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### *Editor's Preface*

*“Crossing Boundaries in Culture and Communication”, the journal of the Department of Foreign Languages of the Romanian-American University in Bucharest, is a professional publication meant to bring together the preoccupations and contributions of those interested in human communication and cultural phenomena in the global context: foreign language educators, academic researchers, journalists and others, from schools, universities or alternative areas of humanistic approach around this country and abroad.*

*The 6<sup>th</sup> international conference with the same name facilitated the issuing of this journal. The articles published here represent a selection of the Conference presentations; they reflect a variety of perspectives and innovative ideas on topics such as (applied) linguistics, translation studies, FLT, literary / cultural studies and their related fields, providing opportunities for professional development and research.*

*The editorial board considers that the personal contributions included in this issue as well as in the next ones, come in support of multilingualism and multiculturalism due to their variety of topics and linguistic diversity. This would be, in fact, the challenge we are faced with: to put forth a journal which, in spite of its heterogeneous blend, should serve the goal of gathering under its covers the results of the pursuits and concerns of those interested in the ongoing development of culture and in the interpersonal communication which have been subject to various mutations as an effect of an ever-changing globalized world.*

*This unity in diversity should be achieved by connections established within and among a variety of fields which often blend into each other, proving the interdisciplinarity of modern research: education, teaching, literature, media etc. which also allow complementary approaches in linguistics, rhetoric, sociology etc.*

*The present issue contributions on communication, cultural / literary studies and media. All the contributions published here share their authors' ideas in what we hope to become a large cross-boundaries “forum” of communication, debate and mutual cultural interests.*

*As we don't want to reveal too much right from the beginning, and in the hope that we have stirred your curiosity, we are inviting you to discover the universe the authors have shaped and described, the view upon life that they are imagining, which might be considered, in fact, the overall desideratum of our Journal.*

*Thanking all contributors, the editorial board welcomes your presence in this volume and invites the interested ones to unravel the various topics which put forward the concerns and the findings of a challenging professional community.*

## **An Introspective View into Haruki Murakami's Works from the Point of View of Business**

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*Babeş-Bolyai University*

### ***Abstract***

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*Why is Haruki Murakami popular in the whole world? I would like to propose considering Haruki Murakami from the point of view of Business Science. His works fall roughly into two phases and can be characterized by five distinctive keywords: Innovation, Cross-culture, Diversity, Economy and Society. First, the word "innovation" represents the style of his works, as most of his works are plotted without empathy and theme, which is uncommon in works written by other novelists. Second, when reading his works, we sometimes feel as if we read books written by an American author. This is because he was affected largely by American authors, such as Richard Brautigan and Kurt Vonnegut. Third, we often encounter something interesting and unpredictable in his novels, something such as a bizarre "another world" or a "sheep man". What I want to point out through the concept of "diversity" in Haruki Murakami's work is that he goes beyond the common notions of "normality" and that deploys a colorful type of charm which fascinates a wide range of readers throughout the world.*

### ***Keywords***

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*innovation, cross-culture, diversity, economy, society.*

### **1. Introduction**

One of the reasons for the popularity of Haruki Murakami is that in his work there are few expressions particular to Japan. For instance, in most of his novels, Western food comes out instead of Japanese food. Therefore, such novels are easier to translate from Japanese to other languages; his novels have been translated into many different languages. This could also be one of the main reasons why his novels are popular all over the world. Numerous attempts have been made by scholars to analyze, provide literary critique and assessment on Haruki Murakami's literary popularity, by looking closely at the content of his novels. What seems to be lacking, however, is the reason for which his novels are popular in the world from a business point of view. This paper is intended to investigate and to reveal what elements make Haruki Murakami popular in the world, apart from his literary excellence. Therefore, rather than considering the literary content of his novels, this paper focuses on his background and the social situation at the time he wrote his novels.

## 2. Innovation

First of all, we will focus on innovation. This word represents the style of Haruki Murakami's novels, because the characters of his novels are usually depicted without empathy and theme, practice which is rarely found in novels written by other novelists. In addition, many paradoxical conjunctions, simple sentences and short sentences also create charm and attractiveness to readers. Haruki Murakami's novels are constantly different from other writers' novels insofar, which confers readers a different experience and as a result, his novels have been widely accepted all over the world. Especially, *Norwegian Wood*, which Haruki Murakami himself called the 100% romance novel on the wraparound band of the book, has been a best seller on bookshelves in many countries. Kodansha, the printing house which published *Norwegian Wood*, showed that sales in Japan exceeded 10 million in 2009. Since the publication of his first novel, *Hear the Wind Sing*, he has won the prestigious Gunzo Award and enjoyed great reputation around the world. At the same time, his fiction has been often criticized by the Japanese literary establishment as un-Japanese. Actually, he never received any major prize coveted by Japanese writers and novelists, such as the Akutagawa Prize, which is one of the most famous literary prizes in Japan. Meanwhile, his novels have become popular gradually not only in Japan but also overseas, and now overseas sales far exceed the domestic ones. At this point I would like to consider the criticism provided by the Japanese literary establishment from *The Innovator's Dilemma*. *The Innovator's Dilemma* is the most well-known work of the Harvard professor and businessman Clayton Christensen. According to Clayton Christensen, innovation can occur with the support of sustaining or disruptive technologies.

“Some sustaining technologies can be discontinuous or radical in character, while others are of an incremental nature. What all sustaining technologies have in common is that they improve the performance of established products, along the dimensions of performance that mainstream customers in major markets have historically valued.”

(Clayton Christensen 1997: 15)

Clayton Christensen goes on to say that:

“Disruptive technologies bring to a market a very different value proposition than had been available previously. Generally, disruptive technologies underperform established products in mainstream markets. But they have other features that a few fringe (and generally new) customers value. Products based on disruptive technologies are typically cheaper, simpler, smaller, and, frequently, more convenient to use.”

(Clayton Christensen 1997: 15)

All of this amounts to saying that there are two kinds of innovation, “sustainable innovation” needed in order to advance improvement of conventional products, and “destructive innovation”, commonly deployed in order to destroy the

intrinsic value of conventional products in order to create completely new products, services and business models. From this view point, one may say that Haruki Murakami's innovation is true case of destructive innovation.

### 3. Cross-culture

Reading Haruki Murakami's novels, we sometimes feel as if we read books written by an American author. One of the reasons of this phenomenon is that Haruki Murakami was impacted largely by American authors, such as Richard Brautigan and Kurt Vonnegut. Let us, for a moment, consider another world famous writer, Kazuo Ishiguro, a Japanese British novelist. Kazuo Ishiguro understood that his works have little similarity with Japanese novels, although he was born in Nagasaki in Japan, as can be seen in the following statement from a 1990 interview:

"If I wrote under a pseudonym and got somebody else to pose for my jacket photographs, I'm sure nobody would think of saying, 'This guy reminds me of that Japanese writer'".

(Allan Vorda 1994: 25)

What the passage helps clarify instantaneously is that Haruki Murakami, similarly to Kazuo Ishiguro, may be said to be a writer with his values different from the Japanese writers' who have published until now.

Let us now return to Haruki Murakami's background. Haruki Murakami said in "*Walk, Don't Run!*" that "his parents were teachers of the Japanese language, and rebelling against them, he was reading foreign literature from his early childhood."

(Ryu Murakami and Haruki Murakami: 1981)

Also, Alfred Birnbaum, one of his translators, pointed out that "Haruki Murakami is not a Japanese writer; rather, he is an American writer who happens to write in Japanese".

(Mamiko Nakano: 2016)

Before he read Haruki Murakami's works, Alfred Birnbaum was studying Japanese literature written in the Taisho period at Waseda University and the further he dove deep into Japanese literature, the more bored he felt.

"Japanese literature seems to be dark, I thought, it includes a family discontent, lamentation of the public's unrecognizable, it is absolutely something wet. In Murakami Haruki's works bright humor was fresh anyway, then American-like irony, I realized he was trying to write like an American."

(Mamiko Nakano: 2016)

Alfred Birnbaum goes on to say that:

"Haruki Murakami has been reading American novels as his hobby, I guess he wanted a light feeling in his writing." However, writing fiction in Japanese makes it absolutely heavy. "I think I realized that it makes it easier to write if he does it in English."

(Mamiko Nakano: 2016)

This point is argued by Murakami himself. In *A novelist as a profession*, Murakami himself said that he "wrote the beginning of the first novel in English. By writing the beginning in English which he could not write in Japanese, a new Japanese style of writing became emerging, which means that it became his own unique writing style."

(Haruki Murakami: 2015)

Turning now to Haruki Murakami's background, his hometown is Kobe, which has been a major international port since 1868. The foreign settlements built at that time still exist, and moreover, the proportion of the foreign residents in the city population is high. Kobe is one of the most exotic cities in Japan. Having lived there, Haruki Murakami has been familiar with different cultures from his early days in Kobe and from reading foreign literature. It can be said this combination of factors lead to the development of his style, that makes him come across somehow "American".

#### **4. Diversity**

Diversity is one of the most important elements of his long stories. We often encounter something interesting and unpredictable in his novels, something such as an unrealistic world, the sheep man and LGBT. Speaking of LGBT, in *Norwegian Wood*, a lesbian comes out as part of the story, while the reader meets a transgender person in *Kafka on the Shore*, where Oshima-san, the protagonist of the book, was born as a woman and began to act as a man afterwards. As a matter of fact, it is not rare that Haruki Murakami depicts sexual minorities. The main character of *Chance Traveller* is a gay person. As a synopsis, this short story depicts the life of a gay man who is a piano tuner. Also, in *Sputnik Sweetheart* there is a lesbian woman named Sumire. She is the main character in this story and is falling in love with a woman named Miu. Furthermore, even in *1Q84*, there are descriptions of such sexual activities of two women. Haruki Murakami is trying to write fiction with various diversity elements, including various diverse groups, such as sexual minorities. Diversity is well functional in his novels, influencing a group of writing followers called "Haruki's Children" both in Japan and throughout the whole world. It is probable that he understands diversity groups so well because he has lived in Europe and the United States for long periods of time since he gained explosive popularity in Japan with the *Norwegian Woods*. What I want to point out through diversity is that he deploys a colorful type of charm which fascinates a lot of diverse readers throughout the world.



## 5. Economy

In his novels, there are many close-up details on food and clothes. These descriptions represent a capitalist economy. In a capitalist economy mass production and mass consumption are praised, and what really matters is not necessarily “what” to buy, but just simply to spend money, as can be seen in the following quotation from *Dance Dance Dance*:

“That’s when I proffered my words of wisdom, that waste is the highest virtue one can achieve in advanced capitalist society.”

(Haruki Murakami 1994: 19)

There are two reasons why elements of capitalism are seen in his novels, especially *Dance Dance Dance*. First, when he was a university student, he opened a small jazz bar, which he ran together with his wife from 1974 to 1981. At that time, he was writing his fiction at midnight, after closing the bar for the day. By having the bar, it seems that Haruki Murakami became very familiar with the workings of the economy. Second, the Japanese economy was booming in the 1980s, phenomenon which was later called “the bubble economy”. It can also be said that by depicting an economy filled with material goods, the existence of characters who are not mentally satisfied becomes prominent. The characters in his novels usually have the ability to live alone because they can earn enough money to live their own lives, earn and cook well. However, in search of something (in most cases, their lover or their wife), they go out deep into the dangerous world outside, such as in *Dance Dance Dance*, *The Wind-Up Bird Chronicle*, and *Sputnik Sweetheart*. From an economic perspective, Haruki Murakami also published a novel called *A Folklore for My Generation: A Pre-History of Late-Stage Capitalism*, and furthermore let us consider the following quotation in *Dance Dance Dance*.

“We live in an advanced capitalist society, after all. Waste is the name of the game, it’s great virtue. Politicians call it “refinements in domestic consumption.” I call it meaningless waste. A difference of opinion. Which doesn’t change the way we live. If I don’t like it, I can move to Bangladesh or Sudan. I for one am not eager to live in Bangladesh or Sudan. So I kept working.”

(Haruki Murakami 1994: 12)

What is immediately apparent from this quote is that there is a clear break in the era between *A Wild Sheep Chase* and *Dance Dance Dance*, and this seems to be almost equivalent to the change in the 1980s in the Japanese society. *A Wild Sheep Chase* was written about the economy in the 1970s, when the growth of the economy was remarkably slower than in the 1960s. On the other hand, the economy of the 1980s was booming. Everywhere throughout the country any type of investment was popular. In order to make as much money as possible, businesses began to purchase stock and real estate, financial activities which were done along detailed planning devised after thorough investigation. This quote from *Dance Dance Dance* is relevant:

“What we had here was a hotel founded on a proper outlay of capital and now enjoying proper returns. But how the hell had this come about? Well, I could guess, of course. Having once put together a PR bulletin for a hotel chain, I knew the whole process. Before a hotel of this scale is built, someone first costs out every aspect of the venture in detail, then consultants are called in and every piece of information is input into their computers for a thorough simulation study. Everything including the wholesale price and usage volume of toilet paper is taken into account. Then students are hired to go around the city- Sapporo in the case - to do a market survey. They stop young men and women on the street and ask how many weddings they expect to attend each year. You get the picture. Little is left unchecked. All in an effort to reduce business risk.”

(Haruki Murakami 1994: 23)

What the passage makes clear at once is that the economy was changing. The Dolphin Hotel in *A Wild Sheep Chase* which was not looking good at a certain point in time, was later transformed into the gorgeous and modernized Dolphin Hotel run by a large enterprise. When is the turning point between the 1970s and the 1980s? It can be said that one of the major turning points in postwar Japanese society was when Yukio Mishima killed himself in 1970. From the time that Yukio Mishima, who pursued the aesthetics of the spirit of the old Japan, old good Japanese values and aesthetics were completely forgotten and the Japanese people lost the way of connecting with the spirit of the old age.

## 6. Society

Haruki Murakami's style of writing changed dramatically after the following incidents: the Great Hanshin-Awaji Earthquake in 1995 and the Sarin gas attack on the Tokyo subway that same year by the Aum Shinrikyo, a local religious group. Before these incidents, he was showing detachment to the society. However, after these incidents he has grown a special kind of commitment to the society. In 1995, there were a lot of casualties and many buildings and roads were devastated during the Great Hanshin-Awaji Earthquake. On the other hand, massive terrorism by the religious group also shook the Japanese society. Mass terrorism was different from other disturbing things, such as earthquakes and huge tidal waves, because it was not natural disaster; rather, it was caused by others humans. After these incidents, Haruki Murakami's attitude towards the society changed dramatically. As a result, he wrote works about these incidents. Haruki Murakami came to terms with these events with his first work of non-fiction, *Underground*, and the short story collection *After the Quake*. *Underground* consists largely of interviews of victims of the gas attacks in the Tokyo subway system. Here, we notice, Haruki Murakami began to receive great influence from social incidents. At this point, we are able to divide Haruki Murakami's works into two parts. The former part is from *Hear the Wind Sing* to *Kafka on the Shore*. The latter part is from *After the Quake* onwards. In addition, Haruki Murakami's commitment to the society was symbolized by the fact that he

went to Jerusalem in 2009 to receive the Jerusalem Prize. Let us consider the following sentences:

“Between a high, solid wall and an egg that breaks against it, I will always stand on the side of the egg. Yes, no matter how right the wall may be and how wrong the egg, I will stand with the egg. Someone else will have to decide what is right and what is wrong; perhaps time or history will decide. If there were a novelist who, for whatever reason, wrote works standing with the wall, of what value would such works be? What is the meaning of this metaphor? In some cases, it is all too simple and clear. Bombers and tanks and rockets and white phosphorus shells are that high, solid wall. The eggs are the unarmed civilians who are crushed and burned and shot by them. This is one meaning of the metaphor. This is not all, though. It carries a deeper meaning. Think of it this way. Each of us is, more or less, an egg. Each of us is a unique, irreplaceable soul enclosed in a fragile shell. This is true of me, and it is true of each of you. And each of us, to a greater or lesser degree, is confronting a high, solid wall. The wall has a name: It is The System. The System is supposed to protect us, but sometimes it takes on a life of its own, and then it begins to kill us and cause us to kill others - coldly, efficiently, systematically.”

(HAARETZ 2009)

This is the speech held by Haruki Murakami in Israel. At that time, there was a fierce battle that was raging in Gaza in Israel and Haruki Murakami got the prize by participating in the ceremony after asking himself whether going to Israel and accepting the literary prize, and whether this would create the impression that he supported one side in the conflict. Although too many people advised him not to be there, Haruki Murakami finally made up his mind to deliver one personal message rather than saying nothing. Haruki Murakami did not mean that he endorsed the policies of a nation that chose to unleash its overwhelming military power. Haruki Murakami did not intend to be political and he just tried to show commitment to the society as a novelist.

## **7. Conclusions**

It should be concluded, therefore, from what has been said above, that Haruki Murakami comes across like a huge multinational corporation. Each keyword described above is usually discussed in various fields of business. First of all, “Innovation” is surely a hot topic, as numerous established companies as well as start-ups are eager to create something new. “Cross-culture” is important especially when companies expand their business internationally. Regarding “diversity”, numerous attempts and corporate efforts have been made in the field of human resource management. As an example, Silicon Valley, known as the innovation hub where state-of-the-art technology companies gather together, is also famous as a place to share a certain type of modern corporate culture which values diversity more than anything. The profit of companies finally depends on the state of the “economy” to a large extent. This is because it is largely influenced by exchange rates, stock price, taxation systems, and so on. These days, companies are asked to take corporate social responsibility. They are sometimes required to make

products that are environmentally friendly, rather than just profitable. As described above, these five keywords are indispensable when considering multinational companies, and we therefore conclude that one strong reason for which Haruki Murakami is so popular throughout the world is because his works have been illustrating these major contemporary issues.

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## Diachronic considerations – Dobrogean historical landmarks

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### **Abstract**

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*Due to its maritime position, Dobrogea is the first Romanian province to enter the stage of history. Archaeological excavations conducted by Romanian scientists have shown that Dobrogea is the first Romanian territory which signals the presence of the Romans: a century before the conquest of the ancient Dacia by the emperor Trajan, the Romans had already installed their administration here.*

*Between the 15<sup>th</sup> and the 17<sup>th</sup> centuries, the political regime of "pachalâc" imposed in Dobrogea by the Ottoman power caused the appearance of certain positions in the Romanian society of this province.*

*Toponyms have a very special documentary significance when it comes to filling gaps from other sources. The existing historical sources and our own investigations on the ground allow us to appreciate in a peremptory manner that the Romanian habitat in Dobrogea between the 15<sup>th</sup> and the 19<sup>th</sup> centuries saw a great continuity and stability.*

### **Keywords**

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*Dobrogea, Ottoman, toponymy, historical sources, continuity.*

### **1. Introduction**

The territory between the Danube and the Black Sea is called Dobrogea. The name is not old. In ancient times the land was named *Scythia Minor*, name which comes from those Scythes who, infiltrating among the native Gets and Thracians in general, managed to found several small villages around Mangalia and Cavarna; it is about these settlements that numismatic discoveries stand as witnesses.

In the 9<sup>th</sup> century Byzantine chronicles sometimes mention, under the name of *Paristrion*, of a land which could correspond to present Dobrogea. According to Nicolae Iorga, the name of *Paristrion*, given to this Danubian region, is a term which designates rather a geographic indication; it is "an administrative and military term". (Iorga. 1924: 107)

In the 12<sup>th</sup> century the territory nearby the Black Sea, South of the Danube's mouths, is called by the well-known Arabic geographer Edrisi (about 1110 – 1164) *Bergean*; later, around 1253, the minorit monk Wilhem de Rubruquis, retelling his journey to the Tartars settled down in the Pontic plains recently, wrote that the country South of the Danube's mouths is called "*Valachia lui Asan*" (Asan's Walachia) (Brătescu. 1922: 17 and Itinerary... 1922: 509).

In the 14<sup>th</sup> century we find as leader of the province a Byzantine despot, namely Dobrotici. This despot became tributary to the Turks, while his little country was named Dobrugi-illi, province of Dobrugi, meaning *Dobrogea* (Iorga.

1923: 25). Later on Mircea cel Batran, conquering this territory, added to his titles that “*Terrarum Dobroticii Despotus et Tristri Dominus*”.

*Dacia Pontica*, named like that by the great geographer Simion Mehedinți, represents an eloquent synthesis of the Romanian life. Conquering Dobrogea, the Romans, the Gets, and the Dacians, all the others were transformed into Romans, and so, the Romanian nation was born. That is why Dobrogea is said to be one of the cradles of the Romanian people.

Dobrogea’s great importance for the Romanian people comes from its setting at the mouths of the Danube and on the Black Sea coast. Placed at the crossroad of two great roads, one of which unites the North Sea with the Black Sea and cuts Europe diagonally from the mouths of the Rhine up to those of the Danube, while the other road unites, on the one hand, the ports of the oriental Mediterranean with those of the left Pontus, and on the other hand the Pontic plains with the great city from the Bosphorus shore. Dobrogea had at all times a different fate in comparison with the other Romanian provinces. Without this setting at the crossroad, neither the ethnographic aspect of the province can be explained – a real mosaic of nations in all the historical periods, nor its fate as road of invasions and later of armies that the history meant to it over the centuries (Brătescu. 2003: 5).

## **2. Diachronic considerations on Dobrogea’s history**

Due to its setting on the sea coast, Dobrogea is the first Romanian province that enters into the light of history. Beginning with the 7<sup>th</sup> century BC, the Greek colonists arrived from Millet and founded the *Histria* fortress (657 BC) at the end of a small peninsula from this region. At the same time, the relationships between the native population (the Dobrogean Gets) and the Greek colonists begin, these colonists being the carriers of a superior civilization who founded the city fortresses of *Tomis* and *Callatis*, on the place of some older native settlements. The native population between the Danube and the Sea will build numerous fortified fortresses, called *dave*, having the same constructive and technical characteristics with those from Moldavia, Muntenia, and Transylvania – like those from *Beidaud*, *Dinogetia*, *Troesmis*, *Aegyssus*, *Capidava*, *Sucidava*, *Beroe*, *Satu Nou* and so on.

The Romanian archaeological researches, starting with Tocilescu and ending with Vasile Pârvan, proved that Dobrogea is the oldest Roman province. A long time before the Dacians from the Carpathian Dacia became Romans, the Gets-Dacians from Dobrogea had spoken Latin. Over a hundred years before the conquest of Dacia there were Romans in Dobrogea. When Dacia was conquered, after the second war 105-106 BC, Dobrogea was half turned into a Roman province. The traces of Dacian-Roman settlements can be found even today at *Cius* (between Dăeni and Hârșova), at *Carsium* (Hârșova), at *Axiopolis* (Cernavodă), at *Ulmetum* (Pantelimon), and especially at *Trophaeum Traiani* (Adamclisi).

Thanks to its position between the Danube and the Black Sea, and also to its forms of relief specific of plateau or fortress that dominate the large depressions – Dobrogea played an important role in the political history of Dacia, and in that of the wars, as well. This truth was understood by Traian when he started his war of conquest against the Dacians, but also by the Turks, who later, after the conquest of

Constantinople, penetrated massively into Dobrogea, colonising it intensely with Muslims; then they crossed over the river, founding *rayale* near the water and representing permanently a threat for the Romanian political structures at the foot of the Carpathians.

Starting with the 3<sup>rd</sup> – 4<sup>th</sup> centuries, *pax romana* was more and more irreversibly troubled by the invasions of the Goths and of other migratory peoples, while during the 5<sup>th</sup> – 7<sup>th</sup> centuries the cavalcade hard to conquer of the Huns, of the Avars, of the Slaves, and of the Proto-Bulgarians took place. At the beginning of the 7<sup>th</sup> century, the Byzantines leave the line of the Danube, trying to put a stop to the invasions on the strengthened line of the Balkans Mountains; then, during the 9<sup>th</sup> – 10<sup>th</sup> centuries they came back to the Lower Danube, building fortresses and defensive walls.

After the death of Mircea cel Batran, in a political context more and more unfavourable, the Ottoman dominance was installed in Dobrogea, in the years 1419 – 1420. Until the Ottoman conquest, the Trans-Danubian land was called Podunavia or Terrarium Dobrodicii; the toponym Dobrogea starts to be used after 1420 – as it was attested by the narrative sources, since on the maps of the 15<sup>th</sup> century this toponym has not appeared yet.

As soon as the region had been conquered by the Turks after the campaigns of 1419-1420 and 1484, it was introduced into the state and administrative borders of the Ottoman Empire. The difference between the autonomous regime of the vassal principalities Moldavia and Țara Românească, in its relationships with the Ottoman Gate and the politico-economic regime of “pașalâc” imposed on Dobrogea by the Turkish ruling, as a consequence of the conquest of this Romanian territory. Due to this different political regime, that in Dobrogea continued from the 15<sup>th</sup> century to the War for Independence of 1877-1878, the Romanian society from the right of the Danube has known certain characteristics of economic, social, politic, and cultural development.

At the same time, the natural evolution of this Romanian region was much slowed down by the foreign dominance compared to that of the Romanians from the left of the river. These conditions were the cause of the appearance of certain characteristics in the life of the Romanian society from Dobrogea in the 15<sup>th</sup> - 17<sup>th</sup> centuries (Ghiață. 1978: 71).

All those who came, even only passing through this region, gave us information regarding the Dobrogean realities and they meant to write down the local Romanians' occupations. The Romanian peasant has continued to practice his ancient occupations: agriculture, the raising of animals, but also fishing or apiculture. The Romanian population lived both in villages and in small towns: *Babadag, Hârșova, Isaccea, Măcin, Tulcea, Medgidia*, as it is revealed in the sources of the time; here they worked in the fields in parallel with gardening around their homes, but they also did different trades and businesses (they kept coffee shops, pubs, inns, corner shops, etc).

In the beginning of the Ottoman domination, the economic-political control was entrusted to the border Ottoman leaders “beys”; they ruled the land by exploiting and robbing the native population. As a result, it has been arguing, that right from the middle of the 15th century, the Romanian population is focusing on

the safer places in the forested area of the North and Southwest of the country and towards the Danube. While the density of the Romanian population in the eastern and central part of Dobrogea has decreased, at the same time it has also increased towards the Danube and in the North. The phenomenon is surprised in most of the sources of the second half of the 15th century up to the 19th century. For the eyewitnesses, Andrea di Pallazio (1444) and Giovanni Maria Angioiello (1476), this South-Danube and parallel to the seaside region appears as a "desert", a waterless and less inhabited steppe. (*Foreign travelers ...*1968. II: 134 et seq.)

If numerically the Romanian population decreased in the places where Muslim elements were forced to colonize, at the end of the 15th century and the 16th century, however, the Romanians have never completely left the settlements from near the seaside, and in the central and southern part of the country. At the end of the 16th century, traveler Paulo Georgio found that Christians and Turks lived in "Dobruccia per msrina", and in the few localities on the seaside and in the center of the region the number of Christians was very numerous; for example, in Mangalia (*Mongalia*), Constanța (*Costanza*), Vadu (*Charar Maluch*), Medgidia (*Carassui*). (*Foreign travelers ...*1971. III: 392). The nautical maps of the 15th century contain several seaside settlements beginning at the mouth of the Danube, some of which appear in the Ottoman sources in a form which, although it was turned into a Turkish one, proves that the toponyms were taken from a non-Turkish native population living there: *Constanza*, *Costança*, *Costanza* Tk. *Köstence*, today Constanța; *Panguala*, *Pangualla*, *Pangala*, Tk. *Mangalyia*, today Mangalia; *Zanaurada*, today Vadu, etc. Given some news from the following centuries, it has been noticed that a Romanian population lived in the Eastern and Southeastern part of the country, where these settlements exist. In the middle of the 17th century, the famous traveler Evliya Celebi, passing through the parts of Mangalia, remarked here a population with a language different from the Turkish, Tatar and Romanian language, people whom he called "citaci"; we notice his appreciation that this population of citaci was the result of the mixture of the Tatar and Turkish soldiers from Anatolia with the Romanians, which is another argument that the Romanians had lived all through the sixteenth century in these parts of the county (*Foreign travelers ...* 1976. VI: 382). In the first half of the eighteenth century, the traveler La Motraye discovered in the locality of Mangalia inhabited by Greeks, Bulgarians, as well as by many Romanians (*Moldaves*) (Bratescu. 1928: 229). In the sources of the same century, Mangalia had three names: one given by Moldovians, another by Greeks and another by Turks. The Romanians remained to live in the neighborhoods of settlements from the Eastern land even in the nineteenth century.

The phenomenon of concentration of the Romanian population to the North, Southwest and West did not mean a decrease in the number of Romanians in this province, but a concentration and an increase of population in settlements already existing in these parts. Different travelers remember the Romanians here: Tommas Alberti (Iorga.1898: 58); Evliya Celebi mentioned the Romanians at Dăeni and besides other Christian and Muslim populations in small towns like Isaccea, Hârșova, Tulcea (*Foreign travelers ...* 1976. VI: 385); Filip Stanislav



showed the Romanians living in Babadag town and so on. (*Foreign travelers ...* 1973. V: 617). Korsak, investigating on the ground, in 53 localities, found that most of the investigated villages - 46 in number - were inhabited by Romanians, (*Moldaves*), most of them located in the Western, North and North-central area (Panaitescu. 1928: 84). In 1850, Ion Ionescu de la Brad, passing through the region, observed that “from the Sea to the Danube and towards its bank to Silistra, where I stopped with my trip, there are 71 Romanian villages” (1928: 32).

Taking into consideration the documentary material for the 15<sup>th</sup> -19<sup>th</sup> centuries, we must state that the Dobrogean ethnographic area, compact and continuously inhabited by the Romanians, was very large, covering almost entirely the county of Tulcea, and most part of the west and the south-west of the county of Constanta as well, continuing from the Danube up to *Medgidia, Izvoru Mare, Peștera, Deleni, Pietreni, Văleni*. This arbitrary delimitation does not exclude though, the presence of the Romanians in other localities from the centre and the east, confirmed by the information of the time (Ghiață. 1978: 81).

### **3. Importance of toponymy**

In order to follow up the continuity of the Romanian settlements in the Danube-Pontic region, the author of this study brings into discussion the toponymy that can be found in a great number of original Turkish (from the *deftere* of the 15<sup>th</sup> -18<sup>th</sup> centuries, and from the *tapiuri* fund of the 19<sup>th</sup> centuries – that is Turkish official documents) and cartographic (the 18<sup>th</sup> -19<sup>th</sup> centuries) sources.

Toponyms have an outstanding importance as historical documents when it comes to supply the gaps of other sources. But it is very important that, in the use of minor and major toponyms as argument in trying to establish the ethnic structure of the inhabitants settled in a certain region at one moment, to accompany it with the collaboration of other documentary news, and at the same time, the researcher needs to have a linguistic background, as well as a sharp critical spirit.

It is well-known the fact that the Ottoman dominance has imposed in the conquered territories from the South-East of Europe its own nomenclature foreign to the native population; the official changing of the names of settlements was done from the beginning of the Ottoman administrative organization. Thus, most of the toponyms from the pre-Ottoman period were either translated into the Osmanli-Turkish, or replaced with Turkish names, which makes very difficult, if not even impossible, not having other documents, the finding of the names they had before. It is found out that the Ottoman administration had taken over the names of some localities from the previous period, toponyms imposed by the presence of the native population inhabiting the territory at the time of the conquest. This phenomenon is met in Dobrogea, too.

Taking into account the news from the 15<sup>th</sup> century that indicate the Romanians living in Dobrogea, the existence in the Turkish registers of the 16<sup>th</sup> and 17<sup>th</sup> centuries of some toponyms without any meaning in Turkish, proves the persistence of the names of places saved by the Romanian native population inhabiting the county before and after the Ottoman conquest. The same study mentioned above, belonging to Anca Ghiață, offers some interesting examples of settlements, from two Turkish registers (*deftere*). For instance: COCHIRLENI:

*Kokırlân, Kokırlen* kaza Karasu; CONSTANȚA: *Köstence* kaza Tekfür- -gölü; DOBRAOMIR DIN VALE: *Baş-Dobromir* kaza Silistra; *Dobromir* nahia Dobrogea; ESTER (the village no longer exists): *Ester-giberan* kaza Hârşova; GALIȚA: *Garliça* kaza Silistra; GÂRLIȚA: *Gırliçe* kaza Silistra; HÂRŞOVA: *Hırsova* kaza Hârşova – Babadag; LIPNIȚA: *Lipniça* kaza Silistra; MANGALIA: *Mankaliya, Mangaliya* kaza Tekfür-gölü; MÂRLEANU (today Dunăreni): *Mırlân* nahia Dobrogea; OLTIN:A: *Oltina* kaza Silistra; PEȘTERA: *Peștera* kaza Karasu; RASOVA: *Rasovat* kaza Karasu; RÂMNICU DE SUS: *Rimlik-I balâ* kaza Babadag; VALELI (today Vâlcele): *Valelei, Valelü* kaza Tekfür-gölü and so on.

Some toponyms found in *deftere* translate into Turkish names that indicate certainly the Romanian ethnic of the inhabitants placed in the villages mentioned in the 16<sup>th</sup> century, for instance: *Ulah* kaza Silistra (meaning *Ulah* = “Romanian”, the name of the present settlement Vlahii).

Other names of settlements that appear with a Turkish form – which makes difficult the finding of the name it had before – demonstrate very clearly the presence of a Christian population that was in Dobrogea at the time of the consolidation of the Ottoman conquest in the 16<sup>th</sup> -17<sup>th</sup> centuries, for example: *Adam-kilise* kaza Tekfür-gölü (the village “man’s church”, tc. *Kilise* = church, today Adamclisi); some toponyms names of settlements are accompanied by the Turkish word Tk. *giberan* = “Christian”, “non-Muslim”: *Boğaz-kesen-giberan* kaza Tekfür-gölü (meaning the Christian village “from the strait”, today Cernavodă); *Kanlı-giberan* kaza Silistra (“The Christian Canlia”, today Canlia), *Kara-Harman-giberan* kaza Babadag (today Vadu); different from *Kara-Harman-müslim* kaza Babadag.

It is worth mentioning the fact that, while the settlements having non-Turkish names from the local pre-Ottoman fund maintained under the same name from the beginning to the end of the Ottoman dominance, to some a Turkish double being added, as much as the Turkish toponymy of the Dobrogean settlements from the first centuries of the consolidation of the Ottoman dominance, the same persistence is not noticed. As the Turkish documents of the time reveal, it can be noticed that, being stranger to the places, the Turkish toponyms were naturalized gradually, changing several times, so that the same settlement appears in a short period of time under two or three names, fact mentioned in the time sources by the expression “under another name” (*name diğeri*). Thus, for example: *Alveli-Musâ* (can be also read as *El-Veli\_Musâ, Alvali-Musâ, Alulu-Musâ*) *name diğeri Terzi -Fatih* (today Runcu); *Pelitli name diğeri Bari* (today Săcele); *Nasuh-Dönüm* (or *Nasuh-Duica*) *name diğeri Baş Kartal* (today Vultur); *Kargalık-tahtani name diğeri Isaça* (today Corbu de Jos), etc. The two names circulated simultaneously, being used by the local authorities; it is hard to tell which is older, anyway, in time, only one of the toponyms (*Kargalık, Terzi, Kartal, Pelitli*) that appears in the 17<sup>th</sup>-19<sup>th</sup> centuries sources.

For the 18<sup>th</sup> – 19<sup>th</sup> centuries the number of examples of names of settlements from the local Romanian topic fund increases at the same time with the improvement of the documentation: CERNAVODĂ: *Aschioi, Czernavoda, Cernavoda, Cernădia*; COCHIRLENI: *Skorleni, Kokırleani, Kokırla*;

CONSTANȚA: *Chioustange, Chiustenza, Köstence*; GALIȚA: *Galitza*; GIZDAR (azi *Ghindărești*): *Destarkeui, Gezderesti, Guizdar, Ghizdar, Dizdar*; GÂRLICIU: *Gyrma, Gysma*; GÂRLIȚA: *Gîrlița, Gerlitsche*; HÂRȘOVA: *kersova, Gristova, Girstow, Kirslow*; MANGALIA: *Pangola, Magnegolia, Pangola* called by the Turks, *Pujlicora* by the Greeks, *Tomiswara de moldoveni, Mankale, Mangaliza*; OLTINA: *Oltika, Altounaoua, Olteni*; OSTROV: *Ostroveni*; RASOVA: *Rassovat, Rusaata, Rosevata, Răsuata*; SATU NOU: *Dajaköi, Satanoi*; SEIMENII MARI: *Seimen, Seimen Stolar, Seimenii de Sus, Stelnicu*; SEIMENII MICI: *Seimenii de Jos*; TICHILEȘTI: *Tikilestj, Tekeli*; TOPALU: *Tovalu*; VALELI (azi *Vâlcelele*): *Valeli*; VLAHII: *Lake*.

We have to remark that the villages that appear with a non-Turkish toponymy, either in the Turkish sources (*deftere, tapiuri*), either on the Austrian, Russian maps, or on that drawn by Ion Ionescu de la Brad, the great majority is found in the 19<sup>th</sup> centuries as being inhabited by the Romanian population. For some settlements two names circulated: either both Romanian, or one non-Turkish and the other Turkish (toponyms different in meaning: *Cochirleni* or Tk. *Yeni-köy*, either toponyms with the same meaning but in different languages: *Ostrov* or Tk. *Ada, Satu Nou* or Tk. *Yeni-köy, Seimeni* or Tk. *Sekban*), etc.

The sources of the 19<sup>th</sup> century, that transmit ethnic news, indicate the Romanians living both in settlements with names without any meaning in Turkish and in those having a Turkish toponym. It is obvious in the sources the Romanian expression of the Turkish toponyms at a series of villages for which the ethnic documentation is to be completed: *Baltajestj, Baltacı* (today *Băltăgești*), *Devçe* (today *Gherghina*), Tk. *Saraca* (today *Gălbiori*), etc. The use in toponyms of some endings and the Romanian words used by those who travelled across the county is an additional proof that the Romanian language was heard everywhere in Dobrogea.

Among the settlements inhabited by the Romanians in the 19th century, we mention: ADAMCLISI: *Adamklissi, Adam-kilise*; ALIMAN: *Aliman, Alaman, Alirmanu, Aliman*; ALMALĂU: *Almalîu, Elmalı*; BAZÎRGIAN (today *Rariștea*): *Bazîrgân*; BEILIC (today *Viile*): *Beilik, Beilicul, Beylik, Beilicu*; BOAZCIC (today *Dunărea*): *Boğazcık, Boaçcicu*; CALAIGI (today *Făurei*): *Calaici, Kalaici*; CARANLÎC (today *Negureni*): *Caranlîc, Caranlicu, Karanlık*; CASAPCHIOI (today *Sinoe*): *Kazabkeuy, Kasap, Casapchioi*; CERNAVODA: *Boaskeuy, Bogazchioi, Pohatzköiu, Boğaz-köy, Cernavoda*; CÎȘLA (today *Strunga*): *Cîșla, Kischla, Cîșlea, Kışla, Cîșla*; COCARGEA (today *Pietreni*): *Kokarca, Cocargea*; COCHIRLENI: *Kokerliu, Yenikeuy, Cocîrleni, Ienichioi, Kokirleni, Kokerlenji, Cocarlenii, Cokerleni*; COSLUGEA: *Coylogea, Coshuga, Kozlica, Cozluge*; CUIUNGIUC: *Kuyucuk, Cuiugiucu*; CUZGUN (today *Ion Corvin*): *Guzgun, Cusgunu, Kuzgun, Cuzgun*; DEMIRCEA (today *Mircești*): *Demircea, Demircicedid, Dimircea*; DOBROMIR DIN VALE (today *Dobromir*): *Dobromir-ziyr, Dobromir de Jos*; ENIȘENLIA (today *Văleni*): *Yemișenli*; ESECHIOI: *Isâ, Esechioiu*; GALIȚA: *Galița, Galitza, Galița*; GHIOLPUNAR (today *Șipotele*): *Ghiolpunar, Göl-pınar, Ghiolpînar*; GÂRLICIU: *Gîrliciu, Gîrlitch, Gerlitsche, Garliciu, Girliç*; GÂRLIȚA: *Gîrlitza, Girliç, Gârlița*; GROAPA CIOBANULUI (azi *Ciobanu*): *Gropa Tchowan, Groapa Ciobanului, Gropa Tchoban, Groppa*

*Tschobanului, Coban-kuyusu; HÂRȘOVA: Hîrșova, Hirsova, Hirschowa, Hirsova; LIPNIȚA: Lipnitza, Lipnița, Lipnița; MAHMUDCUIUSU (today Izvoru Mare): Mahmud kioi, Mahmud-köy, Mahmudkuiso; MEDGIDIA: Karassou, Medgidia, Mecidiya, Karasu; MÂRLEANI (today Dunăreni): Mârleanu, Mirleanu, Mirlân, Mîrleanu; OLTINA: Oltina, Goltina, Holtuna; OSTROV: Ada keuy, Ostrov, Ostrovu, Ada; PARACHIOI(today Băneasa): Para keuy, Parachioiu, Para; PELETLIA (today Săcele): Periklia, Pelicli, Perikli, Peletli; PÂRJOAIA (today Izvoarele): Părjoaie, Pîrla, Prajaia, Paraçova; RASOVA: Rassowa, Rasova(ta), Rassovata, Rasovat, Rasovai; RÂMNICU DE SUS: Turcrimlie, Türk- Rimlik; SATU NOU: Satu Nou, Yeni; SEIMENII: Seimeny, Săimenii Mari, Buiuc Seimeni, Seymen, Seimenii Mari, Sekban-kebir; SEIMENII MICI: Seimeny, Săimenii Mici, Kuiuciuk Seimen, Seymen, Seimenii Mici, Sekban-sağır; TOPALU: Topal, Tăpalu, Topala, Topalo, Topalu; VLAHII: Vlachiei, Vlaso, Olahkoi, Vlachiei, Ulah, Vlahioiu, etc.*

#### **4. Some considerations on the population of Dobrogea**

Following the distribution of the Dobrogea settlements inhabited by the Romanians in the 19th century, as in the previous centuries, a compact Romanian ethno-geographic area (in the North, West and Southwest) is observed, while at the same time it can be noticed that the Romanians continued to live in other settlements situated to the East and center, as well. As a matter of fact, besides rural settlements and small towns, the Romanians were spread all over the country and thanks to the sheepfolds (*kışla, yayla*) - permanent settlements of the mountain shepherds - who, according to Ion Ionescu de la Brad, were in the region, annually, about 6,000; always crossing the same Danube roads to the sea for pastures and salt, they had fixed places where they lived, many of them becoming, in time, villages. In some Dobrogean localities, different foreign ethnic groups have settled at different dates. Besides the Turks and Tartars who have come to the region in large numbers since the Ottoman rule, other peoples of the Balkan Peninsula came to these parts: Armenians, Bulgarians, Jews, Greeks, Gypsies. They wanted to practice their craft and sell their products. They infiltrated themselves within the native population and thus it can be explained their presence mostly in small towns and villages situated on both sides of the military roads. At the end of the 18th century and in the first half of the 19th century, other Tatars, Cossacks, Lipovans, then Bulgarians and Germans arrived as emigrants.

Considering the constancy of the Romanian toponymy in the 15th-19th centuries and the information regarding the Romanians in Dobrogea, we can conclude that the Romanian society on the right of the Danube during the Ottoman occupation was very stable; in this respect, we were also provided data from the Russian statistical map, 1835 and 1853 editions; Russian topographers recorded with the Cyrillic alphabet the toponyms and the situation of the settlements in Dobrogea following the Russian-Turkish War of 1828-1829. They mentioned with precision and scrupulously the villages and hamlets inhabited by the Romanians, sometimes mentioning the places of worship, as well.

From the third decade, after the Crimea War until the Russian-Romanian-Turkish War of 1877-1878, abundant domestic and foreign data allow specialists to reconstitute, through comparison and confrontation, a fairly accurate situation of the heterogeneous ethnic composition of Dobrogea; despite its labile character, determined by the fluctuation of those populations whose connections with this province were intriguing and sporadic. More than ever, the existing data prove with certainty that, from a numerical, economic, cultural and national point of view, the Romanians played a predominant role, representing the most stable constitutive element of the province. Their ties and connections with the other two Romanian Provinces and with Transylvania, and later on with Romania, after its establishment as a state, have become permanent, multivalent and have gained an obvious national significance.

The constancy of the Romanian toponymy in the 15th-19th centuries, as we have shown above, associated with the other information and sources, leads to the conclusion that the Romanian society in Dobrogea experienced great stability during Ottoman domination. The villages inhabited by the Romanians, situated in the more secure places along the Danube, have kept their population compared to the ones in the East and South-east, where most of the Muslim inhabitants left the province without ever returning.

About these settlements, their ethnic structure, the number of inhabitants, traditions, occupations, etc., we have a large volume of data from impartial witnesses brought to Dobrogea by the most diverse circumstances and military campaigns, scientific investigations, technical and construction works executed by Western specialists, prospects of resources, economic and demographic censuses. (Platon. 1968: 211)

## **5. Conclusions**

In conclusion, the research of the historical sources and the field of investigations, make us appreciate that a great continuity and a stability of life in the historical home of the Romanian settlements in the 15<sup>th</sup> – 19<sup>th</sup> centuries was recorded in Dobrogea.

Occasional or ordered data capture either limited realities in space or across the province, but the Romanians are always reported everywhere, from Tulcea to Constanta and Silistra. Therefore, the data obtained from the most different sources and researches enable us to conclude, without a doubt, that the Romanian habitat in Dobrogea between the 15<sup>th</sup> and the 19<sup>th</sup> centuries saw a great continuity and stability, while the Romanians made up the majority population.

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## Rasgos de la Nueva Novela Histórica en *El Arpa y la Sombra*

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### **Resumen**

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*El Arpa y la Sombra es una obra en la que se hallan todos los rasgos de la Nueva Novela Histórica, según el estudio de Seymour Menton. Lo que diferencia a esta novela de las demás novelas de Alejo Carpentier es el protagonista que es una figura histórica fundamental, Cristóbal Colón. La intertextualidad, la parodia, la ficcionalización de personajes históricos son solo una parte de las características de la Nueva Novela Histórica que se hallan en El Arpa y la Sombra.*

### **Palabras clave:**

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*Nueva Novela Histórica, intertextualidad, parodia, distorsión de la historia.*

La novela histórica es una categoría que abarca aquellas novelas que ubican su acción con predominio en el pasado, en un pasado no experimentado directamente por el autor. Según Anderson Imbert “llamamos <novelas históricas> a las que cuentan una acción ocurrida en una época anterior a la del novelista” (Anderson Imbert, 1979).

También conviene establecer la diferencia entre la novela histórica tradicional (1826 - 1949) y la Nueva Novela Histórica. La novela histórica tradicional se remonta al siglo XIX y se identifica principalmente con el romanticismo, aunque evolucionó en el siglo XX dentro de la estética del modernismo, del criollismo y aun dentro del existencialismo en la obra sui generis de Antonio di Benedetto, *Zama* (1956). La novela histórica romántica en la América Latina, inspirada no sólo por Walter Scott sino también por las crónicas coloniales y en algunos casos por el teatro del Siglo de Oro, comienza con *Jicoténcal* (1826), de autor anónimo, la historia del “Encuentro de los dos mundos” en que se exalta a los tlaxcaltecas y se denuncia a los españoles. Aunque la novela romántica fue reemplazada en Europa y en América Latina por las novelas realistas, la novela histórica romántica siguió cultivándose hasta finales del siglo e incluso en la primera década del siglo XX.

La finalidad de los novelistas (autores de novelas históricas románticas) era aportar su contribución a la formación de una conciencia nacional a través de la presentación a los lectores de los personajes y sucesos del pasado y también sostener a los liberales contra los conservadores que querían el mismo tipo de instituciones que las que había en el período colonial. La novela histórica debe contener lo que no encontramos en la historia, es decir la descripción de las causas,

la exploración de los misterios del corazón humano, cuyos movimientos son descuidados por los históricos. Los personajes de una novela deben ser más razonables que los personajes históricos, ya que los primeros deben ser aprobados por el lector. En la novela histórica no se trata de volver a contar los grandes eventos históricos, sino de reanimar mediante medios literarios a los hombres que participaron a estos eventos. Tiene que hacer al lector que reviva los motivos sociales y humanos que determinaron a esos hombres a pensar, a sentir y a actuar tal y como lo hicieron en la realidad histórica. En la novela histórica se pide que la existencia, la exactitud de las circunstancias y de los personajes históricos sean demostradas a través de medios literarios, es decir, mediante la relación entre los eventos históricos y los personajes que actúan, la correlación entre la espontaneidad llena de vida de las masas y la conciencia histórica máxima, posible en el momento respectivo, de las personalidades líderes (los verdaderos líderes políticos sienten el cambio del estado de espíritu del pueblo inmediatamente, desde las primeras señales) (Lukács 1978: 189).

Para la novela histórica el problema propiamente dicho del género independiente aparece siempre únicamente cuando, por un motivo cualquiera, falta la relación justa y adecuada con el exacto conocimiento del presente, cuando este conocimiento todavía no o ya no existe. Lukács se pregunta cómo es posible que se hable de la novela histórica como género propio ya que ningún problema de este tipo de novela no puede ser tratado aisladamente sin desnaturalizar la continuidad histórica y social de la evolución literaria. El hecho que la teoría de los géneros enunciada por la estética burguesa de más tarde divide la novela en diversos „subgéneros”, como la novela de aventuras, la novela policíaca, la novela psicológica, la novela histórica etc. no constituye una confirmación científica.

En la constitución de la novela histórica como género o subgénero propio se escondía un contenido social emparentado: la separación del presente del pasado, la oposición abstracta del presente y del pasado. Por supuesto, intenciones de este tipo no tienen ningún papel decisivo en la aparición de nuevos géneros. Cada género es una reflexión específica de la realidad, los géneros pueden nacer sólo cuando aparecen hechos generales típicos de vida, que vuelven a aparecer en función de leyes objetivas, cuyo carácter específico bajo el aspecto del contenido y de la forma no se puede reflejar adecuadamente en las formas existentes hasta entonces. El análisis de la actividad de los grandes realistas muestra que en sus novelas históricas no aparece ni un solo problema esencial de construcción, de caracterización que falte en sus otras novelas, o al revés. Los grandes principios son necesariamente los mismos por todas partes. Y ellos resultan de la misma finalidad: la configuración en forma de narración de la totalidad de unas correlaciones sociales de vida, sea del presente, sea del pasado. Ni siquiera los problemas de contenido aparentemente específicos de la novela histórica, como por ejemplo la configuración en Walter Scott de los restos de la sociedad gentilicia, no constituyen el objeto exclusivo de esta novela.



La novela histórica clásica resultó de la novela social y, enriqueciéndola, elevándola a una etapa superior, pasó a ella. Al contrario, la novela histórica más nueva nació de las debilidades de la novela moderna y en consecuencia, gracias a su constitución en un “género propio”, reproduce estas debilidades en una fase superior. La peculiaridad de la novela histórica de este período consiste en que en esta novela la corrección de las intenciones erróneas de los escritores se realiza mucho más difícil a través de la vida misma que en la novela cuyo material es tomado de la actualidad, que, por lo tanto, en la novela histórica las teorías erróneas, los prejuicios literarios de los autores no pueden ser de ninguna manera o difícilmente corregidos mediante la riqueza del material consistiendo en las vivencias de la temática de actualidad.

La novela histórica moderna contiene necesariamente y en una medida aumentada todas las debilidades del período de decadencia general (el refugio de la vida miserable del presente en la brillantez fastuosa de unas épocas pasadas tienen obligatoriamente como consecuencia el crecimiento de las tendencias subjetivistas deformadoras, refugio que procede de un odio fuerte hacia la actualidad burguesa); le faltan aquellos importantes rasgos del realismo, que resultaron de la lucha llevada por los escritores importantes del tiempo en contra de la vida actual. En este sentido y solamente en este sentido, según Lukács, se podría hablar de una novela histórica como de un género diferente. En fragmentos de un cuadro histórico decadente-reaccionario o en otros cuadros similares del período imperialista se podría ver que en ellas existe de una forma concentrada, exagerada, caricatural todos los lados débiles del naturalismo, del simbolismo etc. Estas exageraciones caricaturescas pueden constituir un género tan poco como el deslizamiento del desprendimiento del presente de muchas novelas históricas en exotismo puro, y a través de esto en la categoría de la mala lectura de entretenimiento, se puede constituir un género muchísimo menos ya que más allá de todos estos rasgos decadentes o degenerados en forma mediocre se pueden vislumbrar siempre y en todas partes las características decadentes generales de la época. La amplificación puramente cuantitativa de unas tendencias falsas no puede constituir de ninguna manera un género propio.

A las novelas históricas románticas se les oponen las novelas con influencia del modernismo (1882-1915) que no estaban interesadas ni en ayudar a la creación de una conciencia nacional ni en apoyar a los liberales. Durante 1915–1945 cuando predomina el período criollista, la búsqueda de la identidad nacional vuelve a ser una preocupación importante, pero se centra en los problemas contemporáneos; por lo tanto, el número de novelas históricas es muy reducido.

La primera verdadera Nueva Novela Histórica es *El reino de este mundo* de Alejo Carpentier. Desde la presentación de esta novela podemos extraer algunas características de la Nueva Novela Histórica: la mayoría de los protagonistas son históricos, de categoría relativamente mediana; existe un protagonista histórico importante; la historia se distorsiona por la ausencia de ciertas personalidades importantes. El carácter cíclico de la historia presente en la estructura de dos cuentos largos “Semejante a la noche” y “El camino de Santiago” como también

las características de *El reino de este mundo* le conceden a Carpentier el papel de iniciador de la Nueva Novela Histórica de la América Latina. Este papel vuelve a confirmarse con la publicación de otras dos Nuevas Novelas Históricas: *El siglo de las luces* y *Concierto barroco*. No obstante, *El arpa y la sombra* es la primera y la única de todas las novelas de Carpentier en que el protagonista indiscutible es un renombrado personaje histórico: Cristóbal Colón. Cada parte de la novela representa un acercamiento de la Nueva Novela Histórica: una re-creación mimética y realista de dos cronotopos, la narración en primera persona de un renombrado personaje histórico, una presentación carnavalesca.

La Nueva Novela Histórica se distingue de la novela histórica anterior por seis rasgos (rasgos que no es necesario que se encuentren en cada novela):

- La subordinación, en distintos grados, de la reproducción mimética de cierto período histórico a la presentación de algunas ideas filosóficas aplicables a todos los períodos del pasado, del presente y del futuro;
- La distorsión consciente de la historia mediante omisiones, exageraciones y anacronismos;
- La ficcionalización de personajes históricos a diferencia de la fórmula de Walter Scott –aprobada por Lukács- de protagonistas ficticios;
- La metaficción o los comentarios del narrador sobre el proceso de creación;
- La intertextualidad;
- Los conceptos bajtinianos de lo dialógico, lo carnavalesco, la parodia y la heteroglosia.

Además de estos seis rasgos, la Nueva Novela Histórica se distingue de la novela histórica tradicional por su mayor variedad: novelas con alto nivel de historicidad frente a novelas seudohistóricas o totalmente apócrifas; la alternación entre dos períodos cronológicos bastante separados frente a la concentración en un solo período histórico muy específico.

*El arpa y la sombra*, como la mayoría de las novelas de Alejo Carpentier (1940-1980), es una novela histórica, publicada un año después de la muerte del autor. La novela trata sobre la petición de declararlo santo a Cristóbal Colón, esto gracias al deseo de los Papas Pío IX y León XVIII, en dos épocas diferentes. Aunque más de 600 obispos firmaron la petición, sin embargo, esta solicitud siempre fue rechazada. (Vargas Montero 1997). La novela está dividida en tres capítulos. El primero, *El arpa*, protagonizado por el papa Pío IX, nos presenta las razones que le movieron a abrir el expediente de la beatificación de Cristóbal Colón, acudiendo al mismo tiempo al período cuando el presente papa era simplemente “el oscuro canónigo Mastai”:

No. Lo ideal, lo perfecto, para compactar la fe cristiana en el viejo y nuevo mundo, hallándose en ello un antídoto contra las venenosas ideas filosóficas que demasiados adeptos tenían en América, sería un santo de ecuménico culto, un santo de renombre ilimitado, un santo de una envergadura planetaria,

incontrovertible, tan enorme que, mucho más gigante que el legendario Coloso de Rodas, tuviese un pie asentado en esta orilla del Continente y el otro en los finisterres europeos, abarcando con la mirada, por sobre el Atlántico, la extensión de ambos hemisferios. Un San Cristóbal, Christophoros, Porteador de Cristo, conocido por todos, admirado por los pueblos, universal en sus obras, universal en sus prestigios. Y, de repente, como alumbrado por una iluminación interior, pensó Mastai en el Gran Almirante de Fernando e Isabel. (Carpentier 2002: 248)

Este primer capítulo está basado en la relación pasado-presente-futuro, todo lo contado representa de hecho el recuerdo del papa Pío IX y la manera en la que este recuerdo influye en las decisiones presentes o futuras: "...respondía el futuro inspirador del Syllabus que, por su grande habilidad en manejarse con el pensamiento adverso, ascendería al pontificado con la reputación de hombre sumamente liberal y amigo del progreso." (Carpentier 2002: 243)

El autor le deja al lector a veces la impresión de estar al mismo tiempo en épocas distintas; en una misma frase el pasado se transforma en presente: "Sí. Aquella noche memorable, se cubrió el rostro con las manos, pero esas manos eran las mismas que ahora vacilaban entre el tintero y una pluma, manos estas que eran hoy las de Su Santidad el Papa Pío Nono." (Carpentier 2002: 249). En toda la novela y también en esta primera parte aparecen referencias a figuras muy conocidas de la literatura, a Voltaire, Rousseau, Dante, a la novela picaresca (con su famoso protagonista, el hambre).

Un lugar destacado en este primer capítulo lo representa también la descripción del paisaje de América, la misma descripción exagerada que aparece en los escritos de Colón y el asombro ante algo desconocido hasta entonces aparece también en la descripción de Mastai:

El paisaje era de una agobiante monotonía, pero acababa por imponerse a su atención por una razón de escalas. Creía saber lo que era una llanura, pero la visión de la pampa infinita donde, por más que se anduviese, se estaba siempre al centro de un redondo horizonte de tierra monocorde; ... la pampa ... que situaba al Hombre ante una presente figuración de lo Ilimitado... (Carpentier 2002: 238)

Se describen también las ciudades Montevideo, Buenos Aires y Santiago de Chile; la descripción parece ser un cuadro pintado con exactitud y respeto para lo pormenores.

El segundo capítulo, *La mano*, está contado por Colón en primera persona y trata de la historia del descubrimiento. Lo que resalta en este capítulo es la utilización de un lenguaje actual y coloquial con una historia de hace más de quinientos años. Alejo Carpentier pone en boca de personajes como la Reina Isabel o Cristóbal Colón palabras que ayudan a relacionar el pasado con el presente pero al mismo tiempo pone en una situación de ridículo a figuras importantes de la historia de España: "más brutos e ignorantes que las putas madres que los parió" (Carpentier 2002: 280), "estoy jodido" (Carpentier 2002: 300), "pues esos ingleses

de mierda nada saben de cosas marinas” (Carpentier 2002: 282), “más rico que la madre que lo parió” (Carpentier 2002: 282), “jamás pisé en mi jodida existencia” (Carpentier 2002: 282), “¡y como tarda, coño!” (Carpentier 2002: 296), “por joder a Portugal” (Carpentier 2002: 325).

Los españoles están presentados en una luz desfavorable, como personas que se guían por la riqueza material, que están obsesionados con el oro y en nombre de este metal matan, torturan y maltratan a los indios.: “Y es que, a mi vuelta de una descubierta de islas cercanas, había encontrado a los españoles soliviantados, olvidados de toda autoridad, lanzados a crueles empresas dictadas por la codicia. Estaban todos enfermos del Oro, inficionados del Oro.” (Carpentier 2002: 332) Aparece varias veces la denominación de “españoles de mierda”, de “los españoles, sabios a medias” (Carpentier 2002: 293), “los malditos gallegos y vizcaínos” (Carpentier 2002: 294).

Colón reconoce la codicia que sintió al ver “unos pedazuelos de oro colgados de las narices de unos indios”, “una codicia, jamás conocida, me germinaba en las entrañas” (Carpentier 2002: 303). De hecho, además de codicioso, Carpentier hace de Colón un judío converso (*y que ahora, pasado de circunciso a genovés... genovés de raíces ocultas y abolengo que yo solo me sé*) hijo de tabernero, mentiroso (*pero cuando escribía a Sus Altezas estaba mintiendo una vez más*), pendenciero, mujeriego, visionario y por si todo eso fuera poco, marinero (*oscuro marino, mísero marinero*).

La palabra que más se utiliza a la hora de caracterizar a Colón es “embustero”: *reconozco que hasta ahora fui hartito presuroso –por no decir embustero* (Carpentier 2002: 339); *entonces creeré en muchas cosas que todavía me huelen a embustes de los tuyos* (Carpentier 2002: 326); *me fui volviendo grande e intrépido embustero* (Carpentier 2002: 275); *embustero como siempre* (Carpentier 2002: 325). Viendo que con la verdad no consigue nada, Colón decide convertirse en embustero e intenta convencer a través de mentiras y aprovechándose de los títulos inventados:

me hice estudiante graduado de la Universidad de Pavía, cuyos claustros jamás pisé en mi jodida existencia; me hice amigo – sin haberle visto la cara – del rey Renato de Anjou y piloto distinguido del ilustre Coulon el Mozo. Me fui haciendo gente, y como gente que era, manejaba la intriga con mayor fortuna que antes: mediante chismes, rumores puestos a correr, cosas dichas con quien no dice nada, secretes, discreteos, confidencias hechas bajo promesa y juramento de que no se repetirían a nadie, cartas leídas a medias, fingidos proyectos de pronta ausencia para responder al urgente llamado de otras cortes, hice creer por trasmano, al aragonés y a la castellana – con ayuda de un médico y astrólogo más enredador que Belcebú, a quien tuve la buena suerte de convencer- que, por la tonta incredulidad de unos y la tonta obsecación de otros, estaba en trance de perderse, para este reino, un fabuloso negocio cuyos inmensos réditos habían entrevisto ya otros soberanos mejor aconsejados. (Carpentier 2002: 282)

Otra situación que choca es la relación amorosa entre Colón y la reina Isabel a la cual el Gran Almirante llama Columba. En la novela se afirma que los dos se enamoran y se encuentran a escondidas:

En las noches de su intimidad, Columba –así la llamaba yo cuando estábamos a solas- me prometía tres carabelas, diez carabelas... (Carpentier 2002: 287)

Y, aquella noche, volví a ver a mi dueña en la intimidad de sus estancias privadas, donde conocimos los gozos del reencuentro tras de la larga y azarosa ausencia – y maldito si, durante horas, me acordé de carabelas ni de Indias. (Carpentier 2002: 323)

“Oro” es otra palabra clave que aparece en la novela, el oro que persigue Colón, no para guardárselo sino para justificar el viaje frente a los Reyes Católicos, el oro por el cual los españoles estaban enfermos, el oro, que fue la causa del sufrimiento de los indios torturados por Colón y más tarde por los conquistadores para que los indios dijeran donde se encontraba “la Mina Original, la Áurea Madre, el Gran Yacimiento”.

El protagonista de este segundo capítulo es el mismo Cristóbal Colón al que Carpentier nos presenta como un hombre de luces y sombras que conviven por necesidad. Un Colón que engaña para conseguir sus propósitos, que no son otros que la gloria personal, que deslumbra con visiones de oro y conquistas a los nobles castellanos y que no duda en vender esclavos en Sevilla (ante el espanto de los reyes españoles) para rentabilizar sus viajes. Y que sin embargo, no se nos presenta con tintes sombríos, sino con toda su entera humanidad al descubierto. Desde luego, una figura bien alejada del santo que necesita Pio IX. Y sin embargo, persona al fin y al cabo.

El tercer capítulo, *La sombra*, una asombrosa y cruel burla, trata del juicio de canonización del Gran Almirante, al que éste asiste como espíritu, sin cuerpo e invisible. Alejo Carpentier es un autor irónico por excelencia y en su novela la elaboración de la circunstancia humana ficticia de la comunicación emocional, “la ironía verbal y la ironía de una situación dramática juegan su papel fundamental que se caracteriza por la sutileza del pensamiento” (Ariza González, 2016) que produce en el lector gusto, una delectación, resentimiento o inquietud. Cristóbal Colón (Invisible) presencia los acontecimientos que se llevan a cabo en 1892, en El Vaticano y que persiguen su canonización. A este acto comparecen historiadores, escritores y científicos de diferentes épocas (Fray Bartolomé de las Casas, Julio Verne, Lamartine etc.), para dar su declaración. Al final, la idea de la canonización queda rechazada, pues los testigos en contra son más que los a favor y en la votación recibe sólo un voto positivo. Según Anderson Imbert, “el narrador que ironiza es porque está en conflicto consigo mismo, dividido en sus juicios y quiere expresarse en dos niveles, con dos perspectivas, confiando en que el lector se ha de divertir ante el espectáculo de esa duplicidad” (Anderson Imbert 1979: 118). Si se

nos permite ir más allá, Cristóbal Colón representa la llegada de España a América y por lo tanto el comienzo de la reorganización desde todos los puntos de vista (social, político, religioso). Por un lado tenemos los elementos positivos de la llegada de los españoles al continente americano y por otro lado las partes negativas, así que dos perspectivas. Es de entender la reescritura de la historia desde un enfoque irónico por parte de un escritor de Hispanoamérica que busca la reconstrucción del pasado.

*El Arpa y la Sombra* es una novela histórica y contiene los rasgos que definen a la nueva novela histórica (rasgos presentados por Seymour Menton). Aparece la distorsión consciente de la historia mediante omisiones, exageraciones y anacronismos. La utilización de un lenguaje actual y coloquial por la Reina Isabel o Cristóbal Colón (“estoy jodido”, “¡y como tarda, coño!”, “jamás pisé en mi jodida existencia”) es muestra clara de anacronismo. La ficcionalización de personajes históricos (Cristóbal Colón, la Reina Isabel, el papa Pío IX) es otro rasgo de la nueva novela histórica presente en *El Arpa y la Sombra*.

La intertextualidad es uno de los más importantes rasgos. Carpentier se inspira en los diarios de Colón al describir el paisaje de América en su novela:

Fui sincero cuando escribí que aquella tierra me pareció la más hermosa que ojos humanos hubiesen visto. Era recia, alta, diversa, sólida, como tallada en profundidad, más rica en verdes-verdes, más extensa, de palmeras más arriba, de arroyos más caudalosos, de altos más altos y hondonadas más hondas, que lo visto hasta ahora, en islas que eran para mí, lo confieso, como islas locas, ambulantes, sonámbulas, ajenas a los mapas y nociones que me habían nutrido. Había que describir esa tierra nueva. Pero, al tratar de hacerlo, me hallé ante la perplejidad de quien tiene que nombrar cosas totalmente distintas de todas las conocidas –cosas que deben tener nombres, pues nada que no tenga nombre puede ser imaginado, mas esos nombres me eran ignorados y no era yo un nuevo Adán, escogido por su Criador, para poner nombres a las cosas. Podía inventar palabras, ciertamente; pero la palabra sola no muestra la cosa, si la cosa no es de antes conocida (...). Un retórico, acaso, que manejara el castellano con mayor soltura que yo; un poeta, acaso, usando de símiles y metáforas, hubiesen ido más allá, logrando describir lo que no podía yo describir (Carpentier 2002: 305).

La intertextualidad está presente también en el nombramiento de protagonistas de otras obras literarias de diferentes autores (el licenciado Vidriera, el hambre – protagonista de la novela picaresca) y de ideas pertenecientes a otros períodos (las ideas de la Revolución Francesa).

La parodia viene a completar la lista de los rasgos de la nueva novela histórica presente en *El Arpa y la Sombra*. El tercer capítulo trata el juicio de canonización del Gran Almirante, al que éste asiste como espíritu incorpóreo e invisible. Colón no puede interferir directamente en la discusión, sino que participa dirigiéndose al lector en forma de comentarios imperceptibles al oído, escritos

entre comillas. En los murmullos de Colón encontramos en parte la opinión del propio autor. Los diálogos entre diferentes personas acerca de la canonización de Colón no carecen de ironía –lo cual le da al autor más lugar para críticas dirigidas hacia la historiografía y la iglesia católica.

Teniendo en cuenta lo presentado anteriormente consideramos que queda demostrado que el propósito fundamental de la nueva narrativa histórica consiste en ofrecer una relectura crítica del pasado, en función del distinto tipo de fuentes, documentos y registros, de género historiográfico o literario, y se consigue una reconstrucción que supone tanto el conocimiento de los acontecimientos como también su distorsión, “es decir, una “versión” de los hechos históricos, que si bien manipula conscientemente algunos de ellos, recrea los esenciales tanto en el aspecto cronológico como geográfico” (Hernández 2010).

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## A Matrix Theory of Cinematic Analysis Domains

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### **Abstract**

*Cognitive approaches to cinema comprise several proposals concerning the segmentation of the understanding of the flux of audiovisual stimuli in several conceptual domains. In this paper, we would like to develop a proposal for a cinematographic analysis inspired by the conceptual framework of cognitive linguistic approaches and neurosciences studies. The viewer / film critic can identify and delineate patterns describable as neurological processes or as phenomenological instantiations manifested in various conceptualization domains that can be isolated from other domains. The conceptualizations are determined by top-down schemas in various semantic domains, and by bottom-up cues on screen of semantic purport. The cinematic expressive structures that are formed with the help of cues allow the spectator to recognize and correct conceptual patterns within alternative conceptual domains. Cinematic expressions – diegetic mise-en-scene, frame composition, shot structure, and editing and stylistic patterns– are instantiations of construal, alternative manners of representing aspects of conceptual content.*

*To the extent that a set of cues is predominately biased towards one domain or another, the viewer will categorize the conceptual content into one or more domains. The claim is that domains are like attractors that warp in a dynamic manner conceptual content towards a domain or another, and, as a consequence will warp and modulate other domains. Cues are not static clues, but represent procedural algorithms that the viewer puts into action in order to gain access to conceptual content. The domains analyzed are the prefigurative, the figurative, the diegetic, the symbolic, the narrative, the conceptualizer, the affective, and the discursive. Describing various bounded conceptual regions of conceptual content sustained by cinematic experience is a description of the brains' projection of an interior living film staged in a "Cartesian theatre" devoid of a secondary conscious homunculus.*

### **Keywords**

*neuroscience, cognition, film theory, film analysis.*

### **An overview of proposals for cinematic conceptual domains**

Cognitive approaches to cinema comprise several proposals concerning the dividing of the flow of audiovisual stimuli in several conceptual domains. The description and analysis of the audiovisual discourse invariably touches on some of those domains. Let us mention some of the recent approaches:

1. The Danish theoretician, Torben Grodal (1997: 57; 279), distinguishes between several neural processes that the cinemagoer undergoes, e.g. **intense** experience (the viewer's focus is oriented towards *perceptual non-figurative processes*), **saturated** experience (the focus is aimed at a *figurative associative*



network), **telic** experience (the viewer's focus is on *mental or motor acts that are goal oriented*), and **emotional** experience (the focus is on *autonomic-rhythmic processes*)

2. For Roger Odin (2000) the viewer carries out a series of operations in the meaning-generating processes, e.g. **figurativization** (pattern recognition), **diegetization** (the elaboration of a possible world and characters that can habit it), **narrativization** (recognizing a narrative sequence), **fictionalization** (the fictionalization of the sender and the receiver of the message), **synchronization of phase** (implies affective tuning) and **discursivization** (the conveying of values through the medium of cinema).<sup>1</sup>

3. For Jens Eder (2010: 16) the character can be engaged at the level of **artifact** (the aesthetic mode), as **fictional** entity (the diegetic mode), as **symbol** (the thematic mode), and as **symptom** (the affective and / or pragmatic mode).

4. For Uri Margolin (2010: 400) discourse and character can be presented as **aesthetic**, **semantic** and **pragmatic** constructs. The semantic domain encompasses: 1/ characters as semantic object (*de sensu*) - lexical level; 2/ as objects of thought (*de dicto*) – propositional level; 3/ as entities in alternative worlds (*de re*) – the level of world building and grounding in the depicted world; 4/ as fictional entities in the viewer's world (*de se*) – perlocutionary level. The pragmatic dimension encloses the communicative context of the character's creation and the way the spectator perceives and makes use of it.

5. Arthur P. Shimamura (2012: 3) describes four traditional approaches to art: **mimetic** (art is „a window to the world”), **expressionist** (art is a transmitter and a trigger of feelings), **formalist** (focusing on the sensory experience) and **conceptual** („it is thoughts that matter”).

6. For David Bordwell (2005: 34), the cinematic style fulfills 4 functions: **denotative**, **expressive** (emotional states), **symbolic** and **decorative**. We can translate this classification by using the terms described here: denotative = diegetic; expressive = affective; symbolic = the symbolic and discursive construct and decorative = figurative and prefigurative.

7. For Laurent Jullier (2015: 14), the presence of audiovisual stimuli triggers three types of relevant cognitive responses.

- **Case A:** We see “via the image” an object of a fiction lying within the conditional mood (representation).



- **Case B:** We see a type (a man wearing sunglasses) or a token (Marlon Brando), that is to say the models used in the production of the traces inscribed in the image. Although this operation takes place in our world, it is in the past tense and in a space other than that where I, the spectator, find myself - it is then-and-there (illustration / description).

- **Case C:** What I see, here and now, is a material device (perception) (Fig. 1).

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<sup>1</sup> For a more comprehensive presentation of Odin's theory see Deaca (2013).

A/ Representation	B/ Illustration	C/ The image-being
Fiction	Trace	Material
Diegetic referent	Model	Surface
Somewhere	There	Here
The Conditional Mood	The Past	The Present

In a subsequent article (2016), Jullier proposes several cognitive interactions with cinematic audiovisual stimuli: 1/ *understanding* of a diegetic situation and of the mental state of a fictional character, 2/ *description* of a schematic story / situation instantiated, 3/ *analysis* of the expressive component, 4/ *interpretation* of symbolic content, 5/ personal *experience* of film comprehension, 6/ appraisal or *appreciation* of the film-object and 7/ personal *use* of the film experience (perlocutionary effect). In the case of film viewing between the viewer and the cinematic stimuli an interaction is engaged. The viewer, based on his own concerns, will tend use cues idiosyncratically in order to construct conceptualizations and, in contrast, cinematic stimuli are designed such as they will engage automatic neural cognitive processes that sustain the scaffolding of determinate or constrained meaning constructions.

The aim of this article is to propose an articulation of a cinematic analysis on eight conceptual domains connected in a relationship of dynamic associations but which can be nevertheless isolated as autonomous realms of conceptualization for analytic purposes<sup>2</sup>.

## 2. Introductory Concepts

### 2.1 Introduction

This preamble will consider some of Ronald W. Langacker's theoretical statements; then it will put forward a model for a cinematographic analysis inspired by the conceptual framework of cognitive linguistics approaches<sup>3</sup>. In short, according to Langacker's cognitive linguistics, language use is an act which processes information organized as patterns of neural activity. Language is defined as a structural inventory of conventional **linguistic units**. One linguistic unit represents a pattern of processing activity which can be mastered more or less automatically by a human user ("a cognitive routine"). These units interrelate through overlapping, inclusion, symbolization, categorization and integration into larger units. The units are derived from **usage events**, i.e. actual instances of language use. Units are sanctioned – i.e. make manifest inherent schemas - by schemas that outline conceptual content in an abstract manner. Users do not access these schemas consciously during speech production and reception. A structure gains the status of unit by entrenchment, which is the process of gradual conventionalization; i.e. how familiar and repetitive is a structure in a community

<sup>2</sup> The article is a rewriting of the chapter on the same topic in Deaca (2015: 283)

<sup>3</sup> See also a concise introduction to concepts presented here in Langacker (2001, Discourse in Cognitive Grammar, 143-188; 2008; 2009).

of speakers. Therefore, structures can be ordered on a scale that starts from the patterns established as conventional units to spontaneous, new conceptualizations and new pairing or expressions and semantic content (Langacker 2007: 424-425). The usage events are formed through the pairing of a conceptualization, including the decoding of context, with an elaborate expression encompassing the phonetic, gestural and, relevant to the topic at hand, the visual support. Expressive support is also a conceptualization. In the case of visual discourse, the expression consists of the on-screen visual stimuli, which are structured as visual cues necessary in the formation of conceptualizations. **Cues** represent gestalts needed for the processing of information in conceptual domains, i.e. structures of meaning. These cues are the result of top-down and bottom-up perceptual processes and represent procedural guidance algorithms that instantiate as cognitive processes. In short cues are procedural gestalts in semantic domains under construal. The present paper will identify and discuss the relevant domains for film study.

Linguistic meaning is a manifestation of conceptual structure (Evans 2006: 156). Cognitive semantics acknowledge that the nature of conceptual organization is determined by bodily experience (the embodiment thesis). Language refers to the concepts in the mind of the speaker rather than to the objects in the external world. Thus, meaning associated with linguistic units can be equated with **concepts**. Grammatical categories or structures are conceptual in nature and grammatical elements lie within the purview of semantic analysis (2006: 159). Semantic structures are encyclopaedic in nature. Words “serve as ‘points of access’ to vast repositories of knowledge about a particular concept or conceptual domain” (Langacker 1987).” (2006: 160).

## ***2.2 The Conceptualization***

Language is about meaning which resides in conceptualization. Conceptualization being both embodied and contextually embedded is a primary means of engaging both the real and constructed worlds and it subsumes any kind of mental experience (sensory, motor, emotive, intellectual) as well as apprehension of the context in all its dimensions (physical, psychological, social, cultural, discourse).

**Conceptualization** can also contain an encyclopaedic conceptual substrate, i.e. a body of knowledge. It subsumes “(i) the conceptions evoked or created through the previous discourse; (ii) engagement in the speech event itself, as part of the interlocutors’ social interaction; (iii) apprehension of the physical, social, and cultural context; and (iv) any domains of knowledge that might prove relevant” (Langacker 2008: 42). Conceptualization is a “dynamic process whereby linguistic units serve as prompts for an array of conceptual operations and the recruitment of background knowledge” (Evans 2006: 162). Conceptualization is included in the current discursive space and is manifested by means of various **channels** (from the expressive ones to the conceptual ones, the conception of the situation depicted) (Langacker 2008: 461 sq) (see fig 17.2 Langacker 2007: 427) (Fig. 2).

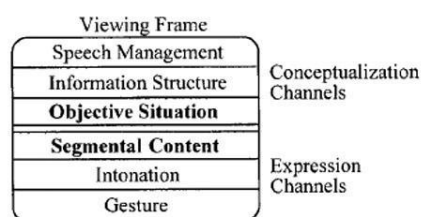


Figure 17.2. Channels

Fig. 2

The two sides of a usage event are conceptualization and expression, i.e. the semantic pole and the phonological pole. Sounds and meanings are apprehended directly and carry an intrinsic content tied to a **domain of experience**. The sounds of speech represent a particular class of auditory phenomena and the linguistic meanings are particular classes of conceptualizations (Langacker 2008: 25).

Conceptualization is manifested at the semantic level and subsumes both expressive sectors and channels taken as aspects of conceptualization (2007: 427; see also Langacker 1987a: 2.2.1). Conceptualization is “the occurrence of neural activity” which can be understood either phenomenological or as processing. It covers a vast range of mental activities such as “(1) both new and stable expressions; (2) not just “intellectual” notions, but also sensitive, motor and emotional experiences; (3) the apprehension of the physical, linguistic, social and cultural contexts; and (4) concepts which develop and unfold during processing (rather than within a simultaneous manifestation)” (Langacker 2008:30).

Meaning is identified as **conceptualization**, or in other words, as “any kind of mental experience” (431): new and old conceptions; not only abstract concepts upholding intellectual ideas, but those experiences which are “immediately sensitive, motor, kinesthetic or emotional” as well; concepts that are not instantaneous, but which change or unfold during processing and the general outline of the physical, linguistic, social and cultural context (Langacker 2007: 431). Conceptualization by itself is not the object of contemplation, as it is always the conceptualization of something, be it either an aspect of the natural / real world experience or a fictional world anchored within the experience of the real world. Conceptualization is a form of engaging the world, our way of interacting with the world (431). An expression instantiates a particular form of accessing a body of knowledge, i.e. a **conceptual domain**. Also a conceptualization of the content or expression channel is subject to categorization and schematization. Conceptualizations differ on the axis of specificity and symbolic complexity. Some symbolic units are conventional, i.e. are learned as conventional units, as routinized “packets” of processing activity (Langacker 2007: 428). New conceptualizations and conventional ones manifested at the levels of channels and sectors instantiate schematic units, i.e. superordinate concepts which specify “the basic outline common to several, or many, more specific concepts”, a core commonality (Tuggy

2007: 83). The specific concepts are called *elaborations* or *instantiations*. In short “any kind of mental experience” can be described as differing at the level of schematization, specificity and complexity of the information provided. In film, conceptualization channel and expressive channel are conceptualizations structured by cues. The channels of conceptualization instantiate schematic concepts but the linkage between the content channels and the expressive channels is not conventional and fixed as symbolic units, i.e. are not learned as conventional units. Put it differently the content and the expressive aspect of a usage event can be separately sanctioned by units and schemas but their connection is not conventionalized as two facets of abstracted linguistic units as in the case of pictograms. A filmic expression manifested in a visual perceptual channel is a configuration of cues that are used to structure a conceptualization, i.e. a conceptual domain. An **expression** is a conceptualization in a conceptual domain.

### ***2.3 Image Schemas and Conceptual Archetypes***

Meaning can be characterized in relation to the basic **conceptual archetypes** (gestalts which represent salient aspects of fundamental everyday experiences: the physical object, the moving physical object, the human face, the human body, the physical container, the part and the whole, seeing something, holding something, giving something, exerting force to effect a desired change, speaking, having a face-to-face encounter) (Langacker 2007: 433). Archetypes are also generated by basic cognitive abilities: “our capacity for **grouping**, for **reification**, for **apprehending relationships**, and for **tracking relationships** through time” (104; 107).

As Croft (2004) briefly defines them, image schemas are schematic versions of images. Images are representations of specific, embodied experiences and derive their substance from sensory-perceptual experiences. Domains that give rise to images are described as embodied. Image schemas represent schematic patterns arising from imagistic domains. Image schemas are also not specific to a particular sensory modality; they structure both our bodily and non-bodily experience, the latter accomplished via metaphor. This definition clarifies the seemingly contradictory description of image schemas: “image schemas are ‘abstract’ in one sense of that word – they are schematic – but not ‘abstract’ in another sense of that word – they are embodied” (Croft 2004: 44; see also Bergen 2012; Evans 2006: 178). Image schemas are analogue multimodal representations deriving from experience, i.e. they “mirror the sensory experience being represented” as “summaries of perceptual states which are recorded in memory” (Evans 2006: 184). As they are consciously accessible, they are conceptual in nature rather than purely perceptual. In visual discourse conceptual channels and expressive ones are structured by image schemas.

## 2.4 Semantic Domains

Any conceptualization or knowledge configuration of an expression – no matter how simple or complex – can be used as a **cognitive domain**. Some domains of experience are fundamental, such as time, space and the domains associated with the senses, e. g. the color space. We may also deem as essential the domains of experience which cannot be reduced to a more basic form. A **fundamental domain** does not represent a concept; it brings forth the experience potential so that a conceptualization can arise. Minimalist concepts which exploit this potential are the angle, the degree of curvature, the focal colors and the temporal precedence (Langacker 2007: 434; Evans 2006: 230; Croft & Cruse 2004: 7; Tuggy 2007: 104). From these elements, other, more elaborate concepts could be constructed, without an evident upper limit in terms of complexity.

Other, more conceptual domains are called **non-fundamental domains**. A non-fundamental domain is “a concept or a conceptual composite of any size at any level of conceptual organization”. These domains make up the conceptual matrix. Thus *red* recalls the fundamental domain of chromatic space and *the arm*, the archetypal image of the human body. The domain for a term such as *the rook* (in chess) is made up of an elaborated body of knowledge on chess rules and strategies (434). An entity to which a conceptual reference is made - the expression profile - manifests in those domains which are not separated but rather overlap.<sup>4</sup> A linguistic expression evokes a set of fundamental and non-fundamental domains as the basis for its meaning. This stands for its conceptual matrix. A domain representing any level of structure or degree of complexity can be part of an expression’s matrix and is essential for its semantic description. A matrix’ domains are sides of the encyclopedic knowledge on the entity in question. The entity (the expression profile) manifests in all overlapping domains.

## 2.5 Bounding and Profiling

An expression has a **scope** of coverage in a conceptual domain, i.e. “which portions of these domains it actually evokes and utilizes as the basis for its meaning” (Langacker 2008: 62). This scope – under construal – imposes a boundary, separating a region in that domain. Experientially our visual apparatus, for example, has a restricted “viewing frame” – the visual field – delimiting what we can visually encompass when “looking out” at the world. Scope is “only so much that we can mentally encompass at any one moment” (2008: 62). A scope is always bounded.

Also “an expression’s **profile** stands out as the specific **focus** of attention within its immediate scope. The profile can also be characterized as what the expression is conceived as designating or referring to within its base (its conceptual

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<sup>4</sup> About (non)fundamental domains see Langacker 2008: 44-47, image schemas (Langacker 2008: 32-35; Evans 2006: 42-46, 234, 184-186; Coulson 2000: 182) and conceptual archetypes (Langacker 2008: 34, 355-357; Langacker 2009: 130,148). For an overview see Deaca (2013)

referent)” (66). An expression’s profile is its referent just in the context of its conceptual base - it is the substructure singled out as focus of attention in contrast to other facets of this same conception -, and is described as “conceptual” reference (or “reference within a conception”) (269). Nevertheless an entity’s **active zone**, with respect to a profiled relationship, is a facet of it which most directly and crucially participates in that relationship (Langacker 2008: 331).

An expression can profile either a **thing** or a **relationship** (2008: 67). At a schematic level of conceptual organization a thing is a set of interconnected entities which function as a single entity (107). A thing is bounded when there is some limit to the set of constitutive entities (152). It is a product of grouping and reification, and therefore represents a bounded entity that is otherwise homogeneous, whether the “substance” it comprises is physical or more abstract (like a sound, time, or the absence of something) (105; 136; 141). The thing profiled by an expression is bounded within the immediate scope in the domain of instantiation (145).

On the other hand **events** - relationships unfolding in time - are also conceived as “occurring in bounded episodes” (148). For verbs the archetype implies the conception of participants interacting energetically in a “force-dynamic” event (103), a canonical event model (357).<sup>5</sup> Therefore “the schema for verbs presupposes two fundamental cognitive abilities: the capacity for apprehending relationships and for tracking relationships through time” (108).

One useful distinction drawn by Langacker highlights the difference between type and instance. “A noun names a **type** of thing and specifies the properties an entity must have to qualify as an **instance** of this type. Usually this **type specification** invokes a number of cognitive domains, collectively referred to as its matrix (§2.2.2). Within the matrix, a particular domain stands out as the one where instances of the type are primarily thought of as residing. It can thus be called the **domain of instantiation**. Conceptually, what distinguishes an instance from a type is that an instance is specifically thought of as occupying a particular location in this domain. Instances of the same type are distinguished from one another by virtue of “occupying different locations” (134).

The proposal, then, is that an **instance** (as opposed to a type) is thought of as having a **particular location in the domain of instantiation** (268). Instantiation is a mental operation, and for linguistic purposes instances are **conceived** instances, which may or may not represent actual objects or events. (268) Linguistic meanings do not just mirror the situations described, but emerge through an interactive process of construing and portraying them for communicative and expressive purposes (269).

## 2.6 The Construal

The accessed domains compose the conceptual content of an expression. The meaning is not, however, exhausted by this evocation, but rather implies the way in which the content is constructed. The **construal** represents our capacity to

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<sup>5</sup> For a force dynamics semantics see Talmy (2000a; 2000b).

conceive and portray the same situation in various manners (Langacker 2007: 435; Evans 2006: 536; Ungerer 2006: 163; Croft 2004: 40). Attention is differentially focused on a particular aspect of a scene by focal adjustments or imaging systems (Talmy 2000a; 2000b; 2007).

The construal operations represent the conceptualization of the structure's entities in a scene / situation. These operations represent "the most basic level of constituting experience and giving it structure or a gestalt" (Croft 2004: 63). For Croft many of the principles of Gestalt psychology such as "proximity, bounding and good continuation are analyses of how human minds construe a single complex object from seemingly fragmented perceptual sensations" (63). A property such as boundedness is not simply a spatial or material property, but also a matter of construal (64). Even the constitution of linguistic classes as nouns and verbs is a product of construal operations (67).

In film, cinematographic frame / shot design represent a construal. Cinematographic construal is achieved through camera work, i.e. framing (active zone of a profile), focus, the result of anamorphic lenses and depth of field (scalar adjustment obtained through granularity management and reference point in a dominion), camera position and angle of view (vantage point), distance to object and focal length (scope of conceptualization). For Carroll (2008) the cinematographic shots included in the edited sequence of juxtaposed shots communicate through attention management, through its focus on the object, acuity and the rhythm of image succession (Carroll 2008: 119 sq; Carroll & Seeley 2013: 62).<sup>6</sup> *The size and length of a shot* warns us about the significance of the relevant object within the narrative or argumentative configuration of the entirety (Carroll 2008: 123). **The variable framing** is the guiding tool for cognitive activity (Carroll 2008: 124 sq; Carroll 1996: 85 sq; Carroll 2014: 238). More precisely, the guiding of attention is achieved through the *indexing* process (the indexing or continuous movement of the camera or through the montage cut accomplished by means of an object that changes the position of the camera in order to produce the shift of attention towards something of interest), though *bracketing* (by fixing within brackets what is relevant and leaving outside the frame whatever is not) and through *scaling* (by changing the size of an object). These functions are implemented through editing (by jumping from one camera position to another), camera movement (panning or tracking from one point to another) and focalization movement (zoom in or zoom out). The filmic image is a **moving pictorial representation** while the film gains the ability to catch the spectator's attention by means of its narrative (Carroll 1996: 81; Carroll 2014: 240).

Some other perceptual features of cinematographic stimuli to be classified under the rubric of construal operations are the different patterns of editing constructions, point of view shots, the relationship between the position of the camera and the object viewed (focal distance and depth of field), the degree of iconicity, mise-en-scene features like light and underscoring shadows, camera

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<sup>6</sup> "the moving picture maker articulates her own intentions to the audience by guiding our attention" (Carroll 2008: 122).



movement or object movement (see Jullier 2015). Enunciation markers classified by Christian Metz (1991) are equally belonging to the construal operations which pertain to the grounding system (Langacker 2008: 272). As Langacker states Cognitive Grammar is, in principle, a theory of *énonciation*” (Langacker 2007: 450; see Culioli 1990, 1995).

An important aspect of the construal is due to the way in which the spectator is conditioned to adopt a certain narrative attitude towards what is showed on screen. In an unconscious manner, the perceived stimuli may produce the tendency to act, have specific purposes and find themselves constantly under certain evaluation mechanism (Plantinga 2009: 51-2; Dehaene 2014: 101, 144). Barsalou analyses the filtering role of current purposes and tasks which the human subject may experience during the processing of situational conceptualizations (Barsalou 2004). The narrative roles serve this function of preformatting expectations and of orienting attentional processes. Those spectators who are interested in the narrative’s denouement possess, as attentional and emotional filter, the interest in the search for those clues which can assist their purpose - which structures the perception of pertinent elements in a represented scene (see Plantinga 2009: 52; Bordwell 1985 and 2013 for the guiding of attention and Carroll 1996: 89; 2008:140-144; 2014: 244 for *erotetic narrative*).

### ***2.7 The Concept, the Descriptive System and the Situated Conceptualization***

According to Lawrence Barsalou (The Theory of Perceptual Symbols, 1999, apud Evans 240 sq; Barsalou 2003; 2004; 2006; 2008), there is a common representational system which substantiates both perception (the ability to process an input from the external or internal world, like consciousness or the experience of pain) and cognition (the ability to make this experience accessible to the conceptual system by means of representing them as concepts, together with the processing information which operates on these concepts). In other words, the conceptual system contains the same mechanisms as perception and action and it is non-modular. As a result of this theoretical perspective, the conceptual representations are multimodal representations which have been organized into systems meant for specific tasks. Cognition operates off-line and uses mental representations (concepts) which are stored in memory and are not independent from the processes of experiencing a particular phenomenon (Evans 2006: 241). For Barsalou, **the perceptual symbols**, i.e. the concepts, are neural representations which are stored within the sensory and motor areas of the brain. Concepts are multi-modal to the extent that they obtain their information from different streams which are sensory / perceptual and introspective (subjective). They are integrated in systems which have been called by Barsalou **simulators**. A simulator is a skill or a mental representation which integrates and unifies perceptual symbols found in any given relationship (for instance, our relation with a hammer). A mental representation is a simulation of a concept and it is dynamic or situated just prior to an agent’s preparation for an action found in any particular state. Because the purpose of the

conceptual system is to prepare a situated action, it is organized around an interface of contextual action (Barsalou 2003).

A concept generates, within the same perspective, a multitude of situational representations and each **situated conceptualization** contains **the entities** involved as agents, **the behavior** of objects, **the setting, the event** and the relevant **introspective information – interoceptions and mentalizing** – as well as **properties and relations** that describe instances of concepts tailored for an activity that has to be carried out with a certain purpose. A concept is „a collection of situational representations” (Barsalou 2005: 156). Every time attention is focused on a component of experience, the information pertaining to a certain category develops. When attention falls upon a component, the information extracted becomes integrated within past memories of the component; this produces category information about that component (objects, events, locations, time, introspective states, relations, roles, properties etc.). The category information aids perception, supports categorization and produces inferences about the categorical elements and finally contributes to the production of new concepts. Furthermore, these situated conceptualizations take the form of simulations that create the experience of “being there” with category members (Barsalou 2003: 543).

The categories are represented with the aid of certain simulations of motor and sensory states. **A concept**, a conceptual representation, constitutes the capacity to build representations that are tailored to the dimensions of the situated action (2003: 521-522). In order to produce or check the properties of some categories / concepts, the subjects produce a simulation of a member of the category in order to represent that specific category and then examine the simulation in order to produce the necessary information. The subjects scan inside the simulation and produce words for the properties that they seek (2003: 527). The conceptual system is a sort of “user’s manual with instructions which depend on the agent”.

A package of inferences that are typical to a certain situation is called a **situated conceptualization**. They contain information of the following types: contextually relevant properties of the focalized category; information about the setting or the context of occurrence, the possible actions that the agent can perform in order to obtain a certain associated goal and the introspective states which the agent may experience during the interactions with the category (evaluations, emotions, cognitive operations etc.) (2003: 536). The activation of the simulation in the case of these four axes produces the experience of “being there” conceptually. Whenever it is necessary to process a category, the concept of the given category offers a situated conceptualization which creates a multi-modal representation of what it would be like if the subject processed the category in that particular situation (Fig. 3).

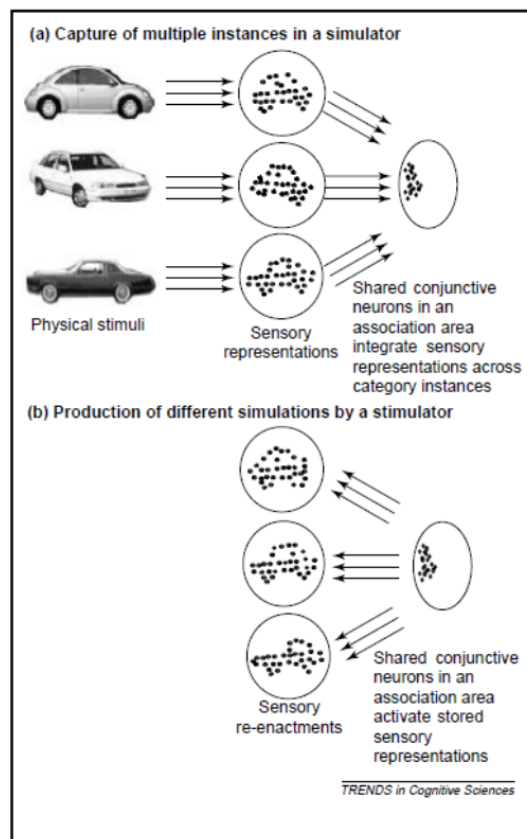


Fig. 3

The **construal** of a concept is, for Barsalou, a simulation or a **situated conceptualization** (Barsalou 2003: 536). The construal represents a filter that modulates the accessibility of the features that make up a concept (Barsalou 2009b: 174-5). Simulations can contain the schematic components which only partially represent the entities instead of their detailed representation. A category can be formed ad hoc if there is a map-making process going on between the schematic role of a simulation and a possible instantiation (2003: 549). The concept is represented in a particular situation.

Concepts are ultimately “grounded in terms of basic domains which represent knowledge arising from foundational aspects of experience relating either to sensory experience of the external world or to subjective (or introspective) states” (Evans 2006: 240). The **cognitive matrix** as defined by Langacker is for Lawrence Barsalou a **concept**. I have used the concept of **descriptive system** to define this notion (Deaca 2015: 169). It represents a linguistic generalization of a concept's structure. The descriptive system defines the procedures that have to be followed, the sequence of events, the roles that have to be carried out by the participants and the expectations (Sharifian 2014: 108). It defines the satisfying conditions required in order to achieve the performative speech acts. A concept evokes a series of **situated conceptualizations**. In opposition to schemas, which

are necessary to categorization (and are operating unconsciously), the descriptive systems can be explored consciously during their manifestation as situated conceptualizations and can assume the features of a construal. The descriptive system is constrained by amodal symbolic constructions (i.e. verbal constructions or “conceptual structures established by linguistic convention – the form which thoughts must assume for purposes of ready linguistic symbolization”) (Langacker 1991: 108-109).

Let us notice that a concept correlates perception – cognition – emotion so that it can either function unconsciously as a descriptive system or be explored consciously as a situated conceptualization through attentional focalization. The descriptive system – unconscious – plays a categorizing schematic role for a particular elaboration / instance. Situated conceptualizations in their turn contain schematic elements, descriptive systems and fragments of modality and embodied related elements (perceptual and motor activations, sensory motor structures) (Damasio 1989).<sup>7</sup>

Concepts are anchored in the terms of semantic domains that represent knowledge generated from the diverse aspects of experience, either described in terms of sensory experience of the outer world or in terms of introspective or subjective states (Evans 2006: 240). They are also anchored in the „sensory and motor system”, and thus „they reactivate past experiences with the help of their referents, aiding us to act in the environment into which we are immersed” (Borghini & Binkofski 2014: 1). For Shimamura, this type of knowledge is linked to the way in which we perceive it. The concepts are not abstract ideas, but rather they are tied to the sensory and motor processes which are activated whenever we encounter them (Shimamura 2013a: 122). This theoretical view is akin to the embodiment and simulation hypothesis (Lakoff and Johnson 1999; Gallese and Guerra 2012; Bergen 2012).

Non-diegetic background sound, emotions, as well as motion represent modifiers in construal expressive configurations. The same musical expression cues two different emotions, depending on their correlation to other modalities and conceptual domains within the situated conceptualization. The exploration of a descriptive system takes place during the perceptual unfolding – with the rhythm and tempo – instilled by a particular film expression. Within the film experience, the spectator seeks particular situated conceptualization brought about by the cinematographic sequences (see Fig. 4).

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<sup>7</sup> “there is no localizable single store for the meaning of a given entity within a cortical region. Rather, meaning is reached by widespread multiregional activation of fragmentary records pertinent to a stimulus, wherever such records may be stored within a large array of sensory and motor structures, according to a combinatorial arrangement specific to the entity. A display of the meaning of an entity does not exist in permanent fashion. It is recreated for each new instantiation. The same stimulus does not produce the same evocations at every instantiation, though many of the same or similar sets of records will be evoked in relation to the same or comparable stimuli” (Damasio 1989: 28).

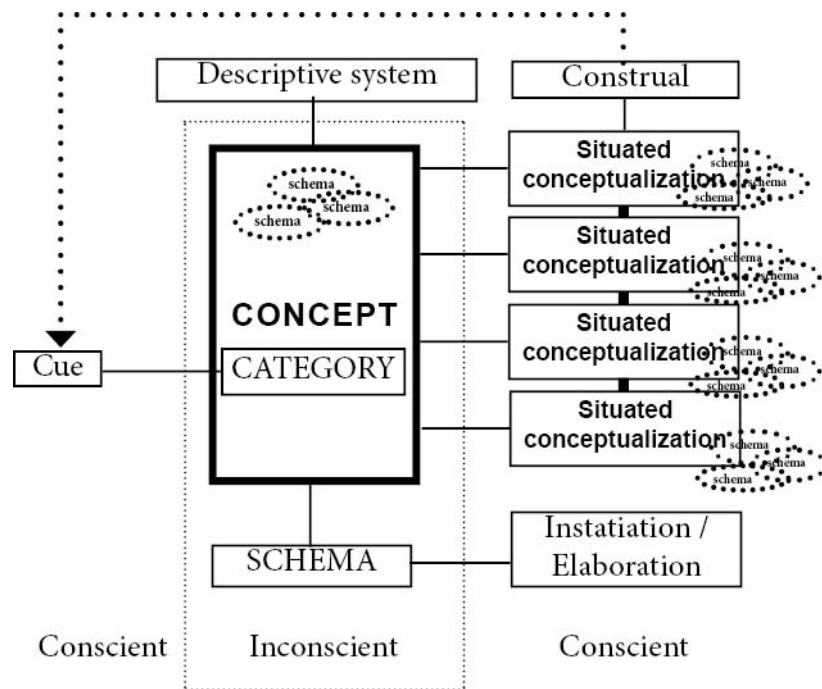


Fig.4

### 2.8 Halfway Conclusions

The viewer / film critic can identify and build conceptualization patterns manifested in various distinct conceptualization domains. Profiling takes place in different sectors / channels and domains. Those domains are the channels of a usage event. Symbolical units are revealed through automatization, entrenchment and conventionalization residing within the channels / domains of cinematic manifestation. Some schemas and constructional schemas can be derived from the usage event. To put it another way, there are semantic fields which can be identified and isolated from the correlations and the correspondences with other domains; they can be analyzed separately from other domains. A cluster of visual stimuli can be apprehended as a structured array of visual cues in a particular domain of instantiation giving raise to a particular conceptualization.

For example, a visual experience verbally described as *a woman in red* could be an instance, within the chromatic visual domain, of the color red (it's a type of red) or could be, within the diegetic domain, an instance of a female entity (a particular type of woman). The schemas are conceptual units and represent the equivalent of the grammar rules. These rules are abstract symbolical units identified by means of the sanctioning mechanism as categories. The cues of the expressive perceptual support serve in the design / construction of some instances of conceptualization apprehended as category instances. The cues or qualia are present in a domain of experience that in a usage event, in its turn, is associated by means of evocative relationships to another conceptualization domain. The expressive support is generated by cues – gestalt patterns within the domain of

experience under a construal –, and are, in their turn, manifested in a subsequent conceptualization domain that is the content conceptualization: in our case, the chromatic domain or the domain of natural world objects. One domain represents an expressive side and another one, a semantic side. The domains are also reunions of elements under a family resemblance of particular instances, comprising the situated conceptualizations.

Relationships of categorization, correspondence, association, and schematization are posited between domains. Profile correspondence is also posited. The expression's profile has some manifestation in all the domains which are overlapping (Langacker 2007: 465). The construal has as a specific consequence the generation of a particular conceptualization of the expression's evoked conceptual content (see Langacker 2007: 471/440). Conceptual domains have an expressive facet and a content conceptual channel. Cues are expressive prompts that "carry" the channel that is more substantive and autonomous and more salient to attention.

Symbolic assemblies with specific levels of schematicity and categorization are formed inside a particular domain. In discourse some conceptualizing channels are dependent and some are autonomous. For example, in a visual expression of a *red woman in movement*, *red* is an autonomous conceptualization in the chromatic domain, *woman* is an autonomous conceptualization in the domain of things and the feature of *movement* is dependent on the protagonist evolving in time. At a low conceptual level, *woman* is dependent on *red* since without the carrier *red* there would be no conceptualizing of the profiled entity *woman*; on the contrary, at a higher conceptual level, the basic level, *woman* is the head of the symbolic unit and autonomously conceived in the domain of things. Characteristic features like *red* and *movement* are modifiers and dependent on the entity profiled at a basic level of conceptualization. As modifiers those features will categorize the basic level object. Since they can also be envisioned as symbolic units on their own, relationships of association or metaphoric mapping with the basic level can be conceived. Their own profile is mapped on the basic level conceptual domain (the diegetic one) and generates a particular situated conceptualization. Features of expressive import (*red* or *movement* of object / camera), aspects of construal, correspond to a profile on the diegetic (basic level) entity (Langacker 2008: 462-3; Langacker 1991: 293)

An element or a combination of elements occupies simultaneously multiple channels. The integration of visual stimuli in cued gestalt as the image of a *red woman in movement* is an expressive channel for the entity "a woman", and, at the same time, is the conceptual content expressed in the domains of things and objects. The visual channel or domain, in addition to its signaling role, is part of the situation being described. The visual domain thus conceived is cuing the expressive support for a specific content and is the specific content. The perceptual array of cues is indicative and symbolizes itself.

Categorization, profile correspondence and construal mapping hold between different domains. Domains are not processed in a linear sequence. As Langacker states concerning linguistic apprehension, one can consider that

“processing occurs in parallel in multiple domains and on different time scales, allowing hierarchical organization”. In order to describe the phenomenon Langacker uses the notion of **window of attention**, i.e. a “‘working space’ for accomplishing some processing task” (Langacker 2012: 594). Viewers have the capacity to multitask, to decompose a task into subtasks, and to interrupt the current task in order to work on another and subsequently we can resume and complete the current task preserving its structural integrity (595; see for event segmentation Zacks 2007a; 2007 b).

### 3. The Diagram of Cinematographic Analysis Domains

#### 3.1 Preliminary

In Column B of the explanatory diagram (Fig. 5), I have included cues that allow the spectator to form a construal. There is no one-to-one correspondence between them and the elements in Column A; no element from the left column corresponds directly to an element in the right column. The cues appear in conceptualization domains which can produce auto-symbolization - such as red in the chromatic domain - or they can be elements that invoke various domains of conceptualization. Perceptual stimuli evoke in a bottom-up fashion conceptual domains that, in a top-down manner, select the gestalt perceptual configuration as cues in the relevant conceptual domain.

Whenever I see a red mug on the table, I don't perceive a *red color*, but a *red mug*. The domain of conceptualization summoned through the support of expressive cues is relevant to the visual cinematographic analysis. Association through evocation is consciously felt by the subject as being inherently imbued with meaning. The phenomenon of recognition of a certain pattern could be described as a felt experience and can be consciously explored with the help of the attentional processing mechanisms. Nevertheless, for analytic purposes, the viewer / film critic can isolate one domain or another and describe the phenomenon at the given, specific level.

In column A, I have introduced the conceptual domains in which various expressive configurations can be supported by those schemas which resulted from the generalization process of abstracting common elements pertaining to different occurrences or usage events. The schemas that characterize the visual and the verbal comprise cinematographic expressions. The symbolic units consist of expressive and semantic structures. The expressive structures represent subregions of semantic conceptualization. Some can be instances of self-symbolization. The conceptualizations on screen are determined by schemas in various semantic domains. The expressive structures are formed with the help of cues which allow the spectator to recognize patterns within alternative conceptual domains. These patterns are categorized as instances that contain immanent conceptual schemes - namely, more abstract descriptions. The conceptual domains in Column A represent concepts (in the sense attributed by Barsalou) or conceptual domains (Langacker) which function as attractors for a number of situated conceptualizations. They contain a schematic aspect and a modal simulation aspect. The viewer can conceptualize, with the help of cues – procedural gestalts in

instantiation domains subordinated to the construal - , those conceptual entities which can be deemed as belonging to the conceptual domains.

To the extent that a set of cues is predominantly biased towards one domain or another, the viewer will categorize the conceptual content into one or more domains. When one domain gains predominance over the rest, it either inhibits or modulates them. It will gain the aspect of a figure clearly delineated against the background. Moreover, the attention of the spectator can focus in on one domain or another *irrespective of* the structure of the audiovisual expression. The domains listed below can be abstracted and analyzed independently from all the others and irrespective of the effective experience of a particular viewer.

A. <b>The Conceptual Domains Matrix</b>	B. <b>The Construal (qualia, schematic configurations, cues for processing)</b>
<b>Prefigurative</b> (vital affects) (basic domains: movement, color, shape, size, texture, time) autosymbolic units	Qualitative Temporal Modulation (sequential scanning) visual and auditory modal features, directed motion, edge orientation, temporal structure of neural event
<b>Figurative</b> (graphic frame composition), the 2D domain	Imaginative capacities (mixture, metaphor, metonymy, integrations)
<b>Diegetic</b> (abstract or figurative basic level domains) - the 3D domain (descriptive system = objects, setting-context, actions, agents, mental states, embodied simulations / theory of mind; situated conceptualizations; script scenes and events; introspections) categorization, scanning mode (cumulative or sequential) Effective Level	Frame (attentional frames) (profiling and the construal) Event cues Cues indicative of profiling and construal features of scenes and events
<b>Symbolic</b> ( <i>symbolical</i> ) concepts based on imaginative capacities) (conceptual integrations, metaphor, metonymy); elaborations of secondary, abstract concepts.	Shot and frame modulation (depth of field, focus, and perspective)
<b>Narrative</b> (narrative schemas, scripts, frames, situation models)	Camera movement (cues for sequential scanning)
<b>Conceptualizer</b> (the organization of narrative information by making use of a reference point and a communication ground, deixis) Epistemic level	Editing constructions (ellipsis, montage cut)
<b>Affective</b> (simulated situations and affective categorization) (emotional appraisals)	E-site schemas



<p><b>Discourse</b>  (speech act grounded on the discursive level of communication about concepts), the typology of cinematographic genres  Discourse level</p>	<p>Sound cues</p>
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Fig. 5

### 3.2 The Prefigurative Domain

The **prefigurative** domain - as a dynamic domain of conceptualization – in based on the perceptual stimuli of images. The prefigurative represents a separate domain to the extent that the spectator does not experience recognition of objects or figures. A series of parameters of the dynamics of image (directionality, tempo, and rhythm) or qualia of color, shape, texture, light, and scale can be identified and then the patterns of combination can be abstracted. Conceptualization coincides with the perception processes of dynamic forms. Features and dynamic patterns unfolding in time are also categorized as instances of emotions. Also, as autosymbolic units (the expression support is identical with the content expressed), they are integrated in the discursive event created in the interaction between a producer of the filmic artefact and the actual viewer in the cinema theatre.

Daniel Stern in *The Interpersonal World of the Infant* identifies **the amodal perceptive qualities** as forms, temporal patterns, degrees of intensity, motion, number and rhythm (Stern 1998: 53). The amodal affective perceptions are derived from perceptual stimulation, which takes place within particular sensory modalities and can be translated into another sensory modality.

Stern compares the **vitality affects** with the attributes of movement in arts that unfold in time (Stern 2010). The expressiveness of vitality affects is similar to the way in which puppets move (activation outlines which they produce), signaling cues that suggest certain vitality affects. The puppets do not possess the ability to express categorical affects with the help of facial signals and their repertoire of bodily postures is reduced. But the way they move allows us to infer the intended vitality affects; one puppet can be lethargic, with its limbs "hanging" and its head "drooping", another "vigorous", and yet another self-important. Abstract dancing and music are other examples of vitality affects.

The cinemagoer is sensitive to nonverbal expressivity and unconsciously perceptive to vitality affects and to a-modal qualities of audiovisual expressions (the shape, the intensity level, the motion, the number, and the rhythm). They form the abstract substance generated by external stimuli. The spectator is also receptive to the stimuli's intensity variations that, at the same time, work to induce the feeling of continuity between self and other (dynamic and personalized processes on screen). Experimental and abstract films often work on and reshape this non-verbal expressive approach to audiovisual impulses. The domain of cinematographic study is correlated with this domain of conceptualization.

Included in this domain – besides movement, that is - are discussions about basic domains such as the auditory qualities (tone, pitch, tempo, and rhythm) and

color qualia.<sup>8</sup> These features belong either to modalities (acoustic vs visual) or sub-modalities (within the visual mode there are the shape, the motion or the color). The specialized modular areas are employed in detecting these features. They are processed in parallel through interconnected neural networks. Between these entanglements, there are common areas of congruence for neural activities, i.e. attractors (Fig. 6).

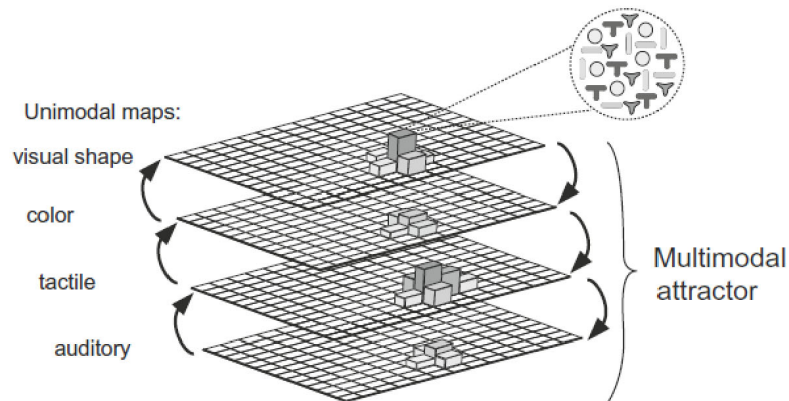


Fig. 6 (Pennartz 2009: 729)

We can envisage such an attractor as the spatial location around the subject where the activation of detectors takes place. For instance, the T-shaped letter, colored in red is located in front of the subject (the spatial network that determines the position of the attractor in the two sub-modal networks) (Pennartz 2009) (Fig. 7).

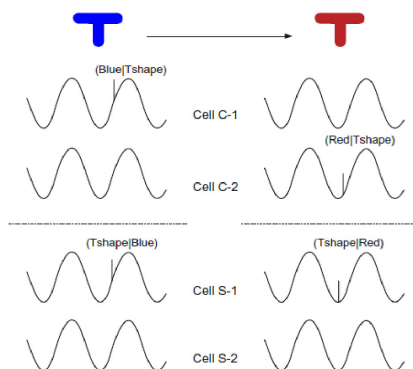


Fig. 7 (Pennartz 2011:730)<sup>9</sup>

<sup>8</sup> Music profiles and modulates the conceptualization of scenes and entities (Juslin 2013; Boltz 2001). See also Rose 2007; Rutherford 2003; Susan Sontag 2003.

<sup>9</sup> “unimodal attractors influence each other by affecting the phase relationships among feature detectors of different modalities, possibly also with reference to a common

The simultaneous coactivation of a number of networks can lead to the conscious and integrated perception of experience. The prefigurative features can modulate the activation structures from other domains. They impose attractors and, through interconnectivity, they modulate or warp the content of other patterns of neural activation destined for other fields (Gallant 2013) (Fig. 8).

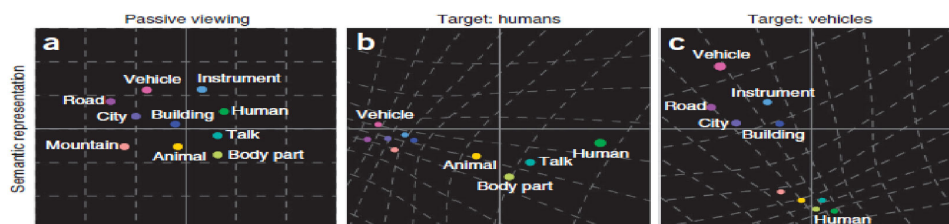


Fig. 8 (Gallant 2013: 2)

Given the construction of neural interconnectivity networks, the features can only be perceived in association with other domains. We cannot have the experience of movement independent from a moving object. Tim Smith's studies about continuity editing bring to our attention the attention-guiding mechanisms which operate over the limit of the montage cut and are organized with the help of some non-figurative and non-diegetic perceptual cues (e.g. movement) situated at the "low" perceptual level (Smith 2012 a; 2012 b; 2013; Brunick et al. 2013).

For a scholar like Poulaki (2015), the hesitation or transition moments between two coherent neural states are exploited by film. The montage discontinuities, the rapid succession of shots (flickering), the morphing of shots or the slow motion sequences prolong the derailing or drifting moments and postpone the formation of the narrative mental patterns (the events). From her perspective, there are narrative-driven films which exploit narrative continuity and experimental films which exploit the mechanisms of neural instability – of chaotic transience – between the neural synergetic networks. In Rose's article (2007), movement is linked to the affect in non-verbal arts. For Rose, the emphasizing of some perceptual characteristics, the use of somatic-kinesthetic tension and the emotional outlet in the artistic expressive support result in the manifestation of some patterns

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oscillatory cycle in local field potential. A change in an attractor state for a given modality has the potency to tip over an attractor state of another modality, even though the basic feature-specific tuning of detector cells remains unaltered for both modalities. This is illustrated here by showing a pair of cells for two visual submodalities (cells C-1 and C-2 for color, S-1 and S-2 for visual shape), separated by dotted lines. The left-hand configuration shows how cell C-1, tuned to Blue, and cell S-1, tuned to a T-shape, both respond to the shape presented at the top of the diagram, assuming it falls within their receptive fields. "Blue|Tshape" denotes the situation of a Blue input given the precondition of a T-shape. When the color of the object is changed from blue to red (right-hand panel), cell C-1 no longer responds whereas S-1 still generates a spike in response to the unaltered shape feature, but now in a different phase relative to C-2 and the oscillatory cycle. Cell S-2 remains unresponsive in this situation" (Pennartz 2009: 730).

of „implicit virtual motion” (2007: 34) which shall be translated by the viewer into somatic tensions and emotional reactions.<sup>10</sup>

### ***3.3 The Figurative Domain***

The figurative domain can be considered a separate domain of cinematographic analysis to the extent that one can identify patterns of graphic composition and formal-perceptual structures. It represents a conceptualization channel as defined by Langacker. Graphic compositions, scenography and framing that operate perceptual integrations can be grouped in recurrent units. Thus, the framing parameters stand for the construal which, in its turn, invokes a particular perception such as a character’s point of view. In this case, what concerns is not a framing type or a graphic object identified by the viewer but rather a type of perception situated in the semantic domain of conceptualizers. Alternatively, the distinction between a naturalistic cartoon or photography / photo print copy of a landscape constitutes the correlative distinction between two types of 2D representations or, at the diegetic 3D level, between two types of landscape. The qualia of the figurative domain constitute simplified modifiers of the 3D objects identified by the viewer. The figurative quality implies focusing attention on the support for representation and not on the object of representation itself.

Framings are representations that embody combinatorial arrangements based on semantic and syntactic rules, i.e. symbolic units. 2D representations are particular situated conceptualizations and instantiate particular combinatorial arrangements of constituents. As such these representations are apprehended as individual cognitive entities and posit a “binding code” of the combinatorial arrangement (see Damasio 1989: 44-45). Framing compositions can have degrees of abstraction and schematicity. As such they are amodal and map topological relations of the constitutive entities.

One layout of cinematographic composition relevant for the discussion is the alternating face-to-face dialogue shots made with a circular camera movement; this layout carries a semantic, conceptual core (even if only a simplified one) and recalls a set of associated situated conceptualizations (construals or simulations) (Hojberg 2014). Patterns of framing brought to the foreground through the accumulation of cues, become so significant that they shape the perception of other conceptual domains. They constitute the cinematographic construal (see Carroll & Seeley 2013; Cutting 2004; Smith 2012; Smith, Levin & Cutting 2012; Coëgnarts 2017). For example, static frames which unfold in time as long takes in films by Andrei Tarkovsky, Michelangelo Antonioni or Marguerite Duras conceptually warp the understanding of the diegetic domain. The figurative domain, as construal, imposes a conceptual reading on the diegetic domain. One can also find at this level intertextual cinematographic correspondences such as allusions, pastiche and citations.

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<sup>10</sup> See Tan (1996: 96) about cinematic interest and the prospect of return.

As in the case of the prefigurative features, figurative structures cannot be experienced as isolated from the object that displays the qualia. Figurative domain is dependent on the diegetic domain. There are films which draw attention to this conceptual domain by multiplying the stimuli corresponding to the field of inquiry and by eliminating the configurations which would enable the viewer to identify patterns such as 3D objects or narrative structures. It is self-evident that the viewer will not perceive the composition layouts as separated from objects; in other words, the viewer will perceive more strongly the figurative-compositional qualia instantiated by an element in the conceptual foreground which will warp other conceptual domains pushed to the background.

### ***3.4 The Diegetic Domain***

The diegetic domain contains immanent intelligibility schemes and brings forth clusters of concepts (the **descriptive system** or the **concept** as defined by Barsalou) and **situated conceptualizations** (specific cases of concept instantiation). The same stimuli present on screen can be placed in different categories. At this level the viewer identifies objects, scenes, characters and/or situations. It is at this level that one experiences “immersion” - the strong narrative experience also called “narrative absorption” (see Balint & Tan 2015: 65). Image schemas help with categorizing the on-screen figurative instances. These image schemas structure the perception, motion, action and gestalt characteristics of the perceived objects at the level of bodily experience (see Lakoff 1987; Johnson 1987; Langacker 2008; Coëgnarts & Kravanja 2012). At this level visual representation cues embodied simulations (see Gallese and Guerra 2012; Coëgnarts 2017).

The figurative domain can be considered a subdomain of the diegetic one. For example, the emergence of the letter A on screen can be the cue for a type of letter belonging to the diegetic domain; it is a type of object: a kind of typeset. Letter A has at the same time a specific shape: A vs. A. The graphic illustration of the letter is a token of a style of font. Identical cues at the diegetic level are diversely categorized by top-down mechanisms, and prompt the disclosure of a multitude of descriptive systems (Bar 2004; 2007). For example, Branigan (2006: 67) indicates a series of contexts of use for the image of an *eagle in a tree* which allow different categorizations of the object identified by viewers but not of the material basis for representation - that is, the photograph. Thus, the image of *an eagle in a tree* is, in turn, a **grounded** object: “here is that eagle which I saw perched in a tree with clouds in the background”; a **sample** of a generic eagle; a **type** of a general thing (the eagle belongs to the vertebrates class along with humans and fish); an **emblem** (the symbol of a nation), a **memento** or a fetish (the eagle as remembrance or as something charged with superstitions); the disclosure of a **sentiment** (the eagle is alert and vigilant), something meant to leave an **impression** (the eagle as vivid life form embodying sensory qualities such as texture or aerodynamic balance); the **reification** of something intangible (an eagle’s view from above as an ideal point of overview, thus standing for the attainment of transcendent knowledge - an eagle’s-eye view); a **fiction** (the eagle is a mythical creature such as the griffin); a **narrative** (the eagle as an evil

character in a script/ plot such as the Eaglet and the Gryphon in *Alice in Wonderland*) (Fig. 9).



Fig. 9

Let us notice that diegetization consists of a primary pole where one identifies the pattern which calls forth a type of object (the conceptualization of the object *eagle*) and a secondary conceptual processing of identifying a particular instance in the domain of instantiation (the object *eagle* is a symbol of the concept of nation). The particular instance is embedded in a speech act script (used in an actionist manner) and situated relative to a communication ground. The profiled object is integrated in a situated conceptualization and in an embodied simulation and gains for the viewer a felt living status as a 3D entity.

The object has, in this case, the role of a symbolic unit which gives access, depending on the context, to interrelated *knowledge domains*. The on screen cues allow at an incipient stage the identification of an object in the 3D diegetic domain. For example, 4 lines, when conjoined in a particular way, automatically form a reified gestalt (in the 3D object form) shaped as a *square*. In a sense, the occurrence of the 3D object is a symbolic unit as it results from the association of an expressive conceptualization (the cues/ stimuli) with a conceptualization of meaning (the object). The object is then embedded in the secondary symbolic unit which recalls by association a semantic verbal content, i.e. *a square*. It is categorized as the instance of an expression for a type of object from a more abstract semantic domain. The object's polysemy derives from its use in different contexts which involve different instantiation domains and different categorization relations.

The linguistic unit selects and is schematic for the conceptualization of the perceptual unit the *square*. One could say that the conceptualization of square is inherently semantic and at the same time, it is the expression of a semantic content which in turn classifies it. The visual categorization will be activated in other contexts of use (or it will be differently contextualized altogether) and the categorization will be modified in said contexts.

The diegetic level of analysis concerns, then, at a first stage, the occurrences of symbolic units in the form of 3D objects and, at a second stage, a set of symbolic units which belong to extremely diverse semantic domains and display degrees of generalization (idealized or schematized). In this way the diegetic level of analysis contains not only “objects in the world”, but rather expressive units classified in domains of semantic conceptualization which belong to the symbolic domain. The schemas and the conventional symbolic units sanction various use instances involving understanding and interpretation.

When considered from the perspective of film genres, this model is fractal (i.e. the same structure is repeated at several levels). The dominant film genre - the classic, narrative-driven one - has as its principal conceptual domain the diegesis. The concept of diegetic film - as radial notion - contains a dynamic set of permanently shifting situated conceptualizations which are seemingly familiar and can be classified with the help of the features identified by Barsalou: the western, social science fiction, urban realism, historical.

### **3.5 The Symbolic domain**

Going back to the example with the eagle we could say, for instance, that the object-expression *eagle*, in itself a symbolic unit organised around two poles, an expressive and a semantic one, is recategorized by a new conceptualization as the expressive pole. Thus the object – symbolic unit - *eagle* recalls a semantic content depending on one category. The object-expression *eagle* is a sample of a particular object or feeling, emblem, a cultural symbol, a mythical or fictional entity, an element in a narrative script.<sup>11</sup> In other words images first do activate sensorimotor simulations and grounded-embodied multimodal representations, but secondarily, by word level patterns of associations are reinscribed and recategorized in other conceptual domains. As a consequence the first conceptualization is associated with a secondary conceptual content and forms a new symbolic unit.

Following Croft we adopt a dynamic construal approach to conceptual categories. Thus, as Croft states, “the notion of fixed categories with permanent representations is a myth. Among these are Barsalou’s (1983) experiments involving ad hoc categories with no conventional names, such as ‘things on a desk that could be used to pound in a nail,’ or, ‘things to take on a picnic.’ Subjects readily formed new and contextually coherent categories that showed the same characteristics as established categories, including graded centrality and characteristic features” (Croft 2004: 92). In this sense interpretations are dynamic construal pictures of conceptual categories (98). An interpretation resembles a picture in that it is not susceptible of finite characterization in terms of semantic features, or whatever. Any features are themselves construals (100). Therefore

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<sup>11</sup> About the relationship between embodied simulations vs symbolic representations of conceptual content see Zwaan2014; 2015 and Borghi & Binkofski (2014: 61-63).

Croft's model of comprehension has an indeterminate starting point (a purport) and a determinate end point (100).<sup>12</sup>

The graphic expression of the *eagle* mentioned earlier - the expressive pole -, considered a sample of a graphic expression recalls once again the primary semantic content, *eagle*, but, due to the categorical relation, the cues pertaining to the expressive pole are more prominent - that is to say, brought to attention as a figure clearly outlined against a background - in the semantic domain of graphic figures. It should be noted that identifying the graphic shape as "eagle" 3D entity cannot be ignored. The subject sees not disconnected graphic signs but rather a whole percept representing the object "eagle". In other words it is impossible that one should see some lines drawn on paper rather than the bird. Identifying the object pertains to a **primary symbolic unit** and its categorization to a **secondary symbolic unit**.

In certain usage contexts the cues that enable the primary identification are inhibited so that they cannot reunite in the guise of the basic gestalt - here, the subject cannot see an "eagle". The cluster of cues conjures some other object, a non-figurative shape; the latter is, in this case, still a primary symbolic unit, only, it instantiates a GRAPHIC OBJECT. At other times the screen displays hybrid entities formed out of cues belonging to two entities incompatible in the natural world; they point to two concurrent descriptive systems. For Langacker the resources used in this process of categorizing and establishing new symbolic units are : "general and contextual knowledge, basic cognitive abilities (e.g. memory, attention, planning, aesthetic judgment) as well as such "imaginative" capacities as metaphor, blending, mental space construction, and the evocation of "fictive entities" (Langacker 2007: 428).

The difference between diegesis and symbol unfolds on a gradual continuum. It resides in the difference in complexity between the conceptualization track and specificity. Image schemas are activated when identifying objects or film scenes, but, at the same time, they represent the carrier-structures necessary to emerging metaphors (Coëgnarts & Kravanja 2012). At this level George Lakoff and Mark Johnson's Conceptual Metaphor Theory is applicable in the form of metaphoric mappings from image schemas to conceptualizations (Lakoff and Johnson 1980; 1999).

Diegetic symbolic units are more specific while the proper symbolic ones are more abstract. The lexical and grammatical sides form a continuum of "assemblies of symbolic structures" (Langacker 2007: 438). Assemblies feature

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<sup>12</sup> "When we encounter a piece of language in the course of normal communication, there is an instant of comprehension, a kind of crystallization of the perception of meaning – we know what somebody has said (or written etc.). This is similar to our recognition of a familiar face, or when we realize that what we are seeing is a dog and so on. In the case of the face, we do not merely recognize whose face it is, but at the same instant we see perhaps that the person is tired, or worried, and the hair is windblown and so on. On further reflection, we might infer what the person has been doing, or what the cause of worry is. The processing can continue indefinitely, but there is nonetheless a prior moment of recognition" (Croft 2004: 99).



different degrees of symbolic complexity and of specificity (or on the contrary, schematicity) at the semantic and phonological poles. Certain symbolic units are made up of sets of symbolic structures, each with a specific phonological pole. The construction schemas describing their formation consist of symbolic assemblies where some or all of the structures are both semantically and phonologically schematic. Constructional schemas categorize (and are immanent in) instantiating expressions, just as class schemas are. Whether specific or schematic, symbolic structures are connected—and thereby form assemblies—by correspondences and relationships of categorization (2007: 441).

The metaphoric or metonymic modes of lectures belong to this analytic level (Gibbs & Colston 1995; Gibbs 2011; Cienki 2007; Coëgnarts & Kravanja 2012; Coëgnarts 2017; Deaca 2015). It represents either a complex analytic category or the conceptual space where cultural (or, generally speaking, conventional) codes manifest in the interpretation of the concrete visual support of cinema. As one can see at this level the analysis does not take into consideration either the narrative or the fictional/ factual/ emotional/ discursive aspect of the symbolic unit with expressive role but rather it decides its standing in an association based on evoking or classifying. At this level one could apply the theory of *mental spaces* and the typology of *conceptual integration* operations as it was formulated by Gilles Fauconnier (2002; 2007).

### 3.6 The Narrative Domain

The level of **narrative** analysis is a subdomain of diegesis to the extent that categorical schemata belong to the domain of events and not to that of scene/ situation. The objects described are instances of sequences of actions and represent the *narrative* domain which presents recognizable action patterns, scripts, narrative schemata (Branigan 1992: 14-45, 203-217; 2006: 29 sq)), event schemata or models (Zacks 2007a; 2007b; 2009; 2011; Balint & Tan 2015). Several pertinent analyses have been done on this topic by James Cutting (Kaitlin, Cutting & DeLong 2013). Event models (in conjunction with prefigurative cues such as motion and attention-guiding strategies) allow for the construction of a continuous experience of a long take (Zacks 2013).

A series of studies concerning image schemas used in films show how “the narrative deployment of image schemas by film makers facilitates embodied comprehension of particular elements of the film’s story-world, such as character subjectivity or emotion” (Balint & Tan 2015: 66). Situated conceptualizations contain characters living in the multimodal realms. Characters – conceived as cognizant agents – serve as access / reference points to the spatiality of a situation. Camera movement, frame composition or points of views are understood – through use of character reference point – as manifestations of mental explorations of a peripersonal space (the space surrounding an experiencer) (Gallese & Guerra 2012).

Characters support agency attribution and viewers use a Theory of Mind in order to interpret and predict narrative and dramatic unfolding of events (Levin et al. 2013; Oatley 2013). It also allows for a simulation of being in a world (Gallese

& Guerra 2012; Zwaan & Fisher 2008). This simulation allows “the impression we are inside the diegetic world, we experience the film from a sensory-motor perspective and we behave “as if” we were experiencing a real life situation” (Gallese 2012: 188). Thus “people re-use their own mental states or processes represented within a bodily format in functionally attributing them to others. Because of a shared format of bodily representation, we map the actions of others onto our own motor representations, as well as others’ emotions and sensations onto our own visceromotor and sensory-motor representations” (206). The viewer has the “the capacity to share meaning of actions, basic motor intentions, feelings and emotion” with characters (193). “The Feeling of the Body consists of the activation within the observer of non-linguistic “representations” of the body-states associated with the observed actions, emotions, and sensations, as if he or she were performing a similar action or experiencing a similar emotion or sensation” (193).

### 3.7 The domain of conceptualizers

The analysis of **conceptual roles** focuses on the organization of narrative information (either the occurrence construal or the narrative schemata) according to a reference point and a communicative situation in which subjectivity plays the role of reference point. The *conceptualizer* (indicated as C) is a conceptual domain different from the narrative schemata, but connected to narration in that it is a simulation of an epistemic perspective on the effective level<sup>13</sup>. The **conceptualizer** represents the organization of information according to a reference point and a communicative situation (what Langacker referred to as *sectors* in 2007: 425). (Fig. 10)

<b>Conceptualizer_4</b> experiencer = X, occurrence effective level	4	The <b>Occurrence / Experiencer</b> diegetic in scene, a profiled process : event or situation, the ground is virtual, conceptual reference point of access.
<b>Conceptualizer_3</b> of the grounding element immediate epistemic construal - real	3	The virtual <b>profiler</b> It grounds the occurrence in the diegetic here and now Basic expression
<b>Conceptualizer_2</b> of the speech act scenario imaginary - epistemic and interactive level	2	The <b>narrator</b> Extra-diegetic, it anchors the expression on an actual ground, speech act scenario Elaborated expression Introduces the time and modality

<sup>13</sup> The model presented here starts from the diagram of narrative roles in Edward Branigan (1992) and from the concept of conceptualizer in Ronald W. Langacker (2007; 2008; 2009). See also Deaca 2015.

<b>Conceptualizer_1</b> of the particular usage event Discursive level	1	The <b>story-teller</b> (a film narrator) extra-fictional (explicit / implicit) who either embraces or assents the reality conception purported by the film
C of the film production	0	The real-life <b>author</b>

Fig. 10

C1, C2, C3 and the experiencer are deictic centres. C2-C3 represent a continuum which introduces the **time** (from immediate to non-immediate), the **modality** (from real to unreal or probable), a **POV** (inside or outside the diegesis) and an illocutionary force (Fig. 11).

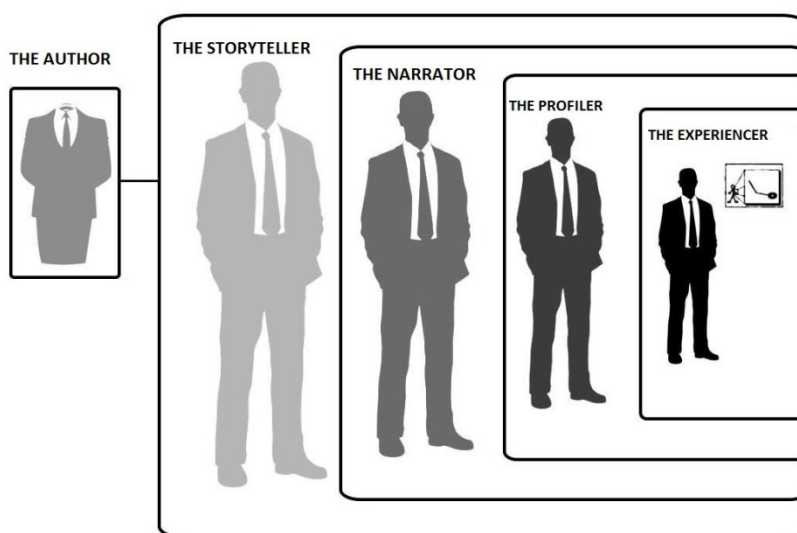


Fig. 11

To sum up, there is a first level of occurrence (written as X or as **p** by Langacker) which stands for the profiled process or object. The occurrence may contain an experiencer - denoted as C4. The construal is configured by the profiler (C3) and narrator (C2). The profiler's construal represents a view attached to the object. The profiling is virtual and determined by a diegetic *now and here*. The narrative construal represents an epistemic assessment of the effective level. This level introduces the scenario for a virtual speech act. Its aim, as reference point in a database - domain matrix or descriptive system - is a basic reality and forms a basic proposition. The storyteller (C1) stands for the discourse level and introduces a new scenario for a secondary speech act oriented towards the previously mentioned proposition. Each conceptualizer has its own conception of reality, from the basic to the complex one (Fig. 12).

$$\{ X1 \leftarrow [C3 \leftarrow C2 = P] \leftarrow C1 \} / C0$$

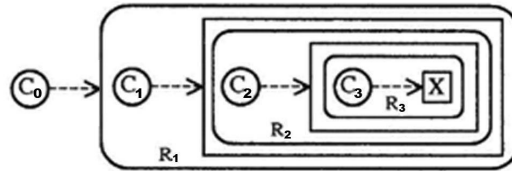


Fig. 12

Often enough the cinematographic narrative is unfolding by making use of shots that represent the visual access of a character (the POV shots). In this case the on-screen image can be assimilated to a subordinate verbal clause (Fig. 13).

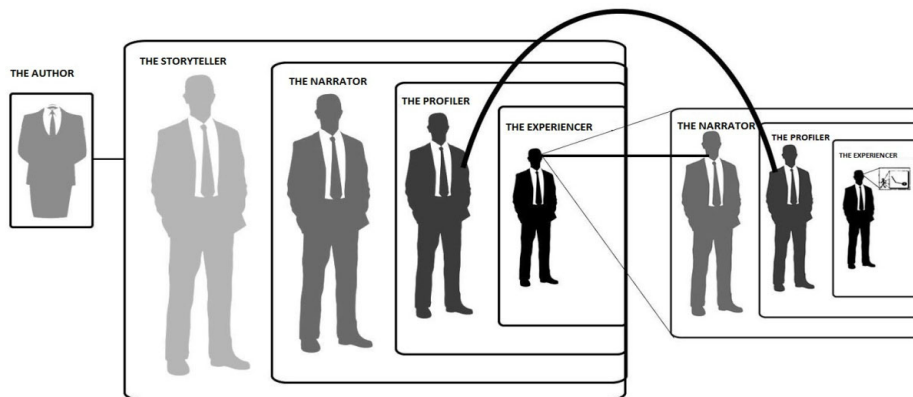


Fig. 13

Narrative roles are deployed in layers. Drawing attention or foregrounding one layer implies toning down the others. The conception of an object situated at the occurrence or experiencer level is warped under the pressure from the narrative role acting as attractor in the foreground. In this way, the spectator perceives and conceptualizes a distinct difference in presenting the picture of a CAR through the filter of a profiler and through the subjective filter of a character, respectively. The web of associations in the descriptive system takes shape differently in the two cases. In the first case, the *car* is an instance of a vehicle (a visual sample of access to the object) and in the second, it is a sample of visualizing the object. The picture (of the *car*) enables access to or provides conception with a subjective view of the object - thus causing two different mental states.

### 3.8 The Affective domain

#### Introduction

Affect analysis is focused on cinema construals which evoke affects. This level implies a modal domain different from the epistemic one, but manifests a “family resemblance” since it involves a cognitive assessment of the effective level depending on a series of concerns simulated or lived by the spectator. Assessment and simulation can be grounded in a subjective entity, the conceptualizer or the evoked companion serving as a clutch system for particular emotions. For the theoretical frame used here, the narrative roles or conceptualizers function as anchors or reference frames for emotions (see Pennartz, 2009: 727). To Barsalou, an emotion cannot be understood outside of an agent putting himself in the scene / situated conceptualization (Barsalou 2011: 1108).

At the same time we should take into account the fact that all cerebral processes can be either conscious or unconscious and that there are unconscious emotional memories (Dehaene 2014: 71). The brain structure responsible for computing the fear-inducing stimuli is the amygdala. Its neural networks respond to music, a stranger’s face, pictures of snakes or spiders or “alarming” words - in other words, it is triggered by categorical stimuli (Dehaene 2014: 93).

#### Barsalou on Affects

To Barsalou **emotional concepts** are abstract (Barsalou 2011: 1107). Within the present theoretical frame, a concept corresponds to the descriptive system and has a corresponding category. The similarity relations between the category members are taking the form of a family resemblance or radial category (Barsalou 2011: 1106). They aggregate diverse information within an instance referring to a whole situation; they are organised in a loose collection of situated conceptualizations and can be accompanied by various forms of limited abstraction. An emotional concept is a relational structure which integrates multiple parts of an experienced situation. An emotional concept contains a large set of situated conceptualizations that produce emotion in many different kinds of situations, with each situated conceptualization producing a different form of the emotion (1107). The concept of *fear* can be represented by a situated conceptualization reuniting concepts for forest, night, animals, thirst, and confusion or by another one made up of written presentation, essay, to talk, audience, supervisor etc. An integrated representation of a set of concepts in a situated conceptualization constitutes one instance of the concept *fear* which includes internal experience and potential actions (1108). It is what Langacker calls a conceptualizer. *Fear* can be instantiated and experienced differently in different circumstances. As there is not one bodily signature for each emotion, the same body state across different situations can be conceptualized as different emotions (depending on the situated conceptualization active while interpretation takes place). Emotions result from the activity of modal circuits in the sub-cortical brain area meant for perception, action, core affect, attention, executive processing, memory, language, reasoning, etc., but there isn’t such a thing as a unique module

meant for a specific emotion. Several brain states work together for a given emotion to arise, each corresponding to a different situated conceptualization (1109). Conceptual acts occur periodically in a subject's cortical area in order to represent and control the situated activity as well as classify patterns of multimodal activity as emotions. The situated conceptualization for an emotion classifies a pattern of activity as an instance, which is then elaborated with situational-relevant information to compose an online conceptualization. The resulting situated conceptualization has the potential to change core affect and other bodily responses associated with the emotion, together with action and perceptual construals (1109). The mechanics of it are taking place unconsciously and are partly automatic. In the concluding section of Barsalou's article the component elements of situated conceptualization come from common neural circuitry distributed throughout the cortex, which produces situated representations of emotions dynamically. Certain parts of the brain play a central role in the representation of the same emotion in different situations and in the representation of different emotions.

The notions illustrated above can be transferred to the cinematographic domain: the cinematographic construal elicits a form of situated emotion - a situated conceptualization - and engages different patterns of activation in the conceptual network to be found within a descriptive system, the situated categorical inferences. The film provides the viewer with a set of cues necessary in projecting a particular construal which, as the source domain of metaphor, will represent a target abstract emotional category.

To a scholar such as Lisa Feldman Barrett (2006; 2014) emotions are mental states making use of the same neural base as perception and cognition and which categorize feelings (determined by the computation of interoceptive and exteroceptive stimuli). Furthermore, emotions are attractors that modulate conceptions formed in other conceptual domains. The categorization is a situated conceptualization to the extent that a conceptual database is used in categorization to tie it to the given situation and, at the same time, it is enactive in the sense that it prepares the subject for a situated action in context (Barrett 2014: 293). The act of seeing, feeling, or thinking is at once a perception, an emotion, and cognition. Emotions are acts of meaning making. An emotion is embodied when the database is used online to give shape to the perception of a physical state - sensory input from inside or outside the body - and to tie this physical state to an event in the world so that the bodily changes undergone are experienced as "relating" to something in the external world (293).

At one level emotions are associated to situated conceptualizations and, in the given model, it is here that they can be associated to the typology of the cinematic analysis domains. Thus there are emotional categories coagulated around the prefigurative, figurative, diegetic, symbolic, narrative schemas, narrative roles and discursive domains.

### **Plantinga on cinematic affects**

Plantinga defines the following sub-categories of emotions:

- Direct (refer to or are experienced in direct relation to the narrative, without any interest in characters: curiosity, suspense, anticipation, surprise);
- Sympathetic/ Antipathetic (experienced in relation to characters' aspirations and concerns: compassion, sympathy, admiration, socio-moral disgust or contempt);
- Artifact (directed towards the film itself seen as artifact: admiration, fascination, amusement, contempt or impatience)
- Meta-emotions (directed towards personal and/or other viewer's response: pride, shame, guilt and contempt) (Plantinga 2009: 242).

In 2013 Plantinga takes up again this typology and distinguishes between (2009: 69; 2013: 96): **global** emotions (anticipation, suspense, curiosity, interest); **local** (short and more intense, such as surprise, disgust, excitement, relaxation); **direct** (tied to narrative content and the development of the plot: curiosity, suspense, surprise); **sympathetic** (revolve around characters' aspirations, concerns and states: compassion, sympathy, admiration or happiness); **meta-emotions** (concern the viewer's -their own or other's - response: pride, guilt, shame, contempt, surprise); **fictional** (directed towards an object in the fictional world) and **artifact** (directed towards the film seen as artifact: admiration, fascination, gratitude, contempt, fury or impatience) (Plantinga 2013: 96). Plantinga's model can be associated with narrative roles which ground one type of emotion or another on a subjectivity connected to one diegetic space or another.

### ***3.9 The Discursive domain***

The **discursive** domain concentrates on the communicative act concerning the abstract concepts used by the cinematographic artifact. This is the level of situation assessment (Dehaene 2014: 101); it is also where the difference between fiction and documentary emerges. The elicited narrative role is that of the storyteller mentioned a while ago. The discursive level grounds the cinematic expression in the cinematic interaction between cinema device (the producer) and the here-and-now viewer. The communicative act concerns the values and concepts used by the cinematic artifact. It is only natural that an analysis deploying cinema-specific terminology should occur at this level. The listed domains will serve as cues for categorizing the artefact. There are figurative versus abstract films, narrative or art films or, depending on the 3D identification on the diegetic level, there are action, art and essay, historical, SF, realist films. Comedies and documentaries distinguish themselves at the level of the conceptualizer. The affective level can shape one's perception of a film so as to categorize it as melodrama or comedy; this level has to be corroborated, however, with the perspective of one or several conceptualizers - which accounts for the comic distance which we perceive in a series of situations which may come across as either sad or humorous. Starting from this analysis level one can elaborate a radial typology of cinema genres. It should be clear by now that such a distribution of genres will have at its centre the primacy of the viewer over the film.

### 3.10 Conclusions

The levels of analysis described here enable the identification of defining features which one genre or another bring to the forefront. Thus the concept of film (as opposed to that of theatre or literature) contains the whole set of discussed analysis domains but, in this case, a particular film imposes a certain construal on the whole set, which stresses one domain while it inhibits others. The model presented here is dynamic to the extent that cinematic experiences cannot be identified by the presence / absence of a domain but by their altogether particular modulation. The modulation process takes place by focusing attention to one domain or another; the modulation / warping brings to the foreground the focal domain while leaving all others in the background. The extent to which the set is being restructured depends on the focused elements being presented as significant and clear - so that they can be consciously explored in detail - and the background one as attenuated and schematic. As Pennartz said - concerning neural mechanisms which manage the stimuli from different sensorial modalities and generate an integrated conscious experience - a network of modal areas are integrated in an associative network formed around an attractor (2011: 718). In other words, a representation in a domain is not invariant, but rather depends on or is warped by the presence of other domains (and their features). Even though stated once already the hypothesis needs to be reformulated starting from Pennartz' observations. Since domains are imbricated and the modal aspects of situated conceptualizations influence one another, it can be stated that different configurations achieve different qualitative levels insofar as the features or cues are re-tuned under the pressure of a foregrounded particular association that is taking place between the selected domains.

Although the cues on screen remain the same (red is still the same red) they are dynamically correlated with different conceptual domains, and, by categorizing them, they are differently interpreted depending on the dominant domain. The newly formed configuration of a dominant domain with others in the background will constitute a particular multidimensional experience with a common attractor. An important **attractor** is the reference frame built as narrative role or simulated conceptualizer or even, conceived by the viewer (simulated on the basis of the essential reference frame focused on the conscious subject's body, the perspective of the first-person conscious experience) (733).<sup>14</sup> There are diegetic

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<sup>14</sup> "[...] in addressing first-person ontology it is important to stress the need for further research on a possible common body-centered reference frame in neocortical areas playing a central role in phenomenal consciousness. When interacting uni- and cross-modal maps would obey a common reference, such a framework would provide a natural basis for explaining the first-person perspective in conscious experience. Alternatively, multisensory computational problems may be compatible with non-aligned mapping systems for different modalities. Such an arrangement is compatible with a first-person perspective if it is assumed that phenomenal experience can be dominated by one particular unimodal



representations coagulated around allocentric or egocentric reference frames (2011: 727). An attractor can also be an *interpreter module* which assigns a semantic label to the given concept (Corballis 2003; Baynes & Gazzaniga 2000). As an example Grodal (2017) posits three levels of embodied simulation in film: “three focal points in their film experience: 1. The viewer-I, 2. the character(s), and 3. the I as part of a social community”. For him “the film experience may cue not only first person and third person perspectives, but also a ‘we’ perspective, a 1. person plural perspective”. Those three instances correspond, for me, to the effective level of the **experiencer** (simulation of a first person perspective situated in the event-scene), to the epistemic level of the **narrator** (that adopts a third person perspective on the diegesis), and to the discursive level of the **story-teller** that adopts a shared perspective on the cinematic artifact.

The concept of film can also be defined in terms of the domains presented here. The key features, represented here as the analysis domains of the cinematic audiovisual flow are not necessary and sufficient characteristics, but rather they form a cluster of separate elements which set up the frame for “family resemblances” (Gaut 2000). In this frame only the conspicuousness of some features is sufficient in order to characterize the category of films.

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attractor state set in a body-centered framework (e.g. visual), which however still operates as part of a global-multimodal attractor that is not uniformly set in that same framework.” (Pennartz 2011: 733).

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## The ABC's of Inter-Cultural Communication

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### ***Abstract***

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*Communication is the transmission of information from one person to another with a limited degree of success. And when humans connect successfully over cultural barriers, there are always hidden interests that must be negotiated. Psychologically, all people are born alike, but they become different through enculturation. This process led to the current diversity of national cultures. Cultures are like pyramids with the physical environment at the base, with steps for Behavior, Values and Beliefs in the middle, and with World Views given to us by Science, Religion and Philosophy, at the top. The closer we are to earth, the easier we communicate. The higher we get toward the top, the more difficult to do so. This paper explains why we are different and tries to bridge the gap of communication between different cultures.*

### ***Keywords***

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*communication, culture, value, belief, personality*

*Communication* is the transmission of information (facts, emotions, ideas, concepts...) from one person to another person with a limited degree of success. In its essence it means connecting one brain with other brains. But, allegorically speaking, the biggest distance in the universe, as well as the shortest, is between two brains. Furthermore, when humans connect successfully over various cultural barriers, there are always hidden *interests* that come into play in the business of *negotiations*.

Psychologically, all people are born alike, but they become *humans* through the process of *enculturation*. Without culture people only have instincts that may help them survive within the natural environment. What make us unique are our *brain capacity*, our *cultures*, and our *consciousness*. *Culture* is defined here anthropologically, as everything man-made.

That means materials goods for our physical needs as well as spiritual things for the mind. As for the brain, it develops gradually and if young humans do not acquire certain knowledge and abilities at the right age, such as speech for example, the future adults will never be able to make up for it. As for consciousness, acquiring it is a life-time endeavor and it is still not a fully understood process. In this vein, if the brain can be compared to a complex computer that reacts to our senses, consciousness reacts to a world of ideas. This is

why it is so important to know the *enculturation* factors, material and spiritual, that makes us what we are. **(1)**

The process of *enculturation* implies the immediate family, the natural environment, the school, the society at large, the nation, and eventually the entire world. In the growing and developing process, children evolve and become gradually members of a family, of a local group, then members of a nation, and eventually citizens of the world. However, if children start by being alike everywhere, adults represent first and foremost the native culture that has molded them. With regard to individual formation, while growing and learning, every child goes through several stages: *Imprinting, Modeling, Rebellion, and Adulthood* which brings about *Acceptance and Social Integration*. As a general rule, by the age of about 20 people are already shaped culturally and are integrated into their native societies. After that age only significant events, such as wars, great catastrophes, social revolutions or tragic accidents, can reshape or change a person. **(2)**

In today's world, our culture is also shaped increasingly by modern technologies, such as TVs, telephones, the internet, audio-visual materials, etc. In a way, the world has become a *global village* and some of us have become *global citizens*. However, it has been estimated that only about one percent of the world's population has the knowledge and the means to qualify as global citizens. But, have we acquired *global consciousness*? The answer is No! As of this time in history, people continue to identify chiefly with their *national cultures and interests* which are very much specific to individual countries.

Once people are integrated in their native cultures and societies, they develop several layers of personality to better interact socially. There is an *inner and an outer personality*, a *role-playing one* and a *ceremonial personality*. Each layer requires a certain behavior which is to a large degree specific to every culture. The *inner personality* reflects our intimate attitudes toward the immediate family and toward those we love. It is pretty much universal. A mother is a mother everywhere! The *outer personality* reflects the attitude and behavior toward other people in a public social context. It very much depends on each culture. A *role-playing personality* reflects the behavior in a controlled social context, such as a school, for example. And a *ceremonial personality* refers to specific behavior for special occasions such as religious rituals or official ceremonies. We are all conditioned to accept these roles even without realizing it. **(3)**

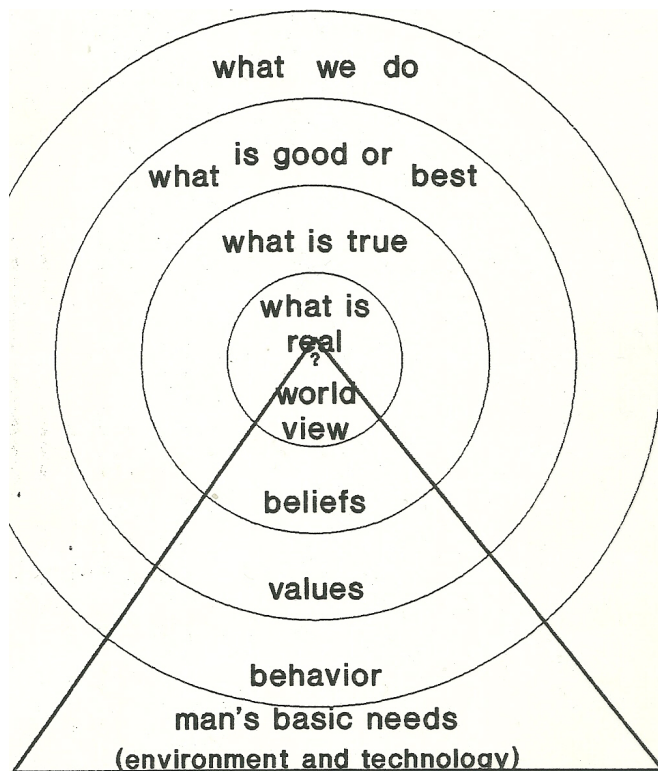
When interacting with members of different cultures, it is highly recommended to observe and respect the local etiquette. If we do not know it, we should be more reserved to avoid taboos or social gaffes. Nevertheless, expect to



make mistakes! It is inevitable, but knowing the ABC's of interacting culturally can help considerably. In this case, *knowing a little can help a lot!*

*Inter-Cultural Communication* is a relatively new inter-disciplinary field of study. Throughout a long career I came across many sources that helped me formulate my own model of understanding. Individual cultures are like *layered pyramids*. (See Figure) We may share the same base, which at a global level is the physical earth itself, but the apexes of the pyramids are in the recesses of our minds or somewhere in heaven, worlds apart from each other. In an allegorical way, we live with our feet strongly planted on the ground, but with our minds up in the skies! We may easily agree while counting beans and negotiating, and yet disagree completely in the world of abstract ideas!

This paper addresses the process of cultural formation chiefly as *national cultures* and it tries to answer three basic questions: *Why we are different? What is the Culture Pyramid? And what should we do to better understand each other and to communicate more successfully?*



*The Culture Pyramid*

To understand humans we should visualize culture as a *Layered Pyramid*. (4) At its base is our interaction with the physical environment around us. It could be an arctic or a tropical environment, mountain sides or sea coasts, a rural village or an urban industrial site. In each one of these cases we need a certain *Behavior to Do* what is needed to *Make a Living*. Thus, from the very beginning and depending on the environment, humans have developed in different directions. Yet, this is the level where we have most in common with each other. Inter-cultural communication at this level is the easiest. When people of different cultures come together, what they notice first is their behavior and the language they speak. Behavior and languages are in fact the most visible parts of any culture. When we raise children, we try to guide them toward a desirable behavior. When we teach school, we try to shape the behavior of the students. When we get in touch at any age, we try to adjust and influence behavior. However, *behavior* is just the most visible layer of culture. In a way, behavior can be compared to the visible part of an iceberg. What we see is only ten percent of the iceberg and it is indeed very important, but what we do not see is the invisible part of culture that determines our behavior. And to further complicate the issue, even at behavioral level, what is *normal or desirable* in a given society, may be *abnormal or undesirable* in another one. It is all relative!

Furthermore, behavior is strongly influenced by *perceptions* which are received through our five senses. Theoretically, human senses should be rather similar at birth, but if this is the case, why does the world seem so different from culture to culture and even from person to person? Perception is described as the variance between what a person believes to be *real* and what is *actually real*. But, what is real?

From a perception point of view, something funny happened to me when I was a professor in Addis Ababa, Ethiopia. At the time, I was lodged in a small house next to a garden where the owner had a number of chickens. Everyday a rooster would wake me up early in the morning with its well-known crow. One day I explained to a colleague of mine that I was coming early because the rooster woke me up with his *Cucurigu!* He began to laugh because in his native language the rooster sang differently. Then, I remembered that in French *Cucurigu* is *Kikirikiki*, in Spanish is *Cucurucucu*, in Italian is *Cocoricoco* and in English is *Cock-a-doodle-doo!* Gee! The rooster knows so many languages! Or, is it just us, humans of different cultures that perceive its crow differently? Actually, most of our perceptions are the result of *enculturation*.

Geography, expressed as various environments, has spread us apart in the past and has made us culturally very different. History, or the passing of time, is now bringing us together, but we still have a long way to go. I often use the

example of bringing together one person from a hot equatorial forest with another one from an icy arctic place. Theoretically, I put them together in the year 1900. What would they have in common? How will they relate to each other and what will they communicate? Remember, an Inuit from Greenland has a dozen words for snow and there is no such word in Amazonia. Yet, what a difference one hundred years has made! Jump to the year 2000 and put together an auto mechanic from Romania and another one from Japan. They will have a lot in common with each other and communication between them would be as easy as ABC.

Let's now jump to the top of the culture pyramid in the invisible world of thoughts, ideas and concepts. What are the Indian concepts of *Maia* and *Karma*? What does *Immaculate Conception*, *Second Coming* or *Resurrection* mean to non-Christians? Such concepts must be explained and yet, they are very important because they give direction and spiritual sense to our lives. It is the apex of the pyramid that gives us our *views* and our *understanding of the world*. At this level, cultures try to answer the questions: *What is the meaning and the purpose of life? What is real in this world?* And this level of *world-views* is linked to our *Beliefs and Values* and it influences our daily *Behavior*. (5)

Every culture, big or small, must have a *World-view* and a *System of Beliefs*. Throughout history, *World Views* and the *Belief System* have been handed down to us first by *Religion and Philosophy* and more and more recently by *Science*. Science dominates in today's world, but Philosophy remains important and Religion still prevails in many societies. This high level of mental pursuits is open to those great scientists, religious leaders and philosophers who can climb the pyramid and expand our knowledge. By doing so, they find new layers of realities and truth and they enrich us all. Encouragingly, the possibility of climbing the pyramid of knowledge is open to all of us. We only have to engage on the road of discoveries and enlightenment. Though, the pursuit is not easy!

Take science, for example. Such personalities, as Copernicus, Newton, and Einstein, have changed the world with their new ideas and discoveries. However, science adds continuously new layers of knowledge, and with every new layer it redefines our understanding of the world. What was true yesterday is no longer true today and the *concept of truth* may change again tomorrow. Remember that once *the sun revolved around the earth!*? Then, what is really true in this world and how we define the very idea of *Scientific Truth*? For example, what was the Big Bang and who or what triggered it? What is a multi-verse? Is there an *Ultimate Truth*? We do not know and this is why skeptics find major problems with both science and religion. People believe now that atoms and subatomic particles do exist, but has anyone seen an atom? No, because atoms are not visible, but we accept their existence because we trust our scientists. On the other hand, has anyone seen God? No, but people believe in His existence because of *Faith!*

Between the visible layer of behavior and the invisible spiritual layer there are two other very important layers that link the subjective world of ideas with the objective world surrounding us. They are *Values* and *Beliefs*. They connect *what we do as practical Behavior* with the *World View* as an *intellectual construct*. *Values* respond to *what is good or bad*, or *what is normal and abnormal* in any society at any given time. They do change, but very slowly. Values influence people's daily attitudes and behavior and are influenced by the belief systems. As for *Beliefs*, they answer to the question *what is true*, or *what we hold to be true*, and are influenced by our world views. Yet, we still have to define what *True* is. What we know for sure is that everything is changing in the world, including ourselves. Are we advancing toward a universal culture? The answer should be yes, but we do so very, very slowly. And one more thing! While *Values* are adopted by social consensus and are given to us by society, *Beliefs* are accepted collectively or personally by *Faith*. Yet, beliefs are hard to prove, are a lot more stable, and are very difficult to challenge. (6)

It should also be stressed that *Behavior, Values and Beliefs* are interrelated and overlapping. For example: Attending a religious service is an act of Behavior. Respecting the church and any temple is a social Value. Believing religious precepts is an act of Faith. Separating them is not easy and understanding them requires openness and patience. However, we do adapt and change our behavior. We even change or at least adjust our values. But, changing beliefs or negotiating religious principles is practically impossible. Thus, when interacting cross-culturally, we should not challenge other people's tenets!

Returning to the top of the pyramid, we see that while Science is bringing us together, Religion is still keeping us apart. This is probably why the current advocates of *globalization* are trying to replace religion with the concept of *Human Rights*. But, between the two there is a huge difference. Religion is like a cross with two intersecting arms. The vertical or spiritual arm is linking us to what many people think to be a divine force. And they relate to the Divine through the Belief System. The horizontal or ethical arm of the cross is linking people socially to each other and together to the environment. That implies Behavior and Values. Yet, the concept of human rights is only governing social relations in a world which otherwise seems to be God-less and devoid of any spiritual purpose. This may explain the lack of values and the aberrant behavior that prevails in today's world.

There are many pyramids of culture in the world, but the most typical is the national one. Within the world cultures each nation develops a national character which embodies its essential characteristics. Then, the closer two nations are, the closer their characters and the easier to communicate. The further they are, the more different they become and the more difficult to understand each other.

However, each person is also an individual pyramid of knowledge and understanding. Thus, when interacting with others we should see each one of us as a unique person and we should try to link at a personal level. Learning the name of the person you interact with, and pronouncing it clearly and correctly, is the first step toward good communication.

When people get together, most of the time they try to interact. The closer they are to the base of the pyramid of culture the easier to communicate. The higher up the pyramid, the more difficult to understand and agree. On the practical side, it is essential to know the situations that bring together people of different cultures. Most common are: tourism, studying abroad, refugees and immigration, work on contracts, diplomatic representation and others. In any of these situations one should remember the *Purpose* and the *Reason* that make us interact. It is one thing to visit a country as a tourist and a completely different story if one is assigned to perform a job abroad.

It is also worth knowing that when speaking, only some 30 percent of what we communicate is relayed orally, while 35 percent is relayed by paralanguage and another 35 percent by body language. (7) It should also be stressed that numbers and nouns are the easiest to communicate while adjectives are more difficult because they carry subjective values. Either way in a different cultural setting one may encounter what appears to be a *strange world*. And one may even suffer an unexpected syndrome that has been defined as *Culture Shock*. With patience and with some moral support, most people manage to overcome it. This is the price we pay for moving away from our native cultures in the era of globalization! Last, but not least, we all have various *interests such as personal, business or national interests, and we all try to pursue them*. *Interests* distort the *ideal* model of communication and trigger the delicate process of *negotiations*. This is a particular case of communication.

**Explanatory Note:** Most of this article is based on Dr. Nicholas Dima's book *Cross Cultural Communication* (Washington, DC: The Institute for the Study of Man, 1990) as well on his course with the same name given periodically at the Romanian-American University of Bucharest and on his personal experience.

#### **Footnotes**

1) Larry Samovar and Richard Porter, Intercultural Communication a Reader (Belmont, CA: Wadsworth Publishing Co., 1976), in passim. For other general ideas cited in this article see also John Condon and Fahti Yousef, An Introduction to Inter-cultural Communication (Indianapolis, IN: Bobbs-Merrill Educational

- Publishing, 1977) and Carley Dodd, **Perspective on Cross-Cultural Communication** (Dubuque, Iowa: Kendal/Hunt Publishing Co., 1977)
- 2) William Haviland, Cultural Anthropology (New York: Holt, Reinhart and Winston, 1983), p. 139 and in passim; also Morris Massey, The People Puzzle (Reston, VA: Reston Publishing Co., 1979), pp. 25-51
  - 3) Juris Draguns, *Culture and Personality*, in Perspectives on Cross-Cultural Psychology, edited by Anthony Marcella (New York: Academic Press, 1979), p. 179
  - 4) Lloyd Kwast, *Understanding Culture*, in Perspective on the World Christian Movement, Ralph Winter, ed. (Pasadena, CA: William Carey Publishing, 1981), pp. 362-363
  - 5) David J. Hesselgrave, **Communicating Christ Cross-Culturally** (Grand Rapids, MI: Zondervan Publishing House 1978), chapter 4, Lloyd Kwast, Op. Cit., p.363
  - 6) See among others Pierce Beaver, ed., The World's Religions (Grand Rapids, MI: Erdman's Publishing Co., 1982)
  - 7) Carley Dodd, Cross-Cultural Communication (Dubuque, Iowa: Kendal/Hunt Publishing Co., 1977), pp. 54-55

**Transcendental Predictability**  
**On beauty, loss and remembrance in anime movie**  
**The Tale of Princess Kaguya (2013)**

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**Abstract**

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*Since its foundation in 1985, Studio Ghibli has become the epitome of a successful enterprise dealing with the production of cultural assets: animation works, both aesthetically reflecting the reality and ideologically tackling current issues such as environmental pollution, social discrimination, the process of growing-up, historical responsibility, the meaning and value of life, love as a complex emotional paradigm. Based on extensive fieldwork – interviews and participatory observation over several years – as well as in-depth literature research, this presentation underlines some of the creative strategies such as emotional ambivalence, dynamic reconsideration of folk-tales, legends and myths, artistic highlighting of the spiral-like dialectics of cause and effect –, employed in Takahata Isao's last anime movie *The Tale of Princess Kaguya* (*Kaguya-hime no monogatari*, 2013). While taking into account Studio Ghibli's aesthetic-ideological position within Japan's soft power macro-endavors, this presentation points out the intricate levels comprised by the phenomenon of "self" as media-related construction in the unstable stress-ratio between individual aspirations and historic-geographical embedding. Thus, it becomes obvious that beyond being a physical appearance with clearly defined standards of "inside" and "outside", "self" is a highly personal concern, related both to the socio-cultural context of its emergence and to the economic-political path of its development. In times of the ubiquitous Cool Japan symptomatology, the reinvigoration of folk tales, local myths and legends provokes a nostalgic U-turn towards a more classical Japan with the simultaneous intellectualisation of the popular culture encompassing the rather conservative message that love, happiness and existential fulfillment are still individual choices in late-modern Japan.*

**Keywords**

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*anime, femininity, feminism, late-modern Japan, love.*

**1. Introduction: why individualism matters**

Nowadays, it is a common endeavor to search for answers to general questions about humanity and nature, femininity and masculinity, war and peace, technology and emotions, truth and integrity beyond the typical Western dualism of good-and-evil paradigm. Looking across cultures, times and spaces, in an proactive effort to accomplish different results to the same old challenges, implies more often than not the transgressing of emotional and mental barriers while not losing sight of one's own core identity. Such animation movies like *The Wind Rises* (*Kaze tachinu*, Studio Ghibli, director: Miyazaki Hayao), *Frozen* (Walt Disney Pictures,

directors: Chris Buck & Jennifer Lee) and *The Tale of Princess Kaguya* (*Kaguya-hime no monogatari*, Studio Ghibli, director: Takahata Isao), all released in the year 2013, seem to offer unexpected solutions to the century-old interrogations about the role of the human being and its quest for happiness and fulfillment. Miyazaki's work might be by far considered the gentlest animated feature about war, dealing with the fictionalised biography of Horikoshi Jirô (1903-1982), the aeronautical engineer who designed Mitsubishi's A5M fighter and its successor the Mitsubishi A6M Zero fighter, employed by Japan during the Pacific War, more specifically, during the attack on Pearl Harbor on December 7th, 1941. On a deeper level, though, *The Wind Rises* tells the all-too-known story of great dreams and the individuals harnessing them, and the way these dreams and their carriers are taken over by the waves of history. The other two animation movies, *Frozen* and *The Tale of Princess Kaguya*, tackle the problematic of femininity and its position in late modernity, while referring to the narrative foundation of old legends and folktales (see Barker 1989:31, Drazen 2003:211, Gluck 1985:42, Grajdian 2010:118). Furthermore, in soft tones of emotional transcendence, they obtrusively display parables on the risk and responsibilities of uncontrollable power in the hands of individuals, and thus provide symbolic undertones of female empowerment through the prism of the weight of personal choices in the midst of increasing popularity and solitude, so that Andersen's fairy-tale respectively the old Japanese folk-tale become spaces of longing, and paradoxically, belonging.

This paper will focus on *The Tale of Princess Kaguya*, and its role in the redefinition of femininity as a site of acceptance and compassion, instead of an active interplay of competition and power, as the feminist discourse and the historical reality modeled by that discourse has been constructing it for the past 60 years. This will occur in three stages: firstly, in an initial explanation elucidating the technical data of the anime movie, I'll refer to its characteristics, idiosyncrasies and intricacies, both as a product of popular culture emerging in a specific geographical area and within a particular historical moment, and as a reflection of the status-quo which crumbles under the weight of political correctness while challenging cultural identity as an ongoing individual project. Secondly, I'll refer to the *The Tale of Princess Kaguya* as a feminist project, in a research endeavor striving to connect late-modern feminism and feminist parlance with the original ideals and claims of proto-feminists – and what was, and probably still is, at stake when feminism is approached as a battlefield, a “semiotic guerilla-war”, instead of an opportunity for growth and communication, an interface for understanding and cooperation, a spiritual journey in the quest for authenticity and harmony. Thirdly, I'll focus on the interplay of Western and Eastern dynamics of modernity as reflected in *The Tale of Princess Kaguya* as a product of popular culture as well as its representation of femininity as the driving force for progress and enlightenment, and I'll delve into the problematic of recent trends in Japanese popular culture beyond the classical Soft Power or Cool Japan paradigms and within the framework of historic-geographical events in late-modernity (in the *Conclusion*). Moreover, as it will become obvious alongside the analytical explanations further below, the dialectic relationship between love, empowerment and identity



construction as discursive products are actively negotiated by means of cultural production, marketing, consumption/perception and reproduction. This relationship implies three main strategies – emotional ambivalence, the dynamic reconsideration of legends and myths, the subtle highlighting of the spiral-like dialectics of cause and effect – employed in the process of reconstructing the past as a repository of emotional energy and socio-cultural role-models, beyond economic-political compulsions.

The ideas and concepts outlined in the current paper are the result of an extensive fieldwork over more than a decade of intensive research on anime, animation and the representation of reality in products of the entertainment industry. The fieldwork included numerous interviews with anime producers and anime consumers (hard-core fans or occasional viewers) as well as participatory observation. Takahata Isao, the director of *The Tale of Princess Kaguya*, provided powerful meaningful insights into the workings and mechanisms of his activity as animation director and co-founder of Ghibli Studio during countless discussions in the years 2005-2007. Furthermore, the entire research endeavor was rounded-up by in-depth literature research, both directly related to the field of animation and its adjoining fields (entertainment industry, cultural consumption, the politics of leisure, etc.) and indirectly tackling the theoretical dimensions of the academic background (Cultural Studies, Media Anthropology, feminism, semiotics/poststructuralism, Post-Colonial Studies, etc.). In the process of pointing out the intricate levels comprised by the phenomenon of the “feminine self” as media-related construction in the unstable stress-ratio between individual aspirations and historic-geographical embedding (see Clarke 2004:25, Clammer 2000:212), it becomes obvious that beyond being a physical appearance with clearly defined standards of “inside” and “outside”, the “feminine self” is a highly personal concern, related both to the socio-cultural context of its emergence and to the economic-political path of its development. In times of the ubiquitous *Cool Self* symptomatology, the reinvigoration of local myths and legends provokes a nostalgic U-turn towards a more classical worldview with the simultaneous intellectualisation of popular culture encompassing the rather conservative message that love, happiness and existential fulfillment are more than ever individual choices in late-modernity. *The Tale of Princess Kaguya* re-constructs, in its own specific ways, a singularly stunning path towards love, happiness and existential fulfillment as an individual choice: without aggressively displaying femininity as the solution to all evils, its main character, Takenoko who will later become Princess Kaguya, the orphaned single-child found in the forest who hides a terrible secret, unknown even to herself until the time is due for it to be revealed, finds in her feminine core the answers to questions and the healing to pains which seemed previously insurmountable.

## **2. The impact of popular culture products on the consolidation of gender and identity**

As a high-caliber institution of the entertainment industry, Studio Ghibli has been establishing specific standards, both ideologically and aesthetically, in delivering its products to the all-too competitive market of popular products. As to

be shown further below, *The Tale of Princess Kaguya* was released in a historical context in which a series of events at various levels – cultural, social, economic, political and not least technological and educational – had led to an increasing pressure of redefining “gender roles” in practical terms which would allow larger segments of the population to choose and learn to cope with the new realities of the 21st century. Intentionally or not, *The Tale of Princess Kaguya* displays the state of the arts, and while employing a well-known plot based on an old Japanese folk-tale, it commits itself to a process of re-semanticization of that very plot through the creative distribution of its characters and their interactions with each other. Thus, there is a two-fold structure of significance: firstly, femininity and its core element “love”; secondly, individual identity and its interplay with “love” as a manifold force.

### **2. 1. Animated stories and the victory of femininity**

Based on the oldest-known Japanese folk-tale named *The Tale of the Bamboo-Cutter* (『竹取物語』 *Taketori Monogatari*), which dates back to the 10th century and is considered the oldest extant Japanese prose narrative, although the oldest manuscript dates to 1592, *The Tale of Princess Kaguya* is the story of a Thumbelina-like girl found in a bamboo in a forest by an old bamboo-cutter who decides to raise the small girl together with his wife in their rural home. Life in this sacred space is idyllic, and the mysterious girl soon earns the nickname Takenoko (Little Bamboo) for the speed with which she grows, much faster than other kids. The equally miraculous discovery of gold and rare fabrics in the bamboo-forest convinces the old bamboo-cutter that this eerie creature deserves better, and he moves her to the capital to offer her a life worthy of her fantastic appearance and to seek a husband befitting her apparent aristocratic status. Soon, her newly rich parents install her in a mansion, surround her with servants and have her trained in the ways of the aristocracy, and subsequently try to marry her. A succession of suitors ensue, all desperate to earn the hand of the mysterious young woman whose ethereal beauty has become legendary – but she rejects all candidates, including the emperor, allotting them impossible tasks to fulfill. Deep in her heart, trapped within the superficial cage of a noble home and rigid social etiquette, the now formally named “Princess Kaguya” longs for the lost countryside of her childhood, she pines for her earlier, simpler life – the birds, bugs, beasts, grass, trees and flowers of the nursery rhyme that keeps running through her head, and the friendship of the handsome boy Sute-maru, which has sparked an eternal flame in her heart. Incidentally, she reveals that she is from the moon and must soon return to the land of her birth.

On the surface, *The Tale of Princess Kaguya* is the story of a reluctant young girl painfully yearning to go back to the forests and hillsides of her childhood, but in Takahata’s vision, it becomes a meditation on life’s heartbreaking ephemerality. The film was drawn, over roughly a painstaking decade of quests and drawbacks (though arguably rooted in Uchida Tomu’s unfinished Toei Animation project from the 1960s), in an unfinished-looking freehand – like the animators were chasing after the princess in person, trying desperately to capture the essence

of each moment as it flew away. Moreover Takahata, uses the setting of classical Japan as an opportunity to work in an eerie register that blends humane social-realism with a clear-eyed spirituality, and pushes the challenges and limitations of the animated medium to its expressive boundaries. Landscapes fade towards the edges of the frame, and at moments of heightened emotion – such as the princess' frenzied escape from her coming-of-age celebrations, one of Ghibli's greatest-ever sequences – characters fall apart into flurries of watercolor and charcoal. The visual result is a surrealist construction with the haunting simplicity of an ancient scroll-painting coming back to life.

The story is well rehearsed, yet still startlingly strange, and turns this richly evocative anime movie into a timeless vision corresponding to the tale which inspired it – a parable of the emptiness of earthly possessions and the transcendent power of love. There are, indeed, weighty sociopolitical themes to be extracted out of the story's tale of exile and forgetfulness, reward and banishment, but the dominant tone is one of painful tenderness – of the rapturous, bittersweet enchantment with nature that has underwritten so many of Studio Ghibli's works. While the elaborate set-pieces in which suitors are commanded to bring forth the mythical elements with which they falsely describe their love (the robe of the fire rat, the jewel from a dragon's neck, etc.) remain intact, it is, deep-down, the typically independent heroine's longing for the simple pleasures of the world that actually fire the action: seduced by the woodland haven in which she first makes her home, the mysterious Takenoko ventured from the Moon to the Earth to experience human life. Rendered with deceptive simplicity, the undulating landscapes of her childhood Eden are as attractive and alluring as any fantastical screen environment, both on the Earth and on the Moon. Moreover, Princess Kaguya's legendary and unspeakable beauty is left as much to the imagination as to illustration, implied by the unprettified strokes that delineate her face. The subtle touch of elusiveness in the constitution of her face and stature metamorphoses into a soft uncertainty that allows her visage to slip almost imperceptibly from childish innocence to lunar luminescence, visible as early as in the scenes describing her early years, in which she learns to jump like a frog – in themselves, a profound, sentimental study of the complex (e)motion of childhood that must have had parents all over the world gasping with recognition.

It's a world of charcoal lines and watercoloured flashes; one can almost feel the brushstrokes upon fibrous paper as the proudly hand-drawn action unfolds, skittish motion drawing our attention to the old-fashioned artistry of key collaborators Tanabe Osamu and Oga Kazuo. With its languid pace and expansive running time, *The Tale of Princess Kaguya* might have missed the immediate connection with younger audiences, both Japanese/Asian and Western, which more popular anime works had achieved, as reflected in box-office sales. Still, Takahata's sensible historical fantasia, which was defeated to the best animated feature Oscar by Disney's anime-inflected *Big Hero 6* (released as *Bay-Max* in Japan), is a powerful, though subtle masterwork, very different in tone and message as compared to the director's most celebrated works, *Grave of the Fireflies* (1988) and *Only Yesterday* (1991), but arguably more flexible in its display of the frailty and transience of the human existence.

Emotions and moods are anchored to specific moments of stillness, such as when Takahata occasionally cuts away mid-scene to a flower, or an animal, or running water, which become intensive in their unexpected interference: “Flower, bear fruit and die; be born, grow up, and die. Still the wind blows, the rain falls, the waterwheel goes round. Lifetimes come and go in turn.” The closing chapter, in which the princess meets the heavenly beings who placed her in the bamboo grove in the first place, is a gorgeous *raigo-zu* – a celebratory tableau of the Amida Buddha and a troupe of *bodhisattvas* descending on a cloud that heralds a passage into the next world (see Takahata 1991:421, 1999a:344, 1999b:62; Köhn 2005:122-131, Grajdian 2010:97). On the highly emotional background of the hope-against-hope finale, it transcends the coolness of the set-up, displaying a fantastical parade of celestial creatures who can glide through walls and turn arrows into garlands of flowers, and almost endearingly encourages the audiences to keep watching the skies: more than previous cinematic adventures as Kon Ichikawa’s live-action *Princess from the Moon* based on the adaptation of the 10th-century Japanese folktale *Taketori Monogatari*, *The Tale of Princess Kaguya* overcomes the science-fiction allusions and delves into the depths of the human longings and fears – and transcends them beyond their all-too-predictable repetition.

## **2.2. The will to love and the struggles of feminism**

At its very origins, feminism started out in an effort to re-capture femininity from the all-consuming jungle of industrialization and urbanization, the two main elements of modernization. Proto-feminists saw themselves in cross-fires in a society rapidly changing, which required both their reproductive and educative abilities and their skills to be employed at the workplace – a workplace patterned upon male necessities and ambitions, to be sure, in factories and ports, in coal-mines and on ships, in the building-industry and on the fields. In the historical context of a brutal and increasing de-feminization of women as potential members of the active workforce and of male voices in the political, medical, technical/technological and cultural discourse, the intellectual among women at the turn of the 19th century toward the 20th century, and in the first half of the 20th century, initiated a counter-movement targeted at disclosing female citizens as equal to the male citizens, but different in their biological and emotional structure. The main ingredient within this discourse was “love” as the core element of the female identity, which mistakenly led decades later to “sex” as equaling “love”, and to the “sexual revolution” as the climax of female liberation and empowerment. However, what proto-feminists meant through “love” is what sociologists would identify as the “missing link” in late-modern societies, thus condemning them and their members to loneliness, isolation, alienation: a vital force residing within the human being, the catalyst of all emotions and actions, connecting the universal energy and the individual aspirations into one powerful flow of intent, which consequently leads to profound connections both on the surface of social network and in the depth of the family cell (Kawakita 1992:33, Riesman 1950:18-22). More concretely speaking, “love” as it is referred to in terms of gender affiliation to femininity, is that ineffable strength which resides in women and allows them to be

mothers and primary educators, thus protecting the species from its own extinction, even in times of complete recession or social disintegration.

The reconsideration of the concept of “love” as the core element of female identity and the very force which instigates female spirituality, its re-capturing by means of products of popular culture appears as the main focus in *The Tale of Princess Kaguya*, and draws on three main ideas: firstly, there is the failure of the paternal figure and, generally speaking, of the classical family model. Instead, it is good to remember that works of popular culture rarely deal with functional families and communities, but rather with dysfunctional structures. Parental love appears as a means to restrict and condition children, and lead those children into inevitable crises which, eventually, will only strengthen their sense of self. Like in *Frozen*, in *The Tale of Princess Kaguya*, the emotional needs of the children are not met, the kids being advised either to “conceal, not feel” (in *Frozen*) or to give up a life they enjoy for something their father has chosen for them, as the future Princess Kaguya has to painfully acknowledge.

Secondly, there is the failure of romantic entanglements as the solution to all evils. The officially named Princess Kaguya, famous for her unworldly beauty, clearly shows that she doesn’t need any man to help her out of her situation and lead her find her place in the world. Rather, her fulfilment as an individual results from the dissolution of gender limitations and the sublimation of her own fears, either by acknowledging that runaway to the past and the recurrent loneliness are not valid alternatives to her current life, or by accepting that there are choices one makes in the rage of the moment, like when she invokes the fellows from the Moon to take her back from the impertinent, inconsiderate advances of the emperor. Ultimately, she learns that she must carry on those choices, as the only control she has over circumstances is her own reaction to what’s coming their way – and the power to move on.

Thirdly, the solution proposed by *The Tale of Princess Kaguya* is one of astonishing simplicity: it indicates of that moment when the necessity and inevitability of building an own identity become imperative, accompanied by an urgent sense of self-awareness and responsibility. Princess Kaguya learns that runaway and hiding are no sustainable solutions, and she must face the realities of growing up and confront the outer world with her own innermost yearnings and desires – and fears, for that matter, as well. She internalizes the lesson that accepting oneself leads, inevitably, to accepting the others, on one hand, and on the other hand, to a deep-going sense of authenticity in pursuing a life in which the self is free to love and live – independently of consequences.

The most important element in the construction process of individual identity is, thus, a profound crisis followed by a conscious commitment towards one’s own self, ideals and flaws included, separated from external compulsions. Overcoming the individual levels of self-questioning and self-recovery, this process of identity construction finds its completion in unexpected ways: there is a specific dystopian undertone in *The Tale of Princess Kaguya*, with its loss of community and the dismantlement of family ideals, visible in the uncanny ending respectively in the sudden leap into fantasy in the love scene at the climax of the movie – an adultery love scene, to be sure, unique in Studio Ghibli’s strict moral

guidelines. There is a deep wisdom in this film, but a deep sadness too. The film's tag line, "A princess' crime and punishment," offers a clue, while Takahata himself has said he wanted to explore what "crime" Princess Kaguya might have committed, since the original story is silent on that point. His exploration, though, has little to do with plot, and everything to do with his heroine's emotional and spiritual journey — and the way it ends (see Keene 1993:77, Bary 1995:58). The climax is a haunting, wrenching evocation of *mono no aware* — or as it is literally translated, the pathos of things. The basis of Japanese aesthetics since time immemorial, *mono no aware* is hard to define, but *The Tale of Princess Kaguya* brilliantly illuminates it with images of life being the loveliest in its transience, of parting in its terrible finality, very different from the other 2013-blockbuster *Frozen* which scores points mainly for its originality in the tender acuity with which the relationship between the two sisters is observed.

Thus, in *The Tale of Princess Kaguya*, individual fulfillment and a clear sense of self emerge from "love" as what one could call an "invented emotion" intensively negotiated by proto-feminists in their quest for a working definition of femininity and its features, its necessities and its challenges – as well as its ideals. It allows for transfer of significance in historical terms, which leads, in its turn, to socio-cultural affiliation as the result of conscious choices on the basis of everyday events and accumulated life experience. Emotional ambivalence delivers the impetus to intellectual activism transcending time and space. Social actors, as Pierre Bourdieu put it, grow into responsible, self-aware citizens (Bourdieu 1979:128-137, Morley/Robins 1995:79-81. More than being a plain animated *bildungsroman* in terms of classical education and formation, *The Tale of Princess Kaguya* (like *Frozen* in its own way, as well) creates aesthetic-ideological spaces where the overcoming of loss and fear leads to the creation of the mature individual, embedded in historical reality, which turns, again, into a site of responsible, self-aware citizen participation. The responsible, self-aware citizen becomes able to live in the moment and to respect life as the most precious asset one possesses and could ever possess. Thus, instead of running away without looking back and rejecting any sort of responsible awareness, the "feminine self" of late modernity accepts its role as part of a larger community – and emerges from within this very community as a messenger of love, of gratitude and of forgiveness as well as of the power of remembrance.

### **2.3 Yearning for harmony and the re-negotiation of modernity**

In Seventeen years after the beginning of a new millennium, Japan might still seem at times as an incomprehensible conglomerate, with its own dynamics and inner mechanisms. As the only non-Western nation to have attained Western standards of development, both in terms of economic strength and in terms of its citizens' lifestyle, Japan carries into the new era interrogations and insecurities inherited at the beginning of its modernity, by mid-1800s, when the Meiji Restoration was declared with its entire spectrum of decisions and consequences. For once, the challenges Japan is facing nowadays are unique in their historical primordality, and require unprecedented solutions. Moreover, the historical habit

of Japanese technocrats to take over and employ Western proven methods to their own crises and misunderstandings, after previously having adapted them to the Japanese realities, is not helpful anymore, due to the unprecedented nature of the problems overwhelming Japan currently.

There are three main challenges confronting Japan nowadays:

1. the ecological one (the lack of natural resources locally respectively the increasing diminution of natural resource on an international level);
2. the social one (the historically low birth-rate and the extremely high life-expectancy);
3. the military one (the aggressive neighbours in Asia as well as Russia in the North and Japan's unstable, rather weak position in the region, lurking under the surface of diplomatic promises, conventions and treaties)

However, the second issue, the one affecting Japan's population, seems to carry the heaviest weight: a general sense of apathy in the society, resulting from a mental and spiritual exhaustion over the past 25 years, following the huge shock in the early years of the 1990s when the economic decline abruptly started, which was, in turn, the result of a blind trust in the political elites and specialists which had led to a lack of self-control and caution among the regular citizens, otherwise natural elements within the survival instincts of the human being (see Allison 2013:145, Bauman 2001b:107, 2002:94). This generalized sense of apathy leads, continuously, though inconspicuously, to hopelessness, which turns, eventually, into the unwillingness to love and procreate. Recent statistics and sociological data talk of "herbivore men" and "carnivore women", of 42% virgin men aged 18-39 and of women marrying men 10 years or more their juniors in order to establish a family according to prevalent standards (see Azuma 2000:28, Saitô 2000:37-45, Shimada 2002:173, Yamada 1999:73-77). There are, surely, multiple reasons at the core of this social upheaval, but the fact strikes out that without an active, strong, confident population in its majority, there is no way politicians and economists can solve and move political and economic challenges on their paths towards constructive, future-oriented solutions. Populations function according to own inner dynamics, which are, though, historically observable and practiced; the lack of children – with the whole range of issues which arise from it, such as a lack of hope, of the willingness to strive for happiness and to share that happiness, to prolong one's ephemeral existence into eternity by finding a partner and procreating, the vision of a future itself beyond the biologically limited individual life, the pursuit of goals meant to make the world a better place – indicates deeper malfunctions within the Japanese society, which have been repressed for decades (see Bauman 2001a:19, Miegel 2005:112-131, Ivy 1995:114). The most fundamental among these malfunctions is the power of the feminine instance and of femininity in its most fascinating dimensions: its regenerative abilities, its comforting glow, its visionary optimism and energy. *The Tale of Princess Kaguya* refers, in this reading, to the necessity to reconsider femininity and its loss through a wrongly understood and applied feminism, and to regard its reinvigoration respectively its re-positioning at the centre of humankind.

With the plaintive sound of a half-remembered folk song echoing through the trees, *The Tale of the Princess Kaguya* brings the audiences to its audacious

final act into a state of elegant readiness. It would have been easy for this section to tip over into fantastical foolishness, but as the narrative takes flight and worlds collide, we find ourselves hoping against hope for a Disneyfied happy-ending. What we get instead is something altogether more elegiac – a cosmic conclusion of operatic proportions that somehow manages to sit organically among the lyrical frolics that have gone before it. The main song, *Memories of life* (「命の記憶」 *Inochi no kioku*), created by the in-house composer of Ghibli Studio Hisaishi Joe, sung by Kazumi Nikaido, puts this best into perspective.

あなたに触れたよろこびが  
深く 深く  
このからだの 端々に  
しみ込んでゆく

ずっと 遠く なにも  
わからなくなっても たとえ  
このいのちが 終わる時が来ても

いまのすべては 過去のすべて  
必ず また会える  
懐かしい場所で

あなたがくれた ぬくもりが  
深く 深く  
今 遥かな時を越え 充ち渡ってく

じっと 心に 灯す情熱の炎も  
そっと傷をさする  
悲しみの淵にも

いまのすべては 未来の希望  
必ず憶えてる  
懐かしい場所で

いまのすべては 過去のすべて  
必ずまた会える  
懐かしい場所で

いまのすべては 未来の希望  
必ず憶えてる  
いのちの記憶で



The joy I felt when I touched you  
Went deep, deep down  
And seeped into  
Every nook and cranny of this body

Even if I'm far away  
And no longer understand anything  
Even when the time comes  
For this life to end

Everything of now  
Is everything of the past  
We'll meet again I'm sure  
In some nostalgic place

The warmth you gave me  
Deep, deep down  
Comes to me now, complete  
From a time long past

Steadily in my heart  
The flames of passion give light  
And softly soothe my pain  
Down to the depths of my grief

Everything now  
Is hope for the future  
I'll remember, I'm sure  
In some nostalgic place

Everything of now  
Is everything of the past  
We'll meet again I'm sure  
In some nostalgic place

Everything now  
Is hope for the future  
I'll remember, I'm sure  
When I remember this life

At a historical point in which the law of “the strongest who wins and continuously moves forward” as promoted by Western dialectics seems to have definitely got out of hand, *The Tale of Princess Kaguya* offers an alternative to this perspective, while deeply touching on the problematic of the return to those tales which made humanity a soft, warm place to embrace all inhabitants, with no need to fight and

hate each other. While clearly successful life is measured nowadays in materialist accomplishments, deeper levels of contentment and happiness are shut-down through education and role-models imposed by mainstream media (Luhmann 1996:32; see Bauman 1997:22). The meaning of “male” and “female” moves from the biological dimension into the discursive formation, and the very nature of masculinity and femininity is challenged in the light of ever-changing patterns of success and progress based on hedonist criteria. In this late-modern chaos, *The Tale of Princess Kaguya* brings a ray of order and hope: There is, to be sure, no reassuring, superficial optimism, no place for a lesson along the lines “the charming prince will come one day” and its aggressive cousin “nevertheless, you are perfectly fine without him – and you can even live happily ever after without him”. Instead, there is the powerful, encouraging suggestion of the admittedly more difficult alternative: discipline and hard-work, humility and self-confidence, loyalty and respect, the establishing of a life-goal and its steady nurturing, cherishing victories and learning from setbacks, thus disclosing the delusional charm of a worldview based on the cultural consumption of pre-fabricated emotions and instant gratification, and revealing the beauty of human life as a project of love, belonging and compassion.

### **3. Conclusion: towards an anthropology of femininity**

Liberation and empowerment are powerful mindsets in defining individuality and happiness as well as one’s position within the larger framework of the national society or of the world at large. They are important mental assets in fashioning a sense of self both in its own structure and dynamics, and in its relation to an other, in its correlation to an other, eventually, in its transcendence through an other. Being a liberated and empowered human being, as a man or as a woman, means to comprehend responsibilities which come with the right to be free and self-determining, responsibilities which include, for better or for worse, a sense of awareness of the others and of togetherness in imperfection, of one’s own fragility and vulnerability, and of one’s own need to belong and be accepted. Liberation and empowerment never meant selfishness and self-centredness, disregard for rules and morality, contempt for pain and longing, which are the main catalysts of the current social crises in Japan and in the entire rich, post-industrialized, service-dominated Western societies.

Feminism, as it was envisioned and outlined by its Founding Mothers, was the effort to win back femininity and feminine essence as well as feminine energy from the increasingly, dangerously powerful, unstoppable, all-consuming modernization, with industrialization and urbanization being its two main factors. When Simone de Beauvoir wrote *The second sex (Le deuxième sexe)* in 1949, she referred to the culturally constructed differences between men and women, and how these are exploited by being naturalized through education and role-models. Raising awareness on the differences between genders and on the necessity to accept those differences, was, in this reading, Beauvoir’s task, not the disempowerment of men and their over-powering by women. Moreover, Julia Kristeva’s references in her seminal work *La révolution du langage poétique* from

1974 to motherhood and motherly love in the semiotic spaces of language and arts, which impact and formulate politics and economics, and thus bring societies and technologies of power into movement, weren't meant as a cry towards limitless sexual liberation and elimination of men – they were, in fact, an act to awaken insight and caution, to indicate of the lurking dangers within the modernization project, based mainly on such features as physical strength, the pressure to advance and impose progress, to dispose of those unable to keep the pace, either by killing or by displacing them, mostly associated with masculinity and the masculine worldview (see Giddens 1990:131, Meštrović 1997:32). Emotions and tender nurturing were not part of the modernity as pursued and developed by technocrats and idealists: they are, though, the fuel on which the engine of femininity works, on which the polarization between masculinity and femininity thrives and, in turn, creates the beautiful contrasts in life and in the world.

On the other hand, aggressive movements in the 1950s and the 1960s, followed by an snowball-like succession of misunderstood publications and fake celebrities, created alongside several decades the image of the “feminist woman” as void of femininity and emotions, a smaller, physically speaking, man, able to compete with her male counterparts in any field: the “alpha female”, a highly mechanized androgynous creature. In spite of the astronomical pressure to “achieve like a man”, recent history proves that this is not, realistically, the case, as separate standards of physical proveness in almost every domain had gradually emerged and stayed in place. However, educated to be assertive and bold, to reject her feminine gender as “weak and objectified” by instruments of the political discourse, unable to resist as a singular voice in the “lonely crowd” of misguided fellow citizens, the late-modern woman found herself in the new millennium confronted with expectations and tensions she couldn't possibly deal with. The so-called “crisis of masculinity” and the disintegration of the social fabric, visible in huge numbers of single persons, single households, single parents and an unprecedented rate of divorces in the rich, post-industrialized nations – tendency increasing – is a direct consequence of the “crisis of femininity”, of the impossible choices late-modern women are facing and compelled to make, of the contradictory loyalties they are supposed to submit to, marching against nature and defying fundamental laws of the universe – such as the basic polarity between male and female, survival and death, procreation and extinction, belonging and isolation, ultimately, love and hatred.

*The Tale of Princess Kaguya* tackles the “feminine woman” in an empowering and liberating manner, transcending the fears and limitations imposed upon the feminist discourse, as it was initially meant and constructed by such intellectuals as Simone de Beauvoir or Julia Kristeva, into solutions and visions for the future. The “feminine woman” of late modernity does not reject her gender and her sexuality, but regards them as assets in her perception and processing of reality, of the life and of the world. She is nurturing, but not conformist, and the freedom of choice does not include promiscuity and dishonesty. Living with integrity and facing challenges with courage, she lives in harmony with herself and with the other humans, with the nature and with the universe at large. A soft sense of calm enthusiasm brings her to ever deeper levels of peace within herself, and she glows

that peace towards those around her, in the eternal flow of coherent human interactions and exchanges.

The “feminine woman” of late modernity is far more than a plain alternative to *shōjo* (“girl, young woman”, a central figure in Japanese popular cultures) and her fluid juxtapositions of power, sexuality, aggressiveness and nonchalance. *The Tale of Princess Kaguya*’s main character Takenoko is, thus, a metaphor of transcendental femininity across centuries, while having definitely extracted crucial elements from *shōjo*’s imaginary conglomerate: she keeps a child-like joy of experiencing life in its everyday transience while maturing under the sign of healthily incorporating new experiences and challenges. Mainstream media and public opinions may still objectify and sexualize its presence, but the “feminine woman” knows that anger and aggressive display of disdain or contempt is far below her dignity, so that she gracefully distances herself from mass-mediated images and stereotypes of “what a woman should be like” and instead focuses on creating a life of her own with people around her with whom she shares common values and ideals.

Rising above impossible standards of success and likeability, the late-modern “feminine woman” decides that her destiny lies in the very choices she is making. Princess Kaguya doesn’t find, indeed, her fulfillment in direct connection with a man – but rather in her decision to pursue her own path in life, and in her determination and commitment to stay true to herself. It takes sacrifice, and pain, as love is not something to take: it is something to give, to oneself and to the others, a mindful choice made every day – like happiness and the warm, soft sense of belonging. Beyond the solitude which might arise from such an attitude towards life, there is the ineffable promise of a better world to emerge from the chaos and confusion of this one, suffocated in sex, consumerism and hatred: a promise of acceptance and solace, of quiet celebration of the human being and of humanity in its astonishing diversity and unleashed potential.

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# **Journalism in Romania vs. Journalism in Japan: How Much Can We Blame the Technology for the Implosion of Romanian Newspapers**

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## ***Abstract***

*This paper analysis the claims that Romanian newspaper journalism suffers and it is in complete disarray because of the “surge of technology” and the “impossibility for journals to compete with the internet and the television” by comparing the ways in which journalists and their organisations reacted to the introduction of new technologies in both Romania and Japan, only to discover that despite the fact that the ways, in which they appropriated new technologies, were dissimilar, the cause behind the disappearing journals in Romania is not linked with the “surge of the machines”, but rather with the dwindling trust from the public. Thus, it discovers that once the trust problem is fixed, the technology, as it is used in Japan in the newspaper industry, could be used for the revival of newspapers in Romania.*

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## ***Keywords***

*Romania, Japan, journalism, newspaper journalism, TV journalism, social media, technology.*

## **1. Introduction**

This paper tries to argue that the claim that the disappearing Romanian newspapers are victim of the technology such as the TV and the internet, is gratuitous and it is just an easy excuse for all the actors involved in this democratic vital establishment, such as journalists, commentators, owners, advertisers and public relation specialists. The chute of the newspaper industry in Romania is so sharp, so unique that we can ask ourselves why Romania lost almost all of its printed media while other countries, while suffering a loss in circulation of journals, in recent years, still have a vibrant press.

Of course there is a broad literature suggesting that those blaming the internet and the TV are right. Filistrucchi (2001, 2005) showed how setting a free access for the online version of a newspaper in Italy dented in the readership of the actual printed newspaper but also dented in the competition' circulation. Other studies pointed also that there is "evidence that the internet differentially attracts younger, educated, urban individuals away from daily newspapers" (George. L, 2008) or point that the reading process and habits of people using online newspapers are different that those of people using traditional media, being more focused and precise, or cite the constant updates the online journals are making to attract readership form the printed versions (Neueberger, 1998).

In fact the literature analyzed so far situations on media markets characterized by deep democratic roots where printed press was always a viable

and vibrant public sphere and where the yellow and main stream journalism were always separated. The Romanian situation, on the contrary, enjoyed only a few years of press effervescence after 1990, but its press was always partisan to the point people used to buy the paper to see "what are today's lies". Thus, the sudden appearance of the internet and the usage of the internet as new information technology, together with the dispersion of cable TV throughout the whole country, clearly could make all the commentators on Romanian press, journalists or not, to point to the culprits above mentioned and save face when asked why journal after journal is closing down, and journalist after journalist is loosing of changing his/her job.

However, blaming only the claimed impossibility of the written press to compete with the internet and TV in bringing the news to the readers, is counterproductive for the people involved in this information sector of the public sphere, because pinpointing to a fake cause could not stir a search for a right solution to the problem, but it is also counterproductive for all the researchers in the field who are focusing their studies on only some aspects of the printed press while ignoring the more obvious ones that were the cause of its demise, thus perpetuating the same problems in other mass media sectors that could, soon enough, share the same faith with the Romanian lost journals.

A little known study by Stempel et al states that "*the comparison of those who use the Internet and those who do not shows that Internet users are more likely than non-users to be newspaper readers and radio news listeners. For both local and network television news viewing, there is no significant difference between users and non-users of the Internet. Clearly, the Internet is not the cause of the decline in use of the other media*". (Stempel, et al, 2000) Therefore it is our duty to see if for Romania are there any specific or local reasons for the demise.

To counteract the mantra of the bad internet vs. good printed press we thus decided to compare the Romanian situation with the situation of one of the most technologically advanced countries, Japan. Thus, we have isolated some characteristics of the Japanese printed press and journalism, responsible to the still very high circulation of newspapers in Japan, and we are able to claim that Romanian journals were not strong enough to sail the changing times because of the absence or lack of strength of these very characteristics. And, as a consequence to verify our thesis that the relation between the surge of the internet usage and the vanishing press is just a correlation and not a causation.

## **2. Japanese journalism and printed press at a glance**

In order to identify those characteristics that were either absent or weak in the Romanian press when confronted with the instantaneity of the news in its "fight" with the internet and the TV stations, we choose to present a short insight of the Japanese press, pointing only to those traits that are relevant to our construction.

The Japanese newspapers have the widest circulation in the world. For every household in Japan there are sold 1.2 copies of quality newspapers, meaning that some households buy more than one quality newspaper. Despite the fact that in some rankings Japan stands second after Iceland for newspapers sold for 1000



people, in Japan they do not count the yellow newspapers, such as sport newspapers as "newspapers". They fall into a diverse category and thus are not counted when scholars or journalists argue about the total circulation. However, everywhere else, the tabloids are considered "journals" and every statistic is including them.

Despite a recent loss in readership, the Japanese newspapers are still doing very well. Their success is the result of the trust the Japanese people are putting into printed media, combined with a state of the art distribution system that brings to every doorstep the journal in between 4am and 7am every morning. Some papers have also evening editions, but every edition, morning or evening, is printed in different other editions, sometimes as much as 16!

This means that despite reading the morning edition that you got on your doorstep at 5am when you woke up at 7am, at 9am, when you go to work, in the subway at a kiosk you can find a completely different first page of the journal you just read.

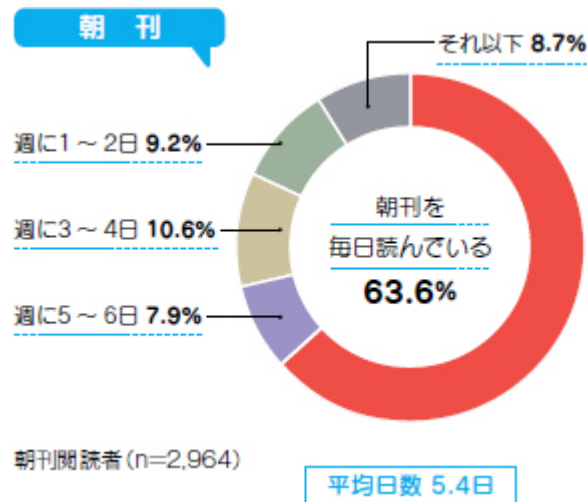
The main Japanese newspapers, morning and evening editions:

Yomiuri Shimbun	9 100 000	2 950 000
Asahi Shimbun	6 800 000	2 200 000
Mainichi Shimbun	3 250 000	950 000
Nippon Keizai Shimbun	2 450 000	1 400 000
Sankei Shimbun	1 600 000	450 000

Total: 31 150 000 daily copies. Legally there are 10 days/year when journals do not appear, but sometimes some journals print newspapers even during the newspaper holiday, usually making big waves and bringing criticism from other media organisations.

These 5 newspapers mentioned are just the tip of the iceberg that everyone sees and think it knows. In fact there are 101 big Japanese newspapers. They are central newspapers, such as the above mentioned five, regional newspapers, prefectural newspapers and town newspapers. The smallest newspaper, a town newspaper, is circulated in 14.000 copies daily. Japanese newspapers are appearing daily, including Saturday and Sunday, with the exception of those not always respected press holidays.

They are brought to subscribers by thousands and thousands small family distribution companies. Usually a distribution company has a contract with only one big newspaper or one big newspaper and other smaller usually belonging to the same newspaper company. Together with the newspaper they distribute all the flyers of the shops operating in or close to their area. Without a journal subscription the Japanese do not get the flyers and it seems that looking out for bargains is worth buying a newspaper for many.



Source: <http://www.pressnet.or.jp/adarc/data/read/data02.html>

The above graph: 63.6% of Japanese adults (20 and above) read daily the morning paper, 9.2% only once or twice a week, 10.6% read it 3-4 times a week, 7.9% read it 5-6 times a week while 8.9% do not read it at all.

These numbers are a bit intriguing for the reader, because everybody has this image of Japanese people going to work with the eyes in their smart phones and clearly one can ask himself/herself if Japanese people do not read like everybody else the news online? How and why are they still paying for the hard copy? Except for the flyers of course.

## 2. 1. Quality of Japanese journalism

The long answer short is the quality of Japanese journalism. Japanese journals recruit their staff such as all other major corporations in Japan largely from the 3rd year university students. In practice are favored certain universities with high standard scores which host the Japan elite of 5 to 10% most intelligent students. The exams are structured generally in 3 different eliminatory sections and the outcome is that, for big journals, only 1 in every 150 candidates is declared successful.

The successful candidate goes on and finishes the university in the 4th year and then starts his/her career as a journalist sometime while doing a 2 year master degree and in rarer cases, afterwards, even a 3 year PhD.

All new journalists are trained on the job, to be efficient journalists and work for the public, for long periods. They receive lessons from seniors, in class room environment, are given tasks and training in the field along senior reporters until they can independently work full time as journalists upholding all the standards of the newspaper that hired them. They will be there for life. Quitting the job in journalism in Japan usually do not open new doors to other newspapers or TV/radio stations. However, very good investigative journalists can land a job on a weekly magazine, but cases are rare.

We see that the journalists and all other personnel in a newspaper is of very high quality. Their product is of very high quality. The newspapers in Japan are the repository of the standard language and, as a result, no mistake is going to be tolerated. In fact, Japanese people believe in kotodama (Toyoda, 1998; Izawa 1999b) the spirit that lies inside every written character. The mission of journalists to tell the truth and nothing but the truth, to inform their public while upholding the highest standards of journalism is very well plied on this kotodama beliefs. They cannot tell lies! Thus the readers keep the newspaper highly and do not think even for a second that the newspaper can somehow manipulate them.

## **2.2. The small presence on the internet of big newspapers**

<http://www.pressnet.or.jp/adarc/data/link.html>: Going to this web address you can find the web pages of all Japanese newspapers that bothered to set up a web page. We already understand that the Japanese newspapers have very intelligent people working for them and it seems that 20 years ago, when the first journals were going online in US and Europe, in Japan nobody wanted to give the news for free and go online! Thus, going to visit some web pages one might find pages containing statistics for readers or advertisers, might find actual news, a short daily selection of the most important ones, or might find nice presentations of the journals. But no one is going to find a web based newspaper like the newspapers from Romania, or like Le Monde, the online edition.

Filistrucchi observed for Italy that "the average approximated long run loss from an own website is estimated to be 26.4%, that from a rival web site in 12.9%" (Filistrucchi: 2008), or it seemed smart for the Japanese media to not want to experiment with new technologies while their industry did not suffer.

Those few journals that put online content such as in social media with links to their actual site are not giving up for free full stories. It is suggested that for the full story one has to buy the newspaper. In other cases newspapers choose to put up on the internet articles that were already printed, thus old, but interesting enough to generate audience from those who buy another newspaper.

### **2.2.1. The ownership of Japanese newspapers**

In Japan, the after war, press laws prevent people or companies to buy stock in newspaper companies the way one can buy stock in newspapers in Romania. In fact no one can hold more than 10% of a journal in Japan, but in reality through various companies there are cases when one person or company can control the majority of the stock. but these are the exceptions and not the rule. However the key word for the Japanese newspaper companies is "closed ownership". No one can sell them so nobody can buy them!

Out of 101 big newspapers 53 have closed ownership with shares held internally. 23 newspapers have more than half of all shares held internally while 25 newspapers are owned more than half by external actors, people or companies. The same laws prevent anyone to establish a new quality newspaper while anyone can start a sports newspaper, yellow journalism newspaper or a magazine.

The newspapers have control stock of several TV stations, including the biggest ones and have shares in magazines, publishing houses, museums, theaters,

other cultural related enterprises. They are so rich that before the digital printing of the newspapers, that let journals printing their editions throughout the country, they owned airplanes with which distributed the journals in areas that were hard to reach by train in a single night.

As a consequence the newspaper industry in Japan is a solid establishment, which enjoys a huge credibility from its readership, despite its very "Japanese" problems such as the press club.

### 3. Romanian press at a glance. Comparison to the Japanese one

Let us look at the circulation numbers of the Romanian biggest newspapers before discussing how big or small they had become.

	2016, 4th quarter	2015, 4th quarter	variation
Click	81323	91400	-10077
Libertatea	45892	53600	-7708
Gazeta Sporturilor	20442	23100	-2558
Evenimentul Zilei	10719	11900	-1181
Romania libera	No data	10.600	-
Adevarul	8047	8800	-753
Ziarul Financiar	3382	6300	-2918
Jurnalul National	No data	4000	-

Source: BRAT, Pagina de media

The trend you can see above is actually affecting all Romanian journals. Many disappeared during the last 10 years and not even the electoral campaigns that used to fill the coffers of printed newspapers could change this downward spiral.

Malin Bot, a Romanian journalist that worked in many media organizations, lastly being fired from Romania libera said while discussing the poor performances of his journal that *"The printed press doesn't vanish. It just reinvents itself and this is not a bad thing either"* and this statement is the alarm signal that I would like to use to show how delusional are the Romanian journalists when they say that "the printed press migrated in online".

In fact, already in late 90's, all Romanian newspapers had established online versions looking greedily towards the emerging online advertisements market. Therefore, if we have to believe Filistrucchi, going online was a very big mistake for all Romanian newspapers, and going online was a mistake that could translate into a loss of 26 to 40% in circulation (I combined Filistrucchi's results for own-web-page/rival-web-page). However, the loss in circulation in Romania was much abrupt. For example, by December 2004, Adevarul, credited above with an average of 8047 copies per issue sold in the 4th quarter of 2016, used to sell 112000 copies per issue! This means that Adevarul lost 50% of its customers, then lost 50% of the remaining customers, and then lost 50% of the remaining customers, and then lost 40% of the remaining customers, all in the span of 12 years!

We argue that the loss of readership is not coupled so tight with the internet usage because by December 2014 only 51.66% of the Romanian

population had internet access! It is therefore imperative to think that by December 2014 Adevarul had to have at least 48% of its 2004 customers if the rest of them were meanwhile linked to the internet and had the possibility of reading the news for free, online!

The claim that the newspapers audiences have migrated towards TV is also problematic, because by 2004 the peak of audiences were around 2 million people/minute, watching Antena1 news, while by 2016 the peak is around 700 thousands only, watching ProTV news. This observation is reinforced by plenty empirical evidence that Romanians are not watching TV the way they used to, mainly because of deontological problems in reporting and extreme partisanship of most of the stations.

At this point we have to ask ourselves, if those who used to buy newspapers are not buying them anymore, why did they stopped if they did not shifted towards neither the internet nor the TV?

We ask this very pointed question because in Japan the internet penetration increased from year 2000 to year 2014 from 30% to 90%, while TV audiences mostly stayed unchanged. This means that in Japan 60% of the population could have gone from reading the newspaper every morning to the online search for news, and we could expect the circulation of Japanese newspapers to have halved at least during this 14 years period. But the problem is that the Japanese continued to read journals while Romanians stopped to! Therefore, we must assume that the reasons for which Romanians do not read newspapers anymore must and certainly be Romanian reasons, even we can understand that the Romanian press was affected by the dissemination of internet and its ubiquitous news sites more or less like any other country in recent years.

### **3.1. From elite and glamour to the physical and intellectual poverty**

Until 1989 journalists were clearly part of the intellectual elite and some of them, by strong connections to the power system, were part of the establishment. The aftermaths of the Revolution catapulted many of the old or new journalists to a fame that was once reserved only for the dictatorial couple. In few years becoming a journalist was the dream of many youngsters and the booming press industry could afford to suck on these seemingly unlimited resources of youth and intelligence.

The capitalism at its wildest made the journalists to compete not only with other journalists from other publications, but within their own newsrooms, for fame and more money. Some could have both, some could have neither. This is an old story new, but in Romania it turned to be quite different than in other countries because it involved... Romanians.

On one hand we got some journalists turned businessman that owned small newspapers but had to socially compete with journalists turned businessman that run big newspapers. They wanted to same cars, the same villas, the same fat bank accounts, and the same holidays. So they turned towards the corrupt politicians for all the money they could not make by selling their small journal. And the politicians happily provided money, by making state companies buy unneeded

expensive advertisement place in those small journals. Or by sharing with these "businessmen" insider information of which they could make fortunes.

On the other hand we got some journalists who could not win professionally because they were incompetent or intellectually poor. They would too go to the same politicians and ask for money or other bribes. In late 90's many got apartments in central Bucharest while others could sign advertisement contracts for their journals for an usual commission of 30% of the contract! It paid to be a journalist!

The result was that many newspapers began to lose credibility. The number of the news about what politicians said started to increase and soon enough the front page of every journal was covered by news about what politicians said or did and an editorial usually petting or destroying a politician. The newsworthiness of some "news" could not be justified by any means and the extreme partisanship of the newspapers made the truth accessible only for those readers that bought two or more competing newspapers and made their own mind while reading through the lines.

In few years many journals vanished. The state advertisement stopped by 2005 and left journals in competition for real advertisements with an editorial structure that continued to report distortedly the reality, with a continuous focus on what politicians said or did, partly because the journalists were now incapable of reporting anything else, being de-professionalized, and partly because the owners had themselves a political agenda that they pushed through their journals. The business sections responsible for bringing advertisement were, after years of being pampered with state commercials, incapable of saving the journals.

The direct consequences were the diminishing revenues for the journalists that did not listen to the political control of their bosses and a constant reorientation of seasoned journalists towards other professions, many jumping in advertisement industry or PR. Behind them was a press populated by a majority of partisans of a party or another, and people that were almost illiterate and could not even write properly. A press of very low quality that could not sell itself to the general public.

### **3.1.1. Comparison to Japanese journalists and Japanese deontology**

Let us assume that the Romanian press was governed by the same rules as in Japan and the Romanian journalists were of the same quality of Japanese journalists. The history would have been much different. First, because in Japan a journal decides for every person it employs if their career is going to be editorial or administrative. Some people pass from editorial to administrative in mid careers, but not the other way around. This means that the director of publication cannot act as a journalist, cannot write and sign articles. This means that the journalists cannot sign publicity contracts and pocket 30% of the lump sums. In Japan in recent months a Fiji TV journalist was fired because he received a car as a present. How about all those Romanian journalists that got cars and houses as presents from politicians? They would have been fired and the credibility of the journals they worked for, restored. However it did not happen the Japanese way. So the best

walked away while the majority that left continued to do an elite job with intellectual resources fit rather for sweeping the streets with a broom at night.

Moreover, if like in Japan, in Romania the journalists turned businessmen that got the shares of their newspapers after 1990 could never do so, with the result that journals such as Adevarul or Romania Libera were continuously owned by the employees. The money they made could be invested in the expansion of the journals, and the salaries paid could be fairer. By 2017 these two journals could be of extremely high quality, featuring newsrooms hundreds people strong, not a mere two dozens like nowadays. The only problem is that we are not Japanese!

#### **4. The official mantra on the vanishing printed media**

Before turning to the conclusion we have to investigate also the official mantra about this vanished or vanishing press, and start with a delusional statement that looks like a conspiracy theory:

*"Facebook was the fascination that came to fill the need for communication and information of the Romanians. The social network being, in my opinion and the opinion of many sociology specialists, the best exploited means of the System for discreet but effective manipulation. The information verified by a responsible journalist is not the same as the information discarded by anyone on Facebook. Things are mixed, however, and the system's representatives know how to manipulate when they want to. Today all Romanians stay longer on Facebook. Have you ever wondered why is Romania having the fastest internet? Are we stronger than the world's computer scientists? I've been wondering why Germans, French, Austrians, Americans, English, etc, have a net that is rather. I got the answer on a trip to Istanbul, where the net falls when you needed most. Well, in a country where Erdogan's dictatorship is a reality, a lot of newspapers are being printed, both for and against the Ankara regime, and the Turks buy them from stalls or subscription. You do not see them sitting in the cafes reading the press on the phones because, they say, their net drops and gets them annoyed.*

*My conclusion is that in Romania, the system has found that channeling information to the net is a much easier way to control than controlling thorough the traditional press, where the journalist makes his own documentary on the ground and brings to the attention of the public what he has discovered." (Simona Ionescu, editor-in-chief Evenimentul Zilei at the time of this statement)*

Mind-blowing, the "System" made this plan in early 90's to bring in Romania the fastest internet on the planet and destroy all the journals, in order to control via facebook, not invented yet, the Romanians that would prefer reading their news on smart phones, not invented yet! Priceless because this gibberish is delivered by the editor-in-chief of once Romania's biggest newspaper!

A more realistic comment belongs to Gabriel Purcarus: *"Now we have access to newspapers and websites with free information. We do not pay directly to read them. From the point of view of the reader's convenience, it seems OK. But, from the newspaper's point of view, we do not have the same financing strategy. Previously, in order to convince the reader to give a penny, the newspapers had to offer quality content. Now efforts are being made to attract as much money as possible from advertising. The reader is no longer the client of the newspaper. The*

*real client of the modern newspaper is, in fact, the one who gives the ban on advertising".*

Mihai Bacalu, journalist, blames also the publicity factor by pointing towards the incompetence of the administrative departments of newspapers: *"What I do not understand after so many years of press spent in so many national newspaper newsrooms, is how the hack can make that kind of lousy cash, with such huge investments. Street vendors have been complaining for six months that they need new vests with the newspaper's mark, because theirs are rags. The car is broken for one year. Advertising girls sit quietly and wait for customers, instead of going boldly to the headquarters of the capitalists. We do not have a classifieds department while in the West they have an army of directors only for classifieds! Vendors run away with money, no one requires their daily returns. Small newsroom departments can not even read justice files on the Internet. Why can I not I work just when I want to? Why do I have to sit up to dark to look for unique subjects"?* You can sense the furry of professional journalist that has to work in a very unprofessional environment and feels that the administrative section of the journal is not up to the task, but has no power to change things while everyone blames it on him for the meager and diminishing sales.

Adevarul newspapers writes under the signature of Daniel Ionascu that Facebook and Google are the enemies of the press and cites a study done by OC&C that explains the loss in readership in Western Europe: *"Media organizations must directly recognize that they are competing with Google and Facebook for advertising, and their next step is to build brands and online communities where the public comes directly, not through intermediaries. As a comparison: just as Europe is trying to reduce its dependence on Gazprom, so do the media organizations their addiction to Google and Facebook. Also, media digitization does not just mean creating sites or news apps. For example, if 20 years ago the press wrote about real estate trends, now the newsrooms can, besides writing news online, make specialized real estate ads. People who used to buy newspapers to view real estate ads now use sites or specialized applications (Craigslist, Airbnb or Imobiliare.ro, for example). Those who followed car ads have now gone to specialized applications such as Auto.ro; And those who were using the classifieds to sell or buy something, they are now on Ebay, Olx or Okazii.ro. Also, jobseekers now use LinkedIn or BestJobs or eJobs in our country. Likewise, many who wanted the weather forecast now use apps like AccuWeather or Yahoo! Weather. Finally, many of those who "hunted" the pages of jokes or satire and humor publications now read The Onion, have fun on Reddit or use the 9GAG application".*

The problem is that is hard to believe that out of those 112000 buyers of the printed copy of Adevarul newspaper in 2004, December, 104000 bought it for its classifieds or weather reports or jokes. As a matter of fact, at the time, Romania Libera had the classifieds' quasi monopoly and the journal was not famous for its real estate market analyses nor for its jokes. Adevarul was famous for economy reporting and the articles of Dumitru Tinu and Cristian Tudor Popescu. It had a strong international page and seasoned journalists that worked interviews.



A study published in 2008 in Berlin by Konrad Adenauer Foundation stated that *"Romania is still suffering from the effects of the communist era."* The same study cites *"certain legal decisions in Romania, which lead to the restriction of press freedom, such as criminalization of insult and calumny, as well as informal aspects, as the influence of politics in media content"*. The authors of the study also stressed the problem of ownership of press trusts, the presence of some former security informants, cases of persecution of critical journalists, and involvement of media owners in the editorial process. The study signed by Christiana Christova and Dirk Förger underlines also the tabloidization of the Romanian press as problematic for its future.

#### **4.1. Has the press "migrated in online"?**

Maier (2010) argued that the printed newspapers offer "depth and breadth unmatched by the online sites". This is a very interesting observation he made for the US media but we can extrapolate easily it for the Romanian one, because one would expect that the online space, being unlimited, if compared with a fixed number of pages of fixed surface, that can support a fixed number of words, of a fixed size fonts, can host a higher number of articles, with more text, depth and bigger pictures. However, the reality is, in the year 2017, for the sites that are mirroring an actual printed newspaper, that there are fewer articles on the web sites than in the printed edition! And it is difficult to find an article which is longer on the web site than on print, or with more depth. What can be found on most online newspapers are links to other news sites or blogs, but these are not own articles. Another interesting answer to the above question is the one that we get when we look at the number of visitors for the news sites. In the current years most online newspapers prefer to hide this information, because it is difficult to attract advertisement, but from the few that keep it, we can see peaks of several thousands unique readers for one article, but interesting enough, rarely a double digit (!), while the average articles are barely making few hundred accesses. Even more interesting is the fact that sometimes the number of likes on social media is greater than the actual number of people who opened the article to read, so our early conclusion is that the press is not read not even when it is free.

#### **5. Conclusions**

At this point we can conclude that the internet only and the surging in the number of TV stations from the early 90's onwards, could not have impacted the printed press in the way that it almost disappeared from our daily lives in Romania. Clearly, as it happened also in other countries, the wide availability of free information had a role in the shrinking circulation numbers, but the numbers could not have halved almost four times in 12 years. While in Italy the decreasing circulation due to establishing free access sites was somewhere close to 27%, in Japan the circulation only slightly decreased, despite the high internet speed and very high penetration. Thus, the almost 52% internet penetration of 2014 Romania was not the main responsible for the decline.

We see now that the relation between the internet and web journals and the dwindling printed newspapers is clearly not one of causation but one of

correlation. Even if we could experiment by cutting 100% the access to the internet in Romania for one month, at the end of that month we will not have more journals sold! Because the mere existence of the internet is not the cause of the newspapers demise.

The culprits for this demise are, nevertheless, the journalists themselves and their bosses of 90's and early 2000, those journalists-turned-businessmen that greedily run the journals. Ignoring the public and the public interest, the journalists and their bosses transformed the press into an obedient servant, and journalists become merely trumpets for various politicians. As a consequence the public left them alone.

Recent online developments, such as RISE Project, Vice, Casa Jurnalistului and Tolo, are showing that Romanians are ready to return in big numbers as customers of the press. The problem is that at this moment they have no press to return to. The few journals left are as ever, partisan, and they print mostly what politicians say and do, or comments about what the politicians said or did. In order to regain confidence the newspapers have to move from publishing news about politicians to publishing long features, reportages, interviews with interesting-people-not-politicians. But they have to publish them with very high standards. In the same time they should refrain to publish editorials in which currently people are taught how to think. This means that the newspapers need to retrain their existing journalists or to welcome new ones that can work and keep the high standards that are not existing today.

Moreover, adopting the Japanese distribution as a business model will turn out journals stronger and closer to the people they report to.

Further from the politicians, closer to the people, delocalizing the printing and distribution of the newspapers, high standards, dedication and professionalism. These are the characteristics we saw in the Japanese newspapers and did not see in the Romanian one. A revival of the printed media and of journalism has to start from them and not from anything else.

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## El arte azteca y el don de la purificación

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### **Resumen**

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*Frida Kahlo es probablemente una de las representantes más insignes del arte contemporáneo internacional y seguramente la artista suprema que los aztecas habrán dado a México. Su obra es resplandeciente y lo que deslumbra es la paradoja resultada de la compenetración de lo real y de lo maravilloso, del paraíso y del abismo, de la paz y de la guerra, de la felicidad y de la desgracia. Su vida fue impresionante debido a las múltiples facetas de su personalidad y su filosofía de vida es tan difícil de decodificar como la de su arte o la de sus pinturas. La metáfora del color rojo en su forma de pintar demuestra que Frida Kahlo poseía el don de la purificación, como también el hecho de que para la insigne pintora mexicana, su arte fue una inmensa alegría, pero también un desmesurado dolor. El objetivo de esta investigación es descifrar el significado del color rojo empleado por la artista en su obra y testimoniar su enlace con el antiguo arte mexicano.*

### **Palabras clave**

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*el arte azteca, el color rojo, decodificar, el don de la purificación, la metáfora, la pintura de Frida.*

### **1. Introducción. La motivación y los objetivos de la investigación.**

El objetivo de esta investigación es despertar las conciencias y brindarle su merecido homenaje a una gran artista cuya obra es resplandeciente y deslumbrante, siendo la paradoja resultada de la compenetración de lo real y de lo maravilloso, del paraíso y del abismo, de la paz y de la guerra, de la felicidad y de la desgracia. Frida Kahlo es probablemente una de las representantes más insignes del arte contemporáneo internacional y seguramente la artista suprema que los aztecas habrán dado a México. Su personalidad me marcó como ser humano y su forma de pintar me hizo comprender de una forma distinta la pintura. Mediante esta investigación me propuse descifrar el significado del color rojo empleado por la artista en su obra y testimoniar su enlace con el antiguo arte mexicano. La metáfora del color rojo en su forma de pintar demuestra que Frida Kahlo poseía el don de la purificación, como también el hecho de que para la insigne pintora mexicana, su arte fue una inmensa alegría, pero también un desmesurado dolor. (Collard 2005: 9) Su vida fue impresionante debido a las múltiples facetas de su personalidad y su filosofía de vida es tan difícil de decodificar como la de su arte o la de sus pinturas. La motivación de la investigación incumbe la autenticidad del ser humano visto como una entidad eterna; la mitad de esta eternidad la experimenta ocupando su lugar en la tierra y la otra mitad la experimenta también

ocupando su lugar pero esta vez en el más allá. Resulta que las creaciones de Frida Kahlo se manifiestan como la evidencia de un cruce entre la tierra y el más allá. Es en el ámbito de Frida donde nos preparamos para el otro mundo, y se nos muestra el camino. Es ella la que nos sugiere el elemento mágico de una luz muy íntima, muy nuestra, a la que anhelamos y por la cual luchamos durante toda la vida, pero a este elemento logramos tenerlo solamente en el más allá, justo cuando hallamos la tranquilidad, la paz y reflexionamos y nos alegramos y nos llenamos de gloria, contentos y felices de todo lo que hemos podido lograr en la tierra.

## **2. El desarrollo del estudio: El arte azteca y el don de la purificación**

A través de sus creaciones deslumbrantes Frida Kahlo va lanzando reflexiones incómodas y va rompiendo paradigmas porque nos señala múltiples conexiones que podríamos hacer a lo largo del tiempo y que podrían cambiar, tal vez, la percepción de la realidad de nuestro mundo, en el cual vivimos y que hoy día es todavía bastante limitado. Frida Kahlo es una persona privilegiada, consentida, es un signo de Dios en la tierra, un mensajero, una señal guiada según leyes expresadas a través de su arte de pintar en una manera particular. Se trata de tres manifestaciones de la personalidad humana, pero que no pueden ser detectadas de antemano por los sentidos. En la etapa de cada manifestación el ser humano atraviesa los ciclos naturales, uno por uno, hasta su origen, en donde, consciente o inconscientemente, puede entrar en contacto directamente con este origen y va más adelante hasta evadirse del espacio. Y evadirse del espacio significa también evadirse del tiempo. En un cierto momento determinado, en un cierto punto y bajo ciertas condiciones, el ser humano se vuelve un visionario – pero el visionario de la vida sus padres de antes de su nacimiento; un visionario de su propia vida, pero también un visionario de la vida que hay después de él y un visionario de la vida del más allá. (Andrieș 2001: 12) Lo mismo sucedió con Frida. Y de esta forma, las tres Fridas pintaron según la manifestación de las tres personalidades de la Frida primeriza. Las Fridas pintaban bajo la forma de una especie de delirio. Se trata de la búsqueda de un estado que permite la integración en los ritmos, en las vibraciones del universo. Se podrá hacer el traspaso a la conscienteización de los instintos, a la iniciación. Durante este viaje, la artista, aferrada a su soledad, sola consigo misma, siente la ilusión de sus propias creaciones y se ve capturada por sus propias ilusiones. Durante su viaje de iniciación Frida logra transformar la iniciación instintual en una iniciación consciente, racional, activa y el resultado es el de una revelación. El parcurso iniciático se convierte en el modelo de un logro estético. Pero la sabia que dirigió este proceso deseaba otra cosa, no solamente un logro estético porque ella no generaba solo arte, sino también magia. Era una mujer - maga. Ella trató de construir un universo distinto, un mundo diferente y lo consiguió, teniendo mediante sí misma un poder sobre la vida y sobre la muerte, sobre la gente, un poder de la transformación, un poder del traslado del ser humano, un poder de cruzar de un mundo al otro. Esta sutil propuesta de diseñar una armonía entre la tierra y el más allá incita los sentidos comunes y sutiles del ser humano. Este es el arte de Frida Kahlo, la filosofía de su creación, ya que sus pinturas son la suma de unas fórmulas mágicas, el enamoramiento, el deseo carnal, la lujuria, el placer del juego y de los sentimientos, las ilusiones, como también la

necesidad de la selección, de lo concreto, del desafío, de las ideales, de la lucha, de la felicidad y de la tristeza vistas como un todo natural, normal, unitario. (Blavatsky 1996: 21) Ella y solamente ella en esta posición única y suprema de mujer - maga, de mujer - ocultista logra revolucionar el arte de la pintura. Y el color - protagonista de su pintura es el rojo, la estrella de su simbolismo y ella al pintar con rojo, pinta con sangre; hablamos del rojo elevador, benefactor, la sangre que purifica, que cura y fortalece. La purificación espiritual y corporal se puede realizar mediante una fórmula mágica dada por la relación entre sangre caliente y la sabiduría del rojo. La sangre tiene una connotación positiva en toda la creación de Frida Kahlo porque va gobernando su universo femenino / masculino y viceversa, siendo la más insigne herencia que ella recibió de su amplia cultura mexicana, cultura que mantendrá para siempre el tesoro najoatl heredado de la civilización azteca. Es por eso que sus pinturas: *Mi nacimiento* (1932), *Henry Ford Hospital* (1932), *Unos cuantos piquetitos* (1935), *Las dos Fridas* (1939), *La columna rota* (1944), *Moises* (1945) son únicos, resplandecientes, llenos de vitalidad, esa vitalidad y esa determinación del ser humano que no se rinde y tampoco renuncia porque aunque siente correr la sangre por sus venas y se rige por el rumbo que va trazando su sangre – es decir, fuerza, decisión, lucha, creación – el rojo del triunfador y del deslumbrador. (Mander 1997: 33) Su simbolismo como huella de toda su actividad creadora, como también su temática atrevida e incitante, fueron consideradas tabú en la sociedad de América Latina y de América del Norte de esa época, unas sociedades regidas por el puritanismo. Aunque la mayoría de las mujeres artistas optaron por emplear la alegoría, sobre todo en los temas relacionados con la sangre, en el siglo XX y el siglo XXI, todavía habían bastantes reticencias en este sentido. El color rojo y la sangre son los dos atributos del ideal que embellece, completa y llena de resplandor a una mujer. El protagonismo femenino irrumpe y una insigne serie de artistas investiga este fenómeno y busca traer en primera fila la genealogía simbólica de la sangre - Judy Chicago, Ellen Gallagher, Gina Page și Hannah Wilke. En esta contextualidad, las cicatrices espirituales y corporales diferencian a la belleza perfecta, impuesta a la mujer en el arte - una falsa inocencia angelical determinada culturalmente – de la belleza concreta, real y verdadera. (Gardels 1998: 42) Y las mujeres señalarán mediante su arte el poder supremo de la sangre: la vida y la muerte que se entrelazan y se confunden. La sangre es un símbolo mágico, alquímico por excelencia. (Leadbleater 2004: 18) Por su naturaleza, pertenece al simbolismo genérico relacionado con el color rojo – el símbolo fundamental del principio vital, que con su fuerza y su brillo es explosivo, tónico, incitando a la acción y difundiendo su resplandor por doquiera; representa la alquimia de Frida que nos va direccionando hacia el color de lo más recóndito del ser humano, justo en la hoguera del vientre de la mujer, en el fuego alquímico de la etapa rubedo en la cual se produce la cocción, la concepción, la regeneración de la obra. Este rojo sagrado y secreto es el misterio mismo de la vida, escondido en las profundidades de la oscuridad del océano primordial que la iniciada Frida Kahlo, en su infinita generosidad, emplea en sus pinturas para que nosotros lo podamos ver, percibir y sentir. Es el color del alma, del libido, del corazón, pero también el color de la ciencia, del conocimiento

esotérico prohibido a los no iniciados y que los sabios procuran mantener oculto bajo la capa. En las antiguas civilizaciones mexicanas Olmeca y Tolteca, civilizaciones anteriores a la civilización azteca, representa la matriz en donde la vida y la muerte se entrelazan. El color rojo de la sangre profunda, pura, original, es la condición de la vida; la acción, la imagen del ardor y de la belleza, de la fuerza impulsiva y generosa, de la juventud, de la salud, de la riqueza, del Eros libre y triunfante. De color rojo eran los adornos que usaban los jóvenes indígenas de las Américas para que este color estimule las fuerzas guerreras y para que despierte los deseos de la carne. Además, el color rojo es también el color de Dionisio (Segal 1997: 60), visto como color liberador y orgiástico. La sangre es el motor de la vida. En el registro bíblico la sangre es la vida misma y es el principio de la regeneración. El fantástico Dionisio es el atormentado por los misterios, el Dios que padece dentro de su ser las pasiones de la individuación, el Dios del cual mitos maravillosos cuentan que en su niñez hubo una procesión en la cual fue cortado en pedazos por los titanes, y que luego, en este estado, fue venerado bajo otro nombre; la leyenda sugiere que este despedazamiento (es decir, las auténticas pasiones dionisiacas) puede ser asemejado con una conversión en agua, tierra, fuego y aire y por consiguiente, hay que percibir el estado de individuación como la fuente y la causa primordial de todo sufrimiento, es decir como algo condenable en sí. Precisamente de la sonrisa de este Dionisio nacieron los dioses olímpicos y de sus lagrimas nacieron los seres humanos; de esta forma, en su existencia de dios despedazado, Dionisio tiene doble naturaleza – la de un demonio cruel y salvaje y la de un soberano tierno y misericordioso. Él puede ser laberíntico y monstruoso, con múltiples personalidades, con una infinidad de yoses pero siempre atormentado por el fantasma del cuerpo despedazado. Bajo el imperio de la simbólica dionisiaca, el ser humano se convierte en obra de arte, por la complejidad de sus vivencias, de sus intentos, de sus estados anímicos, el ser humano se vuelve existencial, con sed de conocimiento y de provocaciones iniciáticas; el ser humano se hallará, pues, sumido en una exaltación suprema de todas sus atribuciones simbólicas. Es el momento en el que el individuo se olvida de sí mismo y encontrará su perdición tras el impulso de las provocaciones sin fin. (Nietzsche 1991: 142) Además, la forma de pintar de Frida Kahlo, me hace pensar también en el símbolo regenerativo - la sangre – el licor mágico, el líquido supremo, la sangre fresca brotada tras la trituración, la sangre pura, benefactora, purificadora y eternamente salvadora. El color en sí de la sangre significa salvación – el rojo es el color simbólico del sol y del oro filosófico, del elemento fuego; la púrpura real; la tercera y última etapa de la obra: rubedo, cuando el contenido se transforma en un polvo rojo, una pólvora de protección; la elaboración del mercurio filosófico y la etapa dominada por el sol – oro. La leyenda cuenta que la sangre divina mezclada con partículas diminutas de la tierra generó vida a los seres humanos. La sangre escurrida de la herida de Cristo en la copa Grial y mezclada con agua, es, por excelencia, la bebida de la vida eterna. La sangre es el motor del alma - es la propia Frida, la alegría y la tristeza, el nacimiento, la vida y la muerte, un sinfín de elementos entrelazados. La mayoría de los cuadros de Frida Kahlo parecen desprendidos de una selva con retoques de jardín que sobresalen por ciertos rasgos tenebrosos, rayando el horror, pero que sorprenden con precisión el calor que surge

desde la tierra tras la lluvia. Restos de flores perteneciendo a unos árboles sugieren trozos de cuerpos humanos y hasta órganos humanos, arrancados, quebrantados, machacados, despedazados pero que aún conservan el brillo de la sangre todavía fresca que no tuvo tiempo de secarse. Ciertas imágenes perturbadoras me hacen recordar a Friedrich Nietzsche, a *Also Sprach Zarathustra - Así habló Zaratustra* y a su concepto de machacar y despedazar el cuerpo humano con el fin de desenvolver el alma, descubrirlo, salvarlo, liberarlo. (Nietzsche 1996: 124) Según la percepción de Nietzsche, el yo, se intuye a sí mismo bajo la representación de unos trozos de cuerpo humano dislocados que flotan en una especie de deriva y la imagen del cuerpo despedazado es la del ser humano pero es también la del fantasma del creador. Se trata pues de un emblema alquímico – la putrefacción; las descripciones deben contener paisajes desubicados, fantasmagóricos, amputados mientras que el cuerpo humano entero, total, individual, tiene que ser anulado, aniquilado e importante es ahora la imagen del cuerpo despedazado – el yo auténtico saldrá a luz tras finalizarse el proceso de putrefacción. El elemento fuego es también un elemento alquímico, activo, masculino, una mezcla de las cualidades caliente y seco; principio del movimiento, de la energía, del calor y de la vida; núcleo espiritual, arquetipo del alma. Si pienso en varias secuencias descriptivas de sus cuadros, se podrían distinguir: gritos, silbidos, un silbado llamativo, vibrante, alarmante, sonoro, como también otros ruidos o pasos aterrantes, como si el pleno bosque misterioso estaría poblado de serpientes, bestias u otros animales salvajes o fabulosos. Es tan natural y dionisiaca la descripción de apertura hacia un jardín espeso, boscoso y que tiene la función de un portal de acceso a un universo que corresponde a una visión surrealista. Otra prueba de la modalidad en la que la insigne pintora mexicana impone su interpretación personal a una forma artística, a una teoría o a un mito, es el simbolismo implícito que dan las flores tropicales comparadas con entrañas humanas y restos humanos de los que brota la sangre, como también los gritos tenebrosos de los habitantes de la selva fantasmagórica que destaca en sus cuadros.

### **3. Conclusiones**

Mediante la presente investigación, quise poner de relieve que Frida Kahlo es probablemente una de las representantes más insignes del arte contemporáneo internacional y seguramente la artista suprema que los aztecas habrán dado a México. Su obra es resplandeciente y lo que deslumbra es la paradoja resultada de la compenetración de lo real y de lo maravilloso, del paraíso y del abismo, de la paz y de la guerra, de la felicidad y de la desgracia. Su vida fue impresionante debido a las múltiples facetas de su personalidad y su filosofía de vida es tan difícil de decodificar como la de su arte o la de sus pinturas. La metáfora del color rojo en su forma de pintar demuestra que Frida Kahlo poseía el don de la purificación, como también el hecho de que, para la insigne pintora mexicana, su arte fue una inmensa alegría, pero también un desmesurado dolor. El objetivo de esta investigación es descifrar el significado del color rojo empleado por la artista en su obra y testimoniar su enlace con el antiguo arte mexicano. Una de las principales razones que explican mi atracción deslumbrante en particular y la atracción



inexplicable general hacia la obra de Frida Kahlo, se halla en esta emancipación femenina, una enorme toma de conciencia, por una gran cantidad de mujeres, de las carencias en su educación y atendiendo a la realidad - aparecen en sus cuadros el feminismo y la búsqueda de la libertad por parte de las mujeres; cada una de las Fridas lucha, a su manera, reclamando sus derechos y su igualdad con los hombres. Para el universo de la mujer, es determinante la presencia femenina y la lucha de las mujeres con el fin de aumentar su independencia frente a los valores patriarcales y alcanzar la libertad de expresión. Todos los detalles universales van escondidos en la infinidad de otros detalles. Uno de ellos es la apariencia del otro y así por el estilo. Y a lo mejor un cierto detalle que resulta ser privilegiado, el escogido, a través de su propio don de astucia mental, puede optar por la mejor manera y por un insigne arte, revelador, deslumbrante, descubriendo de esta forma una única verdad, la esencia de todas las cosas.

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# How Survivor Have Overcome Trauma from the Great East Japan Earthquake: Shamanic Rites to Bid Farewell to Loved Ones and Creating Public Works Symbols of Rugby World Cup in 2019

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## **Abstract**

*It has been six years since the Great East Japan Earthquake of 2011. First I will briefly report the damages sustained. Next, I will describe two approaches to coping with the trauma of this event, one at the private level and one at the community level. I show how individual survivors seek out the missing family members. They climbed a holy mountain, named Mt. Osorezan to ask Itako (shaman) where their loved ones are. Some visit the shaman's homes and others visit Itako at the Osorezan Bodaiji Temple. Through these behaviors, I will consider why surviving families seek their family members and why they request Itako shamans' help in communicating with them. Finally, I will show how communities of survivors reconstruct their own town with public works with an eye toward the future. One stadium in the Tohoku region was selected for the stadium of Rugby World Cup in 2019. It already had become a symbolic city of Rugby because of its history. The first women's rugby regular game in National Sports Festivals played there in 2016. This stadium will become a symbol of recovery, showing that people have overcome their sad experiences and look toward to the future.*

## **Keywords**

*The Great East Japan Earthquake, Itako shaman, Mt. Osorezan, Rugby World Cup in 2019.*

## **1. Introduction**

It has been six years since the Great East Japan Earthquake occurred in 2011. The 6<sup>th</sup> year has a special meaning for Japanese Buddhists after someone's death. This is the year a memorial religious service is held, which is called the 7<sup>th</sup> anniversary<sup>15</sup>. This year – 2017 - is the memorial year. Survivors recall memories of the event and look forward to a future apart from the sadness.

In this paper, I will first briefly report, the extent of damages from the Great East Japan Earthquake. Next, I will address individual Japanese belief customs in the Tohoku region, especially focusing on visits to *Itako* shamans and

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<sup>15</sup> Japanese Buddhist held memorial rites of Buddhism as follows; 1) the first time of the same day and month of someone's death is called the first anniversary, 2) the second time of it is called the third anniversary, 3) the sixth time of it is called the 7<sup>th</sup> anniversary.

the Buddhist temple, Osorezan Bodaizi Temple. Third, I will consider Japanese thought toward the dead and the living. And last, I will report a sign of community of progress on the recovery and reconstruction plans for the future, namely the building of a stadium for the Rugby World Cup in 2019, located in *Kamaishi* city. Through these events, I will show how survivors of the 2011 Earthquake have overcome their sad experiences and are creating symbols of recovery and reconstruction of their towns.

## 2. Damaged areas of the Great East Japan Earthquake

First, I will show the map of damaged areas from the Great East Japan Earthquake in Fig.1. A check mark  $\times$  pointed the seismic center and a circle  $\bigcirc$  indicate the damaged areas by Tsunami waves. You see the Fukushima Nuclear Power Plant and Kamaishi and Sendai city are all inside the circle. Tohoku region is in the right side of dotted line in the map. There were severely damaged region.

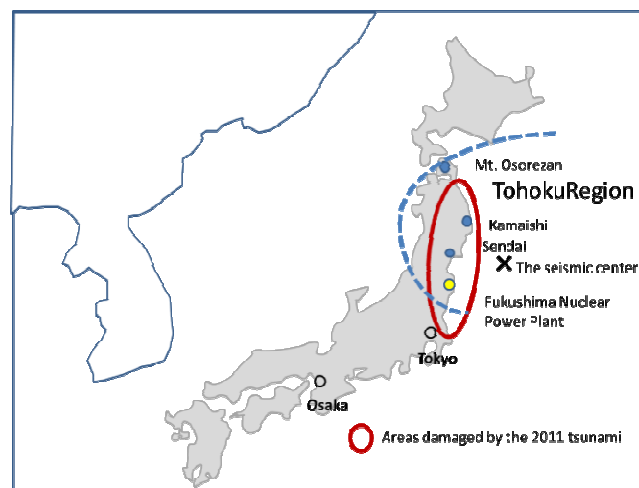


Fig. 1 Damaged areas from the Great East Japan Earthquake

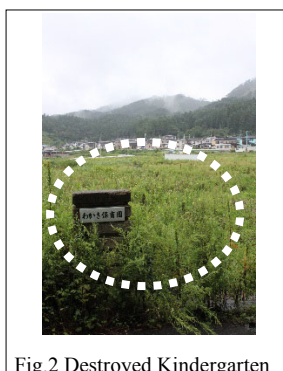


Fig.2 Destroyed Kindergarten



Fig.3 Destroyed sea wall and house

Many houses and persons were washed away from the original land and destroyed by waves. The Fig.2 photo shows the site where a kindergarten was washed away, except for a name board on a stone gate, because the sea wall in front of the kindergarten was destroyed by Tsunami waves (Fig.3).

### 3. Human Casualties from the Great East Japan Earthquake

The numbers of persons who were killed and went missing in this Earthquake is shown in Table 1. This table gives the scope of human casualties from the Great East Japan Earthquake from 2011 up to March of this year (2017). According to the National Police Agency of Japan on March in 2017, the numbers of killed persons totaled 15,893 in Japan, with 15,831 of those persons located in the Tohoku region. Missing persons totaled 2,553 in Japan, with 2,530 of them in the Tohoku region.

**Table 1. Situations of Personal Damages of the Great East Japan Earthquake in 2011**  
(date: 10th, March 2017)

	Prefecture	Personal damages	
		Killed	Missing
<b>Tohoku Region</b>	Aomori	3	1
	Iwate	4,673	1,122
	Miyagi	9,540	1,230
	Akita	-----	-----
	Yamagata	2	
	Fukushima	1,613	197
	Total of Tohoku Region	15,831	2,550
	<b>Total of Japan</b>		15,893

Created in accordance with "Damage Situation and Police Countermeasures as associated with 2011 Tohoku region- off the Pacific Ocean Earthquake" in National Police Agency of Japan Emergency Disaster Countermeasures Headquarters ([http://www.npa.go.jp/news/other/earthquake2011/pdf/higaijokyo\\_e.pdf](http://www.npa.go.jp/news/other/earthquake2011/pdf/higaijokyo_e.pdf))

The Tohoku region is divided into six prefectures. Serious damages were concentrated along the coast line of the Pacific Ocean in Miyagi, Iwate and Fukushima Prefectures, as we see in Table 1. Kamaishi city (discussed below) and Sendai city (a regional capital) are also shown in the map. The former city belongs to Iwate Prefecture and the latter city belongs to Miyagi Prefecture. Both Prefectures were damaged seriously.

An understanding of these circumstances provides background for the following description of efforts to cope with the Earthquake and Tsunami trauma.

#### 4. Shamanism in Japan

Mircea Eliade (1907-86) was a Romanian scholar who published “Shamanism: Archaic Techniques of Ecstasy” in 1951, which is an established classic of Shamanism in religious studies. He recognized shamanism as a religious phenomenon, analyzed its ideology and discussed its techniques, its symbolism and its mythologies (Eliade1964: xix). He described the Japanese shaman in it, and although he did not use the Japanese term, *Itako*, Japanese scholars recognize his description as characteristic of the *Itako* shaman.<sup>16</sup> He wrote, “The Japanese shaman was rather far from shamanism proper of the North Asian or Siberian type.” It is primarily a technique of possession by ghosts and is practiced by blind women. They summon a dead person’s soul from the beyond and sometimes summon a living person’s soul from far away. Her ecstasy was factitious and simulated (Eliade1964:462-63). This rite called *Kuchi-yose*. In this rite, the dead expresses something by using the *Itako*’s mouth.

#### 5. *Itako* Shaman and Mt. Osorezan

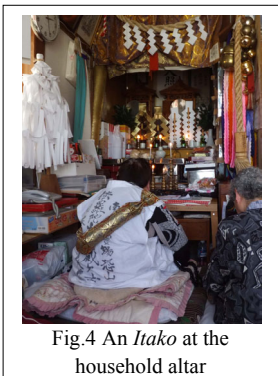


Fig.4 An *Itako* at the household altar



Fig.5 waiting people to request rites in Osorezan Bodaiji Temple



Fig.6 Entrance ceremony

The *Itako* shaman performs rites which are based on the Japanese folkloristic Buddhist and Shinto practices. They usually practice the rite at their own house or the clients’ house. So they are usually located in a town (Fig.4 shows an *Itako* at the household altar).

However, *Itako* shamans climb Mt. Osorezan on fixed days<sup>17</sup> to perform the rite of *Kuchiyose* there. Masahiro Kusu, a Japanese religion scholar, said

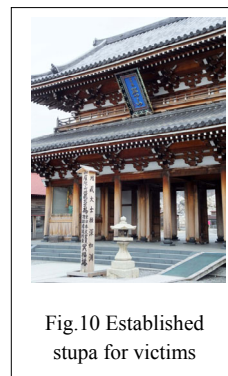
<sup>16</sup> Mircea Eliade did not mention the Japanese terms of shamans, but there some variations. *Itako* is used in northern Tohoku, *Okami-san* and *Ogamisama* are used in southern Iwate and Miyagi Prefectures, and *Onakama* is used in Yamagata Prefecture. Over all, *Itako* is the well-known and widely term in Japan.

<sup>17</sup> Fixed days are as follows. 1) Golden Week, namely the end of April and beginning of May, 2) the summer festival at Osorezan Bodaiji Temple of Buddhism from 20<sup>th</sup> to 24<sup>th</sup> in July, 3)the Bon festival, namely Buddhist rites for ancestors and the dead from 13<sup>th</sup> to 15<sup>th</sup> in August, and4) the autumn festival around the second week in October. After the autumn

villagers around Mt. Osorezan traditionally had customs to climb Mt. Osorezan for serving the dead during the summer festival (Kusu1966:216). He also suggested this custom began during the first half of the 20th century (Kusu1977:44). *Itako* shamans climb Mt. Osorezan, and according to the clients' requests they hold rites to summon the dead persons' souls, the *Kuchiyose* rite. The summer festival is the ceremony of Osorezan Bodaiji Temple, however *Itako* shamans also come here and perform their rites. Many people come and make requests to *Itako* shaman every year, as seen in the Fig.5 photo. When people enter the gate of Osorezan Bodaiji Temple, they see a board saying, “*Kuchiyose* [rite by] *Itako* shaman” in Japanese (see Fig.5). At the back of the board, there are a few small plastic shelters. One *Itako* shaman is in each shelter and people come into their preferred shelter and make their request. Nevertheless, while *Itako* shamans perform their work inside the temple grounds, and while Osorezan Bodaiji Temple accommodates them, the temple monks declare that they have nothing to do with *Itako* shamans.

Osorezan Bodaiji temple has many Buddhist ceremonies during summer festival. Fig.6 shows the entrance ceremony of the chief monk on July 22<sup>nd</sup>. It has imitated a parade of the Edo Period (17<sup>th</sup>-19<sup>th</sup> century), so they wear ancient Japanese clothes. After this ceremony, they hold many Buddhist ceremonies. The main purpose of the summer festival is memorial rites of the dead (Kusu 1966:216).

## 6. Relationships Between Osorezan Bodaiji and Damaged Areas



Many people have climbed Mt. Osorezan from damaged areas since the Edo period, therefore we can see many monuments which are standing in the ground of Osorezan Bodaiji Temple. For example, Fig. 7 shows a stone tub for water purification of the hands and mouth. It was dedicated in the 19<sup>th</sup> century by a few persons who live in Iwate Prefecture, according to the carved letters on the

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festival has finished, the gate on the road to Mt. Osorezan is closed during winter season from November to April.

stone tub. Fig. 8 is a memorial stupa for Jikaku Taishi who established the original temple on Mt. Osorezan, according to legend. The stupa was made by some persons from Sendai city in Miyagi Prefecture in Tohoku region in 1971. Fig. 9 is a standing figure of Jizo (Kshitigarbha) contributed also by persons in Sendai city in 1977. As can be seen in these photos, Osorezan Bodaiji Temple has had a strong relationship with the people of areas damaged by the Great East Japan Earthquake.

It has been a sacred place to pray for safe sailing and fishing, harvest, and hot springs for curing. Also, many merchants, fishermen and visitors hoping to cure a disease have gone there. (Miyazaki 2002:361-363, 366-367, Kusu 1966:211-219). We can see many wooden stupas donated by fishermen and stone lanterns donated by merchants<sup>18</sup> in the Osorezan Bodaiji Temple.

After the Earthquake, some fishermen's families came to the temple from the damaged area in spite of the difficulty of the travel at that time in Japan. Even under these circumstances, they came to Osorezan Bodaiji Temple, because it has been famous for the gods guarding safety from the sea (Hara 2014: 26-27).



Fig.11 Established Sitting Jizo for victims

After the Earth quake, Osorezan Bodaiji temple established two monuments for victims. Fig.10 shows a stupa for victims of the Earthquake established in 2011 and Fig.11 is a sitting Jizo (Kshitigarbha) for victims established in 2012. These things indicate the rationships between the Osorezan Bodaiji Temple and areas damaged by the earthquake.

### **7. Surviving Families Climbed Mt. Osorezan to Make Requests of *Itako* Shamans**

Since the Earthquake happened, many surviving persons have visited *Itako* shamans to summon the souls, of their family and relatives. Sometimes a surviving family would ask a soul, "Where are you now?" And the soul would answer with a location via *Itako*'s mouth and appeal to survivors to find the body. Using this rite, survivors could learn the circumstance of the death and could express their last farewell to the loved one.

Many people climb Mt. Osorezan every year to communicate with deceased persons. However, in the year of the Earthquake many people from the eastern coast of Tohoku region in particular came and asked an *Itako* where their family member was. One woman said she came with her husband and relatives to seek her father-in-law.

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<sup>18</sup> They had carried on trade by ships. Shimokita peninsula (where Mt.Osorezan is) is the location of the main important sea route (Miyazaki 2002: 369).



## **8. Other Shamans**

Mt. Osorezan is the most famous place for *Itako* shaman gatherings. However, there are others (with shamans named in other ways, as mentioned). Although a number of survivors have not gone to Mt. Osorezan, many people have gone to shamans in other locations and asked to find their family members. In interviews, it was reported that some of them succeed in finding relatives, and some did not. Clients visit *Itako* shamans in their houses, except when they stay at Mt. Osorezan and ask for help with their problems (see Fig. 4).

## **9. Japanese Thought of Death**

As described above, not just a few surviving families went to *Itako* shaman to seek family and said final greetings. Why have so many people visited *Itako* shamans? The reason is that Japanese people, from tradition, want to locate the dead body after death for burial rites. If it is difficult to find an intact body, they want to take even a part of body (such as a piece of bone). If they cannot even locate a part of the remains, they want to assemble some memories for him/her. After the Second World War, many soldiers did not come back. Surviving soldiers if they could brought a part of the deceased' body, visiting his family and explaining his final days and hours. Even now, surviving families go to ancient fields of hard-fought battles and collect bones of Japanese soldiers from the Second World War. As with the Japanese soldier's case, Earthquake victims' families visit *Itako* shaman and want to find their family and relatives.

Why do Japanese feel it is so important to have at least a small part of the dead body? Emiko Namihira, a scholar of anthropology, considered this problem. She said, the personal identity inhabits its soul and body, according to Japanese thought. Thus, Japanese hold the rite of picking up bones among the cremated remains with chopsticks for surviving family and relatives at the funeral ceremony. This is an important rite in Japanese funerals (Namihira1990:230). Then the bones will be put into a cinerary urn and that urn put into a grave. According to Namihira's article, soul and body cannot be divided from each other, so finding the body of the dead is a very important obligation for surviving family and relatives. This motivated many people to visit *Itako* shamans after the Earthquake. The thought of soul, bones and body of the dead is a very important idea for Japanese thought.

## **10. Future-oriented Perspective of Survivors**

As noted at the beginning, six years had passed since the Great East Japan Earthquake occurred and this would be the big anniversary year. This means the sixth year is a period of time for remembering the dead, and so surviving people should step forward.

Recalling the time of these six years, some encouraging steps have been taken in the Tohoku region. For example, two historical sites were chosen as World Heritage Sites. In another case, significant for the Tohoku area, the Rugby World Cup will be held in Japan in 2019. A total of 12 stadiums were chosen in 2014 for this event. Among them, Kamaishi city was selected in Tohoku region. This is the only one city selected in the Tohoku region. Why was Kamaishi city chosen? One of the reasons is that a legend grew up about the Kamaishi children who survived the Tsunami waves. They had, in fact, practiced taking refuge from Tsunami waves, since this area has been attacked by Tsunami waves many times in history, and had acted on the practice at the time of that Earthquake. Almost all of the three thousand elementary and junior high school children survived. It is nearly a 100% survival rate for these children. Thus, a legend grew up around their survival. Another reason is that Kamaishi city is well-known Rugby city in Japan, because the rugby team of Nippon Steel Corporation rugby team succeeded in winning championships seven times consecutively, out of all Japan rugby games.

For these and other reasons, the rugby stadium of Kamaishi city is being constructed now. People expect that it will become a symbol of recovery from the Great East Japan Earthquake. Moreover, with respect to the significance of rugby in Kamaishi city, the Japanese National Sports Festival in 2016, where the first official female rugby games were played, was also held in Kamaishi city, Iwate Prefecture. The National Sports Festival's regular match is highly anticipated at the Tokyo Olympic Games in 2020.

Kamaishi city has developed some symbols of recovery from the Great East Japan Earthquake during the past six years. The next symbol is being reconstructed now, anticipating the Rugby World Cup in 2019. Through the emergence of this public symbol of recovery, surviving people signal the overcoming of their sad experiences.

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**The Janus Image in Funerals**  
***An Example of Cultural Substratum Common to Romania and Japan***

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***Abstract***

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*In 2005, the head of a haniwa with two faces – both in front and on its back – was excavated in an ancient tomb in Wakayama. After the 6<sup>th</sup> century double-faced images, not necessarily clay figures, had already been known in Asuka, the southern part of Nara, some of the images displaying their private parts. At a close analysis of Japanese mythology, it was easy to infer the ritual of exhibiting women’s private parts in front of the tomb.*

*In Romania’s old funeral ritual at Nereju the condolence callers generally wear animal or bogeyman masks, while during the night vigil around the bonfire they leap over their leader props against a cane that has at the top an animal head with a face in front and one on its back. Double-faced images represent one example of cultural substratum, i.e. facts of culture with joint traits in olden times, in our case symbolizing the boundary between death and life.*

***Keywords***

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*(cultural) substratum, Janus (image), funeral, Japan, Romania.*

From the very outset I think I would rather point out that culture can be acquired only through learning, which leads to particular behavior resulting from knowledge. For example, “eating” is an instinctive action; it cannot be seen as cultural conduct. It is clear when observing animals. We cannot say they manifest themselves culturally when eating. In their case, it is a kind of “propagated attitude” based on instinct. But we cannot say the same when it comes to “boiling and eating”, since “eating” gains through boiling a kind of cultural value. The act of eating is not simply inherited in this case, it is obtained through knowledge. Thus, I would like to point out that while behavior subjected to instinct does not change, the one acquired through knowledge shows off peculiar differences which change quite easily. Even if we speak about the way of eating the same thing, it may differ greatly according to the area or to the times. To make the long story short, culture undergoes kaleidoscopic changes displaying amazing varieties in any field.

However, there are instances of strong resemblances between cultures in spite of the distance or the passage of time. Such particular examples of similarities are in many situations the result of exchanges between the regions under

discussion. To give only one such example, we come across the so-called Western-style clothes anywhere in the world as they have spread over a large area alongside with the extension of economic and / or political influence in modern times.

Such instances are easy to understand, but how can we account for the cultural phenomenon of “similarities” in remote areas, where there are no mutual exchanges? In such cases, transferring information from one region to another is out of the question. Well? Perhaps common ancestors have been inherited separately. I introduced a similar example here, in Romania, fifteen years ago.

At the end of the 19<sup>th</sup> century, as a step towards modernization Japan abandoned the former traditional calendar and adopted the Gregorian calendar, which explains why the New Year came to be celebrated on January the 1<sup>st</sup>. Nevertheless, the old New Year called *Setsubun* is still celebrated on February the 3<sup>rd</sup> almost in the same way as in the past. One of the rituals met with nowadays as well is “scattering beans” although it is now performed on some elevated grounds at Shinto shrines and Buddhist temples by famous artists or renowned people. While shouting “Out with the demons! In with good luck!” they take out parched beans from special boxes and throw them to the people who try to catch as many as they can. According to folk belief, the person who eats the number of the beans corresponding to his / her age + one is protected against illness and does not catch a cold. The ritual of spreading beans shows variations according to the ethnographic areas, but it is worth mentioning that it was originally held at home by the head of the family.

There is here a striking similarity with the custom of driving away the spirits of the dead in ancient Rome. In his work *Fasti*, written in the 1<sup>st</sup> century after Christ, Publius Ovidius mentioned a custom alike that took place during the festival called *Lemuria*. While spreading beans, the head of the house would shout: “Out with the spirits of the dead!”

Not only do the Japanese and the Roman rituals take place at home, performed by the heads of the families, but even the words uttered resemble very much. It cannot be pure coincidence. And yet, the similarity is not to be explained through cultural exchanges, as there were no such things at that time. This custom must have been widely spread in olden times and though it was completely forgotten in many areas, it survived in Japan as it was recorded in ancient Rome.

Such facts of culture with common traits well-known a long time ago, which have disappeared almost everywhere leaving behind only a few vestiges, belong to the *cultural substratum*. They are universal cultural phenomena not biased towards a certain region or a nation. However, I must admit that some of them are rather restricted, while others cover a larger area and several nations. If most nations all over the world had a common cultural substratum, human nature would reveal more easily. Starting from this premise, I would like to discuss a

cultural phenomenon in order to show a possible cultural substratum common to Japan and Romania.

A *Haniwa* which have two faces was exhibited in the Museum in Wakayama in December 2006. *Haniwa* are terra-cotta clay figures made in Japan from the 3<sup>rd</sup> to the 7<sup>th</sup> centuries, lined about the exterior of ancient burial mounds and buried afoot obliquely. According to the legend, nobles of high social status were originally followed into the grave by their faithful retainers, who were afterwards replaced by such clay figures. We cannot say the same about the oldest *haniwa*. They were simple cylinder-shaped ones, supposed to have been connected to the funeral rites, but they couldn't have acted as substitutes for retainers.

*Haniwa* came to enjoy all kinds of shapes: from humans to animals and houses, but we cannot speak of clay figures having at that time faces both in front and on their backs, except for the example in the museum I have just mentioned. It must have been the clay craftsman's whim.

However, there are examples of figures with second faces on their backs. If we are to give an example, we can speak about the four "monkey stones" (*saru ishi*) to be found near the tomb of Kibihime-no-Miko (Emperor Kinmei's daughter). The tomb is situated in Asuka, the southern part of Nara. They are four statues with monkey-like appearance that had been originally laid in Emperor Kinmei's imperial tomb (he ruled in the 6<sup>th</sup> century) and moved to the present place in 1872.

In the second half of the 18<sup>th</sup> century, Ugen Uemura, a local historian, thoroughly investigated the history and tradition of famous places and vestiges in Nara. His efforts resulted in a topographical survey written down in *Places of Scenic Beauty and Historic Interest in Yamato*. In his study it is mentioned that *saru ishi* were excavated out a paddy field in 1702 and laid in Emperor Kinmei's tomb. His assertion is considered to have been well-founded and recorded as a truth to be handed down to our days. The texts prior to his were not clear; nor did they mention whether the four monkey stones found near the tomb of Kibihime-no-Miko had been dug out at the same time.

In *Konjaku Monogatari* ("The Anthology of Tales from the Past"), compiled in the first half of the 12<sup>th</sup> century, and in *Yamato-shi* ("Records from Yamato") edited by Sokō Seki in 1731, it was mentioned that two *saru ishi* had been the objects of study from the very beginning. When examining the group of four monkey stones found later (embodying a woman, the Deity Sannō-Gongen, a priest, and a man), one perceives the two crouching figures have their heads covered with hoods and faces on the back of their heads, as well. They look like being a pair. They may have been the two *saru ishi* mentioned in *Konjaku*

*Monogatari*, to which the other two (the ones dug out of the paddy field) were added.

Examining the *saru ishi* closely, Hisaoi Arakida (a traditional Japonologist in Edo Period) noticed that one of them clearly exposed the private parts. He immediately associated it with Ame-no-Uzume in the episode of *Ama-no-Iwato* (“The Opening of the Rock Cave”) in the Japanese Myth. It goes as follows:

*The Sun Goddess Amaterasu hid herself in the cave called Ama-no-Iwato, i.e. she died and was interred in a burial chamber in order to escape from her brother's violent insult. The whole world went completely dark. In order to get Amaterasu out of the cave, the other gods and goddesses threw a party in front of the cave. The goddess named Ame-no-Uzume performed an obscene dance to rouse much laughter. Amaterasu got curious about the peals of laughter she heard and peeked out. At that very moment, a god known for his strength forced the rock cave open. Then Amaterasu revived and the world recovered the light.*

This episode tells about the death of the Sun (namely, the sunset) and its revival (namely, the sunrise) but, at the same time, about rituals that incidentally take place at funerals, in front of the tomb: laughter caused by sexual gestures, music and dance.

In *Records of Wei*, the Chinese historical text from the 3<sup>rd</sup> century, it is mentioned that the people of *Wa* (Japan) are known for the merrymaking at the funerals of persons of high social status. It was due to the belief in earlier times that death and life (i.e. birth) were two sides of the same coin. This explains the large number of similar rituals at funerals and weddings. The feast in front of the tomb that calls forth laughter is like a ritual of rejoice for the coming revival. *Fashang*, the carnival in the south-west of Romania, can also be considered such an example.

A very interesting *haniwa* was excavated in 2002 out of a burial mound called *mukade tsuka*, found in Shintomi-chō, Miyazaki Prefecture. It represents a woman showing her private parts. The hem of the kimono is visibly tucked up and the lower part of the body is emphasized by being painted in Indian red. It can be undoubtedly associated with Ame-no-Uzume.

Resuming the *saru ishi* I have already mentioned, the one embodying the woman must be Ame-no-Uzume. I would like to mention one more example which points out the main role played by Ame-no-Uzume in Japanese mythology. It is connected to the descent to the earth of Amaterasu's grandson, Ninigi-no-Mikoto. The episode goes as follows:

*Suddenly at the cross roads between the Heaven and the Earth there appeared a deity with his red eyes radiating light around. It was Saruta-Hiko and he looked so ferocious that no man of Ninigi's could advance. Then Ninigi ordered Ame-no-Uzume to go on the scout because she was said to be most irresistible in the evil eye. She was approaching him with her private parts exposed to view and*

*inquired who he was. Saruta-Hiko answered he was an earth god and was going down there to make a deferential reception for the heavenly descendants...*

The big one in the image, with fierce looks, is supposed to be Saruta-Hiko, the pathfinder, while the little one seems to be Ame-no-Uzume. According to folk belief, exposing private parts to view acts as an amulet that protects from evil eye.

A well-known pathfinder in the traditional Japanese funeral in olden times was Fang-Xiang (Hōsō-shi in Japanese). As it is mentioned in the fascicle 26 of *The Rules of Funeral and Mourning* from the Yoryo Code, Princes of the first Rank and Chancellors of the Realm were provided with a Fang-Xiang hearse to lead the way of their coffins during the funeral procession. Fang-Xiang was known in East-Asian cultures for his exorcism practices during the funeral rites and during *tsuina* (in Japan, the demon purge performed at the Imperial Court on New Year). He is first mentioned in *The Rites of Zhou* in the 1<sup>st</sup> century B.C.

See below the literal translation of the classic Chinese text:

*Fang-Xiang's offices are as follows: he should wear bear skin, be golden and four eyed, wear black in the upper part and red in the lower part, carry a dagger-axe and hold a shield, lead a hundred men to exorcise at the time, search the rooms to smite the evils. And at the Imperial Funeral he should lead the hearse to the tomb and enter the chamber first, poke the four nooks with his dagger to exorcise Evil Fang-Liang.*

Classic Chinese is very concise and sometimes ambiguous, but this time it is clear that Fang-Xiang opens the way for the coffin during the funeral procession and exorcises the evil.

The account of his outside appearance (“golden and four eyed”) is not clearly stated, but the description of the golden head-cover both on the face and on the back of the head is similar to that of the terra-cotta image of Fang-Xiang in the Han Dynasty, while the bronze one in the Yin Dynasty shows even more clearly the two faces: in front and on the back.

In later periods of time, Hōsō-shi appeared in Japan only at the rituals of exorcism at the end of the year, while in Korea the presence of Fang-Xiang's hearse in the funeral procession lasted until around 1930.

Unlike the physical appearance in the Chinese documents, the Japanese Hōsō-shi carries a pike or a spear instead of a dagger-axe and holds a shield, while wearing a four-eyed mask. On the other hand, in the same documents it is not stated clearly whether the Korean Fang-Xiang is provided with a pike and a shield. But in either case, the mask is not golden and one can see four eyes, but no faces on their backs.

According to the documents extant in both countries, the ritual is considered to be a Chinese imitation. However, at present people wonder what



Fang-Xiang looked like because, except for the annotations in the 2<sup>nd</sup> century, his appearance as it was described in *The Book of Rites* was completely forgotten. Besides, the four-eyed image still found in Japan and Korea later was no longer to be seen in China, not even under the form of a clay figure.

Nevertheless, there are written records as to a ritual introduced from China around more than fifty years ago, namely that of transferring Buddha's relics to the temple Gankō-ji with a procession preceded by Hōsō-shi's hearse. It does not resemble exactly a king's funeral march, but it is similar to seeing the deceased off to the other world. Since in China Fang-Xiang does not appear in the ritual of transferring Buddha's relics, the Hōsō-shi encountered in Chinese records couldn't have been the same. It may be just a typical example of accidental similarity due to the lack of a Japanese writing system at that time. I mean the Japanese must have borrowed a combination of ideograms that resembled the Chinese name. And this "Hōsō" seems to be one such example.

The truth is that even after the introduction of the Chinese ritual, the funeral specialists called *asobibe* encountered in the old Japanese funeral rites are still to be met with. That's why the ritual of transferring Buddha's relics preceded by Hōsō-shi's hearse is said to be typical of the Japanese, while the word recorded in the Chinese documents is supposed to be a cognate. It must have also been caused by the similarity I mentioned above, I mean the *haniwa* with two faces (in front and on the back).

Nowadays in Japan Hōsō-shi does not show up in the funerals any longer, not even in those arranged by the Imperial Household. But there are folk observances where the presence of such a character is suggested. For instance, in *Shiromi Kagura* in Miyazaki Prefecture we come across a ritual called "the divine farewell". It takes place in several rural districts around the New Year, when the deity from a holy mountain is invited to come down into the village. The villagers meet the deity, i.e. they let themselves being possessed by it and dance *kagura* through the night. The divine farewell takes place at the end of the entertaining program, usually the next morning. I am not going into the details as to the dances, but I would like to mention that the three (in some parts only two) dancers who see off the deity have faces both in front and on their backs, the same as in the funeral ritual in olden times.

Unfortunately, similar practices are not to be found in neighboring countries, but I came across a similar one at ten miles' distance from Japan – in Romania. In Nereju village which lies in a "region archaïque", as the distinguished sociologist H.H. Stahl calls it, there are still practiced precious customs. I would like to mention only one to be met with during the funeral ritual, namely the disguise of the people who call in for condolences. Though I could not attend a real funeral, in 2011 I was lucky enough to closely look at a mock funeral. Stahl gives

full account of the particulars in his precious book written in 1939, but I was able to understand directly that the funeral ritual goes in accordance with the Romanian Orthodoxy alongside with the vestige of an old pagan custom, namely the presence of several callers masked as animals or bogeymen, called “old-headed men”. Since such condolence callers feign old voices, they are thought to stand for the ancestors who come down from the mountains, i.e. Heavens, in order to meet the dead.

I am sorry to say there are nowhere else such examples of condolence callers within the rites of passage. Or, at least, I ran into one only in Nereju, which in my opinion bestows the traditional culture here a gem-like value.

One wonders where the belief in the sacredness of the mountains springs from. The world must have been thought to consist of both the realm of deities and that of people. To put it concretely, the world of the deities lies in the heavens, which at the same time means “the mountains”. Further, “mountains” = “forests”, while the world of people is called *sato* (“village”). Between the forests / mountains and the village, one can encounter the intermediary space called *no* (“plain”), which is in fact the foothill. Basically, when deities descend from the mountains = forests (i.e. from the heavens), people go up to that intermediary space *no* to meet them. After the deities’ short stay in the village, *sato*, people send them back to *no* through a traditional ceremony called *matsuri* (“festival”). This world view pertains both to social events (*matsuri*) and to individual ones (i.e. the rites of passage). The attendance at a funeral makes no exception. Therefore, with most funeral rites the remains are taken to the cemetery that lies at the foothills of a mountain. Incidentally, in Japanese “attendance at a funeral” is synonymous to “sending to the vicinity of the plain”, i.e. burial service.

This world view is common to several areas all over the world. In Sumer language, *kur* signifies “mountain” with the meaning of “the other world”. *Gunrai*, which literally means “coming in crowds” refers in fact to “the collective descent” or “group descending” from the other world. The descent of *kami* (“deities”) in groups is typical of Japan. We can also mention Genesis 18 – 1 ff, Amida-Raigōzu (the picture that refers to Amitabha, a Buddha who, like “Mater Dolorosa”, descends from the Heavens to welcome a dying person on the deathbed), etc. In the same way, in Nereju condolence callers disguise themselves as animals or bogeymen and they attend the funerals in groups.

Through the extension of the sense, the turn of the year means, without any doubt, “an end” that entails “funerals and festivals” – extremely important rituals to prevent “the end of mankind”. In Occident, in conformity with each country’s specific religion, around the winter solstice “old men” (e.g. Santa Claus, Saint Nicolas, Ded Moroz, etc.) come down from the mountains to bring happiness to

people. They correspond to *Toshigami* (“the Deity of the Year”) in Japan, who stands at the same time for the spirits of the ancestors.

The “demon” I spoke about today, which appears at *Setsubun*, is in fact the spirit of ancestors, too. In the beginning, the Chinese character did not represent “the demon” meaning “apparition” or “ghost”, but “the dead”, showing itself in the form of an ideogram resembling a person wearing a big mask. As a rule, the demons at *Setsubun* come in groups, the same as the disguised bogeymen in Romania.

In Japan there are many other customs that resemble those in Romania, but I am not going to speak about them today. Instead, I would like to go back to the funeral rites in Nereju in order to mention the big outdoor fires kindled during the night vigil. James Frazer and other scholars explain them as remains of the old pagan ritual of rebirth or physical regeneration or recovery of life energy.

After the condolence call, the bogeymen in Nereju get out into the garden, line up, and sing and dance *The Cypress* – the symbol of death in Europe. It became such a symbol because it would be planted at the graves. In my opinion, it’s the other way round: it came to be planted in cemeteries because it is considered a sacred tree due to its everlasting nature. The song is not sad, as the deceased is not “dead”, while the “cypress” is taken back to the forest, i.e. to the mountains where it is subject to rebirth. Afterwards, the men jump over the bonfire in the garden. The leader props against a cane that has at the top an animal head with a face in front and one on its back. This reminds of the Japanese Hōsō-shi as a leader and, without any doubt, of Janus.

In Roman mythology, the double-faced image called Janus originates in the deity found in the gateway. It is the special borderline between the house and the outdoors, which explains the image of the deity with two faces. Since the turning point in time is also worth mentioning, we can easily make out the role of Janus as a substitute for ages as well. This role must have entailed his bearing the name of the first month of the year.

Due to the universal character, the image of Janus shows up at the borderline of various cultures. On the other hand, death stands for the transition from this world to the other world and during the passage from life to death there are many rituals to be performed, in which the image of Janus with two faces plays a very important part, since it keeps his faces towards both worlds. If we take the cosmos like that, we can better understand why double-faced figures attended funerals in days of yore. However, with the passage of time, the custom got lost and one can come across vestiges of it only in remote villages like Nereju in Romania or in Japanese traditional observances like that in *Shiromi Kagura* in Miyazaki Prefecture.

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