même pas au sens, comme si celui-ci s'instaurait indépendamment des signifiés d'une langue.

Même si le principe coserien de la *double articulation sémiotique dans la construction du sens* ne peut expliquer l'essence radicalement différente, translinguistique du sens poétique ou la compréhension du poétique comme activité «créatrice de mondes», il représente pourtant une condition absolument nécessaire pour une approche adéquate de la textualité littéraire. Il est ainsi essentiel de comprendre le fait élémentaire que les personnages, les faits, les attitudes, autrement dit tout ce qui constitue le désigné global construit par le texte représente en fait le signifiant textuel, «l'expression» du sens et non le sens ou son contenu comme tel. Si l'on n'assume pas ce principe il y a le risque d'interprétations réductionnistes, où le sens poétique est «réduit» à une articulation minimale, c'est-à-dire à l'espèce de sens «communicatif» -pragmatique ou «communicatif» - apophantique. On peut illustrer cet aspect par l'interprétation souvent restrictive de deux poèmes très connus: *Mioritza* et *Jusqu'à l'étoile*.

Ainsi, la ballade *Mioritza* a souvent été considérée comme représentative de la vision «fataliste» et résignée du peuple roumain, par une inférence directe de l'attitude du personnage principal et de «l'action» ou, mieux dit, de son manque d'action. Cette considération est due en grande partie à l'interprétation du sens jusqu'au niveau minimal, presque coïncident avec le designé textuel construit. Mais en paraphrasant E. Coseriu, *Mioritza* ne parle pas ***«du»*** conflit entre trois bergers, ni «de» l'attitude de l'un d'entre eux devant le complot des deux autres. Cette perspective du ***«de»*** impliquerait une interprétation minimale de la construction du sens, une actualisation de «l'espèce de sens» communicatif, informatif, comme si c'est ce qui «nous intéresse en sens pratique, par les faits mêmes dont le texte fait le récit, et non en qualité de création symbolique». A ce niveau serait actualisé un «horizon d'attente» pragmatique, de l'efficacité pratique projetée par le fait de situer le conflit sur l'arrière-plan de la connaissance du monde donné. Mais le sens authentique («symbolique») de cette ballade est relevé seulement si nous postulons que *Mioritza* parle d'autre chose, ***«par l'intermédiaire»*** du conflit entre bergers, des faits et des personnages, autrement dit si nous interprétons les faits et les personnages comme expression ou signifiants textuels pour le contenu d'ordre supérieur qu'est le sens.

L'interprétation du poème d'Eminesco *Jusqu'à l'étoile* est susceptible, elle aussi, de supposer une coïncidence du sens avec le désigné textuel. De la sorte, le sens textuel est réduit, dans certaines interprétations, à l'articulation minimale, justement parce que l'on considère que le désigné textuel n'est pas construit par le texte comme signifiant textuel ou expression du sens, mais que celui-ci correspondrait à une réalité objective, vérifiable scientifiquement, qui est seulement repérée à travers / dans le texte (ce fait est signalé par C. Tabarcea, v Tabarcea 1986).

Le fait que les énoncés de la poésie sont vrais ou faux, la possibilité de les vérifier empiriquement ou scientifiquement ne sont pas du tout relevants et n'affectent nullement la «vérité» ou «l'objectivité» poétique. En d'autres termes, si ces principes scientifiques étaient trouvés faux, ceci n'affecterait en rien la «vérité» de la poésie, son sens ou le monde ainsi institué. Tout simplement parce que la vérité et / ou l'objectivité poétique (et de l'art en général) sont essentiellement différentes de la vérité ou de l'objectivité empirique ou scientifique, et sont validées dans des «univers de discours» (dans le sens coserien) différents.

Ainsi, «l'hypothèse» de l'articulation stratifiée du sens doit être comprise comme parcours articulateur valide indépendamment dans le cadre délimité par les finalités du processus créateur de sens, autrement dit, valide dans des zones typologiques distinctes et essentiellement différentes; le principe coserien de la *double articulation sémiotique dans la construction du sens* constitue le cadre préliminaire et nécessaire à la démarche poétique, qui vise le processus d'institution du sens dans sa spécificité poétique, par la découverte de stratégies sémantiques de type métaphorique, créatrices de mondes; la compréhension de l'essence créatrice de mondes de la *finalité poétique* suppose également que l'on postule l'autonomie de «l'objectivité» du texte littéraire par rapport à l'objectivité pratique ou apophantique, le texte littéraire ayant sa propre «objectivité», instaurée à un autre niveau «ontologique», réalisée par le processus essentiellement métaphorique de la création de sens et, implicitement, de mondes.

Dans la perspective des distinctions coseriennes concernant «l'univers du discours» (concept défini comme «mode de connaissance»), on peut aussi essayer une prise en considération de l'*univers du discours de la littérature* dans son ensemble. Si «l'univers du discours empirique» ou «le système habituel de significations» (concept blagien mis en valeur par la poétique anthropologique proposée par M. Borcilă, v. Borcilă 1997a, 1997b) est transgressé par l'acte poétique (comme «acte révélateur»), alors l'univers du discours de la littérature, en tant qu'univers de discours non empirique et autonome est un système «in-habituel» de significations. Le terme de «in-habituel» est compris, dans notre approche, comme attribut d'un monde non expérimentable empiriquement, c'est-à-dire celui d'un monde

ayant une objectivité unique et irrépétable, un monde institué en accord avec une intuition unique et absolue par une subjectivité absolue, un monde qui constitue par lui-même un domaine de connaissance autonome («qui suspend des sens et en proclame d'autres», en termes blagiens).

Le monde de la poésie est donc un monde non expérimentable empiriquement, un monde ayant un contenu intuitif unique, un monde auquel on n'accède que par la poésie, par la manière de connaissance fournie par l'intuition poétique (et, de la sorte, impossible à expérimenter par la connaissance empirique). Par conséquent, le monde créé par la poésie ne peut être découvert que par l'intuition poétique, en essayant de récupérer, au niveau du sens textuel, cette intuition unique du sujet absolu qui l'a créé. Cette découverte est intimement liée à la finalité du sens poétique («plasticisante» ou «révélatrice», v. Borcilă 1981), l'intuition y étant orientée typologiquement. Ainsi, le monde créé par la poésie est impossible à remplir de contenu intuitif dans la perspective de notre monde quand la finalité du sens poétique est *révélatrice* (par exemple, dans la perspective du mode de connaissance empirique, on ne peut avoir l'intuition de la mort-noces comme une identification au niveau de l'essence, telle qu'elle est créée dans *Mioritza*). Par ailleurs, la *finalité plasticisante* qui oriente le sens poétique institue un monde à contenu unique, non expérimentable empiriquement, car elle *crée l'essence même d'une modalité d'être* et, par là, elle transgresse l'arrière-plan de notre connaissance du monde vers un autre horizon, trans-significatif. Par exemple, dans la poésie d'Eminesco *Jusqu'à l'étoile*, le poète ne repère ni ne décrit un état d'âme, il n'exprime pas un sentiment intense dans les termes d'un phénomène cosmique, mais il instaure au niveau du sens poétique ce monde dont le contenu unique pourrait être circonscrit, dans l'espace sémantique métaphorique, par le *phénomène cosmique de la perte de l'amour*. Autrement dit, l'amour en tant qu'essence est institué dans une zone inaccessible dans la perspective de l'univers du discours empirique: le poète ne rapporte pas l'expérience vécue à un phénomène cosmique, ne résume pas la gamme de sentiments vécus, mais il instaure, par le sens poétique unique, un *mode d'être* (pour l'amour, *le mode d'être phénomène cosmique*), il institue une essence significative unique et universelle et, par là, primaire, située en tête d'une classe.

La poésie instaure donc, au niveau du sens textuel poétique, l'essence même d'un mode d'être, une entité «ontologique» inédite. Si l'univers du discours oriente et détermine le sens d'un texte, alors le sens poétique ne peut être réinstauré dans sa spécificité comme sens poétique par le recours à l'univers du discours empirique. En conclusion, il est absolument nécessaire de postuler un univers de discours poétique, comme univers de connaissance distinct et autonome par rapport à l'univers du discours empirique, dans la

perspective de l'orientation du sens textuel vers des finalités différentes et sémantiquement irréductibles.

La relation entre le «poétique» et l'idiomatique, peut être investiguée sous trois angles: (i) celui de la *«vision du monde» dans la poésie* (la poésie suspend l'organisation du monde donné par la langue, et institue un autre ordre et, implicitement, un autre «monde», en écartant les limites significatives des mots et en reconfigurant même les rapports d'opposition au niveau du paradigme, par exemple par la dé-sémantisation ou la re-sémantisation), (ii) celui des *signifiés comme «essences» dans la poésie* (les signifiés demeurent dans la poésie très proches de ce qu'ils représentent dans la dimension de leur virtualité, comme intuitions de «modes d'être», comme essences, «faits de connaissance originaires» ou, comme le dirait Arghezi, «des flacons de super essences») et également (iii) *sous l'angle de la distinction coserienne système – norme* (en poésie, comme réalisation plénière du langage dans son hypostase absolue, le système apparaît libéré de la norme et ouvert aux possibilités illimitées de création, n'ayant pas à légitimer ces innovations par l'altérité).

Tout en soulignant qu'en dépit du fait que la spécificité poétique n'est ni explicable ni repérable au niveau des signifiés de la langue, mais seulement au niveau du sens textuel instauré par ces signifiés (et désignations), et bien sûr au-delà de ceux-ci, la présente approche veut évidencier le fait qu'il est possible de déceler quelques particularités relevées par la modalité poétique au niveau idiomatique.

Une conclusion générale est que l'un des aspects de la poésie, en tant que mode de connaissance, est le fait qu'elle génère le processus réversible de «l'illumination» de ce qui constitue sa «matière première» (l'élocutionnel et l'idiomatique), autrement dit, par le sens poétique on peut acquérir une nouvelle compréhension du «monde» et de la langue par laquelle a été créé le sens poétique. Séparé ontologiquement de l'univers de connaissance empirique – par l'acte poétique compris comme «acte révélateur» (v. Borcilă), qui transgresse la connaissance fournie par l'expérience – le poétique se retourne vers la connaissance habituelle du monde, avec toutes les «modes d'être» qu'il a instaurés dans et par les mondes poétiques, et «enrichit» ce qui constitue «l'univers vital de l'homme». La poésie récupère l'universalité «perdue», ceci par le biais des mondes poétiques et implicitement par les modes d'être essentiels qu'elle instaure au niveau du sens, en créant une référentialité qui lui est propre, non empirique, où «l'occasion» (empirique), même si elle a existé, devient universelle dans une autre «dimension» de la connaissance humaine, dans l'univers de discours de la littérature.

4. En conclusion, nous considérons qu'une compréhension de la poésie dans cette perspective, fondée sur l'épistémologie linguistique intégrale, en est une adéquate à la nature essentiellement créatrice de la poésie, une perspective qui regarde le phénomène poétique dans sa complexité.

Ainsi, on considère que la linguistique intégrale offre les coordonnées conceptuelles d'un arrière-plan théorique nécessaire, sur lequel se projette la recherche poétique en tant qu'étude du texte littéraire dans sa spécificité irréductible.

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THE DOUBLE VISION IN F. SCOTT FITZGERALD'S SHORT-STORIES

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ABSTRACT. This paper is a by-product of the author's work as a translator. F. Scott Fitzgerald published 178 short-stories during his lifetime, from *Flappers and Philosophers* to *Taps at Reveille*. The paper argues that a close reading of some of the most aesthetically satisfactory of these stories will reveal that the interest they stir is dependent, just as with the novels, on the tension produced by the intertwining of two contrasting life outlooks, an illusion-fostering dreamy romantic one, and a harsh, realistic one. It is the latter that prevails, just as in real life.

This article aims to knit together some thoughts and ideas that occurred to the author while translating a selection of F. Scott Fitzgerald's aesthetically most achieved stories.

The phrase 'double vision' was first used by Malcolm Cowley, in his preface to the Scribner edition of Scott Fitzgerald's short-stories, but many critics, before and after Cowley, noticed the existence of an ambiguity in the short pieces of the American writer. As a rule, that ambiguity is taken to be rooted in the fact that Fitzgerald was at the same time an inhabitant of his world and an outsider. His admiration for the rich was not unreserved: in fact, one could argue that it was a kind of resentful admiration, but he voiced it often, sometimes in a manner that makes one blush for him. However, almost every time he felt the need to re-examine the first impressions or, at least, to ammend or nuance his ideas, as often as not by coating them in irony. Part of it had to do with time lived and time remembered: when writing the short stories – which, almost without exception, were inspired by his own experience – he had time to reconsider and expose facets of people and events that were not visible from the very beginning. In that respect, Malcolm Cowley said: "Fitzgerald lived in his great moments, and lived them again when he remembered their drama, but he also stood apart from them and coldly reckoned their causes and consequences. That is his *doubleness of irony* (italics mine), and it is one of his distinguished marks as a writer. He took part in the ritual orgies of his time, but he also kept a secretly detached position, regarding himself as a pauper living among millionaires, a Celt among Sassenachs[1] and a sullen peasant among the nobility. He said that his point of vantage was 'the

[1] Disparaging name given by the Gaelic inhabitants of the British Isles to the "dyed-in-the-wool" Englismen.

dividing line between two generations', pre-war and post-war. Always he cultivated a *double vision* (italics mine). In his novels and stories he was trying to present the glitter of life in the Princeton eating clubs, on the North Shore of Long Island, in Hollywood and on the French Riviera; he surrounded his characters with a mist of admiration, and at the same time he kept driving this mist away."[2] A Celt among Sassenachs, a pauper among millionaires and the generation gap. In addition, Cowley considers Fitzgerald atypical of his age, or of any age, because "he lived harder than most people have ever lived and acted out his dreams with an extraordinary intensity of emotion".[3] This time, the difference is not of a social or biological nature, but psychological. But it is hard to guess why Cowley does not mention the obvious: that it was Fitzgerald's assumed responsibilities of a writer that helped him, more than the other differences, to maintain a cool, observing posture. It is engrained in a writer's psyche to stay well apart from the persons you know you are going to use as fictional material.

One could say, with Edwin Fussell, that "the basic plot of Fitzgerald's stories is the role of the human imagination in the New World, more precisely, the *double entendre* associated with it. This is translated into two dominant patterns: quest and seduction. "The quest is the search for Romanic wonder, a kind of feverish secular beatitude, in the terms proposed by contemporary America. The seduction represents capitulation to these terms. Obversely, the quest is a flight: from normality, from fate, time, death, and the conception of limit."[4]

As Walter Allen observed, the titles of many of Fitzgerald's books, novels and collections of short-stories alike, are exercises in romantic irony: *Flappers and Philosophers, All the Sad Young Men …*[5] The source of Fitzgerald's excellence is an uncanny ability to juxtapose the sensibilities implied by the phrase *romantic wonder* with the most auspicious as well as the most deeply significant phenomena of American civilisation, and to derive from that juxtaposition *a moral critique of human nature*.

The concept of an irresponsable individualism is central to the behaviour of the members of Fitzgerald's generation. As Cowley suggests, "they lived in the moment, with what they liked to call 'an utter disregard for consequences'". They had as a slogan "Do what you will!"[6] Maxwell Geismar points out that this individualism "was the moral, or imoral, bequest of a

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[2] *The Stories of Scott Fitzgerald*. Selected, with an Introduction and Notes by Malcolm Cowley, Charles Scribner's Sons, New York, 1951, p. xiv.
[3] Idem, p. ix.
[4] Edwin Fussell, "Fitzgerald's Brave New World", in *F. Scott Fitzgerald. A Collection of Critical Essays*, edited by Arthur Mizener, Prentice-Hall Inc., Englewood Cliffs, N. Y., 1963, p. 43.
[5] Walter Allen, *The Short-Story in English*, Clarendon Press, Oxford, 1981, p. 141.
[6] Idem, p. xii.

new American money society to its children in the second and third generations".[7] It has been noticed that these young Americans display a very limited notion of pleasure, centered around drinking and around their libido, which still has fairly decent manifestations. There's nothing of the European refinements of sensual excitation in this American version of a life devoted to the pursuit of pleasure. They could have learned a lot about the subtle pleasures of the intellect and of the senses from the books of O. Wilde and of Huysmans. It is true that America did not have an epoch of aestheticim, but went, in Fitzgerald's life-time, through two opposing and rather inchoate periods, the Jazz Age and the Great Depression [both contained, as Fredrerick Hoffman points out, by the parantheses of the two World Wars]. To compare Wilde's Yellow Nineties with Fitzgerald's Roaring Twenties is, therefore, tempting but inconclusive: for one thing, the Jazz Age did not have a consistent aesthetic theory to fall back on, but only a newly formulated – in fairly simple American terms – philosophy of practical hedonism. What Amory Blaine and his friends in *This Side of Paradise* do, in terms of making the most of their youth [one cannot deny they are as aware, in W. Pater's terms, of the transience of life as Dorian Gray is] would have made Wilde's Vivian and Gilbert shudder. It is interesting to note that Amory Blaine does not mention Wilde, though the novel is very 'literary', but seems sold out unconditionally on the cinical and earth-bound G. B. S.

Moreover, the scions of the Great American Fortunes have lost any contact with reality, are utterly irresponsible and, in what they do, dilletantes. "In the dialectic of Fitzgerald's evolution, the 'thesis' of glamour has its antithesis in the accompanying sense of horror that is always in the background of his work."[8]

As Kenneth Eble shows[9], many stories written by Fitzgerald before 1928 explore his Princetonian past and the period he spent in New York just before and after his rise to fame. The double vision consists here, one might say, in his attempt to examine an immature, undergraduate adventure from the vintage point of a more responsible maturity.

Of the stories collected in *Flappers and Philosophers*, "The Ice Palace" is clearly the best – it was the last story to be written in the burst of energy which followed the acceptance of *This Side of Paradise*. In an interview, Fitzgerald said that the story grew out of two personal experiences. The one was a conversation with a St. Paul girl, who remarked that winter was beginning, thus causing the author to remember the long, dreary winters he had lived in the North. The other was Zelda Sayre's statement that she

[7] Maxwell Geismar, *The Last of the Provincials. The American Novel 1915 – 1925*, Hill & Wang, New York, 1943, 1959, p. 306
[8] Idem, p. 307.
[9] Kenneth Eble, *F. Scott Fitzgerald*, Twayne Publishers, New York, 1963, pp. 119-121.

would never be able to forget the graves of the Confederate dead. The novelist realized he had the contrasting elements of a good story which could weave together two types of sensibility, one northern, one southern, in a statement about the difference of the two. “Scene, milieu and characters are blended so successfully that the reader finds himself not only engaged in the story, but in the larger clash between two cultures, temperaments and histories.”[10] Though absorbed by the contrast between North and South, Fitzgerald does not lose touch with the reality of the cities he is describing: St. Paul, Minnesota and Tarleton, Georgia. In Sally Carrol Happer he creates one of the most convincing young girls, individualizing her not only through a characteristically Southern speech, but also through a prevailing sunny disposition. A tightly plotted story, it uses the right incidents to illuminate characters and has an inevitability that even a somewhat forced, theatrical climax cannot mar.

Fitzgerald’s two longest and most complex stories are to be found in the volume *Tales of the Jazz Age*. “The Diamond as Big as the Ritz” is one of his best achievements in the field, and a very useful story when it comes to a discussion of the author’s attitude towards money and American materialism. It is, nevertheles, a story built on a preposterous presumption: that wealth can be found in a pure form in nature and that one can appropriate it through sheer will-power. As Maxwell Geismar observes, “The Diamond as Big as the Ritz” starts “as a fantasy of extravagant luxury, but it soon becomes a fascinating parable of the American propertied class”.[11] The people of Braddock Washington’s ilk have corrupted the government to keep their land. They have turned their clock back to keep their slaves. They have had to ‘liquidate’ their unwitting guests and the more indiscreet members of their family to keep their secret; pinned to the altar of wealth, they have become inhuman. There is more serious satire in this story than in the other fantasies. The forbidding village of Fish, with its twelve men who “suck a lean milk from the almost literally bare rock” is one vision of the barren materialistic world Fitzgerald saw beneath the very surface of the American life his stories most often described. The kingdom of Braddock Washington, with its rococo motion-picture chateau, his unmatchable wealth and his slaves is the vision of Heaven that the undernourished American imagination most often envisions. The climax of the story is the attack upon Washington’s kingdom and his attempt to bribe God – “God had his price, of course”. But God refuses the bribe; the dream ends with the young man, John Unger, escaping from the mountains with Kismine and Jasmine, Braddock Washington’s two daughters. The wealth

[10] Eble, p. 56.
[11] Geismar, p. 310.

of John Unger's dreams has escaped him, and he ends with the second-best: the sentimental romance of the beautiful and empty-headed girl. The story strongly asserts some fundamental beliefs that Fitzgerald had always hinted at: that "poverty is dull, degrading and terrifying, and irremediable by pious homilies about the blessed poor; and that youth is the most precious form of wealth and even that is somehow non-negotiable without the fact of or the illusion of wealth and beauty."[12] But it can also be read as a counterpart to the statements made in "The Rich Boy": yes, the very rich are different, but they may be different in a very evil, immoral way. Like Gordon Sterrett in "May Day" and Nick Carraway in *The Great Gatsby*, the Fitzgerald figure, John Unger, moves further and further away from his original enchantment, from his vision of wealth, and becomes more clearly an outsider. Throughout the story, the romance and the satire are tightly interwoven, the one providing the surface which teases the imagination, the other suggesting the depths beneath. The emotional extravagance of the dream is comparable to the emotional cheapness of the romance.[13] The ending emphasizes the unreality of the life lived by the characters of Braddock Washington's ilk:

"What a dream it was", Kismine sighed, gazing up at the stars. "How strange it seems to be here with one dress and a peniless fiance! Under the stars", she repeated. "I never noticed the stars before. I always thought of them as great big diamonds that belonged to someone. Now they frighten me. They make me feel that it was all a dream, all my youth."

"It *was* a dream", said John quietly. "Everybody's youth is a dream, a form of chemical madness."

"How pleasant then to be insane!"

"So I'm told", said John gloomily. "I don't know any longer. At any rate, let us love for a while, for a year or so, you and me. That's a form of divine drunkenness that we can all try. There are only diamonds in the whole world, diamonds and perhaps the shabby gift of disillusion."[14]

"May Day" is the starkest of Fitzgerald's early stories. In its episodic charcater and in its seriousness it it seems a little contrived, but the skill Fitzgerald displays in marshalling large scenes, in keeping background and continuing action nicely balanced and in tying the disparate elements of the story closely together is admirable. The story is long (11 parts), complex, marvellously orchestrated, in a sense prophetic. As Geismar says, "May Day" almost summarizes, in its sixty pages, the drama of the post-war

[12] Eble, p. 80.
[13] Eble, p. 81.
[14] F. Scott Fitzgerald, *Babylon Revisited and Other Stories*, Scribner Paperback Fiction, Published by Simon & Schuster, New York, 1996, p. 113.

decade.[15] Indeed, in this concentrated text, Fitzgerald almost manages to turn the paraphernalia of personal youthful experience into the larger concerns of the country at large. It is a brilliant piece of social history, which catches a memorable day and its mood, as well as its ambivalence: the traditional May Day, with all its associations of youth and merriment, of crowning a May Queen and dancing around the Maypole. But the story also reminds us that Mayday is a distress signal, therefore a warning about harder times to come, and that at the beginning of the 20th century that date was increasingly used for rallies and demonstrations. The description of the Gamma Psi ball is remarkable. But this American undergraduate dominion, hardly established, is already trembling. Outside of Delmonico's the mob is gathering, while a "gesticulating little Jew with long black whiskers" (Trotsky, no doubt) delivers a revolutionary speech. Two drunken, clownish soldiers, who accidentally become involved with the Gamma Psi dance, are the liason officers between these two worlds. They weave in and out of the story like Shakespearean clowns. As Walter Allen remarks, "they are not presented with more sympathy than the college boys and they are without redeeming qualities; in the end we see them as the college boys' *doppelgangers*, their shadows in the Jungian sense."[16] Though these charcaters from the lower depths – Carrol Key and Gus Rose – are as much from literature as from life, but they are used efficiently. They create a perfect contrast, and are, in a way, an indirect comment on the behaviour of the reckless young people whom Fitzgerald admired. Also, they represent the lower depths by which Gordon Sterrett, already an outcast, might eventually be absorbed. From their perspective, the children of the rich appear ever more childish, more irresponsible than at the beginning of the story. They sound a note of foreboding – through them, Fitzgerald was prophesying, symbolically, the hardship to come. As Walter Allen Puts it, "This was one of [Fitzgerald's] strengths as a writer: he was never taken in by the glitter – he was aware of the presence of the Furies." [17]For all the contrived relationship between Edith Bradin, the Fitzgerald girl, and her brother Henry, the young idealist who works on a socialist newspaper, the atmosphere of the May Day riots is powerfully created.

For a writer not used to depicting violence, the mob's attack on *The New York Trumpet*, Key's fall from the window, Gordon's suicide, are all done with restraint, without losing impact. In the end, we may quarrel about the character of Gordon Sterrett, the young provincial artist with the vision of debutante beauty clouding his eyes and his mind. His suicide comes as a shock.[18]

[15] Geismar, p. 308.
[16] Allen, p. 145.
[17] Allen, p. 146.
[18] Eble, p. 76.

The story skillfuly intertwines several characteristic themes: art's dependence on money (Gordon Sterrett's desperate attempt at getting financing for his threatened artist's life from his former Yale classmate Philip Dean), the emptiness of lives devoted to business careers and illusory social success, love's subordination to money (Edith Bradin's refusal to resume her love affair with a now destitute Gordon), class-conflict (the antithesis between the two "soldiers' and the young men of the Yale Club), street riots caused by the lack of prospects for the de-mobilized soldiers, the stubborn conservative resistence to new ideas – the mob's refusal to accept Socialist ideas and its sticking to an empty patriotism. The life of the underpriviledged is not presented in full, but it is more insitently and convincingly hinted at than in other stories and novels, in which it is only used to illustrate hatred of poverty and of the bad manners resulting from it. "May Day" is significantly motivated by Fitzgerald's first sharp consciousness of class cleavages in American society, together with important cleavages of period in American history. "Its formal construction on social principles (Mr In and Mr Out) is obvious enough; what usually goes unnoticed is the way in which Fitzgerald's symbolic method extends his critique from the manners of the drunken undergraduates to the pervasive malaise of an entire civilization. The hubris with which these characters fade from the story in a parody of the Ascension dramatically and comically pinpoints the materialistic hedonism, along with its counterpart, a vulgar idealism, which Fitzgerald is already identifying as his culture's fatal flow."[19] The symbolic image of Columbus's statue, drenched in the light of dawn, seems to convey the message that a dream which began many centuries ago has ended in kitch and falsity (even though it speaks for several centuries of American history): " Dawn had come up in Columbus Circle, magical, breathless dawn, silhouetting the great statue of the immortal Christopher, and mingling in a curious and uncanny manner with the fading yellow electric light inside."[20]

From the collection *All the Sad Young Men* two stories, "The Rich Boy" and "Winter Dreams" need retain our attention. The former is closely associated with Fitzgerald's fascination with money. It is here that the narrator begins by saying: "Let me tell you about the very rich. They are different from you and me". This statement has been discussed at length and poked fun at, as it was taken to reveal Fitzgerald's unquestioning admiration of the leisure class. But Fitzgerald was a lot wiser than that. He went on to explain: "They possess and enjoy easily and it does something to them, makes them soft where we are hard, and cynical where we are trustful, in a way that, unless you were born rich, it is very, very difficult to

[19] Edwin Fussell, p. 45.
[20] F. Scott Fitzgerald, p. 67.

understand. They think, deep in their hearts, that they are better than we are, because we had to discover the compensations and refuges of life by ourselves. Even when they enter deep in our world or sink below us, they still think they are better than we are. They are different."[21] This explains Fitzgerald's attitude towards this world he made his own. It was a world to which by birth and background he was an outsider. The story "The Rich Boy" follows the fortunes of Anson Hunter from childhood, through Yale and World War One, through one love affair which breaks through short of realization, and one abortive affair with a girl he does not love. At the close, still a bachelor, Anson is preoccupied with being thirty, devoid of emotion except when he is drinking, and then inclined to seek someone to love him, and help him to explain himself. Anson Hunter is the best example of Fitzgerald's attempt to understand the man for whom wealth is a natural right. "In a way, the rich boy is like a Platonic form: he lacks the substance to be found in the struggling human being trying to shape himself into that ideal. Much of Fitzgerald's examination of these dual characters was concerned with trying to see clearly the values of both the ideal and the copy."[22] What Fitzgerald sees in Anson Hunter is not so much what is characteristic of the rich as what is characteristic of himself when he insists on living like the rich. This story has often been compared with *The Great Gatsby*, not only in theme and subject, but also in the manner of narration. Anson Hunter is a convincing portrait of a rich young man, and the narrator's attitude towards him hardly varies: the story ends on the same dispassionate tone with which it began. Though the narrator remains anonymous, he moves into certain sections of the story as strongly as nick Carraway moves into *The Great Gatsby*. The closing section of "The Rich Boy", seen explicitely through the narrator's eyes, has almost the same precise quality that Carraway's presence and reflections give to the novel.[23] The anonymous narrator propels Anson, just as Fitzgerald did with the Washington girls, to the realm of daydreaming and infinite promise: "I don't think he was ever happy, unless some one was in love with him, responding to him like filings to a magnet, helping him to explain himself, promising him something. What it was I do not know. Perhaps they promised that there would always be women in the world who would spend their brightest, freshest, rarest hours to nurse and protect that that superiority he cherished in his heart."[24]

"Winter Dreams" narrates the experiences of a fourteen-year-old boy, Dexter Green (who strongly resembles Fitzgerald's alter-ego, Basil Duke Lee).

[21] F. Scott Fitzgerald, p.152.
[22] Eble, p. 66.
[23] Eble, p. 107.
[24] F. Scott Fitzgerald, p. 187.

He too lives in the world of his dreams, and yet is very subtly aware of his realtionship to the world outside. He quits his job as a caddy abruptly when his "witer dreams" unconsciously dictate to him to do so, as he falls in love with a girl of superior worth, Judy Jones. The rest of the story folows the prototypical pattern of the provincial boy from the middle class rising into sufficient wealth and power to claim the rich girl of his dreams. As Fitzgerald himself acknowledged, it was a short version of *The Great Gatsby* and we are not so much interested in the central character's success in love and business as we are in the romantic notions that drive him to achieve them. The story ends on an ironic note: Dexter, now rich and successful, learns that Judy has gone through an unhappy marriage and is no longer beautiful, and he cries not so much for lost love as for a lost country of youth and illusion, in which his "winter dreams" were possible: "Even the grief he could have borne was left behind in the country of illusion, of youth, of the richness of life, where his winter dreams had flourished.

"Long ago", he said, "long ago, there was something in me, but now that thing is gone. Now that thing is gone, that thing is gone. I cannot cry. I cannot care. That thing will come back no more."[25]

It is the "essential truth evoked by the reshaping of the author's own experience" that gives these stories their stamp of quality.[26]

Several stories, written between 1929 and 1931, Fitzgerald's last long period of residence abroad, use Europe as a setting. "The Swimmers" proposes the double vision, or deliberate contrast, between Europe and America, a Jamesian theme not often tackled by Fitzgerald. In this particular story, Europe is as important as the characters. But "Babylon Revisited;' is clearly the most representative of these. Through the account of a Virginian's unsuccessful marriage to a French woman, the contrasts between Europe and America are as obviously drawn as they could have been in a story written by Henry James. The story reflects the inner conflicts and the outward circumstances of Fitzgerald's personal decline in the 1920's. The conflict is between the protagonist, Charles Wales, and his past. Wales has lived a Babylonian type of life in the Paris of 1920, has lost his wife, for whose death he is blamed by her family, has made a new start in New York and is now back to Paris to claim his daughter, who has been living with his wife's sister and her husband. The party is now over: it was terminated by the snow of the Great Depression. It is now hangover morning. But Charlie Wales has faith in his capacity to endure and survive and is determined to retrieve the shards of his former happy life. The story creates a nice contrast between Marion and her husband and the freer spirit of Charles Wales. It also registers the genuine emotional link between

[25] F. Scott Fitzgerald, p. 135.
[26] Eble, p. 34.

father and daughter and the regret mixed with nostalgia with which, at a more mature age, one looks back upon the reckless follies of youth. “Though the story ends with a desperate contrivance”, says Eble, “ it is worth reading, if only for its style and for its skillful contrasts between two cultures.”[27] Another story with an European background is “One Trip Abroad’, closely connected with the novel *Tender Is the Night* and included in the collection *Taps at Reveille*. Like Fitzgerald’s fourth novel, it is concerned with the gradual decay in Europe of a young American couple of “good breeding and sufficient wealth to be idle”[28], condition without which the essential Jamesian epic paradigm would be imposssible.

“The Freshest Boy”, also included in the collection *Taps at Reveille*, is actually an earlier story and a central piece in the Basil Duke Lee group of stories. It tells the story of the most unpopular boy at the St. Regis school. The Midwestern boy who had appeared in some earlier stories is now brought into the larger world for which he has yearned and is painfully rebuffed by that world. Emotionally, Basil develops considerably and has a number of insights which help him understand the variety and complexity of the world and of human character. His trip to New York to see a play allows him to get a glimpse into the souls of other people and understand that “life for everybody was a struggle, sometimes magnificent from a distance, but always difficult and surprisingly simple and a little sad.”

Many stories are variations on the same subject. That of the loss of illusion, of the impossibility of perpetrating a happiness that is dependent on youth. They are, in the last resort, stories about time.

In all Fitzgerald’s stories we identify a romantic perception of wonder, eventually stripped of its enchanting and falsifying illusions.

[27] Eble, p. 121.
[28] Eble, p. 124.

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DO WE KNOW HOW TO MAKE A PRESENTATION? PRINCIPLES OF EFFECTIVE COMMUNICATION

ANCA LUMINIȚA GREERE

ABSTRACT. A PowerPoint presentation is a very common thing these days used in a variety of contexts such as class rooms, business meetings and job fairs. We will ask ourselves what makes a presentation effective. Is the simple usage of PowerPoint tools equated with professionalism or are there given aspects that render a presentation efficient? What skills must a presenter have for the act of communication to be labelled professional? In the current study we propose to look at such aspects that must be considered for a PowerPoint presentation to impact effectively on the recipient.

1. BASIC PRINCIPLES

Presentations are held at conferences or with different occasions. They are meant to inform the audience of (1) state of facts, (2) proposals for research projects, (3) results of research, (4) outcomes of projects etc.

A PowerPoint presentation will combine oral skills with writing skills in that information is presented orally by usage of visual/written support. Nowadays, PowerPoint presentations are used to help the audience follow the argumentation by offering visual support for key words or images relevant for the argumentation.

The presentation is a form of monologue (with interactive characteristics now and then), where extratextual elements (attitude, posture, gesture etc.) and intratextual (vocabulary, syntax) elements come into play. These will produce an overall effect on the recipient who will then react positively or negatively to the presentation as an informative action resulting from the (hopefully efficient) combination of the speech with the slideshow.

When preparing a presentation the following aspects should also be considered in order to make the presentation as accessible as possible:

(1) Presentations must also entertain. Evaluate your audience's profile and the occasion of the presentation to establish how entertaining.
(2) To avoid boredom, make funny comments here and there. But then make sure you give the audience time to laugh and to get over the funny effect and their reaction before you move along.
(3) Interact with the audience wherever possible.
(4) Do not expect people to read the slides, especially when you put up long text or sentence structures.

(5) Design your slides as clean as possible. Keep them uncomplicated with information that can be grasped at a glance.
(6) Only include key words with minimal entrance animation allowing you to put them up on the screen one by one as you discuss the subject.
(7) Choose appropriate colours to contrast background and text.
(8) Choose large text font and easy readable styles.
(9) Never read from your notes. It will be difficult for you to simultaneously handle the PowerPoint and your written notes. If someone else handles the slideshow, you will most probably lose pace if you are reading.
(10) Remember, things can always go wrong when technology is involved: Have a printed version of the slideshow just in case you cannot project it.
(11) Remember, generally, listeners like to receive a handout.

2. COMPULSORY ELEMENTS

SPEECH. The following elements will become relevant for the oral aspect of the presentation.

- **Vocabulary and syntax.** The words used (e.g. specialized vs. non-specialized) and the explanatory techniques should be adapted to the recipient and the situation at hand.
- **Methods.** In order to keep your public focussed you will have to interact with specific rhetorical/pedagogical devices meant to attract attention either by simulation or by fact. You can simulate interaction by appearing to ask questions without expecting an answer from the public as the answer is to be found on the slideshow and will enter on your click (e.g. 'And, what do you think we found? click', or 'And this led to…[with a inquisitive eye towards the audience] click'. In this case the question/tag-question is only a means of moving the argumentation forward, but it will keep the public alert to the possibility of having to provide answers. Or, you can ask questions and receive/await answers from the audience, answers which you then incorporate in your presentation. Or, you may give out tasks to be solved by the audience. If the participants to the presentation are not too many, you can devise some pair or group work just to attract attention before the actual presentation. Make funny comments, where appropriate. Never forget that interacting will keep the public on their toes.
- **Attitude.** Attitude is very important. You should be enthusiastic about the subject under discussion as this might instil a similar enthusiasm in your recipients. However, make sure you don't overdo it. Excessive enthusiasm might be received negatively or with reluctance.

- **Intonation.** A variable tone of voice can ensure a boredom-free presentation. However, try to modulate your voice without reaching very high disturbing pitch.
- **Facial expression.** Have a communicative look about you and maintain as much as possible eye contact. Switch regularly from individual contact to group contact and from the front to the back of the room. Use mimicry to show (1) disappointment with a result or an undertaking, (2) doubt as to outcome fulfilment, (3) enthusiasm about the subject, (4) surprise as a turning point in the argumentation etc..
- **Gestures.** It is important to move about either from one position to another in the room or by using your hands. However, do not 2overdo it with gestures and body language as this can become distracting throughout the presentation and avoid unnecessary/uncontrolled gestures (like scratching). If you want to point at something, use a laser beam.
- **Posture.** Use an upright professional posture. Always stand during the presentation. It is easier for people to follow you.
- **Dress.** A presentation in front of an audience is always a special occasion. Dress accordingly. Don't overdress (i.e. very smart outfits) and don't underdress (i.e. every day, casual wear) Business dress is preferred.

SLIDESHOW. When you design the slideshow you need to provide a master slide + individual slides.

- **Master slide.** A master slide will be designed to include the date of the presentation, your name, your affiliation and the logo of your institution, if applicable, on each distinct slide you project. Make sure the colours you choose are friendly to the eye, i.e. not too bright and not too light. Also, choose a background that will contrast with the text to facilitate the reading of the text. Consider the fact that maybe in some rooms you cannot close blinds or draw curtains to make the projection more visible, so if you have strong colours against a light background you stand a better chance at having the text easily read.
- **Slides.** Adjust the number of slides to the time you have allocated for the presentation. Remember to allow at least 5 minutes of questions at the end of the presentation.
  Arrange slides into coherent, easy-to-follow flow of argumentation with logical steps. The first slide should be the title slide, and then you can have a slide outlining the content to be tackled. The last slide should as a matter of courtesy contain the words 'thank you' and an e-mail contact address.

Each slide should only contain one issue under one heading. If you need more slides for the same topic, continue with the same heading and maybe number the slides (e.g. Waste Management, Waste Management (2), Waste Management (3)) Never leave a slide without the heading. If your listener has, for a time, lost attention, they should always be able to return to the slideshow without any difficulty of understanding what point in the presentation you are at.

Always design uncrowded slides (containing the key words arranged logically), with large, easily readable text. Do not design the text on the slide to contain everything that needs to be said. The slide is not there for you to read from but rather as a prompter with key words that you will then web into coherent argumentation. Balance the number of slides with the amount of information per slide. Rather than having fewer slides you should prefer to have clear-content slides.

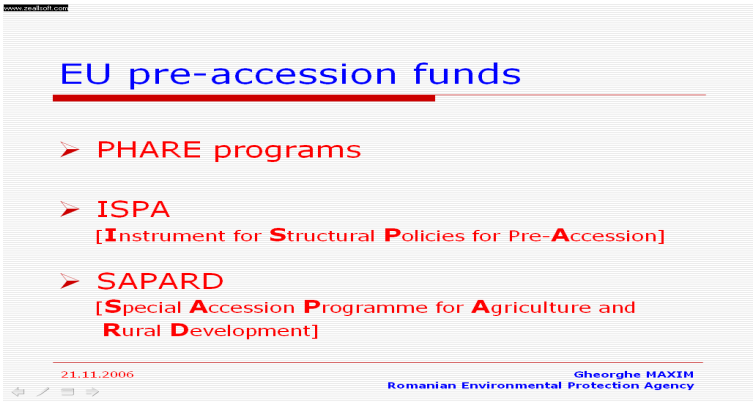
Use uncomplicated custom animation with minimal entrance effects and non-distracting sounds. Some effects are considered underprofessional if used in inappropriate contexts.

Use, if appropriate, pictures/ diagrams/ tables/ schemas to illustrate what you are talking about. Visual elements will always break the monotony of the written text as will audio-visual elements. If you use cartoons evaluate the potential impact to see whether they might reduce the level of professionalism exhibited by the presentation in the eyes of the audience. If so, do not use them. Anyhow don't use very many cartoons. If the audience laughs throughout the presentation they will probably not retain any informative elements. You should not forget that ultimately the main purpose of the presentation is information communication and NOT entertainment.

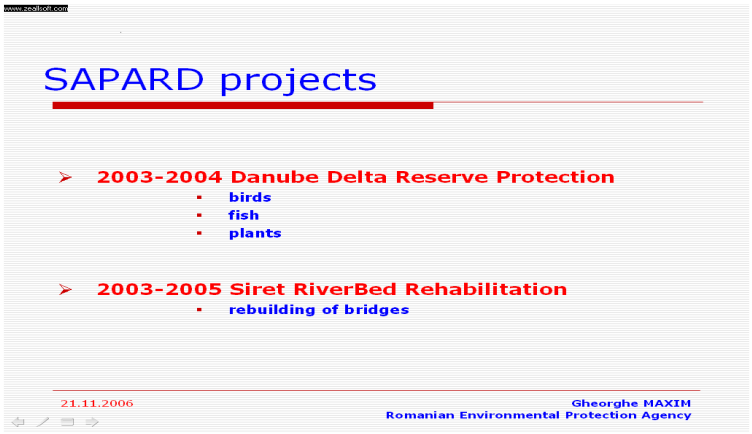
(http://www.iasted.org/conferences/formatting/Presentations-Tips.ppt)

Find below an example representing an excerpt from a PowerPoint presentation. Notice how the elements depicted above have been employed.

ROMANIAN ENVIRONMENT improved
European Projects
21.11.2006
Gheorghe MAXIM
Romanian Environmental Protection Agency


EU pre-accession funds
PHARE programs
ISPA
[Instrument for Structural Policies for Pre-Accession]
SAPARD
[Special Accession Programme for Agriculture and Rural Development]
21.11.2006
Gheorghe MAXIM
Romanian Environmental Protection Agency

...


SAPARD projects
2003-2004 Danube Delta Reserve Protection
birds
fish
plants
2003-2005 Siret RiverBed Rehabilitation
rebuilding of bridges
21.11.2006
Gheorghe MAXIM
Romanian Environmental Protection Agency

CONCLUSIONS

In this study we have proposed to look into effective principles of designing and delivering a PowerPoint presentation. We have seen that it takes more than IT features to make it the recipients' worth while. Simple aspects such as colour contrast, type of effects chosen and not least intonation will all impact on the reaction the recipient will have vis-à-vis the presentation. To conclude we will state that the presenter must consider both intratextual (i.e. the text proper) as well as extratextual (i.e. the context of delivery) aspects in order for the presentation to be successful.

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ASSESSING THE DEGREE OF NOUN GROUP COMPLEXITY IN PRINT COMMERCIAL ADVERTISING

ANISOARA POP, MIHAI ZDRENGHEA

ABSTRACT. Standard noun group (NG) distribution defined as the most frequent, median-clustered distribution is represented by a manifest predilection for simplicity versus complexity in print commercial advertising except for cases of technical products, role borrowing and exquisite copies for luxury products. Although the NG can be the most loaded structure employed as an appropriate device of economy and compression, NG structure is considerably biased towards simplicity irrespective of the copy length. The functions of information and commendation in NGs are achieved by throwing into focus the product name and thematizing on product attributes in the case of postmodification, whereas in premodification structural economy is achieved either through modifier clustering or simply by compressing and essentializing full sentences.

1.INTRODUCTION

Standard advertising "grammar" was defined by Leech (1966:105) on basis of "linguistic choices made more frequently than elsewhere and how much more frequently these choices are made".

The current paper will define and determine the "standard" operating at the lowest syntactical level, the noun group, through statistical distribution analysis and will consider the ways in which this constituency functions to contribute both information and commendation.

1.1.Hypothesis. Having infinite potential for pre- and post-modification with embedded and subembedded structures, NGs are able to perform both informational functions and commendation. Although the NG can be one of the most loaded groups, NGs in print commercial advertising are simple and therefore contribute persuasion through memorability. Multiply-modified noun groups (NG_{mm}) appear in longer copies or instances of role borrowing and can be product-specific as in the case of luxury commodities where the NG contributes sophistication, exquisiteness and superimposes connotations of overabundance.

The **method** consisted primarily of functional grammar analysis of a corpus of 50 advertisements (C_e) as to NG structure: simple (NG_s), complex (NG_c) and multiply-modified (NG_{mm}), as well as statistical interpretation of the results. The linguistic variable under survey – the NG – was considered as number of counts per advertisement.

1.2. Corpus (C_e) Description. Written texts, i.e. verbal language (with consideration of visual artifacts where necessary) of 50 advertisements,

were selected from random issues of the British Journals: *Time* (September 1991, July 1995, March 1996), *Newsweek* (August 1995, March 1996, June 2003,) and *The Economist* (June 2003, August 2003, September 2003,). A further variable – copy length, relevant for the purpose of our demonstration – was introduced and the corpus was subdivided into short (S-copy) - comprising 28 - and long copy (L-copy), comprising 22 advertisements. A wide spectrum of products was covered, starting from cigarettes (7), technical products such as bank services, travel, express (16), watches (7), cars (6) other technology (3); beer and alcoholic drinks (5); to food (3), detergents (1), and luxury products: perfume (2).

2.THE NOUN GROUP

2.1.Noun Group Structure

A Noun Group (Richards, 2002 : 8) is defined as an expanded noun, although it can be quite often represented by a single entity (2), e.g.: 1."The colours of a hot desert wind…" vesus 2. "Nikon makes them timeless", with the underlined noun groups above operating at the same rank. Complex noun groups usually include the following constituents within their structure: Premodifier/"The" + Head Noun/"colours" + Postmodifier/PrepP:"of a hot desert wind". Structural constituents can have various functions within the NG: a) the head noun has an experiential function (i.e. to represent the "thing" which can be [± Animate], [+ Human]); b)the referer (here, the definite article "the") defines the scope of reference; c) postmodifiers narrow down the meaning of constituents, in our case the posmodifying PrepP is a constituent with an embedded NG_{mm} with its own referer ("a"), describer ("hot") and classifier ("desert").

NG complexity can increase to a greater and greater extent, embedding other groups, phrases, or even clauses (non-finite, relative):

> e.g.: "The (Toyota) MR2 is only one **example** of the **spirit** of **creativity and innovation** taking hold at Toyota"

The structure of the underlined NG_{mm} functioning as attribute (traditionally subjective complement) in a relational attributive process has the following description:

> Premodification: **only one** + $HEAD_1$: **example** + Postmodification: **of the spirit of creativity and innovation taking hold at Toyota**
>
> $Head_1$ Postmodification structure: Prep Phrase:**of** + NG_2 {premod:**the** + $head_2$: **spirit** + posmodification}
>
> $Head_2$ postmodification (PrepP: **of** + $Head_3$ - 2 coord NG_3 : **creativity and innovation**) + Postmodification
>
> $Head_3$ postmodification : participial clause – **taking place at Toyota**

Starting from the assumption that the NG is a sensitive index of style, Quirk (1972:857) demonstrated the affinity existing between prose, fiction, and informal spoken English, in having a markedly increased proportion of simple versus complex NGs (less than one-third) as opposed to scientific writing, which, for the sake of overt explicitness, displays a distinctly higher proportion of NG_{mm}. A much stronger association of simple to subject and complex to non-subject, as well as a proportion of nearly one half of the simple NGs, represented by pronouns and names, also characterized the prose/informal spoken English sample.

Other syntactic functions of NGs deployed by the C_e corpus, besides that of subject (prevalent in NG_s, non-subject being predominant in NG_c and NG_{mm}) are: a) object: "When you make *a great beer*, you don't have to make *great fuss*" (Heineken); b) complement: "For generations Tuborg has been *part of the noble art of beer drinking*" (Tuborg); c) adjunct: "Nikon takes photography to new dimensions" (Nikon).

In order to demonstrate the existence of standard versus nonstandard linguistic choices at NG level, the total C_e 653 NGs were divided into:

A. **Simple** NGs (NG_s) – including noun groups with no heavier modification than closed-system items, with a further distinguished sub-class of pronouns and names;
B. **Complex** NGs (NG_c) – including NGs with: a closed-system item in premodification, plus a single adjective premodifier or a prepositional phrase postmodification
C. **Multiply-modified** NGs (NG_{mm}) – NGs with heavier modification.

2.2.Class I (Class$_1$) – Simple Noun Groups

In the closed-system premodifying items of $Class_1$, the following structural elements were included: a) predeterminers: all, both, half; b) articles (definite, indefinite, zero); c) demonstratives; d) passives; e) inclusives: no, neither, every, each, either; and f) closed-system quantifiers: many, few, little, some, any.

NG_s (see table 1 below) prevail in the corpus under scrutiny (346, 53%), advertising language falling from this point of view into the category of informal spoken English and prose fiction from Quirk's findings (1972:933).

Table 1.

NG structural distribution within the C_e

			Subject position
NG_s	346	Pronouns 153 Names 82	115
NG_c	128		16
NG_{mm}	179		19
Total	653		

Moreover, the subclass of pronoun and name NG_s has a high occurrence rate (68%), which is only natural since high rates of personal pronouns are expected in any communicative though unidirectional exchange. The rate of product/brand name frequency is even higher at individual level with 6-8 name counts/ad (including headline, copy, slogan, and image), the repetition of product name contributing to mnemonic functions.

Within $Class_1$ pronouns, top frequency was attained by "YOU" (your, yours – 39%) the explicit, yet ambiguous between Tu/Vous, formal/informal intimacy/distance, voice of the narratee. This narrative voice, "an absence of identity" (Cook, 1992:180**)**, is furthermore ambiguous between a fictional narrator and the real-world company representatives, or copy-writers. "YOU" acknowledges the existence of a consumer, connects, and appeals to emotion.

"WE" (our, ours 27%) functions as either we-including-you expressing solidarity as in: "And let's talk choice"(British Telecommunications), or we-exclusive-of-you functioning as addresser/sender's voice: "*We* made this watch *for you*" (Patek Philippe).

That copy-writers thrive for precise identification of their product or service is evident in the plethora of definite reference and reference restriction through demonstratives, possessives and inclusives (either referring to a group as a whole "all", or as individuals: "any", "every") and if name mentions are added as indicators of unique reference, almost 45% of the NG_s have restricted and unique reference.

The closed-system quantifier "many" under its analytical comparative form "more" may have high rate counts only per sample but is far less trendy, i.e. not standard, in the whole C_e. The following DHL ad is, for instance, designed on the "*more*" leit-motif as the "unique selling proposition" (USP) of the service:
Slogan: "*More* reliability"
Copy: "The new DHL offers you *more* performance, *more* service and *more* options in more than 220 countries"

Similarly, non-standard for advertising NG structure is the sedulous avoidance of negative and non-assertive pronominal forms: 1 token: "When it comes to tight hairpins at high speeds, *nothing* takes them better" (Toyota); 2 tokens: "Needs *no* battery" (Seiko).

2.3. Class II ($Class_2$) - NG_c

$Class_2$ includes 20% of the NGs of the C_e and comes as such on the third place after NG_{mm} (see table 1 above) both as frequency and as NG_c in subject position.

As stated before, postmodification (post-m) functions to narrow down the meaning of NG constituents. Explicitness in post-m decreases as we move from relative clauses to indefinite clauses and then to prepositional phrases, due to the specifying power of the relative pronoun and of the non-finite predicator. Therefore, in $Class_2$ post-modification explicitness is the lowest since it includes

only the prepositional phrase (PrepP) modifiers (T_{rel}, T_{del}, $\pm$ T_{pass}). This runs contrary to exact labeling purposes in advertising and could represent a functional explanation for the poorest representation of NG_c in the corpus.

The highest rate within PrepP postmodification was represented by the periphrastic genitive form with the preposition "of", a result consistent with the literature (Quirk, 1972:885). Postmodification with "of" is three times more frequent than finite/non-finite clausal modification and derives from kernel strings with "have" inserts. Our findings do not coincide however with those obtained by Leech (1966:133) who underscored a tendency of advertising English to use brand names, not necessarily product names, nouns of place and time with synthetic genitive modification. Only one count ("Cartier's Pasha Watch") of the synthetic genitive post-m was found, which testifies to a propensity for the balanced, more objective style of the analytical genitive.

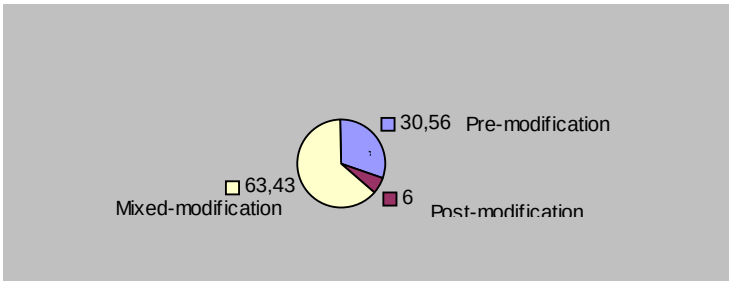
Other minor postmodification types included: a) PrepP with other prepositional head than "of": "the calcium *in* milk"; b) apposition: "the name *DHL*"; c) Adv-p: "And you'll be seeing it on roads *everywhere*".

Standard premodification (pre-m) of $Class_2$ was represented by: a) qualitative adjective groups (Adj G) (51%) functioning as describers: "a busy flight", "a great beer", with "new" as basic product quality: "*New* dreams, *new* world" (Boeing). b) superlatives (inflected Adj G): "the *lowest* fare"; c) comparatives: "Only the few ever discover the *finer* points" (Tio Pepe); d)compounds: "With *cutting-edge* thinking, rigorous delivery and an absolute commitment to long-term client value" (Deutsche Bank).

Non-standard pre-m was represented by classifying nominals ("guide books", "whatever name"), or adverbial elements (DHL. "Worldwide express")

2.4. Class III ($Class_3$) – NG_{mm}

Multiple modification has an extremely variegated texture and is cultivated with a greater commitment than complex modification in $Class_2$ since its ultimate goal is to define, underscore, and extol the product qualities. In our statistics (table 1) NG_{mm} comes second place after NG_s and before NG_c. Chart 2 below presents the distribution of bare pre-m, bare post-m and mixed modification in NG_{mm}.



2.4.1.Premodification in NG_{mm}

Statistically, pre-m in NG_{mm} covers 30.57% of the total 179 cases in $Class_3$. It is a moderately employed technique with at least two basic functions: a) to throw into "thematic" position NG constituents and then through climactic ascent, to focus on the head noun: "the first ultra-low Tar" (New Salem); b) to achieve utmost structural economy by clustering modifiers in pre-head position. Were the pre-m constituents shifted to post-m position, explicitness would definitely increase but only at the expense of greater memory strain.

A. Adjectives in pre-m are by far the most frequent type and can especially attach two connotations to their heads:

Scope-expanding adjectives: "*global* leader in air express"(DHL); (+ emphasizer: "truly) *global* airline" (Thai); "*worldwide* reputation for service" (Thai); "*European* leader in parcel delivery" (DHL); "*world*-class beer" (Double Dark)
Mostly **scope-restricting adjectives**: "the *single* comfortable flight"(Scandinavian Airlines); **focusing adjuncts** : "the *only* watch"(Seiko); **time-relationship adjuncts**: "the *first* ultra-low tar" (New Salem); **emphasizers** with heightening effects: "*true* driving pleasure"; **synthetic or analytic superlatives**: "one of the world's *finest* beers" (Cartier), "the world's *most demanding* clients"(Deutsche Bank); **superlative absolute, especially amplifiers** denoting extreme degree, scaling upmost from the norm: "the *perfect* balance of power and control" (Toyota);The special type of **inherent, informative adjectives**, usually characteristic of scientific registers, is lavishly found in car advertisements, such as: "*ventilated*", "*independent* (part)", "*tight*". These adjectives contribute to what is termed "factual", objective claims, clearly verifiable by reference to the external world. (physical attributes of the car), as opposed to "evaluative", subjective judgments which are hardly verifiable. Preponderant here is the dynamic adjective type (i.e. can be employed with the continuous aspect and/or the imperative): "*constant* and *even* tension" (Rolex) versus the static: "a flame *blue* sky" (Nikon).

Piling up adjectives, either adverbially submodified as in "extraordinarily smooth, mellow, dark beer" (Dark Beer) or coordinated, has often rhetorical effects of *alliteration* as in the following Chanel advertisement: "**s**ensual, **s**weet and **s**picy elements to create a hint of sexiness and naughtiness". The main function of alliteration is to enhance the product appeal and memorability (Harris, 1986:14).

B. Lengthy NG_{mm} premodification usually combines NG premodification with adjectives as in the following examples: 1."our 23.000 satellite-linked computer terminals"(Lufthansa); 2)"its new 2.0-litre 16-valve twin cam turbo" (Toyota).

Pre-modifying compounds may be represented by embedded adjective groups ("high-end fault-tolerant resources" - +hp) or embedded NGs (its new 2.0 litre 16-valve twin cam turbo – Toyota).

2.4.2. Postmodification in NG_{mm}

Post-m as the single heavy NG_{mm} has a poor, non-standard representation in the sample (6% - see Chart 2) and if we exclude cases of deceiving bare post-m such as plural noun heads – actually zero modified – and A_{31} which is an instance of religious role-borrowing exhibiting half of the bare post-m counts, the most conspicuous conclusion is that bare post-m is not only nonstandard for advertising, but practically an impossible NG modification type. Moreover, even the cases of relative clause post-m in ad no 31 (A_{31}, see role borrowing below)- "Christmas Prayer" (New York Life Insurance) of the following type have inherent pre-m: a)"that / which divides them", "that which unites them" – an in-built closed-system predeterminer of the type: "the" + Demon (Roberts, 1964); b) "all / who work for a world of reason and understanding" (zero article); c)"the good / that lies in every man's heart" – a describer as NG head.

2.4.3. Mixed Modification in NG_{mm}

Mixed modification defines 63.5% of the C_e (see Chart 2) and consists of a closed-system pre-modifying unit plus one or more open-class pre-modifiers (adjectives, nouns), and one or more postmodifiers (PrepP, non-finite clauses, definite relative clauses). In this conglomerate, the order of NG elements paralleling that of the clause, postmodifying structures can be said to have similar functions to units placed in the clause rheme for focus and end-weight: they are most likely and purposefully placed there in order to be retained and perceived as newsworthy: e.g. "the presence of an object of **rare perfection**".

Complexity in mixed modification can theoretically continue ad infinitum since each post-modifier may contain in its turn another potentially expandable element. This catenation is made possible by:

⇒ NG operating within a PrepP functioning as object of that preposition. The following is an example of 4th degree embedding (embedded NG_1 within a $PrepP_1$ within a NG within a $PrepP_2$ within a NG_2):
"the presence of an object of rare perfection"

embedded $PrepP_1$:	of an object of rare perfection
embedded NG_1 /object of $prep_1$:	an object of rare perfection
embedded $PrepP_2$:	of rare perfection
embedded NG_2 /object of $prep_2$:	rare perfection

⇒ Defining relative clauses rankshifted in order to function as modifiers of heads within NG_{mm}
-introduced by "that": "an open solution *that delivers business continuity"* (+hp),
-or zero relative: "the commitment *DHL shows*" (DHL)

⇒ Relative clause + PrepP embedding:
"a company *that can take real care <u>of your business</u>*"

- Embedded NG in pre-m + embedded relative clause in post-m "a *service* partner *who delivers promptly*" (DHL)
- Submodified adjective premodifier + PrepP + relative clause post-m:

"a *decidedly* young scent *for those* who dare to dream"

⇒ Non-finite clauses, which are in themselves means of syntactic compression (lack distinction of mood, modality) and function as adjectival groups: a) (Coordinated) infinitive clauses: "Your passion to push harder, to make it happen, to get it done"; b) Present participle clauses (T_{rel} + T_{del}): "a rental car waiting for you on the other side of the globe"; c) Agential past participle ($T_{passive}$ + T_{rel} + T_{del}) acquiring temporary reference (Quirk, 1972:911): "Only Cognac / made from grapes / grown in Cognac's best regions, is entitled to be called Fine Champagne Cognac".

2.4.4. Role-borrowing

NG_{mm} are particularly frequent in cases of role-borrowing, i.e. linguistic elements specific for other registers accommodated by advertising. Extraneous, non-standard advertising elements are encountered especially in products requiring a more "technical" description, such as cars, electronics, which, in order to persuade and sound basically informative, comply with the scientific register as in A_{34} for SAAB 9000 CS model. In this case the ratio NG_s/NG_{mm} is 6/12 (**0.5**), i.e. reversed, compared to the total C_e corpus, with a single NG_s in subject position versus seven NG_{mm} in non-subject positions.

A situation of borrowing from the religious register is the advertisement for New York Life Insurance – A_{31} - with the headline: "Christmas prayer", and where the ratio 7 NG_s/ 8 NG_{mm} is higher but still below zero (**0.8**).

In order to demonstrate that these advertisements are not standard to the advertising group structure, we have calculated a standard distribution ratio of $NG_s/NG_c + NG_{mm}$ for the 22 long-copy advertisements in C_e as:

$$\text{median } NG_s/\text{median } (NG_c + NG_{mm})$$
$$= 293/231 \cong 56\% > 44\% \Rightarrow \text{a standard of } NG_s/NGc + NG_{mm} \boxed{\mathbf{1.27}}$$

Where exactly A_{31} and A_{34} are positioned relative to the standard, can be seen in Chart 4.

2.4.5. Other Functions of Weighty Modification

Overloaded NGs increase NG structural complexity and are meant to shed a complete and especially most commendatory light on the product. As already mentioned, multiple pre-m is often associated with rankshifted relative clauses as modifiers of noun heads, extensively complemented by coordination in a desire to hold attention and, by making a serious arrest on it, to impinge on recall, as in the example below:

A_{21} (DHL): "DHL Worldwide Express, *global leader in air express*, Danzas, *global leader in air and ocean freight*, and Deutsche Post Euro Express, *European leader in parcel delivery* have joined together under the

name DHL to create a new global standard" – 3 coordinated NG names with 3 NG_{mm} appositions in post-m.

The function of such complex, coordinated NGs is to perform precise descriptive-informative purposes, to sound factual and scientific, and sometimes to connote at the associative level, fastidiousness and sophistication, as in the following Thai advertisement (A_{24}) with standard $NG_s/NG_c + NG_{mm} = 3/10 =$ **0.3**

Headline: "Enjoy *Royal Orchid Service* on a truly global airline.

Copy: *Thai's worldwide reputation for service* continues to grow along with *a route network that now spans the globe*. *Royal Orchid Service* stands for *gourmet food, vintage French wines, friendly ground staff, charming cabin crew*, *and a fresh orchid* for every passenger. So, no matter *which class you fly* or *which of the 73 destinations you're flying to*, you'll be glad you chose Thai.

Slogan: Thai. *The airline that's smooth as silk*."

Chanel A_{44} is somewhere in between with a standard ratio of complexity 2/5 (**0.4**). (see Chart 3) Long, flowing noun groups connote seduction:

"Chance. Chanel.

The unexpected new Chanel fragrance. *A decidedly young scent for those who dare to dream. Fresh, floral notes* merge with *sensual, sweet and spicy elements* to create *a hint of sexiness and delicious naughtiness"*

We have seen that what is generally accepted in literature and empirically discernible as role borrowing has a reasonable standard ratio of complexity, ranging between 0.5-0.8. The results show that heavy and complex NG modification (a $NG_s/NG_c + NG_{mm} = 0.3$-0.4 above) is a signal of something more than mere intellectual appeal, commendatory effects or reason-adding functions: it is a lofty fustian language that attracts attention through itself, through extravagance and overabundance. In such situations there is no interest in obtaining brevity, no feature is of lesser import and language resources are overtly exploited to the extreme. A legitimate conclusion would therefore be that more complex syntaxes have a strong association with conspicuously sophisticated copies for luxury products that might also indicate a more polite, less straightforward soft sell.

2.4.6. Block Language. NGs as Major Realisation of an Ad

Block language (Quirk, 1980:414) is defined as the language of posters, labels, sign-posts, etc. where no other constituent except the NG and sometimes Adv-G or Adj-G suffice for effective communication since context usually precludes ambiguous interpretations. A NG can function as the sole representation of a minor clause since it emphasizes key-words and contributes language economy (Bruthiaux, 1996).

Advertisements for luxury products such as perfume are especially prone to NG structural exploitation. Since smells do not have denotations,

perfumes cannot subscribe to factual descriptions and instead exploit the resources of abstract, vaguer language, including superlatives, subjective opinions, metaphor, etc. (Shimp, 1978:198). Moreover, NGs as all other types of disjunctive language (Leech, 1966), communicate at the sublogical level and whatever severe or exaggerated a claim the copywriter makes, it cannot be challenged. Commonly, NGs function as attention-triggers and, together with frequent use of nominal groups, contribute to memorability (Nayak, 2002:6).

The Chanel copy is based on 7 NGs, out of which two NG_{mm} in apposition to the brand and product name (NG_s) and only 2 verb groups (VG). In A_{12} (Cartier) a similarly NG-slanted composition with Adj-G minor clauses (see ad below) in independent position inclines the balance in favor of participant roles: carrier, attributes. The only two processes expressed by the relational attributive "to be"VG specific to descriptions, are of intensive type and assign the object-carrier new attributes. Commendation and attitude ("exceptional", "most outstanding") are therefore lavishly bestowed on the product: Headline: *Cartier. The Pasha Watch*; Brand name NG_s is apposition to NG_c product name.

Copy:	
(1) Historic. Classic. Bold.	1. Sentence fragments – Adj G
(2) Cartier Pasha Watch **is** (2a) *the renowned jeweler's most outstanding tribute to men of this era*.	2a. NG_{mm} the attribute mapped into the complement
(3) An exceptional watch, crafted from a gold ingot.	3. NG_{mm} also attribute but "fragment" to obtain focus effects, with agentive past participle clause in post-m.
(4)Powerful, pure [and] distinguished, watertight, designed to capture <u>the spirit of those who thrive on the prospect of challenge, of conquest.</u>	4. Attributes expressed by Adj-G coordination, agential past participial clause functioning as Adj-G. NG_{mm} with embedded Prep P with embedded relative clause: "the spirit (PrepP) **of those** (Rel cl) *who thrive on the prospect of challenge, of conquest"* Rel clause with embedded PrepP and embedded NG: "*the prospect* (PrepP) *of* (NG) *challenge,* (PrepP)*of* (NG) *conquest*.
Decidedly in time with our time. *5. This* **is** *the ultimate watch*. Slogan: 6. Cartier. L'arte d'être unique.	5.NG_s – carrier + Attributive Process + NG_c Attribute 6. Brand name NG_s in apposition to NG_{mm}

Except for the two finite clauses (2) and (5) the copy text rests on minor clauses with embedded structures of depth and great complexity. NGs demonstrate to successfully substitute full sentence communication due to their ability to substitute predication and therefore to compress and essentialize. This is to be explained transformationally through the fact that adjectives, PrepP, non-finite clauses as NG modifiers, derive from relative

clauses through T_{rel}, T_{del}, ± T_{pass}, ±T_{NM}, with "be" and less often "have" VG deleted in the surface structure (Roberts, 1964). As such, NGs have a great propensity for carrying describers of product qualities and attitude, which are the ultimate goals of descriptive copies.

2.5. Standard Ng Ratio for Long and Short Copies

In order to demonstrate the existence of standard advertising language we have derived a statistically-based interval within which the linguistic variable, in our case NG complexity, can oscillate, not because it is imperiously necessary for all advertisements to fall within it in order to qualify as successful, but in order to identify to what an extent they deviate from their own intrinsically-set standards.

The derived common denominator was arrived at through statistical analysis of the NG structure in the two sub-groups of 22 long copy (L-copy) and 28 short copy (S-copy) advertisements. The "long" and "short" distinction was introduced for reasons of relevance of standard deviation as it is obvious for NG structure to be constrained by copy-length. For instance, cigarette advertisements are almost invariably short whereas car and technical product advertisements are long. An average for NG_s – to point to simplicity - and another average for NG_c + NG_{mm} – indicative of complexity - were calculated for each L-copy and S-copy sub-groups.

For the S-copy advertisements comprising 113 NG_s(62.8%), 35 NG_c(19.4%) and 32 NG_{mm} (17.8%) the following standard ratio was obtained:

62.8 > 37.2 = **1.7** Their distribution is seen in Chart 3 below.

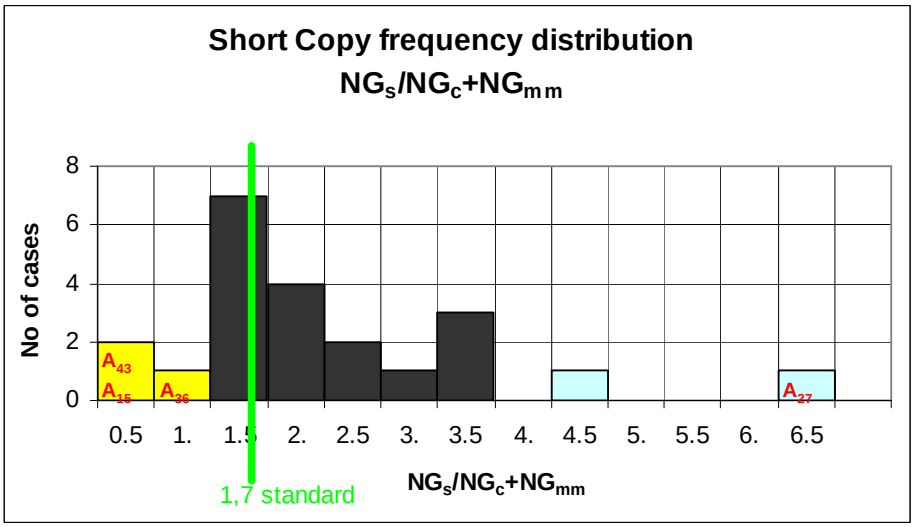


Chart 3. Short copy standard distribution of NGs/NGc+NGmm

For the L-copy (Chart 4) advertisements comprising 293 NG_s (≈ 56%), 231 NG_c + NG_{mm} (44%) and the obtained ratio was:

Long copy standard NG_s/NG_c+ NG_{mm} ratio: 56 > 44 = 1.27

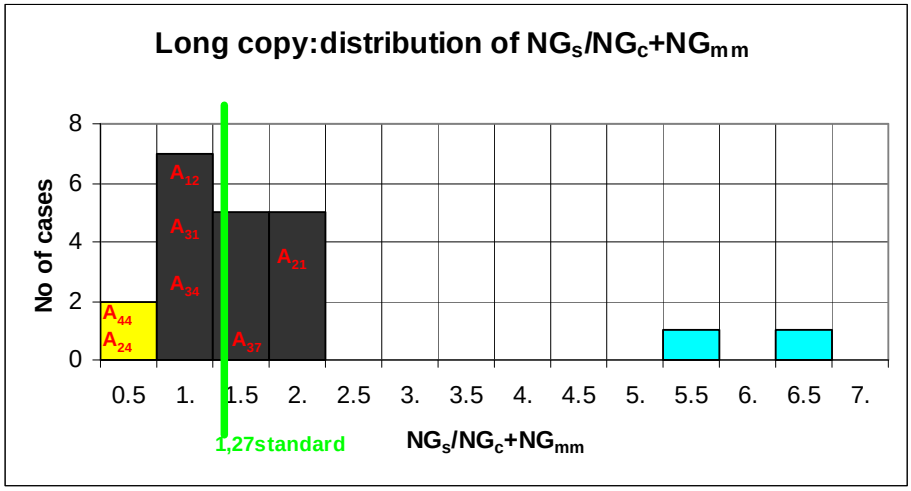


Chart 4. Long copy standard distribution of NGs/NGc+NGmm

2.5.1. Discussions

According to statistics, standard advertising English includes a high frequency of simple NGs versus more complex and multiply-modified NGs in both S- and L-copy. Contrary to expectations, no strong association of **L-copy** and NG_c + NG_{mm} was found, the ratio being above 1. The frequency histogram illustrates distributions tightly clustered around the mean (1.27) and non-standard, deviant distributions widely scattered. Such deviant, even reversed ratio distributions of heavy NG_{mm} exceeding NG_s is to be found only in two cases: A_{24} (Thai) and A_{44}(Chanel), discussed above as examples of sophistication, exquisiteness, stately fustian language, and even aggression to the senses.

The following seven advertisements, although below standard, have a more balanced, standard-clustered distribution. Ads showing a modest **standard deviation** are usually attributed to role-borrowing, and can be even intuitively perceived as impinging on non-standard specificity. Technical, electronic services ads which presuppose employment of informational, more elaborated structures, have a lower standard deviation (Mitsubishi: 1,16; Nuvis:1.23) than cases of role borrowing (0,5 – 0.8) and especially than the two extremely elaborated cases A_{24} and A_{44} mentioned above (0.3-0.4).

At the other extremity of the gamut are three L-copy ads (Patek Philippe, Deutsche Bank, Seiko) which, though offering "serious" technical products and services such as bank services and watches, bring forth conspicuously informational content, and prefer a more intimate approach which exploits the potential of NG_s for intimacy and involvement at the expense of more fastidious and elaborate structures.

S-copy comprises ads whose basic texture included the headline, the slogan, and not more than 1 or 2 body copy sentences or sentence fragments. Five of the short-copy advertisements having either only NG_s (4) or only complex NG_{mm}(1) were not included in the graph since no ratio could be either calculated or graphically represented without a missing variable. Only in 3 out of the 28 samples, did the proportion of heavily modified NGs exceed the simple NGs with a ratio below standard. (0.25 – 0.66) (Chicken, Stuveyssant, Boeing).

The greatest majority, however, are very close to the standard, clustered within the interval 1-2, a relative frequency of 0.5 with 11 advertisements falling within this range, and the rest deploying even a more marked tendency towards simplicity. Extreme simplicity is exhibited by Singapore Airlines advertisement (A_{27}) with just one NG_{mm} and 6 NG_s: Headline: "Where do *you* need to be?"/How will *you* get there?/Does *it* matter?/ Yes, *it* matters." Slogan: "*The journey* is *the destination*" Signature line: "*A great way to fly*."

3. CONCLUSION

Standard NG distribution defined as the most frequent, median-clustered distribution is represented by a manifest predilection for simplicity versus complexity. In both long and short copies standard NG distribution has a value of $NG_s/NG_c+ NG_{mm} > 1$. Out of the 653 examined NGs, 53% were represented by NG_s a proportion which is maintained even when the distinction short versus long copy is introduced. While in S-copy the ratio of simple versus complex is $NG_s/ NG_c + NG_{mm} = 1.7$, in L-copy the ratio is lower, 1.27 but still considerably biased towards simplicity which justifies the conclusion that complexity is not a standard for either short or long copy. Advertisements showing a modestly higher proportion of complex NGs are either attributed to role borrowing or to product type (technical products) comprising informational, more complex constituents. Whenever technical products prefer simplicity the approach gains in intimacy and involvement. A more complex NG structure was generally observed to have a strong association with sophisticated copies for luxury products.

NGs can frequently represent the only realization of an advertisement and function as economy devices. NGs are able to successfully substitute full sentence communication due to their ability of substituting predication, thus contributing to memorability through emphasis on key word heads..

Standard advertising language except for technical, role borrowing and exquisite copies, is biased on keeping the NG simple, informal, and easy-to-process-and-remember.

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ON THE WORD 'WORD'

DORIN CHIRA

ABSTRACT. How many words are there in a sentence? The most probable answer is that there are as many words as items separated by spaces. But is this really the case? In what follows we try to find an answer.

To give a clear account of what 'word' means is anything but simple. Let us have a look at the following example given by Jackson (1988: 1): *You can't tie a bow with the rope in the bow of a boat.* How many words are there in this sentence? The most probable answer to the question is that there are fourteen words since there are thirteen spaces between the items, since in writing a word is seen as an item bounded by spaces. The item *can't* is formed of two words, *can* and *not*. If we regard *can't* as two words we can count fifteen words. Some words occur more than once, for example *a* and *the*. Are they the same word and, therefore, counted once? Are they two different words? If the two occurrences are seen as the same word, the total comes to thirteen. What is to be said about the two occurrences of *bow?* Here we are dealing with the same arrangement of letters: *b*+*o*+*w*. From an orthographic point of view the two occurrences of *bow* constitute a single word and bring the total to twelve words (the orthographic representation neglects the meaning of the words). Therefore, the answer to the question above is anything but simple.

Despite these difficulties, however, certain features are fundamental to English (cf. McArthur, 1998), each having its own 'word'*: orthographic, phonological, morphological*, *lexical* (also: *full word, lexeme, content word*), *grammatical, onomastic, lexicographical, statistical, translinguistic.* In addition, there are some other expressions that describe kinds of words and word-like units. Thus, there are: groups in which *word* appears: *base word, buzz word, compound word, root-word;* terms based on *–ism*, such as *Americanism, malapropism*; terms based on *–onym*, such as *synonym, antonym, aponym, acronym*; terms that refer to form more than meaning, such as *complex word, abbreviation, portmanteau word, acronym*; terms that refer to meaning more than form: *eponym, hard word, antonym*; terms that relate to social usage, such as *anagram, stunt word, palindrome, loanword*.

According to Matthews (1974: 20ff, also cited by Lipka, 1990: 72) the term *word* can be used in three different senses: *word 1,* or in technical terms *word-form*, consists of a sequence of sounds, syllables, or letters

(phonological/orthographic), *so man/men, die/died* are different words in this sense; however, these different forms belong, on a deeper level, to the same abstract unit (*man* or *die*), namely *word 2*, or in Matthews' terminology, the same *lexeme*; finally, the same chain of sounds or letters may denote a different grammatical *word 3*; Matthews suggests the term *word* for this third sense. In this context, Matthews draws attention on the difference between *type* and *token:*

> '…we might ask our programmer to print out a complete list of all the different words which appear in any particular novel (we will call these words *types*), and to set against each the total number of occurrences in that novel (the total number of *tokens*)'. (1974: 27)

Obviously, the number of occurrences of *tokens* in a novel is greater than the number of *types* in it. The relationship between *tokens* and *types* is one of substance: concrete tokens can be said to provide examples of abstract types. The 'types' of words belong to the lexical, phonological, and orthographic system of a language, i.e. Saussure's *langue* while the 'tokens' belong to its concrete realization (Saussure's *parole*).

There are some objections to the notion of 'word' (cf. Lyons, 1968, Palmer, 1971, Matthews, 1974, also cited by Dutescu-Coliban, 1983). We mention here: a) there are languages without words b) the term is ambiguous c) the term can be defined neither as a semantic unit, nor as a phonological unit, nor as an isolable and indivisible unit. All these critical remarks were made by those who advocated the morpheme. Some of their objections, however, are arbitrary and one-sided. Thus, the term 'ambiguous' can be avoided if one admits that there are several senses in which the term 'word' can be used. In traditional grammar, for example, *went* and *answered* (in *He answered*), *gone* and *answered* (in *He has answered*) are considered 'forms' of the same words: *go* and *answer*, and therefore a difference is made between 'words' and 'word-forms'. The two *answered* are identical phonological words, but grammatically they are different. The term 'lexeme' is used for the abstract units *go* and *answer,* represented by different phonological and grammatical words.

In spite of the various debates, some few characteristics of the term 'word' can be formulated:

- words are certainly linguistic signs (the reverse is not true, since not every linguistic sign is necessarily a word)
- words have attached meaning
- 'cohesiveness'. Matthews (1974: 161) says that just as a part of a word does not, as a rule, appear on its own (unless, of course, it is itself another word), so the parts cannot, as a rule, be separated by other forms (unless, of course, the whole is then a new word). This characteristic implies the next two features.

- 'positional mobility'; the example given by Lyons, *the-boy-s-walk-ed-slow-ly-up-the-hill*, contains ten morphemes, which occur in a particular order. However, permutations are possible (cf. Lyons, 1968: 202); for this characteristic there is another equivalent property, stated by Marchand (1960: 1): words can be used 'in isolation'
- 'impenetrability', i.e. no material can be inserted between their constitutive elements (cf. Marchand, 1960: 3). According to this, *to* is a word, because one can say *to carefully study* (ibid)
- words are 'the smallest sentence units – no smaller units being able to form a sentence in its own right' (Matthews, 1974:160)
- as minimal signs, words can be polymorphemic. Aronoff (1976: 8) points out 'that there are minimal signs which are polymerphemic was first stressed as an important fact…by Chomsky'
- another important characteristic of words is 'the fixed ordering of constituent elements' (cf. Matthews, 1974: 162); thus, *outlet* is different from *let-out, shotgun* from *gunshot*, or *cart-horse* from *horse-cart*.

Clearly, words are not the smallest linguistic signs. The word consists of at least one free lexical morpheme or a whole series of lexical morphemes, like *funny bone, eavesdrop, eastmost*. The result of such combinations is one lexeme, and this is evident from the possibility of assigning it to a specific word class. Lipka (1990:73) says that even very complex words can be inflected and, therefore these inflected words are then cases of word-forms, not instances of new lexemes.

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AMERICAN SOAPS VS. BRITISH SOAPS

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ABSTRACT. A soap opera involves multiple perspectives and no consensus: ambivalence and contradiction is characteristic of the genre. There is no single 'hero' and the wide range of characters in soaps offers viewers a great deal of choice regarding those with which they might identify. Most soaps follow the lives of a group of characters who work in a particular place, or focus on a large, extended family. The storylines follow the day-to-day lives of these characters. In many soap operas, in particular daytime serials in the United States, the characters are generally more attractive, seductive, glamourous, and wealthy than the typical person watching the show. This is true to a lesser extent in soap operas from Australia and the United Kingdom, which largely focus on more everyday characters and situations and are frequently set in working class environments. Many Australian and UK soap operas explore social realist storylines such as family discord, marriage breakdown, or financial problems, and sometimes include significant amounts of comedy.. In US daytime serials the most popular soap opera characters, and the most popular storylines, often involved a romance of the sort presented in paperback romance novels. Romance, secret relationships, extra-marital affairs, and genuine love have been the basis for many soap opera storylines. Soap opera storylines sometimes weave intricate, convoluted, and sometimes confusing tales of characters who have affairs, meet mysterious strangers and fall in love, and who commit adultery, all of which keeps audiences hooked on the unfolding story twists. Crimes such as kidnapping, rape, and even murder often go unpunished, unless the character is being written off. In what follows we will try to identify the features that individualize US and UK soaps.

1.0. The soap opera form originated on U.S. radio in the 1930s, and expanded into television starting in the 1940s. They normally air during the daytime, hence the alternative name, **daytime drama** (sometimes the umbrella term "daytime" is used to describe a schedule of soap operas, despite talk shows and game shows appearing in the same time slots). Another name colloquially used in the United States for soap operas, mostly among older viewers and people in rural areas, is "**stories"**, because the format tells multiple "stories" over a period of time.[1]

[1] Radio soap operas began in Chicago in 1930 when WGN broadcast the fifteen minute drama *Painted Dreams*, about the trials of an Irish-American widow and her daughter. By the start of World War II there were dozens of popular soap operas. The world's longest-running radio soap opera, *The Archers*, was first broadcast in 1951 by the BBC and reached its 15,000th episode in November 2006. The first concerted effort to air continuing drama on television occurred in 1946 on the DuMont television series *Faraway Hill*. Soap operas were introduced to network television in 1949, with NBC's short-lived *These are My Children*, followed by NBC's *Hawkings Fall* in June 1950 and CBS's two year run of *The First Hundred Years* in December

The term “soap opera” originated from the fact that when these serial dramas were aired on daytime radio, the commercials aired during the shows were largely aimed at housewives. The “soap” in soap opera alluded to the fact that many of the products sold during these commercials were laundry and cleaning items, and included a jingle praising the product. The “opera” suggested an ironic incongruity between the domestic narrative concerns of the daytime serial and the most elevated of dramatic forms. This specific type of radio drama came to be associated with these particular commercials, and this gave rise to the term “soap opera” - a melodramatic story that aired commercials for soap products. Though soap operas are still sponsored by companies such as *Procter & Gamble*, the diverse demographic groups that soap operas attract have caused other advertisements for such things as acne medication and birth control, appealing to a much younger audience.[2] In the absence of systematic audience measurement, it took several years for broadcasters and advertisers to realize the potential of the new soap opera genre.[3] Most network soap operas were produced by advertising agencies and some were owned by the sponsoring client.

Soap operas continued to dominate daytime ratings and schedules in the immediate post-war period. In 1948 the ten highest rated daytime programs were all soap operas, and of the top thirty daytime shows all but five were soaps. As television began to supplant radio as a national advertising medium in the late 1940s, the same companies that owned or sponsored radio soap operas looked to the new medium as a means of introducing new products and exploiting pent-up consumer demand.[4] By the 1951-1952

1950. Two long-running soaps, *Search for Tomorrow* and *Love of Life*, started broadcasting in 1951. *Guiding Light* began on radio in 1937 and first aired on television in 1952.

[2] What most Americans have known as soap opera for more than half a century began as one of the hundreds of new programming forms tried out by commercial radio broadcasters in the late 1920s and early 1930s, as both local stations and the newly-formed networks attempted to marry the needs of advertisers with the listening interests of the consumers. Specifically, broadcasters hoped to interest manufacturers of household cleaners, food products, and toiletries in the possibility of using daytime radio to reach their prime consumer market: women between the ages of eighteen and forty-nine.

[3] By 1937, the soap opera dominated the daytime commercial radio schedule and had become a crucial network programming strategy for attracting such large corporate sponsors as *Procter and Gamble, Pillsbury, American Home Products*, and *General Foods*.

[4] Procter and Gamble, which established its own radio soap opera production subsidiary in 1940, produced the first network television soap opera in 1950 (*The First Hundred Years*). It demonstrated some of the problems of transplanting the radio genre to television. Everything that was left to the listener’s imagination in the radio soap had to be given visual form on television. Production costs were two to three times that of a radio serial. Actors had to act and not merely read their lines. The complexity and uncertainty of producing fifteen minutes of live television drama each weekday was vastly greater than was the case on radio. Furthermore, it was unclear in the 1950 if the primary

television season, broadcasters had demonstarted television's ability to attract daytime audiences, principally through the variety-talk format.

1.1. Soap operas are of two basic narrative types: open soap operas, in which there is no end point toward which the action of the narrative moves; and closed soap operas, in which, no matter how attenuated the process, the narrative does eventually close. The closed soap opera is more common in Latin America, where it dominates prime time programming from Mexico to Chile. These *telenovelas* are broadcast nightly and may stretch over three or four months and hundreds of episodes. They are, however, designed eventually to end, and it is the anticipation of closure in both the design and reception of the closed soap opera that makes it fundamentally different from the open form.[5]

Broadcast serials have the advantage of a regular time-slot (often more than once a week), but even if some viewers miss it they can easily catch up with events. Any key information which might have been missed is worked into the plot when necessary. Nevertheless knowledge of previous events can usefully be brought to bear by habitual viewers, and doing so is part of the pleasure of viewing for them. Viewers are also in an omniscient position, knowing more than any character does. The form is unique in offering viewers the chance to engage in informed speculation about possible turn of events.

In the United States, at least, the term soap opera has never been value neutral. As noted above, the term itself signals an aesthetic and cultural incongruity: the events of everyday life elevated to the subject matter of an operatic form. To call a film, novel or play a "soap opera" is to label it as culturally and aesthetic inconsequential and unworthy.[6] Particularly in the United States, the connotation of "soap opera" as a degraded cultural and aesthetic form is inextricably bound to the generated nature of its appeals and of its target audience. Soaps are frequently derided by some critics for being full of clichés and stereotypes, for having

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target audience for soap operas – women working in the home – could integrate the viewing of soaps into their daily routines. One could listen to a radio soap while doing other things, even in another room; television soaps required some degree of visual attention.

[5] The first *telenovelas* – which differ from U.S. soap operas in that each begins and ends within about a year's time – appeared in the 1960s, when a group of Cuban screenwriters led by Delia Fiallo began adapting radio theater stories for use on television. From the outset, these stories, with themes taken from classical tragedy – betrayal, forbidden love, punishment – captivated television audiences throughout Latin America.

[6] The Sunday Times TV critic, A. A. Gill, for example, amazingly enough ignores soaps because he does not want to invest his time in watching programs that never come to a conclusion. In such a manner he is able to ignore the most viewed and talked about shows on the box! Though I doubt that he includes news and current affairs that feature equally inconclusive events. I wonder if a sports columnist could get away with never reviewing sports that involve balls because he's against anything that can be kicked or rolled.

shoddy sets, for being badly acted, trivial, predictable and so on. Soap viewers (often assumed to be only women, and in particular working-class housewives) are characterized unfairly as naive escapists. Given the great popularity of the genre, such criticisms can be seen as culturally elitist. Robert Allen (1992:112) argues that to emphasize *what* happens *when* in soaps (in semiotic terms the *syntagmatic* dimension) is to underestimate the equal importance of *who* relates this to *whom* (the *paradigmatic* dimension). Certainly *relationships* are more important than *plot.*

1.2. The soap opera always has been a woman's genre and it has frequently been assumed (mainly by those who have never watched soap operas) of interest primarily or exclusively to uncultured working-class women with simple tastes and limited capacities. Thus the soap opera has been the most easily parodied of all broadcasting genres and has been associated with "low" culture. [7]

Despite the fact that the soap opera is demonstrably one of the most narratively complex genres of television drama whose enjoyment requires considerable knowledge by its viewers, and despite the fact that its appeals for half a century have cut across social and demographic categories, the term continues to carry this sexist and classist baggage. Producers, and apologists for soaps, point out that they provide an educational and public service. Certainly the main objective of the British *The Archers* radio soap when it was established in the post war years was to give agricultural advice to farmers in an entertaining format. In recent years it has advocated the benefits of organic farming, and amongst the drama of country folk it does sometimes address farming issues. The British TV soap, *Brookside*, set in a Liverpool housing estate, often introduces stories that raise social and ethical issues. It has covered everything from incest, cults, racism, drugs, crime, lesbianism, mental breakdown, bullying, euthanasia and sexual abuse. It went on to deal with infertility treatment and abortion. The major British soaps, *Coronation Street* and *East Enders* often take such issues onboard. Coronation Street has just had a major storyline about the dangers of internet chat rooms. East Enders has a plot about abortion, it is just toyed with an incest story, but their main storyline is about the court case of local gangster/businessman Phil Mitchell.

2.0. Sure soaps can publicize all kinds of issues but their influence is conditioned and restricted by their own format. A lot depends on the characters they use to present an issue - a 'good' character being racist or gay will have a different impact on the audience compared to a 'bad'

[7] When in the early 1990s the fabric of domestic life amongst the British royal family began to unravel, the press around the world began to refer to the situation as a "royal soap opera", which immediately framed it as tawdry, sensational, and undignified.

character with the same traits. Since soaps are on-going one or several episodes they can show a character getting away with murder, but we all know that in the unwritten code of soaps that they will be found out and punished, eventually. In other words soaps can present several sides to an issue without positively endorsing any one course of action.

The joy of soaps is that they allow the audience to 'live' with the characters and storylines. With this knowledge we can wonder how characters will respond to upcoming situations or revelations. The viewer invests their morals, attitudes and beliefs in to the soap and can speculate about how they would react to the same situations and dilemmas. Just like the characters in soaps they allow us to gossip with friends and family about the goings-on in soaps (Watson, 2006:2).[8]

2.1. The structure of soaps is complex and there is no final word on any issue. A soap opera involves multiple perspectives and no consensus: ambivalence and contradiction is characteristic of the genre. There is no single 'hero' (unlike adventures, where the preferred reading involves identification with this character), and the wide range of characters in soaps offers viewers a great deal of choice regarding those with which they might identify. All this leaves soaps particularly open to individual interpretations (more than television documentaries, suggests David Buckingham 1987: 36).

Tania Modleski (1982) argues that the structural openness of soaps is an essentially 'feminine' narrative form. She argues that pleasure in narrative focuses on closure, whilst soaps delay resolution and make anticipation an end in itself. She also argues that masculine narratives 'inscribe' in the text an implied male reader who becomes increasingly omnipotent whilst the soap has 'the ideal mother' as inscribed reader. Narrative interests are diffused among many characters and her power to resolve their problems is limited. The reader is the mother as sympathetic listener to all sides. Easthope argues that the masculine ego favors forms which are self-contained, and which have a sense of closure. 'Masculine' narrative form favors action over dialogue and avoids indeterminacy to arrive at closure/resolution. It is linear and goal-oriented.

Soaps make consequences more important than actions, involve many complications, and avoid closure. Dialogue in masculine narratives is driven by plot which it explains, clarifies and simplifies. In soaps dialogue blurs and delays. There is no single hero in soaps, no privileged moral perspective, multiple narrative lines (non-linear plot) and few certainties.

[8] They are not public information films, indeed many of the so called issues raised seem to be introduced just for their sensational impact, but they do help us see issues worked out in a relatively realistic setting that transcends cold-hard facts.

Viewers tend to feel involved interpreting events from the perspective of characters similar to themselves or to those they know.

Not much seems to 'happen' in many soap operas (by comparison with, say, an action series or an adventure serial) because there is little rapid action. In soaps such as *Coronation Street* and *Brookside* what matters is the effect of events on the characters. This is revealed through characters talking to each other. Charlotte Brunsdon argues that the question guiding a soap story is not 'What will happen next?' but 'What kind of person is this?' (in Geraghty 1991:46). Such a form invites viewers to offer their own comments.

Most soaps follow the lives of a group of characters who work in a particular place, or focus on a large, extended family. The storylines follow the day-to-day lives of these characters. In many soap operas, in particular daytime serials in the United States, the characters are generally more attractive, seductive, glamourous, and wealthy than the typical person watching the show. This is true to a lesser extent in soap operas from Australia and the United Kingdom, which largely focus on more everyday characters and situations and are frequently set in working class environments. Many Australian and UK soap operas explore social realist storylines such as family discord, marriage breakdown, or financial problems, and sometimes include significant amounts of comedy.

Romance, secret relationships, extra-marital affairs, and genuine love have been the basis for many soap opera storylines. In US daytime serials the most popular soap opera characters, and the most popular storylines, often involved a romance of the sort presented in paperback romance novels. Soap opera storylines sometimes weave intricate, convoluted, and sometimes confusing tales of characters who have affairs, meet mysterious strangers and fall in love, and who commit adultery, all of which keeps audiences hooked on the unfolding story twists. Crimes such as kidnapping, rape, and even murder often go unpunished, unless the character is being written off. Australian and UK soap operas also feature a significant proportion of romance storylines.[9]

In soap opera storylines, previously-unknown children, siblings, and twins (including the evil variety) of established characters often emerge. Unexpected calamities disrupt weddings, childbirths, and other major life events with unusual frequency. Much like comic books—another popular form of linear storytelling pioneered in the US during the 20th Century—a

[9] In Russia, most popular soap operas explore the "romantic quality" of criminal and/or oligarch life.

character's death is not guaranteed to be permanent without an on-camera corpse, and sometimes not even then.[10]

2.2. In addition, the musical soundtrack used for a soap opera uses a style that instantly identifies it as belonging to soap operas. Soaps aired during the golden age of radio usually used organs to produce most of their music (because they were cheaper than full orchestras). The organists from the radio serials moved over to television, and were heard on some serials as late as the 1970s. Organ music was abandoned by the serials during the 1960s and 1970s to be replaced by pre-recorded library music, mostly created by synthesizers. Other soaps, especially British and recent Australian ones, frequently use pop music in their soundtrack; however UK soap operas, with their realist tone, rarely feature any non-diegetic music at all, and the popular music backing is depicted as being played on the radio within the scene.[11]

Like the storylines themselves, soap opera soundtracks were overblown and melodramatic. An instantly recognizable characteristic of a soap (one that has been spoofed and imitated many times) consists of a scene where a character delivers a shocking revelation. At that moment a single, blaring organ chord resonates on the soundtrack, emphasizing this dramatic moment.

3.0. The tradition of broadcast serial drama in Britain goes back to 1940s radio and *The Archers*, a daily, fifteen minute serial of country life broadcast by the BBC initially as a means of educating farmers about better agricultural practices. The British television serial, on the other hand, grows out of the needs of commercial television in the late 1950s. Mandated to serve regional needs, the newly chartered “independent” (=commercial) television services were eager to capture the growing audience of urban lower-middle class and working-class television viewers. In December 1960, Manchester based Granada Television introduced its viewers to *Coronation Street*, a serial set in a local working-class neighborhood. The following year it was broadcasted nationwide and has remained at or near the top of primetime television ratings ever since.

In the United Kingdom, soap operas are one of the most popular genres, most being broadcast during prime time. Most UK soaps focus on working-class communities. The most popular is ITV's *Coronation Street*

[10] For example, the death of Dr. Taylor Forrester on *The Bold and the Beautiful* seemed permanent as she had flatlined on-camera and even had a funeral. But when actress Hunter Tylo returned in 2005, the show retconned the "flatlining" with the revelation that Taylor had actually gone into a coma.

[11] Australian serial *Neighbours* has in recent years used popular songs as a soundtrack, playing grabs of music across scene transitions. Pop music is less frequent on the US serials, as the royalties needed to be paid to artists would cost too much for the production companies in charge of making the serials.

(nicknamed *Corrie*), which regularly attracts the highest viewing figures for any programme. *Coronation Street* has been a popular soap opera in the United Kingdom since the show was first aired in 1960. The series still runs, albeit with several cast changes over the years.[12] In the 1960s *Coronation Street* revolutionised UK television and quickly became a British institution. *Coronation Street'*s style, setting, and narrative are influenced by the gritty, urban, working-class plays, novels, and films of the 1950s – the so called "angry youn man" or "kitchen sink" movment. Where UK daytime serials were (and still are) disconnected from any particular locality, *Coronation Street* is unmistakably local. Where US soaps usually use class as an axis of social division, *Coronation Street* began and has to some degree stayed a celebration of the institutions of working-class culture and community (especially the pub and the café) – even if that culture was by 1960s an historical memory and *Coronation Street'*s representation of community a nostalgic fantasy. Other soap operas of the 1960s included *Emergency Ward 10* (ITV), and on the BBC *Compact* (about the staff of a women's magazine) and *The Newcomers* (about the upheaval caused by a large firm setting up a plant in a small town). However none of these came close to making the same impact as *Coronation Street*.

During the 1960s *Corrie'*s main rival was *Crossroads*, a daily serial that began in 1964 and was broadcast by ITV at teatime. *Crossroads* was set in a Birmingham motel and while the series was popular, its purported low technical standard and bad acting was much mocked. By the 1980s its ratings had begun to decline and several attempts to revamp the series through cast changes and later, expanding the focus from the motel to the surrounding community, were unsuccessful, and *Crossroads* was cancelled in 1988.

A later rival to *Corrie* was ITV's *Emmerdale Farm* (later renamed *Emmerdale*) which began in 1972 in a daytime slot and had a rural Yorkshire setting. Increased viewing figures saw *Emmerdale* being moved to a prime-time slot in the 1980s. When Channel 4 began in 1982 it launched its own soap, the Liverpool based *Brookside*, which over the next decade re-defined the UK television soap. In 1985, the BBC's London based soap opera *EastEnders* debuted and was a near instant success with viewers and critics alike. Critics talked about the downfall of *Coronation Street*, but this was put to rest in 1994 when the two serials were scheduled opposite each other, with *Corrie* winning handily. For the better part of ten years, the show has shared the number one position with

[12] Soap operas began on radio and consequently were associated with the BBC. The BBC continues to broadcast the world's longest-running radio soap, *The Archers*, on Radio 4. It has been running since 1951 nationally. It continues to attract over five million listeners, or roughly 25% of the radio listening population of the UK at that time of the evening.

Coronation Street, but the ratings for *EastEnders* reached an all-time low as of late 2004, allowing *Corrie* to regain the top spot.

3.1. Daytime soaps were unknown until the 1970s because there was virtually no daytime television in the UK. ITV introduced *General Hospital*, which later transferred to a prime time slot, and Scottish Television had *Take the High Road*, which lasted for over twenty years. Later, daytime slots were filled with an influx of old Australian soap operas such as *The Young Doctors*, *The Sullivans*, *Sons and Daughters* and eventually, *Neighbours* and *Home and Away*. These achieved significant levels of popularity. *Neighbours* and *Home and Away* were moved to early-evening slots and the UK soap opera boom began in the late 1980s. Later, 1992 saw the BBC launch *Eldorado* to alternate with *EastEnders* but it only lasted a year; however, this failure did not stop the ever-increasing prominence that soap operas would have in UK schedules.

In 1995 Channel 4 introduced *Hollyoaks*, a soap with a youth focus. *Brookside* ended in November 2003, leaving *Hollyoaks* as the channel's flagship serial. When Channel Five began in March 1997 it came with its own soap opera, *Family Affairs*,[13] which debuted as a five-days-a-week soap. In 2001 a new version of *Crossroads* was produced by Carlton Television for ITV, featuring a mostly new cast, but it did not achieve satisfactory ratings and was cancelled in 2003. In 2001 ITV also launched a new early-evening serial entitled *Night and Day*, however this series too attracted low viewing figures and after being shifted to a late night time slot was cancelled in 2003. UK soaps for many years usually only aired two nights a week. The exception was the original *Crossroads*, which began as a five days a week soap opera in the 1960s, but was later reduced. In 1989, things started to change when *Coronation Street* began airing three times a week (later expanding further to four in 1996), a trend which was soon followed by rival *EastEnders* in 1994 and *Emmerdale* in 1997. *Family Affairs* debuted as a five-days-a-week soap in 1997 and regularly ran five episodes a week its entire run.

In part because of the regionalism built into the commercial television system, all British soap operas since *Coronation Street* have been geographically to some degree, culturally specific in setting: *Crossroads* in the Midlands, *Emmerdale Farm* in the Yorkshire Dales, *Brookside* in Liverpool, and the BBC's successful entry in the soap opera field *EastEnders* in the East End of London. They have been much more specific and explicit in their class settings than their American counterpart;

[13] *Family Affairs*, which was broadcast opposite the racier *Hollyoaks*, never achieved significantly high viewing figures leading to several dramatic revamps of the cast and marked changes in style and even location over its run. This eventually saw the show gain a larger fan base and by 2004 the series won its first awards, however *Family Affairs* was nevertheless cancelled in late 2005.

for this reason their fidelity to (and deviation from) standard of social verisimilitude has been much more an issue than has ever been the case with American soaps. *Coronation Street* has been criticized for its insulated and outdated representation of the urban working-class community, which for decades seem to have been bypassed by social change and strife.

Today *Coronation Street* (which began screening two episodes on Monday nights in 2002) and *Hollyoaks* both produce five episodes a week, while *EastEnders* screens four. In 2004 *Emmerdale* began screening six episodes a week leading to the concern that soap operas in the UK were at saturation level. Today's UK soap operas are mainly shot on videotape in the studio using a multicamera setup. However UK soap operas feature a proportion of outdoors shot footage in each episode - usually shot on a purpose-built outdoor set that represents the community the soap focuses on.

3.2. Recurrent events in soap opera include courtships, marriages, divorces, deaths and disappearances. Gossip is a key feature in soaps (usually absent from other genres): in part it acts as a commentary on the action. Geraghty notes that 'more frequently than other TV genres, soaps feature women characters normally excluded by their age, appearance or status' (1991:17). Unlike a play or a series there is always a wide range of characters in a soap opera (which means that no single character is indispensable). The large cast and the possibility of casual viewers necessitates rapid characterization and the use of recognizable 'types'.

Some feminist theorists have argued that soap operas spring from a feminine aesthetic, in contrast to most prime-time TV. Soaps are unlike traditional dramas (e.g. sit-coms) which have a beginning, a middle and an end: soaps have no beginning or end, no structural closure. They do not build up towards an ending or closure of meaning. Viewers can join a soap opera at any point. There is no single narrative line: several stories are woven together over a number of episodes. In this sense the plots of soaps are not linear.

Viewers differ in the extent to which they judge soaps as ‘reflections of reality’. Whilst American soaps such as *Dallas* and *Dynasty* are seen (at least by British viewers) as largely in the realms of fantasy, British soaps are more often framed by viewers in terms of ‘realism’. However, it is misleading to regard even ‘realist soaps’ as simply ‘representing real life’. The representation of ‘reality’ is not unproblematic: television is not a ‘window’ on an objective and unmediated world. British soap operas are often described as ‘realistic’, but what this means varies.[14]

[14] There are several philosophical positions underlying people's assumptions about the nature of 'reality': (1) **Realism**: the world has an objective existence which is independent of our use of any means of representation. An attempt to represent the world in words or images may 'distort reality', but at its best can 'mirror reality'. (2) **Relativism**: we unavoidably contribute to 'the construction of reality' - of the world - in our use of words and images. We do this within cultural

'Common-sense' theories tend to be 'realist' theories in this philosophical sense. *Philosophical realism* is involved when viewers consider soaps in terms of the extent to which they offer a 'distorted image of reality' of 'the outside world' (Ang calls this *empiricist realism* on the part of viewers). From the perspective of the programme makers, *documentary realism* (Colin MacCabe calls this *classic realism* in the case of the novel) involves foregrounding the story and backgrounding the use of the conventions of the medium (e.g. using 'invisible editing'). This 'transparency' of style encourages viewers to regard the programme as a 'window' on an apparently unmediated world rather than to notice its constructedness. Realism in drama is no less a set of conventions than any other style, and it serves to mask whose realities are being presented. 'Transparency' is associated with a close sense of involvement by the viewers. It is found in most soaps, although in American soaps such as *Dallas* and *Dynasty* lapses into implausibility may tend to distance the viewer.

British soaps also employ the transparency of classic/documentary realism, but owe a great deal to the *social realist* tradition (associated with late 50s British films and kitchen-sink dramas). Social realism emphasizes 'relevance' - a sympathetic portrayal of everyday social problems recognizable to the working class (see Jordan, in Dyer 1981: 28). Plausibility and credibility is also valued more than in American prime-time soaps. Geraghty suggests that 'British soaps, because of their greater dependence on realism, are less daring [than US soaps] in displaying their own fictionality' (1991:20). John Fiske (in Seiter *et al.,* 1989:68) notes that minimal post-production work on 'realist' soaps (leaving in 'dead' bits) may be cost-cutting, but it also suggests more 'realism' than in heavily edited programmes, suggesting the 'nowness' of the events on screen. Published stories about the characters in soaps and the actors who play them link the world of the soap with the outside world, but they also allow viewers to treat the soap as a kind of game.

Ien Ang (1985) argues that watching soaps involves a kind of *psychological realism* for the viewer: an *emotional realism* which exists at the connotative rather than denotative (content) level. This offers less concrete, more 'symbolic representations of more general living experiences' which viewers find recognizably 'true to life' (even if at the denotative level the treatment seems 'unrealistic'). In such a case, 'what is recognized as real is not knowledge of the world, but a subjective experience of the world: a "structure of feeling"' (Ang, 1985:45). For many viewers of *Dallas* this was a tragic structure of feeling: evoking the idea that happiness is precarious.

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frameworks (Stanley Fish refers to 'interpretive communities'), so realities are not entirely personal and unconstrained. (3) **Idealism**: 'reality' (or 'the world') is purely subjective and is constructed by human interpretation, having no independent objective existence.

I would argue that especially with long-running soaps (which may become more 'real' to their fans over time) what we could call *dramatic realism* is another factor. Competence in judging this is not confined to professional critics. Viewers familiar with the characters and conventions of a particular soap may often judge the program largely in its own terms (or perhaps in terms of the genre) rather than with reference to some external 'reality'. For instance, is a character's current behavior consistent with what we have learnt over time about that character? The soap may be accepted to some extent as a world in its own right, in which slightly different rules may sometimes apply. This is of course the basis for the 'willing suspension of disbelief' on which drama depends. Producers sometimes remark that realistic drama offers a slice of life with the duller bits cut out, and that long-running soaps are even more realistic than other forms because less has to be excluded. However, dramatists do more than produce shortened versions of 'the film of life': the construction of reality is far more complex than this, and whose life is it anyway?

3.3. Soaps in general have a predominantly female audience, although prime-time soaps such as *Dallas* and the most recent British soaps are deliberately aimed at a wider audience. According to Ang (1985), and hardly surprisingly, in *Dallas* the main interest for men was in business relations and problem and the power and wealth shown, whereas for women were more often interested in the family issues and love affairs. In the case of *Dallas* it is clear that the program meant something different for female viewers compared with male viewers.

In 'realist' soaps female characters are portrayed as more central than in action drama, as ordinary people coping with everyday problems. Certainly soaps tend to appeal to those who value the personal and domestic world. The audience for such soaps does include men, but some theorists argue that the gender identity of the viewer is 'inscribed' in programs, and that typically with soaps the inscribed viewer has a traditional female gender identity. And 'the competences necessary for reading soap opera are most likely to have been acquired by those persons culturally constructed through discourses of femininity' (Morley, 1992:129).

As housewives and mothers, women need to be able to do several things at once, to switch from one task to another, to deal with other people's problems, to be interrupted. Redundancy and repetition make interrupted viewing possible; it has even been suggested that soaps are made to be *heard* rather than *seen*. Modleski argues that watching soap operas habituates women to distraction and fragmentation.[15] Hobson argues that women typically

[15] Dorothy Hobson interviewed women office workers in Birmingham and found that their free-time conversation was often based on their soap opera viewing. Some had begun watching simply

use soaps as a way of talking indirectly about their own attitudes and behavior (in Seiter *et al.,* 1989:150-67). Geraghty (1991:123) also notes that there is some evidence that families use soaps as a way of raising and discussing awkward situations. Most viewers seem to oscillate between involvement and distance in the ways in which they engage with soaps.

4.0. Jordan (in Dyer, 1981) identifies several broad types used extensively in *Coronation Street*: Grandmother figures; marriageable characters (mature, sexy, women; spinsterly types; young women; mature, sexy, men; fearful, withdrawn men; conventional young men); married couples; rogues (including 'ne'er-do-wells' and confidence tricksters). Buckingham also refers to the use of the stereotypes of 'the gossip', 'the bastard' and 'the tart'. Anthony Easthope adds 'the good girl', and Peter Buckman cites 'the decent husband', 'the good woman', 'the villain' and 'the bitch' (in Geraghty 1991:132). Geraghty herself adds 'the career woman' (*ibid.*, 135ff).[16]

Coronation Street includes strong and positive middle-aged females who are the first to spring to mind when viewers are asked to recall the characters. It deals with personal events. Work away from the home is seldom shown. Political and social explanations for events are largely supplanted by personal explanations based on the innate psychological factors of individuals or (occasionally) on luck (Jordan, in Dyer, 1981). People meet in shops and the pub to comment on events. Life seems to revolve around finding a partner. The introduction of outsiders to the community is usually presented as a threat. It departs from realism in its use of caricature, stereotyping, bursts of stylized repartee and occasional use of melodrama, some of these features sometimes being employed almost self-mockingly. It has been criticized for the minimal role of non-whites. There is little of the inner searching of 'psychological realism'. Viewing ratings dropped when an attempt was made to introduce more contemporary themes, and there was then a move towards a lighter, more humorous style. One producer said in 1985: 'We are in the business of entertaining, not offending' (in Goodwin & Whannel, 1990:122). Rival soaps

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because they had discovered how central it seemed to be in lunchtime discussions. It involved anticipating what might happen next, discussing the significance of recent events and relating them to their own experiences.

[16] *Coronation Street* is a Granada production which is broadcast nationally in the UK on ITV. First shown in 1960, it is the longest-running British TV soap opera. It is watched by about one-third of the British population, by rather more women than men, by older people, and especially by people from lower socio-economic groups (Livingstone, 1990:55). It offers a nostalgic perspective on northern industrial working-class life as group-centered, matriarchal, commonsensical and blunt but also warm-hearted.

have led to some attempts to update the style. However, it has been criticized as having grown old with its audience.[17]

On the other side, *Brookside*, is set in a modern Liverpool housing estate, and first appeared in 1982, and it became Channel 4's highest-rated program with around 6 million viewers (it also appears on S4C in Wales). Producer Phil Redmond declared that it would 'tell the truth and show society as it really is', dealing with what are seen as topical issues and problems such as unemployment (in Goodwin & Whannel, 1990:123). *The Close* uses part of a real housing estate rather than a constructed studio set. It features a range of characters from different social classes, and some of the actors are similar to the characters they play. It has a number of young characters (including some still at school) so not surprisingly it appeals very much to younger viewers. It also offers a wider range of male characters than the traditional British soaps. Geraghty suggests that the program has also given more prominence to 'male preoccupations': '*Brookside* has developed story lines which depend more on action and resolution rather than the more soap-oriented narrative strategies of commentary and repetition' (Geraghty, 1991:169). It has sometimes drawn on the genre of the crime series. The use of real houses tends to restrict it to a single-camera approach. There are no real meeting places, which makes it difficult to weave several stories together. And it has sometimes been criticized for being too didactic.

Eastenders, a BBC production, was first broadcast in 1985. It is watched by a little under a third of the British population, by more women than men, and more by those in lower socio-economic groups (Livingstone, 1990:55). The BBC is aware of its 'responsibility' as a public service (unlike commercial British television companies) to be of benefit to the public, and to produce 'serious' programs of 'quality'. The characters tend to be mainly working class. In addition to women, young characters and men are given strong roles, so that the potential audience is wide. It has become particularly popular with teenagers. Buckingham notes that 'much of their fascination - and particularly that of the younger children - arose from its inclusion of aspects of *adult* life from which they were normally "protected"' (1987:200).

Set in London's East End, it is in the social realist tradition. The program makers emphasized that it was to be about 'everyday life' in the inner city 'today' (in Goodwin & Whannel, 1990:124). They regard it as a 'slice of life'. Producer Julia Smith disingenuously declared that 'we don't make life, we reflect it' (Geraghty, 1991:32). She has also reported: 'We

[17] They have preserved very conventional camerawork and editing Cutting is largely motivated by dialogue. Camerawork consists primarily of group shots, 2-shots or 3-shots (in medium to medium close-up), shot-reverse shot, occasional panning, and close-ups of single characters for emphasis.

decided to go for a realistic, fairly outspoken type of drama which could encompass stories about homosexuals, rape, unemployment, racial prejudice, etc. in a believable context. Above all, we wanted realism. Unemployment, exams, racism, birth, death, dogs, babies, unmarried mums - we didn't want to fudge any issue except politics and swearing' (*ibid.,* p. 16).

Eastenders has also featured single-parent families, teenage pregnancy, prostitution, arranged marriages, attempted suicide, drug problems, alcoholism, generational conflicts, a protection racket, a cot death, extra-marital affairs and marital bust-ups, sexism, urban deprivation, mental breakdown, disappearances, muggings, a fatal road accident and a suspected murder: it has sometimes been criticized for being bleak! Perhaps in an attempt to attract more male viewers once can sometimes notice a tendency to shift a little towards the genre of the crime series. Nevertheless, much of the action remains deliberately mundane.

Although it was part of the intention to handle 'controversial social issues' the program makers insist that *Eastenders* is not 'issues-based' (i.e. storylines are not developed simply to illustrate predetermined issues). They see themselves as pursuing 'documentary realism' and their dramatic use of conflict leads to issues arising 'naturally' (Buckingham 1987:16; 30; 83). They accept that the program has an informational or educational function for viewers, offering a discussion of topics of concern to them, but they are more concerned with raising questions than with offering answers. Entertainment is seen as the main purpose. The program makers probably seek to avoid putting viewers off by seeming to be patronizing. However, critics have occasionally noted episodes involving a very didactic style.

The program does not confine itself to the naturalistic mode, but sometimes shifts towards either melodrama or sitcom. Buckingham observes that the camerawork and editing is in the naturalist tradition, supporting an interpretation of the program as a 'window on the world': the use of the camera is unobtrusive and largely static, with only rare use of close-ups and tracking; the editing seeks to be 'invisible'; the background sound has a 'density of naturalistic detail'; lighting is usually flat, with no harsh shadows (Buckingham, 1987:74). However, he also notes that it tends to have more simultaneous storylines, more scenes, more meeting-places, more characters per episode, and a faster pace than either *Coronation Street* or *Brookside* (Buckingham, 1987:54).

4.1. If we cross the Atlantic, we will see a different kind of soap. Some theorists distinguish the American prime-time soaps *Dallas* and *Dynasty* from British social realist soaps by referring to these US soaps as

'melodramatic serials'.[18] They certainly featured the villains, villainesses and emotional excess of melodrama and sometimes drifted into total fantasy. Elements of the Western were also employed.

But, contrary to what we see in the British soaps, these soaps focus, of course, on the rich: 'poverty is eliminated by the simple tactic of ignoring it' (Geraghty, 1991:121). Glamour was a key feature: locations were often exotic and the costumes of the main actresses were often extravagant; viewers were invited into a world of abundance. Most of the characters were physically very attractive, and almost all were white. *Dallas* also made more use of cliffhangers than British soaps: usually a 'psychological cliffhanger', Ang notes (1985:53). *Dallas* featured the rivalry between the Ewing family and the Barnes family, but business life was far more central than in British soaps. The story also featured murder, marital crisis, adultery, alcoholism, illness, miscarriage, rape, air and car accidents, kidnapping, corruption, illegitimate children, secret pasts, chance meetings and so on.

Some critics say that 'too much happens' in US soaps by comparison with British ones: the pace tends to be faster. An episode typically featured 20-30 short scenes, most of which consisted of conversation. Camerawork and editing remained conventional, to avoid distancing the viewer. Facial expressions are sometimes shown in close-up and held for a few seconds before the next scene. Regarding soaps in general, Tania Modleski (1982:99-100) notes that close-ups (seen by Robert Allen as a key feature of prime-time soaps) provide training in the 'feminine' skills of 'reading people' - in understanding the difference between what is said and what is meant - as well as an invitation to become involved with the characters depicted.

5.0. The American soap opera *The Guiding Light* started as a radio drama in January 1937 and subsequently transferred to television. With the exception of several years in the late 1940s when Irna Phillips was in dispute with Procter & Gamble, *The Guiding Light* has been heard or seen nearly every weekday since it started, making it the longest story ever told. Other American soaps that have been telecast for more than thirty years (and are still in rotation) include *As the World Turns*, *General Hospital*, *Days of our Lives*, *One Life to Live*, *All My Children*, and *The Young and the Restless*.

Due to the shows' longevities, it is not uncommon for multiple actors to play a single character over the span of many years. It is also not uncommon for a single actor to play several characters on other shows

[18] *Dallas*, a high-budget American weekly prime-time soap first screened in 1976, has been broadcast in over 90 countries. One fifth of the British population watched it; viewers included more women than men (Livingstone, 1990:55).

over the years. Actors such as Robin Mattson, Roscoe Born and Michael Sabatino have played no less than six soap roles. On the other hand, a number of actors have remained in their roles for decades.[19] As actors transition between soap roles, it is not uncommon nowadays to be dropped from contract status to recurring status, a part of contract negotiations which is almost completely unique to U.S. soaps.

In the USA, the shows purely known in the vernacular as soap operas are broadcast during daytime. In the beginning, the serials were broadcast as fifteen-minute installments each weekday. In 1956, the first half-hour soaps[20] debuted, and all of the soaps broadcast half-hour episodes by the end of the 1960s. When the soap opera hit a fever pitch in the 1970s, popular demand had most of the shows, one by one, expanded to an hour in length (one show, *Another World*, even expanded to ninety minutes for a short time). More than half of the serials (and all of the pre-'80s hour-long serials on the air today) expanded to the new time format by 1980. Today, eight out of the nine American serials air sixty-minute episodes each weekday. Only *The Bold and The Beautiful* airs for 30 minutes.

Also in the early days, soaps were broadcast live, creating what many at the time regarded as a feeling similar to that of a stage play.[21] In the 1960s and 1970s, shows such as *General Hospital*, *Days of our Lives*, and *The Young and the Restless* taped in Los Angeles, and made the West Coast a viable alternative to New York-produced soaps, which were becoming more costly to perform. By the early 1970s, nearly all soaps had transitioned to being taped, with *As the World Turns* and *Edge of Night* being the last to make the switch in 1975.[22]

5.1. Many soaps, in the beginning of television, found their niches in telling stories in certain environments. *The Doctors* and *General Hospitl*, in

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[19] Helen Wagner, who has played Hughes family matriarch Nancy Hughes on *As the World Turns*, since its debut on April 2, 1956, is in the **Guinness Book of World Records** as the actor with the longest uninterrupted performance in a single role. (Two of Wagner's *ATWT* castmates, Eileen Fulton and Don Hastings who play Lisa Miller Grimaldi and Dr. Bob Hughes, respectively, have each been in their roles nearly as long, both having joined the show in 1960.)

[20] The thirty minute soap opera was introduced with the debut of Irna Phillip's new soap for Procter and Gamble and CBS, *As the World Turns.* With the equivalent running time of two feature films each week, *As the World Turns* expanded the community of characters, slowed the narrative pace, emphasized the exploration of character, utilized multiple cameras to better capture facial expressions and reactions, and built its appeal less on individual action than on exploring the network of relationships among members of two extended families.

[21] As nearly all soaps were filmed at that time in New York, a number of soap actors were also accomplished stage actors, who performed live theatre during breaks from their soap roles.

[22] *Port Charles* used the practice of running 13-week "story arcs", in which the main events of the arc are played out and wrapped up over the 13 weeks, although some storylines did continue over more than one arc. According to the 2006 Preview issue of *Soap Opera Digest*, it was briefly discussed that all ABC shows might do telenovela arcs, but this was rejected.

the beginning, told stories almost exclusively from inside the confines of a hospital.[23] *As the World Turns* dealt heavily with Chris Hughes's law practice and the travails of his wife Nancy who, when she tired of being 'the loyal housewife' in the 1970s, became one of the first older women on the serials to become a working woman. *The Guiding Light* dealt with Bert Bauer (Charita Bauer) and her endless marital troubles. When her status moved to that of the caring mother and town matriarch, her children's marital troubles were then put on display. *Search for Tomorrow* told the story, for the most part, through the eyes of one woman only: the heroine, Joanne (Mary Stuart). Even when stories revolved around other characters, she was almost always a main fixture in their storylines. *Days of Our Lives* first told the stories of Dr. Tom Horton and his steadfast wife Alice. In later years, the show branched out and told the stories of their five children.[24]

Prime time serials were just as popular as those in daytime. The first real prime time soap opera was ABC's *Peyton Place* (1964-1969)[25], based in part on the original 1957 movie (which was itself taken from the 1956 novel). The popularity of *Peyton Place* prompted rival network CBS to spin off popular *As the World Turns* character Lisa Miller Grimaldi into her own evening soap opera entitled *Our Private World* (Originally titled "The Woman Lisa" in its planning stages) in 1965. *Our Private World* ended in 1966 and the character of Lisa returned to *As the World Turns*. The latter half of the 1960s was a key period in the history of U.S. daytime soap operas. By 1965 both the popularity and profitability of the television soap opera had been amply illustrated. Soaps proved unrivaled in attracting female viewers aged bewteen eighteen and forty-nine – the demographic group responsible for making most of the non-durable good purchising decisions in U.S.

5.2. For the fist time CBS faced competition for the available daytime audience. The competition sparked a period of unprecedented experimentation with the genre, as all three networks assumed that audiences would seek out a soap opera "with a difference". As the network with the most to gain by program innovation, ABC's new soaps represented the most radical departures from the

[23] These were not the first medical television soaps, but they were the first to sustain audience interest over time, and the first soaps produced by NBC and ABC to achieve ratings even approaching those of the CBS serials. Their popularity also spawned the sub-genre of the medical soap, in which the hospital replaces the home as the locus of action, plot lines center on the medical and emotional challenges patients present doctors and nurses, and the biological family is replaced or paralleled by the professional family as the structuring basis for the show's community of characters.

[24] In contrast to these shows was *Dark Shadows* (1966-1971) which featured supernatural characters and dealt with fantasy and horror storylines. Its characters included the vampire Barnabas Collins, the witch Angelique, and various ghosts and goblins, both friendly and malevolent.

[25] The structure of the *Peyton Place* with its episodic plots and long-running story arcs would set the mold for the prime time serials of the 1980s when the format reached its pinnacle.

genre's thirty-five-year-old formula. Believing that daytime audiences would also watch soaps during primetime, in September 1964 ABC introduced *Peyton Place.* A long line of successes followed.

The successful prime time serials of the 1980s included *Dallas*, *Dynasty*, *Knots Landing* and *Falcon Crest*. These shows frequently dealt with wealthy families and their personal and big-business travails. Common characteristics were sumptuous sets and costumes, the presence of at least one glamorous bitch-figure in the cast of characters, and spectacular disaster cliffhanger situations. Unlike daytime serials which where shot on video in a studio using the multicamera setup, these evening series were shot on film using a single camera setup and featured much location-shot footage, often in picturesque locales. *Dallas*, its spin-off *Knots Landing*, and *Falcon Crest* all initially featured episodes with self-contained stories and specific guest stars who appeared in just that episode. Each story would be completely resolved by the end of the episode and there were no end-of-episode cliffhangers. After the first couple of seasons all three shows changed their story format to that of a pure soap opera with interwoven ongoing narratives that ran over several episodes. *Dynasty* featured this format throughout its run.

The soap opera's distinctive open plot structure and complex continuity also began to be increasingly incorporated into major American prime time television programs. The first significant drama series to do this was *Hill Street Blues*, produced by Steven Bochco, which featured many elements borrowed from soap operas such as an ensemble cast, multi-episode storylines and extensive character development over the course of the series. The success of this series prompted other drama series and situation comedy shows such as *St. Elsewhere*, *The West Wing* and *Friends* to incorporate soap opera style stories and story structure to varying degrees.[26]

For several decades US daytime soap operas concentrated on family and marital upsets, legal dramas and romances. The action rarely left the interior settings within the fictional, medium-sized Midwestern towns in which the shows were set. Exterior shots, once a rarity, were slowly incorporated into the series *Ryan's Hope*. Unlike many earlier serials which were set in fictional towns, *Ryan's Hope* was set in real location, New York City, and outside shoots were used to give the series greater authenticity. The first exotic location shoot was made by *All My Children*, to St. Croix in 1978. Many other soaps planned lavish storylines after seeing the success of the *All My Children* shoot. *Another World* went to St. Croix in March 1980

[26] The prime time soap operas and drama series of the 1990s, such as *Beverly Hills 90210*, *Melrose Place* and *Dawson's Creek*, focused more on younger characters. In the late 1990s and early 2000s many new prime time soap operas were produced for cable television, including *Queer As Folk* and *Desperate Housewives*.

to culminate a long-running storyline between popular characters Mac, Rachel and Janice. *Search for Tomorrow* taped for two weeks in Hong Kong in 1981.

5.3. During the 1980s, perhaps as a reaction to the evening drama series that were gaining high ratings, daytime serials began to incorporate action and adventure storylines, more big-business intrigue, and featured an increased emphasis on youthful romance and began developing supercouples. One of the first and most popular supercouples was Luke and Laura in *General Hospital*. Luke and Laura helped to attract both male and female fans.[27] Luke and Laura's popularity led to other soap producers striving to reproduce this success by attempting to create supercouples of their own. With increasingly bizarre action storylines coming into vogue Luke and Laura saved the world from being frozen, brought a mobster down by finding his black book in a Left-Handed Boy Statue, and helped a Princess find her Aztec Treasure in Mexico. Other soaps attempted similar adventure storylines, often featuring footage shot on location - frequently in exotic locales.

During the 1990s the mob stories and the action and adventure plotlines fell out of favour with producers due to overall lower ratings for daytime soap operas and the resultant budget cuts. In the 1990s soaps were no longer able to go on expensive location shoots to Argentina, France, Hawaii, Jamaica, Italy and Japan as they had in the 1980s. In the 1990s soaps increasingly focused on younger characters and social issues, such as Erica Kane's drug addiction on *All My Children*, the re-emergence of Viki Lord's Multiple Personality Disorder on *One Life to Live*, and Katherine Chancellor's alcoholism on *The Young and the Restless*. Other social issues included breast cancer, AIDS, and racism.[28]

6.0. Modern U.S. daytime soap operas largely stay true to the original soap opera format. The duration and format of storylines and the visual grammar employed by US daytime serials set them apart from soap operas in other countries and from evening soap operas. Stylistically, UK and Australian soap operas, which are usually produced for evening timeslots, fall somewhere in-between US daytime and evening soap operas. Similar to US daytime soaps, UK and Australian serials are shot on videotape, and the cast and storylines are rotated across the week's episodes so that each cast member will appear in some but not all episodes. However, UK and Australian

[27] Even Elizabeth Taylor was a fan and at her own request was given a guest role in Luke and Laura's wedding episode.

[28] Perhaps to fill the niche, some newer shows have incorporated supernatural and science fiction elements into their storylines. One of the main characters in US soap opera *Passions* is Tabitha Lenox, a 300-year-old witch. *Port Charles* has featured a vampire character. Frequently these characters are isolated in one of the ongoing story threads to allow a fan to ignore them if they do not like that element.

soaps move through storylines at a faster rate than daytime serials, making them closer to US evening soaps in this regard.

The early 1970s saw intense competition among the three networks for soap opera viewers. The way in which the raings pressures affected the writing of soap opera narratives speaks to the genre's unique mode of production. Since the days of radio soap operas, effective power over the creation and maintainance of each soap opera narrative world has been vested in the show's head writer.[29] American soap operas since the 1980s have shared many common visual elements that set them apart dramatically from other shows. Thus, overhead spotlighting, or back lighting, is often placed directly over the heads of all the actors in the foreground, causing an unnatural shadowing of their features along with a highlighting of their hair. Back lighting was always a standard technique of film and television lighting, though it was mostly abandoned in the mid-to-late eighties due to its somewhat unnatural look. The technique has nevertheless persisted in soap operas. As for the set-up, the rooms in a house often use deep stained wood wall panels and furniture, along with many elements of brown leather furniture. This creates an overall "brown" look which is intended to give a sumptuous and luxurious look to suggest the wealth of the characters portrayed.

Daytime soap operas do not routinely feature location or exterior-shot footage. Often they will recreate an outdoor locale in the studio. Australian and UK daily soap operas, on the other hand, invariably feature a certain amount of exterior-shot footage in every episode. This is usually shot in the same location and often on a purpose-built set, although they do include new exterior locations for certain storylines.The visual quality of a soap opera is usually lower than prime time television shows due to the lower budgets and quicker production times involved. This is also due to the fact that soap operas are recorded on videotape using a multicamera setup, unlike primetime productions which are usually shot on film and frequently using the single camera shooting style. Because of the lower resolution of video images, and also because of the emotional situations portrayed in soaps, daytime serials feature a heavy use of closeup shots.

In addition, in US daytime soaps, when a scene is about to reach a temporary conclusion and the episode is to switch to a new scene with a

[29] The head writer charts the narrative course for the soap opera over a six month period and in doing so determines the immediate (and sometimes permanent) fates of each character, the nature of each intersecting plot line, and the speed with which each plot line moves toward some resolution. The head write supervises the segmentation of this overall plot outline into weekly and then daily portions, usually assigning the actual writing of each episode to one of a team of script writers. The scrip then goes back to the head writer for approval before becoming the basis for each episode's actual production.

different set of characters, one character in the currently concluding scene will often be shown in extreme closeup and deliver a shocking announcement. No other character will respond and there will be no dialogue for several seconds while the music builds before cutting to a new scene. Additionally, in a construct unique to US daytime serials, the episode will frequently then return to this precise point in time after some intervening scenes, and the discussion will continue from the point where the revelation was made. Usually, however, when the discussion resumes the previously tense and dramatic mood created through music and closeup shots will have dissipated; the scene usually resumes in a relatively relaxed and sedate mode. The format of ending a scene to switch to other characters but to then return to the original scene at the precise time the viewer last left it is unique to US daytime serials.

7.0. Soap opera is related to the *melodrama*, with which it shares such features as moral polarization, strong emotions, female orientation, unlikely coincidences, and excess. Another related genre is the *literary romance*, with which it shares features such as simplified characters, female orientation and episodic narrative. However, soaps do not share with these forms the happy ending or the idealized characters. British soaps are distinctively different from these related genres in their debt to a social realist tradition (e.g. *'kitchen sink' dramas*) and an emphasis on contemporary social problems.

Some media theorists distinguish between styles of TV programs which are broadly 'masculine' or 'feminine'. Those seen as typically masculine include action/adventure programs and Westerns; those seen as more 'feminine' include soaps and sitcoms. Action-adventures define men in relation to power, authority, aggression and technology. Soap operas define women in relation to a concern with the family. The relative 'openness' of soaps in comparison with other genres will be discussed shortly.

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A LANDSCAPE INVENTED BY THE POETS

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RÉSUMÉ. Le pays des lacs de l'Angleterre est un cas unique en ce qui concerne les paysages culturels: la beauté naturelle, mais surtout l'isolement et la solitude en a fait la région favorite d'un nombre de poètes romantiques pendant la première moitié du XIXe siècle, lorsque les nouvelles attitudes esthétiques réclamaient un environnement naturel. L'inclination des romantiques pour la nature et la popularité de la poésie qu'ils ont écrite ont contribué à la célébrité de cette région qu'ils avaient recherchée pour son isolement. De nos jours ce paysage culturel pittoresque est devenu une zone éminemment touristique. En même temps, de ce fait même, des écrivains contemporains, tels Ian McEwan, peuvent y trouver une source d'inspiration "à rebours".

"I do not know of any tract of country in which, in so narrow a compass, may be found an equal variety in the influences of light and shadow upon the sublime and beautiful". These words that seem to belong to a travelling guide, as indeed they do, surprisingly come from the foremost poet of the Lake District. William Wordsworth, after a lifetime in the Lake District, which he had transformed into the ultimate tourist point in England, wrote A *Guide to the Lakes*, "for the minds of the persons of taste". This essay attempts to document the well-known connection between the Lake poets, the Lake District and the influence of this relationship on the future perception of the area, both at the tourist and at the literary level.

Historically the area covered almost completely the former counties of Cumberland, Westmoreland and Lancashire ─which has been known as Cumbria since 1974─ *i.e.* the north-western side of England. It borders on Scotland to the north, the Atlantic to the east and, from east to south, on the counties of Northumberland, Yorkshire and Lancashire. It is made up of mountains and glacial valleys, and the multitude of lakes that give the area its name. The region is dominated by a volcanic peak, Scaffel Pike, which is also the highest peak in England (997m). From the central volcanic group of mountains several lakes are formed in the valleys, like the spokes of a wheel, as Wordsworth saw them, so that almost every valley has an elongated lake in it. The northern part is dominated by the bald, slate massive, Mount Skiddaw, and further south, by The Old Man. The west is mostly valleys, such as the impressively arid Wasdale, with Wasdale Water. Towards the south the landscape is dominated by quiet, pastoral valleys, such as the valley of Windermere, the largest lake of the area (16 kilometers long), with Grasmere Lake as a continuation. The variety of arid, craggy stone creates impressive

effects of light and shadow, changing continually during the day. The vegetation is itself extremely varied in this region of abundant rains: there are coarse grasses, heather and bracken on the mountain sides, rowan-trees and birches, mossy coasts, dark green pines and light green pastures on the banks of the rivers and lakes, oak and sycamore. The variety of the vegetation, with its different hues, increases the effects of light and shade, changing with the sun. In this mostly rural region, there are a few smaller towns, such as Keswick, Kendal, Windermere, or Grasmere, and villages, but the local dry-stone architecture makes these habitations blend naturally into the scenery.

The Lake District is still considered to be the most picturesque and the most poetry-laden of all the regions of England. An understanding of its perception requires an historical appraisal of the phenomenon of landscape perception.

The idea of landscape implies a scenery and a person looking at it. Landscape is no longer just a part of nature, but an entity meant for the beholder. Present-day concern with landscape at the European level is materialized in the work of pluri-disciplinary organizations that have defined it in the broadest sense. In the words of the "European Landscape Convention", article 1. A., of 1972, a landscape is "an area as perceived by people, whose character is the result of the action and interaction of natural and/or human factors" It can be "rural, urban, peri-urban or natural". It can be constituted as "land, inland water or maritime". "It concerns landscape that might be considered as outstanding, as well as everyday or degraded territory"[1].

In England the appreciation for the rural space as landscape was brought about by new aesthetic ideas about nature in general in the 18th century. At this time English landscape, especially in the south, started to be designed on a large scale and with great attention to detail. The intervention was facilitated by the affluence of those who owned the land. Animals with a decorative function were brought, such as deer, as well as typically parkland trees, so that landscape was invested with "a patrician polish"(*A Historical Geography*, p. 487).

The idea of rural improvement meant, for the gentry, the creation of landscape parks. The landed gentry that ruled Georgian England created these parks with a "focus on authority" (*ibid.,* p. 487), which also implied imposing classical norms on landscape. Vegetation was designed to resemble pillars, obelisks, pyramids, and a general abolition of the "naturalness" of nature. This type of landscape for the beholder was best represented in the landscape painting of the time, particularly in the work of the first important landscape painter, Thomas Gainsborough (1727-1780). His famous *Portrait of Mr. and Mrs. Andrews* (1748) represents the two characters stiffly and formally seated, as if displaying their agricultural assets in the foreground

[1] *The European Landscape Convention*, Article 1 A

and the landscape in the background. About the same time Joseph Addison was referring to the "pretty Landskip", influenced by classical literature, especially by Virgil's *Georgics*. The intrusion of "culture" on "nature" was a conscious desire to tame the latter. Landscape design appears as integrated in social and historical development (*ibid*., p. 517), being more than a superficial embellishment of it. It goes without saying, though, that design at the scale of landscape has always been the prerogative of those in power (*ibid*., 518).

A new kind of sensibility in the description of landscape first appears in the poetry of the Pre-romantics in England, especially in the home counties, *i. e.* south of London. In *The Task* (1786), William Cowper sees the specifically urban and the specifically rural as being the respective territories of the human and of the divine. His sententious verse "God made the country, man made the town" presents a different kind of attitude, according to which, as God's creation, landscape possesses a paradisiacal quality that should not be intruded upon. Dryden and Pope couldn't have agreed with him more, but neither of them would have thought of referring to the country in the first place. The country, as seen by Cowper, is the territory of the lesser gentry, below the social level of the park owners.

It was also Pre-romanticism that first manifested an appreciation of the esthetic category of the picturesque. Through the appearance of the poetic works inspired by, or supposedly translated from medieval Celtic literatures, such as Macpherson's *Ossian*, a new type of scenery was offered to the sensibility of the readers: scraggy mountains, lonely places, deserted heaths, with a tortuous tree here and there.

The other aesthetic category completing the beautiful in Pre-romantic imagination was the sublime. The word was first introduced into esthetic debate in the work attributed to Longinus. The etymology of the word "sublime" in Latin (*sub limen*, on high, lofty, elevated) partly explains the attraction for the mountainous scenery, little appreciated in England before the appearance of the first pre-romantic ideas around the middle of the 18th century.

As an esthetic category it was introduced in modern esthetic theory by the work of the Irishman Edmund Burke (1729-97): *A Philosophical Enquiry into the Origin of Our Ideas of the Sublime and the Beautiful* (1757). Edmund Burke explains the purpose of his *Enquiry* as the discovery of the psycho-physiological mechanism that is responsible for the formation of our idea of the beautiful and the sublime. Starting from an analysis of the formal garden, he attacks topiary art as an imposition of the architectural upon the natural. He introduces into the debate the first domain that will become defining for English esthetics: landscaping. The appreciation of the out-of-the-ordinary and of the individual is a response for the general, typical and universal as esthetic categories of the neo-classics. The perception of beauty, according to Burke, is independent of reason and

rational proportions. For Burke the sublime is associated with the ideas of the eternal and the infinite. In this way, through a simultaneous emergence of a new kind of poetry and a new theory of esthetics, the ground was laid for a revolutionary way of living in and with the landscape. With the advent of Romanticism the whole rural landscape was claimed as an artistic setting, as an alternative to the dominating neo-classical urban space.

This revolution was performed by William Wordsworth. Born on the north-western fringe of the Lake District, at Cockermouth, in 1770, Wordsworth spent his childhood in this isolated, northern rural area. There followed Cambridge; a tour of Wales and France, and later a trip to Germany, in the mountainous area of Goslar; life in the south of England, at Alfoxden, where he met Coleridge, who was living close by, at Nether Stowey. They published together, anonymously, the *Lyrical Ballads* in 1798, overthrowing through this slim volume the way poetry was to be assessed from then on. The famous manifesto to Romanticism that the *Preface* to this volume became, was written for the second edition, in 1800. But before that, in 1799, Wordsworth and his sister Dorothy decided to move to the Lake District. They rented a small cottage, Dove Cottage, a former inn of the 17th century, the Dove and Olive Bough, in Grasmere, near Lake Grasmere, in which they lived until 1808. Shortly after, Coleridge was going to move to the Lake District as well, occupying Greta Hall, near Keswick. Later, from 1813 until his death, Wordsworth was going to live in another cottage of the Lake District, at Rydal Mount. This was therefore the return to the space of childhood, in the companionship of his childhood, as well as the discovery, by a poet, of a new setting for inspiration in "the powers of [his] native region" (*The Prelude*, p.399)

The poet's ideas about "what made his poetry so materially different from the poetry written before" make up the *Preface to Lyrical Ballads*. His subject matter was to be the life of the common, rustic people, in "a language really spoken by men"[2]. These are, in his narrative poems, the people he meets in the Lake District: "The Old Cumberland Beggar", the child of "We Are Seven", "Simon Lee" or "Michael". The poetry written here is created in the "walking rhythm" of his daily hikes and tours of the lakes. It is mostly poetry composed "aloud", according to the testimony of his friend, and visitor of the Lakes, Thomas De Quincey[3]. If critics are sceptical as to the degree of "authenticity" that Wordsworth claims for the language of his "common, rustic people", this reciting and composing aloud, in the voice of the poet, best suits the poetry in which the subject is the lyrical I, as it emerges in his most impressive achievement, *The Prelude*. "The Poet's Mind", as the subtitle accurately indicates, the subject of the epic, is both a function and a recorder of the Lake District landscape.

[2] Both quotations are from *Preface to Lyrical Ballads.*
[3] *Thomas de Quincey*, edited by Bonamy Dobrée

The definition of the landscape in Wordsworth's terms in carried out from the inside, as it should, but also from the outside. In this latter instance he defines it in contrast to the kind of landscape his friend, Coleridge, grew up in, in the great city[4], with a necessary detour to achieve this "bourne":

> Thou, my Friend! Wert reared
> In the great city, 'mid far other scenes;
> But we, by different roads, at length have gained
> The selfsame bourne" (*The Prelude*, p. 235)

Another instance of the outside appreciation of the landscape is by his removal from the scenery, on the occasion of his own university training, at Cambridge, where he has the possibility to look at himself from a distance, as a "northern villager" (*The Prelude*, p. 237). Thus by an externalizing move of Coleridge's and of himself Wordsworth can consequently devote himself to his full insider's eyes.

Wordsworth's poetry is to a large extent the result of the recording of what the eye sees. It can be the eye that captures every detail in a close-up. There is also the other angle, offered by the perspective from the mountains, that of the all-encompassing gaze:

> The bed of Windermere
> Lake, islands, promontories, gleaming bays – instantaneous (*The Prelude*, p. 255).

Some of the most fascinating and fascinated gazes are offered by the mirroring effect offered by the water to the surrounding landscape:

> The uncertain heaven
> Bosom of the steady lake (*ibid*., p. 280)

In such a mirrored image of the unclear contours of the sky as reflected in the lake, Wordsworth brings in another key element of his perception. The lake itself is invested with a living, breathing quality ("the bosom of the lake"). But before going into that key aspect I shall return to the other dimensions of his augmented perception. Landscape for him also has an important auditory relevance:

> The fairest of all rivers, loved
> To blend his murmurs with my nurse's song…
> O Derwent! Make ceaseless music that composed my thoughts (*ibid*., p. 211)
> "O Derwent! Murmuring stream" (p. 283).
> Of Windermere…/ …an island musical with birds/ That sang and ceased not" (p. 224)
> Esthwaite's splitting fields f ice/ …a loud

[4] Samuel Taylor Coleridge was born in 1772 in rural Devonshire, in a small town, but was sent to school to London, upon his father's death.

Protracted yelling, the noise of wolves
…Howling in troops along the Bothnic Main" (p. 219)
The voice of mountain torrents (280)
The Atlantic howl (399,40)
While on the perilous ridge I hung alone,
With what strange utterance did the loud dry wind
Blow through my ear! (p. 213)

Again the perception, this time the auditory, brings the elements of nature to animation, which can become, as above, anthropomorphic. The walker distinguishes murmurs, stronger sounds, and their rendering in poetic language.

It is, therefore, these two perceptions, the visual and the auditory, that dominate Wordsworth's poetry. The animation of the landscape is part of the larger vision that Wordsworth had of the organic quality of the whole universe, in which the beholder identifies with the object, and the subject and the object become almost undistinguishable. The landscape can turn into a character in the poem, entering a dialogue with the walker, who is mostly a disciple, because "nature teaches". Therefore Book VIII, tellingly subtitled "Retrospect – Love of Nature Leading to Love of Man", opens with the lines:

What sounds are those, Helvellyn, that are heard
Up to thy summit, through the depth of air
Ascending, as if distance had the power
To make the sounds more audible?" (p. 333)
It winds up with
Helvellyn, in the silence of his rest/ Sees… (p.333).

In the lines above the sounds fill up the space, on the horizontal and on the vertical, and the mountain itself becomes the beholder.

John Ruskin, another visitor and dweller of the Lakeland was going to speak about this quality, naming it the "pathetic fallacy". It refers to an investment of nature with attributes or actions that are logically reserved to humans. This esthetic category can very well characterize the whole of romantic poetry. When Ruskin refers to it he gives examples from Wordsworth's *Prelude*: "The rocks that muttered, the crags that spake…as if a voice were in them"; "the raving stream". This interfusion between man and landscape can be explained in terms of the mirroring and echoing effect between object and subject, between the sounds of nature and the poetic voice.

The two parts of the one organic whole are presented in their chronological evolution: the ages of man and the cyclicity of nature. It is in the age of childhood that Wordsworth finds paradise. The motif of paradise has been identified by critics as one of the key motifs of Romanticism[5]. The

[5] See, for instance, Geoff Ward, "The Persistence of Romanticism" in *Bloomsbury Guide to English Literature*, ed. Marion Wynne-Davies

Romantic poets, in their search for an absolute that cannot be attained create this motif either by a projection in a space that is unattainable, be it supernatural or otherwise, or by an equally impossible regression. Wordsworth's identification of childhood with paradise draws on the neo-Platonic idea that the human individual loses, at birth, the knowledge that it had before. Wordsworth adapts this idea and develops it in terms of a gradual loss of clarity and of sensitivity. His famous line "The child is father to the man", part of his epigraph to "Ode: Intimations of Immortality from Memories of Early Childhood" is to be understood in this way. At an early age, landscape borrows the emotions of the child, ranging from the sense of wonder to the awe that it inspires. The skating scene on the frozen lake is one of the most memorable and often quoted, from Book I of *The Prelude*:

> When we had given our bodies to the wind,
> And all the shadowy banks, on either side,
> Came sweeping through the darkness, spinning still
> The rapid line of motion; then at once,
> Have I, reclining back upon my heels,
> Stopped short, yet still the solitary Cliffs
> Wheeled by me, even as if the earth had rolled
> With visible motion her diurnal round." (p. 216)

The surrounding landscape takes on the rapid movement of the skating child and the two blend into in the general rotation of the earth. This is the dynamic landscape at its most dramatic, which will appear obsessively in Wordsworth's poetry, whether descriptive, lyrical, or elegiac. (So for instance the finale of "A Slumber Did My Spirit Seal": "Rolled round in earth's diurnal course,/ With Rocks and stones and trees").

So is the scene of the rowing on the lake. The child in the boat, "Fostered alike by beauty and by fear" (*The Prelude*, Book I, p. 312), moving towards the mountain, which takes on his own dynamics, starting to grow monstrously, advancing towards him giant-like. The whole *Prelude* is under the sign of this empathy. Wordsworth achieves thus one of the basic imperatives according to the "Preface" to *Lyrical Ballads*: investing the familiar with the quality of the unfamiliar.

The first lines of *The Prelude* establish this communion of feeling through the breeze, synonymous with spirit, the Biblical breath and inspiration:

> Oh there is a blessing in this gentle breeze
> A visitant that, while it fans my cheek
> Doth seem half-conscious of the joy it brings. (p. 203)

Wordsworth's idea about creation itself, in its entirety, was of the organic type. He saw his entire work as a whole that he liked to compare to a cathedral, in which every poem should constitute a component: a niche,

an arch, an altar[6]. This type of architectural reconstruction of the landscape appears in *The Prelude* itself, but in a manner that bears no resemblance and possible comparison to the neo-classical architectural reconstruction of landscape. It is rather an integration of architecture into landscape:

> And now a third Island, where survived
> In solitude the ruins of a shrine
> Once to Our Lady dedicate" (p. 224)
> …some famed temple where of yore
> The Druids worshipped, or the antique walls
> Of that large abbey, where within the Vale
> Of Nightshade, to St. Mary's honour built,
> Stands yet a mouldering pile with fractured arch,
> Belfry, and images, and living trees" (p. 224).

The "Ruins of the Shrine, Our Lady's" can be compared to the landscape itself, with its trees and towers. So is the tavern on the Winander shore:

> In ancient times, and ere the Hall was built
> On the large island, had this dwelling been
> More worthy of a poet's love, a hut,
> Proud of its own bright fire and sycamore shade.
> But—though the rhymes were gone that once inscribed
> The threshold, and large golden characters,
> Spread o'er the spangles sign-board, had dislodged
> The old Lion and usurped his place (p. 226-7).

The "fractured arch" above is both an accurate term of Gothic architecture and an indication of decay, with a consequent merging into the natural scenery.

"Between Romantic Dovedale's spiry rocks" combines the architectural with the landscape and qualifies it as romantic in a manner similar to Coleridge's "romantic chasms" of "Kubla Khan". The term "romantic" as it is used by these poets at the beginning of the 19th century has the early meaning of bizarre, gothic, therefore appropriate in bringing together the "spiry", gothic architecture with the dramatic, scraggy mountains of the Lake District.

The claim to originality being so strong with the Romantics, there are few instances in Wordsworth in which he draws on other poets. There are though in *The Prelude* comparisons made with preceding poets. Except for the references to Coleridge, as a fellow spirit, Wordsworth's references bring in Greek poetry and Shakespearean references. There appears the imaginary creation of the Forest of Arden, of *As You Like It*; there is the reference to *The Winter's Tale,* placed by Shakespeare "Sometimes in Sicily, sometimes in Bohemia", through the naming of Perdita and Florizel. And there is also a reference to the pastoral world of Spenser. But these

[6] See M. H. Abrams, *The Mirror and the Lamp*

references serve the purpose of distancing his perception of nature from that of his predecessors. Although “Shepherds were the men that pleased me first”, it was

> Not such as, ‘mid Arcadian fastnesses
> Not such as… with Shakespeare’s genius, the wild woods
> Of Arden -- amid sunshine or in shade…
> Not such as Spenser fabled…(p. 337)

Several of the places that Wordsworth names in his poetry belong to the Lake District: Derwent, Esthwaite, Esthwaite’s Lake, Westmoreland, Cumbria, Windermere, Grasmere, Granta, Cumberland, Dovedale, Helvellyn. Naming rural places in poetry was not done at all in Wordsworth’s time. Moreover these were totally unfamiliar names. Wordsworth is aware that he is making a pioneering gesture by introducing these names into poetry, as in Book VI of *The Prelude*: “the varied banks/ Of Emont, hitherto unnamed in song” (p. 293). It is also part of his strategy of investing the familiar with the quality of the unfamiliar: “In sight of our Helvellyn/ Or stormy Cross-fell”.

It is, on a higher level, a demiurgical act of creation. The unfamiliar of the familiar in this toponymy is enhanced by the strangeness of these names that are, many of them, built on the vocabulary of the 9^{th}-10^{th} century Norse invaders, especially in geological terms: “thwaite”, which means a clearing (as in Bassenthwaite or Esthwaite), “mere” that means water, as in Windermere, Grasmere. The unfamiliar also appears in the naming of the elements of landscape of the District: “tarn” (small lake), “fell” (mountain), “beck” (stream), “scree” (loose stones from freeze-thaw), “force” (waterfall). There are also all the old names of the region: Cumberland, Westmoreland, Furness, Herdswick (spotted black sheep), Swaledales (white-faced sheep).

While Wordsworth spent practically all his life in the Lake District, Coleridge moved away in the year 1810. One of the explanations is the rift with Wordsworth that started around 1807. There is also the difference in preoccupations, Coleridge moving ever more towards the exotic in poetry and in his philosophical, esthetic and religious questionings. The one reason that directly reflects upon the landscape is offered by De Quincey, in his *Reflections on the Lakes and on the Lake Poets*. De Quincey has an insight in the difficulty that Coleridge experiences at the sheer beauty of the region, his sensitivity being hurt by the simultaneous, ubiquitous beauty. De Quincey’s psychological profiling, as in so many other instances, seems the most plausible. Nevertheless in spite of his moving away, Coleridge’s name remains connected to that of Wordsworth as one of the two major Lake poets. Whatever their later rift and differences, their names stand for one of the most outstanding literary friendships in English literary history.

The circle of the Lake poets is completed by Robert Southey, related thorough marriage to Coleridge. Posterity has been less appreciative of this

poet, who became Poet Laureate in 1813. We might find a reason for this reserve in a prose quotation from Southey, as it appears in the *Michelin Guide*, in a reference to the Lodore Falls, "the most literary cascade of the lakes": "it comes thundering and floundering, and thumping and plumping and bumping and jumping and whizzing and hissing and dripping and skipping and grumbling and rumbling and tumbling and filling and brawling and sprawling" (p.146). Ridiculously onomatopoeic rather than awe-inspiring.

Instead, Wordsworth's sister, Dorothy, constant and lifelong companion to the poet both before and during his marriage, through the 20th century publication of her *Journals*, appears as one of the keenest eyes in the appreciation of the Lake District. In the "Introduction" to the *Grasmere Journal* she sets herself the modest purpose of enchanting her brother: "I shall give Wm pleasure by it". Her *Journal* unveils, in prose, the descriptive and emotional pattern for several of William Wordsworth's poems. Even before the discovery of the *Journals* we have an assessment of their importance in the testimony of Thomas De Quincey:

> "…Miss Wordsworth, the only sister of the poet – his "Dorothy"; […] to whom he has acknowledged obligations of the profoundest nature; and, in particular, this one, through which we also, the admirers and the worshippers of this great poet, are become equally her debtors – that, whereas the intellect of Wordsworth was, by its original tendency, too stern, too austere, too much enamoured of an ascetic harsh sublimity, she it was – the lady who paced by his side continually through sylvan and mountain tracks, in Highland glens, […] that first *couched* his eye to the sense of beauty, humanized him by the gentler charities, and engrafted, with her delicate, female touch, those graces upon the ruder growths of his nature which have since clothed the forest of his genius with a foliage corresponding in loveliness and beauty to the strength of his boughs and the massiness of its trunks." (*De Quincey*, p. 159)

Naturally, the first thing we notice about this excerpt is that De Quincey himself had become adept in the art of an upside down "pathetic fallacy". About Dorothy it gives us the important information that she had been the guide towards Wordsworth's "seeing" the landscape, i.e. nature's prerequisite to become a landscape. Consultation of the *Journals* gives a striking prose version of the famous "Ode to the Daffodils":"

> "As we went along there were more & yet more & at last under the boughs of the trees, we saw that there was a long belt of them along the shore, about the breadth of a country turnpike road. I never saw daffodils so beautiful they grew among the mossy stones about & about them, some rested their heads upon these stones as on a pillow for weariness & the rest tossed & reeled & danced & seemed as if they verily laughed with the wind that blew upon them over the lake, they looked so gay ever glancing ever changing." (*Norton*, p. 391)

As in the excerpt from De Quincey, the “pathetic fallacy” is used in a strikingly similar manner, even in the well-known words of the poem. What Wordsworth was going to add to Dorothy’s description a few years later, besides the metrical structure, was the totalizing perspective, from above, as in the different instances of the *Prelude*, for example.

> I wandered lonely as a cloud
> That floats on high, o’er vales and hills,
> When all at once I saw a crowd,
> A host of golden daffodils.
> Continuous…
> They stretched in never ending line…
> Ten thousand saw I at a glance.

The description is strangely insistent upon the effect of oneness, of totality of the spectacle.

But mostly, Wordsworth adds, as in countless other instances, his assessment of the poetic benefit of the landscape once the “eye” has taken a break and the man has had the time and leisure to recreate the picture mentally, in “the inward eye”. There is also the awareness that perception will change into vision, as a halo of the Wordsworthian poetics:

> I gazed, and gazed…
> They flash upon that inward eye
> Which is the bliss of solitude
> And then my heart with pleasure fills
> And dances with the daffodils.

It is the process of “recollection in tranquillity” that underlies all of Wordsworth’s writing.

The overwhelmingly visual side of perception with the Lake poets finds its counterpart in the landscape painting of the time: painters as different as Gainsborough, Constable and Turner found their subject in the Lake District. The court portrait painter Thomas Gainsborough, after the famous painting of *Mr. And Mrs Andrews*, placed in the “pretty Landskip” of southern England, was tempted by the Lakeland and went there to make some drawings, inspired by the recent theories of the sublime. The emotion, the violence of pain, of terror or of danger could not be set in the peaceful, bountiful English southern counties.

The anti-classical esthetic of the picturesque was more definitely embraced by the Romantic painter John Constable (1776-1837). Although his favourite landscapes were in the south of England (he made over eighty drawings of his native Suffolk), he also wanted to get acquainted with the wilderness of the Lake District. The result of his expedition of 1806 was a

series of twelve paintings on glass, that Constable meant to light from behind and set in motion, thus provoking a cinematic effect *avant la lettre*. It seems that the painter also wanted his landscapes to dance and reel. His brand of romanticism resides in the attention to the detail and the commonness of the scenes. On the back of one of his drawings he wrote: "the finest scenery that ever was". His painting of Borrowdale, for instance, captures the particularities of all the details. (It was, in fact, this side of landscape painting that was going to dissolve into the kitsch representations of the 19th and 20th centuries.) In 1836 Constable, in a conference on the history of landscape spoke about the influence of Gainsborough on his ideas of the sublime and the beautiful.

The most dramatic representations of the Lakes, though, were made by the Romantic painter J. M. William Turner, before he reached the particular style of his mature painting. In his representations the landscape altogether ceases to be a decorative thing, turning into a vehicle for the expression of feelings and ideas. Light, for Turner, conveys an essentially tranquil, lyrical vision of the natural world. In a painting like "Buttermere Lake with part of Cromachwaln. Cumberland, A Shower", he captures the changing weather conditions at the precise moment after a storm. It is tempting to mention that he painted it in 1798, the year of the first edition of *Lyrical Ballads*. Another contemporary of Wordsworth and De Quincey, the essayist William Hazlitt, considered Turner to be "the most skilful of the contemporary landscape painters", his paintings being "beyond the quintessential aerial perspectives. They don't so much represent the object of nature, as the atmosphere through which they are seen". It is the first formulation about Turner as a "painter of atmosphere". Wordsworth contributed to the disruption of the hierarchy of the literary genres, through his practice and his theory, by placing the lyrical, the descriptive and the meditative on the same level as epic and tragedy. In a similar manner, Turner brought about the destruction of the existing hierarchy: the water-colour became as important as the oil painting, and the landscape as important as the history painting. In spite of this, it is symptomatic for the difficulty of accepting the new, challenging modes of expression that Turner, very fond of poetry, did not turn to Wordsworth's verse, but to that of the Pre-romantic Thomson. In the Academy Catalogue that he printed in 1798 he attached literary quotations form Thomson's *Seasons*, of 1730, ignoring his exact contemporary in poetry.

This essay opened with a mention of Wordsworth's *Guide to the Lakes*. But the first poet to visit the Lakes, in 1767, twice, and respond with sensibility to their beauty was the Pre-romantic Thomas Grey who spoke about it in his Journal published in 1775. Before him, Daniel Defoe had

visited the country and spoke about it in the most deprecating terms. This is really no surprise from an author whose hero (Robinson Crusoe) is bent on re-creating civilization, item by item, in the deserted island he falls upon and whose only thought is to return to the English civilization.

Wordsworth himself wrote his *Guide* after settling at Rydal Mount, in 1810, reaching by 1835 its fifth edition. By this time Wordsworth was no longer the anonymous author of the *Lyrical Ballads*, but the well established patriarch whose wisdom was sought with reverence. Another influential work of the time was De Quincey's *Reflections on the Lakes and on the Lake Poets*.

In Victorian times the Lakes were visited and became the home of John Ruskin, who settled at Brantwood in 1872, near Coniston Water, which mirrors The Old Man.

When Wordsworth arrived in the Lake District the Napoleonic Wars (1803-1815) were raging all across Europe. The English gentry who had got into the habit of spending time on "the grand European tour" started to seek safer places for recreation, thus starting to look for such places within their own borders. Another consequence of the Napoleonic Wars was that food prices started to go up rapidly, so that the English farmers did not want to keep the "commons", which allowed all the villagers to use the common land. This struggle between farmers and the rest of the population resulted in the Enclosure Act of 1801, which restricted the access of people who did not own land in the rural areas. Therefore regions that were not affluent, such as the Lake District, with its common lands, were already turning into settings for a nostalgic past.

The tourist phenomenon was also reinforced by the general appreciation of the new types of beauty that were circulating in the age, with infusions of the categories of the sublime and the picturesque. All these separate causes made the Lake District into the first tourist attraction of England. The tourists were advised how to visit, using "stations" in the picturesque areas, and "claude-glasses", *i.e.* pieces of convex mirrors to appreciate the painterly effects. Above all, the immense popularity of the Lake Poets in later years, and the prose works dedicated to them and the region made it into a populated place. It does sound ironic that Wordsworth, with his intention of being a "recluse" (as in the title of his grandiose literary project, never achieved) should have contributed, through his *Guide* "for the persons of taste" to this rapidly growing invasion. In the ensuing period, Wordsworth was going to have many battles to stave off the inexorable march forward of "civilization" (mostly because of the introduction of the first railway in the area). Later Ruskin was also complaining, and vehemently protesting against the building of a dam in the area.

At the beginning of the 20th century, in 1913, Beatrix Potter (1866-1943), author of children's books, who preferred to think of herself as a

sheep-farmer, also settled here. She used the Lake District as setting for many books, she was interested in conservation and sheep farming, and left 4,000 acres of land to the National Trust. Hers is the great merit of discovering Dorothy Wordsworth's *Journals*.

Besides these artists whose works stand on their own, as the products of great personal mastery, there have appeared several "regional writers", whose fame comes from their interest in the District, such as Arthur Ransome (1884-1967), or the poet Norman Nicholson, "the bard of Cumbria", who died in 1987. Among the countless contemporary guidebooks, the guides of Alfred Wainwright stand apart. This "most famous of fellwalkers"[7] wrote the idiosyncratic *Pictorial Guides to the Lake District*. When he died in 1991 his ashes were spread over the fells named the Haystacks, at his request.

In 1951 the area became the Lake District National Park, which involved maintenance of footpaths, dry-stone walls, and historic monuments. The District became part of Cumbria in 1974. In 1993 The Lake District Environmentally Sensitive Area (ESA) was set up. It includes Sites of Special Scientific Interest, six National Reserves and over eighty Regionally Important Geological Sites (*The Rough Guide*, 249). The fact remains that "a local population of just 42,000 is swamped by annual visitor numbers topping fourteen million" (*The Rough Guide*, p. 248).

Besides the intrinsic attraction of the region, the tourists in the area have a great number of landmarks that they visit: the Dove Cottage, Rydal Mount cottage at Rydal, the churchyard of Grasmere where Wordsworth, and Coleridge's son David Hartley are buried. The *Michelin Guide* even quotes Wordsworth in reference to his place (p.144); Wordsworth's seat (as it is believed to be); the Pencil Museum at Keswick with Wordsworth and Southey manuscripts; the Ruskin Museum at Coniston. In 2005 the Wordsworth Trust acquired the New Wordsworth Trust Research Center, inaugurated by Seamus Heaney, turning the District into a place of pilgrimage as well for the thoroughly scholarly visitors. In 2006 the Trust celebrates "200 years of Constable in the Lake District", and acquired, in an auction, an important painting by Turner.

This affluence of mass tourism at all levels has not taken away the aura of the Lake District as the place of solitariness and seclusion with a poetic colouring cast over it. The spirit of joy and serenity that is subliminally connected with the area, as it appears in Wordsworth's poetry, even if nostalgic or elegiac, has not disappeared. The Lake District is a cultural landscape that has a spiritual and creative stamp on, which seems hard, and definitely unnecessary, to remove.

[7] *Compact Guide. Lake District*, p.56

Ian McEwan's novel *Amsterdam* (1998), mostly set in London, starts at the funeral of a woman, Molly, where her husband and two former lovers, a composer and a journalist, are gathered for her cremation. The composer, Clive Linley, has been commissioned to write a symphony for the beginning of the new millenium, 2000. It is a daunting enterprise because he is living in an age in which the novelty of the modernist revolution (Schönberg) has become ossified into tradition. In his musings "the whole modernist project had become an orthodoxy taught in the colleges" (*Amsterdam*, p. 21). His conviction is that it is really the more attractive, closer-to-the-masses kinds of music that will really be regarded as representative for the century; "blues, jazz, rock and the continually evolving traditions of folk music". (*ibid*. p.22). Because, in his belief, music is based on "the humanities and communicativeness" (p. 23). It is the inheritance we are born with, to understand simple, melodic harmony. (p. 23) That is why he feels it is the duty of the contemporary artist "to evolve a contemporary definition of beauty. (p. 23) As it is he must create a symphony that will remain representative for the century, a symphony that will embody the "millenial hopes" of a new beginning. The problem is that Clive Linley is suffering from a … composer's block, lack of inspiration. He will try out one solution and when this fails he will make a suicide pact with his friend, although they have become estranged. The pact itself is carried out in the city of "chartered streets" and of the "chartered river"[8] that is present-day Amsterdam. This *dénoument* is temporarily staved off by the attempt of the composer to find inspiration in the one place that he knows of as having that effect: the Lake District. So the trip to the Lake District is presented as a project, as an actual presence in the landscape and as a memory. The most exalted stage is that of the project. "He needed mountains, big skies. The Lake District, perhaps. The best ideas caught him by surprise at the end of twenty miles when his mind was elsewhere". (p. 24) The composer conjures up all the names of the place that he knows from previous visits.

> "He would walk in the Lake District. The magical names were soothing him: Blea Rigg, High Stile, Pavey Ark, Swirl How. He would walk the Langstrath Valley, cross the stream and climb towards Scaffel Pike and come home by way of Allen Crags. He knew the circuit very well. Striding out, high on the ridge, he would be restored, he would see clearly. […] He was released. Hard Knott, Ill Bell, Cold Pike, Poor Crag, Poor Molly…." (p. 26)

In this masterful *tour de force* that ends the first part of the novel, the toponymy of the Lake District, unknots and dissolves all negative influences, and the place and the beloved woman blend into one another.

[8] Cf. Blake's *Song of Experience*, "London", for the same atmosphere of deathly annihilation in the metropolis: "I wandered through each chartered street/ Where the chartered Thames doth flow".

Clive Linley's Millenium Symphony, that never gets finished, brings back memories of the other Millenium that meant hope for humanity, that the young English revolutionary poets embraced so ardently, in the wake of the French Revolution. In this context, the terms in which Clive Linley thinks and writes about the structure and sound of the music as he sees it and as it is propounded by the authorities to be, his conviction that the simpler, more common forms will prevail, eventually, echo Wordsworth's war on neo-classical poetic diction in his critical writing (The "Preface"). The importance of "communicativeness", as Clive sees it, of remaining "a man speaking to men", in the terms of the same "Preface".

Ian McEwan did not choose for his character of the contemporary artist a writer (if we discount the journalist friend) but a musician. Of all the arts music is the one that most strongly relies on inspiration for its achievement. The arch-poet of inspiration in English is Wordsworth. His creation is a clear-cut three-step process. The artist perceives something that moves him violently (strong feeling, "emotion"). Then he gets separated from the object of the emotion and, after an indefinite period of time, without any connection, he remembers that "spot of time" (whether he calls it "recollection in tranquillity", as in the "Preface", or "wealth", as in "Ode to the Daffodils"). This recollection in tranquillity will trigger off an emotion that will, in its turn, make him sit down and write. It is also known that it is this kind of inspiration that is based on a necessary layer of previous emotion that is mostly responsible for Wordsworth's inspirational/ creative barrenness after 1807. "Spots of time", by definition, cannot be kept up for long periods, or at least, cannot be repeated frequently. Moreover, in order to be effective, they must be spontaneous. So that, in time, Wordsworth's best poems were those about the loss of inspiration and creative power. Clive Linley's projected trip to the Lake District is not just a reiteration of his previous experiences, when he found energy and inspiration in the Lake District, but it is also a willed, non-spontaneous search for a Wordsworthian space of inspiration. Like poetry, music relies most heavily on rhythm. Clive Linley thinks ahead of his strides across the mountain slopes that will give him the rhythm he needs. One can compare this with De Quincey's description of Wordsworth walking and reciting aloud. Nevertheless Ian McEwan carefully avoids in his naming any of the well-known Wordsworthian sites. The hero's litany is original, so far, personal and personalized, by the juxtaposition, and symbolic in its names, in the end: "Hard Knott, Ill Bell, Cold Pike, Poor Crag, poor Molly". The projected visit to the Lakes, of Part I, is symmetrically enacted in Part III. The train journey to the Lakes is disappointing and depressing:

To watch it mile after mile, who would have guessed that kindness and imagination, that Purcell or Britten, Shakespeare or Milton, had ever exited?

Occasionally, as the train gathered speed and they swung further away from London, countryside appeared and with it the beginnings of beauty, or the memory of it, until seconds later it dissolved into a river straightened to a concrete sluice or a sudden agricultural wilderness without hedges or trees, and roads, new roads probing endlessly, shamelessly, as though all that mattered was to be elsewhere. […] Clive had never felt bleak about the view." (p. 64)

On his way north the character realizes that going to the Lake District he is also trying to recapture a friendship: "this was the theme of his northward journey, the long and studied redefinition of a friendship" (p. 66). I shall not suggest that this is a contemporary interpretation of Wordsworth and Coleridge's friendship, although the character's thoughts really start form a reassessment of his relationship with his friend. What the Lake District could offer, he hopes, is a recapturing of unity and harmony, an organic reintegration, to use a Wordsworthian attribute, with the ultimate creation of what poetry has best to offer, in Wordsworthian terms, "relationship and love". The model of this creation is "Beethoven's Ode to Joy" (p. 76), the emblematic musical piece inspired by the same historical events that inspired the Romantic poets' millenial hopes. One cannot help smiling at this model of "simplicity" that the musician aspires to, and at the same time, cannot help observing that Wordsworth, and his obsessive repetition of "joy" and "Ode: Intimations of Immortality" appear again, without being named. After getting to the destination the character cannot satisfy his sensations beyond their most instinctive level, that of the sense of smell: "He opened the window wide so he could breathe the distinctive winter Lakeland air while he unpacked – peaty water, wet rock, mossy earth." (pp. 66-7)

The character's first contact with the scenery is rendered through description, as the first form of knowledge:

He slung the pack across his shoulder and set off along the track into the valley. During the night a warm front had moved across the Lakes and already the frost had gone from the trees and from the meadow by the beck. The cloud cover was high and uniformly grey, the light was clear and flat, the path dry. Conditions did not come much better in late winter. (p. 77)

The day-trip on the mountains, though, is anti-climactic:

He felt, despite his optimism, the unease of outdoor solitude wrap itself around him. He drifted helplessly into a daydream… […] A sense of scale habituated to the daily perspectives of rooms and streets was suddenly affronted by a colossal emptiness. The mass of rock rising above the valley was *one long frown set in stone*. The hiss and thunder of the stream was *the language of threat*.[9] (p. 77)

[9] my underlining

This is a climactic point of pathetic fallacy that the character tries to counter by rationalization: “There was no threat here, only elemental indifference”. (p. 78) The anti-Wordsworthian assessment is resisted by the character, who is still hoping for the Wordsworthian reintegration:

There were dangers of course, but only the usual ones, and mild enough, injury from a fall, getting lost, a violent change of weather, night. Managing these would restore him to a sense of control. Soon *human meaning would be bleached from the rocks*[10], the landscape would assume its beauty and draw him in; the unimaginable age of the mountains and the fine mesh of living things that lay across them would remind him that he was part of this order and insignificant within it, and he would be set free. (p. 78).

The way to this, according to the expert above, would be by an annihilation of the pathetic fallacy that the romantics aspired to. Reality, though, is different from expectation. Efforts to feel inspired are thwarted:

The open spaces that were meant to belittle his cares, were belittling everything: endeavour seemed pointless. Symphonies especially: feeble blasts, bombast, doomed attempts to build a mountain in sound. Passionate striving. And for what. Money. Respect. Immortality. A way of denying the randomness that spawned us, and of holding off the fear of death. (pp. 78-9)

The character’s lack of inspiration evolves into an assessment of Wordsworth’s work at its worst.

His efforts are praiseworthy and he is undeterred in his determination, in spite of the alternating fits of hope and fear:

Everyone he knew seemed perfectly happy to get by without wilderness – a country restaurant, Hyde Park in spring, was all the open space they needed. Surely they could not claim to be fully alive. (p. 80)

The momentary exaltation, because of the sense of superiority acquired by his enjoyment of the scenery is nevertheless soon on a down slope. The rhythm he captures changes unawares from artistic creation to physical workout:

Anyway, was the Lake District really a wilderness? So eroded by walkers, with every last insignificant feature labelled and smugly celebrated. It was really nothing more than a gigantic brown gymnasium, and this incline just a set of grassy wall bars. This was a work-out, in the rain. (p. 80)

It is this change of rhythm and its accompanying suggestion of human invasion that he tries to avoid:

Skirting the broad scars of erosion caused by hikers, he made a curving route to the ridge ahead of him […] where he had a view of the long descent towards Sty Head, and what he saw made him cry out in irritation. Spread over more than a mile, marked by brilliant points of fluorescent oranges, blues and

[10] my underlining

greens, was a party of walkers. They were schoolchildren, perhaps a hundred of them, filing down to the tarn. […] Instantly the landscape was transformed, tamed, reduced to a trampled beauty spot. Without giving himself time to dwell on old themes of his – the idiocy and visual pollution of day-glow anoraks, or why people were compelled to go about in such brutally large groups – he turned away to his right, towards Allan Crags, and the moment the party was out of sight he was restored to his good mood. (pp. 82-3)

The bird's eye view of the Wordsworthian poetry does not offer the reward expected. There is something almost heroic about the character's stubbornness to get the atmosphere that he needs. His fellwalking is also a continuous climbing and descending of his disposition, a "skirting" of 20th century reality.

The destruction of the Lake District is partly due to its popularity. Writing about wilderness tames that wilderness into guide books. Clive himself goes on his trip armed with the previous reading of a classic guide of the famous fellwalker, Alfred Wainwright:

He had before him a walk that Wainwright's *The Southern Fells* described as 'full of interest'; the path rose and fell by little tarns and crossed marshes, rocky outcrops and stony plateaus to reach the Glaramara summits. This was the prospect that had soothed him the week before as he was falling asleep. (p. 83)

Ironically, in the excerpt above, the Wordsworthin process of inspiration is inverted. The bookish source provides, for a while, a soothing of emotion (not emotion) in anticipation (not recollection), but the real landscape will fail to provide joy. The landscape has become clogged by too many beholders.

Although inspiration does come, in a flash, in the shape of a previous musical line written by him, the hero is incapable of sustaining the moment:

How elegant! How simple! […] One note lay over and suggested the next. He heard it, he had it, then it was gone. There was a glow of tantalising afterimage, and the fading call of a sad little tune. This synaesthesia was a torment. Those notes were perfectly interdependent, little polished hinges swinging the melody through its perfect arc. He could almost hear it again as he reached the top of the angled rock slab and paused to reach into his pocket for notebook and pencil. It wasn't entirely sad. There was merriness there too, an optimistic resolve against the odds. Courage. (p. 84)

The result of this stubborn search for inspiration, the twentieth century counterpart to Beethoven's Symphony to Joy, is "a sad little tune". The character captures something of Wordsworth's deliberate focus on joy, with its rich synonymy in the Romantic poet's work, which Ian McEwan deliberately converts to a non-Wordsworthian word of his own invention: "merriness". The final word of the excerpt, courage, is therefore the

courage that is possible under the circumstances. It is also an ironic comment on the development that the novel will take from this point.

The price that the character has to pay for the flimsy "sad little tune" is deliberately ignoring that life, of the ugliest sort, goes on around him. His snatch of melody is written down in ignorance of a scene that he sees from a promontory. What appears to be a lovers' quarrel turns out to be, to his unknowing and unknown eyes, the scene of a murder. The beholder who betrays the landscape for the sake of inspiration is equally ignored by those he ignores. Therefore, although the ingredients of the Wordsworthian process of inspiration and creation are there, the basic spirit of "communion" is missing. The character rushes back to the peace and comfort of the metropolis:

> He had got what he wanted from the Lake District. He could work again on the train. […]
>
> He wanted to be away, he was longing to be on the train, hurtling southwards, away from the Lakes. He wanted the anonymity of the city again….(p. 89)

The ideal of solitude in the middle of wilderness cannot be sustained. It proves to be only a means of deceptively squeezing "inspiration" out of it. The ode to joy will not be written in the end and the "Immortality Ode" will change into a real ode to Death.

Although the novel never mentions the name of Wordsworth or any of the place names of his poetry or written biography, the presiding genius of the place is there. The impression of the novel as a reconstructed space is reinforced by the obvious, almost schematic, symmetry of the novel.

The Lake District as the enchanted area of transformation, unification and creation was grasped by the Lake poets in its last moment of inspiration. Nostalgia for things as they used to be was already in the air. It cannot, in contemporary life, offer what it offered to the genius of Wordsworth. But it remains a "cultural construct" that, by its very metamorphosis, offers a contemporary writer an upside down possibility of creating, through comparison, an integrated image of his own world.

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DO WE KNOW HOW TO APPLY FOR EU JOBS? PRINCIPLES OF EFFECTIVE COMMUNICATION

ANCA LUMINIȚA GREERE

ABSTRACT. This study proposes an analysis into effective application procedures employed for different recruitment situations. Our focus is mainly practical and one that looks behind the theoretical frameworks into such aspects that are relevant to help tip the scales in one's favour, but which might be most often neglected by applicants. Our motto: It is the little things that count! In the case of applications, those small neglectable aspects may just make the difference between being shortlisted for an interview or being rejected.

1. BASIC PRINCIPLES

Generally speaking, an application file or dossier will have to be put together when applying for (1) a new job, (2) membership in professional bodies, (3) sponsorship for different projects/training programmes etc. In such situations the applicant wants to make sure that s/he provides all the information necessary for a full evaluation of the application. In most situations the vacancy notices/ calls for recruitment or membership registration policies will specifically contain information relating to: the description of the institution/company, the job description or membership benefits, respectively, qualifications and experience required (eligibility/ selection criteria), conditions of employment/membership, and application procedures (e.g. compulsory/advantageous content of the application file, deadline, etc.).

For almost any application file the following elements will have to be included:

- **cover letter** (optional)
- **letter of motivation/statement of purpose**
- **application form**
- **CV/resume**
- **supporting documents** (on request)
- **letters of recommendation/ reference** (on request)

It is important before an application is prepared for the applicant to consider some elements carefully:

(1) Never prepare an application file unless you have carefully checked your suitability against the job description. There is no purpose of getting all enthusiastic about a job and preparing the application file, for you to notice later than an element of eligibility is not/cannot be accounted for.

(2) Make sure you observe all requirements when you prepare your application especially regarding such issues as deadline, mode of application (printed-hardcopy/electronic) and compulsory documents. Late or incomplete applications will rarely be evaluated.
(3) Most application files are requested to be posted not electronically sent. However, if you do send the application file via e-mail, also send a printed version through the post (unless the company's notice strictly forbids this). For further reference keep a printed copy on file for yourself.
(4) Some documents might be requested at a later date. If the vacancy notice specifically states that, then refrain from enclosing them, however if this is not mentioned you should include all documents that can support your application (e.g. copies of degrees/ diplomas/ certificates and letters of recommendations).
(5) Always adopt a layout and content that will emphasize your achievements relevant for the job description. All components of the application file should highlight such performance that may distinguish you from other applicants.

2. COMPULSORY ELEMENTS

The following elements will have to be drafted for inclusion in an application file.

COVER LETTER. The cover letter is a statement of intention to apply for the position advertised by a company or an agency. It should include (1) your application intention, (2) identification elements of the position you seek (title, minimal job description etc), (3) reference elements for the post (reference number, details of publication of the vacancy notice, (4) a (numbered) list of the enclosed documents (in the order they have been annexed, (5) a statement of availability to take part in an interview or to bring supporting documents. The cover letter will abide by drafting principles employed for business/official letters. However, instead of your company's letterhead, you will include your personal contact details. And, underneath your signature, you will not include your current title.

The cover letter is not compulsory, however it facilitates the evaluation of the file as it provides the assessor with an overview of the material inclusion.

Your address

The hiring company's/institution's address

21 May 2006

JOB APPLICATION
Position: Project Officer –Environmental Planning
published on the EPSO website (REF. EEA/V/2006/003)

Dear Madame or Sir/ Selection Board/Hiring Manager,

I am herewith presenting my application for the position of Project Officer – Environmental Planning within the European Environmental Agency (vacancy notice published on the EPSO offical website http/ ….).

Please find enclosed the following documents:

- letter of intention
- completed application form
- detailed CV
- letter of recommendation from Mr. Ion Gavrea, Director of ….

Yours sincerely,

John Wayne

LETTER OF MOTIVATION. The letter of motivation is a statement of interest in the company/professional body, giving you the opportunity to motivate your application by emphasizing your previous experience/training and by stating your future professional goals. **The content of the letter should be designed to correspond to the requirements of the job description.**

If you choose not to have a cover letter, the letter of motivation will play both roles and hence, it will have to contain a list of enclosures.

Layout

The letter of motivation will have to contain a salutation (usually not 'To whom it may concern') and clearly identifiable elements for the job position as reference/subject.

Choose a readable font and make sure you never exceed 2 pages.

Content

Ideally, it has no more than four paragraphs. Even if you do include more paragraphs, make sure each deals with a specific matter (e.g.

education/qualifications, professional experience- involvement in projects etc.) The first and the last will usually correspond in content with the content of the cover letter (if separate).

- **1st paragraph:** The goal of the first is to specify what you are applying for and how did you find out about that opportunity.
- **2nd paragraph**: This paragraph should list your skills and qualifications that make you the right person for the position you are applying for. Read carefully the announcement, identify the requirements and see how your skills match those required. Do not simply state you have them, prove it. Ideally, you should start from your experience and show how you have developed those qualifications by doing what you have been doing/learning. The result should portrait you as an independent, creative person that can take initiative and deal with responsibilities, apart from the specific skills needed for the job. In short, the second paragraph should show why you are good for the job.
- **3rd paragraph**: The third paragraph should point out why you want the position. You should outline your interest for the skills you are going to learn if you get the job. The impression left should be that you can make a genuine contribution to the company's operations, while simultaneously deriving satisfaction from your work.
- **Last paragraph**: The last paragraph outlines your availability for an interview, suggesting in this way a concrete follow-up for your application.
- **Enclosure**. In case you have only the letter of motivation/ statement of purpose.

There are cases when the letter of motivation is not required, especially if the application form is designed to include a statement of motivation and a description of academic qualifications and professional experience.

APPLICATION FORM. Most employers/professional bodies will have designed a form to be completed by the applicant in order to speed up the selection process. Some application forms are quite straight forward containing yes/no questions that correspond with the eligibility criteria presented in the job/membership announcement. Others will be more elaborate and the applicant will have to fill in text.

When completing an application form consider the statements below.

1. An application form should always be completed IN FULL in BLOCK CAPITALS using back ink. Generally, employers will prefer the application form to be completed in hand-writing, but sometimes an electronic version is provided and you can complete it electronically and then print it out.

2. Make sure you understand the question before you answer. Read it twice, if necessary.
3. If some questions are irrelevant for you, then DO NOT leave the space empty, simply write **N/A** [not applicable] in the answer area. This will indicate to the evaluator that the question does not apply to you and it will rule out the interpretation that you might have forgotten to complete the space or let it uncompleted on purpose.
4. Make sure you answer according to specifications: If you are asked to tick, then tick, if you are asked to cross out the wrong/inappropriate answer, the do so.
5. REMEMBER to sign and date your application form. Otherwise it is not valid and it will not be considered.

Content

For more complex applications forms, the application form proper is preceded by instructions on how to fill in the form. READ THEM CAREFULLY!!!!

Usually the application form will contain the following units to be filled in by the applicant:

- Personal Details (including permanent residence and temporary residence, if applicable)
- Training / Qualifications
- Employment / Professional Details (most relevant or most recent)
- Language skills
- Affiliation to professional bodies
- Other relevant information. Some application forms will allow some space for additional information that has no specific unit. If there are elements you find are relevant for the position, highlight them here (any voluntary/unpaid work)
- Additionally, there are elements that will pose to be optional:
- Supporting Statement (At times this is included in the application, thus making the letter of motivation superfluous [unnecessary])
- Personal Suitability
- political/cultural/ethical/religious affiliation

Below, we have provided two examples: (1) is an application for recruitment by the European Commission (c.f. http://europa.eu/epso/index_en.htm), whereas (2) is an excerpt from the standard job application Form PD-100 valid for the United States. (c.f. http://www.oregonjobs.org/DAS/STJOBS/docs/jobs/pd100online). Note, in both cases, the elements that are compulsory for inclusion.

Eligibility and selection criteria grid
Project Officer – Environmental Planning
(Ref. EEA/V/2006/004)

Last name (in capitals):

First name:

Gender:

A. Eligibility / Selection criteria

(1) I have an university diploma : **YES / NO**

(2) I have proven professional experience (following the award of my university diploma) in a field related to environmental planning : **YES / NO**

(3) Number of years of professional experience in positions related environmental planning: **(SPECIFY)**

(4) I have a thorough knowledge of at least two official languages of the European Union: **YES/ NO**

(5) I have proven abilities to use electronic office equipment (word processing, email, internet, etc.): **YES /NO**

(6) I am a national of a Member State of the European Union, Bulgaria or Romania : **YES / NO , (SPECIFY)**

(7) I am entitled to my full rights as citizen: **YES / NO**

(8) I have fulfilled any obligations imposed by the applicable laws concerning military service: **YES / NO**

(9) I meet the character requirements for the duties involved: **YES / NO**

(10) I am physically fit to perform the duties linked to the post: **YES / NO**

B.

(1 = slight; 2 = good; 3 = very good; 4 = excellent)

(11) My command of English is: **1 / 2 / 3 / 4**

(12) My project management experience : **1 / 2 / 3 / 4**

(13) My knowledge of the role and the tasks of the EEA is: **1 / 2 / 3 / 4**

(14) My motivation and aptitude for team work is: **1 / 2 / 3 / 4**

(15) I have previous experience at the European Commission: **YES / NO**

(16) My familiarity with software applications used by the Commission is: **1 / 2 / 3 / 4**

TYPE or PRINT in INK — Please complete the application by typing or clearly printing in dark ink. Submit a separate application (photocopy acceptable) for each recruitment announcement. If your application materials do not clearly show you meet the qualifications of the job for which you are applying, your application will not be accepted.

JOB APPLIED FOR (Listed on the recruitment announcement):

SOCIAL SECURITY NUMBER: ☐ - ☐ - ☐

CLASSIFICATION NUMBER:	ANNOUNCEMENT NUMBER:	DRIVER'S LICENSE NUMBER:	STATE OF ISSUE:

NAME AND ADDRESS

NAME (LAST, FIRST, M.I.):			HOME TELEPHONE (include area code):
MAILING ADDRESS:			WORK TELEPHONE (Provide only one including area code):
CITY	STATE	ZIP CODE:	OTHER (include area code):
EMAIL ADDRESS:			☐ PAGER ☐ CELL PHONE ☐ MESSAGE

☐ PRESENT EMPLOYER ☐ LAST EMPLOYER (Check one):

May We Contact? ☐ Yes ☐ No

CITY AND STATE:

EDUCATION / TRAINING HISTORY

List colleges, military, trade, business or other schools attended.

Do you have a high school diploma or a GED certificate? (Check one) ☐ YES ☐ NO

	Name and Location Of School, College, or University	Course of Study (List Major)	Credits Earned Check One & Indicate Hours	Did You Graduate? (Yes / No)	Degree or Certificate Received (AA, BA, BS, MA, PhD)
A			☐ Quarter ☐ Semester ☐ Clock		
B			☐ Quarter ☐ Semester ☐ Clock		
C			☐ Quarter ☐ Semester ☐ Clock		

LICENSE / REGISTRATION / CERTIFICATE

List any **required** professional license, registration, certificate, Oregon Commercial Driver's License (CDL), etc.

Description	State	Number	Expiration

SPECIALIZED SKILLS AND KNOWLEDGE

List skills or knowledge that show your ability to perform the job for which you are applying (such as typing speed, computer languages or software programs, foreign languages, etc.). Attach additional pages as needed.

WORK HISTORY

JOB NUMBER 1 (current or most recent position)

NAME OF EMPLOYER		EMPLOYER'S ADDRESS and PHONE NUMBER
KIND OF BUSINESS		SUPERVISOR'S NAME and PHONE NUMBER
YOUR JOB TITLE		SUPERVISION / LEADWORK CHECK AREAS YOU WERE RESPONSIBLE FOR: ☐ Assigning and Reviewing Work ☐ Handling Disciplinary Problems ☐ Rating Work Performance ☐ Responding to Grievances ☐ Hiring or Recommending Hiring ☐ Not Responsible for Any of Above
FROM (MONTH - YEAR)	TO (MONTH - YEAR)	
TOTAL TIME IN CURRENT OR LAST POSITION:	HOURS WORKED PER WEEK (Average)	If you checked any of these boxes, list the number of employees and their job titles.

DUTIES (List all duties you performed. No credit will be given if this section is not completed.):

Reason for leaving this position:

CURRICULUM VITAE / RESUME. A curriculum vitae, commonly referred to as CV, is a longer (two or more pages), more detailed synopsis than a resume. It includes a summary of your educational and professional backgrounds as well as projects, presentations, affiliations and other details. Depending on the application, you should rearrange the elements in your CV to make the information (that is of particular interest to the selection board) easily accessible/noticeable. Sometimes you will be requested to provide a full/standard CV including all your training/performances, at other times you can extract only the relevant information and produce a Resume.

Always update your CV before you send it to a potential employer by including new information. Always review the information included and the order in which you present it to see whether it is relevant for the new employer. Maybe you need to highlight different aspects from your previously submitted application.

(http://www.cv-resume.org
http://jobsearch.about.com/od/resumes/a/resumecenter.htm)

Format

- There are multiple formats for CVs. Make sure you choose one that will enhance reception. A neat CV will speak for itself.
- Use a clear/ easily visible layout. You might want to arrange some elements in table format or highlight others with bold or italics.
- DO NOT use excessive editing.
- If you have more pages make sure you design a header containing your name.

Content

Put in all relevant information. Don't be excessively modest, everything you did should seem of major importance. The CV should make you look a very active, dynamic person, dedicated to improving your skills and your professional performance.

If you are enclosing supporting documents, you might want to reference to them in your CV. In this case you should ascribe numbers to the annexes and reference accordingly (e.g. High-school graduation Diploma see annex 1)

ALWAYS arrange information in reverse chronological order starting with the most recent educational/professional achievement (e.g. the position you currently hold).

The information presented in a CV will contain:

- **title + month year.** The title is either 'Curriculum Vitae' or the name of the applicant. Make sure you give at least the month and the year to indicate the date of the CV.

- **Photo.** A recent photograph may be included, BUT make sure it enhances your professional image. You do not want to look boring or bored.
- **Personal details** (Last name – always capitalize, First Name, contact address, telephone number, e-mail address, date of birth, nationality, citizenship, marital status - optional etc.) If you provide a picture you do not need to indicate the gender.
- **Languages.** Provide some system of reference to self evaluate your linguistic performance (e.g. the Common European Framework of Reference for Languages A1/A2/B1/B2/C1/C2 or 'conversational'/ 'satisfactory'/'fluent' or 'beginner'/intermediate/advanced) You might also want to indicate reading/writing/listening/speaking skills. Indicate along the particular language if you have any language certifications and the level obtained.
  (http://www.coe.int/t/dg4/linguistic/CADRE_EN.asp)
- **Education/Training.** Educational details should be arranged in reverse chronological order (postgraduate studies, undergraduate studies, highschool). Note particularly relevant projects completed within your study. The dates and the degrees awarded on completion should also be indicated. If you are currently taking part in a study programme, it might be useful to indicate the prospective date of completion or that a degree award is pending. Sometimes it is also important to provide rankings (e.g. among the top 5 out of 200, ranked highest, graded 9.53 out of 10 or 9.53/10)
- If your degrees are in Romanian in original you might want to include along the English equivalent also the Romanian designation of the qualification.
- If the focus of your application is rather professional than academic, you might want to place the information on education closer to the end of the CV and forward professional information.
- **Professional details.** Include dates, name of company/institution, position held, description of responsibilities, contact person.
- **Projects.** Provide a list of projects and responsibilities held.
- **Conferences/ Professional Events.** Always indicate the dates, the organizing body, the location/venue, titles of presentations delivered etc. Table format is always appropriate for this unit.
- **Publications.** Provide either a list of most relevant publications or a synopsis pinpointing the number of articles in specialized journals etc.
- **Other information** (computer skills + programmes you can work with/certifications you hold; driver's licence; military service – fulfilled/unfulfilled or applicable/not applicable; hobbies- you should provide some hobbies, shows you have a wide range of interests)

- **Referees.** You should always provide contact details of at least two professionals that can provide reference. In some cases, the application requirements will include letters of recommendation, but in others employers prefer to phone up or e-mail referees if the applicant is considered for the job or has been shortlisted. Remember to always ask the referee if you can include his/her details in your CV.
- When you have a letter of recommendation, specify this alongside the referees name/details (see annex 2 letter of recommendation).
- **NO signature.** Customarily, you do not sign a CV. A signature is affixed only on the letter of motivation and the application form.

Below we have included two examples of a CV. Note the table format with the former and the editing fields in the latter. Also, the European CV format is a viable (or even required) alternative at http://europass.cedefop.europa.eu/europass/home/vernav/Europasss+Documents/Europass+CV/navigate.

CURRICULUM VITAE

October 2006

1. **Family Name:** **MAXIMESCU née Roniga**
2. **First Name:** **Anca Monica**
3. **Date of Birth:** June 14, 1974, Cluj-Napoca, Romania
4. **Profession:** **Counsellor** at the Romanian Environmental Protection Agency, Cluj Division, Department for Monitorization
5. **Education:** **B.A. in Environmental Sciences**
   M.A. in Quality Analysis and Environmental Monitorization
   PhD (Magna cum Laude) in Environmental Sciences
6. **Address:** (office) str. Minerilor nr. 47, 40038 Cluj-Napoca, Romania
   + 40 264 412540
   e-mail: anca.maximescu@anpm.ro
7. **Nationality:** Romanian
8. **Civil Status:** married, two children
9. **Language Skills:** **Romanian**: native CEFR-C2 **German**: advanced CEFR-C1/B2
   English: near-native CEFR-C2/C1 **Greek, Italian**: basic CEFR-A2

10. EDUCATION / SPECIALISATION

Institution:	**Aston University, Birmingham, UK**
Date:	Oct.-Dec. 2004
Description:	**TEMPUS Research mobility** on Energy and the Environment

Institution:	**Babes-Bolyai University , Faculty of Environmental Sciences, Cluj-Napoca, Romania**
Date:	1999-2005, Defence: November 2005
Degree or Diploma:	**Ph.D. with Honours Magna cum Laude,** ***Diploma de Doctor*** **Thesis:** ***Implementation of Intelligent Energy Programs in Romania: The potential and limitations.***

Institution:	**Limerick University, Limerick, Republic of Ireland**
Date:	March-April 1998
Description:	**TEMPUS Research Mobility** on Intelligent Energy

Institution:	**Babes-Bolyai University , Faculty of Environmental Sciences, Cluj-Napoca, Romania**
Date:	1998-1999
Degree or Diploma:	**MA in Quality Analysis and Environmental Monitorization**: ***Diploma de Studii Aprofundate*** **Dissertation:** ***Quality of Waste Treatment Programs in the Cluj Area***

12. PROFESSIONAL RECORD

Date	2004 - present
Location	Cluj-Napoca, Romania
Institution	ROMANIAN ENVIRONMENTAL PROTECTION AGENCY
Position	ENVIRONMENTAL COUNSELLOR
Responsibilities	• **professional counselling on European projects** • **feasibility analysis of projects for European funding**
Reference	www.anpm.ro Ana Florescu, Director, e-mail: ana.florescu@anpm.ro

13. PROJECTS

14. PARTICIPATION AT INTERNATIONAL EVENTS

Date	October 2006
Location	**Stockholm, Sweden**
Event	**4th Seminar for Waste Water Treatment**
Paper delivered	• 'The treatment of wastewater in Romanian hospitals'

15. PUBLICATIONS – SYNOPSIS

31 articles published in national (30) and international journals (3)
13 papers delivered at international conferences, symposia
(5 published in Proceedings of Conferences)

16. MEMBERSHIP OF PROFESSIONAL BODIES

since 2006 **member, Romanian Association of Professionals in Environmental Protection ('Asociația Profesioniștilor în Protecția Mediului')**
www.anpm.ro

17. OTHER RELEVANT INFORMATION

Computer Skills: Microsoft Office, Excel, Internet
Clean Driver's licence obtained 2002
Military Service – N/A

18. REFEREES

ROLAND BARTIS – MONITORIZATION DEPARTMENT,
Romanian Ministry of Environment and Water Management
Str. Rosie nr. 41, sector 1 Bucuresti
tel. +40 21 7856478
e-mail: r_bartis@mappm.ro

ANA FLORESCU – DIRECTOR,
Romanian Environmental Protection Agency
Str. Marceni nr 2 Sector 1 Bucuresti
tel. +40 21 3456786
e-mail: ana.florescu@anpm.ro

Str. Minerilor nr.47
40038 Cluj-Napoca,
Romania
tel: +40 264 412540
e-mail:
anca.maximescu@anpm.ro

MAXIMESCU Anca Monica

Personal

- **Date of birth:** 14 June 1974
- **Citizenship:** Romanian
- **Languages:** **Romanian: native** CEFR C2
  English: near-native CEFR C2/C1 / Cambridge score: XX
  German: advanced CEFR C1/B2
  Greek, Italian: basic CEFR A2

Education

- **2004 Aston University, Birmingham, UK** –Tempus Research Mobility on Energy and Environment
- **1999-2005 Babes-Bolyai University, Faculty of Environmental Sciences, Cluj-Napoca, Romania**
  PhD thesis: *Implementation of Intelligent Energy Programs in Romania: The potentials and limitations*
- **1998 Limerick University, Republic of Ireland** – Tempus Research Mobility on Intelligent Energy
- **1998-1999 Babes-Bolyai University, Faculty of Environmental Sciences, Cluj-Napoca, Romania,**
  Master's Programme in Quality Analysis and Environmental Monitorization

Qualifications

- **2005: PhD in Environmental Sciences**
- **1999: MA in Quality Analysis and Environmental Monitorization**
- **1998: BA in Environmental Sciences**
- **1996: Cambridge Proficiency Examination**
- **1994: Baccalaureate Diploma 1997**

Professional Record

- 2004 – present, Counsellor, Romanian Environmental Protection Agency

Responsibilities: professional counselling on European projects, feasibility analysis of projects for European funding

- 2002-2004, Agent, Ministry of Environment and Water Environment

Responsibilities:

Projects

- Implementation of Sectoral Operational Plan
- European Analysis of Romanian Environmental Status

Participation at International Events

- October 2006, Stockholm, Sweden, 4th Seminar for Wastewater Treatment

Paper delivered: 'The Treatment of Wastewater in Romanian

- May 2004, Brussels, Belgium, International Congress on Intelligent Energy

Paper delivered:

Membership

- 2006 Romanian Association of Professionals in Environmental Protection
-

Referees

- Roland BARTIS, Monitorization Department, Romanian Ministry of Environment and Water Management, tel: + 40 21 7856478, e-mail: r_bartis@mappm.ro
- Ana FLORESCU, Director, Romanian Environmental Protection Agency, tel: +40 21 3456786, e-mail: ana.florescu@anpm.ro

SUPPORTING DOCUMENTS. Copies of your diplomas/degrees and certificates may be required either at the time of the application or at a later date.

If your certificates are in a language different from the language of the application (English, French or German) you will have to provide both (legalized) copies of the originals and translations into the language of the application.

Ro	Diplomă de Bacalaureat	Baccalaureate Diploma	**En**
		Highschool Graduation Diploma	**En**
		School-leaving Diploma	**En**
Ro	Diplomă de Licență	(4 year) Bachelor Degree	**En**
		University Graduation Diploma	**En**
Ro	Diplomă de Masterat	Master's Degree	**En**
Ro	Certificat de limbă străină	Language Certificate	**En**
Ro	Adeverință	Certificate	**En**

LETTER OF REFERENCE/ RECOMMENDATION. Most selection panels will require one or more letters of recommendation from professionals or academics who are familiar with your work and who can also indicate your personal characteristics. Sometimes the recommendations will not be submitted together with the application form, but they will be requested at a later date (after shortlisting or for the interview). When this is the case include in your CV the details of your referees. DON'T forget to ask permission to do so and to inform the referees in broad terms what the job description is in case they are contacted by your prospective employer.

When you approach a person to be your referee, carefully consider the advantages and disadvantages. If you approach someone with a high position within your company, who you might not have worked with very closely, s/he might not be able to provide a very specific reference; general information is always looked down on by employers as it indicates either of two realities (1) the person is not very familiar with your activity or (2) there are not that many positive aspects worth mentioning. In both cases the overall impression of the employer will not be a positive one, in spite of the high position your referee holds. Consequently, you should try and find someone, you know knows you and can be very concrete in describing your activity (e.g. by giving examples of good practice from miscellaneous projects etc.).

Content: At times the referee is asked to fill in a recommendation form specifically designed by the employer where some choices can be ticked. If a letterhead is used, then generally 4 paragraphs are customarily included:

- **Paragraph 1** states the relationship of the recommender with the applicant (how long and in what capacity has s/he known you)
- **Paragraph 2** indicates the applicants specialized training and professional accomplishments (responsibilities within the company, projects involved in etc.).

- **Paragraph 3** indicates personal/professional characteristics linking these to the professional environment the applicant is part of (e.g. motivation, determination, efficiency, adaptability, team-work/ leadership qualities).
- **Paragraph 4** states the referee's view point as to the applicant's potential to occupy the job position by 'highly or unreservedly recommending' the applicant.

Find below an example of a recommendation form presented for registration with a graduate studies programme (http://www.albany.edu/graduate/pdfs/recommendation.pdf).

RECOMMENDATION FOR GRADUATE STUDY

Office of Graduate Studies
University at Albany, State University of New York
UAB 121, 1400 Washington Avenue, Albany, NY 12222
518-442-3980

Notice to the Applicant: Please complete the section below and forward this form to the individual who will serve as your reference. You should also provide a stamped addressed envelope. When you receive the completed reference, place the sealed letter in the large envelope and include it as part of your application.

Name of Applicant: _____
Last (Family) First Middle Initial

Social Security Number: ____/____/____ Desired degree and field of study: _____

Name of Reference: _____ Occupation of Reference: _____
(Please print)

Confidentiality The Family Education Rights and Privacy Act of 1974 (FERPA), as amended, and the University guidelines permit enrolled graduate students access to letters of recommendation retained in their files. The applicant may waive this right of access, in which instance, retained letters will be considered confidential and will typically not be available to students. If you wish to waive your right of access to this letter, please indicate by signing your name on the line below. By signing below, you agree to waive all right to review the content of this letter of recommendation.

_____
Applicant Signature Date

Notice to the Recommender The above named individual is applying for graduate study at the University at Albany. The University places great emphasis on the importance of testimony of those qualified to offer comments concerning the qualifications of the applicant. Please return to the applicant this completed form in a sealed envelope, with your signature across the sealed flap. If you prefer not to give this form directly to the applicant, please mail this document to the address noted above. Thank you.

How long have you known the applicant? _____ In what capacity? _____

Please rate the applicant using the scale below. Please provide narrative comments on the reverse side of this form.

	Poor	Below Average	Average	Above Average	Outstanding	Not Able To Judge
Ability of expression in written and oral work						
Creativity in research work, projects, etc.						
Motivation for proposed program of study						
General preparation for graduate study						

After completing this section, please turn to the other side of this page.

CONCLUSIONS

We may conclude by stating that an application is not an easy undertaking. It needs careful consideration and quite a lot of inspiration to make the documents provided work in your favour. Appropriate text production techniques are of paramount importance. Observing the expectancy level of the evaluating committee, using editing devices that will positively attract their attention, arranging the information in a logical and easily receivable order are just a few of the prerogatives that stand at the basis of a successful application, and these alongside an impeccable professional record.

BIBLIOGRAPHY

1. http://europass.cedefop.europa.eu/europass/home/vernav/Europasss+Documents/Europass+CV/navigate.action, last accessed 14 March 2007 (European Portofolio)
2. http://www.coe.int/t/dg4/linguistic/CADRE_EN.asp, last accessed 14 March 2007 (Common European Framework for Reference in Languages)
3. http://europa.eu/epso/index_en.htm, last accessed 14 March 2007 (European Personnel Selection Office)
4. http://www.cv-resume.org/, last accessed 14 March 2007
5. http://jobsearch.about.com/od/resumes/a/resumecenter.htm,last accessed 14 March 2007
6. http://www.oregonjobs.org/DAS/STJOBS/docs/jobs/pd100online.pdf, last accessed 14 March 2007
7. http://www.albany.edu/graduate/pdfs/recommendation.pdf,last accessed 14 March 2007

STUDIA UNIVERSITATIS BABEŞ-BOLYAI, PHILOLOGIA, LII, 2, 2007

FALARGS OR ARGFALS ?

DORINA LOGHIN

RESUME. On sait que l'essence de la communication est l'information. La communication se fait par les messages. Puisque les mots ne sont pas clairs de manière intrinsèque, les messages qu'ils portent ne sont pas toujours clairs du point de vue linguistique et ils nécessitent des informations complémentaires de la part du récepteur afin d'éviter toute ambiguïté or malentendu. Les erreurs qui apparaissent dans la communication argumentative sont plutôt des erreurs logiques et des erreurs de raisonnement plutôt que des erreurs proprement dites. Les arguments erronés sont souvent appelés „sophismes". Aristote mentionne certains de ces cas ent tant qu'exmples de telles erreurs. Pour pouvoir corriger les erreurs des autres ou bien pour les réfuter, on a besoin de comprendre pourquoi elles sont des erreurs. Afin de comprendre ces „erreurs" de communication, on devrait commencer à apprendre comment construire des arguments correctes et solides qui évitent que le récepteur soit incapable de déchiffrer correctement le message.

How to Do Fallacies with Arguments

"Logical errors are, I think, of greater practical importance than many people believe; they enable their perpetrators to hold the comfortable opinion on every subject in turn."

Source: Bertrand Russell, A History of Western Philosophy (Book-of-the-Month Club, 1995), p. 93.

Text and Logic

It goes without saying that to produce a rigorous, consistent and convincing argument means to offer a persuasive communicative act, which is an achievement ascribed exclusively to the human rational mind. Both when we produce and when we analyse a (written) text, we must be aware of some of the uses of logic employed in the creation of a persuasive or argumentative text. The notion of argument refers to the process of reasoning by advancing proof and it has its roots in logic, the field of knowledge or the science relying basically on reasoning, inference, and proof. During the process of texts creation, in general, the main target is or should be in most cases on determining the *validity* or the *invalidity* of the reasoning underlying an argument, and subsequently using those conclusions to *support* or *reject* a thesis. Logic and the mastery of the structure of well-formed arguments and reasoning provide the right materials for the construction of valid arguments or valid reasoning in support of theses and

also for the evaluation and refuting of invalid arguments and invalid reasoning used to support others' theses. Since this is an introductory study on argumentative discourse/text and its fallacies, it will focus mainly on the simple basics of logical argument, some of the types of argument, and finally some of the mistakes that can be encountered when logic is incorrectly used (called fallacies or fallacious reasoning).

The Basics of Argument

Edward Sapir and his disciple Benjamin Lee Whorf formulated a hypothesis according to which our understanding of the world is determined by the language we use, and that in effect, we 'language' (=translate, or re-create) reality into existence. For Wittgenstein, there is no separation between the real world and language as the world exists only within language; he views sentences as series of games, each governed separately by its own rules.

By repeating verbally and with conviction an idea, it will eventually become *my truth*, without essentially being *the truth*. It's like when a patient says " This is *the* remedy for my disease", however incredible it may seem scientifically, it will end up by working successfully for that patient. Reality only becomes reality when it makes sufficient sense for the individual.

Any logical argument starts with a statement which can be either true or false.

For example: "Mountains are higher forms of relief than plateaus." or "Paper was invented by the Chinese." Or " Language is a human instrument."

These statements are called propositions, which either declare the truth of a statement or refute it. When refuting (or denying) a proposition, *evidence* has to be provided in order to *demonstrate why the proposition is not true*. What is asserted or is denied is the *meaning* of the proposition and never the particular arrangement of words or the use of a particular word. Propositions themselves are open to debate and definition. The third example is prone to debate if we regard language as a universal communication system, so the proposition may be denied. However, if we refer to language as an only kind of communicative system which cannot be found with all its characteristics in any other animal communicative system, then yes, the proposition might be accepted or asserted as true. In order to justify the assertion, precise definitions and supporting evidence are important in an argument in which propositions serve as the foundational elements to the three parts of an argument — the premises, the inferences, and the conclusions.

Premises

To build up an argument several explicit propositions or premises are necessary and they will constitute the grounds (or reasons) for accepting the argument and its conclusions. The assertion must be

supported by evidence to give credence to the argument presented. The usual markers for building up a premise are adverbs such as: *naturally*, *evidently*, *since*, *because*, *clearly*, *obviously*, etc. Also, some of them direct the audience towards reaching certainty; if this is successfully accomplished, the gain is on the part of the 'speaker'. This is an easy way of persuading or fooling others into accepting our truth – a form of manipulation actually when the premises are dubious and we present them as true beyond question. Usually, this form of manipulation, or the 'dominate-your-opponent' technique, aims at intimidating the audience by making them *afraid to investigate the facts* and *question a premise of the 'certainty' offered to them* for fear they may be regarded ignorant.

Inferences

Conjunctive adverbs (*thus*, *consequently*, *this leads us to*, *it implies that*) are employed to indicate inferences. In order to obtain a logical sequel, the premises of the argument can be used to derive further propositions. These are called inferences and are entailed (or implied) if the premises are true. This brings us close to implicatures and their rules for deriving valid inferences (sometimes called a *truth table*).

Conclusions

Conclusions are other propositions, ones that are eventually reached at and that derive from the premises and the inferences together. The validity of a conclusion rests in the validity of the underlying premises and inferences. Pointer phrases indicative of conclusions are: *we conclude*, *therefore*, *in sum*, *it follows that*, etc.)

Arguments – types and categories

Rhetoric classifies argument into two basic types: inductive and deductive. Another classification proposes different terms, following the traditional line back to its origin: the Aristotelian or adversarial, and Rogerian or consensus-building argument.

Generally speaking, the Aristotelian argument invalidates an argument, but it can also confirm a view, a position or a hypothesis. The speaker who resorts to this procedure tries to persuade the listener to a particular point of view; in this respect, he uses logic, appeals to the rational in the audience, and provides empirical and common sense evidence to persuade the audience members to change their beliefs, attitudes, and actions.

On the other hand, the advocates of 'peaceful strategies' who prefer consensus among opponents rather than an adversarial relationship, think that every party involved would benefit if the argument were performed in mutual understanding, so that everybody would be winner. This argument

was proposed by the American psychologist Carl Rogers and relies on the idea that a successful argument is a winning situation for everyone. Avoiding all emotionally sensitive language, the speaker phrases statements in as neutral a way as possible to avoid alienating readers by minimizing threat and establishing trust. The analysis of the opposition's point of view is carefully and objectively worded, demonstrating that the speaker understands his position and reasons for believing it. In preparation for the conclusion, the speaker points out the common characteristics, goals, and values of the arguments of the persons involved. Finally, the speaker proposes a resolution that recognizes the interests of all interested parties.

Roles and functions of argument

Primarily, argument has two purposes: argument is used to change people's points of view or persuade them to accept new points of view; and argument is used to persuade people to a particular action or new behavior.

Since people don't always agree on what is right or reasonable, appropriately constructed argument helps us arrive at what is fair or true. It is used to settle disputes and discover truth. Argumentative writing are assigned so that students can learn to examine their own and other's ideas in a careful, methodical way. Argument teaches us how to evaluate conflicting claims and judge evidence and methods of investigation. Argument helps us learn to clarify our thoughts and articulate them honestly and accurately and to consider the ideas of others in a respectful and critical manner.

A deductive argument provides conclusive proof of its conclusions by presenting all the supporting evidence and reasoning for the premises and the inferences. The idea is that if the premises are true, then the conclusion must also be true as well. In the process of deduction, we derive the conclusion by reasoning: the conclusion follows necessarily from (and is entailed by) the (general or universal) premises. The truth of the premises guarantees the truth of the conclusions.

Example: If institutionalizing problem children leads to their improvement, then this is the only solution for families with such children. (premise and inference)

Institutionalizing problem children does not always lead to their improvement.(premise)

Therefore, it is not the only solution for families with such children. (inference and conclusion)

Starting from a general statement (the premise) we draw specific conclusions (by the processes of implicature and entailment). On the basis of the evidence and the reasoning which derives the implications, we judge a deductive argument as either valid or invalid.

An inductive argument is one in which the premises are supposed to support the conclusion in such a way that if the premises are true, it is not likely that the conclusion would be false. Inductive reasoning relies on the probability that the truth of the premises apply to the concluding proposition. Thus, if the premises and inferences are true, then the conclusion must also be true.

Early Christians writings are absolutely not authoritative in determining doctrine.(premise)

Ignatius Loyola is more legendary than real, and his writings are subject to grave suspicion of fraudulent interpolation.(premise)

Ignatius's writings are not authoritative in determining doctrine. (conclusion)

Inductive arguments (through the method of reasoning known as induction) develop their conclusions by inference, and those conclusions are not true or false, but rather probable or improbable. Writers use words and phrases like *probably*, *improbably*, *plausible*, *implausible*, *likely*, *unlikely*, and *reasonable* to conclude when making inductive arguments. Inductive arguments are not valid or invalid, but we can talk about whether they are stronger or weaker than other arguments, meaning that they have substantial or little supporting evidence.

Finally, we should note that the conclusion of one argument might be a premise in a different argument. A proposition can only be called a premise, an inference, or a conclusion with respect to its particular argument, to that particular context.

Of Fallacies

To begin with, we could refer to fallacies or flaws in communication or reasoning according to their degree of 'intentionality; or 'unintentionality'.

When we refer to arguments, attitudes, and probably most of all to reasoning we may come across arguments that are unsound and the flaws can be traced back to identifiable fallacies. Then we speak of flawed arguments, attitudes and reasoning. Some flaws could represent specific errors in the process of reasoning, others can simply be attitude flaws or defects in the way they approach a subject matter. Therefore, not all flaws can be technically labeled as fallacies.

There also exist deliberately flawed and fallacious arguments. An argument which appears to be quite valid but is in reality invalid is one which suffers from any of a number of fallacies or other flaws. We should expect to see this sort of thing because most people do not reason very well and no one reasons perfectly. While fallacious arguments are natural and 'could' be accepted as such, offering deliberately fallacious and flawed arguments is or should be regarded as unacceptable. When that happens, it is called sophistry.

Lack of precision can inhibit communication. The most precise arguments are usually the best arguments. That is why precision (in arguments) is essential when we wish to make them comprehensible, (more) coherent, with as few flaws as possible. Precision helps both the arguer and the listener to develop a better understanding of what the argument says and means. Vagueness seriously affects sound arguments and it is sometimes confused with ambiguity. This is a flaw in arguments and it is listed among the various informal fallacies. While ambiguity facilitates multiple valid interpretations of words and ideas, vagueness means the absence of a clear and coherent meaning for the words and ideas being used.

Vagueness is not an inherent ingredient of words: what is vague in one context might be perfectly adequate in another situation entirely and vice versa.

When we refer to reasoning (or modes of reasoning) we also speak of flawed or inconsistent reasoning, erroneous or inaccurate use of logic. These aspects of the thought bear the generic name of fallacies. This type of argument or appeal resembles good reasoning but it is not considered to be persuasive. Employing erroneous reasoning in discussions, arguments or in debates with the intention to confuse the adversary is, in fact making use of fallacies of logic, tactics which can be employed simultaneously and in combinations. Before applying a proper analysis to fallacies, we ought to return to the analysis of deductive and inductive arguments, this time in the light of the fallacies committed in argumentation.

Fallacies are therefore defects in an argument - other than false premises - which cause an argument to be invalid, unsound, or weak.

In a *deductive* argument, the existence of a fallacy means that the argument is not valid. Because of this, even if the premises are true, the conclusion might still be false. Nevertheless, the existence of a fallacy does not guarantee that it is false; a fallacious argument merely fails to provide a good reason to believe the conclusion, even if that conclusion is correct.

A fallacy is therefore a mistake, and a *logical* fallacy is a mistake in reasoning. There are, of course, other types of mistake than mistakes in reasoning. For instance, factual mistakes are sometimes referred to as fallacies. However, not just any type of mistake in reasoning counts as a logical fallacy. To be a fallacy, a type of reasoning must be potentially deceptive, it must be likely to fool at least some of the people some of the time. Moreover, in order for a fallacy to be worth identifying and naming, it must be a common type of logical error.

In an *inductive* argument, the existence of a fallacy weakens it. Inductive arguments, no matter how strong, cannot guarantee the truth of a conclusion in the same way that deductive arguments can. No matter how weak an inductive argument is, the conclusion might still be true - but if it is weak, you have little reason to believe that conclusion.

A *deductive argument* is an argument in which it is thought that the premises provide a guarantee of the truth of the conclusion.

In a deductive argument, the premises are intended to provide support for the conclusion that is so strong that, if the premises are true, it would be impossible for the conclusion to be false.

An *inductive argument* is an argument in which it is thought that the premises provide reasons supporting the probable truth of the conclusion.

In an inductive argument, the premises are intended only to be so strong that, if they are true, then it is unlikely that the conclusion is false.

The difference between the two comes from the type of relation the author or expositor of the argument takes there to be between the premises and the conclusion.

- If the author of the argument believes that the truth of the premises definitely establishes the truth of the conclusion due to definition, logical entailment or mathematical necessity, then the argument is deductive.
- If the author of the argument does not think that the truth of the premises definitely establishes the truth of the conclusion, but nonetheless believes that their truth provides good reason to believe the conclusion true, then the argument is inductive.

The noun ‘deduction’ refers to the process of advancing a deductive argument, or going through a process of reasoning that can be reconstructed as a deductive argument. ‘Induction’ refers to the process of advancing an inductive argument, or making use of reasoning that can be reconstructed as an inductive argument.

Because *deductive arguments* are those in which the truth of the conclusion is thought to be completely guaranteed and not just made probable by the truth of the premises, if the argument is a sound one, the truth of the conclusion is contained within the truth of the premises; that is the conclusion does not go beyond what the truth of the premises implicitly requires. For this reason, deductive arguments are usually limited to inferences that follow from definitions, mathematics and rules of formal logic.

Examples of deductive arguments:

1. I have lost my wallet. I took it out only in the supermarket to pay for my shopping. Therefore, I have lost my wallet while I was paying for my shopping at the supermarket.

2. Paula works either at Mackey’s or at Byrne’s. If Paula works at Mackey’s, then Paula works in a grocery. If Paula works at Byrne’s, then Paula works in a grocery. Therefore, Paula works in a grocery.

Inductive arguments, on the other hand, can appeal to any consideration that might be thought relevant to the probability of the truth of the conclusion. Inductive arguments, therefore, can take very wide ranging forms,

including arguments dealing with statistical data, generalizations from past experience, appeals to signs, evidence or authority, and causal relationships.

Some dictionaries define ‘deduction’ as reasoning from the general to specific and ‘induction’ as reasoning from the specific to the general. While this usage is still sometimes found even in philosophical and mathematical contexts, for the most part, it is outdated. For example, according to the more modern definitions given above, the following argument, even though it reasons from the specific to general, is deductive, because the truth of the premises guarantees the truth of the conclusion:

Two, four and six are even numbers. Four is divisive by two. Six is divisive by two. Therefore, two, four and six are even numbers.

In the following argument, the reasoning goes from the general to specific, yet it is inductive nevertheless:

My dog has *always* buried its bones in the same spot. Therefore, tomorrow it is likely to bury its bones in that very spot.

The difference between inductive and deductive arguments does not have to do with the content or subject matter of the argument .The same utterance may be used to present either a deductive or an inductive argument, depending on the intentions of the person advancing it. Example:

Those leoncinis are handmade in Sienna, Tuscani.

It might be clear from context that ‘leoncini’ defines hand-painted Italian pottery created by the brothers Luciano and Daniele Leoncini. The speaker believes that the information according to which Leoncini pottery is made in Tuscani is part of the defining feature of the ‘leoncini’ and that therefore, the conclusion follows from the premise by definition. If it is the intention of the speaker that the evidence is of this sort, then the argument is deductive. However, it may be that no such thought is in the speaker’s mind. He or she may merely believe that most leoncini is made in Italy, and may be reasoning probabilistically. If this is his or her intention, then the argument is inductive.

It is also worth noting that, at its core, the distinction has to do with the strength of the justification and that the author or expositor of the argument intends that the premises provide for the conclusion. If the argument is logically fallacious, it may be that the premises actually do not provide justification of that strength, or even any justification at all. Let us look at the following argument:

Lions are African felines.

Leopards are African felines.

Therefore, lions are leopards (or, vice versa, leopards are lions).

This argument is logically invalid. In actuality, the premises provide no support whatever for the conclusion. However, if this argument were ever seriously advanced, we must assume that the author would believe that the truth of the premises guarantees the truth of the conclusion.

Therefore, this argument is still deductive. A bad deductive argument is not an inductive argument.

Conclusion

Generally speaking, when we refer to arguments, especially to those distinguished by the name of fallacies, several characteristics can be retained. Thus:

- Whatever the form of evaluation, and their irrelevancy and pointlessness is eventually proved.

- Hence, irrelevant arguments generate presumptions either of the weakness or of total absence of relevant arguments on the side of which they are employed.

- When applied, they obstruct and overthrow measures of abuse removal, such as in governmental or any other form of legal practice.

- Moreover, due to their irrelevancy they hinder the course and impede the progress of all necessary and useful actions.

- Even if not initially discernable, the application of fallacious arguments ultimately makes their user guilty of improbity or/and even insincerity.

The prevention of their usage results in unambiguousness and accuracy in communication.

Richard Mitchell wrote an excellent book on bad language and its pas de deux with bad thinking. “Words never fail. We hear them, we read them; they enter into the mind and become part of us for as long as we shall live. Who speaks reason to his fellow men bestows it upon them. Who mouths inanity disorders thought for all who listen. There must be some minimum allowable dose of inanity beyond which the mind cannot remain reasonable. Irrationality, like buried chemical waste, sooner or later must seep into all the tissues of thought.” [8 Dec 02]

An important part of communication, in general – whether written or oral – resides in giving reasons, whether it is to support or to criticize a certain idea. To be able to do that, one should know how to identify, analyse, and evaluate arguments.

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DAVID LODGE: THE ART OF (RE)WRITING A TEXT

LIANA MUTHU

ABSTRACT. The present article, *David Lodge: The Art of (Re)writing a Text*, shows that intertextuality is the text's property of being bound to other previous texts. Having as point of reference quotations, styles and situations imagined by different authors, D. Lodge finds out original methods of expressing ideas, sometimes through literary games. The British writer uses explicit intertextual relations (e.g. quotation) and implicit intertextual relations (e.g. paraphrase, pastiche, allusion) transposing and adjusting happenings lived by other writers' personages to another historic time. In fact, D. Lodge proves that intertextuality is creative: a single word, expression or enunciation may generate or develop a new idea or a new variant of the same idea.

Introduction

According to the poststructuralist theory, the great number of novels that were written especially in the last two centuries exhausted any possibility of finding out new methods of writing. For this reason, contemporary authors submit them to a process of rewriting, by giving personal interpretations. That's why a text appears nowadays as a multidimensional space where various pieces of writing intermingle.

This theory is emphasized by R. Barthes (1994: 100), who considers that any text is a *texture* manufactured through a "perpetual intertwining". Since it is not a finite product destined to hide one or several senses, this linguistic configuration is submitted to a continuous process of transformation. The text cannot remain isolated, broken away from any links with other texts[1]; on the contrary, it takes over and combines an ensemble of discursive practices, codes[2] and voices from texts whose origins are either known up to this time or they have been lost in the long run.

The text also has a variable structure, due to the possibility of being any time submitted to a process of restructuring. That's why a text is never finished, written once and for all. The author may rewrite it by making significant changes in the order of the ideas, or by adding new ideas to what has already been written. Such an overlapping of elements is made

[1] A similar idea is shared by J. Culler (1981: 103) who asserts that the autonomy of a text is a "misleading notion"; that text is endowed with meaning just because specific things have previously been written.

[2] In semiotics, the code comprises an explicit conventional system of signs and rules of using these signs, helping the information be transmitted from the author-source to the reader-receiver.

easily in literary texts –especially in novels- as several associations and subjective links can be achieved.

It is the interference of a literary text with other ones that have previously been written that comprises the essence of intertextuality. A whole universe is concentrated in a text as it is "crossed by texts, furrowed by texts, including astoundingly texts" (Hăulică 1981: 21). The literary text invites the reader to an *intertextual reading*, to make associations with other known pieces of writing and to discover the manner in which "a text reads the history and gets inserted into this history" (Kristeva 1980: 266).

Methods of achieving intertextuality

As an ex-professor of English literature at Birmingham University till 1987, D. Lodge is known especially for his books about life in Britain's universities. Showing his refinement of intellectual and artistic taste, D. Lodge values an already established literary tradition through the voices of the university professors and other intellectuals contoured in his novels. Assuming that any text "is the product of intertextuality, an ensemble of allusions and quotations from other texts", the British writer succeeds in putting his theory into practice, by creating suitable frames and determining the reader to make analogies with literary works previously written. He illustrates successfully two types of relations within a text: a) *explicit*, situation in which a known phrase is incorporated, without being modified; b) *implicit*, that favors the modifying of the essential elements enunciated before.

a) Explicit intertextual relations

D. Lodge makes use of explicit intertextual relations by taking quotations from the literary works of some British writers, bringing them into consonance with his own text. Outlining the image of Birmingham City, known in his novels under the name of Rummidge, located in the Midlands province, D. Lodge appeals to quotations from Thomas Carlyle and Charles Dickens. D. Lodge compares the image of the industrial city from the middle of the 20th century with a chaotic stretch of land that looked gloomy in the midday and frightening in the night; as in the first half of the 19th century, during the night the whole region was "a volcano splashing fire" (Th. Carlyle), being spread over kilometers of strips of land made of slag, burning furnaces, noisy steam engines" (Ch. Dickens). Thus, intertextuality consists in the effective presence of a text in another one, aim achieved through direct integration of a quotation met to another author.

The simple fact that some catchy phrases are fixed in the collective memory is also known as intertext. Even the title of a literary work can be framed in this subdivision of intertextuality being interpreted as a reference to a cultural thesaurus owned by the receiver. Taking into account his vast knowledge on literature, D. Lodge makes up literary games, puzzling the reader who doesn't

know exactly certain writers' names. Such a puzzle is created in *The British Museum is Falling Down*: "'Who is this John Bane?' Adam asked cautiously. 'John Bane, the author of the book entitled *Room at the Top*, or John Bane, the one who wrote *Hurry on Down*.'" Then, this utterance is let unexplained, everything being let to the reader's latitude to find out the confusion made by D. Lodge's personage. In fact, this literary game consists in the incorrect pronunciation of the writers' names: *Room at the Top* is a novel written by John Braine and *Hurry on Down* was written by John Wain.

b) Implicit intertextual relations

A text may incorporate and transform various texts, comprising either enunciations or fragments of enunciation or it may just integrate some ideas met somewhere else. In this case, the intertextual relations are implicit due to the use of paraphrase, pastiche and allusion.

Through paraphrase, a familiar saying –usually involving common experience or observation- is reproduced in a personal formulation. In fact, it is developed or reformulated in the same grammatically self-contained speech unit another idea or variant of an idea. In *Small World*, D. Lodge uses the paraphrase through Michel Tardieu's and Moris Zapp's voices. Both of them take adages and well-known statements, modifying and adapting them to different situations or events. Therefore, the French adage *C'est la vie, c'est la guerre* is paraphrased by M. Tardieu through *C'est la vie, c'est la narration*. Or, during a theatrical performance that takes place on Lausanne's streets, the same M. Tardieu changes T. S. Eliot's verses –"Mister Eugenides, merchant from Smirna/ Unshaven, with the pockets full of sultanas"- into "My name is Eugenides, merchant from Smirna. Please, taste the merchandise". And, saying this, he takes out of his pocket a few wrinkled sultanas. Then, the notorious adage belonging to the French philosopher Rene Descartes *Cogito ergo sum* is paraphrased by M. Zapp through *I can die, therefore I exist*. Uttering these words, the two characters are either in search for a particular thing, or perform something for their own amusement or try to find out a solution to a particular problem.

Making use of pastiches, D. Lodge creates a new reality transposing and adjusting happenings lived by characters imagined by different authors, present in other locations and belonging to another historic time. Thus, D. Lodge writes passages where the style and manner of other writers coexist. A relevant example is *The British Museum is Falling Down* where Adam Appleby, a doctoral student in English literature, is so much preoccupied by his readings, that his life is influenced by literature. He associates all that he sees around him or the things that happen to him with a situation imagined by one of the modern writers. Consequently, many paragraphs from the novel comprise imitations of some literary works studied by him. For instance, the strikes of the famous clock from London, Big Ben, remind

him that this shows the time passing in Virginia Woolf's novel, *Mrs. Dalloway*. Being so much broken away from reality, Adam Appleby thinks that the old lady who is staying on the edge of the pavement is even Clarissa Dalloway[3], the personage from the novel with the same name. Or, the episode when Adam Appleby has to prolong the permit to the British Museum reading room, reminds us the atmosphere from Franz Kafka's novel, *The Trial*: a janitor "with a severe look and a huge key in one hand" lets him enter into a long corridor, and after that he is ringing a bell, closing the door behind him. From now on, Adam's hallucinations begin; he identifies himself with Appleby A.[4] who comes into contact with two mysterious clerks who makes him move uselessly from one to another; finally, one of them tears his permit without making a new one.

In order to understand these implicit textual interferences, the reader must have a certain culture, necessary for recognizing similar situations or characters met to other authors. There are numerous proper names fixed in the collective memory; thus, a single proper name helps the author make analogies between two situations or two events. That's why the allusion is an indirect reference to a famous character that has previously been created (e.g. a hero, an individual who had a certain influence upon other individuals at a given time etc.).

According to J.A. Cuddon (1998: 27) an allusion "may enrich the work by association and give it depth". When writing a text, the author may find out connections between two objects, two ideas, or an object and an idea; in fact, any sensory perception of an object or an idea may be associated with something from the past. A relevant example is the novel *Small World*, where Persee enters the Repertory Theatre building and sees a man that "due to his clothes you would have said that he was Robin Hood." Then, Persee associates Angelica Pabst, a very good runner, to the heroine from the Greek mythology, Atalanta. Or, Fulvia Morgana had "a vague and enigmatic smile as well as Gioconda". Instead of telling directly the way in which things really are, the author finds out similarities between different objects: knowing the British traditional legends whose main character was Robin Hood –always depicted as wearing clothes manufactured from a kind of material called "Lincoln green"- or the legend about Atalanta –well-known for her agility and rapidity at the races- and Mona Lisa's portrait painted by Leonardo Da Vinci, the reader makes for oneself an opinion about the man's clothes that looks like Robin Hood, Angelica Pabst's rapidity and Fulvia Morgana's smile.

[3] In D. Lodge's novel, Adam Appleby is just approaching the old lady calling her "Clarissa".

[4] This is an indirect reference to Josef K., F. Kafka's character sent in front of a mysterious law court and judged by peculiar public officials who apply laws without knowing their essence and communicate sentences whose cause is unknown to them.

In the reality created by D. Lodge, there are some allusions either to objects existent in the real life or to events lived or imagined by other characters. In *Nice Work*, the campanile[5] of Rummidge University is seen as an "enlarged copy, made of red brick, of the inclined tower from Pisa". Then Robyn Penrose, lector at the same university, makes an allusion to Dante's *Inferno* when visiting Pringle's factory. Robyn Penrose sees here the image of the Hell where various categories of sinners are assigned, owing to the noises, smoke, flames and silhouettes dressed in overalls and wearing protective masks. In *Changing Places*, Moris Zapp has an apocalyptic vision: being in an airplane that flies towards England, he imagines that airplanes belonging to different companies collide in the air. So, Moris Zapp makes an allusion to the biblical place Armageddon, where the battle between good and evil will take place.

Through these indirect references, the writer urges the reader to share some experience with him. The writer displays a body of common knowledge (e.g. from literature, mythology, painting, architecture, the Bible etc.) sharing it to a target audience that has to "pick up" the reference.

Conclusion

Starting from the premise that a text is built up from other texts, being situated at the interference with other already known pieces of writing, intertextuality consists in the relationship between a text and other written texts that have been previously read. Consequently, two main features of intertextuality are inferred:

1. The textual interferences take place inside a single text, this text being perceived as a *plurality of texts*. Writing a text, the author makes an appeal, more or less consciously, to the anterior experience. In the author's mind, just a word may evoke other words and other secondary meanings of these words; or, an enunciation may stir up other manners or styles for expressing an idea. Then, the reader's task is to discover the plurality contained within a text.

2. Intertextuality is *creative*. The author not only takes an enunciation or a fragment of an enunciation met in a previous text, but he modifies it as well, adjusting it to another situation. A proper name or a well-known statement has the power to recall an idea, idea that can be developed in another context.

[5] D. Lodge makes here an indirect reference to the University from Birmingham, a university made of "red brick" as the other institutions of higher learning built in Britain.

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JACK KEROUAC'S AMERICANNESS

CRISTINA FELEA

RESUME. ***L'Amérique vue par Jack Kerouac.*** Comme la majorité de ses critiques a noté, l'Amérique est un thème récurrent dans l'œuvre de Kerouac. Son image propre et l'image de l'Amérique que son œuvre projette ne sont pas toujours faciles á débrouiller à cause de la nature autobiographique de ses livres. Cependant, la plupart des commentateurs de Kerouac ne peuvent pas éviter des références à «son Amérique a lui» à cause de sa détermination précoce de faire l'Amérique son sujet. La nôtre est une vue générale et brève d'évaluations critiques de Sur la Route avec l'accent sur ses modèles typiquement américains résultés de la rencontre de Kerouac avec le transcendantalisme américain et des travaux séminaux de la littérature américaine comme Huckleberry Finn et Moby Dick.

In the course of time, whether approaching from the traditional standpoint of literary influences, or tracing strands of intertextuality or cultural conversation, literary historians and critics have emphasized Kerouac's consistent dialogue with the America of his cultural heritage.[1] Thus, literary forebears such as the Transcendentalists, Whitman, Melville, and Twain – mostly non canonical in the 1950s – have been acknowledged. Indeed, his intense "conversation," with the American Renaissance has been seen as a return to and a reconfiguration of *the* American Myth, of the tradition of expressive individualism, negative freedom, and escape towards new frontiers in a time of identity crisis for the nation at large. *On the Road* configures a major part of this dialogue and sets the tone for the further explorations he undertook with the help of his newly found technique.[2]

What America are we likely to discover by reading Kerouac? For many, it is the pre-World War II America of his childhood spent in Lowell, as recalled by his prodigious memory in *The Town and the City*, *Doctor Sax, Visions of Gerard, Maggie Cassidy,* or *Vanity of Duluoz*. In "The Origins of the Beat Generation," he

[1] References to his interest in America were current knowledge among Kerouac biographers and scholars. Yet, it was only after the publication of the first volume of selected letters (1995) and of selected diary entries covering his formative years (2004) that commentators got first hand evidence that fueled further consideration of the issue.

[2] Having been for decades the epicenter of critical appraisal because of its long-lasting popularity, *On the Road* is of interest in this approach mostly in its quality of transition work from the traditionally written narrative of *The Town and the City* to Kerouac's more experimental novels such as *Doctor Sax. Faust Part Three*, *Visions of Cody,* and *The Subterraneans.* From this perspective, *On the Road* is a sort of "vital center," an invaluable resource for the subsequent developments in Kerouac's poetics.

mentions “the glee of America, the honesty of America” and the fact that, “like my grandfather this America was invested with wild selfbeleiving individuality,” a spirit which began “to disappear around the end of World War II” (Charters, 567-568). These are books where threads of his Roman-Catholic upbringing and French-Canadian community traditional values share fictional space with what Kerouac considers as the bedrock of American cultural identity: popular culture as it was found in comic books, pulp fiction, detective stories, radio series, movies such as comedies, thrillers, or horror movies.

Then, it was the America of his times, an America in the turmoil of transition towards something new Kerouac, both willingly and unwillingly, helped shape and define but later refused to acknowledge. *On the Road, Visions of Cody, The Subterraneans, Tristessa,* and partially *Dharma Bums* mapped new territories which his spontaneous prose method helped him discover.

Kerouac’s poetics involves a dual allegiance to a traditional, vanishing America on the one hand, and to an America of the future, of the roads not yet taken, of people who had not been there until his mapping effort. In Deleuzean terms, his style allowed his “language [to let] an unknown foreign language to escape from it” and further on allowed Kerouac “to invent a new map of America, a new landscape with a new people albeit one that is yet-to-come, that exists in only in response to his poetics” (Abel 2002).

*

Kerouac was all-American if anything. Neal Cassady was an all American kid, foot warts and all. But it really was Americana and Americanist, something in an older literary tradition that runs through Whitman and William Carlos Williams and Sherwood Anderson. There was that old Americanist tradition of recognition of the land and the people and the gawky awkward beauty of the individual eccentric citizen. Or as Kerouac said, "the old-time honesty of gamblers and straw hats."(Ginsberg in *Life* Interview)

“Afoot and light-hearted I take to the open road,/ Healthy, free, the world before me,/ The long brown path before me, leading wherever I choose.” (Walt Whitman, *Song of the Open Road*)

There is frequent mention in Kerouac’s letters of his interest in America as a subject, especially in the period anticipating his transcontinental travels. For instance, in a letter dated April 19 1947, he talks about his fascination with and careful study of history (“a history of the United States, a biography of George Washington, a history of the revolutionary War”), geography (“before long not a river or mountain peak or bay or town or city will escape my attention”), and the “history of thought.” He opposes “the livelihood of man” in America to “the vague and prosy “brotherhood of man” of Europe,” America’s “culture of livelihood,

purpose, land, and natural struggle" to the European "culture of turmoil, resentment and inter-human struggle" (Kerouac 1996, 107). These lines confirm his earlier interest in America as recalled in his *Paris Review* interview in which he said that Thomas Wolfe had opened his eyes "to America as a subject in itself" (qted. in Hunt, 80). On the other hand, they attest a post-war generational mood towards European culture that would later take the shape of an identity crisis and mark a substantial transformation in the Euro-Atlantic game of cultural exchanges.

In September the same year, after traveling about the States, he wrote to his sister Caroline, about his plans: "Before that, I might take a run up to Seattle Washington, just to see the place. If I do all this, and I'll certainly do 90% of it, I'll have seen 41 states in all. Is that enough for an American novelist?" (Kerouac 1996, 131). His question points to an approach that would be later translated in *On the Road*[3] in the image of America as a text to be read and deciphered. At the beginning of the second journey across the continent, Dean is described as a "monk peering into the manuscript of the snow" (*OTR*, 112), starting, as Holton suggests, "a vast hermeneutical project" (83). The limits of this project are mentioned later when Sal refers to "a manuscript of the night we couldn't read" (158).

An important issue connected to his overall thematic and aesthetic construction is developed in Tim Hunt's Kerouac's *Crooked Road*, published in 1981. The critic refers to the writing of the several versions of *On the Road* as a period of transition "from fact to vision" during which Kerouac hesitated between "two fundamentally different views of writing," that is writing as "self justification" and "self affirmation," and writing as "public" gesture "towards the world around it," as "social analysis." Hunt claims that "the manuscript history of *On the Road* is the history of Kerouac's development as a writer," actually "the story of [his] attempt to resolve the conflicting sense of writing as a naturalistic and romantic activity" and of finding a new voice that would "simultaneously analyze the external world and celebrate the self's ability to transcend that world imaginatively" (Hunt, 80, 78).

Consequently, he sees *On the Road* as a novel of "education" and discovery of the self. Thus, the chapter entitled "An American Education" is a comprehensive analysis of the numerous interactions Kerouac had with his cultural heritage. As part of his "education," he establishes a most consistent dialogue with "the American myth" in terms of references to the Transcendentalists and the American Renaissance writers.[4]

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[3] Hereafter abbreviated as *OTR*.

[4] Sometimes in June 1949, after journeying across America, he wrote to Ginsberg in a fit of bitter resentment against society at large: "I don't even believe in education anymore…even high school. "Culture" (anthropologically) is the rigmarole surrounding what poor men have to do to

Thus, when Robert Hipkiss, in his *Jack Kerouac, A Prophet of the New Romanticism* (1976) called Kerouac "a keeper of the innocent vision," "one who held it tenaciously against the pressures of reconciliation with a corrupt world," "a Jeremiah-like prophet of post-World War II Romanticism" (136), he links him with Sacvan Bercovitch's view on American writers as argued in his analysis of the rhetorical form of the "jeremiad." American writers, he says, have always tended to see themselves as "prophets crying in the wilderness," at the same time "lamenting a declension and celebrating a national dream." He adds that they felt both oppressed and liberated by this myth; they refused to abandon the national covenant, and, in spite of their defiance to the country, identified themselves with its meaning for the future (176, 170).

The Transcendentalists' impulses to prophesy and create nature anew for oneself, their insistence upon personal freedom and spiritual reform, the use of the first person singular in articulating personal visions of utmost force are reference points in the history of American self-consciousness and an integral part of American literary heritage that Kerouac resorts to in the description of his American journey. In this vein, John Tytell elaborates on what he considers to be the "quintessential Americanness of Kerouac's work", noting that the author of *On the Road* "extended Romantic tradition to its logical ends" (158).

American Transcendentalists and Renaissance writers were on Beats' and Kerouac's shelf of favorite readings: Emerson and Thoreau, Whitman, Twain and Melville are recurrent names in their letters, notes and journals. In a 1951 letter to critic Alfred Kazin[5], Kerouac mentions their common preference for them and admits that he does not "read anything contemporary" (1995, 312).

We can trace echoes of Thoreau in Kerouac's interest in what Bercovitch calls "the socializing effects of the myth" (180). Thoreau emphasized the freedom from prescribed roles, the confrontations with the absolute and the disparity between social and "ultimate" values in a perpetual movement toward and away from society. He solved the problem of the romantic-antinomian dilemma by adopting America as the symbol both of the self and society in the New World. In a letter written to Ginsberg from Colorado (in June 10 1949, before the real events fictionalized in Part 3 of *On The Road* took place), Kerouac speaks about his resolution "to become a Thoreau of the Mountains. To live like Jesus and Thoreau, except for women." (1995, 193). Holton comments on Kerouac's notion of "romantic and unrealizable versions of the

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eat anywhere. History is people doing what their leaders tell them; and not doing what their prophets tell them" (1995, 194).

[5] Later on, in an interview, Alfred Kazin (1915–1998) stated, "I was a literary radical, indifferent to economics, suspicious of organization, planning, Marxist solemnity and intellectual system building; it was the rebels of literature, the great wrestlers-with-God, Thor with his mighty hammer, the poets of unlimited spiritual freedom, whom I loved - Blake, Emerson, Whitman, Nietzsche, Lawrence." Source: http://c250.columbia.edu/c250_celebrates/remarkable_columbians/alfred_kazin.html]

west" and his attempt to invent an identity: "I'll wonder the wild, wild mountains and wait for Judgment Day, but not for men… for *society*. Society is a mistake. […] Thoreau was right; Jesus was right. It's all wrong and I denounce it and it can all go to hell. I don't believe in this society; but I believe in man, like Mann. So roll your own bones, I say" (193-194). Kerouac applied Thoreau's call "Explore Thyself" in his search for and re-building of the American myth.

As to Ralph Waldo Emerson, even if he seemed to recognize him only later, in the years of his intent study of Buddhism, Kerouac shared with the dominant figure of the Transcendentalism a vision of "America" united by the ideals of individualism, community and continuing revolution. The true selfhood was the basis of the American Way. When 23 year-old Kerouac wrote to Ginsberg, "The thing that makes me different from all of you is the vast inner life I have, an inner life concerned with, of all things, externals…," "I've long ago dedicated myself to myself," and adds, "Until I find a way to unleash the inner life in an art method, nothing about me will be clear," (1995, 98) he was aware of a fact few of his contemporaries were paying attention to: that the only way to regain a true vision of America was to part with conventions, mostly with those pertaining to style.

In this respect, Hunt notes, the typically American patterns of *On the Road* can be ascribed to Kerouac's meeting with seminal works of American literature such as *Huckleberry Finn* and *Moby Dick*, turning points in the quest for America as it was and as it should have been. He shares with them common themes such as the search for identity, male bonding, the issue of the lost father and the belief in the liberating nature of the road west. This intertextual play serves Kerouac to measure the growth of Sal-the character and Sal-the narrator during the exploration of his American inheritance. Each trip across the country has a similar pattern (breaking out of an established routine, "kicks" and road experiences that end in vision and exhaustion and return) but whereas Sal gains perspective and grows, Dean only gives focus, guides and remains unchanged. Resembling Huck, Dean is viewed as a "natural," free from any social constraints, escaping from adult responsibilities, "the New World at its most anarchistic and individualistic" (Hunt 143). Yet, the metaphorical marriage between Sal and Dean is fated to end in divorce. The parallel to *Moby Dick* brings forth another facet of Dean's character, that of a destructive and revenging "angel."

We can find here the Transcendental message in its most radical form. S. Bercovitch's term of "anti-jeremiad" illustrates a "cultural schizophrenia" whose traces have been part of the fabric of the American literature ever since. Bercovitch gives the examples of Ishmael and Ahab as symbolic representatives of Melville's quarrel with America as it was and, respectively, with what America symbolically represented. Overall, the rhetorical energies

and the visionary perspective of *Moby Dick* negated any form capable of restraining them, thus investing illegitimacy itself with great cultural value.

Dean's hyperkinetic energy, and his desire to be on the move makes him more than Neal Cassady's fictional counterpart to what Tytell defines as a "Promethean version of the highly primitive, a shaman's shaman, a combination of the opposite tensions that reveal the crucible of creativity: Yin and Yang, Nirvana and Samsara, Eros and Thanatos"(176). A confirmation of his duality appears in the second part of the novel, when Sal begins to see Dean as "the Angel of Terror", a "mad Ahab" behind the wheel of his car, and the life-force embodied by him gradually becomes a life-denying principle.

Hunt elaborates on this basic dichotomy by enlarging it to the level of symbolic America: "Is it monomania to step out of society or is it an experience of grace in nature? (…) Is the American past with its emphasis on vision, individuality, freedom and movement, a life-giving or a life-denying heritage? Is the road salvation or damnation?"(44). A possible key to these dilemmas can be found in the confrontation with the culture and the images that have shaped Dean. For instance, by reminding Sal of his romantic American heritage, Dean motivates him to explore in terms both of the real world and the symbolic landscape of Emerson, Whitman, Mississippi and the frontier.

As for Sal, Hunt argues, his attitude towards his cultural heritage is illustrated from a different perspective in each trip and section of *On the Road.* Thus, from the shallow use of cultural myths in Part One to Sal's attempt to ignore cultural models altogether in Part Two, and then to his realization that imagination is fundamental for interpreting experience (Part Three), Sal finally becomes clear about the relationship between life-in-imagination and life-in-society, a contradictory but liberating recognition that Dean is both "the mythic avatar of the free and independent American and the victim of his society and his own personal excesses" (Hunt, 54).

Tytell envisions him as "an early prototype of a new Nietzschean, Dionysian irresponsibility, an example of transvaluation of values"(161). Dean's immediately visible trait is his radical subjectivity that seeks freedom from all socially imposed roles or expectations. For Sal Paradise, Dean had all the unconscious appeal of an alter ego. His ability to live life in an affirmative "wild yea-saying overburst of American joy" confirms the Spenglerian view according to which one has to live the moment in order to cope with the lack of meaning and hope that prevailed in the 1950s. This new vitality was not meant to be a response to the era's "official" demands for the affirmation of a strong American identity but, paradoxically, as Schaub comments, "might expose and renew American society." (Schaub, 58)

A crucial impact on the way Americans have always conceived their freedom had the Revolution seen as freedom from an oppressive past. In D.E.Pease's study on American Renaissance writers (1987) , what was

seen at the beginning as a break from a British tyrant and his Old World customs, came gradually to be associated with a variety of breaks from any oppressors. This view of negative freedom created by the mythos of the Revolution "encouraged many Americans to turn liberation into a daily ritual,"(Pease 1987, 8) and later on extended the nation's character under the form of oppositions to the established ideas, practices, institutions.

Similarly, the conflict between what people think they stand for and what social pressure forces them to do is one of Mark Twain's main themes in *Huck Finn*. Thus, he defined freedom as freedom *from* society and its imperatives, in a journey *towards* the "America" of the self. Furthermore, his late works had an equal force in persuading the Americans that the visions they inherited must be made to correspond to the fact and that the distance between what is and what ought to be demanded their rededication to the spirit of America.

The choice of the open road as a pivotal experience for the characters in the book is by no means accidental. It is part of the promise America once offered to the European immigrants, "a way of keeping in touch with the pioneer enthusiasms of the past". Tytell quotes Whitman who said that Americans should know "the universe itself as a road, as many roads for traveling souls", that is an opportunity for a perpetual journey of self-discovery (169). He also mentions Kerouac's view as presented in *Big Sur*:

"The eyes of hope looking over the glare of the hood into the maw with its white line feeding in straight as an arrow, the lighting of fresh cigarettes, the buckling to lean forward in the next adventure something that's been going on in America ever since the covered wagon clocked the deserts in three months flat–" (Quoted. in Tytell, 169)

In *On the Road,* main character Dean Moriarty was actually born on the road, on the backseat of his parents' car. In his turn, after a personal episode of unhappy experience, Sal Paradise seems to have the chance to be *reborn* on the road. "With the coming of Dean Moriarty," he says in the first page of his book as if referring to an advent, "began the part of my life you could call my life on the road" (*OTR*, 5).

In the same way as Hunt, Gregory Stephenson considers *The Duluoz Legend*, and *On the Road* in particular, as a "contemporary instance of the archetypal hero-quest, or the *bildungsreise* – the narrative of development, of education-into-life achieved by means of a journey" (17). In other words, the journey represents the quest and the road a mode of initiation in a spiritual quest expressed as a picaresque narrative. Brian McHale adopts a similar view when he envisions Kerouac's rendering of his transcontinental travels as a classic journey in the vein of American romance fiction. Since the geographical frontier retreated westward and closed and wilderness was absorbed by civilization, the American writers were forced to reconceptualize and imaginatively reconstruct their country imagining America as an interior

frontier. Actually, in mid-20th century America, as cultural historians have emphasized, the "ubiquity of rule-governed society" restrained the Americans' sense of possibility and left "no river on which to flee, no western territory for which to light out" (in Nadel, 71). Still, at the time Kerouac experienced his journeys, there were still numberless little routes to be taken. In a note to *Mille Plateaus*, Deleuze and Guattari remark that "the West, however, played the role of a line of flight combining travel, hallucination, madness, the Indians, perceptive and mental experimentation, the shifting of frontiers, the rhizome (Ken Kesey and his "fog machine," the Beat generation, etc.). Every great American author creates a cartography, even in his or her style; in contrast to what is done in Europe, each makes a map that is directly connected to the real social movements crossing America" (520)

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PARADIGMS OF THE AMERICAN DREAM: DREISER, FITZGERALD, STEINBECK

TEODOR MATEOC

RESUME. ***Paradigmes du rêve americain: Dreiser, Fitzgerald, Steinbeck.*** Notre étude porte sur la description et la représentation du rêve américain dans trois oeuvres qui marquent ses transformations successives depuis l'école naturaliste jusqu'au néo-réalisme en passant par l'époque moderne.L'échec des héros qui nourissent ce rêve relève son caractère illusoire mais aussi, paradoxalement, sa persistance dans la culture américaine tant dans la vie que dans la fiction.

The different avatars of what has long become possibly the most popular cliché that one associates with America can ultimately be seen as a wilde-goose chase. My three examples: Theodore Dreiser's "Sister Carrie', Scott F. Fitzgerald's "The Great Gatsby" and John Steinbeck's "Of Mice and Men" illustrate the subsequent transformations of the dream in the course of American history, from late nineteenth century to the Depresssion years, and in that of American fiction, from the naturalist, through the modernist to the neo-realist school.

The failure of the pursuers of such a dream point to the unsustainability, yet the paradoxical persistence of such a belief, in both its public and aesthetic forms in American culture.

Theodore Dreiser (1871-1945) is a master of fictional Darwinism, well-read in Spencer's and Nietzsche's philosophy, interested in Freud's theories and in genetics, a believer in scientific progress. His vision of the human condition is deprived of any religious or ethical foundations. (As one of his early critics had once put it: "Man, for him, was, simply, an animal who could dream of something better than animality"[1]). For his heroes, the discrepancy between the ideal and the factual is brought about by a suspension of moral values and by the pursuit of utilitarian goals. Here, as elswhere, the American dream is understood in terms of status, success and money.

The first chapter of "Sister Carrie" (1900) clearly announces Carrie's expectations from her future life in Chicago. An altered form of the Jeffersonian idealistic "pursuit of happiness", her dream is in tune with the ethos of the capitalist age: "to have" means money, "success" means

[1] Robert W. Schneider, *Five Novelists of the Progressive Era***,** Columbia University Press, New York, 1965, p. 198

money, “happiness” means money. Hence, the three most important things in the world are Money, Money, and again, Money.

The locus where such aims can be fulfilled is the city, seen by Dreiser as “a giant magnet” that attracts “the hopeful and the hopeless”. Caroline Meeber, the eighteen year old country girl, bright and timid, yet full of the illusions of ignorance and youth is just such an individual, charmed by the lights of the great city and by the endless possibilities it offers. The historical context witnessed, indeed, a transgression from a Victorian conception of life, including agararianism and a puritan code of personal behaviour, to a modern way of life that Carrie embodies. Her attempt to find a job in the city illustrates the impulse of a generation ready to embrace a consumerist society, identified best with the city. The omniscient perspective of the narrator explains Carrie’s choice even though she herself is only vaguely aware of it: “Chicago”, Dreiser says “had the peculiar qualifications of growth which made such adventuresome pilgrimages even on the part of young girls plausible”[2]

The odds of success or failure are, according to the novel’s naturalist stance, determined by chance and by the forces of the new, urban environment. Chance comes first in the persona of Charles Drouet. The rings on his fingers, a business suit, the highly polished shoes and the gold watch chain seemed to promise a world of fortune to the hungry mind of innocent Carrie. Driven by the “desire” to fulfill her aspirations, she readily accepts the drummer’s proposal to live with him. Yet, he represents but a first stage in Carrie’s way to the top. His enthusiasm and flattering manner, insures him against the sense of loss when Carrie will ‘swop’ him for a better match, in the person of George Hurstwood whose refined manners, pleasant jokes and, above all, financial situation seem to draw Carrie closer to the attainment of her dream. Beyond the feigned love between the two, the relation is sustained by a psychological longing for individual freedom. Neither Carrie, nor Hurstwood has a “bad” position in their existence; the former is Drouet’s spoiled mistress, the latter is the head of a family with two children. Still, the secret yearning for a more comfortable atmosphere seems to be deeply rooted in them.

Yet, the liaison does not last. On learning that Hurstwood is a married man, Carrie gives him up and the reason is not so much an unfulfilled love, as an unattained ideal of life. For Hurstwood, the consequences are devastating. He, the attractive, wealthy manager, appears to be the projection of a possibly realized dream in the consumerist society of his time. However, his downward course, his financial losses or moral and physical degradation deflate the myth and announces his step-by step descent toward suicide. Dreiser sets Hurstwood’s failure in opposition to Carrie’s succes as an

[2] Theodore Dreiser, *Sister Carrie*, Higher School Publishing House, 1968, p. 36

actress, but also to his past self . The ex-manager of "Fitzgerald & Moy's" cannot accept his present condition and continues to deny failure. He re-lives the illusion of his past, while Carrie lives the present of her dream. Their actions "depict a series of complementary opposites- masculinity and feminity, age and youth, past and future- with the second driving as surely toward succes as the first does toward failure"[3]. For Frederick Hoffman, Hurstwood's interpretation of the American dream as 'life, liberty and property' is rooted in Dreiser's naturalistic stance: " Hurstwood suffers not punishment for a crime, but the debilitating effects of a change in environment plus the compounding evil of a slowing of energy"[4].

At a closer examination, Carrie is not better off, eventually, either. The pessimistic note at the end shows the fulfillment of the dream, in its purely materialistic terms, as insufficient. Her striving, at the end of the novel, toward "such happiness as [she] may never feel", is indicative of an empty, or failed self. The masks she had been wearing: Carrie Meeber, Carrie Madenda, the actress, possibly Carrie Drouet, or Carrie Hurstwood, show that, at the end of her search for identity, she reveals herself as "hollow at the core", as Conrad would have said.

The dream Carrie had been pursuing cannot ensure satisfaction as it lacked the moral dimension. Although she "attained" her "life's object": friends, wealth and fine clothing, she feels lonely, doomed to the indefinable *mal du siecle*: "Know, then, that for you is neither surfeit nor content. In your rocking chair, by your window dreaming, shall you long, alone. In your rocking chair, by your window, shall you dream such happiness as you may never feel?"[5]

Francis Scott Fitzgerald (1896-1940) is conventionally associated with an age that he himself defined in 1931, in the November issue of "Scribner's Magazine" as " an age of miracles, an age of art, an age of excess and an age of satire". Not only did he write about the 'roaring twenties', but he embodied the values and spirit of that age in a strictly personal way. The frenzy and hedonism of those years, the permisiveness of 'all that jazz' consumed him entirely. The 1920s seemed a period of endless promise for the relatively poor, midwestern Fitzgerald as well as for the young writer who came East and eventually reached his dream, short-lived as it was.

Fitzgerald's most autobiographic novels, "The Great Gatsby" and "Tender is the Night" display an unmistakable sense of time and place. They are both a comment on a particular world and an examination of the

[3] Karl F. Zender, *Walking Away from the Impossible Thing: Identity and Denial in 'Sister Carrie",* Studies in the Novel 30.1, 1998

[4] Frederick J. Hoffman, *The Modern Novel In America, 1900-1950*, Regnery Publishing, Inc., Chicago, 1951.

[5] Theodore Dreiser, *Sister Carrie*, p. 547

fragmented and precarious modernist self . All the more so, for a writer who had a tragic sense of his destiny. Virginia Woolf's feeling of impending doom loomed large in his art: 'All the stories that came into my head had a touch of disaster in them- the lovely young creatures in my novels went to ruin, the diamond mountains of my short stories blew up, my millionaires were as beautiful and damned as Thomas Hardy's peasants'[6]. There is in Fitzgerald's novels a sense of urgency, the feeling that the characters live on borrowed time, that whatever their dreams may be, they cannot live up to them and 'crack-up'.

"The Great Gatsby" has long been regarded as the quintessential expression of the American Dream. Or, rather, of what is wrong with it. In the words of A. Kazin, the novel best documents "a stage in the agonizing demise in America of consistent selfhood". At the level of character treatment, Jay Gatsby illustrates just that 'agonizing' attempt to arrive at a 'consistent selfhood'. In shedding the James Gatz identity, in 'inventing' several other plausible selves- an ex Oxford student, a German spy, a rich millionaire-, the protagonist seems to believe in the mutability of the past. When Nick tells him that one 'can't repeat the past', Gatsby's reply ('Why, of course, you can') seems to disregard the idea that time affects people differently: Gatsby's love for Daisy was a necessary and sufficient condition in his long struggle to become financially desirable to her. Gatsby's confused and confusing temporal world is the result of the confused morality of his epoch. Earlier succeses in his life developed in him the conviction that he would attain his dream, that everything is possible.

In that respect, and in spite of all the masks he had worn, in spite of his shameful association with Meyer Wolfsheim in bootlegging operations, there existed always an unaltered core of innocence and a belief in an ideal (love) that certainly 'saves' Gatsby. Even if he pursues his dream by resorting to fraud and adultery, there remains something of a compelling purity about his ambition, all the more so given the false piety of those around him. Hence Nick's sincere opinion that Gatsby is "worth the whole damn bunch of them put together".

Gatsby's resolution is the opposite of Daisy's shallowness which Nick recognizes instantly and advises Gatsby not to 'ask too much of her'. Unlike him, she could not and was not willing to wait. Like Dreiser's Carrie, she discarded soon her young, innocent self and traded love for money and position. It is simply that Tom 'bought' her first, but her complacency, her bad moods and, ultimately, her inconsistent self will push the husband to a woman like Myrtle Wilson whose energy and liveliness are qualities a man like him appreciates. Relationships, whether potential or actual, fail again

[6] Alfred Kazin, ed., 'F. Scott Fitzgerald. The Poet of Borrowed Time', in *Francis Scott Fitzgerald: The Man and His Work,* The World Publishing Company, Cleveland, Ohio, 1951, p. 24

and again. Characters are all spiritually hollow , living in a wasteland, in 'the valley of ashes' that surrounds the Wilsons' garage. All dreams turn nightmares: Gatsby's dream to re-gain Daisy, Myrtle's dream to take Daisy's place, Wilson's dream to move out. The only one spared is Tom Buchanan who at least knows who he is and what he wants from life, the best adapted to the hedonistic, materialistic ethos of the age and, consequently, endowed with a higher survival quotient.

Wilson unconsciously killed Gatsby, his fellow dreamer and then killed himself. Both he and Gatsby chose to protect their lovers to the very end, although they would not justify the protection. Abandoned and disillusioned, Wilson saw his dream (that of going away with his wife to a better life) vanish, just like Gatsby saw the green light 'dying out'.

Gatsby's world is one of frustrated idealism. Unable to deal with a present that would not include Daisy, he remains fuzzy, inconsistent and emanates a strong sense of unreality. As Fitzgerald remarked in a letter to John Peale Bishop: " It is difficult to 'see' Gatsby, to identify with him as a total being…also you are right about Gatsby being blurred and patchy. I never at one time saw him clear myself- for he started out as one man I knew and then changed into myself- the amalgam was never complete in my mind"[7]. In a world of shallow values, it is not only Gatsby's dream that is put to test. When nobody is present at his burial, except his father, Nick and the man with owl-eyed glasses, society itself appears disloyal to its innate dream. The sense of loneliness, the absurdity of the human race, the amorality of the protagonists-deny the fulfillment of the American dream and forecloses 'the pursuit of happiness'. The promise of a new haven that America had once embodied, has long expired and been replaced by the modern anguish of existentialism.

What may differentiate the American Dream from any other 'dreams is' that America started as, and continues to be for many, a country founded on dreams, a dream land, "a place where one can, for better and worse, pursue distant goals"[8]. This appears to be Fitzgerald's own position when he writes, in the conclusion of the novel, that "Gatsby believed in the green light, the orgastic future that year by year recedes before us". In an attempt to encompass the whole of American history, the vision 'recedes' all the way back to Dutch sailors who encountered a new world "commensurate with [their] capacity to wonder"[9]. What sustains such a dream and justifies any effort, time and emotional investments is the idea that history is not important,

[7]Quoted in R. W. Stillman, *The Houses that James Built, and Other Literary Studies*, Michigan State University Press, East Lansing, Mi., 1961, p. 131

[8] Jim Cullen, *The American Dream. A Short History of an Idea That Shaped a Nation*, Oxford University Press, 2003, p. 181

[9] Scott F. Fitzgerald, *Marele Gatsby,* trad. Mircea Ivanescu, Editura pentru literatura universala, Bucuresti, 1967, p. 171.

that the future matters far more than the past. Yet, the past can hardly be suspended; it is, ultimately, the source and consolation of all our dreams.

Christopher Lasch, the social critic and historian, connects the idea of the past and of history to the sense of hope that has always been part of the American Dream: "Hope…rests on confidence not so much in the future as in the past. It derives from early memories- no doubt distorted, overlaid with later memories, and thus not wholly reliable as a guide to any factual reconstruction of past events- in which the experience of order and contentment was so intense that subsequent disillusionments cannot dislodge it. Such experience leaves as its residue the unshakeable conviction, not that the past was better than the present, but that trust is never completely displaced, even though it is never completely justified either and therefore destined inevitably to dissapointments"[10]

Gatsby's failed attempt to grasp his dream is also grounded in the fact that he lacked such an understanding of the past and saw it exclusively as an explanation for the limits that he had set out to overcome. This is something that Nick Carraway understood very well. His famous last words that conclude the novel ('so, we beat on, boats against the current, borne back ceaslessly into the past") speak about the permanence of dreams and dreamers. So, we beat on, boats with the current, borne ceaselessly into the future.

In the words of M. Bradbury, *John Steinbeck (1902-1968)* is the writer who 'did devote himself to the myths of the Depression itself"[11]. His outlook is more akin to Dreiser's naturalism, concerned with the biological and deterministic view of human nature. However, beyond the sociobiological bases of human behaviour, there is also a strong, humanistic belief in the common man, a sympathy for the plight of the individual whose aspirations are crushed by forces beyond his control.

Men's dreams are dependent on the times they live in. The peculiar context of the Depression reduces the American dream to basic aspirations- "a little house", "a couple of acres", " a vegetable patch", 'a rabbit hutch and chickens". The dream is not (only) individual; Steinbeck's belief in man allowed him to transcend the egotistic stance and propose a more democratic vision: that of a shared dream. Shared first by George and Lennie, and then by the others on the farm: Candy, Crooks, and even Curly's unnamed wife, although her dream- that of becoming an actress (like Carrie Meeber)- is different from theirs. The fight for a room of one's own bears no fruits, since Lennie's condition annihilates George's positive energy.

Precisely because these characters are all disabled in their different ways (and, as such, inevitably marginalized)- mentally, physically, as in

[10] Christopher Lasch, *The True and Only Heaven. Progress and Its Critics,* W. W. Norton, New York, 1991, p. 81

[11] Malcolm Bradbury, *The Modern American Novel*, Penguin, 1992, p. 138

Candy's case, or racially, as with Crooks- they do not qualify for the competition. When Curly's wife finds Candy, Crooks, and Lennie in the stable, she aptly observes that "they left all the weak ones here". Indeed, as Johnson notices, "in a very realistic sense…all of these characters are weak- far too weak to get even close to pursuing the American Dream, which for them all takes the form of owning their own land"[12]

Although Lennie creates a natural community around him, it cannot be sustained for long; when the idiot "unfinished child" commits an innocent act of murder, that natural community collapses and George, who had first inspired the others, had to kill his and their dream. With this, a rare friendship also vanishes, but the rest of the world- represented here by Curley and Carlson, who watch George plodding away with grief from his companion's dead body- fails to acknowledge or appreciate it. Slim and the other workers on the farm embody that type of loneliness and anger that George describes from the start when speaking about the fate of their lot. With the only exception of Candy, who cares for his dog, these men lack any articulated dreams or concerns that do not derive from self-interest.

Moreover, *Of Mice and Men* teaches a grim lesson about the predatory nature of human existence. No doubt influenced by the observations recorded in his *The Log from the Sea of Cortez (1951)*[13]*,* Steinbeck came to believe in a sort of paradoxical amorality of nature which he then 'translated' into the human world. Animals that are week, altruistic, gentle and benign display what he calls 'a low survival quotient'; on the contrary, strong, greedy, predatory animals manifest 'a high survival quotient'. In their fight for the Darwinian survival of the fittest, the former fail both because of inborn inner weknesses and because of hostile external forces.

Likewise with humans: Lennie, like an innocent animal, posseses a collosal physical strength which he cannot control, unaware as he is of the vicious, predatory powers that surround him. He depends on George for survival and although he is the most ardent supporter of their dream, he operates on the basis of his desire rather than on any conception of propriety.

But Steinbeck does not simply apply an extraneous theory to his narrative. The study of group behaviour, i.e., the small community on the farm, allows to highlight unexpected facets of human nature. There is a profound human truth in the idea that oppression does not come only from

[12] Claudia Durst Johnson, *Understanding Mice and Men*, Greenwood Press, Westport, Ct., 1997, p. 142

[13] Steinbeck studied marine biology at Stanford for a while, though he never graduated. Later, when he became a friend of Ed Ricketts, he helped him to collect marine specimens for Ricketts' Pacific Biological Laboratories. In 1940, Steinbeck and Ricketts cruised through the Gulf of California (also known "The Sea of Cortez") on a collecting trip. The book that documents their expedition is *Sea of Cortez*, whose narrative section is normally reprinted as *The Log from the Sea of Cortez*.

the hands of the strong or the powerful. Crooks, whose most prominent motivation for his unfocused anger is race, seems at his strongest when he has nearly reduced Lennie to tears for fear that something bad has happened to George. Similarly, Curley's wife feels most powerful when she threatens to have Crooks lynched. The novel suggests that the most visible kind of strength, that used to oppress others, is itself born of weakness.

In such a world, dreams, whether individual or collective, are doomed to failure, not only because the 'dreamers' are defficient, in one way or another, but also because the dreams cannot be projected unto a future that should be reasonably predictable. In Steinbeck's Californian region of Soledad, the only thing they are left with is, indeed, *soledad.*

Playthings of fate, victims of their own weaknesses and of circumstances, the characters' destinies point to the fundamental incongruity between human desire and forces that hinder or stifle it. Or, as Robert Burns had put it long before Steinbeck: "…The best laid schemes o' mice an' men/ Gang aft agley,/An' lea'e us nought but grief an' pain/ For promis'd joy"[14].

The different avatars of the American Dream share what Alexis de Tocqueville, in his classic "Democracy in America" (1835), called "the charm of anticipated success". They also point to the fundamental ambiguity of the notion, which explains its mythic aura among those striving for it to this day. The American Dream can be defined in terms of money and property, as with Jay Gatsby, in those of social advancement or upward mobility, the case of Sister Carrie, or it can embody the most widely-spread aspiration, which also sustains Steinbeck's heroes: that of home ownership. All these dreamers fail also because their dreams are sustained by the blind belief in the idea of agency, i.e., the conviction that individuals can shape the course of their lives. But fate, chance or adverse circumstances often testify to the contrary. Notwithstanding the failed attempts that may indicate the unsustainability of the idea of the American Dream, its persistence in both public and aesthetic forms in American culture continues to be a strong marker of national character.

[14] The title of Steinbeck's novel recalls the poem of the Scottish poet Robert Burns (1759-1796), *To a Mouse.* In modern English the fragment reads: " The best laid schemes of mice and men/Often go awry./And leave us nothing but grief and pain/ For promised joy."

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STUDIA UNIVERSITATIS BABEŞ-BOLYAI, PHILOLOGIA, LII, 2, 2007

THE FUNCTION OF STYLISTIC FEATURES IN POLITICAL DISCOURSE

RALUCA OCTAVIA ZGLOBIU

ABSTRACT. Political language is a ciphered type of discourse. In order to analyze the elements of such a type of discourse, which aims at the legitimization of the power and sometimes (if not most of the time) tends to be manipulative, it is important to be able to detect the 'stylistic tools' used in political text and their discursive values. On the other hand, a stylistic analysis of political discourse is more than welcomed in general, especially nowadays when political discourse became an 'art' itself and seems to be harder , by every passing day, to 'grasp' the right meaning or the true meaning that stands beyond the multitude of critical political statements.

1. Introduction

Stylistic features play an important role in any type of discourse (except scientific discourse). The Antique Rhetoric considered that 'to adorn' discourse meant to guarantee the success of the speaker. Nevertheless, in order to determine the public to adhere to a certain idea, it takes more than just a simple, 'barren' discourse, especially in political discourse, where to be successful in action means to be successful in discourse. It is a well known fact that style defines each type of discourse and that discourse itself functions as a whole in order to reach its goal, so one of the stages that make up this *whole* is that of searching the means to embellish discourse. Jean Paulhan (1977: 270) considers that any kind of language that makes use of the rhetorical figures becomes a ciphered language and implies an effort on the part of the receiver in order for the real meanings to be revealed. Given the fact that political discourse is a type of discourse never used in its 'zero degree'[1], but most of the time on fluctuations between 'zero degree' and 'deviations', the present paper will deal with stylistic features (as a category) and how these features may be related to political discourse.

2. A few key aspects of political language

Who hasn't heard expressions like 'puppet government'[2], 'character assassination'[3] or 'capitalist philanthropist'[4]? On purpose or by accident, at

[1] Jean Paulhan attributes the language *the zero degree* concept when it is used in its direct sense and the *deviation* concept when rhetorical features are involved (figurative sense). He also asserts that there are three stages in decoding figurative discourse: the *recognition* stage, the *analysis of the paradoxical situation* and the *basis of the paradoxical situation.*

[2] a government that is manipulated by a foreign power for its own interests, see more at: http://en.wikipedia.org/wiki/List_of_political_metaphors

least once…everybody has. It's enough to open a daily newspaper, to turn on your TV set or radio and all of sudden you find yourself 'bombed' with expressions of this type. Strange enough, we all seem to grasp (almost without any intellectual effort) what the expressions are about (of course there are different factors involved like cultural background, context and so on), but at a first glance, political figurative language passes almost undetected. If we pay attention to the way political discourse is built up, we may, nevertheless, be amazed by the range of rhetorical figures used in such a type of discourse (see appendix 1). Of course, they do not come at random and each of them is used with a specific purpose, to fulfil a certain function, according to the type of political discourse in question (propagandistic discourse, electoral discourse, publicity discourse). In order to explain the functions of such stylistic features in the language of politics, first of all, a few key aspects of political discourse should be mentioned. Constantin Salavastru (2006: 82) considers that political discourse has its own insignias[5] and they stay at the bases of this type of discourse. Among them, the ones of utmost importance in relation to the use of stylistic features are: the ambiguity of political discourse, the concealed nature of political discourse and the imperative nature of political discourse.

A) The intended ambiguity of PD

In every day speech, ambiguity is perceived as the lack of clarity. Most of the utterances produced by speakers tend to be ambiguous when out of context. The most important characteristic of ambiguous sentences is that they can be interpreted in more than one way. Of course, in everyday speech the problem of ambiguity occurs due to differences in the interlocutors' cultural background or language competence. A misinterprets what B says because notion 'X' is being attributed different values by A than by B, as they do not share the same 'knowledge' (knowledge = cultural background, language competence, communication abilities, worldview and so on). In this case, ambiguity rises on unintended causes. But things stand quite differently in political discourse. First of all, in political discourse language is used for more than just proper communication or exchange of information. Here, the language used tends to control the context, thus misleading the receiver. Controlling the context means one efficient way of ensuring that the process of legitimization of the power (which political discourse always aims at) will successfully take place. Intended ambiguity requires high levels of competence

[3] spreading (usually) manufactured stories about a candidate with the intent to destroy his or her reputation in the eyes of the public, ibid.

[4] oxymoron

[5] According to Constantin Salavastru the insignias of PD are: the intended ambiguity of PD, the concealed nature of PD, the imperative nature of PD, the polemic nature of PD. I took the liberty to use the categories proposed by C. Salavastru and to add some aspects of my own.

and performance, as one has to really know the insights of the context and to anticipate all the possible reactions towards it.

Constantin Salavastru (2006: 84) asserts that there is a well developed rhetoric of ambiguity in political discourse and explains the phenomenon arguing that an over saturated sense discourse will always offer the audience a wide range of options than a precise discourse whose options are rather 'pro' or 'against'. In the same time, a discourse based on the rhetoric of ambiguity leaves the impression that the audience is directly involved in eliciting meaning.

In order to obtain such a type of discourse, one must 'design' a florid scale of persuasive nuances. The more the persuasive nuances are, the greater the chances to influence the audience become. This is the moment when, besides the specific procedures such as the use of arguments, the appeal to feelings or well placed interrogations, stylistic features start to play a major role[6]. A colourful discourse will definitely make use of metaphors, epithets, analogies, metonymy, simile, antithesis and so on. For example, let us compare the following two texts:

a) We are proud of our *passionate nation*. She *is a girl becoming a woman*; she is searching for ways to turn her dreams into reality. No one has ever witnessed such delightful scenery: a young woman sitting *by the river of wisdom*, picking up the *flowers of truth* and singing *the song of the future*.

The use of the stylistic features makes the text vivid, leaves the audience to grasp the meaning in a favourable manner, presents the reality from a fairy tale angle, thus the metaphors (the river of wisdom, flowers of truth, song of the future), the epithet (passionate nation) and the personification (she is a girl…) helping to induce a certain level of ambiguity (the public may ask itself what does 'river of wisdom' or 'song of the future' stand for?)

A direct variant of the text would look like this:

b) We have a good and strong nation. Our nation is a mature nation, a nation who cares about its problems, deals with them and hopes for a great future.

B) The concealed nature of Political Discourse:

The concealed nature of political discourse derives from its impossibility of addressing the audience with total sincerity, as some of the

[6] An experiment was conducted to investigate the impact of metaphors embedded in news articles involving political figures and events. Seventy-two subjects read four brief articles which varied, according to condition, in the valence of the metaphor. It was hypothesized that subjects reading a positively valenced metaphor, which cast the subject of the comparison in a desirable light, would rate. both the person and the issue mentioned in the news article more favorably than would subjects reading a negative metaphor. This hypothesis was confirmed, but only for more politically sophisticated subjects—those more attentive to political news were significantly more influenced by the experimental manipulation. It is suggested that these individual differences may be explained by a schema-based account of metaphor comprehension. (*The Effect of Metaphor on Political Attitudes,* by Joel Johnson and Sheley Taylor). Available at: http://www.leaonline.com/doi/abs/10.1207/s15324834basp0204_6

aspects presented in such a type of discourse may not serve the purpose of the speaker. In other words, who would vote, for example, a certain political figure that comes forward and states things like: 'Our party had some problems and still has. But, soon enough, if we get elected, we will have time to deal with them…'? Nobody would. So, as political discourse is driven by its political ideology and always protects its hidden agenda, it will nevertheless preserve its concealed nature. Constantin Salavastru (2006: 85) considers that there are three factors that determine this concealed nature of political discourse: the close relationship between the speaker and the receiver (the closet one among all types of discourse), the permanent attempt to *convince* the public (and if it's not possible at least to persuade the public in some way) and the partisan nature of the political discourse (trying to achieve the legitimization of the power for a certain group/party it will never be a neutral type of discourse).

Most of the time, the concealed nature of political discourse is synonymous with the idea that this kind of discourse offers the public exactly what the public wants to hear related to some political affairs. Being called a matter of 'political pragmatism' in the field and taking into consideration that without the public and the public's consent the legitimization of the power- that all political entities long for- wouldn't be possible, the concealed nature of political discourse will continue to exist as it is 'ordered by the audience' (C. Salavastru, 2006: 87).

What could better create dissimulation in the thematic register if not the use of stylistic features? From the simplest figures of words and sense, to the most elaborated figures of construction and thinking, they all help consolidate the concealed nature of political discourse.

C) The Imperative Nature of Political Discourse

Constantin Salavastru (2006: 92) underlines the fact that this feature of political discourse derives from Charles Morris` analysis upon the typology of discourse. Charles Morris (1971: 203) distinguishes between three categories of signs: the descriptive signs (those which simply describe the reality), the appreciative signs (those which form a hierarchy of the state of things) and prescriptive signs (those which indicate what has to be done with the denoted). According to the ruling tonality of signs in a discourse, they can de divided in ruling descriptive, ruling appreciative and ruling prescriptive discourses. Political discourse, nevertheless, will be included in the third category, that of prescriptive discourse, due to its nature and functions that determine to action.

The imperative nature of political discourse is also related to the classical distinction between the different aspects (or forces) of the Speech Acts. The locutionary, illocutionary and perlocutionary aspects of speech acts as proposed by J. L. Austin, seem to be important because they go beyond 'just saying what is being said' to 'saying what has to be done' or even to 'do what is being said'

(C. Salavastru, 2006: 93). Given the fact that political discourse aims at the legitimization of the power, it certainly has to go beyond from what is being said to what has to be done, as the last act of the process of the legitimization of the power is the *act of action.* The political discourse is not the only type of discourse that reveals such an imperative nature. The moral discourse, for example, 'obeys the same exigencies' (C. Salavastru, 2006: 93). What is distinct about political discourse from the point of view of its imperative nature is that it aims at determining *action* on the part of the audience. In its attempt to trigger a specific action on the part of the audience, it uses all the necessary means to determine the action that best fits the interests of the political group it represents. When this attempt ends in a failure, 'the failure in action is the failure in discourse' (C. Salavastru, 2006: 93). After all, political discourse aims at 'making people behave in a certain way without their knowing why and perhaps even against their best interest' (Jacob Mey, 1993: 296).

Stylistic features play an important role in realizing the phases of the imperative nature of PD. First of all, in order to accomplish this imperative nature of political discourse, one has to use different combinations of words, striking combinations (collocations) that will guarantee the adhesion to the propagated idea (ideology) at least to a minimum level. The most common structure used nowadays in political discourse is the combination of the metaphor with different figures of speech (parallelism, alliteration), as it seems that the combination assures a very strong persuasive 'hue'.

3. One of the most frequent stylistic devices used in political language: the conceptual metaphor

Whenever talking about political discourse, one may notice that the language used in this type of discourse triggers certain effects in the mind of the audience, thus making oneself conspicuous of the force of the language to access power and influence.

In 1980, George Lakoff and Mark Johnson seemed to 'put down the first stone' to what has been developed lately as *the cognitive metaphor theory.* The book *Metaphors We Live By* proposed the analysis of the conceptual function of the metaphor, as 'Metaphors may create realities for us, especially social realities. A metaphor may thus be a guide for future action. Such actions, will, of course, fit the metaphor.' (G. Lakoff, M. Johnson, 1980: 156). This approach is definitely of relevance in political discourse, especially because the distinction between the metaphorical types (structural, orientational and ontological)[7] proposed by Lakoff and Johnson, covers all the aspects of the political metaphors.

[7] Structural metaphors occur when one concept is understood in terms of another (eg. Sport is fight), orientational metaphors deal with spatial orientations (eg. Leadind is being at the top), ontological metaphors are about physical objects becoming physical entities (eg. America is a huge machine).

One of the recent concepts of great relevance to political discourse is that of the *conceptual metaphor* proposed by George Lakoff in his book *Moral Politics* (2002). It mainly deals with conceptual systems, what our unconscious systems of concepts are and how we think and talk using that system of concepts (2002: 14). One of the results in cognitive science – perhaps the most significant one- is that most of our thought is unconscious in the sense that we are not aware of it. In other words, people think and talk too fast to be able to control or to have conscious awareness over everything they say or think. While thinking one uses a complex system of concepts, but he/she is not usually aware of what those concepts are like and how they fit together into the system. In the recent years, Lakoff managed to study two components of conceptual systems: *conceptual metaphors* and *categories* (especially radial categories and prototypes).

Conceptual metaphor is a conventional way of conceptualizing one domain of experience in terms of another, often unconsciously. The example given by Lakoff is that many people may not be aware that we commonly conceptualize *morality* in terms of *financial transactions* and *accounting*: "If you do me a big favor, I will be *indebted* to you, I will *owe* you one and I will be concerned about *repaying* the favor". Going further, we do not only talk about morality in terms of paying debts, but we also think about morality that way. Concepts like: retribution, revenge or justice, are all understood in such financial terms. The conclusion would be that much of moral reasoning is *metaphorical reasoning.* It worth mentioned that it's surprising the number of metaphorical thought concepts in everyday thought. Of course, not every common concept is metaphorical, but if we pay attention during the day to our daily activities, we are going to find out that a great number of our own thoughts are based on metaphorical thought. In political language, metaphorical *common sense* is widely spreaded and it definitely does not come as a surprise that when a politician makes a statement, no matter how elaborated it might be, the public grasps the meaning without troubling too much to identify the conceptual structures involved. For example, the Romanian president stated the following in an address at the events that marked 15 years from the presentation of the "Proclamation of Timisoara": '…Romania merge inainte, dar cu franele trase', (Romania goes forward but with its brakes pushed to the floor). Romanians understood what he meant by that, and to most of us it seems nothing but common sense. However one may argue what is this nonsense about Romania (which is a country) to be related to a car? But the logical structure of the phrase is determined by metaphor, not by facts, the metaphor of the Romanian country seen as a vehicle having problems on its trajectory, as it is a well known fact that the country has its problems, it is just common sense to its citizens.

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Appendix:

Appendix 1:

Most common rhetorical figures in political discourse:

Figures of words	Pun, grave rhythm, alliteration, anaphora, quibble
Figures of sense	Metaphor, metonymy, oxymoron, hyperbole, epithet, simile, synecdoche, litter
Figures of construction	Repetition, antithesis, gradation, parallelism (parison), anacoluthon
Figures of thinking	Irony, allegory, personification, entailment, presupposition, presumption, spinning

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ON THE ROMANIAN LANGUAGE SPOKEN IN HUNGARY

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ABSTRACT. W would like to refer to the Romanians in Hungary, as a result of our research during 2000 and 2007. In the majority of the interviews we took to well-known Romanian and foreign linguists I ***discretely inserted*** the question: ***What do you know about the Romanians from Hungary?*** The native Romanian speakers from Hungary feel as ***forgotten Romanians***. They continually mention the episode when an official from the mother-country, after 1990, confessed that he did not know about their existence (*Please, forgive me, Gentlemen, but I did not know you existed!*). The answers I got during the interviews made me think they were right. Two exceptions made me believe that the interest in this Romanian community existed, though. It is Lorenzo Renzi's answer, from Padova and Coralia Ditvell's answer, whom I consider, without risking to be wrong, *a passionate ambassador of the Romanian culture in the Scandinavian countries* as Lorenzo Renzi is in Italy. In their answers I found the grounds of my insistence on the main problems to be presented when talking about the Romanians from Hungary.

0.0. We referred to the Romanian language spoken in Hungary in many situations during the session organized by Professor Klaus Bochman, at Leipzig, in 2003. We approach this subject once more as we want to communicate it to a larger audience, more familiar with the problem. Now as then, we want that our speech be rather a testimony regarding the diversity of the Romanian language and, at the same time, a homage, an expression of our admiration for those who preserve the Romanian language in Hungary, considering it the basis of their identity. Now as then, we think that our admiration has multiple reasons:

(a) first, it is the result of a change in point of view, as the community of speakers we are going to refer to offers – to the outsider – the possibility of understanding the language differently as compared to the position of the speaker belonging to the ethnic majority;

(b) then, the feeling of retrieving a language stage, because, in the verbal intercourse with speakers having a basic or medium education, it is easy to notice that this is a variant of Romanian which was not affected by the innovations during the last century;

(c) and then, the manner the 'identitary conscience' can find its basis even in a 'language level' where, according to their own philologists, from *the affective point of view, the idiom remains the only language*.

1.0. The diatopic variety we are going to refer to has been less presented in the Romanian linguistic bibliography – and not only there!

Quite differently from the Romanian spoken in Moldova, the Ukraine, Timoc or Voivodina, which has been very frequently referred to, very little was written in Romania before 1990 about the Romanians in Hungary, so much so that an official visiting them could exclaim: *I am sorry, Gentlemen, I did not even know you existed*!

1.1. *Tratatul de dialectologie românească (The Romanian Dialectology Thesaurus)* coordinated by V. Rusu dedicates a chapter to the presentation of the Romanian idioms in allogeneous environments mentioning the fact that, while for the Romanian spoken in the USA, for instance, we have a great number of tape-recorded texts..., and for the idioms in the area south of the Danube we have some materials and descriptions more or less detailed, the data for the Romanian spoken in other linguistic contexts, like the French or the Hungarian

1.2. The same work adds some information according to which, *in what concerns the Romanian spoken in Hungary,* the sources that could be consulted were:

a) a fairy-tale collection from the village of Micherechi;

b) and some observations of the person who edited the collection in 1968, highlighting some specific phonetic features of the idiom in the above mentioned locality.

1.3. The fairy-tales collector is Vasile Gurzău. The editor is the Hungarian philologist Domokos Sàmuel, known for his interest in the Romanian folk culture and literature. The village of Micherechi, *lying in Hungary, close to the Romanian-Hungarian border*, represents, according to the collection editor, the westernmost point of the Bihor idiom, which means that beyond that point, the Romanian is not present in other areas.

1.4. Based on Domokos Sàmuel's observation and on Vasile Gurzău's fairy-tales, *Tratatul de dialectologie românească* characterizes- mainly phonetically, but also morpho-syntactically and lexically- the Romanian spoken in Micherechi, underlining the unity of the Bihor idiom, and mentioning that the specific features of this Romanian spoken variant can be found *in other idioms, too, mostly in Transylvania*.

2.0. Having had the privilege to know them, we wish to refer to the ***Romanians in Hungary*** from **their *point of view***, respectively that of the historians and linguists from these communities, so that the image of the community itself could appear as a mirror of their own communitary conscience, which emerges within the **limits** of the available theoretical sources and resources. Our approach aims at discussing texts that have a limited circulation, generally only in the communities which they are actually destined to. According to this desideratum, the quotations highlight what is 'local' in approaching the following problems regarding the Romanians in

Hungary: 1. The location of the community; 2. History; 3. Demography; 4. Language; 5. The future of the language variant.

2.1. Location. It is well-known today that the western extension of the Romanian language exceeds the limit identified by Domokos Sàmuel; west of the village of Micherechi there are other localities where there are Romanian speakers. It is true that only in one place – and that is Micherechi – is Romanian a majority language, while in other localities it is a minority language.

2.1.1. The number of localities is different form source to source, the difference depending on the purpose of the research. Teodor Misaroş, in his *Din istoria comunităţilor bisericeşti ortodoxe române din Ungaria* (*On the History of the Romanian Orthodox Congregations in Hungary*) counts 19 localities. Among these, eight do not appear in the researchers'[2] lists and monographic presentations which approach history with a didactic purpose in mind. They are Aletea, Apateu, Bătania, Cenadul Unguresc, Chitighaz, Micherechi, Otlaca Pustă, Săcel. While the history of the Orthodox communities mentions the importance of the Hungarian capital and of the Giula city in the use and preservation of the Romanian language, the historian-cum-educator adds to the list the village of Bedeu, an interesting place from the perspective of the dynamics of the majority/minority ratio. The agreement between the sources **becomes obvious** as soon as it is stated that the documentary attestation is dependent on the attestation of the Romanian parishes. Others agree that in the 18th century an important number of localities is registered (18 for some, 19 for others), situated in three counties:

(a) in BIHOR county there are eleven localities/parishes of the Orthodox, most of them Romanians;

(b) in BICHIŞ county there are five such localities/parishes;

(c) in CENAD county there are only two.

2.1.2. The agreement turns into disagreement when, according to the same principle, one dicusses the localities where the parishes were abolished, such as the village of Bedeu.

2.2. History. Speaking about their history, the authors make a distinction between:

(a) the history of the Romanians in Hungary

and (b) the history of the Romanians in Hungary nowadays.

They believe that there can be written a single history of Romanians until 1918, which should contain the history of the Romanian speakers in Panonia, too, as they had had access to the same Romanian cultural dimension until then, but not after 1918, when they became a community without *local intellectuals*. Without scholars, the population living in the

[2] Elena Csobai, *Istoricul românilor din Ungaria de azi*, (*The history of the Romanians in nowadays Hungary*) 1996.

Romanian localities in the Hungarian Fields had to create new intellectuals who had the mission *to look for its ethnic identity*.

*2.2.1***.** When they speak about their origins, the new generation of Romanian "historians" from Hungary agree that their ancestors, most of them, settled in these places and these localities at the end of the 17th century and during the 18th century, in some cases in the 19th century. From the documentary point of view, their presence can be attested in the region/area of the three Criş rivers since the 13th century. Their settlement is connected to the so-called devastation during the 150 years of Turkish occupation and the battles which led to the destruction, abandonment, depopulation of the settlements in the eastern part of the Hungarian Fields. The bibliography states that at the end of the 17th century and in the 18th century these regions were populated again. It is, of course, a point of view which needs to be discussed referring not only to the sources and resources available (to the native historians).

2.3. Demography. The number of Romanian speakers in Hungary varies according to time and the criteria used in the census in different stages of their history.

2.3.1. Teodor Misaros, a historian interested in the Orthodox community, agrees that, according to statistics, the conclusion imposes itself that, generally speaking, the number of the Romanian population gradually increased beginning with the 18th century and until 1910[3]. After 1920, the increase is stopped by the disorganization of the Romanian collectivities and the absence of teachers and priests. It is mentioned, along this direction of presentation of their own history[4], that at the 1910 census 28491 citizens declared themselves Romanians. During the 1941 census, 14142 people and during 1990 census 8730 people declared themselves Romanians. The history of the congregation shows similar data. During the 1920 census 50990 people declared themselves as orthodox, out of which 19179 specified that they were Romanians.

It is interesting to notice that, in what regards nationality, the statistics make a difference between the people who declare themselves as speaking a certain native language and those who declare a certain ethnic status. Regarding the ethnic status, during the 1920 census, only 19179 people appeared as Romanians, and regarding language, 23695 people declared Romanian as their native language. The differences between those who declared a certain ethnic status and those who declared a certain native language, in our case, the Romanian language, can be explained by the conversion to the Greek-Catholic confession of an important part of the

[3] For this concord, see, Misaroş,1990, Csobai, 1996.
[4] Csobai, op. cit. p. 52.

Romanians, and this fact could also explain the possibility that those interrogated might have equated confession with nationality. It is the case of 4516 people, who, in 1920 appear as having another confession. In different statistics and bibliographical sources after 1989, the number of those who declare a Romanian ethnic status, different from the number of those who declare Romanian as the native language, is over 8 (eight) thousand.

2.4. Language. The available works[5] mention the fact that *the Romanians who **settled** in the Hungarian Fields brought with them the most important part of their culture*, namely *their native language*[6], a fact that places the variant or the variants of the Romanian language spoken in the 19 or 28 localities as a language *spread outside the forming territory*. The linguistic and the confessional component, in which the removed population showed interest and according to which it differentiated itself from other minority or minority populations settled before or after them here, could not have been able to configure a national/ethnic conscience before the 18th century[7].

2.4.1. Diatopically, the Romanian spoken in Hungary appears, according to some native linguists[8], as a western limit, in all its aspects, of the Criş subdialect, to use their own terminology, while, according to others, the Romanian spoken in Hungary has two sub-types, one which is a prolongation of the Criş subdialect and a second sub-type – a prolongation of the Banat idiom. For most of those who studied the Romanian as spoken in Hungary, it is indisputable that it is *differentiated* into two *idioms*: the Banat idiom, spoken in the localities between Debreţin and Giula, and the Criş and Mureş idiom, spoken from Giula till the Hungarian Cenad. One of the specific features which underlines the difference between the two idioms is morphological and regards the structure of the subjunctive with *şi* and, for the Bihor idiom, with *să*, respectively, as in the Criş/Mureş idiom.

2.4.2. Generally speaking, according to Cosma, the two types have the same features; *in the vocabulary: the Latin and, generally, semantic archaism, for a great number of words („brîncă" - arm, „muiere" - woman, „pogan" – strong, powerful man, „a cota" = to look at himself/herself, „a ţîpa" – to throw away), and also a lot of words having a Hungarian origin („iagă" - bottle, „ocoş" – smart, „dărab" – a piece of)*[9]. The fact that it is a variant of spoken language beyond the borders of the state where the center propagates the innovations led to the *maintenance of the archaic features*

[5] Misaros, 1990, Csobai, 1996, Borbely, 2000, Cozma, 2003.
[6] Csobai, op. cit., p. 8.
[7] Ibidem, p. 10.
[8] Especially Mihai Cozma, 2003, 9.
[9] Cozma, Oradea, 2003, 9.

within the vocabulary, to the increase of the rate of Hungarian words and to their use in more and more bilingual communication situations.

2.5. Future. The future of the two language types is regarded as different when compared to the variants of Romanian beyond the border. The idiomatic variants in Romania, according to Cozma, are subjected to a continuous modernization, *taking from the literary language the necessary terms for new conditions*, while for the Romanians in Hungary the only *source of spontaneous enrichment* remains the *Hungarian language*. *The lagging behind of the idioms at the lexical level, necessary and sufficient once for a rural traditional life, and the lack of the means to express the contemporary realities generates* a feeling of linguistic insecurity which can explain both the abandonment of the native language and of the bilingual status. Speakers from Bătania, Chitighaz, Aletea, Cenad have the feeling that their idiom *lost its absolute position it once had for communicating with Romanians and has been demoted to a limited role now*. They are convinced that Romanian is a language for personal contexts and situations, for family, and generally, for the micro-community to which the individual belongs. The effort of cultivating Romanian is felt as an alienating one and has social and psychological effects. What the speakers learnt from the literary language, according to Mihai Cozma, has come to be pereceived in the speakers' conscience and practice **as a different style**, suitable only for the communication situations (otherwise very rare) with "educated people". The speakers are convinced that any variant of Romanian, more accurate than their own, belongs to Romanians having another social status than theirs. As we ourselves could notice during the investigations, the interviewees have the impression that communicating in an accurate variant means behaving *„prea domnos" (in a formal/snobbish manner) with those from their rural environment* or with *those speaking the same language*.

3.0. The subjects we interviewed during our investigations are representative for three hypostases of the Romanian language. We are going to refer to:

(a) subject A, an over 80 years old woman;

(b) subject B, representative for the 30 years old generation, who confessed that he had learnt Romanian in the family and continued to improve it in school;

(c) finally, subject C, a student[10], who confirmed that he did not learn the language in the family, as he did not spend the first part of his childhood in his native village. He learnt Romanian after he returned from the city (Gyula) to the village (Micherechi), where he found the suitable

[10] The existence of this category of Romanian speakers, pupils and especially students can be confirmed using more means.

environment to speak the native language. This subject considers that his communication abilities have been reinforced by the study of the native language in the secondary and high school.

3.1. The recording confirms the fact that subjects A and B are engaged in a conversation, while subject C answers a question and then speaks freely.

3.2. The three interviewees manifested speech features which belong to Criş subdialect the most obvious being:

a) the presence of [ĉ] for [c+e,i] and of [j] for [g+e,i], like in [faĉ] and [jerunt'];

b) [e] both inside the main body of the word and also in final position, becomes open, like in [męre] and in [merę];

c) [t'] and [k'] can be confused, like in [t'ert] şi [k'ert];

d) it is obvious the preference for the analytic expression of the dative with the preposition *la*, like in [o dădut la fată].

3.2.1. Individually, subject A, when using the Romanian language:

(a) reflects the specific features of the Criş subdialect;

(b) her vocabulary is generally archaic, but not extremely so;

(c) the speaker is aware that she uses old words, which she transposes into Hungarian when she feels that the co-locutor does not fully understand them.

(d) they are words from Hungarian or intermediated by Hungarian, but perfectly adapted to Romanian, such as: *a obăli*, *k'ert*, *găzdăşag*, *beteşig*, *henteş*;

(e) the neologisms are understood with difficulty by this speaker, which is obvious in the way speaker B reacts when he has to use neologisms;

(f) the toponyms are used in forms adapted to Romanian: *Tăn'ar*, *Şercaia*, *Jula*;

(g) he uses idiomatic units which preserve elements of archaic mentality and poetical meaning, exceeding the instance of the denotative user when, presenting customs, she says: [s-o băn'it Dumn'ezău] or [Doi sînt'em, doi mâncăm];

(h) the rhythm of the language and the stress is typically Romanian, without Hungarian influence;

(i) according to the opinion of the participants at the Summer School organized by UBB Cluj Napoca in 2003, subject A speaks Romanian clearly; the Romanian used by subject A „is easier to understand, but it is just a little more archaic".

3.2.2. Subject B, in his turn, belongs to the Criş subdialect. A series of elements, mentioned below, distinguish him from his co-locutor:

(a) he includes unadapted Hungarian units, such as in [nunta erste];

(b) he uses the toponyms in the Hungarian version: [Tanyar Haza];

(c) he uses a neological vocabulary, but he is aware of the co-locutor's linguistic competence and produces lexical substitutions when using words like *gemeni*, *interzis*, *a consuma*, *obligație*;

(d) the rhythm and the stress is marked by the Hungarian influence.

(e) generally, it is an accessible speech, but, according to the same participants in the summer lectures in 2003, *it is less clear*.

3.2.3. Subject C belongs to the Criş subdialect, too, but he presents a series of specific features which distinguish him both from A and B:

(a) the fact that he turns into Romanian idiomatic units extended Hungarian sequences;

(b) the rhythm and stress is marked by the Hungarian influence;

(c) he addresses the co-locutor during conversations using the 3rd person, instead the 2nd person;

(d) he does not feel[11] the relative pronouns and adverbs as connectors and he always uses them with *că*;

(a) he is the one who feels best that he is a bilingual whose first language is, still, Romanian;

(e) he uses, in our opinion, an urban variant of Romanian, but having archaic vocabulary reminiscences;

(f) he does not use syntagms meant to fix him in an archaic mentality.

4.0. What has to be cultivated: the idiom or the language? The Romanian linguists in Hungary have been debating this subject lately.

4.1. For those who support the idiom, the *only reality*[12] of Romanian language in Hungary is the *idiom*. According to the most important linguist in Hungary, the literary language *has been practiced for more than 50 years* in their minority education system; it appears as a product of an educational environment without consequences on the community, since its terms, *learnt by generations of students, were not adopted in the idioms*; *the standard variant* is a language level to which only *the intellectuals* have access *in writing, radio and TV programmes, when taught in schools and in common situations*; using Mihai Cozma's terms, we *can speak of a standard idiom only where it is organically formed, from internal sources, the literary Romanian* is considered here as a result of *school teaching*, which leads to the feeling of linguistic discomfort comparable to that of a speaker using a foreign language; it is specific only to a small category of users, of which only the intellectuals are mentioned and it appears only in their *job* or private communication situations. The idiom is, according to Mihai Cozma, the language variant which provides the conversational environment for all the categories of speakers.

4.2. Pleading for the idiom, not for the *literary* or *standard language* has for Mihai Cozma – but not only for him – arguments, which must be

[11] Maria Marin and Iulia Mărgărit, in the work we referred to before, think, as Magdalena Vulpe does, that this is a *syntactic hyper-characterization* phenomenon. The subjects we talk about are students.

[12] For the quotations in this paragraph, see Mihai Cozma, „Familia", Oradea, 2003.

discussed again if we want to really know this community. According to him, *in common situations, the intellectuals have the habit of introducing in their speech elements of their local idiom in which they were taught Romanian. This habit is illustrative and it can be explained by the fact that for us, the conscience of the "native language" is reduced to the idiom. It is the idiom that the speakers feel attached to, even though they do not use it any longer, as they left the rural environment. From the affective point of view, the idiom remains the only language that is "ours"*.

4.3. Instead of stating our own conclusion, I would like to say that the specific of the Romanian idiom in Hungary consists in its great ability to survive in allogeneous environments, while the specificity of the speakers is linked to the option for a certain manner of shaping their identitary conscience, resorting to theoretical resources which allow re-evaluations, in an European manner, of course.

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LE PHÉNOMÈNE DE L'APTONYMIE

RODICA BOGDAN, ANDRA TEODORA CATARIG

ABSTRACT. The aptonyms are another proof of the semantic dyanmism of the language and of the extraordinary power of language denomination which does not cease to reveal surprising meanings. The current study has in view the emphasis of the unique associations among patronyms, that is the names borne by different people and their current activities. The aptonym has become nowadays the study object of the science called *aptonymy*. In romanian, the term is still unknown, but the examples that our study is providing prove the existence of this linguistic phenomenon within the Romanian space, as well as its modernity.

1. Définition et étymologie

L'aptonyme est un néologisme formé de deux mots différents, l'un provenant du latin: *aptus* et l'autre du grec: *onoma*. Parmi les sens que le latin *aptus* couvre, on retrouve ceux-ci: approprié, propre, apte, bon. Par exemple, *dux fieri quilibet aptus erat* signifie «n'importe qui était apte à être fait commandant»[1]. Cet adjectif s'attache également aux substantifs qui désignent les choses, mais notre intérêt portera sur les patronymes ou anthroponymes. Le substantif grec *onoma* signifie généralement *nom*, tout d'abord par opposition à la réalité proprement dite qu'il nomme ou encore par opposition à l'action exprimée par «ergon» et par la chose elle-même, «pragma». Le verbe *onomazo* exprime le fait de donner tel ou tel nom ou encore d'appeler quelqu'un/quelque chose par son nom[2].

Par conséquence, l'*aptonyme* est un patronyme qui rend compte de la relation étroite qui s'établit entre une personne qui porte un certain nom et ses aptitudes, en particulier le métier ou la profession que cette personne exerce: «*L'aptonyme est le nom de famille d'une personne qui est étroitement lié à son métier ou à ses occupations*»[3] (exemples: Robinet – plombier, Carie – dentiste, Pain – boulanger, etc.). La nuance de «prédestination» est aussi suggérée dans une autre définition: «Nom prédestiné, étroitement associé à un métier ou à une occupation»[4]. Le terme existe aussi en anglais: *aptonym*, mais le roumain ne l'a pas encore assimilé. C'est pourquoi nous proposons l'introduction de ce terme dans le dictionnaire de la langue roumaine, avec la graphie: *aptonim*, en respectant les normes ortographiques et lexicologiques de notre langue.

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[1] Gheorghe Guțu, *Dicționar latin-român*, Edția a II-a revăzută şi adăugită, Ed. Humanitas, Bucureşti, 2003, p. 106

[2] *Le grand Bailly, Dictionnaire Grec-Français,* Éditions Hachette, Paris, 2000, p. 1384

[3] *Le grand dictionnaire terminologique*, http://www.granddictionnaire.com/btml/fra/r_motclef/index800_1.asp, avril 2006

[4] http://www.fatrazie.com/aptonymes.htm

2. Du côté de la recherche

Le nom d'une personne et le choix de la profession sont deux questions tout à fait différentes, mais, dans le cas de ces coïncidences, il est légitime de se poser la question: est-ce que le nom a vraiment une influence sur le choix de la carrière d'un individu? Dans les collectivités anciennes, le nom d'une personne était unique, il n'y avait en principe que le prénom ou bien un surnom; le nom ne se transmettait pas aux successeurs. En ce qui concerne les surnoms (ou sobriquets), ils révélaient les traits physiques (Maigre, Lemaigre, Lepetit, Legrand, Lebeau, etc.) ou les traits moraux (Lesage, Doucet, Courtois, etc.) de la personne. Lorsque les collectivités sont devenues plus nombreuses, il apparaît la nécessité de différencier entre plusieurs individus portant le même prénom. Les métiers de ceux-ci fournissent le principal moyen de les différencier: Barbier, Couturier, Mitterand (le mesureur), Fournier, Lesoldat, etc.: «Entre le V^{ème} et le X^{ème} siècle, les habitants de la France ne portaient que leurs noms de baptême. A partir du XII^{ème} siècle, pour différencier les homonymes devenus trop nombreux, certains noms de métiers furent adoptés pour désigner les individus»[5]. Un autre moyen de différenciation était fourni par la proximité d'un lieu quelconque: Desmoulins (près des moulins), Dupont, Deschamps, Lallemand, Langlais, Lespagnol, Lauvergne (qui venait d'Auvergne). L'héritage des noms de famille (considérés des noms collectifs) survient plus tardivement, lorsque l'état civil s'instaurait au XVI^{ème} siècle: «En 1539, François Ier promulgue l'ordonnance de Villers-Cotterêt. Celle-ci rend obligatoire la tenue de registres d'état-civil»[6].

En 1992, Frank Nuessel, professeur de linguistique, publie le livre «The Study of Names» (Westport, Greenwood Press), où il consacre le terme d'aptonyme et en fournit la définition. De même, les ouvrages de Jean-Louis Beaucarnot: *Les noms de famille et leurs secrets* (Laffont, 1988), *D'où vient ton nom* (Albin Michel, 2002) représentent un outil de recherche inappréciable pour les onomasticiens et les généalogistes. En Roumanie, le dictionnaire des noms de Iorgu Iordan, *Dicţionarul numelor de familie româneşti* (Editura Ştiinţifică şi enciclopedică, Bucureşti, 1983) a été contesté, et la nécessité d'un dictionnaire d'anthroponymes roumains, comme instrument de la recherche linguistique, est énergiquement réclamée (Gabriel Gheorghe, *Antroponimie românească*, www.getica.go.ro/antroponimie).

La science qui s'occupe de la recherche et de l'étude des relations entre les patronymes et les activités humaines de ceux qui les portent s'appelle l'***aptonymie***. Il existe un Centre d'études et de recherches sur les aptonymes, CERA, en étroite collaboration avec le Centre Canadien des Aptonymes, CCA.

[5] http://www.geopatronyme.com/cdip/originenom/surnoms.html, avril 2006.
[6] http://www.geopatronyme.com/cdip/originenom/originedesnoms.htm, avril 2006.

3. Classement et exemples

Selon les sens auxquels les patronymes renvoient, selon leur relation avec les activités des personnes qui les portent, on sépare les ***aptonymes***, les ***contraptonymes*** et les ***antiaptonymes***.

3.1 Les aptonymes sont classés en fonction des activités auxquelles ils font référence. En voilà quelques exemples:

- **Économie**:

NOM DE FAMILLE	OCCUPATION
CAISSE	caissière
TRICHET	banquier
AVARE	expert comptable
BILLET	expert comptable
COMTE	expert comptable

- **Droit**:

NOM DE FAMILLE	OCCUPATION
MAÎTRE	avocat, notaire
BARREAU	avocat
BATAILLE	avocat
LALOI	avocat

- **Médecine**:

NOM DE FAMILLE	OCCUPATION
PIQUEMAL	infirmier
COURPIED	orthopédiste
SOIN	médecin
BONCOEUR	cardiologue
CACHET	pharmacien

- **Politique**:

NOM DE FAMILLE	OCCUPATION
CRESSON	ministre de l'agriculture
LEMAIRE, Daniel	maire
LANG, Jack	ministre de la culture
LEMAIRE	préfet
LAGAUCHE	sénateur socialiste

- **Enseignement**:

NOM DE FAMILLE	OCCUPATION
CENTLIVRE	professeur de français
CHANTON	professeur de musique
DESANGLES	professeur de mathématiques
BOUGE	professeur de danse

- **Boulangerie-pâtisserie**:

NOM DE FAMILLE	OCCUPATION
BOULANGER	boulanger
PAIN	boulanger
BLÉ	boulanger
CHAUSSON	pâtissier, boulanger
FROMENT	boulanger
GÂTEAU	pâtissier
FOUR	boulanger

- **Boucherie-charcuterie**:

NOM DE FAMILLE	OCCUPATION
BOUCHER	boucher, charcutier
PORC	charcutier
JAMBON	charcutier
MOUTON	boucher

- **Bâtiment**:

NOM DE FAMILLE	OCCUPATION
MAISONNOEUVRE	architecte
DEMAISON	maçon
DUFOUR	chauffagiste
VERRIER	vitrier
BAIN	plombier
ROBINET	plombier

- **Coiffure:**

NOM DE FAMILLE: BEAUPOIL; OCCUPATION: coiffeur
NOM DE FAMILLE: BARBIER; OCCUPATION: coiffeur

- **Plantes:**

NOM DE FAMILLE: BOUQUET; OCCUPATION: fleuriste

3.2 Il arrive parfois que le nom de famille de la personne se trouve en opposition avec son activité quotidienne. Dans ce cas, on parle de ***contraptonymes***:

Exemples:

- Nom de famille: BOULANGER; Occupation: boucher
- Nom de famille: BOUCHER; Occupation: serrurier
- Nom de famille: PAIN; Occupation: cordonnier
- Nom de famille: BARBARY; Occupation: chirurgien dentiste

3.3 Les ***antiaptonymes*** expriment justement une opposition flagrante entre le nom de la personne et la profession qu'elle exerce:

Exemples:

- Nom de famille: VILLAIN; Occupation: esthéticien
- Nom de famille: LEMORT; Occupation: médecin
- Nom de famille: LAMORT; Occupation: pharmacien

3.4 Nous ajoutons à la liste ci-dessus quelques exemples d'aptonymes en anglais, italien et roumain:

Anglais: COUNT, *accountant* (fr. comptable); BEAT, music teacher (fr. professeur de musique); WARMBATH, manager of a hotel (administrateur d'un hôtel); HYMAN, gynecologist (fr. gynécologue); BIRD, ornithologist (fr. ornithologue), etc.

Italien: CANINI, medico dentista (fr. dentiste); FALCETTI, ingeniere agronomo (fr. ingénieur agronome), etc.

Roumain: PĂDURAR (fr. garde forestier), garde forestier qui a nommé ses enfants Codruța (fr. petite forêt) et Mugurel (petit bourgeon); RUS (fr. Russe), professeur de grec; FRUNZĂVERDE (fr. feuille verte),

ministre des eaux, des forêts et de l'environnement; FLUTUR (fr. papillon), ministre de l'agriculture; BUZDUGAN (fr. massue), auteur du livre «La résistance des matériaux»; COPĂCESCU (fr. nom propre dont la racine renvoie à l'arbre), auteur d'un livre sur les cactus.

4. Conclusion

Puisqu'à leur origine presque tous les noms de famille étaient des aptonymes, l'importance de l'étude de ceux-ci n'est pas mise en doute. Soumis à l'effort continu de désignation, l'homme fait preuve d'une exceptionnelle force créatrice. Au-delà des aspects relevant de l'humour et de la curiosité, s'ouvre l'horizon de la connaissance des rapports entre les anthroponymes et l'histoire des diverses cultures et langues.

Notre étude n'est qu'un point de départ dans l'espace de la langue roumaine, c'est pourquoi nous soulignons la nécessité de la continuer d'une manière plus systématique.

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PRINCIPES ET COHÉRENCE DANS LA PHONÉTIQUE HISTORIQUE ROUMAINE. LE ROLE DU SUPERSTRAT ET DE L'ADSTRAT

A. GOȚIA

ABSTRACT. The study underlines the fact that the adstratum and the "superstratum" brought no contribution to the phonologic system of Romanian. The Romanian phonologic system was fully constituted at the beginning of foreign influences, both in the area of vocalic and consonantic phonemes inherited directly from Latin, in which the substratum elements were sifted, and in that of "new" phonemes. The "superstratum" and the adstratum only adapted to the Romanian phonologic system and contributed nothing to its enriching or 'finalizing'. Therefore, the ancient Slavic "superstratum" influence, did not play this role in the phonologic system of Romanian, contributing nothing to its constitution.

Je garde dans la mémoire affective des faits socio - culturels qui ont à faire avec le sujet que j'aimerais présenter en guise de préambule.

1. Pendant la période de l'entre – deux – guerres, suite à des manœuvres militaires franco – roumaines déployées dans des villes voisinant Bucarest, avec des noms tels «Basarabov», «Snagov» etc., un soldat français écrivait à une connaissance, militaire roumain, en datant sa lettre et indiquant le lieu «Bucarest – Bulgarie».

2. Dans la même période, a lieu une dispute entre latinistes (latinophiles) et slavistes (slavophiles) qui a eu comme point culminant le fait suivant, qui, pratiquement, a marqué aussi la fin de la dispute:

Les latinophiles ont servi aux slavophiles: «Vous ne pouvez faire en roumain même pas une phrase avec des éléments uniquement d'origine slave.» La réponse ne s'est pas laissée attendre: «Comment ça? Popa citeşte litania;» (Le pope lit la litanie.)

Et la réplique: «Pas de question, popa a un article d'origine latine, **a**, le verbe a une désinence d'origine latine lui aussi et litania, a un article d'origine latine également.

Nous retenons du fond scientifique du problème le fait que, tout en utilisant comme argument décisif le fait que le roumain avait été déjà constitué dans son génie au moment de la réception des influences slaves anciennes, qui a eu lieu vers le IXe siècle au plus tôt, selon Ioan Pătruț, on continue à affirmer et à écrire quand même que les phonèmes du roumain ont leur source, à part le fond latin, dans les influences slaves, turques, magyares, grecques…

Mais le système phonologique roumain est motivé *intégralement* par sa descendance du fond latin qui a absorbé les éléments du substrat,

tant dans ses composantes originairement latines que dans les «nouvelles», générées par la dynamique diachronique.

Les voyelles originairement latines:

1. La voyelle neutre ouverte **a**:

lat. acrus > roum. acru (aroum. acru); lat. amarus > roum. amar (aroum. amar); lat. aeramen > roum. aramă (aroum. aramă); substrat * barză (comp. alb. bardhë) > roum. barză (aroum. bardzu).

2. La voyelle sémi – ouverte palatale **e**:

lat. mergo > roum. merg (aroum. n'ergu); lat. texo > roum. țes (aroum. țăseare, țăseri = l'action de tisser); lat. credo > roum. cred (aroum. cred); lat. civitatem > roum. cetate (aroum. țitate); substrat * vjedhullă (comp. alb. vjedhullë) > roum. viezure (aroum. viezure)

3. La voyelle sémi – ouverte labiale **o**:

lat. focus > roum. foc (aroum. foc); lat. homo > roum. om (aroum. om); lat. oxungia > roum. osânză (aroum. usândză); lat. acetum > roum. oțet (aroum. -); substrat *moşă (comp. alb. mo(t)shë¨) > roum. moş (aroum. moş).

4. La voyelle fermée palatale **i**:

lat. venire > roum. veni (aroum. vinire = venire); lat. lupi > roum. lupi (aroum. luk'i); lat. vendere > roum. vinde (aroum. vindu); substrat *copil (comp. alb. kopil) > roum. copil (aroum. cok'ilu).

5. La voyelle fermée labiale **u**

lat. unde > roum. unde (aroum. iuo);lat. dulcis > roum. dulce (aroum. dulțe); lat, montem > roum. munte (aroum. munte); substrat * guşă (comp. alb. gushë) > roum. guşă (aroum. guşe).

Voyelles nouvelles:

6. La voyelle centrale sémi – ouverte **ă**

lat. casa > roum. casă (aroum. casă); lat. laudare > roum. lăuda (aroum. alavdu); lat. septimana > roum. săptămână (aroum. stămână); substrat *căpuşă (comp. alb. këpushë) > roum. căpuşă (aroum. căpuşe)

7. La voyelle centrale fermée **â (î)**:

lat. romanus > roum. rumân (român) (aroum. armân); lat. ventus > roum. vânt (aroum. vimtu); lat. rivus > roum. râu (aroum. arâu); lat. imperator > roum. împărat (aroum. amiră).

Le diphtongue **ea**:

lat. mensa > roum. measă > masă (aroum. measă); lat. sera > roum. seară (aroum. astară = aseară); lat. credat > roum. creadă (aroum. si creadă).

Le diphtongue **oa**:

lat. mola > roum. moară (aroum. moară); lat. porta > roum. poartă (aroum. poartă); lat. solem > roum. soare (aroum. soare);

Le diphtongue **ie**:

lat. pellem > roum. piele (aroum. k'ale); lat. ferrum > lat. fier (aroum. h'er); lat. pectus > piept (aroum. k'ept, k'eptu)

Les consonnes latines à l'origine.

Les labiales **p, b, f, v, m**:

lat. porta > roum. poartă (aroum. poartă); lat. pontem > roum. punte (aroum. punte); substrat *părău (comp. alb. përrua) >roum. părău (aroum. -); lat. bonus >roum. bun (aroum. bun); lat. basilica > roum. biserică (aroum. băsearică); substrat * abur (comp. alb. avull) >roum. abur, abure (aroum. abure); lat. focus > roum. foc (aroum. foc); lat. familia > roum. femeie (aroum. fămeal'e); substrat *fărâmă (comp. alb. thërrime) > roum. fărâmă (aroum. fărămă); lat. vestimentum > roum. veşmânt (aroum. veştimintu); lat. vinum > roum. vin (aroum. ghin); substrat *vatră (comp. alb. vatrë) > roum. vatră (aroum. vatră); lat. merula > roum. mierlă (aroum. n'erlă); lat. imperator > roum. împărat (aroum. amiră); substrat *mânz (comp alb. mës) > roum. mânz (aroum. mândzu)

Les dentales **ţ, d, s, n, l, r**:

lat. totus > roum. tot (aroum. tot); lat. rota > roum. roată (aroum. roată); substrat *cătun (comp. alb. katun) > roum. cătun (aroum. cătun); lat. depanare > roum. depăna (aroum. deapin <mi>); lat. digitus > roum. deget (aroum. dezet); substrat *brad (comp. alb.*bradh) >roum. brad (aroum. brad); lat. surdus > roum. surd (aroum. surdu); lat. sursum > roum. sus (aroum. sus); substrat *sâmbur (comp. alb. sumbull) > roum. sâmbure (aroum. sămbure); lat. non > roum. nu (aroum. nu); lat. novus > roum. nou (aroum. nou); substrat *năpârcă (comp. alb. neperke) > roum. năpârcă (aroum. năpârtică); lat. luna > roum. lună (aroum. lună); lat. lana > roum. lână (aroum. lână); substrat *baltă (comp. alb. baltë) > roum. baltă (aroum. baltă); lat. rivus > roum. râu (aroum. arâu); lat. ripa > roum. râpă (aroum. arâpă); substrat *rânză (comp. alb. rrëndës) > roum. (aroum. arăndză).

Les vélaires **c, g**:

lat. cum > roum. cu (aroum. cu); lat. crucem > roum. cruce (aroum. cruțe); substrat *cătun (comp. alb. katun) > roum. cătun (aroum. cătun); lat. rogare > roum. ruga (aroum. rog <mi>); lat. grassus > roum. gras (aroum. gras); substrat *grapă (comp. alb. gërepë) > roum. grapă (aroum. grapă)

Consonnes nouvelles.

Les dentales **ț, (d)z:**

lat. texere > roum. țese (aroum. țas <mi>); lat. terra > roum. țară (aroum. țară); substrat *țap (comp. alb. cap) > roum. țap (aroum. țap); lat. Dom(i)ne Deus > roum. Dumnedzeu > Dumnezeu (aroum. Dumnidzău); lat. dicere > roum. dzicere > zice (aroum. dzâc); substrat *viezure (comp. alb. vjedhullë) > roum. viezure (aroum. viezure)

Les prépalatales **c^, g^, ş, j**:

lat. caelum > roum. cer (aroum. țer); lat. vicinus > roum. vecin (aroum. vițin); substrat *cioară (comp. alb. sorrë) > roum. cioară (aroum. cioară); lat. gelu > roum. ger (aroum. dzer); lat. geminus > roum. geamăn (aroum. dzeamin);

substrat *argea (comp. macéd. argella) > roum. argea (aroum. -); lat. ustia > roum. uşă (aroum. uşe); lat. sedere > roum. şedea (aroum. şed); substrat *şopârlă (comp. alb. shapi) > roum. şopârlă (aroum. -); lat. iudicium > roum. județ (aroum. giudețu); lat. iugum > roum. jug (aroum. giug); substrat *ghiuj (comp. alb. gjysh) > roum. ghiuj (aroum. ghiuş)

Les palatales **k', g'**:

lat. clamare > roum. chema (aroum. cl'em); lat. oculus > roum. ochi (aroum. ocl'iu); substrat *arichiță (comp. alb. ajkë) > roum. arichiță (aroum. -); lat. glacia (< glacies) > roum. gheață (aroum. gl'eață); lat. vigilia > roum. veghe (aroum. vegl'iu <mi> = veghez); substrat *ghionoaie (comp. alb. gjon) > roum. ghionoaie (aroum. ghion).

En ce qui concerne la situation spéciale du **h**, disparu (éliminé) en latin et expliqué par son emprunt du slave, sa conservation dans le substrat, où on le retrouve dans les toponymes, les hydronymes, les noms de personnes: Helivacia, Helis, Heptapor, Histria, Histros, ou encore dans des mots qui ont été conservés en roumain: hameş, hurduca, lehăi, constitue une explication satisfaisante et suffisante.

Par conséquent, le système phonétique du roumain était déjà constitué intégralement au moment de la réception des influences étrangères, n'ayant aucun point faible qui aurait permis de le compléter ou le soutenir, tant dans le secteur des conservations du latin, que dans le secteur des nouveaux phonèmes, tous dérivant du fond latino – dacique (le substrat et le strat).

Dans la perspective de la synthèse que nous venons de présenter, le «superstrat» et l'adstrat ne sont pas arrivés sur un terrain déficitaire, faible ou incomplet, mais bien sur un terrain cristallisé et solide.

Le «superstrat» et l'adstrat se sont donc adaptés aux réalités du roumain, langue déjà constituée et en position de force par rapport à ceux-ci et dont elle n'a rien reçu dans son système.

Ainsi, l'influence antique slave, appelée «superstrat», n'a pas eu ce rôle dans le système phonologique du roumain, n'ayant aucune contribution dans sa constitution.

Dès lors, les conceptions qui indiquent comme source des phonèmes du roumain le superstrat et l'adstrat, à côté du fond latin et de l'élément autochtone, ne sont pas motivées, car au moment de la réception des influences étrangères, le système phonétique était déjà constitué.

Le superstrat et l'adstrat n'ont fait que s'adapter à la réalité du roumain, ne contribuant en rien à son enrichissement ou à son «parachèvement» .

Abréviations
alb.= l'albanais, la forme albanaise
aroum. = l'aroumain, le dialecte aroumain
comp. = comparez avec
lat. = la forme latine
macéd. = le macédonien, la forme macédonienne
roum. = le roumain, le dialecte dacoroumain

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DEICTICS IN HAROLD PINTER'S *"NO MAN'S LAND"*

DIANA-VIORELA IONESCU

ZUSAMMENFASSUNG. Indem es grundlegende Anspielungen auf Teilnehmerrollen macht, ist Deixis, als ein rein pragmatisches Konzept, sehr verbunden mit dem Kontext der Äußerung. Nach Person, Zeit, Ort, Diskurs und soziale Identitäten gruppiert, entlasten die deiktischen Ausdrücke den Leser, von der sonst unmöglichen Aufgabe des Verständnisses des gesamten Sinnes des Theaterstücks. Jedoch ist Deixis nicht nur ein Moderator, sondern auch eine mentale Herausforderung für jeden Teilnehmer, in einer konkreten Gesprächsituation. Der dramatische Diskurs in *No Man's Land,* von Harold Pinter, der britische Dramaturg und 2005 Nobel – Preisgewinner, ist der Hintergrund gegen welchen die Analyse der deiktischen Äußerungen durchgeführt wird. Trotz der Tatsache, dass die Gespräche im Bann einer erdichteten Welt wahrgenommen werden, behalten diese den Muster natürlich vorkommenden Gespräche, weil „das dramatische Dialog den Sinn der Wörter oder anderer sprachlichen Elemente nicht ändert" (Searle, 1969: 79). Eigentlich „bietet das dramatische Dialog eine hervorragende Quelle an, zur Erklärung der grundsätzlichen Muster der alltäglichen Konversation" (Simpson, 1997: 130).

1. TYPES OF DEIXIS

Stephen C. Levinson described **deixis** as being concerned with "the ways in which languages encode or grammaticalize features of the context of utterance or speech event" (1991: 54). It holds true that utterances are always anchored in a context, they do not appear in isolation, nor do they have complete meaning out of a certain context. Meaning is "something which is performed, rather than something that exists in a static way. It involves action (the speaker producing an effect on the hearer) and interaction (the meaning being 'negotiated' between speaker and hearer on the basis of their mutual knowledge) – Leech, 1990: 320.

For instance, the statement: *As it is?* (p. 77) creates puzzlement on the part of the hearer, who cannot make head or tail of this utterance: *it* has no reference, while the question seems to have missing parts; still, as soon as it is re-contextualized, it reads as Hirst's offer of pouring whisky for his guest, Spooner. Thus, the context implies "a set of pragmatic indices, co-ordinates or reference points [...] for speakers, addressees, times of utterance, places of utterance, indicated objects, and whatever else is needed" (Levinson, 1991: 58). At the same time, "the 'meaning' of an utterance is a function from contexts (sets of indices) to propositions, which are in turn functions from possible worlds to truth values" (ibid., 59).

In *No Man's Land*, deictic expressions are of utmost importance. As the name suggests, they point to or indicate a tight relation between the uttered words and the context, out of which these "indexicals" (Levinson, 1995: *passim*) would have no sense whatsoever. Time and place adverbials, pronouns and demonstratives are devoid of any meaning when separated from the context of utterance. A statement like *And I wonder at you, now, as once I wondered at him. But will I wonder at you tomorrow, I wonder, as I still wonder at him today?* (p. 88) can be interpreted only in its context; the key-words, *I*, *you*, *him*, *now*, *tomorrow*, *today*, are just meaningless linguistic units, with a grammatical value (personal pronouns and time adverbs). When decoded contextually, *I* refers to Spooner, *you* to Hirst, *him* to a Hungarian émigré, while the adverbs represent temporal points in relation to the time of utterance. The types of deixis classify according to the so-called *deictic centre* (Levinson, 1995: *passim*), namely "the central person = the speaker, the central time = the time at which the speaker produces the utterance, the central place = the speaker's location at the utterance time, the central discourse and the social centre = the speaker's social status and rank" (ibid., 64). In other words, "deixis is organized in an egocentric way" (ibid., 63). We will follow Levinson's classification of indexicals, namely person deixis, place and time deixis, discourse and social deixis.

Person deixis is defined as "the encoding of the role of participants in the speech event" (Levinson, 1995: 62), namely the first person pronouns ("the grammaticalization of the speaker's reference to himself"), second person ("the encoding of the speaker's reference to one or more addressees") and third person pronouns ("the encoding of the speaker's reference to persons and entities which are neither speakers, nor addressees") – ibid. The last type of person deixis may also include "overhearers and non-addressed participants" (ibid., 72).

Place deixis represents "the encoding of spatial locations relative to the location of the participants in the speech event" (Levinson, 1995: 62). It refers to place adverbials, such as *here* and *there*, demonstratives – *this* and *that*, and also to "motion-verbs that have built-in deictic components" (Levinson, 1995: 83), like *take* and *bring*, or *go* and *come*. They point to a proximal and respectively, to a distal relation established among characters. Brown and Levinson described the verb *come* as being "licensed by an association of speaker or hearer with a place" (1996: 122), having a "participatory connotation" (ibid.), while *go* as a "distancing device" (ibid.).

Lyons found an extra-type of deixis, namely the **empathetic deixis** (in Levinson, 1995: 81), which heavily draws on place deixis, since *this* expresses empathy, and *that*, "emotional distance" (ibid.).

Time deixis, "the encoding of temporal points and spans relative to the time at which an utterance was spoken" (Levinson, 1995: 62), takes into account the "coding time (CT), namely the moment of utterance, and the

receiving time (RT), the moment of reception" (ibid., 73). In *No Man's Land*, there are three different periods of time, namely "the brooding present, the recent past and a period long ago" (Billington, 1996: 198). Thus, in our analysis, we will tackle upon the verbal tenses and especially, the time adverbials, *now – then*, *yesterday – today –tomorrow*.

Discourse deixis is "the encoding of reference to portions of the unfolding discourse in which the utterance is located" (Levinson, 1995: 62). In fact, such discourse indexicals borrow terms from time and place deixis, such as *in the last paragraph, in the next chapter* (ibid., 85) or *this* and *that*.

Social deixis refers to "the encoding of social distinctions that are relative to participant-roles, particularly aspects of the social relationship holding between speaker and addressee(s) or speaker and some referent" (ibid., 63). There are quite few social indexicals in the play (polite forms and titles of address), but they emphasize the changing of the social roles in terms of the context-dependent value of power. As a matter of fact, Pinter views the human relationships "as a quest for dominance and control in which the power-balance is capable of reversal" (Billington, 1996: 56).

There are also different usages of deictic terms, which are called "deictic (gestural and symbolic) and non-deictic (non-anaphoric and anaphoric)" (Levinson, 1995: 68), the last two having by far more representations in the play (p. 66):

"a. *You*, *you*, but not *you*, are dismissed. - gestural usage
b. What did *you* say? - symbolic usage
c. *You* can never tell what sex they are nowadays. - non-deictic usage"

2. THE ROLE OF DEICTIC EXPRESSIONS IN PINTER'S *NO MAN'S LAND*

The two acts of the play shed light on "Spooner's attempt to penetrate Hirst's booze-cocooned defences, to outflank his sleekly sinister servants, Foster and Briggs, and to find a way of establishing himself permanently in this carpeted mausoleum" (Billington, 1996: 244). Hirst is considered the master who everybody around wants to attend to, yet Spooner is a guest in his house, so the latter must be served, too. However, the relations of friendship and servitude established among the participants are easily invertible.

As suggested before, there are four people present in the play: Spooner, Hirst, Briggs and Foster, and also some absent ones, which are only mentioned in the conversations: Emily Spooner, Arabella, Stella (all embodiments of the unfaithful woman), a Hungarian émigré, and all the nameless inhabitants in Hirst's 'no man's land'. At the beginning, when Spooner comes to Hirst's house, he is very polite towards his friend's duties as a host, but he hardly seems to give the latter any chance to interfere in

the discussion. Their conversation, which can easily be called a quasi-monologue (Spooner does most of the talking) unfolds naturally, while they both empty glass after glass of spirits. Spooner's lengthy paragraphs are replied by Hirst's one-word or echoing statements, this to be later replaced by a reversion of turns in speaking. Thus, speakers refer to themselves as *I*, they address their interlocutors with *you*, and make references to third parties, from which they exclude themselves, using *he / she* (singular) or *they* (plural). For instance, Spooner takes great pride in using the first person pronoun; he always talks about himself and his qualities. In order to lay end-stress on the deictic centre, he starts one of his conversational moves with the third person plural:

> What they possess is not strength but expertise. They have nurtured and maintain what is in fact a calculated posture. Half the time it works. It takes a man of intelligence and perception to stick a needle through that posture and discern the essential flabbiness of the stance (p. 78),

only to include himself in it: I am such a man. The seeming distancing from his own person is, in fact, only a strategy of getting more attention to himself.

In Hirst's view, the use of different deictical expressions of person, place and time, depends on the degree of familiarity and also to what extent he remembers the people in his house. When he speaks from beyond reality, from 'no man's land', he uses deictical expressions with no concrete reference:

> There's a flood running through me. I can't plug it. They're blotting me out. Who is doing it? I'm suffocating. It's a muff. A muff, perfumed. (p. 108)

Hirst's utterances also illustrate the empathetic deixis, *It's a long time since we had a free man in this house.* (p. 83), the proximal demonstrative *this* suggesting that he feels close to his home. His interlocutor's question, *We?*, makes use of person deixis, since from what Spooner knows, Hirst lives alone. The latter corrects himself, by replying *I*. Yet, we should take into consideration the use of the first person singular and plural, the reason being that the further the play unfolds, the more aware we become of the fact that Hirst does not live alone, but with his two servants, Briggs and Foster.

The verbal tenses (past versus present or future) also account for the closeness or distance in time. There is a so-called "time and place switch" (Brown and Levinson, 1996: 120-121), represented by "a tense shift from past to present tense – the vivid present" (ibid., 120) and also "the use of proximal rather than distal demonstratives" (ibid., 121), all suggesting empathy and involvement (empathetic deixis):

He's got the Post Office Tower in his vision the whole time. All he's got to do is to reverse into the underground car park,[...] Anyway, I took all this trouble with him because he had a nice open face. (p. 120-121)

In what place and time deixis are concerned, there are two spaces, namely reality (the house and the room – belonging to the present; the pub, the summer house, the café – belonging to the past) and Hirst's imaginary world (mostly open places, linked to the forest and water). Time fluidly unfolds on the three levels: past – present – future:

Spooner: May I say how very kind it was of you to ask me in? In fact, you are kindness itself, probably always are kindness itself, now and in England and in Hampstead and for all eternity. (p. 79)

Spooner uses two place adverbials, *England* and *Hampstead*, the first one being a spatial inclusive of the second one, and three time adverbials, the particular *now*, "the time at which the speaker is producing the utterance containing now" (Levinson, 1991: 73), and the general *always* and *for all eternity.*

The distancing can be made both in time and place: the characters set a distance between their past (usually a happy one, in Foster and Spooner's case), their imaginary world (Hirst) and reality (summer, night and morning). We ought to mention that, due to his state, Hirst is used to spending more time in the past, or in a parallel time and space, rather than in the present. Nevertheless, all characters seem to be quite fond of their past, which they happily remember:

Hirst: Do you find it as beguiling a public house now as it was in the days of the highwaymen [...]? (p. 85)

Spooner: On that summer evening, led by him, I first appreciated how quiet life can be. [...] My expectations in those days, [...] (p. 85)

On the other hand, there are movements in the concrete space of the house, more specifically in the room (the characters go out or come in, they give or take drinks):

He goes to the cabinet. (p. 84)
SPOONER brings HIRST his glass. (p. 85)
SPOONER takes the glass, pours whisky into it, gives it to HIRST. (p. 89)
Spooner: Quite right. However, I left home soon after. (p. 89)
Briggs (to Spooner): Come here. (p. 112),

all depending on where the deictic centre is situated.

Another good example of the complex use of deixis and its dependency on the context is once again provided by Spooner:

What he said ... all those years ago ... is neither here nor there. It was not what he said but possibly the way he sat which has remained with me all my life and has, I am quite sure, made me what I am.
Pause
And I met you at the same pub tonight, although at a different table.
Pause
And I wonder at you, now, as once I wondered at him. But will I wonder at you tomorrow, I wonder, as I still wonder at him today?(p. 87-88)

If we are to make a detailed analysis of the deictical expressions in Spooner's discourse transaction, it would look like the following:

Person deixis: 1st person – *I, me, my* (Spooner = speaker inclusion)
2nd person – *you* (Hirst = addressee inclusion)
3rd person – *he, him* (Hungarian émigré = speaker and addressee exclusion)

Time deixis: *those* years *ago* (distal demonstrative + past adverbial)
once (past adverbial - distal)
tonight, now, today (present adverbials - proximal)
tomorrow (future adverbial – distal)
said, was, sat, met, wondered (past tense – distal relation)
has remained, has ... made (present perfect – connection between past and present)
is, am, wonder (present tense – proximal relation)
will ... wonder (future tense – distal relation)
here, there (place adverbials used as distant /close relation in time)

They are all expressed in reference to the deictic centre, and "the deictic words *yesterday*, *today* and *tomorrow* pre-empt the calendrical or absolute ways of referring to the relevant days" (Levinson, 1991: 75).

The discourse deixis is frequently used by Spooner, who tends to keep a distance from the chunks of discourse he makes reference to:

Spooner: I shan't stay long. I never stay long, with others. They do not wish it. And that, for me, is a happy state of affairs. (p. 79)
Spooner: You're most acutely right. All we have left is the English language. Can it be salvaged? That is my question. (p. 80)
Spooner: Really? That doesn't mean I interest you, I hope?
Hirst: Not in the least.
Spooner: Thank goodness for that. For a moment my heart sank. (p. 82)
Hirst: Would you like to use it? [the mug] Would you like some hot refreshment?
Spooner: That would be dangerous. I'll stick to your scotch, if I may. (p. 84)

In these examples, there is an "endophoric relation, ... interpretation lies within a text" (Brown and Yule, 1989: 193), more specifically, an anaphoric one; the distal demonstrative *that* refers back in the flow of speaking, to the others'

not wishing Spooner to stay long with them, to the language being salvaged, to Hirst's non-interest in him and to his possible wanting hot refreshment.

Nevertheless, he uses more discourse deictical expressions in Act Two, in what seems to be a leit-motif:

> I have known this before. Morning. A locked door. A house of silence and strangers.(p. 117)
>
> I have known this before. The door unlocked. The entrance of a stranger. The offer of alms. The shark in the harbour. (p. 118)
>
> I have known this before. The voice unheard. A listener. The command from an upper floor. (p. 126)

This time, there is a "cataphoric relation" to parts of discourse; the reference comes after the proximal demonstrative *this*, which thus precedes it. Spooner feels closer to the moment and place of utterance, as if being part of the 'family'. His discourse here resembles the dream-like, eerie speeches specific to Hirst.

The social deixis has only a few samples in *No Man's Land*. Foster's vocatives, accompanied by attention-getters, *Hey scout* (p.110) and then *Listen chummybum* (p. 111), addressed to Spooner, imply the former's relative authority over the latter; Foster is already Hirst's servant, a position that Spooner wishes to have too. However, later on he tries to come closer to Spooner, by choosing "in-group identity markers" (Brown and Levinson, 1996: 107), a strategy of positive politeness, such as *my friend* (p. 112) and once again *friend* (p. 142).

At some point, Briggs addresses with *mate* (p. 137) to Hirst, a term which denotes his sympathy and his helplessness towards his master, whose existence already belongs to a different world: *They're blank, mate, blank. The blank dead.* (about Hirst's would-be friends in his album). Briggs becomes polite afterwards, when he resumes his duties: *A drop for you, sir?* (p. 142) and *I'll join Mr. Friend, if I may, sir?* (ibid.), namely offering and asking for permission.

Although Hirst considers Spooner his equal, *Tonight ... my friend ... you find me in the last lap of a race ... I had long forgotten to run.* (p. 94), Spooner addresses him with *my lad*, thus somebody who needs guidance and needs to be initiated in life. The vocative of equality used by Briggs and Hirst is turned now into a vocative of inferiority, *You need a friend. You have a long hike, my lad, up which, presently, you slog unfriended.* (p. 95).

After discussing about a delicate topic in their lives (Hirst's betrayal with Spooner's wife and Spooner's affair with a friend of Hirst's), the two old friends tend to widen the social distance between them. After damaging their 'face' by the directness of the things confessed, they now try to redress it by keeping the distance, which reads in the use of the deictical expression, *sir*:

> Spooner: Oh, my dear sir, may I remind you that you betrayed Stella Winstanley with Emily Spooner, my own wife ...?(p. 134)

It is you, sir, who have behaved scandalously. (p. 135)
Hirst: I, sir? Unnaturally? Scandalously?
[...] You were no farmer, sir. A weekend wanker. (ibid.)

The use of "relational deictic information, the addressee honorifics" (Levinson, 1995: 90), points to the newly-created embarrassing situation: the cosy room and the good friend have changed into a hostile battlefield. Also, the application of expressives here (accusing) and directives (questioning) "may reflect divisions and tensions between one social group and another" (Leech, 1990: 52).

3. CONCLUSIONS

After reading a play by Harold Pinter, one will surely realize that "there can be no hard distinctions between what is real and what is unreal, nor between what is true and what is false." (Pinter, 1989: 11). Even if the characters' discourses sometimes tend to sound artificial, due to the highly formal words and expressions, as well as to their metaphorical value, they mostly unfold in the most natural way possible, since the characters do not feel constrained to use only neat language, but they even use colloquial and taboo language. To be more specific, the playwright "made us realise that poetic drama could be mined out of real demotic speech" (Hall, in Billington 1996: 391).

As the object of interest in the article, deixis emphasized once again its dependency on the context. Described as "the encoding of many different aspects of the circumstances surrounding the utterance" (Levinson, 1991: 55), deictical expressions are maybe one of the purest pragmatic concepts, on which the readers must heavily rely for an accurate decoding of utterances.

All things considered, what may have seemed a futile attempt for a pragmatic approach to a fictional work turned out to be quite an interesting and challenging task. "Offering fruitful insights into aspects of naturally occurring coversation" (Simpson, 1997: 131), this kind of a play dialogue, often labelled as "'absurdist', [was] an especially productive tool for foregrounding the routine and commonplace in verbal interaction" (ibid., 130).

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ESPAÑA, 1898: LAS PARADOJAS DE UNA ¨GENERACIÓN LITERARIA"

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RESUME. La Génération espagnole de 1898 se fait tour dans un contexte historique déterminé, marqué par la notion de «crise»: La défaite de l´armée hispanique à la suite de la guerre contre les Etats-Unis. Les représentants de cette Génération éprouvent, et par un maximum d´acuité, l´angoisse existentielle engendrée par ces circonstances historiques bien tragiques.

Une forte polémique s´est déclenchée autour de ceux-ci, puisqu´un grand nombre d´exégètes ont mis en doute leur intégration sous l´emblème d´un groupe cohérent et unitaire. Par la suite, on va présenter une histoire brève et concentrée de cette polémique et, en guise de conclusion, on considère qu´il convient de maintenir, pour l´historiographie littéraire la notion de «Génération de ´98» comme telle.

Situada en la línea divisoria entre los siglos, la Generación española de 1898 surge en un momento histórico definible a través de un único concepto fundamental: el de *crisis*. Se trata de una crisis general que se manifiesta en todos los niveles de la sociedad española de finales de siglo XIX y principios del siglo XX, es decir, tanto en plano socio-político y económico, como también en plano cultural-artístico y literario[1]. Una crisis que, sea dicho de paso, es muy semejante a la por la cual pasa hoy Rumanía.

Desde el punto de vista histórico, España atraviesa uno de los momentos más difíciles de toda su historia, el desastre militar en la guerra contra Estados Unidos que tiene lugar en 1898 y en el cual toda la armada española queda destruída, hundida en las aguas del Pacífico. Esta derrota, que para la gente simple pasa casi inadvertida, iba a alcanzar proporciones de verdadera tragedia nacional en las conciencias más sensibles del tiempo, no tanto de los políticos, cuanto de los hombres de cultura, de la intelectualidad en general. Para éstos, la derrota sufrida y su consecuencia inmediata (la pérdida de los últimos territorios del inmenso imperio colonial:

[1] El conocido hispanista Donald Shaw afirma la idea de la preponderancia del aspecto psicológico de esta crisis sobre el aspecto socio-económico, sobre todo cuando se trata de las individualidades destacadas que componen la Generación del 98: "Estoy convencido de que el significado de la Generación del 98 tiene menos que ver con las condiciones político-sociales de España de fines del siglo pasado de lo que a veces parece y mucho más con aquella ´crise de conscience européenne´cuyos orígenes, según Paul Hazard, se remontan al siglo XVIII" (Donald Shaw, *La Generación del 98*, Ed. Cátedra, Madrid, 1977, p. 12).

Cuba, Puerto Rico y Filipinas) significaría el final de toda una época heroica, gloriosa, iniciada por los Reyes Católicos y continuada, después, por los monarcas del la dinastía de los Habsburgos que llegó a crear, a lo largo de todo el siglo XVI el grandioso imperio golonial, un imperio en que, como le gustaba a Carlos V decir, "el sol no se ponía nunca".

Ahora, en el año de gracia 1898, el sol parecía haberse puesto definitivamente para España. Paulatinamente, la conciencia de la crisis y de la decadencia total, se va haciendo lugar, acentuada por el declive económico y el fracaso de las instituciones políticas del régimen impuesto por la Restauración; de modo que esta conciencia de la crisis llega hasta los límites y las dimensiones trágicas de una verdadera catástrofe nacional y los intelectuales y, en primer lugar, los representantes de la Generación del '98 serían la portavoz de esta conciencia trágica, marcada por rupturas y desgarramientos en plano existencial. Pero, a la vez, de esta conciencia trágica surgiría toda una problemática de su creación literaria, definida por exasperantes interrogaciones que superan el marco estrictamente nacional y regionalista para alzarse – como en Unamuno-, a la altura de meditaciones filosófico-metafísicas de alcance univesral y general-humano. Y en esto consiste, de hecho, uno de sus mayores méritos: en haber sabido superar los límites estrictamente geográficos y específicos para llegar a lo trascendental y a lo universal realizando, de este modo, por sus obras, la apertura de España a la gran cultura europea y mundial y en haber sabido, también, reflejar de una manera extremadamente sugeridora el anarquismo espiritual de todo un siglo de cultura europea.[2]

Por tanto, vale la pena retener este dato fundamental, y es que la Generación de 1898 hace su espectacular entrada al escenario de la cultura española en este fondo de profunda crisis generalizada y extendida a todos los niveles de la sociedad. Pero, conviene destacar –y ésta es una primera paradoja-, en plano cultural-literario, la Generaciñon del '98 representa una verdadera revolución, produciendo un espectacular número de obras maestras, tanto que no es exagerado afirmar que nos hallamos delante de un nuevo *Siglo de Oro* de la literatura española. Basta, para demostrarlo, presentar un breve cuadro de la literatura inmediatamente anterior, para que sirva como término de comparación. Es fácil observar que esta literatura había

[2] "(…) si la Generación del 98 constituye un grupo literario importante, su importancia estriba menos en lo que nos enseña acerca del estado en que se encontraba España durante las primeras décadas de nuestro siglo, que en su expresión de la forma española de la *Weltanschauung* europea de aquel período". "(…) cuanto más vemos en la Generación del 98 un grupo preocupado sobre todo por la desorientación espiritual del hombre moderno y por el derrumbe de sus valores y creencias, tanto más se le puede situar en una de las corrientes principales de la literatura europea moderna. El hecho de que los noventayochistas viesen (…) una estrecha conexión entre el problema de España y la crisis espiritual moderna, no lleva consigo que nosotros no debamos distinguir el uno de la otra" (Donald Shaw, *ob. Cit.*, p. 13).

llegado a un callejón sin salida, atravesando, ella también, como toda la sociedad, un período de estancamiento, de búsquedas y tanteos, de autosatisfacción injustificada en una atmósfera tibia y aburrida; una literatura que no planteaba grandes problemas ni para los creadores, ni para los lectores. Se trata, en primer lugar, de la corriente llamada "realista", con su variante de inspiración francesa, el naturalismo, ambas bien representadas en el territorio español por una pléyade de autores no exentos, sin embargo, de cierta originalidad, tales como Pardo Bazán, Clarín, Blasco Ibáñez, creadores de una especie de *novela experimental y psicológica* de procedencia zoliana o dostoyevskiana pero de inconfundibles rasgos regionalistas hispánicos. Pero tanto el realismo, como el naturalismo, había llegado a un momento de agotamiento de sus posibilidades expresivas tanto en lo que concierne el temario como también en el plano de las técnicas estilísticas (ver, por ejemplo, el regionalismo descriptivista de sabor posromántico de Pereda[3] o los cuentos fantástico-moralizadores de Juan Valera). Ni los realistas ni los naturalistas impresionan ni por su diversidad -o,–mejor dicho, falta de diversidad-, temática, ni tanto menos por su técnica literaria (de notar la fata total de innovaciones en este dominio). Incluso el mayor novelista realista español, Galdós, no logra salir, sino en muy contados casos, del cauce moldeador, dador de fórmulas narrativas fijas, del realismo de tipo balzaciano (narración objetiva en tercera persona, descripción minuciosa, fotográfica de la realidad, perspectiva del autor omnisciente, demiúrgico, coordenadas cronotópicas exactas). Tenemos que ver, pues, con autores que fácilmente podrían ser tachados si no con el calificativo peyorativo de epigónicos, por lo menos con el, no menos desalentador, de conformistas que descartan cualquier intento de innovación. En este contexto, los autores del '98 representan un increíble cambio de rumbo, impresionante por su carácter espectacular, tanto en el aspecto temático como, sobre todo, en el aspecto formal, donde traerán contribuciones decisivas, sustanciales. De este modo ellos revolucionan no sólo la técnica de la novela, con autores como Unamuno y Valle-Inclán, sino también la dramática (el teatro *esperpéntico* de Valle-Inclán), la de la poesía, con A. Machado o la del ensayo (otra vez, Unamuno).[4]

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[3] Sobre el conflicto con "la Generación anterior" –la de los escritores "realistas"-, Azorín aduce un testimonio significativo: "El movimiento de protesta comenzaba a inquietar a la Generación anterior. (…). Señales de ello vemos, por ejemplo, en 1897; en febrero de ese año, uno de los más prestigiosos escritores de la generación anterior –José María de Pereda- lee su discurso de recepción en la Academia Española, La obsesión persistente de la literatura nueva se percibe a lo largo de todas esas páginas arbitrarias. Pereda habla en su trabajo de ciertos *modernistas* partidarios del cosmopolitismo literario; contra los tales arremete furiosamente" (Azorín, *Clásicos y modernos*, cit. Por Arturo Ramoneda, *Antología de la literatura española del siglo XX*, Sociedad General Española de Librería, S. A., Madrid, 1988, p. 85).

[4] En la opinión de Pedro Salinas es exactamente el espíritu de innovación lo que relaciona a la Generación del ´98 con la corriente contemporánea y, en cierta medida complementaria, del

Un problema que dio lugar a una prolongada polémica, y que constituye, de hecho, *la gran paradoja* de esta Generación es el que concierne sus *rasgos comunes*, es decir, lo que unifica a estos escritores con personalidades totalmente diferentes, a veces individualistas hasta el exclusivismo y la intolerancia[5]. Hasta hoy en día el problema no ha sido resuelto, en el sentido de que no existe uina unidad de opiniones entre los críticos en lo que concierne la pertenencia de algunos de estos escritores a dicha Generación. En efecto, si planteáramos el concepto de Generación en su acepción clásica, veríamos que las objeciones aducidas se justifican. Como se sabe, por lo menos a partir de Zola y el naturalismo, una Generación o escuela literaria supone algunos elementos definitorios indispensables, entre los que no pueden faltar, por ejemplo, la existencia de un líder espiritual, jefe de generación, la existencia de un programa común[6] o de una doctrina, la existencioa de los miembros que expresen su adhesión, aceptando este programa y asumiendo la obligación de realizarlo. Tiene lugar, por tanto, una especie de inscripción, como bajo la bandera de un partido político. Ahora bien, no se trata de eso, ni mucho menos, en el caso de la Generación del '98 (la seguiremos llamando así, para simplificar), que representa un conjunto muy heterogéneo de individuos dotados de fuertes y singulares personalidades. Entonces, ¿de qué Generación hablamos, si existen más rasgos diferenciadores que unificadores?[7] Carlos Bousoño, por ejemplo, recurre a un argumento aparentemente paradójico, cuando descubre como rasgos comunes de estos escritores los elementos mismos que, a primera vista, parecería separarlos, es decir: el individualismo extremado, la conciencia de la unicidad personal y de la diversidad del grupo. Se trataría, pues, de una paradójica

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Modernismo: "El primer parecido que advertimos entre los dos movimientos es de orden genético. Ambos nacen de una misma actitud: insatisfacción con el estado de la literatura en aquella época, tendencia a rebelarse contra las normas estéticas imperantes, y deseo, más o menos definido, de un cambio que no se sabía muy bien en qué había de consistir" (*Literatura española, Siglo XX*, Madrid, Alianza, 1970, pág. 13).

[5] Este "individualismo anarcoaristocrático", como acertadamente lo define Gonzalo Sobejano, inspirado, al parecer, en el ideario de Nietzsche, "se define en una palabra que (…) preside todos sus esfuerzos: Voluntad. Ganivet diagnostica la enfermedad de España *abulia*, y crea un Hércules moral y un escultor prometeico de su alma. Unamuno opone al *marasmo* la energía orientada al porvenir, el instinto de invasión y de ser más, la caridad dominadora" (*Nietzsche en España*, Madrid, Gredos, p. 482).

[6] "¿Había algo de común en la Generación del 98? Yo creo que nada. El único ideal era que todos aspirábamos a hacer algo que estuviera bien, dentro de nuestras posibilidades" (Pío Baroja, *Obras completas*, Madrid, Biblioteca Nueva, 1976, tomo V, pág. 1241).

[7] La conclusión de Baroja es entre irónica y escéptica: "Así, pues, joven profesor, si piensa usted publicar un manual de literatura española, puede usted decir, al hablar de la mítica Generación del 98, sin faltar la verdad: primero, que no era una Generación; segundo, que no había exactitud al llamarla de 1898; tercero, que no tenía ideas suyas; cuarto, que su literatura no influyó, ni poco ni mucho, en el advenimiento de la República, y quinto, que tampoco influyó en los medios obreros, donde no llegó, o, si llegó, fue mal acogida" (*Ibid*., p. 1244).

diversidad unificadora. Cada uno de ellos es un autor profundamente original, radicalmente original. No se asemeja – por lo menos desde el punto de vista estrictamente formal de sus obras – a ningún otro del grupo y a ninguno de sus predecesores. Conviene destacar, sin embargo, que tal unicidad – en sentido de originalidad- se manifiesta casi exclusivamente en el plano de la expresión artística, es decir, de la forma o, más exactamente, de las fórmulas estilñísticas y retóricas usadas. Así, por ejemplo, una *nívola* de Unamuno no se parece – o en muy poco se parece- a una novela de Pío Baroja o a las *Sonatas* de Valle-Inclán; son como especies diferentes en el reino tan diverso y abigarrado de las creaciones literarias contemporáneas, mientras que, para llevar más lejos la analogía con el mundo biológico, podríamos afirmar que las novelas de Galdós, Pereda, Valera, Blasco Ibáñez, Palacio Valdés y otros predecesores son como individuos de la misma especie.[8]

Otro crítico que se esforzó, con mejores resultados, según nuestra opinión, en buscar y descubrir rasgos comunes a los miembros de la Generación del '98 fue Pedro Laín Entralgo, quien encuentra algunos aspectos unificadores dignos de mencionar por su ingeniosidad:

1. El lugar de nacimiento, origen o procedencia que, para todos es no castellano, *ex-céntrico*. Los componentes de la Generación del '98 son todos unos *excéntricos*, en el sentido de que nacen fuera del centro histórico de España (que es Castilla), es decir, en las provincias; son unos provinciales que, sin embargo, se sienten atraídos, como por un gigantesco imán, por la capital de España, del país-madre, Madrid, hacia la cual *convergen* a la edad adolescentina, estudiantil. Así proceden Unamuno y Baroja, llegando desde el País Basco, Antonio Machado y Azorín desde Andalucía, Valle-Inclán desde Galicia[9].

2. Todos descubren o, mejor, *re-descubren*- con asombro y encantamiento *el paisaje castellano*, constituyendo este descubrimiento, para ellos, una verdadera revelación espiritual, por cuanto se trata de una manera propia, original de acercarse al paisaje, de entenderlo, que nada tiene que ver con la contemplació extática de índole romántica. Para todos estos

[8] "Los prosistas de la Generación del 98, dentro de una gran disparidad, ofrecen entre sí coincidencias fundamentales que los separan de la literatura anterior. Cada escritor pone en su lenguaje huellas personales inconfundibles, mucho más señaladas que las apreciables en los novelistas del realismo" (Rafael Lapesa, *Historia de la lengua española*, Madrid, Gredos, 1985, pág. 447).

[9] La idea de "ex-centricidad" no tiene nada de peyorativo, al contrario; ella es apoyada tambiën por otros críticos: "Los escritores principales de la Generación del 98 son todos, según siempre se ha dicho, periféricos. (…). Pero me atrevo a decir que estos autores son 'periféricos' en otro sentido tal vez más significativo: en cuanto que todos son pequeño-burgueses están al margen tanto de la clase dominante en su juventud como de la clase trabajadora y de la casta intelectual burguesa progresista (…). Así entran al mundo de las letras sin la protección de los unos ni de los otros y con una vaga conciencia de marginalidad (…)" (Carlos Blanco Aguinaga, *Juventud del 98*, Barcelona Crítica, 1978, pág. 8).

escritores, observa Laín Entralgo, el paisaje castellano representa “una visión y una pasión de España”[10]. Una visión profunda y radicalmente subjetiva e idealista (de hecho, como vimos, el subjetivismo radical y el idealismo son rasgos temperamentales característicos de los miembros de esta Generación). Estamos muy lejos del paisaje llamado “objetivo” o “agreste”, realista y fotográfico que encontramos en Pereda o en otros autores de novelas naturalistas. Esta vez, entre el contemplador y el paisaje se interpone, a guisa de pantalla deformadora, toda una historia cultural y toda una filosofía. La contemplación del paisaje despierta en la conciencia de ellos los recuerdos aún vivos del pasado glorioso, heroico, tanto en historia como en literatura, tanto en el mundo real como en el de la ficción: la figura del Cid Campeador, la de Don Quijote, de la Celestina, al lado de las figuras históricas de los que realizaron la Reconquista , el descubrimiento y comquista de las Américas. Por tano, historia y ficción, imaginación y realidad se unen en una síntesis inextricable. Esta exaltación del pasado glorioso aparece, empero, puesta en contraste con la situación actual en que el elemento humano se halla, más bien, en la postura de factor perturbador, que afea el paisaje en vez de embellecerlo.

3. La atracción del *centro*, de la capital: todos visitan la capital y pasan ahí parte de su vida, caracterizada por una máxima efervescencia cultural.

4. El *anticlericalismo y anticatolicismo* que, a excepción de Unamuno, llega, bajo el influjo de ciertas ideologías finiseculares, hasta la situación extremada de renegación total de la fe, al ateísmo (el caso de Baroja, por ejemplo). Este sentimiento antirrelogioso podría tener sus raíces en el período de juventud de dichos autores, en la atmósfera cultural en que se educaron; nos hallamos en el período del florecimiento del positivismo filosófico con su culto a las ciencias exactas y rechazo de lo misterioso: En 1864 Darwin había publicado su célebre libro sobre *El origen de las especies*, un poco antes había aparecido el *Curso de filosofía positiva* de Auguste Compte, en que el autor francés hace la apología de la ciencia, a la que considera capaz de responder a todas las preguntas y de resolver todos los problemas de la humanidad, en su infinita marcha progresista hacia un futuro feliz. La coconsecuencia nefanda de esta especie de educación en espíritu positivista, con su corolario inevitable, la pérdida de la fe, sólo podría ser aniquilada con inmensos sufrimientos espirituales en el caso de uno de ellos, Unamuno, y esto sólo al cabo de una crisis esptiritual espectacular, que había de trastornar todo su ser. Todos los demás – o, la mayoría – empiezan por ser secuaces declarados del

[10] “Y cuando sale de su mundo interior, el paisaje por donde pasea sus interrogaciones es la tierra eremítica y grave de Castilla, la amada de Unamuno, de Azorín, de Baroja y de Machado. Un viento austero y seco, de alta meseta, corre por entre los escritos de los hombres del 98 (…)” (Pedro Salinas, *Literatura española. Siglo XX*, Madrid, Alianza, 1970, pág. 18).

racionalsmo y materialismo (como ocurrió con Unamuno también, en sus años de juventud), creyentes en el futuro de las ciencias exactas y del progreso pero acaban, siguiendo las pautas de las corrientes espiritualistas e idealistas europeas de principios del siglo XX, alistándose bajo las banderas del decadentismo y adoptando las más diversas ideologías místicas e irracionalistas. De modo que ninguno de ellos, ni siquiera el místico Unamuno, volvería más al territorio de la verdadera fe y del dogma católico oficial.

5. El *autodidacticismo*. Partiendo de la base ofrecida por la educación recibida en la escuela, todos los miembros de la Generación de 1898 serían autodidactas, enriqueciendo permanentemente su cultura y conocimientos a través de multitud de lecturas, a veces eclécticas, heterogéneas, seleccionadas de dominios extremadamente vastos. Desde luego, sus preferencias se dirigen hacia los autores modernos europeos, sea filósofos, sea artistas u hombres de ciencia. Así, Unamuno lee, con avidez, siendo joven, las obras científicas y filosóficas de Darwin, Spencer, Auguste Compte; más tarde se dirige, siguiendo las exigencias de su oficio (profesor de griego en la Universidad de Salamanca) hacia los autores greco-latinos, pero sigue leyendo, con la misma curiosidad y pasión intelectual desenfrenada las obras de los filósofos alemanes (Kant, Hegel, Schopenhauer, Nietzsche[11] etc.) o a las del danés Kierkegaard. Machado, en cambio, se dirige hacia la filosofía del francés Bergson, cuyos cursos presencia con asiduamente en el período de su breve estancia en la capital francesa. La teoría de Bergson sobre el tiempo como vivencia subjetiva, interior ejercitaría en el poeta español una influencia decisiva, junto a otras fuentes situadas en el aria de la corriente finisecular (simbolismo, parnasianismo, decadentismo). Estas, al lado del modernismo rubendariano, constituirían la fuente de inspiración para otro noventaiochista, Ramón del Valle-Inclán, buen conocedor y gran admirador de las obras poéticas de Banville, Gautier, Baudelaire, Verlaine, D'Annunzio etc. Y no en último lugar, conviene mencionar el fuerte influjo que ejercitó en otro miembro de la Generación, Pío Baroja, la gran novela rusa, ilustrada por autores como Gogol, Tolstoi, Dostoyevsky y, después, Cehov.

6. La conciencia de la crisis. Los representantes de la Generación del '98 están unánimemente de acuerdo en una sola cosa: en que su país está atravesando un período de crisis sin precedentes en la historia multisecular y milenaria de la Península. Y todos se esfuerzan encarnizadamente, empujados

[11] Gonzalo Sobejano consagra un libro entero al estudio del influjo del gran filósofo alemán en los miembros de la Generación del 98 y afirma que están presentes en ellos la mayoría de los grandes mitos nietzscheanos: voluntad, vida, anarquismo, individualismo, Superhombre etc.: "Dentro del ámbito moral ocupa el influjo de Nietzsche más dilatada área: Los escritores del 98 tienden por todos los caminos, y ésta es acaso su inclinación más común y más fuerte, hacia el incremento del valor Vida" (Gonzalo Sobejano, *Nietzsche en España*, Madrid, Gredos, pág. 481).

por un ferviente, aunque no siempre confesado patriotismo, en ofrecer una respuesta, en aducir soluciones. Su crítica es una constructiva, ellos proponen una nueva tabla de los valores. Primero intentan descifrar las causas que han provocado dicha crisis. Y están convencidos de que una de las razones, tal vez la principal, consiste en la desastrosa política imperial de la dinastía de los Habsburgos que, por su política de guerras y conquistas, hubiera agotado las reservas humanas, materiales y espirituales de la nación española. La solución de la crisis sería, pues, siguiendo el hilo de la lógia, renunciar al sueño imperial, a culaquier veleidad de política neo-colonialista y militarista y reagrupar, reconcentrar las fuerzas y las energías dentro del territorio nacional. Esto no supone, de ninguna manera, un aislamiento del país, ni tampoco un comportamiento autárquico, al contrario, ellos se pronuncian y abogan fervorosamente por la apertura de España hacia los valores de la civilización europea. Se habla muchísimo sobre la *europeización* de España (Unamuno). Desde esta perspectiva, la tradición es abordada dialécticamente: si en una primera fase estos intelectuales miran admirativamente hacia los valores del pasado, ulteriormente esta mirada admirativa será reemplazada por otra crítica. Igual que los ilustrados del Siglo XVIII, ellos pondrán en tela de juicio la tabla de los valores tradicionales, tanto bajo el aspecto cultural como bajo el histórico. El resultado de esta mirada crítica será espectacular e imprevisible: en plano histórico, y como consecuencia del profundo y radical sentimiento del desengaño, las grandes figuras heroicas de la Reconquista (empezando con la grandiosa figura del Cid Campeador) y de toda la gloriosa época imperial, aparecerán minimizadas, desmitizadas, reducidas a dimensiones normales, más humanas. El mismo proceso de desmitización sufren los grandes arquetipos literarios heredados de aquella época, más exactamente de la literatura barroca (que es la que cronológicamente corresponde al período de la máxima expansión territorial y a la aventura imperial). Se trata de personajes y mitos literarios considerados, hasta entonces, sagrados e intangibles, como, por ejemplo, el mito de Don Juan, símbolo y alegoría del poder militar y de la supremacía mundial, no sólo europea, de España en la época de los Habsburgos. Sintomática, desde este punto de vista, queda una célebre frase, pronunciada por uno de los precursores de la Generación del ’98: “Hay que cerrar con doble llave la tumba del Cid”, en otras palabras, conviene olvidar el pasado con todos sus errores y volver la mirada hacia el futuro.

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SAUL BELLOW'S "DANGLING MAN"-AT THE CROSSROADS BETWEEN THE SACRED AND THE PROFANE REALMS

MIHAELA ROXANA MIHELE

RESUME. Le but de cet article est de souligner quelques éléments culturels juifs présents dans le roman de Saul Bellow "Dangling Man". Pour l'écrivain la balance entre le monde sacré et le monde profane est dans un équilibre fragile. Les faits et les pensées des personnages appartiennent au côté laïque, mais la voix de l'auteur, bien que vidée d'un ton explicitement religieux, semble être influencée par les précepts du Judaïsme.

Throughout history, a statement that few scholars ever attempted to challenge promulgated the fact that in establishing the Jewish identity both the ethnic and the religious factors were fused. At the core of this idea was the covenant between the monotheistic divinity proclaimed by Judaism and the people of Israel as the Chosen one. They were a people because they chose to serve God and because they shared the same ancestors and had a common history, one of suffering. The Covenant between God and the Jews was supposed by Judaism to heal the rift that was created between the sacred and the profane world. If the people of Israel as creatures made in the image of God received the revelation of the Law and kept a faithful observation of it, the gap between Divinity and mankind would be narrowed: e.g. the observance of the Sabbath was supposed to bring transcendence into time and secular life, "it was extraordinary time made ordinary, a religious moment that was to time what a cathedral was to space."(Albanese: 1992, 61)

The historian Paul Johnson considers the earliest sections of the Bible to be the moral fundament for the rest of it. Through Divine revelation and later on the Law, Jews are depicted as being God's creatures capable of perceiving with accuracy the difference between good and wrong. Thus, even from a literary point of view, the Bible narratives are presentations of individuals in a moral context; the development of their relation with God is closely supervised while at the same time attention is given to vividness and realism, to details of ordinary life that transform the characters into archetypes of humanity, especially when speaking about the lives of the patriarchs and matriarchs of Israel. What these stories accentuate is the special dependence of the individual upon God:

> The Bible sees a peculiar virtue in powerlessness, appropriate to a people which has seldom possessed power, and suffered much from its exercise; but it also sees virtue in achievement, and achievement as the sign of virtue, especially

of those once weak and lowly. Both Joseph and Moses had no rights of birth, and narrowly survived vulnerable childhoods or youth; but both had the God-endowed qualities to bring them greatness by their own efforts. (Johnson: 1997, 24)

At this point one recalls Bellow's characters who, although the Divine element is out of the scene, manage to raise themselves by means of their intellectual performance from the degraded state of having more than one failure in life-from a professional, sentimental or social point of view, to the enlightened state of being a *mensch,* a human being in all its glory, ready to accept life and society as they are, and make the most of them instead of rejecting them.

Since monotheism in itself was a form of rationalization, there is no surprise that argumentation and the idea of asking the right questions can be found at the core of Judaism. A central argument was that human beings were created in "the image of God" meaning that unlike other creatures they were endowed with reason which allowed them to make moral choices, to choose between right and wrong. This is a fact which may explain why Bellow's Jewish characters engage into debates, bring arguments, defend some theories and dismiss others as an essential way to feel they are alive. Judaism preaches a complex, intertwining relationship between the human, material realm and the divine one and this was revealed in the very moment that Moses received from God the Law on Mount Sinai:

> So where was He-in heaven or on earth at the top of the mountain? The answer […] is both. It was not that God came from heaven to the mountain; Sinai became heaven and earth combined. The mystery of the revelation at Sinai concerns the interpenetration of heaven and earth. For Judaism, the subtlety of the relationship between transcendence and immanence underlies these concrete images of God's revelation of the Torah on the mountain .Torah is the very embodiment of the transcendent realm in an immanent, or accessible form. (Lancaster: 1998, 25)

Similarly the Temple encapsulates a spiritual focus in space, the same way the Sabbath encapsulates a spiritual focus in time. They both stand for a special spiritual potency within the world. They both offer a dimension in which the individual may attempt to grasp the whole. Within the human body the heart, as a traditional focus for meditation, is supposed to provide a sacred space, a temple within the human being. Not surprisingly, an answer to the despair Moses Herzog, a Bellovian character, feels when contemplating the decay of civilization and the abuses that the lack of moral feeling creates in society nowadays, can be found within the deepest recesses of his Jewish heart. The values of hope, power to fight against nihilism, love for his children, relatives and friends and the strength to forgive those who have wronged him are the ones that turn him into a "mensch" and not into another "university phony".

Through association with the Temple where the innermost sanctuary, the Holy of Hollies was not utterly secluded from the less sacred space of the temple but was separated by a veil, in Jewish thinking any spiritual value must reach into and give life to the profane world. Ascetic, dry, intellectual meditation will not help Joseph, the protagonist of *Dangling Man* find a firm, stable guiding line which might stop his "dangling"-hesitation and alienation from the society that surrounds him. Only when deciding to reach into the external world, to join his fellowmen in their daily struggle, can he feel that maybe his life has a purpose.

The fact that the Torah is considered as the source of ethics, of the choice between right and wrong, life and death is also underlined by Andre Neher who strongly affirms that this choice is not enforced upon the man, the human being is also in the possession of free will which is at the root of moral behavior. The duty of the human being is not only that of choosing the good, but more important of changing evil into good since the created world is supposed to be instable and it can acquire stability only through the performance of the mitzvoth done by the righteous person. This person is not to be found at the basis of the world since he/she is defined by the verb "to become" and not "to be" (Neher: 2001, passim). Hence one can notice the tremendous responsibility that human beings have. Within Judaism the tremendous importance given to the human being, who is generally refused to be reduced to a mere number in a statistics, is reinforced by the rejection of alienation. The role of the prophet is to stand up and speak for the one that is oppressed, persecuted and has no voice. In a similar stance, if one takes into consideration Saul Bellow's declarations, one notices that the role of the writer is a similar one: to love the human being and serve as his/her spokesperson in an age in which the individual was often reduced to the status of a number on a list. Adding to this role, in a tradition that was also incorporated in literature, that of the Jeremiad, Israel's prophets not only had to enliven people's passion for righteousness and help them apply the ethical principles to new, bewildering situations, but they also had the duty to bring denunciatory charges against their people if these moved away from the right path. For them self criticism came to be an ethical requirement. Often this Jeremiad tradition is to be encountered with Jewish American writers combining a psychology of moral anxiety and an ideology of consensus, "calling for both introspection and cultural renewal in the light of an ideology that sees America as a new way of life" (Girgus: 1984, 12). When tackling Bellow's novels, the reader despite the numerous narrative gaps between the author and his narrators or the considerable amount of irony to be found in his pages, finds it hard to separate the writer's historic consciousness and his moral awareness or his point of view from his moral vision. In this respect Irving Howe mentions that:

Bellow has written a sharp attack on 'the doom of the West [which] is the Established Church in modern literature'. It is a church, he says that asserts the individual to be helpless among the impersonal mechanisms and sterilities of modern life; it cultivates self-pity and surrender and it is wrong. (Howe: 1973, 128).

If these are some of the principles of Judaism that may have influenced Saul Bellow and some of which are to be found more or less overtly in his fiction, the author seems to have been influenced even more profoundly by the secular culture of the 20th century America. According to Martin Buber the desacralization of contemporary life may be noticed also in the fact that religion is viewed nowadays as a peculiar form of human creativity, a cultural enterprise where God, as the object of religion, is considered to be a product of a semi artistic interpretation of the world. He considers that in the modern age there is no Jewish religiosity, but only its memory and the hope of its resurrection (as opposed to a more or less vivid Judaism). In his terms religiosity is:

man's sense of wonder and adoration, an ever anew becoming, an ever anew articulation and formulation of his feeling that, transcending his conditioned being yet bursting from its very core, there is something that is unconditioned. Religiosity is his longing to establish a living communion with the unconditioned[…] Religion is the sum total of the customs and the teachings articulated and formulated by religiosity of a certain epoch in a people's life; its prescriptions and dogmas are rigidly determinated and handled down as unalterably binding to all future generations, without regard for their newly developed religiosity, which seeks new forms. (Buber: 1967, 80).

In other words he equates religion with preservation and religiosity with a renewal which may allow the individual to carry his/her own search for the divine, not just to accept blindly the faith of his ancestors, a fact underlined by religious thinkers who noticed that during the religious service they said: "God of Abraham, God of Isaac and God of Jacob" and not "God of Abraham, Isaac and Jacob".

According to Buber the Jewish identity is characterized by a striving for unity within the individual man, unity between divisions of the nation, between mankind and every living thing; and for unity between God and the world. It is this striving for unity that has made the Jew creative. Striving to evolve unity out of these divisions he conceived the idea of the unitary God, of universal justice.

This makes Bellow's characters: Joseph, Asa Leventahl, Moses Herzog, truly Jewish ones-there is an inner perpetual process of realization out of duality, they are both suffers and healers of their own pain, both victims and conquerors of their mentality; although their perception of an ethnic duality within themselves is a feeble one-they are undoubtedly American.

The United States gave Jews equal rights with the rest of the population and promoted the secular metanarrative that accompanied them: the story of rights and liberties replaced those of redemption and holy

conduct, America's profane achievements-democracy, economic progress, territorial expansion took sacred overtones. Thus many felt that the U.S. was no place to nurture Judaism as it encouraged assimilation and a return to Europe's old Jewish values was advocated in consensus with the return to the values of religion and rejection of those of secular, consumerist America. A few decades after WWII and the Holocaust a return to a Jewish identity and to Judaism was noticed in the Jewish American community and reflected in literature by the younger writers. Judaism began to be considered by many as a source which provided the means to subvert secular values and counterattack the assimilation into a secular society.

Referring to the American values and to the benefits that were a natural result of the development of the American civilization, Saul Bellow stated that among those, one could also find spiritual alienation which could be considered the result of a society that gave its citizens all types of freedom and gratification of the senses. The writer defined "spiritual alienation" as a state of being where the soul doesn't count for too much and where life has lost its sacredness.

In this respect his fiction comes closer to a Jewish heritage since it is concerned with the individual's failure or success in being emphatic when dealing with the misery or happiness of one's fellow being, his writings also tackle the potentiality of holiness or joy to be found in each and every mundane existence. Since life is sacred, it must have a meaning and it must not be wasted in exacerbating one's ego or deploring the futility of a good deed in an ocean of suffering.

Saul Bellow's first novel *Dangling Man* brings forth Joseph, a resident of Chicago, whose name alludes to Kafka's Joseph K. but who mostly resembles Sartre's Antoine Roquentin and whose life may be traced between two coordinates: the lack of goals and the lack of roots. He resigned his job in order to wait for induction into the army and subsequently entered a period of suspension, dangling between his abandoned ordinary life and whatever role the future would have in store for him. When not even the books he once loved present an interest for him, he decides to start an inner quest of self-discovery. Estranged from his wife Iva, his brother Amos, the rest of his family and friends, he decides that:

> there is nothing to do but wait, or dangle, and grow more and more dispirited. It is perfectly clear to me that I am deteriorating, storing bitterness and spite which eat like acids at my endowment of generosity and good will. (Bellow: 1944, 9)

Although highly aware that this is a situation that he could avoid only if he used his will to do so, he nonetheless remains in this prostrate state throughout the novel, blaming everybody for the consequences-his atrocious unhappiness, lack of interest for life, his feeling of being a useless, worthless

lonely alienated individual driven towards the inescapable nets of an unsympathetic reality. The fear of Darkness that he always suspected that was buried in the deepest recesses of his soul makes him project his guilt upon the others, notably his sister-in-law Dolly and her spoiled daughter Etta with whom Joseph unavoidably enters into a conflict. Surprisingly for a man previously preoccupied with writing essays on the French Enlightenment, notably Diderot, he castigates the two women in Jewish patriarchal terms:

> I can well understand why it provoked the prophet Isaiah to utter the words:" Because the daughters of Zion are haughty, and walk with stretched forth necks and wanton eyes, walking and mincing as they go, and making a tinkling with their feet: therefore the Lord will smite with a scab the crown of the head of the daughters of Zion, and the Lord will discover their secret parts. (Bellow: 1944, 41)

However unconsciously, Joseph fears God's wrath against his own dark secret, the fear that his heart harbored something evil as Mrs. Harscha, the mother of his childhood friend, felt when encountering him for the first time. Underneath a pretty look she saw Mephisto. At the same age he was aware for the first time that he was mortal and some day he was going to die- in a family photo depicting his grandfather he saw the old man's skull underneath his childhood locks:

> It was a study of my grandfather […]. It showed him supporting his head on a withered fist, his streaming beard yellow, sulphurous, his eyes staring and his clothing shroudlike.[…] Then, one day, when I was about fourteen, I happened to take it out of the drawer together with the envelope in which my curls had been preserved. Then, studying the picture, it occurred to me that this skull of my grandfather's would in time overtake me, curls, Buster Brown and all. Still later I came to believe […] that the picture was a proof of my mortality. I was upright on my grandfather's bones and the bones of those before him in a temporary loan. […] Through the years he would reclaim me bit by bit, till my own fists withered and my eyes stared. (Bellow: 1944, 51)

This first intimation if not with divinity, then at least with a sense of perishability and mortality, had a tempering effect upon his vanity, so does Joseph claim. Not surprisingly, this anxiety about divine retribution and fear of death constitutes much of the angst of Bellow's characters, but death has also a positive role to play in their redemption. The old self of the egocentric individual must die before Joseph or Moses Herzog or Artur Sammler can join again humankind and reject the septic but ineffectual isolation which was for them a sort of life-in-death. Only by actually joining the army and going to war, implicitly approaching death and overcoming his fear of it, can Joseph be reconciled to humanity and put an end to his dangling. Just like Herzog and Sammler or Asa Leventhal, Joseph has to stop feeling morally superior to everyone in order to put a stop to his

misery. That Joseph is a self-righteous character is undoubtedly true if one takes into consideration that the key question to his existence is: "How should a good man live; what ought he do? Hence the plans" (Bellow: 1944, 27) and the fact that he depicts himself as "Joseph that creature of plans". According to him, his friends have failed him because of their weaknesses; his brother's offer to help had to be rejected because Amos, a worldly successful man is much inferior to Joseph's higher spiritual status- he sees himself as a moral man trying to survive in an immoral world.

However John Jacob Clayton suggests that Joseph is not to be completely blamed for his exacerbated individualism because:

> to be 'human' is throughout Bellow's fiction, terrifying. And so his heroes turn themselves into ideal images in order to protect themselves. At the same time they turn the world into one in which they can live safely. This double creation of a self and of a world is a constant theme in Bellow. (Clayton: 1968, 75)

At the end of *Dangling Man* Joseph enrolls in the army in order to join mankind because he admits that the year spent in isolation and meditation in his room was not of much help, he hadn't done well alone. He needed the others to become complete. In this case, it was society which had a special duty and responsibility towards the lonely individual, to help him get out of that dangling state he was in. Yet in Joseph, the reader also perceives a strong sense of irony and disbelief that indeed society is truly able to do that:

> I had not done well alone. I doubted whether anyone could. To be pushed upon oneself entirely put the very facts of simple existence in doubt. Perhaps the war could teach me, by violence, what I had been unable to learn during those months in the room. […] But things were now out of my hands. The next move was the world's. I could not bring myself to regret it. […]
>
> I am no longer to be held accountable for myself; I am grateful for that. I am in other hands, relieved of self-determination, freedom canceled.
>
> Hurray for regular hours!
>
> And for the supervision of the spirit!
>
> Long live regimentation! (Bellow: 1944, 126)

This denial of freedom and individual responsibility surely goes against the very spirit of Judaism, but on the other hand, it can be explained by the troubled times when Bellow wrote the novel, at the end of WWII. It could well be that the book was supposed to condemn both the "dangling" and indecision that Western democracies manifested in the first years when Fascism emerged on the scene of world politics and to equally condemn the totalitarian extreme right regimes of that period who thrived on the eradication of individual freedom and celebrated regimentation in an anti-humanistic doctrine.

Through the more or less intellectual adventures of his character, Joseph, Saul Bellow managed to prove that the secular and the sacred are

not in a crisis of communication, that in contemporary society the world may declare itself profane, but it draws its strength secretly from the sacred wells. Only by accepting one's responsibility for one's deeds and promoting love for one's fellow beings-two important Jewish precepts, can the modern individual "humanize" society all over again, raising it from skepticism, despair, spiritual and moral aridity.

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R E C E N Z I I – BOOK - REVIEWS

Simona Maria Vrăbiescu Kleckner, *Din exil. Lobby în SUA pentru România - New York, 1990-1998*, Editura Ziua, 2006, 423 p.

The 2006 release of this volume written by Mrs. Simona Maria Vrăbiescu Kleckner confirms Ziua Publishing House's appetite for highly relevant papers on contemporary historical and intellectual challenges. Under the lead of its director, conf. dr. Ionel N. Sava, several milestones of this beneficial editorial orientation have been pubished, among which *Noopolitica.Sociologie noologic. Teoria fenomenelor asincrone*, by Ilie Bădescu, *AXA – Noua România la Marea Neagră* by Victor Roncea (coordinator) or *Studii de securitate* by Ionel N. Sava. This volume, high quality printed, has a *Foreword* signed by Academician Professor Constantin Bălăceanu-Stolnici, Ph.D., a *Preface* signed by Dumitru Radu Popa, executive vice-president of ACORD (*Ad hoc Committee for the Organization of Romanian Democracy*), as well as an *Afterword* signed by Valentin Hossu Longin. The book includes a useful *Name Index* and a rich, relevant and new CD-based annex containing official documents and a *Table of Documents in English*. Eight pages with photos of personalities and events, representative both for ACORD and the Romanian–American relations and for the Romanian community in USA enhance the quality of the volume.

Together with the introduction signed by the author, the volume contains twelve chapters, equivalent with a "chronologic well-informed description of the ACORD committee".

The blurb text introduces relevant biographical data on Mrs. Simona Maria Vrăbiescu Kleckner's abnegation in supporting the Romanian cause.

According to the *Introduction*, the major purpose of the book is "to present the research that made ACORD known to the White House, the State Department, the American Congress (especially to the members of the OSCE Committee from the Congress), and to other authorities and influential personalities." Secondly, the book describes the relationship with the authorities and introduces the readers to the answers received from the American people. The author believes this feedback, specific to superior systems, is unknown to Romanian authorities. The third aim of the volume is related to the condition of the citizens of free Romania, emphasizing the benefits of active involvement in Romania's politics versus disastrous passivity. Finally, as a highly trained specialist and practitioner in this research domain, Mrs. Vrăbiescu Kleckner aims at preserving the ACORD research results by publishing and delivering them to the collective memory, as a reminder that "to forget the past is dangerous for the future, and the past is easily forgotten; however, what is written remains in books, which have their destiny."

Based on original research sources, the book contains an important contribution to the Romanian exile memory introducing *The Romanian National Committee* (*RNC*), founded in May 1949, representative of the exiled Romanian Government based in the USA. The personalities of General Nicolae Rădescu, the first president of *RNC*, of Nicolae Penescu and of other council members – ex-members of the former National Peasants' Party and National Liberal Party - are presented along other important figures of the Romanian exile in the USA such as Alexandru Bratu, Dr. Cornel Petrassievich, professor Brutus Coste, Ion Rațiu, Dr. Napoleon Săvescu, president of the *Romanian Doctors' Association* from New York.

The author reveals significant moments in the life of the exile community, of ACORD, and of the Royal House, but does not forget to mention the Romanian Church in the USA, its role "in motivating and giving hope, as well as keeping alive the faith in vanquishing the communist evil…"

The volume also contains valuable information about the place of the Romanian press and journalists, some of them with an important role in the formation of cultural, opinion and civic attitudes, such as Cornel Dumitrescu, Grigore Culian, Gabriel Pleşea, Justin Liuba – actual president of the *Iuliu Maniu Foundation*, Ştefan Minovici, TV producer Vasile Bădăluță, director of *Romanian Voice* TV station, etc.

In the context of a refined and realistic geopolitical analysis of the pre-requisites, the moment and the evolution of the 1989 European anticommunist revolutionary process, the author develops pertinent arguments regarding the three political factors that, during the 80s, contributed to the end of the Cold War and the crash of the communist system: Ronald Reagan's election in 1980 as president of the USA, the presence of Pope John Paul II at Vatican, and the assignment of Mihail Gorbaciov as secretary general of SUCP in 1985. Her consistent and accurate presentation of Western politics after 1989 with respect to the countries in Central and Eastern Europe reveals an experienced, realistic, and authoritative political observer, unwilling to make any compromise. The attitude of the United States as stated by Presidents Bill Clinton and G.W.Bush is analyzed together with that of the European Union and OSCE. Additionally, Mrs. Cristina Valmy is introduced as an important, powerful and enthusiast personality of the Romanian Diaspora in the USA. Actively involved in the activities of the Republican Party, she was the one who, on January 22nd 1990, leading a group of personalities of the Romanian exile in the USA, stated: "I have taken the decision to do something for Romania. I want to rally the Romanian community…we can't let the country down in these tough moments". Under her presidency, on the 29th of January 1990, the *American-Romanian Committee* (*ARC*) was assembled, presided by Mrs. Simona M.Vrăbiescu Kleckner and having Camil Petrescu Jr. as a founding member. Since it was extremely difficult to anticipate what would happen in the country during that dramatic period, *ARC* started its activity by establishing contacts with political and cultural Romanian personalities such as Radu Câmpeanu, Valentin Gabrielescu and Octavian Paler and facilitated their

access to the State Department, the National Security Council and to US Congress members. *ARC* was involved in the 1990 visit made by American Congressmen in Bucharest and took the first steps for the Royal Family's visit to New York. Extremely relevant are also the thoughts and information regarding the professional long term lobby of a few private American institutions for promoting the Romanian image and interests in the USA, an important aspect of political and economic relations between the United States and Romania.

In the rapid evolution of events, an important moment was the founding, with the official agreement of the Royal House, of the *Ad Hoc Committee for the Organization of the Romanian Royal Visit* (ACORV) on February 24th 1991. In typically pragmatic American spirit, under the presidency of Stefan Issarescu and vice-presidency of Mrs. Simona Vrăbiescu Kleckner, the committee worked hard for the organization of HM King Mihai's visit in the US, as part of the overall strategy of promoting the Romanian community's interests and of consolidating and accelerating post revolutionary Romania's approach of Western values.

Willing to stay active in the Romanian community and involved in the complex problems of Romanian reforms, the author describes the intricate history of the foundation of the *Ad Hoc Committee for the Organization of the Romanian Democracy* (ACORD). In this respect, she also mentions well known organizations of the Romanian Diaspora in the United States, such as *Iuliu Maniu Foundation* and *The Truth about Romania*, founded by Brutus Coste, *The Romanian Doctors' Association* from New York, lead by Dr. Napoleon Săvescu. ACORD was not affiliated to any political party but strongly sustained Romanian opposition parties. Additionally, it kept permanent and direct contact by letters and memoranda with Congress members and other officials from the American Administration. An original enterprise (characteristic for the energy and intelligence of all ACORD activities) playing an important role in the American-Romanian relations, was the committee's fund raising support for the Congress electoral campaign of David Funderbunk, former USA Ambassador in Romania and a strong supporter of Romania's democratization efforts. Mrs. Simona M. Vrăbiescu Kleckner would note: "David is an American with a Romanian heart".

The explosive and dramatic evolution of the events in Romania and the aggressive anti-Romanian campaign of a part of the American press determined an immediate reaction of ACORD. The letters sent to Congress members and American press regarding the necessity of a free press and an independent national television, the dismantling of the so called Romanian anti-Semitism, the giving of the Most Favored Nation Clause, the Republic of Moldavia's independence, and the situation of ethnic minorities from Romania became ACORD permanent concerns. The favorable reactions came very fast, both from President Bill Clinton himself and Romanian Diaspora organizations such as *The World Union of Free Romanians* led by Nicolae Ra iu.

ACORD continued to synchronize its actions with the political events in Romania. An example is the action of pre-electoral evaluation of Romania realized by the committee and sent to a large number of congressmen.

Similar achievements are *The Appeal for the Support of the Romanian Democratic Convention* (RDC) signed by people from the Romanian community in the USA, *The Appeal to Voters* (March 31), and *The Letter* (August 19, 1992) sent to the State Department and other public and private institutions on the issue of the freedom of speech of Romanian journalists. The Most Favored Nation Clause, ethnic minorities, property issues, the Republic of Moldavia and Transnistria, the necessity of a sustained and systematic lobby activity were major ACORD interests. The statement of American politician Richard Armitage is relevant: "If there had been a lobby in favor of the 14th Russian Army retreat from Moldavia, Senator Pressler's amendment would have become part of the final Report text of the CSCE conference, but somebody was against the text and nobody had a reaction".

By means of memoranda and letters, the committee was involved also in significant security problems, democratization, as well as in identitary problems and Romania's advance towards democratization. An important part is dedicated to the Jewish issues during the period between the two world wars, especially between 1940 and 1944. The subjective, undocumented and unfair attitude of Rabbi Moses Rosen is contrasted to the fair, grateful attitude of Rabbi Alexandru Shafran, who, by awarding the title of *Righteous Among Nations* to Queen Mother Elena of Romania, acknowledged the role played by the Romanian Royal House in the Jewish issue. Another two representative moments for the dimension and complexity of ACORD activities are the meeting and correspondence with prof. Zbigniew Brzezinsky and the dialogue with Margaret Thatcher.

Mrs. Simona M. Vrăbiescu Kleckner's book reveals gradually its entire dimension: it starts with political analysis, goes on with recent history data and, a fact that justifies its reviewing in this publication, contributes cultural and cultural factors involved in recent Romanian history.

Socially, economically, politically and culturally motivated, the Romanian Diaspora in the USA has a history of more than 150 years. The first to start this unfortunate journey were people from Transylvania, motivated by issues related to their national identity and the Austro-Hungarian oppression. At the end of II World War, after August 23rd 1944, there followed a new wave of people from oppressed political, economic and social classes. In the 70s, fugitives from all social and professional categories joined the Diaspora. Finally, an important emigration wave was recorded after December 1989 revolutionary moment. Note should be made of various figures such as the members of the Royal Family, Ervin and Adriana Popa, Irina B. Corsani, Bishop Valerian Trifa, Archbishop Nathaniel Popp and Cristina Valmy, Dorin Tudoran, Vladimir Tismă- neanu and Dumitru Radu Popa. The human, educational, economic and motivational profile of these trends, specific to the Romanian exile, was complex and centrifugal and a long term unitary attitude could emerge only in circumstances of dramatic historical challenges and in the presence of extremely powerful personalities. Mrs Simona M. Vrăbiescu Kleckner is such a rare personality.

Further on, the author introduces the reader to the world of the Romanian exile community from the States as well as to the Romanian lobby activities in the North American space. Actors and directors of these cultural spaces were the humanist intellectuals. Exile members such as Dorin Tudoran, Dumitru Radu Popa, Camil Petrescu Jr. together with intellectuals from Romania such as Ana Blandiana, Octavian Paler, Valentin Hossu-Longin, Nicolae Manolescu, Laurenţiu Ulici and Ştefan Augustin Doinaş, got involved in lobby groups and activities aimed at getting Romania back to a status of a free and democratic country.

In the beginning, their role in the ACORD committee structure was less significant since well known exile political personalities such as Dr. Ştefan Issărescu or Alexandru Bratu had mostly political aims. This stage lasted until 1997. Still, during this period, some distinguished intellectuals started their activity, among whom Mirela Roznovski (a member of the ACORD committee beginning with March 1997), Gabriel Pleşea and Camil Petrescu Jr. As an active member of *The Romanian-American Committee* (*RAC*), the latter's visits to Romania helped *RAC* members' getting an accurate view of post revolutionary Romania.. After 1997, the role played by exile intellectuals would become more significant and consistent. Finally, the founding (on November 8th 1997) of the *Civic Alliance* was welcomed by the Romanian exile in the USA as one of the first positive events, a necessary act of getting the Romanian intellectuals responsible with respect to the society they lived in.

Romanian intellectuals actively involved in public and political issues, such as Ana Blandiana, understood the importance of the Romanian exile lobbyist activities in the USA and acknowledged its potential. Her efforts went into joining the forces of the groups at home and in the USA, particularly in establishing contact between Mrs. Simona M. Vrăbiescu Kleckner and Emil Constantinescu, the *RDC* candidate for presidency. In 1998, the ACORD committee would also make contact with Andrei Pleşu, in his quality of Minister of Foreign Affairs and with Laurenţiu Ulici, President of the Romanian Writers' Union. The author also mentions the constant presence of the *Cultural Committee – 1981*, founded and sustained by Viorel Chirilă. After *RDC* won the elections, the ACORD committee set the course for refining and multiplying its resources, this time with a focus on supporting Romania's admission to NATO. In 1997, writer Dumitru Radu Popa, 1972 *Magna cum Laudae* graduate of the Philology Faculty in Bucharest, took the executive vice-president chair of the Committee; in 1998, he took the lead of ACORD for the period during which Mrs. Simona M.Vrăbiescu Kleckner worked as a personal counselor for President Emil Constantinescu.

As expected, the lobby activity was the essential tool of Diaspora, particularly in the USA. Its aims covered a variety of areas ranging from politics, intellectual life, spiritual and economic issues, and addressed both American and Romanian institutions and personalities. Additionally, it attended to organizations and internationally significant institutions such as UNO, EU, OSCE etc. ACORD lobbyist activity was professionally managed and performed

by Americans with Romanian beliefs and involved various actors, including American citizens and authorities.

The effectiveness of this lobby could be analyzed and discussed in various ways. However, its role in the progress of Romanian democracy until the admission in NATO and integration in the EU, is confirmed by the books' closing phrase, belonging to Mrs. Simona M.Vrăbiescu Kleckner: "Yet, even if I may seem redundant, I claim to have the satisfaction of attempting to do something for the country I was born in and that I love."

The Romanian exile from the USA is not only the reflex of a national drama but also a great chance given to Romania and Romanism. Along the silent, grim, necessary resistance of Romanians in their home country, this exile-Diaspora represents the vocal, energetic and unhesitating resistance of Romanians out of their homeland, "living," as Nichita Stănescu has it "in the home of their language, Romanian, Romania". A homeland where many Americans, such as David Funderbunk, live.

The book *From Exile, Lobby in the USA for Romania – New York, 1990-1998* represents a fragment of history of the Romanian exile community in the USA and, more generally, of Romanians and Romania. It is our duty to thank Mrs. Simona Maria Vrăbiescu Kleckner and the ACORD committee for their efforts to promote and to acquaint the great American democracy with Romania's fundamental interests and for granting their readers with this national history document-book, a social, political and cultural study of the Romanian exile community in the USA.

NICOLAE TOBOŞARU

Viorel Hodiş, *Articole şi studii*, Editura Risoprint, Cluj-Napoca, 2006, 2 vol. (280 p; 288 p)

Articles and Studies by Viorel Hodiş, published in December 2006 by the Risoprint Publishing House, includes two volumes in which the author succeeds in reuniting the results of a forty-year career research, as he confesses in *Instead of a Foreword.*

The first volume, *Relația de echivalență (logic-semantic-sintatctic) / The Relation of Equivalence (logical - semantic- syntactic)*, contains, in its three chapters [N.N.], *a retrospective selection* of the articles published in various specialized periodicals. The first section (E*chivalența semantico-sintactică a termenilor raportului apozitiv / The Semantic- Syntactic Equivalence of the Terms of Appositive Relation*) begins with the article entitled *The Apposition and its Initial Term are Semantically Equivalent Items*, published in *Cercetări de lingvistică* , year XI, no 1, Cluj, 1966. The study deals with the problem raised by the special relation between apposition (the appositive clause, respectively) and its antecedent. The author insists

upon the similarities between *the appositive relation* and that of coordination, stating that what distinguishes them is a criterion outside the area of syntax, namely *the equivalent notional-semantical content in the case of apposition*. Reference is made (in the footnotes) to two partially valid syntactic criteria: (1) *the appositive relation (A – A') is realized exclusively at a paratactic level, while the relation of coordination is also frequently achieved through junction*; (2) the terms of the coordination can be syntactically different units, while those of the appositive relation are always syntactic equivalents.

As a method of synthesis, the author uses synoptic illustrations to present the apposition as parallel to the coordination relation. The author's remarks are also illustrated by a well organized *concrete syntactic material* which we believe would have been more appropriate before the critique itself. We deem the assertion regarding the so-called *apposition in agreement* sounds pertinent, but we should mention a somewhat debatable example under the category *A and A' represent the subject of the same predicate*, namely the enunciation: *Behold, great* ***shadows****, Mihai, Ştefan, Corvine,/ The Romanian nation, your grandchildren*, where a subject of a verbal predicate is expressed by a verb in the imperative (p.20).

In the following article – *Propoziția apozitivă şi termenul său inițial sunt unități echivalente semantic şi sintactic / The appositive clause and its initial term are semantically and syntactically equivalent units* (1967) – the author investigates the appositive relation at the sentence level in the form of apposition to some parts of the sentence or to entire sentences. Again, Professor Hodiş discusses very relevant examples, synthesizing the opinions already existing at that time about the appositive clause. We might suggest here that an update of the material through a comparative study of the author's opinions and those expressed by *The Academy Grammar* (2005) would be appreciated.

The next study, *Probleme de sintaxă în opera lui Alecu Russo / Syntactic Issues in Alecu Russo's Work* (1970), is an article which we find interesting due to the "illustrative material" collected by the author. Professor Hodiş notices the *ramified* style of expression, which he places at the crossroads of rhetoric, syntax, and literature. The presence of the *chain of appositions* is also signaled and a connection is made between the phenomenon of apposition and the rhetorical character of the Romanian literature of that particular period (pp.53-62).

The phenomenon of equivalence in the relation of coordination from the perspective of mathematical logic is the subject of the article *Coordonarea – relație de echivalență / The Coordination – Relation of Equivalence* (1972). The author follows each type of syntactic relation, which he then confronts to the logical-mathematical relation. Eventually, he defines coordination as a *syntactic relation that is achieved between phrasal units* (pp. 63-74).

The study *Juxtapunerea şi aderența / The Juxtaposition and the Adherence* (1973) is based on the more *recent* research conducted by

some linguists – D.D.Draşoveanu or Sorin Stati – and contrasts the two types of relationship. Juxtaposition is identified by traits that derive from the relation of equivalence (reflexivity, symmetry and transitivity), and from the horizontal syntactic level, the grammatical values of homogenous terms, and the plural relationship. We find the use of graphic signs to mark juxtaposition (coordination or apposition) very illustrative and suggestive. The author particularly insists on the grammatical role of the comma, which has a functional role in coordination, as a mark of juxtaposition, but has no such a role in junction, where its role is simply to mark the speaker's intonation.

The notion of *adherence* is defined with reference to M.Dokulil and Fr.Danes, who describe it as a *zero collocation relation*, or to S.Stati. The author raises the still open question of *the adverbial regime* of the preposition, an issue that incites different opinions even nowadays.

Natura sintactică a relației apozitive / The Syntactical Nature of the Appositive Relation is the theme that preoccupies the author in the second chapter of the first volume as well. Here Professor Hodiş provides details about the history of the various approaches to the appositive relation and attempts to draw a clear line between coordination and apposition, on the one hand, and subordination, on the other hand. The study also deals with the means of achieving the appositive relation, as well as with the case of *appositive adverbs and phrases*.

The last section of the first volume treats various aspects, among which the notion of *function* defined in *Dintr-un viitor lexicon de terminologie sintactică: Funcția / From a Future Lexicon of Syntactic Terminology: the Function* (1976). Viorel Hodiş contends that the syntactic function, that is, *the function received by a unit (part of sentence) as a consequence of the syntactic relation with the partner(s)* (p.151), belongs to the syntactic field (and here we welcome the delimitations of the notion from the field of morphology). The author underlines the particular trait of *the function of the subject*, *the only absolutely independent syntactic function, never subordinated to any term* (p.144). Here we might add the more recent research (D.D.Draşoveanu – *Theses and Antitheses*, G.G.Neamțu – *Lectures on Syntax 2001-2002*) which describes subordinating relations as generators of functions, unlike those of coordination. It follows that only the subordinated term is a syntactic function, while the modified term remains a part of the sentence. This is also the case of the subject, which is not a syntactic function. By the same considerations, the apposition is not a syntactic function, but it is a case of non-relation! (*passim* G.G.Neamțu, S.Stati)

The following articles discuss the theory of expansion, starting from A.Martinet (*În legătură cu teoria expansiunii a lui A.Martinet / On A.Martinet's Theory of Expansion* – I, 1977 and II, 1979). The author contributes bold but thoroughly argumented additions to the French linguist's findings on the typology of syntactic expansion. What we find interesting is the notion of *plurality of syntactic functions* (p.158, I) presented as a consequence of expansion

through coordination and well exemplified by the author (although, considering the circumstances, we would choose the variant of a plurality of relations, without implying *the syntactic function*). It is also here that Hodiş makes a successful demonstration of the fact that the apposition is an instance of expansion, using the method of "commutation with zero" to check the valences of the text analyzed and the types of existing relations.

The author resumes the discussion on the *plurality of syntactic functions* in his following study, *Despre un anume fel de relative / On a specific type of relatives* (1978), where he claims that there is a relationship of equivalence between relative clauses and the correlative in the antecedent clause. To demonstrate this, the author makes use of a series of objective data on *objective functional equivalence*, which subordinates *the subjective considerations of semantics*.

In the last articles of this first volume, the author revisits and completes the relation of equivalence. Among its manifestations, Hodiş also includes the predicative relation of identification between the subject complement and the subject, with the specification of an equivalence that belongs strictly to the notional-semantic level and not to the functional-syntactic one.

We should also mention the study *Structuri apozitive în presă. Apoziția reflexivă / Appositive Structures in Mass-media. The Reflexive Apposition*, where a particularly interesting aspect is how the author analyzes functional (journalistic) texts, focusing on the disambiguating role of this type of apposition.

The issues treated in this first volume lend a certain degree of unity to the material collected throughout the years, although one can notice a reiteration of the same topic, which is justifiable considering the fact that the articles have been included in various publications, thus making it necessary for the author to restate each time the idea of apposition.

The second volume, *Varia,* is organized into more heterogeneous chapters containing the first part of *Morfo-sintaxă românească / Romanian Morphological Syntax* – quite extensive in terms of implications and dimension –, problems of *Orthography, Semantics, Language Cultivation, Reviews, Interviews* and *Notes.*

Our attention has been captured in particular by *Articularea şi articolul în limba română / The Articulation and the Article in the Romanian Language***,** a relatively recent study (actually, a speech delivered by Viorel Hodiş at the International Congress *St.Siemcsinscki at 70 years*, Kiev, 2001) in which the author suggests delimitations among the usages of the article in the Romanian language. The author studies the functioning of this controversial grammatical category in the context of nominal inflection observed between the situation of norm and that of poetic license. The author also observes instances of *doubling the article*, especially in the case of *appositioned structures*. We are pleased by the optimistic tone on which Hodiş concludes, leaving his writing open to a sequel on the subject in a monographic work!

Another article worth mentioning is the interview *S.O.S.*

*românii şi româna din Ungaria / S.O.S.! The Romanians and the Romanian Language in Hungary***,** where the president of the association *Romanians' Self-governance in Hungary* presents the case of a law *full of imperfections* that allows the small or large Romanian associations in Hungary to be led by people who lack the most basic knowledge about the Romanian people and, even worse, do not know Romanian. Viorel Hodiş tries to emphasize *the drama of the Romanians living in Hungary*, which is the drama of every minority in any part of the world.

Browsing through Hodiş's *books*, we witness a history of grammar seen from one of the multiple possible angles. The passage of the years brings noticeable progress in updating the data with new research, which unquestionably proves the relativity of an apparently stable object of study. Each article constitutes a step on a path whose destination and (especially) price are known only to the true linguist!

We conclude our review of *Articles and Studies* by quoting D.D.Draşoveanu: *the interpretation and evaluation of a truly extensive biography, finalized in the form of groups of opinions, becomes an acquisition that saves the future researcher the effort of retracing the way***.**

ANCA APOSTU

Domnica Şerban, *The Syntax of English Predications.* Bucureşti, Editura Fundației *România de Mâine*, 2006, 208 p.

Domnca Şerban, Professor at 'Spiru Haret' University, Bucharest is the author of several studies and books, dealing with the contrastive study of English and Romanian syntax. This list of books starts with *English Syntax* (1982, volume I) and *Syntactic Function in Universal Grammar*: *A Contrastive Study of the Subject in English and Romanian* (1986), continues with *English Syntax Workbook* (2004, written in cooperation with Raluca Haţegan and Denisa Drăguşin) and concludes with the synthesis of the previous works: *The Syntax of English Predications* (2006). Like the other books mentioned above, *The Syntax of English Predications* presupposes the knowledge of some basic notions of linguistics and syntax, as it is intended to be a textbook for the second year students who read English as major or minor speciality, but the bulk of it is general enough to be accessible and of wider appeal.

The aim of the book is to give a comprehensive analysis of English syntax from the perspective of its most important issue: the linguistic status of predication at the level of simple sentences. This is done from the viewpoint of categorial grammar, with intrusions from functional and relational grammar.

This study is organised according to the semantic and syntactic criteria that determine verb subcategorization in English. Each section focuses on one major type of

predication, supplying a detailed description of the subcategories which realise it in English grammar and usage. As a brief introduction, the first chapter (pages 15-79) entitled *The General Picture* presents some of the essential linguistic concepts whose assimilation is indispensable for a better understanding of predication. Based on Noam Chomsky's denomination, the author places the predicating items and phrases in a larger context of the grammar construct, choosing the Universal Grammar as a theoretical frame of the analysis. From this point of view, the author presents the main phrases headed by lexical categories: the structure and distribution of the Noun Phrase, Verb Phrase, Adjective Phrase, Adverbial Phrase and Prepositional Phrase; followed by a rough description of the functional categories as phrase heads: the Inflection Phrase and the Complementizer Phrase.

Remaining on the level of simple sentences, the author illustrates the compound and the complex sentence types, with special attention to a specific type of Complementizer Phrase: the small clause construction. Closely related to predication and important in its understanding, the dominance and government relations, the problem of case assignment and thematic roles are carefully presented and illustrated with relevant examples. The syntactic phenomenon of predication largely depends on the type of the matrix verb, on the presence or absence of the Direct Object in the frame of the verb. In this respect, the following five chapters on predication can be sorted into two distinct groups, according to this head-complement dependency. Thus, chapters II, III and IV form the first group, as they all deal with intransitives, which select Prepositional Phrases in complement position, functioning as Prepositional Objects. Chapter V, respectively chapter VI focus on transitives which subcategorize for non-prepositional Noun Phrases chosen as Complements and functioning as Direct Objects.

The first chapter on intransitives, entitled *Simple Intransitive Predications* (pages 80-90) clearly defines and explaines, characterises and exemplifies the two subcategories of intransitives: the unergatives and the unaccusatives. Although with intransitives there is no NP functioning as an obligatory „sister", these predications evince various degrees of semantic and syntactic complexity, to which this chapter attempts to give answers; to mention only one example, the derived unaccusatives (the ergatives), which are the intransitive members of verbs with a two-fold regime.

As both in English and in other natural languages, as well, predicates having a composite structure are very frequent, the following chapter, entitled *Composite Predications* (pages 91-131) is dedicated exclusivelly to this syntactic structure. However, not only their incidence rate, but also the ambiguity, as far as their syntactic status is concerned, makes the author of this book devote an entire chapter to this type of predication.

The method of presentation is inductive, beginning with the explanation of the cover term: composite predication, the characterisation and the typology of

this type of predicate, followed by the parallel analysis, from a syntactic and semantic point of view, of the behaviour of the main types of copula-like verbs and the different phrases functioning as predicatives. This analysis is aboundantly illustrated with representative instances.

The last chapter about intransitives, entitled *Complex Intransitive Predications* (pages 132-154) is engaged in complex or phrasal intransitive predications. This complexity is a property of verbal predications, which can be manifested at lexical and syntactic levels. Lexically, the English language includes transitive verbs with Double Object, dative verbs with a Direct and an Indirect Object; syntactically, there are complex configurations headed by an intransitive verb with an Indirect or a Prepositional Object or with two such Prepositional Objects. The author draws the conclusion that the demarcation line between Prepositional Phrases occuring as indirect internal arguments and those which are mere Adjuncts is not so clear-cut and discusses the intermediate cases, such as that of Prepositional Objects behaving as Adjuncts and Adverbials behaving as Objects in a separate subchapter.

In order to obtain the results of a deeper research of these complex intransitives, Domnica Şerban submits them to different processes, such as passivization, nominalization, relative clause formation and emphasis.

As English has specialised a set of aspectual particles, which signal the aspectual dimension of the described event and this type of predication is proper to this language, the author makes some important observations as far as their use is concerned. The author devotes the last two chapters to transitive predication (pages 155-201). The analysis in this section of the book is made from the aspect of the two most important features of transitive verbs: they are governors of their sister Noun Phrases, to which they assign Accusative case. Thus, the subcategorisation is made according to the theta-role of the Direct Object, raising in separate subchapters the typology and subcategorisation of causative verbs and the problem of their relation to the resulting predication. As far as the English ergatives are concerned, the author draws the conclusion that these should be considered „ergative-like" verbs, due to the fact that they lack the morphological marking by one and the same case-form of the Noun Phrases functioning as Subject of intransitive verb and Object of transitive verb.

The final twenty pages, the last chapter of the book, entitled *Complex Transitive Predications* (pages 184-201) briefly looks at complex transitive predications: at transitives with particles, at prepositional transitives and double object constructions, also called ditransitives. As in the case of intransitives, the author carefully analyses the behaviour of this type of predication through the different grammatical „tests", such as: insertion of adverb, nominalization, passivization and stress placement.

As intransitive verbs may float to transitive ones and vice versa, the author is in search of a clear boundary between these two types of verbs.

Most importantly, it is the case of verbs which couple the basic regimes of transitives and intransitives: the so-called ergatives, in which case the verb lexeme may predicate, without any difference in its phonological form, a one-term intransitive configuration or a two-term transitive one. The recategorization of intransitive verbs as transitive ones is illustrated with the resultative object formation, the cognate object formation and the cases of annihilation of the preposition.

There is nothing really spectacular, provocative or unexpected in *The Syntax of English Predications*, but it offers a survey that is accessible while solid and reliable. Anyone interested in predication and verb types should find in this book compelling reading; some may also find it practically useful as a guide in studying about verbs. There are some fragments which, due to the use of a very accessible bibliography and due to the relevant examples and explanations, can be used by anyone interested in the behaviour of different verbs (mainly chapter VI). The value of the book is also appreciated in the fact that the author, where necessary, provides the reader with relevant examples from Romanian.

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