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## **Editorial**

**“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 7<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 includes two sections: linguistics / FLT, and 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.



◆ CULTURAL STUDIES ◆

# Cognitive Grammar Applied to Cinematic Movement

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## **Abstract**

*The present paper argues for the application of a series of notions from the Cognitive Grammar advocated by Ronald W. Langacker to film analysis. Cinematic conceptualizations are constructed in a scaffolding manner. The constructions contain bindings between schematic subcomponents (elaboration site, i.e. e-site) and more finely grained elaborations (instantiations). The e-sites are ad-hoc goal derived categories or abstract summaries of conceptual content that is further elaborated in cinematic discourse unfolding. The schematic element and its instantiation have a conceptual commonality (one is schematic and the other an elaboration of an inherent conceptual content) and exhibit similar connections with external elements, i.e. play analogous roles in processual (head – complement) and non-processual (head – modifier) groupings. Specifically, character movement and camera movement can be described with this conceptual apparatus.*

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## **Keywords**

*Cognitive grammar, film analysis, camera movement, categorization, construal, cinematic conceptual construction, schematization, simulation.*

### **1. The e-site as a goal-derived category**

Encountering a stimulus - for example an *apple* - triggers a mental process in which the brain combines “bits and pieces of knowledge of previous apples you’ve seen and tasted”, and “changes the firing of neurons in your sensory and motor regions to construct a mental instance of the concept ‘Apple’”. In short, “your brain uses your past experiences to construct a hypothesis - the **simulation**” (Barrett 2017: 27). Simulation is known by different labels, such as “perceptual inference” and “perceptual completion” (Pessoa et al. 1998), “embodied cognition,” and “grounded cognition” (Barsalou 1999; Barsalou 2008; Barsalou 2009 – “modal re-enactments”) (Barrett 2017: 370).<sup>1</sup>

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<sup>1</sup> “[...] simulation is the re-enactment of perceptual, motor and introspective states acquired during experience with the world, body and mind” (Barsalou 2009: 1281); “Simulations represent a category’s instances in their absence during memory, language and thought. Simulations produce inferences and predictions about a category’s perceived instances using the pattern completion inference mechanism described later. Simulations combine productively to produce infinite conceptual combinations. Simulations represent the propositions that underlie type-token predication and complex propositional structures. Simulations represent abstract concepts”. (1283).



The **e-site** represents a schematic region in the situation evoked by a simulation / conceptualization. It plays the role of a simulator and is a goal-concept. Simulations can contain schematic components that only partially represent entities, not just detailed representations of them. **Ad hoc** and **goal-derived categories** develop to bind **roles in action** with instantiations in the environment. As systems of these mappings develop, the conceptual system becomes organised around the action–environment interface (Barsalou 2003: 522). **Goal-derived categories** constitute the mappings between roles in event sequences and instantiations in the environment. Since conceptual representations are **dynamically contextualized** to support diverse courses of **goal pursuit**, situated conceptualizations support conceptual inferences via pattern completion. When one part of a situated conceptualization is perceived, the remainder of the conceptualization becomes active, constituting inferences about the current situation.

Barrett (2017: 90) asks us to imagine a verbal exchange that takes place in a restaurant where one interlocutor says: *a nice fish*. The word *fish* will evoke the conceptualization / simulation of the *order dinner* event shaped as a skeletal piece of information about a goal in the situation. The spoken word *fish* will be modeled after the prototype for “fish” when appropriate for the role of “a thing to be eaten” in the context of use, i.e. a *edible fish* (a salmon or a trout) as opposed to a *pet fish* (a gold fish in a pet shop situation) or a *predator fish* (a shark in an expedition context). Bits and pieces (summaries) of memories of the entity are simulated in this property space. Some parts are belonging to this particular token alone and other parts are common to the prototype for “fish” (living aquatic entities) - i.e. commonalities of memorized patterns. The goal of the conceptualization is a conceptual attractor that constrains the construction of the target entity. Parts and bits from several simulated entities are combined in order to construct an instance of edible fish. The emergent prototype is a hybrid conception linked to the fleeting moment of conceptualization. Since categorization is not an all or nothing process that targets the entity in its totality, but a multiple process of categorizing several pieces at once, the conceptualization of one instance of entity profiled is a mix of several ingredients.

The conceptualization flows along a double direction: a categorizing prediction feedback and an error prediction feed-forward. By conceptual combination, a typical entity for the context at hand is constructed. This constructed prototype is a momentary representation or a belief, a theory or a stereotype. Finally the act of perceiving and conceptualizing a *salmon fish* will elaborate an instance of the conceptualization.

For example, in the *order dinner* situation evoked, the e-site is a skeletal conceptual attractor of “things than can be eaten”. This is a **simulator** that aggregates a multitude of multimodal simulations of the appropriate dinner-like situations. The use in this context of the noun *fish* constructs an instance of the “things that can be eaten” goal-concept. This instance is multiple-categorized by pattern completion operated by the “bits and pieces” of multimodal simulations activated by memory retrieval (the best instance that fits the situation). The instance-concept of *fish* is - a token of the type in a particular situation.

This instance is also an elaboration since it is a more detailed conceptualization produced by error prediction and bottom-up corrections. The constructed / elaborated instance-conceptualization is the adhoc concept or the prototype of the skeletal goal concept, i.e. *a fish that can be eaten*. As such it is a goal-based concept. The situated concept (*a fish that can be eaten*) can categorize the simulations evoked by verbal expression or the stimuli of the visual percept of a fish in the situation that grounds the expression.

Let us consider another example. The situation is the *pet shop* context and the goal-concept is “things that one can buy”. A usage-based expression of the *fish* concept will be constructed / elaborated as an instance of the prototypical conceptualization a “*goldfish*”, i.e. the goal-based concept. This constructed conceptualization has a fuzzy schematic character and is constructed out of a multitude of parallel summaries of bits and pieces of similar concept instantiations. The prototype constructed categorizes by the best-fit -wins mechanism, the actual experience of the sensorial array, e.g. *a fish-shaped entity that is vividly colored*.

The abstract concept of *fish* is a type that is functionally equivalent with the goal concept, e.g. “things that one can buy” embedded in the situation, e.g. *the pet shop*. The constructed conceptualization of the type is a token of the goal concept in a particular domain of instantiation (living aquatic entities), e.g. *a living aquatic entity that one can buy; a fish* [the prototype = *a goldfish*]. It is a constructed concept - a hollow representation - that holds an array of schematic summaries / multimodal simulations as parts of the conceptualization. Once a sensorial experience occurs, it gains meaning as an elaboration of the token conceptualization, e.g. *this golden fish*. The constructed token has the role of a schema and the sensorial experience of an instantiation. Making meaning is the dual process of categorization – a top-down prediction mechanism from the schema constructed towards the instance – and elaboration – a bottom-up error prediction from the stimuli to the schematic construct. The conceptualization that is apprehended as meaning results out of this sequence of loops. It is a state of equilibrium between the predicted model (the constructed, goal-based or situated concept) and the particular sensorial input (the categorized instance) that elaborates and corrects the top-down prediction. The conceptualization of the instance takes place at the same time with the conceptualization of the prototype that categorizes. The dynamic conceptualization generates an adhoc concept (the prototype) *and* the particular instance.<sup>2</sup>

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<sup>2</sup> See about the prototype that “tends to share the particular features that are common to the set of individual instances” as an information reduction of the details that can be combined and summarized in Posner (1969: 96). Categorizing relies on the similarity / dissimilarity between the stimulus experience and the category that represents an array of exemplars, the prototype. In his view, “schema preserves the central tendency of past visual experience and the individual exemplars define a category boundary” (96). See also about the mechanism of coupling between prediction and prediction error in categorizing stimulus experiences in Larkum (2012). See about the architecture of multimodal integration in Binder et al. (2015). See also about the prototype construction by imposing similarities on an array of instances according to the goal in a given situation in Barrett (2017: 90).

## 2. The e-site: two visual examples

In order to represent the conceptual content of an entity, humans construct **simulations**. Those simulations are formed out of bits and pieces abstracted as schematic summaries from previous multisensory experiences. In an often quoted experiment (See Zwaan 2002; Barsalou 2003: 531; Barsalou 2009), subjects were more rapid in identifying perceptual targets that matched an implied shape evoked by a sentence in which a bird was mentioned (Figure 1). The subject noun, *the bird*, profiled an entity that is described as standing or flying. The subjects of the experiment mentally simulated a bird standing in the tree with the wings folded or a bird flying with the wings flapping. The simulation primed the conceptual task of identifying a target picture that matched the implied shape of the wings.<sup>3</sup> If the target image exhibited a graphic match, the subjects were more rapid in identifying the target.

### Examples of sentences

**The bird sat quietly in the tree**

(Implies a bird with its wings folded)

**The bird flew quickly across the sky**

(Implies a bird with its wings flapping)

### Examples of pictures

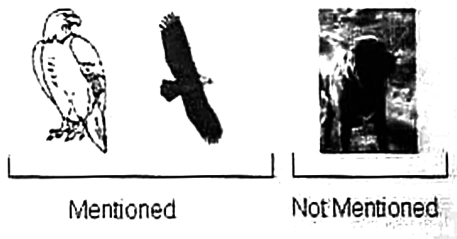


Figure 1 (Zwaan 2002)

The shape of the wings is schematically represented in the semantic description provided by the verb (*standing / flying*). The entity profiled, *the bird*, is a conceptual compound that aggregates several component elements in a summative way (the *body, claws, peak, wings, and feathers*). This summary description is a situated conceptualization based on a simulation of the concept *bird* in a constrained context of use (the action of *standing* or *flying*). Each case is a different simulation that gives salience to an element in a scene and inhibits others (*the bird standing with the wings folded in a tree / the bird flying with open wings in the air*). The component-implied conceptual element is an **elaboration site** (e-

<sup>3</sup> See also Lawrence Barsalou (<https://www.youtube.com/watch?v=jdzI9FN0jww> ; Brain's Modality-Specific Systems: Dr. Lawrence Barsalou ; min: 18:20 sq.

site). Further discourse or perceptual experience will confirm (elaborating in a more detailed fashion) or disconfirm its presence. The e-site is a prediction summary of *folded / flapping wings* and subsequent perceptual experience will elaborate a detailed instance as a prediction error. An e-site is a summary that represents the commonalities of multiple instances of a concept. It is an aspect of the setting and gives access to objects that statistically co-occur with the focal entity in a scene / situation, the relations in which an entity is inscribed, roles and agency, properties, rules, interoceptions and mentalizing, the goal and the domain of experience in which the entity forms a bounded region (See also Barsalou et al. 2011; Barsalou 2005).<sup>4</sup> In short, it can be defined as a summary conceptualization that inhabits a schematic region of a simulation.

For example, the gist of the scene evoked in shot B is a constructed simulation that contains an e-site (human behavior in winning situations) that categorizes and is elaborated by the perception of an entity (facial expression) in shot A (See Barrett 2017: 43). The image in B contains a schematic winner role in a tennis sports event (Figure 2).

Figure 2 (Barrett et al. 2011: 287).

“If one explains verbally the first photo’s context - winning a crucial tennis match the viewer’s brain applies conceptual knowledge of tennis situations and winning competitions situations in order to simulate / evoke facial configurations of people experiencing exultation” (2017: 43).

Apprehending the meaning of the scene depicted in shot B and constructing a simulation of the scene gives access to an e-site for categorizing perceptual information in shot A. An e-site is a shorthand that holds together bits of pieces of

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<sup>4</sup> Several experiments demonstrated that conceptual knowledge used to simulate and guide action in the world is priming the speed of retrieval and the content that is retrieved. Component parts evoked by words (e.g. *you are driving a car* or *you are fueling a car*) were easily verified with perceptual targets. The position in space of the selected parts (e.g. *the roof of a car* or *the wheels of a car*) was a facilitating factor in order to achieve faster target-recognition. Concept knowledge and situated action did exhibit a strong link (Borghetti et al. 2004).

winning situations memorized by the viewer. Based on this summary of summaries, the brain of the conceptualizer can predict and explain the perceptual stimulus from shot A. The e-site from shot B constructs in a top-down manner the perceptual and content information and the perceptual information in shot A elaborates in bottom-up fashion the information about context winning situations and appropriate behavior and emotions.

The assumption is that the meaning the viewer constructs from a sequence of constituent shots is a symbolic construction different from the meaning of each shot considered individually (Anderson et al. 2006). The conjugation of shot A and B constructs a conceptual unit different from A and B separately.

In Cognitive Grammar (CG), “grammar and lexicon form a continuum residing exclusively in **assemblies** of symbolic structures” (Langacker 2008: 161). These constructions are symbolic assemblies, and the aim of grammatical analysis is “to describe such assemblies in clear and precise detail” (161). The composite structure is a distinct entity relative to its components and not reducible to its components. Composite structure and components form an **assembly** of symbolic structures that are linked by correspondences. In the diagram, (See, for example, Figures 4, 5 and 6) horizontal correspondences constitute the relationship of integration, which links the component structures, and vertical ones constitute the relationship of composition linking component structure to the composite entity (164). Correspondence pertains to conceptual reference and elaboration is a matter of characterization (198). The elements of a symbolic assembly are also linked by relationships of categorization. The categorizing structure lies in the background. The structure of concern in a construction is occupying the foreground as a target of categorization (the structure being categorized). In symbolic assemblies, the composite structure is foregrounded relative to its components (165).

### 3. The e-site: a cinematographic example

Let us ponder for a second on the following simple two shots example (Figure 3). In shot A the semantic description of the conjunction “and -” contains a schematic entity, e.g. a “thing” schema. The element evoked is schematic and implied and belongs to a simulation of “romantic love”. It is an e-site that awaits a more detailed perceptual elaboration. The graphic dash is already an elaboration of the e-site but can be described as “something” and as a discursive demonstrative “that”. The demonstratives serve to **ground** the profiled thing by relating it to the context of speech (Langacker 2008: 123 and 275). Shot B elaborates and represents in further detail the categorizing schematic element evoked. In this case, the deictic e-site instantiates – as a grounding element – the attention schema, i.e. someone is looking at / attending the picture of someone.



Figure 3 *The General* (Buster Keaton, 1926) min. 00:02:00 (apud Bateman and Schmidt 2012: 45).

#### 4. Trajector vs. landmark

Let us now consider a simple verbal example such as the expression „*in the closet*” (Figure 4). The preposition *in* can be semantically described as a nonprocessual relationship (stable in time) between two conceptually focalized things translatable as „*something is situated inside something else*”. The first focal element, e.g. *something*, is a **trajector** and the second focal element, e.g. *something else*, is a **landmark**.

The most prominent participant, called the **trajector** (TR), is the entity construed as being located, evaluated, or described. Simply put, it is the **primary focus** within the profiled relationship. It is often the case that some other participant is made prominent as a **secondary focus**; this is the **landmark** (LM). Expressions can have the same content, and profile the same relationship, but differ in meaning because they make different choices concerning the trajector and landmark (Langacker 2008: 70).

In conceptual constructions, it is typical for the composite semantic structure to profile the same entity as one of the component structures (192). The composite structure “inherits” its profile from a component structure, referred to in GC as the **profile determinant**, i.e. a roughly equivalent to what is called a **head** (192). The head “is the component element that represents the same grammatical category as the composite expression” and is defined “conceptually with respect to the semantic pole of symbolic assemblies” (194).

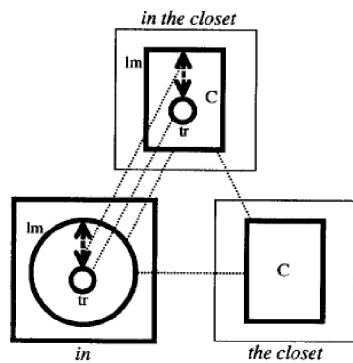


FIGURE 7.6

Figure 4 (Langacker 2008: 193)

### 5. Autonomous vs. dependent structures

Another distinction must be introduced. Some component elements are semantically **independent** and others are **dependent** on others for their semantic characterization.

“[...] **dependent** structures cannot be described independently, in their own terms, but only in relation to the **autonomous** structures that support them. As a consequence, a dependent structure refers schematically to an autonomous, supporting structure as an intrinsic aspect of its own characterization. This schematic substructure functions as an e-site when the dependent structure combines with an autonomous one” (Langacker 2008: 200).

Let us consider next the locative prepositional phrase “*near the door*” (Figure 5). In this diagram **correspondence** (indicated by a dotted line) pertains to conceptual **reference**, whereas **elaboration** (indicated by an arrow) is a matter of **characterization**. The correspondence line indicates that the prepositional landmark of *near* and the nominal profile of *the door* refer to the same entity: they are two manifestations of a single entity in the composite conception.

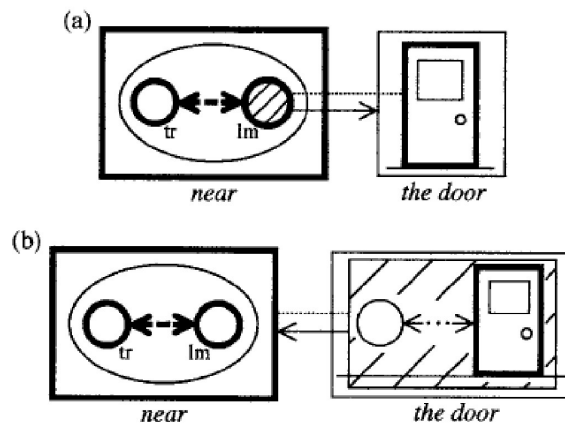


FIGURE 7.12

Figure 5 (Langacker 2008: 201).

A spatial relationship is conceptually dependent on its participants. In order to conceptualize a spatial relation (e.g. *on*, *under*, *near*) we have to invoke in a schematic manner the entities that participate in it.

There are two ways of apprehending the autonomous / dependent relationship in respect to the expression *near the door*. In the first one (Figure 7.12 –a), *near* is dependent on the autonomous component *the door*, which elaborates its schematic landmark. In the second interpretation (Figure 7.12 – b) *near* elaborates the schematic locative relationship implicit in the meaning of *the door* (since *near the door* represents a more detailed elaboration than just *the door*) (200). *Near* elaborates a schematic relationship implicit in the meaning of the nominal *the door*. The interpretation is based on the assumption that “part of our encyclopedic knowledge of doors is that, as physical entities, they participate in spatial relationships with other such entities. *Near* can therefore be taken as instantiating this schematic specification” (200). The degree of elaboration effected by *near* is limited but the *near* relationship is more specific than the one implicit in the nominal *the door* (201). Thus, “each component structure can usually be thought of as elaborating something evoked at least potentially by the other. To some extent, therefore, each component structure is dependent on the other” (201).

## 6. Head, modifier and complement structures

Langacker further elaborates the significance of the **Autonomous / Dependent alignment** and makes use of the following example to clarify it: *a table near the door* (202) (Figure 6).



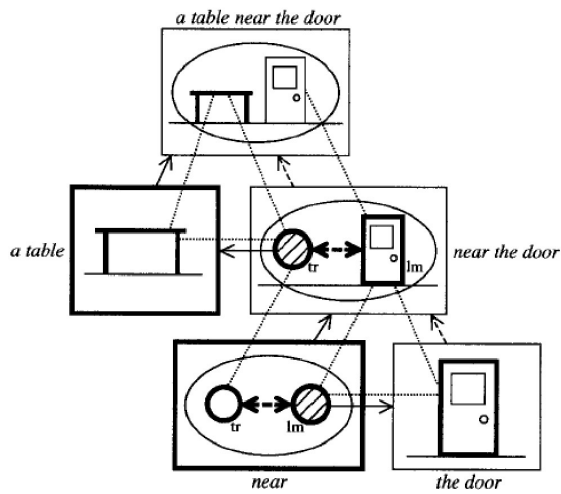


FIGURE 7.13

Figure 6 (Langacker 2008: 203).

“At the lower level of organization, *the door* elaborates the landmark of *near* to form the prepositional phrase *near the door*. *The door* is thus autonomous, and *near* is dependent. Since the composite structure inherits its profile, *near* is the profile determinant. At the higher level of organization, *(a) table* elaborates the trajector of *near the door* to derive the full expression. The former is thus autonomous and the latter dependent. At this level *table* functions as profile determinant, since the overall expression designates the table (rather than the spatial relationship). In traditional terminology, *near* and *table* function as **heads** at their respective levels of organization. At the lower level, *the door* is said to be a **complement** of *near*; at the higher level, *near the door* is a **modifier** with respect to *table*” (202)

“*the door* is a complement in figure 7.13, since *near* is the head and *the door* elaborates its landmark. At the higher level, *near the door* is a modifier because its trajector is elaborated by the head noun *table*” (203).

“A **complement** is a component structure that **elaborates** a salient substructure of the head. The head is thus dependent, and the complement is autonomous. Conversely, a modifier is a component structure that contains a salient substructure **elaborated by** the head. In this case the head is autonomous, and the modifier is dependent” (203) (Figure 7).

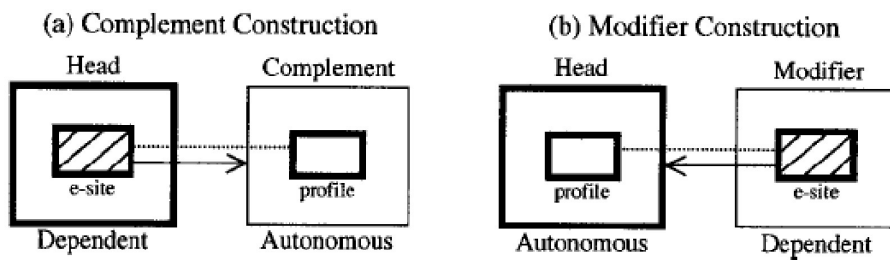


FIGURE 7.14

Figure 7 (Langacker 2008: 203).

### 7. Bounded entities

Images cue the conceptualization of a bounded scene, situation or event. Particular images construe vantage points that represent points of access into encompassing bounded entities (situations or events).

In an experiment (Palmer et al. 2012: 215), three different titles, e.g. “Racehorse”, “Front Runner” and “Dead Last” were used to label the composition made out of 5 images (Figure 8). The “Racehorse” label biased the composition towards the center. “Front Runner” biased the composition towards positions where the empty space behind the horse implied that it is far ahead of the others / competition is yet to come into view. “Dead Last” biased the composition towards positions “in which horse was, in effect, running into the picture because the empty space ahead of it implies that it is far behind its (unseen) competition” (215).

Figure 8 (Palmer et al. 2012: 215).

“Another set of images were based on a temporal metaphor in which empty space in the image could be seen as consistent with interpretations

emphasizing different parts of a journey: for example, a man walking with the titles ‘Man Walking’ (default), ‘Journey’s End’ (biasing images of him walking out of the frame), and ‘Starting Out’ (biasing images of him walking into the frame)” (215).

A similar experiment was constructed by Oatley and Yuill (1985, apud Oatley 2013: 270) starting from the brief cartoon film made by Heider and Simmel (1944). In this short film a triangle, a small triangle, and a circle move in relationship to each other in relation to five straight lines in the form of a box with a kind of flap. Viewers, in order to remember the sequence of movements, parsed the movements as movements of agents. Conceptualizers applied “schemas of personal agency” (“schemas of social interactions and actions”) (271). The verbs used in order to describe parsed events were “single-agent intentions such as *escape*, interpersonal intentions such as *chase*, or mental and dramatic intentions such as *loves*” (271).

Oatley and Yuill made a second experiment that revealed that “the titles induced viewers into earlier use of psychological verbs in their accounts of what had happened and what would happen next in the film” (271) (Figure 9).

“In our second experiment we assigned viewers randomly to groups and gave each group a title for the film. In one group, viewers were given the title ‘The Householder.’ It’s a story of a robbery: The small triangle and circle come past the house of the large triangle, who comes out to see them. The circle slips into the house to steal something. A second group of viewers was given the title ‘The Anxious Mother.’ In this story, the large triangle is a mother who tries to keep her child (the circle) from going out to play with the small triangle. A third group of viewers was given the title ‘The Jealous Lover.’ Here, the large triangle sees his or her lover, the circle, come past with a new beloved, the small triangle, and tries to keep the lover in the house, but the lover elopes with the new beloved” (271).

Figure 9 (Oatley 2013: 270).

The patterns of coordinated movement evoked schemas of “robberies, escapes, and elopements” which were enacted in the minds of the viewers. In order to recount the stories of what they have seen viewers used “emotion words such as anger at having something stolen, anxiety about a child and jealousy of a lover” (272). Oatley concludes that “visual perception works by picking up cues, by means of the small fixation areas, and using them to invoke, transform, and project mental models of objects within a three-dimensional spatial layout [...] from these cues, we construct fictional characters and track their actions and interactions through simulated story worlds” (272).

The mechanism of **boundary extension** for static scenes is exhibiting a similar phenomenon. Memory of truncated views of natural scenes ignore the frame layout and projects a coherent representation larger than the fragment depicted in the image (Figure 10).

“Research on **boundary extension** shows that both immediate and long-term representations of truncated views of natural scenes typically include projections of the surrounding layout. These observations indicate that, similar to aperture viewing and cinematic communication, scene representation essentially ‘ignores’ the spurious boundaries of a given view. Whether exploring the world through vision or touch, we sample it only a part at a time and yet experience a coherent representation of a continuous world” (Hochberg 2007: 487).

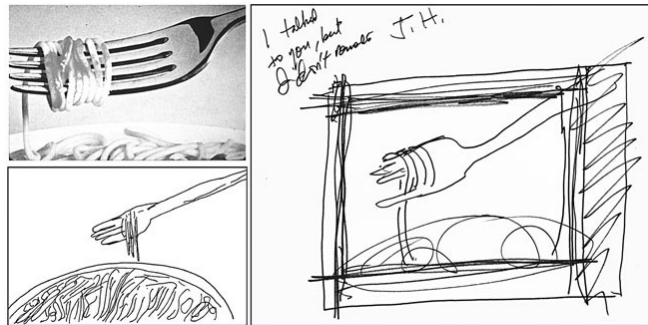


Figure 10 (Shimamura 2013a: 141).

Shimamura (2013a) considers that we “tend to add more information to the surroundings of a memory than what was actually there” and when we reconstruct a memory “we use our conceptual knowledge to change, remodel, and add to it” (Shimamura 2013a: 141; See also Barsalou and Yeh 2006: 361) (Figure 11).



FIGURE 6.6 *Left*: Painting from memory by Franco Magnani, © Franco Magnani. *Right*: Photograph of same location by Susan Schwartzberg, © Exploratorium. Reproduced with permission from the San Francisco Exploratorium, <http://www.exploratorium.edu>.

Figure 11 - Recalled image vs. actual image (Shimamura 2013a: 142).

For the Event indexing model (EI) cinematographic continuity depends on elements belonging to a **situation** model or an **event model**. In films, juxtaposed shots elaborate e-sites that are instantiated in domains such as: temporal, spatial, causal, entity, and intentional continuity (Magliano et al. 2001, Zwaan 2015; Zwaan & Radwanski, 1998; Coegnarts & Kravanja 2016: 118).

## 8. Movement construals

### 8.1 The static and the dynamic apprehension of movement behaviors

Two types of motion are characteristics of film. The diegetic object moves inside the frame or the screen frame exhibits motion. Both motions are apprehended as samples of a bounded event.

Still images of objects that imply movement are memorized as schematic bounded events containing a dynamic sequence of states and not as fragments of movement. In an experiment done by Freyd (1987: 430) she realized that “photographs that capture, or ‘freeze,’ some object in the process of motion might induce a mental representation of movement”. The subjects in the experiment confused photograph 2 with the original image 1 “as if subjects carried out the momentum of the jumper and imagined him further in flight” (See Shimamura 2013a: 122-123). Subjects have in mind a pattern of movement that characterizes the cohesion of an entity (Figure 12).

Fig. 1

Fig. 2

Figure 12 (Freyd 1987: 430).

People possess a mental schema that implies movement and interplay of “forces” (a potential of energy). Static representations are “special cases of dynamic representations” and statics are forces in equilibrium (Freyd 1987: 436). Objects that are static represent forces that are mutually counterbalancing. Mental representations of entities include force dynamic information and a dynamic conceptualizing of the whole gestalt.

“[...] the same basic dynamic representation might be used for the perception, the memory, and the imagination of certain events (such as a person walking). Similarly, to the extent that the perception of even a static object depends on a representation of forces held in equilibrium, dynamic representations from higher cognitive processing may be used in perception. Thus, even when something is not an event, such as a coffee cup, it might be normally represented as if it could be part of an event, such as a coffee cup falling or being picked up” (Freyd 19987: 437).

Freyd also indicates that, in art artifacts, people apprehend the motor potential movement underlying their physical construction (436):

“Knowing that Jackson Pollock rehearsed each painting, that his finished product is the record of highly controlled sweeps of his arm, can drastically change (and perhaps improve) the perception of his paintings” (Freyd 1997: 436).<sup>5</sup>

People tend to prefer implied movement into a scene. For westerners the preference is particularly displayed as directionality of movement from left to right such as the top range of images of the windsurfer. (See also Bergen 2012: 138; Johnson 1987: 76-80) (Figure 13).

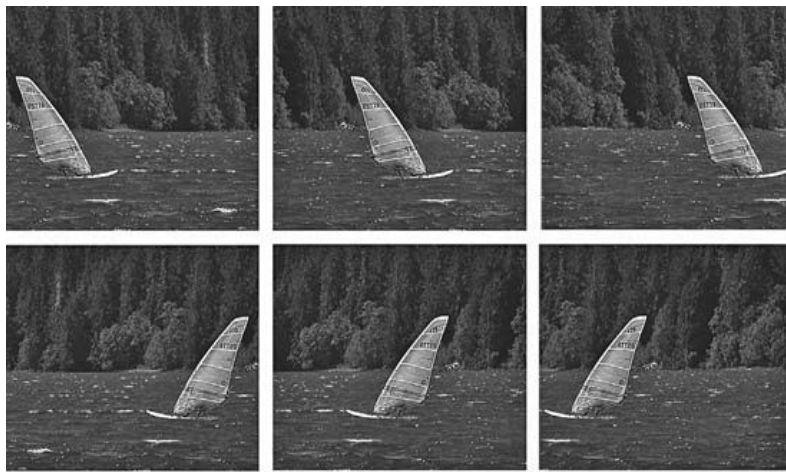


Figure 13 (Shimamura 2013a: 92).

“When asked to draw a picture illustrating action verbs, such as ‘giving’ or ‘shooting,’ subjects typically draw the agent (i.e. the giver or shooter) on the left in such a way that the action is portrayed as moving from the left to right” (Shimamura 2013a: 93).

Shimamura concludes that “these findings suggest that our scanning behavior plays a significant role in aesthetic analysis” (2013a: 93). A partial conclusion to be drawn from these examples is the fact that apprehending an event comprises static and dynamic information in a “window of attention”. The brain has to reify the relationships embedded in an event as a schema and has to have information about the sequence of states unfolding in time. People simulate not only the static representations of external situations and objects but also the affordances of objects, i.e. the actions that can be performed with objects (Gibson 1966, 1986). Some steadicam camera movements in film simulate the observer’s own movement toward an object and trigger or modulate the viewer’s mirror

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<sup>5</sup> A similar idea is explored by Currie (2012) that claims that visual engagement with artistic artifacts implies the apprehension of “traces of human activity” - “intentionally meaningful sensory-motor behaviors” (Currie 2012: 119).

mechanism (Se Gallese and Guerra (2014) and Heimann et al. 2014). Steadicam movement toward a target object was most able to produce a visual experience close to the natural movement of a subject towards an object. Handheld camera involves more the motor engagement of the viewer and subsequently their sense of immersion.

## 8.2 Scanning construals: summary and sequential

A cognitive distinction can be made between “thing-like” phenomena and “process-like” phenomena based on the distinction between events (or states of affairs) and participants in them (Tomasello 1999:151). There are two forms of apprehending an entity. For example, the prototypes for the noun and verb categories are two conceptual archetypes: a physical object and a force-dynamic event (Talmy 1988), specifically an Agent-Patient interaction” (Langacker 2007: 439).

A **thing** or a **domain** is “a set of interconnected entities which function as a single entity at a higher level of conceptual organization” (Langacker 2008: 107; Langacker 2012: 563) A typical object is both continuous and has a definite spatial boundary/ cognitive ability to reify or interconnect. Entities conceived in relation to one another are **interconnected** by the mental operations that link them in a bounded conceptual field (Langacker 2008: 108). Grouping represents the ubiquitous process in which elements *at one* level are being co-activated and connected to form a structure which functions as a single element for higher-level purposes (2012: 563). A thing produced by grouping and reification can itself function as a constitutive entity with respect to a higher-order thing (2008: 106).

In CG, physical objects – the prototype of nouns - are the result of grouping and reification. A group results from the conceptualizing of several different entities in a single mental experience. A mental operation that brings together entities in an “assessment that interconnects them in some fashion” constitutes the conception of a relationship. Some relationships obtain at once and others evolve and change through time.

“A temporally evolving relationship is most naturally accessed by sequential scanning, in which the component states (the relationships obtaining at successive points in time) are serially accessed, as in viewing a motion picture. A relationship sequentially scanned through time is called a process, used in Cognitive Grammar for the schematic definition of verbs. Verbs have a high degree of temporality, for sequential scanning reinforces the profiled relationship’s temporal evolution and thereby makes it salient.” (Langacker 2007: 440).

Some relationships have a lesser degree of temporality and are atemporal. A relationship is atemporal when it occurs at once (consists of just a single state) or its temporal unfolding is apprehended in a summary fashion “with all its component states being simultaneously active and accessible, as in a multiple-exposure photography”. Adjectives, adverbs and adpositions profile different sorts



of atemporal relationships. Participles and infinitives are derived from a verb by imposing a summary view on the process it designates. The result is either an atemporal relation or, due to reification, an abstract thing (440).

Events can be scanned by superimposing the successive states and form a single gestalt “comparable to a multiple-exposure photograph”. This is **summative** scanning (Figure 14).

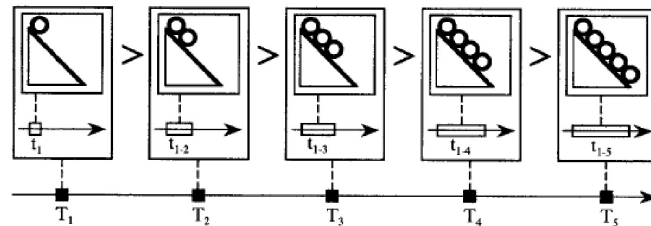


FIGURE 4.8

Figure 14 (Langacker 2008: 112).

Conversely, apprehending an event can be “similar to watching a motion picture” (Langacker 2008: 109). The event is thus scanned **sequentially**. The perception of continuity implies a mental operation that registers the uninterrupted occurrence of constitutive entities and relations as they expand in time. The states of the event are scanned in a seamless continuity, which “amounts to mentally tracking an event as it unfolds through time” (111) (Figure 15).

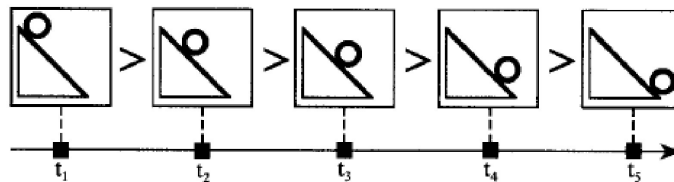


FIGURE 4.6

Figure 15 (Langacker 2008: 109).

An event can be scanned in either mode, i.e. “we can either highlight its inherent sequentiality or impose a holistic construal” (112). Both manners of scanning impose a particular construal or conceptualizing of the bounded entity / event.<sup>6</sup>

## 9. Cinematic movement construals

<sup>6</sup> The **construal** represents our capacity to conceive and portray the same situation in alternate ways. An expression’s meaning contains the conceptual content and a way of construing content (Langacker 2008: 55).

### 9.1 Jack is an angry man

Let's briefly examine the swish pan from *The Shining* (Stanley Kubrick, 1980) in the scene when Jack breaks with an axe the door-obstacle that obstructs his access to the victim, his wife Wendy (Figure 16). The character is pinned by the camera movement to the center of the frame. Camera movement follows or mirrors the character and the weapon's movement in the scenographic space (the background setting surrounding him). Also, camera framing and movement select the "significant detail": in this case, the force exerted by the weapon, thus revealing to the viewer the character's mental state ("character subjectivity") by making use of the character's facial expression as perceptual point of reference and of the dynamic movement of the body wielding the axe.

The shot is here divided in several **frames of attention** (1 to 9).<sup>7</sup>

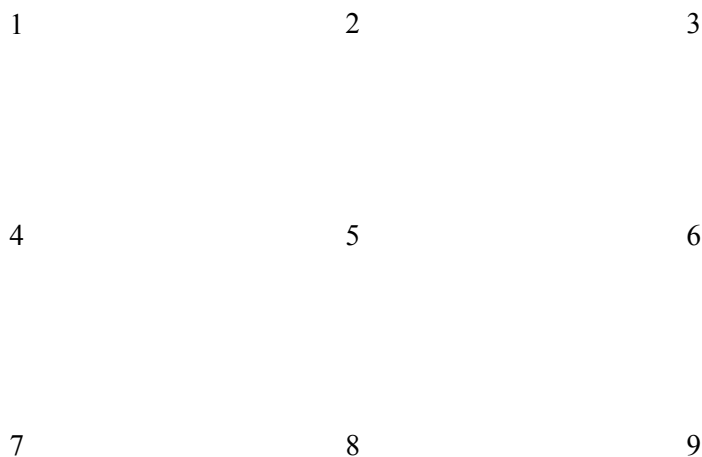


Figure 16. *The Shining* (Stanley Kubrick, 1980).

In the present framework, this sequence in which both the diegetic character, Jack, and the camera move, can support several construals. The following analysis deals with the movement of the character in connection to the entity that performs the physical movement.

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<sup>7</sup>A **frame of attention** is perceptual moment that can be processed as a single perceptual unit a frozen moment in time similar to a slide when we perceive an event as an integrated entity (Evans 2006: 81; Prinz 2012: 259). A shot can be divided in several frames of attention that manifest a gestalt-like, coherent frame composition.

## 9.2 The movement is a MODIFIER (1)

The sequence is a **modifier** construction that contains two component elements. The *movement* of the character is the dependent *modifier* (marked in italics) and the human **character** is the autonomous **head** (marked in bold typeface). The head elaborates an e-site contained in the conceptual description of movement. Movement is a relationship developed in time, processed sequentially but which can be apprehended as the sum of instants that form the trajectory of an entity. Movement contains a schematic trajector – an entity - evolving in time in relationship to a schematic landmark – the setting in which the entity moves. Attention is directed towards the profiled entity performing an action. The flow of movement is scanned sequentially in the background. The profiled entity elaborates emotional qualia inherent in the apprehension of the movement (Figure 17).

For example starting from *a boy is running* we can describe the sequence as *an enraged Jack*, i.e. *an enraged Jack*<sup>head / autonomous</sup> *is breaking*<sup>modifier / dependent</sup> *the door* and not *a calm Jack is pushing the door*.

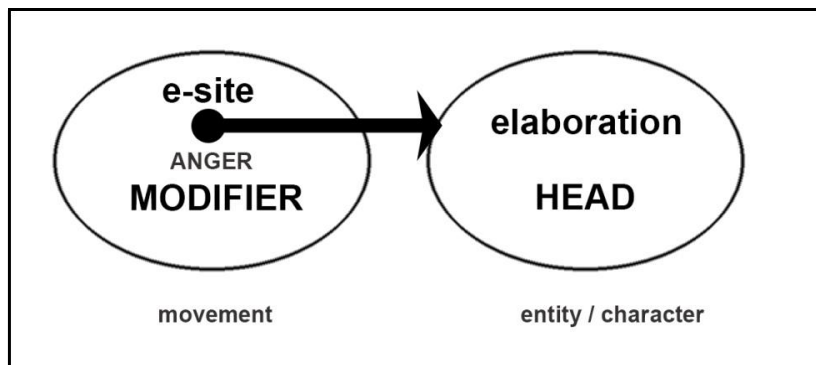


Figure 17.

The movement of the character is build up from several image schemas. The character is a **bounded entity** (a) in a **bounded event** (d) composed of **force** (f) and **change** (c). Each instant is scanned in processing time sequentially and each phase is summed up in summative scanning. A bounded event of a force-dynamic change is instantiated. It is a bounded episode causing an observable change (Figure 18).

Figure 18. (Langacker 2009: 305)

This episode contains also the **tension cycle** (Figure 19).

Figure 19. (Langacker 2009: 306).

The **tension cycle** consists of four successive stages: “an initial stage of relaxation (i.e. non-force-dynamic continuity); next a stage of increasing tension; then a force-dynamic event which has the effect of releasing the built-up pressure; and finally, resulting from the event, another stage of relaxation” (Langacker 2009: 306). In the given analytical sequence of attentional frames, 1 and 9 instantiate the relaxation stages. The difference in posture and the distinction between stasis and continuity of force cue the viewer to apprehend the boundaries of the event (See Zacks 2013; Zacks and Radvansky 2014)

The four stages of the tension cycle are as follows:

1. A stage of **relaxation** (i.e. non-force-dynamic continuity); Frame 1.
2. A stage of increasing **tension**; (Lakoff: My anger kept *building up* inside me). Frames 1 to 3.
3. A **force-dynamic event** which has the effect of releasing the built-up pressure; (Lakoff: He was *bursting with anger*. / *She blew up at me*. / *I went through the roof*.). Frames 4 to 8.
4. And finally, resulting from the event, another stage of **relaxation**. Frame 9.

Jack’s violent movement is scanned sequentially. All four stages are apprehended in a continuous manner.

### 9.3 The movement is a COMPLEMENT (2)

The *movement* of the character is the autonomous **complement** and the human *character* is the dependent **head**. The complement elaborates an e-site contained by the head. The movement elaborates in a sequential succession of states the schematic spatial location of the trajector represented by the character in motion in relationship to the spatial landmarks surrounding him. The movement elaborates the spatial displacement of the trajector entity.

This construal has two levels of conceptualization.

At the first level, Jack is the complement trajector of the relationship profiled by the head -i.e. running. The entity is a more autonomous component that elaborates the schematic trajector of the dependent running relationship. The baseline conceptualization includes the situation where the character is an

autonomous complement that elaborates the schematic agent of the moving relationship (Figure 20).

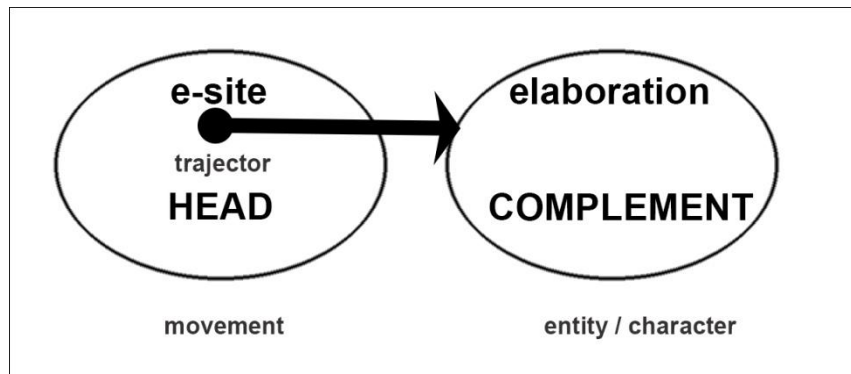


Figure 20.

At the second level, the conjunction of the head (*running*) and landmark (*toward the door*) elaborates as autonomous complement the spatial location of Jack, scanned sequentially. The entity's location is dependent on the complement elaboration of a locative e-site inherent in the conception of the entity as a body inscribed in a spatial displacement.

Starting from the verbal expression *The boy runs along the fence* the sequence can be described as *Jack*<sup>complement/autonomous trajector</sup> *is*<sup>head / dependent</sup> (*rushing* - with an axe - *toward the door*)<sup>complement / autonomous landmark</sup>. The attention is still focused on the entity but dependent on the spatial coordinates elaborated by the performed movement. The conceptual construction profiles the entity embedded in the conceptualizing of a trajectory in space (Figure 21).

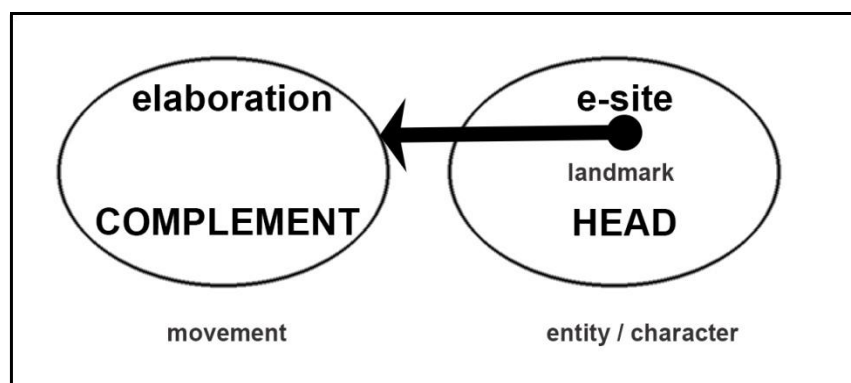


Figure 21.

#### 9.4 The entity is a MODIFIER (3)

In this construction the *movement* of the character is the autonomous **head** that elaborates the e-site contained in the dominion of the *character-entity* dependent **modifier**. Movement is scanned in a summative construal. In this construal the character-entity is an object containing interconnected component

elements that form a gestalt. The movement elaborates an aspect of the character-entity that evokes an emotion-concept in a schematic manner. The attention is focused on the type of movement that instantiates an emotion-concept. The instance of movement is a construct of the emotion category for “anger”. The “anger” e-site – i.e. state of mind when an obstacle that cannot be surpassed is encountered – is provided by previous discourse and by the facial expression of Jack. The concept of anger is a blend of aggressive action and frustration of not being able to bring under control a target that avoids capture (See Prinz 2012a: 265). The question that would make the goal-concept clear is: *what are the things that instantiate anger?*

The example would be *the boy runs vigorously* and *Jack, in a state of anger, makes an angry movement*. In other words the “angry” movement reveals Jack’s state of mind (Figure 22).

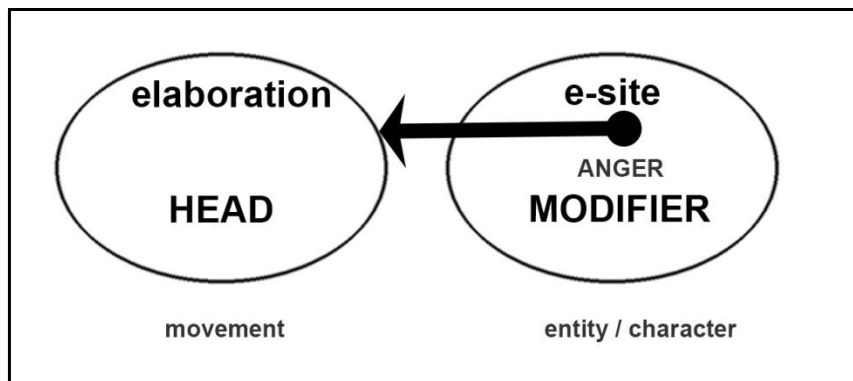


Figure 22.

#### 9.5 The entity is a COMPLEMENT (4)

The *movement* of the character is the **head** dependent on the elaboration represented by the autonomous **complement** *character-entity*. The movement scanned in the summative mode is elaborated by several object instantiations. Several different objects instantiate the same type of movement. (*This boy and this girl show us what it means that somebody runs*). The head contains a schematic relationship between a trajector and a landmark. The complement elaborates the trajector of the schematic relationship in a bounded event (Figure 23). The implicit question would be: *what kind of rushing? Jack’s rushing*.

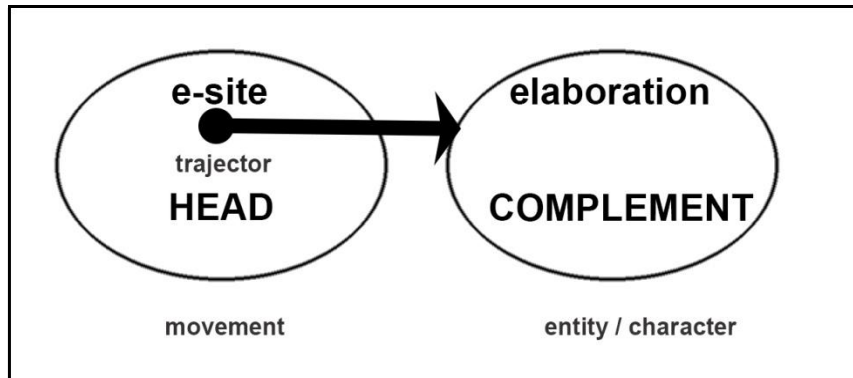


Figure 23.

This construction has two stages in cases where there is only one entity performing the movement. In the first stage, the viewer apprehends some type of movement. For example, the construction profiles a *sluggish movement* or an *alert one*. The type of movement is a reference point for the “carrier”-entity of the movement. In the second stage the viewer will then focus on the entity that is associated with the type of movement, as the possessor: a *sick* or *old person* or a *young individual*. The type of motion is assigned a background role and allows the entity to occupy the foreground of the conceptualization. By a reversal of the direction of categorizing (a phase transition) the entity is profiled and the whole construction profiles the entity performing the movement as described in the modifier construction example (See above no. 1).

For instance, in Heider and Simmel’s short animation (1944) a type of movement is ascribed to a type of entity. *The jealous husband chases / follows the woman* (“The plucky little male triangle fights off the big ‘bad’ male triangle and rescues the ‘helpless’ female circle”). In other words, in the first stage the viewer apprehends a type of movement that characterizes a type of person and, in the second stage, the viewer profiles a type of agent displaying some particular emotional states in action (See Tan 1996: 72).

### 9.6 Summary

The meaning-conceptualizations are the result of different construals that the viewer, based on visual cues, elaborates. The viewer by phase transition can choose as figure vs. foreground either the movement or the entity. Each construal designs different paths of access to a conceptualization (Figure 24).

	MOVEMENT		ENTITY	
1	Dependent / MODIFIER E-site		Autonomous / <b>HEAD</b> Elaboration of qualia of movement	<i>Running</i> done by an <b>angry Jack</b>

2	Autonomous / COMPLEMENT Elaboration of landmark		Dependent / <b>HEAD</b> Landmark e-site	<b>Jack is running on the road</b>
3	Autonomous / <b>HEAD</b> Elaboration of emotional qualia		Dependent / MODIFIER Emotion e-site (Jack's anger is displayed as a violent movement)	<i>Frustrated Jack</i> is <b>running "angrily"</b>
4	Dependent / <b>HEAD</b> E-site trajector		Autonomous / COMPLEMENT Elaboration of trajector	<b>The running of Jack</b>

Figure 24.

## 10. Camera movement as emotion instantiation

### 10.1 Diegetic movement

In case 3., where the entity is a MODIFIER, the movement is construed as the elaboration of a type of event pertaining to a type of entity. This event instance instantiates a concept. It can be a perceptual case, i.e. a type of movement (rapid, lascivious, slow, dynamic). But it can also be a type of emotional construal (nervous, furious, calm, melancholic). The e-site schematically evokes an instantiating domain, e.g. space or affect.<sup>8</sup>

In the Heider and Simmel animation (1944) the viewer apprehends an emotional type of movement: *the husband chases the woman furiously*. Tan notes that “structures of motion contain expressive qualities that are immediately picked up by the viewer [for example, the speed and duration of contact] regardless of the nature of the moving objects”, (Tan 1996: 72; Levin et al. 2013: 247; Oatley 2013: 270-272). For Tan humans “use emotional information in ascribing social meaning to perceived events and agents” (Tan 2013: 348, 349).

“Anger”, as Barsalou notes (1999: 600), involves “the appraisal of an initiating event, specifically, the perception that an agent’s goal has been blocked [...] the experience of intense affective states” and “often involves behavioral responses, such as expressing disapproval, seeking revenge, and removing an obstacle”.

<sup>8</sup> For Antunes (2016) in the “cinema of walking”, perceptual information cued by film style (camerawork, editing and sound design) is linked to vestibular sense of balance and orientation. Perceptual cues involve a “sense of orientation” that “involves not only our general awareness of a space but also a sense of balance, which is connected to the characters’ emotional states” (2016: 56). Furthermore Antunes hypothesizes that “the vestibular system actively participates both in *what* we perceive and in *how* we perceive” (62). See also Heimann et al. 2014 for the perceptual filmic camerawork that triggers the motor cortex as an “embodied simulative function”, e.g. steadicam forward tracking (2014: 2088).



“Anger”, as defined by Lakoff (1987: 385) is also construed verbally in force-dynamic terms. For example, anger is described as *losing control over his anger / anger took control of him / I was seized by anger / I was overcome by anger / He surrendered to his anger* (391). The force-dynamic event and the tension cycle of the bounded event compose an e-site that categorizes both the type of movement of the bounded event and the type of emotion the character possesses. Anger, as a concept instantiated by the movement, acquires autonomy and is construed as the agent that initiates the tension cycle. The patient is the human character that loses control or is controlled / possessed by anger.

The character that experiences anger is an agent that fails to achieve the goal of controlling a target. In Barsalou’s terms (1999: 602) “a goal is a simulated state of the world that an agent would like to achieve, and a blocked goal is the failed mapping of such a simulation at a time when it is expected to map successfully”. In other words, an agent that fails to simulate a situation so that it matches the perceived situation is losing epistemic control over it. The agent does not control the situation anymore but it is controlled by the situation. Barsalou hypothesizes that the experiential basis for this conceptual phenomenon exists from birth, “if not before” (602). An infant expects food, comfort, and sleep. When these expectations are satisfied, the infant is content, and if they are not, the infant is in a state of dissatisfaction: “From birth, and perhaps before, the infant simulates its expected experience and assesses whether these simulations map successfully into what actually occurs” (602). Introspective experience of satisfied versus failed expectations help acquire understandings of “truth”, “falsity” and “negation” before language.

In the example selected from *The Shining*, the diegetic movement instantiates the category of anger. A category is a “collection of diverse instances” (Barrett 2017: 23). An emotion-category involves different bodily responses (15). The e-site “anger” issues a prediction of anger or categorizes the movement as an instance of the concept of anger. The concept is made up of a multitude of multisensory summaries that serve as predictions involving sensory and motor regions (118). The concept of anger is made up of a series of e-sites summaries. Each one at its level is a predictive model of the world. One of the many instances that populate the concept of anger is the winning instance in a balance between the prediction error flowing bottom-up from the sensory stimuli and the top-down flow of prediction (a case of many to one). Movement and facial expression or other cues like the axe weapon or the background information about the character are categorized as reference points towards instances of anger. Each one is a reference point to the constellation / dominion of bits and pieces of experiences of instantiations of the concept of anger (in a top-down mechanism). Since the concept of anger is a “goal concept”, out of the categorizing “pressure” of the ensemble, each cue is filling a piece of the puzzle. In other assemblies, for example, the axe is not categorized as a weapon but as an instrument. If the background context would have been *Jack is chopping calmly the door of his house* the axe would have been categorized just as an instance of an instrument for chopping wood. In the concerned example, however, Jack’s goal is the overcoming of an obstacle, i.e. to cause a change in the object that obstructs his path.

## 10.2 Camera movement

Camera movement is considered sometimes to elaborate qualia of diegetic space. For example Kovacs describes Jancso's films highlighting the salience of movement: "The space is given structure almost exclusively by the movements of the camera and the characters" (Kovacs 2008: 30). Camera movement, as examined by Branigan (2006), has several narrative-motivated functions such as following or discovering "a glance", establishing "scenographic space", following or anticipating "movement by a character or a significant object", keeping in frame a significant object or the character, selecting a "significant detail", and revealing "character subjectivity" (2006: 26). The qualia of a given setting can be elaborated by a type of diegetic movement and / or by a type of camera movement. A certain gist of a scene or a "space" is elaborated by the autonomous head movement. One can think here of the contrast between the dynamic pace of shot movement-frame composition in *Battleship Potemkin* (Sergei Eisenstein, 1925) or Miklos Jancso's films and the slow pace of camera movement in *Satantango* (Bela Tarr, 1994).

The swish pan movement of the camera elaborates the e-site of anger in Jack's scene of violence. In Kubrick's illustration of the micro-event instantiating the concept of "anger", there is a double level of apprehension of movement as an autonomous agent-like entity.

First of all, as it has been already pointed out, the diegetic **movement of the character** is in the proximity of the region of physical and mental access of the character. Anger is closely associated with the character. The movement reifies the angry feature of the character. It is the head profiled by the construction, e.g. case 3. the entity is a MODIFIER. Diegetic movement is an instance and elaborates a schematic feature of the "anger" concept (Figure 25).

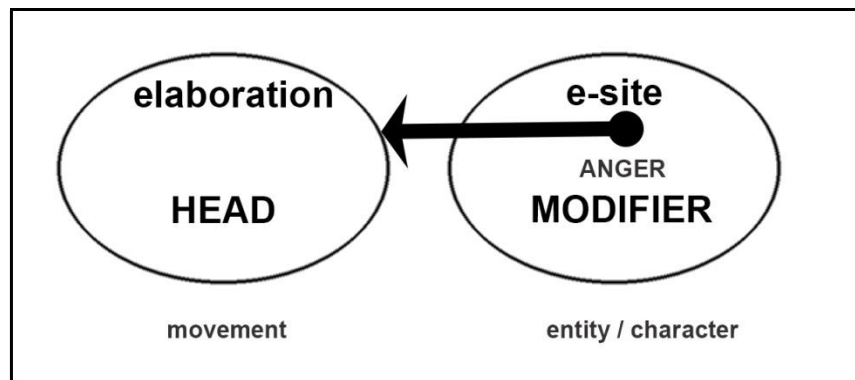


Figure 25.

At the same time, a second instantiation of "anger" is the **movement of the camera**. Camera movement is also a reference point to the target – the character-entity - and his event-setting. This time, the degree of movement autonomy is greater. Movement of the camera "detaches" the concept of anger from the dominion of the character. The viewer can no longer report that they see an angry

character because what is shown is the profiled motion characteristics of anger, i.e. a violent, sudden and aggressive movement. The expressive channel constructed out of the cues of the camera motion is associated in this particular symbolic unit with the conceptual content of “anger”. In other words, the viewer can say that this camera motion means or expresses “anger”.

The degree of “detachment” from the object viewed is a function of the possible construal in which the camera movement instantiates an “angry view” of the subject-entity that “manipulates” the camera (Figure 26).

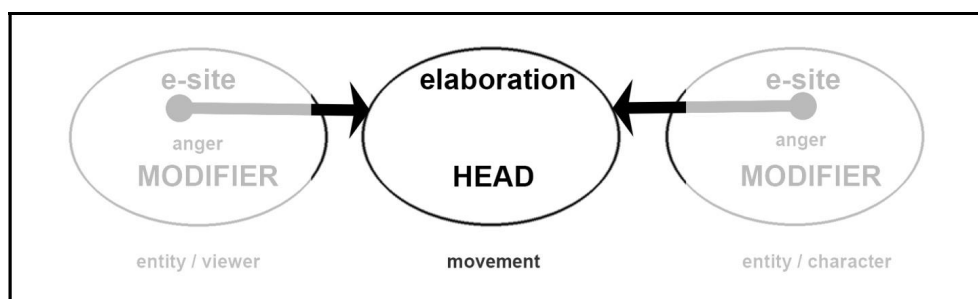


Figure 26.

In both cases, movement is autonomous and the modifier is dependent. But both start from the initial condition where the character reifies the schematic trajector of the relationship described as the movement through space of an object. In this initial condition the movement is the head relationship but dependent on the autonomous elaboration of its trajector. The direction of dependence is bidirectional but situated at different stages of the dynamic conceptualization. First in the initial condition an entity elaborates the schematic agent that moves through space and, at a second level, the formal features of the movement elaborate a schematic concept situated in the dominion of the character. The overall conceptualization keeps at both levels the same profiled component as head: the movement.

Discourse context or the context of the scene offers the goal-based concept of “anger” that is used in order to categorize both the movement of the body *and* the character’s facial expression as instances of “anger”. The particular type of movement exhibited by the character in this sequence is a constructed instance of “anger”. Once this concept is foregrounded it can be further elaborated by the diegetic movement and the camera movement.

### 10.3 The attention schema

Michael Graziano (2013) describes the schema that grounds the conscious mind as “I am aware of X” (109). This construct can be subdivided in several chunks of information. The I or self (**S**), the X or the thing I am aware of (**X**) and the “am aware of” which is the attention schema (**A**). Thus the information “I am aware of X” is the integration of three components: **S + A + X**.

The self (**S**) can be divided in a body schema: the **physical** self (**PS**); a psychological component that contains “vast collection of information that I have

about myself as a mental being with certain feelings, thoughts, and personality patterns” (**MS**) – the **mental** self, and an **autobiographical** memory (i.e. “my own history and my own trajectory through life”) (**RS**) – the recalled memories about the self (110).

The **attention schema** (**A**) contains a spatial embodiment for awareness (a location and a vantage point assigned to awareness) and the feature of resembling a fluid-like substance flowing through space and time - the **physical** properties attributed to awareness (**PA**) (110). This information schema (**A**) contains also a description of **mental** attributes like “an intelligence, a private experience, a knowing, a mental seizing of something” – the mental / experiential properties of awareness (**MA**) (110) (Figure 27).

The **object** (**X**) is a collection of information about shape, color, location, motion, texture etc.

The divisions are in some cases distinct and in others blend into each other. Since the attention schema is a representation, it can be accessed and summarized – and reported as: “*X* is so; it has this and that property; moreover, the property of awareness is attached to *X*; in particular, I experience *X*; I have an inner feeling of *X*; I, the aware being, have thoughts and feelings and personhood; I exist here, in this physical instantiation and mental condition; it is this physical and mental being that has an awareness of *X*.” (111)

Awareness per se is **MA**. It is “the representation of experienceness. It is the brain’s depiction of the relationship between the knower and the known” (112), “the model of the mental attributes of awareness”, “a rich description, the brain’s way of describing to itself the essence of signal enhancement” (114), “a model of you directing a focused attention”. It should be noted that awareness is perceived as a “mental seizing of something” (110).

In theory, the brain should be able to construct even a model of directing a focused attention (awareness) unbound, unattached to the subject of an object, without a spatial or temporal structure, without a location (115). Once you focus your attention on an item (internal or external) – inner state, emotion, thought – the binding falls into place. As Graziano puts it: “the associations form and you become a specific agent aware of a specific set of objects or thoughts or emotions” (116).

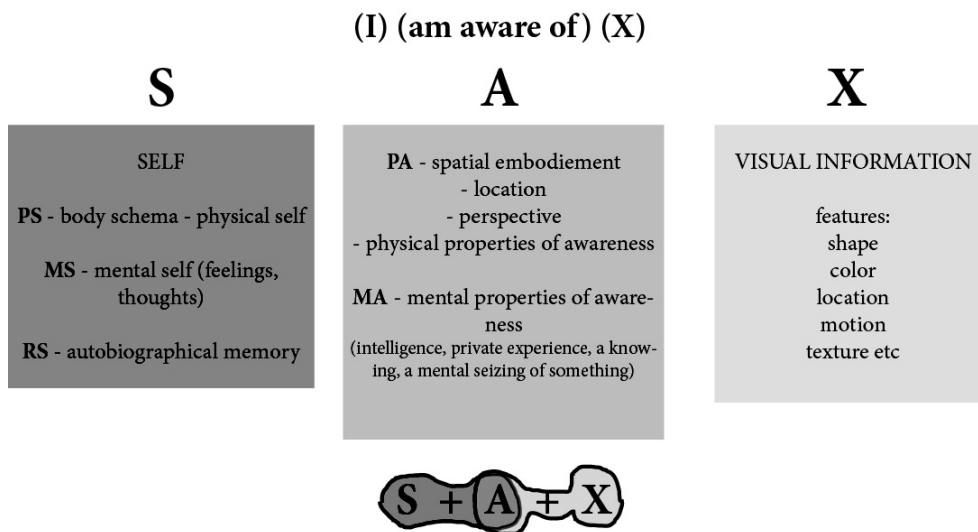


Figure 27.

“The brain uses a data-handling method, a common way in which signals interact, a process that neuroscientists call attention. The brain also constructs a constantly updated sketch, a schema, a rough model to describe that process of attention. That model is awareness” (116).

And, since it is information, it is reportable (Figure 28).

An attention schema is the connector schema between juxtaposed shots. The shots are part of an attentional event and represent samples of a visual structure. The structure has a dynamic unfolding. It is a process or a scanning of a scene or situation (See Hochberg 2007: 387).

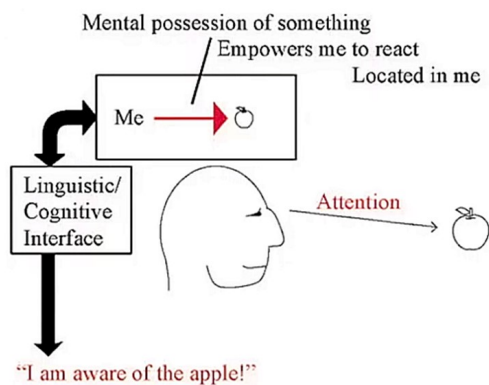


Figure 28 (Graziano, 2016, *Consciousness Engineered*, [www.youtube.com/watch?v=pj7n6g3e6N8](http://www.youtube.com/watch?v=pj7n6g3e6N8), min.11-27).

In film cues displace awareness by grounding the mental and experiential properties of awareness (MA) at different levels or narrative roles. The viewer can

focus on the character's experience from a distant vantage point. Through empathy, they can coalesce the cognitive and emotional state of the character with their own by a false conjunction. Self-body schema and the mental self (cognitions and emotions) are displaced in the diegetic world. By displacing the spatial embodiment (PA) the viewer can fuse their awareness experience (A) with a location and perspective other than the one their body experiences in the theater. They can fuse their self (physical and mental self) with a different spatial embodiment (PA) evoked by the visual information available on the screen (camera position and movement). The POVs put the viewer in the character's shoes. They can also be in the narrator's vantage point. The screen is a virtual profiler of things and events. It can be categorized as "myself as character" (grounding the vantage point in the diegetic world)," myself as narrator" (grounding the representation on an extradiegetic vantage point) or "myself as storyteller" (grounding the representation in an extra-fictional space and time). In each configuration the mechanism of the control cycle seizes the aspects in order to gather them in a bounded experience of awareness. In other words, the viewer "loans" the experiential component of awareness to a series of things and events perceived through the screen display. On the other hand, body schema, cognitions and emotions are grounded by a setting that defines a location and a perspective on things and events. A film offers clusters of cues appropriate for one illusion or another (e.g. the POV). The viewer can shift their attentional focus from one grounding to another and, since the self body schema based on interoceptive signals is pervasive and deep rooted, they can, at all time, make a perceptual transitions to their own body grounded in the theater.

#### **10.4 Steadicam movement and zoom in**

##### ***1/ The steadicam construal instantiates the mental state of the viewer.***

The prototype is a steadicam movement that "chases" or tracks a character. This instance of camera movement elaborates the mental state of a subjective presence situated "behind" the camera in a "natural" way. By "natural" it is understood here the similarity of the movement with the movement of a person in a scene. The camerawork elaborates the S in the attention schema discussed by Graziano (S + A + X) or, in Langacker's terms the trajector of the attending relationship (S + sees + X).

##### ***2/ The zoom is an elaboration of the mental state of the character viewed.***

Zoom-forward is often used to focus attention on a character. In this case, camera movement elaborates an aspect of the landmark of the attending schema or the X from the attention schema (S + A + X). In other words, in the steadicam construal, camerawork instantiates the mental state of a viewing and moving entity external to the character but situated in the same scene and in the second construal, the camerawork instantiates the mental state of the character as the target of attention. The movement is perceived as "unnatural" since it is cueing

not an embodied movement but a focusing of awareness on a target or an enlargement of the target in the field of awareness.<sup>9</sup>

### 3/ *The zoom as grounding*

It is not necessary for the viewer to construe an elaborate conception of the mental state of an attending / attended entity. The zoom in can be just the dynamic conceptualization of a schematic e-site that grounds the object depicted, i.e. what the viewer has to focus on. In this case, since the mental state of the character is undetermined, the viewer will easily construe the movement as the cue to a deictic attending act – similar to the definite article “the” or the demonstrative “this”. The zooming in singles out one particular instance of its type within the scope of consideration or in the current field of awareness (See Langacker 2009: 121, 169) (Figure 29).

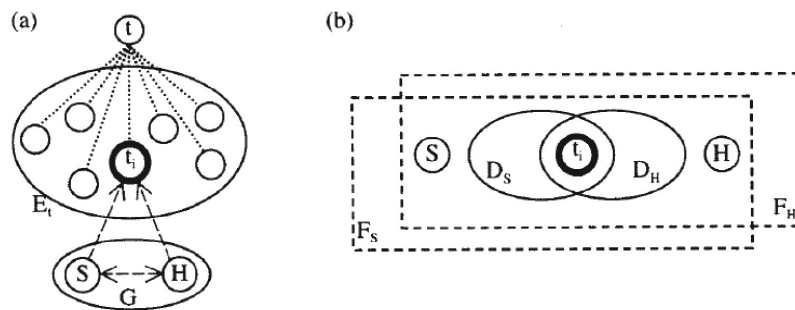


Figure 29 (Langacker 2009: 170).

In terms of the viewer’s immersion, the first prototypical subcase – the steadicam construal - elaborates the attending act of an attending entity that is intradiegetic (i.e. is grounded in the scene where the attended entity is). Following this particular case, the zoom in will elaborate the attending action of an extradiegetic entity (a narrator). The attending focus is directed at an object like a mental pointer that brings the object under an attentional control, as something that has to be dealt with.

For example a zoom in on the character in *Vertigo* (Alfred Hitchcock, 1958) instantiates his dizziness or uneasiness caused by the sudden discovery of a fetish object (Shot A1 – A2; min. 01:53:41) (Figure 30). In this shot, John helps Judy clasp a necklace in front of the dressing room mirror and suddenly has a flashback of a similar moment where Madeleine looks up at a character in a painting wearing a similar necklace. Shot A takes place in scene 1: “the dressing room”. The following zoom in on the object further elaborates his state of mind *and* the attended object causing the type of zooming movement (Shot B). The zoom-in in the second shot is an instantiation of the demonstrative construal. The zoom out in shot C1 – C2 is the elaboration of the deictic integration of a target in a field of attentional awareness in a distinct scene 2: the “art gallery”. It also

<sup>9</sup> See Jullier (2014) examples where the zoom in was used in order to cue the physical displacement of the character in the field of view towards the camera.

instantiates the mental features of an extradiegetic narrator. The extradiegetic narrator is an e-site, a schematic entity. Shot D elaborates this schematic narrator as an intradiegetic character in scene 1 and as an extradiegetic narrator in scene 2. The schematic e-site of the object attended in shot D is both anaphorically the character in the “dressing room” scene *and* the narrator of the “art gallery” scene. Since shot D is the reflection of the character in the mirror, the zoom in fuses in one character both the agent of the attending act and the target of the field of attention, i.e. John looks at John that contemplates, at the same time, his own mental content (i.e. shot C1 – C2 *and* shot A1 – A2). The viewer still keeps active both roles of the attending act. Furthermore, retrospectively, the zoom in of shot A1 – A2 elaborates the state of mind of the intradiegetic narrator which is again, John. The zoom in from shot A1 – A2 elaborates the mental state of John the character in the dressing room *and* the subsequent state of mind of John as narrator instantiated in shot D. Since both shots profile the same entity, the zoom in elaborates his own state of mind that is characterized by a sudden unnatural movement of focusing in upon him, i.e. of self attending.

The close up indicates that the character is in the position of the narrator, while in the medium shot, the narrator directs attention through the zoom in. The proximity of the character allows the identification of the character viewed with the character as viewer and the distal composition dissociates the attribution and brings to the fore of awareness the narrator as the self that makes the pointing gesture. In close up zooming the diegetic character and the character as an extradiegetic narrator are fused, thus allowing the profiled entity on the screen to acquire more salience and generate a more immersive experience for the viewer. The classical narrative film creates an autoreferential loop that eludes the extra-fictional narrator of the film, the “director” of the fictional artifact.

The scale of shots instantiates the difference between the proximal and distal demonstrative (this vs. that). Focusing explicitly on the head / face of the character allows the attention schema to be involved.



Figure 30. *Vertigo* (Alfred Hitchcock, 1958).



Any occurrence of an event can be located in time as past, current, or future or in imagined time forming a centering point that is the **joint attentional scene** (the ongoing speech event), i.e. the “intersubjective context within which the symbolization process occurs” (Tomasello 1999: 154; 96). The conceptualizers are entities apprehending the event from their particular attentional scenes. According to Tomasello, the joint attentional scene contains an implicit external vantage point at all moments. The “inside” perspective on a focused element is at all times contained in an “above” perspective where the “I” is just one player inside it (100). Thus, all conceptualization implying grounding in a joint attentional scene, implicitly generates the level of conception situated “above” that contains it in a second order joint attentional scene. In this sense it can be posited that the image of a character is a depiction of the conceptualization generated by the character himself. The conceptualizer of the character depicted is the character himself as the first-level narrative role.

“The distinction I am highlighting here is the same one made by imagery theorists when they distinguish mental images from the ego view (e.g., *I see a ball speeding away from my foot*) and images from an external view (e.g., *I see myself [my whole body] kicking the ball*—from an external perspective, in much the same way *I see other people kicking balls*)” (Tomasello 1999: 100).

Cinematic use of first person voice-over elaborates the schematic perspective that the self embedded in the scene has. The joint attentional scene is a schema containing the topic and the subjectivities implied in this attentional event. The narrative voice-over of the character depicted is an elaboration of the “I” schematic role. In this construal, the self (S) and the object of contemplation (X) are the same entity but construed from different vantage points.

### **10.5 The circular movement of the camera**

The circular movement of the camera is a “one to many” mechanism. Different categories of emotions and affect valences are instantiated by the circular motion of the camera around the character. The affective valence of the e-site located in the character’s dominion works like a goal concept and, in a top-down manner allows pattern completion. A detailed paper by Hojberg discusses the issue (Hojberg 2014). Circular camera movement takes several conceptual contents. For example, it can convey narrative information, it has an ornamental function and also, an emotional role. Camera motion instantiates, for example, “love”. Circular movement instantiates an affective valence (embodied as a sensory motor process) as, in this case, dizziness caused by “love”.

“[...] the movement manages to create a feeling in the viewers that we associate with being in love. First, it is a love story, so we are already emotionally engaged. Second, if some of the central scenes are visualized with circular camera movement, then feelings might be *enhanced because*

*circular camera* movements tend to elicit the viewer's emotions." (Hojberg 2014: 83).

Hojberg mentions the circular movement of the camera in shots that precedes the dressing room scene in *Vertigo* (min. 1: 50: 35 – 1: 52: 36) (Figure 31).

Figure 31. *Vertigo* (Alfred Hitchcock, 1958).

For Hojberg, cinematographic profiles ("stylistic figures") that challenge normal perception - like unusual camera movements, "bird's-eye views, fast tracking, hand-held camera, and different distances to the object on the screen" (84) - are categorized as instantiations of emotions. In other words, embodied emphasized perceptual stimuli elicit core affects that are categorized by a particular emotion-concept. This concept is schematically represented in the dominion of a character. For Hojberg the perceptual feature – e.g. circular camera movement – elicits "dizziness" that is linked to "a particular context, the story of falling in love" (86). Hojberg considers that the direction of associations goes from the categorizing element (the camera movement) to the dramatic situation ("love, aggression, intoxication, infatuation and dissolve of reality depicted situation").

"The circular camera movement elicits "dizziness," but dizziness has to be linked to a particular context, the story of falling in love, before we relate falling in love and embodied perception [...] special stylistic features naturally belong to specific content categories. Some stylistic features are so marked that they attract the viewer's attention and are therefore necessarily tied to specific constellations of meaning content" (Hojberg 2014: 86)

In my view, the direction of associations between a type of movement – a perceptual pattern – and a particular content - is oriented the other way around. The perceptual pattern is bottom-up error prediction and is explained by a top-down categorizing model, prediction or pattern. The perceptual pattern – under the constraint of the top-down mechanism – constructs its meaning as an instance of love, aggression, infatuation or dissolve of the self in a situation. The perceptual pattern of dizziness and focusing on the self as center of sequential motion is an instance of the emotion category labeled "love". The "love" e-site schematically expressed in the character's dominion is not profiled as a whole but is situated in the background of the conceptualization as a component element.

In similar instances, as Branigan points out, the camera is „somehow related" to the character without being located at the level of the character's

eyes/head (Branigan 1984: 132-138; Hojberg 2014: 78). The profiled blend constructed – generated by the situated conceptualization of a circular movement categorized as a particular instance of love - is the source of the metaphor of the abstract concept of “love”. The abstract concept is foregrounded as an entire situation (Barsalou et al. 2011: 1107) and is quantified as a higher order generalization.

### **10.6 Two shots movement**

Sometimes match cut is based on a similar type of movement, identically framed, but different objects in motion. Movement is reified and gains autonomy irrespective of the objects that elaborate the trajectory in motion. Bottom-up perception of movement will have preeminence over object detection and categorization. The movement gist of the scene is highlighted since either shot will construe the e-site necessary for the pattern completion of the other. In a sense, the movement perceived in the second shot elaborates the movement of the first one construed as an e-site modifier. The movement in the first shot is the standard that categorizes – as a reified movement – the target movement in the second one.

One famous example is the movement analogy of the flying bone shot and the shot of the floating spaceship in *2001: A Space Odyssey* (Stanley Kubrick, 1968). The viewer can either prefer to focus on the pattern recognition of the movement match cut or on the conceptual analogy posited between two different objects.<sup>10</sup>

## **11. Conclusions**

Cinematic movement construals provide a structure that prompts cognitive processing of filmic sequences, i.e. particular ways of evoking and construing conceptualizations. Conceptual structures consist in particular ways of evoking and construing certain portions of the simulations (scenes and events). Semantic structures are defined as particular construals and paths of conceptualization of bounded entities.

“discourse is an intersubjective process of co-construction. Linguistic expression is thus a means of evoking conceptual content, as opposed to constructing it, and often explicit mention merely prompts a complex conception rather than describing it exhaustively [...] symbolic assemblies represent particular ways of accessing target conceptions and directing attention therein. Attention correlates with level of activation and thus with acuity and cognitive salience’ (Langacker 2012: 567).

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<sup>10</sup> See Jullier “everything depends on what we consider to be the object: characters or the violence of a gesture?” (Jullier 2015: 67-75). See also other examples in *Resident Evil* (Paul Anderson, 2002) (1:29:06); *Mad Max: Fury Road* (George Miller, 1999) (20: 04); *The Holiday* (Nancy Meyers, 2006) (00:30:44 and 00:31:29); *Godzilla* (Edwards Gareth, 2014) (11:26 and 1:18:56).

Typically, a double bind is present in the semantic relationship between entities designated by filmic expressions and movement. E-site, as a categorizing element, allows the categorization direction from a schematic abstract goal-concept belonging to the simulation of one to the elaboration expressed by the other (“Due to this priming effect, the content accessed in successive windows generally overlaps”) (567). This relationship can be apprehended in a dynamic or static manner. Conceptualization is dynamic and its unfolding in time belongs to its semantic content. Conceptualization works also in a bidirectional way by projection (cataphora) or by recall or backtracking (anaphora). The relationship groups elements in a new structure that functions as a single element for subsequent discursive purposes (“And to the extent that these groupings follow general patterns, captured in CG by *constructional schemas*” (564)). A window of cognitive attention encompasses the new symbolic unit. Units are processed serially but a hierarchy is also posed. Langacker describes this hierarchy in the linguistic domain of experience as “the content accessed serially at one level (e.g. a sequence of syllables) is accessed as a simultaneously available whole (e.g. a word) at the higher level” (563).

Low-level units are “captured” in symbolic assemblies (constructional construals) and in hierarchical windows of attention organized at different time scales. As Langacker states “the same elements can be organized simultaneously in different ways” (563). Meaning resides in conceptualizing that contains conceptual content evoked and attentional selection, presentation and focusing for discursive purposes. Each set of visual cues prompts construals on the content evoked.

Cinematic expressions contain windows of attention that are construals which bind schematic elements and elaborations. As Langacker describes the concept, windows of attention pack “expressive and conceptual content into chunks of manageable size” (562). Windows of attention are stacked at layers of abstraction and extensively cover different time spans of dynamic unfolding processed in parallel. They can occur at multiple time scales and levels of activation, i.e. “a window provides the extensionality required for multiple entities to be represented and connected with one another” (595) and processing “occurs in parallel in multiple domains and on different time scales, allowing hierarchical organization” (594).

A window of attention provides the conceptual “working space” in order to simulate a situation / event (595). The domain thus evoked contains schematic elements (summaries, e-sites or goal concepts). Other juxtaposed bounded entities elaborate with more perceptual “granularity” or resolution the schematic elements. The process can take place in one frame of attention<sup>11</sup> / a shot in a hierarchical fashion (paradigmatic axis of scaffolding) or in a sequential manner in a sequence

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<sup>11</sup> A filmic frame of attention is a symbolic unit that comprises an expressive and a content pole. It is just a window of attention of a short time scale. It is a frozen “slide” of frame composition that evokes in itself a simulation and can be extracted by the viewer from a fluid and continuous cinematic take.

of frames of attention / shots (syntagmatic axis). Elaboration is also a matter of construal (implying also a vantage point, grounding, focusing, and prominence).

“Processing proceeds in parallel in different dimensions and at different levels of organization. It occurs on multiple *time scales*, ranging from the coordination of articulatory gestures, on the smallest scale, to the apprehension of extended discourse, on the largest. Recall, projection, and backtracking represent other departures from strict linearity. On a given time scale, processing takes place in successive *windows*. A window provides the *extensionality* required for multiple entities to be represented and connected with one another. Canonically, the content subsumed in a window is thereby integrated to form a coherent structure organized around a single *focus*, or salient entity” (Langacker 2012: 561).

This article described several construals that mix two conceptual contents: one described as the schematic element (the e-site) and the second as its elaboration. The conceptual content constitutive of the e-site – the categorizing element – is inherent in the more elaborate element that instantiates it. For example, the conception of “thing” is schematic for the class of nouns and is elaborated by the semantic specifications and conceptual “resolution” by the notion “female” and the notion of “girl”. The conception of “process” is elaborated by the content constitutive of the notion of “ingest” since the latter is an instantiation of a process (See Langacker 2012: 570-571) (Figure 32). The construal is based on the autonomous / dependent alignment of conceptual elements and relationships of modifier / complement vs. the head profiled as a salient entity by the cinematic construction. Cinematic discourse unfolds a series of juxtapositions – either inside a window of attention that circumscribes a conceptual unit or between two successive windows of attention binding them into a new unit – between multiple bounded entities and parts conceived as being analogous (things / situations, processes / events) but occupying different levels of abstraction (schemas, instantiations).

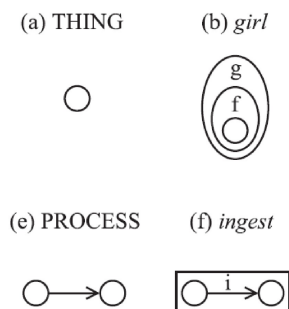


Figure 32 (Langacker 2012: 571).

The schematic element and its instantiation have a conceptual commonality (one is schematic and the other an elaboration of an inherent conceptual content) and exhibit similar connections with external elements, i.e. play analogous roles in processual (head – complement) and non-processual (head – modifier) groupings. The mechanism can be understood as a form of ellipsis. Ellipsis is based on overlapping conceptual content, i.e. “though largely unexpressed, the structure accessed in the first window retains its activation in the second, where it provides the framework for interpreting its overt elements” (585)

The analysis in this article may be preliminary and incomplete but it suggests that cinematic discourse can be dealt with by using notions elaborated in Cognitive Grammar (Ronald Langacker), the simulations theories of conceptual acts (Lisa Feldman Barrett and Lawrence Barsalou’s framework), and the theory of awareness based on the attention schema (Michael Graziano). Further inquiries conducted in this line of research can be made in editing constructions, narrative schemas and emotional construals.

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## Why and How Are Women Recruited for Rugby? The Case in Japan

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### **Abstract**

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*When a woman says that she likes to play sports, what kind of sports do people think of? Tennis? Archery? Considering sports, we recognize that there is discrimination in what we expect between men's sports and women's sports. Rugby football is supposed to be exclusively played by men. However, in fact men and women play rugby. Why do we connect rugby with men only? I argue that rugby football games have developed among public schools in England. In that setting, football was played by boys. The Rio de Janeiro Olympics in 2016 changed this image since they adopted men's and women's rugby football games. Therefore, many women's rugby teams were established for Olympic Games in Japan. I interviewed several women rugby football teams and I realized many teams have the same problems. The biggest one is that it is not so easy to gather female members to make a women's rugby team. In this situation, Nomi-Koma rugby school (primary school children) has succeeded in gathering female members at Komatsu city, Ishikawa Prefecture in Japan. They said half of the members were girls. Why and how can they recruit girls for members? I recognize this case also concerns why and how a girl begins to play rugby in Japan. I will report on the results of this research and discuss the cases of female rugby players in Japan.*

### **Keywords**

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*women's sport, women's rugby, gender in sports*

### **1. Introduction**

According to the official website of the IOC (the International Olympic Committee), modern Olympic Games started in Athens in 1896, and women have participated since the second Olympic Games at Paris in 1900. There were 241 athletes of 14 countries and 43 events in the first Olympic Games. And at the second Olympic Games, there were 997 athletes which included 22 women and 975 men from 24 countries and 95 events.<sup>12</sup> These 22 women were the first athletes to establish the new women's sports history.

Over one century has passed since the first women's athletes appeared in the Olympic Games. This historical change for women's sports came in 1991 from the IOC conference, as it decided any new sport on the Olympic programme had to include women's events. The official IOC website said the most remarkable

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<sup>12</sup> 'The first Olympic Games,' (<https://www.olympic.org/athens-1896>) and 'The second Olympic Games,' (<https://www.olympic.org/paris-1900>), retrieved 19<sup>th</sup> June, 2018.

increase in women's participation has occurred in these last two decades. Women competed in all the sports events on the Olympic programme in London for the first time in 2012. And at the last Rio Olympic Games, a new record was established because women athletes numbered 5,176 and the total was 11,444, so women athletes comprised 45.2%.<sup>13</sup> Women's Rugby Games have also been programmed at Rio Olympic Games since 2016. The field of women's sports has developed its history.

In this paper, first I will consider the relationship between sports and gender. And secondly, according to this perspective, I will point out and consider the problems of women's rugby in Japan.

## 2. Sports and gender

### 2.1 Images of women's sports

When a woman says that she likes to play sports, what kind of sports do you think of? I asked this question of 27 Japanese persons in Iwate Prefecture. They were asked to list the names of three sports.

The results are divided into two groups. One group is the sports chosen by two or more people; the other is chosen by one person (see Table 1).

Table 1. Images of women's sports in Iwate, Japan

Chosen by 2+ people	Chosen by 1 person
(1) tennis	( 8) swimming
(2) badminton	( 9) synchronized swimming
(3) volleyball	(10) track and field athletics
(4) basketball	(11) marathon
(5) handball	(12) road bike
(6) football (soccer)	(13) softball
(7) gymnastics rhythmic	(14) lacrosse
	(15) cheer dance
	(16) Japanese traditional Pole Sword (Naginata)
	(17) Japanese archery
	(18) skating

We can note that Numbers 16 and 17 are Japanese traditional sports. These sports names indicate that when we ask the same questions in another country, we might get other answers. We see 7 names of sports on left side and 11 names on right side, so 18 in total. The names of sports are comparatively many from the 27 people who responded. This result shows that people have no fixed images of women's popular sports. However, this is a small sample, so the sample needs to be enlarged to confirm the result.

Looking at Table 1, we can also notice that no one thought of rugby as a women's sport. Why do Japanese persons do not remember that women now play

<sup>13</sup> 'Key Dates in the History of Women in the Olympic Movement' (<https://www.olympic.org/women-in-sport/background/key-dates>) and 'Women in Sport' (<https://www.olympic.org/women-in-sport/background>), retrieved 20<sup>th</sup> June, 2018.

rugby? This is the key point as we consider sports and gender. It is only a small sample, but it shows what people might typically think in Japan.

## 2.2 Progress of women's sports

As mentioned, the first Olympic Games with women's participation was the second Olympic Games in Paris in 1900. They were only 22 women. The total number of athletes was 997.<sup>14</sup> Women were only 2.2%. They competed in five sports: tennis, sailing, croquet, equestrian and golf.<sup>15</sup> The latest summer Olympic Games in Rio in 2016 had a 45% rate of women participants.<sup>16</sup> Looking at the Japanese rate of the last Olympic Game in Rio in 2016, all Japanese athletes totaled 338, including 164 women and 174 men. These numbers indicate the women's rate was 48.5%.

Table 2. Newly introduced women's sports in Olympic Games after 1991

1992	Badminton,	Judo,	Biathlon	
1996	Football	Softball		
2000	Weightlifting	Taekwondo	Triathlon,	Modern Pentathlon
2004	Wrestling			
2008				
2012	Boxing			
2016	Rugby	Re-introduced Golf		

(From IOC web site's 'Women in the Olympic movement /June 2016'<sup>17</sup>)

Why have women athletes increased? IOC promotions decided on gender equality in sport in 1991, that is, any new sport seeking to be included on the Olympic programme had to include women's events. This is shown in Table 2. We can see that in the last 25 years, women's events and participants have increased in number. We can recognize that after this decision, many women began to participate in the newly opened sports events. The most recent addition is rugby in Rio in 2016.

Men's rugby was played in the Olympic Games in 1900, 1908, 1920 and 1924 (Raita 2001, 36). It was re-introduced in Rio in 2016. So, according to the IOC decision in 1991, women's rugby also started at the same time. Rugby was introduced since the last Olympic Games. So, Table 1 and Table 2 indicate women's rugby is not so popular in Japan.

In this situation, why and how are women recruited for rugby? Before answering, I will show the case of women's rugby teams in Japan.

<sup>14</sup> IOC official website (<https://www.olympic.org/paris-1900>), retrieved 9<sup>th</sup> July, 2018.

<sup>15</sup> 'WOMEN IN THE OLYMPIC MOVEMENT/ June 2016' (<https://www.olympic.org/>) retrieved 17<sup>th</sup> April, 2018.

<sup>16</sup> gender-equality in IOC formal website ( <https://www.olympic.org/news/ioc-is-leading-the-way-in-gender-equality>) retrieved 9<sup>th</sup> July, 2018.

<sup>17</sup> 'WOMEN IN THE OLYMPIC MOVEMENT/ June 2016.' (<https://www.olympic.org/>) retrieved 17<sup>th</sup> April, 2018.

### 3. The situations of Japanese women's rugby

Every prefecture has a rugby football union. Around 2011, to prepare for the Rio Olympic Games in 2016, every prefectural rugby football union in Japan called for women members to make a women's team. And the unions are concerned with rugby teams for adults, children, junior high school students and high school students. As the Rio Olympic rugby games approached, they had to prepare rugby teams of women players. A team consists of 7 players and some reserve players.



【Photo.1】 Girls and boys train rugby in junior rugby club in Kamaishi city

I interviewed some members of the women's rugby teams, and their coaches told me the stories about the establishment of these women's rugby teams. In the stories, they all said it was not so easy to gather the women members.

I have also visited some women's rugby teams. They are adult women's prefectural teams and junior clubs. Women's rugby teams are composed of 7 people, but within some prefectural areas, there are few members of interested women, so usually training cannot gather enough members. In these situations, women's teams sometimes train men and women together. Photos 1 and 2 are the pictures of the junior rugby club's training at Kamaishi city in Iwate Prefecture. In small areas like this, the girl members are not enough, so boys and girls train together.



【Photo.2】 Girls training rugby at right side upper in Kamaishi city

### 4. Half the members are women! Case study at Nomi-Koma junior rugby team in Ishikawa prefecture

#### 4.1 Percentage of girls at Nomi-Koma junior rugby team

Nomi-Koma rugby school (for primary school children) has succeeded in gathering female members at Komatsu and Nomi city, Ishikawa Prefecture. They said half of the members were girls. This is shown in Table 3.

So, the question is, how can they recruit women for members? And why do the women join? The team was established in 2009. This team has had a bigger percentage of women members since 2009. The smallest percentage was 21.4% in 2009. The biggest was 53.8% in 2012. And from 2012 to 2014 there was over 50% or near 50%.

Table 3. Girl members and their percentages of the Nomi-Koma rugby team

year	total members	boy members	girl members	percentage(%) of girls
2009	28	22	6	21.4
2010	28	19	9	32.1
2011	18	11	7	38.9
2012	13	6	7	53.8
2013	20	11	9	45.0
2014	18	9	9	50.0
2015	14	10	4	28.6
2016	22	14	8	36.4
2017	16	10	6	37.5

#### 4.2 Why and how are women recruited for rugby?

I asked coaches, “How does your team recruit so many women members?”

They answered that the coaches had daughters who were old enough to play. At that time the coaches had few sons. And so many daughters entered the Nomi-Koma team, and their friends also came together, thus the team has had many female members.

Although it is a simple reason, this result suggests an answer to the question, why and how do women begin to play rugby in Japan? When the father plays or played rugby, his children also play rugby. Playing rugby has a tendency to be passed from generation to generation, if the child was a daughter, and to be played by other family members. This point is examined in greater detail.

Nomi-Koma elementary school children and over junior high school women’s members were asked to fill out some questionnaires on who plays rugby in their families, including grandparents. Table 4 shows that the numbers of replies equal 29.

#### (1) Who plays or played rugby in your family?

Table 4. Number of family members who play rugby, asked of males and females

Who?	males	females
Grandfathers	0	2
Fathers	2	10
Mothers	0	1
Brothers	3	9
Sisters	2	9

(The numbers of men are 10 and women are 19. Total replies are 29.)

Two females (10.5%) answered that their grandfathers also play or played rugby. Ten women answered their fathers play or played rugby (52.6%), and one female answered her mother also plays or played it. Nine females answered that their brothers play, and nine females also answered that their sisters play (47.4%). In contrast, no males named their grandfathers, but two men named

their fathers (20% of males), 3 men named brothers (30%) and 2 men named their sisters (20%).

This result suggests women and girls are highly influenced by their family to play rugby. Men are not so highly influenced as women. Although this is a small sample, women and men have a different rate of influence when they start to play rugby. This fact is worthy of attention.

For another case in Kamaishi city, I distributed the same questionnaires to 5 girls (the only girls on the junior rugby team). All 5 girls said their grandfathers played rugby, and 4 of the girls said fathers also play or played rugby. This results also supports the finding that women players of rugby are directly influenced to join by their family, especially when their grandfathers and fathers play/played rugby (Hara 2014:38).

## **(2) Tide for making women's team**

In the Nomi-Koma case above, a few coaches' daughters began to play rugby. After a few years, when a daughter graduated from primary school, she wanted to continue to play rugby. At that time, it was difficult for the girls to continue rugby after primary school, because there were no female rugby teams in junior and senior high school. Hearing his child's dream, one father began to establish a women's adult rugby team<sup>18</sup> and he became a head coach. This women's team was the first women's adult rugby team in Ishikawa Prefecture in 2011.<sup>19</sup>

At the same time, the Japanese Rugby union was promoting the making of women's rugby teams in every prefecture in Japan for the Rio Olympic Games in 2016. There was a good tide to establish women's rugby team.

These cases illustrate one of the reasons why and how women are recruited for rugby.

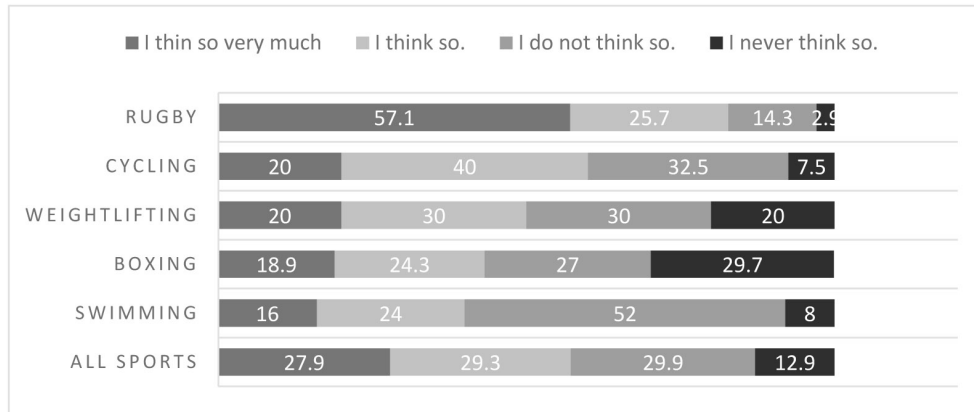
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<sup>18</sup> Women who are older than high school students are permitted to participate in rugby games at Japanese domestic Sport Festivals (Kokumin-Taiiku-Taikai).

<sup>19</sup> [http://blog.livedoor.jp/totti\\_net\\_id/archives/2011-06-13.html](http://blog.livedoor.jp/totti_net_id/archives/2011-06-13.html)

## 5. Parents' recommendations of various sports for their daughters

Table 5. Do you recommend your sports to your daughters or granddaughters?



Original Data: Japan Sports Organization 2014 'The report of Japan sports organization's researches the First year' p.22 (日本スポーツ協会『国民体育大会におけるオリンピック女子種目導入に関する調査研究—第1年次—』p.22より作成)

In 2014, the Japan sports organization researched opening the women's events in Japan national Sports Games because of changes in the Olympic Games. Their report shows they asked the parents and grand-parents of athletes whether they recommend, or do not recommend, the same sports to their daughters or granddaughters. The answers are shown in Table 5.

The answers meaning *agree* include "I think so very much" and "I think so". Rugby's *agree* proportion is 57.1% plus 25.7%, a total of 82.1%. It shows the highest percentage. The second highest sport showing agreement is cycling at 60%. The lowest is swimming at 40%, even lower than boxing. We might ask why swimming has lower agreement than boxing. When we look at "I never think so", we find swimming is 8% and boxing is 29.7%. A majority of people who boxed think they never would recommend their daughters and granddaughters to do boxing. Weightlifting, boxing, and swimming have 50% or more who would not recommend these sports to daughters.

Table 5 shows us that players of rugby want to play the game with their daughters and granddaughters. This supports the results in the questionnaire data.

## 6. Conclusion

The International Olympic Committee decided that any sport seeking to be included on the Olympic program had to include women's events. So, the choices

that women have of sports events have increased in the last quarter of a century. Rugby also has opened for women since 2016 in the Rio Olympic Games.

Still, women's rugby has not yet spread so widely for the Japanese. I gathered a small sample of questionnaire data in Iwate Prefecture about the image of women's sports. Even out of 27 persons, nobody remembered rugby as a women's sport although they named 18 other sports for women.

Around 2011, to prepare for the Rio Olympic Games in 2016, every prefectural rugby football union in Japan called for women members to make a women's team of 7 or more players. However, it has been difficult to gather women members.

Under these circumstances, the Nomi-Koma junior rugby team at Komatsu and Nomi city in Ishikawa prefecture has gathered enough women's members. The questionnaires suggest that involvement in women's rugby emerges from family connections, especially that girls or women have a greater tendency to continue to play rugby if prior generations of males or other family are playing it. If the grandfather play/played rugby and their sons (namely fathers) also play/played rugby, daughters and granddaughters have tendencies to play rugby. The data also suggests that patterns of play have a different result among men.

Reoffering the result of Japan Sports Organizations report in 2014, it appears that rugby players recommend their own daughters and granddaughters to play rugby. Thus, this is one recruitment mechanism that seems to be successful.

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## **Transgressing Time in Precarious Space: (Re)constructing the City in Peter Ackroyd's *The Plato Papers***

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### ***Abstract***

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*Elemental axes in the workings of a novel, time and space provide fruitful arenas for discussion, shedding light not only on narratological underpinnings, but on the ways in which these underpinnings influence and alter each-other. The point of convergence, though it may prove elusive, is where the novel exists. The Ackroydian novel constructs a fluid nexus in which time and space are syntagmatically contingent: this nexus is the city of London, examined through the ages, expounded upon and experienced as a living body. The effacement of static life is embodied in the urban palimpsest, and it is Plato, London's own philosopher, who traces the process of rewriting and reconstruction: never stable or predictable, the city's history is where change is inscribed, both temporally and spatially. I intend to break down these dimensions and to look at their interplay, and thus render an analysis that highlights both continuity and interstice.*

### ***Keywords***

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*urban studies, postmodernism, memory, space, time.*

The aim of this paper is to investigate the postmodern workings of Peter Ackroyd's *The Plato Papers* (1999), and how the novel presents the image of an ever-shifting city. The methodology I will avail myself of covers theories proposed by writers in the fields of urban studies, memory studies, liminality, and postmodern theory. What I hope to achieve is an analysis that shows to what extent we can use the critical concepts of time, space and being, and in what ways they might inform a reading that can account for an unstable interplay of forces. I will also examine the artifices of history and embedded narrative as they appear in the novel. The image of the city, refractory and mosaic-like in aspect, will be the driving point in this paper.

Soja's response to Foucault's view of history as being full "of suspension, of crisis and cycle," hinting at the "menacing glaciation of the world" (Foucault qtd. in Soja 1999: 114) is an appropriate starting point, in that it counters the "unbudgeably hegemonic" time-oriented nature of pre-postmodern historicism by pointing out newer postmodern sensibilities, which take into account the far less examined underpinnings of space with its "restless formation and reformation of geographical landscapes." Traditionally, the "master-narrative," tethered in history, remained a slave to time, but shied away from the dimension of space, construed as "fixed, dead, undialectical," as opposed to the "richness, life [and] dialectic" of time. Postmodernism's contribution lies in the firm establishment of "vertical and

horizontal” aspects of being (Soja 1999: 115), and the erosion of categorical privilege, which is to say, the primacy of time over space. Mills (qtd. in Soja 1999: 116) points to the necessity of any given individual to “[locate] himself within his period” in order to make sense of his own experience, and I interpret this idea of period as the locus of the ontological triad comprising space, time and being -- the “milieux, immediate locales [and] provocative emplacements” that act as an arena for personal agency. This is foregrounded by a radical break from idealized notions of human nature divorced from social embeddings and an abandonment of “naturalisms, empiricisms and positivisms” which do not take into account social reality (Soja 1999: 117). Modernity is this break, a place “of both context and conjuncture,” and its experience is the full-fledged manifestation of the three dimensions previously mentioned (Soja 1999: 123). Hutcheon’s assertion that postmodernist sensibilities run counter to modernist “hermetic, elitist isolationism” (Hutcheon 2010: 140) becomes useful when investigating the erasure of borders between literature and history and the richness of the negotiation between these two systems of signification. By contrast, Auge’s idea of supermodernity presents a useful new concept, that of non-place. This begins with a curious reversal of roles, the construct of a beholder being beheld, a spectacle (Auge 1995: 86), an artifice often employed in tourism: an “anticipated image, which speaks only about him but carries another name.” In this, there arises a concerted self-reflection, with the self right in the middle, basking in objecthood, “a rare and sometimes melancholy pleasure.” (Auge 1995: 87) This directing of attention towards the self paradoxically invites an “overburdening or emptying of individuality” in which, as the author suggests, we can conceive of past and future. Discussing a grim passage in Baudelaire, Auge writes that the “abolition of place” is the only natural end point to any journey (Auge 1995: 89), and this is intricately connected to the already familiar idea that there is “a movement that empties the landscape” within which the journey is situated, where the spectator becomes spectated. Auge refers to this as the phenomenon of supermodernity, a proliferation in the “shifts of gaze and plays of imagery” engendering “entirely new experiences and ordeals of solitude.” (Auge 1995: 93) Non-places are the arenas for such experiences, arising only through words, consisting of “imaginary places, banal utopias, clichés.” (Auge 1995: 95) In the semiotics of urban life, non-places are partly textual, offering certain injunctions or instructions; they rely on the “shared identity of passengers” (Auge 1995: 101) who exist only in transit, in liminal spaces that are typically marked as such. Upon entering a non-place, there occurs an effacement of self, and the traveller becomes disburdened of his “usual determinants,” taking on whatever perfunctory role is assigned by his temporary persona; in a manner of speaking, Auge writes, there can be a “gentle form of possession” by the exigencies of the non-place resulting in an odd sense of contentment, the “passive joys of identity-loss” on the one hand, and the “active pleasure of role-playing” on the other (Auge 1995: 103). This will be exemplified in the following analysis when describing Plato’s journey through the cave and his inevitable metamorphosis. The self becomes bleached, a palimpsest, in this stripping-away of identity. The joy in this loss can be seen as the exultation of a liberated being, no longer fettered by personal history or collective memory: non-place engenders non-self, or perhaps a

pseudo-self, a functional mask donned however briefly. The contractual solitariness enforced by the non-place confronts the traveller with a disconcerting sight, that of a silent, staged dialogue carried out with oneself in a voice that “echoes millions of others,” in a space that eschews definition in favour of “solitude and similitude.” (Auge 1995: 103) Concerning temporal deixis, the primacy of the present moment is self-evident, and an ahistorical sense of being shapes the traveller’s experience (Auge 1995: 105). Situated within a space of transition, there can be no history and no past.

Plato’s London, the enduring artifact, is paradoxically one such place: its manifestations throughout fabricated history, whether in the far-gone Age of Mouldwarp or in the year 3700, embody a living construction, and its milieux, traced across mock-history by a heavily invested narrator, provide context and conjuncture alike. The hegemony of time is counterbalanced by sociological and geographical analyses of the London denizens, trapped in their physical cave; yet time is more than an abstract concept: it is also a biological entity in its characterization, endowed with forward-racing impetus. Plato, a philosopher-historian, keenly remarks upon the juxtaposition of time and space, weaving in the dimension of being in his narrative—an act of historiography, as one would put it, informed by postmodern sensibilities. The ceaseless din and unrelenting activity filling up London are reflected in the self-annihilating urges of the Londoners, who are described as pursuing action for the sake of release from lived drudgery. Their interpretive lens, consciously apocalyptic, is picked up by Plato and presented as a whole: even in the prefatory remarks to the novel, in faux epistolary form, a certain Popcorn declares that he is “blessed in another sense, living on the verge of a new age,” (Ackroyd 2000: II) caught in the temporally liminal, an age described by “greatness and munificence erected” in emulation of “the labours of distant antiquity.” What we can stress here is the continuity between past and present as a concerted praxis, an effort in bridging the elusive qualities of a foregone age with the reality of a projected future. Another unnamed character opines that the “returning to the origin of all things” is the point of one’s destiny, not only as a teleological endeavor, but as a mirroring: the beholding of one’s “doubles,” perhaps meant here in the sense of ancestors, is the “nature of [their] world” (Ackroyd 2000: III) . Time is never stereotypically abstract in Plato’s London; one episode describes time as a shifting substance, with “moments reappearing, little gleams of time in the general sea as countless as the grains of sand upon the beach” (Ackroyd 2000: 21) . It intermingles with visual space, becoming “some cloud of light, with its form changing” and then, in turn “the shape of a face,” “a magnificent building,” then “breaking up into words.” Far from being discrete entities, time and space commingle, and become consubstantial: the denizens of 3700 London abide by their own metaphysical principles, describing the dimensional flux they are a part of: theirs is a queer world with its own laws of being. Upon treading on the sea of time, a villager is reported to have “[walked] a short distance on the water and then [made] great bounds, leaping high into the air” (Ackroyd 2000: 23) , after which he changes physical shape, becoming “in turn a snake, a lion and many other creatures,” ultimately vanishing. This shows how

time itself functions as a sort of chemical agent, re-weaving the physical form of objects, rendering null any concept of physical, temporal or spatial stability. However, in spite of this fact, the protective space of the city still offers succor: Ornatus and Sidonia discuss the terrifying possibility of the city no longer being able to sustain them, but the idea is soon brushed off. In defining the term *stopwatch*, Plato comments on the “general delight in speed and efficiency” of Mouldwarp humans, who believed in the strict rhythms of their world, fearing its end should time no longer be kept in check. To these humans, their own rootedness in time and space was essential, the absence of which spelled concrete catastrophe. Thus emplaced, they knew their role in the world and acted accordingly. In Plato’s lecture on Americans, he emphasizes their obsession with time, “an indispensable element of their existence” (Ackroyd 2000: 32) , calling it “deity” or a “visible being,” “winged or hastening figures,” “low indefinite sounds.” He makes a connection between the awareness of time and its anxiety-inducing effects even as it was intricately “part of their own bodies” (Ackroyd 2000: 33) . These being surface interpretations, facetious or otherwise, we are presented with a clear image of a society existing within time, being ruled by it, and in a sense, enslaved by it, much more than “present day” humans who exist meta-temporally. In their world, even the dead are alive, “[dreaming] of their past lives” in symbiosis with all the previous ages. However, they place themselves above the cruelties and roughness of their forerunners, treating Plato’s expositions as mere entertainment, despite his belief that the past holds a key to understanding the present. This is a central message within the novel: the audience listens passively to or disregards the pleas of the orator, disbelieving his journey down through the cave, considering it a matter of fiction. But as time proves an elusive concept in the wake of the Age of Witspell, so does it appear in the Age of Orpheus, the age when “statues were coaxed into life and walked from their stone plinths” (Ackroyd 2000: 41) , evincing a sort of magical agency over the world. However, far from being legend or myth, places within this historical realm, such as Hades and Mount Olympus, are geographical realities in Plato’s universe. In weaving tales of the past, Plato paradoxically shields the listeners from perceiving the truth of their message: “As long as I study and interpret the past, they are able to ignore it.” (Ackroyd 2000: 47) By framing the present as an absolute deictic, the past is relegated to marginal importance, tales meant for amusement or passing the time, not as a call to contemplation. In the Age of Witspell, following the Age of Mouldwarp, there arises a new consciousness of time: namely that “future events [affect] every aspect of their present” (Ackroyd 2000: 52) not only chronologically but physically, wherein “the fabric of the old reality had [...] become interwoven with so many others that it could only rarely be glimpsed” (Ackroyd 2000: 53) . This multi-layered interweaving of past and present and future, of mythological beings resurfacing through the ages, a kind of magical realism suffusing the mundane world, shape up the core of the novel. Against the self-sufficiency of his society, Plato discusses the tendency of their ancestors to look to the past, “to some mythical point of origin” (Ackroyd 2000: 67) despite their knowledge that creation is self-perpetuating, always an act of *recreation*. The point of this praxis is regarded as self-evident; the longing for origins is superseded by self-contentment within the

present. But if time itself is elusive and moldable, so is the dimension of space: “I lack a sense of place,” answers Madrigal to the waiter’s question, inquiring after her needs. She and Sparkler are on Lombard Street, but their London is booming with “the steps of countless generations” grown “low and remote” (Ackroyd 2000: 68). The city is the locus of inscribed change, a palimpsest stretching across time: hints of foregone ages are here represented as whispers, anomalies that are barely perceived, dim intimations of what once was, always at the junction of time and space. The filmic representation of Mouldwarp London in Hitchcock’s *Frenzy*, showing the “stone bridge with a dark tower upon each bank” and the depiction of the river underneath, “too narrow and turbulent to be the beloved Thames” (Ackroyd 2000: 70) is a far cry from their London, being “filled with shadows and pools of darkness,” foreign to their world of light and abiding geometry. Their surprise upon discovering these artifacts shows the clear divide between the concrete London, its rough embodiment in the twenty-first century, and the thirty-seventh century ideatic city where shadow has been eradicated and time itself becomes a malleable plaything. Yet despite the lack of astral magic in Mouldwarp, there seems to be an unspoken presence “diving and swooping above the river,” unseen, all-seeing: “it rises and falls, gliding invisibly through the London air.” (Ackroyd 2000: 71) At the meeting point between the cultures of London there is metaphysical communication, and it is through such phantom beings that this communication can be explained, in the midst of “sudden leaps of time and space” of an ever-changing city. The milieux are given as vagaries, glaring inconsistencies, hallucinations. “The shadows have started to appear,” says Plato, conversing with his soul: even the city of light lets darkness creep through under the guise of folly: “There is a girl. There is an animal approaching her. The name becoming visible is Golden Lane. Who are these people walking beside me? There are so many.” (Ackroyd 2000: 81) The marks of the past, street names and buildings, abstractions of former stone, swim to the forefront, erasing borders that were unstable to begin with. Plato starts to doubt himself and his knowledge, and, impelled to seek the truth, descends into the netherworld. This glaring overlapping of relics and metaphysics marks the synoptic fulcrum of his endeavor: investigating the past, he unravels the present; fleeing the present, he understands the past. This is not without its pitfalls, as leaving the city is tantamount to death; a journey outside a realm that is only marginally palpable can scarcely be thought of; it is in this sense that Plato declares that one can “embark upon a journey while remaining in the same place” (Ackroyd 2000: 84). Where place melts away into time and subverts it, the concept of journey itself becomes somewhat meaningless, stuck between perambulation and contemplation. Describing his descent into the cave, Plato reveals his stupor: he does not know whether he has moved at all, caught in a pitch-black space where spatial notions of up and down become problematic. Emerging in a “world of shadows,” he becomes accustomed to starlight emanating “below the level of [their] world.” Plato’s London is then a heavenly realm, looming high above the Age of Mouldwarp and their decadent city, espied only in dreams. The demeanor of the Londoners, their way of being, is depicted as being aimless and blind: their “preordained patterns” betray the mechanic life they lead,

apparently devoid of meaning, stringing together incoherent thoughts as they walk through the city, unaware of their subordinate existence. Yet there is magic in their coarse methods, within “vessels of glass, or frozen water, which contained the radiance of the stars.” This paradoxical beauty depicts the *Weltanschauung* of the twenty-first century man, who revels in “contrast and discontinuity” in the face of overwhelming despair (Ackroyd 2000: 90) ; subjected to forces beyond control, Mouldwarp humans are happy to “mock and parody” each-other. They are slaves to speed and immediacy, enmeshed in a loop of “continually building and rebuilding” London, the limitless city: “it had no beginning and no end.” Far more than just a phantom realm, it is the fluid nexus where ages arise and die, where generations overlap in blatant effacement of notions of past and future, where stone vanishes and resurfaces according to its own will. The queer image is met with scorn by Plato’s audience, all of whom seem to be trapped in anachronistic complacency. It can be said that even in the thirty-seventh century, the inhabitants of the city are trapped “within fantasies and ambitions which the city itself had created,” (Ackroyd 2000: 94) unwitting servants to a superordinate will that does not speak its intent yet shapes everything it contains. Mouldwarp offers Plato that which his own age cannot: physicality, a sense of flesh and blood. Upon looking into the river Thames, he sees his own reflection, his own image “ebbing and flowing in time.” As he becomes conscious of his own body, Plato faces a spiritual encounter. He converses with the souls of men, and discovers their anxieties and fears, their “great horror of death,” and their awareness of the constant mutability of the world around them. The conversation prods the orator into an even deeper place of doubt, shaking his already feeble belief in the tenets of his society. I will expound on aspects of self-reconstruction at a latter point in my paper and will now return to the subject of time. Firmly entrenched in a philosophical crisis, he turns to a lecture on time, producing a watch from the Age of Mouldwarp:

That is time. Do not be afraid to touch it. Its spell cannot be reawakened. What was its purpose? It created a universe! Examine the numbers around the rim. Do they not make beautiful shapes? See the curvature of this one. Look at the oval. They are wonderful because they once represented the structure of the world. If we open the back, here, we find tiny springs and wheels. This is the machine. There was once a whole universe modelled in its shape. (Ackroyd 2000: 98)

Time is structure and the machine that produces the structure, self-begetting, represented here by the small time-piece with its metonymic cogs and wheels. The folding back upon origins is what gives Mouldwarp time its titanic sway. It is more than a guiding principle, acting like a deity in an age bereft of gods. In Plato’s own words, it was worshipped as sacred, having been there from the very beginning, an integral agent in change. London being the realm of circumvolution and contingency par excellence, to have time enshrined comes as no surprise. Paradoxically, it is not Plato’s own London, with its own eccentricities and abstractions, that defies time, but its twenty-first century embodiment. In his world, all of London’s incarnations are continuations of each-other, eternally linked, exerting a metaphysical influence in defiance of chronologic linearity. The waning power of time no longer divine (as in the case of Mouldwarp) or strictly

fictional (as in the case of the 3700s) becomes a presence that leaves an indelible, invisible mark on the (non)physicality of the realm. His theory on the simultaneous existence of several Londons, in all their “versions and visions,” is met with derision. During Plato’s trial, his judges make this very clear: “to imagine a world within our world [...] It is impossible.” (Ackroyd 2000: 111) The stern refusal of Plato’s fellow citizens to accept the possibility of fuzzy time, despite their technological and spiritual advancements, urges the need for grand unity, the piecing together of past and present, and a radical break from normative ideas of sequential being. Mouldwarp Londoners are revealed to be not darkness-fearing “celebrants of power” but idle beings filling the city with light, talking endlessly “about nothing in particular,” seeking to subdue and conquer the physical, possessed of a “blind instinct to grow” (Ackroyd 2000: 118) . What connects the two (apparently) disparate ages is the obstinate belief in their own independence, a kind of solipsism that singles them out. Unable to countenance Plato’s truths, they mark him a madman, choosing to let him ramble on. He thus chooses self-exile and a nameless path, musing once again upon the mutability of time: the fabled giants of London, steeped in history, might not actually be relics of the past, but a present reality: “What if this were prophecy,” he asks, “not history?” (Ackroyd 2000: 136) Temporal and physical borders having been done away with, Plato leaves the confines of the city to take his stories elsewhere, but not without defending his philosophy. The careening of selves between foregone and forthcoming, despite not being palatable to his audience, is the only nature of the world he can accept as true. This is a recurring theme: the intertwining layers in which history mingles with the present, always in motion, fluid. Turning now to the concept of liminality, as defined in the last century by philosophers, anthropologists and cultural theorists, I begin with Thomassen’s reference to Turner’s notion of “betwixt and between” of any given object. “Single moments,” he writes, “longer periods, or even whole epochs” have the potential to be liminal (Thomassen 2014: 89). The axis of his topology of the liminal intersects with human agentivity in that individuals, social groups and societies can be regarded as liminal. Plato, in positioning himself outside his own London, either as exile or traveller, removes himself from his epoch in a sort of “designated Monkhood;” But even Mouldwarp society, in its dying throes, is liminal: the moment the physical world begins to disintegrate, social webs also come undone in acts of violence and chaos. When regarding the physicality of liminal spaces – Plato’s cave, the sea of time – through the lens of “border lines, thresholds or portals” (Thomassen 2014: 91) I am in agreement with Thomassen and Gennep alike, in that the physical predates the symbolic because it engenders it. The force of the liminal renders the subject “nameless, timeless and socially ‘unstructured’” (Thomassen 2014: 92) in that it unmoors him, not only from a familiar sense of space, but also from “[his] own sensory apparatus:” up and down are switched, the sky shifts and becomes earth, as in Plato’s journey. Discussing Szokolczai’s (Thomassen 2014: 93) versions of permanent liminality – following the three stages, namely separation, liminality and re-aggregation – we can look at Plato’s exile as stopping in the middle of the liminal cycle, condemning himself to a lifetime on the border. Borrowing from



Bateson, Thomassen brings to the fore the concept of schismogenesis, the “process of differentiation in the norms of individual behaviour resulting from cumulative interaction between individuals.” (Thomassen 2014: 106) It arises within moments of crisis and transition, affecting all social layers and bringing about liminality that can manifest itself, as in Mouldwarp London, in vicious turmoil. Downey et al. draw a distinction, in their view of liminality, between the ideas of place and space: place is familiar, either comforting or restrictive; however, space is “representative of geographical uncertainty.” (Downey et al. 2016: 2) Space does not exist in a vacuum, but is molded by “human patterns and mediation,” which are the “real architectonic forces shaping the world.” (Downey et al. 2016: 2) Caught in this interconnectivity, place and space hover in-between “geophysical environment and human cognition,” and both, in their connection to each-other, are subject to liminality. A tension arises wherever there is an emplacement between the two poles of a binary system, between here and there, and this describes the characteristics of the liminal. Borders themselves are liminal, and in Balibar’s words (as quoted in Menozzi), they are “polysemic and overdetermined,” and that to describe a border is to create it (Menozzi 2017: 26). The performativity of crossing a border, of entering a realm that is beyond, is what creates the subject, resting on a “constituent, world-making power.” (Menozzi 2017: 27) If we read the border as an Other, we can accept Menozzi’s idea that borders influence the way everyday life is shaped; they can act as a catalyst for processes involving “exclusion, recognition, crossing, immobility, trespass and selective inclusion” (Menozzi 2017: 28). Plato’s identity is reshaped by means of his journey through the cave: his metamorphosis as a result of direct contact with history leads to a redefinition of self, yet history itself is mediated through the border, namely the cave, as a liminal space producing upheaval and reversal.

The disappearance of memory, or, as Nora puts it, the “remnants of experience” manifested in the “repetition of the ancestral” (Nora 1989: 7) is what enables the engendering of a genuine historical perspective. Memory, once a stable foothold, becomes slippery in the face of postmodern means of investigation. The articulation of sites of memory becomes therefore increasingly difficult in the face of history, “which is how our hopelessly forgetful modern societies [...] organize the past.” (Nora 1989: 8) He frames this as yet another rupture within modernity, surfacing as the destruction of the “ancient bond of identity” between history and memory. Wherever there is a means of distancing and mediation, we have the end of memory and the beginning of history. Memory “is life,” subject to remembering and forgetting, to “manipulation and appropriation,” whereas history is not, as it is a reconstruction or representation of things past. Interestingly enough, Nora (9) endows memory with sacredness and history with the release from sacredness, a release into universality motivated by a “perpetually suspicious” spirit. Sites of memory, it follows, are vestigial symbols of a defeated paradigm, memory itself. A routine deritualization (Nora 1989: 12) of memory, always privileging what is modern, engenders a society bound to endless cycles of “transformation and renewal” made visible in historiographic efforts. The enshrining of memory in culture and institutions, be they archives, museums or monuments, are “boundary stones of another age” tinged by nostalgic efforts to reach what can no longer be

sustained. Spaces of memory must be brought into existence through will and deliberation, in the absence of true spontaneity, and these spaces are linked in symbiosis with history, each influencing the other. Writing on the nature of subjectivity, Malpas indicates an overarching interdependence between it and notions such as place, memory and narrativity. Memory and place are inseparably intertwined. Instances of remembrance are, he says, “keyed to particular spaces and places.” (Malpas 2004: 175) Far from bemoaning the death of memory, Malpas describes its intricacies and complex dependences in relation to space and self. Self-identity is always rooted in particular spaces (Malpas 2004: 176), and in cases where the self is lost – either the individual self or, in a larger sense, a societal self – its reestablishment can only arise through a “recovery of place,” both in its practical specificities and in its metaphysical connotation – we can look here to the various incarnations of London in their ever-changing shapes, recoverable only through an act of concerted remembrance. There is a clear lack of hierarchy between the concepts Malpas defines; he claims that as “thinking, remembering, experiencing creatures” our psychological and social processes are conditioned and informed by an “active engagement in place” (Malpas 2004: 177), which, in turn, operates inside “a concrete spatio-temporal intersubjective frame” (Malpas 2004: 180). This frame is what enables ontological notions such as past/present/future or temporality/spatiality and their articulation within the complex phenomenon known as history. Quoting from a critic writing on Wordsworth’s poetry, he insists that the dimension of space is both “humanized and humanizing” (Malpas 2004: 184). I interpret this through the lens of self-development: the physicality of space is what acts as an anchor to the engendering of identity; one’s humanity is contingent upon the location that allows it to unfold itself, and it cannot exist in a vacuum. Narratives, in their close connection to memory and identity construction, have the power to transcend aporiae in that they untangle knots in time. This echoes Călinescu’s definition of postmodernism as an answer to modernism’s failed attempt to create a universalized history, hinting at “chronological polyrhythms” that influence daily existence. Postmodernism’s contribution lies in the enshrining of plurality and tolerance, leading to the dissolution of modernist aporiae (Călinescu 1999: 317). Plato’s lectures, read as stories of bygone ages, do precisely this: they proffer temporal divisions while at the same time problematizing and subverting the stability of time. Knowledge of the past always refers to actions that are spatially defined; Malpas therefore considers the “locatedness” of knowledge in its enmeshed state: it can only be construed as a knowledge “in and of place.” (Malpas 2004: 189) His observations on the fragility of space, and the fragility of life itself as part of that space, are a productive venue for exploring the Ackroydian text if we interpret mutability as an aspect of fragility, or vice-versa. London’s past versions, regarded both temporally and spatially, evince just as much fragility as its 3700 counterpart, as we shall see.

The act of historiography inscribed in *The Plato Papers* sees a ludic reinterpretation of fragmentary cultural remains, in that it takes artifacts – cultural figures or even idioms – and defines them facetiously. The comedic effect, although very powerful for readers who are part of the culture described, offers a

means of distancing which is conducive to historiography: what is contemporary memory for the reader becomes history for the 3700's London citizen. The association between memory and ritual is made even clearer in Plato's accounts of Mouldwarp men and women who, aware of their (social) being in time and space, engage fully in ritualistic behavior with the goal of altering the trajectories of their own lives. The suspicion vis-à-vis memory seems perhaps more flimsy than one would expect, as Plato is not the most reliable narrator or historian, often proffering unsubstantiated views, presuppositions and conjectures. In his histories, there is no special privilege bestowed upon the modern: nowhere is this clearer than at the end of the novel, when Plato chooses self-exile. His methods are self-serving and the history he authors bears this mark candidly. Orating on Mouldwarp beliefs, he explains their blind trust in evolution and "the superstition of progress" that ran unchecked, unprepared "for the horror of the end." (Ackroyd 2000: 48) An age of technology, they routinely disregarded memory, and the results were catastrophic: it is the world around them that begins to disappear when not construed as an object of attention: "[the] stars and nebulae had disappeared simply because no one had been looking at them." (Ackroyd 2000: 49) The city is not the only space under threat of erasure, but the earth itself and even celestial bodies. The Londoners' conscious effort to re-imagine and remember is rendered futile, when "all the stars, quadrant by quadrant, were gradually extinguished." (Ackroyd 2000: 49) The fabric of the universe itself comes undone in a supreme manifestation of ontological discontinuity; an inability to remember and to commemorate unravels life both socially and biologically. Shaviro's remarks on panpsychism are an interesting framework in this situation. A rejection of "default metaphysics" (Shaviro 2014: 66) which describes a world that can be changed by human action might seem counterproductive. Indeed, the world of Plato is moulded not only by human action, but on a fundamental level by human thought as well. However, Shaviro's ontological and epistemological theses are what interests me: ontologically, the world exists without being conceptualized by thinking; epistemologically, the world can be analysed in a non-reductionist fashion (Shaviro 2014: 68). Despite the poverty and inaccuracy of our concepts, the world can still be altered. But more importantly, Shaviro's accusation that humans work under an "anthropocentric prejudice" (Shaviro 2014: 77) is even more relevant: the universe around us, the cities we inhabit, can manifest a life that is independent of human perception. They are a "multiplicity of finites, actualities seeking a perfected unity." (Shaviro 2014: 77) The act of seeking is not metaphorical, but (meta)physically active. If the city lives, then the city must also think, and its thoughts inform palpable reality; this is the essence of Shaviro's panpsychism. But his reading works best within a symbiotic context: the city acts upon the citizen exactly as it is acted upon. Without the safety of the city, its inhabitant might die; without the safety of its inhabitants, the city, and the very earth it is made of, might also die. Faced with the death of the world around them, Mouldwarp Londoners resort to wanton violence, destroying the edifices of their present, and it is the resulting fire, and the death of their tyrannous time, that ushers in the light of Witspell. In spite of this, history remains a relatively reliable source of information: Plato tells stories of stone figures appearing in Finsbury, with "ritual [avenues]"

around them, monumental structures with an uncertain meaning. This ambiguity itself lends history power, in that an unclear signifier appears to resist effacement. Queer movements in Witspell, in which “buildings became flowers, and flowers buildings,” run counter to the mechanical throbs of Mouldwarp atheism, echoing the figures of the Age of Orpheus in revival of a forgotten past. The result is a dubious apotheosis, torn between the inherent godhood of Londoners and the all-encompassing spirituality of London itself, containing “the general spiritual will and being of its inhabitants.” (Ackroyd 2000: 56) Memory and history become blurred, as the narration of both leads to the assertion of neither. The novel offers tantalizing interpretations that cannot be taken at face value, farcical pulsations that escape deixis; Plato himself, mouthpiece for abiding truths, is seen donning “the cap of the city fool” while “holding out a script of glass” (Ackroyd 2000: 57) in an outward expression of his anxiety and purported madness, the glass being, perhaps, a symbol of his own naïve transparency.

The optics of the city are explored with enthusiasm by both de Certeau and Ackroyd. In “Walking in The City,” de Certeau writes about the desire to see the city with a “totalizing eye” (de Certeau 1999: 127) which escapes pre-modern viewers, encompassing an “immense texturology.” Those who experience the city, so-called “walkers,” are those who write it “without being able to read it” (de Certeau 1999: 128). The resulting network of writings is a conglomerate of fragments bearing the sign of unavoidable alterity. Beyond geography, the city enjoys another kind of spatiality, rooted in a “poetic and mythic experience of space,” a metaphorical embodiment. De Certeau argues that the city is in itself a subject, much like “groups, associations, or individuals” are – it is “simultaneously the machinery and the hero of modernity” (129). At the same time, the city can be rewritten, bearing a “rich indetermination” that leads to a secondary, poetic geography, the filling of a “great empty space with a beautiful name” (de Certeau 1999: 132). This act is predicated upon the remains of the past, “the world’s debris [...] nominations, taxonomies” and semantic fragments undergoing continuous reinvention and reevaluation (de Certeau 1999: 133). Moreover, Ricoeur, in *Memory, History, Forgetting* (2004) ascribes a “rhetoric of the exceptional” to de Certeau’s philosophy (Ricoeur: 203), which serves to root the individual in his historical context. In this philosophy of particularities, what unites history and memory is the notion of absence, which would only superficially clash with de Certeau’s statement about the world’s debris. It is only within the realm of absence that taxonomic remnants can be resignified. In his discussions on urban form, Lefebvre assigns the role of interpreter to philosophers, busying themselves with “exploration of births, of decline, transition, disappearances.” (Lefebvre 1996: 104) Plato rewrites the city as he recounts its history, and it proves useful to accept Lefebvre’s idea that the city is “the place and the milieu, the theatre and the stake” of conflicting forces (Lefebvre 1996: 105). The philosopher also remarks, perhaps fortuitously in our case, that certain cities build upon and seek to defend an “image of centrality” and modernity, despite having ancient roots. The dialectics of continuity and discontinuity are amply explored within the novel, and the clash between the constant resurfacing of both ancient and modern represent a key

theme. The city describes its own ebb and flow, “an ascent, an apogee, a decline,” (Lefebvre 1996: 107) and the remnants of change, violent or otherwise, are used as cornerstones for future developments. It depends on the hermeneutic angle whether we choose to regard this as a kind of continuity; Plato stresses the overlapping of these forms despite historiographic efforts to keep the past clearly delineated. To Lefebvre, the idea of interpreting the city as a system of signs, as part of a semiotic system, is an impossibility: it writes itself and is therefore readable, but to write about it, to create a “metalanguage” (Lefebvre 1996: 108) in which it can be analysed implies a lack of knowledge. We read the city as a “projection of society on the ground” not only topographically but ideologically as well, as a space of marked “plurality, coexistence and simultaneity.” (Lefebvre 1996: 109) In expounding theories on the coexistence of ages, Plato is shunned and branded a madman, as I have shown in the previous pages, and his extravagant stories bear the blame. His tales of Mouldwarp of “ancient people hastening down their lighted pathways engaged in ritual action” (Ackroyd 2000: 70) pitted against a modern day London show us just how simultaneity and coexistence are configured. Although his gaze is meant to be dispassionate, he cannot keep a sense of wonder from creeping into his oration. He tells of men “engaged in some tribal rite” to appease the incarnate city-god, indicating the possibility of an “elaborate ceremony” to raise the dead, all under the sign of uncertainty: “the very texture of Mouldwarp life,” he declares, “is too rapid and discontinuous to allow any certain judgement.” (Ackroyd 2000: 71) The figure of the city gives way to inner spaces as tenebrous and intimidating as its exterior; its citizens behave “as if being directed by some unseen power” (Ackroyd 2000: 72) . Mouldwarp London is a London of numbers and darkness, a “mathematical world” held up by mechanical lights that come alive at night to illuminate its streets. A theme of *The Plato Papers* is resignification: the reassigning of values to past artifacts, as mentioned previously, the reinterpretation of human history, the reshaping of semantics from a minor, lexical scale, to a larger, cultural one. The city as breathing entity suffuses the narrative, and it would not be farfetched to assert that London itself is the most prominent character in Ackroyd’s novel. It validates de Certeau’s poetical geography, creating a space that survives time, perhaps overtakes it, and in this steadfast endurance there is myth—the hero of modernity is given a shape.

This paper has demonstrated the validity of certain critical perspectives—discussions concerning space, time, and being, as well as history and memory—all of which were redefined and more thoroughly negotiated under the notion of modernity. I have shown how Ackroyd’s novel clearly evinces traits that one would associate with postmodern writing. Whether it is useful to assign such labels befits the scope of much ampler works; here I have only endeavored to apply tentative steps in the direction of more fruitful, nuanced literary analysis, grounded in a coherent framework. The results of my work may point to more elaborate discussions, both in terms of critical theory and literary criticism.

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## Approaching Literary Texts with the Aim of Acquiring Emotional Literacy Skills

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### **Abstract**

*Literacy is the ability one should possess so as to understand all forms of communication and to use the acquired knowledge for further tasks. Reading literacy is a current issue in education, as it refers to the skills students should have in order to be able to read, decode meaning, make inferences, analyze critically, and synthesize information. Emotional literacy is an inherent part of this general skill which readers should master in order to access information, understand messages in their context and be able to contribute to their own shaping of knowledge and character as a natural consequence of their encounter with literature. By linking the knowledge from the field of psychology on emotional intelligence and emotional literacy with that from the field of readers' response to literature, the act of approaching literary texts should be one of discovering oneself and the others and of finding constructive ways of interaction.*

### **Keywords**

*reading literacy, reader-response, emotions, emotional intelligence, emotional literacy skill.*

### **1. Introduction**

Literary texts are majestic constructs in which the entire mental, emotional, and creative potential of a writer is given form and expression and which carry readers not only into the personal universe of the creator, but also into the historical, cultural, and social background on which he or she created. Since texts are woven around human relationships and dilemmas, they always find an echo in the minds and hearts of readers whose response to the things presented is founded on their previous knowledge and experience and on the expectations they build prior to approaching a text and maintain all along the process of reading.

Thinking of *catharsis* – involving oneself consciously in an act of self-purgation and self-improvement by means of reading – this act can be done when readers perceive the fictional text as a mirror of humanity they are part of and when they are ready to face themselves with their own virtues and vices and be enlightened and summoned towards an exercise of minute observation of the details one has never been previously aware of. Literary texts expose readers not only to worlds and experiences that may be familiar to them. They bring the readers to realms where situations and attitudes seem ungraspable due to their strangeness and otherness but are therefore so much more advantageous owing to their capacity of challenging the readers' thinking and feeling abilities, and of

training their skills in perceiving, making sense, and thinking of possible solutions to life-resembling issues.

When speaking about the attitudes required on the part of the reader in the act of reading, Wayne C. Booth envisages the profile of the readers, the role they may assume in the act of reading, and the nature of the relationship with the text:

*Attitudes required of the reader.*—The terms here tend to duplicate those describing the ideal author. Is the reader able to be "objective" or "ironic" or "detached," or, on the contrary, is he capable of compassion or commitment? On the one hand, a work should provide the reader with questions rather than answers, and he should be prepared to accept inconclusiveness; he should accept the ambiguities of life, rejecting a vision based on "oversimplified blacks and whites." He should use his mind, his critical intelligence, as well as his emotions. (Booth 1983: 38)

Emotions become thus a key part in the entire mechanism of unlocking the meaning of texts due to their ability to preserve memories of past experiences and a certain knowledge on how the world moves and functions. Assisted by critical thinking skills, emotions can help readers stay tuned to the literary text, infer the intricacies of human relationships and actions, and reflect upon their own life and way of dealing with similar things.

## **2. Emotions, emotional intelligence, and emotional literacy skills**

Understanding the vital role of emotions in people's lives, many scientists have been struggling to classify them and to trace the stages in which they are felt, perceived, appraised, and managed. In C. S. Lewis's opinion, emotions "can be reasonable or unreasonable as they conform to Reason or fail to conform. The heart never takes the place of the head: but it can, and should, obey it." (Lewis 2001: 19) The recent studies in the field of psychology and social sciences are a vivid proof that there is a strong connection between emotions and our critical thinking skills and that emotions have a cause and a purpose and that by understanding these two poles one would be able to handle emotional episodes wisely. The American psychologists Peter Salovey and John D. Mayer, the ones who wrote the first scholarly article on Emotional intelligence in 1990 and have published extensively on this concept, integrate this concept into the broader sphere of social intelligence: "We define emotional intelligence as the subset of social intelligence that involves the ability to monitor one's own and others' feelings and emotions, to discriminate among them and to use this information to guide one's thinking and actions." (Salovey and Mayer 1990: 189)

In a later publication, Salovey and Mayer offer a revised definition and conceptualization of the term of emotional intelligence and offer a four-branch model that explains in detail the emotional competencies involved, from the basic processes of "Perception, Appraisal, and Expression of Emotion", through the "Emotional Facilitation of Thinking" and the "Understanding and Analyzing Emotions; Employing Emotional Knowledge" to the "Reflective Regulation of Emotions to Promote Emotional and Intellectual Growth" (Mayer and Salovey 1997: 11). The basic level involves two very important competencies of



emotionally intelligent people: those of self-awareness and the awareness of others in terms of feelings, emotions, thoughts, and personal states, as well as the way people manifest all these either in their behavior or in works of art they may produce. At all the four levels of competencies there is a vacillation between the awareness of the self and the awareness of others with respect to each level of ability.

In the process of reading literary texts the readers are faced with a double challenge – that of facing themselves as readers perceiving the fictional world and having their own Self experience all sorts of emotional and cognitive demands, and that of facing the Others in the shape of fictional characters that impersonate types of people they may meet in real life and situations they may be confronted with in their daily existence. This confrontational experience is undoubtedly guided by emotions that readers may experience toward the things presented in the book, the situational examples, and even the ideas behind this complex human interaction tapestry. Salovey and Mayer offer a very telling explanation with respect to emotions, their cause and, most significantly, their effects:

We view emotions as organized responses, crossing the boundaries of many psychological subsystems, including the physiological, cognitive, motivational and experiential systems. Emotions typically arise in response to an event, either internal or external, that has a positively or negatively valenced meaning for the individual. Emotions can be distinguished from the closely related concept of mood in that emotions are shorter and generally more intense. [...] we view the organized response of emotions as adaptive and as something that can potentially lead to a transformation of personal and social interaction into enriching experience.

(Salovey and Mayer 1990: 186)

Emotions should be understood in all their complex manifestation and impact on people's lives. They can be triggers for the development of readers' personality and the adoption of right and justifiable courses of action in daily real-life interactions. However, emotions cannot gain any significance if they are not given the right share of reflection regarding the context, causes, and effects and are treated as mere transitory states. Peter Salovey et al offer a comprehensive definition of emotional literacy and the way in which each skill is being acquired:

Through the self-reflective experience of emotion, individuals acquire knowledge of the correlates and causes of their emotional experiences. Knowledge of emotion thus enables individuals to form theories of how and why emotions are elicited by different situations. This ability to understand and analyze emotional experiences translates into the ability to understand one's self and one's relation to the environment better, which may foster effective emotional regulation and greater well-being. In the psychotherapy literature, this has been termed emotional literacy.

(Salovey et al 2001: 286)

The acquisition of emotional literacy skills seems to be paramount as it may ensure the understanding of others' thoughts and actions and facilitate the dialogue between oneself and the world. The emotionally intelligent person will be able to identify, express, and understand emotions, subsequently assimilate them in thought and regulate both positive and negative emotions in the self and others. Approaching literature with the view of acquiring lifelong competencies, among which those that are closely linked with emotional intelligence, may lead to the expansion of the readers' knowledge and experience horizon by confronting them with a variety of human typologies that act in contexts similar or different from those they face in real life. David S. Miall and Don Kuiken are convinced that: "in self-modifying feelings we use the literary emotions prompted in us by the text to explore possibilities of promoting new understandings and changes of these emotions within ourselves." (cf. Oatley 2011: 122)

Emotional literacy skills start with the ability to recognize and name emotions and literary texts are inexhaustible resources of shades and manifestations of feelings. Becoming literate in the area of feelings means becoming an expert in the area of language that has the ability to name those feelings. This naming of feelings can be done with regard to the readers' state as they approach the text as well as the emotional states they experience while reading the text. Thus readers may not simply be surprised by what they read, but getting more precise, they could either be startled, confused, amazed or even excited, and each of these feelings may gain even more depth of meaning if we realize that a startled person for instance can either be shocked or dismayed. Writers may contribute to the development and meaningful acquisition of this emotional literacy skill by using a precise and sophisticated linguistic repertoire to render human interaction and the entire palette of emotions accompanying these interactions. A very telling example of a highly emotionally literate character able to identify and name her own feelings and the emotions of others and see their effects in spite of being trapped in a hopeless struggle to find an explanation for them is Via, August's sister in the novel *Wonder* by R. J. Palacio. August or Auggie as his family and friends call him is the main character in the novel and is suffering from a very rare disease which affects the way he looks. His sister Via nurtures very deep feelings for her little brother whom she surrounds with the greatest love and care. Her inner struggles with emotions are certainly meant to bring readers into a special emotional state of reflection, empathy, and challenge to change their own perspective on things:

I never used to see August the way other people saw him. I knew he didn't look exactly normal, but I really didn't understand why strangers seemed so shocked when they saw him. Horrified. Sickened. Scared. There are so many words I can use to describe the looks on people's faces. And for a long time I didn't get it. I'd just get mad. Mad when they stared. Mad when they looked away. (Palacio 2014: 85)

Assisted by a good mastery of the language of emotions, the readers may dive into the subject matter of texts and infer the causes that led to certain

reactions, understand and analyze those model of manifestation, and discern the best strategies of dealing with intense emotional situations in such a way that the resolution may be a positive one for everybody involved.

### **3. Emotional literacy skills as a means of transaction with the world inside and outside the literary text**

Approaching literary texts from the perspective of acquiring emotional literacy skills may be done consciously or unconsciously, depending on the readers' psychological and experiential profile, backed by the readiness to acknowledge oneself as a reader physically detached from what is going on in the text and yet very deeply emotionally and cognitively involved in the plot and the human interaction web of the text. When speaking about the readers' positioning toward the text, Norman Holland stresses upon the readers' inclination to keep themselves on the safe side of being aware regarding the degree of involvement in the fictional writing: "Involved in literature, however, we separate action from emotion. Because we know that we cannot possibly change the represented situation we are perceiving, we cognitively inhibit the action the emotion would normally prompt." (Holland 2009: 103) This is a strong plea for activating the essential emotional skill of being aware as a reader in the text and outside of it. Patrick Colm Hogan comes to supply the dilemma of the readers' involvement in the text and its aesthetic reception and launches two controversial problems: "the fictionality problem" and raises the question "Why do we feel literary emotion even though we know the events in the work are fictional?", and the second is the "empathy problem" and poses another question "Why, in short, do we feel emotions regarding situations that have no bearing on us whatsoever?" (Hogan 2003: 167-168) A possible answer to his first question would be that emotions are natural manifestations and are easily triggered by stimuli that are either physically present or are summoned into the temporal present by means of memories. Even if readers are fully aware that what they read is fiction, they cannot refrain from experiencing feelings, even if these feelings are mostly manifested in a cognitive way and not a behavioral one. An answer to the second question may be formulated starting from the premise that readers have the ability to make associations between the fictional world and their own world of experience either directly or indirectly, associations mediated by the emotional load of each experience, since human beings do not experience the world in a purely cognitive way.

In approaching fictional texts the readers are stimulated to perform a double exercise of awareness. They are aware of themselves in relation to the written text and while diving into the text they become more and more aware of the characters or the situations presented, as well as of themselves as either being knowledgeable with regard to particular types of people or events or alien to the world depicted. This exercise is facilitated by the expectations one brings to the reading process, the emotional load they carry and the emotional impact of the text on the readers. There has been extensive talk regarding the emotions stirred by fictional texts, with an exceptional focus on *empathy*. However, the new preoccupations in the field of psychology regarding the concepts of emotional

intelligence and emotional literacy may steer the process of reading in a direction that may be meaningful to the readers in the long run. Therefore the empathy readers feel in the very act of reading toward the characters presented may become a consolidated attribute of the reader in the long run if he or she takes the time to reflect on the things presented and his or her own empathic emotion, as well as the empathy manifested by the other characters involved in the text.

Characters in literature have different ways of revealing their inner self with emotions and values and the readers can reach a better understanding of them when they are mindful not only of the words that express their thoughts, but also of the way these thoughts take shape on the background that facilitates a specific train of thought:

If an author chooses to have access to the thoughts in a character's head, the reader can be aware not only of what he or she is thinking, but can be acquainted with the manner of thought – how the character's mind is made up, and how they approach problems and challenges. (Gill 1995: 137)

To illustrate the way readers may perceive the way characters interact and act based on their emotional drives and moral values we may take the example offered by two books: *The Coral Island*, by R. M. Ballantyne and *Lord of the Flies*, by William Golding. Analyzing literary texts belonging to different historical periods may shed light on the particular importance of how people manifest their emotions and emotional literacy skills. One explanation for some of the differences in manifestation may reside in the ethical principles reflected in these works of fiction. Ethics is naturally interwoven in the fabric of the text and raises the awareness of readers regarding its impact on the emotional intelligence competencies of the characters. It is precisely due to the moral inheritance of the characters in a certain novel that readers discover certain emotional intelligence competencies at work. For example, the novels written by R. M. Ballantyne and by William Golding contrast profoundly in the perspective they offer – *The Coral Island* is imbued with the presence of the Divinity and goodness, whereas the *Lord of the Flies*, which was inspired by the former, is devoid of the presence of God and imbued with the oppressive presence of Beelzebub who seems to demand constant submission through *fear* – a basic emotion and a core element in emotional intelligence. The characters in *The Coral Island* have a moral legacy gained along their upbringing which makes them see the world, the perils and the threatening people in it with different eyes. Even if *evil* is present in *The Coral Island*, it is wisely balanced by the characters who choose to confront it by resorting to morality and counterbalancing vices with virtues. William Golding, on the other hand, uses the central motif from *The Coral Island* in order to contrast “two radically different pictures of human nature and society” (Baker cf. Reiff 2010: 92) The characters' actions give an insight into the workings of the mind of the authors themselves, which are a result of the impact of the historical, cultural, and social context. Consequently, the two books reveal two totally different perspectives on life mediated by the external factors. Robert M. Ballantyne writes

in a time when there was still hope in the world, whereas for Golding there seems to be no hope looming in sight due to an absurd war going on. A comparative analysis of some of the essential concepts in emotional intelligence and ethics proves that the inner moral legacy of human beings is of tremendous importance in dealing with the outward challenges and in exercising emotional literacy skills:

**Emotions and moral concepts in  
*The Coral Island***

***Friendship*** – the core concept

***Fear*** – is experienced at the sight of evil things and wrongdoers and motivates toward taking positive action for survival

***Love*** – unites the characters, seeks the good of others

***Kindness* and *goodwill*** – shared by all main characters

***Empathy*** – leads to understanding and acts of courage

***Savagery*** – from the outside; tamed

***Death*** – shocks

***Hope*** – is a dominating feeling

***Happiness*** – pursued, felt when contemplating the wonders of nature

**Emotions and moral concepts in  
*Lord of the Flies***

***Friendship*** – a marginal concept

***Fear*** – divides the characters, is pursued and instilled by some with the aim of gaining total, undiscerning submission

***Love*** – an undeclared, individualistic emotion

***Kindness* and *goodwill*** – the virtues of the outcasts

***Empathy*** – Piggy, the mocked character, is probably the only one to manifest it in its pure form

***Savagery*** – from within; untamed

***Death*** – is pursued

***Hope*** – is a lost feeling

***Happiness*** – turns into despair; there is little joy in contemplating nature

The readers are thus witnesses of two different worlds depicted in language registers that exude the emotional and experiential world of the writers and their optimistic or pessimistic views of the world. Readers are called to be aware of each emotional episode among the characters and of each human interaction that is produced by the way characters understand and relate to the world. If the readers are trained to become constantly aware of how the plot is constructed and the emotional and behavioral dynamics that move the actions to a happy or an unhappy denouement, then there is a good chance that they will be trained to recognize emotional workings in real life and be able to react constructively and bring things to a positive resolution. Readers transact with the meaning of the texts to such an

extent that they should be aware of the load of fiction and of the load of meaningful information that may be transferred into their own world and existence.

#### **4. Conclusions**

Accurately identifying emotions and becoming aware of the way in which they are displayed by oneself and by others should lead to a better adjustment of the strategies of responding to them. By accessing literary works, readers are actually given the chance to access a diversity of possible worlds that carry with them the potential of raising their awareness regarding the complex variety of human characters and interactions, the possible ways of responding verbally and behaviorally, and the range of possible solutions that may lead to positive outcomes. In confronting the fictional worlds, the readers confront their own selves as they are brought to a level of awareness in which they identify their own emotional legacy and inclinations to react and act in the contexts of their daily lives. Susan E. Rivers and Marc A. Brackett stress the importance of understanding the causes and consequences of emotions in order to adopt effective responses to emotions in oneself and others. They see the relevance of approaching literature with the aim of gaining insight into the complex area of behavior and into the factors that lead to adopting certain attitudes or courses of action:

“Understanding the causes and consequences of emotions allows students to perform a richer behavioral analysis of characters they come across in literature, history, and daily life. Students who understand that a blocked goal causes anger will look for contextual clues reflective of an injustice to locate the impetus for a character’s violent outburst. When students identify anger themes across texts they are able to compare and contrast the behaviors of various characters facing analogous situations (e.g., responding to social injustice through violence vs. political activism).”

(Rivers and Brackett 2011: 85)

Literature represents therefore one of the best means of raising awareness regarding various key issues human beings are constantly confronted with since it springs from the acknowledgement that life is the main deliverer of cases for literature and readers are called to decipher its mysteries, become aware of what lies at the basis of human interaction and adopt the best emotional, verbal, and behavioral attitude.

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◆ LINGUISTICS ◆

## Le parole della musica nella Divina Commedia

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### **Riassunto**

*L'Autrice analizza un ampio corpus delle parole legate alla musica nella Divina Commedia di Dante Alighieri, esaminandone le differenze nelle occorrenze nelle tre cantiche e giustificando le differenze stesse. Dei lessemi viene presentata un'analisi condotta secondo gli approcci propri della linguistica cognitiva, specificamente quello semasiologico e quello onomasiologico. Mentre la parola 'musica' non è attestata, molto diffuso è il termine 'canto' nel valore proprio e in quello metaforico. La rete di relazioni semantiche mostra una notevole ambiguità, come è dimostrato nel canto di Casella, il secondo del Purgatorio. Il lavoro intende entrare in qualche modo nel laboratorio di scrittura del Poeta, dimostrando come egli da un lato innovi e dall'altro si attenga alla tradizione.*

### **Parole chiave**

*Divina Commedia, lessico, semasiologia, onomasiologia, metafora.*

Nella Divina Commedia la musica è presente sia nella rappresentazione sia in similitudini. Dante sicuramente conosceva la teoria musicale sia perché la musica era una delle scienze del quadrivio, come dice Dante stesso nel *Convivio* (II, XIII, 8<sup>20</sup>) sia “perché sono frequenti i riferimenti a fatti e a termini specifici” (ED: s.v. *musica*). Per esempio, cita nel *Purgatorio* una rara forma di canzone a ballo:

(1) l'altre tre si fero avanti, / danzando al loro angelico **caribo** (Pg. 31, 131-2)<sup>21</sup>

ripresa poco dopo come ‘la loro canzone’ in

(2) ‘Volgi, Beatrice, volgi li occhi santi’ / era la sua **canzone**, ‘al tuo fedele’ (Pg. 31, 134).

È sembrato, dunque, opportuno indagare sulle ‘parole della musica’<sup>22</sup> nella Divina Commedia ricorrendo a due tipi di analisi che sono propri della linguistica

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<sup>20</sup> La ricerca del termine ‘musica’ nel *Convivio* è stata operata in base al sito <http://www.filosofico.net/conviiviodante.htm>

<sup>21</sup> Il testo, qui e in seguito, è citato secondo Sapegno, *If. Pg., Pd.*

cognitiva, quello semasiologico e quello onomasiologico (Dirven-Despoor 1998: 23-47). L'analisi semasiologica parte dalla parola e ne prende in esame i diversi significati tessendo una rete di relazioni fra di essi; in particolare, intervengono la metafora, la metonimia, la generalizzazione e la specializzazione. L'analisi onomasiologica parte dal concetto e ne esamina le realizzazioni in parole tessendo una rete di relazioni fra di esse; in particolare intervengono l'iperonimia, l'iponimia, la metafora concettuale.

In verità, proprio la parola 'musica'<sup>23</sup> non ricorre nella Divina Commedia<sup>24</sup>, ma solo nel Convivio (Cv. III, XI, 9; II, XIII 8, 20, 23, 24), dove si trova un importante elogio della musica:

- (a) E queste due proprietadi [di Marte] sono ne la Musica, la quale è tutta relativa, sì come si vede ne le parole armonizzate e ne li canti, de' quali tanto più dolce armonia resulta, quanto più la relazione è bella: la quale in essa scienza massimamente è bella, perché massimamente in essa s'intende. Ancora, la Musica trae a sé li spiriti umani, che quasi sono principalmente vapori del cuore, sì che quasi cessano da ogni operazione: sì è l'anima intera, quando l'ode, e la virtù di tutti quasi corre a lo spirito sensibile che riceve lo suono (Cv. II, XIII, 23-24).

In un approccio di tipo onomasiologico mancherebbe dunque il livello sovraordinato (e vd. 5.).

### 1. Gli strumenti musicali

Incominciamo con l'esaminare quando sono citati gli strumenti musicali, sia in similitudini, e quindi con riferimento al mondo terreno, sia nella narrazione.

#### 1.1 Gli strumenti musicali nelle similitudini

Gli strumenti si trovano in similitudini e paragoni:

- (3) quando con **trombe**, e quando con **campane** / con **tamburi** e con cenni di castella (*If.* 22,7- 8)  
(4) né già con sì diversa **cennamella**<sup>25</sup> / cavalier vidi muover né padoni (*If.* 22, 11-2)

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<sup>22</sup> Ringrazio vivamente l'amica prof.ssa Maria Rusignuolo per avermi dato lo spunto per l'articolo invitandomi alla giornata di formazione dal titolo "Sinestesie audiovisive nella Commedia" da Lei organizzata presso il Liceo "U. Foscolo" di Canicattì, il 30 novembre 2017.

<sup>23</sup> La prima attestazione della parola 'musica' è in Brunetto Latini nel 1294 (DELI: s.v.), il maestro di Dante.

<sup>24</sup> La ricerca delle attestazioni è stata effettuata sul sito <http://www.intratext.com/IXT/ITA0191>, da cui è tratta pure la citazione.

<sup>25</sup> La cennamella è "una sorta di strumento a fiato, usato soprattutto negli esercizi" (Sapegno, *If.*: 242, nota a v.10). (3) e (4) sono riferiti al finale del canto precedente, il 21, quando i diavoli si muovono al segnale di Barbaccia: 'ed elli avea del cul fatto trombetta' (*If.* 21, 139).

- (5) Io vidi un, fatto a guisa di **leuto** (*If.* 30, 49)  
 (6) Quella (*scil.*: 'l'epa percossa') sonò come fosse un **tamburo** (*If.* 30, 103)  
 (7) quando a cantar con **organi** si stea; / ch'or sì, or non s'intendono le parole (*Pg.* 9,144-5)  
 (8) Da indi, sì come viene ad orecchia / dolce armonia da **organo** (*Pd.* 17, 43.4)  
 (9) E come **giga**<sup>26</sup> e **arpa** in temprà tesa / di molte corde, fa dolce tintinno / a tal da cui la nota non è intesa (*Pd.* 14, 118-20)  
 (10) E come suono al collo de la **cetra** / prende sua forma, e sì com'al pertugio / della **sampogna** vento che penetra (*Pd.* 20, 22-4).

Numerosi sono gli strumenti citati, da quelli a fiato a quelli a corda: come si vede da (9), Dante li conosce bene. Da notare il paragone di (6), ormai di uso comune, secondo la *competence* di chi scrive.

## 1.2 Gli strumenti musicali nella narrazione

Meno numerosi ma forse più interessanti sono gli strumenti musicali citati nella narrazione.

### 1.2.1 Corno

Il corno ricorre solo nell'Inferno e nello stesso episodio:

- (11) ma io senti' sonare un alto **corno**, / tanto ch'avrebbe ogne tuon fatto fioco (*If.* 31, 12)  
 (12) tienti col **corno**, e con quel ti sfoga (*If.* 31, 71).

Esplicito è per (11) il riferimento ad Orlando a Roncisvalle (*If.* 31, 18).

### 1.2.2 Tromba-Tuba

La parola *tromba* ricorre solo nell'Inferno:

- (13) di qua dal suon de l'angelica **tromba** (*If.* 6, 95)  
 (14) or convien che per voi suoni la **tromba** (*If.* 19, 5)  
 (3) quando con **trombe**, e quando con campane / con tamburi e con cenni di castella (*If.* 22,7- 8)

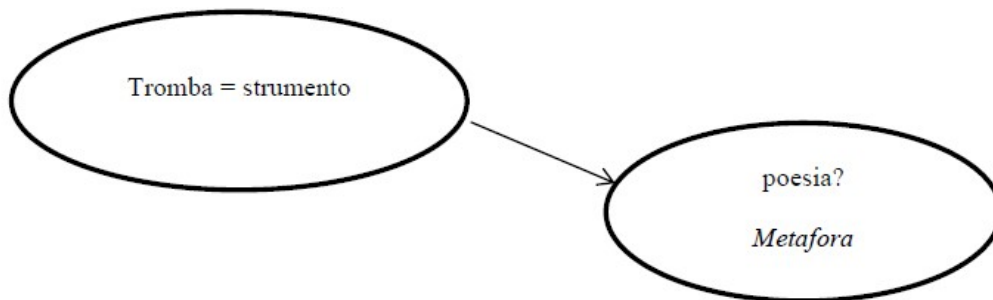
e pure nel famoso

- (15) elli avea del cul fatto **trombetta** (*If.* 21, 139).

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<sup>26</sup> La giga era uno strumento a corde; poi diventa il nome di una danza, come si trova per esempio nelle Suite di Bach.

Particolarmente interessante è (14), *or convien che per voi suoni la tromba*, l'inizio del canto dei simoniaci; la tromba sarebbe la poesia della Divina Commedia, assimilata alla tromba dei banditori delle aste o a quella del giudizio universale, come in (13). Questo è interessante perché si parte da una metafora, la tromba della Divina Commedia, per fare riferimento al valore letterale; o viceversa, quello che era il valore letterale diventa metaforico. In base all'approccio semasiologico, si ha:



Nel Purgatorio e nel Paradiso, invece, si trova il sinonimo *tuba*, latinismo (DELI: s.v.), mentre *tromba* è di origine germanica (DELI: s.v.). Con valore letterale è usato in:

(16) ch'om non s'accorge / perché dintorno suonin mille **tube** (*Pg.* 17, 14-5).

Nel Paradiso, invece, *tuba* ha valore probabilmente metonimico in

(17) ove [l'aquila imperiale] sentia la pompeana **tuba** (*Pd.* 6, 72),

verso che, secondo l'Enciclopedia Dantesca (ED: s.v. *tuba*) riprende *tot cecinere tubae* (L., *Phars.* VI 129-30).

Valore metaforico di 'voce poetica' ha, invece, in

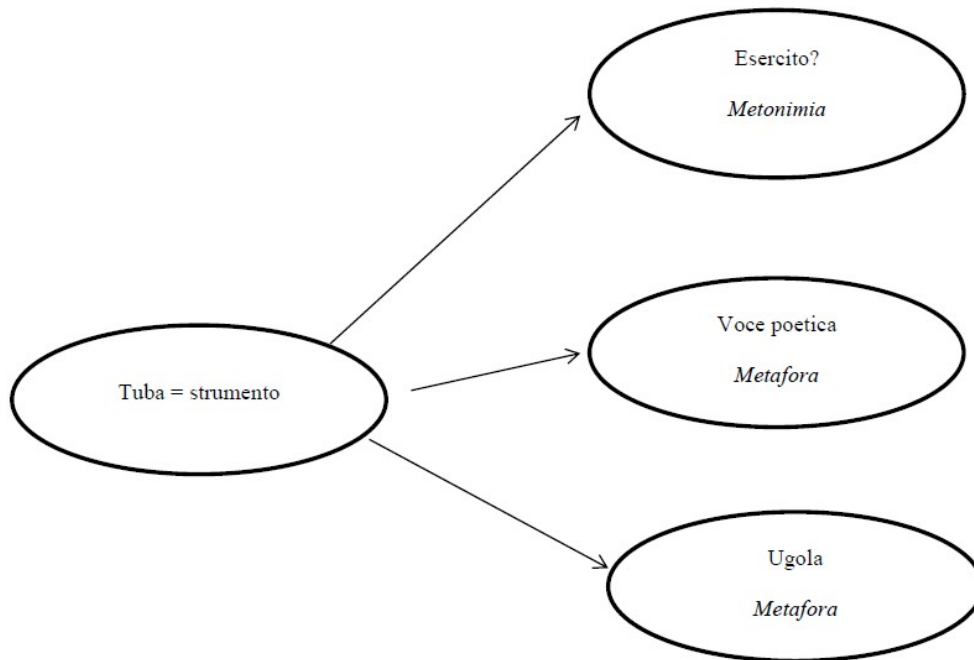
(18) cotal qual io la lascio a maggior bando / che quel della mia **tuba** (*Pd.* 30, 34-5)

che Sapegno, *Pd.* (370: nota a v. 34) parafrasa con 'a una voce poetica più potente e robusta della mia'. In

(19) canto che tanto vince nostre muse / nostre serene in quelle dolci **tube** (*Pd.* 12, 7-8),

*tube* sarebbe usato genericamente per 'ugole', se con Sermonetti, *Pd.* (186: nota ai vv.7-9) parafrasiamo il sintagma con "nelle ugole celesti". Certamente risulta un

po' strano l'accostamento ossimorico di 'dolci' a 'tube'. Si propone la seguente rete di relazioni in base all'approccio semasiologico:

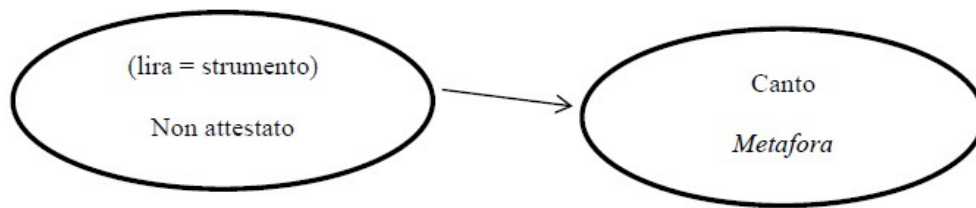


### 1.2.3 Lira

Nel Paradiso è citata due volte la 'lira', in

- (20) Qualunque melodia più dolce sona / qua giù e più a sé  
l'anima tira, / parrebbe nube che squarciata tona, / comparata al sonar  
di quella **lira** (*Pd.* 23, 97-101)
- (21) [Benigna voluntade] silenzio puose a quella dolce **lira**,/ e fece quietar  
le sante corde (*Pd.* 15, 4-5).

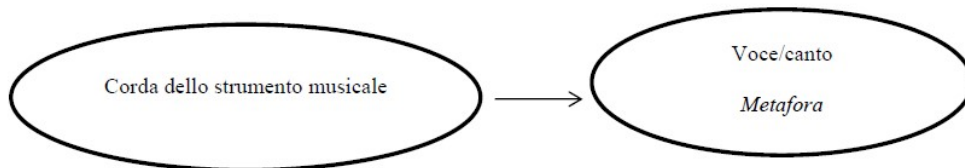
Il senso di *lira* in (20) e (21) è quello di 'canto' CONTROLLARE 20; la metafora è probabilmente prolungata in (20) da 'sonar', sebbene riprenda il 'sona' della 'melodia' del v. 97, e sicuramente prolungata da 'sante corde' in (21), dove si tratta di un inno che Dante non intende bene. Secondo l'approccio semasiologico si ha:



### 1.2.4 Corde

Le ‘corde’ degli strumenti sono citate, oltre che in (21) esaminato immediatamente prima, altre due volte, con valore letterale e all’interno di similitudini:

- (9) E come giga e arpa in temprata tesa / di molte **corde**, fa dolce tintinno / a tal da cui la nota non è intesa (*Pd.* 14, 118-20)  
 (22) e come a buon cantor buon citarista / fa seguitar lo guizzo della **corda** (*Pd.* 142-3).



### 1.3 Nota/note/notare

Il termine è polisemico: il DELI (*s.v.*) riporta i significati di ‘segno, contrassegno che serve a distinguere o ricordare; segno significativo di suono o formula melodica; appunto, annotazione scritta; osservazione complementare per chiarire alcuni punti di un testo; comunicazione a carattere ufficiale’. La medesima polisemia occorre nella Divina Commedia, dove il nome ha talvolta il valore di ‘segno’ o di ‘cosa degna di esser notata’ ma soprattutto, 14 volte, è riferito alle ‘nota’ musicale’; il verbo ‘notare’ presenta, invece, nel poema un rapporto numerico inverso tra i significati; 14 volte, infatti, è usato nel senso di ‘vedere, distinguere, prender nota’ (*ED: s.v.*) e solo una volta con il valore derivato da ‘nota musicale’. Infine, due volte ‘notare’ vale ‘nuotare’ e nello stesso episodio (*If.*, 16, 131 e 17, 115); si tratta di un caso di ononimia.

Analizzeremo solo i passi in cui si tratta delle ‘nota musicale’.  
 Nell’Inferno ‘nota’ ha il valore di ‘rumore’ in

- (23) mettendo i denti in **nota** di cicogna (*If.* 32, 36),

che Sermonetti, *If.* (448: nota a v.36) parafrasa con “battendo i denti con lo schiocco che fanno [i becchi del]le cicogne”,  
 di ‘voci’ in

(24) Or incomincian le dolenti **note** / a farmisi sentire (*If.* 5, 25-6),

o di ‘parole’ o ‘versi’ in

(25) e per le **note** / di questa comedia, lettor, ti giuro (*If.* 16-127-8)

(26) e mentr'io li cantava cotai **note** (*If.* 19, 118)

In (25) e (26) l'uso di ‘note’ deriva dall'uso, ancora attuale, di ‘cantare’ detto a proposito del ‘poetare’, come si vedrà in **3.1.** poco dopo.

Nel Purgatorio e nel Paradiso ‘nota’ e ‘note’, di solito sono usati metonimicamente per ‘canto’:

(27) Noi eravamo tutti fissi e attenti / alle sue **note** (*Pg.* 2, 118-9)

(28) ‘*Te lucis ante*’ sì devotamente / le uscio di bocca e con sì dolci  
**note** (*Pg.* 8, 13-4)

(29) temprava i passi un'angelica **nota** (*Pg.* 32, 33)

(30) né la **nota** sofferse tutta quanta (*Pg.* 32, 63)

(31) Diverse voci fanno dolci **note** (*Pd.* 6, 124)

(32) Così, volgendosi a la **nota** sua (*Pd.* 7,4)

(33) fin che le nove **note** hanno ricolte (*Pd.* 10, 81)

(34) nel torneare e ne la mira **nota** (*Pd.* 14, 24)

(35) quali / son le mie **note** a te, che non le 'ntendi (*Pd.* 19, 97-8) e  
vede ch'el s'accorda / con esso come **nota** col suo metro (*Pd.* 28, 8-9).

In alcune attestazioni il valore appare quello di ‘ritmo’:

(36) Prima, cantando, a sua **nota** moviensi (*Pd.* 18, 79)

(37) a' due che si volgieno a **nota** (*Pd.* 25, 107).

Un valore ancora più ampio di ‘musica’ si può trovare in

(38) [l'orologio a sveglia] tin tin sonando con sì dolce **nota** (*Pd.* 10, 143)

(9) È come giga e arpa in tempra tesa / di molte corde, fa dolce tintinno / a tal da cui la **nota** non è intesa (*Pd.* 14, 118-20).

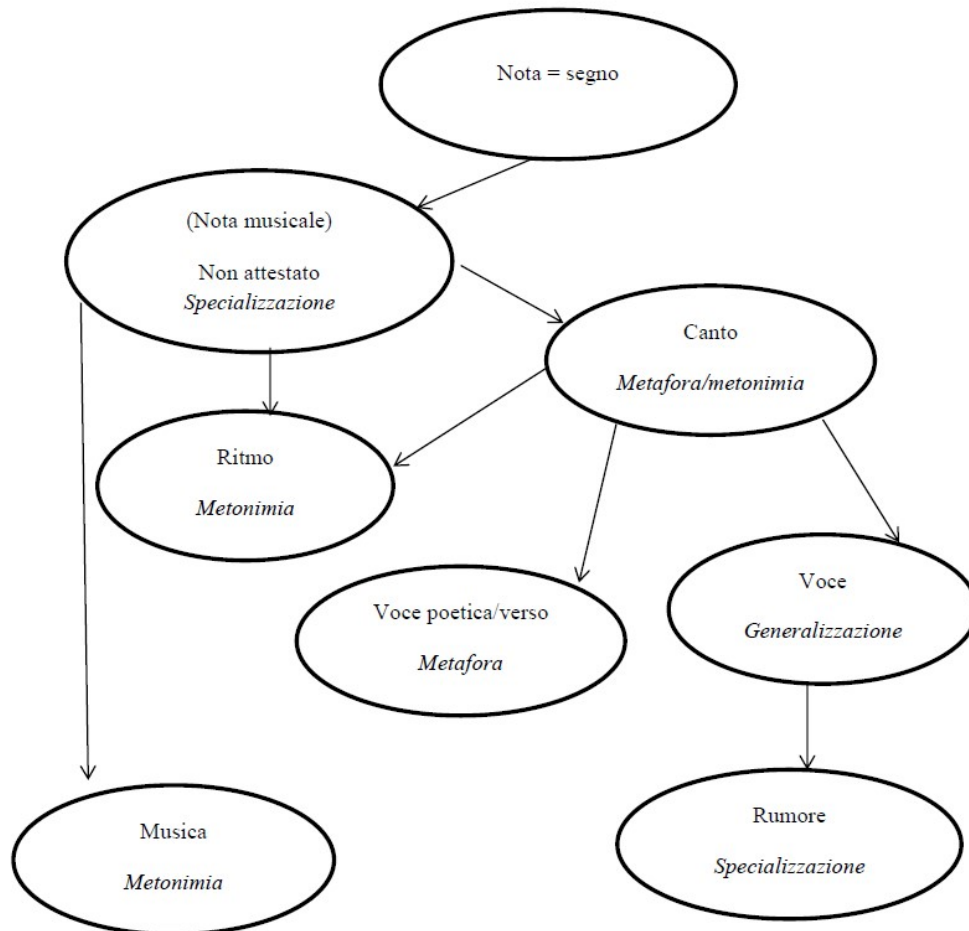
Quanto al verbo, come già notato, ha il significato di carattere musicale solo in

(39) anzi 'l cantar di quei che notan sempre / dietro alle **note** delli  
etterni giri (*Pg.* 30, 92-3)

parafrasato da Sapegno, *Pg.* (344: nota a v.91) con “prima che cantassero gli angeli, i quali cantano sempre assecondando l'armonia delle sfere celesti”. In questo passo, il verbo ‘notare’ è usato col valore, poco frequente, di ‘cantare’, valore poco frequente ma coerente con quello più diffuso del nome ‘nota’.



Complessa è la rete di relazioni semasiologiche:



## 2. Canto/cantare

Nel Purgatorio abbiamo 47 occorrenze, 12 del nome e 35 del verbo; nel Paradiso 37 occorrenze, 13 del nome e 24 del verbo.

Il verbo 'cantare' in senso letterale nell'Inferno è usato solo due volte, in una similitudine:

(40)E come i gru van **cantando** lor lai, (*If.* 5, 46)

e laddove Virgilio fa riferimento al Paradiso, quando dice di esser stato incaricato di scortare Dante da una beato

(41) Tal si parti da **cantare** alleluia (*If.* 12, 88).

Si canta, e molto, nel Purgatorio e nel Paradiso:

(42) ché quivi per **canti** / s'entra, e là giù per lamenti (*Pg.* 12, 113-4).

Nel Purgatorio si canta e si piange:

(43) esta gente che piangendo **canta** (*Pg.* 23, 64)

(44) tornan, lagrimando, a' primi **canti** (*Pg.* 26, 47)

(45) Ieu sui Arnaut, que plor e vau **cantan** (*Pg.* 26, 142).

Nel Paradiso si canta e si vola:

(46) ma l'altra, che volando vede e **canta** / la gloria di colui che la  
innamora (*Pd.* 31, 4-5)

(47) volitando **cantavano** (*Pd.* 18,77)

o si canta e si danza:

(37) Prima, cantando, a sua **nota** moviensi (*Pd.* 18, 79)

(49) Roteando **cantava** (*Pd.* 19, 97)

(50) Misesi li nel **canto** e ne la rota (*Pd.* 25, 109)

- ;  
;

## 2.1 Canto e derivati a proposito dei poeti

Come anticipato a proposito di (25) e (26), parecchie volte 'canto, cantare' e derivati sono detti, secondo l'uso ancora attuale, a proposito dei poeti: Omero è chiamato

(51) quel segnor de l'altissimo **canto** (*If.* 4, 95),

Virgilio,

(52) 'l **cantor** de' bucolici carmi (*Pg.* 22, 57),

si presenta così:

(53) Poeta fui, e **cantai** di quel giusto / figliuol d' Anchise (*If.* 1, 73-4)

e in altro paso fa riferimento all'Eneide:

(54) Euripilo ebbe nome, e così 'l **canta** / l'alta mia tragedia in alcun loco  
(*If.* 20, 112-3).

A proposito di Stazio occorrono:

(55) **cantai** di Tebe, e poi del grande Achille (*Pg.* 21, 92)

(56) Or quando tu (*scil.:* Stazio) **cantasti** le crude armi (*Pg.* 22, 55).

(57) a **cantar** delli uomini e de' dèi (*Pg.* 21, 126).

Con riferimento alla sua opera Dante scrive:

(58) che la mia comedia **cantar** non cura (*If.* 21,2)

(59) e **canterò** di quel secondo regno (*Pg.* 1,4)

(60) e qui Calliopè alquanto surga, / seguitando il mio **canto** con quel sono  
/ di cui le Piche sentiro / lo colpo tal, che disperar perdono (*Pg.* 1, 9-12)

(61) S'io avessi, lettor, più lungo spazio / da scrivere, i' pur **cantere**' in  
parte / lo dolce ber che mai non m'avria sazio (*Pg.* 33, 136-8)

(62) dietro al mio legno che **cantando** varca (*Pd.* 2,3)

(63) nel modo che 'l seguinte canto **canta** (*Pd.* 5, 139)

(64) **cantando** il santo riso (*Pd.* 23, 59)

(65) non m'è il seguire al mio **cantar** preciso (*scil.:* reciso) (*Pd.* 30, 30).

In (62) il relativo riferito a 'legno' rende metaforico il giro di parole.

### 2.1.1 I 'canti' della Commedia

Esaminiamo i passi in cui Dante usa 'canto' per riferirsi ai 'canti della Divina Commedia:

(66) e dar **matera** al ventesimo **canto** / della prima canzon (*If.* 20, 2-3)

(67) e li altri due che 'l **canto** suso appella (*If.* 33, 90)

(68) sarà ora **materia** del mio **canto** (*Pd.* 1, 12) dove 'canto' potrebbe  
anche riferirsi alla 'voce poetica'

(69) cominciò **Beatrice** questo **canto** (*scil.:* la materia del presente canto 5,  
secondo Sapegno, *Pd.:* 57: nota a v.16 ) (*Pd.* 5, 16)

(63) nel modo che 'l seguinte canto **canta** (*Pd.* 5, 139).

### 2.2 Omonimia e polisemia di 'canto

Oltre a 'canto' come 'modulazione della voce' occorre 'canto' come 'lato, angolo'. Si tratta di un evidente caso di omonimia sia perché l'etimologia è differente dal momento che derivano, rispettivamente, da lat, *cantu(m)* e da tardo lat. *Canthu(m)*, a sua volta da gr. *Kanthós* 'angolo dell'occhio' (DELI: s.vv.) sia perché i significati non sono riconducibili ad uno. Più diffuso nella Divina

Commedia è ‘canto’ come ‘modulazione della voce’, che occorre 33 volte contro le 8 di ‘canto’ come ‘lato, angolo’.

A sua volta ‘canto’ come ‘modulazione della voce’ è fortemente polisemico in quanto ha anche il frequente significato di ‘voce poetica, poesia’, un significato che ha già il verbo latino *cano* (Ernout-Meillet: 1959 s.v.). Ricordiamo pure che il nome greco dell’aedo,  $\alpha\omicron\iota\delta\acute{o}\varsigma$ , presenta il grado forte della radice del verbo ‘cantare,  $\alpha\omicron\epsilon\acute{\iota}\delta\omega$  (Chantraine 1968: s.v.  $\alpha\omicron\epsilon\acute{\iota}\delta\omega$ ).

### 2.2.1 Esempio di ambiguità di ‘canto’

Un esempio dell’ambiguità semantica di ‘canto’ si può trovare nell’episodio di Casella nel canto 2 del Purgatorio. Dante e Virgilio vedono le anime salve sbarcare dal ‘vasello’ cantando *In exitu Israel de Aegypto* (v. 46). Dante viene riconosciuto da Casella, al quale chiede, ‘se nuova legge non ti toglie / memoria o uso all’amoroso canto’ (vv. 106-7), di ‘consolare’ (v.110) la sua anima che ‘è affannata tanto’ (v.111) dopo il viaggio nell’Inferno. Casella inizia ‘Amor che ne la mente mi ragion’ (v.112), una canzone del Convivio che farebbe riferimento alla verità filosofica; inizia ‘sì dolcemente / che la dolcezza ancor dentro mi suona’ (vv. 113-4). Dante, Virgilio e tutte le anime appena sbarcate sono intenti ad ascoltare finché non arriva Catone che li rimprovera della loro negligenza e, come colombe che mangiano ‘subitamente lasciano star l’esca, / perché assaliti son da maggior cura’ (vv. 128-9), ‘così vid’io quella masnada fresca / lasciar lo canto, e fuggir ver’ la costa’ (vv. 130-1)

Chiaramente ci sono implicazioni allegoriche (non filosofia ma teologia, non terra ma cielo, non sentimenti terrestri ma divini) ma vorrei, invece, far notare come tutto l’episodio sia giocato sull’ambiguità linguistica. Innanzitutto, chi è Casella? Evidentemente un suo amico ma non si hanno notizie sicure: secondo Chimenz potrebbe esser quel Casella di cui nel *Cod. Vat. 3214* si dice che abbia musicato un madrigale; dal testo ‘si deduce solo che fu un valente cantore’ (Chimenz: 336, nota ai vv. 91-2). Poi, ‘l’amoroso canto’ di v. 107 è un canto d’amore o è un canto che suscita sentimenti amorosi? Ancora, perché Casella ‘canta’ una canzone dottrinale, che non veniva accompagnata né dal canto né dalla musica (Sapegno, *Pg.*: 2, nota a v.112)? Si potrebbe pensare che il ‘canto’ di Casella sia il ‘canto dei poeti’ ma il contesto, con il riferimento alla ‘dolcezza’ di v. 114 fa pensare proprio alla voce modulata, se pensiamo che numerose volte sia nel Purgatorio sia nel Paradiso la ‘dolcezza’ è associata al ‘canto’. Infine, dopo il rimprovero di Catone, le anime lasciano ‘lo canto’ (v. 131). Di solito viene inteso come ‘lasciano il canto di Casella’, come i colombe lasciano l’esca nella similitudine di v. 128 ma ‘canto’ potrebbe esser anche il luogo dove si sono radunate e da cui fuggono verso la costa.

L’episodio è importante perché segna il distacco dalle cose terrene anche positive e tali ambiguità, linguistiche e non solo, non ritorneranno più.

### 2.3 Analisi semasiologica di ‘canto’

L’analisi semasiologica parte da due forme base omonime, canto ‘angolo, lato’ e canto ‘melodia vocale’. Si svilupperà solamente la rete che muove dal secondo termine:



### 2.4 Derivati di ‘canto’: *cantilena*, *canzone* e *cantica*

Tra i derivati da ‘canto’ occorrono *cantilena* e *canzone*.  
‘Cantilena’ è un *hapax* nella Divina Commedia:

(70) Rispuose alla divina **cantilena** / da tutte le parti la beata corte (Pd. 32, 97-8).

Secondo l'ED (s.v. *cantilena*) il termine è usato a proposito dei canti liturgici, e così può ben esser in (69), dove è riferito all'*Ave Maria* intonata dall'arcangelo Gabriele (*Pd.* 32, 95). Considerato, però, che si tratta di un *hapax* e che occorre nel Paradiso dove i canti sono generalmente liturgici, il valore può semplicemente esser quello di 'canto'.

#### 2.4.1 *Canzone e cantica*

Il lessema 'canzone' è usato tre volte nella Divina Commedia, due volte con il valore di 'canto' o di 'parole cantate':

(2) 'Volgi, Beatrice, volgi li occhi santi' / era la sua **canzone**, 'al tuo fedele' (*Pg.* 31, 134),

dove è riferito al 'caribo' di (1) e

(71) con più dolce **canzone** e più profonda (*Pg.* 32, 90).

Mai è usato nel senso tecnico con cui si riferisce "alla composizione di parole armonizzate con arte e non alla musica" come teorizzato da Dante (ED: s.v. *canzone*) e come occorre nella prima attestazione italiana, dell'inizio del XIII sec. 'componimento poetico' (DELI: s.v. *canzone*).

Nella terza occorrenza,

(66) e dar matera al ventesimo canto / della prima **canzon** (*If.* 20, 2-3),

Dante usa 'canzon' per 'cantica', in maniera strana secondo Raffaello Monterosso (ED: s.v. *canzone*) perché la canzone era per il Poeta propria della poesia tragica mentre qui indica la "poesia comica per eccellenza". 'Cantica' invece è usato solo in

(72) a questa **cantica seconda** (*Pg.* 33, 140).

Si tratta di un *hapax*, e in fondo anche questo è strano se pensiamo che è il termine tecnico, come Dante esplicita nell'Epistola a Cangrande della Scala: "totum opus dividitur in tres canticas [...]; quilibet cantica dividitur cantus [...]; quilibet cantus dividitur in versus" (*Epist.* XIII, 26)<sup>27</sup>.

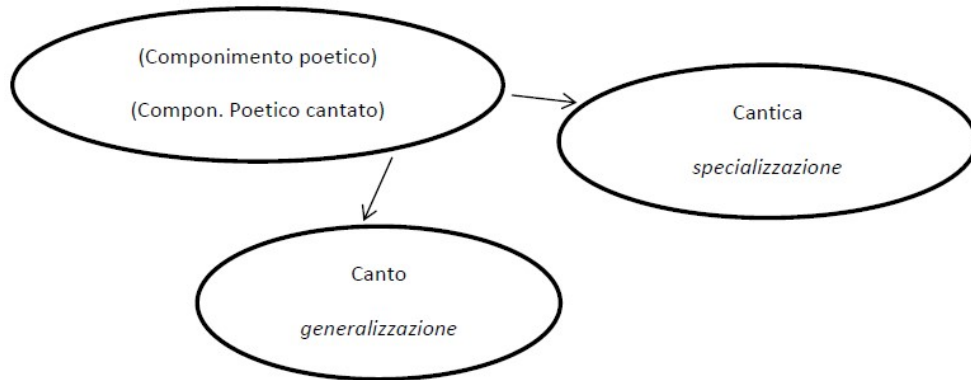
#### 2.4.2 *Analisi semasiologica*

L'analisi semasiologica è condotta solo su 'canzone', dal momento che 'cantilena' e 'cantica' sono *hapax*. Non è facile individuare il significato originario nella misura in cui l'etimologia di 'canzone', che deriva senz'altro da lat. *cantione(m)* (DELI: s.v.), non ci dice molto perché il verbo lat. *cano* ha già il

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<sup>27</sup> Citato secondo Sapegno, *If.* (221: nota a v.2).

valore di ‘cantare detto dei poeti’ (2.2.), e Dante teorizza la ‘canzone’ come componimento poetico tragico (2.3.1.). La proposta è di partire da ‘canzone’ con due significati allo stesso livello e di far partire il valore di ‘cantica’ da ‘componimento poetico’:



### 3. Melodia e sinfonia

Secondo R. Monterosso, in Dante il termine ‘melodia’ o ‘melode’, rispetto al significato attuale di “canto principale” assume un valore “ora più generico ora più delimitato” (ED: s.v. *melodia*; citato anche in DELI: s.v. *Melodia*). Il valore generico di ‘canto’ (o ‘musica’ secondo Monterosso) ha in

(73) E una **melodia** dolce correva / correva per l’aere luminoso (Pg. 29,22)

(74) Qualunque **melodia** più dolce sona / qua giù e più a sé l’anima tira, / parrebbe nube che squarciata tona, / comparata al sonar di quella lira / onde si coronava il bel zafiro (Pd. 97-102).

La valenza di ‘canto corale’ ha il lessema in

(75) tre volte era cantato da ciascuno / di quelli spirti con tal **melodia** (Pd. 31-2)

(76) accogliea per la croce una **melode** / che mi rapiva, senza intender l’inno (Pd. 122-3)

(77) nella **melode** che là su si canta (Pd. 24, 114).

Valore più tecnico di ‘componimento polifonico a tre voci’ (Monterosso in ED: *cit.*) avrebbe ‘melode’ in

(78) puntualmente ‘Osanna’ sberna / con tre **melode**, che suonano in tree / ordini di letizia (Pd. 28, 119-20),

mentre in

(79) Così la circolata **melodia** / si sigillava (Pd. 23, 109-10)

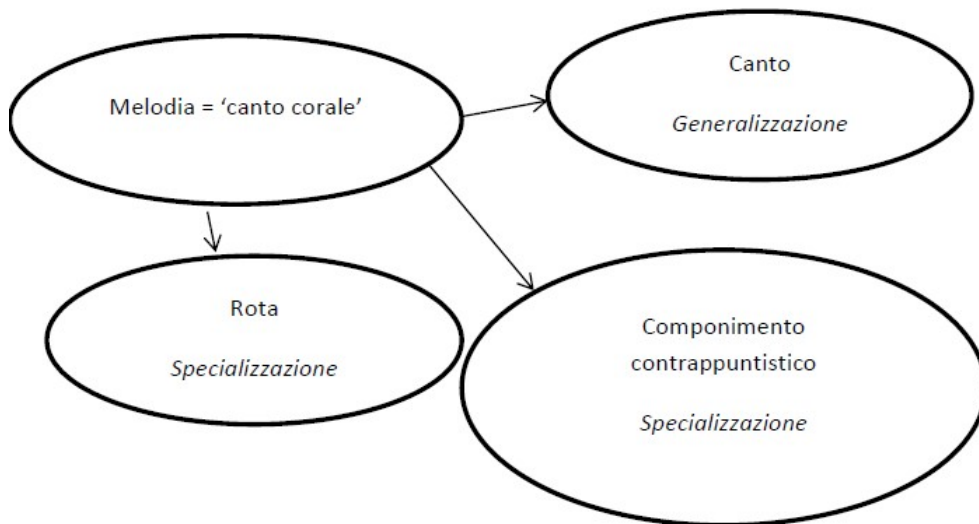
la ‘circolata melodia’ sarebbe una “forma di contrappunto che nel Medioevo aveva il nome di ‘rota’ (Monterosso in ED: *cit.*).

Il canto, dunque, è soprattutto corale, come è dimostrato dall’uso di ‘sinfonia’ in senso etimologico (DELI: *s.v.*): ‘con-suono’:

(80) e di’ perché si tace in questa rota / la dolce **sinfonia** di paradiso / che giù per l’altre suona si divota (Pd. 21, 58-60).

### 3.1 Analisi semasiologica di ‘melodia/melode’

Per l’analisi semasiologica la proposta è di partire da ‘melodia’ come ‘canto corale’ con generalizzazioni e specializzazioni.



### 4. Suon/ suono/sono

Si analizzeranno solo le occorrenze del nome e non quelle del verbo, per ragioni di spazio. ‘Suono’ è usato in senso letterale generico in:

(81) La novità del **suono** e 'l grande lume (Pd. 1, 82),



come ‘suono’ di strumenti in

- (82) di qua dal **suon** de l'angelica tromba (*If.* 6, 95)
- (83) e ‘*Te Deum laudamus*’ mi pareo / udire in voce mista al dolce **suono** (*Pg.* 9, 140-1)
- (10) E come **suono** al collo de la cetra / prende sua forma, e si com'al pertugio / della sampogna vento che penetra (*Pd.* 20, 22-4),

come ‘suono’ di parole in

- (84) puose fine al lagrimabil **suono** (*If.* 6, 76) (riferito alla profezia di Ciacco)
- (85) nel **suon** delle parole maladette (*If.* 8, 95)
- (86) Subitamente questo **suono** uscio (*If.* 10, 28) (riferito alle prime parole di Farinata)
- (87) lo **suon** de le parole vere espresse (*If.* 19, 123)
- (88) per un confuso **suon** che fuor n'uscio (*If.* 27, 6)
- (89) Al **suon** di lei ciascun di noi si torse (*Pg.* 4, 100) (cioè: al suono della voce di quello che si scoprirà esser di Belacqua)
- (90) Li occhi rivolsi al **suon** di questo motto (*Pg.* 5, 7)
- (91) quando mi volsi al **suon** del nome mio (*Pg.* 30, 62)
- (92) avvenne a me, che senza intero **sono** / incominciai (*Pg.* 33, 28)
- (93) con Amiclate, al **suon** de la sua voce (*Pd.* 11, 68)
- (94) Io mi rivolsi a l'amoroso **suono** / del mio conforto (*Pd.* 18, 7-8).

Collegati al ‘suono’ delle parole appaiono i valori di ‘discorso’:

- (95) tempo saria corto a tanto **sono** (*If.* 15, 105),

di ‘nome’:

- (96) sol per lo dolce **suon** de la sua terra (*Pg.* 6, 80) (il nome di Mantova fatto da Virgilio colpisce Sordello),

di ‘versetto’ del Vangelo:

- (97) Se mai quel santo evangelico **sono** /che dice ‘Neque nubent’ intendesti (*Pg.* 19, 136-7),

di ‘fama’:

- (98) ch'al fine de la terra il **suono** uscio (*If.* 27, 78).

Ancora, ‘suono’ è usato per i ‘suoni’ della natura:

- (99) che l' **suon** de l'acqua n'era sì vicino (*If.* 16, 92)

(100) che non per vista, ma per **suono** è noto / d'un ruscelletto che quivi discende (*If.* 34, 129-30)

(101) L'acqua», diss'io, «e 'l **suon** de la foresta (*Pg.* 28, 85).

Con l'accezione negativa di 'rumore' occorre 'suono' nell'*Inferno*:

(102) voci alte e fioche, e **suon** di man con elle (*If.* 3, 27)

(103) un fracasso d'un **suon**, pien di spavento (*If.* 9, 65).

Il valore in fondo letterale di 'musica' ha, secondo Sapegno, *Pg.* (2: nota a v.10), 'canto' in:

(104) e qui Calliopè [Musa dell'epica, 'dalla bella voce'] alquanto surga, / seguitando [accompagnando] il mio canto [poetico] con quel **sono** / di cui le Piche sentiro / lo colpo tal, che disperar perdono (*Pg.* 1, 9-12).

Il senso di 'canto' si riscontra in:

(105) sì appressando sé, che 'l dolce **sono** [canto di Matelda]/ veniva a me co' suoi intendimenti (*Pg.* 28, 59-60)

(106) e 'l dolce **suon** per canti era già inteso (*Pg.* 29, 36) (riferito alla 'melodia' di (73))

(107) usciva solo un **suon** di quella image (*Pd.* 19, 21)

(108) si quietò con esso il dolce mischio / che si facea nel **suon** del trino spiro (*Pd.* 25, 131-2).

Il valore di 'tono' ricorre in:

(109) fero un grido di sì alto **suono** (*Pd.* 21, 140).

Infine, a proposito degli esempi "contrari" nel Purgatorio, 'suono' assume il valore di 'significato' in:

(110) ma com'el s'annotta / contrario **suon** prendemo in quella vece ( *Pg.* 20, 101-2)

(111) Lo fren vuol esser del contrario **sono** (*Pg.* 13, 40).

#### 4.1 Analisi semasiologica di 'suono'

L'analisi onomasiologica muove dal fatto che, secondo De Mauro (2000: s.v. *suono*), il termine ha, accanto all'accezione tecnica di "vibrazione prodotta da un corpo soggetto a regolare oscillazione, che si propaga nell'aria o in altri mezzi elastici producendo una sensazione acustica", un significato fondamentale di "sensazione acustica prodotta dalla voce umana, da strumenti musicali o da altri fatti sonori"; di conseguenza si considereranno significati di base quelli indicati nella seconda glossa.



### 5. Analisi onomasiologica di 'musica' e 'canto'

Come già notato all'inizio del lavoro, il termine 'musica' non è attestato nella Divina Commedia ma il significato si trova in altri lessemi.

#### **Analisi onomasiologica di 'musica':**

Livello sovraordinato	(musica), note, suono
Livello subordinato	strumenti musicali

Per quanto riguarda 'canto', è attestato con diversi significati ma il significato si trova pure in altri lessemi.

### Analisi onomasiologica di 'canto':

Livello sovraordinato	canto, lira, corde, note, canzone, suono
Livello subordinato	melodia?

In conclusione, nella Divina Commedia la musica e il canto sono particolarmente presenti. È risultato affascinante entrare nel laboratorio di scrittura del Poeta, notando come allarghi il campo semantico con metafore innovative, come 'note' o antiche come 'canto = voce poetica'.

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## Language at Work to Serve the Right to Defense

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### **Abstract**

*It has been under the United Nations auspices that important international documents were created and brought to public knowledge as far as human rights are concerned. Nowadays, human rights issues continue to be on top of political life agenda, public debates in international organizations and meetings, under the main law systems of protecting human rights and liberties: the European system, the American system and the African one. Thus, under the European system, the Universal Declaration of Human Rights, it is stated in art.11, section 1 that: "Everyone charged with a penal offence has the right to be presumed innocent until proved guilty, according to law in a public trial at which he or she has had all guarantees necessary for defense". In the International Covenant on Civil and Political Rights it is also stated that among other guarantees to a correct defense, "everyone....shall be entitled to: "(f) To have the free assistance of an interpreter if he or she cannot understand or speak the language used in Court". These provisions have been further on consolidated by the European Convention on Human Rights, Protocol 11, art.6, section 3(e), as well as by the Charter of Fundamental Rights in the European Union. The American Convention on Human Rights and the African Charter on Human and Peoples' Rights stipulate similar guarantees. Beyond this wonderful human right, for states to provide for "persons under law scrutiny" with translation and interpretation services as well as with legal support for those who cannot afford to pay for a defender/lawyer, lies an ocean of aspects to be taken into account such as: the offer of translation and interpretation services in each market of the member states and World Wide, the training and awareness of translators/interpreters regarding their obligations and their rights when they provide their services in Courts of Justice, Police Departments, Lawyers' offices, Notaries' offices.*

### **Keywords**

*Court of law, penal code, defense, fair, foreign, human right, interpreter, skills, language, sworn translator, trial.*

### **1. Introduction**

This paper is an attempt to share to as many persons interested as possible the importance of increasing awareness regarding the level of foreign languages undergraduate students, but particularly to master students specializing in Translations and to those for Conference Interpretation concerning their activity unfolded in any legal proceedings that is connected to serving a person's right to defense. In a broad sense, the right to defense includes all rights and procedural rules that enable a person to defend himself/herself against charges that are

brought, to contest the charges, to reveal his/her innocence. To serve the right to a fair trial in all legal proceedings, Police departments, Law Courts, Notaries, Lawyers offices, translators/interpreters switch discourse from formal to informal, as the case may arise, connect people from different cultures and beliefs, comply with laws regulating the profession of legally authorized translator/interpreter or sworn translator, but know little of what legal procedures really imply. Besides, it is expected of them to be unbiased in their translations/interpretations, to be unprejudiced, even headed, detached, honest, objective despite the pressure they work under in Courts of Law, while real criminal offences are known to them mostly from novels and movies. From a historical point of view sworn/authorized translators have been called to serve this principle dating back to Roman times. Since Roman Law, the principle of guaranteeing the right to defense made it clear that: *"nobody - not even slaves – can be trialed without being defended"*. This was considered in Roman days a fair balance between a person's interest and society interests". Nowadays, the right to defense applies to all procedural systems in democratic states. From a geographical point of view, the main international instruments to guarantee the right to defense, the United Nations Charter on Human Rights, The Universal Declaration of Human Rights, International Covenant on Civil and Political Rights, European Convention on Human Rights - Protocol 11, The Charter of Fundamental Rights of the European Union, The African Charter on Human and Peoples' Rights, The American Convention on Human Rights are the legal documents that empower and challenge sworn translators and interpreters worldwide.

## **2. Crossing boundaries to serve the right to defense**

Crossing boundaries is a proper background for the present approach. One main aspect is the fact that in order to serve this Universal human right – the right to defense – the judicial system resorts to translators and or interpreters. But, despite the excellent skills in foreign language translation / interpretation, they are far from being sufficient for people without a proper training in the law field. So the boundaries between education in the legal field and education in the foreign languages (cultures) should be crossed for the purpose of effectively serving the right to defense.

The organization and the effective practice of the profession of sworn or legally authorized translator/interpreter is quite a challenge for linguists. They are people for whom, being basically attracted by and trained under a philological background, built on stimulation, imagination, freedom of thought and of spirit or simply for people who are fluent with languages, but live and have a life experience that is not connected with law provisions and the codes of practice in Courts, translating in Courts of law, Police offices, lawyers' or notaries' offices is a huge challenge. Quite unaware of the restrictions the criminal Code or the Code of Criminal Procedure under which they provide the translation /interpretation service for the purpose of serving the fundamental human right to a fair trial *i.e. in the language that the accused is able to communicate and to understand what he/she is told regarding the incriminating aspects and that the accusations made during the*

*investigation and the legal proceedings*, authorized/sworn translators embark on a task that might endanger their clients' situation, that of the entire Court proceedings and last but not least, their own situation.

If Saint Jerome, translators' patron, "*traduttore -traditore an axiom even nowadays*", advised translators/interpreters to translate meaning by meaning and not word by word, in Courts of law, translators do not enjoy so much freedom. And here comes another aspect of crossing boundaries. The language spoken by judges, lawyers, or prosecutors is somehow foreign language to translators/interpreters since it "communicates" by using specific phrases and concepts, or mere mentions of articles and paragraphs in laws, relevant to judges, prosecutors, lawyers. So, for example, if an interpreter simply mentions to his/her client the law articles the prosecutor and the judge state that he/she infringed, this information without an explanation from the lawyer as to the consequences of the law articles is irrelevant and of no help to the offender. Hence, the fair trial is hardly a fair one, since the offender receives information in a language he/she understands, but that information is bare of legal meaning and thus cannot provide all the arguments in support of his/her defense. Besides, the interpreter appointed to provide services in a penal trial is expected to take into account the cultural/education differences between the accused and the persons who bring accusations, so that without altering meaning, has to translate and also to explain to his/her client in words that he/she understands.

### **3. The right to defense may be infringed by use of untrained "tools"**

Since there are so many and so very different ways to practice and to improve the linguistic competences in order to serve the right to a fair trial all around the world, either by double training (as lawyer and linguist) or by periodically updating the training of sworn/legally authorized linguists in the field criminal code and of the criminal procedure, it might be relevant to take a close look at a Court Decision passed in Romania in 2003.

The example below is a vivid proof of the fact that people trained in one field, *that of foreign languages*, and working as sworn/legally authorized translator /interpreter, under the strict rules of law, may make huge mistakes if they are not trained how to act in performing their communication skills in a strict context. Confidentiality rules that do not allow translators/interpreters to exercise their freedom of speech on matters that they have learnt while being under oath, in Courts of law is quite an issue.

The topic of the Court case<sup>28</sup> was: "*The condition of good professional and social reputation is not fulfilled, when the interpreter or translator publicly makes defamatory statements, even if this takes place during free time, but regard matters that they learnt about in their capacity as interpreter or translator.*"

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<sup>28</sup>The Court Decision nr.3607 of 31<sup>st</sup>, October 2003 of the Administrative Section.

EMTB sued the Ministry of Justice and the Minister of Justice, requesting the annulment of the Order no. 1107/C/14 May 2002 and ordering the defendants jointly to pay the sum of 700 million lei, representing the damage caused by the issue of the disputed administrative act and the payment of the expenses of judgment. The applicant stated that, based on the authorization nr.566/1998, issued under Law no.178/1997, EMTB was authorized by the Ministry of Justice to perform as an interpreter and translator in modern Greek language. Since then and until May 14th, 2002 she had unfolded a good work, she was appreciated both by individuals and by legal entities for services provided including those for national and foreign authorities. By Order nr.1107 /C/ 2002, in keeping with the provisions of article 6 par.(2) of Law no.178/1997 and article 4, paragraph 1, item 22 of the Government Decision no.212/2001, it was ordered that her authorization nr.566/1998, be cancelled and that she ceased to be an authorized translator and interpreter. To the translator's appeal, she was answered by letter nr.1744/N/2002, that the measure was ordered as a result of her behavior as a translator and interpreter of Greek for the Greek detainee P.K.

The applicant claimed that the charges brought against him/her regarding the fact that by his/her public comments on the Greek justice system, he/she had surpassed the limits applicable to the activity for which he/she has been authorized, were unfounded and false. He/she was interpreter for the Greek detainee P.K. and as such he/she was contacted by the Romanian and Greek journalists for an interview, which he/she refused. Only once he/she had a phone conversation in which expressed a personal opinion regarding the offender, which did not take place during his/her exercise of the profession of interpreter for the Greek detainee, but in his/her spare time, and in keeping with the provisions of article 26 section 2, article 29 and article 30 of the Constitution, stating that everyone is entitled to freedom of thought and opinions, guaranteed freedom of conscience and expression. The applicant claimed that the ordered measure took his/her the opportunity to earn a living in keeping with his/her professional training and that he/she was prejudiced both from a moral and a material point of view.

On November 7th, 2002, the applicant stated the injury she had suffered: the monthly income of which she was deprived since May 14th, 2002, was estimated to amount to 10 million lei, as a result of the loans she made in order to cover expenses, the public damage caused for which spent 100 million lei, moral damages evaluated to an amount of 200 million lei, material damages estimated at 100 million lei. The Court of Appeal in Bucharest, the Administrative Section, by means of the Court decision nr.1153 / 28 November 2002, allowed the appeal in part and ordered the cancellation of the Order nr.1107 / C / 14 May 2002, rectified by the Order nr.1527 / 2002, as unlawful. It ordered the Ministry of Justice to pay material damages of 70 million (gains lost for seven months). It rejected the request for payment of attorney fees as unproven and ordered the defendant to 33,000 lei stamp duty.

In order to take this decision, the court held that the contested order is based upon the violation of the provisions of article 6 of the applicant (1) b reported in article (3) b of the Law no. 178 / 1997 regarding authorization and payment of



interpreters and translators, or, the evidence provided did not prove that the applicant did not meet the condition of good professional and social reputation.

The administered documents in question made proof of the interpreter's competence in translation and interpretation, of her knowledge of the Greek language and of the Greek culture, being praised and even congratulated by foreign guests for his/her skills and professional capabilities. The point of view expressed in a telephone conversation is personal, the terms and the expressions used by journalists had nothing to do with the interpreter, and the only document which led to the issuing of the order attacked, was the address issued by the Embassy of Greece, which called for the replacement of the applicant with another translator of the Greek language, but it did not request the cancellation of her authorization in keeping with which she unfolded an activity that ensured that livelihood.

Considering the decision as being ungrounded and illegal, the Ministry of Justice appealed and requested, pursuant to Article 312 paragraph 1, in conjunction with Article 304 Section 9 in the Criminal Procedure Code, the admission, the annulment of the sentence and ultimately the rejection of the translator's action in Court. It was shown that the applicant participated as a translator in the criminal case having as defendant the Greek P.K. and that she made defamatory and unfounded statements in media regarding the Greek police. As a consequence, the Greek Embassy in Bucharest, the Consular Department, asked the Ministry of Justice on 18 April 2002 to replace EMTB with another translator. Negative internal and international publicity made by these statements caused the loss of good reputation for acquiring and maintaining the quality of translator and interpreter authorized by the Ministry of Justice. It illustrated that the material damage case forced upon the Ministry of Justice is wrong, while in 1994 the applicant was not a permanent employee of the Ministry and has not had a stable monthly income. If the court had challenged the illegality of the order, it was required to calculate damages based on sporadic earnings which the applicant would have achieved as a translator and performer, and not according to the eventual situation in which that EMTB might be required translation services, if EMTB were an authorized translator/interpreter.

The appeal was considered to be founded.

EMTB worked as an interpreter and translator for Modern Greek language in keeping with the Order nr.866 / C / 1998 issued by the Ministry of Justice and the authorization nr.566 / 1998.

The person who is authorized as an interpreter and/or translator according to article 3 of Law no.178 / 1997 must fulfill several conditions: to be a Romanian citizen, have no criminal records and to enjoy social and professional reputation, possess bachelor certifying foreign language specialization for which authorization is sought. By May 14<sup>th</sup>2002, the applicant-respondent was authorized by the Ministry of Justice, as an interpreter and translator of Modern Greek language. In this capacity, EMTB participated as a translator in the criminal case having PK as offender. Since EMTB made defamatory and unsubstantiated statements and comments in the media concerning the Greek police, Greek Embassy officially requested the Ministry of Justice EMTB to be replaced by another translator of the Greek language. By Order nr.1107 / C / May 14, 2002, as amended, regarding the

applicant's name, Order nr.1527 / C / 1 July 2002, the Ministry of Justice ordered the termination of the applicant's authorized interpreter and translator and cancelled the Authorization no. 560/1998, invoking failure of compliance with conditions concerning professional and social reputation, a requirement under the provisions of Article 6 (1) b reported in article 3 b of the Law no.178 / 1997 on the authorization and payment of interpreters and translators.

The proof of EMTB failure to address this requirement resulted from the letter of the Greek Embassy in Bucharest, which not only required the replacement of EMTB, but that it mentioned also that EMTB should not be recommended as a certified translator of the Greek language. Even if the statement in question was made by EMTB in the applicant's free time and not during the exercise of translation in Court, it should not be forgotten that the matters EMTB discussed were about aspects were learnt as interpreter for PK. It was admitted to be true that before taking the measure, the applicant has done a commendable service as an interpreter, but the submitted documents related to a period prior to taking the order challenged. The applicant's claim that these discussions should be considered as those of a simple citizen with freedom of thought and freedom to express opinions that cannot be restricted, in keeping with Articles 29 and 30 of the Constitution, cannot be accepted. By means of the negative internal and international publicity made by these statements, was severely challenged the compliance with good reputation condition for acquiring and maintaining the quality of interpreter and translator authorized by the Ministry of Justice, a requirement stipulated by the law. The Court of Justice took the final decision to reject all claims made by EMTB.

#### **4. A pro active attitude towards language at work serves the right to defense**

The purpose of the present chapter is to provide possible solutions to a problem in Romania and probably and some other countries that do not test and do not periodically train translators/interpreters authorized to provide services in the legal system. Due to the fact that the Ministry of Justice in Romania (unlike France, Poland, U.K) does not test legal knowledge before authorizing persons applying for the position of sworn translator/interpreter, and it doesn't periodically train the translators/interpreters granted permanent authorization either, it allows for the emergence of vulnerabilities in providing services that guarantee the right to a fair trial, the right to defense.

The Romanian University provides for master students in specialized texts and translations and to master students in conference interpretation a course on the way the profession of sworn translator/interpreter is organized in keeping with national law and in keeping with the EU legislation regarding translators'/interpreters' legally authorized in a Member State possibilities to provide services in other member states, to open offices and their rights to perform these services in Courts of Law in all member states, under certain national requirements. Besides, the training provided by the Foreign Languages and Literatures Faculty also focuses on explaining master students the principles

governing the major law systems, *the Anglo Saxon and the Romano Germanic one* and the role played by the EU Court of Justice. Another part of the course provides information regarding the ways legal texts must be analyzed and understood. On the one hand, there is a specific grammar of legal texts. For example, regarding the use of gender and number references in legal texts, masculine also implies reference to feminine, singular also means plural. The terms used in law texts are to be understood and interpreted for their main, most widely used meaning and not for their possible, technical secondary meanings. Adjectives are always used together with the nouns they refer to and the adverbs with the verbs. Besides the grammatical interpretation of law texts, students are explained the main principles of legal logic<sup>29</sup> and the ways these principles operate in examples drawn from specific law texts. Last but not least, each course includes examples of court cases in which aspects regarding translation/interpretation services did not comply with the expectations of the legal environment in which they were provided. The course ends with an exam that tests students' understanding of all topics in the course.

### 5. Conclusions

Instead of summarizing all conclusions in the previous chapters, it might be relevant to ask the following question: "*Is it wise to travel in a car driven by a driver without a driving license ?*" There is only one law abiding answer. "*No*".

Nevertheless, life nowadays is too complex to have simple solutions to problems that make the legal system vulnerable. Besides practical examples in which translators/interpreters, due to lack of knowledge of what the legal system means, may cause problems to their clients, to the entire trial procedures and to themselves, things are not going to change, it is quite appropriate to provide them with video examples of the ways work in Member States where translators/interpreters are trained on legal issues before being authorized. One such example might be United Kingdom Police Department that is also in charge of managing a data base of translators/interpreters taking into account the cases they are confronted with due to large number of foreign people in UK. Another aspect that is closer to interpreters' specific activity is the one of training them to work in Courts that use the video conference system for those trials with people arrested in another country that that where the trial takes place.

Probably, for countries that do not take measures of their own to train and periodically evaluate translators and interpreters legally authorized, an EU legislative initiative might bring some immediate changes.

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<sup>29</sup>*A fortiori , Per a contrario, Reductio ad absurdum, A pari.*

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## El léxico de los manuales de ELE editados en Rumanía bajo el comunismo entre adecuación y relevancia

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### **Resumen**

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*En la historia del comunismo rumano, la década de los 70 viene marcada, entre otros, por cierta liberalización y la apertura hacia el Occidente. En este contexto, se editó una serie de manuales de lenguas extranjeras, entre las cuales el español, destinados al alumnado del sistema público y que hacían hincapié en la identidad nacional de los rumanos, los valores comunistas y los logros del Partido único. De esta manera, mediante su contenido temático y el soporte gráfico, dichos manuales, cuyo diseño estaba controlado por el Partido, se convirtieron en un hábil instrumento de propaganda política e ideológica. Nuestro análisis echa un vistazo a estos manuales de ELE y se centra en el léxico y la competencia semántica. Tras investigar el corpus, además del léxico marcado ideológicamente, identificamos una serie de unidades léxicas que no se refieren directamente al universo personal del alumnado y no concuerdan con su edad, intereses o nivel de desarrollo cognitivo. Buena parte de este léxico empleado principalmente por razones ideológicas no pertenece al vocabulario fundamental de español (como L1 o L2) y, por ende, es inadecuado para el nivel del alumnado.*

### **Palabras clave**

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*manuales de ELE, Rumanía, competencia léxico-semántica, léxico, ideología comunista.*

### **1. Introducción**

El manual escolar constituye uno de los recursos didácticos fundamentales y ha sido objeto de investigación desde muchos puntos de vista, entre los cuales mencionamos el de la Didáctica general y de las Didácticas específicas, la Pedagogía, la Psicología y la Psicología educacional, la Sociología, etc. Aún más, el manual interesa, a la vez, al profesorado y al alumnado, a las editoriales y a los autores, al sistema educativo y a las entidades públicas que elaboran los planes curriculares. En el presente estudio, dicho recurso nos interesa desde el punto de vista didáctico empleado como instrumento ideológico de la propaganda comunista. Nos centraremos en los manuales de español como lengua extranjera publicados en Rumanía bajo el régimen comunista y trataremos de analizar la adquisición del léxico<sup>30</sup> y de la competencia semántica desde el punto de vista de la

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<sup>30</sup> Aunque, conceptualmente, se puede hacer la distinción entre los términos *vocabulario* (conjunto de unidades léxicas que un hablante actualiza en el discurso) y *léxico* (el conjunto de vocablos que integran el sistema de la lengua), en este trabajo, los utilizaremos indistintamente.

adecuación y relevancia<sup>31</sup>. Asimismo, nos interesa la manera en la que se realiza la propaganda ideológica.

Entre otras finalidades, a través de esta investigación nos proponemos reflexionar de manera crítica sobre los manuales escolares y su uso en el aula de ELE. Comparando varios contextos educativos del pasado o de otros países, el profesorado y los autores de manuales serán más conscientes del proceso de enseñanza-aprendizaje. Consideramos importante que el profesorado tenga las estrategias y las destrezas necesarias para entender la complejidad de los enfoques y los recursos empleados en el aula y, por consiguiente, seleccionar el material adecuado de acuerdo con las características del alumnado. La investigación en el ámbito de la Didáctica y el contacto inmediato del profesorado con temas relacionados con la enseñanza (lecturas personales, cursos, coloquios, varios encuentros) conducen a una docencia reflexiva y a la mejora del proceso educativo.

A pesar de los cambios surgidos en el ámbito de la Didáctica y de la enseñanza-aprendizaje, el manual sigue siendo un instrumento muy presente en el aula.<sup>32</sup> A lo largo del tiempo, dicho instrumento ha sufrido muchos cambios, que afectaron al soporte gráfico, al contenido, a las estrategias y a los enfoques didácticos utilizados. Se han propuesto incluso manuales digitales, en formato electrónico e interactivos, pero ni siquiera las nuevas tecnologías han podido reemplazar el manual. Igualmente, junto a los planes curriculares, cuyo reflejo son, los manuales funcionan como un documento de referencia en cuanto a los contenidos que se han de enseñar o aprender, dado que contienen las reglas morfosintácticas y el léxico, así como la parte práctica (ejercicios, tareas, aplicaciones, etc.), siguiendo un método (o enfoque) didáctico. Así las cosas, el papel que desempeña el manual es importantísimo y, por su presencia constante en el aula, se convierte en elemento clave de la enseñanza y el aprendizaje.

A continuación, después de discutir la importancia de la competencia léxica en la adquisición de segundas lenguas, nos ocuparemos del tema que nos interesa aquí, es decir, el léxico de los manuales de ELE de Rumanía, editados bajo el comunismo. Presentaremos también, en líneas generales, el contexto en que se publicaron estos manuales y el corpus analizado.

## **2. Consideraciones generales acerca de la enseñanza y la adquisición del léxico**

Como el tema que nos interesa aquí es el léxico, en este apartado presentaremos unos cuantos asuntos relacionados con su adquisición. Junto a la morfosintaxis, el léxico ocupa un lugar fundamental entre los contenidos lingüísticos que se han de adquirir por los aprendices de lenguas. Ya es consabido y evidente que el vocabulario es más que un inventario de unidades sin relación entre ellas. Se trata de una red compleja y amplia, en la que las palabras se vinculan

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<sup>31</sup> Citamos aquí el estudio de Pérez de la Cruz (1997), que analiza el léxico de los manuales de ELE y que nos sirvió de modelo.

<sup>32</sup> Hay estudiosos que hablan de la *ubicuidad* del manual escolar en el aula (Dumbrăvescu 2015: 291-296).

entre sí y gestan otras redes de nivel inferior. El aprendiz, para ser un usuario competente de la lengua, debe manejar una gran cantidad de palabras, entender las relaciones que se establecen entre ellas, el significado y los matices semánticos, el registro, el grado de especialización, etc. Por esa complejidad del vocabulario, su enseñanza y aprendizaje plantean varios problemas de índole cuantitativa y cualitativa. Además, hay que tener en cuenta que la adquisición de la competencia léxico-semántica<sup>33</sup> está estrechamente vinculada a otros factores, así como el nivel lingüístico del alumnado, su edad, profesión, intereses y objetivos personales, todos factores que influyen en el proceso didáctico.

Un gran número de estudiosos hacen hincapié en la competencia léxica y semántica, que a su vez es parte integrante de la competencia lingüística. Michael Lewis (1993, 2000) pone de manifiesto la importancia del léxico y subraya que el progreso lingüístico del aprendiz está en estrecha relación con la cantidad de unidades léxicas que este llega a adquirir. Acerca de la misma competencia léxica, Concha Moreno García (2015: 455) afirma lo siguiente:

*Saber palabras siempre ha sido una prueba de riqueza. Cuantas más palabras conociera una persona, más fácilmente llegaría a dominar una lengua. Incluso en la propia, quienes escuchan a alguien que maneja términos adecuados y lo hace con propiedad y soltura, suelen quedarse admirados.*

El importante papel del léxico en el aprendizaje de idiomas viene enfatizado también en el Marco común europeo de referencia (2002: 149), que funciona como documento fundamental en el ámbito de la enseñanza y el aprendizaje de lenguas extranjeras:

*La riqueza, el alcance y el control del vocabulario son parámetros importantes de la adquisición de la lengua y por ello de la evaluación del dominio de la lengua que tiene el alumno y de la planificación del aprendizaje y la enseñanza de lenguas.*

Concluimos, por tanto, que se trata no solo de un elemento complejo, que nos ayuda a expresar lo pensado, sino también de un factor que da cuenta del nivel lingüístico, importante en la evaluación de los conocimientos. Además, según el Marco común, la adquisición de esa competencia requiere una planificación y selección previa del material léxico, con el fin de facilitar la transparencia y la coherencia didáctica. A su vez, la planificación supone una gradación del léxico no solamente en el caso de las lenguas extranjeras, sino también en el de la lengua materna, dado que de esta manera se facilita el aprendizaje y el progreso lingüístico.

Los estudios desarrollados en el marco del léxico han identificado dieciséis centros de interés prototípicos, que enumeramos a continuación (según Herreros

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<sup>33</sup> Según el *Diccionario de términos clave de ELE*, la competencia léxico-semántica, denominada también léxica o semántica, es parte de la competencia lingüística, de carácter más general.

Marcilla 2014: 461): Partes del cuerpo, La ropa, Partes de la casa, Los muebles de la casa, Comidas y bebidas, Objetos colocados en la mesa para la comida, La cocina, La escuela, Calefacción e iluminación, La ciudad, El campo, Medios de transporte, Trabajos del campo y del jardín, Animales, Juegos y diversiones y Profesiones y oficios. No obstante, a estos centros de interés léxico se pueden añadir otros, según las finalidades de la enseñanza o las características concretas de los aprendices. En la luz de los principios enunciados más arriba y de los resultados de la investigación lingüística, se han establecido varios inventarios de nociones relacionadas con la realidad, presentes en los documentos para la enseñanza de las lenguas extranjeras<sup>34</sup>.

Tal y como decíamos anteriormente, al diseñar los planes curriculares, manuales, unidades didácticas, materiales o actividades, hay que tener en cuenta las particularidades del alumnado (edad, nivel cognitivo y lingüístico, intereses) y establecer, al mismo tiempo, objetivos para la enseñanza-aprendizaje y la evaluación. Si nos dirigimos a alumnos adolescentes, lo importante es que planifiquemos contenidos en conformidad con su universo, los elementos con los que vienen en contacto, pero también su nivel de lengua (principiante, intermedio, avanzado). Otro factor fundamental es el nivel del desarrollo cognitivo del alumnado, puesto que el conocimiento del léxico está estrechamente vinculado al conocimiento del mundo. Si los contenidos enseñados no presentan interés, no se encuentran en su vida diaria o los supera desde el punto de vista cognitivo, puede que el aprendizaje sea afectado. El Marco común trató de establecer no solo objetivos y competencias, sino también contenidos específicos para cada nivel. Por ejemplo, generalmente, a los alumnos de diez años no les interesan la política o las cuestiones económicas, que tal vez no entiendan. Su universo incluye la escuela, los juegos, la casa y la familia. Se trata, por consiguiente, de la adecuación y la relevancia del contenido enseñado, que conllevan a su vez la planificación y la selección del material lingüístico.

Para concluir, la enseñanza del léxico y la adquisición de la competencia léxico-semántica no se limitan a la mera adquisición de lexías. Plantean problemas complejos, vinculados al registro, los sentidos concretos y abstractos, así como toda la red conceptual de sentidos relacionados, etc. El uso de una palabra supone dominar los niveles diatópico, diestrático, diafásico y las reglas pragmáticas, impuestas por la comunicación.

### **3. Contexto político e ideológico de los manuales de ELE: Rumanía bajo el comunismo**

Como el sistema de educación es parte de la sociedad y refleja los cambios que se producen en ella, en este apartado presentaremos en líneas generales el contexto social, político e ideológico en el que se diseñaron y funcionaron como recursos de enseñanza-aprendizaje los manuales de ELE investigados. Con la instauración del comunismo, Rumanía conoció un cambio de paradigma no solo político, sino también ideológico, sociocultural, económico y educativo. Se

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<sup>34</sup> Además del Marco común, véase también el Plan Curricular del Instituto Cervantes.



imponían modificaciones en todos los sectores de la vida, puesto que se intentaba renovar el perfil del ciudadano, como miembro de la nueva sociedad socialista, en el espíritu y los valores morales de la ideología comunista.

Los años 1948-1949 marcaron la reforma radical del sistema educativo rumano, cuyo modelo fue el sistema soviético. El Decreto 175 publicado en el Boletín Oficial del Estado nº 177 del 3 de agosto de 1948 estableció el fundamento legal en el que iba a basarse la reorganización del sistema educativo de Rumanía. Claramente, la escuela, a todos sus niveles, sirvió de instrumento para imponer la ideología del nuevo régimen político, que para conseguir sus objetivos tuvo que imponer unos cuantos cambios esenciales. Entre las primeras medidas, mencionamos la reorganización del profesorado, del plan curricular y, por supuesto, de los manuales. Se apartó el personal docente indeseable, se impusieron otros valores morales, educacionales, culturales y artísticos, acordes con la ideología del Partido único y el ideal de la personalidad multilateralmente desarrollada. Se renunció al estudio de las asignaturas sociales y humanistas, de las lenguas extranjeras, mientras que el ruso se estableció como lengua moderna de estudio obligatorio a partir del cuarto grado de la enseñanza elemental. Aún más, el mismo Decreto impuso el uso del manual único en las escuelas públicas y cabe resaltar que, al principio, los manuales para la enseñanza elemental no fueron más que traducciones de los manuales soviéticos.

Las entidades políticas procuraban incluir al alumnado, así como a todos los ciudadanos, en actividades de grupo con el fin de apartarlos del individualismo, este último siendo algo condenable en la opinión de los comunistas. El individuo tenía que funcionar solamente en grupos y colectividades, para servir a su país y pueblo. Por ello, el Decreto referido establecía organizaciones y actividades extra escolares en las que el alumnado estaba obligado a participar.

Después de esta primera etapa más restrictiva, durante la cual el Partido Comunista Rumano intentó controlar la sociedad rumana completamente, a partir del año 1965, el año de la instauración del régimen de Nicolae Ceaușescu, Rumanía conoce hasta los comienzos de los años 1980 cierta relajación social, una limitación de la influencia soviética y, a la vez, la apertura hacia el Occidente capitalista. A los rumanos se les permite viajar más, aunque principalmente a los países del bloque comunista, se traducen obras de la literatura universal y se publican libros (gramáticas, guías, manuales, diccionarios, etc.), dedicados al aprendizaje de lenguas extranjeras (inglés, alemán, español, italiano), además del ruso.

En este contexto de liberalización, en el sistema educativo público, junto al ruso, se introducen como asignaturas más lenguas modernas. Es el momento cuando aparecen los manuales de segundas lenguas, marcados claro está, por la ideología comunista. El manual escolar, y nos referimos aquí solo al manual dirigido al alumnado del sistema público, tiene un valor intrínseco de documento oficial de política educativa (Dumbrăvescu 2005: 291), puesto que refleja el plan curricular, los objetivos y los ideales del sistema educativo. Como es un recurso didáctico fundamental, el manual se puede convertir fácilmente en elemento de la propaganda política. A pesar de su ideologización, los manuales de lenguas, entre los que los manuales de ELE, constituyen un paso adelante en el ámbito de la

educación y una consecuencia de la apertura política de Rumanía hacia los países capitalistas.

Al igual que todo el sistema educativo, los manuales reflejan la sociedad en que se diseñan y cumplen con los objetivos del sistema. El contexto social y educativo de Rumanía durante el período 1965-1980 viene marcado por cierta liberalización y despegue económico, pero la sociedad continúa anclada en la represión, el control, la censura, la propaganda comunista, en un trasfondo fuertemente ideológico.

#### **4. El corpus analizado**

Sin pretender una labor exhaustiva, para la presente investigación hemos escogido un corpus compuesto por nueve manuales de español como lengua extranjera, editados en Rumanía durante el régimen comunista y dirigidos a los alumnos de las escuelas públicas (11-18 años). Dichos manuales se publicaron entre 1969 y 1981, es decir, en el contexto de la ya citada apertura social, cultural e ideológica. No obstante, cabe decir que el número de los manuales de ELE que se publicaron en Rumanía antes de 1989 es bastante reducido, puesto que para cada grado se utilizaba un manual único, aprobado por las entidades comunistas. Por lo tanto, aunque no hemos tenido en cuenta todos los manuales publicados en aquella época, hemos analizado una parte representativa de ellos. En cuanto a la autoría, enfatizamos que el diseño de todos los manuales utilizados en las escuelas públicas se les otorgaba a profesores rumanos, que enseñaban en las escuelas o las universidades de Rumanía.

#### **5. El léxico de los manuales de ELE bajo el comunismo**

##### **5.1. Consideraciones preliminares**

Generalmente, en los manuales de lenguas extranjeras, el aprendiz viene en contacto con el vocabulario en varios contextos, de manera indirecta, lo cual es la situación más frecuente, o directa, a través de repertorios o listados de palabras. Como una particularidad de los manuales de ELE analizados en nuestro estudio, al final de cada texto a los alumnos se les presentan las palabras desconocidas en tales listados, donde las palabras vienen acompañadas por la traducción correspondiente al rumano<sup>35</sup>. Aún más, al final de todos los manuales hay glosarios bilingües (español-rumano y rumano-español), que incluyen, por orden alfabético y por lecciones, las palabras empleadas a lo largo del manual. Dicho de otra forma, el léxico viene introducido de manera tradicional, estructural y contrastiva.

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<sup>35</sup> Hay que enfatizar que, en su mayoría, los manuales de lenguas extranjeras editados en Rumanía bajo el régimen comunista hacen uso de la lengua materna de los alumnos (el rumano), para explicar no solo las unidades léxicas (vocablos, expresiones), pero también para describir los contenidos gramaticales. Esta peculiaridad puede explicarse por la falta de obras lexicográficas para las lenguas extranjeras (diccionarios bilingües, de uso, explicativos, etc.), lo que ofrece al alumnado unos auxiliares para la mejor comprensión de los textos. Por otro lado, se podría explicar por la intención de fomentar el patriotismo entre los alumnos.

La fuente principal de la que se puede extraer material lingüístico y, en concreto, léxico la constituyen los textos de las lecciones. Estos, además de su contenido ideático, comprenden un vocabulario temático y les sirven a los autores para introducir nuevas unidades léxicas. En el caso de los manuales analizados aquí, los textos se caracterizan por variedad temática, pero al mismo tiempo describen realidades específicas para el período histórico o el régimen político comunista, con el fin de inculcar la ideología y los valores del Partido único. No obstante, los contextos en los que se utiliza el vocabulario son igualmente los ejercicios o los ejemplos que ilustran varios contenidos gramaticales.

Además, hay que distinguir entre el vocabulario meta y el vocabulario contextual. El vocabulario meta se refiere al léxico que se ha de adquirir, a saber, palabras nuevas y desconocidas, presentes en los textos o los listados ya citados, con el fin de fomentar la competencia léxico-semántica del alumnado. A continuación, pasamos a clasificar desde el punto de vista semántico el material léxico extraído.

## 5.2. Clasificación léxico-semántica del material analizado

Tras investigar el corpus, hemos identificado varias categorías de vocablos y giros de palabras que presentan interés para nuestro estudio. Hemos dejado de lado las categorías de léximas que uno podría encontrar en un manual de ELE, no marcado ideológicamente, y nos centramos solo en aquellas unidades léxicas menos esperadas. El criterio fundamental de selección fueron las marcas /+ideológico/ o /+nacional/.

(i) Una primera categoría es la representada por el léxico que se refiere a realidades, instituciones o conceptos específicos de la ideología comunista; entre los cuales citamos: *campamento internacional de pioneros de Cuba, el jefe / el comandante del destacamento (de pioneros), cooperativa agrícola de producción (o la C.A.P.), campesinos cooperadores, las notas de la Internacional, ¡Viva nuestra patria socialista!, compañeritas, trabajo patriótico, grandiosa manifestación del 23 de Agosto, astronautas soviéticos, el Día de la cosecha, camarada profesor, la organización de U.J.C., Partido Comunista Rumano, la Oficina de Turismo para la Juventud, el periódico Chispa (Scînteia).*

La ocurrencia de tales palabras o giros de palabras se explica por el contexto histórico y político en el que aparecen los manuales investigados. El vocabulario y los manuales reflejan la sociedad en la que se emplean.

(ii) La segunda categoría de palabras es la representada por unidades que denominan realidades que no se refieren directamente al universo del aprendiz. Notamos que se emplean muy a menudo palabras pertenecientes al campo semántico de la agricultura y, sobre todo, al campo de la industria (varias ramas, la producción), que constituían la base de la economía comunista. Entre las unidades más representativas, mencionamos: *invernaderos de Codlea, combinado de refinamiento, empresa de automóviles de turismo de Pitești, locomotora, nave de montaje, cinta transportadora, palanca, planes agrozootécnicos, labrar la tierra, tractores y aperos agrícolas, tractorista, ingeniero agrónomo, hojalateros, el*

*combinado químico de Craiova, la fábrica de amoníaco*<sup>36</sup>, *la explotación carbonífera, la cuenca minera, el imponente sistema hidroenergético y de navegación de las Puertas de Hierro, planta gramínea, planta umbelífera, plataforma de horadación marítima, industrialización, el embalse de Vidraru, las turbinas de la central eléctrica.*

Aunque pudieran resultar bastante insólitas por su grado de especialización, estas palabras o giros eran muy comunes en la época, ya que describían la sociedad comunista, su economía en ebullición y exaltaban los logros del Partido Comunista Rumano. Sin embargo, en la mayoría de los casos, dichas referencias especializadas superan los conocimientos extralingüísticos y el nivel de desarrollo cognitivo de los aprendices.

Cabe subrayar que la unidades léxicas reunidas bajo las categorías (i) y (ii), además de su rasgo semántico /+ideológico/, no pertenecen al vocabulario fundamental del español (como lengua extranjera) y resulta menos útil al alumno principiante, sin conocimientos previos, o de nivel intermedio.

(iii) Una tercera categoría de unidades léxicas documentadas es la representada por los nombres propios y palabras que se refieren estrictamente a objetos o conceptos específicos para la cultura rumana (historia, arte, geografía). Incluimos en esta categoría los antropónimos (Ion, Ioana, Răzvan, Mircea, Horia, Șerban, etc.) y los topónimos (Tîrgoviște<sup>37</sup>, Cîmpulung, Năvodari, Sibiu, Făgăraș, Brașov, el barrio Schei). Se mencionan personalidades de la cultura rumana, como por ejemplo Vlad Țepeș, Mihai Viteazul, Constantin Brîncuși, y varios productos culturales rumanos: alfombras de Moldova y Oltenia, cerámica, joyas.

Este carácter nacional y restringido, orientado hacia una sola cultura, la del alumnado, no facilita la comprensión de la diversidad cultural y la educación multi- e intercultural, que, a su vez, conducen a la tolerancia y al respeto a la alteridad.<sup>38</sup> Al alumno rumano de la época que nos ocupa no le faltaba solo el contacto lingüístico, pero también el contacto cultural con el mundo hispánico. Hay que ofrecer a los alumnos la posibilidad de conocer elementos culturales pertenecientes a la comunidad lingüística que utiliza la lengua que se tiene que aprender. Y pensamos en todo tipo de referencias culturales, históricas, geográficas, fechas importantes, personalidades, costumbres, antroponimia, etc.

La presencia abundante de los elementos relativos a lo rumano podría tener unas cuantas explicaciones. Primero, se les proporciona a los alumnos cierta familiaridad con algunos temas, eventos, el espacio geográfico, antroponimia, etc. Sin embargo, consideramos que el propósito fundamental no fue este, sino el de exaltar la cultura nacional, su pasado glorioso y el comunismo. También, en un contexto multicultural e hispanohablante, o en un hipotético encuentro entre un

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<sup>36</sup> Nótese la variedad semántica de algunas series de palabras: *planta*, *fábrica*, *combinado* (~ *químico*, ~ *de refinamiento*), *empresa* (~ *de automóviles*) y las palabras demasiado técnicas, especializadas.

<sup>37</sup> Conservamos las pautas ortográficas de aquella época.

<sup>38</sup> Para más detalles acerca del elemento cultural y su importancia en la adquisición de la competencia intercultural, véase Bran 2015, 2017a y 2017b.

hispanohablante y un rumano, éste sería capaz de describir y explicar a los demás realidades típicas rumanas.

### 5.3. Adquisición de la competencia léxico-semántica

Tras analizar las palabras que aparecen a lo largo de los manuales de ELE publicados en Rumanía comunista y agruparlas bajo las tres categorías del apartado anterior, describiremos los mecanismos a los que acudieron los autores de manuales para el aprendizaje de dichas lexías. En otras palabras, no nos interesa solo la clasificación del material léxico empleado, sino también la manera en la que se produce la adquisición de la competencia léxico-semántica. En este apartado nos proponemos analizar unos ejercicios que tienen como propósito el aprendizaje del vocabulario, o sea, la competencia léxico-semántica.

Cuando hablamos de la competencia léxico-semántica, podemos distinguir entre dos tipos: la adquisición indirecta, a través de los textos, y la adquisición directa, a través de los repertorios de palabras. Además, para enriquecer el vocabulario de los aprendices, los manuales proponen también una variedad de ejercicios y actividades, de las cuales hemos escogido unos cuantos ejemplos ilustrativos.

*¿Cuál es el significado de la palabra “alcázar”?*

*(Limba spaniolă 1969: 52)*

*II. Buscar sinónimos de las palabras y expresiones siguientes:*

*situar, hallarse, hermoso, ilustre, referente, a profundo. (...)*

*IV. Escribir cinco oraciones con las palabras y las expresiones siguientes:*

*atractivo, surtido, azulejo; dar a conocer; con respecto a; a decir verdad.*

*V. Fórmense por derivación los sustantivos correspondientes a estos adjetivos:*

*grande, rico, bajo, noble, puro, viejo, rápido, pequeño, estrecho, rojo.*

*(Limba spaniolă 1969: 53)*

*Indicar los adjetivos que correspondan a los sustantivos siguientes:*

*independencia, democracia, grandeza, viveza, literatura, riqueza, patria, maravilla, bondad, amor, cuidado, ánimo, precio, cariño, amistad, aceite.*

*(Limba spaniolă 1969: 55)*

Primero, cabe subrayar que los fragmentos citados dan cuenta de la variedad tipológica de los ejercicios propuestos, pero también del enfoque más bien tradicional del manual. Se trata de ejercicios estructurales, mecánicos, que a veces, carecen de la contextualización léxico-semántica de las palabras. En concreto, se les exige a los estudiantes reproducir o crear palabras a partir de unas reglas, prefijos o sufijos. Existen, no obstante, ejercicios que contextualizan las unidades léxicas, fomentando de esta manera su comprensión y adquisición. Por tanto, el *input* recibido por los aprendices, la contextualización, las colocaciones, las relaciones semánticas entre las palabras desempeñan un papel importantísimo.

Las traducciones del rumano al español ocupan un lugar importante entre los ejercicios propuestos. Como ya hemos dicho, la lengua rumana se utiliza predominantemente a lo largo de los manuales: el vocabulario está presentado en

listados bilingües, las explicaciones acerca del contenido gramatical se dan solo en rumano, los ejemplos se traducen siempre. No es inusual que, en los ejercicios, se proporcione entre paréntesis la traducción al rumano de algunas palabras nuevas para la mejor comprensión por parte de los alumnos. Reproducimos a continuación unos cuantos ejemplos:

*¿Qué solía (a obișnui) contar la viejecita a los viajeros?*  
(Limba spaniolă 1969: 48)

*¿Por qué le dan el apodo (porecla) “Mañicas”?*  
(Limba spaniolă 1969: 73)

Se da también la siguiente situación. Los enunciados que se han de traducir incluyen a veces palabras o giros entre paréntesis, tal y como sucede en estos ejemplos:

*Dacă vei citi zilnic ziarele, vei fi la curent (estar al corriente de) cu toate știrile.  
Dacă învățam mai bine, reușeam la acest examen (aprobar un examen, pasar ~),  
iar el ar fi trecut clasa dacă nu ar fi fost bolnav.*  
(Limba spaniolă 1969: 66)

El uso, diríamos controlado y limitado, de L1 en el aula o en los materiales didácticos (manuales, fichas, etc.) puede tener algunas ventajas, si los contenidos se presentan de manera contrastiva, por ejemplo. No obstante, consideramos que si el uso de L1 y L2 es desproporcionado, o sea, la lengua materna prevalece, esto puede conducir a varias interferencias entre las dos lenguas. Además, no se ofrece al alumnado la posibilidad de inmersión lingüística adecuada.

En resumen, en los manuales que nos ocupan, a pesar de cierta variedad tipológica de los ejercicios, la adquisición de la competencia léxico-semántica sigue las pautas didácticas de aquel entonces. Concretamente, nos referimos los ejercicios estructurales, mecánicos, que se centran más en el contenido gramatical o léxico y no en el alumno, en sus necesidades o en el aprendizaje natural de la lengua, a través de la inmersión lingüística. Igualmente, el uso de la lengua materna puede dañar a veces el proceso de aprendizaje.

#### **5.4. Observaciones**

Tras analizar el corpus, concluimos que destacan dos elementos estrechamente relacionados entre sí. Primeramente, notamos que el objetivo que prevalece en el diseño de los manuales de ELE investigados es uno de índole ideológica: la intención de las autoridades es inculcar al alumnado principios, valores y comportamientos comunistas (prevalencia de lo nacional, el fomento del patriotismo y de la identidad nacional, la exaltación de los logros del Partido Comunista Rumano, la preeminencia de la ideología comunista, etc.). Nuestra segunda observación es que, para lograr este objetivo, se eluden los principios

didácticos que implican la objetividad del proceso de enseñanza-aprendizaje, la selección de la información, etc.

Los dos elementos mencionados vienen reflejados en la planificación del vocabulario y la selección del material léxico y afectan la relevancia y la adecuación de este, para que se alcance el objetivo primordial del Partido: la propaganda. Es importante presentar los logros del Partido Comunista, de la sociedad y economía socialista, enfatizando lo nacional, esto es, la historia gloriosa y el presente en ebullición, para fomentar el patriotismo e inculcar la idea de que el socialismo es el camino correcto. Más concretamente, si los diseñadores de manuales han de presentar algunos acontecimientos históricos, revoluciones, personalidades, etc., acudirán a un vocabulario a veces bastante complicado o inadecuado para el alumnado. Todos los acontecimientos del pasado habían sido solo una preparación para la sociedad comunista, que a su vez estaba construyendo una sociedad igualitaria de nivel superior, o sea, la sociedad socialista. Una visión que enfatiza el desarrollo permanente de la sociedad, bajo la dirección del Partido único y marcado por muchísimos logros económicos.

Hay que decir que una selección del material léxico sí que hay, pero además de los temas de interés didáctico para el alumnado, se incluye una gran cantidad de elementos léxicos marcados /+ideológico/, /+político/ y /+especializado/. Como rasgo general de los manuales comunistas de Rumanía, su contenido temático, los textos, las lecturas suplementarias y el soporte gráfico tenían poco que ver con el universo del alumnado o sus intereses. Lo importante era inculcar a los alumnos los valores comunistas y la formación del nuevo ciudadano de la sociedad socialista.

Los manuales analizados se dirigían a los alumnos rumanos, educados en un ambiente cerrado y marcado ideológicamente, que no habían venido en contacto o habían tenido un contacto mínimo con la cultura española o el mundo hispanohablante. Además, se trata de alumnos principiantes o intermedios, que tienen un nivel desde A1 hasta B1, según el MCER, por lo tanto, su nivel de conocimientos es bastante reducido. A nuestro juzgar, hubiera sido necesario que los autores insistieran en el vocabulario general y fundamental.

Para la adquisición del vocabulario, una de las actividades prácticas predilectas que se proponen son las traducciones del rumano al español o, al revés, del español la rumano. Este método contrastivo de enseñanza pone de manifiesto el interés del sistema educativo de enfatizar lo nacional y la especificidad rumana.

En el ámbito de la enseñanza y el aprendizaje del léxico, para facilitar el progreso lingüístico del alumnado, deberían funcionar tres principios clave: planificación, selección y gradación que, a su vez, se vinculan a los conceptos de relevancia y adecuación del material léxico. En los manuales analizados, a los temas de interés para el alumnado se añaden otros, conforme al interés ideológico y propagandístico del Partido único, reflejando su planificación educacional.

Tras nuestro análisis notamos que la competencia léxico-semántica viene profundamente afectada por lo ideológico y lo nacional, así como la competencia cultural con todos los aspectos que este conlleva. Los demás niveles de la lengua, a saber, la morfología y la sintaxis, no están afectados, dado que entre estos y lo extralingüístico no se establece una relación tan estrecha que en el caso del léxico.

El vocabulario es el elemento más dinámico y flexible de la lengua, que refleja la realidad, las mentalidades, la cultura, los cambios que se producen en la sociedad.

De esta manera, el manual deja de ser solo un instrumento de educación y se convierte en instrumento de manipulación. Podríamos considerar que, según el Partido, el manual y, sobre todo, en nuestro caso particular, el manual de lenguas extranjeras, sea cual sea la lengua enseñada, no tiene como objetivo principal la adquisición de la lengua, sino la manipulación. Las lenguas (extranjeras) son la expresión y portadoras de una cultura, con su ideología, y no era el interés del Partido que los alumnos tuvieran acceso a otras culturas capitalistas.

Es evidente que en los manuales investigados no se emplean solamente palabras marcadas, pero lo que nos hemos propuesto ver es cuáles son las palabras que pueden considerarse menos adecuadas o relevantes para el alumnado, teniendo en cuenta su nivel lingüístico y cognitivo, su edad, su interés y la adquisición de la competencia intercultural.

## **6. Conclusiones**

Una vez más, uno puede notar la medida en la que la sociedad o, más bien, el régimen político que gobierna un país influye en el sistema educativo, en los materiales e instrumentos didácticos a través de los cuales se desarrolla el proceso de enseñanza-aprendizaje. En las sociedades comunistas, tal y como fue el caso de Rumanía hasta el año 1989, la política impone una línea educacional cuyos objetivos tienen que ver más bien con la ideología y la propaganda.

Como se destaca del apartado anterior, los autores seleccionan e incluyen en los manuales cierto tipo de léxico relacionado con el universo social, político, e ideológico comunista. Por un lado, esto puede considerarse adecuado, puesto que los alumnos serán individuos adultos que formarán la sociedad (comunista, marcada ideológicamente). Aquel era el discurso típico de la sociedad rumana en aquel período, a aquellas realidades extralingüísticas se referían los usuarios en sus conversaciones personales o profesionales, aquel era el discurso específico en la tele o en la prensa. Por ende, uno puede decir que el vocabulario utilizado en los manuales escolares resulta adecuado, dado que reflejaba la sociedad en la que funcionaban los instrumentos didácticos investigados aquí. No obstante, si tenemos en cuenta el nivel de conocimientos de los alumnos, su edad o sus intereses, concluimos que el grado de adecuación del léxico empleado que los alumnos tenían que aprender es bastante reducido. La didáctica moderna, así como los logros de la investigación científica contravienen a la inclusión de dicho léxico en los manuales destinados a los alumnos.

Por consiguiente, la reforma de los manuales, utilizados en las escuelas públicas, así como el control de todo lo que se publicaba en Rumanía afectó no solo al proceso de enseñanza-aprendizaje, sino también a la libertad de consciencia o de expresión del individuo. La censura, la intromisión de lo ideológico en la cultura y la educación afecta a la sociedad para generaciones enteras. No se consigue una educación moderna, multicultural, sino una restrictiva, que limita el desarrollo de la personalidad del individuo. Los manuales se convierten de este



modo en un instrumento ideológico del Partido Comunista, mientras que las competencias lingüísticas dejan de prevalecer.

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## Enquête sociolinguistique menée auprès de lycéens. *Le questionnaire*

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### **Résumé**

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*Dans le cadre de notre recherche doctorale, nous analysons les représentations linguistiques des jeunes apprenants roumains sur la langue française et son apprentissage. Dans cet article nous nous proposons de mettre en évidence la première étape de l'enquête sociolinguistique, la pré-enquête. Nous avons conçu un questionnaire, en tenant compte des paramètres considérés pertinents, comme le milieu social, le milieu scolaire, l'histoire personnelle, les attitudes et croyances concernant la France et la langue française. Ensuite nous avons administré ce questionnaire à deux groupes d'apprenants.*

### **Mots-clés**

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*corpus, pré-enquête, représentations linguistiques, questionnaire*

### **1. Introduction**

Notre recherche porte sur les représentations linguistiques du français et de son apprentissage chez les apprenants roumains. Nous avons donc mené une étude de cas en employant des outils d'analyse propres à la sociolinguistique, dans le but d'obtenir des données utiles au développement de ma recherche. Dans l'élaboration du corpus, nous nous sommes servie de trois outils différents : *le questionnaire, l'entretien semi-directif* et *le récit de vie*. La motivation de ce choix est que les résultats ainsi obtenus nous semblent permettre d'accéder aux différentes facettes des représentations d'un point de vue linguistique. Dans cet article, nous parlerons de la rédaction du *questionnaire* en tant qu'outil sociolinguistique. En effet, le *questionnaire* représente le type d'enquête majoritairement employée dans l'observation des représentations en sociolinguistique.

### **2. Le questionnaire dans la recherche scientifique**

Afin d'esquisser les principales méthodes d'enquête, nous nous sommes appuyés sur le manuel *Techniques de recherches sociologique* du professeur Septimiu Chelcea. Ce manuel est conçu pour les étudiants inscrits en II<sup>e</sup> année à la Faculté de Communication et Relations Publiques « David Ogilvy » de SNSPA (Ecole Nationale d'Etudes Politiques et Administratives), mais il est également utile aux étudiants qui font des recherches dans les domaines autres que la sociologie. Nous allons donc présenter dans ce chapitre les principales méthodes et techniques d'investigation de la réalité sociale : *les méthodes d'enquête* (avec les techniques du questionnaire et de l'entretien de recherche), *d'observation*, la

méthode *expérimentale* et celle de *l'analyse des documents*. Les méthodes en question bénéficient de plusieurs techniques de recueils des informations et de leur centralisation.

Qu'il s'agisse d'un sondage d'opinion publique, d'une enquête sociologique ou d'une recherche de terrain, le questionnaire est l'une des techniques fréquemment utilisées dans les sciences socio humaines. Les questionnaires officiels, conçus en tant qu'instruments de recueil des informations, se sont largement répandus. Très souvent, le premier contact avec une institution d'Etat se fait par le remplissage d'un questionnaire. Plusieurs situations de la vie quotidienne comme l'inscription à un concours, se faire embaucher, payer ses impôts etc. imposent le remplissage des questionnaires ou la participation à un entretien. Les données qui en résultent, à part l'intérêt pour l'administration, sont représentatives pour le chercheur de la vie sociale.

Même si au début, cette technique a été utilisée par les ethnographes, le peaufinage technique du questionnaire est le résultat de la collaboration entre les sociologues et les psychologues.

En Roumanie, la tradition des questionnaires remonte à 1878, quand B.P.Haşdeu crée un questionnaire à 400 questions concernant les habitudes juridiques du peuple roumain, la vie sociale, la maison et en 1886 il rédige un second questionnaire qui vise des questions d'ordre linguistique et mythologique. La première enquête basée sur des questionnaires publiée dans la presse écrite date - chez nous - depuis 1900, quand on demande de répondre aux questions suivantes dans la publication *Noua Revistă Română* : 1) Quel œuvre littéraire exprime le mieux, selon vous, le tempérament et les aspirations du peuple roumain ? 2) Quel est le trait de caractère dominant des Roumains ? 3) Quels sont les qualités et les défauts qui nous distinguent des autres nationalités ? 4) C'est quel fait historique qui a fait ressortir le mieux les qualités du peuple roumain ? Les initiateurs de l'enquête, G.Coşbuc, A.Demetrescu, O.Densuşianu et C.Rădulescu-Motru ont créé des questions qui pourraient apparaître même à présent dans les enquêtes concernant l'identité nationale des roumains. Ce sont des questions très actuelles dans les enquêtes sociohumaines.

La population a été familiarisée avec l'administration des questionnaires sous formes de « tests » sur le comportement des individus dans différents magazines. Alors, en Roumanie, après décembre 1989, on se confronte à la vulgarisation d'un procédé important de recueil des informations. Les sociologues encouragent les médias de publier tout questionnaire de recherche avec l'avis d'une institution spécialisée. En même temps, on impose l'utilisation des mathématiques modernes dans la structure des questionnaires, la théorie de l'information, tout comme le respect des rigueurs dans la rédaction des questionnaires pour l'investigation des phénomènes sociaux.

Définir le questionnaire en tant qu'outil dans la recherche scientifique n'est pas toujours facile. La terminologie pose des problèmes aussi : « questionnaire »,

« formulaire », « test », « inventaire », « échelle », « épreuve » etc. Selon R.Mucchielli (1968), le questionnaire « n'est qu'une liste de questions ».

Le questionnaire représente une technique et un instrument d'investigation qui consiste dans un ensemble de questions écrites et, éventuellement, accompagnées par des images, ordonnées de façon logique et psychologique, qui – par l'administration par les opérateurs d'enquête ou l'auto-administration – établit des réponses données par les personnes enquêtées qui vont être enregistrées par écrit. Nous avons donc affaire à une succession de questions ou d'images (photos, dessins) à l'écrit. Mais le sens du terme « questionnaire » est plus large, car il ne s'agit pas seulement de questions mais aussi de stimuli visuels ; les questions et les images jouent le rôle d'indicateurs dans la conception des questionnaires. Leur combinaison et leur succession doivent être logique et psychologique. Le temps constitue l'un des critères essentiels dans l'ordre logique des questions : l'enquêté doit répondre en premier temps aux questions sur le passé, ensuite sur le présent et finalement, sur l'avenir. Un autre critère de rangement des questions est donné par le caractère concret/ abstrait : au début on répond aux questions concrètes et après à celles abstraites. Par rapport au thème, à l'univers de l'enquête, c'est l'ordre logique ou psychologique qui domine.

Une « avalanche » de questions ne couvre pas la problématique de la recherche. On impose une sélection des stimuli par rapport aux hypothèses de la recherche. La valeur du questionnaire est renforcée par la vérification des hypothèses. Même les questions les plus simples sont formulées conformément aux hypothèses déjà établies. Par exemple, la question *D'où achetez-vous du pain ?* comprend l'hypothèse que tous les sujets enquêtés n'achètent pas de pain à la même boulangerie et exclut la supposition que les mêmes sujets font du pain maison. Alors, tout questionnaire a comme point de départ des hypothèses plus ou moins évidentes.

Les questions et les images comprises dans le questionnaire remplissent la fonction de stimuli déclencheurs de comportements verbaux ou non verbaux. Le comportement verbal – c'est-à-dire les réponses aux questions et l'expression verbale déterminées par des stimuli – varient d'un individu à l'autre. Ce comportement est conditionné par des facteurs divers : la personnalité de l'enquêté, le déroulement de l'enquête, la personnalité de l'enquêteur, le thème de l'investigation, la structure du questionnaire, le moment du déroulement de l'enquête etc.

Dans la situation d'auto-administration du questionnaire envoyé par la poste ou du questionnaire type « épreuve écrite », les réponses sont enregistrées par les enquêtés.

Le dosage de l'espace consacré à chaque réponse pose des problèmes d'économie sur *la mise en page*, mais aussi de la liberté de répondre.

Il y a des avantages et des désavantages, dont on cite : dans l'auto-administration il est possible que le sujet ne comprenne pas la question ou qu'on ne puisse pas obtenir des informations complémentaires ; par contre, l'auto-administration augmente le degré de sécurité de l'élaboration des réponses.

L'enregistrement des réponses par les opérateurs surprend aussi le comportement non verbal et économise du temps. L'auto-administration se fait seulement sur un public-cible d'un certain âge et culture.

### 3. La classification des questionnaires

Les questionnaires peuvent être classifiés selon : *le contenu, la forme et le mode d'administration.*

A. Le premier critère de classification des questionnaires selon *le contenu* des données enregistrées vise la qualité des données. On distingue deux types de questionnaires :

- les questionnaires administratifs, concernant les faits objectifs, susceptibles d'être observés et vérifiés (âge, genre, état civil, études, profession etc.) ;
- les questionnaires d'opinion, qui ne peuvent pas être observés de manière directe comme les données factuelles. Par l'intermédiaire de ce type de questionnaires, on peut étudier les attitudes, la motivation et les intérêts, la disposition, les préférences, bref, tout ce qui signifie la psychologie de la personne en cause. Dans l'investigation des phénomènes sociaux (économiques, démographiques, anthropologiques etc.) il ne faut pas se limiter à enregistrer les opinions : premièrement, c'est la réalité objective qui compte, et deuxièmement, c'est sa réflexion dans la conscience des individus.

Le deuxième critère vise la quantité de l'information et ici on en retrouve :

- les questionnaires spéciaux, à un seul thème ;
- les questionnaires « omnibus », à plusieurs thèmes. Ce sont les plus répandus et leur supériorité réside non pas dans leur grande quantité d'informations sur un fait ou un phénomène, mais dans la possibilité de surprendre l'interaction et leur capacité d'influence.

B. Selon *la forme* des questions, des stimuli, on distingue :

- les questionnaires à questions fermées ;
- les questionnaires à questions ouvertes ;
- les questionnaires à questions fermées et ouvertes.

Les questionnaires à questions fermées ou pré-codifiées ne permettent que le choix des réponses fixées antérieurement dans les questionnaires. La liberté du sujet enquêté est réduite, étant donné qu'il faut s'inscrire dans une des catégories préétablies par le chercheur. On prend l'exemple de la question : « Quelle est votre couleur préférée des tissus imprimés ? » 1) bleu, 2) rouge, 3) vert, 4) jaune, 5) marron, 6) violet, 7) orange, 8) blanc, 9) autre couleur. Les recherches ont montré la tendance des gens d'éviter les réponses extrêmes et de choisir plutôt des réponses neutres. Les questionnaires d'opinion contiennent beaucoup de questions fermées. Il y a des chercheurs qui sont en faveur des réponses dichotomiques « oui » - « non », tandis qu'il y a des chercheurs qui choisissent les échelles à quatre possibilités. On se pose la question s'il existe vraiment des questions qui prévoient

des réponses dichotomiques. Non, parce que, à part « oui » et « non », le sujet a toujours le choix de la troisième réponse, « je ne sais pas ». On peut, dans ce cas, parler de questions et réponses pré-codifiées multiples ou des réponses en éventail, questions à choix multiples. Il est possible que la réponse soit comprise dans la question même, comme dans l'exemple : « Hier avez-vous écouté la radio ou hier vous n'avez pas écouté la radio ? » (*question alternative*). Un exemple de *question sélective* est la suivante : « Ecoutez-vous la radio très souvent, souvent, rarement, très rarement ? » Les questions fermées facilitent l'analyse statistique, aident la mémoire de l'enquêté, permettent la construction de plusieurs items, exercent la fonction de « filtre » pour les questions suivantes, renforcent la sécurité de l'enquêté, facilitent l'engagement des personnes dans la situation donnée. Le désavantage est constitué par la suggestibilité que les réponses pré-codifiées comportent.

Les réponses ouvertes, au contraire, donnent une grande liberté d'expression ; il y aura des variations concernant la forme et la longueur des réponses, ce qui rend difficile la codification, mais qui apporte plusieurs informations dans la connaissance d'une population à l'égard de la cohérence logique, de la correction grammaticale, du volume lexical, de la formulation, de la vitesse d'expression et de la capacité à justifier ses choix. Les questions ouvertes permettent à l'enquêteur de recueillir de vastes informations sur les thèmes, sans risque de suggestibilité.

C. Le troisième critère de classification des questionnaires est donné par leur *mode d'administration*. Ainsi, on distingue :

- des questionnaires auto-administrés ;
- des questionnaires administrés par les opérateurs d'enquête.

Les questionnaires auto-administrés supposent l'enregistrement des réponses par les enquêtés mêmes. Les sujets formulent et rédigent leurs réponses. On élimine le filtrage de l'information par une autre personne, l'opérateur d'enquête. Par auto-administration, les enquêtés sont plus enclins à répondre aux questions très personnelles, ils peuvent mieux réfléchir avant de donner leur avis, consulter des documents afin de vérifier les informations partagées. De la catégorie des questionnaires auto-administrés font partie :

- les questionnaires par voie postale ou recours à Internet ;
- les questionnaires publiés dans les journaux ou dans les magazines ;
- les annexes pour diverses marchandises commercialisées.

Selon le nombre de personnes qui répondent en même temps, dans un même espace à un questionnaire, on distingue :

- les questionnaires auto-administrés individuellement (par voie postale ou journaux) ;
- les questionnaires auto-administrés collectivement.

Les questionnaires auto-administrés collectivement sont utilisés surtout dans le milieu scolaire. Par la technique de « l'épreuve écrite », une telle auto-administration peut comprendre 30-50 sujets à la fois. Les psychologues estiment que cette technique rencontre des difficultés – l'influence réciproque, volontaire ou

involontaire des sujets. La personne qui distribue les questionnaires peut, elle aussi, influencer les résultats. On considère que la technique de l'épreuve écrite peut être utilisée généralement dans le milieu scolaire, étant donné la ressemblance de cette démarche aux activités d'apprentissage.

Les questionnaires administrés par des opérateurs d'enquête constituent le mode le plus répandu de recueil des informations, dans les enquêtes et les sondages d'opinion. Les opérateurs d'enquête présentent des atouts comme : assurance de la représentativité de l'échantillon, éclaircissement des questions, enregistrement des données d'observation, réactions spontanées du sujet etc.

Pour éviter toute erreur dans l'administration des questionnaires, il faut bien choisir le moment et le lieu du déroulement de l'entretien, mais aussi la bonne personne qui réalise l'enquête.

L'essai de classification des questionnaires selon le contenu, la forme et le mode d'administration ne doit pas être interprété comme une division rigide ; la même question peut être d'opinion ou factuelle, le même questionnaire peut être interprété en tant que spécial ou omnibus, et il peut être auto-administré ou administré par un opérateur d'enquête. On note, par les questionnaires factuels, ce que nous supposons que le sujet connaît déjà : son nom, son âge, les langues étrangères qu'il parle etc. Par l'intermédiaire des questionnaires d'opinion on enregistre ce que l'individu pense. Parfois c'est difficile de tracer la frontière entre le questionnaire factuel et celui d'opinion ; à la question « Où allez-vous passer vos prochaines vacances ? », aura-t-on une opinion ou une réponse factuelle ? Il est difficile à préciser. Il s'agit d'un mélange de certitudes, souhaits, espoirs et décisions. Une question ou un questionnaire peut être d'opinion ou factuel seulement par rapport à la population dont on administre le questionnaire. En demandant « Quelles sont, selon vous, les conséquences du réchauffement climatique ? », nous allons obtenir juste des opinions de la part des individus qui ne travaillent pas dans le domaine de l'environnement, tandis que les spécialistes nous fourniront des données factuelles.

#### **4. La structure du questionnaire**

Le questionnaire forme un tout dans son ensemble, il est unitaire et formalisé. Un seul changement peut apporter des modifications de l'ensemble, il y a un rapport de subordination entre ses composantes.

Les questions sont de plusieurs types, selon la fonction qu'elles remplissent :

*1) introductives ou de contact ; 2) de passage ; 3) filtre ; 4) bifurquées ; 5) pourquoi ; 6) de contrôle ; 7) d'identification.*

*Les questions introductives* nous introduisent dans « l'ambiance », donnent aux enquêtés le sentiment de confiance en soi-même et en l'enquêteur. La première question évitera les informations personnelles et les aspects compliqués.

*Les questions de passage* marquent dans la structure du questionnaire l'apparition d'une nouvelle classe de questions, concernant un autre problème. Le questionnaire ne consiste pas dans un enchaînement de questions, de stimuli isolés,



mais il s'agit de stimuli inter conditionnées. L'action d'un stimulus de ce type est préparée par l'action du stimulus précédent. Les questions de passage remplissent donc cette fonction.

*Les questions filtre* ont une fonction contraire : elles arrêtent une catégorie d'enquêtés aux questions successives et elles ont en même temps le rôle de contrôle de la qualité des réponses.

Par exemple :

11. La revue X a publié cette année des travaux sur votre entreprise ?

1. Oui
2. Non
3. Je ne sais pas.

(Pour ceux qui ont répondu 1, on passe aux questions 12, 13, 14. Pour ceux qui ont répondu 2 et 3, on passe directement à la question 15)

12. Avez-vous lu ces travaux ? 1. Oui ; 2. Non.

13. Avez-vous été d'accord avec la manière d'exposition des problèmes ? 1. Oui ; 2. Avec quelques réserves ; 3. Non.

14. Considérez-vous que ces travaux ont une contribution à l'amélioration de l'activité dans votre entreprise ?

1. Oui
2. Non
3. Je ne sais pas.

Parfois, il nous intéresse les opinions *pour* ou *contre* des sujets. On construit alors des *questions bifurquées* :

12. D'habitudes vous recourez aux punitions corporelles à votre enfant ?

1. Oui
2. Non

(si votre réponse est « oui », vous passez à la question 13, si votre réponse est « non », vous passez à la question 14).

13. Pourquoi avez-vous recouru aux punitions corporelles à votre enfant ?

14. Pourquoi vous refusez de recourir aux punitions corporelles à votre enfant ?

*Les questions de contrôle* n'apportent pas de nouvelles informations, mais vérifient la fidélité et la consistance de l'opinion exprimée par l'enquêté. Ce type de questions nous rassurent que les sujets ont bien compris le sens des questions.

*Les questions d'identification* se montrent utiles dans l'analyse des réponses du questionnaire. Il s'agit des questions concernant l'âge, le genre, le niveau d'études, la situation professionnelle etc.

Comme on l'a déjà mentionné, les questions dans un questionnaire ne sont pas des stimuli isolés, des éléments indépendants, mais elles se rapportent les unes aux autres, s'influencent réciproquement.

La technique de l'entonnoir (*funneling*) suppose le passage du général vers le particulier. L'enquêté est mis en situation de répondre premièrement à une question générale pour aller vers une question tout à fait particulière.

La technique de l'entonnoir renversé (*reversedfunnelling*) suppose le trajet opposé, du particulier vers le général. De cette façon, le sujet est aidé à répondre à une question qui vise le général.

La mise en page des questionnaires doit répondre à des exigences esthétiques et fonctionnelles à la fois. Dans ce but on a créé des pictogrammes qui facilitent la compréhension et soulignent les éléments essentiels.

### **5. La formulation des questions**

Dans la formulation des questions, il est recommandé d'éviter les négations du type : « N'êtes-vous pas d'accord... ? » / « Ne pensez-vous pas que... ? » et nous sommes encouragés à utiliser des formulations positives : « Êtes-vous d'accord avec... ? / Considérez-vous que... ? »

Afin de protéger, selon l'expression de Goffman, la *face* de l'interviewé on recommande l'utilisation du conditionnel. Ainsi, nous allons poser la question « Aimerez-vous lire le roman *Fiesta* de Hemingway ? » et ceux qui l'ont déjà lu vont répondre « Je l'ai déjà lu. »

On recommande aussi, dans cette démarche, afin de protéger l'estime de soi, mais aussi ses propres opinions et conceptions, la formulation de questions indirectes. L'étude faite par Mason Haire en 1949 sur le café soluble en est un bon exemple. Les questions directes « Qu'est-ce que vous n'aimez pas chez le café soluble ? » ont apporté des réponses stéréotypes « Je n'aime pas le goût. » Mais l'introduction des questions indirectes (« Quelle genre de femmes achètent, selon vous, du café soluble ? », « Quelles sont les raisons pour lesquelles ces femmes achètent le produit ? ») a révélé les images associées au produit en questions. A l'époque, les femmes qui achetaient du café soluble étaient considérées plus fainéantes, moins organisées, plus dépensières, par rapport aux femmes qui préféraient le café traditionnel.

Claude Javeau recommande dans la rédaction des questionnaires l'incorporation des tests psychologiques, inventaires de personnalité, tests de créativité, tests projectifs etc. et l'inclusion d'une échelle type thermomètre.

Les stéréotypes, des jugements évaluatifs envers une personne ou un objet, un concept, dans l'absence d'une expérience directe – constituent une image généralement acceptée sans réflexion par un groupe une personne. On recommande donc, dans la rédaction des questionnaires, d'éviter les stéréotypes qui pourraient influencer les résultats de l'enquête.

Le questionnaire représente un instrument important dans la connaissance et l'organisation de la vie des collectivités humaines.

Ce *questionnaire* comprend l'ensemble des questions qui se rapportent à la première étape, de *pré-enquête*. Premièrement, nous avons dressé une liste des questions portant sur notre thématique. Après la consultation du manuel du professeur SeptimiuChelcea, et particulièrement du chapitre visant l'élaboration des questionnaires, nous avons sélectionné les questions pertinentes et évité les

questions inductrices ou contenant des jugements de valeurs. Nous avons aussi évité les questions négatives.

Le questionnaire présenté ci-dessous est le résultat de nos efforts pour cette première étape de l'enquête :

### **QUESTIONNAIRE**

- 1) *Quel âge avez-vous ?*
  - a) *17 ans*
  - b) *18 ans*
  - c) *19 ans*
  
- 2) *Occupation des parents :*  
.....
  
- 3) *Depuis quand étudiez-vous le français ?*  
.....
  
- 4) *Le français est-il la première langue vivante étudiée à l'école ?*
  - a) *Oui*
  - b) *Non*
  
- 5) *Quelles autres langues étudiez-vous (à l'école ou en dehors de l'école) ?*  
.....
  
- 6) *Depuis combien de temps ?*  
.....
  
- 7) *Où avez-vous commencé l'étude du français ?*
  - a) *À l'école*
  - b) *À la maison*
  - c) *Ailleurs (précisez)*  
.....
  
- 8) *Avez-vous déjà visité la France ?*
  - a) *Oui*
  - b) *Non*
  
- 9) *Si oui, quelle a été la durée de votre séjour ?*  
.....
  
- 10) *Avez-vous des amis avec lesquels vous parlez souvent français ?*
  - a) *Oui*
  - b) *Non*
  
- 11) *Êtes-vous en contact, en ligne, avec des Français ?*
  - a) *Oui*
  - b) *Non*

- 12) *Quels sites/forums francophones visitez-vous ?*  
 .....
- 13) *Suivez-vous les émissions des chaînes de radio ou de télévision françaises ? Lesquelles ?*  
 .....
- 14) *A votre avis, le français est-il une langue utile ?*  
 a) *Oui (si oui, pourquoi ?)*  
 .....  
 b) *Non*
- 15) *A votre avis, le français est-il une langue difficile ?*  
 a) *Oui (si oui, pourquoi ?)*  
 .....  
 b) *Non*
- 16) *Qu'est-ce qui, dans l'étude du français, vous attire le plus ?*  
 a) *La qualité des manuels*  
 b) *La personnalité du professeur*  
 c) *Autre chose (précisez)*  
 .....

## 6. Conclusions

La sociolinguistique est une science de terrain. Dans un premier temps nous avons rédigé et administré le questionnaire pour l'échantillon représentatif, constitué par deux groupes d'apprenants roumains de F.L.E (2017). La pré-enquête a fourni les premiers résultats nous permettant d'identifier le profil des répondants (âge, milieu familial, motivation). Dans un second temps, pendant l'année scolaire 2017-2018, nous avons mené l'enquête proprement-dite avec les deux groupes : *l'entretien semi-directif* et la *biographie linguistique*.

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## La metafora nella Lingua dei Segni

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### **Abstract**

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*L'articolo tratta una caratteristica della lingua dei segni e in particolare della lingua dei segni italiana (LIS): la metaforicità e la conseguente indeterminatezza semantica che un segno può avere. L'oscillazione del significato di una parola nella lingua orale dà luogo al fenomeno della metafora. Lo stesso vale per la lingua italiana dei segni che, influenzata dalla cultura della lingua orale, ne prende e fa proprie le metafore quotidiane; un esempio è l'espressione "parlare a macchinetta" metaforizzata in LIS con "segnare motore" in cui si combinano i quattro parametri formazionali e le espressioni facciali che contribuiscono a rappresentare la metafora. Queste estensioni di senso sono un fatto fisiologico della vita di una lingua usata quotidianamente e servono per una maggiore espressività. La metafora è dunque un meccanismo che struttura l'attività linguistica sia per le lingue vocali sia per le lingue dei segni.*

### **Keywords**

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*lingua, comunicazione, semiotica, persone sorde, cultura, metafora*

### **1. Introduzione**

Questo articolo si propone l'obiettivo di riflettere il lettore su una forma di comunicazione usata quotidianamente in tutto il mondo da quelle persone che sono prive dell'udito: la Lingua dei Segni. Si tratta di una comunicazione ben più complessa della normale gestualità degli udenti, ed è una lingua a tutti gli effetti. È quel sistema linguisticusato da persone "che vivono nel silenzio: una lingua non semplice, una grammatica articolata e un'espressione per lo più facciale destinata a far comprendere, oltre alle singole parole, le emozioni che solo così possono essere comunicate da chi, per vari motivi, vive privo dell'udito" e talvolta anche della parola (Spagnolo, 2014: 133). La "Lingua Italiana dei Segni" è un sistema linguistico come quello della lingua orale, ma con una modalità di comunicazione completamente diversa: la lingua orale utilizza il canale acustico-articolatorio, la lingua dei segni, invece, visivo-gestuale. Il principale adattamento che richiedono le lingue dei segni consiste nel sostituire i tratti distintivi dell'articolazione vocale con tratti distintivi dell'articolazione manuale e facciale. Inoltre questa lingua possiede delle caratteristiche peculiari profondamente ancorate alla cultura, ad esempio alcune metafore visive legate alla configurazione delle mani.

## **2. La comunicazione dal punto di vista semiotico**

I modi di comunicare sono numerosi e varie sono le informazioni che si possono trasmettere. La capacità di comunicare è innata ed è frutto di un'esigenza naturale. Gli esseri viventi la possiedono istintivamente e la realizzano in modi diversi, ma sempre mediante segni. (Sensini, 2007)

I segni di cui gli esseri viventi si servono per comunicare sono numerosissimi, per natura e per forma. La semiotica, disciplina che analizza i sistemi verbali e non verbali della comunicazione umana e animale, distingue tre tipi di segni: indici, icone e simboli. Il linguaggio umano spicca tra i sistemi di segni nell'usare tutti e tre i principi di strutturazione, in particolare i segni simbolici. Il più elaborato sistema di segni simbolico è il linguaggio naturale in tutte le sue forme: la forma più universale è il linguaggio parlato, poi si è sviluppata una forma scritta di linguaggio e le persone che sono sorde hanno sviluppato una lingua dei segni che è ampiamente basata su collegamenti convenzionali tra i gesti e i significati. (Saussure, 2015)

La comunicazione non verbale, invece, è quella parte della comunicazione che comprende tutti gli aspetti di uno scambio comunicativo non concernenti il livello puramente semantico del messaggio, ma che riguardano il linguaggio del corpo. La visione comune tende a considerare questo tipo di comunicazione come universalmente comprensibile, al punto da poter trascendere le barriere linguistiche, ma ogni cultura tende a rielaborare in maniera differente i messaggi non verbali. Ciò vuol dire che forme di comunicazione non verbale perfettamente comprensibili per le persone appartenenti ad una determinata cultura, possono invece essere, per chi ha un altro retaggio culturale, assolutamente incomprensibili o addirittura avere un significato opposto a quello che si intendeva trasmettere. L'efficacia di un messaggio dipende, quindi, solamente in minima parte dal significato letterale di ciò che viene detto, e il modo in cui questo messaggio viene percepito è influenzato pesantemente dai fattori di comunicazione non verbale. (Paccagnella, 2004)

## **3. Le proprietà della lingua**

Se intendiamo con il termine *lingua* un sistema di simboli relativamente arbitrari e di regole grammaticali che mutano nel tempo e che i membri di una comunità condividono e usano per scopi diversi per interagire gli uni con gli altri, comunicare le loro idee, emozioni e sentimenti e per trasmettere la loro cultura di generazione in generazione, non c'è dubbio che la comunicazione usata dai sordi sia una lingua. (Caselli, 2006)

Nel momento in cui si afferma che lo statuto delle lingue dei segni è quello di una lingua a tutti gli effetti, bisogna considerare anche altri elementi. Una lingua, in particolare, si differenzia da altri sistemi comunicativi non linguistici, come la pantomima, per il suo alto grado di sistematicità e per la apertura al mutamento nel corso del tempo, nello spazio, e in relazione alle esigenze comunicative dei parlanti. Inoltre ogni lingua è una forma di comunicazione e di azione pervasiva che investe la vita di ciascuno, in ogni momento e in tutte le attività sociali che ci caratterizzano. (Russo Cardona; Volterra, 2017)

Il modo in cui queste proprietà si realizzano in una lingua dei segni è naturalmente diverso da quello tipico di una lingua vocale, anche perché, nel primo caso, ci si avvale del canale comunicativo visivo-gestuale.

Si prenda in considerazione lo studio condotto da Jakobson sulla metafora e sulla metonimia come meccanismi che strutturano l'attività linguistica e lo studio condotto da Lakoff e Johnson che vede la metafora come meccanismo fondamentale non solo del linguaggio quotidiano, ma anche del nostro stesso funzionamento cognitivo. È praticamente impossibile pensare, e di conseguenza parlare, senza far ricorso a meccanismi metaforici, perché la metafora è lo strumento linguistico che meglio di qualunque altro esprime la nostra interazione col mondo. Di conseguenza, pensiero e linguaggio sono condizionati dalla nostra struttura percettiva e non possono essere disincarnati e privi di metafore. (Lakoff e Johnson, 2004)

#### **4. L'influenza culturale e la metafora**

La teoria della metafora segnata tiene conto del livello sintattico e allo stesso tempo degli aspetti "culturali". Il processo di metaforizzazione in LIS dipende molto dalla visualizzazione degli oggetti rappresentati, cosicché la forma dei segni varia in relazione all'uso delle scelte lessicali e quello dello spazio.

Ogni segno linguistico comporta due modalità di realizzazione: la combinazione e la selezione. Il parlante compie la selezione di determinate entità in *absentia* all'interno del patrimonio linguistico comune a lui e al destinatario, e successivamente le combina in *praesentia*, conformemente alla morfologia e al sistema sintattico della sua lingua. (Bagnara, 2009)

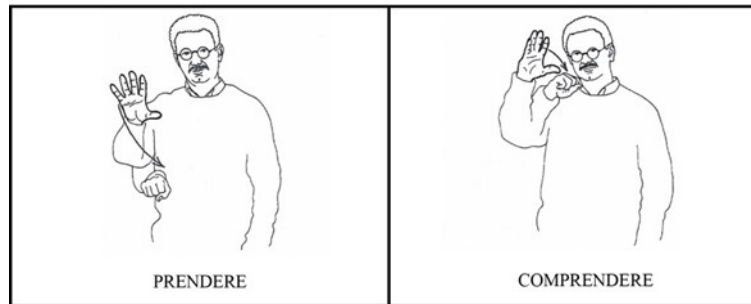
Nel primo momento, il parlante compie una scelta e una sostituzione tra entità alternative che esistono nel codice linguistico, ed essa costituisce la "direttrice metaforica"; la selezione è operata sulla base dell'equivalenza, della similarità, della dissimilarità, della sinonimia e dell'antinomia. Nel secondo momento, il parlante costruisce il messaggio legando i diversi elementi per contiguità (la combinazione è operata sulla base della contiguità) ed essa rappresenta la "direttrice metonimica". Jakobson considera la metonimia come una sostituzione di un termine con un altro che ha con il primo un rapporto di contiguità, mentre ritiene che la metafora si basi su un rapporto analogico, di somiglianza.

La possibilità che il significato di una parola cambi nel tempo, nello spazio e secondo gli usi dei parlanti, dà luogo all'*indeterminatezza semantica*.

L'oscillazione del significato di una parola dà luogo anche al fenomeno della *metafora*, ovvero il caso in cui una parola estende il suo ambito d'uso ad altri in cui di solito non viene adoperata o che richiedono solitamente l'uso di termini diversi. L'estensione metaforica di una parola comporta un particolare modo di guardare all'argomento di cui si parla. Queste estensioni di senso non sono affatto un'eccezione, ma un fatto fisiologico nella vita di una lingua e servono a comprendersi meglio. Certe configurazioni nella LIS conoscono un'estensione semantica per cui segni come PRENDERE e COMPRENDERE condividono una stessa configurazione che, tuttavia, assume significati diversi, uno più letterale e l'altro più metaforico. Questa proprietà si manifesta, con ancora maggiore



evidenza, nel caso delle metafore discorsive. Nelle lingue dei segni, in particolare, la connessione metaforica tra due diversi campi semantici è resa più evidente dalla presenza dell'iconicità discorsiva che mostra un rapporto tra i due significati nella stessa struttura del significante.



Le metafore iconiche segnate mettono in gioco, dunque, delle “immagini” iconiche che accompagnano la metafora e sembrano svolgere un ruolo nei processi di comprensione. (Russo Cardona; Volterra, 2017)

Si prenda in esame la frase italiana “Quando vedo una parola scritta sul foglio è come se scattassi una fotografia mentale che riproduce nella mia mente la parola”. Nel segnare questa frase, il segnante aveva l'intenzione di spiegare le differenze che esistono tra sordi e udenti nel processo di apprendimento della scrittura. In conferenza, egli precedentemente aveva introdotto il tema spiegando che per i bambini udenti l'apprendimento della scrittura (e quindi della lettura) è, in parte, agevolato dalla possibilità di tradurre le lettere in suoni e di riprodurre silenziosamente i movimenti articolatori. Nella frase riportata il conferenziere è passato alla descrizione di quello che avviene quando un bambino sordo impara a leggere: le parole non possono essere analizzate dal bambino in movimenti



articolatori e, dunque, gli si stampano globalmente nella mente come singole immagini. Il bambino se le ricorda sotto forma di immagini mentali. Da qui la creazione di una comparazione non letterale basata sull'immagine della “parola che si stampa nella mente del segnante come se fosse una fotografia”. La metafora innescata potrebbe essere descritta come “fare una fotografia mentale” oppure “memorizzare è fotografare con la mente”, dal momento che il segno RICORDARE in LIS è eseguito nello stesso luogo (la testa).

Si è dunque intuito che sotto un particolare parametro (un luogo, una configurazione, un movimento) si può intravedere una particolare metafora visiva,

che a sua volta può essere comune ad altre lingue dei segni oppure avere caratteristiche della nostra cultura. (Russo Cardona; Volterra, 2017:89-91)

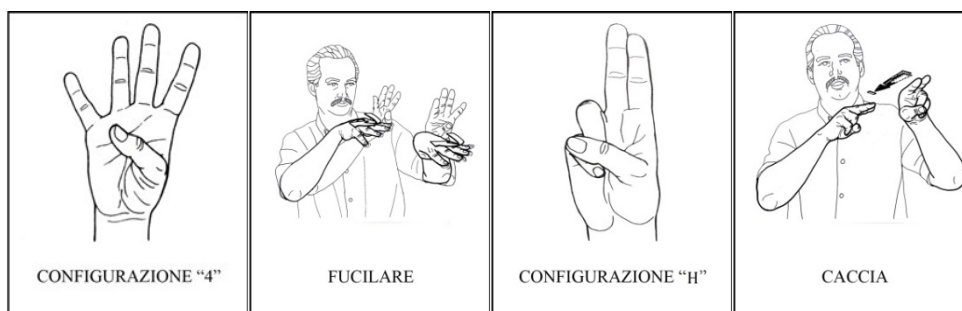
### 5. Metafora in base alla configurazione














Una configurazione molto usata nei segni della LIS è la configurazione 4, con l'indice, il medio, l'anulare e il mignolo estesi.

La metafora visiva di questa configurazione è evidente: quella di oggetti in fila e in parallelo; quindi, la corona del re oppure la carta a quadretti per la matematica, le persone in fila nella fucilazione. È interessante, a questo proposito, notare la differenza tra FUCILAZIONE, dove viene utilizzata la configurazione 4, e CACCIA, dove non ci sono più persone in fila e viene utilizzata la configurazione H; oppure la differenza tra PROCESSIONE e MANIFESTAZIONE, dove il secondo segno è eseguito con la configurazione 5 proprio perché in questo caso non ci sono elementi incolonnati, ma piuttosto l'idea di una folla che avanza in maniera disordinata; la metafora visiva sottostante alla configurazione 5, dove tutte le dita della mano sono estese e aperte, sembra rappresentare una superficie aperta e trasparente attraverso cui possono passare le cose, come nel caso del segno ACQUA e NEBBIA. La metafora visiva non si ritrova necessariamente in tutti i segni, semplicemente è caratteristica di alcuni segni e ci fa l'idea di cosa può rappresentare. Non verrà usata, sicuramente, per rappresentare una superficie chiusa. In questi casi, la mano si chiude nella configurazione B come nel caso dei segni PORTA e CAMERA.

Un'altra configurazione interessante è la configurazione F, che compare in segni come STIPENDIO e CUCIRE, e che rappresenta sempre l'afferramento di un oggetto molto leggero e molto piccolo.

Nella LIS si possono distinguere almeno tre tipi di afferramento: afferramento di un oggetto compatto chiuso (configurazione A con la mano chiusa a pugno); afferramento di un oggetto con una certa consistenza, ma non compatto come l'ombrello, la scopa, il gelato (configurazione T); afferramento di qualcosa di molto leggero, sottile (configurazione F). Si confrontino in questo caso i tre segni REMARE, SCARPE e CALZE. (Volterra, 2004)



			
PROCESSIONE	MANIFESTAZIONE	CONFIGURAZIONE "5"	ACQUA
			
NEBBIA	CONFIGURAZIONE "B"	PORTA	CAMERA
			
CONFIGURAZIONE "F"	FOGLIO	CONFIGURAZIONE "A"	REMARE
			
CONFIGURAZIONE "T"	SCARPE		

## 6. Metafore in base al luogo

Il discorso sulle metafore visive vale anche per quanto riguarda i luoghi dove vengono eseguiti i segni. I segni abitualmente utilizzano il corpo del segnante come luogo di esecuzione oppure lo spazio davanti al segnante, definito spazio neutro.

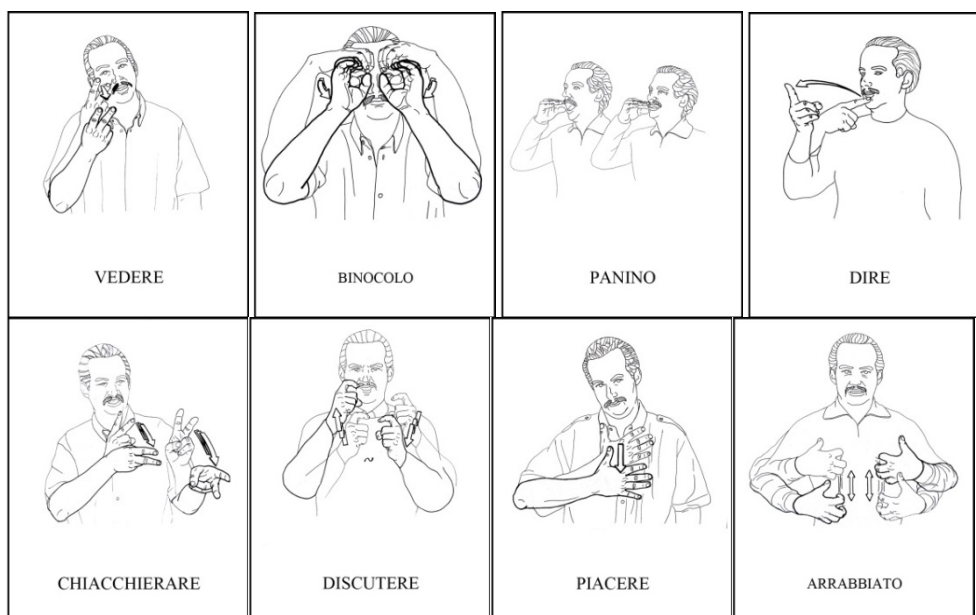
Spesso è possibile rintracciare un rapporto, in qualche modo iconico, tra alcuni segni e il luogo in cui vengono eseguiti.

Si prenda in considerazione, ad esempio, la testa. Molti segni eseguiti sul capo rimandano ad oggetti o insegne che si pongono sul capo, come le penne

dell'indiano o il cappello da vescovo; oppure le attività di pensiero che avvengono nella mente; come si può osservare, una piccola differenza nella configurazione e/o nel movimento cambia il significato, ma il luogo resta sempre la testa.

Un discorso analogo vale per molti segni che vengono eseguiti a contatto o vicino a particolari parti del viso. Ad esempio nella zona degli occhi si trovano segni in relazione con l'attività della vista come nei segni VEDERE e BINOCOLO; Nella zona vicino all'orecchio, si trovano molti segni connessi con la particolare funzione di quest'organo, l'udito.

Anche vicino alla bocca ritroviamo molti segni connessi con l'attività del "mangiare" o del "parlare", come per il segno PANINO e DIRE; ma è interessante che altri verbi, che indicano attività che per gli udenti hanno a che fare con la bocca, nella lingua dei segni si spostano nello spazio neutro come nel caso dei segni CHIACCHIERARE o DISCUTERE. Spostandoci in basso, verso la zona centrale a contatto del petto, si trovano segni per le emozioni e i sentimenti come in PIACERE e ARRABBIATO. (Volterra, 2004)

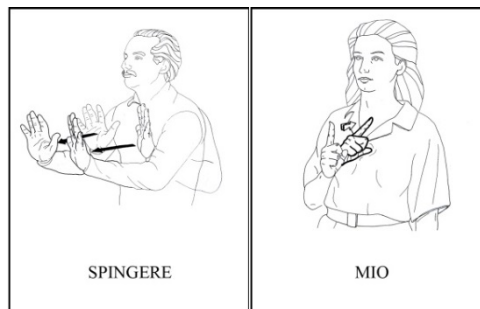


### 7. Metafora in base al movimento e all'orientamento

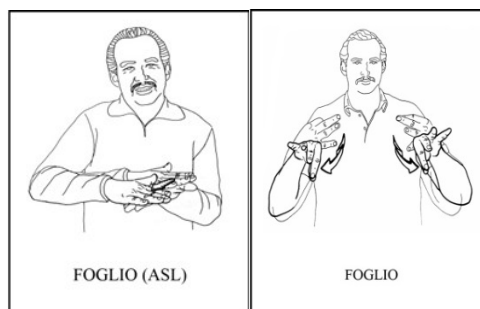
Anche per gli altri due parametri, il movimento e l'orientamento, si applica un concetto analogo. Si rifletta, ad esempio, sui vari tipi di movimenti e orientamenti utilizzati nei segni della LIS. È facile intravedere, sottostante i segni che utilizzano un movimento circolare, l'idea di continuità o ripetitività.

Oppure, per quanto riguarda l'orientamento, il palmo della mano verso l'esterno indica spesso un allontanamento rispetto colui che segna, mentre il palmo orientato verso il segnante ha spesso il significato opposto, come nel caso di SPINGERE e MIO. È importante sottolineare fin d'ora che, comunque, questi collegamenti tra

segno e significato si possono realizzare a posteriori, ma abitualmente chi segna non è consapevole di tali collegamenti. Si può azzardare un paragone con gli utenti di una lingua vocale come l'italiano. Molte persone che parlano correntemente l'italiano non sono coscienti dell'etimologia delle parole che utilizzano, ad esempio dei rapporti con il latino o con altre lingue. (Caselli, 2006)



Il concetto di metafora visiva pone in termini nuovi anche l'aspetto dell'iconicità. Mentre nelle lingue vocali il legame fonema-significato appare del tutto arbitrario, sembrerebbe che nelle lingue dei segni il rapporto parametro-significato non lo sia. In realtà le lingue dei segni sono altrettanto arbitrarie quanto le lingue vocali. Le metafore visive sottostanti alle diverse configurazioni possono variare da lingua a lingua, ma soprattutto resta del tutto arbitrario quale metafora visiva viene scelta per rappresentare uno stesso concetto. Ad esempio, il segno per "foglio" è completamente diverso in ASL e in LIS. In ASL la metafora prescelta è quella di una superficie lineare liscia e compatta, che scivola su un'altra; in LIS, viceversa, la metafora visiva sottostante è quella dell'afferramento e sventolio di un oggetto sottile e leggero. Oppure in LIS, i segni per le attività mentali vengono tutti eseguiti sulla testa, ma sono sottilmente diversi tra loro. In un'altra lingua dei segni sono ugualmente eseguiti vicino alla testa, ma cambiano le configurazioni e i movimenti.



### 8. Metafore nella dimensione diacronica

Va tenuto presente inoltre che molto spesso il rapporto di iconicità si modifica con il tempo, cioè in senso diacronico. (Bertone, 2011)

La ricerca sul cambiamento diacronico ha messo in luce che spesso i segni hanno un'origine iconica, ma nel corso del tempo si trasformano, nel senso che l'esecuzione si abbrevia o in parte si modifica, in modo che la forma diviene più convenzionale e l'iconicità originaria non è più riconoscibile a causa dei cambiamenti storici o culturali che intervengono. È il caso del segno AVVOCATO, presumibilmente collegato agli occhiali *pince-nez* utilizzati spesso nel passato da questi professionisti.

In altri casi, seguendo le trasformazioni del referente, compare un nuovo segno che lentamente si sostituisce al precedente. Ad esempio, per TELEFONO alcuni dizionari riportano sia il vecchio sia il nuovo segno. Nel primo caso il segno è evidentemente collegato al telefono a manovella attualmente scomparso. Altri cambiamenti, che possono verificarsi nel corso del tempo, sono lo spostamento di luogo. Ad esempio, i segni eseguiti nella parte alta del corpo tendono a spostarsi in basso verso lo spazio neutro, come nel caso del segno PADOVA. Oppure segni eseguiti con entrambe le mani vengono eseguiti con una sola mano come nel segno SUORA.

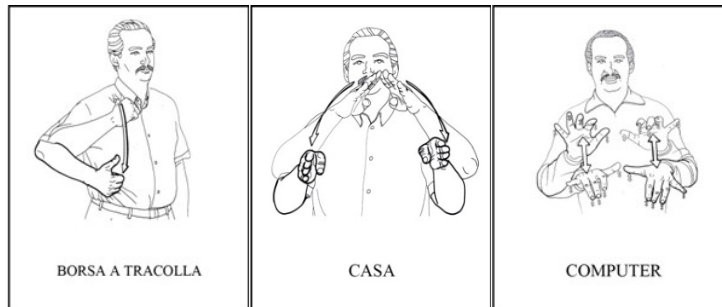


### 9. La metonimia segnata e i segni idiomatici

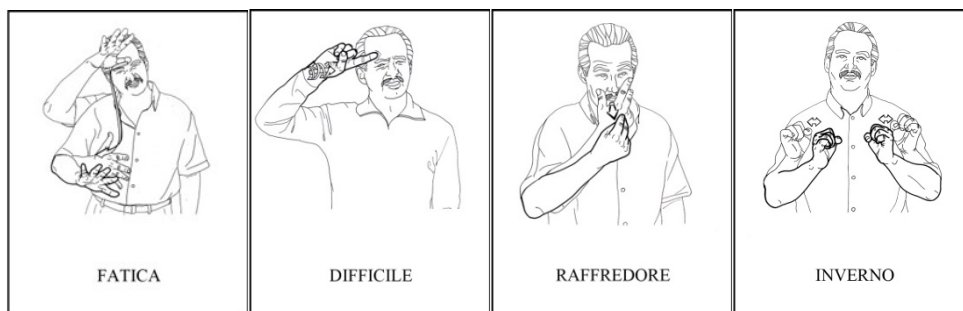
Oltre alla metafora avvengono altri processi come la metonimia che sono comuni anche nella formazione delle parole nelle lingue orali. (Bertone, 2011)

La metonimia, che sta alla base dell'ideazione dei segni, si realizza attraverso più processi: la *sinceddoche*, ad esempio, considera una parte per intendere il tutto. È il

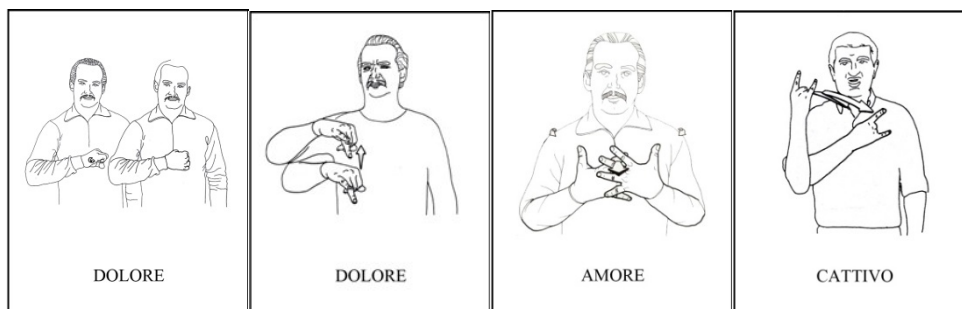
caso del segno BORSA, con il quale ci si riferisce al manico, o del segno TAVOLO che prende in considerazione una superficie piatta e lunga, o ancora del segno CASA che indica il tetto, del segno COMPUTER che indica la tastiera.



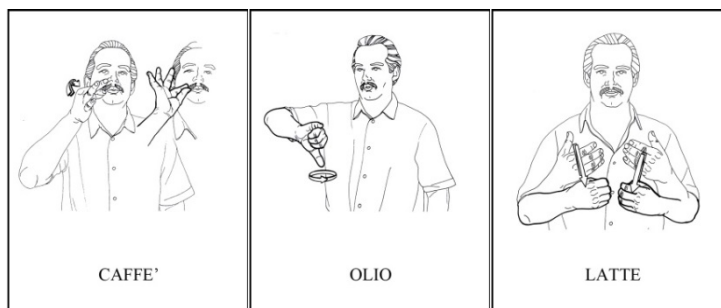
Un altro processo è l'*effetto per la causa*, ad esempio il segno FATICA potrebbe significare 'sudore', come per segnalare che la conseguenza della fatica è il sudore, o il segno DIFFICILE che suggerisce la difficoltà di penetrare nella testa; il segno RAFFREDDORE che suggerisce l'atto di soffiare il naso; il segno INVERNO che suggerisce la sensazione di freddo;



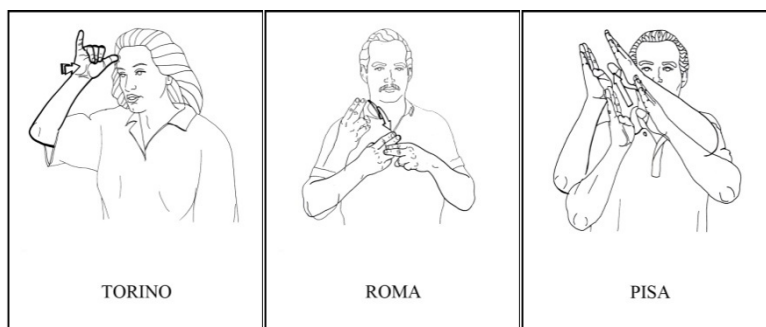
il *concreto per l'astratto*: segni che veicolano idee, sensazioni si manifestano attraverso immagini retoriche che sono attinenti alle sensazioni stesse, ad esempio il segno DOLORE INTIMO rimanda ad un'immagine di una punta (il dito indice) che penetra nel cuore, a differenza del segno che indica DOLORE FISICO per cui i due segni condividono tutti i parametri fonologici eccetto quello del luogo, che per il primo è sul petto, per il secondo invece è nello spazio neutro. Altro esempio è il segno AMORE o PASSIONE che viene eseguito all'altezza del cuore, luogo in cui risiedono i sentimenti per antonomasia; o ancora il segno CATTIVO, la cui configurazione ha una connotazione negativa nella nostra cultura, (solo due dita sono estese e sollevate dal pugno: l'indice e il mignolo) che rimanda alla figura del diavolo, simbolo del male;



il *contenitore per il contenuto*: il segno CAFFÈ, ad esempio, fa riferimento alla tazzina, il segno OLIO fa riferimento alla bottiglia, il segno LATTE fa riferimento alle mammelle della mucca.



Il procedimento metonimico, dunque, individua una caratteristica peculiare della rappresentazione iconografica. Anche i toponimi subiscono un procedimento analogo: i segni di molte città hanno un chiaro riferimento ai loro simboli, come corna del toro per TORINO, le chiavi incrociate per ROMA, la torre pendente per PISA, e così via. (Bertone, 2011)

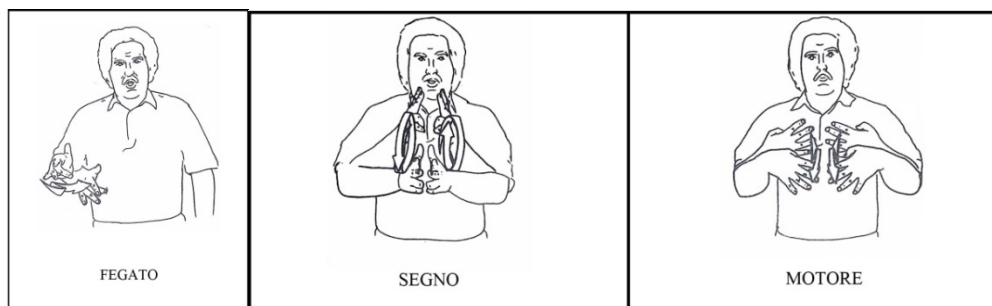


Nella lingua dei segni vi sono inoltre espressioni idiomatiche proprie della cultura sorda che possono aver avuto anche un'influenza dalla lingua italiana (e quindi dalla cultura udente). Un primo esempio è l'espressione "rodarsi il fegato" che viene segnata metaforicamente in LIS con il segno FEGATO, toccando

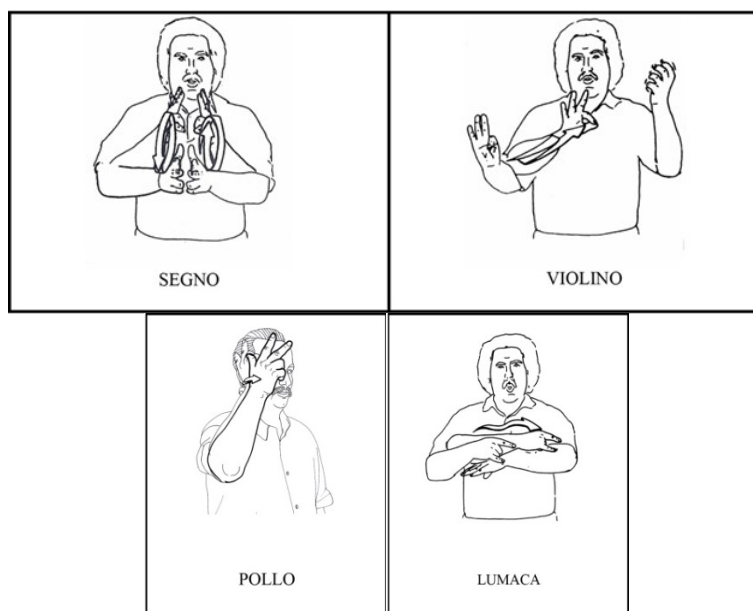


ripetutamente il fianco destro all'altezza del fegato con il dito medio, con un'espressione facciale imbronciata, per esprimere il fastidio per una situazione sfavorevole.

L'espressione *“parlare a macchinetta”*, tipica della cultura udente, è resa in LIS con i segni SEGNO e MOTORE per esprimere una persona che segna continuamente senza mai stancarsi.



L'espressione *“fare una sviolinata a qualcuno”* (fare un sacco di complimenti per avere qualcosa in cambio) è resa in LIS con i segni SEGNO e VIOLINO, richiamando l'espressione della cultura udente, intendendo il segnare con l'intenzione di convincere o adulare; l'espressione *“avere un cervello di gallina”* viene resa con i segni CERVELLO e PICCOLO per intendere una persona poco intelligente, oppure con il segno POLLO davanti la fronte, che si avvicina maggiormente all'espressione della cultura udente. L'espressione *“essere una lumaca”* è ripresa perfettamente anche in LIS usando il segno LUMACA (con indice e mignolo sollevati dal pugno) che viene fatto scorrere sul braccio lentamente. (Romeo, 2008)



## 10. Conclusione

La Lingua dei Segni è preziosissima per i sordi, che naturalmente accrescono la loro capacità ottica, acquisendo anche una maggiore memoria visiva. Basandosi sul fatto che il sordo ragiona per immagini e non per parole come l'udente, si parla di *saliensa visiva*: gli oggetti vengono collocati dal più grande al più piccolo all'interno di una proiezione grafica nello spazio e in seguito ne viene codificata l'azione all'interno della frase. "Ed è per questo che, quando i gesti divengono simboli, si parla di segni" e, più correttamente, di "lingua dei segni". "Tale lingua non può prescindere però dalle espressioni facciali", che sono comunque parte integrante della grammatica, e dalla realtà culturale in cui è inserita (Spagnolo, 2014: 180). Conoscere più a fondo la lingua dei segni potrebbe significare scoprire nuovi aspetti di una realtà (senza tradizione scritta) con contenuti culturali più ampi di quelli già conosciuti ed essere fonte di studio sui complessi rapporti tra mente e linguaggio.

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## **La adquisición del lenguaje económico mediante las técnicas de traducción existente**

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### **Resumen**

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*Cuando un texto pertenece a la terminología económica y se refiere a un tema especializado, yo, como traductora, debo valerme de ciertas habilidades lingüísticas, comunicativas y textuales para comprender plenamente su significado. Luego, mi meta como traductora es establecer cómo ha sido elaborado el texto, en relación con sus características estilísticas, sintácticas y lexicales, como también con sus particularidades semánticas, pragmáticas y semióticas que podrían resultar problemáticas a lo largo del proceso de traducción. Las variantes iniciales de traducción serán revisadas detenidamente para ver si las situaciones de equivalencia encontradas han sido analizadas adecuadamente. Es un requisito obligatorio que un traductor profesional esté siempre al tanto del valor comunicativo del texto económico de la lengua fuente y del equivalente más cercano en el idioma meta.*

### **Palabras clave**

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*idioma meta, lengua fuente, proceso de traducción, técnicas de traducción, terminología económica, traductora.*

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

La traducción, mejor dicho, su tipología, es un tema amplio, ya que existen varios tipos de traducciones, dependiendo del propósito de la traducción, del texto traducido o del enfoque adoptado. Este estudio trata de advertir la importancia de nuestra posición sobre este asunto, con el objetivo de lograr llamar la atención sobre los conceptos operacionales más importantes con los cuales van operando los teóricos, traductólogos y sobre todo los traductores de una obra. Se van definiendo términos como principio de traducción, el método de traducción, la estrategia, la traducción técnica, la traducción del lenguaje económico, la traducción como proceso de traducción, intentando aclarar la relación jerárquica entre ellos. Es sumamente de interés presentar en el presente estudio las contribuciones de unos insignes teóricos e ilustrar algunas técnicas de traducción, un segmento de la traductología menos investigado. Es necesario, en primer lugar, aclarar los conceptos operacionales con los que yo suelo trabajar, vamos a echar un vistazo a la literatura sobre la teoría de los principios, métodos y técnicas de traducción. Nuestra primera observación se refiere a la inconsistencia de la literatura con respecto a la definición de términos como principio, método, estrategia, técnica o proceso de traducción.

## **2. El desarrollo del estudio: La adquisición del lenguaje económico mediante las técnicas de traducción existentes**

El principio de la traducción se define como un principio general que determina el establecimiento de equivalencia interlingüística y se basa en ciertas reglas. (Delisle 2005: 105) He aquí unos cuantos ejemplos de principios de traducción: a) los principios de equivalencia en la traducción se manifiestan a nivel de discurso y no a nivel de la lengua; b) no se traducen palabras, sino sus significados en diversos contextos; c) el texto meta debe transmitir, en la medida de lo posible, la misma información que el texto fuente. Otra definición del concepto sobre los mismos términos, aclara que el principio de la traducción es una ley general de índole normativa que se aplica a la operación de traducir, tras la cual se pueden deducir las reglas de traducción de la categoría: no se traducen las palabras, sino su significado en un contexto. (Lungu Badea 2012: 115) Una estrategia de traducción o método de traducción se refiere a un nivel inmediatamente inferior al principio de la traducción que es un nivel denominado por algunos autores estrategia de traducción, y por otros método de traducción. Según los investigadores, las definiciones de ambos conceptos muestran que, básicamente, se trata de lo mismo. La estrategia de traducción es una estrategia empleada por los traductores según el propósito que tengan con la traducción de un texto dado. Es la estrategia de traducción la que orienta el enfoque general del traductor, con respecto a la traducción de un cierto texto y no se confunde con las decisiones específicas, teniendo en cuenta la aplicación de varios procedimientos de traducción. Según el caso, el traductor puede adoptar una estrategia de adaptación o una de traducción literal, como también cambiar la línea de un texto o transformarlo, según las necesidades específicas de los destinatarios. Para esta última opción podría ser suficiente, por ejemplo, también una versión de traducción bajo la forma de un resumen. (Delisle 2005: 125-126) Las estrategias de traducción van definidas como procedimientos, verbales y nonverbales, conscientes e inconscientes, empleados para resolver las dificultades de traducción y las dificultades con las que tropieza el traductor para mejorar su eficiencia según sus necesidades específicas. (Molina– Hurtado Albir 2002: 507-509) La estrategia de traducción supone varios procesos de traducción empleados por un traductor para conseguir una transferencia de significados, pero también el ambiente cultural en que se produce este efecto, con el fin de revisar la reacción del lector a la que va destinada la traducción del texto fuente. La estrategia pretende elegir los procesos más adecuados, con el fin de transferir el significado inicial. Muchos factores influyen en la elección de la estrategia de traducción: la trayectoria entre la producción y recepción, entre la intención del autor y la intención del traductor y así por el estilo. (Lungu Badea 2012: 135-137) De las estrategias debatidas con respecto a la categoría de traducción científica, se destacan los siguientes procedimientos: 1. el ajuste (teatro, publicidad, divulgación de artículos científicos, obras literarias, programas infantiles, etcetera); 2. la traducción literal o palabra por palabra (centrada en los aspectos específicos de la lengua de origen y la cultura, algo de tradición, costumbres, lo exótico y particular); 3. la traducción

interpretativa o comunicativa, centrada en el lector, que implica algunos que otros artificios, metáforas que van cambiando lo original; 4. la traducción de semántica (es decir, fieles); 5. la traducción cultural o versión; 6. la traducción idiomática (contenido y forma). (Lungu Badea, 2004: 5) Se trata de métodos de traducción definidos como un proceso de traducción que está determinado por ciertos principios teniendo en cuenta el objetivo del traductor y que llenen unas opciones de navegación de imagen global de la historia completa. Los métodos están cambiando según el contexto y el propósito de la traducción. (Molina-Hurtado Albir 2002: 507-509) Se hablase uno de los siguientes métodos: método interpretativo de comunicación (orientado a traducir los significados), dirigiéndose a un método literal (transcodificación lingüística, método libre que permite cambios de los significados comunicativos y categorías), método filológico (traducción de crítica o académico).

Los métodos de traducción empleados son de los más importantes según el propósito del texto: 1. la traducción según el método de palabra por palabra, es decir, mantener el orden de la frase empleando palabra por palabra y usar más el sentido común, incluso si se encuentra fuera del contexto – en este caso las palabras de índole cultural se traducen literalmente y de esta forma resulta muy útil aprender a traducir un texto difícil; 2. la traducción según el método literal, es decir, las palabras se traducen en léxico, por lo tanto, en este caso, es probable que el significado fuese tomado fuera de contexto y es muy útil como traducción, para resaltar los problemas que puedan ocurrir en el texto en el momento de la traducción; 3. la traducción según el método de traducción fiel, es decir, tratando de traducir con precisión el significado del texto original, en el contexto adecuado, dependiendo de las estructuras gramaticales y tratando de ser fiel a la forma del texto; 4. la traducción según el método de traducción semántica, es decir, difiere de la verdadera traducción porque pone más énfasis en el valor estético de la traducción; 5. la traducción según el método de adaptación, es decir, el método de traducción gratuita, se utiliza extensamente en la poesía o en el drama y la traducción se realiza mediante una modalidad de adaptar el texto de un idioma a otro, aunque el significado no sea el mismo; 6. la traducción según el método de traducción libre, es decir, reproducir el contenido original sin tener que mantener la misma forma; 7. la traducción según el método de traducción idiomática, es decir, reproducir el mensaje original, pero distorsionando los matices del significado, dando prioridad a las expresiones idiomáticas y coloquiales; 8. la traducción según el método de traducción comunicativa, es decir, tratando de replicar con exactitud el significado contextual original, para que el contenido y el lenguaje sean fácilmente comprensibles para los lectores. En lo que concierne la aplicación de los procedimientos o técnicas de la traducción, se puede decir que el siguiente nivel sería el nivel de las técnicas o procedimientos. Primeramente, el proceso de traducción es un proceso de transferencia lingüística de elementos pertenecientes al texto fuente, al que, por el momento el traductor hace una referencia cruzada. A diferencia de otras estrategias de traducción, el guía del enfoque global del traductor sobre el texto a traducir, los procedimientos de traducción se refieren sólo a algunos segmentos del texto,

teniendo en cuenta contextos. (Delisle 2005: 106) Son ejemplos de procesos de traducción, como por ejemplo: adaptación, cálculo, indemnización, conversión, creación discursiva, préstamo, perífrasis. El proceso de traducción o transferencia no deberá designar de ninguna manera el empleo deliberado del tiempo traductor de reflexión o la búsqueda de equivalentes. (Badea 2012: 115-116) Algunos ejemplos de procedimientos de traducción son: la trasposición, la modulación, la equivalencia, la adaptación, la compensación, la implícitación, la amplificación, la brevedad. Las técnicas de traducción se definen como sigue: el proceso visible en el resultado de la traducción que se emplea para conseguir, por parte del traductor, la equivalencia de las microunidades textuales. El uso de una técnica en particular resulta ser siempre funcional: dependiendo del tipo de texto, el método de traducción, es decir, la traducción, el método y la finalidad. (Molina-Hurtado Albir 2002:507-509) Acerca de este principio se podría concluir de que la traducción se centra en el enfoque general, es decir, el enfoque del proceso de traducción en general, el método o estrategia apunta a abordar un texto particular a nivel macro-textual (por ejemplo, el traductor usa, en el enfoque general del texto, el método literal o adaptativo), y las técnicas y procedimientos de traducción son aquellas operaciones a nivel micro-textual que apuntan a la adopción de una técnica u otra en micro - traducción (los traductores traducen algunas unidades de traducción por técnica de traducción de cartas u otras) por la técnica de adaptación). Si hay que representar la relación jerárquica entre los conceptos analizados, se vería así: técnicas de traducción >>> métodos de traducción >>> principio de traducción. Los métodos de traducción se extendieron a 22 tipos de procedimientos o técnicas de traducción, a saber: traducción palabra por palabra (cierre traducción) - traducción de palabras, traducción uno-a-uno (traducción cercana) - traducción palabra por palabra (con otro significado), traducción literal (traducción cercana) - traducción literal, a través de traducción - calco, transferencia - transcripción, transliteración - préstamo de transcripción, naturalización - naturalización, sinonimia - sinonimia, transposición - transposición, equivalencia - equivalencia, adaptación (equivalente cultural) - adaptación, traducción reconocida - generalización, equivalente funcional - equivalencia funcional, análisis de componentes - análisis de componentes compensación - compensación, expansión (amplificación) - expansión, equivalente descriptivo - equivalencia descriptiva, paráfrasis - paráfrasis, explicitación - explicativa, reducción (concentración) - concentración, omisión - omisión, implicación - implícito, notas, adiciones, glosas - adiciones o notas. Se habla de una serie de estrategias que los traductores emplean y que todos los profesionales deberían usar para establecer la equivalencia a nivel de palabra; en este sentido se menciona: traducir a través de un término más general, traducir a través de un término neutral / menos expresivo, traducción por sustitución cultural, traducción usando una palabra prestada o más explicación, traducción parafraseada usando un término relacionado, traducción de paráfrasis utilizando palabras no relacionadas, traducción por omisión, traducción por ilustración. (Mona Baker 1992/2006: 26-42). En el volumen "Idiomas en la traducción de las siguientes técnicas de traducción", Klaudy Kinga habla de: operaciones de transferencia léxica - 1. estrechamiento de significado, diferenciación y especificación; 2. expansión de significado o generalización; 3. contracción del significado (contracción de

significados); 4. distribuciones de significado; 5. omisión (omisión de significado u por defecto); 6. adición de significado o explicación; 7. intercambio de significados; 8. traducción antonímica (traducción de antónimos); 9. transformación total; 10. Compensación; pero también de operaciones de transferencia gramatical - 1. Especificación gramatical y generalización; 2. División gramatical; 3. Contracción gramatical (gramática de contracción); 4. Agregación gramatical; 5. Omisión gramatical; 6. Transposiciones gramaticales; 7. Reemplazos gramaticales. (Klaudy Kinga 2003: 102). Las técnicas de traducción van sintetizadas de la siguiente manera: adaptación, amplificación lingüística vs. compresión lingüística, amplificación vs. provocación, cálculo, compensación, creación discursiva, descripción, equivalencia, generalización vs. personalización, modulación, préstamo, sustitución, traducción literal, transposición, variación. (Molina-Hurtado Albir 2002: 509-510) Las técnicas de traducción son: la adaptación, el resumen, el préstamo léxico, la compensación, el cálculo lingüístico, la transposición, la modulación, la equivalencia. Los procedimientos de traducción o traducción lingüística son los siguientes: la adaptación (sinónimo de equivalencia cultural), el cálculo, la compensación, la correspondencia, la equivalencia, la explicación, la implicación, la modulación, la transposición (incluida la nominación), la transcodificación. (Lungu Badea 2004: 5) Existe una clasificación según la cual los procesos fundamentales aplicados por los traductores se clasifican en: procedimientos sintácticos, semánticos y pragmáticos. Los procesos sintácticos incluyen: traducción literal, computación, transposición, procesos de semántica - sinonimia, antonimia, convergencia, paráfrasis y entre los procesos pragmáticos incluimos el filtrado cultural, el cambio de quantum informativo (generalización - materialización). (Rodica Dimitriu 2002: 92) Concluimos que la literatura no tiene una posición uniforme incluso en el asunto la diferenciación de conceptos tales como principio, método, técnica, estrategia, pero también en que se refiere a la cantidad de técnicas de traducción o su nombre. Por ejemplo, algunos autores consideran adaptar un método, mientras que otros lo consideran una técnica de traducción. Algunos hablan de equivalencia como siendo un proceso o técnica de traducción, otros no lo mencionan en absoluto. La inconsistencia está también señalada que la misma técnica llamada de manera diferente por varios autores: adaptación se llama por alguna equivalencia, el cálculo se llama traducción literal y la omisión del ejemplo es considerado por algunos error de traducción, mientras que otros la llaman técnica de traducción<sup>39</sup>. La adaptación o sustitución significa reemplazar el término en el idioma de origen con un término equivalente cultural y funcional del idioma de destino. En general, la adaptación es tanto una estrategia de traducción como una técnica que da prioridad y los temas en el texto fuente, independientemente de la forma en que son tratados, y el resultado de la implementación de eso; en un sentido estricto, es un proceso de traducción que consiste en reemplazar una realidad sociocultural en el idioma de origen a través de un lenguaje específico para la sociocultura del idioma de destino o adaptación - fuente cultural del texto de origen para la intención de la cultura de

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<sup>39</sup><http://www.traduceri-traduzioni.com/ro/recomandari/tehnici-de-traducere.html>



destino. La adaptación se puede lograr a través de diferentes tipos de equivalencia: referencial, dinámica, pragmática, funcional o idiomática. (Lungu Badea 2012: 15-16)

La calcificación es una forma de traducción literal, a través de la cual el traductor traduce una unidad de traducción transponiendo literalmente la sintaxis; a veces es una técnica simple que produce traducciones correctas, aceptadas y del idioma en uso pero a menudo es un error de traducción. El cálculo es un proceso de traducción que consiste en tomar prestado el significante sin significado o en la traducción morfológica o sintáctica de una palabra, un sintagma, o una estructura prestada del idioma fuente y la traducción literal de los elementos componentes. Hay varios tipos de cálcos formales y semánticos. Básicamente, el cálculo es un préstamo de estructura. (Lungu Badea 2012: 31-32) El cálculo es un proceso de traducción que consiste en la transposición literal en el texto meta, de una palabra o elemento o expresión en el texto fuente. La traducción por limpieza significa reintroducir, en otro lugar, en el texto de destino, un elemento informativo que no se pudo representar en el mismo lugar que el texto fuente, compensando así un elemento de pérdida u omisión. Por ejemplo, si un término arcaico se traduce en un término más general, más actual, la pérdida se compensa introduciendo en otro lugar otro término con interpretación arcaica. La compensación es un proceso de traducción que introduce un efecto en el texto metaestilísticamente presente en otra parte del texto fuente, el objetivo es mantener el tono del texto general. Por ejemplo, tutoriales en francés o rumano, que marcan su familiaridad las relaciones entre dos personas están marcadas, en la traducción, por la introducción de algunas formas sintácticas familiares, mediante el uso del nombre de pila, etc. (Delisle 2005: 33-34) La traducción de equivalencia significa cambiar un término del idioma de origen con un término equivalente, con el mismo significado en el idioma de destino. Los términos también se usan como correspondencia de sinónimos, para trascender. La equivalencia significa una relación de identidad establecida en un discurso entre dos unidades de traducción de diferentes idiomas cuya función discursiva es idéntica o casi

idéntica, respectivamente, un proceso de traducción consiste en representar una expresión desde el idioma de origen a través de una expresión acuñada que incluso si se envía a una representación diferente en el idioma de destino, expresa la misma idea. (Delisle 2005: 59-60). La explicitación es la traducción técnica de una palabra en el texto fuente que es explícita en el meta por la adición de un elemento léxico con fines explicativos; deber intratextual que incluye tanto explícitamente (añadiendo una palabra explicativa dentro del texto) y una técnica llamada glosario o usar notas al pie o nota del traductor. La explicitación siempre significa ganancia o distribución de significado, es decir, traducir una palabra con múltiples palabras. La explicitación es un proceso de traducción que consiste en introducir en el texto de destino, para mayor claridad de las explicaciones no formulados en el texto original, pero se libera del contexto de la situación descrita. Se trata de una estrategia para resolver un fenómeno de transferencia, préstamo, cálculo o ayuda equivalente cultural, buscando actualizar el significado pretendido por el autor. (Lungu Badea 2012: 72) La implicitación es lo opuesto a la explicitación, es la técnica por la cual se traducen algunos elementos que se consideran implícitamente

comprendidos, se omiten. La implicación es inmensa y siempre hay restricción y estrechamiento de significado. La implicación es un proceso de traducción que consiste en no formular en el idioma de destino elementos informativos en el texto fuente, estos detalles que surgen del contexto, de la situación supuestamente descrita o extradisciplinaria. (Lungu Badea 2012: 84) Predeterminado significa el resultado de una economía que se obtiene al no formularse explícitamente, en el texto meta, algunos elementos informativos del texto fuente, cuando se me ocurren obviamente desde el contexto o desde la situación descrita y son asumidos por los hablantes del idioma de destino. Por ejemplo, asegúrese de que la plancha esté desenchufada de la toma de corriente antes de llenarla con agua. Desconecte el hierro cada vez antes de llenar el tanque. (Delisle 2005: 74-75) El préstamo es la técnica mediante la cual se toma la forma inalterada en el texto de destino no tramitado de la unidad a traducir desde el texto de origen debido al hecho de que en el idioma de destino no hay un lexema correspondiente. Es el procedimiento de traducción solo en casos aparentes de intraductibilidad. El préstamo es una adaptación fonética, fonológica, morfológica y gramatical de una palabra de un idioma de origen en el idioma de destino. El préstamo no es una traducción pero sí es una forma de enriquecer un idioma. Se convierte en un proceso de traducción si la palabra no tiene equivalente en el idioma de origen. (Lungu Badea 2012: 93) El préstamo es, sin embargo, la traducción que consiste en mantener en el idioma de destino una palabra o expresión perteneciente al idioma de origen y esto, ya sea porque el idioma de destino no tiene un correspondiente léxico; ya sea por razones de orden estilístico o retórico. Otro elemento importante es el hecho de que en el texto traducido, el préstamo está escrito en caracteres rectos o cursivos, como lo es considerado como integrado o no en el lenguaje que tomó prestado. (Delisle 2005: 81)

### **3. Conclusiones**

La traducción es una palabra polisémica y, por lo tanto, tiene varios significados, lo que incumbe tanto el proceso de traducción de un texto de un idioma a otro, la actividad de transposición real y el resultado de esta actividad. Todas las definiciones dadas en el concepto de traducción convergen a estos aspectos. Por lo tanto, la traducción se puede definir como: 1. la operación de traducción; 2. el resultado de esta operación, el producto terminado; 3. la disciplina real, la traducción y el análisis del proceso de traducción y el texto a traducir, sinónimo de algunos traductores con traducción; 4. la traducción como ejercicio de enseñanza y aprendizaje de idiomas, sinónimo de tema y versión, respectivamente. Se distinguen diferentes traducciones: traducción escrita, traducción literal, traducción semántica, traducción pragmática. (Lungu Badea 2012: 150-151) Se podría concluir que la traducción es una operación de transferencia interlingüística que consiste en interpretar un texto fuente y producir un texto meta, logrando una relación de equivalencia entre los dos textos, respetando los parámetros inherentes de comunicación y dentro de las limitaciones impuestas al traductor.

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**◆ LITERATURE AND COMMUNICATION ◆**

## **The Literature of the English Reformation. Historical Background**

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### ***Abstract***

*The English Reformation was alternately initiated, delayed, fostered, reversed, and reshaped by four Tudor monarchs and their ministers. It began with violent severance and ended with an uneasy compromise. When Henry VIII appointed Thomas Cranmer to the archbishopric of Canterbury in 1532 he promoted a man known to be sympathetic to reform. Cranmer was to become the chief instrument of the King's policy for the removal of papal supremacy in England. When the Pope's long sought sanction for the King's divorce was denied, it was Cranmer who annulled Henry's marriage to Catherine of Aragon, and he who crowned Anne Boleyn in her stead in 1533. It was Cranmer who was chiefly responsible for the promulgation of the "Ten Articles" in 1536, the first statement of faith issued by the independent English church, and he who took responsibility for the first official dissemination of the Bible in the English language.*

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### ***Keywords***

*king, promulgation, policy, dissemination, monastic, cathedral, religious communities, abbey, culture, clerical, reinforcement, ecclesiastical policies*

It was however, the King and his Vicar – General, Thomas Cromwell, who set in motion the wholesale dissolution of monasteries between 1536- 1539 who created six bishoprics with cathedrals in defunct abbey churches, and who determined on the destruction of those saints' shrines which had been long centers of pilgrimage- notably, in 1538, that of the early medieval champion of the rights of the church against the Crown, Thomas Becket.

The dissolution of the monasteries led not only to the extinction of traditional religious communities, to the wholesale destruction of their buildings, and to the dispersal of their historic libraries, but also to vast changes in the ownership of the land. The Crown may have felt itself more secure with the power and morale of the Church reduced in proportion to its income, but those who benefited most from the confiscation of monastic, diocesan, and chantry land were laymen, and noblemen and gentlemen in particular.

Some seven thousand monks, nuns, and friars were dispossessed in the mid 1530 s. a great number of male religious took on the duties of the secular clergy,

some ex abbots were appointed to bishoprics or became the heads of the new cathedral chapters, others lived comfortably in retirement as country squires.

The disappearance of the women's communities did, however, leave a hiatus in the development of women's consciousness and culture in England. Despite the traumas caused by the destruction of the greater abbeys and the sporadic local attempts to restore the old order, such as ruthlessly suppressed Pilgrimage of Grace of 1536, later Protestant propaganda fostered a deep and often prurient suspicion of the monastic life which endured until well into the nineteenth century. There was little official mourning for the passing of the religious houses and the culture which had sustained them.

Regardless of the revolutionary nature of his ecclesiastical policies, Henry VIII, who had so stoutly defended the Catholic sacraments against Luther in 1521, remained theologically and liturgically conservative. Under his "Whip with Six Strings", the Act of Six Articles of 1539, denial of transubstantiation became punishable with burning, communion remained in the kind only, and a reinforcement of the principle of clerical celibacy obliged even Archbishop Cranmer to send his secretly acquired wife back to Germany. When Henry died in January 1547, however, his earlier decision to entrust the education of his son to convinced Protestants meant that in the new reign the pace of church reform rapidly accelerated.

By order of Privy Council, images were forcibly removed from churches, clerical marriages were recognized, and further substantial ecclesiastical endowments confiscated by the Crown. The Acts of Parliament against Lollardy and the Act of Six Articles were repealed and in 1549 an Act of Uniformity imposed the English liturgy as set forth in the new Book of Common Prayer on all parish churches and cathedrals. In 1552 this relatively conservative liturgy was revised in order to meet the criticism of prominent continental Protestants who had found a temporary welcome in England. When Edward died in 1553 his Catholic sister and successor, Mary, attempted to undo systematically the reforming zeal of the two previous reigns. Her short attempt to reconcile England to Rome died with her in November 1558.

The reformers of the English Church placed a consistent stress on the use of the vernacular in worship and on the importance of the Holy Scripture in a scholarly translation which freed them from the distortions and inaccuracies of the Latin Vulgate. In both conservative and radical circles there was a need for an English Bible translated directly from its Hebrew and Greek originals. The Great Bible was revised and reissued under Thomas Cromwell's patronage in 1540. This Great Bible was a revision of the work of the several distinct translators, the most important to whom was William Tyndale. His influence on the text of the volume

was both covert and posthumous. Having failed to gain official support for his work he had gone into exile in Germany in 1524.

Tyndale expressed a steady confidence both in the grace of the English language and in the potential propriety of, as he put it, a ploughboy's knowing the Scriptures better than a learned bishop. He pre-empted the charge that his native tongue was an unfit vehicle for a translation of the Bible by insisting in his tract "The Obedience of a Christen man" of 1528. The Hebrew texts, he claimed, could be translated word to word into English. Tyndale's English version is straightforward, homely, unseemly, and often monosyllabic. A great deal of Tyndale's pioneer translation survived largely intact, but unacknowledged, as the base from, which the English texts of the so called 'Geneva Bible' of 1560.

The first complete printed English Bible of 1535 was the work of a translator who appears to have been the master of little Greek and distinctly less Hebrew. Miles Coverdale (1488- 1568) who, like most of his sixteenth century successors, took over those books already translated by Tyndale for his edition, added versions of others derived mostly from the Latin text of the Vulgate supplemented by reference to Martin Luther's German Bible. His most lasting impact on English letters was the result of the incorporation of his revised version of the "Book of Psalms" into the "Book of Common Prayer". As such Coverdale's Psalter became an integral part of the formal daily worship of the Church of England. Coverdale's gift for phrasing manages to retain both the solemnity of the Latin Psalter, so long familiar in the worship of the Western Church, and the vivid imagery of the original Hebrew poetry. Certain of Coverdale's most carefully blended phrases have become so assimilated into spoken English as almost to seem detached from precise Biblical and liturgical source.

The "Book of Common Prayer", to which Coverdale's Psalter was attached, is the statement of one of the most influential liturgical reforms of the sixteenth century, paralleling those of the more conservative Lutheran churches of Germany and those of the Roman Catholic Church set in motion by the Council of Trent.

In 1548 Archbishop Cranmer, supported by a committee of scholars, completed the draft of a single, comprehensive and authoritative guide to the future worship of both priests and people in the English Church.

It was designed as a vernacular replacement for the multiple and often purely local Latin rites in use in pre-Reformation England and Wales and for private devotional volumes, breviaries, and prayer books. It was also to serve as a further significant element in the Tudor policy of bringing a degree of uniformity to national life. In 1549 "Book of Common Prayer" was deliberately open-ended in its Eucharistic theology, deliberately conservative in its retention of Mass



vestments and in prayers for the dead. As revised in 1552 its emphasis became more Protestant, with, for example, the words 'Mass' and 'altar' omitted from the recast Communion rite.

As revised again on the accession of Elizabeth, a certain theological ambiguity crept back into its formulas and expression, much to the subsequent offence of Puritan dissenters. Most of the original wording determined on by Cranmer and his committee remained unaltered despite efforts to curtail, move or break up certain fixed prayers, addresses, or responses. Cranmer's tact in adapting and simplifying is perhaps best observed in the shape he evolved for the Morning and Evening Offices, both of them fluent structural developments from the Hours of Prayer used in medieval collegiate and monastic churches and now adapted for the use in parish and cathedral alike. The Collects, the short prayers appointed for the major feast-days and Sundays of the Christian Year, are, for the most part, careful translations of Latin texts, though Cranmer himself probably added the two first Advent Collects. The effect of these Collects frequently depends on a balance of synonyms and on a suggestive development of concepts through series of complementary phrases.

The second Collect for peace in 'the order for Morning prayer', for example, opens with an address to God as 'the author of peace, and lover of concord, in knowledge of whom standeth our eternal life, whose service is perfect freedom'.

The 'Book of Common Prayer' is distinctive for its general avoidance of emotional language and imagery.

Emotionalism and a highly charged description of the sufferings of martyrs were however, the key to the success of John Foxe's great survey of the persecution of the faithful, the so-called 'Book of Martyrs', first published in English in 1536. His book approved and officially publicized by Elizabethan bishops, went through four editions in its author's lifetime and was replaced next to the Bible on lecterns in many parish churches. Foxe ordained deacon by Bishop Ridley in 1550 according to the form of the new Ordinal, and driven into exile in 1554, was determined to relate the sufferings of English Protestants under Queen Mary to what he saw as the tradition of Christian martyrdom in and by the Western Church.

Foxe's martyrology attempted to outclass the old legends of the saints by countering them with modern instances of pious resolution. In his first edition he even included a contentiously Protestant Calendar in celebration of the new generation of champions of true Christendom.

For the next two hundred years Foxe's continually reprinted, revised, and amplified volume helped to shape the popular myth of the working out of a special providence in the destinies of an elect nation. It presented a series of sensational

pictures which suggested that history was a nightmare from which Elizabethan England seemed blessedly to have awoken.

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## Wichtigkeit und Relativität des literarischen Ichs. Die Beziehung zwischen Ich und Stil in deutschen Texten

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### Zusammenfassung

*Dieser Artikel behandelt die Themen des literarischen und nonliterarischen Ichs und des Stils verschiedener Textsorten aus Willy Sanders Perspektive, die in seinem Buch „Gutes Deutsch-besseres Deutsch“ dargestellt wird. Es gibt eine Beziehung zwischen dem Ich in literarischen Werken und der Individualität der Schriftstellers, aber der eigene Stil des Autors beeinflusst den Umfang dieser Verbindung. Das individuelle Stil wird betont als das wichtigste Merkmal in der ganzen deutschen Literatur und auch in nonliterarischen Texten.*

### Stichwörter

*Ich, Stil, Individualität, deutsche Sprache, Stilkompetenz*

„Die Handschrift soll nach jenen Stellen untersucht werden, an denen sich die Individualität des Schreibers widerspiegeln könnte“ (Joppich 1991: 120), meinte Godehard Joppich. Es gibt andere Autoren, die Individualität und Subjektivität als Synonyme betrachten (z.B. Nina Polak 2009: 214).

Doch versteht Sanders durch Individualität mehr als Einstellung und Vorurteil. In dem Kapitel „Das ungeliebte Ich: Die Individualität des Schreibers“ spricht Willy Sanders sowohl über die Benutzung des Pronomens *Ich* in verschiedenen Textsorten, als auch über die Beziehung zwischen der Individualität des Schreibers und dem Stil. Es ist wichtig zu sagen, dass er das Wort *Schreiber* (und nicht *Schriftsteller* oder *Dichter* usw.) verwendet; er analysiert nicht nur literarische Texte. Man kann auch im Falle eines einfachen Aufsatzes oder eines Briefs über das Ich und über den eigenen Stil sprechen.

Das Kapitel beginnt mit einem Zitat, dessen Autor Hans Rychener ist: „guter Stil kann nur unsere eigene Art sein, Erlebtes, Empfundenes und Gedachtes durch die Sprache anderen mitzuteilen“ (Sanders 1996: 99). Das ist aber nicht das einzige Zitat. Willy Sanders benutzt viele berühmten Zitate, um seinem Werk Glaubwürdigkeit zu verleihen. Ein Beispiel dafür ist Lessings Behauptung: „Jeder Mensch hat seinen eigenen Stil, so wie seine eigene Nase“ (www.zitate.eu).

Der Individualstil, auch Personalstil genannt, ist ein umstrittener Begriff (oder „Größe“) der Stilistik, der seit dem 19. Jahrhundert bis in die neuere Literaturwissenschaft wirkt.

Der Autor analysiert auch das Staigersche Prinzip der „werkimmanenten Interpretation“: jene ältere Auffassung wurde durch den natürlichen Wandel der Zeiten und das Aufkommen neuer Denkformen überholt.

Der Stil muss ausnahmslos allen sprachlichen Äußerungen zuerkannt werden. Das heißt, dass nicht nur die literarischen Werke Stil haben können. Jeder Text hat seinen eigenen, „individuellen“ Stil (Sanders 1996: 101).

### **Konzept eines allgemeinsprachlichen Individualstils**

Stil wird in linguistischem Sinne als Ausdruck für die ganze Komplexität stilistischer Möglichkeiten definiert. Also der aktuelle Stil einer Person realisiert eine charakteristische Auswahl dieser Potentials. Es ist die Aufgabe des Autors, die stilistischen Mittel auszuwählen. „Diese Auswahl beruht auf individuellen Voraussetzungen und wird durch die persönliche Stilkompetenz geregelt“ (Sanders 1996: 102), behauptet Sanders. Der Autor muss seinen eigenen Stil, seine Persönlichkeit mit den stilistischen Möglichkeiten in Verbindung setzen.

Stil existiert aber nicht in der Sprache, er wird durch den sprachgebrauchenden Menschen geschaffert und die Persönlichkeit des Schreibers / Sprechers hat die wichtigste Rolle. Stil entsteht erst im individuellen Textbildungsprozeß, das von Mensch zu Mensch verschieden ist, weil jeder bestimmte sprachstilistischen Möglichkeiten benutzt. Darum ist es möglich, einen Menschen an seinem eigenen Stil zu erkennen und dann ihn zu imitieren oder parodieren.

Willy Sanders spricht von einem „Stilmuster“, das eine bestimmte Person kennzeichnet. Das besteht in Stilelemente wie: Art, Häufigkeit, Verbindung, die typisch wiederkehren.

Louis T. Milic hat im Verhältnis von Stil und Persönlichkeit des Schreibers zwischen zwei Komponenten unterschieden:

- (zwischen) „den ihm mit seinem persönlichen Naturell gegebenen Stileigen-tümlichkeiten“ (Sanders 1996: 101), die sich unbewusst der Sprache aufprägen
- und „den Besonderheiten der sprachlicher Form“ (Sanders 1996: 101), die aus bewussten Entscheidungen resultieren.

Rudi Keller macht den Unterschied zwischen einer absichtlichen Komponente (was intentional zum Ausdruck von jemanden gebracht wird) und einer unbeabsichtigten Komponente (was symptomatisch oder von Zeit zu Zeit zum Ausdruck kommt).

Also spricht man von zwei Polen des eigenen Stils: die bewusste Reflexion (auf Englisch: rhetorical choice) und die unbewusste Intuition (auf Englisch: stylistic option).

Die meisten praktischen Stillehren bieten nicht fixe Regeln an. Sie stellen eine allgemeine „Schulung des Stilgefühls“ (Sanders 1991: 102) in den Vordergrund. Auch Georg Möller ist der Meinung, dass „es nicht darum geht, sich Stücke von Sachwissen einzuverleiben, sondern es geht darum, Entscheidungen treffen zu können – Entscheidungen, die allerdings Kenntnisse und Einsichten voraussetzen.“ (Sanders 1991: 102)

Horst B. Bunje sagt, dass der gute Stil geschult oder gelehrt werden soll. Dieses Stilgefühl kann auch Stilkompetenz genannt werden – sie hat mit dem Verfügen über Sprachstrukturen und mit stilistischen Entscheidungen zu tun. Die

Sprachkompetenz hilft dem Schreiber zu entscheiden, welche die beste Variante sein könnte. Sie beurteilt mit der stilistischen „Angemessenheit“. Es hängt von der kommunikativen Intention, von der Beziehung zwischen dem Adressaten und dem Adressanten, von der Textsorte usw. ab.

### **Was es mit dem „ungeliebten Ich“ auf sich hat**

Das Pronomen *ich* ist das Indiz dafür, dass es um die eigene Person geht. Man hat versucht, dieses Ich mit anderen Formen zu ersetzen, was „grammatischer Selbstword des Ich“ (Sanders 1991: 103) von Jean Paul genannt wurde. Er gibt (bietet) auch eine mögliche Erklärung dafür: „wir sind viel zu höflich, um vor ansehnlichen Leuten ein Ich zu haben [...]. Denn ein Deutscher ist mit Vergnügen alles, nur nicht Er selber.“ (Sanders 1991: 103)

Hier geht es um ein pragmatisch-soziologisches Problem: pragmatisch wegen der Konventionen und soziologisch wegen der Bescheidenheit.

Dieses „ungeliebten“ Ich wurde im Mittelalter durch „ir“ (ihr – Neuhochdeutsch) im Sinne einer Höflichkeitsform für Einzelpersonen ersetzt. Es war die Mode des „Ihrzens“.

Dann, seit dem 16. Jahrhundert trat das singularische Er auf und das offizielle Sie, das für mehrere Personen oder als Höflichkeitsform verwendet wurde. Alle Anredeformen wurden seit dem 17. Jahrhundert groß geschrieben, denn „die Größe der Wertschätzung auch in den großen Buchstaben sich ausdrücken sollte“ (Sanders 1991: 103).

Es gab auch die Sitte, oder „Unsitte“ (wie Sanders sie nennt), das Ich vor allem in Briefen wegfallen zu lassen. Tucholsky sagte: „Ein Brief darf nicht mit Ich aufangen; das ist unhöflich“ (Sanders 1991: 104).

Das Ich wurde in die Mehrzahl als Wir gesetzt. „Wir“ war (und ist noch) eine Bezeichnung der eigenen Person. Es gibt zwei Fälle:

- Pluralis maiestatis – diese Form gehörte nur in den Mund von Kaisern und Königen: „Wir, Wilhelm II, ....“;
- Pluralis modestiae – der Bescheidenheitsplural, der weit verbreitet wurde und der in Verbindung mit der sprachlichen Zurückdrängung des Ich zu sehen ist.

Das Ich ist sehr klar, aber Wir hat eine gewisse Anonymität. Trotzdem wird diese Pluralform als „affektiert“ und „stilistisch unpassend“ (Sanders 1991: 104) empfunden. Man bevorzugt eine persönlich gefärbte Ausdrucksweise. Also das Wort ich hat seinen natürlichen Platz. Ich bin auch der Meinung, dass dieses umstrittene Ich seine Rolle hat. Man sollte sich über seine Persönlichkeit – entweder als Mensch oder als Autor nicht schämen. Jeder von uns hat seinen eigenen Stil und es ist auch wichtig, dem Leser bekannt zu machen, dass es eine enge Verbindung zwischen Autor und Werk gibt. Das ist eigentlich das Element, das alle wertvolle Formen der Literatur enthalten.

Die Form Wir wird auch heute verwendet, aber nur im Falle der Behördenschreiben, Geschäftsbriefe usw, wo es nur einen Verfasser gibt, aber dahinter steht das Amt, die Firma oder irgend eine Institution. Der Verfasser spricht für die ganze Kollektivität.

Das Wir verwendet man in zwei Situationen:

- a) ein simples „wir“ für das Verfasser – ein Plural der Bescheidenheit, aber stilistisch nicht entschuldbar;
- b) als Ersetzung des Ich durch unpersönliche Formulierungen, in denen der Verfasser von sich wie von einem Fremden und somit grammatisch in der dritten Person spricht: „Der Verfasser ist der Überzeugung ...“ (Sanders 1991: 104).

Eine andere Möglichkeit ist die antiquierte Mode der Höflichkeitsformen wie „meine Wenigkeit“ oder „Ihr untertänigst treuergebener Diener“ (Sanders 1991: 104).

Auch Umschreibungen mit Passiv oder mit unpersönlichem „man“ können das Ich ersetzen. Rudolf Georg Binding behauptet: „Das Wörchten ‚man‘ war von jeher ein vortreffliches Versteck für alle Sünden des ‚Ich‘“ (Sanders 1991: 104).

Willy Sanders bespricht auch das „historische“ Phänomen der deutlichen Emanzipationen des Ich in unseren Tagen: Ichgefühl, Selbstbewußtsein usw. werden heute großgeschrieben. Aber die sprachliche „Ichsucht“ (Sanders 1991: 106) zum Extrem eines negativ betrachteten *Ich - Stils* führen, denn es unendliche Ichformen gibt: ich selber, ich meinerseits, ich persönlich, höchstpersönlich, in eigener Person, was mich betrifft, ich in meiner Eigenschaft als usw.

Trotzdem ist Sanders der Meinung, dass das „einfache und schlichte Ich das Richtige“ (Sanders 1991: 107) sei.

### **Individualität als Stilprinzip**

Es ist zumindest interessant, wenn nicht sonderbar, dass Willy Sanders am Anfang präzisiert, was Individualität eigentlich nicht bedeutet: hemmungsloses Selbstbekenntnis, Äußerung von Affekten, Emotionen, gefühlsbetonte Subjektivität oder Sentimentalität, Elemente, die wie eine Zwiebel wirken. Das ist natürlich eine ganz ironische Bemerkung.

Jede Zeit hat ihre eigenen Denkweisen. Heute ist man sachlich, rational, Gefühl ist nicht mehr eine notwendige Bedingung oder „ist weniger gefragt“. Die aktuelle Tendenz ist die Übertreibung (understatement), Pathos ist verpönt.

Aus Sanders Perspektive ist es schwieriger zu sagen, worin „Individualität“ positiv besteht. Doch findet er einige Elemente, die diesen Begriff definieren können: die persönliche Voraussetzungen des Schreibers, die Spannweite dieser „Größe“, „Ablehnung gegen idiomatisch – konventionelle Zwänge“ (Sanders 1991: 108) des Sprachgebrauchs. Der Stil muss aber nicht nur im Rahmen der Literatur genannt werden, denn Individualität als Stilprinzip bezeichnet eine Eigenschaft, die unterschiedlich von Mensch zu Mensch ist: die eigene Persönlichkeit, die in der sprachpragmatischen Ausdrucksweise erkannt werden kann.

Wenn ein Autor versucht, seinen eigenen Stil zu verändern, gibt es die Gefahr, seine Originalität zu verlieren und statt den eigenen Stil zu verbessern oder zu verschönern, kann das Ergebnis eine Verschlechterung sein: „Wie Vornehmheit dürfte auch Stil, der sich zur Schau stellt, kein Stil sein, sondern Mangel an Stil.“ (Behrmann, in Sanders 1991: 108). Einige rhetorischen Figuren, oder Formulierungen „tricks“ sind nicht Teil des eigenen Stils.

Sanders empfiehlt auf keinen Fall eine „Originalität und Individualität um jeden Preis“ (Sanders 1991: 109), denn diese Elemente auch dem Schreiber angemessen sein müssen. „Angemessenheit“ ist als Stilprinzip betrachtet und sie bedeutet „nicht mehr und nicht weniger als die gleichbleibende Einhaltung“ der individuellen Stillage des Schreibers. Der Stil muß auch dem Autor, der Individualität des Schriftstellers passen, sonst wird er ostentativ.

Eine wichtige Komponente ist die Natürlichkeit (als *Subprinzip der Individualität*). Die beste Ausdrucksweise ist die einfache, ungekünstelte, und „dem Schreiber angemessene „natürliche“. Ein aufmerksamer Leser bemerkt sofort eine unangemessene Form, eine Änderung in der Stillage des Schreibers.

Stilkompetenz bedeutet die individuelle Erwartungsnorm. Also Individualität und Angemessenheit beziehen sich auf die stilistische Kompetenz. Sanders rät den Schreiber: „Wer seinen persönlichen Stil formen will, muß seine Stilkompetenz verbessern.“ (Sanders 1991: 109) Aber Möller ist einer anderen Meinung: „Man denke an die Sache, den Zweck und den Leser, nicht an den eigenen Stil!“ (Sanders 1991: 109). Zu ihm eigener Stil heißt guter Stil. Es passiert oft, dass Menschen, die sich nicht um Stil kümmern, einen guten Stil schreiben.

Sanders benutzt das Pronomen „unser“, um eine Beziehung zum Leser zu markieren. *Unsere Sprache* (das Deutsche) ist sehr reich, was die verschiedene Ausdrucksmöglichkeiten anbelangt. Es gibt solche Unterschiede von Mensch zu Mensch. Diese beruhen auf bewussten oder auf unbewussten Entscheidungen des Schreibers und spiegeln die Präferenzen des Schreibers.

Die Individualität erweist sich als ein „wesentliches“ (Sanders 1991: 110) Element der Stilkompetenz. Stilkompetenz besteht aus: hinreichende Sachkenntnisse, eine adäquate Darstellung des Sachverhalts zu Sprachmöglichkeiten und außersprachlichen Umstände der Kommunikation. Das ist die Schlussfolgerung des Autors.

Es gibt auch andere Bücher, die die Thema des guten Deutschen behandeln. Zum Beispiel ist 1988 *Das Stilwörterbuch: Grundlegend für gutes Deutsch* als zweiter Band in der Duden-Serie und 2006 *Der Geschäftsbericht: Überzeugende Unternehmenskommunikation durch klare Sprache und gutes Deutsch* erschienen. Trotzdem bleibt Sanders Werk sehr wichtig für Kritik und Stilistik.

Meine Schlussfolgerung besteht in einem Versuch, den eigenen Stil zu definieren – eine kurze Auffassung: Stil ist also Persönlichkeit, Individualität, Originalität, Natürlichkeit und Angemessenheit. Diese sind die wichtigsten Begriffe für die Beziehung zwischen dem Werk und dem Autor und *das Ich* ist nur eine Spiegelung des Autors. Stil bedeutet Ästhetik und Wert.

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## **Rolul „conectorilor de comunicare” în evoluția mesajului profesional**

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### **Rezumat**

*Fiind o formă deosebită de comunicare, textul și conectorii lui de comunicare reprezintă un mijloc important de meditație asupra comunicării profesionale. Ar fi greșit să admitem că textul cu orientare profesională să fie marginalizat de problematica comunicării profesionale, care este predarea-învățarea-evaluarea limbii române susținută de „conectorii de comunicare profesională”. Din acest punct de vedere, textul cu orientare profesională ocupă un loc perfect legitim în abordarea comunicativă a limbii române. Ceea ce descoperă medicinistul într-un text cu mesaj profesional este „limba conectată la comunicare”, astfel textul de categorie profesională impune și problema relației dintre formă și conținut în limba română.*

### **Cuvinte cheie**

*Flexibilitate comportamentală, conectori de comunicare, plan operațional, principiul relațional, principiul ambianței comunicative, fenomene motivaționale, dimensiune semantică*

„Succesul nu este o destinație la care vei ajunge vreodată.  
Succesul este calitatea călătoriei tale”

**Jennifer James.**

### **1. Introducere**

Actualmente este unanim recunoscut că studiul limbii române trebuie să realizeze obiectivul final comunicativ, dacă e vorba de pregătirea specialiștilor calificați. Argumente în acest sens pot fi multiple, însă principalul, în opinia noastră, este următorul: întregul proces de cunoaștere are loc prin intermediul limbii studiate. Am putea confirma această idee și prin ordinea, devenită tradițională, pentru orice compartiment al suportului didactic: prezentarea textului, însoțit de vocabularul general și tematic, structuri de comunicare, blocuri semantice, blocuri gramaticale, conversații, diverse exerciții creative, finalitate productivă.

Obiectivul acesta final, deloc ușor, însă necesar, e rațional să fie realizat prin diverse exerciții, pornind de la cele mai mici unități lexicale ale limbii române și isprăvind cu textul anexat la blocul de asimilare a informației cu orientare profesională, elaborat în conformitate cu metodologia de predare-învățare a textului

și antrenând concomitent studenții alolingvi în audiere, scriere, lectură și practicarea gramaticii funcționale.

Dorim să menționăm că în procesul de predare-învățare-evaluare a limbii române pentru studenții alolingvi lucrurile sunt cu totul de altă natură: textul cu orientare profesională care stă la baza studiului unei teme prezintă, în primul rând, modelul de vorbire, apoi „punestăpânire” peresursele vocabularului tematic, astfel are loc perfecționarea continuă a limbajului. Mai apoi are loc familiarizarea studentului alolingv cu modele de comunicare în baza textului-călăuză, iar consolidarea și aprofundarea limbajului profesional asimilat se realizează prin diverse exerciții, ce solicită un efort sporit de gândire gramaticală. Așadar, lectura, traducerea, însușirea vocabularului general și tematic și a legităților gramaticale îi inițiază pe studenții alolingvi doar în specificul limbii române.

În procesul de predare-învățare este necesar ca prezentarea cunoștințelor lingvistice să fie realizată pe porțiuni, respectând strategia de evaluare rațională a competențelor comunicative, iar sistematizarea acestora ne prezintă un tablou – ansamblu al operațiilor de sinteză care și devin parte componentă a gândirii profesionale.

În cele ce urmează ne vom referi la experimentul în grupele alolingve, care ne-a permis să elaborăm un curriculum special de predare-învățare-evaluare a limbii române de către studenții alolingvi.

## **2. Competența de comunicare – capacitatea profesională a medicinistului**

Învățarea limbii române de către studenții alolingvi cuprinde și ea un șir de acțiuni de maturizare profesională a acestor persoane care doresc să dezvolte un ansamblu de competențe generale, dar, mai ales, o competență comunicativă bazată pe explorarea mijloacelor lingvistice ce țin de specialitate.

Ce este competența de comunicare și care este capacitatea ei în cunoașterea și practicarea unei limbi?

În viziunea Ursulei Șchiopu (1997), competența este o capacitate profesională deosebită, care vine din cunoștințe și practică; ea oferă randament, precizie, siguranță și permite rezolvarea de situații dificile. Susținem și importanța corelației competență – capacitate – aptitudini, corelație ce evidențiază o noțiune importantă a actului de comunicare – competență privită ca un **ansamblu integrator al cunoștințelor**.

În concepția Comunității Europene (Eurydice) un rol important revine **competențelor-cheie**.

Este relevantă ideea promulgată de specialiștii Comisiei Europene, care afirmă că noțiunea de competență-cheie este următoarea: „competențele-cheie reprezintă un pachet transferabil și multifuncțional de cunoștințe, deprinderi / abilități de care au nevoie toți indivizii pentru împlinirea și dezvoltarea personală..., inserție profesională. Acestea trebuie dezvoltate prin diferiți conectori de comunicare ..., ca parte a învățării pe parcursul întregii vieți”(3: 48-58).

Competențele de comunicare se află într-o strânsă relație cu abilitățile de relaționare ale vorbitorilor, cu cunoștințele pe care ei le dețin în domeniul de activitate și cu gradul de conștientizare a dependențelor care se stabilesc între cei ce comunică prin intermediul diferitor tipuri de conectori, susține didacticianul rus I. Korotkina (2005: 7-11).

### **3. Funcționalitatea și eficacitatea competenței de comunicare cu orientare profesională**

Pentru a valorifica un bogat conținut de unități lexicale, blocuri semantice, structuri de comunicare cu orientare profesională e necesar să experimentăm un mecanism de instruire care ar determina corect funcționalitatea și eficacitatea competenței de comunicare cu orientare profesională.

Studentii alolingvi de la medicină trebuie să reproducă, oral și în formă scrisă, conținuturi ce țin de utilizarea adecvată a vocabularului tematic, a unităților lexicale, a gramaticii funcționale, a conținuturilor textuale, a multitudinii de sensuri ale câmpului terminologic care preconizează activizarea mecanismului comunicării cu orientarea profesională cu ajutorul competenței de specialitate.

În ceea ce privește competența de specialitate, aceasta face referire la trei capacități principale:

- cunoașterea materiei;
- capacitatea de a stabili legături între teorie și practică;
- capacitatea de înnoire a conținuturilor.

În opinia noastră competența de specialitate trebuie să lucreze în trei orientări strategice: **teoretică, operațională și creativă.**

**Orientarea teoretică** la competența de a asimila conținutul propus de profesor – student; de a realiza corelații inter-, intra- și pluridisciplinare ale conținuturilor; de a actualiza, prelucra, reprezenta și dezvolta conținutul; de a înțelege valențele formative și educative ale conținutului.

**Strategia operațională** se referă la competența de a structura asimilarea conținuturilor; de a dirija asimilarea tehnicilor de activitate profesională; de a forma modul de gândire profesională; de a valoriza conținutul obiectului asimilat; de a comunica fluent, expresiv, coerent.

**Orientarea creativă** se referă la competența de a adapta conținuturile; de a stimula dezvoltarea maximă a potențialului fiecărui student; de a promova învățarea participativă, anticipativă, creatoare; de a dirija consternarea problemelor; de a dezvolta conținuturile și strategiile de asimilare. (8: 9-12)

În conformitate cu documentele Consiliului Europei, se pune accent pe orientarea pragmatică a comunicării, bazată pe acțiune, care se axează pe resurse cognitive, afective, volitive și pe totalitatea competențelor(3: 17-24). Astfel, formarea competențelor comunicative în limba română ale medicinștilor alolingvi este o prioritate pentru învățământul universitar, deoarece prin intermediul cunoașterii limbii române cu orientare profesională, se contribuie la afirmarea lor ca viitori specialiști.

#### 4. Metodologia de asimilare a mesajului profesional

Dezvoltarea competențelor comunicative în limba română ale mediciniștilor alolingvi presupune interacțiunea mai multor componente, cum sunt: curricula, motivația, factorii psihologici, dimensiunea lingvistică, dimensiunea metodologică, motivația social-economică dezvoltată, competența lingvistică și competența profesională / pragmatică.

Așadar, asimilarea mesajului profesional este determinată de **factorii psihologici** conectați la informare, emotivitate, starea socială și la aspectul valoric. Perfecționarea mesajului profesional în afara conectorilor de comunicare nu poate stimula studenții în formarea și promovarea blocurilor de comunicare.

Factorii psihologici ai mesajului profesional sunt determinați de **fenomenele motivaționale**. Motivația este condiționată de conectorii – conținuturi și conectori – obiective stipulate în Curriculumul „Limba și comunicarea”. În continuare, factorii psihologici se conectează la determinarea motivației în aspect social-economic, astfel mediciniștii pot asimila mai productiv valorile profesionale, ele devenind o călăuză de integrare în societate. O însemnătate deosebită atribuie mesajului profesional ca motivație social-economică, didacticianul T. Bejan, concretizând implicarea ei în dezvoltarea **competenței lingvistice**, aceasta la rândul său dezvoltă **competența profesională / pragmatică cu finalitatea de competență comunicativă cu orientare profesională**. (Bejan 1999: 100-102)

Pentru a oferi o imagine asupra conectorilor de comunicare ai mesajului profesional, ținând cont că mesajul profesional în cercetarea noastră este o noțiune lingvistică funcțională de ordin comunicativ și care ajută textul de specialitate să capete un concept specific în procesul de predare-învățare-evaluare a limbii române pentru studenții de la medicină. În plus, studentul alolingv trebuie să cunoască suficient mesajul profesional, să fie dependent de conectorii comunicativi ai mesajului, astfel, conectorii comunicativi oferă studentului un set de criterii cu privire la valorificarea textului de specialitate. Conectorii de comunicare sunt consemnați și pentru diversele aspecte ale competenței lingvistice și pentru diversele strategii de valorificare a mesajului textual. Competența lingvistică conectează deprinderile fonetice, lexicale, gramaticale, iar competența socio-economică conectează strategiile interpretativ-comunicative propriu-zise și pe cele specifice ale textului de specialitate.

Formarea și dezvoltarea competențelor textuale este direct proporțională cu posibilitățile conectorilor de comunicare de a se implica în selectarea textelor de specialitate pentru scopuri de educație profesională dintr-o multitudine de texte-mesaje profesionale. De exemplu, iată cum vom formula următoarele competențe textuale:

- pot să citesc mesaje profesionale;
- pot să înțeleg numai texte ce țin de activitatea mea profesională;
- pot să citesc texte cu o tematică actuală, dar nu-mi pot exprima punctul meu de vedere (lipsesc deprinderile gramaticale);

- pot să percep mesaje profesionale, înțelegând specificul lor;
- pot indica unitățile lexicale și cele semantice dintr-o gamă nu atât de largă de mesaje profesionale, dar nu cunosc semnificația conectorilor de gramatică funcțională;
- pot înțelege concluziile principale ale unui text-mesaj argumentativ și clar formulat, pentru că am facilitățile competenței pragmatice;
- pot concluziona despre conținutul unui text-mesaj profesional și identifica anumite detalii, scheme, pentru a deduce din context sensul unor cuvinte necunoscute. (Iacob 2004: 34-36)

Procesul de receptare a textului-mesaj profesional se organizează în patru etape pentru studenții alolingvi: recunoașterea blocurilor semantice și lexicale; recunoașterea textului de specialitate în baza conectorilor de comunicare; comprehensiunea textului-mesaj ca entitate lingvistică cu orientare profesională; interpretarea mesajului profesional ca o condiție inevitabilă în optimizarea procesului de informare profesională.

Pornind de la ideea că medicinistul alolingv trebuie să se comporte ca un lector, cercetătorii din domeniu susțin, că studentul respectiv urmează să-și formeze următoarele competențe:

- a percepe textul-mesaj scris;
- a recunoaște grafia;
- a identifica mesajul (cu ajutorul conectorilor de comunicare, studentul își formează abilități lingvistice);
- a înțelege mesajul / conectori de comunicare → abilități semantice;
- a interpreta mesajul profesional (conectori de comunicare → abilități cognitive).

Nivelul actual de dezvoltare a mesajului profesional nu evoluează în afara competenței pragmatice, raportată la textul de specialitate care, presupune și cunoașterea de către studenții mediciști „a elementelor structurate și adaptate la conectorii de comunicare”; utilizate pentru realizarea funcțiilor comunicative; segmentate după unele scheme analitice ale mesajului profesional.

Cel mai important, susține Al. Crișan, este de a înțelege corect caracteristicile textului de specialitate:

- Complexitatea textului;
- Structura textului;
- Lungimea textului;
- Interesul manifestat de studentul alolingv;
- Argumentarea informației textuale;
- Capacitatea de documentare. (Crișan 1992: 51-54)

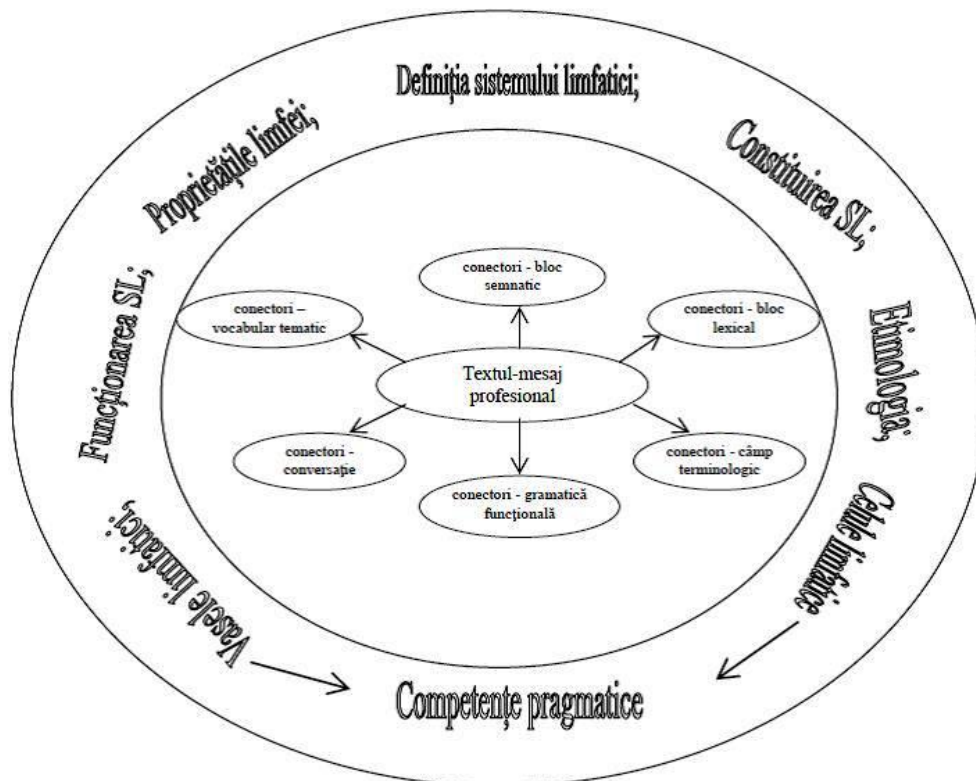
## 5. Valorificarea mesajului profesional. Textualizarea și proiectarea didactică a conectorilor de comunicare

Ne-am propus ca obiectiv să implicăm medicii în trainingul de valorificare a textualizării ca mesaj profesional, care, prin acțiuni repetate, duc spre formarea și dezvoltarea **competenței textuale** cu ajutorul conectorilor de comunicare. În acest sens am proiectat trei secvențe:

1. Precizarea nucleului tematic al textului-mesaj profesional.
2. Identificarea blocurilor semantice, lexicale și gramaticale.
3. Stabilirea în ce constă caracterul informativ al textului-mesaj profesional.

În baza textului „Sistemul limfatic”(Mincuet al. 2012: 178-179) studenții alolingvi au acceptat cei 9 conectori de cunoaștere a textului-mesaj profesional: definiția sistemului limfatic (1), constituirea sistemului limfatic (2), etimologia (3), proprietățile limfei (4), funcțiile sistemului limfatic (5), funcționarea sistemului limfatic în corpurile noastre (6), vasele limfatice (7), sistemul de drenaj (8), celulele limfocite (9).

Specificul tematic al acestui mesaj-text profesional se manifestă printr-un număr mai mare de termeni, un bloc semantic, un bloc textual cu activități gramaticale și un test de capacitate. Este, de fapt, un text-mesaj profesional în vederea stabilirii conectorilor de comunicare cu semnale ale textului prezentate în figura „Rețeaua conectorilor de comunicare a textului-mesaj profesional”.



Prin urmare, competența textuală poate fi constituită din conectori de comunicare a mesajului profesional, confirmând valoarea formativă a acestor conectori. Intenția noastră de a forma competența textuală cu ajutorul conectorilor de comunicare are diverse motivații în conformitate cu necesitățile formative operaționalizate de către profesor – student – profesor. Considerăm că textul-mesaj profesional este, în primul rând, un model de comunicare profesională, conținutul acestui text-mesaj a prezentat comunicarea având și scop și efect. Este important că informația textului-mesaj constituie mesaje textuale sintetizate, a cărui valoare profesională urmează să fie interpretată corect de medicinistul receptor, în funcție de pregătirea lui profesională.

Acțiuni de formare a competențelor pragmatice în baza conectorilor de comunicare ai mesajului profesional le putem organiza și în baza mai multor texte-mesaj profesional: *Sistemul imunitar, Diagnosticul, Mijloace de tratament* etc. (Mincu et al 2012: 225, 239, 252)

Avantajele aplicării acestor trei mesaje sunt evidente, deoarece pot deveni elemente de bază în asimilarea logică a limbii române de către studenții medicinisti prin intermediul valorificării textelor-mesaje, evidențiind strategia de formare profesională a studentului alolingv. În plus, studenții de la medicină se orientează, în cazul nostru, spre o strategie cognitivă de cunoaștere care le asigură o implicare mai serioasă în cunoașterea mesajului profesional.

La această etapă studenții sunt orientați la o altă strategie de înțelegere a unităților de conținut. Fiecare unitate de conținut prezintă o singură idee principală, o argumentează, o analizează, o exemplifică, o pune în discuție.

Am menționat cele trei texte, cu diverse unități constructive, iar medicinistii stabilesc tipul relațiilor și conectează rațiunea analitică în formarea și dezvoltarea competențelor pragmatice.

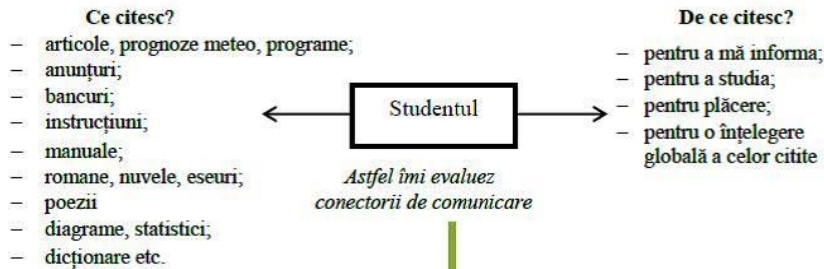
Studenții au identificat 10 unități de sens, care au necesitat mai multe explicații oferite publicului – receptor; pentru prima dată au operat cu asemenea noțiuni, cum sunt:

- aspectul semantic al textului-mesaj conectat la modelele de comunicare;
- aspectul comunicativ al textului-mesaj și formarea – dezvoltarea competențelor pragmatice;
- aspectul funcțional al textului-mesaj conectat la modelele de asimilare a gramaticii funcționale.

Toate aceste specificări dezvoltă strategia de focalizare internă a conectorilor de comunicare și ajută la identificarea mesajului profesional în calitate de educație lingvistică și de formare a competențelor pragmatice ale medicinistului. În acest sens, am elaborat mini-proiectul personal de lectură a mesajului profesional cu rețeaua de conectori comunicativi ai textului-mesaj profesional, sesizând valoarea lor profesională și legătura cu fenomenele de sporire a nivelului profesional.

### Mini-proiectul personal de lectură a mesajului profesional

*Sunt în căutarea celor mai interesante informații*



Reflectez	Precizez intențiile	Modele de comunicare	Antrenamentul
<ul style="list-style-type: none"> <li>• Subiectul lecturii;</li> <li>• Tehnologiile;</li> <li>• Strategiile de cooperare;</li> <li>• Publicitatea;</li> <li>• Partenerii de lectură;</li> <li>• Intențiile mele.</li> </ul>	<ul style="list-style-type: none"> <li>• Doresc să mă expun;</li> <li>• Doresc să mă informez;</li> <li>• Doresc să-mi expun intențiile;</li> <li>• Pot să propun un vocabular nou;</li> <li>• Continui să prelucrez mesajul.</li> </ul>	<ul style="list-style-type: none"> <li>• Intitulez;</li> <li>• Lucrez asupra introducerii, selectării de informație;</li> <li>• Concluzionez.</li> </ul>	<p>Sunt atent la:</p> <ul style="list-style-type: none"> <li>• Structura frazelor;</li> <li>• Intonația frazelor;</li> <li>• Utilizarea expresiilor și cuvintelor specifice;</li> <li>• Respectarea coerenței în exprimarea scrisă;</li> <li>• Receptarea logisticii frazelor;</li> <li>• Prezentarea discursului profesional.</li> </ul>

### 6. Concluzii

Cerințele societății în care se încadrează ulterior medicinistul alolingv în vederea prestării unei activități profesionale sunt din ce în ce mai problematice. Este nevoie de a oferi studenților medicinisti ceea ce au ei nevoie. Comunicarea cu orientarea profesională înseamnă voința și capacitatea de a opera mesajul profesional, diversitatea socială a contextelor, textelor în care poate fi valorificată comunicarea profesională fiind destul de bogată, iar textul-mesaj fiind una din aceste posibilități.

Pedagogia comunicării profesionale „centrată pe student” va ține seama, în primul rând, de corelarea principiului funcționalității a competențelor pragmatice pentru a obține un randament optim în evoluția mesajului profesional prin utilizarea conectorilor de comunicare.



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## Proiectarea evaluării competențelor comunicative ale studenților străini

**Lidia STRAH**  
USM, Chișinău

### **Rezumat**

*Generația acestui mileniu trăiește un timp al schimbărilor, în care și studentul străin caută interogativ noi sensuri ale existenței sale. Devenirea cetățeanului străin în diverse planuri – cognitiv, social, cultural, civilizator, globalizator se conturează în cadrul educației universitare ca valori de primă importanță.*

*În practica educațională a achiziționării limbii române de către studenții străini se atestă și valorificarea comunicativă a limbajului prin antrenarea reperelor verbale specifice comunicării în limba română.*

*Evaluarea competențelor de comunicare a studenților străini desemnează rolul limbii române în procesul de socializare a studenților străini, marchează contextul relațional al comunicării ca un contract de colaborare în baza ansamblului funcțional al interacțiunii verbale.*

### **Cuvinte cheie**

*capacitate, activitate de exersare, cunoștințe, atitudini, priceperi*

„Nu cunosc un dar mai frumos din partea unui musafir străin  
decât acela de a-mi elogia țara în limba casei mele”

**Grigore Vieru**

### **1. Introducere**

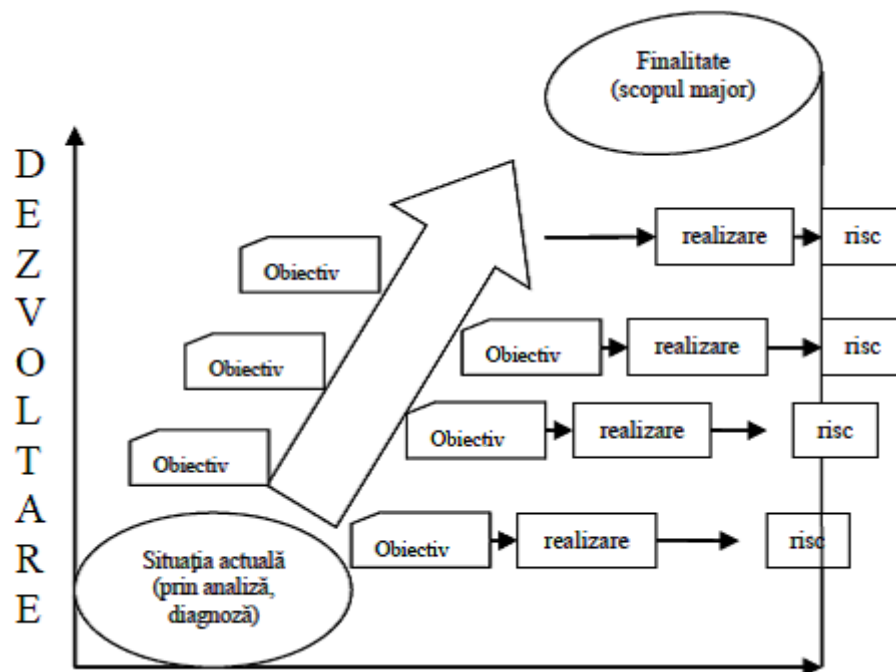
Modelarea unei personalități este o operă migăloasă, responsabilă și de durată. Dacă ea ar fi simplă, dacă s-ar putea reduce la aplicarea unor rețete pedagogice, atunci nici rezultatele eforturilor, nici creațiile umane nu ar fi atât de spectaculoase. Astăzi ne uimesc, prin măreția lor, numeroase fapte materiale și spirituale. Toate sunt rodul competenței și al dăruirii, al capacităților cultivate, dar și al unei moralități depline. În literatura de specialitate întâlnim diverse tratări a termenului și conceptului de competență. În țările francofone se folosește termenul de **savoir faire**, în sensul unei pedagogii a acțiunii. Didacticianul D. Hymes formulează ideea potrivit căreia termenul „competență” poate fi utilizat cu trei sensuri diferite:

- Uneori desemnează un *savoir-faire* disciplinar, în cazul dat prin „competență disciplinară” se are în vedere: Efectuarea în scris a unui model; Construirea unui triunghi al comunicării etc. [Hymes 2003: 17-18]

Termenul englezesc cel mai adecvat pentru *savoir-faire* este „skill”, care vizează competențele dintr-o perspectivă „behavioristă”, în scopul extinderii abordării prin prisma obiectivelor specifice sau obiectivelor operaționale.

- Câteodată este utilizat cu sens de *savoir-faire* general, care poate presupune: Argumentarea; Structurarea propriilor gânduri; Exprimarea orală și scrisă; Sintetizarea informațiilor; Administrarea informației; Evaluarea; Verificarea; Managementul timpului; Lucrul în echipă etc.
- Adevărata abordare prin competențe în învățământ este, pe bună dreptate, o contextualizare a achizițiilor (cunoștințe, priceperi și deprinderi), care pot fi utilizate într-o circumstanță specifică.

În contextul analizat termenul de competență englezesc „competencie” a fost propus în scopul de a face distincție de noțiunea de „skills”, și atunci contextul poate deveni o parte integrantă a competenței. De fapt, competența și presupune a ști, a ști să faci (să reușești într-o situație concretă), dar și a ști să fii, a avea atitudini care să susțină atât acțiunea prezentă, cât și devenirea, evoluția competenței în timp prezentată în Figura 1.



**Figura 1.** Reprezentarea schematică a procesului de dezvoltare a competențelor comunicative

Contextul poate deveni o parte integrantă a competenței.

## **2. Noțiunea de capacitate**

Pentru a oferi o imagine asupra noțiunii de „competență” dorim să punem în discuție, în scopuri operaționale, didactice, și noțiunea de „capacitate”. Capacitatea este o activitate care identifică, compară, memorizează, analizează, sintetizează, clasifică, ierarhizează, abstractizează și observă aptitudinile și abilitățile studentului.

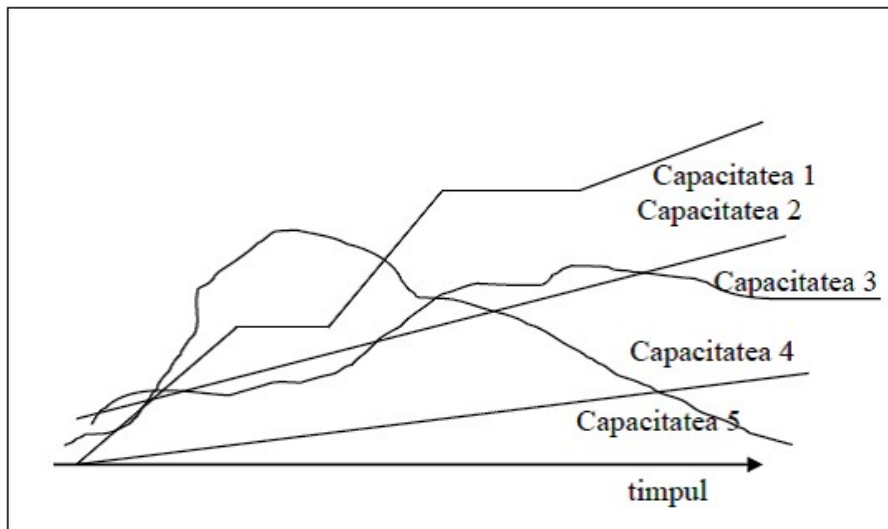
Dacă abordăm dimensiunea practică a capacității, atunci trebuie să menționăm că Ph. Meirieu este de părere că anume „capacitatea poate să se completeze cu conținutul, pentru că nici o capacitate nu se manifestă decât prin utilizare conștientă a conținutului”. Totodată, autorul menționează că un număr mare de capacități dezvoltate în învățământ sunt cele cognitive de rând și cu capacitățile psihomotrice și cele socio-afective. „Ori de câte ori studentul comunică, se produce o schimbare în comunicare, se modifică și relația studenților unul față de celălalt” [Meirieu 1990: 181-182].

Valoarea capacității cu diverse forme de inteligență a fost menționată de renumitul metodist H. Gardner, care identifică 7 forme de inteligență: inteligența lingvistică, inteligența logică, inteligența vizuală, inteligența muzicală, inteligența fizică, inteligența interpersonală, inteligența intrapersonală [Gardner 1984: 32-37].

## **3. Multiplele forme de capacități**

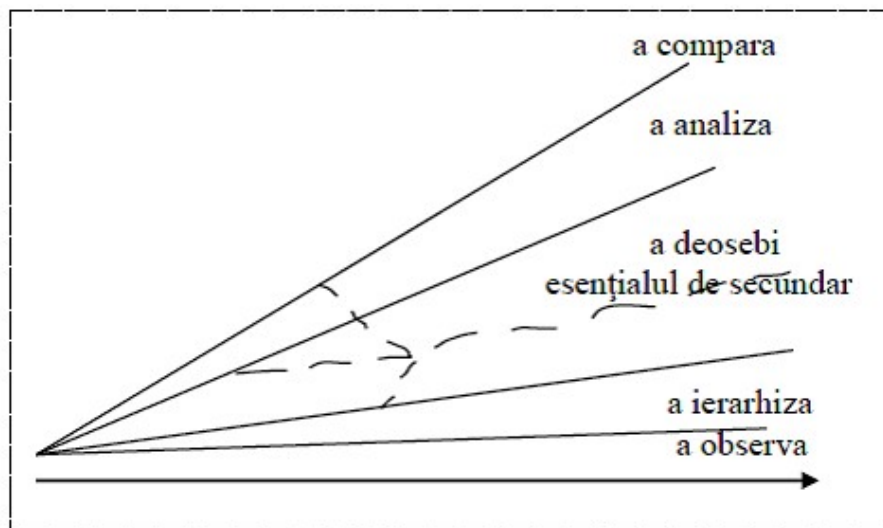
Dacă abordăm multiple forme de inteligență, care nu sunt altceva decât tipuri de capacități (cognitive, psiho-motrice, socio-afective), atunci le putem oferi un teren de exersare pe variate conținuturi la disciplina limba română pentru studenții străini. Pentru a dezvolta aceste capacități, trebuie să ținem cont și de caracteristicile de bază ale unei capacități, cum sunt: *transferalitatea, evolutivitatea, transformarea, non-evaluabilitatea*.

Luând în considerație cele expuse mai sus, putem afirma că dezvoltarea capacităților se datorează în esență aplicării lor la o varietate mai mare de conținuturi. Figura ce urmează permite o mai bună înțelegere a dezvoltării capacităților.



**Figura 2.** Dezvoltarea capacităților ca o activitate de exersare

Definirea capacităților cognitive de bază propuse de Jean-Marie De Ketele evidențiază capacitatea de a deosebi esențialul de secundar reieșind din capacitățile fundamentale, cum sunt: *a compara*, *a analiza*, *a ierarhiza*, fapt demonstrat în Figura 3.



**Figura 3.** Capacitatea elevului de a deosebi esențialul de secundar

În contextul analizat putem afirma că oricât de operaționale ar fi capacitățile ele nu pot deveni niciodată competențe dacă nu sunt definite în funcție de situație (în cazul nostru).

Însă pentru o evaluare adecvată a obiectului limba română pentru studenții străini necesară cunoașterea celor cinci caracteristici esențiale ale competenței propriu-zisă de comunicare:

- *Mobilizarea unui ansamblu de resurse* (cunoștințe, experiențe, scheme, automatisme, capacități, savoir-faire de diferite tipuri etc.). În opinia lui P. Perrenoud aceste resurse nu sunt suficiente pentru a face desosebirea dintre capacități și competențe.

- *Caracterul finalizat*

Bernaerdt, Delory, Genard, Leroy, Paquay, Rev, Romainville, Wolf afirmă că „aceste activități decontextualizate sunt eficiente doar dacă sunt reînvestite în noi activități globale în cadrul unui context dat, adică în noi activități funcționale” [Perrenoud 1997: 21-27].

Așadar, competența este finalizată: ea are o funcție socială, în sensul larg al termenului ea devine un „purtător de sens” pentru student. Studentul străin poate crea un produs, poate efectua o acțiune, poate rezolva careva probleme cu care se confruntă în practica școlară, aceste lucruri devin semnificative pentru student. În aceasta și constă caracterul limitativ al competenței în învățământul superior. Anume aici se găsește problema între un învățământ „generalist”, axat pe acumularea de cunoștințe și capacități, și un învățământ mai specific, bazat mai mult pe acumularea de competențe, care abordează direct problema de reînvestire a acestor cunoștințe și capacități în practicile purtătoare de sens pentru studenți.

- *Relația cu un ansamblu de situații*

Această caracteristică mobilizează studentul străin în cadrul unui ansamblu de situații bine determinat, prin diferiți parametri ai situației (densitatea informațiilor, diversitatea surselor, gradul de stres al studentului-vorbitor etc.).

- *Caracterul disciplinar*

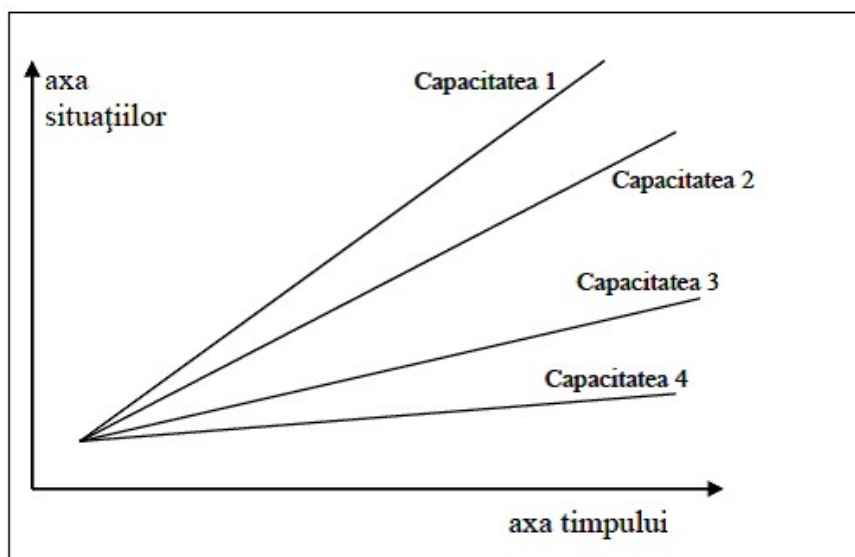
În cazul nostru nu putem generaliza și afirma că o competență poate avea întotdeauna un caracter disciplinar.

- *Evaluabilitatea*

Trebuie să menționăm faptul că în timpul ce o capacitate nu poate fi evaluată, competența poate fi evaluată, deoarece **poate fi măsurată prin calitatea de îndeplinire a sarcinii și prin calitatea rezultatului.**

#### 4. Modalitățile de prezentare a actului de comunicare verbală

Actul de comunicare verbală la o lecție prezintă o relație de grup între câțiva parteneri care posedă în comun o informație și un anumit cod lingvistic. Calitatea acestei comunicări depinde de axa situațiilor de vorbire. În opinia noastră, competența comunicativă poate fi definită anume pe axa acestor situații (Figura 4).



**Figura 4.** Definirea competențelor de către axa situațiilor

În cadrul procesului de studiu al limbii române pentru studenții străini, competențele pot fi formate prin activități de integrare. Susținem că o activitate de integrare este o activitate didactică, funcția căreia este să încurajeze studentul pentru a-și integra cunoștințele.

Cercetătorul Le Botere menționează că o activitate de integrare poate fi calificată cu următoarele caracteristici:

- O activitate în care **studentul este actor**;
- O activitate care îl determină pe student la **mobilizarea unui ansamblu de resurse**: cunoștințe, experiențe, scheme, automatisme, capacități, priceperi de diferite tipuri etc.;
- O activitate care articulează cu o **situație nouă**;
- O activitate care are **un caracter semnificativ**, astfel integrarea este orientată spre formarea unei competențe sau a unui obiectiv final de înțelegere și atunci situațiile aparțin blocului de situații care definește competența obiectivului final de înțelegere.

D. Potolea afirmă că caracterul semnificativ al activității de integrare al studentului conferă sens procesului de predare-învățare-evaluare și antrenează studentul în utilizarea unor cunoștințe, încadrează cunoștințele în contexte noi,

exploarează domeniul de aplicare a acestor cunoștințe, trimite studentul la o gândire epistemologică și antropologică, îi permite studentului să administreze „date lipsă” [Potolea 2010: 29-37].

Așadar, activitățile de integrare sunt utilizate, cu toate acestea, e necesar de a le reorienta în funcție de competențele stabilite pentru a fi formate și sistematizate. Din punctul nostru de vedere, pentru a forma un bloc de competențe, trebuie să respectăm existența unor anumite activități, care îl determină pe student să rezolve mai simplu o situație – problemă ce aparține unui ansamblu de situații. Dorim, de fapt, să menționăm că într-un număr considerabil de activități didactice nu poate fi vorba de integrare, cum sunt:

- contribuția substanțială a profesorului;
- antrenamentul decontextualizat;
- sinteza efectuată de profesor;
- o demonstrație efectuată de profesor etc.

Ocupând o poziție centrală în activitatea de predare-învățare și evaluare, competențele comunicative atrag atenția profesorului și a celor care cercetează acest domeniu. În ultimul timp probleme evaluării competențelor comunicative și a capacităților studenților ne permit să evidențiem particularitățile acestei însușiri în triada predare-învățare-evaluare.

Una din sarcinile principale ale învățării limbii române de către studenții străini este explicarea fenomenului de exercitare a profesorului asupra studenților, fenomene ce țin de influențe social-specifice – de natură educațională asupra lor prin **actul de comunicare** [Anastasi 1976: 85].

Când profesorul utilizează o comunicare inteligentă, atunci el urmărește să modifice atitudinile și comportamentele studenților în deplin acord cu concepția educațională a disciplinei „Limbă și comunicare”, și anume: cu scopul educației lingvistice; cu cerințele curriculumului, cu obiectivele educației lingvistice [EL]. Acțiunea de influență a Educației Lingvistice se manifestă în comportamentele comunicative, în activitățile și atitudinile studenților. Pentru a înțelege de ce unele influențe reușesc, iar altele nu, în anumite situații de predare-învățare și evaluare trebuie să cunoaștem **principiile educației lingvistice**, principii care trebuie să țină cont de următoarele criterii generale: **accesibilitatea, varietatea, valoarea, atractivitatea, volumul de lecturi** în procesul de predare-învățare și evaluare a limbii române studenților străini.

### **5. Demonstrarea triadei: cunoștințe - atitudini - priceperi**

Inversând triada clasică a obiectivelor pedagogice (de la **cunoștințe - atitudini - priceperi** cu reformularea la **priceperi - atitudini - cunoștințe**),



cercetătorul J. Dewey subliniază importanța trecerii de la un curriculum centrat pe discipline la **curriculum centrat pe studenți**.

S-a demonstrat faptul că modelarea inteligentă a unui student ca personalitate poate fi în urma unor eforturi de durată a educației lingvistice și literar-artistice. Cel care știe și poate să comunice eficient reușește să obțină beneficiul comunicării împreună cu partenerul său [Rogiers 2004: 31-32].

*Competența comunicării* se dobândește, studentul parcurge multiple etape pentru a simți rezultatul unui act de comunicare, pentru a-și dezvolta capacitatea de a informa, de a formula scopuri și a le realiza.

Reamintim că noțiunea de **competență** a fost elaborată, susține cercetătorul R. White, pentru a caracteriza „rezultatul cumulativ al istoriei personale a individului și a interacțiunii sale cu lumea exterioară” [Șoitu 1997: 40-41].

În zilele noastre această noțiune capătă noi conotații, punând accentul pe experiență ca formă de acumulare și verificare informațională.

Vom încerca să precizăm, în baza diverselor surse, care este sensul conceptului de competență în aria problematicii abordate de către noi.

În opinia cercetătorului Noveanu E. **competența** reflectă în ansamblu comportamentele potențiale ale individului în scopul realizării unei comunicări proiectată pe formarea de competențe [Noveanu 1983:30-37].

**Competența**, după cum a constatat cercetătorul Dimitriu G., se referă la capacitatea emițătorului (profesorului) de a recepționa corect informația, la abilitatea de a comunica și a expune informația asimilată într-o manieră clară, coerentă, accesibilă destinatarilor [Dimitriu 2003: 86-87].

Ideea de a introduce termenul de competență și în alte domenii, cum este psihologia, se datorează în mare măsură cercetătorului Noam Chomsky, cel care diferențiază în aspect lingvistic competența de performanță în lucrările sale.

În cadrul teoriei comunicării de asemenea au fost formulate mai multe definiții ale competenței de comunicare. De Vito menționează influența competenței de comunicare asupra mai multor aspecte sociale ale comunicării și, după părerea lui, ea se formează prin modalitatea de a-i observa pe vorbitori [Dinu 1997: 6-8].

O întreagă concepție psihologică stă la baza formării competenței de comunicare, consideră didacticianul I. O. Pânișoară, „aceasta depășește competența lingvistică, deoarece competența de comunicare este, de fapt, abilitatea de a demonstra comunicarea adecvată unui text”. Autorul cercetează conceptul competenței de comunicare din trei perspective: comportament, cogniție și interacțiunea dintre mediu și persoana care comunică [Pânișoară 2004: 37-38].

Imaginea acestui concept este elucidată în noțiunea de competență comunicativă, care, în opinia lui C. Kerbrat-Orechioni, semnifică: capacitatea de a produce și a interpreta expresii gramaticale; stăpânirea regulilor de abordare

contextuală a enunțurilor produse; ansamblul regulilor ce dirijează o conversație: gestiunea corectă a temelor implicate în comunicare. Procesul de formare a competențelor de comunicare se ascunde în anumite reguli psihologice, sociale și culturale în comunicare, fenomen susținut de cercetătoarea S. Moirand. Iată de ce cercetătoarea distinge patru componente ale competenței de comunicare: componenta lingvistică, componenta discursivă, componenta socio-culturală și componenta referențială [McMillan 1992: 210-211].

Deoarece actul de comunicare implică o bună pregătire lingvistică și verbală a studentului străin, în opinia cercetătoarei D. Maingueneau, la baza competenței de comunicare trebuie să fie competența lingvistică (cunoașterea limbii), competența generică (stăpânirea principiilor unui discurs) și competența enciclopedică (posedarea cunoștințelor despre lume), iar finalitatea unei astfel de activități verbale este *producerea și interpretarea corectă a enunțurilor* [Maingueneau 2002: 28-29].

Cercetătorul Chomsky N. ne oferă o abordare specială a noțiunii de **competență**, referindu-se la rolul cunoștințelor lingvistice, care permit studentului străin să înțeleagă interlocutorul lui. Fiind unul dintre creatorii gramaticii generative și transformaționale, lingvistul american propune o definiție a competenței în calitate de abilitate lingvistică care vine în ajutorul celor ce comunică [D'Hainaut 1981: 61-63].

Autori, precum Milrud R.P., T. Callo, I.O. Pânișoară și alți cercetători urmăresc tendința că noțiunea competență de comunicare poate fi exprimată prin câteva componente: *competența lingvistică* (etapa de pregătire a studentului pentru a utiliza limba într-o activitate verbal-comunicativă); *competența pragmatică* (etapa de pregătire a studentului pentru a transmite mesajul verbal în dependență de situația de comunicare); *competența cognitivă* (etapa de bază în pregătirea studentului pentru activitatea verbal-comunicativă) și *competența informativă* (studentul stăpânește conținutul obiectului de comunicare). Considerăm că nu este suficient de a folosi numai materialul care este inclus în manualul recomandat, care nu întotdeauna face față nevoilor studenților, dar de creat astfel de situații de învățare, încât studentul să fie cointerestat, intrigat de a găsi ceva util, mai necesar pentru realizarea sarcinii didactice preconizate. *Cadrul European Comun de Referință pentru Limbi*, această lucrare-cheie în domeniul învățării limbilor, oferă nu numai o bază comună pentru elaborarea programelor, dar definește, de asemenea, nivelele de competențe ce permit să se măsoare progresul studenților la fiecare etapă de învățare [Cadrul European Comun de Referință pentru Limbi 2003: 60-62]. În *Portofoliul European al Limbilor* se menționează că în producerea comunicării orale vorbitorii au nevoie să-și mobilizeze aptitudinile de pronunție, pe cele de învățare și pe cele euristice, îmbinându-le reușit cu unele din

competențele de comunicare: lingvistică, socio-lingvistică și pragmatică. În plus, ținem să menționăm că, organizându-se condiții de activitate autonomă și de cooperare, studenții străini pot să-și dezvolte aceste aptitudini generale și devin din ce în ce mai independenți în procesul de învățare și în utilizarea limbii-țintă.

### **6. Paradigma constructivistă a competenței de comunicare**

Competențele ce contribuie la formarea și dezvoltarea competenței de comunicare orală pot fi divizate în două compartimente:

**Competențe generale:** *competența de investigație și de cercetare; competența interactivă; competență dialogică; competențe de utilizare TIC; competența discursivă* [Ezechil2002:42-48].

Compartimentul al doilea:

**Competențe specifice:** competența de citire/lectură; competența de audiere/ascultare; competența de participare la comunicație; competența de a participa la un discurs oral.

Competențele specifice dezvoltate în timpul lecției de limbă română pentru studenții străini sunt indispensabile la participarea activă a studentului străin la viața socială și sunt strâns legate de competențele generale [Ezechil2002:51-56]. Deși fiecare din competențe își păstrează specificul său, în interacțiune fiind, ele evoluează, contribuind la sporirea și dezvoltarea comunicării dintre străini.

În didactica limbii române evaluarea studenților străini este axată pe competențe de comunicare atât orale cât și scrise, cu includerea următoarelor componente: componenta lingvistică și componenta literară. De fapt, ținem să menționăm că competența universitară prezintă un sistem integrat de cunoștințe, capacități, deprinderi și atitudini pe care studentul le dobândește în urma învățării unor contexte specifice adaptate la vârsta și nivelul cognitiv al acestuia.

Baza psiho-lingvistică a competențelor solicită necesitatea centrării demersului didactic pe formarea celor patru deprinderi integratoare în studierea limbilor: audierea, vorbirea, lectura și scrierea, care permit utilizarea diverselor strategii didactice, care pot genera acte de comunicare fiind apte să dirijeze activitatea procesului de educație ca atare. Conținutul teoretic și practic de comunicare al studentului străin este susținut de Curriculum care include teme de creativitate, de civilizație, texte autentice de comunicare.

În contextul unui învățământ axat pe competențe, procesul de evaluare este orientat, de fapt, spre o evaluare continuă / formativă. La rândul ei evaluarea formativă este centrată mai mult pe optimizări ale procesului de predare-învățare și perspectiva benefică de comunicare profesor - student, întrucât încurajează studenții străini în formarea și stimularea anumitor competențe de comunicare.

La ora actuală dezvoltarea tehnologiilor informaționale, schimbările radicale impuse societății de fenomenul globalizării au determinat noi orientări în educație și anume, **axarea pe formarea de competențe** prin evidențierea posibilităților obiective de realizare în practică a evaluării formative, în vederea asigurării calității procesului educațional.

În acest context, subiectul care face parte din cercetarea noastră este **în ce raport se află motivația studentului străin și formare de competențe** și care sunt **modalitățile de stimulare a motivației de învățare-evaluare la studenții străini**.

În contextul analizat, am putea să ne întrebăm dacă e nevoie să evaluăm competențele, cunoștințele sau capacitățile? Aderăm la celebra afirmație a lui Jean-Marie de Ketele care spune următoarele: „Spune-mi cum evaluezi, și-ți voi spune pe cine formezi” care ne explică un lucru clar: dacă ne vom pronunța pentru evaluarea studentului străin în termenii de formare a competențelor, atunci situația de evaluare va avea tangențe cu situația de integrare [Ketele 1982: 17-19]. Dacă abordăm imaginea fidelă a evaluării, atunci îi vom permite studentului să-și exerseze competențele în urma mobilizării a tuturor cunoștințelor, priceperilor și deprinderilor ce țin de tema studiată.

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## Die Entstehung von Hugo von Hofmannsthals *Elektra*

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### **Zusammenfassung**

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Der Artikel besch ftigt sich mit der Zeit von *Elektras* Entstehung und behandelt sowohl die  sthetischen Einfl sse, als auch die pers nlichen Verh ltnisse Hofmannsthals, die ihn veranlasst haben, der *Elektrastoff* umzuschreiben. In dieser Periode lassen sich drei Personen nennen, die f r Hofmannsthals Entwicklung als Dramatiker von besonderer Bedeutung waren. Diese sind Hermann Bahr, Max Reinhardt und Gertrud Eysoldt. Die programmatischen Schriften H. Bahrs wie *Die  berwindung von Naturalismus* (1981) und *Dialog vom Tragischen* (1904), aber auch Hermann Bahrs *Freundschaft und Beratung* bilden eine zeitgeistliche Ausgangsbasis f r das Drama. Hinzu kommt Max Reinhardts Inszenierung von *Nachtasyl*, die eine Inspiration f r ein neues Theatermodell darstellt. Zu dem besonders starken Eindruck der Inszenierung von Maxim Gorkis *Nachtasyl* hat auch Gertrud Eysoldts Spielart und Begabung f r *Mimische und Pantomimische* beigetragen. Alle oben angefuhrten Bemerkungen werden mit Hilfe des Briefwechsels, des Nachlasses und der Tageb cher von Hugo von Hofmannsthal, Hermann Bahr und Gertrud Eysoldt beweisen. Diese Quellen erm glichen auch die pers nlichen Perspektiven und Einsch tzungen der K nstler, die entscheidend f r die Art wie *Elektra* geschafft wurde, pr sentiert zu werden. Ein Ziel dieser Arbeit ist es auch zu untersuchen, ob der Einfluss der drei oben genannten Pers nlichkeiten nicht vielmehr zur ersten Verfassung des Textes als Drama beigetragen haben als es bisher behauptet wurde.

### **Stichw rter**

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*Elektra, Hofmannsthal, Nervenkunst, Theaterkunst,  sthetischen Einfl sse.*

#### **1. Einleitung**

Dieser Artikel untersucht, direkten Einfl sse, die zur Art und Weise wie *Elektra* geschrieben wurde. Das Ziel ist eine gr ndliche Untersuchung der Inspirationsquellen, die in der bisherigen Kritik nur am Rande behandelt wurden, um ihren enormen Beitrag zur Gestaltentstehung der *Elektra* hervorzuheben. Diese Erkenntnis dient einem neuen Ausgangspunkt f r die textuelle Analyse des Theaterst cks, die sowohl neue Fragen, als auch Antworten zu Hofmannsthals *Elektra* erm glichen. Diese Perspektive soll nicht nur wirklichkeitsn her sein, sondern auch ein Fortschritt in der Untersuchung dieses Thema repr sentieren.

#### **2. Hermann Bahr: Entwicklung der Nervenkunst**

Hermann Bahr ist durchaus als Prophet der Moderne anerkannt und hatte die wichtigsten Dichter und K nstler als Freunde und Mitarbeiter. All dies wurde

schon dokumentiert und er ist deswegen der ideale Zeuge für die Entwicklung und Wirkung *Elektras*. H. Bahr hat gewissermaßen Hofmannsthal entdeckt und ihn auch mehrmals als einen gefördert, der die besten Chancen in der österreichischen Literatur und Kultur hatte:

„Um mich zu ärgern, sagt man mir oft:

Was phantasieren Sie da immer von einer neuen Kunst der jungen Wiener? Wo sind denn die großen Künstler, wo denn? (...) Aber ich ärgere mich gar nicht, sondern antworte: Sie haben ja recht: ich kann Ihnen kein Werk unserer jungen Leute nennen, das verlangen dürfte, auf das nächste Geschlecht zu kommen. So ein Werk gibt es noch nicht und wird es vielleicht sogar niemals geben. Sie wissen, was ich von Hofmannsthal und Adrian hoffe, aber dies liegt in der Hand des Schicksals. Es ist möglich, daß wir jener 'große Werk' niemals bekommen werden; das darf nicht leugnen.“ (Bahr 1980: 490-491)

Dies schrieb Hermann Bahr 1899 und diese Erwähnung ist allerdings sehr wichtig, weil sie uns zeigt, dass H. Bahr selbst Hofmannsthal schon ein paar Jahre vor *Elektra* als potenziellen Nachfolger seiner Idee, die er in *Die Überwindung von Naturalismus* darlegte, sah. Das könnte heißen, dass H. Bahr die Sensibilität, welche er für die neue Kunst als erforderlich hielt, in Hofmannsthal spürte. Folgendes schrieb er am Ende des Jahres 1903, das Jahr in dem das erste erfolgreiche Theaterstück von Hofmannsthal geschrieben wurde:

„In diesem Jahr hat Hugo, mit der Elektra, seinen ersten wirklichen Erfolg gehabt. In diesem Jahr ist Klimt gegen alle Feinde durchgesetzt worden.

Eigentlich bin ich also jetzt unnötig. Ich kann endlich daran gehen, mir selbst zu leben.

Dazu das Gefühl, daß Olbrich, Klimt, Moser, Schnitzler, Hugo doch nur Einzelereignisse waren. Hinter ihnen kommt nichts nach. In unserem armen Lande ist keine Folge da.

So recht mein Glaube an diese Talente behalten hat, es war ein Irrtum, an sie eine Bewegung anschließen zu wollen.“ (Bahr 1997: 425)

Außerdem ist Hermann Bahr auch als Vertrauter von Hofmannsthal zu betrachten der bedeutete Einflüsse auf sein Werk hatte. Dieses Unterkapitel erforscht die noch nicht genug verdeutlichten ästhetischen Einflüsse von *Die Überwindung von Naturalismus* und *Dialog vom Tragischen* auf die Fragestellung in *Elektra* und verfolgt die Entwicklung und Rezeption des Theaterstückes anhand des Briefwechsels und der Tagebücher von H. Bahr.

In der Sekundärliteratur wurde oft die Meinung vertreten, dass die Studien von Breuer und Freud die theoretische Basis für die Entwicklung der Elektra-Figur bilden. Allerdings kann man auch argumentieren, dass die Hervorhebung von Elektras Nerven und Individualität als praktische Verwendung der Ideen in *Die Überwindung von Naturalismus* betrachtet werden kann. In dieser Schrift fordert Hermann Bahr eine neue Darstellung der Psychologie, die besser dem Zeitalter angepasst ist:

„Das moderne Bedürfnis verlangt Psychologie, gegen die Einseitigkeit des bisherigen Naturalismus; aber es verlangt eine Psychologie, welche der langen Gewohnheit

des Naturalismus Rechnung trägt. Es verlangt eine Psychologie, welche durch Naturalismus hierdurch und über ihn hinaus gegangen ist. Bei der alten vornaturalistischen kann es sich nicht beruhigen.“ (Bahr 1968: 50)

Im Kapitel *Die neue Psychologie* detailliert Hermann Bahr was er mit diesem Begriff meint. Zuerst gibt er eine Erklärung, die zugleich Alltagsverstand und auch zutiefst modern ist: die Psychologie muss neu sein, weil die Objekte und dadurch die Inhalte andere geworden sind. Das Verlangen an Individualisierung ist hier deutlich wie auch in *Das unrettbare Ich*. Hermann Bahr bemerkt eine interessante Beziehung zwischen Gefühlen und Wahrheit: “die ewigen Gefühle der Menschheit erscheinen in neuen Formen an uns, die auch wieder vergehen werden und dann auch wieder Lüge sind”(Bahr 1968: 56) d.h. sie sind lebendige Wahrheit solange sie aktuell sind. Im Kapitel *Wahrheit! Wahrheit!* erklärt Hermann Bahr weiter: “die Sensationen allein sind Wahrheit, zuverlässige und unwiderlegliche Wahrheit; das Ich ist immer schon Konstruktion, willkürliche Anordnung, Umdeutung und Zurichtung der Wahrheit”(Bahr 1968: 84). Was sind denn Elektras Wörter wenn nicht ein Ausdruck von individueller Wahrheit?

Außerdem, heißt es in *Die Überwindung von Naturalismus*, dass diese neue Psychologie auch eine neue Methode bräuchte, denn nur die Probleme von heute anzusprechen reicht nicht. Diese Methode sollte sowohl nach den Grundsätzen der zeitgenössischen Wissenschaft der Psychologie funktionieren, als auch “die Ereignisse in den Seelen zeigen, nicht von ihnen berichten”(Bahr 1968: 60). Damit ist nicht die Ich-Form gemeint, die nicht genügt, sondern es sind “die Erscheinungen auf die Nerven und Sinnen, noch bevor sie in das Bewusstsein gelangen sind, in dem rohen und unverarbeiteten Zustände”(Bahr 1968: 60). In den Richtlinien zur Freudschen Interpretation von *Elektra*, dürfte man die obige Beschreibung auch für Hofmannsthal's Werk benutzen. Außerdem muss noch gesagt werden, dass diese Methode die Wandlung der Seele beschreibt und dass, “das Unbewusste auf den Nerven, in den Sinnen, vor dem Verstande, zu objektiviere, verlangt das ganze Geschrei nach der neuen Psychologie”(Bahr 1968: 61).

Es ist wichtig vom Anfang an zu erwähnen, dass *Elektra* und *Dialog vom Tragischen* im selben Zeitraum erfasst wurden und die Interferenzen dieser Texte kaum ein Zufall sind. Es ist wohl bekannt, dass H. Bahr Hugo und Gerty Hofmannsthal oft in Rodaun besucht hat und er selbst hat die Diskussionen, die zwischen ihm und Hofmannsthal stattfanden, in seinen Tagebüchern notiert. Im Sommer und Herbst 1903 kommt es oft vor, dass Hofmannsthal über *Elektra* sprach. Hermann Bahr hatte die Möglichkeit den Text während und kurz nach der Verfassung lesen zu können. Es ist zu erwarten, dass er auch über seinen *Dialog vom Tragischen* mit Hofmannsthal sprach. Die Tatsache, dass Hofmannsthal und auch andere Kulturliebhaber das Manuskript kurz nach der Verfassung erhalten haben, ist aus Hermann Bahrs Tagebüchern zu erfahren: “Sende <<Dialog vom Tragischen>> an Wärndorfer, Burckhard, Schnitzler, Hofmannsthal, Beer-Hofmann, Kolo Moser, Klimt, Hevesi, Moriz Benedikt, Salten, Eysoldt, Triesch, Dörmann, Julius Bauer, Sternberg, Tann-Bergler, Wilhelm Singer”(Bahr 1997:



404). Aufgrund dieses gemeinsamen und intensiven Wechsels von Ideen kann man behaupten, dass Hermann Bahr und H.v.Hofmannsthal auch deswegen dieselbe Problematik ansprechen, und zwar die Tragik und die Rolle des Schauspielers. Es ist durchaus möglich, dass die beiden wegen ihrer Gespräche zu einer gemeinsamen Beschäftigung fanden und ihre Ideen ästhetisch verarbeiteten.

Der *Dialog vom Tragischen* ist als eine Besprechung über die Rolle der Tragödie in der Gegenwart zwischen einem Meister, einem Künstler, einem Arzt und einem Grammatiker konzipiert. Man fängt mit der Erkenntnis an, dass niemand gleich der Helden des Dramas sein möchte. Wir haben unsere Instinkte durch Zucht errungen und sind mühsam gut geworden, aber das Drama stellt sich auf die Seite des schlechten. Der Meister meint sogar: „die Griechen sind toll gewesen und darum haben ihre Weisen die Tragödie erfunden, als Kur, zur Genesung der Nation.“”(Bahr 2009: 5) Er meint, dass sich der verhaltene Trieb, der von der Sitte nicht erlaubt ist, in eine andere Gestalt verwandelt und nennt diesen Prozess „Konversion der Affekte“. Diese Idee hat als Grundlage die Studie von Breuer und Freud und wird folgenderweise vom Meister erklärt:

„die Hysterie aus Affekten erklärt, welche ein Mensch, statt sie natürlich zu entleeren und sich dadurch abzuspannen und wieder ins Gleichgewicht zu kommen, unterdrückt und gewaltsam vergessen hat, worauf sie sich entweder, wie in meinen Beispielen, in eine Trübung, häßliche Verstimmung (...) oder oft sogar in ein körperliches Phänomen, eine Lähmung oder irgend einen seltsamen, ja schauerlichen Tic verwandelt. Die Kur, die jene beiden Ärzte versuchen, ist nun, daß sie den Kranken zwingen, sich des Affektes, den er ‘hinabgeschluckt’ und gewaltsam, meistens aus Scham, vergessen hat, wieder zu entsinnen“ (Bahr 2009: 7-8)

In dieser Richtung versteht der Meister auch die Tragödie und zwar erinnert er an das Volk, das durch Kultur erkrankt wurde, was es nicht erinnern will und ist als Folge als eine Kur der Erinnerung zu verstehen. Der Mythos wurde auch helfen indem der Mensch sich frei wie in uralten Zeiten sich bewegen und fühlen konnte. So wird es hingewiesen, dass die Tragödie den Griechen von ihren Ärzten verschrieben worden sei. Ironisch wird es gesagt, dass die Dichter hoffentlich nicht davon gewusst haben. H. Bahr meint, dass es Gesund für die moderne Affekte sei, die Hysterie alten Kulturen und durch Tragödie an den Schrecken der Barbarei erinnert zu werden. Am Ende wird es beschließen, dass die Rolle, die die Tragödie für die Griechen gespielt hat, wird in der Gegenwart von Schauspielern gespielt. Dazu wird es, wie in anderen Schriften von H. Bahr, auf Stimmung viel Wert gelegt: „Es wäre menschlicher, uns lieber durch eine Hygiene des Geistes auf den großen Moment zu trainieren, übrigens aber die Pausen achtlos hinzubringen, wie sich’s eben trifft. ‘Stimmung’ ist am Ende wirklich alles und keine ‘Stimmung’ läßt sich erzwingen, wir geraten sonst in die Routine“”(Bahr 2009: 55).

Alle oben hervorgehobenen Ideen aus dem *Dialog vom Tragischen* haben eine Korrespondenz in dem *Elektra*-Text. In der Sekundärliteratur wurde sehr oft über die hysterische Elektra gesprochen. Diese geht auf die Verbindung und auf die Meister-Schüler Beziehung zwischen Hermann Bahr und Hugo von Hofmannsthal zurück, Hofmannsthals Verständnis und Rezeption der Studien von Sigmund Freud

und Joseph Breuer stehen stark unter Hermann Bahrs Rezeption. Es scheint glaubwürdiger, dass die Gespräche der beiden und der in diesem Zeitraum geschriebenen Texte mehr Einfluss hatten als die einfache Lesung der Freudschen Studie. Man könnte sogar meinen, dass die Freudschen Ideen im Text so verwendet wurden wie Hermann Bahr Freud verstanden und verwertet hat. Außerdem, ist es bekannt, dass H.v. Hofmannsthal Hermann Bahr um das Buch gebeten hat. *Elektra* hat als Kern gerade die Erforschung der Beziehung Hysterie-Affekt-Tragik-Griechheit-Stimmung und diese Wechselwirkung wurde auch im *Dialog vom Tragischen* diskutiert. In Bezug auf die Griechheit und Wirkung des Stückes, notierte Hermann Bahr folgendes: „Streit über Elektra und die Eysoldt, den ganzen Abend. Hübsch sagt Hauptmann, der sich sehr für Hofmannsthal einsetzt, ungriechisch sei das Stück freilich, weil es uns nirgends auf das Meer und zu den Sternen hinausblicken lasse, wodurch uns die griechischen Tragier mit jedem Schicksal doch immer versöhnen“ (Bahr 1997: 415). Die Meinung Hauptmanns ist uns wichtig, weil er selbst eine Version des Dramas entworfen hat. Seine Version ist im klassischen Stil geschrieben und *Elektra* ist nur ein Teil der *Atrien Tetralogie*, die auch *Iphigenie in Aulis*, *Agamemnons Tod* und *Iphigenie in Delphi* umfasst und dementsprechend eine breitere Ansicht im Fluch der Atriden bietet.

Hermann Bahr gibt den 8. Mai als Datum für den Besuch von Gertrud Eysoldt, Max Reinhardt und Hugo von Hofmannsthal an, als die sich kennengelernt haben und am 13. September notiert er, dass *Elektra* fertig sei. Die rasche Wiederaufnahme und Vollendung des *Elektra*-Stoffs spricht für eine latente Ansammlung von Ideen, die sich auf Grund des Impulses von Maxim Gorkis *Nachasyl* zu einer einheitlichen Anschauung ergaben. Die Aufführung von Reinhardts *Nachasyl* fand am 1. Mai statt. Der folgende Eintrag bestätigt, dass H. Bahr selbst die Wirkung von *Nachasyl* auf Hofmannsthals *Elektra* bemerkt hat:

„Hugo bringt mir sein <<Kleines Welttheater>>.

Erzählt mir seinen Gedanken: Elektra - König Oedipus - Oed. auf K.

Ich bewundere, wie fein er die <<Elektra>>, indem er die Wirkung ganz auf das verwilderte, zu den Sklaven verstoßene, hysterisch gewordene, arme, verblühte Mädels stellt und das Stück im Sklavenhof, wo es von ärmlichen gepeinigten Gestalten wimmelt, die bald nur hinter den Fenstern auftauchen, bald zu irgend einer Verrichtung oder durch Neugierde herausgetrieben werden, spielen läßt, wie fein er sie den Bedürfnissen und Kräften des <<Kleinen Theaters>> angepaßt hat. Dekorativ und überhaupt szenisch hat er sie eigentlich völlig ins <<Nachasyl>> gesteckt, das auf seine Phantasie sehr stark gewirkt haben muß.“ (Bahr 1997: 348)

Diese Passage hilft uns deutlich zu machen, dass dieses Theaterstück genau für Max Reinhardt und seine Ausdrucksweise gedacht war, während H.v.Hofmannsthal den Bühnenstil des Ensembles mit Hermann Bahrs Ideen von der neuen Psychologie und modernen Nerven verbunden hat. Hermann Bahr notiert auch ein andermal über den Tanz am Ende: „Zum Hugo nach Rodaun. <<Elektra>> fertig. Lieddarstellung. Der wilde Tanz am Ende herrlich. Auch durch meine Griechen, hysterisch, abgehetzt, ins Ruchlose getrieben. Diskutieren den mir für die musikalische Stimmung zu advokatorisch zugespitzten Schluss mit

dem: die Pythia hat nur Worte und Elektra hat den Tanz" (Bahr 1997: 384). Die Wichtigkeit dieses Tanzes für die Figur Elektras muss hervorgehoben werden. Hermann Bahr notiert noch zwei Gelegenheiten am 4. Oktober 1903 und am 7. November, als er sich mit Hugo von Hofmannsthal über *Elektra* unterhielt. In den Tagebücher von H. Bahr sind noch Erwähnungen über die Rezeption des Theaterstücks wie z.B. "Vergnügtes Telegramm von Hugo, Kahane, Holländer, Reinhardt und der Eysoldt über den <<mächtigsten wuchtigsten Eindruck>> der Elektra"(Bahr 1997: 404). Ein anderen Eintrag ergibt einen Einblick sowohl in die zeitgenössische Kritik, als auch in den Vorurteile, mit denen Hofmannsthal umgehen musste:

„Nachmittag nach Rodaun zum Hugo. Gespräch über <<Elektra>> und <<Gerettetes Venedig>> , ich ziehe jene vor, weil hier ausreicht, was Hugo bisher allein vollkommen kann und hat: der Ausdruck extremer Erregung, während er, um Ruhe darzustellen immer irgend einen fremden Nachton hat.

Hugo erzählt von einem Briefe Peter Altenbergs, indem er die Elektra (übrigens ganz unartistisch, vielmehr um ihres Gerechtigkeitshungers willen) feiert, Goldmann für sein albernes Feuilleton beschimpft und fortfährt: <<Ein Jude kann dies eben niemals verstehen!>> !!! Ich komme doch über die furchtbare innere Verlogenheit solcher Menschen nicht hinweg, nicht etwa moralisch verletzt, sondern psychologisch befremdet, weil ich mir durchaus nicht vorstellen kann, was in solchen Gehirnen vorgehen mag.“ (Bahr 1997: 412)

Sowohl die Absicht von H.v.Hofmannsthal, die Stoffe der griechischen Tragödien innovativ umzuschreiben als auch die Tatsache, dass er den Elektra-Stoff von Sophokles schon seit 1901 bearbeiten wollte, sind dokumentiert. Aber der entscheidende Impuls, wie in diesem Kapitel gezeigt wird, kam als Folge des glücklichen Treffens zwischen Hugo von Hofmannsthal, Max Reinhardt und Gertrud Eysoldt bei Hermann Bahr zu Hause. H. Bahr scheint immer die Rolle eines Schatteneinflusses zu spielen. Seine theoretischen Ideen von *Dialog vom Tragischen* und *Die Überwindung von Naturalismus* widerspiegeln sich und sind in *Elektra* verwendet worden.

### **3.Max Reinhardt: eine neue Art von Regie und Inszenierung**

Der Theaterregisseur Max Reinhardt ist durchaus als Erneuerer der Theaterkunst jener Zeit bekannt. Rückblickend lässt sich feststellen, dass Hugo von Hofmannsthal's Begegnung mit Reinhardt einen Wendepunkt in seiner Entwicklung als Dramatiker darstellt. Die langfristige künstlerische Beziehung zwischen Max Reinhardt und Hugo von Hofmannsthal hatte ihren Anfang im H. Bahrs Haus gehabt. Diese erste Begegnung wird im Nachlass von Hermann Bahr, von Hugo von Hofmannsthal und von Gertrud Eysoldt detailliert erwähnt und bringt ein wirklichkeitsnahes Bild dieses ersten Impulses, der sich später zu einer einzigartigen Vielfalt gestalten wird. Die Zusammenarbeit zwischen Hugo von Hofmannsthal und Max Reinhardt beschränkt sich nicht nur auf Theaterstücke, sondern die wird durch die Zusammenarbeit mit Richard Strauss erweitert. Gemeinsam schaffen sie die Salzburger Festspiele.

Leonard Fielder bemerkt in seinem hervorragenden Artikel folgendes:

„Erst im Rückblick wird die ganze Dimension dieser Beziehung sichtbar: beinahe die Gesamtheit von Hoffmannsthal's Schaffen für die Schauspielbühne ist durch Reinhardts Anregung oder in Zusammenarbeit mit dem Regisseur zustande gekommen; die wichtigsten Etappen von Reinhardts Lebenswerk bezeichnet Aufführungen Hofmannsthalscher Werke; Hofmannsthal ist Reinhardts wichtigster Berater und der beredteste Analytiker seiner Eigenart; Reinhardt wiederum Hofmannsthals entscheidende Triebkraft.“ (Fielder 1974: 185)

Die Freundschaft zwischen H.v. Hofmannsthal und M. Reinhardt ist weniger bekannt als die zwischen H.v. Hofmannsthal und Richard Strauss, weil nicht so viele Dokumente wie in dem anderen Fall zur Verfügung stehen. Während der Briefwechsel Hofmannsthal-Strauss schon während der Lebenszeit beider Verfasser veröffentlicht wurde und deswegen heutzutage Konkretes darüber geäußert werden kann, ist heute Reinhardt selbst ein Mythos geworden. Die Beweise dieser Beziehung sind nicht so vielfältig und der Tätigkeitsbereich Reinhardts kann heutzutage auch nicht reproduziert werden. Eine Inszenierung ist viel fragiler und zeitgebundener als die Opern von Hofmannsthal und Strauss, die immer noch auf der ganzen Welt gespielt werden. Dennoch lohnt es sich aus zwei Gründen diese Beziehung zu untersuchen: sie gelangten eine "beinahe ideale Verbindung von Drama und Theater, von Autor und Regisseur, die einzigartig in der Geschichte des deutschen Theaters ist, und nicht nur des deutschen - die Verbindungen zwischen Tschechow und Antoine, Giraudoux und Jouvet, Claudel und Barrault sind ähnlich fruchtbar, aber sie führen nicht zu der von Reinhardt und Hofmannsthal erreichten Vielfalt" (Fielder 1974: 184). Dieses bezeugt die umfangreiche Prägung des Regisseurs auf das Werk des Schriftstellers.

Als Hofmannsthal Reinhardt zum ersten Mal begegnete, war er gerade tief in einer Krise, die im *Brief des Lord Chandons* zum Ausdruck gebracht wird. Das Werk dokumentiert den Zweifel an der Sprache und die Möglichkeiten des Wortes, was bis zum Verstummen kommt. Fielder macht uns auf die Dichtungen wie die Pantomimen *Triumph der Zeit* oder *Der Schüler*, die in dieser Periode vollendet wurden, aufmerksam, welche als "stumme Dichtungen" bezeichnet werden können. Zu der schweren und demoralisierten Lage Hugo von Hofmannsthal's trug die Tatsache bei, dass seine ersten Theaterstücke nicht herzlich von dem Kritikern aufgenommen wurden und wegen des Fehlens an dramatischer Handlung und adäquaten Bühnenstils kritisiert wurden. Es muss erwähnt werden, dass die Tagebücher von H.v. Hofmannsthal sein Interesse an dem Werk Max Reinhardt belegen. Er verfolgte schon vor der persönlichen Begegnung mit Reinhardt die Entwicklung des zuerst vielversprechenden Schauspielers und dann des mutigen Regisseurs. Daraus entwickelten sich dann Voraussetzungen für die späteren gegenseitigen Impulse.

In erster Phase bewegte Reinhardt Hofmannsthal zur Überwindung seiner Krise durch sein Vorbild von einer innovativen Ausdrucksmöglichkeit auf der Bühne und als Erneuerer der Spielweise für Theaterstücke des Altertums. Leonard Fielder betont, dass Max Reinhardt die Antike nicht rekonstruierte, sondern einiges vom konventionellen Theater übernahm und eine neue Bedeutung und Funktion

gab. Die Wiederbenutzung des Chors als dynamische Masse und seine Inszenierungen auf Arenen sind Beispiele dafür. Die Wiederinszenierungen von griechischen Theaterstücke, die Inszenierung der innovativen Theaterautoren jener Zeit wie Henrik Ibsen oder Maxim Gorki, sowie das Heranziehen bedeutender Maler für die Dekorationen wurde zur Praxis von Max Reinhardt. Dazu kommt natürlich im Spiel auch die außerordentliche Vision eines organischen Ganzen, welche ganz viel Wert auf die Wirkung von Mimik, Pantomimik, Farbe, Licht und Dekoration legte, weil mehr Stimmung erlangt werden sollte. All dies kann schon in *Schall und Rauch* zur Anwendung und machte das Ensemble von Reinhardt rasch berühmt. Bahr meint folgendes: "Reinhardts Art zu inszenieren, indem er jedem seine Rolle, genau in der Eigenart eines jeden, nur idealisiert, vorsagt und vorspielt, gefällt mir sehr"(Bahr 1997: 403). Genau die Erkenntnis der Möglichkeiten einer solchen Annäherung erlangte Hugo von Hofmannsthal als er als Theaterbesucher das *Nachtasyl* von Maxim Gorki erlebte. Dies entfesselte in ihm die Vision einer Erneuerung Elektras, welche schon seit 1901 von Hofmannsthal erwünscht war, und bestimmte die nachfolgende Stimmung seiner *Elektra*. Es lässt sich ziemlich klar feststellen, dass genau die durch Hofmannsthal, Reinhardt und Eysoldt erreichte Stimmung zur zentralen Erneuerung des Stoffes von Sophokles beitrug, das als das wichtigste Element der Modernität des Theaterstücks gilt.

Das Leid Nastjas, ihre in-einer-anderen-Welt-leben und die generelle Aussichtslosigkeit des *Nachtasyls* halfen zur Konkretisierung seiner Position vis-a-vis der Merkmale von Elektra. Die Darstellungsmöglichkeiten von Eysoldt bot ein Vorbild für die Veranschaulichung von extremen Leid. Das Ziel war vermutlich "den Elektrastoff...aus einem Gegenstand des Bildungsinteresses zu einem Gegenstand der Emotion zu machen"(Van Handle 1986apud. Fielder1974: 193), was nur für eine bestimmte Bühne entstehen konnte. All das, was hervorgebracht wurde, hatte als Konsequenz eine Individualisierung und Psychologisierung der Figuren, die mimisch und pantomimisch zum Ausdruck gebracht wurden. Dies trug zu dem sehr wichtigen optischen Effekt, den Max Reinhardt anstrebte, bei. Es ist wichtig zu betonen, dass *Elektra* nie ohne Max Reinhardt in dieser Form entstanden wäre, denn er galt als Impuls, Inspiration und Regisseur und war imstande war das Theaterstück kraftvoll auf die Bühne zu bringen. Max Reinhardt und Gertrud Eysoldt sollen als das Rückgrat der Vision für *Elektra* sein und nicht, wie oft argumentiert wird, der Fall von Anna O.. Dies wird dennoch in weiteren Kapitel noch detaillierter diskutiert werden. Als Schlussfolgerung zu diesem Teil des Kapitels wird die Bemerkung von Fielder vorgeschlagen:

„Das stumme Spiel wird zum integrierten Bestandteil der Handlung: während die sophoklische Elektra miterlebt, stirbt die Hofmannsthalsche nach einem rasenden Schlußanz, der ihre Psyche - im Triumph über den Mord an der mörderischen Mutter und in der Verzweiflung darüber, daß er nicht von ihr selbst vollzogen worden ist - symbolisch resümiert. Hier läßt sich beinahe Schritt für Schritt nachvollziehen, wie Hofmannsthal im Kontext mit Reinhardts Bühnenkunst vom Lyriker zum Dramatiker wird.“ (Fielder 1974: 192)

#### **4. Elektra in der Gestalt von Gertrud Eysoldt. Eysoldts die Verkörperung der modernen Schauspielerin**

Die langfristige künstlerische Beziehung zwischen Hugo von Hofmannsthal und Gertrud Eysoldt lässt sich als ein Idealfall der Zusammenarbeit von Schriftsteller und Darsteller bezeichnen. Die ursprüngliche Inspirationsquelle Gertrud Eysoldt verwandelt sich im Laufe der Zeit in eine fruchtbare künstlerische Partnerschaft und treue Freundschaft. Es ist wohl bekannt, dass H.v. Hofmannsthal die Figur Elektra für Gertrud Eysoldt gestaltet hat. Der Impuls zum Schreibanfang stimmt überein mit der ersten Begegnung zwischen den beiden und wurde von beiden als ein bedeutender Moment in ihrem Leben betrachtet, wie es aus ihrem Nachlass ersichtlich ist. Hugo von Hofmannsthal schrieb am 17. Juli 1904 folgendes "Ich dachte für die >Elektra< an die Sandrock. Anfang Mai 1903 sah ich die Eysoldt im >Nachtasyl< und dann bei einem Frühstück. Ich versprach gleich bei diesem Frühstück Reinhardt, ihm eine >Elektra< für sein Theater und für die Eysoldt zu machen"(Hofmannsthal 1980: 452). Gertrud Eysoldt bietet in der Schrift *Der Dichter und die Schauspielerin* eine umfassende Beschreibung ihrer Eindrücke zum ersten Kennenlernen:

„Es war in Wien. Bei Reinhardts erstem Ensemblegastspiel. >>Nachtasyl<< wurde gegeben. Ich spielte die Nastja. Tags darauf waren wir zu Hermann Bahr geladen, der uns in Wien die Wege ebnete. Er, der in warmer Gastfreundschaft überall da vermittelte, wo er fühlte, Menschen könnten einander etwas bedeuten, hatte auch Hofmannsthal zu sich gebeten. Ich entsinne mich deutlich seines ersten Eindrucks auf mich. Ein schlanker Mensch stand vor mir, sehr zurückhaltend. Kühl, höflich. Ich stelle innerlich jede Aktivität in mir ab, wie ich es stets bei neuen Menschen tue. Ich warte dann. Die Tischunterhaltung war ungezwungen, Bahrs liebenswürdige Gastlichkeit hielt alle in Gespräch zusammen. Der einzige, der stets in Distanz war, war Hofmannsthal. Es hieß, er hätte mich sehr bewundert in meiner gestrigen Rolle, besonders in der Nastja des letzten Aktes, in der Verwundung und Verzweiflung des Mädchens. Ich hatte nun den Eindruck, daß er mich kaum sah im Zusammensein hier. Nach Tisch versammelten sich alle auf der Terrasse. Ich war froh, mit den Hunden spielen zu können - an mir riß dieses Unpersönliche eines Menschen, den Bahr zu Reinhardt und mir in Beziehung bringen wollen.

Wie es nun aber auf einmal kam - weiß ich nicht mehr - Hofmannsthal hatte plötzlich die Unterhaltung an sich genommen - er ging im Zimmer auf und ab - immer hin und her und sprach - ich schaute auf, ich blieb im Bann - er sprach leidenschaftlich - gezielt - in einem eigenen Rhythmus - und mit einem geistigen Tempo - das ein Jubel für mich war. Es erregte mich heftig. Als Gast in seinem Hause sah ich ihn noch einmal und fand ihn wieder schwer heraus - bis auf einen Augenblick allein im Garten, als er mit seiner eigentümlichen raschen Grazie mir ein paar Dinge zeigte, die ihm lieb waren.“ (Eysoldt, Hofmannsthal 1996: 5)

Außer der zurückhaltenden Einstellung von Hofmannsthal und dem anfänglichen Mangel an Begeisterung seitens der Schauspielerin, ist auch die Absicht Hermann Bahrs wichtig. Wir sich verstehen, dass er zumindest teilweise Architekt der Bekanntschaft und Zusammenarbeit zwischen Hofmannsthal, Reinhardt und Eysoldt. Dies passt zu H. Bahrs Schattenkoordination von H.v.

Hofmannsthals Werk. Als Folge ist diese Kooperation nicht als Glücksfall zu verurteilen, sondern auch dank Hermann Bahrs Unterstützung.

Obwohl *Elektra* nicht das erste Theaterstück von Hofmannsthal war, war es das erste, das öffentlichen Erfolg erreicht hat. Die kritische Rezeption der Zeit betonte bei allen früheren Versuchen, dass Hofmannsthal Schwierigkeiten hatte sich dem Styl eines Theaterstückes anzupassen. Dazu stellt der *Chandos-Brief* ein allgemeines Gefühl von Unsicherheit und ein Verlangen nach einer Ausdrucksmöglichkeit, die das Sprachliche überwinden kann, dar. Der Nachlass Gertrud Eysoldt zeigt deutlich, dass die Schauspielerin der Meinung war, dass der starke Eindruck der Aufführung von *Nachtsyl*, unter der Regie Max Reinhardts, auf Hofmannsthal als schöpferischen Drang gewirkt hat.

„Wir gastierten damals unter Max Reinhardt mit Gorkis *Nachtsyl* und Hofmannsthal war tief beeindruckt von dieser neuen künstlerischen Welt, die sich damit für ihn aufat. Ein Stil suchte sich neue künstlerische Wege, heraus aus dem bis zu leerem Pathos vielfach verflachtem alten Hoftheaterstil damaliger Zeit. Es war die Zeit des Umschwungs gekommen; Hauptmann, Wedekind, Halbe waren vorbereitend, aber noch nicht durchgedrungen, sie hatten sich die Bühne noch nicht ganz erobert.

Unter dem Eindruck Reinhardts Gastspielensembles in Wien griff Hofmannsthal den Elektrastoff, den er früher schon bearbeiten wollte und liegengelassen hatte wieder auf.“ (Eysoldt apud Niemann 1993: 90)

Die Aufführung von *Nachtsyl* unter der Regie von Max Reinhardt bedeutete, wie schon betont, eine neue Ausdrucksform und die Möglichkeiten diese kennenzulernen. Gertrud Eysoldt selbst spielte in einer Art und Weise, die weit entfernt von dem alten Hoftheaterstil war. Mehrere Quellen weisen auf ihre ikonische Frauenrollen hin, die in mancher Hinsicht als ein Höhepunkt modernistischer Spielart betrachtet werden kann. *Elektra* war nicht ihre erste Begegnung mit einer atypischen Frauenrolle, sondern eine Nachfolgerin von *Salome*, *Lulu* oder *Nastja*. Diese Figuren wurden von der Kritik als zerstört oder gewaltig interpretiert, ohne dass man ihnen immer auch eine gewisse Masse von Perversität zugeschrieben hätte. Dazu war der Ausdruck des Leids dieser Figuren eine der merkwürdigsten Elemente von Eysoldts Spielart. Es lässt sich auch bemerken, dass Gertrud Eysoldt selbst eine Vorliebe für Schockelemente, die auf der Bühne aufgehen konnten, hatte. Carsten Niemann spricht von einem Reichtum an Bewegungsbildern, die das Ergebnis ihrer Suche nach einen neuen Weg der Gefühlsäußerung war. Bemerkenswert ist die Aufmerksamkeit Gertrud Eysoldts für die Psychologie der Figuren und ihre Bemühungen dies vielfältig auszudrücken. Niemann betont, dass „genau in der Veranschaulichung dieses psycho-psychologischen Ereignisses (...) Gertrud Eysoldt, besondere schauspielerische Befähigung für die Gestaltung der *Elektra*“ (Niemann 1993: 93) sah.

Die Zeitschrift „Neues Wiener Journal“ spricht am 17.09.1919 über die „Nervenkunst“ der Schauspielerin, welche vielleicht auch Hofmannsthal bei ihr identifizierte. Außer Spekulation steht die Tatsache, dass die Aufmerksamkeit für Nerven und Psychologie, vor allem bei H. v. Hofmannsthal als er *Elektra* schrieb,

in Übereinstimmung mit dem Bedarf nach einer neuen Psychologie, die Hermann Bahr in *Die Überwindung von Naturalismus* hervorgebracht hat, steht.

Ein anderes Element, mit dem sie große Wirkung bei ihren Figuren hatte, war der Gebrauch von mimischen und pantomimischen. Dies stimmte mit dem pantomimischen Theater überein, das von Max Reinhard praktiziert wurde. Gertrud Eysoldt lässt sich in einem Brief von 1905 von H.v. Hofmannsthal beraten, wie sie eine Sequenz spielen sollte:

„Die Electra studieren wir neu ein fürs Deutsche Theater - in meiner letzten Runde an die Klytemnästra möchte ich noch etwas Neues herausbringen. Etwas Mimisches. Ich möchte die Klytemnästra heftiger und starrer umstellen - das nicht >>Auslassen<< stärker bringen. - Vielleicht gelingt mir's. - Es muss alles leiser, brennender, tödlicher - wie ein stiller Mord wirken. Hab' ich recht?“ (Eysoldt, Hofmannsthal 1996: 22)

Eysoldt benutzte die körperliche Ebene, die sie zur persönlichen Kunst machte, um eine außergewöhnliche Stimmung zu schaffen und eine neue Ebene der Bedeutung herauszubringen. All dies, was zum persönlichen Stil Eysoldts gehörte, war im Gegensatz zu den naturalistischen Drama, welches noch üblich war. Sowohl die Regie von Max Rheinhardt, als auch Gertrud Eysoldts Spielart entsprechen einer Erneuerung des Theaters am Anfang des 20. Jahrhunderts.

Nicht nur das Publikum war von der Elektra stark beeindruckt, auch die Schauspielerinnen selbst, die eine denkwürdige Erfahrung beim Lesen des Textes gemacht hatte. Sie schrieb an Hofmannsthal:

„Lieber Hugo von Hofmannsthal.

Ich habe nicht gewagt die Elektra zu lesen vor der Salomeaufführung - ich fürchtete die Elektra würde mir die Salome zudecken und verschütten. Heut Nacht habe ich die Elektra nun mit nach Hause genommen und eben gelesen. Ich liege zerbrochen davon - ich leide - ich leide - ich schreie auf unter dieser Gewaltthätigkeit - ich fürchte mich von meinen eigenen Kräften - vor dieser Qual, die auf mich wartet. Ich werde furchtbar leiden dabei. Ich habe das Gefühl, dass ich sie nur einmal spielen kann. Mir selbst möchte ich entfliehen.

Sie haben nun ein paar Momente mit meinem brennenden Leben geschrieben - Sie haben aus meinem Blut alle Möglichkeiten wilder Träume geformt - und ich habe hier ahnungslos gelebt und an Sie nur in heiteren buntfarbigen Stunden gedacht - sorglos gewartet auf das Ereignis, das Sie mir bringen würden. Und *was* ich hier lebte - war weiches wärmendes Fürsorgen um mir liebstes Menschenkind, und ein Ausruhen von tausend Leiden vergangener Jahre. Und Sie haben inzwischen fern von mir alle wilden Schmerzen, jener einstigen Zeiten - alle Empörungen, die meinen schwachen Körper je geschüttelt haben - all dies *unendliche brünstige* Wollen meines Blutes sich zu Gaste geladen und schicken es mir nun zu. Ich erkenne alles wieder. Ich bin so furchtbar erschrocken. Ich entsetze mich. Ich wehre mich - ich fürchte mich.

Warum rufen Sie mich da in meinen bängsten Tiefen! Wie ein Feind.

Gertrud Eysoldt.“(Eysoldt, Hofmannsthal 1996: 9)

Die ersten Bemerkungen, die Gertrud Eysoldt im Brief macht, kommen auf die Ähnlichkeit zwischen der Figur Salomes und Elektras zurück. Die



Schauspielerin der beiden Figuren selbst spürt intuitiv eine Annäherung, die vielleicht auch ihre Auffassung und Darstellung von Elektra beeinflusst hat. Was Gertrud Eysoldt bei der ersten Lektüre des Textes erlebt hat, überschneidet sich in gewissem Masse mit dem von H.v. Hofmannsthal geplanten Effekt des Stückes und mit der Empfindung des "wildem Schmerzen" als Erlebnis. In erster Linie hat *Elektra* eine Erneuerung bei Hugo von Hofmannsthal gefunden durch die Darstellung des Leidens mit neuen Mitteln und in einer viel gewaltsameren Art für die Umschreibung eines Mythos in der deutschsprachigen Literatur. Dieser Brief bringt zugleich eine Bestätigung der beiderseitigen seelischen Annäherung zwischen Dichter und Schauspielerin. Hugo von Hofmannsthal hatte Gertrud Eysoldt ein Theaterstück versprochen und schrieb es aus der gemeinsamen Tiefensensibilität heraus. Die persönliche Einbindung in Bezug auf dieses Stück lässt sich auch auf Grund des späteren Briefwechsels begründen, als Eysoldt diesen Eindruck auch zehn Jahre nach der ersten Aufführung noch immer in Erinnerung hatte:

„Es ist nicht aus dem Blut zu verlieren, dass ich eine Nacht lang schluchzend lag als ich Electra zum ersten Mal las. Diese Wellen schlagen immer wieder einmal an's Ufer. (...) es ist das verwandte Wesen der Temperamente, das dunkle Etwas, was Sie trieb Electra zu schreiben, - mich ergriff davon geschüttelt zu werden bis in's Innerste.“ (Eysoldt, Hofmannsthal 1996: 91-92)

Dazu ist auch folgende Bemerkung aus *Der Dichter und die Schauspielerin* relevant. Sie fasst Eysoldts Beziehung sowohl zu Hofmannsthal, als auch zu *Elektra* zusammen.

„Seltsam ist es aber, daß doch eine geheimnisvolle Macht mich immer wieder - oft in Zwischenräumen von Jahren - ihm unendlich nahe bringt. Es kann mir dann geschehen, daß ich nach starken Ereignissen in meinem persönlichen und künstlerischen Leben - plötzlich in einer Sturmflut von Selbstgesprächen zu ihm rede und ein brennendes Verlangen nach seiner Freundschaft und Brüderlichkeit empfinde. Das ist >>Elektra<<.“ (Eysoldt, Hofmannsthal 1996: 5-6)

#### **4. Schlussfolgerung**

Abschließend können betonen, dass Elektra nicht nur an die Zeitperiode, in der sie geschrieben wurde, gebunden ist, sondern auch fundamental an die Begegnung mit Hermann Bahr, Max Reinhardt und Gertrud Eysoldt. Auffällig in diesem ist die Tatsache, dass jeder der drei einen anderen Bestandteil des Theaterstückes beeinflusst hat. Hermann Bahr wirkte als Theoretiker und Freund, Max Reinhardt als Vorbild einer neuen Art von Inszenierung und Gertrud Eysoldt als Verkörperung einer zeitgenössischen, nicht naturalistischen Spielart.

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