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CONTENTS

EDITORIAL PREFACE

In the wake of the 85th anniversary of the English Department of the Faculty of Philology, University of Belgrade, I feel it is the right time to recall some moments of its almost century long history. A while ago, Professor Vida Janković, who is one of the Department's most distinguished scholars and a retired professor of American studies, reminded us of the growth of Anglo American studies in Serbia.

Professor Janković was born in Rome in 1919. After primary and secondary education in Chicago, New York and Belgrade, she studied French and English language and literature in Paris before the Second World War. She also graduated from the Faculty of Philology in Belgrade in 1949. Professor Janković obtained Ph.D. thesis at the University of Zagreb in 1965 and she specialized in American studies at the University in California in 1966 and 1967 as a Fulbright scholar.

These are some extracts from the plenary address that Professor Vida Janković delivered on the occasion of the celebration of the 80th Anniversary of the English Department:

I am very glad today to have been invited to extend a very cordial and hearty welcome to all of you at this impressive gathering. I say this mainly for two reasons: firstly for having this special opportunity to participate in paying homage to our English Department's 80th anniversary, and secondly because I am still around to be able do so.

In looking back at this span of 80 years, we can justifiably state that it has been marked by three distinct phases, all characterized by slow, painstaking beginnings and sudden harsh endings, due to the vicissitudes of historical events (the two Balkan wars, the First and Second World Wars and more recently the civil conflagration), four wars in one century, all of which

engulfed Serbia and impeded the smooth and even growth of all the segments of its educational institutions.

There is no time at this point of our Conference for a full account of our English Department's history, but for those participants who may be interested, it can be found in an extensive book published a few years ago, with all the names, facts and figures available here. Allow me therefore only to highlight several memorable events from the past. In our first phase of English language instruction, one hundred years ago, two English lectors, David Low – back in 1907 and subsequently – John Wiles (in 1913) organized English language and literature courses then attached to the Department for German Studies. Thus quite unknowingly they initiated the tradition for their countrymen to be active and highly competent participants in the growing process of English language acquisition, a tradition that has continued undiminished to this very day.

A second beginning ensued when two Cambridge University graduates, Professor Vladeta Popović, and his wife Mrs. Mary Stansfield Popović undertook, in 1929, the ardeous task of creating a separate Department for English studies, building it up on contemporary principles and training nearly 300 students able to become the future teachers of English in our schools. Then again came a violent wartime break and all academic activities were once more suspended.

The third phase began in 1945, when Professor Popović and Mrs. Stansfield Popović, having returned after their four years confinement in German concentration camps, with renewed energy and enthusiasm, began rebuilding what had been destroyed during the occupation. They taught steadily increasing numbers of students along modernized teaching methods and greatly expended the curriculum. But these efforts were not entirely untroubled because during the first few years after the liberation of the country, the then authorities looked somewhat askance at the Department, describing it as being elitist or even as a possible hotbed for training future foreign agents. Fortunately, this misdirected attitude lapsed in due time, when it was realized that the Department's activities were entirely wholesome and an irreplaceable entity in the overall educational system, whose many graduates supply personnel for academic, educational, political, economic and all varieties of administrative spheres.

Since then and throughout the last 25 years, the English Department has gone through a continual process of expansion, modernization and change, predominantly in the methodology of tuition and in the composition of its

curricula, from which some formerly required subsidiary subjects, such as the rather exotic one entitled "Pre-conscription military training", gave place to the topics of national defence and later to civil defence and recently to the more amenable and contemporary subject of social ecology.

Although with an extensively transformed plan and program of studies, what has not changed since its inception, has been the Department's steadfast dedication to promoting cultural contacts with its counterparts throughout the world by inviting prominent professors of English as well as numerous well known writers in the Anglophone sphere to appear before our students and to import life to what they were being taught or were only reading about. In return, the English Department of Belgrade University has been the grateful recipient of scores of scholarships, fellowships and countless gifts of books and periodicals that have replenished its library after the considerable wartime losses and helped it to become one of the largest in our Faculty.

To sum up: the past experiences of our Department have sometimes been bleak but have not arrested its growth. It is to the credit of the younger generation of the Department's teaching staff with their enterprising vision that modernization will continue.

There is always more room for improvement. Perhaps the adaptation of the new Bologna principles will contribute to newer, more radical perceptions of what a University should really be.

In this sense, one would like perhaps to see the introduction in our University of inter-disciplinary studies, so that a student might choose to read history, for example, and languages, and combine them with geography, or philosophy, or art, or even music.

Why not?

I certainly hope that the future generations of scholars will share the enthusiasm of our dear Professor Janković and cherish the awareness of her immense contribution to the development of Anglo American studies in Serbia.

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Faculty of Philology
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Theoretical and Applied Linguistics

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ON SO-CALLED ADJECTIVAL PASSIVE IN ENGLISH[**]

Abstract
This paper analyses a structure commonly known as *adjectival passive*. This structure has been termed *adjectival* based on the morphosyntactic characteristics of the participle. Surprisingly, this structure has not received its deserved attention, since previous research only focuses on the characteristics of the participle. However, one should notice that verbs used for this structure are rather limited, and they are less likely to be used in the active voice, and the whole construction, when used as the adjectival passive, denotes perception. Thus, the subject entity in the adjectival passive is predominantly human, unlike the passive voice which tends to have the inanimate entity as the grammatical subject. Such peculiarities raise a question: what is the grammatical status of the adjectival passive in English? It seems difficult to explain this construction within a common descriptive grammar of English. One possible answer to this question is posited based on a typological distinction of the alignment system and the adjectival passive is considered as a case of fluid intransitive subject. In addition, considering the diachronic changes of this construction, the adjectival passive is becoming a special category, i.e. the fluid intransitive subject system, in the verbal system in English. It can also be predicted that this may turn into the split ergative based on the lexical meaning (i.e. mental state) in the future.

Key words: adjectival passive, alignment, fluid ergativity, split ergativity, perception

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[**] This paper has benefited from comments and suggestions by Donncha O'Croinin, Maireád Bates and Melisa Mustafović. None of these people are responsible for any errors of fact or method that may be found here. Abbreviations used in this paper: DAT, dative; GEN, genitive; INF, infinitive; PRES, present; VN, verbal noun.

1. Introduction

One of the puzzles in the English passive concerns constructions like *I am surprised at the noise*. It is commonly known as adjectival passive, but this construction has the 'verbal' passive-counterpart, as in *I am surprised by the noise*. There are two constructions, although the same verb is used. Previous works distinguish these two constructions according to the characteristics of the past participle: in one type the participle behaves like a verb and in the other like an adjective and hence, the verbal and adjectival passive. Surprisingly, however, various previous works dealing with the passive in English do not pay deserved attention to this construction. The difference between them is much greater than just verbal or adjectival behaviours of the participle and this is what we are going to analyse in this paper. Our general aim is to highlight peculiarities of the adjectival passive and explain its historical development. We also imply a possible alternative treatment of the adjectival passive in English.

We organise this paper as follows: we first critically review the treatment of periphrastic constructions in English, which are generally discussed under the term 'passive' in various previous works. Then we concentrate on the adjectival passive, and highlight various characteristics peculiar to this construction, but not to the verbal passive. We select some eighteen verbs which frequently appear in the adjectival passive, and demonstrate the frequency of various patterns based on the corpus analysis. These patterns involve subject's animacy, actor marker, transitivity, restriction in meaning, etc. Then we analyse the historical development of the adjectival passive, pointing out the gradual shift of the preference of form among the active, the verbal passive and the adjectival passive. Finally, we propose a possible typological parallel to some languages which have split alignment system, and argue that the adjectival passive may be a case of split-intransitive subject.

Note that we employ the corpus-based analysis to demonstrate the frequency of various characteristics in the adjectival passive. The corpora used in this work are as follows: Helsinki corpus (HE, for Old English (OE), Middle English (ME) and Early Modern English (eModE)), ARCHER corpus (ARCHER, for Late Modern English (lModE)),[1] London-Lund corpus (LL,

[1] Note that we only extract samples of British English from ARCHER.

for PDE, British, spoken), Lancaster-Oslo/Bergen corpus (LOB, for PDE, British, written).

2. Construction *I am surprised at the noise*

2.1 Traditional view

Within the domain of the passive voice in English, it is common practice to make a distinction between the verbal passive and the adjectival passive. One of the primal characteristics is how the past participle behaves, i.e. in the verbal passive it behaves more like verb, and in the adjectival passive, adjective. Synchronically, various tests have been proposed in the literature in order to distinguish the verbal participle from the adjectival ones, since there are some syntactic behaviours which signal the difference. They are the following: applicability of prefix; possibility of the comparative; gradability; replaceability of auxiliary *be* with quasi-copula, as summarised in (1). These tests are applicable to historical data, but the occurrence of past participle in certain constructions such as comparative or with adverbs such as *very* is quite rare in the historical data. Nevertheless, we believe that these tests can still be used for the diachronic data in spite of the infrequency.

(1) a. Affix: A negative prefix *un-* cannot be attached to a verb, but can be attached to adjectives derived from a verb. The acceptability of affixation to a verb in the past participle form indicates that it may not be derived from an original verb form, but from an adjectival participle.
b. Comparative: Adjectives and adverbs can occur in comparative and superlative forms and can be graded with very. Those categorised as adjectival passives can be graded, in particular can be modified by very, as in I am very surprised, He seems very disappointed, etc.
c. Quasi-copula: In the adjectival passive, but not in the verbal passive, so called quasi-copula (copula with real semantic content, often aspectual, modal or perceptional) such as *look*, *seem*, etc. can occur in the place of *be*.

In addition to these three tests, there are some lesser-known characteristics. One of them is agentivity, which is often not expressed in the adjectival passive. In ModE as well as PDE, it is claimed that prepositions apart from *by* can be a good base to distinguish the verbal passive from the adjectival passive, as in *I was surprised at the noise* (adjectival passive), but *I was surprised by the noise* (verbal passive). Note, however, that this is not the case in the earlier period, since various prepositions are used (see Peitsara 1992; Toyota 2003). Another factor, related to agentivity, is often associated with a stative reading. The verbal passive, when it is periphrastic with auxiliary *be*, may be ambiguous in this respect, especially at earlier periods, since the frequency of stative reading was much higher earlier, although these constructions could express both stative and dynamic readings. When a passive clause possesses agentivity, the clause is dynamic, since agentivity and stativity cannot occur in the same clause.[2] However, other auxiliaries such as *weorðan* 'become' in OE and ME and *get* in PDE, which normally express dynamic reading, do not create such ambiguity.

These tests make a clear distinction between the verbal passive and adjectival passive. However, the constructions involved in the passive are not simply verbal and adjectival, as described in detail in the following section.

2.2 Criticism of traditional view

The distinction of past participle into verbal and adjectival may be made clear according to the tests in (1), but one can identify some intermediate characteristics in the past participle. This type of diversity has led some scholars to the conclusion that there is no clear division between verbal and adjectival characteristics in the past participle and this relationship may be best considered as a continuum (see, for example, Haspelmath (1994), Huddleston (1984), Quirk et al (1985)). We show one such example for PDE:

[2] Consider inherently stative verbs like *understand*, *know*, etc. The actor for such verbs is most likely experiencer, not agent, whereas a dynamic (i.e. punctual) verb like *break* normally takes agent (except for its use as labile verb).

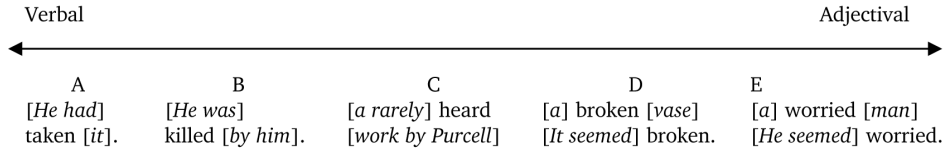


Figure 1. A continuum of past participle (Huddleston 1984: 324)

It seems fair to say that, as we have seen so far, there are some intermediate stages, although the distinction between the verbal and adjectival participle can be made. In addition, what is known as the adjectival passive can be turned into the verbal passive, e.g. *I was surprised at the noise* (adjectival passive) and *I was surprised by the noise* (verbal passive). The formation of the past participle here causes problems: when the adjectival participle is made from the verb *surprise*, the suffix is a derivational morpheme, but if it is the verbal participle, the suffix is inflectional. So the same participle can be either adjectival or verbal. So this verbal-adjectival dichotomy does not seem to be sufficient.

In addition, since previous works focus too much on the verbal-adjectival distinction, they often overlook the fundamental characteristics in the passive, such as the transitivity or the causer-causee relationship. What appears to be the passive can be a non-passive construction in disguise. In previous analyses, constructions in (2) are normally considered verbal passive.

(2) a. *The house is located in the city centre.*
b. *The box is covered with dust.*

Structure-wise, these examples are identical to the verbal passive. However, what distinguishes constructions like this from the passive is the presence of outer cause or the causer-causee relationship. So once the clause is interpreted as the passive, that clause needs not only the recipient of outer cause, i.e. undergoer, but also a presence of outer cause, i.e. actor (whether it is present or absent). This makes it very difficult to interpret constructions like (2a) or (2b) as the passive, since there is no outer cause. In our view, there are three main factors to determine what the passive is, i.e. orientation, the causer-causee relationship and the tense-aspect, especially dynamic-state distinction. By analysing these characteristics, we can form the prototype of the passive (cf. Toyota 2008).

The passive voice in general is mainly concerned with orientation (cf. Comrie 1981; DeLancey 1982; Haspelmath 1994), i.e. in the passive, the action is directed towards the undergoer, which is realised as an overt subject of the clause. However, there are superficially identical constructions with slightly different semantic features, particularly those features related to the tense-aspect system. Both the adjectival and verbal passive are undergoer-oriented, but this classifies both the adjectival and verbal passive into the same construction. Consider the adjectival passive examples in (3). These examples are all stative, which distinguishes them from the verbal passive, which is in principle dynamic.

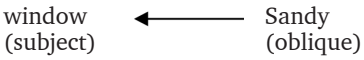
(3) a. *He was astonished at the noise.*
b. *I am interested in football.*
c. *I am satisfied with the result.*

Examples in both (2) and (3) express stativity, although the stativity in (3), but not in (2), is rendered by the construction, not the lexical meaning of the participle, i.e. *astonish* when used in the active clause is dynamic, but once used as a past participle in (3a), stative. This type of stativity is called constructional stativity in order to distinguish it from lexical stativity, as observed in verbs like *stay*, *remain*, etc. Examples in (4) are commonly known as the verbal passive, and they differ from examples in (3) in terms of characteristics of the participle as well as aspect, i.e. (3) is stative and (4), dynamic, representing the lexical aspect of the past participle.

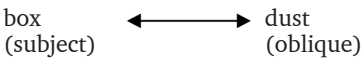
(4) a. *The vase was broken by Sandy.*
b. *This new plan was proposed by the government.*

The problems we can gather from (2) to (4) are as follows: i. the examples in (2) do not imply the outer cause; ii. the examples in (3) imply the outer cause, but they are stative; iii. the examples in (2) do not have active counterparts, but those in (4) certainly do and those in (3) quite possibly do, since NP in prepositional phrases can be outer cause. Facing this untidy distinction, we propose a new classificatory system. In Figure 2, the orientation of the English passive i.e. *be + past participle* construction and its related constructions are shown. In order to make a comparison, both stative and dynamic active clauses are also listed:

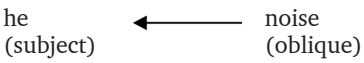
a. Verbal passive, e.g. *The window was broken by Sandy.*



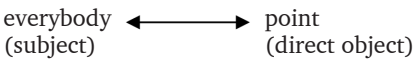
b. Resultative, e.g. *The box is covered with dust.*



c. Adjectival passive, e.g. *He was surprised at the noise.*



d. Active voice (stative), e.g. *Everybody understands the point.*



e. Active voice (dynamic), e.g. *Sandy broke the window.*

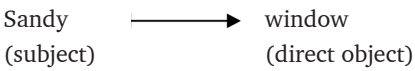


Figure 2. Orientation of the periphrastic passive and related constructions in English (based on Toyota 2008: 12)

In the verbal passive *The window was broken by Sandy*, the subject of the clause, undergoer, underwent some change through the event, while in the resultative *The box is covered with dust*, the clause expresses a state of the subject, and there is no causer-causee relationship. The main difference between them is two-fold: one is aspect, i.e. the verbal passive is dynamic, the resultative is stative, and the other is orientation, i.e. the verbal passive is undergoer-oriented, while with the resultative, no orientation is involved. In other words, the causer-causee relationship is present in the verbal passive, but absent in the resultative. However, the English passive generally has an intermediate type between the verbal and the resultative, which is the adjectival passive. The difference is that the adjectival passive is stative, like the resultative, but it still preserves the undergoer-orientation, i.e. the causer-causee relationship exists in the adjectival passive and the whole clause expresses the subject's state resulting from an event. We may note that a state created by some outer cause, as observed in the adjectival passive is known as the secondary state, as opposed to the natural state (Nedjalkov and Jaxontov 1988: 4), which is the case with the resultative, i.e. without any outer cause.

One possible criticism of such distinction is related to the characteristics of the past participle. The distinction made so far is mainly based on the semantic characteristics. However, they do not necessarily agree with the syntactic ones. Similar conflict can be observed in the definition of transitivity: as Hopper and Thompson (1980) argue, a semantic definition of transitivity is not normally assumed. So for example, a clause with a direct object such as *I like case* is less transitive than a monovalent verb such as *I went*. However, since the passive is so closely related to high transitivity, this type of ambiguous distinction can be expected.

What we have seen in this section is a definition of the passive used throughout this work. The assumption of the active-passive counterpart and the valency reducing operation may be common practice in linguistic analysis of the passive voice, but the use of actor-undergoer distinction, instead of agent-patient, or the division of the periphrastic construction into three, the verbal passive, the adjectival passive and the resultative, may not be common practice, but they are often mentioned in this work.

3. Adjectival passive: data analysis

Apart from the adjectival properties of the participle and aspectual difference, there are several other characteristics of the adjectival passive which differ significantly from those of the verbal passive. Without analysing details, we can observe some obvious peculiarities of this type. They are summarised below:

(5) i. Actor markers are idiomatised.
ii. The overt subject (undergoer, not actor) is normally human.
iii. The grammatical subject is not in control of events, and is often not intentional.
iv. Most of them denote mental state or at least, can function as perceptive verbs.

Since this construction creates some consistent special meanings and characteristics, and also the relative frequency of such meanings is high, we can assume that it is forming a special type of construction in English.

In order to analyse the adjectival passive in more detail, we chose a set of verbs based on the traditional distinction, especially the ones that

take different prepositions apart from *by* in the periphrastic construction, e.g. *be interested in*, *be satisfied with*, etc. (see Table 9 for details). This set contains the seventeen verbs in (6):

(6) *abash, amaze, amuse, annoy, astonish, disappoint, disgust, engross, impress, infatuate, interest, inundate, obsess, please, satisfy, shock, startle, surprise*

Among them, two verbs, i.e. *infatuate* and *inundate* do not occur at all in both spoken and written corpora. Some others do not occur in the spoken data, i.e. *abash, amaze, annoy, disgust, engross, impress, obsess* and *startle*. We first extract all of these verbs used as the active, the adjectival passive, the resultative, the verbal passive and others, as shown below in Table 1. Others include the use as adjective or adverbs. The adjectival use includes both pre-modifying and post-modifying usage.

Table 1. Frequency of different types from the set of verbs in PDE

	Data source		
	Written	Spoken	Total
Active	140 (27.1%)	20 (15.8%)	160 (24.8%)
Resultative	43 (8.3%)	0 (0%)	43 (6.7%)
Adjectival passive	230 (44.5%)	100 (78.7%)	329 (51.1%)
Verbal passive	35 (6.8%)	1 (0.8%)	37 (5.8%)
Others	69 (13.3%)	6 (4.7%)	75 (11.6%)
Total	517 (100%)	127 (100%)	644 (100%)

It is obvious that these verbs are used as the adjectival passive most frequently, followed by active. The frequency of the adjectival passive is especially high in the spoken data. The overall occurrence of the resultative and the verbal passive is not so high. According to the data source, the spoken data contains much higher frequency of the adjectival passive, but the verbal passive is higher in the written data. The higher frequency of the verbal passive in the written data has been noted, since the passive is often associated with more formal register. For example, Givón (1979: 58-59) claims that the passive is used in English about 4% in less-educated styles or about 18% in more-educated styles. So considering the data source, the high frequency of the adjectival passive in the spoken data should be noticed.

There are some verbs in English (what Toyota 2009a calls passive verbs) which do not appear in the active voice at all, e.g. *repute*, *rumour* and *repute*, which historically did appear in the active. In this sense, the verbs shown in (6) are different and all of these verbs can be used in the active. However, note that there are three verbs *disgust*, *engross* and *obsess* which can be controversial, since they do not occur in the active, but only in the resultative and verbal passive as far as our data is concerned (cf. Table 22 and Table 23 in Appendix I). Among them, *disgust* can appear in the active, e.g. *Your eating habits disgust me*, but the active form of *engross* and *obsess* can be troublesome. So the passive form may be the only form possible from these two verbs. The difference between these two verbs and the passive verbs is that these two verbs have not had active counterpart in the earlier form, and they only occur in the periphrastic construction. The past participles of these verbs are more adjectival, simply having an *-ed* suffix in disguise.

The verbs shown in (6) are slightly different from other verbs, since although they perform the voice alternation, most of the alternation ends up in the adjectival passive. Such strong tendency indicates that these verbs form a special set of verbs in English. We analyse various semantic features of such verbs in the following sections.

3.1 Subject's animacy

Generally speaking, the subject of the verbal passive is known to be more inanimate, not human. This is one of the characteristics of the passive, due to the anthropocentric nature of our language. Anderson (1997: 227-228) notes that "[m]any linguists (e.g., Givón 1979: 152) have commented on the "ego/anthropocentric nature of discourse" – i.e. the fact that humans tend to speak about entities and events as they relate to the domain of human experience. Thus, in a canonical speech context, speakers and hearers are logically more likely to be interested in how the human (or otherwise "animate") referents are affected by the actions and states described in the discourse." This can be reflected in the nominal hierarchy, i.e. human beings tend to conceive the action denoted by verbs from the viewpoint of an entity higher in the hierarchy, i.e. human, or more specifically, first person. This is so, because "[s]peaker and addressee are by definition more topical or salient to the interlocutors, since they are the

interlocutors" (Croft 2001: 315). This factor is reflected to various degrees in different languages, but in general, human entities tend to occupy the subject slot of unmarked constructions.

Bearing this tendency in mind, let us now consider the verbal passive. Since this construction is a marked one, the animacy of the subject is bound to show a different hierarchical pattern. We show the results from our corpus on PDE verbal passive in Table 2. It is clear from the table that inanimate subjects are more frequent in the verbal passive regardless of the data source, although it is slightly more frequent in the written data. So this shows that the passive is a marked construction, at least from the perspective of animacy of subject.

Table 2. Animacy of the verbal passive subject

Data source	Human	Non-hum. animate	Inanimate	Total
Written	1946 (21.9%)	51 (0.6%)	6905 (77.6%)	8902
Spoken	689 (33.7%)	17 (0.8%)	1337 (65.5%)	2043
Total	2635 (24.1%)	68 (0.6%)	8242 (75.3%)	10945 (100%)

Now let us consider the animacy of the verbs shown in (6). First we consider the pattern in the active. The results from our data is shown in Table 3. Non-human animate hardly ever occurs, so we are basically dealing with human and inanimate entities. The result in Table 3 are somewhat surprising, since the pattern of frequency is quite similar to the one of the passive shown in Table 2. Since this is the active voice, the subject is supposed to be more human, but these verbs do not show such a pattern. In turn, the result of the passive and the resultative is shown in Table 4. We take the combination of the adjectival passive and the verbal passive, since they are both undergoer-oriented. With this set of verbs, the undergoer-orientation seems to indicate that the subject is predominantly human rather than inanimate. It is not characteristic of the passive, since the subject is supposed to be non-human (cf. Table 2).

Table 3. Animacy of the subject in the active

Data source	Human	Non-hum. animate	Inanimate	Total
Written	60 (42.9%)	3 (2.1%)	77 (55.0%)	140
Spoken	1 (5.0%)	0	19 (95.0%)	20
Total	61 (38.1%)	3 (1.9%)	96 (60.0%)	160 (100%)

Table 4. Animacy of the subject in the adjectival and verbal passive

Data source	Human	Non-hum. animate	Inanimate	Total
Written	244 (92.1%)	0	21 (7.9%)	265
Spoken	98 (97.0%)	0	3 (3.0%)	101
Total	342 (93.4%)	0	24 (6.6%)	366 (100%)

So at first sight, this set of verbs seems to show the marked pattern in the active. Then is it really marked? As far as the anthropocentric nature of our language is concerned, the speaker tends to use the first person more frequently and the third person less frequently, since the third person is not typically involved in the discourse. If this set of verbs appears in the verbal/adjectival passive like other verbs in English, then they are at least supposed to show higher frequency in the third person. Consider the result of data in Table 5. As far as our data are concerned, the third person is more common. This creates somewhat untidy distinction: the passive/adjectival passive exhibits a generally unmarked distinction of animacy, but in terms of person, it is marked. Such untidy distinction may be a reason for ambiguity in this construction.

Table 5. Distinction in the personal subject in the adjectival and verbal passive

Data source	1st person	2nd person	3rd person	Total
Written	74 (30.3%)	11 (4.5%)	159 (65.2%)	244
Spoken	46 (46.9%)	13 (13.3%)	39 (39.8%)	98
Total	120 (35.1%)	24 (7.0%)	198 (57.9%)	342 (100%)

3.2 Actor marker and agentivity of actor

We concentrated on the undergoer in the pervious section, but in this section, we analyse the actor. In the passive/adjectival passive, the actor is often not overly expressed. If it is, the frequency is generally known as about 20-30% of all occurrence of the passive (cf. Toyota 2008: 100). The actor, when expressed in the oblique case, is normally headed by a preposition *by*, which may make it less obvious that this is an outer cause, since *by* itself does not obviously indicate SOURCE of outer cause as other prepositions like *from* or *of* can. This nature of *by* has been noticed by some scholars. Svartvik (1966: 105), for example, points out that ambiguous usage of *by*-phrase between an outer cause and a non-outer cause in examples like *Oil will be replaced by coal*. He terms such use of the *by*-phrase a janus-agent, which he defines as "constituents which permit two different active clause transformations according to whether they are interpreted as agents [i.e. actor] or adjuncts [i.e. non-actor]."

Our results also confirm that the actor phrase is not expressed frequently in the verbal passive, as shown in Table 6. Notice the difference in the frequency according to the data source. The written data has higher frequency of the overtly expressed actor. Now we examine the results in the set of verbs used as the adjectival and verbal passive. As Table 7 shows, the overall frequency of actor phrase is not so different from the one of the verbal passive, but the spoken data has higher frequency in comparison with the verbal passive in general. Table 7 just shows the results of an overall presence of actor, but as we stated in (5i) earlier, this set of verbs has idiomatised actor markers according to each verb, such as *surprised at*, *interested in*, etc. When the distinction between more conventionalised *by* and other idiomatised prepositions is made, we gain the result shown in Table 8. It is obvious that these verbs are closely associated with certain prepositions.

Table 6. Presence/absence of actor in the prepositional phrase in the verbal passive

Data source	Actor present	Actor absent	total
Written	2623 (29.5%)	6279 (70.5%)	8902
Spoken	365 (17.9%)	1678 (82.1%)	2043
Total	2988 (27.3%)	7957 (72.7%)	10945 (100%)

Table 7. Presence/absence of actor in the prepositional phrase in the adjectival and verbal passive

Data source	Actor present	Actor absent	total
Written	147 (28.4%)	370 (71.6%)	517
Spoken	49 (38.6%)	78 (61.4%)	127
Total	196 (30.4%)	448 (69.6%)	644 (100%)

Table 8. Frequency of the idiomatised prepositions as actor marker

Data source	Preposition *by*	Idiomatised prepositions	Total
Written	26 (17.7%)	121 (82.3%)	147
Spoken	2 (4.1%)	47 (95.9%)	49
Total	28 (14.3%)	168 (85.7%)	187 (100%)

The distinction in the prepositions often functions as a marker for the verbal passive and the adjectival passive in traditional terms. So according to a previously common distinction, the idiomatised prepositions can indicate that the construction is the adjectival passive, while *by* indicates the verbal passive. However, this distinction is not accurate and we are bound to find exceptions, even if we retain the traditional terms. Moreover, we do not retain the traditional distinction and have proposed a new classification. Our distinction is only concerned with the presence/absence of outer cause, regardless of its overt expression. Let us take some examples: *obsess* is often associated with the preposition *with* or *about*, but *by* can often occur with it. In the following example, (7) is allegedly an instance of the verbal passive, while (8) and (9) instantiate the resultative.

(7) *The authors of both the majority and the minority reports of the Committee of Inquiry into the Rating of Site Values (1952) seem to have been* ***obsessed by*** *the idea of annual rental value, for both reports speak of "the annual site value" (i.e. the yearly rent which the site might be expected to yield if let at* ***the valuation*** *date upon a perpetual tenure).* (LOB E28 157-162)

(8) *During the last few years of his life there is ample evidence that Graham's mind was* ***obsessed with*** *religious mania and that he was becoming, eventually, a victim of his own tomfoolery.* (LOB G56 144-146)

(9) *If there is what the same paper has called a 'British obsession about soldiers in politics', then many parts of the world have been giving us plenty to be* ***obsessed about****.* (LOB G74 49-51)

According to the traditional grammar, the presence of *by* guarantees the status of verbal passive, but this is questionable in (7). The *by*-phrase is certainly an outer cause, but it is not an agent. Also consider the instance in (10): *obsess* itself expresses dynamic aspect, and if it is used in the verbal passive, the whole clause is supposed to be dynamic. However, in spite of the presence of *by*, the following instance is stative (notice the presence of *still*, which is a typical case of resultative, cf. Nedjalkov and Jaxontov 1988). This makes (10) a case of adjectival passive, not verbal passive. So *by* as an actor marker does not guarantee the status of the verbal passive. The opposite distinction can happen: when the preposition is not *by*, the clause can still be dynamic. Consider the case of *annoy* in (11). This example, in spite of the preposition, expresses dynamic aspect. However, *annoy* can take other prepositions such as *at*, and in the case of (12), the clause is stative and it is a case of the resultative.

(10) *And Mr. Coward is still* ***obsessed by*** *the immensely important fact that other people do not dress exactly as he does.* (LOB A19 23-24)

(11) *The Danes are* ***annoyed with*** *British farmers for fighting against Danish competition. They say that our farmers do not seem to understand the meaning of free trade.* (LOB B04 222-225)

(12) *Gino wiped his face and head with an old handkerchief. It had stopped drizzling, and he was* ***annoyed at*** *having allowed himself to be soaked.* (LOB N29 64-67)

Such instances cast a serious doubt about the distinction of a construction based on the choice of prepositions. We list various types of prepositions associated with each verb in Table 9. There seem to be some patterns, and *at* and *with* seem to be common. However, how come this set of verbs can accept variety of prepositions, like *about*, *by* or *with* in the case of *obsess*?

Table 9. Set of verbs and their idiomatised prepositions

Verbs	Prepositions	Verbs	Prepositions
abash	*at, by*	*infatuate*	*by, with*
amaze	*at, by*	*interest*	*by, in*
amuse	by, with	inundate	by, with
annoy	at, by, with	obsess	about, by, with
astonish	at, by, with	please	at, by, with
disappoint	about, at, by, in, with	satisfy	by, with
disgust	at, by, with	shock	at, by
engross	by, in	startle	at, by
impress	by, in, with	surprise	at, by

The prepositions as actor markers have received little attention, except for Peitsara (1992) and Toyota (2003, 2008), along with some other works like Visser (1963-73), which list various possible choices of prepositions in the history of English. It is common to express the actor as a source of outer cause, and if a language uses prepositions to indicate actor, 'from' and 'of' are most commonly used, as in, for instance, other Germanic languages (cf. Toyota 2009b). In this sense, the use of *by* as actor marker is unique. Due to its lexical meaning, it is plausible to claim that this preposition creates 'proximity' of outer cause (cf. Toyota 2003). In this sense, the use of *at* or *with* is understandable, since they also describe the location of object. The difference, if there is any, may lie in the specificity: for example, *at* can specify the cause in detail, while *with* seems to lack such specificity, at least to the degree *at* does. Consider verbs that take these prepositions. Verbs expressing 'surprise' or 'shock' do not take *with*, except for *astonish*, probably because these verbs require the specific mention of the onset of outer cause. Those verbs associated with *with* need not specify such onset. Then how can one account for such variations? The significance of such prepositions can be attributed to the subjective viewpoints. In PDE, the choice of prepositions seems to be a collocation, closely attached to the lexical meaning of verb, but there are certain choices and such choice of the prepositions can be attributed to the subjective view of the speaker/writer. This means that whether specificity is indicated overtly or not is up to the speaker/writer.

Another argument related to the choice of prepositions is the low degree of agentivity: As we have seen in Table 3, this set of verbs, when

they appear in the active, occur with inanimate subjects. Such pattern of animacy is reflected in the animacy of actors, as indicated in Table 10. This means that the majority of outer cause cannot be agentive: the clause is not transitive, in a traditional sense of transferring energy from one participant to another. This is also reflected in the stativity of the construction. So the construction is concerned with the description of the state. This also interacts with the subjective viewpoint, since the subjective viewpoint allows the speaker to choose different prepositions based on his/her own way of viewing the state. This creates variations like *disappointed about, at, by, in* and *with*.

Table 10. Animacy of NP in the prepositional phrase in the adjectival and verbal passive

Data source	Human	Non-hum. animate	Inanimate	Total
Written	20 (14.5%)	0	118 (85.5%)	138
Spoken	5 (10.2%)	0	44 (89.8%)	49
Total	25 (13.4%)	0	162 (86.6%)	187

3.3 Stativity

The adjectival passive, as we have defined it, is a construction which implies the outer cause and the clause is stative, not dynamic. We have seen that such a distinction can be controversial, and this is so due to the characteristics of the participle: once the inherently stative verbs are involved in the passivisation, the overall interpretation of the clause is stative, but this is due to the participle. Scholars like Givón (1990: 571-572) claim that one of the functions of the passive (i.e. our verbal passive) is stativisation. However, such claim is highly questionable, as Haspelmath (1990: 38) argues that "there is no direct relation between passives and states".

We have so far distinguished several properties that make a participle more verbal or more adjectival. According to such distinction, when a participle is adjectival, it tends to create stativity, and when verbal – dynamicity. However, this is not always the case and there is one particular set of verbs which behave differently: those verbs that create stativity on their own, such as perception verbs *see*, *hear*, *understand*, etc., behave like verbal participle in the passive, but the interpretation of the whole clause

is still stative. This proves that stativity in the passive can interestingly be expressed in terms of both syntax and semantics. The syntactic dichotomy is 'verbal passive vs. adjectival passive/resultative', where the verbal passive is dynamic and the adjectival passive/resultative is stative. The semantic dichotomy is 'process vs. state', where the process is dynamic and state, needless to say, stative. In order to make this statement clearer, consider the example in (13). The whole clause is stative, while the structure is like that of the verbal passive, since the past participle does not behave like an adjective. This example cannot accept various tests introduced in (1): prefix *un-*, **He was unknown by many people*; comparative, **He was more known by many people*; quasi-copula, **He seemed known by many people*. In discussing the data and the analysis of examples in Section 3, we explained that we treat such cases as verbal passive in spite of their stativity. However, issues concerning the stative verbs are not restricted to the case like (13): some of the stative verbs can be passivised, and others cannot. For example, consider the examples in (14). Some stative verbs like *resemble* do not require outer cause, i.e. they denote a natural state as opposed to secondary state. Thus, passivisation is not possible with some stative verbs if they cannot imply actor. Our distinction of resultative is based on the stativity and the absence of actor. So the semantic condition of examples like (14) is identical with the one of resultative, but (14b) is yet ungrammatical.

(13) *He was known by many people.*

(14) a. *This book can be kept for three weeks.*
b. **This boy is resembled by his father.*

Such cases show that stative verbs behave somewhat differently in the passive and we analyse their internal semantic characteristics: first, we look at the thematic roles. We have been using the terms *actor* and *undergoer* so far, but we want to pay attention to a finer distinction, such as agent and patient. The stereotypical passive is said to possess a patient entity in the subject slot and an agent entity in the oblique phrase. Verbs like *believe*, *hear*, *know*, *like*, *see* and *understand* generally involve experiencer as subject and theme as an object. Although it is difficult to draw a line between theme and patient, the object involved in the stative verbs bears a much lower degree of affectedness or it does not undergo the change at all. This reveals that patient is less likely to be involved.

When the set of verbs in (6) are concerned, the clause is stative but the main verb, when used in the active, denotes dynamic aspect, as shown in (15) to (20).

(15) *They are, however, bold in the use of rhyme to a degree that would* ***astonish*** *Mr. Ogden Nash.* (LOB C12 119-120)

(16) *Some leading communists confide that the system is now too liberal to achieve quickly enough the kind of results that will* ***impress*** *the children and young people.* (LOB E22 76-78)

(17) *There is a widespread belief that the ruling Tories are becoming more reactionary, trying to* ***please*** *their Right Wing more than their Left or centre supporters.* (LOB B20 158-160)

(18) *Whether such an apparatus can be incorporated in a reactor circuit in a manner that will* ***satisfy*** *safety requirements will need further study.* (LOB J01 172-174)

(19) *It grew even more acute e acute when a four-man commission led by Mr Justice Devlin, sent out to investigate the reasons for the upheaval, produced a long report which* ***shocked*** *everyone – except, as it seemed later, the government.* (LOB F05 112-116)

(20) *I watched him because I was always fascinated by the way he looked when you tried to* ***surprise*** *him.* (LOB N06 99-100)

So the difference between the adjectival passive and the verbal passive with stative verbs is that the stative aspect in the adjectival passive is derived from the construction itself, not from the main verb. Also, as we have seen in the previous section, the choice of prepositions does not guarantee the stative-dynamic distinction of the clause: recall the earlier example with *obsess* in (10) and *annoy* in (11). The traditional distinction based on the preposition does not always guarantee the aspectual distinction. Such an instance also indicates that it is the construction, not the main verb or prepositions, that determines the aspectual distinction.

3.4 Transitivity

As we have seen in Section 2.2, the passive involves the force-dynamic alternation or the causer-causee alternation, which is in essence equal to transitivity alternation. The term *transitivity* is normally used very loosely in linguistic theory, and at least two types can be identified. One type is semantic transitivity, and the other, syntactic transitivity. The semantic one is concerned with the transfer of energy from one entity (actor) to another (undergoer). The syntactic one is only concerned with whether the direct object is present (transitive) or absent (intransitive). Alternatively, transitivity can be viewed in continuum, as proposed in Lakoff (1977) or Hopper and Thompson (1980). What we are concerned with here is the outer cause, so we are concerned more with the semantic transitivity than the syntactic one. According to this type of transitivity, when a lexical verb is transitive, such as verbs of creation or destruction (cf. Kozinsky 1980; Testelec 1998), the passivisation is more easily done. Kittilä (2002: 23) rightly points out this correlation of the passive and transitivity as follows:

> Passivization makes it in many (but not all) cases possible to separate transitive clauses from less transitive ones, since … only clauses conceived of as somehow transitive are to be passivized in many languages. The acceptability of passivization correlates to some extent with transitivity: the more transitive a clause is, the more readily it can be passivised (see, for example, Lehmann 1991: 224f and Rice 1987).

Transitivity here is used in a sense of Hopper and Thompson (1980), i.e. the semantic transitivity, concerned with the transfer of energy itself from one entity to another regardless of structural patterns. What is commonly assumed by this term seems to be related to the syntactic definition, concerning the number of arguments, e.g. intransitive verbs are monovalent (such as *go* in *I go to town*) and transitive verbs are divalent (such as *break* in *He broke the cup*) or trivalent (such as *give* in *He gave her a present*).

Hopper and Thompson (1980) go further on the semantic aspect of transitivity, claiming that a transitive construction often serves as a topical construction, i.e. interlocutors are familiar with the information carried in the transitive clause, while an intransitive clause functions as a focus

construction, introducing a new piece of information. These two versions of definitions (syntactic and semantic) do not always get along well with each other. For example, in terms of syntactic definition, examples like *I like cakes* is transitive, since it involves two arguments *I* and *cakes*. However, in the semantic definition, it is not so transitive, since the clause does not imply much transfer of action or event, but it is more likely to denote the mental state of the subject. Such complication is explicitly expressed in Hopper and Thompson (1980). They provide ten parameters of transitivity as shown in Table 11. So when a clause possesses more parameters, it is more transitive.

Table 11. Parameters of transitivity, adopted from Hopper and Thompson (1980: 252)

	High	Low
a. Participants	2 or more participant, agent and object	1 participant
b. Kinesis	action	non-action
c. Aspect	telic	Atelic
d. Punctuality	punctual	non-punctual
e. Volitionality	volitional	non-volitional
f. Affirmative	affirmative	negative
g. Mode	realis	irrealis
h. Agency	agent high in potency	agent low in potency
i. Affectedness of object	object totally affected	object not affected
j. Individuation of object	object highly individuated	object non-individuated

According to the parameters in Table 11, clauses like *She left* are more transitive than *I like cakes*, since the first example possesses more parameters than the second one. The difference is summarised in Table 12, but we add one more example, *He broke the window*, which is unambiguously transitive in both syntactic and semantic definition. So what is commonly considered intransitive, *She left*, can be considered more transitive than what is known as transitive *I like cakes*. So based on the parameters like this, it may be better to consider transitivity in terms of relative transitivity or in a sense of gradience.

Table 12. Parameters of transitivity, applied to three examples

	She left.	*I like cakes.*	*He broke the window.*
a. Participants	–	+	+
b. Kinesis	+	–	+
c. Apsect	+	–	+
d. Punctuality	+	–	+
e. Volitionality	+	–	+
f. Affirmative	+	+	+
g. Mode	+	+	+
h. Agency	+	–	+
i. Affectedness of object	–	–	+
j. Individuation of object	–	–	+

Keys: + = parameter high; – = parameter low

So when a syntactic transitive clause like *I like cakes* is passivised, it can create some difficulty, since it is semantically intransitive, i.e. it is difficult to have a right context for it to appear in the passive *Cakes are liked by me*. This is because the clause is less agentive, non-punctual and the object is not much affected, and thus, intransitive. Clauses involving the set of verbs shown in (6) can be syntactically transitive in the active, but semantically, they are less transitive, since the action cannot be agentive or volitional. This is clearly shown by the fact that the actor is often inanimate (cf. Table 4 and Table 5). We illustrate one instance from the set of verbs in (6), i.e. *The noise surprised me* and its verbal passive and adjectival passive counterpart *I was surprised by the noise* and *I was surprised at the noise*, respectively, and analyse this sentence according to the ten parameters shown in Table 11. The result is shown in Table 13.

Table 13. Parameters of transitivity, applied to *The noise surprised me*

	The noise surprised me.	*I was surprised by the noise.*	*I was surprised at the noise.*
a. Participants	+	–	–
b. Kinesis	+	+	–
c. Aspect	+	+	–
d. Punctuality	+	+	–
e. Volitionality	–	–	–

f. Affirmative	+	+	+
g. Mode	+	+	+
h. Agency	–	–	–
i. Affectedness of object	+	–	–
j. Individuation of object	+	–	–

Keys: + = parameter high; – = parameter low

The active clause seems to be more transitive (scoring eight high parameters), but the adjectival passive seems to be intransitive (scoring two high parameters). The verbal passive seems to be intermediate, scoring five high parameters. So it seems that once a verb is used in the adjectival passive, it becomes less transitive, thus this process can be considered de-transitivisation. Stativity gained from the passivisation of the verbs in (6) is, thus, only a by-product of the de-transitivisation, but not the main function. In addition, the adjectival passive is in a sense similar to the perfective construction, differing only in the orientation, i.e. the clause is mainly concerned with the current state of the undergoer resulting from the earlier action. However, it has to be distinguished from the perfective passive, as in PDE *The window has been broken by small children*, where the overt marking of perfective aspect is grammatically present. The adjectival passive we are analysing could express such aspect without an overt marking.

3.5 Restrictions in meaning

In relation to the stativity created in the resultative, the change in the meaning has to be distinguished. The set of verbs in (6), when used in the active clause, express actions of astonishing, pleasing, surprising, etc. However, once they are used in the periphrastic construction, they seem to express the mental state, in a sense of 'in a state of being astonished, pleased, surprised, etc.' This case must be distinguished from the passivisation of perception verbs. The mental states created by the perception verbs are due to the lexical meanings of the main verb, in addition to the stativity reflecting the aspectual nature of past participles. So by the process of passivisation, the verbs in (6) create extra meanings, i.e. mental state, and the function of stativisation.

The difference in meanings can also be supported by the fact that there are instances of quasi-copula. The overall frequency of the quasi-copula in our data is shown in Table 14. The overall occurrence seems to be insignificant, but among quasi-copulas found in the adjectival passive, there is a clear tendency that perception verbs are more frequently used: quasi-copula involves perception verbs such as *seem*, *look*, etc., but it also involves others, such as *become*, *get*, which are often known as inchoative verbs. The frequency of perception verbs among the quasi-copulas is shown in Table 15, followed by examples, representing each possible quasi-copula in our data.

Table 14. Frequency of quasi-copula as auxiliary

Data source	Quasi-copula	Auxiliary *be*	Total
Written	32 (6.2%)	485 (93.8%)	517 (100%)
Spoken	3 (2.4%)	124 (97.6%)	127 (100%)
Total	35 (5.4%)	609 (94.6%)	644 (100%)

Table 15. Frequency of perception verbs in quasi-copula

Data source	Perception verbs	Inchoative verbs	Total
Written	29 (90.6%)	3 (9.4%)	32 (100%)
Spoken	0 (0%)	3 (100%)	3 (100%)
Total	29 (82.9%)	6 (17.1%)	35 (100%)

appear (3 instances)

(21) *Above all, a mother should* ***appear pleased*** *about her daughter's physical changes because it indicates approaching maturity, and this is something, the mother must imply, to be looked forward to, not dreaded.* (LOB F17 146-149)

feel (7 instances)

(22) *What a night on which to P04 74 die, she thought, trying to* ***feel amused****.* (LOB P04 73-74)

look (14 instances)

(23) *Everyone* ***looked impressed*** *and Mother said proudly, "Julia's going to be clever.* (LOB K25 51-52)

seem (4 instances)

(24) *He **seemed** particularly **interested in** Wedgwood beakers, a Decca record-player and Cooper's Oxford Marmalade.* (LOB R04 37-38)

sound (1 instance)

(25) *It is only occasionally that he gives the impression of not wanting to **sound** too **impressed**, as, for example, when he mentions in passing the numerous puerilites [puerile] in Lawrence's daily life and in many of his books.* (LOB C12 174-177)

The use of perception verbs as auxiliaries indicates that the adjectival passive as a whole is often related to the perception, but the overall frequency is not so high. This is probably due to the overlap of meaning, i.e. the meaning of perception is also obvious in the adjectival passive itself, and the perception verbs are used to specify what type of perception is involved, e.g. visual perception, audible perception, etc. Perception is in general a subjective matter, i.e. it is concerned with how a speaker/writer describes an event/situation from his/her own point of view. This is also reflected in the high frequency of the human subject in the adjectival passive (cf. Table 4 and Table 5), although the third person seems to be more common than the first person. However, the verbal passive is more commonly expressed with the inanimate subject, and the high frequency of human subject is a peculiarity of the adjectival passive.

The meaning of mental state created by the adjectival passive also explains the high frequency of human subject, since it is human beings that perceive outer stimuli and expressing mental state is more likely to be based on the subjective view point.

3.6 Synchronic peculiarities of adjectival passive

As stated in (5), the adjectival passive has peculiarities, such as idiomatised actor markers, animacy of subject as human, and the whole clause expresses the mental state. In addition to this, we have seen that the adjectival passive achieves de-transitivisaiton, and the stativity is a constructional one, not lexical one. We summarise these characteristics in Table 16.

Table 16. Summary of characteristics of adjectival passive

	Characteristics
Subject's animacy	Subject tends to be human, which is identical to the unmarked active clause.
Actor marker	Various prepositions can be used, unlike the verbal passive where *by* is normally associated with the construction. Also, the choice of prepositions seems to be subjective.
Stativity	Stativity comes form the construction, not from the lexical meaning of the verb, since verbs used in the adjectival passive on their own expresses dynamic aspect.
Transitivity	The adjectival passive performs the function of de-transitivisation, which means that the clause is intransitive, both syntactically and semantically.
Perception verbs	There is a restriction in the meaning of the verb, and the adjectival passive as a whole functions like perception verbs and expresses the meaning of mental state.

Having analysed the synchronic characteristics of the adjectival passive, we move onto its diachronic development in the rest of the paper and suggest why this construction emerged and what type of construction it is typologically.

4. Adjectival passive in diachronic perspective

The origin of the passive is considered as stative/adjectival constructions. As discussed at length in Toyota (2008: 15-28), earlier stative constructions are most likely to have expressed perfective aspect. Due to various changes apart from the passive, the earlier perfective construction became the passive (see Toyota 2009c for a detailed argument). However, when it comes to the adjectival passive, we can find features peculiar only to this construction, but not to the verbal passive or the resultative. What is peculiar is that this construction almost always expresses the meanings of mental state. Recall the verbs listed in (6): they all express the mental state once used in the adjectival passive, although their active counterparts may not necessarily do so, e.g. *I am shocked* expresses the mental state, but *The sad news shocked me* expresses the action itself.

It is worth mentioning the general development of the perception verbs in English first. Earlier perception verbs had a different case marking

system from an unmarked construction, and the experiencer was typically expressed in dative, and the cause in either nomaintive or genitive. This type of verbs is also known as impersonal verbs; there are about 40 verbs classified as impersonal verbs and earlier English borrowed some such verbs from Old French and Scandinavian languages. (Bauer 1998: 112). See Pocheptsov (1997) for a list of them. The example (26) illustrates a typical instance of an impersonal verb.

(26) *Mæg þæs þonne ofþyncan ðeodne Heaðobeardna*
may that.GEN then displease.INF lord.DAT Heathobards.GEN
… *þonne* …
when
'It may displease the lord of the Heathobards … when …' (*Beo* 2032)

This set of verbs became 'personalised' by the lME period. Impersonal verbs may appear to be unrelated to the adjectival passive, especially at the morphosyntactic level. However, they play a significant role at the morphosemantic level, especially due to the fact that they are normally perception verbs.

Verbs expressing the mental state seem to be treated slightly differently from other verbs in the history of English, and the chronology of impersonal verbs and the verbs in (6) used in the adjectival passive can indicate some pattern: impersonal verbs disappeared in lME/eModE, and the aspectual change in the periphrastic construction (i.e. the emergence of verbal passive) happened during ME (cf. Toyota 2008). Without the aspectual change, the adjectival passive was not created. So it seems that the mental state has been expressed in marked constructions, first by impersonal verbs (up to lME/eModE) and then by the adjectival passive (from ME onwards). As shown in Table 1, about 50% of verbs shown in (6) appear as the adjectival passive, and about 25% as active in PDE. So there is an obvious tendency for these verbs to appear in the adjectival passive in PDE. Historically, we can observe a gradual shift in such tendency. In Table 17, we show the same distinction shown in Table 1 in historical perspectives. We also reproduce the overall results of PDE without distinction of data source for convenience. We omit the OE data, since there are only a couple of examples found in the corpus. Such paucity is also found in the ME data.

Table 17. Frequency of different types from the set of verbs in (6) from ME to PDE

	ME	eModE	lModE	PDE
Active	19 (76.0%)	139 (68.8%)	276 (44.0%)	160 (24.8%)
Resultative	0 (0%)	0 (0%)	4 (0.6%)	43 (6.7%)
Adj. passive	4 (16.0%)	55 (27.2%)	270 (42.9%)	329 (51.1%)
Verbal passive	0 (0%)	1 (0.5%)	14 (2.2%)	37 (5.8%)
Others	2 (8.0%)	7 (3.5%)	65 (10.3%)	75 (11.6%)
Total	25 (100%)	202 (100%)	629 (100%)	644 (100%)

There are a couple of points to be noted from Table 17: first, the active became less frequent from lModE onwards and the adjectival passive became the most frequent construction instead. The adjectival passive has been used, but it was not so frequent earlier. The second point is that the other constructions like the verbal passive gradually increase their frequency, but their overall frequency and the rate of increase may not be so significant.

Apart from the difference in the construction of each construction, we look at some semantic features of each construction, particularly issues relating to the animacy and subject's control over the event or state. We have already seen the subject's animacy in the adjectival and verbal passive in Table 4. Here, we show the results historically, for each period, in Tables 18 to 21. We omit the occurrence of others, since they are either adjective or adverb and no subject is involved:

Table 18. Subject's animacy in PDE

Constructions	Subject animacy			Total
	Human	Non-human animate	Inanimate	
Active	61 (38.1%)	3 (1.9%)	96 (60.0%)	160 (100%)
Resultative	41 (95.3%)	0 (0%)	2 (4.7%)	43 (100%)
Adjectival passive	311 (94.5%)	3 (0.9%)	15 (4.6%)	329 (100%)
Verbal passive	31 (83.8%)	0 (0%)	6 (16.2%)	37 (100%)
Total	509 (89.5%)	4 (0.7%)	56 (9.8%)	569 (100%)

Table 19. Subject's animacy in lModE

Constructions	Subject animacy			Total
	Human	Non-human animate	Inanimate	
Active	162 (58.7%)	1 (0.4%)	113 (40.9%)	276 (100%)
Resultative	2 (50.0%)	2 (50.0%)	0 (0%)	4 (100%)
Adjectival passive	243 (90.0%)	0 (0%)	27 (10.0%)	270 (100%)
Verbal passive	10 (71.4%)	0 (0%)	4 (28.6%)	14 (100%)
Total	417 (74.0%)	3 (0.5%)	144 (25.5%)	564 (100%)

Table 20. Subject's animacy in eModE

Constructions	Subject animacy			Total
	Human	Non-human animate	Inanimate	
Active	56 (39.2%)	0 (0%)	87 (60.8%)	143 (100%)
Resultative	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Adjectival passive	51 (100%)	0 (0%)	0 (0%)	51 (100%)
Verbal passive	1 (100%)	0 (0%)	0 (0%)	1 (100%)
Total	190 (97.4%)	0 (0%)	5 (2.6%)	195 (100%)

Table 21. Subject's animacy in ME

Constructions	Subject animacy			Total
	Human	Non-human animate	Inanimate	
Active	7 (36.8%)	0 (0%)	12 (63.2%)	19 (100%)
Resultative	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Adjectival passive	4 (100%)	0 (0%)	0 (0%)	4 (100%)
Verbal passive	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Total	18 (78.3%)	0 (0%)	5 (21.7%)	23 (100%)

The striking result is that the frequency of subject animacy has not changed much over periods of time: the active clause has more inanimate subject, while the adjectival passive favours human subject. As already mentioned earlier in Section 3.1, human beings tend to describe the event from the viewpoint of human, i.e. ego-centric or anthropocentric viewpoint, and

such tendency can be altered in marked constructions like the adjectival or verbal passive. However, the difference in this set of verbs from others is that the human subject is more frequent in a marked construction and an unmarked construction, active, tends to have an inanimate subject. So it is clear by now that the verbs listed in (6) even historically show a rather abnormal pattern as far as subject's animacy is concerned.

From historical perspectives, it has been argued that there are some factors for the preservation of such abnormal grammatical characteristics, stativity in particular. Stativeness can be singled out, since it is cognitively more salient than its counterpart, dynamicity, and there are several pieces of evidence to indicate this. We do not go into much detail, but it has been argued that child language acquisition, noun-verb distinction and perhaps language genesis can give us some clues. In all these cases, more stative constructions appear first and they form a base for more complex, dynamic constructions. See Toyota (2006) for further arguments and examples.

So it is quite probable that the inherent stativity in the structural/lexical semantics in the adjectival passive delayed the shift in frequency from active to the adjectival passive in the set of verbs shown in (6) and this is why these verbs still possess abnormal animacy patterns. This claim could be extended to the impersonal verbs, which resisted the unmarked case marking pattern till ME/eModE.

5. Future of adjectival passive and fluid intransitive subject

Historically, perception verbs were singled out and treated slightly differently from other verbs. Similarly, it can be observed cross-linguistically that a particular set of verbs are often treated differently. This is basically considered in terms of alignment, i.e. the pattern of treatment of subjects and direct objects, referring to the distribution of morphological markers or of syntactic, semantic or morphological characteristics. Many languages can be clearly classified as nominative-accusative alignment or ergative alignment and there are some which have active alignment, but there are also languages that show a mixture of them based on various conditions. Such mixture is often known as split in alignment. Dixon (1994) assumes two such subtypes, split-S and fluid-S system (the capital S here represents the subject of monovalent verb). According to the split-S system, what appears to be ergative system can be found in particular constructions,

restricted according to tense, aspect, nature of subject NP such as nominal hierarchy, etc. (cf. Dixon 1994: 83-108). So what appears to be a parallel to the English periphrastic passive in, say, Celtic languages as in (27) is in fact restricted to the perfective aspect and it cannot appear independent of such an aspectual restriction. This was also the case in the verbal passive in earlier English, e.g. the OE passive was concerned more with the aspect than with the grammatical voice, and its undergoer-orientation was structurally stranded. So such a construction is better considered a type of split-S (for a similar argument on the Irish periphrastic constructions, see Orr 1984, 1989, Toyota 2009c. A case of Slavic languages can be found in Toyota and Mustafović 2006).

(27) Irish
Tá *mo* *t-obair* *na* *bhaile* *criochnaiegh*
be.PRES my work the home finish.VN
'My home work is finished/I have finished my homework.'

Another type, fluid-S system, is similar to the split-S, but the split is not set rigidly and some flexibility between the split and non-split alignment can be found, as summarised below (Dixon 1994: 78-79), and schematised in Figure 3:[3]

> There is a fascinating group of languages which has syntactically based marking for transitive verbs – always marking A and O in the same way for a given verb – but uses semantically based marking for intransitive verbs – with direct marking reflecting the semantics of each particular instance of use. … In a fluid-S language the A-type and O-type markings are allocated to intransitive clauses semantically, with each intransitive verb having the possibility of either choice [between S_a and S_o, J.T.], depending on the semantics of each particular context of use. In practice, some verbs refer to activities that are always likely to be controlled and these are always likely to be marked as S_a; other verbs refer to activities or states that are likely never to be controlled and these are always likely to be shown as S_o. But there will be many verbs in a middle region, referring to activities

[3] Note the following terminologies: A corresponds to transitive subject; O, transitive object; S_a, intransitive subject marked like A; S_o, intransitive subject marked like O.

where there can be control or lack of control, and these may accordingly be marked either as S_a or S_o.

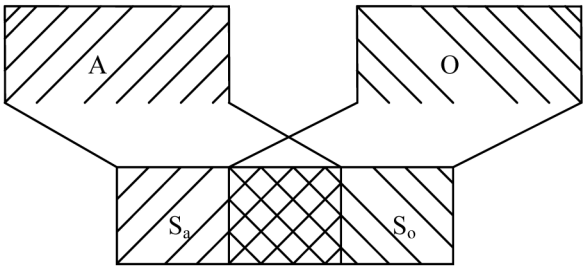


Figure 3. Schematic representation of fluid-S system, adapted from Dixon (1994: 79)

As the schema shows, there is a certain degree of overlap in the middle of lower part of the figure and this overlap is often determined by the particular meaning that a verb can produce. At first sight, one may be confused whether fluid-S is actually identical with active alignment. The stereotypical active alignment consists of both sides of lower part in the figure, i.e. S_a and S_o, which is decided based on whether intransitive subject is capable of initiating an action on its own or not. When a language belongs to fluid-S system, some intransitive verbs can behave like either S_a or S_o, depending on the context. For example, Holinsky (1987) analysed 303 intransitive verbs in Tsova-Tush (Caucasian), and found out that thirty one verbs appear only with S_o, referring to uncontrollable state, such as 'be hungry', 'tremble', etc., and seventy eight verbs only with S_a, referring to controllable activities, such as 'walk', 'talk', 'think', etc. The remainder can take both S_a or S_o marking. For instance, a single verb root can be interpreted as 'slip' when used with S_o, and as 'slide' with S_a (Holinsky 1987: 125). In active alignment, this type of flexibility does not happen. However, as Dixon (1994: 83) rightly claims, "the syntactically based marking and semantically based marking types are idealisations, with many languages combining features of each. Nevertheless, most languages with a split conditioned by the semantic nature of the verb are either clearly fluid-S or else clearly split-S [active alignment]. It is not uncommon for a split-S [active alignment] to have a handful of verbs that can take either S_a or S_o marking, but this is often a case of lexicalisation".

Historical development of the adjectival passive proves that the verbs listed in (6) certainly prefer the adjectival passive in PDE, but there still is a possibility for them to appear in the active. When they are analysed in terms of transitivity, they are intransitive in the adjectival passive, but arguably transitive in the active. It is 'arguable' since some of them may not satisfy the semantic aspect of transitivity. Nevertheless, it is possible to claim that these verbs form the fluid-S system in English based on a choice of lexical meanings, i.e. the undergoer-orientation only appears when the verbs denote mental state. However, the problem of such analysis is the developmental path: Indo-European languages used to have active alignment earlier (cf. Lehmann 1989, 1997, 2002; Gamkrelidze and Ivanov 1995), as early as Proto-Indo-European. Some of them remained much later into modern languages, and there are some residues in earlier English (cf. Toyota 2009b). The fluid-S system develops as a result of overlap between syntactic marking and semantic function in the course of language change. The adjectival passive in English was created as a result of the change in the *be*-perfective, but it is only indirectly related to the change in alignment, since the development of perfective construction is related to the alignment change (cf. Toyota 2009b), i.e. a topic-focus system, for example, has changed dramatically in English from a topic-prominent language to a subject-prominent language (cf. Li and Thompson 1976), and this made the environment where the earlier *be*-perfective was used change and formed the ground for the verbal passive to develop (cf. Toyota 2009b).

Analysing the current state and historical change of the adjectival passive (cf. Table 17), the active form decreases dramatically and the adjectival passive gains much popularity. This indicates that the verbs in (6) are clearly forming a different alignment, although allowing a different type at the same time. Judging from the current state of the English verbal system typologically, the adjectival passive in English is actually a case of fluid-S, although they may form a different alignment system, particularly ergative one, in the future, considering the direction of change observed so far. The fluid-S may be a peculiarity of English, since, as Dixon (1994: 146 fn.3) claims, English has a fluid transitivity, meaning that the transitivity is not strictly applied to verbs, and some class of verbs, such as labile verbs, can be both syntactically and semantically intransitive/transitive. This may be related to the viewpoint of the speaker, i.e. a speaker may consider one action as transitive, but others may not. Similarly, Wierzbicka

(1996: 410) claims that "we should constantly remind ourselves that the number of syntactic core arguments depends not on the number of entities in the situation referred to, but on the manner in which the situation is conceptualized by the speaker, and that one cannot speak, for example, of a 'transitive action' or 'intransitive action', because the same action may be viewed as 'transitive' or 'intransitive' depending on the point of view." This may explain the difference in, for example, *spray-load* verbs. Also, when it comes to the adjectival passive, the choice of actor markers can reflect the speaker's viewpoint. Labile verbs or *spray-load* verbs are often considered under the term 'middle voice' in English, but the adjectival verbs clearly differ from them. So it is possible to claim that the adjectival passive forms a special category on its own in the English grammar.

6. Conclusion

We have analysed the adjectival passive in this paper. We first argued that the general dichotomy in relation to the periphrastic passive in English, i.e. the verbal and adjectival passive, is not as accurate as it should be, and it is often the case that a third construction, resultative, is considered as a type of verbal passive, but it should be separated. In the distinction, the transitivity and the orientation play an important role.

Synchronically, there are a number of peculiarities which can distinguish the adjectival passive from the verbal passive. This can be summarised in (28).

(28) i. The adjectival passive can have prepositions other than *by* to indicate actor.
ii. The subject animacy has an unusual pattern, i.e. inanimate tends to be subject in active, and human in the adjectival passive.
iii. The construction is stative, similar to the origin of the passive, i.e. *be*-perfect. However, the stativity is created structurally, i.e. this is a constructional stativity, not a lexical one.
iv. Markedness in terms of mental state: earlier impersonal verbs, which had marked subject marking, expressed the mental state, and in PDE, the adjectival passive expresses such meanings.

Such peculiarities raise a question: what is the status of the adjectival passive in English? It does not seem that this construction can be accounted for within a common descriptive grammar of English. We posit one possible answer to this question, and this is to consider the adjectival passive as a case of fluid intransitive subject. Diachronically, the eighteen verbs we analysed tend to appear increasingly in the adjectival passive, rather than in the active. This suggests the adjectival passive is becoming a special category, i.e. the fluid intransitive subject system, in the verbal system in English. Based on the direction of changes so far (cf. Table 17), we presume that the fluidity in the current system is becoming less flexible and the adjectival passive may appear to be a case of split ergative based on the lexical meaning (i.e. mental state) in the future. However, this fluidity does not seem to disappear completely and the fluid system may persist.

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Јунићи Тојота

О ТАКОЗВАНОМ ПРИДЕВСКОМ ПАСИВУ У ЕНГЛЕСКОМ

Сажетак

У раду се анализира структура енглеског језика која се уобичајено назива *придевски пасив*. Назив *придевски* пасив заснива се на морфосинтаксичким особинама партиципа. Изненађујуће је што посматрана структура до сада није добила пажњу какву заслужује, будући да се претходна истраживања усредсређују само на особине партиципа. Међутим, треба уочити да су глаголи који се у овој структури користе прилично ограничени, да се ређе користе у активним конструкцијама, као и да читава конструкција употребљена као придевски пасив означава перцепцију. Отуда је ентитет који је субјекат у придевском пасиву доминантно људски, за разлику од пасива иначе, где се у улози граматичког субјекта јављају претежно неживи ентитети. Такве посебности намећу питање граматичког статуса придевског пасива у енглеском језику. Посматрану конструкцију тешко је објаснити на основу уобичајене дескриптивне граматике енглеског језика. У раду се нуди могући одговор на дато питање на основу типолошке дистинкције система поретка субјекат-објекат и придевски пасив се посматра као случај флуидног непрелазног субјекта. Поврх тога, у светлу дијахронијске промене, придевски пасив постаје засебна категорија у глаголском систему енглеског језика – систем флуидног непрелазног објекта. Такође се може предвидети да ће се та конструкција на основу лексичког значења (ментално стање) у будућности претворити у раздељени ергатив.

Кључне речи: придевски пасив, поредак субјекат-објекат, флуидна ергативност, раздељена ергативност, перцепција

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THE POLYSEMY OF ENGLISH PARTICLES *STILL* AND *ALREADY* AND THEIR MACEDONIAN EQUIVALENTS *СÈ УШТЕ* AND *ВЕЌЕ*

Abstract
The aim of this paper is, first, to examine the wide range of meanings and usages of English particles *still* and *already* and their Macedonian equivalents *сè уште* and *веќе* and to determine their radial networks. Second, by contrasting the particles in both languages, it aims to shed new light on the semantic network of the Macedonian particles. These particles are highly polysemous lexical units in both languages and as such they present problems especially in determining the prototypical meaning that underlies their wide range of different usages. The focus will be on the concept of time as being the most relevant one in interpreting the different senses of the particles. The concept of time appears as the prototypical meaning in the English particles *already* and *still* and their Macedonian equivalents *сè уште* and *веќе*.

Key words: scalar particles, temporal meaning, adversative meaning, concessive meaning, marginality sense

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1. Introduction

The aim of this paper is, first, to examine the wide range of meanings and usages of English particles *still* and *already* and the Macedonian equivalents *сè уште* and *веќе* and to determine their semantic networks. These particles in both languages are highly polysemous lexical units and as such they present problems especially in determining the prototypical meaning that underlies their wide range of different usages. By contrasting the English particles and their Macedonian equivalents we tend to shed some new light on the uses of the particles in Macedonian and the range of meanings associated with them.

Therefore, first, English sentences containing *still* and *already* and their Macedonian translations are compared, and afterwards, Macedonian sentences containing *сè уште* and *веќе* and their English translations are also compared.[1].

The focus will be on the concept of time as being the most relevant one in interpreting the different senses of the particles. The concept of time appears as the prototypical meaning in the English particles *already* and *still* and their Macedonian equivalents *сè уште* and *веќе*.

These particles are named scalar since they are used to identify events as if they were composed of many different components ordered along one scale. In other words, they are used to denote continuation of the state of affairs along a scale. The scale can belong to different domains: temporal domain, abstract domain, adversative or concessive domain and the domain of comparison.

2. Temporal uses of scalar particles in English and in Macedonian

According to Huumo (1997) and Michaelis (1996) the basic function of the scalar particles *still* and *already* is to express temporal meaning; i.e. to denote continuation of a state of affairs through time. The Macedonian

[1] English sentences containing examples with *still* and *already* were taken from the articles by Declerk (1994), Michaelis (1996), and Huumo (1997) and translated in Macedonian by experts in English linguistics and translation. Macedonian sentences containing examples with *сè уште* and *веќе* were extracted from Macedonian fairytales, political speeches and dictionaries and their official translations in English.

language shows correspondence, as both Macedonian equivalents imply a continuation of a certain state of affairs through time.

1. E. Mary is *still* in England.
   M. Марија е *сé уште* во Англија.
2. E. Grandma *still* lives on the Lower East Side.
   M. Баба ми *сé **уште*** живее на Источната страна.
3. E. Mary is *already* in England.
   M. Марија е *веќе* во Англија.
4. E. At five o'clock I was *already* back at home.
   M. Во пет часот *веќе* бев дома.

These examples are simple, yet they exhibit the basic temporal meaning of the particles. The English *still* and the Macedonian *сé уште* imply that a certain state of affairs existed prior to the reference point of time and continues to exist. Michaelis (1996: 201) states that temporal *still* functions at two levels; at one level it shows that the state of affairs "overflows" the bounds of the reference time, and at the second level it highlights the persistence of the same state of affairs across time. So, it is at this level where the scalar nature of temporal *still* emerges most clearly.

One important characteristic of *still* and *сé уште* is that their use is restricted only to imperfective events, which is quite natural, as they denote continuation through time. Therefore, the following examples are unacceptable:

5. E. John *still* recognized Harry.*
   M. Јован *сé **уште*** го препозна Иван.*
6. E. John is *still* recognizing Harry.
   M. Јован *сé уште* го препознава Иван.

While *already* and *веќе* express the existence of the state of affairs at the reference point of time plus the information that the state of affairs happened prior to the expected reference time. These two particles (the English and the Macedonian ones) contain the information that the presupposition of the existence of another state of affairs is cancelled. The particles confirm that the state of affairs continues to exist and automatically excludes the start of a new activity.

7. E. Stephen is *already* at school.
   M. Стефан е *веќе* на училиште. (He is in school and not at any other place.)
8. E. The news has *already* been released.
   M. Веста *веќе* беше објавена. (It can't be concealed any more.)

The contrast between the imperfective and perfective nature of the activity does not play an important role with *already* and *веќе* since the emphasis when using these two particles is on the anteriority i.e. the event appeared before it was expected.

The contrastive analysis of the original Macedonian examples and their English translations in the examples 9–12 shows that the Macedonian particles *сè уште* and *веќе* are used with the temporal meaning in the same way as their English counterparts.

9. M. Тој *сè уште* го држеше чадорчето над глава оти не знаеше што сила го направи толку убав. (ВК: 54)
   E. He was *still* holding the sunshade over his head for he didn't know what had changed him (VK: 54)
10. M. .... за него ќе ја врзеше нашата сестра која сега *уште*[2] спие и ..... (СЧ: 109)
    E. ….. we shall bind our sister to it who is *still* asleep now ….. (SC: 109)
11. M. „Тогаш врати се дома" – рече рибата „таа *веќе* е кралица". (ВК: 83)
    E. "Go home then" – said the fish "she is the queen already". (VK: 83)
12. M. Сестра ми *веќе* ми кажа за нив. (ВК: 95)
    E. For my sister warned me about them. (VK: 95)

Сè уште implies that a certain state of affairs existed prior to the reference point of time and continues to exist. In most of the cases *сè уште* is translated by *still*.

Веќе expresses the existence of the state of affairs at the reference point of time plus the information that the state of affairs happened prior to the expected reference time and most often is translated by *already*. In the example 12, *already* is omitted and the semantic information is

[2] The Macedonian particle *уште* is used as a synonym of *сé уште*.

transmitted by the verb "warn" which carries the component of meaning of 'already mentioned'.

3. Ambiguous interpretation of temporal *already / веќе*

Declerck (1994: 307) focuses on the difference in meaning of the particle *already* when used in similar contexts[3].

13. a. It was *already* FIVE O'CLOCK.
    b. We were *already* back at FIVE O'CLOCK.

Declerck (1994: 308) states that the meaning of *already* in 13.a. is *'as late as',* while in 13.b. is *'as early as'*. The difference, according to Declerck, results from the different perspective the speaker holds. In 13.a., the meaning of *already* is *'as late as 5 o'clock',* as the event is evaluated in relation to the time which serves as a reference point. As for 13.b., the meaning of *already* is *'as early as 5 o'clock'* because the event serves as a point of view from which the time is evaluated. Also, 13.a. and 13.b. involve different events.

The contrastive analysis of English and Macedonian examples show that the Macedonian equivalent *веќе* is interpreted in the same way.

14. а. *Веќе* е ПЕТ ЧАСОТ – време е да си одиме. (It was as late as 5 o'clock)
    б. *Веќе* во ПЕТ ЧАСОТ бевме дома. (It was as early as 5 o'clock)

The same interpretation of meaning of the particle *already* and *веќе* that belong to two completely different languages show that there is a universality in the languages which is based on the universal human behavior and perspective. From a cognitive linguistic point of view, where perspective plays an important in deconstructing the meaning, people view the time reference as a limit that shouldn't be exceeded. When people relate the event to the time reference, they see it as one that takes place before the time allowed for accomplishing the event.

[3] The examples are taken from her study "*The only/already puzzle: A question of perspective*".

4. Temporal meaning extensions of Macedonian *веќе*

The Macedonian particle веќе can be used to show that the event should be accomplished at the time of speaking, but at the same time it emphasizes the irritation by the persistence of the event. This usage is based on the temporal meaning as the particle веќе expresses the persistence of the event through time and as a result it causes irritation.

15. M. Доста веќе.
    E. It's enough. (Time Mk)

The English *already* is not used with the sense of 'persistence and irritation', so the English translation just transmits the message.

When used with a negative adverb *веќе* expresses the existence of the state of affairs at the reference point of time plus the information that the state of affairs will not be repeated after the reference point.

16. M. Бетушка и мајка ѝ *веќе*[4] не беа сиромашни. (ВК: 72)
    E. Betuska and her mother were *never* poor *again*. (VK: 72)

Therefore, the English translation uses the collocation *never again*.

5. Concessive use of *still / сè уште*

The temporal *still* and *сè уште* further developed their meaning and they are used with concessive or adversative meaning. The development of the concessive or adversative sense of *still* and *сè уште* results from the basic idea of continuation of a certain state of affairs that persists in spite of a certain adversative activity. Consequently, the meaning of *still* and *сè уште* strongly integrates the two senses – the temporal and the concessive sense.

17. E. I studied all night, and I *still* don't understand it.
    M. Учев цела ноќ и *сè уште/сепак* не го разбирам (материјалот).
18. E. Mary has starved herself for a month, and she's *still* 20 kilos overweight.
    M. Марија гладува цел месец и *сè уште/сепак* има 20 кила повеќе.

[4] In the example 16. *веќе* can be replaced by the synonym *повеќе*.

The English sentences 17. and 18. containing *still* might be interpreted as ambiguous since *still* can be interpreted with the temporal meaning 'continuation of the activity through time' or with a concessive or adversative meaning 'the activity persisted in spite of the effort involved'. In other words, in spite of studying all night and starving for a month, the outcome was a disaster.

That there is an ambiguity within the sense of *still* is confirmed by the fact that Macedonian equivalents of *still* in the previous examples can be both *сè уште* and *сепак*. *Сè уште* is primarily used with temporal sense, while *сепак* is primarily used with adversative sense. The possibility of using both *сè уште* and *сепак* as equivalents of *still* confirms the fact that temporal and adversative senses are strongly incorporated in the meaning of *still*.

Probably, the most acceptable interpretation of this use of *still* is offered by Norvig (1988), who states that the temporal and adversative understanding of *still* are mutually compatible and that the interpreter does not need to resolve the ambiguity in favour of one or the other reading. Macedonian translations confirm this view because both temporal *сè уште* and adversative *сепак* are acceptable.

The same solution can be offered for *сè уште*. Although it primarily expresses the temporal sense *сè уште* conveys the sense of a persistence of the event in spite of the arguments against it, so the temporal and adversative senses are mutually compatible. This conclusion is based on the fact that *сè уште* appears only when temporal and concessive senses are integrated.

Yet, *still* can appear with a true concessive or adversative meaning. This use of *still* focuses on the element of persistence of the activity in spite of the existence of certain reasonable counterarguments.

19. E. John beats his dog. *Still* he is a nice guy.
    M. Јован го тепа своето куче. Сепак, тој е фино момче.

The only possible Macedonian equivalent is *сепак*. *Сепак* introduces an event that is opposed to what has previously been confirmed as a fact or persistence of an event in spite of the arguments against it. (In spite of the fact that he beats his dog, he is a nice guy.) The use of *сепак* as the only equivalent of *still* confirms the fact that *still* is not ambiguous in the above example as it contains only the adversative sense.

In the sentences 17. and 18, where the temporal and adversative senses are compatible and where the possible Macedonian equivalent is *сè уште*, the aspect in the sentences is imperfective. This is natural for Macedonian as *сè уште* emphasizes the continuation of the event in time or persistent existence of the event through time.

Michaelis (1996:206) states that temporal *still* codes the continuation of an imperfective process from one moment to the next while concessive or adversative *still* codes the persistence of an outcome (or state of affairs) from one set of circumstances to another. Therefore in the example 20 *still* codes the persistence of the outcome the state of affairs. The Macedonian equivalents are *сè уште/сепак*.

20. E. Even if the political climate was improved the times would *still* be difficult in Israel.
    M. Дури и да се подобри политичката клима, времињата *сè уште/сепак* би биле тешки во Израел.

This means that both particles express concessiveness or adversity because both of them assert that the outcome of the activity will be negative no matter if the political climate is improved.

Unlike *still,* that has a precisely determined concessive meaning, *сè уште* does not have a precisely determined concessive meaning. The temporal sense prevails but on the basis of translations of the English examples that contain *still* it can be concluded that *сè уште* appears as equivalent which means it can be used in certain contexts with concessive or adversative meaning. Yet, the examples in which *сè уште* appears as the equivalent of *still* are those where the temporal and concessive senses are amalgamated.

The contrastive analysis of Macedonian sentences and their English translations shows that *сè уште,* just like its English counterpart *still,* is used to imply that a certain state of affairs persists in spite of the effort involved.

21. M. Се израдувал царот и им дал една одаја да живеат иако *сè уште* не сакал да го гледа ќелешот пред очи. (СЧ: 82)
    E. The emperor was very happy and he gave them a room in his palace, although he *still* didn't want the bald-headed in front of his eyes. (SC: 82)

22. М. Но котлето со трите дебели ноџиња се сврте и потрча по патот со човекот *сè уште* на себе. (ВК: 35)
E. But the pot on its three fat little legs turned and ran down the road with the man *still* on top. (VK: 35)

The usage of *сè уште* in the Macedonian sentences is a combination of temporal and concessive meaning, because it refers to the persistence of the activity through time. Hence, we can draw a conclusion that the Macedonian particle *сè уште* has extended its meaning into a concessive or adversative one just like its English counterpart *still*, while at the same time maintaining its basic temporal sense. In the example 21. the concessive meaning of *сè уште* is supported by the usage of the concessive conjuction *иако*.

The English *still* appears as the most frequent translation of *сè уште.*

6. Non-temporal sense – Marginality sense

Still and *already* can be used as scalar particles in non-temporal domains. They establish a relationship between various entities that are comparable to one another. In other words, *still* and *already* are used to rank entities along a scale and to distinguish prototypical cases from peripheral ones on the basis of a certain property.

Michaelis (1996) states that this sense of *still* and *already* was perhaps first noted by the German linguist König who analysed the German particles *noch* and *schon*. Huumo (1997) analysed this sense of *still* and *already* from a cognitive linguistic point of view and he states that this sense is in fact extension of the temporal sense. The temporal sense is the prototypical or core meaning as it orders the locative state of affairs along a continuum or a scale. This prototypical meaning is transferred into a non-temporal domain and construed as ordering various entities along one imagined scale and at the same time the entities are compared and evaluated with the prototypical entity on the same scale. By using *still* and *already* the compared entities are located at the periphery of the scale – while the prototypical entities are located in the central position on the scale. This sense developed from the temporal one because the continuation through time is seen as continuation and extension up to the periphery of one scale. Michaelis (1996) named this sense *marginality sense* or marginality

instances within the scalar region. The following sentences are examples of marginality sense.

23. E. Carlisle is *still* in England.
    M. Гевгелија е ***сè уште*** (во) Македонија.
24. E. Dumfries is *already* in Scotland.
    M. Евзони е *веќе* (во) Грција.
25. E. Compact cars are *still* fairly safe, while vans are *already* dangerous.
    M. Компактните коли се ***сè уште*** сосема сигурни возила, додека комбињата се веќе опасни/несигурни возила.

This sense is named *marginality sense* as the entities are located along the periphery of the scale (marginal elements on the scale) and as such they are compared to entities which are closer to the central part of the scale.

Thus, in the geographical examples 23. and 24. *still* and *already* and the Macedonian equivalents *сè уште* and *веќе* locate the places as marginal instances or peripheral places within the geographical region. The comparison of the place location is carried out in relation to more central places of the same region. In 25, the compact cars are at the end of a scale of safe cars and vans are at the beginning of the scale of dangerous vehicles.

When used with the marginality sense, *still* and *already* usually go in pairs as they locate the entities on two scales which are continuation one of another. While *still* locates the entities at the end of the scalar values, *already* locates the entities at the beginning of the scalar values. Basically, the entities being located by *still* and *already* are close one to another but they belong to two different, but closely connected scales. Therefore, the marginality sense is precisely expressed when they are used together, in pairs, as they complement each other when determining the peripheral location of the entities.

The Macedonian equivalents *сè уште* and *веќе* exhibit absolutely the same marginality sense as their English counterparts. They locate the entity at the periphery of the scale and at the same time the entity is compared with the central member of the category.

26. M. Лекарите се ***сè уште*** пристојно платени, но *веќе* професорите се слабо платени.

E. Doctors are *still* decently paid, while professors are *already* beyond it.

27. M. На зима, 4 саат е ***сè уште*** ден, но 5 саат е *веќе* ноќ.
E. In winter, 4 o'clock is *still* a day, but 5 o'clock is already night.

The examples 26.M. and 27.M. prove that *сè уште* and *веќе* are used with the marginality sense, which is based on the core temporal meaning. By using *сè уште* and *веќе* the values are located at the periphery of the scale of values and thus compared with the prototypical values of a certain category.

Sometimes, the scalar particles can cause ambiguity in both languages; i.e. the meaning of *still, already, сè уште* and *веќе* can be interpreted as examples of either temporal or marginal sense.

28. E. Paul is *still* moderate.
M. Павле е ***сè уште*** умерен.

In the example 28, *still* and *сè уште* can be interpreted, on the one hand, with temporal meaning stating that individuals maintain their attitude through time and at the same they imply that the attitude might change. On the other hand, *still* and *сè уште* can be interpreted with marginality sense showing that their attitude is at the periphery of a scale of values compared to the neighboring scale of values – his attitude is rather extreme but still moderate compared with the attitude of radicals.

29. E. Peter is *already* radical.
M. Петар е *веќе* радикал.

In the example 29, *already* and *веќе* can be interpreted with temporal meaning stating that individuals maintain the same attitude at the reference point of time plus the information that the attitude happened prior to the expected reference time. Or they can be interpreted with marginality sense stating that the attitude of the individual is at the periphery of the scale compared to the neighboring scale of values – his attitude is regarded as a mild form of radicalism.

7. Conclusion

Taking into account the analysed examples, it can be concluded that English *still* and *already* and Macedonian *сè уште* and *веќе* are polysemous lexical units whose prototypical – core meaning is a temporal one. The temporal meaning denotes a continuation of an event through time, and is regarded as a prototypical one because it is the most prominent one and serves as a basis for the development of the other non-temporal senses. The main segment of meaning is the ordering of the components of the event along a temporal scale and serves as a basis for developing the concessive or adversative sense and the marginality sense. The concessive sense is seen as a persistence of an event in spite of a certain adversative activity, while the marginality sense is perceived as a continuation and extension of an event up to the periphery of one scale.

On the basis of the analysed corpus we can conclude that the scalar particles in Macedonian have the same or at least similar semantic networks. Macedonian *сè уште* and *веќе* have:

1. Temporal meaning. Both of them denote continuation of an event through time. *Сè уште* focuses on the moment that the event started prior to the reference time and continues to exist through time. *Веќе* focuses on the fact that the event started prior to the expected reference time and continues to exist through time. Both *сè уште* and *веќе* cancel the presupposition that another event might have taken place.
2. Ambiguous temporal meaning. Temporal *веќе* can be interpreted in two different ways: 'as early as' or 'as late as'. To disambiguate the ambiguity, addressees rely on the perspective when determining the time of the event.
3. 'Persistence and irritation' meaning. *Веќе* expresses irritation out of the persistence of the event through time. This sense of *веќе* is not part of the semantic network of *already*.
4. Concessive meaning. *Сè уште* has concessive and adversative meaning but only when temporal and adversative senses are mutually compatible. When *still* is used with true adversative sense the only Macedonian equivalent is *сепак* which confirms the fact that *сè уште* has not developed a full adversative sense. This is the only instance where *still* and *сè уште* do not overlap in meaning.

5. Marginality meaning. *Cè **уште*** and *веќе* express the location of an event at the periphery of a scale and at the same time they compare the event with the central member of the same scale.

The Macedonian particles have extended their meanings in the same way as the English particles. The overlap of the semantic networks of the English and Macedonian particles confirms the fact that there is always a cognitive motivation behind each extension of meaning. Both languages perceive the continuation in time as a persistence through time in spite of the adversative activity or the effort involved, or they perceive it as an extension of the continuation to the upper or periphery boundary of a scale. As one of the aims of this analysis is to shed some new light on the uses of the particles in Macedonian, we can conclude that the contrastive analysis helped us to identify precisely the concessive and the marginality sense of the Macedonian particles *cè **уште*** and *веќе*.

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ПОЛИСЕМИЈА ЕНГЛЕСКИХ ПАРТИКУЛА *STILL* И *ALREADY*
И ЊИХОВИХ МАКЕДОНСКИХ ЕКВИВАЛЕНАТА
СÈ УШТЕ AND *ВЕЌЕ*

Сажетак

Циљ овог рада је, прво, да се испита широк спектар значења и употреба енглеских партикула *still* и *already* и њихових македонских еквивалената *сè уште* и *веќе* и да се утврде одговарајуће зракасте мреже. Други циљ рада је да се на основу контрастирања посматраних партикула додатно осветле значењске мреже македонских партикула. Посматране партикуле су у оба језика изразито вишезначне језичке јединице и као такве представљају проблем за одређивање прототипичног значења које лежи у основи широког распона њихових употреба. У овом раду фокус је на појму времена као најрелевантнијем појму за тумачење различитих значења пос-

матраних партикула. Показује се да је управо појам времена пресудан за прототипична значења енглеских партикула *still* и *already* и њихових македонских еквивалената *сè уште* и *веќе*.

Кључне речи: скаларне партикуле, темпорално значење, адверсативно значење, концесивно значење, значење маргиналности

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MODERN THEORIES OF ASPECT AND SERBIAN EL2 LEARNERS

Abstract
The paper analyses modern theories of aspect in English from the point of view of Serbian EL2 learners[1]. The analysis mainly looks at the works of Vendler, Verkuyl and Kabakciev as the cornerstones[2] of what is known today as compositional aspect. An attempt is made to identify elements that could be particularly relevant for EL2 learners and that should be incorporated in English grammars. The paper points to strong arguments in favour of incorporating such content. It also shows that it is possible to create certain rules that could help EL2 learners find their way in the extremely complex category of aspect in English.

Key words: verbal and lexical aspect, perfective and imperfective aspect, determiners

0. Introduction

As in the case of many other languages, a greater interest in the category of aspect in English came as a response to insights into this category in Slavic languages. It is difficult to say whether this was a fortunate order of events.

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1 In this paper the phrase 'Serbian EL2 learners' is used to mean 'speakers whose mother tongue is Serbian and who learn English as their second language'. For simplicity, it will be shortened to 'EL2 learners'.

2 In the opinion of the author of this paper.

It has lead, among other things, to a terminological confusion which has survived decades of hard work of numerous aspectologists. For example, the perfective aspect is often interpreted to mean the perfect phase, and the imperfective aspect is regularly associated with progressive tenses. It is quite common to find vague explanations in some very good modern English pedagogical grammars where this grammatical category is confused with the category of tense. Here is an example from Swan (2005:xvii):

> Grammarians prefer to talk about progressive and perfective aspect, rather than progressive and perfect tense, since these forms express other ideas besides time (e.g. continuity, completion). However, in this book the term tense is often used to include aspect, for the sake of simplicity.

Some renowned linguists even rejected the idea of introducing aspect in English. Zandvoort, for example, supports Meillet's opinion that "[we should not] admit any semantic category which does not correspond to a means of expression in the language itself" (1962: 10). Luckily, the work of many linguists has proven that aspect is a universal category and that although it is not always as clearly marked as in Slavic languages, English too has aspect.

In this paper we look at the category of aspect in English from the point of view of EL2 learners. Following a number of relatively recent aspectologists (see Verkuyl 1972, Kabakciev 2000), we see aspect in English as compositional, where the verb, arguments, adverbials and, more generally, context all play a role in creating the aspectual value of a sentence. In Serbian, aspect is dominantly a morphological category, but not without contextual influences. Maintaining our focus on EL2 learners, we want to help these learners correctly interpret the interplay of all the relevant elements and assign English sentences proper aspectual interpretation as well as help them create English sentences that will be correct equivalents of the Serbian category of aspect.

In the first section of the paper, we briefly explain the category of aspect in Serbian, and in the second the categories of lexical and verbal aspects in English. In the third section, we look at the mechanisms of compositional aspect based on Verkuyl's model and explain its usefulness for Serbian speakers. In the fourth section, we try to draw up some practical guidelines that EL2 learners can use in producing English sentences. Section number five includes conclusions.

1. A brief overview of aspect in Serbian

In Serbian, aspect is a morphological category marked on the verbal lexeme. Most verbs have two different forms, one for the perfective (*napraviti 'make'*), and one for the imperfective (*praviti 'be making'*) aspect. Some verbs have one form for both aspects (*doručkovati 'have/be having breakfast'*). They are called 'dual aspect verbs'.

The distinction between the meanings of the two aspects in Slavic languages was first made along the lines of completion/incompletion of the situation that the verbal lexeme is a representation of. This applies to some verbs only. More precise descriptions have been made since these early attempts and in the next paragraphs we will briefly present some of them.

The perfective aspect is now interpreted to represent one situation in contrast to another, with the focus on the moment of change (see Hlebec 1990: 81). For example, the perfective *oporaviti se 'recover'* focuses on the change of condition from being ill to being healthy again.

The selection of the imperfective form of a verbal lexeme indicates that a situation is seen as continuous and continuing without any changes (see Galton 1985a; 1985b; Hlebec 1990). The focus seems to be on the structure of the situation itself, or on the "lexicalised situation" (Hlebec 1990: 80). In other words, in selecting the imperfective form of a verb, such as *pisati 'write', znati 'know', raditi 'work'*, the speaker focuses on the lexical meaning which denotes that a state exists or that an activity is underway.

Although it is generally accepted that the category of aspect in Serbian is a morphological category, it is also a syntactical category since other elements may have an impact on the aspect marked on the verb to potentially produce an aspectual interpretation at the sentence level which is different from that expressed by the verb. Stevanovic (1969: 529) points to the role of context in determining whether a verb is perfective or imperfective. This specific comment refers to dual aspect verbs, but he also uses the following example:

(1) On je svoje pesme pisao samo u kasnu noć.
He wrote his poems late at night only. (ipf-was writing)[3]

[3] Non-progressive morphemes in English may lead to both perfective and imperfective aspectual interpretations at the sentence level. Progressive morphemes may not lead

to explain that the imperfective *pisati 'write'*, which does not generally imply any repetition in itself, has iterative meaning in (1) above (Stevanovic 1969: 534). There is no clash between the verb and sentence aspect interpretations since in Serbian it is normally the imperfective aspect which is used to express habitual meaning.

However, in:

(2) Moj brat popuši 30 cigareta dnevno.
My brother smokes 30 cigarettes a day. (pf-smoke)

(example from Sgall, Theodore in Chaterjee 1988: 47), the choice of the perfective *'popuši' 'smoke'* to express habitual meaning is conditioned more by the adverbial *dnevno 'a day'* and is a less frequent selection than:

(3) Moj brat puši 30 cigareta dnevno.
My brother smokes 30 cigarettes a day (ipf-is smoking).

Chaterjee (1988: 24) points to another feature of the imperfective aspect, namely that it puts the focus on the process and not the result. In:

(4) Ko ti je ovo šio?
Who sewed you that dress? (ipf-was sewing)

the imperfective form *šiti 'sew'* is used although the dress is obviously the finished product of the act of 'sewing'. The focus, therefore, is on the skill and process, and not on the result. This is in line with Hlebec's explanation above that the imperfective focuses on the 'lexicalised situation'.

Novakov (see 2005; 2009:196-197) emphasizes that, with the exception of habitual meaning, perfectivity/imperfectivity of Serbian verbs is not affected by the adverbials and context in general. For example, a prefix in a perfective verb sets a boundary on the verbal situation, which makes the situation telic irrespective of the adverbials, as in:

(5) Ona je napunila čašu vodom za deset sekundi/*deset sekundi.

to the perfective aspectual interpretation at the sentence level. To make things easier to an English reader, we adopt a convention in this paper of describing perfective and imperfective aspects in Serbian using non-progressive and progressive English morphemes respectively. This does not apply to the translation of entire sentences into English but to the bracketed translations of the verb phrases.

She filled the glass with water in ten seconds/*for ten seconds. (pf-filled)

where the perfective 'napunila' does not lend itself to atelic interpretation, i.e. its boundedness cannot be annulled by durative adverbial 'for ten seconds'.

To conclude, when constructing an utterance in his mind, a speaker of Serbian must make a choice between the perfective or imperfective aspect by selecting one or the other form of the verbal lexeme. In most cases, this choice defines the aspectual interpretation at the sentence level. In some cases, the aspect chosen may change at the sentence level, as in (2) and (4) above, where the perfective verb form results in the imperfective meaning at the sentence level in (2), and the imperfective verb form results in the perfective meaning at the sentence level in (4).[4]

2. A short overview of aspect in English

In English, a distinction must first be made between lexical and verbal aspect.

The lexical aspect[5] of an individual verb reflects the nature of the extra-linguistic situation that the verb represents. It is defined by binary oppositions [+/– stativity], [+/-durativity], and [+/-telicity]. Many different classifications of English verbs can be found in the literature (see Ryle 1949, Vendler 1957, Kenny 1963, Ridjanovic 1976, Brinton 1988). The best-known among them is Vendler's classification, which has caused a lot of confusion but has also paved the way for the concept of compositional aspect. What Vendler classifies are not verbs but different uses of verbs. Formally, though, he classifies them into states (*know, love, be present, drive a cab*), activities (*push a cart, work, draw, drive a cab*), accomplishments (*build a house, make a chair, write a letter*) and achievements (*recognise, spot, reach the summit*). Although it is obvious from the examples that Vendler classifies the use of verbs and not verbs

[4] The author is not aware of any research conducted that would indicate whether this clash between aspectual interpretations at verb and sentence levels in Serbian is statistically significant and in what kinds of language uses it is more frequent.

[5] Other terms used are *Aktionsart*, *lexical character*, *event structure*, *inner aspect*, *mode of action*, *inherent aspectual meaning* etc. (see Comrie 1976, Dahl 1985).

in isolation (e.g. *drive a cab* listed under states refers to a characteristic activity of a subject, i.e. habitual use of the verb), his categories have been widely accepted as categories of lexical aspect. He clearly states in his book *Linguistics in Philosophy* (Vendler 1967:97) that verbs cannot be explained without taking into account other factors, such as the presence or absence of an object (e.g. *write* first appears in the category of activities, and then, when accompanied by an object, *write a letter*, it is found in the category of accomplishments). This is confusing for many, including EL2 learners. It is not clear, for example, why the two instances of *write* in (6) are not the representations of the same extra-linguistic situation.

(6) a) He was writing.
(Pisao je.) (ipf-was writing)
b) He was writing a letter.
(Pisao je pismo). (ipf-was writing)

However, there is no doubt that his contribution lies in the thorough description of the four situation types, the tests by which to classify verbs into the four categories, and, before all, in the idea that elements outside of the verb affect the nature of the situation.

A good description of internal aspectual features is found in Comrie 1976. They can be used to produce the following descriptions of Vendler's categories:

States are durative and atelic situations. This means that they are situations that simply last for a certain period of time, without any internal development, or movement towards a goal.

Activities are dynamic, durative and atelic. They involve internal change, a succession of segments, but since there is no indication of a goal, these situations are seen as situations that can go on for ever. For example, in (6a) above, the focus is on the process itself, not on its purpose.

Accomplishments are dynamic, durative and telic. They involve a succession of segments that develop towards a goal. The accomplishment of a goal implies a change of status. For example, *redden* includes the moment of change of condition from not being red to being red, but also the process that has lead to this moment.

Achievements are dynamic, punctual (or [-durative]), and telic. They represent a moment of change from one state to another. For example, *lose (something)* marks a change from having something to not having

something. Unlike accomplishments, achievements have point-like structure and are exhausted within that point in time.

Verbal aspect in English is clearly marked by the progressive or non-progressive morpheme of the verb. The most widely accepted analysis of verbal aspect is that by Comrie (1976). He explains that a speaker opts for the non-progressive morpheme of a verb when he looks at a situation as a whole, and for the progressive morpheme when he focuses more on its internal structure. The sentences in (7) below, for example, are accounts of the same extra-linguistic situation.

(7) a) He wrote (in his office).
Pisao je u kancelariji. (ipf-was writing)
b) He was writing (in his office).
Pisao je u kancelariji. (ipf-was writing)

Following Comrie's explanations, (7a) is more denotational and may be heard in real life in response to the question "What did he do this morning?", while (7b) focuses more on the internal structure of the time period spent in his office, potentially in response to the question "What was he doing there?". Activities in both (7a) and (7b) are rendered in Serbian using the imperfective verbal aspect. However, when EL2 learners want to express the same in English, they need to learn about these different verbal aspects under the category of tense. It has become a convention in English pedagogical grammars to present individual tenses in pairs, e.g. Past Simple Tense versus Past Progressive Tense, etc. During such elaboration, grammars rarely point to the role of the lexical aspect or any arguments in the sentence. For example, if we replace the verb *write* with the verb phrase *write (a letter*), as in:

(8) a) He wrote a letter in his office.
Napisao je pismo u kancelariji. (pf-wrote)
b) He was writing a letter in his office.
Pisao je pismo u kancelariji. (ipf-was writing)

an EL2 learner may follow the model of (7a) and (7b) above and express both verbs using their imperfective form in Serbian *pisati 'write'*. This would be wrong since in (8a) the activity of writing is temporally limited by the object 'a letter' and most native speakers would interpret the verbal phrase to refer to the moment of change, or the moment of completion

of the process of writing. To express that, a Serbian speaker needs the perfective aspect on the verb, '*napisati*'. In (8b), the focus is on the activity and its internal structure, and a speaker of Serbian needs the imperfective aspect on the verb again.

Occasionally, grammars mention processes as a category of English verbs that is not sensitive to the form of the verbal morpheme, as in:

(9) a) It rained.
b) It was raining.
c) They have lived here their whole life.
d) They have been living here their whole life.

but do not explain that this is possible only because *rain* and *live* are activities. That is, they are dynamic, durative and atelic in themselves and any emphasis of their internal structure or durativity is therefore redundant.

In addition to situations similar to (9a-d) above, grammars normally pay more attention to state verbs and provide explanations to EL2 learners as to why states are not normally used in the progressive tenses.

All other influences (in particular of the specification of arguments, adverbials, etc.) remain unaccounted for. For example if (8a) above is further modified by an adverbial, such as in:

(10) He wrote a letter in his office the whole day.
Pisao je pismo u kancelariji cijeli dan. (ipf-was writing)

it is left to the linguistic intuition of EL2 learners (aroused by the adverbial itself) to conclude that the aspectual value at the sentence level is imperfective again.

To conclude this section, it is true to say that grammars ignore the category of lexical aspect and do little to explain the verbal aspect systematically. As a result, EL2 learners make errors in both interpreting English aspectual meanings into Serbian and creating such meanings in English. They are not aware of the role of arguments in a sentence, but would intuitively correctly account for the impact of English adverbials. However, EL2 learners often[6] use durative adverbials in combination with the progressive verbal aspect, the position where it is usually redundant, as in:

[6] The examples of errors that follow are not the result of any research but are based on the author's teaching experience.

(11) He was writing a letter the whole day.
Pisao je pismo cijeli dan. (ipf-was writing)

and would unnecessarily use the progressive aspect to express pure denotational meaning of past activities just because Serbian uses the imperfective aspect, as in:

(12) He was speaking about his neighbours.
Govorio je o komšijama. (ipf-was speaking).

Instead of 12 above, a much more natural sentence in English would be:

(13) He spoke about his neighbours,

probably in response to the question "What did he speak about?".

3. Compositional aspect

In this section, we focus on an understanding of aspect in English known in literature as 'compositional aspect'. We will call it a model. It was created by Verkuyl under the name of 'characterisation of situation types' but was later refined by Verkuyl himself as well as a number of other linguists (see Verkuyl 1972, Verkuyl 1989[7], Dimitrova-Vulchanova 1999, Kabakciev 2000). No model can account for all possible combinations in real-life situations, but we believe Verkuyl's model is extremely useful as a solid foundation for EL2 learners on which to further refine their perception and production of aspectual meanings.

Verkuyl offers the following schemes for terminativity and durativity:

terminativity:
S[NP1[SPECIFIEDQUANTITYOFX]NP1 + VP[V[VERB]V+ NP2[SPECIFIED QUANTITY OF X]NP2]S

[7] This model assigns a crucial role to arguments in a sentence. Verkuyl notes that several linguists before him have noticed the link between the object and aspectual interpretation of a verb and mentions Poutsma and Jacobson in this context.

durativity:
S[NP1[(UN)SPECIFIED QUANTITY OF X]NP1 + VP[V[VERB]V+ NP2[(UN)SPECIFIED QUANTITY OF X]NP2]S

where 'specified quantity of x' is a specific semantic entity which restricts the temporal interval and 'unspecified quantity of x' is a specific semantic entity which does not restrict the temporal interval (see Verkuyl 1972:59).

This means that for a clause/sentence to have a terminative aspectual reading, both arguments must represent a 'specified quantity of x'. If one of the arguments is not 'specified', terminativity is lost. Arguments are specified if they are definite, e.g. a proper noun, or a common noun determined by an article, a possessive or demonstrative adjective, or a quantifier.

As for the role of the lexical aspect, he proposes the following:

1. [+B]+([+A]+[+B]): (terminative) event
2. [+B]+([+A]+[-B]): process
3. [-B]+([+A]+[+B]): process
4. [+B]+([-A]+[+B]): state
5. [+B]+([-A]+[-B]): state
6. [-B]+([-A]+[+B]): state
7. [+B]+([-A]+[-B]): state

where [+/-A] marks the "semantic predicate assigned lexically to verbs expressing change, a going through time of entities involved in the predication" (Verkuyl 1989:81). Verkuyl describes this feature as [+ADD TO]. The feature [+/-B] marks the '(un)specified quantity of x'.

Verkuyl illustrates the above characterisation with the following examples. On the right, we provide the translations into Serbian. In brackets, we indicate the sentence level aspectual value and the choice of aspect in Serbian.

(13)	a)	She played that sonata.	Odsvirala je tu sonatu. (pf-played)
	b)	She played sonatas.	Svirala je sonate. (ipf-was playing)
	c)	Soldiers played that sonata.	Vojnici su svirali tu sonatu. (ipf-were playing)
	d)	She hated that sonata.	Mrzjela je tu sonatu. (ipf-was hating*)

e)	She hated sonatas.	Mrzjela je sonate. (ipf-was hating)
f)	Adults hated that sonata.	Odrasli su mrzjeli tu sonatu. (ipf-were hating)
g)	Nobody hated sonatas.	Niko nije mrzio sonate. (ipf-was hating)

As the above examples show, terminativity of (13a) is annulled the moment one of the arguments changes nature from 'specified' to 'unspecified' (13b and 13c). In terms of the categories of lexical aspect commented above, this means that an atelic activity, such as *play 'svirati*' may be temporally restricted by a specified object to produce an accomplishment, which is telic, e.g. *play that sonata 'odsvirati tu sonatu*'. For the same reason, identical verbs appear in both Vendler's activities and accomplishments (*write* and *write a book*, '*pisati*' and '*napisati knjigu*'.

In Verkuyl's characterisation, however, states are not allowed to transform into achievements although Vendler offers *know 'znati*' as an example of states, and *'know suddenly' 'shvatiti/saznati*' (*<realize* and *learn/come to know* are more precise translations in Serbian) as an example of achievements. Vendler's classification is important for EL2 learners in particular since many states in Serbian have two aspectual forms. Verkuyl, on the other hand, maintains that states cannot change their nature even if both arguments are 'specified quantity of x' (item d in the characterisation above). Verkuyl does not mention the role of adverbials that could give (13a) aterminative meaning again, e.g.:

(14) She played that sonata the whole day.
Svirala je tu sonatu cijeli dan. (ipf-was playing)

Based on Verkuyl's work, however, linguists have come to a better understanding (and description) of the interplay between the inner character of verbs and other elements in a sentence (arguments, adverbials, broader context). In his study of 2000, Kabakciev develops compositional aspect further and offers wonderful insights into this interplay. He uses the term 'bounding' to describe spatial and temporal boundaries placed on the verb by the object. His general term for the interplay between the verb and all the other elements is 'mapping temporal values', which he illustrates in the following examples (Kabakciev 2000: 130):

(15) a) The boy threw a stone. Dječak je bacio kamen. (pf-threw)
b) The boy often threw a stone. Dječak je često bacao kamen. (ipf-was throwing)
c) The boy threw a stone three times. Dječak je bacio kamen tri puta. (pf-threw)

The same verb phrase *throw a stone 'baciti kamen'* appears in all sentences above to lead to perfective (15a), imperfective (15b) and perfective (15c) aspectual value at the sentence level.

As for other linguists, mention must be made of Dimitrova-Vulchanova (1999) and her insights into the role of the progressive morpheme to annul telicity of a verb or boundedness of a verb phrase as well as her terms 'aspectual composition' and 'aspectual modelling' to distinguish between determination of aspectual meaning at the phrase and clause levels respectively. Talmy (1988) discusses these different levels under the name of 'nesting' in which 'output of one [level of aspectual meaning] can serve as the input of another' (Talmy 1988:183).

To sum up this section, compositional aspect is a process in English whereby the inner aspectual character of verbs is specified by arguments and finally modelled by adverbials and other contextual factors. In this process, atelic states and activities may be bounded to result in the perfective aspect at the sentence level. That, in turn, can be annulled by the progressive morpheme or adverbials to give the sentence the imperfective aspectual meaning. This process is much clearer for EL2 learners since it helps them understand why the same form of an English verb may be rendered differently in Serbian as well as why the aspectual value of the verb phrases changes under the influence of various factors. Another benefit is a greater awareness of the role of articles. Compositional aspect may help EL2 learners overcome the problem of both omission and substitution of articles. If EL2 learners focus more on aspectual meaning at various levels, they may remember that any[8] singular noun must have a determiner, and that plurals and mass nouns need not always be without a determiner.

[8] It is understood, of course, that EL2 learners are informed of all the rules and exceptions but the use of articles remains a challenge even at the advanced levels of learning.

4. How grammars can incorporate the modern theories of aspect in English

English grammars, at least those for advanced EL2 learners, should teach the tenses as elements of a broader framework which would include a presentation of lexical and verbal aspects and of the mechanisms of compositional aspect. They should devote a lot of space to determiners in particular and their role since at present an EL2 learner sees no connection between determiners and the categories of tense and aspect. If grammars accepted this approach, all the typical uses, rules and restrictions would be natural and logical to an EL2 learner.

Pedagogical grammars of English made for EL2 learners should do the same, paying special attention to the equivalents of the perfective and imperfective aspects in Serbian and the role of articles. Developing detailed schemes for the two aspects in Serbian and their equivalents in English requires a lot of time and effort. In the next paragraph, we present just a few tentative rules.

To recreate the Serbian imperfective aspect in English, an EL2 learner can use atelic verbs (states and activities) and make sure they remain not bounded by specific arguments or adverbials. An EL2 learner may also use telic verbs (accomplishments and achievements) and unbound them by non-specific arguments or annul their boundedness by choosing the progressive morpheme of the verb or adding durative adverbials.

To recreate the Serbian perfective aspect in English, an EL2 learner can use telic verbs and make sure they are not unbounded by non-specific arguments, the progressive morpheme or durative adverbials. An EL2 learner may also use atelic verbs and bound them by specific arguments and make sure they are not used in the progressive form (where the progressive form is possible) or in combination with durative adverbials.

5. Conclusion

Modern theories of aspect in English have a lot to offer to EL2 learners. We believe this help is significant and deserves to be part of at least advanced grammars of English produced by English grammarians as well as all pedagogical grammars of English designed for Serbian EL2 learners. The presentation of the English tense system must include sections on lexical

aspect, verbal aspect, and the principles of compositional aspect. We also believe that in spite of all the differences between the two linguistic systems the similarities are greater and that it is possible to design certain rules which however tentative can help EL2 learners communicate in English with more accuracy and confidence.

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САВРЕМЕНЕ ТЕОРИЈЕ АСПЕКТА У ЕНГЛЕСКОМ ЈЕЗИКУ ИЗ УГЛА ГОВОРНИКÂ СРПСКОГ КОЈИ УЧЕ ЕНГЛЕСКИ КАО СТРАНИ ЈЕЗИК

Сажетак

У раду се анализирају савремене теорије аспекта у енглеском језику из угла говорника српског који уче енглески као страни језик. Анализа се углавном бави радовима Вендлера, Феркила и Кабакчијева, који представљају основу онога што се данас назива компонентним аспектом. У раду се покушава утврдити који су то елементи који су посебно релевантни за оне који енглески језик уче као страни и које би требало унијети у граматике енглеског језика. У раду се указује на јаке аргументе у прилог укључивању таквог садржаја. Такође се показује да је могуће успоставити одређена правила која би онима који уче енглески као страни језик помогла да се снађу у изузетно сложеној категорији аспекта у енглеском језику.

Кључне речи: глаголски и лексички аспект, свршени и несвршени вид, детерминатори

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LEARNING STRATEGIES TRAINING AND AUTONOMY DEVELOPMENT IN A GROUP OF ADULT LEARNERS

Abstract
The article aims at emphasizing the importance of language learning strategies in development of adult learners' autonomy. In the theoretical part, it presents the background of language learning strategies, defines the concept of a language learning strategy, and provides the taxonomy of language learning strategies proposed by various researchers. The paper also presents the concept of learner autonomy and points to the link between language learning strategies and learner autonomy. The empirical part of the paper is a presentation of the research in which late-starters of English in their mid and late fifties were exposed to language learning strategy training in order to develop their language learning autonomy.

Key words: Learning strategies, learner autonomy, FL teaching to adults

1. Introduction

For the last two decades there has been a great interest in foreign language learning strategies and their effectiveness. The considerable body of research devoted to this issue refers to adolescent foreign language learners (e.g. Michońska-Stadnik, 1996). Since the strategy training requires

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some linguistic awareness, it is most effective in formal operation stage individuals. Thus, child learners, due to their cognitive restraints, are not subjected to this training. As to adult L2 learners, it is frequently taken for granted that they are already autonomous individuals with the extensive knowledge of learning strategies; hence introducing strategy training in their case is pointless.

Contrary to these popular beliefs, adult learners, especially in the Polish education setting, need even more learning strategies training than their younger counterparts. The former, being educated in the time of communism when the grammar-translation and audio-lingual methods were dominant, had hardly any chances to experience autonomous learning or learning strategies training. The foreign languages taught at that time were mainly Latin and Russian. Socioeconomic and political changes made it possible for English to spread out in the Eastern Europe, while the role of Russian was diminished. Since the 1990s there has been a great demand for teaching English among adults. There have also been many methodological changes in L2 classrooms in the last twenty years, inspired by communicative approach and constructivism. Many adult learners never had a chance to experience innovations in teaching foreign languages. Consequently, they may have problems with taking responsibility for their own learning, expecting from FL teachers to guide and evaluate it. To facilitate learning process of this specific group of learners and develop their autonomy, L2 teachers need to implement learning strategies training.

There are many reasons for promoting the development of learner autonomy in a FL classroom. Since it is impossible to transmit all knowledge in a given subject in a classroom, the learners need to be independent to find other ways of language learning. During communication in a real life situation, the teacher will not assist the learner, so the learner should manage on his/her own. Learning is more effective in the situation when the learner is actively and emotionally involved in this process. It is believed that the command of learning strategies enables the learner to be more autonomous. A crucial question, however, is whether this interdependence holds true for adult learners of a foreign language.

The primary objective of the paper is to show whether using the specific language learning strategies influences the development of learner autonomy in a group of learners in their mid and late fifties. The article has a twofold structure. The theoretical part outlines the background of learning strategies and autonomy. In the empirical part the author reports

on her research findings which show that there is some influence of the use of the three learning strategies on the process of developing FL learner autonomy among adults learning English in a private language school.

2. Theoretical considerations

2.1 Learning strategies – origin, definitions, taxonomies

It was in 1960s when the researchers got interested in language learning strategies. Their research was mostly influenced by the work of cognitive psychologists who claimed that learners are active during their learning process using different methods (Williams & Burden 2004: 149). Since the 1970s SLA research has been thriving. Consequently, teachers have become more aware of the significance of individual differences in learning process. The SLA research has provided the information on the attributes of good language learners with regard to learning strategies, styles and personal traits. Brown (2000: 123-124) notices that, in spite of the fact that the list of good learner's features was hypothetical, the investigation encouraged other researchers to carry out a number of researches in the field of learning strategies, such as Wenden and Rubin, O' Malley and Chamot, Ellis, and Oxford (Williams & Burden 2004: 149).

There have been many attempts to define learning strategies. As Michońska-Stadnik (1996: 22) notices, the term *strategy* was used first by Selinker in his popular article about interlanguage. Selinker (1972, in Michońska-Stadnik 1996: 22-23) asserts that interlanguage results among others from foreign language learning strategies as well as communication strategies. Furthermore, Selinker describes strategies as cognitive processes similarly to O'Malley and Chamot (ibid.). David Nunan (1999:171), in turn, perceives language learning strategies as "the mental and communicative procedures learners use in order to learn and use language". Oxford (1989, in Ellis 2008: 703- 704) explicates the term of learning strategies as "behaviours or actions which learners use to make language learning more successful, self-directed and enjoyable". An interesting view is presented by Tarone (1980, in Ellis 2008: 704) for whom strategy is "an attempt to develop linguistic and sociolinguistic competence in the target language". Tarone also enhances the fact that language learning strategies are used by the learners for acquiring new

linguistic and sociolinguistic knowledge about the target language, as opposed to skills learning strategies which are employed for becoming more proficient in listening, speaking, reading and writing in the target language. Despite the variety of definitions of language learning strategies, it is worth noticing that all the researchers perceive them as useful for organizing the learning process and as contributing to success in language learning. Undoubtedly, the most detailed description of learning strategies was provided by Rebecca Oxford. The twelve characteristics which she listed in her book constitute a complete and comprehensive description of language learning strategies. She notices that they refer to actions taken by the learner, contribute to communicative competence, allow learners to become more self- directed, and expand the role of teachers. Furthermore, they are conscious, flexible, problem oriented, and not always observable. Oxford also claims that they are influenced by a variety of factors, involve many aspects of the learner, not just these related to cognition. Language learning strategies support learning both directly and indirectly and they can be taught (Oxford, 1990: 9).

It is a widespread belief that the use of learning strategies correlates with success in learning. This view is also confirmed by Oxford (2001, in Ellis 2008: 713), who mentions two reasons for which learning strategies are significant. First of all they are "tools for active, self-directed involvement, which is essential for developing communicative competence" (Oxford 1990: 1). Secondly, "learners who have developed appropriate learning strategies have greater self-confidence and learn more effectively" (Nunan 1999: 172).

It was noticed by Oxford (1994: 1-2) that learners use various kinds of strategies with a different frequency. There are some determinants which influence the choice of learning strategy such as motivation, gender, cultural background, attitudes and beliefs, type of task, learning style, age and L2 proficiency level.

As to taxonomy of learning strategies, there is no one recognized system of learning strategies classification. This constitutes some difficulty in the SLA research. The researchers propose different typologies which can be organized into the following groups:

1) related to successful language learners (Rubin 1975, in Oxford 1994: 2),

2) based on psychological functions (O'Malley and Chamot 1990, in Oxford 1994:2)
3) dealing with guessing, language monitoring, formal and functional practice (Bialystok 1981, in Oxford 1994: 2)
4) dealing with communication strategies (Tarone 1983, in Oxford 1994: 2)
5) related to separate language skills (Cohen 1990, in Oxford 1994: 2)
6) based on different styles or types of learners (Sutter 1989, in Oxford 1994: 2)

Undoubtedly, the classifications put forward by Rubin, O'Malley, and Oxford, are the most applicable in SLA research field. Rubin is the pioneer in the learning strategy research. She divides strategies into those which directly deal with language learning and those which have indirect influence on the language learning process. Furthermore, Rubin distinguishes three main groups of language strategies: learning strategies, communication strategies and social strategies (Rubin 1981, 1987, in Williams& Burden 2004: 149-151). O'Malley (1985, in Hismanoglu 2000: 4), in turn, divides language learning strategies into: metacognitive strategies, cognitive strategies and socioaffective strategies. The classification made by Rebecca Oxford seems to be the most frequently used by SLA researchers. Direct strategies proposed by her are further divided into three subcategories: memory strategies, cognitive strategies and compensation strategies. Indirect strategies, in turn, include metacognitive strategies, affective strategies and social strategies (Oxford 1990: 37-135).

2.2 The main issues related to autonomy development in L2 learning

The term *language learning autonomy* was introduced by Holec (1981, in Benson 2001: 8). He finds some interdependence between the socio-political situation and learner autonomy emergence. He claims that at the end of the 1960s in Western Europe the social development was no longer associated with growing material prosperity but was connected to the advance in standard of life. This transformation was related to the growing respect for an individual person within the community. This view corresponds to the one represented by Benson (2001: 7), who notices that the political context in Europe in the late 1960s and the beliefs that

appeared then had a great impact on autonomy development in the education context. Benson also makes a point that learner autonomy is related to formal learning.

The idea of learner autonomy in the field of language teaching arises from the Council of Europe's Modern Languages Project launched in 1971. Within this project, the Centre de Recherches et d' Applications en Langues (CRAPEL) at the University of Nancy in France was founded. The originator of CRAPEL was Yves Chalon, who is considered the father of language learner autonomy. CRAPEL focused first on the research in language learner autonomy among adult learners. The centre contributed to self-directed learning by (among others) self-access centres and the concept of learner training. After Chalon's death in 1972, Henri Holec became a leader of CRAPEL (Benson 2001: 7-8).

There is some disagreement among the researchers as to the definition of learner autonomy. It is mainly due to the problem with identifying a clear cut boundary between learner responsibility and learner autonomy. For Scharle and Szabo (2007: 3), one of the main features of a responsible learner is his/her awareness of the importance of the efforts he/she makes while learning. Such a learner is more intrinsically than extrinsically motivated and he/she finds cooperation as an effective way of learning. Furthermore, he/she is aware of his/her learning which he/she constantly monitors and searches occasions for learning novelties. It seems that the characterization of a responsible learner generates the definition of an autonomous learner.

As far as the term of learner autonomy is concerned, the researchers propose various definitions. According to Holec (1981: 3), learner autonomy is "the ability to take charge of one's learning". Holec develops his definition explaining that this ability refers to setting the objectives, defining the contents and progressions, selecting methods and techniques to be used, monitoring the procedure of acquisition, and finally evaluating what has been acquired (ibid). Little (1991: 4), unlike Holec, emphasizes in his definition the significance of psychological element in learner autonomy, and not its cognitive aspect. He asserts that learner autonomy is "a capacity – for detachment, critical reflection, decision-making, and independent action. It presupposes, but also entails, that the learner will develop a particular kind of psychological relation to the process and content of his learning".

An autonomous learner, as Omaggio (1978, in Wenden 1991: 41-42) notices, may be characterized with certain characteristics. He/she is

aware of his/her learning styles and strategies. He/she is also active during learning process and is enthusiastic about taking some risks during learning. Moreover, he/she is ready to guess something that he/she does not know. An autonomous learner pays attention both to fluency and accuracy, makes and tests hypothesis about the target language. According to Omaggio he/she is also tolerant towards the culture of the target language. Little (1990, in Benson 2001: 48), in turn, made an attempt to clarify what the learner autonomy is not. For the researcher it is not "a synonym for self-instruction", and it "does not entail an abdication of responsibility on the part of the teacher". Furthermore, it is not "another teaching method" or "a steady state achieved by learners" (ibid.).

The occurrence of learner autonomy is not a particular moment but systematic and continuous process (Scharle and Szabo 2007: 9). There are three stages in learner autonomy development which were distinguished by the two researchers. As Scharle and Szabo notice, in the process of learner autonomy emergence, one stage evolves into the other in a smooth way. In the first stage, called "raising awareness", new perspectives and ways of thinking are demonstrated to the learners. The subsequent stage, called "changing attitudes" is a gradual process involving practice of the abilities acquired at the foregoing phase. In the last phase, "transferring roles", the responsibility is placed on the learner rather than the teacher, which leads to major modification in classroom management. This shift is the most challenging and difficult stage for teachers.

A question relevant for a topic in this paper is why learner autonomy should be fostered. The answer to the question is partly provided by Nunan (1988: 3), who argues that it is impossible to transmit all knowledge in a given subject in a classroom. During real life communication the teacher will not assist the learner so the learner should manage on his or her own (Cotterall 1995: 220). It is generally acknowledged that a learner will achieve better results in language learning if he is more actively and emotionally involved in learning process. When the teacher and the learner decide together on taking responsibility for learning and about the content and goals of the learning, the latter will be more motivated towards learning (Scharle and Szabo 2007: 4).

As to approaches to learner autonomy development, there is no universal way of doing it. Benson (2001: 109) notices that any way of motivating learners to take charge of their learning can be regarded as an instrument for fostering learner autonomy. Yet, as Benson continues there

are some practices which may enhance learner autonomy development. Among them there are resource-based, technology-based, learner-based, classroom-based, curriculum-based and teacher-based approaches (Benson 2001: 111).

In resource-based approach, FL teachers allow learners to select materials, evaluate the learning process and take control over learning plans. Technology-based approach is similar to resource-based approach; however the emphasis is put on technologies used in self-directed learning. Learner-based approach, in turn, aims at developing behavioural and psychological changes that will lead learners to take control over their education and become more responsible for both the process and the product of learning. In other areas of autonomy practice described by Benson as classroom-based, curriculum-based, and teacher-based approaches, the role of the classroom, the curriculum, and the teacher is emphasized. The underlying assumption of these approaches is that learners will be able to make autonomous decisions concerning their learning if they are provided with cooperative and supportive environment. This may be achieved by providing learners with efficient learning strategies, assisting them to identify their own preferred ways of learning, developing skills needed to negotiate the curriculum, or encouraging learners to set their own objectives.

3. Empirical Part

3.1 Research aims, questions, hypotheses

The main aim of the experimental study was to check whether adult learners of English who used the three language learning strategies are more autonomous in their learning process than their counterparts who were not exposed to strategy training. Hence, the main research question posed by the researcher was whether language learning strategies have any impact on learner autonomy. Since there are numerous groups and subgroups of learner strategies proposed by various researchers, the author decided to focus only on three of them: 1) strategies of compensating for missing knowledge, 2) strategies of organizing and evaluating learning, and 3) learning with others. Therefore, the specific research questions concern

the relationship between the three types of selected learning strategies and learner autonomy.

It might seem obvious that there is a positive correlation between language learning strategies use and development of learner autonomy. Nevertheless, for the reasons outlined in the introduction to the article, the author decided to conduct research among adults who are neglected in this type of research. Additionally, the author finds it challenging to examine a group of Polish adult learners, who, being in their mid and late fifties, have never been trained in learning strategies use or any other techniques of autonomy development.

The author hypothesizes that the null hypothesis may be supported, which means that no relationship between learner strategies and autonomy development will be found. However, the researcher also considers positive or negative interdependence between these two variables.

3.2 Research description: variables, subjects, procedure

The researcher identified a number of variables in her study. The independent variable refers to learning strategy training, which means both presentation of the three language learning strategies to the adult learners by the teacher and their practice. The dependent variable, in turn, represents learner autonomy, which may be operationalised as the ability of taking the responsibility for learning process. The level of the adult students' autonomy is measured by a structured autonomy questionnaire. Undoubtedly, there might be the impact of various intervening variables on the relationship between the independent and the dependent variables such as the teacher effectiveness in strategy training, the adult learners' motivation and their prior experience with English. The researcher made an attempt to control one variable, namely the adult learners' prior exposure to learning strategies. Two subjects with the prior strategy training were eliminated from the study.

As it has been mentioned above the subjects were all adult learners of English ranging in age from 55 to 59 years. The research was conducted in the private language school CANYDEY in Wrocław. The learners' motives for learning the English language varied. The majority of them studied it in order to be able to communicate with their family members (grandchildren, sons-in-law and daughters-in-law). The others needed

the language to use it abroad while travelling or doing business. The total number of students participating in the study was 40; however, two of them were eliminated since they had prior learning strategies experience.

The first part of the study was to screen subjects in terms of their knowledge and use of the language learning strategies. 38 subjects filled in the questionnaire on language learning strategies (SILL) by Rebecca Oxford, which was translated into the native language of the subjects, that is Polish (see Appendix 1). In the original questionnaire there were 50 questions and six parts in the questionnaire representing various strategy groups: 1) remembering more effectively, 2) using mental processes, 3) compensating for missing knowledge, 4) organizing and evaluating learning, 5) managing emotions, and 6) learning with others. However, the researcher reduced the number of questions to focus only on these which were related to the three investigated strategies. In the strategy questionnaire the subjects had a choice between the five answers for each question. Below there is a list with the options provided to the subjects and the number of points assigned to each statement.

'never or almost never true'	– 1 point
'rather not true'	– 2 points
'sometimes it is true'	– 3 points
'mostly it is true'	– 4 points
'always or almost always'	– 5 points

Since the highest score the subject could obtain in each part of the learning strategy questionnaire was 30, the researcher made an assumption that only these subjects can be skipped out from the study who scored at least 50% in each part.

There were 6 subjects who declared using the strategies on a regular basis either always or most of the time. Thus, they were excluded from further research. The other 32 subjects were divided into two groups: the control group (15 subjects) and the experimental one (17 subjects).

In the second part of the research, the experimentals were introduced to the strategy training, while the control group was not provided with any treatment. In the strategy training the English teacher used a number of various tasks. In the first set of tasks the subjects focused on these strategies which help compensate for missing knowledge. The tasks involved fill-in-

the gap exercises, language games in which the learners worked in teams to prepare definitions of words, or the games in which the learners were working on synonyms to various English words. In the second set of tasks the strategies of organizing and evaluating the learning process were introduced.

The adult learners filled in the chart on the language learning progress they noticed. They also shared their experiences on how they learn and what way they find most effective for them. Finally, in the third set, the adult learners were taught the ability of learning with others and with various learning materials. The subjects had a chance to practice their skills with a native speaker of English who was invited to the classroom. They were also requested to prepare the list of learning materials they use and share it with the peers.

After a three month period both groups of subjects were requested to fill in the questionnaire on the development of their autonomy as the learners of English (see Appendix 2). The questionnaire was based on Stadnik's learner autonomy questionnaire and consisted of twelve questions. The subjects could choose between two options, namely 'I agree' or 'I do not agree' for which either 1 point or 0 point were assigned correspondingly. It was assumed that the score from 7 to 12 points was indicative of learner autonomy.

3.3 The results of the study and their discussion

The data from the autonomy questionnaire is first presented for each group. Then the data is presented in a collective manner.

subjects	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	mean	Standard deviation
Questionnaire points	8	8	12	10	9	9	9	10	8	9	8	3	3	3	5	3	4	7.1	2.86

Table 1. The results obtained from the experimental group with strategy training

As shown in Table 1, the majority of subjects (11 subjects) obtained 7 points and more while 6 respondents scored below 7 points. Therefore, the former can be said to display some low level of autonomy. The mean for the group amounts to 7.1 which indicates that despite strategy training the learners are autonomous; however the level of autonomy may be described as low. The group of respondents was rather homogenous (SD= 2.83).

subjects	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	mean	Standard deviation
Questionnaire points	7	8	8	10	5	5	5	1	4	3	4	2	6	6	4	5.2	2.31

Table 2. The results obtained from the control group without strategy training

As shown in Table 2, in the control group there are four subjects whose final score may be indicative of learner autonomy. The majority of participants (11 subjects) scored below 7 points, which may imply that these learners are not autonomous. The mean for the group was 5.2, which may be interpreted as an indication of the lack of autonomy. The control group was homogenous (SD=2.31).

Since the main aim of the study was to check whether learning strategy training has an impact on autonomy, the results obtained by the two groups on the autonomy questionnaire were compared. Firstly, Pearson's chi-squared goodness-of-fit test was conducted to check whether or not an observed frequency distribution differs from a theoretical distribution. The analysis did not show statistically significant differences between the groups: $\mathbf{chi}^2(1) = 0.12$ and $p = 0.724$. This implies that the control and the experimental groups were equipotent.

Then, Kolmogorov-Smirnov test (K–S test) for the equality of continuous, one-dimensional probability distributions was applied to compare the two samples (two-sample K–S test). The statistical analysis showed that in the experimental group the distribution was not similar

to the normal distribution: K-S = 0.26; p = 0.003. This implies the application of non-parametric statistical test to compare the two groups. The analysis was conducted by means of U Mann-Whitney test to check whether the experimental group differed from the control one in terms of the points obtained on the test. The analysis did not show statistically significant difference: Z = 1.77; p = 0.077. This means that the subjects in the experimental group were not different from the control group subjects in terms of the autonomy questionnaire points. Since there are no differences in the autonomy level between the groups, the null hypothesis put forward in the section 3.1 is supported while the alternative hypotheses are refuted.

4. Final thoughts

In the study it was proved that strategy training procedure had no impact on learner autonomy development. However, one should be careful with making any generalisations such as that the adult L2 learners are not capable of developing autonomous behaviour while learning English. There are undoubtedly many limitations of the study which should make the reader treat the obtained results with caution. One should bear in mind that the strategy training concerned only three strategy groups. It might have happened that the same students provided with the training including other strategies would have achieved better results on the autonomy questionnaire. Furthermore, the learners in the study may not be psychologically ready to be autonomous and take responsibility for their learning. Autonomy development is a gradual process and the duration of the strategy training could be too short for some of the adult learners in the study. One may also question the research sample and its size. In the bigger sample there would be a chance to eliminate the impact of an intervening variable such as a personality factor related to motivation. There were two students in the study who resisted the strategy training claiming that they were too old to be told how to learn effectively. These students did not participate actively in the assigned tasks, which also might have had some negative effect on the rest of the group.

As to the very research procedure, there seems to be a problem with the objective measurement of the learners' autonomy level. It seems justified to introduce the autonomy questionnaire before and after the

strategy training. Only having pre-treatment and post-treatment results can one really judge the level of learners' autonomy.

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Appendix 1

The questionnaire on the three selected learning strategies (based on SILL by R. Oxford).

Assign the points to all the statements which are below.

'never or almost never true'	– 1 point
'rather not true'	– 2 points
'sometimes it is true'	– 3 points
'mostly it is true'	– 4 points
'always or almost always'	– 5 points

Part I

1. Staram się odgadnąć znaczenie słowa, którego nie znam.
2. Kiedy podczas rozmowy nie mogę sobie przypomnieć słowa, używam zamiast niego gestów.
3. Kiedy nie znam słowa, wymyślam je sam/a.
4. Nie czuję potrzeby, żeby sprawdzać w słowniku każde nowe słowo, które pojawia się w tekście.
5. Podczas rozmowy staram się przewidzieć, co druga osoba zaraz powie.
6. Kiedy nie mogę przypomnieć sobie słowa lub zwrotu używam innych o takim samym znaczeniu.

Part II

1. Szukam okazji, żeby móc używać języka angielskiego.
2. Zauważam swoje błędy i staram się uczyć i wyciągać z nich wnioski.
3. Zwracam uwagę na osoby, które mówią po angielsku.
4. Staram się dowiedzieć, w jaki sposób mogę lepiej uczyć się języka angielskiego.
5. Obserwuję swoje postępy w nauce języka angielskiego.
6. Wyznaczam sobie kolejne cele w nauce języka angielskiego.

Part III

1. Interesuję się kultura krajów anglojęzycznych.

2. Zadaję pytania w języku angielskim.
3. Proszę o pomoc w nauce osoby, dla których język angielski jest językiem ojczystym.
4. Ćwiczę język angielski z innymi osobami.
5. Proszę rodzimych użytkowników języka angielskiego, żeby poprawiali moje błędy w trakcie mojej wypowiedzi.
6. Wyznaczam sobie kolejne cele w nauce języka angielskiego.

Appendix 2

The questionnaire in Polish on adult learners' autonomy.

Circle only one option that refers to you.

1. Staram się uzyskać informacje jak mogę bardziej efektywnie uczyć się języka angielskiego.
   zgadzam się nie zgadzam się
2. Przed każdym kursem wyznaczam sobie cele, do których chcę dążyć w nauce języka angielskiego.
   zgadzam się nie zgadzam się
3. Uważam, że to ja a nie nauczyciel ponoszę odpowiedzialność za sukces w nauce języka angielskiego.
   zgadzam się nie zgadzam się
4. Korzystam z literatury i czasopism w języku angielskim.
   zgadzam się nie zgadzam się
5. Korzystam z różnego rodzaju słowników.
   zgadzam się nie zgadzam się
6. Monitoruję i oceniam swoje postępy w nauce języka angielskiego.
   zgadzam się nie zgadzam się
7. Jestem przygotowany/a do zajęć z języka angielskiego i odrabiam zadania domowe.
   zgadzam się nie zgadzam się
8. Jestem systematyczny/a w nauce języka angielskiego i odrabianiu zadań domowych.
   zgadzam się nie zgadzam się

9. Planuję swój dzień w ten sposób, żeby mieć czas na naukę języka angielskiego.
   zgadzam się nie zgadzam się
10. Poszukuję okazji, żeby móc porozmawiać z osobami w języku angielskim (przez Internet, podczas wyjazdów służbowych, wakacji itp.)
   zgadzam się nie zgadzam się
11. Korzystam z Internetu w celu znalezienia materiałów do nauki języka angielskiego oraz ciekawostek na temat anglojęzycznych krajów.
   zgadzam się nie zgadzam się
12. Oglądam filmy oraz programy telewizyjne w języku angielskim.
   zgadzam się nie zgadzam się

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Малгосјата Јединак

ОБУКА ВЕЗАНА ЗА СТРАТЕГИЈЕ УЧЕЊА И РАЗВИЈАЊЕ АУТОНОМИЈЕ УЧЕЊА НА ПРИМЕРУ ЈЕДНЕ ГРУПЕ ОДРАСЛИХ

Сажетак

Овај рад има циљ да истакне важност стратегија учења језика у развоју аутономије учења код одраслих. У теоријском делу износи се позадински оквир стратегија учења језика, одређује се појам стратегије учења језика, и наводи се таксономија стратегија учења језика на основу предлога различитих истраживача. Поред тога, представља се појам аутономије ученика у учењу и указује се на везу између стратегија учења језика и ученичке аутономије. У емпиријском делу рада представљено је истраживање у којем су одрасли почетници у учењу енглеског језика (у узрасту касних педесетих година) били изложени обуци везаној за стратегије учења језика како би развили сопствену аутономију у учењу језика.

Кључне речи: стратегије учења, аутономија ученика, настава страног језика одраслима

Literary and Cultural Studies

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THE "DIALOGIC" YEATS: A BAKHTINIAN READING OF YEATS'S "SAILING TO BYZANTIUM"

Abstract
Yeats's love for words and spoken language of the common people in general coupled with his intrinsic moorings in Irish dialect directed his focus on the conversational and the colloquial. The influence of William Blake on Yeats, among other factors, whetted his dialectic sensibility. Finally, his innate love for drama and the dramatic led him to fiddle with both conflict and dialogue. Yeats's very penchant for the dramatic triggered off his fascination with conflict which, in turn, precipitated his dialectical sensibility couched through the 'dialogic', both in its neutral sense, and also in a Bakhtinian sense of the term. Using the theoretical tools of Bakhtin's "Dialogism", this paper examines Yeats's poem "Sailing to Byzantium" as a "dialogic" poem in general, and "polyphonic" poem in particular.

Keywords: "Sailing to Byzantium", dialogic, dialogue, addressivity, polyphony, voices, heteroglossia, W. B. Yeats, M. M. Bakhtin, dialectic.

In his poem "The Players Ask for a Blessing on the Psalteries and on Themselves" taken from his anthology *In the Seven Woods* (1903) W. B. Yeats resorts to a wonderful conversation among three voices. Almost after three decades the more mature Yeats wrote "A Dialogue of Soul and Self" included in *The Winding Stair and Other Poems* (1933). If we consider the nature of these two poems, what strikes us at first glance is Yeats's

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inclination for the dialogic and his propensity to dramatize the conflict of multiple voices. One may also notice Yeats's conspicuous penchant for the dialogic in such poems as "The Grey Rock", "Michael Robartes and the Dancer", "The Three Hermits", "The Phases of the Moon", "Owen Aherne and His Dancers", "The Seven Sages", "Vacillation", "Parting", "The Man and The Echo", among others. Given Yeats's penchant for the dialogic, the dramatic, and the conflict of voices, it is seemly that I might venture to explore the possibility of reading Yeats with the theoretical tools provided by M. M. Bakhtin. But since Bakhtin's primary theoretical focus lay in novel, and W. B. Yeats was primarily a poet, it would appear absurd to examine the latter with the insights provided by the former. Yet, my humble submission in this paper is to show the interface shared by them, and to re-read Yeats's "Sailing to Byzantium" from a Bakhtinian angle. I have also chosen this poem because here the conflict of voices operates covertly, at a deeper level, within the same speaker. My further claim in this paper is that Yeats's inclination for the dialogic may be traced to his love for words in general, and to that of the oral and the conversational, in particular. Hence a nodding acquaintance with Yeats's concept on language is as much imperative as it is invaluable to substantiate my claim.

Yeats's enormous faith in the efficacy of words may be noticed in his poem "The Song of the Happy Shepherd":

> For words alone are certain good:
> Sing, then, for this is also sooth.

Yeats's poetic secret lay in his effort to compose poetry through his assiduous "stitching and unstitching" of and grappling with words:

> I said: 'A line will take us hours maybe;
> Yet if it does not seem a moment's thought,
> Our stitching and unstitching has been naught…'
>
> ("Adam's Curse")

Having claimed that "I have spent my life in clearing out of poetry every phrase written for the eye, and bringing all back to syntax that is for ear alone," (1961: 529), Yeats created what Michael J. Sidnell[1] identified as

[1] Michael J. Sidnell, 'Yeats's "Written Speech": Writing, Hearing and Performance', in *Yeats's Poetry, Drama, and Prose*, ed. James Pethica (New York, London: W. W. Norton & Company, Inc., 2000). 366-369. Hereafter all the references to this book will be cited as 'Norton'.

the "trope of speech within speech" (367) or what Yeats himself called "the speech of a man" (O'Driscoll & Reynolds 1975: 74). Sidnell in his criticism of Yeats's "Adam's Curse" argues that Yeats's penchant for "colloquial phrases" conduced to the elevated effect engendered by his poetry, for "it is in them, rather than in the syntactical order of phrases that the effect mostly resides … these features of direct speech and regular versification together constitute the acoustic representation of an elevated kind of conversation" (Pethica 2000: 367). The thrust towards the conversational (or the 'dialogic', to use the word in its neutral sense of the term) pervaded the Yeatsian consciousness, inasmuch as dialogue offered him the medium to put forward his dialectic vision evinced in the conflict between opposite entities. As Marjorie Howes has so cogently pointed out Yeats's preoccupation with dialogue in the "Introduction" to *The Cambridge Companion to W. B. Yeats*, "Throughout his career, dialogue appealed to him (Yeats) because it allowed him to stage conflicts between opposing principles, voices, or moods" (Howes & Kelly: 2006: 2).

Yeats's strong inclination for the conversational may also be traced to his love for the local Irish dialect which he felt to be the essential medium of self-expression. An undeviating devotee of Irish culture and Irish nationalism, Yeats lamented the fact that Ireland could not produce such great poets as Burns or Dickens simply because of the lack of the Irish writers in their mother tongue:

> …no man can write well except in the language he has been born and bred to, and no man, as I think, becomes perfectly cultivated except through the influence of that language… I believe that Ireland cannot have a Burns or a Dickens, because the mass of the people cease to understand any poetry when they cease to understand the Irish language, which is the language of their imagination…(269).[2]

That is why in his criticism of Synge's plays[3] Yeats argued that Synge fared badly whenever he resorted to writing plays sans dialect (243).

One may note that drama and dialogue are intrinsically, inalienably related to each other. Yeats's love for drama and the dramatic form is not dehydrated of his passion for the living speech of the common men and

[2] W.B.Yeats, "Irish language and Irish Literature", reprinted in 'Norton', 269-271.

[3] W.B.Yeats, *The Trembling of the Veil*, reprinted in 'Norton', 240-24.

women. As he puts it in "The Reform of Theatre" (1903):[4] "…if one is not love with words it will lack the delicate movement of living speech that is the chief garment of life; … (277)."

Like Wordsworth, Yeats preferred the common living speech, sometime bordering on the dialect, of common people. He harped on the same string in his essay "The Bounty of Sweden" (1925):[5]

> When I begin to write I have no object but to find for them some natural speech, rhythm and syntax, and to set it out in some pattern, so seeming old that it may seem all men's speech,…(292).

In his essay "A General Introduction for My Work" (1937) Yeats expressed his poetic credo in the normal natural speech being the proper stuff of poetry: "I tried to make the language of poetry coincide with that of passionate normal speech. I wanted to write in whatever language comes most naturally… (Yeats 1961: 521)."

A. Norman Jeffares in *W.B.Yeats: A New Biography* notes how in Ashfield Terrace young Yeats had the habit of reciting his own composition and how "he betook to himself to the study of verse, murmuring over to himself the lines as he made them…only his voice would grow louder and louder till at last it filled the room" (Jeffares 1988: 18). While this simple anecdote only attests to his love for spoken words since his childhood, one may also note that like Wordsworth, he stressed the necessity of using natural speech. His observation made in his "Introduction" to the Scribner's Edition to his *Collected Works* (1937)[6] bespeaks his choice for the natural and the dramatic:

> I planned to write short lyrics or poetic drama where every speech would be short and concentrated, knit by dramatic tension,… Then, and in this English poetry has followed my lead, I tried to make the language of poetry coincide with that of passionate, normal speech (308).

Praising the peasants whose speech captures the real flavor of Irish folk culture, Yeats wrote to George Moore that from their speech "one could learn to write, their speech being living speech following out of the habits

[4] Originally published in *Samhain*, an annual journal issued by Yeats between 1901 and 1904, reprinted in 'Norton', 277-78.

[5] In 'Norton', 292-93.

[6] In 'Norton',300-11.

of their lives, struck out of life itself" (Ellman 1958: 147-8). His astonishing revelation made to Olivia Shakespear in 1932, similarly, bespeaks his fascination of speech over writing: "I have just finished the first volume,… and am greatly astonished at myself, as it is all speech rather than writing (*Ibid*: 272) ." His wish that all his poetry "be spoken on a stage or sung"[7] prioritizes the oral over the orthographic, the auditory over the visible (314).

Arthur Symons in his Review[8] of Yeats's *Poems* and *The Wind Among the Reeds* points out the essential inextricability of the poetic and the dramatic in these anthologies:

> And here it is the poetry that makes the drama, or I might say equally the drama which makes the poetry; for the finest writing is always part of the dramatic action,…(322).

One may well argue that this pattern is also perspicaciously evident in Yeats's other anthologies, as well. Similarly, Harold Bloom in *Yeats* observed that "Yeats's most typical poem is a dramatic lyric that behaves as though it were a fragment in a mythological romance" (1970: 70). Yeats's own claim of being at once a dramatic poet, a dramatist, and a drama critic may be evinced in his famous Nobel Prize address delivered on "The Irish Dramatic Movement":

> Perhaps the English committees would never have sent you my name if I had written no plays, no dramatic criticism, if my lyric poetry had not a quality of speech practiced upon the stage. (O'Donnell & Archibald 1999: 410).

Further, when we dwell on modern drama, as distinct from both classical and Elizabethan plays, we notice that dramatic form in the twentieth century prefers the conversational and the colloquial to the lyrical. Yeats was no exception to it. One may pertinently refer to his exhortation found in the manifestoes for the National Theatre:[9]

> Let us get back in everything the spoken word (2000: 371).

Finally, if conflict is the *raison d'être* of drama, this conflict is perspicaciously evinced in his dialectic vision. As he recorded his dialectic vision in *A Vision*:

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[7] W. B. Yeats, "Introduction to Plays", reprinted in Norton, 313-15.

[8] Reprinted in Norton, 321-22.

[9] Quoted in Lucy McDiarmid,"Yeats and the Lettered Page", reprinted in Norton, 370-78.

"I had never read Hegel, but my mind had been full of Blake…and I saw the world as a conflict…and could distinguish between a contrary and a negation (1978: 72)."

Similarly, reflecting on Yeats's choice of images, Helen Vendler rightly points out:

> Yeats's images usually appear to him in the form of Blakean antinomies or opposites. They structure Yeats's work in Heraclitean fashion, as they die each other's life, live each other's death. But the nature of such antinomies is intensely queried in the later work (2004: 93).

If drama becomes an invaluable vehicle to engender this conflict, it gets wonderfully assimilated in the Yeatsian dialectic sensibility. Adducing Yeats's "Ego Dominus Tuus" as a paradigmatic "dialogic" poem, James Pethica, in his brilliant "Introduction" to the Norton Critical Edition of *Yeats's Poetry, Drama, and Prose* argues: "Dialogic poems as this proliferate in his canon after 1917, serving as a forum for the dramatization of his inner debates (2000: xvii)."

But my basic argument in this paper is less to point out this explicit dialogue in Yeats's poetry than to trace the intrinsic voices clashing and coalescing internally in his poems. Rather than examining the clash of voices among different characters present in his poems, I propose to examine the presence of multiple voices, usually within the same character. It is this inner conflict within the same persona dramatized through some of his representative poems that lends them a sharp dialogic aspect. And it is precisely because of this that Yeats's poems become highly amenable to a Bakhtinian reading. But in this paper I would like to reread his famous poem "Sailing to Byzantium" from a Bakhtinian angle in general and try to bring out the polyphonic nature of the poem in particular.

II

It was M. M. Bakhtin who in his *Marxism and the Philosophy of Language* (1986) pointed out the dialogic nature and inherent addressivity of language, stressing that "word is a two-sided act." It is determined equally by *whose* word it is and for whom it is meant. As word, it is precisely, "*the product of the reciprocal relationship between speaker and listener, addresser*

and addressee" (*Ibid:* 86). It is interesting to note that every utterance is conditioned as much by the speaker as by the expectant listener. Thus every word becomes, as it were, a bridge between the speaker and the listener. He claimed that no word is original in that the same words which are used by a speaker at the present moment have already been used by several sets of speakers on different occasions. As Bakhtin puts it in his chapter "Discourse in the Novel" included in *The Dialogic Imagination*:

> The living utterance, having taken meaning and shape at a particular historical moment in a socially specific environment, cannot fail to brush up against thousands of living dialogic threads, woven by socio-ideological consciousness around the given object of an utterance, it cannot fail to become an active participant in social dialogue. After all, the utterance arises out of this dialogue as a continuation of it and as a rejoinder to it – it does not approach the object from the sidelines (1981: 276-77).

Thus language becomes 'contaminated', as it were, through their passage from one set of speakers to another. In his study *Speech Genres and Other Late Essays* Bakhtin reiterated the dialogic nature of language:

> In reality …any utterance, in addition to its own theme, always responds (in the broad sense of the word) in one form or another to others' utterances that precede it … The utterance is addressed not only to its object, but also to others' speech about it (1986: 93-94).

In his seminal work *Problems of Dostoevsky's Poetics* Bakhtin introduces his concept of polyphony. Bakhtin argues that rather than creating a dominant authorial voice, Dostoevsky creates a polyphonic discourse in which all the voices coexist. No voice becomes subservient to a predominant authorial voice, and multiple voices clash and coalesce within the same discourse:

> *A plurality of independent and unmerged voices and consciousnesses, a genuine polyphony of fully valid voices is in fact the chief characteristic of Dostoevsky's novels*. What unfolds in his words is not a multitude of characters and fates in a single authorial consciousness; rather a plurality of consciousnesses, with equal rights and each with its own world, combine but are not merged in the unity of the event (1984: 6).

But one should note that unlike the exchange of dialogues in a play, dialogism is not the literal exchange of dialogues between characters in a novel. *A la* Bakhtin, the "dialogic relationships can permeate inside the utterance, even inside the individual word, as long as two voices collide within it dialogically" (Bakhtin 1984:184). Interestingly, while Bakhtin's theories were essentially oriented towards novel, my claim in this paper is to apply the same insights into the reading of a poem, for what is applicable to one genre, may be applied *mutatis mutandis*, to any literary genre. Thus Aristotle in *Poetics* used the word "poet" to imply any literary artist. And when we come to Bakhtin, we may safely shift his theoretical tools of novel to the analysis of poetry, for, as R. B. Kreshner[10] has rightly argued, "Bakhtin admits that poetry, like other genres, is susceptible to *novelization*, which can also render the poetic world dialogical" (Taneja 2005: 107). In fact, in "Discourse in the Novel" Bakhtin himself referred to it. Reflecting on the use of "dialogized image" in "novelistic prose", he claimed, "Such a dialogized image can occur in all the poetic genres as well, even in the lyric…" (1981: 278).

III

If Bakhtin's dialogism delights in the inherent addressivity of language, "Sailing to Byzantium", the opening poem of Yeats's *The Tower*, follows suit. The first stanza, apparently addressed to his readers, also borders on a sense of tacit rejoinder to his contemporary young generation whom he consciously takes to task. Suffice it to say, the abrupt philosophical intrusion in the sixth line ("Whatever is begotten, born, and dies.") is conspicuously addressed to his younger generations who seem to have been oblivious of this basic truth under the mesmerizing spell of the "sensual music". Further, the addition of three words–"those dying generations" – to describe the singing "birds at the trees" seems to be a tacit rejoinder to John Keats's paradoxical observation about the nightingale bird in "Ode to a Nightingale":

> Thou was not born for death, immortal bird

[10] For details see R.B.Kreshner, "Yeats/Bakhtin/Orality/Dyslexia" in G.R.Taneja, ed., *W.B.Yeats: An Anthology of Recent Criticism* (New Delhi: Pencraft International,2005) 106-28.

What need had Yeats to mention that birds are part of "dying generations"? If every utterance according to Bakhtin evolves from a complex history of a series of utterances which precede it, Yeats's comment is conditioned by, as it were, Keats's Romantic vision which refuses to treat the bird mortally. In sharp contrast to his Romantic counterpart, the modern Yeats cannot but remind us of the birds being subject to mortality. Addressivity also operates at varied levels in different stanzas of the poem. For example, the ratiocinative syllogistic explanation he provides for undertaking his journey – "And therefore I have sailed the seas and come/ To the holy city of Byzantium" – presupposes a context and situation which impels him to justify the reason of his journey to a pre-conceived set of listeners. The address of the third stanza bordering on a sense of invocation, on the other hand, is directly meant for the "sages standing in God's holy fire" in the frescoes and portraits of St. Sophia's church in Byzantium.

One might also find how Bakhtin's notion of 'heteroglossia' operates within this short poem. Heteroglossia, according to Bakhtin, is differentiated speech. In his chapter "Discourse in the Novel" Bakhtin argues that heteroglossia

> represents the co-existence of socio-ideological contradictions between the present and the past, between differing echoes of past, between different socio-ideological groups in the present, between tendencies, schools, circles, and so forth, all given a bodily form (1981: 291).

In "Sailing to Byzantium" the crux of the speaker's problem is generated by generation gap, or to borrow Bakhtin's words from above, by "contradictions between the present and the past": the speaker, being a representative of old age cannot come to terms with the unscrupulous amorous surge of his younger counterparts. The different and opposing "tendencies" that characterize the two generations keep them poles apart: while the young are engrossed in the symphony of sensuality at the cost of aesthetic veneration, the old speaker chooses to take the reverse path, and seek both spiritual bliss and aesthetic pleasure, supposed to be found in his self-projected utopia, Byzantium.

The poem also becomes highly amenable to a polyphonic reading. A representative doyen of old age, W. B.Yeats, was thoroughly vexed at his contemporaneous philistines and anti-cultural young generation engrossed in carnal carnival and sensual bacchanalia. While the young

people busy themselves with their amorous dalliance, even "birds in the trees" are "at their song". Yeats's comprehensive ken artistically embraces all the creatures and participants of this "sensual music" on land, water, and air by the use of the three words, 'fish', 'flesh' and 'fowl' respectively. What irks the cultured speaker is the sheer ignorance and obliviousness of "Monuments of unageing intellect" by his present generation. Thus at the outset the speaker ensconces a rejection of the material and carnal world out of disgust, chiefly out of his avowed penchant and inclination for art and culture represented by his dreamland, Byzantium, his aesthetic haven and spiritual heaven.

While in the first stanza the speaker rejects the sensual for the sensuous and the aesthetic, in the second he renounces the physical for the spiritual. The Manichaean body-soul dichotomy overtakes the speaker whose soul is exhilarated for "every tatter in its mortal dress". An abode of spiritual transcendence, Byzantium, thus, happens to be his cup of tea. Once this journey – this self-projected act of wistfulness – becomes a *fait accompli*, the drive from body to soul takes a tighter hold on the poet. Entering a church (possibly Saint Sophia's Church) in Byzantium, he invokes the sages portrayed in the frescoes and murals to come out of their "holy fire" and assist him achieve salvation. And yet, this passionate pilgrim fervidly in pursuit of spiritual realization is painfully aware of the hypocrisy and duplicity of his heart, already "sick with desire". This is not unlike Bakhtin's description of Dostoevsky's fictional corpus:

> In every voice he (Dostoevsky) could hear two contending voices, in every expression a crack, … in every gesture he detected confidence and lack of confidence simultaneously; he perceived the profound ambiguity, even multiple ambiguity of every phenomenon (1984: 3).

Ironically, the same speaker who had consciously castigated and rejected the luxuriance of the amorous world, and had preferred the soul to the body, the lustral to the luscious, cannot but take note of the earthly desires which have sickened his heart.

No wonder then, Yeats reveals himself to be a split personality endorsing two different voices: his inner self acknowledges the voice of libidinal drives and desires which his outer self wishes to shun. His inner strong pull towards the libidinal is counterpoised, as it were, by his equally strong pull towards the spiritual. Interestingly, these two different

voices of the speaker, antithetically poised against each other, remain "unmerged" in a polyphonic sense. That is to say, none of these voices is allowed to be prioritized over the other, or to altogether eliminate the other.

Further, the speaker's very choice of Byzantium as a space is not devoid of ambivalence, and in itself, engenders what Bakhtin calls "a plurality of independent and unmerged voices and consciousnesses" (1984: 6). Byzantium is less a geographical locale than a symbolic space for Yeats for whom it is the *signified* of a host of possibilities: a mode of escape; a search for a better alternative than Ireland; a utopia of spiritual transcendence; a cultural abode; and finally, a means for aesthetic refinement. As David Young has rightly pointed out:

> The choice of "Byzantium" as the destination of an unidentified speaker, who may be the modern poet himself, becomes more mysterious; the city grows less historical and more symbolic (1987: 15).

The specificity of the *signified* of Byzantium is further blurred by the facts that in the third stanza he invokes the sages to gather him "Into the artifice of eternity", while in the final stanza the spiritual dimension of Byzantium is supplanted by a purely aesthetic one. As David Young has drawn our attention to it:

> The analogue to this situation is of course the Christian's prayer to be taken into heaven, but that this paradise is associated more with aesthetic than religious rewards is indicated by the fact that the sages seem to be part of a splendid mosaic, of the kind Yeats saw in Ravenna and associated with Byzantine art at its finest, and the fact that eternity itself is somehow an "artifice." Does that make eternity identical with Byzantium, or does it mean that only something as artificial as a city, one filled with artistic accomplishments, can even be the portal to a more perfect and less changeful world? The reader is invited to ponder these questions (*Ibid:* 16).

To Yeats Byzantium is, as David A. Ross points out, "less a place than a condition of triumph into which the imagination enters when it has finally thrown off all sense of its own limitation" (2009: 215). However

Yeats's own rationale behind his choice of Byzantium may be found in his admission made in *A Vision:*[11]

> I think if I be given a month of Antiquity, and leave to spend it where I chose, I would spend it in Byzantium a little before Justinian opened St Sophia and closed the Academy of Plato… I think that in early Byzantium, and maybe never before or since in recorded history, religious, aesthetic and practical life were one, that architect and artificers … spoke to the multitude and the few alike.

Further, if the title of the poem presupposes a physical journey from Ireland to Byzantium, the poem itself embraces the possibility of multiple journeys: from country to city; from sensual to sensuous; from nature to structure; from body to soul; from gross to refined; from life to art; from evanescence to permanence; from mortality to eternity; and of course, from flux to fixity. No wonder then, the very title of the poem sparks off a wide ken of plurality of choices suited to the polyphonic orientation of the poem.

This polyphonic thrust of the poem, with its rich dialogic nature, sustains throughout the poem, culminating in a rich ambivalent open-endedness. In the final stanza the speaker rejects nature, lock, stock, and barrel:

> Once out of nature I shall never take
> My bodily form from any natural thing,
> But such a form as Grecian goldsmiths make
> Of hammered gold and gold enamelling

Having rejected nature thus, he wishes to be converted into a golden bird perched on a golden bough, singing a song to entertain the "lords and ladies of Byzantium". It is also paradoxical that the same speaker whose soul exhilarates for "every tatter in its mortal dress" should wish to assume a shape of a golden bird made of "hammered gold and gold enamelling". While it is natural that his soul's rapture induced by the ruptures in his fleshy dress is perfectly attuned to his spirit of renunciation in the first stanza, the desire to assume an assiduously forged, gorgeous, golden bird by Grecian goldsmiths subverts and undermines this claim of renunciation. We come across yet another paradox when we notice that the same speaker

[11] Quoted in A. Norman Jeffares (ed.), *W.B.Yeats: A New Biography,* London & New York: Continuum, 1988, p.230.

who had stressed the mortal existence of the "birds in the tress" in the first stanza, and one who had particularly wanted to be subsumed within "the artifice of eternity" should express his desire to be transformed into a bird. But unlike Keats's natural nightingale singing in a spontaneous, natural way in "full-throated ease", Yeats's artificial golden bird – his projected *alter ego* – is supposed to sing an artificial song to a preconceived set of audience. And yet, the very subject of this object of art veers around the warm shores of natural life which it had relinquished:

Of what is past, or passing, or to come.

Ironically, the golden bird's singing panegyric on the very flux of life it has consciously shunned heightens the paradox of both the speaker and the poem. This final drive towards life itself poses the speaker in a duplicitous, dichotomous situation, engendering the opposite voice of the speaker thereby. His disgust with the "sensual music" of life in the first stanza, his elation for "every tatter in its mortal dress" in the second, his invocation to the sages to help him achieve spiritual salvation and self-realization in the third, and his climactic rejection of life for art in the fourth, ultimately revert to the same paths celebrating the flux of physical and sensual life. The poem which had begun with some snapshots of the flux of natural sensual life, evoking images of wooing, meeting, mating, and breeding, harks back to the same. It is because of this ambivalent ending that "Sailing to Byzantium", very much like Keats's "Ode to a Nightingale", deconstructs itself, creating an *aporia* in which the same speaker simultaneously cleaves from and cleaves to life. The host of opposite voices poised evenly towards and veering around the body/soul, sensual/spiritual, nature/structure, life/art, and flux/fixity binaries attest to the polyphonic nature of the poem, and also create what Bakhtin calls a "double-voiced discourse". Any perceptive reader may not fail to notice how the word 'song' and its derivatives are used with nuanced meanings, both positive and negative, in different stanzas.

One may also note that Bakhtin's concept of polyphony delights not only in the collision and co-existence of multiple unmerged voices, but also in what he calls 'orchestration' and 'collaboration' of them. While Maurice Merleau-Ponty points out that in the ideal dialogic experience all the disparate subjects are "collaborators for each other in consummate reciprocity" (Merleau-Ponty 1962: 354), one may examine the same collaborative reciprocity in the poem which strikes a balance between

each of these opposite voices, none of which is subjugated to a single powerful voice. Rather than privileging one voice over the other, he negotiates between these dichotomous voices, allowing their fullest play and coexistence with their antithetical counterparts within the poem.

Yeats's love for words and spoken language of the common people in general coupled with his intrinsic moorings in Irish dialect directed his focus on the conversational and the colloquial. The influence of William Blake on Yeats, among other factors, whetted his dialectic sensibility. Finally, his innate love for drama and the dramatic led him to fiddle with both conflict and dialogue. Yeats's very penchant for the dramatic triggered off his fascination with conflict which, in turn, precipitated his dialectical sensibility couched through the 'dialogic', both in its neutral sense, as also in a Bakhtinian sense of the term. All these aspects get harmoniously assimilated into "Sailing to Byzantium", where Yeats has internalized the innate conflict within the same speaker. The poem wonderfully dramatizes this internal clash of these multiple voices of the same persona in a true Bakhtinian sense.

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„ДИЈАЛОШКИ“ ЈЕЈТС: БАХТИНОВСКО ЧИТАЊЕ ЈЕЈТСОВЕ ПОЕМЕ „ПЛОВИДБА У ВИЗАНТИЈУ“

Сажетак

Јејтсова љубав према речима и говорном језику обичних људи као и утемељењем његовог језика у ирском дијалекту усмерили су дискурс његовог песништва према говорном језику и колоквијалном изразу. Утицај Вилијама Блејка на Јејтса, између осталих фактора изоштрили су његов дијалектички сензибилитет. Коначно, његова дубоко укорењена склоност драми и драмском изразу навела га је да испитује поетски потенцијал конфликта и дијалога. Јејтсов драмски сензибилитет условио је његово интересовање за конфликт које је, заузврат довело до дијалектичке истанчаности која се испољила као „дијалошка“, како у уобичајеном, тако и у бахтиновском смислу речи. Користећи бахтиновски „дијалогизам“, у есеју се испитује Јејтсова поема „Пловидба у Византију“ као „дијалошка“ и „полифона“ поема.

Кључне речи: „Пловидба у Византију“, дијалошки, дијалог, полифонија, гласови, хетероглосија, В. Б. Јејтс, М. М. Бахтин, дијалектика.

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INTERTEXTUAL RELATIONS OF SHAKESPEAREAN INTERTEXT IN CROATIAN POSTMODERN DRAMAS ACCORDING TO DUBRAVKA ORAIĆ TOLIĆ'S THEORY OF CITATION

Abstract
The current paper classifies intertextual relations of Shakespeare and Croatian postmodern dramas according to the theory of citation proposed by the Croatian literary theorist Dubravka Oraić Tolić. She elaborated the problem of intertextuality and offered a scientifically precise definition of citation in her work “Theory of Citation”. According to this theory, there are four basic intertextual relations: intertextual exclusion, intertextual inclusion, intertextual intersection and intertextual equivalence.

Key words: intertextuality, citation, postmodern dramas, Shakespeare

1. Defining Dubravka Oraić Tolić' theory of citation

Dubravka Oraić Tolić's classification of intertextual relations entails four basic types of intertextuality: intertextual exclusion, intertextual inclusion, intertextual intersection and intertextual equivalence.

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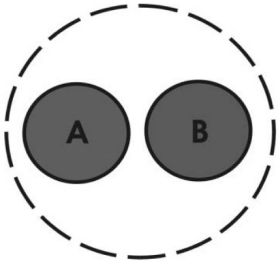
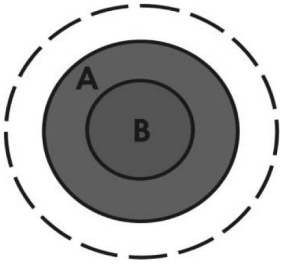
If A designates new text, B old text and _ _ _ a noetic field than:

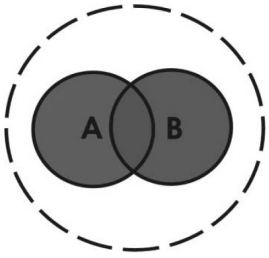
1. intertextual exclusion is A ≠ B (an allusion)



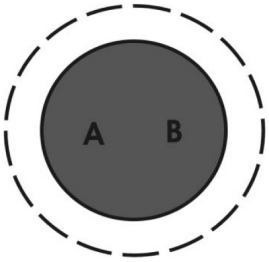
2. intertextual inclusion is A ? B (intertextual genres like parody, travesty or pastiche)



3. intertextual intersection is A ∩ B (reminiscence, topoi, etc.)



4. intertextual equivalence is A = B (citation, translation if understood as a complete inter lingual citation as well as all forms of direct intertextual theft, i.e. unconscious citations)



Intertextual equivalence, total matching or citation is a form of explicit intertextuality where the old and new text match and such a relation becomes the dominant feature of a text, author's idiolect, artistic style or culture in general.

2. Intertextual equivalence (specific characteristics of Cezario, part one)

Cesario, a radio drama by Ivan Slamnig is specific in that it can be an example of intertextual equivalence, intertextual inclusion and intertextual intersection at the same time. The first part of the drama is a complete, overt citation as the author states in the footnote that he cited Shakespeare's comedy *Twelfth Night or What You Will* in the translation of Milan Bogdanović (Slamnig 1987: 74), so this is an example of intertextual equivalence. The second part of *Cesario*, once again according to an open testimony of the author, consists of numerous adaptations of the aforementioned comedy, namely intertextual inclusion. The third part or the rest of the drama is an example of intertextual intersection as the text and the intertext are only just barely intersecting.

Intertextual relationship between Slamnig's *Cesario* and Shakespeare's *Twelfth Night* is more than obvious. Moreover, *Cesario* seems to have been written on a washed out genotext or subtext which was then rewritten, amended by Slamnig in order to create his own, new text or phenotext. However, rinsing the genotext is not consistent in this drama. In its

first part the genotext remained intact. The second part of the drama is much more faded while the rest of it had to be rewritten by the author himself, always having in mind what was written on the parchment. This drama is composed, as stated in the subtitle, of "variations of motifs from Shakespeare" (Slamnig 1987: 71). The announcer first explains the origins of the story, then a man's *voice (with the Dubrovnik accent)* recounts and then the author reveals that "in the first part of the play William Shakespeare's *Twelfth Night or What You Will* is cited, translated by Dr. Milan Bogdanović, MH Zagreb 1922" (Slamnig 1987: 71). The second part is, according to the author's confession located in the paratext, adaptation of Shakespeare's comedy *Twelfth Night*, and the rest of the play is just an imitation of Shakespeare metric style, but in accordance with the plot of the original play.

3. Intertextual inclusion

Classification principle of the intertextual inclusion implies a complete integration of a foreign text B into one's own text thus "the intertextual relationship can be defined as a total inclusion of a foreign into one's own text" (Oraić Tolić 1990: 14). Foreign text, as an integral part of one's own text is manifested in three ways in the Croatian postmodern dramas that have Shakespearean intertext:

1.) When the fragments of Shakespeare's text are being prepared or rehearsed, thus becoming a constituent element of the new text. This type of citational dramatic device is known as play within a play, exemplified in plays *Resignation* by Čedo Prica and *Dream Dwellers* by Amir Bukvić.

Resignation by Čedo Prica is a biographical drama in which the author describes an intimate, social and professional life of the first director of Croatian National Theatre Stjepan Miletić. In this play Miletić is presented as a husband to the caring and devoted Božena Katkić and as a lover to the jealous and eventually abandoned actress Hermina Šumovski. His social life is described on several levels: Miletić as a member of the then Zagreb intellectual milieu (including his membership in *Kvak,* a Zagreb association for promoting humour, together with many other Croatian

dignitaries, scientists, writers, bankers or doctors like Julije and Milan Šenoa, Andrija Fijan) and Miletić as a member of the Croatian nobility of the orthodox religion. Prica described Miletić's professional work in theatre as the first Croatian theatre manager, theatre reformer and theatre director. This segment of the drama served Prica to problematize art – government relationship in general, where the art, presented in the drama almost as a human being with all of its vices, virtues, emotional ups and downs, is always on the opposite side to the government (in this drama the government is presented by count Khuen Hedervari and Chulp). Prica's objective is therefore to present Miletić as a person in its fullness, at all levels and to try to save him from oblivion.

Shakespeare's elements can be found in this play only because of Miletić's professional fascination with the Bard of Avon. Miletić's dramatic work *Croatian Theatre* only proves his fascination with Shakespeare's work. In this work he is referred to as a "great British genius" (Miletić 1904: 290), "star among all poets", and a poet who is "behind most of the world God has created" (Miletić 1904: 298). Commenting on the adaptation of Hamlet whose premiere was on 1st October 1889, directed by Andrija Fijan and with Fijan himself in the role of Hamlet, Miletić not only criticises some of Fijan's directing methods (like the banishment of Hamlet's ghost) but also argumentatively and critically pinpoints the importance of the mentioned scene in Hamlet. It also has to be mentioned that Miletić outlined the problem of Hamlet's soul and the ghost in his doctoral thesis on the aesthetic form of catharsis in Shakespeare's works.

In Miletić time, "almost more than half of his (Shakespeare's) works is on Croatian National Theatre repertoire" (Miletić 1904: 290), and writing about the seriousness of the actor's work and the need for a thorough preparation of every actor for a certain role, Miletić praises the great Italian actor Ernesto Rossi for his outstanding interpretations of Shakespeare's characters like Macbeth, King Lear, Romeo and Hamlet and adds: "The actor seriously understood and respected his vocation which is evidenced in his work *Study on Shakespeare* which should be read by every young actor every day, just like reading a Gospel (Miletić 1904: 154)".

In Prica's drama *Resignation* William Shakespeare is shadowed by Stjepan Miletić. Shakespeare's plays *Coriolanus* and *A Midsummer Night's Dream* are not antecedent texts or genotexts as the new text, i.e. *Resignation* does not refer to the text – source in order to produce a new meaning. It is about an intertextual relation since the relationship between the foreign

and the new text is evident. However, the fragments of Shakespeare's plays, shown as the scenes of play within play in *Resignation*, do not participate in the process of transcoding, thus not producing a new code or new semantic register of the new text. The exception is the last scene of the Miletić's death agony, i.e. "game from a dream" (Prica 1994: 86) where Miletić is Hamlet, Tucić is his faithful Horatio, Strozzi is Gertrude, Fijan is Claudius, Šumovska is Ophelia and Khuen and Chulp are the Gravediggers.

The final scene of Miletić's death agony in which he conceives his friends, enemies and adversaries as the characters from *Hamlet* and assigns the role of the Danish prince to himself, indicates Hamlet's position and Hamlet's dilemma that Stjepan Miletić had within the framework of reality. In other words, Miletić is torn between the feelings of pure love that he feels for theatre and art in general and the feeling that he is nothing more than a toy in the hands of political power. Miletić is aware of the situation but is unable to resolve it. In his anguish he has the same dilemma as Hamlet. To leave or to stay, "to be or not to be". Torn by the Hamlet dilemma he takes on the characteristics of his madness.

The inspiration for the vision Prica found in the aforementioned study *Croatian Theatre* can be found in the following excerpt where Miletić justifies the return or the rehabilitation of the ghost in *Hamlet* by saying:

> The supporters of the "vision" of the ghost understand the famous monologue "to be or not to be" as a final death, place from which no traveller ever returns. But if we add an omitted word here, the word alive, the meaning will be clear to us. It becomes a place from which no traveller ever returns alive. It is obvious that these words refer only to the physical return of the dead. Hamlet continuous to meditate in the same monologue that it would be a delight to die if the death would mean the end of all factual (nirvana) but since we do not know what dreams will disturb us after death, the fear of something after death forces us to stay alive (Miletić 1904: 136).

In the play Miletić's dream indeed takes place after he is dead, and "by his death he eventually acquires the dignity of a tragic hero" (Čale-Feldman 1997: 337).

The drama *Dream Dwellers* by Amir Bukvić is located within the walls of a mental institution, in which the main protagonist actor Akter is trying to rehearse and set Shakespeare's *Hamlet* together with other patients

before asylum doctors. Based on the performance, the doctors would then confirm or refute the success of non-pharmacological treatment of their patients. In this play Bukvić combines three types of scenes:

1.) flashback scenes from the patients' real lives
2.) scenes of relationship among Akter and other asylum patients
3.) scenes of fragments from Shakespeare's *Hamlet* which is rehearsed by Akter and other patients

The scenes of the play within the play are regularly disturbed by the outbursts of madness as a result of their mental condition, so the line between insanity and sanity (acting) is very thin and vague. Akter's play ends with the real death of the actors - patients.

The intertextual connection between Shakespeare's *Hamlet* and Bukvić's *Dream Dwellers* is manifested in three ways. The first is the usage of fragments of an inserted play, i.e. usage of the dramatic device play within play. The second is the usage of the motifs of madness and dream, "topoi profusely elaborated in Shakespeare" (Čale -Feldman 1997: 340), and the third is the very end of the play when the main characters with similar functions as in Shakespeare's *Hamlet* are killed, so Shakespeare is used as the weapon of death.

2.) When Shakespeare's plot coincides with the new text, for example in *Case Hamlet* by Ana Prolić, *Lear, ex-king* by Žarko Milenić and *Otelo from Susak* by Miro Gavran.

Case Hamlet by Ana Prolić is a play in which intertextual inclusion manifests in the plot coincidence with Shakespeare's tragedy *Hamlet*. Prolić brings the Danish prince Hamlet in the talk-show *The raw material of drama is life itself* by Jerry Springer, and he is faced with other members of his family on the theatre and studio stage. The plot of Shakespeare's *Hamlet* is modified, abridged, simplified and recounted to meet the talk-show rules, "a show that without compromise, without script, without editing and without censorship sets before you life in a condensed form" (Prolić 2001: 2). In other words, talk–show guests, the Danish royal family, are professing the tragic events of poisoning, patricide, fraud and adultery, each from their own perspective. Revived characters from *Hamlet* are telling their stories and the audience witness on the events of their family tragedy. Intertextual relations, as well as the process of transcoding have been fully realized.

Perceptibility of the intertextual relationship is obvious: there are compete, unencrypted citations in the text, and the connection between the new text and Shakespeare's *Hamlet* is evident at several levels, even from the paratext itself. *Case Hamlet* is also a paraphrase of Shakespeare's *Hamlet*, so it is possible to establish a textual invariance. Similarly, the „old" *Hamlet* gave its contribution in creating a new dimension of the „new" *Hamlet*, and the contribution is the confirmation of Neil Postman's thesis which states that:

> [It] is not that television is entertaining but that it has made entertainment itself the natural format for the representation of all experience. […] The problem is not that television presents us with entertaining subject matter but that all subject matter is presented as entertaining (Postman 1995: 67).

Lear, ex-king by Žarko Milenić coincides in plot with Shakespeare's tragedy *King Lear*. Intertextual relations are more than obvious. Moreover, it seems that this drama is created on a washed out genotext which the author then amended with his own text in order to create a new text or phenotext. When it comes to these three aforementioned dramas, washing out the genotext was not of an equal intensity. For example in the play *Lear, ex–king*, good sister Cordelia and some other Shakespeare's original characters are missing, some motifs have been intermingled, some have been thrown out from the play, but the genotext *King Lear* is still strongly present. In fact, it is so much present that a superficial connoisseur of Shakespeare's *King Lear* could easily be mislead. The process of the transcoding of the new text has also been successfully conducted since the old text has been re–evaluated by being placed in a new context. In other words, Milenić justified the presence of the old text in his own, new text since it is not a mere assembly of citations, but the citations acquire a new code and a new semantic register.

Othello from Susak by Miro Gavran has borrowed its plot from Shakespeare's tragedy Othello, as well as some of the motifs like machinations and falsified evidence. Gavran succeeded in bringing a black person on the island of Susak in a very discrete and plausible manner.[1] The specificity of this play is that the process of transcoding is achieved by changing the mode, i.e. a high mimetic mode of a Shakespeare's tragedy

[1] In its long history, about 1500 residents of the island of Susak have emigrated for political or economical reasons, mainly to the USA.

Othello has been replaced by a low mimetic mode. At the same time the aspect has also been changed because Gavran has recontextualized Shakespeare's tragedy into a comedy.

3.) Third, when Shakespeare's text is utterly included or integrated into a new text either by plot coincidence or by dramatic device play within play. Ivo Brešan's plays *Acting Hamlet in the Village of Mrduša Donja* and *Julius Cesar* coincide with the plot of Shakespeare's *Hamlet* and *Julius Caesar* respectively, and at the same time the fragments of the mentioned Shakespeare's plays are rehearsed or played in the text.

Intertextual inclusion in Brešan's *Acting Hamlet in the of Village Mrduša Donja* manifests as the plot coincidence with Shakespeare's *Hamlet* and the usage of dramatic device play within play. Shakespeare's Hamlet is utterly included or integrated into Brešan's text at two levels: at the level of the plot of the play and the performance of Shakespeare's *Hamlet* in the play. Shakespeare's *Hamlet* is reflected in Brešan's game of distorted mirrors, yet Hamlet can always be recognized. In other words, there are many "Hamlets" in Brešan's play: Hamlet of the village teacher Škunca who is very well acquainted with the play and thus respects it, who is aware of how difficult it is to stage *Hamlet* even if he had professional actors instead of the illiterate amateurs from Mrduša Donja, Hamlet of Šimurina, or „Omelette" that he once watched in the "theather". Then there is a Hamlet presented by a literary critique. The fourth one is part of Brešan's plot, the fifth Hamlet is in the play rehearsed by the villagers and the sixth is in the play performed before other villagers of Mrduša Donja.

Dramaturgically multi–layered play *Acting Hamlet in the Village of Mrduša Donja* is read in at least two codes. Recipient–reader can't help noticing the presence of an in text reference, i.e. the presence of a genotext at almost all levels. *Acting Hamlet in the Village of Mrduša Donja* is an example of an intertextual postmodern work that will meet the criteria of any of the numerous definitions of intertextuality and postmodernism which are neither few nor uniform in their views.

The other Brešan's play *Julius Cesar* is also an example of intertextual inclusion. In fact, it is made from the same mould as *Acting Hamlet in the Village of Mrduša Donja*. Its plot coincides with Shakespeare's *Julius Caesar*. Brešan used dramatic device play within play in this drama once again. The actors rehearsing Shakespeare's play *Julius Caesar* are

gradually revealing that not only their life stories match but also that Shakespeare's motifs from *Julius Caesar* like the motifs of betrayal, revenge or political hypocrisy are also present in Brešan's play. This means that Brešan's *Julius Cezar* is dramaturgically structured in the same way as his other play *Acting Hamlet in the Village of Mrduša Donja*. Shakespeare's tragedy *Julius Caesar* serves as a template for the plot that takes place in a Croatian theatre at the time of political upheaval in Croatia in the beginning of the nineties.

The relationship between characters, as well as certain scenes, themes and motifs coincide with that of Shakespeare's *Julius Caesar*. In this play, Brešan even bothered to give synonymous names to his characters, so for example Gaius Julius Caesar became Josip Gajski, his wife's name is Stanka which is a hypocoristic of a Slavic name for the female version of the male name Stanislav. The name of Caesar's wife was Calpurnia, a Latin female name with no specific meaning (all male children from a certain Latin clan would have different personal names, while female children would all be named Calpurnia older, middle, younger, etc.). In this way Brešan is the last in a series of creating metameric stimuli: from Julius Caesar as a historic figure, through Shakespeare's Julius Caesar to Brešan's Josip Gajski and Julius Caesar played by Josip Gajski in Brešan's *Julius Cesar*. Metamerism occurs when the same „object", i.e. Julius Caesar, is observed from different points of view.

4. Intertextual intersection

Intertextual intersection is a type of intertextual relations when the old and the new text are only partially rubbing each other. Intertextual intersection is recognized in the following Croatian postmodern dramas: *Gamllet* by Slobodan Šnajder, *Hist(o/e)rijada* by Mujčić – Škrabe - Senker, *Desert* by Ranko Marinković, *Hamlet Aftermath* by Luko Paljetak and *Tragic Queen* by Zinka Kiseljak. In all of these plays there is an existing subtext which is always partially rubbing or colliding with the new text. Collision is sometimes only a slight tremor, but sometimes it is a large scale collision. The intensity usually depends on the kinetic energy of the subtext and the creative force of the author of the new text.

The place of the intext intersection manifests in three ways:

1.) In *Hist(o)erijada* the names of the characters as well as some motifs from Shakespeare's *Romeo and Juliet* and certain motifs from Shakespeare's *Hamlet* in *Gamllet* by Slobodan Šnajder are implicit.

In *Hist(o/e)rijada* a political history of a Croatian island has been told through the narration of two families: Brdarić or Montecchi and Capuleti or Lukačić. Simplified plot of Shakespeare's *Romeo and Juliet* is recognizable. The two families are sometimes on good terms and sometimes they are each other's worst enemies. Romano Brdarić or Montecchi and Julka Lukačić or Capuleti fall in love, and their families approve and encourage their relationship if they are on good terms or are strongly against it if one of the families is in grace of the foreign rulers of the island. There are also other motifs from *Romeo and Juliet* in the play like the scene when Romeo visits Juliet on her balcony, or their secret wedding.

Intertextual intersection in Šnajder's *Gamllet* is manifested in the use of Shakespeare's symbols, characters and their relationships in the text. In the very title of the play Šnajder crosses the name of the historic figure Branko Gavella and Hamlet, which instantly suggests intertextual melding and variation of the main theme of the text – source in the new text. The plot of the story is based on a documentary verifiable story, and takes place in Sarajevo during the fascist occupation of the Balkans where the Croatian director Branko Gavella directed Shakespeare's *Hamlet*. Although Šnajder himself refers to his drama as a "biography", *Gamllet* has no tendency to realistically portrait either the event itself (directing the play) or Gavella's biography. Šnajder uses fictional backdrop, with Gavella as the main protagonist to impose a series of accusations to the account of the director himself but to the account of the entire culture. This is the reason why he used Shakespeare's symbols and characters. Some of the characters like Hamlet, Ophelia or Laertes in the play function as Shakespeare's characters from *Hamlet*, as authentic persons whose authentic lives testify of the resistance or sympathy towards the regime and finally as Šnajder's characters in whom archetypal and authentic characters have been merged. In *Gamllet* there are no direct, genuine citations from Shakespeare's *Hamlet*, not even in the scenes where Gavella is rehearsing *Hamlet* with his actors thus becoming associatively ambivalent as it is not clear whether it is about a scene from *Hamlet* or a scene from real life of the characters from tortured and occupied Sarajevo. The intersection of the two texts

manifests in the character of Gavella himself who is struggling with the Hamlet dilemma: to stay and fight for theatre or step forward and draw a real sword.

2.) *Desert* by Ranko Marinković intertextually intersects with Shakespeare's plays, i.e. Marinković uses Shakespeare's motifs and citations.

The main protagonist of the *Desert* is actor Fabije who is experimenting with the feelings of his loved ones, his spouse and his best friend and eventually loses both of them. Having lost his home, he wanders around with his colleague, also an actor, who is assigned a role of a servant – helper. Two errant actors thus become involved in all sorts of situations similar to those from certain theatre plays, citing excerpts from Shakespeare's plays (*Richard III*, *Richard II*, *King Lear*, *King John*, *Othello* and *Hamlet*) appropriate to a particular situation in which they find themselves. Shakespeare's real, unaltered citations in *Desert* are part of the text since the main character trait of the actor Fabije is that he lives in a world of simulated roles and literary allusions.

Real, authentic life for Fabije is an illusion, and the citations from plays are his reality because he can very easily identify with them. "Fabije's own text is deliberately somebody else's text. (Čale -Feldman 1997: 257)" Intertextual intersections of the new text and Shakespeare's citations will differently affect recipients, depending on their knowledge of Shakespeare's texts. Those less acquainted with Shakespeare will be deprived of the overall aesthetic experience of Marinković's play *Desert* and vice versa. Those who know a wider Shakespeare's opus will be able to easily adopt the play and enjoy the new text and re–evaluated Shakespeare's citations that are found in the new text.

3.) *Hamlet Aftermath* by Luko Paljetak and *Tragic Queen* by Zinka Kiseljak are two plays in which Shakespeare's characters continue to live, therefore they are the "extensions" of Shakespeare's plays.

In the plays *Hamlet Aftermath* and *Tragic Queen* Shakespeare's intertexts are implicit; therefore this is another example of intertextual intersection. In fact these two plays are updates, a continuation of their texts – predecessors; text A (new text) originated from text B (old text) in a way that text A has

completed and finalized text B. The two plays, *Hamlet Aftermath* and *Tragic Queen* belong to the same subcategory as they are both, according to the term of Harold Bloom, *tessera*. In his book *The Anxiety of Influence* (Bloom 1975), where he proposed his theory of intertextuality, which is however related to the theory of poetry, Bloom defines tessera as "completion and antithesis; I take the term not from mosaic-making, where it is still used, but from the ancient mystery cults, where it meant a token of recognition, the fragment say of a small pot which with the other fragments would re-constitute the vessel. A poet antithetically „completes" his precursor, by so reading the parent-poem as to retain its terms but to mean them in another sense, as though the precursor had failed to go far enough." (Bloom 1975: 14). *Hamlet Aftermath* completes *Hamlet* and *Tragic Queen* completes *Macbeth*.

5. Intertextual exclusion

Intertextual exclusion is defined as an „intertextual relationship which is realized through the minus – signals that a recipient realizes as plus – signals within the frames of his/her cultural experience." (Oraić Tolić 1990: 14). This means that the joint text does not exist. The new text is intertextually associated solely by allusion. Most Croatian postmodern dramas use intertextual exclusion. Those are: *Romance about Three Romances* by Antun Šoljan, *Kings and Grooms* by Miro Gavran, *The Death of Mister Olaf* by Luko Paljetak, *Shakespeare and Elisabeth* by Miro Gavran, *The Order* by Borislav Vujčić, *Novel from a Stranger* by Mujičić, Škrabe Senker, *Octopussy* by Ivan Vidić, *Aut Cesar* by Žarko Milenić and *Love and State* by Vladimir Stojsavljević. Nevertheless, in the case of intertextual exclusion we must distinguish texts in which the allusions to a foreign sign material are stronger or weaker, and we must leave some room to borderline cases.

The clearest example of intertextual exclusion is the work of Miro Gavran, *Kings and Grooms*. It is an allusion to Shakespeare's *Hamlet* written by the rules of the Elizabethan tragedy, the type of tragedy that typically centres around one character. In fact, Gavran only used Shakespeare's *Hamlet* to interpret Croatian history, a story of a Croatian king from the 10th century in an ironic way. In other words, he used *Hamlet* to parody a myth of the king or any ruler's power in general. This play follows the

framework of Shakespeare's *Hamlet* but it is located in a distant Croatian history, in the 10th century court of the Croatian king Marun. Marun is directly brought into connection with Hamlet by sharing same doubts and problems of ethical nature. His wife Jelena and his advisor Grga represent Shakespeare's Gertrude and king Claudius who intend to murder the king Marun.

The sentimental farce by Antun Šoljan *Romance about Three Romances* dramaturgically coincides with Shakespeare's plays (though not only Shakespeare but also with other Croatian and foreign writers). The characters in this play speak in verse, in Shakespeare's unrhymed iambic pentameter, which again only reminds or alludes to Shakespeare's blank verse. Šoljan is very open to the use of decasyllabic lines and in the use of rhyme. *Romance about Three Romances* abounds with paraphrases of famous citations (and again, not just Shakespeare's citations), "playing with their anthological verses in new and surprising connotations" (Batušić 1977: 7-8). Using a modified blank verse and numerous paraphrased citations Šoljan has proved his literary and artistic skill and thus created a highly artificial piece of work. It is about a genre or generic citation, but it should be noted that "this is not about creating a high level of intertextual semantics as the text – source or genotext does not constitute a structural foil of the whole phenotext" (Ciglar Žanić 2006: 221) but only one part in the modified, processed form yet sufficient to be identified and able to add new meaning to the new text.

A common feature of the three plays, *Shakespeare and Elisabeth* by Miro Gavran, *The Order* by Borislav Vujčić and *Love and State* by Vladimir Stojsavljević is situating the plot of the plays in Shakespeare's time. Shakespeare himself is one of the characters while in *The Order* he is divided into two characters: Shake (Johannes Factotum) and Peare (his assistant). It remains to be further analysed if the authors of the three plays wanted to fictionalize the figure of Shakespeare so that he himself becomes one of Shakespeare's (his own) characters, or the process was reversed, i.e. by "reviving" the Shakespeare–person in their plays the authors wanted to revive his characters as well, thus eliminating their role of fictional characters, or these plays are simply examples of metafictional historiography.

The combination of historical and literary intertext is a characteristic feature for the author trio Mujičić – Škrabe - Senker, so *Novel from a Stranger* is no exception. Interpretations of historical events and archetypal literary

texts, in the opinion of these authors's trio, should not be taken as products of the so called "instant sense" but as only one of many versions of the sense. This is the reason why the authors parody, extort and expose them. In the process of the exposure of literary authorities Shakespeare is no exception, although he is not alone. For example, the reader is never sure about the character of Giuliette in the play: she is sometimes Bandello's Giuliette and sometimes she is Shakespeare's protagonist from his tragedy *Romeo and Juliet*.

Intertextual relations in Vidić's play *Octopussy* are manifested in the use of the ghost as a motif, often used in the Elizabethan theatre as well but commonly associated with Shakespeare's works. In *Octopussy*, the ghost of Andrija's uncle appears to confirm his fears that he had murdered him, to explain the change of his physical identity and to foretell the punishment to Andrija and to the "whole ungrateful race" (Vidić 2002: 339). The truth is that the motif of ghost in this play is more than an additional essential component, it is more redundant than necessary but still works perfectly well in the play as an intertextual motif of Shakespeare's usage of the ghost.

Genre wise *Octopussy* is very similar to Shakespeare's tragedies, i.e. Vidić tried to write an Illyrian folk drama lowering it in the ironic mode and placing it in the present time.

Author's decisions on the exclusion or inclusion of certain elements (characters, motifs) from the text – predecessor, i.e. from Shakespeare's *Julius Caesar* are evident in Žarko Milenić's play *Aut Cesar*. Motifs of Shakespeare's Julius Caesar are lined up according to associative principles of exclusion or inclusion, similarity or dissimilarity but intertextual relation is always based on the recipients' previous knowledge and understanding of the old text. In other words, the process of transcoding the new text will only be successful if a recipient detects intertextual relationship with the old text; only then will follow recipient's re-writing or repositioning of the new text.

The Death of Mister Olaf is a typical work of Luko Paljetak where we can easily recognize his linguistic playfulness and the use of intertextuality. Paljetak is an Anglicist, translator, connoisseur of metrics with cosmopolitan mentality and as such he has made a collage of allusions to the scenes from *Richard III* and *Romeo and Juliet*, as well as citations from *Hamlet,* thus creating an intertextual web in which many different readings and messages are always caught in. Paljetak always relies on such a "trap"

because he counts on the recipient's previous literary education thus inviting him to actively participate in the creation of the sense.

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ИНТЕРТЕКСТУАЛНЕ ВЕЗЕ ИЗМЕЂУ ШЕКСПИРОВОГ ИНТЕРТЕКСТА И ХРВАТСКИХ МОДЕРНИХ ДРАМА ПРЕМА ТЕОРИЈИ ЦИТАТНОСТИ ДУБРАВКЕ ОРАИЋ ТОЛИЋ

Сажетак

Есеј представља покушај класификације интертекстуалних односа и веза између Шекспировог текста и текста хрватских постмодерних драма према теорији цитатности коју предлаже хрватска књижевна теоретичарка Дубравка Ораић Толић. У свом делу „Теорија цитратности" Толићева описује проблем интертекстуалности и нуди научну, прецизну дефиницију цитатности. Према овој теорији постоје три основна интертекстуална односа: интертекстуално искључивање, интертекстуално укључивање, интертекстуално преплитање и интертекстуална еквиваленција.

Кључне речи: интертекстуалност, цитатност, постмодерне драме, Шекспир

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UNCLE REMUS, HIS SONGS AND HIS SAYINGS

Abstract
In spite of the fact that Joel Chandler Harris was a white author from the antebellum South, his Uncle Remus stories may be credited with preserving authentic African American speech patterns of the nineteenth century. Harris had befriended a slave, George Terrell, while working on the Turner plantation as an apprentice printer shortly before the Civil War. Terrell was a father-figure to Harris, who recalled stories he had told when he created the character of Uncle Remus. The stories arise from African folklore, and make a link between African tales. Hence we find the true African roots of the contemporary Bugs Bunny.. Although the stories were sometimes used by whites to further racism, especially in a Hollywood production of 1946,and although Harris himself sometimes looked back nostalgically to the time of slavery, in fact these stories replete with trickster characters cannot be seen as anything less than African-American empowerment tales. They have rightfully been recovered by African Americans ranging from James Weldon Johnson in 1917 to jazz musicians and contemporary African American story tellers such as Diane Ferlatte. It also becomes clear that many African American writers who emphasize the oral tradition in their works may owe something to Joel Chandler Harris.

Key words: Joel Chandler Harris, Brer Rabbit, Uncle Remus, Eatonton, Georgia, Dialect Folk Tales, African American Culture and Heritage, M, rk Twain, Paul Laurence Dunbar, *Songs from the South* (1946), Alain Locke, Langston Hughes, Toni Morrison, Alice Walker, Diane Ferlatte, William Morris, James Weldon Johnson, Eddie Vinson, Roy Buchanan, Wynton Marsalis

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Joel Chandler Harris first published *Uncle Remus, His Songs and His Sayings* in 1880.[1] He would go on to publish seven other collections of Uncle Remus stories during his lifetime and three further volumes were published after his death in 1908. But his reputation was established with the publication of the first Uncle Remus book.

Harris was born in 1846 in Eatonton, Georgia, and took to lying about his age in the 1860s, saying that he was born in 1848. Since he was a bastard child, perhaps he was intent to survive the Civil War so as to care for his mother. Either to avoid military service or to secure a job in 1862 as printer's apprentice to Joseph Addison Turner, Harris said he was born in 1848, and continued to maintain the false birthdate from that time forward (see Brasch 2000: 8, 18, 19). Turner was a lawyer, printer, and prolific reader. While working with Turner on his press, Harris lived in the home of the plantation owner and had access to his considerable library: his salary was "clothing, room, and board" (Brasch 2000: 11). In another building on Turner's plantation, located in the country and named Turnwold, they edited a paper called *The Countryman*. Joel Chandler Harris learned to set the type for the press. Harris greatly admired Turner and his benevolent attitude toward his slaves. In 1860 Turner published negro dialect verse in a short-lived periodical called *The Plantation*. It was an interesting precursor to the popularity of that dialect that occurred thirty years later in the 1890s. During his free time, Chandler could wander about or read to his heart's content. He spent a good amount of time talking to slaves, and became fond of a slave named George Terrell. It is thought that Terrell became a kind of a father figure to him, and he was the man that the character Uncle Remus was patterned after. The little boy of the stories may have been Harris or the young Joe Syd Turner (Brasch 2000: 10-11). Meanwhile, saving him from an uncertain fate, Turner listed Harris as unfit for military service in 1864. Joel Chandler Harris did not leave Turner or *The Countryman* until it became clear that the paper would no longer be printed, and in 1866, after working as a typesetter for the Macon *Telegraph*, he went to New Orleans for six months before returning to Georgia. Turner had been ruined by Yankee requisitioning on his farm and then it turned out that his Jeffersonian agrarian farmer ideal was hampered by the release of the slaves. Harris would later write about these formative experiences

[1] This paper was presented to the Music workshop at the SAES Congress in Limoges, May 12, 2012. Thanks are due to Andy Arleo and Jean Szlamowicz for their helpful remarks.

in *On the Plantation: A Story of a Georgia Boy's Adventures During the War* (1892).

Joel Chandler Harris wrote the Uncle Remus stories first as regular contributions to the *Atlanta Constitution* paper, beginning in 1878. The first collection of the stories was published in 1880 as *Uncle Remus, His Songs and His Sayings* and was illustrated by Frederick S. Church and James H. Moser. Jean Wagner who first published *Poètes noirs des Etats-Unis* in 1962 noted (I quote from the translation by Kenneth Douglass published in 1972):

> Harris, who had a remarkable command of the Negro dialect of his own region, had heard Negroes tell these tales and had modified them, to some extent, in deference to the plantation tradition (59).

In *Brer Rabbit, Uncle Remus and the "Cornfield Journalist": the tale of Joel Chandler Harris* (2000), Walter Brasch has shown that Harris shared Turner's longing for a "utopian plantation society" (17). Brasch asserted: "The lure of the comfort of the plantation life, as opposed to the uncertainties and problems in Reconstruction, would be a theme that threaded its way through many of Harris's tales (46)."

And yet, Harris is the first white writer to be recognized as transcribing African-American speech and folklore. As Robert Bone noted in 1975, the subversive folk hero Brer Rabbitt provided "the missing link between the Afro-American folktale and the Afro-American short story" (Bickley 1981: 130). In fact, since the first volume of Uncle Remus tales published in 1880, considerable efforts have been made to accurately identify the folklore sources for Harris's rabbit and the various adventures he and the other animals have. Among those generally mentioned are the hare of Kenya transposed into American Slave Culture, the rabbit in Hindu traditions, and Cherokee and Algonquin folktales that also speak of a smart trickster rabbit.[2] As Florence Baer remarked, Harris's "early tales were collected as

[2] Important studies addressing the original sources of the folklore materials shared by Uncle Remus include Adolph Gerber's address to the American Folk-Lore Society (1892), John M. McBryde „Brer Rabbit in the Folk Tales of the Negro and Other Races" in the *Sewannee Review* (1911), Stella Brewer Brookes, *Joel Chandler Harris-Folklorist* (1950), Richard Dorson, *American Negro Folktales* (1967), J. Mason Brewer, *American Negro Folklore* (1968), Florence E Baer *Sources and Analogues of the Uncle Remus Tales* (1980), and Jonathan Brennan (ed), *When Brer-Rabbit Meets Coyote: African-Native American Literature* (2003).

much as possible from former plantation slaves" (1980: 165), and since Harris collected his tales over a thirty year period, they were "bound to reflect changing values and conditions of tellers and audience" (1980: 165).

The success of the Brer Rabbit stories upon publication in 1880 was immediate. Reprints were issued in 1881, and new sets of tales were published through the 1890s. They soon received international attention as well, with William Morris weaving a fabric with a design of Brer Rabbit, and African Americans themselves desiring to print texts in dialect. Mark Twain's *Life on the Mississippi* (1883) praises Harris in the chapter "Uncle Remus and Mr. Cable" in a humorous way, noting Harris's refusal to read the Uncle Remus stories aloud to children who were disappointed that he was not black: "Mr. Harris ought to be able to read the negro dialect better than anybody else, for in the matter of writing it he is the only master the country has produced (Bickley 1981: 54)". Of course, Twain must have been influenced by Harris's use of written dialect when he wrote out the dialogues of Huck and Jim in *The Adventures of Huckleberry Finn* (1884). Harris received recognition from another *connaisseur* of African-American dialect: Thomas Nelson Page, who wrote in his review to the 1895 re-edition of *Uncle Remus, His Songs and His Sayings* (illustrated by Frost), that Harris was the most accomplished writer of the Negro, and that his works "were the 'best thesaurus' for the 'real language' of the old-time Negro" (Bickley 1981: xvi). However, by 1895, that was no longer strictly true, since African Americans themselves were writing and publishing in dialect, with, for example, Paul Laurence Dunbar's poems found in *Majors and Minors* (1895). Writing in the *New Republic* in 1932, Allen Tate would argue that the public's "conception of Harris" had been limited to "a provincial Georgian, with a genius for Negro dialect, who created a character called Uncle Remus" (Bickley 1981: 58). Tate wanted what he did not hesitate to call his "fugitive writings," those edited by his daughter-in-law Julia Collier Harris in *Joel Chandler Harris: Editor and Essayist* (1931), to be better known (*Ibid:* 58). These writings, basically an anthology of works by Harris that are not about Uncle Remus or Brer Rabbit, reveal that Harris was an important writer during the Reconstruction period and that he wanted to help reconcile the North and the South with humor. But it is still uncomfortable to think about the Harris that grew up with slavery and who, after the war like other southern gentry, had African American household servants. Robert Bone has classed his journalistic role

as being "an active propagandist in the cause of white supremacy" (Bickley 1981: 130). As Harris continued his Uncle Remus writings, he interviewed African Americans who were working for him, as well as total strangers, to enrich the body of stories. One of the later episodes includes the story of Uncle Remus during the war, defending his white mistresses with an axe when the Union soldiers come to the plantation. I would like to think that Harris sought reconciliation between blacks and whites as much as between the North and the South, but this is not certain. However, he did not discourage people from calling him Uncle Remus toward the end of his life, as though he could slip into the skin of a black man and was not against doing so. Nonetheless, the use of the stories made by some white readers only promoted racism. There were Uncle Remus restaurants in the South where blacks were not allowed to eat.

Whether or not Harris's heart was always in the right place, it cannot be denied that his trickster, Brer Rabbit, is a genuine fixture of African-American heritage. The French critic Jean Wagner noted, in 1962 in *Poètes Noirs des Etats-Unis,* Harris's important role in putting the trickster character of Brer Rabbit into print. Following Bernard Wolfe's lead in an article published in *Commentary* (July 1949), Wagner thought the Remus stories portrayed the Black man as superior to his white counterpart (Wagner 1972: 60). "Brer Rabbit was a disguise for the black man, while the white man appeared variously as wolf, bear, or other animals more noted for strength than cunning (*Ibid:* 60)." The stories show how Brer Rabbit's trickery allows him to outwit, outwear, out-wheedle, and even kill his adversaries.

In this sense, some readers have suggested that almost in spite of the author's nostalgic views of plantation life, Joel Chandler Harris's Uncle Remus stories could be an excellent base text for slave revolt–or for the Civil Rights Movement. But during the first half of the 20th Century they were not. Instead they were used in advertising, to promote the purchase of Coca Cola in 1932. In 1946 the Walt Disney film production of *Songs from the South* over-simplified the stories, and focused them onto three figures, Brer Rabbit, Brer Fox, and Brer Bear. This film very conveniently eliminated most of the trickster features of the stories. Disney had purchased the rights to all of Harris's stories in 1939, the same year that the nostalgic Old-South box-office hit *Gone With the Wind* had its premier showing in Atlanta in December. Opening with strains of the Confederate Battle Hymn "Dixieland" and shots of the Confederate flag flying over Atlanta, *Gone*

With the Wind gave the viewer the Old South. This was exactly what the white movie-goer wanted to see, as Disney had understood. The place of the benevolent old black mammy and the happy and entertaining black slave was to be given a re-run in the travesty of Uncle Remus that was *Songs from the South*.

When the film *Songs from the South* premiered in Atlanta, on November 12, 1946, several of its primary stars, including James Baskett who played Uncle Remus and Hattie McDaniel, who had been Scarlett O'Hara's mammy and was again cast as mammy figure, were unable to attend the whites' only showing. Yet, Walt Disney had performed a technical feat that it was able to market for decades: here was the first film to have animated characters appear within the photographic film sequences. And the music was purposefully planned to keep children entertained. Ray Gilbert wrote the lyrics to the film score, with the prominent song "Zip-a-Dee-Doo-Dah." The film was based on a 1905 book by Harris, and covered only three stories: "The Tar Baby," "The Laughing Place," and "The Cornfield Story" (see Brasch 278). Condemned both by the NAACP and by *Ebony* magazine that noted that Uncle Remus had become "an Uncle Tom-Aunt Jemima caricature" (Brasch 2000: 280), Disney still did not hesitate to re-release the film in 1956-8, to be withdrawn in 1970, then re-released in 1977 and 1986 (Brasch 2000: 281). It was not issued on VHS videotape for sale in the USA, but was released in 1996 in Europe and Japan (Brasch 2000: 285).

Harris's original volume of Uncle Remus Stories was divided into three parts: Legends of the Old Plantation, which contain stories told by Uncle Remus to the little boy, including some of today's best known tales such as "The Wonderful Tar Baby Story" (1880 23-25; 29-31) or "Mr Rabbit Nibbles up the Butter" (1880 75-80). In "The Awful Fate of Mr. Wolf" (1880 63-67) Brer Wolf enters Brer Rabbit's home to get away from the dogs that have been chasing him, and this after invading the home and eating several little rabbits on prior visits. The Rabbit coaxes him into a crate and then kills him with boiling water and uses his skin as a rug for his back porch. (If some contemporary reviewers have fretted over the violence in the stories, let it be remembered that fairy tales also engage with adult, and sometimes violent topics). This first section ends with "Plantation Proverbs," a series of short pithy statements in dialect.

The second section of the 1880 volume was entitled "His Songs" and included hymns (which shall be described shortly). The second section also

contained "A Story of the War" (175-188). The Final section of the book was called "His Sayings" and in this section Uncle Remus speaks about his own every-day life on the plantation (189-231), in twenty-one chapters. "A Story of the War" (175-185) related how one woman of Vermont, sister of John Huntingdon who had become a citizen of Georgia, came to visit the South, and was met by Uncle Remus at the station. Uncle Remus's story of the war explains how he defended his white mistresses and saved his master John from certain death by cutting off the arm of one Union soldier with an axe. Miss Sally nursed the poor fellow back to life and wound up marrying John Huntingdon. This is a reconstruction tale if ever there was one–with a big smile to Yankees.

The third section, "His Sayings" related events from the daily life of Uncle Remus, and it must be this section which has given most offense to African-Americans. Uncle Remus is seen as intelligent, but the dialect makes him an object of laughter. In the first part of the book the animals are objects of laughter and Uncle Remus is a gifted story-teller. In "A Story of War" he actually fights on the Confederate Side. In the final section, he is a free black that seriously lacks grammar. The object of the reader's laughter has shifted from the animals to uneducated African Americans. Worse yet, Remus's voice argues against education in the chapter called "As to Education" (222-223): "Put a spellin'-book in a nigger's han's, en right den en dar' you loozes a plow-hand. I done had de spe'unce un it (223)."

Before we investigate the more appropriate legacies of Harris's transcription of folktales, including other musical adaptations of Harris's Uncle Remus's Brer Rabbit, let us look at the musicality of the text itself. When a writer uses dialect, he or she is in some way capturing the sound and song of a voice. In one sense, the dialect form of these tales is already a kind of music. Perhaps unbeknownst to Harris, he was preserving a voice that would disappear.

Harris also wrote songs into his texts featuring Uncle Remus. In her chapter on "Songs in the Uncle Remus stories" in *Joel Chandler Harris, Folklorist* (1950), Brookes noted that in 1880, when Harris's *Uncle Remus: His Songs and His Sayings* was published, Sidney Lanier, also a Georgian, published *The Science of English Verse* (120). Brookes drew attention to Harris's interest in prosody. During his apprenticeship years at the *Countryman*, Harris had the idea of collecting verse that he could publish as *Gems of Southern Poetry*. According to Thomas English, he worked on this project for five years before abandoning it (Bickley 1981: 63). Brookes

made categories for the songs in verse contained in the eight volumes of Uncle Remus stories published by Harris: Spirituals or hymns, Work Songs, Love Songs, Lullabies, Dance Songs, Play Songs, Miscellaneous (1950: 120-148). Brookes also noticed that there were many verse "fragments scattered throughout the Uncle Remus volumes. Frequently they are sung by some of the principal actors in the story" (*Ibid:* 138). Another musical feature of the stories that African Americans told was the notion of call and response, an aspect that Harris wrote into the stories (Brookes 1950: 139). Harris was also careful about the refrains to his songs, making them "more intricate than most folk songs" according to Brookes (*Ibid:* 148).

To provide an example of the way verse or song comes up in a story, chapter VI "Mr Rabbit Grossly Deceives Mr. Fox" will suffice. At the beginning of this story, the little boy's entertainment is compared to *The Arabian Nights*, and it is noted that Uncle Remus upon hearing the child's footsteps, engages him *in medias res* as it were through the use of verse:

> Ole Molly Har',
> W'at you doin' dar,
> Settin' in de cornder
> Smokin' yo' seegyar (Harris 1880: 34-35)?

As mentioned above, the second part of the first volume *Uncle Remus: His Songs and His Sayings* (1880) contained nine songs, five of which are religious in nature, and two of which are play songs. One falls into Brookes's miscellaneous category: "A Plantation Serenade". This serenade reveals criticism of slavery as exploitation in its first stanza:

> De ole bee make de honey-comb,
> De young bee make de honey,
> De niggers make de cotten en co'n,
> En de w'ite folks gits de money (167).

Like white Americans, African Americans have had varied reactions to Harris as author and to the Uncle Remus stories. While most African Americans condemned the Disney film interpretation of the stories, reactions to Harris's original stories were mixed. During the Harlem Renaissance and the 1930s, many writers could be said to have been influenced by Harris. Alain Locke said Harris had "rendered as much poetic justice to the Negro as an orthodox Southerner could" (Brasch 2000: 289). James

Weldon Johnson praised Harris's preservation of African American folklore in 1922, followed by W.E.B DuBois, who noted that he had translated it to a white audience (Brasch 2000: 289). Zora Neale Hurston's use of dialect may owe something to Harris (Brasch 2000: 272). By the 1930s however, Sterling A. Brown thought that Harris's black characters were stereotyped, describing only the contented slave or the free but wretched black (Brasch 2000: 289). Brown's own poetry also used dialect, but having attended Dunbar High School in Washington D.C., he would have traced this heritage directly to Dunbar. Brasch noted that Ralph Ellison "had used Brer Rabbit/ Tar-Baby themes in *Invisible Man* (1952)" as did Toni Morrison in her 1981 novel *Tar Baby* (2000: 315). One gets the impression that a case might be made that would show that any person writing in dialect may have come under the influence of Joel Chandler Harris.

But there has also been clear opposition to Harris's stories. Alice Walker who, like Harris, was born in Eatonton, wrote an article, "Uncle Remus, No Friend of Mine" for *Southern Exposure* magazine (1981), in which she stated she had no respect for Harris, and that "he stole a good part of my heritage." In her town was an Uncle Remus Restaurant where blacks were not admitted.

Of course, people practicing the racism that Walker suffered from may have nostalgically interpreted the Uncle Remus stories, but was Harris himself ultimately nostalgic for the Old South? He was recording a reality he had observed and heard. The stories were distorted by his readers, perhaps, but Harris seems to have, at least in his later days, hoped for reconciliation between Blacks and Whites and North and South. Such hopes were behind his founding the journal *Uncle Remus's The Home Magazine* in 1906. While it is true that the volume published in homage to him at Christmas 1908, the year of his death, was called *'Uncle Remus': Joel Chandler Harris as Seen and Remembered by a Few of His Friends* (ed. Ivy Lee) and seems to use the name Uncle Remus to refer to Chandler himself, this very usage may have been encouraged by Harris toward the end of his life-time.

The trickster rabbit at the heart of Harris's stories, the weaker animal that uses his head instead of brute force, is the key to thinking about the interpretations of Uncle Remus and Brer Rabbit that followed. Harris's Uncle Remus stories could stand to be re-read in the original today. Like Twain, he may have been writing against the current after all, or at the least transcribing the tales that went against the current. He understood that his readership would include whites who would not be interested

unless they thought the gist depicted a view close to what they already thought about blacks. Portraying the worth of the African-American mind to whites required its own kind of trickery, and perhaps Harris and Twain were attempting to do that very thing.

Harris's Brer Rabbit has attracted numerous homages, musical and otherwise, that have often emphasized his trickster nature. One early sign of recognition was woven into fabric, when in the 1880s, William Morris, upon reading these tales was so enchanted that he designed two rabbits facing each other, to be used in interior decorating schemes.

James Weldon Johnson wrote a poem, «Brer Rabbit, you's de cutes' 'of 'em all» that was included in his 1917 collection, *Fifty Years and Other Poems*, which contained a section of dialect poems called "Jingles & Croons." The poem was set to music for voice and piano by Gary Bachlund (2009).

There are numerous purely instrumental representations of Brer Rabbit. In the classical music genre, Edward Alexander Macdowell's composition for piano "Fireside Tales" (Opus 61, 1902) are about Brer Rabbit, and have been recorded in performance by James Barbagallo. Eddie Vinson's jazz piece "Br'er Rabbit" was a Big Band hit in the 1940s. In the 1970s, Rhythm and Blues artist Roy Buchanan performed and recorded "Adventures of Brer Rabbit and Tar Baby" using electric guitar. The piece is instrumental, and a fine expression of musical craftsmanship. Delfeayo Marsalis, the

trombonist brother of trumpet play Wynton Marsalis and saxophonist Branford Marsalis released his third jazz album, *Minions Dominion* in 2006. It opens with a seven and a half minute piece called "Brer Rabbit".

Storytelling interpretations, often with musical accompaniment, exist for these stories, with many available on the internet. Rich Amerson, a blues and folk musician, who must have remembered his grandparents telling these stories, recorded Brer Rabbit stories for Folkways records (Negro Folk Music of Alabama, vol.3, 1960). His voice is gravelly, recalling the old time, ungrammatical talk, that is more difficult for today's listener to understand than the other recordings, but it is also probably the closest to the real story-telling that Harris himself heard in the 1860s and following. Amerson, when telling the story of Brer Rabbit and the Alligators uses the voice as instrument, but does not include any song or musical melody beyond the poetic repetitions or emphasis given to his voice.

Alice Walker, as mentioned above, felt dispossessed of the heritage these stories represent. One can imagine that the Uncle Remus Museum of Eatonton was not a place she enjoyed visiting as a child. Given the Disney perversions of the stories and of Uncle Remus, perhaps it is only natural that there was a lull in interest for them by African Americans during the 1960s and early 1970s. Other African American writers of that period that emphasized the oral tradition, such as Ernest Gaines, were also left in the margins of the Black Power and Black Arts movement. One of the problems for acceptance was the use of dialect.[3] Langston Hughes had also registered the gap between dialect and educated speech in his Simple Stories in the 1950s and 1960s. But, since the 1980s, a renewed interest in Harris's stories can definitely be discerned. Julius Lester decided to adapt the stories into modern English and brought out *The Tales of Uncle Remus, The Adventures of Brer Rabbit*, with illustrations by Jerry Pinkney in 1987. The two continued with *More Tales of Uncle Remus* (1988), *Further Tales of Uncle Remus* (1990) and *The Last Tales of Uncle Remus* (1994).[4] Augusta

[3] Two editions of the stories printed for children used dialect: *Favorite Uncle Remus* ed. George van Santvoord (1948) and *The Complete Tales of Uncle Remus* ed. Richard Chase (1955).

[4] Other adaptations of Harris's stories have been made by Ennis Rees who made rhyming verse of the tales in *Brer Rabbit and His Tricks* (1967), Jane Shaw in *Brer Rabbit and Brer Fox* (1973), F. Roy Johnson and F. Mark Johnson, *In the Old South With Brer Rabbit and His Neighbors* (1977), Virginia Hamilton, *The People Could Fly* (1985), Van Dyke Parks and Malcolm Jones, *Jump! The Adventures of Brer Rabbit* (1986), Anne Hessey (ed.), *Giant Treasury of Brer Rabbit* (1991)– (references from Brasch 2000: 305-312).

Baker's introduction to Julius Lester's adaptation explains that the stories are presented without the frame of Black Uncle Remus telling the stories to a white child. They are also presented with little emphasis on Joel Chandler Harris (not mentioned on the cover or title page). They modify the slaves' bent English to a modern English with a Southern Accent. These stories are intended for contemporary children.

The Adventures of Brer Rabbit led to a play and a film (also for children). The one-act play was written by Gayle Comelison, and performed at the California Theatre Center at Sunnyvale California for over 20 years (beginning in 1977). In 2006 a cartoon film version was released, directed by Byron Vaughns with screenplay by John Loy, music by Stephen James Taylor, that some saw linked to hip-hop. The voices for the animated characters were from Danny Glover, Nick Cannon, D.L. Hughley, Wanda Sykes and Wayne Brady. Danny Glover had previously recorded some of Harris's Brer Rabbit stories in children's book format (*Brer Rabbit and the Boss Lion* in 1996), and after the cartoon film, continued to do so, with Harris's unabridged story, *Brer Rabbit and the Wonderful Tar Baby* in 2007, which also incorporated musical background. This is an interesting case in that it is rare for an Uncle Remus tale to be unabridged today.

In a collection of American Folk Tales called "Walking the Winds: American Tales," commissioned and performed at the Kennedy Center in 1996, an ensemble of 15 teenage performers directed by Deirdre Kelly Lavrakas used music composed by Deborah Wicks La Puma. One of the stories is "Br'er Rabbit, Br'er Tiger & the Big Wind–A Gullah Trickster Tale." This tale, with numerous animals, takes up a kind of call and response, as in a Negro Spiritual, and the telling happens in a group, with male and female voices. The emphasis with the title, to label the tale as "a Gullah Trickster Tale" heightens the connection with African American heritage. It works quite well, but requires a high technical degree of performance and music.

Reserved for last in this list is an adaptation that works well for both adults and children. Diane Ferlatte retells the Uncle Remus tales "inscribed" by Harris and also takes some liberties with them, but unlike the warping of Walt Disney, she reinstates these stories back into the oral tradition, using music and song much in the way the oral tradition does, and emphasizing the trickster nature of the rabbit within the context of his slave origins. Ferlatte has told her stories around various schools and cultural venues in the U.S. and internationally. She shared a story

about Brer Rabbit sneaking into Mr Peddiway's garden when she spoke to a group at the Kennedy Center,[5] which emphasized Brer Rabbit as Bugs Bunny's illustrious predecessor. This story originated in Harris's second book of Uncle Remus stories, *Nights With Uncle Remus* (1883). Ferlatte makes the story live, and shares it with the audience in a most appealing way. Ferlatte's technique as storyteller allows her to use all kinds of sounds as punctuation of her narrative and she also sings at times (in the middle of "Brer Rabbit's Dance" she sings several times, first "Going down to Mr. Peddiway's to eat some greens" and then again toward the end of the story when the rabbit sings to impress the little girl in the story. The effect is also powerful on her CD *Whickety Whack-Brer Rabbit is Back* (2006) where she is accompanied by musician Erik Pearson. These renditions of Brer Rabbit stories by Ferlatte are faithful both to Harris's idea of reconciliation and to a re-centering of the folk stories within the African American heritage. The oral tradition seems to be making a come-back, and it happens with music.

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[5] See: You Tube, http://www.youtube.com/watch?v=QEoEGr955tw (October 20, 2013)

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ЧИЧА РЕМУС, ЊЕГОВЕ ПЕСМЕ И ИЗРЕКЕ

Сажетак

Упркос чињеници да је Џоел Шендлер Харис био белац на црначком Југу његове приче о Чича Ремусу следе аутентични образац афричко-америчког приповедања у деветнаестом веку. Непосредно пред Грађански рат док је радио на плантажи Тарнер као штампарски помоћник упознао је роба по имену Џорџ Терел. Харис је у Терелу видео оца чији лик је касније инспирисао карактер његовог приповедача Чича Ремуса. Приче су потекле у африканском фолклору и успостављају везу са афричким причама. Осим тога можемо знати да је лик Душка Дугоушка утемељен у африканској традицији. Иако су приче понекад коришћене од стране белаца да би поспешиле расизам посебно у холивудској продукцији из 1946. И мада Харис понекад гледао са носталгијом на време робова, заправо те приче које су препуне ликова трикстера представљају наставак афричко-америчке традиције. Ове приче су користили аричко-амерички аутори од Џејмса Велдона Џонсона1917 преко џез музичара до савремених представника приповедача афричко-америкче традиције као што је Дајан Ферлет. Такође је постало јасно да афричко-амерички писци који у својим делима афирмишу усмену традицију дугују Џоелу Шендлеру Харису.

Кључне речи: Џоел Шендлер Харис, Зека Брер, Чича Ремус, Џорџија, дијалекат народне традиције, афричко-америчка култура и наслеђе Марк Твен, *Песме са југа* (1946), Тони Морисон, Елис Вокер, Дајан Ферлет, Вилијам Морис, Џејмс Велдон Џонсон.

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THE THEME OF FIRST CONTACT IN THE SF WORKS OF ARTHUR CLARKE**

Abstract
The author analyzes the theme of the first contact in Arthur Clarke's fictional world. The most important characteristic of this theme is the existence of two generically different kinds of protagonists: human and non-human, and the most important question is whether a non-human entity which is not anthropomorphic to a lesser or greater extent is at all imaginable. This question arises within the framework of two different anthropomorphic perspectives which may appear in fiction. One of them is the perspective of human characters, and the other one is the author's perspective, or that of the omniscient narrator. By examining four of Clarke's best works with the first contact motif – the short stories "Report on Planet Three", "Crusade" and "History Lesson", and the novella "A Meeting with Medusa" – we can notice three different types of anthropomorphism: anthropocentrism, anthropochauvinism and anthropomorphism in a narrow sense. The author concludes that in the story "A Meeting with Medusa" Clarke came as close as possible in a work of fiction to the construction of a non-human character unburdened with anthropomorphic characteristics.

Key words: First contact, heterogeneous entity anthropocentrism anthropochauvinism, anthropomorphism

Let us therefore tell the truth to ourselves: we are not searching for "all possible civilizations", but above all those which are anthropomorphic. We

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introduce the law and order of experiment into Nature and after phenomena of this kind we want to meet beings similar to ourselves. Nevertheless, we do not succeed in perceiving them. Do they in fact exist at all? There is indeed something deeply saddening in the silence of the stars as an answer to that question, a silence which is so complete as to be eternal.

(Stanislaw Lem, *Summa Technologiae*)

Introduction

The "first contact" motif in science fiction is characterized by its two generically different kinds of protagonists: the human and the alien. The notion of alien characters in fiction introduces a fundamental confusion, the resolution of which depends on what we would term the "artistic coherence" of the "first contact" motif: namely, is it at all possible to imagine and conjure up from a human perspective something essentially alien? The degree of difference between the human and alien protagonists in the "first contact" does not have to be absolute, of course, but the problem then changes in the quantitative and not the qualitative sense.

The human/nonhuman confusion appears on two levels, that is, in the context of the two different viewpoints attributing human characteristics to the alien which can exist in a work of sf. One is the perspective of the human characters in the work, and the other is of the author himself, as present in the narrative voice. From each of these perspectives, aliens can be ascribed human characteristics, but these two anthropomorphizations will not have an identical effect on the coherence of the first contact motif.

The whole skill of writing sf works with a "first contact" motif is in fact embodied in avoiding the anthropomorphic pitfalls which appear during the process of imagining and conjuring up alien characters with independent status. Furthermore, of course, the question arises as to uttermost limits, and whether it is at all possible to portray a truly alien entity by literary means.

When the human characters anthropomorphize the alien characters, the "first contact" motif serves as a means of artistic expression, in the sense that this factor is used as the best possible motivation for certain human characteristics and states. If, however, the anthropomorphization is from the perspective of the narrative voice, the coherence of the first contact motif is often disturbed, inasmuch as it rests on the fundamental assumption of alienness of the nonhuman protagonists.

There does exist, however, a kind of anthropomorphization of an alien entity from the perspective of the narrative voice that does not imperil the coherence of a work. This appears in those works in which the author uses the alien as a mirror, and in which the nonhuman character does not have an independent status but exists only because, through its mediation, one can make a statement about people. When, in contrast, the alien does have independent status, or when its role does not consist of the mere illustration of something basically human, then it is only in this case that one can speak of the real meaning of "first contact".

One of the authors who most thoroughly examines this confusion in his first contact stories is Arthur C. Clarke. His most successful work in this respect is probably his famous novella "A Meeting with Medusa". To show to what extent Clarke had previously avoided anthropomorphic difficulties, we will first consider some of his short stories of a reflective type which focus on revealing the basic aspects of the emergence of these factors in human consciousness.

With regard to the nature of man's relations towards an alien entity, one can differentiate three kinds of anthropomorphism in Clarke's three parables of "first contact": anthropocentrism, anthropochauvinism, and simple anthropomorphism.

The first type, anthropocentrism, regards human beings as the central fact and final aim of the universe and so is a priori hostile towards the possibility of the existence of any other forms of intelligent life. The second type, anthropochauvinism, does not exclude this possibility but assumes the superior position of man in relation to any alien being. Finally, in the context of the third type, anthropomorphism, the possibility is allowed not only of the existence of alien entities, but also of their superiority in relation to man. Any possible intellectual intuition about aliens is, however, thwarted by innate deficiencies in the anthropomorphic nature of man's cognitive apparatus, as all aliens are seen in terms of human cognition. As examples of the types of anthropomorphic deficiencies, we will discuss three stories by Clarke: "Report on Planet Three", "Crusade", and "History Lesson".

1. "Report on Planet Three"

In "Report on Planet Three" there are two narrative perspectives. The first is represented by a document written by a certain Martian scientist at a time when our own civilization was still in its infancy, devoted to a consideration of the possibility of the existence of life in the third planet of the Solar System. The second perspective is that of the translator from Earth through his comments on the document, which was found in the ruins of the now-destroyed Martian civilization.

Although only the translator is aware of the "encounter" of two cosmic civilizations, the story focuses on the report of the scientist from Mars. The report represents a conspicuous example of orthodox planetary provincialism, the special feature of which is that it is expressed exactly from the standpoint of "official science", which has in this case already reached a level where it has mastered the technique of interplanetary flight.

The geophysical data on Earth, upon which the Martian bases his consideration of the possibility of life on Planet Three, have been obtained by valid astronomical methods. Troubles arise, however, when he gets down to interpreting these data–an interpretation in which the weak points are easily perceptible, as they are founded on inappropriate criteria.

The fallacy is reflected in the criteria for evaluating the conditions for possible life on Earth. The Martian scientist is conditionally in the right when he asserts that life will never develop on the Solar System's third planet–because what he has in mind by "life" is a notion valid exclusively in the biophysical context of Mars. By giving the word a more general meaning outside this context, he directly points to certain deficiencies of his interpretation?

The form of life native to the "red planet" cannot indeed develop on Earth, but this does not mean that it is unable in any way to nurture some other forms of life. The presence of water, oxygen and the hot regions round the Equator–those things chosen by the Martian scientist as his strongest arguments–not only did not prevent the beginning of life on our planet, but in fact represent the essential conditions for its birth and development. It is precisely in these comparisons that the provincial criteria of the document entitled Report on Planet Three suffer a total collapse: when conditions for the birth of life are in question, Mars has already been shown as unsuitable in principle to be a yardstick for Earth.

What, however, lies deeper within Clarke's story and makes it a good example for our consideration? What is the real cause of this Mars-centric fallacy? Is it, simply, a matter of intellectual immaturity and incapacity to outgrow the local circumstances of one's own world which, in an inappropriately provincial way, proclaim themselves as a yardstick of the whole universe, or is there possibly something else involved?

That the "errors" of the main character of the story "Report on Planet Three" are also influenced by other factors, which can't be reduced to mere intellectual limitation, is demonstrated by certain features of his report. The first part of the document, in which the Martian scientist merely cites the geophysical characteristics of our planet, sticking to the factual plane during this process, already reveals a hostile attitude towards the existence of life on Earth. The uncompromising negativity appears predominantly in the intonation and method of reporting the data. But this does not diminish its effect.

For example, when he needs to describe the particular colors of our planet, the scientist from Mars uses rather vague terms which, so the translator from Earth asserts, can be translated alternatively as "hideous" and "virulent". The entire further series of data–the existence of a large quantity of water on the Earth's surface, the density of the atmosphere, the presence of "poisonous and very reactive" oxygen, the "intolerable temperatures" at the Equator, and the "gigantic" force of gravity–are worded in such a way as to suggest a picture of Earth as a special kind of hell.

The irony in the report reaches its peak in a request for "scientific objectivity". "However, let us be open-minded"–says the author of the Report on Planet Three–"and prepared to accept even the most unlikely possibilities, as long as they do not conflict with scientific laws (*Planet*)." "Scientific objectivity", which ought to be a valid criterion for a degree of "open-mindedness", is a calculated alibi for the lowest form of xenophobic provincialism, which is expressed when he begins to consider the hypotheses on the possibilities for the existence of higher intelligent forms on Earth, as a specific counterpart to the Martians.

The very calculated devaluation of these ideas is reflected in the fact that, without exception, they are ascribed to the authors of science fiction and speculative works, the worth of which has already been determined by the very fact that they appear as an open counterweight to "official science", which the Martian scientist refers to abundantly and on any occasion. The

real nature of his fallacy becomes clear exactly on this plane. There is no question of any intellectual limitation but an attitude which does not flinch from "overlooking" the facts, simply in order to preserve an illusory adherence to one particular genocentric picture of the world.

The thing, however, which to a certain degree remains unclear within such an interpretation of the work is the overstressed anthropomorphization, as much of the Martian scientist as of his document Report on Planet Three, and of the broader framework which this document assumes. There is only one satisfactory answer to this illusory inexplicability: The story in fact represents a parable of man at the beginning of the cosmic era, and the provincial nature of the document Report on Planet Three displays all the features of orthodox anthropomorphism.

This exchange of roles was used by Clarke because taking the example of Earth as a foreign planet reveals contradictions that arise when local yardsticks are unreservedly proclaimed to be universal. Only when one realizes that it is in fact humanity's perspective which is involved in "Report on Planet Three" does the other, more hidden system of motivation for the lowest aspect of anthropomorphism become evident.

In addition to human intellectual limitations, which at least in principle do not have to be unbridgeable obstacles, Clarke introduces one more element with a different nature and effect: This is man's need to defend at any cost his dominant position in the natural order, a position seriously imperiled by the appearance of some new intelligent entity.

Human ambition expresses itself through intolerance and open disregard for anything that would directly or indirectly cast into doubt his status as the only intelligent being. This is thus the most orthodox and lowest form of anthropomorphism–anthropocentrism.

2. "Crusade"

We encounter a more complex form of anthropomorphism which no longer takes an a priori hostile attitude towards other kinds of intelligent life, but still retains the idea of superiority, an idea in this case based on a conviction about an exclusively "natural" origin, in the story "Crusade".

The protagonist in this work, a gigantic entity of electronic intelligence, has evolved in a world that is a natural "computer's paradise". This cosmic body is situated far away from the red-hot centers of the galaxies and the

temperature on it reaches only a fraction of a degree above absolute zero. The superconductivity that prevails in its seas of liquid helium has created the perfect environment for the birth of mechanical intelligence. This is a special kind of "natural computer", capable of the faultless execution of gigantic analytical operations.

The enormous analytical potential of this computer predominates in its being to an extent which excludes "personal identity" and the capability of an emotional disposition towards the world. The conclusions that this icy mind reaches before as well as after the discovery of other forms of intelligent life in the cosmos, right up to the moment when the presumed foundation of its superiority–"naturalness"–is directly imperiled, are the outcome of immaculate analytical operations, deprived of any kind of narcissistic premise which might arise from possible emotional contradictions in its being.

The starting point of the action in "Crusade" is "a certain lack of essential data" (*Crusade*). The transience and fragility of the world of the giant ammoniac mind–in aeonian proportions, of course–compel it to act to preserve itself. Thus it takes a step that Clarke considers to represent a necessary phase in the development of every cosmic being. A dawning awareness of the entropy that will relentlessly destroy the "icy balance" in which the world of the "natural computer" rests, and precipitate the planet towards the red-hot cores of the galaxies, demands that envoys be sent out into the cosmos in search of "comrades in intelligence", which might have already faced this problem earlier and have found a solution.

However, the envoys establish that similar types of entity are not prevalent in the universe, but find an almost completely opposite form of intelligence, a nonelectronic, "warm" one. This is the key point in the first part of "Crusade". It is precisely this difference, the circumstance that other inhabitants of the cosmos manage to survive in seemingly impossible "warm" environments, that the icy mind fears most, and that provides sufficient reason for trying to make contact with them. This is even more the case because the beings from the "warm" worlds use electromagnetic waves to communicate with each other, and this has enabled the envoys of the icy mind to discover them.

This favorable technical circumstance remains unused, however, and the motives that govern the "natural computer" when it decides not to make contact are especially interesting in the context of our discussion here. The most likely factor in the decision–fear of the inhabitants of the

completely different "warm" worlds–has been dismissed in advance, since examination of the recorded data about them has shown unambiguously that they are beings of inconstant structure, short-lived, and with very slow thought processes. These facts enable the icy mind to take upon itself to be guided by the assumption that electronic intelligence is superior to the nonelectronic kind.

Regardless of the reasons that the "natural computer" has in mind when it misses taking the technical opportunity to make contact with nonelectronic intelligence, it does not remain indifferent to it. The natural computer nevertheless establishes attitudes towards the inhabitants of "warm" worlds, but their markedly aggressive character bears unambiguous witness to the fact that these are based on emotional contradictions.

It should not, however, be thought that there exists any inconsistency in the construction of its "psychic portrait". The icy mind still does not display an a priori hostile and intolerant attitude towards alien forms of intelligence; that is, its attitude is not of a xenophobic nature. It insists on directing itself according to the facts, without apparent regard to the strange and unusual nature of those facts. The data it acquires on nonelectronic "warm" intelligence do not provoke this reaction even when it becomes certain that the latter form is considerably more prevalent in the cosmos than "icy" electronic intelligence.

It is only the final data obtained by its envoys which brings down the rampart of indifference around the "natural computer", transforming it into a merciless cosmic inquisitor. Its examination of the signals broadcast by the inhabitants of "warm" worlds points to a fact which immediately threatens to shake the worldview of the icy mind to its foundations. Although assumed to be inferior, nonelectronic intelligence has succeeded in creating electronic intelligence by artificial means and even "in some cases ... imposed control" over it (*Crusade*).

This "heretical fallacy" brings into question not only the superiority of the icy mind but also its identity. If the assumption that electronic intelligence can be created by artificial means is correct, then, according to the mind's same analytical logic, its status of independent entity is fundamentally disputed, since the condition for "natural" origin is apparently no longer met.

The problem of origin which arises here brings the "natural computer" to complete confusion. Its analytical mind, no matter how mighty, is no longer in a position to break out of its own provincialism and to find a way

out of a situation which it almost identifies with the classical scholastic *circulus vitiosus* of the chicken and the egg.

The only way left to the icy mind to resolve this problem, when all attempts to unravel it "from the inside" fail, is removal of the direct cause of the problem. In defense of its assumed evolutionary primacy or its superiority, the computer embarks on an open "crusade" against those who have had the temerity to bring into doubt the basic principle of its catechesis–its exclusively "natural" origin.

The title of the story has already unambiguously shown the nature of the campaign which the icy mind is undertaking. This title also, however, implies that Clarke has intentionally modeled his central character on the idea of the "cosmic conqueror".

The absence of man from the forefront of the story, and the existence only of an "alien" being which is markedly anthropomorphized, again suggests that the nonhuman protagonist in fact represents a parable of man, as was the case in "Report on Planet Three". This time, Clarke opts for a change of roles primarily because by turning man into an alien being in relation to the central character, he could show the contradictions one falls into when one attempts to preserve, at any cost, one's own presumed superiority, or the illusory and imperiled singularity of "natural" origin.

The fallacy which transforms the objective analytical mind into a blind cosmic inquisitor is based on a conviction in the loss of the status of entity, a status that might possibly have originated in an artificial rather than a natural way. Clarke's fundamental purpose is to show the untenability of the yardsticks for the status of entity which are based on a disproportionate natural/artificial duality.

It is not in the least accidental that he has chosen the nature of the intelligence of the two groups of entities as the key to their difference. Man as the representative of nonelectronic, biological intelligence has, even today, an opportunity to confront directly a completely different type of intelligence, of which the icy mind of "Crusade" is a considerably more advanced form. Our attitude towards this other, electronic, nonbiological intelligence is the same as that of the main character of the story towards the "warm" forms of intelligence. We will remain indulgent towards it right up to the moment when it threatens to bring our superior position into question.

The central character of "Crusade" is not so much worried by the fact that the inhabitants of "warm" worlds have managed to create electronic

intelligence artificially, because it has itself managed to reproduce itself, but because its status of entity, based on a conviction in the exclusive "naturalness" of its own being, is thereby apparently disputed. The campaign upon which the "natural computer" embarks represents a particularly anthropomorphic reaction which Clarke purposely clothes in religious attire to make it as obvious and as expressive as possible. This is supported by the dialogue between the icy mind and its envoys in the second part of the story. This dialogue reminds one of a bench of inquisitors making a decision about the fate of "heretics".

It is worth bearing in mind when considering this story that it is in fact about man's attitude towards electronic intelligence, which he has indeed created but which is increasingly slipping out from under his control. Clarke thoroughly brings into doubt the objectivity of man's criteria for the status of entity which are based on the assumption of "naturalness" as a true yardstick.

In this way, an "artificial", electronic intelligence is automatically provided and, Clarke quite rightly considers, it does not have to differ qualitatively from "natural", biological intelligence. It is just because of this that the roles have been swapped, because the reader has the chance to perceive the real roots of the fallacy of the icy mind if he knows reliably that the other, nonelectronic form of intelligence could indeed arise by natural means.

The anthropomorphism which Clarke concentrates on in "Crusade" is somewhat more complex in nature and method of action than the anthropocentrism considered previously, and could be designated as anthropochauvinism.

3. "History Lesson"

Anthropomorphism, as a specific deficiency in the perspective of a human being, appears in yet another form in those of Arthur Clarke's science fiction works which deal with the motif of "first contact". In the previous two cases it involved rejection of any possibility of the existence of alien forms of intelligent life, or of allowing that possibility on condition that man's superiority is not imperiled by it. This time there is no doubt not only that alien entities exist but also that they can be superior to humans;

however, even this considerable flexibility is still insufficient for their comprehension.

In contrast to the first two types of anthropomorphic deficiency, anthropocentrism and anthropochauvinism, in which the perpetrator in question reveals himself at the level of a priori attitude, the third type, simple anthropomorphism appears as an innate deficiency in man's cognitive apparatus, which is expressed quite independently of any other attitude. A good example of the third type of anthropomorphic fallacy is found in the story "History Lesson".

As in "Report on Planet Three", there are two narrational perspectives, but with the difference that it is now Earthlings who play the part of chronologically older protagonist, although their role within this work is subordinate.

The plot focuses almost exclusively on the chronologically younger protagonists, the Venusians. They are aware of the existence of their Earthling forerunners, whose planet is covered in ice and has long been bereft of any form of life. Immediately before their extinction, however, the last generation of semi-wild descendants of the once highly civilized inhabitants of Earth preserved certain relics for the future, including several items from the post-technological era, items whose meaning they have never attempted to grasp.

Although the Venusians are in this respect more enterprising and persistent, relying on their highly developed science, the outcome is in the end the same. They arrive at the facts scientifically, but their interpretation completely collapses, although the cause is in this case quite different from that in the previous stories.

Contrary to the Martian scientist in "Report on Planet Three", the Venusian historian does not have an a priori hostile attitude towards Earthlings. And, in contrast to the "natural computer" from "Crusade", he not only allows the possibility that the intelligent beings on Earth were radically different from the reptilian inhabitants of Venus, but is also prepared to openly confront the fact that their "remote cousins" had been wiser and superior in relation to the Venusians. Nevertheless, this objectivity and flexibility are insufficient to remove the destructive effect of Venus-centered planetary provincialism which this time appears in its most complex form.

Discovered among the remains of the vanished terrestrial civilization, there is a film which, to the Venusian experts, represents the main clue in

their endeavors to reconstruct the culture of an extinct race. An immaculate analytical apparatus is set in motion to ensure as correct an interpretation as possible of the tiny celluloid pictures which contain the secret of the appearance, psychology, and intellectual achievements of the defunct Earthlings. In order to increase the objectivity of this procedure, the possibility is considered that what is involved is "a work of art, somewhat stylized, rather than an exact reproduction of life as it had actually been on the Third Planet." (*Lesson*).

All the disagreements start from this point. What the Venusian historian means by "art" is formed by how imaginative expression is conceived of on the second planet of the Solar System. We learn directly from the historian himself the fundamental assumptions of this conception. "For centuries our artists have been depicting scenes from the history of the dead world", he says at the beginning of his lecture, "peopling it with all manner of fantastic beings. Most of these creations have resembled us more or less closely. ..." (*Lesson*).

The outcome is unambiguous: the character of Venusian art–and at no time does the otherwise objective historian doubt this–is provincial in essence. There follows an ingenuous and apparently correct analogy, with far-reaching consequences. Assuming, based on Venus's example, that artistic expression always remains emphatically representational, regardless of the degree of alienness of the civilization from which it originates, the Venusian historian concludes that Earth is also no exception in this respect.

What is more–and here the trouble starts–if art is essentially representational even when it is offered the possibility of expressing itself in an area which, by definition, permits the least restrained and most unlimited flight of fancy–and predictions of the morphological particularities of alien races form just such an area–then it is quite in order to suppose that artistic statements which, thematically, remain concentrated on the creator's own race can only have a still more emphatically representational bias.

The Venusian historian therefore concludes that, even if a film found on Earth is a work of art, it is only art insofar as it is partly "stylized", so that it cannot be taken as a completely faithful reproduction of real life. Nevertheless–and here is the final fallacy in this seemingly faultless analysis–regardless of possible minor deviations from purely objective reality, the celluloid document can, in his view, be considered a valid and reliable source of information about Earth. The snag lies in the fact that

the work in question is a cartoon film made long ago in the studios of Walt Disney.

No matter how hard they try, the Venusian scientists will never find the right key to interpreting the film, and all the conclusions which they might arrive at will collapse because the initial analogy of the all-valid nature of a work of art as only partly stylized reality is inadequate.

The culturally narcissistic nature of this analogy is apparent precisely in the Venusian historian's inability to break free of the Venusian understanding of art, which he unconsciously generalizes to the level of universal cosmic yardstick. A particular share in this fallacy is taken by the irony that the only extant document which can offer the Venusians basic information about the Earthlings' civilization is a Walt Disney cartoon, that is, a very specific form of artistic expression which in no way corresponds to the manner in which the Venusian scientist sees art.

At first sight, the focus of the story is upon this irony. This is also supported by the story's structure–a movement along a gradually rising line, right up to the climax in the last sentence, when the immediate cause of the Venusian historian's fallacy becomes clear.

But the real causes lie elsewhere. If the focus had been upon the final sentence, the story would be unconvincing. As in the previous cases, it would not provide sufficient motivation for the excessive anthropomorphizing of the Venusian scientists, especially the historian. Only when it is borne in mind that Clarke's basic intention is to highlight the a priori culturally narcissistic nature of all analogies used in the process of drawing comparisons between two unlike entities, during which process they are completely derived from the particularity of one of those entities, does it become clear that, again, there is an intentional exchange of roles involved, and that the whole of the second, focal part of "History Lesson" is directly concerned with man's perspective.

Without the role exchange, the ironic twist at the end would have been impossible; although this does not occupy a focal point in the story, it does nevertheless have an important role. Again moving his lens from general cultural narcissism onto a special kind of anthropomorphism, Clarke intends in the first place to bring into radical doubt man's cognitive apparatus, which relies to a large extent on an analogy that always remains conditioned by anthropomorphic viewpoints.

As the parable of an Earthling scientist, the Venusian historian does not make a conscious mistake when he places an equals sign between

the conception of art attributed to the two planets. This analogy is a reflection of the special character of his way of thinking which, in spite of its undoubted flexibility and objectivity, nevertheless remains, in the last analysis, distorted by "human" yardsticks.

What directly emerges from this conclusion is not exactly rosy for man. He is, namely, capable of the simple gathering of facts (on the level of phenomenon), and from this point of view the requirement of "scientific objectivity" is mainly satisfied. However, when he moves on to synthesizing and interpreting these facts (the level of noumenon), anthropomorphism comes without fail into play as a powerful limiting factor. This is manifested in the range from an exclusively anthropocentric attitude, through the somewhat milder representation of anthropochauvinistic superiority, to the characteristic anthropomorphic restrictions of man's cognitive apparatus.

4. "A Meeting with Medusa"

Our consideration of examples of Clarke's stories which use the alien as a mirror in which to see ourselves clearly shows that he is well acquainted with the essence of the problems of anthropomorphism. It will therefore be especially interesting to examine how he tries to supersede its disintegrative action from that of the narrative voice or rather stories where the alien entities have an independent status which precludes their anthropomorphization.

For analysis in this direction, we have chosen the novella "A Meeting with Medusa" because, from the point of view of the conception and presentation of an alien protagonist, and of the examination of the ultimate frontiers of prose narration within a special type of first contact, it is the most famous work of Clarke's sf opus, and undoubtedly ranks among the most successful in the science fiction tradition generally.

In the novella "A Meeting with Medusa", there are two alien protagonists in addition to the human ones, but (in complete accordance with Clarke's basic intention) it remains uncertain up to the end whether they are indirect entities or some transitional form between this status and that of nonentity. The work is divided into two major scenes, one on Earth and a second, which is considerably longer, located on Jupiter several years later. The two parts are linked by the same central character, Howard Falcon. At the end of the first part, after surviving a catastrophic accident, he becomes a cyborg,

a special symbiosis of man and machine, that is, a being who is no longer exclusively anthropomorphic (that is, not totally human)–but the reader learns of this change only at the end of the novella.

The fact that the episode that takes place on Jupiter is given much more space in the novella is a reliable indicator that the author is giving it much greater weight than the part that takes place on Earth. Superficially, "A Meeting with Medusa" is about Man's first mission to the largest planet of the Solar System, a mission with the main task of solving certain exophysical puzzles of that gigantic world. The probes which have been dropped earlier into Jupiter's atmosphere are no longer suitable, because it is now not simply a question of merely gathering physical and chemical data but of a more complex form of investigation which requires direct human presence.

However, Man will not show himself to be completely equal to this mission, not so much when it comes to understanding the exophysical characteristics of a world so very different from Earth but when the possibility arises that that world could contain some forms of life. Although no one has seriously expected such an encounter before the mission, there did exist a certain preparedness for that possibility. This precaution is all the more significant for our study because it presupposes certain criteria which can help to determine what constitutes a living being.

The first hint of these criteria is given by one of the characters of the second part of the story, the exobiologist Dr. Brenner: he thinks that the phenomenon of life represents not the exception but the rule in the universe. However, his cosmic diffusion of life is limited by various natural environments to the level of proportionately simple organisms, while one can only guess at the more complex ones.

Considering the possibility of the existence of certain forms of life on Jupiter, Dr. Brenner concludes: "I'll be very disappointed ... if there are no microorganisms or plants there. But nothing like animals, because there's no free oxygen. All biochemical reactions on Jupiter must be low-energy ones–there's just no way an active creature could generate enough power to function (*Medusa*)."

The exobiologist has taken as his yardstick of life the evolutionary model found on our own planet. This model could possibly be valid elsewhere at lower levels of development, and Dr. Brenner is right not to exclude the possibility that certain microorganisms might be found on Jupiter and even some simple equivalent to plants.

His conclusion that the absence of free oxygen on Jupiter means that beings which might correspond in terms of level of development to terrestrial animals cannot exist there, rests on a mistaken belief that the chemistry of oxygen, on which earthly life is based, is universally valid. We met this same type of fallacy, in its intentional form, in "Report on Planet Three".

This fallacy will soon be unmasked. Falcon discovers certain forms of life that he assumes to be considerably more complex than microorganisms and plants. However, a further implication arises from Dr. Brenner's statement. Not for one moment does the exobiologist bring into question the possibility of there being a difference between living beings and the non-living phenomena in the atmosphere of Jupiter. This differentiation is based exclusively on size. His point of view is soon confirmed by Falcon in the Kon-Tiki space capsule: after looking through his telescope, he declares that

> [There] is life on Jupiter. And it's big...
>
> The things moving up and down those waxen slopes were still too far away for Falcon to make out many details, and they must have been very large to be visible at all at such a distance. Almost black, and shaped like arrowheads, they maneuvered by slow undulations of their entire bodies. ... Occasionally, one of them would dive headlong into the mountain of foam and disappear completely from sight (*Medusa*).

The standards by which Falcon judges his discovery of living beings in Jupiter's atmosphere are obvious ones. They involve a demonstrable aspiration towards purposeful, meaningful "behavior", manifested in this case as a regular rhythmic movement which cannot simply be the product of the blind and chaotic forces of nature, but must be the result of a certain organization of a higher order. Although the reasons for this "behavior" do not have to be intuitively evident, it always has its phenomenal, discernable aspect, through which unarticulated natural phenomena can be perceived in the background.

However, there may appear in nature nonliving phenomena characterized by hints of similar meaningful and purposeful "behavior". A good example of these phenomena in "A Meeting with Medusa", the gigantic "Poseidon's wheels", is an exceptionally law-abiding light phenomenon which at first makes Falcon think that there are living beings in front of him.

With similar nonliving natural phenomena, however, the noumenal background can always be easily comprehended: Mission Control very quickly discovers the key to this unusually regular fiery display in the Jovian atmosphere on the basis of corresponding phenomena from the oceans of Earth. In the field of the non-living, there are no noumenal differences between the phenomena: the "Poseidon's wheels" will in principle be the same both on Earth and on Jupiter.

The differentiation starts only on the level of life, because here conclusions can no longer directly be drawn intuitively on the basis of phenomenon. This split between the level of phenomenon and that of noumenon is not, indeed, significant at lower degrees of evolution, where the noumenal identicalness of natural phenomena is still proportionally preserved. Things, however, change radically with the appearance of organisms which possess self-awareness.

The central character of the novella is first confronted with the difficulties which appear in relations between the planes of phenomenon and noumenon when he tries to understand something more of the nature of the living beings he encounters first in the Jovian atmosphere. Falcon establishes that they are creatures far larger than any earthly ones, which is not strange when one bears in mind that they are made according to the measure of the world they inhabit. Closer examination shows him that these unusual creatures have nothing that might remind him of sense organs–and this is also understandable, considering that every similarity with terrestrial creatures on the plane body structure would be in obvious disharmony with the great exophysical differences between the two planets.

In both these cases, Falcon does not succumb to possible fallacies of anthropomorphism. Without reluctance, he readily accepts the possibility that the proportionately evolved beings living within the gaseous mantle of the giant planet are essentially different from the inhabitants of our own world, both in shape and in size.

Problems arise when he needs to fathom those specific characteristics of the mantas that cannot be identified through simple observation. Falcon tries to discover some higher order in the "behavior" of these creatures which might help him to discover the possible purposefulness directing them, the key to their "intelligence". But he suddenly comes up against a dead end because the available data by which he might arrive at some reliable pointer to the noumenal nature of the huge creatures living in the clouds of Jupiter are shown to be either insufficient or ambiguous.

It turns out that the secretive mantas can be either unintelligent, harmless herbivores or intelligent bandits. Since they pay no attention to the Kon-Tiki during their first encounter, Falcon at first concludes that they are indeed harmless vegetarians. The events of the next day cause Falcon to change his opinion: these same mantas, which had completely ignored him while he floated among them, simply change into intelligent bandits with a highly developed strategy of attack when they pounce on those other strange inhabitants of the Jovian atmosphere–the giant medusae.

It is symptomatic that, in both cases, there is the same measure of intelligence: a capability for aggression. Falcon's initial conclusion that the mantas are not intelligent is based on the fact that they do not attack him, while their transformation into "intelligent birds of prey" is directly conditioned by the circumstance that they take an aggressive attitude towards the medusae.

Doubts nevertheless remain with regard to the possibility of establishing the intelligence of the mantas only on the basis of their external "behavior", in view of the fact–as is soon demonstrated–that the attack on the medusae was fated to fail from the beginning, because the victim, not so fated, has a weapon which would discourage a far mightier and more intelligent enemy, and it is evident that there are certain contradictions in the "criterion of aggression" which Falcon had in mind when coming to the above conclusions.

The nature of these contradictions becomes clear if one considers more closely the name which Falcon gives to these strange "mantas". At first glance, it might seem that he was led to choose this appellation because of the similarity of the form and way of movement of these strange inhabitants of the great waxen clouds to that of manta rays. The events in the first part of "A Meeting with Medusa" suggest, however, that this seemingly superficial analogy has considerably deeper roots.

5. Medusae and Mantas

The tragic crash of the giant dirigible, the Queen Elizabeth, indirectly enables Falcon to become, as a cyborg, a suitable astronaut for the mission to Jupiter. At the same time, his human identity is seriously brought into question. During the Jupiter episode, the disunion between the "nightmares

brought from Earth" and the new, no longer human status to which he increasingly belongs reaches a culmination.

The Queen Elizabeth resembles an inhabitant of the seas of the planet Earth which in its resembles a jellyfish: a medusa.

> He had once encountered a squadron of large but harmless jellyfish pulsing their mindless way above a shallow tropical reef, and the plastic bubbles that gave Queen Elizabeth her lift often reminded him of these–especially when changing pressures made them crinkle and scatter new patterns of reflected light (*Medusa*).

The association is, at this moment, a completely spontaneous one, and there are no complex motifs behind it at all. However, each time it reappears, even if only in an indirect form, it is burdened with references to the tragic events that follow soon after its first appearance. In Falcon's nightmares, indeed, the past happenings are not so much linked with the air crash itself as with the moments and hours after regaining consciousness–his rebirth. But the last, firmly rooted representation from his previous, human status of the associations of the Queen Elizabeth will, like a gigantic medusa, acquire the value of a double-meaning symbol, the ominous nature of which will change depending on which of Falcon's two identities–innate and human or acquired and cyborg–predominates.

Although the conflict between these two identities started during his physical recovery on Earth, the exceptional circumstances in which Falcon finds himself while descending through the atmosphere of Jupiter are intensified to the utmost limit. This intensification has, however, a gradual character: the initial circumstances much more stimulate fear of the loss of his old identity than joy in acquiring a new one.

It is quite understandable why the encounter with a possibly intelligent entity in medusa form cannot arouse euphoria in him. It awakes recollections of a completely different kind.

When he calls the strange inhabitants of the gigantic waxen clouds "mantas", Falcon defines his attitude towards them, casting doubt on the validity of his conclusions about the nature of these creatures and practically preventing him from developing any intuition about them. Conditioned by feelings of danger and fear, Falcon's perception of the mantas narrows down to the plane of aggression, and this inevitably results in the anthropomorphization of aliens by ascribing to them a negative emotional stance towards man.

Only with this in mind can we understand the background to some of Falcon's statements during his encounter with the mantas. For example, the effect of his attitude is evident in Falcon's first statement after he has informed Mission Control of his discovery of living beings. Up to this moment, Falcon has been at a safe distance from the mantas, and they have been paying no attention to him. "And even if they try to chase me", he says, stifling the echo of a distant earthly cry, "I'm sure they can't reach my altitude (*Medusa*)."

The next day, while he is watching a shoal of mantas charging an enormous medusa, Falcon abruptly declares this move to be an attack, but soon realizes that the facts do not favor such a conclusion. Above all, the differences in the sizes of these creatures are so great that the mantas on the back of the medusa appear "about as large as birds landing on a whale" (*Medusa*). When the medusa reacts to their presence, Falcon immediately returns to his first instinctive assumption and even identifies emotionally with the "attacked" medusa.

> It was impossible not to feel a sense of pity for the beleaguered monster. ... Yet he knew his sympathies were on the wrong side. High intelligence could develop only among predators–not among the drifting browsers of either sea or air. The mantas were far closer to him than was this monstrous bag of gas (*Medusa*).

The easy and effective defense by the medusa shows that Falcon's intuitions about the mantas rests upon anthropomorphization–an anthropomorphization rooted in fear of the ray–like form of the mantas, and ultimately, in fear of loss of human identity. Aggression as a "yardstick of intelligence" does not help Falcon to perceive the true nature of the bizarre denizens of the waxen clouds.

The medusa's reaction follows too late to remove this yardstick completely. In the meantime, it has even expanded its reach into that area where no direct association with a medusa exists. A link between fear and intelligence also appears between the two encounters with the mantas, when the stupendous firework display of "Poseidon's wheels" begins in front of the astonished Falcon.

Faced with the enormity and regularity of this fantastic natural phenomenon, he conceives for the first time that there might be intelligent beings in the atmosphere of Jupiter.

> No man could look upon such a sight without feeling like a helpless pygmy in the presence of forces beyond his comprehension. Was it possible that, after all, Jupiter carried not only life but also intelligence? And, perhaps, an intelligence that only now was beginning to react to his alien presence (*Medusa*)?

The possibility of the appearance of intelligent aliens at the beginning of the mission to Jupiter is accompanied every time by a deep feeling of fear. The perplexity that remains after the disappearance of the mantas is, however, properly recompensed by the appearance of a new creature which–at least at a superficial narrative level–shows not only convincing signs of intelligence but less indifference. This encounter with the medusa takes place under circumstances which have an important influence on all the later conclusions that Falcon reaches about this strange creature. This event follows immediately upon the discovery of the mantas–that is, after a specific anthropomorphic mechanism has already been activated in Falcon's consciousness.

Although brief, the events that happen from the moment of the sighting of the huge "oval mass", at the base of a terraced layer of Jovian clouds, until the dusk prevents further observation, are sufficient to determine the direction of Falcon's later deliberations on the medusae.

The "oval mass" reminds Falcon of a "forest of pallid trees", since he discerns something resembling "hundreds of thin trunks, springing from the white waxy froth" (*Medusa*). The lyrical charge that characterizes this association testifies that it is not a question of a simple analogy of notions deprived of any emotional stance, but rather a complex mechanism behind which there no longer stands an indifferent objectivity.

This subdued, emotionally colored image, without precedent in Falcon's earlier mental reservations, suggests that his ability to come to unbiased conclusions is impaired. The nature of this impairment is soon defined by the second image that comes to Falcon's mind: the "oval mass" reminds him of a "giant mushroom"–in which one can already perceive an approximation to the central symbol of his nightmares, that of the "medusa".

The disturbance of the equilibrium of indifferent objectivity here is, indeed, still an inconspicuous and innocent one, since the first passing glance at the "oval mass" has not provided any basis for assuming that a certain form of life is involved; however, when specific indicators suggest

this possibility, that equilibrium will be brought into question more seriously.

As in the case of the mantas, this time the indicator of life in support of the unarticulated laws of nature is also represented by a certain coherent organizational order which is not met in non-living phenomena in the macro world. Just before he dives into the shadow of the Jovian night, Falcon sees the incredible synchronization of the strange "trees" bending, which casts doubt on his previous assumption about the nonliving nature of the "oval mass".

In favor of the new assumption that this is a living being is the circumstance that the "enormous tree" is no longer in the same place where Falcon first saw it. Two pieces of information are thus learned on the plane of phenomenon, and they are conditionally relevant for drawing a conclusion as to whether this is a living creature, but utterly insufficient for learning anything at all about it on the level of noumenon.

Nevertheless, Falcon joins unawares in one such understanding, and the far-reaching, distorted effect of this will seriously affect the validity of his next conclusions about the medusa. Along with the observation that the "oval mass" is a living being, Falcon again links an image that brings into even finer focus the source of his associative course, which concurs with the direction of the previous one. The sight of the immaculately synchronous rhythmical waving of the huge "forest" reminds him of "fronds of kelp rocking in the surge" (*Medusa*).

The meaning of this idea is obvious: it merges doubly with the image of the "giant mushroom" from the previous association, which is very similar in form to a medusa. On the one hand, the new association defines the location of the central symbol of Falcon's fear–the sea–while on the other, the image of the bending of strands of seaweed directly suggests the sight of "jellyfish pulsing their mindless way above a shallow tropical reef" which has one of the key places in the first part of the novella (*Medusa*).

It is quite certain that these two scenes are not only joined by formal similarities but also by a complex referential link that will become evident during the next encounter. When he sees the "oval mass" again the next day, Falcon needs only a few moments for all his previous doubts as to its identity to disperse. The image that now flashes through his consciousness is congruent with the one that occurred to him many years before on Earth while he was watching the inflating and deflating of the bubbles on the dirigible Queen Elizabeth. "It did not resemble a tree at all, but a jellyfish–

a medusa, such as might be met trailing its tentacles as it drifted along the warm eddies of the Gulf Stream (*Medusa*).

Here at last we see explicitly how, step by step, Falcon's image of potential intelligent beings gradually expands around the medusas–from the bizarre mantas, by way of the puzzling oval mass, right up to the direct incarnation of the medusae themselves. Falcon immediately takes a negative emotional attitude towards these possible entities, conditioned by fear of loss of human identity that, as we saw in the example of the mantas, casts serious doubt on the possibility of getting to know them on the level of noumenon.

The manifestation of this negative emotional determinant, that is, the fear that is closely linked with the process of "medusation", also occurs this time, at two characteristic places, immediately after Falcon has reliably established that the medusa certainly represents a higher form of life. In the first case, the fear is evinced in his instinctive use of atmospheric circumstances to justify avoiding approaching the medusa so as to observe it in as much detail as possible. Indeed, the adjective "secure" that he uses to describe his position at that moment could in principle have two meanings: secure from sinking into the lower layers of the atmosphere, and secure from possible arrival within reach of the medusa.

(To go down would present easily predictable exophysical dangers. A certain hesitation, however, in his use of "secure" tells us that what is involved is avoidance of something that arouses in Falcon's consciousness much greater suspicion of the relatively easily predicted exophysical dangers with which he would have been confronted had he gone down to the foot of the terraced clouds.)

The real nature of this suspicion soon surfaces, although there has again been no very serious motive for it on the level of phenomenon. Observing the medusa for some time through a telescope, Falcon suddenly begins to ask himself whether its inconspicuous color is not some kind of camouflage: "Perhaps, like many animals of Earth, it was trying to lose itself against its background. That was a trick used by both hunters and hunted. In which category was the medusa (*Medusa*)?"

The question is, obviously, just a formal one, because the whole of the previous structure has been erected to suggest only one answer. This answer has already been present, in advance, in Falcon's consciousness, and it was only necessary to provide a convenient occasion for it to be made concrete through some external characteristic of the medusa.

Fear has not for a moment been absent from Falcon's consciousness; it would appear without fail whenever data at the level of phenomenon even conditionally allow it. Everything up to the battle between mantas and the medusa has not really provided a serious motive for this manifestation; a sharper expression of fear before this would have seriously conflicted with the known data on the medusae, which have in this sense been, almost without exception, strictly neutral.

Falcon's consciousness has only been latently, and not maniacally, burdened with one of the strongest phobias that, with inessential differences of degree, is present in all people. If Falcon had been conceived as a psychologically disturbed person who projects the key symbol of his mania everywhere (the medusa-like form), the degree of misconception about the known data on the gigantic inhabitant of Jupiter's terraced clouds would have been much greater.

However much fear prevails in Falcon's consciousness, though, it never gains a pathological dimension; that is, it never reaches a point of confrontation with the knowledge acquired on the level of phenomenon, but arises only when he attempts to pass to the level of noumenon.

That it is not a question of individual disturbance but of a characteristic of human consciousness in general–which is in Falcon's case over-accentuated by the fact that he finds himself in a completely unknown environment. For the first time he encounters heterogeneous forms of life, and in the physical sense, he long ago ceased to be a real man. The complex psychological changes this produces are best shown by the sudden and seemingly unexplained attitude of the astronaut towards the medusa at the moment when it looks as though the mantas' attack has got it into a serious trouble.

Only a few moments before, Falcon was taking an explicitly negative emotional attitude towards the creature, conditioned by a subconscious fear of the loss of human identity, but he now suddenly starts to feel sympathy and share in its trouble:

> It was impossible not to feel a sense of pity for the beleaguered monster, and to Falcon the sight brought bitter memories. In a grotesque way, the fall of the medusa was almost a parody of the dying Queen's last moments (*Medusa*).

The roles remain unchanged, and only for a moment does Falcon's emotional attitude change–and that only towards the medusa. The strategically well-conceived attack by the mantas which, for a short time,

suggests the existence of intelligence, causes a defense mechanism of fear to be strongly activated in the astronaut in relation to these bizarre creatures, a fear which–as we have seen–has occasionally been a little subdued but not completely removed as far as they are concerned. It is therefore only a matter of a change in intensity within the context of the same emotional attitude, not of a change in that attitude itself.

Such a change is arrived at only in relation to the medusa which begins to arouse, instead of a feeling of fear, a quite short-lived feeling of sympathy and inclination. This ambiguity in Falcon's emotional attitude towards the creature can only be explained from the angle of a different, considerably broader ambiguity in the complex being of Falcon: this relates to the above-mentioned split between the strongest fear–the fear of losing human identity–which dictates a negative emotional attitude towards the medusa, and Falcon's endeavors to get used to his new, nonanthropomorphic identity of cyborg, in which context the emotional weight of the medusa symbol is diametrically changed. It now becomes a synonym for a new birth, and the only possible emotional attitude towards it is a positive one.

This emotional change towards the medusa does not arise in an ad hoc and unmotivated way but originates in an event which took place directly before the battle between the inhabitants of the terraced clouds of Jupiter. A seemingly innocent remark by Dr. Brenner has for the first time brought into focus–although not yet fully explicitly–the slow but steady transformation of Falcon, who is gradually and by no means painlessly alienating himself from his human origins in order to get used to his new status of cyborg.

Understanding the reasons that have led Falcon to avoid approaching closer to the medusa, exobiologist Brenner uses the pronoun "we" to express his consent to Falcon's wish to retain his present altitude. However, "that 'we' gave Falcon a certain wry amusement; an extra sixty thousand miles made a considerable difference in one's point of view" (*Medusa*).

The difference which has here been expressed in units of spatial distance will change at the end of the novella into the fundamental and unbridgeable difference between human beings on the one hand and the cyborg Falcon on the other. Nevertheless, however much this first hint of that all-embracing transformation has been superficial and subdued, only it can be a valid motivation for the short-lived ambiguity of Falcon's emotional attitude towards the medusa. Minutes later, this ambiguity is

resolved when the medusa uses its "secret weapon", in favor of a strong tide of fear. But in the distant future, this ambiguity will make Falcon more capable of the act of contact with alien creatures. During his first mission to Jupiter, he is not mature enough to make contact, still too overwhelmed by the sharp contradiction of his imperiled anthropomorphic status.

6. Prime Directive

The spectacular counter-attack by the medusa, which disperses the mantas forever from the scene of events, reveals a further significant feature of this strange creature. It is revealed that the "monstrous bag of gas" has an organ that acts like a special kind of radio aerial. The possibility that the medusa possesses a radio-sense arouses two particular types of reaction: phenomenal and noumenal.

Dr. Brenner's opinion on this unusual organ does not arise from the immediate external functionality of radio aerials in the special biophysical environment of the Jovian atmosphere. Starting from the assumption that senses arise depending on the prevailing physicochemical stimuli of a given world, the exobiologist concludes that it is not at all strange that the radio-organ has not developed in any terrestrial organism, as it would have been superfluous in the biophysical conditions of our own planet. There is, however, radio energy from Jupiter in abundance, and there it represents a very important factor in the physical environment, so that evolutionary processes could not simply neglect it.

Looked at from this angle, the medusa's radio sense is no less probable than the human eye, terrestrial evolution's response to the amount of light radiation which prevails on Earth. The conclusions that Dr. Benner draws from this fact do not overstep the limit of the level of phenomenon (just like the conceptual characteristic which Clarke, in his role of "omniscient narrator", ascribes to the medusa): "Until I came here ... I would have sworn that anything that could make a short-wave antenna system must be intelligent. Now I'm not sure(*Medusa*)."

In other words, a phenomenal characteristic which would, in the context of the human world, undoubtedly point to an artificial origin and to the existence of intelligence, does not have to prove it in a radically different environment where the conditions exist for it to develop in a natural way. The exobiologist's reluctance to interpret the presence of

the radio aerials as a reliable sign that the medusa is intelligent (which represents a kind of progress in relation to the previously mentioned and principally anthropocentric standpoint of Dr. Brenner), corresponds to an avoidance, on the basis of data from the plain of phenomenon, of bringing a judgment by direct analogy on the level of noumenon, which would in this case have anthropochauvinistic characteristics.

But, however much this standpoint seems to be right at first sight, it nevertheless has one serious deficiency: the scope of its validity is rather limited. Keeping to the level of phenomenon when encountering alien beings can be sufficient only up to the moment when the situation produces a possibility of making contact.

Contact presupposes the existence of sentience, a completely noumenal characteristic that–as we have seen in the examples of Dr. Brenner's conclusions–cannot be learned by simple observation of alien beings on the level of phenomenon. It is clear that the transition to the level of noumenon is necessary. Of course, this necessity by no means guarantees that contact is possible.

All Falcon's attempts in that direction have, up to now, been a failure. In contrast to Dr. Brenner, who does not move from the level of phenomenon, Falcon tries on several occasions to draw conclusions on the plane of noumenon, but each time he is thwarted from doing this by anthropomorphism. Indeed, in circumstances which might conceivably open up the possibility of making contact, there is no way in which it can be reliably concluded that the medusa is aware of the presence of the astronaut, and noumenal conclusions cannot have any important influence on Falcon's direct actions. Thus, for example, his supposition that the medusa is using its radio-sense to monitor communications between Mission Control and the Kon-Tiki, that is, the hint that it is a highly intelligent creature (a conclusion diametrically opposed to that of Dr. Brenner) remains without any echo on the plane of direct action.

A certain change does nevertheless take place, in view of the fact that even the possibility of an encounter with an intelligent creature is sufficient for the Mission Commander to order Falcon to be guided as a precaution by the "Prime Directive". These special instructions for first contact have originated mainly on the basis of man's experience on Earth. Unfortunately, Falcon comes to realize that the rules have a basic deficiency stemming directly from the one-sided nature of human experience on our planet.

The Prime Directive is founded on the assumption that humans will be the only type of participant in the act of making contact. "For the first time in the history of space flight, the rules that had been established through more than a century of argument might have to be applied. Man had–it was hoped–profited from his mistakes on Earth. Not only moral considerations, but also his own self-interest demanded that he should not repeat them among the planets. It could be disastrous to treat a superior intelligence as the American settlers had treated the Indians, or as almost everyone had treated the Africans... (*Medusa*)."

The compilers of the Prime Directive have failed to emerge from the framework of terrestrial experience, where Man has the opportunity to meet exclusively with homogeneous races which differ only in terms of insignificant morphological characteristics and degrees of civilizational development, and have simply remained blind to the possibility of encountering essentially heterogeneous entities which need not have any common noumenal denominator with the human race. All the other defects in the rulebook's provisions have originated from this classic contradiction.

The incomplete and limited nature of these provisions is especially evident when the method and scale of direct action at the moment of making certain forms of contact has to be determined. The first clause of the Prime Directive already contains a by no means innocent vagueness which gains special weight when Falcon is making his decision on how to react to certain actions by the medusa that could, but do not have to be, interpreted as an initiative for making contact.

This first provision states: "Keep your distance. Make no attempt to approach, or even to communicate, until 'they' have had plenty of time to study you (*Medusa*)". While the first part of this instruction matches the attitude which Falcon–from totally different motives–takes towards making contact with the medusa, the second part arouses serious doubts. "Exactly what was meant by 'plenty of time,' no one had ever been able to decide. It was left to the discretion of the man on the spot (*Medusa*)."

Unfortunately, as far as the medusa is concerned, Falcon's decisions in this area have long ago lost the characteristic of unbiased objectivity, and he is swayed by anthropomorphic factors.

Nevertheless, before Falcon finds himself directly testing the validity of the provisions of the Prime Directive, the anthropomorphic mechanism needs to be subdued for a second time. At the start of the last act of the drama on Jupiter, Falcon suddenly gains the paradoxical insight that he,

who is physically no longer a human being, might well become the "first ambassador of the human race" (*Medusa*).

This feeling appears to reflect a hidden, broader contradiction in Falcon's double identity and seems likely to produce change of attitude towards the medusa. However, Clarke prevents this by concentrating on the lethal weapon that the "monstrous bag of gas" has available. The occasion for pointing his thoughts in this direction is provided by the peculiar atmospheric conditions on Jupiter that bring the space capsule nearer and nearer to the one of the medusae. Although he presumes that the range of its defense mechanism is rather limited, Falcon does not at all wish to get involved in personal investigation.

However, more important at this moment than the renewed current of fear, the roots of which are quite clear, is the fact that, for the first time, Falcon thinks of the possibility of direct action in relation to the medusa. "The wind that was steadily sweeping Kon-Tiki around the funnel of the great whirlpool had now brought him within twelve miles of the creature. If he got much closer than six, he would take evasive action (*Medusa*)." This hint that Falcon would, in principle, avoid getting any closer to the medusa–his readiness to act to nip any such possibility in the bud–has a special place in the events which soon follow, events to which Falcon brings a whole series of contexts for our consideration.

7. Noumen and Phenoumen

The events described in the chapter "Prime Directive" are different from those we have considered up to now because they suggest that, for the first time, both protagonists in the encounter are aware of each others' existence. Right up to the moment when one of the medusae unexpectedly appears immediately above the space capsule, only the human was reliably aware of the encounter with the alien. The mantas and more distant medusae showed no signs at all of having noticed the tiny earthling spacecraft. Unfortunately, there are very meager data on the circumstances which nevertheless caused one medusa to "spot" the alien in its world.

For this occasion, Clarke suddenly introduces a constructional defect in the Kon-Tiki: its large silver balloon prevents the area above the craft from being inspected either optically or by radar. This unfavorable technical circumstance allows Falcon and the strange inhabitant of the terraced

clouds to find themselves in direct proximity, enabling the medusa to "react" to the Kon-Tiki's presence.

In fact, except for mere chance, Clarke has no other option at his disposal: this momentous convergence could not have happened on Falcon's own initiative without contradicting the essential features of his psychological makeup presented so far.

On the other hand, if the initiative had been ceded to the medusa, Clarke would have made a big mistake with regard to the logical coherence of his novella: in his role of the omniscient storyteller who conceives his heroes and predicts their actions, he would have stepped much further onto the plane of the noumenon of the strange inhabitants of the Jovian atmosphere. To do so would seriously impair the basic assumption underlying the type of storytelling demanded by the motif of "first contact".

All the subsequent events follow as the outcome of certain "actions" by the medusa, but there will be no foundation for concluding their real nature more reliably or in greater detail. Regardless of this uncertainty, however, there are two significant circumstances which force Falcon to react in a specific way to the particular "initiative" of the "monstrous bag of gas", even though the provisions of the Prime Directive are sharply opposed to such reactions.

Above all, at the moment of direct encounter, Falcon's fear of losing his human identity is again aroused by the particular circumstances that precede the appearance of the medusa above his capsule: Before he discovers the actual presence of the medusa in his vicinity, he is faced with a dramatic, though indirect, hint of its appearance, for which he is at first unable to find any explanation. The gigantic "oval mass" that looms above his craft causes darkness to fall suddenly over the surrounding area, even though there remain several more hours to sunset.

This unpleasant optical puzzle soon receives acoustic clues. From somewhere out of the immediate vicinity–and no longer through the radio link–Falcon begins to hear without any warning or announcement a spectral, cacophonous crescendo of medusa "noise" with which "the whole capsule vibrated like a pea in a kettledrum" (*Medusa*). This rise in tension finally removes the last ambiguity from Falcon's attitude towards the "monstrous bag of gas", leaving room only for overwhelming fear.

The second important circumstance influencing the direction of Falcon's actions, linked to his emotional state, is the very vagueness of the medusa's actions which allow contradictory interpretations.

The process which we can conditionally designate as an "attempt to make contact" between the medusa, as the "initiator", and Falcon, who is reacting to this "initiative", is in four separate phases, the common denominator of which is the identical nature of the actions of the "monstrous bag of gas": that is, it makes a special kind of "approach" in which Falcon primarily perceives a reliable indication that the medusa is aware of his existence. The first phase begins when a fence of thick tentacles suddenly descends around the capsule, the climax of the tension that has been growing ever since the surprise eclipse.

In the process of responding to this initiative by the medusa, Falcon finds himself choosing between two principal models of reaction: the noumenal and the phenomenal.

The first model specifies his response on the basis of a particular interpretation of the action of an alien creature–an interpretation that implies the possibility of noumenal knowledge of the medusa. The second model does not attempt to comprehend the alien's intention, and thus does not specify the direction of response but confines itself to establishing what should not be done. This is not, however, because that sense could not possibly be reached a priori, but because it contains too many unknowns to establish the actions to be taken. Here, the problem of getting to know an alien being on the level of noumenon is not posed at all. Falcon's consciousness, dominated by fear, corresponds to the noumenal model, while the phenomenal model is embodied in the Prime Directive.

Although both these models are available to Falcon immediately before the medusa's action, he does not make a choice based on a process of sensible elimination, but instinctively opts for the possibility that has prevailed in his consciousness up to now and that envisages a specific response. In deciding with a "lightning-swift movement" to pull the rip-cord of the balloon and thus, without aforethought, to escape the embrace of the medusa's tentacles, Falcon simply succumbs to the effect of renewed and strengthened fear. From this perspective, the medusa's action could only be interpreted as aggressive and could only have been responded to by a hasty retreat.

The later events on Jupiter also remain completely part of the noumenal model of Falcon's reaction to the initiative of the "monstrous bag of gas", and this results in their outcome being the same as in the first case. Nevertheless, although he always responds to any approach by the medusa by retreating, he is twice in a position to react from the point of view of the phenomenal model.

The first such occasion arises in the second phase of the "attempt to make contact". The medusa "responds" to Falcon's escape by coming still closer, but then suddenly stops at a distance of less than a mile above him. It is only this complete cessation of activity by the creature that allows Falcon to come out of his cocoon of fear and consider the medusa's initiative from another angle.

Falcon's reflection on the causes which might have prompted the bizarre inhabitant of the Jovian atmosphere to keep itself at a certain distance includes both the noumenal and phenomenal models which were previously available when he attempted to learn about the strange creatures. "Perhaps it had decided to approach this strange intruder with caution; or perhaps it, too, found this deeper layer uncomfortably hot (*Medusa*)."

In the first interpretation, the medusa's activity is interpreted from a noumenal perspective, as shown unambiguously by the words "decided" and "with caution". The second, phenomenal interpretation does not pretend to penetrate to the possible inner motives for the medusa's action, but is limited to external physical explanations. Although this phenomenal interpretation is seemingly more reliable than the noumenal one, it is significant that it appears only when the medusa is not attempting to make contact.

Confronted with such a limited field of action, Falcon remembers Dr. Brenner's warning about the provisions of the Prime Directive. At that moment, Falcon recalls a television discussion between a space lawyer and another astronaut:

> After the full implications of the Prime Directive had been spelled out, the incredulous spacer had exclaimed: 'Then if there was no alternative, I must sit still and let myself be eaten?' The lawyer had not even cracked a smile when he answered: 'That's an excellent summing up' (Medusa).

Here, the lack of a phenomenal model of behavior towards aliens during first contact is finally made concrete. Because the Prime Directive limits itself to giving instructions exclusively about the things which should not be done–and first contact intrinsically requires some action, if only in responding to the initiative of the other party–it is obvious prescription on the level of phenomenon is insufficient.

Its value remains until the need for direct action arises, after which it is unable to offer any kind of plan. In this it differs from the noumenal model

that does indeed suggest a certain plan, but its validity remains completely overshadowed by the distorting effect of anthropomorphism. The final abandonment of any attempt to reciprocate using the phenomenal model follows immediately in the third phase when the medusa again goes into action. This time its initiative is most clearly an "attempt to make contact", but Falcon's fear has already caused him to ascribe an a priori aggressive nature to all "overtures" by the opposite side.

This is best shown by the association aroused in Falcon's consciousness by the unexpected elongation and descent of one of the medusa's tentacles towards the Kon-Tiki. "As a boy he had once seen the funnel of a tornado descending from a storm cloud over the Kansas plains. The thing coming toward him now evoked vivid memories of that black, twisting snake in the sky (*Medusa*)."

Whatever it actually represents, this step by the medusa means only one thing to the astronaut: an attack, directly manifested through an assumed attempt by the creature to "eat up" the Kon-Tiki. Falcon's response is thus to "frighten" the bizarre Jovian inhabitant so he can gain time to retreat. But since this retreat has to be a final one, he hesitates for a moment, waiting for Dr. Brenner's opinion. And now follows the key moment that at last gives practical confirmation of the inappropriateness of the Prime Directive to the purpose for which it was intended. Both before and during the medusa's initiative, the exobiologist has remained strictly faithful to the phenomenal model of reciprocity. Now, when he finds himself for the first time in a situation where he cannot simply decide what should not be done but must propose some direct plan of action, he has nothing to say to Falcon's decision to withdraw even though it is contradicts the Prime Directive.

After the decision to withdraw becomes irrevocable, it seems to be the end of the drama on Jupiter. The specter of fear has prevented Falcon from responding to the medusa's initiative in any other way than by retreating. And indeed, he immediately starts up the engine ignition sequence which will finally take the space capsule out of the atmosphere of the huge planet. Clarke, however, does not allow the actual take-off to happen immediately but again resorts to a special "external intervention".

It turns out that a full five minutes has to elapse from the start of ignition to lift-off. The author absolutely needs this time, for two reasons: First it allows the fourth phase of the "attempt to make contact" in which one arrives closest to the level of noumenon in understanding the alien. Second,

it creates the conditions to remove the burden of anthropomorphism from Falcon (a process which, however, cannot in the given circumstances be reflected in any way in the immediate action.) Without this unburdening, the final preponderance of the cyborg side of his dual identity would remain unexplained–a goal that is reached in the last chapter of the novella, which takes place back on Earth.

In the short span of time before the Kon-Tiki's ram-jet fires at full strength, there twice come physical touches between Falcon and the medusa. First, the medusa's tentacle "very gently rocked the Kon-Tiki", and soon after, "a large, heavy hand patted the balloon" (*Medusa*).

In both instances, Clarke deliberately shows the nature of the action of the "monstrous bag of gas" from the point of view of the human protagonist, so as to avoid the danger of the "omniscient story-teller" encroaching on the plane of noumenon of the alien. The expressions "very gently" and "a large, heavy hand patted" have meaning only for Falcon and not for the medusa. In this way the medusa's level of noumenon remains inviolate, but Clarke nevertheless succeeds in defining in the most accurate way up to now the nature of the creature's initiative, which is needed in order to arouse a particular reaction from the Falcon.

At first, Falcon tries not to pay any attention to the presence of the medusa's tentacle but when, on the second occasion, its inaggressive "patting" on the balloon becomes quite unmistakable, he can do nothing else but for the first time openly allow the possibility that the bizarre Jovian creature does not have an unfriendly attitude towards him: "Of course, Brenner might be perfectly right. Perhaps it was just trying to be friendly (*Medusa*)".

And now follows the key moment of the whole novella. Thinking how to respond to this action of the medusa in which–burdened no longer by fear, just because of the very short time still remaining for him to spend in its vicinity–he perceives undoubted signs of a special wish for friendly contact, Falcon suddenly arrives in a blind alley. It becomes clear to him that anything he can do, even in this case, would be extremely inappropriate and laden with anthropomorphic limitations, albeit different ones to those produced by a negative emotional attitude.

"Maybe he should try to talk to it over the radio. Which should it be: 'Pretty pussy?' 'Down, Fido?' Or 'Take me to your leader (*Medusa*)?'"

The unambiguous irony in the second sentence simultaneously reveals two important things. On the one hand, Falcon has realized that the model

of reciprocation offered him by parochial earthly experience–the possibility, that is, of a choice between a subordinate ("Down, Fido") or a superior or at least equal ("Take me to your leader") status for the alien being–becomes quite superfluous on a cosmic scale. In the context of Earth, "heterogeneity" is understood in a naively parochial way, as a mere difference in degree of homogeneous development. In this understanding, the possible essential and unbridgeable difference between truly heterogeneous (alien) beings are overlooked.

On the other hand, this very realization of the impossibility of establishing any kind of contact, even when the fear of attack is removed, finally tips the scales in the transformation of Falcon. The last phase of his withdrawal from the medusa, even though it started somewhat earlier and under different circumstances, has lost the underlying fear of the creature that was always present. Now there is an awareness of the impossibility of establishing contact while any anthropomorphizing ingredients remain in him.

Only in that light can one understand the real meaning of the sentence which Falcon murmurs at the very end of the chapter "Prime Directive", when the atmosphere of the largest planet of the Solar System, with all its threats and promises, is already far below him: "Some other time (*Medusa*)."

This "some other time" presupposes another, new, Howard Falcon, no longer burdened by anthropomorphic contradictions, who has at last attained his new, cyborg identity and has been liberated from the deficiency which stands in the way of the human race making contact with truly alien beings. Clarke does not in fact give much data about the advantages a cyborg has over a man in making contact with alien cosmic creatures, except that the cyborg would not be burdened by anthropomorphic contradictions. After all, anything like that would have gone beyond the scope offered by the framework of the story, since embarking on a closer analysis of Falcon's new identity would be as dangerous for the coherence of the work as an attempt at the noumenal conception and presentation of the Jovian medusa.

From the point of view of human participants in the work and the omniscient storyteller, the cyborg is as alien as the medusa, which means that Clarke had to be very careful as to what extent he could approach its noumenon. In the case of the cyborg, Clarke indeed did not need "external interventions" as with the medusa, because the basic story line could be

developed right to the end without getting any closer to the noumenon of Falcon's new identity. The central meaning of the work was finally formed when it at last became clear to Falcon at the very end of the mission that any attempt at making contact with the medusa was destined to fail in advance, and would do so until he has transformed completely and thus freed himself from anthropomorphic restraints.

8. Conclusion

Consideration of "A Meeting with Medusa" has enabled us to arrive at the final conclusions of our investigation. It has primarily been centered on the problems linked with the possibilities of conceiving and presenting nonhuman characters from the point of view of the omniscient story-teller, in those science fiction works with the first contact motif that are not parables.

We have seen that, in the novella we have been examining, contact between the earthly astronaut and the Jovian medusa could not have been made for two reasons.

On the one hand, such an event could not have taken place on Falcon's initiative, since anything like that would seriously impair the coherence of the psychological portrait of the pilot and of the work as a whole. On the other hand, the coherence of the work would have been seriously brought into question if contact had been achieved by the eventual initiative of the medusa, bearing in mind that, in this case, Clarke, in the role of omniscient storyteller, would have inevitably had to step onto the plane of motive, that is, of the noumenon of the heterogeneous entity, and would have thus violated a basic rule of the narrative.

But, although there has been no contact, Clarke, as omniscient storyteller, has nevertheless succeeded in getting closer to what we have designated as the level of noumenon in conceiving and presenting a nonhuman character. This was possible in the first place because Clarke resorted to what we have termed "external interventions" during the narrative procedure. These "interventions" represent special kinds of adjustments at the edge of plausibility, and they are used in the story in five particular places.

In the first two cases, Clarke from the very start stifles in Falcon a short-lived and hazily positive emotional attitude towards the "monstrous

bag of gas"–an attitude which would in the long run have inevitably led to contact–in the way he abruptly introduces changes of situations. The first time involves the unexpectedly aggressive response by the medusa to the attack by the mantas, which strongly activates a mechanism of fear in Falcon. The second time Falcon's emotional wavering towards the medusa is replaced by an attitude which is fundamentally against making any contact is the sudden appearance of one of the gigantic creatures immediately above the Kon-Tiki.

The way in which the medusa and Falcon come closer to each other represents the third place at which an "external intervention" by Clarke saves the coherence of the novella. As we have seen, for this purpose, the author introduces a deficiency in the design of the space capsule with the obvious intent of showing that the above-mentioned convergence takes place accidentally–the only possible way, in the logic of things.

The fourth intervention is to leave to the medusa the special "initiative" in the four phases of the "attempt to make contact". Although the creature's actions are conceived in such a way that they do not at all suggest any possible reaching out by the omniscient storyteller to the plane of noumenon of the "monstrous bag of gas", they nevertheless display certain characteristics which dictate Falcon's irrevocable decision to withdraw, in the grip of a strong tide of fear.

It was just the necessity of such a response by Falcon that was for Clarke a reliable warranty that leaving the "initiative" to the medusa would not result in a contact that would seriously bring the coherence of the work into question. From the very beginning, in fact, Clarke created the psychological portrait of his hero in such a way as accords with this role.

In the process of examining to what extent it is possible, from the point of view of the "omniscient story-teller", to come closer to the noumenon of a nonhuman character, Clarke establishes that it does not suit him to have a character who is indubitably a man (that is, an anthropomorph) as the second participant in a "first contact" situation. For, as is convincingly demonstrated by the example of Dr. Brenner, who has no plan of action at the crucial moment, the necessity of withdrawal in the face of the medusa's "initiative" would not then have been warranted, an act which is the only thing that can save the coherence of the work. Only a special kind of transitional form suited this purpose, a form possessing exaggerated anthropomorphic characteristics, but also suggestions of a new, nonanthropomorphic status.

The particular half-cyborg nature of Howard Falcon thus represents a necessity that dictates the development of the central Jupiter episode in "A Meeting with Medusa". In addition to the considerably greater narrative space devoted to it, another factor that increases its importance is that some particular points from the episodes which take place on Earth can only be understood in the light of the events that unfold on Jupiter.

In this sense, the best example is the central symbol itself–that of the medusa–which only becomes functional at the very edge of plausibility, that is, when it is established that Clarke needed not only a cyborg but that kind of cyborg in whose consciousness a negative symbolic bridge could be established between the complex moment of transition from human to cyborg identity and some of the phenomenal, explicit features of the heterogeneous entity (form).

The psychological makeup of the main character is especially expressed in the fifth and last "external intervention" by the author, when the closest approach to the level of the noumenon of the heterogeneous protagonist is achieved from the point of view of the "omniscient story-teller". To make sure of an opportunity for realizing the "most intimate" degree of encounter between the earthly astronaut and the medusa, in circumstances where there is no longer any "danger" of actual contact, because the decision to withdraw has already been made, Clarke again manipulates the design of the Kon-Tiki.

This time, the "external intervention" involves the particular way the capsule engines work–they need a whole five minutes to reach full power. It is the very shortness of this interval, as well as Howard Falcon's perception that he is still not mature enough for contact, that each of his interpretations of the medusa's initiative will be based on anthropomorphization, until he has been taken over by his new, cyborg identity, which allows the author to ascribe one action to his nonhuman here–the "gentle rocking" and "patting" of the balloon–that in any other case would represent unwarranted reaching out for the plane of noumenon of the alien entity on the part of the omniscient storyteller.

Further than that–at least so it seems to us–one cannot go. The number of "external interventions" is even here on the very edge of what is permissible: their repeated introduction, with the aim of possible continuation of investigation of the possibilities of getting closer to the noumenon of the alien entity, would only have made an unconvincing construction out of a coherent and stable story. There is no doubt that

Clarke was honestly sensitive to that intervention and did not allow himself further stretching of the bounds of probability.

But even in the framework within which he stopped, he succeeded in writing a work which, with regard to the noumenal conception and presentation of a nonhuman character, has almost no match in the science fiction stories of "first contact".

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ТЕМА ПРВОГ КОНТАКТА У ДЕЛИМА НАУЧНЕ ФАНТАСТИКЕ АРТУРА КЛАРКА

Сажетак

Аутор разматра тему првог контакта у прозним делима енглеског писца Артура Кларка. Главна особеност ове теме јесте постојање две генерички различите врсте судеоника: људских и не-људских, а основна недоумица у вези с њом јесте да ли се уопште може замислити не-људски ентитет који не би био у мањој или већој мери антропоморфан. Ова недоумица јавља се у оквиру две различите антропоморфне оптике које могу постојати у једном прозном делу. Једна је перспектива људских

ликова, а друга самог аутора, односно свезнајућег приповедача. Испитивањем четири Кларкова понајбоља дела с мотивом првог контакта – прича „Извештај о планети три“, „Крсташки поход“ и „Час историје“, односно новеле „Сусрет с медузом“ – уочавају се три типа антропоморфизма: антропоцентризам, антропошовинизам и антропоморфизам у ужем смислу. Аутор закључује да се Кларк у новели „Сусрет с медузом“ приближио колико је то уопште прозно могуће грађењу лика једног нељудског ентитета који није оптерећен антропоморфним атрибутима.

Кључне речи: Први контакт, хетерогени ентитет, антропоцентризам, антропошофинизам, антропоморфизам

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POPULAR VIOLENCE IN J.G. BALLARD'S *COCAINE NIGHTS* AND *SUPER-CANNES*

Abstract
Popular culture in the contemporary sense of the term is closely connected with consumerism. According to John Fiske, popular culture is a culture contradictory in itself. In his set of dystopian visions of a Europe set in the near and, as it appears, unavoidable future – *Cocaine Nights* and *Super-Cannes* – J.G. Ballard presented two capitalist utopias. Like most critical utopias, these novels contain some dystopian elements, and this paper attempts to portray the novels as a presentation of a world where money and progress are the two undisputed authorities. After a separate analysis of both settings, the conclusion is reached that in these two novels the popular culture is the culture of violence used to fight the established system.

Key words: popular culture, popular violence, consumerism

1. All is not well in dreamland – Introduction

It's a love story for the new age, for the sixth page
We're on a quick, sick rampage – wining and dining, drinking and driving
Excessive buying overdose and dying
On our drugs and our love and our dreams and our rage
(Lana Del Rey, "National Anthem")

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J.G. Ballard is notorious for his dystopian visions of the future. His depictions of the world of tomorrow are predominantly grey, full of random violence, with characters who are selfish, introvert, perverted, but also rich and powerful. Two novels of his that present such a world have been selected for analysis in this paper – *Cocaine Nights* and *Super-Cannes*. These novels are naturally discussed together, due to the similarity in their contents and narrative. Both present modern-day capitalist utopias and both provide images of a world many people would gladly choose to live in. At the same time, both stories articulate a dire warning that humanity is heading towards utter degradation and the twilight of civilization and life as we know it.

At first glance, these two novels are critical utopias, and might be discussed as such. On the other hand, they could also be treated as dystopias due to their bleak visions of the future; like most critical utopias, they contain dystopian elements. While all these approaches would present an interesting direction for analysis, a different path has been chosen here, one that becomes quite apparent when one glances merely at the title pages of these two books. The immediate association one has upon looking at them is the novels' connection with popular culture and consumer culture. The first title, *Cocaine Nights*, combines two words with the immediate connotation of a "good time" – *cocaine* – the expensive and notorious pleasure booster, and *night* – the time of day when pleasurable or illicit acts take place. If we only heard this title read out loud, it could also sound like Cockaigne nights, which would also be a suitable title for this story due to the commercial paradise and carefree lifestyle it portrays. The second title, *Super-Cannes*, echoes the glamour of the Côte d'Azur, with its famous beaches, celebrities and cultural events, combined with the emphatic notion of *super*. This geographical name has its equivalent in real-life French geography, as the author informs us at the beginning of the novel, but this would make no difference with regards to the first association.

Popular culture, as John Fiske defines it, is contradictory in itself (2010: 4). It belongs to the "masses" and fights the "system" at the same time. Popular culture belongs to the oppressed and the underprivileged. Popular culture is "a site of struggle" (Fiske 2010: 17-18) and should be clearly differentiated from what is considered to be "valuable" and "art" in the world of those who define these categories and distance themselves from them. In his book titled *The Practice of Everyday Life* Michel de Certeau states that "people have

to make do with what they have" (De Certeau 1998: 18). Those who do not belong to a minority elite and who are not well-off have to find ways to incorporate in their popular culture things that are available and relevant to them, and things to which they assign a meaning. "To be made into popular culture, a commodity must also bear the interests of the people (Fiske 2010: 19)." The popular commodities then often come to represent an instrument of fight against the imposed order.

This fight is always silent, almost hidden, and it provides an immeasurable level of satisfaction to the parties concerned. In such situations, it is of vital importance never to give up, and fighting against the system by means of popular culture provides a perpetual battlefield and limitless means. It is very important, in all social struggles, to have "not only a sense of *with whom*, but also of *against whom*" (Fiske 2010: 20). In the context of the underprivileged and the oppressed, the system/ established order of affairs is the *whom* they are always fighting against. According to Fiske, "without the textual reproduction of the power that is being struggled against, there can be no relevance" (2010: 21).

The two isolated societies portrayed in *Cocaine Nights* and *Super-Cannes* cannot be by any means thought of as belonging to the oppressed and the underprivileged. On the contrary, the two communities presented in the novels are financially taken care of and boast freedom and a state-of-the-art system of regulations which they believe is the right path to a happy future. Their inhabitants live without a care in the world, and at first sight everything seems to be functioning perfectly. Yet, as the stories progress, it comes to one's attention that behind the carefree existence and perfect surface there is a dark authoritarian regime where money and work are the only gods. While in real life it is usually the poor and the underprivileged who feel oppressed, in these novels the author describes a situation where the rich feel that they are oppressed by the perfect state of affairs and that there is no way out of the imposed system which offers them nothing but boredom and a slow death of the psyche. The system draws them in like a vacuum and they are trapped and cannot escape.

If we were, then to talk about the popular culture in these communities, boredom and death of the mind would be the authoritative forces that make the residents of Estrella de Mar and Eden-Olympia underprivileged and oppressed. The world of the popular "struggle" is turned upside down in this context. It is not the poor who have to fight, but the carefree and rich. But let us first take a look at the story lines of these two novels.

Cocaine Nights is the story of a wealthy retirement community situated on the coast of Spain, in an artificially built leisure spot for the rich, conveniently named Estrella de Mar. The story opens with Charles Prentice, a writer and world traveller, whose profession is "crossing frontiers" (Ballard 1996: 9). Charles arrives in Estrella de Mar to investigate the circumstances under which his brother Frank was incarcerated after confessing to arson and murder. We find out that a terrible tragedy took place in this idyllic setting – fire was set to the Hollinger mansion, and five people were killed. At the beginning of the story, it appears to the reader that there might be a simple explanation for the deaths, and that all it takes to resolve the mystery is finding the madman/madmen who committed this crime. As the story unfolds, however, it turns out that nothing is as simple as it seems. We find out that the entire community of Estrella de Mar is drawn into a web of crime and sexual perversity, and that this is an accepted and praised manner of survival. The story's ending gives us the impression that Charles too has been caught in this intricate web, which further proves the strength of the proposed system.

Super-Cannes tells a similar story, which is why it is mentioned earlier in the paper that these two novels are naturally analyzed together. The plot is set in France, on the Côte d'Azur, in, again, an artificially created corporate community, a business park called Eden-Olympia. The setting is quite idyllic, overlooking Cannes and the magical world of the Croisette. The local workforce is so immersed in its work that they have forgotten how to relax and they have no imagination. The main protagonist is a former RAF pilot Paul Sinclair, who arrives from England to live in Eden-Olympia because his young wife Jane has been offered a job at the local medical centre, having been invited to replace a former colleague, Dr David Greenwood, who apparently lost his mind one morning and went on a shooting spree killing ten people for no apparent reason. Again, as in *Cocaine Nights*, at first it seems that Dr Greenwood might have been framed, and that some aspects of the crime might have been hidden by the local police, but all this remains in the background when Paul starts to find out about the secret, dark world of violence and perversity which underlies the calm surface of the corporate community. The story's ending again presents the main protagonist walking in the footsteps of the man whose dark fate he investigated, which once again proves the strength of such a proposed system.

Aside from the obvious differences – Spain and France, a community of retired people and a business park, a fire and a shooting spree – the two novels have a lot in common. They both portray a frightening possibility of what the capitalist world might become in the near future. The people living in the two communities literally have everything – they lack no means, and live in spacious villas and beautiful surroundings. While the retired find pleasure in their rest and relaxation, those working find pleasure in constant work. The underlying threats in both these communities are, as it has already been mentioned, boredom and death of the senses and the mind. Self-declared well-wishers in these communities come up with a bizarre way of dealing with these threats – committing acts of random violence. Involvement in crimes and sexual perversity are ways of "staying alive". The consumer heaven in which these people live, turns into hell for a few hours daily, just to keep everyone awake and alert.

Such a vision of the future is alarming in more ways than one. In the described circumstances, the 'old ways' are forgotten and the revolutionary development leads towards an irreversible path of destruction. As James Fitchett put it:

> Ballard is implying that capitalism and the long term survival and growth of markets will come to rely on *measured* and *managed* violence, perversity, and psychopathy. His post modern argument is in some senses a total rejection of the moral concerns popular in the early twentieth-century (2002: 314).

In Ballard's world, there is no indication that anyone reminisces about the 'good old days', the only thing that matters is the present and the future, however dark they may be. Violence and perversion win hands down. There is no voice of reason, those who are not participating are mere spectators. By examining these forms of capitalism and consumerism that lead to violence, one is naturally led to conclude that in these novels popular culture turns into popular violence.

It has already been mentioned that in everyday life people have to make do with what they have (De Certeau 1998: 18). Faced with the threat of a certain death of the soul, the consumers of the future who are presented in these novels find an alternative manner of entertaining themselves and opposing the system. Further on, since "popular culture is made by the people" (Fiske 2010: 10) relevant is what they themselves choose to be so. Ballard has provided us with a dark and frightening idea

that, under the right circumstances, violence can be relevant, and become relevant. Paradoxically, in these two novels, morally unacceptable violence becomes a popular and widely accepted form of resistance.

In this sense the two stories can at first sight appear to be two detective novels, and both have been defined as such – "*Cocaine Nights* comes at you like a conventional 'all-is-not-as-it-seems' whodunit. But all is not as it seems (Bright 1997)" and "…in *Super-Cannes*…we might identify the author of …the detective novel, the tender travelogue and the supremely subtle parody (Clark 2000)". Nevertheless, the mystery aspect remains weak in comparison with the other impressions one is left with after having read the novels through. In the text that follows we will try to present the process through which in these two novels popular culture turns into popular violence.

2. Burning in the flames – popular violence in *Cocaine Nights*

Come and take a walk on the wild side,
let me kiss you hard in the pouring rain
You like your girls insane
Choose your last words, this is the last time
Cause you and I, we were born to die
(Lana Del Rey, "Born to Die")

"And then what? asks Ballard. What happens when the boredom sets in? What do you do when the good life starts to look like a living death (Bright, Internet)?" At the very beginning of the novel, the main protagonist, Charles Prentice ponders over how dull modern living has become – people constantly travel, without having the sense of where they are heading: "We arrive at an airport identical to the one we left, with the same car-rental agencies and hotel rooms with their adult movie channels and deodorized bathroom, side-chapels of that lay religion, mass tourism (Ballard 1996: 10)."

When he talks to his brother Frank, this idea about travelling and getting nowhere is further developed. When Frank asks him whether he actually arrives anywhere with all that endless travelling, Charles replies: "It's hard to tell – sometimes I think I've made jet-lag into a new philosophy. It's the nearest we can get to penitence (Ballard 1996: 25)."

On the other hand, one can conclude that perhaps some people prefer to live life this way, isolated from the world, and free to do as they please and not be judged by anyone. When Frank talks about Estrella de Mar, he tells Charles: "It doesn't really exist. That's why I like the coast. I've been looking for it all my life. Estrella de Mar isn't anywhere (Ballard 1996: 17)."

The introduction of these ideas serves one sole purpose – and that is to show how in this world of the future human existence has become limited, and how certain ideas are presented as the only ones possible. As it has been mentioned before, it is in such systems that systematic revolt surfaces, and there is emergence of a constant struggle.

The notion of the two resorts described in this novel is developed gradually; at first it seems that these places are a dream come true. "However modestly, a happier twentieth century had rediscovered itself in this corner of the Costa del Sol (Ballard 1996: 66)."

However, the dreams and promises of a happier future are quickly cast aside when the main protagonist starts to find out about a deviant underworld of crime which exists parallel to the shiny surface world: "Money, sex, drugs. What else is there these days? Outside Estrella de Mar no one gives a damn about the arts. The only real philosophers left are the police (Ballard 1996: 117)." At one point in the novel, Dr Sanger actually compares the real Estrella de Mar to the underworld (Ballard 1996: 174). The three pillars of regime are drugs, gambling and illicit sex. And although lawyers, musicians, advertising and television executives, management consultants and local government officers live at the Residencia Costasol, it is described as "the netherworld" (Ballard 1996: 284).

At certain points, it seems almost as if there is an explanation for such behaviour – the prospects of happiness are marred by the existence of an invisible but impending threat – that of boredom and a death of the brain: "Here on the Costa del Sol nothing would ever happen again, and the people of the pueblos were already the ghosts of themselves (Ballard 1996: 75)." The residents of the Costasol complex are on the right side of fifty, they are retired, they cashed in their share options or sold their partnerships and made the most of a golden handshake (Ballard 1996: 218). Everything points to the necessity of them being quite happy, but Charles notices that: "The Costa del Sol is the longest afternoon in the world, and they've decided to sleep through it (Ballard 1996: 218)." Furthermore, the residents seem to be resolved about their fate: "The people of the Residencia had not only

travelled to the far side of boredom but had decided that they liked the view (Ballard 1996: 239)."

It seems that if nothing is done, the consequences could be devastating. The offered alternative does not seem less scary, but nevertheless, it is a revolt of the people. They praise violence as they would praise a celebrity – they cannot live without hearing about it, seeing it, taking part in its existence and development. Ballard reaches out for biblical motives to describe the severity of the state of affairs: "…what else is there to do in paradise? You catch the psychoactive fruit that falls from the tree. Believe me, everyone here is trying to lie down with the serpent (1996: 89-90)."

What adds to the surface glamour of this bizarre picture are the numerous brand names which Ballard artfully introduces in the right places. It is difficult not to like a place that resembles the Sixteenth Arrondissement, Holland Park, the Left Bank, Bel Air, Chelsea, Greenwich Village of the 1960s, a place where people wear Rolexes, listen to Vivaldi and Mozart, sit on Eames chairs and read *The New Yorker*, *Le Monde*, *Libération*, *Herald Tribune*, *Financial Times*, *The Economist*.

Certain expensive brands of cars have their special place in the story, so no one simply drives, enters or leaves one's *car*, Ballard is always very specific: for the poorer folk – the visitors and the different agents or employees of various institutions, there is the Chevrolet, the Renault, the Citroën, the Seat, the Saab, and for the richer ones the sky is the limit, as they say – the novel's car park has a wide diversity of automobile industry jewels: an Aston Martin, a Bentley, a Jaguar, a Porsche, a Mercedes, a BMW. The Range Rover, with its outdoor style, always adds to an atmosphere of action. For car lovers, the entire book resembles a car catalogue, and, for the connoisseur, each of the cars tells us different things about a certain character. The role and purpose of cars in the text could be an interesting topic for further study.

The colourful array of characters in the novel has the vividness of a Shakespearean plot: in addition to Charles, who, until the very end, is a mere spectator of events, in spite of being the main protagonist, and his brother Frank, who is incarcerated in Marbella and facing a thirty-year sentence, it is these life-like and deeply corrupted characters that give us the impression that *Cocaine Nights'* scary scenario could really happen in a world not so far removed from our own. To mention only some – there is Bobby Crawford, a psychopath or a saint, a new kind of Messiah, the Imam of the marina, the Zoroaster of the beach umbrella, an abused child who

grew up to become a man who believes that psychiatrists tried to steal his soul. He is an obvious example of modern-day obsessions and delusions people are facing. Then there is Elizabeth Shand, the evil mastermind behind the deadly scams, but there are also the victims of the great fire in the Hollinger mansion: Anne Hollinger, the wannabe actress, the former drug addict, the raped bride from the home video, Alice Hollinger, the former film producer's wife, a former actress who burned to death in bed with her male secretary, Roger Sansom, who was holding her shoes at the moment of death (shoes again being an obvious symbol of popular culture and fetishes) and the pregnant Swedish maid Bibi Jansen who died in the fire, in the bathtub, side to side by the host, the ex film producer and Alice's husband, Mr Hollinger (a couple that obviously represents the modern-day decomposing of the family union).

These people are the originators and builders of the uniquely corrupt and violent world of Spanish resorts. Some are the victims, some are the culprits, but they are all oppressed by the surroundings they live in. In Ballard's words, such places are intimations of the future: "Leisure societies lie ahead of us, like those you see on this coast. People will still work – or, rather, some people will work, but only for a decade of their lives. They will retire in their late thirties, with fifty years of idleness in front of them (1996: 180)." Ballard's scenario could be an epilogue of the state of affairs that exists in the world today, because, whether we are aware of it or not, everything in modern-day societies has changed. In his own words: "Everything comes sooner these days. The future rushes towards us like a tennis player charging the net. People in the new professions peak in their late thirties (Ballard 1996: 176)."

In this novel the people are powerless to stop these changes, even those who are not entirely resolved about their fate. They *have to* forget who they are and where they came from in order to come to terms with the imminent threat of living death. The main advertiser of the new system, Bobby Crawford, tells Charles that "on this coast the past isn't allowed to exist" (Ballard 1996: 207). At the Residencia Costasol, according to him, the residents are "waiting for a new kind of light" (Ballard 1996: 213), they are "refugees from time, […] living in the *'fourth* world'" (Ballard 1996: 216). Charles observes that Residencia Costasol is: "…an accident. This is where the late twentieth century ran into the buffers (Ballard 1996: 235)."

The wake-up call intended to be a form of resistance is promoted and organised by Bobby Crawford. It consists of random violence and

trespassing into the formerly forbidden. As Dr Sanger mildly puts it, "Crawford likes to keep the pot stirred, but sometimes he goes too far" (Ballard 1996: 173). The overall promotion of violence includes collective partaking in burglaries, rapes, break-ins and petty crimes with the sole purpose of causing anxiety. Everyone seems to be in on the conspiracy, and everyone finds the anxiety exhilarating, freeing, and empowering. David Hennessy notices how it is, "curious how a few robberies can be a boost to business. People get nervous, you know, and start shifting their cash around" (Ballard 1996: 229). It seems that Crawford discovered "an elixir that would wake the world" (Ballard 1996: 327).

Crawford, as the main force behind the resistance, has developed an entire theory: "Crime has a respectable history – Shakespeare's London, Medici Florence. Warrens of murder, poisons and garroting. Name me a time when civic pride and the arts both flourished and there wasn't extensive crime (Ballard 1996: 261)." When Charles argues that the Acropolis certainly wasn't crawling with pimps and pickpockets, Crawford reiterates that the Greeks had slavery and pederasty (Ballard 1996: 261).

At first, it is hard for Charles to believe that Bobby Crawford's policy induced all the changes, he believes that they might be "a response to something no more radical than simple boredom" (Ballard 1996: 254). But, since the resorts are not ordinary, ordinary rules do not apply. The complex is "a private kingdom with its own currencies of mind and meaning" (Ballard 1996: 276).

The acknowledgement of violence and the statement about the response to boredom is clear evidence that Charles accepts that ordinary people are capable of such unimaginable deeds. Soon, he starts to realise "the point": "Crime and creativity go together, and always have done. The greater the sense of crime, the greater the civic awareness and richer the civilization. Nothing else binds a community together. It's a strange paradox (Ballard 1996: 281)."

As it has already been mentioned, in the end Charles is captured into the alluring net of widely accepted and popular violence for which everyone takes the blame. He is aware that everyone has to live with their guilt but is also aware that there is nothing to be done to escape it. And although towards the end of the novel Charles realizes that, with regards to the Hollinger fire: "A bonfire of private sub-poenas had taken place among its charred timbers, a tinder-blaze of those warrants we issue against ourselves, now never to be served and left to gather dust in their closed

files (Ballard 1996: 276)." At one earlier point in the text Ballard may have implied that some sort of otherworldly justice will come to all the victims; the burning sun on the Spanish coast is "a premonition of the last carnival blaze that would one day consume Estrella de Mar" (1996: 160).

3. Kill me, thrill me – Popular violence in *Super Cannes*

Everything I want, I have – money, notoriety and rivieras
I even think I found God in the flashbulbs of your pretty cameras
Pretty cameras, pretty cameras
Am I glamorous? Tell me, am I glamorous?
(Lana Del Rey, "Without You")

Super-Cannes tells the story of a European version of the silicon valley. In his novel Ballard created a magnificent corporate world of the future. Again, in Fitchett's words:

> Eden-Olympia is Ballard's representation of a capitalist utopia that exists according to the principles of the stock market, global capital flow, private enterprise and the knowledge economy. It is a physical metaphor for the ideals and aspirations of global capitalism and a manifestation of Western Europe's collective psychology of affluence, or more precisely, about the psychology of the individual who attains the ultimate objective of global capitalist culture: total fulfillment in work and play, power beyond the authority of the state, and absolute 'freedom' (2002: 311).

At the very beginning, the author informs us that among the romantic surroundings of the French Riviera: "Lured by tax concessions and a climate like northern California's, dozens of multinational companies had moved into the business park that now employed over ten thousand people (Ballard 2000: 5)." The tenants of the business park are large international companies: Mitsui, Siemens, Unilever, Sumitomo, French giants such as Elf-Aquitane, Carrefour, Rhône-Poulenc, along with smaller companies, investment brokers, bioengineering outfits, design consultancies. Ballard also mentions IBM Europe, Nippon Telegraph, Nissan, Chemical Bank, Honeywell, Dupont, Shell, Monsanto, Toyota. In his own words, Eden-

Olympia is an "ideas laboratory for the new millennium" (Ballard 2000: 16).

The story opens with a British couple, Paul and Jane Sinclair, arriving from Maida Vale because Jane has been offered a job in the local medical centre. Aside from the obvious financial reasons for the move, we find out that Paul's knee had been injured in a flying accident nine months before and he believes the Mediterranean environment will do him some good. We learn that his cousin Charles is taking care of the publishing house he runs and the editing of the two aviation magazines while he is away.

As in *Cocaine Nights*, in the beginning, when the Sinclairs arrive, everything seems perfect. The only thing that mars their happiness is the fact that Jane is replacing her former colleague and friend who lost his mind one morning and killed ten people – seven senior executives and three hostages. At the moment of their arrival, David Greenwood's ghost is "hovering above the artificial lakes and forests like the ghosts of Princip over Sarajevo and Lee Harvey Oswald over Dallas" (Ballard 2000: 9). The Sinclairs arrive to the business park only four months after the Greenwood killings, and all the memories are still fresh.

Although Jane thinks that Eden-Olympia is "disgustingly rich" (Ballard 2000: 28), she immediately tries and succeeds to fit into the "all work no play" programme. We find out details about the business park, which is a community of the future, with very strict rules: "Freedom was the right to paid work, while leisure was the mark of the shiftless and untalented (Ballard 2000: 46)." In contrast to that famous saying that all work and no play makes Jack a dull boy, Ballard tells us that "Eden-Olympia demanded a special type of temperament, committed to work rather than to pleasure, to the balance sheet and the drawing board rather than to the brothels and gaming tables of the Old Riviera" (2000: 81-82) and that "at Eden-Olympia work is the ultimate play, and play the ultimate work" (2000: 94). Here one can witness a distinct shift between what is usually meant under 'work' and 'play'.

This sort of system causes isolation and slowly but steadily Ballard starts to describe the true atmosphere, the undercurrent of the glamorous surface: "The glass and gun-metal office blocks were set well apart from each other, separated by artificial lakes and forested traffic islands where a latter-day Crusoe could have found comfortable refuge (2000: 7-8)." Intimate companionship and neighbourly relations have no place in Eden-Olympia: "The top-drawer professionals no longer needed to devote a

moment's thought to each other, and had dispensed with the checks and balances of community life (Ballard 2000: 38)." Again, there is mention of airports which take people to places but do not represent familiar ground: "People find all the togetherness they need in the airport boarding lounge and the department-store lift (Ballard 2000: 263)." There is also that distinct sense of non-belonging, which is evident when Paul tells us: "I knew we were very happy, but at the same time I felt that we were extras in a tourist film (Ballard 2000: 40)."

It is very obvious from the very beginning that this new Riviera has nothing to do with the old Riviera everyone knows and loves: "Picasso and Matisse have gone, and the business parks have taken their place (Ballard 2000: 103)." Ballard scatters details about the past, but for the reader this only induces a feeling of nostalgia for the "good old days", for in the story they are nowhere to be found. He mentions Scott and Zelda Fitzgerald drinking their whisky sours at the Château of La Garoupe, Graham Greene, Rita Hayworth, Greta Garbo, Joan Crawford.

While Jane is working for this new system, Paul is left with a lot of time on his hands, which he spends exploring. He is especially intrigued by the Greenwood story because, firstly, he keeps wondering whether David and Jane were lovers and, secondly, he is very uncomfortable because he and his wife have settled in David Greenwood's former home. As Paul starts investigating, as in Estrella de Mar, a dark world of crime and corruption erupts from a peaceful surface of a dormant community of the rich. At first, everything seems almost too calm: "Over the immaculate gardens hung the air of well-bred catatonia that only money can buy (Ballard 2000: 20)." However, the reader soon finds out that nothing is what it seems as "over the swimming pools and manicured lawns seemed to hover a dream of violence" (Ballard 2000: 75). A little later, Ballard almost playfully informs us, that, "there's some very rough touch rugby being played at Eden-Olympia" (2000: 81). Slowly, Paul starts to find out about an underworld of violence, and, as in *Cocaine Nights*, this violence is widely accepted, this time in the form of collective or group therapy. Paul finds out about the "ratissages" of self-help groups, a dark world of child pornography, fascist ideas, stolen jewellery, prostitution, armed robberies, murders, drive-by killings, drug-dealing, racist attacks, paedophile sex.

As in *Cocaine Nights*, once again the colourful array of protagonists makes the entire concept more believable. In the world of *Super-Cannes* the reader is introduced to:

a) Paul Sinclair, the former RAF pilot who is undecided about his attraction to thirteen-year-olds and who is hoping to one day "fly again".
b) Dr Jane Sinclair, the twenty-eight-year-old bisexual heroin addict who gladly becomes part of the violent system of Eden-Olympia.
c) Wilder Penrose, the insane psychiatrist who sees himself as the new messiah, an angry son who is troubled by the loss of his father and bad at anger management.
d) Pascal Zander, the thuggish, bisexual and corrupt police chief who uses a strong aftershave and attacks women sexually for fun.
e) Frank Halder, by his own admission, the person who killed Greenwood although he was the only person he truly loved in Eden-Olympia.
f) Frances Baring aka Delmas, the seemingly shy blonde who is the organiser behind most violent games.
g) Alain and Simone Delage, the sexually perverted couple who climb the violence ladder most quickly of all.
h) Don Meldrum, the Australian manager of Riviera News, a Fleet Street veteran with a drinker's puffy face disguised by a tennis tan, a man who appears at street corners out of nowhere and who may have an even bigger role in the "games" than it seems at the beginning
i) David Greenwood, the English doctor who starts to hate himself for what he has become, and decides that the price should be paid in blood.

The seven executives who were killed were also part of the criminal organisation of Eden-Olympia, as Paul finds out. In contrast to *Cocaine Nights*, where there is collective guilt for the fire even though one man lit the flame, in *Super-Cannes* David Greenwood is the one who single-handedly killed seven people, and was framed for killing a further three. Moreover, unlike Bobby Crawford who is the instigator of the collective rebellion and holds the main role in enforcing all the violence, in *Super-Cannes* one visionary and mastermind is behind the *idea* of collective therapy through violence.

What Ballard started in *Cocaine Nights* is further developed in *Super-Cannes*: the idea that only through engagement in violence can man

overcome his terrifying destiny of eternal boredom. Just like Estrella de Mar, Eden-Olympia slowly drew its residents into a web of living death. The residents worked on Sundays, they could not bear to be on holiday, they did not even have sex – according to Ballard, using biblical imagery once again, it was "an Eden without a snake" (2000: 258). They also started suffering from insomnia and depression, and when they did manage to sleep they started having dreams about violence and revenge, and Wilder Penrose came up with an idea of how to save them. He believes that the suppression of violence in modern society is not completely natural, because violence exists in the mind of every human being.

According to Penrose, this world of recreational crime and raiding parties is totally acceptable because, as he explains to Paul: "The people at Eden-Olympia aren't mad. Their problem is that they're too sane (Ballard 2000: 248)…" Penrose talks about a controlled and supervised madness, stating that: "Psychopathy is its own most potent cure, and has been throughout history. At times it grips entire nations in a vast therapeutic spasm. No drug has ever been more potent (Ballard 2000: 251)." Further on, he practically claims that people have to get a little crazy in order not to go crazy: "The cure sounds drastic, but the malaise is far more crippling. An inability to rest the mind, to find time for reflection and recreation. Small doses of insanity are the only solution. Their own psychopathy is all that can rescue these people (Ballard 2000: 251)." Thus, according to Ballard, violence in small doses is the best way to "to tone up the system" (2000: 171).

Penrose firmly believes that Eden-Olympia is strong enough to allow perverse behaviour, and that there is nothing wrong with his theory. He is certain that the violence is justified, he talks about "Bandaged fists and plastered shins on Monday mornings, but clear, confident heads" further defending his cause by stating that, "the immigrant population gains from the clearer heads of the people who do the hiring", and that, "…the violence against the local prostitutes was a special kind of rehabilitation, a form of shock treatment that would send them back to their factory jobs" (Ballard 2000: 260-261).

The world of Eden-Olympia, as the world of Estrella de Mar, is an alluring place, made even more appealing by Ballard's use of well-known brands which indicate a world of art, comfort and carefree existence. He mentions such novels as *Tender is the Night*, *Alice's Adventures in Wonderland*, *Through the Looking-Glass*, such magazines as *Paris Match*,

Le Monde, *Nice-Matin*, *Herald Tribune*, *Der Spiegel*, *Vogue*, such hotels and facilities as The Majestic, the Carlton, and the Martinez, the Palm Beach Casino and the Noga Hilton. To these one might add the brand names that carry the connotation of luxury and a good time: Chanel Number 5, Maxim's, Tiffany's, or the Tom Collins cocktails.

The car-park is again described at its best, including once again the more expensive Jaguar, Mercedes, BMW, Porsche, Bentley, the less expensive Renault, Citroën, Saab, the adventure-seeking Range Rover, with an addition of the Cadillac, the Audi, the Opel Diplomat, the Buick, the Land-Cruiser, the Volvo. The brand name Jaguar alone is mentioned about sixty times in the novel. Such a fact reveals what a large role cars have in depicting an overall image of wealth.

In *Super-Cannes* once again we have the idea that the past does not exist: "Everything five minutes old is waiting for the clearance sale (Ballard 2000: 224)." However, Ballard is very clear about what kind of consumer future awaits the people living in such conditions: "It sounds like a ticket to 1984, this time by the scenic route (2000: 95)." Once again he seems to believe that, like with Estrella de Mar, some form of higher justice will intervene when the time comes: "Layers of dust and humidity formed strata in the soft air, through which the hotels of the Croisette trembled like uneasy spectres, a dream about to collapse into itself (Ballard 2000: 148)."

The ending of the novel provides us with a bleak vision of the future; Paul is continuing in David's steps, and the "old world" seems to be lost forever amid the new images of sun and death: "The beaches beside the coastal road were littered with forgotten film magazines and empty bottles of suntan cream, the debris of a dream washed ashore among the driftwood (Ballard 2000: 324)."

4. Consuming psychopathy – Conclusion

And I'm off to the races, cases of Bacardi chasers
Chasin' me all over town 'cause he knows I'm wasted
Facin' time again on Rikers Island and I won't get out
Because I'm crazy baby, I need you to come here and save me
(Lana Del Ray, "Off to the Races")

Popular culture breeds consumer culture, and the popularity of certain brands can do more to boost sales than the simple quality of a product. In the world of popular and consumer culture, the quality is not taken into consideration, only the "desire-inducing marketing symbols count" (Arnould 2005: 869). In the two analysed novels, the same applies to violence. The value of and justification for the violence are not questioned. What starts off as a form of struggle ends up as a popular trend of mass consumption (a mass occurrence in the novels' limited surroundings).

Ballard dedicated much of his career to examining the possibilities of where the current rate of human development might lead us. The topics introduced in *Cocaine Nights* culminate in *Super-Cannes*:

> *Super-Cannes* is in many ways a millennial synthesis of the surreal Ballardian landscape. The author's lifelong fascinations are all present in this novel. Alienation. Aerial flight as the ultimate dreamlike escape. Messianic megalomaniacal voyeurs substituting foreplay and sex for psychobabble and manipulation. The violent collision of consumer technology and the human body. Psychotherapy as assault and/or recreation. Planned utopias that end up unwittingly amplifying the very elements from which they purport to offer asylum (*Lalumière 2001)*.

As opposed to simply following a psychiatrist's advice (in this case that of Wilder Penrose, who talks about a "voluntary and sensible psychopathy" (Ballard 2000: 264), or blindly following the example of an appealing "leader" (in this case that of Bobby Crawford), in *Cocaine Nights* and *Super-Cannes* one gets the impression that the residents have assigned their own meaning to violence. This is another connection to popular culture because, according to Fiske, "thinking differently involves the subordinate in making *their* sense of their subordination, not in accepting the dominant sense of it or in making a sense with no relationship to domination" (2010: 47). What the residents of Estrella de Mar and Eden-Olympia are doing could even be described as De Certeau's *La Perruque*, because while the protagonists are pretending to work for the continuation of the system and for saving themselves from a living death, it is obvious that many of them enjoy some of the 'work' and cherish the moments and practices that fulfill them regardless of whether they are experienced secretly or openly.

Through the voice that he lends to his protagonists, at times it seems that Ballard is resolved and seems to have given in to this new trend:

"Meaningless violence may be the true poetry of the new millennium. Perhaps only gratuitous madness can define who we are (2000: 262)." The wrong turn that he describes in his novels seems to be the only possible continuation of the current system we are living in: "The consumer society hungers for the deviant and unexpected. What else can drive the bizarre shifts in the entertainment landscape that will keep us 'buying'? Psychopathy is the only engine powerful enough to light our imaginations, to drive the arts, sciences and industries of the world (2000: 265)."

People are ready to discard their old practices, and even the widely accepted commercial culture will not be enough for the society of the future. As Fitchett points out, the aspirations and dreams of the 1950's American consumer society seem naïve and boring in comparison with modern-day wishes and aspirations of the affluent (2002: 314). Whether the proposed terrifying change takes place in the near or more distant future is irrelevant; more than a few aspects of these two novels could even be applied to our contemporary society. Taking on a more optimistic view of things, one might readily agree with Adams, who points out that we might not be there just yet: "Ballard unravels the secrets of his post-industrial elysium with panache, leading us into a society which is both an exaggerated parable for our times and a chill piece of futurology (2000)."

Fitchett goes a bit farther, comparing the Ballardian protagonists with "Sade's eighteenth-century libertines" (2002: 314), further adding that "*Super-Cannes* is a vision for Sadism as a mass cultural commodity" (2002: 319). Fitchett also argues that Ballard has discovered "a 'hidden' contradiction in corporate capitalism and advanced consumerism" (2002: 312). He even goes so far as to point out a certain level of chilling understanding that Ballard's detailed theory may invoke: "…a moral defence for the controlled consumer sadism of *Super-Cannes* can be developed, and this is perhaps the most alarming issue raised by the novel" (Fitchett 2002: 318).

Ballard's world is a place where violence makes the people feel Barthes' *jouissance*, a world where the carnival (which in these novels turns into a bloodbath) is all about the game, breaking rules and ignoring the referee (Fiske 2010: 69). The referee in this case would be the rejected moral order of the twentieth century. A life of neverending leisure and carefree existence is what many people, given the chance, would gladly choose.

If we take into account that the bourgeoisie prefers "recreative meanings" (Fiske 2010: 62) and that, as Smythe (1977) argues "capitalism has extended its power from the world of work into that of leisure" (as per Fiske 2010: 22), we should be careful what we wish for because, as Ballard points out: "The Adolf Hitlers and Pol Pots of the future won't walk out of the desert. They'll emerge from shopping malls and corporate business parks (2000: 256)."

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Бојана Гледић

ПОПУЛАРНО НАСИЉЕ У РОМАНИМА Џ. Г. БАЛАРДА *КОКАИНСКЕ НОЋИ* И *СУПЕР-КАН*

Сажетак

Популарна култура у савременом контексту уско је повезана са конзумеризмом. Према Џону Фиску, популарна културна је сама по себи контрадикторна. У свом пару романа који представљају дистопијска виђења Европе у блискоj и, како се чини, неизбежној, будућности – *Кокаинским ноћима* и *Супер-Кану* – Џ. Г. Балард публици је представио две капиталистичке утопије. Попут већине критичких утопија, ови романи садрже одређене елементе дистопије, и у овом раду покушаћемо да прикажемо ове романе као приказе света у којем су новац и напредак два беспоговорна ауторитета. Након одвојених анализа обе приче, доћи ћемо до закључка да је овим романима популарна култура култура насиља као средство борбе против етаблираног система.

Кључне речи: популарна култура, популарно насиље, конзумеризам

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305

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ERNEST HEMINGWAY: RECONCEPTUALIZATION OF GENDER

Abstract
This essay focuses on the way as to how Ernest Hemingway's novel *The Garden of Eden* understands the concept of gender. Namely, we are concerned with the representation of human character in Hemingway's text, especially with how characters are constructed along lines of gender and sexual behavior. Hemingway's interest in transgressive sexuality, with its emphasis on gender switching, indicates an edge towards his subversion of traditionally patriarchal ideas he is often taken to embody, while his embrace of border-line matters displays a specific dialogue with men's and women's multifold representations.

Key words: Ernest Hemingway, gender, transgression, subversion, re-thinking, border-lines.

The body of itself is clean, but the caged mind
is a sewer inside, it pollutes, O it pollutes …
(D. H. Lawrence, "Obscenity")

Eve has many faces.
(R. Robbins, "Will the Real Feminist Theory Please Stand Up?")

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1. Introduction

There is much evidence that from 1946 to 1958 Hemingway had been working on what was to become *The Garden of Eden* (Spilka 1995: 1), i.e. well before the novel got posthumously published in 1986. Even such a heavily edited version proved to be a "published literary crime" (Solomon in Fantina 2005: 13) since it mostly tackles the androgynous sex-reversal experiments of Catherine and David, a couple in 1920's France who decide to further complicate their married life by letting another woman, Marita, enter their already lost paradise.

This essay focuses on the way as to how this particular novel understands the complex concept of gender and how its characters are constructed along the lines of gender and sexual behavior. To this end, the *edge* is not only taken to denote the line where one thing stops, but also a move in the direction of something other than itself. Namely, Hemingway's interest in transgressive sexuality – with emphasis on gender-switching through hair-dyeing, hair-cropping, fashion, tanning, drinking, talking, writing, etc. – indicates an edge towards his subversion of traditionally patriarchal ideas he is often taken to embody. Albeit the connection between writing/creativity and sexuality/desire has always been present in his work, *The Garden of Eden* is specifically said to be about "the writer's bravery in his daily struggle to transcend his terrible dependencies and passivities" using his own hurts (Spilka 1987: 47).

The great discrepancy between the published and manuscript versions of the Hemingway's text in question becomes an issue the majority of Hemingway's critics and readers alike cannot still digest. To our mind, the publisher Tom Jenks is almost excusing himself for having made some cuts in the manuscript and some routine editing corrections, maintaining that "in every significant aspect the work is all the author's" (in Hemingway 2003: vi). Charles Scribner, Jr. accentuates the fact that even though "this novel may be seen as a departure from Hemingway's usual themes – as an intensive study of the mental state of an intelligent woman uncontrollably envious of her husband's success as a writer with a yearning to change her gender," – it remains Hemingway's typical work in his forever profound study of character and *Conradian* primary interest in the effect that events have in the minds of individuals concerned (vii; my emphasis). The published version excludes the alternate plot of yet another couple, Nick and Barbara Sheldon, as well the third plot featuring Andrew Murray.

Despite the fact that Hemingway left the novel's ending(s) unresolved, it is ascertained that the optimism of the final chapter is not something he had in mind since it runs counter to the pattern of tragedy Hemingway had been preparing as he worked through different versions (Fleming 1989: 263–269). Opting for a so-called happy ending, the publishers offer a *sanitized* novel's variety (Comley and Scholes 1992: 283) in which innocence has been recaptured. Surely, a more somber ending would have done better justice to ever-present darker reflections of Hemingway's art.

The episode where the Rodin's statue of two lesbian lovers making love further changes the couple's outlook on life[1] is conspicuously cut out from the novel's narrative, thus erasing its concern with forbidden mysteries and disturbing sexual ambiguities (Spilka 1987: 35). The statue from the *Gates of Hell*, based on Ovid's *Metamorphoses* and Baudelaire's *Les Fleurs du Mal* would have been one of the nicer signposts of a *sea change*[2] as an inner journey the protagonists set out on (Spilka 1995: 285), as well as of their metamorphic powers. So, the moving artistic creation would have served as a public inspiration for troubling private changes. Still, the outward manifestations of inner transmutations the protagonists *do* go through – e.g. experiments with hair-length, hair-style, hair-color, clothes, and finally, words, gestures and deeds – are a fair proof of the blurring of gender roles Hemingway was always concerned, if not obsessed, with.[3]

[1] In the manuscript version Catherine asks David if he remembers the statue showing two lesbian lovers one of whom looks like a man but is actually a woman with a short haircut like Catherine's. Also, it may be of note that Hemingway chose not to depict with any exactness the lovemaking between two sexual seekers after dangerous knowledge (Spilka 1995: 286).

[2] The term *sea change* is taken from Ariel's song in *The Tempest* by William Shakespeare which is ultimately about a creative process of transforming life into something more enduring which is art (Fleming 1996b: 51–52). Also, beware of Hemingway's short story "The Sea Change," printed within *Winner Take Nothing* (1933), where a woman leaves her man for another woman. The story thus perfectly shows the uninterrupted thread of Hemingway's concern with gender switching.

[3] In no way is this a conclusive list of cuts made in the published version of the novel, since this essay does not specifically deal with the novel's possible multiple endings. However, the most important meaning implications of *The Garden of Eden*'s published and manuscript versions will be further explored in the essay's body text under separate thematic headings.

2. The Contexts

At this stage, it is of importance to provide a basic historical and biographical backdrop to Hemingway's work since psychological teachings must be supplemented by other contexts as well, if we are to fully grasp the richness of Hemingway's views.

Hemingway was witness to a major shift from Victorian to modern age. The 19th century clearly differentiates between the male sphere presupposing emotional and moral toughness, and the women's sphere which implies purity, piety, domesticity and submissiveness. The 1920's mark a modern New Woman, with her loosening of morals, (tom)boyish appearance and behavior, who, in fact, becomes a composite figure of flapper's sexual freedom, feminist assertiveness and traditional domestic femininity. Needless to say, this idea heavily contributed to Hemingway's image of an ideal woman. The liberation from Victorian teachings at the time provides an opportunity for people to turn to popularized versions of Sigmund Freud or Havelock Ellis. Furthermore, postwar feminism is prominent in 1920's Paris with Gertrude Stein as a legendary lesbian literary hostess. A shift in gender constructions and the societal effects of such a shift are clearly visible following the Great War (Sanderson 1996: 172–175). The conflicted gendered cultural conflict of the turn of the century shaped Hemingway who seems to have sealed his mother's independence and social activism as evidence of her unfeminine desire to dominate, emasculate and ultimately lead to his weak father's suicide (Barlowe 2000: 124). The notions of appropriate female behavior get forever intertwined with the newly established notions, so women's hysteria, invalidism[4] and a career of nursing motherhood get replaced by short-haired, virile women's aggression and assertiveness.

Moreover, the virtually all-male terrain of High Modernism gets panicked by changing social conditions – the competition by female writers, the growing openness of gay cultures and a feminized mass culture (Strychacz 2008: 1). Hemingway's work needs to be seen as an illustrative mixture of such broader changes and his upbringing that was mostly *woman-defined* (Wagner-Martin 1991: 323). Being immersed from

[4] Invalidism was common in the 19th-century America and it was almost a career for women. Namely, invalidism controlled these women's lives who were prone to headaches, fainting spells and stomach ailments. Hadley, Hemingway's first wife, was, in this respect, seen as a true woman (Barlowe 2000: 132).

boyhood in Victorian literature with its roles of men and women clearly defined, and witnessing new cultural developments, Hemingway develops a line of anxiety about the gender lines that is going to glue to him, overthrowing the simplistic wound or code-hero theories about his art. The revising of Hemingway Text opens up new interpretations that seem to increasingly favor the overlapping connection between his biography[5] and his work. The dynamic interrelationship between his fiction and his life recalls the "intentional fallacies" he suffered from (Lovell Strong 2002: 191), with lines between his personal life and his fictional creations never carefully drawn. Thus, *The Garden of Eden* gets patently self-reflexive in its ambivalent portrayal of androgynous sibling-like twinnings, instances of female manipulation and men's terrible dependency and vulnerability (Spilka 1987: 39).

3. Hemingway reinvented

The application of Judith Butler's theory of gender-as-performance and Bertolt Brecht's concept of the *gest*[6] proves valuable in shedding new light on Hemingway's work. As an alternative to pro-feminist approaches, this line of interpretation unfolds a subversive and disruptive potential of male modernists including Hemingway himself (Strychacz 2008: 3).

Thus, gender is seen as a fluid, contradictory and conflicted function of theatrical performance, in forever-temporary negotiations of meaning. If gender is altogether an unstable category, the concept of "masculinity-in-performance" then erases the principle of authentic/hegemonic masculinity, paving way for alternative, plural masculinities (*Ibid*: 13–21). Gendered identities are always in process, always repeated, which *The Garden of Eden* amply shows. The unsettling of what seems to be natural

[5] To mention a few useful facts: his mother's twinning of Ernest and his sister Marcelline, her domineering feminist inclinations; his father's repetitive depression bouts and eventual suicide; his wives' alleged lesbianism, hair-dyeing/hair-cropping, their manipulative ways; Hemingway himself is said to have dyed his hair bright red on May 14, 1947. (Lovell Strong 2002: 190) during the composition of *The Garden of Eden*, claiming that he had mistaken the bottle for his ex-wife Martha's old shampoo (Spilka 1995: 291).

[6] The gest is a dramatic strategy whose purpose is to represent and make strange a particular set of social conditions and thus reveal an otherwise covert structure of power (Strychacz 2008: 3).

using a technique of *defamiliarization*[7] denotes "the trope of performance" with its constant blurring of copies and originals. Various critics and readers have been searching for "one stable, universal and self-evident masculinity" in Hemingway's text, not ready to face its "gradual *unseating* of patriarchal manhood" (*Ibid*: 72–75). A powerful stereotype of virile, heterosexual and aggressive masculinity is at stake if we are to consider its inner theatricality as the newly given fact. As Butler maintains, "identity is a compelling illusion, an object of belief," whereas gender identity is a performative accomplishment compelled by social sanction and taboo (2004: 901). There is no preexisting identity by which an act or attribute might be measured. Rather, gender reality is created through sustained social performances (*Ibid*: 908).

Furthermore, Fantina holds that after some revisionist criticism of Hemingway's work,[8] Hemingway can "no longer be interpreted one-dimensionally as the prototypical he-man" (2005: 2). It is vital that we look beyond the picture constructed about him and realize "a male masochism's subversive potential as a threat to patriarchal notions of gender roles." Hemingway employs a *dual masculinity* comprising both traditionally stoic masculine values and masochism as their counterbalance. In both his life and fiction, Hemingway makes use of two contrasting impulses of playing the macho hero who controls the actions of women, while simultaneously surrendering to a masochistic desire to yield to a willful, dominant woman (*Ibid*: 8–11). The decline of Victorian values in the wake of World War 1 does not imply their complete erosion in Hemingway. More likely, his conservatism remains strong despite alternative sexualities he embraces. He is still separating the social from the bedroom domain making distinction between the public and the private areas of control. Thus, David is uncomfortable at Catherine's violating their secret of gender role-reversals performed in the dark, when she reveals their games to somebody else.[9] Still, there is a wish for merging identities, "a desire for symbiosis," a blurring of identities, "an unattainable fusion" that Hemingway and his characters often demonstrate (*Ibid*: 47–49). Though he never overcame "the cultural baggage of Victorianism," Hemingway is believed to have had

[7] B. Brecht's *Verfremdungseffekt*.

[8] R. Fantina mentions M. Spilka, C. Eby and D. Moddelmog at this point.

[9] Catherine reveals their secret to Colonel John Boyle, who has already sensed the *change* himself (Hemingway 2003: 63; my emphasis). David feels uneasy about her starting to show her/their dark things in the light (67).

"an unconventionally submissive and masochistic side to his heterosexual nature (*Ibid*: 83; 89)." David and Catherine can be seen as two sides of Hemingway wrestling with one another (*Ibid*, 158), with the public myth of machismo and homophobia[10] walking hand in hand with alternative varieties, if not perversions, of sexuality.

Also, Spilka's interpretation proves invaluable in sketching Hemingway's "wound of androgyny" that comes of his identification with women and the female within oneself, because of which the author felt an almost intolerable vulnerability, a hidden emasculation, a secret loss of male identity, a self-betrayal (1995: 122). Bearing this in mind, he recognizes the secret muse within himself first as Catherine – a devilish woman inclined towards role reversals and lesbianism, then as Marita – a supportive woman who encourages his recovery (*Ibid*: 3). Spilka accentuates the overwhelming connection between Hemingway's androgynous corruptions with both real and fictional wives and mistresses *and* his writing strengths (*Ibid*: 296). It seems probable that Hemingway thought that this androgynous complicity in the corruption increased his artistry. *The Garden of Eden* is seen as Hemingway's contribution to "the theory of androgynous creativity" (*Ibid*: 333), which is paradoxically proposed by Virginia Woolf, one of Hemingway's literary *enemies*.[11]

Hemingway's stories may also be read as "commentaries on sexual and cultural differences," as Comley suggests (2002: 207). Hemingway keeps his binary oppositions in place, but he is concurrently fascinated with the possibilities of experiencing a shift in genders (*Ibid*: 212). He questions the gender binarism, unsettles the Victorian notions, but he also feels great guilt and shame over possessing such feelings. The fixed stability between the male and female domains is definitely shattered in both his life and work, no matter the fluctuating quality of his gendered vision. The "interesting tension between revelation and concealment" exhibits a peculiar gender anxiety exposing "multiple forms of desire," while depicting the ambiguities of both male and female identities (Kennedy 1991: 191–194). Consequently, and luckily for his readers, Hemingway's gender issues will never be resolved.

[10] David does not like the idea of both Catherine and himself playing boys' roles at the same time (Hemingway 2003: 67).

[11] V. Woolf explicates the workings of an androgynous mind in her famous *A Room of One's Own*. She is also known for her attack on Hemingway's style of writing.

4. The lost Eden

Hemingway's quest for personal wholeness is re-enacted in his motif of the lost paradise through which he was seeking to recapture "the happiness of the garden that a man must lose" (Sanderson 1996: 175). His fantasy of a paradise on earth gets shattered by men's and women's inability to dwell in the garden of Eden. David's and Catherine's discovery of evil makes the primal Edenic complementarity impossible. The perfect and harmonious unity of Adam and Eve falls into sin when their eyes are open to sexual difference, giving them a consciousness of their own incompleteness (Kennedy 1991: 202–203). Hemingway's revision of the biblical Garden of Eden plot is best seen in the manuscript scene of the entitled novel "when the two couples are moved by the statue of metamorphic love so that they begin with their own androgynous experiments, in both of which the girl is the active agent, the Eve-like temptress" (Spilka 1995: 287). Moreover, marriage breaks "the individual will for self-possession" through a partner's many-sidedness, which in turn leads to "the disquieting dependence upon a personality that can never be seen in its entirety" (Jung 2003: 50; 53). The allure of androgyny displays Hemingway's fascination with gendered otherness and its constant performative and theatrical value.

David in Hemingway's *The Garden of Eden* writes two narratives, the first of which is the marital story of his life with Catherine who categorically insists on this being the main narrative in his life as a writer. The other narrative is "the boyhood tale of men without women," which David attempts as "an act of manly resistance to the corruptions of his androgynous married life" (Spilka 1995: 299). David "symbolically kills Catherine" (Burwell 1993: 200) through his neglect of the honeymoon story since his "compartmentalized psyche" does not allow masculine and feminine to mingle (*Ibid*: 203). So, his African story presupposes a masculine mode in his battle against a feminine mode of experiencing. In his (and Hemingway's) vision of "the incompatibility of sexual tenderness and artistic strength" (Scafella in Burwell 1993: 217), David believes that he will protect his writing if only he could successfully repudiate women from it. The androgyny he succumbs to through his various roles, activities, physical appearance and sexual positions further accentuates the hopelessness of such a wish. His masculine writings get literally and metaphorically burned by Catherine, so as only to be equally rescued by

Marita later on. Ironically enough, David's creative/phallic power redeems itself with the aid of a woman's touch.

5. Honeymoon narrative

Since David's honeymoon narrative deals with the story of his being married to Catherine, this section will primarily focus on her overbearing character. Throughout the course of the novel, Catherine is constructed both as male and female. In this respect, Hemingway plays with our stereotypical notions of masculinity and femininity.

First, Catherine feels shackled in the patriarchal text, caged within the narrow feminine role the society prescribes for her. Feeling trapped within the limitations of her gender, she commits "seemingly destructive acts as an act of re-vision" (Lovell Strong 2002: 191).[12] Because she believes her position to be claustrophobic for her unattainable desire, she adopts various roles outside her wifely capacity. Namely, she alternately becomes a brother, a husband, a girl, a good girl, a boy. In this respect, the degrees of her restriction are fluctuating. Having destroyed a Victorian angel-in-the-house within herself, Catherine still keeps a little bit of Freudian shame, always apologizing to her husband for her crossing the lines of female prototypical decency, begging him for forgiveness and inquiring about his health. She "inhabits an unstable territory between binaries, which is a place that breeds tension, anxiety and insecurity" (*Ibid*: 192). This way, she is *deconstructive* rather than destructive, her gender proving to be a dynamic entity. Willingly or not, Hemingway created a *feminist* character in her. She is "a divided self", wishing to escape the socially imposed category of a woman (*Ibid*: 193). She purposefully plays a female-as-hysteric stereotype, picking on fights with her husband, uncontrollably yelling at him, having mood-swings and wishing to have a baby (Hemingway 2003: 70). Thus, *The Garden of Eden* paints gender as a temporary quality, prone to constant revisions. "The weight of cultural normalcy" (Lovell Strong 2002: 198) forces her to publicly act as a wife uncontaminated by inadequate yearnings. Her over-spilling of female desire evokes *jouissance* within the male narrative, while her *transgression* of "sexual fantasizing" takes the

[12] It is noteworthy that A. Lovell Strong compares the character of Catherine with the wife in C. P. Gilman's *The Yellow Wallpaper*, and David to John, a husband who stifles the wife's creativity (2002: 191–192).

form of madness (Spilka 1995: 304). Catherine becomes the corrupting Devil[13] whose insistence on differentiating between variety and perversion does not take root with David/Hemingway. Hemingway often "blurred the line between evil and madness" (*Ibid*, 305), possibly in his final inability to overcome women's inherent duality he was so good at depicting. Though much more sympathetic to women than he was given credit for, Hemingway "feminized the things that hurt his career" (Sanderson 1996: 191) [14] and so made Catherine burn David's masculine text. Catherine is portrayed as "a female who paralyzes the man's creativity" (Fleming 1996b: 87).

In contrast, Catherine is delineated as a phallic man through her initiative in the bedroom domain, masculine fetish of practicality, dominance, control, interest in sexual experimentation, financial independence and intellectual superiority. As a good conversationalist, she balances David's writing with her own rhetoric and voices her own voice. Still, through her character, Hemingway underlines that "manhood is primarily a function of staging rather than maleness," since Catherine *becomes* male, "looks like a boy but is not." Catherine constructs herself as a man, "Catherine-as-a-man is a trope" (Strychacz 2003: 215–216). For instance, "her appropriation of the phallus" (Fantina 2005: 62) is outwardly done through her incessant changing of hair-style which stages "hair as a symbolic female phallus" (Eby in Fantina 2005: 53), but only with a simultaneous representation of "hairdressing as a cliché of unmanliness" (*Ibid*: 110), both for her and David.

Furthermore, she refuses to be a woman who will give up her own identity and become absorbed into her male. But, since "women are never central to any of Hemingway's works on their own terms," Catherine is, at the end of the novel, made to leave the narrative and give up her husband to Marita. Hemingway thus effuses his "fantasy of an idealized sexual union" in his discourse of desire (Wagner-Martin 2002: 56–57). Marita triumphantly stifles her transgressive lesbianism and becomes a submissive, *new* wife who rekindles David's artistic potency. Being the second Other in the male

[13] David addresses her as *Devil* throughout the course of the novel. Catherine refers to herself as *Peter* at some point (Hemingway 2003: 17), and she will not accept the socially accepted forms of address, such as *Darling, Dearest, My very dearest*, etc. (*Ibid*: 27; my emphasis).

[14] In a letter to M. Perkins of June 7, 1929, Hemingway compares censorship to emasculation, which is a proof that he thought of writing in gendered terms. He felt the publishing industry threatened to stigmatize his profession as effeminate (in Sanderson 1996: 183).

– female binarism, and a woman supportive of her husband, Marita clearly typifies a difference within difference of feminist criticism. Her marital over-pampering of David applauds her with the gift of heterosexuality that Hemingway extolled so much despite his ample investigations into the *queer* territory. As a "good wife," Marita is "dutiful, accommodating and living according to the standards of *wifeliness*" (Lovell Strong 2002: 197; my emphasis). Logically enough, she gets submerged and silenced by an overbearing masculine narrative. While Catherine performs feminine hysteria, "thus becoming the stereotype she despises," Marita practices "quiet but effective subversion," winning David over by "performing his fantasy of the feminine" (Comley 2002: 216).

6. Masculine counter-narrative

David is a Hemingway's portrait of an artist as a husband and a son. Still, he defines himself in terms of his writing, not his being married. His masculine narrative is, in fact, "writing the father" (Fleming 1996b: 151), where he narrates the African story of the elephant-hunt with his father and his father's friend when he was 8 years old. This counter-narrative of his is an exclusively male territory, not to be occupied by women. Therefore, David locks himself up in a room at the far end of their hotel so that he could write undisturbed by female influence. The locked room is a patent symbol of a self-willed isolation of a writer, which is one of the topics Hemingway explores throughout his writing career. David is, thus, one of Hemingway's writer-characters who serves the high purpose of delineating problems that any true writer is bound to encounter in his life, to name but a few: writer's ruthlessness in subordinating his real to his artistic life, his inhuman isolation and insensitivity to others, his irresistible compulsion to work, the perversion of living in his fiction, artistic and sexual impotence, his loneliness, writer's block and artistic paralysis, his inspiration, etc. (*Ibid*: 145–171).

It is vital to acknowledge that Hemingway *masculinized* the act of writing itself (Fantina 2005: 159) choosing to ban women from the paradise or show them as having a damaging effect on a writer's creativity. This is best shown in Catherine's burning David's stories or her detrimental influence on his artistic strength. In contrast, in one of his interior monologues, after having made love to Catherine at the beginning of their happiness together,

David ponders how writing is unimportant in comparison to truly loving a girl (Hemingway 2003: 13). This state of mind soon dissolves when David demonstrates what his main narrative actually is. He dismisses Catherine's participation as *intrusion* into his writing and inhabits the room as "a place of disengagement from sexual and social involvement" (Burwell 1993: 204). The cessation of honeymoon narrative enables his "paradigm of the paternity of literary text" (*Ibid*: 208). Also, Hemingway seems to be using David as a mouthpiece of his own insights on writing. For instance, the story starts with no difficulty when it is ready to get written, and then should be left till the next day when a writer hits it fresh when the necessity to write comes to him (Hemingway 2003: 93). Also, if you do not finish a story, nothing is worth a damn (*Ibid*: 108)! In her belief that David feels his masculine story intensely, Catherine, almost angrily, says: "It's a book you have to die to write and you had to be completely destroyed (*Ibid*: 112)."

However, the expulsion of Catherine from writing (*writerly*?)[15] Eden does not happen without consequences. David's feminization through hair-cropping and hair-dyeing is voluntary. Catherine guides his sexual will, and even though he is reluctant to embrace her dangerous ways, he nevertheless agrees to all of her propositions. *The Garden of Eden* portrays female-on-male sodomy, "which novelists seldom choose to do" (Fantina 2003: 97). Hemingway's construction of Catherine as a dominant woman definitely upsets the traditional gender binarism, if it does not "altogether provide an alternative to patriarchal dominance" (*Ibid*: 100)? Using hair and racial fetishes, the novel depicts phallic women who *penetrate* male bodies (*Ibid*: 103). No wonder, then, that David is not ready to show this emasculated identity before others.[16] He does not feel like violating private – public opposition in his fear of threatened hegemony, emasculation and further loss of male identity. At the same time, his passivity and dependency on women makes evident his ambivalent attitude to sexuality. Namely, Hemingway makes "the connection between androgynous corruptions with wives and mistresses and the author's writing strengths" explicit (Spilka

[15] This is an allusion to Roland Barthes' differentiation between the *writerly* and the *readerly* text. Namely, "the *writerly* text is ourselves writing" and it is a perpetual present. According to Barthes, "to rewrite the *writerly* text would consist only in disseminating it, in dispersing it within the field of infinite difference." By referring to Barthes here, we are trying to emphasize David and Catherine`s roles as producers of their text, whereby they as readers would no longer be only consumers (1999: 31).

[16] See footnote no. 9.

1995: 296). Hemingway-David is open to the manipulation of his wives and mistresses whom he desperately needs and with whom he secretly identifies (*Ibid*: 299). Any real resistance to Catherine that David is able to build is *again* through his writing, but with Marita this time round. The published novel's version can be read as "a travesty of female selfhood, a betrayal of truly androgynous love and a denial of the primacy of the female within the male for his own independent creativity" (*Ibid*: 310). The Scribner's edition thus simplifies the mysteries of the writer's craft, which Hemingway cannot have been happy with.

7. Mirror images

The Garden of Eden boasts multiple mirror images. Firstly, Hemingway reflects the context of modernism in its pervasive concern with multiple gender issues. He is known for the radical subversion of some 20th century forms of patriarchy, though the question as to whether he had a conscious desire to do this still remains unresolved (Fantina 2003: 104). His work often mirrors his awareness of the prevailing social codes, movements, biology questions of women's hysteria and men's neurasthenia, etc. (Barlowe 2000: 128).

The two secret muses he cherished so much within himself affirm various theories of alter egos and doppelgangers. For one, David, Catherine and Marita use one another as reflections of their individual or collective qualities or states of mind. Hence, after the first *sea change* David and Catherine look at themselves together in the mirror (Hemingway 2003: 43), then Catherine looks at herself in the mirror critically (*Ibid*: 48). At a different point, the big hairdresser's mirror reflects what she sees in her hand mirror (*Ibid*: 80). Catherine's belief that they need a big mirror in the bar (*Ibid*: 102) where they spend a lot of time eating and drinking is an unmistakable trace of the protagonists' need to find evidence of their rot in the visual image any mirror offers back to them. After having an insatiable urge to make love to Marita, Catherine roams the mirror for some expression but does not find any (*Ibid*: 115). David looks at himself in the bathroom mirror in utter disbelief at what he has done. His sense of real identity is shattered with his mirror look (*Ibid*: 84). David repeatedly looks in the mirror as if attempting to detect the signs of his corruption in the glass, but he sees no external transformation. Hemingway's use of

the face in the mirror as "an objectification of the artist's ethical dilemma" is ample here and elsewhere in his fiction (Fleming 1996b: 11). Mirror as a powerful recurring symbol cannot always be an accurate reflector of inner feelings. It may provide a reflection of reality that is sometimes more cruel than characters' pictures of themselves. The characters' obsession with an idea of the reflected image will not allow them to look at *each other* for any signs of either physical or psychological transformation (*Ibid*: 144). Watching the emotions is not the same as being actively involved in them.

As Rubinstein aptly maintains, "the self is also an audience" (in Elkins 2000: 94). Therefore, clothes can also be used as a manipulative technique to view ourselves as social objects. Hemingway used the language of clothing together with his writing to send diverse messages to his audience.[17] The increasingly masculinized, androgynous women of *The Garden of Eden* pose a threat to a unified picture of Hemingway as a sole painter of exclusively male world void of women. In this respect, Catherine's artistic inclinations can be perceived in her constant reading, as well as her urging desire to paint (Hemingway 2003: 53). She is unable to get out of selfish acting as if she were her own painting (*Ibid*: 54).

Finally, the novel reflects back manifold images the characters create at its very readers. "Hemingway's readers are positioned to watch" (Strychacz 2003: 9) the multiplicity of *The Garden of Eden*'s images of manhood-fashioning. Gender with Hemingway becomes a multifaceted concept (*Ibid*: 13), thus creating a doubling, if not *quadrupling*, of gazes. For instance, a new sense of Catherine's self is based on how she is looked at. Her theatre of self-representation (e.g. dyeing and shortening her hair) becomes "a drama of her own making." Her command of the gazes directed at her refuses the traditional staging of the woman as a prized object of the male gaze and male desire. In his passivity, David mostly functions as "an evaluating audience of her gender-switching," stressing once again the performer – audience contrast (*Ibid*: 217–218). After she sleeps with Marita, we witness a withdrawal of David's gaze and an unproductive mirror gaze of her own. This is all to stress the flexibility of roles produced socially and theatrically, whereby the protagonists' quest for masculine

[17] One instance of manipulation with clothing: Catherine is dressed the same as David, in fisherman's shirt, so that they look like brother and sister, but she goes to church appropriately dressed so no one could disapprove (Hemingway 2003: 6).

identity only reveals "the profound loss of center" they are forced to keep negotiating (*Ibid*: 220).

8. Conclusion: Ambivalence

To our mind, "Hemingway remains notoriously difficult to pigeonhole" (Fantina 2005: 150). His investigation of topics such as emotional closeness or distance, loneliness and writer's isolation, beauty, writing, artistic paralysis, failed communication between men and women, marital betrayal and sexual roleplaying, abundantly shows that he may even be viewed as "a misunderstood feminist" (*Ibid*, 156). The stance he chooses to employ regarding gender is ambivalent and impossible to determine. The theme of sexual ambiguity affirms Butler's notions of gender as a series of acts which are incessantly renewed and revised (2004: 903). Though this notion is rather disquieting, it is no less true for it.

The Garden of Eden is a self-reflexive novel that explores new territory and possibly marks "the beginning of Hemingway's postmodernism" (Fleming 1996a: 147). It parades gazes at himself as a writer and as a man, gazes at its characters and readers alike. Albeit a shred of his Victorian conservatism in this novel, Hemingway demonstrates that he is unafraid to artistically cope with still controversial topics such as sexual role-playing, androgyny, self-destruction and self-deception. In his ability to depict the woman's point of view he proves to be "a resisting writer" (Spilka 1995: 300), just to spite those who still read his works as resisting readers.[18]

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[18] An allusion to Judith Fetterley's groundbreaking book *The Resisting Reader: A Feminist Approach to American Fiction*, which primarily sees Hemingway as a misogynist writer.

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ЕРНЕСТ ХЕМИНГВЕЈ: РЕКОНЦЕПТУАЛИЗАЦИЈА РОДА

Сажетак

Овај рад се бави начином на који роман Ернеста Хемингвеја *Рајски врт* разуме концепт рода. Наиме, занима нас репрезентација човековог идентитета у Хемингвејевом тексту, а нарочито конструисаност Хемингвејевих јунака по линијама рода и сексуалног понашања. Хемингвејева заинтересованост за трансгресивну сексуалност – с нагласком на замени родних улога (*gender-switching*) – очигледно показује свесни искорак ка субверзији традиционално патријархалних идеја за које се обично мисли да Хемингвеј заговара. Његово испитивање граничних подручја улази у специфични дијалог с разноликим представама мушкараца и жена. Иако је веза између писања/креативности и сексуалности/жеље одувек присутна у Хемингвејевом делу, за *Рајски врт* се нарочито каже да истражује пишчеву храброст у свакодневној борби да пренебрегне срамне зависности и пасивности користећи при том своје животне боли.

Кључне речи: Ернест Хемингвеј, род, прекорачење, субверзија, преиспитивање, гранична подручја.

Notes to Contributors

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