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WORKSHOP

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RECENZII / BOOK REVIEWS

Număr coordonat de:

Lect. univ. dr. RODICA FRENȚIU

創造・動力・信念 *Creation. Effort. Faith*

創造・動力・信念 *Creație. Efort. Credință*

Rodica Frențiu

FOREWORD

The Department of Asian Studies in Babes-Bolyai University, the Faculty of Letters, was created in 2008 and it includes three major lines of study for Japanese, Chinese and Korean languages and literatures. These studies enrich the educational offer of the Faculty of Letters, as they provide access to languages and cultures which have been researched to an insignificant extent in Transylvania up until recently. The three lines of study use the experience of the last few years, when Japanese language was a minor field of study, while Chinese and Korean were provided as selective courses in the Faculty of Letters.

This issue of the university journal, *Studia Universitatis Babes-Bolyai. Seria Philologia,* wishes to mark the establishment of the Department of Asian Studies as an auspicious moment with hopes for the future. In addition, we expect that this issue will account for the fascination which, in time, has turned into a profound interest for various aspects of far-eastern languages, literatures and cultures, as they became subjects for research, study and meditation in the Romanian cultural and educational environment. We believe that the study of any kind of linguistic, literary or cultural matter is an important contribution to the understanding of a *forma mentis*, as a particular view over a certain intellectual and spiritual frame. Language, literature and culture exist as creative systems which offer keys to their understanding and insights into their inherent possibilities. Thus, when confronted to a cultural text – an object, a gesture, a myth or a literary creation – we will *know how to read it*, so that nothing would seem meaningless. Therefore, we hope that the works included in this issue will have found the right words to express, or at least suggest, the meaning acquired through the encounter with other cultural and linguistic environments.

Last, but not least, we wish to express our gratitude towards our collaborators, who kindly and generously answered our invitation to create this special issue dedicated to Asian studies.

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THE INTEGRATION OF FOREIGN TECHNOLOGY
INTO JAPANESE CULTURE

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ABSTRACT. *The Integration of Foreign Technology into Japanese Culture*. The topic of my talk, 'The Integration of Foreign Technology into Japanese Culture', was suggested to me by the Organizing Committee in line with the general theme of the present congress[**]. In accepting to talk about this suggested topic, I am aware that I am not expected to give a historical account of the process of integration, supported perhaps with statistical data. I understand rather that I am expected to concentrate on human factors involved in the process --- more specifically, on such questions as what 'foreign technology' has meant to Japanese people, how they have reacted to it, and how finally it has been made to come to terms with the native sense of values. I am going to emphasize that in reacting to newly introduced foreign civilization, Japanese have tended to manifest a fairly consistent pattern of behaviour through the different stages of history --- a consistent pattern which one might characterize as a 'habitus' in Bourdieu's terms (cf. note (1)). Thus, in the course of my talk that follows, I will be referring to such points as the native conception of 'technology', the characteristic responsiveness to 'foreignness', the culture-bound notion of 'creativity', together with the relevant background social and historical factors.

Keywords: *technology, foreignness, creativity*

For the Japanese, there were two major encounters with foreign civilization. The first encounter was with Chinese civilization (cf. note (2)). It started around the latter 4th century (in which the unification of the country is presumed to have been made) and continued through the centuries that followed. The second was the encounter with Western civilization. Three stages may conveniently be distinguished. The first stage began with the introduction of guns by shipwrecked Portuguese

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merchants in 1543, followed by a period of frequent contact with mainly Jesuit missionaries and ending with the decree issued in 1639 by the Shogunate (the government headed by feudal lords and not by the Emperor) which placed a strict ban on Christianity and concomitantly prohibited foreigners' access to the country. The second stage began with the lifting of the ban on contact with foreigners in 1853, followed by the signing of a treaty of amity with the U.S. in 1856 and subsequently with other Western countries and going through a turbulent period marked by the fall of the Shogunate and the restoration of the imperial rule in 1868 down to the Second World War (1941-45). The third stage represents a period after the end of the Second World War up to the present, in which the country has seen a quick recovery from the wartime devastation, followed by an economic boom and the current stagnation.

Now when we compare the two major encounters I have just mentioned in terms of the integration of foreign technology, the first encounter, that is, with Chinese civilization, appears to have been less problematic than the second. There were several obvious reasons for this. There was sufficient cultural affinity, first of all; moreover, no firmly established native tradition as yet existed on the receiving side at that time, either onto which the foreign tradition might have been grafted or with which the foreign tradition might have come into conflict. Technology at that time was still at human-sized level, so to speak; it concerned what one might call 'tools' rather than 'machines'. And there was no immediate political and territorial threat to the country, either. None of these points, however, are necessarily applicable to the second major encounter, that is, with Western civilization. In the rest of my talk, I will be concentrating on the integration of Western technology.

The first (historically) recorded encounter with Western technology was, as I said, the introduction of firearms in the mid-sixteenth century. In 1543, shipwrecked Portuguese merchants landed on Tanegashima (a small island at the southernmost tip of the territory then under the control of the Shogunate). Two harquebuses (or portable matchlock guns) were bought by the local lord, who was so intrigued with the new type of arms which the strangers had brought with them and with which they made a demonstration for him. He then ordered the local swordsmiths to produce the same firearms, not for explicitly military purposes but, I imagine, just to satisfy his curiosity. In one year's time, dozens of guns are said to have been made available. The indigenous technique of producing swords of good quality apparently enabled the local smiths to meet the new demands. The rumour of the newly arrived strange instruments soon spread to other parts of the country. When it reached the ears of mightier lords, some of them became aware of their usefulness in the warfare and the production of guns for specifically military purposes began in earnest. On the occasion of the feudal lords' invasion of Korea in 1592-97 (i.e. only half a century after what happened on a small island in the far corner of the country), tens and thousands of guns are said to have been carried. In retrospect, what happened on the occasion of this first encounter with Western technology is often commented on as being symbolic of such qualities as 'insatiable curiosity', 'manual dexterity', and 'practical mindedness' on the part of Japanese. See the quotation given in note (3).

The further influx of Western technology continued, with the first arrival of the Christian missionaries in 1549 (only a few years after the introduction of firearms mentioned above) and the subsequent active missionary work by the Jesuits in the western part of the country. This part of the country was frequently visited by Portuguese, Spanish and Dutch traders and Western ideas, coupled with associated technologies, in medicine and astronomy, among others, were introduced. The Shogunate government, however, became more and more worried about the growing Western influence and in 1639, an edict was issued banning the activities of Christians and foreign traders. The policy of national seclusion *(sakoku,* or 'closing the country': see the quotation given in note (4)), thus adopted, was to last for approximately two centuries.

After China's miserable defeat in the Opium War (1840-42), the political and military pressures of Western countries grew ever more and finally in 1853, the visit of Commodore Perry's American fleet (or *kurofune* 'black ships', as was then popularly called: see the quotation in note (5)) pressed the Japanese government to open the country. Treaties of amity were signed with several Western countries in 1858 and afterwards. The early attempts to transplant Western technology of military industry, however, met only with limited success, because the native basis of production was such that no large-scale production was yet possible. The focus was now laid on the importation of finished products and the invitation of Western technicians for advice and guidance. This course of action was to become still more conspicuous after the fall of the Shogunate government and the restoration of the Emperor's rule in 1867.

At this point, it will be interesting to compare what happened in China and in Japan about this period of time when the two countries were equally faced with the question of how to deal with Western technology. Both countries were in danger of an imminent military invasion by Western powers backed by overwhelming technological supremacy. At this time, two mottoes, apparently very similar to each other, are known to have become current in the two countries: 'Chinese learning is the main way. Western learning is (concerned with) application' (literally, CHINA-LEARNING, WEST-APPLICATION) and 'Japanese spirit (combined with) Western learning' (literally, JAPANESE SPIRIT, WESTERN LEARNING). The implication of the former motto, which is the Chinese version, is that Chinese learning is to occupy the central and important position and that Western learning is to be assigned to a peripheral position. The latter motto, which is the Japanese counterpart, encourages to keep the traditional spirit, which, however, is to be improved on by Western learning. (See the quotation in note (6).) Thus one was oriented towards exclusionism and the other, towards eclecticism. China, at that time, was controlled by an exclusive group of bureaucrats (rather than technocrats), who were traditional, conservative, and inflexible. Japan, in contrast, was not hampered by excessive national pride; people were willing, receptive, and adaptable. Thus in medicine, for example, Chinese rejected Western medicine in favour of the native physic, while Japanese·chose to replace the latter with the former. There was also an interesting difference in the way Western writings were introduced through

translation: in China, translation was mainly dictated by Westerners who knew Chinese, while in Japan, translation was undertaken by Japanese who learned the languages in question. Moreover, the national literacy rate is known to have been incomparably higher in Japan than in China.

Coming to the period after World War II, of which people often talk about an 'economic miracle', one point we must take into account is the fact that Japan constitutionally declared to renounce the use of arms as means for solving international conflicts, with the result that it became possible for the country to concentrate on civilian industry. And in a way quite appropriate to the country which gave up the production of large and costly military equipments, the focus was now on 'miniaturization' and yet nonetheless 'high performance'. (See the quotation in note (7).) To the native inhabitants of the country, it is not very difficult to detect in this orientation a vestige of the ideal of the traditional folk art. A piece of folk art should be a clever device which combines the virtues of handiness and charm --- something which appeals to the potential consumer's curiosity and guarantees his/her aesthetic satisfaction. On the part of the craftsperson who produces a work of folk art, this means that the process of production is to be backed by manual dexterity and ever more diligence. A sort of empathetic responsiveness to the potential consumer's wish may also be expected of the craftsperson, who must anticipate the former's wish and make every effort to improve on his/her product accordingly. (See the quotation in note (8).) Quite a number of these features characterizing the native traditional folk art appear to have been transferred, and have successfully contributed, to the post-war industrial and technological development in the country, especially in its earlier stages. Efforts were made to improve and to produce ever better products and this goal was pursued as if one were going an ever-stretching way. What we have here is nothing other than the philosophical notion of 'WAY' being put into practice --- the goal being pursued recedes farther and farther away as one works towards it. (For the philosophical notion of *michi* or 'way', see the quotation in (9).) Going along an ever stretching way thus becomes itself a goal and in such a practice the assumed contrast between 'work' and 'play' is beautifully neutralized. (See the quotation in note (10).)

A few more questions must be discussed before concluding. One is the question of the (sometimes alleged) Japanese dependence on imported technology. Importation of technology, however, is not a simple imitation. It involves an improvement on it, adapting it to new needs and meeting higher standards. Still one may ask whether this is 'creativity'. One must not forget in this connection that Japan has been marked by a cultural milieu which emphasizes continuity, rather than discontinuity, with the tradition. Whether it is the traditional art of archery, judo, noh play, poetry, flower arrangement, tea ceremony or whatever, those initiated into it were told first to embody the traditional patterns of behaviour and then to grow out of them. (See the quotations in note (11) and (12) for the discussion of the culture-bound notion of creativity. The traditional Japanese emphasis on continuity is well illustrated by the art of allusion and intertextuality as discussed in the quotation given in note (13). Cf. also the remark in note (14).)

All this is, moreover, often backed, at the individual's level, by a strong moral sense of modesty, as manifested in reservedness, non-assertiveness---or self-depreciation, as the case may be. (See the remark by the inventor of carbon fibre given in note (15).) Also at the group's level, this is matched with an emphasis on harmony and conformity in personal relationships, which may produce negative as well as positive results. (For an example of the positive side of this 'family-like' atmosphere, see the quotation in note (16).) Placed in the context of bitter competition among rivalling companies, this means that the highest priority tends to be given not so much to a long-term vision as to immediate, concrete results, with the consequence that a less solid investment is made in basic research. (See also the remark by a Nobel-Prize winner previously quoted in note (11).)

The last point referred to above relates to yet another point to be commented on, namely the relationship between 'science' and 'technology'. One can say in general that the relationship is close in the West, while it is rather tenuous in Japanese tradition. In other words, the Japanese conception of technology *(gijutsu* in Japanese) is less specifically delimited than the Western. Definitions of 'technology' as given in Western dictionaries invariably refer to its close ideological tie with the notion of 'science' (e.g. *Technologie*=die Lehre, wie wissenschaftliche Erkenntnisse in der Produktion genutzt wird; *technology*=the general use of scientific knowledge for practical purposes, usually seen in actual machines or in industry). And for the word *technique,* two definitions are provided: (1) a set of means by which the newest scientific knowledge is applied to production and processing, (2) methods for accomplishing a task in a most efficient and effective way by making use of one's intuitive sense and skill acquired through practice *(Longman Dictionary of Contemporary English,* 3rd ed.), where the second sense is understood as representing a derivative extension of the first. The Japanese word *gijutsu* covers the meanings of both technology and technique. In any case, the generic sense (corresponding to (2) above) is understood to be primary, and the specific sense (corresponding to (1) above) to be derivative, for the Japanese word. It will no doubt be due to this relative lack of scientific ideology that the indigenous anthropomorphic conception of 'technology' *(gijutsu)* persists: 'machines' conceived of as a bit more complicated kind of 'tools' ('tools' as extensions of the human body), emphasis on 'clever' devices and 'skilful' accomplishment, and robots not as foes but as helpful friends and colleagues (see the quotation in note (17).).

Finally, let me add a few more words about the relationship between work and play. The relationship as seen from the viewpoint of the producer has already been discussed in referring to the notion of craftspersonship in Japan. The same relationship can also be discussed from the viewpoint of the user. In this perspective, we see that play can motivate technological development. Consider game hunting for sport, (as contrasted with farming), horse racing (as contrasted with the use of horses for transport purposes) and the like. These activities are plays, and not works. Focusing on the present day post-industrial age, we can readily imagine that the surplus productive capacity will be directed to creating products which will serve the purposes of play. In fact, we are already witnessing

quite a number of such products. Some of them will help us to experience and enjoy the technologically created 'virtual reality'. And I am sure that philosophers are already beginning to wonder what all this highly developed technology will ultimately bring to the humans.

Notes:

(1) The structures constitutive of a particular type of environment (e.g. the material conditions of existence characteristic of a class condition) produce *habitus,* systems of durable, transposable *dispositions*, structured structures predisposed to function as structuring structures, that is, as principles of the generation and structuring of practices and representations which can be objectively "regulated" and "regular" without in any way being the product of obedience to rules, objectively adapted to their goals without presupposing a conscious aiming at ends or an express mastery of the operations necessary to attain them and, being all this, collectively orchestrated without being the product of the orchestrating action of a conductor. (P. Bourdieu: *Outline of a Theory of Practice,* Cambridge, 1977)

(2) There was in fact a still earlier contact with Korean civilization. Its impact, however, tended to be overshadowed by that of Chinese civilization because Koreans also owed much to Chinese civilization and the Japanese interest was directed to the bigger power, China, especially after the political unification of the land.

(3) In 1542, shipwrecked Portuguese brought harquebuses to Japan. It is reported that these excited Japanese so much and that the foreign visitors were very warmly welcomed. What happened here is quite symbolic of the character of Japanese civilization in the beginning of the 16th century and serves well to distinguish it from that of India and China. People in India and China are said to have shown no special interest when they first met Portuguese with their firearms; they simply regarded the latter as rude barbarians. […] Japanese treated their visitors well; they are friendly, polite people and as a matter of fact, they are very curious to learn about new things. (G. Sansom: *The Western World and Japan,* New York, 1951 (quoted in K. Tsurumi: *Nihonjin no Kokishin* (The Japanese and the Sense of Curiosity), Tokyo, 1972)

(4) National Seclusion (*Sakoku*):
Policy (1639-1854) adopted by the Tokugawa Shogunate (1603-1867) in an effort to legitimize and strengthen its authority, both domestically and in East Asia. The main elements of the policy were the exclusion of Roman Catholic missionaries and traders, the proscription of Christianity in Japan […], and the prohibition of foreign travel by Japanese. The first *Sakoku* edict was issued in 1633. The 17-article directive covered the coming and going of Japanese overseas, the search for Christian converts and missionaries, and the regulation of foreign trade. All ships and Japanese subjects were forbidden to leave Japan for a foreign country without a license; all Japanese living abroad were to be put to death if they

tried to return to Japan. (G. Itasaka et al., eds.: *Kodansha Encyclopedia of Japan,* Tokyo, 1983)

(5) Am 8. Juli 1853 lief eine amerikanische Flotteneinheit von vier Kriegsschiffen, darunter zwei dampfgetriebenen, unter dem Oberbefehl des Commodore Matthew Calbraith Perry in die Bucht von *Edo* ein. Die aufgeregt herbeieilenden Hafenbeamten ließ Perry (ohne sich selbst zu zeigen) wissen, dass er einen Brief seines Präsidenten Fillmore an die japanische Regierung habe, den er hier und bald und zwar nur an einen qualifizieten Vertreter des Shogun zu übergeben gedenke. Aufforderungen, samt seinem Brief wieder abzusegeln oder wenigstens den Hafen *Nagasaki* anzulaufen und eine Übergabe des Briefes dort, weit weg von *Edo,* zu versuchen, wies Perry kurz und nicht ohne drohende Grobheit zurück.

Im übrigen verließ Perry sich auf die Wirkung, die seine "Schwarzen Schiffe" machten---sie gingen als solche in die japanische Geschichte ein. In Edo war, kaum daß man die Schiffe bemerkt hatte, Panik ausgebrochen. (D. Krusche: *Japan --- Konkrete Fremde*, München, 1973)

(6) *Wakon Yosai* (Japanese spirit, Western knowledge): The ideal of adopting and applying Western learning and knowledge in conformity with native Japanese cultural traditions. The phrase was a modification of an earlier, similar sounding slogan, WAKON KANSAI (Japanese spirit, Chinese knowledge), said traditionally to have been coined in the 9th century to call attention to the importance of the native cultural heritage and the unique spirit inherent in Japanese civilization. In like fashion the phrase *wakon yosai*, also based on this same notion, gained currency in the Meiji period (1868-1912) as Western knowledge and technology began to be adopted on a large scale in Japan. It also echoed the expression "oriental ethics (spirit), Western technique (science and technology)," of the samurai thinker SAKUMA SHOZAN (1811-64). In the early phase of the modernization of Japan, the adoption of Western technology was an inevitable, necessary step toward the pursuit of envisioned national growth. The wish to maintain traditional moral values produced the position of compromise known as *wakon yosai.* This term exemplifies the process by which traditional Japanese culture and Western technology were woven together in modern Japanese civilization. (G. Itasaka et al., eds.: *Kodansha Encyclopaedia of Japan*, Tokyo, 1983)

(7) Then there is the transistor, which after the war helped Japan break into the international marketplace. This, too, was made possible by the Japanese belief that in order to make something more manageable, more compact, and more functional, one has to make it smaller. In a sense, then, the "transistor culture" goes all the way back to the Heian period. Japanese folding fans, nothing more than imported Chinese rigid fans reduced in size then reexported, produced a miracle by taking the functionalist West by storm, a storm that today shows no signs of abating. It has its latest manifestation in smaller, simpler cameras and electrical household appliances, not to mention the more sophisticated world of VSLIs.

Although the Japanese imported the basic idea for many of these products from China or the West, their special contribution was in reducing them to fit the

hand, and this allowed Japanese products to take the lead. (O-Young Lee: *Smaller is Better---Japan's Mastery of the Miniature,* Tokyo, 1984)

(8) The Japanese equipment industry is prompt in responding to the user's wishes. The user's demands are promptly accepted and efforts are made to introduce improvement after improvement in the products. The American equipment industry is not as ready to meet the user's demands as the Japanese. 'Here is our product. Use it if you find it satisfactory. We can't, on the other hand, start to improve on it if only a single user finds it unsatisfactory.' This is apparently the characteristic attitude of the American equipment industry. […] The American maker does not necessarily react if the incidence of breakdown does not exceed the tolerance level. The Japanese maker starts to check what the problem is. *(Nihon no Joken: Gijutsu-Taikoku no Sugao* (Japan: the Real Face of a Technological Big Power), Vol. 12, Tokyo, 1993)

(9) *Michi* (literally, " the Path," "the Way"): Written with a Chinese character (Chinese: *dao* or *tao)* that is also pronounced *do* in many Japanese compound words. A term used in the Far East, i.e., the Chinese cultural sphere, to denote the fundamental principle underlying a system of thought or belief, an art, or a skill. Also used by extension to refer to a system of thought or belief in its entirety or to the entire body of principles and skills that constitute an art. In this later sense it is used in Japan, in the pronunciation *do,* as part of name of a number of traditional skills or codes of behavior, as in *chado* or *sado* (the Way of tea, i.e. the tea ceremony), *shodo* (the Way of writing, i.e., calligraphy), *kendo* (the Way of the sword), *bushido* (the Way of the warrior), and so forth. (G. Itasaka et al., eds.: *Kodansha Encyclopedia of Japan,* Tokyo, 1983)

The Japanese preference for the asymmetrical is related to their love of the Not Quite Finished, the Not Altogether Perfect **---** a tendency sometimes carried to bizarre and artificially primitive extremes. But it is more than a matter of taste, and even more than a conventionalised application of Taoist wisdom: it seems to spring from the primary instincts of life conceived as pure motion and thus hostile to a perfection that leaves no room for desire. Faust dies when he is urged to ask the instant to stay: "Verweile doch, du bist so schön!" (K. Singer: *Mirror, Sword and Jewel --- A study of Japanese Characteristics,* London, 1973)

(10) There is a thought in Japan that what is important in human life is not to work and strive for practical purposes but to deeply appreciate the meaning of life through concrete experiences. Hence play, conceived as an activity or a state associated with no practical purposes, came to be considered a 'way/path' **---** a way/path towards the mind's complete freedom. In this sense, it merged with the ideal state of enlightenment, in which there no longer obtained the opposition between 'doing nothing' and 'doing work' --- both being manifestations of 'play'. (A. Amagasaki: 'The Notion of Play in Japan', *Nihonbigaku* (Japanese Aesthetics) 15 (1990))

(11) The long years of Japan's isolationism ended a little over 100 years ago at the beginning of the Meiji era, and the subsequent swift introduction of Western science and technology brought Japan into the fellowship of the industrial

nations. And in an amazingly short period of time, it became known as one of the great industrial powers of the world. Thus, it can be said that in terms of modernization and industrialization, the Japanese have shown remarkable talent. But just what is the essence of this remarkable talent that has been exercised by the Japanese? There are those who would claim that it is nothing more than the simple talent to imitate.

However, I do not feel that this is the whole story. My reasons for feeling this way are that in order to keep ahead in the advanced field of science and technology, constant improvement and advancement must be carried out and in order to accomplish this purpose, both a high technology standard and an enduring creative imagination are demanded, which would be quite impossible through mere imitation.

The only unfortunate element I find is the fact that almost all the advanced technology development that has been carried out in Japan to date has been based upon scientific discoveries made in other countries. The computer is an excellent example of this phenomenon. And there is almost no instance of the opposite situation in which scientific discoveries made in Japan have seen development abroad.

In spite of the fact that the Japanese have shown sufficient talent in the development of advanced technology to amaze the entire world, why are they lacking in the ability to make basic scientific discoveries? This is a problem that is important not only to the Japanese themselves, but that the rest of the world also has great interest in solving as well.

The first thing that can be said is that there were virtually no modern scientific traditions in Japan until a little over 100 years ago. In the beginning, the science and technology of the West was introduced into Japan lock, stock, and barrel, accompanied by neither knowledge of the ups and downs that were experienced in the building process nor the valuable creative experience that went into the initial discoveries upon which that building was accomplished. For this reason, the Japanese found it difficult to rid themselves of the delusion that the very passing on of information from foreign countries was the basis of modern learning.

And on top of this historical process is the singular Oriental social structure that prevails in Japan. This structure originates in the idea that the ancient sages and the people of the past in general were far greater than those living today. […] Also, as is seen in the old saying, "the younger should give precedence to the elder," there was a tendency to hold great respect for age and look down upon youth. […] The promotion of science comes through those who break away from the norm and stand out as an individual moving force. But the Japanese are a people who avoid standing out from their peers. They not only feel uncomfortable when they stand out in a crowd, but they do not feel happy about a companion who stands out from others either. One who becomes conspicuous soon finds himself not only excluded from the activities of his group of friends, but totally ostracised from his community as well. This is clearly illustrated in such popular aphorisms as "a protruding nail will get itself pounded back into place," and "a protruding foot will get itself pulled."

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[…] It may be very difficult for the Japanese to throw off their traditional and unique characteristics and the influence of history and climate, but I feel that the time has come for us to nurture within ourselves the ability to renovate our old ways of thinking and our old systems to bring about a brighter future. And I further believe that if we make efforts in this direction, we will be able to bring out the creativeness that gave birth to our great traditional culture and to apply it to the creation of a basic scholarship that will contribute to the improvement of the entire world. (K. Fukui (winner of the Nobel Prize for Chemistry in 1981): 'The Japanese and Creativity', in S. Yamamoto et al.: *Japanese Essences*, Tokyo, 1985)

(12) Within the larger framework of Japanese cultural history, prior, that is, to the opening of the country and the first full-scale contacts with the West and with Western concepts, both the notion and the reality of the artist-genius, that godlike hero, is totally unknown. The distinction between originality and plagiarism was meaningless, since neither of these concepts seems even to have been recognized. For reasons having to do with social and geopolitical structure as well as religion, there is absolutely no place in the Japanese mythos for the image of the artist as rebel, as defying the cannons of his age, as a hero whose gifts stand out in opposition to the academy --- think of our artistic giants: Cezanne, Beethoven, Proust.... In the Japanese tradition even the greatest artists have always been part of the academy. (Noel Burch: 'Approaching Japanese Film,' in S. Heath and P. Mellencamp, eds.: *Cinema and Language,* University Publication of America, 1983)

Until well into the last century, men of letters say nothing remarkable about having common stock of expressions or ideas, which they were not in the least frightened of raiding wherever they pleased. Nor was this attitude found only among the second-raters, the poetasters and pamphleteers. It was shared by the best poets, that is to say, those whose reputations were high in their lifetimes, and have endured till today. (N. Bagnell: *A Defence of Clichés,* London, 1985, referring to the English literary world) (Quoted in Y. Ikegami: 'In Defence of "Imitation" --- Creativity as a Culture-bound Notion', a plenary lecture given in V. Internationaler Kongress der Deutschen Gesellschaft für Semiotik, Essen, 1987)

(13) The corpus of *waka* --- the many thousands of Japanese poems composed, for the most part, in the orthodox thirty-one-syllable form --- lies at the core of a canonical tradition in which we can learn much by plotting the signifying patterns of both allusion (overt gestures made by the maker of one poem to another poem or poems or other texts) and of intertextuality (the radical interrelatedness or interdependence of all texts) in its larger sense. Allusiveness is extremely conspicuous in this tradition, and many specific instances of allusion, as well as the nature of allusion itself in this tradition, are major concerns of this book. But I would maintain that even when a poem of this tradition makes no explicit allusion through gesture, playful or otherwise, to another particular poem, it nonetheless rather transparently relates itself intertextually to virtually all other poems in the tradition, by replicating familiar formal structures and enacting familiar attitudes; and even when these structures and attitudes are overthrown by something unfamiliar or unorthodox, that seemingly antagonistic relationship is also one that attains significance

through intertextuality. Also, whenever a commonality of textual materials is celebrated through the gesture of allusion, and whenever a disjuncture of materials or treatments disrupts the illusion of harmonious textual continuity, significations are produced. That is to say, the act of making or of recognizing an allusion, as well as the act of participating in an intertextuality by positioning a text in some relationship of similarity to or difference from any or all other texts, are acts that in themselves have significance. In traditional Japanese poetry, such gestures and acts carry as much weight and call for as much attention as do the more readily perceived (though no less significant) constituents of poems --- their words --- from which they are inseparable. (E. Kamens: *UTAMAKURA, Allusion, and Intertextuality in Traditional Japanese Poetry,* New Haven, 1997)

(14) One can find certain features recurring across different areas of Japanese culture. Such features are the focus on complementarity (rather than a focus on contrast), subject-object fusion (rather than subject-object opposition) and metonymic orientation either in terms of focus on the concrete (rather than focus on the abstract) or in terms of focus on the small (rather than focus on the large). One has the impression that all these features in culture are prototypically found in the way in which the Japanese language functions. Think, for example, of the relatively high dependence of the text on the context (with the result that the boundary between the two is blurred) and the active involvement of the text's receiver in the process of making sense of the text (so that the text's receiver duplicates the role of the text's producer).

A natural consequence to derive from all these orientations is harmony and continuity. Thus in its creative aspect of semiosis, this cultural-semiotic milieu has understandably not so much favoured revolutionary innovations which break with the past as it has the constant process of improving on what preceded. (Y. Ikegami: 'Sign Conceptions in Japan' in R. Posner et al., eds.: *Semiotik --- Ein Handbuch zu den zeichen theoretischen Grundlagen von Natur und Kultur*, II. Teilband, Berlin, 1998).

(15) Akio Shindo, the inventor of carbon fibre: 'I just sowed the seeds. Those seeds are now being grown by many people in many places of the world. It is enough for me as a researcher to know that.' *(Nihon no Joken: Gijutsu-Taikoku no Sugao* (Japan: the Real Face of a Technological Big Power), Vol.12, Tokyo, 1993)

(16) One characteristic of the Japanese business, as contrasted with the Western, is that the difference between the management and the labour in terms of their status and of the roles they play is relatively small. In matters related to administration, planning, and production, all members of the business are supposed to be involved, being encouraged to offer ideas for improvement and suggest how to implement them. It looks as if the whole business behaves like a huge artisan putting his heart and soul into his work. (A. Takeuchi: 'Gijutsu to Gijutsu o Koeru Mono' (Technology and What Goes beyond Technology) in *Gijutsu to wa* (What is Technology?), ed. by H. Uzawa et at., Tokyo, 1990)

(17) The economist Takeuchi Hiroshi maintains that the Japanese actually treat their robots with love. He notes: "At Nissan Motors' Zama plant, robots are called by the names of beautiful actresses and entertainers. This tells us a great deal

about how Japanese workers regard robots on the assembly line."He even goes so far as to say that, "having given the robots endearing nicknames, the workers seem to work together with them as though they were human co-workers." Because the workers treat their robots like people, they keep them in good operating order, fix them when they are out of kilter, and generally go to a great deal of trouble for them. Workers at the Fujitsu Fanuc factory, Japan's largest fully automated plant, also give names to their robots, although they prefer commoner names than those chosen by the Nissan workers, names like Taro (a popular Japanese boy's name), Sakura (cherry), and Ayame (iris).

In the West, "things" are objects to be used. In monist Japan, however, thoughts and feelings are attributed to things. Things become an end in themselves rather than a means to an end. For instance, when guns were first introduced into Japan, people were more interested in decorating the handles than in making them more effective killing instruments. (O-Young Lee: *Smaller is Better --- Japan's Mastery of the Miniature,* Tokyo, 1984)

EVENT MODEL WITHOUT TIME SHIFT*

TOSHIYUKI SADANOBU**

ABSTRACT. *Event Model without Time Shift.* Event models previously suggested have in common time shift as their essential element. But there are events expressed as a single state without time shift, at least in Japanese. This paper suggests a new type of event model ("interaction-based model") through a close investigation of Japanese event expressions.

Keywords: *event model, time shift, state, interaction-based model, experience, Japanese*

1. Introduction

There are many aspects of language that can never be fully understood without taking human cognition into consideration. Linguistic phenomena such as voice, case marking, and markedness, for example, are dependent to a large degree on the event conception by speakers. In order to explain various aspects of event expressions, two types of event models have so far been suggested; the energy-based type and the spontaneous type. It would be helpful to briefly outline them here.

The energy-based type of event models is well known through accomplishments such as "force dynamics" (Talmy 1976, 1985) , "causal chain" (Croft 1991, 1998) and "billiard-ball model" (Langacker 1991). According to these energy-based event conceptions, an event expressed by sentences such as (1a,b), for example, is roughly modeled as an energy transfer from a female person to the speaker by hitting, which is shown in Figure 1 below.

(1) a. She hit me.
     b. I was hit by her.
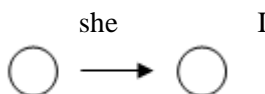
Figure 1: An energy-based event expressed by (1a,b).

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In Figure 1 there are two round circles and an arrow extending from the left circle to the right circle. The left circle stands for the female and the right circle stands for the speaker. The arrow stands for the energy transfer from the female to the speaker in terms of the hitting of the speaker conducted by the female. The energy-based type of event models are useful for explaining many aspects of event expressions of various languages, among which are (i) semantic similarity, (ii) case marking, (iii) voice, and (iv) markedness as follows: (i) The semantic similarity between the sentences (1a) and (1b) is captured if we accept the idea that they share as a part of their meaning the energy transfer from the female to the speaker which is shown in Figure 1 above; (ii) In the sentence (1a), the pronoun *she* is in nominative case and the pronoun *me* in accusative case. In the sentence (1b), on the other hand, it is not the female but the speaker that is expressed in nominative case and the female is expressed in oblique case. These differences of case marking of pronouns between (1a) and (1b) are explained if we assume that a nominative noun generally expresses the foreground; (iii) This assumption enables us at the same time to say the sentence (1a) is in active voice and the sentence (1b) in passive voice, because the foregrounded thing is the source of energy transfer in the case of (1a), and the receiver of energy transfer in the case of (1b); (iv) Because of the existence of the passive marker (e.g. "be -ed" in (1b)), a passive sentence is generally longer than its corresponding active sentence. The markedness of a passive sentence compared with an active sentence can be explained in the following way: it is not so natural for a human being to pay much more attention to the energy receiver than to the energy source. In addition to transitive events exemplified in (1), some intransitive events, reflexive events and middle events are also thought to be explainable within the framework of energy-based conception of the event (e.g. Croft 1991, 1994; Kemmer 1994, 2003).

As is exemplified above, the energy-based type of event models is no doubt of much use for linguistic analysis (cf. Sadanobu 1999: ch. 1), but it does not follow that these models always work well with event expressions in every language. Cross-linguistic studies such as Teramura (1976), Ikegami (1981), and Nakagawa (1992) reveal that languages vary from *suru*-language (i.e. *do*-language) on one side to *naru*- language (i.e. *become*-language) on the other side concerning the way of expressing events. *Suru*-language means a language that is inclined to express an event as an action conducted by some object, whereas *naru*-language means a language that is apt to express an event as a spontaneous change of state, which cannot be attributed to any object. According to the previous research cited above, English has a strong tendency of *suru*-language, although some recent research focusing on natural speech data rather than on idealized data of English cast some doubt on that idea (e.g. Hopper 1995). On the contrary Japanese is given a position much closer to the *naru*-language side. An illustrative example of difference between *suru*-language and *naru*-language is given in (2) below.

(2) a. I have decided to get married.
　　　b. kekkonsuru koto-ni　　　nari-mashi-ta.
　　　　get married event-into　　become-POLITE-PAST
　　　　"(Lit.) I am to be married."

Both of the sentences (2a) and (2b) convey the news of the speaker's getting married, but their ways of expressing it differ from each other: (2a) expresses it as an action of deciding done by the speaker; (2b) expresses it as a spontaneous change of the speaker's state. English speaking people usually adopt (2a), whereas Japanese people commonly select (2b). This difference of event expression between *suru*-languages and *naru*-languages is of course based on the difference of event conception. The nature of events expressed in *suru*-languages can be captured successfully in terms of the energy-based type of models. Then how about events expressed in *naru*-languages? Since they have no relation to energy transfer among objects, another type of event model is needed to explain their aspects. Mold-growth model, suggested by Sadanobu (1995, 2000), is an event model of this type. According to this model, an event expressed by sentences such as (2b), for example, is roughly conceived as is shown in Figure 2 below.

the state that the marriage has not been settled
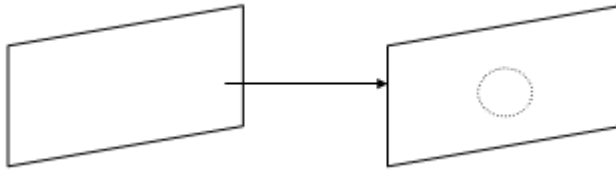
the state that it has been settled

Figure 2: A spontaneous event expressed by the sentence (2b)

In Figure 2 there are two parallelograms and an arrow extending from the left parallelogram to the right parallelogram. Each parallelogram stands for a state that is relevant to the current topic. The left state is the earlier state in which the plan of the speaker's marriage has not been decided, and the right state is the later state where it has been decided, which is standed for by a dotted circle on the right parallelogram. The arrow extending from the earlier state to the later state stands for the spontaneous change of state, which is spontaneous just like a natural growth of mold on a floor where it did not exist in the earlier stage. As argued in Sadanobu (1995, 2000), the mold-growth model is useful to explicate many behaviors of *naru*-language sentences that remain unexplained if we adhere only to the energy-based event conception. Among them are: (i) mismatch between number-of-time expressions and the events expressed, (ii) mismatch between argument structure and predicate verb, and (iii) mismatch between argument structure and case marking. They are briefly exemplified in the sentences (3a-c) below:

(3) a. [Title] <u>Yonkai meishou-o kaeru</u> sakana:
　　　　four times name-ACC change fish:
　　　　"A fish which <u>changes names four times</u>:"

[Text] *Bora*-wa seichou-totomoni namae-ga kawaru shusse-uo-de, goku chiisai chigyo-o *oboko* (aruiwa *subashiri*-tomoiuu), tansui-ni haittekuru-koro-o *ina*, umi-ni kaette seijukushita mono-o *bora*-to yobu. Sarani seigyo-to natte *todo*-to iu.

"*Bora* is a kind of "promotion-fish," which changes names like titles as it grows up. We call it *oboko* (or *subashiri*) at the youngest stage. When it grows bigger and comes into fresh water areas, we call it *ina*. After the *ina* stage, it goes back to the sea and gets more matured. We call it *bora*. And at the final adult stage it is called *todo*."

[from an illustrated reference book *Zusetsu Sakana no Mekiki Ajikiki Jiten*, by Uhei Naruse, Shin'ichi Nishinomiya, and Kenji Motoyama 1993]

　　　b. Saeko-wa issou kao-o akaku s-<u>ase</u>-mashi-ta.
　　　　Saeko-TOPIC more face-ACC red make-CAUSATIVE-POLITE-PAST
　　　　"(Lit.) Saeko made <u>make</u> her face blush more."
　　　　"Saeko made her face blush more."

[from a novel *Shinigami no Kao*, by Kooichi Iiboshi 1991]

　　　c. <u>Kurabu feisu-no mashin-ni tama-ga ataru</u> koto-ga daiichi.
　　　　 club face-GEN center-GOAL ball-NOM hit event-NOM most important
　　　　"(Lit.) It is most important that <u>the ball must hit the center of the face of the golf club</u>."
　　　　"It is most important that the center of the face of the golf club must hit the ball."

[from a golf instruction book *Kihon Besuto Gorufu*, by Hiroshi Imai 1991]

The sentences (3a-c) were not created in a linguist's laboratory but elicited from real written texts, and most Japanese speakers judge them as perfectly natural. This raises some "problems" to the grammatical studies. The number-of-time expression *yonkai* (i.e. four times) in the title of the short note (3a), for example, looks redundant by one time, because the number of fish name stages expressed in the following text (*oboko/subashiri*, *ina*, *bora*, and *todo*) is four and therefore the frequency number of the changes of fish name must be arithmetically three. As a result, the naturalness of (3a) might threaten the validity of the tradition of reifying events as individuals since Davidson (1967) (cf. Tenny and Pustejovsky 2000:5). Some linguists might be tempted to regard the naturalness of (3a) not as a matter of grammar but as a matter of actual performance in everyday life (e.g. the speaker's miscounting the changes of the fish's name), but close investigations reveal that their naturalness must be explained within the scope of grammar. The mold-growth model is very useful to explain the naturalness of such seemingly ungrammatical sentences, in terms of which the event is conceived as a four-time occurrence of the fish's name through four stages, rather than as three-time energy transfers of passing the torch

from stage to stage. The same is true of (3b, c). The sentence (3b) has two arguments (i.e. Saeko and her face) but its predicate verb *akaku-s-ase* (i.e. to make make blush) requires three arguments. Here the causative morph *ase* seems redundant. This apparently redundant (but actually natural) occurrence of causative morph can be explained if we admit a spontaneous (i.e. agnostic, in this case) process between the causer's process (i.e. Saeko's embarrassment) and the causee's undergoing process (i.e. the blushing of Saeko's face). The sentence (3c) is an example of hypallage and the case form exchange of the noun phrases *kurabu feisu-no mashin* (i.e. the center of the golf club face) and *tama* (i.e. the ball) does not affect the "logical meaning" of this sentence. What motivates this hypallage is the highly symmetrical feature of the Japanese predicate *ataru*, which the English counterpart *hit* lacks. In a golf shot, there is a great physical difference between the golf ball and the golf club; the golf ball is in a complete standstill and a golf club moves toward it. Such a difference, however, does not hinder Japanese speakers from conceiving a golf shot as a symmetrical event between the golf ball and the golf club. As Langacker (1991) points out, energy-based models are effective for explaining various facets of asymmetrical events. But they are not so effective for symmetrical events, since the notions such as the energy source and the energy receiver are inherently asymmetric. The mold-growth model, instead of the energy-based models, can explain this event as a spontaneous change of the first state where the ball and the club are apart from each other to the second state where they are in contact. Sadanobu (1995, 2000) showed the necessity of the mold-growth model in addition to the energy-based models, through the discussion of all these points in detail, and suggested "frame-cutout," an event conception model from which both event models are derived.

The objective of this paper is to further suggest another type of event model in addition to the two types (i.e. energy-based type and spontaneous type) outlined above, by observing various event expressions in Japanese. What is common to these two types of event models, which have previously been suggested, is that they have time shift as their essential element. Energy-based models presuppose time shift from the time point when the energy is possessed by the source to the time point when the energy is located at the receiver. The Mold-growth model also presupposes time shift from the earlier state to the later state. The event model newly suggested in this paper is for events without time shift.

2. Exploration

This section shows that a situation of exploring a new environment changes a single state into an event. See (4) below.

(4) a. Uchi-no   kinjo-wa,   <u>shocchuu</u> resutoran-ga aru-yo.
     my house-GEN neighborhood-TOP <u>often</u> restaurant-NOM exist-I
     tell you
     "(Lit.) There are often restaurants in my neighborhood."
     "There are many restaurants in my neiborhood."

b. Kono machi-wa, <u>shocchuu</u> resutoran-ga aru-ne.
  this town-TOP   <u>often</u> restraunt-NOM exist-aren't there
  "(Lit.) There are often restaurants in this town, aren't there?"
  "There are many restaurants in this town, aren't there?"

Frequency expressions such as *shocchuu* (i.e. often) in the sentences (4a, b) express the frequency of events, not the frequency of states. But the predicate phrase *resutoran-ga aru* expresses a state (i.e. the existence of a restaurant) rather than an event. This is why (4a) is unnatural. What is important here is that the sentence (4b), unlike (4a), is quite natural because of its natural situation of exploring. It is plausible that the town is an unfamiliar place to the speaker and that the speaker is exploring it, by walking around, for example. In such a situation, every state of the town presented in front of the speaker during the exploration is not just a state but also an event. In other words, the speaker's consciousness of exploring the unknown environment changes the state *resutoran-ga aru* (i.e. the existence of a restaurant) into an event, so the frequency expression *shocchuu* can co-occur with it naturally in (4b). In the case of (4a), on the contrary, the speaker's neighborhood is generally supposed to be a familiar place to the speaker and then it is not so natural for the speaker to express the distribution of restaurants in the neighborhood as her/his experience of exploring.

We can find the same phenomenon in the locative expressions. See (5) through (7) below.

(5) a. Niwa-<u>ni</u>   ki-ga   ari-mashi-ta-yo.
    garden-<u>LOC</u> tree-NOM exist-POLITE-PAST-I tell you
    "There was a tree in the garden."
  b. Niwa-<u>de</u>   ki-ga   ari-mashi-ta-yo.
    garden-<u>LOC</u> tree-NOM exist-POLITE-PAST-I tell you
     "There was a tree in the garden."

(6) a. Niwa-<u>ni</u>   paatii-ga   ari-mashi-ta-yo.
    garden-<u>LOC</u> party-NOM exist-POLITE-PAST-I tell you
    "There was a party at the garden."
  b. Niwa-<u>de</u>   paatii-ga   ari-mashi-ta-yo.
    garden-<u>LOC</u> party-NOM exist-POLITE-PAST-I tell you
     "There was a party at the garden."

(7) a. Nattou-nara   uchino-reizouko-<u>de</u> ari-mashi-ta-yo.
    fermented beans-TOP my house-fridge-<u>LOC</u> exist-POLITE-PAST-
    I tell you
    "There were fermented soybeans in the fridge of my house."
  b. Nattou-nara   Pekin-<u>de</u>   ari-mashi-ta-yo.
    fermented beans-TOP   Peking-<u>LOC</u>   exist-POLITE-PAST-I tell you
    "There were fermented beans in Peking (and I saw/tasted it)."

As is well known by many articles including Alfonso (1980), Matsumura (1957), and Nakau (1998), Japanese has two locative markers *ni* and *de*, the former

being for a thing's location and the latter for an event's location. Since a tree is not an event but a thing, the *ni*-sentence (5a) is natural and the *de*-sentence (5b) is unnatural. On the contrary, the *ni*-sentence (6a) is unnatural and the *de*-sentence (6b) is natural because a party is not a thing but an event. The unnaturalness of the *de*-sentence (7a) can be explained in the same way as in (5b), because fermented soybeans, which is a traditional Japanese food, is not an event but a thing. The *de*-sentence (7b), however, is quite natural in spite of the fact that it expresses the existence of things (i.e. fermented soybeans) as well as (7a). This is because (7b), as shown in the English translation, expresses the existence of fermented soybeans as an event of the speaker's exploring the town of Peking rather than as mere knowledge. The town of Peking is huge and it is plausible that the speaker explored it. On the other hand, the sentence (7a) cannot be taken in the same way, because the fridge in the speaker's house is too familiar to the speaker, and it is not natural to express the existence of fermented soybeans there as an experience of exploration rather than of mere knowledge.

The object to be explored is not limited to physical spaces such as the town of Peking. As in the following sentence (8a), we very often explore other people.

(8) a. Ano kyaku-wa, miteiru-<u>bakari</u>-de, chittomo kawa-nai-nee.
that customer-TOP   watching-<u>only</u>-and   at all buy-NEG-don't you think
"Don't you think that customer is never going to buy anything, only looking?"

b. Ie ie, miteiru-<u>bakari</u>-desu-kara.
No, no looking-<u>only</u>-COPULA-because
"No thank you. (I don't want to try anything on) because I am only looking."

The sentence (8a) can be uttered in a secret voice by a clerk to another clerk, at a tailors shop, for example. The sentence (8b), on the other hand, is unnatural as a response by the customer to the clerk who recommended her/him to try on something. We can attribute this unnaturalness of (8b) to the enclitic *bakari*, because the replacement of it to synonymous enclitic *dake* makes this sentence completely natural as shown in (9b), as well as (9a).

(9) a. Ano kyaku-wa, miteiru-<u>dake</u>-de, chittomo kawa-nai-nee.
that customer-TOP   watching-<u>only</u>-and   at all buy-NEG-don't you think
"Don't you think that customer is never going to by anything, just looking?"

b. Ie ie, miteiru-<u>dake</u>-desu-kara.
no no looking-<u>only</u>-COPULA-because
"No thank you. (I don't want to try on anything) because I am just looking."

Although *bakari* and *dake* both mean limitation, their meanings differ slightly from each other. Kikuchi (1983) and Sadanobu (2001) show that the meaning of *bakari* is event-based. According to them, *bakari*, unlike *dake*, expresses the monotony of multiple events. Now the difference of naturalness between (8a) and (8b) can be explained if we accept this idea and pay attention to the difference between self and others. We cannot know what other people are going to do just in the same way as we know what we ourselves are going to do, and so we frequently explore other people but seldom explore ourselves. The state of the speaker's looking at products is no more than a state for the speaker herself/himself, but every state of the other person's behavior like looking at products can be an event of the speaker's exploration.

3. Somatics

It is not only the exploration that makes up an event from a single state. The somatic feature of the responses the speaker receives in her/his experience also changes a single state into an event. Let us see (10) for example.

(10) a. Kono terebi, sakki-kara   tokidoki akai-ndakedo,
     this TV set   just now-ABL <u>sometimes</u> red-CONJ
     nanka kowaretenai?
     anything wrong
     "(Lit.) The screen of this TV set is red sometimes. Is there something wrong with it?"

   b. Kono siito, sakki-kara   <u>tokidoki</u> itai-ndakedo,
     this seat   just now-ABL <u>sometimes</u> painful-CONJ
     nanka tsukidetenai?
     anything sticking
     "The seat sometimes hurts my hip. Is there something sticking out of it?"

The word *tokidoki* (i.e. sometimes) in the sentences (10a, b) is a frequency expression. As stated in Section 2, what frequency expressions express is the frequency of events, not of states. But the predicate adjective *akai* (i.e. red) in the sentence (10a) expresses a state, rather than an event, therefore (10a) is unnatural. In order to make this sentence natural, we must use the verb *akaku-naru* (i.e. turn red), which expressed an event, instead of the adjective *akai*, as in (11a) below.

(11) a. Kono terebi, sakki-kara   <u>tokidoki</u> akaku-naru-ndakedo,
     this TV set   just now-ABL <u>sometimes</u> red-become-CONJ
     nanka kowaretenai?
     anything wrong
     "The screen of this TV set sometimes turns red. Is there something wrong with it?"

    b. Kono siito, sakki-kara   <u>tokidoki</u> itaku-naru-ndakedo,
    this seat   just now-ABL <u>sometimes</u> painful-CONJ
    nanka tsukidetenai?
    anything sticking
    "The seat sometimes hurts my hip. Is there something sticking out of it?"

On the other hand, the sentence (10b) as well as (11b) is natural. This is because of the somatic feature of the adjective *itai* (i.e. painful). Although the adjectives *akai* and *itai* both designate the state of the response the speaker receives from the environment, the latter is more somatic than the former, in that a pain is directly felt through tactile organs by nearly all animals, whereas a red color is "judged" only by highly advanced animals which can differentiate one color from another. The somatic feature of *itai* (i.e. painful) changes its meaning from a state of being painful into an event of experiencing pain, so the frequency expression *tokidoki* co-occurs with it naturally in (10b).

The same observation applies to *bakari*-sentences. See (12) below.

(12) a. Ano ryouri-wa, nigai-<u>bakari</u>-de,   sukoshimo oishiku-nai.
      that dish-TOP   bitter-<u>only</u>-and   at all delicious NEG
      "That dish is just bitter, not delicious at all."
    b. Ano ryouri-wa, mezurashii-<u>bakari</u>-de, sukoshimo oishiku-nai.
      that dish-TOP   rare-<u>only</u>-and   at all delicious NEG
      "That dish is just rare, not delicious at all."

The sentences (12a, b) express the low evaluation of the dish by the speaker. According to these sentences, what the speaker can find in the dish is only its bitter taste (in the case of (12a)) or its rareness (in the case of (12b)), and s/he does not feel it delicious at all. In spite of their similarity of meaning, (12b) is somewhat unnatural compared with (12a). This difference of naturalness between (12a, b) disappears when we replace the enclitic *bakari* to *dake*, as shown in (13) below.

(13) a. Ano ryouri-wa, nigai-<u>dake</u>-de,   sukoshimo oishiku-nai.
      that dish-TOP bitter-<u>only</u>-and   at all delicious NEG
      "That dish is just bitter, not delicious at all."
    b. Ano ryouri-wa, mezurashii-<u>dake</u>-de,   sukoshimo oishiku-nai.
      that dish-TOP rare-<u>only</u>-and   at all delicious NEG
      "That dish is just rare, not delicious at all."

The sentence (13a, b) are both natural, therefore the difference of naturalness between (12a) and (12b) should be attributed to the enclitic *bakari*. As mentioned earlier in Section 2, *bakari*, unlike *dake*, needs multiple events. And it should also be noted here that a bitter taste is highly somatic, since it is a sharp stimulus felt directly through one's tongue in one's body (i.e. the mouth). This somatic feature of bitter taste changes a state of the dish's being bitter into an event of experiencing bitter taste conducted by the speaker at every instance while tasting

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the dish, which makes the connection of *nigai* (i.e. bitter) and *bakari* natural in (12a). On the other hand, the rareness of the dish price does not have such a somatic feature, which is the reason (12b) is not so natural as (12a).

Somatic feature also affects the naturalness of adverbial modification. See (14) below.

(14) a. Ano ryouri-wa, yaya nigai-<u>bakari</u>-de, sukoshimo oishiku-nai.
that dish-TOP to some extent bitter-<u>only</u>-and at all delicious NEG
"That dish is only bitter to some extent, not delicious at all."

b. Ano ryouri-wa, chotto nigai-<u>bakari</u>-de,
that dish-TOP a little bitter-<u>only</u>-and
sukoshimo oishiku-nai.
at all delicious NEG
"That dish is only a little bitter, not delicious at all."

c. Ano ryouri-wa, tadamou nigai-<u>bakari</u>-de,
that dish-TOP tremendously bitter-<u>only</u>-and
sukoshimo oishiku-nai.
at all delicious NEG
"That dish is only tremendously bitter, not delicious at all."

d. Ano ryouri-wa, hitasura nigai-<u>bakari</u>-de,
that dish-TOP very much bitter-<u>only</u>-and
sukoshimo oishiku-nai.
at all delicious NEG
"That dish is only bitter very much, not delicious at all."

All of the sentences (14a-d) consist of the sentence (12a) and an adverb modifying the degree of bitterness. Their naturalness depends crucially on the degree of bitterness expressed as follows: the sentences (14a, b), which lower the degree of bitterness by adverbs *yaya* (i.e. to some extent) and *chotto* (i.e. a little), are unnatural; the sentences (14c, d), which raise the bitterness degree in terms of such adverbs as *tadamou* (i.e. tremendously) and *hitasura* (i.e. very much), are natural. This difference of naturalness between (14a, b) on one hand and (14c, d) on the other hand should be ascribed to the enclitic *bakari* again, since it disappears when we replace *bakari* in these sentences with *dake*, as shown in (15a-d) below.

(15) a. Ano ryouri-wa, yaya nigai-<u>dake</u>-de, sukoshimo oishiku-nai.
that dish-TOP to some extent bitter-<u>only</u>-and at all delicious NEG
"That dish is only bitter to some extent, not delicious at all."

b. Ano ryouri-wa, chotto nigai-<u>dake</u>-de,
that dish-TOP a little bitter-<u>only</u>-and
sukoshimo oishiku-nai.
at all delicious NEG
"That dish is only a little bitter, not delicious at all."

      c. Ano ryouri-wa, tadamou nigai-<u>dake</u>-de,
        that dish-TOP tremendously bitter-<u>only</u>-and
        sukoshimo oishiku-nai.
        at all delicious NEG
        "That dish is only tremendously bitter, not delicious at all."
      d. Ano ryouri-wa, hitasura nigai-<u>dake</u>-de,
        that dish-TOP very much bitter-<u>only</u>-and
        sukoshimo oishiku-nai.
        at all delicious NEG
        "That dish is only bitter very much, not delicious at all."

The preference of high degree to low degree of bitterness observed in (14) can be explained if we connect it with the request of the somatic feature the *bakari*-sentences (14a-d) must have as follows: A stimulus tends to be more somatic when it is strengthened, and it tends to be less somatic when it is weakened.

For locative expressions, it is not so easy as in Section 2 to show a clear case whose naturalness is affected by the somatic feature of the response. The locative marker *de* can be natural in various sentences where we expect it to be unnatural, probably because of the inherent vagueness of *de* among locative, conjunctive, and assertive interpretations. Instead of locative expressions, let us see here the conditional sentences (16) and (17) below.

(16) a. Kore, oshi-tara, gamen-ga   <u>akai</u>-yo.
        this   push-if   screen-NOM <u>red</u>-I tell you
        "If you push this button, the screen will be red."
      b. Kore, oshi-tara, kimochi-ga   <u>ii</u>-yo.
        this   push-if   feeling-NOM <u>good</u>-I tell you
        "If you push this button, you will feel fantastic."

(17) a. Kore, oshi-tara, gamen-ga   <u>akaku-naru</u>-yo
        this   push-if   screen-NOM <u>red-become</u>-I tell you
        "If you push this button, the screen will turn red."
      b. Kore, oshi-tara, kimochi-ga   <u>yoku-naru</u>-yo.
        this   push-if   feeling-NOM <u>good-become</u>-I tell you
        "If you push this button, you will feel better."

All of the sentences (16a, b) (17a, b) are conditional sentences, but (16a, b) on one hand and (17a, b) on the other hand differ from each other concerning the type of predicate of their apodoses: The apodoses of (16a, b) have stative predicates *akai* (i.e. be red) and *ii* (i.e. good); The apodoses of (17a, b) have dynamic predicates such as *akaku-naru* (i.e. turn red) and *yoku-naru* (i.e. get better). As an instruction of a new TV set, for example, (16a) is unnatural but (17a) is natural. This difference of naturalness between (16a) and (17a) can be explained by using a general constraint that an apodosis of a conditional sentence must express an event

(cf. Sadanobu 2002). The apodosis of (17a) expresses an event (i.e. a change of the screen color), whereas that of (16a) expresses a state (i.e. the final state of the screen color), not an event, because it lacks *naru* (i.e. become). And what has to be noticed here is that (16b) is natural as well as (17b), as an instruction of a new massaging machine, for example. The difference of naturalness between (16a) and (16b) can be understood if we take into account the somatic feature of the stimulus. The apodosis of (16b), unlike that of (16a), expresses a highly somatic state, which changes this state into an event of experiencing a good feeling.

4. Interaction and Grammar

In Section 2 we have seen that the situation of exploring the environment changes a state into an event, thereby affecting the naturalness of event expressions. And in Section 3 we have seen that the somatic feature of responses the speaker receives from the environment also has the same kind of effect. Since these events are derived from states, they have no time shift. The event models previously suggested, whether they are energy-based or spontaneous, have time shift as their essential element, therefore they cannot explain these events. So what types of event models are newly needed in order to explain these events? My answer to this question is that interaction-based models are needed.

These events in question are characterized as motivated by the interaction between the experiencer and her/his environment, which is shown in Figure 3 below.
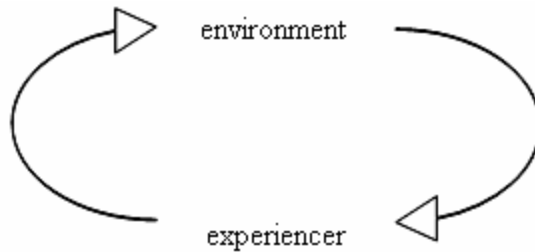
Figure 3: The interaction between an experiencer and her/his environment

In Figure 3, the interaction between the experiencer and the environment is divided into two parts for the sake of convenience. One part is the approach from the experiencer to the environment, and the other part is the response from the environment to the experiencer. The upward arrow on the left side of this figure means the former part, and the downward arrow on the right side the latter part. The experiencer's consciousness of exploring makes the former part stronger and more active, whereas the somatic feature of the response makes the latter part more prominent. Thus, both of them contribute to the activation of the interaction between the experiencer and the environment, although their contribution is comple-

mentary. This shows that events without time shift cannot stand alone. I mean that the interaction between the experiencer and the environment is indispensable to this type of event, namely experiences. This is why I call the event model, which I suggest for events without time shift, an "interaction-based model" or "experience model." The "interaction-based model" is shown in Figure 4 below.
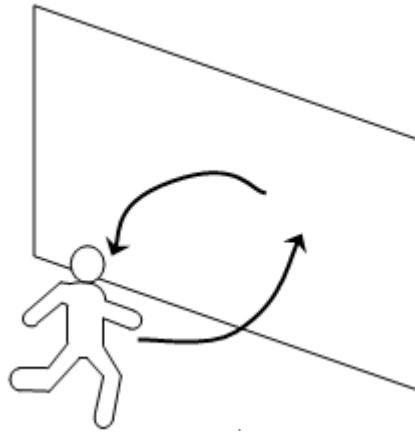
Figure 4: The interaction-based model of events

This model contains only three elements: an experiencer, an environment and an interaction between them. All these elements are on a specific time point, and there is no time shift.

5. Conclusion

This paper examines the necessity and the mechanism of an interaction-based model, a new type of event model through a close investigation of Japanese event expressions. In concluding, I should note the five points below.

First, event models previously suggested -- whether they are energy-based or spontaneous -- all have in common time shift as their essential element. But there are events expressed as a state without time shift at least in Japanese. In addition to event models previously suggested, we need a new type of event model for explaining these events.

Second, events without time shift cannot stand alone. They have the interaction between the experiencer and the environment as their indispensable core. Only activating this interaction motivates these events. The interaction-based model is suitable to explain these events.

Third, there are two ways of motivating the interaction. One is to activate the experiencer's approach to the environment, and the other is to activate the environment's working on the experiencer.

Forth, the consciousness of exploring the environment contributes to motivate the interaction in the former way. This is ascertained by the fact that the change of the expressed place and thing from a familiar one to unfamiliar one raises the naturalness of stative sentences containing event-related expressions such as frequency words like *shocchuu* ((4)), the locative marker *de* ((7)), and the enclitic *bakari* ((8)).

Fifth, the somatic feature of response from the environment contributes to motivate the interaction in the latter way. This is ascertained by the fact that the change of stimulus expressed from a feeble one to an intense one raises the naturalness of stative sentences containing frequency words like *tokidoki* ((10)), the enclitic *bakari* ((12)(14)), and the apodoses ((16)).

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AOI-MATSURI – ESSENCE OF THE SACRED AND THE BEAUTY

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ABSTRACT. *Aoi-matsuri – Essence of the Sacred and the Beauty*. The primary aim of *Aoi-matsuri*, which takes place in Kyōto on May 15th, is to uphold the refined traditions and customs of the Heian Court and the ancient songs and dances given as offerings to the celebrated deities. It emphasizes at the same time the role of purification encountered at every step in order to meet the sacred. The festival consists of two main parts – the religious rituals which take place at the two Kamo-shrines and the grand procession parading through the old capital. The bouquet of Japanese traditional arts – ikebana, tea ceremony, poem contest, etc. – displayed at Kamo-shrines as offerings to the ensuing festival as well as the breath-taking landscape and the impressive brightly colored vermillion wooden sanctuaries around, imbued with 13 century-old mystery, make one feel in an out-of-the-world realm.

Keywords: *Japanese, Heian Culture, kami, ritual, entertainment, hollyhock.*

Before the introduction of Buddhism in the 6th century, the only existent Japanese religion consisted of a group of rituals and beliefs without a definite name. They were later called *Shintō* – the way of the gods – in order to differentiate them from Buddhism – the way of Buddha. Japanese thought they could find a spiritual power, a soul, or a deity – *kami* – in everything that was animate or inanimate, and especially in wind and rain, fire and water, thunder and lightning, rocks, forests, mountains, and other phenomena of nature. In the presence of such objects they felt a sense of wonder and awe. These *kami* or spiritual powers were believed to influence human life in numerous ways as transmitters of both good and ill. That's why the

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ancient Japanese would worship such forces and they are still doing it wonderfully, though unaware of the ancient significance. While watching them, one feels that modern Japan has been momentarily left behind. However, tradition doesn't impede evolution and modernization, and the secret of Japan could be the very future of its past. The Japanese are able, for a couple of hours or even days, to separate themselves from the busy-ness of daily life in order to revive the image of the old pageants which triumphantly entered the realm of the revered *kami*. And tradition lays claim to the right of being observed especially in this domain.

Matsuri mean ritualized life, allowing people to commune with their gods and ancestors. Japanese festivals, which consist of purification rites, sacred offerings (food, music, and dance), and usually a procession through the neighborhood, are the art through which this close relationship stays alive and harmonious.

The long history of Shintō belief, nurtured by the folk culture of common people has had a strong influence on the sacred behavior of the Japanese. Folk beliefs preserve the strong enduring power which perseveres in the lower structure of society. In spite of bewildering changes in the superstructure, the substructure is comparatively stable, continuing to function among the people in order to satisfy emotional needs. *Matsuri* are the heartbeat of Japan, this inherent quality allowing them to survive until today. They help us understand the relationship of Shintō to the cultural identity of contemporary Japanese, while the lasting significance of this ancient religion is evidenced each year by the millions of Japanese who attend *matsuri*. No place in Japan is without some occasion to relive, some moment of splendor in its long history, some reason for gratitude. I think there exists no other modern country in the world in which festivals catch the eye and the heart, not only for the charming spectacle they offer, but also for the meanings they imply. Even if most of the greatest *matsuri* mean syncretism between tradition and ostentation as a result of people's creativity, each of them seems to hand down a particular message to posterity and, when taken together, they offer a moving stage for the history of Japan.

Aoi-matsuri, which takes place in Kyōto on May 15th, unravels a chapter of Japanese history – some aspects of the charming life of the Court in the Heian Era (794-1195), of that characteristic Japanese taste which seems to have no exact national counterpart elsewhere and which persists today though we must admit that it has to struggle hard against the pressure of globalization. Nobles at the Heian Court were great connoisseurs in emotion and judges of ceremonies and etiquette. Moreover, the religious events held in the Imperial Court in ancient days and the native events handed down from whole generations explain the true history of the ancient capital and give a genuine portrait of Kyōto – a place full of significance, where even now you feel your breath taken away at almost every step.

According to the ancient historical record known as *Nihon Shoki* (720), *Aoi-matsuri* originated during the reign of Emperor Kinmei (539-571), when people suffered from heavy storms that destroyed the harvest, and epidemics that worked havoc throughout the country. A special priest with the rank of Urabe was called upon

to give advice about malevolent spirits, to say how demons and vengeful ghosts should be placated, and to decide upon auspicious days for ceremonies. Aston holds it that "it was their duty to decide by the deer's shoulder-blade or tortoise-shell divination such matters as were referred to them by superior officials". [1905: 203] As a result, the Emperor found out that the deities of Kamo-shrines had got angry at people's ingratitude and impiety, and caused the disaster.

Going back to mythological times, as far as regards the deities of the Kamo-shrines – Kamigamo (Upper Kamo) and Shimogamo (Lower Kamo) – the legend has it that one day Princess Tamayori-hime-no-mikoto (lit. "the Spirit-inviting Maiden"), the daughter of Taketsunumi-no-mikoto was doing laundry in the river or (according to other sources) was just playing beside it. Just then an arrow painted in red – symbol of action and passion – came floating down a small river called Semi, in the precincts of the Kamo-shrine. It is a well-known fact that the male principle embodied in the arrow has the role of fecundating the female one, the phallic symbol becoming thus obvious. When the Princess slept that night with the arrow by her pillow, she became pregnant, and gave birth to Wake Ikazuchi, meaning "Young Thunder". Like in many other cultures, the arrow is the instrument through which the God of Thunder manifests his power.

Miraculous births are well-known in the mythologies and folklore all over the world and the guardian deity of Kamo-shrine is no exception. To prove the divine origin of his birth, it is said that at the feast of coming-of-age, being asked what he would like best, Wake Ikazuchi tore the roof and flew to the Heaven to join his father, Ōyama-kui-no-kami, who had come down to the earth under the form of the red arrow. Up there, he got the name of Kamo after the model of his grandfather, Kamo Taketsunumi-no-mikoto.

Tamayori-hime's son was worshipped in the Kamigamo-shrine and the shrine was renamed as Kamowake Ikazuchi-shrine. The Shimogamo-shrine worshipped the Princess and her father, Kamo Taketsunumi-no-mikoto, so it was renamed as Kamo-mioya (*mioya* means "grandfather and mother"). These gods were the ancient Kamo family's tutelary deities, and both shrines were worshipped for guarding the nation when the capital moved to Kyōto, being patronized by the Imperial Court.

When the Emperor had found out the causes of disaster, he submitted to the *kami*'s oracle and had a horse run with bells attached. Why a horse? Being considered a sacred animal, it must have primarily been a vehicle for the *kami* to travel from the heavenly High Plain of Takama-no-hara to the Earth. This might be the reason for which horses are believed to be very important for Kamo ceremonies. Thus the gods were pacified, the storms and epidemics calmed down, and people enjoyed bountiful crops. The sound of the bells must have taken its exorcizing and purifying effects, as folk belief in many cultures consider it able to ward off evil spirits or at least to warn against their approach.

Order was thus reinstalled and afterwards, along the centuries, reiterated through annual rituals. As Plutschow holds it, "to let the deity escape from human

control was a risk to be avoided at all costs." [1990: 50] The idea underlies Japanese *matsuri*, whether they take place annually, or every six, twelve or twenty years. Renewal of life-power among deities and human beings in a sacred life-space is essential. The renewal occurs through a set of ritualistic actions in which people collectively welcome and extend hospitality to the deities. The past is thus preserved in ritual perpetuation, shaping the future – a kind of future which is rather different from the future which denies all past events in the efforts of dashing towards cultural globalization. It is a future in which Japanese cultural identity could successfully find its way, making it viable. The Japanese might realize they are themselves only when in direct contact with that very fragment of their past which retains its lasting character through the survival of rituals.

At the time of the festival a shrine becomes a cosmos unto itself. Space and time are sacred. The gathering of people also signifies a rupture with the routines of daily life. Therefore, a certain excitement often arises, where individual participants experience a moment of self-forgetfulness and of collective identity. It is an experience to rejoice in, wonder over, one which urges to save this gift of life to which the Japanese are intensely bound. *Aoi-matsuri*, like any other *matsuri*, means controlled and repeated behavior in the presence of the sacred.

The name of *Aoi-matsuri* has its origin in the tradition of offering to the gods dark and shiny spiked leaves of *aoi* (hollyhock) – once believed to protect against natural disasters – and using them and *katsura* sprays to decorate the shrines, attendees, horses and oxen. In the old document entitled *Honchō Getsurei*, issued in the 10th century, which commented upon annual political and popular events, it was already mentioned that the bedecking with female hollyhock leaves and male *katsura* sprays symbolized fertility and prosperous life.

Aoi-matsuri, with the imperial portable shrine, the traditional garments of the participants in the procession, the carriages and horses, and the hollyhock leaves and *katsura* sprays create a divine and mysterious aura. The primary aim of this festival is to uphold the refined traditions and customs of the Heian Court as well as the ancient songs and dances given as offerings to the celebrated deities, emphasizing at the same time the role of purification encountered at every step, in order to meet the sacred. The series of events preceding the main rituals on May 15th starts with *Kenkō-sai* (dedicating incense) ritual. The incense is burnt in a charcoal fire, at the solemn Dancing Hall of Shimogamo-shrine. The surroundings are filled with its refined smell. The incense prepared in devout gesture is then offered to the deity by a Shintō priest. It is believed that incense has purifying effects, while the noble perfume entertains the deity.

At Kamigamo-shrine, the first formal purification ritual is enacted on May 1st – *Ashizoroe* (ride on trial) – for the two teams of horse riders who are to take part in the horse-race on May 5th.

The riders are first purified by one of the main shrine's priests. Then they purify their riding staffs in the brook flowing in front of the shrine. The horses have

their turn. A few scoops of water from an attendant's cupped hands are simply thrown on to the horses' legs. The riders then approach the brook, where they use small wooden wands to purify their upper bodies, and then dip their feet into the water. A group of Kamo elders note the characteristics of each horse, in order to judge their age and strength, and try to pair it with an appropriate rider. The proposed matches are then run at full speed down the track to test the compatibility of rider to horse.

The importance of the horse in *Aoi-matsuri* is also rendered obvious through *Yabusame-shinji*, a ritual mounted archery that takes place at Shimogamo on May 3rd. It features mounted warriors with bows and arrows, wearing costumes of the Heian Era. The horses are also resplendently decorated and the entire event unfolds following ancient rules. Old documents attest that during the reign of Emperor Shōmu (714-749), *Yabusame* was part and parcel of the Boys' Festival on May 5th, the art of shooting arrows on horseback being a famous practice at Court before the era of the samurai. Moriya [2004:5] mentions that in some old texts from the 8th century there appeared archers who used to shoot at wild boars in order to offer them as a sacrifice to the *Kami*. The ritual changed then into the *Yabusame* as we can see it today. According to folk belief, *Yabusame* was designed as a way to drive away demons and sickness. Nowadays it is held to please and entertain the gods and to pray for the safety of the ensuing procession, being considered at the same time a ritual of purification of the precincts. The arrow whizzing in the air is believed to take away all the evil spirits, thus ensuring sound purification as well. This traditional ritual is full of solemn and sacred atmosphere thought to have exorcising effects. The bowmen shoot arrows at three targets while riding galloping horses along the track, and their success entails thunderous applause and cheers. The impressive costumes of the archers on horseback and the beautiful landscape around fuse into a majestic scene.

At the beginning of May (the date is not fixed) there takes place one of the most important rituals of *Aoi-matsuri* – the *Misogi-no-gi* ceremony, in which the *Saiō-dai* and other female participants purify themselves.

According to ancient belief, the person thought to understand the deity's words used to be a chaste maiden. She had to wait near a river or another flow of water for the god's arrival from beyond the sea. She was supposed to meet the following requirements: to have pure heart and noble mind, to weave at the loom in order to meet the *Kami* with new garments, and to offer him fresh ears of rice which she herself had picked. She used to be considered the *Kami*'s wife for only one night – the night before the *matsuri*. *Saiō-dai* is said to be an inheritance of this old belief. The wedding was a "must", so that the god's power could remain in our world. The divine union was blessed through people's mirth, who took the god's happiness to be their own.

In the origin of the festival, Emperor Saga sent his own daughter to serve at the Shrine in 810. After many years of training, she became a Head Priestess –

Saiō. Afterwards, a young unmarried Imperial Princess used to be selected by divination, from among the Emperor's daughters, to be the High Priestess, namely the *Kami*'s wife. Nowadays, unmarried daughters of esteemed families that represent Japanese traditional culture, suitable ladies for the traditional *Aoi-matsuri* are selected as *Saiō-dai*, i.e. as "priestess substitutes". They seem to transmit the thoughts that have been passed down for generations.

This ceremony of purification is alternately hosted by Kamigamo at Nara-no-ogawa River and by Shimogamo at Mitarashi River and points out once more that the outstanding feature of Shintō observances is the attention paid to ritual purity.

The *Saiō-dai* wears a twelve-layered kimono called *jūnihitoe*, a traditional Court dress made of twelve layers of exquisitely colored silk, imbued with history. The elegant gestures reminiscent of ancient Court ladies are really impressive. She carries a large fan wrapped in multicolored strands of braided silk. Her gold-plated headpiece called *kokoroba* (the leaf of the heart) is supported by an upper half-disc of sun which in turn is fixed upon a lower half-disc of moon at the bottom of the headpiece, just above her forehead. The two heavenly bodies are obvious cosmic symbols.

The ritual of purification is quite simple. After *Saiō-dai* and her ladies-in-waiting have been purified by one of the shrine's priests, the *Saiō-dai* and two little girls take their places on a platform raised on the bank of the stream. They are accompanied by a priest, a male official, and a woman who helps the *Saiō-dai* keep her sleeves from interfering with ritual duties.

While the priest intones the prayer of purification, the *Saiō-dai* leans forward from her kneeling position on the platform. She first sets adrift a single piece of white paper, "which symbolically serves to open the stream to her". [Nelson 2000: 207] Then, with palms joined, she slightly dips the tips of her fingers into the water and is thus partially purified.

To complete the purification, she and the other women ascend the raised platform of the Hashidono Bridge at Kamigamo, which straddles the Mitarashi River – functioning as an intermediary realm between the profane and the sacred – and perform a self-purification ritual using paper figurines called *hitogata*.

Hitogata ritual has its origin in the habit of rubbing paper dolls over the body in order to absorb the person's sins and misfortunes. The custom originated in the belief of the ancient Japanese that all human sickness and bad events were attributed to evil influences that took possession of the body and defiled it. In order to get rid of the sickness or misfortune, the important thing was to exorcise the evil influence. An ideal way of doing it was to transfer the evil influence to a doll that served as a substitute for the actual human being, then to cast the doll into the water or destroy it.

The *Saiō-dai* first rubs the figurine on her chest and then blows on it before tossing it over the railing and into the stream. While she slowly departs, the rest of her retinue take their turns to perform the same gestures.

As I understood from an interview issued in May 2006, the young lady who then played the part of *Saiō-dai* felt proud of having had the chance to be at least once the messenger of such a splendid tradition, hoping that *Aoi-matsuri* will be appreciated forever.

Shōbu no neawase (Iris-roots Game) is held on May 5th in order to compare the length and the thickness of iris roots, iris being considered a purifying and protective plant in Japan since ancient times. It was a game enjoyed by Court nobles and Court ladies of the Heian Era, together with sea-shell game and poem game, belonging to the category of *awase* (comparison of things). The guests were divided in two teams, left and right. Iris roots were submitted in pairs by members of each team, together with appropriate poems, and carefully compared for beauty and length. Specially appointed judges decided which team had produced the finest roots and prizes were awarded to the winning side. Like most Heian social occasions, the game was accompanied by saké, music and other entertainments.

The *shōbu* (iris) becomes *shōbu* (victory or defeat) in this context. Riders from the left and the right team, as they were paired on May 1st, proceed to the area where the horses will be run. At the far end, a temporary abode, *Tongū*, from where the deity is to watch the horse race has been set up for the *Kami*, complete with two small sand cones before it. At the *Tongū*, the two riders each hold high a bundle of iris leaves bound at the roots with white paper. After comparing the length of the roots, they toss them onto the roof of the *Tongū*, the gesture reminding of the custom of tossing iris roots or leaves onto the roofs of the houses on the Boys' Day so that they might be protected from outer evil forces. The other riders all have a turn and then go into the shrine. Prayers are then addressed to the *Kami* on behalf of both teams.

In the afternoon the riders take their mounts and are led to the runway, where spectators' eyes and hearts are also caught by a splendid procession of little warriors dressed in ancient costumes and wearing cone-shaped hats. Children are a really wonderful presence in any *matsuri*. Judges and other officials, all of whom are dressed in the Heian attire, get into position, too. Some are at the starting line, some at the pavilion where the race will be officially recorded, and some on the three-meter-high platform to receive race results from judges at the finish line.

The ritual of *Kurabe-uma* (comparing horses), in fact a horse race held between the two teams – left and right – made up of members of the Imperial guard, dressed in Heian costumes, takes place on the race grounds which lie between the first *torii* (shrine gate) and the second *torii* of Kamigamo-shrine. Its *Kami* is also considered to be the guardian of horse races. *Kurabe-uma*, however, is judged not so much by speed as by the courtly manners of the horsemen while they urge on their horses across the four hundred meter track. From ancient times such events were held at the Court, but during the Heian Era they also took on the character of events to dispel early summer pestilence and as supplication for a good harvest and peace. Emperor Horikawa (r. 1086-1107) moved the ceremony from the Imperial

Palace to Kamigamo-shrine in 1093. Later such events came to be conducted by warriors as a demonstration of equestrian skill. Nelson concisely characterizes the ritual of *Kurabe-uma* as "the essence of what it has historically meant to be Kamo – a stubborn fearlessness, sincere service to the *Kami* Wake Ikazuchi, and a ritual expertise (originally involving horses) of vital importance not only to the clan but to the Imperial State as well". [2000: 209]

Mikage matsuri on May 12th is an extremely important preparatory ritual for the *Aoi-matsuri*, calling for the advent of the *Kami* at Mikage-shrine, situated on the western foot of the sacred Mount Hiei. Over one hundred people wearing costumes of the Heian Era move between Shimogamo-shrine and Mikage-shrine to welcome the spirit, this being considered the oldest religious procession in Japan.

At Mikage-shrine they are met by a guardian who props himself up on a long pole, a priest holding a tray with *aoi* and *katsura*, and a priest holding a *sakaki* twig topped up with a *gohei* (sacred wand decked with paper cut in five steps) suspended to an upright rod – a token of the unseen. The priests temporarily lay the sacred spirit beyond the gate of the inner sanctuary, watched over by two guardians grabbing long poles; they chant *norito* (an invocation of the gods) while the musicians in front of the entrance interpret thrilling *Gagaku* music.

The quintessence of its priceless value is mentioned in the album entitled *Bugaku*, published by Kasuga-shrine: "The artistic tradition of *gagaku* – an intangible phenomenon lasting only an instant. Yet within that instant is a message which has lasted over a thousand years. That this art form has been transmitted into our times is phenomenal, and its value as a cultural asset is priceless. Not only is *gagaku* a living reference to the arts of ancient Japan, it is also a legacy of the traditions of China, Persia, India, and all the cultures along the Silk Road. Because very few of these cultures still retain any vestige of their ancient magnificence, *gagaku* – as it has been preserved in Japan – remains an invaluable heritage of all the ancient Asian arts." [1989: 7]

The whole ritual of chanting and offerings being exclusively addressed to the fresh spirit of the *Kami,* participants are not allowed to look through the curtains hanging down from the gate. After the ritual is over, they nevertheless share some sacred saké and they are free to examine the food offerings on the table inside the inner sanctuary. Meanwhile the *Kami* leaves Mikage-shrine headed by priests and musicians, and accompanied by all the paraphernalia belonging to him, which had been displayed before the ritual so that everybody might look at it.

The procession proceeds towards Shimogamo, but it stops on the way at Akanomiya subsidiary shrine for the *Kami* to rest and to be presented with other offerings of food, music, and Bugaku masked-dances. The little portable shrine containing the divine spirit embodied in the *sakaki* twig is carried by car up to Shimogamo, in the very heart of Tadasu-no-mori, where it is transferred on to the back of a white horse, like in ancient rituals described in old documents. The horse is made to enter a temporary abode marked off by curtains in five colors (blue,

yellow, red, white, and black), from where he is supposed to watch the ensuing magnificent performance of *Azuma-asobi* dance dedicated to him as an offering. The six dancers wearing ancient ceremonial Court attire, accompanied by *Gagaku*, fascinate the spectators with their orderly slow and ample movements, regulated by tradition, while the white horse with the sacred spirit on its back quietly and dutifully watches from behind the curtain. His neigh is looked upon as a sign of *Kami*'s glee raised by the wonderful performance. The atmosphere around is really breath-taking and imbued with 13 century-old mystery.

According to old chronicles, Emperor Junnin (r. 759-764) heard the music from Azuma-kuni, i.e. the territory east of Kyōto, the dance being thus denied the Chinese origin. Even if it was not originated by the Japanese, it is in their hands that it gained a distinctive character, like all the Bugaku dances, while we should not forget that starting from the Heian Era, Japan began to develop its own cultural identity. *Azuma-asobi* has remained strictly part of Shintō practice.

A few lines should be addressed to Tadasu-no-mori, the remnant of a primeval forest left to grow in its natural state, neither planted nor pruned, a truly spiritual place of natural beauty and power, which seems to take you to a quiet and peaceful out-of-the-world realm. Its sacredness is revealed through the very structure of the world and that's why it came to symbolize the eternal return of time. It is located on the delta where two rivers meet – Takano and Kamo – in the north-east of the ancient capital, believed to be an ominous direction. Accordingly, impressive brightly colored vermillion wooden sanctuaries were positioned in the area in order to protect the ancient capital from the evil forces which, according to folk belief, would enter Kyōto through the "devil's gate".

The homophone of *tadasu* means "to correct" and that's why it is said no lies can be told in the precincts. Or rather, appearing in Japanese mythology and known as the guardian deity of Shimogamo, old texts say that Kamo Taketsunumi-no-mikoto listened to the complaints of the villagers in the forest and responded to their prayers, lending the present name of the forest. The six hundred trees ranging between ages of two to six hundred, the various plants, and the brooks and streams with pure flowing water in the precincts of Shimogamo-shrine produce an extremely beautiful scene which can touch the heart of even the most indifferent beholder. Surrounded by such a gorgeous natural spectacle, and having the charming Court music as background, the horse is transferred to the shrine beyond the Rōmon gate which is closed to the public. Here, another sacred ritual of offerings is held at five o'clock.

The religious ritual of *Miare-shinji* – the honorable birth – takes place at Kamigamo. It is the temporary manifestation of the deity reborn every year, or *hierophany* if we are to borrow Mircea Eliade's term. Through such a ritual we are confronted by "the manifestation of something of a wholly different order, a reality that does not belong to our world, in objects that are an integral part of our natural profane world" [Eliade 1959: 11], which means that for those to whom it reveals

itself as sacred, its immediate reality is transmuted into a supernatural reality. Within the sacred precincts the profane world is transcended. Here, in the sacred enclosure, communication with gods is made possible. With this purpose in view, a *himorogi* – a temporary place for the *kami* to descend – should be erected, which presupposes the abolition of the ordinary and the beginning of the ritual time.

Long before there were shrines, a ceremony was performed at places considered sacred (such as a mountain – endowed with holiness, sharing in the spatial symbolism of transcendence as a place of the dwelling of the gods –, a grove or the site of a natural object), where *kami* were invoked, worshipped and sent back. It means that Nature always showed the sacred rhythm of the cosmos as a living unity, acting as a threshold between people and the supernatural. It is obvious that between the realm of man and that of the gods, Nature conspicuously intervenes. The Japanese way of organizing space always provides such points of transition.

At Kamigamo, the *himorogi* for the *Miare* ritual is made up of two branches of *sakaki* enclosed with a hedge of pines, cypress, as well as fresh brushwood, *aoi* and *katsura* being added, too.

In mythological times, *sakaki* was the sacred tree planted in front of the cave of Amaterasu, the Sun Goddess. From immemorial times it has been used in purification rituals or as an offering to deities, or even as a temporary abode. Having enduring leaves, it is considered a symbol of regeneration and immortality.

In front of the *himorogi*, white sand is piled up in two conical heaps, representing the two principles – yin and yang – which prove the harmony in the universe. Moreover, being sharp objects, the cones were always believed to shelter deities while warding off malevolent spirits. Nelson points out the symbolism of the *himorogi* site, considering it "predominantly male: two poles protrude from the pine-bough enclosure, aligned with two *tatesuna* sand cones, each of which sprouts two pine needles from its apex, signifying a *yō* or male correspondence. The generative power of the *Kami* to revitalize the flow of life for the Kamo people was and remains the main concern in this ritual". [2000: 220]

Miare-shinji is conducted by five shrine officials in front of the *himorogi* on the night of the 12th. The lights are extinguished, the ritual of purification takes place, and offerings are prepared. After this, the *Miare* begins. The deities mentioned in the secret chants that are intoned in a low voice are requested to descend into the *sakaki* tree. During their descent, the priests eat the food offerings in a *naorai* (communion) ritual: rice, dry fish, dry *wakame* (seaweed). In the background of the murmured mysterious chant, the priests hand the branches of *sakaki* from one to another and circumambulate the sand cones three times; then the branches of sacred *sakaki* are carried to the main sanctuary where the deities are installed.

After the irruption of the sacred – the revival and rebirth of the *Kami* – the participants are temporarily imbued with sacredness and can thus share the common exultation of the festive spirit of the *matsuri*.

Unlike an ordinary procession carrying the spirit of the deity in a portable shrine, with *Aoi-matsuri* the Imperial Envoy is sent to the shrines of Kamo. The

main focus of the festival for the onlookers is the grand procession on May 15th, *Rotō-no-gi* extending in the length of one kilometer along the avenue. It leaves the Imperial Palace grounds around 10:30 and slowly moves toward Shimogamo-shrine. After the religious ritual at Shimogamo, it proceeds toward Kamigamo-shrine.

Wearing a colorful array of richly ornamented costumes of the Heian Era – Japan's Golden Age – the charm of the Imperial Envoy and his retinue parading through the city in an atmosphere of dignity and refined tranquility features the old-style Kyōto. It is like a gorgeous scroll picture of Imperial Court as we can see in museums or like one of the scenes featured by Murasaki Shikibu in *The Tale of Genji* – the greatest Japanese novel published at the beginning of the 11th century – when referring to Prince Genji's retinue: "It made such a fine procession itself that every tree and blade of grass along the way seemed to bend forward in admiration". [2000: 162]

The Imperial Envoy – a courtier holding high office – leads the procession on horseback. His role is to read the Imperial *gosaimon* (prayer) at the shrines and to present the Emperor's offerings to the deities. Following him are two ox-carriages, four cows, thirty-six horses, and around five hundred people, all of which are dressed in traditional Heian costumes decorated with *aoi* leaves. The enormous and sumptuous ox-carriage is drawn by a black ox, a venerated beast, symbol of sturdiness and sacrificial power. Its dark color is set off by a brilliant orange silk cover with large silk cords and tassels. Draped from the roof of the cart are streamers of artificial wisteria flowers. Some participants representing members of the Imperial Family ride in the colorful procession, offering a fine display of equestrian fashion, including the ornate saddles. Children are present in the procession, too. Their brightly colored costumes are miniature versions of the adults', while their faces are powdered and rouged, heightening the doll-like appearance. Last but not least, the presence of children, like in any *matsuri*, is to be looked upon like an important rite of initiation. Thus the communication of society's arcane knowledge is achieved through direct instruction. Culture is transmitted not merely as a codified system of principles and messages, but as an intrinsic learning process, embracing experience.

Onlookers cannot keep their eyes averted from the huge umbrellas, garishly covered with huge brocades and artificial flowers. We can easily imagine how the procession provided the Heian folk with one of the few moments of excitement, in an age of little entertainment.

At the rear of the procession, the eye-attracting is the *Saiō-dai*, dressed in Imperial Heian robes, carried on a litter, accompanied by Imperial servants, Court ladies of different ranks, down to servant maids and all the props and ornaments that are reminiscent of the ancient Court, while the ancient music played on flutes, gongs, and drums resounds in the background making your heart thrill with joy.

The procession arrives at Shimogamo at 11:40. The riders get off their horses and the *Saiō-dai* and her retinue proceed towards the pavilion from where they are to watch the ritual. At 12 o'clock, after another ritual of purification, the dancers and musicians take their seats in order to conjure up the *kami* through dances

and chants. The Imperial Envoy makes his offering of *gohei* and chants in a low voice the message written on an elegant red sheet of paper, which is also considered an offering addressed to the deity. The priests answer through a *norito* and an offering of *aoi* and *katsura*. Then, two horses circumambulate three times the dance pavilion where six dancers entertain the participants and the spectators with a splendid *Azuma-asobi*, which is also offered to the deity as a gift. *Shatō-no-gi* at Shimogamo-shrine ends by the sacred horse's galloping along the equestrian alley within the gorgeous Tadasu-no-mori.

The procession sets out for Kamigamo-shrine, where the *Saiō-dai* and her retinue take their seats in a temporary pavilion on the other side of the courtyard facing the Dancing Hall. Another pavilion welcomes the VIPs of the festival, while in a side pavilion there sit guests with special permission.

Shatō-no-gi consists of the conveyance of the message to the deity by the Imperial Envoy – who does not cross Mitarashi River but makes his offering from the Hashidono –, the answer of Kamowake Ikazuchi, offerings of entertainment addressed to the *Kami* consisting in songs of praise, followed by the parading of two horses in a left-to-right circumambulation, and an ancient dance. Here, *Shatō-no-gi* ends in a beautiful horse parade at 5:30.

As with any *matsuri*, when it is over, *Kami* must be taken back to his permanent abode, to rest for a determined period of time, until his new rebirth.

The sacred does not have to point to anything supernatural, but instead an experience of the mystery can be lived with all one's being. It is what I felt at the ritual of *kami-okuri* (sending back the god) which took place in the sacred precinct named *kōdate*, situated about five hundred meters away from the shrine. The divine chants resounded impressively in the stillness of the charming twilight. But the most touching scene was the kneeling of the horses in front of the deity after offering him a race on the track within the sacred grounds – a supreme gesture of gratitude imbued with mystery for which words would be superfluous.

Aoi-matsuri, which spans the centuries, is a great cultural gift taken over from the past, ready to endure well into the future. The Japanese have always had a thirst for beauty of color and form, a taste which even great disaster could not suppress, the spirit of the people itself showing irrepressible. The bouquet of Japanese traditional arts – ikebana, tea ceremony, poem contest, etc. – displayed at Kamo-shrines within the month of May besides the rituals mentioned above, which show the inner spirit manifesting itself in the beauty of outer form, come to attest once more that *Aoi-matsuri* is the quintessence of sacred and beauty that have taken deep roots in the Japanese heart.

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MURASAKI SHIKIBU, *GENJI MONOGATARI. THE FICTIONAL CHRONICLE OF THE HEIAN WORLD*

FLORINA ILIS[*]

ABSTRACT. *Murasaki Shikibu. Genji Monogatari. The Fictional Chronicle of the Heian World*. This study investigates the literary universe of the Japanese culture during Heian period, pointing out the fact that emotion, politics or common life became a form of art. An art defined not only by the high rafinement of poetry, but also by the fast popularity of the novel. The name of the novelist Murasaki Shikibu is connected to the beginning of the Japanese novel. The study appreciates her capacity to combine objective description, poetical evocation and psychological investigation in presenting the complex world of the Heian court.

Keywords: *Heian court, novel, art, objective description, poetical evocation.*

More than nine hundred years ago, the imperial court of Heian-kyō represented a privileged and unique place, where one of Japan's most attractive and inciting cultures flourished and reached its full splendour: the Heian culture (794–1185). Attractive, since it offered a glimpse in the course of time to the sensibility and the way of thinking of a world which, in its golden age, transformed emotion and experience, everyday life or politics alike into art. Inciting, since, far from the profane eyes of the external world, it created an environment in which literature, poetry, and calligraphy reached an exceptional level of refinement and aestheticism, quite rarely met with in those times. The temporary victory of poetry over the quotidian proved to be permanent within the Heian culture, and it attired life as for an eternal festival. On the other hand, however the transformation of reality into art did not simply mean the reflection of an idealized form of life and things in or their transposition to a superior level, that of art. If poetry, understood as the highest and

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most refined expression of life, had from the start an overwhelming influence over the Japanese world, so that a ministry was set up to organize the special poetry competitions (*utaawase*), the novel, as a new literary genre, untried before in that form, not at all overpowered by the pre-eminence of poetry in all the aspects of everyday life, appeared, however, in the Heian culture, gaining fame and supremacy fast. Of course, the success of this genre was due, first of all, to the talent of a lady writer, Murasaki Shikibu, the author of the famous novel *Genji Monogatari* (*The Tale of Genji*).

Lady Murasaki was related to the Fujiwara clan, one of the most influential families of the imperial court. Her grandfather, Fujiwara no Kanesuke was one of the most prominent men of letters during Emperor Daigo's age. Four of his poems were published in the famous imperial poetry anthology *Kokinshū*. Lady Murasaki's father was also known for his refinement and erudition, but times had changed for the lower and middle aristocracy. If the grandfather lived near the Emperor, being appreciated for his intellectual qualities, the father, though a refined scholar, barely succeeded in obtaining a governorship in the remote Echizen Province. It is almost certain that her daughter accompanied him on that journey returning to the capital immediately after her marriage. Murasaki's only daughter was born in 999, and only two years later Murasaki Shikibu was widowed. She never remarried. She is supposed to have written *Genji Monogatari* around 1000. It is certain that in 1005 she entered Empress Akiko's service as a lady-in-waiting. It is known that she stayed at court approximately two years, but the years of her retirement and of her death are uncertain. In fact, we know little of Murasaki Shikibu. Not even her diary, which has plenty of daily notes, led to spectacular discoveries regarding the writer's biography. According to the diary, it seems that Murasaki Shikibu had finished *The Tale of Genji* before she entered Empress Akiko's service.

As Japanese literary historians have pointed out, the appearance of a novel such as *Genji Monogatari* was not accidental. Nevertheless, as compared to the narrations written before (in the second half of the 10th century), *Ochikubo Monogatari*, *Utsuho Monogatari* and *Kagerō Nikki*, whose authors are unknown, Murasaki Shikibu's novel gained both in view (it describes a larger universe), and with regard to the author's preoccupation with combining the method of observation (objective description) with the poetic evocation of the characters' environment, experiences, and feelings. Murasaki Shikibu, according to Shūichi Katō, only combined in one and perfected the two ways opened by the works written before *Genji Monogatari*; she described in a single work a real and complex universe, the world of the Heian court, and reflected the characters' psychological development exploring their psyche deeply.[1] But Murasaki Shikibu's novel gains, moreover, in complexity and artistic refinement,

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[1] Shūichi Katō, *Istoria literaturii japoneze (de la origini până în prezent)* [The History of Japanese Literature (From Its Origins to the Present], translated by Kazuko Diaconu and Paul Diaconu, Bucureşti: Editura Nipponica, 1998, Vol I, p. 198.

differing from the simple, narrative universe of the previous tales, as well as from the moralizing character of parables.

The Tale of Genji evokes in the most refined style the atmosphere of the imperial court, describing everyday life with such accuracy that one could believe everything is an exact transposal of this. Things are, however, much more complicated; here lies the mystery emanating from this novel. The role of Lady Murasaki's descriptive art is more than the poetic function; as the action of the novel unfolds as a painted roll representing scenes from court life (scenes with a not necessarily chronological timeline), it succeeds in creating the referential illusion of a world both real and imaginary at the same time. This art, moreover, has the function to reveal (without taking into consideration the succession of the events), with the aid of the characters' affective states, the concrete truth of a world educated to express itself through a complex code of signs. Temporality is often suspended by textual insertions, the characters often resorting to an intertextual language, describing their own states with the aid of citations from poems comprised by the imperial poetry anthologies. This language had a double significance: firstly, an emotion or an experience was made more authentic by reference to a well-known poem (belonging to the *compulsory reading* of an educated courtier – *miyabi*); secondly, allusions to such classical images had the role to hold together (closing it into itself) an educated, elitist world, isolating it completely from the external world (outside of the imperial court). To be familiar with classical poetry and to use it in everyday conversations was the distinctive sign of a distinguished education and culture.

Beyond any interpretation, *The Tale of Genji* is a novel written for the members of the Heian court. This accounts for some of Murasaki Shikibu's laconic descriptions. She did not avoid descriptions deliberately, but, because those places or events were well-known to her readers, the writer considered unnecessary to insist on their detailed depiction, be they court ceremonies, or explanations regarding the courtiers' behaviour in certain situations. Murasaki Shikibu did not dwell on the significance of certain gestures or of some dialogues (in most cases exchanges of verses) which took place between the characters. She assumed that these significations were familiar to the readers (listeners). The Heian world was not described by an outsider, but by someone from the inside, by one, who, living in the court, took daily part in its events, so that one may say, as J. M. Maki states in an article on Lady Murasaki, that the exact depiction of the Heian age represents a real peak of her literary art: "her picture of her times was transformed by her literary art into the crowning literary achievement of her age and with this one novel she added immeasurably to the stature of Japanese literature".[2] Another interesting aspect of the novel is the fact that Murasaki Shikibu, though she participated in court life as the lady-in-waiting of Empress Akiko, succeeded in

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[2] J. M. Maki, *Lady Murasaki and the Genji Monogatari*, in *Monumenta Nipponica*, vol. 3, no. 2, 1940, p. 481.

avoiding any personal reference to the manner in which she, as an important representative of the imperial retinue, would have interacted with her characters whom she must have known well. The little information we have on Murasaki Shikibu, as well as the lack of some clearer references in the novel which could help us to descry the author's personality, or, at least, to obtain some more accurate data on her life, have given rise to a series of speculations regarding the biography of Lady Murasaki. It was often stated that Murasaki Shikibu had not written the entire *The Tale of Genji*, some of the book's chapters containing smaller or greater differences of structure and style. This, as some researchers have demonstrated, can be easily observed mainly in the case of the last 13 chapters which are subsequent to Genji's death: "The twelve books which follow the death of Genji differ in tone and in their conception of human affairs from the books dealing with the radiant prince."[3]

Earl Miner observed the way in which, both on a stylistic level and on the level of ideas, the modalities by which certain states or events are described as well as the ways in which conflicts are solved differ sometimes from one chapter to the other. Another intriguing aspect of the novel is the manner in which the general view on the world (visible mainly in the last chapters focusing on the figure of Kaoru, Genji's son) suffers subtle, but eloquent changes of perspective. Beyond, however, any investigation trying to clarify the problem of authorship related to this text, *The Tale of Genji* remains, with all its ambiguities at the level of composition and of ideas, the most representative work of fiction about an important period of the Heian age, and, through the fascination it exercises, a work which will continue to raise many questions.

The Tale of Genji consists of 54 chapters, the first 41 focusing on Genji (the protagonist), who was born from a great passion between the Emperor and one of his favourites. The last 13 chapters present the events following the sudden death of the prince. The plot of the novel does not respect the chronology of the events strictly; however, in great lines, the 54 chapters of the novel follow in a chronological evolution – with the exception of some leaps in time (before, parallel with, or after the narrated events) – the story of Prince Genji (the Gorgeous), his amorous adventures, as well as the story of his family.

Genji's mother dies shortly after his birth. The child is taken care by his grandmother, until, one day, the emperor sends her a letter asking after the child's fate. He expresses his longing for the child in some verses which the grandmother interprets correctly as: *At the sound of the wind, bringing dews to Miyagi Plain, I think of the tender hagi upon the moon.*[4] In this poem, the *hagi* (a plant with flowers similar to the lilac) *branch* evokes the image of the child, the living proof of the

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[3] Earl Miner, *Some Thematic and Structural Features of the Genji Monogatari*, in *Monumenta Nipponica*, Vol 24, no. 1/2, 1969, p. 4. Earl Miner follows the English translation by Waley, *The Tale of Genji*, London (1935, 1957). In the present article we refer to Edward G. Seidensticker's translation.

[4] Murasaki Shikibu, *The Tale of Genji*, Translated from the Japanese by Edward G. Seidensticker, London: David Campbell Publishers Ltd., 1992, p. 12.

Emperor's great love for his mistress. Genji's grandmother interprets the Emperor's letter (verses) correctly, and consents to Genji being taken to the Court and raised as a real prince. The beauty (he is called Genji the Gorgeous), the exceptional qualities of the young prince, the affection and the favours the Emperor showers him with foretell an exceptional fate.

Already in the 18th century, *Genji Monogatari* was interpreted by Motoori Noringa (1730–1801) as a representative work for that, which Japanese poetics calls *mono no aware*, "the sadness or pathos of things". This mode of interpretation became almost a commonplace of literary criticism in Japan and elsewhere too. The interpretation of the novel from the point of view of the concept *mono no aware*, besides that of the *miyabi*, the ideal of the courtier (as sensibility and mode of behaviour) represented by Genji, overshadowed for a long time any other type of interpretation. The ultimate sign of the unity between poetry and *monogatari* (tale) is, according to Motoori Noringa, the concept of *mono no aware*. This idea was unanimously accepted by subsequent Japanese literary criticism, all the more, as the poetic effectiveness of the discovered formula proved to be extremely beneficent in the course of time not only for *Genji Monogatari*, but especially for Japanese poetry, and in particular for the well-known *haiku* genre.

Thus, only in the second half of the 20th century, under the influence of western narratological studies, Tomiko Yoda attempted to interpret the text in another way.[5] Relying on the major distinction between poetry and prose proposed by Bakhtin, Tomiko Yoda argues convincingly for fact that *Genji Monogatari* is a complex text, in which Murasaki Shikibu succeeds in combining with rare skill the distinct characteristics of the two forms of discourse (poetry and prose), and in adding in a balanced way the influence of the lyrical to the structure and construction of the fictional universe without *undermining* its *realist* character.

If in the evolution of the western novel the ideal/verisimilar relationship played an essential role,[6] the retreat of imagination as *a victory of common sense* occurring only in the 18th century, the first Japanese novel *Genji Monogatari* presents an aspect which at least may be called intriguing. The critical studies which have analyzed the novel form different perspectives (the point of view of social practice;[7] the political relationships between the characters;[8] or simply from a literary point of view) agree that the fictional universe described in *Genji Monogatari* – beyond the fact that it presents a world which seems to transcend reality – originates, however, from a real world whose coordinates and historical

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[5] Tomiko Yoda, *Mono no aware and Poetic Communication in The Tale of Genji*, in *Harvard Journal of Asiatic Studies*, Vol. 59, No. 2, 1999, p. 524.

[6] Toma Pavel, *Gândirea romanului* (The Thinking of the Novel), Bucureşti: Humanitas, 2008, p. 18.

[7] William H. McCullough, *Japanese Marriage in the Heian Period*, in *Harvard Journal of Asiatic Studies*, Vol. 27, 1967, pp. 103–167.

[8] Haruo Shirane, *The Aesthetics of Power: Politics in The Tale of Genji*, in *Harvard Journal of Asiatic Studies*, Vol. 45, no. 2, 1985, pp. 615–647.

references are present subsidiarily throughout the novel. Thus, *Genji Monogatari* succeeds in combining skilfully the two opposite tendencies of the idea of literature as it was understood in Europe until the appearance of the modern novel, namely, on the one hand, literature understood as focusing on the representation of reality (the realist novel), and, on the other hand, the conception according to which reference is only an illusion, since literature, basically, speaks only of literature (the modern novel).[9] The most adequate formula for Lady Murasaki's novel is: neither realist (referential), nor imaginary (negating the reference), since, equally, when the reference (as a representation of the world) is missing, a kind of code or convention functions instead, based on intertextual relationships, between the reader and the author (between the members of the imperial court and the author, a member of the court herself). The exchange of poetry between the characters of the novel not only succeeds in conferring a certain degree of poeticalness to the narration, but, being presented as a form of social ritual, the poetic language becomes a code, which must be decoded by the characters as well as by the reader, in order to be understood.

On the other hand, even if the deliberately poetic language, stylistically enriched by the ingeniously inserted *waka* poems (generating complex intertextual relationships), creates a *romantic* (almost unreal, imaginary) frame for the relationships between the characters, we must not forget the fact that in Heian court poetry was a part of the everyday life. Thus, intertextuality, by its essential role in the text, not only substitutes the reference, but, recomposing reality and history, opens the world of the text towards new possibilities of interpretation, creating itself a new reference. From this subtle (deliberate or unconscious) play between reality and convention (code) on the one hand, and between representation and intertextuality on the other hand, a unique and ineffable relationship is built between the author and her readers. This confers, by the way, the entire magic of the text. The double role attributed to language – it is invested with an almost ontological poetic, intertextual authority (the poetic language creates fictional situations and even expressions of social behaviour); and it is integrated as a specific code within a system of more complex codes, which governs the everyday history of the court, and, by reflection and propagation, also the history of the entire Japan – preserves the compositional balance of the text, a balance, which seems, at the first sight, extremely fragile.

In her novel, Murasaki Shikibu adopts an ambiguous attitude towards the chronology of the events. It cannot be said that the element of <u>time</u> plays an essential role in fixing the chronology of the action; on the contrary, the succession of events is subjected to completely different rules than those implied by temporal evolution. This temporal indeterminedness, paradoxically, – though it should have created difficulties to the reader in estimating the evolution of the action, and it should

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[9] Antoine Compagnon, *Demonul teoriei. Literatură şi bun simţ* (The Demon of Theory. Literature and Common Sense), Trnaslated by Gabriel Marian and Andrei-Paul Corescu, Cluj: Echinox, 2007, p. 133.

have affected the compositional balance – confers additional mystery to the plot of the novel, offering, at the same time, to the reader a generous freedom of perception. Moreover, a series of Genji's amorous adventures, included into the main narration, may function as separate, autonomous episodes (the chapters Utsusemi, Yūgao, Suetsumuhana, or others). Of course, this could be explained, on the one hand, by the fact that the narrative procedures of this newly born genre are not yet sufficiently fixed, on the other hand, by the fact that Murasaki Shikibu and her contemporaries belonged to a society whose view on the world was subordinated to the image of a cyclical and not linear universe. Nevertheless, this cyclical view on the universe has nothing sacred in it; on the contrary, it corresponds to an ordinary way of looking at the world and at things in an evolution in which one season is followed by another, and so on and so forth; a succession in which the seasons change in a certain cyclical annual order. On the other hand, the shudder of sadness, which runs as a red thread through the entire novel, reveals the appearance of a new sensibility in the Heian period; a sensibility which, though it accepts the cycle of the seasons' succession, also acquires a certain awareness of the transitoriness of things and the nostalgia of the never returning time. Exactly this combination of a cyclical view on time with the ever deeper awareness of becoming confers one of the baffling and ambiguous particularities of the novel.

Neither does the plot of the novel always follow a logical, unified course; unsolved situations often remain, the author introducing suddenly into a scene new characters or the elements of a new plot, which, apparently, have no connection with the former one, abandoned at that moment. These discontinuities in the temporal succession of the events create rather the image of a pictorial work, in the style of *emaki* pictures, which contain both text and image. The onlooker encompasses such a picture either by a single glance, or passing, concomitantly, from the image to the text and vice versa.

Moreover, one must not loose sight of the fact that the author's main aim was to offer a narration which follows chronologically the events of Genji's life story or a personal history of his formation inscribed in time, all the more, as the action of the last 13 chapters takes place after the hero's death and follows the evolution of the surviving characters, especially of Kaoru, considered to be Genji's son. On the other hand, *The Tale of Genji* has no moral or didactic, and even less an educational purpose. Because of the manner in which Murasaki Shikibu broke away from the works preceding hers (*Ochikubo Monogatari*, *Utsuho Monogatari*, or *Kagerō Nikki*) – works in which the supernatural had been considered a part of the real world –, we may consider that she reached a more evolved, superior level of aesthetic awareness as compared to her age, placing, maybe unconsciously, but constantly "beauty" to the very "heart" of her work.

At the first sight, what seems to connect the often autonomous and independent fragments of the novel's plot is love or the plots of love stories experienced, in the course of time, by Genji or by those around him. But, beyond the concrete details

of love scenes scattered all over the novel, not the sentiment of love comes off victorious and triumphant, but rather the discourse on love. The law which governs the Heian world is not the desire and the fulfilment of love, but the sublimation of desire and sensuality by aestheticizing the erotic impulses, thus that the real law imposed on the world of the Heian court becomes the inevitable aspiration towards the aesthetic and poetic ideal of love. This aesthetic and poetic ideal represents a real model, a standard which fixes the boundaries between the lovers' needs and impulses and the ideal to which each aspires. Nevertheless, if in the world of European medieval chivalric romances there was a spiritual (sacralised) reference through which the enamoured knight sublimated his desire, succeeding thus in consecrating himself to the ideal of love accepted by the codes of chivalric love, in the Heian world, the place of the spiritualised reference is assumed not by an absolute ideal, but by a series of poetical representations, which, according to the individual aspirations, impose or create a new reference. Thus, the Emperor's love for Genji's mother, one of his favourites, the way in which the Emperor loved her inspires in Genji a similar love for the Emperor's mistress, Fujitsubo. However, to create a new reference is not a thing within anybody's reach. If, on the one hand, the respect for social hierarchy had an essential role in Japanese culture at that time, and, on the other hand, taking in consideration the almost sacred influence of the imperial family, an influence functioning only in one direction (downwards), it can be easily observed that none of Murasaki Shikibu's characters, except Genji (whose kinship with the Emperor legitimates this to a certain degree), succeed in reaching the ideal of perfection dreamed of in order to be able to justify oneself as a new and unique reference. Besides the imperial family, which has the capacity to institute the reference and then, by emanation, to transfer it to others, the poets who distinguished themselves by their talent in the imperial anthologies of poetry also had the power to impose through poetry a new reference embodied in another ideal of perfection. At a certain moment, Genji's appearance and the admiration inspired by him in everybody are compared to a cherry tree in flower by which even simple men stop: "No doubt even rough mountain men wanted to pause for a time in the shade of the flowering tree."[10] This image of a flowering cherry tree was taken by Murasaki Shikibu from the preface of the imperial anthology *Kokinshū*. It is interesting the manner in which Murasaki Shikibu manages to create by analogy and then by metaphoric transfer from a reference known far and wide – the image of a woodman pausing to admire the beautiful shade of a flowering cherry tree – a new, more complex, and, implicitly, more poetic reference: the image of Genji's beauty (compared with the flowering cherry tree) as a momentary joy full of enchantment for all who look at it.

Impersonating the image of a real ideal, Genji could pass as a not verisimilar hero. Nevertheless, with all the perfections of his nature (he was a real courtier, a real *miyabi*) and all his accomplishments (he excelled in every art: poetry, calligraphy,

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[10] Murasaki Shikibu, idem, p. 67.

dance, eloquence, etc.), he raises not only admiration in those around him, but also much envy and hate. Moreover, a certain inclination in his nature towards sadness and melancholy helps him to discover even amid the most intense joys or artistic experiences the imperceptible signs of the transitoriness of things. Thus, revealing the hero's incapacity to respond to other people's envy and hate, and, moreover, endowing her hero with the painful consciousness that the world and the things are evanescent, Murasaki Shikibu succeeded in saving the image of Genji from an idealization lacking verisimilitude. Genji's erotic experiences are also far from being perfect or ideal. And when the distance between the impulses or experiences and the followed ideal increases, a breach is created, and a conflict creeps into the thus created gap, a conflict with often dramatic touches, having inevitably an ending which overshadows to a certain extent the entire world.

One of the most interesting chapters of the novel, seen from this perspective, is chapter IX, entitled *Aoi*. Aoi was the name of Genji's wife, being at also the name of a climbing plant with heart-shaped leaves. As an ornamental symbol, it became the symbol of the Kamo Festival. On the other hand, in poetry, *Aoi* also signifies a meeting or rendezvous. In this chapter Genji's wife falls ill. The invalid's behaviour makes Genji believe that an alien demon has possessed her spirit. Human spirits being possessed by demons was a commonplace of the folkloric literature of that age, becoming later one of the favourite themes of fantastic literature. What is interesting in this is the fact that the demonic spirit which entered the wife's body had belonged to a lady beforehand known and loved by Genji, Lady Rokujō. Overwhelmed by remorse and love for his wife, Genji's behaviour is exemplary during his wife's entire illness. After giving birth to a boy, the wife dies. Without making a psychological analysis of the personage in the modern sense of the word, Lady Murasaki succeeds in suggesting by the hero's ambiguous behaviour the states he is going through from doubt to certainty, and again, to doubt, believing that he and Lady Rokujō are to be blamed for his wife's death. He will pass the entire period of mourning fasting and praying.

But the discourse of love cannot exist without the discourse of nature. Despite the fact that the Japanese are known as great admirers of nature, in *Genji Monogatari* we shall not find detailed or insistent descriptions on nature. On the contrary, we may say that Murasaki Shikibu is not preoccupied by nature in general, but by the landscape, namely a kind of static picture of nature which excels through beauty and elegance. If such landscapes which, moreover, fix a representative image of a season, have previously known descriptions consecrated by the poems included in the imperial anthologies of the age, it is more than certain that the character who observes such a landscape will be disposed to contemplate and admire it. Deciding one night to visit a princess who lived in Hitachi Palace, Genji, waiting for the Princess to receive him, observes the beauty of the winter landscape which attracts his glance: "The winter they had complained of was being very cruel. Snow was piling in drifts, the skies were dark, and the wind raged. [...]

The scene was a lonely one, trackless snow stretching on and on."[11] He would be sorry to leave before meeting the Princess; therefore he calls for her and asks her to admire the "wild" landscape with him. Contrastingly, the appearance of the Princess disappoints him, her too big nose making him think of the trunk of Samantabhadra's elephant.

The interest given to court ceremonies and rituals has also an essential role in the economy of the novel. The whole court participates in the consecrated ceremonies and rituals occasioned especially by the essential moments in the succession of the seasons. One of the court events described insistently in Chapter VII, mainly because Genji is in its centre, is the Red Leaves Festival. Genji dances the ritual Waves of the Blue Ocean dance raising everybody's admiration. The Princess Kokiden, Genji's stepmother seems discontented that everybody admires him, revealing to her attendants her hatred for the Prince: "Surely the gods above are struck dumb with admiration [...]. One is overpowered by such company."[12] In the following chapter, the Festival of Cherry Blossoms is presented, which takes place in the court; on this occasion the Emperor gives a Chinese feast under the great cherry tree in the Southern Court. Since, at that time, the Emperor showed an interest in Chinese poetry, the fashion of Chinese poetic style was imposed in the Japanese court. During the Cherry Blossom Festival a poetry competition is also organized, in which each participant writes a poem (in a given topic) in Chinese manner, later reciting it before everyone. Genji's poems cause general admiration; even the professional poets are impressed by their quality.

Such rituals and ceremonies consecrated to court life or to the celebration of some important events are not singular in the economy of the novel, being accompanied by sacred or religious rituals. One of these rituals, described in detail in Chapter IX, is the Consecration Ritual of the Vestal of Kamo. Fate has chosen Sannomiya, Kokiden's daughter as the Vestal of the Temple of Kamo. A few days before the installation, the lustration ceremony has to take place at Kamo River, for which occasion the Emperor himself chooses the vestments and the colours to be worn by the young nobles who have to wait for the Princess at the given place. Prince Genji is assigned to this escort. The exceptional energy with which Murasaki Shikibu describes not only the well-known moments of the ritual, but mainly the tumult of the multitude which has come to look at the ceremony, choosing then from the multitude observers (Rokujō, Prince Momozono, Princess Asagao) to follow from different parts the action, confers to the entire scene dynamism and additional energy. The scene containing the incident with the carriages of the women who dispute Genji's heart at this time – namely Aoi, his wife, and Lady Rokujō – is remarkable. This incident has also a significant role anticipating the following events: Aoi's illness, the possession of her soul by Lady Rokujō's spirit, and the death of Genji's wife.

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[11] Idem, p. 131.
[12] Idem, p. 140.

Then, among the few references Murasaki Shikibu makes to the world outside the imperial court in her novel, we also find with the occasion of this ceremony the plastic description of some lower class figures: "Hollow-mouthed women of the lower classes, their hair tucked under their robes, their hands brought respectfully to their foreheads, were hopping about in hopes of catching a glimpse. Plebeian faces were wreathed in smiles which their owners might not have enjoyed seeing in mirrors, and daughters of petty provincial officers of whose existence Genji would scarcely have been aware had set forth in carriages decked out with the most exhaustive care and taken up posts which seemed to offer a chance of seeing him."[13]

These festival or religious ceremony scenes are among the few in which the upper class interacts with the lower classes. The installation ceremonies following the lustration ceremonies take place according to the Shinto tradition in a manner of *great dignity and solemnity* as the author describes it.

Another essential aspect of the novel is the description of court etiquette. But the description of court protocol, of the way in which courtiers dressed according to their rank or to court customs are not crucial in the novel. More important than their description is, however, how the characters interpret in certain circumstances the other characters' behaviour, the colour or cut of their vestments, or some gestures which receive, mainly in unusual moments, multiple significations. At the lustration ceremony of the Vestal of Kamo, wishing to remain unobserved, Lady Rokujō comes in an ordinary carriage, but Genji, seeing the sumptuous garments of the person hiding in the coach, realizes that it must be a person of high rank.

The letters sent by the characters are also relevant, from the type of the paper and the refined or less elegant calligraphy with which they are written to the content of the letter, everything gains importance and significance, helping the addressee, if s/he interprets correctly the meanings, to receive additional information on the sender; extremely useful information, mainly when the content of the letter (usually a poem) is more difficult to decipher or involves multiple significations.

In everyday court life, poetry represented not only a beautiful possibility for spending one's time, but it was almost obligatory for the education and formation of a good courtier.

Courtiers, from the lowest rank to the Emperor, used (due to their education) to write poems. In other words, the cultivation of poetical knowledge had a social role. Thus, the composition of a poem on different occasions (writing it calligraphically in a refined and artistic manner) or the recitation of a well-known *waka* poem in given situations, the ability to write, as well as the ability to find in any situation a poetic reference to the concrete situation, represented for all educated courtiers an effective modality to distinguish themselves in the most refined circles. Or, even from a social point of view, to be familiar with Japanese literature (including the Annals of Japan, the imperial poetry anthologies: *Man'yōshū* and *Kokinshū*) constituted

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[13] Idem, p. 171.

a very practical way of selecting the aspirants for a certain rank in court. Murasaki Shikibu knew so well the ancient chronicles and annals *Kojiki* and *Nihonshoki*, that the Emperor nicknamed her *Lady Annals of Japan*. To be familiar wiht Japanese chronicles and literature was important mainly in the case of women when they wished to obtain a certain court position. It is known how intense the competition between two contemporary lady writers, Murasaki Shikibu and Sei Shōnagon, was, but it becomes ever clearer today that, beyond the remarkable personality of the two literary ladies, on the long run, the winner of the competition was, first of all, literature.

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NAGAÏ KAFÛ, *UNE HISTOIRE SINGULIÈRE À L'EST DU FLEUVE* (*BOKUTÔ KIDAN*)
TON ET COULEUR DANS LE ROMAN DE L'EXIL INTÉRIEUR

RODICA FRENȚIU∗

ABSTRACT. *Nagai Kafū, A Strange Tale from East of the River (Bokutō kidan). Tone and color in the novel of interior exile*. The study attempts a hermeneutical analysis of the novel considered the masterpiece of the Japanese writer. Without entirely being a retrospective narrative of the autobiographical type, *A Strange Tale from East of the River* is, to some extent, a composition of texts in diary and correspondence style, or of a special type of intertextuality identified in the technique of *mise en abyme*, by introducing the novel-within-the-novel (*Shissô/ Disappearance*), as the events in *A Strange Tale from East of the River* are closely related to the writing of the other novel. *A Strange Tale from East of the River* becomes thus a narrative text that permanently oscillates between a pseudo-autobiographical novel (*Disappearance*), which tends to focus upon the existence of a character, and an autobiographical, apparently authentic one (*A Strange Tale from East of the River*) which highlights the voice of a narrator. This analysis attempts to point out the characteristics of the narrative strategy that transforms the writing of a novel in an act of artistic creation, revealing at the same time the elements shaping the concept of "beauty" in Nagai Kafū's work.

Keywords: *Neo-Romantic, the novel of interior exile, "novel-within-the-novel", tone, color.*

> *A color is something that the subject to be depicted has in itself; a tone arises from a feeling or sentiment that is induced in the depictor when confronted by the subject.*
>
> Nagaï Kafû, *The Tone and Color of Language*

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I. Nagaï Kafû – écrivain naturaliste et néo-romantique

Nagaï Kafû(1879-1959), à côté de Natsume Sôseki (1867-1916) et Mori Ôgai (1862-1922), est considéré un des fondateurs de la littérature japonaise moderne, à la frontière de deux siècles. Si, de par ses études en Europe, Natsume Sôseki familiarise le lecteur japonais avec la littérature anglaise et Mori Ôgai avec celle allemande, c'est le tour de Nagaï Kafûd'introduire la littérature française sur le marché intellectuel et culturel japonais, en faisant connaître au Japon les noms de Verlaine, Baudelaire, Zola ou Maupassant. En combinant l'apprentissage des lettres françaises avec le respect pour la propre littérature universelle, son œuvre se constitue en une sinueuse auto conscientisation du moi, greffée sur un égotisme sensuel qui rend Nagaï Kafûle plus décadent de tous les écrivains japonais modernes (cf. Rimer 1991: 118). Dégouté par le Japon contemporain qu'il voit comme une copie imparfaite de l'Occident moderne, l'auteur japonais tourne son attention vers le Japon traditionnel, et, spécialement, vers la période Edo (1600-1858), en avouant son admiration pour le passé (v. Snyder/Kafu 2007: vii). Explorateur de la vie affective, mais aussi des recoins obscurs de rues de la capitale Tokyo (Edo de jadis), Nagaï Kafû décrit des sentiments profondément humains et les espaces dans lesquels ceux-ci se manifestent avec une extraordinaire acuité et une finesse de perception particuliere, comme s'il essayait d'immortaliser à jamais les traces de l'esprit Edo. Comme il ressentait très fort son impuissance devant une société dont le système de valeurs était en pleine transformation, l'écrivain cache, sous un cynisme ostentatoire, la souffrance qui lui impose une sorte de suicide intellectuel (cf. Sieffert 2001: 478) et, tout en se proclamant descendant des prosateurs de la période Edo et des auteurs de *gesaku* ('popular stories') de la période Meiji (1868-1912), il écrit des romans et des nouvelles dédiés à la vie des nouveaux quartiers de plaisance, en essayant de découvrir des vestiges de l'ancien Edo sous le travesti moderne.

En 1885, Tsubouchi Shôyô (1859-1935), le premier traducteur de Shakespeare en japonais, dans son étude *Quintessence du Roman* (*Shôsetsu Shinzui*) montrait la nécessité de créer de nouvelles formes littéraires dans l'espace culturel nippon (v. Keene 1991: 94-95), formes caractérisées, entre autres, par un réalisme psychologique, qui vient à l'encontre de la complexité de l'homme moderne. Comme si c'était la continuation normale de ce signal, par son œuvre, Nagaï Kafû apporte devant les feux de la rampe de la littérature japonaise non seulement des faits de la vie contemporaine, mais aussi la problématique de l'éveil de l'individualisme, de la possibilité du choix personnel et de la liberté d'opinion.

Shitamachi (les quartiers de la périphérie de la capitale) étaient les endroits où, au XVIII-ième siecle, s'étaient refugiés et s'étaient développés les lettres et le véritable art, les espaces dans lesquels l'imagination n'avait pas été limitée par un pouvoir autoritaire ou par les conventions de la morale et de l'esthétique officielle (v. Faure 1975: 14). Maintenant et ici, il se crée une littérature romanesque propre à la période Tokugawa qui est, par excellence, une littérature de l'évasion. « Moi » et « individu » sont des notions encore imprécises, loin d'être considérées des valeurs

et, l'artiste, en quête de la *voie,* n'a d'autre solution que de s'inscrire dans une lignée de la tradition qui suppose de l'exercice et de l'ascèse, en se retrouvant, par cela même, dans un microcosmos dont les lois de fidélité et de soumission ne pouvaient être ignorées.

Dans la mentalité de cette époque-là, l'idée que quelqu'un souhaite ou puisse être différent de la grande majorité, était inconcevable. Cette restriction et ce conditionnement ont engendré comme réaction naturelle le besoin aigu d'évasion en dehors d'un cadre rigide où l'amour était pris pour une sottise, voire un crime, et où les vraies vertus étaient l'obéissance et la soumission. C'est ainsi que débuta une ruée vers les quartiers de plaisance dont les portes d'entrée commençaient à signifier, paradoxalement, les marques de la liberté-même, quoique cette liberté n'ait rencontré là-bas, dans ce « monde flotant », que le néant proféré par l'éphémère, selon la bonne tradition des enseignements buddhistes. Mais la ruée vers ces quartiers signifiait aussi la ruée vers la nature, et les citoyens de la capitale Edo (Tokyo d'aujourd'hui) étaient enivrés par leur propre ville, par l'esprit et le style de vie de celle-ci. L'intérêt pour un monde pareil engendre l'isolation de l'artiste et sa marginalisation. D'une certaine manière, il reconnaît et accepte son statut, ne souhaite guère devenir l'intellectuel engagé dans l'évolution de la société et se transforme uniquement dans le souvenir d'un monde mourant.

L'ouverture du Japon vers les valeurs occidentales sous la restauration Meiji (1868-1912) amène la remise en cause du rôle de l'écrivain et de la littérature. La perspective de définition est dorénavant anti-confucianiste, par laquelle on met en évidence le caractère spécifique de la littérature, indépendamment de toute subordination d'ordre extérieur, moral ou autre. (v. Faure 1975: 16). Par la suite, le naturalisme a été accueilli au Japon comme un courant qui redonne à l'écrivain la dignité de son métier, étant considéré moins une technique de perception du monde, que plutôt un instrument de libération individuelle, à côté d'une justification philosophique et morale de l'écrivain (v. Faure 1975: 16). Nagaï Kafû comprend ce volet du naturalisme, mais, après quelques années de mise en œuvre sur le terrain, il trouve sa propre *voie* et il prend conscience du fait qu'il ne se sent pas capable de pouvoir dire du bien que de soi-même ou de ceux pour lesquels il nourrit des sentiments et des affections. Son regard devient celui d'un observateur très attentif au particulier et au spécifique et son attention s'oriente, tout d'abord, vers les détails qui lui créent des émotions. Il ne peut pas s'approcher de ce qui lui est indifférent, ce qui fait que le ton des romans de l'écrivain japonais devient mélancolique même lorsqu'il décrit les paysages urbains parcourus et où, impitoyablement, le présent prend la place du passé.

Le début du XX-ème siècle se fait connaître dans la sphère des lettres japonaises par plusieurs tendances, bon nombre d'entre elles étant apparues comme réactions au courant naturaliste. Une de ces tendances est l'école *Subaru* (*la Pléiade*), dont le crédo artistique était de cultiver un concept du beau dans une formule moderne, loin de la réalité sombre, et pour lequel l'amour ou « le plaisir

des sens » était « le but de la vie » (cf. Simu 1994: 187). Puisqu'il essaie de voir l'homme dans des couleurs lyriques plutôt que sous un aspect naturaliste, Nagaï Kafû, le maître des *nuances esthétiques* (« aesthetic nuances ») et des *états tendres* (« tender moods ») (Benl 1953: 12), pourrait être caractérisé comme un « naturaliste romantique ». Il a souvent été appelé par la critique de spécialité un « néo-romantique » ou « décadent » (cf. Kanazawa 1999: 89) justement à cause de cette esthétique de la décadence qu'il promeut. Considéré le dernier grand écrivain de la génération Meiji, Nagaï Kafû a pris comme étude de cas pour son œuvre la crise de la « mutation » (Faure 1975: 25), crise que le Japon connaît depuis plus de cent ans et qui n'est pas encore finie. Par son œuvre, l'auteur essaie de démontrer que l'individu trouve sa permanence uniquement sur le fond de la tradition (v. Faure 1975: 20). C'est un principe que Nagaï Kafû, de retour dans son pays après quelques années de pérégrinations en Amérique et en Europe, mettra, tout le long de sa vie littéraire, à la base de sa propre esthétique.

II. Nagaï Kafû, *Une histoire singulière à l'est du fleuve* (*Bokutô kidan*) – le roman de *l'exil intérieur*

Après *America monogatari* (*Récits d'Amérique*, 1908) et *Furansu monogatari* (*Récits de France*, 1909) qui valorisent l'expérience des cinq années passées à l'étranger, Nagaï Kafû publie le roman *Sumidagawa* (*La Sumida*, 1909) dans lequel transparaît un peu la mélancolie d'une « fin de siecle » française attachée, par des liens invisibles, à un monde japonais archi-vieux et moribond, au crépuscule de son existence. Ses réactions et critiques visant son temps ne sont pas très différentes de celles exprimées par Mori Ôgai sur « le pays en reconstruction» et par Natsume Sôseki sur « la superficialité du jour présent », puisque ces critiques adressées à « l'occidentalisation du Japon » reconnaissent son caractère inévitable, à une différence près: Nagaï Kafû ne manifeste aucun intérêt pour cette évolution. (v. Kato 1998: 780). En fait, l'écrivain japonais s'était déjà isolé de l'évolution de l'histoire et de la société, en se retirant sur les ruelles de la banlieue de Tokyo où l'on gardait encore le souvenir de la culture Edo. Dans un contexte social et politique où la devise du temps était *fukoku kyôhei* ('enrichir le pays, rendre l'armée puissante'), le rôle de l'artiste est pour Nagaï Kafû de se révolter face à la laideur vaniteuse et autosuffisante et, lors de son long exil intérieur auto imposé, il sent avoir la responsabilité de rappeler à ses contemporains l'ancienne beauté japonaise, remplacée par les transformations inhérentes à la modernité qui l'angoisse avec chaque jour qui passe.

Dans la critique de la société, les termes « hypocrisie » et « imposture » apparaissent constamment, l'auteur accusant ceux qui avaient assumé la destinée du pays d'avoir détruit la capitale qu'il chérissait tant et de ne pas l'avoir préservée. Alors qu'il essaie de comprendre le statut de l'écrivain, la seule ressource pour Nagaï Kafû est de redevenir *gesakusha*, « un faiseur de divertissments » (Faure 1975: 23) à la manière du passé; isolé du monde, il choisit le sujet de ses romans dans l'univers des quartiers de plaisance ou, autrement dit, dans le *monde des fleurs et des saules*.

Bokutô kidan (Une histoire singulière à l'est du fleuve), rédigé entre septembre et octobre 1936, est apprécié comme le chef-d'œuvre de Nagaï Kafû. Considéré comme étant le texte romanesque le plus élaboré de Nagaï Kafû, que l'auteur allait modifier constamment le long de vingt années, pour revenir enfin à une version proche du manuscrit original (cf. Nahoum/Kafû 1992: 12), *Une histoire singulière à l'est du fleuve* a été publié pour la première fois en 1937, l'année où Nagaï Kafû était à l'apogée de sa carrière. Alors que le Japon était entraîné par des courants ultra nationalistes dans de graves événements sociaux et politiques internationaux, ayant abouti à l'entrée dans la Seconde Guerre Mondiale, Nagaï Kafû entrera dans un silence auto imposé, se concentrant uniquement sur la rédaction du journal (*Danchôtei nichijô*) qui allait compter, en publication postume, seize volumes. Dans un pareil contexte, les attitudes de fuite, d'évasion, présentes tant dans *Une histoire singulière à l'est du fleuve* (*Bokutô kidan*) que dans le roman dans le roman, appelé *Shissô* (*La disparition*), reflètent l'attitude d'un individu qui se retire du monde de manière délibérée, comme dans un geste de protestation passive face à l'évolution de la société dans laquelle la seule attitude honorable ne pourrait être que la disparition dans l'inconnu. Dans « le roman-dans-le roman », la disparition du héros principal est voulue et ses détours afin d'éviter les postes de police rappellent le début de la narration *Une histoire singulière à l'est du fleuve*, lorsque le narrateur Ôe Tadasu avoue un interrogatoire pris dans undroit pareil, après y avoir été emmené par un agent rencontré dans un des parcs de la région périphérique de la capitale.

Une histoire singulière à l'est du fleuve a pour cadre un quartier aux ruelles sans nom à Tokyo. La seule chose que le lecteur apprend sur ce quartier est qu'il se trouve à l'est du fleuve Sumida. Le narrateur Ôe Tadasu est un écrivain âgé, qui, au gré de ses pas, rentre dans la possession de la ville en redécouvrant les endroits du passé. Entre le promeneur anonyme au milieu de la foule et une femme demeurant dans une maison du quartier où toutes les maisons se ressemblent entre elles, par la force de la destinée et sous le coup du hasard, naît une liaison fragile qui semble vouée dès le départ à la disparition:

> « Aucun de nous, O-yuki et moi, ne connut jamais le vrai nom ni l'adresse de l'autre. Nous devînmes simplement intimes dans une maison au bord d'un canal où bourdonnaient des moustiques, dans une ruelle à l'écart, à l'est du fleuve Sumida. Notre relation était telle que, dès lors que nous serions séparés, nos existences n'auraient aucune occasion, nul moyen de se retrouver de nouveau. Sans doute n'avait-ce été que le divertissement d'un amour léger… pourtant, si je me forçais à évoquer l'émotion de la séparation, alors qu'il était évident depuis le début qu'il n'y avait pas d'espoir de nous revoir, je verserais dans l'exagération – et si j'en parlais d'une manière détachée, j'éprouverais le regret de n'en avoir pas rendu complètement le caractère émouvant.» (Kafu 1992: 129)

Observateur isolé, cependant très attentif aux détails de toutes sortes, Nagaï Kafû présente la ville qui change sous ses yeux, *Bokutô kidan* s'inscrivant dans la lignée de ses romans antérieurs : *Sumidagawa (La Sumida,* 1909) *Udekurabe*

(*Rivalités*, 1917), *Tsuyu no atosaki* (*Saison des pluies*, 1931), des descriptions de certains endroits découverts lors des promenades au gré du hasard. Cependant toutes les zones limitrophes du fleuve Sumida font partie de sites célèbres de la capitale Edo, le Tokyo d'aujourd'hui. Chaque endroit rappelle au lecteur japonais les estampes *ukiyoe* ou des passages célèbres de la littérature classique japonaise. Le plaisir de décrire est évident chez Nagaï Kafû. Comme la plupart de ses écrits, *Une histoire singulière à l'est du fleuve* s'appuie sur l'expérience personnelle de l'auteur. Celui-ci arrive à créer une atmosphère presque irréelle à l'aide des bruits, des odeurs, de la chaleur ou de la pénombre, en enlevant les formes de l'objet au fleuve de l'oubli. Les poèmes insérés dans le texte, créations propres ou sélections des vieux romans chinois, viennent rehausser cette atmosphère, mais l'auteur a le souci de ne pas en finir de manière mélodramatique ou dans une sorte de représentation naturaliste.

  Une histoire singulière à l'est du fleuve est une description monistique (*ichigen-byôsha*) (v. Benl 1953: 25), dans laquelle le monde est vu d'une seule perspective, celle du narrateur s'identifiant au personnage principal. Le texte est homogène, intimement subjectif, et, de manière surprenante, objectif à la fois, puisque, selon l'auteur, la verité ne peut être trouvée en dehors de ses propres quêtes et expériences.

  Le roman de Nagaï Kafû conquiert le lecteur par sa force évocatrice. La trame du texte narratif écrit à la première personne n'est point spectaculaire. L'accent tombe plutôt sur le changement de l'état d'esprit du personnage principal, un écrivain dans sa deuxième jeunesse, qui, à son tour, écrit un roman intitulé « La disparition ». L'écrivain âgé, par une coïncidence guère aléatoire qui fait qu'une averse de pluie inattendue amène sous le même parapluie une passante à peine sortie de chez le coiffeur, commence une idile avec une femme « de la fenêtre », dans un quartier à la banlieue de Tokyo, à l'est du fleuve Sumida. En quête d'un cadre naturel propice au déroulement de l'action du roman en cours d'être écrit, Ôe Tadasu court cette zone de la banlieue, en prenant note de tous les détails. Une averse d'été fait qu'il offre abri sous son parapluie à une habitante du quartier, appelée O-yuki, ce qui engendre une histoire d'amour dont il va s'inspirer pour achever son roman.

  La narration et « le roman-dans-le roman » se reflètent réciproquement tels des miroirs mouvants (cf. Rimer 1991: 119), les deux oscillant entre la fiction et la biographie. Par endroits, le roman-dans-le roman arrive au premier plan et la fiction semble se perdre dans le réel et, à l'inverse, le narrateur et l'écrivain Ôe Tadasu découvrent la vertu dans les quartiers de plaisance, le beau dans le laid et le labirinthe de son propre moi dans le labyrinthe de l'endroit (v. Ishizaka 1993: 34-36) qu'il fréquente:

> « Si l'idée me venait de comparer une hôtesse des environs de Ginza et une de ces filles aux fenêtres, je préférais cette dernière, je sentais qu'avec elle il était davantage possible de parler de sentiments humains, et des deux quartiers, ce dernier, qui n'avait pas l'éclat du superficiel, laissait moins le sentiment désagréable d'une apparence trompeuse. » (Kafû 1992: 105)

Tout en méprisant la modernité superficielle du centre de la capitale, le narrateur d' *Une histoire singulière à l'est du fleuve* et l'écrivain du roman *La Disparition* est en quête de la vieille tradition japonaise et des traces d'une culture authentique, ce qui l'oriente envers les parties négligées de la ville:

> « À Tôkyô existaient des sites traditionnellement réputés pour leur beauté, mais après le tremblement de terre, la construction de quartiers neufs a complètement gâchéé les anciens paysages : c'était cette situation que je voulais dépeindre, aussi mon choix pour le lieu ou se cachait Taneda se portait sur Honjô, sur Fukagawa, ou sur quelque endroit aux confins d'Asakusa. Et sinon, ce serait une ruelle sombre de ce qui était autrefois la campagne avoisinante. » (Kafu 1992: 41)

L'histoire en est celle des zones décadentes à l'intérieur de la ville de Tokyo. Le narrateur et l'écrivain Ôe Tadasu sont convaincus que nombre des lecteurs auxquels ils s'adressent ne se soient jamais aventurés dans ces rues latérales, c'est pourquoi ils insistent sur tous les détails: bâtiments, magasins, canaux, même les moustiques, détails persuasifs conférant à la scène tout le naturel et une couleur qui lui est propre. Mais toute l'histoire se superpose à quelque chose d'irrationnel, un vague sentiment de solitude et de mélancolie d'Ôe Tadasu, sentiment vécu d'ailleurs par Chôkichi également, le personnage principal de *Sumidagawa*, dont le seul désir se résume, en fin de compte, à rencontrer une femme belle et tendre:

> « ... il n'arrive pas à en saisir lui-même le pourquoi; il est seul, il est triste, un point c'est tout. Il est pressé par une aspiration à chaque instant plus lancinante vers quelque chose d'indéfinissable et qui puisse apaiser cette solitude et cette tristesse; il voudrait ardemment épancher la confuse douleur tapie au creux de sa poitrine devant une belle femme, peu importe laquelle, qui lui répondrait d'une voix tendre. » (Kafû 1975: 87)

Par des touches de couleur et des représentations partielles, par quelques « signes » et par la particularité mélancolique-romantique du ton, le roman gagne la nuance d'une évocation poétique, écrite devant le lecteur, où la fiction se substitue à la réalité et le réel cède la place à la rêverie : « Ces instantanés de la société japonaise urbaine surgissent à la frontière du rêve. » (Nahoum/Kafû 1992: 21).

Le roman moderne de Nagaï Kafû, à le lire d'une manière réaliste, représente tant une réflexion sur la narration et sur le discours sur la narration, qu'une description des transformations des paysages urbains observés par le narrateur pendant ses pérégrinations. *Une histoire singulière à l'est du fleuve* est un texte qui relève la duplicité du regard et, par endroits, une prise de distance critique de l'auteur par rapport à l'objet de sa création. *Ninjôbon* ('roman sentimental') de l'époque Meiji par laquelle Nagaï Kafû se montrait si intéressé, proposait un regard simple, même la confusion avec le propre objet, très proche, par sa technique, de *monogatari* ('récit romanesque'). À l'inverse, Nagaï Kafû, quoique romancier, est un narrateur médiocre, mais il se peut que ce contraste-même signifie la naissance d'un roman : « Le roman ne naît guère dans une société en accord avec elle-même. » (Kafû/ Faure 1975: 151).

III. Le roman en tant qu'acte de création artistique: *empathie, observation, lecture et méditation contemplative*

Les thèmes essentiels du roman de l'exil intérieur *Une histoire singulière à l'est du fleuve,* l'aliénation de l'individu et l'agonie de la tradition, exprimés par le biais des paysages ou des personnages, sont les thèmes centraux du drame de la civilisation de l'époque où vit Nagaï Kafû. Par la suite, les thèmes ne sont ni l'objet du roman, ni des éléments d'un roman, ils sont le socle et le canevas dont la forme se dessine à l'aide de la matière; ils la composent dans le sens le plus strict du terme. Dans le roman de l'écrivain japonais, l'artiste devient plutôt un observateur qu'un participant actif à la marche de la société, ce qui explique, sans aucune difficulté, le refus de la composante sociale et politique de la réalité que celui-ci fait entrevoir : « All we wish to do is to take a good look at life's realities, to show that such-and-such a form of life exists under such-and-such circumstances. » (Kafû, apud Ueda 1990: 27).

Mais Nagaï Kafû considère que « la couleur » ou bien ce que la poétique occidentale appelle « l'atmosphère » ne peut être rendue dans un roman que si l'auteur manifeste visiblement son *empathie* envers le personnage ou envers le paysage décrit, empathie qu'il doit saisir par le miroir de son esprit (v. Ueda 1990: 48). Dans son désir d'imiter la nature, l'écrivain opère une sélection en fonction de son empathie avec les lieux et les gens: « I am now seeking the kind of art that most befits my physique, my life, and my temperament. » (Kafû, apud Ueda 1990: 34), pour que le matériel choisi révèle des vérités cachées sur la vie. Cependant, l'écrivain japonais a trouvé cette vérité uniquement parmi les vies anonymes des habitants des rues périphériques de la capitale Tokyo pendant la première moitié du XXème siècle, puisque ceux-ci, parmi lesquels il y a aussi la *geisha* ou différentes autres animatrices, telle, par exemple, « la femme à la fenêtre », bien que n'appartenant pas à la société respectable, font preuve, par une force fruste ('naked force') (cf. Richie 1974: 114) qui leur est propre, de plus d'humanisme et de moins d'hypocrisie. Dans ce sens, Ôe Tadasu, dans *Une histoire singulière à l'est du fleuve,* cite de son propre roman *Mihatenu yume* (*Rêve inachevé*), volume qui avait été publié par Nagaï Kafû en 1910. L'auteur y explique l'insistance du héros de se retourner inlassablement dans ce quartier de plaisance:

> « S'il avait eu l'énergie de fréquenter le «monde des fleurs et des saules », jour après jour, pendant des années et des années, c'est parce qu'il savait parfaitement que ces quartiers étaient ceux de la malhonnêteté et de l'obscurité. (…) Son indignation devant la vanité hypocrite des épouses légitimes, devant les tromperies de la société honorable, était la force unique qui le faisait se précipiter dans l'autre direction, qu'il savait depuis le début être celle de la malhonnêteté et de l'obscurité. En d'autres termes, il éprouvait plus de plaisir à découvrir les restes d'une belle broderie au milieu de guenilles abandonnées qu'à trouver toutes sortes de taches sales sur un mur réputé immaculé. Il n'est pas rare que le sol des palais de l'équité soit jonché d'excréments d'oiseaux ou de rats, et c'est à l'inverse au fond des vallées du vice que l'on peut cueillir et amasser en abondance les belles fleurs des sentiments humains et les fruits parfumés des larmes. » (Kafu 1992: 94)

Nagaï Kafû considère que lorsque l'écrivain décrit un paysage, un objet ou un individu, son maître est la nature, et lorsqu'il doit parler de son rôle dans le roman, il devient son propre maître. Le narrateur d'*Une histoire singulière à l'est du fleuve* est un romancier âgé qui raconte au lecteur les dernières expériences de sa vie, et ainsi la narration principale est précédée par sa conversation avec un antiquaire ou un policier, ensuite elle est coupée par l'insertion de fragments d'un roman qu'il écrit et s'achève par un long postscriptum qui ressemble à un essai indépendant. Mais, pour l'écrivain, le personnage et beaucoup plus important que le scénario de l'action:

> « Ce qui m'intéresse le plus, lorsque j'écris un roman, ce sont le choix et la description des lieux ou vivent les personnages et ou se déroule l'action. J'ai souvent commis l'erreur de mettre l'accent principal sur la toile de fond plutôt que sur le caractere des personnages. » (Kafu 1992: 40-41)

C'est pourquoi, dans son roman, une description réaliste d'un paysage et une vive caractérisation d'un personnage sont souvent accompagnées d'une intrigue insignifiante et, parfois, d'une séquence même artificielle des événements (v. Ueda 1990: 28), comme c'est le cas dans *Une histoire singuliere a l'est du fleuve*, où les personnages décrits avec beaucoup de précision se rencontrent dans un endroit décrit dans tous ses détails, mais leur rencontre est purement accidentale.

Considérée un des chefs-d'ouvre du genre dans la littérature japonaise moderne, la scène dans laquelle se rencontrent pour la premiere fois les protagonistes d'*Une histoire singuliere à l'est du fleuve* a gagné, au fil des ans, sa célébrité. L'écrivain Ôe Tadasu se promène dans le quartier aux lampadaires rouges Tamanoi, de Tokyo, lorsque, soudain, il sent dans l'air la menace d'une pluie d'été. Tous les passants cherchent à la hâte un abri, sauf l'écrivain qui, vu son habitude de longue date, ne se sépare jamais de son parapluie lors de ses promenades. Cette fois-ci aussi il en a un, ce qui fait qu'il peut continuer tranquillement son périple sous la pluie. Cependant il entend une voix féminine le priant de lui permettre de s'abriter sous son parapluie. Il partage ainsi son parapluie avec l'étrangère qui s'avère être une habitante du quartier et il l'accompagne jusqu'à l'habitation de celle-ci:

> «<u>Soudain</u> (c'est nous qui soulignons), je vis un homme en blouse blanche qui criait < Il va pleuvoir! > s'engouffrer sous le *noren* de ce qui paraissait etre un estaminet d'*oden*, en face. Puis une femme en tablier de cuisine et des passants coururent a grand bruit. En un instant, comme si tout le quartier était <u>soudain</u> (c'est nous qui soulignons) la proie d'un sortilège, on entendit un fracas, comme celui d'un store qui se serait écroulé sous l'effet de la bourrasque, et papiers et détritus se mirent à voler au-dessus de la rue, comme des fantômes. Bientôt, des éclaires brillèrent violemment, puis un coup de tonnerre doux, et une grosse pluie tomba à petites gouttes. En un instant, le ciel si dégagé de cette soirée avait changé du tout au tout. J'ai l'habitude, depuis des années, de ne sortir pour ainsi dire jamais sans parapluie. Malgré le beau temps, nous étions entrés dans la saison des pluies et ce jour-là, bien sûr, je l'avais pris, ainsi qu'un paquet enveloppé d'un *furoshiki* : je ne

fus donc pas surpris, déployai tranquillement mon parapluie et commençai à marcher tout en regardant, à l'abri, le ciel et la ville, lorsque <u>soudain</u> (c'est nous qui soulignons) j'entendis une voix derrière moi : <Dites, vous m'abritez jusque là-bas?> et à peine ces mots avaient-ils été prononcés que la nuque blanche d'une femme plongeait sous mon parapluie. Sa haute coiffure – à la mode *tsubushi* – venait juste d'être faite, l'odeur du cosmétique en témoignait, et les fils d'argent qui la liaient retombaient sur ses cheveux. Me revint en mémoire le salon de coiffure aux portes grandes ouvertes devant lequel je venais de passer. » (Kafû 1992: 45-46)

Chez l'écrivain japonais, l'action doit servir à la caractérisation du personnage, d'où de nombreuses coïncidences qui apparaissent dans le texte. Dans *Une histoire singulière à l'est du fleuve*, Ôe Tadasu et la jeune fille « de la fenêtre » se rencontrent par un jeu du hasard, grâce à une averse de pluie. Quoique la vie réelle ait aussi sa part de hasard, malgré l'impeccable description, le lecteur pourrait avoir pourtant l'impression que les circonstances *sont* accidentelles de manière voulue: sans la pluie inattendue d'été, les deux ne se seraient jamais rencontrés. Le narrateur intervient immédiatement, en anticipant la réaction du lecteur auquel cette pluie d'été pourrait sembler *de manière voulue* accidentelle:

« Peut-être le lecteur s'étonnera-t-il de l'attitude familière à mon endroit de cette femme rencontrée pour la première fois dans une rue. Je n'ai fait, toutefois, que relater telles qu'elles se sont déroulé les circonstances de cette rencontre fortuite, sans enjoliver la réalité. Il n'y avait là nul dessein. En lisant que tout a commencé à la suite d'une averse et dans les grondements du tonnerre, certains ironiseront sans doute sur le style conventionnel de l'auteur, mais c'est précisément parce que j'ai pris ceci en considération que je n'ai pas voulu arranger les faits d'une autre manière. Les événements de cette nuit-là, provoqués par cette averse du soir, m'avaient paru intéressants en raison même de cet aspect tout à fait classique, et c'est en vérité parce que j'ai voulu dépeindre cela que j'ai commencé à écrire ces pages. » (Kafû 1992: 52)

Ôe Tadasu se défend en soutenant que cette coïncidence s'est passée réellement. L'homme est une marionnette dans les mains de la destinée, pourquoi alors ne pourrait-il pas être également un personnage dans les mains de son créateur?!

Pour l'écrivain japonais, l'ébauche et la mise en évidence d'un personnage seront remplies de succès uniquement s'ils dérivent d'une *observation* actuelle, complétée par la force de l'imagination (cf. Ueda 1990: 32), à tel point que tout soit, en fin de compte, une sorte d'observation de l'extérieur faite cependant depuis l'intérieur. L'observation et l'empathie deviennent chez Nagaï Kafûles principes fondamentaux du processus de création artistique, les conditions sine qua non à l'aide desquelles le créateur entre à l'intérieur du sujet, le percevant depuis l'intérieur, dans sa dimension profonde:

« Au début, lorsque j'avais conçu l'intrigue de <La disparition>, j'avais décidé qu'une liaison se nouerait d'une maniere tres simple entre l'hôtesse de bar Sumiko, qui allait sur ses vingt-quatre ans cette année-la, et Taneda, qui en aurait cinquante et un, mais a mesure que mon pinceau glissait sur le papier, je me rendais

compte que la chose manquait quelque peu de naturel : pour cette raison, et aussi a cause de la chaleur qui régnait juste a ce moment-la, j'avais interrompu mon travail.

Mais maintenant, appuyé sur la rambarde, j'écoutais la musique et les chants d'une danse folklorique qui me parvenait du parc, en aval, et je me souvenais de l'intonation de la voix d'O-yuki et de son attitude lorsqu'un peu plus tôt, appuyée a la fenêtre du premier étage, elle m'avait dit <Cela fait déja trois mois, n'est-ce *pas*? >, et la liaison entre Sumiko et Taneda ne me paraissait plus du tout manquer de naturel. Il n'y avait pas de raison de rejeter une histoire sous le prétexte qu'elle n'était que pure invention de l'auteur. J'eus la sensation que si je modifiais en cours de route mon projet initial, le résultat n'en serait probablement que plus mauvais. » (Kafu 1992: 107-108)

Mais une pareille attitude se greffe sur l'esthétique traditionnelle japonaise de l'union entre l'artiste et le sujet de sa création, concept pré-moderne conformément auquel le créateur ne peut contempler le sujet de maniere détachée; il doit pénétrer à l'intérieur de celu-ci, en observant attentivement sa vie et ses vécus, d'autant plus que chaque homme a son propre caractère: « Du moment qu'un insecte minuscule a lui aussi son petit bout d'âme, chaque homme peut bien avoir son propre tempérament. » (Kafu 1975: 103). Le personnage autobiographique a une caractéristique spéciale, une tendance particulière de chercher l'absolu directement dans la réalité (cf. Benl 1953: 32), l'âme japonaise préférant souvent l'immersion dans la contemplation tacite des phénomènes et essayant, d'autre part, une présentation « objective » de ce qui se cache dans le visible et dans ce qui se trouve au-delà… Voulant être objectif, pour Nagaï Kafû le personnage puise ses origines dans une philosophie romantique sur la vie.

O-yuki, le personnage féminin d'*Une histoire singulière à l'est du fleuve* est amené devant les lecteurs par un effort élaboré, progressif. Le hasard la fait sortir de l'ombre, mais son visage n'est pas illuminé que par la lumière de l'éclair, ou, éventuellement, par les lumières de la nuit, comme si la lumière du jour paraissait trop forte pour « la femme de la fenêtre ». Elle doit garder son aura de mystère qui est l'aura de son passé, et les lumières sont d'autant plus fascinantes qu'elles apparaissent moins distinctes. L'écrivain essaie d'enlever O-yuki aux profondeurs du passé, mais, d'autre part, il ne souhaite pas, en même temps, lui accorder que des contours de clair-obscur, comme s'il la transformait uniquement en une apparence:

« Mais un fait existe, qui me permet d'affirmer que mes observations n'étaient pas tout à fait erronées. Indépendamment de son caractère, il y avait un lien qui rapprochait, qui mettait en harmonie les passants, de l'autre côté de la fenêtre, et O-yuki à l'intérieur. Si je fais erreur en considérant qu'elle était d'un naturel gai et ne souffrait pas particulièrement de sa condition, cette erreur provient de cette harmonie, telle est ma défense. Au-delà de la fenêtre, c'était le peuple. C'est-à-dire le monde. En deçà, un individu. Entre eux, il n'existait aucun élément susceptible de créer un antagonisme notable. Pour quelle raison? O-yuki était encore jeune. Elle n'avait pas encore perdu les liens avec l'émotion quotidienne du monde extérieur. O-yuki assise à sa fenêtre avilissait son corps, mais gardait caché à part, au fond de son cœur, sa

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personnalité. Les hommes qui passaient devant sa fenêtre avaient enlevé leur masque dès qu'ils étaient entrés dans cette ruelle et avaient laissé de côté leur amour-propre. » (Kafu 1992: 116-117)

Après une période d'émotion intense, l'écrivain, *lecteur* et *penseur* en même temps, contemple l'expérience en la transformant en une composante de la propre perspective de voir le monde:

« La silhouette d'O-yuki dont les cheveux étaient toujours coiffés a la mode *shimada* ou *marumage*, la saleté du canal et le murmure des moustiques produisaient toujours un vif effet sur mes sens, et faisaient revivre l'illusion d'un passé disparu, trente ou quarante ans auparavant. Je voudrais exprimer sans détour, si la chose était possible, toute ma gratitude envers celle qui m'introduisit a ces éphémeres et étranges illusions. Plus adroite encore, dans son talent a faire revivre le passé, que l'acteur d'un *kyôgen* de Nanboku, ou qu'un Tsuruga-quelque-chose contant l'histoire de Ranchô, O-yuki était une artiste silencieuse. » (Kafu 1992: 77-78)

Le chronotop (v. Bahtin 1982: 294) intérieur dans le roman *Une histoire singuliere à l'est du fleuve* ou le temps et l'espace de la vie présentée ici s'intersecte avec le chronotop extérieur réel, donné par une ruelle sans non dans un quartier périphérique, situé à l'est du fleuve Sumida. De ce fait, le titre devient le premier indice, extrêmement suggestif, du temps qui se relève dans l'espace et de l'espace compris et mesuré par le temps. Si b*okutô* signifie 'à l'est du fleuve', et *kidan* - 'histoire drôle, spéciale', la signification globale du titre deviendrait la suggestion d'un jeu subjectif avec le temps de cet endroit-là. La non-linéarité temporelle devient encore plus transparente par l'introduction du roman dans le roman, les événements d'*Une histoire singuliere à l'est du fleuve* étant en étroite relation avec l'écriture de l'autre roman. Sans être entièrement une narration retrospective de type autobiographique, *Une histoire singuliere à l'est du fleuve est,* par endroits, une composition de textes de type journal. Sans être entièrement une narration retrospective de type autobiographique, *Une histoire singuliere à l'est du fleuve* est, par endroits, une composition de textes de type journalistique et correspondance ou d'un type spécial d'intertextualité, identifiée dans la technique de « mise en abyme »: « lire » et « écrire » deviennent l'intrigue de ce texte qui oblige le lecteur à reconsidérer ses standards par rapport à la pratique de la lecture et des conventions basées sur les principes illusoires du réalisme mimétique (cf. Snyder 2000: 136). *Une histoire singuliere à l'est du fleuve* est ainsi un texte narratif oscillant en permanence entre un roman pseudo-autobiographique (*La Disparition),* qui tend à se focaliser sur l'existence d'un personnage, et un roman de type autobiographique (*Une histoire singuliere à l'est du fleuve*), apparemment authentique, qui met en évidence la voix d'un narrateur (v. Genette 1994: 139).

Le premier roman (*Une histoire singuliere à l'est du fleuve*) devient, du point de vue chronologique, la source pour le deuxième (*La Disparition),* dans l'ordre des événements et celui de la narration, mais quelle que soit la relation entre le contenu et la biographie, en adaptant les mots au monde et le monde aux mots, le narrateur *homodiegetique* (cf. Genette 1994: 117), l'énonciateur du récit transformé

en personnage du hasard devient, en fin de compte, lui-même fictif, de par le mécanisme du récit. La narration s'est transformée en un discours bivocal, les deux romans étant correlés par le dialogue, un dialogue potentiel de deux conceptions sur le monde qui, dans ce cas, finissent par coïncider. Dans ce sens, le langage du texte narratif est suffisamment transparent pour montrer, sans fioritures inutiles, d'une manière délicate et subtile, l'attitude de l'écrivain envers le sujet, le personnage ou le paysage:

> « Afin de devenir intime avec elles – afin, au moins, d'éviter que par respect elles ne s'éloignent de moi -, j'avais pensé que le mieux était de cacher mon statut social actuel. Il m'eût été très dur d'être considéré par elles comme un homme dont la position sociale rend inopportune sa présence en un tel lieu. Je voulais éviter, autant que possible, d'être pris pour celui qui prend plaisir à regarder de haut, comme s'il était au théâtre, leur existence malheureuse. Je n'avais d'autre possibilité, pour cela, que de cacher mon identité. » (Kafu 1992: 94-95)

Et « le ton » des deux romans est en corrélation avec les sons et leurs arrangements (v. Ueda 1990: 47), étroitement liés à certains sentiments et émotions:

> « Ce sentiment paraissait renforcé par les circonstances : à ce moment-là, un vent rapide provint de la rue principale, déferla dans la ruelle et, après s'être heurté çà et là, entra par la petite fenêtre jusqu'à l'intérieur de la maison et fit vaciller les fils du *noren* auxquels étaient attachées des clochettes. À ce bruit, mon sentiment sembla devenir de plus en plus profond. » (Kafu 1992: 119)

C'est uniquement de cette manière que l'homme intérieur, l'homme qui commence à exister pour soi dans *Une histoire singulière à l'est du fleuve*, se voit avoir atteint une unité avec sa conscience. Mais son existence n'est plus obligatoirement visible et audible, faisant place à la notion de « pensée tacite ». Le mutisme et l'invisibilité sont pénétrés dans l'homme et, avec eux, est apparue sa solitude aussi. Mais l'image de l'homme est multi stratifiée et diverse. Le temps biographique peut s'objectiver, en constituant le temps de la rélévation du caractère dans une réalité historique. *Une histoire singuliere à l'est du fleuve* analyse ainsi, sur des paliers divers, le matériel offert par l'expérience personnelle de l'auteur devenu narrateur et personnage, et là ou c'est nécessaire, c'est la fiction qui intervient pour relier les mailles de la chaîne, activant l'imprévisible qui est mis sous le signe de la catégorie « brusquement » (v. Bahtin 1982: 372), du hasard miraculeux et insolite.

Le roman *Une histoire singuliere à l'est du fleuve* est, en fin de compte, le chant du cygne de la période Meiji qui a trahi ses promesses initiales et qui, tout en voulant greffer un corps étranger sur un tronc déraciné, a provoqué une crise profonde:

> « Il en étaient aussi la possibilité et si le bonheur de Kafûest d'avoir pu s'en saisir, son mérite est d'avoir su s'en emparer et d'en avoir fait le véritable roman du « mal du siecle » qu'appelait son époque ». (Kafu/ Faure 1975: 151)

Entre les lignes du livre on peut entrevoir le drame du Japon contemporain et c'est ce qui confère au livre le ton d'une résonnance si désolante. Mais le roman parle également de la probable fin de création du narrateur/de l'écrivain, ancré dans

la fin de la littérature de cette période-là. Nagaï Kafûn'est pas un écrivain engagé dans l'acception traditionnelle du terme, quoique la critique de l'époque soit en permanence présente dans le texte. L'écrivain est pour les critiques un homme de culture retiré d'une vie utilitariste, qui observe avec de la sympathie et de l'empathie les gens et les objets qui sont conformes à sa maniere de penser et de sentir, mais ses écrits à leur égard témoignent d'une compréhension profonde, sans rien avoir perdu de son objectivité (cf. Ueda 1990: 37):

> « En observateur solitaire, souvent ironique, avec la précision d'un géographe ou d'un sociologue et le talent d'un peintre, Nagaï Kafû s'attache dans chacun de ses écrits à cerner la réalité sociale de la ville, l'évolution du tracé urbain, et celle du comportement de ses contemporains. » (Kafû/ Nahoum 1992: 8).

Nagaï Kafû a été un solitaire ayant observé la vie depuis l'intérieur de celle-ci, conscient du fait que derrière la beauté de ce monde il y a la tristesse, dérivée de l'imperfection humaine. Mais cette tristesse est inséparable de l'héritage spirituel de l'homme et, par la suite, il la ressent telle une part naturelle à soi (v. Ueda 1990: 39). Alors qu'en Occident la tristesse suppose l'agonie de l'effort, dans l'Orient éloigné celle-ci est atteinte de résignation. Dans son désir de transformer la douleur et la tristesse en beauté artistique, afin de donner naissance à cette « infinie tristesse profonde » (*infinetely deep sorrow*), l'auteur japonais continue à écrire sur *la geisha* ou sur *la femme à la fenêtre*, qu'il place sur le fond de gravures *ukiyoe* ('desseins du monde flottant'):

> « O-yuki était la *muse* qui, dans mon cœur las, avait fait revivre par hasard l'illusion, empreinte de nostalgie, d'un monde passé. Si son cœur ne s'était pas tourné vers moi – ou si au moins je n'en avais pas eu conscience -, nul doute que j'eusse déchiré et jeté le manuscrit depuis longtemps posé sur mon bureau. O-yuki était l'inspiratrice singulière qui encourageait un vieil auteur, rejeté par la société de son temps, à achever un manuscrit – son dernier ouvrage, selon toute vraisemblance. Chaque fois que voyais son visage, je souhaitais lui exprimer, du fond du cœur, ma reconnaissance. Du simple point de vue des conséquences, j'avais sans doute dupé cette femme qui manquait d'expérience de la vie, et j'avais joué, non seulement avec son corps mais aussi avec son cœur. Au fond de moi-même, je voulais me faire pardonner cette faute difficilement excusable, et en même temps je me lamentais sur les circonstances qui rendaient impossible ce pardon. » (Kafu 1992: 118)

Or, c'est juste cette tristesse rappelant la précarité de la beauté du monde flottant qui va pousser l'auteur à souhaiter goûter le plaisir de vivre et *Une histoire singulière à l'est du fleuve* comporte tous les ingrédients du concept de « beau » chez Nagaï Kafû: l'imperfection humaine, la passivité orientale et le sensualisme épicurien:

> « […] ce n'est pas là qu'un vieil homme peut parler du passé en savourant du thé. Sans que je l'eusse prémédité, en un recoin de ce *labyrinthe* j'avais appris à voler une demi-journée de tranquillité à ce monde éphémère. Dans ce but, et même si pour elle cela avait constitué une gêne, lorsque de temps à autre j'étais venu me distraire, j'avais souhaité qu'elle me reçût de bonne grâce […]» (Kafû 1992: 125)

IV. En guise de conclusions

Ôe Tadasu, tout comme Nagaï Kafû, retiré du monde social et politique, décrit quelques-unes des touches de couleur d'une aliénation générale. Pour l'écrivain japonais, la seule issue semble être la sortie de la convention et la suppression des codes. Par la suite, sa tenue était négligente, afin de trouver, dans l'immensité de la vie urbaine un endroit tranquille et spontané où les gens se retrouvent comme dans une sorte de complicité, comme dans une société parallèle. Mais la brèche ne saurait être qu'éphémère, comme ce monde qui passe, voué à la disparition. Et tout finit à la limite du réel et de la fiction, l'intrusion de l'un dans l'autre s'avérant impossible à éviter. Le roman-dans-le-roman achevé s'inscrit en filigrane dans l'autre qui reste ouvert, les deux romans étant gardés vifs dans l'esprit et l'âme du rêveur impuissant Ôe Tadasu, dont le nom renvoie aux Analectes confucianistes: « c'est eux qui vont rétablir l'ordre dans ce monde…»

Ayant compris la valeur de la liberté de l'individu, comme celle d'un État, principes sur lesquels s'appuie la civilisation occidentale, principes tout neufs dans ces temps-là pour l' Extrême Orient, Nagaï Kafû a pu critiquer âprement la fausseté du monde contemporain, que seules l'hypocrisie et la vanité animent (v. Simu 1994: 186), et sa lucidité l'a rendu non impliqué dans l'attitude ultranationaliste ayant précédé la Seconde Guerre Mondiale. Depuis la fin des années 1930 jusqu'à la fin de la guerre du Pacifique, lorsque sur le Japon pèse le militarisme, Nagaï Kafû s'est complètement éloigné de la société. Le roman *Une histoire singulière à l'est du fleuve* écrit dans cette époque-là est comparé au *Sasame yuki* (*Quatre sœurs*) de Tanizaki Junichiro, considéré une des « œuvres hors pair du Japon des années de la guerre » (Katō 1998: 781).

Critique a l'adresse de la réalité environnante, Nagaï Kafûne se laisse pas en proie au passage inexorable du temps et à l'oubli que celui-ci amène, en s'engouffrant dans la nostalgie d'un âge d'or que devient pour lui la période Edo. Cela fait longtemps que l'écrivain japonais avait choisi de s'isoler et de renoncer au monde (v. Origas 1989: 16), dans sa tentative de défendre sa liberté et de pouvoir s'adonner aux joies de l'instant présent. Le promeneur qui parcourt les intersections les plus animées de la capitale, mais aussi ses rues étroites et les quartiers aux maisons du thé et *geisha,* s'obstine à garder ses plaisirs dans un monde qui change sous ses yeux, en se retirant toujours plus, au fil des années, dans sa solitude.

En rivant ses yeux sur un Japon disparu ou en voie de disparition, Nagaï Kafû essaie de retrouver les racines d'un Japon déraciné et en garder un brin de l'âme qui connaît la métamorphose de la modernité. Son amour pour Edo, pour les endroits et les gens de la capitale, correspondait, en quelque sorte, à ses préférences de toujours. Dans le cas de Nagaï Kafu, ce fut, par la suite, une heureuse rencontre entre la passion et la raison, entre le plaisir et la réflexion. L'écrivain japonais souhaitait devenir un auteur de divertissement à la manière Edo, mais il s'impose d'être soulignée la différence: l'écrivain de la période Edo était captif d'une condition donnée, alors que Nagaï Kafu, c'est lui-même qui l'avait choisie, sans

jamais l'avoir trahie. Une existence solitaire et entêtée d'un homme qui ne s'est jamais démenti, ne serait-ce dans les moments les plus difficiles de l'impérialisme nippon avant et après la Seconde Guerre Mondiale. La condition marginale et humble des habitants des quartiers périphériques de la capitale, il la reconnaît car lui-même, il y appartient; c'est pourquoi son écriture est la chronique de l'évolution du Japon moderne vu au travers de ses transformations, par le phénomène de dégradation de ses courtisanes-mêmes, depuis les *geisha,* qui gardaient un peu de la culture Edo, jusqu'aux danseuses de revue de 1945. Le roman de Nagaï Kafûétait engagé sur une voie tracée à l'avance, sans retour, mais riche en méandres et fantasmes.

Une histoire singuliere à l'est du fleuve est interprétée par la critique littéraire japonaise soit comme une entreprise d'autojustification de l'auteur, soit comme une narration à laquelle on peut mettre en évidence l'aspect moral ou « la débâcle d'un confucéen » , soit comme un texte passéiste (v. Faure 1975: 23) et peut-être il est un peu de chacun. Le monde de son roman se limite à un nombre réduit de personnages, se trouvant dans une location particulière, en général, celle des quartiers *du monde des fleurs et des saules,* en voie de disparition, milieu qu'il examine par des traits précis, relévant, de ce fait aussi, l'inexorable loi du temps, les pièges du développement économique, ainsi que l'irrépressible quête du bonheur de l'homme. Pour Nagaï Kafû, l'écrit est une pratique quotidienne par laquelle il analyse et fortifie ses émotions, dans sa tentative de répondre aux questions concernant le monde, la vie et la mort. Elégant, érotique et aristocratique, le roman de Nagaï Kafû *Une histoire singulière à l'est du fleuve* a une saveur à part. Captivant, antisocial, incapable d'enthousiasme à l'adresse des grands changements technologiques de l'époque, Nagaï Kafû reste un écrivain japonais à une voix unique et personnelle (cf. Rimer 1991: 120), auquel, chose en quelque sorte paradoxale, les sons de *shamisen* semblent avoir toujours rappelé l'odeur des ruelles parisiennes parcourues dans sa jeunesse. Et lorsqu'il ne se fait pas entendre, le s*hamisen* qui ne chante pas, invoque, en silence, la triste élégie des quartiers de *shitamachi*, qui essaye de décrire la vie non pas en conformité avec un canon esthétique ou moral, non pas comme il devrait être, mais tel qu'il est:

> *Parler ainsi désormais*
> *Serait vaine plainte...*
> *A bien réfléchir...*
> *Le sable bleu du rivage,*
> *Se mire dans l'eau...* (Kafū 1975: 86)

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1942: WOMEN WRITERS AT WAR

GEORGE SIPOS[∗]

ABSTRACT. *1942: Women Writers at War*. With the beginning of the Pacific War in 1941, Japan seemed to be in full charge of its conquests and older colonies, Taiwan, Manchuria and Korea. Used as the premise for a comparison between writings of Korean and Japanese female writers, Ch'oe Chŏnghǔi`s *Nogikushō* (The Wild Chrysanthemum) is the main text analyzed in this article. The authors her work is compared with on the Japanese side are Sata Ineko, Hayashi Fumiko and Yoshiya Nobuko. The question the current article is trying to answer is why there are no good texts for comparison with Ch`oe`s work and offer a couple of hypotheses.

Keywords: *Ch'oe Chŏnghǔi, Sata Ineko, Hayashi Fumiko, Yoshiya Nobuko, Feminism, Motherhood, Pacific War, Japanese imperialism, Colonial Korea.*

1. Introduction

The original purpose of this paper was to compare Korean writer Ch'oe Chŏnghǔi's Japanese short story *Nogikushō* (The Wild Chrysanthemum[1], 1942) with a similar text written by a Japanese female author around the same time. The inspiration for this enterprise was offered by Kyeong-Hee Choi's reading of *The Wild Chrysanthemum.* Choi avoids reading the text as a pro-war/pro-Japan propaganda, as it has been labeled by the Korean postwar critics, but as a testimony of the failed modernity of Korean women in colonial times[2]. In light of this reading and for the purpose of comparison, the identification of a meaningful piece of

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[1] This is the title used in Sarah Frederick's translation (unpublished). This translation does, however, eliminate the last character in the title: 抄 (shō), which literally means "excerpt". The real meaning of the title would thus be "Notes on the Wild Chrysanthemum" which might refer to the epistle form of the story.

[2] Kyeong-Hee Choi, *Another Layer of the Pro-Japanese Literature: Ch'oe Chŏnghǔi's 'The Wild Chrysanthemum'*, "Poetica", 52, Shubun International (Tokyo: 1999), 61-87

fiction written by a Japanese woman author and published around 1941-1942 was necessary. The task, however, proved rather daunting.

The publication year was very important for this comparison given the fact that with 1941 and the opening of the Pacific front by the Japanese Army, Japanese writers' mission as assigned by the military authorities changed significantly from previous years. The reading of pieces written by several Japanese women writers revealed some of the themes that were relevant for this comparison: motherhood, feminism, and war response from women's part. In the end, three fiction writers, Hayashi Fumiko, Sata Ineko, and to some extent 1939 Yoshiya Nobuko[3] seemed the most appropriate. The "ideal" text would have been a short story written and published in 1942, after the beginning of the Pacific War and no later than 1943, when the Japanese defeat was beginning to take contour.

Eventually, that "ideal" text failed to show up in my readings. Thus, more important than finding that text, the reasons for its lack from the Japanese literature of the time became a more captivating question and constitute the core question of the present article.

2. *The Wild Chrysanthemum*

Published in Japanese, in November 1942, in the literature journal *Kungmin munhak/ Kokumin bungaku* (National literature), *The Wild Chrysanthemum*[4] has generally been read as pro-Japanese fiction[5]. As Kyeong-Hee Choi aptly shows in her analysis of the story, besides the main[6] (apparently pro-Japanese) narrative, at least one other sub-narrative, that of a Korean woman's failed modernity is to be identified in *The Wild Chrysanthemum.*

The plot of the story is a one-day trip a Korean mother, the narrating "I" of the text, takes together with her ten-year old son, Shōichi. Mother and son choose a beautiful autumn Sunday to visit the volunteer training camp set up by the Japanese imperial army for Koreans who want to join the empire's army. On the way to the training camp and on the way back, the main character takes the time to reminisce on her failed relationship with Shōichi's father. The beginning of the story, as well as the end, is addressed directly to this absent character: "I will raise these flowers *for Shōichi* into beautiful, strong wild chrysanthemums, just like I raised him, *in spite of everything*. And this shall be my revenge on myself and on you. Farewell!"[7]. (emphasis added).

This paragraph at the end of the story opens up paths for different readings of the story and may clarify some of the interpretations already proposed by Choi.

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[3] Yoshiya Nobuko's name came up in conversations with Miho Matsugu. Miho not only suggested Yoshiya, but also offered some of her research materials on the author.
[4] Ch'oe Chŏnghŭi, *Nogikushō*, "Kungmin munhak", Vol. 9 (Nov. 1942), 131-146.
[5] See Choi, 65-68.
[6] "Surface narrative" in Choi, 64.
[7] *Nogikushō*, 146.

In Sarah Frederick's English translation, the paragraph is rendered as: "Just as I have raised Shōichi, I will raise these wild chrysanthemums into beautiful flowers, strong flowers. That might be my revenge, on myself and you. Goodbye." The parts emphasized in my translation were omitted in Frederick's, and while the general meaning of the fragment does not change significantly by adding them, they add information to the message that the narrator is trying to convey.

On one hand, 何も考えず (nanimo kangaezu), "in spite of everything", literally "without thinking about anything" is very important for the feminist reading Choi is suggesting. That "thinking about anything/ in spite of everything", which characterizes the way in which the character raised her son, is indicative of the very hardships through which a woman in her situation (single mother in 1930s Korean society) might have gone through. Due to the rigid family order and patriarchal system of the Korean society, the solution of having her illegitimate son enroll to become a soldier of imperial Japan might have offered the legitimacy a mother wishes for her son. In Choi's words "In this imperial space, Shōichi will get a surrogate father figure such as Instructor Harada (the commanding officer of the volunteer training camp they visit) and have many enlisted men as his surrogate brothers"[8].

On the other hand, the same words characterize, by extension, the way in which the "I" character will take care and raise the wild chrysanthemums. The metaphor of the flower employed by Ch'oe in this story can be understood in at least two ways. First, the flower is a direct signifier for the main character, as described by the absent male character: "At one time you and I walked down this same sort of a country road. At that time, just as now, tremendous numbers of them [wild chrysanthemums] were blooming, and you picked one and gave it to me saying, 'A small, lovely flower. It looks like you…' I am certain you must have forgotten that you ever said this."[9] Second, the wild chrysanthemum can be read as a metaphor for Korea, conveying the country's colonial status, where the chrysanthemum represents the symbol of the Japanese imperial household. In her analysis, Kyeong-Hee Choi touches upon the complex meaning carried by the image of the wild chrysanthemum.[10]

The other words omitted in Sarah Frederick's translation into English are 勝一のために (Shōichi no tame ni), "for Shōichi." The character promises to raise the flowers *for Shōichi*, just like she raised him, in spite of everything. These words are crucial to the final reading of the story. The protagonist agrees with her son's request to take care of the flowers, which are supposed to comfort her after he will die on the battlefield for the Emperor. But she says she will do that "for Shōichi". In other words, the deed will be performed not for her own solace, but for the benefit of her son. Choi's reading of the ending equates the wild chrysanthemum

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[8] Choi, 70.
[9] Sarah Frederick's translation. In Japanese, p. 146.
[10] Choi, 79.

from the previous scene (where the flower was compared to the protagonist by Shōichi's father) with the wild chrysanthemums she will have to take care of at her son's request. Thus, in Choi's reading, the chrysanthemums that the "I" will have to take care of represent the narrator herself. In the latter instance, however, the wild chrysanthemums cease to represent the woman and become an exclusive metaphor for Korea. This is how Choi reads the act of growing "beautiful," "strong" flowers: "Through her maternal project of making a Japanese imperial soldier, she is now to strip her old female self as small, feeble and sad, and become strong instead."[11] The trans-plantation of the wild chrysanthemums from the field into the house can also be read as a symbolic submission of the wild, free Korea to the domesticity of the colonial dream. The character is to engage in this colonization project, just like she raised her child, "in spite of everything" (public condemnation from the part of the Korean society, and the label of collaboration for the rest of her life), because she will be doing it "for Shōichi." For the sake of her son, the character is willing to help the "wild chrysanthemum" (colonial Korea) become beautiful and strong, in the hope, that, as Choi also points out, Shōichi will become a legitimate citizen of imperial Japan and not remain a bastard child forever, as traditional Korean society would have considered him.

Following up on this reading, the character's "revenge" on herself and her former lover represents the extreme act of erasing their national identity for the sake of the child. Her revenge is to help raise a beautiful, strong colonial Korea, in which she and her generation will have to disappear as Korean national subjects, and reinvent themselves as Japanese. All done for the sake of the son (Shōichi no tame ni).

Therefore, without being necessarily different from Kyeong-Hee Choi's on the issue of the failed woman's modernity, the current reading of Ch'oe's text reinforces the pro-Japanese quality of the story. Choi's conclusion tends to be somewhat over-optimistic in switching the meaning of the story from her main pro-Japanese message to the feminist one: "'The Wild Chrysanthemum' plays out a kind of literary masquerade, carrying in a disguised manner messages that resist and contradict a first impression. Ch'oe's pro-Japanese narrative allows her not only to channel her social concerns about women's multiple burdens in the colonial era but also to criticize ineffectual Korean male elites, who did not merely fail to protect their own youths but even urged Korean mothers to send their sons to the site of death."[12] In fact, the feminist message becomes a justification for the pro-Japanese story. The protagonist's attitude of support for the colonial project is justified precisely because she had been betrayed by her lover and left alone to deal with an illegitimate child in a very conservative society.

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[11] Choi, 79.
[12] Choi, 81.

Despite the general melancholy tone of the story, its final message is optimistic. While Shōichi might die as a soldier for the emperor, he would acquire legitimacy as a citizen of the empire. But there is also the possibility that he will not die on the battlefield. It is not by mistake that the boy's name is written with the character for "victory." Shōichi as a colonial subject who truly believes in the imperial project represents the future of Korea and the mother's revenge of the mother is represented by having had raised him as a perfect believer in imperial values (the scene where the boy sings a war propaganda song and her mother joins in, as they walk to the volunteer camp, is representative for her encouragement of his education as a good imperial subject.)[13]

3. Japanese Women at War: Feminism and the Issue of Motherhood (1941-1945)

In an attempt to understand why Japanese women writers of the 1940s did not feel the need to or could not write pieces of fiction which would have been similar in preoccupations with Ch'oe Chŏnghŭi's *The Wild Chrysanthemmum*, the status of women in the Japanese society during the WWII is to be considered.

The role and position of women in Japanese society changed in many aspects during the fifteen years in which Japan was at war (1930-1945), but the most considerable changes came in 1937 and the commencement of the war with China. Reluctantly in the beginning and more and more vigorously as the shadow of defeat drew closer, Japanese authorities had to acknowledge for the first time in Japan's history the need for women to step forward and actively engage in the war effort, not only as housewives, but as workers in factories, mothers of the nation, etc, in other words, in all fields of social life. Women became soldiers of the *jūgo* (the home front).

In his article *Women and War in Japan, 1937-1945*, Thomas R.H. Havens claims that the collision of traditional expectations and the *de facto* social convolutions was especially jarring in the case of Japanese women during World War II, because customary female social roles conflicted with the requirements of the war effort[14]. In fact, in all countries involved in the war effort, taking women outside of the house and asking them to engage in working in factories was a major decision to make and was not welcomed by everyone. In Nazi Germany, while the importance of women was considered paramount for the advancement of the Nazi state, they were excluded entirely from the National Socialist Party leadership, with the exception of Gertrud Scholtz-Klink, who headed the bureau for women's affairs. Nevertheless, they helped both to bring the Nazis to power and to maintain

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[13] *Nogikushō*, 138.

[14] Thomas R.H. Havens, *Women and War in Japan, 1937-1945*, "The American Historical Review". Vol. 80, 4 (October 1975), 914.

it,[15] mostly because of the mythical basis of the Nazi movement which contained, among others, ideas of the primacy of the matriarchal system.[16] The importance of women in society after the Nazis took power in 1933 was, however, reduced to that of "mothers of the nation," to the disappointment of many of the leading Nazi feminist activists, like Sophie Rogge-Börner, the editor of the journal *Die deutsche Kämpferin* (The German Woman Warrior), who, as early as 1932, protested against the degradation of the German woman to a purely maternal animal.[17] Nevertheless, ideology and propaganda aside, when the war became fiercer and the home front needed more "soldiers," Germany increased general labor force (which included women) from 37.4% in 1939 to 52.5% in 1944.[18]

Women conscription raised bitter debates even in the United States, where motherhood and not work for the war effort was the role traditionally associated with women. The image of "Rosie the Riveter," the World War II factory woman who wore overalls and held a wrench in her hand, while an icon of wartime propaganda, never failed to raised concerns over the changing status of women in society. "Most mothers, employed or not, saw child care as their major responsibility, enjoyed it, and thought that preservation of the American family was the purpose of the war," wrote D'Ann Campbell.[19]

In Japan, women had to take jobs and help the war economy, but their number was comparatively low. Havens argues that the number of workingwomen in Japan during WWII only rose by 10% between 1940-1944, which shows that the authorities continued to be reluctant to employ women and involve them more in the war effort. Before 1943, despite the fact that there was a general labor conscription law under the National Registration System (kokumin tōroku seido), and un-married women aged 16 to 25 were supposed to enroll, the Japanese government never enforced that law. More than that, the official position of the government was critical of the practice of drafting women: "In order to secure its labor force, the enemy is drafting women, but in Japan, out of consideration for the family system, we will not draft them."[20] The wartime Japanese government thought that women could best serve their country by staying home, keeping their families happy and, of course, producing more future soldiers.

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[15] Elaine Martin (ed.), *Gender Patriarchy and Fascism in the Third Reich: The Response of Women Writers*, Wayne State University Press (Detroit: 1993), 19-20.

[16] For more on the Nazi ideology on matriarchy and motherhood, see Jost Hermand, *All Power to the Women: Nazi Concepts of Matriarchy,* "Journal of Contemporary History". Vol. 19, No. 4, Reassessments of Fascism (October 1984), 649-667.

[17] Hermand, 661.

[18] Havens, 918.

[19] D'Ann Campbell, *Women at War with America: Private Lives in a Patriotic Era*, Harvard University Press (Cambridge: 1984), 14.

[20] Koizumi Chikahiko, the minister of welfare, in a 1942 speech to the Diet. Quoted in Havens, 919-920.

On the other hand, the same government rallied civic-minded women's associations as early as July 1937 for traditional female duties in wartime: seeing-off war-bound soldiers and sailors at dockside, comforting wounded veterans and bereaved families, encouraging economic self-sufficiency and patriotic savings movements, and opposing the penetration of dangerous ideas. A few months later, in September 1937, all women organizations were obliged to support the National Spiritual Mobilization (kokumin seishin sōdōin).[21]

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The emphasis on the role of women as "mothers of the nation," generated an active involvement of the government in otherwise private matters, such as marriage counseling, marriage and weddings. In the spring of 1941 women's youth groups began to operate government-supported marriage counseling centers designed "to cause women to move from an individualistic view of marriage to a national one and to make young women recognize motherhood as the national destiny."[22] The state promoted early marriages, set up matchmaking agencies, and ask companies to pay baby bonuses to their workers. The government lent couples wedding clothes if they were too poor to afford a ceremony, and families with ten or more children were promised free higher education. Everything was done to promote childbearing and increase the number of the Japanese nationals. Behind it all, however, for mothers there was always the lurking specter of having to see their children taken away to war.

The Japanese government got involved not only in training soldiers to die for the sake of the emperor, but also in training women to dedicate their sons willingly to the emperor and to the country. As early as 1910, a primary school textbook produced by the government included a story entitled *A Sailor's Mother,* allegedly based on an incident that happened during the Sino-Japanese War of 1894-1895.[23] The mother sent the following letter to her son who was serving as a sailor on a warship: "I was informed that you neither went into action during the Battle of Toyoshima nor rendered any distinguished service on the tenth of August during the attack on Ikaiei. Your mother deeply regrets. For what purpose have you gone to the war? It is not for the sake of repaying on to the Emperor by consecrating your own life to him? Everybody in the village is very kind to me by always telling me: 'Since your only child is gone to the war, you must need help. Please don't hesitate to ask us for help.' Whenever I see any of them, I am ashamed of my cowardly son. It really breaks my heart to think of my son not having

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[21] Havens, 914.

[22] Excerpted from Nihon Seinenkan (ed.), *Dai Nihon seishōnen danshi*, Tōkyō, 1942, 314. Quoted in Havens, 927.

[23] The story and the commentaries are taken from Kazuko Tsurumi, *Social Change and the Individual: Japan Before and After Defeat in World War II*, Princeton University Press (Princeton: 1970). 257-259.

accomplished any feat. Every day I visit Hachiman Shrine to pray that you may distinguish yourself in a battle…"

According to Kazuko Tsurumi, this story continued to be included in the state-made textbooks and exerted influence on the formation of the affective and ideological postures of men and women until the end of the Pacific war.[24] In her sociological survey, Tsurumi interviewed many Japanese wartime mothers who grew up in an education system that emphasized self-sacrifice for the good of the nation, and reached the conclusion that the mothers did not perceive the conflict between the ideal role of a patriotic mother imposed upon them by the state and the role they actually performed of an intensely loving mother as a conflict of norms, but as a conflict of emotions.[25]

After 1942, with the formation of the Dai Nippon fujinkai (Greater Japan Women's Association), which eliminated all other women's groups and associations, motherhood became the central topic of the state discourse with regard to the women's role in society. The idea that women were the "mothers of the nation" or the "mothers of the race" was emblematic and also took the first place in the feminist discourse of the time.[26]

Here are a few dominant ideas on motherhood as exposed by some of the leading feminists of the time, and as they are presented in Beth-Sara Katzoff's *For the Sake of the Nation, for the Sake of Women*. In *Senji fujin dokuhon* (A Wartime Women's Reader, 1943), Ichikawa Fusae, wrote an article on *Fujin to kokka* (Women and the State) and discussed five main topics, among which the first one was "women are mothers of the people" (fujin wa minzoku no haha). The other topics discussed were: "the family and housewives are the basis of the country" (kuni no kiso wo nasu ie to shufu), "state economics and household economics" (kokka keizai to katei keizai), "women as producers" (seisansha to shite no fujin), and "women's self-training" (fujin no jiki rensei).[27]

In Ichikawa's view, women had an important duty as mothers of the race to produce more children during the war, since they were the only ones to have the distinctive capacity for childbirth. Hence, women were expected to serve the nation through procreation. In so doing, motherhood was to become an expression of citizenship for women, as their children will one day become soldiers for the nation. To Ichikawa, women were to become "birthing soldiers" (shussan heishi), and raise their consciousness about the national significance of their role as mothers. They were to reproduce nor for themselves, but for the sake of the nation.

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[24] Tsurumi, 257.

[25] Tsurumi, 259.

[26] For a detailed discussion of the Japanese feminist movement in Japan during WWII, see Beth-Sara Katzoff, *For the Sake of the Nation, for the Sake of Women: The Pragmatism of Japanese Feminisms in the Asia-Pacific War (1931-1945)*, PhD Dissertation, Columbia University, 2000.

[27] The following discussion is heavily indebted to Beth-Sara Katzoff, 135-138, and following.

For Kōra Tomi, a government committee member, the pursuit of national greatness merged with the elevation of women in Japan. The effort to "make Japan a superior country… [was]… for the sake of the women and mothers." Women were to become just like Japanese soldiers, using their knowledge of the household and society.[28]

Thus, the image of the mother in imperial Japan during the war was constantly revolving around the same characteristics: "birthing soldiers," self-sacrifice, readiness to dedicate their sons' lives to the emperor. These same characteristics are to be found in Ch'oe Chŏnghŭi's *The Wild Chrysanthemum*, making the story the fictional expression of this particular type of wartime propaganda.

4. Japanese Women Writers and 1942

Looking at Ch'oe Chŏnghŭi's biography one cannot help but to think about the striking similarities with another prominent woman writer of the time, namely Sata Ineko. Ch'oe had a relationship with Kim Yuyŏng, a socialist, and she herself was active in the socialist movement. Imprisoned by the authorities, she chose upon her release to live as a single mother, an act of defiance of the social mores of contemporary Korean society. After 1941, she lived with another important Korean intellectual of the time, Kim Tongwan, a publisher and poet, and had two daughters with him.[29] Kyeong-Hee Choi, to which this biographical information is indebted, divides Ch'oe's literary activity into three phases: the first (1931-1934), the socialist period that ended with her arrest in 1934, the second (1934-1942), her feminist period, characterized by "her exploration into female intellectuals' survival efforts as single mothers and married women and their concerns with illegitimate children," and the third, the pro-Japanese phase, constituted only by the year 1942.[30] After 1942, Ch'oe's literary activity ends and Choi reads *The Wild Chrysanthemum* as Ch'oe's declaration of *chŏlp'il* ("breaking the pen").

1942 thus represents the only year when Ch'oe was actively engaged in supporting the Japanese imperial project in Korea. Besides her pro-Japanese essays and speeches of that year, Ch'oe published another piece of fiction in April 1942, *Night of February Fifteenth*, which focuses on a husband and a wife. It presents a Korean husband who comes to approve of his wife's pro-Japanese activities, as the Japanese army successfully attacked and conquered Singapore in February 1942.[31]

When compared to Sata Ineko, the similarities between the two women writers' biographies are startling. Although married for ten years to Kubokawa Tsurujirō, a proletarian writer, and extremely active in the Japanese literary proletarian movement, Sata was betrayed by her husband and divorced him in

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[28] In Katzoff, 143-144.
[29] Choi, 82.
[30] Choi, 82.
[31] See Choi, 67.

1936. Sata and Kubokawa had two children, and she had to take care of them on her own after their divorce. Arrested for her socialist activity in 1935, she will spend a little bit more than a month in prison, and will be convicted to a three-year suspended sentence. After 1941, Sata became one of the writers who were sent by various Japanese organizations to either write and send back reportages about the newly conquered colonies, or to give speeches to the soldiers and convey the support of the people at home for their actions on the battlefield.

As a matter of fact, the majority of the Japanese writers, willingly or unwillingly, had to support the Japanese army efforts to "expand" the vital territory of the Japanese nation. With the proletarian literary movement decapitated and defeated and 95% of its former members undergone through *tenkō* (recantation) by 1941, and without the privilege of having an exile tradition like their counterparts in Europe,[32] as people who lived off their writing, most of the Japanese writers (leftists or not) had to comply with the authorities' orders and support the war effort.

While Donald Keene and other literary historians' explanation that most of the Japanese writers who lived off their penmanship had to collaborate with the authorities in order to survive and feed their families is correct, the fact remains that being a writer in prewar and wartime Japan was a very lucrative profession, and allowed one to lead quite a luxurious life. Beth-Sara Katzoff gives the example of Kisaki Masaru, a columnist for the magazine "Chūō Kōron", who, between 1929 and 1939, was making between 5 and 10 yen per manuscript page.[33] As Katzoff notes, the rates were variable according to the publication, the author's prominence and gender. Nevertheless, at 5 yen per page, one writer could make 150 yen per month, which was three times the starting monthly salary at top-level companies in Tokyo.[34] Another example given by Katzoff is that of Takamure Itsue, the renowned feminist and strong supporter of the military regime during the war. Takamure wrote in her diary that in the 1940s, her income was of 150 yen per month, made exclusively off her publications in the magazine "Nihon fujin," where she was writing articles encouraging women's patriotic support for the state.[35]

On the other hand, writers like Nagai Kafū stopped writing altogether during the war years, thus refusing to collaborate, and managed to survive off prewar royalties, but still paying the price of enduring financial hardships.[36]

Sata, however, joined the ranks of the patriotic journalists and made trips to the Japan's new colonies in Manchuria, China and Southeast Asia, becoming very active in her support of the Japanese state. During the two years of her energetic pro-war activity, Sata visited many of the Japanese colonies beginning in 1941 in

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[32] See Donald Keene, *Japanese Writers and the Greater East Asia War*, The Journal of Asian Studies, Vol. 23. No. 2 (February 1964). 210.
[33] Katzoff, 57.
[34] Katzoff, 57.
[35] Idem.
[36] Keene, 1964, 222.

Manchukuo and ending in 1943 in Burma, and sent home an impressive list of articles and travelogues.[37] Nevertheless, it is rather difficult to find any piece of fiction that would depict Sata's attitude towards motherhood and the support of war. In fact, there are hardly any fictional pieces altogether in her literary activity between 1941 and 1944.[38]

More than the plight of their mothers, Sata seemed to be touched by the plight of the soldiers she encountered in her trips to the newly conquered territories, a fact explained by Satsuma as a normal continuation of her preoccupation with the pain of others, which she exposed in so many of her earlier proletarian writings. In an article of July 1942, *Saizensen no hitobito* (People on the front line), about her trip to the front in Central China, she wrote: "On this trip, it wasn't the case that we returned home in tears. We wore cheerful expressions and said something audacious like I hope we reminded them [the Japanese soldiers, the group of writers met] of the people at home, especially the dignified appearance of the women. While we said such things, we parted smiling and waving our farewells. But I remember the faces of the many officers and men whom we left behind. When I attempt to convey a fragment of their trials to the people at home, I end up in tears after all. I am afraid that my silliness will taint the courage of these men who are made to fight all kinds of battles – night and day."[39]

One other text that deals this time with women conscripted in factories for the war effort is *Sora wo seifuku kokoro* (Spirit to Conquer the Sky, 1943),[40] in which Sata interviewed women working in an airplane factory. After listening to the women and how they are worried every time when they hear about a plane crashing and wonder if it was not somehow their fault, the author links the home front with the battle front. "When I watch a scene in a film of young pilots in uniform receiving instructions from their commanders, raising their clasped hands, bowing, saying 'I will return,' and then swiftly flying off into the sky, I am struck by their desperate resolve, by their courage and radiance reminiscent of long-ago warriors in a personal combat, and moved to tears. But anyone surely would be moved by such a scene. We had not been aware of the sentiments of these women who strive to not have a mechanical problem with the planes that soar into the sky carrying these pilots…"[41]

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[37] For a complete list of her publications during those years, please see Gay Michiko Satsuma, *Uncommon Ambition: The Early Life of Sata Ineko*, PhD Dissertation, University of Hawai'i, 1998, 159 and 181, fn.

[38] The only text that some critics consider fiction, is *Ryojō* (The Heavy Heart of a Traveler), 1941, in *Sata Ineko Zenshū*, Vol. 3. Kōdansha (Tōkyō: 1978), 359-381. First published in "Chūō Kōron", 56, No. 9 (September 1941). Rather than as fiction, the text reads as a travelogue, and it deals with the author's travel to Manchukuo.

[39] In *Sata Ineko Zenshū*, Vol 16, 353. Quoted in Satsuma, 160.

[40] In *Sata Ineko Zenshū*, Vol. 16, 370-371.

[41] Quoted in Satsuma, 171.

Although herself a mother of two, like Ch'oe a mother of three, Sata seems not to have been concerned with the possibility of having her son, Kenzō, taken away by the army, and she did not deal with such an issue in any of her wartime fiction or non-fiction writing. As a matter of fact, Gay Michiko Satsuma points out that Sata was very much involved in her literary career. For instance, in *Osoroshiki mujun* (Dreadful Contradictions, 1935),[42] writing about the conditions immediately following the decision to divorce her husband, Kubokawa Tsurujirō, Sata wrote: "I am not thinking of devoting my life from here on for the sake of my children. I want my own life. I do not want to hurt my chances for the sake of my children. I do not see my life from the larger perspective of my life with children…. I do not want to be merely a mother, even for the sake of my children."[43] Commenting the fragment above, Gay Michiko Satsuma wrote that "literary success and personal growth meant more to her than being a wife and mother."[44]

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Things are a lot different when it comes to Hayashi Fumiko and her wartime literary activity. Coming from a very poor family of street peddlers, Hayashi's most ardent desire was to make money and be popular, and writing, for which she had a natural gift, was the best way for her to achieve her goal. Hugely popular before the war, especially after the publication of *Hōrōki* (A Vagabond's Story, 1930), she maintained a constant presence in the publications of the time, both with fiction and non-fictional pieces. As early as 1937 she threw herself in the war effort and traveled to China as a correspondent of the daily "Mainichi shinbun", becoming the first Japanese woman inside Naking after its fall.[45] She went to the war front again the next year, in a competition with her rival in literary popularity, Yoshiya Nobuko, and managed to be the first Japanese woman inside Hankow after the fall of that city to the Japanese army. From October 1942 through May 1943 she traveled to French Indochina, Singapore, Java, Borneo, and Sumatra, as a member of the Hōdōhan (Japanese News Corps)[46] and used her experience to write, besides numerous travelogues, much later, in 1951, her most famous postwar novel *Ukigumo* (Drifting Clouds).[47]

After she returned to Japan, in 1943, she adopted a boy, Tai, a very important moment in her life, and which inspired her to write two stories, one in 1941, *Fūbai* (Anemophily) and the other in 1949, *Nioi sumire* (Sweet Violet). For the rest of the war years she dedicated herself to her son, and stopped writing (an event comparable

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[42] Published in "Fujin kōron", 20, no. 10 (October 1935).

[43] *Osoroshiki mujun,* 79. Quoted in Satsuma, 145.

[44] Satsuma, 145.

[45] Donald Keene, *Dawn to the West: Japanese Literature of the Modern Era. Fiction*, Columbia University Press (New York: 1998). 1142-1143.

[46] Susanna Fessler, *Wandering Heart: The Work and Method of Hayashi Fumiko*, State University of New York Press (Albany: 1988), 39.

[47] Keene 1998, 1143.

with the one in Ch'oe Chŏnghŭi's biography) until after the war. One of her biographers, Fukuda Kiyoto, blames Hayashi's decision on the harsh publication conditions imposed on writers after 1942.[48]

Compared to Sata, there are more stories touching on the subject of feminism and motherhood in Hayashi's writings during the war, even though she did not have children of her own. None of the stories is, however, concerned with mothers having to send their sons to war.

For the present article, it is interesting to note the usage of the pronoun *anata* ("you") in the first two reportages from the frontline that Hayashi produced in 1937 and 1938, *Sensen* (Battlefront) and *Hokugan butai* (The North Bank Unit), respectively. Ch'oe used the same pronoun in her *The Wild Chrysanthemum* and addressed her writing to an absent character. As Fessler noted,[49] the two texts are rather diaries than letters, despite the usage of the addressee pronoun. As Ch'oe's writing is not formally a letter either, and the character 抄 (shō) in her title is still in need of an explanation, it could also be considered to be part ("excerpt") of something similar to a diary with the same title.

Hayashi's stories produced around the year 1942 deal to some extent with the issue of motherhood. In *Fūbai* (Anemophily),[50] the main character is Sanae, a young, single woman who wants to adopt a child (just like Hayashi will do two years after writing this story). She wants to be a mother, but she does not want to get married, so she has to lie to the adoption agency. She tells them she is a widow. She is very happy that she will get a child, but she is eventually exposed as being single and is rejected by the adoption agency. She is heartbroken and angry that she is not allowed to prove what a good mother she could be. While Hayashi is usually regarded as a writer who has not been indebted to any political influences,[51] this story shows an interesting side of her work as it constitutes a criticism of the Japanese wartime law according to which a young woman could have been branded a traitor if she did not marry before she reached the age of twenty-five.[52]

Perhaps a more interesting story for the purpose of the comparison with Ch'oe is *Kawauta* (River Song, 1941).[53] The story deals with one of the most important topics in Hayashi's writing: illegitimacy. An illegitimate child herself, Hayashi had strong opinions on the topic and expressed them through her characters in

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[48] Fukuda Kiyoto, Endō Mitsuhiko, *Hayashi Fumiko: Hito to sakuhin*, Shimizu Shoin (Tōkyō: 1966). 199.

[49] *Hayashi Fumiko Zenshū* (Shinchōsha, 1951) does not include the two texts. They were included in a later complete works edition, of 1977. This information is indebted to Fessler, 155.

[50] In *Hayashi Fumiko Zenshū*, Vol. 9, Shinchōsha (Tokyo: 1952), 215-225.

[51] Fessler, XII. "Fumiko [did not] approach her work with a specific political agenda. Throughout her career her writing displayed a virtual allergy to complex ideologies and philosophical constructs. Rather, she exhibited a kind of naïve common sense, one that an audience disgruntled with the petulance of Dadaism, the didacticism of Marxism, and the determinism of Naturalism, found refreshing and honest."

[52] See Katzoff, 138 for details.

[53] In *Hayashi Fumiko Zenshū*, 20, 273. Detailed discussion of this story is to be found in Fessler, 127.

several writings. The main character in *Kawauta* is Shimagi Yasuko, a young girl, who is regarded as a "problem child" at school. Kawajiri Hisako, Yasuko's teacher, feels pity toward the little girl and wants to help her, especially after Yasuko's parents die. She needs to refrain herself from giving special attention to the girl at school, as a fellow teacher is accusing her of favoritism. So, Hisako decides to take Yasuko home and put her under her tutelage. According to her principles, she takes good care of the girl, but Yasuko does not seem to be happy. Hisako cannot understand that Yasuko wants independence more than anything, and the fact that her school teacher helps her out of pity makes her feel even lonelier and more dependent on the adult.

In an attempt to make Yasuko understand that she only wants to make her happy, and take good care of her, Hisako gives the little girl a lecture in unselfishness: "You must not think only of yourself. Now that you have come to stay with me there is nowhere else to go, so you must put all your energies into your studies. Just like I've always said, right? People are different from cats and dogs. Your mother will have no peace if you go about always putting yourself before everything else… Life is difficult for everybody. Don't go thinking that you are the only one who is sad. You must not think that you alone are unhappy. You're under my care, now… you must gain strength from that. Mr. Kawajiri is abroad serving his country. Soldiers can't just go home of their own accord when being in the military becomes unpleasant, you know. You mustn't cry over such things as this. We've all got to get along together, don't we? We've all got to take care of things at home while the others are off at war. Mr. Kawajiri would surely think poorly of you if he saw this behavior. You said you wanted to go home, but where would you go?"[54]

This is a crucial passage in understanding the difference between Hayashi and Ch'oe. For young Yasuko, the appeal of the war hero has no meaning, while in ten-year old Shōichi it stirs up feelings of respect and awe: "The auditorium is large. Every single window is open and so much wind blows into the room that it is cold. Photos of Yi In-Sok and Yi Hyong-sok were brilliantly displayed side by side decorated with black ribbons. Perhaps because of the way the breeze makes the ribbons flutter, it seems to me as if their faces have come alive and they are saying something to me. *Without being told to do so by anyone, Shōichi takes off his hat as he stands before the two men and bows politely.* I soon follow Shōichi by lowering my head."[55] While the two children grew up in similar education systems, Shōichi seems to be lacking any kind of agency, and he is left at the state's and his mother's mercy. Seeing the boy absolutely unable to act on his own one has to ask again about the meaning of his mother's revenge, which acquires monstrous dimensions: Shōichi seems to have been raised by his mother for the purpose of being sacrificed, because he is illegitimate. Instead of an act of rebellion against a male-

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[54] *Hayashi Fumiko Zenshū*, Vol. 20, 273. Quoted in Fessler, 127.
[55] Frederick translation. In Japanese, 142-143.

dominated society, where single mothers and their children are denied acceptance, Ch'oe's character's revenge becomes a cold-blooded murder for her own benefit. Moreover, everything seems to have been thoroughly planned: for the ten years of his life Shōichi was not taught about his roots and he is apparently unaware that he is not Japanese, hence his sincere willingness to serve and die for the emperor.

Illegitimacy, while important, has more of a positive meaning for Hayashi's characters. Fessler writes: "Hisako's pity stems from the knowledge that Yasuko lacks a stable family, that she is poor, and that she is illegitimate. To Hisako, these are fatal characteristics to be righted through charity. To Yasuko, they are incidental characteristics to be righted with effort. Like so many of Fumiko's characters, Yasuko does not want pity; she wants the chance to work and support herself. Her age prevents her from being taken seriously."[56] In a very different way from Ch'oe's "I", Yasuko's adoptive mother manages to understand an essential fact: the child needs to have agency. "I've never once thought about children's happiness. I've always thought about children through the logical eyes of an adult. Yasuko said that I was a liar. I'm not sure exactly what she was referring to when she did, but come to think of it, perhaps it was because I am living inside my own world of constructs."[57] Shōichi is condemned to follow the rules of the world of adults: he is a product of the imperial education and his mother's thirst for revenge. Yasuko, on the other hand, has the privilege to become free, with the price of losing both of her parents, which in Hayashi's ethical system does not seem to necessarily be a bad thing, as long as the child can assume agency. The illegitimate characters in Hayashi's writings accept their illegitimacy and move on with their lives.[58]

Without being a criticism of the imperial system or of the imperial war, Hayashi's *Kawauta* offers a different approach to a problem similar to the one raised by Ch'oe's *The Wild Chrysanthemum.* It is true that Hayashi does not concern Hisako with such issues as the woman's failed modernity in Japan (she is, after all, an entirely different type of a character than Ch'oe's protagonist), but she finds a more productive approach to the issue of the illegitimate child than the Korean writer.

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The last writer considered as a potential Japanese counterpart for *The Wild Chrysanthemum* is Yoshiya Nobuko and one of her long novels, *Onna no kyōshitsu* (Woman's Classroom, 1939).[59] Like Hayashi Fumiko, Yoshiya was an enormously popular writer in the prewar, but also in the postwar period (while Hayashi died in 1951, leaving behind many unfinished projects, Yoshiya lived until 1973). To give

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[56] Fessler, 128.
[57] *Hayashi Fumiko Zenshū*, 20. 281. Quoted in Fessler, 128.
[58] Fessler, 129.
[59] Serialized in "Tōkyō nichinichi shinbun" from January 1st till August 2nd.

an idea of her popularity it is probably enough to mention that *Onna no kyōshitsu* was Yoshiya's ninth novel to be serialized in a major daily newspaper.[60]

During the war years, Yoshiya, like other writers, was a member of the Pen butai (The Pen Corps), and was dispatched to various locations in the Japanese empire for propaganda purposes. For most of the time she was a war correspondent for *Fujin no tomo*, a women's magazine and sent regular articles from Central and Northern China, Manchuria, Java, Thailand, Indochina, and so on.[61] She also published in wartime magazines, such as *Sensha* (Tank) and *Sukōru* (Squall), in the latter contributing with one of her battlefront reportages *Genshi hōkoku: Ran'In* (Frontline Report: Dutch Indonesia, May 1941).[62] After 1942, like Hayashi, she began building a new house in Kamakura, where she wanted to spend her life together with her life partner, Monma Chiyo and dedicated herself to the study of haiku with Takahama Kyoshi, a well-known poet of the time.[63]

With *Onna no kyōshitsu*, we move into the realm of newspaper novels, where the pro-war narratives were dominant during the 1930s. The novel follows a group of seven women medical students from 1936 till 1938, and concentrates on the development of Nimura Fujiho, a beautiful, young woman who becomes a pediatrician.[64] To oversimplify the plot, the novel tells the story of Fujiho becoming an ideal Japanese woman, in accordance with the requirements of the "good wife, wise mother" ideology. Written by a lesbian author, from a gay point of view, *Onna no kyōshitsu* offers an alternative to the image of the dedicated mother, ready to offer her son as sacrifice, from Ch'oe's story.

Fujiho marries Rinya, the blind brother of her lesbian partner, Uiko. Even though a male, Rinya is blind and sexually handicapped (an emasculated character). Uiko is the one who is invested with the patriarch role in the family,[65] at least until her death. After Uiko's death, Fujiho decides to become a dutiful daughter to her adoptive father (she too is an illegitimate child), and dedicate herself to Rinya and her job as a pediatrician. In other words, she fulfills the three duties the Japanese society traditionally laid out for her: daughter, wife, mother (as a doctor who takes care of children).[66]

Within the context of this article's comparison, Fujiho represents the alternative for Ch'oe's main character, the struggle to find ways to get integrated and survive in a conservative society, despite of the patriarchal system. Fujiho is a

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[60] Miho Matsugu, *Death of a Lesbian in Yoshiya Nobuko's 'The Woman's Classroom'*, Proceedings of the Across Time and Genre Conference, Aug. 16-20, 2001, Edmonton: University of Alberta Press, 2002.

[61] Jennifer Robertson, *Yoshiya Nobuko, Out and Outspoken in Practice and Prose*, in Anne Walthall (ed.), *The Human Tradition in Modern Japan*, Scholarly Resources (Wilmington: 2002), 168.

[62] Robertson, 169.

[63] Robertson, 170.

[64] All plot details are indebted to Matsugu.

[65] Matsugu, 12.

[66] Matsugu, 15.

daughter without being a daughter, a wife without being a wife and a mother without being a mother. Defined through three absences: of the father, of the husband, and of the children, she is, in the same time, the perfect definition of all three roles required from her by the society: daughter, wife, and mother.

5. Conclusion

Two main reasons can be mentioned for the lack of that "ideal" text for a comparison with Ch'oe Chŏnghŭi's *The Wild Chrysanthemum*.

One is the different meaning of motherhood in wartime Japan and Korea. Due to so many years of education in the spirit of readiness to sacrifice their sons for the sake of the emperor, there was almost no more need for fictional pieces to reinforce that kind of a spirit in Japan. On the other hand, the mass production of such fictional pieces during the second half of the 1930s might also be cited as responsible for the reluctance of major Japanese women writers to engage such topics in the 1940s.

On the other hand, even as late as the 1940s, the education system in colonial Korea was not deemed trustworthy enough by the authorities to convince the people of the benefits of the colonial regime and the need to enroll their children as volunteers in the Japanese imperial army. The Japanese government could not entirely rely on school textbooks[67] for education in the spirit of unconditional support for the colonial project. Fiction by famous authors must have been considered a very efficient propaganda weapon.

The second reason is represented by the different roles assigned by the wartime authorities to writers in the mainland and in the colonies. While the writers of the mainland were expected to go the war front and send back home articles and reportages (non-fiction), the writers in the colonies had the role to convince their co-nationals of the necessity of the imperial project through fiction. While front reportages benefit from the "reality" effect, they can also be scary and estrange the readers from the colonies from the project of the colonizer. On the other hand, fictional pieces, rooted as they are in the realities of their home country (like the volunteer training camp, the Japanese names, etc), might have had a different impact in Korea and the rest of the colonies.

This article represents but a first attempt to deal with such a complex issue, in the course of future research other reasons for the different approach of such topics like motherhood and war support in Japan and Korea around 1940s will surely emerge.

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[67] See E. Patricia Tsurumi, *Colonial Education in Korea and Taiwan*, in Ramon H. Myers and Mark R. Peattie (eds.), *The Japanese Colonial Empire, 1895-1945*, Princeton University Press (Princeton: 1984), 275-311.

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THE FUNCTION OF ATTRIBUTIVES AND THE WORD ORDER OF MULTIPLE ATTRIBUTIVES IN CHINESE

XIANYIN LI*, XU ZHANG**

ABSTRACT. *The function of attributives and the word order of multiple attributives in Chinese*. The essential function of attributive is to make reference. This paper holds that different forms of attributive realize certain different referent purposes while the purpose to make reference determines the word order of multiple attributives.

Keywords: *refer, multiple attributive, word order, removable.*

0. Preface

Chinese nouns can be preceded by multiple attributive, which are arranged in a strict order. Intensive studies have been made on this topic. Zhu (1982) divided attributive nominal phrases into two kinds: the agglutinate (without *de*) and the composite (with *de*), and believed that the composite always precedes the agglutinate. Liu (2001) divided attributive into the restricted and the descriptive, the former preceding the latter. Lu (1988) identified intensional and extensional attributive, and has ordered multiple attributive from a semantic perspective: time>shape>color>material and function. Yuan (1999) studied attributive based on the semantic paradigmatic relations of attributive phrases and discovered an order in which attributive with less counterparts precede those with more counterparts. Zhang (1998) proposed an attributive order based on conceptual distance: *state>newness/oldness>shape>color>material>function.*

Obviously, attributive have been categorized and named from divergent perspectives, and their order of attributive has been claimed in considerably different ways in previous studies. In addition, these studies are mostly descriptive, without giving any explanation for the multiple attributive order.

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This article will make attempts to account for the relationship between the referring function and the multiple attributive order. It will be discovered that different referring functions, i.e. generic reference, indefinite reference and definite reference, are served by different forms of attributive in Chinese; on the other hand, the referring function of the attributive+noun phrase determines the position of this particular attributive among other attributive.

1. The function of the attributive in the attributive-noun phrase

1.1 Conceptualization of the attributive lies in the cognition of things, which is represented by two opposite processes: categorization and specification.

Categorization is a process in which the essential features of a type of things are extracted from a multitude of individuals of this type to form a generic concept. Extractions of features at different levels will result in generic concepts of different levels, as are reflected by the hierarchy CREATURE-ANIMAL-BIRD- MAGPIE. As a result of categorization, things of one type are given one name in language, usually expressed by a noun, e.g. 'pear', 'duck', and 'water'. These nouns are stored in people's linguistic repository and ready to be activated.

Categorization leads to generic concepts while specific individuals usually lack nominal representations, which helps reduce the number of words in a language, e.g. 'the particular pear on my table' is not represented by any specialized nouns. However, in reality, things exist as specific individuals, and linguistic referents are usually sub-generic concepts or individuals. Therefore, categorization will lead to a problem, i.e. how to refer to sub-generic concepts or specific individuals by using nouns of generic concepts? A process of specification opposite to categorization is involved here. Specification refers to a process in which generic concepts are used to refer to sub-generic concepts or individuals in the world; it solves the problem of making reference by the noun (Li, 2003).

1.2 The means to make reference can be either linguistic or non-linguistic. Non-linguistic means include indications, gestures, drawings, imitations, etc. For instance, a child can refer to a pear by pointing to it. Linguistic deixis, e.g. 'this' and 'that', is another efficient way to refer. For instance, we can refer to an object by saying 'this/that'. Non-linguistic means of making reference is rather restricted. For one thing, objects which are not present on the spot are difficult to refer to by non-linguistic ways. Secondly, while specific individuals can be referred to by indication, sub-generic concepts cannot. Thirdly, abstract categories or things can hardly be expressed by indications, drawings, etc.

A more economic and efficient means to make reference is achieved by language, namely, by attributive mechanism. In Chinese, formally, it is composed of the generic noun (N) modified by a proper attributive (A), forming a noun phrase (A + N). Sometimes, the attributive can be many, composing a phrase of $A_1 + A_2 \ldots + A_N + N$ structure.

1.3 In terms of the scope of reference, reference can be identified into generic reference and individual reference. Generic reference refers to a type of things with certain common features, embracing all individuals of this type, e.g. THING – OBJECT – CONTAINER – CUP – TEA CUP – GLASS TEACUP.

Individual reference makes reference to an individual rather than any generic category, e.g. 'two cups' means 'two individual cups', instead of the CUP category. In the light of definiteness, individual reference can be distinguished into indefinite reference and definite reference, the former referring to an 'indefinite individual', and the latter a 'definite individual'. For example:

(1) 给我两个杯子。　　　　　把我的杯子递给我。
Gei wo liang ge beizi.　　　　Ba wo de beizi di gei wo.
give me two [CL] cup　　　　*ba* my *de* cup hand to me
'Please give me two cups.'　　'Please hand me my cup.'

Whether the individual is definite or not cannot be judged by the speaker's knowledge, but by the situation. Individuals which are definite to the speaker can be introduced by indefinite reference if the speaker assumes the listener does not know about them. For example:

(2) A: 昨天　我　买了　　一　　条　裙子。
　　　　Zuotian wo maile yitiao qunzi.
　　　　yesterday I buy *le* one [CL] dress　　'I bought a dress yesterday.'

　　B: 是吗？什么颜色？
　　　　Shi ma? Shenme yanse?
　　　　is *ma*　what color　　　　　　　　'Really? What color?'

The 'dress' is a definite individual to the speaker, but is expressed by indefinite reference because the speaker believes it is unknown to the listener. This is a useful way to introduce new information. In fact, the information structure of linguistic expressions requires that most elements be known and that new information be built upon the old.

1.4 Attributive are an efficient mechanism for reference making. In other words, the function of attributive is to help refer. This has been acknowledged in the academic circle. The restricted attributive identified by Liu (2001), as mentioned above, performs a differentiative function, distinguishing 'this' from 'that'. The extensional attributive identified by Lu（1988）basically serves to assist to refer. Lu's theory was elaborated by Liu (2008), who pointed out articulately that 'extensional attributive are acted by referring and/or quantifying elements to add referring and/or quantifying feature to the noun, so as to represent the scope of the specific referent in the real/possible world.

2. Means to make reference

2.1 Different linguistic means are often used to realize different referring purposes. To some extent, the relationship between some linguistic forms and certain referring processes is rather fixed. Chinese, for instance, frequently employs certain linguistic forms to make certain reference.

2.2 Means to refer to sub-generic concepts: qualitative attributive
In logics, the extension of a concept will decrease if its intension is enlarged. Only the quality of things can serve as the intension, such as the function, material, shape, color, newness/oldness, etc. For example:

(3) 杯子-茶杯-玻璃茶杯-花玻璃茶杯-小花玻璃茶杯-新小花玻璃茶杯
beizi-chabei-boli chabei-hua boli chabei-xiao hua boli chabei-xin xiao hua boli chabei
cup – teacup – glass teacup – colorful glass teacup – small colorful glass teacup – new small colorful glass teacup

(4) 钢化杯　　　过滤装置
ganghua bei, 　guolü zhuangzhi
steel cup 　　distilling equipment

In Chinese, in terms of the linguistic form, attributive can be expressed by nouns, adjectives, verbal structures, etc. Different things can have different criteria of categorization, some being conventional, and some being temporary (Zhang, 1998). In terms of the referring result, the noun phrase with attributive can still refer to a generic concept, functionally equivalent to a bare noun. Even with the structural particle *de*, it can still be generic, though becoming more descriptive. Compare the following pair:

(5) 白　　　面粉　—　白　　　　的　　　面粉
Bai　　mianfen------bai de mianfen
white flour　–　white *de* flour
'white flour'　– 'white flour'

2.3 Means for indefinite reference: indefinite quantitative attributive
In Chinese, indefinite reference is realized by using quantitative structures, for example:

(6) 我 买 了 一 件　衣服。
Wo mai le yi jian　　yifu.
I　buy le　one　[CL]　clothes
'I bought a piece of clothes.'

(7) 我　　有　　一　　个　朋友，
Wo you　　yi　ge　pengyou,
I have one [CL] friend
'I have a friend, …'

(8) 墙　　上 挂 着 两 张 地图，一 张　　中国　地图，一 张 世界 地图。
Qiangshang guazhe liang zhang ditu, yi zhang Zhongguo ditu, yi zhang shijie ditu.
Wall on hang *zhe* two [CL] map one [CL] Chinese map　one [CL] world map
'There are two maps on the wall, one Chinese map, and one world map.'

Chinese sentences tend to arrange information in a 'known→unknown' pattern. Indefinite reference acts as a bridge between generic reference and definite reference, where indefinite quantitative structure serves efficiently to introduce new information. Linguistically, indefinite quantitative structures are employed when new information is introduced, but definite referring structures like 'this piece', 'that one' or 'he' are used when the information appears again (Zhang, 1996). Consider the following examples:

(9) 房间 里 摆着　　一 张 桌子，桌子上 放着　一　本 书，书
上 放着一支笔。

Fangjianli baizhe yi zhang zhuozi, zhuozishang fangzhe yi ben shu,
shushang fangzhe yi zhi bi.

Room in place *zhe* one [CL] table table on place *zhe* one [CL] book, book
on place *zhe* one [CL] pen.

There is a table in the room. There is a book on the table, and there is a pen
on the book.

(10) 昨天 我遇到一 个 人，　　大 热 的 天，这 个 人 却　　戴着
一个毛帽子。

Zuotian wo yudao yi ge ren, da re de tian, zhe ge ren que daizhe yi
ge maomaozi.

Yesterday I meet one [CL] person big hot *de* day this [CL] person
but wear *zhe* a fur cap

'I met a man yesterday. This man was wearing a fur cap on such a
hot day.'

(11) 我买了一件衣服，(这件衣服) 是红色的，(这件衣服) 花了我 80 块。

Wo maile yi jian yifu,(zhe jian yifu) shi hongse de, (zhe jian
yifu)huale wo 80 kuai.

I buy *le* a [CL] clothes (this [CL] clothes) is red (this [CL] clothes)
cost *le* me 80 *kuai*

'I bought a piece of clothes. It is red and cost me 80 *kuai*.'

Quantitative structures are even used to introduce proper names, for
example:

(12) 东方红，太阳升，中国　出　了一　个　　毛 泽东。

Dongfang hong, taiyang sheng, Zhongguo chule yi ge Mao Zedong.

East red　sun rise China appear *le* one [CL] Mao Zedong

'The east is red, and the sun rises. A Mao Zedong rises in China.'

(13) 二十三年 后, 在　这 所 中学　主持 工作 的　人　根本　不　知
道有　这么一个廖琼琼。

Ershisan nian hou, zai zhe suo zhongxue zhuchi gongzuo de ren
genben bu zhidao you zheme yi ge Liao Qiongqiong.

23 years later in this [CL] middle-school in charge work *de* people at
all not know have such one [CL] Liao Qiongqiong

'23 years later, the chief administrative people of this middle-school
have no idea that know there used to be such a Liao Qiongqiong.'

2.4 Means for definite reference
There are numerous ways to make definite reference.

2.4.1 Deixis, such as 'this' and 'that'.

2.4.2 Relational attributive

Things are universally connected in the world, and objects, people, events, times or places which are known to people can all be taken as reference points to locate relevant unknown things. Consider the following Chinese examples:

(14) 教室　　前面 的黑板　　　— 教室　　　前面的 那 块　黑板 **(**地点参照**)**

Jiaoshi qianmian de heiban -------jiaoshi qianmian de na kuai heiban
classroom front de blackboard – classroom front *de* that [CL] blackboard
'the blackboard in front of the classroom'　　　　　　　　(place reference)

(15) 图书馆 里的书　　　　— 　图书馆　　门口捡 的 书

tushuguan li de shu　　-- 　tushuguan menkou jian de shu
library　　in *de* book　　– 　library　　gate pick *de* book
'books in the library – books picked up at the library gate　(place reference)

(16) 我的书包　　— 　我的那个书包 　**（**人做参照**)**

Wo de shubao-----wo de na ge shubao
my bag　–　　　　my that bag
my bag　　　　–　　that bag of mine　　　　(people reference)

(17) 昨天　打　我 的　两　个　人　　—昨天打我的那两个人 **（**事件做参照**)**

Zuotian　da　wo de　liang ge ren ----zuotian da wode na liang ge ren
yesterday hit me *de* two [CL] people – yesterday hit me *de* that two [CL] people
'two people who hit me yesterday' – 'the two people who hit me yesterday'

(event reference)

(18) 昨天　　的　馒头 — 昨天的两个馒头－－昨天剩的两个馒头 **(**时间做参照**)**

Zuotian de mantou------zuotian de liang ge mantou---zuotian sheng de liang ge mantou
yesterday *de* mantou – yesterday *de* two [CL] mantou – yesterday left *de* two [CL] mantou
'mantou from yesterday' – 'two mantou from yesterday' – 'two mantou left from yesterday'　　　　　　　(time reference)

Since all objects taken as reference points above are known to both speakers and listeners, the resultant new nominal structures are definite. In most languages, the relational attributive follows the noun, but Chinese is an exception, with all attributive preceding the noun (Liu, 2008).

2.4.3 A bare nouns can make a definite reference under certain linguistic circumstances. For example:

(19)　丈夫：　嗯，　　　　电视机呢？
　　　　Zhangfu:　en,　　　dianshiji ne?
　　　　Husband:　hmm　　　TV set ne?
　　　　'Hmm, where is the TV set?'
　　　　(coming back home and finding their TV set disappeared.)

　　　　妻子：　　卖了。
　　　　Qizi:　　　maile.
　　　　Wife:　　　sell LE
　　　　　　　　　'Sold.'
　　　　(She knew her husband referred to the particular TV set they had.)

The definite reference of a bare noun can only be realized in a certain context when both parties in communication know well what it refers to.

3. The order of Chinese multiple attributive

3.1 Attributive of different linguistic forms can help realize different referring effects, such as generic, indefinite, and definite reference. To a large extent, there is a rather stable relationship between linguistic forms and referring effects, e.g. qualitative attributive for generic reference, indefinite quantitative attributive for indefinite reference, and relational attributive for definite reference.

Linguistically, what and how many attributive are to be used depends on the intended referent of the speaker. Sometimes, multiple attributive are employed to help make more accurate reference. The order of multiple attributive is not random, but lies in the referring effect made by individual attributive.

3.2 In terms of the referring effect, the order of Chinese multiple attributive is: definite reference>indefinite reference>generic reference + noun; in terms of the linguistic form, the order is: relation>quantity>quality + noun. To be more specific, the latter order is:

relevant people>relevant event>relevant time>relevant place>scope>quantity> state>newness/oldness>shape>color>material>function+noun

For example:

(20)　一 个　红 书包— *红 一 个 书包 —*红的 一 个 书包
　　　　Yi ge　hong shubao--*hong yi ge shubao--*hong de yige shubao
　　　　one [CL] red bag – 　*red one [CL] bag – *red *de* one [CL] bag
　　　　'a red bag'

(21)　那把破木头椅子——*破木头那把椅子——*木头破那把椅子
　　　　Na ba po mutou yizi--*po mutou na ba yizi----*mutou po na ba yizi
　　　　that [CL] shabby wooden chair – *shabby wooden that [CL] chair –
　　　　*wooden shabby that [CL] chair
　　　　'that shabby wooden chair'

(22)　隔壁　 的 旧 布 沙发 —*旧 布　 隔壁　 的 沙发
　　　　Gebi　 de　jiu bu　shafa ---*jiubu　　gebi　de shafa
　　　　nextdoor *de* old cloth sofa – *old cloth nextdoor *de* sofa
　　　　'the old cloth sofa nextdoor'

(23)   我们发现了树　上　的　两　个　人。　—*我们发现了两个树上的人。
        Women faxian le shushing de liang ge ren.--*women faxianle liang
        ge shushang de ren.
        We find *le* tree on *de* two [CL] people – *We find *le* two [CL] tree
        on *de* people
        'We found two people on the tree.'

(24)   我的一　只　手　—*一　只　我的　手
        Wo de yi zhi shou   ---*yi zhi wo de shou.
        my one [CL] hand   – * one [CL] my hand
        'one of my hands'

If two individual attributive have similar referring effects, they can be interchangeable in position. Compare the following pairs.

(25)   我　买　的　那本　旧汉语书——　那本　我　买的　旧　汉语书
        Wo mai de na ben jiu Hanyu shu---na ben wo mai de jiu Hanyu shu
        I buy *de* that [CL] old Chinese book – that [CL] I buy *de* old Chinese book
        'the old Chinese book I bought'

(26)   抢　我　　钱　的　那　两个人　跑了。—　那　两　个　抢我　钱
        的　人　跑了。
        Qiang wo qian de na liang ge ren paole----na liang ge qiang wo qian
        de ren paole.
        Rob me money *de* that two [CL] people run *le* – that two [CL] rob
        me money de people run *le*
        'The two people who robbed me of my money ran away.'

3.3. One point needs to be clarified concerning the order proposed above.
'Quantity' works to help realize indefinite reference and is a watershed between generic referring and definite referring attributive. It slices out from a cognitive domain certain specific but indefinite individuals, and then a process of definite reference follows. This is a step in specification, which also represents the 'known-unknown' information pattern.
Chinese quantitative structures have double roles. First, it takes out from a cognitive domain specific individuals or individuals of certain quantities, the function of which is equivalent to unit classifiers, e.g. 一 one 头[CL:head]牛 ox—一 one 公斤 kilogram 牛奶 milk. Second, it describes the feature of a unit. For example:

(27)   一条 一公斤　的　鱼
        Yi tiao yi gongjin de yu
        one [CL] one kilogram *de* fish
        a one-kilogram fish

(28)   一匹两米　的　丝绸
        Yi pi   liangmi   de sichou
        one [CL] two meter *de* silk
        a two-meter silk

(29)   一套　76　平米　的　房子
        Yi tao   76 pingmi de fangzi
        one [CL] 76 square meter *de* house
        a house of 76m^2

Quantitative structures of the latter type has to have *de* and be preceded by a 'unitizing' quantitative structure. It indicates that the order – relational attributive>quantitative attributive>qualitative attributive – is rather fixed.

3.4 Removability

In terms of the referring effect, the order of Chinese multiple attributive is: definite reference>indefinite reference>generic reference+noun; in terms of the linguistic form, the order is: relation>quantity>nature+noun. It is easier to identify the attributive order when attributive of different kinds co-occur, but it can be difficult if attributive of the same type occur together. Therefore, to find out a more manipulative criterion to judge the multiple attributive order will bring about significant benefits, especially to the cause of Teaching Chinese as a Foreign Language.

A criterion of removability is proposed here: among attributive in a multiple qualitative attributive $A_1 + A_2 \ldots + A_N$, if A_1 is more removable than A_2, A_1 should precede A_2. This criterion works in many languages including English. For example:

(30) 新汉语书 —   *汉语新书
Xin Hanyu shu---   *Hanyu xin shu
new Chinese book – *Chinese new book

Comparatively speaking, the feature 'Chinese' in 'Chinese book' is unchangeable, while the feature 'new' is subject to a change to be 'old'. Thus, 'new' should be put before 'Chinese'.

(31) 红色 纯 棉 衬衫 —   *纯 棉 红色 衬衫
Hongse chunmian chenshan---*chunmian hongse chenshan
red pure cotton shirt –   *pure cotton red shirt
'a red cotton shirt'

As far as the 'shirt' is concerned, its material 'cotton' is hard to change, but the color 'red' can be dyed into other colors.

Occasionally, it can be difficult to judge the reference definiteness of attributive or their removability. In this case, their position is rather flexible. For example:

(32) 一 个 大 新桶 -- 一 个 新 大 桶
Yi   ge   da xin tong   ----yi ge xin da tong
one [CL] big new bucket–   one [CL] new big bucket
'a big new bucket'

In fact, the criterion of removability is a representation of conceptual distance. Cognitively, different features of a thing have different conceptual distances with the thing itself, and bigger conceptual distance will lead to greater distance in linguistic forms (Zhang, 1998). As far as qualitative attributive are concerned, the conceptual distance between the qualitative feature and the thing determines the distance between the attributive and the noun.

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THE EMBODIMENT OF TAOIST CULTURE IN THE IMAGE OF YAO MULAN

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ABSTRACT. The Embodiment of Taoist Culture in the Image of Yao Mulan. *Moment in Peking* is a wonderful work of Dr. LinYutang which embodies many aspects of Chinese traditional culture and thoughts. This article expresses the embodiment of Taoist Culture in the image of Yao Mulan by analyzing her personality, life philosophy and view of love and marriage in this novel. This explanation and development manifest the successful portrait of the ideal female character Yao Mulan.

Keywords：*Moment in Peking; Yao Mulan; Taoist Culture; Embodiment*

0. Introduction

In recent years, Taoism becomes more and more important for its philosophies are accepted and impacted throughout the world. A great master in language and literature—Dr. Lin Yutang is just as the bridge to introduce Chinese culture to the west. In his masterpiece *Moment in Peking*, we can strongly feel that it is greatly influenced by the ideals of Taoism. The author advocated the thought of "It ought to be order" of Taoism in this novel and illustrated clearly Taoists' ideas of their optimistic and magnanimous attitudes towards life.

With the renaissance and development of "Lin Yutang Studies" in the 20th century, Lin's works are being paid more and more attention to the academic circle. *Moment in Peking* was the most important part of Lin's novel trilogy. It was written in English between August, 1938 and August, 1939 when Lin Yutang resided in Pairs. "Lin Yutang has showed the traditional Chinese customs in detail and manifested the Chinese philosophies: Taoism, Confucianism and Buddhism" [1]29. We can also get the idea that Lin Yutang devoted all his life to research the female issues: sexual equality, female independence and initiative, giving his care and respect to women and showed the great influence of traditional habits on women in his novels. In *Moment in Peking*, he cares more about female world, and makes the main females characters various and colorful. This essay argues that *Moment in Peking* helps people to better understand women's world with the influence of Taoist culture.

1. Correlative Introduction to *Moment in Peking* and Taoism Culture

In the literary world, Lin Yutang was one of the well-known writers who was listed as one of the "Wisdom Figure" in the 20th century in American Literature

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Area and nominated for the candidate of Nobel Literature Prize. *Moment in Peking* was really a success which closely related with different Chinese traditional culture mixed in this great novel, especially the philosophy of Taoism. When comes to the traditional culture in China, Lin Yutang respected and preferred to the Taoist culture. For the purpose of achieving a better understanding of research, the background and the author's motive will be considered before that of research.

Mr. Lin's daughter Lin Rusi recalled, " In the spring of 1938, an idea to translate the Red chamber Dream dawned on my father after careful consideration, he found that The Red Chamber Dream was written long ago from now, so he changed his mind to write a novel which reflects the modern life of China" [2]1. In March of 1938, Lin Yutang began to design the characters and plot of the novel. After five-month fermentation, he started to write on 8th, August of 1939. The background of *Moment in Peking* was closely connected with the history of that age and the writer's own special experience. *Moment in Peking* described three families of Yao, Tseng, New, from the Boxer Rebellion in 1901 to the beginning of the Sino-Japanese war which was over 30 years. As Dr. Lin said in the Preface of this novel,"the novel is neither an apology for contemporary Chinese life nor an expose of it… it is merely a story of how men and women in the contemporary era grow up and learn to live with one another, how they love and hate and quarrel and forgive and suffer and enjoy, how certain habits of living and ways of thinking are formed, and how, above all, they adjust themselves to the circumstances in this earthly life where men strive but the gods rule" [3]2. So it is informative and its purpose is to introduce extensive and profound traditional Chinese culture to the West. He penetrates into the deep level of culture to annotate Chinese Philosophy of life, which may be said to be the backbone of Chinese civilization. As his own words said "two feet to cross over the eastern and western culture; One heart to comment the global articles," the strong point of Lin Yutan was to introduce Chinese culture to the foreigners and in return, to introduce foreign culture to the Chinese. He did contribute a lot to the exchange of eastern and western culture.

Taoism, known as "The Way," can be categorized as both a Chinese philosophy and a religion. Chinese Taoist culture has a long history. Since Emperor Huang, it lasts for over 4,700 years. Taoists believe in "accepting and yielding to the ways of life, complementing nature and being by internalizing their goals rather than worshipping a god externally" [4] 68. Taoism has great influence over the philosophy, world view, ways of thinking even the life style of Chinese people. Along with the popularization of Taoism, it has created splendid culture and arts, leaving plenty of valuable culture heritage in philosophy, literature, architecture, science, art and so on.

In this novel, we can feel strongly Taoism philosophy is rooted deeply in many aspects. Generally speaking, Taoism culture contains rich and unique philosophical wisdoms which provide a series of methodological principles of eternal value, such as, the principle of regularity, the principle of harmony, the principle of happiness, the principle of overcoming the hardest with softness, the principle of equality and love, etc. what's more, Taoism has an attitude of respect towards women which is different from Confucianism and Buddhism in the distinct features. In Taoism, women are dispensable and even a woman can not be shamed. We can see that *Moment in Peking* focuses on the female characters to state their different life, so as to respect women, enhance women sexual awareness and advance their social statue.

2. The Embodiment of Taoist Culture in the Image of Yao Mulan

As mentioned above, *Moment in Peking* was taking *A Dream of Red Mansions* as model and the author cares more about female world. He makes the main characters females and the female images are made various and colorful. According to the author's past experience, he devotes his whole life to female issues: sexual equality, female independence and initiative, giving his care and respect to women in his novels. The heroine Mulan and other female characters are the typical images. They appear natural, good-looking and talented, and they present free, pure, mild and unaffected. Taoism becomes the main philosophy in *Moment in Peking*, which makes this novel impressed by creating the vivid female image through different aspects. All in all, the philosophies of Taoism are greatly influenced the female characters, especially the heroine Yao Mulan.

2.1 The Embodiment in Yao Mulan's Personality

The author once said: "If I were a woman, I would be MuLan." Yao Mulan therefore becomes the perfect woman image in his eyes. Mulan is the clue of the whole book, and the incarnation of the ideal character in the author's eyes. She is the daughter of a Taoist. She has the romantic imagination and actual experience of rusticity, on the whole, the inner of her heart is Taoist. In the story, Mulan is from the wealthy Yao family. During the Boxer Rebellion she is kidnapped by bandits, and then rescued by the Tseng family; the two families thereafter become close friends. Mulan is lively, intelligent, and elegant. But this kind of perfection is not only due to her appearance. The more important factor is her character of generosity, open mind, optimism, humor sense, responsibility. Mr. Yao Sze-an, Mulan's father, the Taoist, is an important character in the book to embody the oldest but most profound wisdom of the Chinese people. His action and thoughts impressed Mulan so much and to some extent he is the vivid image of Taoism.

Since childhood, educated and influenced by her father, Mulan freed herself from kinds of feudal ethical Confucian code and old customs. She might be a woman out of the ordinary at that time. Her father has always encouraged her interests, among them her intense interest in "bone characters" (the study of ancient Chinese characters written on bones) and the singing of Chinese opera. She had a lot of skills to whistle, to sing Beijing Opera, to collect and appreciate antique. She was deeply affected by thought of Tao School. What's more, Mr. Yao doesn't advocate "binding feet" either. He thinks that "binding feet" is a corrupt custom which destroy severely the Chinese women's health. Therefore, his daughters didn't bind feet since childhood; instead, they let their feet develop naturally. This view is totally different from Confucian view of thinking "binding feet" to be "women's character". As the "golden branches and jade leaves" of the rich family, the daughters will probably dress up themselves with jewels. However, we can see obviously the dressing difference of the two sisters from others since their father believes that "He who has once known the contentment that comes simply through being content, will never again be otherwise than contented." The original presence of the two Yao's daughters at the beginning of the novel mentioned they both dressed very simply in white cotton jackets. Mulan also derived optimism and courage from her father's saying "When you yourself are right, nothing that happens to you can ever be wrong" and takes it as her lifetime motto. She was optimistic and open-minded because she was imperceptibly influenced by the

thought of Tao school. Facing ups and downs of life, she could always keep a natural state of mind. Though she didn't marry the man she loved, she took the "regrettable imperfection" as a kind of "beauty" concealing it in the heart, enjoying it quietly and secretly.

As the daughter of the Taoist, "Mulan combines both eastern and western virtues, is a multicultural image" [5]80. These thoughts and personalities are greater and more glamorous in the society in which the Confucianism predominates.

2.2 The Embodiment in Yao Mulan's Life Philosophy

Taoism is the romantic school of Chinese thought and simply guidelines for living a good life, in harmony with nature and the universe. Actually, Taoism is romantic throughout. "Firstly, it stands for the return to nature and the romantic escape from the world, and revolt against the artificiality and responsibilities Confucian culture. Secondly, it stands for the rural ideal of life, art and literature, and the worship of primitive simplicity. And thirdly, it stands for the world of fancy and wonder, coupled with a childishly naive cosmogony" [6]114-115.

Lin Yutang was greatly aware of the changeable nature of things and human beings on the basis of the objectives of Taoism, aware of the brevity of life, and of ultimate nihility, without negating the relative meaning of life. Meanwhile, on the basis of the view of taking things philosophically, on the condition of looking into the real side of life, he advocated to follow the big Way, to liberate spirit, and to live a happy life, which should be pointed out as an important thought of Lin Yutang's philosophy of life.

Mulan's father, Yao Sze-an, is the best example of Taoist Life Philosophy. So before the whole family left Peking, Mrs. Yao wanted to take more things in case of the house being robbed, he asked: "How do you know it will be safer on the way?" On departure, he instructed Lota, who would be left to guard the house, "If any looters come, offer no resistance but ask them to help themselves, do not risk your old life for these trash and rubbish! They are not worth it" [3]11. Mr. Yao considers what other people thinks as extremely precious treasures "trash and rubbish", which indicates that, the view about money and material resulting from thought of Tao school is to become indifferent to fame and gain. To take a light view of wealth, fame and gain is just the philosophy of Taoism. "Wealth was to him like a fireworks display tracing lines of fire in the dark sky--with plenty of splutter and brilliance, and ending in smoke, ashes, and the chanted ends on the ground." [3]365 Under the influence of her father, she is not afraid of the loss of wealth although born in a rich family. Instead, she is eager for a simple life of a fisherwoman and had a yearning to go near nature. When she grows up, Mulan doesn't attach herself to the wealth of a rich family. She has a pure, noble and romantic heart. She has dreamed to be a boatwoman, living on the water, like the wives of the fishermen outside the West City. She is admired for her pursuit of the idealistic life, serene and poetic. She changed her dress to that of a simple woman and wore cotton and dispensed with silk. Besides this, Mulan herself went to the kitchen to work and called herself "an old peasant woman". In the twenty-fourth chapter of the novel, Mulan and her family moved to Hangchow, and led a simple rural life. Experienced the vicissitudes of life, now she eagered to live quietly aside the beautiful countryard. She revealed in having her long-cherished dream come true, and resumed her nature. She once said to Sunya, "imagine the day when

Tseng Shaoyeh becomes a boatman, and I, a daughter of the Yao family, become a boatwoman! My flat feet are big enough to go punting boats! I will cook and wash for you" [7]74..

Yao Sze-an believes that life and death is the very law of existence. A true Taoist merely triumphs over death. He dies more cheerfully than others. He is not afraid of it because death is "returning to the Tao". When MuLan asks him: "Father, do you believe in becoming an immortal? Taoists always believe in it." Mr.Yao answers:"That is popular Taoism. Life and death are the very law of existence. I do believe in immortality. I am immortal through you and your sister and Afei and all the children born of my children. I'm living all over again you, as you are living all over again in Atung and Aman. There is no death. You cannot defeat nature. Life goes on forever." [3]82 Mr.Yao's view of life shows that life is raised to a higher level in circulations. Mulan is a creature of nature and humanism.Therefore, Mulan thought of life and death as the life of passion and the life of the rocks without passion. She realized that this was but a passing moment in the eternity of time, like the glory of Chin Shih-huang (Emperor of China, 259-210 B.C). It was destined to disintegrate and disappear, and became the moss-covered inscription without words. All the glory can not be everlasting. The rock has no passion, but it survives. Therefore, unless people liberate themselves from the desire for wealth, their spirits can be as free as the happy birds flying in the blue sky. This is the ideal situation of life of the Taoists. For the Taoists, "death is only a kind of continuance and expression of life; the life of passion is the same to the life without passion" [6]46. For Mulan, the moment is memorable--a complete philosophy in itself; or rather a complete vision of the past, present and the future, of the self and non-self, that vision is wordless.

2.3 The Embodiment in Yao Mulan's View of Love and Marriage

At all times and in all lands, love has been a permanent topic. Taoists believe that "It happened of its own accord" even in the view of love and marriage. According to Mulan's life, what makes people admire most is her attitude towards love and her choice of marriage. When love is coming, she shows her braveness, cleverness and passion; but when marriage conflicts with love, she is able to accept her own marriage peacefully and calmly and grasp her own happiness. Her intelligence, along with her kindhearted nature, catch the interest of a young man named Kung Lifu. Mulan feels attracted to Lifu, but she honors her family's wish and advice that she marry Sunya; this marriage is mainly harmonious. At the bottom of her heart, she loved Lifu; she sensed that if she stayed with Lifu, she would be very happy. However, in reality, she obeyed her parents and married to Sunya. She even didn't expect to be against it. The separation of her physical and spiritual love made her think of Sunya in sunny days, while think of Lifu in rainy days.

In the Taoism, its happy –go –lucky view of life has impacted on the role very much. The positive and the negative should counteract each other, taking the middle course without comparison is the fundamental law of the universe. Yao Sze-an thoroughly meditated the making-up between male and female when dealt with his two daughters' marriage. Sunya is born cowardice, and has mediocre ability, so he is suitable for energetic and smart Mulan. For Mulan can push Sunya and spur him forward. If Mulan married Lifu, it was like a speedy car added with new power for Lifu. For Mulan to push the impetuous Lifu might have been disastrous after all. Lifu is enterprising and responsible; whereas Mochow is steady,

calm, round and full. So it is a good match for them. Because Mochow will pull Lifu back and restrain him. The complementary way is to limit sometimes and meanwhile coincides with the middle "Tao".

When comes to Mulan and Sunya's marriage, it can be clearly proved this view. Maybe to some extent, we will feel she is a woman who was contradicted in her love and marriage. On one hand, she was obedient to accept the "parents' arrangement", married with Sunya, became a dutiful wife and loving mother in the eyes of the elders; on the other hand, in her pure love world, she reserved a place for Kung Lifu. She even could give him all of her talents and her passion. When she married with Sunya, she knew this was her fate which could not be changed forever. Mulan's ideal husband was Lifu, but she was also very joyful after she married Sunya. And gradually she knew that her marriage was made right and she felt tender toward Sunya. So she tried to keep pace with this, although she did not love her husband. And she tried to become a good wife, taking good care of her husband and her husband's family. What one can do is to face the misfortune calmly and try to adapt to it as soon as possible, but not to be pessimistic and despairing. The most important is that people can live more happily if they do not seek the perfect.

3. The Embodiment of "Tao" in *Moment In Peking*

Taoism advocates peaceful, quiet, leisurely and comfortable lifestyle. In *Moment in Peking*, the emphasis was placed on "Taoism" from the 3 chapters: the Daughter of Taoism, Tragedy in the Garden, the Song of Autumn. The author himself advocated to follow the big Way, to of this novel, to liberate spirit, and to live a happy life, which should be pointed out as important thoughts of Lin Yutang's philosophy of life.

When comes to the theories of Taoism, it can be back to thousands of years. And gradually, people made these meaningful with their understandings "Tao is the origin of everything, is existing and long-lasting". Tao gave birth to the one, the one gave birth successively to two things, three things, up to ten thousand (i.e., everything).That is why Taoists insist on always being natural. They believe that everything is decided by nature, by their fate, but not by themselves, so-called "good fortune" and "bad fortune" are the same in their eyes. "to do nothing", "to love by quietude", "to act only by inactivity", " to have no wants" become their motto. Through this novel we can see clearly that Taoism really affect the way they thinking, their attitudes towards life and death, love and marriage, especially in the first chapter the Daughter of a Taoist. Taking Mulan as an example, she is eager for a simple life of a fisherwoman and has a yearning to go near nature. This fully reflects the Taoism culture of pursuing simply life, going back to the nature. The author believed that thought of Tao school was a very particular kind thought in that time because it was in a sense superior to Confucianism which had been playing a predominant role in China over a long time especially the feudal Confucian ethical code which constrains and stifles human nature. What's more, some of its views embodied democracy, freedom, independence of personality, all of which the west pursue.

4．Conclusions

Moment in Peking is the most faithful, complete, magnificent, and important work about China. Its words are so bold and unconstrained, lofty, and glowing that the readers can have intensive understanding about the history of China. Through the vivid portrayal of the typical female character Yao Mulan, the book displays the traditional Chinese philosophies and culture. On the basis of the author's creating motivation and the influences of Taoism on the heroine, the current study endeavors to accommodate the detailed and various of life of the female characters and their attitudes towards life, love and marriage. In retrospect of the whole book, we are more touched by the spirit of the Chinese people reflected by the figures in the book: The virtues of the Chinese women illustrated by Mulan and other female characters. Their spirits, of course, are not the generalization of the Chinese people. But they serve as a mirror, from which both foreigners and native Chinese people could see clearly the life, the character, the ideal and the mind of the Chinese people. In today's society, research on Taoism in *Moment in Peking* is still a heat, and with women have more and more rights and power, it is necessary to research the influence of Taoism on women. *Moment in Peking* is the best specific example and as a popular novel was accepted by the western readers. It has the priority to make Taoist Culture known by more and more people.

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XUNZI'S PERSPECTIVE ON HUMAN NATURE

LUMINIȚA BĂLAN[*]

ABSTRACT. *Xunzi's Perspective on Human Nature*. Generally, Xunzi is known to represent the realist side of confucianism at the end of the pre-imperial era. His theory about the evil human nature follows the conception of the confucian school. Human nature is analyzed according to the dichotomy inborn nature – artificial nature, and the contradictions generated are revealed.

Keywords: *confucianism, human nature, inborn nature, acquired nature, social construct.*

0. This article will refer to the debate on human nature, as it is reflected in the work of Xunzi[1], one of the most important representatives of the confucian school in the classical period. The problem of human nature was a topic of large interest in the Chinese philosophy of that time. It is generally considered that while idealism marked the opinions of other philosophers who considered that man had a good nature, Xunzi was faithful to his realistic attitude, sustaining that man's nature was evil. The characteristics of his theory will be discussed here, trying to identify its originality, but also to show its contradictory aspects. Xunzi's theory concerning human nature is concentrated in Chapter XXIII, suggestively entitled *Human Nature Is Evil* (*Xing E* 性恶), therefore this article will mainly relate to it, as the basis of the discussion about Xunzi's theory about human nature.

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[1.] Xunzi (298 – 238) was a confucian philosopher, who was born in the state of Zhao, but when he was young, he went to study in the Jixia Academy, in the state of Qi. This academy was a cultural center, where scholars from all the states were encouraged to come in order to study and to promote their doctrines. It was here that Xunzi enriched his knowledge and learnt how to defend Confucianism in front of the representatives of the rival schools. His writings were gathered in a book which has the same name as the author. Generally, Xunzi is known to have been the last great confucianist of the preimperial era (before 221 B.C.).

1. Classical Confucianism – concepts and perspectives

Confucianism rose in a period of profound crisis at all levels of social life. It was the period of the Warring States[2], a dynasty which was marked by swift and deep transformations, when the conflicts within each state and also between the Chinese states had sharpened. The moral values, the ritualic behavior were abandoned in favor of petty interests and fight for power.

In such a context, Confucius intended to rekindle people's interest for self-attainment, for cultivating harmonious relations with their folks and for imposing the moral order in society. He conceived a complex system of thought regarding man as a social being, defined by relations which were structured on the basis of social hierarchy. Man engaged himself in this mechanism submitting to a hierarchical structure determined by „the five fundamental relationships" *wu lun* 五伦. They were conceived according to the natural pattern of kinship and implied the relationships between sovereign – servant, father – son, elder brother – younger brother, man – wife and between friends. These relationships provided the basis for the adequate behavior, by setting the resposibilities for every person, according to his social role.

The human model that Confucius proposed was that of the sage, who reached self-attainment by learning, assimilating and performing the moral values and the ritual. Moral virtues, such as filial piety (*xiao* 孝), righteousness (*yi* 义), trustiness (*xin* 信), loialty (*zhong* 忠), bravery (*yong* 勇) are cultivated by those who aim at becoming Superior Men (*junzi* 君子), rising from the status of petty men (*xiao ren* 小人). Once these virtues are asimilated and displayed truthfully, people's behavior becomes superior, refined, and that is decisive for the harmonious development of society. In the light of the confucian thought, the humaneness (*ren* 仁) is regarded as the core of the complex system of moral values, implying love, compassion and respect for the others. This ritual behavior based on humaneness can harmonize human relationships and can bring social cohesion, as hierarchy is well defined and strengthened.

By applying this model of behavior, people were able to reach self-attainment, as well as to guarantee the harmony and the prosperity of the social group. Respect for the others was based on filial piety and loyalty, and the cultivation of virtue was not limited only to the nobles, but also referred to common people. Such rules of

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[2.] Zhou dynasty (1066 – 221 B.C.) was one of the most important periods in the Chinese history, due to the significant transformations in the governing system, but also due to the impressive cultural production that later became the ancient intellectual heritage of the Chinese civilization. This period was divided into Western Zhou (1066 – 771 B.C.) and Eastern Zhou: Chun Qiu (770 – 476 B.C.) and Warring States (475 – 221 B.C.). The preimperial period ended in 221 B.C., when Qin dynasty - the first Chinese empire – was set up.

ritual behavior were embodied in stories and legends promoting the images of popular heroes, which were familiar to everybody. These represented the confucian tradition, together with the philosophical texts, a tradition that was developed and perpetuated continuously up to the present days. The long history of China has proved that by asimilating this model of a ritual culture as the governing philosophy starting from the 2nd century B.C., the Chinese society was able to reach social harmony and order, and develop an impressive culture.

In a very condensed image, this is the system that Confucius launched and that became the core of the Chinese culture. Following the same path, Mengzi[3] and Xunzi were those who consolidated it in the preimperial period (6th – 3rd century B.C.), reinforcing its value as the basis of government. Although Xunzi was influenced by legalism to a great extent, he has usually been placed in the same category of great confucians as Confucius and Mengzi. J. Kaminsky considers that „The greatness of Xunzi lies in his loyalty to the Confucian ideals at a time when those ideals were attacked and persecuted."[4]. Therefore, in his work we can find the recurrent themes of the confucian writings, but revealed in a new interpretation to which legalism and realistic approach had a large contribution.

2. Xunzi's Vision on Man

Like all the other confucians of the Warring States, Xunzi sets Man at the core of his system of thought. Comparing him to other thinkers of that period, Anne Cheng considers that Xunzi proves to be a mature thinker, as „he conceives man standing straight in front of Heaven, not kneeling, as it happened before him"[5]. The relationship between Man and Heaven was a favorite topic in the debates of philosophers during those ancient times. At the beginning of the Zhou period[6], Heaven was quite an impersonal force, which established the norms and regulations for the cosmic life, as well as for human behavior. During the next few centuries, we can notice that man does not submit blindly to the will of Heaven, but he comes to fully assert his will and decide for his destiny.

Xunzi differs from his confucian predecesors as far as the conception about Heaven is concerned. For him, Heaven is nothing but an entity made up of natural forces, which lacks virtue, personality or a will to be imposed on people. It is obvious

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[3.] Mengzi (380 – 289 B.C.) is known as one of the great confucian of the classical era. In comparison with Confucius' *Annalects*, a book meant to promote the confucian doctrine and to educate the philosopher's disciples, Mengzi's book, known under the name *Mengzi*, is a refined and elaborated discourse, which increases the theoretical value of this vast and extremely homogeneous work. In the Western countries, Mengzi is also known under the Latin form of his name – Mencius.

[4.] J. Kaminsky, 2000, p. 117.

[5.] Anne Cheng, 2001, p. 165.

[6.] The Eastern Zhou was the period when the philosophical schools were established and the important themes of the intellectual debate were launched. Among these themes we can mention the status of Man, his position in the Universe and his relationship with Heaven, Dao, the value and the role of language, the human society and so on.

that by promoting these ideas, Xunzi enriched the confucian philosophy with a more rational approach. He starts from the traditional cosmological thought, which identified the two forces of the existing world – Heaven and Earth, but he bestows a superior status upon Man by making him an equal partner of these two entities. Thus, in the intellectual atmosphere of his time, Xunzi is the one who elaborates the doctrine of the Triad, in which Heaven, Earth and Man are reunited as the three partners, each having specific endowments and functions:

> „Heaven has its seasons; Earth its resources; and Man his government. This, of course, is why it is said that they can form a Triad."[7]

Heaven and Earth follow their own way independently of the human will, but they provide man with their resources. It is in the latter's power to choose how to use these resources for his own benefit. Discussing the importance of man's role in this complex partnership, Xunzi reveals that his mission, as the third cosmic power, is to conceive a principle of order by which he can bring harmony to the universe. Sustaining the confucianist belief in the efficiency of moral principles and education, Xunzi emphasizes the fact that it is the Superior Man who can attain such goals:

> „Heaven and Earth give birth to the gentleman, and the gentleman provides the organizing principle for Heaven and Earth. The gentleman is the triadic partner of Heaven and Earth, the summation of the myriad of things, and the father and mother of the people."[8]

In the context in which various philosophical schools of that time, such as Yin – Yang school, promoted the idea of resonance between nature and the events in people's life, Xunzi believes that man's mission is not to investigate the universe, making useless efforts, but to set the universe into good order. Illustrating his idea with examples of legendary rulers who brought harmony into the world, or on the contrary, threw the world into chaos, he concludes by saying that „order and chaos are not due to Heaven"[9].

Therefore, in Xunzi's profoundly humanistic vision man has the central position. Heaven and Earth follow their way according to constant rules, which are always independent of human will. Their good functioning does not depend on the good government, and in the same way, they do not perish because of the bad ruling of the country. Although they are partners in a cosmic triad, each of the three forces has its own territory. Man should not compete with these two forced for the work of nature, as his priority is organizing and harmonizing the human society by the help of the perfect governing.

For Xunzi, man is a part of Nature, one of the ten thousand things (*wan wu* 万物), and all his endowments originate in Heaven[10]. This perspective reflects the vision of ancient China, which is characterized by the continuity between Man and

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[7.] J. Knoblock, 1988, vol. III, Chapter XVII, p. 15.
[8.] J. Knoblock, 1988, vol. II, Chapter IX, p. 103.
[9.] J. Knoblock, 1988, vol. III, Chapter XVII, p. 17.
[10.] In the Chinese tradition, Heaven and Nature are indicated by the same term – *tian* 天.

Heaven, therefore Xunzi sharing this view, describes the correspondence in various paragraphs in the book. Many references to these aspects are made in Chapter XVII – *Discourse on Heaven* (*Tian Lun* – 天论), the only chapter in the entire classical confucian philosophy dedicated to the discussion about Heaven. In his opinion, man is built up of the same stuff as Nature and he shares the same attributes with it. Therefore, Man's sense organs are "the faculties given to us by nature", the heart/mind is called "the lord provided by nature" and even the way in which the mind discriminates things is similar to Heaven's way of imposing order into reality. That mind's capacity of reasoning is called "rule of order in nature"[11].

Heaven endows man with senses and instincts, that become his inherent characteristics (*qing* 情) reflecting the natural heritage that proves his belonging to the world of Nature. These authentic traits are present in every living being, but it is only man who can develop and control them by ritual and moral norms. Xunzi reveals the fact that the more man assimilates the principles of confucian morality and of ritual, the better he can guide his behavior and thus each element of the human body can harmonize with the other elements. Xunzi even suggests that man should cultivate those feeling (*qing*) received from nature, and should take advantage of everything that nature provides for him, turning it into his own nourishment, because in this way man becomes the master of his own destiny and of the universe.

> "The sage purifies his natural lord, rectifies his natural faculties, completes his natural nourishment, is obedient to the natural rule of order, and nourishes his natural emotions and thereby completes nature's achievement. [...] Then Heaven and Earth perform the work of officers, and the myriad things serve him as foot soldiers."[12]

A. C. Graham[13] considers that this conception is quite unusual for the intellectual background of the philosopher, and supposes that it is very probable that Xunzi developed such ideas in an earlier period, when he just started building up his system of thought. He wonders whether Xunzi implies that man gives sense to an otherwise meaningless universe, coming very near to modern ideas of our times, but then he concludes that his focus is on the Superior Man (*junzi* 君子) who has the power to regulate both the human society and the universe. It is the Superior Man that can personify Heaven, Earth and the myriad things by analogy to the structures of the society: ruler – minister – father – son.

3. Inborn Nature vs. Artificial Nature

In the intellectual context of the 3rd century B.C., Xunzi seems interested in defending the confucian system of thought in the light of a profound humanism,

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[11.] See the translation of Xunzi'z work by John Knoblock, 1988, vol. III, p. 16. Also see the Romanian translation – Xunzi – *Calea guvernării ideale*, (transl. Luminita Balan) 2004.
[12.] J. Knoblock, 1988, vol. III, Chapter XVII, p. 16.
[13.] A. C. Graham, 1989, p. 242-243.

trying to reassert it in front of the growing influence of other philosophical schools. His book shows him concerned with debating the status of man, the structuring of the society on the basis of moral principles and hierarchy, and the role of rituals in regulating the functioning of the social structure.

Setting man at the core of his philosophical system, Xunzi analyzes multiple aspects that concern man's inner structure, behavior and role, putting into value the confucian perspective, enriched by the realistic shades specific to him. One important theme that makes Xunzi remarkable in the sphere of the philosophical debate in the classical period is the one referring to human nature (性 *xing*).

This is an important concept in Chinese philosophy, a subject of interest for various philosophers, no matter what school they belong to. The graphic composition of the term is very suggestive for its etymology – it is formed with the semantic key "heart" and the phonetic component "生 *sheng*", which means "to give birth". The instances in which it is used show it as a polysemic word, the main meaning being that of "human inner nature", to which other derived meanings are added, such as "instincts", "temper" or "life"[14].

Xunzi starts from this notion and elaborates an original theory concerning the evil human nature, which is presented systematically in Chapter XXIII - *Human Nature Is Evil* (*Xing E* 性恶). From the very beginning, Xunzi unfurls his arguments while rejecting Mengzi's opinions, another important confucian who sustained that human nature is good. The critics have often underlined the fact that this chapter is like a coherent program, very relevant for Xunzi's belief that human nature is evil and that he can change it only by conscious and sustained efforts. Still, there are other critics or translators of Xunzi's work who put the authenticity of this chapter under the question mark. They consider that given the fact that there is no other reference to the evil human nature in the entire book, we might suspect that Xunzi's disciples or other scholars belonging to later periods of time added the whole chapter or at least some ideas to the original text. They also underline the fact that the sentences "Human nature is evil; any good in humans is acquired by conscious exertion.", which are like a leitmotif, appear eight times, either at the beginning or at the end of a paragraph in Chapter XXIII, but they are not mentioned in any other place of the book. Therefore, this sentence may also be suspected as a later interposition in the text. As the aim of our research is not to decide upon the authenticity of this chapter, we shall analyze only the elements which build up the theory concerning the evil human nature of man as it is presented in Xunzi's book. Likewise, we shall not discuss the extent to which Xunzi elaborates this theory in order to attack Mengzi, whose ideas about human nature take shape in various dialogues of his book.

[14.] See *Ci Yuan*, 1991, p. 600.

If we take a careful look at the classical Chinese philosophy, we see that before Xunzi nobody made such a refined analysis of human nature. Previously, *xing* 性 had been used without distinguishing man's nature from his spontaneous processes. Xunzi took over this idea, but extended it, dividing human nature into inborn nature (*qing* 情) and the artificial nature (*wei* 伪). The character for inborn nature is composed with the semantic key "heart" and the phonetic component *qing* 青, referring to everything that is acquired from nature. The artificial nature is acquired through cultural and social practice, in a continuous process of evolution. The graphic of the character *wei* 伪 is suggestive for its semantic load, as it is made of the semantic key *ren* 人 (man) and the phonetic component *wei* 为 (to do), therefore *wei* 伪 refers to that part that is made by man, due to his deliberate efforts to build up, refine and reshape.

The inborn nature (*qing* 情) is composed of senses and instincts, specific not only to people, but also to animals. Using concrete examples, Xunzi explains how the inborn nature manifests itself when man is in contact with the surrounding world. His sense organs react to what they perceive and thus feelings like greed, love, passion are stirred, without man's conscious activity, because "When there is stimulation, they respond spontaneously."[15] It is because of this natural endowment that man's life becomes a continuous struggle for satisfying his needs concerning food, drink, comfort and other non-material needs. But man does not remain at the level of instincts – if it had been like this, then the whole world would be in great turmoil and also the inner world of the human being would be a complete disorder. Still, man can control his instincts and reactions due to his intelligence and his capacity to know and to reason (*zhi* 知), which implies analyzing, evaluating and choosing. If people have similar perceptions, due to the fact that their sense organs function identically, their evaluations and choices may be subjective and arbitrary and in Xunzi's opinion that seems to be a great danger for the society. The solution he finds for man to control his instincts and evaluate his options is to behave in accordance to a moral standard, represented by laws and regulations originating in the ritual (*li* 礼). From the point of view of a genuine confucian, man should always refer to moral precepts and ritual principles, obtained from successive cultural accumulations, because these could influence man's behavior, improving and reshaping it. In this way, man's inner nature can become good, but Xunzi emphasizes the fact that this is acquired by conscious exertion. Thus, man can master himself, and when he feels tempted to let himself driven by his instincts and desires, he is able to control everything, due to his need to obey the moral precepts

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[15.] J. Knoblock, 1988, vol. III, Chapter XXIII, p. 154.

and ritual principles. This is what Xunzi calls the good part of the human nature, that is the outcome of the conscious activity.

Now, man has the chance to act as a social being, fully aware of his capacity to control his destiny. He is not the slave of things anymore, but he knows how to make them submit to his will and work in his favor.

4. Man's Need for Society

The whole chapter, and in fact the whole book, imply the fact that one of the most important needs of man is that of living together with his folks. When the society is structured on well-determined levels due to man's capacity of imposing social distinctions (*fen* 分), then people can perform different tasks, while remaining in harmony with each other. Man's inclination to dividing and operating hierarchies is again inspired by Nature, as such distinctions as primary and secondary, young and old, noble and base, female and male can be seen everywhere.

Once the distinctions are clearly defined, man learns how to act for the good, but this is due to the fact that everything happens in a social framework and with the use of social strategies. When he is born, man has the same biological data as all the animals and that is why his spontaneous activity is under the influence of selfishness and desire. By conscious activity, his mind changes and reshapes these spontaneous tendencies, not in the sense of annihilating them, but in the sense of directing them to another path, following man's desire to attain good. According to Xunzi, such a desire is stirred only by the rites and the moral norms, by moral duties and the principles of social hierarchy.

> "A love of profit and the desire to obtain it belong to man's essential and inborn nature. [...] Thus, following one's essential and inborn nature will lead to strife even among brothers, but when it has been transformed by ritual and morality, brothers will yield their claim to others of their own country."[16]

The inborn nature is the same for all people and there is nothing in the natural component of man that makes him predisposed to be a tyrant or an emperor. Confident in man's capacity to progress and to decide his destiny, Xunzi even underlines the fact that Heaven does not bestow favors on anybody. It is in man's power to become a petty man (*xiaoren* 小人) or a Superior Man (*junzi* 君子). The difference lies in the extent to which people apply the ethical rules, cultivate the moral sense and educate themselves. As it can be noticed, the moral principle, rites, the whole cultural arsenal are strategies used to mould the inborn nature and to temper instincts. When all these are used, man can reveal a good behavior, which represents the artificial side of his nature. The arguments that Xunxi provides in order to sustain his demonstration are rigorously presented in Chapter XXIII. Still,

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[16.] J. Knoblock, 1988, vol. III, Chapter XXIII, p. 154.

it becomes obvious that his theory is built on a paradox – since the nature which man receives from Heaven is evil, how could man conceive the rites and moral values? Xunzi identifies the solution for this dilemma attributing the capacity of inventing these things to the Ancient Sage Kings[17]. They could notice ever since the ancient times that human nature is evil, that man is perverse, greedy, unrestrained, therefore they devised the system of laws and moral norms in order to straighten people's temper, to change it and lead it in the right direction. One might suspect that the sage is an exception to the rule as far as the evil human nature is concerned, but Xunzi makes it clear that originally the sage possesses the same evil nature like any other human being, but he had the capacity to become aware of man's need of society, of promoting order and harmony and of creating the social institutions. Accumulating moral authority (*de* 德), the sage attracts the others around him and he becomes a model for them. Many times in his book, the author underlined the confucian principle that to be a Superior Man requires a teacher and a model. Without them, a man's mind remains like his mouth and stomach, smacking and chewing away, feasting and looking for satisfaction.

J. Knoblock[18] considers that when discussing the sage ruler's mission to conceive the cultural patterns necessary for regulating people's behavior and governing the state Xunzi has in mind the connection between the word "government" (*zheng* 政) and its homophonous word „to set right" (*zheng* 正). The fundamental change in the society is operated by the ruler first setting himself right, then rectifying the others. The pattern for individual rectification is set and thus people are attracted to the sage ruler and start imitating his model. By instituting government, which implied first imposing a pattern of moral behavior, then inventing institutions, rites and social distinctions, the sage managed to create order out of primeval disorder, and that resulted into solidarity and unification of the whole world.

Again, Xunzi emphasizes the fact that also in the case of the sage this tendency to do good does not belong to inborn nature, but to the acquired nature improved in a process of continuous self-attainment. Trying to explain the relation between what is natural and what is artificial in human nature, the philosopher compares the sage to the potter who shapes the clay to create a vessel or the artisan who carves a vessel out of a piece of wood. In both cases, it is the acquired nature that makes the creation possible. But one might ask whether the creation of a vessel and, likewise, the creation of rites, cultural patterns of behavior or social institutions would be possible without the basis of the inborn nature. In the same way as the practical sense and the artistic sense determine man to create the instruments necessary for his living, his moral predisposition requires his elaborating rules and

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[17.] For Xunzi the exemplary kings were the kings Wu and Wen, the founders of the Zhou dynasty. Not only in Xunzi's work, but also in other classical writings these kings were presented as models of moral behavior and ideal ruler.

[18.] J. Knoblock, 1988, vol. III, p. 149.

rites that allow him to live on a superior level in comparison with other living beings in the universe.

In the light of this demonstration, it becomes obvious that the evil in the inborn nature meant by Xunzi essentially refers to the lack of ethical inclination received from Nature. This should not automatically generate the conclusion that given the instincts that man acquires by birth, his nature is vicious and doing evil is his natural predisposition. In fact, the whole debate in Chapter XXIII reveals man's need to build up good, just because he does not get this inherent tendency from nature. It is in the society, under the influence of the sage, that man learns how to restrain his instincts and do good.

> "Those with very little think longingly about having much, the ugly about being beautiful, those in cramped quarters about spacious surroundings, the poor about wealth, the base about eminence – indeed whatever a man lacks within himself he is sure to desire from outside. […] it is plain that man's desiring to do good is the product of the fact that his nature is evil."

Commenting on these relevant instances, Xunzi draws the conclusion that the inner mechanism that initiates man's need of good is the evil inborn nature. This makes him look for gain, comfort, beauty, but it is the same evil nature that urges him to assimilate the moral standard, to cultivate harmony and order in society. Even though Xunzi considers that this is an artificial construct, it seems that this tendency springs not only from what the society imposes on man, but also from the deep roots of his inborn nature. This capacity of acquiring good and beauty gives man a chance to reach self-attainment and get a superior position in the universe.

5. Conclusions

Generally, Xunzi is known as the confucian philosopher of ancient China who devised the theory of man's evil nature. Still, if his work is carefully analyzed, one can notice that there are nuances and implications which diminish his skeptical perspective and which are a proof for his profound humanism.

Along the systematic and coherent analysis done in Chapter XXIII, one can notice Xunzi's tendency to draw distinct lines between the inborn nature of man and the artificial nature, acquired by learning and conscious exertion (*wei* 伪). If desires and instincts (*qing* 情), stirred by the sense organs at the contact with the surrounding reality, belong to the innate heritage, in the same way we may say that man's ability to assimilate moral values, rules and laws, the ritual system and the cultural patterns arises also from the same inborn nature. Through learning and culture, man is able to transform his raw, unpolished nature into a refined behavior and this is possible due to his capacity to reason and assign value. Because Nature endowed him with this capacity to control and temper his inclinations, man proves

that his desire to do good is deeply rooted in his inborn nature. From the perspective of this interpretation, it may be more reasonable to say that originally, human nature is evil in as much as it is good. It is in man power to seek what is good, no matter to what level he relates. It is that aspiration to reach farther, to get more and better and that makes him different from other living beings.

Profoundly attached to the confucianist principles, Xunzi somehow exaggerates the significance of the artificial in the human nature, considering that all the ethic inclinations are acquired by conscious exertion. Thus, morality reveals itself as something constructed, very much alike the vessels and the instruments created by the potter and the carpenter. Becoming a sort of second nature for man, morality allows man to build up his destiny and form a triad together with Heaven and Earth.

With this conception, Xunzi moves the focus from the originally evil nature of man to his creative capacity which gave birth to culture, morality, rituals, very much like the creative capacity of Heaven that moulds the human nature. If we regard it in the light of this interpretation, the sentence "Human nature is evil" which is repeated several times in Chapter XXIII seem to become a pretext for the philosopher to give new arguments against this idea. Thus, he reveals once again his belief that man can save himself from a humble status in comparison with the world, because he detains the transforming power which allows to reach self-attainment and win a well-deserved position in the universe

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CONFUCIAN VALUES AND THE REVIVAL OF CONFUCIUS' THOUGHT IN CONTEMPORARY CHINA

ŞERBAN TOADER[∗]

ABSTRACT. *Confucian Values and the Revival of Confucius' Thought in Contemporary China*. The article deals with the Confucian values in the context of Confucian revival in contemporary China, on the one hand, and with Confucian thought represented by its *rang* 讓 ("soft", yielding) type values in dialogue with the Western world on the other. Based on several works by Western authors in the field, the article reviews the matters of metamorphosis and adaptation of the Confucian spirit to contemporary Chinese world, with a stress on the inclination toward communalism, apparently a constant socio-cultural feature in China.

Keywords: *Confucianism, rang ("to yield", "to concede"), communalism.*

Confucianism – regarded either as an ideology, a custom or a practice – has passed through various stages and has been met with extreme opposition. Significant quakes took place during a single century of Chinese history, even at a stage when imperial order was officially abolished (1919) and later (after 1949), in a time when this form of administration was replaced by a communist regime. Regardless, a rehabilitation of Confucius followed (after the thaw at the end of the 1970s), and Confucian thought has reached the rank of quasi-official ideology in the late 2000's after this gesture of cultural justice.

Confucius has become a brand and his name was chosen to represent the network of Chinese People's Republic cultural institutions beyond its borders. Manifestations with Confucian messages have reached an apogée during the opening ceremony for the Olympic Games organized in Beijing 2008. Meanwhile, well known mainland Chinese intellectuals were proposing political solutions inspired from

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Confucian thought (solutions that do not lack innovation or adaptability to the modern world) and Daniel Bell, the author of the book *China's New Confucianism*, first published in that same year 2008, wonders if the Chinese Communist Party will one day change its name to Chinese Confucian Party !

One of the daring and constant supporters of political Confucianism is Jiang Qing[1]. According to Bell, Jiang's Confucian solution holds not only a reformatory potential and the perspective of an alternative to the current political system, but also firm roots to shape a vernacular alternative to the political one of foreign origins, namely Western liberal democracy (Bell, 173). Jiang is an adept of Gongyang tradition (176). Another thinker who was inspired by Confucian sources is a man considered to be part of the Chinese "new left", named Gan Yang. However, he does not believe that the political ideology extracted from Confucianism is the only fertile source, but merely *one of the sources*, in a synthetic political perspective, one that does not refuse foreign ideas such as socialism. Thus he believes that the solution for China's political future is a "Confucian socialism". Contrary to other "new leftists", Gan Yang does not underestimate Confucianism on the basis of May 4th 1919 Movement stereotypes, such as incompatibility with the liberty of criticizing leaders, or modern science (178). Even though foreign ideologies are being adopted, the occurrence of Western values in opposing movements today is unlikely, considering that certain leaders of the 1989 pro-democracy movement are involved in today's movement for Confucian value revival (200).

Social democracy constructed on a Confucian historical background is not only a desire, an ideological proposal among many others. The Chinese Communist Party has already experienced with democracy at a rural level through the village community model, or *village compact* (*xianggui minyue)*, in order to maintain control in such areas and to cultivate communitarian ethics within village life by emulation, thus keeping order. This way, possible abuses from local officials could be cut back, says Ann Anagnost[2] (178-79). According to Anagnost, the concept of community in this context of post-Maoist reform does not lack historical markers. On the one hand there's the Confucian moral order and on the other there's ethic pressure from Maoist collectivism[3].

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[1] "Jiang Qing has withdrawn from the official academic system and has created a 'Confucian Academy' (*shuyuan*), in the province of Guizhou, with the help of a group of businessmen who sponsor this endeavor. His academy is organized following the example of those active during the Song and Ming dynasties, with a preference for geographic distancing from Beijing, in order to reduce central interference. The purpose is to teach classical Confucian books and to cultivate interest for political Confucianism. The daily program includes lectures of these texts during the morning, discussions in the afternoon and singing in the evening" (Bell, 188-89).

[2] Anagnost, Ann – "Socialist Ethics and the Legal System", in Wasserstrom, Jeffrey N, Perry, Elizabeth J. (Editors) (1992), 177-205.

[3] "These models promote the reconstruction of the 'ethical community' threatened by the divisive forces unleashed by the economic reforms. This emphasis on community has historical resonance with the Chinese past, both with a Confucian moral order and a Maoist collective sensibility, but its present significance must be placed in the context of China's current dilemmas. I argue that 'community' is a key factor in the post-Mao construction of socialism in that it offers an 'alternative modernity' against the destruction of community implicit in capitalist development" (Anagnost, 179).

The idea for a village community has emerged in parallel with the rise of neo-Confucianism in the eleventh century. Its purpose was that of administration and ideological education by rituals. *Rang* values, the basis of the institution, involve mutual support, respect toward the elderly, promoting good deeds and so on. Disrespecting these values would lead to the loss of one's face, an efficient type of social penalty which involved moral pressure exercised by the community (187-88). The post-Maoist village community could be viewed as analogous with eleventh century events and later on, with events in the 1930s[4], with regard to Confucian thought. Nevertheless, during the period of reforms (late 1970s), therefore not in a very distant past, and even in the debut of the 1990s, Confucian tradition is called upon only implicitly, considering that historical records of the village community model are not being mentioned. Thus we are dealing with a form of crypto-Confucianism at this point (188-89).

It is a fact today that the entire Confucian culture could not be physically suppressed (with the incineration of books by the first emperor for instance), morally killed (during the Cultural Revolution), nor surpassed by recent political ideologies. Simultaneously, daily behavior seems to be embedded in hardcore Confucian ritual values (*rang, ren* 仁)[5], despite all social changes which could be regarded either optimistically, as gestures of emancipation, or, pessimistically, as threats. We refer to these values as they would be transmitted by books (which could be regarded as norm), but also values perpetuated from one generation to another. We dare to say that despite the anti-Confucian branding during the Cultural Revolution (challenging immediate authority – parent, teacher), common activities such as singing, regarded as

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[4] "Attempts to revive the pact as a means of national renewal through local self-government were made by the Neo-Confucian visionary Liang Shumin in the 1930's. The pact's purpose was to 'scrutinize and perfect each person's moral character'. But at this point the compacts were not just aimed at the creation of the ethical community; they were also envisioned as an effective force for modernization by providing the organization for mass mobilization and political participation" (Anagnost, 188).

[5] Bell sees and equivalent of the village ceremonies described by Xunzi in the drinking parties that teachers and students attend. During these reunions, the student lets the teacher have the first sip out of the glass: "For example, in drinking sessions (the modern equivalent, perhaps, of Xunzi's account of village wine ceremonies) the student typically serves the professor and refrains from drinking before the professor, even if both parties have had a fair amount to drink. Such ritulas are meant to show reverence for the ideal of commitment to learning (the pursuit of truth, in Western terms) and respect for those who have demonstrated lifelong commitment to that goal" (Bell 2008, 48). We should mention that despite Bell's tendency to describe through anecdotes, his descriptions are worth great consideration due to their keen observation and intuition. Here is what he has to say about the dinner served in common: "Communal dishes are placed at the center of the table, and healthy adults are often reluctant to be the first to start and the last to finish. They are supposed to constrain their own desires and let others indulge (the Chinese character *rang* best expresses the idea of appropriate mealtime behavior). Typically, the elderly are supposed to go first, and children are conditioned at a young age to defer their gratification and not dive right into the communal food. The idea is to pay homage to the ideal of filial piety as well as to train children in the art of *rang*. In contemporary China, the practice may be breaking down due to the 'little emperor' syndrome of single-child families, but many families still criticize children who act 'selfishly' at mealtime" (49).

a virtue, and eating from a common bowl, reveal another side of a Confucian behavior. One could say that communism has been only superposed upon a pattern already established by a pre-existent communalism. This leads us to the statement that we are dealing, if not with several forms of Confucianism, with at least a particular form, developed and perpetuated to more than one level (academic, political, social), in which case suppressing one level does not necessarily involve the neutralization of all the others.

The debut of economic reform and China's opening to the world (1978) have stimulated creativity, initiative and competition but have also generated pragmatic and individualist attitudes. Not even the ideology of the single party would matter in this context as a basis for social norm, and Confucian teaching is not assimilated as a norm recommended by upper social classes, nor forbidden due to its subversive potential after the thaw[6].

Therefore, for more than two thousand years, Confucian tradition has tuned political, social and esthetic behavior in order to reaffirm the essential layers. Sure enough, an autochthonous Daoist tradition on the one hand, and an imported tradition (Buddhism) on the other, were critical points for the development of the Chinese world. Separating the three traditions though is not as fortunate as one might think: there is a synthesis between them and a complementary exchange. Since the funding of the Republic (1911) up to the proclamation of the People's Republic (1949) and in the period that followed the birth of the P.R. of China, the cultural heritage of Confucianism receives successive blows. In the first instance we have a weakened and inert China, still lingering in a dark era for two reasons: the political decline of the non-Chinese dynasty Qing and the pressure exerted by foreign empires. Being anti-Confucian in this situation equals blaming the prior generation or the entire succession of earlier generations, for the social drift and humiliation in present times. We thus believe that this anti-Confucianism was strictly contextual. For instance, Confucian classics have been put aside in favor of day to day speech literature (*baihua*). At the same time the study of classics was being blamed for social immobility.

This type of cultural movement is different from dogmatic, state anti-Confucianism promoted during the rule of Mao Zedong. It is thus much different from what we term Confucian renewal, supported by state in this period of the late 2000's. This paradoxical metamorphosis raises the following question: will the future bring an anti-Confucian movement as soon as the Confucian reconstruction reaches maturity, perhaps a form of anti-Confucianism that we could not imagine today ?

Resuming the discussion about anti-Confucian radical movements, one could say that following the Communist regime instauration, the ideological anti-

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[6] In the early 1990's at a conference held in front of an audience composed of Sichuan University students, in Chengdu, the Chinese writer Han Suyin, from the Diaspora, recommends the young participants to renounce all dogmatic and stereotypes, using ironically the famous formula *Zi yue* („Confucius says"). Who would have thought then (such a short time ago still) of what Confucius' concepts would become in the year 2008 ?!

Confucian battle was explicit (campaigns militating against Confucius). According to James T. Watson[7], there were not one, but two or maybe three attempts to break from the old order:

> Since 1949 the Chinese people have experienced two or three traumatic attempts to destroy key elements of their "traditional" (i.e., pre-socialist) culture. Closely associated with these movements have been state-sponsored campaigns to construct competing versions of a new socialist culture – the most notable being the Great Proletarian Cultural Revolution launched in 1966. An earlier and in some respects more far-reaching campaign to obliterate the old and fabricate the new occurred during the Great Leap Forward (1958-1960). China's pre-socialist culture was, and to a certain extent still is, a very difficult nut to crack. (Watson, 70)

Thus the social leveling that took place during the rough periods of the People's Republic has not led to the disappearance of Confucian values. One of the explanations is that in these very conditions, a certain Confucian-inspired ethics can be read between the lines, having a superficial layer of socialism. Maoist equalitarianism could thus be regarded as an extremity of one that already existed, perceived through the lens of traditional morals. This raises the problem of identity and of cultural continuity.

While we could not state that we were dealing with a coherent whole named *Confucianism* in pre-republican times, we likewise can't say that the opposing movement was purely a rebellion against Confucianism. An explicitly anti-Confucian movement (or rather an anti-Confucius movement) had taken place later, as I have shown.

The matter is being treated in diverse terms, based on either the unity of Chinese writing, or on the continuity of the autocratic system capable of maintaining state but also cultural unity through a complex bureaucratic machine. James T. Watson believes that cultural identity is based on two interconnected elements: the common oral tradition and the central role played by ritual (Watson, 71). The latter refers to a set of rituals performed for various passings that take place in people's lives, common to the Sovereign as well as to commoners. Concerning funeral rites, Watson says based on ethnographic data, that their basic elements were similar throughout the empire and that local variations to the rites did not break this unity (73).

In order to keep this unity, imperial officials were involved in standardizing the funeral rites and the norms established for these practices were published in manuals and thus distributed to all corners of the Empire (74). This does not involve a formal obligation though. Here the norm is complementary with the recognition and adoption of the rites by commoners and with the rigor with which they are performed and transmitted. *Li* 禮, the ritual, is being mistaken with order, and loss of the *li* is regarded as a loss of order. According to Watson, *li* is a key term in day

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[7] Watson, James L. – "The Renegotiation of Chinese Cultural Identity in the Post-Mao Era", in Wasserstrom, Jeffrey N, Perry, Elizabeth J. (Editors) (1992), 67-84.

to day life of some Chinese people that know little about Confucius' or Zhuxi's teachings consciously. They are Confucians because they realize the importance of *li* and they practice it. According to philosophers and civil servants, Cantonese peasants that Watson refers to represent a third hypostasis of the Confucian spirit, where *li,* the ritual*,* means order, social and cosmic game (74-75). We must note that the imperial period did not bring a normative pressure exerted vertically[8], from officials to peasants: the officials were also forced to embrace funeral rites practiced by the peasants (76). *Li* as regarded by the latter is not an abstract philosophical concept, it refers to the concrete process of living in the community. The opposite of *li* is thus more concrete: *luan* 亂, that is to say chaos, embodies all that is noxious to the community: famine, violence, and so on.[9] (75)

Neither the behavior of political figures nor the way in which the system works do not seem to break from the Confucian tradition of civil work including its side effects: bureaucracy, gifts consisting of money (bribery), the ritual meant to regulate hierarchies and consolidate prestige (or disgrace) for certain people and so forth.

Apart from discussing the resistance against internal movements that dispute tradition, the question of perpetuating Confucian values in modern day China is also raised from the perspective of Western lifestyle culture breach (with its values and mimicry). Chinese communal values are confronted with the notion of individual rights. Such a confrontation generates political conflict as well, concerning the Western set of socio-political values and the Chinese world, open to external view points, but not so much converted to Western political criteria. We must again consider the pressure exerted by Western lifestyle in order to illustrate local values through contrast.

Beyond the barren (pragmatic and cynical) dialogue within governance and beyond the human rights protests, there exists an academic dialogue, where the compatibility of Western values (individual rights in particular) with Chinese lifestyle within a *jia* 家 (family) unit or a large collectivity is being analyzed. Are human dignity and mutual respect diminished within such units ? Here is what Craig K. Ihara[10] has to say about it in an article entitled "Are Individual Rights Necessary ?":

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[8] Radical substitutions of systems attract equal changes: one of the agrarian measures adopted after 1950 was the confiscation and redistribution of cultivation rights on commonly owned fields and which financed rituals for ancestors. Moreover, the introduction of incineration has been a new blow for the funeral custom: remains of their forefathers would have to be dug up at some point, preserved in ceramic vessels and reburied in semicircular tombs (with the shape of a horseshoe). According to their beliefs, ignoring this custom makes the exchange relationship between the living and their deceased impossible (Watson, 76).

[9] "If the ritual went awry or was not completed in the appointed time, disaster was certain to follow, not just for the bereaved, but for the entire community (Watson, 75)".

[10] Ihara, Craig K. – "Are Individual Rights Necessary ? A Confucian Perspective", in Shun, Kwong-loi, Wong, David B. (Editors) (2004), 11-30.

Herbert Fingarette has another related way of describing human equality and value in Confuciansim. In his book, *Confucius: The Secular as Sacred*, Fingarette likens the Confucian conception of human life to a sacred ceremony. Human beings are like "holy vessels" because they have a role in that ceremony. It is important to see, as Fingarette takes pains to point out, that human beings have an intrinsic value, not because they are individual right-bearers, but because they are constitutive parts of an intrinsically valuable whole. Human beings have value, not because they are individuals, but because they are interrelated. To use another image of Confuciansim, one very close to Fingarettes's notion of a sacred ceremony, life is like a sacred dance in which we all have parts to play (…). Human beings deserve respect because they are participants in the sacred dance of life as beings who have roles, such as those of a child or parent, and capacities to relate to one other in characteristically human ways. (24)

Henry Rosemont Jr. published a Confucian critique of Western liberalism within the same volume as Ihara[11]. Avoiding a net distinction between "solely autonomous individuals" and "solely social beings", he asserts the existence of individuals as "co-members of a human community". When presented with the question of whether human rights have ever been outlined in Confucian writings, Rosemont does not offer a trenchant (yes/no) answer, but one that is bivalent (yes and no), bringing the matter to the source of judgment with which he operates: the attribute of member of a human community. In the debut of the fifth chapter of his article ("A Confucian Response"), Rosemont writes:

Against this background let me quicly sketch my answer to the question whether precursors of the concept of human rights – and derivatively, democracy – may be found in classical Confucianism. Unsurprisingly, my answer is "yes and no". It is "no" if the most basic rights are seen as civil and political, grounded in the view that we are autonomous individuals, but it is "yes" if our most basic rights stem from membership in a community, with each member assuming a measure of responsibility for the welfare of all other members. I do not believe much argumentation is necessary to establish that the classical Confucians did not focus on the individualism of human beings. (59)

To support his claims the author mentions the basic concepts of Confucian thought as follows:
- *ren*, supreme concept concerning the quality of humanity, it only becomes active in mutual human relations (if necessary we could add that *ren* is not an abstract concept, that it does not refer to another world than the real one);
- *li*, (ritual) necessary for cultivation oneself and for preserving social order, it has a communal/collective nature;
- *xiao* 孝, (filial piety) – whether alive or not, parents are the object of filial piety; their memory preserved with piety is consonant with Confucian values;

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[11]Rosemont, Jr., Henry (2004) – "Whose Democracy ? Which Rights ? A Confucian Critique of Modern Western Liberalism", in Shun, Kwong-loi, Wong, David B. (Editors) (2004), 49-71.

in extension the actor is human not because he abstractly contemplates humanity, but because he assumes the role of husband/wife or a friend or neighbor. It is not simple interaction with others, but care extended beyond the context of family. According to Rosemont, the concept of responsibility toward others (attention plus aid) could be recognized in very old writings: *Shujing*; and also, *Lunyu* are abundant in such teachings.

In short, the Confucian perspective does not regard individuals as autonomous, but rather as relational persons, as integrated parts of the community, morally, politically, aesthetically and so on (Rosemont, 62-63). Man becomes human as soon as he understands that he is surrounded by others with which he forms or could form a community. Man is destined to associate with others.

Besides the world of the living, the world of the deceased is in a ritual continuity with our world. As Rosemont puts it:

> All the specific human relations of which we are part, interacting with the dead as well as the living, will be mediated by the courtesy, customs, rituals, and traditions we come to share as our inextricably linked histories unfold (the *li*). By fulfilling the obligations defined by these relationships, we are, for early Confucians, following the human way (…). By the ways in which this ethical interpersonal conduct is effected, with reciprocity, and governed by civility, respect, affection, custom, ritual and tradition, our lives will also have an aesthetic dimension for ourselves and for others. And by specifically meeting our defining traditional obligations to our elders and ancestors on the one hand, and to our contemporaries and descendants on the other, the early Confucians offer (…) a human capacity to go beyond the specific spatiotemporal circumstances in which we exist, giving our personhood the sense of humanity shared in common (…). (Rosemont, 63)

In other words, the message of early Confucianism is endowed with universal potential beyond the socio-political context (whose obligations we execute with rigor and without pause).

Rosemont also perceives the famous words of Mao Zedong – *wei ren min* 為人民 , "for the (good of the) people" – as a continuation of the pro-human Confucian ideal. But this is not an explicit affiliation, but rather an "abuse", according to Rosemont (62). In this case Confucian values have been taken out of the context and put into a different one (proletcultism), with the cult of personality and mass manipulation in the background.

Thirty years after the Maoist era, the contextualization of Confucian values – from a political point of view – seems to be a question of practical resolve in contemporary China: the scenario of the Olympic Games ceremony in Beijing included an explicit message in this sense. Through theatrical methods, the symbol of *he* 和 ("peace", "harmony") was shown to the world with reference to the favorite motto of the Chinese president Hu Jintao – *hexie shehui* 和諧社會, "harmonious society". It is thus clear how Confucian values are not only subject to

debate and renewal (at an academic level), but also recommended and endorsed from the highest position in China:

> "Confucius said, 'Harmony is something to be cherished'," president Hu Jintao noted in February 2005. A few months later, he instructed China's party cadres to build a "harmonious society" [*hexie shehui*]. Echoing Confucian themes, Hu said China should promote such values as honesty and unity, as well as forge a closer relationship between the people and the government. In March 2007, the prime minister, Wen Jiabao – regarded as relatively liberal – made even more explicit references to tradition: "From Confucius to Sun Yat-sen, the traditional culture of the Chinese nation has numerous precious elements, many positive aspects regarding the nature of the people and democracy. (…)". (Bell, 9)

Returning to the academic field, we must convey that the discussion concerning Confucian values is not exclusively conceptual (in politics some concepts become slogans: i.e. "harmonious society"). Regarding Confucianism as a mentality, we not only discover well kept values, but side effects and degenerative elements as well. The volume edited by Shun and Wong also contains an article by David B. Wong himself, who contributes to the development of the *rights vs. community* debate with an article entitled "Rights and Community in Confucianism"[12]:

> (…) a communal grounding for a right to speech could be made within a contextualist and postmodernist interpretation of Confuciansim, provided that such an interpretation still leaves room for criticism of the tradition. Hall and Ames, well known for their postmodernist interpretation of Confucius and for their vigorous defense of him, nevertheless observe that "The most serious failings of Confucius's philosophy are due to the provincialism and parochialism that seem inevitably to result from the institutionalization of this thinking." This parochialism, they charge, retards "cross-cultural communication" and fosters abuses that cross the "fine line that keeps social order beginning at home separate from nepotism, personal loyalties from special privilege, deference to excellence from elitism, appropriate respect from graft", and, finally, "appropriate deference to the tradition and a cultural dogmatism that has too frequently been in the interest of particular groups". In the spirit of such criticism, one could argue that an appropriate remedy for these failings is recognition and vigorous protection of rights to free speech and dissent. (37)

It is still Henry Rosemont that attributes extended potentialities of interpretation and application to Confucian thought, at a great distance in space and time from the early sources. Here is how he evaluates the universal values held by the Confucian message:

> (…) the language of Confucian discourse is rich and varied, permitting me to eulogize a Martin Luther King; it allows me a full lexicon to inveigh against the Chinese government for its treatment of Han Dongfang, Falun Gong members, and others and against the Indonezian government for the horrors visited on the

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[12] Wong, David B. – "Rights and Community in Confucianism", in Shun, Kwong-loi, Wong, David B. (Editors) (2004), 31-48.

East Timorese people. I not only can express outrage at the rape of Bosnian women and the NATO/U.S. bombing of Kosovo and Serbia but also petition the Government of Pennsylvania to grant a new trial to Mumia Abu Jamal. I can, in sum, fully express my moral sentiments in any democracy without ever invoking the language of first-generation human rights. (64)

In other words, penalizing the governance is possible on the basis of Confucian spirit, whether we are speaking of modern day China or Western states or alliances, without using the language of the classics of Western thought ("John Locke, Adam Smith and their successors"). But considering the cultural amplitude of China and the presumed universality of Confucian political morality it is recommended to turn to Confucian, Mencian and Xunzian writings. Rosemont states that the Chinese world defines itself with the terms kinship and community and it does not perceive itself as a society composed of members with individual rights (64). Here, Rosemont's passage to Chinese sources is somewhat abrupt: between political and moral practice (individuals being either agents or patients) there is an intermediary link – orally transmitted values and those assimilated through imitation and repetition. This is due to the fact that where kinship and community are concerned, there is an implicit tendency toward interpretation through a father-son (master-student) relationship.

Rather we are dealing with an indistinct baggage, a *transmission* (*tradition*) of this baggage without separation markers for each article that it contains. Thus with the passing of time from Confucius and Lao zi, until the present day, some of the articles in this baggage may have disappeared, have experienced a metamorphosis and new ones emerged. It is not indicated to speak in terms of "pure Confucianism" and exclusively use classical texts in order to define the Confucian identity of the present day Chinese. Confucius himself is an innovator and self cultivation is a creative process in Confucian terminology – which does not exclude "tradition" (= canonic writings + living models for imitation), but which is extracted from tradition. According to Kupperman[13]:

The point is not merely that creative things can be done with (and within) a tradition. It is also that it is impossible (or at least virtually impossible) to do creative things without a tradition. The creativity that is important in developing a self (…) will always occur within a context (supplied by tradition and by the surrounding community), which will provide themes, the beginnings of elements of style, perhaps menus of options, and quite possibly loci of resistance. (122)

Based on what was stated above we could summarize the elements that sustain Confucian moral and personal development as follows:
- reading canonic texts;
- imitating patterns, especially the paternal model;

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[13] Kupperman, Joel J.– "Tradition and Community in the Formation of Character and Self", in Shun, Kwong-loi, Wong, David B. (Editors) (2004), 103-23.

- a creative approach toward the two above mentioned means; we must keep in mind that reading classical texts is not accessible to all and the only means of value transfer could be, and in numerous cases is, the pattern of authority (parents or mentors).[14]

Returning to – and concluding with – Daniel Bell, one must stress that he speaks of Confucius as a contemporary figure, trenchantly assuming the role of commentator, and thus validating the vocation for adaptation of the Confucian thought. Not only does Bell try to view the contemporary Chinese world through Confucian values (in foreign policy for instance, he wonders in which circumstances should China become involved in a conflict beyond its borders), he also speaks of maximizing China's efficiency and equilibrium in the context of the new Confucian development and of the cultivation of family and small community values such as solidarity. His ideas are pertinent and are expressed with full knowledge of the case. Unlike the above mentioned authors, Bell operates with visible notions of Confucian thought, for instance "the ritual" *li*, or "the yielding", *rang*. He ignores the cosmic vocation of Confucianism, limiting his considerations to the socio-political sphere. For example: to the ritual (*li*) and the deferent yielding (*rang*) he attributes a simple functionality of establishing solidarity between the young and strong, and the old and weak. The following passage speaks for itself:

> (…) Particular rituals can instill habits that can have beneficial habits in other spheres of life. For example, the norms of humility and deference at mealtime may produce the sorts of emotional disposition that lead children to be more sensitive to the interests of the elderly once they become productive adults. There is, then, a need to consider ways that maximize the good consequences of rituals – meaning that they serve to protect the interests of the weak and the vulnerable to the greatest possible extent – and to minimize the bad ones. (Bell, 51)

Bell also believes that the ritual has civilizing potential, capable of transforming the spirit of competition and aggressiveness, placing the confrontation in a field where the winner does not suppress nor humiliate the loser, but is rather tolerant toward him. For illustration, Bell uses a passage from the *Analects*, where the "Gentleman" (*Junzi* 君子) is described during a competition (Bell, 54). Here is how a competitor from another epoch and a different cultural space could become a Gentleman in the ring.

It is obvious that Bell's ordaining approach turns the Confucian message – showing interest not only for Confucius, but for Mencius and Xunzi – into an animated thought which could be fructified today as well as it ever was in the past.

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[14] "It is plausible to say that, in Confucius' view, the greatest contribution parents can make to the ethical education of young children would be to make them want to become people of an ethically developed sort. Adult goodness, in this view, typically owes a great deal to imitation, as well as to habituation that may be reinforced by management of pleasure and pain. Implicit in the Confucian model is that tradition and community values enter the lives of young children primarily through their parents" (Kupperman 108).

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„GLÜCKSELIG IST DER WEISE, WEISE IST DER GLÜCKSELIGE": ZU EINER VERGLEICHENDEN SOTERIOLOGIE VON NEOKONFUZIANISMUS UND NEUPLATONISMUS

LUKAS POKORNY[*]

ABSTRACT. *„Blissful is the wise, wise is the blissful": on a Comparative Soteriology of Neo-Confucianism and Neo-Platonism*. The article compares soteriological patterns of thought in the teachings of the eminent Korean Neo-Confucian scholar Yi I [Yulgok] (1536-1584) and the Jewish philosopher and poet Salomon ibn Gabirol [Avicebron] (1021/22-1058/70), thereby revealing a multitude of doctrinal similarities. After some short general remarks on the term "soteriology", and an introductory part, the author introduces both protagonists. The following chapter tersely deals with the basic ontological notions of *i* 理, *ki* 氣, *forma universalis*, *materia universalis*, *sim* 心 and *intelligentia* from a comparative perspective. This serves as a necessary means to answer the question about what "salvation" is and how it is obtained according to the teachings of Yulgok and Gabirol. It will be shown that in spite of the different applied doctrinal parameters and the divergent cultural, temporal, local and philosophical setting, both teachings display parallel functional patterns of thought.

Keywords: *Neo-Confucianism, Neo-Platonism, Yulgok, Gabirol, Soteriology.*

1. Formalia

Die Transkription des Koreanischen folgt der standardisierten Umschrift nach McCune-Reischauer. Das Chinesische wird nach *hànyǔ pīnyīn* 漢語拼音 romanisiert. Die Umschrift des Hebräischen folgt der deutschen Norm DIN 31636 von 2006. Bei der Zitierung der Quellentexte werden die Werktitel mit folgenden Akronymen versehen:

> *fons vitae*…FV
> *yulgok chŏnsŏ il* 栗谷全書 一…YC1
> *yulgok chŏnsŏ i* 栗谷全書 二…YC2

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2. Begriffliche Klärung

Der Begriff „Soteriologie" ist eine Zusammensetzung der altgriechischen Terme σωτήριον, Heil, und λόγος, Lehre, und bezeichnet ursprünglich die christlich-theologische Lehre des Erlösungswerks Jesu Christi. Im religionswissenschaftlichen Kontext wird der Begriff zur Kennzeichnung aller religiösen Heilslehren verwendet, ungeachtet eines gegebenenfalls doktrinell-verorteten transzendenten oder innerweltlichen Heilsverständnisses. Das Heil ist das von einem Menschen im Rahmen seiner religiösen Vorstellungswelt bzw. Praxis angestrebte Endziel als *homo religiosus*, welches eine – individuell beschaffene und als letzte erreichbare Stufe religiösen Handelns verstandene – Transzendierung eines kognitiven, emotionalen, spirituellen und volitionalen *status quo* markiert.

3. Einleitung

Jedwedes religiöse Diskurssetting beruht wesentlich auf einem Heilsentwurf *qua* Agens individueller doktrinkonformer Lebensgestaltung und Weltauffassung. Die Aussicht auf ein potentiell erreichbares finales Heil dient demgemäß als hehre Motivation religiöser Bezüglichkeit. Sich seines prosaistischen Selbstverständnisses zu entledigen, der Nüchternheit und Einsamkeit physisch-psychischer Abgeschlossenheit zu entfliehen, und/oder sich aus der Schlichtheit des Weltganzen in Sphären verstandentfesselnder Klarsicht emporzuheben, bilden den Kulminationspunkt religiöser Praxis und Selbstentfaltungsbestrebungen. Dass derlei Zugänge auch in Neokonfuzianismus und Neuplatonismus die zentrale lehrmäßige Instanz darstellen, versucht die vorliegende Studie in vergleichender Manier anhand der Soteriologien zweier exemplarisch gewählter Exponenten jener beiden Denksysteme zu beleuchten. Der kontrastierende Ansatz verdeutlicht trotz der Implementierung unterschiedlicher doktrineller Parameter zudem, gleichgeartete soteriologische Verständniskategorien, die die Heilsverheißung als eminentes Charakteristikum im Spektrum religiöser Weltanschauungsvielfalt akzentuieren.

4. Die Protagonisten

4.1. Yulgok (1536-1584)

Der *Chosŏn*[1]-Gelehrtenbeamte *Yi I* [*Yulgok*[2]] 李耳 [栗谷] wurde am 26. Dezember 1536 in eine *Yangban*[3]-Familie im heutigen *Kangnŭng* 江陵 in der Provinz *Kangwŏndo* 江原道 geboren. Er gilt neben *Yi Hwang* [*T'oegye*] 李滉

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[1] Konfuzianisch geprägte koreanische Dynastie (1392-1910).

[2] Den Schriftstellernamen „Yulgok" erhielt Yi I 1573 in Anlehnung an seinen Studienort. Im Rahmen der Untersuchung werde ich diesen aufgrund seiner Gängigkeit als Personenbezeichnung beibehalten.

[3] Aristokratische Oberschicht in *Chosŏn* 朝鮮.

[退溪] (1501-1570) als der bedeutsamste Vertreter des koreanischen Neokonfuzianismus, *sŏngnihak*[4] 性理學. Bereits in frühen Jahren soll er seine Zeitgenossen durch äußersten Scharfsinn und seine Belesenheit verblüfft haben. Noch im Knabenalter von zwölf Jahren absolvierte er das erste Examen des Beamtenprüfungssystems (YC2 35.2b-35.3a: 342). Schließlich trat er 1564 in den Beamtendienst ein und bekleidete bis zu seinem frühen Tod am 16. Jänner 1584 zahlreiche politische Führungsämter. So wirkte er u. a. als Minister für das Steuerwesen, *hojo p'ansŏ* 戶曹判書, Minister für das Justizwesen, *hyŏngjo p'ansŏ* 形曹判書, oder Minister für das Kriegswesen, *pyŏngjo p'ansŏ* 兵曹判書 (YC2 35.36a-35.39a: 359-360). Yulgoks Interessen waren breit gefächert, weshalb er sich zeitlebens gleichermaßen mit politischen, wirtschaftlichen, gesellschaftlichen, pädagogischen, rechtlichen, literarischen, religiösen und philosophischen Themen auseinandersetze (Hwang 1996: 752) und infolge ein umfang- und wirkungsreiches Schrifttum hinterließ. Yulgoks Einfluss auf die Weiterentwicklung des koreanischen Neokonfuzianismus war beträchtlich. Seine Lehre, *yulgokhak* 栗谷學, war entscheidend für die Etablierung der „Schule von *Kiho*", *kiho hakp'a* 畿湖學派, die neben der „Schule von *Yŏngnam*", *yŏngnam hakp'a* 嶺南學派, den tolerierten Mainstream innerhalb der *sŏngnihak* repräsentierte (Yi 1986: 258-259). Die Essenz seines religiös-philosophischen Lehrgebäudes lässt sich zum einen aus seinem Hauptwerk, dem *sŏnghak chibyo* 聖學輯要, „Sammlung des Wesentlichen zur Lehre der Weisen", 1575, zum anderen dem Briefwechsel mit *Sŏng Hon* [*Ugye*] 成渾 [牛溪] (1535-1598) zur 4-7-Debatte, *sach'il nonpyŏn*[5] 四七論辯, entnehmen. Die Skizzierung Yulgoks soteriologischen Denkens stützt sich auf beide Schriften.

4.2. Gabirol (1021/22-1058/70)

Salomon ben Jehuda ibn Gabirol[6], hebräisch *Shelomoh ben Yehudah ibn Gevirol*, wurde vermutlich zwischen 1021 und 1022 in eine wohl situierte jüdische Familie im andalusischen Málaga geboren. Biographische Daten zu seiner Person

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[4] *Xìnglǐxué* 性理學 (chin.) oft als Synonym mit *chujahak* 朱子學 bzw. *zhūzǐxué* (chin.) oder *chŏngjuhak* 程朱學 bzw. *chéngzhūxué* (chin.) in Gebrauch. Gemeint ist die auf *Zhū Xī* [*Huìān*] 朱熹 [晦庵] (1130-1200) und seine Vorgänger wie *Chéng Yí* [*Yīchuān*] 程頤 [伊川] (1033-1107), *Zhāng Zǎi* [*Héngqú*] 張載 [橫渠] (1020-1077) oder *Zhōu Dūnyí* [*Liánxī*] 周敦頤 [濂溪] (1017-1073) zurückgehende Strömung der neokonfuzianischen Lehre (Huang 1999).

[5] Die 4-7-Debatte ist ein Gelehrtendisput zu Themen wie Ontologie und philosophischer Anthropologie, der sich in einer beispiellosen ideologischen Strenge bis zum Ende der *Chosŏn*-Zeit fortsetzte.

[6] Erst 1859 gelang es dem deutschen Orientalisten Salomon Munk (1803-1867) die Identität Gabirols, dem prominenten vermeintlich muslimischen oder christlichen Gelehrten Avicebron zuzuweisen. Weitere Varianten des verballhornten latinisierten Namens sind Avicembron, Avencebrol, Albenzubrun u. a..

sind nur spärlich vorhanden. Gabirol wuchs in Saragossa auf und soll bereits in frühen Tagen eine umfassende Bildung genossen haben. Nach dem Tod seines Vaters fanden sich rasch großzügige Gönner an seiner Seite, die sein außerordentliches dichterisches Talent förderten. Der Tod des Mäzens *Yeḳuti'el ben Yitsḥaḳ ibn Ḥasan* im Jahr 1039 bedeutete für Gabirol einen gesellschaftlichen und finanziellen Rückschlag. In seinen lyrischen Reflexionen beklagt er zudem seine kränkelnde Konstitution und sein unansehnliches Äußeres, was aus Gabirol einen spinösen und hitzigen Charakter geformt haben soll. Um 1045 soll er seine Heimatstadt Saragossa wahrscheinlich in Richtung Granada verlassen haben. In weiterer Folge verliert sich Gabirols Spur, auch die Umstände, die zu seinem Tod in València führten sind unbekannt. Die Datierung seines Todesjahres ist viel diskutiert und wird gemeinhin um 1058 (z. B. Schlanger 1968: 10) oder 1070 (z. B. Loewe 1989: 23) angesiedelt. Gabirols poetische Hinterlassenschaft ist umfangreich und beläuft sich auf mehr als 500 Werke. Hinzu sollen nach Gabirols eigener Aussage noch zwanzig Schriften ethischer bzw. philosophischer Natur treten (Bargebuhr 1976: 60), allerdings sind nur drei von diesen, darunter sein *opus magnum*, das *fons vitae*[7], hebräisch *meḳor ḥayyim*, überliefert. Gabirol verfasste sein Hauptwerk in arabischer Sprache, doch sind von diesem und einer hebräischen Übersetzung nur mehr Fragmente vorhanden. Die Wirkung seiner im *fons vitae* entwickelten Weltanschauung entfaltete sich durch eine vollständig erhaltene lateinische Übersetzung aus dem 12. Jahrhundert insbesondere in der Scholastik, wo sie großen Einfluss auf Denker wie Thomas von Aquin (~1225-1274) oder Vitalis de Furno (~1260-1327) hatte. Für die jüdische Religionsgeschichte ist das Werk von geringerer Bedeutung, zumal Gabirol auf jeglichen Verweis zu rabbinischer Literatur verzichtet (Guttmann 1979: 39-65). Das *fons vitae* bildet den textuellen Fundus meiner vergleichenden Überlegungen.

5. Eine vergleichende Soteriologie

5.1. i und ki, forma universalis und materia universalis

Im Zentrum des neokonfuzianischen Diskurses stehen spekulative Überlegungen zum Verhältnis zweier ontologischer Entitäten: *i* 理 und *ki* 氣. Die Lesart ihrer Relationalität fundiert nicht nur sämtliche kosmologische oder kosmogonische Reflexionen, sondern organisiert zur Gänze den Zugang zu allen vorhandenen Wissensbereichen, weshalb auch eine Diskussion über soteriologische Anschauungen *nolens volens* mit einer Erörterung des Ontologieverständnisses beginnen muss. Yulgok entwickelt in seinem Denksystem eine eigene Deutung dieses ontologischen Nexus. Er bewegt sich dabei innerhalb des tolerierten Interpretationsspielraums respektive in Rückblick auf die lehrmäßige Orthodoxie (Pokorny 2009: 4). „*I* 理 und *ki* 氣 sind Vater und Mutter von Himmel und Erde, und Himmel und Erde sind

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[7] Zu Deutsch „Lebensquelle".

wiederum Vater und Mutter der Menschen und der Dinge"[8] (YC1 10.3a: 197). Die beiden Entitäten *i* 理 und *ki* 氣 besitzen eine genuin existenzgenerierende Funktion, sind die ursächlichen Faktoren der Gesamtheit des Seins. Die Totalität des Kosmos schöpft sich nicht nur aus der Verbindung von *i* 理 und *ki* 氣, sie ist diese Verbindung *per se* (Pokorny 2008a: 66). „*I* 理 ist über der Form, *ki* 氣 ist unterhalb der Form"[9] (YC1 10.12a: 202), *i* 理 ist jenseits von materieller Beschaffenheit oder manifester Gestaltung, außerhalb von Raum und Zeit, derweil sich *ki* 氣 innerhalb des „umspannenden formalen Arrangements befindet" (Pokorny 2008b: 66), es ausfüllt und dinglich konkretisiert. Aus ontologischer Perspektive fungiert *i* 理 als „transzendente Blaupause", präfiguriert den Kosmos als Ursache des Soseins. Es determiniert den Sollzustand des Seins *in abstracto*. *Ki* 氣 ist demgegenüber das individuierende Prinzip und konkretisiert die Fülle kosmischer Existenz als verdinglichender Agens von *i* 理. *Ki* 氣 ist Weltimmanenz in ihrem Sosein und ihrer prozessualen Entfaltung. *I* 理 ist deren Muster und Struktur oder schlicht die Syntax des Kosmos. „Ohne *ki* 氣 kann nichts emanieren, ohne *i* 理 gibt es nichts wodurch es emaniert"[10] (YC1 10.5a: 198).

Gabirols ontologisches Denken beruht auf der Vorstellung, dass jedwedes Sein aus der Verbindung zweier Entitäten besteht: *forma universalis* und *materia universalis*. Gleich Yulgoks Verständnis von *i* 理 und *ki* 氣, generieren auch *forma universalis* und *materia universalis* das Sein in all seinen Ausprägungen. Mehr noch, beide Entitäten sind in ihrer Einsheit nicht nur Schöpfungsprinzip, sondern das Sein an sich. „Freilich ist [die Essenz des universalen Seins] vielfach. Aber auch wenn sie vielfach und verschieden ist, so kommt sie doch in zwei Dingen zusammen, durch die sie gehalten wird und ein Sein hat. Was sind diese zwei? Die universale Materie [*materia universalis*] und die universale Form [*forma universalis*]. Wie aber kommt alles, was ist, in diesen beiden zusammen? Weil diese beiden Wurzel für alles waren und aus ihnen, was auch immer ist, erschaffen worden ist."[11] (FV I.5, 7)[12]. *Forma universalis* und *materia universalis* sind gleich *i*

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[8] „[…] 理氣爲天地之父母, 而天地又爲人物之父母矣".

[9] „理, 形而上者也, 氣, 形而下者也".

[10] „非氣則不能發, 非理則無所發".

[11] „Multiplex quidem est. sed etsi sit multiplex et diversum, tamen convenit in duobus quibus sustinetur et habet esse. Quae sunt illa duo? Materia universalis et forma universalis. Quomodo autem totum quod est convenit in his duobus? Quia haec duo sunt radix omnium et ex his generatum est quicquid est.".

[12] Die Übertragung ins Deutsche folgt der Übersetzung nach Orm Lahan (Gabirol: 1989).

理 und *ki* 氣 die Wurzel allen Seins, *radix omnium*. Der Kosmos entspringt ihrer Relationalität. Sie durchdringen das Sein, sind das Sein schlechthin (FV IV.10, 234). Das Sein existiert ausschließlich durch ihre respektive in ihrer Verbindung. *Forma universalis* ist der intelligible Rahmen existentieller Fülle, der Sollzustand jedweder ontischer Ausgestaltungen: „[…] denn aus der die Form tragenden Materie und aus der das Wesen der Materie vollendenden Form wird das Wesen jeder Sache konstituiert und seine Natur vollendet."[13] (FV IV.11, 236). Das Sollprinzip *forma universalis* konkretisiert mit bzw. durch *materia universalis*. *Materia universalis* ist gleich *ki* 氣 eine Tabula rasa, die vermittels *forma universalis* bzw. *i* 理 ihre universelle und partikuläre Gestaltung erfährt. *Materia universalis* und *ki* 氣 sind Substrat und das individuelle, Seinsmerkmale ein-schreibende Werkzeug von *forma universalis* und *i* 理. Beide Entitätenpaare korrelieren in ihrer zugewiesenen Funktionalität als tragende, seinsgenerative bzw. -fundierende Faktoren.

5.2. *Diversität und Plurisingularität*

Yulgok wie auch Gabirol bestimmt *ki* 氣 bzw. *materia universalis* als „ontisch-finalisierenden Faktor in der Schaffung, Auffächerung, Heterogenisierung und Wandlung des Seins" (Pokorny 2008b: 108). Unter der Vorgabe des Antezedens *i* 理 bzw. *forma universalis* figuriert *ki* 氣 bzw. *materia universalis* die Diversifikation des Kosmos. Das kollektive Sein, mithin jedes Einzelding, besteht aus der Verbindung beider Entitäten. *I* 理 und *forma universalis* sind unveränderlich, formlos und undifferenziert. Ihre Homogenität bleibt beständig, ist unberührt von Konkretisierungsprozessen der immanenzaktualisierenden Kraft *ki* 氣 bzw. *materia universalis*. *I* 理 und *forma universalis* teilen die Vorstellung einer „Plurisingularität", sie sind eines und vieles zugleich, *multa inveniuntur in uno* (FV III.32, 154). Yulgok erläutert: „*I* 理 ist zwar eins, doch da es auf *ki* 氣 reitet, sind die Teile zehntausendfach verschieden. Folglich ist es in Himmel und Erde das *i* 理 von Himmel und Erde, und in den zehntausend Dingen ist es das *i* 理 der zehntausend Dinge, und in uns Menschen ist es das *i* 理 von uns Menschen."[14] (YC1 10.2b, 197). Das Konzept der Plurisingularität verweist auf die Simultaneität von Vielheit und

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[13] „[…] et haec proprietas est opposita proprietati formae, hoc est quia ex materia sustinente formam et ex forma perficiente essentiam materiae constituitur essentia omnis rei, et perficitur eius natura.".

[14] „理雖一, 而旣乘於氣, 則其分萬殊, 故在天地而爲天地之理, 在萬物而爲萬物之理, 在吾人而爲吾人之理".

Einheit. Ob singulär oder mannigfach, *i* 理 und *forma universalis* besitzen keinerlei Irregularität oder Disproportion (Pokorny 2008b: 79). Das Sein in all seinen Formen, ob Grashalm, Mensch oder Berg, ist gleichmäßig durchdrungen von *i* 理 bzw. *forma universalis*. Doch die Vielzahl an *i* 理 bzw. *formae particulares naturales* [15] unterscheiden sich in keiner Nuance voneinander oder vom generalisierten, superlativischen *i* 理 bzw. *forma universalis*. Der Entwicklungsprozess jedweden Einzeldings ist dem Strukturprinzip *i* 理 bzw. *forma particularis naturalis* unterworfen, gleich dem gesamten kosmischen Procedere, das auf *t'aegŭk* 太極[16] bzw. *forma universalis* fußt. Das Strukturprinzip bleibt unverändert, auch wenn deren Erscheinung divergiert. Der unaufhörliche kosmische Wandlungsprozess, Entstehen und Vergehen, Leben, Altern und Tod, die Pluralität kosmischer Schöpfungen, sind schlicht Abänderungen respektive Modifikationen in der Anatomie von *ki* 氣 bzw. *materia universalis*. Hervorgerufen werden diese gemäß der Sollbestimmung von *i* 理 bzw. *forma universalis*. Yulgok und Gabirol räumen dem Menschen ihn ihrem Denken eine Sonderstellung ein. Ihr *i* 理 bzw. *forma particularis naturalis* gleicht dem *i* 理 bzw. *forma universalis* der Gesamtheit des Kosmos. Yulgok und Gabirol formulieren sonach eine qualitative Nivellierung: das *i* 理 von Himmel und Erde ist ident mit dem der Menschen, mehr noch, mit dem jedes einzelnen Individuums. *Forma universalis* findet sich so auch im Menschen wie in Engelswesen oder anderen himmlischen Substanzen (FV II.2, 27; FV II.20, 60; FV IV.20, 256). Die Trennlinie zwischen den kosmischen Schöpfungen zieht sich vermittels *ki* 氣 bzw. *materia universalis*.

5.3. Sim und intelligentia

Aus ontologischer Perspektive ist der Mensch eine Verbindung aus *i* 理 und *ki* 氣 respektive *forma universalis* und *materia universalis*. Seine gesonderte Position besteht darin, dass er in der Lage ist, sich dem kosmischen Procedere, d. h. der oben skizzierten ontologischen Abläufe, nicht nur gänzlich gewahr zu werden, sondern auch Anschluss zu finden an das *i* 理 bzw. *forma universalis* der Totalität

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[15] So bezeichnet Gabirol im Rahmen seiner emanatistischen Doktrin, *forma universalis* in einem Einzelding.

[16] *T'aegŭk* 太極, zu Deutsch das „Allerhöchste“, wird von Yulgok in diesem Kontext oft als Synonym für jenes superlativische, generalisierte *i* 理 gebraucht.

des Seins. Nach Yulgok ist es dem Menschen nur durch *sim*[17] 心, Herz und Verstand, möglich sich der kosmischen Vorgänge bewusst zu werden: „Aber die Substanz von *sim* 心 ist leer-geistig, durchschauend und ausgestattet mit den zehntausend *i* 理."[18] (YC1 10.3a, 197). *Sim* 心 ist des Menschen genuines Instrument, die kosmischen Zusammenhänge erkennen zu können. Dank *sim* 心 besitzt der Mensch die naturgegebene Kapazität, sich das Wissen der Welt und des Kosmos anzueignen, sich diesem gegenüber verständig zu werden. *Sim* 心 beherbergt die zehntausend *i* 理, also die *i* 理 jedweden Einzeldings und zugleich das superlativische, eine *i* 理 (Pokorny 2008b: 115). *Sim* 心 ist „leer-geistig", *hŏryŏng* 虛靈, das menscheneigene und -spezifische *i* 理, das anknüpft an das kosmische *i* 理. Es ist ein funktionaler „Transmitter" zwischen Mensch und Sein, dem Individuum und der Gesamtheit des Kosmos. Eine interessante Überstimmung findet sich in diesem Zusammenhang bei Gabirol und seinem Entwurf von *intelligentia*. Kraft seiner Intelligenz, *intelligentia*, gelingt es dem Menschen sich gegenüber anderen Seinsschöpfungen zu behaupten. *Intelligentia* lässt ihn jene Sonderrolle im kosmischen Szenarium einnehmen. Gabirol erläutert: „[…] die Wirkung der Intelligenz [*intelligentia*] ist das Erfassen aller intelligiblen Formen ohne Zeit und ohne Raum und ohne Verlangen, ohne Bedürfnis und ohne eine andere Ursache als ihr eigenes Wesen […]."[19] (FV III.48, 187). *Intelligentia* bündelt jegliche *formae particulares naturales*, d. h. *forma universalis*, und eröffnet dem Menschen die Möglichkeit, das kosmische Geschehen zu begreifen. *Intelligentia* inhäriert *forma universalis*, ist sie ja wie jede kosmische Partikularität eine Verbindung der Entitäten *forma universalis* und *materia universalis* (FV V.1, 258). Sie knüpft an *forma universalis* an, ihre *forma* ist *forma universalis* schlechthin, lässt den Menschen daher die Natur des Seins und sich selbst in seiner selbstreflexiven Autonomie verstehen. Yulgok und Gabirol erkennen in jenen beiden Entitäten – *sim* 心 und *intelligentia* – des Menschen Verbindungsachse mit dem hehrsten Strukturprinzip des Kosmos, dass sich in allen Facetten des Seins widerspiegelt. *Sim* 心 und *intelligentia* dienen gewissermaßen als Steuerelemente, da sie Moralität und Wissen potentiell regulieren oder lenken können. Auch wenn der Mensch nicht direkt auf das individuelle *i* 理 bzw. *forma particularis naturalis* zugreifen kann, um durch sie die eigentliche Bindung zu *t'aegŭk* 太極 bzw. *forma*

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[17] *Sim* 心 ist nach neokonfuzianischem Verständnis Sitz von Verstand und Gefühl.

[18] „但心之爲物, 虛靈洞徹, 萬理具備".

[19] „[…] actio autem intelligentiae est apprehensio omnium formarum intelligibilium in non-tempore et in non-loco, sine inquisitione, sine negotio et sine alia causa praeter suam essentiam […].".

universalis freizulegen, gelingt ihm dieses doch – unter bestimmten Bedingungen – über *sim* 心 und *intelligentia*.

5.4. Selbsttranszendenz

Yulgok und Gabirol betonen gleichermaßen, dass der Mensch alles daran setzen solle, sich zu kultivieren. Das hehrste Ziel eines jedes rechtschaffenen Konfuzianers ist nach Yulgok die Vervollkommnung der eigenen Sittlichkeit. Durch die Perfektionierung der moralischen Gesinnung erreicht der Lernende den idealen Zustand des Weisen, *sŏngin* 聖人.[20] Dieser stellt die höchste Stufe der Kultivierung des Selbst dar, repräsentiert die erhabenste sittliche Instanz, die das Kredo der umfassenden Tugendhaftigkeit realisieren konnte. (Pokorny 2009: 6). Der Weise hat seine moralischen Eigenschaften bis zum Äußersten kultiviert, dabei sein individuelles *ki* 氣 zu einem Maße verfeinert, dass es ihm gelang, das durch *ki* 氣 getrübte unverfälschte und reine *i* 理 in *sim* 心 freizulegen. Das gereinigte *sim* 心 erlaubt dem Lernenden infolge an das kosmische *i* 理 anzuknüpfen, die moralische Direktive des *to* 道[21] zu empfangen und die höchsten moralischen Prinzipien des Kosmos zu internalisieren. Der Lernende überwindet die durch die Kontamination durch *ki* 氣 gesetzten Schranken von *sim* 心 und löst sich von den Banden der gedanklichen, perzeptiven, volitionalen und emotionalen Eingrenzung. Er wird zum Weisen, der nun im Besitz kosmischer Klarsicht, eingedenk der Wesensgleichheit von eigenem und kosmischem *to* 道 handelt (YC2 6.15a, 570). Er transzendiert sich selbst, wird eins mit der moralischen Norm des kosmischen *i* 理. Die wahre Natur des Selbst zu begreifen, bedeutet die Identität des Kosmos zu verstehen, da das Selbst die Gesamtheit des Seins nicht nur widerspiegelt, sondern letztlich mit dieser identifikatorisch verquickt ist. *Sim* 心 ist als epistemischer Knotenpunkt der Schlüssel zu dieser Erkenntnis und deren Umsetzung. Ähnlich gelagert findet man Gabirols Verständnis von *intelligentia*. Seine Substanz reflektiert die unverfälschte Verbindung von *forma universalis* und *materia universalis*. Der Lernende kann durch seine selbstreflexive Erkenntnis das funktionale Netz des gesamten Kosmos herleiten (Pokorny 2008b: 120). Die Selbstreflexion fungiert dabei als Modus von *intelligentia*. Gleich Yulgoks

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[20] „Unter den Menschen, gibt es die Weisen. Sie alleine erhalten das durchdringendste, das rechteste, das klarste und das reinste *ki* 氣, und so sind sie eins mit der Tugend [*tŏk* 德] von Himmel und Erde."; „於人之中, 有聖人者, 獨得至通至正至清至粹之氣, 而與天地合德" (YC1 10.3b, 197).

[21] *To* 道, wörtlich der „Weg", wird von Yulgok als *i* 理 im ethischen Kontext verwendet. *I* 理 fungiert als Sollprinzip im Rahmen der Seinswerdung bzw. -wandlung, schließt daher auch die menschliche Individuation und sittliche Entwicklung mit ein.

Konzeption von *sim* 心, bildet auch *intelligentia* einen „Transmitter" zwischen individueller Unkenntnis und Seinswahrheit. Gabirol konkretisiert: „Und deswegen sage ich, dass derjenige der die Prinzipien erkennen will und überhaupt das, was ist, sorgfältig die Substanz der Intelligenz [*intelligentia*] betrachten muss und sie bei jeder Untersuchung sich vor Augen halten muss, da ihre Erkenntnis zur Erkenntnis des Alls führt. Und das verlangt die Vernunft, weil das Wesen der Intelligenz [*intelligentia*] der Gattungsbegriff und die Form für das All ist, und daraus ist es nötig, dass das All im Wesen der Intelligenz [*intelligentia*] ist; und weil das All im Wesen der Intelligenz [*intelligentia*] ist, folgt daraus, dass derjenige, der das Wesen der Intelligenz [*intelligentia*] erkennt, auch das All erkennen wird."[22] (FV V.4, 264). Die Erkenntnis der allgemeinen kosmischen Zusammenhänge durch sich selbst, lässt den Menschen bis an die Grenzen des Wissensmöglichen vordringen. *Intelligentia* offenbart jene Erkenntnis und realisiert sie. Der Lernende vereinigt sich intellektuell mit dem Wesen des Seins, er transzendiert sich selbst (FV III.56, 204-205), streift das einengende Korsett intellektueller und emotionaler Knechtung ab. Er überwindet Einfalt und Ignoranz und erfährt dadurch vollkommene Glückseligkeit, *felicitas perfecta*. (FV III.58, 209). Die vollkommene Glückseligkeit auf der Basis erlangter ontologischer Einsicht, ist nach Gabirol, wie die Weisheit bei Yulgok, das hehrste Ziel menschlicher Entfaltungsbestrebungen und Individuationsprozesse. Sich selbst als Teil des Weltganzen zu entdecken, bedeutet „Heil" zu erlangen. Das Heil bei Yulgok und Gabirol offenbart sich in dieser Welt. Es besteht in der Überwindung emisch beschnittenen, d. h. kulturell, sozial und intellektuell geprägten bzw. erstarrten Fühlens, Denkens, Erfassens und Handelns. Der Weg zum Heil führt über die initial kognitiv erworbene Wahrnehmung aller ontologischen Verstrickungen und dementsprechendes Handeln nach höchsten Prinzipien der Sittlichkeit und Weisheit (YC1 21.2a, 463; FV I.2, 4-5). „*Intelligentia* und *sim* 心 […] erfüllen in diesem Zusammenhang die Aufgabe, jene Operanden des möglichen ontologischen Wissens zu verarbeiten, dem Menschen überhaupt erst zugänglich zu machen und ihm die Potentialität einer finalen Selbsttranszendierung zu eröffnen." (Pokorny 2008b: 132). Heil erfahren heißt, die Wahrheit der Natur des Seins zu erkennen und entsprechend dieser zu denken, zu fühlen, wahrzunehmen und zu handeln. Es ist die Erfüllung des menschlichen Plansolls.

6. Schlusswort

Das Konzept einer Soteriologie, aufbauend auf dem Verständnis, sich von bestehenden emischen Fesseln geistiger und emotionaler Kargheit und Begrenztheit

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[22] „et propter hic dico quod quicunque voluerit scire principia et omnino quicquid est, debet diligenter speculari substantiam intelligentiae et praeponere eam sibi in omni inquisitione, quia cognitio illius ducit ad cognitionem totius. Et hoc ratio exigit, quia essentia intelligentiae est specificativa omnnium et forma omnium. et debet ex hoc ut totum sit in essentia eius; et quia totum est in essentia intelligentiae, consequitur ex hoc ut quicunque scierit essentiam intelligentiae, sciat etiam totum."

zu entbinden, lässt es zu, auch neokonfuzianische respektive neuplatonische Lehren vor diesem Hintergrund näher in Augenschein zu nehmen. Die vergleichenden Überlegungen verweisen auf eine Vielzahl paralleler *funktionaler* Denkmuster in Ontologie und Soteriologie. Basierend auf und in steter Bezüglichkeit zu einem ontologischen Fundament, diskutieren die Protagonisten dieser Studie, Yulgok und Gabirol, das höchste Ziel menschlicher Heranbildung. Der Prozess der Kultivierung des Selbst, mit dem Weisen bzw. Glückseligen an dessen Ende, mündet in mundanem Heil, das sich durch eine dianoetische und moralische Einswerdung mit den kosmischen Gesetzmäßigkeiten entfaltet. Einswerdung bedeutet nicht eine physische oder ganzheitliche Verschmelzung, sondern das Erschließen eines gemeinsamen Ursprungs mit der Gesamtheit des Kosmos, folglich die Erkenntnis einer kollektiven Seinsidentität. Heil bei Yulgok und Gabirol bedeutet die „Heilung" des Identitätsverlustes des Menschen gegenüber dem Sein.

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DAOIST ELEMENTS IN KOGURYŎ CULTURE

CODRUȚA CUC[*]

ABSTRACT. *Daoist Elements in Koguryŏ Culture.* Before the official introduction of Daoism in the state of Koguryŏ in the 7th century, a series of Daoist elements have pervaded Koguryŏ culture and were integrated in the native system of beliefs. Tomb murals from the time indicate that afterlife was regarded as a second, eternal life, and therefore the world represented in the paintings had to be complete and self-sufficient. A special emphasis was placed on the spiritual realm, and the sky was made present inside the tomb through vivid representations of the Sun, the Moon, Five Directional Deities, flying Immortals, and asterisms. These reflect that the *yin-yang* theory and the Five Elements Theory, so influential in Chinese Daoism, were familiar to the Koguryŏ people. Also, tomb murals point to the fact that certain forms of star worship were practiced and the Daoist view of the main constellations was circulating in the Korean kingdom. Additional arguments in favor of solar and lunar worship being popular in Koguryŏ are drawn from different versions of the foundational myth of the state, the myth of Chumong.

Keywords: *Korean Daoism, Koguryŏ tomb murals, Koguryŏ foundation myth, Chumong, Korean mythology, star worship.*

Introduction of Daoism in Koguryŏ

According to *Samguk sagi* (*History of the Three Kingdoms*), the historical records compiled by Kim Pusik and completed in 1145, Daoism was introduced in the state of Koguryŏ (37 BC-668 AD) in 624, the seventh year of reign of King Yŏngnyu. Envoys sent to Tang China came back accompanied by a Daoist priest, Daoist texts and images of the gods, and instruction in the teachings of Daoism began henceforth. At the end of the 13th century, Iryŏn's *Samguk yusa* ("Legends and History of the Three Kingdoms of Ancient Korea") provides more information on how Daoist thought was put into practice, in the context of officially switching from Buddhism to Daoism, during the reign of the last Koguryŏ king, Pojang (r. 642-668):

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"The king was pleased. Buddhist temples were changed to Taoist temples. Taoist adepts were highly valued and given a higher position than Confucian scholars. The Taoist adepts made tours to the most beautiful mountains and streams of the country and suppressed [their names and character]. The original form of the fortress of P'ŏngyang was like a new moon. The Taoist adepts chanted a spell and said that the dragon of the Nam-ha river ordered that [the fortress] should be added to and made into a full moon shape. It was called Yongŏn-sŏng [Dragon Dike Fortress]."[1]

Although the rest of the narrative sheds negative light on these details (the fall of the Koguryŏ state is attributed to the renunciation of Buddhism and the adoption of Daoism), it is instructive to see how Daoist practices spread. The Buddhist names of places across the country were given up in favor of Daoist ones, temples transformed, people listened to Daoist deities which guided them in the modification of architecture in accordance with Daoist geomancy, and so forth.

However, this could not have been the first time Koguryŏ culture encountered Daoism. There are many aspects that prove that various forms of Daoist thought and practice were known several centuries earlier. If the chronicles state accurate facts, then this might have been the official introduction of Daoism into Korea, but there must have been several other encounters of Koguryŏ culture with Chinese Daoism.

This article is going to pinpoint some of the Daoist elements that have pervaded Koguryŏ culture, mixed with the indigenous thought, and were reinterpreted so as to create a *sui generis* system of beliefs.

The Presence of the Celestial World in the Tomb

Koguryŏ tomb mural paintings reflect a complex view of afterlife, which is depicted both in its mundane, practical aspects, and in its spiritual, celestial coordinates. Both facets were equally needed in order to create the image of a coherent and authentic world within the sepulchral space. On one hand, tomb paintings depicting[2] day-to-day scenes such as eating, singing, dancing, hunting, standing among servants suggested that the body of the deceased continued to live even after death; it maintained its physical needs, which had to be attended just as if the body were alive. On the other hand, images of the celestial bodies (the Sun, the Moon, asterisms), the Four Directional Deities and the portraits of Immortals were indicative of the spiritual realm of the other world; this world had its own sky, deities to be worshiped, who, in turn, protected the spirit of the deceased. All these images had a meaningful function for the living and the dead alike: The people who were conducting the burial rites related to the paintings as a proof of how the next life is going to look like and, from this point of view, murals showed Koguryŏ people's desires and aspirations, their mental projection of afterlife. Here the exciting mechanisms of

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[1] Iryŏn, *Samguk yusa* Part 3.6, in James Huntley Grayson, *Myths and Legends from Korea. An Annotated Compendium of Ancient and Modern Materials* (Richmond: Curzon Press, 2001), 195.

[2] The analysis and descriptions of Koguryŏ murals in this paper are based on the following catalogue: Jeon Ho-tae, ed., *Illyu ŭi munhwa yusan Koguryŏ kobun pyŏkhwa. The Koguryo Tomb Murals* (Seoul: Yŏnhap, 2006).

imagination come into play: tomb mural paintings were never designed simply for adornment, since the represented was expected to come *alive* in the other world. At the same time, the deceased were supposed to embrace that universe as their own – enjoy banquets, worship gods, accept protection from the Heavenly world.

It is not by chance, then, that great emphasis was laid on the spiritual realm within Koguryŏ tombs, irrespective of the background beliefs (animistic, Daoist, Buddhist) which shaped the point of view. Korean scholars[3] agree that the evolution of Koguryŏ mural themes can be divided into several periods. Everyday life scenes depicting the opulent lifestyle of the affluent predominate in the 5th century and continue to appear afterwards, suggesting a long-lived hope that afterlife reserves for the deceased an adequate high standard of living, similar to the one he enjoyed while alive. While these genre paintings continue to appear, from the middle of the 5th century to the beginning of the 6th century Buddhist motifs and images of the Four Directional Deities are the most representative. This is a sign of the major influence Buddhism had on Koguryŏ society at the time – a way of connecting with China, both culturally and politically. However, the second half of the 6th century and the 7th century show the increasing influence of Daoism, as reflected socially, by the appearance of Daoist sects, and artistically, by funerary art: in this period, tomb murals concentrated on the Four Directional Deities as the main theme.

The representation of the celestial world within the sepulchral space, constant throughout the history of Koguryŏ tombs in one form or another, suggests the need to connect with the gods and to create a sense of *divine presence* inside the burial chambers. Any image depicting a deity was invested with the power to substitute that divine being and act as its embodiment. The divine powers had the mission to protect the inhabitant(s) of the tomb and ensure a propitious, harmonized position within the universe. In this sense, it can be said that the spirit of the deceased was endowed with access to a world that was *complete*, even when confined in the tomb. This is most evident when representations of the Sun and the Moon or asterisms adorn the ceilings of the burial chambers, indicating that the celestial realm is present inside that space.

The Sun God and the Moon Goddess

According to a statistics done by Il-gwŏn Kim, there are 27 tombs with images of the Sun and the Moon[4], out of the approximately one hundred Koguryŏ tombs that contain mural paintings. Painting the celestial bodies on the ceilings or walls of burial chambers was one explicit way of representing Heaven, which was

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[3] Jeon Ho-tae, *The Dreams of the Living and Hopes of the Dead: Goguryeo Tomb Murals* (Seoul: Seoul National University Press, 2007), 43-50. Kong Sŏk-ku, "Dol soge muthin saramdŭl" [People Buried under Stones], in *Tashi ponŭn Koguryŏsa*, ed. Koguryŏ yŏn'gu chaedan (Seoul: Koguryŏ yŏn'gu chaedan, 2005), 168-171.

[4] Kim Il-gwŏn, "Koguryŏ saramdŭl ŭi hanŭl segye" [The Celestial World of Koguryŏ People], in *Tashi ponŭn Koguryŏsa*, ed. Koguryŏ yŏn'gu chaedan (Seoul: Koguryŏ yŏn'gu chaedan, 2005), 179. Out of these 27 murals with the Sun and the Moon, 21 also include star representations. Kim Il-gwŏn, 183.

expected to provide the deceased with divine protection and light inside the sepulchral space. The form and style of representation in the case of the Sun and the Moon point to the Chinese influence, and simultaneously illustrate Koguryŏ unique artistic interpretation of the subject. Moreover, the divine couple of the Sun God and the Moon Goddess, their placement within tombs and among Directional Deities demonstrate that Koguryŏ people were familiar with the *yin-yang* theory and the Daoist cosmological model that defines the universe as composed of dual, complementary vital energies. The auspicious, regenerative force of the Sun-Moon couple, invested by the *yin* and *yang* principles, is projected upon the deceased, making the mural painting function as a *protective talisman*.

The idea that the Sun and the Moon are active powers within the tomb is reinforced by their personification, in the form of a God and a Goddess, respectively. In murals from Ohoebun Tomb no. 4 and no. 5 (6th century), their upper body is human, while the lower half consists of a dragon tail. It can be assumed that the human resemblance helped Koguryŏ people relate easier to these divine beings and get a stronger feeling of protection from them. Also, the rendering of the celestial bodies as gods implies the existence of a solar cult and a lunar cult in the state of Koguryŏ. The flowing movement of the gods' attire, shaped as wings, the serene expression on their faces (clear in Ohoebun Tomb no. 4), their calm floating position are all very similar to the way Daoist Immortals are represented in Koguryŏ tombs. It can be said, then, that the Sun God (*Haesin*, 해신) and the Moon Goddess (*Talsin*, 달신) are associated with the Immortals and therefore represented likewise, since they too are eternal. The lower, dragon-like part of their bodies, however, shows a close resemblance to the primordial masculine-feminine couple in Chinese mythology: Fuxi (伏羲, Kor. 복희, *Pokhŭi*) and Nüwa (女媧, Kor. 여와, *Yŏwa*). They too were depicted with serpent or dragon tails, which were intertwined so as to suggest that the vital energy flows through their bodies and between the masculine and feminine principles. The cosmic harmony is generated by the union between Fuxi (*yang*) and Nüwa (*yin*), or Haesin and Talsin, in the case of Koguryŏ tombs. Based on these similarities, it is believed that Fuxi and Nüwa constitute the conceptual base on which the traditional image of the Sun and the Moon was created in the minds of the Koguryŏ people[5].

Furthermore, the Chinese influence can also be detected in the way solar and lunar discs are represented in mural paintings. Haesin can be recognized by the red disc he holds over his head, with the image of the Three-Legged Crow (三足烏, 삼족오, *Samjog'o*) inside it, while Talsin can be identified by her white disc, with the Toad and/or the White Rabbit drawn in the circle. In most tombs, these round shapes containing the appropriate symbols substitute the Sun God and the Moon Goddess, and the divine beings are present only through their characteristic emblems.

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[5] Jeon Ho-tae, *Kobun pyŏkhwaro pon Koguryŏ iyagi* (Seoul: P'ulbit, 2006), 43.

Besides, the proximity of other constituent elements in the murals' composition usually reinforces the presence of the celestial bodies. For instance, in the front chamber of Tŏkhŭngni Tomb (c. 408), on the Eastern part of the ceiling, in the vicinity of the Sun (represented as a red circle, with the Three-Legged Crow within it), there stands the mythical bird *Yanggwangjo* (양광조, 陽光鳥). As its name implies, it is "the bird of the sunlight", so it is natural that it is painted in red. It often appears among the mythical animals painted in Koguryŏ tombs, since it is an auspicious sign. There is a code encrypted in such an image – a bird over the head of a person: it means "May you live one thousand years!" (천추지상, 千秋之象)[6]. It is a message addressed to the deceased, the one over whose body stands *Yanggwangjo*, and it communicates the wish that the buried spirit live eternally in the other world, after death. In the case of Tŏkhŭngni Tomb, beside the symbolic meaning of the encoded image, there is an inscription next to the bird: "양광지조 이화이행" (陽光之鳥 履火而行), which can be translated as "The bird of the sunlight goes with fire shoes". The inscription was meant to accentuate that *Yanggwangjo* is unmistakably connected to the Sun and the *yang* principle. Therefore its placement next to the solar disc in tombs, as redundant as it may seem, works as an emphasis technique: the Sun is *in* the tomb.

As for the Moon, the representations of the lunar disc reflect the influence of Dongyi culture in Eastern China, specifically the myth of Yi the Archer (Kor. Ye), who loses the fruits of immortality when his wife, Chang'e (Kor. Hang'a), steals them and flees to the Moon. The Moon Palace is inhabited only by the White Rabbit, who stands in front of his jar and continuously prepares the elixir of eternal life – that is why a white circle containing the image of the Rabbit has come to designate the Moon (or the Moon Palace), in Chinese art, as well as in Koguryŏ murals. In some cases, the Toad, believed to be the manifestation of Chang'e, accompanies the Rabbit (for instance, in a mural from Tŏkhwari Tomb no. 2, late 5th century) or replaces him in the lunar disc (in Ssangyŏngch'ong Tomb, late 5th century, or in Kangsŏ Chungmyo Tomb, end of 6th century – early 7th century). These representations show that Koguryŏ people had contacts with the Dongyi culture and the Archer's myth was known, or at least the codifications of the myth in artistic form were transmitted to the state of Koguryŏ. The symbols of the lunar disc – especially the Rabbit and his connection with Chang'e – underline that the Moon is the precise repository of the immortality elixir, and therefore the placement of the Moon within the tomb is all the more natural and even necessary. When we look at Koguryŏ tombs, it is obvious that the artists decorating them envisioned an afterlife that was believed to be eternal and the implicit message in all the paintings is "May you live a long and prosperous life, under the auspices of Gods, stars, divine beings, and among Immortals!" The Moon inside the tomb simply reiterated this idea.

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[6] Kim Il-gwŏn, 174.

Daoist Elements in the Foundation Myth of Koguryŏ

But there is more than tomb murals to prove what important a role the veneration showed by the Koguryŏ people for the Sun and the Moon had. Chumong, the founder of Koguryŏ, is the son of Haemosu and Habaek, identified with the Sun and the Moon, respectively. There are several sources, both Chinese and Korean, that inform about the way Chumong created the state, dating from the 1st century AD (the Han writing *Lun-hêng*, by Wang Ch'ung) to the 13th century (*Samguk yusa* by Iryŏn).

The Kwanggaet'o Monument, erected in 414 in Kungnae-sŏng (Koguryŏ capital between 3-427 AD, present day Ji'an, Jilin Province in China), in order to commemorate King Kwanggaet'o, is the earliest Korean source of the myth[7]. It states from the very beginning the divine ancestry of Chumong, who is the son of the "Ruler of Heaven" or *Ch'ŏnje* (天帝); his mother was the daughter of Habaek, the Sea God, thus making Chumong the son of Heaven and Earth. As expected, this makes him a special individual, endowed with virtues and the power to summon the forces of nature when needed. While migrating from Northern Puyŏ to Piryu Valley, where he founded the state of Koguryŏ, he used his divine origin as an argument in his favor: as the son of the Heavenly Emperor and the maternal grandson of Habaek, he ordered the fish and terrapins to come to his aid and they complied immediately, forming a bridge for him to cross the river. In addition, Chumong summoned the supernatural, divine forces in the form of the Yellow Dragon – the symbol of sovereign power, the representative of Heaven on Earth:

> "In the fortress at the summit of the mountain, he [Chumong] established his city. Feeling sad, he commanded the yellow dragon, who came and greeted him. He led the king to a hill east of Holbon. The yellow dragon then ascended to Heaven."[8]

The Yellow Dragon's helpful and friendly manner is a sign of divine benevolence towards the hero and also a proof that the Heaven approves of his civilization-founding enterprise. The text also suggests that the creation of Koguryŏ was completed with divine intervention and that the king is indeed supported by the Heavenly Emperor.

It is noteworthy that the Yellow Dragon (黃龍, Kor. 황룡) also appears in Koguryŏ murals, where it signifies the center, in accordance with the Five Elements Theory (五行說, Kor. 오행설). In Ohoebun Tomb no. 4 (6th century), the Yellow Dragon appears on the capping stone of the ceiling in the main chamber, therefore being positioned in the center of the tomb, while on the surrounding walls, the Four Divine Animals are each connected with their cardinal points, manifesting

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[7] A translation of the Kwanggaet'o Monument version is included in Grayson, 70.
[8] Grayson, 70.

their protection of the four directions: the Blue Dragon (청룡) on the East wall, the White Tiger (백호) on the West wall, the Black Tortoise and Serpent (현무) in the North, the Red Phoenix (주작) in the South. It is the traditional cosmological scheme in which they are positioned, reflecting the Five Elements Theory, and this configuration is repeated in Kangsŏdaemyo Tomb (end of 6th century – early 7th century). Each of the Four Directional Animals has a designated role: The Blue Dragon functions as a mediator facilitating the ascension to Heaven; the White Tiger secures harmony inside the tomb; the Red Phoenix protects the entrance to the sepulchral space from inauspicious forces; the Black Tortoise and Serpent, the perfect mixture of *yin* and *yang* forces (the male serpent is coiled around the female tortoise), is the guardian deity of buried couples[9].

The murals, as well as the text, indicate that the Five Elements Theory was known in Koguryŏ at least from the 5th century onwards. Furthermore, other variants of the foundational myth of Chumong show that more elements of Daoism were known and were naturally a part of Koguryŏ culture.

These elements are most evident in a 12th century literary work by Yi Kyubo (1168-1241), *The Holy King Tongmyŏng*, which narrates the myth of Chumong[10], still arousing interest at the time. The story presents more details on Chumong's divine origin[11] than the text of the Kwanggaet'o Monument: his father is Hae Mosu, the son of Ch'ŏnje, Ruler of Heaven. Hae Mosu descended to Puyŏ, coming down from Heaven "through brilliant five colored clouds […] in a five-dragon coach, amidst a rendering of beautiful music, with his attendants following him on the backs of white crested ibises."[12] The repetition of number five again brings to mind that Koguryŏ people were familiar with the Five Elements Theory, and the five colors of the clouds could be the ones associated with the five Divine Animals. At the same time, the atmosphere of the descent is very similar to the one presented by scenes with Immortals in Koguryŏ tombs (Ohoebun Tomb no. 4 & 5) or in Chinese Daoist tales of Immortals: the characters of the scene float peacefully or ride auspicious birds, enjoying the heavenly music. Hae Mosu and his attendants carry "swords shining in the colors of the dragon"[13] – a definite sign of power given from above, which legitimizes all their actions. To clearly underline the divine origin and nature of the hero and his companions, the text states that the descendants only inhabited the earth during the day, for work, and re-ascended to heaven every night, although the distance was too great for ordinary people to cover it.

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[9] Jeon Ho-tae, *Kobun pyŏkhwaro pon Koguryŏ iyagi*, 119-132.

[10] A translation of Yi Kyubo's *The Holy King Tongmyŏng* can be found in Sun-hee Song, "The Koguryo Foundation Myth: An Integrated Analysis," *Asian Folklore Studies* 33, no. 2 (1974): 41-45.

In the present article, for considerations of style, we continue to use the McCune-Reischauer system for Korean Romanization, although the quoted translation follows a different system.

[11] *Samguk sagi* and *Samguk yusa* are also more explicit in this regard. See Grayson, 75-77, 82-83.

[12] Yi Kyubo, 41.

[13] *Ibid*.

When Hae Mosu sees the daughters of Habaek (the Sea God) swimming, he wants to marry them and tries to confine them in his palace, but the girls escape, except for Yuhwa, the eldest one. Eventually, they got married, after Habaek made Hae Mosu undergo a set of three trials, in order to prove his divine nature. Worried that one day his daughter might be abandoned on earth by this unusual son-in-law, the Sea God tries to secure Yuhwa's position and sends the couple to Heaven, after intoxicating Hae Mosu with wine. But the latter wakes up in time and flees to Heaven alone, while Yuhwa gets punished and disowned. She is found by Kŭmwa, the King of Eastern Puyŏ – himself of peculiar origin (found under a rock, as the son Heaven bestows upon the father-king); he immediately recognizes her as the wife of King Hae Mosu and allows her to stay in his palace. But while being closed in Kŭmwa's royal quarters, Yuhwa receives a Heavenly visit:

> "Then the sunlight clasped her and poured down its warm rays upon her body, till she conceived and gave birth to a huge egg from under her left arm. In great wonder, the king took it as an inauspicious sign, and let the egg be cast away in a stable. But the horses would not tread upon it. It was thrown away in a deep mountain. But all sorts of animals came and protected it, with the sun shining on the egg even on cloudy days.
>
> Consequently King Keumwa sent the egg back to its mother to take care of it. In time, there was born out of it Choomong. He was noble and gracious."[14]

Since "Hae" in Hae Mosu stands for "Sun", it is him that pays a visit to Yuhwa in the confined space she lives, and impregnates her. It is also him that miraculously protects the egg resulted from the supernatural union, signaling its divine origin until finally Kŭmwa understands and lets the mother take care of the egg. The identity of Hae Mosu with the Sun indicates the ongoing performance of a *solar cult* during Koguryŏ, consistent with the way Sun is represented as human being in tomb murals. Chumong is, thus, the progeny of the Sun[15] and therefore a legitimate leader for Koguryŏ, he benefits from divine support and this, in turn, is beneficial for the state. His other name, Tongmyŏng, used in Yi Kyubo's literary work, as well as in Chinese sources, also points to being related to the Sun: Tongmyŏng (東明) is the "bright East". On the other hand, his mother is Yuhwa, who is pure *yin* essence, since she is a water deity (the daughter of the Sea God), so it can be inferred that the mother of Chumong is the Moon Goddess.

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[14] Idem, 43.

[15] In the *Samguk sagi* version, Yuhwa is seduced against her will and no marriage takes place: "She said, 'I am the daughter of Habaek. My name is Yuhwa. I was playing with several of my siblings when a man who said that he was Hae Mosu, the son of Ch'ŏnje, lured me away. In a house by the shores of the Yalu River at the base of Ungsim-san mountain he seduced me. He then left and has not returned. My parents asked me how I could follow a man without an escort and exiled me to the Ubal River.'Kŭmwa thought that this was strange and put her in a room. The sun shone. Although she moved her body to avoid [the sun's rays], the sun's rays followed her and shone." (Grayson, 75.)

His remarkable origin will be constantly reflected in his exceptional actions and virtues throughout lifetime. At the same time, however, this too peculiar a birth brings him misfortune at times: hardships are the consequence of a birth that is considered inauspicious because it was unnatural. Kim Chae-yong and Lee Chong-ju note that in Korean mythology, the abnormal situation in which a woman lays an egg and this results in oviparous birth always ends up with the abandonment of the child, because the human egg was considered impure and therefore a bad omen; not so was the case if the egg was sent from above, in which case it was treated as sacred[16]. In the case of Chumong, he is first abandoned before even being born (although the animals do not destroy the divine egg), and during his lifetime he experiences a second, symbolic abandonment when he flees the kingdom of Eastern Puyŏ, chased by people jealous and afraid of his extraordinary powers – he is most gifted as an archer, as reflected by his name (in Puyŏ language, "Chumong" meant "outstanding archer"[17]).

Yuhwa protects him and advises him to leave in search of a safer place, and before he does so, she gives him "the seeds of five cereals"[18]. This can be interpreted as a reference to the circulation of *Odumigyo* (五斗米教, Chin. *Wudou Mi Dao*, "the Way of the Five Pecks of Rice", or *Tianshi Dao*, "the Way of the Celestial Masters") in Koguryŏ. This sect was founded by Zhang Daoling in 142 CE in present day Sichuan province and spread throughout China until it reached Koguryŏ, becoming popular in the 7th century. Its name derives from the practice of offering five pecks of rice to the sect at ritual meetings, and the food was subsequently given as free meals to whoever needed it, as a means of attracting believers[19]. Yuhwa's offering of five cereals is a sign of acknowledgement of the great heavenly power that Chumong inherited from Hae Mosu, and also a form of consent to the hero's departure. He then establishes the state of Koguryŏ in a propitious location, reaffirming his role as a *culture hero*.

To sum up, the foundational myth of Koguryŏ, be it in its early forms (as recorded on the Kwanggaet'o Monument or in Chinese sources), or in later, more developed legendary narratives (from the 12th and 13th centuries), indicates that various Daoist thoughts and practices had pervaded Koguryŏ culture. Particular aspects from tomb murals confirm this idea, offering a visual account of how these forms and elements of Daoism were integrated in the Koguryŏ culture and reinterpreted. The Five Elements Theory, the *yin-yang* theory, exemplified through the solar cult and the lunar cult (Haesin and Talsin in murals, Hae Mosu and Yuhwa in mythological narratives), and *Odumigyo* practices are proof of the influence Daoism had on Koguryŏ culture.

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[16] Kim Chae-yong and Lee Chong-ju, *Wae uri sinhwa in'ga: Tongbuga sinhwa ŭi ppuri, "Ch'ŏnkung Taechŏn" gwa uri sinhwa* (Seoul: Dong Asia, 2004), 45.

[17] Yi Kyubo, 43. In a Chinese version of the myth, recorded in *Wei Shu* (6th century), the name of Chumong is explained as 'a good shot'. (Grayson, 72)

[18] Yi Kyubo, 43.

[19] Stephen R. Bokenkamp, *Early Daoist Scriptures* (Berkeley: University of California Press, 1997), 36. http://ark.cdlib.org/ark:/13030/ft587006h1/.

Star Worship

Twenty-four Koguryŏ tombs with representations of stars have been discovered so far (eight in the Ji'an area, sixteen in the P'yŏngyang area)[20]. Among them, twenty-one include the Sun and the Moon, as already stated above, which emphasizes the idea that the star patterns were not simply used for decorative purposes. Instead, they were meant to re-create the complex celestial universe inside the tomb.

Star worship had an important position in Daoist beliefs, because divine beings were associated with the stars, and, according to Edward H. Schafer, "The Taoists regard the stars we see (…) as the epiphanous souls of the true spiritual beings (…) which are invisible to layman."[21] It is obvious that a certain amount of Daoist influence was exerted on the conception and creation of Koguryŏ astrological designs. First of all, the asterism appearing most frequently in murals is the Big Dipper, which plays such a central role in Daoist thought, as the "linking [of] the stars regulating the cyclical movements of the heavens"[22]. Changch'ŏng Tomb no. 1 (mid 5th century) even includes two different representations of Ursa Major (in Korean, *Puktuch'ilsŏng*, 北斗七星) (*see picture below*), accompanying the Sun and the Moon. The solar disc holds the Three-Legged Bird and indicates the East (at the bottom of the image), while the lunar disc, in brighter colors, shelters the White Rabbit and the Toad, pointing the West (upper part of the picture). Peculiarly, there are two asterisms that ca be interpreted as Big Dippers (which traditionally stands for the North), but one has seven stars (left), while the other can be seen as having either eight or nine stars (right). The eighth star is next to the tip of the "handle", and the ninth star in near the back "wheels" of the Dipper. They are called "Eight Star Big Dipper" (*Puktup'alsŏng*, 北斗八星) and "Nine Star Big Dipper" (*Puktugusŏng*, 北斗九星). The Daoist significance of the eighth star (so-called "the Sustainer") is that it helps the heavenly kings, it offers support, as the name suggests[23]. The combination of nine stars, on the other hand, symbolizes long life and sacredness[24].

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[20] Kim Il-gwŏn, 179.
[21] Edward H. Schafer, *Pacing the Void. T'ang Approaches to the Stars* (Berkeley: University of California Press, 1977), 51.
[22] Bokenkamp, 327.
[23] "That star [the Sustainer], whose Chinese name might just as well be rendered 'Steady Prop,' was the reliable support of the great star-kings seated in the Dipper, and was therefore a symbol of dedicated service to the throne, and the asterism of minister and viziers. It was very important in Taoist practice (…)." (Schafer, 67.)
[24] Kim Il-gwŏn, 179.

The Sun, the Moon, and two representations of the Big Dipper
Changch'ŏng Tomb no. 1 (mid 5th century)
Credit photo: http://starmanse.new21.net/?mid=old_qna&page=3&document_srl=199558

The counterpart of the Big Dipper is a group of six stars pointing to the south – *Namduyuksŏng* (南斗六星), the Archer. In Daoist thought, the Northern Dipper (Ursa Major) and this Southern Dipper are complementary, and have distinctive roles: the Big Dipper presides over the afterlife realm, while the Southern Dipper is responsible for prolonging life[25]. The representation of the six-star asterism in Ohoebun Tomb no. 4 confirms this interpretation. The Southern Dipper stands between two Immortals, both facing the stars, one floating in the air, the other riding a mythical bird, on a background of cloud patterns. The heavenly being that rides the bird is holding a vessel which appears to contain the Daoist elixir of eternal life, judging by its red color. The entire scene focuses on the idea of immortality, illustrated in three different ways: through the exemplary figures of the heavenly beings, the suggestion that they own the magic potion and the symbol of longevity, the Southern Dipper. Presumably this appeased the deceased spirit, because the image must have functioned like a promise of eternal life or like a permanent amulet that the dead owned.

Conclusion

We have focused on a series of elements that form a common denominator for Koguryŏ tomb mural paintings and historical and mythical narratives. These elements are consistent with either of the following two ideas: 1) The cosmological

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[25] Chŏng Chae-sŏ, *Han'guk togyo ŭi kiwŏn gwa yŏksa* (Seoul: Ewha yŏja taehakkyo ch'ulp'anbu, 2006), 183-184.

view of the universe based on the *yin* and *yang* principles shaped pictural and literary representations of the world. This is visible in murals with the Haesin – Talsin couple, the Four Directional Deities, paired in complementary forces, as well as in Chumong's myth, who is the progeny of the Sun God and the Moon Goddess themselves. 2) Koguryŏ people were very much concerned with the idea of immortal life after death. The entire conception of the tombs, from architecture to decorative paintings, reflects this point. The presence of appropriate images around the deceased was meant to make the dead spirits benefit from the auspicious forces of the Directional Deities or the stars, since the correct placement of these symbols within the tomb was equivalent to a propitious geomantic or astrologic design. This guaranteed a long and peaceful afterlife, under the guidance of heavenly and mythical beings, Immortals, and celestial bodies.

A lot of these ideas have their counterparts in Han or Tang Chinese culture, where Daoism played such a significant role. It is, therefore, easy to assume that Chinese Daoism influenced Koguryŏ culture, but, at the same time, it is also likely that some of these elements were already a constituent part of the indigenous culture. Further research into this area will undoubtedly shed more light on the origins of Korean Daoism.

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THE FORTUNE OF HAIKU IN HUNGARY

JUDIT PAPP[*]

ABSTRACT. *The Fortune of Haiku in Hungary*. Since the beginning of the XX century haiku enjoys a growing popularity in Hungarian poetry and we can see how poets try to adapt the formal requirements of Japanese haiku and make this poetic form their own speaking this distant, European language. So the aim of this essays is to present the most important formal (from *haiku chains*, *garlands of haiku* and *haiku calendars* to *poems to fingernail*) and semantic aspects of the Hungarian tradition quoting texts or parts of them in original and in English translation. In the second part of the paper the author offers a contrastive analysis of various literary translations of some famous haiku from Buson, Bashō and Issa to put in evidence the different methods, the varying levels of faithfulness and the poetic language preferred by the Hungarian poetical translators.

Keywords: *Hungarian poetry, Japanese poetry, haiku, Kosztolányi, kigo, körömvers, translation.*

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Rakétarózsát pukkant patron: haiku.
Élessel töltlek.[1]

"The cartridge pops roses of rocket: haiku.
I load you with explosive."
(*Sándor Kányádi*)

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The fortune and the evolution of Hungarian haiku

From the first years of the nineteenth century, haiku seems to enjoy a certain interest among the poets in the contemporary Hungarian poetry. In this essay I'll

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[1] From 'Körömversek' [Poems to fingernail] in *Valaki jár a fák hegyén, Kányádi Sándor egyberostált versei* [Somebody is walking on the top of the trees, Selected poems of Sándor Kányádi], Budapest, Magyar Könyvklub, 1997, 240. Translations are mine.

reflect on how the formal and semantic aspects of Japanese traditional haiku are received and elaborated by Hungarian-speaking poets.

The first Hungarian haiku were written at the beginning of the last century mainly because of a significant European effect; thanks to this particular production, Hungarian impressionist poets got to know the English and French translations of Japanese haiku. The first poems[2] we can define as *haiku* were written by the Hungarian poet Dezső Kosztolányi (1885-1936)[3], who – while translating a volume of Chinese and Japanese poems – made experimentations also in his mother tongue.

Also in the huge Hungarian production, lots of haiku contain a word called *kigo* related metaphorically to one of the four seasons. Not only, but when we are analysing Hungarian haiku, we should remember also the *haiku chains*, the *garlands of haiku* or the *haiku calendars* as well[4].

It is well-known, that the structure of Japanese haiku, at the formal level, is based on a quantity of *on* (5-7-5), while the structure of Hungarian haiku consists of syllabic lines characterized by the combination of short and long syllables. However, Hungarian poets not always manage to respect the scheme 5-7-5, that's why we'll find also haiku which exceed the encoded number of syllables in the translations and in the original creations as well:

Csendes a város	(5 sillabe)	On New Year's mornin
gújév reggelén.	(5 sillabe)	the city is silent.
Hólé csepeg egy ágról.	(7 sillabe)	Slush is dropping from a branch.

[László Sárközi (1969-)[5]]

Mentem volna szódás-kocsisnak,	(9 sillabe)	I wish I became a barrow man,
ki a nagy, szőke lovakat	(8 sillabe)	who cleans, cleans silently
csak mossa, mossa: hallgatag.	(8 sillabe)	the big, chestnut domestic horses.

[Nemes Nagy Ágnes (1922-1991)[6]]

One of the poets, who respect carefully the rules, is Imre Babics[7] (1961-); his poems are well structured in base of the norms, they usually contain a *kigo*

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[2] 'Negyven pillanatkép' [Forty instant images] in *Számadás* [Statement], 1935.

[3] Poet, translator, essayist. Cf. *Kosztolányi Dezső Összes Novellái* I-II [The complete short stories of Dezső Kosztolányi], 2007, Osiris Kiadó; *Kosztolányi Dezső Összes Versei* [The complete works of Dezső Kosztolányi], 2005, Osiris Kiadó; *Kosztolányi Dezső Összes Regényei* [The complete novels of Dezső Kosztolányi], 2003, Szukits Könyvkiadó.

[4] In Hungarian respectively *haiku-lánc*; *haiku-füzér* and *haiku-naptár*.

[5] Poet. Cf. *Belső Világ* [Inner world], 2001; *Dedikáció az örökkévalóságnak* [Dedication to eternity], 2005.

[6] Poet, translator, essayist. Cf. *Kettős világban* [In a double world], 1946; *Aranyecset, keleti mesék* [Gold paint brush, oriental fables, 1962; *Napforduló* [Solstce], 1967; *64 hattyú* [64 swans], 1975; *Between. Selected Poems of Ágnes Nemes Nagy*, Budapest-Dublin-Berlin, 1988; *Szó és szótlanság. Összegyűjtött esszék 1* [Word and silence. Collected essays 1], 1989; *A magasság vágya. Összegyűjtött esszék 2* [Desire of highness, Collected essays 2], 1992; *Erkölcs és rémület között. In memoriam Nemes Nagy Ágnes* [Between morality and scare, In memoriam Nemes Nagy Ágnes], 1996; *Nemes Nagy Ágnes összegyűjtött versei* [Collected poems of Ágnes Nemes Nagy], 1997.

[7] Poet, writer. Cf. *A Kék Ütem Lovagrend* [Blu cadence knights, 1989; *Magyarok kertje* [The garden of Hungarians], 1991; *Két lépés a függőhídon. A széthajtogatott fekete doboz* [Two steps on the suspention bridge. The unfolded black box], 1993; *Ködkeselyűk* [Vultures of the fog], 1996; *Hármashatár-heg*, 2007.

word, and have no titles, which is the case of many Hungarian examples. The following haiku evokes succesfully an orientalizing atmosphere:

Hajnali dércsepp húzza le az utolsó pillangó szárnyát.[8]	A dawny drop of white frost burdens on the wing of the last butterfly.
10. Fagyöngy a téli fűzfán. Idő – látszólag – nem érinti meg.[9]	10. Mistletoe on the wintry willow. It seems that Time doesn't touch it.

The haiku of László Sárközi are organized in cycles (cf. *Tizennyolc haiku*[10] 'Eighteen haiku'), the number of syllables varies among 5-5-7, 5-7-5, 5-8-5, 7-5-5 etc, while in relation to the rhyme, these texts often respect the scheme a-x-a. Here I quote only the first three strophes of the cycle:

Csendes a város újév reggelén. Hólé csepeg egy ágról.	On New Year's morning the city is silent. Slush is dropping from a branch.
Arcod mint finom rám és rád hulló cseresznyevirág szirom.	Your face is like the petal of cherry blossom that falls to me and to you.
Járt úton megyek: lenn elfojt a barna por, fenn gyűlölt hegyek.	I'm walking to frequented streets: below the brown dust soffocates me, above there are the hated mountains.
[…]	[…]

Dezső Kosztolányi is not only the author of the first Hungarian haiku, but also one of real linguistic plays.[11] In one of his letters he 'invented' the so-called 'poetry to the fingernail' (cf. Hungarian *körömvers*): since it's possible to collocate seventeen syllables to a fingernail, haiku can be considered a member of this type of 'poetry to the fingernail'. Among his *Negyven pillanatkép* 'Forty instant images' we can find

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[8] In *A Kék Ütem Lovagrend*, Budapest, Magvető Kiadó, 1989.
[9] In *Hármashatár-heg*, Budapest, Napkút Kiadó, 2007.
[10] *Fedél nélkül – hajléktalanok lapja* [Without roof – journal of waifs], 1st June 2000, n° 157.
[11] 'Haiku-szerű töredékek' [Haiku-like fragments] (http://www.terebess.hu/haiku/kosztolan.html).

several that in their essence resemble to haiku. According to my opinion, it's possible to analyse the following short poem as the sum of three haiku, namely a haiku per line:

15. OKTÓBERI TÁJ	15. AUTUMNAL LANDSCAPE
Piros levéltől vérző venyigék. A sárga csöndben lázas vallomások. Szavak. Kiáltó, lángoló igék.	Canes bleeding from red leaves. Delirious confessions in the yellow silence. Words. Crying, flaming verbs.

His short poems are really interesting and amusing when the poet utilizes the assonance in a rather subtle manner (*Csacsi rímek* 'Dicky rhymes'); these texts have almost nothing in common with the Japanese model, however they could be considered a particular kind of Hungarian haiku. Every poem has a title (also if classic haiku, by nature, has no one) that serves to complete the own structure. It's really an arduous task to translate these specific assonances of the Hungarian language in other languages:

POLGÁRI IDILL	BOURGEOIS IDYLL
Pislán máléz a kislány.	A winking noddy girl.
ŐSZ	AUTUMN
Szeretem én az őszt önző vággyal, minthogy oly ösztönző.	I like autumn with egotistic longing, because its' so exciting.

The strophes of József Utassy (1941-)[12] are perfect haiku, even if they are singular elements of entire chains of haiku. For example, his already well-known poetry *Május* 'May' consists of ten strophes; every strophe corresponding to a haiku. The lyrical "I" emerges immediately in the first strophe together of the landscape evoked by the cherry blossoms (*kigo*). In the poem nature completes its cycle and obviously there is analogy between human life and the inexorable cycle of seasons:

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[12] Poet, translator. Cf. *Júdás idő* [Time of Judas], 1984; *Ragadozó Föld* [Predator earth], 1987; *Irdatlan ég alatt* [Under the huge sky], 1988; *Hungária kávéház? Kávéház Hungária!* [Café Hungária? Hungária Café!], 1988; *Keserves* [Bitter], 1986-89, *Hol ifjúságom tűnt el* [Where my youth is disappeared], 1992; *Fény a bilincsen* [Light on the manacle], 1994; *Kálvária-ének* [Calvary-Song], 1995; *Földi szivárvány* [Earthly rainbow], 1996; *Ötvenöt ördög* [Fifty five devils], 1997.

MÁJUS	MAY
Meggyfavirágok! Nálatok fehérebben íme, itt állok.	Cherry blossoms! Whiter then you lo, I'm here.
Hull a hajamra, szakad a szirom-zápor, meg a virágpor.	The shower of blossom and pollen is falling, precipiting on my hair.
Honnan e bánat? Torkolattüze villog a tulipánnak.	Why this sadness? The tulipan's fire of jaw is glinting.
Május. Orgonák mélylila illata leng, liliom mereng.	May. The dark purple perfume of lilacs is fluttering, The lily is brooding.
Immáron ötven esztendő van mögöttem, immáron ötven.	Already there are fifty years behind me, fifty years.
Láttam, s ez rávall: láttam az Ararátot örök havával.	I saw it: I saw the Ararat with its eternal snow.
S íme: december a három fagyosszenttel gyilkolja kertem.	Lo: December is killing my garden with three ice saints.
Sír a barackfa, zokog a vén diófa: csönd hull majd róla.	The peach is crying, The old nut is sobbing: silence will fall from it.
Állatok alattuk fejem lehajtva mélyen, s faggatom, kérdem:	Animals, below them I deeply bent my head, and I quiz and ask:
miért, miért törsz az ártatlanokra, Tél, miért, miért ölsz?!?	why, why break you in upon the innocents, Winter, why, why kill you!?!

János Csontos (1962-)[13] wrote also a calendar of haiku, the *Haiku-naptár*[14], which consist of four per thirteen haiku, namely thirteen for every season and one for every week. Lajos Saitos (1947-) also tries this possibility together with Dezső Tandori (1938-)[15], who organizes his translations from Japanese in a calendar: *Japán haiku versnaptár*[16] 'Poetic calendar of Japanese haiku'.

There is another category of Hungarian haiku, which is often very distant from the canonical form – but at the same time – is near to the Japanese model regarding the semantic aspects. Popular subjects of Japanese haiku are loneliness, fear from death and so on, but these are *topoi* present also in the European poetry. In these poems the oriental landscape is often replaced by the Hungarian one. László Sajó (1956-)[17] creates his own world of haiku using symbols of christianity; in consequence at the centre of his universe is collocated the relationship between God and the poet. In the first haiku of the cycle '33 haiku'[18] he seems even to emphatize with the crucifixion nail placed through the palm of Christ:

a méhtelepen rozsdás szög átütöttem krisztus tenyerét	on the bee colony I, rusty nail, stabbed the palm of Christ

László Sajó doesn't exceed the limits of his own culture, in his haiku the symbols of christianity are conspicuously present; in his short poems he doesn't

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[13] Poet, writer.

[14] In *XL – Összegyűjtött versek*, 1980–2002 [XL – Collected poems, 1980-2002], Budapest, Széphalom Könyvműhely, 2002, 124-130.

[15] [pseudonyms: *Nat Roid* (thriller), *Tradoni*, *Hc. G. S. Solenard* (sci-fi)] (1938-), poet, writer, translator. Cf. *Tandori Dezső Válogatott Versek* [Selected poetry of Dezső Tandori], 2006, Osiris Kiadó; *Tandori Dezső Legszebb Versei* [The most beautiful poems of Dezső Tandori], 2007, Ab-Art Kiadó; *"tt éjszaka koalák járnak"* ["Here koalas come during the night"], 1977; *Miért élnél örökké?* [Why would you live forever?], 1977; *A meghívás fennáll* [The invitation is still valid], 1979; *Madárlátta tollaslabda* [Advanced badminton], 1980; *Valamivel több* [A bit more], 1980; *Helyből távol* [Far from place], 1981; *Sár és vér és játék* [Mud and blood and play], 1983; *Egynyári vakjátszma* III/1. *Meghalni késő, élni túl korán* [Monocarpic play in the darkness III/1. It's late to die, to live it's early], 1988; *Egynyári vakjátszma* III/2. *Egy regény hány halott?* [Monocarpic play in the darkness III/2. One novel how many deads?], 1989; *A tizedik év: Walton Street* [Tenth year: Walton Street], 1990; *Szent Lajos lánchídja* [The Chain bridge of Saint Louis], 1991; *Döblingi befutó* [The winner of Döbling], 1992; *Tandori avagy Karácsony a Húsvét-szigeteken* [Tandori or Christmas on Easter Island], 1996; *Medvék és más verebek* [Bears and other swallows], 1996; *És megint messze szállnak* [And again they fly far away], 1997; *Pályáim emlékezete* [Memories of my carriers], 1997.

[16] Dezső Tandori, *Japán haiku versnaptár* [Poetical calendar of Japanese haiku], Budapest, Magyar Helikon, 1981.

[17] Poet. Cf. *Napkeleti pályaudvar* [Eastern Railway Station], 1986; *A kavics helye* [The site of the pebble], 1992; *Földön vonuló felhők* [Clouds floating on the earth], 1994; *Fényszög* [Angle of light], 1995; *Vendégkönyv* [Visitor's book], 1997.

[18] In *Földön vonuló felhők*, Budapest, Századvég Kiadó, 1994.

even try to adopt the vision of the buddhist world. Among the '222 haiku'[19] there are various poems of slight intrinsic poetic value; in fact sometimes the same poet is self-conscious and admits the difficulty met during writing:

arany árnyéka tinta – papírra vetem aztán a tűzbe	the shadow of gold ink – I put it on the paper then into the flames
beteges ahogy haikuban beszélek abbahagyom	it's unhealthy to speak in haiku I give up

In another group of poems even everyday, ordinary objects become protagonists, in fact they have nothing in common with haiku except their formal structure:

szép szemed van meg- emeltem ujjammal a bugyi szegélyét	you have beautiful eyes I lifted up the edge of your slip
kérek tíz deka parizert szeletelve köszönöm szépen	I'd like some parizer in slices thank you
szia megjöttem azt látom szia történt valami semmi	hello I've arrived I see hello what's happened nothing
az egészséges alma szép lassan barna magjához rohad	the healthy apple slowly becomes rotted to its seeds
most a napsütés most a napsütés most a napsütés most a	now the sunshine now the sunshine now the sunshine now the
a kávét cukor nélkül iszom aztán el- szívok egy cigit	I take coffee without sugar then I smoke a cig

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[19] In *Fényszög*, Budapest, Osiris Kiadó, 1995.

In the cycle *A haiku árnyéka* 'The shadow of haiku', consisting of 111 strophes, the main topic is death and putrefaction. Here I present only a shorter selection of the whole poetical work in question:

ITT NYUGSZIK SHAYO 2025– KÖLTŐ RAJZOLÓ	HERE RESTS SHAYO 2025- POET ARTIST
*	*
ilyen szépnek mint a halálpillanatban nem láttam kertem	I've never seen my garden so nice than now at the moment of death
*	*
isten ideges ujjai dobolnak a koporsón rögök	God is nervous his fingers play the drum on the coffin clods
*	*
csupasz talpamon nem érzem a hangyát csak nevetek rajta	on my bare feet I can't feel the ant I only laught
*	*
elgázolt macska száján kifordult belek ennél szebb – halál	on the month of the run over cat bowels nicer – death
*	*
megássa saját elvezető árkát és megpihen a test	the body digs its own ditch and takes a rest
*	*
föltápászkodom pocsolyámban még egyszer megnézem magam	I get on my feet in the pool ones more I have a look at me
*	*
nyelőcsövemen gyomromból táplálkozom felélem magam	I feed myself from my stomach I eat up myself
*	*

körülárkolva élősövény rohad rám hullám mélyre csap	entrenched live hedge rots at me my corpse reaches great depth.
*	*
fák kérge alól mennybe jutnak kibuggyant gyomrom nedvei	from under the cortex my gushed out gastric juice reaches Heaven
*	*
az eső bever koponyámba – lakatlan házam égre néz	the rain falls into my skull – my desert home looks at the sky
*	*
bűz nyirkos sötét van kimegyek kicsit a friss levegőre	it's smelly and moist darkness I get out into the fresh air
*	*
a feltámadás villanykapcsolójáért tapogatózom	I grope after the light-switch of the resurrection
*	*
nincs föltámadás isten csak tudnám minek emésztem magam	there is no resurrection God if only I knew why I'm wasting away myself
*	*
hóval esővel napsütéssel az élet bombázza sírom	life bombards my grave with snow rain sunshine
*	*
hagyj békén vándor szedj málnát az életben maradottaknak	let me be, wanderer pick raspberries to the survivors
*	*
nyomom gödrében hangya fuldokol – levél hull rá csönd van itt	in the hole of my print an ant is drowning – in the silence a leaf falls

As we've seen, haiku is often used as strophe, mainly when poets feel the necessity to go beyond the limits of the original model. For example the production of Éva Láng (1925-)[20] is based on this model when she realizes *couples of haiku*[21]:

Lepke-virágom, csontkezű tél letarol, nincs hova szállni, elrejt a homály, mélytüzű éjféllel majd rádnyit a holdfény: -	My butterfly-flower, the icy winter is devastating, there is no place to fly to, the obscurity disguises, and the moonlight reaches you with burning midnight

József Utassy wrote a poem made up of four haiku strophes, one for every season. This poet appears interesting as well because he attributes titles to his poems:

NÉGY HAIKU	FOUR HAIKU
Tombol a tavasz. Ám a magvak szivében irdatlan csönd van. Parazsadat, nyár, zápor sistergeti. Füstöl a határ. Látod, szememben barna bánat bandukol. Ősz van, szerelmem. Álmunkban olykor beszélgetnek a hamvas fák. Hozzád: Szabadság!	Spring is blowing. But in the heart of the seeds there is utter silence. Your embers, summer, crackle in the shower. The countryside is emitting smoke. Look, in my eyes brown sadness is ambling. It's autumn, my love. Sometimes in our dreams white trees are talking. To you: Freedom!

In Sándor Kányádi (1929-)[22] we find again the concept of 'poetry for fingernails'. He writes some texts not only for one fingernail, but also 'for two fingernails' or even 'for Shaman's fingernails':

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[20] Poet, journalist. Cf. *A nyomtalan nyomában* [On the track of the 'without track'], 1985; *Ki fogja elbeszélni?* [Who will tell it?], 1990; *Köldökzsinóron* [On the umbilical cord], 1997.

[21] '7x2 haiku', *Nincs kivétel*, Új versek és válogatások [There is no exception, New poems and selections], Tevan Kiadó, Békéscsaba, 2003, 291-292. (http://www.terebess.hu/haiku/lange.html)

[22] Poet. Cf. *Cseresznyefa* [Cherry tree], 1955; *Sirálytánc* [Dance of seagulls], 1957; *Kicsi legény, nagy tarisznya* [Little boy, big haversack], 1961; *Harmat a csillagon* [Dew on the star], 1964; *Fényes nap, nyári nap* [Brighty day, summer day], 1964; *Három bárány* [Three lambs], 1965; *Kikapcsolódás* [Relaxation], 1966; *Függőleges lovak* [Vertical horses], 1968; *Fától fáig* [From tree to tree], 1970; *A*

KÉT KÖRÖMRE	FOR TWO FINGERNAILS
ŐSZI ÉJSZAKA	AUTUMN NIGHT
rabszállítóként csukódik ránk a sötét őszi éjszaka	the dark autumn night reaches us as a police wagon
üzemelteti az újratermelődő szívós félelem	the resistent, self reproducting fear makes it function

HISTÓRIA *Sámán körmökre**	HISTORY *For Shaman's fingernails*
sátrakban laktunk de írni már akkor is tudtunk különben	we were dwelling in tents but nevertheless we could already write in that time
honnan tudnátok őseitek sok hősi tettét ha föl nem	how could you know the heroic actions of your ancestors if
jegyeztük volna félkönyökön bár s nyereg- kápának dőlve –	we didn't recorded them leant on our elbows and against the pommel –
európában akkor még ürgelyukban lakott a jó nép	in Europe in that time the good folk still lived in burrows of squirrels
s Róma romjain vakarózva fürdőt már hírből sem ismert	and on the ruins of Rome already didn't see nobody taking bath scratching
noli tangere… neked is nekem is jobb ebbe maradnunk 1983	noli tangere… it's better for me and for you we are agreed 1983

bánatos királylány kútja [The fountain of the sad princess], 1972; *Szürkület* [Dusk], 1979; *Farkasűző furulya* [Flute that chase away the wolves], 1979; *Tavaszi tarisznya* [Spring haversack], 1982; *Madármarasztaló* [Invitation to birds], 1986; *Küküllő-kalendárium* [Calendar of Küküllő], 1988; *Sörény és koponya* [Mane and skull], 1989; *Felemás őszi versek* [Ambiguous autumnal poems], 2002.

There is another large category of Hungarian haiku, which doesn't respect nor the metrical rules, nor the semantic ones, nevertheless they are considered authentical Hungarian haiku: for example, the essential poems of Zoltán Jékely (1913-1982)[23] in which the Hungarian landscape and reality emerge with force:

FECSKÉK	SWALLOWS
A villanydrót öt égi vonalán izgága hangjegyek a füstifecskék. Ha lejátszhatnám, bennük már az estét s az ősz első akkordját hallanám. Kolozsvár, 1933	On the five celestial wires of the pylon the swallows are chirpy musical notes. If I could play them, I'd hear the first chord of autumn. Cluj-Napoca, 1933
APRÓ KÉPEK, I	MINIATURES, I
Juhászkutyák Karám előtt három lompos ugat, felettük éhesen szállnak a varjak. Tudják: ők falják fel hullájukat, mit téli farkasok miszlikbe martak.	Sheep dogs In front of the fold three dogs bark, above them crows are flying. The dogs know: they'll eat up their corpses, that wintry wolves cut up in pieces.
KALOTA FELÉ A csillagos falutornya felett, mint léghajó, kék ködtömeg lebeg: a pára, melyet álmukban leheltek fáradt barmok s fáradtabb emberek.	TOWARD KALOTA Above the starry tower of the village blue fog is floating like a balloon: the vapour breathed by tired animals and more tired persons during their dreams.
HAJNAL, I TÖREDÉK Mint egy vasastartalmú tócsa poshadt, vörös világa, olyan künn az ég. Az őr a ház körül végső útját tapossa, s lezárja felhúzott revolverét. 1934	DAWN, I FRAGMENT Outside sky is like the red, stale universe of a ferrous pool. The guardian around the house is completing his last turn, and he's closing the cocked revolver. 1934

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[23] Poet, writer, translator. Cf. *Összegyűjtött versei* [His collected poems], 1985; *Összegyűjtött novellái* [His collected short stories], 1986; *Sorsvállalás, esszék* [Assumption of destiny, essays], 1986.

ORGONA-SZÁL	A BRANCH OF LILAC
Orgona-szál remeg a jobbkezemben. Megszagolom – és szerelmes vagyok, Szerelmes a legelső szerelembe, Mely voltaképp soha el sem hagyott. 1960	A branch of lilac is trembling in my right hand. I smell it – and I'm in love, I'm in love with the first love, which in point of fact never leaved me. 1960

The poet János Pilinszky (1921-1981)[24] is inspired too by the oriental traditions, among his works figure several short poems. Also in this case, the orientalizing form is 'contaminated' by christian symbols, by western philosophy or by western everyday life:

AGONIA CHRISTIANA	CHRISTIAN AGONY
Szellőivel, folyóival oly messze még a virradat! Felöltöm ingem és ruhám. Begombolom halálomat.	With its breezes and rivers dawn is still so distant! I put on my shirt and suit. I button up my death.
FEHÉR PIÉTA	WHITE PITY
A fényérzékeny levegőben csukott szemhéjak. Anya és fia. Fehér kezek és még fehérebb ráncok. Piéta és laterna mágika.	In the photosensitive air there are closed eyelids. Mother and her son. White hands and whiter wrinkles. Pity and magic lantern.
EGY SÍRKŐRE	ON THE GRAVE
Túlhevített virágcsokor.	A superheated bunch of flower.
MERÉNYLET	ATTEMPT
Megtörtént, holott nem követtem el, és nem történt meg, holott elkövettem.	It happened, but I didn't commit it, and it didn't happen, although I commit it.

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[24] Poet, writer. Cf. *Összegyűjtött művei* I. *Versek* [His collected works I. Poems], 1992, II. *Széppróza* [literary prose], 1993, III-IV. *Tanulmányok, esszék, cikkek* [Studies, essays, articles], 1993, V. *Beszélgetések* [Conversations], 1994, VI. *Naplók, töredékek* [Diaries, fragments], 1995; *66 vers - 66 poems*, 1994; *The Desert of Love*, 1994; *Összes versei* [Collected poems], 1996; *Összegyűjtött levelei* [Collected letters], 1997.

HOMMAGE A ISAAC NEWTON	HOMMAGE TO ISAAC NEWTON
megtesszük, amit nem teszünk meg, és nem tesszük meg, amit megteszünk. Valahol rettenetes csönd van. Effele gravitálunk.	we do, that we don't do, e we don't do, that we do. somewhere there's a dreadful silence. We gravitate here.
EGY FÉNYKÉP HÁTLAPJÁRA	ON THE BACK OF A PHOTOGRAPH
Görbülten megyek, bizonytalanúl. A másik kéz mindössze három éves. Egy nyolcvan éves kéz s egy három éves. Fogjuk egymást. Erősen fogjuk egymást.	I'm walking with a stoop, unsteadily. The other hand is only three years old. An eighty years old hand and a three years old one. We hold hands. We strongly hold each other.
ÖRÖKLÉT	ETERNITY
A fésű meghalt a hajadban, simogatásom is megállt. Kiveszem a fésűt kezedből. Mindennek vége. Karonfogva ülünk.	The comb died in your hair, my stroke came to stop. I take the comb from your hand. Everything is finished. We are sitting arm in arm.

Károly Tamkó Sirató (1905-1980)[25] plays not only with briefness, but also with the form. He wrote some poems in one, two or three lines and among those that are constituted by only one line, several count seventeen syllables such as the structure of traditional haiku[26]:

EGYSOROSAK	IN A VERSE
A jegenyesoron skálázik a gravitáció: Ősz.	Autumn: the gravitation is practising scales on the row of the poplars.
Olyan szomorú volt, mint egy hagymatraumás árticsóka.	It was so sad, as an artichoke traumatized by an onion.
Az első számú világállandó a V. A Változás.	The first universal constant is the V. The Variation.
Senki sem képzelheti, hogy az avantgarde: helybentopogás.	Nobody can imagine, that avantgarde is: getting nowhere.

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[25] Poet, translator. Cf. *Összes művei* I. [His collected works I.], 1993.
[26] Cf. Merész és döntő, / mint két centiméter egy / hajtűkanyarban.

Merész és döntő, mint két centiméter egy hajtűkanyarban.	Audacious and decisive, as an inch in a hook.
Beléivódtál az életembe, mint a mágneses tér a jégbe.	You're ingrained in my life, as the magnetic field in the ice.
A pszichológusok a nyűtt emberlét üstfoldozói.	Psychologists are repairmen of the shabby human existence.
Az ember - vizesoldat egy légbuborékban.	Man - is a solution in an air bell.

KÉTSOROSAK	IN TWO VERSES
Tévedni emberi dolog és ő egész életével bizonyította, hogy valóban - ember!	To make a mistake is human and he proved in his whole life that he's really a human being!
Csodálkozott, mint a forró víz a hőpalackban: - Megállt az idő?	He was surprised as hot water in the thermos: - Time is stopped?
A kutyának a tolvaj idegen-szaga és nem erkölcsi értéke nyilallik az orrába.	The nose of the dog is sensible to the unfamiliar odour of the thief and not to his moral value.
Nincs olyan kerítés amelyen kívül ne	There is no gate without beyonds.

HÁROMSOROSAK	IN THREE VERSES
A sivatagok szomjazó arab világa talán még azért is irigy Európára, mert itt még a vécében is ivóvíz folyik.	The thirsty Arabic world of the deserts is envious of Europe maybe also because here there is drinking water in the closet too.
Ha én egy ruhán annyi hibát csinálnék, mint olimpiai futballcsapatunk játék közben, már réges-rég éhen haltam volna. ....(A szabóm mondta.)	If I would make so many errors on a dress as our olympic soccer team during the match, I'd die of hunger in the year one. ....(Said my tailor)

Usually in the haiku emerge not only the Hungarian landscape and the European thought, but also several problems related to political affairs, to the

Second World War and/or to the Hungarian socialism, etc. Reading some of János Pilinszky's and Gyula Illyés' (1902-1983)[27] short poems we can deduce the power of horror arroused by the war:

ÖNARCKÉP 1944-BŐL Sírása hideg tengelyében áll a fiú.	SELF-PORTRAIT FROM 1944 The boy is standing in the cold axle of his cry.
NÉGYSOROS Alvó szegek a jéghideg homokban. Plakátmagányban ázó éjjelek. Égve hagytad a folyósón a villanyt. Ma ontják véremet.	QUATRAIN Sleeping nails in the icy sand. Drenched nights in the solitude of posters. You left the light on in the corridor. Today they'll shed my blood.

ROHAM ELŐTT Átszáll a folyón a kürtszó forró-fűszeres ize. Marja a katonák dobhártyáját vad déli fény. Ki akar hóditani? Senki! De új csata hangja bizsereg a vezér tenyerén.	BEFORE ATTACK[28] The ardent and aromatic taste of the bugle-call is flying over the river. The strong midday light burns the eardrum of the soldiers. Who wants to conquer? Nobody! But the echo of the now battle prickles on the palm of the captain.
NAPRAFORGÓK Fejek, fejek – karóba húzva mind? Karóba vert szemek! Az iszonyra nyilt pillák üvöltenek.	SUNFLOWERS Heads, heads – are they all impaled? Impaled eyes! The eyelashes widely opened to the horror are howling.

The difficult Hungarian reality of the Socialist period becomes subject of the short poems, as we can see it also in a few short poems (*Körömversek* – 'Poems to fingernail') of Sándor Kányádi:

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[27] Poet, writer, translator, essayist. One of the most outstanding protagonists of the Hungarian history and literary life of the XIX century. Cf. *Hűtlen jövő*, Válogatott versek [Unfaithful future, Selected poems], 2002, Nap Kiadó kft.; *Regények I-II.* [Novels I-II], Mátyás Domokos (ed.), 2003, Osiris Kiadó; *Illyés Gyula összegyűjtött versei 1-2* [The collected poems of Gyula Illyés], Mátyás Domokos (ed.), 1977, Szépirodalmi Könyvkiadó, 674; *Illyés Gyula művei I–III.* [The works of Gyula Illyés I-III], Anna, Szalai; Aranka, Ugrin (ed.), 1982, Szépirodalmi Könyvkiadó.

[28] *Két háborús haiku* 'Two wartime haiku'.

Szögesdrót-eső. A magasság is hozzánk alacsonyodott.	Rain of barbed wire. Highness is descended among us.
Dérverte május. Riadt pillámra halott szirmok havaznak.	May is covered by white frost. Petals are snowing to my frightened eyelash
Lesz-e majd torok elüvölteni, amit most elhallgatunk?!	There will be a throat to yell that now we are withholding?!

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Translations or rewritings?

In the Hungarian evolution, haiku is realized in various manners, however there is a huge quantity of examples respecting not only the scheme, but also the particular essence of Japanese haiku.

Analysing the Hungarian translations, we could become aware of poems written in three lines, respectively consisting of five, seven and five syllables, but very often these lines are characterized by the presence of rhyme or alliteration.

Carrying out a contrastive analysis of a well-known haiku of Yosa Buson (1716-1784) and some of its translations, it's possible to exemplify the Hungarian attitude:

釣鐘にとまりてねむる胡蝶かな

tsurigane ni / tomarite nemuru / kochō kana.[29]

Compared to the Japanese original, the first important difference of the translation by Dezső Kosztolányi is the presence of the title *Harang* 'Bell':

HARANG
Templomi harang bronzán libegve / alszik / egy csöpnyi lepke.[30]
BELL
On the bronze of the church bell / a little butterfly / is sleeping fluttering.

Another divergence regards the distribution of the words in the three lines; respectively we count 10-2-5 syllables instead of the canonical subdivision (5-7-5), that otherwise would be also possible in this particular case (*Templomi harang bronzán / libegve alszik / egy csöpnyi lepke*).

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[29] "on the big bell / is perched to sleep / ah! the butterfly";
cf. http://www.zenfire nze.it/Approfondimenti/haiku-paolo-pagli-app16.asp.
[30] Kosztolányi Dezső, cf. www.terebess.hu/haiku/kosztolanyi.html.

In the version of Kosztolányi, the verb *alszik* 'is sleeping' is collocated in evidence also from a typographical point of view. At the semantic level we find also a metonymy *Templomi harang bronzán* 'On the bronze of the church bell' and a term of endearment *csöppnyi* 'very little, minim'. The whole is characterized by the rhyme *libegve* 'fluttering' / (*csöpp*)*nyi lepke* 'little butterfly'.

The following translation is made by Dezső Tandori:

> A bronzharangra / pillangó telepedett; / alussza álmát.[31]
> A butterfly is perched down / on the bronze bell; / sleeps its dream.

This version is fairly different from the previous one, mostly because it evokes a rather static image: the butterfly is perched on the bronze bell and sleeps on its surface. It's important to note the different lexical choice of the two poet-translators between Hungarian *lepke* 'moth, butterfly' and *pillangó* 'butterfly'; the two terms belong to different linguistic registers (*pillangó* is more formal and poetical) and their phonic structures express different sensations as well. The cromatic and material quality of the bell is emphasized in both versions; in fact, in the second translation we find a compound term *bronzharang* 'bronze bell'.

A new element comes into view in the following translation of István Rácz (1908-1998)[32], namely a temporal indication, that refers to a precise moment of the day: *déli hőség* 'heat of the noon sun'. This expression acts also as a *kigo* which denotes summer. The bell is *nagyharang*, a 'big bell', most likely the first constituent of the compound term serves to reach the required number (7) of syllables. The third line is characterized by a costant vowel sequence which – from a phonic point of view – emphasizes the duration of the rest. The translator's preferred verb is *szendereg* 'to doze', 'to slumber'.

> Déli hőségben / a templom nagyharangján / lepke szendereg.[33]
> In the heat of the noon sun / on the big church bell / a butterfly is dozing.

The following translation by Ödön Horváth (?) catches the moment in which the butterfly perches down to the bell and falls into sleep – *nyomban* – 'on the instant':

> Templomharangra / szállt a pillangó és ott / nyomban elaludt.[34]
> The butterfly is perched down / to the church bell and there / felt into sleep on the instant

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[31] Dezső Tandori, *Japán haiku versnaptár* [Poetical calendar of Japanese haiku].

[32] Translator, memorialist, photographer. Cf. *A finnugor népek népművészete* [Popular art of finno-ugric people], 1978; *A vikingek öröksége* [Heritage of vikings], 1983; *Egy fotográfus vallomásai, önéletrajzi fotóalbum* [The confessions of a photographer, illustrated autobiographic album], 1988; *A Semmi partján* [On the shore of nothing], 1991.

[33] István Rácz, *Fényes telihold*, *Négy évszak Nipponban* (Haikuk és tankák) [Brighty full moon, Four seasons at Nippon (Haiku and tanka)], Budapest, Kozmosz Könyvek, 1988.

[34] Ödön Horváth, cf. http://www.terebess.hu/haiku/horvath.html.

Károly Pető Tóth (1954-)[35] amuses himself to repropose Japanese haiku in various versions; in this particular case he found out two amusing solutions – the first one is an exclamation of surprise, while the second one expresses mainly a sort of incredulity.

In both cases – despite of the brief form – he tries to create a little bit tension asserting that *valami alszik* 'something is sleeping' and putting the solution of the enigma, namely the Hungarian term for 'butterfly' only at the end of the haiku:

1) Templomharangon / valami alszik csendben. / De hisz pillangó!
On the church bell / something is sleeping in silence. / But this is a butterfly!

2) Alszik valami / a harangon. Odasüss, / csak nem pillangó?![36]
Something is sleeping / on the bell. Look at here, / it's a butterfly, isn't it?!

At last the translation of László Pohl (?)[37] begins with an assertion: 'Church bell' that introduces the object: in the central line there are two verbs indicating punctual actions *rászállott* 'perched on' and *elaludt* 'fell into sleep', while the little butterfly, the agent of the two actions, is introduced only at the third line:

Templom harangja – / rászállott és elaludt / a kis pillangó.[38]
Church bell – / the little butterfly / is perched on it and fell into sleep.

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Another famous haiku of Matsuo Bashō (1644-1694) celebrates a raven:

ひごろ憎き烏も雪の朝哉
higoro nikuki / karasu mo yuki no / ashita kana.[39]

The translation of Dezső Kosztolányi is appreciable from various points of view. First of all, in the first line the Hungarian poet and translator creates a 'specularity'[40], which regards the vowel sequence *ú a a ú*; the Hungarian term *varjú* 'raven' constitutes a rhyme with (*hóvi*)*har fú* 'a snowstorm is blowing'. In this way, the first and the last lines are joined by a strong force which functions as a frame respect to the middle line, where we register 'only' the reiteration of

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[35] Poet. Cf. *Tízezerlyukú síp, egylyukú rosta* [Whistle of tenthousand holes, sifter of one hole], 1991; *Hal-álom* [My death], 1994; *Mai kocsma* [Contemporary pub], 1997.

[36] Károly Pető Tóth, cf. http://www.terebess.hu/haiku/petho.html.

[37] Translator. Cf. *Száznyolcvankét talált haiku* [One hundred eighthy two discovered haiku], 2004, Pohl Kiadó.

[38] http://terebess.hu/haiku/pohlhaikufordk%E9sz.html.

[39] "usually hateful / yet the crow too / in this dawn snow" in *Bashō's haiku: selected poems by Matsuo Bashō*, translated and with an Introduction by David Landis Barnhill, State University of New York Press, Albany, 2004, n. 525.

[40] Silvestri 2002.

illabial front vowels: *i, é, i, í, e, e*. The verb *fú* 'to blow' is of onomatopoeic origin; the sound of the blowing wind is evokated by the fricative consonant *f*, while this particular phonic effect is enforced also by the conspicuous repetition of the *h*. The *kigo* is present by the reference to the snow.

A VARJÚ
csúnya varjú – / mily szép is, így reggel, / ha hóvihar fú.[41]
THE RAVEN
Ugly raven – / how beautiful is the morning / when the snowstorm is blowing.

Dezső Tandori plays with the polarization of the adjectives *rút* 'ugly' and *szép* 'nice, beautiful', that are in relation between them at the end of the last two lines divided by an enjambement. In first position we find the expression acting as *kigo, havas reggelen* 'during the snowy morning':

Havas reggelen / még a máskor igen rút / varjú is de szép.[42]
On the snowy morning / also at another time very ugly / raven is beautiful.

István Rácz prefers the sequence of two short exclamations to recreate the meaning of Bashō's haiku. The blowzy raven – *borzas varjú* – seems beautiful in the snowy background:

Minden hófehér! / Most a borzas varjú is / jaj de csudaszép![43]
Everything is white as snow! / Oh, how beautiful is / now also the blowzy raven!

The translation of Gábor Terebess (1944-)[44] is worth of attention because of various facts; the first one regards the absence of interpunction and the capital letters at the beginning of the first line. The second idiosyncrasy is, that Terebess doesn't respect the canonical form 5-7-7, but his version is a haiku from the category of 5-5-5. The poem contains two alliterations as well between *viszolyogtat* and a popular variety of the Hungarian term *varjú*, namely *varnyú* and on the other hand between *hajnali* and *hóban*. The translator uses also a mitigated paraphrase – through a litotes – respect the previous rewritings: *nem viszolyogtat* 'it doesn't disgust me', so it's not ugly (then it's beautiful).

nem viszolyogtat / most a varnyú sem / hajnali hóban[45]
in the dawny snow / now the raven doesn't disgust me

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[41] Kosztolányi.

[42] Tandori.

[43] Rácz.

[44] Writer, translator, orientalist. Cf. *Ezerízű Kína. A kínai táplálkozás kultúrtörténete* [China from a thousand of savours. The history of chinese nourishment], 1986.

[45] Gábor Terebess, *Matsuo Bashō (1644-1694) haikui japánul és magyar fordításai* [The haiku of *Matsuo Bashō (1644-1694)* in Japanese and in Hungarian translation], cf. http://www.terebess.hu/haiku/baso/terebess.html.

László Pohl proposes another discordant solution: the raven provokes a negative sentiment in the spirit of the lyric "I", the bird is disgustful not only because of its exterior aspect, but it's even hated, even if it could be beautiful in a such snowy morning.

A gyűlölt varjú / is lehet szép egy ilyen / havas reggelen.[46]
The hated raven / could be beautiful in a such / snowy morning.

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The various rewritings of the famous haiku of Kobayashi Issa (1763-1828) present again some idiosincratic peculiarities.

やれ打な蝿が手をすり足をする
yare utsuna hae ga te wo suri ashi wo suru[47]

The main argument of the haiku is the interpretation of the fly's behaviour, that rubs its feet. Kosztolányi – as usual – takes distance from the original scheme in favour of the schema 8-6-4, however, through the rhyme and the alliteration he manages to create a compact poem. The translators use the Hungarian term *légy* 'fly'; only István Rácz prefers the Hungarian term *dongó* 'blow-fly'. His translation, except from the first line, differs notably from the other versions: *Hiszen köszönteni jött / sok szép virágod!* 'It came to greet your many nice flowers!'. Three translators selected the same Hungarian expression *tördeli a kezét* (*lábát*) 'it rubs its hands (feet)', while Dezső Tandori prefers the syntagm *a lábát dörzsöli* 'it rubs its feet', in this way he strengthens the assonance between the two verbs *dörzsöli – könyörög*.

LÉGY
Ne üsd agyon a kis legyet. / Nézd, tördeli kezét. / Úgy kér kegyet.[48]
FLY
Don't kill the little fly. / Look, it's rubbing its hands. / In this way he asks for grace.

Ne bántsd a legyet, / tördeli kezét-lábát – / hozzád fohászkodik![49]
Don't hit the fly, / it rubs its hands and feet – / it's beseeching you!

Mégse üsd agyon: / Nézd, hogy tördeli a légy / a kezét, lábát.[50]
Don't kill it: / Look how the fly is twirling / the hands, feet.

Ne bántsd a legyet! / Nézd, a lábát dörzsöli, / könyörög talán.[51]
Don't hit the fly! / Look, it's rubbing its feet, / maybe it's praying.

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[46] Pohl.
[47] "Don't swat the fly! / praying hands / praying feet" translation by David G. Lanoue, cf. http://haikuguy.com/issa/haiku.php ?%20code=375.16a.
[48] Kosztolányi.
[49] Terebess.
[50] Pohl.
[51] Tandori.

Ne bántsd a dongót! / Hiszen köszönteni jött / sok szép virágod![52]
Don't hit the blow-fly! / It came to greet / your many nice flowers!

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In conclusion of this paper, I'd like to call the attention to other four idiosincratic translations of the concise haiku of Yosa Buson:

梅咲いて帯買ふ室の遊女かな
ume saite obi kau Muro no yujo kana.[53]

The version of the Hungarian translator István Rácz seems to be rather faithful to the original, except from the lacked evocation of Muro, the famous quarter of amusement:

Cseresznyevirág! / Szép új övet vesznek most / a kicsi gésák![54]
Cherry blossoms! / The little geisha / buy nice, new belts!

In the following examples the two poets prefer the *kigo* 'plum blossoms' rather than 'cherry blossoms'. The reason of their preference could be the necessity of respecting the limits of the form and the number of syllables (5). Tandori decided to maintain the Japanese term 'Muro' also in the Hungarian translation, even if the meaning of the word could be not transparent for common readers. In the third line he makes use of the interjection 'oh' just to complete the scheme 5-7-5:

Szilvafa virul – / Muro örömlánya vesz / szép új övet, ó![55]
Plum tree is blooming – / the prostitute of Muro is buying / a nice, new belt, oh!

In the translation of Bakos (1946-)[56], the female figure is mentioned only indirectly, metonymically by the silk belt. The first line presumes the presence of a person, an outsider observing the scene. The vowel sequence of the haiku is particularly interesting, mostly because of the distribution of the same vowels. The front vowels (*e*, *é* and *ö*) have an outstanding frequency: 13 of 16. The term *szilva* 'plum' is separated from the rest by the hyphen and if we accept the fact that in relation to the Hungarian vowel harmony the *i* is a neutral vowel, then we can say that the pitch of *szilva* is low. At this point, we can see that the first term of every line is characterized by the low pitch (*szilva*, *az* and *új*), as if they had an opening

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[52] Rácz.
[53] "Plum flowers blooming - / buying sashes, - the Muro / courtesans!" In Yosa Buson, *Haiku Master Buson*, translated by Yuki Sawa & Edith Marcombe Shiffert, Heian International, 1978, p. 72.
[54] Rácz.
[55] Tandori.
[56] Poet, writer. Cf. *Csonttollú madarak tele* [The winter of birds with bone plumage], 1975; *Szindbádia* [Sindbadia], 1993; *Haiku Honfoglalás* [The Conquest of haiku], 2000.

function. Then we have three very similar situations based on the conspicuous recurrence of the front vowels:

Szilva-nézőben: / az örömnegyedben / új selyemövek.[57]
i a **é ő e** / a **ö ö e e e** / ú **e e ö e**
Looking the plum: / in the quarter of amusement / there are new silk belts.

The fourth translation seems a little bit less adeguate: Károly Pető Tóth sacrifices the original *kigo* depriving the haiku of one of its distinctive elements.

Nőnézőben a / vigalmi negyedben. Ó / oldódó övek.[58]
Looking the women in / the quarter of amusement. Oh / untieing belts.

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It's quite possible that the most part of the poems mentioned in the present study would not be included in future anthologies of Hungarian haiku – mostly because of their formal and metrical divergences –, however it's interesting to analyse the many possible ways the evolution of this Far Eastern poetic model can take when it becomes popular – by means of less or more successful translations – in such a distant and different culture than the Hungarian one.

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DER GEBRAUCH DER TEMPORA IM JAPANISCHEN IM VERGLEICH MIT DEM TEMPUSGEBRAUCH IM DEUTSCHEN

RÉKA DRANIK[*]

ABSTRACT. *A Comparison of the Use of Verbal Tenses in Japanese and German.* In this paper I shall discuss the different temporal expressions of verbs in Japanese and compare them to the temporal expressions of verbs in German. The analysis will show their use in representing the temporal relationship between the speaker and the action, event or state which he or she is referring to, and besides, will focus on the way how verbs represent the speaker's perspective or point of view regarding the action or event. Although the Japanese language has only two grammatical tenses, the subtle temporal differences between actions or events can be expressed as well as in German or English. Moreover, Japanese is a language in which these two grammatical tenses have the function to show *how* the speaker views an action or event, rather than expressing *when* it occurred in relation to the time of the utterance. Both languages provide evidence that the temporal expressions of verbs have a dual function: they can show both temporal and psychological distances between the speaker and the action or event he/she is speaking of or the addressee he/she is speaking to.

Keywords: *verb, tense, aspect, mood, speaker's perspective, polite expression.*

0. Einleitung

Das Verb ist jene Wortart, mit deren Hilfe der Sprechende oder der Schreibende Handlungen, Ereignisse, Zustände ausdrücken kann. Die Verben kann man sowohl nach den grammatischen Merkmalen der Person, des Numerus, des Modus, des Genus und des Tempus, als auch nach den semantischen Merkmalen des Aspekts oder der Aktionsart einteilen. Im vorliegenden Aufsatz werden wir uns eingehend mit dem Temusgebrauch der Verben beschäftigen.

Die grammatischen Tempora bezeichnen Handlungen, Zustände oder Vorgänge in ihrem zeitlichen Ablauf. Gewöhnlich unterscheiden wir drei objektiv-reale Zeitstufen: Vergangenheit, Gegenwart und Zukunft.

Zum Ausdruck eines vergangenen, gegenwärtigen oder künftigen Geschehens verwendet man verschiedene Tempusformen, aber die zeitlichen Beziehungen können nicht nur durch die Tempora ausgedrückt werden. Auf das Tempus eines Geschehens kann man auch durch verschiedene lexikalische Mittel, wie zum Beispiel temporale Adverbien, Konjunktionen oder Präpositionalfügungen, hinweisen.

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Zweitens, kann das Tempus auch verschiedene Zeitbedeutungen haben, die abhängig von den verschiedenen Text- oder Situationszusammenhängen sind.

Drittens, können bestimmte Tempora – neben temporaler Bedeutung – auch modale Bedeutungen aufweisen.

Die zeitlichen Bedeutungen können sowohl absolut als auch relativ sein. Von absoluter Zeitbedeutung sprechen wir, wenn der Sachverhalt das zeitliche Verhältnis zum Moment des Sprechens oder Schreibens ausdrückt, und so bezeichnet die Tempusform die objektive Wirklichkeit. Der Zweck des Redens oder des Schreibens ist also, Aussagen über Geschehen zu machen, die stattfinden oder schon stattgefunden haben. Im Gegenteil zur absoluten Zeitbedeutung kommt die relative (Zeitbedeutung) in zusammengesetzten Sätzen vor, wo die zeitlichen Beziehungen zwischen zwei oder mehreren Sachverhalten ausgedrückt werden. Das Verhältnis zwischen den Tempora der einzelnen Teilsätze kann Gleichzeitigkeit, Vor- oder Nachzeitigkeit der Geschehnisse bezeichnen.

Während das Präsens in der deutschen Sprache gewöhnlich die Gegenwärtigkeit eines Geschehens und das Präteritum die Vergangenheit eines Vorgangs kennzeichnet, kann im Japanischen die für ein gegenwärtiges Geschehen stehende -*u/-ru* Form[1] *nicht ausschließlich* mit dem Präsens, bzw. die ein vergangenes Geschehen markierende -*ta/-da* Form *nicht unbedingt* mit der Vergangenheit vereinbart werden, wenn es sich um *zusammengestzte Sätze* handelt, in denen zum Beispiel ein formales Substantiv (oder ein formales Adjektiv) die Zeitverhältnisse bestimmt.

1. Die Zeitformen in einfachen japanischen Sätzen

Die Zeitformen im Japanischen zu erforschen, bedeutet eigentlich *den Aspekt* der Verben zu analysieren. Obwohl es in der japanischen Sprache nur zwei Tempusformen gibt (die -*u/-ru* Form des Präsens und die -*ta/-da* Form zur Bezeichnung eines vergangenen Geschehens), kann man die verschiedenen temporalen Nuancen der Handlungen oder Ereignisse ebenso gut ausdrücken wie zum Beispiel im Deutschen oder im Englischen. Disem Zweck dient, wenn wir die Verben im Japanischen nach deren Aspekt klassifizieren. Kindaichi[2] versuchte die japanischen Verben nach dem Aspekt einzuteilen.

Bei der Klassifikation versuchte Kindaichi festzustellen, wie sich die japanischen Verben zur -*te/-de iru* Form verhalten, ob diese sinnvoll mit der -*te/-de iru* Form gebraucht werden können, und was für Bedeutungen sie in dieser Form haben können. Nach diesen Gesichtspunkten unterscheidet Kindaichi vier verbale Gruppen:

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[1] Die -*u/-ru* Endung oder -*u/-ru* Form markiert nicht nur das Präsens, sondern auch den Infinitiv des Verbs. Zum Beispiel *uta**u*** bedeutet entweder „singen "(Infinitiv) oder die konjugierten Formen des Verbs im Präsens, Indikativ, Singular und Plural: „Ich singe/Du singst/Er (sie, es) singt/Wir singen/Ihr singt/Sie singen".

[2] Kindaichi, Haruhiko. (1976). "Kokugo dōshi no ichi bunrui" (Eine Klassifikation der japanischen Verben), in Kindaichi, Haruhiko (Hsg.). *Nihongo dōshi no asupekto* (Aspekte der japanischen Verben). Tokyo: Mugi Shobō, S. 7-9.

    a. **Zustandsverben (jōtai-dōshi)**, die nie in der *-te/-de iru* Form gebraucht werden können. Solche Verben sind zum Beispiel *aru* (sein), *dekiru* (können)[3], *mieru* (gesehen werden können), *hanaseru* (sprechen können) und so weiter.

    (1) *Koko kara yama ga mieru.*
        Von hier ist der Berg/sind die Gebirge[4] zu sehen.
        Von hier kann man den Berg/die Gebirge sehen.

    (2) *Chichi wa eigo ga hanaseru.*
        Mein Vater kann Englisch sprechen.

    b. **Durative Verben (keizoku-dōshi),** die sowohl in der *-u/-ru* Form als auch in der *-te/-de iru* Form erscheinen können. Bei diesen Verben hat die *-te/-de iru* Form die Rolle das Geschehen in seinem Verlauf, in seiner Dauer darzustellen. Das kann eine gerade im Augenblick oder in der Zeit des Sprechens oder Schreibens vor sich gehende oder auch eine gewohnheitsmäßige Handlung sein.Verben wie etwa *yomu* (lesen), *kaku* (schreiben), *taberu* (essen), *nomu* (trinken), *aruku* (gehen), *hataraku* (arbeiten), *utau* (singen), u. s. w. können auch in der *-te/-de iru* Form auftreten.

    (3) *Kodomo ga ringo o tabete iru.*
        Das Kind ißt (gerade) einen Apfel. / Die Kinder essen (gerade) Äpfel.

    (4) *Watashi wa tegami o kaite iru.*
        Ich schreibe (eben) einen Brief / Briefe.

    Im Deutschen gibt es keine Verlaufsform und die Gegenwärtigkeit eines Geschehens (also das aktuelle Präsens) wird durch lexikalische Mittel kennzeichnet, meist durch Temporaladverbien (eben, gerade, jetzt), die aber nicht obligatorisch sind. Wenn keine Temporaladverbien im Satz vorhanden sind, wird die Verlaufsform im Deutschen durch den Kontext erkennbar.

    c. **Momentanverben (shunkan-dōshi)**, können auch in der *-te/-de iru* Form gebraucht werden und bezeichnen das Resultat einer Handlung oder eines Geschehens. Solche Verben sind z. B. *wasureru* (vergessen), *tsuku* (eingeschaltet werden [Licht]), *kimaru* (ausgeschaltet werden [Licht]), *shinu* (sterben), *hajimaru* (anfangen - *vi.*, beginnen), *sameru* (aufwachen), *tōchaku suru* (ankommen), *kekkon suru* (heiraten) u. s. w. Zum Beispiel:

    (5) *Inu ga shinde iru*[5].
        Der Hund ist tot.

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[3] Das Verb *dekiru* kann auch andere Bedeutungen haben
[4] Im Japanischen haben die Substantive und die Verben kein morphologisches Merkmal der Pluralform.
    Darum können wir bei der Übersetzung sowohl den Singular als auch den Plural desselben Substantivs verwenden.

[5] Das Verb kann auch in der *-u/-ru* Form auftreten: *Ningen ga shinu*. (Der Mensch ist sterblich.), wo eine Allgemeingültigkeit ausgedrückt wird.

(6) *Jugyô ga mō hajimatte iru.*
Der Unterricht hat schon begonnen.

d. Durative-statische Verben (jōtai-hattatsu dōshi), die immer nur in der Struktur *-te/-de iru* auftreten können. Sie kennzeichnen einen Zustand. Verben wie zum Beispiel: *niru* (ähneln, ähnlich sein), *sobieru* (sich erheben, aufragen), *sugureru* (ausgezeichnet sein, außerordentlich sein), *arifureru* (gewöhnlich sein) u. s. w. Im Englischen verwendet man für den Ausdruck dieses Aspekts die Verlaufsform (progressive aspect).

(7) *Sensei no otōsan wa totemo sugurete iru sōda.*
Man sagt, dass der Vater des Lehrers ein außerordentlicher Mensch ist.
Der Vater des Lehrers soll ein außerordentlicher Mensch sein.

Nur bei den nominalen (8 und 9), bzw. adjektivischen Prädikaten (10 und 11) und den Verben der ersten (**a.**) Gruppe (12 und 13) drückt die *-u/-ru* Form das Präsens und die *-ta/-da* Form ein vergangenes Ereignis aus:

(8) *Kore wa hana da / desu.*
Das/Diese ist eine Blume.

(9) *Kore wa hana datta / deshita.*
Das/Diese war eine Blume./ Das/Diese ist eine Blume gewesen.

(10) *Ano hon wa chiisai da / desu.*
Jenes Buch ist klein.

(11) *Ano hon wa chiisakatta / chiisai deshita.*
Jenes Buch war klein. / Jenes Buch ist klein gewesen.

(12) *Chichi wa Doitsugo mo hanaseru.*
Mein Vater kann auch Deutsch sprechen.

(13) *Chichi wa Rūmaniago mo hanaseta.*
Mein Vater konnte auch Rumänisch sprechen.

Diese Sätze sind eigentlich Zustandsaussagen. Bei den Verben aus der zweiten (**b.**) und dritten (**c.**) Gruppe, welche Handlungsverben sind, bezeichnet die *-u/-ru* Form (im Gegensatz zur *-te/-de iru* Form): (i) etwas Bestimmtes in der Zukunft, die Intention des Sprechers oder des Schreibers etwas in der Zukunft zu tun (14), (ii) eine Handlung oder ein Vorgang von Dauer, oder ein sich wiederholendes, gewöhnliches Geschehen (15 und 16).

(14) *Boku wa iku.*
Ich gehe! (i. e. Ich bin entschlossen [hin]zugehen.)

(15) *Boku wa maiasa hachiji ni gakkō e iku.*
Ich gehe jeden Morgen um 8 Uhr in die Schule.

(16) *Mainichi bīru o nomu.*
Jeden Tag trinke ich Bier.

Was die deutschen Handlungsverben betrifft, kann das Präsens sowohl eine gegenwärtige, als auch eine künftige Handlung kennzeichnen:

(17) Ich lese (eben/jetzt). (Präsens)

(18) Ich gehe morgen zum Zahnarzt. (Futur I.)

In diesem letzteren Fall wird gewöhnlich auch ein Temporaladverb oder eine präpositionale Fügung verwendet, welche sich auf einen zukünftigen Zeitpunkt beziehen (wie etwa: morgen, in kurzer Zeit, in ein paar Monaten u. s. w.).

Das Präsens kann sowohl im Deutschen als auch im Japanischen eine Allgemeingültigkeit zum Ausdruck bringen:

(19) Die Erde dreht um die Sonne.
    Chikyū wa taiyō o mawaru / mawatte iru.

Im Japanischen aber kann man in diesem Fall auch die *-te/-de iru* Form benutzen, die eigentlich den progressiven Aspekt des Geschehens hervorheben soll.

Falls die japanischen Handlungsverben aus der Gruppe **b.**, bzw. **c.** in der *-ta/-da* Form erscheinen, können die (i) entweder vergangene Sachverhalte bezeichnen, welche als abgeschlossen und ohne jeden Bezug zur Gegenwart betrachtet werden, oder (ii) solche vergangenen Handlungen oder Ereignisse, welche man sich als noch in die Gegenwart hineinwirkende Geschehnisse vorstellt. Dieser Aspekt tritt nicht in Fragesätzen, sondern in Verneinungssätzen deutlich hervor. Bedingt durch den situationalen Kontext, hat der folgende japanische Fragesatz zwei Bedeutungen:

(20) *Tegami o yonda ka.*
    a. Hast du gestern den Brief gelesen?
    b. Hast du (heute) schon den Brief gelesen?

Nur aus der daraufgegebenen Antwort wird einem deutlich, welche von den beiden Fragen eigentlich gestellt wurde. Wenn die Antwort:

(20') *Iie, yomanakatta.*
       auf die Frage gegeben wird, bedeutet sie:
    a'. Nein, (gestern) nicht.
       Klingt die Antwort:

(20'') *Iie, mada yonde inai.*
        hat sie eine ganz andere Bedeutung, nämlich:
    b'. Nein, ich habe den noch nicht gelesen.

Hier haben wir ein typisches Beispiel für die situativ bedingte Bedeutung eines Satzes im Japanischen. Nur aus dem situativen Kontext wird dem Gefragten deutlich, welche von den beiden Bedeutungen des Fragesatzes eigentlich der Fragende meinte.

Im Unterschied zum Japanischen verwendet man im Deutschen das Perfekt mit einer temporalen Adverbialbestimmung (gestern, schon).Was den Aspekt der

deutschen Verben betrifft, sagt Antoniy Dimitrov folgendes: „Das Verb der neuhochdeutschen Standardsprache weist die morphologische bzw. die syntaktische Kategorie Aspekt nicht auf. Perfektivität, Imperfektivität, Iterativität etc. scheinen für die deutsche Syntax eine untergeordnete Rolle zu spielen und können nur durch lexikalische Zusatzmittel wie etwa Adverbien im Satz zum Ausdruck gebracht werden [vgl.: (1)»Ich arbeite«. vs. (2) »Ich arbeite gerade.« vs. (3) »Ich arbeite täglich/jeden Tag« etc.]. Allerdings ist anzunehmen, daß für den deutschen Muttersprachler die Aussagen der Sätze 1-3 sich sicher eher »modal« als »aspektual« unterscheiden."[6]

2. Die Zeitformen in den japanischen Satzgefügen

In der japanischen Sprache kennzeichnet die *-u/-ru* Form der Verben nicht immer das Präsens oder das Futur. Mit der *-u/-ru* Form des Verbs kann man auch auf ein *vergangenes* Geschehen oder schon stattgefundene Handlung zuweisen, falls das Verb *in einem temporalen Nebensatz* erscheint, wie etwa in:

(21) a. *Doitsu e <u>kuru</u> **toki**, sensei kara hon o moratta.*
  Als ich nach Deutschland <u>fuhr</u>, habe ich vom Lehrer ein Buch bekommen.
  b. *Doitsu e <u>kita</u> **toki**, sensei kara hon o moratta.*
  Als ich in Deutschland <u>ankam</u>, habe ich vom Lehrer ein Buch bekommen.

Wenn der Sprecher oder der Schreiber zum Beispiel ein Japaner ist, ist der Ort, wo er das Buch bekommen hat, im Satz (21) a. Tokyo und im Satz (21) b. Berlin.

Obwohl im Hauptsatz (*[...], sensei kara hon o moratta*.) das Verb ein vergangenes Geschehen ausdrückt, steht dasselbe Verb im Nebensatz a. (*Doitsu e <u>kuru</u> **toki**, [...].*) im Präsens und im Nebensatz b. (*Doitsu e <u>kita</u> **toki**, [...].*) im Präteritum. Der Gebrauch des gleichen Verbs (*kuru*) in zwei Tempusformen, macht uns deutlich, dass die *-u/-ru* Form nicht immer das Präsens kennzeichnet. Solche in Satzgefügen stehenden Verben kennzeichnen nicht unbedingt das Tempus, sondern eher *den Aspekt* des Geschehens. Im Beispielsatz a. bezeichnet die *-u/-ru* Form des Verbs die Vortdauer, und im Beispielsatz b. die Vollendung der Handlung. Der Maßstab in diesen Fällen ist der Zeitbezug des Verbs im Hauptsatz. Was die Satzgefüge im Japanischen betrifft, müssen wir einerseits, die Klassifikation der Verben nach den semantischen Kriterien, und andererseits, auch die Art der Konjunktion in Betracht ziehen. Um die Vorzeitigkeit, bzw. die Vollendung einer Handlung im Deutschen auszudrücken, verwenden wir – im Gegensatz zum Japanischen – ein anderes Verb und/oder ein anderes Tempus.

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[6] Dimitrov, Antoniy. (2008). „Aspekt im Deutschen: Effizienz vs. Effektivität - Aspektrelevanz im deutschen Wortschatz". in *Münchner Notizen,*
 http://muenchenernotizen.blogger.de/stories/1140397/

Nehmen wir jetzt ein anderes Beispiel mit einer anderen japanischen Konjunktion (*nara* = wenn – konditionale Bedeutung):

(22) a. *Arashi ga <u>kuru</u> **nara** ikanakatta noni.*
      Es <u>kam ein Gewitter</u>. **Wenn** ich das vorher <u>gewußt hätte</u>, wäre ich nicht hingegangen.
     b. *Arashi ga <u>kita</u> **nara** ikanakatta noni.*
      Wenn ein Gewitter <u>gekommen wäre</u>, wäre ich nicht hingegangen.

Im Nebensatz (22) a. (*Arashi ga <u>kuru</u> **nara**, [...]*), wo das Präsens des Verbs *kuru* (kommen) steht, handelt es sich um eine Tatsache, ein Geschehen, das in Wirklichkeit (schon) stattgefunden hat. Der Satz (22) b. (*Arashi ga <u>kita</u> **nara** [...]*), wo das Verb in der Vergangenheitsform steht, ist eigentlich ein irrealer Konditionalsatz. In *nara*-Sätzen müssen wir sowohl auf die konditionale Funktion der Konjunktion, als auch auf die Tempusform des Verbs im Nebensatz achten, um die genaue Bedeutung des Satzes zu verstehen.

3. Die Vergangenheistform als Ausdruck der Stimmung im Japanischen

In den obengenannten Beispielen haben wir darauf angewiesen, dass im Japanischen die *-u/-ru* Form, bzw. die *-ta/-da* Form sowohl aspektivische als auch temporale Merkmale haben können. Die *-ta/-da* Form kann aber auch noch zum Ausdruck *der Stimmung* des Sprechers oder Schreibers dienen. Zum Beispiel:

(23) a. *Kono nōto wa senkoku kara koko ni aru.*
      Dieses Notizbuch steht hier schon lange.
     b. *Kono nōto wa senkoku kara koko ni atta.*
      Dieses Notizbuch hat hier schon lange gestanden.
     c. *Nōto wa koko ni atta!*
      Da ist das Notizbuch!

Die Sätze (23) a., b. und c. drücken die Tatsache aus, dass das Notizbuch hier ist. Aber die *-ta/-da* Form des Verbs im Satz (23) c. bringt diesmal die Stimmung des Sprechers zum Ausdruck. Einen solchen Ausrufesatz verwenden wir, wenn wir z. B. etwas plötzlich gefunden haben, was wir schon lange gesucht haben.

Nun stellen wir uns ein anderes Beispiel vor: Wir sind am Bahnhof und warten schon ziemlich lange auf den Zug. Dann plötzlich erblicken wir den sich nähernden Zug. In dieser Situation können wir uns auf japanisch folgenderweise ausdrücken:

(24) a. *A, kisha ga kuru!*
      O, der Zug kommt.
     b. *A, kisha ga kita!*
      O, der Zug kommt endlich!

Der Satz (24) a. drückt nur die Tatsache aus, dass der Zug kommt. Der Satz (24) b. dagegen, in dem die *-ta/-da* Vergangenheitsform verwendet wird, sagt,

dass der Zug, auf den wir schon lange warten, endlich kommt. Das Präsens des Verbs (*kuru*) im Beispielsatz (24) a. drückt also eine objektive Wirklichkeit aus, während dessen Vergangenheitsform (*kita*) im Satz (24) b. die Verwirklichung einer Erwartung. Ein anderes Beispiel:

(25) *85 mētā no tokeidai datta!*
      85 m hoch ist der Uhrturm!

Um die subjektive Einschätzung des Geschehens in der deutschen Sprache auszudrücken, bedienen wir uns der Modalwörter[7], aber auch der Wortstellung, bzw. der Intonation[8]. Die Intonation spielt im Deutschen eine so wichtige Rolle, dass sie von vielen Linguisten zu den grammatischen Mitteln gezählt wird. „Im Gegensatz zu den Ausdrucksmitteln ist die Intonation nicht nur an der Signalisierung von Emotionen beteiligt, sondern sie übt auch grammatische Funktion aus. Von zahlreichen Sprachwissenschaftlern wird sie deshalb als grammatisches Mittel betrachtet und zählt damit zum Sprachsystem."[9]

Manchmal verwenden wir auch im Deutschen die Vergangenheisform als Ausdruck der Stimmung, wie im Japanischen:

(26) Nächsten Monat hatte ich doch etwas vor!
      Raigetsu yakusoku ga atta!

Wir können bemerken, dass die Verwendung der Vergangenheitsform in den beiden Sprachen besonders bei Zustandsverben erscheint, obwohl sich die Information in diesen Aussagen auf etwas Gegenwärtiges oder Zukünftiges bezieht. Während wir bei den Handlungsverben die Reihenfolge der Geschehen in Betracht ziehen müssen, brauchen wir bei den Zustandsverben keine Reihenfolge der Ereignisse zu berücksichtigen. Das ist so, weil wir bei den Zustandsverben keine Reihenfolge der Ereignisse zu berücksichtigen brauchen - während wir bei den Handlungsverben auch auf die Reihenfolge der Geschehen achten müssen.

4. Die Vergangenheitsform: ein Sprachmittel zum Ausdruck der Höflichkeit im Japanischen und im Deutschen

Eine Besonderheit der japanischen Sprache ist, dass sie über ein festes System von lexikalischen und morphologischen Formen verfügt, welches dem Ausdruck des Verhältnisses des Sprechers oder Schreibers zu seinen Gesprächspartnern dient. Dieses sehr umfangreiches und nuanciertes System der Höflichkeitsformen[10] umfaßt eine breite Skala von Abstufungen (bescheiden, neutral, höflich, respektvoll),

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[7] Helbig, Gerhard und Buscha, Joachim. (1980). *Kurze deutsche Grammatik für Ausländer*. Leipzig: VEB Verlag Enzyklopädie, S. 190-193.

[8] Jung, Walter. (1980). *Grammatik der deutschen Sprache*. Leipzig: VEB Bibliographisches Institut, S. 150- 164.

[9] Jung, Walter (1980), S. 153.

[10] Im Japanischen nennen wir es: *keigo-hyōgen*

welche dem Ausdruck des Respekts des Sprechenden gegenüber seinem Gesprächspartner je nach der sozialen Rangstufe der beiden Sprecher dient. In den folgenden Beispielsätzen wird die *-ta/-da* Form als Ausdruck der Höflichkeit verwendet:

> (27) *Katta, katta[11]!*
> Kommen Sie bitte zurück, kommen Sie bitte zurück!

> (28) *Matta[12]!*
> Warten Sie bitte!

Auch im Deutschen kann die Vergangenheitsform der Verben zum Ausdruck des Respekts dienen. Das nennt man Imperfekt der Höflichkeit und wird in Restaurants oder am Telefon verwendet[13], wie etwa:

> (29) Wie war doch Ihr Name?
> *O-namae wa nan deshita-kke?*

5. Die Vergangenheitsform: ein Sprachmittel zum Ausdruck der Zukunft im Japanischen

Eine andere Besonderheit der japanischen Sprache ist die Tatsache, dass man mit der *-ta/-da* Vergangenheitsform auch auf eine künftige Handlung hinweisen kann, wie zum Beispiel in den folgenden Sätzen:

> (30) *Sō, sō, tsugi no nichiyō wa yakusoku ga arimashita.*
> Ja, ja, wir haben am nächsten Sonntag eine Verabredung.

> (31) *Kondo no pātii ni wa Tanaka-san ga kite kureta ne.[14]*
> Herr Tanaka (sagte), er werde zur nächsten Party kommen.

Auch im Deutschen verwendet man mitunter die Vergangenheitsform (das Perfekt) um auf etwas Zukünftiges hinzuweisen:

> (32) Bis morgen *habe* ich mir die Sache *überlegt.*

In diesem Fall und in den ähnlichen Fällen steht das Perfekt eigentlich für das Futur II. Das Perfekt hier ist eigentlich die verkürzte Form des *Futurum exactum* und kommt häufiger als dies (i. e. das Futur II.) vor. Im Futur II. würde der Satz (32) folgenderweise klingen:

> (33) Bis morgen *werde* ich mir die Sache *überlegt haben.*

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[11] *-ta/-da* Form des Verbs *kaeru* (zurückkommen, zurückkehren)
[12] *-ta/-da* Form des Verbs *matsu* (warten)
[13] vgl. http://de.wikipedia.org/wiki/Höflichkeitsform
[14] Martin, E. Samuel. (1991). *A Reference Grammar of Japanese*. Rutland, Tokyo: Charles E. Tuttle Company, S. 603.

Im Deutschen kann manchmal die Verwendung des Perfekts, das die verkürzte Form des Futur II. ist, eine rein temporale Funktion haben, während die *-ta/-da* Form im Japanischen *nur* eine modale Rolle spielen kann. Futur I., bzw. Futur II. kommen in der Umgangssprache nicht oft vor. Meistens verwendet man im Deutschen anstatt des Futur I. (34) das Präsens (35).

(34) Wir *werden* (im Sommer) ans Meer *fahren*.

(35) Wir *fahren* (im Sommer) ans Meer.

Ein besonderes Merkmal des Futur I. und des Futur II. ist die Tatsache, dass sie vorwiegend in *modaler* Bedeutung stehen, zum Beispiel zum Ausdruck einer Vermutung oder einer Aufforderung. In modaler Bedeutung, zur Bezeichnung eines *vermuteten* Ereignisses wird das Futur I. mit Bezug auf die Gegenwart (36) und das Futur II. mit Bezug auf ein Geschehen in der Vergangenheit (37) verwendet.

(36) Sie *wird* (jetzt) ihre Hausaufgaben *machen*.

(37) Er *wird* (gestern) seine Freunde *besucht haben*.

In den beiden Fällen ist die Bedeutung der Sätze mit dem Modalfaktor der Vermutung verbunden[15]. Bei dieser Verwendung des Futur I. und des Futur II. können auch Temporalangaben auftreten, welche aber nicht obligatorisch sind. Verwendet man aber das Futur II. zur Bezeichnung eines künftigen Ereignisses, so ist die Verwendung einer Temporalbestimmung obligatorisch (38).

(38) Morgen/ Bis Montag *wird* er den Aufsatz *geschrieben haben*.

6. Schlussfolgerungen

Der Tempusgebrauch im Japanischen, in dem es nur zwei grammatikalische Tempusformen gibt, ist in vielen Sprachsituationen anders als im Deutschen, das über wesentlich mehrere Tempusformen verfügt als das Japanische. Jedoch kann man auch in der japanischen Sprache die verschiedenen temporalen Verhältnisse ebenso nuanciert ausdrücken wie im Deutschen. Tempus kann auch im Japanischen zum Ausdruck der Stimmung oder sogar der Höflichkeit des Sprechers oder des Schreibers gegenüber seinem Gesprächspartner dienen. Was den Gebrauch von den Verben betrifft, gibt es jedoch einen wichtigen Unterschied zwischen den beiden Sprachen: im Japanischen spielt eine viel größere Rolle *der Aspekt* eines Verbs als das Tempus. Im Deutschen hat aber der Aspekt eine viel geringere Bedeutung, dagegen können wir uns der verschiedenen Tempusformen wie auch der anderen Sprachmittel beim Sprechen oder Schreiben bedienen. In vielen Fällen kann aber auch die gegebene Sprechsituation von großer Bedeutung sein.

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[15] Helbig, Gerhard und Buscha, Joachim (1980). S. 57-59.

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HISTORIOGRAPHIC METAFICTION AS A SEARCH FOR *FURUSATO*. ŌE KENZABURO AND MURAKAMI HARUKI

ANA SCUTURICI[*]

ABSTRACT. *Historiographic metafiction as a search for furusato. Ōe Kenzaburo and Murakami Haruki.* Even before the 20th century, modernization in Japan was represented by a constant negotiation with a cultural tradition, whether this tradition signified an intuition of a mythic Japan or a reinterpretation of a previous cultural trend. In postwar literature, writers such as Ōe Kenzaburo or Murakami Haruki attempt a reconstruction of Japanese national identity through the means of "historiographic metafiction", which proves to acquire, in the field of Japanese contemporary literature, a deeper political significance than it does in its Western constructions. The revisiting of history takes the form of a quest whose purpose is the outlining of an authentic Japanese identity, which we termed *furusato* in order to underline its Japanese nation oriented nature. This paper will discuss the way in which history is re-written in the novels *The Silent Cry* and *The Wind-Up Bird Chronicle*, with an emphasis on the following aspects: the way in which the West constitutes the "Other" which prompts the individual to self re-evaluation, the descent into a dark depth as a narrative strategy to illustrate the nature of the quest, the violence as a necessary threshold experience and lastly the way in which each author chooses to bring his quest to a closure

Keywords: *historiographic metafiction, Japanese national identity, furusato, Ōe Kenzaburo, The Silent Cry, Murakami Haruki, The Wind-Up Bird Chronicle.*

Even before the 20th century, modernization in Japan was represented by a constant negotiation with a cultural tradition, whether this tradition signified an intuition of a mythic Japan or a reinterpretation of a previous cultural trend. Defining and redefining Japanese cultural identity was at the core of many cultural debates, and those which are still ongoing nowadays try to frame the position that Japan should develop as a world economic leader which is inevitably at the same time a cultural model. Thus, a kaleidoscopic representation of Japan should include from flashy fashionable districts and animation characters to images of Buddhist temples and Zen rock and sand gardens. In contemporary Japanese fiction as well,

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Murakami Haruki, as a more or less acknowledged cultural ambassador of today's Japan, chooses in some of his novels to place his rather socially and politically uninvolved characters in some contexts which might be interpreted from a social or political point of view. It is less important whether he does this because of a personal urge to explain for himself what it means to be Japanese[1] or as an unconfessed acknowledgement of the legacy passed on to him by Ōe Kenzaburo to "fill the wide gap that exists between him and the pre-1970 writing"[2]. What it is important is that a dialogue is thus established by two of the most representative writers of their respective generations on the topic of reconstructing the Japanese identity on fictional historiographic coordinates. The novels that we will have in view here are primarily *The Silent Cry*, by Ōe Kenzaburo[3], and *The Wind-Up Bird Chronicle*, by Murakami Haruki[4]. The rewriting of history at both macro- and micro-level that all these novels imply has a tinge of modernist nostalgia even in the case of Murakami's novels, which are viewed as rather postmodern in tone and techniques. The return to the mythic or historic past through writing is undeniably nostalgic for Ōe, but it can be so even in Murakami's case without that being in contradiction with an ironic approach to historiography. In that case, *furusato* here refers not to a nostalgia of a romantic nature for a return to rural, original roots, but to a search for authenticity in discussing Japanese identity[5]. Moreover, in the novels mentioned above, the village in the densely forested island of Shikoku or even the bottom of a well may be interpreted as transparent hints for a *furusato*, in spite of the rather deformed images of that ancestral place. According to the anthropologist Marilyn Ivy, *furusato* "invokes particular, personal memories as well as diffuse, publicly acknowledged traces of ancient sites"[6]. She mentions further on that it is a place in one's memory, as one never refers to the place where he/she lives as being a *furusato*. Moreover, in spite of the fact that most often *furusato* is translated as "home" or "hometown", in the Japanese language its meaning extends to indicating a typically traditional Japanese scenery or site, and in its contemporary sense it can even be interpreted as a "home which is not-home"[7].

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[1] As confessed in *Andāguraundo* (1997-1998), translated in Romanian by Adina Mihaela Merlan, *Underground. Atentatul de la Tokio şi spiritul japonez*, Polirom, Iaşi, 2008.

[2] Kenzaburō Ōe, *Japan, the Ambigous and Myself. The Nobel Prize Speech and Other Lectures*, Kodansha International, 1994; "Japan's Dual Identity. A writer's Dillema", p. 79.

[3] Kenzaburō Ōe, *The Silent Cry*, translated in English by John Bester, Kodansha International, 1981 (Japanese edition 1967).

[4] Haruki Murakami, *The Wind-Up Bird Chronicle*, translated in English by Jay Rubin, First Vintage International Edition, 1998 (Japanese editions 1994, 1995).

[5] Dennis Washburn, *Translating Mount Fuji. Modern Japanese Fiction and the Ethics of Identity*, Columbia University Press, New York, 2007, p. 22-23.

[6] Marilyn Ivy, *Discourses of the Vanishing. Modernity, Phantasm, Japan*, The University of Chicago Press, Chicago and London, 1995, p. 103.

[7] Idem, p. 106.

Thus, *furusato* may stand as an extended metaphor for the "elusive phantom"[8] of Japanese identity, whose essence was sought for to be confined within a discourse by many Japanese scholars of the 20th century. The choice for the Japanese term here instead of "home" or "self" is motivated by the intention to give a Japanese name for the constant pursuit of outlining an authentic Japanese identity. In this sense, *furusato* stands not for any kind of "home", but for an exclusively Japanese one. .

I. Discourses of modern Japanese identity

Modernization determined an imperative need for an identitary discourse as a means of determining the authenticity of the Japanese identity in the confrontation with the Western "other". However, after centuries in which the Japanese identity was not so much constructed in opposition to the Chinese "other" as in identification to it, the sudden change brought by the country's opening in the mid-19th century was so intense that "modernization in Japan was simultaneously experienced as Westernization."[9] The Japanese discourse of modernization in those times emphasized the need to acquire a sense of individual and national autonomy which can be only ensured by adopting the universalist notions of enlightenment and civilization[10]. However, this type of discourse effaced the specific nature of the Japanese culture, of which everyone was aware at an intuitive level and therefore felt the necessity to express it. But at that time, the barely nascent modern discourse was having problems finding the linguistic means to express the values of its specificity, as Miyake Setsurei (1860-1945), journalist and cultural critic, puts it: "When we mull over the question ['Who are the Japanese?'] silently, the meaning of those phrases flickers clearly before the eyes like a phantom. But when we open our mouths to answer, the phantom suddenly disappears."[11]

The beginning of the 20th century emphasized the nationalistic approach to identitary discourse. Whereas the West was obviously superior economically and institutionally, the Japanese nationalists considered it fit that their country took the lead at promoting an Asian counterpoint to the threat of Western colonialism. The import of modern institutions and technologies from West was inevitable in order to achieve the goal of counteracting the colonial threat. Thus, the only way for Japan to affirm its cultural distinctiveness was seen to be possible by way of nurturing its sense of aestheticism. This ironically coincides with the Western "discovery" of Japanese traditional arts taking place around the same time, as a means to revigorate the Western art and find new ways of aesthetic expression. Japan's victories in the war against Russia also encouraged the nationalistic expression by

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[8] Washburn, *op.cit*., p. 17.

[9] Yumiko Iida, *Rethinking Identity in Modern Japan. Nationalism as aesthetics*, Routledge/Asian Studies Association of Australia, East Asia Series, 2002, p. 13.

[10] Fukuzawa Yukichi, apud. Washburn, *op.cit*., "Introduction. Real Identities", p. 1 – 29.

[11] Miyake Setsurei, *Shinzenbi Nihonjin* ("Truth, Goodness, Beauty, and the Japanese",1891), *apud*. Washburn, *op. cit*., p. 5.

emphasizing the inherent ethical values of the Japanese people, which were a heritage of the traditional past. Thus, as Dennis Washburn notices, when it came to the nationalistic appeal to tradition in defining the new Japanese identity, the aesthetic values were no longer separated from the ethical ones.

In the Japan of the 1930's, the discourse of cultural nationalism was counterbalanced in the writings of the literary critic Kobayashi Hideo, who stressed the fact that it was no longer possible to distinguish between the modern and the traditional component in the Japanese culture of the time. While somehow celebrating the fact that the Japanese writers are finally able "without prejudice or distortion, to understand what is at the core of Western writing"[12], his speech is organized around the notion of loss, stressing that history "seems always and inexorably to destroy tradition".[13] The loss of tradition, although Kobayashi never explains what he understands by Japanese tradition, equates to a loss of "home", and thus of identity. However, it is not a romantic nostalgia for the past but a discourse which makes the Japanese modernity find its echo in the Western modern world. Paradox and anxiety are the modes of thought that characterize the Japanese modernity as well. Moreover, the different perception of time, which seems to pass too quickly to fully grasp the significance of the change that it entails, makes it impossible to "dream" in the same way as the "ancients"[14].

The national discourse flourishes, obviously, during the years of imperialism, taking to the extreme the idea of Japan as the Asian leader opposing the West. However, the resolution of the 2nd World War put an end to a millenary imperial tradition, which may be equated to a "second shock" in the modern history of Japan, after the country's opening in 1868. The postwar period is one which seeks economic but also spiritual rebirth. The imperial proclamation renouncing divine prerogatives was received with resentment, but also enthusiasm by those who felt that the direction towards which their country was heading was wrong. However, the end of the imperial tradition did not mean breaking with the past. Among those who sought to give a voice to the new direction was Maruyama Masao, one of the most prominent Japanese intellectuals of the postwar period. His discourse echoes the Meiji intellectual, Fukuzawa Yukichi, by emphasizing the construction of a new identity based on human, universal values. He also believes in the individual autonomous self who engages in political action, thus, a different identity from the imperial times when individuality was oppressed. However, Maruyama is also among the first who launches in a critique of the newly emerging consumer society in Japan. He laments the loss of "form" (*kata*) of the Tokugawa period (1603 – 1868), resulting in the formation of new modes of expression "without any

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[12] Paul Anderer (ed.), *Literature of the Lost Home. Hideo Kobayashi – Literary Criticism 1924 – 1939*, Stanford University Press, Stanford, California, 1995; "Literature of the Lost Home", p. 54.
[13] Idem.
[14] Idem., "The anxiety of Modern Literature", p. 37.

intermediation"[15] to mark the transition. Turning to tradition and the past is seen as a way to overcome the problematic nature of the contemporary society, without neglecting the Western influence as part of the contemporary tradition and as the inherent otherness of the Japanese identity.

The idealism of the 1960s is followed by a sense of nihilism in the following decade, as the Japanese gradually abandon the concern with the nature of the self, and the individual's sense of identity begins to be defined by the material snobbism of the consumer culture[16]. Thus, the Japanese individual of the 80s is the embodiment of the 'postmodern' subject, defined by "lightness, fragmentation, and intense stylistic sophistication freed from the burden of representing meaning and content."[17] The new generation, born after the 2nd World War, seems to have no ties with the sense of moral and political responsibility of the previous generations. It is the time when the newly emerging literature is given the name of "*nantonaku* literature"[18], after the novel of Tanaka Yasuo, *Nantonaku, Kurisuratu*, which seems to be a kind of cultural guidebook, a repository of mixed Western and Japanese cultural brand names, deeply grounded in the immediate realities of the adolescent culture. However, surrounded by commercial signs, the Japanese self showed signs of a breakdown in the years of the 1990s, expressed by eruptions of violence, such as the terrorist attack of the religious sect Aum in the Tokyo subway, which became the subject of Murakami's non-fiction writing *Underground*. In the beginning of the 90s, the search for a meaningful identity led to a revival of *nihonjinron* ("theories of Japanese(ness)) type of discourse, which was expressed in the claims of revising the 2nd World War and the postwar history from Japan's point of view. The increased tensions in the relations with surrounding countries were on the verge of a diplomatic crisis, with echoes well into the beginning of the third millennium.

II. Turning to history in contemporary Japanese literature

The Western postmodern novel redefines the relation between history and literature through the use of allegory, parody and pastiche. The historiographic novel engages in an ironic dialogue with the meta-narrative, challenging its modes of expression and claims of objective truth. The syntagm "historiographic metafiction", as coined by Linda Hutcheon, is defined as referring to "those well-known and popular novels which are both intensely self-reflexive and yet paradoxically also lay claim to historical events and personages."[19] While we will be using here

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[15] Karube Tadashi, *Maruyama Masao and the Fate of Liberalism in Twentieth-Century Japan*, translated into English by David Noble, International House of Japan, 2008, p. 150.

[16] Iida, *op.cit.*, p. 164.

[17] Idem., p. 7.

[18] Shūichi Katō, *Istoria Literaturii Japoneze (De la origini până în prezent)*, vol.II, translated into Romanian by Kazuko Diaconu and Paul Diaconu, Ed. Nipponica, Bucureşti, 1998, p. 892.

[19] Linda Hutcheon, *A Poetics of Postmodernism. History, Theory, Fiction*, Routledge, 2004 (first ed. 1988), p. 5.

this syntagm in reference to the above-mentioned novels of Ōe and Murakami, we should mention that there is a wide amount of writings concerning the specificity of Japanese postmodernism (dealing even with the question whether there is in Japan a similar cultural phenomenon which may be called postmodernism) and also the specificity of the Japanese novel. Concerning the first matter, Masao Miyoshi considers that on the surface, everything should indicate that there is a Japanese postmodernism with all the characteristics of the Western postmodernism, but that, however, in the case of Japan, postmodernism is not a periodic term. He gives, among others, the example, of Lyotard's "postmodern erasure of historicity" which in Japan might have its origins in nothing less than the Japanese religion of *shintoism*, "in which ritual bathing is intended to cleanse the whole past alongside the evil residues from the past[20]. In the same text, Miyoshi claims that the Japanese *shōsetsu* is a distinct narrative species and it should not be equated so lightly to the modern or postmodern Western novel. In the same vein, Karatani Kōjin claims that what is perceived as postmodernism in Japan did not emerge from the same condition as in the West, where it was intended to revive the modern Euro-American philosophical impasses. Rather, it seems to be the rehabilitation of a late-Edo subculture, in which men and women pursued aesthetic exchanges in the pleasure quarters, based on the principle of *iki*[21].

Against the claims of the traditional academics, some voices are more in favour of a relativist approach, which does not emphasize the nationalist dimension of the cultural phenomena. Thus, Reiichi Miura in an essay entitled "On the Globalization of Literature: Haruki Murakami, Tim O'Brian, and Raymond Carver"[22] stresses that the popularity of authors like Haruki Murakami is due to the "postmodern and global condition of the literary reception". He bases him argumentation on the work of Michael Hardt and Antonio Negri, *Empire*, claiming that any form of colonial imperialism is over and replaced by a new power structure which the authors call the "Empire". In the logic of the Empire, the nationality is no longer a defining constituent of the identity. Consequently, Miura argues that the "American" quality of Murakami's prose is not a matter of choosing a foreign culture over his own for the sake of fashion or popular success, but an imposition of the reality (or the representation of the reality), not only of today's Japan but of the entire world.

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[20] Masao Miyoshi, "Against the Native Grain: The Japanese Novel and the 'Postmodern' West", p. 148, in Masao Miyoshi and H.D. Harootunian (eds.), *Postmodernism in Japan*, Duke University Press, 2003 (first ed. 1989).

[21] *apud*. Iida, p. 202-203. The author synthesizes the interpretations of Kuki Shūzō and Heidegger on the notion of *iki* as follows: "As later formulated by prewar Japanese philosopher Kuki Shuzo, *iki* is the sensibility of keeping a certain distance from the woman one loves in order to avoid passion and folly, something that might be compared to nineteenth century European 'dandyism'. Karatani relates the core value of *iki* to what Heidegger called 'playing with the *Abgrund*', or 'the abyssal depth', the practice of the subject who deliberately negates all perspectives in favour of the sole purposeful pursuit of aesthetic sophistication.", p. 203.

[22] Available online at Electronic Book Review.

However, according to Miura, the two authors claim that although the origin of the Empire is in the U.S. constitutional project, the globalization does not entail an American cultural and economic hegemony, as notions of nation and states, including the U.S., are weakened by the Empire. The worldwide popularity of Murakami's fiction is due to its global and not national quality, as it was the case with modern Japanese writers, including Ōe Kenzaburo. However, although Miura may be right in asserting the universal appeal of Murakami's fictional worlds as a sign of a new era in the production and reception of literature, (Japanese) national identity is still an important issue for this author's writing; or, better said, it has gradually became obvious that this is the case. In a lecture delivered at Princeton University, Murakami seem to be well aware about the effects of globalization on literature: "I believe that in the global village, novels will become in this way increasingly interchangeable. At the same time, I want to go on thinking about how, in the midst of such a powerful tide, people can manage to preserve their identities."[23] Thus, in the light of the more obvious statement in *The Wind-Up Bird Chronicle* of the author's interest in defining Japaneseness, previous novels, such as *A Wild Sheep Chase* or *Hard-Boiled Wonderland and the End of the World*, began to reveal their inherent potential for a (national) identity-related approach. Therefore, it is not, maybe yet, the case that nationality is no longer an issue for thematic representations in fiction; it is rather the perspective on it that has changed. As Miura observes, Ōe's metafictional discourse becomes nationalistic precisely through its anti-nationalistic intent, and thus, Murakami's fiction may be seen as dealing with issues of representation of nation and self through its intent to situate itself beyond them, to overcome them.

The debates on the different interpretation of postmodernism will be relevant here only to underline that the syntagm of "historiographic metafiction", used in reference to the Japanese novels in view, does not retain all the features as described by Linda Hutcheon. It may even seem inappropriate to call Ōe's novel, *The Silent Cry*, a metafictional historiography, as Ōe may be labelled as a late modernist writer rather than a postmodernist one. Moreover, his novel is temporally situated before the beginnings of postmodernism in Japan, being written in 1967. In spite of these, the use of historical events and facts in this novel is metafictionally conscious and in an ironic relation to the grand narrative. Ōe aims at destabilizing the power relations between the centre and margin, through the use of micro-history: the small community of the village in Shikoku is a miniature and distorted image of the nation. As he states in a lecture delivered before a Scandinavian audience in 1992: "One of the motives I had for writing this novel was my growing awareness at the time of a culture in Japan that was very different from the dominant Tokyo

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[23] Cited by Jay Rubin in *Haruki Murakami and the Music of Words*, Harvill Press, London, 2002, p. 204.

one."[24] Even if Ōe's recourse to history and myths ultimately expresses nostalgia for the past and a desire to reconstruct the present based on traditional ethical values, this tone is not evenly distributed throughout *The Silent Cry*. Mitsusaburō is a sceptical figure until the end, counterbalancing his brother's active involvement in the revival of an ancestral consciousness of the village community. Nevertheless, he is the counter-hero who survives, but his decision to leave the village and escape in the exotic landscapes of Africa is ambiguous in its moral significance. Ōe's characters, just as Murakami's, are not turning towards the past as to a siege of comfort and well-being, but out of an intrinsically or extrinsically determined necessity, which is only vaguely motivated.

Ōe defines himself as a modern writer as he claims to be the last representative of *junbungaku*, or what he calls "serious literature". This kind of literature defines the postwar literary generation, whose experiencing of fascism, war and postwar recovery resulted in an unleashing of creative energies which, in his words, "represent the highest level of writing since the onset of Japan's modernization."[25] This kind of literature actively engages in social and political issues creating an image of the contemporary world, seeking for new ways of expression and representation. This is in accordance with Ōe's own artistic creed in what concerns the role of literature: "The role of literature – insofar as man is obviously a historical being – is to create a model of a contemporary age which encompasses past and future, a model of the people living in that age as well."[26] He laments the contemporary state of literature, stating that there is a wide gap between the interests of his generation and those of the present generation. The latter lacks what he calls a "political imagination", being rather inclined to "make their judgements according to what the media tells them, they don't make negative critical assessments of the media."[27] He states in the same interview that the present generation should create their own standpoint through studying and criticizing the 1960s, thus turning to the past to define their identity. However, as Mathew Strecher points out, part of the irreconcilability between Ōe and Murakami's view comes from a different understanding of the representability of history and how authors can engage it and critique it dialectically.[28] Murakami's characters, as it is the case in *The Wind-Up Bird Chronicle*, re-create history through their own *histories*, while Ōe depicts his characters in their struggle to come to terms with history.

At the core of postwar literature was the desire to "'relativize' the value of the emperor, who had had the absolute power, and to free the Japanese from the curse

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[24] "Speaking on Japanese culture before a Scandinavian audience", Lecture series 1992, translated by Kunioki Yamagishita, in Ōe,*op.cit.*, p. 31.

[25] "Japan's Dual Identity. A writer's Dilemma", Ōe, *op.cit.* (1994), p. 92.

[26] Idem., p. 66.

[27] Sharon Kinsella, An Interview with Ōe Kenzaburo, *Japan Forum*, 12 (2), 2000, p. 233–241.

[28] Mathew Carl Strecher, *Dances with Sheep. The Quest for Identity in the Fiction of Murakami Haruki*, Center for Japanese Studies, The University of Michigan, Ann Harbour, 2002, p. 201.

of a system that had haunted their minds, even at the subconscious level."[29] As such, Ōe's position was to challenge the imperial system through the use of informal history, such as myths and folktales. Susan Napier considers that the postwar generation was searching for a profound transcendental experience which would assign meaning to the crisis of redefining modernity on new grounds. Ōe calls this transcendental experience a search for a Japanese sublime, which would be located on three paradigms: the apocalyptic, the collective and the body.[30] The experience of the sublime always involves a violent confrontation and subsequent redemption of some sort, and it is rendered in his fiction thorough the means of grotesque and the fantastic. Napier further claims that this search of the sublime is not restricted only to the postwar writers, stating that he and even Murakami "share a common sense of the spiritual emptiness of postwar Japan and a concomitant desire to fill that emptiness with some aspect of sublimity."[31] However, the quest ends in a different manner for the two writers: while for Ōe the end is brought by the ideas of redemption and rebirth, for Murakami resignation seems to be the result.

Both *The Silent Cry* and *The Wind-Up Bird Chronicle* are written in reaction to a form of lingering imperial ideology or an essentialized idea of Japaneseness. As an alternative, both writers create a fictionalized historical reconstruction from the perspective of a marginal subject: a small community or an individual. The original title of Ōe's novel is in Japanese *Man'en gannen no futoboru* which would literally translate as "The football game of the first year of Man'en". The two elements expressed in the title are suggestions of the temporal limits which encompass the events referred to in the novel: the first year of the Man'en era is 1860, which marks the arrival of the first Japanese diplomatic delegation in America, while "the football game" refers to the time narrated in the novel which is the year 1960, which corresponds to the extension of the security treaty with America, negotiated at the end of the Pacific War. In the novel, the two years are marked by violent occurrences: in 1860 a rising breaks out against the authorities, led by the ancestor of Nedokoro brothers, which is re-enacted a hundred years later by Takashi, who trained his group under the guise of football training. In 1960 the rising aims at looting the local supermarket owned by a Korean, who goes by the nickname of "Emperor", as an attempt to overturn the supremacy of a descendant of Korean slave labourers. As Yasuko Claremont notices[32] the title is ironic, as the looting of the supermarket is of little consequence as compared to the previous violent incidents on which it attempted to be modelled, being in the end nothing more than a "football game". The two historical events, which mark important moments in the

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[29] "Japan's Dual Identity. A writer's Dilemma", Ōe, *op.cit*. (1994), p. 75.

[30] Susan J. Napier, "Ōe Kenzaburo and the search for sublime at the end of the twentieth century" in Stephen Snyder and Philip Gabriel (eds.), *Ōe and beyond. Fiction in contemporary Japan*, University of Hawaii Press, Honolulu, 1999.

[31] Idem., p. 16.

[32] Yasuko Claremont, *The novels of Ōe Kenzaburo*, Routledge, 2009.

American–Japanese relations, are reconstituted at a micro-level as violent risings which did not accomplish the change they were intended for, thus possibly symbolically suggesting a weak resistance against the looming threat of "Americanization". The Korean "Emperor" is the reversed image, and thus the ironic counterpoint, of the Emperor of Japan: while the latter still holds his place but only as a symbolic figure, his fictionalized version economically rules the small village in Shikoku. Through this, Ōe also criticizes the consumer society emerging in the Japan of 1960s: the villagers put aside any harsh feelings against the once discriminated Koreans, not because of accepting difference, but to enjoy the commercial benefits provided by the supermarket. Moreover, as Susan Napier points out[33], the Korean "Emperor" could also hint to a political controversy of the time about the possibility that the "divine" origin of the Japanese imperial line could have been established by Korean immigrants.

It is widely agreed that *The Wind-Up Bird Chronicle* represents a turning point in Murakami's fiction. Somehow in a similar way as Takashi, the protagonist of *The Silent Cry*, Murakami began to develop an interest in Japan and what it means to be Japanese while being abroad, in United States. In the lecture at Princeton University, Murakami, otherwise quite reluctant to speak about the reasons which prompted him to turn to issues of identity in his fiction, gives a hint about the personal motivations behind *The Wind-Up Bird Chronicle*, a writing in progress at the time: "I have come to feel more strongly that I want the people of America – the people of the world – to know what I, as one Japanese writer, am thinking."[34] Another important impulse was the process of compiling *Underground*, which meant taking interviews from Japanese people with whom Murakami confessed that he felt he previously had nothing in common. Referring to the former members of the Aum cult, Murakami states in an interview that "we authors have a responsibility for that. If I give you the right story, that story will give you a judging system, to tell what is wrong and what is right."[35], thus echoing Ōe about the ethical responsibility of the writers. He goes on in the same interview to say that he considers dangerous the revisionist claims of Japanese nationalists who deny historical facts such as the Nanking Massacre or the use of comfort women by the Japanese imperial army. He accuses the nationalists of "remaking history" which is "very dangerous", which explains why he takes his task of linking his fiction to history very seriously and not with the detachment and playfulness of Western practitioners of historiographic metafictions. Therefore, in *The Wind-Up Bird Chronicle*, Murakami will not leave the challenges of historical truth at the reader's free interpretation, but he will back up his research by specifically indicating his resources, much in the manner of scientific, academic writing rather than fiction. However, some parts, as for instance the episode of the animal massacre at the zoo, are not historically

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[33] Susan J. Napier, *Escape from the Wasteland. Realism and Romanticism in the Fiction of Mishima Yukio and Ōe Kenzaburo,* Harvard University Press, 1991, p. 185.
[34] Rubin, *op. cit.*, p. 203.
[35] Interview taken by Laura Miller in December, 16th, 1997, available online at Books Salon.

documented, being Murakami's invention. In this respect, ethical responsibility also comes from the awareness of *what might be true*, in Cinnamon's words, not only based on the historical consciousness of the past[36]. Murakami does not challenge important events in the Japanese history, but marginal ones such as the Japanese invasion of Manchuria and the intrusion on Mongolian territory, and that without the allusion and allegory of previous works. However marginal these events may be, they still attest the controversial issues of Japan's colonial ambitions and gratuitous killings on the excuse of the war, which were raised by the nationalistic discourse of the 1990s.

The process through which Murakami himself is made aware of his responsibility as a writer in the face of nationalistic offensive is mirrored in Okada Tōru's quest for his missing wife. The novel starts, in a rather accustomed murakamist fashion, with what seems to be a marriage crisis of a young couple. But gradually Tōru unwillingly but inevitably becomes entangled in other people's stories, which become his own in his internalized quest for his wife. He "listens" to their stories much as Murakami himself listened to the stories of the Japanese involved in the sarin gas attack, although the writing of the novel may chronologically precede the interviews. Thus, Tōru anachronically gets to witness the war crimes committed by the Japanese army in Manchuria as well as other war atrocities. His name is symbolic, Tōru being vaguely aware that his name resembles that of a prewar minister, whom Jay Rubin identifies as Keisuke Okada, a prewar Prime Minister, who was a key figure in the propagation of imperialist ideology. Thus, by bearing the name of a perpetrator, Tōru has to atone for the sins he has not committed, just as Murakami has to assume the responsibility of being a spokesman on behalf of his country just by virtue of being a Japanese writer.

In spite of the differences which apparently separate the two writers, the fact that they both resort to history and mythology in their fiction is not only common ground in the themes they approach, but it also puts them in the same line of thought as the scholars mentioned above, who always seem to look back in order to make sense of their present. Broadly speaking, Western historiographic metafictions challenge primarily the validity of objective historical truth by questioning its mode of narrative representation, while the novels here in view constitute a more profound political statement as their target is not to challenge the writing of history on the whole, but rather the truth claims of predominant historical paradigms. Moreover, by taking a

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[36] *The Wind-Up Bird Chronicle*, p.525: "To do that, Cinnamon had to fill in those blank spots in the past that he could not reach with his own hands. By using those hands to make a story, he was trying to supply the missing links. [...]He inherited from his mother's stories the fundamental syle he used, unaltered, in his own stories: namely, the assumption that fact *may not be truth, and truth may not be factual*. The question of which parts of a story were factual and which parts were not was probably not a very important one for Cinnamon. The important question for Cinnamon was not what his grandfather *did* but what his grandfather *might have done*. He learned the answer to this question as soon as he succeeded in telling the story."(italics in original)

critical stance the two authors place themselves not in an oppositional position towards generally held views in Japanese society, but against institutionally propagated nationalism.

III. The coordinates of the search

In what follows we will proceed to a closer reading of the two novels, based on three coordinates: the way through which *furusato* is looked for by (re)visiting history, the violence as a way to cleanse and purify the object of the search, and ultimately, the mode in which each author chooses to bring his quest to a closure.

1. The way to the past

As seen above, the use of history in these two Japanese historiographic metafictions has a higher political stake than simply challenging the narrative representation of history. The writing takes place within the frame of redefining identity and nation, and in order to do that a quest towards the past is being initiated to make up for the loss in the present. The importance of the quest makes it acquire the value and significance of a pilgrimage. Thus, the objective of the quest is not finding a "home" elsewhere (in time and space), be it an imaginative dislocation, but the restoration of a certain spiritual state for the sake of "here and now". As Ian Reader puts it: "Pilgrimage has always, for most people, been a temporary act, containing within it the recognition of the importance of return: return to the life and place left, to the mundane world forsaken during the temporary homelessness of pilgrimage."[37]

In the tradition of modern Japanese literature, with the contemporary Murakami falling under the same category, an important element in the formation of writers has been the "pilgrimage" to the West, which contributed in the shaping of their own identity as individuals as well as in the approach to the literature writing. The West is also an important place in the imaginary of the two novels, in such a way that characters either come from or want to escape there. Such is Takashi, in *The Silent Cry*, who seems to have a complex, yet ambiguous, love and hate relation to America: after initially taking part in the political riots of 1960 against the Security Treaty between United States and Japan, he enrols in a theatre group who stages a penitential piece in America, entitled *Ours Was the Shame*, apologizing to the Americans for their previous attitude. Although he initially says that he plans to use the troupe as only a means to go to America, he sticks to the troupe performing the apologetic play until his return to Japan. America seems to be the place where Takashi's fascination with the violent story of their great-grandfather's brother rekindled, urging him to come back and fulfil what he thinks it is his destiny. On the other hand, Tōru Okada of *The Wind-Up Bird Chronicle*

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[37] Ian Reader, "Interior Travel – Pilgrimage, Nostalgia, Identity and Quest" in Yoichi Nagashima (ed.), *Return to Japan from "Pilgrimage" to the West*, Aarhus University Press, 2001, p. 20

never makes it to Crete, although he even packs his bag for that, but instead he gets in touch with all kinds of characters, such as Honda, Lieutenant Mamiya, Kanō sisters, Malta and Creta, or Nutmeg and Cinnamon, who prompt him to an imaginative travel, if not to the "West" proper, at least to west of Japan, in the war sites of Asia. Tōru never grasps the full meaning of his involvement in their stories, but never opposes to that, taking it as a step in his own personal quest for his wife: "All of these were linked as in a circle, at the center of which stood prewar Manchuria, continental East Asia, and the short war of 1939 in Nomonhan. But why Kumiko and I should have been drawn into this historical chain of cause and effect I could not comprehend. All of these events had occurred long before Kumiko and I were born."[38] Unlike Murakami himself, his character makes a positive choice not to leave Japan, but rather to descend into its ground (in the waterless well), as if to understand and confront it from "within". Both Takashi's and Tōru's return to the past is at once objective and subjective: knowing the past of the nation or of the community is a moral obligation, and this becomes entangled with the urge to self-knowledge (self-knowledge in Takashi's case means finding a way to atone for his sins, while for Tōru it means finding the mystery which led to his family falling apart). Takashi attempt to re-enact his ancestor's riot ends in failure, possibly also because the civil right's movement in America, which might have inspired his return, has nothing to do with the realities of a transforming rural Japan. Thus, his estrangement requires the sacrifice of his life in order to bring change and revive the past: "Ōe's work consistently shows that those who journey to the West, whether through friendship with a Westerner, travel or education there, or simply through reading, are changed radically, often in ways that separate them forever from their 'Japan of nostalgia' to which many of them attempt to return. Often this return is couched in terms of a quest for rebirth or spiritual salvation, not simply for the protagonist but for the Japan to which he returns."[39] The change brought up by Takashi's death is the revival of the tradition of Nembutsu dance, his "spirit" being part of the procession of the masks, wearing "the jacket and trousers that Takashi had had on when he came back from America"[40], thus symbolically illustrating the impossibility of distinguishing the "West" from the "traditional Japan".

Only in *The Silent Cry* an actual movement in the space of the novel takes place, but the inward searches of the characters are even more meaningful and transforming than in Murakami's novel. A common motive of the two works is the confinement in a deep and dark place in the ground, which is the well in *The Wind-Up Bird Chronicle* and the pit or the cellar in Ōe's novel. Descending to the bottom of the ground is a necessity for reflecting and also a form of punishment. The descents are an act of repetition in both novels, but with different values. Tōru

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[38] *The Wind-Up Bird Chronicle*, p. 498.
[39] Susan Napier, "Hybrid Identities – Ōe, Japan, and the West" in Yoichi Nagashima (ed.), *op.cit.*, p. 321.
[40] *The Silent Cry*, p. 273.

Okada's descent is a re-enactment of that of Lieutenant Mamiya in the Mongolian desert, which was a near-death experience but which ultimately proved to be life-saving. The only thing that kept Mamiya alive was the "flood of light", a symbol of life which contrasted with the quasi-permanent dark of the well. As opposed to Mamiya, Tōru descends into the well at his own free will, taking with him a backpack and a ladder. The importance of the descent is prefigured by Honda long before the necessity of the act imposes itself: "The point is, not to resist the flow. You go up when you're supposed to go up and down when you're supposed to go down. When you're supposed to go up, find the highest tower and climb to the top. When you're supposed to go down, find the deepest well and go down to the bottom. When there's no flow, stay still. If you resist the flow, everything dries up. If everything dries up, the world is darkness."[41] Susan Fisher interprets the use of the well as "Murakami's attempt to enter imaginatively into the suffering of that time [the war]"[42]. Murakami indeed revisits a dark episode in the history of Japan, which results in a reversed symbolism: in the well of Tokyo it is the dark that is important for Tōru's quest. Furthermore, not only the dark but also the seclusion provided by it, as Fisher links it to the ritual of acquiring shamanist powers in the Japanese folk religion. The shaman has to go through an ascetic regime and to travel to the world of spirits, an experience which would provide him with the powers of a healer, which is exactly what happens to Tōru as well. Moreover, the descent also has mythological implications, Tōru's search for his wife being a transparent reference to the myth of Orpheus, which has its correspondent in the Japanese mythology as well, in the legend of Izanagi's descent into hell to recuperate his sister and lover Izanami. Heavily loaded with symbolism and signification, the descent into the ground is a recurrent motive for Murakami, reminding one of the wells on Mars in *Hear the Wind Sing* (1979), his first novel, or of the underground tunnels populated by Inklings in *Hard-Boiled Wonderland and the End of the World* (1985), or even the underground sarin has attack in 1995. Fisher resumes the significance of the well in Murakami's work thus: "The well serves as Murakami's image for the exploration of the past and of memory. More explicitly, it represents his efforts to understand himself as a Japanese person of the present time – cosmopolitan, fully aware of the literature, music, and popular culture of the West, but grounded in the history and literature of his own society."[43]

Mitsusaburō is another character who seeks his self in the dark of a pit. According to Yasuko Claremont, Ōe's characters usually retreat within "confining walls" when in some kind of crisis[44], the walls representing at once the limitations one has to face, but also the protection against the possible disintegration of the self.

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[41] *The Wind-Up Bird Chronicle*, p. 51.
[42] Susan Fisher, "An Allegory of Return – Murakami Haruki's *The Wind-Up Bird Chronicle*", in Yoichi Nagashima (ed.), *op.cit.*, p.340.
[43] Idem, p. 343.
[44] Claremont, *op.cit.*, p. 75.

Mitsusaburō's first incursion into the dark is a reaction to the suicide of his friend, whose image in death haunts him to the limits that he wants to oppose the vision of death to the ignorance of one yet unborn: "I lie in the dark, knowing nothing, a fetus in the womb".[45] The retreat to the womblike pit may however also hint to the idea of the grave in the Western imaginary. Towards the end of the novel, Mitsusaburō is again compelled to the retreat into the dark of the cellar, but this time in order to confront the ghosts of his ancestors in a final attempt to determine his own part of the guilt in the line of violent events in his family. His retreat is a re-enactment of the great-grandfather's brother long time of confinement within the same cellar. Thus, *the retrial* of his ancestor becomes *his own trial*, as he has to perform the same act of penitence for the failure of the riot, thus actively taking part in his family attempts at bringing up change. There seems to be no escape from the inexorable destiny of his family: "Must I then live out my days to no positive purpose – vague, indeterminate, depressing days, remote from the sure sense of existence of those who have risen above their private hells? Or was there perhaps some way of letting go and retreating into a more comfortable darkness?"[46]

The reconfiguration of the national identity frame within the fictional discourse of these two novels revisits historical events and reinterprets them through a subjective filter. Self-reconfiguration could not take place without the confrontation with the Other, and as we have seen above, the long history of identitary redefinition with the West as Other continues through the contemporaneity as well. The narrative strategy and also the symbol used by both Ōe and Murakami to illustrate the process of self reconfiguration is the descent into the depth of a well or pit. This is the exclusive attribute of the protagonists, which might suggest that the reconfiguration should take place at a subjective level for each individual in order to search for the home/*furusato* within.

2. Violence as a ritual of purification

Reading the fiction of contemporary Japanese writers, such as Murakami Ryū, but also by looking at works of popular youth culture, such as *manga* or *anime*, one may be astonished by the degree to which violence is depicted. The proliferation of violence may be a paradoxical feature of economically high-developed societies, as remarked by Yumiko Iida: "With the commercialization of subjectivity, society and knowledge expanding to its final frontiers – the family, sexuality and the body – reactionary responses to the increasingly severe challenges to identity began to take form in explosive acts of violence against society at large."[47] However, even the postwar literature is fused with such violent representation, as an exploration of ghastly visions of war realities in order to come to terms and finally expunge them

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[45] *The Silent Cry*, p. 1.
[46] Idem, p. 269.
[47] Iida, *op.cit.*, p. 209.

from individual and collective psyche. [48] Consequently, Ōe's prose too is permeated by instances of violence, sometimes even in an extreme form. As she illustrates the ways in which the sublime is sought in Ōe's work, Susan Napier identifies two of the paradigms as "a vision of violence, often of an apocalyptic type, sometimes linked with the Japanese emperor, or with the Japanese past" and "the body, usually in its sexual aspect, but also in relation to violent actions."[49] The violence is seen as a form of necessary purification in order for a rebirth to be possible. Murakami's fiction does not depict violence in such an extreme way, with the exception of *The Wind-Up Bird Chronicle*, where the horrors of the war are illustrated in a realistic manner. Violence is not so much a symbolic transition to a new stage as it is a narrative strategy with a political intent, meant to raise the awareness of the past.

The Silent Cry is filled with instances of physical and psychological violence, from images of death, suicide or murder, to the anguish and torment of both Mitsusaburō and Takashi to come to terms with various incidents in the novel. The novel opens with Mitsusaburō's struggle to escape the psychological torment provoked by the gruesome image of his dead friend who "daubed his head all over with crimson paint, stripped, thrust a cucumber up his anus, and hanged himself."[50] The crimson-painted head of the friend seems a grotesque clownish prefiguration of many deaths represented in the novel. S, the brother killed by the Koreans in retaliation, the girl presumably murdered by Takashi and finally Takashi himself, all die of violent deaths which were caused by smashing of the head and all are described in excruciating, horrifying detail. One cannot help making a connection to the character of the imbecile child in Ōe's fiction, who is mostly an absent figure in *The Silent Cry*, but whose monstrous head is a haunting image in *A Personal Experience* (1964). Hence, the repeated smashing of the skull as the ultimate form of violence against the body may be seen as a form of eradicating the evil which resides in the same place as the rationality. However, the inhumanly violent outburst only results in depriving both the criminal and the victim of their humanity. As with other motives in the Ōe's novel, violent acts are repeated several times as if they were the performance of a ritual. At a larger scale, violence is historically re-enacted in the repetition of the several riots along the one hundred years. In spite of a brief revival in the life of the community brought up by Takashi's "riot", it is only a shameful copycat of his ancestor's uprising against the local authorities. As the looting of the supermarket has little consequence, except for being an episode of indulging in mischief, Takashi assumes the guilt for a truly abominable act, such as the killing of the village girl, only to fulfil his destiny as a "man of violence". There is also a more personal "truth", which Takashi confesses before his death, namely that he had an incestuous relation with his younger sister, which led to her suicide. But just as

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[48] Napier, in Stephen Snyder and Philip Gabriel (eds.), *op.cit.*, p. 17
[49] Idem, p. 16.
[50] *The Silent Cry*, p.4.

Mitsusaburō thinks it is unlikely that he killed the girl, so it is his presumed regret over their sister's death, as it did not stop him having a relation (almost as incestuous) with his sister-in-law. Thus, regardless of his remorselessness, Takashi manages to become a hero through what seems his sacrifice. After his death, certain changes appear in the village: the "Emperor" will not take any punitive measures against the perpetrators, as Takashi's death redeems the collective guilt, one of his trainee's becomes a member in the village council and the traditional Nembutsu dance is revived.

In Murakami's novel, the use of violent images has a similar cathartic function as in the postwar Japanese literature, seeking to make the evil less threatening by imagining it in its extreme forms. The representation of evil in *The Wind-Up Bird Chronicle* does not rely on the same consciousness as in other postmodern Japanese novels, such as those of Murakami Ryū: "for the people who populate Murakami [Ryū]'s fictional world, the mundane represents a kind of threat from which they must flee, an anxiety for which they seek therapy in violent conditions and degraded situations."[51] As stated above, the descriptions of violent incidents in *The Wind-Up Bird Chronicle* are in a realistic key, much in the manner of Ōe, but without the pretence of historical accuracy. Susan Napier comments on Murakami's choice of Manchuria war as follows: "Murakami's choice of Manchuria as not only national Other but uncanny Other might potentially be seen as a reluctance to engage with the reality of Japan's incursions into Manchuria, a reality that has been erased in many postwar Japanese textbooks. Within the context of the novel, however, the 'othering' of Manchuria actually underlines both the protagonist's and the nation's problematic relationship with the reality of their past history. If the only way to deal with Manchuria is to make it an occult Other, this suggests the deep ambivalence that the Japanese feel toward confronting a past that at this point in time may appear surreal. By 'othering' Manchuria, Murakami paradoxically points to its stubborn reality. By defamiliarizing the war in Manchuria, Murakami forces the reader (especially the Japanese reader) to revisit the war in a new light."[52] The defamiliarization that Napier refers to concerns the episode of killing the animals in the Hsin-ching Zoo. Rather than giving detailed accounts of the human tragedies in the battle field, Murakami chooses isolate episodes, apparently of no special significance, such as this, but in which he concentrates "the corrupting effect war has on the individual"[53]. Unconnected in any way to the war that lays waste around them, the animals nevertheless become innocent victims of it, thus making the picture of the war even more disturbing. Other disturbing episodes are the killing of the Chinese prisoners with a baseball bat and the skinning of the Japanese spy by the Mongolian

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[51] Stephen Snyder, "Extreme imagination: the fiction of Murakami Ryū", in Stephen Snyder and Philip Gabriel (eds.), *op.cit*., p. 201.

[52] Susan Napier, "Meet me on the other side: Strategies of Otherness in modern Japanese literature" in Rachel Hutchinson and Mark Williams (eds.), *Representing the Other in Modern Japanese Literature. A Critical Approach*, Sheffield Centre for Japanese Studies, Routledge Series, 2007, p. 49.

[53] Idem.

soldiers. The first is again a pointless crime, but it has to be carried on as it is an order issued in the army, thus suggesting that violence might arise from absurd reasons. This meaning is enforced as the incident is re-enacted by Tōru, who finds himself attacking a man with a baseball bat for no apparent reasons. The flaying of Yamamoto is the most gruesome image depicted in the novel, but the reader never finds out Tōru's impression on it. Mathew Strecher considers that these last two episodes are not meant to present a fair picture of the perpetrator being a victim as well, but rather "to contrast the two extremes of 'humanity' and 'bestiality' that often emerge in war, and to understand that *all* the participants in this conflict (and, by extension, any other) are equally human, equally bestial, depending on the circumstances of the moment."[54]

The horrors of the war contrast with the more or less uneventful life of Tōru. He rarely makes a stance in what concerns the stories that are being told to him. The only violent incidents in his life concern both his and Kumiko's killing of her brother. However, through getting in touch with the realities of the historical past, Murakami's characters are somehow able to identify and eliminate the evil in their own lives. In contrast, Ōe's characters in *The Silent Cry* have their share of violence experienced in both their inner life and their life within the family or the community. In the end, however, regardless of its nature and embodiment, evil can only be expunged through personal sacrifice. Both Takashi and Kumiko willingly take upon themselves the task to do away with evil, as a solution more for their own credit than that of the community.

3. The end. The future

Both novels depict a couple of characters, out of which one will be able to go on with his life, while the other chooses sacrifice. Thus, after a quest in which they were submitted to various trials which brought their inner transformation, the future opens itself to several possibilities. Each experience had the intensity and the feeling of a personal near-apocalypse, but in the end the cycles of life and death continue undisturbed. In Ōe's case, as remarked by Susan Napier, the search is never ending, as the goals are redemption and rebirth.[55] However, Murakami's characters come to accept the end in itself and hope for good in the future; in other words, they more or less continue their lives from where they left them before the quest began. Nevertheless, even if the outcome is not a positive one, none of the characters express any regrets about their pilgrimages to themselves.

The Silent Cry ends with Mitsusaburō's prospective leave for taking a job as interpreter in Africa. The reasons for leaving and the expectations from it are complex: it could be, on the one hand, an escape from the village of Shikoku, as the return ended tragically in his brother's death and also in the selling of the storehouse, and, on the other hand, it could be Mitsusaburō's own way of atonement for his guilt

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[54] Strecher, *op.cit.*, p. 183.
[55] Napier, in Stephen Snyder and Philip Gabriel (eds.), *op.cit.*, p. 16.

in his brother's death and at the same time a quest for self-knowledge. The end of the novel includes all these possibilities in a self-ironic key: "Shouting commands in Swahili from beneath my sun helmet, typing English day and night, I would be too busy to consider what was going on inside me. As chef interpreter for the expedition, I could hardly persuade myself that an elephant with 'Expectation' painted on its huge grey belly would come lumbering out before my eyes as we lay in wait among the grass of the plains, but now that I'd accepted the job there were moments when I felt that, at any rate, it was the beginning of a new life. It would be easy there, at least, to build myself that thatched hut."[56] Thus, the novel ends in an ambiguous note, Mitsusaburō's cynicism questioning the possibility of his salvation, a feature which runs through all Ōe's work, as remarked by Susan Napier: "Although both the fantasized West and the fantasized Japan may seem a form of asylum which beckons its characters to perform a pilgrimage to them, Ōe's works consistently problematize and even undermine the very visions of salvation and comfort they seem to offer."[57] The "thatched hut" has a nostalgic tinge attached to it, suggesting that a return to a mythical setting is not a forgotten dream. At the same time, it suggests the reiteration of the inner search within confined wall, as it happened to him twice during the year narrated in the novel. Moreover, Africa suggests another return, this time to the mythical origins of humankind, as Ōe confesses that "the fundamental method of my writing has always been to start from personal matters and then link them with society, the state, and the world in general."[58] Thus, if this order is to be respected, the definition of the individual in relation to the nation comes before the consciousness of shared humanity. However, with Ōe, the layers always overlap and the possibilities are endless.

As seen above, Susan Napier states that Murakami's novels usually end in resignation (referring particularly to *The Hard-Boiled Wonderland and the End of the World)*. This is the case with *The Wind-Up Bird Chronicle* as well, with the difference that resignation for Tōru means not the loss of hope and the stagnation in a state of near regret, but rather the acceptance of the present ("I guess it's how we worked things out") with even the relief that it was not "a whole lot worse"[59]. The novel ends with the encounter of Tōru and May Kasahara, when they share a few thoughts about the future. If we were to consider Murakami's book too in concentric circles ("personal matters…society, the state, and the world in general") we should see that Tōru's movement is directed rather inward: after being involved in the grand narrative together with all the ones who told him their stories, his own story about the loss of his cat and his wife has May Kasahara as a sole recipient. Furthermore, Mitsusaburō's indetermination about the future is paralleled in May's

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[56] *The Silent Cry*, p. 274.
[57] Napier, in Yoichi Nagashima (ed.), *op.cit.*, p. 322.
[58] Ōe, "Japan, the Ambiguous and Myself", Nobel Prize Speech, Stockholm, 1994, in Ōe, *op. cit.* (1994), p. 109.
[59] *The Wind-Up Bird Chronicle*, p. 605.

speech but in much simpler terms: "I might want to go back to school after enough time goes by. Or I might not. I don't know. I might just get married - no, not really. […] But anyhow, I'll stay for now. I need more time to think. About what I want to do, where I want to go. I want to take time and think about those things."[60] Thus, for Tōru self-introspection is preferable to resignation. Thinking about his own future, he is also self-ironic, making a joke about the possibility to call his and Kumiko's daughter Corsica, in case they might have one. Perhaps subconsciously for Tōru the idea of the "thatched hut" remained linked to a Mediterranean island.

From the metafictional discourses of the two authors referring to their novels one may understand that for them the task of dealing with historical events has an important political significance. This task may be at the same time a necessity for every individual to assess his/her own identity within the larger frame, and a privilege reserved for those who are the acknowledged spokesmen of their respective generations.

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[60] Idem.

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THE ANALYSIS OF JUCHE IDEA
FROM THE POINT OF VIEW ABOUT CONFUCIANISM

DONG HUN KWAK[*]

ABSTRACT. *The Analysis of Juche Idea from the point of view about Confucianism.* Confucianism is thoughts of political ethics that has political character as feudalistic ideas of past Asia. It was expanded widely with influencing on the culture, social political life and public morals in the region of Asia, including Korea. In Korea, this ideology occupied a dominant position as being a ruling ideology of the feudalistic governing class. The ex-lider of North Korea, Kim Il Sung added traditional Confucian ideas like patriarchal loyalty and filial piety of Koreans in Juche Idea in order to maintanin his power and adopt policies of personality cult for himself. In addition, after consolidating one-man dictatorship, he also pursued power-succession by heredity through abusing Korean traditional Confucian thoughts. It is needed to view some Confucian features of Juche Idea in order ro understand effectively the unsual structure of North Korea.

Keywords: *Confucianism, Juche Idea, Feudalistic ideology, Patriarchal loyalty, Filial piety.*

Confucian idea is based on political ethics that has political character as feudalistic ideology of past Asian region. This idea originated and developed from China about 2,500 years ago by the teachings of the Chinese philosopher, Gong Ja (551~478 BC). In Asia, it was expanded widely with influencing on the culture, social political life and public morals. Especially, it has influenced largely on real life despite differences of each country in the continent of Asia.

Of course, Korea did accept Confucian idea very early. In Korea, this idea occupied a dominant position as being a ruling ideology of the feudalistic governing class. Confucianism itself is regarded as a feudalistic ruling ideology, but it contains some human moral conceptions which have planted their roots deeply in the national spirit. That is to say, a succession of filial piety, humanity, justice, wisdom, loyalty and courtesy was implanted in the mass of people in Korea, especially being emphasized one conception, loyalty: obedience toward the feudalistic lord. Today, in Korea, these moral characteristics of Confucianism still remain in the society and in the social relations between old; the high ruling class and young;

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the general. In other words, Confucianism, especially in Korea, justified the feudalistic class discrimination and the ruling system which suppressed the masses, with regarding a chain of these feudalistic features as the 'mandate of Heaven'.

These days, it is needed to view Confucianism from a different standpoint and to estimate more exact. At now, South Korea is in a difficult position to consider unification of South and North carefully and seriously. In order to be realized unification smoothly in the Korean Peninsula, it is necessary to undertand mutually between South and North. In South Korea, many researchers have been realizing various results in the field of study about North Korea. But some doubtful questions are ever present in the mind of South Koreans just like, "how do we look at North Korea?", "is North Korea an enemy or our compatriot?" and so on. Actually, North Korea is not only considered as an enemy but also as the compatriot in various fields of Korean society. To make a long story short, North Korea can be considered as the hostile compatriot, judging from the objective point of view. So long as this double recognition still exists about Notrh Korea, understandings and sufficient efforts to ease the hostile viewpoint of South Koreans, those are needed to be expanded for the peaceful coexistence. In accordance with this view, Juche Idea[1] from Kim Il Sung (1912~1994) who was the unitary lider of North Korea has to be referred. This unique ideology resulted from the attempt for justifying ruling system that was based on the unitary leadership with 'cult of personality' under the reign of Kim Il Sung. Juche Idea which accepted Marxism-Leninism from the creative and independent point of view, it has been put in practice as the highest value for maintaining political power of Kim[2]. Unlike Marxism and other communist ideologies that are based on materialism, Juche Idea has a conception that the very human is owner of history and the world. Plainly speaking, the major character of Juche Idea is not based on materialism but on humanism theoretically. As previously stated, in the process of formatting Confucianism, some human moral spiritual notions were contributed substantially and these traditional Confucian moral notions were implanted deeply in the national mind of the Korean people. For that reason, the North Korean authorities have mentioned frequently succession-development of Confucianism, with regarding some Confucian notions as effective means to break up the imperialistic ideological-cultural penetration[3].

Especially, Kim Il Sung added traditional Confucian ideas like patriarchal loyalty and filial piety of Koreans in Juche Idea in order to maintanin his power and adopt policies of personality cult for himself[4]. In addition, after consolidating one-man dictatorship, he also pursued power-succession by heredity through abusing Korean traditional thoughts. Kim Il Sung made use of traditional ideas to

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[1] The Korean word of 'Juche; 주체' can be translated as 'the subject' in English.

[2] Kang Sin Chang, "The Theory of North Korea Study" (Seoul: Eul Yoo Publishing Co., Ltd, 1998), p. 35

[3] Kim Hwa Jong, "Valuation Issue of Confucian Ideas from the viewpoint of Subjective Thought" The Toegye's Philosophy & Korean Culture Nr. 35 (Taegu: Toegye's Philosophy Research Institute, Kyung Buk University, 2004), p. 90

[4] Ahn Chan Il, "The End of Juche Idea" (Seoul: Eul Yoo Publishing Co.,Ltd, 1997), p. 104

transmit predominant ruling power to his son, Kim Jung Il[5]. And so, they emphasized the continuance of traditional culture like Confucian notions from time to time in order to justify their dictatorial policies.

"Communists have to recognize traditional social morals and customs.·· Without recognizing these, we can't be true communists.·" – From the public speech of Kim Jung Il in December 1981[6]

Juche Idea can be explained as the alteration of Marxism-Leninism with Confucian ideas for personal dictatorship. We need to observe carefully one article from 'The New York Times' that mentioned the death of Kim Il Sung in july 1994.

"Even though it is really difficult to understand for strangers, domination of Kim Il Sung in North Korea was based on 'the cult of rural village'. North Korean traditional society is cemented with personal relations, loyal kinships and the cult of Confucian family.·North Korea can be regarded as a big rural village. What will happen in this village where the chief died? ··"[7]

Through this article, society of North Korea was expressed as a rural village and Kim Il Sung was considered a chief of village. These expressions manifested well the true aspect of North Korea. It can be said that the charisma of Kim Il Sung could be formed completely with the phenomenon of feudalistic disciplines. From the point of view about idolatrous cults of personality for Kim Il Sung, North Korea can be regarded as 'the country with enlarged image of family' and chief of this family might be Kim Il Sung. Just like general Confucian families, this country with enlarged familial image has laid great emphasis on loyalty and filial piety toward the chief. From this assumption, one concrete formula can be made for Juche Idea of North Korea.

Juche Idea = The pure ideology; A + The pratical ideology; B + Korean traditional Confucian notions; C

A → Marxism (The essence of political and social conflicts is the struggle of classes)

B → Leninism (The class of proletariat has to practice substantially for struggles of classes on the basis of the pure ideology, Marxism)

C → Some elements from Confucianism (loyalty, filial piety)

This is the core of Juche Idea that has offered ways for executing political directions in North Korea up to the present. Most of all, in order to understand this ruling ideology which has some traditional Confucian elements, it has to be consider the background of formation, that is to say, we need to understand why Kim Il Sung had to introduce Juche Idea in political field of North Korea.

As soon as Khrushchev came into power in the Soviet Union, he adopted the policy of 'peaceful coexistence' line. This policy from the Soviet made Kim Il
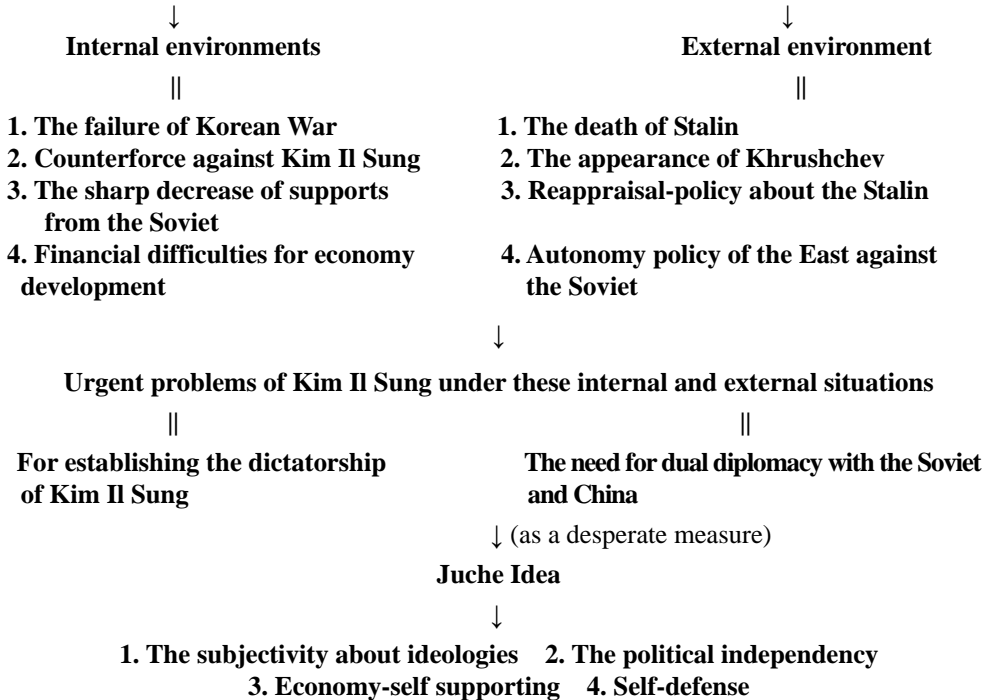
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[5] Kim Jung Il who is son of Kim Il Sung, he succeeded to the ruling power after the death of Kim Il Sung in the year of 1994.
[6] Ahn Chan Il, *op.cit*. p. 172
[7] "When the headman dies" The New York Times (11 July 1994), sec A, p. 15

Sung feel insecure because he was in the process for establishing the firm unitary leadership. And Sino-Soviet rift steered Kim to the difficult situation diplomatically between two neighboring countries, the Soviet Union and China. In addition, the overthrow of South Korean government by a successful coup d´état, it also made him be surprised frighteningly[8].

Domestic and Foreign Affairs around Kim Il Sung

↓	↓
Internal environments	**External environment**
‖	‖

1. The failure of Korean War	1. The death of Stalin
2. Counterforce against Kim Il Sung	2. The appearance of Khrushchev
3. The sharp decrease of supports from the Soviet	3. Reappraisal-policy about the Stalin
4. Financial difficulties for economy development	4. Autonomy policy of the East against the Soviet

↓

Urgent problems of Kim Il Sung under these internal and external situations

‖	‖
For establishing the dictatorship of Kim Il Sung	The need for dual diplomacy with the Soviet and China

↓ (as a desperate measure)

Juche Idea

↓

1. The subjectivity about ideologies   2. The political independency
3. Economy-self supporting   4. Self-defense

This table shows well the internal and external backgrounds of North Korea in the early of 1960s. Under these diverse environments, Juche Idea was formed and introduced by Kim Il Sung. Easily speaking, he needed a charismatic ruling ideology suitable to North Korean, that is to say, the people who was familiar with the Confucian patriarchal consciousness. An editorial article from 'Rodong Sinmun[9]' explained the meaning of 'Juche' theoretically in December 1962.

"The establishment of 'Juche' in the process of revolutionary effectuation means that we have to recognize the subject of Korean revolution is the mass of people and our Workers' Party. We have to apply the general principles of Marxism-

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[8] Kang Sin Chang, *op.cit*.p.49
[9] The oficial organ of North Korean Workers' Party

Leninism to our concrete realities creatively. Thus the line of economy-self supporting can be regarded as the wisest policy which reflects Juche Idea of our party in the process of communist construction. In order to realize purpose of our party's ideology, Juche Idea thoroughly in real life, we need to arm ourselves tightly with Marxism-Leninism and party's policies suitable to our concrete realities."··[10]

In this article, what does 'our concrete realities' mean? The proper answer to this question might be the very Korean traditional culture and notions. Because Kim Il Sung wanted to justify the system of one-man dictatorship as well as feudal power-succession by heredity, it seemed natural and necessary to take Confucian notions for him.

Max Webber mentioned the influence of Confucian culture on the process of social transition in Eastern Asia as follows. In the traditional Confucian society, the basic unit of life is not an individual, but family. And enlarged family organizes a state from the social point of view. And so the relation between the ruler and the staff can be characterized as the enlarged form of family where exist authoritarian parents and obedient children. Two major notions of Confucianism, loyalty and filial piety have laid the ideologic foundation on the patriarchal domination for Kim Il Sung[11]. Under the structure of patriarchal domination, a stat can be considered as 'a private possessive subject' and the dominator as 'father' who has to take care of family, with being respected unconditionally. The Confucian notion of 'respecting father' with filial piety realized idolization of one individual, Kim Il Sung in North Korean society. Idolization of Kim Il Sung continued even after his death in July 1994 as an moral duty just like Confucian 'ancestor worship'. Of course there might be an attept by the successor, Kim Jung Il to maintain stability and legitimacy using the older Kim's charisma. For example, a nationwide mourning ceremony was conducted immediately following Kim Il Sung's death on 8 July 1994. The birthday of Kim Il Sung, 15 April was designated as the 'anniversary of the sun'. A new calendar beginning in the year of 1912; Kim Il Sung was borned in 15 April 1912 became official, with Juche as the reign title, and Kim Il Sung was admired as the founder of the 'Juche dynasty'[12].

For further details, Bruce Cummings[13]'s research about the political structure of North Korea can be mentioned briefly. He tried to explain some features of political structure from North Korea, comparing with other Asian countries. He considered

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[10] Lee Jong Suck, "The Understanding of Modern North Korea" (Seul: History-Criticism Co.,Ltd, 2005), p. 159

[11] Yu Seok Chun, "Max Webber and Asian Society" (Seoul: Nanam Publishing Co.,Ltd, 1992), p. 345

[12] http://www.globalsecurity.org/military/world/dprk/kim-il-sung.htm (13 January 2010, h:12ºº)

[13] Bruce Cummings is a specialist in the field of study about Korea. He maintained the critical point of view about the role of United States toward the Korean Peninsula, but he estimated relation between South Korea and North in the affirmative. Especially, in a book of Cummings, '*The Origins of the Korean War*', he analyzed the Korean War from the revisionist point of view. His revisionist research interested the South Korean society in the true nature of United States. He said that the antagonistic situation of the Korean Peninsula was caused by the intentional policy from the American authorities.

North Korean society as a 'socialist corporative society'. That means the state actively intervenes and controls all spheres of society. It can be said the whole society of North Korea was developed as a big family which was based on the consciousness of consanguinity from the point of view about socialist corporatism. The corporative feature of North Korea differs from other totalitarian states because Koreans has the Confucian compliance awareness to the ruling powers[14]. And he insisted that North Korean corporative mechanism could be considered as the combined structure between Confucian patriarchal consciousness, Oriental features and hierarchical order. Communist ideologie was transplanted in territory of North Korea where some traditional features still existed: absolute monarch, Confucian hierarchical order and nationalism. The combination between Korean Confucian features and communism made North Koreans consider Kim Il Sung as a king or a father. Cummings insisted that this North Korean patriarchal structure was realized voluntarily. This unique political structure of North Korea could be formed by people's voluntary participation. So to speak, North Koreans became obedient voluntarily to Kim Il Sung as the allegiance to the king. This mentioned series of facts could be realized by virtue of traditional Confucianism in North Korea.

In Conclusion, political structure of North Korea that was based on the combination between some Confucian features and communist ideology can be characterized with 3 kinds of ways; it is possible to consider these three features as the fundamental objective of Juche Idea.

(1)   The idolization of dominant power of Kim Il Sung
(2)   The emphasis on loyalty to Kim Il Sung
(3)   The mythical idolization of the Kim family (justification of power-succession by heredity)

Even though there is a common feature in each communist ruling ideology, Juche Idea can not be regarded as the ruling ideology but can be regarded a kind of reign-discipline because one individual, Kim Il Sung was deified and absolutized through Juche Idea. North Korea that is ruled by Juche Idea, it has lost the range of moving its body in the international society continually. This unique country has been isolated and also colosed diplomatically day by day. The communism has collapsed since the early of 1990s and the Soviet Union, the root of communist, already collapsed. If Toynbee who mentioned about the rise and fall of civilization, he observes the situation of North Korea, what does he think about the prospect of North Korea? Is North Korea in the process of decline or development?

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[14] Bruce Cummings, "The Two Koreas: A Contemporary History", translated by Kim Dong No (Seoul: Writing & Criticism Co., 2001), p. 572~602

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LA RELATION INTERPERSONNELLE DANS *LE 7-10* DE *FRANCE INTER* : DE LA CONSTRUCTION INTERSUBJECTIVE À LA CONNIVENCE

CATHERINE DÉTRIE[1]

ABSTRACT. *Interpersonal exchanges in the 7-10 am France Inter radio station broadcast : from intersubjective utterances to complicity.* In this paper we argue that the relation (whether attested or projected) between speaker and listener predetermines implemented textualisation even before dynamically interacting with it. In order to validate this hypothesis, we query how intersubjectivity and complicity markers are used by listeners addressing guests during the *7-10 am* France Inter radio station broadcasts: pronouns, forms of address and processes of complicity construction, in particular through recycling of other speakers' utterances, even if distorsion is required. This movement means that the speech interaction sequences become an enunciative-textual whole in which speech glides or extends from one utterance to another, and thus a relational complicitous network is created with both the embedded and embedding participants.

Keywords : *Co-enunciation ; intersubjectivity ; interaction ; textualisation.*

Ma contribution s'inscrit dans le cadre de l'analyse du discours telle qu'elle est pensée par la linguistique praxématique, qui considère que chaque prise de parole implique les coénonciateurs, et en propose une représentation: la parole est de ce fait prise dans une dynamique intersubjective pratique, celle des coénonciateurs de l'interaction dans laquelle elle s'ancre. La relation intersubjective à l'origine de cette parole interagit ainsi dialectiquement avec sa mise en forme discursive. Je me propose d'articuler quelques microphénomènes grammaticaux et discursifs à l'interaction dans sa globalité, en montrant qu'ils permettent de dessiner les contours de la relation interpersonnelle entre coénonciateurs. Pour ce faire, je réfléchirai aux formes de spectacularisation de la coénonciation, en resserrant mon analyse sur quelques marqueurs d'intersubjectivité et de connivence. J'utiliserai comme corpus l'émission *Le 7-10* de *France Inter* en date du 15.01.09, animée par Nicolas Demorand (désormais ND), et dont l'invité était Jean-Marie

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Messier (désormais JMM), ancien patron de *Vivendi Universal*[2]. Pour ce travail, je me limiterai à l'analyse du deuxième volet de l'émission, intitulé *Interactiv'*, au cours duquel les auditeurs, pendant 20 minutes (de 8h40 à 9h), peuvent poser directement par téléphone des questions à l'invité du jour. L'émission, ce jour-là, s'organise autour de cinq auditeurs-questionneurs.

L'interaction entre grammaire, discours et énonciation me semble particulièrement intéressante à étudier dans ce corpus: en effet le croisement ou la superposition d'interactions et de sphères interpersonnelles enchâssantes (animateur et/ou autres journalistes et/ou invité et/ou auditeurs-questionneurs vs auditeurs du 7-10), et enchâssées (journalistes et/ou auditeurs-questionneurs vs invité, animateur vs auditeur-questionneur sélectionné) constitue une configuration énonciative complexe, impliquant une grande variabilité des positionnements énonciatifs, en relation avec la variété des coénonciateurs et de leur engagement dans la coénonciation, cette dernière s'inscrivant dans des formes grammaticales et discursives elles-mêmes diverses. Ces interactions peuvent être en coprésence (animateur, autres journalistes, invité dans le studio) ou non, mais elles sont toutes synchrones.

Je fais l'hypothèse que la relation (attestée ou projetée) entre énonciateur(s) et énonciataire(s) prédétermine la façon dont le dire va être représenté, mis en forme linguistiquement, et donc reçu, et qu'elle prédétermine de la sorte la textualisation opérée avant d'interagir dynamiquement avec elle. Je m'intéresserai dans ce cadre aux formes de spectacularisation de la coénonciation, en m'attachant à quelques processus langagiers qui permettent de configurer la relation interpersonnelle.

1. Les formes de spectacularisation de la coénonciation

Les formes d'adresse sont spécialisées dans ce rôle, puisqu'elles ont pour fonction de saturer référentiellement le coénonciateur (cf. Détrie, 2006). Je m'intéresserai pour cette raison en premier lieu aux apostrophes nominales, mais aussi à leur substitut non déictique, dans le cas de l'adressage indirect, et à la non-adresse, c'est-à-dire un format en non-personne pour questionner l'invité: en effet, si l'adresse directe, utilisant une apostrophe nominale, souvent adossée à un procès à la cinquième personne *vous*, est la plus attendue en interaction, d'autres schémas peuvent se mettre en place, en particulier l'énoncé en non-personne, dont on notera qu'il est particulier à certaines (non-)interactions.

1.1. Les formats d'adresse dans les interactions entre l'animateur et le questionneur

1.1.1. Les choix de l'animateur lors de l'attribution de parole et du remerciement
Le choix est celui d'un adressage direct par le prénom du questionneur. Le prénom en apostrophe est une forme tout à fait attendue, et cela pour plusieurs raisons, la première étant liée au média radiophonique qui exige une discrimination

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[2] Je remercie B. Verine, fidèle auditeur de *France Inter*, qui a attiré mon attention sur l'émission de ce jour-là.

explicite de la personne à qui l'animateur adresse son propos : le prénom sert de guidage pour l'appréhension de la scène d'énonciation par les auditeurs. Ainsi, pour ce qui est des apostrophes en ouverture d'interaction, ND, après avoir spécifié en non-personne, pour les auditeurs d'une part, pour le questionné d'autre part, le prénom de l'auditeur-questionneur et son origine géographique, enchaîne en ouverture d'interaction avec le prénom, cette fois en adresse, du questionneur : *Benoît, Éric, Jean-Noël, Amaury*, et *Jean-Louis* (le prénom sera désormais réduit à son initiale dans les transcriptions : A, É, JN, A et JL). L'animateur ne connaît en effet que le prénom des intervenants, qui lui a été notifié par le standard de l'émission. Le prénom en adresse joue son rôle discriminant en signalant au questionneur qu'il est à l'antenne et qu'il va pouvoir poser sa question :

[1a]   on démarre avec Benoît du Pas-d'-Calais brillant lui aussi bonjour <u>Benoît</u>[3]

[1b]   Éric nous appelle de bonjour <u>Éric</u> bienvenue

Les apostrophes en clôture d'interaction entre l'animateur et Benoît, Éric, Amaury et Jean-Louis, avant passation de la parole à l'invité, sur le modèle {*merci* + prénom}, ont aussi pour fonction de signaler la modification imminente de la sphère intersubjective. Il n'en va pas de même avec Jean-Noël, responsable d'une escarmouche avec l'animateur, qui ne sera pas remercié, et qui ne posera pas non plus de question à JMM, si tant est qu'il souhaitait le faire (cf. *infra* [6]).

1.1.2. Un schéma variable selon les questionneurs

En ce qui concerne les formats d'adresse en ouverture d'interaction, les stratégies diffèrent selon les questionneurs puisque sont actualisées :

– une apostrophe initiée par Jean-Noël, associant le prénom et le nom de l'animateur (*bonjOUr↗Nicolas Demorand vous êtes le Jean-Marie Messier de France Inter*) ;

– une double apostrophe émanant de Jean-Louis, l'une adressée à tous ceux qui sont dans le studio, l'autre à l'animateur (*oui bonjour messieurs merci Nicolas Demorand*) ;

– une forme d'adresse indirecte de la part de Benoît (*euh bonjour à toute l'équipe*) ;

– l'absence de toute forme d'adresse en ouverture d'interaction pour Éric et Amaury.

Jean-Noël est en outre le seul à initier une interaction avec l'animateur, et à utiliser deux fois dans le corps de cette interaction impromptue une apostrophe nominale sur le modèle {prénom + nom} en direction de l'animateur (cf. *infra* [6]).

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[3] Conventions de transcription : [:] [::] [:::] allongement vocalique plus ou moins prononcé ; [/] [//] [///] pauses plus ou moins longues ; ['] apocope ; [↗] intonation montante ; [↓] intonation descendante ; [>xxx<] partie prononcée plus rapidement que le reste du discours ; [\] interruption de parole. Les chevauchements sont signalés par des crochets. Le <u>soulignement</u> a pour fonction de signaler l'élément sur lequel porte l'analyse de l'exemple.

Il est à noter qu'aucun des questionneurs sans exception ne s'adresse à JMM directement, tous choisissant la non-personne :

[2a]   j'avais une question de à <u>Jean-Marie Messier</u> (Amaury)

[2b]   puisque <u>monsieur Jean-Marie Messier</u> a fréquenté monsieur Édouard Balladur donc forcément monsieur Nicolas Sarkozy en son temps↑ et je s'rai un p'tit peu embêté vu ses échecs que ce soit lui qui dirige nos finances (Jean-Louis)

1.2. Les formats d'adresse dans l'interaction entre l'animateur et l'invité

1.2.1. Les choix de l'animateur

ND oscille systématiquement entre un discours non adressé et un discours adressé à JMM.

[3a], [3e] et [3g] signalent la passation de parole à JMM, et donc aussi la clôture de l'interaction entre l'animateur et l'auditeur-questionneur. À ce point de l'interaction, le discours est encore adressé à l'auditeur, et JMM est un tiers dans cette interaction. [3d] relève du même processus : en effet ND et JN sont en interaction directe, ce qui explique que JMM soit traité en tiers par ND, dont le discours est adressé à JN.

[3b] est indécidable : il peut s'agir d'une adresse ou d'un énoncé elliptique, ayant la portée suivante : *la parole est à JMM*. Auquel cas, l'adressage est indirect, comme en [3a], [3e] et [3g].

[3f] est plus intéressant peut-être, dans la mesure où ND s'adressait auparavant directement à JMM (*[vous faites partie des visiteurs du soir] de l'Élysée ou pas* ↑). Ce basculement en non-personne est facilité par le polylogue, et il s'agit plutôt d'un commentaire sur JMM. L'adressage direct n'est donc représenté qu'en [3c] et [3h] :

[3a]   <u>Jean-Marie Messier</u> vous répond utilité crédibilité↑ de ce mea culpa

[3b]   <u>Jean-Marie Messier</u> puis le standard de France Inter

[3c]   merci Éric pour cette question très très dure on va rester peut-être sur la folie du pouvoir <u>Jean-Marie Messier</u>↑

[3d]   ben <u>Jean-Marie Messier</u> c'est la première fois que j'le rencontre de toute ma vie hein j'ai trente-sept ans et c'est la première fois bon on va passer à aut' chose

[3e]   <u>Jean-Marie Messier</u> va répondre

[3f]   il dit pas non non plus <u>Jean-Marie Messier</u>

[3g]   merci Amaury pour pour euh pour cette question <u>Jean-Marie Messier</u> vous répond

[3h]   merci Jean-Louis pour cette question alors est-ce qu'on doit vous app'ler monsieur le futur ministre des finances <u>Jean-Marie Messier</u>↑

1.2.2. *Le choix de l'invité*

On notera, en ce qui concerne JMM, l'utilisation du seul prénom en apostrophe pour désigner l'animateur, alors que ce dernier signale à un auditeur qu'il n'a précisément jamais rencontré JMM auparavant. Déjà, dans la première partie de l'émission (*L'invité*), JMM salue l'animateur par *bonjour à vous Nicolas*, alors que ND l'avait salué par *bonjour Jean-Marie Messier*. Ce choix est peut-être à imputer à une gestion « managériale » des relations humaines en entreprise, instaurant une proximité de façade, qui se manifeste par la combinaison de {*vous* + prénom}, actuellement du dernier chic :

[4]   si si vous me permettez <u>Nicolas</u> juste une\

1.3. Entre le questionneur et l'invité : une délocution systématique

Curieusement, aucun nom d'adresse n'est utilisé dans ce cadre. La délocution est une constante de la part de chacun des coénonciateurs, l'invité, quand il est représenté dans le discours du questionneur, étant toujours traité en non-personne. Ce n'est habituellement pas le cas dans ce genre d'émission (trois contre-exemples : les invités du 24 mars, du 1er et du 6 avril 2009, respectivement Xavier Darcos, François Hollande et Olivier Besancenot, sont questionnés en *vous* par tous les auditeurs sélectionnés). Aux occurrences [2a] et [2b], s'ajoutent par exemple celles-ci :

[5a]   j'dois signaler d'abord qu'chui un petit peu choqué de la présence de <u>Jean-Marie Messier</u> de la parution d' son livre j' voudrais lui poser une question toute simple (Benoît)

[5b]   j'avais une question de à <u>Jean-Marie Messier</u> c'était tout simplement moi ça m' faisait un p'tit peu marrer comme beaucoup d'auditeurs me semble-t-il de l'entendre donner des l'çons sur c' que doit êt le capitalisme financier d'demain (Éric)

[5c]   est-ce qu'aujourd'hui on a affaire au futur ministre des finances de la France puisque monsieur <u>Jean-Marie Messier</u> a fréquenté monsieur Édouard Balladur donc forcément monsieur Nicolas Sarkozy en son temps↑ et je s'rai un p'tit peu embêté vu ses échecs que ce soit lui qui dirige nos finances (Jean-Louis)

Symétriquement, JMM ne répond jamais directement à son questionneur, comme si ce dernier n'était pas un colocuteur réel, mais s'avérait un simple dispositif lui permettant de s'expliquer ou de se justifier. Ce constat ne saurait être seulement lié au fait que le questionneur et le questionné ne sont pas en face à face spatialement. La réponse proposée par JMM est avant tout une réponse pour les auditeurs de *France Inter*, bien davantage qu'une réponse au questionneur, du moins dans l'esprit de l'invité, qui vient défendre son ouvrage.

Le fait le plus marquant de ces interactions est ainsi leur décorporalisation (au plan langagier), que ce soit dans la parole du questionneur qui envisage en non-personne le questionné, ou dans celle de l'invité qui l'ignore. Ce n'est cependant pas le cas dans tous les *7-10*, puisque les invités, habituellement, répondent directement au questionneur, et parfois même inscrivent son prénom dans leur réponse, cherchant de la sorte à instaurer une interaction incarnée.

Ainsi, plus globalement, cette petite analyse signale l'atypicité énonciative de cette émission au regard du modèle général, qu'on se place du côté de l'invité (il est le seul à désigner l'animateur par son prénom, alors que les invités le désignent toujours par *Nicolas Demorand* ou *Monsieur Demorand*), ou du côté des questionneurs, qui adoptent sans exception la même stratégie délocutive à l'égard de l'invité (qui s'y conforme dans ses réponses). Il faut de la sorte s'interroger sur cette atypicité.

2. Quelques hypothèses pour expliquer l'atypicité des choix effectués

Le choix du format d'adresse non seulement reflète la relation projetée à autrui, mais la construit et/ou la remodèle, si bien que le format énonciatif sélectionné dit aussi un mode de relation tout court. Ainsi, pourquoi les auditeurs-questionneurs choisissent-ils d'interroger l'invité en privilégiant un format énonciatif en non-personne, et quelle relation projetée est-elle à l'œuvre dans le fait que l'invité appelle l'animateur par son seul prénom ? Ces simples questions signalent les enjeux interactionnels en deçà des formats d'adresse.

2.1. Entre l'animateur et le questionneur : apostrophe nominale et tension interactive

L'apostrophe signale un désir d'interactivité forte, qui ne préjuge pas d'une recherche de consensus ou de dissensus avec autrui. Elle signale simplement qu'autrui est considéré comme un partenaire d'interaction à part entière. À ce titre, le moment le plus conflictuel – l'escarmouche avec JN – est aussi un moment fortement interactif. Le but de JN est de détourner le principe même de l'émission, pour reprocher à ND sa supposée connivence avec les décideurs, ce qui va instaurer un dialogue de sourds. Si JN utilise deux fois l'apostrophe {prénom + nom}, ND, piqué au vif par l'accusation de JN, va personnaliser au maximum la passe d'armes qui s'ensuit en utilisant à cinq reprises le prénom de l'auditeur en adresse. Ces apostrophes ont pour fonction d'une certaine manière de clouer au pilori médiatique l'audacieux responsable de l'attaque de l'animateur, qui ne joue donc pas le jeu :

[6]
JN   bonjOUr↑ <u>Nicolas Demorand</u> vous êtes le Jean-Marie Messier de France Inter
        c'est-à-dire un âne inculte et prétentieux
ND   ah allez-y continuez continuez continuez allez-y offrez-vous offrez-vous <u>Jean-
        Noël</u> / <u>Jean-Noël</u> vous allez avoir la parole alors c'est pas la peine de vous précipiter
        offrez-vous ce petit frisson de dissidence / c'est c'est parti vous pouvez y'aller

JN eh bien oui <u>Nicolas Demorand</u> vous prenez les auditeurs de France Inter pour des idiots

ND ouais bien sûr

JN eh oui

ND mais vous ça vous l'avez deviné vous <u>Jean-Noël</u> hein↓

JN eh oui

ND ah vous m'avez percé à jour bon est-ce que vous avez une question cela dit ou est-ce qu'on passe à aut' chose↑

JN eh bien oui êtes-vous fier de la laisse d'or du journal Le plan B que vous avez reçue

ND très fier très fier <u>Jean-Noël</u> c'est la seule déco déco déc' décoration qui m'ait jamais été donnée j'en suis extrêmement fier est-ce que vous avez une question↑

JN eh bien oui pourquoi faire de la pornographie [sur France Inter à neuf]

ND [ah de la pornographie]

JN heures moins le quart

ND de la pornographie d'accord↓ c'est quoi votre définition de la pornographie

JN eh bien inviter quelqu'un qui n'a rien à faire sur France Inter alors qu'y a des [millions]

ND [alors]

JN qui sont dans la misère

ND c'est quoi euh les gens qui ont euh qui ont l'droit d'parler dans un espace démocratique y a des gens donc que dont il faut interdire la parole c'est ça <u>Jean-Noël</u> vot' conception de la démocratie↑

JN ce n'est pas inviter toujours les mêmes personnes [comme vous le faites régulièrement]

ND [ben, Jean-Marie Messier c'est] la première fois que j'le rencontre de toute ma vie hein j'ai trente-sept ans et c'est la première fois bon on va passer à aut' chose

JMM si si vous me permettez Nicolas juste une\

La personnalisation concerne aussi Éric, à un degré moindre, dès que ce dernier semble vouloir tenir un discours polémique :

[7]

É déjà je partage l'étonnement de Benoît sur la présence de monsieur Messier

ND ben écoutez on est en démocratie <u>Éric</u> tout l' monde a le droit de s'exprimer

Les apostrophes nominales, hors séquences d'ouverture et de clôture, signalent ainsi l'agacement de l'animateur, et sa volonté de recadrer expressément l'interaction en cours.

2.2. Du côté de l'invité : le prénom seul, un signal de solidarité ?

C'est ce même moment conflictuel qui fait reparaître (cf. *supra* 1.2.2.), de la part de JMM, l'apostrophe réduite au prénom pour désigner l'animateur. Si cette apostrophe a été expliquée plus haut comme imputable à une mode managériale, se superpose peut-être aussi, au regard de la proximité que l'emploi du prénom est souvent chargé de véhiculer, une volonté de manifester une certaine solidarité d'agressés, puisque JMM sort ND d'un mauvais pas : l'animateur était en effet pris

dans une discussion mal embranchée (*on va passer à aut' chose*). Pourquoi cette marque de solidarité intervient-elle à ce moment précis ?

Parce que ND a en quelque sorte préparé le terrain au préalable à trois reprises (face à Benoît, face à Éric), en utilisant des formules de mise à distance des propos du questionneur (formes atténuatives ou signalant la subjectivité du point de vue), dans le but de préserver la face de JMM, qui a parfaitement intégré l'intention :

[8a]   merci Benoît <u>on peut ne pas apprécier la métaphore du du virus</u>[4] mais on comprend le sens de votre question Jean-Marie Messier vous répond utilité crédibilité↑ de ce mea culpa

[8b]   allez-y Éric <u>la suite risque d'être plus dure j'imagine</u>
         […]
         merci Éric pour <u>cette question très très dure</u>[5] on va rester peut-être sur la folie du pouvoir

2.3. Du côté des questionneurs : la délocution *in praesentia*, indice d'un climat de défiance ?

La présence en question est physique pour les personnes réunies dans le studio, auditive seulement pour les questionneurs. Le cas le plus prégnant est celui des questionneurs de JMM, qui le traitent systématiquement comme une tierce personne, et l'excluent de la sorte du circuit de l'interlocution. La non-personne signale, de la part du questionneur, la perception d'une très faible interactivité potentielle, et l'adaptation conséquente du format d'adresse à cette déficience : la non-personne signale grammaticalement une sorte d'impossibilité de dialogue, ou un interdit dialogal. Ce choix est lié soit à la personne même de l'invité (il appartient à un monde des affaires qui apparaît très éloigné des préoccupations quotidiennes du questionneur), soit à la mise à distance du discours qu'il tient. En effet, plusieurs auditeurs lui récusent toute légitimité à prôner un capitalisme éthique (ce pour quoi il a plaidé dans la première partie de l'émission, que constituait son interview par ND). Le décalage extrême entre les propos tenus par JMM (qui reprennent le contenu du livre qu'il vient présenter à l'antenne) et ce que les auditeurs savent par ailleurs du management de l'ex-PDG de *Vivendi Universal* instaure d'entrée de jeu un climat de tension, pour ne pas dire de défiance. La non-personne signale de la sorte un rebond inattendu du premier temps de l'émission sur le second.

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[4] Benoît avait fait la réflexion suivante à propos de JMM : *j'ai jamais demandé à un virus de soigner mes enfants je vois pas pourquoi i viendrait nous donner des leçons sur la façon dont euh on devrait moraliser l'économie*.

[5] La question concernait la folie du pouvoir. Éric concluait sa question ainsi : *vous pouvez vous imaginer que de par votre action à la tête de Vivendi vous en avez brisé des regards d'enfants*.

2.4. Quelques remarques sur *on*

Le volet *Interactiv'* présente 66 occurrences du pronom *on*. Ce dernier est définitoirement un pronom *prépersonnel*, c'est-à-dire inapte à opérer la distinction des personnes et des points de vue : dans ce cadre, il signale une saisie en indistinction personnelle (Détrie 1998, 2008, à paraître, et Détrie C. et Verine B., 2010), qui lui permet de construire cotextuellement un singulier anonyme, une pluralité indistincte, ou un halo empathique, si bien que son emploi, parce qu'il propose un lissage formel des personnes et des points de vue qui les sous-tendent, travaille l'indifférenciation subjective. *On* construit de la sorte un format d'actualisation reposant sur l'imprécision et l'implicitation. À ce titre, il est fréquemment un marqueur de connivence. Je ne propose que deux illustrations prototypiques de ces emplois. En [9], les trois occurrences du prépersonnel interviennent dans la phase d'agression de l'animateur par JN, phase extrêmement personnalisée en *vous* et *je*. Ces *on* ont pour rôle de représenter l'animateur en osmose avec l'auditoire et de mettre ainsi en spectacle son propre dire présenté comme consensuel, soit en diluant la responsabilité de l'acte agressif – faire taire le questionneur – pour les deux premières occurrences, soit en instaurant une connivence directe avec l'auditoire pour la troisième, puisque ND souligne leur capacité d'analyse. En [10], *on* permet de poser l'auditeur en *même*[6] l'ânerie supposée étant de la sorte posée comme en partage, et par là même mise à distance, mais aussi de déplacer l'enjeu énonciatif. En effet, *on*, dans ce cadre, est un marqueur de la quête de connivence avec non seulement l'auditeur-questionneur actuel – son implication concrète étant présentée comme allant de soi –, mais plus généralement avec tous les auditeurs de l'émission :

[9]   ah vous m'avez percé à jour bon est-ce que vous avez une question cela dit ou est-ce qu'<u>on</u> passe à aut' chose↑
        [...]
        [ben Jean-Marie Messier c'est] la première fois que j'le rencontre de toute ma vie hein j'ai trente-sept ans et c'est la première fois bon <u>on</u> va passer à aut' chose
        [...]
        et <u>on</u> l'aura compris que la définition de la démocratie de Jean-Noël c'est donc des gens qui pensent la même chose ont s simplement le droit de de s'exprimer↓

[10]   ah ben entre ânes vous savez <u>on</u> a un air de famille visiblement selon notre auditeur

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[6] Pour la praxématique, la subjectivité en *même* construit des schèmes positionnels et expérientiels susceptibles d'être partagés par le coénonciateur par identification empathique. *On* est souvent dans ce cadre un outil de l'empathisation.

3. De quelques formes subsidiaires de construction de la connivence : l'*âne* et la *pornographie*, ou comment mettre à distance le dire d'autrui en le recyclant

La connivence peut aussi s'inscrire à un palier supérieur à l'interaction, dans le cadre de la somme des interactions que constitue la totalité du volet *Interactiv'*. En effet, l'intervention musclée de JN a des effets inattendus sur les interactions ultérieures, puisque certains des mots qu'il emploie vont rebondir au fil de l'émission, être repris soit par ND, soit par un auditeur, ce qui montre bien que l'émission en question n'est pas seulement une suite d'interactions individuées, mais un tout interactionnel en soi. L'accusation d'être *un âne* et de *faire de la pornographie* portée par JN à l'antenne, accusation violente et spécifiquement destinée au seul animateur, va vivre une nouvelle vie, en déliaison du contexte initial où elle s'ancrait, déliaison qui rend les mots *âne* et *pornographie* non seulement inoffensifs, mais encore les transforme en mots-phares ou en étendards aptes à construire une connivence momentanée entre les interactants. L'affront est de la sorte lavé en instrumentalisant les mots mêmes de l'offenseur.

3.1. Être ou ne pas être un âne ?

Le mot *âne*, employé par JN en [6], et que je reprends ci-dessous (exemple numéroté [11]) par souci de clarté, est recyclé par l'animateur [12], lors de l'interaction qui suit l'escarmouche avec JN, et détourné, puisque celui qui est traité d'*âne*… est le questionneur lui-même (Amaury), alors que JN n'a jamais étendu l'insulte aux auditeurs de *France Inter*. Au contraire, l'expression *prendre quelqu'un pour un idiot* [11] aboutit à la production de sens inverse, à savoir que les auditeurs de *France Inter* ne sont pas des idiots, et donc qu'ils ne sont pas (bêtes comme) des ânes.

[11]   (00:12:45)
JN   Nicolas Demorand vous êtes le Jean-Marie Messier de France Inter c'est-à-dire un <u>âne</u> inculte et prétentieux
ND   ah allez-y continuez continuez continuez allez-y offrez-vous offrez-vous Jean-Noël / Jean-Noël vous allez avoir la parole alors c'est pas la peine de vous précipiter offrez-vous ce petit frisson de dissidence / c'est c'est parti vous pouvez y'aller
JN   eh bien oui Nicolas Demorand <u>vous prenez les auditeurs de France Inter pour des idiots</u>

[12]   (00:14:36)
ND   vous avez été traité d'<u>âne</u> par le précédent euh le précédent   auditeur↓ sachez-le hein↑

La remise en circulation du mot *âne* participe de la stratégie de reconquête d'image de la part de l'animateur : si le mot se voulait insultant lors de sa première occurrence, notamment pour l'animateur, son recyclage en [12] a pour fonction de relativiser l'insulte en instaurant une complicité non seulement avec le questionneur,

mais aussi plus largement avec tous les auditeurs de *France Inter*, désormais apparentés à des *ânes*. Son effet est de brouiller les frontières propres aux rôles interactionnels préalablement déterminés et les domaines de compétence qui s'y rapportent, puisque tous sont envisagés comme appartenant à la même communauté asinesque, stratégie qui fonctionne fort bien, puisque JL, en [13], s'appuie sur le dire antérieur de ND qui ne lui était pas destiné [12], pour revendiquer le titre d'*âne*, désactivant de la sorte le camouflet initial[7]. Le mode de circulation du discours premier s'effectue en désancrage de l'énonciation primitive, et en appui de celle de ND, ce qui le rend réénonçable :

[13]   (00:17:46)
JL   je suis un des <u>ânes</u> mais je vous aime beaucoup euh
ND   ah ben c'est sympa ben entre <u>ânes</u> vous savez <u>hein</u> on a un air de famille visiblement selon notre auditeur
JL   oui oui
ND   alors participons collectivement effectivement à la pornographie allons-y
JL   oui simplement est-ce qu'aujourd'hui on a affaire au futur ministre des finances de la France […]

JL tend ainsi la perche de la complicité à ND, qui s'en empare. En effet, dès lors que cette neutralisation de l'insulte est consommée (cf. *supra* [12]) – étape nécessaire pour l'animateur dans la reconquête de son image – ce dernier peut signaler, toujours grâce au même mot, sa connivence avec JL ([13]), connivence par ailleurs appuyée par *hein*, particule pragmatique qui cherche à impliquer le coénonciateur, à lui réclamer son assentiment. *Entre ânes vous savez hein* signale l'ajustement à autrui dans l'interaction, et plus encore l'ajustement au réglage de sens d'autrui (celui d'une mise à distance). La synchronisation sémantique signale deux partenaires en phase pour ce qui est de l'ironie.

3.2. Faire ou ne pas faire de la pornographie à neuf heures moins le quart du matin ?

Dans ce même passage ([13]), une fois la complicité de JL acquise (*oui oui* opine-t-il à propos de l'air de famille), ND va plus loin, en recyclant aussi le mot *pornographie* (*supra* ([6]), qui avait été introduit par le même JN lors de sa passe d'armes avec l'animateur, et dont la définition avait été un enjeu important de l'interaction. Le recyclage s'inscrit dans le cadre d'un dialogisme conflictuel, qui vise à discréditer l'énonciateur original, tout en désamorçant la portée agressive du discours primitif dans lequel le mot s'ancrait, et en s'assurant la complicité du questionneur actuel. La stratégie est la même que pour *âne* : reprendre les mots

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[7] Cependant le *mais* de JL reste inexplicable, *je suis un âne* n'étant pas contradictoire avec *je vous aime beaucoup*. N'y a-t-il pas plutôt derrière cette forme un conflit entre la forme choisie par l'auditeur, et une autre, plus pertinente syntaxiquement : *vous êtes un âne mais je vous aime beaucoup* ?

d'autrui pour neutraliser leur capacité de nuisance. L'impératif de quatrième personne (*participons, allons-y*), qui met en spectacle le cophasage projeté des interactants, appuie cette connivence en impliquant JL, et, plus largement, les auditeurs, tandis que *alors* annonce la conséquence logique de l'appartenance à la classe des asinés : faire *collectivement* de la pornographie.

Plus généralement, la remise en circulation des mots *âne* et *pornographie* a pour effet de poser la succession des sphères coénonciatives (définitoire du volet *Interactiv'*) comme un tout énonciativo-textuel où la parole semble glisser ou se prolonger d'une interaction à l'autre, ce qui installe le coénonciateur dans un réseau relationnel connivent.

En guise de conclusion

Je n'ai étudié que quelques points saillants des relations tissées entre coénonciateurs. Pour être exhaustive, il aurait fallu que je fasse un sort à tous les *hein* (11 occurrences), expliciter tous les *on*, les *écoutez* et les *ben* en emploi de particule énonciative, qui posent le point de vue de l'énonciateur tout en suscitant ou suggérant la covalidation de ce point de vue, et qui, à ce titre, ont un rôle de structuration de la relation intersubjective elle-même.

Pour autant, ces quelques microphénomènes auxquels je me suis attachée me semblent non seulement mettre en forme les diverses relations interpersonnelles projetées, dans la succession des interactions, en spécifiant le degré d'engagement des coénonciateurs dans chacune d'entre elles, mais surtout signalent que cette relation doit être appréhendée à des paliers divers : le tour de parole, l'échange, l'interaction, la somme des interactions. À ce titre, la construction intersubjective, dans une émission de 20 minutes, doit être envisagée non seulement au regard du continuum du tout dialogal qu'est *Interactiv'*, ne serait-ce que par les recyclages effectués qui relèvent de plein droit de cette construction, mais aussi au regard du *7-10* en son entier, comme le laisse deviner l'attitude distante des questionneurs face à l'invité, qui ont écouté les propos qu'il tenait dans le volet *L'Invité*.

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THE JOURNALISTIC TEXT. THEORETICAL BACKGROUND

LUMINIȚA ROȘCA[1]

RÉSUMÉ. Le texte journalistique. Cadre théorique. L'objectif de notre travail est de construire le cadre théorique approprié pour l'analyse du texte journalistique. Les recherches en linguistique étroitement liées des *théories du texte* et de l'étude des phénomènes de langage situés au-delà du niveau du phrastique, le *transphrastique,* constituent les principaux repères théoriques de notre analyse. De ce point de vue, notre contribution include un chapitre introductif dans lequel on discute les notions de *texte* et de *textualit*é, conformément à certains théories du texte. Le cadre théorique constitue le fondement pour créer les instruments de définir, déconstruire et reconstruire les séquences significatives d'analyse, au niveau de la textualité du texte journalistique.

Mots-clés: *activité de construction, attentes, cohérence, situationnalité.*

The notion of text

The linguistic research displays a special interest in defining the notions of text and textuality. The purpose of this chapter is to identify and describe the features that define the textuality according to some text theories.

1.1.   Some definitions have been selected from the specialty literature. The order of the definitions is based on a chronological criterion:

"The text is an operative language unit." (Halliday & Hasan, 1976)

"The text is an occurential communication sequence, which responds to the seven parameters of textuality. If one of the parameters is not accomplished, the text will not be efficient communication" (Beaugrande & Dressler, 1981, p.3). The parameters of textuality which have been stated and analyzed by the authors above are: cohesion, coherence, intentionality, informativity, situationality, intertextuality.

"The text is a layout of signs which the communicator and the recipient understand as the achievement of a communication intention" (Petöfi, 1985, p.81).

"The text is the conformity between the way in which the sentences alternate and the expectation regarding the alternation of the sentences" (Vasiliu, 1990, p.114)

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"A text is an array of sentences which everyone agrees to understand as a text" (Apotheloz, 1995, p.3).

1.2.   The text theories, particularly in the last 20 years, represent a research field characterized by a wide methodological and conceptual diversity.

Some researchers even speak about "conceptual anarchy" (Vasiliu, 1990, p.10), while others think that the study of the discourse has not reached the necessary level of "scientificity" yet (Stati, 1990, p.10).

In order to clarify some aspects put forward by the research in the field, we believe it to be useful to present in brief some of the approaches dealing with the text, the textuality and the discourse issues. The viewpoints we will take into consideration will be: the intuitive-empirical, the linguistic and the pragmatic.

1.3. The intuitive-empirical dimension refers to the definition that some speakers offer when using the term text. For the majority of them, the text is a coherent ensemble of sentences, which usually appears in written form. In a restrictive meaning, many speakers apply the term text only to literary productions (Van Peer, W, 1994, pp. 4564 - 4568).

From this point of view, we should wonder what one understands from a common sense approach by: "coherent ensemble of sentences". From our experience, we suppose that some speakers who accept and use the term text intuitive-empirically, will say that the "coherent ensemble of sentences" means: "a chain of sentences which are inter-connected", or "have a meaning when taken together", or "have a common idea". Then, it is natural that we should ask ourselves how such a speaker will interpret a poem by Ion Barbu, for instance. If the speaker is not familiar with the conventions of modern poetry in general, and with Ion Barbu's "universe" in particular, he might "lose" the meaning (the idea) of the poem and interpret the ensemble of sentences as being "nonsense", "meaningless" and non-coherent. Although the text is "written", having thus the conventional form of a text, the ensemble of sentences will be perceived as lacking coherence, hence a non-text. In other words, the meaning that the speakers usually provide for the term text is part of their linguistic competence, which depends on the system of references and the cultural universe of each speaker.

A very interesting discussion which appears in some papers on the text theory, refers to whether the signs such as: "No smoking!" or the proverbs are texts. From the intuitive-empirical point of view, the signs and the proverbs are not texts as they do not consist of a "coherent ensemble of sentences". Thus, according to a formal criterion, the intuitive-empirical definition excludes from the category of texts any utterance made up of a simple or a complex sentence. However, for any Romanian speaker, a proverb or a sign will be meaningful in a certain context, in his system of references. The limits of the empirical approach to textuality are distinguished by: lack of rigour, absence of specifications dealing with the concrete situation when the text is produced, the limitation of the quality of text to the written

texts only, the exclusion of utterances made up of a simple or a complex sentence from the category of texts.

1.4 Another theoretical approach to textuality is the linguistic one, which considers the text to be a unit higher in rank than the sentence. The approach assumes that the text obeys the syntactic-semantic rules of sentence making.

Van Dijk is the one who built a theoretical framework which tried to explain the textuality by means of the instruments provided by linguistics. He enlarges the transformationalism to the text theory and explains the coherence of the text (the textuality) by a deep structure of the text (Van Dijk, 1972). From Van Dijk's viewpoint, the text has a surface structure, represented by the sentences that compose it, and a deep structure or the macrostructure: "Texts have to be conceived of as having a surface structure of sentences and a global deep structure which can be considered to be a semantic abstract underlying the text" (pp.139-140). The deep structure is merely the "logic form" which expresses the content of the text. It can be presented through an "abstract" (semantic abstract) of the text, consisting of two or three sentences, which can also be presented through a complex sentence of the calculation of predicates. Thus, textuality could not be understood as a correspondence between a sequence of sentences which make up a text and a sentence which "abstracts the idea" provided by the sequence of sentences.

One of the weak points in Van Dijk's theory is the absence of explicit rules which should allow one to move from the deep structure to the surface structure: "The exact nature, let alone the mathematical definition, of such transformations is unknown. Formally they are one-many relations which map and abstract macro-structure onto a set of sentences structures, ideally as follows" (Van Dijk, 1972, p.156). Therefore, the theory does not offer the possibility to make a decision for any sequence of sentences, whether it is a text or not. Vasiliu finds that the attempt to consider the text to be a unit higher in rank than the sentence, which obeys the sentence formation rules, is not in concordance with the reality of the text. This approach is unrealistic as long as we "do not have a list of textual connectors (similar to the sentence connectors), hence connectors which should connect sentences into a text, not in complex sentences" (1990, p.36).

Many authors have noticed that there are grammatical features which mark "the unity" of the text: repetition, partial recurrence, parallelism, conjunctions, paraphrase, pro-forms, ellipsis, tense and aspect (Halliday & Hasan, 1976; Beaugrande & Dressler, 1981; Vasiliu, 1990; Apotheloz, 1995). This observation might produce the idea that "the syntagmatic relations between co-textual sentences repeat the relation between the simple sentences which are part of the complex sentence" (Stati, 1990, p.10). The grammatical features above are, from some of the mentioned authors' point of view, semantic marks rather than syntactic marks, ensuring the referential continuity of a sequence of sentences, and they are not the condition of textuality (Apotheloz, 1995).

We start wondering to what degree those text theories which borrow concepts and devices from linguistics in order to define textuality, are relevant. We will mention a few observations regarding this:

1.4.1. It is obvious that any text considered to be either "a language tool" or "a language instance" is described by a series of grammatical features which assure its grammatical cohesion.

1.4.2. This is why any text can be described in grammatical terms.

1.4.3. The description of texts according to the grammatical criteria does not clarify the problem of the nature of the text and does not represent a starting point for defining textuality. These can show precisely how a text is, but they cannot answer the question what a text is.

1.5. Having seen the weak points of the theories built according to the linguistic patterns, the researchers have searched solutions for defining textuality in the modern pragmatics. As a matter of fact, the studies about the text theory have developed in the recent years, in parallel with the pragmatic analysis of language instances. Sorin Stati comments on this:

> "the pragmatic analysis deals with the linguistic phenomena connected with contextualizing language when sentences are produced, and respecting the relations between the communicator and the recipient" (1990, p.25).

The field of pragmatics refers to "the relations between signs and those who use these signs" (Vasiliu, 1990, pp. 105 - 109), and the pragmatic level of language consists of the ensemble of relations which are established between speakers and language. This is why the concepts of intentionality and activity of construction may be considered to be defining for textuality, from a pragmatic point of view.

If we go back to the definitions of the text, which have been stated in the introduction, we think we need to mention that all the definitions selected retain pragmatic aspects. Even the definition 1.1.5., which seems rather an empirical statement, refers to the pragmatic level by speaking about the quality of text to be accepted as a text by the speakers. As for the definition 1.1.1., it implicitly involves the pragmatic approach. Even if the definition of the text provided by Halliday & Hasan does not explicitly state the pragmatic aspects which it takes into consideration, the theory they have built is based on the existence of a pragmatic constituent of textuality. Halliday & Hasan state that the prime factor which ensures the quality of text to an ensemble of linguistic facts is its characteristic of being produced and conditioned by a particular communication. The second factor which assures the textuality is the cohesion, understood as a minimum of referential and semantic continuity.

In contrast with the definitions 1.1.1. and 1.1.5., which are implicitly pragmatic statements, the definitions 1.1.2 and 1.1.4. are stated in explicitly

pragmatic terms. Unlike the approaches to the text based on linguistic patterns, the pragmatic theories on textuality are aware of the quality of texts of signs and proverbs, too, as they aim at "contextualizing the language" (Stati, 1990, p.16) and they consider the aspects of producing the texts, not simply describing some linguistic entities which are already universally accepted as texts.

We must make some observations regarding the quality of texts of sings and proverbs. The meaning of the sign "No smoking!" can be assessed only by taking into consideration the extra-linguistic factors establishing the situation which updates the utterance "No smoking!". This situation can be described through the existence of a code of rules (prescripts), an communicator who knows the system of prescripts, and a recipient who knows how to use the system of prescripts. The existence of a very large number of communicators and recipients who could relate to the code of rules prescribed, creates a system of relations whose integration factor is the message transmitted by the utterance. For a recipient who does not know the code of prescripts which has generated the sign, this is meaningless, so it "does not communicate", since the recipient does not have the capacity of integrating himself in the present system of relations. The sign "No smoking!" is accepted as text, only if it is assumed according to a code of prescripts which are also known by the recipient.

The proverbs are utterances usually consisting of a simple or a complex sentence. They transmit messages about a value, obligation and belief system, known to large groups of speakers, in certain spatiotemporal contexts. Similar to the signs, a recipient who is not familiar with the value system that a proverb is referring to, will not understand the utterance as a text.

1.6. The concepts of cohesion and coherence are considered to be defining for textuality by the majority of the researchers in the text theory field. We have chosen some of the directions from the specialized literature, provided by the research in the field, in order to define coherence and cohesion.

1.7. Most text theories which rely on patterns of linguistic analysis consider the coherence to be a semantic or semantic-syntactic concept. From this point of view, there is no difference between cohesion and coherence.

The most elaborate system which explains the coherence of a sequence of sentences through the semantic-syntactic structure governing the connection of these sentences, is Van Dijk's theory (1972). In Van Dijk's system, the coherence is ensured by the relations between the deep structure and the surface structure of the text, and the syntactic-semantic structure of the sequence of sentences is precisely the coherence of the text.

Another theory where the coherence of the text is also defined in linguistic terms, belongs to Sorin Stati. According to this vision, the coherence is understood as a system of relations defined on a syntactic, pragmatic-argumentative and semantic level. (Stati,1990).

As for the syntactic features which contribute to build the coherence of the text, Stati states that "the legitimacy of the grammatical dimension of the discourse relations" is an idea worthy to be defended.[2] The pragmatic level of coherence is illustrated by "the pragmatic functions" of the linguistic units analyzed, and the pragmatic function is defined as "the communication intention".

The semantic level of coherence is "marked" by semantic phenomena such as: changing from direct speech to reported speech, the thematic continuity, "the semantic bridge", the discourse markers, the referential attraction (p.153).

Simplifying Sorin Stati's statement, one can say that for him the semantic coherence is the referential unit of the sequence of sentences, which is gained with the help of discourse markers: connectors, marking sentences, thematic marks, pronominalization, lexical connections (pp. 153-167). One can even conclude that Stati understands the coherence of a text as a system of relations between the grammatical features and the pragmatic functions of language. Nevertheless, when analyzing the coherence applied on dialogue units (question – answer; permission – thanking; critic - complaint), Stati refers only to the pragmatic functions and the argumentative roles, because this level allows him to "signalize regularities"[3].

1.8. Other text theories draw a clear distinction between cohesion and coherence. "The cohesion is an attribute of the text which appears from particular linguistic devices" (Apotheloz, 1995, pp. 100-105), thus being often understood as a feature of the text of being represented by an array of syntactic constructions which are correctly formed according to the linguistic norm accepted by the speaker. These "linguistic devices" establish the referential continuity of the text. In other words, a text is cohesive if its referential continuity is ensured with the help of some linguistic devices.

For M. A. K. Halliday and R. Hassan (Halliday & Hassan, 1976), the cohesion is established on the semantic structures which settle the referential continuity of the text. As a matter of fact, the term of cohesion, with its meaning which is accepted by most researchers nowadays, has been imposed by the authors mentioned above (Beaugrande & Dressler, 1981, p.12). Halliday and Hassan identify and analyze the semantic structures which ensure the referential continuity of the text: the reference, the substitution, the ellipsis, the conjunction, the lexical cohesion. The meaning that Halliday and Hassan offer to cohesion is based on the idea that a text is "an inert object", meaning that the idea that a text has the signs of

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[2] "Nous dirions que certaines relations transphrastiques sont l'équivalent de certaines relations syntaxiques dont elles partagent le sens.[…] Mais il y a des indices convaincants qui plaident en ce sens, de sorte que en fin de compte - et avec beaucoup de réserves et limitations prudentes - la légitimité de la dimension grammaticale des relations transphrastiques nous semble une thèse soutenable" (Stati, p. 138).

[3] "Cette classification de la cohérence fait état, comme nous l'avons précisé, des fonctions pragmatiques et des rôles argumentatives. Certes, il y a aussi la cohérence sémantique de l'enchaînement des contenus phrastiques, qui échappe dans une très large mesure au contrôle des règles langagiers" (Stati, p. 97).

a planning activity, which is so important in the recent studies on textuality, has no relevance to them.

Beaugrande and Dressler's theory (Beaugrande & Dressler, 1981), the cohesion is analyzed as a "synthesis or a grammar of the text" in which the grammatical features are activated by two factors: the operationalization of syntactic or grammatical structures as configurations used in real time and the interaction of syntax with the other factors of textuality.[4]

The grammatical features which mark the cohesion of the text: repetition, partial recurrence, parallelism, paraphrase, pro-forms, ellipsis, tense, aspect, conjunctions, become the formal signs of textuality and are not required when building a text (Beaugrande & Dressler, 1981, p.54). There are other authors who interpret them as factors of describing the texts, too, not as rules for building a text (Vasiliu, 1990, pp. 35-36). The way in which Beaugrande and Dressler analyze the cohesion illustrates the idea that a communication becomes effective only when cohesion interacts with the other parameters of textuality. In the paper we discuss both the grammatical phenomena which ensure the cohesion of the text and the degree of effectiveness of the grammatical features which appear in the process of communication.

As general observation, one may remember that: a) the cohesion of the text is defined by describing some syntactic-semantic structures; b) the grammatical structures we have described become operational in a concrete communication situation and when are found in interaction with the other factors of textuality. To conclude, the cohesion can be understood as the connection between the linguistic units which form a text, and this connection develops through grammatical characteristics, that result from the discourse relations.

1.9. For the majority of researchers in the text theory, the coherence is the main concept in the definition of textuality. We have analyzed above how coherence is approached in text theories which analyze textuality either from a linguistic viewpoint (Van Dijk, 1976), or from a pragmatic and linguistic viewpoint (Stati, 1990). A common feature of these two theories is that they do not differentiate between cohesion and coherence.

The theories based on pragmatics studies offer pragmatic patterns of coherence. Beaugrande and Dressler say that "Coherence will be envisioned as the outcome of combining concepts and relations into a NETWORK composed of KNOWLEDGE SPACES centered around main TOPICS" (p. 94), and they introduce the notions: known and/or expected knowledge, textual world and recipient's situation.

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[4] "Though by no means complete or exhaustive, our survey should make it clear why the notion of "text cohesion" is substantially broader than usual notions of "text syntax" or "text grammar". The broadening arises from two factors: the operationalization of syntactic or grammatical structures as configurations utilized in real time; and the interaction of syntax or grammar with other factors of textuality" (Beaugrande & Dressler, p. 80).

Vasiliu thought that:

> "the pattern proposed by Beaugrande and Dressler is built in order to express the fact that what we reasonably call coherence is merely a way in which the speakers refer to a sequence of sentences: if the outcome of this reference is building a textual "world", then the sequence is coherent" (1990, p. 99).

Such a pattern provides a definition for coherence from the point of view of the arrangement "procedures" used by the speakers, in order to activate the conceptual field. To sustain their perspective, Beaugrande and Dressler refer to Janos Petöfi's statement:

> "A text is meaningful only when we have an interaction of the knowledge the text presents with what the people know about the world" (Petöfi, 1974).

In other words, a text is coherent only when the knowledge it offers is activated by the people's knowledge on the world.

The expectation notion, that Beaugrande and Dressler refer to, is essential in the meaning that Vasiliu provides for the coherence, too. By expectation, one understands that

> "the speakers expect (in established circumstances) that, once a sequence of sentences has begun, it should continue only in a certain way" (1990, p.114).

The expectability is applied both to "the activity of construction" and to "the acceptability" of the text, according to the communication situation (time and place, the interlocutors' mentality and knowledge). They speak about intentionality (as the trigger factor of the "activity of construction") in connection with the communicator ("the producer" of the text), and "acceptability" in connection with the recipient of the text. The recipients will find a sequence of linguistic units coherent when it is built according to their expectations, relating to the sequence of linguistic units in discussion.

The expectation is a pragmatic concept. It depends on the interlocutors' linguistic competencies, the communication situation, the social and psychological status of the speakers, the relationship between them, the purpose of the communication and the relation with other communication situations. [5]

Situating the coherence concept in the field of pragmatics offers the possibility to build a definition of the term (in connection with the expectation) and to measure coherence by introducing the operators: K-"conformity with expectation" and P-"permissivity".

A sequence of sentences can be "expected" and considered to be "coherent" by some speakers, and "unexpected" and considered to be "nonsense" or "abnormal" by other speakers. This means that speakers have a certain tolerance regarding acceptability of the sequence of sentences. The tolerance develops at different

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[5] "Vom spune ca expectația cu privire la constructia unui șir este atitudinea unui grup de vorbitori standard într-o situație standard de comunicare exprimată prin faptul că anumite alăturari de propoziții sunt considerate <așteptate> sau <neașteptate>" (Vasiliu, 1990, p. 122).

degrees and it "reflects the plurality of norms which govern the linguist behavior of the speakers of a certain language" (p.116). Vasiliu builds a formal pattern, with the help of operators K and P from the deontic logic, in the terms of a pentavalent logic, where he defines permission, from the most restrictive degree, to the most tolerant one (pp. 133-138). This allows him to explain both formally and intuitively why a sequence of signs is accepted (according to norm) by some speakers and rejected (not according to norm) by other speakers. The plurality of the systems of norms explains the differential "treatment" that the speakers apply to the sequences of signs considered to be "texts".

Finally, we define textuality starting from the meaning offered to coherence like a minimal degree of coherence allowed according to a class of norms (Vasiliu, 1990).

The journalistic text

The journalistic text will be defined and analyzed using the pragmatic reference points of textuality from 1.9. We will use the concepts "expectation", "intentionality", "activity of construction", "situationality", "acceptability". If we take in account the discussion above about text and textuality (1.1-1.9.), we can state that the journalistic text is any text produced in order to be broadcast on a media channel (newspaper, radio programme, television programme). The purpose of our analysis makes it any text, accepted as a journalistic text and broadcast through the newspaper.

2.1. Some text theories argue that (Beaugrande & Dressler, 1981; Petöfi, 1985; Stati, 1990; Vasiliu, 1990) a sequence of signs is accepted as text only in a concrete communication situation. The situation which allows the acceptance of journalistic texts as texts can be described by: a) naming the "basis" ("channel") which allows the recipient to receive the text; b) naming the exact conditions of producing the journalistic text; c) naming the time and place when the text is broadcast; d) naming the time and place when the text is received. If we refer to all these elements which determine the communication situation, we will be able to speak about particularities regarding the structure of the journalistic text and the content of the journalistic message.

2.2. The newspaper is the context which allows the acceptance or the non-acceptance of some texts, such as the journalistic texts. Without the "basis" of a newspaper, a text is not "updated" as a journalistic text. Moreover, "the form" of the newspaper determines in equal measures both the producing and the receiving of the message.[6] The observations we are going to make will allow us to describe the newspaper, by highlighting its most general features.

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[6] 5. Marc Lits, 1996, p. 25

2.2.1. If we take into consideration the complex process of printing and publishing a newspaper, it can be described as an object, produced by a chain of fabrication, specific to the printing industry. As any industrial product, the newspaper is merchandise and it is destined to be sold. The merchandise-newspaper is different from other products which obey the commercial and economic rules of the market: the newspaper "sells" up-to-date information of general interest, it is perishable and it is sold below its cost price.

2.2.2. The newspaper is also considered to be a cultural product which transmits information to a potential public that is interested in that information. When analyzing the mass-media discourse as "a cultural indicator", "the culture" is defined as:

> "a system of messages that regulates social relationship. The communication of a culture not only inform but form common images; they not only entertain, but create publics; they not only reflect, but shape attitudes, tastes, preferences" (Gerbner, 1985, p.14).

This approach also presupposes the analysis of the caption processes, the producing and the broadcast of information. Thus, the defined product is a means ("a vehicle") which ensures the communication between those who capture and produce the information and the public that consumes the information. From this point of view, the newspaper can be considered to be a way of adjusting the communication between the layers of society. At this level, the research is to be found in the field of sociology and cognitive psychology. We should mention the studies related to the impact that mass-media messages have on the consumers or the political communication (McQail, 1987) and the studies regarding the reading of the newspaper and its specific in connection to different categories of readers (Richaudeau, 1981). When referring to the reading of the newspaper, we can make a general observation[7].

We have used above the term "information". By information, we understand:

> "the action of reporting facts and opinions to a public, with the help of visual or auditory procedures, which consist of comprehensible messages for the public" (Auby & Ducos-Ader, 1982, p.1).

2.2.3. The newspaper can also be described by putting forward the formal elements which individualize it. Such an approach will ignore its quality of being the result of a series of either technical, social or cognitive processes. From this point of view, the newspaper is a printing which has in general a number of pages varying between 4 and 60, each page having a surface between x square centimeters and y square centimeters. It can use graphic signs such as: blanks, illustrations, printing

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[7] "Le journal implique un autre mode de lecture que le livre: corps et caractères, usage des grasses et des italiques, titrages imposent leur propre parcours de lecture" (Lits, p.25).

characters for texts and titles, vertical and horizontal lines. These graphic elements have the role of putting emphasis on different information and texts.

This way of describing the newspaper takes into account the fact that in the newspaper there are at the same time, according to some authors, both "an aesthetic information and a semantic one" (Kientz, 1971). When speaking about the double nature of receiving the message transmitted through the newspaper, other researchers of the mass-media phenomena speak about the existence of a "scripted-visual code" (Vanoye, 1977; Lits, 1996).

We thought it was necessary to make a round-up of the features which provide meaning to the term "newspaper", because it represents the objective and cultural context which puts forward the journalistic text. The newspaper is the most important feature which individualizes the communication situation, which is specific to the journalistic text.

2.3. In conformity to what we have discussed, the journalistic text is different from other texts by the specific conditions of producing it. The journalistic text is written by an employed journalist, with a permanent contract or in collaboration, who takes on the responsibilities regarding the following of the publicist strategy and the professional ethics code which are implied by the contract. The final form of the journalistic text is the result of the activity of gathering, selection, classification and condensation of the information. The journalistic text does not offer the rough information, as it was offered by the proceedings, for instance. The information is previously attended or "filtered" by the journalist, so that it should respond to the public's expectations. The more the filtering of the information attends to the expectations of a wider public, the greater the acceptability of the journalistic text will be.

The recipient of the mediatic message is defined as public. For Gerbner "public" is a term used in mass-media, with a peculiar meaning. On the one hand, "public" means a quality of the information of being "public", on the other hand, "the social group" is characterized by common interests and is generically called public.

"Public is another word of special significance. It means both a quality of information and an amorphous social aggregate whose members share a community of interest. As an amorphous social aggregate, a public is a basic unit of an requirement for self-government among diverse and scattered groups. The creation of both the awareness and the social structure called public is the result of the "public-making" activity appropriately named publication" (1985, p. 15).

Sociologically, the term "public" is defined only as the second meaning proposed by Gerbner, as a group of people, made up of individuals which are away from each other, and are characterized by common attitudes and opinions, and continuity of social ideas and values. (Dictionary of Sociology, Zamfir; Vlasceanu, 1993, p. 485).

As a matter of fact, the planning and the "construction" of the journalistic text according to the structure and the expectations of the public in view, is the

fundamental feature of what it is generally considered to be a minimal professional standard in the journalistic activity (Kermoal, 1994).

Attending the information is a step which includes "activities of construction" of the journalistic text and it takes into account: a) the nature and the complexity of the highlighted event; b) the type of text that the author intends to write (news, report, survey, interview, commentary); c) the psycho-social structure of the public in view. According to the meaning given to textuality, one may say that a journalistic text cannot be created without a planning activity of the communicator-journalist, with the intention of generating and maintaining the interest of the public in view.

Attending the information is a mechanism which governs both the activity of construction of the journalistic text and the acceptance of the text by the public, and that is why we think it is necessary to make a few observations in this respect.

The information press selects in its informative grid only the information that the public expects to find in a daily or weekly information paper. The events that are considered to be worthy of public interest are those that bring new (up-to-date) or unexpected, unusual information, which "imply" changes referring to a conventionally static tradition or modify the common perception of reality. Once the originality of the message is identified, all the information which structure the event will be put in the text in connection to what is new, significant, novel, original in that message (Kientz, 1971, pp. 83-89). The journalist will gather all the information describing the event and will clarify its consequences, according to the novelty and the importance of the information which produces the construction of the press text.

An information item will not be received according to the author's intention, no matter how new, significant or novel it is, if the text that contains the information is not written in a language accessible to the public it addresses to. That is why the journalist will avoid using abstract terms, long complex sentences, complex syntactic structures, the inversion with stylistic functions. In order to imprint the information and make the receiving easier, the journalists "crystallize" the message around some keywords, which are integrating factors. An increased accessibility needs a certain redundancy, too. That is why repeating the ideas mentioned in the first place, under others forms through explanations, repetitions, paraphrases, helps to a better comprehension of the message and, most of all, the retention of the message (see the concept of "referential continuity").

The evaluation of the information according to the interest of the public is a fundamental criterion in attending information. An information item can influence a wider or a less wide public, it causes immediate or late reactions, or produces no echo. A strike in the Department of Transport in Bucharest would presuppose immediate reactions for the inhabitants of the capital. A general strike in the Railroad Department may be of interest for all the Romanian citizens. On the other hand, the marriage of an important personality from Public Administration will not arouse interest to the readers of the newspapers, it will at most arouse a wave of emotion. The journalist will select and organize the information, chose the type of journalistic

text (news, report, survey, interview, commentary) and ask a certain typographic space according to the degree of involvement of the public. Under these circumstances, the planning of the activity of construction of the text will take into consideration both to the system of references of the public (reading customs, knowledge, interests, future plans) and the elements of the event that the text presents.

The specific conditions of producing a journalistic text is the second major feature of the communication situation. These can be summarized as following: a) the planning and the "construction" of the journalistic text develop according to the expectations of the public in view; b) the planning of the journalistic text by the communicator-journalist is made with the intention to generate and maintain the public's interest; c) the acceptance of the journalistic text depends on the gratification of the public's expectancies; d) we may speak about an increased acceptability of the journalistic text when the linguistic message has an accessible "construction"; a certain redundancy is necessary for preserving the message.

2.4. If we take into consideration the idea that a communication situation, specific to the journalistic text, is characterized by the establishment of the time and place when it is broadcast, too, then, a journalistic text is "produced" with the intention of being broadcast and received at a precise moment, in a well established geographical area. Unlike the scientific or literary texts, which are produced with the intention of being received independently of the temporal or spatial coordinates, the "producing" of the journalistic texts obeys the restrictions dealing with their broadcast and receiving within a well established time and space. In order to be accepted as a journalistic text, a text will take into consideration the public's expectancies, whose geographic boundaries are known, a public that "expects" to "consume" the up-to-date information, through the daily or weekly newspaper.

The authors who have studied the mass-media phenomenon from a communicational perspective, have marked out the spatial and temporal proximity as an essential quality of the journalistic communication (Mencher, 1991, pp. 58-59).

Proximity appears in most of the works referring to mass-media, as an important factor in structuring information. In the pragmatic terms of the text theory, it is a feature of the communication situation and it contributes to "the construction" of the text; proximity is also a condition that must be fulfilled for an increased acceptability of the text.

An up-to-date information item, such as the change of the train fares in Romania is of general interest only for the Romanian public. The French or Australian citizens will not be interested at all in such information, and the newspapers in France or Australia will not publish texts about the change of the train fares in Romania.

In fact, the journalistic texts can be broadcast in other geographical regions, too, or received at different times than what has been "planned". Under these circumstances, their acceptance as texts depends on the recipient's "profile", who may or may not know the language the text is written in, may or may not be interested

in the information that the text offers, may be closer or further in time and space to the moment or the place when the text is produced. Such elements can be "classes of norms" which could explain the different degrees of tolerance of the recipients towards the coherence of the "sequences of signs" that have been proposed as texts.

A special situation is that of some texts "produced" as journalistic texts and accepted as such at T moment, which may be submitted to receiving at the Tn moment, too. For instance, the newspaper "Curentul" published texts connected with the situation in Ardeal, under the generic title "The tide in Ardeal", in 1929, on page three. If we read the texts today, do they still have the quality of journalistic texts? The answer can only be negative, the reader from the present does not receive them as up-to-date information any longer, as they have been "produced" at that time. They can only have a scientific or historic interest, for limited categories of recipients.

If we integrate the statements above, we can say that the acceptability of a journalistic text will be maximum only when the conditions of the receiving (the recipient's profile, the time and space) are consonant with the communication intention.

2.5. When we read a newspaper, we do not expect to find neither proceedings which inform us on a recent accident, nor letters of some important personalities in order to learn details on the recent decisions of the government. We expect to read provoking titles and informative texts on up-to-date events, which might interest us. We also expect to read texts that are written in a certain "way", and we would be vexed if we found any short-stories, letters, literary descriptions, proceedings.

The newspaper is a cultural reality, thus everyone agrees that most of the texts printed in a newspaper (a daily or weekly informative newspaper) are articles. If we stick to the cultural stereotypes nowadays, the texts that form the content of a newspaper are accepted as articles if: a) they follow the scheme: title-text or title-lead-text; b) they are generally signed, when they are not signed, they are the viewpoint of the editorial office; c) they offer information on up-to-date events. The lead is a short text, having only a few lines, which is placed between the title and the text; the lead is emphasized through typographic characteristics, different from the title and the text, which has the role of summarizing the text or to draw attention to an idea from the text (Guery, 1990, p.103). A certain structure of the information leads to a specific "composition" of the text, because the title and the first paragraph create certain "reading expectations"[8]. Teun van Dijk thinks about the specific structure of the journalistic text that: the title, the lead or the first paragraph (fr. l'attaque), the events, the consequences, the "background", the verbal reactions are macrostructures specific to the journalistic text (Van Dijk, 1988).

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[8] "The lead gives the reader an idea of the story to follow. It captures the essence of the event, and it cajoles the reader or listener into staying awhile. For the writer, the proper lead helps to organize the story" (Mencher, p. 109).

The textual scheme proposed by Van Dijk described the journalistic texts, accepted as journalistic texts. The events, the consequences, "the background", the verbal reactions, do not belong solely to the structure of the journalistic texts, they belong to any type of narrative text. We can also conclude that the textual "macrostructures" proposed do not appear from an unique criterion of classification. Thus, "event" belongs to the semantic field of narration, while "verbal reactions" does not belong to the same semantic field.

Van Dijk's analysis identifies two features of the journalistic text: the installment structure which derives from the fact that the informative elements are presented in the decreasing order of their importance. Van Dijk states that:

> "One of the most conspicuous and typical features of topic realization or elaboration in news discourse is its installment character. That is, each topic is delivered in parts, not as a whole, as is the case in other discourse types. This structural characteristic is caused by the top-down principle of relevance organization in news. This principle says that news discourse is organized so that the most important or relevant information is put in the prominent position, both in the text as a whole, and in the sentences. This means that for each topic, the most important information is presented first. When the important information of other topics has been expressed, earlier topics are reintroduced with lower level details" (1988, p. 43).

Another author who tried to define the journalistic text is Manca Kosir. In his opinion, the news, considered by the author to be a standard-journalistic text, is a text graphically marked off in the newspaper, which reports real and recent events of public interest. In other words, the journalistic text is included in the category of narrative and referential texts.

> "It is a thematic, linguistic and graphic unit that is part of the mass communication of a newspaper and whose function it is to report current public events (how they happened, who took part, in what circumstances) that have occurred within a given and real spectrum, and to note the time, place and persons, all of them recognizable to both communicator and recipient" (Kosir, 1988, p. 348).

When reading the descriptions of the journalistic texts of the authors above, we come to the conclusion that: a) the news are considered to be standard journalistic-texts; b) the information from the standard journalistic texts is always connected to an up-to-date fact, which makes them narrative-referential texts; c) the structuring of the information is made in the decreasing order of their importance; d) in the formal structure of a journalistic text, the title and the first paragraph (the lead) are semantic hints of structuring the information.

2.6. We have stated above that a text published in an information publication is accepted as journalistic text if it offers information on an up-to-date event or opinions connected with up-to-date events. The mass-media system is connected with the concept of event. The event can be defined as any incident from the surrounding reality, which has a certain significance for an individual or a group of people. For an individual, the event is something that causes changes in

his existential, social, professional status. By extension, it seems reasonable that we should state that a community will accept as events those incidents from the surrounding reality which can influence its social, moral, affective, political, economical, cultural status, or can change the community members' perceptions, feelings, knowledge, interests, projections.

The event that the journalist must narrate to the public is an important restraint, which influences the "activity of construction" of the text. The event "anchors" us intensely in the daily life: "here", "today", "now" are terms which gain almost "mythic" connotations through the information press. Not everything that takes place in the surrounding reality is treated as an event of interest to the press. In order to determine which facts are newsworthy to a potential public, the journalists use a system of categories which helps them identify the values that offer a fact the journalistic significance. The information that is significant for the journalists is filtered through a grid made up of categories such as the temporal proximity (actuality), the space proximity, the novelty of the facts, the figures involved, the consequences, the conflict, the human interest.

Hence, the selection of the events with journalistic significance is the result of the restraints which influence the journalist from the perspective of the systems of values of the information item. The selection and the structuring of the information, according to what is conventionally called the "value of information", is a process specific to the journalistic activity, which is compulsory when we speak about "the planning" and "the construction" of the journalistic text.

Final observations

We have used the meanings of the text from the viewpoint of the pragmatic approaches, and by operationalizing the concepts promoted by them, we have identified the parameters necessary in order to define a text as a journalistic text.

A text is accepted as a journalistic text only in the context of a basis that is known to the public (newspaper, audio programme, television programme or in a press agency).

Saying that the planning and the construction of the journalistic text take place according to the expectations of the public in view, with the intention to generate and maintain the public's interest, is similar to stating that the acceptance of the journalistic text depends on the satisfaction of the public's expectancies.

The selection and the structuring of the information, according to what is conventionally known as the value of information, is a process specific to the journalistic activity, which is compulsory when we speak about "the planning" and "the construction" of the journalistic text.

The acceptability of the journalistic text appears when the linguistic message is accessibly built, and a certain redundancy is necessary in order to preserve the message. The acceptability of a journalistic text is maximum only when the conditions

of the receiving (the recipient's profile, a certain time and space) are consonant with the communication intention.

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LES ACTES DE LANGAGE DIRECTIFS
D'UN DISCOURS DIPLOMATIQUE

ARPAD MIHALOVICS[1]

ABSTRACT. Directive speech acts in a diplomatic discourse. This contribution is centred on textual construction and pragmatic features of the allocution made on June 2nd, 1980, by Pope John-Paul II during his visit to the United Nations Organisation for Education, Science and Culture (UNESCO).

Keywords: *diplomatic discourse, illocutionnary force, directive speech acts.*

On dit que la parole des diplomates mérite d'être prise en considération et ce d'autant plus qu'il s'agit de la parole d'une personnalité aussi éminente que le Pape Jean-Paul II. J'essaierai de le montrer en analysant le „Discours de Sa Sainteté le Pape Jean-Paul II" à l'occasion de sa visite au siège de l'Organisation des Nations Unies pour l'Éducation, la Science et la Culture (UNESCO), le 2 juin1980.

Le texte de ce discours est assez long (il se compose de 23 paragraphes) et, pour cette raison, l'analyse que je vais faire ne portera que sur certains aspects, notamment sur les actes de langage directifs. Mais avant de commencer cette analyse, je voudrais aborder quelques questions d'ordre théorique.

I. Texte - discours, discours diplomatique

Le terme *discours* connaît de multiples usages en linguistique, dont tous ne sont pas clairement définis. Il apparaît ainsi dans plusieurs oppositions terminologiques, à savoir: langue/discours, discours/phrase, discours/énoncé, discours/récit, discours/ texte, etc.

En ce qui concerne cette dernière opposition, je vais citer deux passages tirés de deux importants ouvrages:

(1) „L'opposition discours/texte… Les développements de l'analyse de discours et de la linguistique des textes ont permis de clarifier quelque peu les champs d'application respectifs de chacune des deux notions. Ainsi le discours peut-il être défini comme un ensemble d'usages linguistiques codifiés, ensemble subordonné à une pratique sociale (discours juridique, religieux, scientifique, etc.), par distinction avec le texte formant, comme le précise François Rastier, une suite linguistique

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autonome, orale ou écrite, produite par un énonciateur dans le cadre d'une pratique sociale spécifique, et constituant un objet empirique, cohésif et cohérent. L'intérêt de cette perspective est notamment de faire ressortir le fait que le système linguistique ne peut à lui seul permettre de produire un texte." (Franck Neveu, *Dictionnaire des sciences du langage*, p.106)

L'autre citation:

(2) „Dans une première approche, le terme *discours* peut correspondre à la notion de texte [...] Au niveau formel ceux-ci [certains dictionnaires] mettent l'accent sur l'oralité et évoquent une allocution publique sur un sujet spécifique […] Le terme désigne aussi un essai littéraire ou philosophique développant longuement un sujet […]

En théorie linguistique, le discours peut être identifié à un ou plusieurs énoncés qui, dans leur enchaînement, mettent en oeuvre la langue en réalisant un code linguistique virtuel. Il exprime alors une pensée, un raisonnement. Le discours peut encore désigner un style, une manière de relayer une expérience […] Enfin, la notion de discours peut recouvrir une posture, voire une idéologie développée dans les productions verbales d'un parti, d'un corps, d'un locuteur individuel ou collectif en situation de pouvoir. Il convient donc de bien distinguer entre „les" discours (variantes de réalisation) et „le" discours (type d'énonciation)." (Constanze Villard, *Le discours diplomatique*, p. 64)

Je pense que ces deux citations montrent bien la complexité de cette problématique. Je n'ai pas l'intention de trancher la discussion, mais je pense qu'on peut constater que le corpus d'analyse choisi répond bien aux critères formulés par ces définitions.

En ce qui concerne la définition du **discours diplomatique** on rencontre également de nombreuses difficultés.

L'une de ces difficultés est due à ce que l'analyse discursive du champ diplomatique – contrairement à l'analyse du discours politique ou littéraire – en est encore à ses débuts. Nous sommes d'accord avec Constanze Villard, auteur du livre sur *Le discours diplomatique* (2006) cité ci-dessus, qui définit ce type de discours de la manière suivante:

„Selon nous, le discours diplomatique appréhendé dans sa spécificité n'est pas susceptible de pluriel. Nous postulons en effet qu'il se caractérise par une certaine forme de procès discursif qui présuppose un système multi-dimensionnel… (*ibidem*, p.69)

Nous recherchons plutôt une définition oblique du discours diplomatique au niveau générique, c'est-à-dire par la mise en évidence de ses traits pertinents [...] Nous appellerons „diplomaticité" l'ensemble de ces éléments pertinents, des structures et des procédés caractérisant le discours diplomatique." (*ibidem*, p.74)

En lisant ce livre on découvre que la „diplomaticité", en tant que „structure ouverte", cultive volontiers l'ambiguïté ainsi que les procédés obliques dont l'étude exige le recours aux méthodes de la pragmatique linguistique.

Dans le *Dictionnaire de sciences politiques* de M. Lakehal on trouve une définition très laconique de la langue diplomatique (L.D.) : „L. D. est très codifiée, rarement directe, elle respecte entièrement les usages. En effet, elle transmet des messages de toute nature, du conciliant au menaçant, mais soigneusement enveloppés dans une forme verbale ferme ou équivoque, soyeuse, veloutée." (p. 237).

II. De la diplomatie du Saint-Siège

Le Saint-Siège possède une autorité morale et spirituelle et non un pouvoir géopolitique. Le réseau diplomatique du Saint-Siège couvre quasiment l'ensemble de la planète. Le Saint-Siège se montre en effet désireux d'établir des relations avec tous les États, quel que soit leur régime politique ou la conviction religieuse de leurs citoyens. Le Saint-Siège est membre de la „famille des Nations Unies" (c'est-à-dire l'ONU et les institutions spécialisées qui lui sont rattachées: FAO, UNESCO, OMS etc.).

La diplomatie du Saint-Siège est présente sur la scène internationale depuis mille six cents ans. Jean-Paul II s'est inscrit dans cette continuité en amplifiant cette présence par ses nombreux voyages qui rassemblaient des foules immenses mais aussi par le grand nombre d'audiences accordées au Vatican à de nombreux chefs d'État et personnalités politiques.

Le Saint-Siège, surtout depuis le pontificat de Jean-Paul II, s'emploie à défendre des causes justes, indépendantes de toute nationalité ou religion. Le Saint-Siège se propose moins de résoudre lui-même des problèmes restés en suspens que d'aider les hommes à construire un monde plus juste et plus fraternel. Aussi ses messages s'adressent-ils au monde entier.

Les messages adressés par Jean-Paul II à l'occasion de ses visites – de la tribune de l'ONU, de l'UNESCO ou encore du Parlement européen – ont eu un grand retentissement. Le 2 juin 1980, le pape Jean-Paul II a prononcé un discours sur la 109e session du Conseil exécutif de l'UNESCO devant un public exceptionnel composé de diplomates, d'intellectuels et d'hommes de science.

III. Les actes de langage directifs

Avant de commencer l'analyse pragmatique très partielle de ce discours prononcé dans un français impeccable, jetons un coup d'oeil sur la problématique de la directivité en pragmatique.

Dans la théorie pragmatique (lignée Austin – Searle – Récanati – Vanderveken), les traits essentiels des actes directifs sont :

But illocutoire: mettre l'allocutaire dans l'obligation de réaliser une action future;

Direction d'ajustement: le monde s'ajuste aux mots. (L'acte de langage a pour but de transformer la réalité conformément à la description qu'il en fait);
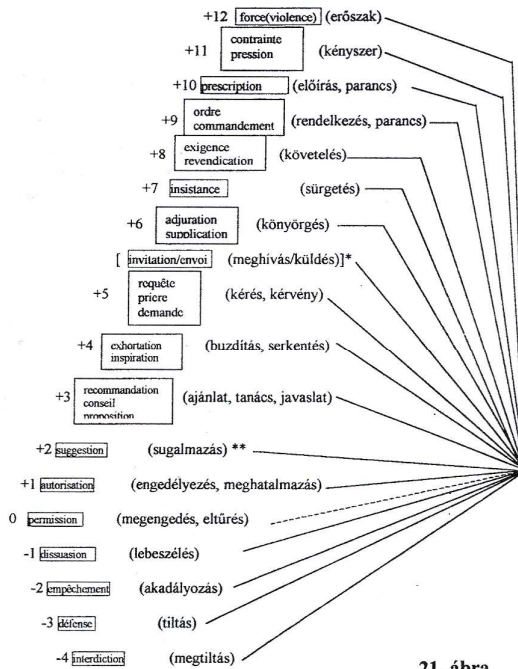
État psychologique exprimé: la volonté, le souhait, le désir.

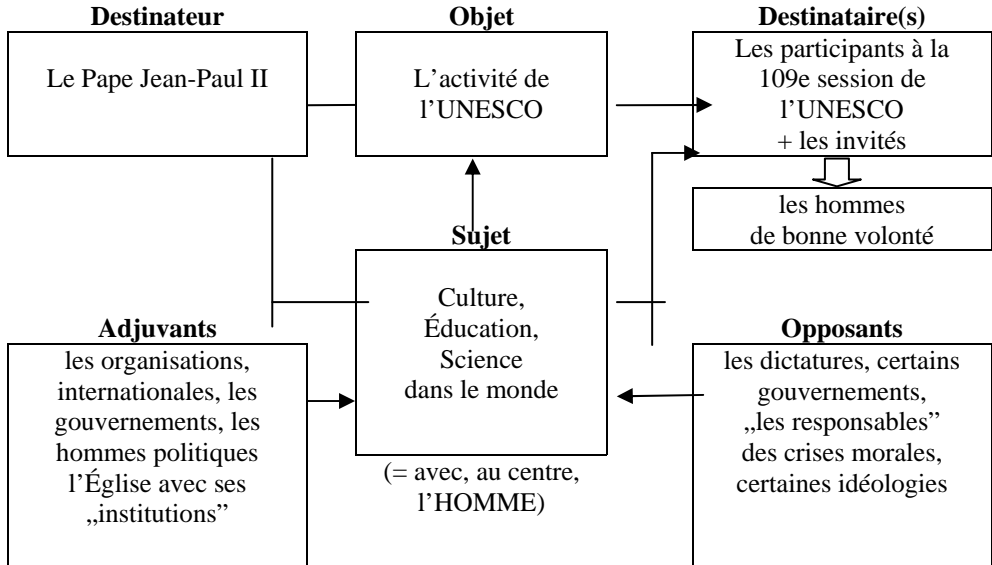Tout cela peut se réaliser sous différentes formes langagières (voir la suite):

265
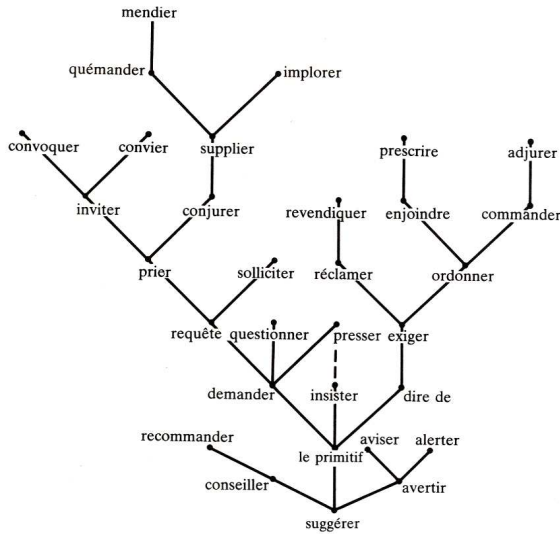
Les verbes de type directif (d'après Vanderveken 1985,188)

(Mihalovics, Les valeurs directives, 2006)

IV. Construction du discours du Pape Jean-Paul II en termes de structure actantielle:

Destinateur	Objet	Destinataire(s)
Le Pape Jean-Paul II	L'activité de l'UNESCO	Les participants à la 109e session de l'UNESCO + les invités

les hommes de bonne volonté

Sujet

Culture, Éducation, Science dans le monde

(= avec, au centre, l'HOMME)

Adjuvants	Opposants
les organisations, internationales, les gouvernements, les hommes politiques l'Église avec ses „institutions"	les dictatures, certains gouvernements, „les responsables" des crises morales, certaines idéologies

Selon Michel MEYER (1992: 88) „Certes le texte se matérialise bien par l'ensemble des phrases qui le composent, mais il les dépasse toujours." Ce sont l'unité thématique et l'unité illocutoire qui déterminent la cohérence sémantico-pragmatique d'un texte.
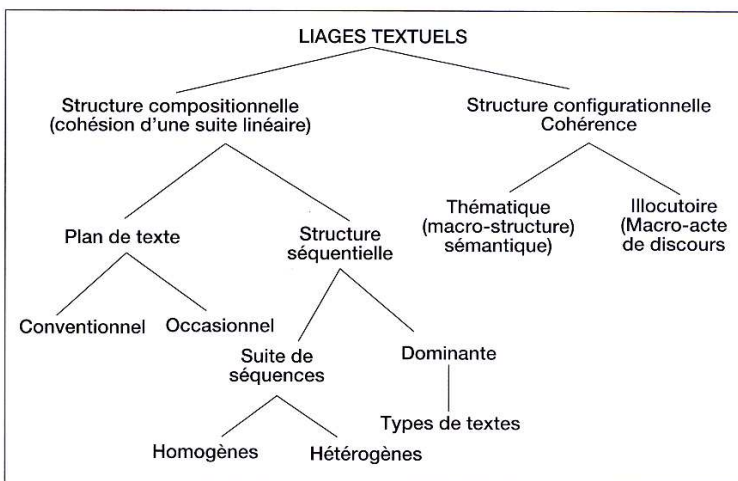
(Jean-Michel ADAM, *La linguistique textuelle*, p.176.)

V. Les actes de langage directifs du discours papal

1. Forces/valeurs directives exprimées directement (je souligne dans le texte):

– *Par des verbes performatifs ou expressions équivalentes*:

(1) C'est pourquoi aussi **j'insiste**, en me référant aux origines de votre Organisation, **sur la nécessité** de mobiliser toutes les forces qui orientent la dimension spirituelle de l'existence humaine, qui témoignent du primat du spirituel dans l'homme - de ce qui correspond à la dignité de son intelligence, de sa volonté et de son cœur - pour ne pas succomber de nouveau à la monstrueuse aliénation du mal collectif qui est toujours prêt à utiliser les puissances matérielles dans la lutte exterminatrice des hommes contre les hommes, des nations contre les nations. (4)[2]

(2) C'est en leur nom que **je viens** aujourd'hui à Paris, au siège de votre Organisation, **avec une prière**: qu'au terme d'une étape de plus de trente ans de vos activités, vous vouliez vous unir encore davantage autour de ces idéaux et des principes qui se trouvèrent au commencement. (5)

(3) C'est en leur nom aussi que **je me permettrais maintenant de vous proposer quelques considérations** vraiment fondamentales, car c'est seulement à leur lumière que resplendit pleinement la signification de cette institution qui a pour nom UNESCO, Organisation des Nations Unies pour l'Éducation, la Science et la Culture. (5)

(4) Je **vous prie de comprendre** que, au nom de ce que je suis, je ne pouvais m'abstenir de donner ce témoignage. (10)

(5) **Qu'il me soit permis de revendiquer** en ce lieu pour les familles catholiques **le droit** qui appartient à toutes les familles d'éduquer leurs enfants en des écoles qui correspondent à leur propre vision du monde, et en particulier le droit strict des parents croyants à ne pas voir leurs enfants soumis, dans les écoles, à des programmes inspirés par l'athéisme. (18)

(6) **Qu'il me soit permis dès lors d'exprimer aussi certains souhaits** qui, je n'en doute pas, rejoignent la pensée et le cœur des membres de cette auguste assemblée. (20)

(7) Et **je vous supplie**: **déployons** tous nos efforts pour instaurer et respecter, dans tous les domaines de la science, le primat de l'éthique. (22)

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[2] Les chiffres entre parenthèses après les citations renvoient aux paragraphes du texte original Discours de Sa Sainteté le Pape Jean-Paul II à l'occasion de sa visite au siège de l'Organisation des Nations Unies pour l'Éducation, la Science et la Culture (UNESCO), le 2 juin 1980. (voir le site Internet http://www.vatican.va/holy_father/john_paul_ii/speeces/1980/june/documents/hf_jp-ii_spe_19800602 _unesco_fr.html)

– *Par l'impératif qui est la forme canonique du sens pragmatique directif:*

(8) **N'ayons pas d'illusions**: le système formé sur la base de ces faux impératifs, de ces renoncements fondamentaux, peut déterminer l'avenir de l'homme et l'avenir de la culture. (13)

(9) …**veillez**, par tous les moyens à votre disposition, sur cette souveraineté fondamentale que possède chaque Nation en vertu de sa propre culture. (15)

(10) **Protégez-la** comme la prunelle de vos yeux pour l'avenir de la grande famille humaine. (15)

(11) **Protégez-la!** (15)

(12) **Ne permettez pas que** cette souveraineté fondamentale devienne la proie de quelque intérêt politique ou économique. (15)

(13) **Ne permettez pas qu'**elle devienne victime des totalitarismes, impérialismes ou hégémonies, pour lesquels l'homme ne compte que comme objet de domination et non comme sujet de sa propre existence humaine. (15)

(14) **Montrez-vous plus puissants** que les plus puissants de notre monde contemporain! (22)

(15) **Décidez-vous à faire preuve de la plus noble solidarité** avec l'humanité: celle qui est fondée sur la dignité de la personne humaine. (22)

(16) **Construisez la paix** en commençant par le fondement: le respect de tous les droits de l'homme, ceux qui sont liés à sa dimension matérielle et économique comme ceux qui sont liés à la dimension spirituelle et intérieure de son existence en ce monde. (22)

(17) **Puisse la sagesse** vous inspirer! (22)

(18) **Ne cessez pas**. (23)

(19) **Continuez**. (23)

(20) **Continuez toujours**. (23)

– *Par la périphrase DEVOIR + INF :*

(21) Oui, **nous devons nous préoccuper** de tout ce qui propose et présuppose ces seuls buts scientifiques en exigeant des hommes de science qu'ils se mettent à leur service sans leur permettre de juger et de décider, en toute indépendance d'esprit, de l'honnêteté humaine et éthique de tels buts, ou en les menaçant d'en porter les conséquences quand ils refusent d'y contribuer. (20)

– *Par la construction IL FAUT + INF :*

(22) Pour créer la culture, **il faut considérer**, jusqu'en ses dernières conséquences et intégralement, l'homme comme une valeur particulière et autonome, comme le sujet porteur de la transcendance de la personne (10)

(23) Bien plus, **il faut aimer** l'homme parce qu'il est homme, …(10)

(24) … **il faut revendiquer** l'amour pour l'homme en raison de la dignité particulière qu'il possède. (10)

(25) Si, au nom de l'avenir de la culture, **il faut proclamer** que l'homme a le droit d'"être" plus, et si pour la même raison… (14)

(26)… **il faut exiger** un sain primat de la famille dans l'ensemble de l'œuvre de l'éducation de l'homme à une véritable humanité, … (14)

(27) … **il faut aussi situer** dans la même ligne le droit de la Nation;… (14)

(28) …**il faut le placer** lui aussi à la base de la culture et de l'éducation. (14)

(29) … **il faut mobiliser** les consciences! (22)

(30) **Il faut augmenter** les efforts des consciences humaines à la mesure de la tension entre le bien et le mal à laquelle sont soumis les hommes à la fin du vingtième siècle. (22)

(31) **Il faut se convaincre** de la priorité de l'éthique sur la technique, du primat de la personne sur les choses, de la supériorité de l'esprit sur la matière.(22)

– *Questions qui attendent des réponses univoques, qu'il est souhaitable de trouver au plus vite* :

(32) Quel est l'état de la moralité publique qui assurera à la famille, et surtout aux parents, l'autorité morale nécessaire à cette fin? (12)

(33) Quel type d'instruction? (12)

(34) Quelles formes de législation soutiennent cette autorité ou, au contraire, l'affaiblissent ou la détruisent? (12)

2. Forces/valeurs directives exprimées indirectement (sans marques explicites).

– *Des constats ayant une valeur d'avertissement:*

(35) Le respect des droits inaliénables de la personne humaine est à la base de tout. (4)

(36) Toute menace contre les droits de l'homme, que ce soit dans le cadre de ses biens spirituels ou dans celui de ses biens matériels, fait violence à cette dimension fondamentale. (4)

(37) Cet homme, qui s'exprime et s'objective dans et par la culture, est unique, complet et indivisible. (8)

(38) De tout cela se dégage un certain nombre de conclusions capitales. (11)

(39) L'éducation a une importance fondamentale pour la formation des rapports inter-humains et sociaux. (11)

(40) En tant que l'Organisation mondiale la plus compétente dans tous les problèmes de la culture, l'UNESCO ne peut pas négliger cette autre question absolument primordiale: que faire pour que l'éducation de l'homme se réalise surtout dans la famille? (12)

(41) Il semble que de tels dangers en matière d'éducation menacent surtout les sociétés à civilisation technique plus développée. (13)

(42) La civilisation contemporaine tente d'imposer à l'homme une série d'impératifs apparents, que ses porte-parole justifient par le recours au principe du développement et du progrès. (13)

(43) La Nation est en effet la grande communauté des hommes qui sont unis par des liens divers, mais surtout, précisément, par la culture. (14)

(44) Il existe une souveraineté fondamentale de la société qui se manifeste dans la culture de la Nation. (14)

(45) Mesdames et Messieurs, le monde ne pourra pas poursuivre longtemps sur cette voie. (22)

– *Appels et exhortations réalisés par des énoncés assertifs* :

(46) **Nous nous en rendons compte, Mesdames et Messieurs**, l'avenir de l'homme et du monde est menacé, radicalement menacé, en dépit des intentions, certainement nobles, des hommes de savoir, des hommes de science. (21)

(47) **Deux considérations m'amènent à soumettre particulièrement à votre réflexion** la menace nucléaire que pèse sur le monde d'aujourd'hui et qui, si elle n'est pas conjurée, pourrait conduire à la destruction des fruits de la culture, des produits de la civilisation élaborée à travers des siècles par les générations successives d'hommes qui ont cru dans la primauté de l'esprit et qui n'ont ménagé ni leurs efforts ni leurs fatigues. (21)

(48) **Je m'adresse avant tout** à chaque homme de science individuellement et à toute la communauté scientifique internationale. (22)

(49) En tant que l'Organisation mondiale la plus compétente dans tous les problèmes de la culture, **l'UNESCO ne peut pas négliger** cette autre question absolument primordiale: que faire pour que l'éducation de l'homme se réalise surtout dans la famille? (12)

(50) …**de vous dire et de vous crier du fond de l'âme**: Oui! l'avenir de l'homme dépend de la culture! Oui! la paix du monde dépend de la primauté de l'Esprit! Oui! l'avenir pacifique de l'humanité dépend de l'amour! (23)

En guise de conclusion, nous pouvons constater que le discours prononcé le 2 juin 1980 par le Pape Jean-Paul II à l'UNESCO repose sur une série d'actes de langage directifs qui revêtent les formes les plus diverses tout en gardant un style très soutenu.

L'analyse de la structure actantielle et de la dimension illocutoire du discours de Jean-Paul II montre clairement que c'est bien l'unité thématique et l'unité illocutoire qui déterminent la cohérence sémantico-pragmatique d'un texte.

On pourrait dire que ce discours se construit autour d'une injonction dont le sens illocutoire fondamental est le suivant: „La culture est la dimension essentielle de l'humanité. – „Protégez-la comme la prunelle de vos yeux pour l'avenir de la grande famille humaine."

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MARIAN PAPAHAGI – TRADUTTORE DI EUGENIO MONTALE

MARIANA ISTRATE[1]

ABSTRACT. *Marian Papahagi – translator of Eugenio Montale.* Even though he did not consider himself to be a translator, but only a humble and fervent reader, Marian Papahagi translated from Italian into Romanian considering this act to be a dialogue between the two cultures. In spite of the linguistic barriers, his translations from Eugenio Montale's poems do succeed in preserving all the qualities of the original text. They help us enter Montale's poetic universe and remain faithful to the expression and the thought of the great poet awarded with a Nobel Prize. Through our punctual textual analyses, we aim to prove that the translator was endowed with all the qualities necessary for the act of translation in such a way that his Romanian variants do not let the difficult and hard work of linguistic mediation show up. One can only see his love for the Italian language and poetry as well as his love for the Romanian language, which is used with great subtlety.

Keywords: *reception, poetic translation, translator, poetic universe, fidelity, authenticity, poetic vocabulary, unusual structures, hidden significance, equivalents, textual balance.*

Michail Bachtin[2] definiva il concetto astratto di „spazio intertestuale" come luogo in cui non solo si crea la letteratura, ma anche la si recepisce ed interpreta. Ciò suppone pure che qualsiasi testo letterario abbia una collocazione cronologica, una geografica e un'altra letteraria. Localizzata in questa rete di contesti, un'opera letteraria notevole arriva a sorpassare le frontiere e, per essere recepita anche in spazi geografici e linguistici diversi, si impone la sua traduzione. Come afferma Danilo Manera[3] la letteratura degna di traduzione lo è per il come parla tanto o più per il che cosa dice. In questa categoria si include la poesia di Eugenio Montale a cui, nel 1975, quando ricevette il premio Nobel, fu riconosciuta la maniera piena di sensibilità artistica nell'interpretare i valori umani sotto il simbolo di una visione della vita priva di illusioni. Non si può tralasciare del tutto che cosa abbia detto

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[2] Michail Bachtin, *Estetica e romanzo,* Torino, Einaudi, 1979.

[3] *Problemi di contestualizzazione linguistico-culturale nelle scelte traduttive,* in AA.VV., *Tradurre dallo spagnolo,* Milano, LED OM LINE, E-seminars, 2003, pp. 47-52.

nelle sue poesie e ,a tale fine, possiamo citare il poeta stesso: „L'argomento della mia poesia [...] è la condizione umana in sé considerata non questo o quello avvenimento storico. Ciò non significa estraniarsi da quanto avviene nel mondo: significa solo coscienza e volontà di non scambiare l'essenziale col transitorio [...]. Avendo sentito fin dalla nascità una totale disarmonia con la realtà che mi circondava, la materia della mia ispirazione non poteva essere che quella disarmonia"[4]. La disarmonia viene espressa nei versi montaliani in una negatività esistenziale che non nega però una soluzione simbolica contro „il male di vivere". Il „varco", quale via di salvezza, immagine emblematica per la poetica del grande poeta, può essere „la maglia rotta nella rete/che si stringe" *(In limine)* o il „punto morto del mondo, l'anello che non tiene" *(I limoni)*. Fino alla fine il poeta trova un suo equilibrio tra la letteratura e il quotidiano con un distaco quasi aristocratico. Obbligato a vivere l'alienazione della società moderna, Montale continua a cercare quelle „certe parole" che possono rappresentare un „mondo fisico e morale". Di queste parole è fatta la poesia del poeta che è una risposta possibile alle domande riguardanti la vita, la fine, gli oggetti rivelatori del senso interno delle cose. Il linguaggio di Montale è uno aspro, duro, corposo, così come il mondo è un'arida pietraia, una „muraglia che ha in cima cocci aguzzi di bottiglie" e tutt'intorno „sterpi".

Gian Paolo Biasin parla di una delicatezza affettiva e tematica della poesia di Eugenio Montale, la quale „è fondamentale per la ricezione della poesia, perché è il livello a cui si attua una prima e necessaria identificazione di chi legge con chi scrive, il riconoscimento che si tratta di noi, di una situazione possibile della nostra esperienza, della nostra vita"[5]. Leggendo Montale, il lettore sarà pervaso d' amore, di nostalgia, di malinconia, di dolore, di sofferenza, di speranza di trovare una via di scampo. Sono sentimenti umani provati da ognuno di noi. Ecco perché la ricezione del messaggio poetico montaliano non rappresenta un'accettazione passiva, ma una che ti coinvolge e ti fa pensare.

La migliore prova per il modo in cui uno scrittore è stato recepito in un altro spazio geografico e culturale che il suo natio costituisce la traduzione. Non parliamo di poesie isolate, casualmente pubblicate nelle riviste, ma di traduzioni fatte da personalità autorevoli, dotate di talento e di un senso linguistico particolare. Possiamo vantarci con la realtà che, sul territorio romeno, la poesia di Montale ha avuto almeno cinque traduttori, tutti e cinque affascinati dalla sua voce poetica unica. Nel 1967 appariva nella collana „Le più belle poesie"dell'*Editura Tineretului*, nella traduzione di Ilie Constantin, una raccolta intitolata *Versuri*. Anche se le varianti romene non sono troppo fedeli all'originale, le soluzioni linguistiche sono sorprendenti e riescono a trasporre in romeno l'universo montaliano. Un anno poi, appariva un'edizione bilingue nella serie „Poesis" della Casa Editrice per la Letteratura Universale, fatta da Dragoş Vrânceanu. Avendo studiato a Firenze, il traduttore ha avuto il privileggio di conoscere Eugenio Montale ed anche altri

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[4] Eugenio Montale, *Confessioni di scrittori* (Interviste con se stessi), Firenze, La Nuova Italia, 1976.
[5] Gian Paolo Biasin, *Io scrivo che Montale ha ascoltato il canto delle Sirene,* in „Cuadernos de Filologia Italiana", 4, Madrid, Servicio de Publicaciones UCM, 1997, p. 312.

scrittori italiani ulteriormente tradotti da lui in romeno. Nella sua traduzione, l'atmosfera poetica rimane autentica, però la mediazione linguistica sembra sia fatta un po' in fretta e le scelte lessicali sono qualche volta troppo libere. In una lingua romena senza concessioni e tradimenti, Florin Chirițescu ha fatto nel 1981 la traduzione del volume *Quaderno di quattro anni*, apparsa presso la Casa Editrice E. L. U. (Univers). Un volume antologico *Poezii* è stato tradotto e realizzato da Marian Papahagi, pubblicato nel 1986 presso la Casa Editrice „Dacia". Finalmente, nel 2006, la Casa Editrice Humanitas ha fatto pubblicare il volume bilingue *Poesie/Poezii* nella collana „Biblioteca Italiana". Il volume riunisce le più valorose traduzioni delle poesie fatte fino a quel momento, a cui si aggiungono anche quelle di Şerban Stati, il quale cura l'edizione.[6] Se vogliamo trovare un denominatore comune per tutti i traduttori nominati più su, dobbiamo ritenere il fatto che dimostrano buone competenze linguistiche nel campo dell'italiano, acquistate durante gli studi universitari. Si può aggiungere che, nel loro percorso intellettuale, eccetto Ilie Constantin, tutti hanno avuto contatti diretti con lo spazio culturale italiano e l'opera di Montale non è l'unica ad essere tradotta da loro in romeno. Sono personalità riconosciute nella loro qualità di promotori e difonditori della letteratura italiana nello spazio romeno, e si distinguono per l'approccio sistematico adottato nel tradure, data la consavolezza sull'esistenza del vecchio dilema tra traduzioni „brutte e fedeli" o traduzioni belle, ma infedeli". La battuta, appartenente a Voltaire, anche se riferesce alle donne, può suggerire benissimo il travaglio duro nell'atto di tradurre. Nel caso dei traduttori elencati, la qualità dei testi dimostra che per loro questo processo di mediazione linguistica non è stato un semplice esercizio di scrittura, ma un'attività capace di far vivere un testo straniero nella letteratura ospitante.

In questa sede vogliamo insistere sulle traduzioni romene realizzate da Marian Papahagi.[7] Non abbiamo informazioni sul fatto che l'italianista di Cluj abbia scritto poesie originali. Però, nel suo caso, sono valide le parole di Eugenio Montale stesso, il quale affermava che tradurre la poesia è uno dei possibili modi di fare poesia. E, se la teoria della traduzione non accetta una tale prospettiva, allora, di sicuro, l'affermazione di Jorge Luis Borges non può essere negata, dato che per il grande scrittore nessun problema è tanto intimamente connesso alla letteratura e al suo modesto mistero quanto quello posto da una traduzione.

Marian Papahagi incarna l'ideale della traduttologia: ha scelto quelle strategie traduttive nella lingua d'arrivo che un madrelingua utilizzerebbe nella stessa situazione comunicativa. In queste circostanze dobbiamo rivalutare il concetto della traduzione, riconoscendole tanto il carattere di opera intellettuale quanto di opera di creazione. *Marian Papahagi* ci fa entrare nell'universo poetico di Montale, rimanendo fedele alla parola ed anche al pensiero del grande poeta italiano. Tutto ciò senza lasciare indovinare o trasparire il lungo studio e il faticoso

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[6] Eugenio Montale, *Poesie/Poezii,* Traducere în italiană de Florin Chirițescu, Ilie Constantin, Marian Papahagi, Dragoş Vrânceanu, Filofteia şi Şerban Stati, Ediţie şi note de Şerban Stati, Bucureşti, Humanitas, 2006.

[7] Eugenio Montale, *Poezii.* Antologie, traducere, prefaţă, note şi repere critice de Marian Papahagi, Cluj-Napoca, Editura Dacia, 1988.

lavoro traduttologico. Si intravede soltanto l'amore per la poesia e la lingua italiana, che si fonde con l'amore per la lingua madre che viene sfruttata al massimo. Il fenomeno è stato possibile dato che egli aveva fatto nel suo periodo italiano quell'opera di preparazione, piuttosto lunga e impegnativa, che consiste nel documentarsi sull'autore, sulle sue letture, sull'epoca in cui è vissuto. In altre parole, una serie di operazioni che puntano a ricreare lo spazio culturale e linguistico il cui risultato è stata l'opera di Montale. Munito di strumenti linguistici e culturali adatti, Marian Papahagi ha cominciato a tradurre Montale per rendere anche il lettore romeno partecipe dell'esperienza di un altro. Tralasciando la funzione comunicativa della traduzione, insistiamo però sul fatto che l'atto di tradurre, per Papahagi, è uno artistico, che non ubbidisce alle norme e regole. Infatti, nella pratica della traduttologia si insiste sull'idea che ciò che la traduzione deve salvare è il «movimento» del testo, dove per «movimento» si intende il ritmo, il lessico e il significato del testo.[8]

In quello che segue, partendo dal punto di vista di Sergio Cigada, utilizzeremo le traduzioni di Marian Papahagi come strumento per un'analisi delle strutture interne del testo letterario. Con tale metodo, possiamo valutare pure il grado di traducibilità delle poesie montaliane. Insisteremo di più sulle scelte lessicali e semantiche, in quanto il livello fonico-timbrico viene considerato per definizione quasi „intraducibile".

Le traduzioni di Marian Papahagi coprono tutto l'itinerario poetico di Montale da *Ossi di sepia* (1925) fino ad *Altri versi* (1980). Una delle caratteristiche peculiari dell'opera montaliana rimane la scelta della parola essenziale, realtà composizionale che si rispecchia anche nella mediazione linguistica in romeno. Così come in italiano il linguaggio poetico è preciso ed esatto, nonostante la realtà osservata che si rivela frantumata e sfuggente, anche in romeno si riesce a mantenerlo. Il lessico rimane essenziale e non ridondante. Il primo volume montaliano ha come motivo il paesaggio ligure e il linguaggio e la realtà paesaggistica riferiscono ad oggetti precisi, quasi palpabili. In questo senso è diventata antologica la poesia *Meriggiare pallido e assorto* realizzata di parole molto concreti: „un rovente muro d'orto" (*zidul de grădini fierbinte*), „tra i pruni e sterpi" (*prin ghimpi şi spinii sterpi*), „nelle crepe del suolo" (*în glia spartă*), „nel sole che abbaglia" (*sub soarele arzător*), „scaglie di mare" (*solzii de mare*), „ossi di seppia" (*oase de sepie*, sintagma metaforico che funge da titolo, che allude al mare, al senso dell'infinito, alla speranza di sfuggire „al mal di vivere" =*al vieţii rău*). Si aggiungono le parole musicali di estrazione dialettale e onomatopeica, che mirano ad una precisione naturalistica : „schiocchi di merli" (*zvâcnet de mierle*), „frusci di serpi" (*şuier de şerpi*), tremuli scricchi (*tainic ţârâit;* la parola *ţârâit* è stata corretta poi da Serban Stati in *scârţâit*), „minuscole biche" (*moviliţe mici*), „veccia" (*măzăriche*). Un tratto poetico preminente di Montale è la ricchezza lessicale, nel senso che esistono molti vocaboli con un numero di occorrenze

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[8] *Traduzione,voce dell'arte*, Intervista a Davide Rondoni, a cura di Francesca Maganzi Gioeni d'Angiò. http://www.eurac.edu/Focus/TheTranslation/Translation_rondoni_it.htm

basso, con conseguenze immediate anche nella traduzione. Un vero hapax, più precisamente un vocabolo che si presenta nell'opera una sola volta, diviene la parola „croco" (*şofran*), poi „palvese" (*pavoaz*, parola appartenente al campo della marina, in *Vento e bandiere*), „buxus" (*buscus* in *I limoni*), „pitosfori" (*pitosfori*, pianta ornamentale perenna, in *Vecchi versi*), „onagri" (*onagri*, *măgari sălbatici* in *Carnevale di Gerti),* „sistro" (*sistru*, stumento muzicale degli antichi egizieni in *La bufera),* „fandango" (*fandango*, ballo spagnolo in *La bufera*), „tartana" (*tartana,* specie di piccolo naviglio usato per la pesca).

Se raccogliamo i segnali testuali diffusi specialmente nei primi volumi si chiarisce il fatto che il tema poetico centrale è la vita umana percepita attraverso una serie di immagini-simbolo che rappresentano praticamente dei correlativi oggettivi in cui gli oggetti simbolo sono delle azioni - simbolo. Nel secondo volume, *Le occasioni/Prilejuri* (da ritenere che il traduttore non si è accontentato con la forma neologica *ocazii* e ha preferito una parola di origine slavo-bulgara, *prilej*) il valore simbolico degli oggetti si accentua e si assolutizza e il poeta arriva ad esprimere „la passione diventata cosa". Da un'immagine reale della vita del poeta nasce una ricchezza simbolica straordinaria. L'esistenza della donna amata viene correlata, per esempio, col piumino della cipria, con gli amuleti significativi della sua vita, fino alla trasformazione allegorica della donna stessa in angelo. È un motivo caro anche al traduttore romeno, se pensiamo alla Beatrice di Dante, nella *Divina Commedia*, opera che fu tradotta, anche se non interamente, più tardi, negli anni di piena maturità artistica e intellettuale di Marian Papahagi. Quale conseguenza al livello stilistico, le frasi sono quasi elittiche e, apparentemente, lo sforzo del traduttore non è uno che dà fatica. Non dobbiamo però tralasciare il fatto che la sintassi rimane la spia principale dei significati e offre segnali testuali in questa sua semplicità, in realtà mossa da strutture non comuni e da significati nascosti, che chiedono ad essere decifrati.

La terza raccolta intitolata *La bufera e altro* (1956) contiene componimenti riguardanti temi di guerra e di dolore e sviluppa l'aspetto della religiosità montaliana sulla missione soterica della donna, la quale, per poter portare alla salvezza, deve incontrarsi con la morte. Per l'ultimo Montale, Marian Papahagi osservava nella *Premessa* delle sue traduzioni l'apparizione del poeta moralista il cui sguardo sopra il mondo è profondamente scettico („Essere vivi e basta/non è impresa da poco" in *Il trionfo della spazzatura*). Lo stile diviene ironico e diaristico e il lessico tende a basso, fatto che ha conseguenze anche nelle scelte lessicali della traduzione.

Abbiamo presentato in breve i temi poetici dell'opera di Montale, dato che questi determinano i principali campi lessico-semantici che suscitano problemi nell'atto di tradurre. Leggendo parallelamente le poesie in italiano e la loro traduzione in romeno, possiamo affermare che la variante romena è molto vicina all'originale. Si può parlare proprio di una massima aderenza letterale al testo di origine, fatto spiegabile grazie al talento del traduttore, sostenuto anche dalla fortuna di aver tradotto da una lingua romanza in un'altra con la stessa origine e quasi con le stesse

strutture linguistiche. Però, per trovare le equivalenze poetiche adatte, era necessario che il traduttore avesse anche nella sua lingua natia un bagaglio lessicale poetico. E Marian Papahagi dimostra ad ogni passo di averlo.

Ecco qualche esempio, con l'indicazione del contesto poetico:

Quasi una fantasia: „raggiorna" = *mijeşte-a zi,* espressione arcaica di origine bulgara in romeno, preferita ad una più comune: *se face ziuă;*

„incosciente mago" = *mag necugetat*; dato che la voce neologica romena *inconştient* ha come tratto pertinente 'chi non è cosciente' si preferisce l'aggettivo formato con il preffisso *ne + cugetat* < participio passato del verbo *a cugeta* < latino *cogitare;*

Sarcofaghi: „buio" = *beznă,* parola di origine slava, considerata più expressiva che il sinonimo *întuneric;*

Portami il girasole: „bionde" = *bălaie,* voce poetica molto cara al nostro Mihai Eminescu e consacrata da egli nell'uso poetico;

„fluire" = *unduire,* e non *curgere,* per realizzare un'immagine visuale e auditivo in base al sostantivo *unde* (=onde) da cui deriva il verbo;

So l'ora: „il morso segreto" = *muşcătura tainică,* sintagma con forte carico poetico dato dall'uso dell'aggettivo *tainic,* di origine slava, che porta in più il tratto semantico 'mistero';

Gloria del disteso: „arsura" = *zăduf,* parola metonimica;

Arremba: „svolacchia il gufo" = *buha zburătăceşte;* è preferito il nome vernacolare dell'uccello, invece di quello letterale, *bufniţă;* il verbo *zburătăci* è un sinonimo di *a zbura,* però ha in più il tratto 'volare qua a là , con voli brevi e stenti';

„le siepi" = *hăţiş;* è un nome collettivo scelto per insistere sull'aridità del posto;

Mediterraneo: „impietro" = *încremenesc;* il verbo derivato dal sostantivo *cremene* = 'quarzo' suggerisce la durezza della vita ed è per questo che viene usato invece del sinonimo *împietresc,* derivato dal nome *piatră* = 'pietra' con il preffisso *im-;*

Avrei voluto: „la mente che decide' = *mintea ce cutează;* pure in romeno esiste il verbo *a decide,* però il verbo *a cuteza* (in italiano sarebbe 'osare') contiene sfumature poetiche e arcaiche;

Crisalide: „salvezza" = *mântuire* e non *salvare,* voce che ci fa pensare alla salvezza biblica;

Casa sul mare: „s'infinita" = *se nesfârşeşte;* si tratta di un verbo creato dal traduttore per esprimere qualcosa che non ha fine: preffisso *ne-* + vb. *sfârşeşte* (= finiscee, termina); sembra che il verbo *infinitarsi* con il significato 'sfuggire all'annullamento' sia creato dal Montale perché non si trova nei dizionari usuali;

Incontro: „soffio del vento = *boare,* voce poetica preferita alla parola quotidiana *vânt,* per aggiungere il tratto semantico 'mite';

La bufera: „notturno" = *noptatic;* anche in romeno esiste la parola neologica *nocturn,* però è preferito l'aggettivo poetico derivato da *noapte* che fa parte del lessico poetico eminesciano;

„eternità d'istante" = *vecie-a clipei;* l'espressività dell'ossimoro sta nella scelta di una parola arcaica *vecie* (< *veac* (= secolo) + suffisso *-ie*) a svantaggio della parola neologica *eternitate;*

Buffalo: „curve [...] mulinanti" = *curbe mulinând pe pistă;* il verbo italiano 'mulinare' ha in romeno l'equivalente 'a învârti, a răsuci ceva'; dunque la voce romena *a mulina* è usata con un significato metaforico, dato che viene dal francese *mouliner* che significa 'torcere insieme fili di seta';

L'arca: „in cucina" = *în cuhnie;* di nuovo si preferisce invece di una parola letteraria *în bucătărie,* una regionale e arcaica di origine ucraina;

Ballata: „cupo singulto di valli e dirupi" = *negrele văi ca de dòhot;* la variante in romeno insiste sulla cupezza delle valli e dei dirupi e il traduttore a questo proposito si prende la libertà di fare un paragone con il catrame, probabilmente anche per motivi riguardanti la metrica;

Ciò che di me sapeste: „il fuoco [...] che non si smorza = *focul ce adastă;* il traduttore rinuncia ad un verbo in forma negativa per usarne uno in forma positiva, appartemente al fondo latino (*a adăsta* < lat. *adstare*);

In limine: „futuro" = *ce va fi;* una parola è tradotta con una frase semplice che esprime la stessa idea: che sarà;

„rovello" = *fierbere;* la parola italiana non è tradotta con il significato denotativo (*furie, turbare, supărare mare*), ma con uno figurato; l'equivalente non possiede il tratto pertinente 'umano' contenuto nel semema italiano, però l'effetto metaforico è forte. Apparentemente è una scelta abbastanza libera, ma in italiano 'rovello' deriva dal latino *rebellare* = 'ribellarsi', significato che va benissimo nel contesto in cui si „cerca una maglia rotta nella rete". Se pensiamo all' espressione romena *fierbe țara*, allora constatiamo che la formula scelta da Mariana Papahagi suggerisce perfettamente l'idea di Montale;

I limoni: „delle divertite passioni" = *al învrăjbitelor patimi*. Di nuovo sembra che sia una scelta molto libera; però il verbo italiano 'divertire', accanto al significato più noto di 'dilettarsi, svagarsi' ne ha anche un altro, meno conosciuto, cioe 'inimicarsi', cosa vuol dire in romeno proprio *a învrăjbi*.

Da questa analisi puntuale risulta una conclusione: il linguaggio poetico romeno ha quale fonte inesauribile i sinonimi di origine slava, risentiti oggi antiquati o regionali e il traduttore Marian Papahagi lo conosceva e lo padroneggiava benissimo.

Quando non trova una parola che lo accontenti, così come faceva Dante, Marian crea parole:

Lasciando un 'dove': „il cielo s'annida" = *cerul se-ncuibează*; annidare = *a (se) cuibări, a-și face cuib;* più precisamente cambia la coniugazione del verbo e viene aggiunto il preffisso *în-*;

Incontro: „simile ad incappati di corteo" = *asemeni cu-nglugaţii din cortegiu*; incappare = *a pune pe spate mantia cu glugă*;dal nome *gluga* per derivazione si crea un altro, *înglugaţi;*

La primavera hitleriana: „scherani" = *cetaşi* (derivato insolito da *ceată* = schiera; scherano = *ucigaş, bandit*), invece di una perifrasi: *care merg în cete;*

Casa sul mare: „s'infinita" = *se nesfârşeşte* (si veda più su);

Gli orecchini: „l'iddia" = *zeea*, anche se in romeno esiste la parola 'zeiţă', per motivi forse di metrica, si preferisce una forma insolita del sostantivo, rinunciandosi alla forma col diminutivo *-iţa*.

Consideriamo utile insistere sulla traduzione del verbo *meriggiare,* dato che in romeno non esiste un equivalente perfetto. Il lettore che non ne conosce bene il senso apre il dizionario e trova il lemma *meriggiare* per il quale è specificato, al significato A, come ambito semantico d'impiego e come limite d'uso stilistico quello letterario. Nel *Vocabolario della lingua italiana* di Nicola Zingarelli[9] si trova la seguente difinizione: „*riposare, all'ombra e all'aperto, nelle ore del mezzogiorno*" e si dà come citazione d'autore proprio il verso di Montale: „*Meriggiare pallido e assorto / presso un rovente muro d'orto*". Anche nel *Grande dizionario della lingua italiana di Battaglia*[10] e nel *Dizionario della lingua italiana* di Devoto – Oli[11] il significato del verbo „*meriggiare*" viene illustrato con richiami a vari autori, tra i quali non manca il Montale.Il suo verso può essere considerato il modo più convincente ed eloquente per il modo in cui si realizzare il senso del vocabolo di cui vogliamo discutere. Dato l'uso poetico, c'è da sottintendere che abbia anche delle sfumature, delle connotazioni testuali. Devoto e Oli registrano pure un senso *poetico* („*Abbandonarsi a un ozio intimo e dolce*"), mentre Battaglia unisce al significato principale un significato nato per estensione („*oziare, bighellonare, trastullarsi*") e uno *figurato* („*ricevere conforto, sollievo, consolazione spirituale*). Introdotto per mezzo della poesia montaliana nel circuito poetico, *meriggiare* non rimane una parola qualsiasi, priva di espressività. Nella sua struttura si possono intravvedere strati irradianti difficilmente valutabili, che catalizzano le riverberazioni testuali di una sensibilità ribele, decisa a rivoluzionare il linguaggio poetico. Non è il nostro intento di fare un'analisi semantico-stilistica del verbo italiano, ma di individuarene i possibili corrispondenti in romeno, con un potenziale espressivo paragonabile. È una cosa difficile, perché la lingua romena non possiede una voce per esprimere il senso del verbo *meriggiare* e, perciò, questo deve essere tradotto tramite una perifrasi (1. a şedea la umbră în timpul prânzului; 2. a dormi după

[9] Nicola Zingarelli, *Vocabolario della lingua italiana,* undicesima edizione a cura di Miro Dogliotti e Luigi Rosiello, Zanichelli, 1986.

[10] Salvatore Battaglia, *Grande dizionario della lingua italiana,* X, MEE – MOTI, Unione Tipografica – Editrice Torinese, 1978.

[11] Giocomo Devoto – Gian Carlo Oli, *Dizionario della lingua italiana,* Firenze, Le Monnier, 1974.

prânz, a-şi face siesta)[12] che fa perdere del tutto il senso poetico e figurato dell'italiano. Appunto per questo rimane notevole il tentativo di Marian Papahagi che è riuscito a conservare almeno una parte del fascino della costruzione poetica italiana „Să treci miezul zilei pal, cuminte / lângă zidul de grădini fierbinte"[13].

La perifrasi non è frequente, cosa che rappresenta un preggio per una traduzione; quando appare è ben utilizzata:

In limine: „futuro" = *ce va fi;*

Ballata: „cupo singulto di valli e dirupi" = *negrele văi ca de dòhot (păcură).*

Nell'edizione di Sorin Stati, alcune scelte lessicali di Marian Papahagi sono state modificate. Non ne insistiamo proprio perché, se fosse stato ancora in vita, il traduttore avrebbe riletto le sue traduzioni e, di sicuro, dopo un periodo di decantazione, egli stesso avrebbe migliorato le soluzioni del 1988.

Rimane importante che Marian Papahagi ha tradotto l'opera di Montale considerando l'atto di tradurre come un dialogo fra le culture, perché si trattava, secondo il suo parere, di uno dei più grandi poeti che abbia avuto l'Italia postleopardiana. Benché abbia fatto il traduttore, egli preferiva rimanere soltanto un lettore e, in questo senso, testimoniava che le sue traduzioni sono soltanto il frutto di una continua lettura concepita quale atto di umiltà e gioia, di fervore e gratitudine. Il suo „credo" sull'atto del tradurre si trova in un articolo intitolato modestamente *Divagazione sulle traduzioni*[14]. Accanto all'arte della traduzione poetica, individua una scienza delle traduzioni, cioè discernimento e spirito critico, più precisamente, cosa, quando e come tradurre. A proposito della collocazione dell'arte della traduzione, condivide con Lucian Blaga l'idea che si trova a metà strada tra le arti interpretative e le arti creative. Conosce bene anche le teorie di Roman Jakobson riguardanti il problema e considera primordiale la scelta degli elementi linguistici, che rimane per eccellenza una non-libera e condizionata contestualmente. Si impone sempre anche un atto critico interpretativo in quanto non si può tradurre un testo senza essere inteso nelle sue strutture più profonde. Le traduzioni sono necessarie perché diventano un indice del livello culturale di un paese e dimostrano la participazione di un popolo alla vita spirituale del mondo tanto quanto la presenza delle sue opere originali trasposte in altre lingue. Soltanto così si può evitare l'isolamento culturale che rappresenta il più pericoloso strumento dell'ignoranza.

Munito di queste idee, Marian Papahagi ha avuto tutte le doti necessarie per difondere in Romania la letteratura italiana non soltanto quale professore, ma anche come traduttore. In conclusione, nonostante le barriere linguistiche, l'imperativo della fedeltà della traduzione all'originale montaliano è stato rispettato con brio.

[□] *Dicţionar italian-român,* Bucureşti, Editura Ştiinţifică, 1963.

[13] Eugenio Montale, *Poezii. Antologie, traducere, prefaţă, note şi repere critice de Marian Papahagi,* Cluj-Napoca, Editura Dacia, 1988, p. 28.

[14] Marian Papahagi, *Divagaţie despre traduceri,* în „Transilvania", 3, nr. 11, noiembrie 1974, pp. 6-7.

Accanto alla qualità verbale del testo romeno, si aggiunge l'equilibrio testuale e specialmente la musicalità, attributo considerato da Montale assolutamente necessario nel fare poesia.

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BOOK REVIEW

Teru Miyamoto, *Brocart de toamnă*, (*Kinshū: Autumn Brocade),*
Humanitas Fiction, Bucureşti, 2009, 184 p.

Kinshū is an epistolary novel, alternating the letters of Aki and Yasuaki, a former married couple who separated ten years before, as a result of Yasuaki's involvement in a love suicide scandal. This rough outline of their story might suggest a story centred on a juicy scandal subject about love, marriage, betrayal, with all the intense feelings in full display for the reader interested in the private details of a domestic drama. But this is only the nutshell, because the core revealed to the reader is not one meant to satisfy an appetite for drama.

On a trip to Mount Zaō, where Aki takes her physically and mentally handicapped son to admire the starred sky, she accidentally meets her former husband, Yasuaki Arima. Their brief encounter triggers Aki to search for his address and send him a letter in which she unfolds all her mixed feelings about the incident that marked the end of their marriage. Yasuaki is asked to provide an explanation and he answers to the letter, narrating the story of his first love and the way in which he became once again involved in an affair with the same girl, which ended in an attempted double suicide, leading to her death and his wounding. The letters continue and the story unfolds, revealing how they have continued with their lives: Aki has a son from a second arranged marriage, while Yasuaki is currently living with a woman, after ten years in which his life seemed a "slow, steady fall", with one failed business after another. Both of them end up blaming that past incident

for their present misery. Aki wonders if she would have had a healthy son if he had remained her husband, while Yasuaki realizes that his reunion with his former love marked the end of his marriage and career. There is a happy outcome to their reencounter, not in the sense that they get reunited, but having cleared up their feelings about their separation, both of them are able to move on with their life, more or less reconciled with their past.

The personal drama of one's inability to come to terms with the past seem to be Miyamoto's favourite novelistic theme, as it might also be seen in *Maboroshi* (1995), a film directed by Hirokazu Koreeda, inspired by Miyamoto's novel *Maboroshi no Hikari* (1979, "Light Phantom"). In this as well, he explores the way in which life and death are unrelentingly connected. As a meditation on the way life has changed after Yukako killed herself, Aki, inspired by Mozart's music, comes to the conclusion that "A trăi şi a muri înseamnă probabil acelaşi lucru."[1] Yumiko of *Maboroshi* seems to be drawn to death in all kinds of forms even after she manages to rebuild her life, as she is unable to understand the mystery of her husband's alleged suicide. Both

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[1] "perhaps living and dying are the same thing" (p.58).

*The corresponging English versions of the quotation will be given in footnotes, corresponding to Roger K. Thomas's translation (Teru Miyamoto, *Kinshu – Autumn Brocade*, Japanese Literature Publishing Project, New Directions Books, New York, 2005).

women cling to their children as a resource for life, but in their inner worlds the limit between life and death seems so thin that the exterior world sometimes seems an illusion (*maboroshi*). Death is not a looming presence in Aki and Yumiko's lives, and thus the ontological indeterminacy does not cause a hard to bear anguish. Of course, neither are they drawn to it at their own free will, but as they approach it, life reveals itself as a possibility of good and beauty. Thus, the consciousness of death is what makes the two women to reveal themselves in such a delicate manner and to have a profound vision on life. The weaving of sadness and beauty is paradoxically soothing, being expressed, as the English translator of *Kinshū*, Roger K. Thomas, puts it, in metaphors of great beauty: Mozart's music and brocade.[2]

Aki and Yasuaki's letters depict many instances in which reactions and attitudes are described as "indifferent". When both want to move away from themselves they resort to cliché ideas or stereotypes such as: "Niciodată nu poți şti ce ţi se poate întâmpla în viaţă"[3] (Yasuaki, p.25), "Lucruri siropoase care nu îi stau bine unui bărbat de vârsta mea"[4] (Yasuaki, p.47), "defectele cele mai mari ale unei femei sunt cicăleala şi gelozia"[5] (Aki, p.48) etc. which are in stark contrast to the profoundly intimate reflections with regard to their particulate feelings. One may imagine that there is no evidence of their inner struggle in their outer appearance, apart from the sad and pensive disposition, which does not give a clue to the others about how they could be

of help. Thus, the letters in *Kinshū* turn out to be the perfect means to reveal their private thoughts; otherwise the reader's perspective would amount to nothing more than the static, semi-lighted frames in *Maboroshi*, which only hint at the depth of their struggle with themselves. Miyamoto thus seeks to render a different kind of sincerity than that of the *shinshōsetsu* ("I-novel") through the use of one of the oldest narrative devices to indicate verisimilitude, which is the epistolary form. In spite of the apparently mystic depictions of death experiences and intuitive awareness, there is nothing surreal about Aki and Yasuaki's revisited love story. It is rather part of the pathetic human endeavour to give a more profound meaning to the surface of things. Thus, the story depicted in *Kinshū* is not a special or a unique one; it is rather the means which occasions a meditation on life and death. Even Miyamoto, quoted by Thomas, reduces the essence of literature to these two themes: "When all is said and done, the ultimate theme of literature is life and death."[6]

Beyond the universal themes, what might appeal to the Western reader of the novel are the cultural, stereotypical features in the portrayal of love. Thus, Aki appears in her youth as a woman who has to subdue her feelings to the accustomed traditional practice of social interaction. Although hurt by her husband's affair, she is willing to forgive him, but under her father's influence, who feels that his heir brought shame upon his family and company, she decides to divorce without fully under-standing the extent of his or even her own guilt. Her father's brief comment on Yasuaki's conduct reflects the mentality of a patriarchal society: "Bărbaţii mai calcă

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[2] In the Afterword of the English translation of the novel, by Roger K. Thomas.

[3] "You never know what will happen in this life", (p. 24).

[4] "something so mawkish and unbecoming for a man of my age", (p. 48).

[5] "a woman's greatest vices are her querulousness and jealousy", (p. 49).

[6] Thomas, Afterword.

pe de lături, dar aşa ceva e inadmisibil."[7] (p.22). Her father is also the man who pushes her into a second arranged marriage to Sōichirō Katsunuma, which eventually proves loveless, and what is more, she is again the victim of her husband's cheating. Only at the end, her father seems to realize his part of the guilt: "Ţi-am pricinuit numai necazuri"[8] (p.173). As a true traditional Japanese wife, she worries in one of her letters that her marriage might fail each time because she is not "submissive" enough, to which Yasuaki "reassures" her that she was "very compliant" (p. 126). However, the novel does not have a moralistic intention and neither is Miyamoto judgemental about the practices of the Japanese society. After initially blaming Yasuaki, in her distress, for her failure as a wife and mother, Aki ultimately resorts to traditional religious belief in karma. She is thus convinced that all her misfortune is the result of an implacable destiny, which she has to accept submissively. But the way to acceptance is personal and does not come from fearing the public opprobrium. Her biggest regret is her son's infirmity: "m-am trezit spunându-mi că nu merit o asemenea soartă, ca n-am făcut rău nimănui. Mi-am privit soţul în somn şi mi-am zis că aş fi avut un copil sănătos, dacă tatăl lui ar fi fost Yasuaki Arima"[9] (pp. 100-101). Her coming to terms with karma is also the acceptance of her destiny as a woman in the society that she lives: "Cred că am ajuns să înţeleg ce

înseamnă karma. Nu semnificaţia cuvântului, ci legea inexorabilă a existenţei. Indiferent de persoana cu care mă mărit, altă femeie îmi fură bărbatul. […] Presupun că-mi lipseşte ceva ca femeie şi ca soţie."[10] (p.124). However, her last letter to Yasuaki reveals her determination to overcome resignation and nihilism as her duty as a mother, in spite of the karma overpowering her life. Although it is not unnatural for a human being in distress to resort to religion in order to relinquish sadness and pain, at a stylistic level, one might get the feeling that the author has his characters over-interpret themselves a little too much. Such is the case with Yasuaki as well, who, without being religious, desperately searches for answers in everything that surrounds him. Thus, the episode of the cat hunting the mouse in the room on Mount Zaō has obvious symbolic implications, which are not left to be discovered by the reader, as Yasuaki directly points at the analogy: "mi-am dat seama că eu eram şi şoarecele, şi pisica"[11](p.88).

In spite of his using the letters only as a narrative device to frame his novel, Miyamoto does not avoid the seasonal references in the Japanese practice of letter writing. Hence, Aki refers to the blooming of the mimosa and the "gloomy rainy season" in the beginning of two of her letters. Moreover, there are many instances in which the characters' feelings are reflected in the nature, which contributes to the "Japanese air" of the novel. Thus, the mimosa branches induce in Aki "un

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[7] "It's no big thing for a man to have an affair or two. But something like this…", (p. 20).

[8] "I've gotten you into one mess after another.", (p. 187).

[9] "I hadn't done anything wrong. Why did I deserve this? Then I looked at the face of my husband as he lay asleep, and another unexpected thought flashed through my mind: if this child had been born to me and Arima Yasuaki, he might have come into the world with a sound body.", (p. 107-108).

[10] "I think I have come to understand the meaning of the word karma. Not just as a word but as a stern sort of law. No matter whom I marry, my karma is such that another woman takes my husband away. […] I guess there must be something lacking in me, as a woman and as a wife.", (p. 134).

[11] "[W]asn't I myself both the cat and the mouse?", (p.95).

sentiment de tristețe greu de învins, provocat pesemne de caracterul lor efemer"[12] (p.45), which immediately hints at the principle of *mono no aware*, the sadness induced by the ephemeral character of things. As a matter of fact, the principle extends to the level of the whole novel, through the metaphor of the autumn, which is over-represented under many guises: first of all, the actual timeline of the story is comprised between one autumn and the next; moreover, Aki comments in the beginning of the novel on the sensations caused by the autumn leaves: "Frumusețea frunzelor de toamnă m-a fermecat și totodată am intuit în ea ceva amenințător, ca o lamă rece de cuțit"[13] (p.12), as a suggestion of the beauty and sadness which permeate her remembrance of the past. There is also a "hint" of autumn in the homophonic rendering of Aki's name ("aki" in Japanese means "autumn"). Last but not least, most of the editions of *Kinshū*, Japanese or in translation (including the English and the Romanian one) depict autumn leaves on the cover; and moreover, the Romanian and English translations of the title even use the word "autumn" as a determinant for "brocade". Roger Thomas points out that "[t]he word *kinshū* – a compound of two characters meaning 'brocade' and 'embroidery' – evokes images that have for centuries been associated with autumnal scenery and poetry", making a reference to a verse of Ki no Tsurayuki in *Kokinshū* to illustrate his point.[14]

In many ways, *Kinshū* is an idealized love story, or rather a story about ideal love, which might not appeal to some, due to the obsolete air that surrounds it. It is not that it is unrealistic; on the contrary,

the letters are filled with down-to-earth details which ground the story in the Japan of the 70-80s. But probably the trend set by other contemporary Japanese authors, popular in the West, such as the two Murakamis or the younger Mari Akasaka or Hitomi Kanehara, love stories "coming from Japan" are expected to be filled with depictions of strange and alienated characters, who indulge in eroticism rather than attempt at rekindling past love and romance. Although a popular a much-awarded author in Japan, Miyamoto Teru has only but a few of his writings translated in western languages. Thus, his incursion in the West, yet timid, *Autumn Brocade* being his only second novel translated into English, after *River of Fireflies* (*Hotarugawa*, 1977, Eng. translation 1991), while for the Romanian readers it is a premiere, comes to reaffirm Japan as the land of tradition, elegance and grace. It is a surprising mix of tradition and modernity for a novel written in the beginning of the '80s, reminding one of Tanizaki's explorations of the human psyche, but with a rather diluted eroticism.

As an element of curiosity for a conclusion, we should add that in 1982, the year when *Kinshū* was published, Miyamoto was travelling to Europe, from Western Germany to Romania, to gather material for a book, which is entitled *Donau no tabibito* ("Travelers of the Danube", 1985), another love story which grows as the characters travel down the Danube River.[15] It might be interesting for a Romanian reader-ship of *Kinshū* to see what becomes of Miyamoto's "Japanese" depiction of love in a more familiar environment.

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[12] The English translation only specifies "an odd sensation of pain and sadness", (p.46).

[13] "I was intoxicated with the intense blaze of autumn leaves and definitely felt something threatening in it, rather like the quiet, cool blade of a knife", (p. 9).

[14] Afterword, idem.

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[15] Miyamoto Teru's personal website: http://www.terumiyamoto.com/index.html

けいことは　・よりならい十をしり十よりかえるもとのその

În învăţare, începi de la unu şi continui până la zece.
Când ai ajuns la zece, trebuie să te întorci la începuturi, adică la unu

けいことは一よりならい十をしり十よりかえるもとのその一

When you learn, you start from one and go on up to ten. Once you have reached ten, you must return to the beginning, that is to one.

Rodica Frenţiu