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DETAILS VS DOGMA: DETAILS IN CONTEXT

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Abstract

This paper rests on the two-fold definition of the notion of detail provided by art historian Daniel Arasse, (characterized by the difference between two Italian terms: *particolare* and *dettaglio*), to address the question of today's interest in the notion of detail.

After recalling the way modernist fiction profoundly relates to modernity in its handling of details, (through examples taken from V. Woolf and J. Conrad), the paper explores the way contemporary fiction suggests yet another definition and configuration of details. Such postmodern anxiety of atomized traces and disappearance as can be found in Michael Cunningham's *The Hours* finds an echo in some of the latest output of French theorists and account for today's haunting interest in the notion of detail.

Keywords: modernism, postmodernism, fiction, French theory.

Why should details matter?

The recent interest in the notion of detail, from the groundbreaking work of Daniel Arasse[2] onward, has certainly drawn attention to a number of so far sparse, analyses by Barthes, Agamben or Didi-Huberman[3], and this certainly points to a definitely growing, significant, contemporary interest in some renewed approach to the structure of the work of art. In recent years, the notion of detail seems to have emerged in a new guise, as

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[2] Arasse, Daniel. *Le Détail. Pour une histoire rapprochée de la peinture*. Paris: Flammarion, 1992.

[3] One can think of the notion of *punctum* in: Barthes, Roland. *La Chambre Claire*. Paris: Gallimard, 1980.

See also :

- Agamben, Giorgio. *Homo sacer. III. Ce qui reste d'Auschwitz : l'archive et le témoin*. Paris: Payot & Rivages, 1999.

- Didi-Huberman, Geoges. *Survivance des lucioles*. Paris: Editions de Minuit, 2009.

if it exalted a genuinely contemporary approach to art. But while most contributions will develop new perspectives offered by the notion, very few of these contributions will really account for the current success of the notion itself. And yet, the very reasons why details should matter so much today, in the field of criticism and theory - whether it be art theory or literary theory – is no negligible concern.

The interest of scholars and theoreticians comes in consonance with a more general usage of the notion. The detail features as a key notion in a number of scientific or technical spheres such as image and soundtrack enhancement, the creation of virtual images and environments, the psychological approach to memory and perception, as well as in criminology to measure the reliability of witnesses. The variety of applications seems particularly wide and fully exploits the two-fold definition provided by Daniel Arasse.

At the outset of his groung-breaking analysis, Daniel Arasse recalls that the word comes from the French verb *tailler* (to cut), and thus either evokes the act of separating the various parts of an object from one another, the act of dividing an object into parts, or the process of shaping an object by carving and eliminating wood or stone. The two meanings of the verb correspond to two contradictory conceptions of the notion of detail. The first one is rational and can evoke what we do in academic text analysis : we teach students how to identify the various parts and elements a text is made of. The second meaning is far more subjective and generated by an empirical approach to any object. Daniel Arasse resorts to the Italian distinction between '*dettaglio'* and '*particolare'* to distinguish the two understandings of the notion of detail. First the conception of the detail as a constitutive element in a structure; then the reference to some arbitrary part or aspect that one chooses to single out.

The two conceptions generate two different ways of knowledge. The first definition leads to linguistics and semiotics on the one hand, to a rational way of separating a text into parts; whereas the second definition suggests subjective reading. The first definition generates scientifically oriented knowledge, and the second definition generates a more elusive, poetic kind of knowledge: a dualism of possible approaches sometimes compatible, sometimes at war with each other. The notion then encapsulates various forms of tension. One between the global structure of an object and its various parts, another between two antagonistic approaches to analysis or perception.

From modern detail to modernist fragments.

Before considering a specifically contemporary interest in details, one should recall and take into account the change of perspective operated by the rise of the scientific spirit from the Renaissance onward. The modern spirit based on observation changed the conception of knowledge precisely by promoting details over ready-made definitions of the order of the universe. The scientific approach to knowledge starts from details and fragments of phenomena to tackle the structure that might supposedly be lying behind appearances. The detail has acquired a prominent status as *the* path towards reliable knowledge. The history of science is paved with jarring details observed by humble scientists, unexplained peripheral details that have led to new theories and eventually disproved former certainties. The importance of empirical observation as the basis of science is precisely at the origin of the great and growing importance of the subject. The potential faculties of the human eye, the laws of the human mind have become a considerable concern in the context of modernity.

It is part of the essence of details to be potentially treacherous, to have to be ultimately identified as part of a structure or as isolated and chaotic entities. The permanent opposition between objectively important and subjectively selected details keeps recurring. The selection of a detail can prove efficient to grasp a structure and understand how it works, and it can as well just reveal the mental disposition of the observer. The irreducible ambivalence of the notion also prevails in the scientific sphere.

It was in the context of modernity that modernist writers blurred and almost annihilated the difference between objectively significant details and subjectively selected details. Dismantling the order of the narrative, introducing apparent chaos into narratives, they have forced critics to create new analytical concepts. The development of the notion of sign, in particular, has emerged as one major solution to face the challenge. If Proust plays such a role in the passage to modernism, it is precisely through the importance he gives to details and subjectively selected details that turn out to be objectively significant. The art of reminiscing is indeed based on details. Unlike remembrance which re-members elements of the past in a chronological order, reminiscence is based on fragments. It is apparently chaotic and irruptive, it cannot be mastered, it unexpectedly imposes itself to the conscious mind. It bridges the gap between past and present, changing the past into present experience. Unexpected elements of the past irrationally reach the surface and these irrational elements enlighten a hidden order of experience, the order of the unconscious, an in-

built cloud of unknowing. The small cake unexpectedly triggers a torrent of so far forgotten sensations that transform the past into strangely present and vivid experience to be explored anew, enriched with intervening experience, substantiated by new mental structures and faculties of interpretation. In *Proust et les signes*, Deleuze[4] argues that the process of generating knowledge through the interpretation of signs is more crucial to Proust than the exploration of memory and retrieval of the past.

Apparently insignificant details turn out to be crucial signs and outcrops of a profound structure of experience, a promise of infinite knowledge. The chaos of reminiscences, contains a hidden logic that is gradually revealed to the narrator, provided he decides to accept this chaos and the difficulties of wading through it.

The transformation of chaos into new and more sophisticated order regulated by the unconscious is indeed what the modernist movement intends to explore, what modernist aesthetics is based on. Details treated as fragments, totally isolated fragments, observed and gathered without ever being entirely pieced together. The jig-saw puzzle never quite clicks into shape. One of the most representative examples of this new approach to reality, this new experience of the mind, is to be found in one of the first sentences of *Mrs Dalloway*. When reminiscing about Peter Walsh, in the second paragraph of the novel, Clarissa filters through details she has kept in mind for decades, she wonders why the details that come to her mind when thinking of Peter Walsh have remained so mysteriously clear.

> What a lark! What a plunge! For so it had always seemed to her, when, with a little squeak of the hinges, which she could hear now, she had burst open the French windows and plunged at Bourton into the open air. How fresh, how calm, stiller than this of course, the air was in the early morning; like the flap of a wave; the kiss of a wave; chill and sharp and yet (for a girl of eighteen as she then was) solemn, feeling as she did, standing there at the open window, that something awful was about to happen; looking at the flowers, at the trees with the smoke winding off them and the rooks rising, falling; standing and looking until Peter Walsh said, "Musing among the vegetables?"—was that it?—"I prefer men to cauliflowers"—was that it? He must have said it at breakfast one morning when she had gone out on to the terrace—Peter Walsh. He would be back from India one of these days, June or July, she forgot which, for his letters were awfully dull; it was his sayings one remembered; *his eyes, his pocket-knife, his smile, his grumpiness* and,

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[4] Deleuze, Gilles. *Proust et les signes.* Paris: Presses Universitaires de France, 1964.

when millions of things had utterly vanished—how strange it was!—a few sayings like this about cabbages.[5]

The sequence "his eyes, his pocket-knife, his smile, his grumpiness" appears as an absolute challenge to logic, a perfect vignette of chaos. The sequence starts with a detail of Peter's face, then it switches to something he carries with him, then it goes back to his face, and eventually stresses a particular trait of his personality. Yet, beyond appearances lies profound logic, and so much so that it is the queerest element in the series, the only exterior element, the pocket-knife, that contains the solution to piece all the fragments together, to go from details to the structure behind. The sharpness of the knife explains Clarissa's unconscious choice of Peter's sharp gaze, sharp ironic smile, and hurting grumpiness.

This example also illustrates the modernist attitude to details as fragments. Details remain sparse. The reader's mind is required so that the text can make sense. Reading is more than ever an incentive to self-analysis and self-knowledge. From Kopernicus's observations of the apparent movements of the Sun and the Moon to Freud's interest in tongue-slips and incongruous, disruptive symptoms, science has definitely changed the status of details.

In such perspective, modernism appears as an integration, in the art of narration, of the kind of self-defiance and accurate observation that had been prevailing in the scientific field. If the teachings of psychoanalysis interested and influenced novelists so profoundly at the turn of the 20th century, one can relate this kind of interest to the crucial importance of the subject, of the capacities of the human mind, in a conception of knowledge exclusively based on observation - including self-observation. I think that the subject of our conference today is an occasion to consider and take into account the common objective of science and literature. It certainly is no hazard if Joseph Conrad, in a text considered as one of the foundation stones of modernism, states their complementariness in very clear terms:

My task which I am trying to achieve is, by the power of the written word to make you hear, to make you feel—it is, before all, to make you see. That—and no more, and it is everything. If I succeed, you shall find there according to your deserts: encouragement, consolation, fear, charm—all you demand—and, perhaps, also that glimpse of truth for which you have forgotten to ask. To snatch in a moment of courage,

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[5] Woolf, Virginia. *Mrs Dalloway*, (1925). Penguin Books: 1992. 3.

from the remorseless rush of time, a passing phase of life, is only the be-ginning of the task. The task approached in tenderness and faith is to hold up unquestioningly, without choice and without fear, the rescued fragment before all eyes in the light of a sincere mood. It is to show its vibration, its colour, its form; and through its movement, its form, and its colour, reveal the substance of its truth—disclose its inspiring secret: the stress and passion within the core of each convincing moment.

To arrest, for the space of a breath, the hands busy about the work of the earth, and compel men entranced by the sight of distant goals to glance for a moment at the surrounding vision of form and colour, of sunshine and shadows; to make them pause for a look, for a sigh, for a smile—such is the aim, difficult and evanescent, and reserved only for a very few to achieve. But sometimes, by the deserving and the fortunate, even that task is accomplished.[6]

The defence by Conrad of the 'rescued fragment', of the 'snatched moment' or 'space of a breath' to 'glance' at shadows and look for 'a sigh' or anything as evanescent as a smile opened a new approach to narration, giving way to what was sometimes called 'new realism'. A new commitment to close observation and rendering of the most chaotic aspects of mental processes and human behaviour, which blurred the difference between details considered as elements of a structure (be it a hidden structure) and subjectively selected details. Modernist narration has demonstrated the subjectivity at work in any selection an observer can operate, as well as the profound logic invariably at work in all selections. In modernist narratives, the distinction between *particolare* and *dettaglio* tends to be abolished, sometimes in order to be reconciled and sometimes in order to demonstrate the elusive essence of all forms of knowledge.

From fragments to atoms: from chaos to new orders

The notion of detail inevitably questions the relation between an entity and its various parts. It involves a permanent effort of the mind to cope with the various tensions and connect details with one another. A process of the mind playing with its own limits, that contemporary fiction has brought to new extremes. Postmodernism takes one significant step toward chaos, in the handling of details. Fragmentation gives way to atomization, while signs seem to have been replaced by subliminal clues. Michael Cunningham's reprise of *Mrs Dalloway* in his novel *The Hours*

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[6] Conrad, Joseph. *The Nigger of the Narcissus*, "Preface". www.gutenberg.org/files/17731/17731-h/17731-h.htm.

(published in 1998)[7] is a particularly appropriate source of illustrations for the change under scrutiny.

The novel is divided into alternating chapters dealing with three sets of characters and settings. Episodes of Virginia Woolf's life at the time when she was writing *Mrs Dalloway* intertwine with episodes of the life of a young wife reading Woolf's novel *Mrs Dalloway* in the Los Angeles of 1949, and episodes of the life of a poet in the New York of the 1990s. The very idea of subliminal details may sound somewhat paradoxical but it is in fact suggested by the title of Cunningham's novel itself, to begin with, as long as it was the original title that Virginia Woolf rejected to replace it with the eponymous character *Mrs Dalloway*. There is no explicit mention of, or allusion to the former, ephemeral, unseen existence of 'The Hours' as a title in Cunningham's novel. Only the informed reader will detect the rescued title saved from oblivion and connected again (though rather faintly) to its original context. Then the relation between the title and the number of chapters in the book: *The Hours* is divided into 23 chapters, one hour symbolically missing and suggesting the impossibility to write the last chapter concerning death; but there again, the chapters are not numbered, so that only the most suspicious reader will discover the subliminal detail before he or she may want to risk some interpretation.

On the issue of subliminal details, Cunningham appears as a master. In his description of the America of the Fifties, through the family of a Second World War veteran, he describes the young wife smoking a cigarette, "exhal[ing] a rich grey plume of smoke" (48), and one may wonder whether the image evokes the mushroom of the atom bomb or not, but then the child is referred to as the "little boy" (43, 111) a banal but recurring expression strangely reminiscent of the name given to the bomb launched on Hiroshima. And the detail eventually ceases to be strange when, in a further chapter devoted to the 'little boy' once he has become a poet living in New York, his place is described as follows:

> The apartment is full of light. […] All the shades have been raised, the windows opened. Although the air is filled only with the ordinary daylight that enters any tenement apartment on a sunny afternoon, it seems, in Richard's rooms, like a silent explosion. Here are his cardboard boxes, his bathtub (filthier than [Clarissa] had realized), the dusty mirror and the expensive coffeemaker, all revealed in their true

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[7] Cunningham, Michael. *The Hours*. London: Harper Collins, 1998.

pathos, their ordinary smallness. It is quite simply, the tenement apartment of a deranged person. (195)

Richard is about to commit suicide throwing himself out of the window, like Septimus (whom Woolf calls "the poet of the immortal ode"). The narrative is literally sprinkled with subliminal details, haunted by ghostly, uncanny details. Richard's room is made to look like Hiroshima, saturated with light. The description suggests a snapshot of the place that freezes it in the midst of the small occupations of an ordinary morning. The chaotic outlook replicates Richard's own disruption and may indeed evoke the drawings of Cy Twombly: a treatment of details radically different from the one observable in collages of earlier decades. Only the white page is there to provide fragile, precarious, arbitrary unity.

When one reads *The Hours* for the first time one may well miss the bulk of subliminal details swarming below the smooth surface of the narrative. There is no obvious sign, just occasional clues requiring a magnifying glass and a particularly suspicious mind on the part of the reader. And as chaos is made more discreet and banal, the chances to escape it dwindle. In Cunningham's text, what can be observed is no longer a series of fragments but a daunting number of jig-saw puzzles challenging perception.

Through the treatment of details in such representative novels as *The Hours* and *Mrs Dalloway* what can be detected is an actual transmogrification of the notion. In contemporary fiction, details are no longer intended to be identified as signs, they are no longer considered as harbingers of some eventual revelation or epiphany, or as stepping stones towards constructs of meaning. Instead of being wielded as signs details rather hold the status of clues: traces of former presences or disquieting evidences of mysterious, unheard of disappearances. The notion of detail is probably a crucial one to grasp and acknowledge a major landslide in 20th century fiction, between modernism and postmodernism. The notion of detail has never been a concept in text analysis, and yet it is a central notion to maintain a contextualization of modernism in the landscape of modernity, and to reveal the passage from fragments to atomized elements, from signs to clues, from tragic evidence to anxieties of disappearance.

Contemporary novels are haunted with the reality of disappearance and traces left in deserted places: footprints, tiny left-overs, shades, anonymous shreds of long-forgotten songs, and all kinds of haunting details. One may think of such novel as *The Song of Salomon* by Toni

Morrison (1977), or some of the essays previously listed. In *La Permanence des Lucioles,* for instance, Didi-Huberman[8] celebrates the continuous presence of discreet light-bearers, of modest humanistic elements in the remotest recesses of society, in the nooks and crannies of cultural history. In *Les Transformations silencieuses,* François Jullien[9] develops the idea of ceaseless, silent transformations at work around and inside each of us. In a remarkable analysis of a selection of photographs which he relates to the collective experience of Hiroshima, Jean-Christophe Bailly[10] speaks about what occurs "in the shade of an instant". Recent publications about today's historiography seem to follow a similar line: *L'Histoire en miettes* by François Dosse[11], and *Régimes d'historicité* by François Hartog[12] both insist on the difficulties to narrate history in an age of atomized, antagonistic standpoints. In the field of art history, Umberto Eco[13] reflects upon the vertigo caused by collections, series and mere accumulations of objects.

The 21st century is already far from the 'pearls and corals'[14], namely the myriads of insignificant details that Walter Benjamin[15] was anxious to collect in his project for a literary magazine, in the 1920s. He intended to collect testimonial fragments, moments of experiences, heralding a great return to the art of the chronicle. Contemporary readers have become familiar with the idea of a multiplicity of times and realities and seem to be safe from what Marguerite Duras calls 'the fascist essence of simplifications'[16]. But the absence of overall structure or texture appears as the new threat.

First, the series, collections and accumulations described by Umberto Eco may appear as a sort of stiff, arbitrary classification, some sort of militarization of details as it were. Eco displays and comments upon details snatched from various structures, and he shows how they can be

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[8] Didi-Huberman, Geoges. *Survivance des lucioles*. Paris: Editions de Minuit, 2009.

[9] Jullien, François. *Les Transformations silencieuses*. Paris: Grasset, 2009.

[10] Bailly, Jean-Christophe. *L'Ombre de l'instant*. Paris: Editions du Seuil, 2008.

[11] Dosse, François. *L'Histoire en miettes*. Paris: Editions de la Découverte, 1987.

[12] Hartog, François. *Régimes d'historicité*. Paris: Editions du Seuil, 200and

[13] Eco, Umberto. *Vertige de la liste*. Paris: Flammarion, 2009.

[14] See Arendt, Hannah. *Walter Benjamin, 1892-1940*. Paris: Editions Allia, 2007.

[15] Benjamin, Walter. "Annonce de la revue *Angelus Novus*" (1922), *Œuvres I*. Paris: Gallimard, Folio, 2000. 266-273.

[16] The phrase is uttered by the narrative voice in the soundtrack of the film *Nathalie Granger* (1972), by Marguerite Duras: "La simplification est fasciste".

arranged according to criteria that are totally exterior to them, each list of elements being endowed with exclusively collective identity and properties.

Then, as Daniel Arasse stresses, details manifest a form of resistance to the structure. They deliver a message independently from what emanates from the structure. Therefore, one can wonder what happens if the structure itself disappears? Is the path to liberty offered by details still of any use when the structure is ignored or eliminated or undetectable? When Arasse says that details undo the work of theory and knowledge, and postpone their realization, he in fact stresses the responsibility of ordinary men and women, of each individual, in maintaining the sovereignty of the work of art. Indeed, even in the novels or poems that most deny the relevance or existence of structure, one can surmise that the sheer existence of the text itself stands for, or replaces the evanescent structure and time-tried principles, leaving it for the individual reader to point to the subtle tension that will thus always remain between details and the possibility of a more and more faintly suggested structure of embedded realities and spaces.

INTERNAL AND EXTERNAL AUTHORIAL INTENTION IN THE ROMANTIC NOVEL *AGAAT* BY MARLENE VAN NIEKERK

H.P. VAN COLLER [1]

Abstract

Authorial intention remains one of the most controversial topics in the literary science debate. Many investigators still equate it to the highly controversial "intentional fallacy".

When I use the concepts *explicit external authorial intentions* I refer to explicit utterances made by the actual author, for example during interviews. *Implicit external authorial intentions* on the other hand are actualised intentions in other texts, in other words demonstrable meaningful aspects of such texts and the play on (genealogical) expectations / conventions that exist outside the context of the text at hand. I am of the opinion that *explicit internal authorial intentions* are clear "signs" from the implied author on the level of the authorial text (Schmid, 1973) and include features such as the cover, title, preface, etc. In this article authorial intentions are scrutinised and the hypothesis is that *Agaat* by Marlene van Niekerk is not only a parody of the traditional Afrikaans farm novel, but also of the Afrikaner's history, which is portrayed in allegorical fashion as a classical tragedy.

Keywords: authorial intentions, textual voice, intended perlocution, farm novel

Authorial Intensions in *Agaat*

In the course of this article Marlene van Niekerk's novel, *Agaat* (2004) will be analyzed in its 2006-translated version according to the preceding theory. It is one of the most highly acclaimed novels in South Africa and is widely seen as "the great Afrikaans novel". Recently Toni

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Morrison said that she found *Agaat* "mesmerizing … It is simply the most extraordinary book I've read in a long, long time." The implied author's internal authorial intentions will be emphasised and the hypothetical assumption is that it will guide the reader to an interpretation that corresponds with Marlene van Niekerk's external authorial intentions.

In the case of *Agaat* (2004) by Marlene van Niekerk, the reader's expectations are shaped by other texts written by Van Niekerk, especially *Triomf* (1994), translated by Leon de Kock, which belongs to the same (sub-)genre, namely the novel, and to a lesser degree *Die vrou wat haar verkyker vergeet het* (1992). The former is a very powerful novel that piercingly yet compassionately and humorously dissects a dysfunctional family set against the background of apartheid, yet also containing numerous manipulative strategies. The latter consists of a collection of short stories teeming with merciless mockery, satire and fantasy (Lindenberg, 1993). Both texts contain an abundance of baroque language, the "rhetorical gesture" and a tendency to drive political messages home with the reader (Lindenberg, 1993). These features could be classified as implicit external authorial synthesis.

The cover, title and preface as explicit internal authorial intentions

With regard to authorial intentions in *Agaat*, the cover, the title "Agaat" and the way in which the chapters are set out and linked (a prologue, 19 separate sections or chapters and an epilogue) are important. All of these can be regarded as traditional expressions of internal authorial intentions.

The cover of the translation depicts a traditional farm kitchen, linking this novel implicitly with the tradition of the farm novel, an extremely important sub-genre in Afrikaans writing, a link that is explicitly laid in the preface of the original Afrikaans version.

This preface acknowledges that this novel directly and indirectly makes use of the voices of characters and texts from Afrikaans and other (farm) novels. This (inter-textual and genealogical) conversation with texts from the farm novel, a significant sub-genre in the Afrikaans literature, will be discussed in detail at a later stage.

The very title suggests that the traditional main character in a farm novel – the owner who had inherited the farm – is not the central character in the narrative: the most important character is actually the farm labourer, Agaat. This is in itself a significant counter discourse in terms of the discourse in traditional farm novels in which the farm labourer was

"present in absentia" (*'n Hele os vir 'n ou broodmes* (Coetzee, 2000: 127)). According to Coetzee, the farm novel ascribed the labourer and the black character very specific roles in Afrikaans literature and in the mind of the reader.

Subsequently, a statement of indemnity is given (only in the original: "*Agaat* is fictional"), followed by three mottos: one from the introduction to the *FAK-Volksangbundel* (a collection of traditional folk songs), one from the preface of a manual on embroidery, and another from the preface of die *Hulpboek vir boere* (a manual for farmers). These mottos establish that music, embroidery and farming are important themes in this novel.

From the outset the reader is made aware of the ideological implications of cultural texts (also compare *Agaat as cultural documentation for the future* (Visagie, 2007)). The discourses in the novel are particularly aimed at scrutinizing Afrikaner Nationalism. South Africa's historical remains are excavated in a genealogical, almost archaeological fashion in an attempt to reveal the discursive norms contained within the text. These three mottos all form part of the explicit internal authorial intentions. As part of the preface to which the (implied) author lends particular weight, they almost serve as tuning forks for what will follow. They deal with three discourses on power pertaining to the creation (the confirmation) of identity in such a way as if they were touchstones of authentic Afrikaner identity.

By implication these discourses on (nationalistic) music, agriculture and embroidery contribute to the central discourse on Afrikaner nationalism, which links to Said's thesis on the role of discourses of colonial dominance (Said, 1979). However, in the course of the text these three discourses (in the sense that they serve Afrikaner culture) are rendered powerless and are parodied: by Jakkie's study of ethno-musicology (which serves as contra discourse to nationalistic types of music), the transferral of the farm to Agaat and the techniques used by Agaat to embroider a shroud for Milla (which will be proven to be allegorical of the Afrikaner).

Bear in mind that identity is not simply a discursive matter as Derrida (Eagleton; *Visies op die geskiedenis in die Postmodernistiese literatuur*) and Foucault (1970, and Flynn) would have it; society also impacts on it (See: DiMaggio and Bourdieu *Distinction* and *The Field of Cultural Production*). Agaat is discursively shaped through the acquisition of language and the internalization of cultural discourses. In addition, she

gains social acceptance by dressing and behaving "properly"; simply put, by changing her *style.* In the course of the novel she discovers her own identity by initially mastering and finally making fun of these "acquired" discourses and social practices.

The story and narrative as examples of implicit internal authorial intentions

The story (as logic-chronological reconstruction of the narrative that is the story in its actual physical textual form) is often negated as part of internal authorial intentions. Contrary to what has been indicated above as explicit authorial intentions, I would rather regard the motive-complex, theme and story as implicit internal authorial intentions "implicit"-because the story, as it unfolds, often voices the author's intention, because what Schmid (1973) calls the *narrated world* (See also*: Van mond tot oor* (Van Coller & Van Rensburg 1982: 220)), falls within the *represented world* and both of these originate with the intended author (although the narrated word is mediated by the story incident*).* In other words: Both the narrator and his narrative form part of the implied author who pulls all the narrative strings.

In short, the story is about the fortunes and misfortunes of Milla, an independent woman in a line of independent women. Like her grandmother, the founder of the farm Grootmoedersdrift, she wants to prove that a woman can stand her ground and become a model farmer within a traditionally male domain. In the process of reshaping and managing the farm, she is effectively planning her own destiny and that of almost everyone with whom she comes into contact. She chooses and wins over a husband (Jak) with the purpose of conceiving a child. As she does not fall pregnant right away, she becomes a surrogate mother for a young coloured child (Agaat) whom she subsequently educates and recreates. When she eventually does conceive, she moves Agaat out of her house and focuses her attention on her own child as a new "project". The major part of the story deals with her disintegrating relationship with her husband, being substituted as Klein-Jak's mother by Agaat and in particular her debilitating illness. Agaat, who is her caregiver, also harasses her and acts as her conscience, literally forcing Milla to face the past and her transgressions as towards the end she can only use her eyes to communicate. The tragic way in which she dies becomes a purging process with allegorical features.

The discourse in *Agaat* as farm novel: explicit internal authorial intention and implicit internal authorial intention

    Agaat (2006) is a clear example of a farm novel. Not only is this acknowledged in the preface; it is an important feature of the content of the novel (see also *Aspekte van Uitdraai deur Wilma Stockenström* (Pretorius 1984*)*; *Linear consciousness in the farm novels of C.M. van den Heever* (Coetzee, 1985) and *White* Writing (Coetzee, 1988); *Laat vrugte behandel deur H.P. van Coller* (1987); *My birth right gives me a Servitude on this land* (Coetzee, 1996); *Tussenstand* (Van Coller, 2009) and *'n Hele os vir 'n ou broodmes* (Coetzee, 2000) for features of this genre). It is clear from the outset that the farm is regarded as a demarcated piece of land with very definite borders, which had been cultivated through hard labour and great sacrifices and that it is the current generation's responsibility to preserve it for posterity (by farming in harmony with nature). In *Agaat*, the concept of the deed of conveyance is important, because it serves as proof of ownership and power. Since indigenous populations supposedly had no concept of borders, the concept has particular relevance within the South African context as European colonists started demarcating[2] spaces as early as the first Dutch settlement. A border is a two-sided concept: it keeps people out, but also fences them in. In Agaat, the farm with its borders is reminiscent of the concept "hortus conclusus" (closed off garden) with echoes of paradise ("paradise is lost when its boundaries come into sight", p. 586).

    The traditional farm novel could be described as post-colonial in terms of its opposition to British imperialism, but also colonial in the sense that it serves to strengthen Afrikaner ideology. (Wasserman, 2000: 30-33) see also *'n Hele os vir 'n ou broodmes / a whole ox for an old bread knife* (Coetzee, 2000; 2-14). According to Wasserman this genre has its roots in the Afrikaner's political consciousness. The farm is painted in idyllic yet ideological terms. Labour is a primary ethical principle and so also the religious discourse: "you will earn your keep through hard labour". The Bible is used to legitimise the Afrikaner's existence in South Africa (see Postel (1996) and Van Alphen (2007)). Hereditary succession and possession of the farm are central issues. As an inalienable space (with metaphysical features) the farm must never be lost. Possession however also implies the wielding of power: In Afrikaans literature the

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[2] Historically speaking, the discourse on land can be traced back to the colonialization of Southern Africa during the seventeenth century (cf. Coetzee 2000: 2-14).

farmer is the supreme ruler of the farm. Subordinates, who, besides the farm labourers, include women, children, sub-farmers and slaves, are ascribed very definite roles (compare Laat vrugte *behandel deur H.P. van Coller* (Van Coller, 1987: 25 et seqq.) Thus it follows logically that space is organised according to hierarchal patterns and that sub-farmers, slaves and labourers are spatially removed from the farmhouse. The space is also interpreted and filled with preconceived ideological premises; there are often bushes that bear witness to the ancestors' cultivation of nature, cemeteries that remind one of the passing of generations, and the patriarchal theme is emphasised and enhanced by photographs of male ancestors and heirlooms kept in the house as relics. Textualizing the farm space attests to the way in which the discourse in the old farm novel sustained ideological structures in society and is reminiscent of the textualization of space in the colonial discourse. (Wasserman, 2000: 35, 37)

Agaat can be described as a "technical farm novel". The large abount of technical details lend a certain authenticity to the novel, but also serve as a characterization technique as it obliterates the stereotypical image of women who are supposedly technically incompetent. It is also a play on the ("green-") concept in farming as being a scientific activity that can only succeed if ecological principles are applied. The farm (the earth) is like a body that should not be raped, but which will be most fruitful if treated with respect. It is through labour that we "live up to [the name]" (p.28).

It almost seems as if the idyllic farm novel, inscribed with patriarchal values, is being redrafted. The farm Grootmoedersdrift almost becomes a person (with female features) that has to be reckoned with (p. 49) and to whom the male characters all have to submit. The name of the farm is a play on the matriarchal motive, which is a significant feature of the novel (and space) that challenges patriarchal relationships of power. The farm was tamed by the *fiery* great-great-great grandmother who farmed on her own for thirty years (p. 28), there are framed pictures of the women who planted the wild fig lane (p.28), and it is their passion that in the course of generations to come will not only tame the farm, but also their men. Each of these men finds his own way to survive. Milla's father finds solace in books and music, Jakkie leaves the country, and Jak, who wants to put up a fight, literally dies as a result of his grandmother's passion (p. 620-621), almost as melodramatically as he voiced his existence amongst the women. "The women of Grootmoedersdrift! [...]

Agaat Lourier and Milla Redelinghuys, a tale that will rend the heart of every mother!-" (p. 546). Symbols of (female) legacies are the house, the brass knob and –knocker which were in Milla's mother's trunk with heirlooms (p.45), the cows ("descendants of [Milla's mother's] … "animals you had known as a child" - (p. 234), the christening robe (p. 562) and the enamel bowl (p. 580). In addition, Milla is to be buried in the cemetery on the farm because generations of women before her had been buried there (p. 312).

Milla's matriarchal farming methods are in stark contrast to Jak's capitalistic exploitation of the land, a disregard for "mother earth" which resonates in his assaults on Milla. The metaphysical link between farmer and nature, to be found in Mila's farming methods, is disturbed. Her attitude towards the soil however, is by no means nobler than that of Jak: The romantic link between the farmer and the soil found in old farm novels formed part of an ideological discourse on land ownership. (*Die gesprek tussen C.M. Van den Heever se werk en enkele modern Suid-Afrikaanse romans* 50). A colonial discourse on power and land ownership is undermined by Agaat when she mockingly renames places on Mila's map of the farm (bl. 406-407). This reminds one of Coetzee's (*'n Hele os vir 'n ou broodmes* 13) statement that the "colonist […] [creates] order in the wild by describing and textualizing it as did the writers of travel journals who painted verbal pictures of newly discovered worlds and in doing so, in effect almost recreated them."

As post-colonial farm novel *Agaat* takes a stand against the traditional Afrikaans farm novel by inverting typical characteristics. In the traditional farm novel sexual references are rather veiled, but in *Agaat* Milla openly uses sex to manipulate Jak: to marry her, to convince him to help transform Grootmoedersdrift into a paradise (p. 32), to teach him about types of soil (p. 66), to father a child, and later on to convince him to create a garden of Eden to compensate for Jakkie's being in the army (p. 458). While women in the traditional Afrikaner farm novel are often only useful for procreation, like Betta in *Laat vrugte* (Laat vrugte *behandel deur H.P. van Coller* 29), the roles are reversed in *Agaat*. Jak, who is regarded as good breeding stock, is chosen as potential father (he refers to himself as the "stud bull" - (p. 348)).

Hereditary succession is an undisputed fact in the traditional farm novel. In *Agaat* this "heart" of the traditional farm novel is literally ripped out (see *Die Afrikaanse plaasroman as ideologiese refleksie* 26 etc.). Jakkie inherits the farm, but he breaks ties with South Africa and

immigrates to Canada. In addition, it is hinted that Jakkie might be homosexual[3]. His standards "shifted" (p. 677). He finds his mother's entries in her diary "force-fed with the insanity of this country" (p. 681). To him South Africa is no longer a country in which one can live and he wonders "how in God's name" things will turn out (p. 683). He gives the farm to Agaat who, as a coloured person, brings hereditary succession to an end. Because Agaat herself, as Milla's child and mother to Jakkie, is childless, hereditary succession cannot be revived. Milla's thoughts on p. 580 ("I was in the knives, in the peels, in the drawers, the enamel dishes, I was the rich black compost, I was the soil and nothing would ever grow without me. Nothing, to the end of time, without my having farmed here and none of the people remaining here and living of the land") reveal that farming is something metaphysical yet enduring. Everyone is a link in one large chain. Hence Jakkie's remark that Milla will stay in charge: 'Her creator is keeping remote control. Six feet under." (p. 682)

Unlike in the traditional Afrikaans farm novel where religion is a central theme and even Van den Heever's pantheism is clothed in traditional images, *Agaat* makes a mockery of religion. Religion is viewed as only a part of the greater Afrikaner nationalistic discourse (see also Van Alphen), as is revealed on pp. 220-221 when the minister praises Agaat, but would not allow her to bring Jakkie into the church(!), because she is a person of colour. Initially, Milla is part of this discourse, but later on she is able to maintain a slight distance (see p.57: "The Bible according to Agaat …"), and on p. 270 in her fierce attack of Beatrice, her thoughts are almost blasphemous. Characters often make fun of Bible references, hymns, and songs of praise (see examples on pp. 71-72, 81 and 416).

In addition to this, black farm labourers seldom feature prominently in the traditional farm novel; their actions merely seem to occur in the background. In *Agaat* , however, black labourers play a more important role. Jak displays racial tendencies in his behaviour towards the labourers whom he loathes (p. 135), which makes Milla uneasy (p. 91). Her own attitude is however ambivalent and almost schizophrenic: She says that Saar "smells" (p.178), complains about the "maids that steal the soap" (p. 92), and says that the servants are uncivilised ("dirty and uneducated") (p. 37). She does however empathise with them: "Where will the people go to? It was their land as well, after all, their place, and

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[3] p. 441: "Jakkie brought home a girlfriend for the matric exam. But more to satisfy Jak than anything else, I think, because it doesn't seem if he cares much ... his heart is not in it."

they also had to work and eat?" (p. 91). However, when she comes to power, she rules with an iron fist (see p. 482). When she says that the labourers should stop breeding, that everything will get smaller and that she will hire additional labourers as she sees fit, it is almost as if one can hear Jak speaking. In an ironic way racial prejudices are perpetuated!

The characteristics of the traditional farm novel are thus undermined, but in such a way that it appears as if the implied author regards relationships of power and the abuse of power as key issues in this sub-genre. The role of the traditional farm novel (and canon) in the colonization of the Others is targeted by Agaat when she mockingly distorts the titles of farm novels (p.14) and by her ironic choice of *The Seed is Mine* as reading matter. This is linked to tendencies in post colonial[4] literature to rewrite the canon. Agaat thus builds on the reaction to the ideology of Afrikaner nationalism that has been recurrent in the Afrikaans farm novel since the sixties. (Wasserman, 2000: 31) The basic characteristic of the genre is distorted (to prevent an imbalance in power) resulting in a refutation of the canon.

The power discourse in *Agaat*: implicit internal authorial intention

From the above it would seem that while the traditional Afrikaans farm novel initially contained subtexts such as Afrikaner Nationalism and colonial power in land ownership, in the post-colonial farm novels such as *Agaat*, the subtext is that of a reversal of power. In the study, *'n Hele os vir 'n ou broodmes. Grond en die plaasnarratief sedert 1595,* Coetzee (14) states that the resurgence of the farm novel in our time affirms the important role that this specific narrative plays by providing a platform for the discourse about land and power. Thus power is therefore a central theme in *Agaat*. As a feministic farm novel it challenges patriarchy with particular reference to the struggle for power between Milla and her husband Jakkie. Traditionally the patriarch manages the farm, but in this case Milla inherited the farm. This leads to a struggle for dominance in managing the farm between the two of them.

However, for the purpose of this article, the primary focus is on the post- colonial intention (and the allegorical implications) of the novel which in the first instance deals with the struggle for power between the landowner Milla and the farm labourer, Agaat, who inherited the farm.

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[4] As Wasserman (2000) indicates, the term 'post-colonial' in Afrikaans literature does not have the same meaning as in other post-colonial literature.

The struggle between Agaat and Milla takes place on a small scale, but recalls a political power struggle on a much larger scale in South Africa (during the last decades of the twentieth century). It can be argued that the struggle between Milla and Agaat in essence boils down to Agaat's struggle to claim her right as disavowed heir of Grootmoedersdrift (compare Agaat's renaming of places on Milla's map of the farm).

The power of the narrative action as implicit internal authorial intention

The discursive power struggle between Agaat and Milla also bears relevance to the unique method of communication that exists between them. Milla is physically weak due to motor neuron disease. This renders her discursively inferior – she is literally unable to speak[5]. She is totally dependent on Agaat to communicate, as only Agaat understands the system of eye signals that the two of them have developed. Agaat can choose to ignore or misinterpret Milla's eye signals at will.

In her role as narrator however, Milla has the upper hand. Milla's narrative consists of a present tense perspective, recollections from the past in the second person, diary entries, and the use of the stream of consciousness technique becomes all encompassing[6]. The enigmatic Agaat is thus never described on the inside – the reader is therefore never in a position where she/he can determine Agaat's subjectivity. Milla's perspective in the novel is also extremely prejudiced (her delirium makes the accuracy of her perspective highly suspect), emphasizing the inherent power of the narrative process.

The power of the narrative action is clearly visible in Milla's diaries, which contain her and Agaat's shared history. These books contain proof of the way in which Milla took possession of Agaat as "colonial subject". Milla orders Agaat to put away the books, but Agaat insists on reading them at Milla's deathbed, thus confronting her with them –a sign of rebellion.

By being the one reading books to Milla, Agaat is restored to a position of power. Milla doubts whether Agaat is reading the exact version of their history as written in the books (pp. 9-10). Due to the questionable

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[5] Her inability to commumicate is often made fun of, for instance in the Pink-lady incident.

[6] In the narrative process in particular Agaat differs radically from the traditional Afrikaans farm novel in which an authorial narrator and a chronological version of events are the norm.

nature of her memory, she is unable to verify Agaat's version of events. The question as to whether Milla's read version of events is comprehensive or whether she has perhaps annotated it remains unanswered (pp. 9-10).

Agaat as allegorical text related to tragedy: the relationship between implicit internal and implicit external authorial intention

The use of a diary in the novel links it to a post-colonial tendency in history writing whereby colonial versions of the past are rewritten. *Agaat* can be regarded as an allegory (refer to Coetser (1986) and Malan (1992)) of that part of the history of South Africa in which the power struggle between Milla and Agaat is a play on the struggle between the colonist and the colonised. Main events in the novel take place almost exactly on the same days as important events or phases in South African history: Agaat's birth in 1948 for instance coincides with the coming to power of the National Party (thus with the legalization of apartheid). Agaat is a symbol of the coloured African who experiences initial acceptance but is then rejected in a most humiliating fashion. Jakkie, born in 1960, is a Verwoerd baby, and like Boetman, he has had enough and rejects his parental upbringing, but is haunted by it. The onset of Milla's illness coincides with the birth of the 'New South Africa'. Her paralysis is indicative of the internal paralysis of the Afrikaner. (Jaeger, 2006: 28)

It is remarkable how many characters in *Agaat* lead what can be called 'tragic' lives: Agaat's initial status as "child" and her subsequent rejection; Jak's futile effort to sustain himself in a loveless marriage, his devolution and finally his death; Klein-Jak's life being juggled about like a toy by others and especially Milla's demise. These interpretations depend on conclusions drawn from implicit internal authorial intentions.

Agaat should be read in conjunction with other works in Van Niekerk's oevre in which the Afrikaner's identity is studied and satirised, namely *Die vrou wat haar verkyker vergeet het* (1992) and *Triomf* (1994). This will help establish a possible similarity between internal and external authorial intentions.

In *Triomf* the wall-paper existence of the Afrikaner, which is a denial of everything that does not form part of their supposed superiority, is criticised. The "wall-paper strategy" in *Triomf* also represents the rewriting of the Afrikaner's historical past and deals with issues such as the loss of farms, incestuous relationships, etc. The dysfunctional and morally-decayed Benade family featured in *Triomf*, is representative of the

Afrikaner's 'dark' and tragic side, and the author is clearly intent on revealing this 'dark' side. The incest is a metaphor for Afrikaner nationalism and its supporting discourses such as "Eendrag maak mag!" ("Strength in Unity!) (see *Tussenstand* 114). The exclusivity which lies at the heart of this ideology is condemned in this novel. Facts from the entire Afrikaner history are presented in this novel as a tragic allegory. Milla's fate in *Agaat* is tragic in the classical sense and her tragic flaw, her *hubris*, is at the heart of this tragedy: "[N]ot the particular misfortune in itself, but the existing conflict between the human desire to create our own destiny and our essential inability to do so" (Gilbert 27). Definitions of tragedy (see: Abrams 189-193; Conradie 537 - 540; and in particular Van Gorp 446- 448) can briefly be summarised as follows:

The hero brings about a fatal disruption in the natural order of things (in *Agaat* by attempting to purposely change someone else in an uncompassionate, loveless way). He or she is driven by a tragic mistake or recklessness, the so-called *hubris* (for example by thinking that one can bring about one's own or someone else's salvation). This mistake or *hamartia*, i.e., deifying oneself, causes one to fall prey to omnipotent fate. This is followed by an acceptance of responsibility, a process of heroic suffering that often leads to purging and introspection.

As tragedy, *Agaat* is an allegory of (the history of) the Afrikaner. In this interpretation, the Afrikaner's hubris was his belief that he had a god-given responsibility to transform others in his own image; to bring about his own as well as the salvation of others. This hubris inevitably led to a crisis. In *Agaat*, Milla experiences *peripeteia,* namely an acknowledgement of personal guilt. This moment of insight is known as *angnorisis*. Then follows the dénouement. It is clearly implied (as is in the case of Lucy's behaviour in J.M. Coetzee's *Disgrace*) that nothing is left except for acceptance and purging. Perhaps certain "solutions" exist for the Afrikaner: emigration (Klein-Jak), self destruction (Jak) or long-suffering acceptance (Milla). However, all of these imply the surrender of power - perhaps the ultimate tragedy of Afrikaner nationalism.

The catharsis was an essential element of classic tragedy. Catharsis refers to the effect that attending the tragedy (in this instance "reading") has on the viewer which is then followed by introspection. It also involves a cleansing process. "In ruimere zin wordt de term catharsis gebruikt voor het zuiverend, therapeutisch effect dat om het even welk soort literair werk (ook verhalend proza en lyriek) kan hebben op de lezer of schrijver" [in broader context the term catharsis is used for the purifying, therapeutic

effect that a work of literature (notwithstanding the genre to which it belongs, prose or drama) can have on the reader or author] (Van Gorp 78).

A positive element in the novel is that Milla's style of writing improves in the course of the narrative. The once struggling and somewhat naïve style of writing in her diary changes (ironically just as she loses her voice). Her attempts are skilful and display a narrative depth that was previously lacking. A lack of external power (symbols) are "compensated for" by internal growth. Perhaps one of the implicit authorial intentions is that surrendering political power can be beneficial in that it leads to internalization and growth – also artistically. This final interpretation is much more positive and hopeful than an initial reading of the novel might suggest.

Both of these 'positive' interpretations are brought about exclusively by the bridge that is erected between text and context. In the first instance this novel is linked to *Triomf,* in which the positive ending dominates the initial tragedies in the stories. A change of heart eventually results in a kind of renewal and "salvation". In addition, *Agaat* is linked to the genealogical features of the allegory and the classic tragedy. This in itself is proof of the heuristic significance of the concept *authorial intentions.*

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LITERATURE AS (A) DETAIL

SYLVIE CRINQUAND[1]

Abstract

This paper defends close reading as a valuable technique for the study of literary texts, since it tries to account for all details, including those which might not appear relevant at first reading.

This in turn raises the question of relativity, since what one reader may discount as a detail might appear essential to another; the paper thus turns to an analysis of the evolution of literary criticism as far as details are concerned, before finally considering how literature itself is sometimes viewed as detail by society.

Keywords: literature, detective fiction, biography, literary criticism

With a topic like this one, it is very tempting to open this article with an anecdote that might be considered as a rather irrelevant detail. In 2010 the whole wide world celebrated biodiversity, and my university was no exception. A celebration project was launched mostly by colleagues working in the field of natural sciences, for whom the preservation of as many species as possible appears essential, as it is related to survival. When I first heard of the project, I asked whether my colleagues working on foreign languages and culture could also take part in the event, in order to remind people in the town that such languages as Italian or Russian, to say nothing of Latin, could easily be seen as endangered species in the academic world today. My proposal was considered slightly eccentric, irrelevant, not significant enough, in other words a mere detail, and the celebrations took place without scholars specializing in foreign languages.

I mention this anecdote to stress from the start that my first thought about "details that matter" is that ALL details matter, just as all species were supposed to matter when the concept of the Great Chain of

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Being was first developed. Such belief grounds the fight for biodiversity, and beyond that, it might be one of the challenges in a global world bent on profit to reaffirm that such "useless" pursuits as literature, or understanding the history of a language, or the history of a people who is not our own, are not irrelevant details and should be encouraged rather than dismissed as a waste of time.

This article focuses on literature as detail, with an attempt to show how central the study of detail, *any* detail should be for the literary critic, all the more so because literature itself is viewed as a detail by some parts of society. The first point, of course, is to agree about what we consider as detail in literature. In her book on *Reading In Detail*, Naomi Schor never actually defines the word, but her essays show that what she has in mind are mostly elements of description, such as can be found in realistic or naturalistic novels – her field of research being 19th century French novels and Émile Zola in particular. Daniel Arasse's *Le Détail* focuses on painting, an art in which details may appear easier to define thanks to the actual space they occupy within the painting. In the very last paragraph of his book, Arasse states that he believes detail in painting can be transferred to literature as what Roland Barthes called "*vocable*," in English "word" or "term," an element of discourse that belongs to the text, but that can also strike the reader by its sheer brilliance. I believe that indeed we may consider certain words to act as details in a text, and I shall refer to a few examples in the course of this article.

In the etymological dictionary, we are reminded of the fact that the word "detail" originally comes from the French "*dé-tailler*," which was applied to trade, and also led to the creation of the word "retail" in English. Thus, historically, details are opposed to bulk, in a commercial context.[2] Details are considered inferior to the whole, not only because they are smaller, but etymologically because they are not seen to be as valuable. In literature, the notion of significance must be associated with the question of value, since we do find significant details (not major elements, but meaningful ones), some of those "details that matter," precisely. This hierarchy was largely comforted in art by the classical era, as both Schor and Arasse have reminded us. Sir Joshua Reynolds' *Discourses on Art* exclude details from high art, and the theory of the sublime, by praising the grand and wide, does the same. The detail is seen

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[2] This also accounts for the fact that details in art have been studied in relation to the visual arts, since painting is also more closely related to trade than literature, in great part because of the uniqueness of a painting. See Ginzburg, 1992.

as a distraction from the pursuit of the ideal, partly because it is concrete and sensual, perhaps too obviously human. Of course, since the 18th century, details have been defended, praised and reassessed, and when we read Reynolds today, we do so with the awareness that his views are outdated. The hierarchy remains, however, and as Schor points out, there are two sorts of details, the good and bad ones, or rather the details that matter, and the ones that don't. This is confirmed by Arasse, who uses the Italian distinction between *detaglio* and *particulare* to make the same point (Arasse, 1996: 11). I myself would distinguish between the functional detail, the one which obviously matters because it plays a significant part in a plot or in the setting, and the decorative detail, whose function is not so clear and which is more likely to be challenged, if only for reasons of taste. But I should stress from the start that the two categories of detail are necessary to each other: obviously one can't imagine finding only details that matter!

I propose to begin by looking at some details that matter, the "good" details studied by Schor, about which everybody seems to agree. Several literary genres rely on the use of details for their success as genres, the two most obvious being detective fiction and science-fiction. In science-fiction, the clever use of detail is a way of setting up the background and letting readers know that they find themselves in a world which differs from their own. I'll take one example, taken from Dan Simmons' *Endymion*.

> After the formal Saturday dinners, we would either have a group musical event or assemble in the cabaret theater for a movie – one of the ancient, celluloid kinds that had to be projected by a machine. It was rather like learning to enjoy cave art. Both Aenea and I loved the films he chose – ancient twentieth-century flat things, many in black and white – … (Simmons, 2005: 468)

Whereas the repetition of the word "ancient" is a rather heavy manner of emphasizing that the scene takes place in an undated future, the use of the adjective "flat" to characterize the movies is the detail I have in mind here. This detail is used as implicit knowledge, in an indirect way. And yet it is highly significant, since such "details" are what characterize science fiction, and lead the reader to know at once that the story takes place in the future. In this case, the detail matters because it is a constitutive, defining part of the literary genre; in the sentence I have just quoted, the absence of the adjective "flat" would not rob the text of its

futuristic dimension, but it would make the scene more artificial, as it were. This use of detail is not unlike what happens in realism or even in naturalism. Instead of creating what Barthes called "the reality effect", and rather than introducing reality into discourse thanks to its very apparent insignificance, we could speak here of a "futuristic effect". The function of such details is to flesh out the context, and to turn abstraction into concrete reality: instead of beginning the novel by writing "the year is now 2058", the author uses details to create his picture. These details therefore prove essential to the creation of a fictional universe, which can be understood by readers.

The other obvious example is detective fiction, where details matter so much that they become upgraded to the status of clues. Of course Sherlock Holmes, acting as the perfect sleuth with his magnifying glass, embodies close attention to detail. As he puts it in "A Case of Identity", "It has long been an axiom of mine that the little things are infinitely the most important." (Conan Doyle, 1996: 54) What Holmes stands for is a reversal of the established hierarchy. By paying close attention to detail, he deduces the truth and finds out what nobody else would have noticed. Thus, Holmes advocates close observation of reality, and the descriptions of characters are used as a starting-point for his intellectual deductions, as in this account made by Watson, the student trying to put his master's precepts into use: "He carried a broad-brimmed hat in his hand, while he wore across the upper part of his face, extending down past the cheekbones, a black wizard mask, which he had apparently adjusted that very moment, for his hand was still raised to it as he entered" ("A Scandal in Bohemia", Conan Doyle, 1996: 8). Every description has to be minutely accurate, and the more apparently irrelevant the detail, the better, since it will stand as a proof of Holmes' exceptional reasoning powers.

What is interesting is that Holmes describes his own practice as he would talk of art. The following excerpt is again taken from "A Case of Identity", and Holmes is answering Watson's question about some cases he has recently solved:

> They are important, you understand, without being interesting. Indeed, I have found that it is usually in unimportant matters that there is a field for the observation, and for the quick analysis of cause and effect which gives the charm to an investigation. The larger crimes are apt to be the simpler, for the bigger the crime the more obvious, as a rule, is the motive. (Conan Doyle, 2011: 50)

In Holmes' words, an investigation becomes a form of aesthetic creation, as is shown by his use of the word "charm" – a mere detail in this long sentence.

The two genres I have talked about so far belong to popular literature, but if we move on to a genre closely related to literature and to literary analysis, literary biography, we can see that the nature of details which matter also varies according to the scientific quality of the biography. I'll take two examples, taken from two very different biographies of John Keats. The first one is Walter Jackson Bate's famous *John Keats*, winner of the Pulitzer Prize for Biography, published in 1963, and the second, *Forever Young, A Life of John Keats*, was written twenty years earlier by Blanche Colton Williams. The comparison between the two openings is striking. Let us begin with Bate:

> John Keats was born on the 31st of October, 1795, the first of a family of five children, one of whom died shortly after birth. His young parents had just begun to manage the livery stables that the father of Mrs. Keats, John Jennings, had built into a fairly prosperous business. The Stables, which bore the name of the 'Swan and Hoop,' were in Finsbury (24 Moorfields Pavement Row), then on the northern outskirts of London. They served northeastern London and the adjacent villages, providing horses for hire and possibly even a few coaches. (Bate, 1963: 1)

This is a very factual account, so full of details that we even have the name of the street and the number of the house, duly inserted within round brackets to show the reader that although the detail is known by the biographer, it may not be as important as the other information given in this opening paragraph. The reader has the feeling that every detail matters in this sentence, and that the sum of all these details will create an exhaustive portrait of the poet's origins.

Blanche Colton Williams has a very different opening. I should mention that in her preface, she explains that her aim in this biography is to "revivify the poet as he was in everyday life" (Colton Williams, 1943: ix). Her book is seriously researched and, unlike other such biographical novels, does not take much liberty with the facts. But the difference in her aim can be seen through her choice of significant details:

> At the Bull and Crown, Holborn, Monday, April 14, 1817, John Keats climbed the ladder to the top of the coach for Lymington and Poole. He waved a final salute to George and Tom while the four horses moved briskly from the inn yard. Half past seven, he verified by his big open-faced, pearl-studded watch. (Colton Williams, 1943: 3)

Like Bate, Colton Williams uses details, and she too begins her biography with a date. But the difference lies in her mention of Keats's watch. She is accurately describing the poet's actual watch, but this is the kind of detail you will not find in Bate's biography, because it is not functional if we are interested only in understanding the poet's development. By comparing these two biographies, we can see the opposition between functional and decorative details quite clearly. Like the pearls on Keats's watch, the description of the watch is decorative in Colton Williams' biography, but like the flat film in Simmons' science-fiction novel, it has been included to flesh out reality, and therefore acts as a functional one in this particular biography.

Finally, even literature firmly recognized by the canon makes great use of detail. Let us take one of the most famous openings in English literature:

> It is a truth universally acknowledged, that a single man in possession of a good fortune, must be in want of a wife.
>
> However little known the feelings or views of such a man may be on his first entering a neighbourhood, this truth is so well fixed in the minds of the surrounding families, that he is considered the rightful property of some one or other of their daughters.

Could we imagine any Jane Austen novel without any such details? Indeed, could we imagine subtle irony without the presence of details, each of which matters? Each segment deserves to be read closely, so as to take note of each and every one of the words. In the famous first sentence I just quoted, the adverb "universally" is already loaded with irony, and the presence of an adjective to qualify the man and his fortune (the wife obviously needing no such qualification) also contributes to this introduction. Still looking at adjectives, the word "rightful" already hints at the narrator's stance in the novel, just as, in some paintings, a detail will reveal the presence of the painter. The effect of the sentence depends on the presence of all these "details", and it is characteristic of Jane Austen's

irony and of her genius. Her details are made for the connoisseur, who will be subtle enough to taste every shade of meaning.

Thus, the details that matter in literature contribute to defining genre and, as we shall see later, style as well. However, the assessment we make of details that matter varies according to our culture as reader, and perhaps even more so today, with so many people having become literate: we can no longer assume that most readers will share the same culture, as they did in the eighteenth century. Thus the very notion of details that matter hinges on relativity: what appears as detail to one reader will be essential to the other, and I am sure anyone who has tried teaching Jane Austen to a group of students will agree with me here.

This leads me to turn to Reading in Detail, to quote the title of Schor's book, and to the part played by history and by literary criticism, first in choosing which details matter, and then in assessing and making sense of details. We might say that literary criticism takes the matter of details one step higher by distinguishing between major and minor works – i.e. details in the history of literature – , major and minor writers. One notorious example is F. R. Leavis' *The Great Tradition*, which excluded Laurence Sterne (full of whimsical details indeed!) from his list of major English novelists.

Yet what is interesting here is to see new details beginning to matter along with new literary creations. This has partly been studied by Schor, who proposes to consider the 19th century as the Golden Age of the detail (Schor, 2007: 76). To go back to detective fiction, which is probably one of the most popular genres today, having gone global, the contemporary reader can switch from Inspector Chen to Wallander or Montalbano, or even our French Adamsberg, before returning to the Anglo-Saxon Scarpetta or Dalgliesh, to quote only a few detectives. The genre still relies on clues to solve the whodunit, but today, many details have been added to provide the reader with knowledge about the country where the scene takes place. Just as 19th century readership could travel to the South of Europe with Ann Radcliffe's heroines, 21st century readers discover the cold winters of Iceland and Norway or the wonderful lunches of Italy thanks to the background of detective stories. Thus the nature of the detail has evolved in these genres. The detective is now used as the representative of his/her country, and characterized as such, the writers having adapted to their wider readership; they now use details to create a reality effect.

To return to literary criticism, the evolution of literary criticism in the last 40 years is paradoxical as far as details go, since although the studies I have been referring to, all of which defend details as essential, were written at the turn of the 21st century, the movement of literary criticism appears to me to have been towards a more global approach to literature, not as interested in textual details as it once was. I believe we might distinguish between two critical approaches of details that matter, by opposing on the one hand structuralism and psycho-analysis to such approaches as cultural studies and gender studies on the other hand.

Both Schor and Carlo Ginzburg, whose essay on clues also questions the status of details (Ginzburg, 1992), emphasize how relevant all details are to psycho-analysis, and both analyze the similarities between Freud and Holmes. To quote Schor,

> As long as one persists in viewing the minute as an autonomous, self-sufficient element, it appears to be a usurper of signification, but once the mechanism of displacement has been discovered, once the detail has been connected with the whole it represents, it becomes the royal way to the unconscious. (Schor, 2007: 83)

She insists on the effect of displacement as a highlighter of details. As for Ginzburg, he brings together Freud, Holmes and Morelli as three figures supremely interested in what is revealed unconsciously, whether by the patient, the criminal or the artist.

As far as structuralism is concerned, Barthes' short essay on "The Reality Effect" aimed to find some structural significance even within apparently insignificant details, while what is known as Chekhov's nail, a text edited by Todorov in his collection of texts written by Russian formalists, highlights the fact that there is no insignificant detail in a text: "In the tale every single prop must be made use of. Chekhov thought about compositional motivation by saying that if at the beginning of the short story it is told that there is a nail in the wall, at the end the hero will have to hang himself from this very nail."[3] All details matter because they are signs, and in this respect Ginzburg's essay on tracks also considers them

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[3] « Pas un seul accessoire ne doit rester inutilisé par la fable. Tchekhov a pensé à la motivation compositionnelle en disant que si au début de la nouvelle on dit qu'il y a un clou dans le mur, à la fin c'est à ce clou que le héros doit se pendre ». Boris Tomachevski, « Thématique », in Todorov, 1965 : 282. *My* translation.

as clues. He is arguing in favour of semiotics, another critical approach which focuses on details, considered as signs and thus endowed with significance, but he grounds his demonstration on the idea that man, as a hunter, has always had to be able to read minute tracks in order to survive. In other words, paying attention to details is as much a matter of survival as the preservation of biodiversity.

Opposed to these two approaches, we can argue that more recent schools of criticism, by focusing on the gender and culture of the creator, tend to overlook certain textual details so as to consider the work of art within a broader context. I recently read a very interesting PhD thesis on Witi Ihimaera's work, where in some places I could not tell whether the analysis was referring to a book or to a film: the texture of the work is not as essential for some of these critics as the context. Thus, what would have been considered irrelevant for a structuralist reading, i. e., the biography of the author, or even the personality of the critic, becomes foregrounded by some works of criticism. This supports Schor's view about the detail as a key factor in times of changes.[4]

Schor also stresses the dangers of over-interpretation, of wanting to interpret every single detail, as some structuralists might have done. But I believe there is an equal danger of forgetting the details of the text by reading too much too fast.

Indeed, close reading is indispensable if we are to savour details in literature, just as you have to move closer to a painting if you want to see its minutest parts, which entails a change in perspective. Such an approach is advocated by Arasse in his book on painting, since its subtitle is "For a Closer History of Painting" ("Pour une histoire rapprochée de la peinture").

A closer reading of texts leads us to take into account all details, significant or not, since only analysis can reveal which details actually matter. To conclude, I now wish to turn to the details which are not functional, Schor's "bad" details, those details which even the most astute structuralist critic fails to account for. According to Arasse, some of these details are there to create what he calls intimacy with/in the painting. He starts by stressing that small details in painting are polysemic, which means that latent meaning can be introduced within an explicit image.

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[4] "If we consider the prominence of the detail in the writings of some of those who name pivotal moments in the history of modern aesthetics – Reynolds, Hegel, and Barthes – it would appear that at moments of aesthetic mutation the detail becomes means not only of effecting change, but of understanding it." (Schor, 2007: 21)

This leads him to point out that such details often draw attention to the intimacy of the painter himself: "intimacy whereby the painter marks his presence within the painting by means of one or two iconic details, discreetly set up."[5] Arasse gives several examples of this use of details, some of which act as a form of signature.

The three specialists of the detail I have used so far all refer to Morelli's studies, which proved that the style of the painter could best be recognized in his treatment of such details as hands and feet, not usually considered the most significant parts of the painting. The word "intimate" applies here too, since the details selected by Morelli are partly the result of unconscious reflexes on the artist's part. I believe we can transfer his method to literature: Wordsworth, for instance, can easily be recognized through his use of double negation, especially to express a positive feeling, as in these few lines from "Tintern Abbey":

> (…) Nor, perchance,
> If I should be, where I no more can hear
> Thy voice, nor catch from thy wild eyes these gleams
> Of past existence, wilt thou then forget
> That on the banks of this delightful stream
> We stood together; (Tintern Abbey, vv. 147 – 152)

These lines are addressed to the poet's sister, and they serve to show the power of memory, but their unconscious message is one of doubt, mostly conveyed thanks to the accumulation of negative words. In a way, this characteristically negative structure, which sometimes makes the meaning of Wordsworth's verse slightly obscure, represents a form of unconscious signature, not unlike some of the examples given by Arasse. Such details might be considered as a flaw, since in a poem designed to express faith in the memory of nature, the poet ends up stressing his own hesitations, in spite of himself, as it were. However, precisely for this reason, I believe these details to be constitutive of the text's uniqueness, of the writer's stamp as a writer. The use of negation is Wordsworth's trademark, just as surely as the belief in a harmony between man and nature.

To give another example, I would like to turn to a few lines written by a master of the irrelevant detail, the specialist of the digression

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[5] « une intimité où le peintre marque sa présence au sein du tableau au moyen d'un ou de plusieurs détails iconiques, discrètement élaborés. » (Arasse, 1996: 294).

leading to … another digression. In his *Confessions of an English Opium-Eater*, Thomas de Quincey spends so much time accumulating what appear to be irrelevant details that the reader sometimes despairs of his getting to the point, i.e., his dealings with opium; and if most of de Quincey's work has now been forgotten, it might be precisely because he appears to be accumulating too many details without expressing anything essential. However, he justifies his style in a later essay, *Suspiria de Profundis*, with the beautiful image of the caduceus, which I am going to quote at length, though unfortunately not in full, because that would take too long, to remind you of his manner of writing:

> … I tell my critic that the whole course of this narrative resembles, and was meant to resemble, a *caduceus* wreathed about with meandering ornaments, or the shaft of a tree's stem hung round and surmounted with some vagrant parasitical plant. The mere medical subject of the opium answers to the dry withered pole, which shoots all the rings of the flowering plants, and seems to do so by some dexterity of its own; whereas, in fact, the plant and its tendrils have curled round the sullen cylinder by mere luxuriance of *theirs*. (…) … the ugly pole – hop pole, vine pole, espalier, no matter what – is there only for support. Not the flowers are for the pole, but the pole is for the flowers. (…) The true object in my 'Opium Confessions' is not the naked physiological theme – on the contrary, *that* is the ugly pole, the murderous spear, the halbert – but those wandering musical variations upon the theme – those parasitical thoughts, feelings, digressions, which climb up with bells and blossoms round the arid stock; ramble away from it at times with perhaps too rank a luxuriance; but at the same time, by the eternal interest attached to the subjects of these digressions, no matter what were the execution, spread a glory over incidents that for themselves would be – less than nothing. (de Quincey, 1998: 94)

These lines are characteristic of de Quincey's style, which can be recognized by his determination to spare no detail – the whole text is almost twice as long as what I have given here. What de Quincey, often dismissed by his contemporaries as "little" Mr. de Quincey, partly because of his soft, feminine demeanour, is here asserting, with quite a luxury of details, is that without these details, some of which he considers "parasitical", his text would have no life in it. Using sexual overtones, he unequivocally defends the necessity of having unnecessary details in a text, if the text is to be of interest at all. Of course this is indirectly a

defense of imperfection, and of the human trace in writing, not too surprising for a writer who confessed his addiction to opium.

However, this is not too far from Holmes' delight in the "charm" of "unimportant matters". De Quincey's choice of words shows that he is talking of pleasure, the pleasure we derive from literature, which Barthes, again, called the pleasure of the text. Keats, often criticized for the cloying quality of his early poetry, too heavily wrought with details, draws from Spenser's *The Faerie Queene* to write a few words of advice to his fellow poet Percy Bysshe Shelley in a letter of August 1820: "You I am sure will forgive me for sincerely remarking that you might curb your magnanimity and be more of an artist, and 'load every rift' of your subject with ore."[6] The sounds of this short phrase show how much Keats enjoyed such literature, and thus we can understand why the theoreticians of the sublime despised details as too earthly, too enjoyable perhaps.

Indeed, the details which do not have a functional part to play in a text sometimes create the texture and feeling of a description: Dickens is a master of the sensual, concrete detail, especially to describe his characters. I used the word "savour" earlier to qualify close reading of literature; part of this tasting process has to do with details, and precisely with those details which apparently have no function in the text, because they may trigger our imagination, thanks to their open status as far as interpretation goes. Paying attention to details reminds us that literature is there to be enjoyed, and not only to convey a message. I have not found time to speak of the use of details in humorous texts, but some forms of humour depend on the presence of incongruous details, or on the blurring of the frontier between essential/insignificant. For instance, Lady Bracknell's interrogation of Jack Worthing in *The Importance of Being Earnest* in order to assess whether or not he can be considered "an eligible young man," depends on such a reversal of values.

However, since traditionally literature is supposed to instruct and entertain, stressing the enjoyable nature of a literary text may appear as a way of undermining the more serious approach, which focuses on the teachings we may expect from literature, in other words on the usefulness of literature in society. In this respect, every part of the text has to prove its worth, because otherwise the readers may feel that they are wasting time reading unedifying material. This may partly account for approaches

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[6] Keats, 1976: II, 323. This letter answers Shelley's offer of accommodation in Pisa for Keats, in which Shelley had given Keats some advice too.

like structuralism, in which every detail was shown as useful. It was a form of defense of literature, made to look as organized and valuable as possible.

Indeed, as we try to look at the bad, useless details, the ones which would not matter to some readers, we find that there are no such things: every single detail matters, for various reasons. Even the details I referred to earlier as "decorative" details matter, because they characterize a writer's style. However, by taking all details as details that matter, we have to go back to where we started and to the commercial significance of details. Trying to distinguish some details by saying that only they matter means that the value of the work is being assessed, some parts of it dismissed as worthless, not significant enough to be considered. De Quincey might be criticized for his manner of accumulating details instead of coming straight to the point. But, then, of course, if de Quincey did not write rambling, digressive sentences, he would not be de Quincey. In other words, Schor's "bad" details are what some might consider to be the weakness of a work of literature, Wordsworth's repetitive use of negation, or de Quincey's meandering sentences, or even Keats's tendency to over-indulge in pleasant evocations, all of which characterize these writers' works. That is why I feel that all details matter, perhaps not always because of their function in the structure of the work of literature, but more subtly as the expression of the writer's uniqueness.

Then I believe de Quincey has a point when he shows the purely functional as sterile, and thus deadly, in terms of art, because details could be considered as a synecdoche for literature. The study of literature, especially literature written before the beginning of this century, is not considered as essential for society. One appears far more serious nowadays if one is doing research on nano-technologies or cancer than if one is studying literature, and when trying to obtain subsidies from local authorities, I always have the feeling that research in foreign literature – or for that matter, any form of literature! – is kindly tolerated as a form of harmless hobby, far from essential. The funds we require to carry out our work are a mere detail in the local council's budget, compared with the hundreds of thousands of euros considered essential by colleagues doing research in physics or medicine. The relativity of the detail still applies here: to the people working with me in foreign languages, this "detail" is a lot of money!

That is why ALL details matter when we read a work of literature. In his preface, Arasse explains that for a historian, "details represent an

"experience" which only appears to be secondary." (6) He considers details as a discrepancy, a form of resistance to the painting taken as a whole, and he points out that details draw attention to the process of representation itself. Derrida's theory of "*différance*" is not so far from this view.

And therefore, to conclude, I would like to urge you to enjoy all the details a book may offer, significant, symbolic, emblematic details, but also, and even perhaps more, irrelevant, incongruous, insignificant or even whimsical details. They are Keats's "ore", they are the essence of literature.

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THE IMPORTANCE OF THE DETAILS
IN PETER ACKROYD'S HISTORICAL NOVELS

ANCA (BURADA) CHIMORGIACHIS[1]

Abstract

Peter Ackroyd (1949-), one of the most prolific contemporary British writers, is a novelist, biographer, poet, (literary) critic, dramatist and essayist whose works come to confirm the diversity of the postmodern period. His fiction takes place in different historical periods, mingles real events with fictional ones and succeeds in raising many postmodern questions. Ackroyd's historical novels seem truthful (and thus make way for doubt) because he is a thorough researcher who knows the importance of the details.

The readers rapidly accept the language styles Ackroyd emulates as real examples of the speech of the period, the cures presented as true, and the way people thought, looked, wore and ate in distinct time frames as real. All the details Ackroyd inserts are only apparently insignificant because the smallest information is of the utmost importance for the overall image that leads to the unity of his historical novels.

Keywords: postmodernism, history, research, truth, knowledge

Peter Ackroyd (born in 1949) - one of the most prolific contemporary British writers with almost 50 book written so far in his 30 years of career -, is a novelist, biographer, poet, (literary) critic, dramatist and essayist whose works come to confirm the diversity of the postmodern period. His biographies of T.S. Eliot, Dickens, Blake and Thomas More are both imaginative and convincing. His fiction – located mainly in London - takes place in different time periods, mingles real events with fictional ones and succeeds in raising many postmodern questions. Ackroyd's entire work is deeply connected with history and by doing so he faces the challenges raised by contemporary literature.

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History is a much debated concept in the contemporary academic sphere, especially by those concerned with postmodernism, as scholars demonstrated that the present is inevitably connected with the past. Postmodernists noticed that all present beliefs and actions show a similar or dissimilar position to past beliefs and actions; nothing is new – it is alike or different from something from the past. Contemporary period, including postmodernism, is "a moment clearly saturated in historical awareness" (Adair 15).

Ackroyd's fiction, centred in one way or another on history, fits perfectly in the context of contemporary British literature in which it is created. All his novels are linked with history; some novels are set in the past, some blend past and present and one is set in the future but it captures the essence of history. Writing, with its contemporary postmodern tools, is for Ackroyd an intellectual play that allows his to mingle past with present and real with unreal. Thus Ackroyd demonstrates that postmodern fiction, with its "its froth of brainy playfulness, of intellectual fooling and pretending" (Adair 15), has given birth to an entire "wave of wholly serious, scholarly developments in our attitude towards the art of the past". (Adair 15)

Ackroyd preference for the past is shown in his historical novels like *Chatterton, The House of Doctor Dee, Dan Leno and the Limehouse Golem, The Clerkenwell Tales, The Casebook of Victor Frankenstein*. His historical fiction emulates different aspect of the past periods: from language to beliefs, from clothing details to medical cures, from cuisine issues to scientific experiments and so on.

Usually writers who set their stories in the past and/or place in no particular place are – for the reader - the main source of information about the aspects described in that books as belonging to a certain period of time and/or location.

> For a writer, setting novels in the past is seductive. If you write about the present, readers know as much as you do and judge you by what they know. But if you write about the past, you are often their main source of information. All you have to do is convince. (Pennison 14)

However, authors of historical novels tend to embrace some guiding lines that help them make a point: some consider it is very important to present in detail as many aspects as possible about the period or place where the story is set and other decide to exclude rich descriptions and concentrate on the events of their plot. The latter kind of

novelist tells stories that can happen anytime and anywhere and the context around the main plot is not important and it should not distract the attention of the reader from the leading events.

> Some writers stun their readers with research, showing every detail of clothes, food, manners and turn of phrase, and keeping strictly to such facts as are known. This kind of 'documentary' historical novels used to be more popular than any other. […] the second kind of novel puts the 'great' aside and concentrates on ordinary people's lives. These books are, so to speak, 'true' novels which are given extra depth and colour by setting them in the past by the way they show recognizable relationship family life, hopes and fears in a context of historical events. This kind of historical novel, nowadays more popular than the other, ranges from 'literary' books to crime novels and romances and family sagas. (Pennison 14)

Ackroyd writes his stories being well aware of the exact circumstances that surround the events described in his book. His historical novels are different from the historical novels described above by Pennison because they show a great devotion to details that describe a certain time period while being creative and imaginative at the same time. Ackroyd's fiction is not constrained by the facts mentioned in the history books; he works with real events and people but he does not stick to them exactly, so his novels are at the border between reality and fiction. He consciously mingles so many real things with a bit of fiction because it allows his to raise question in the postmodern context. The British writer offers alternatives to known historical facts and emphasized the importance of multiple interpretations because "rather that constructing final and unified 'truths,' postmodernists delineate contradictory notions of the truth" (Appleby et al. 389).

Research is a strong face of Ackroyd's literary identity. His preference for history and his biographer side are added value to his fiction. The British writer draws the needed information with his attention for historical and biographical details and uses them wisely in his historical novels. His fiction, be it set only in the past, or both in the past and in the contemporary period, "benefits from a researcher's eye for extraordinary and revealing details about the past" (Pennison 1).

Furthermore, Ackroyd's characters show a great likeness in view with their author. So, Ackroyd makes his characters say what he actually believes. The author's attitudes towards many aspects can be discovered in

the words of his characters. The main character in *The House of Doctor Dee*, Matthew, is himself a researcher, much as Ackroyd and has similar thoughts.

> I became a researcher and entered the past: then one book led to another book, one document to another document, one theme to another theme, and I was led down a sweet labyrinth of learning in which I could lose myself. (129)

As Ackroyd himself, his characters have "a great passion for the past" (*The House of Doctor Dee* 141) as "one secret led to another secret" (*The House of Doctor Dee* 177). In the same manner Ackroyd's research for his biographies was also inspiration for his novels and his novels could as well motivate his further research for other spheres of his career. Contemporary critics agreed that "while his lives of Ezra Pound, T. S. Eliot, Dickens, Blake and Thomas More have found separate acclaim, a principle of literary and biographical criticism also informs much of his fiction" (Head 4).

Historical facts

Events and people more or less know from the history books find their way in Ackroyd's novels through a trans-world procedure that the postmodern writer embraces every time he has the opportunity. Many of his novels are actually constructed on the personalities of past literary identities taken from the English tradition: Oscar Wilde, Chatterton, Hawksmoor, Mary Shelley and others. His fictional novels use one or more real events in order to construct a veridical environment for their plots: the shows given by Dan Leno are familiar to the English public and so are the debtor's prisons of the Victorian area that Dickens also described in his works.

Ackroyd's *Last Testament of Oscar Wilde* is based on so many real historical facts that it can be considered a biography of the fin-de-siècle writer. The novel, written as an autobiography, follows the life of Oscar Wilde from his childhood to his death in Paris, and does not contradict the official records in the slightest way: Wilde studies at Trinity College, he meets his wife Constance, he has homosexual experiences, he is imprisoned and then exiled. Many – if not all of the - details of Wilde's life are presented in Ackroyd's book, demonstrating that the writer has done a researcher's job before creating this novel.

Other novels, like *The Casebook of Victor Frankenstein,* allow

Ackroyd's creative imagination to fill in the gaps between official historical records with fictional events that construct his novel. Mary Shelley's conversations within the literary circle composed by Percy B. Shelley, Lord Byron and their friend John Polidori inspired the young woman to write the supernatural tale of Frankenstein and this same situation is rendered in Ackroyd's novel. However, the contemporary version of Frankenstein reveals Victor Frankenstein in the posture of a friend of the writers mentioned above, a participant in the discussion that served as Mary Shelley's starting point.

So, real identities and past events are tools that help Ackroyd construct verisimilar historical novels. Combining the real facts with the fictional is the perfect mixture that allows the postmodern writer to create a novel situated at the border of the traditional literary genres and – maybe – a new kind of novels that crosses the known limits.

Location

Of utmost importance in Ackroyd's fiction is the location in which the plots are places. This English writer choose the British capital as the primary location for his novels, he "sets many stories in London […] and superbly evokes its people and atmosphere both today and in different periods in the past" (Pennison 2). By making this city the only location in many of his novels he succeeds in constructing veridical plots as the readers – many very familiar with the area – can easily imagine the action of the book. Ackroyd's characters move through the streets of London demonstrating that "beneath their steps it is always the past" (*First Light* 41) as everything in this city has a history that the writer considers worth telling.

Ackroyd's novel *The House of Doctor Dee*, for instance, rapidly captures the attention of the reader by beginning with a journey in London:

> It begins to happen when I leave Central Line at Notting Hill Gate, and ride the escalator to the Circle Line platforms on a higher level […] the train moves on from Edgware Road and Great Portland Street to the old centres of the city. (*The House of Doctor Dee* 1)

The physician in *The Summoner's Tale* walks down the streets of 1399 London and Ackroyd takes the readers step by step in this journey through the city, walking "over to the corner of Friday Street and Cheapside" (*The Clerkenwell Tales* 114), passing "by the corner of Watling Street" (*The*

Clerkenwell Tales 115) and turning down "Lamb Alley and into Sink Court" (*The Clerkenwell Tales* 115).

Language

  One of the areas in which Ackroyd excels as a novelist is imitating language styles, especially the British language of past centuries. The particular quality of Ackroyd's novels lies in what the author appreciated about previous writers as Joyce and Eliot: "their historical consciousness; they are aware, more than anything else, of the past and the volume of language - and the uses to which it could be put" (*Notes for a new culture* 61). Ackroyd "rediscovers the forgotten and various past of language and redeploys it with a sense of complete mastery" (*Notes for a new culture* 61).

  Chatterton is perhaps the best example of emulating "multiple, historical perspectives of language" (*Notes for a new culture* 62) as Ackroyd interlinks in this novel three distinct time periods in order to "releases the reader from a fixed time and place" (*Notes for a new culture* 62). Language styles corresponding to the 18th, 19th and 20th centuries are wittingly employed in this postmodern book which gains unity from the diversity of the three different styles corresponding to three different cultural frames.

  Ackroyd's Thomas Chatterton emphasizes the particularities of the English language of the past centuries by bringing together his own words of 18th century style and the words of the medieval poet he invented:

> there was a pretty little Sentence, *viz* ' And so they toke him by every parte of the body', to which I then added, 'and bare hym into a chamber and leyde dim a rych bedde'. The very words had been called forth from me, with as much Ease as if I were writing in the Language of my own Age. Schoolboy tho' I was, it was even at this time that I decided to shore up these ancient Fragments with my own Genius: thus the Living and the Dead were to be reunited. From that very moment, I ceased to be a meer Boy. (*Chatterton* 85)

  Victorian British language is evoked in the passages placed in 1856, when the painter Henry Wallis completed his 'Death of Chatterton'[2]. The dialogue between the two shows not only an example of language in the middle of the 19th century but also allows a pick at the

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[2] The painting now one of the most important paintings in Tate Museum in London

belief of the period. In less than one hundred words Ackroyd succeeds in presenting a complex picture of the Victorian era by integrating the thoughts of the artist of the period:

> 'So this is how you see your own poetry, I take it?' …
> 'Not at all. I don't aim so high. I can only lay claim to a small enclosed room, a little narrow space of observation where I set my pen. Of course there *is* a reality -
> 'Ah! The tune has changed!'
> '– But, I was going to add, it is not one that can be depicted. There are no words to stamp the indefinite thing. The horizon.' (*Chatterton* 133)

Chatterton allows Ackroyd to reveal his remarkable knowledge with every aspect of the British language and to cunningly employ it in constructing the novels. In contrast with the parts of novel where he imitates past language styles, Ackroyd places the largest part of this novel in contemporary world where British language gains new values with its idioms and slang language:

> There was only one Joynson listed in the Bristol directory … And it sounded to Charles as if an elderly man answered when he telephoned and asked for the person of that name. …
> 'A cockney boy, are you? I hope you haven't got any tattoos.' Charles confirmed that he had none. 'Oh well, never mind. Come down anyway.' And he replaced the receiver before Charles had any opportunity to arrange a time for this prospective meeting. [...] he described it that evening to Philip, who was at once eager to join him.
> 'The quest begins on Saturday,' Charles said excitedly. 'Oh do not ask what is it. Let us go and make our visit!' (*Chatterton* 44-45)

Clothing details

Apart from the languages area which Ackroyd masters in his historical novels, he shows that all historical aspects are important and relevant for his fiction. Details concerning the clothing of his characters are in many instances present in the novels and they prove helpful in the development of the plot of the book. Ackroyd's descriptions are not done for the sake of the details themselves as he inserts them in order to convincingly create the atmosphere of the action. In *Dan Leno and the Limehouse Golem* one of the characters, not wanting to return home, wonders on the streets of London and founds himself lost "among the maze of streets" *(Dan Leno and the Limehouse Golem* 243). Ackroyd's

character, "thoroughly lost among the small courts and alleys" *(Dan Leno and the Limehouse Golem* 243), is somehow frightened by the surroundings, including "the two men, in corduroy jackets and dirty neckerchiefs, banging upon a stove-pipe with some wooden clubs" *(Dan Leno and the Limehouse Golem* 244) and "a young men wearing a long-sleeved waistcoat and a canvas cap, [who] came out from the dark entrance of an oyster shop" *(Dan Leno and the Limehouse Golem* 244). In the novels where artists feature, Ackroyd allocates space for describing the clothing details which characterize the show business area of the particular time period:

> My father and I always wore the same clothes, too. I had a peaked cap, stiff collar and short grey jacket which was known as a 'bum-freezer'. He was carefully dressed and for the performances wore the same black three-piece suit with a watch-chain strung across the double-breasted waist-coat. (*English Music* 7-8)

Medical issues

Ackroyd describes in many circumstances the ways in which people used to be treated for different illnesses in past times. *The Clerkenwell Tales* and *The House of Doctor Dee* show a great interest for manners of curing the sickness. In the 14th century the physicians used a mix of "the grease of a boar and the grease of a rat, the grease of a horse and the grease of a badger, soused the concoction in vinegar, added sage" for the "heaviness of stomach" (*The Clerkenwell Tales* 88) and other such remedies to cure the patients. The 16th century featured similar cures for similar illnesses:

> Sorrow came to my kidneys […] it was a great fit of stone as I felt it, and all day, Mr Kelley, I could do but three or four drops of water. But I drank a draught of white wine and salet oil and, after that, I ate crab's eyes in powder with the bone in the carp's head. Then at about four of the clock I ate toasted cake buttered, with sugar and nutmeg upon it, but I also drank two great draughts of ale with it. And then do you know the effect? I voided within an hour all my water, together with a stone as big as Alexander seed. So what would these physicians have me learn from them, when I know all? (*The House of Doctor Dee* 147)

The Clerkenwell Tales is another example of Ackroyd's thorough research in all fields ranging from the British cuisine of the 14th century to medicine, science, astronomy and how this intermingled in the lives of the

Londoners of that period. Some critics argue that the abundance of the historical details could work out in the detriment of the novel as the book's effect could be that of snuffing out "any possibility of imaginative expansion on the part of the reader" (Smee). However, Smee concludes that the "historical colour" of Ackroyd's *Clerkenwell Tales* – although stuffing the book – manages to bring to life the late 14th century London and sharpen the readers' sense of the period.

Food

In "The Cook's Tale" the writer describes in detail what people used to eat, the place (called cookshop) where people gathered for lunch and the way in which the food was prepared. The details related to eating habits of the people who frequently ate at the cookshop brings both interest and pleasure to the readers:

> Thick waves of smell, meat upon meat, were mingled with the sharper savours of pike and tench; the musty odour of ell was mixed with the tang of pig's flesh, the quickness of herring with the slowness of oxen. […] The kitchen was a little city of smells. There was not one person who passed the cookshop who did not perceive the differences between them, who did not distinguish between the savour of beam and of perch, of leeks and of beans, of green figs and of cabbage. The savour of cooked food, fish or flesh, permeated the stones of the neighbourhood. (*The Clerkenwell Tales* 147-148)

Moreover, Ackroyd states some beliefs that characterized that particular time frame. The end of the 14th century is, in Ackroyd's view, one which brings together talent and knowledge and scientific research. The writer, in the words of his characters, mentions that in those days it was believed that "a good cook is half a physician" (*The Clerkenwell Tales* 151) and "a good physician is half a cook" as the 14th century doctor cooks "essences and quantities over the fire" (*The Clerkenwell Tales* 151). Also, a physician must have certain knowledge in the field of astronomy as medicine is – as Ackroyd's characters states in 'The Physician's Tale' - closely related to the stars.

> It is not the month for the neck. Taurus is the sign for neck and throat. A surgeon, Nicholay, may not cut any member of a man's body until the moon is in its proper sign. Take you head. […] Aries, which is a fiery sign, moderately dry, governs the head with all its contents. […] So when the moon is in Aries I am ready to operate upon your head and

your face, or to open one of your head veins. A surgeon must also be an astronomer. (*The Clerkenwell Tales* 92)

Science

The scientific domain is present in many of Ackroyd's novels as the writer studied architectural principles before writing *Hawksmoor*, archaeological fundamental elements before creating *The Fall of Troy,* theories related to the analytical engine for *Dan Leno and the Limehouse Golem* and the laws that govern the electrical machine used in Frankenstein's experiments. Ackroyd attributes a significant value to the scientific stage of the period when Mary Shelley's *Frankenstein* appeared. This pre-Victorian scientific context allowed him to create a complex and verisimilar plot for *The Casebook of Victor Frankenstein* in which the dead matter is brought to life by means of a complicated electrical machine:

> I decided to begin work upon the damaged specimen, in case of some early blunder on my part. So I proceeded quickly to prepare it, washing it first with a solution of chloride of lime. … Then I took the precaution of fastening the subject to the table by means of a long leather strap. I had already decided to attach the metal clasps to the neck, the wrists, and the ankles, where the vital motions of the body are most exercised; the voltaic current was to be transmitted by means of thin metal wires that would not impede movement. The engines were ready, with great strips of zinc and brass separated by pasteboard soaked in salted water. I had primed the batteries, and placed the conductor at both ends. All was in readiness for the creation of spark that might light a new world. (110)

Ackroyd is well aware that – as Brian McHale points out in *Postmodernist Fiction* - the fictional text has a special logical status: its condition of being in-between, amphibious, neither true nor false, suspended between belief and disbelief. Readers do not evaluate the logical possibility of the preposition they find in literary texts, in the light of the actual world, but rather abandon the actual world and adopt (temporary) the ontological perspective of the literary work (33).

However, Ackroyd's fiction is constructed on so many real elements that he does not give the reader the possibility to doubt anything. Some of his novels seem to be "works of documentary history, with every phrase checked and verified from first-hand accounts" (Pennison 14), having a biographical value. The readers rapidly accept the language

styles Ackroyd emulates as real examples of the speech of the period, the cures presented by Ackroyd as true, and the way people thought, looked, wore and ate in distinct time frames as real. Eventually, the readers give more and more importance to the detail, especially the language "which speaks and becomes the hidden subject" (*Notes for a New Culture* 56). All the details Ackroyd inserts in his works are only apparently insignificant because the smallest - but perfect - detail stated is of the utmost importance for the overall image that leads to the unity of his historical novels.

In a nutshell, the details Ackroyd employs in his historical novels are crucial tools for the truthfulness of his stories because the concise yet essential descriptions the writer puts forth manage to make his fiction convincing.

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RELIGIOUS BELIEFS
IN ALICE WALKER'S *THE COLOR PURPLE*[1]

MARIA-MAGDALENA FĂURAR[2]

Abstract

Taking a cue from James H. Cone's *A Black Theology of Liberation* - considered the foundational text of black liberation theology, in which God is re-imagined as deeply concerned in the real life struggles of black people, Alice Walker re-envisions the notion of God focusing on religion as a strategy for social change. Alice Walker's appropriation of God's vastness is a prevalent theme throughout *The Color Purple* and crucial for the protagonist's survival. The purpose of this paper is to examine and support critical discussions of details that matter such as church, concepts of God, biblical patriarchy and spirituality that undergird religious discourse in Alice Walker's *The Color Purple*.

Keywords: God, religion, spirituality, pan(en)theism.

A controversial text such as Alice Walker's *The Color Purple* problematizes religious discourse by providing a way to explore and interrogate religious ideology without condemning or belittling one's beliefs and practices, while also actuating religion's potential toward social critique. *The Color Purple* is an epistolary novel that chronicles the main character's journey toward self-discovery and love, as she breaks the chains imposed on her by an oppressive racist and sexist society through the agency of letter writing and considerably through meaningful personal, communal and spiritual relationships.

The Color Purple interrogates black religion in a manner that shows love and understanding of the black world while holding black religion and black people accountable for their behaviour and attitude. There are numerous critical treatments of religion, spirituality and the concept of God

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with regard to *The Color Purple*. For example, Cheryl Townsend Gilkes applauds the novel's "intersection of spirituality and human emancipation" (Gilkes 276), reading the text as a "subversive and critical ethnography [which] offers a prophetic critique of oppression and its consequences" (Gilkes 277). Furthermore, Kimberly R. Chambers believes that the novel's "notion of religion springs from folk tradition" (Chambers 49), which "flow(s) directly from the piety of church-going Southern blacks, piety with roots in the folklore tradition that Walker respects and defends" (Chambers 57).

The female protagonist goes through tumultuous relationships with male counterparts in her life: her stepfather, her husband, and even God. In the early parts of the novel, she believes that her relationship with God is the key to salvaging her dignity and self-worth. Celie perceives God as her confident and helping hand, yet she fails to realize that this relationship and understanding of God has crippled her process of growing deviating from self-development and the attainment of an independent African-American woman. She clearly utters that as long she can spell "G-O-D" (Walker, 1985:18) she has someone by her side. Although, she feels deep down that her vision of God as a white patriarch "don't seem quite right" (Walker 201), but it is all she has got left. Celie is unable to establish a meaningful relationship with God because her comprehension of God includes a model - a man. It actually is her stepfather, Albert, the one who initially elicits in Celie the desire to forge a connection with God, as conveyed in the admonition he gives to her "You better not never tell nobody but God. It'd kill your mammy". (Walker 1). For Celie, there are a few dissimilarities between a male and God. Her image of God is that of a man who is "big and old and tall and greybearded and white ... [with eyes] sort of bluish-gray". (Walker 201). Thus, one can argue that her victimization by her stepfather and husband is validated by the God that she serves. The protagonist, repeatedly subjected to her father's beatings and rape as a child, trapped in a loveless marriage and a cycle of domestic abuse that follows her into adulthood, associates male with power. Therefore, it is no surprise that Celie portrays God as a *He*.

Not only is she victimised and dehumanized but she also is in a state of what Ira Shor calls "false consciousness" (Shor, 1987). For instance, despite the fact that the church people are aware of what kind of man her husband Mr__ is and the way he treats Celie, the women still fawn over him in church. Following a similar pattern, even the pastor mistreats Celie and nobody seems to care. In this sense, the women take on the ideas of their oppressors and this is what Ira Shor talks about with false consciousness. On the one hand, the church and its patriarchy do not support the protagonist's full humanity. On the other hand though, the female character is unaware of

the fact that things could be any different because she has never experienced anything else until Shug Avery's arrival in her life. Therefore, she cannot even imagine a way out the patriarchy because it is all around her. In this case, imagination functions as an important element of change and a critical component of black existence.

We can encounter an example of imagination in the Civil Rights Movement where black people are supposed to imagine themselves as free. However, in order to do that they needed a model to refer to that would help them understand their ordeal and predicament, and ultimately carve out a new identity. They had to imagine that they were like the Jews. For centuries, African Americans have used the Bible as an instrument of liberation, employing black biblical hermeneutics to serve a variety of social, political, and personal needs. Before and after emancipation, many religious blacks likened their social situation to that of the Jews in the Old Testament who sought their deliverance from slavery and the rights of free people. Moses and Jesus figured significantly in the African-American struggle, both acutely aware of suffering, and promising hope, healing and salvation.

Thus, imagination and models are crucial devices in the process of black people's liberation, needed to lift the heavy burdens, the legacy of unrelenting oppression, helping them surpass the false state of consciousness and march towards a state of liberation. In the novel, Celie finds it very difficult to imagine herself as Shug. The mistress acts as a catalyst for change in Celie's life, that prompts her to confront her husband's patriarchalism, reject the patriarchalism of her religion, and following Shug, begin to construct a new religion of her own. Celie creates a kind of womanist religion, but she cannot do that until she first understands how she is being oppressed and the role she plays in her own oppression. The idea of focusing on one's oppression seems important because that is exactly what Celie does not do for much of the novel. Instead she worries about serving others and ignores her own miserable condition.

To imagine God as a man meant for Celie to associate Him with the other men in her life, namely a stepfather who constantly molested her as a child and subsequently, a husband who also ill-treated her and contributed even more to the loss of her self-esteem and personality. Therefore, patriarchal forces are tools of disempowerment in Celie's life, imposing silence on her voice, governing her life and even erasing her identity. In an effort to combat male subjugation, Shug Avery pushes the boundaries of hegemonic masculinity, relocating God beyond gender:

> Still, it is like Shug say, You have got to git man of your eyeball, before you can see anything a'tall. Man corrupt everything, say Shug. He on your box of grits, in your head, and all over the radio. He try to make you think

he everywhere. Soon as you think he everywhere, you think he God. But he ain't. Whenever you trying to pray, and man plop himself on the other end of it, tell him to git lost, say Shug. Conjure up flowers, wind, water, a big rock (Walker 204).

Awareness towards the object of her oppression is a compulsory step for Celie to overcome limitations in order to find her voice and claim freedom from male domination. In the end, Celie finds the inspiration to break away from the silence she had endured throughout her life with the help of female confidents, in this way striking at the foundation of patriarchal authority. By subverting the gender-roles in the black community, she is ultimately able to stand up for herself, claiming ownership over her voice and shaping her spiritual identity according to her newfound inner standards.

For the majority of her adulthood, Celie is dependent upon the mercy of men and an unresponsive God to survive. When her husband's children begin to misbehave, her sister Nettie tells her, "you got to let them know who got the upper hand ...You got to fight. You got to fight" (Walker 17), Nettie insists. And Celie's response is: "But I don't know how to fight. All I know how to do is stay alive." (ibid.) The protagonist's attitude is reminiscent of the Christian belief that God should serve as man's warrior: "For the battle is not yours but God's." (II Chronicles 20:15) Celie's obvious problem is that God refuses to fight for her. Later, when Celie thinks that her sister is dead, her fear of fighting back is reinforced, acknowledging her weakness as an inexorable part of life for women's survival.

Celie initially reveals her disgrace only to herself and God through letter-writing because she is ashamed of what had happened to her. However, when she realises that: "The God I been praying and writing to is a man. And act just like all the other mens I know. Trifling, forgitful and lowdown. […] If he ever listened to poor colored women the world would be a different place" (Walker 199-200), she ceases to address her letters to God and by doing so, she turns her back to a physical non-responsive God, and starts writing to Nettie, a change which constitutes "an act of self-affirmation." (Hooks 225) She is not yet conscious of the process of writing in terms of self-definition and gaining power. It is her subsequent telling of her story to Shug that sets her free.

Connecting Celie's condition to her religion, one may wonder how religion should serve us. In this regard, service is a big part of religious faith and one may think it is wrong to look for a reward. But, does service mean being oppressed? Would God want us to be abused? In the novel, Celie is oppressed by church and community values. In order to be a part of both, she must adhere to their beliefs and practices. Although, she struggled for so

long hoping to win her community's recognition as well as God's by attending each sermon and doing chores in the church and despite the fact that she was abused by her husband and had two irritating children out of wedlock that made her life even harder, she was still treated with contempt by the members of her congregation. For so long, religion for Celie was composed of patriarchal rules that she blindly obeyed with a naivety characteristic of a child. She endures cruelty and subjugation and finds justification for an abusive childhood and marriage by invoking the Bible: "I used to get mad at my mammy cause she put a lot of work on me. Then I see how sick she is. Couldn't stay mad at her. Couldn't be mad at my daddy cause he my daddy. Bible say, Honor father and mother no matter what." (Walker 43-44). Furthermore, when she narrates about the brutality she is exposed to in her marriage, she displays the same submissive attitude that suspends her in a godforsaken present. The only solace she finds is in the approachability of a paradisiacal life after death: "Sometimes Mister git on me pretty hard. I have to talk to Old Maker. But he my husband. I shrug my shoulders. This life soon be over. Heaven last always." (Walker 44)

With Shug Avery's arrival the patriarchal rules are challenged and converted into life-giving creeds. For instance, when Celie confesses the embarrassment she has towards her sexual feelings, Shug lets her know that:

> God love all them feelings. That's some of the best stuff God did. And when you know God loves 'em you enjoys 'em a lot more. You can just relax, go with everything that's going and praise God by liking what you like … God don't think it dirty? … Naw, she say, God made it. Listen, God loves everything you love and a mess of stuff you don't. But more than anything, God love admiration … You saying God vain? … Naw, she say, not vain, just wanting to share a good thing. I think it pisses God off if you walk by the color purple in a field somewhere and don't notice it. […] Peop1e think pleasing God is all God care about. But any fool can see It always trying to please us back. (Walker 203)

Shug's faith is located in a God that actuates the believer towards the celebration of life. Shug's religious principles are indicative of a life-affirming world resulting from a life-affirming God which also points to a church that should lead its members in their quest for life-affirming communities. Her beliefs give rise to harmony with one another and with God's creation.

Shug arrives as an embodiment of resistance to church and community values, doing what she wants and serving a religion or spirituality of her own making. Regardless of Shug's behaviour, not considered respectable because of her child abandonment, homosexuality and promiscuity, for the most part, she is to be admired for her individual

spirit and she may be perceived as Celie's personal saviour. One may see a connection between Shug's religion and womanist theology. Shug's rejection of traditional religion corresponds with Williams' reminder of "a liberation tradition in black history in which women took the lead, acting as a catalyst for the community's revolutionary action and for social change." (Williams 7) Through her non-traditional behaviour and attitude, Shug is a catalyst for Celie radically changing her relationship with God. The two female characters put aside the Christian notion of a masculine God as pictured in "the white folks white bible" (Walker 201) that makes God "look just like them […] Only bigger? And a heap more hair"(ibid.), which was very unsatisfactory for their condition as oppressed black women. Celie's change also transforms her husband Mr._ and the other members of the community, essentially replacing patriarchy with personal and community love.

Although the novel may present some fairy-tale aspects, the revolutionary nature of Shug's religion is to be admired. According to Shug's beliefs, all creatures have an equal status because everything in the world is connected. In this context, there are similarities between Shug's religion and the religious beliefs practiced by the Olinka tribe which correspond with the religious belief of *pantheism* that expresses a penchant to equate God with all in the universe. The protagonist begins undergoing a metamorphosis as a young woman in her thirties. Her sister, Nettie, who serves as a missionary for the Olinka tribe, is also instrumental in transforming Celie's thoughts about God. In one of her letters, Nettie tells Celie that:

> God is different to us now, after all these years in Africa. More spirit than ever before, and more internal. Most people think he has to look like something or someone – roofleaf – or Christ – but he don't. And not being tied to what God looks like, frees us. (Walker 257)

Nettie realizes that one's perception of God is influenced by one's culture. In America, one might see a blond-haired, blue-eyed Jesus whereas in Africa, one might envision a roofleaf. Nettie understands that God is not something apart from humanity, but something that is inseparable from man because she has undergone the same shift in perception towards internalizing God. And this is what Celie later adopts as a new form of spirituality. Our female protagonist becomes receptive to other interpretations of God, such as the one offered by Shug Avery, the lover shared by both her and her husband, who impresses upon her the idea that not only can she not turn her back on God for He is omnipresent but she also instils in her the desire to find God for herself.

Walker's vision of religion is a holistic one that concerns with the spiritual survival and wholeness of all human beings. She expresses her take on religion in an interview with Claudia Tate where she claims that:

> I've also been trying to rid myself of my consciousness and my unconscious of the notion of God as a white-haired, British man with big feet and a beard. You know, someone who resembles Charleton Heston. As a subjected people that image has almost been imprinted in our minds, even when we think it hasn't. It's there because of the whole concept of God as a person. Because if God is a person, he has to look like someone. But if he's not a person, if she's not a person, if it's not a person…Or, if it is a person, then everybody is it, and that's all right. But what I've been replacing that original oppressive image with is everything there is, so you get the desert, the trees; you get the bird, the dirt; you get everything. And that's all God. (Tate, 1983: 178-179)

This statement reveals Walker's revisionary understanding of God reduced to all in the ecosystem – trees, birds, flowers, rocks etc., which also echoes in her novel *The Color Purple*. Through the medium of a controversial character such as Shug Avery, God is stripped away of His identity as a Man and especially as a white Man and instead is re-envisioned as natural, an inspiring, resourceful and rejuvenating force of nature, but also non-sexist and non-oppressive. Shug gradually replaces Celie's notion of God as patriarchal with her own spiritual beliefs that Celie eventually adopts:

> My first step from the old white man was trees. Then air. Then birds. Then other People. But one day when I was sitting quiet and feeling like a motherless child, which I was, it came to me: that feeling of being part of everything, not separate at all. God love all them feelings. And when you know God loves 'em you enjoys 'em a lot more. (Walker 203)

In terms of gender and race, God is no longer perceived as a *He*, male or female, white or black, but as an *It* that is much more connected to the environment than to mankind: "God ain't a he or a she, but a It." (Walker 202) Moreover, Shug's pertinent assertion that God is "Everything that is or ever was or ever will be" (Walker 202-203), expresses the idea of a ubiquitous God in all that is animate and inanimate in the world.

Significantly, in a pantheistic vision, Celie addresses her last letter to "Dear God, dear stars, dear trees, dear sky, dear peoples. Dear everything. Dear God." (Walker 292) Thus, Celie's enumeration proves that she ascribes chief significance to nature, rendering God everything that is natural and revealing that the shape that God takes is diverse and interchangeable. God is equated in conflation with personifications of nature. Celie gives God a new

imagery, a natural guise which allows her and God to "make love just fine" (Walker 227), to establish the meaningful relationship that she has been longing for her whole life. Ultimately, Celie rejects institutionalized religion as well as the notion of God as an old white man commonly portrayed in Western society. Instead, she re-envisions God as indwelling in man. This redefinition of God can be associated with another form of theism, namely *panentheism* which is different from the concept of *pantheism* that finds God identical with nature and all in the universe. The concept of *panentheism* insists on the idea of a God immanent in humans and that all things are part of God but God is more than the mere sum of all things. This holistic ideology corresponds with the remodeled vision of God that Celie eventually develops under the guidance of Shug. Undoubtedly, the pan(en)theistic view that Walker displays in her writings is a reflection of her own beliefs: "Certainly I don't believe there's a God beyond nature. The world is God, man is God. So is a leaf or a snake." (O'Brien, 1994:75) The outcome of this pan(en)theism is a coalescence between the Earth and the Spirit so much acclaimed by Walker. By being identified with the world of nature or inherent in each one of us, the re-imagined God is approachable by any human being, no matter the colour or gender, and by embracing this perspective, Celie can finally find redemption in the newfound God.

The female protagonist's unequivocal embrace of the same womanist vision of spirituality as Shug's, results in the attainment of self-sufficiency and self-assertiveness. Therefore, a spiritual rebirth takes places within Celie that transforms her formerly broken body and soul weaving it into the newly flowering of her consciousness, becoming free and finding personal harmony in all realms - body, mind, spirit, work, home and community. In addition, Celie's blossoming of her spirit also helps to kindle and open her sexuality into a new expression, shifting her body from male sexual exploitation to female sexual adoration, from an abused object to a revived subject. She is finally able to delight in her own sexuality and fully aliment her queer desires for Shug Avery. The holistic experience of the erotic marks Celie's complete liberation from male hegemony. The passionate Sapphic union between the two black women is narrated by Celie: "She say, I love you, Miss Celie. And then she haul off and kiss me on the mouth. Um, she say, like she surprise. I kiss her back, say, um, too. Us kiss and kiss till us can't hardly kiss no more. Then us touch each other." (Walker 118) Nonetheless, the homoerotic love that Celie experiences is evocative of her spiritual awakening. A merging of both spiritual and erotic planes stems from their bodies and leads to emancipation and self-assertiveness which, from a feminist viewpoint, represents the real source of deliverance.

Alice Walker's commandeering of God's vastness can be considered of paramount importance in the novel as it is crucial for Shug's survival and

implicitly Celie's survival. Had Walker narrowed Shug's spiritual horizons to mere conventional Christianity, Celie's conversion would have been confined to the rules imposed by a male-centered institution. In her essay, "Right on Time: History and Religion in Alice Walker's *The Color Purple*", Kimberly R. Chambers notes that:

> Walker is careful to qualify her religion beliefs, claiming she needs 'a wider recognition of the universe' than she finds in formal religion. As she says 'I am trying to rid my unconsciousness of the notion of God as a white-haired British man with big feet and a beard' [...] *The Color Purple* is stepped in the religious element that, however unconventional in its expression, seems to flow directly from the piety of church-going Southern black, a piety with roots in the folklore tradition which Alice Walker respects and defends. (Chambers 52, 57)

Walker proposes a perspective on God that is both eco-spiritual and polytheistic as she makes references to the pan(en)theist faith, identifying God with nature, but also invoking multiple deities. Walker further assigns the nature of the Spirit that black women worship to various traditions and religions, mostly Christian although as a womanist she expands her spiritual horizons in pagan, Muslim, Buddhist beliefs or Yoruba practices. Thus, it is necessary to acknowledge a womanist's adherence to manifold religious beliefs and practices in order to apprehend a black woman's inner universe. For Walker, the self transpires as an array of delivering and beneficial dissimilarities that derive from an appreciation of pluralism. Walker's awareness of diversity crosses the traditional boundaries and offers a constructive, redeeming and fulfilling perception of religion. Nevertheless, Walker leaves room for both Christianity and a broader concept of spirituality. Therefore, *The Color Purple* is dedicated *To the Spirit,* careful enough not to attach herself to any particular form of religion.

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DON QUIXOTE AND THE ETHICS OF POWER

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> "quod turpe sit, id numquam esse utile"
> Cicero, *De officiis*, III.49.

Abstract

Much has been written about *Don Quixote de la Mancha,* and there are still quite a few details that matter to the modern reader. In times of political scandals and corruption, Don Quixote's ethics of power stand out as a cornerstone of fairness, transparency, and justice. His advice to Sancho about how to conduct oneself as a ruler is nothing short of remarkable as he pays close attention to detail. Don Quixote, who repeatedly shows his insanity when he acts, is capable of the highest forms of eloquence and judgment as he faces the task of preparing his esquire to be a "governor".

Keywords: Don Quixote, ethics of power, politics

Ever since its publication at the beginning of the seventeenth century, *Don Quixote*[2] has enjoyed the undisputed status of a masterpiece among readers and academic scholars and has achieved almost unanimous recognition as the greatest novel ever written. Or, in the words of noted critic Harold Bloom, *Don Quixote* "contains within itself all the novels that have followed in its sublime wake."[3]

Almost every conceivable aspect of the book has been studied and indeed scrutinized in detail. One of the topics that I find most intriguing and alive is the protagonist's views on the ethics of power. This is a "detail" that in my view matters to the modern reader, and to which we can all easily relate.

In his quest to bring back to life the long-gone world of chivalry, Don Quixote has to fight a battle against many conventions of his time. And

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[2] Miguel de Cervantes, *Don Quixote*, transl. Edith Grossman (New York: Harper Collins, 2003).

[3] Harold Bloom, "Introduction: Don Quixote, Sancho Panza, and Miguel de Cervantes Saavedra" in *ibid.* xxii.

despite his obvious "insanity", at least obvious to his inner circle (his niece, his maidservant, and his friends, the barber and the priest), the aging "hidalgo" has a sense of social justice and a notion of ethics that bring him close to our modern values and principles. It could be argued that Don Quixote must follow the laws of chivalry, which are based upon a moral sense of good and evil. Agustín Basave Fernández del Valle defends the notion that Don Quixote is moved by his deeply rooted sense of Christian values: "Don Quijote se hizo caballero andante no por azar ni locura, sino por amor a la justicia, por llevar el bien a todas partes, por sincera cristiandad, por arrojo a toda prueba."[4] In fact, I will argue that his sense of morals is influenced by the code of honor of chivalry, a result of his oft-declared passion for the books of chivalry.

Don Quixote's concern for the well-being of others does not make distinctions of age, gender, ethnicity or social status; he is always willing to come to the aid of those in need of help, regardless of personal circumstances. The first example presents itself at the beginning of the book, just after he is "knighted" in a mock ceremony by the inn keeper. Early in the morning, Don Quixote starts his journey and is attracted to a nearby thicket by a moaning voice. There he discovers little Andresillo, a teenage shepherd being beaten up by his master, the rich farmer Juan Haldudo:

> "… after he had taken a few steps into the wood, he saw a mare tied to an oak, and tied to another was a boy about fifteen years old, naked from the waist up, and it was he who was crying out, and not without cause, for with a leather strap a robust peasant was whipping him…" (I, 4; 36).

This passage is quite revealing as it shows the kind of treatment servants received from their masters in Early Modern Spain. The establishment condoned such practices, and even "a boy about fifteen years old" would have had to endure cruel corporal punishment without complaining and without any legal recourse. Being a servant is no easy job; it was less so in rural Spain at the beginning of the seventeenth century. But even if society condoned the corporal punishment of a subordinate, Don Quixote does not and he immediately asks the "robust peasant", named Juan Haldudo, to release his servant or face the consequences: "Discourteous knight, it is not right for you to do battle with one who cannot defend himself. Mount your horse and take up your lance […] and I shall make you understand that what you are doing is the act of a coward." (I, 4; 36) To the

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[4] Agustín Basdave Fernández del Valle, *Filosofía del Quijote* (México DF: Editora Americana, 1968), 26-27. "Don Quixote became a knight-errant not because of chance or folly, but because of his love for justice, to bring good to all parts, and moved by sincere Christianity and courage against all trials."

knight's inquiry, Juan Haldudo replies with contempt that "this boy I'm punishing is one of my servants" (I, 4; 36), and he goes on to accuse the boy of lying and being careless with his flock. Don Quixote disputes these charges and clearly rejects corporal punishment as a valid form of retribution. To the knight-errant, the abuse of power in the form of physical violence cannot be justified under any circumstances.

As the story goes, Juan Haldudo agrees to free his young servant and pay him the money he owes the boy, only to break his oath once Don Quixote is gone. This is the reader's first contact with Don Quixote's sense of ethics and moral justice in keeping with the Cicero's principles:

> There are, on the other hand, two kinds of injustice –the one, on the part of those who inflict wrong, the other on the part of those who, when they can, do not shield from wrong those upon whom it is being inflicted. For he who, under the influence of anger or some other passion wrongfully assaults another seems, as it were, to be laying violent hands upon a comrade; but he who does not prevent or oppose wrong, if he can, is just as guilty of wrong as if he deserted his parents or his friends or his country.[5]

While it is highly unlikely that Cervantes knew Cicero's writings first-hand, I argue that he was familiar with Spanish treatises on moral issues that proliferated in Early Modern Spain. In any event, Cervantes chooses for Don Quixote's first "adventure" one that defines the moral standing of the character and sets the tone of what is to come. A cynic might say that these actions are nothing but the follies of an insane man, but this is indeed a high form of "insanity."

Another well-known passage that will illustrate my point is that of the *galeotes*, or galley-slaves. On chapter 22 of the first part, Don Quixote, this time accompanied by his loyal esquire, Sancho Panza, runs into a chain-gang, a group of twelve convicts who are being escorted by four guards. These are men who have been sentenced to pay for their crimes, real or presumed, rowing in the royal galleys that sailed the Mediterranean. This was a sort of forced labor and in many cases it meant a life sentence, as many men did not survive the unbearable sanitary conditions and the severe physical violence employed by the *cómitre*. The oarsmen-to-be are seasoned

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[5] Cicero, *De officiis* (Cambrige-London: Harvard UP, 1913; repr. 2005). Bk I, 23; p. 25. "Sed iniustitiae genera duo sunt, unum eorum, qui inferunt, alterum eorum, qui ab iis, quibus infertur, si possunt, non propulsant iniuriam. Nam qui iniuste impetum in quempiamfacit aut ira aut aliqua perturbation incitatus, is quasi manus afferre videtur socio; qui autem non defendit nec obsistit, si potest, iniuriae, tam est in vitio, quam si parentes aut amicos aut patriam deserat."

criminals, each one boasting an impressive array of transgressions. The guards treat the chain gang harshly, even resorting to flogging in order to subdue the unruly crowd. The most vicious prisoner is Ginés de Pasamonte, who recriminates the officer in charge: " 'I have already told you, Señor Commissary,' responded Pasamonte, 'to take it easy; those gentlemen did not give you that staff for you to abuse us poor wretches but to lead and guide us wherever his Majesty commands.' " (I, 22; 169)

When the officer raises his staff to strike the prisoner for his insolence, the knight-errant quickly intervenes:

> … Don Quixote placed himself between them and asked that he not abuse the prisoner, for it was not surprising that a man whose hands were so tightly bound would have a rather loose tongue. And turning to all those on the chain, he said:
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> "From everything you have said to me, dearest brothers, I deduce that although you are being punished for your faults, the penalties you are about to suffer are not to your liking and you go to them unwillingly and involuntarily; it might be that the lack of courage this one showed under torture, that one's need of money, another's lack of favor, and finally the twisted judgment of the judge, have been the reason for your ruination and for not having justice on your side." (I, 22; 169)

We hear from Don Quixote's mouth an extensive list of procedural irregularities that were quite frequent in the Spanish judicial system of the day, and which the less privileged and influential had to live by. Today in any democratic society such practices as torture, bribery of authorities, use of personal influence, capricious sentencing by the judge… would result in a mistrial and would render the process void. Don Quixote sets an outstanding example of his regard for due process, and his higher consideration for justice than law. In fact, justice is a cardinal virtue and a moral principle, while the law is a custom or practice established by the human community. Many nations, even today, are unwilling to admit this very basic notion. Don Quixote believes that his duty as a knight-errant is not to judge the conduct that has landed them in chains; his mission, as declared at the beginning of the book is of a higher nature: to give solace to the ailing and freedom to the enslaved. That is why he politely but unequivocally asks the officers to set the men free. Needless to say, this request takes them aback and even amazes the captives themselves. To the astonished guards this petition is absurd, but in Don Quixote's world there is no room for slaves, as he believes –and rightly so—that freedom is the most cherished condition to which all humans aspire:

But, because I know that one of the rules of prudence is that what can be done by good means should not be done by bad, I want to ask these gentlemen, the guards and the commissary, to be so good as to unchain you and let you go in peace; there will be no lack of other men to serve the king under better circumstances; for to me it seems harsh to make slaves of those whom God and nature made free. (I, 22; 170)

Crazy or not, few words have ever been written that constitute a more powerful cry for freedom. Miguel de Unamuno considers that this is "one of his [Don Quixote's] grandest adventures, if not the grandest of them all."[6] The captives manage to go free and havoc breaks out, with a brawl that involves Don Quixote himself. In the end, the galley prisoners revolt against the man who set them free, throwing him rocks, stripping him of his clothes and hitting him with the barber's basin that Don Quixote wears by way of helmet. But this infamy the knight is subjected to in no way diminishes his special consideration for freedom in a society that was anything but free.

The "reward" Don Quixote receives is not in direct correspondence with his actions; he acts out of generosity and a sense of justice, not in order to get the gratitude of the rogues and in turn he is beaten. As Unamuno states, "All of which should teach us to liberate galley slaves precisely because they will not be grateful to us for it, for if we could count beforehand on their gratitude, our feat would be lacking in worth."[7]

Although irresponsible and even illegal by our standards, Don Quixote's act of liberating the slaves is generous and worthy from an ethical point of view, because he suffered violence from those whom he had freed in the first place.

Don Quixote's sense of ethics is clearly noticeable when he refers to some sort of "redistribution of wealth", a phenomenon that has raised many an eyebrow in American politics over the past couple of years and has been used to voice sharp --and unfounded-- criticism of Barack Obama's moderate policies by the radical right. In his speech on the "golden age" in front of the goatherds, the knight errant declares:

Fortunate the age and fortunate the times called golden by the ancients, and not because gold, which in this age of iron is so highly esteemed, could be found then with no effort, but because those who lived in that time did not know the two words *thine* and *mine*. In that blessed age all things were owned in common… (I, 11; 76)

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[6] Miguel de Unamuno, *Our Lord Don Quixote. The Life of Don Quixote and Sancho with Related Essays,* transl. Anthony Kerrigan (Princeton: Princeton UP, 1967), 99.
[7] *Ibid.,* 107

To advocate "communal property" is the early seventeenth century was as radical a view as can be conceived, yet that is precisely what Don Quixote does in this instance. Whether one believes this is a good solution for the economy or not, the radicality and uniqueness of the idea is unquestionable.

Another pertinent episode of the novel that illustrates my point is the passage in which the protagonist gives advice to Sancho for the latter to be prepared to be governor of the *ínsula*, all of which, as is well known, is a practical joke by the Duke and Duchess in *Don Quixote's* Second Part. That such an unusual honor will be bestowed upon a commoner of very limited intellect and training should arouse the suspicion of both the knight and his squire, but Don Quixote accepts this fact expressing his trust in Sancho's capacity to become an able "governor":

> "with just a little refinement of his understanding, he would be as successful with any governorship as the king is with his duties and taxes; moreover, by dint of long experience, we know that neither great ability nor great learning is needed to be a governor, for there are in the world at least a hundred who barely know how to read, and who govern in a grand manner; the essential point is that they have good intentions and the desire always to do the right thing…" (II, 32; 674)

In the cryptic sentence "he would be as successful with any governorship as the king is with his duties and taxes" perhaps we should see a humorous blink of Cervantes, who had been imprisoned in Seville[8] for failing to account for the right amount of money in his job as tax collector for the Royal Treasury. But the whole passage quoted above is more than the statement of a moderately insane Castilian *hidalgo*; it describes quite accurately the reality of Early Modern Spain, when political appointments were arbitrarily made on the grounds of the appointee's family tree rather than his merits and the "good intentions and the desire … to do the right thing" were not all that common. In Cervantes' critique of the procedure for political appointments, we have an echo of Machiavelli's argumentation of how a "principality" (i.e. "power") can be obtained; if *sangue* (blood) and

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[8] In fact some believe that it was during his imprisonment in Seville when Cervantes started writing *Don Quixote*, as can be inferred from his own admission: "…what could my barren and poorly cultivated wits beget but the history of a child who is dry, withered, capricious, and filled with inconstant thoughts never imagined by anyone else, which is just what one would expect of a person begotten in a prison, where every discomfort has its place and every mournful sound makes its home?" (Cervantes's "Prologue", 3). As Martín de Riquer points out, Cervantes was imprisoned three times: twice in Seville (1597, 1602-1603) and once in Castro del Río (1592). See Martín de Riquer, ed. Miguel de Cervantes, *Don Quijote de la Mancha* (Barcelona: Planeta, 1980), 11, n.

virtù (valor) are two of the means, *fortuna* (fate, chance) is the third. And it is certainly through the twists of fate or chance, that Sancho Panza is about to become "governor". That is the chance that Cervantes himself did not have, for several petitions to receive an official appointment, even in the New World, were routinely turned down by the Spanish bureaucratic machinery.

What follows is a set of directives for Sancho to secure his success as "governor", a series of attributes that some scholars have traced back to Isocrates' ideas on the virtues of the ruler.[9] Although it is unlikely that Cervantes, who was not formally educated, had first-hand knowledge of Isocrates' works, the similarity is striking. It has been pointed out that he [Cervantes] may have had in mind one of the various treatises on the education of princes that were very popular in Early Modern Spain.[10] Perhaps the most influential of these was Saavedra Fajardo's *Idea de un príncipe cristiano en cien empresas*.[11]

In the aforementioned treatise, Roman statesman Marcus Tullio Cicero wrote that "what is morally wrong can never be beneficial" (De *officiis*, III.49). Cicero was influenced by the Greek stoic philosophers and in turn his ideas deeply influenced the thought of the Renaissance. In *De officiis*, he sets the boundaries of what is honorable, what is expedient, and what happens when these two values collide. Cicero claims that the absence of political rights corrupts moral values. These rights are at the core of the organizational layer of society, because without them there is no room for morals. It is precisely his desire to do what is morally right (even if it is occasionally illegal) and always at the expense of his own safety, that guides Don Quixote in his quest for justice. Some point at his insanity; I believe this is the ultimate proof of his worth.

So, with Sancho on the verge of becoming a "governor", Don Quixote calls his squire aside and gives him a "primer of political theory" of sorts. The aging knight establishes a set of moral standards by which Sancho must abide if he wants to succeed as a ruler. And to a degree, Sancho does succeed, as he acts more prudently than some, including the Duke and Duchess, may have anticipated. "[I]f you take virtue as your means, and pride in performing virtuous deeds, there is no reason to envy the means of

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[9] This is the idea defended by Américo Castro in his classic *El pensamiento de Cervantes* (Madrid: Anejos de la Revista de Filología Española, 1925), 359-61.
[10] Donald Bleznick, "Don Quijote's Advice to Governor Sancho Panza", *Hispania* 40 (1957): 62-65.
[11] On this topic, vid. María Ángeles Galindo Carrillo, *Los tratados sobre educación de príncipes. Siglos XVI y XVII* (Madrid: Instituto San José de Calasanz de Pedagogía-CSIC, 1948).

princes and lords, because blood is inherited, and virtue is acquired, and virtue in and of itself has a value that blood does not. (II, 42; 730-31)

Of particular interest is the knight errant's advice to Sancho regarding justice. Don Quixote makes it clear that justice must be impartial, fair, and preferably lenient than too rigorous, and its goal should be the reeducation and rehabilitation of the criminal, rather than having an exclusively punitive purpose:

> Never be guided by arbitrariness in law, which tends to have a good deal of influence on ignorant men who take pride in being clever. Let the tears of the poor find in you more compassion, but not more justice, than the briefs of the wealthy. Try to discover the truth in all the promises and gifts of the rich man, as well as in the poor man's sobs and entreaties. When there can and should be a place for impartiality, do not bring the entire rigor of the law to bear on the offender, for the reputation of the harsh judge is not better than that of the compassionate one. If you happen to bend the staff of justice, let it be with the weight not of a gift, but of mercy. (II, 42; 731)

When we hear of so many cases of malfeasance by politicians who favor those who donate money to their political campaigns, Don Quixote's advice to Sancho is right on target. He is voicing loudly his opposition to a widespread form of corruption, like the acceptance of bribes by government officials, and we can't help but wonder whether modern-day politicians have read Cervantes's masterpiece. Don Quixote's words certainly speak to them as much as they speak to his illiterate squire.

In times in which so many people accept water boarding and other forms of "enhanced interrogation" as a valid means to obtain information from captive enemies, Don Quixote goes so far as to defend the fair treatment of the accused and even criminals, and he recommends Sancho to exercise restraint and mercy with them. This is a strikingly "modern" attitude in a character that would have been perceived as "anachronistic" even by his contemporaries:

> If you must punish a man with deeds, do not abuse him with words, for the pain of the punishment is enough for the unfortunate man without the addition of malicious speech. Consider the culprit who falls under your jurisdiction as a fallen man subject to the conditions of our depraved nature, and to the extent that you can, without doing injury to the opposing party, show him compassion and clemency, because although all the attributes of God are equal, in our view mercy is more brilliant and splendid than justice. (II, 42; 731-32)

To defend the higher moral ground of mercy over justice is in itself a rather astonishing view that even to this day will probably shock many, mostly the more conservative, who seek retribution and apply the principle of "an eye for an eye". Those who believe in the exclusively punitive purpose of the judicial system could learn a lesson or two from Don Quixote.

The person in power must not only *act* properly, he must also *look* proper, fitting to the high office he holds. So, although we tend to believe that "clothes don't make the man", Don Quixote does believe in a certain dignified appearance for "governor" Sancho Panza.

> With regard to how you should govern your person and house, Sancho, the first thing I recommend is that you keep clean, and that you trim your nails and not allow them to grow as some men do whose ignorance has led them to believe that long nails beautify their hands […] Do not go around, Sancho, unbelted and negligent; slovenly clothing is an indication of a listless spirit…. (II, 43; 732-33)

Let me add the icing to the cake. The modern notion of welfare and other social benefits, which are highly contested among the right-wing in my adopted country, The United States, are part of Don Quixote's political thought. This is what Don Quixote writes in a letter to his former squire once the latter has already left to assume the much-desired "governorship":

> To win the good will of the people you govern, you must do two things, among others: one is to be civil to everyone, although this is something I have already told you, and the other is to attempt to provide them with the necessities of life, for there is nothing that troubles the heart of the poor more than hunger and need. (II, 51; 793).

I would like to see the modern-day notions of unemployment benefits, welfare and other social benefits embedded in this passage. In any event, Don Quixote shows unequivocally his support of a welfare system that provides for those in need.

Although today, as governor (or leader of the executive branch) Sancho Panza would not legislate due to the separation of powers, his attributes would have been wider in the seventeenth century and Don Quixote instructs him well in all three of them: the judicial, the executive and the legislative. There shouldn't be too many laws, Don Quixote believes, but those in existence must be enforced. Makes sense, right?

> Do not issue many edits, and if you do, try to make them good ones, and, above all, ones that are carried out and obeyed; for if edicts are not carried out might as nonexistent, and they let it be known that the prince

who had the intelligence and authority to issue them did not the courage to enforce them. (II, 51; 793-94)

Don Quixote defends a modern view of an efficient, lean government, when it is well known that seventeenth-century Spain had a senseless and gigantic bureaucracy. This legal economy is still the aim in many countries around the world to this day.

Don Quixote is opposed to surrendering to "special interests" and accepting "campaign contributions" and he warns Sancho not to give in to the temptations of money or women, to which the powerful politicians are constantly subjected:

> Do not show yourself to be, even if you are –which I do not believe— a greedy man, a womanizer, or a glutton, because if the people and those who deal with you learn your specific inclination, that is where they will attack until they throw you down to the depths of perdition. (II, 51; 794)

Many more instances could be brought up here that support Don Quixote's ethical principles on power, some of which are still in contention in some places even today. For a book that was published about four hundred years ago, we will have to agree that most of the quotes I have included here are very much in keeping with the political thought of our time.

As is widely accepted, and I mentioned above, Don Quixote's sense of morals is informed by the code of honor found in the books of chivalry. It is this old-fashioned set of values that ultimately brings Don Quixote to his downfall, as he must accept his "defeat" against his neighbor-turned knight-errant Sansón Carrasco: "Don Quixote is obliged to remember the condition he accepted: if defeated to return to his village and live peaceably there for the whole of one year. He remembers and consents. It never occurs to him to do otherwise, nor has Carrasco doubted that he would keep his word."[12]

In sum, Don Quixote, far from being the "anachronistic" character that he is generally depicted to be, shows throughout the book amazing traces of modernity, and many of his values, especially those regarding the ethics of power, are in sync with our modern "democratic" idea(l)s and principles.

In the end, Don Quixote proves to be, not the moderately insane middle-age hidalgo, and certainly not the fool that some --including Alonso Fernández de Avellaneda-- consider him, but rather a man of principles,

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[12] Mark Van Doren, *Don Quixote's Profession* (New York: Columbia UP, 1958), 94

possessing a higher form of ethics than that of his contemporaries, and even wisdom if we accept Cicero's definition of "wise":

> And yet the moral goodness, in the true and proper sense of the term, is the exclusive possession of the wise and can never be separated from virtue; but those who have not perfect wisdom cannot possibly have perfect moral goodness, but only a semblance of it.[13]

According to Cicero, moral goodness and wisdom go side by side, and it is possible only for the wise to be virtuous. If we are to believe the Roman thinker and statesman, then Don Quixote's "insanity" does not preclude him from being wise, for it is from his wisdom that his sense of ethics ultimately emanates.

It may well be true that Don Quixote "died a sad and disappointed man, certain of only one thing –that he was out of touch with the majority of mankind."[14] His disappointment is not a reflection of his own shortcomings, but a testament to the universality and timelessness of the character. As William Egginton notes in a recent article, in writing *Don Quixote* "Cervantes […] crystallized in prose a confluence of changes in how people in early modern Europe understood themselves and the world around them."[15] It is these changes that were shaping a new society. Don Quixote, rather than remaining anchored to the past, shows a strikingly "modern" attitude, especially insofar as the ethics of power are concerned. I would like to believe that the aging knight-errant can still teach a lesson or two, even today --or perhaps even more today-- to the politicians, the rich and the powerful in this troubled and unequal world of ours.

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[13] Cicero, *op. cit.* Bk III, 13; p. 281. "Atque illud quidem honestum, quod proprie vereque dicitur id in sapientibus est solis neque a virtute divelli umquam potest. In iis autem, in quibus sapientia perfecta non est, ipsum illud quidem perfectum honestum nullo modo, similitudines honesti esse possunt."

[14] Charles MacLaurin, *Post Mortem* (New York: George H. Doran, 1923), 145.

[15] William Egginton, "'Quixote,' Colbert and the Reality of Fiction." *The New York Times*, September 25, 2011. http://opinionator.blogs.nytimes.com/2011/09/25/quixote-colbert-and-the-reality-of-fiction/#more-105811.

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RELIGIOUS SYMBOLISM AND THE PURSUIT OF REDEMPTION IN RALPH ELLISON'S *INVISIBLE MAN*[1]

LAVINIU COSTINEL LĂPĂDAT[2]

Abstract

Ralph Ellison exposes his characters to a vast apparatus of religious symbology and suggested spiritual vectors which strive to flow towards a realm of positive necessity and existential equanimity. He grants voice and dignity to the oppressed, the innocent and the forgotten, but at the same time exposing the emptiness and malefic worth of those seeking to confiscate the pure and just meanings of our ontology through manipulation and the proliferation of extremism. The author commandeers cryptic messaging, embracing his duty towards creative instruments of mental debt and depth, refusing to shy away from a legacy that has stood the test of time and is bound to secure the future.

Keywords: Christianity, spirituality, messianic, redemption, race.

Ralph Ellison's *Invisible Man* expands a convoluted depictive architecture when approaching the purpose of Christianity, its subsequent impact on religious discourse and literary resourcefulness. Absorbing its inspiration from rhetorical mechanisms elicited by a predominantly Baptist-Protestant South, the novel remains true to a conservative spiritual matrix which pursues to construct or at least theorize an archetypal Black-Christian unrestricted by the burden(s) of threatening remembrance, the devastating legacies of slavery and exploitation in relation to their White- Protestant neighbors.

Black Christianity plays a pivotal role in the examination of intricate instruments which relate to Afro-American identity, concern for their own destiny, patterns of self-empowerment and personal sacrifice in a 1940s

America where the wounds of oppression were only poorly dressed, far from being healed, bearing in mind that large wounds even after they are mended tend to leave scars proportional to the initial trauma. Nevertheless the destinies of blacks and whites were now intertwined, both ethnicities being offered the chance to tread together on the path of progress or stray individually on the ever-expanding road to perdition. Religion is often pursued in a playful manner by Ellison who appears highly determined to enhance his narrative by associating tragedy and human trauma with humor and ludic proliferations of status. Spiritual items are afforded re-arrangement, a profoundly original systematization which strives to overcome the burdens of prejudice and grant voice to the better angels of our nature.   The author does not linger when professing certain religious essentials inside his novel, being driven by succinct logic an intimidating prowess to ascertain pure truths relating to the human condition. His laconic pronouncements cut through the veil of human discord, eliminate any unnecessary, redundant factors of illusive description, paving the way for a literary style that fully encompasses the dynamics of transcendent relevance.

Ellison's literary methodology is tributary to a powerful orientation towards improvisation which can be easily justified when considering the author's preoccupation and admiration towards jazz and his openness to embrace distinct cultural realms harnessing all the relevant vectors in a supreme *ars combinatoria*:

> During the late 1940s when I was walking around with holes in my shoes, I was spending twenty-five dollars a volume for Malraux's The Psychology of Art. Why? Because trying to grasp his blending of art history, philosophy, and politics was more important than having dry feet. So that's the way it continues to go: anywhere I find a critic who has an idea or concept that seems useful, I grab it. Eclecticism is the word. Like a jazz musician who creates his own style out of the styles around him, I play it by ear. (Ishmael Reed's Interview with Ralph Ellison. 1995:364)

Ellison was an author who immersed himself totally in his craft tinkering with notions of Christianity by employing both musicality and strategies of complex representation relevant to Henry Louis Gates Jr.'s research related to signifying as theorized by Samuel A. Floyd Jr.:

> [M]usical Signifyin(g) is troping: the transformation of preexisting musical material by trifling with it, teasing it, or censuring it. Musical Signifyin(g) is the rhetorical use of preexisting material as a means of demonstrating respect for or poking fun at a musical style, process, or practice through parody, pastiche, implication, indirection, humor, tone play or word play,

the illusion of speech or narration, or other troping mechanisms. (Floyd, 1996:8)

Invisible Man utilizes the pre-existent Christian element associated to the scapegoat and attempts to adapt the Messianic component in order to best suit the needs of the narrative which attempts to underscore examples of Black traumatology and the need for a miraculous form of overwhelming redemption. Afro-Americans resonate not only to the desire for a strong emergence of leadership which can help them overcome constrictive periods of oppressive transition but they also empathize with the concept of suffering which they have experienced both during and post slavery. Scapegoating Black Americans was common practice especially in the South where decent God-fearing white folks often congregated in merciless lynch mobs seeking to vent their anger and frustrations on innocent blacks who were snuffed absent blame and without any form of judicial processing. One can't help but admire Ellison's power to approach these atrocities not with mindless anger but with equanimous eloquence, weaving an intricate system founded on irony and perceptive intelligence which manages to expound the two paramount dimensions of the Messianic story: the scapegoat and the need for leadership.

Ellison's "Messianic" discourse is defined by the author's propensity towards irony, his sarcasm, his natural inclination to expose the darkness behind figures of apparent respectability. We are therefore dealing in the case of *Invisible Man* with fake Messiahs, corrupt prophets of their community who attempt to poison and deceive their brethren by lying, by twisting and deforming the one element which according to the true Messiah has the potential to set people free: the truth.

The first such "Messianic" figure is the Founder of the Southern college the novel's protagonist attends. As Ellison puts a minimal amount of effort into cloaking the founder's identity one can easily determine we are dealing with the real life historical figure of Booker T. Washington. Returning to the fiction we are made aware that the Founder's so-called legend is maintained by using elements associated to religion but also laic elements recounting greatly exaggerated tales from an equally obscure past. Taking the discussion into the world of Islam we can even identify a fake prophet Muhammad who is none other than the blind Reverend Homer Barbee hailing from the windy city of Chicago. He describes the Founder as a larger than life figure, a cultural titan among simple men and even dares associate his legacy with that of Jesus Christ in terms of humility and selfless dedication. The ridiculous nature of Barbee's speech cannot be overlooked as his divinization of an ultimately flawed figure of the past contains both comedic and tragic elements. He manages to make a mockery not only of a

religious icon beloved by billions but also succeeds in striking repeated blows to common sense and fundamental logic. Wise Homer's pathetic speech ultimately provides Ellison with the ammunition, the self-offered pretext needed to go against his old ideological foe namely Booker T. Washington.

The second contestant for the title of worst "Messianic" figure in the novel is the white, wealthy and potentially incestual Mr. Norton. He is naively perceived by the unnamed narrator as the picture of generosity, a veritable St. Nicholas opting to use his resources and time to help those less fortunate. The deliberately ironic Ellison exposes Norton as nothing more than a frustrated individual who feeds off the poverty and misery of blacks, permitting him to feel like a god among men crushed by fate and unrelenting hardships. Financially Norton is a true powerhouse compared to the destitute members of the Afro-American community he encounters. But the flesh is always weak and his encounter with Jim Trueblood, a pauper, mentally compromised performer of incest indirectly strikes a blow to Norton's psyche, who may have harbored similar abominable feelings of grotesque fatherly for his own daughter. This incident thrusts Norton off his high horse, depleting his resources of dissimulated arrogance, admitting to himself at least that Trueblood's story might well have been his own. But in a lot of respects Norton was way worse than Jim Trueblood. He had been given all of life's blessings: wealth, a good education, a white Bostonian semi-aristocratic pedigree, respect and kindness from all the individuals that had ever crossed his path and he had still turned out bad. He had everything working for him yet he had opted for the path of darkness. Trueblood at least had extenuating circumstances surrounding his behaviour and experienced genuine remorse. He sought to try to make amends for his dark deed throwing himself at the mercy of his family looking to God for redemption and peace. Norton however remains a cool customer, 'too school for cool' as the artist known as Pink said it. His luciferic pride and upper class arrogance forbid him to ever admit any wrong doing and without an overt admittance of guilt or a genuine, heartfelt confession poor little rich man's salvation is far away, granting the demons of his internalized guilt the power to savage his soul and what little humanity he has left. Norton is even offered a sample of Purgatory by being taken to a local bar ironically called the Golden Day where he comes into contact with a shady crowd of World War I veterans whose mental instability seems to contaminate Norton.

The atmosphere at the establishment is almost carnivalesque, exploiting and reversing power relations, the emerging communicative developments syphoning the very life force from Norton's tired and defeated body. Norton is no longer a savior or the human institution of power he was accustomed to representing, he is simply a man who is weak, exhausted,

thrown into a turmoil which is devoid of normal Homo sapiens behaviour, where respect for his authority paves the way for unrelenting mockery from his battle hardened tormentors. The building itself where the action takes place is highly indicative of Norton's existential trajectory and his ultimate fall from grace: a church that had been turned into a bank, then a restaurant, a gambling establishment and finally a bar/whorehouse catering to the needs of crazy black veterans. Norton who used to perceive blacks as simple objects intended to satisfy his curiosity, being blind to the innate humanity that links all individuals regardless of race, gender, social status or religion, now found himself on the wrong side of the fence of social recognition; in the drunken eyes of those men who had won the war against the Germans but had sadly lost their battle with life Norton was the absolute outsider, he was the invisible man.

The Trueblood and Golden Day incidents see the novel's protagonist return Norton to campus only to find himself wrongfully blamed for what had happened to the Institute's noble white benefactor. Subsequently he becomes a scapegoat, a guilty man without any blame, plucked from the ranks of his righteous peers and banished from the mock Shangri-La that was nothing more than a pale replica of the actual reality based Tuskegee Institute found in sweet home Alabama. The decision is made by another artificial Messianic figure whose name Bledsoe ironically expresses a connection to Christ, but the man is nothing of the sort. Dr. Bledsoe is just a two-faced double-dealer, a mini black Janus, a wolf in sheep's clothing who would stop at nothing to maintain his power and status. He sacrifices the future of a very promising black youth, the novel's protagonist, for the reason that he had naively dared to show glimpses of truth, because the unnamed character's innocence and robust sincerity had not only shown the ugly side of Afro-American life but had also brought to light Bledsoe's shame at being black. Though ultimately a weak man Bledsoe has an almost godlike power over the main character's life triggering patterns of recollection relevant to the words of God as transmitted unto us by the prophet Ezekiel: "And I will pour out mine indignation upon thee, I will blow against thee in the fire of my wrath, and deliver thee into the hand of brutish men, *and* skillful to destroy". (Ezekiel 21:31). And indeed this exile at the hands of a low man will expose our hero to a vast array of entities who strive to become the harbingers of his destruction in New York, the city that never and where sadly enough neither do its villains. This modern version of Babylon presents immense challenges to an enthusiastic innocent, it competently camouflages cold and calculated tormentors/deceivers such as Brother Jack, Ras the Exhorter/Destroyer, Rinehart and on a lighter note even the man whose name shares similarities to a toilet the mischievous Brother Wrestrum. All these fine gentlemen do not express functionality as

autarchic entities; they are rather the representatives of fraudulent ideologies that practice extremism with the sole purpose of ascertaining control in a world defined by the erosion of standards and values, where battles are fought and lost for the souls and minds of the masses.

Inside a manifold of perennial disappointment Ralph Ellison decides to insert a beacon of hope celebrated through the existence and the potential of a young black man named Tod Clifton who is deemed as a pseudo-savior within the Afro-American community. Ellison's character seems to deploy certain qualities which deliberately thrust him into the realm of Messianic relevance via distinct, proficiently conjured up Biblical allusions referring to Jesus Christ:

> His name was Clifton, Tod Clifton, and, like any man, he was born of woman to live awhile and fall and die. So that's his tale to the minute. His name was Clifton and for a while he lived among us and aroused a few hopes in the young manhood of man, and we who knew him loved him and he died. . . . Now he's in this box with the bolts tightened down. He's in the box and we're in there with him, and when I've told you this you can go. It's dark in this box and it's crowded. . . . In a few hours Tod Clifton will be cold bones in the ground. And don't be fooled, for these bones shall not rise again. You and I will still be in the box. (Ellison, 1952:344)

Clifton's funeral is not just a simple ceremony where a young man is laid to rest; it represents the death of hope inside the already mangled souls of the members of the Harlem community. They had made Clifton the champion and carrier of their hopes, had placed life's wager on their prize pale horse whose name actually means death in German and now the reaper was coming to collect not only the life from Tod's cold bones but also whisper into the souls of those who had inadvertently bound their existential trajectories to the unfortunate destiny of Tod Clifton. The fates of those desolate Harlemites are sealed beyond any bargain or negotiation, all sales are final and sadly enough Ellison's use of Biblical insinuations leaves no way for a potential resurrection of hope, defying and denying any hypothesis of redemption for those crushed under the burden of heavy times. Clifton's unjust death prompts a violent riot in Harlem whose ignition automatically associates itself on a reduced scale with The Book of Revelation: "And I looked, and behold a pale horse: and his name that sat on him was Death, and Hell followed with him." (Revelation 6:8). Tod's untimely demise and his functionality as a character in *Invisible Man* exposes an essential truth that no one man can be the solution to the problems of an entire community and to elevate a single individual to such a severely unrealistic level of expectations is a guaranteed recipe for collective disappointment. They say

God is well aware of each man's limitations and always burdens us with just the right amount we can carry. Man and society in general however are often deprived of this wisdom and fall victim to an impossible search to find an Atlas among them, a victim of circumstance who has to carry the weight of the world on his/her shoulders.

Another character in the novel is inspired from Norse mythology because of his alternation between various lifestyles and his immensely adaptive capability. Rinehart is a trickster, a black chameleonic figure worthy of the ancient god of mischief and deceit Loki. Rine is a financial corruptor, a man who enjoys gambling, a preacher and a runner. His aptitude to employ so many distinct patterns of personality is indicative not only of a profound intelligence but also of an innate pragmatic predatory nature that is governed by a principle few accept in their lifetimes: man cannot change his social environment regardless of what some misguided idealists may believe.

A true pragmatist like Rinehart knows it is counterproductive to swim against the current and is therefore compelled to perfectly blend in, to radically modify or altogether abandon his external apparatus of human functionality in order to thrive in the murky waters of our existence. In an insane world Rinehart's choice appears to be the sanest possible solution. Ellison is not however a means to an end kind of man. He disassembles and astutely criticizes the trickster by utilizing the relentless whip of his irony and a covert yet evident enumeration of sane principles of life. The lone wolf he has deliberately constructed is despite all the exposure invisible. Nobody has access to the real Rinehart and the shocking realization is that there may not even be a real Rinehart, that he may just be an empty shell of a man. Returning to the issue of invisibility we are left with only this conclusion: to be invisible is to be alone and he who finds solace in solitude is either a god or a beast.

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FEMINIST LITERARY CRITICISM

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Abstract

   The feminist debate covers a great variety of critical theories, methods of investigation, without having entirely developed as a unitary theory. Literary feminism has advanced several critical approaches, which, in their turn, shifted from the analysis of literature to an examination of society at large. It is a difficult task to enclose feminist criticism within an established pattern. At a time when feminist movement proved successful, when questions arise concerning the usefulness of further feminist enterprise, the movement eludes definitions, entering an interdisciplinary dialogue with domains such as anthropology, history, sociology and even psychoanalysis. Consequently, it pays attention to 'difference', an enlarged issue so as to accommodate minorities, whether racial, sexual or ethnic.

Keywords: feminist movement, feminist criticism, feminine language, feminist discourse, feminist theorists

   Today, when the main legal and political rights of women have been achieved, a clear definition of feminism cannot be provided, as the movement can be approached from different perspectives and interpretations. One cannot speak about "feminism", but "feminisms", a variety of approaches, directions, its proposing its own pattern and depending on a variety of cultural and social backgrounds, on different ways of experiencing one's life as a woman in society. The attempts to clear up have converged in the direction of sustaining a particular unity of consciousness of mind that characterizes women; a close connection has been established between feminism, as a theoretical and critical undertaking, and women's studies. The aim was to reconsider women's lives and to transform them into the subject of their own investigation. From this perspective, feminist criticism becomes a political movement, as it appeared at particular political moments, its needs being reconsidered. Consequently, feminism takes a critical stand against viewpoints that have rendered women insignificant, on the one hand, trying to reconfigure certain cultural assumptions, to renew the perception of the

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discourses offered by scientific disciplines that have undertaken the term "woman", on the other hand.

What characterized feminism at the beginning was the powerful sense that women and men shared unequal power relations with respect to their roles within their families, their economic and legal rights. At different historical moments, public expectations about women were met with more or less overt strategies of resistance; gradually there came the awareness that male "domination", which had been accepted as universal, might be transformed by way of a conceptual revolt.

Feminist theory evaluates the claim that gender is determined by biology, arguing that it is a socially constructed and changing reality. Starting from the premise that most historical models were based on unfounded assumptions concerning women's role in society, feminist historians have investigated the origins of feminist movement with the idea of finding arguments that would substantiate their belief. From a historical point of view, feminism has been a concern with the social role and the identity of women in relation to men in society, as a result of women's sufferings because of the implications of their sex role at the level of family life.

Despite of the fact that the ideology of femininity was elaborated and refined in the 19th century, moral feminism is traced to the publication of Mary Wollstonecraft's work, *A Vindication of the Rights of Woman* (1792), which is regarded as the first feminist manifesto. The book was influenced by the 18th century rationalism, being a response to Enlightenment principles of the "natural rights" and to the ideal of the French Revolution. Wollstonecraft was known as the founder of feminism in the 1970s and anticipated the doctrine of femininity that would prevail throughout the 19th century. The writer suggested a "revolution in female manners", a kind of reevaluation of what seemed to be an unchangeable model of society, whose pattern consisted of a clear-cut division between male and female, between private and public. She also extended radical ideas about the separate role of women in society, revealing the belief according to which women's function should be that of silent participants in the male world, in a period when women's subordination was viewed as something natural. Wollstonecraft criticized the opinion that, given their "natural" subordination to men, women were not able to sustain their own interests on a rational basis; the reason was, in the writer's point of view, a weapon for women's emancipation, deployed against the exclusive identification of women with "nature". Wollstonecraft emphasized the fact that the current view of women was endorsed by what she called "repeated marks of inferiority" in the women's behavior; she analysed the parallel between what was called "natural" and "truth". This interpretation demonstrated that it was for women

to change in order that the general perception of them should change, a different kind of education would be the only solution for their advancement. The ideas advanced by Wollstonecraft did not receive much critical attention at the time, as women were still subject to social and legal restrictions, remaining confined within the domestic field, a concept that was more emphasized by liberal thinkers.

Radical thinking with regard to women was advanced by the early socialist movement; its theorists analyzed woman's subjection, which was thought to have been endorsed by a culture that upheld men's superiority and, by confining women to the family field, induced in them ideas about their dependence on men; women were supposed to acquire an awareness of their condition in order to resist such forms of cultural imposition.

The social position of women was encouraged by radicalism and early socialist movement. The 19th century was a relevant period; it was in the context of historical, social and cultural changes that women's struggle for emancipation flourished. This was linked to larger social and political shifts, such as revolutionary movements, industrialization, the capitalist relations, political reforms from which women were excluded. Ideas that changes women's lives were necessary; they became so powerful that "women both at home and abroad had become so dramatically visible that by the end of the century the so-called 'Woman Question', the issue of just what woman's place ought to be in a proper society, had begun to obsess a startling range of thinkers." (Gilbert and Gubar, 1985:161) The ambitions and claims that women voiced were met with reserve, for they came to contradict an ideology that was simply too powerful to change so easily; even if the ideas engendered by the French Revolution were powerful ones, they did not address women; the hopes for social reform were a site for the feminist discourse of emancipation. The fact may explain why the "Woman Question" was approached at first mostly by male thinkers.

In this sense, critics recall John Stuart Mill, whose work *Subjection of Women* advanced feminist views. The writer formulated arguments for female equality with men, which would become central to women's movement. Looking forward for a society based on rational principles, the critic argued that, in order to acquire reason, society should annihilate the differences of treatment based on considerations of sex; granting women equality of citizens and civil liberty in the public field would help to bring about a deeper transformation of the social relations between sexes. Stuart Mill's liberalism was attractive to the feminist thinkers; the main aim of the feminist movement that his opinion engendered, that women should be considered equal to men, the inclusion of women in a public field that had been considered the prerogative of men, had important practical consequences, despite the slow course of the events.

As a movement of mainly political orientation, feminism has been revived in its second phase, called the "Second Wave". The movement of the 1960s and 1970s originated in the experience of women in a society that was conceived as oppressive and which was epitomized by the term "patriarchy". In spite of the fact that the term has many implications, its denominator has been the process whereby women defined themselves and their place in a society that had regarded their lives as insignificant other than in relation to "male rule".

The main problem of the feminist literary criticism is that of finding relevant ways of granting woman access to discourse in all aspects of her existence. It could be acquired either by submitting to the public language of patriarchy, by adopting discursive strategies that would include her in the mainstream, or by inventing a private feminine language, which would keep her marginalized from the field of accepted public discourse. The next position falls within the range of radical feminism, which constructs its discourse by availing itself of a range of experiences that are regarded as peculiar to women and inaccessible to men. Those who support the essentialist opinion argue that woman's body should be regarded as the site of meaning, one that is inaccessible to male conceptualizations. This form of radical protestation emerged as a reaction to what, after World War II, became a new "cultural mythology", which redefined women's place in society in close relation to the traditional values of family life. This redefinition of femininity substituted in a way the dramatic changes that had happened during the war and afterwards. The redefinition of "woman" in terms of rights over her own person, of equal rights with men concerning education and opportunities to assert herself socially, was associated with the prerequisite of a general transformation of society. In its sense, consciousness-raising was defined as the process of transforming the personal problems of women into an awareness of their meaning as social problems and political concerns. Central to consciousness-raising became women's experience under patriarchy, with diverging, but equally important issues, such as gender, race, subjectivity, class. The concept of "representative experience" was equated with the main aim of the feminist experience: there can be no feminist issue apart from the lived experience of women. Consequently, consciousness-raising enabled women to reconsider their lived experience in terms that were at variance with previous conceptualizations of "woman". Consciousness-raising prepared the ground for militants to politicize personal experience and raise it into public awareness, by dismantling the terms of the dichotomy masculine/feminine. Personal representative experience became, with the movement of the 1970s, a process in which the "personal" was granted universal meaning. The feminist discourse focused on the questioning of the belief that the "body"

was a denotation of "woman". The "body", as an abstract notion, is, in radical feminism, the source of female power and the main source of women's oppression. Radical feminists reacted against the polarization between men and women, one which induced a rift based on gender. While radical feminists agree with feminists of other orientations upon the issue of women's exploitation in terms of motherhood, social role, what they deem the negative impact of patriarchy is men's control over women's bodies. Radical feminists, such as Laura Mulvey (*Post Partum Document*, 1987), Robin Morgan (*The Word of a Woman*, 1993), argue for "separatism" and "cultural feminism", the shaping of a women's culture that would have intrinsic value and disregard male values. According to Weedon, cultural feminism views women's values as essentially superior to men's "to point where there could be no overlap between the two cultures."(Weedon, 1999: 22) The trend reflects upon women's art, posing questions about the possible existence of feminine language and modes of expression and representation, which might themselves be ways of resisting patriarchy.

French feminism represents a real challenge of traditional concepts of discourse, by celebrating the feminine body. The focus on the feminine body concedes to the claim that writing evolves along gender lines; these lines are ascribable to biological gender, claiming instead that gender codes in writing are culturally determined. The trend proposes a reevaluation of the belief according to which woman's language is, in Christiane Markward's point of view, "open, non-linear, unfinished, fluid, exploded, fragmented, polysemic, attempting to 'speak the body' (the unconscious)". (Markward in Baym, 1991: 157) French feminists celebrate women's association with the body, but they are not concerned with the gender of the writer, as they are with the "writing effect" of a particular text (one of the main claims of French feminism is that feminine writing is available to and inferrable from the works of male writers as well).

The most powerful advocate of this position, Helene Cixous, tries to free feminine language through a new form of writing drawn from the unconscious – l'écriture feminine, whereby Cixous celebrates gender differences in ways of writing, the "inscription" of the female body and female difference in language and text. The fundamental assumption of this approach is that, when a woman writes, she does it in a tone somewhat different from a man's. The critic admits to the impossibility of defining a "feminine" practice of writing, and to the fact that theorizing it would be almost impossible, but this does not exclude its existence. In this situation, language represents the field on which difference (woman as "other") is structured; French feminist theorists castigate the tendency to impose on women a different perception of themselves; Simone de Beauvoir asserted that women were perceived as "the second sex" because they did not regard

themselves as a positive sex in their own right. Helene Cixous regards the notion of "writing the body" as the only means for women to valorize their writing. The French critic sees the celebration of the female body as an attempt to reaffirm the positive value of what has been termed "the other"; consequently, the "desire originating in a lack" can only be freed by a language that draws on the unconscious; the critic elaborates on the metaphor of the Medusa, whose lethal gaze was identified, in traditional accounts, with feminine excess; she encourages this potential for excess in women, concerning the frightening gaze of the Medusa as women's potential to reverse traditional patriarchal forces. Women might, in her point of view, indulge in their otherness, as well as in the multiplicity of their language, symbolized by the snakes that cover Medusa's body. The French critic reevaluates the entry of the gendered subject into the symbolic order of language, in order to appropriate the linguistic area that was designated as lack, in order to free feminine language, by restoring it a new form of discourse drawn from the unconscious. In defining the oppositions that privilege man Cixous focuses on a reconfiguration that would place woman as the center; she advocates, in this way, only the first stage of deconstruction, in the way that the hierarchy can remain, as long as it privileges the woman.

Julia Kristeva focuses on female energy and its repression by patriarchal discourse, elaborating on the idea that the symbolic order of language generates femininity as its opposite. The critic's theoretical example contradicts the main assumptions of the French feminist theorists, in the sense that she is adamant to accepting the claim that there is an essentially feminine language. Kristeva argues that there are differences between male and female authors, but the differences do not provide enough evidence for the dichotomy masculine/feminine to be reinforced. What the critic terms "feminine writing" is a form of discourse available to both men and women, one that is an oppositional pattern within those of traditional discourse. She argues that women's language is not different from men's and she doubts whether women should attempt to elaborate alternative discourses (it is here she differs from the position adopted by radical French feminists). Kristeva examined the opposition between the masculine and the feminine systems, one privileged, closed and rational, and the other open, irrational. The critic reinstates the importance of the feminine in the symbolic order of language, making a distinction between the feminine as such and actual women; she also privileges the body, but it is the mother's body "that mediates the symbolic law organizing social relations."(Kristeva, 1998: 451) The maternal body is defined as the coordinating principle of a place where the subject "is both generated and negated", the place where a split in the

unity of the subject occurs as a result of the processes and states that act upon it.

If French feminism focused on the body as the reflection of gendered identity, another line of feminist thinking has developed on the main post-structuralist assumption that identity is not understood as something fixed, but as something ever-shifting. From this perspective, in post-structuralist thought, identity is understood as a process "by which the multiplicity, contradiction and instability of subjectivity is signified as having coherence, continuity, stability: as having a continually changing core but a sense of a core nonetheless – that at any given moment is enunciated as the 'I'." (Weedon, 1999:130) Consequently, feminist literary criticism has attempted to devise a theory of subjectivity, which takes into consideration the political connections between social relations and personal behavior.

Marxist feminist criticism focuses on the role of political and social formations in relation to the individual and explores the ideological implications for the female subject within difference. Marxist criticism argues that all forms of culture are in fact ideological products that cannot be separated from the conjointment with the class structure of society. In the social division of labour culture occupies the least important place where social control can be exercised, but it is, at the same time, the social category that is most liable to become the instrument of manipulation.

Feminism used the conceptual framework of Marxism in elaborating theories that have become an indictment of patriarchy. Marxist feminism claims that the core of oppression lies in the exploration of women within the family.

Marxist feminism is based on the assumption that gender is a cultural and social construct, men and women alike are situated in a particular historical context. Gender as construct has been regarded as a primary instance of ideology, as, in Teresa de Lauretis's point of view, "it assigns an individual a position within a class." (de Lauretis in Blumenfeld, 1998: 20) According to this, the woman is constructed into the gendered being, shaped by roles in the family and in society.

In Blumenfeld's opinion, the meaning of gender as construct conceals the real woman, the woman placed in a historical context, beneath a fictional embodiment, which is largely a matter of representation: "a fictional woman who has been drawn in and by dominant ideology supposedly to represent [real women]." (de Lauretis in Blumenfeld, 1998: 19) This fictional entity is defined by her otherness in relation to men; in the critic's opinion, such gender-based conceptualizations of women have made women comply with a false model of truth which, by embodying a masculine point of view, has rendered women passive recipients rather than active doers. If the equation "woman"/"passivity" is new in conceptualizations of femininity, by the

adoption of the Marxist framework, feminism has been able to renew its critique of the subject, by regarding female subjectivity and gender as products of ideological discourses. One of the important statements articulated by Marxist feminists is that, "the social representation of gender affects its subjective construction and vice-versa, the subjective representation of gender affects its social construction." (Blumenfeld, 1998: 18)

The French philosopher Louis Althusser discussed the role of ideology in the construction of subjectivity. The critic claimed that ideology does not represent the imposition of the dominant thinking of an élite. It functions by a process that he termed "interpellation", and it affects all individuals in various ways; he defined ideology as "a 'representation' of the imaginary relationship of individuals to their real conditions of existence." (Althusser, 1998: 295) They may be religious, political, ethical world outlooks that individuals internalize while maintaining the illusion of liberty. According to the French writer, we are interpellated as subjects by ideology; we live in ideology, are defined by it and we identify with its discourses to the point to where we believe we do so by free choice.

According to Marxist thinking, society is defined as a series of relatively autonomous structures, each with its internal contradictions. They are thought to cause revolutionary situations; consequently, society is a destabilized system, the formation of the individual being achieved mainly through ideology. In Althusser's point of view, we as subjects "misrecognize or misconstrue our sense of personal freedom or individuality in a social world in which all our identities are relational and those relations define who we are by positioning or identifying us in certain ways." (Rivkin and Ryan, 1998b: 238) Thus, the subject recognizes or not the truth of the discourses of a particular culture and is also shaped by them; the ambiguity of the term "subject" becomes evident: it is defined as "free subject", and as such regards itself as a "centre of initiatives, author of and responsible for its actions", but it is simultaneously a "subjected" being, that submits to a higher authority: "the individual is interpellated as a free subject in order that he shall freely accept his subjection." (Althusser, 1998: 304) In his opinion, the meanings of a particular culture/society are internalized, misread and misinterpreted as true ones. These meanings are transmitted within family and they are internalized by education. In this contradiction, Marxism, feminism converged and articulated a critique of the notion of the unitary subject; all these trends sustain that the subject is divided or alienated from the discourses that influence it. This decentering is seen in language, so Marxist literary criticism approaches the work of art as a reflection of the historical, economic and social discourses at work at the moment of the production of the text. Marxism has never really provided an account of

femininity: in classical Marxism, women were not investigated as a separate category, in terms of either class or gender separation. In addition, sociologists have provided counter-patterns to Marxist feminism, arguing that woman's involvement in the private sphere compensated for her absence from any form   in the public sphere. (Epstein 1988: 112-13) In the field of this "absence", Marxist feminist critics have investigated class from the point of view of women's marginalized position. The class "issue" became central to a number of feminist accounts; first-wave feminism addressed the issue of equal treatment irrespective of class. The approach was perpetuated into second-wave feminism, which continued to address women as a group. According to Weedon, "the identification of women as a class which suffers universal patriarchal oppression served as the basis for a theory of classes, global sisterhood", but ignored "the materially different social positions of middle and working-class women and white women and women of color." (Weedon, 1999:141-42) Feminists such as Cora Kaplan in *Pandora's Box: Subjectivity, Class and Sexuality in Socialist Feminist Criticism* (1985), blamed feminism for its failure to engage with the class issue; feminism was criticized for addressing too small a segment of the female population. While such a movement originated with middle-class women, theoretical discourse remained for a long time available to the same segment.

It was since the 1970s that responses to the class and race issues have increased, and "universalism", favoring common aspects of women's situation irrespective of race, cultural assumptions, class, has been replaced with an analysis of differences within the category of womanhood.

In the research of the cultural production of gender, feminist criticism has found a resourceful backing in Michel Foucault's theories on sexuality and power. The critic regards sexuality as a site of power relationships dominated by the voice of social institutions; in any social system, the struggle for control of sexuality is carried out through discourses meant to justify the positions of power; consequently, discourse "transmits and produces power; it reinforces it, but also undermines and exposes it." (Foucault, 1992: 139) Resistance to power begins at the level of the individual subject, who can produce alternative forms of knowledge; the dominant discourse offers individuals a certain position, which is in contradiction with the personal interest of the respective individual. Feminist criticism explores the space between these two positions, the site of resistance:

> Both social discourse and woman as subject and object are historically bound; woman as writing subject is marginalized and constrained by patriarchy's modes of legitimizing itself, and at the same time it is within and from those margins and constraints that her own

resistance and freedom begins in her discursive practice. (Diocartez, 1989:123)

As from Foucault's point of view, discourses are rooted in social institutions, social and political power works through discourse alone, the writer can not be perceived as the source of meaning she/he is manipulated by, but has the liberty to manipulate, the discourses which are available to her/him at that certain historical moment. If authority is related to power, feminist criticism can investigate the ways in which various discourses function in the textual world and the ways in which they are resisted or subverted by author and characters in the same way. According to this, feminist criticism presents the way in which women writers construct a world vision, the strategies they adopt in order to distance their world-view from that of patriarchy. Such kind of criticism starts from the premise that:

> Woman's strategic consciousness consists of an attitudinal position in response to the social orientation of the dichotomy male/female (often taken for granted or ignored by male writers or a masculinist view; woman's strategy, then, is the textualization of the suggested correspondence between the represented world and empirical reality, inscribed within the text. (Diocartez, 1989: 115)

Consequently, feminist literary criticism tends to the construction of the writing subject's positioning in society, having in view notions as "woman", "social being", "self", all of them situated within competing social forces. Feminist criticism uses Foucault's ideas in its attack on the ideology underlying the structures of authority that are inevitable to "male-dominated" structures of knowledge; by applying the theory to literature, truth is rendered relative as it is dependent on particular systems of power. While acknowledging the fact that creative standards change, feminist critics of women's writing appropriate them as part of a set of social functions that seek to maintain the balance in society, looking for strategies of resistance and for the means whereby the works of fiction undermine the situation. Claiming that women are seats of consciousness, who should be perceived not as "others", but as independent selves, literary criticism may evaluate the "authenticity" of female character, assessing the credibility of their evolution in the fictional world, the existence of a self-defined critical consciousness as opposed to a stereotypical identity; in this context, "difference" should be understood as a permanent resistance not to patriarchal discourses and meaning, but as resistance to the conservative forces of one's identity. The actual concern among theorists and feminist critics is how to produce a new

theory of knowledge that should be more inclusive of the full range of human experience in a post-feminist period.

An eventual critical evaluation of women writing would start from the premise that the discourse in their literary works reflects an increased awareness of one's identity in society, by reference to issues of race and class, gender, all of which conform to or dismantle the patterns of "femininity". Feminist critics argue that the study of the so-called "great" literature excluded women writers, who were regarded as minor; consequently, feminist critics were concerned with the issues of "value" in literature; they questioned the importance of universal experience and privileged women's special one; they also privileged women's "representative" language over "aesthetic" language. The fact that women were excluded from the literary canon for a long period of time might raise the question of the existence of a particular feminine style in literature. It may be said that women's individual experience is something that appeal to female readers, and that feminine writing renders experiences that are in fact irrelevant to male readers. The strongest argument against the study of women's literature as a separate category comes from within feminist criticism itself. In the project of including women's literature in the literary canon, critics either provide singular examples of women writers and compare them to recognized male writers of equal literary orientation, or they "advocate opening the whole question of the literary value itself". (Warhol and Prince, 1991: 193) One might say that, even if women's literature has been neglected on the ground of its lack of greatness, the permanent recourse to representative individual experience represents an important starting point in establishing a pattern of women's writing as a separate category in literature. Beginning with Modernism in literature, new modes of conscience in the novelistic discourse emerged, allowing a reevaluation of feminine consciousness; the fact that feminine consciousness and modernist literature were viewed in opposition was endorsed by a stronger movement, the underlying struggle of women for self-assertion on the social scene; women were expected to conform to traditional roles according to concepts of femininity, and their dissatisfaction with their limited roles in society found an adequate medium in the literary discourse. Cultural changes were reflected in realistic fiction, but women's peculiar type of response to the standards of social life could not be expressed adequately in this form, since "the larger share of the conflict lay beneath the surface within their divided consciousness." (Meese, 1986:21) Modern spirit did not synchronize with the traditional novel and its patterns. Modernism professed an art that was new and experimental, one which was illustrative of the symptoms of social changes, the dissolution of the old social and cultural patterns; a new type of discourse emerged, revealing the

contradictions in the spirit of the new cultural age and of obscuring the criticism of the existing values.

It was within this background that women writers aimed at using a different kind of language, one which would define a different perception of a woman's mind. Susan Gubar and Sandra Gilbert present the image of women in modernist literature as one revealing "their absence of self-will, their vulnerable passivity, their dutiful instrumentality, qualities that seemed to their creators to be increasingly lacking in the real behavior of real women." (Gilbert and Gubar, 1985:1211) Their self-awareness made women writers challenge the traditional roles that have been ascribed to them. In an appreciation of the images of women in modernist literary discourse, Lyn Pykett finds that femininity was appreciated "disruptive of the class and gender hierarchies, [as] feminism, and female assertion were seen as both proceeding from and producing a disruption of 'natural' gender boundaries and hierarchies." (Pykett 1995: 37) The same critic argues that the feminist "was also a key figure in the discourse of renovation, often utopian in form, which represented a brave new world, which would come into being through re-definitions of gender and of relations between the sexes." (Pykett, 195: 37)

Beginning with the 20th century, women claimed and gained more educational and cultural institutions; without being bound by the preceding century's ideology of femininity, women indulged in a new intellectual and artistic freedom. In this way, they felt that their experience entitled them to speak of their everyday lives and of their knowledge acquired from their active participation in the world; they were faced with the challenge of devising a literary discourse that would make statements about female experience, in a language devoid of any implications pertaining to sex-role stereotyping. In general, women realized that they did have a history of cultural achievement. Virginia Woolf's assertion, "we think back to our mothers if we are women" (Woolf, 1981:76) illustrates the need for women writers to resort to their literary predecessors and to devise positive role-models for women in literature. The fact called for a peculiar language, which would reflect more precisely a woman writer's experience in a culture whose main definitions of literary authority were perceived as patriarchal.

In her study *Towards a Feminist Poetics*, Elaine Showalter investigated the specificity of women's writing; the issue of how women write is juxtaposed to the question of how women have been portrayed in literature. The critic adopts a feminist position, but she does so by contending that literature by women, while privileging women's perspective, also acknowledges the importance of masculine perspective; in her opinion, oppression should not remain the leading aspect in the analysis of women's literature.

In another study, *A Criticism of Our Own*, Showalter disregards the obsession with male literature and replaces this manner of literary analysis with a new framework, able to advance new modes of analysis based on the study of women's fictional experience. She suggests a shift from a critique that makes women's victimization its main point. In her view, women's freedom would be restricted if their works continued being read in terms of their characters' being only victims of a patriarchal plot. The critic accepts that there is a great difference between men's writing and women's writing; in her point of view, it is the task of the feminist critic to investigate the latter as such, even if the idea of oppression is rejected. Accordingly, Showalter establishes several stages in the evolution of women's literature: the "feminine phase" (represented by the works of Elizabeth Gaskell and George Eliot), in which women conformed to male aesthetic standards', the "feminist phase" (illustrated by Olive Schreiner), characterized by protest against male values, and the "female phase" (in the works of Katherine Mansfield), defined by writing and experience specific to a stage of "self-discovery". (Showalter, 1991: 168)

The evolution of women's writing may be assessed from the perspective suggested by Julia Kristeva, who provided a grid of interpretation and a model of desire, in Lacan's acceptance of the term, in which gender is not necessarily an issue, thus casting doubt on the notion of "woman as Other". In her opinion, in the beginning of the feminist movement, the demand for equal rights with men and the rejection of attributes considered feminine, were "part of the logic of identification with the logical and ontological values of a rationality dominant in the nation-state." (Kristeva, 1991:447) Part of this logic of identification would be the literature of intuition. The second generation, after 1968, was more interested in the "specificity of female psychology and its symbolic realizations. [They] seek to give a language to the intra-subjective and corporeal experiences left mute by culture in the past" (Kristeva, 191: 447)

Jane Spencer proposes a critical approach of women's writing in different historical moments "not to find any essential feminine qualities, nor to claim it feminist, but to examine the uses which have been made of changing feminine authorial positions." (Spencer, 1991: 523)

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DISTORTED IMAGE OF WOMEN
IN EDGAR ALLAN POE'S WORK[1]

MIHAELA PRIOTEASA[2]

Abstract

In achieving the goal set in the title, the present paper will try to analyse Edgar Allan Poe's works with the purpose of examining the way in which the author refers to and describes in detail the image of the female characters that *inhabit* them. In addition, the American author's own view of the feminine ideal will demonstrate that every woman-character in his tales is just a shadow of the writer's obsession over the premature death of his mother.

Keywords: image, mother, dying women, obssesion, decay.

Although to some degree the historical traditions about Poe's life have been controversial, the veracity of his tormented childhood and adult life proved to be accurate. He was the son of two actors who lived in poverty and mediocrity. A year after his birth, Poe's father disappeared; at the age of three he lost his mother too (she died of tuberculosis after acting in New York City, Charleston and Richmond) and was separated from his brother[3] and sister.[4] He himself was taken under the wing of the Allans who sent him to England and Scotland to be given a rigours education that was later continued in Richmond. At the age of seventeen he attended the University of Virginia but withdrew after eleven months due to Mr. Allan's cutting his tuition payments. Poe then joined the United States Army where he served for two years until Mr. Allan enabled him to enter the United States Military Academy at West Point. After a short period of time he was dismissed for absenteeism.

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[3] who was raised by grandparents.

[4] who was adopted by family friends.

Throughout this entire time Poe published poetry in Boston, Baltimore and New York City and became an editor at the *Southern Literary Messenger* in Richmond, where he developed a name as a severe critic but from where he was fired due to alcoholism. He married his thirteen-year-old cousin and began to publish his tales. In 1845, while he was editor of the *New York Mirror* he wrote "The Raven," poem that brought him instant fame. In 1847 his wife Virginia died of tuberculosis after six years of tormenting agony and Poe became notably depressed. He continued to drink and write until 1849 when he died in a Baltimore hospital.

The conspicuous convergence of the morbid and the beautiful, the isolation, the self-seeking, the split between the inner reality and the outer world, the struggle to define consciousness in an existence no longer supported by permanent values, are all recurrent themes in Poe's writings. His obsessive approach of all of his life's tormenting fears throughout his entire literary creation is what defines Poe's mission – that of questioning the tradition and answering some of the great questions of life.

Evidently Poe's recurrent trauma of orphanhood, of repeatedly losing his maternal nurturers and paternal protectors broadened his melancholia, scattered his sense of self-worth and sharpened his need to torment himself. Love itself provokes anger because it signifies to the protagonist his threatening abandonment. In the symbolic organization of Poe's fiction the personal trauma of female loss and the affront of male scorn tend, at last, toward a common ending: an anger that the narrator eventually guides against himself, in an act of compulsive self-torment.

Poe's work is filled with clear evidence of the need for a feminine presence in his life but not necessarily for a spouse; the female he longs for is a *mother figure* who receives, forgives and protects him from all the evil in the world. The mother is the only person that can see him in his weaker moments that can understand and see his inferiority without judging. With women and especially with the mother figures in his life the author did not have to pretend or try to impress them; he only needed their love and care unconditionally.

> The mother-image in a man's psychology is entirely different in character from a woman's. For a woman, the mother typifies her own conscious life as conditioned by her sex. But for a man the mother typifies something alien, which he has yet to experience and which is filled with the imagery latent in the unconscious. The mother has from the outset a decidedly symbolical significance for a man, which probably accounts for his strong tendency to idealize her. Idealization is a hidden apotropaism; one idealizes whenever there is a secret fear to be exorcized. What is feared is the unconscious and its magical influence. (Jung, 2010: 39-40)

During the marriage with his young cousin Virginia Clemm Poe had benefitted both from the protecting mother-image represented by his aunt and mother-in-law Mrs. Maria Clemm and the figure of the feminine presence that was the embodiment of beauty, inspiration and purity, in the person of his wife.

The ideal Feminine praised in his poems is metamorphosed in the tales into a fierce and dreadful image that threatens to destroy the hero. The mixture of ideal and terrible features given to the wives in Poe's tales are actually the representation of Poe's inner resentment against women due to his dependence on them and the inability of freeing himself from their grip. All the females in Poe's tales have borrowed Virginia's traits which are sometimes combined with Mrs. Clemm's characteristics. But since in reality Virginia and her mother were two different persons the feeling of dread is kept outside real life experiences and inside the narrative frame.

After Virginia's death Poe was suddenly both under the protection and *threat* of the mother figure and it was at this time that he met another important female in his life – Mrs. Sarah Helen Whitman who had the attributes of the mother and of the lover; she was a very attractive woman, ten years older than Poe and a poet capable of appreciating the writer's work. A fragment from a letter Poe wrote to her stands as evidence for Poe's mature admiration for the archetype of Helen of Troy, the woman of his dreams that both fascinated and aroused feelings of dread:

> And now, in the most simple words at my command, let me paint to you the impression made upon me by your personal presence. – As you entered the room, pale, timid, hesitating, and evidently oppressed at heart; as your eyes rested appealingly, for one brief moment, upon me, I felt, for the first time in my life, and tremblingly acknowledged, the existence of spiritual influences altogether out of the reach of the reason. I saw that you were *Helen – my* Helen – the Helen of a thousand dreams – she whose visionary lips had so often lingered upon my own in the divine trance of passion – she whom the great Giver of all Good had preordained to be mine – mine only – if not now, alas! then at least hereafter and *forever,* in the Heavens. – You spoke falteringly and seemed scarcely conscious of what you said. I heard no words – only the soft voice, more familiar to me than my own, and more melodious than the songs of the angels. Your hand rested within mine, and my whole soul shook with a tremulous ecstasy. And then but for very shame – but for the fear of grieving or oppressing you – I would have fallen at your feet in as pure – in as real a *worship* as was ever offered to Idol or to God. (Ticknor, 2004: 71)

What separates Poe's characters from real life is the kind of love manifested as a feeling that, because it concentrates so desperately on the ideal form of the beloved, it rejects normal sexuality. In stories like "Eleonora,"[5] "Ligeia," "Morella,"[6] "Berenice," "The Oval Portrait," etc. the ideal love for angelic creatures as well as the hatred for real ones can be seen at its best. According to Ana Hernández Del Castillo the tales are grouped into two categories: the first consists of the stories with the theme of incest presenting the hero's sexless love for a woman and the second the tales that contain the hero's "dread of an imposing and threatening celestial wife whose death causes the physic destruction of her husband" (Hernández Del Castillo, 1981: 48). In the series of tales enumerated above but also in "The Fall of the House of Usher" and "The Oblong Box"[7] the image of the feminine ideal is made not only through the description of characters but also through the means of the atmosphere that surrounds it and which seems to act as a projection in the mirror: "while the heroine acts as positive or negative anima, the engulfing atmosphere around her gives her a projection as Terrible Mother" (Hernández Del Castillo, 1981: 49).

Especially in Poe's tales of the sea the settings are more impressive and horrible than the events taking place in them; the atmosphere on the ship in "MS Found in a Bottle" invades the sailor who fell on it during the maelström:

> The ship and all in it are imbued with the spirit of Eld. The crew glide to and fro like the ghosts of buried centuries; their eyes have an eager and uneasy meaning; and when their fingers fall athwart my path in the wild glare of the battle-lanterns, I feel as I have never felt before, although I have been all my life a dealer in antiquities, and have imbibed the shadows of fallen columns at Balbec, and Tadmor, and Persepolis, until my very soul has become a ruin (Poe, 2009: 81).

The great majority of Poesque landscapes are not idyllic gardens like Keats' but presented under the form of devouring coffins, torture chambers, cells or crypts. According to the Jungian psychologist Erich Neumann[8] this kind of symbolism betrays the presence of the Terrible Mother constellation. This means that the person presents a weakness at the core of his/her personality that makes the wish to die more powerful than that of living. This urge to stay behind the protective figure of the mother or even to return to

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[5] 1842.
[6] 1835.
[7] 1844.
[8] 1905-1960; his most notable work in the field of developmental psychology is the theory of feminine development.

the womb derives from the person's refusal to grow and normally develop, twisting the personality and giving feelings of stagnation, putrefaction. Thus the mother becomes a dreadful threat.

The theme of incest is also interconnected with this constellation as the love for the mother or sister can be explained by the rejection of everything exterior to the world of a child and its maternal nurturer; the very idea of parting from the mother elevates such anxiety that the person wants to return through all means – even death – to the primordial, paradisiacal state of unconsciousness to the all-embracing womb of the Magna Mater. Poe had a natural predisposition, due to the tragic deaths of the women he loved in childhood and adolescence, for the use of a number of symbols connecting women with death.

Rank explains how the *expectation of death* and not death in itself frightens the writers obsessed with the theme of dying. Only the thought of extinction "torments these unfortunates with the conscious idea of their eternal, eternal inability to return, an idea from which release is only possible in death. Thus we have the strange paradox of the suicide who voluntarily seeks death in order to free himself from the intolerable thanatophobia" (Rank, 1993: 127).

Poe's treatment of dying women shows to a certain extent that he agreed with the pervasive sentimental view that death intensified female beauty; this is shown through the idealization of the departed from "Lenore:"

> The sweet Lenore hath gone before, with Hope that flew beside,
> Leaving thee wild for the dear child that should have been thy bride –
> For her, the fair and debonair, that now so lowly lies,
> The life upon her yellow hair but not within her eyes –
> The life still there, upon her hair, the death upon her eyes (Poe, 2009: 57).

The death of a beautiful woman, the most poetical topics of all, never loses Poe's attention because of the conjoined elements of desire that make it so popular: irresistible love and the fact that it cannot last forever and cannot be preserved. Unlike the eternal beauty of a work of art the loveliness of Poe's women is evanescent to the process of aging but also to illness that ends in death. The aesthetic of death enhancing female beauty developed in an age when consumption had no cure and left the sick person in an intermediate state a feverish glow. And the females in Poe's tales the more they approach the final days the more beautiful they grow. Poe's theory is that through this transformation temporal beauty reaches perfection and at least the corpse of the dead woman incarnates an ideality for a short period of time:

death also entails psychological decay, the beauty of the just-departed contains an element of terror, since the passage of time implies a subsequent and inevitable mutation to loathsomeness. Death discloses its cruel paradoxicality, being both the source of ideal beauty and its destroyer Poe could accept the perverse fact that death intensified beauty – he had seen it often enough – but he also saw through the illusion fostered by sentimentalism. (Kennedy, 1987: 68)

Being so concentrated on exposing the condition of desolation that the death of a woman brought to him rather than her physical attributes the outer world seems just a projection of his interior condition. In "The Raven" for example the setting corresponds to the melancholy cried out by the speaker: everything is in accordance with his own despair – the "midnight dreary," the "dying ember," the "bleak December." Moreover, the poem presents the struggle to escape solipsism through a connection to the Other.

In representing the tomb both as an object of repression and fixation Poe anticipates the theory of "cryptonymy" discussed by Maria Torok and Nicholas Abraham in their study[9] of Sigmund Freud's Wolf Man.[10] Abraham and Torok point out to an "artificial unconsciousness" where the subject had deposited an early traumatic loss that after a process of decoding fragmented symbols revealed itself: the image of a primal scene of incest between Wolf Man's father and sister. The "seductress sister" was from then on symbolically buried:

> Sealing the loss of the object, but also marking the refusal to mourn, such a manoeuvre … is a kind of theft to reappropriate the pleasure-object. But that reappropriation is simultaneously rejected: which leads to the paradox of a foreign body preserved as foreign but by the same token excluded from a self which thenceforth deals not with the other, but only with itself. The more the self keeps the foreign element as a foreigner inside itself, the more it excludes it (Derrida, 2005: xvii).

This process of encryption of an "impossible or refused mourning" preserved and yet forgotten in the interior sustains Derrida's idea that "the crypt is the vault of desire." This can be observed in Poe's poetic enactments of loss. In "Ulalume" the tomb is placed where the narrator cannot avoid it. Ulalume has been engulfed in the narrator's "artificial unconscious" through repression of memories and refusal to mourn:

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[9] *The Wolf Man's Magic World: A Cryptonymy* (*Cryptonymie: Le verbier de L'Homme aux loups*), 1976.

[10] Sergei Konstantinovitch Pankejeff was a Russian aristocrat from Odessa and Sigmund Freud's patient. Freud gave him this pseudonym (*der Wolfsmann*) to protect his identity, after he dreamt of a tree full of white wolves.

Our talk had been serious and sober,
But our thoughts they were palsied and sere,
Our memories were treacherous and sere,
For we knew not the month was October,
And we marked not the night of the year
(Ah, night of all nights in the year!)
We noted not the dim lake of Auber
(Though once we had journeyed down here),
Remembered not the dank tarn of Auber,
Nor the ghoul-haunted woodland of Weir. (Poe, 2009: 125)

In "Ulalume" the suppression of memory is symptomatic of the encryptment of the Other who is still living: "The inhabitant of a crypt is always a living dead, a dead entity we are perfectly willing to keep alive, but as dead, one we are willing to keep, as long as we keep it, within us, intact in any way save as living" (Derrida, 2005: xxi) The refusal to let go of the beloved, the nympholeptic state of "the desire of the moth for the star" is marked by acts of revisitation of the tomb that also stand for the nullification of the Other.

The final weeks before Poe's death reveal through his correspondence the anxiety he suffered from and the dread of permanent separation from the mother: "Oh God, my Mother, shall we ever again meet? If possible, oh come! My clothes are *so horrible,* and I am *so ill.* Oh, if you *could* come to me, *my mother.* Write instantly – oh *do* not fail"[11]; "Most of my suffering arose from that terrible idea which I could not get rid of – the idea that you were dead."[12]

Exactly three months before his death Poe wrote to Maria Clemm another letter in which he shared his vision of simultaneous departure:

The very instant you get this, *come* to me. The joy of seeing you will almost compensate for our sorrows. We can but die together. It *is* no use to reason with me *now;* I must die. I have no desire to live since I have done "Eureka." I could accomplish nothing more. For your sake it would be sweet to live, but we must die together. You have been all in all to me, darling, ever beloved mother, and dearest, truest friend.[13]

Mrs. Clemm embodies in Poe's vision three distinct roles: she is "beloved mother," "truest friend" and his "darling." He does not bear the idea of extinction unless he is together with her as in death he will be

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[11] Edgar Allan Poe to Maria Clemm – July 14, 1849.
[12] Edgar Allan Poe to Maria Clemm – July 19, 1849.
[13] Edgar Allan Poe to Maria Clemm – July 7, 1849.

reunited with the mother figure from whom death has estranged him years before. Unfortunately for Poe he departed from this world alone and without saying good-bye to his confident and mother figure. His last words were the name "Reynolds" a name A.H. Quinn associated with the great vortex in the polar seas which promised "some exciting knowledge – some never-to-be-imparted secret, whose attainment is destruction" (Poe, 2009: 82).

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THE RELATIONSHIPS WITHIN CLAUSE COMPLEXES

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Abstract

The paper proposes a classification of the most common problems that can appear when analyzing the relationships within clause complexes and ranking clauses according to systemic functional framework. The first part of the article discusses the difficulties of picking up the unit of analysis that would help us identify the boundaries in clause complexes. We will explain the differences between written and spoken texts, pointing out the existence of two possible approaches in the case of spoken tests: 'minimal' length approach that takes into consideration only unambiguous clause complex relationships, and the 'maximal' length approach. The second part of the paper analysis three main problems which may arise in determining where clauses begin and end within a complex: (i) is a clause embedded or included?; (ii) how do we differentiate between verbal group complex or clause complex?; (iii) how do we distinguish a separate clause from a circumstance within a clause?

Keywords: clause complex, boundaries, verbal group complex, embedded clauses, minimal approach, maximal approach

1. General considerations

When we analyse a clause complex we are concerned with ideational metafunction of the structure, exploring the ways in which the highest grammatical unit, namely the clause, can combine with other clauses. In this paper we will not discuss the parts of a clause, but the way clauses can combine in order to form a clause complex, the problems that can appear when analyzing the relationships in clause complexes and ranking clauses within systemic functional framework. In systemic functional grammar the main clause is called "primary clause" to which we can add a theoretically an unlimited number of other "secondary" clauses. The most important difference between traditional approach and the systemic functional approach is that in the former case the combined clauses form a grammatical unit named "sentence", while in the latter case they do not create a new

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grammatical unit. Halliday considers that "the sentence is the highest unit of punctuation on the graphological rank scale and has evolved in the writing system to represent the clause complex as the most extensive domain of grammatical structure" (IFG: 2004, p.371)

When analyzing the clause complexes relationships in a text the first step is to identify the boundaries between these clause complexes. We will concentrate in this paper on written and spoken texts. In the first case there is no problem in identifying the boundaries due to the fact that they are signaled orthographically by full stops. When analyzing spoken texts we actually work with transcripts of these texts and the boundaries are not so clearly delimited. The first step that should be taken is to determine whether a particular logico-semantic relationship (expansion or projection) holds between two clauses forming a complex or is a cohesive relationship between two clauses complexes.

1.a Minimal length approach

This approach is used only in clear cases, when the hypotaxis or parataxis signals are unambiguous. Martin, Matthiessen and Painter (1997) identify the following constructions that signal the point where a new complex begins:

(i) interpersonal signals:
- when the speaker changes
- after moodtag
- at change of mood from one clause to next
- before a thematic vocative or after a vocative in clause final position

e.g.   ***Mr. Johnson,*** *may we go now?*
          Sit down, ***Mary****!*

- before a thematic comment Adjunct or after a comment Adjunct in clause final position

e.g.   ***Personally****, I don't dislike him.*
          Were you shocked, ***frankly****?*
          - before *yes, no*.

e.g.   "*Would you like to visit Europe?*"
          "*Yes.*"

(ii) ideational signals:
- before extending or enhancing clause which is not introduced by an explicit conjunction:

e.g.   *I like roses, their smell is wonderful.*   (extending)
          They painted the house, using big brushes   (enhancement)
          - before a conjunction which can function cohesively, e.g. *and, but, so*

e.g.   *The president decided to promote the law, and his ministers agreed with him.*

(iii) textual signals:
- before a marked topical theme without preceding conjunction:

e.g.   *The professor explained his theory. **According to** him, his theory will make a difference.*

Although consistent, this minimal approach has the disadvantage that some logico-semantic relations (especially elaboration = the initial clause is restated, exemplified or further specified by another) are likely to be overlooked. This may be considered a minor drawback because a text can be analysed at a discourse-semantic level in terms on conjunction. The system of conjunction refers to the ways in which these conjunctions are used to mark the relations by which a text is developed and they can be used in order to establish if two clauses form a complex or if it is a cohesive relation between two clauses.

1.b Maximal length approach

This approach may be taken into account only in cases where a logico-semantic paratactic link is debatable or not. In a written text it is best to follow the punctuation that indicates the clause complex boundaries.

Alternatively, in spoken text intonation is an important aspect of picking out the analysis. Intonation should be taken into account to modify the general principles being used, minimal or maximal. Functional grammar considers that in the case of two clauses in a cohesive relation the tone is falling, while in a case of paratactic sequence the tone is changing from low rise to falling (Halliday: 1994, 306-307).

Below we are going to analyse an example in terms of the two general approaches, minimal and maximal.

e.g.   A: *Can you do that?*
        B: *He can.*
              I can't.

In this example there is no conjunction present, but we have a contrastive relation expressed by the polarity. If we use the minimal approach we have to consider that the clause complex lacks any grammatical relation of extension. If we use the maximal approach this relation may be interpreted as paratactic, not as cohesive due to the fact that *but* could be more readily used than *however* between these two clauses.

2. Identifying the boundaries between clauses within clause complexes

In this paper we are going to discuss three of the most important problems that may occur in identifying the boundaries of clauses that form a clause complex: (i) is a clause embedded or included?; (ii) how do we differentiate between verbal group complex or clause complex?; (iii) how do we distinguish a separate clause from a circumstance within a clause?

2.a Embedded clauses vs. Included Clauses within clause complexes

Embedded clauses do not have paratactic or hypotactic relations with other clauses. Nevertheless, there are cases in which it is difficult to distinguish between this type of clauses and hypotactic elaboration. These two structures can be easily distinguished in speech because the hypotactic clause is pronounced on the same tone as the main clause. Functionally speaking, the hypotactic clause can elaborate on the main clause (creating the logico-semantic relation of elaboration) or adds more information about a participant. An embedded clause provides the identity of the participant, corresponding to what we call in traditional framework "defining relative clause":

e.g.   *I wanted to sell my house that was built in the 18th century.* (I have only one house like this)
I wanted to sell my house[[that was built in the 18th century]] (I have more houses, but only one was built in the 18th century).

2.b Verbal Group Complex vs. Clause Complex

The confusion can occur in constructions that consist of two or more lexical verbs. It is important not to confuse an interdependency relation between two clauses with one between verbal groups at one rank below.

Let us consider the following examples:

e.g.   *We   will start   to study.*
We   enjoy   traveling.
We   were persuaded to give up.
We   seem   to be late.

In the above cases, there is only one single unit, with a single process element which is realized by a complex of verbal groups. For example, *will start to study* is made up of two verbal groups, *will start* and *to study* which form together a complex group complex. When we analyse the clause as representation, namely in terms of transitivity, the second verbal group, the non-finite one, is important for identifying the process type. A statement such as *We will start to study English next year* is a mental clause; but a

statement such as *We will start asking questions to our teacher* is a verbal one. In contrast, the first verbal group elaborates the unfolding of the process in terms of phrases (infinitive/ gerundial). We have to notice that these simple clauses with complex processes are different from cases where there are two clauses, and, as a result, two distinct processes as in the examples below:

e.g.　　*He left the room　　running.*
　　　　He ran downstairs　　to open the door.

In these examples we have two processes, i.e. two clauses. We can paraphrase the above examples in constructions such as: *He left the room and ran; He ran downstairs and he opened the door*. In order to identify the processes, we can try to add to the verbal group some circumstances:

e.g.　　*He left the room in a hurry at 3 o'clock and ran downstairs to the backyard.*

There are some situations in which the distinction is less clear:

e.g.　　*They want to change their house.*
　　　　They pretend to know everything.

Systemic functional framework analyses these situations as a single transitivity configuration, *want to change* and *pretend to know* represents only one verbal group. An alternative analysis would be to give equal status to both verbal groups, by consider them to be in two separate clauses:

e.g.　　*They　want*　　　　　*to change*　　　*their house.*
　　　　Actor　mental process　　material process　　　　goal

The latter analysis considers that there are two clauses forming a clause complex, just as in cases where each process has its own set of participants and circumstances:

e.g.　　*They want you to leave the house tomorrow.*
　　　　They told us they would leave the house tomorrow.

3. How do we distinguish a separate clause from a circumstance within a clause?

The third problem we are going to discuss involves the difficulty of distinguishing a separate clause form a circumstance within a clause. First of all, we have to notice that a semantic relationship such as time, location, manner or cause can be realized in both ways, as a relation between two clauses or as a circumstance within the clause. If they appear in separate clauses they have their own process configuration.

e.g.　　*She succeeded in life with her intelligence.*

> *She succeeded in life using her intelligence.*

In the first example the circumstance (manner) is placed within the clause, it is agnate (coming from a common source) with a non-finite clause linked to *She succeeded in life* in a clause complex; in contrast, in the second example the clause *using her intelligence* expands the clause, opening up a clause complex. We have to notice that the prepositional phrase *with her intelligence* (expressing a circumstance) and the non-finite clause, *using her intelligence*, are very similar. Nevertheless, there is one difference between them: the non-finite clause can be added other circumstances and modality items:

e.g.   *She succeeded in life strongly using her intelligence in order to become a doctor.*

Halliday (2004: 369) remarks that "while circumstantial elements are part of the 'configurational' organization of the clause, clauses in clause complexes are part of a chain-like or serial structure. Both options are viable: the use of circumstantial elements within a clause stresses the clause "internally", while the use of another clause within a clause complex stresses the clause "externally".

(i) One situation that can proves itself as misleading into taking a circumstance as a ranking clause is where a logico-semantic relation of the clause is realized metaphorically as a long nominal group with a nominalization as the Head of the group.

e.g.   *Organisers say the 100th anniversary seems to have inspired women to celebrate a day designed to press for political, economic and social reforms despite <u>a history</u>* [[*that has never really paid it much attention.*]]

According to systemic functional framework, *despite a history that has never really paid it much attention* represents a circumstance of contingency (Halliday: 2004, Thompson: 2004, Fawcett: 2000) within the transitivity structure of the clause. It contains a nominal group that have a central element a noun phrase, *a history*.

(ii) Another controversial problem is raised by the cases in which the process is omitted. In such cases there is possible to consider a dependent clause as circumstance. We are going to analyse two possible constructions:

(ii.a) When a non-finite clause is linked to a finite one, the relation will always be one of hypotaxis. However, in most cases, there is no reference that indicates the type of the logico-semantic relation involved:

e.g.   *She was driving singing.*

Systemic functional framework recommends the analysis of the finite counterpart of the structure due to the fact that between two finite clauses the logico-semantic relation is explicit.

e.g.   *Arriving quickly, she managed to stop him.*
         Because she arrived quickly, she managed to stop him.

A special case is represented by the finite clause where there is an explicit paratactic relation signalled by *and*. We can interpret this relation as a temporal one:

e.g.   *The boy shouted at his colleagues, **and** ran after them, **and** gave them the books they had forgotten.*

(ii.b) A dependent clause may have no implicit process, and, as a result, may be wrongly analysed as a phrase or a group. In examples such as:

e.g.   *Mike being gone, we can go, too.*
         Being young, he decided to become a doctor.

When we analyse constructions like these we have to notice that *Mike being gone* and *Bing* young are not noun phrases, but clauses with an implicit process, that can be re-phrased as *Since Mike is gone* or *When he was young*.

(ii.c) The last case we are going to discuss is that of locutions without explicit projecting clauses. In written texts punctuation may signal a construction of this type.

e.g.   *"It is strange", she said. "I just can't believe that he did such as thing".*

The complex that is within quotation marks, namely *"I just can't believe that he did such as thing"* is not grammatically linked to a verbal process of projection. This type of analysis does not pay any attention to the cohesive effect of the quotation marks, taking into account only the grammatically explicit projection as part of a clause complex relation.

(iii) One final problem we are going to discuss in this paper concerns the difficulty to determine whether a unit is a clause or a prepositional phrase where the ambiguous unit has a non-finite verb form such as *including, regarding, concerning, using*. The main difference is that a prepositional phrase can have a configuration with only two elements, Process and Range, while a clause can always be expanded and can also have a finite counterpart.

e.g.   *She decided to take all her things, including her furniture.*
         (Prepositional Phrase as part of clause)

Including her family in her thanks speech, the girl showed her deep emotion.
(Non-finite clause)
Because she included her family in her thanks speech, the girl showed her deep emotion.

4. Conclusions

This paper has discussed three of the most important problems that may occur in identifying the boundaries of clauses that form a clause complex. The first problem refers to the relationship between clauses, i.e. if a clause is embedded or included. The second aspect refers to the methods which help us differentiate between verbal group complex or clause complex, and the third part of the paper discusses the ways in which we can distinguish a separate clause from a circumstance within a clause. We can conclude that the first step that should be taken is to determine whether a particular logico-semantic relationship (expansion or projection) holds between two clauses forming a complex or it is a cohesive relationship between two clauses complexes. We can also conclude that a great importance of this issue is given by the semantic content of the clauses.

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LANGUAGE PRODUCTIVITY IN CONTRACTS
A Morphological Approach[1]

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Abstract:
The present paper aims at presenting and analyzing typical aspects of language productivity in contracts. Thus, contracts' language is regarded mainly from a morphological approach, in terms of word-formation, in order to reveal different aspects of morpho- lexical productivity. In this respect the paper proposes a comparative study of lexical characteristics encountered in General English and the language of contracts. Nevertheless, the study intends to investigate not only theoretical aspects of the specific contracting lexicon but also in what degree these aspects are reflected in particular examples of English contract.

Keywords: contracts' language, synchronic investigation, language productivity, word-formation

Introduction

Considering Tiersma's statement that "*Our law is a law of words*" (Tiersma 1999: 1), the present paper aims at investigating particular linguistic dimensions of legal English. Moreover the interest of this present paper is focused on the characteristics of one language variety derived from legal English, i.e. the language of contracts.

Regarding contracts' linguistic features special attention is paid to the study of lexical characteristics and peculiarities. Legal vocabulary exhibits distinctive lexical features particular to expressing the concepts of law and, as a consequence, it has been subjected to thorough analysis in a number of studies.

The present paper aims at providing a theoretical and a practical approach to lexical peculiarities in drafting contracts. In this respect the paper proposes a comparative study of lexical characteristics encountered in

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General English and the language of contracts. For the sustainability of this research there have been adopted methods of theoretical observation and practical analysis applied on two contract drafts. In order to clearly mirror specific lexical features the paper proposes the analysis of two contract drafts, drawn by native speakers, i.e. a *Contract for Works of Civil Engineering Construction* provided by Lawyers.uk and a *Public Works Contract for Civil Engineering Works* drafted by the Department of Finance of the Irish Government. The proposed corpus sums a total number of 10195 words as follows: the first contract sample- *Contract for Works of Civil Engineering Construction* contains 4 pages and a number of 3470 words, and the second draft *Public Works Contract for Civil Engineering Works* counts 9 pages and 6725 words. Thus, the study intends to investigate not only theoretical aspects of the specific contracting lexicon, but also in what degree these aspects are reflected in particular examples of English contract.

Concerning the study of contracts' lexical characteristics the paper proposes a synchronic study. The first part of the research thesis has been dedicated to a synchronic analysis of the lexicon, both in General English and Contracts' language.

Further investigations within this domain were mainly dedicated to the internal structure of lexical items. Thus, section 2 proposes a morphological approach of the contracting lexicon in terms of word formation. In this respect the paper provides both theoretical aspects and practical analysis regarding language productivity at the morphological level. Based on the theoretical investigation regarding language productivity at the morphological level, section 2 attempts to provide a practical analysis of the proposed contract texts, aiming at framing typical morpho-lexical features of contracts.

Finally the paper attempts to draw general conclusions on the undertaken research by presenting lexical features of contracts, aiming moreover to state general rules on the lexical specificity used in contracts.

1. Lexicon, Lexicology

Under its first main section, the present paper focuses on general aspects and notions regarding the definition and moreover the structure of the English lexicon. According to Lipka, while grammar was considered the domain of systems, the lexis was regarded as the domain of vast lists of formal items, whose characteristics could not be generalised. (Lipka 2002: 12) Yet, from a historical point of view, "*the vocabulary of a language is an accumulation of words*" (Lipka 2002: 12), and thus not only a list of items, which can be further subjected to generalisation. It can be said therefore that

the lexicon is not a simple inventory of isolated terms and it definitely has a structure.

Regarding the structure of the lexicon, linguistic research studies brought into discussion various types of relations and connections that are to occur between its elements. Accordingly, further rules, connections and common features are to be observed.

A first meaningful approach to the term lexicon goes back to Saussure's theory. According to Saussure, language is considered a system of signs, thus a structure of independent elements. Consequently, if discussing about the lexicon we can refer to a structure of its own. Moreover if taking into consideration that the lexicon is made up of words, which can be analysed both internally and externally, we could reach the conclusion that lexicon itself has both an internal and an external structure. Thus, considering the internal structure of the lexicon, we could further debate aspects regarding internal structure of lexical items, which are either morphologically complex (compounds, suffix derivatives, prefix derivatives) or simple.

Even though the term lexicon has previously been considered somehow synonymous with the term dictionary, such usage of terms is accepted only if we regard them as technical terms within the literary style.

The term lexicon, however, may be referred to in two senses, i.e.
a. as a metalinguistic level or a sub branch in linguistics;
b. in the sense of vocabulary, if seen from a systematic and synchronic point of view.

a. Lexicology, the discipline concerned with lexis or the lexicon, is considered the level or the branch in-between phonology and syntax. All these three levels -phonology, lexicology and syntax- are subsystems of the entire language system. They can be described both synchronically- at a particular point in time and diachronically- throughout their historical evolution. Lexicology has both a morphological and a syntactical dimension and both may be regarded from a diachronic and a synchronic point of view.

b. Lexicon can be also regarded from a systematic and a synchronic point of view. In this respect, the study of the English lexicon is mainly concerned with the "*etymological heterogeneity*" (Lipka 2002: 15) of the English language vocabulary, the problem of the mixing languages and its causes and stratification.

2. Lexical Productivity In Contracts

Starting from a general statement provided by Aronoff we can define *morphology* as that sector of linguistics which refers to "*the mental system involved in word-formation or the branch of linguistics that deals with words, their internal structure and how they are formed*". (Aronoff 2005: 9) Moreover morphology can be divided into two main branches, *inflectional morphology* (Lipka 2002: 21), which studies various forms of the lexeme and *word formation*, which investigates the formation of new lexemes from a given base.

The present section will focus mainly on the second branch of morphology, i.e. word-formation. Aiming at investigating aspects of the English lexicon, the present paper proposes the study of internal structures of lexical items by means of morphology. Thus, under the following section morphology will be regarded as the science of language that investigates the pattern on which a language forms new lexical units- words.

According to the undertaken analysis upon the proposed contract texts there were encountered representative examples of lexical productivity within contracts' language.

Firstly it has to be mentioned that the analysing method focused on the process of word formation aiming at showing which processes of word formation are more productive and which new lexical items are most frequently encountered.

2.1 Compounding in Contracts

2.1.1 Noun Compounds

Proper Noun Compounds

Special attention should be paid to certain compounds which appear in contracts in capital letter. If regarding these compounds from the perspective of General English we could state that they are normal common nouns compounds. Yet, taking into consideration the formal style and strict register of contracts these compound nouns become proper noun compounds denoting technical documents and data which are specific to each contract and moreover contractual period. Under this category there can be mentioned compounds like: *Commencement Date, Contract Sum, Construction Regulations, Defects Certificate, Final Statement, Interim Certificates.*

(1) *43.1* The Contractor shall take full responsibility for the care of the Works and materials and Plant for incorporation therein from the

Commencement Date until the date of issue of the **Taking-over Certificate** for the whole of the Works, when the responsibility for the said care shall pass to the Employer. Provided that: [...] (Contract for Works of Civil Engineering Construction: 9)

(2) *90.2* In respect of every **Provisional Sum** the Engineer shall have authority to issue instructions for the execution of work or for the supply of goods, materials, Plant or services*, by:* [...] (Contract for Works of Civil Engineering Construction: 20)

Common Noun Compounds

Regarding the category of common noun compounds the analysis showed that this process is not quite productive, especially regarding compounds from adjectives, verbs and even adverbs. The most frequently encountered compounds belong to the class of nouns to which other words were attached, though the **noun** + **noun** compounds appear to be more frequently than other compounds of the noun class.

Examples provided by the analysis offer compounds like:
- **Noun**+ **Noun:** *calendar day, parent company, water tanks, foot path, safety rules, performance bond, subject- matter, aircraft, trade union, stamp duties, wage rate, water way, radio-activity*

(3) 1.1.2 (8*)* References to a day mean a **calendar day**. (Public Works Contract for Civil Engineering Works: 9)

(4) 3.8 (2) bursting or overflowing of **water tanks**, apparatus or pipes (Public Works Contract for Civil Engineering Works: 17)

(5) 7.5.1 (1) (iii) persons exercising public access to any roads, **footpaths** and areas on the Site (Public Works Contract for Civil Engineering Works: 32)

(6) 65.4 [...] the foregoing provisions of this Clause shall be construed as though "road" included a lock, dock, sea wall or other structure related to a **waterway** and vehicle included craft, and shall have effect accordingly. (Contract for Works of Civil Engineering Construction: 13)

- **Verb + Noun:** *working days, working signs, ionizing radiations, written instructions.*

(7) 8.7. The Employer's Representative shall issue the Defects Certificate to the Contractor and the Employer within 20 **working days** after the end of the Defects Period [...] (Public Works Contract for Civil Engineering Works: 36)

(8) 46.1 (c) **ionizing radiations**, or contamination by radio-activity from any nuclear fuel, radio-active toxic explosive, or other hazardous properties of any explosive nuclear assembly or nuclear component thereof [...] (Contract for Works of Civil Engineering Construction: 9)

Concerning the morphological characteristics of the compounding elements forming the **Verb + Noun** group of compounds, various research studies have placed into discussion a particular situation of certain compounds, like for example *jump jet o* or *play pit*. Such examples have determined authors like Valery Bauer to considered rather difficult the attempt to establish whether the first element of the compound is a noun or a verb, although recent studies have assigned (but not obligatory) the first element of such compounds to the class of verbs. (Bauer 1991: 205)

Examples of such occurrences have been encountered within our analysis as well.

 E.g. *access routes, test certificates*

(9) 7.9.1. The Contractor [and not the Employer] shall be responsible for the suitability and availability of **access routes** [...] (Public Works Contract for Civil Engineering Works: 32)

- **Adjective + Noun:**   *malicious damage, public relation, technical capacity, intellectual property, good price, supersonic speed, climatic conditions civil war, quarterly periods, additional facilities, reasonable time, provisional rates, temporary works*

(10) 3.8 (4) riot, **civil commotion** or **malicious damage**. (Public Works Contract for Civil Engineering Works: 9)

(11) 84.2 [...] Until such time as rates or prices are agreed or fixed, the Engineer shall determine **provisional rates** or prices to enable on-account payments to the included in certificates issued in accordance

with Clause 92. [...]   (Contract for Works of Civil Engineering Construction: 20)

(12) 99.1 [...] forthwith to every such decision of the Employer shall give effect forthwith to every such decision of the Engineer unless and until the same shall be revised, as hereinafter provided, in an **amicable settlement** or an **arbitral award**. [...] (Contract for Works of Civil Engineering Construction: 28)

(13) 4.9.1[...] (4) the methods by which the Contractor proposes to execute the Works and any **temporary works** [...] (Public Works Contract for Civil Engineering Works:23)

▪ **Phrase Compounds***: sub-surface conditions, semi-skilled labour, on-account payment, post-tender clarifications*

(14) 38.1 [...] (b) such skilled, **semi-skilled** and unskilled **labour** as is necessary for the proper and timely fulfilling of the Contractor's obligations under the Contract. (Contract for Works of Civil Engineering Construction:7)

(15) Article 5 [...] the Letter of Acceptance and any **post-tender clarifications** listed in it [...] (Public Works Contract for Civil Engineering Works:5)

2.1.2 Contracts' Compund Verbs

▪ **Particle +Verb:** *undertake**,** foreseen, withdrawn, foregoing, overflowing, withhold*

(16) 43.1 [...] (b) the Contractor shall take full responsibility for the care of any outstanding Works and materials and Plant for incorporation therein which he **undertakes** to finish during the Defects Liability Period until such outstanding Works have been completed pursuant to Clause 82. (Contract for Works of Civil Engineering Construction:9)

(17) 32.1 [...] (if in his opinion such obstructions or conditions could not have been reasonably **foreseen** by an experienced contractor, after due consultation with the Employer and the Contractor, determine [...] (Contract for Works of Civil Engineering Construction:7)

(18) 4.9.3 [...] the Employer shall be entitled to **withhold** from the Contractor 15% of any payment to be made to the Contractor until the revised program is submitted. (Public Works Contract for Civil Engineering Works:23)

2.1.3   Compound Adjectives in Contracts

▪ **Adjective + Noun:** *purposeful*
(19) 1.2.1. The parties intend the Contract to be given **purposeful** meaning for efficiency and public benefit generally and as particularly identified in the Contract. (Public Works Contract for Civil Engineering Works:23)

Furthermore the analysis proved that the process of derivation is more productive in contracts. Thus, derivatives were more frequently encountered than compounds. Though some distinctions have to be made, namely that derivation by prefixes was encountered less productive than derivation by suffixes.

2.1   Prefixation in Contracts

2.2.1 Prefixes added to nouns and verbs
▪ **fore-:** *foreseen, foresaid, forementioned, foremen, foregoing*
(20) 32.1 [...] the Engineer shall, if in his opinion such obstructions or conditions could not have been reasonably **foreseen** by an experienced contractor, after due consultation with the Employer and the Contractor, determine: [...] (Contract for Works of Civil Engineering Construction:7)

(21) Article 4 [...] whether they could or could not have been **foreseen**, except for events for which the Contract provides for adjustment of the initial Contract Sum. (Public Works Contract for Civil Engineering Works:5)

(22) 38.1 (a) [...] only such technical assistants as are skilled and experienced in their respective callings and such **foremen** and leading hands as are competent to give proper superintendence of the Works, and [...] (Contract for Works of Civil Engineering Construction:8)

- *re-:* *removal, replacement, resources, represent, reinstatement, return, request, recovering, reproduced, replace, repay, re-execution, re-export.*

(23) 8.5.1. [...] this may include uncovering, dismantling, **re-covering** and **re-erecting** work, providing facilities for tests, testing and inspecting. [...] (Public Works Contract for Civil Engineering Works: 35)

(24) 72.8 (c) [...] the removal and proper **re-execution**, notwithstanding any previous test thereof or interim payment therefore, of any work which, in respect of: [...] (Contract for Works of Civil Engineering Construction:15)

(25) 88.4 [...] the Employer will use his best endeavors to assist the Contractor, where required, in procuring any necessary Government consent to the **re-export** of such Contractor's Equipment by the Contractor upon the **removal** thereof pursuant to the terms of the Contract. (Contract for Works of Civil Engineering Construction:21)

- *mis- :* *misconduct, misuse*

(26) 4.2.3 [...] If the Employer's Representative so requires because of the **misconduct**, negligence or incompetence of either of them[...] (Public Works Contract for Civil Engineering Works:19)

(27) 91.2 [...] his agents, workmen and servants and from and against any **misuse** by him or them of any Temporary Works provided by the Contractor [...] (Contract for Works of Civil Engineering Construction:23)

2.2.2 Prefixes added to nouns and adjectives
- *im-/in-:* *inconsistencies, incorporation, indemnity, incapable, incompetence, insolvency, incorrect, imminent, impossible, improperly, impracticable*

(28) 4.2.3. [...] If the Contractor's representative or supervisor dies, or becomes **incapable** of performing their role, or is no longer available to the Contractor [...] (Public Works Contract for Civil Engineering Works:19)

(29) 5.4.5. [...] except when an **insolvency** event, as set out in sub-clause 12.1 [...] (Public Works Contract for Civil Engineering Works:29)

(30) 84.4 [...] Provided always that if the Engineer considers that for any reason the sending of such lists or statements by the Contractor, in accordance with the foregoing provision, was **impracticable** he shall nevertheless [...] (Contract for Works of Civil Engineering Construction:20)

- *ex-: exchange*

(31) 4.1.3. [...] Either party, or the Employer's Representative, may request clarifications, consultations, workshops, **exchange** of information and expertise, or investigations, although not provided for [...] (Public Works Contract for Civil Engineering Works:19)

2.2.3 Prefixes added to nouns, verbs and adjectives
- *counter- : counterparty*

(32) 2.7.1 [...] the Contractor, or other counterparty, is an entity duly incorporated under the laws of its place of incorporation and is a separate legal entity [...](Public Works Contract for Civil Engineering Works:13)

- *dis-: disclosure, discharged, dismantling, disruption, dismissed, disregarding, dissatisfied, dismantle, disorder, dispatch, disagreement, discharge, dissolution, disapprove*

(33) 4.16.3. This sub-clause 4.16 shall not prevent **disclosure** of information, to the extent permitted by Law: [...] (Public Works Contract for Civil Engineering Works:26)

(34) 5.3.5. The Employer may seek information under sub-clause 5.3.3 only for the purpose of ensuring the obligations referred to in this sub-clause 5.3 to work persons have been properly **discharged**. [...] (Public Works Contract for Civil Engineering Works:28)

(35) 13.1.9. If either party is **dissatisfied** with the conciliator's recommendation, it may, within 45 days after receiving the conciliator's recommendation, so notify the other party. [...] (Public Works Contract for Civil Engineering Works:53)

(36) 22.1 [...] in sufficient detail to enable the Employer to operate, maintain, **dismantle**, reassemble and adjust the permanent Works incorporating that design. (Contract for Works of Civil Engineering Construction:5)

▪ ***co-:*** *co-insured, co-operation, co-ordination, collateral*

(37) 3.3.1. [...] The insurance shall name the Contractor, the Employer and any other persons the Employer requires as **co-insured** [...] (Public Works Contract for Civil Engineering Works:16)

(38) 4.1.1. The Employer [subject to restraints as a public authority] and the Contractor shall support reciprocal **co-operation** for the Contract purposes, including **co-operation** with and between [...] (Public Works Contract for Civil Engineering Works:19

(39) 5.5.If the Schedule, part 1F, states that a **collateral** warranty is required from any Specialist [...] (Public Works Contract for Civil Engineering Works:29)

▪ ***sub-:*** *subcontractor, sub-clause, submission, sub-surface*

(40) 4.7.2. The Employer's Representative may [but is not bound to] make a written objection to a Contractor's **submission**, giving reasons. (Public Works Contract for Civil Engineering Works:21)

(41) 14.1 In the event of a **Subcontractor** having undertaken towards the Contractor in respect of the work executed; or the goods, materials, Plant or services supplied by such **Subcontractor** [...] (Contract for Works of Civil Engineering Construction:4)

2.3 Suffixation in Contracts

Suffixes proved to be the most frequently encountered elements of word formation within the analysed contract texts. Accordingly, the suffix "*-tion*", typical for the written style and scientific register was abundantly encountered. Other examples of the analysis are:

2.3.1 Suffixes forming nouns

Nouns from Nouns

▪ *- **ism:*** *terrorism*

(42) 3.1 [...] **terrorism**, but only if **terrorism** is a permitted exclusion from the Contractor's insurance of the Works (Public Works Contract for Civil Engineering Works:15)

▪ *- **ship:*** *ownership, workmanship, partnership*

(43) 6.4.2. If the Schedule, part 1C, so states, **ownership** of and all copyright and other rights in the Contractor's Documents [...] (Public Works Contract for Civil Engineering Works:30)

(44) If the Contractor is a **partnership** or joint venture, execution must be by each member [...] (Public Works Contract for Civil Engineering Works:6)

(45) 70.1 All materials, Plant and **workmanship** shall be: [...] (Contract for Works of Civil Engineering Construction: 13)

Nouns from Verbs

▪ *-al: approval, propsal, removal, renewal*

(50)   Article 4 Notices, Consents, **Approvals**, Certificates and Determinations

4.1 Wherever in the Contract provision is made for the giving or issue of any notice, consent, **approval**, certificate or determination by any person, unless otherwise specified such notice, consent, **approval** [...] (Contract for Works of Civil Engineering Construction:2)

(51) 10.4. The Employer's Representative may require the Contractor to make **proposals** for a   proposed instruction. [...] (Public Works Contract for Civil Engineering Works: 42)

▪ *-ee: guarantee, employee, trustee, assignee*

(52) 1.1 "employer" means the person named as such in this contract and the legal successors in title to such person, but not (except with the consent of the Contractor) any **assignee** of such person (Contract for Works of Civil Engineering Construction:1)

(53) 95.1 [...] to carry out the Contract under a committed of inspection of his creditors, or if a receiver, administrator, **trustee** or liquidator is appointed over any substantial part of his assets [...] (Contract for Works of Civil Engineering Construction: 1)

▪ *-er: employer, supplier, receiver, examiner, insurer, broker, underwriter*

(54) 12.2.7. The Employer may pay to any Subcontractor or **supplier** to the Contractor any amount due to it that the Employer's Representative certifies [...] (Public Works Contract for Civil Engineering Works: 50)

(55) 2.7.1 the Contractor, or other counterparty, is an entity duly incorporated under the laws of its place of incorporation and is a separate legal entity, capable of being sued in its own name, is validly existing under the laws of that place and no steps have been taken or

are being taken to appoint a **receiver**, **examiner**, administrator, liquidator, trustee or similar person over it or to wind it up [...] (Public Works Contract for Civil Engineering Works: 13)

- ▪ *-ment:* *adjustment, statement, requirement, assignment, arrangement, government, employment, reinstatement, infringement, easement, management, replacement, assessment, procurement, payment, alignment, commencement, movement, settlement, engagement, disagreement, entitlement, fulfillment, measurement.*

(56) 2.6.4 [...] for 12 months after leaving the **employment** or office, be engaged as Contractor's Personnel and [...] (Public Works Contract for Civil Engineering Works: 13)

(57) 3.3.1 [...] for the full **reinstatement** cost of the property insured, including the cost of demolition, removal of debris, delivery, professional fees, inflation occurring during the construction and **reinstatement** periods, and profit. [...] (Public Works Contract for Civil Engineering Works: 13)

- ▪ *-tion:* *obligation, clarification, condition, execution, legislation, association, jurisdiction, instruction, specification, regulation, connection, rectification, compensation, representation, construction, prohibition, prevention, incorporation, revolution, contamination, demolition, obstruction, alteration, satisfaction, reduction, cancellation, negotiation, consultation, investigation, limitation, determination, definition, specification, modification, addition, operation, execution, retention, erection, delegation, revocation, communication, interpretation, consideration, description, pollution, commotion, occupation, radiation, compensation, fabrication.*

(58) 4.3.2. If there are **limitations** on the authority of the Employer's Representative to perform its **functions** or powers under the Contract, they are stated in the Contract. But any act or **instruction** of the Employer's Representative under the Contract shall [...] (Public Works Contract for Civil Engineering Works: 20)

(59) 12.1.1 [...] the Contractor fails to proceed regularly and diligently with the execution of the   Works [...] (Public Works Contract for Civil Engineering Works: 48)

(60) 72.2 The Engineer shall be entitled, during manufacture, **fabrication** or **preparation** to inspect and test the materials and Plant to be supplied under the Contract [...] (Contract for Works of Civil Engineering Construction: 14)

▪ *-ure: signature, failure, manufacture, pressure, procedure*
(61) 1.9.4 [...] No **failure** or delay by a party in exercising any right or remedy will waive the right or remedy, [...] (Public Works Contract for Civil Engineering Works:11)

(62) 72.2 The Engineer shall be entitled, during **manufacture**, fabrication or preparation to inspect and test the materials and Plant to be supplied [...] (Contract for Works of Civil Engineering Construction: 14)

(63) 81.2 Similarly, in accordance with the **procedure** set out in Clause 81.1, the Contractor may request [...] (Contract for Works of Civil Engineering Construction:32)

Nouns from Adjectives
▪ *-cy: sufficiency, efficiency, inconsistency, secrecy, insolvency, accuracy, adequacy, bankruptcy, emergency*
(64) 1.3.1. [...] If there is an **inconsistency** between the documents, they take precedence as follows: [...] (Public Works Contract for Civil Engineering Works: 10)

(65) 12.1.2. If the Contractor is more than one person, if any of the **insolvency** events occur in respect of any of them, the Employer may either: [...] (Public Works Contract for Civil Engineering Works:50)

(66) 7.7 Before setting out the Works the Contractor shall make all reasonable efforts to verify the **accuracy** of the setting out information in the Works Requirements. [...] (Public Works Contract for Civil Engineering Works:32)

(67) 95.1 If the Contractor is deemed by law unable to pay his debts as they fall due, or enters into voluntary or involuntary **bankruptcy**, liquidation or dissolution [...] (Contract for Works of Civil Engineering Construction:26)

- ▪ *-ness: correctness, witness*
(68) 31.1 The Contractor shall be deemed to have satisfied himself as to the **correctness** and sufficiency of the Tender [...] (Contract for Works of Civil Engineering Construction:7)
- ▪ *-ist: specialist*
(69) 5.4.3. If the Works Requirements name a Specialist whose contract with the Employer is to be notated [...] (Public Works Contract for Civil Engineering Works: 28)

2.3.2 Suffixes forming verbs

- ▪ *-ify: identify, rectify, indemnify, notify, specify, verify, certify, disqualify*
(70) 3.2.2. The Contractor shall promptly **rectify** any loss and damage to Risk Items for which it is responsible [...] (Public Works Contract for Civil Engineering Works:15)

(71) 3.4.1. The Contractor shall **indemnify** the Employer and the Employer's employees against: [...] (Public Works Contract for Civil Engineering Works: 16)

(72) [...] The Engineer shall **notify** the Contractor of any determination made under this Clause, with a copy to the Employer. [...](Contract for Works of Civil Engineering Construction:20)

2.3.3 Suffixes forming adjectives

Adjectives from nouns
- ▪ *-al: - environmental*
(73) [...] details of any accidents, injuries, hazardous incidents, **environmental** incidents, labour relations problems and public relations problems concerning or affecting the Works [...] (Public Works Contract for Civil Engineering Works:24)

- ▪ *-ly: monthly, quarterly, timely*
(74) The Buyer shall pay interest (after as well as before Judgment) on any monies payable by the Buyer to the Seller which are not paid when due at an annual rate of twelve percentage points above the base rate of Lloyds Bank Plc. from time to time compounded with **monthly** rests calculated from the date of due payment until the date of actual payment. [...] (Public Works Contract for Civil Engineering Works:3)

Adjectives from verbs

▪ *-able: readable, liable, unforeseeable, practicable, enforceable, applicable, unavoidable, incapable, desirable, reasonable, favorable, payable, allocable, predictable, recoverable.*

(75) 1.7. If the Contractor is a joint venture, consortium or other unincorporated grouping of two or more persons, those persons shall be jointly and severally **liable** to the Employer for the performance of the Contract. (Public Works Contract for Civil Engineering Works:11)

(76) 5.3.2. The Contractor shall ensure that the rates of pay and the conditions of employment [including in relation to pension contributions] of each work person comply with all **applicable** Law (Public Works Contract for Civil Engineering Works:27)

(77) 92.2 The Engineer shall, within 28 days of receiving such statement, certify to the Employer the amount of payment to the Contractor which he considers due and **payable** in respect thereof, subject: [...] (Contract for Works of Civil Engineering Construction:24)

▪ *-atory: explanatory*

(78) 16.1 The several documents forming the Contract are to be taken as mutually **explanatory** of one another, [...] (Contract for Works of Civil Engineering Construction:4)

(79) 1.3.1. Except when the Contract states otherwise, the documents in the Contract are to be taken as mutually **explanatory** of each other if possible. [...] (Contract for Works of Civil Engineering Construction:10)

2.4   Other word-formation products in contracts

Other processes of word formation seem to be rarely used in contracts. Among other products of word formation which were encountered in contracts, though not so productive, were examples backformation and acronyms.

Backformation

For backformation there were encountered examples like: *employee < employer, process <procession*

(80) 2.6.3. no Minister of the Government or Minister of State, or officer or **employee** of the Employer, will have or receive any share or part of the Contract or any benefit from the Contract and [...] (Public Works Contract for Civil Engineering Works:13)

(81) 46.1 (e) riot, commotion or disorder, unless solely restricted to **employees** of the Contractor or of his Subcontractors and arising from the conduct of the Works, [...] (Contract for Works of Civil Engineering Construction:9)

(82) 12.1.1 [...] a supervisor, receiver, administrator, administrative receiver, trustee or encumbrance takes possession of or is appointed over the Contractor, or any distress, execution or other **process** is levied or enforced, and not discharged within 10 working days, on the Contractor or any of its assets [...] (Public Works Contract for Civil Engineering Works:49)

Acronyms

Typical examples of acronyms comprise beside general well known acronyms further terms and data specific for the economic and technical domain, i.e. the contracting domain. E.g. *VAT; EU; TRE (technical personnel); QA; QC; Dipl.; Eng.; Kfm.*

(83) Article 3 The initial Contract Sum including **VAT** is €……………… (insert in words). The initial Contract Sum is a lump sum and shall only be adjusted when the Contract says so. (Public Works Contract for Civil Engineering Works:5)

Conclusion

In conclusion we could state that lexical characteristics of contracts' language are to be emphasised by the very nature of this language variety as a branch of legal English. A further characteristic of legal language which is also to be encountered in contracts reveals its complex linguistic structure, and despite these efforts at simplification and clarification, the gap between legal language and everyday language is still very wide.

If analysing contracts' language lexical features synchronically, various characteristics are to be mentioned. Thus, regarding compounds the analysis showed that this process is not quite productive, especially regarding compounds from adjectives, verbs and even adverbs. The most frequently encountered compounds belong to the class of nouns to which

other words were attached, though the *noun + noun compounds* appear to be more frequently than other compounds of the noun class. Furthermore the undertaken analysis showed that the process of derivation is the most productive in contracts. Moreover it is worth mentioning that derivation by suffixes can be considered the most productive word-formation process in drafting contracts. Thus, derivation by suffixes has recorded the highest number of new word forms encountered within the analysed contract texts, around 250 derivatives, while prefixation only produced about 70 new word forms.

Further processes of word formation seem to be rarely used in contracts. Among other products of word formation which were encountered in contracts, though not so productive, were examples backformation and acronyms.

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TYPES OF FINITE AND NON-FINITE CLAUSES IN THE EU LEGAL DOCUMENTS[1]

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Abstract

The aim of the present paper is to identify and analyse the types of finite and non-finite clauses encountered in the European Union legal documents. We will discuss the two categories of *finite clauses*: *independent clauses* (declarative clauses which include simple independent clauses, coordinated independent clauses and complex independent clauses) and *subordinate clauses* (nominal clauses, relative clauses, conditional clauses, reason clauses, purpose clauses, result clauses, concessive clauses, time clauses and manner clauses), as well as *non-finite clauses* (present participle clauses, past participle clauses and infinitive clauses). In addition, we will also deal with the respective coordinating and subordinating devices.

Keywords: finite clauses, independent clauses, subordinate clauses, non-finite clauses, EU legal documents.

Introduction

In this paper we discuss some important syntactic features of the European Union legal documents, namely the types of finite and non-finite clauses along with their coordinating and subordinating devices. We use a corpus of texts made up of the Treaty on European Union and the Treaty on the Functioning of the European Union, as well as different EU regulations, directives and decisions, in order to determine and analyse the syntactic features mentioned above.

Firstly, we start dealing with the category of *finite clauses*, which contain a conjugated verb, meaning a verb marked for tense, person, and number. In English, finite clauses have an overt subject. This category includes *independent clauses* and *subordinate clauses*. We investigate

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characteristics of both independent and subordinate clauses present in the EU legal documents in turn.

Independent clauses *are subject and finite verb structures that stand alone with completed meaning. An independent clause or a simple sentence is the largest syntactic structure* (O'Dwyer, 2006: 137). According to their form, independent clauses can be: *simple independent clauses* (a single clause), *coordinated independent clauses* (two or more coordinated clauses) and *complex independent clauses* (having one or more dependent clauses). According to their function and structure, independent clauses can be: *declarative clauses*, *interrogative clauses*, *exclamative clauses* and *imperative clauses*. As our paper is concerned only with declarative clauses from this category of independent clauses, we provide a definition of this type of clauses. *Declarative clauses have SV (subject-verb) structure and typically express statements; they are the 'default' type of independent clause, especially in writing* (Biber et al., 2002: 249).

A *subordinate clause* (also called a *dependent clause*) is a clause used in conjunction with the independent clause, augmenting or attributing it. According to Gucker (1966: 79), *the subordinate clause is a unit, serving as a single part of speech*. In this paper we deal with various types of subordinate clauses: nominal clauses, relative clauses, conditional clauses, reason clauses, purpose clauses, result clauses, concessive clauses, time clauses and manner clauses.

From the category of Nominal Clauses we tackle the following subtypes: *Object Clauses* (used after transitive verbs), *Subject Clauses* (used after impersonal expressions), *Prepositional Object Clause* (introduced by *wh-* elements preceded or not by prepositions) and *Complement Clauses*, which are also called *Predicative Clauses* (used after the copulative verb *to be*). Relative Clauses are introduced by relative pronouns (*who, whom, whose, which, that*) or by relative adverbs (*where, when, whenever, wherever*), being divided into *defining relative clauses* and *non-defining relative clauses*. Conditional Clauses indicate that the action in the main clause can only take place if a certain condition is fulfilled, being classified into *hypothetical* or *unreal conditional clauses* and *real conditional clauses*. Reason Clauses express why the action of the verb in the main clause takes place, Purpose Clauses show the aim of the action in the independent clause, Result Clauses refer to the result of an action or situation, Concessive Clauses indicate a situation that contrasts with the one in the main clause, Time Clauses mention the time at which an event in the main clause takes place and Manner Clauses show the manner in which something is done.

Secondly, we discuss the category of *non-finite clauses*, which contain a non-finite verb. According to Biber et al. (1999: 198) *non-finite clauses are regularly dependent. They are more compact and less explicit*

than finite clauses: they are not marked for tense and modality, and they frequently lack an explicit subject and subordinator. Our paper takes into account all three types of non-finite clauses, namely present participle clauses (-*ing* clauses), past participle clauses (-*ed* clauses) and infinitive clauses that occur in the EU legal documents.

Present Participle Clauses can be used with or without conjunctions or prepositions, having functions of: subject, extraposed subject, subject predicative, direct object, prepositional object, adverbial, attributive, etc. Past Participle Clauses can fulfil different functions such as: direct object, adverbial, attributive, etc. Infinitive Clauses can function as nouns, adjectives or adverbs, the range of syntactic roles that they can have being: subject, extraposed subject, subject predicative, direct object, object predicative, adverbial, etc.

Body

Finite Clauses.

Independent Clauses. In what concerns the category of independent clauses, we have come across all three types of independent clauses, according to their form, namely simple independent clauses, coordinated independent clauses and complex independent clauses.

Simple independent clauses are often encountered in the Consolidated versions of the Treaty on European Union and at the end of regulations, directives or decisions.

e.g.

a) The Union's aim is to promote peace, its values and the well-being of its peoples[3].

b) This Regulation shall enter into force on the day following its publication in the Official Journal of the European Union[4].

Coordinated independent clauses are fairly well-represented, being coordinated by the copulative conjunction ***and***, by the adversative conjunction ***but*** and by the disjunctive conjunction ***or***.

e.g.

a) This Treaty organises the functioning of the Union **and** determines the areas of, delimitation of, and arrangements for exercising its competences[1]

b) All members of the Council may participate in its deliberations, **but** only members of the Council representing the Member States participating in enhanced cooperation shall take part in the vote[1]

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[3] Consolidated versions of the Treaty on European Union and the Treaty on the Functioning of the European Union

[4] Commission Regulation (EU) No 368/2011 of 12 April 2011

c) Such decisions may concern the relations of the Union with a specific country or region **or** may be thematic in approach[1]

Complex independent clauses represent the most predominant type of independent clauses, having one or more subordinating clauses of different types.

e.g.

Since it *is* impossible to complete the renewal procedure before the date[1]/ **when** the inclusion of carbendazim *will expire*[2]/ **and since** the request for renewal *was made* in sufficient time, in accordance with Article 5(5) of Directive 91/414/EEC[3]/ a renewal *should be granted* for the period necessary to complete that procedure[4]/.

1- subordinating clause (reason clause)
2- subordinating clause (time clause)
3- subordinating clause (reason clause)
4- main independent clause

e.g. This Treaty and the Treaty on European Union *constitute* the Treaties [1]/ **on which** the Union *is founded* [2]. These two Treaties [3]/, **which** *have* the same legal value [4]/, *shall be referred to* as 'the Treaties'[3].[1]

1 – main independent clause
2 – subordinating clause (relative clause)
3 – main independent clause
4 – subordinating clause (relative clause)

Moreover, according to their function and structure, all independent clauses that we have encountered in the EU legal documents are *declarative clauses*. Imperative clauses, like interrogative and exclamative clauses, are not used in the EU legal documents, as these three types of independent clauses are not characteristic to the legal writing style in general.

Subordinate Clauses. The EU legal documents in our corpus contain various types of subordinate clauses.

Nominal Clauses introduced by: *that, if, whether* are very numerous. They include *Object Clauses*, which are used after transitive verbs (e.g. a), b)), *Subject Clauses*, which are used after impersonal expressions (e.g. c), d)), *Prepositional Object Clauses* which are introduced by *wh-* elements preceded or not by prepositions (e.g. e)), *Predicative Clauses* which are used after the copulative verb *to be* (e.g. f)). In addition, the most frequent transitive verbs that we have come across and which require an Object Clause are: *consider, conclude, inform, stress, maintain, hold, observe, underline, point out,* etc.

e.g.

a) National Parliaments ensure ***that** the proposals and legislative initiatives submitted under Chapters 4 and 5 comply with the principle of subsidiarity*[1].

b) With regard to requests for prior authorisation made by an insured person with a view to receiving cross-border healthcare, the Member State of affiliation shall ascertain ***whether** the conditions laid down in Regulation (EC) No 883/2004 have been met*[5].

c) It is necessary ***that** the European Food Safety Authority performs a peer review*[6].

d) It is important ***that** the provisions of this Directive be applied simultaneously in all Member States* (…)[7].

e) In accordance with the principle of proportionality, as set out in that Article, this Directive does not go ***beyond what** is necessary in order to achieve that objective*.[3]

f) Where unlawfully granted State aid is found to be incompatible with the internal market, the consequence of such a finding is ***that** the aid should be recovered from the recipients pursuant to Article 14 of Council Regulation (EC) No 659/1999 of 22 March 1999 laying down detailed rules for the application of Article 93 of the EC Treaty*[8].

Relative Clauses are extremely used in the EU legal documents that we have analysed. *Defining Relative Clauses* introduced by all types of relative pronouns (*who, whom, whose, which, that*) are predominant.

e.g.

a) The Management Board shall seek advice of outside experts and establish a Board of scientists ***who** give advice in all scientific matters (the 'Scientific Monitoring Board')*[9].

b) The Union shall establish an economic and monetary union ***whose** currency is the euro*[1].

Furthermore, we have encountered many cases of Relative Clauses when the relative pronoun *which* is preceded by different prepositions (*in, to, for, during, under*).

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[5] Directive 2011/24/EU of the European Parliament and of the Council of 9 March 2011

[6] Commission Directive 2009/152/EC of 30 November 2009 amending Council Directive 91/414/EEC

[7] Commission Directive 2011/13/EU of 8 February 2011 amending Directive 98/8/EC of the European Parliament and of the Council

[8] 2011/282/EU: Commission Decision of 12 January 2011

[9] 2011/166/EU: Commission Decision of 17 March 2011

e.g.

a) The number of emission allowances to be allocated should then be adjusted accordingly as of the year following the year ***during which*** *the installation partially ceased operations*[10].

b) In addition, the Commission has in accordance with Article 10a(1) of Directive 2003/87/EC analysed for all sectors ***for which*** *a product benchmark is provided for in Annex I,* (...)[8].

There are also some examples of Relative Clauses introduced by the relative adverb *where*.

e.g.

Examples include highly specialised care or healthcare provided in frontier areas ***where*** *the nearest appropriate facility is on the other side of the border*[11].

On the other hand, *Non-defining Relative Clauses* are little represented.

e.g.

These two Treaties, ***which*** *have the same legal value*, shall be referred to as 'the Treaties'.[1]

We haven't come across cases of Sentential Relative Clauses in the EU legal documents making up our corpus and the Relative Clauses that we have analysed do not contain cases of omitted relative pronouns or stranded prepositions, as these would raise ambiguity.

Most of the **Conditional Clauses** that we have investigated are introduced by conjunctions: *if, unless, provided that, where, in case*.

e.g.

a) The market surveillance authorities shall inform the notified body accordingly, ***if*** *a notified body is involved*[9].

b) The delegation of power shall be automatically extended for periods of an identical duration, ***unless*** *the European Parliament or the Council revokes it in accordance with Article 62*[12].

c) ***Provided that*** *there is a European Assessment Document*, a European Technical Assessment may be issued[13].

d) ***Where*** *such conditions are not established by the Commission*, they may be established by the European standardisation bodies in harmonised standards, on the basis of a revised mandate[11].

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[10] 2011/278/EU: Commission Decision of 27 April 2011
[11] Directive 2011/24/EU of the European Parliament and of the Council of 9 March 2011
[12] Regulation (EU) No 305/2011 of the European Parliament and of the Council of 9 March 2011
[13] 2011/238/EU: Commission Decision of 13 April 2011

We have also encountered some cases of Conditional Clauses which are rendered by the modal *should* followed by a short infinitive (e.g. a)) and very few examples of Conditional Clauses that contain *subject-predicate inversion* when the conjunction *if* is omitted (e.g. b)).

e.g.

a) ***Should*** *they fail to respect these obligations*, the Commission may take all appropriate measures[14].

b) To provide a level playing field for all installations, emissions data notified by Member States to the Commission should be adjusted to take into account the emission reduction effort that would have been expected from installations only included in the Union scheme as from 2013, ***had they been included*** *in the Union scheme as from 2005*[15].

Besides that, our corpus of texts contains many elliptical Conditional Clauses expressed by the conjunctions *if* or *where* followed by the adjectives *necessary* or *appropriate*.

e.g.

a) ***If*** *appropriate*, the Regulation will then be accordingly amended by updating the reference to the company benefiting from an individual duty rate[16].

b) As explicitly stated in the second subparagraph of Article 12(5): 'the deduction of this difference (i.e. Article 12(5) TRLIS) will be compatible, ***where*** *appropriate*, with the impairment losses referred to in paragraph 3 of this Article[17].

Reason Clauses are mainly introduced by *because* and *since*, the conjunction *as* being less frequent.

e.g.

a) This may be healthcare which requires planning ***because*** *it involves use of highly specialised and cost-intensive medical infrastructure or medical equipment*[11].

b) These results also revealed a deficiency in the relevant harmonised standard EN 353-1 ***since*** *the standard did not take account of the 'fall-back' situation*[18].

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[14] Commission Decision of 16 May 2011
[15] 2010/634/EU: Commission Decision of 22 October 2010
[16] 2011/229/EU: Commission Decision of 4 April 2011
[17] Commission Directive 2009/152/EC of 30 November 2009 amending Council Directive 91/414/EEC
[18] 2011/211/EU: Commission Decision of 31 March 2011 in application of Article 7 of Council Directive 89/686/EEC

Purpose Clauses are fairly often encountered and they are introduced by *so that* (usually followed by the modal *can*) or *in order that*.

e.g.

a) If the measure is found justified, the Commission shall inform the Member States **so that** *they can take all appropriate measures with respect to the equipment concerned, in accordance with their obligations under Article 2(1) of Directive 89/686/EEC*[13].

b) The value, which, if exceeded, requires corrective maintenance **in order that** *the immediate action limit shall not be reached before the next inspection*[19].

Result Clauses are mostly introduced by *therefore, consequently, thus* and sometimes by *hence*.

e.g.

a) **Consequently**, *limiting the scope of the contested measure to cross-border acquisitions is necessary to enforce the neutrality principle*[6].

b) **Therefore**, *(…), Member States shall ensure that any necessary information is provided* before such an authorisation is granted[20].

Concessive Clauses appear quite often, being introduced by: *although, even though, even if, however* and sometimes by *yet*.

e.g.

a) It should be underlined that, **although** *the Spanish authorities claim not to be competent to exercise control over a foreign seller carrying out operations abroad*, the Commission notes that this condition is required for the application of other Spanish tax provisions (97) but not for the contested measure.[6]

b) For the sake of consistency, the Commission will refer in the present Decision to the numbering of the Spanish legislation as given in the opening Decision, **even though** *it may have been modified*[6].

c) **However**, *the national contact points may provide more information voluntarily and also with the support of the Commission*[9].

The **Time Clauses** that we have come across are introduced by *when, after, as soon as* and their frequency is fairly high.

e.g.

a) **When Member States adopt those provisions**, they shall contain a reference to this Directive[21].

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[19] 2011/275/EU: Commission Decision of 26 April 2011
[20] Commission Directive 2011/29/EU of 7 March 2011 amending Council Directive 91/414/EEC
[21] Commission Implementing Directive 2011/45/EU of 13 April 2011

b) The clauses as set out **after** *the 'general rules' define the application of the general rules to specific types of units*[22].

c) ***As soon as*** *it adopts a delegated act*, the Commission shall notify it simultaneously to the European Parliament and to the Council[23].

Manner Clauses rarely occur in the EU legal documents under analysis and they are introduced by *as*, *as if / as though* and *the way in which*.

e.g.

a) The European Parliament shall meet in public, *as shall the Council* when considering and voting on a draft legislative act[1];

b) Thirdly, the Spanish authorities point out that the contested measure does not constitute a true economic advantage since, in case of sale of the acquired shareholding, the amount deducted is recovered by taxation of the capital gain, thus placing the taxpayer in the same situation ***as if*** *Article 12(5) TRLIS had not been applied*.[6]

c) The Court of Justice has judged that this requirement is both necessary and reasonable, since the number of hospitals, their geographical distribution, ***the way in which*** *they are organised* and the facilities with which they are equipped, and even the nature of the medical services which they are able to offer, are all matters for which planning, generally designed to satisfy various needs, must be possible[9].

Non-finite Clauses. We have found all three types of non-finite clauses: *present participle clauses*, *past participle clauses* and *infinitive clauses* in the EU legal documents that make up our corpus.

Present Participle Clauses represent one of the most predominant types of non-finite clauses, whether they are introduced or not by conjunctions. Thus, present participle clauses which do not have introductory words mainly have the syntactic functions of *attributive*, occurring as noun postmodifiers (e.g. a)), *adverbial modifier of cause* (e.g. b)) and *adverbial modifier of manner* (e.g. c)).

e.g.

a) The Commission should make available an open-source software *incorporating the relevant technical and security features necessary* in order to comply with the provisions of this Regulation as regards online collection systems[19].

b) *Taking account of the need* to limit the administrative burden for Member States, they should, within a period of three months from receipt of

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[22] Council Implementing Regulation (EU) No 457/2011 of 10 May 2011
[23] Regulation (EU) No 211/2011 of the European Parliament and of the Council of 16 February 2011

a request for certification, carry out such verifications on the basis of appropriate checks[19]

c) It is appropriate to set out the form for the statement of support in an annex to this Regulation, *specifying the data* required for the purposes of verification by the Member States[19].

Moreover, present participle clauses which are introduced by conjunctions express functions of *adverbial modifier of time*, being introduced by *when*, *after*, *before* (e.g. a), b), c)). They also fulfil the syntactic function of *adverbial modifier of manner*, usually when they are preceded by *without* and *by* (e.g. d)).

e.g.

a) *When performing the market surveillance checks referred to in Article 3(2) of Directive 2009/125/EC*, the authorities of the Member States shall apply the verification procedure set out in Annex III to this Regulation[24].

b) The European Commission, *after consulting the Ecodesign Consultation Forum*, has adopted this Regulation[22].

c) *Before making such a determination*, the Council shall hear the Member State in question and may address recommendations to it, acting in accordance with the same procedure[1].

d) Under the Spanish tax system, the tax base is calculated on the basis of the accounting result, to which adjustments are then made *by applying specific tax rules*[6].

Past Participle Clauses are predominantly used with the function of *attributive* when they occur as noun postmodifiers (e.g. a)). They sometimes fulfil the function of *adverbial modifier of time* introduced by *when* (e.g. b)), *adverbial modifier of condition* introduced by *if* (e.g. c)) and *adverbial modifier of manner* introduced by *as* (e.g. d)).

.   e.g.

a) Each institution shall act within the limits of the powers *conferred on it in the Treaties*, and in conformity with the procedures, conditions and objectives set out in them[1].

b) Transport document reference number, enabling this transport document to be referenced. *When given* then it must uniquely identify the transport document[25]

c) A motion, specifying the procedure and timeframe, *if approved by the Council by a two thirds majority*, can wind up the Organisation[7].

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[24] Commission Implementing Directive 2011/38/EU of 11 April 2011
[25] Commission Implementing Regulation (EU) No 404/2011 of 8 April 2011

d) However, the initial conclusion that the urea market in the PRC was subject to significant State interference, *as set out in recitals 23 and 24 of the provisional Regulation*, was not questioned.[20]

Infinitive Clauses, like Present Participle Clauses, are very often encountered in the EU legal documents. The Infinitive Clauses that we have come across express various syntactic functions as follows: *predicative* preceded by the copulative verb *to be* (e.g. a), b)), *direct object* preceded by transitive verbs (e.g. c)), *attributive* when they occur as noun postmodifiers (e.g. d)), *subject* preceded by an impersonal expression like *it is appropriate* or *it is incorrect* (e.g. e)) and *adverbial modifier of purpose* introduced by *in order to* and *so as to* (e.g. f), g)).

e.g.

a) The Union's aim is *to promote peace, its values and the well-being of its peoples*[1].

b) Therefore, the aim of the contested measure is *to remove the negative impact of these barriers*, for whose existence Spain is not answerable[6].

c) The President of the European Council shall endeavour *to facilitate cohesion and consensus within the European Council*[1].

d) Every citizen shall have the right *to participate in the democratic life of the Union*[1].

e) It is therefore appropriate *to include indolylbutyric acid in Annex I*, in order to ensure that in all Member States the authorisations of plant protection products containing this active substance can be granted in accordance with the provisions of that Directive[26].

f) *In order to establish the benchmarks*, the Commission has consulted the relevant stakeholders, including the sectors and sub-sectors concerned[8].

g) No differentiation was made on the basis of geography or on the basis of technologies, raw materials or fuels used, *so as not to distort comparative advantages in carbon efficiency across the Union economy*[8].

Conclusions

At the level of the finite clauses, the category of independent clauses are represented by simple independent clauses, coordinated independent clauses and complex independent clauses, the last type being the most predominant one in the EU legal documents making up our corpus. In addition, they contain only declarative clauses.

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[26] Commission Directive 2011/28/EU of 4 March 2011 amending Council Directive 91/414/EEC

Most types of subordinate clauses are present in the EU legal documents that we have analysed, namely Nominal Clauses, Relative Clauses, Conditional Clauses, Reason Clauses, Purpose Clauses, Result Clauses, Concessive Clauses, Time Clauses and Manner Clauses.

According to our analysis, *Nominal Clauses*, which include Object Clauses, Subject Clauses, Prepositional Object Clauses and Predicative Clauses, are very numerous. *Relative Clauses* are very common, too. We have come across many examples of *Defining Relative Clauses*, few examples of *Non-defining Relative Clauses* and none of *Sentential Relative Clauses*. Likewise, *Conditional Clauses* are predominant, whether they are introduced by different conjunctions, or rendered by the modal *should* followed by a short infinitive. But, there are very few cases of Conditional Clauses that contain subject-predicate inversion when the conjunction *if* is omitted. *Reason Clauses*, *Purpose Clauses*, *Result Clauses*, *Concessive Clauses*, *Time Clauses* and *Manner Clauses* also occur in the EU legal documents, but they are less frequent than the ones previously mentioned.

Furthermore, all three types of non-finite clauses are used in the EU legal documents. *Present Participle Clauses* (*-ing clauses*) are much encountered both with and without conjunctions, having mostly functions of attributive and different adverbial modifiers. *Infinitive Clauses* are also very common in the EU legal documents, having predominantly functions of direct object and attributive, and less often functions of subject and predicative. *Past Participle Clauses* (*-ed clauses*), which occur less frequently than the other two categories of non-finite clauses, usually have functions of attributive and sometimes of different adverbial modifiers.

To conclude, we can affirm that the EU legal documents under analysis make use of important finite and non-finite clauses, some of them displaying more complex features than the others, which we have attempted to discuss in the present paper.

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SEMANTIC APPROACHES IN MEDICAL TEXTS

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Abstract

The paper focuses on mutual influence between specialized languages and common language which can best be revealed by metaphorical expansion. Considered as the main mechanism we use to understand concepts and express abstract judgments, the metaphor can be invested with a very important role in specialized languages. The cognitive expansion of metaphoric enunciation is the prevailing element often used in medical speech. We have come across, in medical texts, on various types of metaphors of the human body acting through semantic transfer based on the resemblance related to form, intensity, direction, functional or temporal characteristics of denotations.

Keywords: medical terms, metaphor, polysemy, semantic transfer.

Metaphor is one of the key research areas in cognitive linguistics and its analysis has given rise to a wide range of studies. The present paper takes as a departure point the theory of metaphor developed by authors such as Lakoff and Johnson.

Before entering into the practical analysis, let us briefly examine those aspects of metaphor theory that are relevant for the purposes of this paper; while doing this, it is important to bear in mind that all the subsequent characterization of metaphor could be applied to the metaphors in this paper. To start with, one of the first remarkable aspects of metaphors is their *coherence and systematicity*: Lakoff and Johnson argue that most of our concepts are organized in terms of metaphors that are coherent and systematic in themselves and compared with others. These metaphors originate in our cultural and physical experience (*embodiment*) [Lakoff / Johnson, 1980: 55-56]. Thus, the primary function of metaphor is to provide a *means of understanding* one experience in terms of another, through previous or newly created similarities [Lakoff / Johnson, 1980: 195-196]. Metonymies are systematic in the same way [Lakoff / Johnson, 1980: 77-78]. These authors also argue that many of our activities share a metaphorical nature, as solving problems or calculating time, and that metaphors have the

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capacity of creating a new reality, *structuring our conceptual system* and the tasks we carry out. Metaphors are able to change what is real for us and affect the way we conceive the world [Lakoff / Johnson, 1980: 187].

Our following analysis is trying to shape a less explored issue in the literature: **metaphor in terminology**. Stated by some researchers of the field, metaphor is not just a way of expression, but a constituent element of our existential thought and experience [Oliveira 2005].

Semantic analysis on specialized languages has demonstrated extensive use of metaphor in the formation of terms. Conceptualization begins with a metaphor mechanism, which does not involve a simple movement of words, but an 'exchange between thoughts', a 'transition between contexts'. First of all, it has to be identified in the current use, because language is vitally metaphorical [Lakoff / Johnson, 1980]. Metaphorical process links by virtue of similarity, two things / phenomena, in bringing some unusual connections between them.

The scientific style, characterized by well-defined and unequivocal terms, without connotations, may very well allow figurative expression. The metaphor does not function in scientific discourse, just as 'garment' or 'ornament' of language; its appearance in this type of discourse is 'related to fundamental operations (...): founding concepts, defining terms, explaining patterns', having a well established role in setting the reference and not multiplying it, so that the accuracy of scientific language may not be affected [Rovenţa-Frumuşani, 1994: 75].

We are witnessing domains relocation, the emphasis being shifted from rhetoric and poetic metaphor to scientific one, and as a result, noticing a metamorphosis from the aesthetic, expressive metaphor to the cognitive, referential one, from a figure of speech to a figure of thought. In fact, 'the two aspects, cognitive and expressive, coexist, but in science the metaphor is primarily cognitive, and in arts is preponderant expressive' [Rovenţa-Frumuşani, 2000: 118]. So, far from being a mere 'rhetorical ornament', metaphor works as an instrument of knowledge, compensating for gaps of 'designation' of a certain type of language, lacking terms to designate aspects of reality.

The metaphor is an excellent and suggestive way through which complex phenomena can be understood due to analogy concerned, although it leaves room for multiple interpretations and a certain dose of indecision. In scientific work, the metaphor is a necessity, a useful tool, having a specific function. For a long time, this metaphor approach has not been accepted because it was against Wüster traditional view according to which the metaphor was considered a non-rational entity leading towards vague representations, even subjective ones, lacking scientific rigor and resulting in ambiguity. Nowadays, researchers concerned with this subject share a totally

different opinion. They use metaphors very frequently in scientific discourse, emphasizing their capacity of creating knowledge and designating objects / phenomena.

Isabelle Oliveira claims that terminological metaphor functioning in the field of cardiology may have five functions: cognitive, heuristic, denominative, meta-linguistic and didactic. The author states that this type of metaphor is a denominative and functional appeal necessary for perception and communication of concepts in a specialized language. Specialized metaphors must possess certain specific features that make the difference compared to common metaphors.

Terminological metaphor is a linguistic sign resembling any term, which means it is unequivocal, mono-referential and the designated notion belongs to a predetermined and predefined system of notions. But it is well-known that all these features face practice problems, such as synonymy, rewording and different levels of language.

Metaphors having nominative functions are to be found in medical discourse as well, due to the fact that linguistic techniques are necessary to designate scientific terms and *common words* can be used to express these notions. It should be noted that common words become different types of units, pertaining to specialized vocabulary, but having the same semantic connection with source lexeme.

Shape metaphors

Plenty of common words have invaded medical language denoting their broad semantic distribution. For example, the noun *celulă* (*cell*) which has six different meanings explained by Academy Dictionary, including the medical one, is identified in many metaphors where the semantic transfer is based on the resemblance related to **shape**: *celulă caliciformă*, *celule medulare*, *celulă cu bastonaş*, *celulă ciliată*, *celulă cu con*, *celulă în coşuleţ*, *celulă ependimară*, *celulă ou*, *celulă poliploidă*, *celulă piramidală*, *celule radiculare* [DM, 2007: 322].

Medical Dictionary has recorded 101 phrases that are formed with the noun *cell* having strict medical terminology meanings, compared to five more meanings explained by Academy Dictionary: prison room, assembly of wings of an airplane, hexagonal cavity of wax combs, joined department with the same function of a technical device or system, name of the basic organization of the Communist Party. Thus, *cell*'s polysemy is contextually disambiguated by adding adjectives or nouns achieving new specialized terms based on shape metaphors.

Terms already formed due to metaphorical transfer, are characterized by complex semantic structure, as feature determining nomination selection is included in terminological unit semantics.

Our selected corpus of medical texts has provided many examples of words that through terminological process have migrated from common lexicon to a specialized one, acquiring new meanings, on which our semantic analysis focuses on. Common nouns, such as *corn*, *cordon*, *sac* (*horn*, *cord*, *sack*) may have medical terminological meanings in collocations describing the shape of organs: *corn* anterior / posterior al celulei nervoase, *coarnele* laterale, celulele *cornului* posterior, *cordon* ombilical, celule *cordonale*, *sac* colector, *sac* dentar.

The meanings of common words easily migrate to medical language, botany being a source field, thus one can find words such as *rădăcină*, *ramură*, *peduncul*, *tubercul*, *trunchi*, *bulb* (*root*, *branch*, *peduncle*, *tubercle*, *trunk*, *bulb*), which take strictly medical values in the following phrases: suferinţa *rădăcinii* posterioare, *ramuri* senzitive, *ramuri* ale carotidei externe, *peduncul* cerebrali, *tuberculi* cvadrigemeni, *tuberculi* anteriori ai mezencefalului, *trunchi* cerebral, *bulb* rahidian, *bulb* pilos.

Names of tools or objects used in constructions may be transferred to anatomical parts of the ear creating shape resemblance metaphors: *nicovală*, *scăriţă*, *fereastră ovală*, *rotundă*, *vestibul*, *pavilionul* urechii.

Other examples of medical terms, based on shape metaphors, have been selected from neurology: *bastonaşele* de la periferia retinei, *gaură* optică, *glob* ocular, *con* retinian, *vârfuri* izolate de mare amplitudine [Cezar, 1982: 245]; or from neurolology: hemiplegie tranzitorie *în basculă*, senzaţie de *lamă de briceag*, senzaţie de *roată dinţată*, mână *pilon*, mână *în gât de lebădă*, *fus* neuromuscular [Sîrbu, 2008: 31, 38, 72].

Anatomy includes a large variety of common nouns having a precise medical functionality which may create shape metaphors, as well: *tunică* musculară, *vestibul* laringian, *coarde* vocale, *foiţă* viscerală, *noduri* pulmonare, *lojă* renală, *piramide* renale, *fusul* pelvin.

Intensity metaphors

Our medical corpus has provided metaphors denoting different levels of **intensity** and we have selected some from neurology: *criză de automatism psihomotor*, *criză epileptică atonică*, *criză epileptică automatică*, *criză epileptică parţială*, *criză de epilepsie senzitivă*, *criză de hemicranie*, *criză dureroasă*, *criză migrenoasă*, *criză uncinată* [Cezar, 1982: 236, 243, 289]. The noun *criză* (*crisis*) has three defined meanings in the dictionary: tension period, severe lack of resources, (med.) critical phase before healing or aggravating process of a disease, sudden outburst of a disease, mental tension.

Common verbs, such as *to diminish* or *to abolish*, used in the sense of loss or cut off in process intensity are part of medical phrases in neurology, with a less common semantic feature for an unfamiliar speaker of medical

language: *abolind mişcările de verticalitate*, *a aboli funcţiile corticale cerebrale*, *sindromul cerebelos va diminua în forme nerecidivante*, *a diminuat durerea* [Cezar, 1982: 212, 224].

The verb *a întuneca* (to darken) having powerful poetic stylistic utterances, is surprisingly found in a medical phrase: „asocierea unei neoplazii *întunecă* prognosticul" being best explained in medical terms as *to deteriorate* or *to bring complications* in detecting the disease.

In our medical corpus of texts we have identified the noun *zgomot* (murmur) in certain cliché phrases frequently used in heart and lungs auscultation, which very accurate describe the intensity of medical process, symptoms or dysfunctions in the following metaphors: *zgomot alb*, *zgomot hipocratic*, *zgomot de galop*, *zgomot de moară*, *zgomot de tun*.

Directional metaphors

In the field of terminology, the metaphorical word loses its primary meaning requiring no explanation, but a precise definition, when naming a specific scientific concept. The word *advancement*, means 'success', 'progress' in common language, signifying *detachment* in traumatology, as a result of metaphorical transfer following **direction** resemblance, and can be defined as: '*surgical detachment, as of a muscle or tendon, followed by reattachment at a point further forward than the original position*'[DIMD, 2003: 34].

Thus, the term is metaphorically reinterpreted and allows the specialist to focus on a specific detail or feature of the concept expressed by it, being vital for perceiving the medical meaning.

Functional metaphors

A large number of polysemantic verbs cover medical terminology field, being invested with precise meanings to highlight the **functionality** of medical processes and procedures. For example, the verb *to evoke* has two well-defined meanings in the Academy Dictionary: 'to bring somebody notice of facts, events, past circumstances; to depict the image of a known fact, but spent a long time ago' [MDA, 2010: 847], apparently having no connection to medical domain. Yet, a closer analysis has determined some metaphors in our medical corpus, build on functional similarity: *utilizarea potenţialelor vizuale evocate*, *răspuns evocat al trunchiului cerebral*, *se evocă un reflex polisinoptic* [Cezar, 1982: 247, 341].

Furthermore, the nouns *instalare*, *interesare*, *invazie* (*instalment, involvement*, *invasion*) acquired new terminological meanings through functionality metaphorical expansion within collocations: *instalarea ameliorării poate fii rapidă*, *instalarea bruscă a simptomelor rinitei alergice*, *interesarea formaţiilor anatomice învecinate*, *complicaţiile*

diabetului cu interesare renală, invazia virală urmează unei perioade de incubaţii de şapte zile [Cezar, 1982: 212, 324].

The verbs *a iriga*, *a recidiva*, *a incrimina* (*to irrigate, to recur, to incriminate,*) encountered in the common language with different meanings, are included in the structure of medical collocations, with other terminological meanings and thus creating metaphors built based on functional similarity: *paralizia poate recidiva*; *vasele care irigă centri nervoşi*; *s-a incriminat o transmisie genetică* [Cezar, 1982: 290]; *sunt incriminate reacţiile de decompensare afectivă* [Sîrbu, 2008: 41].

Within our corpus analysis, we have identified many common verbs with well-known meanings which embrace completely new terminological significance in medical contexts, such as *a interesa* (to interest), *a descrie* (to describe), *a traduce* (to translate), *a sugera* (to suggest), *a prezenta* (to present), *a dezvolta* (to develop), *a migra* (to migrate), *a aboli* (to abolish), *a tolera* (to tolerate), *a exprima* (to convey), *a se înscrie* (to manifest) in different collocations: „examinarea abdominală *interesează* (affects) sensibilitatea abdomenului”; „*sunt interesate* (affected) articulaţiile”; „retina *interesează* (ensures) vederea”; „*s-au descris* (analized, examined) infecţii cutanate cauzate de streptococi”; „*s-au descris* (manifested) şi distrofii musculare progresive tardive”; „migrena *traduce* (manifests) o durere paroxistică a capului”; „miopiile oculare *traduc* (guide) un proces distrofic” [Cezar, 1982: 112, 113, 289]; „*sunt sugerate* (indicated) valori anormale”; „pacienţii *prezintă* (manifest) o imaturitate a reflexelor”; „pacienta *va dezvolta* (will develop) scleroză multiplă”; „femeia care *dezvoltă* (manifests) hipertensiune recurentă”; „cheagul *a migrat* (migrated) prin vena cavă”; „*a aboli* (disappear) mişcările de verticalitate”; „femeia *a tolerat* (tolerated) travaliul fără dificultate”; „medicamentul *a fost tolerat* (was assimilated) bine de organism” [Munteanu, 2000: 436]; „reacţia de sprijinire proprioceptivă *exprimă* (manifests) o compensare”; „*a exprima* (distinguish) stadiul precoce a unei tumori de lob” [Cezar, 1982: 219]; „îngustarea spaţiului articular *se înscrie* (appears) la scurt timp după tumefierea părţilor moi”; „genunchii *înscriu* (present) modificări” [Popescu/ Ionescu, 1998: 237].

The monosemantic noun, *apeduct* (*aqueduct*) defined by *The Academy Dictionary* [MDA, 2010: 79] by „complex of constructions and installations used to transport water from a remote”, is often used within the medical collocation *Sylvian aqueduct*, with a resembling meaning in anatomy representing a „part of the ependymal canal situated at the level of the encephalic isthmus which makes the superior extremity of 4th ventricle communicate with the posterior side of the 3rd ventricle” [DM, 2007: 209].

The same metaphoric criterion of functional similarity was used to create this collocation as well.

The verb *a căptuşi* (*to line*) acquires in the medical language a rich functional metaphoric feature within the examples from anatomy: „pleura costală *căptuşeşte* faţa posterioară a sternului"; „tunica mucoasă *căptuşeşte* ansamblul fibroelastic". This polysemantic verb took the main meaning provided by the dictionary, "to cover an object, inside or outside, with a protection, insulation layer" applying the same function as in the anatomic descriptions previously exemplified.

Temporal metaphors

In medical discourse, the noun *debut* and the verb *to debute* identify their polysemantic structure, used with a terminological meaning in metaphorical collocations build on **temporal similarity**: *debutul bolii*, *debutul ameliorării simptomelor*, *sindromul poate debuta acut*, *reacţie cu debut gripal şi febră*, *migrenă cu debut ictal de ischemie cerebrală* [Cezar, 1982: 103, 144, 291].

A contextual analysis of the polysemy can help in semantic differentiation / disambiguation. This analysis is required especially due to the fact that some terms, in the free combinations, come to designate new concepts, which is motivated by the dynamics of the medical field.

Conclusions

We have analysed metaphorical expansion at the level of medical term, as a means of developing word semantic structures, due to the fact that it is of great importance in the specialized language. This type of discourse can not function without metaphor because metaphor stimulates vocabulary in general and scientific language in particular.

In medical language metaphor has a nominative function as for scientific patterns, there are linguistic means involved and in order to express these concepts one can also use even ordinary words.

In scientific language these common words are constituents of a different type of units being part of a different kind of vocabulary. Semantic relationship with the source lexeme remains, however, although it may not be present in any term definition.

Therefore, terminological metaphor is an extremely important component of specialized discourse. Metaphor in science is a linguistic key of cognitive conceptualization [Oliveira, 2002].

Thus, analyzing metaphorical mechanism of medical terms that refer to parts of the body, we conclude that most of metaphor terms (65%) are based on shape similarities, others (15%) aimed at functional resemblance and the percentage remained is divided into other types of similarities.

Metaphorical shaping process allows to highlight the underlying features of word to term semantic transfer. Achieving metaphoric terminological meaning is a complex process that includes not only the semantics of a word common, but also systemic relations of lexical unit, its paradigmatic and syntagmatic features.

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SOME ASPECTS OF THE USE OF ENGLISH AS AN ADVERTISING TECHNIQUE IN THE CASE OF COMMERCIAL ADS IN ROMANIAN WOMEN'S MAGAZINES

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Abstract

Starting from the idea that the use of language is always a cultural act, the paper examines some aspects triggered by the use of English in commercial advertisements in women's magazines targeted at Romanian consumers. Whether intended to lead to cultural connotations that will be reflected on the product, or to exploit intertextual references in the creation and decoding of new texts, the use of the English language in a specific non-native English speaking environment is a phenomenon whose significance attaches to the larger process of cultural globalization.

Keywords: cultural connotations, lingua franca, intertextuality, hybridity, media products.

The use of English as an advertising technique in ads targeted at the Romanian public is an increasingly pervasive phenomenon, and the analysis of examples from a corpus of recent ads (70 ads in 3 consecutive issues of the Romanian edition of the magazine *Glamour* – August, September, October 2011) provides an insight into the actual functioning of this persuasive means.

Juliane House (2001: 253) states that, in an era of globalization, there is increasing need for texts that should be able to function in a large number of communities. Instead of dwelling on features that make a culture specific, they try to be universal, with "universality" being represented by North European /North American Anglo-Saxon norms. These "hybrid texts" carry cultural norms that invade all spaces, at cultural and linguistic levels. Even though they operate in different languages, the influence of English extends "stealthily", at a deeper level, affecting rules of discourse, conventions of textualisation and communicative preferences.

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Considering the phenomenon of language contact and code switching in commercial texts, Maeve Olohan gives a brief account:

> Recent work on multilingual discourse focuses on the use of English in non-Anglophone advertising. For example, Piller (2001, 2003) reports a shift towards multilingual advertising in a corpus of German advertisements, which is attributed to the perceived status of English as the language of progress. Similarly, English is used to signal prestige and quality in the Russian market (Ustinova 2006) and in the Mexican context (Baumgardner 2006). In Martin's (2006) study of French advertising, the tendency to use English and global imagery is correlated with social trends, consumer attitudes and legislative frameworks. Hornikx (2007) provides an example of an investigation to gauge reception of multilinguality in advertising material by testing the associations evoked by the foreign language and examining the ways in which those associations are transferred to the product being advertised. (Olohan 2009: 41)

In her studies about the influence of English upon the Romanian language in general, Adriana Stoichiţoiu-Ichim speaks about the massive invasion of the Romanian language by words of English origin and brings to our attention the term that describes this phenomenon, namely "Romglish" ("romgleza"):

> Beyond its pejorative – ironical connotations, the term "Romglish", which has recently appeared from the calqued translation of the well-known "Franglais", shows the concern of certain groups of Romanian intellectuals regarding the invasion of Anglicisms and Americanisms, which endanger the national language identity and, consequently, the culture that it expresses. (Stoichiţoiu-Ichim, 2006: 7) (my translation)

The language of advertising discourse particularly manifests this phenomenon, a fact also explained by Stoichiţoiu-Ichim as folows:

> Copywriters and tradesmen resort to "Romglish" following certain mimetic trends, by adopting the current fashion, but also having persuasive intentions (as strategies of "seducing" potential buyers). For that purpose, the favourable connotations and those of prestige of the foreign term are exploited (what Etiemble used to call "le mythe du mot étranger" – "the myth of the foreign word"). (Stoichiţoiu-Ichim, 2006: 21) (my translation)

The same author distinguishes between *"necessary" loan words* and *"luxury" Anglicisms*. She defines the former as follows: *""Necessary" loan words* are words or phraseological units that have no Romanian correspondents, or that present certain advantages in relation to the

autochthonous term (precision, breviloquence, expressiveness, international usage." (Stoichiţoiu-Ichim, 2007: 85) (my translation) Words like *mass-media*, *banner*, *clip*, *hot line*, *roll-on*, *stick*, *sexy*, *OK*, *party* etc. are part of this category.

On the other hand,

> *"Luxury" Anglicisms* represent useless loan words and, in some cases, they are even harmful. They are unmotivated or possess motivations of the negative type, such as intellectual ambition and affectation, which result in linguistic snobbery, the insufficient mastery of the maternal language resources, laziness or haste, which – especially in the journalist's case – do not allow them to think of lexical equivalents, in order to choose the most appropriate term. As such terms only double Romanian words (or phraseological units), without bringing additional information (of cognitive or expressive nature), they represent typical manifestations of *Anglomania*, and they can be categorized as so-called "*cultisms*". (Stoichiţoiu-Ichim, 2007: 94-95) (my translation)

Terms like *fashion*, *make*-up, *modeling*, *snacks*, *juice*, *toast* etc. are part of this category.

Commenting on the functional status of the recent influx of English borrowings in all fields of activity and registers of Romanian, Stoichiţoiu-Ichim appreciates that, in addition to the objective factor represented by "the awareness of the linguistic needs generated by the economic, social and cultural changes and / or developments" (Stoichiţoiu-Ichim, 2004: 8), there are three additional factors which create a climate of interest and receptivity towards recent English borrowings in the context of globalization: "the intensified intercultural communication (internet, e-mail, e-learning), a better and wider knowledge of English in the Romanian speaking community and an increasing interest in Anglo-American culture and civilization." (Stoichiţoiu-Ichim, 2004: 8)

It is here that we can draw a parallel between the phenomenon of the English language influence in the Romanian speaking environment in contemporary years and that of the French language influence in our country in the 19th century. The status of French as a language of progress, of intellectual sophistication, of social elitism and Westernization in general is mirrored by that of English in an era of globalization: we notice a better knowledge of this foreign language in our community and an increasing interest in the culture that it represents. The difference lies within the remaining factor signalled above, namely intercultural communication, which is incomparably faster and further reaching among social strata due to technological developments.

In Romania, as reader-oriented texts, advertisements provide innumerable instances of an underlying effort to attract the positive associations that the use of English is supposed to imply. For example, here is an ad from August 2011, which appeared in *Glamour*, the Romanian edition of a magazine targeted at women aged between 18 and 44 years old,
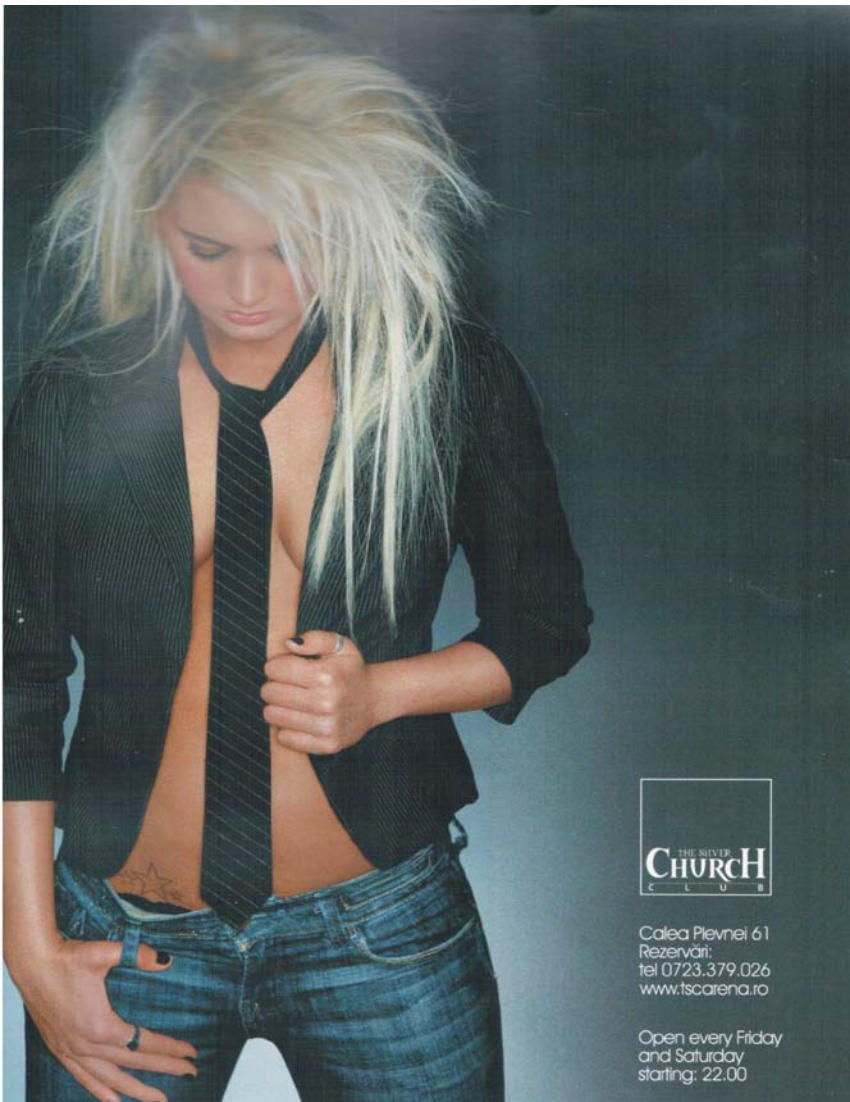
with a circulation figure of around 17.000 copies per month according to the most recent surveys[2]:

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[2] *Biroul Rom#n de Audit al Tirajelor*
http://www.brat.ro/index.php?page=publications&id=644&index=0

> The Silver Church Club.
> Calea Plevnei 61
> Rezervări:
> tel 0723.379.026
> www.tscarena.ro
> Open every Friday and Saturday
> starting: 22.00 (*Glamour August 2011:* 147)

The text of the ad presents a few peculiarities: the name of the product being advertised is in English ("The Silver Church Club"), and here we may note a socio-cultural dimension of the globalization process in a trend to use "English borrowings (common and proper nouns) in naming commercial companies or agencies [...], restaurants, public houses and pubs, [in which cases] the language change reflects a change in civilization (the adoption of the consumer society trends on the American model) (see Ritzer 2003)." (Stoichiţoiu-Ichim, 2004: 6)

The body copy continues by providing the club location, ("Calea Plevnei 61"), with a noun phrase denoting a well-known street in the Romanian capital; there follows an elliptical construction in Romanian ("Rezervări:"), with a phone number and e-mail address containing the Internet country code top-level domain for Romania (".ro"); the final part of the text is an indication of the opening hours for the club, given in English in a repeated change of linguistic code.

For those familiar with the works of the classic Romanian playwright Caragiale, an excerpt of one of his sketches from the end of the 19th century named *Five o'clock*, presents a striking resemblance with the situation created by the above example:

> Damele din lumea mare publică în carnetul lui Claymoor, spre ştiinţa numeroaselor lor cunoştinţe, ziua lor de primire. De exemplu, citim în *L'Indépendance roumaine*: 'Madame Esmeralde Piscopesco, five o'clock tea, tous les jeudis'[3]

If such an association is triggered as relevant cultural background with the target public, the attitude towards the ad is one dictated by the information carried by the kulturem "Caragiale", namely "social satire", or "comedy". Thus, attitudes cannot be positive towards the advertised product

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[3] My translation: "Ladies from the high society write an entry in Claymoor's paper, in order to inform their numerous acquaintances about their visiting day. For instance, we read in *L'Indépendqnce roumaine*: Madame Esmeralde Piscopesco, five o'clock tea, on Thursdays." (Caragiale, 2010: 143)

in particular, or towards advertising as genre, in general, in an intricate exchange of meaning awareness.

The analysed corpus of 70 ads presents very many examples of text *hybridity* at different levels, and also examples of *ads written entirely in English*, designed to function on the international market.

In the case of Romanian ads, the first level at which their hybridity manifests itself is the *level of vocabulary*: we have short lexical units in English inserted in predominantly Romanian constructions. In such examples, we can identify both *luxury Anglicisms* ("Sistemul 3-step" (*Glamour Octombrie 2011*: 5); "revista de lifestyle sănătos" (*Glamour 2011*: 30); "20% discount" (*Glamour Octombrie 2011*: 73); "outfituri interesante" (*Glamour August 2011*: 41); "No.1 în U.K" (*Glamour Octombrie 2011*: 29); "rețete light" (*Glamour Octombrie 2011*: 30), and *necessary loans*.

From the category of necessary loan words, firstly there are items which are recognized as established (colecțiile designerilor" (*Glamour Octombrie 2011*: 54)), or having restricted use ("un look[4] de zi" (*Glamour Octombrie 2011*: 29); "traineri[5] de top" (*Glamour Septembrie 2011*: 28); "gadgeturi[6] subacvatice" (*Glamour August 2011*: 33)). Secondly, there are terms which do not even appear in Florin Marcu's latest Romanian dictionary of neologisms, and which enrich the language by designating extra-linguistic realities: "unt de shea" (*Glamour Septembrie 2011*: 43) (= shea butter); "formula cu lemongrass și extract de orez" (*Glamour August 2011*: 19) (name of ingredient); "magazin multibrand" (*Glamour Octombrie 2011*: 54) ("multibrand" is a marketing term); "Glamour shopping card exclusiv cu următorul număr al revistei" (*Glamour Octombrie 2011*: 66); "Tonifică-te cu pilates" (*Glamour Octombrie 2011*: 30). Thirdly, there are terms such as, "ritualuri de Wellness[7]" (*Glamour Septembrie 2011*: 41); "terapie prin shopping[8]" (*Glamour Octombrie 2011*: 73), which although acknowledged by some dictionaries, were not deemed as viable in the long run, thus proving the contrary.

The second level of hybridity in the case of Romanian texts manifests itself at the level of *morphology*. For instance: "testează cele mai cool

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[4] Görlach, 2005: 189

[5] *Idem*: 328

[6] *Idem*: 129

[7] Wellness: "'fitness, well-being'. This word appears to be very recent (from American English). It was soon adopted by health-conscious Germans but had no chance of spreading any further (and may in fact not be permanent)." (*Idem*: 346)

[8] According to *A Dictionary of European Anglicisms*, "there is a certain Eastern lag" (Görlach 2005: 281) regarding the assimilation of the term "shopping", not acknowledging it as part of the Romanian language; nevertheless, the term does exist in Florin Marcu's *Marele dicționar de neologisme*.

tendinţe din machiaj" (*Glamour Octombrie 2011*: 103) – in the formation of the superlative; "Noua gamă Luminizer de la L'Oréal Paris targetează simultan genele" (*Glamour August 2011*: 33) – foreign verb form ("to target") inflected according to Romanian norms.

Another level of hybridity is the level of *syntax*: "alegi un T-DISC de cafea, îl introduci în aparat şi apeşi pe buton. Doar o atingere de buton." (*Glamour Octombrie 2011*: 101) – from the calqued phrase "at the touch of a button"; "atenta alegere a rochiilor în trend" (*Glamour August 2011*: 41) – calqued syntax following the phrase "in fashion", due to the incorrect assimilation of collocating elements ("in trend", which is incorrect, instead of "on trend").

The hybridity of Romanian texts can also be identified under the form of the *product names*, *elliptical structures* in English as part of the body copy, and longer syntactic units such as *slogans*, *headlines*, or *calls to action*[9].

Thus, we have English names for Romanian products or services: "Cocor Spa Hotel; Cele 3 saune Thermarium: Finish, Herbal, Hammam" (*Glamour Septembrie 2011*: 41); "Help Net" (*Glamour Septembrie 2011*: 71) – chain of pharmacies; "Radio Gold FM" (*Glamour Septembrie 2011*: 102); "The Silver Church Club" (*Glamour Septembrie 2011*: 147); "Bucureşti – Vitan Mall" (*Glamour Septembrie 2011*: 148); "Băneasa Shopping City" (*Glamour Septembrie 2011*: 59).

In the case of longer structures, there are examples such as: "Glam' eyes Day 2 night mascara"; "Hot looks. UK's #1. Cool prices." (*Glamour Octombrie 2011*: 29); "Free drinks and cakes" (*Glamour Octombrie 2011*: 73); "Featuring Amber Heard" (*Glamour Octombrie 2011*: 148); "The fragrance for her" (*Glamour Septembrie 2011*: 15); "125 years" (*Glamour Septembrie 2011*: 37); "pre-fall collection 2011" (*Glamour Septembrie 2011*: 65); "Shop at mango.com" (*Glamour Octombrie 2011*: 27).

This time we do not have isolated units of vocabulary, the use which copyrighters are struggling in or out of mainstream use; what we notice is a sort of frenzy in mixing linguistic codes, with a gradually pervasive preference for English. Maybe a most conspicuous example regarding the disregard for unity is the following extract from a mascara ad:

Volume Million Lashes
Volum Million Lashes
Volum Milioane de Gene (*Glamour August 2011*: 15)

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[9] Call to action: "This is a line at the end of an ad that encourages people to respond and gives information on how to respond." (Wells *et al.*, 2006: 361)

Given the visual impact which this succession makes upon the reader, as we are tempted to think of thick eyelashes just by following the layout of copy on the page, it seems that the primary quality of the foreign word is its playfulness, its ability to produce fresh insights into our ways and capacities of communication.

Further on, in the case of products distributed globally, there are slogans in ads created for international advertising campaigns: "Rimmel. Get the London Look" (*Glamour Octombrie 2011*: 28); "Triumph. Shape Sensation" (*Glamour Octombrie 2011*: 53); "Vodafone. Power to You" (*Glamour Septembrie 2011*: 101).

It is interesting to note an example of an ad for a product strictly targeted at the Romanian public, but with the copy entirely in English. Still, we will call this ad hybrid as well, this time at the deeper level of discourse; hybridity lies at the intersection between local culture and the image of a local brand, with the connotations brought by the use of English: "Prima TV. We love to entertain you" (*Glamour Octombrie 2011*: 147).

Like in the case of "The Silver Church Club", the use of English instead of Romanian may be justified by certain characteristics of the target public: young, valuing good looks, sexual attractiveness, a relaxed lifestyle. This assumption is also supported by the pictorial element, the models present in the ad, who are the "Baby Girls" ("Bebeluşele"), two of the main characters in a TV show extremely popular with university students. As English is associated with academic life, in this case, the use of simple, frequent lexical units adds an air of light-heartedness to the primary impression of intellectual vigour.

Besides hybrid texts, there is a second category of ads targeted at the Romanian public, with texts appearing entirely in English, designed for a global market. In this case, when communicating accross cultures, the common denominators are English and the values of consumerism attached to various products:

Reveal the Passion. The New Fragrance by Halle Berry. Become a fan on Facebook. Facebook.com/Essencesbycoty (*Glamour Septembrie 2011*: 17);

Dior Forever. Flawless perfection fusion wear makeup. The new everlasting tailor-made foundations infused with a perfecting Skincare Essence. They become one with the skin like never before for a flawless complexion that lasts all day long. (*Glamour Octombrie 2011*: 17)

It is interesting that, instead of isolated foreign units in the economy of essentially Romanian texts, here we have ads created for an international public, which were not even tentatively translated. In terms of cultural significance in the use of the foreign language in such cases, it is clear that advertisers presuppose their target public is more or less proficient in English, therefore educated and willing to absorb the values associated with Englishness.

Lastly, there is another type of ad appearing in the analysed corpus, which also presents the text entirely in English, also designed for global audiences, but having less denotational value than the types presented above, whose deciphering requires a lot more than linguistic proficiency in the foreign language:

Diesel for successful living. Diesel island. Land of the Stupid, Home of the Brave. Diesel Island's Stupid Constitution is being written. Learn more at diesel.com (*Glamour Septembrie 2011*: 33)

This ad is part of a series which was launched more than two years ago and promoted the "stupid" philosophy. If we access the web address indicated in the ad ("diesel.com"), we learn the following:

The Official Be Stupid Philosophy: Like balloons, we are filled with hopes and dreams. But over time, a single sentence creeps into our lives... Don't be stupid! It's the crusher of possibility. It's the world's greatest deflator. The world is full of smart people. Doing all kinds of smart things. That's smart. Well, we're with stupid. Stupid is the relentless pursuit of a regret-free life. Smart may have the brains, but stupid has the balls. Smart recognizes things for how they are. Stupid sees things for how they could be. Stupid creates. The fact is if we don't have stupid thoughts, we'd have no interesting thoughts at all. Smart may have the plans... But stupid has the stories. Smart may have the authority, but stupid has one hell of a hangover. It's not smart to take risks, it's stupid. To be stupid is to be brave. Stupid isn't

afraid to fail. Stupid knows there are worse things than failure, like, not even trying. Smart had one good idea, and that idea was stupid. You can't outsmart stupid. So don't even try. Remember: only stupid can be truly brilliant. So, be stupid! DIESEL. For successful living.[10]

First of all, this ad plays upon the multimodal character of ads, by providing intertextual connections ("Learn more at diesel.com"): it is a print

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[10] Retrieved 1 October 2011 from: http://www.diesel.com/be-stupid/

ad which requires the accessing of a video commercial on the Internet in order to fully understand its message. This fact, besides presupposing the availability of Internet access to the ad readers, also implies actively involving the public in the process of decoding.

Secondly, the ad provides intertextual links at another level, as the ad manipulates the final line of the USA national anthem ("... land of the free and home of the brave"), by transforming it into "Land of the Stupid, Home of the Brave". Thus, by using a formula obtained from the intrusion into a fundamental text of North American culture, advertisers make a second presupposition regarding those exposed to this ad, namely that they are familiar to such cultural expressions. Therefore, the intrusion of English as a lingua franca in the Romanian linguistic environment brings along another kind of intrusion, of international communication "currency", which is the cultural heritage of the western world. And the fact that the Romanian environment is permeable to such phenomena is a proof of its high degree of participation in the process of cultural globalization.

In conclusion, there are two kinds of ads targeted at the Romanian public in which English is preferred as a linguistic code: there are hybrid texts (at the level of vocabulary, morphology, syntax; longer units in English inserted into predominantly Romanian texts; also ads written entirely in English, grafted on the image of Romanian products); secondly, there are ads with the copy entirely in English, designed for products available on the global market, which Romania is a part of. The presence of English in such texts, varying to a greater or to a lesser degree, is an advertising technique which certifies an undeniable condition of the Romanian cultural territory: its inclusion in the process of globalized transformation.

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