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THEORY, HISTORY AND LITERARY CRITICISM

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Insularizare barocă: o relectură a poemelor Olgăi Ștefan

Grațiela Benga*

Baroque Insulation: Re-reading Olga Ștefan's Poetry

Abstract:

The aim of the present paper is to come to terms with the poetry written by a young Romanian writer, Olga Ștefan, who published her books in the 2000's – a period of astounding outburst of creativity in the field of poetry. It follows a fourfold outline: the recourse to associative poetics and multiple focalizations, the relation between body, concept and writing, the use of baroque techniques, especially geared towards mixing voices and plenteous figures, the insulation not only as a stronghold of recalibrated human beings, but also as a stimulus for polyphonic poetry writing. Undertaken in the light of resistance and metamorphosis, her poems do not celebrate the weirdness of imaginary, but a sparing alternative to the decentred mental horizon.

Keywords: body, concept, dispersion, metamorphosis, intensity

Ultimele două decenii au arătat cât de variat e imaginarul și cât de spectaculoasă paleta discursivă a poetelor care aparțin unor promoții literare apropiate. Miruna Vlada, Elena Vlădăreanu, Ruxandra Novac, Domnica Drumea, Diana Geacă, Gabi Eftimie, Teodora Coman au fost doar câteva dintre numele care s-au afirmat după anul 2000. Sunt atașate de o poetică proprie, care explorează feminitatea pe căi diferite de cele ale Angelei Marinescu, Martei Petreu sau Marianeii Marin. Nu voi relua aici, nici măcar parțial, o analiză desfășurată în altă lucrare (Benga, 2016), însă amintesc, în treacăt, că până și privirea de ansamblu asupra reliefului poetic de după 2000 descoperă o prezență mai puternică a scriitoarelor, în comparație cu generațiile precedente. Fără contribuția repetată a scriitoarelor, e dificil de conceput evoluția poeziei românești contemporane. Pe acest fundal, îmi propun ca în această lucrare să analizez cursul luat de creația unei poete intrate foarte devreme în câmpul literar.

Poetica asociativă

Cu *Toate ceasurile* a debutat Olga Ștefan în 2006, pe când era prezentă în distileria poetică de pe clublitar.com. Deși încă elevă, publicase deja în câteva reviste. Tânăra de atunci părea să fi profitat de

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experiențele poetice de la începutul anilor 2000. Cel puțin două dintre ele i-au influențat, decisiv, aria și metoda de explorare: manevrele în zona corporalului și incisivitatea limbajului. Retorica abundentă a tinerei poete era hrănită de mobilitatea difuză a unei imagistici orientate spre 1. formulări ale organicului (supus unei duble comprimări, dinăuntru și din afară), 2. uzul determinantului insolit, la limita stridenței stilistice (e.g. *eronat, ostil*) și 3. depozitul englezismelor senzorial agățate de resortul afectiv sau existențial al poemului (*bitter times, sour premonition, sweet surrender, bitter love* ș.a):

spaima e un organ intern. purifică/ sângele care curge prin venele femeilor
înăbușite de uitare./ port între picioare un mormânt sigilat și gol./ demian, o să
devin curând prea curând/ una dintre ele.// (*bitter space*)// îmi dau capul pe
spate și zic/ că în camera asta-i mai frig decât acolo de unde vin./ [...] iarna se
va prăbuși peste torsul meu ca un violator/ în serie. ca un amant.// așa încep
timpurile amare. cu glasuri prostești/ cu găuri în ciorapi cu ace de gămălie
înfipte-n/ căptușeala costumului de clown.// cu trupul lui demian în folderul
altor femei./ cu gâtul lui demian sub răcoarea altei ghillotine. (*bitter times*)

Titlul volumului din 2006 sugerează dominantele unor stări care acoperă întreaga paletă de așteptări, apăsări și contorsionări ale subiectului poetic. Sub opresiunea realității și a convenționalului, acesta are obsesia imaginii fotografic interceptate. De aceea, poemele se încheagă în fluxul montajului de secvențe aflate în tensiune. Decupate din decorurile provocator-derizorii ale lumii autentice, ele se opun unei geografii cartografiate (afectiv, spațial și poetic) de o privire deturnată spre orizontul splendorilor:

am știut de la început ce-mi trebuie mie:/ unul care să aibă aceeași drăgălășenie
nativă/ a animalelor ținute în țarcuri aceleași/ perioade de claustrare și ură pe
care le/ traversez cu palmele încheiate și dinții/ închești/ unul care să se țină de
balustrada proaspăt vopsită/ a grijilor și facturilor neplătite/ pentru că știi bine/
din unghiul meu/ lumea se vede mereu foarte frumoasă (*no surprises*).

În același registru al hipersensibilității senzoriale, poemele aglomerează frânturi autobiografice și oglindiri ale memoriei, alunecând între reflexia fidelă și îmboldirea distorsionantă a unui „nostalgic disimulat” (Boym, 2002: 25). Iată un exemplu: „în următorii 10 ani o să-mi restaurez amintirile/ ca pe niște grupuri statuare lipsite cu desăvârșire/ de valoare artistică” – *cursa de șoareci*).

Exercitarea puterilor de a reprezenta variațiile de cristalizare simultană a lumii (cu cartografii afective, spații corporale, extensii livrești și subterane citadine) e centrul ordonator al viziunii poetei încă din cartea debutului. Olga Ștefan își calibrează discursul în funcție de capacitatea de-formatoare pe care o au simțurile, asumată ca mijloc de

recunoaștere a artificialului sau de explorare a stratului curat pe care îl (mai) conține existența. Proiectat fie în cuplu, fie alături de contururile unor redute feminine, subiectul poetic (cu avatarul de „cyber-gheișă”) așază solidaritatea în locul individualității. Mai mult, narativitatea alunecoasă a poemelor face ca fragmentarismul cotidian să vină în contact cu demistificările sociale și permite obiectelor să intre într-o poetică asociativă care răspunde asumării corporale:

dacă mă-ntinzi pe canapea e ca și cum ți-ai aranja/ degetele cangrenate pe o chitară dezacordată./ nu mai avem nimic între noi./ dă-mi papucii și restituie-mi corpul până la ultima/ îmbrățișare.// [...] la anul pe vremea asta toate o să intrăm/ în cursa de șoareci și-o să ne simțim cefele/ zdrobite de dragostea lor ca o jucărie cu arc./ la anul pe vremea asta o să fim la fel de solide unele cu altele/ ca niște păpuși strânse într-o singură cutie de carton/ și-o să-mi placă ce-o să văd în oglindă.

Față de limbajul dur al douămiiștilor (adesea împins la limita suportabilității argotice și găzduit în enunț sincopat), în poemele de debut ale Olgăi Ștefan se remarcă alte mijloace de obținere a autenticității: segmentul autobiografic e senzorializat fără a-l lăsa să atingă cavitățile visceralizării, iar rezonanțele tematice se construiesc de pe pilonii unei stilistici stranii, care face trecerea de la jocuri expresive cotidiene („dă-mi papucii și restituie-mi corpul”) la resurse figurale respinse de o mare parte a congenerilor. Așadar, coregrafia tropilor și pudoarea lexicală (cu care Olga Ștefan își reprezintă lumea interioară) apar ca forme discursive de insularizare, dacă le raportăm la combinația dintre tranzitivitatea și directetea frustă cu care limbajul poetic din anii 2000 își contraria publicul.

Zece ani s-au scurs între debutul Olgăi Ștefan și următoarea ei carte. Poetă care își decantează repetat viziunile și își lucrează cu minuțiozitate reprezentările, Olga Ștefan a surprins când a publicat *Saturn, zeul* (2016) și *Charles Dickens* (2017). Chiar dacă au apărut repede unul după altul, erau volume încheiate tematic, construite în jurul unui rizom care a înmagazinat tulburări existențiale. S-a extins prin mugurii revelațiilor întunecate, s-a articulat în noduri meditativ-narative și s-a alungit în multiple internoduri stilistice.

Cu mai puține diluări ale poeticității decât *Toate ceasurile*, *Saturn, zeul* surprinde vortexul polimorf al lumii „citite cu lupa”. Creionată cu uneltele unui imaginar detabuizant, varietatea morfologică a realității e însoțită, câteodată, de o intempestivă transgresare a barierelor dintre deriziune și livresc – ca în *casa spânzuratului* sau în *marie*: „tavanul – Guernica de igrasie –/ [...] gaj patrimoniilor abandonate./ locul acesta nu va fi dărâmat./ îl vom închiria abatorului și fabricii de lapte”. La apariție, e remarcat în *Saturn, zeul* un autenticism clădit pe naturalețea opțiunilor discursive (Cf. Cotoi, 2016: 37). Poemele fac breșe

în sistemul de așteptări al cititorului, obișnuit mai degrabă cu autenticismul poeziei douămiiste decât cu experiența policromă a postdouămiismului: transformă devierea fluxului de imagini în eschivă transparentă („trupurile sfărâmate de stânci ale corsarilor/ sunt în noi, la fel și capturile piraților./ lucrurile vor căpăta formă din ce e abia umbră acum.” – *măsurarea lumii*) și regenerează fabulația poetică. Captată în desenul unui retorism hipersenzorial și hiperconștient, aceasta nu evită să transfere organic inadecvarea (în *prude*) sau corporalitatea (în *romanț*), să sondeze interferențele apocaliptice din/ dintre lumi și să își înscrie – când cinic, când cu oarecare tandrețe – (dez)iluzionările: „în drumurile tale nocturne, silueta omului celui mai rău/ și capul tăiat al reginei, vecinul tăcut și martorul locvace, // în inimă-mi cade ciobul de oglindă, bucata de șină. // de acolo vor reflecta, cu umilință, pustiul.” (*îmi vorbești ca pe stradă unui străin/ rămas fără nume cu care ai împărțit/ compartimentul gol al vreunui tren de noapte*).

Barochism, corporalitate, limbaj: focalizări multiple

Unul dintre resorturile în jurul căruia e construit *Saturn*, *zeul* îl reprezintă evoluția în timp a relației cu modelele canonice, dar și cu reperele marginale – problematizată în formele unui barochism conceput ca particularizare ca metamodernismului. Investigarea senzorial-imaginativă a afectelor și a dispozitivului cognitiv („creierele mici de brodat fantezii diafane/ despre păsări eviscerate cu penajul imaculat/ pentru pacea de cearșaf scrobit/ dintre popoare” – *remember*) agresează ecuația familiară a imaginii și ordinea impusă de logica sintaxei. Deși nu lipsesc conotațiile mitice (pe alocuri, mistice), în-truparea proiectată în poemele Olgăi Ștefan e explicabilă în sensul sincretismului evidențiat de studiile psiholingvistice, care arată că experiențele corporale influențează procesele de conceptualizare¹ și sunt literar (dar și cultural, social etc.) reflectate: „trăiesc într-un corp care deja nu-și mai cere scuze./ în fructul prea copt din vârful grămezii,/ adjudecat la/ insistențele țăranilor care se întorc înapoi în oltenia// să-l despici/ să-l împarți/ până nu-i prea târziu.” (*romanț*). Acumularea imaginilor analogice într-o țesătură când compactă, când răsfirată indică modalitățile în care sunt exploatate (sau, alteori, ignorate) apropierea simulacrului și experiența simulării. În funcție de acestea, încastrate în construcții metaforice (de la metaforă conceptuală până la analogie și alegorie), prinde contur variabil un spațiu poetic individualizat, marcat de întretăierea indiciilor vizuale care conduc, printr-un salt echivoc al sensului, spre o zonă în care subiectul și obiectul își transferă, de la unul la altul, funcția soteriologică.

¹ Plec de la premisa că percepțiile senzoriale și conceptualizarea se sprijină și pe procese neuropsihologice comune, nu doar specifice (Cf. Rohrer, 2012: 38).

Pe măsură ce imaginarul mută accentele dinspre lumea materială spre lumea cuvântului, rama realist-narativă a poemului se estompează și lasă deschisă o poartă de acces spre metamorfoza corporalului în reflecție asupra sinelui. Experiența corporală (sau libidinală, după cum ar numi-o Hélène Cixous) implicată, bunăoară, în „fructul prea copt” e însoțită de un puternic simț al sinelui și de un act de limbaj care, pe de-o parte, sfârșeamă opoziția dintre carne și spirit și, pe de altă parte, dez-mărginește trupul (Cf. Cixous, 1976: 889), într-un ansamblu proteic care împinge scrisul până dincolo de limita posibilului.

Între subiect și obiect, între experiența empirică a scrisului, exhibarea actului scriiturii și tăceri (*naïve 1, naïve 3*), poeta construiește universuri discursive cu orbite parabolice sau distopice, străbătute de forțe mareice care apar drept consecința neuniformității tensiunii apărute între pornirea thanatică și atracția escatologică.

Pe terenul străbătut de straniețe morbidă e aproximată o întreagă dinamică a stărilor poetice. Neordonate după o regulă exterior-evenimentială, se succed în locul geometric în care precizia și sugestiile își găsesc proprietățile comune. Iar dintre sugestii – înglobată în succesiuni metaforice (*remember*) sau în nuclee simbolice (*enfin*) – transpare o feminitate afirmată în contrast cu statutul secund. De aceea, întrebarea funciar neliniștită, în straturile căreia sunt topite convențiile, izolarea, reinventarea și familiarizarea cu cele mai banale sau neobișnuite metamorfoze, își deschide filonul autosubversiv și insular: „cum o să treacă acest an pentru tine,/ când nu mai ești nici foarte tânără, nici foarte frumoasă,/ doar așa, ca livada lăsată de izbeliște/ pe un teren nerevendicat/ pe care se putea ridica/ un vrej de fasole,/ o vilă cu multe termopane/ sau o biserică de cartier?” (*meaningless subjects*).

Charles Dickens continuă și completează liniile trasate de *Saturn, zeul*. Aș îndrăzni să spun că alveolele feminine decelabile în *Saturn, zeul*, cu grădini care „se prefăceau în cimitire” și „mici insule/ pentru păsări bolnave și câini de pripas”, primesc acum inserții de vigoare thanatică, prin care lumea ajunge să fie un arhipelag de izolări traumatizante și, totodată, de retrageri eliberatoare. Cu *marile speranțe* ale romanului lui Dickens transformate în ecorșee ale însingurării distante (fiindcă nu întâmplător volumul se deschide cu „I stole her heart away and put ice in its place”), cartea din 2017 arată în ce măsură poezia este pentru Olga Ștefan disponibilitate imaginativă și emisie neîncetată de reprezentări ale inadecvării. Ale erupției și retragerii. Poemele scot la iveală un imaginar aflat în continuă stare de prefăcere (prin mixajul concretelor pe un arc voltaic vaticinar) și producere (de flux imagistic și vârtej de sens). Acest tip de imaginar face imersiuni repetate în fluidul interior catastrofic și le reprezintă într-un lanț relațional insolit - unde se amestecă, până la contopire, trauma, gravitatea meditativă și topografia

ceremonială a miturilor, simbolismul crepuscular și o autenticitate care vizează metamorfoza (barocă a) lumii ca realitate aglomerată, mobilă, formală și substanțială: „hoituri incandescente,/ nu-mi vorbiți, rămâneți pe catafalcuri./ n-o să scriu ca și cum aş construi în jurul meu/ un sarcofag din pănuși.// destui/ și-au înălțat poezia/ din oseminte și lego și o privesc retard/ cum adie” (*foarte bine*).

O poezie în act propune Olga Ștefan, o fantezie surescitată care se adună în pâlnia lucidității pregătite să sondeze obsesii, să urnească imobilismul angoaselor și să acopere câmpul semantic al unui „efort compensatoriu”, gata să împace figurația aberantă, corespondentă lumii închise, cu intuițiile recalitrante și nu mai puțin dezintegratoare. Și, mai ales, cu totala implicare (existențială) în căutarea unui sens, chiar și când tăișul conștiinței despică tiparul izbăvirii și sparge grupajul intoleranțelor, impulsionând, totodată, mișcarea imaginației:

am rupt o bucată din afișul/ cu trupe obosite din ‘93/ ca să scriu asta/ (cuvintele mele artizanale)/ și am primit un pliant/ iehovist/ numai vești bune/ din regatul/ lui dumnezeu/ cineva să ne testeze/ cu dozimetre/ loialitatea/ răceala aseptică/ a ereziei. Viața spoită/ din care nu te-ai mai trezit/ aş vrea să port negru cu tine, o soră/ de la jumătatea vieții, o nepoată cu vise mari,/ pe care le susții/ să te țin de mână,/ dantele și cașmir,/ sub viața din curțile/ candidate la praznice, catafalce și/ moșteniri./ să-ți spun cum și alții/ s-au întors de acolo/ asudați/ în autocare închiriate/ cu răni pe care va trebui să le-ngrijești toată viața/ și să nu mint (*ill*).

Din poeme se desface mereu senzația de preaplin. Sau suprasaturarea de constatări (auto)ironice și dezlegări angoasant-vizionare. Cu toate acestea, multe dintre suprafețele discursive, acoperite de patina unor vanități demistificatoare („sub acest poncho stă supusul, în ie se-mbracă/ și revoluționara splendidă, cercei cu clopoței/ lovesc aerul greu de fumigene” – *croaziera*), sunt gata de noi procese de expansiune a imaginarului – parcă niciodată mulțumit de formele arborescente în care se oglindește destrămarea.

În *Civilizații* (2020) autoarea schimbă partituri și înlocuiește tonuri cu o versatilitate care e urmarea firească a strategiilor de multiplicare adoptate de subiectul poetizant. „nu scriu,/ reciclez// fac scutece și pânze pentru corăbii// din bandajele răniților/ din giulgiuri de sfinți/ și// nu cred în indiferența la sâmburele mucegăit/ când despici piersica grasă/ a sumei de gesturi/ galante” (*limbajul*). Sub straturi discursive care evită pulsionile autoscopice și ecuațiile imagistice standardizate, se află vocile empaticе, retractile, sarcastice, anonime, răbdătoare, revoltate sau autoironice generate de aceeași conștiință și articulate pe amplitudini diferite ale vibrațiilor:

eu știu că lumea e din carton și nu-mi folosește./ această intensitate inaccesibilă celorlalți/ la care trăiesc ca un animal agresiv/ ținut sub observație într-o

cameră de sticlă,/ și ce strig ajunge la ei a bit off, fără elocință/ slaba mea rezistență la tratamentul agresiv cu ridicol,/ colții pe care-i înfig în polistiren: sunt în van./ [...] toți câinii care te-au păzit vreodată,/ piele și os, mârâie plutonul de execuție. (*fail*)

Ruptura care intervine între segmentele cvasinarative (înfășurate pe suprafețe reduse) pune definitiv sigiliul pe această lirică a nedumeririi, a rezervelor și revenirii. A transfigurării marginalității: „ținuta singulară a zilei. toamna care nu se mai termină/ și căldura ei condiționată de curenții/ de la răsărit. embrion de succes în clujul care construia/ frenetic/ înainte de criză și/ strălucea dystopic/ la ultimul etaj.// *is this a city of sinners?/ no, it is not*” (*lava*).

S-au discutat deja polisenzorialitatea agresivă, multifocalizarea contextelor social-ontologice, dispersările sau suprapunerile spațio-temporalităților și referențialitatea subversivă a poemelor din *Civilizații* (Cf. Conkan, 2020: 83). Mereu între lumi, prins în echivocul sensurilor pluralului din titlu (care desemnează indivizi și culturi, totodată), subiectul poetizant aproximează straturile originare ale existenței și reabilitează tonul înalt ori dicțiunea elevată, atente să evite derapajul grandilocvent, printr-o simplă manevră stilistică: „sunt șaman în corpuri pe care nu le mai pot locui.// ce credeam uitat se sparge cu dangăt mare/ și reîntră în circulație”. Dincolo de scenariul clădit în jurul iubirii și durerii, imaginarul din *Civilizații* își recunoaște afinitățile cu poetele „care-și/ descopereau corpul și/ în corp/ o lance tocită” (*limbajul*) și își verifică, în același timp, rezistența la módele (și módelele) poetice. Pe scurt, visceralitatea primelor poete douămiiste e înlocuită de Olga Ștefan de experiența subiectivității transferate la nivelul unei fenomenologii a imaginarului. Iar când poezia s-a obișnuit cu distanța față de livrescul, ironia și cinismul postmodernist, autoarea lui *Charles Dickens* și a poemelor din *Civilizații* arată că potențialul figural pe care-l au intarsiile savante, însemnele oculte și aluviunile ce îngroașă, sfidătoare, vulnerabilitatea conviețuirii e departe de a fi isprăvit.

De la existența insulară la poetica relațiilor

Civilizații decupează un șir de portrete din care apar uneori (alternativ sau concomitent) starea de saturație, intensitatea, oboseala și nevoia întoarcerii la concretul de-mascării, pe care alte ipostaze ale eului îl repudiază. Marginalii (retrași voluntar în discreție sau profund alienați), copilul din ultima bancă, femeia care a renunțat la sine, pensionarul și omul în fața morții sunt cei pe care ochiul poetic îi observă:

corpurile strânse de elementii caloriferelor,/ blugii distruși/ pe suprafețe rustice/ și solitudinile superficial diagnosticate în/ discuția de rutină la cabinetul școlii.// apropierea e un accident pe stradă/ din care nu te trezești imediat// sunete de

sirenă/ peste ce fusese liniște: rușinea/ regresul/ să te lași/ dus de nas; tăiat în două de fierăstraie magice./ când adormi,/ pe retină e copilul rău/ din ultima bancă și viața lui/ despre care n-ar fi trebuit să știi nimic/ niciodată. (*fata furioasă în stație*)



Nu la constatare distanțată recurge subiectul, ci la examinarea relațiilor și a degradării lor, prin intrarea în rezonanță cu „inima mea holografică”.

De la „kilometrul zero/ al apropierii”, poemele răspund prin percutante transferuri de funcții și de sens unui mecanism de relaționare care eșuează în „nota de subsol”. Dimensiunea persistenței se distinge abia în urmele trecerii. Viu sau doar o imagine care se comportă ca și când ar exista, *celălalt* catalizează procesul scrierii, orientează registrele și dă avânt recompunerii unui sine care sondează ambiguități. Înfruntă iluzii și metabolizează (in)coerențele frontierelor: „am încercat să te aduc în catacombele astea/ în care ard tămâie și uneori/ pagini cu cifre neîmplinite și conspirații, dar tu ești îngerul gabriel și nu vii aici niciodată” (*îngerul gabriel*). Definirea umanului nu se mai produce prin fractura dintre om și animal, așa cum obișnuia să o înțeleagă religia și filosofia. Fisura autentică se întinde înăuntrul umanității, care poate distinge „stârvul animalului dinăuntru/ protejat într-un giulgiu de civilizat/ cu cearcăne”. Supoziția divizării lăuntrice² impinge conștiința pe terenul culturii și al poetizării, unde limbajul se dezvăluie ca fluctuație între prezență și absență, la limita dintre discurs (ca experiență istorică a sensului), mister al viului și iminent depozitar al morții.

Poemele din *Civilizații* măsoară efortul (rațional) de ieșire din redundanță și ireductibilitatea de fond a poeziei: „eu nu-mi permit decât acest râu./ aceste insule. aceste alinturi/ tăioase. amânări și o gheară timidă/ în tine – de care atâția se-agață.// să stau aici, să reinventez și/ ce era culoare/ să treacă”. Insula din *Saturn*, zeul revine pentru a reliefa dimensiunea (dez)umanizării și înălțimea imaginarului. Sau dialectica dintre interiorizare și exteriorizare. Perspectiva insulară, cu însușirile ei holistice (Cf. Hau’ofa, 1994: 147-161), intuiește principiul imaterial al lumii, asociat tensiunii creatoare.

Concluzii

Insularizarea, ca stare, și insula, ca spațiu personal, sunt însuflețite de o mișcare internă care, în paradigma tophophiliei înțelege drept conexiunea dintre afect și loc (Cf. Tuan, 1990), sprijină recalibrarea

² Despre divizare și înțelegerea lumii umane prin intermediul unei apropieri extreme (deși înșelătoare) de „expunerea fără revelare” scrie Giorgio Agamben în *Deschisul. Omul și animalul*, traducere din italiană de Vlad Russo, București, Editura Humanitas, 2006, p. 68-76.

în planul umanului și stimulează un răspuns poetic polifonic, recognoscibil prin barochismul imaginarului. Acesta din urmă își reintră în drepturi, chiar dacă principiul raționalității nu e împins în spațiul irevelanței și, cu atât mai puțin, anulat. Manifestată ca rezistență și metamorfoză, poezia Olgăi Ștefan nu e o celebrare a extravaganței imaginarului, ci o alternativă coagulantă a orizontului mental descentrat.

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A Deleuzian Analysis of Capitalism in Scott Fitzgerald's Novels

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Abstract:

This paper analyzes Scott Fitzgerald's novels in light of Deleuze and Guattari's critique of capitalism. While Deleuze and Guattari's capitalist social machine is a break from Marxism, it decodes the traditions that define subjective desires or concepts like *beauty* and *ethics*. Under capitalism, subjective desire arises as a capitalist desire and reproduces the capitalist power. In his novels, Fitzgerald addresses the idea of the American dream in a similar way. His characters often embody the contradictions of American experience such as success and failure, dream and nightmare, illusion and disillusionment. This paper critically analyzes Deleuze and Guattari's reading of *desire* within Marx's work and the role of the American dream in a capitalist system as a sort of anti-production. It seeks to illustrate how the concept of *love* in Fitzgerald's novels is tied to the idea of money and how their connection delineates, in the same way, the commodification of the desire that Deleuze traces in his reading of Marx. Accordingly, this paper also argues that similar to philosophy, fiction can be employed to provide a better understanding of our represented world.

Keywords: American dream, Capitalism, Deleuze, Desire, Fitzgerald

Introduction

To describe the positive atmosphere of American life in the 1920s, Anthony Patch calls it a "lustreless and unromantic haven" (Fitzgerald, 1986: 41). Fitzgerald himself delineates the American society of this era as "rosy and romantic" with colorful promises to the youth. However, his delineation is soon replaced by the reality of an America of defeat and failure because in the society, measures are taken to prevent the people from achieving their dreams (Mizener, 1963: 93). Fitzgerald, the fiction-writer, sees the American dream as a tenet of the national and social life in America. In his vision, it is a phenomenon that is observed in different guises of the American experience. Late in his life, when Fitzgerald (1945: 64) writes in *The Crack-Up* that American history "is the history of all aspiration, not just the American dream but the human dream", he attempts to add to the scope of the

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dream so that it would cover the whole dimensions of the American life. Therefore, he underlines the importance of tradition by using the relation between the two concepts of *love* and *money*.

Gilles Deleuze and Felix Guattari's *Anti-Oedipus: Capitalism and Schizophrenia* addresses how psychoanalysis works for the capital to manipulate subjectivities (Guattari, 2008). They contend that desire has a horizontal and collective function and that a desiring-machine is created when one subject is connected to another subject. Desire is a collective production, and the unconscious internalizes the desire that is the product of the connections in which subjects enter and the structures of power they encounter. The collective and horizontal nature of desire means that desire is not created neutrally and can be controlled by power structures (Deleuze and Guattari, 1983). Put differently, structures of power promote and express a legitimate conception of desire. Therefore, with its structures of power, the state forces becoming into individuals (Deleuze and Parnet, 2007). Similarly, the representation of the American dream in Fitzgerald's novels centers on the internalization of desire.

In his fiction, Fitzgerald most clearly depicts the American dream as ambiguous. In the American capitalistic social system, his heroes often appear as victims and thus subordinate to the heroines. In his critique of the American dream, love is employed as an illusive notion that stands in a close connection with money. Fitzgerald demonstrates that the entangled love relationships in his novels are closely related to and dependent upon money. The primary goal of this study is to analyze the representation of the American dream in Fitzgerald's novels on the basis of Deleuzian capitalism.

Literature Review

In order to define Deleuzian capitalism, it is essential to explain what Marx meant by capitalism. Marx and Engels state that capitalism works by revising individuals' personal needs and desires to adjust those needs to the system and structure of capitalism (Marx and Engels, 2009). They talk about how capitalism transforms the ways individuals would desire. Capitalism has a constant need to produce accumulation and turn everything, including the desires of the individuals, into commodities to be controlled by the capitalist to produce new demands that will be satisfied by new commodities. This process is directed toward the satisfaction of a pressing need which Pfeifer (2017) describes as the requirement for the creation and proliferation of capital.

Marx asserts that the actions and desires of the capitalist are the products of social bonds of commodity exchange within which the capitalist subject is entrapped. Desire submits to the law of capital, and it becomes a commodity connected to other commodities through

exchange-value. Furthermore, Marx (2005) maintains that consumption produces the incentive for production. If production offers an external object to consumption, consumption will represent production as a need and an intrinsic image. This shows that the production of desire is the internalization of the dialectic that is described above. In addition, Pfeifer (2017) states that commodified desire internalizes the commodity network that would generate capitalist desire. Under capitalism, the commodification of desire is inevitable, and Marx (2019) explains that this kind of desire offers the promise of overcoming capitalism.

In addition, Samo Tomsic (2016) points out that under capitalism, commodity turns into pleasure. In other words, desire is directed toward commodity exchange. For Marx, commodity pleasures are desires and beliefs that belong to the superstructure. It means that they are ideological motivations that depend upon the forces of production. The forces of production create commodities and exchange values that produce particular needs and desires in the superstructure, and the satisfaction of these desires produces wealth for the capitalist and the necessity to sell labor for the worker. In this way, subjective desires express the social relations of capitalism.

Methodology and Theoretical Framework

This research is a critical analysis of Fitzgerald's representation of the American dream in his novels on the basis of Deleuze and Guattari's reading of desire within Marx's work. It uses Deleuze and Guattari's critique of capitalism to explain the commodification of desire in Fitzgerald's novels. As demonstrated above, in the process of commodification, capital exerts power over the state. Deleuze and Guattari (1983) argue that the state is inferior to the class structure in a capitalist society. The capitalist state is formed by the independent class structure, which assigns the state to serve its terms. Therefore, the state and subjectivity are tools to reproduce the social structure of the capital. When the state power is decentered and the individual desire is colonized, capital exercises its power over other areas of subjective existence.

When Marx (1978) argues that the power of money represents the power of its possessor, he implies that the capital rewrites social rules and conventions. Deleuze and Guattari (1983) explore this point when they refer to the processes of deterritorialization and decoding within capitalism. They explain that conceptions like beauty, ugliness, and factors that make an individual ethical or not are decided by the 'socius'. The socius or the social machine is the mass of various practices and traditions that pre-exist the individual and form the background of the society to which the individual belongs.

Therefore, the way production is conditioned is like how a machine sets the rules for the production of goods and desires that are indivisible from a repetition of the past (Read, 2008). This means that these codes are the traditions and social memory of society that shape the individual subjects' social identities. Subjectivity does not exist outside of a particular socius. In other words, social subjects originate from the specific traditions and beliefs of that socius.

Additionally, Deleuze and Guattari (1983) state that the capitalist social machine decodes the traditions that define subjective desires or concepts like beauty and ethics. Nevertheless, it is about the capital that capitalism deterritorializes these traditions. They assert the importance of capitalism as a social machine based on the decoded flows that would substitute intrinsic codes with money. They explain that capitalism liberates desire and controls it through social circumstances that limit the dissolution of desire; thus, desire is continuously resisting the force that moves it to its limit. It is here that there is a break from traditional Marxism. Ideology in Marxist discourse differentiates between the proper function of the capitalist system and what the individual wrongly believes about the social structures and his position in capitalism.

Based on this analysis, ideology serves the interest of the capitalist modes of production and makes these modes of production seem natural and necessary. However, to be liberated from the oppressive forces of the capital, the individual may consider these beliefs as ideological and as a false understanding of the social order. It seems that Deleuze and Guattari move in this direction to reject ideology, for when they state that instead of ideology, there are organizations of power, they seek to help the individual be free from the grasp of ideology (Deleuze and Guattari, 2004).

Furthermore, Deleuze and Guattari (2004) explain that desire does not depend on the economic base and is not controlled by ideology. Instead, it belongs to the infrastructure, and it organizes power. They affirm that desire creates a repressive structure, and power unites the economic infrastructure and desire. So it comes out that the Marxist critique explores how capitalism produces a deterritorialized desiring-subject whose job is, similar to the social structure in which he lives, to put other social institutions in the service of capital. Deleuze and Guattari's understanding of Marx demonstrates this recognition that desire is not a superstructure but an infrastructure. Under capitalism, subjective desire arises as capitalist desire and reproduces capitalist power. The next section of this research explains how this idea is similar to what Scott Fitzgerald addresses in his critique of the American dream in his novels.

Result and Discussion

To illustrate Fitzgerald's critique of the American dream, we will explicate the commodification of love in his novels on the basis of Deleuzian desire. In Fitzgerald's fictional world, the dream of his male protagonists is to win a golden girl who embodies money and the colorful promises of life. This golden girl is directly linked to the capital and symbolizes the commodification of desire and the American dream. The following sections show in what ways these heartbroken male characters epitomize the failure of the American dream.

This Side of Paradise and The Beautiful and Damned

The central theme of *This Side of Paradise* is Amory Blaine's experience of love. Throughout this novel, he has unsuccessful love affairs with various girls. Eventually, he falls in love with Rosalind. His love for Rosalind proves to be a passionate affair since it is her refusal that puts him in a catastrophic state. Amory's love for Rosalind is more profound and climactic, and it develops to the degree that it involves the question of his existence. Therefore, he suffers a great deal when Rosalind declines him. She breaks up with him to marry Dawson Ryder, a wealthy man, because she fears a life of responsibility and struggle for money.

Consequently, Amory quits his job and drinks for three weeks to get over Rosalind. Commenting on this part, Thomas J. Stavola (1979: 87) calls the egocentric Rosalind a new Isabelle addicted to the luxury and security of money. Put differently, she is a deterritorialized desiring-subject whose desire for money is a capitalist desire that serves ideology. Rosalind's decision indicates the social reality of the time when financial security is more important than romance: "I dread responsibility. I don't want to think about pots and kitchens and brooms. I want to worry whether my legs will get slick and brown, when I swim in the summer" (Fitzgerald, 1954: 210). Her love is devoid of any responsibilities or commitment.

Similarly, money has a profound significance in the novel, and Amory realizes that poverty is a curse. After his father's death, he falls into financial crisis and declares: "I detest poor people . . . I hate them for being poor. . . It's the ugliest thing in the world. It's essentially cleaner to be corrupt and rich than it is to be innocent and poor" (Fitzgerald, 1954: 275). His gloom intensifies when Amory learns that his mother gives half of her money to the church. When he finds himself trapped in poverty, he judges that communism is better than capitalism. This is the point when Amory is disgusted with capitalism and realizes that ideology serves capitalism. Being left heartbroken and penniless, Amory regards his ambition for love and money as ideological tools that serve capitalism. This understanding helps him be liberated from ideology; thus, he confesses to Mr. Ferrenby: "This is the first time in my life I've

argued Socialism” (Fitzgerald, 1954: 228). He admits that he is “sick of a system where the richest man gets the most beautiful girl if he wants her, where the artist without an income has to sell his talents to a button manufacturer” (Fitzgerald, 1954: 229). Furthermore, Amory notes that capital takes control of politics as well, and his country does not resort to ideal democracy. The congressmen buy their votes and corrupt the system of politics. He exclaims, “For two cents the voter buys his politics, prejudices, and philosophy” (Fitzgerald, 1954: 230).

While love is an important theme in *This Side of Paradise*, in *The Beautiful and Damned*, money dominates the life of Anthony and Gloria. Anthony’s expected inheritance convinces Gloria Gilbert, the golden girl, to marry him. In the beginning, Gloria’s parents are against this marriage because Anthony is not rich. Anthony, who is financially inferior to Gloria, struggles to win her love. After they get married, Anthony gets into a lawsuit with his grandfather, Adam Patch, who deprives him of his legacy in his will. Although, in the end, Anthony wins the case, it is too late. By that time, his potential is exhausted, and Gloria’s youth and beauty are wasted. In the middle of their married life, when they have spent most of their bank money, they began to look for jobs. For a short time, the husband works at an advertising firm, and the wife attempts to become an actress. However, both of them prove unsuccessful in their careers; in fact, they seem to be the victims of a corrupt society that has ignored tradition (Lee, 1989). In other words, Anthony’s subjective identity, which originates from the specific beliefs and traditions of the socius, is deterritorialized and defined by money. This makes it clear that their marriage is not filled with love. They do not have any commitment to their marriage. For example, Gloria once said: “I am a solid block of ice” (Fitzgerald, 1986: 57). As she lacks judgment, she takes money for the most valuable thing in life. Anthony’s situation also teaches him that life does not move forward without money. In such conditions, Anthony is attracted by two dominant forces operative in American society. One is money, and the other is an endless love that he at first thought, would generate a feeling of identity within him (Stavola, 1979).

In *This Side of Paradise* and *The Beautiful and Damned*, Amory and Anthony search for money and love. However, they fail to realize that their desires for a sense of identity that they are determined to link to their dream-girls are still really attached to capital, since both Rosalind and Gloria are far affluent than themselves and are dependent on money. Amory and Anthony fail to establish a sense of their identity because they are consumed by a capitalistic system that defines the self-actualization of the people through money and consumerism. This failure is comparable with Deleuze and Guattari’s belief that desire produces subjects as becoming. From their eyes, structures of power express

legitimate conceptions of desire. As a result, Amory and Anthony's search for love is a search for an infinite possibility that is still fettered to the system. Fitzgerald shows that had Amory won Rosalind as Anthony did with Gloria, the result would be the same: They will never transcend into a greater whole that would free them from a lost, hopeless battle of capitalistic bondage.

The Great Gatsby and Tender Is the Night

In *The Great Gatsby* and *Tender Is the Night*, money and love are the central issues. These novels present strong love stories that lead to the downfall of their heroes. *The Great Gatsby* is perhaps the best fictional depiction of the illusion that the American dream brings. Jay Gatsby's ambition is based on a "vast, vulgar, and meretricious beauty," and he is not more than dimly aware of the corruption of his dream (Fitzgerald, 1925: 125). However, after Gatsby's death, Nick Caraway comes to believe that "what preyed on Gatsby, what foul dust floated in the wake of his dreams..." is responsible for the disaster (Fitzgerald, 1925: 135). Thus, Gatsby's dream, based on his "extraordinary gift for hope, his romantic readiness and his heightened sensibility to the promises of life" as it is, fails because it is based on the materials provided by the American society (Fitzgerald, 1925: 88). Lionel Trilling (1950: 185) remarks that the writers of the twenties ventured to come to terms with American society's inward experience. He argues that they were concerned with the formation of the Americans as the products of a new social experiment. Therefore, the personal contradictions that Fitzgerald has experienced enhance the implications of the dream for his fictional characters.

The failure of Gatsby's dream shows that he is subject to the law of the capital that demands one's labor in exchange for money. It seems that this idea is supported by Deleuze and Guattari's critique of Marx: Gatsby's desire to win Daisy and attain the wealth and glamour that her world represents, becomes an actual commodity under capitalism. This commodity is connected to other commodities Gatsby buys, like his yellow Rolls Royce or his hydroplane, to impress Daisy. Gatsby's labor makes him rich, and based on the illusion that capitalism creates, he is free to fulfill his desire and win Daisy. However, Deleuze and Guattari agree with Marx that Desire belongs to the infrastructure. They explain that since ideology serves the capital, it controls subjective desire and directs it toward the reproduction of the capital. This shows that desire is a component of capitalism, and the system creates the illusion that the individual can attain all that he desires through his labor, while in reality, desire is controlled by the ideology that serves the system. Therefore, the fact that there is no liberation of desire, is the trap into which Gatsby falls. In other words, by following Daisy, Gatsby accepts the dream of

getting rich, a dream that the capitalist social system has implanted in him. Although he becomes a rich man, he has to abandon his desire to get Daisy and take the membership of her social class. This failure is due to Gatsby's threat to the maintenance of capitalism as a system controlled by the aristocrats. In the first pages of the novel, this crisis is depicted in Tom's violent outburst: "Civilization's going to pieces" (Fitzgerald, 1925: 14). As a member of the dominant class, Tom is worried that the lower class, including the inferior race, are taking control of the system, and he believes that this is anarchy. Gatsby is a real threat to Tom because the former wants to steal the latter's love commodity (Daisy) from Tom. Just as ideology abates any genuine threat to capitalism, Tom's measures that lead to Gatsby's death ensure the elimination of a threat to capitalism.

In *Tender Is the Night*, the relationship between love and money is manifested on a larger scale. This novel is about Dr. Dick Diver's mutual love with Nicole Diver and Rosemary Hoyt. Nicole Diver is, at first, one of his wealthy patients, but later she becomes his wife. Rosemary Hoyt is a beautiful young actress. A significant part of the novel deals with money and represents the life of the American expatriates in France who are on pleasure trips.

In this novel, love affairs are almost like a theatrical performance. Dick acts as a paternal figure in his relationships. Nicole is a psychiatric patient who is the victim of an incestuous affair with her father, Mr. Devereux Warren. Dick's sympathy and devotion to her treatment that is like paternal love, make her fall in love with Dick, and in their relationships, she acts as a daughter. On the other hand, Rosemary's love for Dick is like the role of an actress, a game that her mother, Mrs. Speers, stages for her. Rosemary tells Dick: "I think you're the most wonderful person I ever met – except my mother" (Fitzgerald, 1955: 38). She further tells Dick: "My mother. She decides business matters. I couldn't do without her" (Fitzgerald, 1955: 24). So, Mrs. Speers is a mother who manipulates her daughter for money because love has no value with her. She warns Rosemary, "You are brought up to work – not especially to marry. . . Wound yourself or him – whatever happens, it can't spoil you because economically you're a boy, not a girl" (Fitzgerald, 1955: 40). Yet, for Rosemary, it is not easy to step forward because she is familiar with "her mother's middle-class mind, associated with her attitude about money" (Fitzgerald, 1955: 54). Like Amory in *This Side of Paradise*, Dick is repelled by capitalistic ideology and notices that love is used as a commodity exchange for money. In this way, the essential fact in the triangular love of Nicole, Dick, and Rosemary is that the couples are not committed to each other.

Like Rosemary's mother, Nicole's sister, Baby Warren, degrades Dick for his excessive pride in her parental money. Baby encourages Nicole to leave Dick for Tommy Barban. Like Mrs. Speers, Baby believes that money is superior to love and that with money, one can buy everything, including love. The wealthy Mr. Warren once hired even Dick to act in love with the unstable Nicole. Thus, the strong desire for money in this novel represents Deleuze and Guattari's belief that desire belongs to the infrastructure. They claim that it is desire that organizes the power. Likewise, Fitzgerald shows that the Warrens' wealth grants them power over the other characters like Dick.

While Nicole is an aristocrat, Rosemary is a successful movie star, and so both of them are financially secure. Therefore, they look at love as an accessory and as a commodity in their lives. For example, there are many instances of Nicole and Baby's money-oriented egoism. Baby acclaims that doctors "could be purchased in the intellectual stockyards of the South Side of Chicago" (Fitzgerald, 1955: 217). After their separation, when Nicole marries Tommy and Dick establishes his office in Buffalo, Nicole writes to Dick to see whether he needed money or not (Fitzgerald, 1955: 326). Her behavior is not out of love or sympathy for Dick but out of selfish egoism rooted in money. Additionally, Baby Warren plays a significant role in Dick's decline and Nicole's love. She boastfully refers to their rail-road property to humiliate Dick: "There's a lot of business, - the property we used to call the station property . . . it belonged to Mother. It's a question of investing the money" (Fitzgerald, 1955: 230).

Baby takes part in the critical decisions of the Warren family, including Nicole's psychiatric treatment. Like Tom Buchanan in *The Great Gatsby*, Baby Warren strongly believes in ancestral pedigree and critically investigates Dick's ancestry before his marriage to Nicole. She is skeptical about the marriage and continuously tries to debase Dick. Later, Baby defies Dick's independent individuality by telling him: "We own you, and you'll admit it sooner or later. It is absurd to keep up the pretense of independence" (Fitzgerald, 1955: 233). Eventually, Baby persuades Nicole to divorce Dick and to marry Tommy. Nicole also changes and becomes like her sister: "Nicole had been designed for change, for flight, with money as fins and wings." (Fitzgerald, 1955: 302). Fitzgerald describes the change that comes upon Nicole in this way: "Nicole is now made of - of Georgian pine, which is the hardest wood known, except lignum vitae from New Zealand" (Fitzgerald, 1955: 299).

In *Tender Is the Night*, Fitzgerald presents another perspective on the relationship between love and money. Unlike *Gatsby*, who is independent both financially and professionally, Dick lacks Nicole's financial security and Rosemary's professional prosperity. He believes

that love can free him from his unhappy situation. Nevertheless, similar to *Gatsby*, the faith in love betrays Dick. *Gatsby* and Dick fail to notice that in their capitalistic society, love depends on money and that love is like a commodity that can be bought. William Fahey (1973: 60) describes Fitzgerald's depiction of American society as a monetary society filled with superficial pleasures.

To Fitzgerald, the weakness of his country is its restlessness. For him, the independence that his nation seeks means the rejection of historical responsibility. Thus, the rejection of tradition deviates Americans from the right path of the dream, and Fitzgerald (1945: 184) believes that this leads to unhappiness. He makes it clear that his belief about the ruling passions of his country is universally applicable: "This is what I think now: that the natural state of the sentient adult is a qualified unhappiness". The unhappiness that Fitzgerald describes is the condition of the Post-Renaissance man who has survived the war and has come to reject any ties with the previous generation. Therefore, it can be suggested that Fitzgerald has an attitude of acceptance, and similar to *Gatsby*, he is hopeful about the future. In the imaginative history of the American civilization, Fitzgerald has discovered a universal model of desire that would lead to happiness as long as it is linked to tradition. Like Deleuze and Guattari, Fitzgerald implies that the dream is a desire that belongs to the infrastructure. Moreover, the protagonists of Fitzgerald's novels follow the commodification of a dream that results from ignoring historical responsibility.

Conclusion

Deleuze and Guattari's critique of capitalism analyzes how the capitalist social machine deterritorializes subjective desires. They demonstrate that in a capitalistic society, subjective desire arises as a capitalist desire that reproduces the capitalist power. Therefore, capitalism transforms subjective desires into insatiable needs for commodities and then comes to control them for the sole purpose of reproducing and sustaining the capital. The American dream is a version of capitalistic desire because it depends upon the satisfaction of commodities. Furthermore, it continuously represses the laborer working to fulfill his dreams while, in reality, his labor makes the upper class wealthier.

In his novels, Fitzgerald has embodied the contradictions of the American experience such as success and failure, dream and nightmare, illusion, and disillusionment. He has chronicled a schizophrenic society that desperately follows wild and carefree sensations that attach it to the Jazz Age of the 1920s, while its values are on the edge of decadence. However, Fitzgerald's novels remind one that things are not as simple as this. In his fiction, the pursuit of happiness is a euphemism for

possessions. The effect of class differences on personal ambitions is a further issue in Fitzgerald's fiction. Ghasemi and Tiur (2009) point out that Fitzgerald develops an awareness of social life that can fulfill an ideal dream either through personal ambition or a life committed to some private ideal. To achieve this purpose, Fitzgerald provides a first-hand account of this *brave new world* and the fevered imagination. His fiction analyses the corruption of the American dream in industrial America, which is not other than the meaning of a pursuit doomed to failure. At first, Fitzgerald's hero is compelled to follow his Romantic dreams and desires. Nevertheless, his dreams and desires are later shattered by the materials that the social structures offer as substitutes to them, and it is in this way that the American culture makes the subject always dependent on the capital and thus perpetually unsatisfied.

In the fiction of Fitzgerald, the American dream has two goals. For one, it is a search for eternal beauty and youth. Along with this, the essence of the American dream is the illusion of happiness that surrounds the leisure class. Nevertheless, its second goal is money which is a familiar Anglo-Saxon ideal of salvation. However, Fitzgerald condemns these burning ambitions because they ground the appearance of a monopoly of privileges as well as the commodification of love. This belief is in line with Deleuze and Guattari's (1983: 139) process of deterritorialization within capitalism, in which the "inscribing socius" or the traditions decide the predominance of specific concepts and characteristics over the others. As a result, when beauty and youth that belong only to the aristocracy are commercialized, money becomes the only means via which the individual can attain them. Thus, love transforms into a dream, and glamour is promised to the individual as long as he obtains money.

Fitzgerald's novels deal with how class differences make an impact on personal ambitions. In his fiction, he illustrates the American dream's corruption in industrial America through a close connection between money and love. Amory's love for Rosalind, Anthony's love for Gloria, Gatsby's love for Daisy, and Dick's love for Nicole are desires for wealth and luxury. Hence, in Fitzgerald's story-world, love is commodified. His heroes follow a recurrent pattern that dictates their aspiration for money and love as they meet their tragic fates. They suffer deplorable frustrations by chasing their dreams, and they fail to have complete control over their life because they live in a capitalistic society where money controls life and man is often measured in terms of material success and money. In this context, fiction is used as a tool that reveals the truth about our world. Here, there is a reversed relationship between fiction and reality, so fiction helps us better understand reality. In other words, Fitzgerald's fiction is a moral lesson on the failures of

the American dream. Fitzgerald's analysis of reality in his fiction is similar to Deleuze and Guattari's reading of Marx. Both of them carefully analyze the nature of the forces that operate within a real or fictional world.

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They too are Casualties: The Toll on the Ecology in Nigerian Civil War Literature

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Abstract:

Critical scholarship on the literature of the Nigerian Civil War tends to dwell mostly on the human tragedy, often neglecting other nonhuman casualties of war. I identify the use of the environment as a tool of war in the theatre of combat especially during violent confrontations between the fighting troops and will analyse how this is depicted in selected war narratives on the Nigeria–Biafra war. By focusing on the effects of the war on the ecology, my study invites a more holistic examination of the total landscape of war bearing in mind the entanglements and shared vulnerabilities between humans and nonhumans. It also admits to an intersection between war literature and ecocriticism for if there are claims of genocide because of the perceived vulnerability of a group of humans during the war, then there are also evidences of ecocide as a result of the attacks on the defenceless nonhuman entities within the domain of war.

Keywords: Nigerian Civil War literature, Ecology, Environmental ethics, Warfare

Introduction

Whether by accident or by design, war is of human making. In most cases, it is as a result of perceived grievances and injustices by one against another. Periods of conflict often reveal the operations and depth of man's baser instincts as combatants engage in wanton destruction of lives and properties in attempts to subdue and defeat the opponents. On another level, wars can be seen as reflections of man's self-centred acts that invariably affect, damage and alter the natural environment. Rakesh Chandra (2017) observes that one of the constant elements "of warfare is its degrading effects on the environment (369).

Land possession is one of the factors that fuels a war (Cajetan Iheka, 2017: 68) and many believe, for example, that perhaps there would have been no civil war in Nigeria without the bets on the newly discovered rich oil reserves of part of what is today known as the Niger Delta region (Chibuike Uche, 2008). There is thus a conjunction of war and human greed for capital which initiated the destruction of the ecology that this work is based on. While humans are the active

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participants during the fight, nature and other non-human elements are passive partakers and are a huge part of the collateral damages of war as they are drawn in by virtue of being within proximity or as battlegrounds.

This study heeds Madhu Krishnan's (2019) charge for the urgent need for ecocriticism to focus more on the entanglements or relationships between human and non-human elements towards a more wholistic understanding of the prevailing conditions of the environment. It also aims to stimulate an alternative perspective to literary discourses on environmental crises which for long has mostly focused on the consequences of oil extractive activities. My perspective aligns with Iheka's (2018) acknowledgement that there are indeed complex interactions between humans and non-humans during armed conflicts as both have shared vulnerabilities and each deserves close attention during critical exegesis. Therefore, this essay is significant as it provokes a balanced examination of the total landscape of war by focusing on the cost of war on its non-human casualties.

Literary scholars have examined creative works based on the Nigerian Civil War of 1967-1970 dwelling on the toll of war on humans from just before it started through post-war reconstruction efforts. While some of the primary texts were first witness accounts as in Elechi Amadi's *Sunset in Biafra*, others were purely fictionalized versions as in Chimamanda Ngozi Adichie's *Half of a Yellow Sun*.

Often, these narratives recount the suffering, destruction, dislocation, and deaths caused by man's inhumanity to man in the form of war. As is expected, critical studies tend to largely dwell on the human experience of the internecine conflict while ignoring the non-human participants in that war.

Kole Omotosho (1981) is of the view that the civil war constitutes the most important theme in post-war Nigerian writing as both writers and critics try to reconstruct and reconfigure the polemics responsible for that tragic experience. Ime Ikiddeh (1976: 168) examines this period as one which portrays "the inescapable decline in values and the dehumanizing effect which go hand in hand with war as a human menace". Maxine Sample's (1991) essay deals with the fate of war refugees by showing the miserable conditions of this group during the war and post-war reconstruction. Full volumes of literary essays on the Nigerian Civil War like *A Harvest from Tragedy: Critical Perspective on the Nigerian Civil War Literature* (1997) edited by Chinyere Nwahunanya and *War in African Literature Today* (2008) edited by Ernest N. Emenyonu have also focused on the human condition during this era of strife. Even the female gender which is often regarded as the marginalized Other in imaginative and critical discourses on the war has

over time received significant attention in discussions on the role of women during the Nigerian civil war (Jane Bryce, 1991, Mariam Cooke, 1993, Akachi Adimora-Ezeigbo, 2005, Shalini Nadaswaran, 2013). However, Iheka's chapter on the ecology of war in Nuruddin Farah's novels is one of the few studies that takes on a complementary view of what he terms the "agential capabilities" (2017: 65) of the Other as he explores how humans and nonhuman elements interact with the environment during a period of crisis. By commending Ben Okri for showing "a sympathetic awareness of how human agency is a damaging force threatening natural processes", critics like Nicoletta Brazzelli (2017: 152) also admit to the importance of projecting environmental sustainability in African literature.

Much of the critical scholarship available on the Nigerian Civil war experience points to the fact that little attention has been given to the deleterious effects of war on non-human entities, including settings and physical structures. There seem to be a tacit conspiracy in the manner the series of ecological degradation this subset suffer has been ignored or subsumed during discussions on this literary subgenre. Yet, there is no doubt that even though it does not literally die like humans, the ecology of the physical environment is greatly diminished during armed conflicts which implies it has some form of mortality. Therefore, as a departure from the norm in ecocriticism or war scholarship, this essay goes beyond the human tragedy by exploring the decimation of the ecology and the representation of biotic community as also casualties of the Nigerian Civil war.

Environmental Warfare and Ethics

Warring factions indiscriminately destroy environmental resources along their paths including land and water as they advance or retreat. As part of their defence tactics, these combatants employ some environmental forms of modifications like blowing up bridges, digging trenches, planting landmines, poisoning rivers, destroying food crops and animals. The use of chemical and nuclear weapons in modern times are some of the strategies of warfare that also destroy the environment. A corollary of warfare on the environment is that such areas become unusable or wastelands. Many sites of war never fully recover or get rehabilitated or reconstructed even after the war has ended as seen in the effects of the nuclear attacks on Hiroshima and Nagasaki. Some parts of Eastern Nigeria today still bear visages of environmental devastation as a result of the internecine conflict that happened over fifty years ago. The unmitigated attacks on the foliage and pollution of water during the Vietnam and Gulf wars respectively were believed to have brought the dangers of warfare's environmental destructiveness to international

attention. This was one of the reasons for promulgating environmental laws meant to protect ecologically sensitive areas in case of violent or armed conflicts. These laws were primarily made to discourage humans from deliberately destroying the nonhuman elements during war. One of such is Protocol One, Article 55 which emanated from an amendment of the Geneva Convention law of war and its conduct. Paragraph 1 of that law states that:

Care should be taken in warfare to protect the natural environment against wide-spread, long-term and severe damage. This protection includes a prohibition on the use of methods or means of warfare which are intended or may be expected to cause such damage to the natural environment and thereby to prejudice the health or survival of the population (quoted in Chandra, 2017: 373).

But in spite of these laws that have been put in place to enforce a more considerate treatment of the natural environment in times of war, humans still remain non-committed to the well-being of the “Others” in the prosecution of war. One is yet to see a perpetrator punished for crimes committed against the environment during war. This therefore calls up the need for environmental ethics.

Environmental ethics is a philosophical discipline that advocates that humans should be considerate in their interactions with the natural environment. This doctrine seeks to condition human interactions with the natural environment towards achieving a considerate relationship. Within African cosmology, many societies consider some nonhuman forms as viable life forms and therefore treat them with reverence or as if humans. Hence we have indigenous practices that are protective towards specific plants, animals and cultural sites. In treating the toll of war on the ecology in conflict narratives, I would lean more on Aldo Leopold’s conceptualization of land ethic which is embedded within the larger framework of holistic ethics as spelt out in the *Internet Encyclopaedia of Philosophy’s* definition of “Environmental Ethics” (Environmental Ethics | Internet Encyclopedia of Philosophy (utm.edu). Both (holistic and land ethics) thoughts on environmental ethics advocate human consideration towards all living things in a biotic community within a context where land, technically taken to mean the environment is not treated as “a mere object or resource” (n.p.). This source goes further to expatiate that “For Leopold, land is not merely soil. Instead land is a fountain of energy, flowing through a circuit of soils, plants and animals” (n.p.). The general advocacy here is for a moral standing towards the well-being, safety, preservation and sustainability of plants, animals and organisms in an ecosystem. But it is obvious that war is not a time during which humans primarily think of the well-being of the environment and

other non-human elements except how these can accelerate or enable their safety and victory.

The Toll of War on the Ecology in Nigerian Civil War Literature

In this study, I will use the word “ecology” interchangeably with “environment”. An excerpt from Chandra’s article which I reproduce below will serve as a working definition. According to this source, the environment include “both biotic and abiotic, such as air, water, soil, fauna, and flora and the interaction between the same factors; property which forms part of the cultural heritage; and aspects of the landscape” (quoted by Chandra, 2017: 370). The ecology within war settings and narratives encompasses the nonhuman entities including the structures that are not animate, yet serve as veritable resources for sustaining humans. My emphasis here will be on how humans have used their environment and elements therein as war time expendables in their bid to win or survive the war. Put differently, I identify the use of the environment as a tool of war in the theatre of combat especially during violent confrontations between the fighting troops and will analyse how this is depicted in selected war narratives on the Nigeria-Biafra war. I propose that while primarily portraying the human tragedy of the war, these writers also present the impact of the war on the environment showing it was as adversely affected during the armed conflict as human beings. Thus, if there are claims of genocide because of the perceived vulnerability of a group of humans during the war, then there are also evidences of ecocide as a result of the attacks on the defenceless nonhuman entities within the domain of war. Thus, an imperative of this study is to establish the fact that the nonhuman elements were equally significant victims or casualties of the ravages of that war.

A study of the ecology of the Nigerian Civil War literature will also show a measure of environmental degradation that started even before another major one that has captured the literary imagination of the Niger Delta. This later phenomenon is the extraction of oil and gas which has been held responsible for the apocalyptic destruction of the environment and the accompanying toll on human health, economy, society, and culture. Coincidentally, the Niger Delta comprising of the South-South geopolitical zone of six states was initially claimed by secessionist Biafra and inadvertently became part of the setting of the civil war. Aside from places in the heart of Igboland in Eastern Nigeria, locations in the Midwest area (part of present day Niger Delta) came under heavy siege during the battle. Coincidentally, the effect of war on the environments of these two regions is one area in which Biafra and the Niger Delta intersect in social and literary experiences. Thus, there is a convergence of Biafra and the Niger Delta in the war as the Nigerian Federal Government also resisted Biafra’s manoeuvres by carving the

regions into individual states which separated the Midwest and some other South-South oil rich areas from the Biafran enclave.

This study is affirming that environmental degradation brought about by the war in what today constitutes the South-East and South-South geopolitical zones of Nigeria started before the ecocide caused by oil and gas exploration. To use a war parlance, the Nigerian Civil War “softened” the space of Biafra and the Niger Delta for crude oil and gas exploration to have it easy to destroy. One can safely say that the civil war caused havoc to the environment before the foreign oil multinationals and others would come and collude with various military regimes to further decimate the environment whose ecology had been made fragile by war activities. Indeed, the civil war’s toll on the ecology happened over the land long before the politics of oil gained traction.

This essay brings together in one study of the ecology three major areas of study or subgenres of Nigerian literature. Firstly, Nigerian Civil War (also called the Biafran war) literature with focus on the human toll. Secondly, Niger Delta literature of environmental degradation where the exploitation of oil and gas has resulted in issues of negative consequence to humans such as health, destruction of economy in farming and fishing, and socio-cultural problems as of destroying the places for regatta, masquerades, and social unrests of kidnapping and armed robbery. This again focuses on the consequences for humans and no attention paid to nonhumans. Thirdly, there is the bioregional focus of this study which spatially covers the South-Eastern and the South-South geopolitical zones of Nigeria. These regions as geographical spaces were the theatre of humans unleashing destruction upon nonhuman beings and inanimate structures that should otherwise make life more convenient and comfortable for them.

The kinesis of war as violence in motion is significant in understanding the toll of war on the ecology in Nigerian Civil War literature. The ecology of devastated locations such as the bioregional rainforests of the South-East and South-South of Nigeria was also a casualty of the war. Images of war-ravaged natural environments, infrastructures and physical locations pervade these narrative maps as seen in the destruction caused by military occupations and usages during the war. As the fighting troops occupy or evacuate territories along the pathways of the combat, they persistently degrade the environment. It is either they are setting up their heavy war artillery or they are planting landmines, digging trenches, defoliating forests or contaminating rivers, thereby causing irreparable harm to the ecology.

On different occasions, Festus Iyayi’s Osime in *Heroes* is appalled by the level of dirt that litters the streets, markets and other locations in the newly liberated Benin city. He concludes that “it was

terrible, absolutely loathsome and horrible, what a war could cause, what three years of fighting and killing could drive a people to” (Iyayi, 1986: 26). The prevailing conditions during war do not allow for proper disposal of corpses so that instead of burying them in designated graves, dead bodies from casualties of war are indiscriminately thrown into the river or left to decompose in open spaces such as forests thereby despoiling the natural environment. These acts violate and alter the course of nature and depict a lack of consideration for environmental ethics during war. They also cause ecological damages that could result in other consequences like displacement, scarcity, sterility, forced migration, and pollution of the natural populations of these places. This corruption of the ecology by humans during war adds another dimension to the types of casualties of war. That this toll on the ecology also damages human capacity to live a healthy and normal life in the environment attests to the shared vulnerabilities between humans and nonhumans during armed conflicts.

Again, Osime gives the reader a glimpse of how war further exacerbates humans’ abuse of their physical surroundings when he tells us that the corpses “of the Biafran soldiers, flushed out of their hiding places...had been on the streets,...at least a hundred of them, all of them stripped to their pants, and the blood still fresh, running out of their mouths and ears or chests” (1986: 23). Apart from the gory image it presents, the foregoing has the potentials of triggering an epidemic of diseases within such an environment. There is also the paradox of a celebratory liberated city being dirty instead of being neat.

The very act of war itself in a tropical vegetation means that there will be interference with the soil and the fauna and flora of the area where war is being waged. Many war narratives are replete with instances of both civilians and soldiers using nearby bushes or forests for concealment or as shield for their safety thereby bringing such locations under siege of attacks from air raids, bombardment, combing, defoliation and other violent incursions engendered by the conflict. Civilian settlements are not spared from heavy bombardment during war and one notices that during such attacks, people instinctively head for the nearest bush or forest to keep safe. Olanna and Odenigbo’s wedding ceremony was marred by an unexpected air raid which forced them and some of their guests to make for a patch of cassava farm nearby for cover (*Half of a Yellow Sun*, 2007: 202). The soldiers’ lack of concern for the damage war inflicts on the environment is depicted in Okpewho’s *The Last Duty* during the aftermath of an air raid on the city of Urhukpe by the rebel fighters. Okumagba, one of the soldiers on duty within the city in taking stock of the damage records:

One of the bombs landed about two poles away from me. It did not hit any important object – it fell on a clearing – but it dug a ditch huge enough to bury sixty people comfortably, and a mango tree some yards away from the spot was all but uprooted and now tilts dangerously (Okpewho, 1976: 200).



The tone of the character is dismissive of the huge damage the air bombardment has caused the environment. This is reminiscent of the general attitude of humans towards nonhuman matter like land and plants which they regard as “not important” objects in war time. Yet, such invasions and lack of empathy for undue interferences with the biotic community and instances of environmental modifications caused by war are typical human treatment of and responses to the nonhuman entities around them in times of armed conflicts. In some instances, writers project intangible aspects of nature such as the atmosphere as responding to the devastation of the environment during armed crisis. Okpewho’s Major Ali during one of his inspections of the post-effects of the rebel’s attack on the city observes that “the entire landscape is as cheerless as the looks on the people’s faces -sombre, retractive, bleak. There is a very mild wind, and leaves and grasses sway dully as though labouring in slumber” (1976: 101). Similarly, soldiers and civilians have been known to manipulate even the forces of nature such as the time of the day and weather conditions to their advantage during war crisis. For example, both feel safer moving from one location to another under the cover of night even as many tactical military strategies are planned and executed using the dark as shield. While the combatants are active, the land is passive and helpless to human interference or destruction of their space during such times.

As mentioned earlier, water, bridge, and the earth are important ecological features in the Nigerian civil war literature. Okri’s recollection of the war in “Laughter Beneath the Bridge” tells of three men “huddled in a pit” (1993: 5), a trench dug deep into the earth and used as shield. In that particular episode, we are told that “one of them had been shot through the teeth. Another one was punctured with gunshots and his face was so contorted it seemed he had died from too much laughing” (1993: 5). The narrator goes on to say, “The soldiers were laughing above the bridge... Above on the bridge, one of the soldiers laughed so hard he had to cough and spit at the end of it” (1993: 17). Rosemary Gray’s interpretation of the above scene is that:

Okri transports us imaginatively to consider the loss of meaning caused by the insanity of internecine warfare. The bridge becomes a simulacrum for those with the power to inflict violence. Those “beneath” the bridge are the living dead caught in the fray, together with the bloated corpses in the river below the bridge which can no longer flow because it is choked with “the swollen *corpses* that were *laughing*” (Gray, 2021: 201).

In a sense, the soil and river are being polluted as the men did not die naturally but rather from war, an idea further underscored by the image of “swollen corpses” that would go on to contaminate the water as well as clog its natural flow. The act of pouring out spit is not only an unhealthy habit capable of polluting the surface spat on but also causing the spread of diseases. Okri’s narrative reinforces what Iyayi and other writers portrayed about the indiscriminate use of the soil and the rivers earlier. Trenches and bunkers dug during war time as protective spaces for humans are violations of the bowels of the earth and ways through which war alters the natural course of the ecology.

The bridge is portrayed in these war narratives as significant. In Okri’s poem above, those above are the soldiers or combatants driving their jeeps through to cross a divide. That divide represents the Anthropocene – man is on top while the nonhumans and nature are below. Water, fish and other aquatic beings are below the human. The soldiers in ravaging their human kind, blindly destroy the “Others” through their actions of cruelty. In a way, humans transfer their cruelty to one another to damage the ecology of the place. In Iyayi’s novel, the then newly constructed Niger Bridge suffers double destruction within a couple of hours. It was first blown up at the Onitsha end by the Biafran soldiers to impede the federal army from crossing over into their stronghold. Then, in order not to allow the Biafran soldiers seize them, the federal army also blew up their war weaponry, further damaging the bridge in the process. In both cases, the human casualties and debris from the vehicles, weapons and bridge end up in the river below. It is significant that human savagery is acted out to also destroy even public infrastructures. Yet ironically, as a last resort for safety, many soldiers and Osime jumped off the bridge into the river implying nature offers more protection for humans than their fellow men in times of armed conflict. These literary depictions draw attention to the irony of the same people self-destructing the vegetation, soil, waters and physical structures that used to be their sources of nurture.

Nigerian civil war writers have captured in their imaginary the relationship between humans, here the combatants and the local communities, and their environment. There are two aspects of this relationship as reflected in the literary works that depict how these affect the environment. One of them is mass evacuations of territories that are in the pathways of an advancing army to prevent the civilian population from being captured or suffer great casualties. Adichie’s *Half of a Yellow Sun* deals with evacuations. Olanna and Odenigbo are forced to hurriedly abandon their university campus accommodation at the news of the federal army’s invasion of Nsukka, the university town. When they

return after the war ends, they are appalled by the soldiers' wanton destruction of their properties and the environment. In fact, many observers believe local communities are always on the move to avoid the fighting and in the course of such mobilities, the environment could suffer more than the combatants themselves. The other related human activity during wartime is the reprisals of an army against a people or land they feel has sabotaged or made things difficult for them. The Nigerian Army was known for such reprisals as killing of animals like goats, chickens, sheep, pigs, or any animal that they could not immediately use for their meals. They also destroyed cassava and yam farms on enemy territory. By doing this, they are causing imbalance in the environment that led to hunger. Of course, the insecurity of the civil war did not allow for the sustenance of traditional occupations like farming or fishing. Iyayi laments in *Heroes* that "War changes everything, the lives of the fishermen, of the fish and of the birds. In the place of fishermen, there are soldiers, and in the place of the white sand there are the boot marks and the trenches along the banks of the river..." (1986: 79). The constant movement of armies through different fronts just as civilians seeking refuge wherever they could find shelter also unsettles the environment. There is often undue pressure on the forest or bush where these war participants hide for safety as these locations are invaded, ransacked or decimated. Such actions dislodge the nonhumans having the forests as their habitats. It is best left to the imagination how evacuations and reprisals adversely affected birds, reptiles, and other fauna and flora in the course of war as their respective habitats would have been damaged in the human (military or civilian) attempt to protect his life at the expense of the nonhuman. It is thus not surprising that the environment suffers during a civil war as the Nigerian-Biafran one.

Even cultural artefacts as significant parts of a people's cultural landscape are looted and relocated during war. In Emecheta's *Destination Biafra*, Alan, the British administrator and his friend ignored the risk involved in travelling to Okpanam in the heat of a raging war because of the above agenda. On their arrival:

word went round that all Alan Grey wanted were discarded articles of worship, all the huts, the big houses, the old public shrines dislodged their various carvings, mouldings, ancient animal ornaments which they now regarded as pagan objects. Most of them had been badly burnt or buried in the 'bad bush' with the dead, but the young boys of the village laughingly went and dug them up, wondering as they worked what the white man wanted with these discarded things (Emecheta, 1982: 135).

In the first instance, it was tragic enough that the indigenous people have been made to believe that their traditional ways and cultural

objects of worship are now agnostic and therefore best abandoned or cast aside. Yet, the foreigners who have perpetuated this narrative are the ones who have now returned during a period of great chaos to cart away “these discarded objects.” In all of this, the exploiters are either oblivious or choose to ignore the protection of cultural artefacts by law even during war.

While the poetry of the civil war, like the fiction, deals with the human casualties, the poets also touch on the ecology of the war. Even before the war started, Okigbo as foreboding in *Path of Thunder* writes “The smell of blood already floats in the lavender-mist of the afternoon / The death sentence lies in ambush along the corridors of power” (1971: 16). The allusion is to an atmosphere already tinted by the tragedy of an impending war. It shows how human excesses of power could lead to a pollution of the environment metaphorically represented by the “smell” and “lavender-mist” that ensued. This is also implicit in the irony that even though the war writers are mainly focused on the human experience or tragedy of war, they unconsciously draw attention to the condition of the ecology of the places affected by the crisis.

Soyinka has even before the war associated nature with nurture in his poems. He projects that war itself would bring discord to the symbiotic relationship between humans and nonhumans. In “Massacre, October 1966”, (*Idanre and Other Poems*) he uses the image of the acorn as food for pigs as a “devaluation of life” (Ikiddeh, 1976: 171). In “Après la Guerre” in *A Shuttle in the Crypt*, he sees the civil war as damaging the environment which provides humans with nurture when he writes:

The tuber of our common flesh, when
trampled deep in earth embattles
Death, new-girthed, lunges at the sun
but lest it prove a hollowed shell
And lest the feet of new-born lives
Sink in voids of counterfeiting
Do not swell earth’ broken skin
To glaze the fissures in the drum (Soyinka, 1972: 84).

While in detention during the civil war, it was from nature that he sought solace. Humans suffer from tragedy during the war and while in enforced confinement, consolation could emanate from nature even if it is in the form of the sight of an insect. Soyinka sees the environment of fruits and other food crops as essential nutrients of humans and laments that during war, humans invariably destroys and gets disconnected from nature. The advocacy here is that a holistic post-war reconstruction should take in the human and nonhuman casualties.

Clark’s poetry collection titled *Casualties* is dedicated to his feelings and thoughts about the Nigerian Civil War. While harping on

the human casualties, he unconsciously speaks loud on the environment of nonhuman beings. He mythologizes a historical event – the civil war – by deploying nonhumans and nature as metaphors for humans. In “The Burden in Boxes,” he symbolizes Aguiyi-Ironsi, who came out as Head of State, after the 1966 coup as remotely responsible for the civil war:

*Open the boxes was the clamour
 Of monkeys above tides. Open them all!
 Cows in the plains mooed over grass. But
 Into cold storage the high priest
 Of crocodiles moved the boxes,
 Draping them in sacks muzzled at
 The neck... (Clark, 1970: 6)*

Ironsi used a crocodile-inscribed walking-stick and is apparently “the high priest / Of crocodiles.” The poet’s tone is one of admonition as he blames the rabble-rousers (“monkeys above tides”) who instigated the war because of personal and greedy interests (“cows... mooed over grass”). Clark’s deployment of terms like “monkeys”, “tides”, “cows”, “plains”, “grass”, and “crocodiles” exemplifies his impression of the interface between human and nonhuman elements in this poem on the Nigerian civil war. In one of his best poems, “The Cockerel in the Tale”, he again mythologizes the coup leaders using animal imagery to depict his take on who played the lead role:

AT THE DESERT end of a great road
 to the sea, he who woke up the lion
 and burnt down his den over his crest,
 He who the same night bagged
 a rogue elephant, not sparing his brood,
 He who in heat of that hunt
 shot in the eye a bull with horns
 They say never gored a fly, hooves
 that never trod on cocoa or groundnut farm,
 Stood,
 alone on the trembling loft of the land,
 And like the cockerel in the tale, proclaimed
 The break of day uncertain then
 Where the sun should rise.
 He lent the winds of the world
 His name, that morning he lent them forever (Clark, 1970: 8).

This poem is a parable of the nonhuman environment reflecting the human. The execution of the coup shows the opportunistic nature of some of the military officers. In “The Reign of the Crocodile,” the poet indicts “the alligator [who] is stark deaf” (1970: 9).

Clark deploys images of the tropical forest in which he was raised to express the anomalies of the coup which led to the civil war. In “What the Squirrel Said”, he bemoans the irregularities in the treatment of the different major actors which saw the persecutions of the helpless and vulnerable while leaving the dangerous ones:

THEY KILLED the lion in his den
 But left the leopard to his goats
 they killed the bull without horns
 but left the boar to his cassava
 they killed the elephant with his brood
 but left the crocodile to litter the field
 they killed a sheep who played shepherd
 but left the hyrax who was hyena (1970: 13).

Above, the mistakes of the coup were poetically put in the language of a fable reflecting the poet’s recourse to nonhuman images for depicting a war-related incident. Clark seems to be saying that the civil war that broke out in 1967 has its origins in the bad execution of the 1966 coup. This idea of engaging nonhuman metaphors in describing events during a time of chaos is further expressed in “The Locust Hunt.” This poem skirts around a perceived ethnic persecution which led a coup that appeared one-sided:

So a royal bull was slain
 With all the egrets on his hump
 So dog ate dog in a hunt
 With a scattering of the pack in the plain
 Oh, how many grasshoppers make up
 the loss of one elephant?
 How many ticks must there be
 to eat up one mastiff? (1970: 22)

The predominant image one gleans from the lines above is one of anarchy which is a common feature of war. That human actions in a time of chaos are once again described using animal or nonhuman equivalents attest to the poet’s conception of shared commonalities between both entities. To Clark and the other poets, the natural environment with its fauna and flora reflects the human kind; hence he seizes every opportunity in these poems about the civil war to deploy the nonhumans of the environment to weave a fable about human characters and actions. The nonhuman world is replete with comparisons to the human world. Ironically focusing on human errors because of greed and other foibles that caused the war, Clark is saying, perhaps unconsciously, that humans who pride themselves better than nonhumans are in fact the same. The use of copious animal images portrays that man becomes bestial in the

way war makes humans hunt and harm each other. Clark's very popular poem on the war, "The Casualties" significantly supports this study's submission for the need to acknowledge a shared vulnerability between humans and nonhuman as war victims when he declares that "We fall, / All casualties of the war" (1970: 38).

Conclusion

Nigerian writers that re-imagined the historical Nigerian civil war have brought in the condition of the environment in their detailing of the human suffering and tragedy that it was. In the course of doing this, they have also left us with readings of their thoughts and feelings about the effects on the ecology or environment that were sites of the war. From the discussion of armed conflict in the novels and poems, it appears the fiction writers emphasized the physical damage done to the environment while the poets were more focused on using comparisons and fables based elements of the environment. The novelists portray disruption of the forests, rivers, and the land. The poets take from the environment tropes to describe the animal nature of humans. This study shows that delineating only the human tragedy of the civil war is an incomplete assessment of the consequences of the conflict. As the writers have shown in their respective novels, poetry, and other writings, the calamity of war spreads beyond the human to the often passive yet badly decimated ecology. As there is reconstruction after war, so should there be a restoration of the environment in order to sustain a harmonious and symbiotic relationship between humans and nonhumans.

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ISSN

Du discours à l'archétype dans l'œuvre de Mircea Eliade

Nicolae Șera*

From Discourse to Archetype in Mircea Eliade's Works

Abstract:

The exegesis of Mircea Eliade's work highlights the fact that the author integrated concepts that belong to several sciences into his hermeneutical analysis of religion. Thus, our study analyses both Eliade's view of discourse and the tight connection with the idea of myth, which is a fundamental religious concept for his work. We are focusing on the concept of *myth* as fundamental, archaic story, which establishes the connection between human and transcendental by resorting to *symbol* as a key concept for semiotics. Eliade takes the theories of symbol further into Jungian psychoanalysis, while highlighting its connections with the imaginary and the human subconsciousness, thus getting to a fundamental anthropological concept, that of the *archetype*. The circle *discourse–myth–symbol–archetype* that we aim to analyze is thus closed, as it shows the continuity of “divine manifestation”.

Keywords: Discourse, Myth, Symbol, Archetype, Imaginary

1. Le discours

Le terme de discours (du latin *discurrere*, « courir çà et là ») n'est pas à l'origine directement lié au langage. Quand, dès la fin de la latinité, *discursus* prend le sens de discours, c'est d'abord comme chemin hasardeux de la conversation et de l'entretien, avant de renvoyer à toute mise en forme, parlée ou écrite de la pensée ; les rhétoriques grecques du « logos », comme les rhétoriques latines de l'« *oratio* », deviennent alors pour nous rhétoriques du discours, de ses « parties » (verbes, attributs, etc.), de sa « disposition » (exorde, proposition, narration, etc.) et de ses « genres » (démonstratif, délibératif, judiciaire). Avec la rhétorique, le discours n'est pas seulement moyen d'expression de la pensée, mais d'abord instance autonome ; « courant » d'un locuteur à un auditeur ou lecteur, c'est un acte qui vise à un certain effet, dont témoigne tout discours depuis celui des sophistes. (cf. Dictionnaire de rhétorique)

La linguistique propose une définition élargie des discours,

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comme procès d'énonciation discrets et uniques, par lesquels le sujet parlant ou écrivant actualise la « langue » en « parole », au sens saussurien des termes (cf. Benveniste, 1980) et analyse, avec Austin par exemple, les divers actes (locutoire, illocutoire, perlocutoire) qu'accomplit un discours. La psychanalyse et la sociologie font aujourd'hui porter sur tout discours l'éclairage efficace de l'inconscient ou de l'idéologie. Plus généralement, avec la prééminence du modèle linguistique, le discours est, par opposition à une parole commentée ou sacralisée, un objet de science et de critique et le « champ du discours » devient le thème de nombreuses recherches actuelles.

Le « discours » désigne en linguistique l'exercice concret de la faculté du langage. Il suppose l'existence d'un émetteur, qui exprime sa pensée en direction d'un récepteur, réel ou virtuel. Tout énoncé linguistique observable (paroles prononcées ou texte écrit), par opposition au système abstrait de la langue, constitue donc un « discours ».

Fondé sur l'interchangeabilité – tous les membres d'une communauté sont à la fois émetteurs et récepteurs de discours (même si, dans certaines cultures primitives, il y a des discours réservés aux chefs, aux prêtres, aux chamans) –, le langage fonctionne primordialement sous forme de dialogue : on répond à ce que dit l'autre.

Le langage ne s'apprend que dans le dialogue (cf. Benveniste, 1980) ; mais, on ne demande pas seulement à un discours de relier des unités qui font sens : plus fondamentalement, on veut qu'il réponde à une question ou qu'il suscite l'intérêt chez l'autre. Tout discours s'organisera alors selon des relations avec l'autre, présent, absent ou fictif. Certes, on peut dire que des monologues (par exemple un récit, un poème, une explication) sont aussi des formes de dialogue : ils partent d'un discours déjà là, qu'ils reprennent, modifient, et ils anticipent sur une réponse possible. On devra donc dire, avec Bakhtine, qu'il y a du dialogue sous-jacent à tout monologue, et aussi que les enchaînements qui manifestent les genres de discours sont aussi réels que les formes de la langue. Ces enchaînements se différencient donc d'abord en dialogues réels avec un autre et en dialogues fictifs (monologues) avec des autres absents, et ce dans la rêverie, l'œuvre littéraire, le texte officiel.

En s'inspirant de Bakhtine, on dira qu'on ne peut parler de langage qu'au pluriel, qu'il n'existe que des genres de discours. Parmi les « discours du réel », ce n'est pas la même chose de donner un ordre ou de signifier une interdiction que de montrer, de nommer ou d'expliquer. Dans une perspective proche, on pourrait classer les genres de discours par leur relation au temps : commentaires de l'actuel, mémoires, généalogies, projets, anticipations ou discours à prétention atemporelle. Et ceci en soulignant que ces aspects peuvent se mêler, tout comme les deux régimes de l'imaginaire – le diurne et le nocturne –, que c'est la

présence de l'absent que sont le passé ou le futur qui fonde le « réel » : le « pur présent » n'est guère saisissable.

Si tout discours est nécessairement réponse à un discours déjà tenu ou, à l'opposé, renvoi à une réponse possible, il reste qu'on peut distinguer discours fait sur le mode de la répétition (qu'il s'agisse de famille, de religion, de politique, on ne cesse de répéter ce qui a été dit) et discours de transgression, moquerie, critique, commentaire : dans ce cas, le discours ne prend sens que par la distance à l'égard du discours de l'autre.

L'analyse sémiotique considère habituellement la distinction entre le destinataire¹ et le destinataire comme acquise à son point de départ. Or, l'histoire des religions telle qu'Eliade la conçoit met en scène cette genèse de la catégorie : Eliade distingue une totalité primordiale et une histoire primordiale s'insérant dans l'espace narratif ouvert par la scission de la totalité. Son œuvre dans sa totalité confirme l'idée de la distinction entre l'état conjonctif initial dans la totalité et l'état disjonctif qui lui succède dans l'histoire ; cette distinction suffit à fonder un autre paradigme et un autre espace narratif. Tout se passe d'ailleurs sous le signe de la coïncidence des contraires qui recouvre deux types de conjonction : celle entre le destinataire et le destinataire et ensuite celle entre la totalité primordiale et l'histoire qui lui succède.

La théorie scientifique de Mircea Eliade n'échappe pas aux propriétés du récit ; Eliade propose par sa théorie un métarécit prenant en charge toutes les occurrences observées et imaginables de récits religieux. Ce métarécit se fonde sur la permanence d'un certain nombre de classes de concepts faisant isotopie². On peut citer les isotopies les plus importantes de la théorie d'Eliade à savoir : *l'ontologie*, *l'anthropologie*, la *cosmologie*, la *temporalité* et la *spatialité*. Toutes ces isotopies forment en quelque sorte l'ossature conceptuelle de l'histoire des religions telle que l'entend Eliade.

2. Le mythe

Peut-être découvrirons-nous un jour que la même logique est à l'œuvre dans la pensée mythique et dans la pensée scientifique, et que l'homme a toujours pensé aussi bien. (Lévy Strauss, 1958 : 254)

Le mythe, ainsi démythologisé au contact de l'histoire, et élevé à la dignité de symbole, est une dimension de la pensée moderne. (Ricœur, 1993 : 13)

¹ Le destinataire est l'instance narrative qui communique au sujet la performance à réaliser. Le sujet, à son tour, est l'instance narrative effectuant la performance ou l'action dans une séquence donnée du récit (Cf. Umberto Eco, 2013).

² La sémiotique désigne par isotopie un contexte homogène déterminé par la redondance d'une marque distinctive afférente à ce contexte (Cf. Umberto Eco, 2013).

Récit fondateur de l'histoire des hommes, le mythe s'enracine hors de l'histoire, dans des origines indistinctes où les dieux, les êtres et le monde cherchaient à établir leurs places respectives. Qu'il se diffuse sourdement à partir des structures inconscientes de la personnalité ou qu'il renaisse sans cesse des efforts répétés de la mémoire collective, le mythe, témoignage de l'extraordinaire entrelacs de la « pensée sauvage », se fige en mythologie, c'est-à-dire en code de bonne conduite pour les peuples dits primitifs et en « théologie des poètes » pour l'ère de la culture classique.

Ethnologues ou sociologues, culturalistes ou folkloristes, historiens des religions ou des idées, juristes ou économistes, archéologues ou philologues, linguistes ou logiciens, psychologues ou psychanalystes, théologiens ou philosophes, tout le monde, aujourd'hui, s'intéresse au mythe.

Pourtant, la notion de mythe, si elle a été redéfinie, approfondie, analysée à travers le temps, est loin d'être élucidée. De même, la question sur le sens ou la fonction des mythes, notamment au sein des sociétés archaïques, a reçu trop de réponses, et des réponses trop divergentes pour que l'une d'elles, à l'exclusion des autres, puisse s'imposer.

Dans le conflit des interprétations se dessinent deux thèses principales qui s'affrontent. Pour l'une, la vérité des mythes, et même toute vérité, n'est en définitive qu'« *un effet de signification* ». Pour l'autre, la création des mythes, la *mythogénie* vécue, spontanée, n'est qu'un jeu logique, un exercice de mise en ordre, une activité combinatoire. Le mythe a sa manière de dire, et cette manière est logique car elle procède par distinctions, oppositions, corrélations, comme toute pensée logicienne. Mais le plus important n'est pas la manière, la forme : c'est le fond ; le mythe dit quelque chose à quelqu'un sur quelque chose.

Le passage du *mythos* au *logos*, du discours mythique au discours conceptuel (lequel profite, en outre, du passage de l'oral à l'écrit, du genre parlé au genre rédigé, du côté nocturne de l'esprit vers la partie diurne) témoigne pour les deux thèses : il ne les départage pas. Le concept formalise davantage, mais c'est le mythe qui introduit les jeux de distinctions : il les invente, et le concept les reprend, parfois les améliore, quelquefois les approfondit (quand le fonctionnel devient du substantiel, la reprise est éventuellement une méprise). En ce qui touche les contenus, on peut tenir que le sens profond est ou n'est pas dans le mythe ; s'il y est, un discours rationnel a chance de l'y récupérer ; mais s'il n'y est pas, on ne comptera point sur ce discours second pour préférer ce que le discours premier n'aurait pas réussi à faire entendre.

N'étant ni un discours pour démontrer, ni un récit pour montrer, le mythe doit user d'une insistance persuasive que dénote les variations symboliques sur un thème. (Durand, 2015 : 10)

Les anthropologues les plus avisés soutiennent dans leurs oeuvres l'habileté logique de l'homme archaïque (cf. Gusdorf, 1953). Là où les mythes sont la seule école de pensée, le seul laboratoire de l'expression façonnée, raisonnée, nul ne peut être surpris que tous les mécanismes de langage, toutes les procédures logico-formelles, tous les arrangements et tous les tours, à mesure qu'on les découvre, soient essayés sur eux, en eux.

Ce qui peut paraître encore plus étonnant c'est que l'esprit de l'homme archaïque soit capable de s'élaborer psychologiquement, qu'il soit capable de symboliser, c'est-à-dire d'engendrer et d'organiser un corps de signes, capable aussi de se symboliser, c'est-à-dire de se projeter dans des représentations (d'origines, de fins, de moyens ou conditions).

Si l'ordre et la logique du mythe s'expliquent ou peuvent s'expliquer selon un schéma linguistique, sa certitude, sa croyance, son espérance, s'expliquent par la psychanalyse, par la philosophie, l'histoire des religions, comme discipline totale, telle que Mircea Eliade l'a inaugurée.

Le langage courant emploie aujourd'hui le mot « *mythe* » soit pour dénoncer une illusion (« l'indépendance de l'État-nation n'est qu'un mythe »), soit pour évoquer l'image idéalisée, exaltée, d'une personne (le « mythe » de Marilyn Monroe), d'une situation ou d'un événement (le « mythe » du Tour de France). Ces usages soulignent combien le discours mythique, en cela comparable au rêve, relève d'une relation équivoque avec la réalité.

Roland Barthes, dans ses *Mythologies* (1957), qui analysent quelques représentations collectives contemporaines, a mis en évidence ce travail de déformation du langage ordinaire. Ainsi, pour le sens commun comme pour la science des signes (la sémiologie), le mythe³, en

³ Étymologiquement, « mythe » vient de *muthos*, qui, dans la langue grecque du milieu du V^e siècle avant notre ère, désigne encore un énoncé considéré comme vrai. *Muthos* et *logos* (« raison ») restent synonymes tant que les propos qu'ils qualifient sont échangés entre des personnes se reconnaissant membres du même monde politique et culturel. À l'inverse du *logos*, demeuré la parole juste qui défend l'ordre établi et fait l'éloge de ses héros, le mythe désigne « la rumeur qui menace la parole de louange, les voix de l'envie qui font obstacle au surgissement de la Vérité ». (cf. Eliade, 1968) La rupture est consommée quand Thucydide pose les premiers jalons de l'histoire objective; pour Thucydide, à la catégorie du « mythe » – celle de l'opinion fausse, du oui-dire et du discours « d'apparat composé pour l'auditoire du moment » – doit être substituée l'exacte mémoire des événements et des paroles à laquelle donne accès la pensée raisonnée: le *logos*, dont se réclament aussi désormais les philosophes.

ce qu'il n'appelle pas un chat un chat, est une forme suspecte et générale de discours, à laquelle s'opposerait le parler vrai de la critique et de la science.

Livre destiné presque entièrement à la définition du mythe, *Aspects du mythe* paru en 1963 chez Gallimard, dans la collection « Idées », trace les lignes de force de ce concept clé qui va sous-tendre toute la création ultérieure de Mircea Eliade. Dans une première définition, le mythe constitue l'histoire des actes des êtres surnaturels ; cette histoire est considérée absolument vraie et sacrée, le mythe se rapportant toujours à une « création », en d'autres termes, il raconte comment quelque chose est venu à l'existence. En reconnaissant le mythe, on reconnaît l'origine des choses aussi et, par la suite, on arrive à les maîtriser et à les manipuler à volonté. Ainsi, d'une manière ou d'une autre, « on vit le mythe, dans le sens qu'on est saisi par la puissance sacrée, exaltante des événements » (Eliade, 1973 : 30).

Etant une histoire qui relate les origines du monde, le mythe met en scène des êtres surnaturels ou des ancêtres, dont les gestes et les tribulations ont contribué à l'engendrement de l'univers. Chaque récit impartit à chacun d'eux la responsabilité d'avoir créé un objet, institué une coutume ou modelé la géographie jusqu'à ce que, le cycle mythologique ayant été parcouru en sa totalité, on ait intégré tout le monde connu dans un drame cosmologique englobant.

Chaque fragment signifiant de la culture reçoit ainsi par son origine un sens particulier, ordonné à l'ensemble de la compréhension du monde. L'existence des mythes est donc en quelque sorte « garante » de l'état actuel du monde.

Le mythe raconte une histoire sacrée ; il relate un événement qui a eu lieu dans le temps primordial, le temps fabuleux des commencements. Autrement dit, le mythe raconte comment, grâce aux exploits des Etres Surnaturels, une réalité est venue à l'existence, que ce soit la réalité totale, le Cosmos, ou seulement un fragment : une île, une espèce végétale, un comportement humain, une institution. (Eliade, 1973 : 15)

On se rappelle l'épisode biblique de Caïn et Abel qui justifie l'opposition dans le monde sémitique, entre les modes de vie agraire et urbain. Dans la mythologie judéo-chrétienne, la finitude et la souffrance de notre condition remontent à Adam et Eve, qui péchant contre Dieu au commencement du monde et mangeant du fruit défendu, ont été chassés du Paradis Terrestre.

Le mythe est donc un récit qui, en dépit de l'ancienneté des événements qu'il relate, est essentiellement actuel. Il donne prise sur le sens du présent et sa fonction est donc explicative comme s'il était un discours « scientifique » diurne. Le réseau des tribulations ancestrales s'y

déploie pour déterminer des causalités, de enjeux, des rôles permettant à l'opacité initiale du monde de se constituer en drame. Il y a le sens de l'acte originel du héros ; notre monde aujourd'hui – dans la conception d'Eliade – tient ainsi son sens et sa cohérence de cette événementialité originelle :

A travers le mythe, le Monde n'est plus une masse opaque d'objets jetés ensemble, mais un cosmos vivant, articulé et significatif. En dernière analyse, le Monde s'y révèle en tant que langage. (Eliade, 1973 : 174)

Que le « *Monde s'y révèle en tant que langage* » signifie qu'à travers le mythe il se constitue en événement. L'immanence du monde s'ajoute à la transcendance du sens – le volet « nocturne », caché – pour constituer une cohésion nécessaire dont la compacité ne peut être entamée ni du côté du sens, ni du côté de la chose. « Le mythe cosmogonique est vrai parce que l'existence du monde est là pour le prouver » (Eliade, 1973 : 16).

Transcendance et immanence se confrontent alors l'une l'autre et comme la structure du Centre, le mythe désigne le point singulier où le mot se confond avec la chose. Dans l'événement de l'origine, il y a à la fois *ouverture* et *fermeture* d'une dialectique entre le sens et le monde :

ouverture au sens où il y a effectivement, à travers le devenir, ajustement du sens au monde et du monde au sens ; mais fermeture aussi, en ce que l'événement a précisément pour tâche de fermer le devenir et d'arrêter le flottement du signe par rapport au référent, ou du sens par rapport au monde. (Pierre, 1989 : 148)

Le mythe est aussi intimement lié à la notion de *durée*. Il constitue une défense contre le temps et son usure ; il sacralise l'histoire à laquelle il s'oppose, car il appartient à une autre catégorie, à savoir à l'éternel. Le rôle du mythe – ou, plus précisément, le récit d'un mythe – est de nous réveiller, de briser les obstacles qui obstruent notre vision intérieure afin de nous faire voir les choses telles qu'elles sont et éloigner l'ignorance. Du même coup, il nous réinstalle dans la réalité masquée à chaque instant par notre temps, le temps profane, relatif. Selon l'opinion de Mircea Eliade, pour éviter la dégénérescence due à l'écoulement du temps, l'ensemble des archétypes mythiques qui soutiennent la vie de la collectivité sont régulièrement régénérés. La différence fondamentale entre le monde archaïque et la société moderne – dans la vision éliadésque – tourne autour de la valeur du temps :

L'abolition du temps profane par l'imitation des modèles exemplaires et par la réactualisation des événements mythiques, constitue comme une note spécifique de toute société traditionnelle. (Eliade, 1952 : 74)

En définitive, « le mythe implique une rupture du Temps et du monde environnant ; il réalise une ouverture vers le Grand Temps, vers le Temps sacré » (Eliade, 1952 : 75). Dans l'opinion de l'auteur, s'identifier avec le temps signifie s'identifier avec la non réalité, avec le mouvant, avec le devenir. Le renouvellement continu est possible grâce aux commencements anhistoriques des mythes, dont l'origine est toujours *in illo tempore* et, par conséquent, supra-humain. A certains intervalles, les archétypes ou les modèles exemplaires, comme dit d'ailleurs Eliade, doivent refertiliser la société et du même coup, l'individu. D'où l'idée de répétition ou *éternel retour* qui prit une telle importance chez les présocratiques et qui a donné naissance à un livre entier de l'auteur (cf. Eliade, 1969). Ce déroulement dialectique des cycles cosmiques, des âges de l'humanité, est contenu dans toutes les grandes traditions. Complémentaire à l'élaboration des cycles cosmiques, qui rend compte de l'usure du temps, un autre développement surgit chez les Hébreux : Abraham inaugure une nouvelle dimension religieuse : Dieu se révèle comme personnel. Dès lors, « l'événement historique devient une théophanie qui servira d'assise à la philosophie de l'histoire que le christianisme va s'efforcer de construire » (Eliade, 1969 : 164).

Il n'est pas facile de définir en quelques mots la conception qu'Eliade se faisait du christianisme, bien que cette question l'ait sans doute obsédé. Il résume le mieux sa pensée à ce sujet dans le neuvième chapitre de son livre *Aspects du mythe*, publié à Paris, chez Gallimard en 1963. Pour Eliade le christianisme est une sorte d'ensemble composite dans lequel se sont mêlés ou superposés plusieurs influences ou courants dont il met en évidence cinq.

Premièrement, comme toute religion, le christianisme préserve des catégories et des comportements mythiques, archaïques ; c'est dans ce contexte qu'il faut placer le drame de Jésus-Christ.

Le christianisme a également préservé un certain nombre de symboles cosmiques – l'eau, l'arbre, la vigne, la charrue et la hache, le navire, etc. – qu'il a replacés dans une perspective sacramentaire et ecclésiastique.

Troisièmement, Eliade considère que l'enseignement pratiqué par Jésus, les traditions ésotériques des apôtres se trouvent à l'origine du christianisme. Le quatrième courant qui est aussi le plus important aux yeux d'Eliade est représenté par ce qu'il nomme « le christianisme cosmique », c'est-à-dire les folklores populaires et rituels païens centrés sur les rythmes cosmiques, les cultes de la fertilité.

Dernièrement, il s'agit de l'influence judaïque qui entre dans la composition du christianisme. Cette influence est résumée par l'invention de l'Histoire qui s'oppose au temps mythique. Comme il s'agit d'une expérience totalement différente de l'expérience

traditionnelle, puisqu'il s'agit de la foi, la régénération périodique du monde se traduit dans le christianisme par une régénération de la personne humaine.

L'année liturgique chrétienne est fondée sur une répétition périodique et réelle de la Nativité, de la Passion, de la mort et de la résurrection de Jésus, avec tout ce que ce cadre mystique implique pour un chrétien ; c'est-à-dire la réintégration personnelle et cosmique par la réactualisation in concreto de la naissance, de la mort et de la résurrection du Sauveur. (Eliade, 1969 : 192-193)

L'un des fondements de l'expérience religieuse, sinon la raison d'être essentielle, paraît donc être une résistance au temps qui pousse irrésistiblement à la réintégration dans un temps mythique et édénique chez l'homme archaïque, tandis qu'à l'autre bout de la culture, il conduit le mystique à l'union avec l'Absolu.

Selon l'historien des religions Mircea Eliade (*Traité d'histoire des religions*, 1949; *Aspects du mythe*, 1963), « le mythe raconte une histoire sacrée; il relate un événement qui a eu lieu dans le temps primordial, le temps fabuleux des commencements ».

Défini comme un phénomène religieux, le mythe est naturellement mis en rapport avec les rites, les initiations, les cérémonies marquant les étapes de la vie. Toutes les formes de culte procéderaient du mythe, en tant qu'il fait revivre les origines du monde et des hommes. Pour Eliade et tous ceux qui insistent sur la dimension vécue du mythe, ce dernier n'est compréhensible qu'en référence au point de vue, supposé ou réel, de ceux qui le racontent ou le mettent en scène. Aux yeux des « croyants », le mythe ne peut être qu'une «histoire vraie»; ses invraisemblances même le justifient.

3. Le symbole

C'est dans la mesure où, en assumant sa présence au Monde, il se trouvait devant le « chiffre » ou la « parole » du Monde, que l'homme était amené à affronter le mystère des aspects contradictoires d'une réalité ou d'une sacralité qu'il était tenté de considérer comme compacte et homogène.

Une des plus grandes découvertes de l'esprit humain fut naïvement pressentie au jour où, à travers certains symboles religieux, l'homme devina que les polarités et les antagonismes peuvent être articulés et intégrés dans une unité. Dès lors, les aspects négatifs et sinistres du cosmos et des dieux, non seulement trouvaient une justification, mais se révélaient partie intégrante de toute réalité ou sacralité. (Eliade, 1972 : 260-261)

Les recherches systématiques menées sur le mécanisme de la « mentalité primitive » ont révélé l'importance du symbolisme pour la pensée archaïque en même temps que son rôle fondamental dans la vie de n'importe quelle société traditionnelle. Le dépassement du « scientisme » dans la philosophie, la renaissance de l'intérêt religieux

après la première guerre mondiale, les multiples expériences poétiques et surtout les recherches du surréalisme (avec la redécouverte de l'occultisme, de la littérature noire, de l'absurde, etc.) ont, sur des plans et avec des résultats différents attiré l'attention du grand public sur le symbole envisagé comme *mode autonome de connaissance*. Pareil à l'écriture dont elle fait partie, le symbole renforce et approfondit la complémentarité entre l'aspect diurne et celui nocturne de la création.

Dans un de ses ouvrages de référence, *Images et symboles*, Eliade exprime son espoir que l'Europe ne restera paralysée devant les images et les symboles qui, dans le monde exotique, tiennent la place de nos concepts ou les véhiculent et les prolongent. L'auteur continue par l'idée selon laquelle une heureuse conjonction temporelle a fait redécouvrir à l'Europe occidentale *la valeur cognitive* du symbole; toutes les découvertes et les vagues successives ayant rapport à l'irrationnel, à l'inconscient, au symbolisme, aux expériences poétiques, aux arts exotiques et non figuratifs, ont directement servi l'Occident, en le préparant à une compréhension plus vivante et donc plus profonde des valeurs extra européennes et, en définitive, au dialogue avec les cultures des peuples non européens.

On est en train de comprendre aujourd'hui une chose que le XIX^e siècle ne pourrait même pas pressentir, à savoir que le symbole, le mythe, l'image appartiennent à la substance de la vie spirituelle, qu'on peut les camoufler, les mutiler, les dégrader, mais on ne les extirpera jamais. La pensée symbolique est donc consubstantielle à l'être humain: elle précède le langage et la raison discursive. Le symbole révèle certains aspects de la réalité - les plus profonds, dit Eliade - qui défient tout autre moyen de connaissance. Les images, les symboles ou les mythes ne sont pas des créations irresponsables de la psyché; ils répondent à une nécessité et remplissent une fonction: mettre à nu les modalités les plus secrètes de l'être. « Il n'est pas toujours nécessaire de connaître la mythologie pour vivre les grandes thèmes mythiques (Eliade, 1952 : 15) affirme Eliade – car l'inconscient est beaucoup plus poétique, plus philosophique, voire plus mythique que la vie consciente. Les rêves, les rêves éveillés ou les images sont autant de forces qui projettent l'être humain historiquement conditionné dans un monde spirituel infiniment plus riche que le monde clos du moment historique; et cela est possible grâce à la structure multivalente des images. Si l'esprit utilise les images pour saisir une réalité ultime des choses, c'est justement parce que cette réalité se manifeste d'une manière contradictoire, et par conséquent ne saurait être exprimée par des concepts.

Toute cette portion, essentielle et imprescriptible, de l'homme qui s'appelle l'imagination, baigne en plein symbolisme et continue de vivre des mythes et des théologies archaïques (Eliade, 1952 : 22)

Il ne tient qu'à l'homme moderne de « réveiller » cet inestimable trésor d'images qu'il porte avec soi; car « avoir de l'imagination », c'est jouir d'une richesse intérieure, d'un flux ininterrompu et spontané d'images. L'imagination imite les modèles exemplaires – les Images –, les reproduit, les réactualise, les répète sans fin. Avoir de l'imagination, c'est voir le monde dans sa totalité parce que c'est la mission et le pouvoir des Images de montrer tout ce qui demeure réfractaire au concept.

Au moment où l'Occident tend enfin à renouer le dialogue avec d'autres formes de spiritualités – archaïques et exotiques – Eliade à travers toute son œuvre réinstalle le symbole comme instrument de connaissance et, pour reprendre les mots de l'auteur, « l'origine d'un symbole vaut la découverte d'une dynastie de pharaons » (Eliade, 1939 : 38).

Intitulé « *Remarques sur le symbolisme religieux* », ce chapitre du livre « *Méphistophélès et l'Androgyne* » est la meilleure introduction aux idées de Mircea Eliade sur la nature et le rôle du symbolisme religieux⁴. Cet essai est d'autant plus important que c'est autour du symbolisme religieux qu'Eliade a édifié sa propre phénoménologie et herméneutique. Selon l'auteur, les symboles sont susceptibles de révéler une modalité du réel ou une structure du Monde qui ne sont pas évidentes sur le plan de l'expérience immédiate. Pour les primitifs, les symboles sont toujours religieux, puisqu'ils visent soit quelque chose de réel, soit une structure du Monde. Or, aux niveaux archaïques de culture, le réel – c'est-à-dire le puissant, le significatif, le vivant – équivaut au sacré. Une caractéristique essentielle du symbolisme religieux est sa multivalence, sa capacité d'exprimer simultanément plusieurs significations dont la solidarité n'est pas évidente sur le plan de l'expérience immédiate ainsi, le symbole est susceptible de révéler une perspective dans laquelle des réalités hétérogènes se laissent articuler dans un ensemble ou même s'intègrent dans un « système ». Peut-être la fonction la plus importante du symbolisme religieux – importante surtout à cause du rôle qu'elle va jouer dans les spéculations philosophiques ultérieures – est sa capacité d'exprimer des situations paradoxales (la coexistence du diurne et du nocturne dans la même structure, par exemple) ou certaines structures de la réalité ultime, autrement

⁴ Nous partageons l'opinion des exégètes le plus avisés de l'œuvre éliadesque, tels Douglas Allen, Thomas Altizer (*Mircea Eliade et la dialectique du sacré*).

impossible à exprimer (cf. Eliade, 1972 : 260). Ou, pour reprendre les mots de l'auteur,

Le symbole prolonge la dialectique de l'hiérophanie, et tout ce qui n'est pas directement consacré par une hiérophanie devient sacré grâce à sa participation au symbole. (Eliade, 1968 : 374)

Il est difficile de parler d'un objet dans les termes d'une hiérophanie, sans supposer logiquement, présent dans cet objet, le symbolisme. La hiérophanie vaut par la singularité qu'elle introduit dans l'homogénéité du réel ; elle provoque une rupture dans le continuum de l'existence. Cette valeur existentielle est « la rencontre de la singularité d'une saillie dans l'immédiateté du réel, et de la généralité d'une structure transcendante » (Pierre, 1989 : 135).

Le caractère sacré d'un objet suppose une théorie cosmologique en même temps qu'une conception précise de la dialectique hiérophanique. Nous sommes d'emblée dans la dialectique du sacré. Tel arbre ne peut avoir de valeur hiérophanique que si quelque chose en lui donne à voir l'Arbre, c'est-à-dire met en œuvre le symbolisme et transporte la singularité de l'objet dans un principe général. C'est même la seule définition de l'hiérophanie : l'habitation du sacré, donc du général, dans un objet profane, le singulier. L'objet est placé en tension entre la transparence et son opacité, entre la généralité transcendante de son archétype et la singularité immanente de sa condition historique (cf. Pierre, 1989). De cette manière, l'irruption du sacré a ébranlé la totalité de l'existence en provoquant dans la conscience de celle-ci un séisme, une hétérogénéité radicale entre deux ordres de réalité : le Sacré et le Profane.

Eliade considère que le symbolisme a toujours bénéficié d'une place privilégiée dans l'expérience magico-religieuse de l'humanité

avant tout parce que le symbole peut continuer le processus de hiérophanisation et, surtout parce que, à l'occasion, il est lui-même une hiérophanie, c'est-à-dire parce qu'il révèle une réalité sacrée ou cosmologique qu'aucune autre manifestation n'est à même de révéler. (Eliade, 1968 : 375)

D'un certain point de vue, l'être humain se caractérise en tant qu'*Homo symbolicus* ; cette façon de considérer l'être humain s'applique plus spécialement à l'*Homo religiosus*, étant donné la nature symbolique du phénomène religieux :

L'homme étant un *Homo symbolicus*, et toutes ses activités impliquant le symbolisme, tous les faits religieux ont nécessairement un caractère symbolique. Rien de plus certain si l'on songe que tout acte religieux et tout objet culturel visent une réalité méta-empirique. L'arbre qui devient objet de culte n'est pas

vénéré en tant qu'arbre, mais en tant qu'hiérophanie, en tant que manifestation du sacré. Et tout acte religieux, dès lors même qu'il est religieux, et chargé d'une signification qui, en dernière instance, est « symbolique », puisqu'elle se réfère à des valeurs ou des figures surnaturels. (Eliade, 1972 : 251)

Presque tous ceux qui ont traité du symbolisme sont d'accord pour considérer que tout symbole vise au-delà de lui-même, comme le dit Paul Tillich (cf. Tillich, 1956), qui voit en cela leur caractéristique fondamentale. Le symbole possède une aptitude figurative, car il permet indirectement de conférer un autre sens qui n'est ni le sens usuel ou ordinaire ou littéral.

Le recours au symbole est dû à ce que le référent de la manifestation religieuse est perçu comme empreint de transcendance. Il faut encore préciser comment l'être humain en arrive à entrer en rapport avec ce « quelque chose d'autre » qui n'est ni humain, ni naturel. Il faut alors insister sur la *spécificité* du symbole religieux, lequel est à même de jouer d'une certaine façon le rôle d'un pont : le symbole, pour s'exprimer, doit se référer à des phénomènes spécifiques, concrets, naturels.

De la sorte, il permet à *l'Homo religiosus* de rendre compte de ce qui est étranger à l'être humain et à sa situation existentielle. Les symboles donnent accès à la réalité de l'autre et ouvrent la voie à la participation et à la communion. Le fragment suivant pourrait illustrer toute la conception éliadesque concernant le symbole, même s'il fait partie de son journal :

Je relis L'Eau et les rêves. Bachelard parle fort bien de l'imagination de la matière. Je pense montrer (peut-être dans un essai : "L'eau, les rêves et les symboles") que l'imagination constitue un moyen de connaissance parce qu'elle nous dévoile, de façon intelligible et cohérente, les modes du réel. Bachelard pense que le symbole a une histoire psychologique. Peut-être a-t-il raison, mais ce qui m'intéresse, c'est qu'une fois constitué, le symbole est investi d'une double fonction, "existentielle et cognitive". Un symbole rassemble, marie des secteurs divers du réel (le symbolisme aquatique, par exemple, révèle la solidarité structurale entre les eaux, la Lune, le devenir, la végétation, la féminité, les germes, la naissance, la mort, la re-naissance, etc.). D'autre part, le symbole est toujours ouvert, c'est-à-dire susceptible de dévoiler des significations "transcendentes", qui ne sont pas données (qui ne sont pas évidentes) pour l'expérience immédiate; prenons un exemple: le rites baptismaux révèlent un autre niveau du réel que le biocosmique (naissance – mort – re-naissance), ils révèlent "la naissance spirituelle", la re-naissance à un mode d'être transcendant (la rédemption, etc.). Le symbole aquatique n'est pas seulement "fidélité à un tempérament onirique fondamental" (Bachelard), mais aussi un moyen de saisir le réel dans sa totalité, car il révèle l'unité fondamentale du Cosmos. Un symbole devient autonome dès le moment même où il s'est constitué comme tel, sa polyvalence nous aide à découvrir, entre différents modes d'être, des homologations qui échappent à la simple « imagination » de la matière ». (Eliade, 1973 : 9-10)

A considérer l'ensemble de l'œuvre de Mircea Eliade, il apparaît clairement que sa démarche phénoménologique est axée, non sur les symboles pris isolément, mais sur les structures symboliques considérées comme un tout. Il en ressort également qu'en phénoménologie on ne saurait interpréter un symbole spécifique sans l'avoir au préalable considéré comme l'une des multiples valorisations d'un système structurel. En *Images et symboles* Eliade notait :

Ce n'est pas en situant un symbole dans sa propre histoire qu'on résoudra le problème essentiel, à savoir : ce que nous révèle non pas une version particulière d'un symbole mais la totalité d'un symbolisme. (Eliade, 1952 : 215)

Selon Eliade, le symbole émerge d'une création de la psyché, se constitue comme

résultat des tensions existentielles et des saisies totales du monde. Par un acte de création autonome, les phénomènes de la nature se trouvent librement transformés par la psyché en symboles de la puissance et de la sacralité qu'ils manifestent aux yeux de l'observateur. (Eliade, 1952 : 9 et 233)⁵

Eliade s'attache en premier lieu à déterminer la fonction des symboles religieux, et le contenu de ce qu'ils révèlent. Ses conclusions majeures sont que la pensée symbolique est un mode de connaissance autonome qui possède une structure spécifique, que les symboles ont leur propre logique et s'assemblent en systèmes structurés et cohérents, que tout symbolisme cohérent a un caractère universel, que tout système symbolique tend à préserver ses structures propres, indépendamment de la conscience qu'en a l'utilisateur (cf. Eliade, 1968 : 377-378). Cette « logique » des symboles se manifeste dans les rêves, les fantasmes, l'imaginaire, la création artistique, etc. ; Eliade assimile cette logique et les structures symboliques propres aux phénomènes religieux à celles qui se dégagent d'autres types de manifestations. Ou, pour reprendre un autre critère, c'est sa « multivalence » qui, entre autres qualités, nous fait apprécier le symbolisme poétique.

En d'autres termes, tout symbole vise au-delà de lui-même. Les symboles religieux, cependant, tout en se référant à des phénomènes naturels déterminés et bien réels, visent « autre chose », de nature transcendante, transhistorique, transhumaine ; ils aspirent au sacré justement par le biais de leur double nature diurne et nocturne. Et,

Par ses propriétés, le langage religieux, dans la mesure où il exprime ce qui est non-contingent, transcendant, ultime, ou tout ce qui présente ces caractéristiques aux yeux d'une communauté, s'écarte des autres types de langage. (Eliade, 1972 : 254)

⁵ idée d'ailleurs reprise dans *Méphistophélès et l'androgynie* (Eliade, 1972 : 265).

Pour Eliade, le sacré « *parle* » ou se révèle au travers des symboles. Mais cette révélation ne saurait être traduite en un langage clair et objectif. C'est en dressant la liste des différents aspects, des différentes profondeurs de cette révélation symbolique qu'Eliade analyse la nature et la fonction du symbolisme en général. Ses conceptions peuvent être résumées comme suit :

- Les symboles religieux peuvent nous révéler une structure du monde qui n'est pas évidente sur le plan de l'expérience immédiate ;
- Le symbolisme religieux est multivalent⁶ ; par suite de cette multivalence,
- Le symbolisme religieux est en mesure de rassembler les diverses significations en un tout intégré, ou en un système⁷ ;
- Son aptitude à l'unification ou la systématisation rend le symbolisme religieux à même d'exprimer des *situations paradoxales*⁸, ou des structures qui sans lui resteraient sans expression ;

Peut-être la fonction la plus importante du symbolisme religieux est-elle sa capacité d'exprimer des situations paradoxales ou certaines structures de la réalité ultime, autrement impossible à exprimer. (Eliade, 1972 : 259)

- Il faut reconnaître la valeur existentielle des symboles et du symbolisme religieux, c'est-à-dire le fait qu'un symbole vise toujours une réalité ou une situation qui engage l'existence humaine. « Le symbole religieux ne dévoile pas seulement une structure du réel ou une dimension de l'existence, il apporte en même temps une signification à l'existence humaine. » (Eliade, 1972 : 261)

⁶ Eliade appelle *multivalence* la capacité des symboles d'exprimer simultanément plusieurs significations dont la solidarité n'est pas évidente sur le plan de l'expérience immédiate. Dans son analyse du symbolisme lunaire, par exemple, Eliade a montré que le symbolisme religieux est en mesure de révéler bon nombre de significations structurelles cohérentes : les rythmes lunaires, la loi du devenir universel, la mort et la résurrection, ou régénération, les eaux et la pluie, les plantes et la vie végétale, la fertilité, le principe féminin, la destinée de l'homme, etc. « En dernière analyse, le symbolisme de la Lune dévoile une correspondance d'ordre mystique entre les divers niveaux de la réalité cosmique et certaines modalités de l'existence humaine » affirme-t-il (Eliade, 1972 : 254-255).

⁷ Cette capacité du symbolisme religieux de dévoiler une multitude de significations structurellement solidaires a une conséquence importante : le symbole est susceptible de révéler une perspective dans laquelle des réalités hétérogènes se laissent articuler dans un ensemble, ou même s'intègrent dans un système. Autrement dit, le symbole religieux permet à l'homme de découvrir une certaine unité du Monde et en même temps de se révéler sa propre destinée comme partie intégrante du Monde.

⁸ Ce sont justement ces aspects de la réalité – *paradoxaux, contradictoires, énigmatiques* – qui ont le plus fortement frappé l'*Homo religiosus* et qui ont amené Eliade à souligner certaines particularités de la puissance révélatrice du symbolisme religieux.

4. L'Archétype

Pour comprendre cette dimension existentielle du symbolisme religieux, il faut souligner que le symbolisme fait « éclater » la réalité immédiate d'une situation existentielle dans ce qu'elle peut avoir de particulier, de naturel, de profane. Le symbole est perçu comme un chiffre qui vise au-delà de lui-même et dévoile certaines structures du Monde ou des aspects de la réalité jusqu'alors ignorées. Il est aussi perçu comme chiffre de la sacralité, au moyen duquel l'existence accède à une réalité qui se situe sur un plan « autre » que le profane et au-delà de lui : « Le symbolisme, en général, réalise une « porosité » universelle ouvrant les êtres et les choses à des significations transobjectives » (Eliade, 1954 : 250).

L'explication que donne Eliade de la remarquable continuité, de la permanence, de l'universalité et de la résurgence spontanée des structures symboliques archétypales semble inspirée par C. G. Jung : il s'agirait en occurrence d'« empreintes », de « mémoires » primordiales qui se perpétueraient dans l'inconscient (Eliade, 1877 : 177-180). En dépit de l'admiration et l'amitié entre les deux savants, dans la préface du *Mythe de l'éternel retour* Eliade se détache de l'acception donnée par Jung aux archétypes ; plus précisément, il affirme :

Dans ce livre je ne traite en aucune façon de la psychologie des profondeurs, pas plus de la notion de l'inconscient collectif. Si j'utilise le terme d'archétype, c'est dans l'acception que lui donne Eugenio d'Ors, et il est synonyme de 'modèle exemplaire', de 'paradigme'. En dernière analyse, il s'agit là d'une acception très augustinienne. (Eliade, 1969 : 8-9)

Néanmoins, on trouve dans ses ouvrages de nombreux passages qui témoignent d'une acception très proche de celle de Jung ; dans *Images et symboles*, par exemple, il affirme :

Chaque être historique porte en soi une grande partie de l'humanité d'avant l'histoire ... on a vu que les mythes se dégradent et que les symboles se sécularisent, mais ils ne disparaissent jamais, fût-ce la plus positiviste des civilisations, celle du XIX^e siècle. Les symboles et les mythes viennent de trop loin : ils font partie de l'être humain et il est impossible de ne pas les retrouver dans n'importe quelle situation existentielle de l'homme en Cosmos. (Eliade, 1952 : 30-31)

La meilleure compréhension de la structure essentielle commune aux divers phénomènes où se manifeste un certain symbolisme est de déterminer le noyau invariant universel – l'archétype, en d'autres termes – qui représente la signification essentielle d'un symbolisme donné.

On appelle archétype un modèle idéal, un type suprême ou un prototype : dans ce sens, les Idées chez Platon sont le modèle en même

temps que le fondement des choses. C'est Jung qui a répandu l'usage de ce terme à partir de 1912 et qui lui a conféré valeur technique dans sa psychologie de l'inconscient. Pour Jung, tous les inconscients individuels s'enracinent dans un inconscient collectif qui leur est commun ; cet inconscient enferme des types originaux de représentations symboliques, qui sont des modèles de comportement. Ce sont ces types, inhérents à la nature humaine, corollaires psychiques des instincts biologiques, que Jung dénomme archétypes (Jung, 1994). Chez Eliade l'archétype prend une signification quelque peu différente, car Eliade le met en relation avec l'éternel retour, la circularité du temps :

L'homme religieux tend périodiquement vers l'archétype, vers les états "purs", d'où la tendance de retourner au moment premier, à répéter ce qui a été au commencement. Tant qu'on n'a pas compris la fonction "simplificatrice", "créatrice" des archétypes, des retours, des répétitions, des reprises - on ne comprendra pas comment sont possibles l'expérience religieuse et la continuité des formes divines, en un mot, comment sont possibles l'histoire et la forme dans la "religion". (Eliade, 1973 : 27)

Parce qu'ils sont, dans l'homme, une sorte d'a priori de l'espèce sur le plan mental (comme le sont les instincts sur le plan vital), il n'est pas étonnant qu'on les retrouve chez les individus les plus différents, chez les peuples les plus éloignés, sans influence mutuelle. De son côté, les morphologues des religions, Eliade en spécial, adopte la notion d'archétype pour désigner les symboles fondamentaux qui servent de matrice à des séries de représentations. Au sens large, l'archétype est l'image primordiale, l'image mère, celle qui alimente les images «personnelles» et qui les nourrit à partir d'un même fonds «archaïque», qu'exploitent mythologies et religions.

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The Sacred and the Profane in Fr. Andrew M. Greeley's *Passover Trilogy*

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Abstract:

Using the concept of the sacred–profane dichotomy by Emile Durkheim which is found in his *Elementary Forms of Religious Life* (1912), the author attempts to prove the existence of the sacred and the profane elements in Fr. Andrew Greeley's *Passover Trilogy*. After dissecting the novels, the article found out that, as per Durkheim's concept, sacred and profane elements existed. However, the dichotomy of the sacred and the profane was advertently fused. This harmonious fusion of the sacred and the profane is important in shaping the characters' lives (who are representations of real people) especially in terms of their moral rebirth and sense of renewal, and that the dichotomy of the sacred and the profane would only create chaos and confusion, among others.

Keywords: Andrew M. Greeley, Sociology of Literature, the Sacred and the Profane, *Passover Trilogy*, Sociology of Religion

Introduction

Religion is one of the many topics that one should avoid tackling in any context of a conversation. Religions, as thought of by sociologists, are better understood when looked upon in a sociological context. However, studying religion from a sociological point of view seems more tabooed than just talking about it. The idea that religion is a social product instead of a divine gift is irreverent, if not blasphemous to most people.

Primarily, realizing the importance of Emile Durkheim's *The Elementary Forms of Religious Life* (1915), the researcher has seen it fit to use it as a lens in reading Greeley. Seeing the world of religious people slowly crumble down into decadence, as seen by these sociologists, it is rather timely that one faces these questionable issues that surround the representative and leaders of the church. Probably, though studying religion through a sociological microscope seems taboo, and coming-up with formulas or similarities in religions from all over the world appears to the average layman as irreverent, sociologists consider

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this endeavor of studying religion as a must in understanding better the nature, not only of religion, but also of humanity itself.

Though always mentioned in loudest whispers, the leaders of the Catholic religion have shown wanton profanity in many situations. Father Andrew M. Greeley, an Irish-American Roman Catholic priest, who was also a sociologist, journalist and novelist, has dared narrate the stories of the clergy. He has put these profanities into the light. Following the tradition of Graham Greene, he was able to show the light and dark side of the seminarians' and full-fledged priests' life in his novels. In his stories, he has shown the world about the horrid reality behind the men of the Catholic Church. With his fictions, he has become one of the most controversial novelists of his time – probably more controversial than D.H. Lawrence, Nathaniel Hawthorne, and James Joyce combined. Sadly, Greeley's novels have yet to impact on the (Catholic) sensibilities of his readers. Although he was a leader of the Catholic Church, one sees in his novels that priests like his main characters are very vulnerable to temptations. This choice of the author's subject matter is deeply disturbing, especially for narrow-minded and closed-minded individuals, when one thinks that the author is himself a priest.

Discussion

The sacred and the profane are not something to be identified as good or evil. The sacred is something that represents the interests of the society, usually made flesh in sacred symbols. Consequentially, anything that shows individuality or rebellion against the norms of the society is considered profane. This theory further shows the possibility that sacred things may appear or be held evil in the same manner that profane things good.

In other words, the concept of good and evil is highly subjective. Even Sartre's (1976) *Morality without Religion* explicitly says that a religious man is not a moral man necessarily. For Durkheim, anything that considers the interest of the society is the sacred element.

Fidelity to Commitment, as embodied in Marriage Vows and Priestly Vows

Greeley's *Thy Brother's Wife*, which is basically a story about forms of commitment, represents the Holy Thursday liturgy. The novel reminds us the story of Jesus, two thousand years ago during the Feast of the Unleavened Bread – also the Holy Thursday among the Catholics – when He *committed* Himself to the apostles.

Although the theme of the Holy Thursday is the fidelity to the Father's will, as upheld in the Catholic Church, Greeley obviously

emphasizes the theme of commitment in the novel – appropriately making the first sacred component – the fidelity to commitment.

Moreover, most of the important events in the novel happen during the Holy Thursday, the eight books that divide the events in the novels under study start with the verse from Book of John – except Book VIII, which also includes the Prayer of Priestly Recommitment – most of it from Chapter 13 which talks about Jesus’ washing His disciples’ feet – a sign of commitment, as much as humility of God.

From the Catholic stance, the Holy Thursday is a celebration of commitment, as much as the day of renewing the commitments of priests to the Holy Catholic Church and to the priestly works of the men of the cloth.

Among the events in the novel, the most striking and the most memorable Holy Thursdays are the ones when Sean has been offered the position of Archbishop of Chicago. Although he has rejected the position many times before for feeling unworthy of it, especially after touching Nora, he accepts it later – on a Holy Thursday.

Sean’s acceptance for the work as an archbishop is not the disturbing one, but the number of times he rejects it – even other positions earlier in the story which he accepts are much against his will or better judgment. He only accepts them finally, after much agonizing, because of his commitment to the Church. However, he has tried several times to get out of the priesthood by giving harsh and public comments and reactions against other priests and the politics of the Catholic Church. For instance, when he is interviewed by reporters about his stance on birth control, he frankly tells the reporters that it is the couple’s choice (163). Also, when Sean reacts to the promotion of a colleague who has an issue on homosexuality, he says fervently that God “deliver [them] from a faggot bishop” (164) in front of his colleagues. Another form of resistance against the strict catholic dogma is reflected in his letter to Paul and Nora where he writes: “... the Church has lost its touch with the problems and needs of contemporary human beings... I find that I’m against everything” (136).

And the worst, as an ordained priest, when Sean frankly and openly questions the Pope’s authority (166). Ironically, instead of being kicked out of priesthood, as he silently, fervently wished, he is being promoted for his sense of forthrightness; better yet, “honesty”.

He has become painfully honest and open about his feelings, after he had shown his physical intimacy with his brother’s wife, Nora. After he and Nora have consummated their love, Sean was never the same stable, committed priest. He wishes to sever his connection with the Church, but he would not do it out of his own volition. He would like other people to kick him out, and not destroy his own commitment.

Eventually, although he has “imperfectly kept” his promise and commitment, as Greeley said, he kept it. He wants to marry Nora so much that he has done everything to be defrocked, apostatized, and ousted from the Church. Yet, in the end, it is Nora herself who helps Sean settle his mind down on his commitments rather than his love for Nora he kept bottled up inside his heart. She strongly holds that their commitments are much holier than the love they feel for each other. Being together with the person he loves is not worth it, if the price exacted calls for the banishment from the Church and from everything he believes in.

The commitments that Sean keeps are sacred to him; however, many are the times when he has been tempted to quit the priesthood – the most striking moment is when he finally possessed Nora. Before that critical moment, anybody who would try to seduce and sleep with him fails, but when Sean and Nora give in to their passion in the absence of her husband on a similar illicit affair, Sean does not hesitate either. They make love on the beach. He does not feel guilty about it though, at least for a while. Only at the last night together does Sean feel remorse in him, saying “Oh God, what have we been doing Nora? What terrible things have we been doing?” (173). Nora believes, though, that they are not committing any sin, “I refuse to think that this is wrong. We’re not committing sin...” (173). Her statement only shows two things: first, her character appears stronger than Sean’s; and second, she feels that they have the right love at the right time. However acceptable her rationalization regarding their sin, she cannot still hide the fact that they have committed adultery – this sin is crystal-clear.

After Sean’s epiphany, he then remembers his promises and Nora’s. Sean feels so confused that he does not know what to do with their broken promises: his promises to the Church and Nora’s to her husband. “Neither one of us is going to give up our commitments, Sean. I’m going back to Paul. You’re going back to your Church” (173), insists Nora, as though she controls the situation. She even thinks she knows how God thinks by claiming, “I’m sure God doesn’t think it’s wrong” (173).

This momentous event in their existence has brought an aftereffect on their lives. Sean, by contrast, has become an outspoken and liberal priest, probably, his explicit way of being out of the Church. He does not want it to come from him, so he shows that he is a voluble, renegade kind of priest to instigate the Church to cast him out, but the irony of it all is, when he is even promoted as an Auxiliary Bishop of Chicago.

Before, much against his disbelief in God, he talks to God in his journal as if He is nearby. Sean even says his reason why he is so keen in keeping his commitments to the Church, although he claims he has no

faith, “not believing in you (God), I tried to believe in the Church... Not able to make a commitment to you, I made a commitment to the priesthood...” (149). At this point, Sean is struggling. He is confused about the sacredness of his commitments, since the Church he believes in is “collapsing” all around him, “not able to make a commitment to you (God), I made a commitment to the priesthood; and the priesthood is crumbling. I wonder if I ought not to leave like everyone else? I wonder if commitments – any commitment and every commitment – are not tragic mistakes”. In the context of the social milieu, this incident points to how a number of religious people have left the church, engaged in politics and become sexually active.

And now that Sean has failed to keep his commitments to the Church, he wants out. He feels guilty, yes, but not because he believes he sins against God, but because of his overweening hybris – pride. When he admits to Jimmy McGuire about his adultery, his friend only says “The truth is, you damn fool, that what bothers you is not the sin, which God forgives, but the mark on your stainless white record. Sean Cronin isn’t perfect” (205).

Nora, not much unlike Hester Prynne in Hawthorne’s *The Scarlet Letter* (1988), on the other hand, has faced the consequences of her actions bravely. She is unsure whose son is Mickey. But as she tells Sean, “he is a Cronin”, the father does not matter. She realized that, after all, she is a mere human being, “welcome into the human race” (194). She finally finds peace after the Funeral Mass for Sean’s mother.

She comes to us readers the only one to have felt the Presence of the Holy Spirit. Instead of feeling it, Sean realizes in the end that the sign (Nora) he has been asking long before is already given him. He wrote in his journal, “You damn fool! You missed God’s sign for thirty years” (302). It dawns on him that God has always answered his prayer about the most sought for.

For the commitments they have, despite their chance and rights to be married, they do not choose to be married. Although Sean shouts that he does not believe in them anymore, Nora makes him realize gradually that the commitments they have should always be honored: Sean’s commitment as a priest and Nora’s in discharging the duty of a president in the family company.

However, although Nora and Sean are vital parts of the sacrality of commitments, the main keys in identifying the sacred and the profane in the first part of the trilogy probably lie in the brothers’ representation: Sean and Paul – who metaphorize the sacred and the profane respectively – are obvious symbols of the dichotomy, which are inseparable and dependent on each other like the brothers in the story.

As for Paul Cronin, he never honors any commitment he makes – he even makes “commitment” so that he would go away with something. From the beginning of the story, he has a number of relationships that he does not honor, like friendship with their childhood friends, his camaraderie in the army and his marriage. Even the commitments of other women to their husbands are not honored either by these women or by Paul. Also, one of the worst dishonored commitments done by Paul is his supposed abandonment of his troops in the war – the one which always haunts him in his nightmares, be he alone or abed with his paramours.

Paul, figuratively, the man of little faith, is the antinomy of Sean, and vice versa, like the profane is identified by identifying the sacred.

The Catholic Church

The Catholic Church is also a vital part of the novel *Thy Brother's Wife*. The most sacred symbol that can easily be seen in the novel is the Church herself. However, she seems to be under attack by societal changes, as secularization, “de-churchification”, and conversion to other religion (David, 2013). By contrast, the members of the society, in the novel, seem so radical and liberal. The novel, written in 1982, deals with issues that are being dealt with by Filipinos of today among others: Reproductive Health Bill, population control, scandals by pedophile priests, allowing women to be priests, gay clergy, charismatic movements etc.

Being a Catholic priest himself, Sean Cronin is duty-bound to the rules, law, and doctrines of the Church. Ironically, Sean can be seen fighting the sacred Catholic Church. At first, however, he does not welcome any change in the Church. For him, the Church is crumbling. Sean feels that he is losing everything he believes in, his faith in the Church. As mentioned earlier, he feels the church is disintegrating because of these changes; later, Sean welcomes change and questions every hypocrite priest.

The sacrality of the Church cannot be questioned here for the novelist and the main protagonists are Catholic priests; however, the revelations about the happenings behind the altar are, indeed, scandalous, let alone liberal.

From one point of view, Greeley seems to be profaning the sacred. Why would he disclose the humanity of the priests in his novel? Although we know that this act is only a means to an end, is it worth it? For instance, in the novel, Greeley shows the faithlessness of Sean, not only in God he believes but also in the Church he belongs to. He does priestly works at St. Jadwiga Parish, where he has to “educate four

hundred kids a year... salvage a couple of dozen juvenile delinquents every year... and visit the people of the neighborhood when they're in the hospital or in jail" (90). But he, at the same time, cynically holds that the "Catholic Church has ever done a better thing", as compared to what he is doing. Sean may be just one priest, but readers know better that a single character represents a few people, if not a marginalized group.

Another example for this seeming act of profaning the sacred is the loudest whisper of the presence of homosexuality in the priesthood. As Sean and a minor character, Roger Fitzgibbon, talks about the next archbishop of Chicago, Sean fervently says, "deliver us from a faggot bishop" (164). Roger's remark, however, to what Sean says seems so ambiguous that Sean himself wonders whether it is an agreement or a disagreement: "Oh, come now, Sean. That's not fair. Martin's taste is impeccable, of course, and he has a wonderful eye for line and texture, but you're sophisticated enough to know that doesn't mean anything" (164).

Although the homosexuality of the character Martin Quinlan is not proven, nor discussed thoroughly in the novel, the smoke of that conversation has, certainly, manifests a fire in the Church, so to speak.

Greeley could have kept quiet about these issues inside the Church where he belongs, but he did not. Although spoken in innuendos, no priest dares speak of these moral, psychological problems. Even the issue inside the seminary where nobody should be "too good at anything, much less successful at a number of things... Intellectualism (is) taken to be almost a sure sign of pride" (46). In other words, one of the problems that Greeley implied in the novel (at the time it came out in the 1980's) is the lack of creative seminarians, and even if there are, creativity and academic success are not to be welcomed, better yet, frowned upon – a stance that has been connected now in the dispensation of Pope Francis, the incumbent pope, who even has thought of a team of think-tanks coming from different disciplines to help him administer the Church well.

Most probably, the aim of Greeley here, as all writers' desire, is positive change. He exposes these ticklish, problematic issues inside the seminary, the priesthood and in the Church to spark a call for change. Sadly, the effect is his "notoriety" with his colleagues; some are even accusing him of betraying the priesthood, worshipping Mammon and Money, and "engaging" in sexual activities (for all we know, the confessional box may prove an endless source for his fiction).

When interviewed by Pasquariello (1988), Greeley said that mails are coming from readers who have left the Catholic Church. These correspondences reveal that many are coming back to the Church after reading his novels. Although, the priest-sociologist-novelist still offends many of his colleagues with his novels, many former Catholics return, because they could grasp the message of Greeley's novels, i.e. indeed,

the priests are mere humans; that the Church is made up of human beings, and since they are composed of men, they are vulnerable to human errors. The focus and object of worship nonetheless does not focus on the people who make up a Church. Such stance re-echoes Boccaccio's singular story in *The Decameron* (1348–1353) to the effect that although Abraham, the Jew, has seen all kinds of evil, corrupting things done by the clergy in Rome, such as lust, greed, gluttony, deceit, envy, arrogance, etc., he still wants to be baptized as a Christian. Abraham, later baptized as Giovanni, realizes that with these kinds of corrupt leaders, still the Catholic Church stands unruffled, the religion continues to radiate blazingly, making him realize that there is something greater than men at work in it.

Sadly, unlike Abraham-turned-Giovanni from *The Decameron*, seven centuries after Boccaccio's milieu, most of these Catholics in the present who ventured outside the Church are disappointed with the (c)overt corruption in it, such as pederasty among some clergy, dangerous liaisons of a few, even misuse of parishioners' funds – problematic issues which Greeley exposes as well in his trilogy. Greeley indicts how a few parish priests saddled with finances to support their work abscond with parishioners' funds.

Although this example is indeed a complex one, like Robin Hood who robs the rich and gives to the poor, actually a Machiavellian stance in that it is better to set aside morality for the benefit of the people, the manipulation of the Sunday collection and the issue of church money are still irreverent, sacrilegious and unpleasant to the ears. Especially, when Sean told the Cardinal that “third of the parishes engage in practices like this” (192).

Admittedly, the Catholic Church is the highest institution for a Catholic; however in the novel, the high priests seem to lack ascendancy, the moral authority to govern. Most of the time, the priests in the novel appear, or act as mere politicians controlling their parishes and the monetary benefits or that coveted positions in the Church hierarchy could be bought, if the price is right. For instance, when Paul has “visited” Cardinal Eamon McCarthy about sending Sean to graduate school so that he can leave the poor parish he is assigned to. Paul thinks then that he would have reminded them of Michael Cronin's “generosity” to the Archdiocese of Chicago if the cardinal had not released Sean. This representation of politicking probably is another of the many reasons why Greeley is controversial among his peers.

The Seven Deadly Sins

Another most striking part in the novel is Greeley's inclusion of some of the seven deadly sins as “found in the works of several spiritual

writers and theologians, including Saint Thomas Aquinas, a leading Roman Catholic theologian during the 13th century” (Microsoft Encarta 2009, retrieved September 30, 2012).

At first reading of the novel, one may not really identify the seven deadly sins; however, when one tries to look at the profanities present in the novel, the extremities of the character’s attitudes, especially those of Paul and Sean, seem to mirror these deadly sins. Despite the absence of some in the novel, like gluttony and sloth, the sins of wrath and avarice are vividly shown.

As seen, Paul Cronin, who represents all that is profane, personifies most of the deadly sins, if not he himself is envy and lust incarnated. For Durkheim, however, Paul is not profane because he does mean and engages in evil things, but because the things that he does are socially unacceptable. He does things in the dark, so to speak, so that the society would not see him acting differently from the group. Most especially, as a politician, he should hide these unspeakable deeds, for politics is all about perception, as they say.

For instance, his illicit affairs, with Chris Waverly and the mother and daughter, Maggie and Nicole Shields, to mention a few, have brought him so much carnal pleasure that he no longer thought of the consequences of his indiscretions. His unquenchable thirst for the call of the flesh has almost brought one of his daughters to her death when he left them on the beach, while he enjoyed his clandestine affair. In the end, his own *hamartia* has brought him his own downfall, when he let Nicole Shields die in the burning hotel, during his campaign. He is already considered a hero because he has helped others escape the burning hotel, like when he is given the Medal of Honor for his “bravery” in the war where many died, supposedly because of his heroic deed of fighting off the enemies and staying alive. Nobody knows, except one, that he survived the attack because he was too scared to fight and ran off.

However, in trying to wake the drugged Nicole, he realized that the naked Nicole would spark another issue, if not a scandal, so he just leaves her in the hotel. Unfortunately, a certain Helen Colter, a junior staff aide to the Congressman Cronin, knows that Nicole is with Paul. When Chris Waverly discovers this fact, she devours it. She almost releases the scandal to the media, but has a sudden change of heart after speaking with Father Sean.

However, Paul’s conscience drives him to a state of confusion which eventually leads him to his anomic suicide, to use Durkheim’s own classification.

Nevertheless, Paul may not be the only one committing the despicable deeds in the novel, as Greeley implies that politicians do the

same, if not worse. He is a representative for the corrupt politicians, and even the lustful ones. Other politicians are doing it covertly, especially those politicians and priests in the novel. Still the same, they do things under cover of darkness, because the society does not condone these profane and hedonist deeds.

Besides, Sean personifies some of the sins which make him more human than what other people expect from priests like him. He exhibits and practices lust, pride and wrath. For instance, the way he lusts after his brother's wife: "his hands traced the outline of her face, her shoulders, her arms, her body, slowly, as if he were unveiling a statue; he undressed her until she stood naked before him. He lifted her long auburn hair back over her shoulders so that nothing hid her from him. Again, his fingers gently outline her body" (172); the way he is proud of his priesthood: "the truth is, you damn fool, that what bothers you is not the sin, which God forgives, but the mark on your stainless white record" (205); and, the way he reacts when he discovered that his mother is still alive and exiled by his father in a hospital, even when he is warned by Nora that he would regret it for the rest of his life: "He deserves to be killed" (222).

At that moment, Sean is not a priest but a son who longs for his mother, who wishes that his mother were alive, who just discovers his mother is alive after all these years he has suffered the loneliness of "motherlessness" since childhood. What factors would drive a man to kill?

Although, Mike Cronin does not die after Sean rages about his mother's exile in the mental institution and the secrecy of this exile from him. Mike has never spoken again after his stroke.

The Physical Act of Love, sex or lovemaking

Whether Greeley views the idea of the physical union of men and women from a religious', sociologist's or fictionist's construct is moot and academic. In his very own words, using Father Sean as his mouthpiece, Greeley avers: "Lovemaking between a man and a woman can mean many different things. Through lovemaking, lovers forgive one another, show their gratitude to one another, declare their love, renew their vows, chase their anxieties and their anger, re-establish communication, make life livable for one another, challenge, stimulate, excite, and reassure one another. Also, of course, it is the means for continuing the human race" (226).

Conservative Catholics would reject this statement, for when Sean himself declares these words in a forum-consultation many have been outraged. Coming from a priest, this stance is not welcome, most especially by the members of the clergy. However, Sean explicitly states these words about lovemaking, he and Nora have already made love to

each other. This speech nonetheless does not spark a doubt on the celibacy of Sean. Moreover, such discourse results in Sean's and Nora's eventual lovemaking and leads to the former's negative attitude towards the Church. Somehow, he talks in such condescending tone to be cast outside the fold of the Church, let alone freed to his heart's content to be with Nora. Ironically, as stated before, these techniques Sean uses only increase, unconsciously, or paradoxically his popularity to the Vatican.

Indeed, this very much opposed element by the clergy appears too difficult to label. Is lovemaking sacred or profane? Greeley himself, through Sean Cronin, believes that the act itself is sacred. He reinforces the thoughts Moore, an ex-religious Trappist monk, musicologist, psychologist, states in *The Soul of Sex* (1998): "Matrimony is a form of soul work, and marriage is the most potent alembic available to us where we can become initiated into the rudiments of community and the basics of intimacy. In this context sex is the primary ritual. It's one thing to resolve arguments and tensions in a marriage through conversation and counselling, but it's another to perform the mysterious rite that addresses the deepest mysteries of the union" (203).

In the novel under study, however, the physical act of love appears much profaned. Most of the acts done by lovers in the novel are by unmarried couple – especially Paul and his women, even between a priest and his sister-in-law, between a priest and a married parishioner, between a politician and a hooker, or between pedophile priests and victimized youth.

As implied in the novel, God wants His people to cherish physical intimacy. Conversely, the other priests are horrified by Sean's stark statements to the effect that lovemaking should be enjoyed. For others, it should only be used to procreate and deriving pleasure would be tantamount to sin.

Following the thought of Durkheim on the sacred and the profane, we may place the physical act of love on an ambiguous situation. Some would say it is good and enjoy it (shades of Raul Manglapus' (1918–1999) notorious statement); some would say it is not to be enjoyed and should be used for procreation. Still, from the moral construct of the characters in the novel, as well as those who agree with Sean, this physical act is a sacred symbol for love – supported by Marsden (1987) that, "the more satisfying the sexual relationship with one's spouse, the more gracious is one's image of God – Saint Paul has finally been empirically validated: sex is the Great Sacrament" (176).

Suffering, as a means of cleansing the soul

In *Ascent into Hell*, the most emphatic sacred element is suffering, the main theme and subject matter of this novel, since the

second novel in the trilogy echoes the Good Friday liturgy. Becker (2000) says it in a more metaphorical way: “it portrays the crucifixion and spiritual death of a man who eventually rises from a spiritual death to a new life in Christ”.

The protagonist’s (Hugh’s) suffering, however, is self-inflicted. The Donlons’ belief that anything pleasurable is sinful seems to be the antinomy of hedonism which implies that every pleasurable activity is good. Tom and Peg Donlon have taught this belief to their son Hugh who takes it hook, line and sinker. This point of view on suffering – the Weberian concept of theodicy of suffering – made their lives complicated. For instance, the animalistic sensuality and passion of Peg towards sex makes her life complex. She presents herself as a pious Catholic, while hiding her lust for her husband. Though she only lusts for her husband, she feels guilty whenever her hunger for sex gets fulfilled. She believes that she should not feel that pleasure in marital sex, and feeling that pleasure is sinful. By contrast, when one is faced with great pressure, for instance Hugh, when he realizes that he has this craving to be loved by women, he has turned to the priesthood just because it is “the hardest thing to do”. Such decision reinforces the Donlon’s stance: the one thing that you do not want to do is the one thing that one should do to please God.

However, this belief brought Hugh to his own downfall. When he opts to be a priest rather than to marry Maria, because being a priest is the “hardest thing to do”, just after realizing that he wants to be with women, he is bound to suffer. From the beginning of the novel, there is this mood that makes the reader uncannily sense that Hugh is not called for priesthood. Nonetheless, the his parents’ teachings which he has carried throughout his life goad him to think that he is doing the right thing, the moral thing, and the will of God.

Another instance is when Hugh subsequently impregnates Sister Liz; he prefers to marry her, despite the advice of his mother, sibling, and friends not to. They consider marrying Liz as a wrong turn for Hugh; especially he plans to leave the priesthood. Also, they pronounce and intuitively feel that Liz is a bad woman for Hugh, which is proven right much later in the story. Regardless of all the admonitions, Hugh still marries Liz, because it is again to him “the hardest thing to do”; therefore, it is the will of God, as he has contended from the very beginning.

Promises, broken and kept

Although promises are the main concerns of *Thy Brother’s Wife*, promises also abound in *Ascent into Hell* and bound it. For instance, when Hugh Donlon promises (158) that he will not sleep with Sister Liz

again, he is very much guilt-stricken that he vows he will never be that bestial again. Unfortunately, the reader sees a few pages later that the pledge has become conditional. His conviction softens and later plunges him into the abyss of sin with complete abandon.

He knows full well that he has violated his priestly vows of celibacy and abstinence. Although Sean Cronin has equally done so, he is able to keep his promises and priestly vows, but when Hugh has committed adultery, he regrets at first and seems to have remorse, yet later put himself further into sinning. He leaves the priesthood, much against the advice of his colleagues and friends (and consternation of his parents and sibling) to marry the impregnated nun, Sister Liz.

This marriage, however, is also bound to crumble down. While Liz has joined a group of ex-nuns and ex-priests, she has also estranged her two children from their father. This makes Hugh feels alienated from his own children, as he feels alienated from God.

Lustful Characters

As also seen in *Thy Brother's Wife*, lust pervades the second novel of the *Passover trilogy*. Although this is just one of the Seven Deadly Sins, the other sins are not that emphatic, if ever present, in it.

Not only in Tom and Peg, but most of all in Hugh, lust seems to be the air they breathe, so to speak. Yet, the gravity of concupiscence is emphasized because they find extreme pleasure in it. And as the reader is made aware, the Donlons believe that all pleasure is wrong, but the more they fight against this carnal feeling, the more they succumb into sin. The situation seems to tell the reader as well that this pleasure makes it difficult for these people to feel remorse. As the American critic Kelly (1998) says “fornication is an ambiguous sin: it is difficult to feel sorry for something so pleasurable” (161). Traditional Catholics, though, would term it a callous conscience, the carnal sinners fit in Dante’s second infernal circle in the inferno.

But, as cited earlier, Marsden claims that “the more satisfying the sexual relationship with one’s spouse, the more gracious is one’s image of God” (176). This statement only supports the statement by Hugh’s confidant that the reason behind his lustful nature is his search for God (246). Reworded, ironically, as he sins continuously, he is looking for God’s presence in his profane lifestyle. This paradox only supports the implication that Greeley seems to say that in order to fully experience sacrality, one should pass through profanity.

The Family, the most sacred of all relationships

Ironically, in *Thy Brother's Wife*, Paul Cronin has manifested one good quality, which is also shared by other characters in the novel,

i.e. his loyalty, love and respect for family. Paul has demonstrated this trait all throughout the novel. For instance, when his brother Sean has faced difficulty in the politics of their place, Paul secretly helps him. Even in the politics of the Church, Paul has tried his clout and has succeeded in helping his little brother by influence peddling, if not by frustrated bribery.

However, this treatment for the sacred has its limitations for Paul. When he has heard of the truth that his long-missed mother was still alive and confined in asylum, he just holds his peace and does nothing, for after all the news and his involvement should not affect his political career. He fears that if the voters would know the family's skeleton in the closet he will lose his electoral bid as a senator.

As for Sean, family is everything. Even if Nora is not his real sibling, but an adopted sister, he treats her as family.

The sacrality of family relations is also mirrored in *Ascent into Hell*. Although Tim and Marge Donlon, siblings of Hugh, seem to be distant from their Irish-American parents, the love and respect for their parents still pervade in the novel. The two, however, do not want to be enclosed by their control-freak parents so they rebel in their own ways seeking their individual emotional space. Hugh, though, has been oriented and prepared to be a priest from the moment he was born so that invariably he is programmed or pre-conditioned to obey his parents "for this is right." It is not seen in the entirety of the story, however, that he chooses to obey them, because it is the most difficult thing to do, i.e. the Donlon belief.

After being an apostate, on account that Liz is pregnant, Hugh marries Liz, only to find out after the ceremony that Liz is not pregnant at all.

Since Hugh no longer has any source of income, he has joined the company of his brother not only as a business partner but also to act as his brother's keeper (186). In 1979, he is appointed as the Ambassador of the United States of America to the People's Democratic Republic of the Upper River in East Africa. However, when Tim's company gets bankrupt (because of his workings) and money from the Commodity Futures Trading Commission has gone "missing," the FBI does not fail to see the conflict of interest that made Hugh a suspect for concealing or hiding million dollars' worth of silver. Hence, Hugh Donlon is jailed.

From here, the readers see the difference between Paul Cronin and Tim Donlon as brothers, though they are portrayed as profane characters.

To worsen Hugh's feeling of dismay, Tim Donlon together with a woman and her children died in a plane crash – only to find out later that the woman and children who died with Tim are Hugh's children and

his wife, Liz, who are planning to live together before the plane crash. This event, though horrible, shows only that for Tim and Liz family is not sacred or even significant as long as they follow their pleasures.

More pointedly, the family is a recurrent sacred element in the trilogy, but what makes *Lord of the Dance* different from the two other novels is the gravitas – the burden of weight – and effect of the family secrets present in the final volume.

In *Thy Brother's Wife*, the readers see the family's secrets that are kept for the sake of the family's name, i.e., the real father of Sean Cronin is a fallen priest and his still alive, presumed dead mother stays in an asylum. The only negative impact after the discovery is the cardiac arrest of patriarch Mike Cronin, which is triggered off by Sean's wrath, as he confronts his father (223). The scene smacks of stichomythia of Greek tragedy:

How did you and Jane do it, Dad? How many people did you bribe? How many cops and doctors and undertakers did you have to pay off?"

Mike Cronin was shaken by every word spoken by his son, "It was easy," he said, his voice weak.

Mike Cronin then explains how he has decided to put away Sean's mother after the third attempt of Mary Eileen, his wife, to kill their baby, Sean. He has paid the doctors, police, undertakers, and chauffeur and had a closed casket wake.

In *Ascent into Hell*, the only secret held in the family is the passionate love and marital sex between Tom and Peg, a secret that does not affect anyone but the couple themselves for, in their Puritan upbringing, they feel they sin, as they feel pleasure from their physical intimacy.

Interestingly, the *Lord of the Dance* – like a detective, mystery novel – is full of secrets worth tracking or unravelling. The reader is hooked on as s/he follows the investigations of Noele and just like any mystery and detective novel, the clues to the puzzle bring the sacrificial lamb of the Farrells inevitably closer to the fringe of danger. Seemingly, nobody from the family is telling the truth, for they have their own relative versions of the fateful night Uncle Clancy died. In the end, the reader has seen that everyone was lying and Clancy's death appeared far from being the only intriguing death in the family. Also, in the process of looking for truth, triggered off by a simple school homework, Noele ends up brutally gang-raped by three mobsters whose bosses have connections with the death of Florence Farrell.

Ironically, these secrets are needed to be unearthed and searched for by Noele, and even the suffering she has inevitably experienced is very crucial for the resurrection motif pushed in the story.

Nevertheless, the secrets kept in the family have created a huge ordeal not only for them, but more distinctly for Noele herself who is an

innocent victim of the sins of her relatives, short of saying to the effect that the parents' sins are visited upon the children. Secrets, indeed, should not be welcomed in the family; however, if secrets unavoidably pull down or desecrate the family instead of holding it sacred; their discovery is equally inevitable.

Resurrection, and its other forms

Correspondingly, *Lord of the Dance*, the last part of the trilogy, celebrates the feast of the Resurrection, specifically the Easter Vigil Liturgy, in which fire and water, symbols of the sexual union between a man and a woman, stand for the new life of Jesus Christ generated by his resurrection and offered to all in His name through His Church (Becker, 2000).

Although a priest exists in the novel, the story no longer revolves around his kind but gravitates towards Noele Marie Brigid Farrell. Greeley describes her as “a Celtic goddess of nineteenth-century illustrations of Irish folklore books, strange, unreal, almost unearthly. Her long, bright red hair contrasting sharply with her pale, buttermilk skin, swept across the room after her like moving fire” (p. 11).

Conceived on Easter, she was born on Christmas making her a metaphor, if not a probable analogy, for the Catholic Church. Besides, her Frenchy name literally means Christmas.

Many kinds of death – from physical to psychological, even social to the spiritual – exist in the novel to imply the religious, eschatological constructs of revival and resurrection. Everything starts with a simple homework of Noele about the family, but this research on family history becomes a search for the truth in the Farrell family. Many questionable deaths apparently occurred in the Farrells' lives, like the death of Florence Farrell, Noele's grandmother, of Clancy Farrell, father of John and Roger Farrell. Realistically however, these deaths are biologically irreversible.

However, the death of Noele's Uncle Danny, who turns out to be her real biological father, is overcome when Danny returns from the dead, so to speak, he is far from being considered clinically dead, but a prisoner of war.

The same thing happens to Noele herself when she has been kidnapped, violated, and sodomized. Although she does not really die in the novel, an equivalent to spiritual or emotional death, but true to her personality, she “resurrects” as a much stronger, better person. Through her as well, the Farrells are able to face squarely the true problems of their family. The “duplicity, deception and death” that marred down their family have been removed by a sixteen-year-old who rises from the ashes of emotional and spiritual degradation and humiliation.

Analogically, the sufferings, humiliation and death of Jesus Christ may be seen in the tribulation, humbling and “demise” of Noele. As she represents Jesus and the Church, she, indeed, needs to undergo what she has experienced to open the eyes of her family, and in some sense, save them from themselves. Also, the “emotional” resurrection of Noele is, indeed, analogous to the resurrection of Jesus. True to the theme of the novel and the message of Easter Sunday, Noele needs to be reborn to be stronger than before and to save her loved ones, even if it means saving them from themselves.

Conclusion

Greeley has shown in his *Passover Trilogy* that the harmonious fusion of the sacred and the profane is ultimately relevant in shaping the lives of the people, i.e. the characters in the novels, especially in terms of their moral rebirth and sense of renewal. The dichotomy of the sacred and the profane, however, would only create confusion and chaos. In fact, because of their sense of humanity and spark of divinity, the characters are drawn to commit or engage in the sacred and the profane, as much as they tend to demonstrate antimonies of love and hatred, courage and moral cowardice, compassion and nonchalance.

Greeley, through the sacred and the profane, also metaphorizes and personifies the Church by showing the motherly principle of love of God in the characters of his heroines, therefore, making the divine feminine acceptable in the perspectives of the laity.

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LINGUISTICS, STYLISTICS AND
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Strategy Choice in Foreign Language Learning – Some Theoretical Guidelines

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Abstract:

The present paper investigates variables affecting strategic learning of foreign languages. The theoretical approach starts from analyzing strategy classifications and evolves into highlighting the several factors that determine strategy use when learning foreign languages. Further on we investigate individual differences between learners, the learners' personal experiences, situational and social factors, as well as affective factors and strategic competence. Having started from the theoretical premise that strategic learning is the superior approach to foreign language learning, the paper concludes that a successful learning experience is highly dependent on the language instructors' understanding of the multitude of variables at play when it comes to learner strategy choice.

Keywords: Strategic learning, Foreign language learning, Individual differences

Introduction

Decades of research have shown the importance of adopting a strategic approach when it comes to language learning. Back in the 90s, O'Malley and Chamot (1990) gave some of the most complex classifications of learning strategies, after repeatedly modifying previous categorizations made by the same authors. Their version encompasses all the strategies they discussed throughout this revision process, with cognitive strategies, metacognitive strategies and social/ affective strategies as the main categories.

The aim of this paper is to focus on the factors that impact individual differences which make learners unique when it comes to strategy choice, as our stance is that learning journeys are deeply individual and there is no one set of prescribed strategies that can guarantee success.

Strategy classification

Oxford (1990) classifies learning strategies into direct and indirect strategies, with direct strategies requiring direct mental

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processing of the language, while indirect strategies indirectly support language learning through focusing, planning, anxiety control, cooperation, empathy, etc.

Direct strategies

- Memory strategies
- Cognitive strategies
- Compensation strategies

Indirect strategies

- Metacognitive strategies
- Affective strategies
- Social strategies

Factors that influence strategy choice

Ellis (1994) distinguishes three types of factors: individual differences between learners, the learners' personal experiences, and situational and social factors. To these we added affective factors and factors related to strategic competence, which are also important in strategy choice.

Individual differences include the learner's beliefs regarding foreign language learning, age, talent, learning style, personality and motivation. To these we added linguistic competence and cognitive style.

As for the learner's beliefs regarding language learning, Ellis (1994) noticed that students who cared more about the importance of *learning* a foreign language tend to choose cognitive strategies, while learners for whom *using* the foreign language was more important preferred communicative strategies.

Age is a decisive factor in choosing learning strategies. If young children mainly use strategies that are specific to the tasks they focus upon, which are often simple, teenagers and adults use more generalized and complex strategies. Young children learn new lexical items mainly by rote learning, whereas adults apply more complex strategies. Considering that there are several learning strategies that can be applied to vocabulary and grammar, and also that adults tend to have higher strategic competences, it follows that they tend to make more rapid progress in these areas than children. As for pronunciation, there are fewer and less complex learning strategies; adults manage less well than children in this respect.

Talent is less important than age when choosing strategies. Learners with decontextualized linguistic aptitudes are more capable of speaking about the strategies that they employ.

Learning style seems to be more relevant for strategy choice, as it is a reflection of the learner's personality in the specific learning situation. Willing (1987) describes four learning styles:

- The concrete style is characterized by direct ways of processing information, oriented towards other learners, spontaneity, imagination, emotion, the rejection of mechanical learning;
- The analytical style is characterized by focusing on specific problems, deductive and hypothesis-based reasoning, independence, preference towards didactical and logical presentation;
- The communicative style is characterized by a relative independence, adaptability and flexibility, a preference towards a communicative approach towards learning and a propensity for decision making.
- The authority-oriented style is characterized by a need to rely on others, the need to receive instructions and explanations from the teacher, a preference for well-structured learning environments, gradual progress, a dislike for learning through discovery.

Felder and Henriques (1995) suggest another classification of learning styles, according to the following categories:

- the preferential type of information that learners perceive: sensorial or intuitive;
- the manner in which the information is perceived: verbal or visual;
- the way in which information is processed: active (by getting involved in discussions and other activities) or reflexive (by introspection);
- the manner in which progress is made: sequential or global;
- the way in which information is organized: inductive or deductive.

In a slightly different manner from Felder and Henriques (1995), Oxford (2003) identifies five coordinates that determine learning style. The researcher argues that each style has advantages for learning and that each learner has their own comfort zone that corresponds to their own learning style. Through practice, this comfort zone can be extended.

- the use of senses for study and work: some students have a preference for visual stimuli, while others for auditive ones;
- interaction with other learners: extroverts show a preference for tasks that involve discussion, debate, role play etc., while introverts go for independent learning tasks or cooperation with a person that they know well;
- opportunity use: here the ends of the continuum are the intuitive end – future focused, speculative, abstract thinking, avoiding to follow step by step instructions, and concrete/ sequential – focused on the present, preferring to approach tasks gradually and with a tendency towards self-monitoring;

- task approach: a closed approach involves the ability to meet deadlines, careful focusing on the task, planning, a tendency to structure information; an open approach, on the other hand, involves the discovery of new information in an unstructured manner, the acceptance of disorder and chaos, a preference towards tasks that do not require compliance with rules;

- approaching ideas: a global approach implies a preoccupation for main ideas, guessing the meaning of words from context, predictions about the future stages in activities or texts, communication despite not knowing all words or concepts; an analytical approach requires attention to detail, logical analysis, and strict compliance with rules.

Cognitive style is another relevant factor not only for strategy choice, but for learning itself. Cognitive style has been defined as the constant way of approaching information structuring and organization (Riding, Sadler-Smith, 1997). The difference between cognitive style and learning style is that cognitive style is more stable and general, and it influences learning style. Thus, cognitive style determines learning performance. The latter is also influenced by the task being approached.

There are several complex classifications of cognitive style which include up to 22 categories (Riding, Sadler-Smith, 1997). For the purposes of this paper we will choose a simpler classification, that of Riding and Sadler-Smith (1997) who take into consideration two dimensions of cognitive style: the holistic- analytical and the verbal imagistic dimension. The former can be applied to the manner in which the learner organizes and structures information: while holistic types tend to focus on the big picture, the analytical types usually divide input into components in order to analyze it more easily. The verbal imagistic dimension covers the preferred way of representing information in memory.

Thus, there are four possible combinations between cognitive styles: holistic verbal, holistic imagistic, analytical verbal, analytical imagistic. One must bear in mind that neither of these extremes is ideal, as any extreme would lead to extreme preferences regarding the way in which the information to be processed is organized and presented.

Allinson and Hayes (1996) argued that taking individual differences into account as far as the cognitive style is concerned has a positive effect on learning performance.

Motivation is another of the most important factors in choosing learning strategies, and in learning in general. That is why preparation and instruction as far as strategy use is concerned must involve motivating learners. According to Chamot et al. (1999), the relevant elements of motivation as far as learning strategy use is concerned are the following:

- The importance of the task: learners are motivated by tasks that they consider to be relevant because they find them interesting and applicable to their own lives. The use of authentic materials, with content that has been adapted to the learners' interests, can contribute to increasing their motivation.

- The learners' expectations: learners have certain expectations related to their learning performance in general, which influence their performance in specific tasks. From this point of view, the opportunity of being successful in learning tasks by being exposed to tasks that have a difficulty level that is high enough to represent a challenge may lead to an increase in motivation. The access to strategies that ease the task is also a motivating factor.

- Being aware of one's own effectiveness: learners with a low self-image regarding their learning effectiveness can be encouraged to develop their strategic competence in order to raise their learning performance. There is a correlation between using learning strategies and learners' effectiveness (Chamot et al., 1999).

- Success attribution: learners that attribute their success to the effort made or to the learning strategies used are more motivated. Learners with low performance levels can be encouraged to attribute their failures to using strategies incorrectly or to not using them at all, as opposed to their own failure to learn.

The level of language proficiency is another factor that influences strategy choice. The strategies that are used are, to a certain degree, a reflection of the learners' level of language proficiency. Metacognitive strategies, for example, are mainly used by learners from levels B1 to C2. If we are to correlate the level of language proficiency with success rates, then we can assert that learners who have more frequent positive experiences regarding language use and language learning, have a tendency to use learning strategies more frequently. Thus, the level of language proficiency can be seen as both cause and effect of strategy use.

Situational and social factors

The native language and the environment in which learning occurs are some examples of situational factors that affect language learning. However, for the relevance of this work, the task is key to strategy choice. Most strategies can be applied to learning new lexical items, with fewer to listening and speaking. Chamot et al. (1999) demonstrate that the type of task affects both the cognitive and the metacognitive strategies that learners apply. For learning vocabulary, the cognitive strategies that are mostly used are resource use and elaboration, while the most frequent metacognitive strategies are monitoring and self-evaluation. For listening comprehension tasks, the most often used

cognitive strategies are note-taking, elaboration, inference generation, summarizing and the most frequent metacognitive strategies are selective attention and problem identification.

The social factors referred to in research are belonging to a socio-economic group, gender, and race. Out of these, gender appears to have the most relevant influence on strategy choice. Women use communicative strategies more often than men, shows Ehrman (1990).

Affective factors also represent a cause of the learners' preference for certain strategies. For example, it has been proved that the use of certain metacognitive strategies is directly related to a decrease in anxiety and stress when approaching tasks, which leads to better performance in foreign language tests (Phakiti, 2003).

Strategic competence is a key factor that refers to the learners' ability to use learning strategies. Initially this only included compensation strategies as part of the communicative strategy category (Canale, Swain, 1980). Later on, Bachman and Palmer (1996) defined strategic competence as a set of components or metacognitive strategies that can be viewed as higher level metacognitive strategies which confer language learning and use a cognitive management function. These cognitive strategies include three components: setting objectives, evaluation, and planning. Strategic competence can be developed through formal training. The teaching/ learning process is increasingly learner-centered, which leads to more autonomy and responsibility on the part of the learner. During strategic training, learners are taught how to study and how to use the foreign language.

McLaughlin and Heredia (1996) argue that the most relevant source of individual differences between learners as far as learning is concerned, is the availability of declarative knowledge about the foreign language and the effectiveness and capacity of the working memory. Working memory is responsible for the degree to which learners can restructure their linguistic representations. If learners manage to apply strategies that improve working memory, they will manage to learn the foreign language much faster. The selection and use of appropriate strategies requires metacognitive skills. Thus, training regarding the effective cognitive strategies that can be applied so as to make language learning more effective must also include metacognitive instruction. It is not enough for learners to be trained in the use of certain cognitive strategies. They must understand the strategies that they employ in order to self-monitor their strategic competence with a view to improving it.

The concept of expertise in cognitive psychology has been first described by Anderson (1985) and can be applied to the field of strategic

competence. One of the most significant differences between experts and beginners in learning foreign languages is the fact that experts use strategies strategically (Ertmer, Newby, 1996). Apart from the quantitative differences between experts and beginners regarding the information that they have, there are qualitative differences that mainly have to do with the ability to implement regulation strategies of one's own cognitive mechanisms. These qualitative differences set experts apart from beginners in several ways: experts have more organized and integrated knowledge; they have strategies and effective methods to assimilate information and to use and apply it; they can regulate learning, are aware of themselves as being involved in a learning process; they reflect on their own learning, are more sensitive to what the task implies; they plan their actions more flexibly and, when they fail, they can regroup their efforts in order to be successful (Weinstein, Van Mater Stone, 1993). Additionally, Bransford and Vye (1989) mention the capacity to assess task difficulty, to monitor the learning process and to predict the outcome of the learning process. These are simply different labels for the main metacognitive strategies: planning, monitoring, and self-evaluation.

Conclusion

Strategy use appears as a deeply complex issue, determined by a multitude of factors. It is not solely age or motivation that impact strategic language learning. Affective, social, and situational factors are equally important. Provided that language instructors understand the multitude of variables at play, language learners can benefit from guidance into strategy use with the ultimate goal of maximizing their learning experience.

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Morphosyntactic Features in Late 19th Century African American Vernacular English

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Abstract:

This paper discusses the use of African American Vernacular English as a literary dialect. The analysis is based on a corpus containing data collected from two 19th century American novels: *'The Adventures of Huckleberry Finn'* by Mark Twain and *'Uncle Tom's Cabin'* by Harriet Beecher Stowe. The speech of two characters of African American descent is under scrutiny: Jim and Aunt Chloe. The first part of the study provides an overview of the sociohistorical context in which AAVE originated and subsequently developed. The paper also highlights several morphosyntactic features attested in AAVE and the last part aims at identifying such features in the speech of the two African American characters aforementioned.

Keywords: African American Vernacular English, literary dialect, variety, Ebonics, dialectal writing

1. Sociohistorical context: From Negro dialect to Ebonics to AAVE

African American Vernacular English (AAVE) is, to say the least, one of the most controversial and well-researched varieties of English in North America. Well-established researchers have yet to reach a consensus as to the development of AAVE. Throughout time this variety has had different labels: *Negro dialect*, *Nonstandard Negro English*, *Negro English*, *American Negro speech*, *Black communications*, *Black dialect*, *Black folk speech*, *Black English*, *Black English Vernacular*, *Black Vernacular English*, *Afro American English*, *African American English*, *African American Language*, *African American Vernacular English* (Green, 2002:6). Despite the different labels, they all refer to the same system. Another term used to refer to this variety is *Ebonics*. However, there is great controversy as to whether Ebonics is deemed an appropriate term to refer to AAVE. Robert Williams coined the term Ebonics in 1973, at a conference entitled "Ebonics as a Bridge to Standard English". This is how the conversation went on January 26, 1973:

(1) Robert Williams: We need to define what we speak. We need to give a clear definition of our language.

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Ernie Smith: If you notice, every language in the world represents a nation or a nationality. What we are speaking has continuity not only in the United States, but outside the United States and all the way back to the mother country. We need to get the term completely off the English scale and start calling it what it really represents.

Robert Williams: Let me make a point here. Language is a process of communication. But we need to deal with the root of our language. What about Ebo? Ebo linguistics? Ebo lingual? Ebo Phonics? Ebonics? Let's define our language as Ebonics.

The Group: That sounds good.

Robert Williams: I am talking about an ebony language. We know that *ebony* means *black* and that phonics refers to speech sounds or the science of sounds. Thus, we are really talking about the science of black speech sounds or language. (Williams, 1997: 14)

In 1975, Williams provided the following definition of Ebonics:

the linguistic and paralinguistic features which in a concentric continuum represents the communicative competence of the West African, Caribbean, and United States slave descendant of African origin. It included the various idioms, patois, argots, idiolects, and social dialects of black people" especially those who have been forced to adapt to colonial circumstances. Ebonics derives its form from ebony (black) and phonics (sound, the study of sound) and refers to the study of the language of black people in all its cultural uniqueness. (Williams, 1975: vi)

Despite a reticence among linguists and the general public to use the term *Ebonics*, the situation drastically changed in December 1996 when the Oakland (CA) School Board acknowledged Ebonics as the primary language of its African American students and decided to take it into account in teaching them standard English. The term *Ebonics* encompasses the African roots of African American speech and the ties it has with languages spoken in different places in the Black Diaspora, for instance Jamaica or Nigeria. In an attempt to shed light on the origin and meaning of the term *Ebonics*, Smith (1998: 55) writes that "When the term *Ebonics* was coined it was not as a mere synonym for the more commonly used appellation Black English." Smith also draws attention that:

Ebonics is not a dialect of English. The term *Ebonics* and other Afrocentric appellations such as *Pan African Language* and *African Language Systems* all refer to the linguistic continuity of Africa in Black America. Eurocentric scholars used the term *Ebonics* as a synonym for "Black English." In doing so, they reveal an ignorance of the origin and meaning of the term *Ebonics* that is so profound that their confusion is pathetic. (Smith, 1998: 57)

Although Smith's position is quite clear, research on the origin of this linguistic variety is diverse. Mufwene (2001: 24), in trying to explain the origin and development of AAVE, argues that it is "irrelevant whether African American English shares features with other North American varieties of English or where the features originates or how AAE developed (some of) its structural features". He also brings into discussion another variety, Gullah, as some researchers hypothesize that AAVE and Gullah are actually varieties of African American English. An interesting view is that of Spears (1988) who claims that there is a standard African American English, different from the basilectal variety studied by linguists – African American Vernacular English – usually associated with illiteracy or little schooling. In defending this position, Spears (1998: 230) writes that:

I use the term African-American English (AAE) as a cover term for Standard African-American Englishes (SAAE) and for African American vernacular Englishes (AAVE), both of which are in turn the cover terms for the collections of standard and non-standard varieties of AAE respectively. In doing this, I am making two claims: (1) AAE comprises not one but a number of related standard and nonstandard varieties, and (2) varieties of AAE may have distinctively African American traits while having none of the features widely agreed upon as being nonstandard, e.g., the use of *ain't* and multiple negatives within a sentence. The distinctively African-American features of SAAE have to do primarily, but not solely, with prosody and language use.

Spears's view is shared by Morgan (1998) and, to a certain extent by Mufwene (2001). Returning to the distinction between AAVE and Gullah, Mufwene (2001: 36) suggests that it is actually a regional one, "within which other continua are identifiable and associated, in part, with density of their respective basilectal features". Smitherman (1997: 29) uses the term "U.S. Ebonics" which comprises AAVE and Gullah, but not Caribbean creole varieties nor African pidgin or creole varieties. For Wolfram and Schilling-Estes (2008: 213) AAE represents "the language variety spoken by many people of African descent in the US and associated with African American ethnic identity and cultural heritage." It is difficult to provide an all-encompassing definition of AAVE, and maybe we should focus instead on the linguistic features observable among African Americans.

Green (2002: 8) notes that historical discussions regarding the origin of African American English commence with the first arrivals of African slaves on American soil. Several hypotheses as to the roots of AAVE have been presented throughout the years. The first view is the *Anglicist Hypothesis* which states that AAVE has the same sources as other European American dialects, namely the English dialects spoken in the British Isles. Mid-twentieth century dialectologists accepted this

position, as well as the fact that present-day African American speech was “identical to that of comparable Southern white speech” (Wolfram and Thomas, 2002: 12). The two sociolinguists later highlight that some of the arguments encountered in the literature posit that African American speech of the nineteenth century was “identical to that of cohort European American speech but that it has since diverged” (Wolfram and Thomas, 2002: 12-13). This point of view is perfectly illustrated by Kurath (1949: 6):

By and large the Southern Negro speaks the language of the white man of his locality or area and of his education...As far as the speech of uneducated Negroes is concerned, it differs little from that of the illiterate white: that is, it exhibits the same regional and local variations as that of the simple white folk.

The Anglicist Hypothesis maintains that the language contact situation of the people of African origin in the United States was no different from that of other groups of immigrants. It is true that African slaves brought with them several African languages to North America, but after a couple of generations, these heritage languages were gradually lost, as Africans learned the regional and social varieties used by North American white speakers.

In the late 1960s and early 1970s this position was challenged and replaced by the *Creolist Hypothesis*, which maintains that AAVE developed from a creole language, as an outcome of the early contact between Africans and Europeans (Stewart, 1967; Dillard, 1972). One of the most well-known advocates of the Creolist Hypothesis is William Stewart who wrote that:

Of the Negro slaves who constituted the field labor force on North American plantations up to the mid-nineteenth century, even many who were born in the New World spoke of a variety of English which was in fact a true creole language – differing markedly in grammatical structure from those English dialects which were brought directly from Great Britain, as well as from New World modifications of these in the mouths of descendants of the original white colonists. (Stewart, 1968: 3)

Despite the fact that not all scholars on AAVE accepted such a strong interpretation of the creolist hypothesis, certain authors accepted some version of it. Fasold (1981: 164) was one of them, who mentioned that “the creole hypothesis seems most likely to be correct, but it is certainly not so well established as Dillard (1972), for example, would have us to believe.” Fasold actually refers to Dillard’s highly influential book *Black English: Its History and Usage in the United States*, published in 1972, which promoted the creolist hypothesis. Under this hypothesis, AAVE is considered to have started off as a creole, just like

Jamaican Creole or Gullah (spoken in the Sea Island off the coast of South Carolina and Georgia), as AAVE shares some grammatical features with these two creole varieties of English (Green, 2002: 9). Rickford (1998: 189) opines that “there is enough persuasive evidence in these data to suggest that AAVE did have some creole roots.”

In the 1980s the creolist hypothesis was called into questions due to the publication of different sets of data. One of them was a set of written records of ex-slave narratives collected under the Works Project Administration in the 1930s, published in 1991 as *The Emergence of Black English: Text and commentary* by Bailey, Maynor and Cukor-Avila. Other materials included letters written by semi-literate ex-slaves in the mid-nineteenth century (Montgomery, Fuller, and DeMarse 1993) and the Hyatt texts, which represent a set of interviews with Black practitioners of voodoo in the 1930s (Hyatt 1970-8, Ewers 1996). All these records showed that earlier AAVE was not as different from postcolonial European American English varieties, thus apparently disproving the creolist hypothesis. The emergence of data from these newly discovered texts led to the development of the *Neo-Anglicist Hypothesis* (Poplack and Tagliamonte 2001). More recently, Van Herk (2015: 23) uses the term *English Origins Hypothesis* (EOH) and associates it with the *Ottawa School*. This hypothesis, similar to the *Anglicist Hypothesis* which circulated in the mid-twentieth century, posits that although earlier postcolonial African American speech was influenced by early British dialects brought to North America by British colonists, it has since diverged and present-day AAVE is actually different from contemporary European American vernacular speech (Wolfram and Schilling-Estes, 2008: 222). Based on recent studies which focused on expatriate enclave communities, Poplack (1999: 27) postulated that “AAVE originated as English, but as the African American community solidified, it innovated specific features and contemporary AAVE is the result of evolution, by its own unique, internal logic”. Labov (1998: 119) makes a similar observation and writes that “The general conclusion that is emerging from studies of the history of AAVE is that many important features of the modern dialect are creations of the twentieth century and not an inheritance of the nineteenth”.

Even though many scholars adhered to this position, a consensus has yet to be reached. The validity and nature of the data is questioned by some researchers (Debose 1994, Hannah 1997), the earlier contact situation between Africans and Europeans (Winford 1997) as well as the “sociohistorical circumstances that contextualized the speech of earlier African Americans (Wolfram and Thomas, 2002: 14). Grammatical features such as copula absence (e.g. *She beautiful*) and inflectional -s absence (e.g. *He go*) occur frequently in language contact situations.

These features particularized earlier African American speech and persist in present-day AAVE. Wolfram and Schilling-Estes (2008: 223) note that influence from another language or a language contact situation that takes place longer than the original contact circumstance is known as a *substrate effect*. The persistence of copula absence and inflectional -s absence in present-day AAVE, centuries after the first contact situation between British colonists and African slaves is deemed a substrate effect in AAVE (see also Kautzsch, 2002).

The last hypothesis which speculates on the origins and subsequent development of AAVE is the *Substrate Hypothesis* which suggests that although earlier AAVE may have contained features from regional varieties of American English, its durable substrate effects “have always distinguished it from other varieties of American English (Wolfram and Schilling-Estes, 2008: 223). Wolfram and Schilling-Estes further claim that even though sociohistorical evidence does not support the existence of a plantation creole in the American South, “this does not mean that contact with creole speakers during the passage of slaves from Africa to North America could not have influenced the development of earlier AAVE” (Wolfram and Schilling-Estes, 2008: 223).

Given the different opinions and the lack of a general consensus as to the origin and early development of AAVE, it is futile to believe that we have a definitive answer to this question. These shifts in positions over the last century warn us to be careful in reaching a final conclusion to explain the origin and early evolution of AAVE.

2. AAVE as a literary dialect in 19th century American fiction

Throughout American literary history, a significant number of authors have attempted to craft the language of African American characters for different reasons. However, each author used their own set of orthographic conventions as “no orthographic system has ever been developed or agreed upon for how to represent different dialects of American English” (Peterson, 2015: 691). As a result, authors made use of *eye dialect*. This term was coined by Krapp in 1925 in his book *The English Language in America* to describe graphemic alterations that differ from the nonstandard pronunciation but which have a role in creating the impression that the speaker is using a dialectal form. Later on, Preston (1985), in an attempt to distinguish among different types of *respellings*, identified the following: *allegro speech forms*, *dialect respellings* and *eye dialect*. Allegro speech forms represent instances of nonstandard spelling that try to render casual speech (e.g., *walkin'*, *till*, *an'*). Dialect respellings aim at conveying social features of pronunciation (e.g., *dem* for *them*). Finally, eye dialect is used to show a

phonological difference between standard and nonstandard form that do not actually exists (e.g., *wuz* for *was*).

This section focuses on how and why American authors like Mark Twain and Harriet Beecher Stowe represented African American Vernacular English in the speech of two characters: Jim and Aunt Chloe. I agree with Lanehart (2001: 1) who states that “we cannot talk about a language without considering and trying to understand the people in and of their sociocultural and historical contexts. In other words, the language and the people are inextricably linked.” I prefer the term *dialectal writing* (or *writing in dialect*), as opposed to *Remus orthography*, a concept originally introduced by Hadler (1998: 108) to depict “a written language riddled with apostrophes, misspellings, and omitted letters and words” and subsequently used by Peterson (2015). The term *Remus orthography* is an obvious reference to Joel Chandler Harris’s African American tales. Uncle Remus is an old former slave used by Chandler to portray the language of the Old South and Gullah (Peterson, 2015: 693). The term dialectal writing is more generous and has a wider meaning, applicable to all authors who made use of nonstandard language to render the speech of different characters.

Many (socio)linguists question the importance and accuracy of using literary dialect to draw conclusions and inferences as to the origins and development of a certain dialect, and AAVE is no exception. I follow Minnick (2004: xvi) who postulates that “there is an abundance of skepticism about the linguistic value of literary dialect – which is defined here as written attempts at representing social, regional or other types of spoken linguistic variation – still the analysis of literary dialect can be important to linguistic study as it is to literary study”.

According to Dillard (1977) AAVE, when used as a literary dialect, is always rendered in a different orthography, compared to the speech of non-Black characters which is always portrayed using Standard American English orthography. This position raises a number of problems. The first one is that in the novel *The Adventures of Huckleberry Finn* (henceforth AHF) by Mark Twain, the story is told by Huckleberry Finn, a “vernacular-speaking child” (Fishkin, 1993: 3) and a non-Black character. Furthermore, in the “Explanatory” with which the novel begins, Twain acknowledges that seven dialects are used in the book:

In this book a number of dialects are used, to wit: the Missouri Negro dialect; the extremest form of the backwoods South-Western dialect; the ordinary ‘Pike County’ dialect; and four modified varieties of this last. The shadings have not been done in a haphazard fashion, or by guess-work; but painstakingly, and with trustworthy guidance and support of personal familiarity with these several forms of speech.

I make this explanation for the reason that without it many readers would suppose that all these characters were trying to talk alike and not succeeding. (Mark Twain, *The Adventures of Huckleberry Finn*, 1994: 6)

It is a wide-held belief that the only “negro dialect” in the book is the one spoken by Africa-American characters. Apart from the phonological features used to render the speech of Jim (he used ‘*dat*’ instead of ‘*that*’), morphology, syntax and diction also play an important role in portraying a character’s voice. A voice also comprises something that transcends grammar or literary devices. It is what Claude Brown describes as “*Spoken Soul*”, a term he coined for black talk. The term was also used by Rickford and Rickford (2000) in the title of their book: *Spoken Soul: The Story of Black English*. The authors cogently argue that:

Most African Americans – including millions who, like Brown and Baldwin, are fluent speakers of Standard English – still invoke Spoken Soul as we have for hundreds of years, to laugh or cry, to preach and praise, to shuck and jive, to sing, to rap, to shout, to style, to express our individual personas and our ethnic identities (“‘spress yo’self!” as James Brown put it), to confide in and commiserate with friends, to chastise, to cuss, to act, to act the fool, to get by and get over, to pass secrets, to make jokes, to mock and mimic, to tell stories, to reflect and philosophize, to create authentic characters and voices in novels, poems, and plays, to survive in the streets, to relax at home and recreate in playgrounds, to render our deepest emotions and embody our vital core. (Rickford and Rickford, 2000: 4)

The use of AAVE in literary texts creates an intimacy and great familiarity, something that could never be achieved through the use of Standard English. Although Twain has been criticized for the way in which he portrayed Jim’s speech, he was a “mostly conscientious observer and reporter of common features of African American English” (Minnick, 2010: 184). When comparing Jim’s and Huck’s speech, some apparently insignificant sociolinguistic differences arise. For instance, Jim uses the alveolar nasal pronunciation (i.e., the use on /n/ instead of /ŋ/ in words like *working*), while Huck does not. Consider the following examples:

- (1) ‘Well, it’s all right, anyway, Jim, long as you’re going to be rich again some time or another.’ (Huck, p. 54)
- (2) Don’t you git too peart. It’s a-comin’. Mind I tell you, it’s a-comin’.’ (Jim, p. 58)

The fact that Huckleberry Finn speaks in the Pike County dialect should have also been mirrored in the pronunciation of ING. The ING variable is one of the most well-researched phonological variables.

Several studies (Labov 1966, Wald and Shopen 1985, Campbell-Kibler 2006) have pinpointed that the /n/ variant is the nonstandard one, associated with the lower and middle classes, whereas the /ŋ/ variant is the standard one, preferred by the upper class. Huckleberry Finn would have been expected to use the nonstandard form and not the standard one.

In the novel *Uncle Tom's Cabin* (henceforth UTC) by Harriet Beecher Stowe, not only the speech on Black characters is rendered as nonstandard. The novel opens with a discussion between Mr Shelby, the master of the plantation and Haley, a slave trader. Stowe uses the word “gentlemen” to describe both men, however, she further writes that “one of the parties, when critically examined, did not seem, strictly speaking, to come under the species” (UTC, 1982: 11). The author obviously refers to Haley, a white slave trader from Kentucky, whose “conversation was in free and easy defiance of Murray’s Grammar, and was garnished at convenient intervals with various profane expressions, which not even the desire to be graphic in our account shall induce us to transcribe” (UTC, 1982: 11). The story is told by an omniscient narrator, focusing on two stories: Tom’s destiny and Eliza’s and George’s escape. Even though most of the white characters speak in Standard English, some of them speak in a dialect. African-American characters such as Eliza and George Harris use Standard English impeccably, while Aunt Chloe uses AAVE. This is to show that Dillard’s (1977) claim mentioned above does not stand. The speech of white characters is also sometimes portrayed as dialectal and there are cases in which the speech of Black characters is rendered in Standard English.

Twain’s and Stowe’s representation of AAVE has been subjected to criticism, with McDowell (1931: 322) referring to Stowe’s “persistent inconsistency”, and later on, Holton (1984: 70) talking about “dialectal inconsistency”. Nonetheless, Holton (1984: 102) acknowledges that “Mark Twain’s representation of Jim’s dialect is certainly extremely well done”. Evidence shows that Twain was striving, to the best of his ability, for accuracy and readability (Fishkin, 1993: 103). These two factors play an important part in a work of fiction which makes use of dialectal writing. Authors have to come up with a perfect formula, a balance between accuracy and readability. If the text contains too many instances of dialectal writing, then it might pose difficulties for the reader, especially if they are not acquainted with the dialect that is portrayed. So, we expect that in their representation of AAVE in the two novels under scrutiny, Twain and Stowe did not employ all the linguistic features attested in AAVE, but just a few in order to catch a glimpse of how 19th century African-Americans “sounded” like. This hypothesis is also sustained by Twain’s ‘Explanatory’ note that precedes Chapter 1 of the novel, which was already mentioned above.

3. Morphosyntactic features of African American Vernacular English

According to Wolfram and Schilling-Estes (2008: 214) there is a general consensus among dialectologists that some features of AAVE are particular to this variety and are not found in European American varieties. An extensive list of phonological and morphosyntactic features of AAVE is presented in Rickford (1999) and Green (2002). Below we provide a list of some distinguishing morphosyntactic features of AAVE, as formulated in Wolfram and Schilling-Estes (2008: 214-215):

- (i) habitual *be* for habitual or intermittent activity;
(3) She don't usually be here.
- (ii) absence of copula for contracted forms of *is* and *are*;
(4) He nice.
- (iii) present tense, third-person *-s* absence;
(5) *he eat* for *he eats*
- (iv) possessive *-s* absence;
(6) *man_coat* for *man's coat*
- (v) general plural *-s* absence;
(7) *a lot of time* for *a lot of times*
- (vi) simple past tense *had* + verb;
(8) They had went outside in the garden.
- (vii) *ain't* for *didn't*
(9) He ain't do it.

This somewhat restricted list does not include multiple negation as this is not necessarily a feature associated only with AAVE. Sutcliffe (1998), who looks at grammatical features found in 19th century AAVE and Gullah, highlights another important peculiarity of AAVE, i.e., zero tense marker, arguing that this is a typical creole feature. He further argues that in almost 90% of the cases the reasons behind the lack of inflection are:

- (a) the use of the historic present in narrative;
- (b) phonological simplification leading to loss of the *-ed* ending;
- (c) a past tense form identical to the present (e.g., the standard English *put*);
- (d) deletion of underlying 'would' in habitual past tense reference.

(Sutcliffe, 1998: 141)

Let us now turn our attention to the way in which AAVE was used as a literary dialect in the two novels under scrutiny and discuss some of the morphosyntactic features identified in the speech of Jim (AHF) and Aunt Chloe (UTC).

4. Morphosyntactic features in *The Adventures of Huckleberry Finn* and *Uncle Tom's Cabin*

Several morphosyntactic features will be considered in this section: multiple negation, the absence of various suffixes (third-person singular, plural -s), the absence of copula *be*, the presence of the suffix -s with first and second person subjects, lack of concord, regularization of verb forms, possessive and personal pronouns and *a*-prefixing.

Multiple negation is a nonstandard grammatical feature found in most, if not all, dialects of English and AAVE is no exception. Green (2002: 77) writes that multiple negators like *don't*, *no* and *nothing* can be used in a single negative sentence. In both AFH and UTC multiple negation is a feature that appears quite frequently in the speech of Jim and Aunt Chloe respectively. Consider the following examples:

- (10) a. 'I couldn't git nuffn' else (Jim, p. 49)
 b. I 'uz powerful sorry you's killed, Huck, but I ain't no mo', now.'
 (Jim, p. 50)
 c. But I didn' have no luck.' (Jim, p. 51)
 d. I see it wan't no use fer to wait...' (Jim, p. 51)
 e. Mighty few – an' dey ain' no use to a body.' (Jim, p. 52)
- (11) a. 'don't tell me nothin' of dem...' (Aunt Chloe, p. 36)
 b. 'I never said nothin'. (Aunt Chloe, p. 36)
 c. 'Ta'nt no fault o' hern' (Aunt Chloe, p. 36)
 d. 'Lor, the family an't nothing!' (Aunt Chloe, p. 36)
 e. 'I can't do nothin' with ladies in de kitchen!' (Aunt Chloe, p. 38)

In the examples provided in (10) we can observe instances of intra-speaker variation, in the pronunciation of the negator *ain't*, which is spelled *ain't* (10b) and *ain'* (10e). A third pronunciation is found in Aunt Chloe's speech, who pronounces it as *an't* (11d). Fickett (1975) researched the verb system in AAVE with a particular emphasis on the uses of negative elements *ain't*, *not*, and *don't* from the perspective of tenses. He concluded that "because it has a system of tenses which indicate degrees of pastness and degrees of futurity, it can talk about how long-ago things didn't happen, or how far ahead they aren't going to

happen” (Fickett, 1975: 90). This can also be observed in the examples provided above in (10) and (11).

Another morphosyntactic feature that can be found both in the speech of Jim and Aunt Chloe is the absence of various suffixes (third-person singular, plural *-s*) or the presence of the *-s* suffix with first and second person subjects. Consider the following examples:

- (12) a. ‘Well, I knows what I’s gwyne to do. (Jim, p. 14)
- b. ‘I’s gwyne to set down here and listen tell I hears it agin.’ (Jim, p. 14)
- c. ‘Here’ I’ve got a thin old knife, I keeps sharp a purpose.’ (Aunt Chloe, p. 35)
- d. ‘...dey takes dat ar time.’ (Aunt Chloe, p. 37)
- e. ‘Well, now, I hopes you’re done’ (Aunt Chloe, p. 40)
- f. ‘We wants to sit up to meetin’ – meetin’s is so curis. We likes ‘em.’ (Aunt Chloe, p. 40)

The presence of the *-s* suffix with first and second person subjects appears more frequently in the speech of Aunt Chloe than in the speech of Jim. In most cases the suffix *-s* is attached to verbs used with first person subjects (e.g., *I knows*, *I hears*, *I hopes*, *I keeps*). The fact that both Jim and Aunt Chloe add *-s* to verbs in the first person singular, which results in a pronoun-verb discrepancy, is known as hypercorrection (Huber, 2018: 68).

There are several instances of lack of concord between subject and verb, for example:

- (13) a. ‘Say – who is you? Whar is you?’ (Jim, p. 14)
- b. ‘Yo’ ole father doan’ know...’ (Jim, p. 26)
- c. ‘Dey’s two angels hoverin’ roun’ ‘bout...’ (Jim, p. 26)
- d. ‘But you is all right.’ (Jim, p. 26)
- e. ‘Dey’s two gals flyin’ ‘bout you...’ (Jim, p. 26)
- f. W’y, what has you lived on.’ (Jim, p. 49)
- g. ‘...it’s a sign dat you’s agwyne to be rich.’ (Jim, p. 52)
- h. ‘...don’ you see I has? (Jim, p. 52)

- (14) a. Jinny and I is good friends...’ (Aunt Chloe, p. 36)
- b. ‘Ah, Mas’r George, you does n’t know half your privileges...’ (Aunt Chloe, p. 36)
- c. ‘...but tan’t everybody knows what they is.’ (Aunt Chloe, p. 38)
- d. ‘...for we’s goin’ to have the meetin’.’ (Aunt Chloe, p. 40)

Lack of subject-verb agreement is well-documented in AAVE (Cukor-Avila 2001, Wolfram and Thomas 2002) and it seems that this feature has been preserved in contemporary AAVE (Rickford, 1992; Wolfram, 2004).

The absence of copula occurs in the speech of Jim:

- (15) a. 'You gwyne to have considable trouble...' (Jim, p. 26)
- b. Sometimes you gwyne to git huty, en sometimes you gwyne to git sick' (Jim, p. 26)
- c. '...didn' know by de sign dat you gwyne to be rich bymeby.' (Jim, p. 52)

There were no instances of the absence of copula in the speech of Aunt Chloe. Furthermore, there are several instances in Jim's speech in which the copula is preserved. Consider the following examples:

- (16) a. 'I knows what I's gwyne to do.' (Jim, p. 14)
- b. 'Yo ole father doan' know, yit, what he's a-gwyne to do.' (Jim, p. 26)
- c. 'You's gwyne to marry de po' one...' (Jim, p. 26)
- d. 'dat you's gwyne to git hung.' (Jim, p. 27)

Despite the fact that the copula is retained in these instances, the contracted form 's is used with first- and second-person singular subjects. Significant is also the form *gwyne* used as a future tense marker.

As somewhat expected, Jim and Aunt Chloe regularize irregular verb forms, although this does not occur quite frequently.

- (17) a. 'I knowed dey was arter you.' (Jim, p. 52)
- b. 'And so ye telled Tom, did ye?' (Aunt Chloe, p. 37)
- c. 'Cake ris all to one side' (Aunt Chloe, p. 35)
- d. 'You know'd your old aunty.' (Aunt Chloe, p. 35)

The process of regularization of irregular verbs occurs in several varieties of North American English (see Montgomery, 2004; Bayley and Santa Ana, 2004; Fought, 2002) as well as varieties of British English (see Miller, 2004; Trudgill, 2004; Anderwald, 2009). This feature has also been attested in AAVE (see Wolfram, 2004).

There are several instances in Twain's novel where Jim does not mark past tense forms. The tense is only understood from the context:

- (18) a. 'I come heah de night arter you's killed.' (Jim, p. 49)
- b. 'I see a light a-comin' roun' de p'int.' (Jim, p. 51)

- c. 'I see it warn't no use fer to wait, so I slid overboard, en stuck out...' (Jim, p. 51)
- d. 'When we 'uz mos' down to de head er de islan', a man begin to come aft wid a lantern.' (Jim, p. 51)

This peculiarity was only found in Jim's speech. In the speech of Aunt Chloe, however, we could not find any such instances. Another interesting feature which characterized Jim's speech was the use of past participle forms instead of the past tense. Consider the following examples:

- (19) a. 'Den I swum to de stern uv it, en tuck aholt.' (Jim, p. 51)
 b. 'So I clumb up en laid down on de planks.' (Jim, p. 51)
 c. 'No, but I been rich wunst, and gwyne to be rich agin.' (Jim, p. 52)
 d. 'So I done it.' (Jim, p. 53)

Noteworthy is the irregularization of the verb *climb*, as 'clumb' (19b), probably by analogy to verb forms like *find-found*, *hang-hung*.

An important feature that appears consistently in Jim's speech is *a*-prefixing. Schneider (1989: 147) writes that *a*-prefixing frequently occurs in folk speech on both sides of the Atlantic.

- (20) a. '...what he's a-gwyne to do.' (Jim, p. 26)
 b. '...but dey wuz people a-stirrin' yit' (Jim, p. 50)
 c. 'I see a light a-comin' roun' de p'int.' (Jim, p. 51)
 d. 'What you want to know when good luck's a-comin' for?' (Jim, p. 52)
 e. '...it's a sign dat you's agwyne to be rich...' (Jim, p. 52)
 f. '...right off en keep things a-movin'.' (Jim, p. 53)
 g. '...didn't de line pull loose en de raf' go a-hummin' down de river' (Jim, p. 88)
 h. 'I was a-listenin' to all de talk...' (Jim, p. 95)

- (21) '...there's old Bruno, too, a pawin' round; what on airth!' (Aunt Chloe, p. 51)

A-prefixing also occurs in Aunt Chloe's speech, albeit rare, as illustrated in (21). It is also worth mentioning the use of possessive pronouns, especially 'your' which is represented in its nonstandard and weakened forms *yer* and *yo*, as illustrated below:

- (22) a. 'Yo' ole father doan' know...' (Jim, p. 26)
 b. 'You gwyne to have considable trouble in yo' life...' (Jim, p. 26)

- c. 'Dey's two gals flyin' 'bout you in yo' life.' (Jim, p. 26)
- d. '...how yo' pap come over to de town...' (Jim, p. 50)
- e. 'It ain't yo' fault, Huck' (Jim, p. 96)

(23) '...you does n't know half your privileges in yer family'
(Aunt Chloe, p. 36)

In Aunt Chloe's speech the personal pronoun 'you' is rendered in its nonstandard form *ye*, whereas in Jim's speech Twain uses the standard form *you*.

- (24) a. 'Jinny and I is good friends, ye know' (Aunt Chloe, p. 36)
- b. 'And so ye telled Tom, did ye?' (Aunt Chloe, p. 37)

- (25) a. 'But you is all right.' (Jim, p. 26)
- b. '...dat you's gwyne to hit hung.' (Jim, p. 27)
- c. '...maybe you's got to be po' a long time fust.' (Jim, p. 52)
- d. 'don' you see I has?' (Jim, p. 52)

Noteworthy is also the use of the tag question in (24b), in the speech of Aunt Chloe.

The occurrence of the suffix *-s* with first and second person subjects (e.g., *I knows*, *We wants*, *We likes*, *I hopes*), the construction *for to* in (10d) and (18c), as well as preverbal *a-* in (20), reveal that 19th century AAVE was characterized by rich verbal inflections. These features rarely occur in present-day AAVE.

Conclusions

This paper has discussed AAVE as a literary dialect in two 19th century American novels: *The Adventures of Huckleberry Finn* and *Uncle Tom's Cabin*. The analysis has highlighted several morphosyntactic characteristics associated with AAVE in general and has identified several morphosyntactic features found in the speech of two characters of African-American descent: Jim and Aunt Chloe.

All the morphosyntactic features identified in the speech of the two African-American characters under scrutiny have been attested in AAVE. The authors have also managed to keep a balance between accuracy and readability, which is a vital aspect in a work of fiction that makes use of dialectal writing. The linguistic inconsistencies for which both authors have been blamed contribute to the novels' authenticity and make the characters believable and realistic. The instances of *intra-speaker* variation that have been highlighted stand proof to the (socio)linguistic insight that the authors possessed. It is also clear that

Mark Twain offered a very accurate description of AAVE through the consistent features employed (rich verbal morphology, *for to* infinitives, *a*-prefixing, the use of pronouns etc.). Beecher Stowe's rendition of AAVE includes more instances of *eye dialect* and *pronunciation respellings* than morphosyntactic particularities.

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ISSN

Despre *al* în domeniul RLS

Anamaria-Bianca Tonț*

About *al* in the Domain of RFL

Abstract:

My article presents the problem of *al* (*a*, *ai*, *ale*) in the field of Romanian as a foreign language. The first part of the study is an exposure of the interpretation of possessives, interpretations depending on which the morphological statute of *al* varies: possessive genitive mark, semi-independent possessive or formative pronoun. The consequences of the morphological interpretations of *al* can also be seen in the RFL domain. Therefore, the second part of the present article pursues the acquisition of the semi-independent possessive pronoun *al* by the foreign students depending on the several different interpretations found in the Romanian language textbooks for foreigners.

Keywords: *al* (*a*, *ai*, *ale*), Semi-independent possessive pronoun, Possessive genitive article, Romanian as a foreign language, Level B1

Introducere

Învățarea unei limbi străine este un proces complex ce presupune, în special, dezvoltarea *competenței de comunicare lingvistică*¹ „bazată pe exploatarea mijloacelor lingvistice” (CECRL, 2003: 15). Competența comunicativă nu se rezumă la a deține cunoștințe și deprinderi lexicale, gramaticale, semantice, fonologice și ortografice, ci mizează pe capacitatea unui individ de a folosi limba în situații concrete de vorbire. Un discurs elaborat dovedește că „procesul de învățare a competenței gramaticale merge mână în mână cu însușirea unor reguli care guvernează folosirea adecvată a propozițiilor, în situații date” (Gheorgiu, 2020: 275).

Obiectivul cercetării noastre îl constituie *al* (*a*, *ai*, *ale*, *alor*). Analizând reperele pentru descrierea nivelurilor de competență lingvistică din domeniul RLS (Platon *et alii*, 2014), observăm că însușirea lui *al* (*a*, *ai*, *ale*) – „articol posesiv-genitival” – se face la nivelul B1. La același nivel de competență lingvistică se învață și „pronumele posesiv *al meu*, *al tău*, *al său*, *al nostru* etc.”, după ce cursanții și-au însușit adjectivul pronominal posesiv la nivelurile

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¹ Potrivit CECRL (CECRL, 2003: 91), *competența comunicativă* cuprinde: competențele lingvistice, competența sociolingvistică și competențele pragmatice.

inferioare, A1-A2. Având în vedere terminologia utilizată, pentru început, vom realiza o descriere generală a formei *al* cu scopul clarificării statutului gramatical, iar apoi vom urmări modul în care este înțeleasă predarea/învățarea lui *al* în domeniul RLS. În cele din urmă, ne propunem să enunțăm câteva sugestii de optimizare a predării propomelului posesiv semiindependent în RLS.

1. *Al* în limba română. Privire de ansamblu²

Vechile gramatici românești (GLR, 1966, vol. I: 155) notează că pronumele posesiv substituie atât numele obiectului posedat, cât și numele posesorului³, având în structură articolul posesiv *al*, *a*, *ai*, *ale*. Încă de timpuriu s-au ivit lingviști care au pus la îndoială definiția clasică a acestui tip de pronume⁴, dintre aceștia G. G. Neamțu (2014: 451-457, 468-486) reușind să identifice peste douăzeci de probleme în legătură cu posesivele (*Ibidem*: 417-420). „Întreaga problematică a posesivelor și, prin prelungire de semantică gramaticală, a genitivului este centrată pe interpretarea gramaticală (= morfologică) a lui *al* (*a*, *ai*, *ale*, *alor*) – subunitate vs. unitate” (*Ibidem*: 420).

În momentul de față, în gramatica limbii române există trei mari direcții de interpretare teoretică a posesivelor (*Ibidem*: 420-422), după cum urmează:

1. **interpretarea sintetică, tradițională**⁵ îl promovează pe *al* (numit adesea *articol posesiv*) ca subunitate în structura posesivelor. Apariția lui *al* poate fi obligatorie (*A mea este la școală.*) sau condiționată distribuțional (*A mea fată este la școală.*). Putem distinge *pronume posesive* cu structură binară (*a mea*) și *adjective pronominale posesive* (cu sau fără *al* – *o fată a mea/fata mea*).

2. **interpretarea semianalitică**⁶ este expusă în majoritatea gramaticilor noi (GALR, 2005, vol. I: 234-256; GBLR, 2010: 121-132;

² Prezentarea statutului controversat al lui *al* a fost expusă și în Tonț, 2020: 117-128.

³ Al. Rosetti și J. Byck (1945: 54-55) notează că pronumele posesiv are „un îndoit rol de pronume”.

⁴ Vezi Tonț, 2020: 118-119.

⁵ Această direcție este promovată de: GLR, 1966, vol. I: 156-159; GLR, 1966, vol. al II-lea: 88, 103; Constantinescu-Dobridor, 1974: 21-23, 128-134; Iordan, Robu, 1978: 418-420; Irimia, 1987: 140-143; Dimitriu, 1999, vol. I: 171-179, 268-272; Felecan, 2002: 51-52.

⁶ Această direcție de interpretare își are originea în *Școala gramaticală bucureșteană*: SMLRC, 1967: 178; Manoliu-Manea, 1968: 49, 70, 90-92; Guțu Romalo, 1973: 63, 82-83, 122; LRC, 1985: 136, 258; Hristea, 1984: 220; Florea, 1983: 18, 200, 201; Pană Dindelegan 1992: 39; idem, 2003: 29.

DIG, 2020: 43-51; Pană Dindelegan, 2021: 311-312) și presupune o soluție de analiză în funcție de context, unde *al* poate fi⁷:

- a. *al₁ (formant* în structura posesivului/genitivului, *marcă posesiv-genitivă)*: termenii din cadrul relației de posesie (*posesorul* și *obiectul posedat*) sunt coprezenți în discurs, iar posesivul/genitivul nu apare în strictă adiacență la articolul hotărât enclitic: *A mea fată este la mare*. *Al₁* „participă la fenomenul de marcă mixtă (analitică și sintetică) a cazului” (DIG, 2020: 44), nu are caz și nu manifestă acord în caz cu regentul genitivului/posesivului.
- b. *al₂ – pronume (posesiv) semiindependent*⁸: numai atunci când este centru de grup sintactic. *Al₂* rezultă din *al₁* prin „ștergerea din structură a substantivului cap de grup (centru de sintagmă) și glisarea lui *al* pe poziția acestuia, preluându-i atributele: reprezentarea ca pronume a substantivului eliminat cu categoriile gramaticale (genul, numărul, cazul) și poziția (funcția sintactică)” (Neamțu, 2014: 469): *Copiii mei sunt la mare, iar ai tăi sunt acasă*. Posesivul (*mei, tăi*) este *adjectiv (pronominal) posesiv*.

3. interpretarea *analitică*⁹ propune o soluție unificată de analiză, pledând pentru statutul exclusiv de pronume (posesiv semiindependent¹⁰) a lui *al*, indiferent dacă e urmat de un posesiv sau de un genitiv. Aceste grupări „constituie sintagme posesive/genitive și se disociază (= se analizează) morfologic și sintactic” (Neamțu, 2014: 422):

⁷ În afară de *marcă posesiv-genitivă* și *pronume semiindependent*, unitatea *al* (doar formele de singular) funcționează și ca *formant* al numeralului ordinal (*al doilea, a doua*).

⁸ *Al* formează împreună cu *cel* grupa **pronumelor semiindependente** sau **cu determinant obligatoriu**: „semiindependența, înțelesă ca obligativitate a unui anumit determinant în subordine (posesiv sau genitiv)” (Neamțu, Nasta, Roman, 2021: 53). Denumirea a fost propusă pentru prima dată în 1968 de Maria Manoliu-Manea (1968: 91), dar este preluată și de gramaticile mai noi.

⁹ Interpretarea aparține *Școlii de gramatică clujene*: G. G. Neamțu, asemenea precursorilor săi – Drașoveanu, 1997: 100-106; Zdrengea, 1965: 1029-1032; Gruță, 1969: 143-146 – promovează direcția analitică (Neamțu, 2014: 417-425, 451-457, 468-486).

¹⁰ D. D. Drașoveanu (1997: 103) respinge termenul *semiindependent*, motivând că „nu are niciun înțeles sintactic”. G. G. Neamțu (2014: 458) afirmă că termenul *posesiv* „se referă la *conținutul* pronumelui, aducând diferența specifică”, iar *semiindependent* „dă socoteală de o particularitate distribuțională a lui *al*, aceea de a cere cu necesitate după el (=în dreapta) un termen (=posesiv sau genitiv)”. Întrucât nu există un posesiv „independent”, calificativul *semiindependent* ar putea fi abandonat, însă la demonstrative el este absolut necesar având în vedere că există și demonstrative „independente”. Vezi și Neamțu, Nasta, Roman, 2021: 52.

posesivul este un adjectiv pronominal posesiv subordonat prin acord lui *al*, iar genitivul este un substantiv/pronume/numeral subordonat flexionar lui *al*. „*Al* (*a*, *ai*, *ale*, *alor*) are genul, numărul și cazul substantivului-obiect posedat înlocuit în acea poziție sintactică” (Idem, 2013-2014) – apare aici un acord tipic pronominal (acord paradigmatic total), adică în toate categoriile gramaticale pe care le are în comun cu substituitul. Acest pronume substituie întotdeauna un substantiv articulat enclitic (în relație directă cu posesorul nu poate intra decât un astfel de substantiv: *fata vecinului/mea*). Ocupând întotdeauna poziția persoanei a treia, *al* se acordă cu verbul-predicat. Este evident că *al* are funcții sintactice autonome. Adjectivul pronominal posesiv se acordă sintagmatic (acord total) cu *al*, care îi impune genul, numărul și cazul (*al meu*, *a mea*, *ai mei*, *ale mele* etc.). Paradigma adjectivului pronominal posesiv înglobează forme diferite în funcție de persoana și numărul posesorilor, calitate ce face posibilă încadrarea posesivului în clasa pronumelui (*al meu*, *al tău*, *al nostru*, *al vostru* etc.) Pronumele posesiv semiindependent (*al*, *a*, *ai*, *ale*, *alor*) și adjectivul pronominal posesiv (*meu*, *mea*, *mei*, *mele* – *tău*, *ta*, *tăi*, *tale* etc.) constituie o *sintagmă posesivă* întrucât sunt coprezente în plan sintagmatic (relație prin acord). Spre deosebire de celelalte pronume și adjective pronominale, care au un conținut identic și o expresie asemănătoare, unitățile în discuție sunt diferite atât în conținut, cât și în expresie. *Al* și posesivul nu se află în raport de interdependență distribuțională având în vedere faptul că acestea apar și independent (*Fata mea este la mare. A vecinei este acasă*).

„Fiind cuvânt categorematic de tip pronominal, *al*, ca toate pronumele de altfel, nu are conținut lexical propriu, ci unul procurat anaforic” (Neamțu, Nasta, Roman, 2021: 53), ceea ce înseamnă că *al* „trimite la ceva deja dat” (Miron-Fulea, 2006: 143): *Fata_i mea este la mare, dar a_i ta este acasă*. Această trăsătură face posibilă încadrarea pronumelui posesiv semiindependent în clasa proformelor – „expresii fără autonomie referențială (nu au referință proprie) care își procură referința de la un element plin referențial – sursa lor semantică” (Tonț, 2020: 61). Ca oricare altă proformă, *al* preia de la sursă: (a) *semnificația lexicală* (= referința virtuală), pe care o adaugă la propria referință (virtuală) în vederea stabilirii referentului (= referința actuală) – (b) o parte din *informația gramaticală* (gen și număr) – (c) *caracteristicile sintactice ale clasei lexico-gramaticale a sursei* (Ibidem: 62-63). Prin urmare, din punct de vedere semantico-referențial, *al* este o *proformă*, mai exact un *prosubstantiv*, întrucât își obține interpretarea referențială prin legarea de un component plin referențial-substantiv, ocupând totodată poziții sintactice specifice clasei substantivului. În plus, între

prosubstantiv și substantivul-sursă se manifestă un acord paradigmatic (in absentia) (Ibidem: 87):

a. <i>Fata_i mea este la mare, iar fata_i ta este acasă.</i> N _i , subiect	↓
b. <i>Fata mea este la mare, iar a_i ta este acasă.</i> [fata] + feminin, singular →	

Încheiem prezentarea interpretărilor date lui *al* cu trecerea în revistă a celor cinci contexte pe care G. G. Neamțu (2014: 422-424) le conisereă relevante pentru statutul acestei unități¹¹ :

1. <i>al</i> + posesiv/genitiv, cu un substantival ¹² - obiect posedat în contiguitate directă	<i>Primul simptom al gripei e febra.</i> <i>Ai noștri copii sunt silitori.</i>
2. <i>al</i> + posesiv/genitiv (substantiv, pronume, numeral), fără un substantival - obiect posedat în contiguitate directă	<i>Ai tăi nu-s acasă.</i> <i>Ale vecinei mi-au plăcut.</i> <i>Al cui e ghiozdanul?</i> <i>Bucuria este a amândurora.</i>
3. <i>al</i> în coordonare:	<i>Testele noastre și ale voastre sunt negative.</i>
4. <i>al</i> în structuri posesive cu prepoziția <i>de</i> ¹³ (= <i>dintre</i>):	<i>O colegă de-ale mele a câștigat excursia.</i>
5. <i>al</i> pe poziția unei prepoziții/locuțiuni prepoziționale cu G	<i>În jurul școlii și al primăriei e plin de flori.</i>

2. Însușirea pronumelui (posesiv) semiindependent de către studenții străini

Dificultatea crescută îl plasează pe *al* în rândul structurilor specifice nivelului B1, după cum reiese din *Descrierea minimală a limbii române* (Platon et alii, 2014: 58-59). De menționat este faptul că aici, la

¹¹ Pentru interpretarea semantico-referențială a lui *al* în toate cele cinci contexte propuse de G. G. Neamțu, vezi Tonț, 2021: 122-126.

¹² G. G. Neamțu (2014: 423) subliniază că termenul *substantival* se referă la „substantiv, pronume, numeral (cu întrebuintare substantivală/pronominală)”, așa cum apare la D. D. Drașoveanu.

¹³ Varianta corectă din punct de vedere gramatical este cea cu posesivul la plural (*o prietenă de-ale mele; un prieten de-ai mei*); datorită sensului (presupus) partitiv al lui *de* (*de* = *dintre*), construcția cu *de* + singular (*de-al ...; de-a ...*) este cea uzuală. Prin urmare, lingvistul le are în vedere pe ambele.

fel ca în *Nivelul prag. Pentru învățarea limbii române ca limbă străină* (Moldovan *et alii*, 2001: 204, 275, 284, 290), se păstrează interpretarea tradițională a pronumelui posesiv, deci *al* este considerat articol posesiv-genitival (Platon *et alii*, 2014: 58):

2. ARTICOLUL	
posesiv-genitival <i>al, a, ai, ale</i> (doar în întrebări și în prezența verbului „a fi”)	<i>Al</i> cui este dicționarul? <i>Dicționarul este al</i> elefantului. <i>Cartea este a</i> elefantului. <i>Ochelarii sunt ai</i> elefantului. <i>Dicționarele sunt ale</i> elefantului.

Faptul că *Nivelul prag. Pentru învățarea limbii române ca limbă străină* (Moldovan *et alii*, 2001) a apărut înainte de anul 2005, anul apariției GALR, justifică *interpretarea sintetică* potrivit căreia *al* este o subunitate în structura posesivelor. *Interpretarea semianalitică* devine tot mai populară după publicarea GALR, problematica lui *al* fiind obiectul de studiu al numeroaselor articole (Neamțu, 2008; idem, 2011). Cu toate acestea, *Descrierea minimală a limbii române* (Platon *et alii* 2014) rămâne fidelă tradiției, la fel cele mai multe dintre manualele de RLS apărute după anul 2005.

De exemplu, *Manualul de limba română ca limbă străină* (RLS): *nivelul B1* (Sonea, Vasiu, Vilcu, 2021: 57) înregistrează formele *al, a, ai, ale* drept „articole posesive”:

Articolul posesiv

masculin singular	feminin singular	masculin plural	feminin plural
al	a	ai	ale

- **Al** cui este caietul?
- Este **al** meu.
- **A** cui este cartea?
- Este **a** mea.
- **Ai** cui sunt pantofii?
- Sunt **ai** mei.
- **Ale** cui sunt sandalele?
- Sunt **ale** mele.

În exemplele propuse, *al* apare numai în prezența verbului *a fi*, urmându-se astfel recomandarea *Descrierii minimele a limbii române* (Platon *et alii*, 2014: 58). Autoarele manualului atrag atenția asupra contextelor în care aceste articole pot fi ocurente – „Articolul posesiv genitival este utilizat în fața unui substantiv sau pronume în genitiv sau în fața unui adjectiv posesiv, atunci când acestea NU sunt precedate de un substantiv cu articol definit” (Sonea, Vasiu, Vilcu, 2021: 58) –, dând o serie de exemple sugestive. Tot aici mai apare explicația că, în limba română, „*ai mei = părinții mei, familia mea*”.

Un alt manual asupra căruia ne-am oprit este *Limba română medicală. Româna pentru obiective specifice* (Ursa, Mărcean, 2018), ale cărui unități se situează la B1, la început, dificultatea ajungând la final până la B2. Studenții învață mai întâi despre *al* ca „articol genitival” (*Ibidem*: 104) – (a) genitivul apare după verbul *a fi*: *Fișa este a copilului* – (b) substantivul are articol nehotărât: *niște medici ai spitalului* – (c) substantivul are determinant: *acest anevrism al pacientului* – apoi, aceeași formă, o regăsesc în structura pronumelui posesiv (*Ibidem*: 112):

PRONUMELE POSESIV		
Băieții mei sunt mai mici ca băieții tăi.	➡	Ai mei sunt mai mici ca ai tăi.
A vorbit despre procedurile lui Dan.	➡	A vorbit despre ale lui.
PERSOANA	UN POSESOR	MAI MULTI POSESORI
I.	al meu, a mea, ai mei, ale mele	al nostru, a noastră, ai noștri, ale noastre
II.	al tău, a ta, ai tăi, ale tale	al vostru, a voastră, ai voștri, ale voastre al/ a/ ai/ ale dumneavoastră
III.	al lui, a lui, ai lui, ale lui a ei, al ei, ai ei, ale ei	al lor, a lor, ai lor, ale lor

Deși *Descrierea minimală a limbii române* (Platon et alii, 2014: 59) înregistrează unitățile *lui, ei, lor* (doar) la pronume personale în cazul genitiv, constatăm că adesea autorii manualelor de română ca limbă străină „optează la nivelurile A1-A2 pentru introducerea formelor *lui, ei, lor* ca pronume/adjective pronominale posesive” (Kohn, 2020: 289)¹⁴. Potrivit lingvistei, această practică este justificată, în primul rând, prin faptul că aceste forme nu se schimbă în funcție de genul și numărul obiectului posedat – apoi, tabelul nu mai are spații goale, putându-se alege oricând forma potrivită. Prin urmare, completarea paradigmei pronumelui posesiv (cu forme care, din punct de vedere morfologic, se încadrează la alte tipuri de pronume) nu face altceva decât „să aducă la îndemâna utilizatorului formele la care poate și trebuie să apeleze” (*Ibidem*: 291)¹⁵.

¹⁴ O prezentare a tipurilor de tabele ce conțin formele pronumelui personal și ale adjectivului pronominal posesiv în diferite gramatici sau manuale de RLS se poate găsi în studiul *Paradigme încrucișate. Pronumele în tabelele dedicate RLS* (Kohn, 2020).

¹⁵ Pentru a pune la dispoziția cursantului cât mai multă informație necesară, Daniela Kohn propune, pe bună dreptate, ca pentru pronumele personal și adjectival pronominal posesiv autorii de manuale din domeniul RLS să întocmească „tabele încrucișate” (Kohn, 2020: 290-292). De altfel, încă de acum două decenii unii autori de manuale de limba română pentru străini au consemnat în tabelele dedicate pronumelui posesiv și formele *lui, ei, lor* (Vezi, de exemplu, Pop, Moldovan, 1997: 97; Dorobăț, Fotea, 1999: 131).

Dacă majoritatea manualelor din domeniu rămâne în sfera interpretărilor date de tradiția gramaticală (în cazul de față, *al* – articol posesiv-genitiv), există și manuale care se sincronizează cu noile abordări. Prin urmare, în legătură cu statutul morfologic al lui *al*, *Puls. Manual de limba română ca limbă străină. Nivelurile B1-B2* (Kohn 2012: 68) ilustrează calitatea de pronume semiindependent a unității *al*¹⁶ astfel:

b. ADJECTIVUL PRONOMINAL POSESIV

c. PRONUMELE SEMIINDEPENDENT *al*

un posesor

o posesoare

mai mulți
posesori

nominativ, acuzativ

genitiv, dativ

M,N

meu
tău
său (lui / ei)

meu
tău
său (lui / ei)

F

mea
ta
sa (lui / ei)

mele
tale
sale (lui / ei)

M

mei
tăi
săi (lui / ei)

mei
tăi
săi (lui / ei)

F,N

mele
tale
sale (lui / ei)

mele
tale
sale (lui / ei)

nominativ, acuzativ

M,N

al meu
tău
său (lui / ei)

F

a mea
ta
sa (lui / ei)

M

ai mei
tăi
săi (lui / ei)

F,N

ale mele
tale
sale (lui / ei)

nominativ, acuzativ

genitiv, dativ

M,N

nostru
vostriu
lor

nostru
vostriu
lor

F

noastră
voastră
lor

noastre
voastre
lor

M

noștri
voștri
lor

noștri
voștri
lor

F,N

noastre
voastre
lor

noastre
voastre
lor

nominativ, acuzativ

M,N

al nostru
vostriu
lor

F

a noastră
voastră
lor

M

ai noștri
voștri
lor

F,N

ale noastre
voastre
lor

ex. Eu am trei perechi de pantofi.

Pantofii *mei* sunt maro.

Exemplu de utilizare a posesivului
(al - meu)

ex. Pantofii mei sunt maro.

























Ai mei sunt maro.

























Suntem de părere că procesul de învățare a pronumelui semiindependent *al* este sprijinit prin tabelul „încrucișat” întrucât acesta sintetizează paradigma posesivelor într-o grafică utilă, ușor de reamintit. Tabelul în sine nu este suficient pentru optimizarea predării lui *al*, ci trebuie să fie însoțit atât de exemplificări în enunțuri, cât și de exerciții atent întocmite.

Popunem o posibilă variantă de tabel¹⁷ care pune la îndemâna studentului exemplificări asupra cărora să revină imediat ce întâmpină o problemă la rezolvarea exercițiilor sau, de ce nu, chiar în actul conversațional:

¹⁶ Subliniem faptul că în volumul *Puls. Manual de limba română ca limbă străină* (Kohn, 2016), conceput pentru A1-A2, *al* este prezentat ca făcând parte, alături de adjectivul pronominal posesiv, din structura pronumelui posesiv (*Ibidem*: 41).

¹⁷ Imaginile utilizate pentru a trimite la posesor sunt preluate de pe <https://www.youtube.com/watch?v=Dr8GIp94GgA>, consultat: 12.02.2022.

AL: MASCULIN SINGULAR	SINGULAR	PLURAL
 câinele meu – câinele nostru	 al meu	 al nostru
 câinele tău – câinele vostru	 al tău	 al vostru
 câinele său/lui – câinele lor	 al său/lei	 al lor
 câinele său/ei – câinele lor	 al său/ei	 al lor
Câinele meu este mic, iar <u>câinele</u> vostru este mare. Câinele meu este mic, iar <u>al</u> vostru este mare.		
A: FEMININ, SINGULAR	SINGULAR	PLURAL
 cartea mea – cartea noastră	 a mea	 a noastră
 cartea ta – cartea voastră	 a ta	 a voastră
 cartea sa/lei – cartea lor	 a sa/lei	 a lor
 cartea sa/ei – cartea lor	 a sa/ei	 a lor
Cartea ta este nouă, iar <u>cartea</u> sa este veche. Cartea ta este nouă, iar <u>a</u> sa este veche.		

AI: MASCULIN, PLURAL	SINGULAR	PLURAL
 câinii mei – câinii noștri	 ai mei	 ai noștri
 câinii tăi – câinii voștri	 ai tăi	 ai voștri
 câinii săi/lui – câinii lor	 ai săi/lui	 ai lor
 câinii săi/ei – câinii lor	 ai săi/ei	 ai lor
Câinii mei sunt mici, iar <u>câinii</u> voștri sunt mari. Câinii mei sunt mici, iar <u>ai</u> voștri sunt mari.		
ALE: FEMININ, PLURAL	SINGULAR	PLURAL
 cărțile mele – cărțile noastre	 ale mele	 ale noastre
 cărțile tale – cărțile voastre	 ale tale	 ale voastre
 cărțile sale/lui – cărțile lor	 ale sale/lui	 ale lor
 cărțile sale/ei – cărțile lor	 ale sale/ei	 ale lor
Cărțile tale sunt noi, iar <u>cărțile</u> sale sunt vechi. Cărțile tale sunt noi, iar <u>ale</u> sale sunt vechi.		

În loc de concluzie

Posesivele românești constituie o problemă spinoasă nu doar pentru gramatica limbii române, ci și pentru domeniul RLS. Totuși, pentru a veni în întâmpinarea beneficiarului care studiază româna ca limbă străină, autorii de manuale și de materiale didactice au înțeles că tabelul, adesea conținând paradime încrucișate, este un instrument de lucru nu doar ușor de utilizat, ci, mai ales, eficient. Acesta oferă cursantului o viziune asupra întregului, vizualizarea repetată stimulând crearea automatismelor lingvistice.

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Digital Media and the Rhetoric of Populism

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Abstract:

Digital media have a significant impact on political communication. The rapid evolution in technology, in the way the public consumes media products and participates in the construction of digital media discourse, significantly influences communication and political competition. For European populist movements, digital media offers additional opportunities to assert themselves on the political stage. The rise of populist movements is associated both with the socio-political context marked by crises (economic crises, pandemics, war) and with the opportunities offered by technology and digital media mechanisms. The latest developments, datafication and the growing role of algorithms, raise important questions related to the quality of future democracy.

Keywords: digital media, datafication, social networks, social media, mediatization of politics, populism

The context: globalization and crises

Humanity is going through a period of rapid and profound change, which affects the way we understand social life, communication structures and political values. These changes do not have a single cause, they are rather a complex of political decisions, economic processes and technological developments that together lead to changes similar to the disintegration of the “old world” under the impact of the industrial revolution.

Globalization is the major process of the last decades, which has favored the unprecedented interconnection of the world in economic and cultural networks. Of course, the circulation of ideas, people and goods is the rule, not the exception in the evolution of mankind. However, globalization refers to the extent and speed of interconnection, favored by political decisions (democratization, opening up borders, human rights), economic developments (freedom of trade, development of multinational companies), culture promoted by the consumer society (film, music, clothing industry, ‘coca-colonization’ and fast-food industry), the standardization of education (through the standardization of school and university curricula, the ubiquity of the English language and digital technology) and the spectacular evolution of digital

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technology (Held, McGrew, Glodblatt, Peratton, 1999; Rodrick, 2018). The changes are so profound that in recent years the issue of redefining the role of nation-states and the systems of legitimacy of political power has been raised (Ghender, 2018).

Globalization, understood as an unprecedented interconnection on a global scale, has many benefits and opportunities, from easy access to goods and services to the imposition of values such as democracy and human rights as an international standard. On the other hand, rapid changes are likely to generate anxiety and fear (Rodrick, 2018). Many people see their traditional lifestyle, cultural or national identity, jobs threatened. Others accuse the exploitation and unfair distribution of profits of globalization. Fear of the effects of globalization has provided significant growth potential for anti-system, nationalist or populist political movements.

Populism: “true people” vs. “corrupt elite”

In a strong statement, Cas Mudde (2004) announced the “*populist Zeitgeist*”: populism has become a mainstream ideology in Western democracies in the last decades. The collapse of traditional left – right cleavages in old and new democracies along with economic and pandemic crises provided new opportunities for populist movements with a wide range of characteristics across different political cultures. At the heart of the populist approach is the radical distinction between “*corrupt elite*” and “*the people*” (Mudde, 2004: 543). The main features of populist movements are the claim that they are the only true representatives of the people, the tendency to identify or invent an “*enemy of the people*”, the anti-elitism and the anti-establishment rhetoric, and the hostility to pluralism (Müller, 2017). Populists present themselves as political currents started from the citizens in order to refresh democracy.

For Mazzoleni and Bracciale (2018: 3), populism is:

a general, abstract concept about politics and society that is open to a diverse set of more concrete political ideas and programs, depending on both national and historic contexts. The core features that distinguish it from other ideologies are: (1) the centrality of the idea (or of the ideas) of the people, around which populists try to create a new social identity among citizens in order to unite them and generate a sense of belonging to an imagined community; and (2) the construction of ‘the others’ as counterparts taking the form of elites and/or out-groups against which the people affirm their preeminence.

Populist movements claim to be fighting for the sovereignty and the empowerment of the “*the true people*” (Deiwikis, 2009; Müller, 2017; Cox, 2017). In populist rhetoric, “*the people*” is a concept with

many meanings, related to a social class, a national or ethnic group, imagined as homogeneous, always opposed to privileged groups (politicians, multinational companies, rich people, immigrants, minorities). The populist rhetoric is chameleonic, changeable and malleable, this is why it manifests itself differently depending on the political culture and the specific context of each political system. In Western democracies predominates right-wing populism oriented against immigrants and minority cultures. The context that favors this type of populism is related to economic crises and the fear of people losing their jobs or cultural identity. In Eastern Europe and Latin America, left-wing populism is predominant, directed against economic elites and foreign multinational companies. In this case, populists blame foreigners and corrupt elites for poverty and backwardness.

News ecosystems and datafication

Internet technology has evolved rapidly in recent decades, passing from Web 1.0 (web sites, few content creators and top-down model of communication), accessed from desktop to Web 2.0 (social media, growing interactivity, user-generated dynamic content and interoperability), accessed from smartphones, heading to Web 3.0 (growing role of database and algorithms in connecting information and knowledge, semantic web, artificial intelligence), accessed from more integrated devices.

The overwhelming effects of technology and the Internet on human behavior have been the subject of numerous interdisciplinary studies. Psychologists have defined a new field of interest, cyberpsychology, and are studying the effects of internet on the human brain, on the construction of identity and behavior in society (Katzner, 2018). The research of social scientists is complicated by the very rapid evolution of technology and the way people use the internet. However, we can already distinguish between “digital natives”, the generation that grew up connected to the internet, and “digital immigrants”, those who have adapted to the life in network on the go (Aiken, 2019). Views on the influence of the Internet on human psychology range from concerns about “*digital dementia*” (Spitzer, 2020) to more balanced approaches that require adaptation to a new reality (Katzner, 2018; Aiken, 2019).

In the field of communication, new technologies and digital media have changed the way news are produced, received and understood. CW Anderson (2016: 412) theorized the concept “news ecosystems”, since:

news production no longer takes place within any one organizational center of production but has become increasingly dispersed across multiple sites, different platforms and can be contributed to by journalists based in different locations around the world or on the move”. He defined news ecosystems as “the entire ensemble of individuals, organizations, and technologies within a

particular geographic community or around a particular issue, engaged in journalistic production and, indeed, in journalistic consumption.

Anderson pointed out that studying news ecosystems is not a strategy only for the digital age, but now it is more relevant because the boundaries of news production are “*blurring online*” and the “*news travels extremely quickly across digital space.*” Anderson’s concept is inspired by biology: the approach sees no meaningful distinction between the natural and technological world, and does not place the human at the center of media system.

Andrew Chadwick (2013) suggested the concept “*hybrid media*” in order to understand the mass media and the new digital media into an indissoluble whole. The new reality implies more complex relations between media, politics and citizens (Esser, Pfetsch 2020: 6). The focus is on the message diffusion across digital and physical space, “activating particular nodes (human and non human) along the way. The overall perspective is simply different, focusing more on traveling news and informational items rather than on constellations of organizational actors distinguished by their rough technological type” (Anderson, 2016: 419). Anderson argued that digitization changes the dynamics of news but there are also other factors of major importance to be considered: journalists, activists, public relations workers.

Digital media ecology is a mix of old and new media, across different platforms. “Viral” posts on social media have often as a starting point broadcast media. Users usually alternate between social media (Facebook, Instagram), traditional media, smartphones (Whatsapp, Telegram), texting and other forms of information sharing (Tufekci, 2014: 509).

Social media broke with the sender-receiver asymmetry and the role of gatekeepers and established interactive relations with the public. The “*new media logic*” refers to new rules of production (more individualized forms of media production), distribution (the logic of virality, popularity) and usage (social media platforms are bound less to geographical criteria and more to communities of peers and like-minded others) (Mazzoleni, Bracciale, 2018: 3). Mazzoleni and Bracciale wrote that in the network media logic, populist leader’s linkage with their constituencies is entirely disintermediated, the production of contents is free from being filtered by journalists.

Changes in communication are well captured by the concept “*mediatization of politics*” – the process of convergence between media logic and political system. In the classical model of communication, political actors generated messages filtered and intermediated by mass media. Mediatization of politics model is characterized by the dynamic interaction between political actors and mass media: political actors need

to adapt to the media logic, generate messages taking into account the preferences of the public and the reaction of the media. Mediatization refers to a process in which media became increasingly influential and integrated into society, distinct from the more neutral concept of mediation, which refers to communication through media. For Strömbäck and Esser (2014: 246), mediatization of politics is “a long-term process through which the importance of the media and their spill-over effects on political processes, institutions, organizations and actors has increased”. They identified as essential features of the mediatization of politics 1. a long-term and dynamic process; 2. the essence of mediatization is increasing importance and influence of media; 3. mediatization affects all parts of politics; 4. many of the media-related influences may be indirect rather than direct, and result from how political actors adapt to the media. For Mazzoleni and Bracciale (2018: 8), the indicators of mediatization of political communication are the individualized form of populist communication via social media, its popularity-gear inclination, its disintermediated nature and its fostering like-minded communities.

Technology brings unprecedented opportunities to gather data, information about people's behavior and preferences. Everything we do online creates a digital identity that can be tracked and analyzed. This new reality, described as “*datafication*”, opens up huge opportunities for micro-targeting using algorithms. Datafication seems to be the main feature of web 2.0 and web 3.0. Guerrero-Solé, Suárez-Gonzalo, Rovira and Codina (2020: 5) observed that “the datafication of people's interactions with and within platforms has expanded to almost every corner of social reality” and the growth of “big social media big data”.

Zeynep Tufekci (2014: 505) wrote about social media big data and their impact on human behavior:

thanks to digital technologies, more and more human activities leave imprints whose collection, storage and aggregation can be readily automated. In particular, the use of social media results in the creation of datasets which may be obtained from platform providers or collected independently with relatively little effort as compared with traditional sociological methods.

Now, marketers can observe social phenomena at a previously unthinkable level, for the author cited the emergence of big data analyses “has had impacts in the study of human behavior similar to the introduction of the microscope or the telescope in the fields of biology and astronomy: it has produced a qualitative shift in the scale, scope and depth of possible analysis” (Tufekci, 2014: 505).

Politicians and professional marketers can use huge database (ideas, reactions) to send different messages to different members of audiences, in accordance to their preferences. Political marketing today

means the use of computational methods to win elections, data-analysis techniques and the construction of accurate algorithms. Of course, the effects of these trends on the quality of democracy are a controversial issue. Marketers say that the general interest is well served, since people's preferences matter, they are taken into account in the most serious way. On the other hand, skeptics consider citizens a hopeless victim of algorithmic manipulation campaigns and the microtargeting based on datafication a threat to democracy.

Social media are considered “increasingly powerful curators of news and political content” (Edgelrly, Thorson, 2020: 189). The logic of social networks like Facebook (algorithms included) encourages personalization and fragmentation of media audiences. Edgelrly and Thorson (2020: 189) wrote that “platform-initiated changes to algorithms and newsfeed features can open, or close, the floodgates of visitors to news media websites; the social actions of digital media users are increasingly tracked and turned into data for use in shaping future content visibility – and to classify users for sale to political advertisers”. Also, they observed the “increase in datafication”, “the process by which our social actions are translated into data for use in algorithmic prediction and behavioral tracking”.

Datafication is at the very heart of social networks business logic: provides free services in exchange for personal data, offered for processing to the advertising industry. Recent developments, which increasingly assert the role of algorithms (understood as simple mathematical models that provide criteria for sorting and distributing information) and datafication are a dream come true for marketers. As they intuited very well, through the use of algorithms and big data, they can learn more about human behavior and preferences than people know about themselves. Of course, this new reality raises important issues, including the concern that the digital space, apparently characterized by openness and freedom of information and expression, can become a space for soft control and manipulation. Using big data, a small number of people can build and manipulate algorithms to control the flow of information on an unprecedented scale. That is why public institutions like governments or EU are working harder and harder for a legislative framework that ensures the transparency of how social networks work.

Digital media, fertile ground for populist movements

Digital media changed the rules of political communication and provided a wide range of tools to political actors and marketers. The changes in political communication are so profound that we can talk about the emergence of a new political culture, characterized by low trust

in institutions and political apathy, the erosion of left – right political competition pattern, the decline of traditional political parties, growing electoral volatility and the emergence of new political leaders.

Infotainment has become a central feature of contemporary mass media, making unclear the boundaries between information and entertainment. Political debate is focused more on personalities who highlight their human stories than on governing platforms or political ideologies, since the logic of online digital media boosts the already highly personalized political communication.

Online media provide political as well as media actors with more direct connections to the people, which is consistent with populist claims to represent, advocate, and speak on behalf of the people. Blassing, Ernst, Büchel, Engesser and Esser (2018: 5) wrote that “the role of the media is crucial to understanding populist communication as well as the rise and success of recent populist political actors”. They rightfully observed that both the internet and populism have been regarded as potential correctives as well as potential threats to democracy.

The relationship between the media and populism is complex, we can distinguish between media populism and populism by the media. Mass media can be a gatekeeper of populist messages, can neutrally disseminate populist messages or they can oppose and criticize populist actors (Blassing, Ernst, Büchel, Engesser, Esser 2018: 2).

Populist actors rely both on critical and supportive visibility assured by journalists. Mass media can assume three roles in the mediatization of populist actors: gatekeepers, interpreters, and initiators. A cross-national study on this issue shows that

both media factors (e.g., tabloid orientation) and political factors (e.g., response of mainstream parties) influence the extent and nature of populism in the media. Although newspapers in most countries do not overrepresent populist actors and tend to evaluate them negatively, we still find abundant populist content in the news. Several media outlets like to present themselves as mouthpieces of the people while, at the same time, cover politicians and parties with antiinstitutional undertones (Wettstein, Esser, Schulz, Wirz, Wirth, 2018: 476).

Blassing, Ernst, Büchel, Engesser and Esser (2018: 5) pointed out that online news strategy is strongly influenced by readers due to direct feedback (in the form of likes, shares, comments).

Direct communication of political parties through social media diminishes or even cancels the gatekeeper mechanisms that traditional media have. Online media provides new actors (politicians, influencers) the opportunity to enter the news cycle and to gain audiences: this feature favors populist parties, because it emphasizes the anti-elitist characteristic.

Online outlets of TV channels and newspapers keep traditional logic but are also influenced by network media logic, that is the reason why they are more likely to promote populist messages. As Blassing, Ernst, Büchel, Engesser and Esser (2018: 5) wrote, “this may render online news media more susceptible than traditional print media to populist messages by political or other actors, as network media logic has been described as beneficial for populist communication”.

Social networks like Facebook are the fertile ground for “*counterpublic spaces*”, subsets of public opposed to mainstream ideology, with a support for anti-establishment messages. The social media mechanisms offer to populist politicians and influencers more freedom to attack targets (political parties, public institutions, different groups), mainly because of disintermediation and as an effect of traditional gatekeeper dissolution. Psychologists specializing in evaluating the changes produced in virtual reality have shown that anonymity or the illusion of anonymity eliminates moral barriers and amplifies aggression (Katzner, 2018; Aiken, 2019). Communication on social networks tends to be even more personal and emotional, very suitable for populist style of communication. Social networks offer a great freedom of language, which allows populist actors to use often vulgar language, unfounded accusations, using unverified data to discredit their opponents, exploiting anxieties and fears.

In addition to anti-elite messages, the populist accuses mainstream media of serving the interests of the political establishment. In this context, social media are seen as a democratic agora, freed from censorship. From this point of view, there is a natural link between populist movements and social media: the attempt to re-build direct and participative democracy.

One of the most recent and interesting research topics is related to how big data and algorithms are used in political communication in general and in the construction of populist messages in particular. Guerrero-Solé, Suárez-Gonzalo, Rovira and Codina (2020: 1) theorized “*data-driven populism*”, since the populists “can make use of real-time data-driven techniques to develop successful communicative strategies addressed to mass audiences”. Data-driven populism finds ideal environment in social networks and use network analytics to adapt its discourse to the common shared beliefs and preferences of the public. They pointed out that:

the evolution of media technologies and the popularization of social media have helped populism to develop itself free from many of the constraints of traditional mass media. In particular, social media have allowed populist parties to bypass media institutions and traditional gatekeepers and have given it the possibility to

communicate with citizens without mediation. Since the logics of mass media and network media are completely different in terms of production, distribution or media usage, it may be argued that with social media, populism has entered a new stage (Guerrero-Solé, Suárez-Gonzalo, Rovira, Codina, 2020: 2).

They concluded that political actors have affordable access to public freed from the mediation of gatekeepers “and communication with voters can be done at human level by means of personalization and targeting like-minded others” (Guerrero-Solé, Suárez-Gonzalo, Rovira, Codina (2020: 4). Using “big data”, populism take advantage of computational politics, social media listening and social network analysis.

Conclusion

The rise of populism is linked to socio-political conditions such as low credibility of public institutions and traditional political parties. Populist themes and rhetoric have to some extent infiltrated the agenda of mainstream political parties.

However, the logic of digital media and social media, oriented to controversial and newsworthy content, is a fertile ground for populism. The hybrid media ecosystem emerged under the impact of digital communication is characterized by hyper-mediatization of populist communication.

Social networks are the main tools of the new populism movements all over the world. The populist rhetoric, with emotional tone, spectacular and simplistic content, conflict-oriented messages fit the logic of online communication. Populist movements seem to avoid barriers to protecting the public more effectively and to take advantage of the new trend in technology and communication better than traditional political parties.

Digital communication allows unprecedented processing of personal data through algorithms used by social networks. Big data and algorithms are the new fundamental landmarks of political communication. Populist movements seem well equipped and prepared to use these new opportunities to adapt their versatile and malleable discourse to the preferences of the electorate. Digital populism or data-driven populism are expressions used to describe new assertion strategies in the context of technological change.

The symbiosis between populism and the media represents a central aspect of contemporary democracies. Both populism and digital media, especially social networks, present themselves as corrective to the democratic system. They claim to build a digital agora characterized by freedom of expression and fair representation of ordinary people, removing barriers imposed by corrupt elites. On the other hand, many researchers are concerned about the potential of populist movements to

generate conflict and promote hatred and discrimination. From this point of view, populism is a threat rather than a corrective to democracy.

Facing profound changes in technology and political culture, worldwide democracies must find an appropriate response. The major challenge is to use and control technology to guarantee fundamental freedoms and to improve the quality of democracy.

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ISSN

Comparing Humanistic Approaches in Teacher Education

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Abstract:

Teacher education programs have a long, perpetuated expectation for how to teach (Shulman, 1987). The overwhelming focus in teacher education programs on planning, instruction, and assessment obscures the ultimate goal of education; that is, to help every student become happy and lead a fulfilled life. This paper offers a perspective to cultivate preservice teachers who value humanity and therefore go beyond disciplinary knowledge and pedagogical practices. Humanity creates order in society, not arbitrary rules or authority. Yet, this aspect is often lost in higher education that focuses on professional skills over the cultivation of students' humanity (Muscatine, 2009). We argue that teacher education needs to attend to humanity and pave the way for peace and happiness for human beings. Teachers' roles are not just to deliver knowledge to students but to plant the seeds of hope and joy through education. To achieve this goal, we explored various humanistic approaches from Freire's (1993) critical pedagogy, Valenzuelz's (1999) subtractive schooling, Ginwright and Cammarota's (2002) social justice approach, Comstock et al.'s (2008) relational-cultural theory, and Ikeda's (2010) human education. This paper seeks to approach humanity as a theoretical and methodological basis for reclaiming the promise of teacher education.

Keywords: humanity, humanistic approaches, teacher education, preservice teachers, Daisaku Ikeda

Introduction

What we need most is to restore and revive our *humanity*. We must create a society where people can live with dignity, a society where people can live in peace and happiness...I am convinced that the twenty-first century must see a movement to sow the seeds of peace, happiness, and trust in every person's heart – the seeds of a truly humane way of life. (Daisaku Ikeda, 2001)

Research studies on humanity are growing as a broad interdisciplinary movement geared toward the humanistic futures of

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learning. In recent years, humanity has gradually gained the attention of researchers and practitioners in teacher education to cultivate caring and just preservice teachers (Rector-Aranda, 2019). These humanistic approaches adopted in teacher education include critical pedagogy (Freire, 1993), authentic caring (Valenzuela, 1999), social justice student development (Ginwright & Cammarota, 2002), and relational-cultural theory (RCT) (Comstock et al., 2008). Grounded in social justice, the trilogy – critical pedagogy, authentic caring, and social justice student development – is utilized as a framework called “critically compassionate intellectualism (CCI)” by Cammarota & Romero (2006) to work with disadvantaged students whose social and economic circumstances hinder their abilities to succeed in school. Added to CCI, RCT that emphasizes mutual empathy and growth-fostering relationships is vital for teachers to connect with disadvantaged students more deeply (Rector-Aranda, 2019). Furthermore, Daisaku Ikeda’s philosophy of human education has also been applied and researched across curricula and contexts to foster students’ humanity (Nunez & Goulah, 2021).

In the present study, we analyze twenty-eight speeches that Daisaku Ikeda delivered at universities, research institutes, and academies across countries, including Argentina, Brazil, China, Cuba, France, India, Italy, Japan, Nepal, Philippines, Romania, Russia, Spain, Turkey and the USA. These speeches were initially delivered in Japanese and later translated into English and published in *A new humanism: The university addresses of Daisaku Ikeda* (Ikeda, 2010). We compare CCI and RCT with Ikeda’s speeches for two reasons. First, CCI, RCT, and Ikeda’s speeches share common features of humanity in education. Second, learning from the eastern and western views on humanity will create a broad approach to teacher development. The research questions that guide our study are:

1. What common features do CCI, RCT, and Ikeda’s human education share?
2. How does Daisaku Ikeda’s human education differ from CCI and RCT?
3. What are the implications of these humanistic approaches in teacher education?

To address these questions, we first summarize the features of CCI and RCT. We then synthesize Ikeda’s twenty-eight higher-education speeches to identify the key themes in Ikeda’s philosophy.

Critical Pedagogy

Paulo Freire (1921-1997) is the pioneer of critical pedagogy. Born in a middle-class family in Brazil and impacted by the Great

Depression, Freire experienced how poverty and hunger affected his ability to learn. Rather than being discouraged by the environment, his childhood experiences encouraged him to find a new way to learn. Freire (1993) realized that the dehumanization from unjust circumstances could lead the oppressed to rebel against those who made them so. Thus, he proposed a pedagogy of the oppressed (also known as critical pedagogy) to develop students' critical consciousness. This consciousness-raising empowers them to critique problems in their individual and social contexts and liberate them from oppression. He regards critical pedagogy as a means to help students identify sources of power and observe how human beings' actions and behavior become manifestations of the dehumanization process (Freire, 1993). Because dehumanization is never the destiny of human lives, education plays a crucial role in restoring the humanity of the oppressed and the oppressors. In this sense, critical pedagogy can be viewed as a pedagogy for all of humankind.

Freire (1993) argues that education should encourage students to develop their own culture. "Banking" knowledge through narration with the teacher as the narrator leads education to become an instrument of imposing thoughts and reproducing social inequality. When teachers respect and embrace their students' cultures, it changes the teacher-student relationship by creating an environment where teachers can learn, and students can teach (Freire, 1993). Each human life holds its own unique meaning, which can only be understood through communication, authentic thinking, reflection, and action. In addition, Freire considers encountering struggles as necessary, because such struggles will become a driving force that leads people to change. Being aware of how politics and power determine what counts as knowledge, critical pedagogy allows students to see the importance of justice and equality and gain knowledge and skills to lessen human suffering. Education can emancipate students and create conditions for life's fulfillment by raising their critical thinking, cultivating humanity, and providing needed knowledge (Freire, 1993). Students first need to name the world they desire, and then they can transform it to live humanly through their inner reflection actions. Freire values dialogic learning to create ideas with students rather than passively consuming knowledge given to them.

Authentic Caring

In her book, *Subtractive Schooling*, Valenzuela (1999) argues that schools lacking authentic caring about their students will not succeed. She distinguishes the differences between aesthetic caring (e.g. superficial, academic achievement) and authentic caring (e.g. students' well-being, full human growth). Teachers' authentic caring is critical to students' learning and development. It creates reciprocal teacher-student relationships, making students feel welcome in school regardless of their

academic performance. Valenzuela (1999) argues that students do not care about schools until they know that their schools care about them. When teachers fail to make a meaningful connection with their students, sustaining students in school is impossible. Teachers' low expectations can lead to poor student-teacher relationships, low learning motivation, and undesirable achievement outcomes. In the interplay of what and how social capital plays in minority students' education, Valenzuela (1999) discusses the impacts of authentic caring and encourages teachers to reflect on their social responsibility as educators. She illustrates how schooling can limit Mexican-American students' resources by both devaluing their definitions of education and assimilating policies and practices that minimize their culture and language. She points out that, "academic competence thus functions as a human capital variable that, when marshaled in the context of the peer groups, becomes a social capital variable" (Valenzuela, 1999: 28). If education is to create positive human and social capital, it is necessary that school atmosphere, curriculum structures, policies, and practices take into consideration students' diverse cultural and linguistic differences. By doing so, it is more likely to cultivate students who take responsibility for the prosperity of society and the happiness of all human beings.

The Social Justice Approach

Ginwright and Cammarota (2002) describe students as agents of social change. To develop student assets, they argue educators must first shift their thinking and ensure that educational policies and practices are centered on students' development and empowerment. Education that values students' voices will lead them to acknowledge their self-worth and become self-aware. With broader opportunities, students will build valuable skills and find creative ways to address pressing community issues, such as social toxins and divisions. Ginwright and Cammarota (2002) express that unequitable social, political, and economic power can negatively affect the well-being of students, particularly those living in urban areas. Thus, through the social justice approach, it helps students develop critical consciousness and take social action to transform society. They state:

Social action and critical consciousness are a necessary couplet; that is, acting upon the conditions influencing one's social experience leads to an awareness of the contingent quality of life. This interdependence between critical consciousness and social action is what Freire calls "praxis: reflection and action upon the world in order to transform it" (1993: 33). We become closer to our humanity and agents of our own development when we reflect and act to transform the conditions influencing our existence. The integration of critical

consciousness and social action is how young people make sense of, and begin to transform, their social world. (Ginwright & Cammarota, 2002, p. 87-88)

Ginwright and Cammarota (2002) propose three levels of awareness to foster praxis among students: self-awareness, social awareness, and global awareness. At the self-awareness level, students explore and evaluate their social and cultural identity. They develop a positive sense of their identity and capacities for self-determination. At the social awareness level, they begin to think and critically analyze complex issues in their communities to understand how their immediate social world works. In the last level of global awareness, they critically reflect on global issues to empathize with the oppressed throughout the world. When students have reached global awareness, they see the possibility of transforming the world with others and “become more intentional about their life choices and strive to value the ‘humanness’ in everyone” (Ginwright & Cammarota, 2002, p. 91). In other words, addressing social justice problems across the three levels of awareness opens the door for students to see their unlimited potential and possibilities.

Relational-Cultural Theory (RCT)

The relational-cultural theory (RCT) was initially developed by Jean Baker Miller in 1976, the author of *Toward a New Psychology of Women*. Based on her clinical experience as a medical doctor, Miller addressed how the lack of understanding of the contextual, sociocultural, and relational experiences of women and minorities impede their ability to make progress in therapy and life (Miller, 1976). Comstock and her colleagues (2008) extend this idea to discuss the importance of culture, relationships, development, and identity, serving as an alternative framework for professionals to enhance the relationships with the people they serve. Effective helping and healing rely on caring and mutual empathy. Thus, disconnections and negative expectations resulting from political inequalities, power, dominance, marginalization, and subordination have to be addressed early (Comstock et al., 2008).

The core principles of RCT include authentic relationships, mutual empathy, empowerment, participation, and recognition of competence (Jordan, 2000). RCT aims to give a voice of minority groups, deconstruct the oppressive system, and address social connections and disconnections in a larger cultural context. It acknowledges the importance of having sustained and strategic efforts to challenge the entrenched system. Resistance (e.g. naming the problem of disconnections, complaining, claiming the well-being of human beings, developing communities for coexistence, etc.) is the first step toward transformation (McCauley, 2013). RCT supports the idea that human development cannot exist without relationships and interactions with

others. Fostering mutual understanding is essential to the development of individuals, leading to a harmonious living environment. Having a sense of connection with others will help people transform conflicts. RCT calls for the need for social empathy, an ability to feel the other person’s suffering through standing in his/ her shoes, knowing how social inequalities and disparities cause the person to suffer, and thus calling for social change (Gerdes, 2011; McCauley, 2013). Creating a culture of human connectiveness will promote cooperation and allow the collective efforts of people at all levels to thrive. It is the cycle of being affected and affecting others positively that creates a possibility for a peaceful land. Without community, people will feel alone and become immobilized.

Daisaku Ikeda’s Speeches in Higher Education

Born in Tokyo, Japan, Daisaku Ikeda (1928–) is an unprecedented humanistic philosopher and peacebuilder. He has received honorary citizenships from more than 790 cities around the globe and over 380 honorary doctorates and professorships from 51 countries. The application of Ikeda’s philosophy of education has been studied in various educational fields (Nunez & Goulah, 2021). Ikeda made education his lifework. He believes that education is not just about delivering knowledge to students but cultivating students’ character and fostering their humanity. He states: “Learning is the fundamental force that builds society and defines an age. It nurtures and tempers the infinite potential latent in all of us, and it directs our energies toward the creation of values” (Ikeda, 2010: 12). Since the 1960s, he began to travel to different countries outside of Japan to plant the seeds of hope and joy in students and those who work with them. Table 1 shows an overview of Ikeda’s speeches in higher education that have been translated into English.

Table 1

An Overview of Ikeda’s Universities Speeches (Transcribed in English)

	Year	Institution	Highlights of the Speech
1	1975	Moscow State University (Russia)	friendship, sympathy, cultural interaction, respect
2	1980	Peking University (China)	humankind, bonds that transcend national boundaries
3	1981	University of Guadalajara (Mexico)	mutual understanding, human feelings, and values
4	1981	University of Sofia (Bulgaria)	culture exchange, the well-being of humanity
5	1983	University of Bucharest (Romania)	the balance between unity and integrity of the individual
6	1984	Fudan University (China)	hope, confidence, history, global citizen
7	1984	University of California (USA)	self-control, self-mastery, moderation, greater self

8	1989	Académie des Beaux-Arts (France)	art, creative life, inner human revolution
9	1990	Peking University (China)	wisdom, farsightedness, character, individuality
10	1990	University of Buenos Aires (Argentina)	global interdependence, human rights, cosmopolitan
11	1991	University of the Philippines (Philippines)	fairness, equality, justice, impartiality, global spirit
12	1991	University of Macau (China)	morality, inner awareness, humanity, justice, wisdom
13	1991	Harvard University (USA)	soft power, mutual self-control, dignity, self-motivation
14	1992	Ankara University (Turkey)	soft power, moderation, global responsibility
15	1992	National Museum of India (India)	optimism, activism, populism, and holistic nature of life
16	1992	Chinese Academy of Social Sciences (China)	the ethos of symbiosis, harmonious coexistence
17	1993	Harvard University (USA)	dialogue, humanity, the interrelationship of all things
18	1993	Claremont McKenna College (USA)	human wholeness, gradualism, character, self-mastery
19	1993	Brazilian Academy of Letters (Brazil)	art, literature, cosmopolitan, open-box thinking
20	1994	University of Bologna (Italy)	inner self, self-mastery, self-control, soft power
21	1994	Moscow State University (Russia)	fundamental order of life, greater self, self-renewal
22	1994	Shenzhen University (China)	humanism: self-reliance, self-discipline, self-improvement
23	1995	Ateneo de Santander (Spain)	autonomy, symbiosis, and inner cultivation
24	1995	Tribhuvan University (Nepal)	the inner life, value creation, mind, wisdom, compassion
25	1995	East-West Center in Hawaii (USA)	reformation of the inner life, wisdom, diversity, humanity, peace
26	1996	Columbia University (USA)	wisdom, courage, compassion, justice, humanity
27	1996	Universidad de la Habana (Cuba)	inner-motivated transformation, the dignity of life, life value
28	1996	Simon Wiesenthal Center (USA)	Tolerance, empathy, appreciation, character, peace, unity, justice

The highlights of Ikeda's speeches across higher education are grouped into six themes: humanism, global citizens, cultural exchange, moderation, soft power, and human education.

Humanism

Humanism involves self-reliance, self-discipline, and self-improvement (Ikeda, 2010). Ikeda believes that human revolution enables people to manifest humanity in their reality, leads them to deep

fulfillment, and achieves the state of human wholeness. He describes human wholeness as “something that must be sought inwardly by people striving to grow in character. It is the character that, in the end, holds together the web of iterating focus” (p. 204). To create life value, Ikeda states that education should “foster people of character who continuously strive for the ‘greatest good’ of peace, who are committed to protecting the sanctity of life, and who are capable of creating value under even the most difficult circumstances” (p. 246). Education is not meant to change students per se but to guide them to use their character in the right place. Using anger as an example, Ikeda illustrates that anger can function both for good and for bad. When anger functions for bad, it makes people feel resentful, wanting to hurt others or themselves. In contrast, when education guides students to make anger function for good, anger makes them speak out for inequalities and take courageous action to make things right. Ikeda says that human revolution “is not about how others behave or how society is. The most important thing is to ask yourself, ‘What should I do?’ and ‘What can I do?’ One who stands up with moral courage and conviction can change society and create waves of transformation around the world.” In short, to transform the environment, it starts from each individual who has a clear purpose in life and is willing to seek growth and personal improvement.

Human revolution transforms a person from an egocentric self to a greater self. Ikeda (2010) explains that living for the greater self does not mean abandoning the lesser self. Instead, it is to understand that “the lesser self is able to act only because of the existence of the greater self – the whole universe” (p. 140). Because the lesser self is included in the greater self, Ikeda believes that when earthly desire is correctly oriented, it motivates people to advance themselves and society simultaneously and realize that the fulfillment of the individual is not at the expense of others. Furthermore, Ikeda (2010) reminds us that the universe is constantly changing, and thus too much attachment can make people unable to extricate themselves from grief, competition, worry, and fear (Ikeda, 2010). The goal is “to recognize the universal principle behind all things and thus enlighten, rise above the transience of the phenomena of the world” (Ikeda, 2010: 139). Accepting universal and constant changes frees people from the illusion of permanence that causes suffering. For instance, knowing that sickness and death are unavoidable encourages people to live their lives for the greater self.

Global Citizens

With the growing global interdependence, people across the world have become more and more interconnected. A crisis in one place

could soon affect the entire world (e.g. COVID-19). Globalism to Ikeda is not all about politics or economics but the ties that join people's hearts from other countries. He stresses the bonds of affection between people of different cultures and encourages cultural and educational exchange (Ikeda, 2010). As people aspire to globalism, Ikeda suggests having farsighted open-mindedness and using art to practice a creative life. Global responsibility is in each of our hands, and we must all do our part to contribute. Education and humanity are the foundation for universal and world peace. Ikeda states, "It is certainly education that lets us transcend different backgrounds and discover commonalities. It enables us to think on a higher plane; that is, as a human being; to free ourselves from thinking that is based solely on membership in a particular faction or school" (Ikeda, 2010: 28). He further says that "the borderless world will offer unparalleled opportunities for the cosmopolitan. To achieve it, we must abandon exclusionist practices and concepts" (p. 228). Global citizens value cosmopolitanism and are willing to perceive things from another perspective, leading to collaboration, not isolation. "This kind of open-ended empathy enables us to view human diversity as a catalyst for creativity, the basis of a civilization of inclusion and mutual prosperity" (Ikeda, 2010: 236). Empathy and appreciation are needed for people to work together for good. Ikeda believes that "a person of true tolerance is at the same time a courageous person of action who works to encourage the bonds of empathy and appreciation among people" (p. 243). The more appreciative we are for our world, the more empathetic we will be for all lives on this earth.

Cultural Exchange

Empathy in the human heart is the backbone for cultural exchange and the basis for culture itself (Ikeda, 2010). Cultural exchange entails sharing ideas and knowledge with someone from a different background than oneself. Study abroad is one way of cultural exchange at the education level, as it creates the exchange of cultural understanding amongst students. Ikeda (2010) states: "cultural exchange is the best way for one person to truly know the heart of another." (Ikeda: 82). Direct interaction breaks the artificial walls that human beings build. A positive acceptance of others' viewpoints leads to mutual respect and appreciation of other cultures. In that sense, cultural exchange promotes the development of humanity and world peace. Ikeda (2010) argues that teachers play an essential role in how students view themselves. To foster a growth mindset in students, teachers can share global issues with students and model their advocacy for peace locally and globally.

Moderation

As opposed to radicalism that causes conflicts and mistrust, gradualism values integration and harmony of all people. Ikeda (2010) says that “to be of real and lasting value, change must be gradual and inspired from within” (p. 202). He urges using dialogue to find the middle path (i.e. the way of moderation), especially when facing disagreement or conflicts. Dialogue helps people understand their shared humanity and the interconnectedness of all lives. Having the courage to start a dialogue is a noble human revolution, a process of constantly restoring humanity and developing the potential inherent in human life. Through dialogue, people can exercise their personal rights without forgetting the existence of others. When people find their purpose in life, they can work for the good of humankind. Appreciating uniqueness and differences as well as practicing self-control and self-mastery assist people in finding a middle ground to tackle the problem and unite them in solidarity. What is started by the people will be returned to the people. The courage of using moderate and nonviolent measures indicates a fundamental respect for human life (Ikeda, 2010).

Soft Power

Hard power that is carried out through coercion will not last. In contrast, soft power, coming from one’s volition, increases understanding. As Ikeda (2010) states: “self-motivation is what will open the way to the era of soft power...an internally generated energy of will created through consensus and understanding among people” (p. 189). He stresses that soft power must be guided by wisdom, a philosophical foundation. Otherwise, it will easily become “fascism with a smile” (p. 190). Wisdom is found within ourselves as “it resides in the living microcosm within and wells forth in limitless profusion when we devote ourselves to courageous and compassionate action for the sake of humanity, society, and the future” (Ikeda, 2010: 234). Because “true partnership cannot be attained unless the effort to create it is based on mutual self-control at this inner, spiritual level” (p. 194), Ikeda encourages educators to deepen their respect for the dignity of life. Education that aims to raise students’ innate awareness of humanitarian action (仁), justice (義), propriety (禮), wisdom (智), and sincerity (信) will strengthen students’ self-control for creating a larger order or harmony and establishing peace and coexistence (Ikeda, 2010).

Human Education

Human education values each student as a human being, leading them to live with fulfillment, happiness, and sense of responsibility.

Ikeda said in his speech that “education must be the propelling force for an eternally unfolding humanitarian quest” (Ikeda, 2010: 53), believing that each person can contribute to the well-being of others and thus value their existence. When educators view students as valuable members of society, it creates opportunities for students to develop character and advocate for the importance of humanity. Humanity means reducing one’s selfish interests and extending love to each living being. To achieve this goal, Ikeda (2010) suggests that four types of education be emphasized in all disciplines: 1) peace education, 2) environmental education, 3) developmental education, and 4) human rights education. He mentions that it is not the facilities that make a school but teachers’ whole-hearted commitment to supporting students that makes a school. Teachers’ interaction with their students creates value; “it is for this reason that the humanity of the teacher represents the core of the educational experience” (Ikeda, 2010: 58). Facilities do not impact students’ lives at a deeper level, but rather the teachers inside of the facilities do.

Common Features of the Humanistic Approaches

From the analysis of Ikeda’s humanistic approach, in comparison to Cammarota Romero’s (2006) framework of critically compassionate intellectualism (CCI) and Miller’s (1976) relational-cultural theory (RCT) (as further revised by Comstock et al., 2008), an overarching emphasis present in these humanistic approaches is restoring and reviving humanity. Miller’s (1976) relational-cultural theory discusses “colorblindness,” or lack of cultural awareness in the psychological treatment of minority women, and how it results in ineffective treatment to these patients due to language barriers, lack of income, and limited access to medical resources. Similarly, Cammarota and Romero’s (2006) framework illustrates how schools can undermine minority students’ learning by focusing education on a set of prescribed knowledge and skills and overlooking diverse students’ learning needs. Both Miller’s (1976) theory and Cammarota and Romero’s (2006) framework address cultural empathy and social justice. Ikeda (2010) also stresses the importance of cultural exchange to promote students’ social learning and self-awareness. Ikeda’s approach is comparable to Cammarota and Romero’s (2006) framework as both bear a focus on polishing students’ hearts to shine like diamonds. Much like the aim of Cammarota and Romero’s (2006) framework, Ikeda’s approach in education is geared towards fostering humanity rather than a narrow focus of preparing students for passing standardized assessments. Similar to Comstock et al. (2008)’s revision of Miller’s relational-cultural theory, Ikeda’s approach shares the essential factors in developing mutual understanding through showing compassion towards others. These humanistic approaches share

in common that all students, without exceptions, become happy, which is the ultimate goal of education. When students take charge of their learning and become critically reflective practitioners in their fields, they see the interconnectedness of all human beings and bring forth hope to achieve positive social change.

How Daisaku Ikeda's Approach Differs from CCI and RCT

Ikeda is a firm believer that one's mind – the inner attitude – determines how they perceive things. His humanistic approach differs from CCI and RCT because he stresses the importance of inner changes rather than changes coming from outside. Ikeda does not neglect the idea of systemic change. Instead, he places importance on individuals' inner transformation to create value for themselves and others. Everything boils down to each individual's resolve. He says, "The key to all change is in our inner transformation — a change of our hearts and minds... A great human revolution in just a single individual will help achieve a change in the destiny of a nation and, further, will enable a change in the destiny of all humankind" (Ikeda, 2021). Ikeda emphasizes individual responsibility and believes that character formation is essential to any changes in society. With the core value of respecting the dignity of human life, human revolution will eventually lead to systemic change. He further explains: "what matters is who we are when all the external things are stripped away, who we are as ourselves. Human revolution is transforming that inner core, our lives, our selves" (Ikeda, 2021). Ikeda's approach highlights that the heart is the most important, and thus educators should value what is profound and discard the shallow. Educators need to treasure every student and cultivate them into greater selves. When humanity becomes the primary focus of education, it nurtures and elevates students' inner spiritual world. Taking the COVID pandemic as an example, it has raised our awareness that humanity is fundamental to solve global crisis. Facing this seemingly unending pandemic requires not only scientific knowledge but also humanity to tackle the problem at its root and turn the problem into fuel for advancement.

The Implications of the Humanistic Approaches in Education

Teacher education programs have a long, perpetuated expectation for how to teach (Shulman, 1987). The overwhelming focus in teacher education programs on planning, instruction, and assessment obscures the ultimate goal of education; that is, to help every student become happy and lead a fulfilled life. This paper offers a perspective to cultivate preservice teachers who value humanity and therefore go

beyond disciplinary knowledge and pedagogical practices. Humanity creates order in society, not arbitrary rules or authority. Yet, this aspect is often lost in higher education that focuses on professional skills over the cultivation of students’ humanity (Muscatine, 2009). We argue that teacher education needs to attend to humanity and pave the way for peace and happiness for human beings. Teachers’ roles are not just to deliver knowledge to students but to plant the seeds of hope and joy through education. Based on the synthesis of the humanistic approaches, Figure 1 shows how these approaches can serve as a theoretical and methodological basis for restoring humanity in teacher education.



Figure 1. The pyramid of restoring humanity in teacher education

We argue that instructional activities for cultivating preservice teachers’ humanity begin from human revolution – a process of inner transformation from the egocentric self to the greater self as discussed by Ikeda. When preservice teachers can earnestly and steadfastly challenge themselves to achieve their goals, they can open a path, even in severe circumstances. Human revolution is like the soil that nurtures lives and brings hope in any hopeless situation. Courage, compassion, wisdom, caring, empathy, dialogue, social justice, relationship, character formation, moderation, cultural exchange, and so on will become possible when preservice teachers see the mission of their role as educators and are willing to bring out their life force and exercise ingenuity. Their humanity in action will realize peace, happiness, and

global civilization. As teacher educators, we need to make a firm resolve and take the responsibility to nurture preservice teachers so that they are likely to do the same to their students in the future. Together, educators at all levels can touch the lives of students they encounter and spread the philosophy of respect for the dignity of all lives.

Education teaches students how to live a life of rectitude and make a positive change in society. Therefore, educators must be dedicated to inspiring students and nurturing their ability to create value. A trustful student-teacher relationship is built upon teachers' passion, authentic caring, and compassion. On another note, dialogue is essential in raising students' awareness of cultural differences and promoting mutual understanding. In striving to overcome challenges, one's courage can offer hope to many people. Aimed at fostering global citizens of wisdom, courage, and compassion, Ikeda (2010) suggests that students use their wisdom to perceive the interconnectedness of all human beings. In this way, they will not fear or deny difference. They will try to understand people of different cultures and grow together, knowing the place of peaceful coexistence is right where they are. Students' compassion and empathy can reach beyond their immediate surroundings to those suffering in distant places.

Facing broad issues about life, teachers need competencies to address their students' needs and help them move forward positively with courage and hope. Teachers' main task is to help each student become happy and lead fulfilled lives. This cannot be achieved without teachers showing their genuine humanity, trusting their students, and awakening students' inner power. Preservice teachers would benefit from experiences that allow them to move beyond disciplinary knowledge and pedagogical practices. These experiences may include cultural exchange and dialogue. It is important to consider how these humanistic approaches look like in teacher education programs to prepare preservice teachers who can thrive in and beyond the pandemic.

Conclusion

In summary, we explore different humanistic approaches and seek to approach humanity as a theoretical and methodological basis for reclaiming the promise of teacher education. Preservice teachers need opportunities to explore topics on humanity so that they can become transformative practitioners and agents of social change. To cultivate K-12 students who think and act as global citizens, we need to immerse preservice teachers in learning and engaging humanity. Freire's (1993) critical pedagogy, Valenzuela's (1999) subtractive schooling, Ginwright

and Cammarota's (2002) social justice approach, Comstock et al.'s (2008) relational-cultural theory, and Ikeda's (2010) human education offer valuable information and essential insights for teacher education programs to enact humanity. It is the consensus that preservice teachers need theoretical knowledge and practical experiences to develop competencies in addressing humanity. They need to understand why humanity is important and how to apply it in the classroom. Our synthesis of the humanistic approaches shows great potential in helping preservice teachers understand how humanity affects students' lives and thus draw inferences about their teaching practices. The pyramid of restoring humanity can serve as a perspective to guide the development of instructional activities around humanity in teacher education.

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REVIEW ARTICLES

ISSN

Monica Negoescu – *Preocupări ale intelectualilor germani transilvăneni pentru cultura tradițională românească în secolul XIX*

Mona Tripon*



Cartea apărută în anul 2020 la editura Casa Cărții de Știință, Cluj-Napoca este o analiză a contribuțiilor folcloriștilor sași din Transilvania secolului al XIX-lea la răspândirea folclorului românesc și a culturii române în spațiul germanofon.

Volumul este structurat în două secțiuni. Prima parte este consacrată aspectelor teoretice legate de antropologia culturală și stabilește baza conceptuală a analizei ulterioare, a doua parte este dedicată demersului cultural întreprins de cărturarii sași care au ca obiectiv culegerea, traducerea și

popularizarea folclorului românesc.

Lucrarea, deși de dimensiuni reduse este suficient de consistentă pentru a oferi pe lângă un material de lectură foarte util și interesant diverse subiecte spre reflectare, cum ar fi: ce e cultura? Dacă am parcurge textul în paralel, sau de ce nu, în contrapunct – ca să folosesc un termen vehiculat în carte – cu scrierile lui Yuval Noah Harari, răspunsurile la genul acesta de întrebări devin extrem de complexe. La fel cum conceptul de turnură culturală dezbătut în volum de către autoare presupune depășirea „mitului” autonomiei omului sau a „mitului” iluminismului promovat de curente rationaliste anterioare, condamându-ne în consecință la un determinism cultural, la fel și Y.N. Harari vorbește despre depășirea „mitului” liberului arbitru, omul tehnologizat devenind în viziunea sa o entitate piratabilă (hackable humans). Să fie oare aceeași sau o nouă turnură culturală la mijloc?

Pentru a prezenta astfel de problematici ce țin de antropologia culturală autoarea prelucrează o bibliografie trilingvă, vastă și

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cuprinzătoare a unor autori consacrați precum Doris Bachmann – Medick, Clifford Geertz, James Clifford, Victor Turner, Homi Bhabha sau Arjun Appadurai, pe baza căreia sintetizează niște concepte defintorii pentru înțelegerea noii paradigme din științele umaniste. Amintim aici elemente precum cultura ca text, cultura ca traducere, hibriditate, miminalitate sau lectură în contrapunct. Conceptele merită aprofundate, deoarece depășesc cu mult granițele preocupărilor literare. Turnura culturală (în esența ei, o turnură antropologică) este cea care a impulsionat crearea unui nou set de valori, cele așa-zis postmaterialiste, punând sub semnul întrebării valorile occidentale preexistente precum secularism sau autonomie personală. Este un concept pluralist care marchează începutul determinismului cultural, a identității culturale, a politicilor identitare, a „politically correctness-ului”, a environmentalismului etc., cu manifestări pe toate palierele existenței umane, identificate adesea prin prefixe precum trans-, multi- sau inter-. Datorită acestei revizuirii a viziunii asupra omului ca animal social și a rolului său pe Terra se ajunge la admiterea, deși tardivă, a existenței unei culturi hegemoniale, la recunoașterea culturilor limitrofe și la nașterea unor concepte precum multiculturalitate, interculturalitate, transculturalitate, hibriditate, hibridizare etc., culminând cu apariția unor noi științe prin intersectarea celor vechi și apariția unor noi domenii de cercetare.

În lumina acestei noi paradigme culturale, conceptele consacrate precum cultură, text, traducere capătă firește alte semnificații care se întrepătrund, devenind în genere mai extinse și mai fluide. De exemplu cultura ca text privește literatura dintr-o altă perspectivă, și anume ca fiind textul culturii, conducând la o lărgire a înțelegerii tradiționale a textului și a granițelor acestuia, privind textul ca ceva nesolid, deschis. (p. 69) Cultura ca traducere evidențiază caracterul negociator în afirmarea culturilor și cel de trafic comercial în problematica fixării local-istorice. Aceasta perspectivă scoate la iveală procese de transformare (conflictuale) în decursul contactelor interculturale sau a circulației comerciale spirituale (Bachmann – Medick, p. 67) Hibriditatea se formează printr-o traducere discontinuă a unei experiențe de trecere sau negociere, dincolo de experiențe de trecere sau culturale și reprezintă un al treilea spațiu, care permite formarea altor poziții. În interiorul unui amestec cultural, individul este expus culturii celuilalt, rezultând de aici o fluidizare a tradițiilor legate de percepția sinelui, acest fenomen fiind explicat prin termenul de hibriditate (Homi-Bhabha, p. 65). Liminalitatea este condiția de bază a ritualului, acesta din urmă având o funcție transformativă și fiind încărcat cu o puternică experiență simbolică de trecere. Și liminalitatea este definită ca fiind tot un al treilea spațiu, un

spațiu de intermediere, care conferă o libertate de expresie unică, neîngrădită nici de structură, nici de antistructură (p. 56).

Cu un instrumentar conceptual atât de plurisemnificativ precum cel prezentat, firește că și preocupările folcloriștilor sași capătă semnificații noi.

Ultimul subcapitol al primei părți este dedicat unor aspecte de cultură populară românească privite din perspectiva spațiului german. Autoarea face o scurtă incursiune istorică în Transilvania începutului de secol XIX, unde figura exponențială a românității este țaranul român. De remarcat la acest capitol sunt descrierile făcute românilor de către istorici și erudiți ai vremii, ca fiind un popor melancolic, cu o atitudine stoică, fatalistă în raport cu existența, având o încredere necondiționată în înțelepciunea destinului (p. 81) sau părerile unor personalități precum împăratul Iosif al II-lea, care în a doua jumătate a secolului al XVIII-lea, în urma deselor sale călătorii prin Principatul Transilvaniei afirmă despre românii care trăiau acolo că „... soarta lor într-adevăr, dacă o cercetezi este cu adevărat de plâns” (p. 80).

Interesul pentru folclor nu este un fenomen singular sau izolat, ci apare odată cu curentul european de regăsire a identităților naționale. O figură de seamă care susține importanța unei literaturi naționale pentru dezvoltarea culturală a unui popor a fost filozoful și poetul german J.G. Herder ale cărui culegeri de cântece populare din mai multe țări europene (Volkslieder) publicate începând cu 1778 se numără printre bestsellerurile vremii. Recordul este deținut însă de culegerea de basme populare ale Fraților Grimm publicată în două volume începând cu anul 1812 care, alături de Biblia în traducerea lui Luther, este cea mai cunoscută, răspândită și tradusă carte a limbii germane. Acesta fiind spiritul vremii, se înțelege de ce tinerii sași din Transilvania studiind în Germania sau la Viena se dedicau ulterior culegerii de folclor românesc, preocupare care merge de fapt mână în mână cu culegerea folclorului săsesc.

În partea a doua a lucrării autoarea analizează activitatea a șase folcloriști sași: Martin Samuel Möckesch, Johann Karl Schuller, Josef Marlin, Friedrich Wilhelm Schuster, Emil Sigerius, Ludwig Vinzenz Fischer.

Interesul lor pentru folclorul românesc a apărut, precum afirmă autoarea, atât ca urmare a conviețuirii cu românii, a identificării unor ideale comune, precum și a dorinței de a clarifica „problema originii românilor și a înrudirii lor cu alte popoare” (p. 92). Tot aici aflăm de exemplu, că îndemnuri înspre istoria și folclorul românesc au fost lansate și de așa numita Asociație pentru Studii Transilvănene interesată de tot ce avea legătură cu originea poporului român.

Munca folcloriștilor sași nu se rezumă doar la culegerea și traducerea de folclor românesc (cântece și versuri populare, proverbe și

zicători, legende), ci se apleacă și asupra traducerii de poezie cultă. Unii dintre ei elaborează creații artistice inspirate de evenimente istorice presărate cu elemente folclorice românești. Printre publicațiile sau realizările notabile ale folcloriștilor sași dezbătute în lucrare amintim câteva. Möckesch publică în 1851 la Sibiu o culegere de cântece populare și de poezie cultă românească intitulată *Rumänische Dichtung*, considerând că spiritul și limba unei nații se regăsesc cel mai bine în limba sa iar limba română în viziunea lui s-ar potrivi minunat poeziei, formând rime dintre cele mai reușite (p. 95). Schuller este și el intrigat de originile limbii române, fiindu-i greu să asocieze limba română cu latinitatea elaborând diverse materiale în acest sens. El publică, printre altele, traduceri de balade din colecția lui Alecsandri, un studiu despre legenda mănăstirii Argeșului, despre colinde românești, poezii, proverbe și cântece populare românești. Marlin, mai idealist și cu veleități artistice mai pronunțate, este impresionat de soarta românilor de pe aceste meleaguri și scrie romane cu tematică istorică despre Baba Novac sau Horea, Cloșca și Crișan. Este cred și cel mai solidar cu aspirațiile românilor. Schuster se aplecă cu precădere asupra cântecului popular românesc, pe care pe lângă faptul că îl traduce într-un mod iscusit, îl analizează în ceea ce privește structura, conținutul etc. Sigerus este un veritabil etnograf și una din cele mai importante personalități ale culturii transilvănene de la sfârșitul secolului XIX. Publică printre altele în 1925 primul *Ghid de călătorie pentru România Mare*, făcând cunoscută o țară despre a cărei existență se știa prea puțin la vremea respectivă. Fischer este cel care traduce pentru prima oară *Luceafărul* lui Eminescu în limba germană, pe lângă alte poezii culte sau populare. Scrie și un studiu în acest sens, fiind preocupat în special de traduceri din literatura română în literatura germană.

Există câteva elemente comune ale acestor autori care vizează fenomenul de hibriditate, legat de percepția sinelui și a străinului. Aprecierile intelectualilor sași vizavi de folclorul românesc, de bogăția, profunzimea și prospețimea acestia sunt elogioase. Însă datorită uimirii sincere pe care, de exemplu Schuller o mărturisește în mai toate prefetele scrierilor sale referitoare la cântecul popular românesc, avem de-a face cu „deconstruirea unei idei preconceptionale născute dintr-o superioritate neconștientizată, dar simțită față de român”, după cum remarcă autoarea (p. 107).

Abordarea este cea a culturii dominante, centrale spre periferie, însă nu putem să nu apreciem interesul acestor oameni pentru autentic și grija și dăruirea cu care și-au întreprins cercetările încercând să înțeleagă poporul român prin una dintre cele mai autentice și profund spiritualizate valori ale sale, folclorul. Această grijă reiese și din modul în care au

efectuat traduceri, mereu atenți la redarea cât mai fidelă a tuturor aspectelor legate de textul-sursă, autoarea analizând la fiecare traducător cât de bine a reușit să transpună în germană nuanțele textelor românești, întreprindere destul de dificilă având în vedere că diverse aspecte legate de prozodie, cât și unele cuvinte specifice folclorului românesc sunt intraductibile.

Perspectiva culturală din care sunt analizate traduceri este una a liminalității, care presupune o balansare continuă între identitate și alteritate, în condițiile în care atât identitatea individului, cât și percepția alterității sunt codate cultural.

Nu se poate să nu remarcăm în volum diferența dintre complexitatea abordării teoretice și aparenta simplitate a obiectului abordat. Să nu uităm că tematicile textelor includ dragostea, mândra, mama, hora, floarea, codrul etc. Este bine că, în ciuda timpului, a postmaterialismului și a turnurii culturale, semnificațiile culturale ale acestor tematici au rămas încă pentru mulți dintre noi nealterate.

De ce găsesc că ar merita citită această carte despre folclor? În virtutea celor scrise mai sus, ca un demers de autocunoaștere, pentru a vedea cum ne văd alții. Iar cei care îndrăgesc folclorul o vor citi din admirație pentru autentic.

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