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***Literature and Cultural Studies***

***Studije književnosti i kulture***



## ЕНГЛЕСКИ ДОПРИНОС КЊИЖЕВНОЈ ИСТОРИЈИ У 18. ВЕКУ

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**Апстракт:** Рад приказује средишњи ток развоја књижевноисторијског духа у Енглеској у другој половини 18. века. Фокус истраживања је на одабраним историјским гледиштима и методолошким поступцима Томаса Вортонa и Семјуела Џонсона, који су написали запажена књижевноисторијска дела и код којих има назнака новог схватања књижевне прошлости, које одступа од неокласицизма просвећености. Претпоставка је да су они, упркос претежности својих класицистичких ставова, дали важне подстицаје таласу нових идеја, пресудних за утемељење књижевне историје као обухватне научне дисциплине образованог европског грађанства у 19. веку.

**Кључне речи:** књижевна историја, историјски релативизам, историографија, неокласицизам, просветитељство

### 1. Појава смисла за књижевну историју у просветитељској Енглеској

Друга половина 18. века означила је прекретницу у духовној историји Европе. Био је то период када су књижевна начела античке грчко-римске класике постепено почела уступати место новим идејама о књижевноуметничком стваралаштву, као и онима о природи, предмету и функцији књижевног дела. Једна од кључних новина тицала се приступа књижевном делу кроз призму историјских и биографских чинилаца који посредно и непосредно утичу на његов настанак. До тада је књижевна историја углавном била ограничена на књижевне погледе и препоруке великих умова антике. Ново разумевање ове дисциплине крајем 18. века налагало је да су човек и његова култура динамичке категорије на чији развој

утичу различити фактори, те да је за сваки народ и њихову културу пресудан чинилац њихова властита историја у динамици сопственог развоја. Фактори који делују у оквиру непрекидног историјског континуитета изнова обликују и преобликују човеков духовни свет. Такво схватање човекове духовне прошлости постало је општеприхваћено у време снажног романтичарског замаха на европском континенту, који је отпочео у Немачкој крајем 18. и почетком 19. века, док су темељи за овај развој постављени још раније у просветитељству.

Пре него што се романтизам дубоко укоренио у водећим европским земљама појавиле су се на тлу Велике Британије, током друге половине 18. века, важне назнаке новог погледа на човекову духовну прошлост. Оне су дале кључне подстицаје за образовање темеља модерне, романтичне књижевне историографије с почетка 19. века<sup>1</sup>. Иако раштркане, несистематски формулисане и без целовито формиране свести о пуном и обухватном значају историјских чинилаца за националну књижевност у целини, те ране мисли представљају суштински допринос просветитељске Енглеске развоју европске књижевне историографије током раног модерног периода. Један од њених најзначајнијих представника у овој области јесте књижевни историчар, критичар и писац – Томас Вортон (Thomas Warton, 1728–1790)<sup>2</sup>.

## 2. Вортоново схватање књижевне историје

Томас Вортон је први енглески критичар који је научно приступио књижевној историји свога народа. Већ у свом делу наслова *Запажања о Спенсеровом делу Вилинска краљица (Observations on the Fairy Queen of Spenser, 1754)*, он износи ставове којима афирмише улогу динамичног историјског контекста у проучавању књижевних дела прошлости<sup>3</sup>. Такође доводи у питање

<sup>1</sup> Њени почеци могу се пратити у Немачкој. Детаљан увид у ту тематику пружа монографија Миодрага Ломе, *Песник и књижевна историја* (Нови Сад, 1994).

<sup>2</sup> Вортон, наравно, није у томе једини. Важан је и допринос мање познатих енглеских и шкотских критичара, попут Томаса Персија (Thomas Percy), Хјуа Блера (Hugh Blair), Џона Брауна (John Brown), Томаса Блеквела (Thomas Blackwell) и других. Њихов укупан допринос тиче се „модерне субјективне естетике и историјске концепције развоја књижевности“ (више у Wellek 1955, 1: 105–132). Пажња која је у овом раду посвећена Вортону заслуга је његове *Историје енглеског песништва*.

<sup>3</sup> Чак и посматрано за себе, ово дело је важно јер садржи „прву скицу за његову *Историју енглеског песништва*“ (Wellek 1966, 167).

распрострањено неокласицистичко становиште према којем се суд о књижевним делима, без обзира на њихову епоху, треба заснивати на универзалним мерилима једног раздобља. Ово становиште оспорава он тврђењем да је „апсурдно је мислити да о Ариосту или Спенсеру треба судити према правилима којих се они сами нису држали.” Исто тако замера „критичком укусу” свога доба, које „захтева од песама, у којима то није узимано у обзир, исти поредак и план који се очекују од сваког модерног дела” (Warton 1820, 21; уп. Wellek 1966, 167–168)<sup>4</sup>. Уместо тога, Вортон истиче да је потребно „осврнути се на обичаје и манире” доба у којем је извесни песник живео, односно

поставити се у ситуацију и околности [песника], како бисмо били у могућности да боље судимо и разликујемо како су на његово мишљење и начин стварања деловале, утицале и такорећи потакле их добро познате ствари и доминантне појаве, потпуно различите од оних којима смо ми данас окружени (Warton 1820, нав. према Wellek 1966, 168).

Наведене Вортонове препоруке указују на промењени смисао за књижевну историју, која се постепено ослобађала неокласицистичких стега. Ипак, било је потребно да протекне више деценија пре него што ће обновљени историзам у Енглеској задобити потпуније значење и достићи ширу примену. Вортон је том процесу допринео једним од својих утицајнијих научних дела.

Његова вишетомна *Историја енглеског песништва* (*The History of English Poetry*, 1774–1782) једно је од првих дела у Енглеској које се тематски непосредно и научно бави историјом националне књижевности. Иако су већ у његовом предговору јасно истакнута неокласичарска и понека типично просветитељска гледишта аутора, ово дело се ипак одликује обухватним књижевноисторијским приступом. Оно почива на Вортоновом уверењу у „тријумф супериорности” просвећене енглеске културе, а управо ова чврста просветитељска вера у премоћ разума и науке дала му је снажан подстицај за проучавање енглеског песничког духа и његовог успона „од грубости до елеганције” (Warton 1777, 1: 1).

Развој енглеског песништва схвата Вортон као линеарно прогресиван ток који обухвата три фазе: примитивну, имагинативну и синтетичку, у којој се разум и машта најпотпуније спајају у

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<sup>4</sup> Сви преводи страних навода у овом чланку, осим ако није другачије истакнуто, дело су аутора чланка.

елизабетанској епохи (Wellek 1966, 193). Основни циљ му је да кроз ову поделу прикаже „буђење духа” енглеске књижевности, пратећи „напредак националног песништва од његових сирових и неодређених почетака све до савршенства у углађеном добу” (Warton 1777, 1: 2). Према Вортону, главна функција уметности огледа се у њеној способности да верно прикаже „својства” и „манере” различитих историјских раздобља (2). Посебну вредност он придаје социјалној компоненти књижевности, која одсликава префињеност манира и језички израз читавог народа. А како истиче, „први споменици сваког народа дела су његових песника”, због чега национална поезија „има додатну предност у томе што будућим нараштајима преноси првобитни облик живота у његовим почетним фазама” (3).

Препознавши суштинску улогу песништва у обликовању историјског идентитета једног народа, Вортон је показао изузетан историјски сензибилитет и тиме потврдио своју важност за развој енглеске књижевне историографије. Његов суд наговештава да је поезија један од најверодостојнијих носилаца националне културе и историје, мада за Вортон уметност остаје уско повезана с друштвеним фактором. Управо на основу ових кључних увида о историјском значају песништва он је формулисао научну методологију прилагођену специфичностима овог истраживачког поља.

Вортонов методолошки приступ историји песништва у основи је хронолошки. Он није желео да „своју материју раздели у одвојене чланке”, већ се трудио да „одвојена запажања” групише у „једну и једнообразну тачку гледишта.” Своје истраживање конципирао је с намером да испрати „постепени напредак нашег песништва, који истовремено представља напредак нашег језика” (5). Значајан аспект његовог погледа на историју енглеске књижевности огледа се у одлуци да своју *Историју енглеског песништва* започне норманским периодом (рани 11. век). Тим поступком поново потврђује своју теоријску усмереност ка линеарној прогресији, која је пре свега социјално, политички и језички условљена, те као таква представља огледало друштвених манира. Овај став поткрепљује следећим тврђењем:

Та моћна [норманска] револуција уништила је готово сваку везу са претходним [саксонским] насељеницима нашег острва и изнедрила је видљиву промену у нашој политици, саставу и јавним манирима, чије дејство је стигло до модерних времена (6).

И поред класицистичког призвука својих основних погледа, Вортонова књижевноисторијска важност видљива је већ у самој намери да напише историју песништва свога народа – иако у том подухвату, према Велековој оцени, „просијава осамнаестовековни стандард коректности.” Он се није задовољио „да само прикупи грађу за историју поезије, већ је желео да је представи у оквиру шеме историјских и књижевних вредности, заснованих на ‘фундаменталним принципима’” (Wellek 1966, 180, 183; Warton 1774, 1: 7). Његова највећа заслуга је у свесном и методолошки утемељеном приступу историји националног песништва. Тиме је, како истиче Велек, „показао пут” којим „права књижевна историја” у Енглеској треба да се развија (Wellek 1966, 180). А посебну тежину, дубину и нови подстицај овом приступу донео је његов далеко познатији савременик.

### 3. Џонсоново историјско гледиште

Енглеска књижевна сцена 18. века незамислива је без Семјуела Џонсона (Samuel Johnson, 1709–1784). Ауторитет који је он стекао у књижевности проистиче из његове дуготрајне, плодне и веома утицајне критичке и стваралачке делатности, која је кулминирала најпре *Речником енглеског језика* (*A Dictionary of the English Language*, 1755), а потом и *Животима песника* (*Lives of the Poets*, 1779–1781) – његовим најпознатијим и најзначајнијим делима.

Као књижевни критичар, Џонсон и временски и идејно припада неокласицизму 18. века, чији су представници, трајно загладени у велике ауторитете антике, имали претежно сужен и статичан поглед на књижевну прошлост. Ипак, Џонсонова изузетна ерудиција, критичка проницљивост и дубоко разумевање духа сопственог и других народа омогућили су му да у више наврата превазиђе уски неокласицизам и приближи се ширим схватањима књижевности и историје.

Џонсон је један од првих значајних књижевних критичара који, барем када је реч о историјском погледу на књижевност, одступа од доминантних ставова својих савременика. Његови бројни погледи одсликавају књижевнокритичку свест која је по много чему атипична за 18. век и не могу се свести на узгредна запажања или случајне досетке његовог проницљивог и разгранатог ума. Да би се прецизирао његов значај у контексту романтичарске књижевне историографије, треба имати на уму да је он, како истиче Велек, „био не само дотакут, већ и дубоко уплетен у свеопште буђење историјског чула” (Wellek 1955, 1: 101). Свест о насумичности и променљивости историјског тока, као и склоност ка критичком

релативизму као једном од темељних својстава модерне књижевне историографије, приметни су код Џонсона у бројним појединачним коментарима. Иако та запажања нису увек систематизована, њихов значај у иницирању прекретничких књижевноисторијских идеја не може се занемарити. Да би се та улога потпуније сагледала, потребно је најпре објединити Џонсонове кључне рефлексије о прошлости у ширем смислу, а затим и његове ставове о значају повесног момента и динамичког тока у књижевној критици и херменеутици. Управо таква анализа приближиће суштину његове укупне књижевноисторијске мисли.

Џонсонов допринос буђењу историјског чула заснива се на просветитељској учености и дубокој моралној продуктивности, које су обликовале његов особен поглед на историју као такву. Природе прошлости и карактера њених догађаја дотакао се он на више места, а његов општи став према тој теми може се сагледати кроз један од његових есеја, објављених у угледном енглеском књижевном часопису *Пустолов (The Adventurer)*. Овај краћи оглед започиње Џонсон освртом на Локово емпиријско начело које одбацује постојање урођених идеја. Тиме имплицитно прихвата становиште да не постоје унапред задати биолошки или психолошки принципи по којима би се природа човека, његова прошлост и култура могли трајно мерити и вредновати. Такво филозофско полазиште омогућава Џонсону да релативизује сваки вид историјског, научног или књижевног детерминизма, што постаје основа његовог ширег схватања историје. Ово гледиште он формулише у следећем исказу:

При првом походу на интелектуални свет, сви марширамо заједно једним мореузом и једним путем; али, како идемо напред и шири видици се указују нашем погледу, свачије око се фиксира на другачији приказ; разилазимо се другим путевима и, како се крећемо напред, бивамо све удаљенији једни од других. Како неко питање постаје све сложеније и релевантније, и задобије још више релација, умножиће се утолико више несугласица у мишљењу, не зато што смо ирационални, већ зато што смо коначна бића, опскрбљени другачијим сазнањима, [...] и свако од нас пореди оно што посматра другачијим критеријумом, одређујући му другу сврху (Johnson 2021, 88/*Adventurer* no. 107)<sup>5</sup>.

<sup>5</sup> Џонсонова дела у овом раду цитирана су према издањима Универзитета Јејл (Yale University). Више детаља у списку литературе на крају рада.

Уколико прихватимо да наведени исказ делимично одражава Џонсоново опште историјско гледиште, може се закључити да је он у знатној мери релативизовао и ублажио своје неокласицистичке ставове, иако су они остали трајно укорењени у основи његове књижевне теорије и критике. Када је, пак, реч о његовим стриктно књижевним увидима, историјски релативизам постаје уочљив већ у раној фази његове критичке делатности.

Већ 1745. године, у време када велике промене у европској књижевној свести још нису биле на видiku, Џонсон објављује свој коментар о Шекспировој драми *Магбет*. На самом почетку тог текста, он показује историјски релативизам једним недвосмисленим тврђењем: „Да би се тачно процениле способности и вредност неког писца, увек ваља проучавати дух његовог доба и мишљења његових савременика” (Johnson 1986, 254). Упркос категоричности наведеног исказа, Џонсонов примарни циљ у овом тексту није да свесно утемељи нови критички приступ историјском разумевању књижевности, већ да оправда употребу надреалних, магијских елемената у Шекспировој драми – конкретно, појаву вештица. У складу са историјским релативизмом, Џонсон тумачи драмски поступак великог песника као одраз владајућих уверења у његовом добу: Шекспир је, једноставно, следио доминантне духовне и културне ставове свога времена – што је нужно имати у виду приликом вредновања његових дела. Џонсон овај став поткрепљује позивањем на *Демонологију* (*Daemonologie*, 1597) енглеског краља Џејмса I, у којој се, како истиче, износи „веома формалан извештај о праксама и обманама злих духова, службеним споразумима вештица, церемонијама којима се оне служе, начину њиховог разоткривања и правди у њиховом кажњавању” (257). О томе колико су овакви искази на почетку 17. века схватани озбиљно, сведочи и чињеница да је енглески парламент у то време усвојио закон који је налагао сурово кажњавање сваког вида „вештичарења”, додаје Џонсон. Навевши одређене чланове тога закона, он закључује у књижевноисторијском духу да није нимало чудно што је Шекспир, управо у том раздобљу, када је „доктрина вештичарења била истовремено утемељена и законом и модом”, написао драму у којој су „сцене магијске зачараности, колико год их сада исмевали, он и његова публика сматрали ужасним и потресним” (257–258). Изнетим гледиштем удаљава се Џонсон од устаљене неокласицистичке конвенције, према којој се књижевни текст вреднује на основу помодних естетичких предрасуда, те се оштро осуђује све што одудара од актуелног укуса. Уместо тога, он настоји

да разуме Шекспира и његове савременике у светлу њиховог времена, што му омогућава да превазиђе површну реакцију и субјективну процену.

Историјском контекстуализацијом својих проницљивих увида, Џонсон оснажује свој критички суд и показује да озбиљна књижевна критика мора почивати на чврстом темељу књижевне историје. Та основа укључује: приказ ширег духовног оквира једног раздобља, релативизацију аргумената заснованих на предрасудама, као и филолошку објективизацију вредносних судова на основу фактографске утемељености и разумског расуђивања.

### 3.1. Историјска свест у Џонсоновим главним делима

Џонсонов осећај за важност динамичног историјског развоја у проучавању филолошких појава није ограничен на књижевну критику. У предговору *Речника енглеског језика*, он дијахронијски сагледава лингвистичке феномене, истичући оно што ће касније постати кључна претпоставка романтизма – да језик настаје и развија се вербалним путем: „све речи су изговаране пре него што су записиване”, и то „веома разнолико” (Johnson 2021, 398). Управо овакво полазиште он наводи као основни разлог за појаву бројних дијалеката једног народа. Поред тога, он подробно разматра и етимологију, настојећи да утврди јесу ли одређене речи ушле у енглески језик из латинског или француског језика. На основу тих анализа закључује да у енглеском има „неколицина латинских речи”, али да њиме доминирају француске позајмљенице „које су доста удаљене од латинског” (399). Етимолошка сазнања користи он и у ситуацијама када настоји да утврди правилну ортографију појединачних речи. Иако отворено признаје да етимолошки корен речи не може увек бити поуздано утврђен, Џонсон и даље доследно примењује дијахронијски приступ као основу свог метода. На тај начин, целокупну методологију при изради *Речника* оплемењује он историјским увидом, што додатно поткрепљује етимолошким разматрањима: „Веома је важно, при испитивању општег устројства [fabrick] једног језика, пратити настанак једне речи из друге освртањем на уобичајене начине извођења речи и њихових промена” (401). И поред јасне свести о значају дијахроног развоја језика, Џонсон остаје одан темељним неокласицистичким уверењима. За њега, „сваки језик има време сировости које претходи савршености” (409), чиме афирмише линеарно-прогресивни ток у развоју језика. Међутим, он се повремено дистанцира од претеране једноставности оваквог схватања, наглашавајући улогу скривених, спорих, али делотворних фактора у

историјским променама: „други узроци промене [...] су, мада спорог деловања и невидљивог напредовања, можда једнако супериорни” (414) у прогресивном развоју језика.

Деценију након објаве *Речника*, Џонсоново књижевноисторијско становиште додатно се искристалисало и учврстило. Његов развијени осећај за књижевноповесну динамику најбоље се огледа у чувеном *Предговору (The Preface)* Шекспировим делима из 1765. године. Већ на уводним страницама тог текста он примећује да су Шекспирова дела „прошла кроз варијације укуса и промене манира, док су преношена од једне генерације до друге, задобијајући нове почасте при свакој предаји” (426). Иако се овај суд односи на општу читалачку рецепцију, он јасно одсликава Џонсонову свест о комплексној динамици различитих – социјалних, духовних и књижевних – фактора који делују у сваком историјском раздобљу<sup>6</sup>. С друге стране, у једном од својих апологетских иступа у овом тексту, Џонсон поново прибегава историјском релативизму како би свога сународника заштитио од једностраних и преоштрих критичких судова, што је наговештено следећим тврђењем: „Да би се било чије драме тачно оцениле, морају се упоредити са временом у којем је писац живео и са његовим особитим приликама” (440). Овај став представља темељ за успостављање ширег контекстуалног оквира и објективнијег вредновања дела великог аутора. У сличном маниру, Џонсон додаје следеће: „Они које моји аргументи нису убедили да дају позитиван суд о Шекспиру, лако ће, уколико узму у обзир услове његовог живота, учинити уступке због његовог незнања” (439).

Наведеним исказом успоставља Џонсон континуитет са својим књижевноисторијским аргументима из 1745. године, када је стао у одбрану *Магбета*. Као и тада, он не пружа само теоријске савете, већ и на конкретном примеру примењује свој историјски приступ, показујући практичну вредност историјског метода у књижевној

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<sup>6</sup> Треба одмах напоменути да бројним другим коментарима Џонсон показује приврженост неокласицизму: „Ништа не може задовољити већину и на дуге стазе осим верног представљања опште природе” (Johnson 2021, 426); као и у често цитираном суду да је Шекспирова драма „огледало живота” (428), те у дефиницији поезије која је формулисана у духу познатог Хорацијевог диктума: „Поезија је вештина сједињавања задовољства са истином тако што се машти призове помоћ разума” (688). Међутим, ови класицистички ставови не умањују Џонсонова критичка расуђивања, што се види из исказа да добра поезија захтева „моћ инвентивности, или снагу осећања” (684).

критици и конзистентност својих ставова. Разматрајући Шекспирово образовање, које је сматрао скромним, Џонсон констатује: „Мада је италијанска поезија тада била високо цењена, близак сам уверењу да је он читао мало тога што није на енглеском, а за своје приче бирао је оно што је налазио у преводу [на енглески]” (443). И овим коментаром уважава Џонсон историјски релативизам у књижевној критици. Иако није формално систематизован, овај приступ код њега често се јавља у својству снажне потпоре његовим проицијивим и увек убедљивим критичким судовима, чиме проширује и продубљује схватање књижевних појава у њиховом историјском контексту.

Ако се има у виду да *Животи песника* (1779–1781) тематски припадају књижевној историографији, онда позни период Џонсоновог стваралаштва означава зрелу фазу његових књижевноисторијских погледа. Иако су у овом делу примарни биографија и књижевна критика, „оно садржи имплицитну шему историје енглеског песничтва претходног века” (Wellek, 1955, 1: 102). Џонсонов приступ приказу живота одабраних песника у целини је историјски конципиран. Он опсежно и темељно предочава конкретне историјске околности које су непосредно утицале на развој песничког духа појединца и настоји да тако успостављен след доследно прикаже до краја. Његова намера је да свако песничко остварење историјски контекстуализује – јасним осликавањем околности релевантних за настанак и дух тог дела – пре него што приступи унутрашњој књижевнокритичкој анализи. Поред тога, он се изнова враћа идеји историјског релативизма, којом најчешће критикује или оправдава стваралачке поступке песника које разматра. Иако су ти коментари спорадични, они одсликавају његову већ чврсто утемељену свест о суштинским аспектима књижевне историје у овом зром периоду његовог деловања.

У поглављу о „Каулијевом животу” (*Life of Cowley*) образлаже Џонсон појаву такозваних „метафизичких песника” у Енглеској, које смешта у специфичан контекст 17. века и којима приписује „довитљивост” (*wit*) као кључну креативну особину, подложну историјским променама. Он истиче да је она, „као и друге ствари, по својој природи подложна човековом избору, променама и у различитим временима има различите облике” (Johnson 2021, 600). Овим нагласком на динамичности и условљености стваралаштва различитим факторима извесног времена, Џонсон показује свој већ зрео и прецизан осећај за релативизам историјских појава. Такође критикује метафизичке песнике да „нису успешно представили или

потакли људска осећања.” За њега, они нису писали као „саучесници људске природе, већ као њени посматрачи. [...] Њихова тежња била је да кажу оно чему су се надали да већ није речено” (602). Да би поткрепио овај вредносни суд, Џонсон се поново ослања на историјски релативизам као кључни аргумент: појава коју описује десила се управо у том историјском тренутку и карактеристике које је попримила последица су променљивости средине и људи тог доба.

Иако не продубљује ову историјску аргументацију (на пример, не упушта се у полемику зашто су баш у 17. веку у Енглеској околности биле такве), Џонсон се у каснијем делу истог поглавља поново ослања на историјски релативизам приликом критике Каулијеве поеме *Давидије* (*Davidais*). Његова изражена историјска осетљивост долази до пуног изражаја када указује на сложеност адекватног приказа библијских личности и догађаја, што Каули није имао у виду док је стварао своје опсежно дело. Џонсон свој суд темељи на сопственој читалачкој интерпретацији сакралног текста:

Не ради се само о томе да фантазија и измишљање [fiction] губе ефекат; читав тај систем живота, док је теократија још била видљива, има тако различит изглед од свих других приказа људских радњи, тако да читалац *Свете књиге* [Sacred Volume] гледа на њу као на особит начин постојања посебне врсте људског рода, који је живео и деловао са неизрецивим манирима; према томе, тешко је чак и машти да нас доведе у стање оних чија прича је испричана, и самим тим њихова срећа и туга не могу се лако усвојити, нити се наша пажња често може заокупити било чиме што их задеси (631).

За разлику од својега сународника, Џонсон показује јасну свест о несагледивој временској удаљености библијских догађаја, која условљава за савременог човека тешко схватљиве обичаје и обрасце понашања. Управо ово истиче у контексту оштре критике Каулија, који се, према његовом схватању, непромишљено прихватио изузетно захтевног задатка да уметнички тематизује космогонијске ликове и догађаје. Наведени одломак сведочи о Џонсоновом истанчаном осећају за сложеност и разноликост удаљених историјских периода. За разлику од Вортона, он често напушта тесне класицистичке оквире и, ослањајући се на своју широку литерарну ерудицију, доноси врло одмерен критички суд.

Успешну тематизацију библијских ликова и догађаја у дело је спровео његов сународник Милтон, коме Џонсон посвећује посебно

поглавље у *Животима песника* (Life of Milton)<sup>7</sup>. Свест о значају историјског релативизма овде га, међутим, није спречила да овом великом песнику замери на „пуританској суровости манира“ (652). Премда усредсређен на општу биографију Милтона, Џонсон детаљно анализира околности под којима је настала његова епохална поема *Изгубљени рај* (*Paradise Lost*), посебно имајући у виду погоршано здравље песника у том периоду. При томе придаје значај запажању да је у Милтоново време „превладало мишљење да је свет у фази одумирања“ у погледу природног окружења, што се негативно одразило на уметничко стваралаштво (672). Мада је лично био скептичан према објективној валидности ове аналогије, Џонсон придаје велику важност приликама тог доба. Сличан аргументативни ток примењује и када, оповргавајући тврђења да је *Изгубљени рај* имао слабу почетну рецепцију, закључује да су „домишљатост и књижевност били на страни краљевског двора“, додајући да „они који немају моћ да о минулим временима суде друкчије него на основу свог, увек треба да сумњају у своје закључке“ (676). Даље, он истиче да су у Милтоново време људи посвећивали мање времена читању, што потврђује чињеницом да се у периоду између 1623. и 1664. године објављена свега два издања Шекспирових дела (675). Све ове појединости бележи Џонсон у духу свог дубоког уверења да „историја снабдева писца рудиментима приповедања, које он унапређује и узвисије племенитом вештином“ (688). Иако не повезује директно време настанка поеме и њене радње, Џонсон не губи из вида континуитет опште и националне књижевне традиције, истичући да Милтонов магнум опус „није највећа епска песма само зато што није прва“, односно да су „његова поређења мање бројна али више разнолика него код његових претходника“ (702, 694). У овом случају, његов историзам долази до изражаја управо у практичној критици, која представља срж његовог књижевног деловања.

Приказујући „Поупов живот“ (Life of Pope), Џонсон се превасходно усредсређује на врло конкретне историјске околности – пре свега политичке, филозофске и књижевне несугласице и полемике између Поупа и његових савременика – које су непосредно утицале на настанак најпознатијих дела овог значајног

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<sup>7</sup> Иначе поприлично оштар у свом критичком приказу Милтонове биографије, Џонсон веома високо оцењује вредност *Изгубљеног раја*. Успех тог дела, између осталог, приписује великој количини „акумулираног знања“ које је „прерадио ум“, а „узвисила машта“ песника (696).

енглеског песника доба просвећености. И у овом тексту тежиште Џонсонове критике почива на што јаснијем и темељнијем представљању, по његовој оцени, релевантних околности за Поупово стваралаштво у целини, при чему не занемарује ни привидно споредне детаље. Међутим, он ни у једном тренутку не постаје непотребно ситничав у придавању значаја конкретним биографским чињеницама. Напротив, вредност тих чињеница огледа се у тежини и снази његових критичких судова, који управо на основу њих добијају на уверљивости. Тако, већ на самом почетку овог одељка, Џонсон проналази духовну повезаност између Поупа и Драјдена, истичући важност коју је Драјден имао за Поупов духовни и уметнички развој – што је хипотеза којој ће се вратити у завршним деловима овог одељка. На почетку истиче он да је Поуп

убрзо запазио Драјденово стихотворство, које је за њега било узор који треба изучавати, и стекао је такво поштовање према своме учитељу да је убедио једног пријатеља да га одведе у гостионицу коју је Драјден посећивао, и било му је драго што га тамо види. Драјден је умро 01. маја 1701. године, десетак дана пре него што је Поуп напунио дванаест година, те овај мора да је већ тако рано осетио снагу хармоније, жар генија. [...] Тврдио је да је поезију научио од Драјдена, кога је, кад год му се за то указала прилика, безрезервно хвалио током читавог живота; и можда би се његов карактер могао донекле осликати, када би се упоредио са његовим учитељем (705).

Један од најречитијих примера Џонсоновог историјског становишта јавља се у његовој одбрани Поуповог превода Хомерове *Илијаде* од критичара који су му замерали да не преноси оригиналну свежину и дух античког песника. Џонсон, међутим, скреће пажњу да, иако се оваква примедба делимично може прихватити, пре него што се донесе вредносни суд, неопходно је сагледати „природу језика” на који је дело преведено, као и остале одлучујуће чиниоце: „облик нашег метра” и, изнад свега, „промене које су две хиљаде година учиниле у начину живота и навикама мишљења.” Као посебно упечатљив пример Џонсон наводи Вергилија, који је, иако је писао на језику блиском Хомеровом, уочио да је „стање света толико промењено, а захтев за елеганцијом толико повећан”, да се морао знатно удаљити од оригиналне непосредности свога узора.

Из ових запажања Џонсон извлачи јасну логичку консеквенцу: „У процесу учења, сви писци првобитних народа били су једноставни; свако доба напредовало је у елеганцији. Једно

побољшање увек отвара пут другом, и оно што је било корисно Вергилију постало је нужно Поупу” (783). Иако је овај суд осетно интониран прогресивистичком логиком неокласицизма, Џонсон своју апологију Поупа утемељује управо на историјски сензибилном и аргументованом приступу. При томе подсећа да је Поуп „писао за своје доба и своју нацију”, те је стога „знао да мора прилагодити слике и осећања оригиналног аутора”, због чега је „постигао грациозност, али је изгубио нешто од узвишености” (784). У складу с ранијим примерима, и овде је историјски релативизам у функцији одбране стваралачке уникатности великог песника, коју Џонсон оцењује унутар реалног културно-историјског оквира.

Његов наглашено историјски аналитички метод долази до изражаја и у завршници овог поглавља, где – поводом Вортоновог питања: „Да ли је Поуп био песник?” – Џонсон предлаже критеријум заснован на општем књижевноисторијском консензусу. Он позива да се „погледа на садашње време и назад на прошло”, те да се „испита коме је глас човечанства наменио венац поезије” и да се, најзад, „анализирају њихова дела и наведу њихова тврђења.” Тек тада „Поупове претензије више неће бити довођене у питање” (790). Овим завршним судом Џонсон још једном потврђује да је књижевноисторијски приступ кључан за разумевање, вредновање и афирмацију песничке величине.

#### **4. Енглеска књижевна историја у 18. веку**

Претходно приказано истраживање, ограничено на одабране исказе и методолошке приступе из најважнијих дела двојице кључних критичара, показало је у знатној мери развијено историјско чуло у Енглеској друге половине 18. века. Опште узев, генеза књижевноисторијског развоја може се пратити од средине па све до последњих деценија овог периода, када се код водећих књижевних умова ове земље историјска свест у великој мери већ уобличила. Иако још увек није постојала систематично осмишљена национална књижевна историографија, у оквиру посматраног периода јављају се важне тенденције обновљеног схватања националне књижевне историје и историје човечанства уопште. Те тенденције су код неких водећих књижевних ауторитета Енглеске, попут Вортона и Џонсона, изражене у различитим контекстима и различитим регистром, али им је крајњи ефекат водио ка истом циљу – припремању темеља за постепено конституисање књижевне историографије у духу предромантизма.

У поређењу са својим континенталним суседима, Енглези су за такав подухват имали извесну предност, имајући у виду њихов

специфичан географски положај који им је кроз већи део историје обезбеђивао релативну изолованост и економски просперитет. Током 18. века могли су се позвати на дугу националну, културну и књижевну традицију, која је посебно заблистала током ренесансе и барока. Стога је Томас Вортон већ средином века препознао потребу за националном књижевном историјом и прихватио се амбициозног задатка да свом народу подари такво дело. Његов вишетомни подухват *Историје енглеског песништва* представља до тог тренутка најопсежнији и најзначајнији покушај да се сачини историја књижевности енглеског народа. Одликују га јасна ауторска намера и промишљен методолошки приступ, у оквиру којег је Вортон систематизовао обимну грађу ослањајући се на концепт линеарно прогресивног развоја, који се, у складу са логиком просветитељства, одвија од варварства ка углађености, а најјасније се одражава у књижевном језику и друштвеним манирима. Вортоново дело представља значајан помак у односу на доминантно неокласичарско виђење књижевне историје, ограничено на античке узоре, чиме овај научник осветљава пут развоју националне књижевне историографије. Његов најважнији допринос, међутим, употпуњује и надограђује његов значајнији савременик – Семјуел Џонсон.

Џонсонов историзам представља нераскидиви део његове свестране књижевнокритичке делатности, која је обележила енглеску литерарну сцену 18. века. Иако на први поглед његова критика делује утемељена у неокласичарским нормама, Џонсон сва своја критичка разматрања заснива на богатој књижевној ерудицији у којој историјски увид има централно место, што га издваја од бројних савременика. Најпре, Џонсон доследно примењује историјски релативизам, подсећајући своје читаоце да се критеријуми савремености не могу олако применити на давна раздобља. Иако у својим теоријским разматрањима естетике и композиције често остаје веран неокласицизму, историјски контекст је за њега темељ сваког дела – и, штавише, основна претпоставка ваљане критике. Ово се најјасније огледа у његовом капиталном делу *Животи песника*, које представља врхунац његовог књижевноисторијског ангажмана. Иако фокус овог дела чине биографије песника, целокупан приступ конципиран је изразито историјски. Џонсон најпре темељно излаже конкретне историјске околности у којима је неко песничко дело настало, чиме ствара предуслов за критичку анализу. Чак и када не говори непосредно о историји књижевности, Џонсонова критика обилује историјском свешћу и контекстуализацијом. Његов допринос

будућој романтичарској историографији огледа се управо у овом методолошком приступу<sup>8</sup>. Да историјска компонента код Џонсона није тек спорадична појава, показују и његови остали радови – попут *Предговора* Шекспировим делима, где историјским релативизмом брани драмског великана од негативних критика, или *Речника енглеског језика*, у којем дијахронијски приступ чини методолошки темељ. Историјска свест продире и у његове бројне критичке прилоге објављиване у угледним енглеским књижевним часописима.

Напоследку, може се тврдити да су Вортонов и Џонсонов рад на пољу књижевне историје представљали значајан искорак у односу на дотадашње схватање литературе, поставивши чврст темељ за даљи развој националне књижевне историографије. Њихови појединачни увиди, али и целовита дела која су оставили иза себе, означили су прекретницу у начину сагледавања књижевне прошлости. Њихов историјски ангажман, иако под утицајем просветитељског духа, антиципирао је методолошке поставке романтизма. Управо у том, новим сензибилитетом обликованом историјском приступу, будући романтичари – пре свих Вордсворт и Колриџ – налазе духовни ослонац за сопствено стваралаштво у којем историјска компонента има наглашену улогу (посебно у Вордсвортвом утицајном *Предговору Лирским баладама*). Зато сва даља истраживања у области енглеске, па и европске књижевне историографије, не смеју прескочити значајан допринос ове двојице просветитеља.

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<sup>8</sup> Утицај Џонсоновог биографизма и историзма видљив је и код наступајућих аутора који су се бавили овом тематиком, попут Роберта Андерсона (Robert Anderson) у *Делима британских песника* (*Works of the British Poets*, 1795), Александра Чалмерса (Alexander Chalmers) у *Делима енглеских песника од Чосера до Каупера* (*Works of the English Poets from Chaucer to Cowper*, 1810) и Вилијама Хазлита (William Hazlitt) у *Одабраним енглеским песницима* (*Select English Poets*, 1824). Детаљније о томе в. у чланку Ејприл Лондон (London 2004, 95–113).

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### ENGLAND'S CONTRIBUTION TO LITERARY HISTORY IN THE EIGHTEENTH CENTURY

This paper examines the perspectives, insights and judgments of Joseph Warton and Samuel Johnson concerning both literary history and historical thought more broadly. Recognised as leading critics of the English literary scene during the Enlightenment, Warton and Johnson are particularly relevant to this study for two main reasons. First, their reflections on literary history anticipate the later Romantic conception of the discipline as a dynamic and evolving process – an understanding that contrasts sharply with the prevailing Neoclassical view, which regarded literary history as confined to the authoritative models of ancient Greece and Rome. In this respect, both critics may be seen as transitional figures whose ideas helped prepare the intellectual ground for a more historically conscious literary criticism. Second, both authors produced significant works in the field of literary history, which are analysed in detail in this paper. These texts not only engage with the literary achievements of past writers but also demonstrate an emerging sense of literary development over time. From these works, key historical insights are identified and discussed. Based on this analysis, the paper offers a general assessment of their contributions to the development of literary history.

According to the renowned literary historian and critic René Wellek (1903–1995), both Thomas Warton and Samuel Johnson reached the height of their literary output at a time when historical consciousness in England was still emerging. In the latter half of the eighteenth century, their works contributed significantly to reshaping the prevailing Neoclassical understanding of literary history. Warton, for instance, published *Observations on the Fairy Queen of Spenser* (1754), which laid the foundation for his seminal work, *The History of English Poetry* (1774–1782). At the time, this was considered the most comprehensive study of national literary history in England.

Warton's central aim was to trace the development of English poetry from the Norman period to the present, conceptualising it as a linear progression

through three broad stages: the primitive, the imaginative and a final stage that synthesised imagination and reason. He viewed literary history as evolving from the barbarism of earlier periods toward the refinement and polished manners exemplified by the Elizabethan era. For Warton, the Enlightenment of the eighteenth century represented the pinnacle of literary and cultural sophistication, a quality reflected in the language of its most exemplary works.

Although Warton's critical views were largely shaped by Neoclassical principles, particularly in their emphasis on literature's social dimensions, his choice of subject matter, methodological rigour and the scale of his scholarship marked a significant contribution to the emerging field of national literary history. Rather than merely compiling a vast body of material, he structured it according to a coherent vision of linear historical development – a guiding principle in his research. As such, Warton stands as a foundational figure and early catalyst in the development of English literary historiography, although an even more decisive impetus came from his prominent contemporary, Samuel Johnson.

Johnson stands as a central literary figure of English Neoclassicism. While his literary views are rooted in the intellectual traditions of the period, they are not confined to Neoclassical doctrine. His critical insights derive from a combination of broad scholarship and penetrating wit, and are underpinned by a well-developed historical sensibility. This historical awareness is most clearly reflected in his major works, including *A Dictionary of the English Language* (1755), *Preface to Shakespeare* (1765) and *Lives of the Poets* (1779–1781).

In his approach to literary history, Johnson diverges in significant ways from many of his contemporaries. His numerous observations on literary historiography, informed by historical relativism, are not merely the byproducts of a sharp intellect. Rather, they reflect a coherent understanding of history as a continuous and dynamic process, with each literary period shaped by its own specific context. From this perspective, Johnson often invokes historical relativism to defend certain authors – most notably Shakespeare – against rigid Neoclassical criticism. He argues unequivocally that Enlightenment-era principles of criticism cannot be applied universally to works from earlier periods. These views are not limited to Johnson's major writings; they also appear in many of his shorter critical essays, such as those published in the *Adventurer*. A central tenet of his argument is that history is not a static record of the past, but a dynamic and evolving phenomenon. This ongoing change is evident in language, culture and literary production.

Johnson's historical perspective also informs the methodology of his *Dictionary*. He emphasised the value of a diachronic approach to linguistic research, recognising that language evolves over time. In the preface to the *Dictionary*, he stresses the oral origin of words and the variation in pronunciation among different speakers. This insight, which anticipated important principles of Romantic poetics in the early nineteenth century, helped him explain the emergence of dialects and regional linguistic differences. The *Dictionary* thus demonstrates that Johnson's historical sensibility extended beyond literary criticism to include his work in linguistics.

This does not mean, however, that Johnson abandoned his Neoclassical views. He still holds to many of its main tenets and, similarly to Warton, believes in a linear progression when it comes to the development of English. As the language progresses through time, its words become more polished, which for him represents a cultural improvement on a national level. But he does not allow Neoclassicism to limit his views by showing awareness for consistent change brought about by numerous social and other factors.

Johnson's historical sensibility is fully realised in his magnum opus, *Lives of the Poets*, a work that, despite its biographical focus, may be regarded as a contribution to literary historiography. In it, he offers a comprehensive account of the historical circumstances that shaped the lives and works of the poets that he examines. His method involves presenting a detailed historical context for each poet's oeuvre before engaging in critical commentary on the language and structure of their works. At times, Johnson employs a form of historical relativism, either to excuse perceived flaws in a poet's work or to shed light on obscure or difficult passages. Although his historicism may appear subordinate to his Neoclassical aesthetic principles, a historically informed perspective permeates the entire volume. His principal aim is to furnish essential biographical and contextual details in order to establish a solid historical foundation for literary analysis. For instance, in the chapter "The Life of Cowley", Johnson discusses the emergence of the Metaphysical poets in seventeenth-century England, emphasising the unique historical circumstances that gave rise to this poetic movement. He argues that the distinctive qualities of these poets were deeply rooted in the particularities of their time, which enabled them to express themselves in ways that diverged from their predecessors. Johnson ultimately contends that their immediate historical milieu was a decisive factor in their development. His historical awareness is also evident in his critique of Cowley's *Davideis*, a poem that incorporates Biblical themes. Acknowledging the temporal and cultural distance between Cowley and the world of the Bible, Johnson highlights the inherent challenges faced by poets who attempt to represent such remote and complex subject matter.

This historical context was well understood by Milton, whose major work *Paradise Lost* was highly esteemed by Johnson and whose life is treated in detail in the section titled "The Life of Milton". While the primary focus of this chapter remains biographical, Johnson also undertakes a careful examination of the historical circumstances in which *Paradise Lost* was composed, identifying the prevailing spirit of the age as a formative influence on Milton's creative vision. By citing various pertinent historical factors, Johnson articulates his firm belief that history provides writers with the foundational material from which their works emerge. Moreover, he demonstrates an acute awareness of the continuity of literary tradition by comparing *Paradise Lost* with classical epic poems of earlier eras. This comparison represents a notable instance in which Johnson employs historical reasoning as a tool of practical criticism.

Johnson's capacity to employ historical evidence as a foundation for literary criticism is particularly evident in "The Life of Pope". In this chapter, he

offers a detailed examination of the poet's political and philosophical milieu, identifying it as a crucial influence on Pope's major works. Consistent with his broader critical method, Johnson emphasises the importance of contextualising literary production by providing as many relevant historical details as possible before proceeding to textual analysis. Furthermore, Johnson establishes a clear line of literary-historical continuity between Dryden and Pope, asserting that the former exerted a decisive influence on the latter. This relationship constitutes one of Johnson's central theses regarding Pope, and he returns to it repeatedly throughout the chapter. He notes that Pope, even in his youth, was deeply influenced by Dryden and consciously sought to model his poetry on that of his predecessor – an influence Johnson deems essential to understanding the formation of Pope's poetic identity. The chapter also illustrates Johnson's use of historicism and, more specifically, historical relativism in his defence of Pope's translation of Homer's *Iliad*. Responding to critics who claimed that the translation failed to preserve the original's authenticity, Johnson partially concedes the point but argues that these assessments often neglect crucial historical considerations. He highlights the vast temporal and cultural distance between Homer's era and that of Pope, emphasising that significant changes in language, customs and literary expectations inevitably shaped the translation. These differences, Johnson argues, do not diminish the work's literary value. Finally, Johnson addresses the provocative question raised by Warton – whether Pope deserves to be regarded as a poet. Johnson firmly asserts Pope's status, but once again anchors his defence in historical reasoning. He urges his contemporaries to adopt a historical perspective and investigate who has been considered a poet throughout different periods, and for what reasons. In Johnson's view, the resolution of such questions lies in the combined application of historical research and practical criticism.

As this paper has demonstrated, the work of both Thomas Warton and Samuel Johnson played a pivotal role in cultivating historical consciousness in England during the latter half of the eighteenth century. Despite their adherence to certain Neoclassical principles, both scholars laid a substantial historical foundation for literary studies, producing works of enduring significance. Warton, in particular, recognised the importance of constructing a national literary history – an undertaking that directly influenced the development of later scholarship in the field. Johnson, for his part, employed historicism as a central methodology in both his linguistic and literary investigations, consistently grounding his critical judgments within a historical framework.

Both writers relied on historical relativism in their major works, a practice that enabled them to adopt a broader perspective on literary history and to offer more nuanced, contextually informed critiques of individual texts. More broadly, their historicism was shaped by a belief in the linear progression of the English language, literature and society over time. Their principal writings reflect a deep respect for history, through which they transcended the limitations of rigid Neoclassicism and advocated for a more dynamic and

historically rooted understanding of literature and literary tradition. In doing so, they helped lay the groundwork for the emergence of literary historiography in the subsequent century. Their influence extended well beyond their own century. The Romantics, particularly Wordsworth and Coleridge, inherited their concern with the historical and cultural foundations of literature.

**Keywords:** literary history, historical relativism, historiography, Neoclassicism, Enlightenment



## **(RE)EXAMINING THE AMERICAN DREAM IN BRET EASTON ELLIS' AMERICAN PSYCHO AND JEANINE CUMMINS' AMERICAN DIRT**

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**Abstract:** The American Dream has been affecting the writing manner of numerous (trans)American authors ever since the time of colonization. This paper consults multiple definitions of the American Dream and/or the American Nightmare, the notions often intertwined with each other. Further, the paper consults with transnational American literature to represent the American Dream of U.S. (im/trans)migrant authors. The main purpose of this paper is to scrutinize the American Dream in Bret Easton Ellis' novel *American Psycho* and Jeanine Cummins' (trans)novel *American Dirt*, and to discuss the ways in which the American Dream is being reversed – transformed into its antithetical (American) Nightmare.

**Keywords:** The American Dream, The American Nightmare, Transnational Literature, American Dirt, American Psycho

### **1. Introduction**

Ever since it was coined, the American Dream has been one of the most disputed ideologies in American culture. In the context of literature, it is closely linked with literary skepticism, as numerous authors have questioned the feasibility and moral aspects of the American Dream, frequently binding it to its unfavorable opposite, the American Nightmare. While focusing on Bret Easton Ellis' novel *American Psycho* and Jeanine Cummings' transnational novel *American Dirt*, this paper aims to scrutinize and juxtapose the representation of the American Dream in the two works, and especially to investigate the impact of the transnational movement on contemporary works such as *American Dirt*.

For a long time, the American Dream existed only as a myth (Su 2015) or a symbol of Americanness, while the first official definition

appeared in James Truslow Adams's *The Epic of America* (1931), where he defined it as "that dream of a land in which life should be better and richer and fuller for every man, with opportunity for each according to his ability or achievement"<sup>1</sup> (404). His clarification of the American Dream came forthwith after the end of the Jazz Age<sup>2</sup> marked with the Dream of gaining wealth in the context of literature. One of the best exemplifications is F. Scott Fitzgerald's *The Great Gatsby* (1925), as the novel implies that wealth does not guarantee happiness, portraying the American Dream as disillusionment (Cain 2020). Hence, Adams underlines that the American Dream should not be misconstrued as a tool for attaining affluence:

it is not a dream of and high wages merely, but a dream of a social order in which each man and each woman shall be able to attain to the fullest stature of which they are innately capable, and be recognized by other by what they are, regardless of their fortuitous circumstances of birth or position (1931: 404).

Among the numerous definitions of the American Dream, Martin Luther King Junior slightly (re)shapes this inaugural definition in his speech *The American Dream* (1964), where he brings up the issue of social injustice and discrimination directed against African Americans. His understanding of the American Dream implies equality, where no race or religion should determine whether one should pursue his/her American Dream:

It does not say some men, it says all men. It does not say all white men, but it says all men which includes black men. It doesn't say all Protestants, but it says all men which includes Catholics. It doesn't say all Gentiles, it says all men which includes Jews. And that is something else at the center of the American Dream which is one of the distinguishing points, one of the things that distinguishes it from other forms of government, particularly totalitarian systems. It says that each individual has certain basic rights that are neither derived from nor conferred by the state. They are gifts from the hands of the Almighty God (1).

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<sup>1</sup> This American Dream is rooted in the Declaration of Independence, which says that all people should have the rights to life, freedom and the pursuit of happiness.

<sup>2</sup> Or the Roaring Twenties.

Luther King, with his explication and (re)interpretation of the American Dream, implies that the problem of inequality exists, despite all the attempts to portray the United States of America as a place where everyone is equal and with the same opportunities. The history of the U.S. demonstrates otherwise, especially when considering slavery, which was race-biased, as slaves were mainly black people imported from Africa (Klein 2010). Besides that, Manifest Destiny implied that white Americans were superior<sup>3</sup> in relation to indigenous people (Horsman 1981). Although slavery was long abolished at the time of Martin Luther King Junior, the separation of Afro-Americans from white Americans was widespread, such as Harlem – the neighborhood in New York where black people lived (Edis & Bilem 2019). Hence, although the American Dream promotes equality, not all people living in the U.S. are genuinely equal and with the same opportunities. Indeed, many factors such as identity, race, skin color, religion and so on and so forth, became embroidered in the debate about the American Dream. Lawrence R. Samuel speaks about the relation between the American Dream and the Reversed American Dream/the American Nightmare, where he infers that the margin between the two is very delicate. In his words, the American Dream has

a dark side just as powerful as its positive side. For each and every American Dream, there is an American nightmare, this evil twin always lurking in the shadows when the country is going through interesting times, as the Chinese curse goes. In fact, the potential of an American nightmare was frequently conjured up since the very beginning of the Dream, not too surprising given that the phrase was conceived in the darkest days of Depression (2012: 9).

The antipodal dimension of the American Dream – the American Nightmare, is as real as the American Dream itself. While the American Dream promises equal chances for success to everyone, the American Nightmare, conversely

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<sup>3</sup> When we reflect on the period of colonization of the U.S., we can see that the first colonizers, especially Puritans, were described as self-centered with “race consciousness and sense of superiority” (Adams 1931: 35). Moreover, Manifest Destiny was not believed to be the work of men, but for Americans of the time “it was the hand of God that slew Indians for them” (Ibid).

represents a threat to all Americans. In fact, both books I proposed for analysis in this paper demonstrate how the American Dream transforms into its “evil twin” – the American Nightmare. In *American Psycho*, the American Dream, guided by desires, reverses the American Dream, while *American Dirt* depicts the struggle of migrants in their attempt to reach the U.S. in order to live the American Dream.

Contemporary approaches to the American Dream do not differ significantly to its original definition(s). However, Jim Cullen explains that there is no single understanding of the American Dream, even though it “might be summarized as a belief that anything is possible in some form if one wants it badly enough, the historical reality is one of a series of discrete, and sometimes competing, Dreams: The Dream of upward mobility, the Dream of home ownership, the Dream of racial justice, and so on” (2011: 19). For him, it is not a Dream, but a series of Dreams where each individual creates his own reality. Such a dream is not perfect as it is profoundly individual. In Cullen’s words, “there have been as many American Dreams as there have been Americans, and, thanks to immigration, American identity has been something as much imagined and acquired as it has been inherited, reborn with every new citizen” (2011: 20). On the other hand, Jeremy Rifkin scrutinizes the American Dream by comparing it to the European Dream:

The American Dream is far too centered on personal material advancement and too little concerned with the broader human welfare to be relevant in a world of increasing risk, diversity, and interdependence. It is an old dream, immersed in a frontier mentality that has long since become passé. While the American Dream is tiring and languishing in the past, a new European Dream is being born. It is a dream far better suited for the next stage in the human journey – one that promises to bring humanity to a global consciousness befitting an increasingly interconnected and globalizing society (2004: 3).

The American Dream does speak about equality, but that equality promises to everyone that they have a chance to live the Dream. The European Dream,<sup>4</sup> on the contrary, speaks of

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<sup>4</sup> Rifkin’s European Dream is the opposite of the American Dream, while he adds that The European Dream emphasizes community relationships over individual

a place where everybody is taken care of, from healthcare to high living standards. It is not a dream that is personal or individual, but collective. Thus, Rifkin illustrates that the American Dream is selfish, and that is actually demonstrated in Beret Easton Ellis' *American Psycho*. Yet, before delving into the scrutiny of the American Dream in the two selected works, it is necessary to reflect on the objective of transnational literature, as one of the books that we focus on, Jeanine Cummins' *American Dirt* narrates about the American Dream in a transnational context.

## 2. The American Dream in Transnational (Con)Text

The American Dream is interlinked with identity, especially as there is often debate about who is American and who is not. According to Carren Irr's book *Towards the Geopolitical Novel: U.S. Fiction in the Twenty-First Century* (2014), U.S. fiction is not defined by biographical markers such as citizenship, birthplace, workplace, etc., but the most important part "is an explicit effort to address a North American audience" (11). Selma Raljević establishes a classification or systematization of transnational American authors, where she sorts them into four categories, while all of them remain equally (transnational) American:

1. the writers who are not born in the U.S. but who eventually became the U.S. citizens, so their civic identity is, therefore, dual or multiple;
2. The writers who are 'natural born citizens' of the U.S. but who are the descendants of immigrants, or, more generally, the U.S.-born writers whose visionary or creative perception is, in any way, driven by a trans-American sense of identity, affiliation, and equality;
3. the Native American writers who are of mixed Native American and non-Native-American origin, and/or whose visionary and creative perception is in relation to transnational aesthetics, poetics, and realities in that that their narratives articulate, juxtapose, and/or theorize the various and multidirectional practices as well as sense of the trans-internal (among the Native American nations themselves) and

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autonomy, cultural diversity over assimilation, quality of life over the accumulation of wealth, sustainable development over unlimited material growth, deep play over unrelenting toil, universal human rights and the rights of nature over property rights, and global cooperation over the unilateral exercise of power (2004: 3).

the trans-external (between the Native American nations, or a certain Native American nation, and the non-Native American nation/nations) motion by migration, trade, and encounter while also keeping their Native American identity, affiliation, and culture strong; 4. the non-U.S. writers (in the matter of citizenship) who address a U.S. audience and write comparatively or solely about the U.S. (2020: 15).

Jeanine Cummins, well known for her works *A Rip in Heaven* (2004), *The Outside Boy* (2010), and *The Crooked Boy* (2013), falls into the second category<sup>5</sup> of transnational American authors because she is the descendent of an immigrant on account of her grandmother from Puerto Rico. Another element specific for transnational works, also present in Cummins' *American Dirt*, is the use of code-switching.<sup>6</sup> Rita Wilson describes bilingual authors of immigrant origin, who often use code-switching in their literary creation, as transcultural and translingual, since they are "adopting the special rhetoric of 'in-betweenness' as a discursive strategy" (Wilson 2018,55). Jeanine Cummins uses Spanish words and phrases throughout the English version of the book, such as "Mijo, ven" (1), "abuela's" (2), "mira" (2), "a balón de fútbol" (2), "la reina de mi alma" (37), "Oye, ¿adónde van, amigos?" (158), "Amigos, huy es tu día de suerte" (222), etc. With this, Jeanine Cummins projects Mexican, or rather, Latino American identity into the book by sympathizing with all Spanish-speaking readers, but she also reflects the (Latino American/Spanish speaking) identity inherited from her family. Moreover, the bilingual approach highlights the transnational nature of the novel, and the author's state of being "in-between" the two places, cultures, and languages.

The transnational turn in the 21<sup>st</sup> century generally has a strong impact on America and American literature due to numerous

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<sup>5</sup> Jeanine Cummins belongs to the group of transnational American authors, transnational Puerto Rican authors (due to her origin), but also transnational Mexican authors, as she addresses both the U.S. and Mexican audiences in her (trans)novel *American Dirt*. The book itself has a twofold identity; it was originally published in English by Flatiron Books, and then it was translated into Spanish by Laura Paz Abasolo as *Tierra Americana* (2020) and republished by Ediciones B. The book has both U.S. and Mexican identities as it describes events in both countries, and also, it addresses both audiences in their respective languages.

<sup>6</sup> Janet Holmes speaks about various reasons for the use of code-switching. One of them is to express one's identity and to show identification/empathy with speakers (Holmes 2013).

(im/trans)migrants. Hence, the U.S. is often referred to as a Melting Pot, or a Salad Bowl,<sup>7</sup> where migrants from different countries subsist while trying to pursue their American Dream(s). The number of Mexicans in U.S. is very high, and Mexican-American literature was at its peak in the last third of the 19<sup>th</sup> century, as the end of the Mexican War converted more than 80,000 Mexicans into U.S. citizens (Raymund 1993). Raymund A. Parades describes Mexican-American literature not as twofold, but hybrid, with elements of Mexican, Spanish, Indian, and Anglo, intertwined with each other (Ibid: 31). Whether it be Mexican-American (transnational) migrants,<sup>8</sup> or any other (im/trans)migrants such as Asian, African, European, and so on and so forth, the process of acculturation to the U.S. represents an inevitable endeavor. According to Wendi Wen Li, acculturation appears in forms of integration, assimilation, marginalization, and separation (2013: 33). Integration or “home-making” (Li 2013: 155),<sup>9</sup> the most common variety of acculturation, construes a new identity which is the combination of previous self – acquired at the country of (trans)migrant’s origin, and the new self – acquired at the new place, or the U.S. in this case (33). This is also the kind of acculturation interlinked with Jeanine Cummins’ identity, containing both the U.S. and Latino American segments.

### 3. The Portrayal of The American Dream in Jeanine Cummins’ novel *American Dirt*

*American Dirt* by Jeanine Cummins is a story about trauma, pain, fear, betrayal, crime, injustice, rape, violence, death, loss, exile, escape, migration, and so forth, but it is also a story about a new beginning. Mohamed Salah Mohamed Rabia observes *American Dirt* as a feminist dystopia, and Mexico as a possible dystopic site, but implies that the novel emphasizes “the importance of feminist struggle” (198). Comprised of thirty-six chapters, the novel narrates about Lydia and her

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<sup>7</sup> Melting pot and Salad bowl are two theories of acculturation, often linked to the U.S. The melting pot refers to a type of acculturation where migrants blend with the rest of the population in the U.S., emphasizing Americanization (Hirschman 1983). The Salad bowl, in contrast, celebrates the diversity of identities that migrants come with to the U.S., or the identities “that would otherwise be lost to assimilation” (Berray 2019: 143).

<sup>8</sup> And, therefore, transnational Mexican-American literature.

<sup>9</sup> Assimilation applies to migrants who suppress their original self; they fully blend in with the local community and/or dominant culture. Marginalization and separation, on the other hand, speak about migrants who never fully acculturate, but they isolate themselves by living on the principles and beliefs prominent in their home country (Li 2013).

eight-year-old son Luca, who run away from their home in Acapulco, after their family gets murdered by the local cartel owner. Mexico is represented as a dark and gloomy place where criminals can get away with everything, and even police officers follow instructions provided by the cartel leader. Following the extermination of her family, while still in shock, Lydia realizes that she must flee with her son. Otherwise, they would have the same destiny as the rest of the family, including Lydia's husband and Luca's father, Sebastián. Although initially clueless about where to go, they kept moving, as it was the only way to survive.

'Where will we go, Mami?'

Lydia gives him a sideways glance. Eight years old. She must reach past this obliteration and find the strength to salvage what she can. She kisses the top of his head and they begin to walk, away from the reporters, away from the orange car, Abuela's house, their annihilated life.

'I don't know *mijo*,' she says. 'we'll see. We'll have an adventure' (Cummins 2020: 22).

The novel does not immediately reveal their desired destination. The readers only know that Lydia runs away as far as possible. Later in the novel, it is revealed that Lydia and her son will go to the U.S.,<sup>10</sup> as her uncle lives there. So, for them, the choice to move to the U.S. is not merely an attempt for a fresh start where they would be safe from the cartel, but they would also be near to the closest thing to the family they have:

'We should go to *el norte*,' he says, because he suspects that's her plan anyway, and he wants to confirm that it's a good one, the only one, to get to a planet where no one can reach them.

'Yes.' Mami stands beside the bed in her jeans and robe. She seems to have lost track of what she was doing halfway through getting dressed. She seems both hurried and unable to move. 'We'll go to Denver,' she says after a moment (Cummins 2020: 52).

The United States of America, here referred to as *el norte*, or "the North", represents a haven, a place where Luca and Lydia can live without fear. The title *American Dirt*, or *Tierra Americana*, speaks of

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<sup>10</sup> Although initially planned to go to Denver, after (re)thinking, Lydia changes the final destination to Colorado (61). However, the epilogue of the book suggests that Luca and Lydia end up in Maryland.

(American) “dirt” or rather earth/soil/ground/land.<sup>11</sup> This is further confirmed in the book when Lydia, accompanied by other migrants, reaches the U.S. border, separated from Mexico by a tall fence; “she sticks her hand through fence and wiggles her fingers on the other side. Her fingers are in *el norte*. She spits through the fence. Only to leave a piece of herself there on American dirt” (360). Whereas the (con)text of the novel implies that it is a place of security and protection, outside the reach of Mexican cartels. That is further carried over into the portrayal of The American Dream in the book; it is not the Dream of obtaining wealth or immense success the American Dream is traditionally associated with, but a Dream of viability and hope. It is an unconventional Dream, unique for the (transnational) identity of *American Dirt*, but also shared with numerous Latino migrants forced to flee their homes.

The Dream, told from the perspective of an unwanted migrant,<sup>12</sup> is distant and difficult to reach, especially as there are no many options to enter the U.S. from Mexico. The only option Lydia and Luca are left with is *La Bestia* (the Beast), described as the train of death; “that journey is a mission of terror in every imaginable way. Violence and kidnapping are

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<sup>11</sup> Simply said, it refers to the geographical location of the United States of America, although in all probability, the author chose the word “dirt” because it is ambiguous and open for interpretation(s).

<sup>12</sup> In the novel, Lydia comments on the destiny of migrants, where she describes them as unwanted by the country of destination, or the U.S. in the case of the novel’s narrative. She feels unwanted as well, as she is now a migrant herself:

She and Luca are actual migrants. That is what they are. And that simple fact, among all the other severe new realities of her life, knocks the breath clean out of her lungs. All her life she’s pitied those poor people. She’s donated money. She’s wondered with the sort of detached fascination of the comfortable elite how dire the conditions of their lives must be wherever they come from, that this is the better option. That these people would leave their homes, their cultures, their families, even their languages, and venture into tremendous peril, risking their very lives, all for the chance to get to the dream of some faraway country that doesn’t even want them (113-114).

However, the narrative implies that she feels unlike other Mexicans as well (Sánchez Prado 2021). She owns a bookstore in Acapulco, but her clients are mostly tourists. Without them her work would not survive: “Tourism had always been the life blood in Acapulco, and the violence had scared most of those tourists away. She didn’t know how long she’d be able to keep the shop afloat if they didn’t return” (42).

endemic along the tracks, and apart from the criminal dangers, migrants are also maimed or killed every day when they fall from the tops of the trains” (93). Such a trip is dangerous, especially for women, which is exemplified by Soledad and Rebeca, the two migrant girls that befriended Lydia and Luca on the way to the U.S. Fifteen-year-old Soledad, with child (conceived as a result of rape) at the time Lydia meets her, also miscarries during that dangerous and long trip. There are other dangers and/or obstacles to achieving the American Dream in the (con)text of the novel, such as *la migra* (the border police) that prevents migrants from entering the U.S., local cartels, or the fear that coyote (a smuggler)<sup>13</sup> will take their money without helping them to cross the border. However, Lydia and the two girls, by the end of the novel, become almost like family – reunited by the fear all of them are running from, and Lydia’s expectation of America evolves as the migrant experience renders her new self – a (trans)migrant self. At this point, she offers a (re)modeled idea of her American Dream:

Before sleep, Lydia closes the ugliest box in her mind, and instead allows her to think forward, to Estados Unidos. Instead of Denver she thinks of a little white house in the desert with thick adobe walls. She’s seen pictures of Arizona: cactuses and lizards, the ruddy red landscape and hot blue sky. She pictures Luca with a clean backpack and a haircut, getting on a big yellow school bus and waving at her from the window. And she conjures a third bedroom in that house for the sisters. Soledad’s new baby, perhaps a girl. The smell of diapers. A bath in the kitchen sink (249-250).

The entire novel centers around a strenuous journey starting in their hometown Acapulco, which leads them through Chilpancingo, Mexico City, Huehuetoca, Nogales, before finally reaching the United States of America. Only in the epilogue does the author reveal what Lydia’s life in the U.S. looks like. Lydia does not have a well-paid job as she works cleaning houses, even though she is a well-educated woman with a degree in English literature. Yet she is satisfied. Her son Luca and her are safe, living with the two sisters and their cousin – or rather, their newly constructed migrant family.

It is not the little adobe house in the desert Lydia imagined. But there is the yellow school bus, and Luca does

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<sup>13</sup> Although El Chacal, the smuggler Lydia finds with the help of Rebeca and Soledad is an honest man, represented as “a minor hero, a guide with the power to lead people to the promised land” (415).

board it every morning with a clean backpack and a new pair of sneakers. He doesn't wear Papi's hat anymore because it's too special. It's taken a museum quality. It stays on top of his blue dresser along with other treasures: Abuela's rosary and an eraser shaped like a dragon that Rebeca got him. Luca's hair is neatly cut and shampooed to smell like Papi's now, with a trace of mint. The bus comes to the end of their three-lined block, and when Luca gets on it, he does so with two Honduran children, an Ecuadorian girl, a Somali boy, and three *estadounidenses*. Lydia slips her finger inside Sebastian's ring every morning when that bus pulls away. *Today will not be the last day I ever see our child* (450).

The American Dream Lydia and Luca live in the United States of America becomes reality at the end of the novel. Still, it is probably not the Dream they would imagine if they moved to the U.S. prior to the death of all their closest family members – when they still lived a quite decent life in Acapulco. This Dream was construed in velocity while running away for their lives. The new beginning is also marked by nostalgia and memory of their previous life in Mexico. They treasure the belongings of their loved ones, making it difficult to simply move on with their newly constructed lives. Nevertheless, the novel ends with a dose of doubt and uncertainty; is their Dream temporary, and will it transform into another nightmare? Will Lydia be allowed to have a decent life in Maryland, or will she be deported back to Mexico, just like some of the migrants she encountered on the way to the U.S.?

They live in the United States, *güey*. Like forever. Like, for ten years maybe. Since they were babies, maybe. And they're on their way to work one morning, or coming back from school one day, or playing *fútbol* in the park, or shopping at the mall for some fresh new kicks, and then *bam!* They get deported with whatever they happen to be carrying when they're picked up (321).

Hence, *American Dirt* does not speak of the American Dream as a constant, but as a possibility to start a life from scratch. It illustrates the Dream of (im)migrants who are haunted by someone or something in their home country, and their new beginning may alter into an American Nightmare at any point. The theme of migration is constant throughout the narrative. Even the covers contain the illustration of a hummingbird which is often associated with migration, overcoming obstacles in migration, rebirth, and the connection between life and death (Sault

2016). *American Dirt* also confirms Jim Cullen's argument that the American Dream gets a new meaning with every new citizen (2020). But each (American) Dream may be personal or shared, and even both at the same time,<sup>14</sup> depending on the circumstances concerned. The novel itself has received a lot of bad criticism, mainly for representing Mexico in a very negative way. Anna Marta Marini reflects and (de)constructs Jeanine Cummins' auto-reflective note where she says "I wished that someone slightly browner than me would write [this novel]" (2020: 2 [*American Dirt*, author's note]). Marini raises the issue of discrimination that this quote implies (Ibid), but also questions the relationship that Cummins' has with her Latinax toots, as it seems that Cummins distanced herself from her ancestors by identifying as "lighter" than them. However, this and similar attempts to criticize *American Dirt's* Mexican segment of identity, do not nullify the transnational identity of the novel as, according to the theories of transnationalism mentioned earlier, Cummins has equal rights to write about Mexico as everyone else. Moreover, Jeanine Cummins provides an autopoetic reflection to her novel *American Dirt* in an interview with Rachel Martin, unveiling the reason for writing her Transnational Mexican-American novel: "I wrote a book that I believe in. I wrote a book that I hoped would remind readers that any one of us could be migrants" (Cummins 2020).

#### 4. Reversing the (American) Dream in Bret Easton Ellis' *American Psycho*

Bret Easton Ellis is known as a satirist whose literary creation incorporates intense action. Some of his prominent works include *Less Than Zero* (1985), *The Rules of Attraction* (1987), and *The Informers* (1994), while his *American Psycho*, originally published in 1991, remains his most famous work. *American Psycho* provides a ruthless indictment of the American Dream set in the 1990s and highly affected by over-consumerism, lack of morality, and chase for high social status, which ultimately revokes such a Dream and modifies it into an American Nightmare. Moreover, the author provides an insight into a society preoccupied with demeanor and/or appearance. The narrative of Bret Easton Ellis' *American Psycho*, told in 60 chapters,<sup>15</sup> closely follows the life of the novel's main character, Patrick Bateman, who lives the

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<sup>14</sup> Lydia's Dream stands for hope, and it is shared with numerous migrants both in the novel, and in real life.

<sup>15</sup> Or rather fragments, as each of these chapters describes a different event in Bateman's life, reflecting his fragmented state of mind.

American Dream. However, his Dream is quite materialistic;<sup>16</sup> centered around promiscuity, gaining wealth and power, wearing expensive clothes, eating in luxury restaurants on a daily basis, and so on. It is a life that many people dream of, but in the case of this novel, it is represented as monotonous and/or boring. The conversation with his “high class” friends, early in the novel, portrays them as avaricious, competing about who graduated from a more esteemed college in an almost toxic fashion:

“Where did you go?” Vanden sighs after it finally becomes clear to her that no one is interested in Camden.

“Well, I went to Le Rosay,” Evelyn starts, “And then then to business school in Switzerland.”

“I also survived business school in Switzerland,” Courtney says. “But I was in Geneva. Evelyn was in Lausanne” (Easton Ellis 2022 :13).

From this quote we can easily see that Bateman belongs to a class with a perturbed system of values. It is a group of people who do not seem to care about the well-being of each other, but all of them are superficially united by prestige and high social status. Bateman’s American Dream starts reversing when he indulges in his unscrupulous desires and immoral conduct.<sup>17</sup> What starts as fantasizing about torture,

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<sup>16</sup> This materialism is demonstrated in the following excerpt, where Bateman describes his luxurious apartment in the stream of consciousness *modus operandi*:

In the early light of a May dawn this is what the living room of my apartment looks like: Over the white marble and granite gas-log fireplace hangs an original David Onica. It’s a six-foot-by-four-foot portrait of a naked woman, mostly done in muted grays and olives, sitting on a chaise longue watching MTV, the backdrop a Martian landscape, a gleaming mauve desert scattered with dead, gutted fish, smashed plates rising like a sunburst above the woman’s yellow head, and the whole things is framed in black aluminum steel... (Easton Ellis 2022: 23-24).

<sup>17</sup> Which can already be seen in the section where he fantasizes and fetishizes the murder of a woman in one of the movies he watches, as the following quote shows:

...but I rerent *Body Double* because I want to watch it again tonight even though I know I won’t have enough time to masturbate over the scene where the woman is getting drilled to death by a power drill since I have a date with Courtney at seven-thirty at Café Luxembourg (67).

rape, and murder – almost certainly under the influence of alcohol and drugs, transforms into reality as Bateman is disclosed to be a serial killer. The narrative leads us through multiple instances of rape and murder of women, then the murder of a homeless man, etc. Bateman also expresses his negative attitude towards the homeless man (before stabbing him in his eye), telling him to get a job: “If you’re so hungry, why don’t you get a job” (124). Such a cynical perspective towards the homeless is present throughout the novel, as Bateman perceives them as unworthy. Yet, the most notable murder is the one where he kills his colleague Paul Owen, whom Bateman detested for a long time. It was in detail planned murder, where Bateman first got him drunk, then accompanied him back to his apartment, and murdered him with an axe:

The axe hit him midsentence, straight in the face, its thick blade chopping sideways into his open mouth, shutting him up. Paul’s eyes look up at me, then voluntarily roll back into his head, then back at me, and suddenly his hands are trying to grab at the handle, but the shock of the blow has sapped his strength... (208).

In the above-mentioned quote from the novel, Bateman describes horrifying murder of Paul Owen, while showing no penitence or guilt. Even more, such bloody scenes have become an everyday occurrence in his life, as he is, at this point, addicted to murdering other people. Moreover, murder becomes an inevitable part of his newly construed (psychopathic) identity. This double identity resembles the twofold identity in Robert Louis Stevenson’s *The Strange Case of Dr. Jekyll and Mr. Hyde*, where the main character construes two selves: a good one, and an evil one (Tupan 2004). Similarly, Bateman builds two separate identities – his original identity marked with power, luxury, high standards of living, or simply the identity of his American Dream. His other identity reflects his American Nightmare; it is gloomy and dark, reflecting his psychopathic and/or sociopathic self. As the novel progresses, it becomes evident that Bateman deals with an identity crisis, and is unable to separate real from imagined, under the influence of constant hallucinations. Thus, the following excerpt from the book demonstrates his inner conflict with himself, where he portrays himself as dehumanized of his human characteristics (except physical and/or bodily):

There wasn't a clear, identifiable emotion within me, except for greed and, possibly, total disgust. I had all the characteristics of a human being – flesh, blood, skin hair – but my depersonalization was so intense, had gone so deep, that

the normal ability to feel compassion had been eradicated, the victim of a slow purposeful erasure. I was simply imitating reality, a rough resemblance of a human being, with only a dim corner of my mind functioning (271).

Bateman seems to have an inner identity crisis, to such a measure that he can no longer recognize himself. Killing, crime, and rape became a new routine in his life, as his sociopathic/psychopathic self takes over his identity. On the other hand, his original self seems to be diminishing, ultimately leading to its mortification.<sup>18</sup>

After reading the novel, it remains unclear whether all the events described actually happened, or if they were just a product of imagination under the influence of hallucinations. However, it is obvious that such a life does not resemble anything described in the American Dream by James Truslow Adams, nor any other theorist of the American Dream; but it resembles the American Nightmare, which is characterized by dissatisfaction. Jefferson de Moura Saraiva speaks of *American Psycho* as criticism of consumerism – prominent in 1980s, as the novel “seems to be abundant in attire descriptions, affectless relationships and absurd hallucinations” (2018: 111-112). In addition, Bret Easton Ellis confirms this by providing his authorial voice<sup>19</sup> regarding *American Psycho*, and also the context in which the work was created:

A lot of it had to do with my frustration with having to become an adult and what it meant to be an adult male in American society. I didn't want to be one, because all it was about was status. Consumerist success was really the embodiment of what it meant to be a cool guy—money, trophy girlfriends, nice clothes, and cool cars. It all seemed extremely shallow to me. Yet at the same time you have an urge to conform (Easton Ellis 2011).

Such a historical context produced the materialistic American Dream, which easily converts into the American Nightmare, as this analysis demonstrates.

## 5. Conclusion

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<sup>18</sup> The mortification of the self is a term used to describe identity that is lost (Capps 2016).

<sup>19</sup> In an interview with Annie Coreno.

Both the American Dream and American Nightmare/Reversed American Dream come in different shapes and forms, and this analysis shows it on the example of Jeanine Cummins' *American Dirt* and Bret Easton Ellis' *American Psycho*. It is about two American Dreams, and two American Nightmares. Jeanine Cummins depicts the Dream of a (im/trans)migrant, who has to undergo many struggles only to enter the United States of America. She talks about the dream of hope and safety, where the novel's characters live fearless from the danger that forced them to flee their home country – Mexico. However, the American Nightmare is present in the form of uncertainty; such an American Dream is not long-lasting as there is still a well-grounded fear of deportation. Bret Easton Ellis' *American Psycho*, on the other hand, portrays the life of Patrick Bateman, who already lives the American Dream (at least when it comes to the materialistic aspect of the American Dream), but his Dream gets reversed as he submits himself to his desires and (forbidden) fantasies: crime, rape, torture, and ultimately murder. His American Nightmare reflects in his identity crisis, as he hallucinates – unable to sunder real from imagined. The (materialistic) American Dream in *American Psycho* is ultimately satirized and represented as a fraud, where the novel's main character<sup>20</sup> does not feel fulfillment, but he expects more and more; more than the American Dream itself can offer.

The American Dream in this paper is explored in two distinct historical (con)texts. Bret Easton Ellis displays the Dream in the last part of the twentieth century, criticizing consumerism popular at the time. While Jeanine Cummins explores it in a contemporary setting, under the influence of global migrations, providing a voice of migrant women. Moreover, this paper serves as an impetus for researchers who intend to further scrutinize the American Dream in a transnational (American) context.

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<sup>20</sup> Patrick Bateman may be viewed both as the protagonist and antagonist of the novel.

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**(PRE)ISPITIVANJE AMERIČKOG SNA U ROMANIMA AMERIČKI PSIHO BRET EASTON ELLISA I AMERIČKA PRAŠINA JEANINE CUMMINS**

Američki san je (pre)oblikovao način pisanja brojnih (trans)američkih autora još od vremena kolonizacije. Ovaj rad revidira nekoliko definicija američkog sna i/ili američke noćne more, pojmova međusobno isprepletenih. Nadalje, ovaj rad se oslanja na transnacionalnu američku književnost kako bi predstavio američki san američkih autora (i/trans)migranata. Glavni zadatak ovog rada je da analizira američki san u romanu *Američki psiho* Bret Easton Ellisa i (trans)romanu *Američka prašina* Jeanine Cummins, te da razjasni načine poništavanja američkog sna, odnosno njegove transformacije u svoju suštu suprotnost, američku noćnu moru.

**Ključne riječi:** američki san, američka noćna mora, transnacionalna književnost, *Američka prašina*, *Američki psiho*





**PROMETHEUS' CAVE AS THE IVORY TOWER OF POETRY:  
A MYTHO-ARCHETYPAL READING OF SHELLEY'S  
PROMETHEUS UNBOUND**

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**Abstract:** Shelley's *Prometheus Unbound* (1819) portrays a revolutionary hero who, upon being unchained, embarks on a journey that progresses eastward and backward. This article examines Shelley's depiction of specific locations, particularly Prometheus' cave, in relation to Akkerman's myths of the Garden and the Citadel, as well as biblical parables such as the Garden of Eden and the Tower of Babel. The focus is on exploring the correlation between Prometheus' cave and the Tower of Babel, symbolizing the ivory tower of poetry. By portraying this isolated and solitary place and repressing his communal self, Shelley fashions his poetic identity as an alienated ivory tower poet, whose poetry emanates from the realm of the ivory tower rather than the garden. To realize his vision of the perfect garden of poetry, Shelley posits the need to replace his alienated self with his communal self as the foundation for the myth of the Garden, which also represents the garden of poetry. A thorough analysis of Shelley's play reveals how his depiction of the Elysian place ultimately becomes an excluded non-Elysian realm that aligns more with the myth of the Citadel and the Tower of Babel, separating the poet from human society and his communal self.

**Keywords:** Shelley's *Prometheus Unbound*, the myth of the Garden, the myth of the Citadel, the Tower of Babel, Ivory Tower

## 1. Introduction

Percy Bysshe Shelley's *Prometheus Unbound* (1819) delves into the tormented psyche of the mythological figure Prometheus, presenting a psychodrama that unfolds within the tumultuous mind of the poet himself. The play can be seen as a portrayal of the inner workings of the human mind, with Shelley's characters representing different conflicting states of mind. It opens with the triumph of Jupiter, who embodies the prevailing dominance of reason and rationality in the human mind. In contrast, Prometheus represents the resurgence of energy (the Dionysian) and imagination suppressed by the rational and Apollonian force of Jupiter, who was "the god not only of the Capitoline temple but also of the *arx* [citadels]" (Linderski 214). While the play draws inspiration from Aeschylus' trilogy, Shelley's version does not feature a reconciliation between Prometheus and Jupiter following Prometheus' release from captivity. *Prometheus Unbound* employs the structure of Greek tragedy to envision an ideal future rooted in the glory of the past, set in a paradisiacal realm. Shelley's idealism is intertwined with the presence of Elysian places, influenced by the pastoral landscapes of Virgil's works and the prophecies of the Book of Isaiah, in which "The wilderness and the solitary place shall be glad for [people]; and the desert shall rejoice, and blossom as the rose" (35.1). Prometheus' solitary cave, where he and Asia descend in Act Three, represents one of these idyllic Elysian places in Shelley's works. By paying tribute to such secluded and solitary paradisiacal realms, Shelley shapes his identity as an alienated ivory tower poet, distanced from society and others.

Accordingly, the objective of this article is to examine Shelley's poetic identity as an ivory tower poet in relation to Abraham Akkerman's myths of the Garden and the Citadel, as well as the parables of the Garden of Eden and the Tower of Babel. The article aims to argue and illustrate that Prometheus' cave at the end of Act Three symbolizes the ivory tower, where the poet isolates himself as an alienated ivory tower poet. In this context, the article raises the following questions: How can Shelley's constellated idealism, solitude, and poetic identity be compared to the erection of the Tower of Babel? And how does Prometheus' cave represent the Tower of Babel, i.e., the ivory tower of poetry? By focusing on Prometheus' eastward and backward journey and his cave in Act Three, this article seeks to provide relevant insights by exploring the concepts of ivory tower poetry, the Tower of Babel, and Abraham Akkerman's myths of the Garden and the Citadel, which correspond to the biblical parables of the Garden of Eden and the Tower of Babel, respectively.

### 1.1. The Myths of the Garden and the Citadel

The origin of Akkerman's myths of the Garden and the Citadel can be traced back to the biblical stories of the Garden of Eden and the Tower of Babel. In *Phenomenology of the Winter-City* (2016), Akkerman argues that human history has undergone an evolutionary progressive movement from "the myth of the Garden" to "the myth of the Citadel" both in the built environment and human thought. According to Akkerman, over an extended period, the feminine and primordial "myth of the Garden" gradually transformed into the masculine "myth of the Citadel," with the latter eventually dominating and repressing the former. "But whereas the myths of the Citadel," Akkerman notes "[has] come to dominate city-form, the myth of the Garden has been subdued and suppressed" (196). The climax of this evolution, leading to the dominance of reason and rationalism in both human thought and the built environment, was the Age of Enlightenment during which mathematical measurement, calculation, reasoning, and rationality were dominant concepts. Akkerman highlights that from Plato to Descartes and onwards to modernity, where the Enlightenment mentality forms the basis for the modern city, the myth of the Citadel "came to dominate city-form and ensuing aspects of contemplation" (*Phenomenology* 229).

According to Akkerman, these two myths align with Nietzsche's perspective on the dual Dionysian and Apollonian impulses in art (229), which underwent a similar evolution from the former to the latter. Despite being in fierce opposition to each other, these two impulses finally came to accept "the yoke of marriage" and brought about "Attic tragedy which exhibit[ed] the salient features of both parents" (Nietzsche 19). However, over time, the Dionysian impulse gradually waned, and the Apollonian impulse gained prominence from the Renaissance through the Enlightenment period. The Industrial Revolution and Descartes' emphasis on clear ideas further accelerated this shift in environmental design and human thought. More precisely, during the Age of Enlightenment, there was a deliberate imposition of order onto nature, resulting in a reaction against Dionysus. This led to the dramatic growth of urbanization and suppression of both the Dionysian impulse and the myth of the Garden in human thought and the built environment, respectively. Nevertheless, the emergence of Romanticism as longing for naturalness was a reaction to the mathematically ideal paradigms of the Enlightenment period. Disillusioned with the growth of urbanization and industrial cities, Romantic intellectuals rejected what Akkerman calls "conventions exposed as hiding corrupt practices in the urban society"

(*Phenomenology* 114) and began to celebrate nature and the natural man. This Romantic reaction resulted in a "revival of medieval notions toward nature, rejecting the rationalism of the Enlightenment" (87). Accordingly, using the myths of the Garden and Citadel as well as the biblical parables of the Garden of Eden and the Tower of Babel, we suggest that Prometheus' backward and eastward journey to his cave, with its apparent paradisiacal and Elysian features, reflects Shelley's longing for the revival of the myth of the Garden, offered in the story of the Garden of Eden. Nonetheless, as we will explore, what Shelley offers through Prometheus' cave is alienation and solitude, making the cave the representative of not the Garden of Eden but the Tower of Babel, alienating Prometheus from society. Recognizing Shelley's place in this mythopoeic pattern can indicate the ways the disappointment caused by the post-Napoleonic Europe and the failed promises of the French Revolution changed the external quest for reform and freedom to a psychologically internalized quest in which the collective hero undergoes a journey in an archetypal act or wish of becoming one with his feminine creative counterpart in an alienated place. Doing so, Shelley fashions his poetic identity as a poet of ivory tower who, alienating himself from human society, has shut himself up in the ivory tower of the poetry.

## 2. Discussion

The opening scene of Shelley's *Prometheus Unbound* (1819), in which Jupiter is the ruler, "shows man's mind as it now is, with reasons" (Baker 118). Baker describes this initial scene as "the dark night of Prometheus' soul" (102), illustrating Prometheus' soul overshadowed by the influence of Jupiterian reason and the resulting corruption and violence. Once "a spirit of keen joy" (l. line 158), Prometheus is now overwhelmed by the shadow of reason. The ultimate consequence of reason's dominance, symbolized by Jupiter's authority, is corruption, plague, disease, violence, and fear against which Prometheus, this "man's double" (Kerenyi 78), strives to rebel: "Rain then thy [Jupiter] plague upon me, / Ghastly disease and frenzying fear" (l. 266-67). In *Shelley's Major Poetry* (1948), Carlos Baker makes a distinction between the actual and the ideal in *Prometheus Unbound* and argues that while the opening of the play is Shelley's picture of the actual world, the end of the play "is not intended as a picture of the actual but only of what 'ought to be'" (268), representing the ideal.

The play is considered by Baker to be "a drama of the inner mind, and evil is represented as a deformity of the mind" (109). He also asserts that "Prometheus is not a 'character' at all but rather an image of the

mind of man" (112). Similarly, Roland Duerksen describes Prometheus as "the creativity latent within a person and within society" (631), emphasizing that Prometheus is a state of mind or attribute rather than a traditional character. However, contrary to Baker's and Duerksen's perspectives, this study, using Jungian terminology, argues that Prometheus symbolizes the collective or universal man, while the other characters represent different and conflicting aspects of his mind. From the very beginning of the play, it becomes evident that Prometheus has bestowed power and wisdom upon Jupiter, who represents reason, the Apollonian authority and the myth of the Citadel: "I gave thee power / And my own will" (I. 273-74); "I gave all / He has; and in return he chains me here" (I. 381-82); "Then Prometheus / Gave wisdom, which is strength, to Jupiter" (II. iv. 43-44). Furthermore, as previously mentioned, the opening scene of the play presents Shelley's portrayal of the actual world, symbolizing the control of man's mind by reason. What Prometheus rebels against is, thus, the reason he himself has empowered. Put differently, in order to transform his purgatorial state in the first act into the ideal state in the third, Prometheus must rebel against and liberate himself from the influence of reason.

Every literary period or movement is either the continuation of or a reaction to the previous one. As a literary period, Romanticism "described a period that not only succeeded a previous age of Enlightenment but also opposed it" (Jarrells 57). Not only did literature and art undergo a shift from mimetic to subjective expression, but other aspects of human life also experienced similar transitions. Accordingly, areas such as philosophy, religion and the sciences witnessed a dramatic transformation from "materialism to idealism," "ecclesiastic dogma to intuitive faith" and "matter-based physics to energy-based physics," respectively (Burwick 168). Most importantly, as Kearney points out, "the *mimetic* paradigm of imagining [was] replaced by the *productive* paradigm" (155). While opposing the Age of Enlightenment as the recent past, British romantic poets looked back to more distant historical periods such as the Middle Ages and the Renaissance for inspiration. Shelley, being the most idealistic of the Romantics, goes even further and looks back to the classical Golden Age that corresponds to man's primordial state in the Garden of Eden, where man had been in a kind of harmonious unity with God as well as his feminine counterpart. Shelley's prophetic poetry, thus, aims for the revival of a new Golden Age, like that of Virgil, where "the ox will have no fear of the lion" (qtd. in Williams 18) or the peaceful millennium of Isaiah "when the lion shall lie down with the lamb" (Gurney 303). What makes Shelley struggle for a new Golden Age in the future is the despair and fatalism prevalent in

his era—a consequence of a long history that witnessed significant shifts from pastoralism to urbanism, from the Garden to the Citadel, from the Dionysian to the Apollonian, and from imagination to reason. This historical trajectory resulted in a purgatorial state of disappointment for Shelley. In the context of Romanticism, Thomas Love Peacock describes a poet in their times as "a semi-barbarian in a civilized community. He lives in the days that are past [...] The march of his intellect is like that of a crab, backward" (327). Along with these shifts, Romanticism also called for a return to the temporal over the spatial, the Dionysian over the Apollonian, the myth of the Garden over the myth of the Citadel, and, most importantly, feeling and imagination over reason and abstraction. The Romantics rebelled against the central ideal of the Enlightenment, which they criticized as "the selfish and foolish hope of reasoning" (Wordsworth 279) or "the selfish and calculating principle" and "the owl-winged faculty of calculation" (Shelley, *Selected Poetry* 655-56).

Reason is the faculty, writes Baker referring to Shelley's *Epipsychidion* (1821), that rescues the soul from "false imagination" (235). Under the influence of reason, represented in Shelley by the moon-symbol or its cold light, "the soul in a creative sense is neither alive nor dead, but occupies some middle purgatory" (Baker 235). Prometheus, chained and tormented by Jupiter, experiences this purgatorial state primarily due to reason's control over the creative soul, until imagination (represented by Asia) arrives to bring reconciliation. Additionally, Asia and the two other Oceanids, Panthea and Ione, are described as "member[s] of the enraptured Dionysian worshipers, the *thiasos*" (Gelpi 178), followers of Dionysus, of which, the Maenads are the most significant members. The Maenads, moreover, are described by Jane Harrison as "the mothers and therefore the nurses of the holy child; only a decadent civilization separates the figures of mother and nurse" (39). The decadent Jupiterian civilization has caused a separation between the Maenad (Asia) and Prometheus, leading to his purgatorial state at the opening of the play. An alternative perspective suggests that the separation of Asia from Prometheus, or rather, the repression of Dionysian energy by Jupiter, whom Prometheus himself empowered, has resulted in both his purgatorial state and the decline of human civilization or history. The corruption, ugliness and violence with which the play opens are to a great extent due to this separation and/or repression. In other words, Prometheus' terrible purgatorial condition, combined with the corruption and decadence of the opening scene, is the consequence of his separation from his Dionysian essence, imagination, or anima. Applying this to the action of the play,

particularly the first act, it is proposed that granting power to Jupiter or reason, Prometheus has suppressed the Dionysian essence, resulting in the imperfect condition of man and the violent human history depicted at the play's outset. On a societal level, in societies where rationality, reason, and the Apollonian have been imposed, repressed Dionysian energy manifests itself through social corruption. According to Shelley, the ultimate result of rationality's dominance "is to destroy all sensibility to pleasure; and, therefore, it is corruption" (*Selected Poetry* 647). Overall, both this social corruption and the previously mentioned purgatorial state of Prometheus are to a great extent due to the control of reason over the creative soul until imagination (Asia) arrives to liberate humanity from the confines of reason. As the productive paradigm and the catalyst for change, imagination transforms the ugliness of the actual world into beauty.

In this context, Shelley rebels against the imperfection caused by the long-established dominance of reason and the Apollonian drive, which culminated in the Age of Enlightenment. Ross Woodman describes this period as "the rational triumph of human consciousness over the irrational operations of the mythopoeic imagination" (199). The first act of the play vividly portrays the supremacy of the masculine, calculating, and rational Apollonian impulse (reason) and the repression of the feminine, frenzied, and irrational Dionysian impulse respectively through Jupiter's sovereignty and the wretched state of Prometheus. Shelley, so to speak, projects a backward movement from reason to imagination and the Apollonian to the Dionysian in order to poetically challenge and hopefully reform the imperfect, violent, and corrupted history with which the play opens. To achieve this, Prometheus embarks on a quest for self-knowledge, awareness, or truth, as he recognizes that what he observes under Jupiter's tyranny is not the truth itself but rather "the shadow of the truth" (l. 655). Not surprisingly, "truth" is depicted as a feminine phenomenon, as Peter Brooks describes it as "goddess, as sphinx, or as woman herself" (96), with Diana serving as a representative. The journey of Prometheus here moves backward in time and eastward in place to resurrect the myth of the Garden repressed throughout human history by the myth of the Citadel. Furthermore, this quest represents Prometheus's attempt to awaken his repressed Dionysian side and tap into his feminine creative power embodied in the forms of Demogorgon and Asia, respectively. That is why Gelpi argues that "Prometheus does not desire Asia as an object, nor does he even desire to be with Asia; he desires to be Asia" (174). It is worth mentioning here that imagination or creative power in many of Shelley's poems has a female shape as, according to Baker, he

"reincarnate[s] in woman's shape his conception of the source of true poetic power" (264).<sup>1</sup> Regarding the play's setting, the projection of Prometheus' feminine aspect onto the external world is reflected in the paradisiacal or Elysian place where his cave is located and where he and Asia are destined to reside. It seems worth speculating here about the setting of the play, which undergoes similar backward shifts from the Citadel to the Garden, from history to paradise, and from the west to the east in the second and third acts.

### 2.1. From the Citadel to the Garden in *Prometheus Unbound*

As Prometheus and his companions embark on their journey, they traverse both a backward movement in time and an eastward movement in space, ultimately arriving at a paradisiacal location, where Prometheus's cave is situated. This journey entails a transition from the Citadel to the Garden, which is symbolically regarded as the garden of poetry. In *The Birth of Tragedy* (1871), Nietzsche presents the concepts of the Dionysian and the Apollonian as two fundamental impulses that gave rise to Greek tragedy. He juxtaposes these two impulses as contrasting gender types, whose marriage led to the appearance of "Attic tragedy" as the highest form of art "which exhibits the salient features of both parents" (19). These two Nietzschean impulses are, according to Akkerman, "projected onto the environmental archetypes of the Garden and the Citadel," which are presented "in the stories of the Garden of Eden and of the Tower of Babel" (*Phenomenology* 62). These two archetypes, however, underwent an evolution from the former to the latter, and the feminine, Dionysian, time-bound, and altruistic myth of the Garden was gradually evolved into or repressed by the masculine, Apollonian, space-bound, and egoistic myth of the Citadel. As a consequence of this evolution by which the "masculine paradigm of the Ideal City [the Citadel]" came to be dominant in Western city-form, "the feminine myth of the Garden," Akkerman

<sup>1</sup> Emily in *Epipsychidion* and Asia in *Prometheus Unbound* are such female shapes; the former described as a "poor captive bird" prisoned in a "narrow cage" (5), and the latter exiled to a "desolate and frozen" vale, suggest the repression of feminine creative power in the age of reason. See also "'Like Flowers or Creeping Worms': The Poet as Phallic Symbol in Shelley's *Alastor, or The Spirit of Solitude*" where Shelley's hero is assimilated into his anima, a veiled maiden and in this act of assimilation or becoming one with his anima, "the Poet withdraws passively from his constrained maleness and subjectivity and lets the veiled maiden assume control via a sexual act of dissolution" (Datli Beigi et al. 121). As a result of this assimilation, the hero experiences a kind of reverie the final result of which is an impermanent perfection.

argues, "has been all but excluded from a design expression in the city" ("Platonic Myth" 757). Furthermore, "the Bacchantes [Maenads]," relates Harrison, "are the Mothers; that is why at their coming they have magical power to make the whole earth blossom" (40). When applied to the unfolding of the drama, this theory suggests that the myth of the Garden, the Maenads, and the Dionysian impulse are notably absent from the initial setting of the first act. By combining these theories, we can argue that the setting of the opening scene, described as the "eagle-baffling mountain, / Black, wintry, dead, unmeasured; without herb, / Insect, or beast, or shape or sound of life" (I. lines 20-22; emphasis added), along with the prevailing presence of Jupiter, aligns with an Apollonian setting associated with the myth of the Citadel. The transition from the Garden to the Citadel can be seen as analogous to the fall of man from paradise to the realm of history that, while granting humanity the consciousness of time, is believed to have gradually led to corruption and violence. *Prometheus Unbound* opens at the culmination of this corrupted and violent history, representing the end of humanity as well. Interestingly, this evolution, or more accurately, decline from paradise to history, similar to the transitions from the Garden to the Citadel or from the Dionysian to the Apollonian, results in corruption. Shelley, in *Prometheus Unbound*, endeavors to envision an end to this corruption or a path back to paradise that begins with the journey of Prometheus and his entourage moving backward and eastward through the Elysian land of Act Three, where Prometheus' cave is located and where he can rediscover his primal unity with Asia, symbolizing a return to the state of harmony and wholeness.

The scene at the beginning of the play is "a ravine of icy rocks in the Indian Caucasus," where Prometheus is bound to a crag with Panthea and lone seated at his feet. Like the Enlightenment city that, according to Richard Lehan, became "a closed system, entropic, which led to the decline of civilization" when it underwent a process of being "cut off from a source of nourishment" (6), that is, from nature, the setting of the opening scene in *Prometheus Unbound* reflects a civilization in decline. As indicated by the aforementioned lines, this setting portrays a civilization that has been deprived of the presence of the Maenads (represented by Asia) and their magical power to bring forth blossoms on the earth. Additionally, the presence of icy rocks, the wintry landscape adorned with "snow-fed streams" and "The chrysal-winged snow" that "cling round [Prometheus'] hair" (I. 120, 385) establish an association between winter, Apollo, Jupiter, and the myth of the Citadel. This association is reinforced by Jupiter's dominance over both Prometheus and nature in the opening scene of the play. These

elements collectively evoke a symbolic connection between the wintry setting, Apollo as a representation of the Apollonian, Jupiter as the embodiment of power and control, and the overarching myth and themes associated with the Citadel.

In his *Phenomenology*, Akkerman draws an analogy between Belus (Jupiter) and Apollo, associating both deities with winter and the myth of the Citadel. Akkerman asserts that Belus, who is often identified with Zeus or Jupiter in classical Greek and Latin texts, was a "sun-god akin to, or identical with Apollo" (59). Moreover, he argues that Apollo stood "as the patron of colonization" while he was purportedly linked with "the north and the *winter*" (59; emphasis added). Before discussing this issue, it should be noted that in classical Greek and Latin texts, Belus or Belos is often identified with the Greek Zeus and Latin Jupiter as Zeus Belus or Jupiter Belus. In *The History of Herodotus*, the Greek historian Herodotus also refers to the term "Jupiter Belus" and associates it with a fortress or citadel "with gates of solid brass" and "surrounded by a wall of great strength and size" (181). Similarly, Jerzy Linderski asserts that "Jupiter was the god not only of the Capitoline temple but also of the *arx*" (214), which is the Latin term for citadel. However, our intention is not to claim that Shelley's Jupiter and Apollo are identical, but rather to highlight the presence of certain Apollonian characteristics in the first act and in the character of Jupiter. Additionally, the play depicts an ongoing conflict between the Apollonian and Dionysian impulses throughout. Consequently, the herbless and wintry setting of the first act represents a masculine environment where reason, influenced by the Apollonian impulse, and the myth of the Citadel have become dominant forces shaping the human environment and contemplation.

The setting itself is Apollonian and historical, rather than Dionysian and paradisiacal. Nevertheless, it should not be left unnoticed that, as Shelley says hopefully and prophetically in the concluding line of his "Ode to the West Wind," after the winter, the coming of spring is inevitable: "If Winter comes, can Spring be far behind?" (70). Similarly, while the opening scene of the play takes place on a wintry night and lacks the presence of Asia, the Maenad and the creative soul or anima of Prometheus, it is worth noting that morning is gradually dawning, symbolizing the potential for change and renewal. Additionally, two other Maenads, Panthea and Lone, are present in the scene, and their role becomes instrumental in the eventual reunion of Prometheus and Asia, serving as the climactic event of the play. Among the Romantics, Shelley was notably the most optimistic, maintaining a belief in the eventual return of a Golden Age. In one of his letters, he expresses the idea of embracing a form of optimism where individuals become their

own gods, stating, "Let us believe in a kind of optimism in which we are our own gods" (*Essays* 188). It is possible that Shelley employs the term "gods" here to allude to the creative power of human imagination, which, akin to the creative power of gods, has the potential to transform the ugliness and distortions of the real world into the beauty and perfection of an ideal realm. This is why Duerksen argues that "truly imaginative creation, in any and all areas, can translate existence from the distorted deathliness [...] to genuine life or immortality" (631). Accordingly, it is the creative imagination of Prometheus that translates the distorted deathliness of the first act into the perfect Elysium of the following acts.

In contrast to the wintry, masculine, and Apollonian setting of the first act, the second act presents a feminine and Dionysian atmosphere. It unfolds in "a lovely vale in the Indian Caucasus" during the spring season as depicted by the lines "thou hast descended / Cradled in tempests; thou dost wake, O Spring" (II. i. 5-6). This shift in setting reflects the transition from the earlier harsh and controlled environment to a more vibrant and lively one, symbolized by the arrival of spring and its association with femininity and the Dionysian aspects of nature. The awakening of spring in the second act serves as a metaphor for the reawakening of the imagination and the Dionysian impulse, and the act functions as a transitional stage, bridging the history and the Citadel depicted in the first act with the paradisiacal setting of the Garden in the third act. Prometheus embarks on his journey back to the Golden Age, symbolizing a return to a paradisiacal land or mankind's prelapsarian state, in the second act. This journey unfolds mysteriously, with Asia's soul likened to "an enchanted boat" drifting towards "a paradise of wilderness" (II. v. 72, 81). The imagery suggests the enchanting and transformative nature of the voyage, transporting Prometheus and the audience towards a realm reminiscent of Edenic bliss and untamed beauty. Despite the apparent absence of Prometheus in the second act, where female characters like Asia and Panthea dominate the stage, Gelpi suggests that "Prometheus does not actually disappear from the action of Act Two" but is there "experiencing the waking dream of reverie," that is, he, in an archetypal act and wish of becoming one, "becomes assimilated into his anima" (174). In this regard, Gaston Bachelard observes that "when the reverie is truly profound the being who comes to dream within us is our anima" (62). In other words, Prometheus is experiencing the profound awakening of his imagination projected externally onto the female character of Asia and, as said above, becomes Asia herself. His reverie is such a deep one that melts him unobtrusively into his productive paradigm that is capable of

inventing a beautiful and ideal world out of the ugliness of the actual one. Accordingly, Prometheus' reverie is indeed a productive paradigm, capable of creating a beautiful world at the end of Act Three, when "The loathsome mask [falls], the man remains / Sceptreless, free, uncircumscribed, but man / Equal, unclassed, tribeless, and nationless" (III. iv. 193-95).

In the course of its development, the play in the first scene of Act Three tends to be concerned with the opposition between Jupiterian reason and Promethean imagination, a creative opposition that leads to the Elysian land of the act. As Jupiter declares in the opening lines of Act Three "All else had been subdued to [him]" except for "The soul of man" or imagination that "like an unextinguished fire, / Yet burns towards heaven with fierce reproach, and doubt" and has made Jupiter's "antique empire insecure" (III. i. 4-6, 9). In contrast to the Jupiterian reason that is associated with snow falling "flack by flack" on "herbless peaks" (III. i. 11), the Promethean imagination entails fire that melts down the snows and ices of reason and brings about spring. Unlike the fallen imagination of Adam and Eve that resulted in man's entry into history and corruption, the Promethean awakened imagination is a productive paradigm paving the way for man's journey back to Elysium.<sup>2</sup> The Promethean imagination, while being a mythopoeic imagination whose irrational operations release man from the rational triumph of human consciousness, is a harmonizing faculty that reconciles the opposites and effects the peace, unity, and harmony at the end of Act Three. It is perhaps for this reason that Baker argues that when Prometheus "achieve[s] his act of self-reform [...] the masks of ugliness fall from all created things" (268). Similarly, implicit in Jeffery Cox's argument that Shelley's characters including Prometheus "are all trapped in false conception of themselves," (69) is the point that Prometheus' rebellion is indeed against himself and he unbinds himself when he comes to a state of self-knowledge. The important point to note here is that after becoming unbound, Prometheus and his retinue

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<sup>2</sup> See Richard Kearney's *The Wake of Imagination* (1988), in which he argues that "the story of imagination is as old as the story of creation itself" (39). It goes back to the Original Sin and the temptation of Adam and Eve by the serpent that activated their imagination and promised that eating the forbidden fruit of the Tree of Knowledge would bestow a God-like power upon them. Although located in the perfect Garden of Eden, Adam and Eve were prohibited from eating the forbidden fruit which made them capable of imagining themselves to have a creative God-like power.

get involved in a return journey towards the east, that is, towards man's primordial state and unspoiled condition.

In the third scene of Act Three, the Earth instructs her "torch-bearer" to guide the company "beyond the peak / Of Bacchic Nysa, Maenad-haunted mountain, / And beyond Indus and its tribute rivers" (153-55). Although the location of Nysa is unknown, Gelpi associates it with the east when she makes the point that "the nymphs of Nysa, nurses of the infant Dionysus, raised him to manhood, and the city was the *eastern* center of his cult" (257; emphasis added). Nysa is thus located in the east and is associated with Dionysus, rebirth, and the approach of spring. Likewise, the word "Indus" suggests that the group is heading eastward. Looking back at the prehistoric time of man in Eden, the Book of Genesis reads that, after creating Adam and Eve, God creates the Garden of Eden in the East: "And the LORD God planted a garden eastward in Eden; and there he put the man whom he had formed" (2.8). Then, after being tempted by the serpent, Adam and Eve, to use Kearney's words, are "exiled east of Eden into history" (40). While the Bible does not explicitly mention their direction after leaving paradise *Latin Life of Adam and Eve* (1929) suggests that they travelled westward, with Eve even venturing further west: "She then began to walk toward the western regions and began to wail and weep bitterly with great moaning" (Mozley 18.2). On the level of things said, the group's itinerary, unlike that of the fallen Adam and Eve, is eastward and backward, that is, back to the Garden of Eden or the classical Golden Age as a perfect Elysian land.

However, in Act Three of the play, the setting is not portrayed as a perfect or immutable place but rather as a semi-ideal realm subject to change and the passage of time, as indicated by Prometheus' contemplation on human vulnerability to mutability: "What can hide man from mutability?" (III. iii. 25). It is a semi-ideal place subject to time and change, described by Prometheus as "A simple dwelling, which shall be our own; / Where we will sit and talk of time and change, / As the world ebbs and flows, ourselves unchanged" (III. iii. 23-4). Furthermore, the depicted place is not an actual physical location at all but a reverie or vision created by Prometheus' imagination. The temple of the act, as the Earth says, "is deserted now, but once it bore / Thy name, Prometheus" (III. iii. 167-68). The temple had once been Prometheus' place as it once bore his name and, hence, is associated with fertility and Dionysian energy.

From the three institutions of the early cities, namely "the temple," "the citadel" and "the market," Lehan argues, the first one, as the feminine part of the city, has been associated with "the fertility of the

earth, animals, and women" and often "inseparable from a goddess like Athena" (20). In contrast to the city's temple described by Akkerman as "the sacred place of communion with deities overlooking the well-being of the city from the sky," is the construction of the citadel and its walls through which "the city's ruler as its deified hero often expressed his own power" (*Phenomenology* 56). As opposed to Jupiter's court and/or citadel in the first act as an Apollonian, infertile, herbless and decadent place from which Jupiter expresses his power, the temple of the third act had once been related to Prometheus, Dionysus and fertility. The temple is now abandoned, but, as a ruin or deserted place, it can excite some romantic feelings associated with the Golden Age in Prometheus, as the poet's persona, and inspire him to rebuild it in his imagination. Related to the points already mentioned, Gelpi relates that "for the temple of his new world [the new Golden Age], then, Shelley turned rather to his own imagination's rebuilding of the classical ruins that so moved him in Pompeii and at Rome" (259). What further suggests that Shelleyan utopia in *Prometheus Unbound* is a reverie is the temple's reflection in a motionless pool. The temple described by the Earth in this act is the reflection of an actual temple in a calm pool: "Beside the windless and crystalline pool, / Where ever lies, on unerasing waves, / The image of a temple, built above" (III. iii. 159-61). The pool which reflects the temple's image functions as a mirror like that of the Tale of Narcissus and is thus symbolic. "The symbolism of mirrors," points out Michael Ferber, "depends not only on what things cause the reflection – nature, God, a book, drama – but also on what one sees in them – oneself, the truth, the ideal, illusion" (126). What is seen in the "crystalline pool" here as the mirror is "the ideal" related to Shelley's perfect realm, utopian place and the new Golden Age suggested by the "Praxitelean shapes" encompassing the temple.<sup>3</sup> The reflected image, moreover, is an illusion or hallucination associated more with the realm of ivory tower poetry than reality.

## 2.2. The Secluded Garden as the Ivory Tower

The aforementioned pastoral setting of Act Three looks like an Elysium that corresponds both to the myth of the Garden and the mythological Golden Age with which Shelley's mind is continually

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<sup>3</sup> Praxiteles, the most renowned of the Attic sculptors of the fourth century BC, was the representative of the climax of ancient Greek sculpture when the method of Greek artists "bore its ripest fruits" and their statues, although "like real human beings" were not unlike "beings from a different, better world" (Gombrich 70).

preoccupied. The pastoralism of the act and the site of Prometheus' cave, whose "rough walls are clothed with long soft grass," (III. iii. Line 21), is, according to Gelpi, reminiscent of "Plato's fantasy of the age of Kronos" (246). Kronos/Saturn, Zeus/Jupiter's father, ruled during the mythological Golden Age, as the first of a series of four ages (gold, silver, bronze and iron), and was known as the patron of harvest and fertility. During his reign, there was no sorrow, turmoil, or grief, and the earth was fruitful:

[T]he deathless gods who dwell in Olympus made a golden race of mortal men who lived in the time of Cronos when he was reigning in heaven. And they lived like gods without sorrow of heart, remote and free from toil and grief [...] they had all good things; for the fruitful earth unforced bore them fruit abundantly and without stint. They dwelt in ease and peace upon their lands with many good things, rich in flocks and loved by the blessed gods. (Hesiod 6)

The simple and peaceful dwelling demonstrated in this act with its "odorous plants," "leaves and flowers," "birds and bees," and "mossy seats" (III. iii. 10-11, 19-20) is reminiscent of this Kronosian era. Nevertheless, Shelley's account of Saturn, the Latin version of Kronos, is a bit different from Hesiod's. Although Shelley's Saturn is also associated with a serene paradisiacal era when man lived in "the calm joy" like the one "flowers and living leaves" do now "Before the wind or sun has withered them" (II. iv. 36-37), his reign had been a static and lethargic one in which he refused humankind "The birthright of their being, knowledge, power [...] thought / Which pierces this dim universe like light, / Self-empire, and the majesty of love" (II.iv.39-45). The lackadaisical reign of Saturn can be reminiscent of the peaceful but static state of Adam and Eve in paradise, where they were deprived of knowledge, thought, and imagination, resulting in their fallen imagination and exile into history. Similarly, in Shelley's play man's deprivation of knowledge and thought makes Prometheus the collective man to rebelliously "[give] wisdom, which is strength, to Jupiter" that, like man's fall from paradise, is itself problematic, bringing about "First famine, and then toil, and then disease, / Strife, wounds, and ghastly death unseen" (II. iv. 44, 50-1).

Because of the sovereignty of Jupiter or the dominance of reason in the first act, the world is suffused with plague, famine, toil, and corruption till Prometheus sees and wakes "the legioned hopes / Which sleep within folded Elysian flowers," that are such "fadeless blooms, / That they might hide with thin and rainbow wings / The shape of Death"

(II. iv. 59-63). The flowers described in these lines are such fadeless and everlasting blooms prophesying the end of misery and the hopeful coming of a perfect era. Not only do these folded Elysian flowers, but also many similar images in Act Two illustrate Shelley's utopian realm or Elysium: images such as "A paradise of wildernesses"; "happy heavens"; "Elysian garden islets"; "Realms where the air we breathe is love"; "Beyond the glassy gulphs we flee"; "a diviner day / A paradise of vaulted bowers"; and, last but not least, "Wilderness calm and green" (II. v. 81; 87; 91; 95; 101; 103-4; 107). Shelley's choice of words such as "flee" and "a diviner day" suggests a longing to escape the corrupt and flawed world of reality and seek refuge in idyllic "Elysian garden islets." These islands evoke images of a pristine and unspoiled state, reminiscent of humanity's prelapsarian condition in the Garden of Eden. However, this desire for escape is not a literal possibility but rather an imagined one, carried out through the power of reverie that, to borrow Bachelard's words, "is an opening to a beautiful world, to beautiful worlds" (13). Escape, that is escape from materialism to idealism and perfection where there is no state, no church and no edifices as the implications of the myth of the Citadel, is an ever-present theme in almost all Shelley's works.

In order to avoid the materialism and the contagion of the real world and what he calls "Age's icy caves, / And Manhood's dark and tossing waves" (II. v. lines 98-9) in *Prometheus Unbound*, Shelley, in his letter to Mary, suggests abandoning "all human society" and retiring with Mary and their child "to a solitary island in the sea" where he can "build a boat, and shut upon [his] retreat the floodgates of the world" (*The letters* 339). Retiring himself to such a solitary island, Shelley writes "I would be alone, and would devote, either to oblivion or to future generations, the overflowings of [my] mind" (339). Analysing these lines of Shelley's letter, Datli Beigi et al. note that Shelley "represents himself here as an ivory tower poet who leaves all human society or, rather, alienates himself from the regenerated world so as to protect himself egoistically against the tribulations of life" ("Monstrosity" 306). The pastoral and paradisiacal setting of Act Three, especially the cave where Prometheus and Asia are to be reunited archetypally, is such a solitary island that, unlike the first act with its herbless crags, is "All overgrown with trailing odorous plants, / Which curtain out the day with leaves and flowers" (III. iii. 11-12). However, being isolated and associated with lackadaisical oblivion, it rather resembles an ivory tower in which the poet has shut himself up. It is also worth noting here that, as hiding places, caves function for Romantic poets, especially Shelley, as refuges and secluded places implying "the Romantic notion of the poet as

retreating to a cave." (Ferber 40) In other words, Shelley longs here for a form of seclusion in which he, as an ivory tower poet, can retreat and devote his social and human concerns to oblivion. The solitary island mentioned in Shelley's letter as well as the solitary places and nooks of his poems, such as Prometheus' cave, where his characters would like to retire, are supposed to be paradisiacal secluded realms depicted in many of his works as either an earthly or a posthumous transcendent region. These places in Shelley's poems correspond in many respects to Akkerman's myth of the Garden offered in "the parable of the Garden of Eden" (2016, 58). The cave of Prometheus is such a place that despite being considered a perfect Edenic place is indeed a non-Edenic realm whose lack of community likens it to Akkerman's myth of the Citadel which, as the evolved form of the Tower of Babel, represents "solitude, exclusion, solidity and power" (*Phenomenology* 143). Quite contrary to the myth of the Garden, that of the Citadel is associated with a sense of community and involves "guileless human relations," the most important of which is "sharing in the environment as the only mode of human existence" (141–142). It should be noted that the solitary island Shelley describes in his letter to Mary and Prometheus' cave deny such an altruistic sharing and sense of community. By contrast, implying individuation and alienation, they function as an ivory tower, where the poet shuts himself off, thereby alienating himself from the vicissitude of everyday life as well as social, cultural and political concerns. Depicting such an excluded and solitary place and repressing his communal self, Shelley fashions his poetic identity as an alienated ivory tower poet whose poetry is the poetry of ivory tower rather than the poetry of garden. In order to achieve this garden, Shelley's alienated self should be replaced by his communal self as the basis for the myth of the Garden, which is also the garden of poetry. Thus, the radical Shelley challenges his identity as an ivory tower poet not only in *Prometheus Unbound's* fourth act – which was added by Shelley a year after having written Act One through three – but also in his later works such as *The Sensitive Plant* (1820) and *The Triumph of Life* (1822), in which the chaos, ruins, and monstrous forms represent the collapse of Shelley's poetic identity as an ivory tower poet. Further studies are needed to explore this challenge and its consequences in the already mentioned works of Shelley.

### 3. Conclusion

Throughout history, the feminine primordial myth of the Garden has been gradually subdued by the masculine myth of the Citadel. The pinnacle of this evolution was the Age of Enlightenment when the myth

of the Citadel together with reason came to dominate human environment and thought. Applying Akkerman's myths of the Garden and the Citadel as well as the biblical parables of the Garden of Eden and the Tower of Babel to the dramatic action of Shelley's *Prometheus Unbound*, this article showed how the play's development from Act One through Act Three is in fact Prometheus' regressive movement to a previous state against which he had once rebelled. Although the Garden into which Prometheus falls at the end of Act Three is reminiscent of either the mythological Golden Age of Kronos or the Biblical paradise, it represents the secluded Citadel or the Tower of Babel, where the poet shuts himself up and fashions his identity as an alienated ivory tower poet.

The place to which Prometheus and his retinue descend in Shelley's play exhibits characteristics of exclusion, individuation, and solitude, which parallel the myth of the Citadel, specifically the Tower of Babel. Although the poem initially transitions from the Citadel to the Garden, symbolizing a shift from the Tower of Babel to the Garden of Eden, what Shelley ultimately achieves in Act Three is the depiction of a solitary place, where he isolates himself from human society. This portrayal aligns with the concept of the ivory tower poet, representing Shelley's alienated self. By considering themes of alienation, solitude, and individuation in Shelley's play and examining it through the lens of the Garden and Citadel myths, as well as the Garden of Eden and the Tower of Babel, we can discern that Shelley's paradisiacal places are, in fact, non-paradisiacal. They correspond more closely to the myth of the Citadel and the Tower of Babel, further alienating him from human society and his communal self.

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### **PROMETHEUS UNBOUND (1819) DE SHELLEY MET EN SCÈNE UN HÉROS RÉVOLUTIONNAIRE QUI, UNE FOIS DÉLIVRÉ**

*Prometheus Unbound* (1819) de Shelley met en scène un héros révolutionnaire qui, une fois délivré de ses chaînes, entreprend un voyage progressant vers l'est et vers le passé. Cet article examine la représentation par Shelley de certains lieux, en particulier la caverne de Prométhée, en lien avec les mythes du Jardin et de la Citadelle selon Akkerman, ainsi qu'avec les paraboles bibliques telles que le Jardin d'Éden et la Tour de Babel. L'étude met l'accent sur la corrélation entre la caverne de Prométhée et la Tour de Babel, symbolisant la tour d'ivoire de la poésie. En représentant ce lieu isolé et solitaire et en réprimant son moi communautaire, Shelley façonne son identité poétique comme celle d'un poète de la tour d'ivoire aliéné, dont la poésie émane du domaine de la tour d'ivoire plutôt que du jardin. Pour réaliser sa vision du jardin parfait de la poésie, Shelley pose la nécessité de substituer à son moi aliéné son moi communautaire, fondement du mythe du Jardin, qui incarne également le jardin de la poésie. Une analyse approfondie de la pièce de Shelley montre comment sa représentation du lieu élyséen devient finalement un espace non élyséen, exclu, qui s'apparente davantage au mythe de la Citadelle et à celui de la Tour de Babel, séparant le poète de la société humaine et de son moi communautaire.

**Mots-clés:** *Prometheus Unbound* de Shelley, le mythe du Jardin, le mythe de la Citadelle, la Tour de Babel, la Tour d'ivoire

## IDENTITIES AT THE CROSSROADS: AN INTERSECTIONAL ANALYSIS OF THE BALKAN TRILOGY AND THEIR EYES WERE WATCHING GOD

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**Abstract:** The concept of identity raises crucial questions that shape our understanding of differences and mutual recognition. Identity is not a static entity but rather encompasses dynamic processes influenced by race, gender, class, language, culture, and other sociocultural and historical factors. These elements open up space for complex analyses of how individuals identify themselves and how they are perceived by society. In contemporary literary studies, intersectionality theory has become essential for understanding the intricate aspects of identity and social dynamics. This theory explores how different factors interact and shape individuals within society. This paper presents a comparative analysis of *The Balkan Trilogy* by Serbian author Gordana Kuić and *Their Eyes Were Watching God* by American author Zora Neale Hurston, examining different cultural and social contexts, to investigate the complexities of women's experiences and identities through an intersectional lens.

*The Balkan Trilogy* explores transformations in the identities of the Salom family women, particularly the shifts among Sephardic women influenced by social, historical, and religious forces. *Their Eyes Were Watching God* centers on the journey of Janie Crawford, an African American woman striving for autonomy and self-determination within the confines of a patriarchal and racially oppressive society in the southern United States. The analysis of Janie's experience focuses on the impact of racial, gender, and class dynamics on her identity.

By applying an intersectional critical framework, this research aims to provide deeper insights into how social norms, patriarchal structures, global historical events, and class relations shape women's identities. It will contribute to discussions on the universality and specificity of women's experiences,

offering a more nuanced understanding of the complexities of women's identities across different cultural contexts.

**Keywords:** intersectionality, identity, *The Balkan Trilogy*, *Their Eyes Were Watching God*

## 1. Introduction

Contemporary society increasingly confronts the complexity of identities, which result from the interplay of various factors such as race, gender, class, language, culture, and historical context. Identity is not a fixed entity but a dynamic process that is continually shaped by these determinants. In this context, intersectionality theory becomes crucial for understanding the intricate aspects of identity and social dynamics, particularly in the realm of literary analysis.

This research paper aims to conduct a comparative analysis of the novels *The Balkan Trilogy* by Serbian author Gordana Kuić and *Their Eyes Were Watching God* by American author Zora Neale Hurston. Both novels provide fascinating insights into the dynamics of identity, placing their protagonists in the face of challenges arising from a range of factors that shape their lives. *The Balkan Trilogy* follows the generational transformations of the women in the Salom family, while *Their Eyes Were Watching God* narrates the life of Janie Crawford, an African American woman who navigates and challenges the constraints imposed by the patriarchal and racially discriminatory structures of the American South.

The methodology of this research is based on a qualitative analysis of the novels through an intersectional critical framework. The focus will be on identifying key themes and motifs in the novels that illuminate the complexity of women's identities in different sociocultural and historical contexts.

## 2. Intersectionality

Three decades ago, Black feminist, legal scholar, and critical race theorist Kimberlé Crenshaw coined the term “intersectionality” as an analytical framework addressing the specific position of African-American and other non-white women within the context of civil rights law and the civil rights movement. Her central idea was that different aspects of identity, such as race, class, gender, sexual orientation, and ethnicity, intersect and shape individual experiences. This concept has become one of the most significant contributions to feminist theory, particularly Black feminism, over the past twenty-five years. In her works

from 1989 and 1991, Crenshaw challenged established models of thinking about race and gender, emphasizing the importance of incorporating the multidimensional experiences of Black women (Crenshaw 1989; Crenshaw 1991).

In her essay *Demarginalizing the Intersection of Race and Sex: A Black Feminist Critique of Antidiscrimination Doctrine, Feminist Theory and Antiracist Politics*, Crenshaw highlighted the shortcomings of a “single-axis” analysis when viewed in relation to the “multidimensionality of Black women's experiences.” She pointed out that such an approach erases “women of color” from the processes of conceptualizing, identifying, and combating racial and gender discrimination by focusing solely on the experiences of the privileged members of those groups. The critique of the “single-axis” framework reveals a broader challenge, as “these problems of exclusion cannot be solved simply by including Black women in existing analytical structures” (Crenshaw 1989, 140). Crenshaw underscores that the “intersectional experience” is more complex than the mere additive effects of racism and sexism, and analyses that do not consider intersectionality cannot adequately capture the specific forms of subordination faced by Black women. She concludes that these observations require a fundamental restructuring and rethinking of existing political frameworks (Crenshaw 1989, 166–167).

In her subsequent work, *Mapping the Margins: Intersectionality, Identity Politics and Violence against Women of Color*, Kimberlé Crenshaw emphasizes that intersectionality should be viewed as a tool for understanding the complexity of identity and the struggle for rights. She argues that intersectionality cannot be used as an absolute theory of identity but rather as a concept that encompasses various dimensions of social domination. Crenshaw introduces three key aspects of intersectionality: structural, political, and representational (Crenshaw 1991, 1245).

Through the concept of structural intersectionality, Crenshaw demonstrates that social interventions focusing on only one dimension of power are insufficient to address the needs of marginalized women. Structural intersectionality, as explained by Crenshaw, explores how the intersection of gender and race impacts the experiences of women of color who face domestic violence and sexual assault (Crenshaw 1991, 1245). She highlights how factors such as unemployment, poverty, and childcare responsibilities exacerbate the challenges these women encounter. Crenshaw stresses that the intersection of race, gender, and class shapes specific obstacles that women of color face, making it harder for them to access resources and support compared to white

women (Crenshaw 1991, 1246–1250). The fact that women from minority communities experience subordination alongside institutional expectations based on inadequate non-intersectional contexts further limits opportunities for meaningful intervention on behalf of these women.

Political intersectionality, the second concept Crenshaw introduces, examines how women of color navigate their identities within at least two subordinated groups, often with conflicting political agendas (Crenshaw 1991, 1252). Crenshaw also explores how racial and cultural factors contribute to the suppression and marginalization of domestic violence among women of color (Crenshaw 1991, 1257). She argues that both anti-racist and feminist discourses often focus on broader issues, neglecting the specific challenges faced by women of color, which leads to the continued marginalization and invisibility of these problems (Crenshaw 1991, 1257–1258). Crenshaw emphasizes the importance of recognizing the intersection of racism and patriarchy in effectively addressing domestic violence, asserting that women of color should not have to wait for the elimination of racism to experience safety and justice. She, therefore, underscores the necessity of exploring the relationship between racism and domestic violence:

Racism is linked to patriarchy to the extent that racism denies men of color the power and privilege that dominant men enjoy. When violence is understood as an acting-out of being denied male power in other spheres, it seems counterproductive to embrace constructs that implicitly link the solution to domestic violence to the acquisition of greater male power (Crenshaw 1991, 1258).

In her work, Crenshaw also critiques approaches that frame domestic violence exclusively as a problem within minority communities, advocating for broader recognition of its prevalence across different demographic groups (Crenshaw 1991, 1258–1259).

In the final category, “representational intersectionality,” Crenshaw examines the cultural construction of “women of color”, analyzing how controversies in their representation in popular culture can obscure their unique position and, in doing so, become a source of intersectional disempowerment.

Both of Crenshaw's essays have had a significant impact on the evolution of feminist theory, emphasizing the need for new paradigms in approaching the experiences of Black women. These essays have driven changes in the very core of feminist theorizing, highlighting the necessity of creating an analytical framework that relies on powerful

metaphors to uncover the essence of power mechanisms and their interactions. Additionally, they have clearly linked the political goals of inclusive democracy with the theory and portrayal of power. As a tool for analyzing power, intersectionality has directed attention to the specific forms of subordination and oppression inherent in the intersectional and multiplying experiences of racism and sexism within legal systems.

### 2.1. Critiques and Challenges

Since its inception, intersectionality has become a significant paradigm in academic discourse, activism, and policy formation. Within feminist studies, intersectional analyses have broadened the understanding of gender inequality by exploring the experiences of “women of color”, “queer individuals”, and other marginalized groups (hooks 1984). Similarly, in the field of Critical Race Theory, intersectionality has illuminated the complexity of racial discrimination and highlighted the intersections of race, class, and gender in shaping the lived realities of individuals (Crenshaw 1991). Despite its contributions, intersectional theory has also faced critiques and challenges. Some scholars argue that intersectionality has become depoliticized, losing its radical potential (Cho, Crenshaw, & McCall 2013). Others express concerns about its limitations in incorporating the experiences of individuals who occupy intersections of various privileges (McCall 2005).

One of the challenges intersectionality also faces is the insufficient recognition and integration of Jewish women’s experiences within this theoretical framework, despite the critical importance of including their dual marginalization as both women and Jews. Their experiences encompass complex forms of discrimination stemming from this combination of identities, including gender-based, ethnic, religious, and other forms of discrimination. This particular experience of Jewish women has not been adequately reflected in existing intersectional analyses, posing a challenge to creating a more comprehensive theoretical framework. Additionally, the lack of inclusivity toward Jewish women's experiences may result in inadequate strategies for combating injustices and fostering a more inclusive society. Therefore, acknowledging and integrating the experiences of Jewish women into the intersectional approach represents an important step toward a deeper understanding and more effective struggle against all forms of marginalization.

In the research paper *Placing Jewish Women into the Intersectionality of Race, Class and Gender*, Jessica Greenbaum

thoroughly analyzes the complexity of Jewish experiences through the lens of race, class, and gender (Greenbaum 1999). Through a substantive analysis of historical transformations in the perception of Jewish race, Greenbaum raises key questions about the evolution of Jewish identity from a “racial” to a “non-racial” status, while simultaneously highlighting the problematic assumption that Jews are “not quite white” (Greenbaum 47). The author underscores the importance of recognizing the multifaceted identities of Jewish women, while also rejecting a one-dimensional portrayal of Jewishness solely through the prism of religion and challenging the constraints of being categorized solely as white. Greenbaum also explores class divisions within the Jewish community and emphasizes the need for an inclusive approach that recognizes marginalized segments such as the working class and poor Jews, particularly women and the elderly (Greenbaum 44–45). One of the key challenges Greenbaum highlights is contemporary antisemitism and the need to recognize and confront it. The author warns against the marginalization of Jewish women’s experiences within feminist and antiracist movements and stresses the importance of inclusivity and solidarity among different subordinated groups. She also opposes the emergence of “competition of oppressions,” which overlooks the specificity of the Jewish experience and advocates for the recognition and fight against all forms of aggression without isolating or relativizing individual experiences (Greenbaum 55–58). Through this interdisciplinary research, Greenbaum raises important questions about identity, power, and inclusion in contemporary society and calls for a deeper understanding and recognition of the complexity of Jewish experience within the broader context of racial, class, and gender dynamics.

In addition to these challenges, debates persist over the feasibility of applying intersectionality in research and activism, including questions of methodology and terminology. After more than a quarter-century of study within feminist academic circles, there is growing concern that intersectionality may be losing its analytical relevance. Some suggest, perhaps indirectly, that an intense focus on depicting the social conditions of Black women in the U.S. may limit the development of a comprehensive theoretical framework applicable to a broader spectrum. Others express disappointment that intersectionality cannot fully encompass the complex aspects of identity in relation to various and multiple social categories, such as sexuality, nationality, religion, age, and abilities, which becomes evident in contemporary intersectional debates. Nevertheless, the political significance of paradigms that make the interactive processes of social marginalization

visible is undeniable. The institutional transformation of the position of non-white feminism in the academic world is a direct result of the political engagement of intersectional approaches. Thus, there is tension over the potential rejection or reexamination of the theoretical role of intersectionality, while still maintaining a focus on its core goals of social justice.

In the context of analyzing the novels *The Balkan Trilogy* and *Their Eyes Were Watching God*, intersectional theory is essential because it enables us to understand how different factors intersect and shape the identities of female characters. By analyzing the interaction of factors such as race, class, gender, and religion, we can better understand the complexity of women's experiences in different cultural and social contexts. Additionally, intersectional theory helps us to illuminate the intricacies of social power structures that influence the formation of identities and individual experiences. By recognizing and integrating the experiences of Jewish women into this theoretical framework, we expand our understanding of intersectionality and contribute to the construction of a more inclusive understanding of identity and a more just society.

### **3. Intersectional analysis of *The Balkan Trilogy***

Gordana Kuić's *Balkan Trilogy*, despite its, shall we say, narrative and artistic shortcomings, is an important work because it spans almost the entire 20th century in its temporal setting and extends geographically from the former Kingdom of Yugoslavia to the Socialist Federal Republic of Yugoslavia, and then to the wider world. It traces the fate of a Jewish Sephardic woman. We refer to her as a woman based on our initial premise that the characters in this work are portrayed in a two-dimensional manner, with the individual destinies of the heroines being viewed as a process of transformation of a woman/women from the mentioned group. By two-dimensionality, we mean the fact that all of them experience minimal character changes, which are predetermined the moment they appear on stage. The changes they undergo pertain to the external dimension, specifically the manifestation of identity across different generations of the Salom family. Each heroine is thus presented as a finished product, and the differences among them, conditioned by the socio-historical context, actually offer a developmental picture of potential changes on an individual level – beyond the scope of this text. Research on this linguistic material could be valuable and lead to a re-examination of whether the Jewish woman even deserves to be considered in the context of intersectionality, first and foremost, and could also serve as

material for a comparative analysis of this theory on material related to nominally the same groups, but belonging to different temporal-spatial frameworks.

The initial identity of the women in the Salom family is predetermined by the facts of gender, nationality, and religion.<sup>4</sup> The first in the line, the mother, Estera, is fully aware of these predeterminations and strives to raise her three daughters in accordance with them. Her advice to Blanka is grounded in the centuries-old traditional life of a Jewish woman, as she says:

Never before has it happened that a Jewish woman or a Jewish man marries a non-Jew. That cannot and must not happen, and that's that! (Kuić 32).<sup>5</sup>

Her attempts to prevent Blanka's relationship with Korać are argued not only by national, religious, and social differences but also by what the role of a Jewish woman is:

(...) your life is not just your own. We women must think about our children, about the preservation of our people. If we don't have enough children, we will disappear, our people will disappear. That is the only thing that can sustain us, scattered as we are around the world.(Kuić 49).

In addition to the youngest daughter's extramarital relationship, two marriages bring particular shifts in the family – Nina's, with the Orthodox Christian Škoro, and Klara's with the Catholic Ivo. In fact, this second marriage is even more problematic, “because a Catholic was a degree worse than an Orthodox Christian” (Kuić 55), and “another ‘non-Jew’ interfered in the shaky procession of Sephardic grooms” (Kuić 54). However, despite centuries-old tradition, the community, led by the family as the closest-knit unit, cannot prevent the Salom daughters' departure from it. The reactions of the wider community are mentioned

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<sup>4</sup> Jelena Filipović (2014) explored the linguistic dimension of the identities of the heroines in the novels *The Blossom of Linden in the Balkans*, *Twilight in the Balkans*, and *Ghosts over the Balkans*, which she classifies as autobiographical fiction. Her analysis focuses on female identities within the Sephardic world of the 20th century and the use of Ladino, as discussed in her article *Identity Construction through Discursive Practices and Code-Switching in Autobiographical Fictional Narratives by Rosa Nissán and Gordana Kuić*.

<sup>5</sup> All references and quotes from Kuić's novel are from, Kuić, G. (2021). *Balkanska trilogija*, Beograd: Vulkan izdavaštvo. All quotes in the text from this edition were translated from Serbian by the author.

almost in passing, but in reality, they could hardly be reduced to the humorous remarks presented, such as the father Leon being expelled from the Jewish society and banned from entering the temple, or Nina avoiding certain streets for a while – streets where she was stoned. Despite efforts to keep Klara's marriage in Zagreb a secret, the contemporary press reported on this sensational event, and the Sarajevo public learned about the new defiance of the Salom family. Of all the daughters, only Buka followed the traditional path by marrying a Jewish man; however, his mental illness soon began to erode the family, with only a single hint given as to what might have caused his illness – Buka, after Klara's wedding, wistfully thinking that if she had married a non-Jew, she might now have a husband as well.<sup>6</sup>

In addition to the public scandal caused by their choice of non-Jewish partners, with the added complication in Blanka's case – since, in addition to this deficiency, her chosen one refuses to marry her for fourteen years while providing her with an apartment and supporting her – the Salom daughters committed several other outrageous acts. Born and raised in a poor family, they – primarily Nina, who was joined by Klara and even Blanka as a child – decided to pursue economic independence by opening a hat shop. While there was some approval due to the general benefit, the Sarajevo public was scandalized because:

...in Sarajevo, something like this had never even been imagined: a young, poor Jewish woman, and above all a woman without serious male backing, opening her own shop! (Kuić 24).

However, Nina Salom remained steadfast in her decision. The only way to independently decide her own life is clearly stated by Riki Salom:

Blankica, understand, we are independent women, capable of earning and supporting ourselves, and therefore capable of deciding our own lives! (Kuić 67).

In this analysis, we will also examine the development of Blanka Salom's identity. She first becomes aware of what she is as a little girl when she receives a ham sandwich – a food that is definitely not kosher – from a classmate for lunch at school. At that moment, she experiences a conflict between her social and religious/national identity, and, perhaps not fully consciously, she realizes that in a conflict between bare

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<sup>6</sup> We believe these are genetically predisposed diseases that have arisen due to the lack of intermarriage between members of the Jewish community and those of other ethnic groups.

existence and moral postulates of a different kind, with certain compromises, priority can be given to the existential. She adheres to this existential, personal principle throughout her life, despite being declared by members of the immediate Salom family as the only true successor of her mother Estera and the Jewish lineage. Namely, on the eve of World War II, after marrying Marko Korać, she becomes aware of the following:

No, now it will be Branka. When she cooks, buys, embroiders, goes to the market, reads, and plays the piano, she will always be Branka Korać (Kuić 145).

This decision is further solidified during her pregnancy when she decides that her daughter, since she is already convinced she will not give birth to a male heir, will be raised in the spirit of her husband's faith and nationality:

She will be baptized in an Orthodox church, raised in the Serbian spirit, and given a Serbian name. She will learn that she has Jewish blood, but let that come later. After all we've been through... no! My people have always suffered too much... so let everyone condemn me, but I want my girl to belong to them as little as possible (Kuić 237).

This decision is finally strengthened during the war, which changed her. In those moments, filled with an unknown compassion for herself or perhaps for the Blanka who disappeared, she defines herself as Branka Korać. However, it is interesting to note that Blanka's/Branka's actions in practice and her identity, as perceived by others, differ somewhat from these stated views. Despite allowing Marko's masculinity to dominate throughout their relationship so that she could ultimately have her way, and despite dedicating her entire life to the needs of her family, she is drawn closer to the profile of Estera Salom. At one point, Riki says, "...you are a bridge, yes, a bridge between different people, between the past and the present. You are the only one who continues Estera's line" (Kuić 259), which Klara confirms in a letter:

All of us have gone astray in one way or another, and if it weren't for you, after Buka's death, our tradition would no longer exist. I don't mean celebrating Pesach and Rosh Hashanah, but that deeply ingrained Sephardic womanhood (Kuić 355).

Despite her revolutionary activities, though provoked, as always, to protect her family, our heroine becomes truly aware of her identity after revisiting the Sarajevo of her childhood (in 1964), which Riki confirms for her:

But this is more than just memory, this is her true self. –  
Blanka Salom – whispered Branka Korać (Kuić 497).

Riki: sister, believe me, you are still Blanka Salom, and you will always remain so (Kuić 514).

The third generation of Salom women, primarily represented by Vera Korać, will be analyzed here. We will highlight just a few facts given in the text regarding the formation of her identity. On the eve of one Christmas, Riki, to brighten the gloomy, impoverished post-war life caused by the new state order that declared their family domestic traitors, makes a Christmas tree and organizes gift-giving. In her childhood, Vera is joyful, but this event is overshadowed by her father's statement:

And the Christmas we celebrate has nothing to do with ours! Who has ever seen gifts and a tree with Orthodox Christians? But let the child be happy! (Kuić 360).

Thus, Vera grows up amid stories about the Salom family, her mother's semi-traditional Jewish cooking, multicultural Christian customs, and the achievements of the new state order, in which the Korać family are representatives of the world of former people, negative phenomena, domestic servants, obstacles to "superhuman efforts and self-sacrificing struggle to build the country and the new socialist society," even though Marko was nearly killed in Sarajevo for being a prominent Serb whose daily newspapers consistently denounced the Ustaša leader Ante Pavelić, and she – Branka, who could have been taken to the execution ground any day as a Jew (Kuić 272).

After growing up in the new society, with all its turbulence and difficulties, as well as the remnants of the Salom family's traditions, Vera Korać becomes, we would say, a bitter and wounded woman, ill, devoted to science and unsuccessful loves. Her finale is revealed in the last part of the trilogy, *The Calm of the Day in the Balkans*. She thus grows into a representative of:

the kind that is dying out in this plastic, standardized, empty end of our epoch! Utterly consistent in her stance and opinion and everything she represents, and she represents a world of honesty and decency. She deserves admiration, not judgment... She is... she is the tradition of this land in the best sense of the word (Kuić 661).

However, she sees herself as:

the center of the world and its last waste. Depending on the situation. Both as waste and as the center, she is most important to herself. She is not like her mother, who always put Marko and her ahead of herself. Not even love for Ivan changed that. Vera doesn't like her conclusion, but she knows it's true (Kuić 672).

She also sees herself, confronted with the descendants of her uncle Elijas, as a family outcast, but this contrasts with the constructed image of her in the eyes of these same women, because Estera says, although acknowledging that she is a Korać: "I love your humor. You're a true Jewess... from origin to exile" (Kuić 781). Despite the socio-historical blows during her upbringing, Vera embodies both the cross and the Star of David (Kuić 688), and all the good in her comes from her mother Branka/Blanka, while her father gave her Slavic weight and Herzegovinian strictness (Kuić 778).

We will conclude with Elijas's three daughters, who physically do not resemble the Sarajevo Saloms, but flash their bright eyes like assertive Israeli women and speak directly what's on their minds:

They are attractive, but devoid of coquetry and European refinement. They are not rough, but they are bluntly honest. They defy all fossilized Jewish stereotypes (Kuić 706).

One of them, although she has been living in America for fifteen years, has not succumbed to acculturation; rather, she has converted her husband, an American Jew, into an Israeli. We are left to wonder if the author's remarks are directed toward the idea that under the mentioned stereotypes we should understand external adaptability and mimicry, which perhaps manifests in all the characters in this trilogy who live in multinational and multiconfessional environments, while growing up in a nationally and religiously monolithic environment excludes such behavior.

In conclusion, we return to the beginning and affirm that the portrayal of the Jewish community members in Kuić's trilogy, despite the aforementioned literary-artistic shortcomings, poses a research challenge within the framework of our established approach.

### **5. Intersectional analysis of *Their Eyes Were Watching God***

The novel *Their Eyes Were Watching God* by Zora Neale Hurston explores the life of Janie Crawford, an African American woman who

faces complex challenges in her quest for autonomy and self-realization within the patriarchal and racially oppressive context of the rural southern United States. Through an analysis of Janie's life, the novel provides insight into the dynamics of racial identity, gender, and class within the African American community.

Janie Crawford's three marriages serve as an illustration of the complex dynamics of patriarchal norms and their impact on the lives of African American women. Through a layered narrative of her experiences, we gain a deeper understanding of how gender identity and roles evolve and transform through marital relationships, economic dynamics, and social interactions.

Gender dynamics, as a key element of intersectional analysis, are highlighted through the lens of power, control, and subversive strategies within the patriarchal system. Janie's journey reveals how stereotypical relations between men and women not only empower men but also constrain women, creating deep social inequalities. This perspective is not only prevalent among men but is often internalized among women as well, as evidenced by the example of Janie's grandmother.

Janie's grandmother, who lived through slavery and poverty, does not believe that Black women can live independently without the help of men. This skepticism toward female independence is why she insists that Janie marry. When she saw Janie kissing Johnny Taylor at sixteen, her grandmother remarked:

What Ah seen just now is plenty for me, honey. Ah don't want no trashy nigger, no breath-and-britches, lak Johnny Taylor usin' yo' body to wipe his foots on (Hurston 13).<sup>7</sup>

The grandmother believes that material security is the only guarantee of her granddaughter's safety and well-being. She does not believe in love and is unconcerned that Janie does not love Logan Killicks, the older man who is interested in her. She tries to explain to Janie how she understood the role of women in society:

Ah was born back due in slavery so it wasn't for me to fulfill my dreams of whut a woman oughta be and to do. Dat's one of de hold-backs of slavery. But nothing can't stop you from wishin'. You can't beat nobody down so low till you can rob 'em of they will. Ah didn't want to be used for a work-ox and a brood-sow and Ah didn't want mah daughter used dat way neither. It sho wasn't mah will for things to happen lak

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<sup>7</sup> All references and quotes from Hurston's novel are from Hurston, Z. N. (2006). *Their eyes were watching God*. New York: Harper Perennial Modern Classics.

they did. All even hated de way you was born. But, all de same Ah said thank God, Ah got another chance (Hurston, 2006, p.16).

This perspective of the grandmother shows how gender dynamics within the African American community reflect broader societal pressures and historical traumas. Her insistence on material security through marriage demonstrates how gender roles have been shaped over generations, through experiences of slavery and economic insecurity. This emphasizes the complexity of the intersectional approach in analyzing gender dynamics, showing how individual lives and decisions reflect broader social and historical processes.

Patricia Hill Collins, a prominent American scholar and sociologist who has made significant contributions to the study of gender, race, and class, uses the concept of intersectionality in her work *Black Feminist Thought: Knowledge, Consciousness, and the Politics of Empowerment* to analyze how different forms of oppression, such as race and gender, intersect and collectively contribute to injustice. She introduces the concept of “controlling images” to explain how these overlapping oppressions are organized, emphasizing that structural, disciplinary, hegemonic, and interpersonal domains of power are repeated through various forms of oppression (Collins 18). In this context, Janie’s journey can be seen as an example of resistance to the patriarchal structures that Collins describes. Janie’s struggle for independence and autonomy, despite the pressures from her grandmother and the broader community, reflects the subversive strategies that Collins identifies as crucial for the empowerment of Black women. The grandmother, through her insistence on marriage as the only path to security, represents the hegemonic domains of power that limit women’s freedoms and reproduce gender inequalities. Like many African American women, the grandmother resisted the controlling images of the “work-ox” and “brood-sow,” but since she was a slave, she did not have the right to fulfill her dreams of what she should do and what kind of woman she should be. “She saw the constraints on her own life but managed to keep the will to resist alive. Moreover, she tried to pass on that vision of freedom from controlling images to her granddaughter” (Collins 93).

Janie, though reluctantly agreeing to marry, does not cease hoping that when she marries Logan Killicks, she will achieve the love she longed for. However, instead of love and respect, she faces reality: Logan saw her as a helper in the household and the fields, not as a partner. Janie’s first marriage to Logan illustrates traditional gender

roles where men dominate the public sphere, while women are confined to the private sphere. Marital relationships and roles are shaped by economic inequality and patriarchal norms. Janie, immediately after entering marriage, makes a clear distinction between male and female roles, believing that women should engage in household chores while men are responsible for physical labor. However, Logan ignored this division, suggesting that she has "...no particular place." Her place was "wherever Ah need yuh" (p. 31). These words reflect how Logan perceived traditional gender roles and how he used his power to impose his norms. Since his home, like those of men similar to him, according to Crenshaw, was a "safe haven" where he did not have to face the racist society, he used that same place as an opportunity to show that he was the one in charge and that his power was visible at least there (Crenshaw 1991, 1257). Feeling that Janie disagreed with his views and that she might leave him because of them, Logan resorted to insults as a way to preserve his pride and power, often comparing her to his first wife and using his dominance to control her and prevent her from leaving, which inevitably happens soon. These dynamics clearly illustrate how traditional gender norms shaped marriage and power within it.

The second marriage to Joe, a wealthy farmer and soon-to-be mayor of Eatonville, illustrates how power and prestige can be used as tools of control over a partner while reflecting traditional gender roles that expect women to be submissive and obedient. Joe's behavior toward Janie, including public humiliation and restricting her self-expression, demonstrates how easily he could degrade and completely subjugate her. For example, when opening the store, the gathered crowd was excited and wanted to hear a few words from Janie, the mayor's wife, which Joe immediately cut off, saying that his wife "don't know nothin' 'bout no speech-makin'." He added that he "never married her for nothin' lak dat. She's uh woman and her place is in de home." (p.43). With these words, he openly displayed how easily he could humiliate her in front of others, showing a complete disregard for her feelings, which underscores the gender roles women were expected to adhere to at that time. Additionally, Joe forbade Janie from discussing what he deemed inappropriate matters with the people gathered on the store's porch, as this was not fitting for the mayor's wife. However, the more apparent reason for this restriction was his jealousy, which became evident when he ordered Janie to always tie her hair up in a headscarf in the store so other men wouldn't be able to admire it. Like Logan, Joe, as Janie realized, married her to ensure her unwavering obedience. He believed that women needed to be told what to do and were incapable of thinking for themselves. This realization, similar to the

moment she stood up to Logan, drove her to find her voice, which developed as her relationships improved and fight for her freedom (Racine 283). "Ultimately, just like the titular caged bird, she conquers her state of captivity by releasing her voice" (Stanković 980). This provoked Joe to hit her in front of everyone, showing her that she had stepped beyond the boundaries he had set for her. By standing up to him, Janie managed to shake his firm grip on Eatonville's power system, over which he had held unchallenged control. After his death, Janie felt the relief and freedom she had always longed for. Her liberation was symbolically captured in her burning all the headscarves she had used to tie her hair the very night Joe died.

Patricia Collins points out that the empowerment of Black women through resistance to patriarchal structures is a key element of Afro-American feminism, which can be applied to the analysis of Janie's liberation from traditional gender roles. Collins discusses the subversive strategies women employ to resist patriarchal norms and achieve autonomy (Collins 24). Thus, Janie demonstrates resistance to patriarchal expectations and seeks her freedom in various ways, such as refusing to conform to traditional gender roles or burning the scarves that symbolized her status. "Instead of adhering to gender-conditioned roles and being passive object(s) of male desire," she becomes an active agent in shaping her destiny (Janjatović & Popin 452). Her journey from "obedient granddaughter and wife to a self-defined African-American woman can be directly traced to her experiences with each of her three husbands" (Collins 24).

The third marriage to Tea Cake offers a contrasting image and shows how traditional gender norms can be questioned and challenged. Tea Cake is the first husband who truly loves Janie and allows her to engage in activities traditionally associated with men. This relationship shows how solidarity and balance can transcend patriarchal power patterns. Through shared activities such as fishing, shooting, hunting, or playing checkers, which are typically associated with men, Janie begins to discover herself and her identity outside of stereotypical roles, and their relationship becomes an example of a non-traditional gender dynamic between a husband and wife who complement each other in everyday responsibilities.

However, even in this relationship, jealousy and a sense of insecurity can cross boundaries and lead to violence, illustrating how love can still be susceptible to patriarchal power patterns. Despite his love, Tea Cake becomes abusive under the influence of fear that he might lose Janie to another man. This shows that even in loving relationships, gender roles and power can still play a crucial role, and

that love cannot always overcome deeply ingrained norms. Tea Cake does not want to hit Janie, but he feels, rather than thinks, that he must.

Their relationship represents the linking of sexuality and power, the potential for domination within sexualized love relationships, and the potential for using the erotic, their love for each other, as a catalyst for change (Collins 160).

The reason Janie doesn't react this time is that the act of violence occurs within a relationship that still has love. However, Janie realizes that she has once again become subordinate and that even a great love like theirs cannot exist outside the influence of gender roles.

Janie Crawford's prescribed gender role undoubtedly intertwined with her racial identity, the complex dynamics of which were unexpectedly revealed during her early childhood. Her journey from an innocent childhood spent in a mixed environment to facing the harsh truth about her origins highlights how racial identity can be complexly inherited and shaped through generations. Janie, who grew up without parents and with a grandmother who worked for white people, initially didn't see the difference between herself and the white children she grew up with. It was only when she recognized her Black heritage in a group photograph that she realized her identity was much more complex than she had previously thought. Upon realizing that the long-haired Black girl was actually her, she exclaimed, "Aw, aw! Ah'm colored!" (p.9). Until that moment, she had not understood her racial identity. It revealed that she was of mixed race, that her father was a white rapist, and that her mother was the child of a Black slave and a white slave owner.

Through the character of Janie's grandmother, who passed on her trauma to Janie, the novel emphasizes the continuing influence of the past on an individual's present and future. As a slave who had experienced the dehumanization of slavery, Janie's grandmother believed that Janie's secure life would be ensured through marriage to a wealthy man, imagining that Janie would live "lak de white madam" (114). This reflects the racial inequality that often reproduces itself through institutional mechanisms that mirror existing power structures (Crenshaw et al., 1995, 396). This can be seen in the grandmother's expectations for Janie and the idea that the key to her secure future lay in marrying a wealthy man, illustrating the social norms and expectations arising from racially differentiated power structures. Janie's resistance to her grandmother's expectations and her desire to find her path to freedom are key themes in the novel, illustrating the

individual's ability to break free from the chains of the past and shape their identity.

Janie's marriage to Logan Killicks reflects the discrepancy between her grandmother's view of marital privileges and the reality of racial discrimination that Janie faced in her marriage. Logan was rough and controlled every aspect of their life, while Janie felt trapped in the relationship. Her feelings that "de world wuz cryin' extry" and that she didn't "read de common news yet" (p.114) symbolize her inner conflict and sense of imperfection and unfulfillment in that marriage.

Janie's relationship with Tea Cake, a working-class Black man, challenges traditional racial norms and prejudices within the African-American community but gives Janie the opportunity to find true love and autonomy. Although both belonged to the African-American community, their different social statuses – Janie from the middle class after her marriage to Mayor Starks and Tea Cake from the working class – created different perspectives on racial identity. Due to Janie's previous status and the expectation that she would marry someone of higher class, their relationship was not met with approval. Furthermore, the community was suspicious of Tea Cake, believing that his interest in Janie was motivated by her money and that he would only "throwin' away whut Joe Starks worked hard tuh git tuhgether" (p.111). This perception highlights the deep-seated prejudices and social differences that shaped their relationships. As a working-class African American, Tea Cake was exposed to significant levels of racial discrimination in society, which was connected to his economic status. Despite this, both of them demonstrated resistance to racial inequality through their behavior and mutual relations, reflecting their determination to fight against prejudice and stereotypes.

Their shared experiences, including going hunting, fishing, going to the movies in Orlando, dancing, gardening, and learning to drive, indicate their closeness and constant mutual support. Despite their conscious differences, they spent much of their free time together, illustrating the possibility of overcoming racial differences and the importance of broader racial horizons and embracing diversity within the African-American community.

It is not uncommon for class affiliation to intertwine with racial and gender identification, creating complex patterns of social inequality (Collins 69). Janie faces economic challenges and constraints due to her socioeconomic position, further complicating her experience as a Black woman in a society deeply imbued with class inequality. Janie's journey from relative wealth to poverty and the recreation of her life illustrates the complexity of economic mobility and social inequality in American

society. Faced with the pressures of social norms and expectations imposed on Black women in American society, Janie actively “builds her identity” by resisting conventional ideas of what it means to be a woman, Black, and lower class. At the beginning of the novel, Janie is part of a poor working-class community in rural Florida, where her life is shaped not only by her economic status but also by social expectations arising from her racial and gender identity. Her first husband, Logan Killicks, a Black farmer, bears the burden of racial and class marginalization, but he has a certain financial security that promises stability. However, Janie faces an internal conflict because, although her marriage to Logan satisfies some practical needs, it lacks deep emotional connection. This conflict between practicality and the desire for true emotional connection highlights the complexity of her situation.

Her second marriage to Joe Starks, a wealthy farmer, elevates her to a new social class and brings with it different challenges. Joe Starks uses his economic wealth as a tool of control within a patriarchal society, demonstrating how class dynamics intertwine with gender power relations, creating a complex web of domination and subordination (hooks 118). Janie becomes increasingly aware of the importance of economic independence as a means of liberating herself from male control and asserting her own identity. However, through her development, Hurston emphasizes that economic power is not the sole factor shaping life choices, but rather part of a broader identity set, as bell hooks also discusses:

Before women can work to reconstruct society, we must reject the notion that obtaining power in the existing social structure will necessarily advance feminist struggle to end sexist oppression. It may allow numbers of women to gain greater material privilege, control over their destiny and the destiny of others, all of which are important goals. It will not end male domination as a system (hooks 92).

The exploration of class dynamics in the novel reveals how economic inequality and social mobility affect the lives of characters, particularly within the context of racial and gender prejudices. Janie faces discrimination as a black woman of lower economic status, which further complicates her struggle for autonomy and freedom in the face of racial and economic discrimination. Her class status influences how other characters perceive her, with some viewing her marriage to Joe Starks as a privilege, while others treat her with hostility due to her origins. This shifting perception illustrates how class shapes social

perceptions of an individual in the context of race and gender (hooks 84–95).

An intersectional analysis of class dynamics in the novel also reveals how economic inequality is reflected in Janie's relationships with other women. Through her interactions with characters like Phoeby Watson and Mrs. Turner, we see that class affiliation can shape relationships among women in the community, often leading to tension and rivalry rather than solidarity and mutual support.

bell hooks, a prominent black feminist and intellectual, in her study *Feminist Theory: From Margin to Center*, analyzes the impact of past and present on identity, as well as the importance of solidarity in the fight against discrimination. This can be applied to the relationship between Janie and Tea Cake, where their bond challenges traditional racial norms and offers hope for overcoming racial divisions (hooks 68–83). Kimberly Crenshaw also discusses this in her study *Critical Race Theory: The Key Writings That Formed the Movement*, noting that African-American individuals must struggle not only against external forms of racial discrimination but also within their own community, where they face internal racism and pressures to conform to stereotypes: "The ideal was to transcend stereotypes in favor of treating people as individuals free from racial group identification." (Crenshaw et al. 1995, 129). Through the encounter between Janie and Tea Cake, representatives of different social strata within the African-American community, the conflict between traditional racial norms and individual autonomy is revealed. The relationship between Janie Crawford and Tea Cake illustrates a complex interplay of economic, racial, and gender factors. Although Janie, coming from a higher economic class and being financially stable, feels an inner void, her relationship with Tea Cake, a poor laborer, brings her the emotional fulfillment she lacks. For instance, when Tea Cake suggests they go together to the Everglades to pick beans, he offers Janie what material wealth cannot – deep emotional connection and an adventurous spirit. Their relationship transcends class divisions and shows how different forms of wealth can contribute to happiness and fulfillment in life, as illustrated by his courageous actions and ability to provide emotional support. Through their romantic relationship, we see how they confront prejudices and stereotypes. Their love and mutual support illustrate the importance of a collective struggle against racial inequality and the need for solidarity within the African-American community, as Crenshaw emphasizes: "group solidarity was necessarily to change existing power relations" (Crenshaw et al. 1995, 145).

## 5. Conclusion

According to Collins, Black women have been doubly subordinated and often viewed as “impure,” both because of their race and their gender. This dual stigmatization contributed to their profound marginalization (Collins 129), as can be seen in the case of Janie.

In the context of the novel, Janie's character symbolizes the resistance and struggle for the emancipation of Black women in American society. Janie's quest for love, freedom, and independence represents a universal desire for liberation from systems of oppression, “condemnation of the restrictiveness of bourgeois marriage, and exploration of interracial sexism and male violence” (Jordan 108). Through her courage and determination, Janie inspires other women to resist oppressive systems and seek their own freedom and justice. Janie's journey from subordination to empowerment highlights the complex interaction between gender dynamics, racial, and class factors, thus shaping intricate patterns of identity and experience.

On the other hand, the issue of Jewish women in Gordana Kuić's trilogy is presented through several generations in the 20th century. By following the women of the Salom family, we uncover the transformations of their identities, shaped by various challenges and struggles imposed by the conflicts between traditional life and dynamic historical changes, which specifically affected the Jewish community during this century. The novels explore the stereotypical constructions imposed on Jewish women and the ways in which they reconcile or resist these constructions, as well as the compromises they might achieve. Each of these women formed her identity differently, depending on the socio-historical and spatial context. Despite the literary shortcomings, this linguistic material is invaluable for analytical mapping aimed at potential broader research.

While it might seem unfounded to place the works of Zora Neale Hurston and Gordana Kuić within the same analytical framework, we believe that by doing so, we have at least partially succeeded in addressing some of the challenges mentioned in intersectional analytical approaches, especially those concerning Jewish women. Despite the obvious racial, religious, cultural, and social differences between the protagonists, they actually face very similar challenges in constructing their identities, as they are, first and foremost, women – traditionally the “Other,” positioned against an entire system. Therefore, such research supports the thesis that more inclusive approaches to material will certainly not diminish the analytical relevance of intersectionality. On the contrary!

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**ИДЕНТИТЕТИ НА РАСКРШЋИМА: ИНТЕРСЕКЦИОНАЛНА АНАЛИЗА  
РОМАНА БАЛКАНСКА ТРИЛОГИЈА И ОЧИ СУ ИМ ГЛЕДАЛЕ У БОГА**

Рад „Идентитети на раскршћима: Интерсекционална анализа романа Балканска трилогија и Очи су им гледале у Бога” бави се истраживањем сложености женских идентитета кроз интерсекционални

оквир. Овај приступ омогућава сагледавање како различити фактори као што су раса, пол, класа и култура обликују искуства и идентитете ликова.

„Балканска трилогија” прати живот сефардске породице Салом, са посебним фокусом на женске чланове породице, кроз различите историјске периоде и културне контексте. У „Балканској трилогији,” ликови као што су Бланка и Нина се суочавају са двоструким изазовима у процесу самодефинисања, као жене и припаднице сефардске заједнице, што им отежава навигацију кроз друштвене и културне норме које су често контрадикторне. Кроз њихове приче, роман истражује напетости између очувања културног идентитета и асимилације, те како ове напетости утичу на индивидуални развој и самопоуздање.

„Очи су им гледале” у Бога прати животни пут Џејни Крафорд, Афроамериканке која тражи свој глас и место у друштву. Кроз Џејнину причу, рад истражује како раса, пол и класне разлике обликују њена искуства и њен развој као индивидуе. Херстон приказује изазове с којима се суочавају црне жене у америчком друштву, укључујући патријархалне и расистичке структуре које ограничавају њихову слободу и аутономију. Роман наглашава важност самоспознаје и личне слободе, док Џејни пролази кроз различите фазе живота, од младости у којој је спутавана друштвеним очекивањима, до зрелости у којој проналази сопствени глас.

Кроз анализу ових романа, рад користи теорију интерсекционалности како би се истражило како различити аспекти идентитета нису изоловани, већ се међусобно преплићу и обликују животне прилике и изазове. Интерсекционалност омогућава боље разумевање како се различити фактори као што су раса, пол и класа манифестују у животима сефардских жена у балканском контексту и црних жена на америчком Југу, наглашавајући специфичности и универзалности њихових искустава.

Упркос корисности интерсекционалности као аналитичког алата, рад се такође осврће на критике овог приступа. Једна од кључних критика јесте да интерсекционалност може бити деполитизована или недовољно специфична, што може довести до неадекватног препознавања јединствених искустава одређених група, као што су јеврејске жене, па се у закључку указује на потребу за сталним критичким преиспитивањем и прилагођавањем интерсекционалног приступа како би се осигурало да он остане релевантан и инклузиван.

**Кључне речи:** интерсекционалност, идентитет, *Балканска трилогија*, *Очи су им гледале у Бога*



## MESIJANSKE IDEJE I ULOGA INTELIGENCIJE U ROMANU DMITRIJA MEREŠKOVSKOG ANTIHRIST. PETAR I ALEKSEJ

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**Apstrakt:** Problemu i fenomenu ruske inteligencije Dmitrij Mereškovski je posvećivao pažnju u različitim djelima, i ova tema je sa prekidima veoma frekventna u njegovom stvaralaštvu, počev od brojnih publicističkih tekstova, preko istoriozofskog romana *Antihrist. Petar i Aleksej* (1905), pa do *Nadirućeg prostaka* (1906). Dijelom smo posvetili pažnju genezi pojma *inteligencije* i *inteligenta* u kontekstu ruske kulture ukazujući na bitnije razlike u odnosu na pojam i fenomen *intelektualca* na Zapadu, referišući se na njihove različite društvene uloge. Cilj našeg rada je da analiziramo ulogu ruske inteligencije u romanu *Antihrist. Petar i Aleksej*. Tokom analize došli smo do zaključka da je uloga i nastanak inteligencije usko povezana sa utopijskim idejama ruskog naroda sa jedne, i reformama Petra Velikog, sa druge strane. Mesijanizam, kao jedna od ključnih crta ruske inteligencije otkriva se prilikom analize likova glavnih predstavnika inteligencije u romanu, Tihona i Alekseja. Suštinska mesijanska ideja svojim korijenima seže do hrišćanskog pogleda na svijet koji je u romanu prikazan u, donekle, deformisanoj optici preko eshatoloških i socijal-utopijskih pogleda, osjećanja i očekivanja ruskog naroda. Sama tema ruske inteligencije u romanu poslužila je Mereškovskom i kao pokušaj spoznaje i određivanja sopstvenog identiteta. Preko svojih junaka, Tihona i Alekseja, Mereškovski prikazuje tip ruskog inteligenta koji nije izgubio religiozno osjećanje svijeta. Zapravo, prikazuje zametke inteligencije kakva bi trebalo da postane.

**Ključne riječi:** inteligencija, inteligent, *Antihrist. Petar i Aleksej*, mesijanske ideje, Dmitrij Mereškovski

### 1. Uvod

Glavni cilj našeg rada jeste analiza uloge ruske inteligencije i mesijanskih ideja prisutnih u romanu Dmitrija Mereškovskog *Antihrist. Petar i Aleksej*. Pri tome ćemo posebnu pažnju posvetiti utvrđivanju načina i postupaka kojima Mereškovski literarno konstituiše tip ruskog inteligenta, prvenstveno kroz likove monaha Tihona i carevića Alekseja.

Zatim ćemo utvrditi i razjasniti povezanosti nastanka i idejne orijentacije inteligencije sa uticajem reformi Petra I, kao i eshatološkim očekivanjima prisutnim i među običnim narodom, ali i među inteligentima. Ovo se tiče dvije osnovne ideje prisutne u romanu: Moskva — Treći Rim i Treći Zavjet. Posebno nas je interesovala analiza načina na koji roman Mereškovskog artikuliše konflikt Crkve i države, koristeći, između ostalog i mitologemu Levijatana, koja na slikovit način pokazuje kako Crkva postaje plijen Države. Dmitrij Mereškovski razrešenje tog sukoba u romanu vidi u osnivanju Nove Crkve Duha. U radu ćemo se koristiti tekstualnom analizom romana u kontekstu istoriosofskih i religiozno-kulturnih izvora i relevantne sekundarne literature.

Ovaj rad ima višestruki naučni i kulturološki značaj: doprinosi boljem razumijevanju mjesta i funkcije inteligencije u ruskoj kulturi i književnosti početkom XX vijeka — pokazuje kako književno-mitopoetski diskurs oblikuje istorijsko-idejne tipove. On takođe pruža interdisciplinarni uvid (književnost — religija — ideologija): pokazuje kako eshatološke i mesijanske ideje utiču na političke i kulturne vizije (npr. „Moskva — Treći Rim“, Treći Zavjet). Isto tako dopunjava studije o Mereškovskom kao istoriosofu time što povezuje njegov književni tekst c konkretnim istorijsko-kulturnim okolnostima (Religiozno-filozofski skupovi, reforme Petra I, recepcija Joakima Florskog, Vladimira Solovjova...). Rad ima praktičnu vrijednost za savremene debate o odnosu crkve i države i o mjestu intelektualne javnosti u društvenim promjenama — nudi istorijsko-analitički kontekst za današnje diskusije.

## 2. O porijeklu pojma inteligencije

O ulozi inteligencije u romanu *Antihrist. Petar i Aleksej* može se govoriti uslovno, to jest, prije svega se može govoriti o nastanku fenomena inteligencije u punom smislu te riječi<sup>1</sup>. Šta je inteligencija i

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<sup>1</sup> Pozivajući se na Tukuljevskog, Džejms Bilington tvrdi da je termin *inteligencija* prvi upotrijebio Johan Georg Švarc, koristeći ga u značenju koje ima latinska riječ *intelligentia* – „razumijevanje“. Švarc je odredio specifičnu rusku transliteraciju ovog termina i obogatio ga novim slojem značenja, koje je, navodno, u tom trenutku imao ovaj specifični društveni sloj. Za Švarca inteligencija predstavlja takvo čovjekovo stanje koje je oslobođeno svake niske, zemaljske sfere, nešto poput duhovne esencije što može neprestano i vječno da „utiče i deluje na sve stvari“ (Биллингтон 309). Ivan Aksakov je, prema tvrdnji Bilingtona, izgleda „prvi uveo termin *inteligencija* u širu upotrebu 1860-ih godina“ (310). Bilington dolazi do zaključka da ova kasnija ruska ideja o tome da inteligencija nosi poruku oslobođenja čitavom čovječanstvu, podsjeća na raniju hilijastičku ideju Joakima Florskog o dolasku novog, trećeg carstva duha, u kome ljudima „neće više vladati prinuda, već *intelligentia spiritualis*“ (309, vidi: 303,

kada je ona nastala u Rusiji i u ruskom kulturnom okruženju? Na ova pitanja pokušali su da odgovore mnogi. Georgije Fedotov u tekstu „Tragedija inteligencije“ naglašava da je u pitanju isključivo ruski fenomen:

Govoreći o ruskoj inteligenciji, mi imamo posla s, u istoriji jedinstvenom, neponovljivom pojavom. [...] Ta riječ, odnosno pojam koji ona označava, postoji samo u ruskom jeziku. Razumije se, ako ne govorimo o *intelligentia* kod filozofa, koja je za Dantea, na primjer, značila približno isto što i *priroda bestjelesnih umova*. U naše dane evropski jezici pozajmljuju od nas ovu riječ u njenom ruskom značenju, ali neuspješno: kod njih nema stvari koja bi mogla biti nazvana upravo tim imenom (146)<sup>2</sup>.

I Dmitrij Sergejevič Lihačov u svom pismu-članku „O ruskoj inteligenciji“ (1993) dolazi do istih zaključaka da je inteligencija čisto ruski pojam i da je njegovo značenje prevashodno u sferi asocijativno-emotivnog. On naglašava da je ruskoj inteligenciji svojstvena *tajna sloboda* o kojoj su pisali i Puškin, i Blok. A problem slobode i odnos prema tom problemu jeste ono što je bilo određujuće za nastanak inteligencije. Stalno stremljenje ka slobodi postoji tamo gdje postoji prijetnja slobodi. Zato inteligencija kao intelektualno slobodni dio društva postoji u Rusiji, a nepoznata je na Zapadu, gdje je „prijetnja slobodi za intelektualni dio društva manja (ili minimalna)“, zaključuje Lihačov. S ovim stavom djelimično se možemo složiti, ali treba primijetiti da je fenomen slobode i čovjekov odnos prema slobodi svojstven svakom, nezavisno od toga da li živi na Zapadu, ili na Istoku.

Da li je ruski inteligent samo varijanta zapadnog intelektualca? Ovo pitanje postavlja i Boris Uspenski smatrajući da se u zavisnosti od tačke i perspektive posmatranja mogu očekivati i različiti odgovori. Iz zapadne perspektive tu je riječ o manje-više istom fenomenu, iz ruske perspektive zapadni intelektualac i ruski inteligent često se posmatraju

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797). Predstavnik takve inteligencije u romanu *Antihrist. Petar i Aleksej* jeste monah Tihon, prvi član buduće Crkve trećeg carstva. Međutim, u Rusiji poznatu verziju Petra Boborikina (oblik autorskog mitotvorstva), koju su popularizovali S. A. Vengerov i R. V. Ivanov-Razumnik — da je upravo on autor pojma *inteligencija* u specifičnom, ruskoj kulturi svojstvenom značenju — opovrgava Sergej Motin (838–844). Takođe i Sigurd Šmit opovrgava verziju Petra Boborikina, naglašavajući prioritet Vasilija Žukovskog u upotrebi ovog termina (187–221).

<sup>2</sup> Ovdje i nadalje autor prevoda sa ruskog – N. A.

kao „potpuno različiti i dijametralno suprotni fenomeni“ (Успенский 393).

Na bitnu razliku između pojma inteligencija na Zapadu i u Rusiji jasno ukazuje i Nikolaj Berđajev. On smatra da je pogrešno poistovjećivati ono što se na Zapadu naziva *intellectueles* sa ruskim pojmom *inteligencije*. Na Zapadu *intellectueles* su ljudi koji se bave intelektualnim radom i stvaralaštvom, prvenstveno, „naučnici, pisci, umjetnici, profesori, pedagozi...“ (Бердяев 248) S druge strane, u Rusiji je, po mišljenju Berđajeva, inteligencija više bila nalik nekom monaškom redu ili vjerskoj sekti koja je „živjela u raskolu sa okruženjem i stvarnošću koju je smatrala zlom, pa se u njoj razvila fantastična raskolnička moralnost“ (249). Inteligencija u Rusiji nije bila ideološka, već profesionalna i ekonomska koja je poprimila “raskolnički karakter, što je karakteristično za Ruse”, naglašava Berđajev (249).

Ideologizaciju i totalitarne crte u ruskoj inteligenciji i njihove izvore Berđajev vidi u stanju ruske duše koja stremlji ka cjelovitosti, koja ne pristaje na rascjepkanost po kategorijama jer teži ka Apsolutnom i ima potrebu da sve podredi tom Apsolutnom — što je religijska odlika. Ali ruska duša je sklona i da relativno prihvati kao apsolutno i pojedinačno kao opšte, a kada se to dogodi, onda „pada u idolopoklonstvo“ (Бердяев 251). Dmitrij Mereškovski u *Nadirućem prostaku* nazvao je Petra Velikog „prvim ruskim inteligentom“ (28), Georgije Fedotov — ocem ruske inteligencije „koja je zakonito preuzela njegovo nasleđe“ (160), a Sergej Bulgakov piše da je inteligencija „Petrovo čedo“ (41). Međutim, postojala su i druga mišljenja. Tako, na primer, D. S. Lihačov smatra da za vrijeme Petra I nije bilo inteligencije u punom smislu te riječi, jer se on plašio „pojave nezavisnih ljudi“ (Лихачев 1993): pretpostavljao je da su oni opasni po državu, pa je izbjegavao susrete sa zapadnoevropskim misliocima. Zbog njegove vizije napretka Rusije, interesovali su ga prvenstveno ljudi čija su se znanja mogla praktično primijeniti: „državnici, vojnici, graditelji, mornari [...]. Među talentovanim i energičnim praktičarima Petar se osjećao slobodnije nego među teoretičarima i misliocima“ (Лихачев 1993).

Sličan lik Petra I susrećemo u romanu Mereškovskog *Antihrist. Petar i Aleksej*, koji se umnogome poklapa sa istorijskim podacima. Ali, pri tome, treba imati u vidu da je u Rusiji i prije Petra I postojala veoma razvijena kultura. Tako Georgij Fedotov u već pomenutom tekstu naglašava genijalnost i osobenost stare ruske umjetnosti. Prema Fedotovu, kulturna i umetnička samostalnost Rusije nije jednostavno raskid sa vizantijskim uzorima, već razvoj adekvatne, unutrašnji motivisane forme koja preobražava primljenu tradiciju u prepoznatljiv nacionalni izraz. On naglašava kako se u tom procesu javlja jedinstven

glas koji se može primijetiti u drvenoj i kamenoj sakralnoj arhitekturi, u ljepoti novgorodske ikone i u posebnom tonu svetosti koji obilježava podvižničku praksu — što, po Fedotovu, opravdava vrednovanje stare ruske “genijalne umjetnosti u odnosu na savremene zapadne registre srednjeg vijeka i renesanse” (156). Suštinu tog posebnog tipa kulture, po mišljenju Fedotova, otkrio je knez Evgenije Trubecki, nazvavši ga „umozrenje u bojama“ (Федотов 156).

Mnoge reforme Petra I (posebno u crkvenoj sferi) doprinijele su i zaista su se pokazale kao plodno tle za nastanak pozitivizma u doba prosvetiteljstva tokom vladavine Katarine Velike, kao i racionalizma i *ružičastog humanizma* u XIX vijeku, koji su umnogome doveli do desakralizacije samog života i duhovne krize inteligencije. Do ovog zaključka dolazi i sam Mereškovski u tekstu „Šta je humanizam“:

Odjednom su se pojavili i umnožili bezbrojni lažni ljudi, ogoljeli, skinuvši sa sebe ljudsko lice kao nepotrebnu masku — Čovjekoliki antropoidi. [...] Sudeći po iskustvu Prvog svjetskog rata, više je nego vjerovatno, ako nas ne mimoide Drugi svjetski rat, da će Antropoid konačno pobijediti Čovjeka, i ljudski rod biće zamenjen novim, ne-ljudskim rodом. [...] A prvorođni grijeh humanizma zamijenice ateizam (407).

Reforme Petra I, to jest proglašeno načelo, *ex Occidente lux* dovele su do usvajanja vrijednosti nametnutih od spolja. Suprotno ovome načelo *ex Oriente lux* upućivalo je na povratak formativnom periodu ruske kulture. Ova dihotomija prisutna je kako u cijeloj trilogiji, tako i u trećem dijelu, posebno u romanu *Antihrist. Petar i Aleksej*.

### 3. Nova traganja inteligencije i eshatološke ideje

Dmitrij Sergejevič Mereškovski u vrijeme rada na posljednjem dijelu trilogije *Hristos i Antihrist*, romanu *Antihrist. Petar i Aleksej* (1903–1904), vrlo oštro proživljava krizu ruske inteligencije. On je počeo da piše roman nakon što je, odlukom Konstantina Pobedonosceva (Гиппиус 1991: 142), bila zabranjena djelatnost Religiozno-filozofskih skupova (1901–1903) u Sankt Peterburgu. Te Skupove Mereškovski je zamislio kao približavanje i dijalog između inteligencije i Crkve, između predstavnika kulture i duhovnosti. Među predstavnicima inteligencije koji su učestvovali na Skupovima preovladavao je stav da ruskoj inteligenciji pripada ključna uloga u preporodu kulture, kroz koji se realizuje i stvaranje novog, produhovljenog društva. Inteligenciji, pod uticajem Zapada, takođe pripada specifičan pogled na vlast kao na posebnu vrstu odgovornosti. Inteligencija je, po prirodi stvari, izvan formacije moći. Inteligent problematizuje moć unutar neke vladajuće paradigme. Glavna

pitanja kojima se bavi inteligencija jesu: sudbina Rusije, uloga inteligencije u njenoj sudbini i, s tim u vezi, samodržavlje kao oblik vlasti u Rusiji. S druge strane, Crkvu ne zanima spasenje društva, već čovjeka – svake ličnosti ponaosob. Za Crkvu vlast ima božansko porijeklo, to jest, pri krunisanju u toku Liturgije vrši se čin miropomazanja, koji simbolizuje da car prima služenje od Boga – on je pomazanik (*hristos, mesija*), prizvan na posebno služenje.

Zinaida Hipijus formuliše dvoslojnu motivaciju organizovanja Religiozno-filozofskih skupova. Na idejnom nivou, skupovi su po njenom shvatanju imali hermeneutičku i javnu funkciju: trebalo je provjeriti i artikulirati granice koje određuju da li „svijet–kosmos“ i „svijet ljudski“ pripadaju domenima hrišćanstva istorijske crkve, hrišćanstva koje nosi i čuva realna istorijska Crkva, dakle, slušati „glas Crkve“ preko njenih autentičnih predstavnika (Гиппиус 2004: 78). Paralelno s tim teološkim argumentom, Hipijus dokumentuje i praktični motiv: nastojanje da se podigne široka i vidljiva inicijativa — sa finansijskim resursima, administrativnim osobljem i uglednim učesnicima — koja bi povezala ljude iz različitih društvenih krugova i ostvarila uticaj na javnu sferu. Posebno je značajno priznanje Zinaide Hipijus o postojanju tajnog jezgra organizatora (ona, Filosofov i D. S. Mereškovski) koja bi trebalo da djeluje kao koordinirajući i strateški centar koji ne odaje svoju tajnu „do određenog trenutka“ (Гиппиус 1999: 89). Ovakva hibridna motivacija otkriva da su skupovi istovremeno bili i refleksija teološke potrebe i instrument društveno-političkog delovanja, što je korisno imati u vidu pri tumačenju njihove uloge u okviru kulturne politike početka XX vijeka.

Teološki sloj organizovanja Skupova se ogleda u tome da su supružničkom paru Mereškovskih bili potrebni da bi mogli da šire svoje ideje, posebno ideju Nove Crkve Duha, koja objedinjuje Svetu Krv i Sveto Tijelo, jer je, po njihovom mišljenju, istorijska crkva zaboravila na razlog svog nastanka – realnost Vaskrsenja – i pretvorila ga u „dogmu koju jedino ustima ispovijeda“ (Мережковский 2000: 20). Iz tog razloga je, po mišljenju Mereškovskog, potrebna Nova Crkva, koja svjedoči o tome da je prolivenom Hristovom Krvlju stvoreno Sveto Tijelo, o tome da je stvarna i realna pobjeda Ličnosti nad smrću i pobjeda bića nad nebićem.

Dmitrij Mereškovski je smatrao da noumenalnoj trojičnosti (tri lpostasi) odgovara fenomenalna trojičnost, sadržana u tri Zavjeta: Novom, Starom i budućem Trećem Zavjetu<sup>3</sup>. Crkva Trećeg Zavjeta i jeste ta Nova Crkva – „Žena obučena u sunce“ (Otkr. 12:1), koja iščekuje

<sup>3</sup> Riječ je o vječnom Jevanđelju iz Otkrivenja Jovana Bogoslova: „I vidjeh drugoga Anđela gdje leti posred neba, koji imaše vječno Jevanđelje da objavi onima koji žive na zemlji, i svakome plemenu i koljenu, i jeziku i narodu.“ (Otkr. 14:6)

Ženika: „Evo, Ženik ide“ (Mt 25:6)<sup>4</sup>. Upravo pojavom i trijumfom te Nove Crkve Mereškovski završava roman *Antihrist. Petar i Aleksej*.

#### 4. Odjeci ideje Moskva – Treći Rim

Svaki narod ima svoju samobitnost. Ona se ogleda u suštinskim manifestacijama ključnih elemenata kulture, neophodnih za očuvanje datog naroda, onog životnog jezgra koje sadrži određeni sistem vrijednosti i ideja. Samobitnost naroda neposredno zavisi od njegove duhovnosti. Rуска kultura je, kako to zapaža Boris Uspenski, granična kultura koja prvo trpi uticaj Vizantije i hrišćanstva, a potom, od XVIII vijeka i uticaj Zapada što određuje “dvostruku samosvijest ruske kulture” (Успенский 395). Kao što smo pomenuli, kod ruskog naroda pravoslavni svjetonazor se formirao pod uticajem Vizantije. Ideja o Moskvi kao Trećem Rimu svojim korijenima seže u dubinu vjekova. Prvobitno, prestonica Vizantije je dobila naziv Novi Rim (11. maja 330. godine), i kod osnivača tog grada, kao i kod stanovnika nove prestonice, javila se mesijanska ideja da se Novi Rim učini svjetskim centrom iz koga će zasijati svjetlost Hristove istine. Takav ideal spasenja svijeta putem njegovog ujedinjenja postojao je i u starom Rimu, i po svom porijeklu ima paganski i državni karakter.

U trilogiji *Hristos i Antihrist* Dmitrij Mereškovski gradi svoje naslovne junake kao nosioce ideje Čovjekoboga. Tokom razvoja radnje romana narod i prepoznaje junake kao nosioce ove ideje i to ujedno biva i religiozna spoznaja. Čovjekobog je Antihrist i njegovo pojavljivanje za predstavnike naroda u romanu Mereškovskog *Antihrist. Petar i Aleksej* u stvari predskazuje drugo dolaženje Bogočovjeka, Vaskrslog Tijela koje donosi konačno spasenje.

Glavno dostignuće Čovjekoboga jeste svjetsko ujedinjenje. Motiv religioznog stremljenja čovječanstva i potrebe da se u isto vrijeme svi potčine kao poslednjeg i najvažnijeg iskušenja pojedinca i cijelog čovječanstva – Mereškovski preuzima iz romana Dostojevskog *Braća Karamazovi*. Za oba pisca, ideja potrebe sveopšteg potčinjavanja jeste isključivo religiozna, jer se čovječanstvo ujedinjuje ili sa Bogom – u Hristu, ili protiv Boga. Ali Dmitrij Mereškovski ovu ideju ne ograničava samo na Zapad, već je prepoznaje i na Istoku. Ta ideja o Čovjekobogu –

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<sup>4</sup> O Novoj Crkvi D. S. Mereškovski piše da se Prva Ipostas otkriva u kosmosu, druga se otkriva u Logosu, dok se treća otkriva u savršenom sjedinjenju Logosa i kosmosa, to jeste u vasiljenskoj Crkvi kao Carstvu koje nije samo duhovno, već i tjelesno, nije samo unutrašnje, već i spoljašnje, nije samo nebesko, već, kako Mereškovski naglašava, isto tako i zemaljsko (Мережковский 2000: 32).

Antihristu kao konačnom ujedinitelju čovječanstva poklapa se sa koncepcijom junaka iz djela Vladimira Solovjova *Tri razgovora*.

U *Tri razgovora* Solovjov artikuliše apokaliptičku viziju historijskog procesa u kojoj se suprotstavljene historijske sile koje vladaju nad masama sudaraju i preoblikuju u novo političko tijelo. Iz tog turbulentnog uzajamnog djelovanja, po njegovom mišljenju, može izrasti jedinstvena, svjetska vlast, figura Antihrista koja će svojom velikom i uzvišenom retorikom pod prividom dobra i pravde prikriti stvarnu prirodu svog delovanja: tajnu krajnjeg bezakonja. Solovjov posebno naglašava opasnost takve maske jer ona ima moć da zavede i „one koji su – po riječi Pisma – izabrani, ako je moguće, da ih navede na veliko otpadništvo (16). Ovaj motiv pokazuje kako Solovjov kombinuje moralno-teološku osudu s analizom političke dinamike — te ga čini posebno relevantnim za interpretaciju Mereškovskog, koji u svojoj trilogiji tematizuje sličnu opasnost mesijanskih političkih figura i njihov uticaj na sudbinu inteligencije.

Konačnoj realizaciji ideje Čovjekoboga, koja se nalazi u tvorevini *imperium Romanum*, države koju je progutala Crkva (Drugi Rim), ruska hrišćanska svijest suprotstavila je teokratsku ideju Carstva Božijeg (Moskva – Treći Rim), koja predstavlja konačnu pobjedu Crkve nad državom. Ipak, treba imati u vidu da za hrišćanski svjetonazor takva ideja predstavlja profanaciju ideje Bogočovjeka – Jagnjeta i Prvosveštenika u obećanom Nebeskom Jerusalimu iz Otkrivenja Jovana Bogoslova. Iako je zapadna ideja karakteristična za svjetsko ujedinjenje pod vlašću Cezara (Čovjekobog, načelo suprotno Hristu), a istočna ideja predstavlja ujedinjenje u Hristu (Bogočovjeku), u romanu *Antihrist. Petar i Aleksej* ispostavlja se da ta ideja samo na apstraktnom nivou izgleda tako. Rusko pravoslavlje, kroz vizantijsku apokaliptiku o smjeni carstava (lutajuće carstvo), razvija ideju Moskva – Treći Rim i prihvata ideju Čovjekoboga – svjetovnog zemaljskog carstva, *imperium Romanum*.

Isto kao što Julijan Apostata u prvom djelu trilogije, romanu *Smrt bogova. Julijan Otpadnik*, u trenutku kada postaje car započinje borbu sa Crkvom želeći da ostvari ideju o državi koja potčinjava i „proždire“ Crkvu<sup>5</sup>, tako i Petar Veliki u trećem dijelu trilogije ukida instituciju patrijarha zakonom i Duhovnim reglamentom koji predstavlja svojevrsni politički traktat. Tim zakonom Petar I, u skladu sa svojim stavom o

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<sup>5</sup> Ostvarenje ideje „proždiranja“ Crkve od strane države predstavlja prihvatanje drugog iskušenja iz pustinje (Lk 4:5–8). U suštini, to je iskušenje zemaljskim carstvom, mačem Cezara. Fjodor Dostojevski u *Braći Karamazovima* kroz glas autora piše da je zapadno hrišćanstvo u liku katoličke crkve prihvatilo to iskušenje *duha samouništenja i nebića* iz pustinje.

supremaciji vladara u crkvenim pitanjima, proglašava sebe duhovnim i svjetovnim vođom. Sama ideja Moskva – Treći Rim, kao što je poznato, pojavila se posle Firentinske unije (1439), nakon Osmog Feraro–Firentinskog sabora i osvajanja Konstantinopolja od strane Turaka (1453), predstavljajući izraz apokaliptičkih slutnji ruskog naroda, izazvanih pomenutim istorijskim događajima. Ova religijska ideja zasniva se na eshatologiji i ponavlja vizantijske obrasce apokaliptike.

U skladu sa formulom starca Filoteja iz Pskovskog Eleazarovog manastira, Moskovska Rusija je naslednik pravoslavne vjere i čuvar ideje o pravoslavnom carstvu: „Jer dva Rima padoše, a treći stoji, a četvrtoga neće ni biti“ (L'idea di Roma 1993: 147). Teokratska ideja jedinog vasseljenskog pravoslavnog cara svih hrišćana bila je veoma privlačna za ruske careve i u romanu Mereškovskog se vidi da je trajala sve do reformi Petra I. Nasilac ove ideje je moskovska Rusija u liku carevića Alekseja. Međutim, kada je carević Aleksej ugledao prvi, pravi Rim, shvatio je da je ta ideja samo san, da je Rim udaljen od Moskve, isto onoliko koliko je prava Evropa udaljena od peterburške<sup>6</sup>. Preko epizode svjedočenja dvorske dame Arnghajm u romanu je prikazano kako arheolog Eghart tokom vjenčanja dokazuje porijeklo i mladoženje i nevjeste izvodeći ga „od vizantijskog cara Konstantina Porfirogenita“, što predstavlja odjek ideje Moskva – Treći Rim. A propovjednici nadolazećeg kraja svijeta, kao što je, na primjer, Kornilije, starovjerac, koriste tu mesijansku ideju u predstavljanju svoje teorije o Petru Antihristu: „Prema proročanstvu: u ime Simona Petra pojaviće se u Rimu gordi knez ovoga svijeta, Antihrist; u Rusiji, to jest u Trećem Rimu, i javi se taj Petar, sin pogibli, hulitelj i protivnik Božiji, koji i jeste Antihrist.“ (Мережковский 1990: 362)

### 5. „Petrovo čedo“

Ali, bez sumnje, formiranje ruske inteligencije, u najvećoj mjeri je povezano sa novim svjetonazorom koji se oblikovao pod uticajem reformi Petra I. Njegova ideja da vektor razvoja Rusije okrene ka Evropi,

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<sup>6</sup> Međutim, treba naglasiti da se ideja Moskva – Treći Rim pojavila van Rusije. Jerusalimski patrijarh Pajsije 1649. godine blagosilja ruskog cara Alekseja Mihajloviča: „Presveta Trojica neka Vas utvrdi i [...] neka Vam blagoizvoli darovati da primite previsoki presto velikog cara Konstantina, Vašeg pradjeda, da oslobodite narod blagočestivih i pravoslavnih hrišćana iz bezbožničkih ruku, od ljutih zvjerova koji nemilosrdno proždiru. Bićete *novi Mojsije* (autorov kurziv – N.A.), koji nas je oslobodio od ropstva, kao što je on oslobodio sinove Izrailjeve iz ruku faraonskih žezlom – znakom Časnog životvornog krsta.“ (Крпашев 2006: 170)

njenim vrijednostima, dovela je do toga da kod prvih predstavnika inteligencije <sup>7</sup> (Mihaila Petroviča Avramova – „majstora štamparskog zanata“ (Мережковский 1990: 329) i čovjeka koji je „prvi u Rusiji počeo da prevodi Ovidijeve *Metamorfoze*“ (337) – Petra Andrejeviča Tolstoja)<sup>8</sup> ponašanje bude dijametralno suprotno, u zavisnosti od prilike. Tako, na primjer, kada Avramov razgovara sa carevićem Aleksejem, žali se da statue iz Letnjeg vrta, „bijeli đavoli“ kako ih naziva, cijeli narod navode na propast. Iako je u Holandiji stekao obrazovanje iz geometrije i mitologije, sujeverje i pseudoreligioznost su prisutni kod ovog junaka. Petar Tolstoj, tajni savetnik, po riječima pripovjedača „učen čovjek, a uz to i književnik“, dok se udvara damama i pjeva kneginji Čerkaskoj na uvo kuplete, izgleda groteskno:

Kupidone, baci strele:

Grudi nam nisu cele.

Nego ranjene svakom

Tvojom strelicom slatkom.

A kneginja [...] je mlitavim osmijehom pastirice Hloe odgovarala sedamdesetogodišnjem mladiću Dafnisu (346).

Prvi predstavnici inteligencije nalaze se u stanju potpune neslobode. Petar Tolstoj ne želi zlo careviću, ali koristi sve svoje snage, umijeća, vještine i znanja da bi sina vratio ocu, iako dobro zna da će Aleksej svoj bijeg u Evropu platiti životom. I sve to samo zato što očajno želi da dobije orden i postane rodonačelnik nove loze Tolstoja (572). Upravo po tim karakteristikama (nepostojanost i moralna mlitavost) ovaj junak podsjeća na prve ruske inteligente koji se još uvijek nalaze u okviru formacije moći, inteligente koji su „za cara Borisa bili poslani u inostranstvo“ (Федотов 159).

Odsustvo slobode u Rusiji, kao glavni razlog neprihvatanja nauka i formiranja inteligencije, ističe upravo predstavnik inteligencije u

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<sup>7</sup> Pri određivanju predstavnika inteligencije u romanu Dmitrija Mereškovskog pridržavaćemo se sledećih karakteristika: idejnost, bespočvenost i moralnost, polazeći od određenja Georgija Fedotova o ruskoj inteligenciji: „Ruska inteligencija je grupa, pokret i tradicija, koje objedinjuje idejnost njihovih zadataka i obeskorijenjenost (obespočvennost') njihovih ideja.“ (Федотов 1927: 151)

<sup>8</sup> Osnovno obilježje po kome se ovi junaci mogu odrediti kao predstavnici inteligencije jeste obeskorijenjenost (obespočvennost') – pod uticajem zapadne misli jedni su otrgnuti od svakodnevnice, drugi od nacionalne religije. Ostale karakteristike inteligencije kod njih uglavnom nisu prisutne.

romanu – carević Aleksej<sup>9</sup>. Tek kada je stigao u Rim, on shvata koliko se prava Evropa razlikuje od „peterburške Evrope“. Kroz epizodu u kojoj Lajbnic iznosi svoje zapažanje o razgovoru sa carevićem Aleksejem 1711. godine u Volfenbitelu, Mereškovski suptilno konstatuje Aleksejevu kulturnu i intelektualnu širinu: dug razgovor o pitanju povezivanja Kine i Rusije sa Evropom, kao i dostavljanje dokumenata o kineskim poslovima preko vaspitača ukazuju na konkretnu širinu naučnih i političkih interesa mladića. Time se kod čitaoca gradi slika Alekseja kao ličnosti šireg horizonta, čiji je um suštinski različit od očevog — po autorovom komentaru, blizak djedovoj prirodi — što služi i kao narativni instrument za prikazivanje ambivalentnosti njegove istorijske i idejne pozicije u romanu (Мережковский 1990: 403). Ova tehnika posrednog karakterisanja (upotreba trećeg lica kao svjedoka) naglašava kako Mereškovski koristi istorijsko-intertekstualne figure da bi potkrijepio tumačenje naslovnog junaka i povezao ličnu biografiju sa širim tematskim problemima djela.

Iako je carević Aleksej zaokupljen raznim mesijanskim idejama – od ideje Moskva – Treći Rim pa sve do ujedinjenja Istoka i Zapada – gotovo do svojih poslednjih dana uvjerava sebe da je jedini istiniti put onaj na koji ukazuje istorijska Crkva. Međutim, Aleksej tokom razvoja radnje romana više puta se prisjeća prorokovih riječi o *gnusobi opustošenja na mjestu svetom*; sve dok ne shvati da sveštenici krše tajnu ispovijesti, on ne uviđa da je nastupilo novo vrijeme – epoha Novog, Trećeg Zavjeta. Bilo je potrebno da se pomiri sa svim tragičnim događajima i gubicima, da bi primio Pričešće od Jovana, sina Gromovog, nakon čega nestaje strah, žalost, tuga i uzdisanje, već da “postoji samo vječni život, vječno sunce – Hristos.” (Мережковский 1990: 713).

Treba primijetiti da je simbol i predstavnik istorijske crkve koja u romanu ne pomaže Alekseju da stekne vjeru u spasenje, jer mu ne donosi vijest o Vaskrsenju – o. Matvej. Sličnu funkciju u životu Gogolja imao je o. Matvej Konstantinovski (1791–1857), po mišljenju ne samo Dmitrija Mereškovskog, već i većine predstavnika inteligencije.<sup>10</sup> Stoga

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<sup>9</sup> U svojoj monografiji Olga Bogdanova, analizirajući junake romana *Antihrist. Petar i Aleksej*, nedvosmisleno dolazi do zaključka da su Aleksej i Tihon po svojim karakteristikama predstavnici ruske inteligencije, koji „dolaze do zavjetnih za Mereškovskog ideala ‘nove religiozne svijesti’ i ‘religiozne stvarnosti’. Na taj način, ‘metaistorizam’ pisca omogućava da se u Petrovoj epohi vidi prava savremenost“ (Богданова 2008: 210).

<sup>10</sup> Čitav kulturni sloj epohe u kojoj je stvarao Mereškovski uznemiravala je sudbina Nikolaja Vasiljeviča Gogolja. Gogolj je zbog želje da bude prihvaćen od strane Crkve, kako je smatrao kulturni sloj ruskog društva, morao da se odrekne

se može ustvrditi da je upravo Matvej Konstantinovski poslužio kao prototip za o. Matveja u romanu.

Koliko je tanak novi sloj zapadne kulture kod predstavnika inteligencije, autor pokazuje preko reakcije Juške Proskurova, koji boraveći u Parizu čak postaje *monsieur George* i usvaja racionalistički pogled na svijet. Međutim, prilikom prve opasnosti priziva u pomoć Svetog Nikolu Čudotvorca i Prepodobnog Sergija, potpuno zaboravljajući da je maločas tvrdio kako „nema nikakve duše i da [...] smo svi mi samo hidraulične misleće mašine“ (Мережковский 1990: 468).

## 6. Nova uloga inteligencije

U romanu *Antihrist. Petar i Aleksej* postoji direktna veza između početka procesa formiranja inteligencije i reformi Petra I. Ali, suštinska veza otkriva se tek u finalu romana. Drugi predstavnik inteligencije u romanu, Tihon, kao i Aleksej, od ranog djetinjstva imao je predosjećaj neminovnog kraja svijeta. Sa takvim očekivanjima povezan je i njegov susret sa Petrom–Antihristom kraj očeve glave koja je bila nabijena na kolac. Kao i Alekseju, i Tihonu je bilo neophodno iskustvo ličnog odnosa sa Bogom; on se neumorno nalazi u stanju religijskih traganja. Posle iskustva „crvene“ i „bijele“ smrti, junak se vraća proučavanju nauka u nadi da će mu hladni razum pomoći da se bori protiv bezumlja sekte čiji je bio član, pa je iščitavao filozofe: Dekarta, Lajbnica, Spinozu. On je vjerovao u ubjeđenje svog učitelja, pastora Gluka, da istinska filozofija vodi ka Bogu. Ali, kao rezultat proučavanja filozofskih sistema, Tihona je uplašio, kako mu se činilo, njihov „mrtvi Bog“ (Мережковский 1990: 741). On je shvatio da je Spinoza otvoreno pisao o onome o čemu su svi novi filozofi ćutali: „Ili sa Hristom – protiv razuma; ili sa razumom – protiv Hrista.“ (Мережковский 1990: 742) Mesijanska ideja koja je Tihona dovela do konačnog razrešenja njegovog položaja jeste ideja o Trećem Carstvu. Kada je na Valaamu našao o. Sergija, svetog čovjeka, kako je on mislio, – zavapio je i obratio mu se riječima: „Spasi, pomози, zastupi! Zar ne vidiš? Propada Crkva, propada vjera, propada cijelo hrišćanstvo! Već se tajna bezakonja zbiva, već je gnusoba opustošenja zavladała na mjestu svetom, već Antihrist dolazi! Ustani, oče, na veliki podvig, pođi u svijet u boj protiv Antihrista! (Мережковский 1990: 753)

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Puškina i time platio sopstvenim životom. U tom događaju iz istorije ruske kulture inteligencija je prepoznala simboličnu sudbinu cjelokupnog ruskog kulturnog sloja i dokaz da postoji dubok jaz između istorijske Crkve i kulture i civilizacije u cjelini. Traženje uzroka takvog razdvajanja, kao i moguće puteve prevazilaženja tog jaza, učesnici postavljaju kao jedan od najvažnijih zadataka i ciljeva Religiozno-filozofskih skupova.

Ali, pošto dobija jedini mogući odgovor, shvata da mora imati svoj lični put ka Bogu. Međutim, on ne dolazi do Nove Crkve sam, jer mu je to otkrovenje dato s nebesa, od Gospoda. Ova ideja o Jovanovoj Novoj Crkvi, Carstvu Duha, jeste mesijanska ideja koja trijumfuje u romanu. U svojoj osnovi to je hilijastička ideja, zasnovana na Otkrivenju Jovana Bogoslova. Eshatološka očekivanja s kraja vijeka, koja su vodila ka vaseljenskom preporodu i Preobraženju, dovela su Dmitrija Mereškovskog do religiozno-filozofske ideje Trećeg Zavjeta, Carstva Svetoga Duha. Za nastanak ove ideje Mereškovski je u velikoj mjeri dužan učenju Joakima Florskog o Trećem Carstvu i novoj Jovanovoj Vaseljenskoj Crkvi koja će se podići na ruševinama stare Petrove Crkve. Ta ideja, koja trijumfuje u posljednjem romanu trilogije *Hristos i Antihrist*, prevazilazi dualizam i dvojnost karakteristične za prva dva dijela trilogije. Postavivši u početku opoziciju: hrišćanstvo (teza) – paganstvo (antiteza), Mereškovski pokušava da dostigne sintezu: istinu Neba i Zemlje, to jest, da sjedini „gornje“ nebo sa „donjim“, Hrista sa Antihristom, a takvu sintezu, po mišljenju Mereškovskog, u stanju je da ostvari jedino Natčovjek. Kroz lik monaha Tihona Mereškovski nagoveštava svoje viđenje puta sinteze i razvoja hrišćanstva. Monah Tihon, tek kada prođe sve zemaljske puteve, ulazi u Jovanovu Crkvu i time objavljuje nastupanje epohe Trećeg Zavjeta.

Ovim postupkom Dmitrij Mereškovski razrešava problem čovječanstva nove ere – problem odnosa Crkve i države. Mesijanska ideja Moskva – Treći Rim ne može biti ostvarena u istoriji, kako je to i prikazano u trilogiji *Hristos i Antihrist*, jer su tamo suprotstavljene dvije snage – hrišćanska (duhovna, crkvena) i paganska (državna): „Administrator duhovnih djela, arhimandrit Teodos, razmišljao je o tome zašto su rimski carevi, bez obzira da li su bili paganski ili hrišćanski, imenovani pontifeksima, arhijerejima mnogobožackog zakona. Ispadalo je da da je car vrhovni arhijerej, prvosveštenik i patrijarh.“ (Мережковский 1990: 422), dakle neko ko ima i duhovnu i svetovnu vlast.

Kako bi na simbolički način prikazao vezu između Crkve i države, autor koristi mitologemu Levijatana, imajući u vidu značenje koje mu je pridao upravo Tomas Hobs, engleski filosof-materijalista, u djelu *Levijatan*. O samoj prirodi Hobsovog Levijatana može se pročitati u romanu *Antihrist. Petar i Aleksej*: „...‘država i crkva jesu jedno te isto’, razumije se, ne s tim da se država preobrazi u Crkvu, nego obrnuto, Crkva u državu. Čudovišna zvijer-mašina, Levijatan, proždirao je Crkvu Božiju tako da od nje nije ostajao ni trag.“ (Мережковский 1990: 422)

Zanimljivo je pomenuti da se u filmu „Levijatan“ ruskog reditelja Andreja Zvjaginceva, koji je na Kanskom festivalu 2014. godine dobio

nagradu za najbolji scenario, koristi mitologema Levijatana koja ima slično značenje kao i u romanu Mereškovskog. I na sličan način se u filmu, kao i u romanu, razrješava konflikt, što nam govori da je i sada za inteligenciju pitanje odnosa između države i Crkve izuzetno važno. Put čovječanstva posle dvadesetovjekovnog iskustva može biti samo izvan veze Crkva–država, zato što je, u romanu Mereškovskog, istorijska crkva progutana državom i ona je mrtva. Nova Crkva nalazi se izvan te veze; ona predstavlja otkrovenje na ličnosnom nivou, predstavlja lični odnos čovjek–Bog, a oni koji su ohrisovljeni ulaze u mistično tijelo Crkve, postaju Tijelo Hristovo. I u filmu Zvjaginčeva takvo razrješenje je implicitno prisutno: kada junak pita sveštenika, gde je „tvoj Bog... milosrdni“, ovaj odgovara: „Moj je sa mnom. A gde je tvoj – ne znam“.

### 7. Zaključak

Težnjom da u trilogiji pokaže da se svjetska istorija razvija po rastućoj spirali i po određenim zakonima, D. S. Mereškovski uspijeva da odredi opšte tendencije u razvoju čovečanstva, što čini osnovu njegove istoriosofije. On stvara sopstvenu mitopoetsku sliku svijeta, u čijoj je osnovi vječna borba suprotstavljenih načela, koja se razrješava u Religiji Svete Trojice, religiji koja uspijeva da prevaziđe nedostatke istorijskog hrišćanstva i doprinese preporodu u Crkvi Duha Slobode i Stvaralaštva, ponovo približavajući filozofiju i kulturu hrišćanstvu i ukazujući na put razvoja čovječanstva.

Uloga istinske inteligencije sastoji se u traganju za novim putevima približavanja filozofije i kulture hrišćanskom nasleđu. Pojedini likovi u romanu Petar i Aleksej poput Tihona i carevića Alekseja upravo imaju tu funkciju – iako se formalno carević Aleksej nalazi u okviru formacije moći, on ju je suštinski već napustio. Preko njih Dmitrij Mereškovski daje sliku inteligencije koja bi trebalo da ima i religiozno osećanje svijeta i čoveka.

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#### THE MESSIANIC IDEAS AND THE ROLE OF THE INTELLIGENTSIA IN THE NOVEL *THE ANTICHRIST: PETER AND ALEXEI* BY DMITRY MEREZHKOVSKY

This paper offers a comprehensive analysis of the role and significance of the concept of the intelligentsia within the novelistic, mythopoetic world of Dmitry Merezhkovsky, with particular attention given to the messianic ideas that permeate the third part of his *Christ & Antichrist* trilogy. The study starts from the hypothesis that Merezhkovsky in his writing constructs the type of the Russian intelligentsia as a historical-ideological phenomenon whose origin, formation and social function cannot be understood outside a broader historical-cultural horizon – above all, in light of Peter I's reforms, eschatological expectations and the reception of Byzantine and Western European ideas. In this paper we combine a textual analysis of the key episodes and characters in

the novel with an interpretation of historiosophical sources and secondary literature in order to reconstruct the modes and procedures by which Merezhkovsky depicts the intelligentsia and the role he assigns to it in the process of cultural renewal and the salvation of Russia and of humanity.

The introduction formulates the aim and methodological framework: the aim is to analyse the way the Russian intelligentsia is constructed in the novel and to clarify the relationship between the literary representation of the intelligentsia and wider ideological issues (Moscow – the Third Rome; the Third Covenant; the relation between church and state). The method is primarily textual analysis: close reading of selected passages and characters, supplemented by historical-theological contextualisation. The study is interdisciplinary in orientation (literature–religion–ideology) and emphasises the relevance of the analysis for contemporary debates about the public role of intellectuals and the relationship between ecclesiastical and state institutions.

The first thematic chapter is devoted to the genesis of the notion “intelligentsia” and to highlighting its specificity in the Russian context. We examine differing positions offered by historians and thinkers: Fedotov, who regards the intelligentsia as an authentically Russian phenomenon with deep associative-emotional content; Likhachov, who stresses the peculiar “secret freedom” of the Russian intelligentsia; Berdyaev, who distinguishes the Western category *intellectuels* from the Russian conception of intelligentsia; and the further debate over whether the intelligentsia is a product of Peter’s reforms or had prior cultural roots. The chapter synthesises these views and points to a two-way dynamic: although Peter I’s reforms (modernisation, the secularisation of church institutions and society, and the emergence of a new administrative and cultural elite) acted as catalysts for social transformation, Russia already possessed a rich layer of sacral art and spirituality that uniquely prepared the way for the emergence of a new phenomenon – the intelligentsia. The existence of this deeper cultural matrix explains why, in Russia’s case, the intelligentsia formed not merely as a professional group but primarily as a moral-ideological community with messianic aspirations.

The next chapter addresses the historical and ideological causes that shaped the character of the early Russian intelligentsia, with emphasis on Peter I’s reforms and the legacy of the *ex Occidente lux* orientation. We show how Peter’s reforms – especially in the ecclesiastical sphere (the abolition of the patriarchate, the Spiritual Regulations) – produced an institutional suppression of church autonomy and created the sense that the church had been “swallowed” by the state. Combined with the reception of Enlightenment and rationalist ideas during the eighteenth and nineteenth centuries, this dynamic enabled the appearance of ambivalent intelligentsia figures: individuals educated in the West who nevertheless retained deep religious sensibilities and strong eschatological longings. Merezhkovsky problematises this paradox in the novel: the intelligentsia is at the same time a product of secular modernisation and a bearer of religious expectation.

The central part of the paper is devoted to the literary construction of the intelligentsia in *Antichrist: Peter and Alexei* through detailed readings of the

principal characters. Two models of intelligentsia are articulated in the figures of Tikhon and Tsarevich Alexei. Tsarevich Alexei, although formally incorporated into the monarchical power formation, is internally profiled as a religious type of intellectual: educated, open to the East and West, and curious about global affairs (Leibniz's episodic remark in the novel serves to confirm his cultural breadth). Alexei's attitude towards messianic ideas and his loyalty to the historical church undergoes a crisis: he initially believes that the church is the true path, then experiences disillusionment with the institution (violations of the seal of confession, corruption within parts of the clergy), and finally the Eucharistic experience administered to him by Jovan, son of Gromov, produces a personal spiritual rebirth – a shift from institutional religiosity to immediate mystical experience. Merezhkovsky uses this development to portray the ideal of an intelligentsia that does not lose religious sensibility but rather transforms it into spiritual responsibility.

Tikhon, the other polar figure, represents a hyper-reflective, missionary type of intelligentsia: from early childhood he is burdened with eschatological premonitions, endures the experiences of “red” and “white” death, studies philosophers (Descartes, Leibniz, Spinoza), and meets theological authorities (Father Sergius, Jovan). In Tikhon, the inner effort to reconcile reason and faith is pronounced – his drama consists in the transition from philosophical doubt to immediate revelation, which is manifested through the New Church of the Spirit. Tikhon's final transformation is Merezhkovsky's eschatological-anthropological response to the crisis of the intelligentsia: his Enlightenment beginnings culminate in a Christocentric synthesis – the New Church, the Third Covenant – and a call to a personal religiosity that cannot be reduced to state ideology.

The study also analyses a number of secondary characters who enrich the typology of intelligentsia: Mikhail Avramov (a master of the printing craft) and Petr Tolstoy (learned but morally languid, a privy counsellor) and Yushka Proskurov (an extreme rationalist who, when in danger, appeals to saints). Through these figures Merezhkovsky presents the range of ambivalences within the intelligentsia: education and rationality do not exclude superstition; a Western vector of values does not guarantee freedom; intellectuals can remain instrumentalised in the service of state power. Notably, the author depicts early members of the intelligentsia as still bound to formations of power – their moral vacillation and instability render them susceptible to manipulation and useful as instruments for both sides of the conflict.

A dedicated chapter examines the religious-philosophical and eschatological motifs that Merezhkovsky adopts and transforms: influences from Joachim of Fiore (the idea of the Third Kingdom), Solovyov (the fear of messianic despotisms and figures of the antichrist) and Dostoevsky (the theme of universal subjugation and moral responsibility). The paper demonstrates how Merezhkovsky synthesises these sources into the idea of the Third Covenant and the New Church of the Spirit – a conception that reconciles a noumenal trinitarian structure with a phenomenal trinity embodied in the three covenants (Old, New and Future) and thus offers a literary model for

overcoming the antagonism between church and state. In this synthesis Merezhkovsky does not deny the danger of the politicisation of religion (the Leviathan motif); rather, he proposes that reconciliation can be realised only at the level of personal, mystical revelation and not through state theocracy.

The relationship between church and state constitutes one of the work's central thematic axes. Through an interpretation of the Leviathan motif (in the Hobbesian sense) and examples from historical development (the abolition of the patriarchate, Peter I's Spiritual Regulations), the paper shows how the state becomes an instrument that "consumes" the church. Merezhkovsky dramatises this problem through the figures of pontifical tsars and through the social processes that allow the emergence of the "Man-God/Antichrist" – a figure that, under the guise of goodness and justice, institutes tyranny. A discussion of Andrey Zvyagintsev's film *Leviathan* is used as a contemporary, intermedial parallel to underscore the ongoing relevance of the theme: today, as in Merezhkovsky's fiction, the relation between church and state remains a central concern for the intelligentsia.

The concluding section synthesises the findings and highlights the significance of Merezhkovsky's ideas for broader questions in Russia's intellectual and spiritual history. Merezhkovsky does not offer a simple formula for overcoming a crisis; instead he advances a mythical-anthropological conception in which the intelligentsia must become a bearer of spiritual responsibility and a mediator between philosophy, culture and Christian heritage. His notion of the "New Church of the Spirit" is not a call for institutional replacement of the state, but an affirmation of a personal, mystical human–God relation capable of engendering an authentic religious consciousness – an essential counterweight to a secularised or totalitarian society.

The study rests argumentatively on close textual analysis of the novel and on relevant secondary literature, and it proposes avenues for further research – particularly comparative studies of the reception of messianic discourse in Russian literature and quantitative projects mapping the changes in representations of the intelligentsia across the Russian narrative field.

Overall, the paper contributes to clarifying the complex connections between cultural tradition, institutional politics and literary imagination, positioning Merezhkovsky as a thinker who, through his novelistic practice, attempts to articulate responses to questions of historical meaning, religious transformation and the role of the intelligentsia in processes of civilisational renewal.

**Keywords:** intelligentsia; "intelligent" (intellectual); *Antichrist: Peter and Alexei*; messianic ideas; Dmitry Merezhkovsky

## **THE TRAUMA OF HISTORY IN H. DUNMORE'S NOVEL ZENNOR IN DARKNESS**

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**Abstract:** This paper deals with the notion of historical trauma exemplified through the analysis of Helen Dunmore's novel *Zennor in Darkness*. Dominick LaCapra's conceptualization of historical trauma as a form of "loss" in the context of large-scale tragic events serves as the foundational framework for this study. The article illuminates the causes of trauma during World War I along two distinct axes. On the one hand, the novel explores this issue through the biographical episode of the renowned English writer D. H. Lawrence, who appears as the book's character and whose anguished rejection of the war is intensified by his status as an outsider and transgressor within the Cornwall community – a position shaped by his outspoken anti-war convictions and fiercely independent spirit. On the other hand, fictional characters in the novel provide access to the traumatic on a mass scale, exhibiting grief, fear, paranoia and suspicion of anything foreign or strange, as well suicidal tendencies.

**Keywords:** historical trauma, loss, escape, pessimism, D. H. Lawrence, Cornwall

### **1. Introduction**

Historical trauma is a comparatively recent theoretical construct, though it is unanimously recognized as a tangible psycho-social reality. It is one of the varieties of a broader notion of trauma, for which M.-L Kohlke suggests a definition that stresses

the double temporality of traumatic consciousness, whereby the subject occupies at one and the same time, both the interminable present moment of the catastrophe which, continuously re-lived, refuses to be relegated to the past, and the post-traumatic present that seems to come after but is paradoxically coterminous [...] [C]onsciousness operates simultaneously within multiple incompatible time-zones of being (30).

While this description underlines the psychological essence of trauma, Dominick LaCapra, one of the world's leading experts in trauma studies, distinguishes between structural and historical trauma. While the former is described in psychoanalytic, Lacanian terms, the latter is referred to particular events with more or less contingent historical causes. LaCapra elucidates this difference: "Without conceiving of it as a binary opposition, I am pointing to the significance, even the relative strength, of the distinction between absence and loss" (47). He understands absence as the Lacanian "lack" characteristic of *structural* trauma, which makes the victims *act out*, that is, *relive* it, *returning* to the past; while "loss" is the inherent quality of *historical* trauma, which is *relieved* in *working through* the past. In other words, structural trauma is caused by damage of some systemic inequity (discriminating cultural norms, policies, and institutional practices), and historical trauma is a cumulative emotional and psychological wounding across generations caused by groups' or community's traumatic experiences of slavery, genocide, forced displacement, war, etc. While structural trauma usually reinforces social injustice, historical trauma influences present-day experiences through public narratives, and can lead to distress or resilience.

Helen Dunmore's novel *Zennor in Darkness* (1993), like a number of her other oeuvres, elaborates on the thematic domain of experiencing the trauma of history – World War I in particular. This issue is presented through the perspective of D. H. Lawrence, the famous early 20<sup>th</sup>-century British author. An episode from his biography is chosen by H. Dunmore to show the very conception of trauma through the interaction between the subject and history. Lawrence travelled more widely than most other novelists of his time, and this fact allows for a broader outlook on the events of history. When seeking refuge to engage in his creative activities and transferring himself and his German wife Frieda to Cornwall, Lawrence was faced with the brutal situation: he was regarded as a German spy by the police and eventually evicted from Cornwall. This experience turned out to be traumatic for the writer and was later reworked into the famous "Nightmare" chapter of his novel *Kangaroo* (1923). Besides, the trauma of history is also presented through a collective image of the local community in Zennor. Examining these two axes of the traumatic, the article will argue that mass consciousness is susceptible to global changes to the extent which often exceeds reasonable boundaries, and that arbitrary victimization, mass paranoia expressed through over-suspicious and irrational behaviour, and war mentality are the triggers of historical trauma.

## 2. An artist and war

With the world's dramas and tragedies, the historical science that records them keeps a straight face for the reasons of objectivity, statistics, generalizations and categorizations. Psychology and sociology focus on the processes of diagnosis, treatment and adaptation. And fiction personalizes these experiences, employs emotionally coloured imagery and tonal shifts, making us peep into the very "cauldron" where the trauma is conceived, evoking empathy. As K. Krockel points out,

[the reader] bears witness to the author as a survivor of history. Reading literature as testimony is modelled on the practice of psychiatric therapy between doctor and patient: the relationship between author and reader is one of empathy which sets boundaries upon the range of interpretation of the text and discourages the tendency to impose a moral critique upon the author (153).

Contemporary British fiction has increasingly embraced a narrative strategy where historical figures – often poets, novelists, or painters – are woven into the fabric of fictional works, not as subjects of fictionalized biographies, but as protagonists or significant characters within a broader literary narrative. This approach is seen in works like Pat Barker's *Regeneration* trilogy, which features real-life figures such as psychoanalyst W. H. Rivers (1864–1922), and war poets Siegfried Sassoon (1886–1967) and Robert Graves (1895–1985). It creates a unique interplay between historical authenticity and imaginative storytelling. The principle of poetic essentiality characteristic of novels that blend history and biography "demands a creative use of evidence" (Schabert 6). This trend reflects an extensive cultural fascination with reimagining the past, blurring the lines between fact and fiction, and exploring the psychological and ethical dimensions of historical figures in fictional contexts.

Helen Dunmore, an accomplished British novelist, poet, short story writer, and author of children's books, was born in 1952 in Beverley, a historic market town in Yorkshire, England. Dunmore's life was shaped by the arts, which she pursued through both her creative output and her teaching career. Dunmore graduated from Nottingham High School for girls, an institution known for its rigorous academic environment. At the University of York, where she studied English, she became exposed to a rich and diverse literary culture, which nurtured her interest in writing. In the early 1970s, Dunmore moved to Finland, where she taught English as a foreign language. Upon returning to the UK, she taught literature and creative writing courses for many years. Her novels, such as *Zennor*

*in Darkness* (1993), which won the McKitterick Prize, and *The Siege* (2001), a finalist for the Orange Prize and the Whitbread Novel Award, weaved historical and psychological narratives. Her work often explores themes of memory, loss, war, and human resilience, reflecting her ability to connect personal experiences with broader historical and social contexts. Tragically, Helen Dunmore was diagnosed with cancer, and she passed away in 2017, at the age of 64.

The theme of the First World War, which had the most crippling and devastating impact on the whole generation, is in the focus of *Zennor in Darkness*. Dunmore explores the modernist world perception which was definitely shaped by the beginning of the war and encapsulated bitter pessimism paradoxically combined with the desire to escape from metropolis – ugly, rotten, corrupted – to the idyllic environment such as Cornwall, a kind of coveted nook for refuge. This pessimism, shared by other novelists, poets and artists of the time, characterized Lawrence’s mindset, too, which he expressed in his letter to Mark Gertler in February 1916: “no prospect of the war’s ever ending, and not a ghost of a hope that people will ever want sincere work from any artist” (Lawrence 531). Indeed, artists and writers recreated their pessimistic moods into numerous other pastimes: drinking, promiscuity, and bohemian exploits. Lawrence, in his turn, chose escape. He was persistently voicing his dream of Rananim, a community of kindred spirits of the selected few who would inhabit some remote place on the outskirts of civilization. This utopian project was never implemented, and Lawrence was about to settle down in Cornwall, the place of breathtaking grandeur and beauty.

Describing her novel *Zennor in Darkness*, Dunmore admits: “This was also my first researched novel, set in the First World War and dealing with the period when D. H. Lawrence and his wife Frieda lived in Zennor in Cornwall, and came under suspicion as German spies” (Helen Dunmore Biography). Dunmore’s association with Cornwall rests on her life connections with it: a family home in St Ives and fictional settings based on this place, including two novels – *Zennor in Darkness* and *The Lie* (2012). The region is so picturesque and rich in history and numerous fascinating stories (about pirates, sirens, fishermen, and King Arthur), that it could not but attract writers at different times. Such diverse authors as Daphne Du Maurier, Thomas Hardy, Virginia Woolf, William Golding, D. M. Thomas and many others were bewitched by the Cornish landscape and its captivating legends.

*Zennor in Darkness* deals with the period from 1916 to 1917 during which Lawrence and Frieda rented a cottage on a clifftop on the Cornish coast. A dramatic episode connected with their stay in Cornwall is a

hallmark in their biography, and consequently, in the novel. “Lawrence always fascinated me,” Dunmore explains. “I’ve read pretty much everything he’s written. He’s like Updike in a way: that ability to just put things down, so that they’re so present you can walk around it” (quoted in: Crown). “We know the bare bones of what happened”, Dunmore continues,

but what was it like for him and Frieda in this landscape? The details intrigued me: Lawrence creating a garden, growing things like salsify, getting in tons of manure. He knew how to do practical things – the ironing, the washing – and his combination of day-to-day good sense and the life of the mind fascinated me. I felt there were some interesting things about that particular period and about what turned him against England (quoted in: Crown).

Dunmore did good research into D. H. Lawrence’s biography, which is demanding work, because Lawrence is hard to grasp and be arranged into a comprehensive profile. His response to their arrival in Cornwall on 30 December 1915 (in the letters to J. B. Pinker and Katherine Mansfield in 1916) was: “Outside England”, “far off from the world” (Lawrence 494, 499). Shortly before this date, Lawrence’s novel *The Rainbow* had been banned and actually burned. Below is an excerpt from *Zennor in Darkness* written in the free indirect discourse mode from Lawrence’s perspective:

He earns his living by his writing, and it has shrunk close to nothing since his novel was seized by the police in November 1915 and prosecuted for obscenity. The book is shameful, say reviewers and prosecution. It is a thing which creeps and crawls. It dishonours the lofty sacrifices of our soldiers (Dunmore 17).

Lawrence felt totally destitute and bereaved. In his desire for escape, he looked to Cornwall as the best place of retreat where he could do his favourite gardening and write the next book in peace. Not intending initially to stay longer than two months, he, however, was absolutely overtaken by the outlandish beauty of the Cornish peninsula and decided to settle there. The Lawrences moved further westward along the coast to Higher Tregerthen, Zennor, and rented a small cottage there. Life began to flow in the most idyllic form at first. Writing to J. M. Murry and Katherine Mansfield on 5 March 1916, he felt he had found “the best place to live in which we shall find in England” (Lawrence 570). While the setting looked idyllic, his experience of the wartime was

extremely trying. Philip Payton pointed out that “England’s relentless war machine felt increasingly west”, making Cornwall “a vicious maritime battleground” (10). It destroyed Lawrence’s Rananim: “But it’s not enough any more [...] to hide away from the war in the hollow of an empty landscape. There aren’t any empty landscapes, though you think there are when you first arrive, full of pure naïvety and hope” (Dunmore 102).

The war had its dire toll even in that remotest corner and even on one of the most pacifist men of the time. While in Cornwall, Lawrence was summoned for medical examination and was declared completely unfit for service. However, the real nightmare began afterwards: because the couple had a lot of very different visitors and because once they sang German songs with their curtain slightly open, the police arrived, bringing many officers to carry out an inquiry. The Lawrences evidently failed in complying with a whole range of prohibitions: not to show a light, not to tar their chimney, not to have “curtains of different colours hanging in the same window” (Dunmore 102). The German language itself was a general prohibition, even in the form of folk songs. Besides, “they must not try out Hebridean lullabies in case the outlandish sounds are taken for coded German. A block of salt in a bag may be a spy’s camera” (Dunmore 102). The military police were “tumbling over themselves to produce reports, to magnify gossip, to lurk shamelessly under windows and garden walls. They are ridiculous, really...” (Dunmore 102).

Later the Lawrences returned from town to find their cottage searched, papers missing and an order following shortly afterwards to leave Cornwall within three days:

If the cottage ever had that virginity of lostness and secrecy which Lawrence once thought it possessed, it is gone now. The red floor is printed over with clumsy bootmarks from yesterday’s search. The searchers did not care what traces they left. They wanted the Lawrences to know that their lives had been stripped bare and pawed over. Drawers have been pulled open, small belongings tipped out and searched. Letters and manuscripts have been taken (Dunmore 236).

Jane Costin reassesses Lawrence’s expulsion from Cornwall as “a deeply traumatic event that had a profound and enduring effect on his subsequent life and work, a disruption that is an important, but often overlooked, legacy of his time there” (148). Lawrence did experience the acute sense of loss, which is the defining feature of historical trauma. It

was the loss of home, of community ties, of the way of life that used to be fitting for an artistic consciousness.

Dunmore portrays Lawrence both as a bearer and an interpreter of historical trauma: "And now we need more enemies. Even the Germans are not enough any more. So many men are gone, so many are wounded. So many have their minds and spirits destroyed" (Dunmore 95).

Lawrence emerges as a figure navigating suspicion and hostility within the Cornish community. The narrative not only reimagines Lawrence's personal plight but also positions him as an acute observer of the collective anxieties and wounds inflicted by war. He simultaneously represents the concept of traveling as a way of establishing ties with "one's own soul" and his religion of non-conformity with the war-waging machine, which ultimately makes him a transgressor. Lawrence in the novel analyses the war machine speaking about his conscripted Cornish friend, John William:

'He is joined to a machine. He is not free to act as a man any longer. He is part of a machine of colossal stupidity. And I think your cousin knew it. [...] It would have been easier for him if he had been able to sink into a state of mindlessness and forget that he was a man with a soul of his own for which he was responsible.' [...] The war has fooled England's soul out of her.' (Dunmore 203)

Dunmore enters Lawrence's mind in a way, speaking in his voice, presenting him and his writing as a recorded testimony of the inception of historical trauma. Lawrence's pacifism, individualism, anti-militarism, critical outlook, and non-conformity are vividly expressed throughout his fictional discourse. His presence in the novel is inclusive and meaningful for understanding the modernist sentiments towards war.

### **3. War and collective trauma**

Being faithful to biographical facts, the novel, however, it is not only about the Lawrences' two-year stay in Zennor. There are two parallel plots: while one is related to Lawrence and Frieda, the other intertwines the life of the couple with the agonized, war-mangled consciousness of the Cornish citizens whose sons left for the WW I fronts with most of them never to return. This illustrates a more concrete and profound loss experienced on a mass scale. Helen Dunmore vividly depicts the pervasive phenomenon of conscripted soldiers leaving their homes for the first time in their lives to face the battlefields. Dunmore commented on this in her interview: "we are shaped by that, we are the product"

(LBF 2014). This laconic sentence defines historical trauma in a very precise and succinct wording.

Cornwall was the place from which thousands of young men were sent to the front lines of the First World War, and more than 6,300 of the 350,000 population were killed. Characters in the novel, such as Clare Coyne, her father Francis, and her cousin John William, a soldier on leave from the war deeply scarred by his experiences, exemplify the notion of historical trauma and embody the personal, familial, and communal dimensions of it. Through their stories, Dunmore illuminates the pervasive and enduring impact of war, not only on those who directly experienced it but also on their families and communities, thus offering a nuanced portrayal of trauma's ripple effects across generations and social fabrics.

The traumatized soldier's character serves as the narrative's most visceral representation of personal war trauma. His time on leave in his hometown underscores the dissonance between the front lines and civilian life, a common experience for World War I soldiers. Symptoms of shell shock – such as nightmares, hypervigilance, and emotional detachment – render him a stranger in his own community. “I can't sleep,’ he says. His eyes are suddenly empty of life” (Dunmore 79). His trauma is not only a product of physical danger but also of moral injury, stemming from the horrors he has witnessed or participated in: “He is lost to her. He is a thousand miles away, hearing the guns, seeing the ring of faces round him and knowing their chances” (Dunmore 84). By depicting John William's inner turmoil, the narrative personalizes the psychological cost of war, moving beyond historical records to imagine the lived reality of a soldier's suffering: “He stares out at the horizon. ‘You don't get anything like this in the trenches’” (Dunmore 81).

Though Clare and John William enjoy a passionate period of romance and intimacy, it is very brief and ends with Clare's pregnancy, John William's return to the front and his subsequent breakdown and suicide: “Surely he shot himself because he could not get the noise of the guns out of his head” (Dunmore 234). This individual tragedy is intensified by the mass character of losses: practically every family had someone off at war, waiting anxiously for any news, reading the lists of casualties in the papers. The constant arrival of telegrams announcing deaths, provoking anxiety for the loved ones at the front, and the visible scars on returning soldiers create a backdrop of collective mourning and helplessness. Francis mourns the loss of the pre-war world – “Every day starts wrong for him” (Dunmore 148) – and the emotional toll on his family, where women are left to manage disrupted households. Clare grapples with fear for her cousin's safety and guilt over her relative

security. These personal struggles illustrate how trauma permeates the psyche beyond the battlefield, affecting those who remain at home:

There is no language to describe the world she lives in now, where lists of thousands of dead are published in the newspapers each morning as routinely as the small advertisements. She reads the newspaper. Not in *The Times*, but in Grandad's *Daily Mail* there are stories of heroic mothers who give up eight sons, or ten sons, to conscription. Stories of families who have eighteen adult males fighting at the front – sons, cousins, husbands. And all we have is John William (Dunmore 93).

It is worthwhile to point out the personification of war, which cuts the distance between the events in history as something abstract and personal lives. This is a force out of our control, the war that “wants to crush him, he knows that” (Dunmore 100).

But since conscription the trains had been going north and east heavily laden with boys off fishing-boats and farms and shops. It's taken a long time for the war to get down to them, but it has managed it at last. The war's long fingers can wrinkle a boy out of a lonely cottage on Bodmin Moor just as easily as it can pluck one out of the Manchester mills (Dunmore 62).

The imaginary scenes and episodes serve to divest the war of any glory. Deaths of fine young men, the hope and pride of the nation, are mentioned as the effect on the lives of the living, and they are heart-wrenching. The female characters shrivel to nothingness, to the figures of eternal mourning and grief. The most progressive-minded characters begin to perceive heroism and patriotism in the Great War very differently from the image commonly held by the general public.

And Kitchie doesn't speak alone. As their footsteps clip along the pavement to Clare's door, he is joined by innumerable, swelling voices. The air is thick with them. The war is not going well. After three years it is bloated and invalidish. And each month it grows trickier to handle. Generals shift and scramble and make stratagems and bury their mistakes (Dunmore 95).

John William is a reverberation of the “red badge of courage”, a leitmotif of the equalizing quality of any war where blood is interpreted as a signifier referring to exceptional selflessness, courage and heroism, no matter how it was spilled. There is an exemplary episode featuring

the conversation between Clare and Lawrence about John William's death, in which we can clearly see the distinction between the structural and historical trauma, with the former constantly returning to the past and reliving it, and the latter working through it. The first part of the quotation – Lawrence's fictional words – refers to structural trauma: "I wrote once,' he says slowly. 'It was to another woman... [...] Her brother was killed. I wrote to her that I would rather put out my eyes than stand as a witness to this deliberate horror. And I believed it" (Dunmore 202). And the second part alludes to historical trauma: "But now I would not put out my eyes. I need them to look on other things – flowers, and beasts, and a little hut in the mountains. So I set myself to *keep separate...*" (Dunmore 202). In the same vein, the following quotation can be broken into two parts as well: 1) "He [John William] was sick to his soul too, though there wasn't any wound to see' [...] 'Perhaps that's what is coming – a time when men will go clean out of their minds'" (Dunmore 203). 2) "Except a man who can sit apart in his own soul and watch the foxgloves come out" (Dunmore 203). This dichotomy points to a form of healing the trauma of history.

Clare Coyne who practices painting whenever she can and is quite a talented beginner artist, develops a friendship with Lawrence and Frieda despite all talk of the town. Her acceptance of the alien, strange couple, who evoke distrust, suspicion and even hatred in many members of the community, is a mark of a more open and liberal type of consciousness, more advanced and modernist than the conventional minds of a provincial community.

He is extreme. He is half mad. He is doing himself no good, and he makes enemies everywhere. If only he would keep quiet. Who is he to preach and lecture to us? Can't he understand how people take it? (Dunmore 100).

#### **4. Conclusion**

Dunmore succeeds in getting into mass consciousness and pins down the very raw sentiment that prevailed in England during the war years: extreme anxiety, fear, depression, suspiciousness, desperation, apprehension and mistrust – all constituents leading to a prolonged historical trauma. This creates empathy and affect in understanding historical trauma LaCapra spoke of. The world of the novel appears to be larger than the "real" world, because the text contains those truths with which the real world has lost touch. It is worth reiterating that Dunmore's words – "we are shaped by that, we are the product" – are indicative of the way mass consciousness functions, capturing the foundations of historical trauma.

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**ТРАВМА ИСТОРИИ В РОМАНЕ Х. ДАНМОР ЗЕННОР ВО ТЬМЕ**

В данной статье рассматривается понятие исторической травмы, проиллюстрированное на примере анализа романа Хелен Данмор «Зеннор во тьме». Концептуализация исторической травмы Домиником Лакапра как формы «утраты» в контексте масштабных трагических событий служит основополагающей базой для данного исследования. Статья освещает причины травмы во время Первой мировой войны по двум различным осям. С одной стороны, в романе исследуется эта проблема через биографический эпизод известного английского писателя Д. Г. Лоуренса, который появляется как персонаж книги и чье болезненное неприятие войны усиливается его статусом аутсайдера и нарушителя в сообществе Корнуолла – позиция, сформированная его откровенными антивоенными убеждениями и ярким независимым характером. С другой стороны, вымышленные персонажи в романе обеспечивают доступ к травматическому в массовом масштабе, демонстрируя горе, страх,

паранойю и подозрение ко всему иностранному или чужому, а также суицидальные наклонности.

**Ключевые слова:** историческая травма, потеря, убежище, пессимизм, Д.Г. Лоуренс, Корнуолл.

## **UNE FACETTE DE L'INTERCULTURALITÉ EN CLASSE DE FLE : LA LITTÉRATURE ENTRE LE PATRIMOINE ET L'ACTUALITÉ**

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**Résumé** : Dans l'enseignement/apprentissage du français langue étrangère, le texte littéraire a des fonctions multiples. En tant que document authentique, il est utilisé pour développer et acquérir les compétences linguistique et communicative. En tant que création linguistique et artistique et manifestation de la culture dont il est issu, ce type de texte est considéré comme idéal pour découvrir et connaître l'Autre, c'est-à-dire pour maîtriser la compétence communicative interculturelle. Vu que le premier contact important des apprenants avec la langue et la culture françaises, sauf avec l'enseignant, se fait par le biais du manuel, dans cet article nous traitons des écrivains et des textes littéraires représentés dans les manuels de français des auteurs serbes et français utilisés dans les écoles secondaires en Serbie. L'objectif du présent article est de déterminer l'image de la littérature française que les auteurs des manuels présentent aux apprenants, formant ainsi leurs idées sur la culture cible. Comme critères d'analyse des données recueillies, nous considérons la période de création des écrivains présentés ainsi que leur statut par rapport aux institutions littéraires et culturelles (histoire littéraire, critique, revues, maisons d'édition, établissements d'enseignement, etc.). Sur la base des résultats obtenus, nous pouvons conclure que l'image de la littérature française dans les manuels de FLE repose surtout sur le patrimoine littéraire français, mais qu'elle représente également des écrivains contemporains qui contribuent à l'actualité de ces manuels.

**Mots clés** : enseignement/apprentissage des langues étrangères, français langue étrangère, interculturalité, littérature française, manuel de FLE, écrivains français, texte littéraire

### **1. Introduction**

De nombreuses raisons peuvent justifier l'utilisation d'un texte littéraire dans l'enseignement/apprentissage des langues étrangères : celles historiques, linguistiques ou (inter) culturelles (Dimitrijević 1979 ;

Peytard 1982 ; Gruca 1995 ; Germain 2001 ; Riquois 2008, 2009, 2010 ; Брајовић 2021). Pour l'enseignement des langues étrangères, ce document authentique est important car il aide l'apprenant à développer ses compétences linguistique et communicative, son autonomie dans la lecture et dans l'apprentissage, à utiliser différentes stratégies d'accès au texte, à utiliser activement la langue qu'il apprend, à accéder à la culture cible et à la connaître et surtout à lire pour le plaisir dans la langue étrangère.

Bien qu'il ne soit plus considéré comme un « texte sacré » ou exclusivement une manifestation du meilleur usage possible de la langue (Gruca 1995 ; Riquois 2009), mais comme un document authentique dans l'enseignement/apprentissage de la langue qui témoigne des habitudes et des pratiques de lecture des locuteurs natifs, le texte littéraire préserve davantage le statut de symbole de la culture cible définie par un cadre spatial, temporel et linguistique spécifique. Le fait qu'il fasse partie du patrimoine culturel donne au texte littéraire une dimension qui le détermine spatialement et temporellement et le relie à la culture dont il est issu. Les œuvres littéraires acquièrent ainsi un double statut : elles sont des incarnations artistiques dans la langue mais aussi une manifestation de la culture cible. Elles représentent l'Autre et véhiculent un système culturel et des valeurs différents de ceux des apprenants. Elles témoignent également du mode de vie des locuteurs natifs, des coutumes, de la mentalité et de leur façon de penser. Un texte littéraire est considéré comme un document authentique idéal pour découvrir l'Autre et le rencontrer dans l'enseignement/apprentissage des langues étrangères. À la fois universel, compréhensible par tous et ancré dans la culture spécifique dont il témoigne des particularités, le texte littéraire invite l'apprenant à réfléchir, à s'interroger à la fois sur lui-même et sur son appartenance à sa culture ainsi que sur son rapport envers l'Autre et l'altérité dans la culture cible (Zarate 1986, 2012 ; Séoud 1997 ; de Carlo 1998, Abdallah-Pretceille 2005).

Dans cet article, nous traitons des textes littéraires représentés dans les manuels de FLE utilisés dans les écoles secondaires en Serbie<sup>1</sup>. Il s'agit des seuls manuels de français des auteurs serbes pour les lycéens *Le français...j'aime !* (2007, 2009) et *Quoi de neuf ?* (2012) ainsi que des

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<sup>1</sup> Dans les écoles secondaires en Serbie, le français est dans la grande majorité de cas enseigné en tant que seconde langue étrangère, à partir du niveau A2 (les élèves l'ayant appris au collège, pendant 4 ans lors de leur scolarisation primaire où il a aussi presque toujours le statut de seconde langue étrangère). Les élèves font deux cours de 45 min. par semaine pendant quatre ans.

manuels *Belleville* (2004), *Le Nouveau Taxi !* (2009) et *Version originale* (2009, 2010, 2011) des auteurs français. Tous ces titres figurent sur la liste des manuels approuvés par le Ministère de l'Éducation, des sciences et du développement technologique et sont largement utilisés dans les écoles secondaires en Serbie. Il faut souligner que notre idée n'a pas été la comparaison des manuels de FLE serbes et français dans le but de définir leur qualité. On voulait juste donner l'image la plus large possible du matériel pédagogique utilisé en cours de FLE dans le but de présenter la culture française et francophone et de travailler sur la compétence interculturelle. On n'a pas non plus analysé les textes littéraires présents dans les manuels car ils y sont utilisés dans différents buts, langagiers, communicatifs aussi bien qu'interculturels.

On a opté pour l'analyse des manuels car le premier contact significatif des apprenants avec la langue et la culture françaises, sauf avec l'enseignant, se fait précisément à travers les manuels scolaires. Le manuel permet un contact continu avec la culture cible non seulement en classe mais aussi en dehors de la classe. Son importance dans l'enseignement est d'autant plus grande que les documents qui y sont présentés représentent la première rencontre de l'apprenant avec des valeurs et un système culturel différents de ceux de sa propre culture. Les documents sélectionnés ont un impact direct sur les idées des élèves sur la culture cible, qu'ils retiennent souvent tout au long de leur formation et même plus tard. Comme nos recherches précédentes ont montré (Ignjatović, Simović 2016), les représentations de nos étudiants sur la France sont majoritairement marquées par la culture dite savante (Galisson 1988), celle qui s'acquiert par l'éducation. C'est pourquoi l'analyse de ce matériel pédagogique, et surtout le choix des auteurs et des textes littéraires qui permettent la rencontre et la familiarisation avec l'altérité, peuvent être significatifs pour la compréhension des représentations sur la culture cible des apprenants.

L'objet de notre article est donc l'analyse de l'image de la littérature française que les auteurs des manuels présentent aux apprenants, formant ainsi leurs idées sur la culture française. Présentés dans le manuel sous différentes formes et avec des finalités différentes, les textes littéraires ainsi que les auteurs sélectionnés créent une certaine représentation de la littérature française et donc, plus largement, de la culture française.

Le choix des textes littéraires et des écrivains représentés dans un manuel de langue étrangère n'est ni aléatoire ni neutre. Il reflète sans doute dans une certaine mesure le goût personnel de l'auteur du manuel. Toutefois, ce choix est principalement conditionné par des raisons éducatives et culturelles. Le fait qu'un texte littéraire ou un

écrivain se trouve dans un manuel le place dans un cadre institutionnel et scolaire et valorise celui-ci et son œuvre. Le choix d'un écrivain et d'une œuvre en particulier, plutôt qu'une autre, confère au texte présenté une légitimité que l'apprenant ne remet pas en cause. La question du choix des auteurs et des œuvres littéraires présentés dans le manuel est d'autant plus prégnante si l'on tient compte du fait que durant leur scolarité, dans le cadre des cours de littérature serbe, nos lycéens lisent les œuvres d'un très petit nombre d'écrivains français : Balzac, Baudelaire, Camus (Правилник о плану и програму 2019). Le manuel de FLE devient ainsi la principale source de leurs connaissances sur la littérature française et francophone et les idées qu'ils acquièrent au cours de leur apprentissage de la langue déterminent en grande partie leur vision future de la littérature et de la culture cible et de l'ensemble de l'espace francophone.

Afin de déterminer l'image de la littérature et de la culture françaises dans les manuels de FLE et par ailleurs les implications possibles sur les représentations de nos apprenants sur la langue et la culture cible, nous avons répertorié les écrivains français représentés dans les manuels mentionnés et les avons classés en fonction de la période de leur création et du statut qui leur est accordé par les institutions littéraires. L'étendue et la forme de leur présentation dans les manuels sont au fond du tableau de la culture françaises que les auteurs des manuels présentent aux apprenants.

## **2. La littérature française dans les manuels de FLE des auteurs serbes**

Faisant partie du matériel pédagogique authentique, le texte littéraire dans les manuels de FLE des auteurs serbes est avant tout considéré comme porteur de contenu qui rapprochera les apprenants des éléments de la culture française, à quoi les auteurs attachent une grande importance. Outre le texte littéraire, les manuels analysés contiennent également des documents liés à la littérature (photographies d'écrivains, couvertures d'œuvres littéraires publiées, citations, illustrations, textes liés à des œuvres littéraires, etc.) qui incitent les apprenants à s'exprimer tant à l'oral qu'à l'écrit. Un aperçu général des manuels de FLE des auteurs serbes montre qu'ils présentent deux groupes d'écrivains : les écrivains français contemporains et actuels traduits en Serbie, ainsi que les écrivains les plus importants de l'histoire de la littérature française.

Sur les 31 écrivains français représentés dans les manuels de FLE des auteurs serbes utilisés dans les écoles secondaires (3 manuels et 2

cahiers d'exercices)<sup>2</sup>, plus de la moitié (19) sont des écrivains du XXe siècle. Il est à noter qu'il s'agit des classiques de la littérature française et d'écrivains primés : lauréats du prix Nobel Anatole France, Jean-Paul Sartre, Albert Camus, représentant du théâtre d'avant-garde d'après-guerre Eugène Ionesco, innovateur du langage littéraire Raymond Queneau, l'un des premiers poètes modernes Guillaume Apollinaire. Ils sont présents dans les manuels avec des extraits de leurs œuvres représentatives comme c'est le cas des calligrammes d'Apollinaire ou du drame *La Leçon* de Ionesco, d'un passage de *L'Étranger* de A. Camus, de *La Nausée* de J.-P. Sartre. Les auteurs cités apparaissent dans les manuels pour la IIe et la IIIe années du lycée. Bien qu'il s'agisse d'auteurs très complexes dont l'œuvre exige de riches connaissances du domaine de la théorie et de l'histoire de la littérature, les auteurs des manuels ont choisi les courts paragraphes, accessibles aux élèves du point de vue linguistique et stylistique. Des extraits littéraires choisis sont souvent accompagnés de documents liés à la littérature qui aident l'apprenant à contextualiser le passage ou le poème présentés. À côté du texte littéraire apparaissent ainsi des photographies de l'auteur (Camus), une note sur le texte donné (les calligrammes) ou les deux types de documents (Ionesco). Tous ces documents supplémentaires facilitent l'appropriation du texte littéraire aux apprenants alors que les morceaux choisis les initient à l'univers littéraire des écrivains français les plus connus. Comme Puren le remarque très bien, il s'agit d'une logique dans laquelle le texte littéraire en tant que document authentique est étudié en lui-même comme représentatif de la langue et de la culture étrangères, et non plus de la littérature, comme dans la logique littéraire antérieure. C'est la logique de l'approche communicative, où l'apprenant s'entraîne à l'une des activités langagières (compréhensions de l'écrit et de l'oral, expressions écrite et orale, interaction), ou encore des activités de repérage et de conceptualisation sur la grammaire et le lexique. C'est la raison pour

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<sup>2</sup> Les manuels de français des auteurs serbes sont destinés aux élèves de secondaire qui ont commencé leur apprentissage à l'école primaire, quatre années plus tôt. Les auteurs soulignent que les manuels sont communicatifs, conformes au CECR sans indiquer explicitement le niveau de langue travaillé. Vu qu'à la fin de l'enseignement primaire le niveau A2 est visé en matière de l'apprentissage du français en tant que la seconde langue étrangère, on peut dire que les manuels cités sont destinés aux élèves du niveau A2 (en Ière année), A2+/B1 (en IIe année) et B1/B1+ (en IIIe année de l'école secondaire) Il n'y a pas de volumes de manuels des auteurs serbes destinés aux élèves de IVe année de l'école secondaire.

laquelle les textes littéraires sont généralement des documents courts, qui sont donc utilisés de manière partielle pour des activités ciblées. (Puren 2014:3-6).

Certains écrivains connus ne sont mentionnés que par le nom qui suit le titre de l'ouvrage. C'est le cas d'Antoine de Saint-Exupéry et de son célèbre récit *Le petit prince*, l'une des œuvres françaises les plus traduites au monde<sup>3</sup>. Compte tenu de la popularité et de la simplicité linguistique de cet ouvrage, ainsi que du fait qu'il est utilisé dans le monde entier pour l'enseignement/apprentissage du français<sup>4</sup>, on s'attendrait à plus de passages du *Petit prince* dans les manuels de FLE. Une réponse possible pourrait être le fait que les apprenants serbes ont déjà eu l'occasion de se familiariser avec les extraits de cette œuvre littéraire en version originale dans leurs manuels de français pour l'école primaire (Simović 2019 ; Vučelj 2019) et de la lire en traduction comme lecture obligatoire dans le cadre de l'enseignement de la langue maternelle.

Outre les plus grands et les plus importants écrivains de la littérature française du XXe siècle, les manuels de FLE récents des auteurs serbes présentent aux apprenants une production littéraire actuelle incarnée par les noms d'écrivains qui rencontrent un grand succès auprès du public d'aujourd'hui : Amélie Nothomb, Anna Gavalda, Faïza Guène, Frédéric Beigbeder. Leurs œuvres ont été imprimées à gros tirages et traduites dans de nombreuses langues. Les extraits sélectionnés sont accompagnés de photos de l'auteur, de reproductions de couvertures (Beigbeder, Gavalda), ce qui rapproche davantage les apprenants des écrivains français contemporains, place le texte littéraire dans le moment présent et permet une communication en classe relative à l'actualité littéraire.

Cette sélection d'écrivains français composée d'écrivains classiques dont la valeur est déjà confirmée et qui font partie des histoires et des

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<sup>3</sup> Avec 265 traductions en 253 langues et dialectes, plus de 1300 éditions, 145 millions d'exemplaires vendus, *Le Petit Prince* est considérée comme l'œuvre littéraire la plus traduite en général, et avec *l'Étranger* de Camus, l'œuvre écrite la plus traduite en français, [www.lepetitprince.com/oeuvre/phenomenes/editions](http://www.lepetitprince.com/oeuvre/phenomenes/editions) ; [www.lepetitprince.com/actualite](http://www.lepetitprince.com/actualite) (consulté en mars 2020).

<sup>4</sup> Cette œuvre de A. de St-Exupéry est considérée comme idéale pour l'apprentissage des langues et la lutte contre l'analphabétisme dans le monde. Il a été traduit dans de nombreuses langues minoritaires, dont le romani, le lapon, le khmer, le keucha, le tifinar (langue touarègue), le toba (la langue du peuple indien du nord de l'Argentine dans laquelle seule la Bible a été traduite à ce jour), [www.lepetitprince.com/actualite](http://www.lepetitprince.com/actualite) (consulté en mars 2020).

manuels de la littérature française, mais aussi des écrivains contemporains à succès qui ont aujourd'hui un large public semble refléter de manière plus réaliste les habitudes et la pratique de lecture des locuteurs natifs ainsi que la sensibilité d'aujourd'hui partagée par ceux à qui ces manuels sont destinés.

Parmi les écrivains français représentés dans les manuels de FLE des auteurs serbes, un plus petit nombre font des écrivains du XIXe siècle. Bien qu'ils ne soient pas nombreux, ce sont des auteurs représentatifs de cette période. Il s'agit d'écrivains importants qui ont marqué la littérature française non seulement de la leur mais aussi des époques suivantes. Les apprenants lisent les textes du grand poète romantique Alphonse de Lamartine du tout début du siècle, la prose de Victor Hugo, figure dominante qui a marqué tout le XIXe siècle non seulement dans la littérature française mais aussi dans la littérature européenne en général, le romancier du réalisme Honoré de Balzac, le précurseur du roman de science-fiction Jules Verne. Les écrivains mentionnés sont représentés dans les manuels avec des extraits de leurs œuvres les plus célèbres. Certains d'entre elles, comme *Le père Goriot* de Balzac ou *Le Tour du monde en quatre-vingt jours* de Verne sont connues des apprenants serbes en traduction, lues dans le cadre de leurs lectures au secondaire ou comme des ouvrages lus dans leur enfance. Conformément à l'importance et au rôle qu'il a eu non seulement dans la littérature de son temps mais aussi dans la culture française en général, Hugo est présenté dans les manuels de FLE dans un contexte culturel plus large. Outre des extraits de ses romans les plus connus *Les misérables* et *Notre-Dame de Paris*, son nom apparaît également dans l'unité intitulée *Les belles choses qui nous viennent de France* dont les titres, ainsi que le contenu, mettent l'accent sur le lien entre les textes littéraires et la culture française.

Dans les manuels de FLE publiés en Serbie, on retrouve aussi des écrivains des époques antérieures, de la Renaissance aux Lumières (XVIe-XVIIIe siècle). Les plus grands noms de la littérature française de cette période sont représentés. Il faut dire que la plupart de ces auteurs ne sont mentionnés dans les manuels qu'une seule fois, par leur nom, citation, photo ou titre d'un ouvrage. Même une telle présence indirecte est significative car elle permet aux apprenants non seulement d'apprendre quelque chose sur les écrivains français les plus importants de l'époque, mais aussi d'engager une conversation sur la littérature. Les apprenants font ainsi connaissance avec François Rabelais, le plus grand écrivain de l'humanisme et de la renaissance (XVIe siècle), avec La Fontaine, le célèbre auteur des fables en vers (XVIIe siècle), avec Beaumarchais, l'auteur dramatique (XVIIIe siècle), etc.

À côté d'eux, le plus grand comédien de l'époque du classicisme ainsi que les écrivains des Lumières sont représentés par des extraits de leurs œuvres les plus célèbres : les comédies *L'Avare* et *Le Malade imaginaire* de Molière, un passage du roman épistolaire *Lettres persanes* de Montesquieu qui traite du sujet omniprésent de l'aperçu et de l'appréhension de l'Autre et de l'altérité, finalement un passage de *Candide*, la satire de Voltaire au sujet de la religion, de la philosophie, du gouvernement et de la nature humaine en général.

### **2.1. La littérature française dans les manuels de FLE des auteurs français**

Pour les besoins de notre recherche, trois ensembles de manuels de FLE publiés en France et utilisés dans nos écoles secondaires ont été analysés : *Belleville*, *Le Nouveau taxi !* et *Version originale* (16 manuels et cahiers d'exercices au total).

Il s'agit des manuels pour l'enseignement/apprentissage du FLE du niveau débutant A1 au niveau avancé B2. L'objectif général de tous les manuels est d'acquérir une compétence communicative dans les situations de la vie quotidienne. Aux niveaux supérieurs, B1 et B2, cet objectif est complété par un autre, plus spécifique, qui est une meilleure connaissance de la France contemporaine et des Français. À cet effet, les auteurs proposent aux apprenants une variété de documents, parmi lesquels le texte littéraire occupe une place importante. Il représente un type de texte présent dans la vie quotidienne du locuteur francophone. À ce titre, il représente l'un des aspects de sa vie avec lequel l'apprenant se familiarise au cours de son apprentissage de la langue française ainsi qu'une expression spécifique de la langue que l'apprenant doit connaître.

Dans les manuels des auteurs français analysés, les écrivains du XXe siècle sont les plus représentés : ils sont 49 sur un total de 69 écrivains cités. Comme dans les manuels publiés en Serbie, dans ceux français deux groupes d'écrivains du XXe siècle peuvent être observés: d'une part, on trouve des écrivains qui depuis longtemps font partie du patrimoine littéraire et culturel français mais aussi celui européen et mondial : Guillaume Apollinaire, Marcel Proust, André Gide, Jean-Paul Sartre, Albert Camus, Georges Perec, Raymond Queneau, Robert Desnos, Paul Valéry, Simone de Beauvoir, Marguerite Duras, Henri Michaux, Antoine de Saint-Exupéry, Jacques Prévert, etc. Il s'agit d'écrivains reconnus tant par l'histoire littéraire que par les institutions culturelles et éducatives. Leur créativité a influencé les générations futures d'écrivains, non seulement en France mais encore plus largement, et leurs ouvrages sont incontournables dans l'enseignement

scolaire, tant en France qu'ailleurs. En tant qu'écrivains ancrés dans la culture et la tradition qu'ils représentent et dont la valeur a été confirmée institutionnellement (par la critique, l'histoire littéraire, le système éducatif), ils représentent des valeurs éprouvées qui ont résisté à l'épreuve du temps et donnent à ce titre au manuel de la légitimité et du sérieux tout en étant ancré dans le système culturel du pays dont la langue est étudiée. Ils sont représentés de différentes manières dans les manuels de FLE. Dans le manuel *Belleville*, tous les écrivains sont présentés avec des passages choisis de leurs œuvres les plus célèbres. On y lit ainsi : *L'Amant* de Marguerite Duras, *Les Mythologies* de Roland Barthes, *À la recherche du temps perdu* de Marcel Proust, *Les Mots* de Jean-Paul Sartre, etc. Dans les deux autres manuels, *Le Nouveau Taxi !* et *Version originale*, en plus des extraits ou à leur place, on trouve également des documents liés aux écrivains et à leurs œuvres qui permettent aux élèves d'avoir un contact indirect avec la littérature française. Albert Camus et André Malraux, par exemple, sont présents à travers des citations, des anecdotes de sa vie privée et une photographie. On trouve un texte sur le théâtre de l'absurde et la couverture des œuvres dramatiques publiées accompagnant des passages donnés des pièces *Les chaises* et *Exercices de conversation et de diction française pour étudiants américains* de Ionesco, etc.

Outre ces auteurs canoniques, les manuels de FLE publiés en France présentent également des écrivains contemporains et actuels français mais aussi francophones : Yasmina Réza, Michel Houellebecq, Eric Emmanuel Schmitt, Tahar Ben Jelloun, ainsi que ceux présents dans les manuels serbes : A. Nothomb, A. Gavalda, F. Beigbeder. Ce sont des écrivains à succès qui écrivent depuis de nombreuses années, ont un large public et leurs œuvres sont vendues à grand tirage. Cependant, malgré leur succès et leur acceptation par le public, ils ne sont pas encore acceptés institutionnellement comme le sont les écrivains qualifiés de « classiques ». Autrement dit, contrairement au premier groupe d'écrivains légitimés par les institutions littéraires mais aussi par le temps qui n'a fait que confirmer leur valeur, la valeur des écrivains de ce second groupe est encore du domaine de « la personnalité, dépendante du goût et les habitudes de lecture de celui qui l'évalue », même si la plupart d'entre eux ont déjà été primés (Riquois 2009, 145).

Les écrivains du XXe siècle dominent dans les manuels de FLE publiés en France, mais il y en a aussi ceux du XIXe siècle (10). La littérature française de cette période est représentée par de grands noms : Lamartine, Victor Hugo, Honoré de Balzac, Charles Baudelaire, Paul Verlaine, Émile Zola, ainsi que par les auteurs populaires Alexandre Dumas fils, Prosper Mérimée, Jules Verne, etc. Les raisons de la présence

de ces écrivains dans le manuel sont sans doute littéraires et culturelles. Ils représentent la tradition littéraire française dont l'influence a largement dépassé les frontières de l'Hexagone et a marqué la littérature européenne. Aujourd'hui, leurs ouvrages sont lus comme lecture scolaire obligatoire même hors des frontières de la France. Non seulement les écrivains mentionnés ci-dessus représentent des symboles de la culture française, mais ils font partie du patrimoine culturel européen plus large et, en tant que tels, sont reconnaissables même aux apprenants dont la langue maternelle n'est pas le français car ils font partie du programme scolaire obligatoire. D'autre part, ces géants de la littérature française ne sont présents ni en France ni à l'étranger uniquement à travers le cadre institutionnel, c'est-à-dire dans le cadre de l'enseignement scolaire. Leurs œuvres de valeur universelle ont été mises à jour avec de nombreuses adaptations cinématographiques et théâtrales ce qui les a rapprochées du plus large public. De nombreuses versions offrent des visions toujours différentes et actuelles de ces œuvres et problématisent les thèmes universels qu'elles traitent de différentes manières, en fonction du moment actuel. De cette façon, ils confirment d'une part leur position de symboles dans le système culturel auquel ils sont attachés, et d'autre part, ils sont accessibles à un public beaucoup plus large que ce n'est le cas lorsqu'il s'agit uniquement du texte littéraire en tant que tel<sup>5</sup>.

Ces classiques de la littérature française ne sont pas seulement des symboles de la culture savante (Galisson 1988) mais font partie intégrante des us et coutumes culturels actuels des Français, comme le montrent les résultats d'une recherche. À savoir, une enquête sur la lecture et les livres préférés menée auprès des Français de toutes les couches sociales, répartis sur trois générations (moins de 30 ans, de 30 à 50 ans et plus de 50 ans), a montré la diversité des goûts des Français, mais en conclusion générale elle a montré qu'en tête de liste des cent livres choisis selon l'importance qu'ils avaient pour les enquêtés et selon

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<sup>5</sup> *Les Misérables* d'Hugo, traduit en comédie musicale et récompensé par des Oscars, connaît une renommée mondiale. Une version dessinée du roman *Notre-Dame de Paris*, intitulée *Le sonneur de Notre-Dame de Paris*, a été nominée pour un Oscar. L'adaptation de la nouvelle *Carmen* de P. Mérimée compte plus de soixante versions rien qu'au cinéma et à la télévision. Les romans de Balzac ont connu plus de cent cinquante adaptations cinématographiques. *Le Comte de Monte-Cristo*, *Les Trois Mousquetaires* et d'autres œuvres de A. Dumas Fils ont plus de deux cent cinquante versions cinématographiques et télévisées, et il en va de même pour les films basés sur les romans de Jules Verne ([www.novosti.rs/kultura.71.html](http://www.novosti.rs/kultura.71.html)), „Filmske avanture književnih junaka“ 10.01.2010. (consulté en mai 2022).

l'influence qu'ils avaient sur eux se trouvent justement des ouvrages des classiques français, c'est-à-dire écrivains du patrimoine littéraire du XIXe siècle. On retrouve les mêmes noms dans les manuels de FLE analysés<sup>6</sup>. Parmi eux, c'est le nom de Victor Hugo qui est présent dans les manuels analysés à tous les niveaux. Dans chacun de volumes on peut voir différents aspects de la riche personnalité créative d'Hugo, mais aussi l'énorme influence qu'il a eue en tant que personnage public de son temps. En tant qu'écrivain engagé, il est présenté à travers des citations choisies, le discours visionnaire qu'il a prononcé à la Conférence de la Paix en 1849 sur une Europe unie avec des états égaux entre lesquels les frontières sont effacées, etc. Le symbole facilement reconnaissable de la France et de sa culture, sa photo figure sur les pages dédiées aux différentes cultures et sert à identifier celle de cible, française.

Les grands poètes Lamartine, Baudelaire, Verlaine et Apollinaire sont représentés par leur poésie, tandis que d'autres écrivains du XIXe siècle sont présents dans les manuels de manière indirecte, par le prénom, le titre de l'ouvrage ou une citation.

Des écrivains des époques antérieures, des XVIe, XVIIe et XVIIIe siècles, se retrouvent parfois dans les manuels de FLE publiés en France. Il s'agit des plus grands noms de la littérature française, figures-clés de l'époque à laquelle ils appartiennent et du genre littéraire qu'ils ont marqué : le poète Pierre Ronsard et l'unique François Rabelais (XVIe), les fondateurs du théâtre classique Racine et Molière ainsi que l'auteur le plus connu des fables La Fontaine (XVIIe), les plus grands noms de l'époque des Lumières Voltaire et Montesquieu, l'utopiste Charles Fourier, Fontenelle (XVIIIe). Comme on peut le deviner, Voltaire et La Fontaine, connus du plus large public même en dehors des frontières françaises sont les plus cités. Voltaire est représenté à tous les niveaux d'apprentissage : à travers des données biographiques, en tant que personnalité emblématique représentant l'histoire et la culture de France, à travers des passages et des citations qui le montrent comme un écrivain engagé et représentant du rationalisme. Surtout connu comme l'auteur des fables, La Fontaine, comme Voltaire, est représenté dans les manuels de FLE par divers documents : sa célèbre fable *Le corbeau et le renard*, des titres et des reproductions des couvertures de ses ouvrages. Comme dans les manuels publiés en Serbie, dans ceux publiés en France on retrouve des passages des *Lettres persanes* de Montesquieu, satire célèbre de la société française du XVIIIe siècle,

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<sup>6</sup> [www.lexpress.fr/culture/livre](http://www.lexpress.fr/culture/livre), Philippe Delaroche, « Les 100 livres préférés des Français », *Lire*, 01.10.2010. (consulté en mai 2022).

toujours d'actualité dans le contexte européen moderne et multiculturel.

## **2.2. Analyse des résultats**

Afin d'appréhender l'image de la littérature française présentée dans les manuels de FLE, nous avons fixé comme critères d'analyse la période de création des écrivains représentés, leur statut par rapport aux institutions littéraires, ainsi que l'étendue et la manière dont ils sont représentés dans les manuels.

Le corpus de cinq ensembles de manuels de FLE (21 manuels et cahiers d'exercices) des auteurs serbes et français, publiés au cours des quinze dernières années, a montré un riche échantillon de textes littéraires utilisés pour l'enseignement/apprentissage du français. Thématiquement diversifié, de genres littéraires différents, allant de quelques lignes à quelques paragraphes, présenté de manière plus ou moins visible et accompagné d'activités diverses, le texte littéraire est représenté dans les manuels à tous les niveaux d'apprentissage. À en juger par cela, il s'agit sans aucun doute d'un matériel pédagogique indispensable dans l'enseignement actuel de la langue française. Même dans le cas où le texte littéraire lui-même fait défaut, de nombreux documents liés à la littérature apparaissent, suppléent à son absence et permettent aux apprenants d'avoir un contact permanent avec les écrivains d'expression française et leurs œuvres.

En chiffres, près d'une centaine d'écrivains français du XVI<sup>e</sup> siècle à nos jours sont représentés dans les manuels de FLE analysés. Bien que le nombre d'écrivains dans les manuels diffère, l'image de la littérature française et francophone présentée par les auteurs serbes et les auteurs français est très similaire. Dans le choix des écrivains, on peut voir, sinon les mêmes, du moins des principes très similaires qui ont guidé les auteurs des manuels. Parmi le nombre important d'écrivains du XX<sup>e</sup> siècle dans les manuels de FLE (70), deux groupes se distinguent nettement. Le premier, le plus nombreux, est composé des écrivains les plus importants dont les œuvres ont traversé le temps, reconnus par les institutions tant littéraires qu'éducatifs : Guillaume Apollinaire, Jean-Paul Sartre, Albert Camus, André Gide, Marguerite Yourcenar, Simone de Beauvoir, Raymond Queneau, Eugène Ionesco etc. Ils font partie de l'histoire de la littérature française moderne et leurs œuvres sont devenues lecture scolaire, objet de recherches, d'études et de colloques scientifiques, non seulement en France mais aussi dans le monde entier. Ces écrivains institutionnellement reconnus représentent le patrimoine littéraire et culturel français. Dans les manuels de FLE, ils ont une fonction pédagogique et formative, ils initient les apprenants aux

valeurs et idées esthétiques et morales véhiculées par leurs œuvres. D'après E. Riquois, ces écrivains canoniques représentent certaines valeurs confirmées par l'histoire littéraire qui ont résisté à l'épreuve du temps, d'où la légitimité de leur présence dans les manuels. Dans ce cas-là, leurs œuvres ont une double fonction : elles représentent une valeur littéraire, voire esthétique et elles sont en même temps symbole d'un système culturel. Ainsi, le caractère culturel du texte littéraire devient important et les auteurs sélectionnés contribuent à l'identification culturelle de la société dont la langue est étudiée (Riquois 2009, 182, 186).

Le deuxième groupe d'écrivains du XXe siècle comprend un certain nombre d'auteurs contemporains qui écrivent toujours et que l'on retrouve aussi bien dans nos manuels de FLE que dans ceux français. Il s'agit des écrivains de grand renom : le lauréat du prix Nobel Jean-Marie Gustave Le Clézio, les lauréats francophones de nombreux prix Tahar Ben Jelloun et Eric-Emmanuel Schmitt. La conclusion qui s'impose c'est que les auteurs des manuels de FLE, avec leur choix d'écrivains représentés dans le manuel, ont voulu présenter une image de la littérature française la plus récente, mais qui se caractérise par une qualité reconnue par les institutions littéraires et qui soit susceptible de résister à l'épreuve du temps. Certains écrivains de la fin du XXe siècle ne sont pas encore intégrés aux cadres institutionnels tels que les histoires littéraires, les manuels scolaires ou les programmes d'études faute de temps nécessaire pour prouver leur valeur. Cependant, les prix littéraires dont presque tous ont été couronnés, ainsi que les adhésions à des académies, indiquent que les qualités littéraires de leurs œuvres ont été officiellement reconnues et confirmées.

Dans les manuels de FLE, on trouve aussi un plus petit nombre d'écrivains actuels à succès avec un large public. Un aperçu de la liste des livres les plus vendus dans la période précédant la publication des manuels analysés montre des noms que l'on retrouve également dans les manuels de FLE : Amélie Nothomb, Anna Gavalda, Eric-Emmanuel Schmitt, Frédéric Beigbeder, Michel Houellebecq, Faïza Gain<sup>7</sup>, auteurs

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<sup>7</sup> Ce que ces écrivains ont en commun, c'est d'être des auteurs prolifiques qui non seulement publient régulièrement mais obtiennent également un grand succès commercial. Ainsi, certains romans de M. Houellebecq, par exemple, atteignent un tirage de 250 000 exemplaires, tandis que le premier roman de F. Guène s'est vendu à 400 000 exemplaires et a été déclaré roman le plus vendu en 2004. Les œuvres de ces écrivains ont de nombreux lecteurs non seulement en France mais aussi dans de nombreux autres pays et ont été traduites dans plus de 25 langues : F. Beigbeder était lu surtout en Allemagne, tandis que A.

traduits et populaires dans le monde entier. Il faut dire que les auteurs cités ci-dessus, bien qu'auteurs de best-sellers, ne sont pas auteurs d'ouvrages qui ont connu un succès instantané et ont ensuite été oubliés. Malgré cela, ils n'ont pas encore été reconnus par les institutions littéraires ni ont pu non plus en tant que contemporains traverser l'épreuve du temps. Comme il n'y a toujours aucune garantie que leurs œuvres seront inscrites dans l'histoire de la littérature, ces écrivains restent un choix moins sûr pour les auteurs de manuels que les classiques éprouvés et ils sont représentés plus souvent indirectement que par des extraits de leurs œuvres. Cependant, leur présence est significative pour l'image de la littérature reflétée dans les manuels car elle témoigne de la production littéraire actuelle en France et contribue ainsi à l'actualité du manuel.

Parmi les écrivains contemporains qui figurent dans les manuels, certains sont francophones : A. Djemaï, E.-E. Schmitt, T. Ben Jelloun. Leur présence est significative car, même dans ce cadre très restreint, ils présentent aux apprenants des noms qui leur sont inconnus, provenant des différentes parties du monde, leur montrant à la fois la diffusion et la variété des expressions de la langue française comme langue des ethnos et cultures différents.

Un groupe particulier d'écrivains présentés dans les manuels de FLE est constitué des classiques, écrivains de toutes les époques littéraires qui représentent une véritable petite anthologie des auteurs français les plus importants, du moyen âge et de la renaissance au XIXe siècle : Rabelais, Ronsard, Molière, Voltaire, Montesquieu, Hugo, Baudelaire, Zola etc. Ils ne sont pas toujours représentés par des textes, mais leur présence régulière, bien qu'indirecte, à travers des photographies, des citations, des couvertures, des scènes de films ou de pièces de théâtre réalisés à partir de leurs textes est précieuse. Ils initient non seulement les apprenants aux valeurs fondamentales du patrimoine littéraire français, mais aussi l'actualise en le reliant à la pratique quotidienne des locuteurs natifs grâce à l'utilisation de supports visuels et autres dans lesquels ces œuvres littéraires apparaissent (théâtre, cinéma, bande dessinée). La fonction de ces écrivains dans le manuel est donc avant tout culturelle car ce sont des auteurs qui symbolisent une époque ou un genre littéraire, comme par exemple La Fontaine et la fable. Dans ce cas-là, l'écart temporel entre l'auteur et l'apprenant est gommé et

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Gavaldà est plus répandu dans le monde anglophone. Tahar Ben Jelloun a été traduit dans plus de 40 langues, dont l'espéranto, [www.taharbenjelloun.org/biographie/2001-2010](http://www.taharbenjelloun.org/biographie/2001-2010) ; [www.bibliobs.nouvelobs.com/actualites/20131231](http://www.bibliobs.nouvelobs.com/actualites/20131231) ; [www.lepetitjournal.com](http://www.lepetitjournal.com).

l'accès au texte littéraire est facilité par le fait que celui-ci connaît déjà l'œuvre de l'écrivain qu'il a lue dans sa langue maternelle.

### **3. Conclusion**

Les données sur la représentation des écrivains français et francophones dans les manuels de FLE montrent la volonté des auteurs d'utiliser le texte littéraire en tant que document authentique faisant partie intégrante et indissociable de l'enseignement/apprentissage de la langue française. Le choix des plus grands noms de la littérature française indique que les auteurs des manuels ont choisi des valeurs éprouvées qu'ils ont voulu présenter aux apprenants. On peut donc dire que les écrivains et les textes littéraires sélectionnés dans les manuels forment une sorte d'anthologie de la littérature française. Les écrivains contemporains et actuels sont également représentés, bien qu'en plus petit nombre. Il s'agit de ceux qui ont non seulement été récompensés par des prix prestigieux, mais aussi représentés dans les médias, à fort tirage, lus en France comme à l'étranger, traduits dans le monde. Cette combinaison réfléchie d'anciens et de nouveaux, des valeurs confirmées des écrivains canoniques et de la production littéraire actuelle reflète de manière plus réaliste la pratique de lecture des locuteurs natifs et contribue à la pertinence du manuel dans son ensemble. On dirait que le choix des auteurs de manuels suit une logique présente dans la réflexion des spécialistes qui consacrent leurs travaux à la place de la littérature en cours de langue et au choix des textes à intégrer dans les programmes d'enseignement des langues. Fleming qui traite du concept de « canon littéraire » souligne lui-aussi une distinction dans le cadre d'un contexte éducatif où le canon se rapporte généralement à la spécification des textes littéraires à inscrire au programme dans les établissements scolaires ou les universités. Selon lui, il convient de distinguer les canons officiels, imposés au niveau national ou local par des documents relatifs au curriculum, et les canons de facto, qui résultent de la pratique et qui n'ont pas forcément de statut officiel mais qui sont incontournables dans la pratique de lecture des natifs et dont le reflet on retrouve dans les manuels de FLE contemporaines (Margonis-Pasinetti 2012: 39-42).

Il y a une différence notable dans le choix des auteurs serbes entre les manuels de FLE publiés avant 2000 et ces derniers, analysés ici (Simović 2016). À savoir, dans les anciennes séries de manuels, il n'y a pas d'écrivains contemporains ni à succès. Tous les écrivains présentés sont des écrivains de patrimoine littéraire français, des auteurs canoniques qui ont leur place dans l'histoire de la littérature française, dont les œuvres sont étudiées dans les écoles et lues en lecture

obligatoire. Leur présence dans les manuels créait une image qui correspondrait plutôt à une histoire de la littérature française et rappellerait des manuels de la méthode traditionnelle. Cependant, dans les manuels récents analysés les auteurs ont fait un écart par rapport à la littérature comprise d'une manière élitiste. Leur choix est loin de la conception pré-communicative de l'utilisation des textes littéraires dans l'enseignement des langues étrangères, selon laquelle seuls les textes des plus grands écrivains canoniques des époques antérieures étaient exploités étant considéré comme modèle d'expression langagière, comme symbole des sommets de la culture cible grâce à laquelle l'apprenant se forme intellectuellement et esthétiquement. Dans les manuels analysés, les écrivains sélectionnés et leurs œuvres reflètent un segment de la culture cible, ils initient l'apprenant au patrimoine culturel de la France, mais aussi à la pratique actuelle de lecture des locuteurs natifs. De plus, ce choix est fait pour inciter l'apprenant à réfléchir sur l'Autre et le motiver à comprendre l'altérité et les différences dans les habitudes et pratiques culturelles dont témoignent les textes littéraires des auteurs français. Les écrivains présentés et les textes littéraires sélectionnés cessent d'être exclusivement un exemple des plus hauts sommets de l'esprit et de la culture française et des éléments indispensables de la culture savante qui s'acquiert par l'éducation. Conservant leur statut spécifique, ils permettent désormais à l'apprenant d'acquérir une compétence interculturelle et d'enrichir l'image de la France et des Français afin de dépasser les représentations stéréotypées de la culture cible.

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**A FACET OF INTERCULTURALITY IN THE FFL CLASS: LITERATURE BETWEEN HERITAGE AND ACTUALITY**

The literary text has a multiple function in the contemporary teaching of French as a foreign language (FFL). Such an authentic document is important because it helps the student in developing language skills, autonomy in reading and learning, in using different strategies in accessing the text, and enables him to actively use the language he is learning, to get to know the target culture and above all to read in a foreign language for pleasure.

Although no longer considered a “sacred text” or exclusively a manifestation of the best possible use of language (Gruca 1995; Riquois 2009) but rather an authentic document in the function of language learning that testifies to the current reading habits and practices of native speakers, the literary text in the teaching of foreign languages preserves the status of a symbol of the target culture defined by a specific spatial, temporal and linguistic framework. The fact that it is part of the cultural heritage gives the literary text a dimension that determines it spatially and temporally, and connects it with the society from which it originates. Literary works thus acquire a dual status: they are artistic embodiments of language but also manifestations of the target culture. The Other is embodied in them; they convey a cultural system and values different from those of the students; they bear witness to the way of life of the native speakers, to their customs, mentality and way of thinking. A literary text is considered an ideal authentic document for discovering the Other and encountering it in foreign language teaching. At the same time universal, understandable to everyone and rooted in the specific culture whose peculiarities it bears witness to, it invites the student to think, to question both himself and his belonging to his culture, as well as his relationship to others in the target culture (Zarate 1986, 2012; Séoud 1997; de Carlo 1998; Abdallah-Preteuille 2005).

As the first significant contact of students with the French language and culture, apart from the teacher, is achieved through textbooks, in this paper we deal with the writers and literary texts represented in the French language textbooks by Serbian and French authors used in secondary schools in Serbia. The selected documents have a direct impact on students’ ideas about the target culture, which they often retain throughout their education and afterwards. As our research has shown, our students’ ideas about France are dominantly marked by learned culture (Galisson 1988) and that which is acquired through education. That is why an analysis of these documents, and especially of the choice of authors and literary texts that enable an encounter and familiarity with alterity, can be significant for an understanding of students’ ideas about the target culture.

The choice of literary texts represented in a foreign language textbook is neither random nor neutral. It undoubtedly reflects to some extent the personal taste of the textbook’s author. This choice, however, is conditioned to a much greater extent by educational or cultural factors. The fact that a literary

text (or indeed a writer) is in a textbook valorises it, because it places it in an institutional, school framework. The choice of one particular text or writer, as opposed to another, gives the presented document a legitimacy that the student does not question. The issue of the choice of authors and literary works presented in the textbook is all the more significant if it is taken into account that our high school students read the works of a small number of French writers (Balzac, Baudelaire, Camus) during their schooling, as part of literature classes. The French language textbook thus becomes the main source of their knowledge about French and Francophone literature, and the ideas they acquire during their language learning largely determine their future view of literature, culture, the country and the entire Francophone area.

The goal of our paper is, therefore, to determine the image of French literature that the authors of textbooks present to students. For this purpose, we listed the French writers represented in the analysed textbooks and classified them based on the period of creation and the status given to them by literary and cultural institutions (literary history, criticism, magazines, publishing houses, educational institutions, etc.). The scope and form of their representation completed the picture of French literature and culture that the authors of the textbooks present to the students.

A corpus of five textbook sets for learning French by Serbian and French authors (21 textbooks and workbooks) published during the last 15 years showed a rich sample of literary texts used for learning French. Thematically diverse, of different genres, ranging in length from a few lines to a few paragraphs, presented more or less conspicuously and accompanied by diverse activities, the literary text is represented in textbooks at all levels of learning. Judging by this, the literary text is, without a doubt, an indispensable teaching material in contemporary French language teaching. Even in cases where the literary text itself is missing, numerous documents related to literature appear that make up for its absence and enable students to have constant contact with French writers and their works.

Expressed in numbers, almost a hundred French writers from the sixteenth century to the present day are represented in the analysed textbooks of the French language. Although the number of writers featured in the textbooks differs, the picture of French literature represented by Serbian and French authors is very similar and, in the choice of writers, the same, or at least very similar, principles that guided the authors of the textbooks can be observed. Among the truly large number of writers of the twentieth century in both our textbooks and French ones, almost 70 of them, two groups clearly stand out. The first, the most numerous, consists of the most important writers whose works have survived over time, recognised by both literary and educational institutions: G. Apollinaire, J.-P. Sartre, A. Camus, A. Gide, M. Yourcenar, S. de Beauvoir, R. Queneau, E. Ionesco, among others. They have entered the recent history of literature and their works have become school reading, the subject of research, studies and scientific conferences, not only in France but also beyond. These institutionally recognised writers represent French literary and cultural heritage. In textbooks, they have an educational

function – they introduce students to the aesthetic and moral values and ideas conveyed by their works. According to E. Riquois, these canonical writers represent certain values confirmed by the court of literary history that have stood the test of time, which is why their presence in textbooks is legitimate. In this case, they have a double function: their work represents literary, i.e. aesthetic value and is simultaneously a symbol of the cultural system in which it was created and the language in which it was written. In this way, the cultural character of the literary text becomes important, and the selected writers contribute to the cultural identification of the society whose language is being studied (Riquois 2009, 182, 186).

The second group of writers from the twentieth century includes a certain number of current, contemporary writers who are still creating today, and whom we find in both Serbian and French textbooks. We are talking about respectable, recognised writers, such as the Nobel laureate J.-M. G. Le Clézio, or the winner of numerous awards T. Ben Jelloun or E.-E. Schmitt. The conclusion is that the authors, with their choice of writers represented in the textbook, wanted to present a picture of the recent French literature, but one that is characterised by a quality recognised by literary institutions and that is likely to withstand the test of time. Selected writers from the end of the twentieth century have not yet become part of institutional frameworks such as literary histories, school textbooks or curricula because simply not enough time has passed. Literary awards, however, with which almost all of them have been crowned, as well as memberships of academies, indicate that the literary qualities of their works have been officially recognised and confirmed.

There are also a smaller number of extremely well-read, current writers with a large audience. An overview of the list of best-selling books in the period preceding the publication of the analysed textbooks shows names that we also find in French language textbooks: A. Nothomb, A. Gavalda and E.-E. Schmitt. There are also F. Beigbeder, M. Houellebecq and F. Guène, translated and popular all over the world. It should be said that the above-mentioned authors, although authors of bestsellers, are not authors of works that achieved instant success and were then forgotten. Despite this, they have not yet been recognised by literary institutions nor, like their contemporaries, have they been able to pass the test of time. As there are still no guarantees that their works will be recorded in the history of literature, they are still a less safe choice for textbook authors than proven classics, and writers from this category are represented more often indirectly than by excerpts of their works. However, their presence is significant for the image of literature reflected in the textbook because it testifies to the current literary production in France and thus contributes to the relevance of the textbook.

Among the presented writers we find several Francophone authors: A. Djemaï, E.-E. Schmitt and T. Ben Jelloun. Their presence is significant because, even in that very limited scope, they present the students with almost unknown and significant names from different parts of the world, showing them, at the same time, the spread and variety of expressions in the French language as a language of different ethos and cultures.

A special group of writers represented in French language textbooks consists of the classics, writers from all literary eras who represent a veritable small anthology of the most important French authors, from the Middle Ages and the Renaissance to the nineteenth century: Rabelais, Ronsard, Molière, Voltaire, Montesquieu, Hugo, Baudelaire, Zola, etc. They are not always represented by texts, but their regular, albeit indirect presence, through photographs, quotations, the covers of their books, scenes from films or theatre plays based on their literary works is valuable. It not only introduces students to the fundamental values of the centuries-old French literary heritage, but also actualises it by connecting it to the everyday practice of native speakers through the use of visual and other media in which these literary works appear (theatre, film, graphic novels). The role of these writers in the textbook is, therefore, primarily cultural, because they are authors who symbolise an era or a literary genre, such as, for example, the case with La Fontaine and the fable. In this case, the time gap between the author and the student is erased and access to the literary text is facilitated by the fact that the student already knows the writer's work that he has read in his native language.

Data on the representation of French writers in textbooks indicates that the author's commitment to the literary text as an authentic document is used as an integral and inseparable part of French language teaching, and the choice of the greatest names of French literature indicates that the authors have selected proven values that they wanted to present to students. Hence, it can be said that the selected writers and literary texts in the textbooks form a kind of anthology of French literature. Contemporary, current writers are also represented, although in smaller numbers. We are talking about those who have not only been awarded prestigious prizes, but are also represented in the media, with large circulations, read both in France and abroad, translated in various countries around the world as well as in Serbia. This thoughtful combination of old and new, confirmed values of canonical writers and current literary production reflects more realistically the reading practice of native speakers and contributes to the relevance of the textbook as a whole.

There is a noticeable difference in the choice of writers in Serbian French language textbooks published before 2000 and the more recent ones that are analysed here (Simović 2016). Namely, there are no contemporaries or popular, current writers in the older series of textbooks. All the writers presented are writers of literary heritage, canonical authors who have their place in the history of French literature, whose works are studied in schools and read as compulsory school reading. Their presence in textbooks has created an image that would correspond to a certain history of French literature. In the analysed textbooks, however, the authors made a deviation towards "elitist" literature. Their choice is far from the pre-communicative conception of using literary texts in foreign language teaching, according to which the works of only the greatest, canonical writers of previous eras are used in language teaching. These works are a model of language expression, a symbol of the highest reaches of the target culture and, thanks to them, the student is intellectually and aesthetically formed. In the analysed textbooks, the selected writers and

their works represent a segment of the target culture and they introduce the student to the cultural heritage of France, but also to the current reading practice of native speakers. In addition, this selection is made in such a way as to encourage the student to think about the Other and encourage him to understand that which is different and unfamiliar in the customs, habits and cultural practices to which the literary texts of French authors testify. The selected writers and literary texts cease to be exclusively an example of the highest reaches of the French spirit and culture and indispensable elements of the learned culture that is acquired through education. Retaining their specific status, they now help the student acquire intercultural competence and enrich the image of France and the French in order to overcome stereotypical representations of the target culture.

**Keywords:** teaching/learning foreign languages, French as a foreign language, interculturality, French literature, FFL textbook, French writers, literary text

***Language Studies***

***Nauka o jeziku***



**LA STRUCTURE ENONCIATIVE DANS LA LODYANS  
(DIALOGISME, DEDOUBLEMENT ENONCIATIF, PRONOM  
« ON »)**

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**Résumé :** La lodyans haïtienne, d'abord appartenant à la littérature orale populaire, a marqué la transition vers le mode sémiotique écrit en inspirant de nombreux auteurs dont les œuvres, très variées par leurs genres, formes, motifs et tons, ont gardé les éléments prégnants issus de la lodyans orale.

Notre travail d'analyse interdisciplinaire a pour objectif d'approfondir les connaissances sur les procédés narratifs complexes de la lodyans et d'éclairer les éléments issus de son passé oral. Le corpus analysé pour les fins de cette étude est constitué des ouvrages de quatre auteurs : Georges Anglade (1944–2010) *Leurs jupons dépassent*, Justin Lhérisson (1873–1907) *La famille des Pitite-Caille et Zoune chez sa ninnaine*, Jacques-Stephen Alexis (1922 –1961) *Romancéro aux étoiles* et René Depestre (1926) *Hadriana dans tous mes rêves*. Notre recherche s'appuie à la théorie de l'énonciation issue des travaux de Ch. Bally, É. Benveniste, O. Ducrot aussi bien qu'aux travaux de M. Bakhtine, G. Genette et al.

La méthodologie de l'analyse qualitative (reposant sur le modèle établi par J. Bres et B. Vérine) tend à approfondir les connaissances sur les modèles narratifs dans la lodyans. Le dialogisme y étant prégnant dans, nous analyserons les structures énonciatives à travers les faits de la langue et les procédés narratifs. L'analyse linguistique de la structure énonciative a prouvé la présence du *dédoublé énonciatif*, de la *hiérarchisation des énoncés* et de sa *récurtivité*. Le dédoublement énonciatif reflète une structure complexe des énoncés comprenant *l'énoncé enchâssant*, *l'énoncé enchâssé*, attribués aux différents énonciateurs dont les marqueurs de dépendances peuvent être explicites, implicites et parfois, difficilement repérables. Dans la lodyans, l'actualisation personnelle des énoncés se réalise fréquemment à l'aide du pronom personnel indéfini « on » en engendrant souvent le dédoublement énonciatif. Les procédés narratifs tels *la focalisation interne* ou *la focalisation externe*, la présence du lodyanseur, ensemble avec les éléments cités ci-dessus, renforcent l'effet du *dialogisme* et de *l'autdialogisme* dans la lodyans.

**Mots clés :** la lodyans, le lodyanseur, la structure énonciative, le dédoublement, la hiérarchisation, le dialogisme, l'autdialogisme, le pronom « on »

## 1. Introduction

Ce travail de recherche interdisciplinaire portera sur la lodyans,<sup>1</sup> genre littéraire haïtien écrit, issue d'une longue tradition orale (M. Laroche 2004) et sur des traces de l'oralité qu'elle a conservées jusqu'à nos jours.

Le genre a connu le passage du mode sémiotique oral vers le mode écrit ce qui a eu lieu dans un moment précis de l'histoire, en 1906,<sup>2</sup> influençant par la suite de nombreux auteurs (J.-S. Alexis, G. Anglade, R. Depestre, *et al.*) et les différents genres littéraires : récits, nouvelles, romans, dont la longueur, les thèmes abordés, le ton et le style varient selon le genre.

Comment cette mutation de l'oral vers l'écrit s'est-elle manifestée au niveau du procédé narratif et au niveau de la langue ? La lodyans, a-t-elle conservé des traces de l'oralité et si la réponse est positive, comment se manifestent-elles ?

*Le dialogisme*<sup>3</sup> étant l'une des caractéristiques majeures de la lodyans (Dardompré 2018), nous considérons que la tradition orale se transmet à l'écrit à l'aide de procédés du *dédoublement énonciatif*<sup>4</sup> et *les énoncés dialogiques quotidiens*<sup>5</sup> hiérarchisés, attribués à des locuteurs ou énonciateurs différents. Les marqueurs du dédoublement énonciatif peuvent être linguistiquement explicites ou implicites.

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<sup>1</sup> C. Dardompré (2018) *La lodyans, un romanesque haïtien : Perspectives historique, poétique et didactique*, L'Université La Sorbonne Nouvelle Paris 3, France.

<sup>2</sup> J. Lhérisson publie sa lodyans : *Zoune chez sa Ninnaine*, à Port-au-Prince, en 1906.

<sup>3</sup> « Toute énonciation, même sous sa forme écrite figée, est une réponse à quelque chose et est construite comme telle. Elle n'est qu'un maillon de la chaîne des actes de parole. Toute inscription prolonge celles qui l'ont précédée, engage une polémique avec elles, s'attend à des réactions actives de compréhension, anticipe sur celles-ci, etc. » (Bakhtine, 1977 : 106, dans Maingueneau, 2009 : 43).

<sup>4</sup> J. Bres et B. Verine (2002).

<sup>5</sup> En considérant les phénomènes de « voix », de dialogisme et de polyphonie, J. Bres et B. Verine (2002) considèrent que le dialogisme est propre à un énoncé dialogique quotidien et qu'il se distingue par la hiérarchisation des instances énonciatives tandis que le terme de polyphonie serait plutôt réservé aux utilisations littéraires du dialogismes où les voix seraient égales.

Pour appuyer l'analyse qui fait objet de cet article, nous nous référons aux travaux du linguiste O. Ducrot sur la *polyphonie*<sup>6</sup> et à ce propos ceux de D. Maingueneau (2009 : 57) sur les relations entre *l'auteur de la parole, l'énonciation, la situation d'énonciation, l'acte d'énonciation, l'énoncé* :

L'individu qui parle n'est pas nécessairement l'instance qui prend en charge *l'énonciation*, qui se donne pour responsable de sa validité. Ce qui incite O. Ducrot à définir *l'énonciation* indépendamment de l'auteur de la parole, comme 'l'événement constitué par l'apparition d'un énoncé' (1984 : 179).

Maingueneau conclue que la validité d'un énoncé ne se fait qu'en relation avec *l'acte d'énonciation* au sein duquel il est réalisé et que les personnes ou le temps des énoncés sont définis à partir de la situation d'énonciation ce qui engendre le fait qu'un énoncé possède sa propre valeur illocutoire qui se réalise à travers son énonciation. L'énonciation constitue un événement « unique défini dans le temps et l'espace », elle est : « [...] le pivot de la relation entre la langue et le monde » (57).

Le caractère instable de la notion *d'énonciateur*, d'après Maingueneau, est dû « à la complexité de la subjectivité parlante » en citant ses emplois les plus fréquents :

- soit pour désigner le référent de « je », le producteur de l'énoncé, donc comme un équivalent de locuteur ;
- soit pour désigner seulement l'instance qui soutient l'acte d'énonciation en train de se faire et qui n'a pas d'existence indépendamment de cet acte. (56).<sup>8</sup>

Notre étude visant la complexité des procédés narratifs dans la lodyans reposera sur l'analyse et l'interprétation sémantique et pragmatique des structures de la langue.

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<sup>6</sup> O. Ducrot distingue le *sujet parlant* (l'individu qui produit physiquement l'énoncé), le *locuteur* (c'est un être de discours, l'instance qui prend en charge l'énoncé) et *l'énonciateur* (chez Ducrot a une valeur plus abstraite et désigne un « point de vue ») (Ducrot 1984, dans Maingueneau, 2009 : 99 ; 56).

<sup>7</sup> É. Benveniste (1974 : 80) : « L'énonciation est cette mise en fonctionnement de la langue par un acte individuel d'utilisation. »

<sup>8</sup> D. Maingueneau cite que dans l'énoncé « Je suis confus » il faut distinguer entre l'énonciateur/l'individu désigné par le pronom « je » et l'énonciateur/l'instance soutenant cette énonciation (56).

Malgré la diversité du genre, l'un des éléments les plus importants témoignant du passé oral de la lodyans est le personnage du lodyaniseur, la personne qui raconte, dont les noms varient selon l'auteur et l'ouvrage (Le Vieux Vent Caraïbe, Scylla Syllabaire, Golimin, etc.). Dans une situation d'énonciation propre à la lodyans, le lodyaniseur est le locuteur et l'énonciateur qui est accompagné d'un ou de plusieurs interlocuteurs/énonciataires impatientes d'entendre ses histoires et l'incitant à raconter telle ou telle histoire sur différents personnages ou événements. M. Condé (2001 : 13) évoque cette tradition orale en Haïti : « Parfois un conteur se mettait debout au milieu d'un cercle rapidement formé et redisait, pour le bonheur de tous, les malheurs de Bouki et Malice. »

Cette situation d'énonciation faisant partie du cotexte d'un ouvrage appartenant au genre de lodyans évoque le conte oral, le racontage qui a lieu dans une place publique, entre amis, lors d'une veillée où la parole du conteur transmet tout un patrimoine culturel et littéraire du pays.

Ladite scène de la lodyans est censée tissée dans la structure narrative d'un roman, d'un recueil de contes ou de nouvelles constituant l'assise narrative.

Le procédé narratif dans la lodyans est caractérisé par le *dialogisme*. Plusieurs locuteurs et énonciateurs avec leurs énoncés produisent l'effet de *dédoublé énonciatif* (Bres et Verine 2002) où les instances énonciatives sont *hiérarchisées* ce qui (2002) serait à la base de toute *énoncé dialogique*.

Un second élément important témoignant de la tradition orale du genre concerne la présence et l'emploi du pronom personnel « on » qui véhicule l'oralité dans la structure énonciative de la lodyans et qui, par son ambiguïté sémantique et référentielle, contribue à la création du dédoublement énonciatif.

Le corpus analysé pour les fins de cette étude est constitué de cinq segmentations (167306 occurrences, 20213 mots et 12077 mots isolés) représentant les ouvrages de quatre auteurs haïtiens : Georges Anglade (1944–2010) *Leurs jupons dépassent* ; Justin Lhérisson (1873–1907) *La famille des Pitite-Caille et Zoune chez sa ninnaine* ; Jacques-Stephen Alexis (1922 –1961) *Romancéro aux étoiles* ; René Depestre (1926) *Hadriana dans tous mes rêves*, roman marqué par la lodyans. L'analyse statistique des données textuelles a été réalisée à l'aide du logiciel <http://hyperbase.unice.fr><sup>16</sup>. L'observation et les analyses quantitative et qualitative du corpus, ont confirmé la complexité de la structure narrative de ces ouvrages marqués par les éléments propres aux registres : écrit et oral.

L’empreinte de l’oralité dans la lodyans est représentée par la fréquence très élevée du pronom indéfini « on ».<sup>9</sup> Sur un total de 5,358 occurrences des pronoms personnels dans le corpus, le pronom « on » observe 11% contre : 23% – « je » ; 45% – « il/elle » ; 2,4% – « tu » ; 7,2% – « nous » ; 4,5% – « vous » ; 6,6% – « ils/elles » (Špadijer 2024).

En effet, dans la lodyans, le pronom « on » introduit l’effet de *dialogisme* lorsque son référent renvoie à la troisième personne ou à un indéfini, la situation que nous analyseront dans les parties 3.1, 3.2, 4. et 5.

## 2. La description de la structure énonciative dans la lodyans : le dédoublement énonciatif – la hiérarchisation des énoncés et la récursivité de la double énonciation

En analysant la structure narrative de la lodyans, M. Laroche (2004) évoque deux narrateurs : *le narrateur extra-diégétique* se présentant comme un narrateur objectif et *le narrateur supra-diégétique, le lodyaniseur*, dont la narration est imbriquée dans le procédé narratif du premier.

Dans le but d’éclairer davantage le procédé narratif marqué par le dialogisme, notre analyse visera les instances énonciatives en nous appuyant sur les notions de *microdialogue* et de *l’énoncé dialogique*.

D’après Bres et Verine (2002), le microdialogue est définitoire de l’énoncé dialogique et désigne « fondamentalement interaction avec la parole d’autrui ». En effet, dans la double énonciation, l’énonciateur E1 dialogue avec *l’énoncé enchâssé* (e) attribué à un autre énonciateur (e1).<sup>10</sup>

<sup>9</sup> La ScaPoLine introduit la notion de ON–polyphonique censé représenter la voix de tout homme, notion qui engloberait aussi la valeur d’indéfini générique de « on » susceptible d’assimiler toutes les références (Norén 2009 : 137–139).

<sup>10</sup> Dans la taxonomie présentée par J. Bres et B. Verine (2002),

en majuscule sont représentés les éléments suivants :

E – l’énoncé enchâssant, E1 – son énonciateur, E2 – son énonciataire ; L – le locuteur de l’ensemble (énoncé enchâssant et énoncé enchâssé), L’ – son interlocuteur ;

en minuscule sont représentés :

l’énoncé enchâssé – e, son énonciateur – e1, son énonciataire – e2 ;

Dans la double énonciation, E1 dialogue avec l’énoncé e du e1.

La hiérarchisation des énoncés est représentée de manière suivante : (E(e)).

Dans le cas de la récursivité du dédoublement énonciatif, les niveaux successifs sont marqués par ε (énoncé enchâssé) et ε1 (son énonciateur). Nous supposons que son énonciataire serait marqué par ε2.

Les mêmes auteurs soulignent que dans un énoncé dialogique, l'actualisation phrastique « par laquelle s'opère le passage de la langue au discours » : déictique (temps, espace, personne des éléments du *dictum/le contenu propositionnel*), modale (donner un *modus* à un *dictum*)<sup>11</sup> tous relevant de *l'à-dire*, et phonétique/graphique relevant de *dire* (le choix d'un mode sémiotique), ne porte pas sur *un dictum* comme c'est le cas dans *un énoncé monologique* mais plutôt à *un énoncé* ayant déjà été actualisé et modalisé par un autre énonciateur. Dans ce type d'énoncé il se passe *le dédoublement énonciatif* qui comprend *un énoncé enchâssé* contenu dans *un énoncé enchâssant*.<sup>12</sup> Dans les cas de double énonciation, l'opposition entre le locuteur<sup>13</sup> et l'énonciateur<sup>14</sup> est pertinente tandis que dans les énoncés monologiques, le locuteur et l'énonciateur sont identiques.

Dans les énoncés dialogiques, particulièrement dans le discours rapporté (DR), le locuteur et l'énonciateur peuvent être distingués grâce aux indices, explicites ou implicites. J. Bres (2002) cite plusieurs procédés ou structures linguistiques supposés marquer le dialogisme « le détournement, l'ironie, le conditionnel, la négation, l'interrogation totale, la comparaison, le renchérissement, la confirmation, la concession, le clivage, le détachement, la présupposition ».

Dans la lodyans, le dédoublement énonciatif a lieu lorsque le scripteur-locuteur-énonciateur<sup>15</sup> (L/E1) se présente comme un acteur de l'histoire, faisant partie du public du lodyanseau qui, à son tour, prend le rôle du locuteur-énonciateur (e1).<sup>16</sup>

<sup>11</sup> Ch. Bally, 1934/1965 : 36–38.

<sup>12</sup> J. Bres et B. Verine (Le bruissement des voix dans le discours : dialogisme et discours rapporté, *Faits de langue*, 19, 2002, pp. 159–169).

<sup>13</sup> [...] *le locuteur* est l' « instance de profération du message » (Fauré 2001) qui actualise l'énoncé dans sa dimension de *dire* (correspondant à l'acte locutionnaire dans ses dimensions phonétique et phatique telles que les décrit Austin) (Bres et Verine 2002).

<sup>14</sup> [...] l'énonciateur est l'instance à partir de laquelle l'énoncé est actualisé dans sa dimension déictique et modale, à savoir inscrit énonciativement par rapport à un *ego*, *hic* et *nunc*, et modalisé (ce qui correspond aux valeurs référentielles et modales de la théorie des opérations énonciatives). Tout énoncé a donc – au moins – un locuteur et un énonciateur (Bres et Verine 2002).

<sup>15</sup> Le narrateur extra-diégétique d'après M. Laroche.

<sup>16</sup> Le narrateur *supra-diégétique* selon M. Laroche.

Observons un extrait de la lodyans *La famille des Pitite-Caille* (J. Lhérisson 2012 : 21) qui témoigne de la complexité narrative de la lodyans où les deux locuteurs-énonciateurs se connaissent puisque le locuteur-l'énonciateur qui est aussi le scripteur (L/E1) assiste souvent aux « audiences » du lodyaniseur Golimin (le locuteur-l'énonciateur – e1). Nous y analyserons également les marqueurs de dépendance explicites :

(1) Golimin est un de mes vieux amis. Il sait tout. Il est l'homme le mieux documenté de la République. Il a de l'expérience. Aussi gagne-t-on beaucoup à entendre ses audiences. Souvent il me promet de me faire l'historique des fortunes de chez nous [...] Je le rencontrai l'autre soir au Champ-de-Mars. Il était de bonne humeur. Après une rapide revue de faits insignifiants et des potins de la journée, il me dit : — je viens de voir tout à l'heure le pauvre Etienne Pitite-Caille.

L'exemple cité illustre le phénomène du dédoublement des énoncés. Nous y notons d'abord un *énoncé enchâssant* (E) réalisé par un locuteur qui est également l'énonciateur (L/E1) ce qui est confirmé par le déterminant possessif *mes* : *Golimin est un de mes vieux amis [...]* et par le pronom « on » : *Aussi gagne-t-on [...]*.

Il est également le scripteur qui communique avec ses lecteurs en essayant de les convaincre à écouter les lodyans de Golimin : *Aussi gagne-t-on beaucoup à entendre ses audiences.*

Le même passage contient deux exemples de dédoublements énonciatifs hiérarchisés.

a) Le premier *énoncé enchâssé* (e) relève du discours rapporté (DR) dont la présence est explicite : *Souvent il me promet de me faire l'historique des fortunes de chez nous.*

L'*énoncé enchâssant* (E) : *Souvent il me promet [...]* est attribué au locuteur-énonciateur (L/E1) qui est aussi le scripteur tandis que le véritable énonciateur de l'*énoncé enchâssé* (e) : [...] *de me faire l'historique des fortunes de chez nous [...]* (l'acte de la parole exprimant la promesse), serait un second énonciateur (e1), le lodyaniseur. Sa promesse pourrait être linguistiquement explicitée de façon suivante : *Un de ces jours, je vais te faire l'historique des fortunes de chez nous !*

b) Le second exemple de la double énonciation relève du discours direct (DD) :

[...] : — *je viens de voir tout à l'heure le pauvre Etienne Pitite-Cailles* [...].

L'énoncé *enchâssé* y est attribué également au second locuteur-énonciateur, le lodyanseur (e1), et fait partie de l'énoncé *enchâssant* (E) attribué à L/E1 : [...] *il me dit* : [...].

La hiérarchisation des énoncés ci-dessus peut être représentée de manière suivante : (E(e)).

Observons l'exemple suivant de la lodyans repérée dans le genre romanesque *Hadriana dans tous mes rêves* de R. Depestre (1988 : 25) illustrant la double énonciation et la hiérarchisation des énoncés caractérisé par les marqueurs de dépendance explicites :

(2) Dans la même envolée, *Scylla Syllabaire* nous révéla que le papillon que tout Jacmel avait vu sur l'œil de la morte était un chrétien-vivant comme vous et moi.

Ci-dessus, le locuteur-énonciateur (L/E1) dans son *énoncé enchâssant* (E) (*Scylla Syllabaire nous révéla*) est aussi le scripteur et il communique avec ses lecteurs (*comme vous et moi*). Il introduit un autre locuteur-énonciateur (e1) (lodyanseur *Sylla Syllabaire*) chargé de l'énoncé *enchâssé* (e) (*le papillon [...] était un chrétien-vivant*). Dans ce cas, le dialogisme est marqué sous la forme du DR.

Cet *énoncé enchâssé* de l'énonciateur–e1 (ci-dessus) devient à son tour l'énoncé *enchâssant* (E) puisqu'il englobe d'autres énonciateurs (*tout Jacmel*) (ε1), linguistiquement explicité comme *habitants de la ville de Jacmel*, une instance commune, ayant témoigné du fait mentionné et introduisant un nouvel *énoncé enchâssé* (ε) : *le papillon [que tout Jacmel] avait vu sur l'œil de la morte*. L'énoncé précédent pourrait être linguistiquement explicité de la manière suivante : *Les habitants de Jacmel ont raconté avoir vu le papillon sur l'œil de la morte*.

En analysant les exemples précédents, nous avons pu noter la présence de la *récurtivité du dédoublement énonciatif* (Bres et Verine 2002) et des relations hiérarchisées qui se créent systématiquement entre l'énoncé *enchâssant* et l'énoncé *enchâssé*. Elles peuvent se créer à plusieurs niveaux hiérarchiques successifs et elles sont censées être analysées à travers les structures linguistiques, au niveau sémantique et pragmatique.

L'analyse préliminaire que nous venons de réaliser démontre déjà la complexité du procédé narratif dans la lodyans dont nous explorerons d'autres aspects par la suite.

Dans les lodyans courtes de G. Anglade (2004), la *récurtivité du dédoublement énonciatif* est également évidente. Dans l'exemple

suisant, elle est caractérisée des marqueurs de dépendance syntaxiques et typographiques explicites :

(3) Bizarrement, les filles naissaient toujours seules à Quina. La tradition voulant que le choix du nom des filles revienne aux mères et celui des garçons aux pères, la communauté se retrouvait avec une suite de noms, disons normaux, pour la gent féminine et absolument hors norme, sinon anormaux, pour l'autre sexe. Tout le monde était suspendu à la rumeur qui bientôt devait déferler pour dire, et commenter, le choix de maître Ti-Laurent. Comme il tardait inconsidérément – c'était une subtile marque d'importance, *il se croit*, disait-on de lui, derrière son dos – au bout de deux jours le bruit courut que le trio s'en prénommerait *Lepère, Lefils, Lesaintesprit*. Le maître était pris à son propre piège. (Lodyans : *Au nom du père et du fils*).

*L'énoncé enchâssant* (E) (*Bizarrement, les filles naissaient [...]*) est hiérarchiquement supérieur à *l'énoncé enchâssé* (e) (*[...] il se croit, disait-on de lui, derrière son dos [...]*) avec les marqueurs de dépendance explicites au niveau syntaxique (l'incise introduisant le discours direct) et typographique (l'italique) renvoyant à un autre énonciateur (e1).

Par la suite, ce même *énoncé enchâssé* (e), constituant le niveau hiérarchique suivant, devient à son tour *l'énoncé enchâssant* (E) pour *l'énoncé enchâssé* (ε) de l'énonciateur ε1 (*[...] le trio s'en prénommerait Lepère, Lefils, Lesaintesprit*) qui implique que le nouvel énonciateur serait le père de trois garçons à qui, d'après la lodyans, reviendrait le choix les noms de ses fils, conclusion appuyée davantage par les marqueurs typographiques explicites (en italique).

Cependant, les marqueurs de dédoublement énonciatifs restent parfois implicites comme dans l'exemple suivant tiré de la lodyans courte *La petite malice* (Anglade 2004) :

(4) Je ne prends jamais de dessert le dimanche. J'ai mes raisons. Elles sont enfouies sous un quart de siècle, du temps de la petite malice des dimanches en prison. [...] La petite malice a un taux de sucre supérieur à toutes les figues de dimension normale et cette haute concentration dans un petit volume en fait une douceur. [...] Sauf qu'après, on ne peut plus en manger. [...] Me revient depuis, lancinant, le souvenir du seul qui refusa toujours de la manger pour ne rien leur devoir, surtout pas un bon souvenir, surtout pas.

Dans l'exemple (4), la première partie du texte présente un énoncé enchâssant (E), à la première personne (*je*) et le pronom indéfini (*on*) (*Je ne prends jamais de dessert le dimanche. Sauf qu'après, on ne peut plus en manger. Me revient depuis, lancinant, le souvenir du seul qui refusa toujours de la manger.*) attribué au locuteur-énonciateur-scripteur (L/E1) qui, par la suite, introduit un énoncé enchâssé (e) (*surtout pas un bon souvenir, surtout pas*) qui serait attribué à un autre énonciateur (e1) (*un seul qui*) dont l'explicitation linguistique pourrait être : *il y avait un seul prisonnier qui refusait d'en manger parce qu'il ne voulait rien devoir à ses geôliers et il ne voulait garder aucun bon souvenir de la prison.*

Dans l'énoncé enchâssé cité, les marqueurs de dépendance sont plus discrets mais peuvent être déduits au niveau syntaxique puisqu'il y a la juxtaposition de deux phrases courtes, identiques, marquées par l'ellipse du verbe modal *vouloir*, imitant le registre oral en DD. Au niveau rhétorique, les parallélismes et le rythme précipité reflètent l'état d'âme de l'auteur de l'énoncé enchâssé (e1).

Pour conclure, l'analyse des passages représentatifs a montré que la hiérarchisation des énoncés est propre aux ouvrages majeurs représentant la lodyans haïtienne.

### 3. La focalisation dans la lodyans

Afin d'appuyer notre thèse sur l'existence des éléments de l'oralité dans la lodyans ainsi que celle sur la complexité de sa structure narrative, nous analyserons les exemples relevant de la focalisation interne et de la focalisation externe.

La focalisation est le procédé narratif où le narrateur prend la position d'observateur (Genette 1972 : 203–210). G. Genette (1972 : 183–224) explique qu'il faut distinguer « le personnage dont le point de vue oriente la perspective narrative » du « narrateur » ce qui correspond aux questions : « qui voit ? et [...] qui parle ? » (203). « [...] je reprendrai ici le terme un peu plus abstrait de focalisation, qui répond d'ailleurs à l'expression de Brooks et Warren : « focus of narration » (206). « [...] le personnage focal ne soit jamais décrit, ni même désigné de l'extérieur, et que ses pensées ou ses perceptions ne soient jamais analysées objectivement par le narrateur (209–210). »

Ce procédé a pour objectif de rendre les événements plus authentiques. Cela renforce le dynamisme du récit et sert à exprimer, de manière très persuasive, les sentiments et les émotions des acteurs de l'histoire.

#### 3.1. La focalisation interne dans la lodyans (le dédoublement énonciatif ; le dialogisme et le pronom « on »)

1. Dans cette partie, nous analyserons la *focalisation interne* observée dans le recueil des lodyans de J.-S. Alexis (*Romancéros aux étoiles*) où le lodyanqueur est représenté par le personnage Le Vieux Vent Caraïbe, l'énonciateur (E1), qui raconte plusieurs lodyans à son énonciataire (E2). Le dialogisme et le dédoublement énonciatif y sont présents mais observent d'autres particularités par rapports aux exemples précédemment explicités. Les marqueurs de dépendance énonciative explicites n'apparaissent souvent pas dans ce type d'ouvrages et une interprétation de la structure énonciative devrait prendre en considération les éléments provenant du cotexte et du contexte.

Tout d'abord, l'*énoncé enchâssant* (E) représentant le contexte de la lodyans comprend la situation dans laquelle le scripteur-le locuteur/énonciateur (L/E1) incite le lodyanqueur à lui raconter une lodyans. Dans cette première étape, le lodyanqueur qui joue le rôle de l'interlocuteur et de l'énonciataire (L'/E2) accepte de le faire. Observons en un extrait de la lodyans *Chronique d'un faux-amour* (Alexis) :

(5) ... Tonton, dis-je au Vieux Vent Caraïbe, que ne raconte-t-on pas comme histoires de « zombis », ces personnages qu'on aurait tirés du sommeil cataleptique où ils se trouveraient, passant pour morts, puis qu'on aurait enlevés du cimetière pour les emmener prisonniers... [...] Pourquoi agiraient ainsi ces malfaiteurs ?... En tout cas, je vais vous dire la ... [...].

Dans cette situation, la lodyans serait l'*énoncé enchâssé* principal (e). À son tour, elle possède sa propre structure énonciative hiérarchisée observant ainsi les caractéristiques liées au phénomène de la récursivité de la double énonciation. La lodyans (l'*énoncé enchâssé*) devient à son tour l'*énoncé enchâssant* pour d'autres énoncés.

Dans la même lodyans (*Chronique d'un faux-amour*), le lodyanqueur raconte l'histoire à la première personne « je » se servant de la *focalisation interne*<sup>17</sup> comme procédé narratif :

(6) L'aube a entrouvert les lèvres, l'aurore a souri, et de ma fenêtre j'ai entendu le rire du matin. La pendule sur la table, précipitée, bat comme un coeur épouvanté et dévore les secondes... On n'a pas revu Soeur Chantal ce matin. Elle n'est pas dans sa cellule. Elle n'est pas à la chapelle, elle n'est pas

<sup>17</sup> La focalisation interne – le narrateur s'identifie au personnage dont il prend le point de vue (Genette 1972).

dans les couloirs ni dans la tour. Elle n'était pas au bas de la falaise. Sœur Chantal avait reçu une visite hier dans le cloître. Sœur Chantal était une congaï... J'aimais ses yeux bridés, son teint jonquille. On ne reverra plus Sœur Chantal... Sœur Chantal sera peut-être heureuse...

L'extrait de la lodyans citée ci-dessus commence par le récit à la première personne « je » qui réfère à la locutrice-énonciatrice qui est la protagoniste de l'histoire ([...] *de ma fenêtre j'ai entendu le rire [...]*) ce qui constitue un nouvel énoncé enchâssant (E).

Le dédoublement énonciatif et le dialogisme sont observés à travers trois énoncés enchâssés ( $\epsilon$ ) sans marqueurs de dépendance explicites, introduits par les sujets « on » et « elle » :

- a) *On n'a pas revu Sœur Chantal ce matin.*
- b) *Elle n'est pas dans sa cellule. [...]*
- c) *Elle n'était pas au bas de la falaise.*

Ce n'est qu'à travers le rythme des phrases indépendantes et juxtaposées suggérant la précipitation, le ton émotionnel prégnant, que nous interprétons qu'il s'agit en effet des paroles/des énoncés attribués à différentes instances énonciatives c'est-à-dire, à des sœurs, habitantes du couvent et non à la locutrice-énonciatrice E qui présente le point focal « je » (cité ci-dessus).

Les explicitations linguistiques des énoncés a, b et c, seraient :

- a) *Une sœur me dit (Les sœurs me disent) ne pas avoir revu sœur Chantal ce matin.*
- b) *Une autre affirme que sœur Chantal n'est pas dans sa cellule.*
- c) *Les sœurs ont confirmé que sœur Chantal n'était pas au bas de la falaise.*

Les énoncés cités appartiennent chacun à des instances énonciatives différentes et ils sont marqués par les actualisations personnelles et spatio-temporelles particuliers (a. *on, dans le couvent, ce matin* ; b. *elle, dans sa cellule, en ce moment* ; c. *elle, au bas de la falaise, auparavant*).

Cependant, l'un de ces éléments syntaxiques et sémantiques est particulièrement susceptible à intégrer le dédoublement énonciatif et le dialogisme, c'est le pronom « on ».

Ci-dessus, « on » introduit une série de trois énoncés dialogiques tout en créant le cadre de ces événements dialogiques. Ici, le référent de « on » renvoie à la troisième personne ce qui comprend dans cette occurrence : les sœurs habitantes du couvent c'est-à-dire, les membres de cette communauté. Grâce au pronom sujet « on », la locutrice E dialogue avec les énoncés des autres instances énonciatives et qu'elle

nous fait entendre. L'énoncé commençant par « on » anticipe deux énoncés suivants appartenant à des énonciatrices différentes.

2. Comme le passage de l'oral à l'écrit de la lodyans a influencé différents genres littéraires, nous en analyserons un autre exemple de la lodyans tirée du même recueil (*Romancéros aux étoiles* de J.-S. Alexis), intitulée *La rouille des ans*. Le personnage du lodyaniseur est le même, Le Vieux Vent Caraïbe, qui est le locuteur, l'énonciateur (L/E1). Par contre, cette lodyans a des caractéristiques d'une fable où la figure rhétorique dominante est l'allégorie. La complexité énonciative relève des éléments suivants : *le dédoublement énonciatif* et l'ambiguïté sémantique et référentielle du pronom « on ». Observons l'exemple suivant :

(7) Non seulement cette mare, mais tous les canaux, tes les lagunes de la région retentissaient du bruit de mes frasques et de mes aventures ! [...] Un jour, on ne sait trop pourquoi, mais on remarque qu'on n'a pas le cœur à chanter tous les soirs... La voix est toujours juste et la couleur nette, mais c'est comme ça !... Oh ! [...] Je compris qu'il me fallait abandonner l'opéra, d'ailleurs on me le fit suffisamment comprendre. J'étais devenu violet... Je pris la baguette et je conduisis l'orchestre... [...]

La structure énonciative de la lodyans citée ci-dessus se caractérise par la récursivité du dédoublement énonciatif où l'énoncé *enchâssant* (E) possède sa propre structure énonciative hiérarchisée.

Le dialogisme apparaît dans le point de l'histoire où le nouvel locuteur-énonciateur « je » (e1) introduit la parole d'autrui ce qui devient un nouvel énoncé *enchâssé* (ε) ([...] *on fait de plus en plus de fausses notes dans le concert. Je compris qu'il me fallait abandonner l'opéra, d'ailleurs on me le fit suffisamment comprendre.*). Donc, les paroles d'autrui sont imbriquées dans le DR mais nous pourrions également les reconstruire de façon suivante en DD : *Tu devrais abandonner l'opéra*. L'énonciateur est indéterminé et il est représenté par le pronom « on ».

L'énoncé *enchâssé* est introduit par les marqueurs de dépendance explicites caractérisant le DR dans l'exemple cité ([...] *on me le fit suffisamment comprendre.* [...]).

La locution adverbiale *d'ailleurs* appartenant à l'énoncé *enchâssant* illustre clairement la ligne de démarcation entre deux situations d'énonciations.

Outre cela, la présence du pronom « on » appuie davantage la double énonciation ([...] *on me le fit suffisamment comprendre* [...]) dont

le référent à valeur générique (neutre) renvoie aux « autres », à « quelqu'un », à « tiers ». L'explicitation linguistique de cet emploi serait : *Les autres m'ont fait comprendre par leur dire ou leurs réactions que je devais abandonner l'opéra.*

Sur le plan énonciatif, le pronom « on » recouvre la dichotomie entre deux énonciateurs : locuteur-l'énonciateur enchâssant « *le crapaud rouge/je* » (e1) qui est l'auteur de la parole (appuyé davantage par la présence du déterminant « *me* ») et l'énonciateur enchâssé (ε1) référant aux « autres », responsables de cet acte d'énonciation auquel réfère l'énoncé.

Cette occurrence du pronom « on » représente le cas de dédoublement sémantique recouvrant deux différentes valeurs superposées (référentielle vs. énonciative) qui ne correspondent pas : le référent de « on » (*les autres*) ≠ l'énonciateur de « on » (*je*).

### 3.2. La focalisation externe dans la lodyans (le dédoublement énonciatif ; les cas de l'ambiguïté sémantique du pronom « on »)

Dans l'exemple suivant, le lodyaniseur qui est en même temps le locuteur et l'énonciateur, modalise son récit à l'aide de l'opposition entre un temps de discours (*le présent de l'indicatif*) et un temps historique (*l'imparfait*). Le présent y est utilisé dans son emploi interprétatif (Sperber et Wilson 1986)<sup>18</sup> ayant la capacité de marquer la *focalisation externe* dans la narration créant l'impression que le lodyaniseur (Golimin) assiste à la scène qu'il décrit. Son objectif est de donner à son récit de la véracité, la dramatisation, le suspens, lorsqu'il décrit les réactions et les émotions du personnage, Cadet Jacques. En même temps, il y introduit une note parodique concernant la duplicité du personnage en question.

(8) Deux jours après cet entretien, Cadet Jacques qui voulait tout pour lui et rien pour les autres, rend comme d'habitude sa visite nocturne à sa maîtresse. *Il a l'air préoccupé. Il est taciturne. Il semble plongé* dans de grandes réflexions.

On lui sert son souper. Lui qui d'ordinaire baffe copieusement, mange à peine. Il ne fait que goûter à son dessert, une compote de goyave, au sucre candi.

<sup>18</sup> L'emploi descriptif du présent implique son instruction de base « situer l'action au moment de la parole du locuteur », le point de référence R coïncide avec le moment de la parole S (R=S) (Reichenbach 1947).

— Cadet, ti dé, ché, ça ou gangnin ? lui dit M Boyote en lui passant les bras autour du cou.

— An yen, diabouloute moïn ! (*Zoune chez sa ninnaine* 193)

La présence du pronom sujet « *on* » (*On lui sert son souper.*) ajoute à la complexité narrative de cette scène. Ici, le pronom « *on* » renvoie au référent de la troisième personne « *elle* » (*sa maîtresse*), présentant la valeur référentielle anaphorique déduite à partir du cotexte. Les sèmes inhérents de son référent sont : *humain / agent / déterminé*.<sup>19</sup>

Cependant, il faut prendre en considération le fait qu'il s'agit ici d'une situation d'énonciation typique pour la lodyans où le locuteur-énonciateur-lodyaniseur (L/E1) est sous-jacent et qu'au niveau sémique, cette instance énonciative se caractérise par les traits sémiques *humain / locuteur / déterminé*. Donc, la valeur référentielle de « *on* » et celle énonciative du pronom « *on* » ne coïncident pas.

Dans ce cas, les structures sémiques respectives de *l'énonciateur* et *du référent* du pronom « *on* » sont différentes : le sème *locuteur* relève de l'énonciateur-lodyaniseur tandis que le sème *agent* caractérise la structure sémique de son référent<sup>20</sup> (« *elle* » / *sa maîtresse*).

Le pronom « *on* » y est doté de capacité de recouvrir la dichotomie entre l'énonciateur (le lodyaniseur) et le référent de « *on* » à condition qu'il ne désigne pas la première personne (« *on* » ≠ « *je* », « *on* » ≠ « *nous* »), mais plutôt la troisième personne (« *on* » = « *quelqu'un* », « *on* » = « *tiers* », « *on* » = « *il* », « *ils* », « *on* » = « *les gens* », « *on* » = *l'homme en général*, « *on* » = « *ceux-ci* », « *ceux-là* »).

#### 4. Le dédoublement énonciatif et le DR dans la lodyans

En se penchant aux travaux de O. Ducrot, Bres et Verine (2002) ont noté l'absence de « frontière » entre le discours rapporté (DR) et la polyphonie l'expliquant par le fait qu'« elle n'existe pas dans les faits linguistiques » : « [...], sous l'apparente dualité des phénomènes, réside

<sup>19</sup> F. Rastier distingue deux valeurs indépendantes de « *on* » : (1) Valeur indéfinie contenant les traits inhérents : *humain / agent / indéfini* ; (2) Valeur correspondant au pronom nous, considérée comme la forme non marquée de la première personne du pluriel aux traits inhérents : *humain / locuteur / déterminé*. (dans Gjesdal 2008 : 40).

<sup>20</sup> Nous avons déjà constaté (Špadijer 2024 : 130) l'absence de la « contamination sémantique » dans la lodyans, c'est-à-dire, le remplacement massif de « *nous* » par « *on* », observé dans le français moderne (Rey-Debove 2001 : 280, cité par Gjesdel 2008 : 53).

leur unité fondamentale, que seule la tradition des études linguistiques nous empêche de voir, à savoir que le DR est une forme de dialogisme. »

Observons l'exemple de situations de la double énonciation et sa récursivité dans la lodyans *La Famille de Pitite-Cailles* de J. Lhérisson, la hiérarchisation des énoncés y est également présente :

(9) Le 10 janvier 187..., les élections législatives eurent lieu à Port-au-Prince et en province « dans l'ordre et le calme le plus parfaits ». Ceux qui devaient être élus par le peuple souverain, furent... élus par le peuple souverain. On n'eut seulement à enregistrer qu'un incident assez banal, assez... insignifiant : le nettiage (bastonnade) de deux hommes dans une petite commune ; ils avaient osé dire au chef de l'endroit qu'ils n'accorderaient leur vote qu'aux candidats de leur choix. C'était de l'audace : on ne parle pas ainsi aux autorités.

*L'énoncé enchâssant* (E) attribué à L/E1 (*Le 10 janvier 187..., les élections législatives eurent lieu à Port-au-Prince et en province [...] Ceux qui devaient être élus par le peuple souverain, furent... élus par le peuple souverain.*) contient un énoncé enchâssé (e) aux marqueurs de dépendance typographiques explicites (*les guillemets*) : « *dans l'ordre et le calme le plus parfaits* », paroles du communiqué officiel des autorités chargées d'organisation des élections.

Dans le système du DR, *l'énoncé enchâssant* (E) (*On n'eut seulement à enregistrer qu'un incident assez banal, assez... insignifiant : le nettiage (bastonnade) de deux hommes dans une petite commune ; ils avaient osé dire au chef de l'endroit que [...]*) introduit un nouvel énoncé enchâssé (e) (*[...] qu'ils n'accorderaient leur vote qu'aux candidats de leur choix.*) réalisé par l'énonciateur (e1) : *deux hommes dans une petite commune ayant subi une bastonnade.*

Cet énoncé enchâssé et le changement de perspective énonciative peuvent être identifiés grâce aux marqueurs de dépendance syntaxiques explicites relevant du DIL : l'imparfait (*C'était de l'audace [...]*) ; le pronom sujet « on » ; le DD au présent dans son emploi interprétatif (*[...] on ne parle pas ainsi aux autorités.*)

Dans l'exemple cité, le pronom « on » marque l'introduction d'un nouvel énonciateur (e1) (*le chef de l'endroit*). Le présent de l'indicatif (le temps de discours) crée une rupture dans le récit du locuteur-énonciateur (L/E1) et introduit la parole d'autrui. Son explicitation linguistique serait : *Le chef de l'endroit a justifié les mesures prises à l'égard de deux hommes dans une petite commune qui avaient osé dire [...] en expliquant qu'ils étaient trop audacieux et qu'il ne fallait pas parler aux autorités de telle manière.*

Outre cela, le pronom « *on* » implique le registre oral. Son référent renvoie ici à la troisième personne (*quelqu'un, les gens, [...]*) et il marque le dédoublement sémantique explicité dans les parties précédentes du présent article.

### 5. L'autodialogisme dans la lodyans

La double énonciation est censée intégrer *l'autodialogisme*. D'après Bres et Verine (2002) : « [...] le locuteur-énonciateur de *l'énoncé enchâssant* peut avoir des relations dialogiques tant avec le discours d'autrui, c'est-à-dire avec des énoncés imputables à l'interlocuteur ou au tiers (dialogisme interdiscursif et interlocutif) qu'avec son propre discours (autodialogisme). »

Observons un exemple tiré de la lodyans *La Famille de Pitite-Cailles* (J. Lhérisson 2012 : 102) :

(10) Un matin, vers les 10 heures, il y eut un certain émoi dans le quartier de Turgeau. *Qu'y avait-il ? On s'abordait en se posant cette question.*

L'exemple cité représente le cas de l'autodialogisme relevant de la double énonciation : le lodyaniseur (E1) et *son énoncé enchâssant* (E) (Un matin, vers les 10 heures, il y eut un certain émoi dans le quartier de Turgeau.) englobe *un énoncé enchâssé* (e) (*Qu'y avait-il ?*) attribué à un énonciateur e1 qui peut recouvrir, entre autres, le personnage du lodyaniseur qui est cette fois-ci dans une nouvelle actualisation, à savoir l'un des protagonistes des faits racontés faisant partie du même groupe se partageant les mêmes préoccupations et pensées.

En effet, le discours indirect libre (DIL) introduit un énoncé enchâssé dont les marqueurs explicites de dépendance syntaxiques et typographiques sont : la question directe avec l'inversion du sujet, l'imparfait, le changement d'intonation et l'italique.

Le pronom sujet « *on* » au référent « *nous* », « *moi et les autres* », « l'un d'entre nous » (le e1 faisant partie du même groupe), à la valeur référentielle anaphorique, déterminée, contenant les sèmes *humain / locuteur / déterminé* (*On s'abordait en se posant cette question.*), indique que le locuteur-énonciateur/ lodyaniseur (L/E1) est aussi l'un des protagonistes et témoins des événements et des circonstances racontés. L'emploi anaphorique du pronom « *on* » permet l'introduction d'une nouvelle instance énonciative dans le discours. L'explicitation linguistique de *l'énoncé enchâssé* serait :

– En s'abordant, on se demandait/je me demandais/ nous nous demandions ce qui se passait. *Qu'y a-t-il ? – dis-je/disions-nous/dit l'un*

d'entre nous (le e1 faisant partie du même groupe se partageant les mêmes préoccupations et pensées).

## 6. Conclusion

L'objet de notre étude était d'explorer les ouvrages d'auteurs haïtiens ayant été influencés par la lodyans orale afin de mettre en valeur les éléments clés issus du passé oral de ce genre. Des histoires courtes aux récits plus complexes et au genre romanesque, tous témoignent de certaines caractéristiques communes dont nous citerons en particulier : le personnage de lodyaniseur, la situation d'énonciation propre à la lodyans où les rôles de locuteur et d'énonciateur sont attribués au lodyaniseur, la présence de son interlocuteur et énonciataire.

La méthodologie d'analyse adoptée pour des fins de cette recherche nous a permis d'éclairer davantage la complexité des structures narratives dans les lodyans et de déconstruire la hiérarchisation des énoncés.

La lodyans se distingue par une structure énonciative complexe dont les traits les plus importants sont le dialogisme, la double énonciation (la hiérarchisation des énoncés et sa récursivité systématique) et l'autodialogisme.

D'une part, au niveau syntaxico-sémantique, nous avons noté des marqueurs de dépendance explicites permettant de distinguer différentes instances dans une situation d'énonciation empreinte du dialogisme. Nous en citerons quelques-uns : le DR ; la concordance des temps ; le DIL ; l'incise imitant le DD ; les signes typographiques ; l'opposition entre l'emploi descriptif et l'emploi interprétatif des temps verbaux ; les phrases courtes juxtaposées ; les adverbes modalisateurs du discours ; le pronom « on » ; les parallélismes ; l'ellipse du verbe modal ; le rythme précipité ; l'acte de la parole – *la promesse*.

D'autre part, lorsque la dépendance est restée implicite, le travail de l'interprétation sémantico-pragmatique des énoncés dialogiques a visé l'actualisation personnelle et spatio-temporelle des énoncés, les valeurs référentielles et énonciatives du pronom « on », les caractéristiques stylistiques des énoncés, leurs cotexte et contexte.

Nous tenons à attirer l'attention sur un point que nous jugeons important, le pronom « on », dont l'ambiguïté sémantique est censée générer l'actualisation déictique des énoncés, la représentation du dialogisme et de la double énonciation. Dans la présente étude, nous avons analysé les cas où le pronom « on » crée l'effet du dialogisme lorsque son sémantisme renvoie à *la troisième personne*, à *un indéfini*, à *tiers*, ou à *un autre référent*. Le pronom sujet « on » est censé introduire

une série d'énoncés dialogiques, en créant leur cadre et en véhiculant l'effet de l'oralité.

Rappelons que l'importance du pronom « on » dans les lodyans avait été confirmée par l'analyse statistique des données textuelles réalisée à l'aide du logiciel <http://hyperbase.unice.fr16> visant le corpus haïtien (Špadijer 2024).

Ainsi, l'empreinte de l'oralité dans la lodyans est représentée par la fréquence très élevée du pronom indéfini « on ». Sur un total de 5,358 occurrences des pronoms personnels, le pronom « on » observe 11% contre : 23% de « je » ; 45% de « il/elle » ; 2,4% de « tu » ; 7,2% de « nous » ; 4,5% de « vous » ; 6,6% de « ils/elles ». Un autre résultat important obtenu par l'analyse qualitative des données est l'absence de la « contamination sémantique » dans les textes du corpus observé, c'est-à-dire, le pronom « nous » n'est pas massivement remplacé par le pronom « on » dans la lodyans écrite, comme c'est le cas observé dans le français moderne (Rey-Debove 2001 : 280, dans Gjesdel 2008 : 53).

Les faits cités ci-dessus corroborent les résultats obtenus par la présente analyse qualitative portant en partie sur le rôle du pronom « on » dans les structures énonciatives de la lodyans. De cette manière, la variété de ses valeurs référentielles renforce le dynamisme et la complexité des situations d'énonciation tout en permettant au lodyanseau de s'approprier de différents rôles dans la lodyans, de recréer l'effet de l'oralité et la véracité des faits racontés, de perpétuer son passé oral dans le code écrit.

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**ENUNCIATIVE STRUCTURE IN LODYANS (DIALOGISM, ENUNCIATIVE DOUBLING, THE PRONOUN “ON”)**

Haitian *lodyans*, initially belonging to popular oral literature, marked a transition to the written semiotic mode by inspiring many authors whose works – very varied in their genres, forms, motifs and tones – have retained significant elements of oral *lodyans*. Our interdisciplinary analysis aims to shed light on elements of *lodyans* from their oral past, that is to say, marks of orality, which can be found in some great Haitian authors.

The genre underwent a transition from the oral semiotic mode to the written mode, which took place at a specific moment in history – in 1906 (when Justin Lhérisson published his *lodyans* titled *Zoune chez sa Ninnaine*, in Port-au-Prince) subsequently influencing many authors (J.-S. Alexis, G. Anglade and R. Depestre, among others).

The corpus analysed for the purposes of this study consists of the works of four authors: Georges Anglade (1944–2010), *Leurs jupons dépassent*; Justin Lhérisson (1873–1907), *La famille des Pitite-Caille et Zoune chez sa ninnaine*; Jacques-Stephen Alexis (1922–1961), *Romancéro aux étoiles*; and René Depestre (1926), *Hadriana dans tous mes rêves*. We have based our analysis on the French theory of enunciation.

Qualitative analysis of the enunciative structure in the Haitian literary genre, *lodyans*, has allowed us to highlight the key elements from the oral past of this genre.

The purpose of our study was to explore several examples from the works of various Haitian authors who have been influenced by oral *lodyans* – from short stories to more complex narratives and the novel genre. All of them bear witness to certain common characteristics, of which we will mention in particular: the character of the *lodyaniseur*, whose names vary according to the author and the work (*Le Vieux Vent Caraïbe*, *Scylla Syllabaire*, *Golimin*, etc.), the situation of enunciation specific to the *lodyans* where the roles of locutor and enunciator are attributed to the *lodyaniseur*, the presence of his interlocutor and enunciator (*énonciataire*).<sup>21</sup>

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<sup>21</sup> [...] co-enunciator, decoder, hearer, second person, [...] (<https://context.reverso.net>.)

The *lodyaniseur* is the locutor and the enunciator who is accompanied by one or more interlocutors and *enunciataires* (*énonciataires*) who are impatient to hear his stories and encourage him to tell this or that story about different characters or events. M. Condé (2001: 13) evokes this oral tradition in Haiti: "Sometimes a storyteller would stand in the middle of a quickly formed circle and recount, for the happiness of all, the misfortunes of Bouki and Malice."

This situation of enunciation, which is part of the cotext of a work belonging to the *lodyans* genre, evokes the oral tale, the telling of which takes place in a public square, among friends, during a vigil where the words of the storyteller transmit the whole cultural and literary heritage of the country. The so-called *lodyans* scene is supposed to be woven into the narrative structure of a novel, a collection of tales or short stories constituting the narrative foundation.

As dialogism characterises the *lodyans*, we will analyse its enunciative structure by observing the facts of the language and analysing the narrative processes observed in the works under study.

"In Bakhtin, it constitutes a kind of philosophical thesis on the nature of language. From his perspective, even monological utterances, produced by a single speaker outside of any immediate interaction, would in fact be fundamentally dialogical"<sup>22</sup> (Maingueneau, 2009: 42). "Every enunciation, even in its fixed written form, is a response to something and is constructed as such. It is only a link in the chain of speech acts. Any inscription extends those that preceded it, engages in a polemic with them, expects active reactions of understanding, anticipates them, etc."<sup>23</sup> (Bakhtin, 1977: 106, in Maingueneau, 2009: 43).

The *lodyans* is distinguished by a complex enunciative structure, the most important features of which are dialogism, double enunciation and self-dialogism. Double enunciation includes the hierarchisation of utterances and its systematic recursion, which may present explicit markers of dependence, while in other cases it may be implicit. Several levels of enunciation are observed, introduced by the locutor and enunciators, whose stories or utterances are embedded.

Enunciative doubling includes a complex structure of utterances (the embedding utterance, the embedded utterance, attributed to the different enunciators whose markers of dependencies can be explicit, implicit or sometimes difficult to identify).

According to Bres and Verine (2002), micro-dialogue is a definition of dialogical utterance and designates "fundamental interaction with the words of others". Indeed, in double enunciation, the enunciator (E1) dialogues with the embedded enunciation (e) attributed to another enunciator. In our analysis, we have adopted the taxonomy presented by J. Bres and B. Verine (2002): E – the embedding utterance, E1 – its enunciator, E2 – its *énonciataire*; L – the locutor-speaker of the whole (embedding and embedded utterance), and L' – his

<sup>22</sup> Translated by the author of this article.

<sup>23</sup> Translated by the author of this article.

interlocutor. These are represented here in lower case: the embedded utterance – e, its enunciator – e1, its *énonciataire* – e2; in double enunciation, E1 dialogues with the e-statement of e1. The hierarchy of the utterances is represented as follows: (E(e)). In the case of recursion of enunciative doubling, successive levels are marked by  $\epsilon$  (embedded utterance) and  $\epsilon 1$  (its enunciator). We assume that its *énonciataire* would be marked by  $\epsilon 2$ .

The passage of *lodyans* into the graphic (written) semiotic mode has generated a complex narrative structure including the processes of internal and external focalisation. The syntactical structures that formally allow the linguistic realisation of these complex narrative processes are reported speech, direct speech, indirect speech, free indirect speech and discourse modelisers, such as adverbs, etc.

In *lodyans*, enunciative doubling takes place when the scriptor-locutor-enunciator (L/E1) presents himself as an actor in the story, being part of the audience of the *lodyaniseur* who, in turn, takes on the role of the locutor-enunciator (e1).

Let us observe an excerpt from the *lodyans La famille des Pitite-Caille* (J. Lhérisson 2012: 21), which testifies to the narrative complexity of the *lodyans* where the two locutors-enunciators know each other, since the locutor-enunciator, who is also the scriptor (L/E1), often attends the “audiences” of the *lodyaniseur* Golimin (the locutor-enunciator – e1). We will also analyse the explicit dependency markers:

“Golimin est un de mes vieux amis. Il sait tout. Il est l’homme le mieux documenté de la République. Il a de l’expérience. Aussi gagne-t-on beaucoup à entendre ses audiences. Souvent il me promet de me faire l’historique des fortunes de chez nous [...] Je le rencontrai l’autre soir au Champ-de-Mars. Il était de bonne humeur. Après une rapide revue de faits insignifiants et des potins de la journée, il me dit: — je viens de voir tout à l’heure le pauvre Etienne Pitite-Caille.”<sup>24</sup>

The example cited illustrates the phenomenon of enunciative doubling. We first note an embedding utterance (E) made by a locutor who is also the enunciator (L/E1), which is confirmed by the possessive determinant “mes”: *Golimin est un de mes vieux amis [...]* (*Golimin is an old friend of mine [...]*) and by the pronoun “on” (we): *Aussi gagne-t-on beaucoup à entendre ses audiences. (So we gain a lot by listening to his audiences. [...]*

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<sup>24</sup> *Golimin is an old friend of mine. He knows everything. He is the best documented man in the Republic. He has experience. So we gain a lot by listening to his audiences. Often he promised me to give me a history of the fortunes of our country [...] I met him the other evening at the Champ-de-Mars. He was in a good mood. After a rapid review of the trivial facts and gossip of the day, he said to me: “I have just seen poor Etienne Pitite-Caille.”* (Translated by the author of this article.)

He is also the scriptor who communicates with his readers by trying to convince them to listen to the *lodyans* of Golimin: *Aussi gagne-t-on beaucoup à entendre ses audiences.*

The same passage contains two examples of hierarchical enunciative doublings.

a) The first embedded utterance (e) is related to reported speech, the presence of which is explicit: *Souvent il me promet de me faire l'historique des fortunes de chez nous [...]* (*Often he promised me to give me a history of the fortunes of our country [...]*).

The embedding utterance (E): *Often he promised me [...]* is attributed to the locutor-enunciator (L/E1) who is also the scriptor, while the true enunciator of the embedded enunciation (e): *[...] de me faire l'historique des fortunes de chez nous [...]* (*[...] to give me the history of our fortunes [...]*) – representing the act of speech expressing the promise – would be a second enunciator (e1), the *lodyaniseur*. His promise could be linguistically explained in the following way: *Un de ces jours, je vais te faire l'historique des fortunes de chez nous !* (*One of these days, I will tell you the story of our fortunes!*)

b) The second example of enunciative doubling is in direct speech: *[...] je viens de voir tout à l'heure le pauvre Etienne Pitite-Cailles [...]*. (*[...] I have just seen poor Etienne Pitite-Cailles [...]*). The embedded utterance is also attributed to the second locutor-enunciator, the *lodyaniseur* (e1), and is part of the embedding utterance (E) attributed to the scriptor-locutor-enunciator L/E1: *[...] il me dit: [...]*. (*[...] he tells me: [...]*). The hierarchy of the above statements can be represented as follows: (E(e)).

In order to support our thesis on the existence of elements of orality in the *lodyans*, as well as on the complexity of its narrative structure, we will analyse examples that illustrate the processes of internal and external focalisation.

Focalisation is a narrative process in which the narrator takes the position of observer (Genette 1972: 203–210). G. Genette (1972: 183–224) explains that it is necessary to distinguish “the character whose point of view orients the narrative perspective” from the “narrator”, which corresponds to the questions: “who sees? and [...] who speaks?” (203).

We have analysed the internal focalisation observed in the collection of *lodyans* by J.-S. Alexis (*Romancéros aux étoiles*) where the *lodyaniseur* is represented by the character Le Vieux Vent Caraïbe, the enunciator (E1), who tells several *lodyans* to his *énonciataire* (E2). Dialogism and enunciative doubling are present in it. Explicit markers of enunciative dependence often do not appear in this type of work and an interpretation of the enunciative structure should consider the elements coming from the cotext and the context.

It is only sometimes through the rhythm of the independent and juxtaposed sentences suggesting haste, the significant emotional tone, that we interpret that it is indeed a question of words/utterances attributed to different enunciative instances, that is to say, to people, inhabitants of the convent, and not to the locutor-enunciator E who presents the focal point “I”.

However, sometimes the embedded utterance is introduced by the explicit markers of dependence characterising the reported speech. Some modelisers, such as the adverbial phrase “*d’ailleurs*”, belongs to the embedding utterance, clearly illustrate the line of demarcation between the two situations of enunciations. In addition, the verb tenses and the presence of the pronoun “*on*” support double enunciation.

In the reported speech system, the hierarchically embedding utterance (E) introduces a new embedded utterance (e) made by the enunciator (e1). This embedded utterance and the change of enunciative perspective can be identified thanks to the explicit syntactical dependence markers: belonging to free indirect speech; and the subject pronoun “*on*” with direct speech.

The deictic actualisation of utterances, the representation of dialogism and double enunciation in the *lodyans* are also generated by the complex and ambiguous semantics of the indefinite pronoun “*on*”, which conveys orality in the enunciative structure of the *lodyans*. The study of the frequent use of the pronoun “*on*” in the *lodyans* is based on the statistical analysis of textual data carried out using the software Hyperbase (<https://hyperbase.unice.fr>) (Špadijer 2024). Observation and quantitative and qualitative analyses of the corpus have confirmed the complexity of the narrative structure of these works, marked by the elements that mark both the oral and written registers. The imprint of orality in *lodyans* is represented by the very high frequency of the indefinite pronoun “*on*” in our corpus. In the present study we have paid particular attention to cases where the pronoun “*on*” creates the effect of dialogism referring to the third person, to an indefinite, to *à tiers*, or to another referent, creating the effect of dialogism, or the case where this subject pronoun opens a series of dialogical statements.

**Keywords:** *lodyans*, *lodyaniseur*, enunciative structure, doubling, hierarchisation, dialogism, autologism, pronoun “*on*”.



## **ANALYSE DES NEOLOGISMES AFFIXAUX PAR LE BIAIS DE SKETCH ENGINE**

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**Résumé** : Le présent article s'intéresse à l'utilisation de l'outil de pointe en matière de corpus *Sketch Engine* créé en 2004 à l'Université Masaryk de Brno, République tchèque dans le cadre d'une recherche sur les néologismes. Nous allons éclaircir les points forts et faibles de ce site web en nous servant de notre propre expérience de recherche en néologie lexicale, notamment sur le lexique de la période de la propagation du virus SARS-Cov-2 (2020 – 2022). L'échantillon de la recherche sur la crise sanitaire a été élaboré à partir du quotidien *Libération*. Pour ce faire, nous allons présenter brièvement le logiciel d'origine tchèque et par suite procéder à l'application de ses fonctions dans la recherche en question. Comme le *Sketch Engine* favorise l'analyse quantitative et le recueil des données statistiques, il est à supposer que le principal défi pour l'utilisateur consiste à traiter des données de nature qualitative, particulièrement au niveau sémantique de la langue. Même si le logiciel, grâce à la possibilité de travailler avec des corpus vastes, montre de nouvelles tendances dans la création des mots en français, le manque de lemmatisation, d'étiquetage des affixes et de références temporelles est à constater. Pour les langues à l'écriture plus développée, y compris le français, le travail des chercheurs est rendu encore plus difficile vu l'orthographe contenant des accents qui complique la recherche des entrées. Les résultats scientifiques obtenus peuvent être utiles aux lexicographes pour une recherche et un traitement plus efficaces des nouvelles unités lexicales, ainsi que pour l'amélioration des méthodologies de création de dictionnaires, et ce, également aux linguistes de corpus et autres spécialistes travaillant sur les langues et les lexiques variés.

**Mots clés** : Libération, Sketch Engine, Covid, néologismes, affixation

## 1. Introduction

Dans le domaine de la linguistique de corpus, de nombreux logiciels facilitent aujourd'hui le travail des chercheurs, leur permettant de gagner du temps pour se concentrer sur l'analyse des données et l'interprétation des résultats. L'un de ces outils est *Sketch Engine*, un logiciel de pointe, créé en 2004 et largement utilisé en lexicographie. D'origine tchèque, *Sketch Engine* est conçu pour travailler avec des corpus textuels à grande échelle et constitue une base essentielle pour les recherches en linguistique de corpus. « Sketch Engine (SkE) est un logiciel qui récupère des esquisses de mots (word sketches), les regroupe sur la base de relations grammaticales et crée des thésaurus à partir du corpus » (Sketch Engine, 2023).<sup>25</sup> En plus, dans *Sketch Engine*, la version étendue du langage formel CQL (Corpus Query Language) permettant des requêtes complexes est utilisée (Chalupníková et Volková 4).

Notre objectif primordial dans cette recherche est de mettre en relief les qualités et les défauts de l'utilisation du logiciel *Sketch Engine* dans le cadre d'une recherche sur le potentiel créatif du lexique émergeant pendant la période de la propagation du virus SARS-Cov-2 (2020 – 2022).

Les retombées pratiques de cette recherche résident dans la capacité à aider les chercheurs à déterminer si *Sketch Engine* est l'outil approprié en fonction des objectifs et de la nature de leurs recherches. Il est à supposer que le principal défi pour l'utilisateur réside dans le traitement des données qualitatives, notamment au niveau sémantique de la langue. Une question qui demeure est celle du traitement des affixes dans le cadre de cette recherche, ainsi que de leur identification et leur tri à l'aide de cet outil.

Dans cet article, nous nous appuyons donc sur notre propre recherche antérieure réalisée à l'Université Matej Bel de Banská Bystrica, dont les résultats sont présentés notamment dans *La créativité lexicale dans le temps de la pandémie du COVID* (Jesenská, Ráčková et Veselá, Berlin - Bruxelles - Chennai - Lausanne - New York - Oxford : Peter Lang, 1-284) dans le cadre du projet de recherche VEGA n. 1/0748/21 *Le potentiel lexicogénétique du discours médiatique sur la crise* dirigé par Chovancová. Nous nous y inspirons également de travail de Ráčková et Schmitt (47-60). Parmi les travaux effectués par les chercheurs de l'Université Masaryk de Brno et leurs collaborateurs (*inter alia* Kilgarriff,

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<sup>25</sup> « Sketch Engine (SkE) je software, který vyhledává slovní profily (*word sketches*), sdružuje je na základě gramatických relací a vytváří z korpusu tezaury » Accédé le [26 octobre 2023].

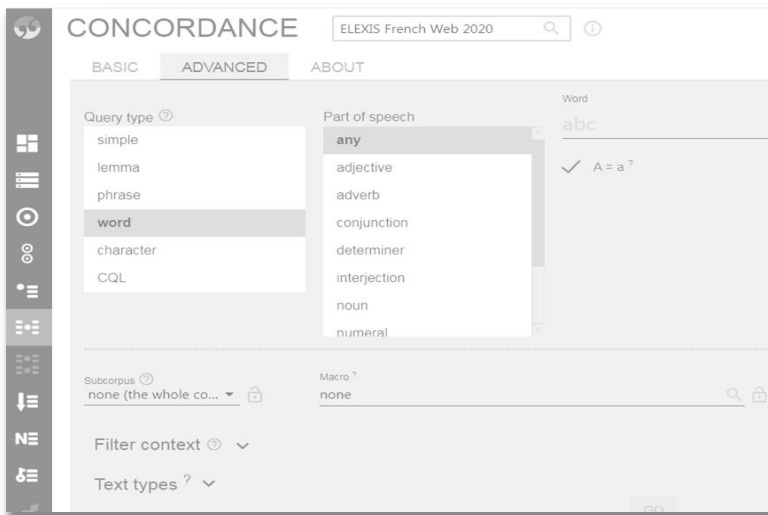
Rychly, Smrz et Tugwell 297-306; Kilgariff et al. 7-36) dont le logiciel est originaire, il y a également une étude qui s'intéresse à l'acquisition de l'anglais à l'aide de la linguistique de corpus (Kilgariff, Marcowitz, Smith et Thomas 61-80). Les chercheuses espagnoles León-Araúz et Reimerink avec le chercheur québécois San Martín (893-901) se sont penchés sur le lexique environnemental en travaillant avec un corpus enregistré dans *SkE EcoLexicon English Corpus* (EEC). En outre, le chercheur britannique Pearce (1-29) a décrit son expérience avec *British National Corpus* traité par SkE. Une large utilisation du logiciel pour des langues variées est confirmée par l'étude portant sur l'extraction des collocations grammaticales en chinois (Huang, Kilgariff et al. 48-55). Une étude intéressante sur le phénomène de la détermination a été publiée par les collègues tchèques, Honová et Holeš (65-77). À la différence de ces études précédentes qui se voient laudatives envers le logiciel de l'analyse textuelle, nous nous permettons non seulement de relever les points forts du logiciel mais aussi de critiquer les points faibles de *SkE*.

Pendant la crise sanitaire mondiale, une épidémie lexicale a éclaté simultanément (Lardellier 87). Cela se reflète dans de nombreuses études analysant le lexique lié au Covid dans une perspective interlinguistique comparative (Jacquet-Pfau et Kacprzak 1-15 ; Dincă 1-15) ou unilingue française (Maldussi 1-20 ; Grimaldi 1-13 ; Labelle et Rondeau 1-16). Pour alléger l'atmosphère pesante, certains chercheurs se sont intéressés aux expressions ludiques créées pendant cette période sans précédent (Guo-Gripay, Berbinski et Veleanu 1-18 ; Tallarico 1-22). Dans le cadre des expressions phraséologiques ou idiomatiques, on retrouve également l'étude de Rollo (1-19). En revanche, Vicari (1-17), toujours dans la même veine, se concentre sur la vulgarisation scientifique des termes médicaux.

En regroupant les sujets relatifs à la néologie lexicale et aux méthodes de linguistique de corpus, cette étude complète d'autres travaux centrés sur le lexique lié au Covid d'une part, et d'autres recherches utilisant *Sketch Engine* comme outil primordial d'autre part (en plus des recherches précédemment mentionnées, celles de San Martín, Trekker et León-Araúz 264-298). De plus, il existe quelques rares études qui associent l'étude du lexique covidien et l'utilisation parallèle de *Sketch Engine* (Rossi 77-94 ; Maurer 1-67 ; Ráčková et Schmitt (47-60)).

## 2. Brève présentation du logiciel *Sketch Engine*

Un grand atout du logiciel *Sketch Engine* élaboré à l'Université Masaryk de Brno est qu'il : « propose de nombreux corpus prêts à l'emploi, ainsi que des outils permettant aux utilisateurs de créer, de télécharger et d'installer leurs propres corpus » (Kilgariff et al. 7).<sup>26</sup> Ses fonctions principales *Sketch*<sup>27</sup>, *Thesaurus*<sup>28</sup>, *Concordance*<sup>29</sup> sont aisées à utiliser. La fonction *Concordance* est particulièrement remarquable parce qu'elle sert à voir les utilisations des lexèmes dans des contextes variés. La tâche *GDEX* (*good examples*) permet de générer des exemples-types et ressemble à des dictionnaires en papier qui nous proposent des occurrences des lemmes dans des phrases courtes. De plus, il s'agit en principe d'un logiciel étiqueté, lemmatisé où les utilisateurs peuvent faire leur recherche par rapport à plusieurs catégories, y compris les parties du discours. Ces dernières peuvent être repérées notamment à l'aide de la recherche avancée de la fonction *Concordance* où dans la catégorie du mot, il est possible de choisir parmi leurs catégories traditionnelles, cf. le graphique suivant :



Graphique 1: Concordance et recherche avancée.

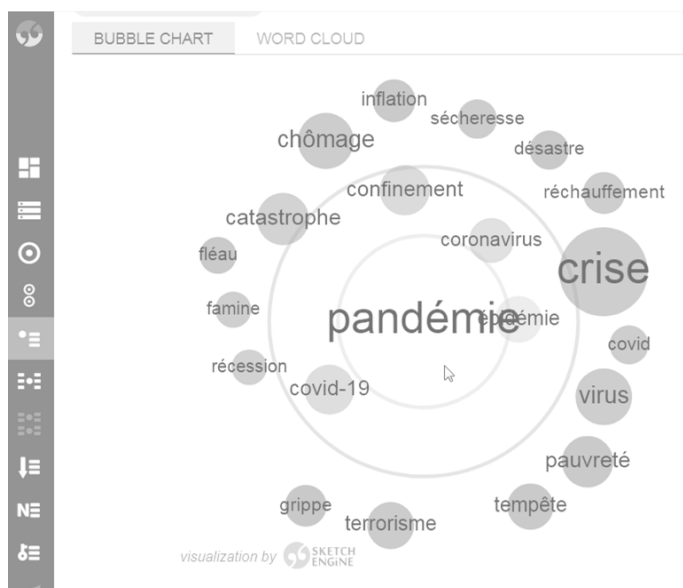
<sup>26</sup> « The Sketch Engine website offers many ready-to-use corpora, and tools for users to build, upload and install their own corpora ».

<sup>27</sup> Résumé d'une page du comportement grammatical et collocationnel d'un mot. Cette fonction a donné le nom au logiciel.

<sup>28</sup> Il s'agit ici d'un outil distributionnel qui montre les collocations.

<sup>29</sup> Un outil de base pour tous ceux qui travaillent avec le logiciel qui permet la recherche des lexèmes dans des contextes variés.

Une qualité incontestable du site web du *Sketch Engine* est la possibilité de créer automatiquement les diagrammes liés à la recherche. Ces visualisations graphiques à portée de tous sont simples à effectuer grâce à une automatisation élevée du logiciel. Grâce à la fonction *Thesaurus*, pour le mot *pandémie*, nous sommes arrivées à un double graphique :



Graphique 2 : Double graphique du lexème « pandémie ».

Il s'agit d'un graphique à bulles illustrant la fréquence des mots dans le corpus *LIBÉ*, que nous avons créé à partir des textes sélectionnés du journal *Libération*. Plus la taille de la bulle est grande, plus la fréquence de l'unité lexicale est élevée dans le corpus. Ainsi, on constate la prédominance des termes « crise » et « chômage » dans le contexte de l'unité lexicale centrale, à savoir « pandémie ».

En revanche, un inconvénient de *Sketch Engine* est qu'il n'est accessible que dans le mode en ligne. De plus : « Le Sketch n'est pas open source, car cela pourrait compromettre sa viabilité en tant qu'entreprise, une version de ce moteur, *NoSketchEngine*, est open source » (Kilgariff et al. 31).<sup>30</sup> Cela signifie que les créateurs du logiciel proposent une version gratuite d'une durée d'un mois. Bien qu'elle puisse sembler insuffisante, elle peut néanmoins répondre à certains

<sup>30</sup> « While the Sketch Engine is not open source, as this could undermine its viability as a business, a version of it, *NoSketchEngine*, is open source ».

besoins des linguistes, notamment des étudiants ou des doctorants débutants.

### 3. Recherche en néologie lexicale. Traitement statistique

Avant toute chose, il convient de distinguer les néologismes de forme des néologismes de sens, ainsi que les figures de rhétorique et les néologismes d'emprunt. Souvent, il ne s'agit pas de créer de nouvelles formes de lexèmes, mais d'actualiser le sens des unités lexicales déjà existantes. Dans ce cas, on parle de néologismes de sens ou de néologie sémantique (Cartier, Sablayrolles et al. 1-20). La création des néologismes et leur intégration dans le lexique se réalisent de manière diverse. C'est pourquoi, il s'avère essentiel de prendre en compte le statut de la nouveauté et le statut de leur usage. Dans la présente étude, nous nous intéressons particulièrement aux nouvelles unités émergentes, créées par dérivation affixale.

La dérivation par affixe, également appelée affixation, consiste à ajouter un préfixe ou un suffixe à la base d'un mot. À la préfixation et à la suffixation s'ajoute la parasynthèse, qui consiste en l'ajout simultané d'un préfixe devant la base et d'un suffixe après celle-ci. La dérivation parasynthétique est donc une combinaison de la préfixation et de la suffixation. Nore (2022)<sup>31</sup> en donne un exemple avec le verbe *dératiser*. Selon Corbin (177 dans Cartier, Sablayrolles et al. 19), ce type de dérivation résulte d'une double affixation non simultanée.

Lorsqu'on aborde les processus de formation des mots, notamment l'affixation, il est important de noter qu'une grande partie des unités lexicales en français ne se sont pas formées directement au sein du français, mais ont été empruntées au latin, où elles ont été créées par des procédés dérivationnels. C'est, entre autres, le cas du verbe *revenir* (Petraş 72). De ce fait, la consultation du dictionnaire étymologique est essentielle.

Dans les lignes qui suivent, nous allons montrer comment le logiciel de *SketchEngine* nous a servi dans la recherche en néologie lexicale. En fait, il constituait une base pour atteindre notre objectif, à savoir l'identification et l'analyse du potentiel créatif des affixes, préfixes et suffixes, dans le discours médiatique sur la crise sanitaire.

Le traitement statistique de notre échantillon de recherche, à savoir le corpus LIBÉ contenant dans un seul document 1 922 910 tokens, 1 630 574 mots et 61 846 phrases, s'est déroulé en plusieurs étapes : 1. l'enregistrement des textes sélectionnés dans le logiciel, 2. l'établissement de la liste des 10 mots-clés (cf. Tableau 1) précédé par

<sup>31</sup> [consulté le 26 août 2023].

la création automatique des 20 mots-clés (cf. Graphique 3), 3. la création des listes des unités lexicales affixées grâce aux étoiles de Kleene, 4. la distinction des affixes des unités libres, 5. la classification des néologismes à l'aide du nombre absolu des unités procuré par SkE.

Nous avons travaillé avec une sélection de textes marqués le plus par la crise sanitaire, donc tirés du quotidien pour la période des années 2020 – 2022. De nouveaux lexèmes ou les lexèmes aux sens actualisés dans cette période-là ont été examinés dans leur ensemble, mais également dans leurs trois vagues pandémiques couvrant les étapes suivantes : 1) mars – mai 2020 ; 2) novembre 2020 – janvier 2021 ; 3) novembre 2021 – février 2022.

Pour se lancer dans le vif du sujet, la création de notre corpus de recherche a été la première tâche à effectuer. Pour ce faire, le SkE nous a aidées grâce à sa simplicité d'enregistrement des textes des chercheurs, dans ce cas issus du quotidien *Libération* de la période respective. Les textes sélectionnés, réunis dans un seul document *Word* par notre étudiante Viktória Velytová, scientifique adjointe, ont été archivés par nous-même en utilisant *WebBootCaT*. Le problème de ce type d'enregistrement est le manque de regroupement des unités lexicales selon certains critères, c'est-à-dire en lemmatisation. Comme un codage de différenciation n'était pas appliqué, il nous fallait enregistrer plus de textes, donc le grand corpus *LIBÉ*, et après classer les textes dans des sous-corpus contenant les trois vagues pandémiques. Ce souci était également signalé par notre collègue, Petra Jesenská, travaillant sur l'anglais, forcée à s'abonner à plus d'espace de logiciel.<sup>32</sup>

La création de la liste des mots-clés à l'aide de la fonction *Wordlist* nous a servi en tant que point de départ pour une recherche plus approfondie. À première vue, la présence du phénomène de la vulgarisation scientifique était à noter. Nous avons retenu les termes de médecine : *hydroxychloroquine*, *vaccinal*, *non-vaccinés*, *réanimation* et de virologie : *coronavirus*, *covid-19*, *épidémie*, *épidémique*, *pandémie*, *variant*, *omicron* et *SARS-Cov-2*. Il fallait cependant se rendre compte que, dans la liste des mots-clés, un tri des néologismes et des unités lexicales déjà établies en l'usage français se montrait nécessaire. Dans cette optique, nous nous sommes appuyées notamment sur les critères étymologiques et celui de la nouveauté du néologisme potentiel en consultant les dictionnaires électroniques *Trésor de la langue française*

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<sup>32</sup> Par ailleurs, la recherche sur l'anglais comme langue d'investigation linguistique est plus simple du point de vue de l'absence des accents. Pour en savoir plus sur le lexique covidien en anglais traité par *Sketch Engine*, voir l'article de Jesenská (18-23).

informatisé et *Dictionnaire de l'Académie française*. Par conséquent, les mots-clés *CheckNews*, *Francedossier*, *Libération*, *Raoult*, *Véran*, le lexème remontant du XXe siècle *réanimation* et l'abréviation du nom du médicament *hydroxychloroquine* ne faisaient pas partie des unités néologiques.

reference corpus: French Web 2020 (frTenTen20) (items)

Lemma	Lemma
1 omicron ...	11 raoult ...
2 checknews ...	12 hydroxychloroquine ...
3 francedossier ...	13 déconfinement ...
4 variant ...	14 réanimation ...
5 véran ...	15 pandémie ...
6 covid-19 ...	16 liberation ...
7 vaccinal ...	17 épidémique ...
8 coronavirus ...	18 sars-cov-2 ...
9 covid ...	19 épidémie ...
10 non-vaccinés ...	20 confinement ...

Graphique 3: 20 mots-clés du corpus *LIBÉ*.

À partir de cette liste des mots-clés du corpus *LIBÉ* (cf. Graphique 3), nous avons ensuite élaboré notre propre sélection des 10 lexèmes-clés (cf. Tableau 1). Celle-ci inclut, entre autres, des lexèmes tels que *crise*, *épidémie* et *vaccin*, qui sont des unités néologiques lorsque leur utilisation se rapporte à la crise du coronavirus, à l'épidémie de SARS-CoV-2 et aux vaccins spécifiques utilisés contre la COVID-19, tels que *AstraZeneca* ou *Pfizer*. Cette nouvelle liste est également munie du nombre de fréquence pendant les trois vagues pandémiques qui est à observer dans le tableau suivant:

Lexème-clé	1ère vague	2e vague	3e vague
confinement	1683	215	82
coronavirus <sup>33</sup>	1774	231	139
Covid-19	2259	321	1061
crise	1791	204	194
distanciation	141	7	7
épidémie	1408	198	225
pass sanitaire	0	0	190
télétravail	119	11	72
variant	2	175	657
vaccin	176	518	629

Tableau 1 : 10 Lexèmes-clés pendant les trois vagues pandémiques.

Grâce à la fonction de *SkE* affichant le nombre absolu des occurrences pour chaque unité lexicale, nous avons pu établir des listes de la fréquence des *candidats néologismes*<sup>34</sup>. Ce classement par importance a construit un terrain propice à l'identification des tendances actuelles du français. Néanmoins, en ce qui concerne la reconnaissance des affixes, préfixes et suffixes, leur distinction des unités libres reste incontournable. Par exemple, une grande partie des unités lexicales en français ne se sont pas formées au sein du français, mais ont été directement reprises du latin où elles se sont formées par les procédés de dérivation. Dans le corpus *LIBÉ*, nous avons relevé les unités lexicales préfixales à la fréquence élevée. Nous les présentons dans le Tableau 2 qui confirme la productivité du préfixe *anti-*. À part *anticorps*, ce préfixe a donné naissance à de nouvelles unités lexicales telles que *Anticovid*, *anticoronavirus*, *anti-coronabonds*, *anti-confinement*. Le préfixe *sur-* fait preuve d'une productivité réalisée importante en exprimant l'idée de supériorité comme dans les unités lexicales « surmortalité » ou « survie » :

<sup>33</sup> Le nombre total des unités lexicales *coronavirus* et *Covid-19* n'égalent pas le nombre du corpus *LIBÉ* car le logiciel du *Sketch Engine* n'arrive pas à distinguer différentes formes orthographiques. Dans les 8 unités lexicales restantes, le nombre total des unités des trois vagues égale au nombre total du corpus *LIBÉ*.

<sup>34</sup> terme de Cartier, Sablayrolles et al. 9

Préfixe	Unité lexicale	Nombre d'occurrences absolu
anti-	anticorps	178
in-	incertitude	109
sur-	surmortalité	64
	survie	70

Tableau 2 : Unités lexicales à emploi fréquent et très fréquent formées par la préfixation.

Quant à la suffixation, il est à constater que les suffixes font preuve d'une grande variabilité. La productivité réalisée se manifeste notamment dans les suffixes 1. *-isme, -iste, -ment* et 2. *-age, -(at)ique*. La première triade des suffixes montre un phénomène intéressant, il s'agit des substantifs nouvellement créés à partir des verbes, donc des déverbatifs, à savoir *alarmisme, antivaxinisme, multilatéralisme / complotiste, conspirationniste, covidiste / confinement, déconfinement, isolement*<sup>35</sup>. Il semble qu'un autre suffixe productif en formation des substantifs, se montre le suffixe *-age* : *décalage, séquençage*. Et enfin, un suffixe prolifique pour la création des adjectifs est *-(at)ique*: *épidémique, symptomatique*.

Suffixe	Unité lexicale	Nombre d'occurrences absolu
-age	décalage	53
	séquençage	39
-(at)ique	épidémique	265
	symptomatique	55
-isme	alarmisme	4
	antivaxinisme	1
	multilatéralisme	12
-iste	complotiste	12
	conspirationniste	5
	covidiste	1

<sup>35</sup> Le lexème *isolement*, tout comme les lexèmes *crise*, *pandémie* et *vaccin*, est un néologisme de sens et non un néologisme de forme. Cela signifie que l'unité lexicale *isolement* a simplement élargi son sens pour être utilisée dans le contexte de la crise du Covid.

-ment	confinement	1981
	déconfinement	480
	isolement	208

Tableau 3 : Les néologismes créés par la suffixation.

C'était grâce aux quantificateurs, astérisques, appelés aussi « étoiles de Kleene » (Chalupníková et Volková 7), que nous avons pu rechercher des unités lexicales qui commencent par un préfixe, par exemple \*dé\* ou qui finissent par un suffixe, par exemple \*age\*. Malgré cette fonction-là et son apparente simplicité, nous sommes arrivées à une liste exhaustive des données où tout d'abord, il fallait distinguer les affixes d'éléments initiaux des mots où le sens compositionnel (cf. Jalenques 39 ; Petraş 62-75), important pour l'identification du préfixe, n'était pas perçu. Et dans une deuxième étape, il était indispensable d'effectuer un tri manuel minutieux des nouveaux lexèmes des mots courants, voire des mots fréquemment employés dans le discours médiatique sur la crise sanitaire, en français, la langue de cette investigation linguistique.

Un autre problème émergeant pour nous, chercheuses intéressées par le français, était la question des accents. À la différence de *Google Search*, le site web de *Sketch Engine* ne trouve que des unités lexicales tapées avec des accents bien placés dans la fonction *Concordance*. Cela peut être un inconvénient également pour les chercheurs désirant distinguer différentes formes orthographiques. Quant à nous, nous avons voulu savoir combien d'occurrences pour les variations Covid-19<sup>36</sup> covid-19 et COVID-19 se manifestaient dans le corpus. La seule solution à ce problème-là se révélait être un tri manuel minutieux.

#### 4. Discussion des résultats

Après une brève présentation du logiciel *Sketch Engine* et de notre expérience de chercheuses, il reste pourtant quelques points à discuter. L'espace du logiciel est en théorie facile à utiliser. Néanmoins, pour les personnes avec des aptitudes techniques insuffisantes, son utilisation peut certainement poser des problèmes. Il est aussi préférable que les utilisateurs maîtrisent l'anglais, surtout pour la communication avec l'équipe gérant le logiciel en cas de problèmes, mais aussi pour son utilisation étant donné qu'il est la première langue de l'interface.

<sup>36</sup> Forme prédominante finalement.

L'une des fonctions du logiciel qui à notre avis laisse à désirer est la fonction *Keywords* permettant de générer les mots-clés. Dans notre corpus constitué des textes du quotidien *Libération*, et par suite dénommé *LIBÉ*, la liste des 20 mots-clés créée automatiquement par le logiciel était étrange. Comme nous avons pu l'observer au-dessus, elle comportait des dénominations étonnantes comme *Checknews*<sup>37</sup> ou *Francedossier*<sup>38</sup> à quoi s'ajoutaient des noms de famille comme *Raoult*, *Véran* et le nom du quotidien *Libération*. Nous pouvons affirmer que, bien que ces lexèmes soient indéniablement fréquemment utilisés dans le texte, ils ne constituent en aucun cas les mots-clés du corpus en question. Nous avons, par conséquent, dû fabriquer notre propre liste des mots-clés, plus adaptée à notre recherche et à ses objectifs.

Force est de constater que le logiciel *Sketch Engine* présente un caractère ambivalent. D'une part, il est extrêmement utile pour les linguistes de corpus, permettant de repérer les unités lexicales et d'étudier leurs caractéristiques formelles. D'autre part, il est difficile d'identifier les qualités sémantiques en raison de l'absence d'étiquetage des séquences de mots, telles que les affixes. En conséquence, il est impossible de mener une analyse sémantique sans un tri manuel considérable des unités lexicales et sans consulter leurs occurrences spécifiques dans les dictionnaires et dans leur contexte. Dans le domaine de la recherche en sémantique lexicale, il est donc essentiel de toujours remettre en question les résultats obtenus avec *SkE*. Cependant, ce défaut est partiellement compensé par la possibilité d'effectuer une analyse contextuelle approfondie, notamment grâce à la fonction *Concordance*.

## 5. Conclusion

Le logiciel de *Sketch Engine* se révèle être un outil très avantageux pour donner aux chercheurs une première image générale de leur corpus et pour travailler avec ce corpus-là. Il s'avère cependant insuffisant pour une recherche plus approfondie. Son défaut le plus important reste, à notre avis, le manque de lemmatisation. L'étiquetage des affixes est problématique et apparemment, il y a un long chemin à faire, même dans les outils automatisés.

Par conséquent, même si notre corpus contenait des dates précises, pendant son enregistrement dans le logiciel, il n'était pas possible de les introduire dans le corpus et de savoir après pendant

<sup>37</sup> Un nouveau type de moteur de recherche géré par des journalistes lancé par le quotidien *Libération* pour mieux comprendre l'actualité.

<sup>38</sup> La rubrique de *Libération* consacrée à l'actualité en France.

quelle vague pandémique ces néologismes-là ont apparus. Pour cela, il fallait faire des sous-corpus pour la première, deuxième et troisième vague pandémique. Par contre, certains corpus de *SkE* contiennent une annotation temporelle, à savoir *French Web 2020 (frTenTen20)* qui montre la date d'accès sur la page web ainsi que le site web où les énoncés ont été repérés, par exemple *EUR-Lex 2/2016 parallel – French* contient une référence temporelle minimale, année du document.

Ce qui nous a toutefois agréablement surprises, c'est la richesse des corpus disponibles, non seulement en français, mais également dans des langues moins diffusées, notamment le slovaque. Parmi ceux-ci figurent *Araneum Slovaca*, *DGT – Translation Memory Parallel – Slovak* et *ELEXIS Slovak Web 2021*. C'est précisément sur cette langue que portera notre future recherche, centrée sur la suffixation dans une perspective comparative franco-slovaque.

Nous espérons que les développeurs de Sketch Engine prendront conscience des limites du logiciel et l'actualiseront en fonction des besoins de ses utilisateurs. En effet, ces derniers ne se contentent pas seulement d'observer les lexèmes dans des contextes variés, mais souhaitent également avoir accès à des dates précises, des entrées lemmatisées, ainsi qu'à des données permettant de saisir les entrées sans accent, notamment pour les langues ayant des systèmes orthographiques plus complexes.

Quant au lexique du Covid, il représente encore un vaste champ à explorer, particulièrement en ce qui concerne la disparition et la préservation des néologismes liés à la crise sanitaire récente.

## 6. Remerciements

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### ANALYSIS OF AFFIXAL NEOLOGISMS USING SKETCH ENGINE

This paper focuses on the use of the state-of-the-art corpus tool, *Sketch Engine (SkE)*, which was created in 2004 at Masaryk University in Brno, Czech Republic, as part of research into lexical semantics. We will discuss the strengths and weaknesses of this tool based on our own experiences as researchers in lexical neology, particularly in studying the lexicon from the period of the SARS-CoV-2 virus spread (2020–2022) with affixation as the focus of research interest. The daily newspaper *Libération* was the primary and sole source for constructing our research sample related to the health crisis, referred to as *LIBÉ*.

Regarding the structure of the article, we will briefly introduce the Czech-origin software and then proceed by applying its functions to our research. As *Sketch Engine* favours quantitative analysis and the collection of statistical data, it can be assumed that the main challenges for users involve processing qualitative data, particularly at the semantic level of language. The scientific results obtained may be useful not only for lexicographers but also for corpus linguists and others working on various languages and lexicons.

Thus, *Sketch Engine*, as a text analysis software, has been in use for just over 20 years. Its primary role is to facilitate the work of researchers, helping them save time in order to focus on analysing data and interpreting results. It is therefore widely used in lexicography and serves as a basis for working with large-scale text corpora. The software retrieves word sketches, groups them based on grammatical relationships, and creates thesauri from the corpus. Additionally, *Sketch Engine* employs an extended version of the formal language CQL (*Corpus Query Language*), allowing for complex queries (Chalupníková and Volková 4).

Our overarching goal in this research is to highlight the qualities and shortcomings of *Sketch Engine* in researching the creative potential of the lexicon emerging during the SARS-CoV-2 virus spread (2020–2022). A practical outcome of this study is to assist researchers in deciding whether or not to use *Sketch Engine* based on the objectives and nature of their research. We assume that the main challenges for users will be processing qualitative data, particularly at the semantic level of language. It remains to be seen how to deal with the affixes in this research and how to identify and sort them using this tool.

In this paper, we draw on our previous research conducted at Matej Bel University in Banská Bystrica, the results of which are presented in, among others, *La créativité lexicale dans le temps de la pandémie du COVID* (Jesenská, Ráčková and Veselá, Berlin - Bruxelles - Chennai - Lausanne - New York - Oxford: Peter Lang, 2025) published as part of the VEGA No. 1/0748/21 research project

*The Lexicogenetic Potential of Media Discourse on the Crisis* directed by Chovancová. Among the work carried out by researchers at Masaryk University in Brno and their collaborators (Kilgarriff, Rychly, Smrz and Tugwell 297–306; Kilgarriff et al. 7–36), from which the software originates, there is also a study on the acquisition of English using corpus linguistics (Kilgarriff, Marcowitz, Smith and Thomas 61–80). Spanish researchers León-Araúz and Reimerink, along with Quebec researcher San Martín (893–901), focused on the environmental lexicon using a corpus recorded in the *Sketch Engine EcoLexicon English Corpus (EEC)*. British researcher Pearce (1–29) described his experience with the *British National Corpus* processed by *Sketch Engine*. The wide usage of the software across various languages is further confirmed by studies on extracting grammatical collocations in Chinese (Huang, Kilgarriff et al. 48–55). An interesting study on the phenomenon of terminologisation was published by Czech colleagues Honová and Holeš (65–77).

During the global health crisis, a lexical epidemic broke out simultaneously (Lardellier 87). This is reflected in numerous studies analysing the COVID-related lexicon from a comparative cross-linguistic (Jacquet-Pfau and Kacprzak 1–15; Dinčá 1–15) or unilingual French (Maldussi 1–20; Grimaldi 1–13; Labelle et Rondeau 1–16) perspective. To lighten the heavy atmosphere, some researchers focused on the playful expressions created during this unprecedented period (Guo-Gripay, Berbinski and Veleanu 1–18; Tallarico 1–22). Rollo's study (1–19) also deals with phraseological or idiomatic expressions. On the other hand, Vicari (1–17), again in the same vein, concentrates on the scientific popularisation of medical terms.

By grouping together topics relating to lexical neology and corpus linguistic methods, this study complements other works focusing on the COVID-related lexicon on the one hand, and other research using *Sketch Engine* as a primary tool on the other (in addition to the previously mentioned research by San Martín, Trekker and León-Araúz 264–298). In addition, there are a few studies that combine the study of the COVID-related lexicon with the parallel use of *Sketch Engine* (Rossi 77–94; Maurer 1–67; Ráčková and Schmitt 2023).

A key advantage of the *Sketch Engine* website is its ability to automatically create search-related diagrams. These graphical visualisations are easily accessible to all users, thanks to the software's high level of automation. A significant strength of the software is that "[t]he Sketch Engine website offers many ready-to-use corpora, and tools for users to build, upload, and install their own corpora" (Kilgarriff et al. 7). Its main functions – *Sketch* (a one-page summary of a word's grammatical and collocational behaviour), *Thesaurus* (a distributional tool that shows collocations) and *Concordance* (a basic tool for anyone working with the software, which enables lexemes to be searched in a variety of contexts) – are easy to use. The *Concordance* function is particularly noteworthy as it shows how lexemes are used in various contexts. The *GDEX (Good Dictionary Examples)* task can generate typical examples, similar to how paper dictionaries display lemma occurrences in short sentences. Furthermore, the program is labelled and lemmatised, allowing users to search across several categories, including parts of speech. These can be located using the advanced

search in the *Concordance* function, where users can select their traditional category in the word category. The software's ability to automatically create diagrams linked to searches, particularly through the *Thesaurus* function, further enhances its usability.

Unlike previous studies, which are generally laudatory (e.g. Pearce 1–29, León-Araúz, Reimerink and San Martín 893–901) regarding the text analysis software, we take the liberty of criticising the weak points of *Sketch Engine* and highlighting the difficulties we encountered in our work as researchers in lexicology, specifically in lexical semantics.

Even though the software is labelled and lemmatised, users can search across several categories, including parts of speech. These can be located using the advanced search in the *Concordance* function. However, when searching for affixes, prefixes and suffixes, the lemmatisation leaves something to be desired. It is impossible to formally distinguish between simple parts of words, their initial parts or endings.

The creation of the keyword list with the help of the *Wordlist* function served as a starting point for further research. At first glance, the presence of the phenomenon of scientific popularisation was noticeable. We selected medical terms: *hydroxychloroquine*, *vaccinal*, *non-vaccinés*, *réanimation* and virology terms: *coronavirus*, *covid-19*, *épidémie*, *épidémique*, *pandémie*, *variant*, *omicron* and *SARS-Cov-2*. However, it had to be realised that, in the list of keywords, a sorting out of neologisms and lexical units already established in French language was necessary. The keywords *CheckNews*, *Francedossier*, *Libération*, *Raoult*, *Véran*, the twentieth-century lexeme *réanimation* and the abbreviation of the drug name *hydroxychloroquine* were not among the neologistic units. From this list, we then had to create our own list of key lexemes, with their frequency during the three pandemic waves, consisting of the following lexemes: *confinement*, *coronavirus*, *Covid-19*, *crise*, *distanciation*, *épidémie*, *pass sanitaire*, *télétravail*, *variant* and *vaccin* whose distribution changed with each of the three pandemic waves.

*Sketch Engine* provided a basis for achieving our objective – identifying and analysing the creative potential of affixes, prefixes and suffixes in the media discourse on the health crisis. The statistical processing of our research sample took place in several stages: 1) registration of our texts in the software; 2) creation of a list of keywords; 3) creation of lists of affixed lexical units using Kleene stars; 4) distinction of affixes from free units; and 5) classification of neologisms using the absolute number of units provided by *Sketch Engine*.

The software facilitated our work, thanks to its simplicity in recording the researchers' own texts, in our case, the daily newspaper *Libération* from the respective period. The selective texts, collected into a single Word document by our student assistant scientist Viktória Velytová, were archived by us using *WebBootCaT*. However, the lack of grouping of lexical units according to certain criteria, such as lemmatisation, posed a problem. Since differentiation coding was not applied, we had to record more texts, resulting in a large *LIBÉ* corpus, which we then classified into sub-corpora corresponding to the three pandemic waves.

Nevertheless, when it came to recognising affixes, prefixes and suffixes, distinguishing them from free units was unavoidable. It was thanks to quantifiers – asterisks, also known as Kleene stars (Chalupníková and Volková 7) – that we could search for lexical units starting with a prefix (e.g. \*dé\*) or ending with a suffix (e.g. \*age\*). Despite this function's apparent simplicity, we ended up with an exhaustive list of data where we first had to distinguish initial element affixes from words where the compositional meaning (cf. Jalenques 39; Petraş 62–75), important for identifying the prefix, was not perceived. Despite the difficulties encountered, we arrived at several interesting conclusions. For example, the productive suffix in noun formation is shown to be the suffix *-age* (e.g. *décalage*, *séquençage*), and the productive suffix for creating adjectives is *-(at)ique* (e.g. *épidémique*, *symptomatique*). It must be noted that while *Sketch Engine* is very useful for corpus linguists to find lexical units and study their formal qualities, it is less effective for semantic analysis, given the lack of labelling of word sequences such as affixes. As a result, semantic analysis requires a significant amount of manual sorting of lexical units.

Additionally, using *Sketch Engine* for an extended period requires a subscription. "While *Sketch Engine* is not open-source, as this could undermine its viability as a business, a version of it, *NoSketchEngine*, is open-source" (Kilgarriff et al., 2014, 31). This means that the software's creators offer a free version for one month, which, although potentially insufficient, may suffice for certain needs, particularly for beginners, students or PhD students. A free subscription is also available through the software's university of origin, Masaryk University in Brno, or with an e-mail belonging to that domain.

The *Sketch Engine* software proves to be a very advantageous tool for giving researchers an initial general picture of their corpus and for working with it. However, it is insufficient for more in-depth research. Even if the software, thanks to the possibility of working with vast corpora, shows new trends in the creation of words in French, the lack of lemmatisation, affix labelling and temporal references is to be noted. For languages with more developed writing, including French, the work of the researchers is made even more difficult by the fact that the spelling contains accents, which complicates the search for entries.

On the other hand, it should be noted that parallel corpora in multiple languages are now available in *Sketch Engine*, giving researchers the option to choose them for comparative research if desired.

What's more, even though our corpora contained precise dates, during its recording in the software it was not possible to introduce them into the main corpus *LIBÉ* and find out afterward during which pandemic wave these texts, and consequently these neologisms, appeared. To do this, it was necessary to create sub-corpora for the first, second and third pandemic waves. However, certain *Sketch Engine* corpora contain a temporal annotation, namely *French Web 2020 (frTenTen20)*, which shows the date of access to the webpage as well as the website where the statements were found. For example, *EUR-Lex 2/2016*

*parallel - French* contains a minimal temporal reference, the year of the document.

In addition, what pleasantly surprised us was the vast number of corpora, not only those in French, but also those for less widely spoken languages, including Slovak, which will be the focus of our future research into suffixation from a comparative French–Slovak perspective. We hope that the developers of *Sketch Engine* will realise the limitations of the software and update it according to the needs of its users. Indeed, users are not content simply to observe lexemes in a variety of contexts, but also want access to precise dates, lemmatised entries and data enabling entries to be entered without accents, particularly for languages with more complex orthographical systems.

As for the COVID lexicon, it still represents a vast field to be explored, particularly as regards the disappearance and preservation of neologisms linked to the recent health crisis.

**Keywords:** *Libération*, *Sketch Engine*, COVID, neologisms, affixation

**TRANSLATION QUALITY EVALUATION OF CROATIAN-TO-ENGLISH MACHINE-TRANSLATED ADMINISTRATIVE TEXTS**

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**Abstract:** A once heavily flawed method of translation, machine translation (MT) has improved and continues to improve every day. One of the major issues during its development was its quality and how to measure and assess it objectively. This paper presents an attempt to apply a triangulation of translation quality assessment (TQA) methods: automatic and human assessment, corpus-based analysis and error analysis, on the translation of a sample of administrative texts from Croatian into English, to provide a comprehensive view of the said translation, compare the results of different methods and identify areas of greatest discrepancy in machine-generated translation. The texts were translated using Google Translate (GT), which relies on the currently dominant neural model that significantly reduces translation errors when compared to the phrase-based model, and it is expected to deal with issues such as congruence (i.e. agreement) and inflection better than other systems. This is of special importance for morphologically rich languages such as Croatian. Even though literature on MT and the evaluation of MT is abundant, this paper aims to contribute to research of an under-resourced Slavic language, Croatian.

**Keywords:** machine translation, translation quality assessment, administrative texts, Croatian, English

## 1. Introduction

The debate about the efficiency of machine translation (MT) vs human translation (HT) is ongoing, particularly in light of recent developments in artificial intelligence and the rise of ChatGPT. Although it is generally accepted that human translation still outperforms machine-generated translation, due to many advantages such as speed, flexibility, cost-efficiency, etc., online translation tools have become increasingly popular in recent years, also for less common languages such as Croatian, and especially in cases where high-quality translations are not required, but rather the quintessence of a paragraph, a website, a conference or product information (cf. Seljan et al. 331).

The current state of machine translation is such that most machine-translated texts require extensive post-editing by a human editor, as the translated texts are often riddled with errors that make the texts confusing and often even comical. In addition, MT programmes do not perform many translation operations applied by human translators, such as sentence separation, function and/or category shifts, explicitation, modulation and paraphrasing. The length, information flow and structure of machine-translated texts are more similar to the source text than to a text translated by a human (Ahrenberg 26). The result is a text that feels strange and robotic, that cannot be accepted as it is, and that needs to be revised by a human.

MT can, among other things, be used to gain insight into existing problems in the translation and improvement of MT software. Therefore, evaluating MT is important for researchers, product developers and users alike (cf. Hovy et al. 1). A number of researchers (e.g. González and Giménez 77; Graham et al. 1183; Bentivogli et al. 62) have highlighted the crucial importance of evaluating MT, as it is not only used to compare different systems, but also to identify a system's weaknesses and improve it (González and Giménez 77). The quality of the output of MT has recently been assessed in the context of fitness-for-purpose models (cf. Way 16; Jiménez-Crespo 73), which require that the translation is appropriate for the purpose or audience for which it is intended. The literature on MT and the evaluation of MT is vast. However, research focusing on morphologically rich languages such as Croatian is scarce (cf. Tadić; Simeon; Seljan et al.; Pavlović; Ljubas; Klubička et al). The research has shown that rich morphology and relatively free word order cause particular difficulties for MT.

This study is an attempt to evaluate the quality of machine-translated administrative texts for the Croatian-English language pair and to identify the areas of greatest weaknesses of the MT tool. The findings can be used for further improvement of MT systems for

Croatian-to-English translation and might benefit MT developers in improving MT fluency and adequacy.

## **2. An overview of contemporary MT models**

The shift from rule-based to Statistical Machine Translation (SMT) has been significant in the development of MT. SMT methods are usually phrase-based and have been used extensively since 2002 (Wu et al. 2). In 2007, Google Online Translator was made available, which relied more on the statistical and less on the rule-based approach. SMT searches for existing translations and calculates, among other things, the probability that a word is translated with another word (cf. Ahrenberg and Merkel 42). In recent years, however, a new type of MT has been developed: Neural Machine Translation (NMT) (cf. Kalchbrenner and Blunsom 1701; Cho et al. 1724; Sutskever et al. 3104; Bahdanau et al. 1; Srivastava et al.; Goldberg). In SMT, the translation model and the language model are trained separately and combined during decoding (Koehn), while NMT learns a single large neural network that inputs a sentence and outputs a translation (Yuan and Briscoe 380). According to Wu et al. (1), NMT “has the potential to overcome many of the weaknesses of conventional phrase-based translation systems” and was expected to handle problems such as congruence and inflexion better than other systems (Castilho et al. 110-11), which is important for morphologically rich languages such as Croatian. According to Wu et al. (19), Google Neural Machine Translation (GNMT) “reduces translation errors by an average of 60% compared to Google’s initial phrase-based production system”.

In a study involving the English-Croatian language pair, Klubička et al. (121) found that “the best-performing system (neural) reduces the errors produced by the worst system (pure phrase-based) by more than half (54%)”. However, NMT systems sometimes do not translate all parts of the input sentence (Wu et. al. 2) and the output data is considered less accurate than that obtained by SMT. Toral and Sánchez-Cartagena (1069) found that NMT shows a significant drop in translation quality for sentences longer than 40 words. In a study on Croatian and Swedish translations, Ljubas (88-89) found that the output data for GNMT is less accurate than the one based on a statistical model, and that NMT for the Croatian-Swedish language pair has more untranslated words than the previous version of GT for the same language pair, but performs better on morphology. Similarly, Vieira (325) reports that research has shown that phrase-based statistical machine translation performs better when it comes to conveying meaning, but NMT performs better when it comes to fluency.

Moreover, training an NMT system on a large translation dataset requires a lot of time and computational resources. Due to the large number of parameters used in NMT systems, they are generally much slower than phrase-based systems. Another important element is the amount of input data and the accuracy of the data used for training, which is even more difficult for under-resourced languages like Croatian. It is also worth mentioning that most MT systems are developed for large languages such as English, German, Chinese, etc., while research for smaller languages such as Croatian is always somewhat sparse.

### **3. An overview of MT evaluation methods**

When using MT, expectations must be realistic to avoid misunderstandings (Kit and Wong, 302). Closely related to expectations of the MT is its evaluation. However, there is no general agreement on the assessment of translation quality, as there are no standardised criteria for assessment and the process itself is a complex one involving both linguistic and extra-linguistic aspects.

In recent years, numerous evaluation techniques have been developed and used for all types of MT systems. Although assessment techniques have been classified as either automated or human (manual) metrics, in practice, they are not so easy to distinguish. Automated assessment uses either human translations or human annotations, and what is done automatically is a calculation; on the other hand, human assessment implies human intervention during the evaluation phase, but also includes the use of computerised tools and automated processes. In between these two categories are the so-called semi-automated metrics.

As human translation evaluation is costly, subjective and slow, various automatic scores have been developed (Dorr et al. 805). Automatic evaluation measures system performance and identifies weaknesses (cf. Agarwal & Lavie 115-16; Giménez and Márquez 77, Denkowski & Lavie 6-7) using various language-independent algorithms. Automatic metrics generally compare the output of MT with a reference translation produced by a human translator. The best-known systems are BLEU (cf. Papineni et al.) and NIST (cf. Doddington). One of the oldest scores, Word Error Rate (WER), which is based on Levenshtein distance, operates at the word level and observes word sequences, the number of substitutions, deletions, insertions and correct words (cf. Nießen et al. 40; Mauser et al. 3090; Han 5; Castilho et al. 17). Since this does not allow for word reordering, other metrics such as Position-Independent Word Error rate (PER, Tillmann et al., 2669), Sentence Error Rate (SER, Tomás et al. 28) and Translation Error Rate (TER, Snover et al. 223-24)

have been developed to address the problem. The metric BLEU goes beyond individual words and measures quality at the n-gram level. As it has shown good correlation with human evaluations, it was also used in this study to assess the quality of MT translation from Croatian into English. In the last decade, a number of new generation automatic metrics have been proposed that outperform BLEU, such as MaxSim (Chan and Ng 55), ULC (Gimenez and Marquez 218), RTE (Padó et al. 182), posBleu (Popović and Ney 29) and chrF (Popović). However, these still cannot fully cover some linguistic phenomena such as synonymy and paraphrasing (Dorr et al. 870).

In order to obtain metrics that provide results closer to human evaluation results, a qualitative evaluation of different linguistic phenomena in combination with statistical approaches is required. Human evaluations of MT take into account various aspects of translation such as adequacy, fidelity and fluency of translation (Hovy 1-2; White and O'Connell 136; White et al. 196-97). Although Hovy (6) argues that human evaluation approaches are expensive and slow, and some research (cf. Snover et al 229) has shown low correlation between annotators, the software developed for evaluating MT is trained on data provided by human evaluators/annotators.

The metrics most commonly used by human evaluators are fluency and adequacy. In fluency, the output of MT is judged on whether it is fluent, regardless of its fidelity to the input, whereas in adequacy the evaluator judges whether the output contains the essential information of the input (cf. Snover et al. 223; Dorr et al. 804). In assessing fluency, evaluators or raters can be monolingual, while in assessing adequacy they should preferably be bilingual. It is also possible to use both professional and amateur raters in Translation Quality Assessment (TQA), (Castilho et al. 9), who can rate individually, in groups or in a crowd. Scores are usually ranked on a scale and then averaged into a single score for a given output. Although the reliability of the method is debatable, the assessment of semantic adequacy by human annotators is still very useful (Dorr et al. 804). Ideally, more than one assessor is involved in TQA tasks and the inter-rater agreement between assessors is then calculated (Chatzikoumi 158).

In this study, the automatic evaluation scores BLEU and WER were combined with human evaluation carried out by five evaluators, who rated randomly selected sentences of the machine-translated texts on a Likert scale from 1 to 5. The texts were also checked for errors by three error checking tools which classified the errors into several predefined categories and provided an overall score for the translated text.

#### 4. Methodology

This paper takes a somewhat unorthodox approach to the analysis of machine-translated texts, as it applies several different analytical tools to obtain a comprehensive view of the translated text. The initial analysis uses corpus tools to compare corpora and gain insight into their internal composition. To this end, three corpora have been compiled:

1. A corpus of original texts (i.e. source texts, ST) in Croatian, counting 21547 tokens,
2. A corpus of machine-translated texts from Croatian ST into English target texts (TT), counting 19380 tokens,
3. A corpus of English TT translated by a human translator, as a reference corpus, with 19639 tokens.

The compilation of the corpora was register-oriented. Both the source texts and the human-translated texts all originated from the website of the Ministry of Science and Education of the Republic of Croatia<sup>1</sup>. The texts are administrative in nature and contain the government's recommendations for organising the working day of students in distance education which were implemented in Croatia in 2020 during the COVID-19 epidemic. In addition, the texts contain guidelines for assessment and grading in a virtual environment, guidelines for distance education for primary and secondary schools, and information about meetings and conferences attended by Croatian politicians, also written in administrative style.

The administrative register in Croatian has its own lexicogrammatical features, the most important of which are nominalisation, objectivity, accuracy, clarity, conciseness, stylistically unmarked language structures, formulaicity and established macrostructure (cf. Silić; Frančić et al.). English administrative texts share similar features (cf. Swales), which makes the texts relatively easy to translate for MT systems, in contrast to literary texts or texts of everyday language. The latter use many colloquial expressions, which makes it most difficult for MT systems to translate them correctly. The texts were translated by Google Translate (GT) using onlinedoctranslator.com, as it is the most accessible and user-friendly system. Moreover, it can translate longer texts or entire documents instantly.

The three corpora were compared in terms of their general characteristics, such as the number of words and the distribution of parts of speech (POS), in order to identify possible differences between them. The Sketch Engine platform (Kilgarriff et al.) was used for this

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<sup>1</sup> mzo.gov.hr

purpose. Statistical measures such as lexical density, average sentence length and lexical richness were also used to examine the corpora and gain useful insights into their features.

The next step was to use the automatic metric BLEU, which compares n-grams of human-generated translation, which is considered to be the gold standard, with n-grams from MT. As mentioned earlier, this metric was used because it has shown good correlation with human judgements in several studies (cf. Papineni et al 318). Besides that, the WER score was used to compare the results.

In the following step of the research, a combination of automatic and human judgement was used. First, the MT translation was checked using the quality assurance and terminology checking tools Xbench<sup>2</sup>, ProWritingAid<sup>3</sup> and Grammarly<sup>4</sup>. These applications check completeness, consistency, terminology and spelling, and provide feedback on the quality of the translation.

The final part of the research included five evaluators, native speakers of Croatian with a university degree in English, a PhD in linguistics, and at least ten years' experience in translation and language teaching. Based on their ratings, the inter-rater agreement was calculated as an indicator of reliability. The results of this evaluation were then compared with the results of the automatic MT quality assessment.

## **5. Results and discussion**

### **5.1. Corpus analysis**

In the first step of the analysis, the three corpora were compared in terms of the number of words and the distribution of parts of speech (POS), to see if there were major differences between them. The results are shown in Table 1.

Table 1. Differences in the number of words and distribution of POS between texts

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<sup>2</sup> ApSIC XBench 3.0 Build 1546, <https://www.xbench.net/index.php>

<sup>3</sup> ProWritingAid - <https://prowritingaid.com>

<sup>4</sup> Grammarly - <https://grammarly.com>

	Corpus 1 Source texts (Croatian) ST	Corpus 2 Machine- translated target texts (English) MT	Corpus 3 Human- translated target texts (English) HT
Total words	17570	17126	17450
Nouns	6450	5356	5562
Verbs	2370	2692	2817
Adjectives	2037	1534	1609
Adverbs	566	670	450
Pronouns	1108	562	652
Conjunctions	1643	934	876
Prepositions	2508	2587	2624
Numeral	191	138	167

Both MT and HT translations have more words overall compared to the ST, which can be attributed to language-intrinsic differences, such as the use of articles in the TL. The ST also contains significantly more pronouns, conjunctions and adjectives, but fewer verbs and prepositions. Another interesting fact is the difference in the number of nouns and verbs in Croatian and English texts. The administrative genre is known for its tendency towards nominalisation, which is particularly pronounced in Croatian. This is also reflected in the number of adverbs and adjectives, as adverbs describe actions and are therefore associated with verbs, while adjectives describe nouns. In the case of adverbs, there is a discrepancy between MT and HT, whereby the MT corpus shows a greater frequency of adverbs. This could indicate possible discrepancies in the style of MT, but further insights are necessary to make this conclusion.

The difference in the number of pronouns can be attributed to two trends. One is the generic property of impersonality, which is expressed by the passive voice in English, and the other is the deictic function of pronouns in Croatian, which is not reflected in the same way in the English text. The biggest differences between MT and HT into English are in the number of nouns, which is larger in the human translation and could be attributed to the interference of SL, and in the number of conjunctions, which is larger in MT and contributes to a greater cohesion of the text. The greater frequency of conjunctions in ST might indicate more explicit syntactic relations between sentences and clauses in Croatian.

The results of the corpus were also used for statistical calculations that provide information about lexical density, such as the type-token ratio (TTR), the Halliday lexical words per sentence ratio (LDHal), the noun-verb ratio (N/V), the average sentence length and the lexical to functional words ratio (L/F), as shown in Table 2.

Table 2. Statistical indicators from the corpus

	Corpus 1 ST	Corpus 2 MT	Corpus 3 HT
TTR	0.82	0.88	0.89
AVS	30.88	31.9	30.6
N/V	2.72	1.99	1.97
L/F	1.77	1.84	1.94
LDHal	14	14	14

The results show similar trends in terms of TTR and LDHal, while the differences occurred in average sentence length, with MT texts having the longest sentences, which is common in English administrative texts. In terms of the N/V ratio, Croatian ST shows the greatest tendency towards nominalisation, while both English texts show similar results with the N/V ratio indicating a larger number of verbs in relation to nouns. This indicates that there was no interference from the SL in this segment, but that the texts conformed to the norms of the TL. Considering that there are far more resources for English on which machine translation can rely, this level of compliance to target language structure and norms can be expected. Another difference is in the ratio between lexical and functional words, which is highest in the human-translated texts. This could indicate a tendency towards explicitation of the grammatical relationship within the sentence. In general, it can be seen that the MT texts have similar characteristics to the human-translated texts.

## 5.2. Automatic evaluation

The second part of the study involved the calculation of the automatic metric evaluation scores BLEU (Bilingual Evaluation Understudy) and WER (Word Error Rate). In this study, the BLEU score is calculated by comparing the machine-generated translation with the reference human translation, which is considered the “gold standard”. In this study, the result of the BLEU score calculated in Python was 0.35. This is a relatively low value indicating that machine translation has significant differences from the reference translation, i.e. it is not very

accurate when compared to the gold standard. However, it still falls into the category of understandable translations.

The WER value is relatively high, 64.8%, and indicates a significant deviation between the machine translation and the human translation, as it indicates that almost 65% of the words in MT differ from the words in HT. This indicates that the machine translation is rather inaccurate and does not remain faithful to the original text. There are some possible reasons for the high WER score, such as that the MT system does not understand the semantic nuances and context well, that there are some grammatical and syntactic errors due to wrong word order or subject-verb agreement, that the MT system does not handle ambiguity well, that there were some domain-specific words, or that there are some inherent limitations in the MT system.

In any case, these two values indicate a lower quality of the output of the MT system compared to the human-generated translation, but one which can still be considered understandable.

### **5.3. Error analysis**

The following part of the study involved the analysis of errors using commercial products such as ProWritingAid, Grammarly and Xbench. These tools detected some problems with the grammar and style of the machine-generated translation and flagged them accordingly.

ProWritingAid identified style as particularly problematic, with a passive index of 34, with 87 hidden verbs and 31 repeated sentence starters. The report gave an overall score of 66/100; specifically, 74/100 for grammar, 80/100 for spelling and 44/100 for style. This is in line with the findings of the corpus analysis. ProWritingAid found the three biggest problems to be: (i) low readability, indicating that the text is difficult to read, (ii) a high “glue index”, indicating a large number of filler words in the text, (iii) many long sentences, making the text difficult to read (there are 203 long sentences in the text out of a total of 797 sentences), which is in line with the results of corpus analysis. In terms of readability, ProWritingAid identified 137 very difficult-to-read paragraphs, which is about one third of the total number of paragraphs identified, and 27 slightly difficult-to-read paragraphs.

Grammarly analysed the text in terms of several aspects, namely correctness, clarity, engagement and delivery. However, in this context, Grammarly often missed many errors, especially in terms of correctness, i.e. spelling, grammar and punctuation errors, and often identified correct sentences as errors. As far as clarity is concerned, the overall score is positive, which means that the machine-generated translation serves its purpose, i.e. that it conveys a sufficiently accurate meaning in

the target language. Grammarly has identified 316 clarity issues in the corpus, making the corpus overall “a bit unclear”. In the “Engagement” category, Grammarly highlighted frequently overused words or words that appear repeatedly in the text and identified 224 engagement problems in the corpus, grading this aspect as “a bit bland”. When it comes to the “Delivery” category, only 5 problems were identified, making delivery just right. Among the parts of speech, lexical, morphosyntactic and stylistic errors dominate the corpus, as expected, accounting for 89 of all errors. Morphosyntactic errors are due to the differences between English and Croatian, i.e. English, unlike Croatian, has a relatively fixed word order and Croatian, unlike English, is inflectionally rich. Untranslated words are not that frequent in the corpus, but omissions of text segments are, which is consistent with the findings of Ljubas (2018). Some inconsistent translations were found, probably due to the absence or inconsistency of input data.

In addition to the discrepancies identified by ProWritingAid and Grammarly, the Xbench programme identified 17 key term mismatches, as well as word repetitions, numeric and alphanumeric mismatches and untranslated segments. Since these key terms cannot be considered rare or complex, the inconsistencies found could be due to the system not understanding the semantic differences, the system’s inability to resolve ambiguities, a lack of training data that may not be representative of this particular domain, or a lack of context. Clearly, the fact that the translation direction was from a low-resourced language to a highly resourced language had no influence in this case, and it could suggest that the quality might depend on the resources for both languages, although this claim requires further study.

#### **5.4. Human evaluation**

The following part of the study involved the evaluation by five raters. The raters rated 55 randomly selected sentences from the MT on a scale of 1 to 5, according to values described in Table 3 (cf. Sanders et al., 756). The raters were given an explanation of the grading scale. The grading scale shown in Table 3 was adjusted and revised for this study according to Koehn and Munz (107) and Waddington (22).

Table 3. Grading scale

Grade	Adequacy	Fluency	Degree
5	All meaning: complete transfer of information, minor revisions required	Flawless English: reads like a piece originally written in English	Successful
4	Most meaning: almost complete transfer, one or two insignificant inaccuracies	Good English: seems like originally written in English to a larger extent; some lexical, grammatical or spelling errors	Almost completely successful
3	Much meaning: general idea is transferred but there are lapses in accuracy; needs considerable revision	Non-native English: reads like a translation; considerable number of lexical, grammatical or spelling errors	Adequate
2	Little meaning: serious inaccuracies; thorough revision required	Disfluent English: the sentence reads completely as a translation, sounds foreign	Inadequate
1	None: totally inadequate and inconsistent	Incomprehensible: sentence is not intelligible	Totally inadequate

The raters rated the sentences according to the fluency and adequacy of the translation. Table 4 shows a summary of the results,

where  $P_0$  indicates raw agreement,  $P_e$  indicates expected purely random agreement and Fleiss' kappa value to measure the agreement among multiple raters. The results were obtained by using an online statistical tool developed by Lancaster University<sup>5</sup>.

Table 4. Results of calculated inter-rater agreement for fluency and accuracy

	$P_0$	$P_e$	Fleiss' kappa
Fluency	35.56%	0.21	0.12
Adequacy	30.56%	0.14	0.08

In terms of fluency, the evaluators gave the overall fluency an average score of 3.82, with 36% of the ratings being in agreement. The  $P_e$  of 0.21 indicates moderate agreement among the raters, with a p-value of  $< 0.001$ , indicating that the agreement is statistically significant, i.e. that it did not occur merely by chance. Fleiss' kappa takes both  $P_0$  and  $P_e$  into account and can range from -1, indicating agreement worse than chance, to 1, indicating perfect agreement. In this case, the value of 0.12 indicates a slight agreement among the raters beyond what can be expected by chance. The calculated p-value (0.001) indicates that the result is statistically significant.

For adequacy, the mean score of raters was lower than for fluency, 3.5. The raw agreement of 31% is slightly lower than the raw agreement for fluency, and the  $P_e$  of 0.14 indicates a low level of agreement among raters. The p-value (0.001) indicates that the results are statistically significant. The Fleiss' kappa of 0.08 indicates slight agreement among the raters beyond the expected random agreement. The calculated p-value in this case (0.015) shows that the results are statistically significant. The low agreement indicates that there is significant inconsistency in the ratings beyond what would be expected by chance, but the p-values indicate that the calculated agreement did not arise by chance alone.

Despite the slight agreement among the raters, it can be concluded that the MT translation is fluent to a certain degree, but it does not preserve the source meaning adequately.

<sup>5</sup> <http://corpora.lancs.ac.uk/stats/toolbox.php>

## 6. Conclusion

In this paper, the authors conducted an evaluation of MT translation of administrative texts from Croatian into English based on a triangulation of existing evaluation methods in order to gain deeper insight into the nature of errors, consistency and coherence in the structural level of translation and to provide a comprehensive evaluation of translation quality based on different evaluation methods (automatic and human assessment, corpus analysis and error detection). The corpus analysis revealed similarities between MT and HT, i.e. the gold standard in the general corpus data, such as the distribution of parts of speech, type-token ratio, N/V ratio. MT had slightly longer sentences than HT, while the ratio of lexical to functional words in MT showed somewhat fewer functional words than in HT. The automatic evaluation measures, BLEU and WER, showed a significant deviation of MT from HT, but still grading MT as comprehensible. In a further step, MT was evaluated by three programmes which identified various errors in MT. They pointed to problems with style, clarity and key terminology. The MT was also evaluated by human raters, who gave it an average score of 3.8 for fluency and 3.5 for adequacy, with moderate inter-rater agreement for fluency and low agreement for adequacy.

In general, all the evaluation methods used showed an understandable translation, but with significant problems with style and key terminology. Corpus analysis showed that MT lacks the underlying structural rules of the target language, which possibly influenced fluency, but the other methods of analysis (e.g. the higher score on fluency and lower score on accuracy in human evaluation) showed significant problems with adequacy. The reasons for this could be traced to the SL interference and differences between the two languages, the different terminology in the different sources and insufficient input data for MT systems. Since MT models rely on existing data and perform worse when fewer resources are available, there is a need to provide them with more data and conduct further research in this area, especially for smaller languages such as Croatian. As suggested by Ljubas (89), there is still a great need for more concrete proposals to improve MT systems for Croatian.

Despite the limitations in the study in terms of a small corpus limited to administrative texts and the fact that the raters were not native speakers of English, the triangulation of methods provided a more comprehensive insight into machine translation quality and pointed to areas for further improvement – mainly style and generic features. Further studies could focus on larger corpora, different genres,

different translation directions and different language pairs for more insight.

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#### **ZUSAMMENFASSUNG: BEWERTUNG DER QUALITÄT DER MASCHINELLEN ÜBERSETZUNG ADMINISTRATIVER TEXTE AUS DEM KROATISCHEN INS ENGLISCHE**

Maschinelle Übersetzung, einst eine fehlerhafte Methode, ist inzwischen deutlich besser geworden und wird kontinuierlich optimiert. Eine große Herausforderung besteht darin, die Qualität der maschinellen Übersetzungen zu bewerten. In diesem Beitrag wird eine Triangulation von Methoden zur Bewertung der Übersetzungsqualität vorgenommen: automatische und menschliche Beurteilung, korpusbasierte Analyse und Analyse der Übersetzungsfehler. Dabei wurden administrative Texte aus dem Kroatischen ins Englische in Betracht gezogen. Ziel ist es, einen umfassenden Überblick über die Qualität dieser Übersetzungen zu bekommen, die Ergebnisse der verschiedenen Bewertungsmethoden zu vergleichen und die Bereiche mit den größten Diskrepanzen in maschineller Übersetzungen zu identifizieren. Die Übersetzungen wurden mit *Google Translate* (GT) erstellt, das auf dem derzeit vorherrschenden neuronalen Modell basiert, welches Übersetzungsfehler im Vergleich zum phrasenbasierten Modell signifikant reduziert. Es wird erwartet, dass dieses Modell in der Lage ist, Probleme wie Kongruenz und Flexion besser zu lösen als andere Systeme. Dies ist insbesondere für morphologisch reiche Sprachen wie Kroatisch von Bedeutung. Obwohl die Literatur zur maschinellen Übersetzung und deren Bewertung umfangreich ist, soll diese Arbeit zur Forschung der unterrepräsentierten slawischen Sprache beitragen.

**Schlüsselwörter:** maschinelle Übersetzung, Bewertung der Übersetzungsqualität, administrative Texte, Kroatisch, Englisch

**USING CORPUS DATA IN ENGLISH-GERMAN EQUIVALENCE  
DETERMINATION: A CASE STUDY OF ANGER-LIKE  
EMOTION CONCEPTS IN RELATED CULTURES**

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**Abstract:** The article develops a three-stage methodology by which the equivalence of language designations of emotion concepts (ECs) ANNOYANCE, ANGER, and RAGE is clarified since there are discrepancies in the German translations of emotion model by R. Plutchik while reproducing these designations. The methodology was tested in the following stages: 1) the definitional analysis (“sifting out” false cases of equivalence and the identification of those lexemes in German that most fully convey the semantics of the English nouns *anger*, *annoyance*, and *rage*); 2) refining the results of the definitional analysis by determining the cultural relevance of the ECs ANNOYANCE, ANGER, and RAGE and their German equivalents (processing frequency diagrams of Google Books Ngram Viewer online service and the indicators of the most frequent collocates of query words *anger*, *annoyance*, *rage*, *Ärger*, *Wut*, and *Zorn*, and establishing emotional proximates of these ECs); 3) verifying the results of the first and second stages on the basis of arousal indicator of emotional proximates of analysed ECs. This approach made it possible to identify that a certain relevance level of ECs ANGER – WUT, RAGE – ZORN and ANNOYANCE – ÄRGER is traced by parameters of (a) content, (b) cultural relevance and (c) intensity. This means that the representatives of the German speaking culture perceive ECs ÄRGER, WUT, and ZORN with the associations similar to those the speakers of English experience in connection with ECs ANNOYANCE, ANGER, and RAGE.

**Keywords:** anger-like emotion concept, English, German, translation, equivalence, semantics, language corpus

## 1. Introduction

The end of the previous century saw qualitative changes in the approaches to the study of emotions in linguistics. The same period witnessed the spread of the ideas of cognitive linguistics, whose adherents paid attention to the very nature of emotions while previously linguists had tended to study the emotive component in the meaning of language units. This methodological change was based on the assumption that human emotional level can interact with the language level via cognition. The assumption is grounded in the basic postulate of cognitive linguistics concerning the correlation of language structures with cognitive structures. The latter in their turn interact with emotions (Damasio 1994), which makes obvious the interrelation between language, cognition, and emotions. For instance, a person can express emotions by means of expressive language. No less important are designations of emotions as they can direct language expressive resources to a particular type of emotional experiences (Colombetti 2009: 20). If denotations of emotions are characterized by cross-cultural variation, then it is logical to assume that the representatives of different cultures code, memorize, and respond to emotions differently (Russell 1991: 427). Therefore, labelling emotions can play a role in the cognitive processing of emotional experiences.

In view of this, only an accurate reproduction of the labelling of emotions may evoke adequate emotional experiences on the part of the target language speakers, which makes the translation of words denoting emotions a difficult issue for translators. It is obviously connected with the fact that human emotional world is a complex dynamic phenomenon balancing between a person and the community this person belongs to. On the one hand, the expression and course of even basic (universal) emotions are somewhat subjective since every individual has a peculiar physiology as well as a unique level of mental and moral development, which affects both the physiological expression of emotions and the course of a particular emotion as demonstrated by a separate person. On the other hand, expression and perception of emotions to a certain degree depends on sociocultural factors as every individual is part of a definite linguistic community (Mizin 2022; Mizin, Slavova 2023). As a result, in emotions one can clearly trace the amalgam of universal and culturally specific factors (Oster 2023), which makes it possible to define emotions not only as human mental states and processes but rather as much more complex phenomena – cultural concepts (Kövecses 1990; Mizin et al. 2021; Russell 1991; Wierzbicka 1999).

This implies that when looking for the lexical equivalents of the emotion words in the target language, a translator has to remember that

it concerns the transfer of cultural concepts rather than the reproduction of the meanings of linguistic units. That is why he has to render adequately entire fragments of the “foreign” emotional world represented by ECs and to reproduce the cultural senses of the latter as accurately as possible. This task is challenging even for experienced translators as ECs cannot be identical in different linguistic communities if only because of the sociocultural information encoded in them. A particular problem is posed by specific ECs, whose designations, as a rule, have no lexical equivalents in the target language (Mizin, Ovsienko 2020; Ogarkova, Soriano 2023). Even if such equivalents do exist, it is very difficult to find an equivalent denotation for those ECs that represent close complex emotions, differentiated only by one feature (cf. semantic proximity of Germ. ECs *WUT* and *ZORN*: Oster 2014).

If there are doubts concerning the equivalence in the target language of the word fixed in a bilingual dictionary as a lexical correspondence of the labelling of a particular EC from a source linguistic community, a translator can verify the equivalence of the lexemes by means of comparative-translation analysis of the latter. However, it requires considerable time and intellectual resources unaffordable for practicing translators. A much quicker and simpler way to solve this problem is offered by language corpora – primarily bilingual (parallel) ones, as well as those of the source or target languages. It is explained by the fact that, firstly, nowadays most corpora are freely available, secondly, corpus linguistics methodology is quite objective in terms of the study of cultural concepts including ECs (Mizin, Ovsienko 2020). One of the main aims of parallel corpora, containing source texts and their translations, is the possibility of using their data – linguistic and statistical – in translation analysis. However, unlike monolingual – nonparallel – corpora, the results of the parallel corpora study can be slightly more subjective since they contain “human” rather than machine translations.

It should be noted that representational corpora provide ample opportunities for digital processing of language units, in particular, they have the function of automatic calculation of frequency data concerning the compatibility of query words. By entering a query word, one can obtain frequency indicators of its occurrences (co-occurrences and collocates), which makes it possible to determine relevant semantic shades of a particular word, and when extrapolated to the conceptual level – relevant senses of the EC that this word denotes. Since most frequent occurrences objectify the most relevant senses of ECs, their comparative analysis can reveal semantic differences even in the case of very close concepts.

In view of this, the aim of the article is development of the methodology that can be used to clarify the equivalence of the words naming ECs by processing the data of language corpora. The methodology approbation is carried out on the example of language designation of anger-like (the term *anger-like* according to: Goddard 1991) ECs represented on “the anger petal” (Fig. 1) of a well-known adaptive model of emotions “Wheel of emotions” by R. Plutchik (1997). The choice of the research material is conditioned primarily by the fact that translation of emotion designations goes beyond the linguistic level, since here one deals not so much with conveying the meanings of such units into the target language as with adequate reproduction in the target linguistic communities of ECs of entire fragments of the “foreign” emotional world through cross-cultural transfer.

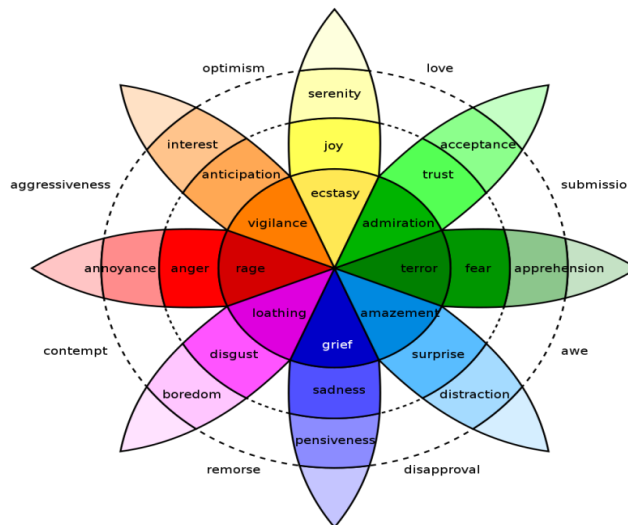


Figure 1: English-language version of “Wheel of emotions” by R. Plutchik

## 2. Methods and material (language corpora)

The following provisions are methodologically relevant for the research:

1. As emotions are inherent in humans as a species, emotional experiences of the representatives of different cultures largely coincide. With this in mind, when translating designations of emotions, a translator has to remember that the absence of a language designation of a certain emotion in the target language does not necessarily mean that this emotion is unknown to its speakers. In the case of lacunarity in the language designation of a particular emotion in the target language, a translator can always use a descriptive translation. However, the search

for the lexical equivalent is more expedient. As a rule, a translator has at his disposal several potentially suitable equivalents and he has to choose the one that can evoke the most adequate emotional response on the part of the target linguistic community representative. With regard to the emotion of anger, based on the analysis of 64 languages out of 60 basic language groups, scholars have found language designations of this emotion in all the languages where the names of emotions exist (Hupka et al. 1999). Anger-like words are found even in language communities with the smallest lexicon for anger (Ogarkova 2013).

2. By ECs we mean cognitive constructs, the branched conceptual structure of which is a complex hierarchy of emotional and cultural senses, objectified, as a rule, by language units. Accordingly, ECs are represented both at the cognitive (conceptual) and language levels. This two-level nature of ECs directly correlates with the concept of 'equivalence', since the latter can be structural or conceptual: the former is based on the same morpho-semantic characteristics of certain words, and the latter is present when two words denote the same concept (Pavlenko 2008).

3. Despite the cross-cultural spread of anger-like ECs, there is a lack of unequivocal equivalents designating the latter in different languages (Durst 2001; Fries 2004; Goddard 1991; Ogarkova et al. 2012; Oster 2018, 2023; Soriano et al. 2013). It refers both to the quantity, since different cultures have a different number of anger-like ECs, and to the content, as there are no equivalents among the words naming prototypical meaning of anger in every language. There is no complete equivalence of anger-like words even in typologically close languages, such as English and German, as rightly noted by anger researchers (Durst 2001: 188).

4. Basic emotions, in particular anger, are characterized by different arousal or strength of expression. Intensity is definitely relevant to differentiate anger words within a language and purported translation pairs in different languages (Ogarkova, Soriano 2023: 1095). The intensity scale is clearly illustrated by "the petals" of Plutchik's model where the strength of the emotion expression increases from the periphery to the centre. Less intense ("the flower" periphery) and more intense ("the flower" centre) manifestations of basic emotions have separate language designations, i.e. "the petals" are represented by three anger-like emotions that differ in fact only in their intensity: basic emotion – *anger*; low arousal ("the flower" periphery) – *annoyance*; high arousal ("the flower" centre) – *rage*. It should be noted that dozens of emotions each "petal" contains are not shown on this model. The German "anger petal", for example, covers such derived emotions as *Empörung* 'indignation', *Entrüstung* 'dissatisfaction', *Anstoß* 'annoyance', *Raserei* 'fury', *Groll*

'malice/grudge', *Grimm* 'embitterment', *Verdruss* 'sadness', *Unwille* 'displeasure', *Verärgerung* 'discontent' etc. Scholars claim that the German language has 17 words conveying the semantics of anger against 23 words with similar semantics in English (Ogarkova et al. 2012: 273).

5. Proceeding from the fact that emotional senses dominate in ECs, there is a possibility to identify the most relevant of them, i.e. to find the closest concepts-correlates. The hierarchy of the latter in the semantic structure of a particular EC can form a clear view of its content. This hierarchy can be visualized as a list. A comparative analysis of such lists presented in the tables can reveal rather imperceptible differences in the semantic structure of close ECs both within the same linguistic community and in cross-cultural studies. In the field of English corpus linguistics, a close correlation of concepts is defined as *conceptual proximity* (Oster 2012: 338), therefore the above-mentioned concepts-correlates can be correctly called *conceptual proximates* (CPs). The latter can be identified on the basis of frequency of collocates and co-occurrences of ECs denotations.

The methodology of the proposed research involves the implementation of the following stages:

1. Identifying the equivalence of the designations of ECs representing "the anger petal" in the source (British, Americans) and target (German) linguistic cultures through the comparative analysis of their definitions.

2. Refining the results of the definitional analysis by determining the cultural relevance (importance or prevalence) of the analysed ECs. The identification of the latter's cultural relevance is based on the frequency diagrams of Google Books Ngram Viewer (GBNV) online service as well as the data of the study samples represented by a list of ten most frequent collocates of the query words *anger*, *annoyance*, and *rage* and their German equivalents (Tables 1 and 2). When creating the samples, we took into consideration the indicators of frequency and typical compatibility of collocates only of those lemmas that are denotations of emotions. The fact that these lemmas objectify the most relevant emotional CPs makes it possible to consider the sample size sufficient for understanding the basic senses in the conceptual structure of ECs.

3. Verifying the results of the first and second stages on the basis of arousal indicator of those basic senses, i.e. CPs, that are contained in the conceptual structure of ECs ANNOYANCE, ANGER, and RAGE and their German equivalents (Tables 3 and 4). Arousal of such CPs is defined on the basis of the ANEW-ratings data (Bradley, Lang 1999). For this research the distinction of the notions "intensity" and "arousal" is not essential, which enables the measurement of intensity based on the arousal index.

The methodological background for this is the fact that arousal refers to intensity of an emotion, i.e., the strength of the associated emotional state (Citron et al. 2014: 79).

Limitation: according to the conception of our study, ECs and CPs that represent them are cultural concepts. This means that in the process of cross-cultural study of these concepts, it should be taken into consideration that their designations may not have complete equivalents in the target languages. This fact may affect the results of our research to some extent, since due to the lack of a list of German words with their intensity, processed by the ANEW method, we presented in Table 4 the data of the English equivalents of these words. At the same time, the authors realize that the data in this table may be somewhat inaccurate. However, for the purposes of this study, such inaccuracy is considered irrelevant.

Sample formation is based on German and English web-corpora that are quite commensurate in their technical and content parameters (size, tagging, functions etc.): Word Web Corpus (iWeb) containing 14 billion words and Webkorpus, created within the project Digitales Wörterbuch der deutschen Sprache (DWDS). The size of the latter is more than 8.5 billion words.

### 3. Results and discussion

#### 3.1. Identification of correct and false cases of equivalence based on definitional analysis

Inaccuracy in conveying anger-like ECs can be provoked by “naïve” translators, i.e. those who have a naïve idea both of translation and human emotions. The translation of such “experts” is similar to machine translation as they tend to choose the first meaning of a polysemantic word. However, professional translators can also be inaccurate when reproducing emotion donations, since their perception of emotions can be considered “naïve”, which is obvious in German translation of the English “anger petal” represented by lexemes *annoyance*, *anger*, and *rage*. Here the translators overlooked the fact that one of the basic criteria for differentiating these lexemes is the intensity of expressing the emotion of anger. It is clearly evidenced by their definitions:

*annoyance* – “1) the act of annoying someone or of being annoyed; 2) the state or feeling of being annoyed; 3) a source of vexation or irritation” (M.-WD); “1) the feeling or state of being annoyed; 2) smth. that makes you annoyed” (CD);

*anger* – “1) a strong feeling of displeasure and usually of antagonism; 2) a threatening or violent appearance or state” (M.-WD); “a strong

feeling that makes you want to hurt someone or be unpleasant because of smth. unfair or unkind that has happened” (CD);

*rage* – “1) violent and uncontrolled anger; a fit of violent wrath; 2) violent action (as of wind or sea); 3) an intense feeling; 4) a fad pursued with intense enthusiasm” (M.-WD); “1) (a period of) extreme or violent anger; 2) an exciting or entertaining event involving a lot of activity; 3) to be very popular or fashionable” (CD).

Failure to take this point into account caused some inconsistency in the English-German translation of these lexemes, e.g.: Germ. *annoyance* – *Verdruss*, *anger* – *Ärger*, *rage* – *Wut* (Stangl 2023; Grünewald 2023); *annoyance* – *Verdruss*, *anger* – *Groll*, *rage* – *Wut* (Hildebrand 2014: 7); *annoyance* – *Reiz*, *anger* – *Ärger*, *rage* – *Wut* (Plutchik 2023); *annoyance* – *Gereiztheit*, *anger* – *Ärger*, *rage* – *Wut* (Knipprath 2023). These examples illustrate differences in translation even of lexeme *anger*, which denotes the basic manifestation of this emotion (the middle of “the petal”), even though there should not be any ambiguity in this case. The reason for this lies in the fact that the emotional world arises in the “naïve” mind as amorphous non-discrete substance. An individual is often unable to designate the emotion he is experiencing. It is even harder to translate something that does not have a clearly defined form and content.

To determine the equivalence of the words representing the German variant of “anger petal” – *Verdruss*, *Ärger*, *Wut*, *Groll*, *Reiz*, *Gereiztheit*, bilingual dictionaries were predominantly used, e.g.:

*Verdruss* – “annoyance; chagrin” (CD); “frustration” (Collins);

*Ärger* – “anger; trouble; annoyance” (CD); “1) annoyance; anger; 2) trouble; worry” (Collins);

*Wut* – “rage; fury; mania” (CD); “rage; fury; frenzy” (Collins);

*Groll* – “grudge; resentment” (CD); “anger; wrath; resentment” (Collins);

*Reiz* – “stimulus; appeal; attraction” (CD); “stimulus; attraction; appeal; charm” (Collins);

*Gereiztheit* – “irritability; testiness; touchiness” (CD); “irritability; testiness; touchiness; edginess” (Langenscheidt).

The study of bilingual dictionaries does not provide a clear understanding concerning the equivalence of the lexemes under study. It is especially true of the noun *Reiz*, which practically does not show the semantics of anger and its shades. In this case, a more detailed analysis of the definitions of these lexemes in explanatory dictionaries is required, e.g.:

*Verdruss* – “(on-going) displeasure” (Wbl); “anger; displeasure; resentment” (DWDS);

*Ärger* – “1) spontaneous, internal, emotional reaction of high-level dissatisfaction to a situation, person or memory that the angry person would have preferred to have seen differently; 2) an upsetting experience” (Wbl); “1) displeasure, sullenness; 2) repugnance, unpleasantness” (DWDS);

*Wut* – “strong agitation of the mind, a feeling of great anger, often associated with aggressive behaviour” (Wbl); “1) violent, angry excitement, increased to the point of rage; 2) excessive zeal; 3) rabies” (DWDS);

*Groll* – “1) long-lasting but silent anger, hidden hatred, hidden enmity (exalted style); 2) suddenly surging and erupting anger (outdated)” (Wbl); “restrained anger; quiet hatred” (DWDS);

*Reiz* – “1) external or internal influence on an organism; 2) enticing effect emanating from a thing or person” (Wbl); “1) specific, physically conditioned influence emanating from the environment or the organism itself, which is received and processed by the sense organs in a specific form; 2) pleasantly attractive effect that emanates from a thing for somebody, enticement, incentive, attraction; 3) beauty, magic” (DWDS);

*Gereiztheit* – “state of nervous tension” (Wbl); “tense mood” (DWDS).

Based on the semantics of the analysed German lexemes recorded in representational monolingual dictionaries, it is possible to determine that: (1) there are no grounds whatsoever to consider the Germ. noun *Reiz* an equivalent – even partial – of the Engl. lexeme *annoyance* (cf. Plutchik 2023); (2) the Germ. noun *Ärger* is semantically closer to *annoyance* than to *anger*, which testifies to a certain incorrectness in most of the given above translations of “the anger petal” into German; (3) the German lexeme *Groll* shows only partial equivalence with the Engl. lexeme *anger*. In addition, unlike the latter, *Groll* has limited functioning in the German-speaking community due to its high stylistic marking; (4) given the criterion of the presence of the semantic feature of low anger arousal, the greatest number of semantic coincidences with the lexeme *annoyance* can be observed in the Germ. nouns *Verdruss*, *Gereiztheit*, and *Ärger*. At the same time, the Germ. noun *Ärger* is the closest to *annoyance* in its content, since *Gereiztheit* conveys mainly the semantics of irritation, which plunges a person into a negative and uncomfortable state (or mood), while *Verdruss* possesses not only the meaning of a long-term dissatisfaction, but also the meanings expressing higher arousal of anger compared to *annoyance*; (5) the Germ. noun *Wut* is semantically closer to the Engl. word *anger* though it is not its complete equivalent as it has a higher anger arousal and occupies the position

between *anger* and *rage* on the arousal scale. Nevertheless, the semantics of *Wut* shows more coincidences with *anger* than with *rage*.

The analysis of mono- and bilingual dictionaries makes it possible to determine, firstly, significant though not complete equivalence of the lexemes *annoyance* – *Ärger* and *anger* – *Wut*. It is in line with scholars' opinion that it is the Germ. noun *Wut* rather than *Ärger* or *Groll* that is equivalent to the Engl. lexeme *anger* (Ogarkova et al. 2012: 268; cf. also: Durst 2001: 138; Fries 2004: 10–11). It may be partially confirmed by the conclusion that *Ärger* represents the group of low-power/passive anger-like emotions while *Wut* belongs to high-power/active ones (Soriano et al. 2013: 351). Secondly, this analysis also revealed that the Germ. noun *Wut* is not the most accurate equivalent of the Engl. lexeme *rage*. It remains unclear why translators have neglected (cf. the above variants of translating “the anger petal” into German) the Germ. word *Zorn*. The latter is interchangeable with *Wut* in most contexts (Durst 2001: 131), though it is to a greater extent characterized by the semantics of a very strong anger and fury (DWDS), which makes it closer to *rage* in terms of arousal. Considering this, *annoyance* – *Ärger*, *anger* – *Wut*, *rage* – *Zorn* can be identified as incomplete though most exact German equivalents for the three anger-like words represented on the English “anger petal”. At the conceptual level, this conclusion makes it possible to identify tentatively the following cross-cultural equivalents: ANNOYANCE – ÄRGER, ANGER – WUT and RAGE – ZORN.

Thus, the equivalents identified through the study of the definitions of the analysed anger-like words in representational English and German dictionaries in some cases differ from the given above author's – “naïve” – English-German translations of the anger “petal”. The inaccuracy in rendering the designations of emotions can be apparently explained by the superficial study of the dictionaries. The translators having a good command of the source and target languages might be rather overconfident and trust their intuition too much. Anyway, neglect of the proper study of the dictionary definitions of language units in the process of translation results in inaccurate identification of interlingual equivalents.

### **3.2. Refining the results of the definitional analysis by determining the cultural relevance of the ECs ANNOYANCE, ANGER, and RAGE and their German equivalents**

It should be noted that when the results of the definitional analysis do not make it possible to determine unequivocally the equivalence of particular language units, one can apply a very simple procedure – the

comparison of their frequency data with the aim of “weeding out” the cases where a rare (low frequency) and stylistically limited (high/low flown, archaic etc.) word of the target language may be defined as an equivalent for the actively used (high frequency) and stylistically neutral word of the source language. Such equivalence is not entirely correct. The example of this is the afore-mentioned Germ. lexeme *Groll*, which has quite noticeable semantic coincidences with the Engl. *anger*. However, these lexemes are only partial equivalents as the functioning of *Groll* in German culture is stylistically limited due to its high stylistic marking. It results in a considerably lower frequency of the lexeme *Groll* compared to *anger*. Contrast is also added by the fact that the frequency of the latter is much higher than that of other English terms denoting anger (Kövecses et al. 2015: 343).

If extrapolated to the conceptual level, high or low frequency of ECs denotations points to cultural relevance (topicality/prevalence) or irrelevance (out-of-datedness/rarity) in a definite culture. When studying relevant ECs in a source culture, it is methodologically correct to consider primarily relevant ECs in the target culture, relevance/irrelevance of ECs can therefore be considered one of the criteria of cross-cultural equivalence. In our case it means the following: the relevance level of Germ. ECs *ÄRGER*, *WUT*, and *ZORN* at least to some extent has to be commensurate with Anglo-Am. ECs *ANNOYANCE*, *ANGER*, and *RAGE*. The existence of such commensurability is indicated, firstly, by the results of the studies showing that *Ärger*, *Wut*, and *Zorn* are the most frequent lexemes conveying anger in German (Durst 2001; Oster 2018; Ogarkova, Soriano, 2023), secondly, by the data in the diagrams of frequency of the analysed lexemes (see Fig. 2 and Fig. 3) formed on the basis of online service Google Books Ngram Viewer (GBNV). These diagrams clearly show a much higher frequency of ECs *ANGER* and *WUT* compared to *ANNOYANCE*, *RAGE*, *ÄRGER*, and *ZORN*. The fact that the concepts *ANGER* and *WUT* are quite commensurate in their cultural relevance can support the above opinion concerning their equivalence. The same is true of ECs *ANNOYANCE* – *ÄRGER* and *RAGE* – *ZORN*, whose level of cultural relevance greatly coincides.

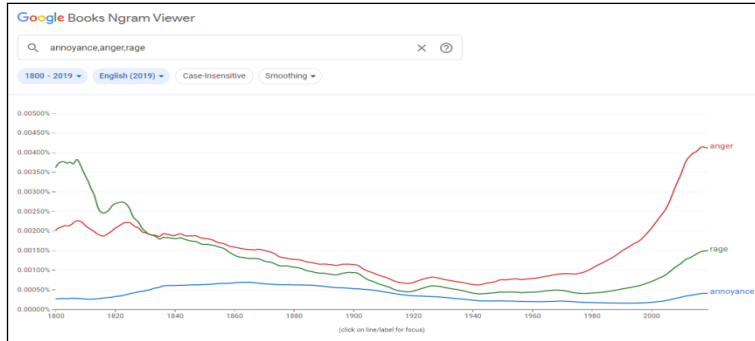


Figure 2: Diagram of frequency of lexemes *annoyance*, *anger*, and *rage*; English; 1800–2019; smoothing 3 (GBNV, 2023)

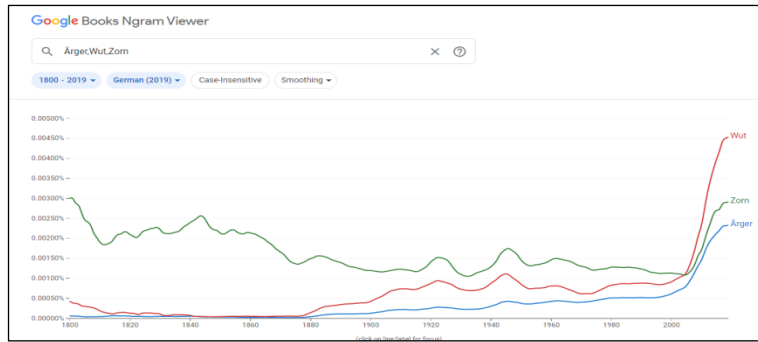


Figure 3: Diagram of frequency of lexemes *Ärger*, *Wut*, and *Zorn*; German; 1800–2019; smoothing 3 (GBNV, 2023)

### 3.3. Verifying the results of the first and second stages on the basis of arousal indicator of emotional proximates of analysed ECs

Language corpora make it possible not only to obtain objective data concerning cultural relevance of ECs but also to identify the most important senses of the latter. The senses contained in a cultural concept result from its interaction with other concepts. Each sense is actually “an imprint” left by this or that concept on the concept it interacts with. Therefore, senses perform the function of concept connectors: the more relevant the sense in a particular concept, the closer the connection of the latter with the concept representing this sense. At the language level, the relevance of concepts senses, as mentioned above, is determined on the basis of frequency of occurrences of those query words that are the designations of these concepts. In the terminology of this article, the most important connecting senses are called proximates.

In the following tables the relevance of the compared ECs is determined on the basis of the indicators of frequency of CPs (F), i.e. of those lemmas (occurrence forms) that objectify them, e.g.: *frustration* – 6223 (ANGER); *Frust* – 146 (ÄRGER). However, an important role belongs not only to the indicators of frequency but also to correlation strength that is calculated on the basis of association measures (typical compatibility) of the collocates. It is about the frequency of joint occurrence of the collocation elements that is determined in each corpus with the help of one or even several indices. The fact that iWeb uses MI-index while DWDS uses logDice with different formulas for their processing is not essential for this research since the indicators of correlation strength serve here only for “weeding out” non-typical collocations.

Table 1: Indicators of frequency ( $F \leq 40$ ) and MI-index ( $MI \leq 4.0$ ) of the lemmas objectifying the CPs of concepts ANNOYANCE, ANGER, and RAGE (iWeb corpus data)

ANNOYANCE	F	MI	ANGER	F	MI	RAGE	F	MI
<i>frustration</i>	393	7.87	<i>frustration</i>	6223	8.02	<i>anger</i>	1595	6.69
<i>inconvenience</i>	391	7.33	<i>sadness</i>	2775	8.24	<i>frustration</i>	584	5.24
<i>nuisance</i>	211	6.45	<i>resentment</i>	2637	9.01	<i>fury</i>	531	6.48
<i>anger</i>	176	5.29	<i>hatred</i>	1768	7.18	<i>grief</i>	493	5.57
<i>irritation</i>	160	6.21	<i>rage</i>	1595	6.69	<i>hatred</i>	457	5.86
<i>embarrassment</i>	103	6.49	<i>grief</i>	1310	6.35	<i>jealousy</i>	407	6.79
<i>confusion</i>	102	4.10	<i>bitterness</i>	1154	7.90	<i>despair</i>	337	6.06
<i>disgust</i>	43	6.08	<i>aggression</i>	937	6.52	<i>sadness</i>	277	5.54
<i>distress</i>	77	4.83	<i>jealousy</i>	890	7.29	<i>hate</i>	254	4.55
<i>disturbance</i>	70	5.15	<i>wrath</i>	701	6.26	<i>resentment</i>	230	6.12

Table 2: Indicators of frequency ( $F \leq 20$ ) and logDice-index ( $ID \leq 4.0$ ) of the lemmas objectifying the CPs of concepts ÄRGER, WUT, and ZORN (DWDS corpus data)

ÄRGER	F	ID	WUT	F	ID	ZORN	F	ID
<i>Wut</i> ‘anger’	208	7.5	<i>Verzweiflung</i> ‘despair’	900	9.5	<i>Wut</i> ‘anger’	196	7.8
<i>Enttäuschung</i> ‘disappointment’	176	6.8	<i>Enttäuschung</i> ‘disappointment’	860	8.6	<i>Trauer</i> ‘grief; sorrow’	160	7.8
<i>Frust</i> ‘frustration; irritation’	146	8.4	<i>Trauer</i> ‘grief; sorrow’	699	9.6	<i>Enttäuschung</i> ‘disappointment’	152	6.5
<i>Freude</i> ‘pleasure’	114	5.6	<i>Hass</i> ‘hate’	640	8.5	<i>Verzweiflung</i> ‘despair’	151	7.2

<i>Verdruss</i> 'anger; displeasure; resentment'	86	8.3	<i>Angst</i> 'fear; worry'	496	6.2	<i>Eifer</i> 'enthusiasm; zeal'	137	7.8
<i>Stress</i> 'stress'	66	6.9	<i>Empörung</i> 'indignation; outrage'	438	8.0	<i>Hass</i> 'hate'	134	6.5
<i>Zorn</i> 'rage'	55	6.2	<i>Zorn</i> 'rage'	326	8.1	<i>Empörung</i> 'indignation; outrage'	121	6.3
<i>Frustration</i> 'frustration'	45	7.4	<i>Frust</i> 'frustration; irritation'	255	8.5	<i>Verachtung</i> 'contempt'	73	7.2
<i>Aufregung</i> 'excitement'	31	4.9	<i>Frustration</i> 'frustration'	221	8.7	<i>Schmerz</i> 'pain'	71	5.8
<i>Verwirrung</i> 'confusion'	24	6.1	<i>Ärger</i> 'annoyance; anger; trouble'	215	6.7	<i>Ärger</i> 'annoyance; anger; trouble'	55	4.9

The data of the language corpora greatly confirm the GBNV online-service diagrams of frequency (Fig. 2 and Fig. 3) concerning the level of cultural relevance of the analysed ECs, since CPs representing ANGER and WUT have the highest indicators of frequency. They are located in the middle of “the petal” conveying to the greatest extent the senses of the basic properties of the emotion of anger. “Non-basic” ECs RAGE – ZORN and ANNOYANCE – ÄRGER show noticeably lower relevance. The data in the tables also demonstrate the semantic closeness of the denotations of ECs ANNOYANCE, ANGER, and RAGE as evidenced by the presence of “duplicating” sense in their conceptual structure (cf. ‘anger’ in ANNOYANCE and RAGE; ‘rage’ in ANGER). This closeness makes it possible to interchange these ECs designations in certain contexts. It is noteworthy that Germ. ECs ÄRGER, WUT, and ZORN are even closer in terms of content since each of these ECs contains not one “duplicating” basic sense but two (cf. ‘Wut’, ‘Zorn’ in ÄRGER; ‘Zorn’, ‘Ärger’ in WUT; ‘Wut’, ‘Ärger’ in ZORN).

As mentioned in the methodological part of this research, emotions are located on “the petals” of Plutchik’s model according to the criterion of intensity (arousal), that is why it is reasonable to verify the results of the above analysis on the basis of the indicator of arousal of those lemmas in our sample that objectify basic CPs of the compared ECs (Tables 3 and 4).

Table 3: Indicators of arousal (A.) of the most relevant emotion CPs of concepts ANNOYANCE, ANGER, and RAGE

	ANNOYANCE	A.	ANGER	A.	RAGE	A.
1	FRUSTRATION	5.61	FRUSTRATION	5.61	ANGER	7.63
2	INCONVENIENCE	4.49	SADNESS	4.13	FRUSTRATION	5.61
3	NUISANCE	4.49	RESENTMENT	6.83	FURY	8.23
4	ANGER	7.63	HATRED	6.66	GRIEF	4.78
5	IRRITATION	5.76	RAGE	8.17	HATRED	6.66
6	EMBARRASSMENT	5.87	GRIEF	4.78	JEALOUSY	6.36
7	CONFUSION	6.03	BITTERNESS	6.53	DESPAIR	5.68
8	DISGUST	5.42	AGGRESSION	5.83	SADNESS	4.13
9	DISTRESS	6.40	JEALOUSY	6.36	HATE	6.66
10	DISTURBANCE	5.80	WRATH	8.23	RESENTMENT	6.83
$\bar{x}$		<b>5.75</b>		<b>6.31</b>		<b>6.26</b>

Table 4: Indicators of arousal (A.) of the most relevant emotion CPs of concepts ÄRGER, WUT, and ZORN

	ÄRGER	A.	WUT	A.	ZORN	A.
1	WUT	7.63	VERZWEIFLUNG	5.72	WUT	7.63
2	ENTTÄUSCHUNG	4.92	ENTTÄUSCHUNG	4.92	TRAUER	4.81
3	FRUST	5.61	TRAUER	4.81	ENTTÄUSCHUNG	4.92
4	FREUDE	5.74	HASS	6.66	VERZWEIFLUNG	5.72
5	VERDRUSS	5.38	ANGST	7.12	EIFER	6.89
6	STRESS	6.12	EMPÖRUNG	6.83	HASS	6.66
7	ZORN	8.17	ZORN	8.17	EMPÖRUNG	6.83
8	FRUSTRATION	4.60	FRUST	5.61	VERACHTUNG	5.41
9	AUFREGUNG	6.03	FRUSTRATION	4.60	SCHMERZ	7.12
10	VERWIRRUNG	5.55	ÄRGER	6.49	ÄRGER	6.49
$\bar{x}$		<b>5.98</b>		<b>6.15</b>		<b>6.25</b>

The study of the indicators of arousal of basic emotion CPs representing ECs ANNOYANCE, ANGER, and RAGE has revealed that in the conceptual structure of EC ANNOYANCE one can clearly trace the tendency towards the predominance of senses conveying low arousal of anger expression, e.g.: NUISANCE, IRRITATION, DISTURBANCE. At the same time, six out of ten CPs representing EC ANGER show high arousal level: RESENTMENT, HATRED, RAGE, BITTERNESS, JEALOUSY, and WRATH. It indicates that ANGER can convey strong manifestations of the emotion of anger depending on the situation. Like ANGER, EC also has six intensive CPs, but the average arousal indicator is lower (cf. ANGER  $\bar{x}$  =6.31; RAGE  $\bar{x}$  =6.26). It creates the impression that RAGE is less intense than ANGER. However, firstly, comparing the arousal of the first three proximates of EC ANGER and RAGE

it is possible to notice that the latter concept conveys a more intense manifestation of anger compared to the former, and secondly, EC RAGE has a closer connection of anger with fury and hatred (FURY, HATRED, HATE), than ANGER.

The analysis of the arousal indicators of basic CPs representing Germ. ECs ÄRGER, WUT, and ZORN made it possible to determine that the least intense manifestation of anger is conveyed by EC ÄRGER, since its conceptual structure has only two high intense CPs – WUT and ZORN. Besides, the intensity of the latter is reduced by CPs ENTTÄUSCHUNG, FRUSTRATION, that have low indicators of arousal and positively FREUDE. This fact proves the above-mentioned opinion that it is Germ. ÄRGER that is the equivalent to Anglo-Am. EC ANNOYANCE. However, this equivalence is incomplete as ÄRGER demonstrates not only certain differences in content compared to ANNOYANCE (cf. the absence of the senses of disgust, embarrassment, inconvenience or the presence of the sense of joy in it), but it also contains a greater number of intense senses (cf. ANNOYANCE  $\bar{x}$  =5.75; ÄRGER  $\bar{x}$  =5.98). It has been also revealed that EC WUT significantly overlaps the semantic volume of both ÄRGER and ZORN. It is explained, on the one hand, by the “middle” (basic) status of this anger-like emotion, and on the other hand, by the relevance of this EC for the representatives of the German linguistic community. However, the comparison of arousal of the first three CPs of the concepts WUT and ZORN makes it possible to state that ZORN conveys a more intense manifestation of anger (cf. also: WUT  $\bar{x}$  =6.15; ZORN  $\bar{x}$  =6.25). At the same time, the semantic structure of EC WUT greatly coincides with Anglo-Am. ANGER, while ZORN coincides with RAGE. Thus, RAGE and ZORN are the most intense ECs (the centre of “the flower”), ANGER and WUT are less intense (the middle of “the petals”; basic emotions), and ANNOYANCE and ÄRGER are the least intense (the periphery of “the petals”).

#### 4. Conclusions

The article develops a three-stage methodology by which the equivalence of language designations of emotion concepts (ECs) ANNOYANCE, ANGER, and RAGE is clarified since there are discrepancies in the German translations of emotion model by R. Plutchik while reproducing these designations. The first stage of this methodology involved the analysis of the definitions of those lexemes that are most frequently used by translators for conveying the English variant of “anger” petal in Plutchik’s emotion model into German. This stage made it possible to “sift out” false cases of equivalence and to identify those German lexemes that most fully reflect the semantics of the English nouns *anger*, *annoyance*,

and *rage*. At the second stage of the tested methodology, the results of the definitional analysis were refined by determining cultural relevance of ECs ANNOYANCE, ANGER, and RAGE and their German equivalents. The identification of the cultural relevance of the latter relies on the frequency diagram of Google Books Ngram Viewer online service and the data of two study samples. It has been determined that the results of studying the indicators of sample units greatly coincide with the diagram data in GBNV online service concerning cultural relevance of ECs. Thus, the highest frequency indicators are characteristic of CPs representing ECs of Anglo-Am. ANGER and Germ. WUT. The latter are located in the middle of “the petal” conveying to the greatest extent the senses of the basic properties of the emotion of anger. Significantly lower relevance is demonstrated by “non-basic” ECs RAGE – ZORN and ANNOYANCE – ÄRGER. At the third stage, the results of the first and second stages were verified on the basis of arousal indicator of basic CPs contained in the conceptual structure of Anglo-Am. ECs ANNOYANCE, ANGER, and RAGE and Germ. ÄRGER, WUT, and ZORN. It has been found that RAGE and ZORN are the most intense ECs (the centre of “the flower”), ANGER and WUT are less intense (the middle of “the petals”; basic emotions) and ANNOYANCE and ÄRGER are the least intense (the periphery of “the petals”).

It means that the results obtained from the analysis of designation definitions of Anglo-Am. ECs ANNOYANCE, ANGER, and RAGE and their German equivalents are consistent with the results of these ECs study according to the criteria of relevance and arousal. In general, the conducted analysis can be a fairly objective basis for the conclusion that in connection with ECs ÄRGER, WUT, and ZORN the representatives of the German speaking culture have the associations similar to those that arise in the English speaking communities in connection with ECs ANNOYANCE, ANGER, and RAGE.

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**VERWENDUNG VON KORPUSDATEN IN DER ENGLISCH-DEUTSCH  
ÜBERSETZUNG: EINE FALLSTUDIE ZU KONZEPTEN FÜR WUTÄHNLICHE  
EMOTIONEN IN VERWANDTEN KULTUREN**

Der Artikel entwickelt eine dreistufige Methodik zur Klärung der Äquivalenz der sprachlichen Bezeichnungen der Emotionskonzepte (E-Konzepte) ANNOYANCE, ANGER, and RAGE, da es in den deutschen Übersetzungen des Emotionsmodells von R. Plutchik Diskrepanzen bei der Vermittlung dieser Bezeichnungen gibt. Die Erprobung der Methodik umfasste die folgenden Schritte: 1) Definitionsanalyse („Aussieben“ falscher Äquivalenzfälle und Identifizierung derjenigen Lexeme im Deutschen, die die Semantik der englischen Substantive *anger*, *annoyance* und *rage* wiedergeben); 2) Verfeinerung der Ergebnisse der Definitionsanalyse durch Bestimmung der kulturellen Relevanz der E-Konzepte ANNOYANCE, ANGER und RAGE und ihrer deutschen Äquivalente (Verarbeitung der Häufigkeitsdiagramme des Online-Dienstes Google Books Ngram Viewer und der Indikatoren der häufigsten Kollokate der Suchwörter *anger*, *annoyance*, *rage*, *Ärger*, *Wut* und *Zorn* sowie Ermittlung der Emotionsproximate dieser E-Konzepte); 3) Überprüfung der Ergebnisse des ersten und zweiten Schrittes anhand der Intensität der Proximate der untersuchten E-Konzepte. Auf diese Weise konnte festgestellt werden, dass hinsichtlich (a) des Inhalts, (b) der kulturellen Relevanz und (c) der Intensität eine gewisse Äquivalenz der E-Konzepte ANGER – WUT, RAGE – ZORN und ANNOYANCE – ÄRGER nachweisbar ist. Dies bedeutet, dass die E-Konzepte ÄRGER, WUT und ZORN bei Vertretern der deutschsprachigen Kultur ähnliche Assoziationen hervorrufen, wie sie im englischsprachigen Umfeld im Zusammenhang mit den E-Konzepten ANNOYANCE, ANGER und RAGE entstehen.

**Schlüsselwörter:** wutähnliches Emotionskonzept, Englisch, Deutsch, Übersetzung, Äquivalenz, Semantik, Sprachkorpus

## **ANAPHORA WITH DEMONSTRATIVE PRONOUN OBAJ/ OBA/ OBO IN SERBIAN**

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**Abstract:** The paper examines anaphoric use of the demonstrative pronoun *obaj/oba/obo* in Serbian. We compiled a sample from the electronic corpus *Serbian Web Corpus* to explore the co-reference established by the anaphoric use of the demonstrative and the contexts in which it is employed. Both inter-sentential and intra-sentential usages are taken into consideration of the phrases *obaj/oba/obo + ∅* and *obaj/oba/obo + noun*. We also observe the interpretation, additional associations and the semantic prosody of the anaphor in certain contexts. The analysis has indicated that the demonstrative is used anaphorically in narrative and informative texts, with negative semantic prosody in the former and positive prosody in the latter, and that the anaphor is not merely an instrument of the resolution of a non-salient antecedent.

**Keywords:** anaphora, demonstrative, pronoun, semantic prosody, Serbian

### **1. Introduction**

In this paper we present the study of anaphora in Serbian through the phrases '*obaj/oba/obo + ∅*' and '*obaj/oba/obo + noun*'. The study examines intra-sentential and inter-sentential demonstrative reference in a sample extracted from the electronic collection of texts *Serbian Web Corpus*. We have adopted a textual account of anaphora, by which anaphora involves a subsequent reference to a linguistic unit mentioned previously in the text. From the textual viewpoint, anaphora is considered to represent the relation of co-interpretation between the antecedent and the anaphor. In the analysis, we have also taken into consideration the unfolded and the unfolding text, co-textual cues, the

relations between the antecedent and the anaphor, and the semantics of the cohesive tie.

### 1.1 Anaphora in the literature

In the literature, both anaphora and cataphora are described as subclasses of endophoric reference, as they can be identified within the context of a sentence/text and not in the extralinguistic reality. The anaphor and the antecedent can occur within a single sentence, in which case it is intra-sentential anaphora, or they can occur in discourse, outside sentence boundaries (Huang 2005, 231). Halliday and Hasan (1976) study anaphora as an instrument of cohesion. Halliday and Hasan (1976, 4) suggest that one element presupposes the other, so the elements are the presupposing and the presupposed. Halliday and Hasan (1976, 145) categorize anaphora as the reference, which means that anaphora is presupposition at the semantic level, often used in textual presupposition to point backwards. Furthermore, they also designate anaphora as a particular form of co-interpretation (Halliday and Hasan 1976, 314).

Krahmer and Piwek (1997, 4–11) explain that the following properties of anaphora suggested in the literature should be considered its key aspects:

- a) The contextual dependency of interpreting anaphors, by which it is assumed that an expression is anaphoric if its interpretation depends on a contextually given item;
- b) The type of antecedent, which can be linguistic expressions, mental representations hearers employ when interpreting a discourse, and objects in the real world. Proper anaphora involves only expressions whose interpretation is a matter of linguistic interpretation;
- c) The location of the antecedent, which prototypically precedes the anaphor;
- d) The type of relation between anaphor and antecedent; it has been claimed that an anaphor and its antecedent are co-referential, and yet this does not seem a necessary property of anaphora.
- e) Structural constraints on the relation between anaphor and antecedent, which have been explored through the scoping domain of a quantifier; and
- f) The range of interpretations the anaphor allows for, which has been investigated usually within dynamic semantics and linked to sloppy identity in particular configurations, e.g. the way the sentence *Bill loves his wife, and so does John* can have a sloppy reading.

When we speak of the anaphoric co-reference, a prototypical example would consist of an anaphoric expression and a nominal antecedent that represents a single referent. However, the antecedent of an anaphoric expression can also be a wider discourse entity with propositional content. This type of anaphoric reference has different labels, some of which are 'discourse anaphora' (Dipper, Zeinsmeister 2009, 166), 'complex anaphora' (Marx et al. 2007, 259) and 'propositional anaphora' (Snider 2019, 319).

Cornish (2009, 2) holds that discourse anaphora refers to the result of processing and interpreting the surrounding co-text as dependent upon the appropriate context, which includes the speaker's presumed intentions. In all events, deictic and the anaphoric procedures operate, for which Cornish (2009, 6) gives the examples such as a) the co-text – i) textual deixis in A: *Our rhododendrons are in blossom right now.* B: *Oh really? How do you spell that, by the way?* and ii) anaphora in B: *...I know it's got three "d"'s* and b) the discourse already created or anticipated – i) discourse deixis: A: *Listen to this: a man went into a butcher's shop one day wanting to buy a whole sheep, and...* and ii) anaphora: A: *...Would you believe it?*

Within the cognitive approach to discourse anaphora, Huang (2000, 2) concludes that anaphora allows a speaker/writer to recall to the consciousness of a hearer/reader entities or concepts already introduced into a discourse. A cognitive dimension of anaphora is more prominent than its linguistic aspects because it raises the question of how hearers/readers understand a discourse and how it is represented in their minds (Huang 2000, 6). The latest cognitive account of anaphora is provided by Talmy (2020). He suggests that deixis and anaphora are conjoined in the same cognitive processing of discourse (Talmy, 2020). Namely, in their speech, speakers sometimes draw attention to some entities in their discourse, which are called targets. Targets are located in the speech-internal or the speech-external environment, they can be anaphoric or deictic. Talmy (2020) proposes that language engages the same cognitive system to identify both types of referents. When the speaker uses a specialized lexical form at the relevant point in the discourse and the hearer undertakes a specialized procedure, the form triggers the procedure in the hearer. Triggers usually belong to a closed set of lexical items, and in English they include *this/these, that/those, here, there, yonder, now, then, therefore, thus, so, such, yay, the*, personal pronouns, relative pronouns, and tense markers. The hearer's procedure has the following three stages: 1) the trigger directs the hearer to find certain elements of information to which he has access, which function as cues to the speaker's intended target; 2) the hearer

uses the cues in combination to narrow down to the target; and 3) the hearer relates the concept to the conceptual content of the sentence in accord with the trigger's syntactic relation to the sentence. The selection of a trigger, the three stages, and the cognitive processing of both speaker and hearer is targeting. Targeting is a linguistic/cognitive system in which deixis and anaphora represent a single phenomenon.

As already suggested, the notion of anaphora can be extended to include a variety of structures which could serve as antecedent. It can also be extended by shifting the understanding of anaphora from some type of a pronominal structure to different kinds of reiteration, even repetition, as noted in Piper et al. (2005). The authors identify the following types of anaphora: 1) the substitute is a pronominal type of word, as in *Купила је огромне јабуке. Толике јабуке никад раније нисам видела*; 2) the substitute is a synonym, e.g. *У даљини се видео воз. Композиција је била врло дуга*, a hypernym, e.g. *Добила је ружу. Цвет је дивно мирисао*, or hyponym, e.g. *Добила је цвет. Ружа је дивно мирисала*; and 3) the repetition of a word, e.g. *Упознала сам је са шефом. Шеф јој се допао* (Piper et al. 2005, 925).

### 1.2. Anaphoric demonstratives

Halliday and Hasan (1976, 64–65) claim that English demonstratives in anaphoric use require that in a noun phrase the noun be explicitly repeated. In this way demonstratives signal exact identity of specific reference, i.e. refer to the presupposed at the same degree of particularization. On the other hand, a demonstrative without a noun in English refers to a more general class to which the presupposed belongs. Quite the opposite, we have found that the latter is not the case in the Serbian sample we have examined. In Serbian, demonstrative words in general were thoroughly studied by Klikovac (2006, 2013).

Within textual references, Ariel (1990, 18–19) discovers that demonstratives belong to Intermediate Accessibility Markers, as they are usually found in intermediate distances from their antecedent, pronouns being High Accessibility Markers. The difference between pronouns and demonstratives is in their secondary environments, since pronouns prefer the same sentence, while demonstratives prefer the same paragraph.

Vieira et al. (2005) have investigated demonstrative noun phrases in Portuguese and French. Demonstrative noun phrases start with a demonstrative determiner and have a head noun, e.g. *cette région* and *esta região*. In the study, Vieira et al. (2005, 399) conclude that the interpretation of demonstrative noun phrases depends on the context, since for more than 80% of them the annotators could find textual

chunks as antecedents. Their findings also indicate that over 80% of demonstrative noun phrases have no additional modifier, which makes them a less informative kind of anaphora which must rely on textual context.

Demonstrative pronouns in English are one of linguistic markers of anaphora, besides pronouns and ellipses. Huang (2000) provides examples such as *"It is no great matter to me," Hotchkiss concluded, "for I had only the wages of my Portland engagement, and that was no great sum, I assure you"* for an anaphoric demonstrative, *A tall woman in a long rustling gown appeared. "Hotchkiss!" she said in a hushed but concerned voice* for an anaphoric pronoun and *"The Groundhog may be in the hole, but Steeler fans are not  $\emptyset$ ," Mayor Richard Caliguiri told the crowd...* for ellipsis.

## 2. The Research

In the research, we follow the interpretation of anaphora provided in Huddleston and Pullum (2002, 1455-1458), as it is consistent with the textual approach we have adopted. First, we are concerned with retrospective anaphora, which is the default case of anaphora, in which the anaphor follows the antecedent, either inter- or intra-sententially. Second, the interpretation of the anaphor is determined by the antecedent while the demonstrative pronoun serves as an anaphoric marker, which implies that the interpretation of the anaphor is obtained from the antecedent. Third, between antecedent that is a noun phrase and its anaphor there is a relation of co-reference.

The sample was extracted from the corpus of the modern Serbian language *Serbian Web Corpus (srWaC)*. The sample includes two types of examples, i.e. the ones in which *овај/ова/ово* is followed by a noun and the ones in which no noun occurs after this demonstrative. For the former, the selection criteria included a nominal token to the right, and for the latter a verbal token to the right. To determine whether the demonstrative pronoun is used anaphorically, we followed the criteria stipulated in Huddleston and Pullum (2002, 1455) that a) anaphora refers explicitly to a segment of the unfolded text and b) the referent is present in the text/co-text. In view of that, we excluded instances of the deictic use of the demonstrative in which it refers to an entity present in the situation of the utterance and relatively distant from the participants (Huddleston and Pullum 2002, 1455). Namely, in deictic use, the demonstrative is not necessarily linked to an antecedent in the previous discourse but to an element of the extralinguistic reality, as in *"А шта радиш па да би то био", одговори Андрија који поред њега сеђаше хладећи ноге у реци. Марко: "Испуњавам савесно своје*

грађанске дужности, ловим рибу и славим безазленом кичицом ову реку и њене врбаке.”

We shall also discuss semantic prosody in certain examples. Sinclair's (1996, 87–88) definition of semantic prosody stipulates that it is attitudinal, and can be located on the pragmatic side of the semantics/pragmatics continuum. It is also a key factor in the integration of an item with its surroundings and may be regarded one of its 'functions'.

### 2.1 Овај/ова/ово + Ø

In the sample, there is no instance of the phrase *ово* + Ø, with neuter gender demonstrative, to refer to animate entities. The neuter demonstrative is limited to references to a previous statement or fact, which we shall demonstrate below. The masculine and feminine demonstrative with zero noun refer exclusively to human antecedents. Generally speaking, in Serbian, a demonstrative in pronominal use is a marked phrase when referring to persons. Namely, it is viewed as a pejorative reference, because omitting a noun when referring to a person in question indicates that the speaker thinks the person is not to be dignified with a mention, either by a common or personal noun. The sample has showed that this type of phrase is used predominantly in narration, specifically in storytelling, and the anaphor is linked mainly to the one previously mentioned by their personal name. This kind of reference is depreciatory to an extent. The usage of *овај/ова* + Ø in the examples examined serves the primary function of disambiguation: it consistently refers to the last of multiple possible antecedents in previous discourse. It is clear that this kind of reference does not imply an intention of the speaker to be depreciative, and it is commonly not understood that way. However, native Serbian speakers would most likely notice a slight stylistic displacement as if this kind of reference, though serving the purpose of disambiguation better than the anaphoric personal pronoun, could be labelled as somewhat informal, if not disrespectful. We can see the hints of pejorative meaning even in the examples when that is not the intention, as in (1) or (2). The awareness of that meaning could have influenced the structuring of the sentence, as the antecedent of this anaphoric expression is never the more respected individual out of two in the examples that we examined in this research. We can see that in the following instances, in which it is noted that a) the antecedent is a less significant figure than some other figure, as in (1), or b) that the antecedent's position is outweighed by the achievement of another, as in (2):

(1) *Прво се јавља Роџер Бекон, љубитељ природе, филозоф који је све подредио експерименталном истраживању и због тога бачен на маргинама јер је био испред свог времена (што му црква није опростила и осудила га је на неку врсту манастирске интернације). Значајнији од њега јесте Јоханес Дунс Скотус, који се у првој тачки разликовао од Томе Аквинског: док је овај полазио од Аристотеловог интелектуализма, Скотус се враћа Платону и Августиновом стављању воље испред разума.*

(2) *Конечно, Лист је имао времена да компоује. Током наредних 12 година прерадио је или написао она оркестарска и хорска дела по којима је остао упамћен као композитор. Својим напорима, успео је да издејствује извођење Вагнерове опере Лоенгрин 1850, док је овај био у егзилу у Швајцарској.*

Belittlement is also noted in a context in which achievements other than the antecedent's are implied by the knowledge of the world. The outcome of the invention of aspirin is well-known so the rejection on the part of the antecedent in (3) is also scorned by avoiding their name:

(3) *Ајхенгрун долази код Дресера са аспирином почетком 1898, али овај одбија, са образложењем да може имати неповољан учинак за срце...*

From the examples with animate antecedents we can conclude that the demonstrative pronoun is used to refer to the latter referent out of the two in the previous discourse, i.e. the non-subject and non-topical one, which is often regarded as the less salient sentence member from the syntactic point of view although it could also be regarded as more salient, because it is closer linearly. The notion of salience still remains open, complex, and often contradictory (Molnar, Vinckel-Roisin 2019, 308). We may also consider the following examples:

(4) *Јасенко и Зоран су осумњичени да су, у Зорановој кући на Палићу коју овај користи као радионицу, преуредили две просторије за узгој марихуане у затвореном простору.*

(5) *Својевремено је, шездесетих година прошлог века, једно не баш мало шумадијско село добило амбуланту и лекара опште медицине. Али овоме ускоро почеше да додијавају зубобољни. Будили би га у сред ноћи, а дању пресретали кукајући.*

(6) *Фридрих се готово поскакујући приближавао Јанку, дотакавши најзад и шешир у знак поздрава. Он пружи руку Јанку пожелевши му добро вече, али овај остаде непомичан, као да није ни приметио пружену руку, и рече пригушено, устрептаним гласом, тако да га је Павле једва чуо: „Дајте писмо“.*

(7) *Мајка црква „православне митрополије у Црној Гори“ била је Пећка Патријаршија, али она одавно физички не егзистира.*

*Могла се аутокефалија тражити и од Цариградске патријаршије, али ову Црногорска митрополија никада није признала за мајку цркву.*

Judging by the state of affairs described in (4) – (7), which are essentially negative, we can note that the demonstrative in pronominal use may be associated with negative contexts. The negative set of circumstances is clearly indicated in the co-text as well. This does not mean that the use of a demonstrative is motivated by the desire to diminish someone or be offensive, as it is clearly motivated primarily by the need for disambiguation, at least in most of the cases listed above. However, a slight change of the tone and a disregarding attitude toward the referent can be noted. This is especially clear in the cases such as (5), in which there is no need for disambiguation so there is basically no linguistically motivated need for the demonstrative. In cases such as (8), the negative overtone is not expected. As we can see, this does not make the use of the demonstrative unacceptable, as it still serves its clarifying purpose, but it makes this sentence stylistically displaced and less formal to an extent.

*(8) Валенти је 1965. године био специјални саветник председнику Линдону Џонсону, када је овај најавио да ће се основати Амерички филмски институт.*

As mentioned above, the demonstrative pronoun of neuter gender is not used for animate entities. It is used with an antecedent which is either an idea, a sentence or a segment of it. It can be noted, however, that the antecedent in this case is usually implied. This type of anaphora represents what Halliday and Hasan (1976, 66) describe as 'reference to fact', which includes referring to extended text through demonstratives. This type of anaphora since reiterates the significance or impact of what is referred to by the antecedent (underlined), so it came with positive semantic prosody in most examples examined (which is not necessarily the case, since the semantically negative contexts could still be referred to as impactful and significant), as in the following instances:

*(9) Подршка Београдској иницијативи је признање нашој метеоролошкој служби, јер Србија има дугу традицију у истраживању климе. Овим је указана и велика част професору, Милутину Миланковићу, једном од најпознатијих климатолога свих времена, који је живео и радио у Београду.*

*(10) Европски ђаци и студенти слободни су да уче у било којој земљи чланице. Овим се додатно унапређују културна сарадња и међусобно познавање различитих култура.*

(11) Један од најбољих начина подршке учењу и размишљању у узрасту основне школе је кроз узимање активног учешћа одраслих. Ово има позитивне ефекте на ментално здравље деце.

(12) Овде је још увек претежно рурални начин живота. Ово не мора бити у старту лоше јер се заговара социјална равнотежа, идеје заједница, солидарност, јер се поштује природа.

## 2.2 Овај/ова/ово + noun

The sample has suggested that this type of anaphora is used to establish cohesion between sentences.

One section of the sample includes sentences in which the anaphoric noun is identical to the antecedent. The repetition of the noun is employed in descriptive and informative texts as in the following examples:

(13) Уз то, постоје посебне зелене иницијативе за подизање свести о заштити животне средине међу запосленима, попут серије едукативних текстова на интранет порталу. Ови текстови обрађују примере унапређења енергетске ефикасности код клијената које је банка финансирала.

(14) Наиме, интернет омогућује анонимност, коју је немогуће постићи у било којој другој комуникацији. Ова анонимност ослобађа и подстиче људе на интимније комуницирање од уобичајеног.

(15) Иманентни део духовно-културног препорода лужичкосрпског народа чини књижевност чији се развој може у пуној мери ставити у прву половину 19. века. Ова књижевност имала је тада важан удео при образовању прогресивних идеја социјалног и политичког покрета.

(16) Као у Борхесовом опису хиперборејских ждралова: птице које лете уназад, јер им није важно куда иду, него одакле долазе. Ови ждралови, ако је опис веродостојан, нису природна бића, као све птице, већ много више људска бића.

(17) Као да сам чекао прилику да сам Бог аранжира наш сусрет и тако увећа моју радост. Ова прилика се убрзо појавила, мада ни тада нисам могао да се лично представим оцу Јустину.

(18) Иманентни део духовно-културног препорода лужичкосрпског народа чини књижевност чији се развој може у пуној мери ставити у прву половину 19. века. Ова књижевност имала је тада важан удео при образовању прогресивних идеја социјалног и политичког покрета.

(19) Кнез Милан га указом поставља за команданта свих добровољачких дивизија Ибарске армије. Ова армија је тада у

свом саставу имала око 3.000 војника, 4 лака топа, 24 кавалериста, који су сачињавали неку врсту гарде и двадесетак пионира.

(20) *На источном зиду, уз улаз у цркву св. Апостола, постављен је мермерни „Престо светог Саве“. На овом престолу седели су српски архиепископи и патријарси када су председавали црквеним скуповима који су се одржавали у пећкој припрати .*

The anaphors in instances (13) – (20) are linked to antecedents which are non-salient elements of previous sentences. This means that through anaphora a non-topical antecedent is transformed into the topic of the next sentence, which is expected in descriptive and informative texts as they strive towards richness in information and description.

The sample has demonstrated that anaphoric links may be created through hyponymy, particularly in informative texts. This could be used in order to refer to multiple referents by a single phrase, which is an example of linguistic economy; however, since hyponymy is used to refer to a single referent in many cases, we could conclude that this use is a support to the factual basis of informative texts since hyponymy offers data on the class of the entity referred to by the antecedent, as in the following:

(21) *Драцена потиче из тропских и суптропских области Азије, Африке и Јужне Америке. **Ова лепа и радо коришћена собна биљка** може бити различитог изгледа у односу на лишће које код свих расте из розете.*

(22) *Мермер и гранит су најбољи материјали које данас можете изабрати за радну кухињску плочу. Ови природни материјали су готово савршени за употребу у просторима где је повишена хигијена неопходна и наглашена употреба воде.*

(23) *Аксолотл је једна од најспектакуларнијих врста саламандера који се могу наћи на америчком пет тржишту. Због свог порекла овај саламандер је често (што је врло одговарајуће) познат и као мексички аксолотл.*

(24) *Афеландра расте у дивљем стању у Мексику, Колумбу и Бразилу. **Ова врло интересантна и декоративна биљка** има око 50 варијетета.*

(25) *Мада је предавао архитектуру, М. Валтровић је путовао по Србији као изасланик Српског ученог друштва ради прецртавања, описивања и снимања српских уметничких споменика и старина по манастирима. Његов успешан рад на овом послу омогућио је да 1881. године буде изабран за*

професора археологије на Великој школи и за чувара Народног музеја у Београду.

Within this segment of the sample we have found cases in which it is rather difficult to identify the antecedent to which the anaphor is linked precisely. The following examples can be considered:

(26) *Ученица осмог разреда Мина Милошевић првак је Републике Србије са освојеним максималним бројем поена. За овај резултат заслужна је и професорка Драгица Јовановић.*

(27) *На крају би га пољубио у чело и тиме би аудијенција била завршена. Ова Кнежева суздржаност ни у ком случају није била знак небриге или недостатка осећања.*

(28) *Видари видарину нису тражили, давала им се драговољно. За лек се, зар не, не каже хвала. Ова врста традиције долазила је у сукоб с праксом великог света, у коме је лекар занатлија.*

(29) *Једино је војска представљала снагу која се често изражавала у војничким бунама и устанцима. Иако није потпуно отклонило ову опасност, напредовање појма о законитом праву на престо учинило ју је мање честом и мање погибелном по династију.*

(30) *Са друге стране, то је недостатак личног искуства у стварима о којима се просуђује, а о сврсисходности интернета ваљда највише расправљају они који нису никада сели за тај чаробни сурферски пулт. Они који су кренули у ову авантуру немају времена да се баве расправом, већ се труде да што више заграбе из те земље чуда и слобода.*

In instances (26) – (30) we underlined potential antecedents, which are actually implications on the basis of which the anaphor may be interpreted. These examples illustrate antecedents and anaphors which are not co-referential, as described in Huddleston and Pullum (2002, 1458). Namely, this relation is common when the antecedent is not a referring expression so that it is not possible to identify a constituent of the preceding text which expresses the content of the anaphor precisely. We may also infer that the anaphors provide a label for the states of affairs and actions described in previous sentences which cannot be reduced to a single noun phrase antecedent. We believe that these cases may be more accurately reconsidered through a cognitive approach to anaphora, which would be out of scope of this study.

In the sample, there are also examples in which anaphors and antecedents are clearly identifiable and yet it is rather difficult to describe the lexical relation they form, beyond the anaphoric link. This is evident in the following:

(31) Бројност и разноврсност животињских врста такође карактерише Национални парк Ђердап. Карактеристичне животињске врсте за овај крај су јелен, срна, дивља свиња, зец, лисица, итд.

(32) Широм Европе сваке године *Europa Cantat* организује недеље певања на којима се промовише и унапређује вокална музика. Ови сусрети приближавају хорско певање Европљанима, али и Европљане међусобно.

(33) Ту, у том распону између позорнице и дворане, у тој комуникацији између говорења и слушања, кретања и посматрања, у том преплитању глумчевог израза и гледаочевог утиска - ту лежи функција и суштина композиције. Под овом речју, која можда и није најсрећније изабрана, не подразумевам само нешто што је чисто техничко.

To be precise, the context of the situation and the knowledge of the world can be here considered to provide the foundation for the interpretation of anaphora.

### 3. Discussion

We have analyzed anaphorically used demonstrative *овај/ова/ово* in Serbian. The sample contained examples in which the demonstrative is used to replace a section of previous text. When anaphora is considered an instrument of cohesion, the link between the antecedent and the anaphor is semantic as their interpretations are interdependent. This is apparent in cases in which a) there is a so called extended reference to fact, b) the antecedent and the anaphor are related through hyponymy or c) the co-text facilitates the construal of the anaphoric link.

Cohesion by the anaphoric demonstrative is occasionally paired with positive or negative evaluation, which leads us to associate it with semantic prosody. While semantic evaluation could not be considered the main goal of the use of demonstratives, it sometimes accompanies the demonstratives analyzed above, making certain sentences seem stylistically inadequate. Semantic prosody has not been discussed with function words or syntactic phrases and it may seem incongruous with them. However, if we consider semantic prosody to take effect when "the usage of a word gives an impression of an attitudinal or pragmatic meaning" (Sinclair 1999), it may be reasonable to discuss it in relation to the anaphoric demonstrative *овај/ова/ово*. The sample has indicated that the phrase *овај/ова/ово* +  $\emptyset$  is attitudinal when a) the antecedent which is a personal noun is linked to the anaphor which is a function word plus an empty slot for either the name or the corresponding noun

and b) the anaphor is the topic of the sentence with the context that allows for the possibility of negative associations with the co-referent of the anaphor.

The results also suggest that cohesion through anaphora does not involve a simple replacement of the antecedent. In the case of hyponymy, for example, cohesion in discourse is established through the relation of hierarchy or taxonomy since what is referred to by the anaphor is the superordinate class the antecedent belongs to. It does not even necessarily mean that antecedents and their anaphor have the same focus. The focus may shift, and it may be the case that the antecedent is not in focus while the anaphor regains the focus in the unfolding discourse.

#### 4. Concluding remarks

In this paper, we presented our exploration of anaphoric referencing in Serbian with the demonstrative pronoun *ovaj/ova/ovo*, used pronominally or in a noun phrase. When consulting the literature for this study, we noted that it was suggested that the noun phrase with a proximal demonstrative typically refers to a less salient element of previous discourse (Poesio, Modjeska 2005, Fossard et al. 2012). Judging by the sample analyzed, this is not necessarily the case; furthermore, anaphor is not automatically the instrument for assigning prominence to the antecedent. Some of the examples, such as those which involve hyponymy, have demonstrated that an anaphoric noun phrase with a demonstrative does not mean the antecedent is less salient than the anaphor. Quite the contrary, they may be of equal status when cohesion between sentences is being established. The only clear cases of a less salient antecedent in the sample concern the repetition of the noun.

The literature has also suggested that anaphor as instrument of cohesion may be a form of reduction or a way to avoid redundancy by repeating (cf. Schmolz 2015). We noted that this is not the case in the sample explored. If we consider cohesion to be a semantic tie between the antecedent and its anaphor, then the anaphor appears also a) to convey attitude through semantic prosody, b) to indicate a class of what is referred to by the antecedent, c) in referring to facts, to indicate how beneficial in achieving a certain state of affairs the antecedent can be, or d) to shift the focus of attention to a non-thematic element from the previous sentence.

The examples above demonstrate that the antecedent of the phrase *ovaj/ova/ovo* + noun is not necessarily also a noun phrase, as in the case of reference to fact. We are not concerned here with the form

of antecedents, but will list the types of antecedents we have also come across in the sample to be explored further:

- a dependent clause:

(34) *Постоји чак претпоставка - заснована баш на овим речима - да је можда Константин писао своје читаво дело на пољском али грчким писменима. Још је Јагић изразио сумњу у ову могућност, као што смо већ показали;*

- a question:

(35) *Задивљен пред собом, човек треба да крене путем на којем ће га задивити свет. Где је тачка прелаза? Могу ли се наћи разлози за то? Љубав, када је има, ту помаже и разрешава ову тајну;*

- a complex sentence:

(36) *Она је створила нешто још значајније, мајсторски распоред украса, који је начинио од живописа поучно средство у служби цркве, и нову иконографију, веома разноврсну и богату, која стоји у вези са препорођајем извршеним у IX веку. Помоћу свега овога византијска уметност је моћно вршила свој утицај у целом свету, у Бугарској као и у Русији, у Јерменској као и у јужној Италији;*

- more than one sentence from previous discourse, particularly in narration:

(37) *Он стаде на страну Александра III (1161 г.), стави му у изглед обнављање црквене уније и понада се да ће га он, у замену, крунисати за западног цара. У исто време његови дипломатски чиновници су настојали да Барбароси створе непријатеље подржавајући ломбардску лигу и дајући новчану помоћ Анкони, Ђенови, Пизи, Млецима. С друге стране, док је правио смутње у Италији и Немачкој, Манојло је желео да ступи и у непосредан додир с немачким царем. Од ових заплетених и неостварљивих намера ништа стварнога није произишло.*

- a set of prepositional phrases:

(38) *Али је тачно да ме много више интересује збивање у самом средишту позоришта, у глумцу, у језику, покрету ... Ко једном продре у занимљивост ових светова - а сваки елемент театра је свет за себе - тај тешко потом излази опет напоље.*

We may revisit Krahmer and Piwek's (1997, 4–11) account of anaphora features, cited above. First, there are examples in the sample which illustrate that the interpretation of anaphors may depend on the context, especially in cases in which there is extended reference to fact or those in which the antecedent is hard to identify, so it is 'contextually given'. Second, we are concerned with anaphora proper, whose

interpretation is a matter of linguistic interpretation, which is available in all cases from the co-text, the unfolded text, or any kind of semantic relation between the referring expressions, as with cohesion in general. Moreover, the instances in which the antecedent is hard to isolate, verify the idea proposed in Halliday and Hasan (1976, 304) that reference is a semantic relation which rests upon the meanings of particular instances. In addition, we also believe that although sometimes the antecedent may be difficult to isolate, it is still easy to identify, which may be explored further from the cognitive point of view. Third, it is indeed the case that co-reference is not a necessary property of anaphora, as demonstrated with anaphors which refer to fact.

We assume that the results of this paper suggest that the proposition from the literature that the primary function of anaphoric demonstrative is to refer to a less prominent element of unfolded discourse is too general. Also, we cannot confirm that we observed any vagueness with antecedents that would require usage of demonstratives, as opposed to the personal pronouns, for example, even in cases in which the antecedents cannot be reduced to a noun phrase. The opacity, however, may be additionally tested from the cognitive viewpoint. Similarly, the reasons for using this demonstrative anaphorically do not have to relate to the change in sentence topic, and the motivation may lie in the attitudinal reference or in the need to provide additional information on the antecedent, which may require further exploration of semantic prosody with syntactic structures, theme and rheme with anaphor, abstractions and ideas as antecedents, etc.

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**ZUSAMMENFASSUNG: ANAPHER MIT DEMONSTRATIVPRONOMEN  
OBAJ/OBA/OBO IN SERBISCH**

Der Artikel untersucht die anaphorische Verwendung des Demonstrativpronomens *obaj/oba/obo* im serbischen Diskurs. Wir haben eine Auswahl aus dem elektronischen Korpus *Serbian Web Corpus* zusammengestellt, um die Koreferenz, die durch die anaphorische Verwendung des Demonstrativs entsteht, und die Kontexte, in denen es verwendet wird, zu untersuchen. Der Gebrauch von Anapher bei den Phrasen *obaj/oba/obo* +  $\emptyset$  und *obaj/oba/obo* + Substantiv werden sowohl zwischen den Sätzen und im einem Satz berücksichtigt. Wir betrachten auch die Interpretation, zusätzliche Assoziationen und die semantische Prosodie der Anapher in bestimmten Kontexten. Die Analyse hat gezeigt, dass das Demonstrativum in narrativen und informativen Texten anaphorisch verwendet wird, mit negativer semantischer Prosodie im ersteren und positiver Prosodie im letzteren, und dass die Anapher nicht nur ein Instrument zur Auflösung eines nicht hervorstechenden Bezugswort ist.

**Schlagwörter:** Anapher, demonstrativ, Pronomen, semantische Prosodie, serbisch



**AN ANALYTICAL PERSPECTIVE ON MONOSEMANTIC WORDS IN THE EXPLANATORY DICTIONARY OF THE ALBANIAN LANGUAGE**

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**Abstract:** Data on monosemism in language are less evident and analyzed compared to polysemy. Although studies in the field of semantics and lexicology are numerous, they are inclined towards the study of polysemy. We will try to make a modest contribution to the study of linguistic aspects related to the phenomenon of monosemy. This paper tries to reflect statistical, analytical and comparative data on monosemantic words in the Albanian language, arguing which of the parts of speech shows more monosemanticism and why the phenomenon of monosemism is more highly developed and is more frequent in the lexical categories.

The corpus of words from the "Dictionary of the Albanian language" 2006 (AAS/ILL)<sup>1</sup> was taken into consideration to collect the material used for the identification of monosemantic words. Finally, the identified words are classified according to the word classes they belong to, in order to process the statistical data. The collection of material has been careful and exhaustive, in order to argue about the quantity of unambiguous words in the explanatory dictionary of the Albanian language.

The distribution and frequency of monosemantic words in the explanatory dictionary of the Albanian language, according to their respective word classes, as well as a comparative analysis of the quantitative values of monosemantic words, will provide a clear perspective on the significance of monosemy in the dictionary and the impact this phenomenon has on the language.

**Keywords:** monosemy, dictionary, monosemantic words, quantitative value, word classes

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## 1. Introduction

There have been numerous perspectives on the monosemantic aspect of words. Ruhl (1989) acknowledges the presence of monosemy in many polysemantic words, thereby adopting a viewpoint that challenges the notion of polysemy. Nunberg (1979) aligns with the monosemic perspective, observing the role of pragmatic principles in identifying the meanings of a word, as he argues that the semantic separation of a word's meanings should not be universally applied to every case under examination. Monosemantic words can be considered those words that have only one meaning or one definition in the dictionary (Bejoint 1988, p. 14). Casadei (2023) supports the idea that there is a connection between a word's frequency of use and its polysemy. In her study of high-frequency Italian vocabulary (Casadei 2014), she confirmed that such vocabulary is predominantly polysemous, both in terms of the number of polysemous words and the number of meanings these words develop. In fact, polysemous words account for 89% of the total vocabulary. However, the practical difficulties in distinguishing the different meanings of a word or presenting it with a single meaning remain a matter of considerable debate. In explanatory dictionaries we are acquainted in advance with the principles or criteria that have been used for the classification and division of meanings, the organization of the content structure of words, the explanation or definition of meanings and each word separately, stylistic features and grammatical features, etc. These elements help us to study and analyze internally the semantic aspect of each lexical unit.

Theoretical treatments in the field of monosemy are generally related to the aspect of semantic analysis of meanings within the content structure of speech. Thus, hypotheses and question marks are raised if the meanings of a word are semantically related to form a polysemy, or are simply mergers within a structure, when in fact, the word should be considered monosemantic. A more in-depth treatment in this direction was developed by Ruhl, who analyzes the monosemic nature of words by focusing on the concept of the monosemic doubt. He examined various types of words, such as verbs, nouns, and multi-word expressions and argued that the meaning of a word in a given context corresponds to its inherent meaning (De Chicchis 1992, p. 170). However, statistical data on the value of monosemy in explanatory dictionaries remains an unexplored path, which this article aims to address.

This study aims to provide a statistical overview of the lexicographic check over monosemantic words represented in the explanatory dictionary of Albanian language and to examine which lexical and

semantic elements influence development of either polysemy or monosemy. Thus far, research offering statistical data on monosemantic words has been relatively limited. Consequently, the comparative analysis was performed only within the data of this paper, without having the opportunity to compare them with data from other studies. What is worth considering is the theoretical interpretation of the presence of monosemism in the language and the effect that monosemantic words have. Although few linguists have attempted to assess the importance of the quantitative value of monosemy in language, due to the challenges encountered in identifying monosemantic words as a result of the indeterminacy in the definition of monosemy (Bejoint 1988, p. 1), we will present real data on the number of monosemantic words found in the explanatory dictionary of the Albanian language. The difficulty in determining whether words are polysemous or monosemantic may seem theoretically impossible, given that there is no criterion that allows us to definitively determine whether a word has multiple meanings or not (Casadei 2023, p. 3).

Polysemantic words are in a higher number than monosemantic words. In each language, their number is comparatively higher, in response to linguistic economics, so that the memory of speakers is not burdened with the addition of different words, but with different meanings of a word. For this reason, the language entrusts the addition of words to its lexicon, mainly enriching the semantic structure of the word with new meanings, as opposed to borrowings or word formation, so newly formed words. The appearance of new meanings of a word and the development of polysemantic meaning structures are also realized by other causes. The speaker's intuition plays an important role regarding the meaning that appears as the first association when the linguistic unit is mentioned, which is evaluated as a prototype (basic meaning) and it is understood that that meaning is even more prominent from the cognitive side (Negrievska 2019). In this case, the semantic network of the linguistic unit is a consequence of its use in time, that is, this criterion takes into account the fact that language is a developing organism, and "polysemy is a synchronic reflection of diachronic" (Negrievska 2019).

Discussions of how widespread monosemia is from a quantitative point of view, have been the subject of various scientific researches and analyzes. If we want to know how many monosemantic words there are, we can find the answer in the statistical analysis of the words of the explanatory dictionary of the Albanian language. But, if we are interested in what effect monosemia has on a language, then it would be appropriate to analyze the phenomenon of monosemia. In

every explanatory dictionary we have unambiguous and ambiguous words. Given the increasing number of monosemantic words in the dictionary, the question that arises is whether we should consider monosemism as a linguistic phenomenon as well as polysemy? Next we will note with statistical data what is the value of the classification of unambiguous words and we will try to analyze and compare the lexical categories that show the most monosemy.

The main reference for this work is "Dictionary of the Albanian language", which was published in 2006, with a time difference of 26 years from the previous explanatory dictionary published in 1980. It is a lexicographical work, which preserves the main values of previous dictionaries and contains about 48,000 words, 43,000 units as basic words and 45,000 units as words constructed according to the abbreviations used. We will carry out the study on monosemantic words, taking into account their quantity in relation to the total of words that this dictionary presents in its fund. It is thought that the number of polysemantic words in the Albanian language in the "Dictionary of contemporary Albanian language" 1980 reaches the value of 80%, while the number of monosemantic words in the value of 20% (Thomai 2009, p. 77). Through the data collected from the "Dictionary of the Albanian language" 2006, we notice that the value of monosemy is increasing, marking not only a quantitative increase of the lexicon, but of lexical units as well which have met the needs of the Albanian language.

The development of the lexicon, which is conditioned by a number of extralinguistic factors, has made possible the entrance of a considerable number of words from the field of terminology, as Albanian language has faced a momentum of borrowing, after the social changes in this country. Although they occupy a sufficient place in the number of monosemantic words, the aim is not to consider words from specific areas of use of terminology, but to study the frequency of monosemy in the explanatory dictionary and to analyze the effect that the phenomenon has of monosemia in language.

## **2. Methods**

The methods used in this paper are related to the collection of quantitative and qualitative data on the number of monosemantic words and their semantic analysis. The lexical fund of Albanian language was taken into consideration and as a source for the collection of dictionary served "Dictionary of the Albanian language" 2006. The material was collected manually (because the dictionary is not digitized, therefore it could not be worked on the basis of a computer program), to have a greater accuracy in quantitative data. The purpose of this

working methodology is related not only to extract the accurate statistical data, but also to create a general idea about the distribution of monosemy in the language, the parts of speech that are presented as monosemic and the value of monosemy in the explanatory dictionary. Explanatory dictionaries in every language are a reflection of linguistic reality, which is constantly evolving and is unstoppable. As dictionaries are a source of material for numerous studies in the field of lexicology and semantics they often fall prey to various criticisms and rebukes. But we must emphasize that, in this paper the explanatory dictionary is not taken as an object of study to place it at the center of a critical study, on the contrary, it has served as a source material for collecting monosemantic words, in order to observe the value and distribution of monosemia, as valuable data for the study.

In the dictionary are identified all the words that are monosemantic and further continued with the classification of words according to the word classes to which they belong. The collection of material has been exhaustive and meticulous, working with every letter of the dictionary to identify unambiguous words and to classify them according to classes. The collected statistical data have served to realize the theoretical interpretation, focusing on the analytical and comparative aspect of monosemantic words.

### **3. Results**

Determining the extent of polysemy or monosemy in explanatory dictionaries presents certain challenges due to the division and categorization of lexical units based on the meanings they carry within their lexical structure. Casadei (2014) argues that the difficulty lies in a practical issue namely, the fact that for no language do we possess a complete lexical repertoire that definitively indicates how many of the existing lexemes are monosemous and how many are polysemous, as well as how many meanings each lexeme has. In light of this difficulty, it would be relevant to investigate how many words in the explanatory dictionary are represented as polysemous and how many as monosemous. Words are grouped according to word classes, which are of particular interest for the study of their lexical, grammatical, and semantic features. In this paper, we will examine the representational value of each word class in the explanatory dictionary as monosemous, which will help us understand which of them are most productive in terms of monosemy.

In a dictionary, nouns constitute the largest class of words within the lexical fund that is reflected (Howard 2002, p. 14). From the research of monosemantic words in the Albanian language dictionary it results

that the largest number of words that represent unambiguity are nouns. They make up 15.3 % of all monosemantic words in the explanatory dictionary of Albanian (7314 nouns in total), in relation to the 48,000 words that are reflected. Although most of the monosemantic nouns belong to the lexicon of the field of terminology, this category shows interest to interpret the reason why names display more monosemanticism than any other lexical category. Bejoint (1988, p. 19) supports such an opinion by emphasizing that: "Most of the words that "pass" all the direct tests for non-ambiguity (i.e. that show no antagonism of interpretations) are technical or scientific words with minimal extension and maximal intension". These nouns, which also have the relevant stylistic notes from the field of terminology used, are distinguished for their strict and concise character (Haxhillazi 1972, p. 561-570). Such a rigid and strict nature of the word does not allow the lexical unit to expand its content structure, to develop new meanings and to serve as a new productive theme, because it is not allowed by the semantic nature of the word. Consequently, monosemy is natural in this category of words: (for example: *agrochemistry, angina, autocephaly, bronchi, censorship, bug, divorce, equinox, fauna, gasoline, gypsum, premiere, index, boiler, identity card, parsley, marketing, negotiation, obligation, adduction, circuit, radar, saga, charlatanism, theoretical, fragility, water polo, puberty, ume* (japanese apricot, etc.)). It has been argued that in most cases of user space, the noun cannot be used in isolation, but needs explanatory support in the linguistic or situational context (Moon 1985, p. 180).

In these cases, the lexical meaning of the word must be related to the real content in order to enable the generation of new meanings. This structural development may also have nouns from the field of terminology, which in the future become a source of polysemantism, crossing the boundaries of their use on a larger scale. In this group, borrowed nouns make up the bulk, which require enough time to be assimilated into the language semantically. So, Albanian language has borrowed more words from the field of terminology, as a requirement to meet its needs. This may be the argument why nouns have so much access to monosemanticism. The abstract-concrete ratio of borrowed words remains to be seen. If the words are mostly of an abstract character, it means that they will be units in support of the addition of polysemy, because they tend to develop derived meanings, since their meaning marks a departure of the notion from reality. If words are mostly of a concrete character, then they tend to develop monosemanticism, since meaning signifies only one reality.

Another group within monosemantic nouns are those belonging to obsolete words, which include archaisms, barbarisms, and provincialisms. It is also normal and understandable that outdated words do not have the ability to generate new meanings, due to little use by speakers. Being used as words in small regions, as well as due to their replacement with the responsible in the mother tongue due to the age of the word, they can not be developed in the content structure, so they tend to maintain or gain understanding, for example: *anësujië* (bank-island), *bakërpunues* (coppersmith), *duhanxhi* (smoker), *dovlet* (wealth, prosperity), *dhogë* (plank), *erz* (honor), *kërnicka* (small cylinder meatballs), *komit* (rebel fighter), *kumbara* (money box), *mason* (mason), *masoneri* (masonry), *matriarkat* (matriarchy), etc. Generally, it turns out that this category of nouns is derived as monosemantic due to the loss of semantic variants. So words which have been polysemantic, with rich content structure and with the loss of semantic variants over time, are presented as unambiguous. The reason for the elimination of semantic variants is argued by Palmer (1976, p. 48), who states that: "Society decides for itself whether each element of the word will stay or not".

As one of the categories that also shows a considerable monosemanticism is the adjective. It constitutes about 4.3 % of the totality of monosemantic words in the explanatory dictionary, marking 2100 of them, for example: *ballkanas* (balkans), *bojëvjollcë* (purple), *bojëportokall* (orange), *decentralizues* (decentralized), *demoralizues* (depressing), *i nënshkruar* (signed), *i florinjhtë* (golden), *grimcor* (particle), *gjethevogël* (small-leaved), *i hidhët* (bitter), *i kërkueshëm* (searchable), *kokëzbrazët* (empty-headed), *i kritikueshëm* (critical), *matematikor* (mathematical), *mbinatyror* (supernatural), *i pafytyrë* (impudent), *i pazakontë* (unusual), etc. There are opinions that the adjective is one of the categories that shows more difficulty in dividing meanings in terms of lexicography, as they are dependent on the context in which they are used, so they take as many meanings as they have space in terms of semantics (Moon 1985, p. 179). We think that this can be an argument to prove the high number of adjectives as monosemantic words. Since the adjective indicates the qualities of the noun, then we must have monosemantic adjectives in high numbers, just as we have nouns. The highest number of unambiguous adjectives is that group, which is found in the lexical nursery structure of the word. Thus, the verb appears unambiguously, consequently the noun and the adjective that constitutes this lexical sound regain its monosemic character.

The verb is the third class that shows more monosemy, reaching 2.4 % of the words or 1160 of them, for example: *asfaltoj* (to asphalt), *balsamos* (to embalme), *debatoj* (to debate), *dedikoj* (to dedicate),

*ekzagjeroj (to exaggerate), faktorizoj (to factorize), fashoj (to bandage), godas (to hit), katërfishoj (to quadruplicate), kokrrizoj (to granulate), leckos (to tater), lubrifikoj (to lubricate), mbikaloj (to overpass), mëngjesoj (to have breakfast), neutralizoj (to neutralize), parafytyroj (to imagine), parandiej (to forebond), përafroj (to approximate), përgenjështroj (to retort), përkufizoj (to define), recensoj (to review), etc.* Since it names an action as a process, then the action refers to a single referent. Consequently, verbs, as actions of a process are monoreferential, so they do not have a substantive structure developed with different meanings. The strong semantic connection between the meaning and the referent it marks, leaves no room for further semantic developments. As long as each particular referent creates a separate fragment of the semantic potential of the word (Wielgosz 2017, p. 5), we will have the verbs reflected as monosemantic in the dictionary, until they develop themselves into new contexts. Meanwhile, the largest group of monosemantic verbs primarily belongs to the field of terminology, based on their specific uses. Adverbs, on the other hand, occupy a limited space within the corpus of monosemantic words. It turns out to be in 1.2% of the words taken into consideration. Since the adverb names a feature of action or state, it conveys something from reality, but with an underdeveloped content structure. The group of pronouns is one of the lexical categories that reflects a low monosemism, about 0.12%.

Other classes of words, such as: particles, conjunctions, numerals, prepositions and exclamations are reflected at very low levels as monosemantic, marking an average of 0.03%. Such an outcome is to be expected, as numerous studies on immutable parts of the discourse support the idea that they appear to be mostly polysemantic. Among them we can single out the preposition, which shows ambiguity due to their conditional nature, which is related to the subordinating function and not to the denominator. Prepositions are used with different meanings depending on the context, and the semantics of the underlying meaning are also responsible for the type of relationships they create in use (Cungu & Toska 2023). Generally for the immutable parts of the discourse, since they do not name, do not indicate objects, features, circumstances or actions, then they tend to be ambiguous, due to the dependency relations and the numerical, indicative (unnamed), connector and exclamative (expressive) function they have.

The reflection of monosemantic words in the dictionary confronts us with the fact that the highest number of unambiguity have the denominator words (nouns, adjectives, verbs and adverbs), while the lowest number have other classes of words, which are included in the

numerical, indicative and exclamatory words (pronouns, prepositions, participles, exclamations and numerals). Their denominator character displays the possibility of marking a certain referent. It is important to say that the Albanian language is showing a slight tendency to add unambiguous words. So monosemantic words have found more space in the corpus of words of explanatory dictionary.

**Table. 1** *Statistical analysis of monosemic words in the dictionary of the Albanian language (2006)*

Parts of speech	Monosemyc	Total of words
Nouns	7314 words or $\cong 15.3\%$	48,000
Adjectives	2100 words or $\cong 4.3\%$	
Verbs	1160 words or $\cong 2.4\%$	
Adverbs	597 words or $\cong 1.2\%$	
Pronouns	61 words or $\cong 0.12\%$	
Particles, conjunctions, numerals, prepositions, exclamations	67 words or $\cong 0.03\%$	
<b>Total</b>	<b>11299 words or <math>\cong 23.3\%</math></b>	

#### 4. Discussion

The criteria used in the field of lexicography to determine whether a word in the dictionary will be reflected as polysemantic or as monosemous still remain controversial in the field of lexical semantics. Howard (2003, p. 88) emphasizes that meanings are ordered according to a system which aims both to show the main historical development of the word and to give a coherent overview of the relationship between its meanings. Casadei (2014) thinks that the lack of a unique criterion to determine polysemy and monosemy, combined with the divergence between the criteria proposed by theorists for lexicographic needs, has the consequence that dictionaries differ greatly between them, sometimes even within them, in the treatment of polysemy and monosemy. This may be the reason why polysemy and monosemy still remain controversial in the amount they reflect in explanatory dictionaries.

Words are naturally inclined to take on some meanings, depending on the realities they name (Pustejovsky 1991, p. 17/4). They are presented as ambiguous words, so, referring to some realities and

unambiguous, referring to only one reality. This argument leads us to think that words to be considered monosemic must be monoreferential, that is, to respond to a referent. The use of words in different contexts has made them appear in the dictionary with some meanings, or with several strings of meanings. In this way they depart from their basic meaning, simply because they are placed in different contextual situations. If context were not taken into account when classifying the meanings of words reflected in the dictionary, then we would have more monosemic words, referring to Saussure's view that "a word (sign) signifies a reality" (Cungu 2023).

Ambiguity is the subject of discussion in polysemy, being one of the most studied aspect of the type of semantic changes the word undergoes. While unambiguity is the object of study in monosemy, which is thought to have yet to be researched in semantic terms. Monosemantism is a phenomenon that responds to language in two aspects. First, the increase in the number of monosemic words in a language gives a quantitative increase in the lexical fund of that language, bringing about a numerical enrichment. Second, if unambiguous words do not have the ability to generate and develop other meanings, then the addition of this phenomenon runs counter to linguistic economics (Ullman 1957, p. 118). Adding such words would bring difficulties in the process of memorizing words, while using the same word in different contexts could create more memorization facilities for speakers of one language.

Monosemantic words are present in the lexicon of the Albanian language as well as in many other languages. Their content structure is organized towards a certain meaning, making it possible to reflect in the dictionary as words with a single meaning. Why unambiguous words have expanded their use in the dictionary of the Albanian language, we must also refer to the reasons for their acquisition. There are several ways we can get them in one language:

-borrowing words from other languages (*for example: computer, brutal, definitive, dedicate, independence, influence, incubator, outline, pretense etc.*). Given that our society was faced with significant political, cultural, social and technological changes, Albanian language gave the right to accept a wide range of words from foreign languages, which had to meet language needs. Consequently, a considerable number of them belonged to unambiguous words, which brought about a quantitative increase in the lexicon of the Albanian language.

-shrinkage of polysemy due to narrowing of the content structure of the word. The fading of polysemy is a well-known phenomenon, which significantly favors the monosemanticism of words.

-the union of the semantic variants of the structure of a word is realized due to the close semantic proximity that the meanings of a word have. Such a process is in favor of the phenomenon of monosemy, which significantly increases the number of unambiguous words.

The data presented above indicate that the quantitative value of monosemy is increasing. The frequencies of words that show monosemy are higher, considering the introduction of foreign words in the field of technology, for which the language was not found ready to use and put into operation its responsibilities. Polysemy and monosemy seem to be difficult phenomena to determine their value and quantity, since dictionaries vary greatly in the number of meanings they record and it is understood that none of them is able to record all existing meanings in linguistic use (Casadei, 2014). This is related not only to the rules that are defined for the drafting of different dictionaries, but also to the discussion that is still being done on the definition of monosemy as a concept. It is important to emphasize that, when examining words in the dictionary as plosemic or monosemic, we refer to their reflection in the dictionary. All lexical elements must be "monoreferential" in discourse, even if they are "multireferential" in the language; otherwise communication would be impossible (Bejoint, 1988).

## **5. Conclusions**

In conclusion we can say that monosemia should be treated as a linguistic phenomenon and should be considered in the semantic system in the same way as polysemy, homonymy, antonymy, synonymy, etc. The problems involved in monosemy are numerous. The approach to studying words according to the paradigmatic axis, will give us more opportunities for research on monosemy.

Among the classes of words that express monosemanticism in the explanatory dictionary, turns out to be the denominators, such as: nouns, adjectives, verbs and to some extent, adverbs. Other classes of words seem to display more polysemantism than monosemanticism. Nouns are the units which display the most monosemanticism in the explanatory dictionary. The largest group consists of words from certain fields of terminology, where many of them are borrowed in the Albanian language. Adding the corpus of words with monosemantic lexical units is an opportunity to see in the future the development of the content structure of these words with new meanings.

The immutable parts of speech have very little access to monosemy, due to the open structure they display syntactically. They exhibit several uses simultaneously in different syntactic functions and

as different parts of speech. This fact allows the immutable parts of the speech to appear more polysemantic than monosemantic.

The adjectives also display monosemanticism and constitute an interesting fact, as most of them are found inside the lexical nursery. The types of adjectives by formation, which are in the group of those with a single meaning, are also worth studying. Even the verb is approached as monosemantic in a part of it. Their monoreferential character, which is the process of acting that refers only to one referent, does not give the possibility of developing the content structure in new meanings.

The data on unambiguous words in the dictionary are of a quantitative nature, but are worth interpreting further in terms of quality. An analysis of the structure of monosemantic words in the Albanian language reveals that the terminological and administrative-legal registers dominate in terms of the quantitative presence of monosemy. This is due to the fact that these registers tend to include words with narrow, clearly defined, and specialized meanings, which rarely develop polysemy, as precision and minimal ambiguity are essential in their usage. It is important to accept that the value of monosemy has an increase in the words reflected in the explanatory dictionary of the Albanian language, accounting for about 23 % of the corpus of words as a whole.

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#### UNA PROSPETTIVA ANALITICA SULLE PAROLE MONOSEMANTICHE NEL DIZIONARIO ESPLICATIVO DELLA LINGUA ALBANESE

Questo articolo scientifico riflette i dati analitici sulle parole monosemantiche nel dizionario esplicativo della lingua Albanese. Lo studio degli aspetti linguistici legati alla monosemia è oggetto di questo lavoro scientifico. Attraverso i dati raccolti dalla revisione e dal confronto del corpus di parole monosemantiche presenti nel dizionario esplicativo dell'albanese, sosterremo l'aumento del valore delle parole monosemantiche nella lingua, rispetto alle parole polisemantiche. L'occorrenza più densa di monosemia si riferisce a parole denominative, come: sostantivi, aggettivi, verbi e in una certa misura avverbi. Ciò si spiega con il fatto che il carattere nominativo di queste parole mostra la possibilità di contrassegnare un referente specifico. Il numero di parole monosemantiche si traduce in un aumento della lingua, segnando il maggior numero di parole provenienti da determinati campi terminologici. In conclusione, riteniamo che la monosemia debba essere trattata come un fenomeno linguistico, così come la polisemia.

**Keywords:** monosemia, dizionario, parole monosemiche, valori quantitativi, parti del discorso.

**THE IMPACT OF POLYSEMIOUS WORDS IN SECOND LANGUAGE ACQUISITION (POLYSEMIOUS WORDS IN MATHEMATICS REGISTER)**

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**Abstract:** This paper aims to explore the impact that polysemy can have on second language acquisition, as well as the methods and strategies that students use to acquire polysemous words. In addition, it recommends context, etymology, relatedness, zeugma, conjunction reduction and, collocations as some of the tests that students can use to distinguish polysemous words from homonyms. To conduct this study, a multi-faceted approach has been applied, combining both qualitative and quantitative research methods to offer a comprehensive understanding of the research problem. The participants in this study consist of fifty undergraduate students of the English Department at the University of Prishtina. Furthermore, 8 (eight) polysemous words in mathematics have been chosen for analysis. The present study has been successful in finding the effect that chosen items of polysemous words in mathematics, such as *angle*, *degree*, *expression*, *gross*, *operation*, *power*, *table*, and *volume*, can have on second language acquisition. It is important for students to understand the difference between polysemy and homonymy, as it improves their ability to comprehend and communicate effectively. Therefore, this study has proven highly beneficial in helping students become familiar with polysemous words, the methods for acquiring their meanings, and the tests used to differentiate them from homonyms.

**Keywords:** polysemy, impact, second language acquisition, polysemous words in mathematics

## 1. Introduction

The acquisition of vocabulary is one of the greatest challenges that students face when learning a foreign language. In fact, vocabulary acquisition is arguably one of the greatest stumbling blocks in second language acquisition (SLA). This is due to the fact that there are no strict rules when it comes to the acquisition of vocabulary in contrast to the acquisition of syntactic rules (Steves 2023). Additionally, Sun et al (2023) state that building vocabulary can be challenging due to factors such as difficulty in retaining words in long-term memory and the use of ineffective learning strategies.

The majority of words have more than one meaning. The most frequent words the speakers use are the words that have several meanings; therefore, learners encounter polysemous words very often. Lexically ambiguous words can be categorized into two types—homonyms and polysemes—based on how closely their different meanings are related (Li 265). Words with several meanings, including both polysemes and homonyms, may appear higher up on frequency lists compared to monosemous words (Bogaards 10).

The distinction between polysemy and homonymy is important for students, particularly in linguistics, as it helps clarify how words evolve and how context shapes meaning. Understanding these differences aids in comprehending language dynamics and the shift of meaning based on etymology and context. Polysemy involves words with related meanings, evolving through processes like extension for example, *paper* can mean *a newspaper*, a material made from wood pulp, or a blank sheet. Its meaning has also extended to include an electronic document, where wood pulp is not involved, while homonymy refers to words with unrelated meanings, such as *bank* (a financial institution) and *bank* (a river edge) (Crossley, 2000). Recognizing these distinctions is key for analyzing text, resolving ambiguities, and understanding word structures.

Both polysemy and homonymy can cause ambiguity, which students encounter in communication and academic texts. For example, *paper* has related meanings, whereas *bank* has unrelated ones. Context is essential for disambiguation, and understanding the difference between these word types helps students interpret meaning accurately (Lyons 43-47).

Distinguishing polysemy from homonymy can be difficult, as even words with the same etymology can have distinct meanings (e.g., pupil in a school vs. pupil as part of the eye) (Lyons 54-60). Understanding linguistic criteria (etymology, form, and relatedness) encourages deeper

analysis and helps students appreciate the complexities of word categorization (Lipka 136).

The present study focuses on the impact that polysemous words can have on SLA as well as the methods and strategies that students can use to acquire the meanings of polysemous words. A comparison between polysemous words and homonyms is also included. Additionally, the study investigates the reliability of dictionaries and whether students find them helpful in identifying the different senses of a polysemous word.

Polysemous words have multiple related meaning. However, while the various meanings of a word may be connected, they can also differ significantly, making polysemy a challenging phenomenon. Consequently, the study examines if the chosen polysemous words have the same core meaning and if they share etymological origins. The study also explores whether equivalent polysemous words exist in the Albanian language for the chosen words in English.

This study seeks to answer the following research questions:

1. How does first-language polysemy affect second-language meaning interpretation?
2. What tests can be used to distinguish polysemy from homonymy?
3. To what extent does knowledge of one meaning help in understanding another meaning of a polysemous word?

The hypotheses for this research are as follows:

1. First language polysemy affects second language meaning interpretation
2. Various strategies can be employed to assist students in decoding polysemous words.
3. Dictionaries are not very reliable when it comes to polysemous words.

## **2. Literature Review**

Polysemy is a very common feature of every language and plays a significant role in natural language study. Despite being widely used, polysemous words still display ambiguity, making them difficult to be processed. Consequently, polysemy is one of the challenges that students encounter when learning a foreign language as well as one of the obstacles they face when they have to translate texts in different fields. Addressing the issue of polysemy involves breaking down a challenging concept to make it easier for students to understand (Vardidze 114). In addition, Bogaards (10) highlights that polysemous words can be problematic because they occur both singly and within

larger lexical units. New meanings of words are never learned in isolation but through connections to previously acquired words. So, the connections between words allow newly acquired words to be easily incorporated within these networks.

Historically, people have preferred to take words and extend their meaning rather than create new words. Ozturk (133) found that 95% of the most commonly used 3,000 words in English have more than one meaning. The omnipresence of polysemous words can be seen as a result of this. Consequently, when words have several related senses, their meanings overlap and relate to the same abstract structure (Murphy 47).

Polysemous words have a primary meaning. Hatch & Brown (2001) define the primary meaning as the central meaning within a set of polysemous words. For example, the primary meaning of the word *break* means breaking an object like glass, and not the breaking of waves on the shore. In addition to this central meaning, polysemous words often have several related senses that extend from the core meaning. For instance, the word *juice* has one main meaning, which is the liquid extracted from plant or animal tissue but it also has multiple related senses. These include energetic vitality (e.g., creative juices), electric current (e.g., the batteries are out of juice), and bodily fluids (e.g., digestive juices). These related meanings share a connection to the primary sense, but are used in different contexts, illustrating the richness and flexibility of polysemous words (Skalicky 3).

It is argued that learners begin by acquiring the core sense of a given polysemous word and gradually learning its extended senses through broadening and narrowing processes. Learners must expand their knowledge to include all the senses of the L2 word that are shared and un-shared by the L1 equivalent but at the same time it has to also narrow down to include only the senses that the L2 words has and exclude any sense of the L1 equivalent that is not shared by the L2 word in order to have native-like competence (Ozturk 87-88).

Tashi (2010) affirms that there are three main sources of polysemy. The sources of polysemy are metaphor, metonymy and image-schema transformation.

The first source of polysemy is metaphor. Every time a word is used in a different domain from its original domain through mapping, the word acquires a new sense.

The second source of polysemy is metonymy. Metonymy is a cognitive process of using one unit to refer to another that is related to it. For example, in the sentence: *The ham sandwich is waiting for his*

*check*, the entity *ham sandwich* is used to refer to the person who ordered a ham sandwich (Lakoff and Johnson, 35).

The third source of polysemy is image-schema transformation. Image-schemas are cognitive structures that come directly from everyday bodily experience. For example, the usage of the preposition *in* in different situations such as *the present is in the box* and *my friend is in the classroom*. Here, we have a certain image of relationship of something and its container. By applying this image one can be aware of the meanings of expression such as *be in school*, *be in love* and *be in trouble*.

Nagy & Townsend (49) note that many words that students come across in school have at least two different but related meanings, and in most of the cases the academic sense of the same word is the extension of the everyday meaning. For example, the word *position* in the everyday meaning stands for the way a person sits or stands (she changed her position on the sofa), but the meaning of it in academia is connected to one's opinion and viewpoint (she changed her position in the debate) (Logan & Kieffer, 2017).

Senses are often borrowed from the everyday usage every time the intended meaning is not available for the student in the mathematics register. However, polysemy can take place even within the mathematics register itself and context is what helps here too. The example for this is the word *operation* which can have multiple meanings even within the mathematics register. For instance, in an elementary school classroom, it can mean addition, subtraction, multiplication or division whereas in a group theory course the meaning of the same word is the function of two variables (Zaskis 2).

However, even if these words are used in a special field, they still keep their common meanings. There are words which irradiate meanings so one form generates several senses and the new senses do not totally replace the previous one. Typically, when a noun has several senses, all these senses have something in common (Iglesias, 208).

### 3. Methodology

To achieve a comprehensive analysis, a multi-faceted approach was employed, combining both quantitative and qualitative research methods. The quantitative component involved the use of a structured questionnaire designed to assess the students' familiarity with polysemous words and their strategies for interpreting them. The questionnaire included multiple-choice questions, Likert scale items, and short-answer questions to gather data on the prevalence and recognition of polysemous words among the students. In addition to the

questionnaire, a qualitative component was incorporated through a translation test which was administered as an elicitation technique for evaluating second language acquisition. This test required students to translate sentences containing polysemous words from English to their native language. This method was used due to the fact that the topic required knowing and determining the difficulty that polysemy can cause in the acquisition of English as a foreign language, and what methods students use to understand the meaning of polysemous words. This study was conducted with fifty students from the Faculty of Philology, English Language and Literature Department, University of Prishtina, who willingly participated to fill in the questionnaire. Among this number of students seventeen were males and thirty-three were females, aged between 18 and 29 years old. The participants for this research were undergraduate students.

#### **4. Analysis of results and discussions**

The analysis section provides a detailed examination of the collected data, focusing on key findings and insights. The first part explores the impact of first-language polysemy on second-language acquisition and translation. The second part discusses the strategies and methods students use to acquire the meanings of polysemous words. Following this, a description of the analyzed polysemous words is provided, including their representation in monolingual dictionaries and their etymology. Furthermore, the section presents an analysis of the translations of the words included in the test.

##### **4.1. The impact of polysemy**

Polysemy is very challenging in semantic theory and semantic applications such as lexicography, computational models of natural language processing and translation (Falkum 13).

Moreover, many words used in math textbooks and teaching differ from their everyday life meanings. *Angle, degree, expression, gross, operation, power, table, and volume* are the chosen polysemous words for analysis in this study. They were chosen because one of their meanings is related to mathematics (See Table 1).

WORD	Meaning in Everyday Life	Meaning in Mathematics
Angle	A viewpoint	In geometry the space between two lines or planes that intersect
Degree	Diploma	a measure for arcs and angles
Expression	A look indicating a feeling	A symbol representing a value
Gross	Offensive, disgusting	The total income from sales
Operation	Medical surgery	A math process, addition, multiplication
Power	The ability to do something	the result of taking a quantity; the given number of times (x) as a factor
Table	furniture	An arrangement of numbers, symbols
Volume	Loudness	Quantity or mass

Table 1. The senses of polysemous words in everyday life and mathematics

The above words were chosen in order to see whether students can make the distinction between the meanings of these words and how they differentiate among them when they have to translate these words in the ESP (English for Specific Purposes).

Young et al (2005) explain that the meanings of words in mathematics and science differ noticeably from the meanings of the same word in everyday usage. For instance, the meaning of the words: *power, force, revolution, pressure*, is different in mathematics and science compared to the meaning of the same words in everyday use.

Therefore, lexical ambiguity occurs between the meanings of these words in everyday life and that in the *mathematics register* of the language. Thus, context plays a major role in the meaning of the words. For example, words may denote different things in different contexts, their intended meanings are assumed in basic or everyday context and that of the mathematics register. This was also noted from the results of the respondents. When they had to translate a sentence which contained one of the words in mathematics, they translated the sentence correctly. So, when students were given the context, polysemy did not pose a great difficulty for students since all the senses of polysemous words have something in common. However, if they are only given the word without any context, the students will immediately write the common meaning of the word and not the one in mathematics or in another field.

The results supported some of the hypotheses proposed in this research paper. One such hypothesis was that polysemy in a first language influences how meaning is interpreted in a second language. Therefore, 80% of the respondents, the vast majority, affirmed that polysemy affects second language interpretation, as can be seen in the figure below.

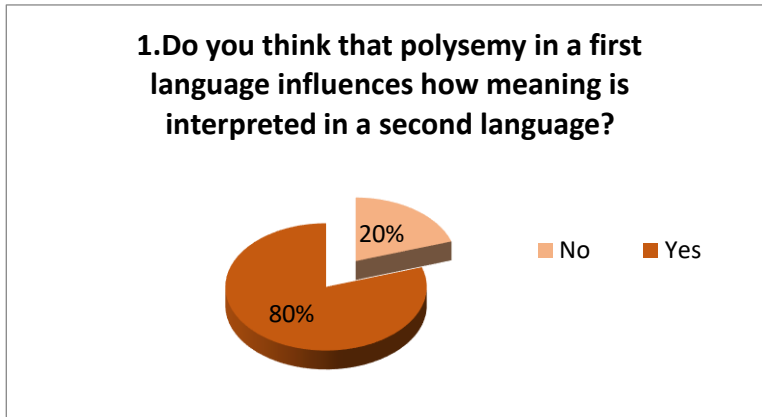


Figure 1. The second language interpretation

In addition, the participants had to choose an aspect that polysemy mostly affects. As seen in Figure 2, half of the respondents stated that polysemy affects translation production, thirty-seven percent declared that polysemy affects language acquisition and thirteen percent said that polysemy affects language representation.

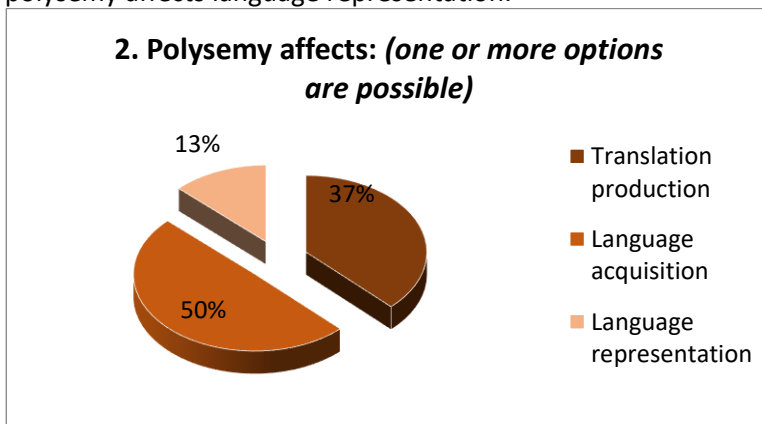


Figure 2. The impact of polysemy

The first language has an effect on second language acquisition. Learner's native language will have an impact on the acquisition of a polysemous word when the learner creates equivalence between the L2

word and L1 word. Cross-linguistic equivalences are formed through the core sense. The L1 equivalent of a polysemous word L2 is the word that has the same core meaning but not necessarily the same extended meanings. However, learning the extended senses of the L2 word depends on whether the equivalent L1 word has similar extensions (Ozturk 131).

One of the aims of this study was to find out how first language polysemy affects second language interpretation. Based on the findings, it can be stated that polysemy can affect translation production, language acquisition, and language representation.

Ambiguity can also affect translation production. According to Tokowicz (172) the effect that polysemy can have on translation production is predictable due to the fact that translator has to choose only one option for production. The translator may have several alternatives for conveying the same message in the target language, but he/she must choose only one option. This will result with the slowing of the production and making it less correct.

It is known that words can have different meanings in different contexts. Readers who are able to quickly grasp the different meanings of the same word in various contexts are more successful in reading comprehension, compared to those who only distinguish a few meanings of the same word (Perfetti & Hart, 188).

Being very complex, the concept of polysemy poses a challenge for lexical semanticists as well. As pointed out by Jackson and Amwela (69), the huge number of meanings, transference of meanings and difficulty in recognizing polysemy as opposed to homonymy are some of the problems caused by polysemy.

Different senses of a word may be related to each other but at the same time may not be alike each other and this is one of the risky aspects of polysemy.

Readers activate both meanings of a homonym when they come across homonyms with two frequent meanings. But, if one of the senses is more frequent than the other, readers tend to activate that meaning. However, when there was no limited context, readers did not show any preference for the main meaning over the secondary meaning when it came to polysemous words (Frazier and Rayner, 192).

Polysemy represents a challenge for EFL learners compared to homonymy for two reasons. First, polysemy is more common than homonymy and learners have to deal with related meanings more often than unrelated meanings. Second, the contextual clues will hint a different meaning from the one known to the learner more strongly

when dealing with homonyms, thus helping learners to know the correct meaning of the homonym from the context (Kang 37).

#### 4.2. The methods for acquiring polysemous words

One of the aims of this study was to also find out how students acquire the meanings of polysemous words. The researcher's hypothesis was that there can be strategies that help students decode the meaning of polysemous words. This study gives strategies and methods that can be used to distinguish polysemous words from homonyms. Haastrup & Henriksen (2000) stated that in order for second language learners to acquire a word, they do not need to recognize only the sound patterns and orthography but also the meaning of a word at the conceptual level. The respondents of the research have also chosen the context, dictionary, antonyms and synonyms of the words as some of the strategies that they use to understand the meaning of polysemous words when they encounter them.

So, when students were asked about the methods, they use in finding the meaning of polysemous words, context prevailed as the most preferred method selected by 55 percent of the participants, followed by dictionary chosen by 24 percent of the participants, and a small percentage of participants declared that they try to find the synonyms and antonyms as well as etymology of the polysemous word as presented in the figure below.

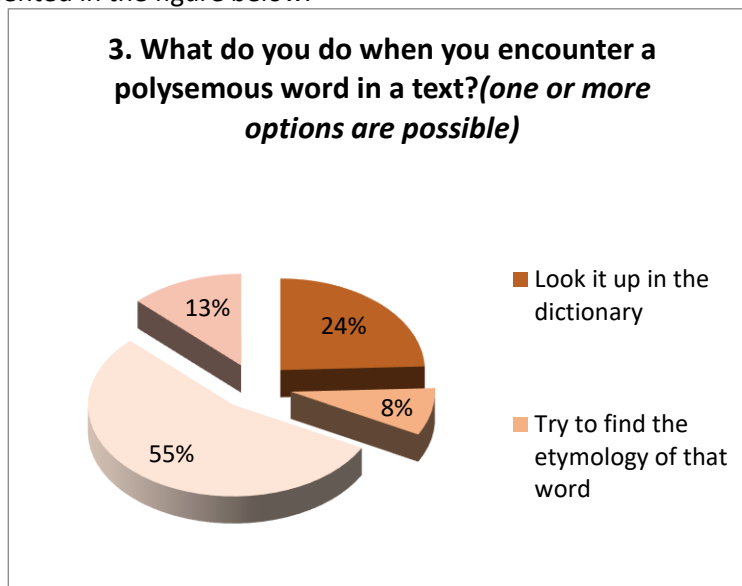


Figure 3. The methods used in understanding the meaning of polysemous words

Another aim of the research was to find out if the knowledge of one meaning helps with understanding an instance that uses another meaning. Thus, 68% of the respondents stated that the knowledge of one meaning helps with understanding an instance that uses another meaning, 24% declared that it does not whereas 8 % said that they do not know (Figure 3).

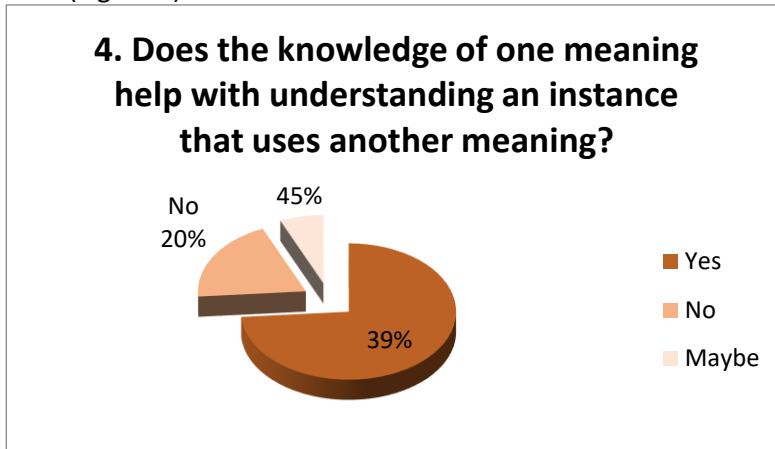


Figure 3. The relatedness between polysemous words

One of the tests in identifying polysemy is the notion of relatedness. Sometimes relatedness can be a vague concept and this makes the polysemous words very difficult to determine. Looking at word's etymology can also be used as a tool in helping solve polysemy. However, this is not the only solution since the meanings get lost in etymology and what was once used to help distinguish the meaning of a polysemous word may no longer be so. In addition, some unrelated words have the same historical origin. This is why etymology cannot be a perfect test for polysemy.

One of the tests for polysemy is zeugma; this is to see if one word displays different meanings if used in different contexts. Context usually brings different meanings of the same word. A word is polysemous if two of its senses do not match but they seem related to each other (Hong 9-21). This test again depends on learner's judgments about relatedness. Having this in mind, one could conclude that zeugma as a test for polysemy is not infallible but serves more as a helpful conceptual aid.

WordNet was also used to ensure the polysemy of words. In WordNet, there is the option to choose the domain of the chosen polysemous word. One example of this is the word *operation* (Figure 4).



Figure 4. Senses of the word operation in a specific field as defined in WordNET

From the figure it can be noticed that the word *operation* has multiple meanings especially in a specific field. What needs to be mentioned here is the fact that all the senses of the word operation share the same core meaning which is action, performance. So, even if students do not know all the senses of this word, if they know at least two of the senses of a word, they will still be able to guess it from the core meaning.

#### 4.3. The analysis of the polysemous words in the monolingual dictionary

This section will discuss the representation of the chosen polysemous words *angle*, *degree*, *expression*, *gross*, *operation*, *power*, *table*, and *volume* on the Shorter Oxford English dictionary on historical principles (SOEDHP), Oxford Advanced Learner's Dictionary of Current English (OALDCE).

This study tried to find if dictionaries are reliable when it comes to polysemous words. One of the hypotheses of this study was that dictionaries are not very reliable when it comes to polysemous words. Comparing dictionaries in different periods of time, it is visibly seen that the same words have different meaning quantity. There were cases when the OALDCE left out some of the senses of the words and focused only on the main meanings of the words.

Furthermore, homonyms in SOEDHP were given separate entries, whereas the related senses of polysemous words were all listed under a single entry. There were instances when the slightly different senses of a polysemous word were listed into different sub-entries. The SOEDHP used etymology and relatedness as two of its criteria in listing different meanings of words. The word belonging to different parts of speech was given different entries in the SOEDHP. According to Lipka (1992) polysemous words share the same etymology, belong to the same word class and have related senses. The SOEDHP is compiled according to this idea. However, bilingual and learners' dictionaries omit the etymological information since they consider that etymological information is not helpful to language learners. The OALDCE does not focus so much on polysemy.

One of the obstacles that people face while using a dictionary is trying to differentiate between the major and the minor senses of words because most of the dictionaries do not make such distinction and they treat all senses as equally significant (Kovács, 2011). The OALDCE only gives the main meanings of the words and gives only one entry for the word without taking into consideration the word class. Something that might be helpful for the students is giving the special and technical senses of the word just like in SOEDHP. On the other hand, the OALDCE gives examples for all meanings of words. This can help students in becoming more acquainted with polysemous words. While checking the etymology of words in the etymological dictionary, it was shown that polysemous words are words that share the same etymology.

A look at the entries for polysemous words shows that polysemous words represent a problem for lexicographers. The traditional practice is to put numerous senses for polysemous words and to collect the

related senses as sub-senses. However, lexicographers' opinions differ when it comes to the degree of polysemy and the organization of the polysemous words in the dictionary. As it was seen from the examples, dictionaries are not similar when it comes to the number of senses, the collection into sub-senses and the content of definitions they give for one word.

#### 4.4. The analysis of the polysemous words in the test

As part of the questionnaire, students had to translate some sentences which contained polysemous words. They had to translate sentences with the polysemous words: *degree*, *operation* and *area*. The participants of this study had to translate two sentences for each word. Moreover, 25 of the participants were given a test with three sentences containing the same polysemous word, and they had to guess the meaning of each sense whereas the other 25 participants had to give as many meanings as they knew about the given polysemous words. This was done in order to find out whether students have difficulties guessing the meaning of polysemous words in a specific field if they see the word in a sentence or context. This study also investigated whether L2 learners could guess the more minor meanings of a word if they were given only the word itself. The L2 learners were given two polysemous words: *power* and *table*.

When the L2 learners were given only the word without any context they showed preference to the primary meaning compared to the secondary meanings. So, if students are only given the word, they think of the most frequent meaning of that word. The majority of respondents gave the meaning for *table* a furniture in comparison to a small number who also knew the sense of this word as a set of arranged data. The same results were for the word *power*. 70% of respondents gave only two meanings for this word such as possession, person in authority, and attitude. However, when given the whole sentence, 90% of respondents knew the correct meaning of the polysemous words. They were able to tell the difference when the word *table* is used as a piece of furniture and as a set of data arrangement. However, most of the respondents had trouble with the sentence she sets a fine table. Most of them thought that the meaning of it is still a piece of furniture.

Sentence	Meaning
TABLE	
I reserved a table at my favorite restaurant	<i>piece of furniture with tableware for a meal laid out on it</i>

She sets a fine table	<i>food or meals in general</i>
See table 1	<i>a set of data arranged in rows and columns</i>
POWER	
During his first year in power	<i>a government official of a government</i>
the power of his love saved her	<i>powerfulness, possession of controlling influence</i>
8 to the power of 2 is 64	<i>a mathematical notation indicating the number of times a quantity is multiplied by itself</i>

Table 2. Senses of the polysemous words: *table* and *power*

What needs to be mentioned here is that even though they were asked to give the meanings for the chosen polysemous words, the respondents chose translation as their tool in distinguishing between the different senses of the given words. So, the study was able to find that the L2 learner would be able to guess the word's more minor meanings if the L2 learner was given the core meaning of that same polysemous word. The core meaning, though not necessarily the most frequent word is the most concrete sense that creates fewer concrete meanings. In addition, the core meanings helped in long-term maintenance of the word senses (Verspoor & Lowie 567).

As it was mentioned earlier, students had to translate some sentences which contained polysemous words: *degree*, *operation* and *area*.

They had to translate the sentences *a right angle is an angle of exactly 90 degrees* and *she has a master's degree in mathematics*.

All participants translated correctly these two sentences. They were able to make a distinction between the word *degree* used in mathematics as a measure for arcs and angles and as a position on a scale of intensity or amount or quality or as a moderate grade of intelligence.

The most frequent translations of the given sentences in the test are given in the table below.

The translation of the polysemous words in the test	
Degree	Shkallë, diplomë
A right angle is an angle of exactly 90 <i>degrees</i> .	Këndi i drejtë i ka saktësisht 90 <i>shkallë</i> .
She has a master's <i>degree</i> in mathematics	Ajo ka <i>diplomë</i> masteri në matematikë.
Operation	Operacion, veprim
They will schedule the <i>operation</i> as soon as an operating room is available.	Ata do ta caktojnë një orar të mbajtjes së <i>operacionit</i> posa të lirohet një dhomë operimi.
They were learning the basic <i>operations</i> of <i>arithmetic</i> .	Ata po mësonin <i>veprimet</i> themelore të <i>aritmetikës</i> .
Area	Fushë, sipërfaqe
It was his <i>area</i> of specialization.	Ishte <i>fusha</i> e tij e specializimit.
Find the <i>area</i> of a rectangle	Gjejeni <i>sipërfaqen</i> e drejtëkëndëshit

Table 3. The translation of the words in the test

As it can be seen from the table above, the polysemous words in English are translated with different words in Albanian language. However, the respondents of test were able to distinguish between different senses of the same word.

## 5. Conclusion

Polysemous words present a significant challenge in second language learning. Learners frequently encounter polysemous words because many of the most commonly used words in any language have multiple meanings. This research focused on examining the impact of polysemy on second language acquisition, the methods students use to learn polysemous words, their representation in dictionaries, and some of the tests used to identify these words.

One of the main objectives of this study was to investigate how polysemy affects second language acquisition. The results demonstrate that polysemy can influence the interpretation of meaning in a second language. According to the findings, 80% of the participants indicated that a learner's first language affects how polysemous words are acquired in a second language. The research also revealed that there are equivalent polysemous words in Albanian for the English polysemous words studied. In some cases, one translation is used for all senses of the polysemous word. This supports the idea that polysemy in a first language significantly impacts the interpretation of polysemous words in a second language. Furthermore, the study found that polysemy affects various aspects of language learning, including translation

production, language acquisition, reading comprehension, and language representation.

Another key aim of the study was to explore how students handle translating polysemous words in specific fields, such as mathematics. The findings showed that, when provided with the full context of a sentence, the majority of participants correctly identified the intended meaning of the polysemous words.

Additionally, this research identified the most commonly used methods that help students understand the meaning of polysemous words. The data collected from the questionnaire indicated that context is the most frequently used strategy, followed by dictionary use, with a smaller percentage of students relying on synonyms, antonyms, and etymology.

In light of the findings from both the questionnaire and the translation tests, it is evident that there is a strong relationship between context and the ability to differentiate meanings of polysemous words. The results of the translation tasks demonstrated that when given full sentences, students were able to correctly interpret polysemous words. However, when asked to identify meanings without context, many students relied on the most common or primary meaning of the word.

Overall, the study underscores the importance of context in understanding polysemous words and highlights the role of first language knowledge in second language acquisition. It also provides valuable insights into the methods that can support students in learning to navigate the complexities of polysemy in a second language.

### **Recommendations**

The findings of this study confirmed that polysemous words remain a challenge for students learning a foreign language. Additionally, the relationship between polysemy and homonymy continues to be an issue in second language acquisition. However, the study demonstrated that context, notion of relatedness, zeugma, conjunction reduction, dictionaries and, etymology can help learners acquire polysemous words and distinguish them from homonyms. Therefore, it is recommended that professors discuss this phenomenon and the strategies used to address it to better familiarize their students with polysemy. As different meanings of polysemous words tend to avoid each other's collocations, it is recommended to use collocations as a tool to distinguish between different senses of a polysemous word.

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### **L'IMPACT DES TERMES POLYSÉMIQUES DANS L'ACQUISITION D'UNE SECONDE LANGUE (MOTS POLYSÉMIQUES DANS LE REGISTRE DES MATHÉMATIQUES)**

Ce document vise à explorer l'impact que la polysémie peut avoir sur l'acquisition d'une seconde langue ainsi que les méthodes et stratégies que les étudiants utilisent afin d'apprendre des mots polysémiques. De plus, il est conseillé aux étudiants d'utiliser le contexte, l'étymologie, la mise en relation, le zeugme, la réduction des conjonctions et la collocation comme tests pour distinguer entre mots polysémiques et homonymes. Pour mener à bien cette étude, une méthode mixte a été appliquée, combinant à la fois des méthodes

de recherche qualitative et quantitative afin de fournir une compréhension globale du problème de recherche. Les participants à cette étude consistent en 50 étudiants non diplômés du Département d'anglais de Prishtina. De plus, 8 termes polysémiques en mathématiques ont été choisis pour cette analyse. L'étude a réussi à trouver l'effet possible de certains éléments sélectionnés de termes mathématiques polysémiques (tel que l'angle, le degré, l'expression, le brut, l'opération, la puissance, la table et le volume) sur l'acquisition d'une deuxième langue. Il est important pour les étudiants de comprendre la différence entre polysémie et homonymie = cela augmente leur capacité de compréhension et de communication. C'est pour cette raison que cette étude s'est avérée extrêmement bénéfique pour aider les étudiants à se familiariser avec les mots polysémiques, avec les méthodes d'acquisition de leurs significations ainsi que les tests utilisés pour les différencier des homonymes.

**Mots clés:** Polysémie, impact, acquisition d'une seconde langue, mots polysémiques en mathématiques.

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